State Guidelines and Safety Oversight Audit Programme

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Cairo, December 2011
Plan

- ICAO Guidelines
- Audit protocol questions
- Passenger Locator Card/Form
  - (Health Declaration Form)
ICAO Guidelines for States

www.CAPSCA.org
GUIDELINES FOR STATES CONCERNING THE MANAGEMENT OF COMMUNICABLE DISEASE POSING A SERIOUS PUBLIC HEALTH RISK

Preface

These guidelines are written to assist States in developing an aviation related plan for any communicable disease posing a serious public health risk, such as an influenza virus with human pandemic potential. A preparedness plan for aviation is required since air travel may increase the rate at which a disease spreads, thereby decreasing the time available for preparing interventions. Although it is probably not feasible to halt the spread of some diseases, advance preparation should make it possible to effect a delay and provide more time to prepare. Such preparation is necessary across many different sectors, including that of aviation. Any additional time to enable the production of an effective vaccine is likely to provide the best chance of mitigating the potential effects for a number of diseases that can be prevented by such a prophylactic measure.

This information is written primarily for States and more detailed information that is specific to airports and airlines may be found on the websites of the Airports Council International (ACI) and the International Air Transport Association (IATA). These aviation preparedness guidelines will be amended over time, in accordance with the World Health Organization (WHO) International Health Regulations (IHR) (2005)¹ as the preparedness planning process evolves. They should be considered for incorporation into national preparedness plan guidelines.

¹ The International Health Regulations (2005) entered into force on 15 June 2007 for all WHO Member States that have not rejected them or made “reservations” on a timely basis.
• Audit questions
### Audit - Organization

<table>
<thead>
<tr>
<th>ICAO ref.</th>
<th>Protocol question</th>
<th>Reply</th>
<th>Guidance for review of protocol question</th>
<th>Status of implementation</th>
<th>Evidence/Notes/Comments</th>
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</thead>
<tbody>
<tr>
<td><strong>ORG: prevention of communicable disease</strong></td>
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<tr>
<td>CC Art 14 A9 8.12 &amp; 8.16 A37-13</td>
<td>Has the State identified a clear contact point at national aviation level, with identified individual(s), for policy formulation, operational organization of preparedness and coordination of a national plan in order to respond to a communicable disease with the potential to pose a serious public health risk? □ Yes □ No</td>
<td>□ Yes</td>
<td>If yes, provide name and contact details</td>
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<td>New question</td>
</tr>
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| A9 8.15  
Note 1  
A9 2.10 &  
App1  
A6 6.2 and  
AttB | Does the aircraft operations organization ensure that the air operator has established a procedure for the crew to evaluate a traveller with a suspected communicable disease, based on the presence of a fever and certain other signs or symptoms? | □ Yes  
□ No | Review operations inspectors procedures to ensure they check air operators related procedures  
Sample an air operator procedure in operations manual or cabin crew manual  
Check the procedure includes the transmission, as required, of a General Declaration form to the State authorities. | □ Satisfactory  
□ Not satisfactory | - |
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| A9 8.15  | Does the aircraft operations organization ensure that the air operator has established procedures for the pilot in command to report promptly to ATC a suspected communicable disease?                                                                                       | □ Yes □ No | Review operations inspectors procedures to ensure they check air operators related procedures  
Sample an air operator procedure in operations manual  
Ensure, in the procedure, that the following information is transmitted by the crew:  
a) aircraft identification;  
b) departure aerodrome;  
c) destination aerodrome;  
d) estimated time of arrival;  
e) number of persons on board;  
f) number of suspected case(s) on board; and  
g) nature of the public health risk, if any.                                                                 | □ Satisfactory □ Not satisfactory |
### ANS: prevention of communicable disease

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<td>STD A11 2.30 Att. C</td>
<td>ANS 7.153 Does the State ensure that contingency plans have been developed and promulgated for implementation in the event of disruption or potential disruption of ATS or related supporting services?</td>
<td>□ Yes □ No</td>
<td>Review documented evidence for inclusion of contingency plans in respect of public health emergencies</td>
<td>□ Satisfactory □ Not satisfactory</td>
<td></td>
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</table>
## Audit – Air Navigation Services

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<tr>
<td>PANS Doc 4444 16.6.2 &amp; 16.6.3</td>
<td>Does the State ensure that the ATS has established a procedure, upon receipt of information from a pilot regarding a suspected case of communicable disease, to forward a message as soon as possible to: the ATS unit serving the destination/departure if applicable the public health authority (PHA) or the appropriate authority designated by the State the aircraft operator or its designated representative the aerodrome authority?</td>
<td>□ Yes □ No</td>
<td>Review procedure and mechanism established to ensure the message is forwarded to the appropriate entities, especially that relating to transfer of information from the destination ATS unit to the public health authority Review the mechanism to ensure the contact details of each entity are up to date and available During industry visit ensure the procedure is known by the staff and contact details of the entities are available</td>
<td>□ Satisfactory □ Not satisfactory</td>
<td>CAPSCA-Abuja October 2011</td>
</tr>
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</table>
MANAGING AN ON-BOARD CASE

Aircraft gen. declaration – Health Part

A/C ID
Dep.
Dest.
ETA
POB
No. cases
Nature of risk

Air traffic controller

Destination aerodrome tower

Airline operating agency

PHA

Airport operator

Other agency
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<tr>
<td>STD A14, Vol. I 9.1.1 to 9.1.3</td>
<td>AGA 8.291 Has the State promulgated regulations for aerodrome operators to develop emergency plans, including appropriate cooperation and coordination with other entities involved in the provision of emergency services and the development of the plans?</td>
<td>□ Yes □ No</td>
<td>Include emergencies which may occur in the vicinity of an aerodrome Sample aerodrome manual Review regulation and manuals to ensure inclusion of public health emergencies and coordination with public health services</td>
<td>□ Satisfactory □ Not satisfactory</td>
<td>CAPSCA-Abuja October 2011</td>
</tr>
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</table>
Passenger Locator Card/Form - in process of revision

**Flight Information**
1. **Airline and Flight Number**
2. **Date of arrival**
   - DD MM YYYY
3. **Seat Number where you actually sat on the aircraft**

**Personal Information**
4. **Name**
   - Given Name(s)
   - Family Name
5. **Your Current Home Address (including country)**
   - Street Name and Number
   - City
   - State/Province
   - Country
   - ZIP/Postal Code
6. **Your Contact Phone Number (Residential or Business or Mobile)**
   - Country code
   - Area code
   - Phone Number
   - E-mail address
7. **Passport or Travel Document Number**
   - Issuing Country/Organization

**Contact Information**
5. **Address and phone number where you can be contacted during your stay or, if visiting many places, your cell phone and initial address**
   - Country
   - ZIP/Postal Code
   - Telephone Number (including country code) or mobile phone number
6. **Contact information for the person who will best know where you are for the next 31 days, in case of emergency or to provide critical health information to you.**
   - a. **Name**
      - Given Name(s)
      - Family Name
   - b. **Telephone Number**
      - Country code
      - Area code
      - Phone Number
      - E-mail address
   - c. **Address**
      - Street Name and Number
      - City
      - State/Province
      - Country
      - ZIP/Postal Code

**Public Health Passenger Locator Card**

Public Health Passenger Locator Card to be completed when public health authorities suspect the presence of a communicable disease. The information you provide will assist the public health authorities to manage the public health event by enabling them to trace passengers who may have been exposed to communicable disease. The information is intended to be held by the public health authorities in accordance with applicable law and to be used only for public health purposes.

**Flight Information**
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<tr>
<th>1. Airline and Flight Number</th>
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<th>3. Seat Number where you actually sat on the aircraft</th>
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</table>

**Personal Information**
<table>
<thead>
<tr>
<th>4. Name</th>
<th>5. Your Current Home Address (including country)</th>
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**Contact Information**
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<th>5. Address and phone number where you can be contacted during your stay or, if visiting many places, your cell phone and initial address</th>
<th>6. Contact information for the person who will best know where you are for the next 31 days, in case of emergency or to provide critical health information to you.</th>
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**Public Health Passenger Locator Card - in process of revision**

One form should be completed by an adult member of each family. Print in capital (uppercase) letters. Leave blank boxes for spaces.
Summary

• ICAO Guidelines for States
• CAPSCA website location
• Audit protocol questions
• Passenger Locator Card/Form
  – (Health Declaration Form)
Relaxing regulatory requirements...

- **Conclusion 2/10, Toronto, Canada, RAMPHT, November 2010**

- The RAMPHT recommends that ICAO State Guidelines should include consideration by States to relax certain regulatory requirements (provided such action will not result in a reduction in level of safety or security) so that resources may be appropriately reassigned to areas of increased need during a PHEIC.
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Cairo, December 2011
Does the aircraft operations organization ensure that the air operator has established a procedure for the crew to evaluate a traveller with a suspected communicable disease, based on the presence of a fever and certain other signs or symptoms?

- Annex 9, 8.15, Note 1; Annex 6, 6.2 and Attachment B
Guidance for review of question

• Review operations inspectors procedures to ensure they check air operators related procedures

• Sample an air operator procedure to confirm implementation, check if the universal precaution kit is used (not mandatory, recommendation)

• Check the procedure contains communication between the cabin crew and the flight crew and the transmission, for States where it is required, of a General Declaration form.
Aircraft Operations Protocols (2)

• Does the aircraft operations organization ensure that the air operator has established procedures for the pilot in command to report promptly to ATC a suspected communicable disease, in order to facilitate the presence of any special medical personnel and equipment necessary for the management of public health on arrival?

• Annex 9, 8.15; PANS ATM Doc 4444, 16.6.1
Air Navigation Service Protocols (1)

- Does the State ensure that procedures have been established for providing service to aircraft in the event of emergency?
- Annex 11, 2.23, 2.30, Attachment C; PANS ATM Doc 4444, 15.1; A11
Guidance for review of question

- Review mechanism established to ensure effective implementation
- Review documented evidence of the procedures followed to render assistance to an aircraft in the event of the following emergencies:
  1. Unlawful interference
  2. Aircraft bomb threat
  3. Emergency descent
- Review mechanism established to ensure effective implementation
- Review documented evidence of the existence of contingency plans and how they are applied
- **Review documented evidence for inclusion of contingency plans in respect of public health emergencies**
• Does the State ensure that the ATS has established a procedure, upon receipt of information from a pilot regarding a suspected case of communicable disease, to forward a message as soon as possible to:
  – the ATS unit serving the destination/departure if applicable
  – the public health authority (PHA) or the appropriate authority designated by the State
  – the aircraft operator or its designated representative

• PANS ATM Doc 4444, 16.6.2 & 16.6.3
Guidance for review of question

- Review procedure and mechanism established to ensure the message is forwarded to the appropriate entities, especially that relating to transfer of information from the destination ATS unit to the public health authority.
- Review the mechanism to ensure the contact details of each entity is up to date and available.
- During industry visit ensure the procedure is known by the staff and contact details of the entities are available.
Organization protocols

• Has the State identified a clear contact point, with identified individual(s), at national aviation level for policy formulation, operational organization of preparedness and coordination of a national plan in order to respond to a communicable disease with the potential to pose a serious public health risk?

• CC Art 14; Annex 9, 8.12 & 8.16; A37-13
Aerodrome Protocols

• Has the State promulgated regulations for aerodrome operators to develop emergency plans, including appropriate cooperation and coordination with other entities involved in the provision of emergency services and the development of the plans?

Guidance for review of question

- Verify regulations
- Cross-check with ICAO Annex 14 compliance checklist
- Review evidence to confirm effective implementation, cooperation and coordination
- Include emergencies which may occur in the vicinity of an aerodrome
- Sample aerodrome manual
- **Review regulation and manuals to ensure inclusion of public health emergencies and coordination with public health services**