

# INTERNATIONAL CIVIL AVIATION ORGANIZATION



## GENERIC SURVEILLANCE PROGRAMME FOR CERTIFIED AERODROMES

**VERSION 1.0 – August 2022**

### **Introductory Notes**

This generic document was developed by the ICAO Asia/Pacific Aerodrome Assistance Working Group (AP-AA/WG) for reference by States in the APAC Regions. When referring to this generic document, States are expected to customize the content in accordance to the States' legislations, regulations and situations.

It was approved by AOP/SG/6 (Video Teleconference, 27 – 30 June 2022) and published by ICAO Asia and Pacific Office, Bangkok.

ICAO Standards and Recommended Practices (SARPs), Procedures for Air Navigation Services and Guidance Materials shall take prevalence in the event of any conflict between the aforementioned provisions and this generic document.

Enquiries and feedbacks regarding this generic document can be made to ICAO APAC Office at [apac@icao.int](mailto:apac@icao.int).

## RECORD OF AMENDMENTS

[illegible]

CIVIL AVIATION AUTHORITY

# GENERIC SURVEILLANCE PROGRAMME FOR CERTIFIED AERODROMES

**Foreword**

This manual is a [CAA] safety programme document. It contains processes determined to be necessary in supporting operational safety at aerodromes in the [State]. This manual is being issued under the authority of the Director General of [CAA].

Copies are available at the office of:

[Post holder]

[Address]

This document may be amended from time to time as necessary, and the Director General of [CAA] will provide such amendment service.

The term "Head" as referred to in this manual describes the most senior [CAA] officer responsible for certification, registration and continuing safety oversight (surveillance) functions of aerodromes and heliports. The incumbent official holding this position reports directly to the Director General, [Civil Aviation Authority (CAA)].

Comments from staff members of [CAA], stakeholders, (or members of the) concerned aviation industry users and public about the contents of this manual are welcome. Clarifications or inquiries can be directed to:

Head of Aerodrome Standards

[Office]

[Address]

[Telephone]:

[Email]:

## Amendments

[illegible][illegible]

## Revision History

Revisions to this Document shall be made by authorised personnel only. After inserting the revision, enter the required data in the revision sheet below. The '*Initials*' has to be signed off by the personnel responsible for the change.

[illegible]

### List of Effective Pages

<b>Part</b>	<b>Page Nos.</b>	<b>No. of Pages</b>	<b>Version</b>	<b>Date of Issue</b>
Cover Page	-	1	1	mm 2022
Foreword	i	1	1	mm 2022
Amendments	ii	1	1	mm 2022
Revision history	iii	1	1	mm 2022
List of effective pages	iv	1	1	mm 2022
Table of Contents	v	1	1	mm 2022
Chapter 1: Surveillance Policy	1 - 3	3	1	mm 2022
Chapter 2: Surveillance Programme	4 - 5	2	1	mm 2022
Chapter 3: Surveillance Audit Process	6 - 8	3	1	mm 2022
Chapter 4: Surveillance Audit Preparation & Notification to Aerodrome Operator	9 - 9	1	1	mm 2022
Chapter 5: Surveillance Audit	10 - 12	3	1	mm 2022
Chapter 6: Audit Report	13 - 13	4	1	mm 2022
Chapter 7: Corrective Action	14 - 15	2	1	mm 2022
Appendix I - Sample Agenda Items for an Opening Meeting	16 - 16	1	1	mm 2022
Appendix II - Sample of Non-Compliance / Observation Report Form	17 - 17	1	1	mm 2022
Appendix III - Sample of Aerodrome Surveillance Programme for XYZ Airport for Year 2022 - 2025	18 - 19	2	1	mm 2022

# Table of Contents

	Page
Foreword .....	I
Amendments .....	II
Revision History .....	III
List of Effective Pages .....	IV
Table of Contents .....	V
Chapter 1 – Surveillance Policy .....	1
1.1 Introduction.....	1
1.2 Purposes .....	2
1.3 Scope of Surveillance.....	2
Chapter 2 – Surveillance Programme .....	4
Chapter 3 – Surveillance Audit Process.....	6
Chapter 4 – Surveillance Audit Preparation & Notification to Aerodrome Operator.....	9
Chapter 5 – Surveillance Audit.....	10
Chapter 6 – Audit Report .....	13
Chapter 7 – Corrective Action.....	14
Appendix I – Sample Agenda Items for an Opening Meeting.....	16
Appendix II – Sample of Non-Compliance / Observation Report Form .....	17
Appendix III – Sample of Aerodrome Surveillance Programme for XYZ Airport for Year 2022 - 2025.....	18



## Chapter 1 – Surveillance Policy

### 1.1 Introduction

- 1.1.1 The contents of the Chapter 1 of this manual represent the policy of the Civil Aviation Authority (CAA) with respect to the surveillance requirements embodied in the Civil Aviation Act [Year] or Civil Aviation Regulations (CAR) as amended. The policy is designed to provide the foundation for the CAA's continued safety oversight (surveillance) function. CAA has adopted a systems and Risk-based surveillance approach, utilising a sampling process, to assess the Risk mitigation and Compliance levels of aerodrome certificate holders.
- 1.1.2 This manual describes the requirements for aerodromes to operate with an Aerodrome Certificate and the process of surveillance by the Civil Aviation Authority (CAA).
- 1.1.3 Aerodromes of the armed forces not open for civil aircraft operations are not subjected to the need for certification and surveillance.
- 1.1.4 Once the CAA has completed a thorough review of the compliance of an aerodrome with the applicable certification requirements, leading to the granting of the certificate to the aerodrome operator, continued oversight (surveillance programme) shall be established in order to ensure that compliance with regard to certification conditions and ongoing additional requirements is maintained.
- 1.1.5 An Aerodrome Certificate is valid for xx (x) years or unless it is suspended or cancelled, whichever is earlier. CAA should conduct surveillance audit prior to renewal of Aerodrome Certificate.
- 1.1.6 Civil Aviation Regulations [Regulations No or Year] Regulation nn requires person who operates aerodrome and hold an aerodrome certificate issued by the CAA to allow Aerodrome Inspectors to perform their surveillance duties.
- 1.1.7 CAA may plan the surveillance audits based on the following criteria:
  - a) Expiry of the Aerodrome Certificate/time since last surveillance audit conducted
  - b) Status of findings for the last inspection conducted
  - c) Report/feedback from stakeholders (for e.g., pilot, ATC and etc.)
- 1.1.8 Surveillance may be scheduled or unscheduled, opportunity based, random, or targeted across all facets of the aerodrome operator as follows:
  - a) Scheduled Announced audit
  - b) Scheduled Unannounced audit
  - c) Unscheduled Announced audit
  - d) Unscheduled Unannounced audit
- 1.1.9 All surveillance findings must be objective and factual. Deficiencies should be provided to aerodrome operator through formal documentation.

## **1.2 Purposes**

- 1.2.1 Planning of the aerodrome audit is intended to assist the regulator and aerodrome in planning human and other resources and in ensuring a consistent and adequate level of oversight. However, it does not prevent the CAA from carrying out surveillance inspections, if deemed necessary. The CAA retains the provision to conduct surveillance audit for the purpose to ensure that certified aerodrome continues to comply with the relevant Regulations, Directives or Guidance and other conditions stated in the Aerodrome Certificate.
- 1.2.2 These surveillance inspections follow the same methodology as the scheduled audit or technical inspection for certification as appropriate and may be carried out using the same checklists or could be aimed at a specific subject of concern.

## **1.3 Scope of Surveillance**

- 1.3.1 The scope of surveillance does not necessarily cover all areas established through the regulatory framework applicable to the aerodrome but it usually focuses on specific areas. Surveillance programmes may not need to be as exhaustive but shall be based on principles ensuring that compliance is maintained throughout the planning of adequate oversight actions.
- 1.3.2 Specific and targeted actions, in addition to the planned activities, may be carried out by CAA, for example, in relation to changes, analysis of occurrences, safety of aerodrome works, monitoring of corrective action plans, or those related to the National Aviation Safety Plan. CAA may also have to address other issues regarding aerodrome safety depending on the aerodrome organization, such as obstacle control or oversight of ground handlers.
- 1.3.3 The scope of surveillance may include the following subjects as listed below:
  - a) compliance of the aerodrome infrastructure with the applicable regulations for the operations the aerodrome is intended to serve;
  - b) the operational procedures and their day-to-day application, when applicable, concerning:
    - 1) Aerodrome data and reporting;
    - 2) Access to the movement area;
    - 3) Aerodrome emergency plan;
    - 4) Rescue and firefighting (RFF);
    - 5) Inspection of the movement area and OLS;
    - 6) Visual aids and aerodrome electrical systems;
    - 7) Maintenance of the movement area;
    - 8) Safety during aerodrome works;
    - 9) Apron management;
    - 10) Apron safety;
    - 11) Vehicles control on the movement area;
    - 12) Wildlife hazard management;

- 13) Obstacles control;
- 14) Removal of a disabled aircraft;
- 15) Handling of Hazardous Materials;
- 16) Low visibility operations;
- 17) Protection of Radar & Navigation Aids;
- 18) Snow and Ice Control and hazardous meteorological conditions;
- 19) Reporting of Runway Surface Conditions; and
- 20) Compliance of the safety management system (SMS) with applicable regulations.

## Chapter 2 – Surveillance Programme

2.1 CAA's surveillance programme uses a systems and risk-based approach. Surveillance events are recorded and tracked in the supporting IT system (especial application or simple excel sheet) and the results analysed, which allows CAA to evaluate the Aerodrome Operator's safety performance.

2.2 The surveillance programme is dynamic, regularly reviewed and updated, taking into consideration the following:

### Expiry of the Aerodrome Certificate/time since last surveillance audit conducted

2.2.1 Over time, without physically verified evidence derived from a comprehensive surveillance, CAA's ability to determine if an aerodrome operator is able to maintain an acceptable level of compliance and maintain robust systems capable of combatting identified and latent safety risks, progressively diminishes. As such, the time since the last surveillance audit conducted is an important consideration in determining if the surveillance audit should be conducted.

### Status of findings since the initial aerodrome certification audit or the last surveillance audit/inspection conducted

2.2.2 Consideration of outstanding findings including corresponding corrective action plans (CAPs) needs to be evaluated on a case-by-case basis as the circumstances of outstanding findings can vary greatly. Some of the factors that need to be taken into account may include:

- a) the number and complexity of the outstanding findings and associated CAPs
- b) the time the finding(s) has been outstanding
- c) whether the finding(s) has been responded to and whether the response was satisfactory or not satisfactory
- d) whether the finding(s) has been accepted pending verification

### Change management

2.2.3 Substantial changes that could affect an aerodrome operator, including changes to management or organisational structure, policy, technology; special projects; changes to aerodrome operator's service providers (contractors); global and/or local threats and regulatory requirements.

### Prioritisation of surveillance activities

2.2.4 Determines whether any surveillance reprioritisation is necessary on the basis of changed surveillance priorities, or when oversight or external information identifies concerns.

### Surveillance resource requirements

2.2.5 Considers using alternative resources to assist in surveillance activities, as necessary.

Safety Management System (SMS)

- 2.2.6 Aerodrome Operator's willingness and ability to identify and control its aviation safety-related Risks and application of the Safety Management System (SMS).
- 2.3 Surveillance programme should include but not limited to:
- a) the scheduled surveillance date(s) allowing sufficient time to prepare for the surveillance audit and write up of the Surveillance Report
  - b) time to be allocated (hours/days)
  - c) surveillance audit type
  - d) surveillance lead
  - e) surveillance team members
  - f) initial surveillance scope and background behind the determination of the scope
  - g) justification for proposing the surveillance audit
- 2.4 If a surveillance event needs to be rescheduled for a previously approved date for any reason, the rescheduled dates and the reason for the rescheduling must be recorded.

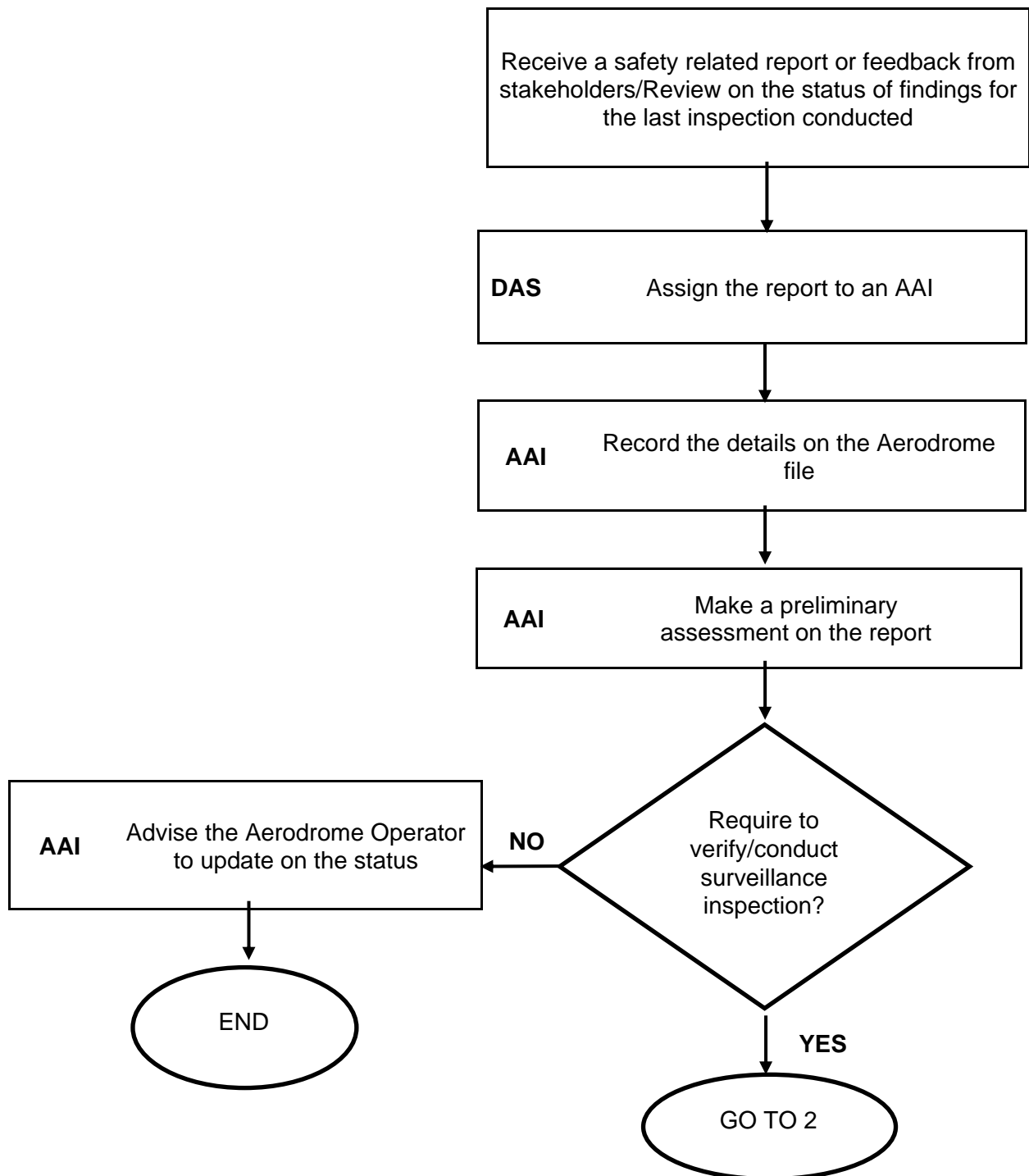
### Chapter 3 – Surveillance Audit Process

3.1 Aerodrome surveillance process shall comprise but not limited to:

- a) Surveillance audit preparation;
  - The purpose of having surveillance audit preparation is to develop the strategies, schedules, and work plans for surveillance audits, including resources, timetable etc. The output of this process is a detailed surveillance plan that outlines the approved scope and ensures the assignment of appropriate resources to a surveillance event.
- b) Notification;
  - Notification on the audit date. Confirm surveillance timetable with aerodrome operator and notify aerodrome operator of upcoming surveillance if it is announced audit.
- c) Conduct surveillance audit;
  - The purpose of this process is to conduct the appropriate level of surveillance. The outcome of this process is the completion of an approved surveillance audit, including collecting, collating and evaluating all relevant information and evidences.
- d) Audit report;
  - Audit report shall be issued based on the surveillance audit conducted.
  - The purpose of this process is to compile a report based on objective evidence gathered during the surveillance audit conducted. This includes deficiencies identified in regard to compliance and/or safety performance. The outputs of this process are surveillance findings and the Surveillance Report, which forms part of the official record of an aerodrome operator's performance.
- e) Remedial and corrective action
  - The aerodrome operator shall take corrective actions on all non-compliance registered in the audit report, which are stated and issued.
  - Remedial Action: immediate action taken in response to a finding to address the deficiency that caused the breach, and which will return performance to a compliant state
  - Corrective action: action by an aerodrome operator in response to a breach that reduces the potential of recurrence. The action must address the root cause of the deficiency that caused the breach and must include a review to ensure the action is effective

3.2 The aerodrome operator shall allow authorized personnel (i.e. CAA Surveillance Audit Team) to provide unlimited and unrestricted access to and inspect any of the aerodrome or any aerodrome infrastructure, facilities, including equipment, records and documents, during the surveillance audit.

- 3.3 The aerodrome operator shall cooperate and facilitate with the authorized personnel in conduct of the surveillance audit, and relevant Aerodrome Operator's personnel shall be made available to facilitate the audit.
- 3.4 The flow chart below provides a detailed view of the surveillance process.



Abbreviation:

Assigned Aerodrome Inspector (AAI)

Director of Aerodrome Standards (DAS)

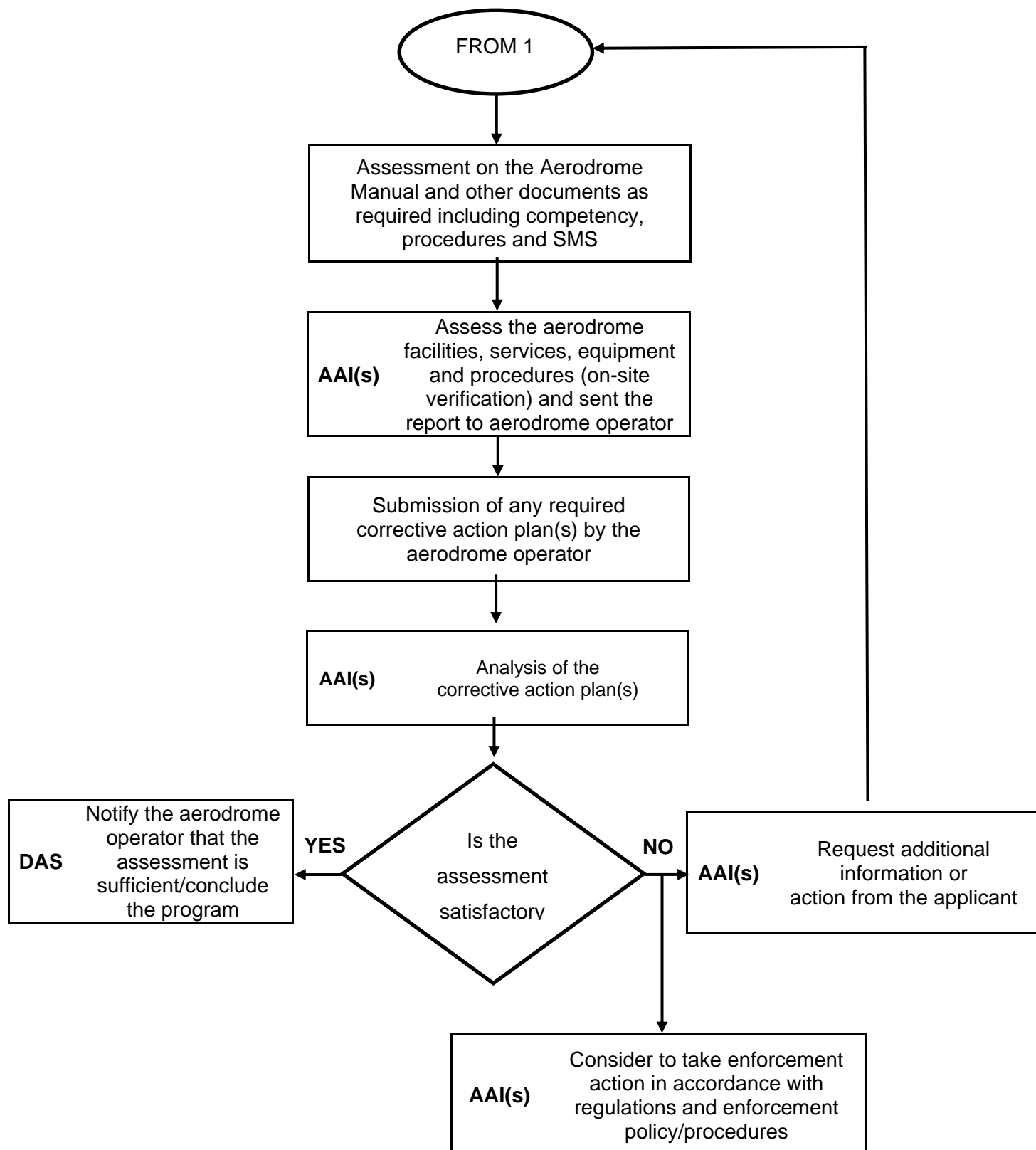


Figure. 1-1: Work Flow Process for the Surveillance of an Aerodrome



**Chapter 4 – Surveillance Audit Preparation & Notification to Aerodrome Operator****4.1 Surveillance Pre-Audit Meeting**

4.1.1 Surveillance pre-audit meeting may be conducted with a minimum of half of the members and can be conducted via any medium e.g. face to face or videoconference, keeping in mind that the Team Leader still has the final decision.

4.1.2 A thorough preparation before a surveillance audit will be confirmed in the pre-audit meeting as below:

- a) confirm initial surveillance audit scope
- b) define and plan surveillance team activities and expansion of scope
- c) provide a defined structure, including timing and dates to enable the surveillance team to meet its objectives
- d) ensure all decision making and planning documents are being recorded
- e) review of AIP, Aerodrome Manual, Self-Assessment, outstanding findings and proposed action plans provided by aerodrome operator for the last inspection conducted

*Note.- Aerodrome operator is required to submit copy of the Aerodrome Self-Assessment Verification Report conducted to the CAA.*

- f) travel arrangement (accommodation and mode of transportation)

4.2 Aerodrome inspectors (Audit Team Members) shall gather and review surveillance preparation documentation and produce their assessment report prior to attending the Surveillance Audit.

**4.3 Notification to Aerodrome Operator (if it is announced audit)**

4.3.1 The assigned aerodrome inspector shall draft the Surveillance Inspection Notification Letter to be signed by the DAS. It is usual practice to include the scoping elements in the notification letter, however these can be excluded, subject to the approval by the DAS.

4.3.2 The assigned aerodrome inspector shall forward the Surveillance Notification Letter to the aerodrome operator and ensure that the aerodrome operator receive the Surveillance Notification Letter two weeks prior to the scheduled surveillance audit.

## Chapter 5 – Surveillance Audit

*Note:- This chapter should align with the Chapter 5 of APAC Generic Aerodrome Inspector Handbook.*

- 5.1 Surveillance Audit activities shall include but not limited to:
  - a) Opening meeting
  - b) Surveillance inspection/conduct verification process (collect, analyse and record evidence)
  - c) Pre-closing meeting
  - d) Closing meeting
- 5.2 Opening Meeting
  - 5.2.1 The purpose of the opening meeting is to finalise the logistics of the surveillance, as well as to clarify the scope, timetable and availability of key personnel of the aerodrome operator. Matters that relate to the subject of the surveillance should not form part of the opening meeting processes, but rather should be conducted as part of the subsequent surveillance activities.
  - 5.2.2 A sample of the typical agenda items for an opening meeting can be found in **Appendix I** and the opening meeting is normally conducted on the aerodrome operator's premises, but in some circumstances may require it to be conducted remotely.
  - 5.2.3 The opening meeting will be chaired by the aerodrome operator, and the Audit Team Leader may explain CAA's approach to aerodrome operator engagement during the conduct of a surveillance audit, as well as any other procedural matters that may arise during the surveillance audit as appropriate.
- 5.3 Surveillance inspection/conduct verification process
  - 5.3.1 Audit of documentation and other standard operating procedures, preventive and corrective maintenance plans, maintenance records, AIPs, Aeronautical Charts, NOTAMS/SNOWTAMS and other relevant documentation relating to safe and efficient operations of the aerodrome.
  - 5.3.2 The Audit Team will also conduct audits on aerodrome infrastructure, facilities, equipment, services and operational organization to assess compliance with relevant Directives. The Audit Team Members (Aerodrome Inspectors) may conduct the inspection based on a sampling technique in which the depth of sampling required to verify each finding has been determined with the Audit Team Leader (Chief Inspector) during a pre-audit meeting conducted earlier.
  - 5.3.3 Evidence is collected while conducting a surveillance inspection with relevant information recorded in the checklist to support any associated findings.
  - 5.3.4 Evidence includes:

- oral evidence – record date, time, details of conversation on the checklist
  - notes taken during any surveillance inspection
  - documents sighted during the surveillance inspection – always reference the document title and section affected
  - copies of documents and records
  - photographs (location shall be recorded, measurement to be taken (if applicable))
- 5.3.5 Audit Team Members (Aerodrome inspectors) shall validate areas of safety concern with the aerodrome operator to ensure all aspects of the area of concern are covered before concluding verification process.
- 5.3.6 Audit Team Members (Aerodrome inspectors) shall report the elements of the assessment in the checklist as either:
- Satisfactory;
  - Not-Satisfactory; or
  - Not-Applicable.
- 5.3.7 Elements in the report that are reported as Not-Satisfactory shall be accompanied with a brief description or remarks by the Audit Team Members (Aerodrome Inspectors), which may be either:
- deficiencies in the structure and format of documentation;
  - deficiencies of information in the documentation;
  - non-compliances with regulations, standards;
  - inconsistencies of information in the documentation; or
  - short-comings in the documentation that requires revision, additions or deletion.
- 5.3.8 A Non-Satisfactory element of the report shall also be referred to either:
- Section(s) of the Civil Aviation Act;
  - Regulation(s) of the [Civil Aviation Regulations](#);
  - Paragraph(s) of [Civil Aviation Requirements \(Operating Regulations\)/Civil Aviation Directive\(s\)](#); or
  - SARPs of ICAO Annex 14 or other relevant ICAO Annexes, if they are not covered under National Regulations.
- 5.3.9 The assessment report shall also contain Audit Team Member's (aerodrome inspector's) recommendation regarding the deficiencies, non-compliances, inconsistencies or shortcomings; which may either:

- require immediate clarification, correction and/or additional documentation from aerodrome operator; or
- registered as findings [Level 1 or Level 2 non-compliances or observations] and to be clarified by aerodrome operator during surveillance inspection.

#### 5.4 Pre-closing meeting

5.4.1 Pre-closing meeting is conducted internally among the Team Leader (Chief Inspector) and Team Members (aerodrome inspectors). The purpose of this meeting is for the Team Leader and Members to analyse the results of the surveillance and to determine what will be presented at the closing meeting.

5.4.2 Audit Team Members shall prepare for the following:

- a) Assess all evidences gathered during the surveillance inspection
- b) Draft potential findings for the team's final analysis of the surveillance
- c) Discuss results of the surveillance
- d) Discuss the delivery of the closing meeting agenda to ensure a coordinated approach

#### 5.5 Closing Meeting

5.5.1 The Audit Team Leader (Chief Inspector) chairs the closing meeting and will explain the subsequent processes to be followed, particularly in applying 'Just culture' principles to be followed, including procedural fairness principles whereby the aerodrome operator will be given the opportunity to consider and potentially object to any findings of the Aerodrome Operator.

5.5.2 During the closing meeting, preliminary findings identified during the surveillance inspection are brought to the attention of the Accountable Executive including Safety Managers and key technical personnel of the Aerodrome Operator.

5.5.3 It must be explained during the closing meeting that the aerodrome operator will have the opportunity to provide response or evidence on the preliminary findings within the timeframe stipulated in Civil Aviation Regulations (e.g. two (2) to four (4) weeks' time).

5.5.4 It should also be made clear that official Non-compliance/Observation Reports (NCRs) in the format provided in **Appendix II** are formulated and issued after finalisation in conjunction with the response provided by aerodrome operator on the potential findings.

**Chapter 6 – Audit Report**

6.1 Following the conduct of a surveillance inspection and review of evidence obtained, a copy of the Surveillance Audit Report is provided to the aerodrome operator to inform them of their current level of compliance and any identified findings. All the information on the findings will be registered in the Non-Compliance/Observation Report Form (**Refer Appendix II**).

6.2 Findings shall be classified as follows:

**(1) Level 1 non-compliances:**

Where the CAA determines that the level of compliance and/or safety performance of an organisation or individual has fallen to the extent that there is a potential or significant risk to flight safety, a Level 1 finding will be made. The CAA will take action in accordance with the relevant regulation, which may result in provisional or substantive suspension or variation of the approval, or a proposal to revoke the approval. The CAA may also consider the need for possible prosecution. Corrective action will be required before the suspension is lifted and before the activity giving rise to the finding is recommenced.

**(2) Level 2 non-compliances:**

This action may be taken where the CAA identifies a non-compliance with a regulation but determine that the nature of that non-compliance is such that there is no immediate risk to safety. The CAA will require the Aerodrome Operator to develop a corrective action plan acceptable to the CAA that will restore compliance within an agreed timescale.

**(3) Observations:**

The CAA may provide advice and guidance to industry on how non-compliance might be avoided. The CAA expects Aerodrome Operator to take this advice seriously and act on it immediately. Observations will usually be raised as the result of an audit or inspection when best practices in accordance with CAA Guidance (i.e. Advisory Circulars, Directives etc.) are not being followed, or when it is anticipated that the auditee, although currently in compliance, is unlikely to remain so unless appropriate action is taken.

6.3 The Aerodrome Inspector assigned shall prepare a surveillance audit/inspection report to the aerodrome operator, containing a list of audit/inspection findings (report number).

**Chapter 7 – Corrective Action**

- 7.1 All non-compliances registered in an audit report, and which are stated and issued to the aerodrome operator in the Non-Compliance/Observation Report Form (**Appendix II**), will require corrective action by the aerodrome operator.
- 7.2 Aerodrome operator shall state their proposed corrective action plan in the Non-Compliance/Observation Report Form (**Appendix II**) and submit within timeframe stipulated in Civil Aviation Regulations (e.g. generally thirty (30) days of the date of the audit report).
- 7.3 The corrective action plan shall describe method(s) to be taken by the aerodrome operator to address the non-compliance, the time duration required and the date when a compliance will be achieved.
- 7.4 The Aerodrome Inspector assigned shall:
- record the corrective action plan(s) received from the aerodrome operator;
  - check the list of audit/inspection findings issued to the aerodrome operator in audit/inspection report and ensure that the aerodrome operator submits all the required corrective action plans;
  - notify aerodrome operator, if any, corrective action plan(s) to findings not submitted by the aerodrome operator; and
  - distribute the corrective action plan(s) to relevant Aerodrome Inspectors for their assessment (if applicable).
- 7.5 Upon receipt and evaluation of aerodrome operator's corrective action plan, the plan may or may not be approved.
- 7.6 The Aerodrome Inspector(s) shall:
- conduct an assessment whether corrective action plan(s) is suitable and acceptable to rectify the non-compliances; and
  - notify the Audit Team Leader (Chief Inspector) and DAS either the corrective action plan(s) acceptable or not.
- 7.7 Where the corrective action plan suggested is not satisfactory or the time duration to correct the findings is considered unacceptable, the aerodrome operator will be notified to revise the corrective action plan.
- 7.8 A revised corrective action plan shall be submitted within the timeframe stipulated in Civil Aviation Regulations (e.g. fourteen (14) days of the notification).
- 7.9 Regardless of the above, the CAA expects: -
- Level 1 non-compliances on aerodrome facilities, equipment and services shall be immediately corrected not exceeding the timeframe stipulated in Civil Aviation Regulations (e.g. 7 days from the date of closing meeting);

- Level 2 non-compliances, the default closure timeline is as stipulated in Civil Aviation Regulations (e.g. maximum 60 days from the date of closing meeting); and
- For Observations, which require an action, the default closure timeline is as stipulated in Civil Aviation Regulations (e.g. maximum 90 days from the date of closing meeting)

7.10 The Aerodrome Inspector assigned should:

- a) monitor the progress of the corrective action taken by aerodrome operator;
- b) inform DAS when corrective action is completed and finding(s) has been satisfactorily resolved;
- c) classify corrective action plan(s) that has been satisfactorily accomplished and notify the aerodrome operator that the relevant finding is closed; and
- d) update the information in the file of relevant aerodrome.

7.11 The aerodrome inspectors should conduct a follow-up inspection to check the progress on outstanding corrective action against the finding(s) unless a confirmation of completion of the same by the aerodrome operator has been received by DASS.

**Appendix I – Sample Agenda Items for an Opening Meeting**

- a) Welcome
- b) Introduction of the auditors and interviewees from the audited sectors
- c) Presentation of the audit approach
- d) Presentation of the audit context
- e) If appropriate, mention the previous audit
- f) Review of objectives and the scope (field of application) of the audit
- g) Brief presentation of the audit methodology while insisting on its standardized nature
- h) Presentation of the audit sequence: discussions, visits (ask if it is possible to take photos), consulting of documents
- i) Auditor's code of ethics: non-argumentative, non-intrusive, non-accusatory, confidentiality assured
- j) Presentation of the advantages of the audit (progress and improvements in the aerodrome programme)
- k) Presentation of the audit plan with possible last-minute changes
- l) Confirmation of the date and time of all discussions and of the final meeting
- m) Clarification of any unclear aspects of the audit plan
- n) Resolution of material aspects: Confirmation of the availability of the necessary equipment and installations
- o) Clarification of any unclear aspect of the aerodrome certificate holders, aerodrome programmes or pre-audit questionnaire
- p) Answer the questions of the representatives from the different services responsible for aerodrome operations
- q) Record of attendees
- r) Audit termination
- s) Conclusion



## Appendix II – Sample of Non-Compliance / Observation Report Form

## NON-COMPLIANCE / OBSERVATION REPORT FORM

<b>NON-COMPLIANCE / OBSERVATION REPORT</b>		<b>Report No:</b>
<b><u>STATUS</u></b>  <input type="checkbox"/> LEVEL 1 <input type="checkbox"/> LEVEL 2 <input type="checkbox"/> OBSERVATION	<b>Name of CAA Aerodrome Inspector:</b>	<b>Reference No. / Document:</b>
	<b>Date of Inspection:</b>	<b>Name of Aerodrome Operator:</b>
	<b>Procedure / Facility Title (With appropriate rule, CAR, GM etc. reference):</b>	
<b>NON-COMPLIANCE DETAILED INFORMATION</b> (To be filled by CAA Aerodrome Inspector)		<b>Aerodrome Inspector:</b> (Signature)   <b>Director Aerodrome Standard, CAA:</b> (Signature)
<b>CORRECTIVE ACTION DETAILED INFORMATION</b> (To be filled by Aerodrome Manager)		<b>Aerodrome Manager:</b> (Signature)
<b>AERODROME INSPECTOR VERDICT:</b> (To be filled by Aerodrome Inspector)  <input type="checkbox"/> NCR CLOSED      Date of Closure:  <input type="checkbox"/> CAP ACCEPTED      Expected Date of Closure:  <input type="checkbox"/> CA/CAP IS NOT ACCEPTED      Date: Remarks:		<b>Director Aerodrome Standard, CAA:</b> (Signature)

## Appendix III – Sample of Aerodrome Surveillance Programme for XYZ Airport for Year 2022 – 2025

Name of Aerodrome: XYZ Airport					
Date Certified: 21 June 2021			Next Date of Certification: 22 June 2026		
Year	Tentative Date of Surveillance Programme	Type of Surveillance	Duration	Scope Covered	Surveillance Team Members
2022	06/06/2022	Unscheduled Unannounced Audit	2 days	<u>Civil &amp; Electrical</u> <ul style="list-style-type: none"> <li>• maintenance of the movement area</li> <li>• visual aids and aerodrome electrical systems</li> </ul>	Civil + Electrical AIs (2)
2023	10/07/2023	Scheduled Announced Audit	2.5 days	<u>Operations &amp; AFRS</u> <ul style="list-style-type: none"> <li>• vehicles control on the movement area</li> <li>• wildlife hazard management</li> <li>• removal of a disabled aircraft</li> <li>• reporting of Runway Surface Conditions</li> <li>• aerodrome emergency plan</li> <li>• rescue and firefighting (RFF)</li> </ul>	Operations + AFRS AIs (2)
2024	06/05/2024	Unscheduled Announced Audit	1 day	<u>SMS</u> <ul style="list-style-type: none"> <li>• SMS Manual</li> <li>• ALoSP</li> <li>• HIRARC</li> </ul>	SMS AIs (2)

Name of Aerodrome: XYZ Airport					
Date Certified: 21 June 2021			Next Date of Certification: 22 June 2026		
Year	Tentative Date of Surveillance Programme	Type of Surveillance	Duration	Scope Covered	Surveillance Team Members
2025	05/05/2025	Scheduled Unannounced Audit	3 days	All	Civil + Electrical + Operations + AFRS + SMS AIs (5)

Abbreviation:

Aerodrome Inspector (AI)