



ICAO

The Second Meeting of the Asia/Pacific Aerodrome Assistance Working Group (AP-AA/WG/2)
Bangkok, Thailand, 27 to 30 January 2020

Agenda Item 3: Aerodrome Certification and Safety Management System

GENERIC AERODROME INSPECTOR HANDBOOK

(Presented by Bangladesh)

SUMMARY

This Working Paper presents a generic aerodrome inspector handbook for the consideration by AP-AA/WG.

1. DISCUSSION

1.1 With reference to AP-AA/WG Task 1/3 (d), Bangladesh presents a generic aerodrome inspector handbook which was modified from an existing handbook used in Bangladesh.

1.2 The model handbook is available in **Attachment A**.

2. ACTION BY THE MEETING

2.1 The Meeting is invited to review and amend the generic aerodrome inspector handbook as appropriate.

Generic Aerodrome Inspector Handbook

Version 0.00
Date: dd/mm/yy

**List of Effective
Pages**

Chapter	Pages	Version	Date of Issue
List of Effective Pages	ii to viii		
Records of Amendment	ix		
Revision History	X		
Table of Contents	xi to xiv		
Foreword	Xv		
Chapter-1 About This Handbook	1-1		
1.1 Purpose of the Handbook	1-1		
1.2 Scope of the Handbook	1-2		
1.3 Overview and Concepts	1-2 to 1-3		
1.4 Legislation, Regulations, Standards and Manuals	1-3		
1.5 Amendment of this Handbook	1-3 to 1-4		
1.6 Definitions and Abbreviations	1-4		
1.6.1 Definitions	1-4 to 1-5		
1.6.2 Abbreviations	1-5		
1.7 Objective	1-5		
1.8 <i>Introduction to the Entry Control Procedures</i>	1-6		
1.9 ICAO Eight Critical Element (CE) of a safety oversight system.	1-6 to 1-7		
Chapter-2 Regulatory Authority and Responsibilities of CAA	2-1		
2.1 General	2-1		
2.2 Aerodrome Standard Division	2-1		
2.2.2 Aerodrome Certification Committee	2-5		
2.3 Functions and Responsibilities of Aerodrome Certification Committee	2.5		
2.3.1 Aerodrome Certification	2-5		

Generic Aerodrome Inspector Handbook

Chapter	Pages	Version	Date of Issue
2.3.2 Notifications to Aeronautical Information Services and other Organizations	2-5		
2.3.3 Safety Audits	2-6		
2.3.4 Other Safety Functions	2-8		
2.3.5 Compliance and Enforcement	2-8		
2.3.6 Aerodrome Standards	2-10		
2.4. Technical Library and Records	2-10		
2.5 Qualifications & Selection Criteria,, Duties and Responsibilities of Aerodrome Inspectors.	2-11		
2.5.1 Qualification & Selection Criteria of Aerodrome Inspectors	2-11		
2.5.1.1 Aerodrome Inspectors Selection Criteria	2.11		
2.5.2 Duties and Responsibilities of Aerodrome Inspectors (Including <i>Members of ACC</i>)	2-11		
2.5.3 Aerodrome Inspector (Including <i>Members of ACC</i>) Powers and Authority	2-13		
Chapter-3 Responsibilities of Aerodrome Certificate Holders	3-1		
3.1 Requirement for Aerodrome Operation	3-1		
3.2 Aerodrome Manuals	3-1		
3.2.1 Submission of Aerodrome Manuals	3-1		
3.2.2 Approval of Aerodrome Manuals	3-1		
3.2.3 Amendment of Aerodrome Manuals	3-1		
3.3 Responsibilities of the Aerodrome Operators	3-2		
3.3.1 Tasks and Responsibilities of the Certificated Aerodrome Operators	3-2		
3.3.2 Internal Audit	3-2		
3.3.3 Internal Quality Audit Programme	3-2 to 3-3		
3.4 Corrective Action	3-3		

Generic Aerodrome Inspector Handbook

Chapter	Pages	Version	Date of Issue
3.5 Preventive Action	3-3		
3.6 Management Review	3-3		
3.7 Tests	3-4		
3.8 Records	3-4		
Chapter-4 CAA Safety Oversight of Aerodrome Operators	4-1		
4.1 Aerodrome Safety Oversight	4-1		
4.1.1 Safety Oversight Audit	4-1 to 4-2		
4.1.2 Scheduling Audits/Inspections	4-3		
4.1.3 Notifying Audits/Inspections	4-3		
4.1.4 Role of Auditors	4-3 to 4-4		
4.1.5 Role of Audit Team Leader/DGCA of ACC	4-4 to 4-5		
4.2 Aerodrome Safety System Audit	4-5		
4.2.1 System Safety Audit Process	4-5		
4.2.2 Preparation for Audit/Inspection	4-5		
4.2.3 Review of Documentation	4-5 to 4-6		
4.2.4 Preparation of Checklists	4-6		
4.2.5 Preparation of Audit Timetable	4-6 to 4-7		
4.2.6 Confirmation of Audit Arrangements	4-7		
4.2.7 On-site Conduct of Audits and Inspections	4-7		
4.2.8 Entry/Opening Meeting	4-7 to 4-8		
4.2.9 Evidence of Conformity	4-8		
4.2.10 Interviewing	4-9		
4.2.11 Recording of Audit Findings	4-9 to 4-10		
4.2.12 Exit/Closing Meeting	4-10		

Generic Aerodrome Inspector Handbook

Chapter	Pages	Version	Date of Issue
4.2.13 Audit/Inspection Reports	4-11		
4.2.14 Corrective Actions	4-11 to 4-12		
4.2.15 Audit Records	4-12 to 4-13		
Chapter-5 Regulatory Enforcement	5-1		
5.1 General	5-1		
5.2 Enforcement Options	5-1		
5.3 Selection of Enforcement Action	5-1		
5.4 Follow-up Action	5-1		
5.4.1 Corrective Action Plan.	5.1 to 5.2		
5.4.2 Screening of Dangerous Lights	5.2		
5.5 Publications procedure of certified Aerodrome status/ Data:	5.2		
Chapter-6 Processes and Procedures	6-1		
6.1 Issuing an Aerodrome Certificate	6-1		
6.1.1 Flowchart – Approval Procedure for Aerodrome Certification	6-1 to 6-2		
6.1.2 Certification of Aerodromes under the provisions of (NATIONAL	6-3 to 6-4		
6.1.3 Aerodrome Certificate Issue Checklist	6-4 to 6-5		
6.1.4 Aerodrome Operator’s Application Form for Aerodrome Certification	6-6 to 6-7		
6.1.5 Sample Letters	6-8		
6.1.5.1 Sample Letter for Grant of an Aerodrome Certificate	6-8		
6.1.5.2 Sample Letter for Refusal to Grant an Aerodrome Certificate	6-9		
6.1.6 Sample Aerodrome Certificate	6-10 to 6-13		
6.2 Surrender of an Aerodrome Certificate	6-14		
6.2.1 Surrender Process Flowchart	6-14		
6.2.2 Surrender of Aerodrome Certificate	6-15		

Generic Aerodrome Inspector Handbook

Chapter	Pages	Version	Date of Issue
6.2.3 Aerodrome Certificate Surrender Checklist	6-15 to 6-17		
6.2.4 Sample Letter for Cancellation by Surrender	6-18		
6.3 Transferring an Aerodrome Certificate	6-19		
6.3.1(a) Transfer Process Flowchart	6-19		
6.3.1(b) Transferring an aerodrome certificate	6-20		
6.3.2 Processing Transfer of an Aerodrome Certificate	6-20 to 6-22		
6.3.3 Aerodrome Certificate Transfer Checklist	6-22 to 6-23		
6.3.4 Sample Letters	6-24		
6.3.4.1 Sample Letter for Consent to Transfer an Aerodrome Certificate	6-24		
6.3.4.2 Sample Letter for Transfer Confirmation of an Aerodrome Certificate	6-25		
6.3.4.3 Sample Letter for Non-consent to Transfer of an Aerodrome Certificate	6-26		
6.3.5 Sample Aerodrome Certificate for Transfer	6-27		
6.4 Amendment to the Aerodrome Certificate	6-28		
6.4.1 Amendment Process Flowchart	6-28		
6.4.2 Processing Amendments	6-29 to 6-31		
6.4.3 Aerodrome Certificate Amendment Checklist	6-31 to 6-32		
6.4.4 Sample Letters	6-33		
6.4.4.1 Sample Letter for Amendment of an Aerodrome Certificate	6-33		
6.4.4.2 Non-consent to Amend an Aerodrome Certificate	6-34		
6.5 Compliance and Enforcement	6-35		
6.5.1 Cancelling or Suspending an Aerodrome Certificate	6-35 to 6-36		
6.5.2 Aerodrome Certificate Suspension or Cancellation Checklist	6-36 to 6-37		
6.5.3 Sample Letters	6-38		
6.5.3.1 Sample Warning Notification	6-38		

Generic Aerodrome Inspector Handbook

Chapter	Pages	Version	Date of Issue
6.5.3.2 Sample Letter for Suspension of an Aerodrome Certificate	6-39		
6.5.3.3 Cancellation of an Aerodrome Certificate	6-40		
6.6 Renewal of Aerodrome Certificate	6- 41		
Appendices:			
Appendix 01 – Guidelines on Conducting Aerodrome Certification Audit	App. 01-1 to 01-8		
Appendix 02 – Audit Notification Letter to Aerodrome Operator	App. 02-1 to 02-2		
Appendix 03 – Activities of Aerodrome Certification Audit Program	App. 03-1 to 03-2		
Appendix 04 – Aerodrome Pre-Audit Questionnaire	App. 04-1 to 04-2		
Appendix 05 – Suggested Agenda Items for an Opening/Entry Meeting	App. 05-1		
Appendix 06 – Audit Checklists for Aerodrome Certification	App. 06-1 to 06-55		
Appendix 07 – Standard Audit Report Format	App. 07-1 to 07-6		
Appendix 08 – Post Audit Feedback Form	App. 08-1		
Appendix 09 – Aerodrome Inspector Handbook Distribution List	App. 09-1		
Attachments:			
Attachment C – XXX Airport Certification Audit Initial Findings	Att. C-1 to C-8		
Attachment D – Audit Finding Form	Att. D-1		
Attachment E – Auditor Feedback Form	Att. E-1 to E-2		

Generic Aerodrome Inspector Handbook

Revision History

Revision/ Version	Date	Chapter/ Section	Details
0.00		All All	Aerodrome Inspector Handbook of CAA (State)

TABLE OF CONTENTS

List of Effective Pages	Page: ii
Records of Amendment	Page: ix
Revision History	Page: x
Table of Contents	Page: xi
Foreword	Page: xv
Chapter-1 About This Handbook	Page: 1-1
1.1 Purpose of the Handbook	Page: 1-1
1.2 Scope of the Handbook	Page: 1-2
1.3 Overview and Concepts	Page: 1-2
1.4 Legislation, Regulations, Standards and Manuals	Page: 1-3
1.5 Amendment of this Handbook	Page: 1-3
1.6 Definitions and Abbreviations	Page: 1-4
1.6.1 Definitions	Page: 1-4
1.6.2 Abbreviations	Page: 1-5
1.7 Objective	Page: 1-5
1.8 Introduction to the Entry Control Procedures	Page: 1-6
1.9 ICAO Eight Critical Element (CE) of a safety oversight system	Page: 1-6
Chapter-2 Regulatory Authority and Responsibilities of CAA	Page: 2-1
2.1 General	Page: 2-1
2.2 Aerodrome Standard Division	Page: 2-1
2.2.2 Aerodrome Certification Committee	Page: 2-5
2.3 Functions and Responsibilities of Aerodrome Certification Committee	Page: 2-5
2.3.1 Aerodrome Certification	Page: 2-5
2.3.2 Notifications to Aeronautical Information Services and other Organizations	Page: 2-6
2.3.3 Safety Audits	Page: 2-6
2.3.4 Other Safety Functions	Page: 2-8
2.3.5 Compliance and Enforcement	Page: 2-8
2.3.6 Aerodrome Standards	Page: 2-10
2.4 Technical Library and Records	Page: 2-10

Generic Aerodrome Inspector Handbook

- 2.5 Qualifications, Duties and Responsibilities of Aerodrome Inspectors (*Members of ACC*)
 - 2.5.1 Qualification & selection criteria of Aerodrome Inspectors

Page:2-11

Page:2.11

Generic Aerodrome Inspector Handbook

2.5.1.1	Aerodrome Inspectors selection Criteria	Page: 2-11
2.5.2	Duties and Responsibilities of Aerodrome Inspectors (Including <i>Members of ACC</i>)	Page:2-11
2.5.3	Aerodrome Inspector (Including <i>Members of ACC</i>) Powers and Authority	Page: 2-13
Chapter-3	Responsibilities of Aerodrome Certificate Holders	Page: 3-1
3.1	Requirement for Aerodrome Operation	Page: 3-1
3.2	Aerodrome Manuals	Page: 3-1
3.2.1	Submission of Aerodrome Manuals	Page: 3-1
3.2.2	Approval of Aerodrome Manuals	Page: 3-1
3.2.3	Amendment of Aerodrome Manuals	Page: 3-1
3.3	Responsibilities of the Aerodrome Operators	Page: 3-2
3.3.1	Tasks and Responsibilities of the Certificated Aerodrome Operators	Page: 3-2
3.3.2	Internal Audit	Page: 3-2
3.3.3	Internal Quality Audit Programme	Page: 3-2
3.4	Corrective Action	Page: 3-3
3.5	Preventive Action	Page: 3-3
3.6	Management Review	Page: 3-3
3.7	Tests	Page: 3-4
3.8	Records	Page: 3-4
Chapter-4	CAA Safety Oversight of Aerodrome Operators	Page: 4-1
4.1	Aerodrome Safety Oversight	Page: 4-1
4.1.1	Safety Oversight Audit	Page: 4-1
4.1.2	Scheduling Audits/Inspections	Page: 4-3
4.1.3	Notifying Audits/Inspections	Page: 4-3
4.1.4	Role of Auditors	Page: 4-3
4.1.5	Role of Audit Team Leader/DGCA of ACC	Page: 4-4
4.2	Aerodrome Safety System Audit	Page: 4-5
4.2.1	System Safety Audit Process	Page: 4-5

Generic Aerodrome Inspector Handbook		
4.2.2	Preparation for Audit/Inspection	Page: 4-5
4.2.3	Review of Documentation	Page: 4-5
4.2.4	Preparation of Checklists	Page: 4-6
4.2.5	Preparation of Audit Timetable	Page: 4-6
4.2.6	Confirmation of Audit Arrangements	Page: 4-7
4.2.7	On-site Conduct of Audits and Inspections	Page: 4-7
4.2.8	Entry/Opening Meeting	Page: 4-7
4.2.9	Evidence of Conformity	Page: 4-8
4.2.10	Interviewing	Page: 4-9
4.2.11	Recording of Audit Findings	Page: 4-9
4.2.12	Exit/Closing Meeting	Page: 4-10
4.2.13	Audit/Inspection Reports	Page: 4-11

Generic Aerodrome Inspector Handbook

	4.2.14 Corrective Actions	Page: 4-11
	4.2.15 Audit Records	Page: 4-12
Chapter-5	Regulatory Enforcement	Page: 5-1
5.1	General	Page: 5-1
5.2	Enforcement Options	Page: 5-1
5.3	Selection of Enforcement Action	Page: 5-1
5.4	Follow-up Action	Page: 5-1
5.4.1	Corrective Action plan	Page: 5-1
5.4.2	Screening of Dangerous Light	Page: 5-2
5.5	Publications procedure of certified Aerodrome status/ Data:	Page: 5-2
Chapter-6	Processes and Procedures	Page: 6-1
6.1	Issuing an Aerodrome Certificate	Page: 6-1
6.1.1	Flowchart – Approval Procedure for Aerodrome Certification	Page: 6-1
6.1.2	Certification of Aerodromes under the provisions of (NATIONAL RULES)	Page: 6-3
6.1.3	Aerodrome Certificate Issue Checklist	Page: 6-4
6.1.4	Aerodrome Operator's Application Form for Aerodrome Certification	Page: 6-6
6.1.5	Sample Letters	Page: 6-8
6.1.5.1	Sample Letter for Grant of an Aerodrome Certificate	Page: 6-8
6.1.5.2	Sample Letter for Refusal to Grant an Aerodrome Certificate	Page: 6-9
6.1.6	Sample Aerodrome Certificate	Page: 6-10
6.2	Surrender of an Aerodrome Certificate	Page: 6-14
6.2.1	Surrender Process Flowchart	Page: 6-14
6.2.2	Surrender of Aerodrome Certificate	Page: 6-15
6.2.3	Aerodrome Certificate Surrender Checklist	Page: 6-15
6.2.4	Sample Letter for Cancellation by Surrender	Page: 6-18
6.3	Transferring an Aerodrome Certificate	Page: 6-19
6.3.1 (a)	Transfer Process Flowchart	Page: 6-19
6.3.1 (b)	Transferring an Aerodrome Certificate	Page: 6-20
6.3.2	Processing Transfer of an Aerodrome Certificate	Page: 6-20
6.3.3	Aerodrome Certificate Transfer Checklist	Page: 6-22
6.3.4	Sample Letters	Page: 6-24
6.3.4.1	Sample Letter for Consent to Transfer an Aerodrome Certificate	Page: 6-24
6.3.4.2	Sample Letter for Transfer Confirmation of an Aerodrome Certificate	Page: 6-25
6.3.4.3	Sample Letter for Non-consent to Transfer of an Aerodrome Certificate	Page: 6-26
6.3.5	Sample Airport Certificate for Transfer	Page: 6-27
6.4	Amendment to the Aerodrome Certificate	Page: 6-28
6.4.1	Amendment Process Flowchart	Page: 6-28
6.4.2	Processing Amendments	Page: 6-29
6.4.3	Aerodrome Certificate Amendment Checklist	Page: 6-31
6.4.4	Sample Letters	Page: 6-33

Generic Aerodrome Inspector Handbook

6.4.4.1	Sample Letter for Amendment of an Aerodrome Certificate	Page: 6-33
6.4.4.2	Non-consent to Amend an Aerodrome Certificate	Page: 6-34
6.5	Compliance and Enforcement	Page: 6-35
6.5.1	Cancelling or Suspending an Aerodrome Certificate	Page: 6-35
6.5.2	Aerodrome Certificate Suspension or Cancellation Checklist	Page: 6-36
6.5.3	Sample Letters	Page: 6-38
6.5.3.1	Sample Warning Notification	Page: 6-38
6.5.3.2	Sample Letter for Suspension of an Aerodrome Certificate	Page: 6-39
6.5.3.3	Cancellation of an Aerodrome Certificate	Page: 6-40
6.6	Renewal of Aerodrome Certificate	Page: 6-41

Appendices:

Appendix 01	– Guidelines on Conducting Aerodrome Certification Audit	App. 01-1
Appendix 02	– Audit Notification Letter to Aerodrome Operator	App. 02-1
Appendix 03	– Activities of Aerodrome Certification Audit Program	App. 03-1
Appendix 04	– Aerodrome Pre-Audit Questionnaire	App. 04-1
Appendix 05	– Suggested Agenda Items for an Opening/Entry Meeting	App. 05-1
Appendix 06	– Audit Checklists for Aerodrome Certification	App. 06-1
Appendix 07	– Standard Audit Report Format	App. 07-1
Appendix 08	– Post Audit Feedback Form	App. 08-1
Appendix 09	– Aerodrome Inspector Handbook Distribution List	App. 09-1

Attachments:

Attachment C	– XXX Airport Certification Audit Initial Findings	Att. C-1
Attachment D	– Audit Finding Form	Att. D-1
Attachment E	– Auditor Feedback Form	Att. E

FOREWORD

(State) as a Contracting state to the Convention on International Civil Aviation has an obligation to the international community to ensure that civil aviation activities under its jurisdiction are carried out in strict compliance with the Standards and Recommended Practices contained in all the Annexes to the Convention on International Civil Aviation in order to maintain the required aviation standards.

As per the ((NATIONAL RULES)) and the Manual of Aerodrome Standard (MAS)/ ANO, Aerodromes used for International Civil Aviation within (State) are required to be certified.

Issue of an Aerodrome Certificate by the DGCA of Civil Aviation Authority (CAA). (State) to an Aerodrome Operator seeking such certificate is a requirement as per Rule....., if the aerodrome operator satisfies the requirements of the concerned Rules of (NATIONAL RULES) and provisions of MAS/ANO.

In order to issue an Aerodrome Certificate the CAA (State) has to conduct an in-depth investigation to assess whether the aerodrome is maintained in accordance with the required standards and the competency of the aerodrome operator to maintain the aerodrome staff, equipment's, and procedures as per the regulatory Rules- requirements.

As per recommendation contained in Art 3.6.4 of ICAO Document 9734 Part A, an Aerodrome Inspector's Hand Book is a useful tool to accomplish all the tasks by Aerodrome Inspectors in all functional areas.

This handbook contains guidance material intended to assist Aerodrome inspectors(s) of CAA (State) in carrying out their regulatory responsibilities for the issue, renewal, transfer, surrender, amendment, suspension and revocation of aerodrome certificates.

Users of this handbook are reminded that the provisions of the **(NATIONAL RULES), MAS and other applicable regulatory documentation**, rather than this handbook, determine the requirements of, and the obligations imposed by or under, the civil aviation legislation. Users should refer to the applicable provisions when any doubt arises.

It is also expected that the applicant of an Aerodrome Certificate will be benefited by this handbook as it explains the audit and inspection procedures while assessing the aerodrome manual, aerodrome physical facilities, equipment and aerodrome operating procedures.

CAA preserves the right, without any prior notice, to change the content(s) of this handbook as appropriate, to suit the administrative rules followed by dissemination of such changes to the holders of the handbook.

DGCA

Chapter 1 About This Handbook

1.1 Purpose of the Handbook

This handbook provides information and guidance to Aerodrome Inspectors (AI) of (State) conducting safety oversight functions on aerodrome operations. It provides guidance for Inspectors involved in safety audits of aerodromes. It provides guidance to AI on the procedures to be followed:

for the assessment of aerodrome operator's application for the certification of the aerodrome and recommendation to the DGCA, CAA for the issue, or refusal to issue, aerodrome certificates as required by **(NATIONAL RULES)** respectively;

for cancellation of an aerodrome certificate at the request of the aerodrome operators as per **(NATIONAL RULES)**;

for the transfer of an aerodrome certificate at the request of an aerodrome operator as per **(NATIONAL RULES)**;

for the amendment of an aerodrome certificate as per **(NATIONAL RULES)**;

for suspending or cancelling of aerodrome certificate as per **(NATIONAL RULES)**.

Additionally, guidance is provided for answering enquiries related to the requirements of these actions.

This handbook establishes various actions required to be undertaken by Aerodrome Inspectors so that aerodrome operations within (State) are maintained in accordance with;

Relevant aviation legislation that impacts on safe aerodrome operations, and specifically that which addresses aerodromes – **Legislation/ Act/ Rule/ ANO**;

Manual of Aerodrome Standards/ANO of the (State);

Annex 14 to the Chicago Convention of the International Civil Aviation Organization (ICAO), Aerodromes Volume I; and

any other directives/Advisory Circulars issued by the DGCA, CAA relevant to civil aerodromes.

This handbook defines the applicable national regulations and clearly sets out the:

Responsibilities of AI of CAA; and

Standards and procedures AI must follow while conducting CAA safety oversight functions on aerodrome operators.

1.2 Scope of the Handbook

This handbook is part of the CAA document set. It includes processes, flowcharts, letters, forms and other related support documents to aid AI of CAA when conducting entry control actions related to aerodrome matters.

This handbook contains information for safety audit processes to be adopted for international aerodrome or airport intended for air transport operations.

Responsibility for the development, implementation and maintenance of aerodrome standards rests with the CAA. Specifically designated Aerodrome Inspectors of CAA are accountable for the ongoing tasks required to ensure that the contents of this handbook are being effectively implemented in order to satisfy the following objectives:

- a) To verify the effective implementation of aerodrome standards;
- b) to monitor the level of compliance with the provisions of (National Rules) & the requirement of ANO/Annex-14 Vol-1..
- c) to determine the adequacy and effectiveness of the handbook through the establishment of legislation, regulations, inspections and audits;
- d) To ensure all persons who are assigned aerodrome audit duties or responsibilities are trained and instructed to carry out such duties;
- e) To ensure that violation of standards are investigated; and
- f) To review and re-evaluate aerodrome standards on a periodic basis and control immediately following an act of violation.

1.3 Overview and Concepts

The system described in this handbook covers the following basic elements;

- a) Conduct of surveys by CAA of various airports and other aviation stakeholders to determine aerodrome requirements;
- b) Setting out of operational standards by the CAA through the requirement for, and approval of, aerodrome certificate (AC);
- c) Voluntary compliance (internal quality assurance) by the holders of aerodrome certificates;
- d) Surveillance, including the detection of non-conformity with standards, conducted by the CAA;
- e) Investigation and reporting of noncompliance by the CAA;
- f) Notification of violations to (State)d aerodrome operation requirements by the CAA to aerodrome operators;
- g) Enforcement action by CAA in case of non-compliance with requirements by aerodrome operators;

- h) Surveillance and detection of non conformity with aerodrome regulatory requirements as applied within (State), conducted by ICAO under the Universal Safety Oversight Audit Programme (USOAP).

Under the (NATIONAL RULES) there is a requirement for aerodrome operators to develop and submit an aerodrome manual to the CAA. Aerodrome manuals describe in detail how operators implement the various standards required of them. If an aerodrome manual is approved by the CAA, it is an indication that, at the time, information and processes contained within the manual were to the standards required to be met by the operator, and that the aerodrome certificate holder is expected to consistently maintain compliance with the mandatory safety requirements. The contents of the manual form the basis for any audit or inspection conducted by the CAA.

1.4 Legislation, Regulations, Standards and Manuals

The **CAA Legislation/Rule** provides the provisions for the control and development of aerodromes in (State);

The **CAA Legislation /Rule** provides the provisions for the establishment of CAA (State);

The **Civil Aviation Rules, (NATIONAL RULES)**, which specifies:

Requirements to be satisfied by the aerodrome operators for the certification of aerodromes in (State);

Regulatory requirements on Safety Management Systems for Aerodrome Operators;

- Manual of Aerodrome Standards, (State);
- Manual on Preparation of Aerodrome Manual;
- Exemption Procedures for Non-compliances at Aerodromes;

Manual of Aerodrome Certification Procedures, CAA (State).

1.5 Amendment of This Handbook

- a) This handbook is issued as a controlled document. Each page is uniquely identifiable and amendments will be made from time to time to reflect necessary changes. All copies of the handbook are numbered and issued in accordance with the distribution list. All copy holders are responsible for the safe custody and maintenance of their numbered copy of the handbook.
- b) The **DASS** is responsible for the development, issue and control of amendments to this handbook. Individual handbook copy holders indicated on the distribution list are responsible for insertion of all amendments.

- c) Within 30 (thirty) days of the issue of an amendment, confirmation will be provided to the **DASS** that the required amendment action has been accomplished by the return of the amendment control page, signed and dated by the individual amending an issued Inspector handbook.

Each handbook issued must show the amendment number and the date, as described in the list of effective pages.

All amendments will be shown in the Record of Amendments.

- d) Minor changes (e.g. telephone number, typographical errors) can be accommodated by 'pen and ink' if so indicated in any amendment documentation issued by **DASS** prior approval. All such changes will be incorporated accordingly. Distribution of the changes will be the same as described above and a record of these changes will be shown in the Record of Amendments. However, minor changes will generally be collated over a period of three to six months and actioned by a formal amendment.

1.6 Definitions and Abbreviations

1.6.1 Definitions

Aerodrome A defined area of land or water (including any buildings, installations and equipment) intended to be used either wholly or in part for the arrival, departure and surface movement of aircraft.

Aerodrome Certificate A Certificate issued by the DGCA under the Rule of (National Rules) for operation of an international aerodrome or airport.

Aerodrome Inspector Personnel, authorized by the DGCA of CAA (State) to inspect and carry out tests on the aerodrome facilities, services and equipment, inspect aerodrome operators documents and records and verify the aerodrome operator's safety management system before the aerodrome certificate is granted or renewed and subsequently, at any other time, for the purpose of ensuring safety and order at the aerodrome.

Aerodrome Manual A manual included in an application for aerodrome certificate pursuant to Rule... .. and includes any amendments to the manual accepted by the DGCA.

Aerodrome Operator An aerodrome operator in relation to certificated aerodrome is the aerodrome certificate holder.

Certified Aerodrome An international aerodrome or airport whose operator has been granted an aerodrome certificate.

1.6.2 Abbreviations

Generic Aerodrome Inspector Handbook

AEP	Aerodrome Emergency Plan
AI	Aerodrome Inspector
ACC	Aerodrome Certification Committee AIP
	Aeronautical Information Publication AIS
	Aeronautical Information Services CAA
	Civil Aviation Authority, (State)
FOI	Flight Operations Inspector
ICAO	International Civil Aviation Organization
MACP	Manual of Aerodrome Certification Procedures
MAS	Manual of Aerodrome Standards
MS	Member Secretary
N/A	Not Applicable
Annex 14	Annex 14 to the Convention on International Civil Aviation
NOTAM	Notice to Airman – a notice issued by the NOTAM Office and containing information or instruction concerning the establishment, condition or change in any aeronautical facility, service, procedure or hazard.
RCA	Request for Corrective Action

1.7 Objective:

This inspector handbook is provided for the guidance of AI:

- to assist in handling enquiries related to aerodrome certification;
- for the assessment of applications for aerodrome certification; and
- for the surveillance of the certified aerodrome operators.

1.8 Introduction to the Entry Control Procedures

The operational requirement for aerodrome operators, in the broadest terms, is to ensure that:

- o The facilities being provided meet the specified aerodrome standards
- o Aerodrome operational staff is trained to carry out the functions specified in the aerodrome manual.
- o Certified aerodromes have appropriate documented procedures in place.

1.9 ICAO Eight Critical Element (CE) of a safety oversight system.

CE-1. Primary aviation legislation. The provision of a comprehensive and effective aviation law consistent with the environment and complexity of the (State)'s aviation activity and compliant with the requirements contained in the Convention on International Civil Aviation.

CE-2. Specific operating regulations. The provision of adequate regulations to address, at a minimum, national requirements emanating from the primary aviation legislation and providing for standardized

operational procedures, equipment and infrastructures (including safety management and training systems), in conformance with the Standards and Recommended Practices (SARPs) contained in the Annexes to the Convention on International Civil Aviation.

Note.— The term “regulations” is used in a generic sense to include but is not limited to instructions, rules, edicts, directives, sets of laws, requirements, policies, and orders.

CE-3. (State) civil aviation system and safety oversight functions. The establishment of a Civil Aviation Authority (CAA) and/or other relevant authorities or government agencies, headed by a Chief Executive Officer, supported by the appropriate and adequate technical and non-technical staff and provided with adequate financial resources. The (State) authority must have (State)d safety regulatory functions, objectives and safety policies.

Note.— The term “(State) civil aviation system” is used in a generic sense to include all authorities with aviation safety oversight responsibility which may be established by the (State) as separate entities, such as: CAA, Airport Authorities, Air Traffic Service Authorities, Accident Investigation Authority, and Meteorological Authority.

CE-4. Technical personnel qualification and training. The establishment of minimum knowledge and experience requirements for the technical personnel performing safety oversight functions and the provision of appropriate training to maintain and enhance their competence at the desired level. The training should include initial and recurrent (periodic) training.

CE-5. Technical guidance, tools and the provision of safety-critical information. The provision of technical guidance (including processes and procedures), tools (including facilities and equipment) and safety-critical information, as applicable, to the technical personnel to enable them to perform their safety oversight functions in accordance with established requirements and in a standardized manner. In addition, this includes the provision of technical guidance by the oversight authority to the aviation industry on the implementation of applicable regulations and instructions.

CE-6. Licensing, certification, authorization and approval obligations.

The implementation of processes and procedures to ensure that personnel and organizations performing an aviation activity meet the established requirements before they are allowed to exercise the privileges of a licence, certificate, authorization and/or approval to conduct the relevant aviation activity.

CE-7. Surveillance obligations. The implementation of processes, such as inspections and audits, to proactively ensure that aviation licence, certificate, authorization and/or approval holders continue to meet the established requirements and function at the level of competency and safety required by the (State) to undertake an aviation related activity for which they have been licensed, certified, authorize and/or approved to perform. This includes the surveillance of designated personnel who perform safety oversight functions on behalf of the CAA.

CE-8. Resolution of safety concerns. The implementation of processes and procedures to resolve identified deficiencies impacting aviation safety, which may have been residing in the aviation system and have been detected by the regulatory authority or other appropriate bodies

Note.— This would include the ability to analyse safety deficiencies, forward recommendations, support the resolution of identified deficiencies, as well as take enforcement action when appropriate.

Chapter 2 Regulatory Authority and Responsibilities of CAA (State)

2.1 General

The primary responsibility of the Civil Aviation Authority, (State) with respect to regulations and operations of aerodromes in (State) is to ensure that:

- a) the aerodromes under the jurisdiction of (State) offer a safe operational environment in accordance with the Convention on International Civil Aviation; and
- b) the obligation of (State) under Article 38 of the Convention to notify ICAO of differences between its national regulations and practices and the International Standards contained in Annex 14, Volume I, is met. It is also recommended that differences between the Recommended Practices contained in the Annex 14 and the (State)'s national regulations and practices be notified to ICAO.

This handbook contains information for safety audit processes to be adopted for international aerodrome or airport intended for air transport operations.

2.2 AERODROMES STANDARD DIVISION

The role of the aerodromes inspectorate, also known as Aerodromes & Ground Aids (AGA) is to provide safety oversight of the aerodromes facility, ground aids, electric systems, installations including certification of the various categories of aerodromes and appropriate personnel as required for ensuring continued compliance with national regulations and international standards and practices.

Specifically, the role of the aerodromes inspectorate involves:

- a) Dealing with regulatory aspects relating to performance and condition of runways, taxiways and apron. This also includes serviceability of pavements and visual aids;
- b) Dealing with regulatory aspects relating to performance of visual aids, lightings and electrical systems. This also includes, ensuring maintenance performance level objectives for aerodromes visual aid are met in accordance with the standards;
- c) Dealing with regulatory aspects relating to effectiveness of and requirements for Rescue and Fire Fighting Services and Aerodrome Emergency Planning commensurate with the aerodrome category;
- d) Dealing with regulatory aspects relating to apron safety and management, movement areas, obstructions evaluation and marking;

Functions of Aerodromes Inspectorate

The regulatory functions of Aerodromes Inspectorate are guided by-

- ICAO Annex 14, Volumes 1 - Aerodromes & Volume 2 - Heliports and the related ICAO Documents

- The Civil Aviation (Aerodromes) Regulations,
- Manual of Aerodrome Standards
- AGA Orders, Advisory Circulars & Guidance Materials
- Aerodromes Inspectors Handbook
- Other Manuals (Aerodrome Certification)

The functions involve:

- a) Carrying out efficient and effective safety oversight of aerodrome operations with the objective of enhancing safe operation of aircraft and to continually ensure compliance with national and international standards i.e. ICAO standards and recommended practices (SARPs) and industry best practices;
- b) Development of Aerodrome Standards, technical guidance materials for aerodrome operations, processes and procedures; and
- c) Development and recommendation of regulatory amendments to civil aviation legislations as appropriate.

2.2.1 Duties & Responsibilities

2.2.1.1 DIRECTOR (AERODROMES STANDARD) as a Management Position:

1. To administer the overall activity and functions of the Directorate.
2. To adopt the SARPs of ICAO Annexes into (NATIONAL RULES) as required.
3. To implement (NATIONAL RULES) and the SARPs of ICAO Annexes of 10, 14 and 19.
4. To examine changes in ICAO requirements for incorporation into national requirements, or the filing of appropriate differences.
5. To verify and ensure the quality of the services provided by the Aerodrome Operator as per ICAO SARPs.
6. To develop Policy and Procedures, Manuals, ANOs, ACs, GMs and exemption procedures.
7. To check and monitor the fitness of movement area, maneuvering area, equipment, fire- fighting facilities, signage, marking and lighting systems.
8. To carryout inspect and monitor the Obstruction Limitation Surface (OLS) in and around the airport.
9. To monitor safety and security system of airside area.

10. To develop and implement the surveillance programme.
11. To develop and implement the training programme.
12. To develop and conduct in house training and OJT for the inspectors.
13. To comply with applicable audit/ inspection procedures as stipulated in the inspectors handbook.
14. To prepare and utilize relevant checklists and aerodrome inspectors handbooks for audit/inspection purpose.
15. To form an aerodrome certification committee to issue, renew, cancel, suspend of aerodrome certificates to aerodrome operators as per regulations.
16. To set and monitor the aerodrome design standards for the air operators.
17. To detail assignment for the inspectors for different checks, inspection.
18. To document observations and reporting findings.
19. To communicate and clarify observations and findings with audited/ Inspected parties.
20. To recommend for enforcement against the aerodrome operator if any.
21. To perform any other duties assigned by the Authority in the Aerodromes Inspectors Handbook.

2.2.1.2 Duties and Responsibilities of Aerodrome Inspectors

The duties and responsibilities of Aerodrome Inspectors are as follows;

- a) Conduct inspections for the certification/licensing of aerodromes in accordance with the regulations, standards and recommendations.
- b) Develop a suitable programme for the purpose of proposing the establishment, promulgation and amendments of;
 - i) Relevant aspects of (State)'s Civil Aviation legislation such as Acts, Regulations, Orders and other instruments containing mandatory requirements;
 - ii) National aerodrome standards, guidance materials, processes and procedures for regulating all categories of aerodromes; and
 - iii) procedures and programmes for continuing aerodrome surveillance and implementation of relevant enforcement actions, where necessary;
- c) Ensure compliance with the provisions of the standards and recommended practices and other requirements specified in the CAA Manual of Aerodrome Standards;

- d) Conduct audits of aerodrome operations in line with regulations and guiding in implementation of audit related action plans. Assess effectiveness of proposed corrective actions of operators including follow up on their implementation;
- e) Ensure Safety Management Systems and Aerodrome Manuals are developed and implemented by aerodrome operators in accordance with the (State)'s Safety Programme (SSP) and the civil aviation regulations;
- f) Ensure effective implementation of Aerodrome Emergency Plan (AEP) and adequate control of obstacles within and in the vicinity of aerodromes and in accordance with regulatory requirements;
- g) Develop guidance materials including Advisory Circulars for different specialist areas as acceptable means for compliance with the Civil Aviation (Aerodromes) Regulations;
- h) As necessary, undertake audits and perform inspections to ensure serviceability of runway, taxiway and apron surfaces, ground aids and associated infrastructures;
- i) Conduct regular audits/inspections to ensure aerodrome operators compliance with the provision of primary and secondary power supply and that ground aids are continually serviceable and that lighting intensity is controlled in accordance with the maintenance performance level objectives;
- j) Conduct audits/inspections to ensure aerodrome operators comply with the regulatory requirements for marking and illuminating obstacles, both on the aerodrome and in the vicinity of aerodromes;
- k) Carry out safety oversight activities of the emergency services provided at aerodromes with the objective of enhancing safety, efficiency and regularity of air navigation and ensuring compliance with national and international standards;
- l) Ensure implementation of Aerodrome Emergency Plans commensurate with aerodrome level of protection and complexity of operations.
- m) Aerodrome Certification,
- n) Compliance and enforcement.
- o) Notification to the AIS and other Organizations.

2.2.2 Aerodrome Certification Committee

In CAA of (State) (CAA), an Aerodrome Certification Committee (ACC) has been established by the DGCA, CAA as per of MACP – Manual of Aerodrome Certification Procedures of CAA for the purpose of the certification of aerodromes in (State). The ACC comprises of the following officials:

- | | | | |
|-----|-------------------------------------|---|-------------|
| (a) | DASS | - | Chairperson |
| (b) | Representative of Civil Engineering | - | Member |
| (c) | Representative of E/M Engineering | - | Member |

- (d) Representative of ATS Engineering - Member
- (e) Representative of Inspectors of AGA section - Member Secretary

The Committee may include FOI and other AGA Experts as co-opted members in the committee as and when required.

The Committee shall carry out Audits of all International & Domestic Airports (if applicable) and Inspections of all Airports in (State) and shall submit report to the DGCA, CAA with recommendations for Aerodrome Certification.

2.3 Functions and Responsibilities of Aerodrome Certification Committee

2.3.1 Aerodrome Certification

These tasks and responsibilities include, but are not limited to:

- a) Receiving, recording, reviewing and processing, in cooperation with the Flight Operations Inspector (FOI) of the CAA, the expressions of interest received from an intending applicant for an aerodrome certificate;
- b) Receiving, recording, reviewing and processing, in cooperation with the FOI of CAA, the formal application for an aerodrome certificate, including the initial inspection covering the review of the aerodrome manual, on-site verification, inspection and testing of aerodrome particulars, facilities and equipment, including assessment of aeronautical studies;
- c) Grant or refusal of an aerodrome certificate;
- d) Receiving, recording, reviewing and processing applications for the transfer of an aerodrome certificate;
- e) Grant or refusal of the transfer of an aerodrome certificate;
- f) Receiving, recording, reviewing and processing applications for the surrender of an aerodrome certificate;
- g) Cancelling or suspending an aerodrome certificate;
- h) Grant of an interim aerodrome certificate; and
- i) Reviewing the factors requiring the amendment of an aerodrome certificate and issuing the required amendments.
- j) Renewal of aerodrome certificate.

2.3.2 Notifications to Aeronautical Information Services and other Organizations

These tasks and responsibilities include:

- a) Notifying aeronautical information services (AIS) of the certified status of an aerodrome and providing the particulars of the aerodrome described in the aerodrome manual for promulgation by the AIS;
- b) Reviewing any amendments to aerodrome manuals and notifying AIS of the changes to be made in the AIS publications;

- c) Coordinating with AIS in the review of any notification received from an aerodrome operator for promulgation by AIS, such as notification of:
 - inaccuracies in AIS publications;
 - changes in aerodrome facilities, equipment and level of services planned in advance;
 - obstacles, obstructions and hazards;
 - closure of any part of the maneuvering area;
 - immediate reduction in the level of service at the aerodrome and any other conditions that could affect the safety at or near the aerodrome and warrant precautions to be taken; and

- d) Coordinating with other agencies and service providers such as aeronautical information service, air traffic services, designated meteorological authorities, and security.

2.3.3 Safety Audits

These tasks and responsibilities include:

- a) periodic or special on-site audits of the aerodrome safety management system including verification of the aerodrome, and data published in the aeronautical information publication (**AIP**) and inspection of the aerodrome facilities, equipment and operating procedures; and

- b) Review of the aerodrome operator's daily audits and special safety audit reports and actions thereon.

Note.—

- (1) *An aerodrome audit programme should operate on the principle that the aerodrome certificate holder's internal audit programme is of primary importance and that the CAA's audits are conducted to review and evaluate that programme and, in addition, to independently check and verify the particulars of the aerodrome notified in the AIP, as well as the aerodrome operating procedures, safety measures, facilities and equipment.*

- (2) *Periodic inspections are therefore required to ensure that aerodrome certificate holders meet their obligations under the terms of the certificate, as set out in (**NATIONAL RULES**), and the requirements of the approved aerodrome manual.*

- (3) *The frequency of inspections may correspond to the class of the aerodrome as categorized by the CAA but at least once in a year.*

- (4) *The tasks and responsibilities associated with periodic inspections are described in 2.5.2. These tasks may be carried out in the following phases*
 - a) *Pre-inspection briefing* with aerodrome management, including coordination with air traffic control tower personnel.

 - b) *Administrative inspection* of the aerodrome safety management system, including such items as:

- current NOTAMs;
 - medical and RFF training records;
 - aviation fuel suppliers' safety records;
 - fuelling agents' certificates and fire safety training records;
 - documentation of the annual review of the aerodrome emergency plan, including full-scale emergency exercises; and
 - the aerodrome operator's records of the safety audits of fixed-base operators, ground handling agents and other agencies engaged in airside activities.
- c) *Movement area inspection* including:
- the inspection and checking of runways and taxiways in order to ascertain the condition of pavements, markings, lighting, signs, shoulders, strips and runway end safety areas;
 - Checking for potentially hazardous conditions if construction work is in progress, such as excavations, trenches, stockpiled material, inadequate construction area markings, construction equipment in the movement area and inadequate marking and lighting of temporary thresholds;
 - checking ground vehicle operations in the movement area to verify that only authorized vehicles have access to the area and that the required procedures are being followed, the vehicles are properly marked and the drivers know and use the proper communication terminology;
 - checking that the public is protected against unauthorized entry to the movement area and against jet or propeller blast;
 - checking for wildlife hazards and wildlife attractants; and
 - checking landing direction indicators and wind direction indicators.
- d) *Rescue and fire-fighting* including:
- The checking of training records;
 - Random testing of the knowledge of firefighters;
 - Checking that the equipment is in position, is functional and meets the category requirements;
 - conducting a time response drill;
 - checking the alarm system; and
 - checking and examining proximity suits, other protective clothing and fire-fighting and rescue tools and supplies in the inventory.
- e) *Fuel facilities* including the examination of the inspection records by qualified and authorized personnel, particularly checking that the aerodrome fire-fighting standards are adequately covered in the inspection checklist, and spot checking, including fuel sampling, for compliance with the applicable requirements.

- f) *Night inspections* including the evaluation and checking for compliance with the standards related to:
 - runway, taxiway and apron lighting and signage;
 - pavement markings;
 - aerodrome beacons;
 - wind direction indicator lighting;
 - obstacle lighting and the marking; and
 - lighting of construction areas.

- g) *Post inspection briefing* with the aerodrome management, including the determination of appropriate enforcement action for non-compliance with the regulations.

2.3.4 Other Safety Functions

These tasks and responsibilities include:

- a) a first-hand evaluation of full-scale airport emergency exercises to identify problems and deficiencies;
- b) the provision of guidance at the design and construction stages of aerodrome projects, particularly complex projects or where there is significant work that may impact compliance with the regulations;

- c) final inspection of completed projects involving complex or significant work to identify problems or deficiencies that need to be corrected in order to comply with the requirements of the regulations; and

- d) the organization of, and participation in, aerodrome safety seminars and other training programmes to promote a safety culture.

2.3.5 Compliance and Enforcement

Introductory Notes:-

- (1) *It is the responsibility of aerodrome operators to comply with the requirements of the aerodrome certification regulations. Aviation safety at aerodromes depends primarily on voluntary adherence to these requirements by the aerodrome operators. Promoting compliance with the regulations through education, training and counseling is therefore of primary importance, and only when these efforts have failed should formal enforcement action be taken. Sanctions can be administrative or legal depending on the severity of the violation of the regulations and its impact on aviation safety.*

- (2) *Administrative action in the form of a warning letter or correction letter may be considered appropriate when legal action is deemed unnecessary. Administrative enforcement action is intended to bring the violation to the attention of the aerodrome operator, to document corrective action and to require future compliance. Such actions are warranted when the violation does not result in a significant unsafe condition, is not caused by incompetence or lack of required qualifications on the part of the aerodrome operator, is not deliberately caused, the attitude of the operator is constructive and positive towards compliance with the regulations and there is no history of such a violation by the operator.*

- (3) *Formal legal enforcement action may be warranted to prevent future violations of the regulations. Such action may include the issuance of cease- and-desist orders and injunctions and the imposition of sanctions after the act to deter violations. Such sanctions may include revocation, suspension or amendment of the certificate. Legal enforcement actions are pursuant to **(NATIONAL RULES)**.*
- (4) *In determining the appropriate type and measure of sanction to be applied, the factors to be considered may include the nature of the violation, whether it was deliberate or inadvertently caused; the potential or actual hazard to aviation safety created by the violation; the aerodrome operator's level of responsibility; records of previous violations; the operator's attitude toward the violation, including whether the operator voluntarily disclosed the violation and whether action was taken to correct it; the impact of the proposed sanction on the violator and its value as a deterrent to other operators in similar situations.*
- (5) *Certificate-related legal sanctions can have a significant impact on air services and may also have other repercussions. Since the public interest and aviation safety are the principal objectives of aerodrome certification regulations, recourse to the imposition of sanctions may be warranted only after all other means of resolving safety violations have failed to ensure compliance.*

These tasks and responsibilities include:

- (a) Suspension of an aerodrome certificate, if:
 - the aerodrome operator's safety management system is found to be inadequate;
 - it is in the interest of operational safety;
 - all other means for timely correction of the unsafe condition or ensuring safe aircraft operations have not yielded the required results;
 - the technical proficiency or qualifications of the aerodrome operator to perform the duties to meet the critical safety requirements in accordance with the regulations are found inadequate;
 - the operator resists or is unwilling to take action to correct or mitigate the condition affecting aviation safety; or
 - the operator willfully fails to perform an already agreed upon corrective action and suspension of the certificate is the last resort to avoid unsafe operations in the aerodrome movement area.
- (b) Revocation of an aerodrome certificate, if the aerodrome operator:
 - is incapable or unwilling to carry out corrective action or has committed/repeated serious violations;
 - has demonstrated a lack of responsibility, such as deliberate and flagrant acts of non-compliance or falsification of records jeopardizing aviation safety; or
 - has made it convincingly clear that the continued operation of the aerodrome will be detrimental to the public interest.

2.3.6 Aerodrome Standards

These general tasks and responsibilities include the following:

- a) reviewing ICAO (State) letters on the subject of aerodromes, preparing responses thereto and taking action thereon;
- b) developing and continuing to review the national standards and practices for aerodrome design, operation and maintenance, and engineering specifications;
- c) developing and issuing orders, rules, advisory circulars and guidance material relating to aerodrome standards and practices;
- d) reviewing plans and designs for new aerodromes or the further development of, or modification to, existing aerodromes, submitted to the CAA for approval, to ensure that the requirements of the national regulations, standards and the ICAO SARPs are complied with; and
- e) advising the aerodrome inspectors as required, on aerodrome standards and practices.

2.4. Technical Library and Records

*Introductory Note:- To enable Aerodrome Inspectors (**Members of ACC**) to keep abreast of the subject of aerodrome design, specifications, operation and maintenance, it is essential to establish a properly organized and administered technical library. The library should contain all documents issued by ICAO relating to the design, operation and maintenance of aerodrome facilities and equipment, and all national standards, rules, orders, advisory circulars and guidance materials. Additionally, the standards and other relevant documentation issued by other (State)s which are commonly used*

as reference material, and important textbooks and magazines on the subject should also be kept in the technical library. It is important that the documents in the library be promptly amended to keep them current.

The main objective of the establishment of the technical library for ACC is: (a)

to maintain files for each aerodrome including certified aerodromes;

Note:- The file for each certified aerodrome should contain records from the expression of interest stage to the issuance or refusal of the certificate, and the file should remain open thereafter for further documentation and correspondence on the subject. Additionally, an aerodrome certificate register should be maintained for each aerodrome as well as a reference log of the date of issue of important letters, forms and certificate numbers.

- (b) to maintain close liaison with the Accident Investigation and Prevention Committee of (State) to obtain data on aircraft accidents and incidents at or near aerodromes for use by Aerodrome Inspectors (**Members of ACC**) in their continuing work.

2.5. Qualifications & Selection Criteria, Duties and Responsibilities of Aerodrome Inspectors.

2.5.1 Qualification & Selection Criteria of Aerodrome Inspectors.

(a) Aerodrome inspectors may be engineers (civil or electrical) with adequate experience in aerodrome planning, operation or maintenance and should possess a sound knowledge of the national legislation, standards and practices, and ICAO Annex 14, Volume I, all relevant manuals published by ICAO. Flight training, airport management experience and knowledge of modern safety management systems are desirable qualifications.

(b) The CAA may also consider hiring persons with other qualifications, experience and knowledge suitable for carrying out the duties of aerodrome inspector, subject to any conditions that the CAA may have regarding the person's qualifications, experience and knowledge. Such persons may have airport management, flight operations or air traffic control backgrounds. Training in the appropriate elements of aerodrome engineering relevant to aerodrome inspection should be an essential requirement.

(c) Training in the appropriate fields as specified in AGA Training Programme should be an essential requirement.

2.5.1.1 Aerodrome Inspectors Selection Criteria

Selection criteria of aerodrome inspectors is as per recruitment policy of CAA.

2.5.2 Duties and Responsibilities of Aerodrome Inspectors (Including *Members of ACC*)

Aerodrome Inspectors (Including *Members of ACC*) will report to the *DASS*, who is also a *DGCA of the ACC* and will be responsible for carrying out the functions described in 2.3.1 to 2.3.5. Adequate on-the-job training should be provided before entrusting the whole spectrum of aerodrome inspection duties to an inspector.

The typical duties of Aerodrome Inspectors (Including *Members of ACC*) should include but not be limited to:

- a) verification of the aerodrome data in the aerodrome manual including details of:
 - the location of the aerodrome;
 - the name and address of the aerodrome operator;
 - the movement area;
 - the runway declared distances available;
 - aeronautical ground lighting;
 - ground services; and
 - notices of special conditions and procedures, if any
- b) on-site verification and audits of aerodrome operating procedures including:
 - the overall aerodrome safety management system;

Generic Aerodrome Inspector Handbook

- the aerodrome emergency plan and periodic aerodrome emergency exercises;
 - rescue and fire-fighting;
 - inspection and maintenance of aeronautical ground lighting;
 - promulgation of changes to published aerodrome information;
 - the prevention of unauthorized entry to the aerodrome, particularly the movement area and protection of the public against jet or propeller blast;
 - the operator's daily inspection of the aerodrome;
 - the planning and carrying out of aerodrome construction and maintenance work including compliance with construction safety requirements;
 - apron management and parking control;
 - the control of vehicles operating on or in the vicinity of the movement area;
 - wildlife hazard management;
 - the monitoring of obstacle limitation surfaces and notification;
 - the removal of disabled aircraft;
 - hazardous materials, including aviation fuel;
 - the protection of radar and navigational aids; and
 - low-visibility operations;
- c) on-site checking and testing of aerodrome facilities and equipment including:
- the dimensions and surface conditions of run-ways, taxiways, stopways, runway end safety areas, runway and taxiway strips, shoulders and aprons;
 - aeronautical ground lighting systems including flight check records;
 - standby power;
 - landing direction indicators and wind direction indicators, aerodrome markings and markers;
 - guidance signs and warning signs in the movement area;
 - aerodrome maintenance equipment;
 - disabled aircraft removal plan;
 - wildlife control equipment;
 - the presence of obstacles in obstacle limitation surfaces;
 - runway visual range measuring equipment;
 - the presence of dangerous lights;
 - rescue and fire-fighting equipment;
 - fuelling facilities; and
 - runway surface friction measuring equipment;
- d) flying assessments and aeronautical studies at aerodromes:
- in cooperation with the Flight Operations Inspector of the CAA and other specialists as required, organize flying assessments at aerodromes and conduct
- aeronautical studies, if and where permitted by the national regulations, standards and practices;
- e) general duties:
- all other functions relating to the certification of aerodromes including:

- receiving and processing of expressions of interest and applications for aerodrome certificates;
- processing requests for the amendment, transfer or surrender of certificates or requests for interim certificates;
- reporting to AIS;
- initiating NOTAMs and determining appropriate enforcement action in the event of non-compliance with the regulations.

2.5.3 Aerodrome Inspector (Including *Members of ACC*) Powers and Authority

Aerodrome Inspectors carry formal authorizations, to be produced if required, enabling them to exercise their powers in accordance with the **(NATIONAL RULES)**. These powers include the ability:

- a) to inspect any part of any aerodrome;
- b) to investigate and test the effectiveness of aerodrome practices and procedures;
- c) to require an aerodrome operator, aerodrome manager or occupier of land outside the aerodrome occupied for business purposes in connection with the aerodrome to provide information relevant to inspections, surveys, tests and investigations;
- d) to enter on any land or in any buildings, access to which is necessary, for the purpose of inspecting an aerodrome; and
- e) to record an operation, procedure or installation in written, photographic or other electronic form.

The above powers apply equally to air navigation installations. Furthermore, Aerodrome Inspectors are allowed to take into restricted zones of airports, and use, any equipment necessary to their duties, including cameras, video recorders and tape recorders. These powers may be exercised when CAA Aerodrome Inspectors are conducting audits, surveys and inspections.

Chapter 3 Responsibilities of Aerodrome Certificate Holders

3.1 Requirement for Aerodrome Operation

With **CAA Rule**formal review and approval along with the application for the certification of aerodromes.

The general requirement for some aviation entities and service providers is to develop aerodrome manuals and submit them to the CAA in accordance

As per **CAA Rule**the operator of an international aerodrome or airport intended for air transport operations shall be in possession of an aerodrome certificate.

Certified aerodromes must have a current approved aerodrome manual to describe aeronautical data and other information specific to each particular aerodrome.

3.2 Aerodrome Manuals

3.2.1 Submission of Aerodrome Manuals

A current aerodrome manual is required to be submitted to CAA as a component of a formal application for certification.

3.2.2 Approval of Aerodrome Manuals

Upon receipt of a submitted aerodrome manual, the DGCA CAA has authority to approve, reject or require modification to the submitted aerodrome manual. Notification to the aerodrome operator of any disapproval or requirement for modification will be made in writing. Where an aerodrome manual is approved and the other elements of certification have been complied with, an aerodrome certificate will be issued.

An approved aerodrome manual also provides a basis for on-going surveillance of aerodromes and aerodrome operators by CAA Aerodrome Inspectors after initial certification has been achieved.

3.2.3 Amendment of Aerodrome Manuals

Whenever necessary to retain currency or if directed by the CAA, an aerodrome operator shall amend the aerodrome manual and provide copy of the amendment(s) to CAA. The DGCA CAA has authority to approve, reject or require modification of the submitted aerodrome manual amendment.

Approval will result in an amended aerodrome manual. Notification to the aerodrome certificate holder of that approval, or rejection (or requirement for change to the amendment) as a result of a submitted amendment or adjustment will be made in writing to the operator as soon as is practicably possible, and wherever possible prior to the proposed effective date of implementation of the proposed amendment or adjustment.

3.3 Responsibilities of the Aerodrome Operators

3.3.1 Tasks and Responsibilities of the Certified Aerodrome Operators

- (a) The aerodrome operator shall arrange for internal audits of the safety management system, including inspections of the aerodrome facilities and equipment.

- (b) The aerodrome operator shall ensure that the internal audit reports, including the report on the aerodrome facilities, services and equipment, are prepared by suitably qualified safety personnel.
- (c) The aerodrome operator shall retain a copy of the report(s) referred to in paragraph (b) above for a period to be agreed with the CAA. The aerodrome operator shall also submit the report(s) to CAA upon request for review and/or reference.
- (d) The report(s) referred to in paragraph (b) above must be prepared and signed by the persons who carried out the audits and inspections.
- e) A procedure for preventive action to ensure that potential causes of problems that have been identified within the system are remedied;
- f) A process to capture staff suggestions for improvement, followed by management review and possible implementation of those suggestions;
- g) An internal quality audit programme to audit the aerodrome certificate holder's organization for conformity with the procedures in its manual and achievement of the goals set out in it.

3.3.2 Internal Audit

Each certified aerodrome operator will incorporate an internal audit process to provide factual information for management to make appropriate decisions in accordance with the aerodrome manual. This internal audit should be able to:

- a) Determine the compliance or noncompliance of the audit elements with specified requirements;
- b) Determine the effectiveness of the implemented standards in meeting the specified objectives; and
- c) Provide the audited organization with the opportunity to improve the operational standard and overall performance.

3.3.3 Internal Quality Audit Programme

The aerodrome operator's audit process will be contained in an internal quality audit programme that shall:

- a) Specify the frequency and the location of the audits taking into account the nature of the activity to be audited;
- b) Ensure audits are carried out by trained auditing personnel who are independent of those having direct responsibility for the activity being audited;
- c) Ensure the results of audits are recorded and reported to the personnel responsible for the activity being audited and the manager responsible for internal audits;
- d) Require preventive or corrective action to be taken by the personnel responsible for the activity being audited if problems are found by the audit; and
- e) Ensure follow up audits to review the effectiveness of any preventive or corrective actions taken are regularly carried out.

3.4 Corrective Action

The procedure for corrective action shall specify how:

- a) To correct an existing problem;
- b) To follow up a corrective action to ensure the action is effective; and
- c) Management will measure the effectiveness of any corrective action.

3.5 Preventive Action

The procedure for preventive action shall specify how:

- a) To correct a potential problem;
- b) To follow up a preventive action to ensure the action is effective;
- c) To amend any operational procedure as a result of a preventive action; and d)

Management will measure the effectiveness of any preventive actions taken.

3.6 Management Review

The procedure for management review shall:

- a) Specify the frequency of management reviews of the quality assurance system taking into account the need for the continuing effectiveness of the system;
- b) Identify the responsible manager who shall review the operational standards; and
- c) Ensure the results of the review are evaluated and recorded.

3.7 Tests

Each aerodrome certificate holder shall test its level of compliance with standards, the objective of which is to determine the effectiveness of both the processes and systems involved and the individual performance of staff members tasked with carrying out those processes in the system.

3.8 Records

Each aerodrome certificate holder shall maintain records to demonstrate the achievement of quality operational standards. Most of the recording will be normal business processes and statistical information, however such records should include at a minimum:

- a) Training reports and training records of all members of the organization, including management;

- b) Incident and occurrence reports;
- c) Internal audit reports;
- d) External audit reports;
- e) Recurrent testing reports;
- f) Equipment testing and servicing reports;
- g) Proposals for change;
- h) Records of work improvement coordination meetings and outcomes; and
- i) Management review meetings and reports.

Chapter 4 CAA Safety Oversight of Aerodrome Operators

4.1 Aerodrome Safety Oversight

Aerodrome safety oversight in the broad sense means the total scope of activity conducted by CAA to assess that aerodrome operations are conducted to a level that is as safe as is reasonably practicable. Aerodrome certification involves, but is not limited to, initial entry (via a permission from CAA in the form of a certificate), continuing oversight action by way of audits and/or inspections, education activity and, where necessary, enforcement action (ranging from warnings to action to suspend or cancel certificates).

Aerodrome safety oversight is a CAA function and is additional to any internal audit conducted by an individual aerodrome operator.

In this manual the safety oversight activity is limited to inspection and audit processes as they may be applied to certification and surveillance activity by CAA. Although enforcement is mentioned, staff will be required to undertake specific additional actions when a need for certificate action (suspension or cancellation) is determined, such procedure should be contained within the CAA Enforcement Manual.

4.1.1 Safety Oversight Audit

There are distinct differences between the aims and objectives of audits and inspections, and the methodologies used to conduct each one. An audit is a systematic and independent comparison of the way in which an aerodrome standard is being implemented, against the way in which the published procedures say it should have been implemented. The general guidelines for conducting audit for certification of aerodromes are described in **Appendix – 01**. Figure 4-1 gives an overview of audit activities. An inspection is basically the act of observing a particular aerodrome operation, action, facility, equipment or document to verify whether the established procedures and requirements are followed, and whether the required standard of performance is achieved.

Audits are more comprehensive, focus on system issues, and are more complex and time consuming than inspections. Inspections, by comparison, are more specifically focused on specific integral parts of aerodrome operations and are usually of shorter duration. Each of the two types needs to be planned for and a schedule created that allows for the regular conduct of both.

Aerodrome safety oversight audits and inspections shall only be carried out by CAA authorized and certified personnel. These personnel will have undergone audit training and be in possession of competency certificates in the conduct of aerodrome audits issued by the CAA. Those without the necessary qualifications or experience may carry out audits and inspections only under the supervision of a person who is appropriately qualified and experienced.

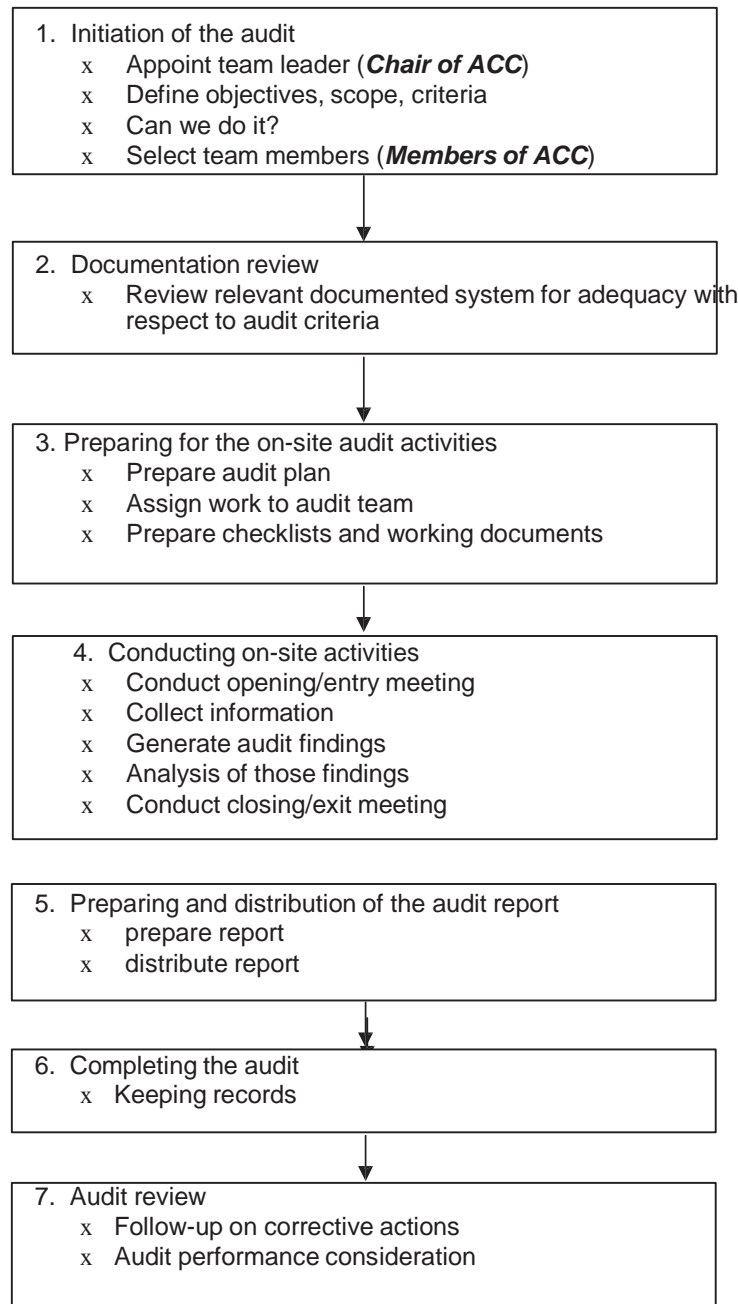


Fig. 4 - 1 Overview of Audit Process and Activities

4.1.2 Scheduling Audits/Inspections

The **DASS/Chair of ACC** is responsible for scheduling inspections and audits of all aerodrome certificate holders and other aerodrome operators.

The selection of the aerodrome and the frequency of the inspections and audits will be at the discretion of the **DASS**, subject to the followings:

- a) In normal circumstances each nominated aerodrome certificate holder will be the subject of audit **at least once (1) per calendar year**;
- b) Other aerodromes will be subject to inspection from time to time as determined by the **DASS**;
- d) In the intervening period between scheduled audits, inspections of relevant parts of aerodrome operations may take place, e.g. Inspectors may attend at aerodrome emergency exercises;
- e) In certain situations, or following the occurrence of an accident/incident, or at the discretion of the **DGCA, CAA**, additional full or partial audits may be scheduled in addition to any other action that may take place.

4.1.3 Notifying Audits/Inspections

The **DASS** shall notify in writing each selected aerodrome operator that an audit has been planned for that facility or service provider (See **Appendix - 02**) along with the Audit Programme (see **Appendix - 03**).

Every notification shall include;

- a) The dates of the intended audit;
- b) Name of the CAA auditors/**ACC**;
- c) Scope of activities to be covered under the audit;
- d) List of persons to be made available to the audit team for interview;
- e) Deadlines for the submission of the pre-audit questionnaire (if applicable see **Appendix - 04**); and
- f) Request for essential documentation, as specified by the CAA that may be required to be reviewed prior to the actual audit.

4.1.4 Role of Auditors (*Members of ACC*)

All auditors (including the audit team leader) are responsible for:

- a) Complying with the CAA aerodrome audit procedures;
- b) Clarifying audit requirements if necessary
- c) Planning and preparing for the audit;
- d) Carrying out the audit;
- e) Documenting observations;

- f) Reporting the audit results;
- g) Recording findings in the CAA aerodrome audit database;
- h) Ensuring corrective and preventative actions are followed up for effective completion;
- i) Safeguarding all documents relating to the audit;
- j) Maintaining confidentiality and treating privileged information with discretion; and
- k) Cooperating with and supporting the audit team leader/**DGCA of ACC**.

4.1.5 Role of Audit Team Leader/ *Chair of ACC*

As well as fulfilling the role of an auditor, the audit team leader has additional responsibility for:

- a) Liaison with the aerodrome certificate holder regarding the date and time of the audit;
- b) Ensuring travel and accommodation is booked, if required;
- c) Assigning responsibilities to team members;
- d) Preparation of the audit timetable;
- e) Ensuring team members are adequately prepared;
- f) Resolving any issues regarding written programmes and manuals before the audit;
- g) Carrying out the opening meeting;
- h) Leading and supporting the audit team throughout the audit;
- i) Raising and resolving issues with the aerodrome certificate holder during the audit;
- j) Ensuring findings are soundly based, and properly recorded;
- k) Coordinating preparation of the audit report;
- k) Writing the draft and final audit/inspection report;
- l) Ensuring adequate preparation for the exit meeting
- m) Carrying out the exit meeting; and
- n) Presenting findings, identifying causal factors, and negotiating corrective and preventive actions.

4.2 Aerodrome Safety System Audit

4.2.1 System Safety Audit Process

There are three (3) stages to an audit:

- Preparation for the audit;
- Conduct of the audit on-site; and
- Recording of findings, reporting and follow-up.

4.2.2 Preparation for Audit/Inspection

As mentioned in paragraph 4.1.1, there are distinct differences between audits and inspections. However, many of the processes for the two remain essentially the same, albeit that an audit is far more detailed.

There are four (4) phases to the preparation for an audit or inspection, namely:

- x Identification and review of all pertinent documentation, including receipt and review of pre-audit questionnaire;
- x Development of checklists;
- x Preparation of audit timetable.
- x Confirmation of audit arrangements with the aerodrome certificate holder being audited.

4.2.3 Review of Documentation

With regard to the essential documentation that needs to be reviewed, this depends on the aerodrome certificate holder being audited and the scope of their operations. Generally speaking the following documents need to be reviewed before each audit is carried out;

- a) The aerodrome documents for the entity being audited; e.g aeronautical data, aerodrome operations procedures, AEP manual, SMS manual;
- b) Appropriate regulatory and other legislative texts; e.g. **NATIONAL RULES, MAS (State)**;
- c) Operating manuals and/or standard operating procedures;
- c) Site plans and descriptions of the aerodrome certificate holders operations;
- d) Logbooks on facilities and equipment
- e) Flight schedules;
- f) Previous audit or inspection reports; and
- g) Information contained in the pre-audit questionnaire.

The purpose of this review is to determine the status of the documentation as it relates to the entity being audited, and to identify key areas that need to be observed and analyzed during the actual audit. Particular attention should be paid to previously identified items of non-compliance from previous reports. This review will also assist in the preparation of checklists to be used by the audit team during the actual conduct of the audit.

The pre-audit questionnaire may provide an opportunity to gather useful information about the entity being audited. This questionnaire shall be developed by the audit team leader and transmitted to the aerodrome certificate holder in accordance with the requirements of this handbook. See **Appendix – 04** for a pre-audit questionnaire for an aerodrome operator.

4.2.4 Preparation of Checklists

The use of checklists is to be utilized to provide a structure to the audit that allows for consistent and standardized conduct of audits. Standardizing the conduct of audits guarantees objectivity, impartiality and credibility. In addition this will also provide a degree of transparency for all stakeholders subject to audit.

Checklists will be prepared by Audit Team Leader and distributed to the members of the audit team in advance of the audit in order that they are fully prepared. Generic checklists have been developed and are included in this handbook (see **Appendix –06**), and they are applicable to each category of aerodrome. However the operational details may vary from one aerodrome to any other, so checklists specific to that aerodrome operator need to be developed prior to the audit.

4.2.5 Preparation of Audit Timetable

An integral part of the preparation phase of an audit is the development of the audit timetable. This is done by the audit team leader once the notification process has been completed and all necessary documentation has been received and reviewed. The generic audit timetable is included in this handbook in **Appendix – 03**.

When determining the audit timetable, the audit team leader will take into consideration the following elements:

- a) Determine the principal persons needed to be interviewed;
- b) Determine the sequence of the audit, including meetings, interviews, observations of facilities and operations, and discussions with operational staff;
- c) Estimate the time needed to complete each anticipated activity;
- d) Make allowances for travelling between areas being audited (if necessary);
- e) Schedule entry and exit meetings;
- f) Make allowances for peak, off peak, and out of normal hours observations of activities, facilities and equipment.
- g) Allow for review of operational documentation not received prior to the audit; and
- h) Allow time for delays and unforeseen circumstances/occurrences.

4.2.6 Confirmation of Audit Arrangements

Prior to the scheduled date of the audit, the audit team leader should confirm to the aerodrome certificate holder the date(s) and location of the audit, and the availability of senior management and key staff identified in the preparation of the timetable. It is highly desirable to forward the audit timetable to the aerodrome operator, well in advance, to assist in their preparation for the audit.

4.2.7 On-site Conduct of Audits and Inspections

The purpose of the conduct phase of the audit is to gather information and then compare that gathered information to the information contained within the approved documentation which establishes the standards for operation of the entity being audited. In this case:

- a) National Regulations governing Aerodromes ((**NATIONAL RULES**));
- b) MAS (State), to which the aerodrome certificate holder is subject; and
- c) The aerodrome manual and other documents of the entity being audited.

Information can be gathered by;

- a) Observations;
- b) Review of documentation; and
- c) Formal and informal interviews.

4.2.8 Entry/Opening Meeting

The first action taken when commencing an audit is the conduct of an entry meeting. The purpose of the entry meeting is to;

- a) Establish communication between the audit team and representatives of the aerodrome certificate holder;
- b) Ensure there is clear understanding of the purpose of the audit;
- c) Explain how the audit will be carried out;
- d) Brief the auditee about expectations for support for the audit team;
- e) Clarify and confirm the audit timetable; and
- f) Resolve any other matters of concern.

A sample of the typical agenda items for an opening meeting can be found in

Appendix - 05.

4.2.9 Evidence of Conformity

Observations of operational equipment, activities and procedures form the main source of evidence that the aerodrome is conforming to regulatory requirements or otherwise. Verifiable evidence is necessary to provide the true measure of compliance or non-compliance with required standards and procedures. Checklists for the inspectors' guidance can be found in **Appendix - 06**. Evidence provides the verification that written procedures are in fact implemented.

Additionally, evidence by assessment of each facility, equipment or procedure through observations and discussions to determine compliance with requirements and documentation plus implementation assists to establish compliance with mandatory obligations.

If non conformities are found, look for facts to establish proof and make a formal record (checklist notes, photos etc).

Exercise discretion when making observations in the workplace. The presence of an auditor (often accompanied by a senior person within the organization) can have a disrupting impact on the workflow in what may be a potentially hazardous environment. Take care to ensure the presence of the auditor does not create an abnormal situation that could lead to errors or omissions being made by those being observed. Do not do anything that could disrupt the workflow, or refocus staff away from their primary tasks.

Where appropriate, watch as technical processes are performed, and observe the work practices of those involved. Observe the facilities and equipment that are being used, the work instructions provided, and the working environment. Talk to the people in the workplace. Establish how many people are involved, and if they have duties other than those they perform in support of aerodrome operations.

Identify reporting actions for identified or perceived problems. What is the actual documentation process and does it conform to the required process. If deficiencies are seen, discuss them with the management representatives away from the workplace.

Make use of the checklists developed for the audit to structure and record the observations.

4.2.10 Interviewing

Another principal element of the audit is the interview of selected staff members from the aerodrome certificate holder. The position and job function of the interviewee will determine the type and scope of questions to be put to the interviewee. It is always best to interview the most senior representative available first, and follow this with interviews of other managers and key personnel identified in the audit plan. This can extend to individual staff members if necessary, but normally an informal conversation at their workplace would achieve the same result.

Establish how the senior person expects the aerodrome certificate holder to operate from an aerodrome operation perspective. Identify any changes that have been made, or are

being planned. Gain knowledge of other issues that may be affecting the organization, for example, changes in the scope of work carried out, industrial relations

etc. Establish how the senior person satisfies him or herself that the entity is in compliance with the approved aerodrome documents. Determine how identified or perceived problems are recorded and handled.

Ask open questions based on the checklists. If necessary and depending on the information received, adjust the depth of examination. Try to avoid asking questions that can be answered with a simple 'yes' or 'no'. Try to focus on what is occurring now, not what might occur in the future (the audit finding rely on verifiable evidence).

Formal interviews need to be carefully structured. The objective of the formal interview is to meet the main representatives of the aerodrome certificate holder and discuss existing measures. Interviews are usually preceded by on-site observations so the auditor is already aware of the situation and has perhaps already noticed discrepancies or exceptional performance. Any discrepancy must be mentioned to the audited party during subsequent interviews. The location of the interview is important. The selection of the person's office is usually the best option, as interviewing him/her in his/her natural environment might make it easier to establish a climate of trust and reduce possible tension. The auditor is the one who, as a rule, travels to meet the interviewee. This is preferable to having individuals meet in the auditor's office and helps avoid the impression of an interrogation.

4.2.11 Recording of Audit Findings

Findings are the result of an observed action once it has been compared to the required approved documentation. An observation of a documented requirement or an implemented requirement will indicate whether compliance with required procedures is achieved or not. A non compliance is classified as a finding, and it should be accompanied by a request for corrective action. Findings are not opinion, but statements of facts as observed by the auditor. As such they must be backed up by proof, or other evidence of non compliance, such as a photograph or the completed checklist, explanation of deficiency, or a statement of findings by the auditor.

Audit findings shall be classified into different categories, as follows;

- a) **"Non Compliance Category A"** finding, defined as a finding that is critical in that it has the potential to result in loss of life, serious injury or damage to facilities and which requires corrective action to be completed immediately. Such action may involve closure of a facility;
- b) **"Non Compliance Category B"** finding, defined as an occurrence, situation or deficiency involving an item of equipment, an aerodrome facility or a procedure within a system that caused, or has the potential to cause, significant safety problems within the system, and which requires corrective action to be completed within an agreed time frame.
- c) **Not Applicable (NA)**, being an element or item on a checklist that does not apply to the entity being audited although a standard may exist, (eg de-icing facility)
- d) **Not Confirmed (NC)**, being an element whose compliance with required documentation could not be verified during the audit for whatever reason, (e.g. lack of time, absence of key personnel.)
- e) Comments, being references to circumstances where there is conformity, but improvement may be desirable, e.g. in the light of knowledge about a coming

change to standards. Comments are not binding on the auditee and are made for information only.

It is important that the senior management of organization being audited are made aware of the results of the audit, including the specific findings. Obviously “Category A” findings need to have priority. Therefore, it is necessary to conduct a post audit or exit meeting where these findings can be communicated. It may not be necessary to inform the aerodrome certificate holder of everything that may be included in the final written report, as the audit team may need time to reflect upon their observations before concluding a finding, so the onus is on providing the aerodrome operator with an initial explanation of the major findings. Additionally, all issues of concern may be communicated to the auditee’s staff during the audit as they arise.

4.2.12 Exit/Closing Meeting

The objectives and activities of the post audit, or exit meeting are to:

- a) Review the purpose of the audit and how it was carried out;
- b) Record attendance at the meeting;
- c) Present the major audit findings;
- d) Request comments or explanations on any of the findings;
- e) Confirm corrective actions (if possible) and agree time frames for their implementation;
- f) Advise what to expect in the final audit report together with time frame for delivery; and
- g) Identify, and where possible resolve, any other issues of critical safety concerns.

4.2.13 Audit/Inspection Reports

The audit report formally documents the compliance performance of the aerodrome operator by recording matters of non-compliance with mandatory regulatory standards and other safety-related obligations. The report must accurately record all that took place during the audit, should reflect the tone of the audit and contain no surprises.

It is the responsibility of the team leader to coordinate the development of the audit report. The team leader and all other auditors/members must sign the report.

While each report will contain factually varying information, it is important that the reports should be similarly structured and formatted to allow for comparison and analysis and to ensure that each audit completed is to a consistent standard. A standardized report format is contained in **Appendix - 07**.

Audit reports generally will not include recommendations to address findings. The responsibility for appropriate remedial activity rests with the aerodrome operator.

The audit or inspection report shall also specify a time frame for the organization being audited or inspected to respond to the findings made in the report.

It is the responsibility of the team leader to ensure that the completed audit or inspection report is sent/delivered to the aerodrome operator within three (3) weeks from the on-site audit or inspection exit meeting.

4.2.14 Corrective Actions

On receipt of an audit or inspection report, the organization concerned is required to submit a Corrective Action Plan (CAP) within an agreed period. The CAP is a written confirmation by the aerodrome certificate holder detailing the measures they intend to implement, to address all of the findings of non compliance. The CAP must incorporate actions that at least will remedy the deficiency in the short term and prevent a future re-occurrence.

Failure to compile a CAP or failure to comply with the deadline for submission of the CAP or failure to implement the measures outlined in the CAP may result in enforcement action, including possible sanctions against an aerodrome certificate.

Every CAP generated as a result of findings communicated to an aerodrome certificate holder, following an inspection or audit, must contain, as a minimum:

- a) The recommendations/elements in need of improvement;
- b) Planned corrective action;
- c) Identification of the person(s) responsible for implementing and finalizing the corrective action; and
- d) Time frame for completion.

Where the CAA has not received advice that corrective action has been taken by the due date, the aerodrome operator is to be advised that it is overdue, and that the CAA expects the matter to be resolved within ten (10) days. If a formal notice has not been received with satisfactory closing action, within the ten (10) day period, the aerodrome certificate holder should be advised in writing by the audit team leader that unless immediate action is taken to close the findings then action may be taken against the aerodrome certificate holder in accordance with regulatory provisions.

In cases where the aerodrome certificate holder being audited or inspected does not implement corrective action regarding the findings made by the audit team because it disagrees with any of them, it should direct a formal written notice of disagreement to the DGCA CAA, laying down the reasons for the disagreement. The DGCA CAA may review this and determine subsequent action in accordance with the regulatory requirements and the best interests of safety for the industry within (State).

The team leader is responsible to ensure that a follow-up audit or inspection takes place as necessary after the actions mentioned in the CAP have been advised as completed, in order to ensure that the (State)d corrective action has taken place within the agreed time frame, and that the corrective action has been successful in ensuring compliance with the aerodrome standards and/or other regulatory obligation.

The **DASS** is responsible for maintaining a database of audit and inspection findings. Each team leader is to enter their respective results onto this database, and review the contents on a regular basis to ensure that timeframes are being respected and overdue actions are identified.

4.2.15 Audit Records

All documents relevant to the audit or inspection should be retained and placed on the aerodrome certificate holder's file (aerodrome file) after completion of the audit. These should include, where applicable, the following:

- a) A copy of the initial notification of the audit;
- b) The audit timetable;
- c) Completed checklists;
- d) All notes made during the audit by the audit team;
- e) Records of any interviews;
- f) Records of entry and exit meetings;
- g) A copy of the Corrective Action Plan (CAP);
- h) Results of follow-up activities to ascertain compliance;
- i) Post Audit feedback form from operator (see **Appendix - 08**).

It is the responsibility of the **DASS** to establish and maintain an audit database that will contain all the findings gained from the audits and inspections of all aerodrome certificate holders. This database will be utilized by CAA to monitor the constant surveillance on all aerodrome certificate holders, and in the development of audit and inspection schedules and timetables.

Chapter 5 Regulatory Enforcement

5.1 General

Enforcement action can be in one or more forms but the more extreme forms of enforcement should be considered as final options. The goal of the CAA regulatory oversight program as a component of the safety programme, is to encourage service providers to exceed the minimum regulatory requirements and voluntarily improve safety to the highest possible level.

5.2 Enforcement Options

There are several enforcement options available to the CAA as a result of findings following an audit or an aerodrome inspection. These options include, but may not be limited to:

- a) Written notification of corrective action required together with follow-up inspections as necessary;
- b) Provision of education and/or guidance as to how compliance may be achieved;
- c) Requirement for re-training or re-certification of facilities, personnel and equipment;
- d) Formal warnings;
- e) Fines;
- f) Suspension of an aerodrome certificate pending rectification of deficiencies;
- g) Revocation of an aerodrome certificate.

Note: The enforcement options should be backed by the State's civil aviation legislation and/or regulations.

5.3 Selection of Enforcement Action

The selection of, which enforcement action to be taken with aerodrome certificate holders, following the identification of findings, will be dictated by the prevailing circumstances. Actions taken up to 5.2 d) may be initiated by the **DASS** and are to be reported to the **DGCA CAA**.

No action to initiate the actions mentioned in 5.2 e) and f) will be taken without the prior approval of the **DGCA CAA** and after consideration of CAA legal advice.

5.4 Follow-up Action:

5.4.1 Corrective Action Plan:

In case an Aerodrome Operator fails to comply within the mandatory dates as mentioned in the Corrective Action Plan (CAP), submitted by it, to correct the known deficiency, the following actions shall be taken:

- a. Issue notice giving a period of 21 days to rectify the deficiencies identified during inspection.

- b. Issue a formal warning letter to the aerodrome operator that suspension of the aerodrome certificate shall take place if the known deficiency is not corrected within 14 days from the day of receiving the deficiency rectifying notice.
- c. Initiate suspension process in case aerodrome operator fails to comply with the requirements mentioned in (b) above and a suspension notice is to be served giving a period as decided by the DGCA, CAA.
- d. Revocation of the aerodrome certificate will be initiated when Aerodrome Operator fails to comply with CAA regulatory guidance/requirements during the suspension period.
- e. Issue formal notification letter to the aerodrome operator regarding the revocation process concerning the aerodrome certificate.

5.4.2. Screening of Dangerous Lights.

- a. CAA aerodrome regulatory staff shall ensure all entities that receive notification for the screening of dangerous lights or for the termination of service for laser equipment as given in (NATIONAL RULE) submit an acknowledgment letter to CAA, confirming corrective action was taken and that it is no longer presenting a hazard to aviation safety.
- b. CAA, upon the receipt of an acknowledgment letter from the responsible party for the concerned items given in para (a) above, shall accept the letter as confirmation for closing the lighting issue. Further, CAA can direct a surveillance inspection for the specific site in question, if there are concerns about the merit of the letter submitted to CAA before closing the lighting issue.

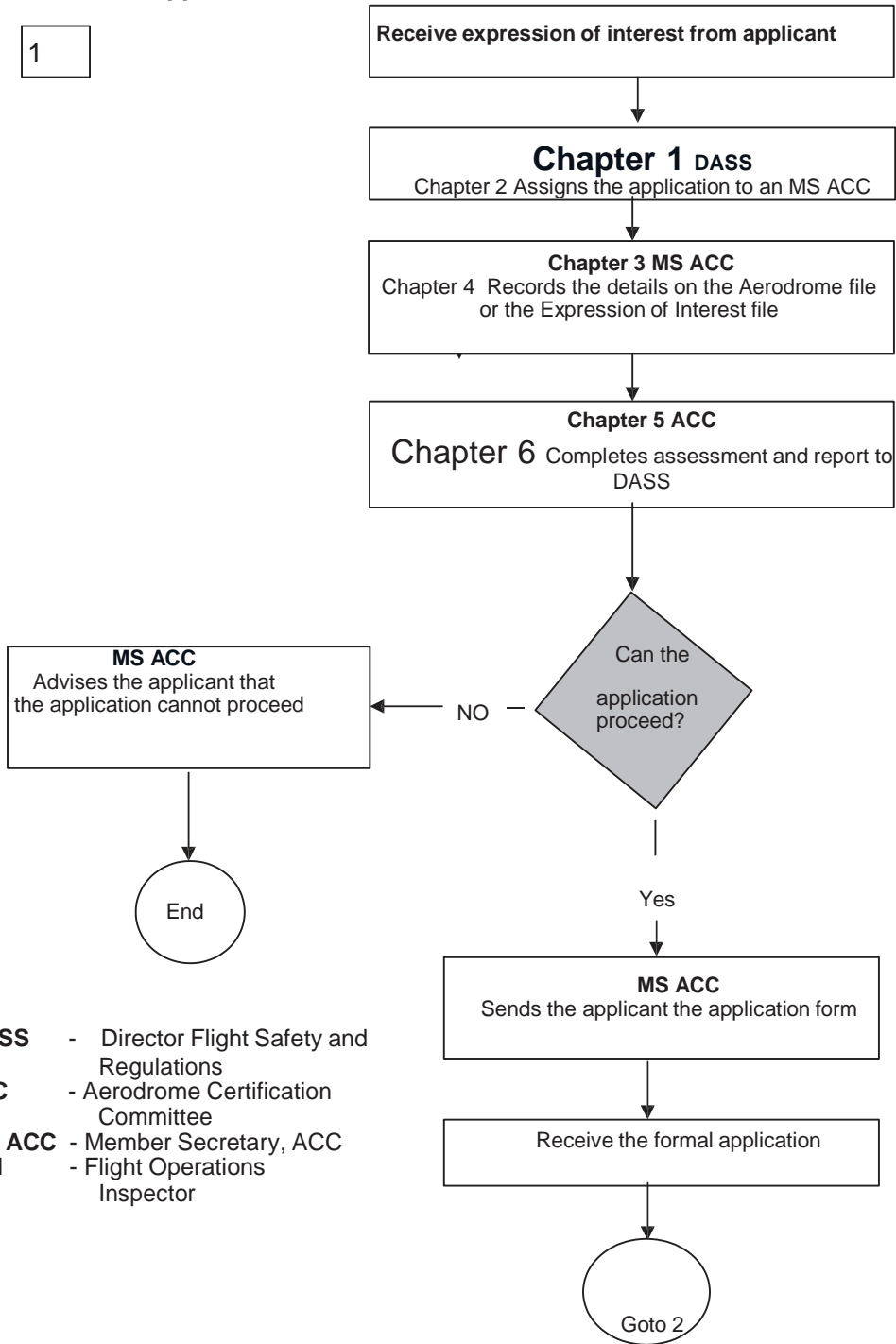
5.5 Publications procedure of certified Aerodrome status/ Data:

Once the certificate is approved by the DGCA of CAA, and subsequently certificate being renewed, amended, transferred, surrendered, suspended and cancelled, DASS,CAA HQ will intimate ATS & Aero Directorate, CAA HQ which in turn shall send the certified status and all the required details to the Aeronautical Information Service (AIS) section for publication in critical documents such as Aeronautical Information Publication (AIP), Notice to the Airman (NOTAM) and other official publications as necessary.

Chapter 6 Processes and Procedures

6.1 Issuing an Aerodrome Certificate

6.1.1 Flowchart – Approval Procedure for Aerodrome Certification



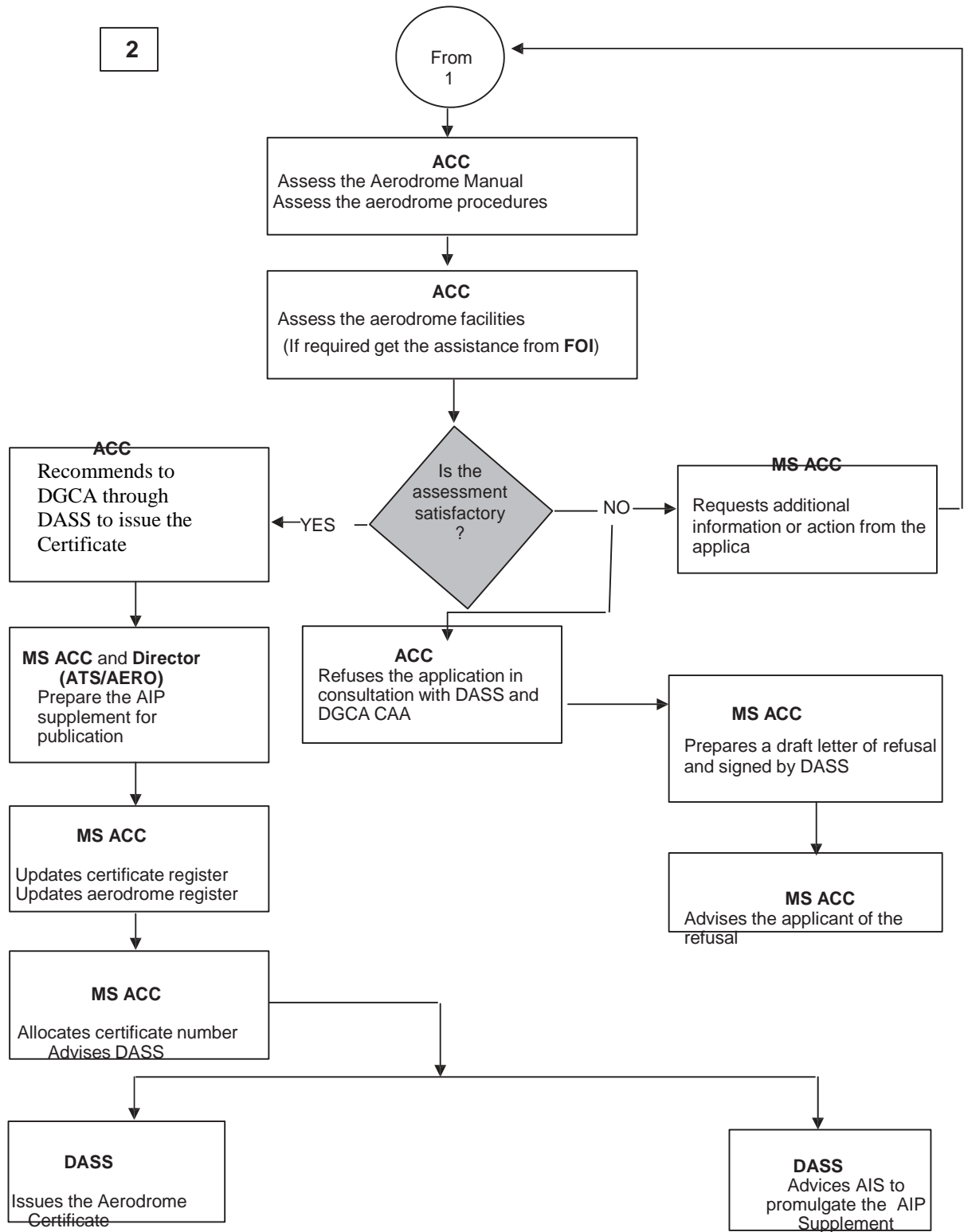


Fig. 6.1 Work Flow Process for approval of the Application for Certification

6.1.2 Certification of Aerodromes under the provisions of (NATIONAL RULES)

This section applies to those aerodrome operators that must obtain a certificate under **Rule of (NATIONAL RULES)**.

Key functions

The **Member Secretary (MS) of ACC** is responsible for identifying aerodromes that are required to be certified under **Rule of (NATIONAL RULES)**.

The **DASS** shall be the initial contact point for an aerodrome operator seeking a certificate for an aerodrome. The workflow process (Fig. 6.1) shall be coordinated through **DASS** who will track the progress of the application. All applications must be made on the approved form, Application for an Aerodrome Certificate (see 6.1.4).

Procedure

On receipt of the application, the **DASS** will notify the **MS ACC** for action. On receipt of the application, the **MS ACC** shall:

1. Open a file and reference the application and aerodrome manual.
2. Input from Flight Operations Inspector should be sought for an operational assessment.
3. Applicant advised of applicable fee for certification as per (NATIONAL RULE)
4. Confirm that the applicant is the owner of the land or has the permission of the landowner to operate the site as an aerodrome.
5. Make an assessment of the aerodrome operator's documentation:

ensuring that one copy of the aerodrome manual has been received, and

ensuring that the aerodrome manual is in the form as prescribed in (NATIONAL RULES) and the contents are in accordance with **ANO – Manual on Preparation of Aerodrome Manual**.
6. Liaise with Flight Operations Inspector on operational issues and obtain agreement as necessary.
7. Complete items of the Aerodrome Certificate Issue Checklist mentioned in 6.1.3 including refusing an application if applicable.
8. Tasks associated with items 7, 8 and 9 of the Aerodrome Certificate Issue Checklist shall be completed using Aerodrome Certification Audit Checklist provided in **Appendix – 06**.
9. Aerodrome operator shall be advised of any deficiencies identified as a result of the assessment of aerodrome manual, aerodrome operating procedures and audit of aerodrome operator in writing as per format provided in the Attachment – C of the Aerodrome Certification Audit Report (See **Appendix – 07**).

10. The report received from the aerodrome operator on corrective actions taken shall be to the satisfaction of the **DGCA, CAA**.

11. If the application is approved, complete the items 14 to 18 described in the Aerodrome Certificate Issue Checklist provided in 6.1.3 and inform AIS to raise a NOTAM advising all particulars to be included in AIP through **DASS**.

The **MS ACC** is to forward (if necessary) a copy of the NOTAM to the aerodrome operator.

12. The **MS ACC** places the aerodrome on the schedule for continuing surveillance activity.

Certificates are granted in accordance with **(NATIONAL RULES)** and the validity of years.

Note:- *In some occasions, conditions may be endorsed on an aerodrome certificate under **(NATIONAL RULES)**. If conditions are being considered, the **MS ACC** should consult with the **DASS**. Such consultation is to occur before a decision is made to issue a conditional certificate, so that any requirement for additional activities not covered in this handbook e.g. a safety case analysis or a risk assessment, can be considered.*

6.1.3 Aerodrome Certificate Issue Checklist

The **MS ACC** must complete the Aerodrome Certificate Issue Checklist, as shown below, to ensure that each step of the aerodrome certification procedure is completed.

Tick each box to indicate the satisfactory completion of the task. Note the date against each box.

Sign and date this form and file it on the aerodrome file when the process is complete.

Aerodrome Certificate Issue Checklist

- | | <u>Date</u> |
|--|--------------------------|
| 1. Aerodrome file raised (Put file number: _____) | <input type="checkbox"/> |
| 2. Application checked for completeness | <input type="checkbox"/> |
| 3. Copy of Aerodrome Manual provided by the applicant | <input type="checkbox"/> |
| 4. Operational safety considerations discussed with FOI (if required) | <input type="checkbox"/> |
| 5. Applicant advised of any operational restrictions | <input type="checkbox"/> |
| 6. Applicant advised of applicable fee for certification | <input type="checkbox"/> |
| 7. Manual assessed | <input type="checkbox"/> |
| 8. Applicant assessed as able to operate the aerodrome | <input type="checkbox"/> |
| 9. Facilities assessed as acceptable by CAA | <input type="checkbox"/> |
| 10. Applicant advised of any deficiencies if any | <input type="checkbox"/> |
| 11. Action taken report on significant deficiencies received and acceptable to CAA | <input type="checkbox"/> |
| 12. CAA decision made to grant or refuse the Certificate | <input type="checkbox"/> |
| 13. Applicant advised of refusal to grant certificate with reasons for refusal | <input type="checkbox"/> |
| 14. Applicant advised of grant and conditions if any | <input type="checkbox"/> |
| 15. Receipt of applicable fee | <input type="checkbox"/> |
| 16. Certificate issued | <input type="checkbox"/> |
| 17. Manual endorsed and returned to the aerodrome Operator | <input type="checkbox"/> |
| 18. Internal CAA notification completed | <input type="checkbox"/> |
| 19. Notified AIS | <input type="checkbox"/> |
| 20. Publish in AIP | <input type="checkbox"/> |

Signature:Date:...../...../.....

Name:(MS ACC)

6.1.4 Aerodrome Operator's Application Form for Aerodrome Certification

Application for an Aerodrome Certificate

1. Particulars of the Applicant

Full Name:

Address:
.....

Designation:

Phone: Fax: Email:
.....

2. Particulars of Aerodrome Site

Aerodrome Name:

Description of the Property:
.....

Geographical Coordinates of the ARP:

Bearing and Distance from Nearest Town or Populous Area
.....

3. Is the Applicant the Owner of the Aerodrome Site?

Yes No

If No, provide:

- a) Details of rights held in relation to the site; and
- b) Name and address of the owner of the site and written evidence to show that permission has been obtained for the site to be used by the applicant as an aerodrome.

4. Indicate the Largest Type of Aircraft Expected to Use the Aerodrome

.....
.....

5. Is the Aerodrome to be used for Public Air Transport Operations?

Yes No

6. Details to be shown on the Aerodrome Certificate

Aerodrome Name:

Aerodrome Operator:

On behalf of the Aerodrome Operator shown above, I hereby apply for a certificate to operate the aerodrome.

Signed:

My authority to act on behalf of the Aerodrome Operator is:

.....
.....
.....
.....
.....

Name of person making the declaration:

..... Date:
...../...../

Information:

1. A copy of the Aerodrome Manual, prepared in accordance with the regulations and commensurate with the aircraft activities expected at the aerodrome, are required as part of the application.
2. The application should be submitted to the DGCA of Civil Aviation Authority, (State).
3. Documentary evidence in support of all matters in this application may be requested.

6.1.5 Sample Letters

6.1.5.1 Sample Letter for Grant of an Aerodrome Certificate

{File reference}

Date:

{Applicant's name}

{Aerodrome name}

{Aerodrome address}

Dear {Sir/Madam},

ISSUE OF CERTIFICATE TO OPERATE (Name of aerodrome)

This has reference to your letter {number} dated {dd/mm/yy} and your application for a certificate to operate {name of aerodrome}. Your application has been approved and the Aerodrome Certificate is ready for collection.

Your aerodrome will {now/continue to} be subject to regular routine surveillance/inspection by this Authority under the (NATIONAL RULES).

If you have any queries regarding this certificate or any other aerodrome-related matters please contact this Authority.

Yours faithfully,

{Signature}

{Name}

DGCA

Civil Aviation Authority, (State)

6.1.5.2 Sample Letter for Refusal to Grant an Aerodrome Certificate

{File reference}

Date:

{Applicant's name}
{Aerodrome name}
{Aerodrome address}

Dear {Sir/Madam},

REFUSAL OF APPLICATION FOR AERODROME CERTIFICATE

This has reference to your letter {number} dated {dd/mm/yy} and your application for a certificate to operate {name of aerodrome}. Your application has been assessed and refused in accordance with the (NATIONAL Rule/ANO) due to the following reason(s):

{Delete whichever is not applicable}

- a. Following an inspection of the aerodrome facilities and equipment, this office has found that they do not meet the required standards specified for a certified aerodrome.
- b. Following an assessment of the aerodrome's operating procedures this office has found that they do not make satisfactory provision for the safety of aircraft.
- c. Following an assessment of the Aerodrome Manual we have found that it does not contain the particulars set out in (NATIONAL RULES) and ANO- Manual on Preparation of Aerodrome Manual.
- d. Due to above fact(s) and the other factors listed below, I wish to regrettably inform you that this office is not satisfied with your ability to operate and maintain the aerodrome as required by (NATIONAL RULE)

{Give details of each deficiency}

You were advised of the above deficiencies on {dd/mm/yy} and your response has led us to the conclusion that you are unable to comply with the (NATIONAL RULE) for the issuance of an aerodrome certificate. Therefore, your application has been refused.

If you have any queries relating to this matter please contact the undersigned.

Yours faithfully,

{Signature}

{Name}
DGCA
Civil Aviation Authority, (State)

6.1.6 Sample Aerodrome Certificate

Aerodrome Certificate

Certificate Number: NNN This

certificate authorizes

Director/Airport Manager, XXX International Airport

To operate

XXX International Airport

Latitude: NNq NNc NN.NNs N

Longitude: NNNq NNc NN.NNs E

This certificate is issued under the provisions of (NATIONAL RULES), (State). The operation and use of the aerodrome is subject to the (NATIONAL RULES/ANO), and any relevant directives issued including any conditions endorsed by the DGCA of Civil Aviation Authority, (State).

This certificate is valid for two years until surrendered, suspended or cancelled.

Date: Day/Month/Year

DGCA
Civil Aviation Authority, (State)

GENERAL CONDITIONS

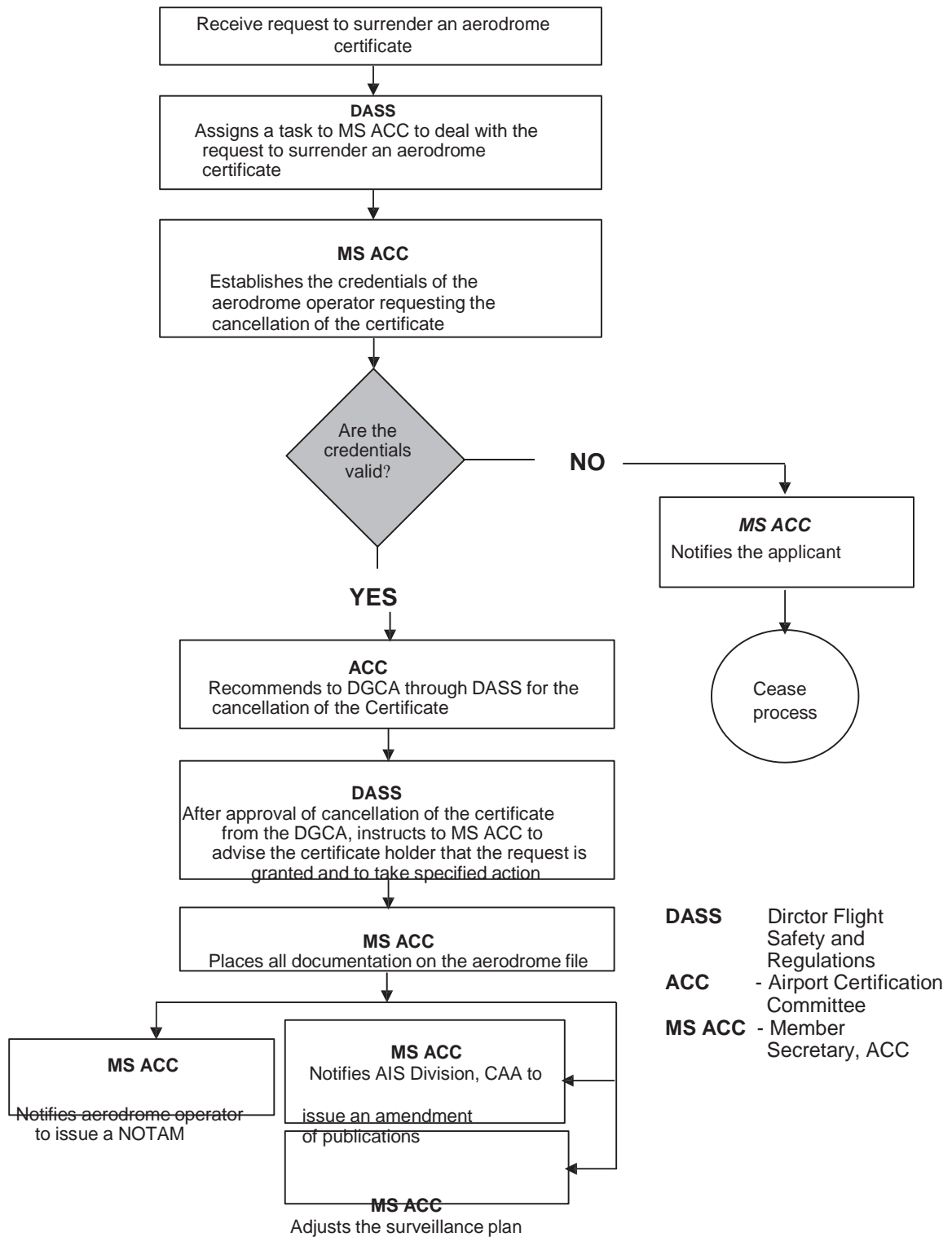
1. The Aerodrome Certificate holder shall ensure that aerodrome facilities, equipment, services and procedures are operated and / or maintained properly and efficiently in accordance with the Aerodrome Manual submitted to the DGCA, CAA, the applicable standards set out in the ANO – Manual of Aerodrome Standards, CAA (State) and conditions specified in this certificate.
2. The Aerodrome Certificate holder shall ensure that the copies of the Aerodrome Manual approved by the DGCA, CAA are always kept complete and current. The Aerodrome Certificate holder shall ensure that each member of the aerodrome operating staff is aware of the contents of the every part of the aerodrome manual, relevant to his duties and undertakes his duties in conformity with the relevant provisions of these manuals.
3. The Aerodrome Certificate holder shall ensure that an adequate number of qualified and skilled personnel are employed to perform all critical activities for the operation and maintenance of its aerodrome, and that a programme to upgrade the competency for the personnel is in place.
4. The Aerodrome Certificate holder shall notify the agency responsible for Aeronautical Information Services and the air traffic control unit immediately of any obstacles, obstructions or hazards, change in level of service at the aerodrome as set out in any publication by the aeronautical information services or variation from the Standards; closure of the movement area of the aerodrome; significant change in aerodrome facility or the physical layout of the aerodrome; and any other condition that could affect aviation safety at the aerodrome and against which precautions are warranted.
5. The Aerodrome Certificate holder shall notify the agency responsible for Aeronautical Information Services of any change to any aerodrome facility or equipment or level of service at the aerodrome which has been planned in advance and which is likely to affect the accuracy of the information contained in any publication by the agency before effecting the change.
6. The Aerodrome Certificate holder shall be responsible to ensure that all security and anti-hijacking arrangements stipulated from time to time by the Concerned Authority for the aerodrome are complied with.
7. When so demanded by an officer duly authorised under the (NATIONAL RULES), this certificate and any other relevant documents shall be produced for inspection.
8. Aerodrome Certificate holder shall maintain record of all aircraft landing at and taking-off from the aerodrome.
9. The Aerodrome Certificate holder shall have legally tenable agreement with CNS and ATM service provider(s) to ensure continuity and reliability of CNS and ATM to ensure the safety of aircraft in the airspace associated with aerodrome, and that proper coordination with the agencies responsible for aeronautical information services, meteorological services, security and other areas related to safety are established.
10. The aerodrome shall at all reasonable times be open to use by any aircraft in the service of the Government of (State).
11. The Aerodrome Certificate holder shall ensure that during the validity of the certificate the capability of the services/facilities, etc. are not degraded below the notified level.
12. The Aerodrome Certificate holder is to submit the application for renewal along with relevant enclosures at least 3 months before expiry of certificate to the DGCA, CAA. The certificate may be renewed if the DGCA, CAA is satisfied that all requirements have been fulfilled.
13. Other requirements of the Government of (State) and the Civil Aviation Authority, (State) as applicable shall be complied with.
14. The aerodrome is certified for use in IFR (All weather) conditions.

SPECIAL CONDITIONS

1. *Describe the special condition.(IF ANY)*
2. *Describe the special condition.(IF ANY)*

6.2 Surrender of an Aerodrome Certificate

6.2.1 Surrender Process Flowchar



6.2.2 Surrender of Aerodrome Certificate

This section provides for the cancellation of an aerodrome certificate at the request of an aerodrome operator as per **(NATIONAL RULES)**.

Key functions

The **MS ACC** is responsible for initiating the process for the cancellation of the aerodrome certificate on the request of the Aerodrome Operators.

The application for the cancellation of the aerodrome certificate submitted to the DGCA, CAA shall be forwarded to the **MS ACC** through **DASS** for necessary action. The workflow process shall be coordinated through **DASS** who will track the progress of the application.

Procedure

On receipt of the application, the **DASS** will notify the **MS ACC** for action. On

receipt of the application, the **MS ACC** shall:

1. Establish the credentials of the aerodrome operator requesting the cancellation as the certificate holder.
2. On the notification of the intention to surrender the aerodrome certificate, check that the aerodrome operator has:
 - a. Clearly (State)d making a request for the cancellation of certificate.
 - b. Specified when cancellation should become effective.

If no date is specified, the certificate cancellation date is the date 60 days from the date of notification.

3. If the aerodrome operator has not supplied the required information for a proper notification of intention to surrender the certificate, contact the operator and advise them to supply the necessary details in writing.
4. Determine whether the aerodrome is to continue to operate as an un-certificated aerodrome.

6.2.3 Aerodrome Certificate Surrender Checklist

1. The **MS ACC** must complete the Aerodrome Certificate Surrender Checklist as shown below, to ensure that each step of the aerodrome certificate cancellation procedure is completed.
2. Tick each box to indicate the satisfactory completion of the task. Note the date against each box.
3. Sign and date this form and file it in the aerodrome file when the process is complete.
4. Using the Aerodrome Certificate Surrender Checklist

Generic Aerodrome Inspector Handbook

- a. Check that the aerodrome operator has given at least 60 days notice. b.

Check that the operator has provided the following information:

- x Are there regular public transport (RPT) operations at the aerodrome?
- x Are there any changes to reporting officer details?
- x If the aerodrome is to be closed to all aircraft, have sufficient safety measures been taken? For example:
 - Will the windsock and boundary markers be removed?
 - Will un-serviceability markers be displayed for a period?

5. If the request is properly made, prepare a letter to the aerodrome operator:
- a. Notifying the cancellation of the certificate.
 - b. Directing aerodrome operator to return the original certificate document to the CAA to enable cancellation of the certificate.
 - c. Advising aerodrome operator to carry out any actions necessary in the interests of aviation safety.
6. Prepare and forward the letter for the **DGCA's** signature through **DASS** and place a copy in the appropriate aerodrome file.
7. Send the letter of notification to the aerodrome operator before the nominated surrender date (if specified). The sample Letter of Cancellation by Surrender of an Aerodrome Certificate is provided in 6.2.4 below.
8. When you have the original certificate:
- a. Mark it as cancelled by completing the following actions using ink:
 - Draw a line through the certificate.
 - Write "**Cancelled**" and the date of the cancellation on the certificate.
 - Sign the certificate.
 - b. Place the original cancelled certificate in the appropriate aerodrome file or a copy of the cancelled certificate.
8. Notify the **Aeronautical Information Service (AIS)** through **DASS** to issue a NOTAM canceling the certified status of the aerodrome and amend the AIP.
9. Update the Aerodrome Certificate Register.
10. Amend aerodrome file and surveillance records.

Aerodrome Certificate Surrender Checklist

1. The aerodrome operator must provide CAA with written notification of the request to surrender the aerodrome certificate. The **MS ACC** who assesses the request may be required to investigate the application further to establish the relevant information.

The cancellation date specified by the aerodrome operator.

Authority verified — that is, the notification is from the certificate holder and signed.

Are air transport operations being conducted at the aerodrome?

Is the aerodrome to be closed?

Is it necessary for CAA to recommend any action to be taken by the aerodrome operator to ensure safety of future aircraft operations?

2. **The written notification is accepted by CAA and the certificate is cancelled**

Confirm that the details specified in section 1 of this checklist have been addressed.

Endorse the original certificate document or a copy attached in the aerodrome file as “**Cancelled**”.

Sign the endorsed original certificate document or a copy.

Place endorsed original certificate document or copy on the appropriate aerodrome file.

3. **Advise the following of the details of the cancellation**

Aerodrome Operator in writing the date of cancellation.

AIS for issuing NOTAM and any changes to the details of the reporting officer.

AIS for amendment to publications.

DASS an amendment of the aerodrome certificate register

2. **Surveillance Update**

Aerodrome Certificate Register update

Surveillance Plan amendment

.....

MS ACC

..... /...../

Date

6.2.4 Sample Letter for Cancellation by Surrender

{file reference}

Date:

{Certificate holder's name}

{Address}

Dear {Sir/ Madam}

SURRENDER OF THE CERTIFICATE TO OPERATE {Name of aerodrome}

This has reference to your letter {number} dated {dd/mm/yy} requesting cancellation of your airport certificate for {name of aerodrome}. Your Aerodrome Certificate bearing the number {xxxx} {has been/will be} cancelled on {dd/mm/yy}. We have arranged for a NOTAM to be issued advising cancellation of the certificate.

{Insert the relevant paragraph below.}

As there {are/are no} regular public transport operations at your aerodrome after the date of cancellation, it {will/will not} be subject to continued regular surveillance from this Authority.

As the aerodrome {is to be/has been} closed to all aircraft operations, you are advised to take the following steps.

Remove the windsock and boundary markers.

Advise any known local operators.

Display appropriate un-serviceability markers.

If you have any queries regarding the cancellation of the certificate or the legislative Rules for the continuing use of your aerodrome, please contact this office. Yours

faithfully,

{Signature}

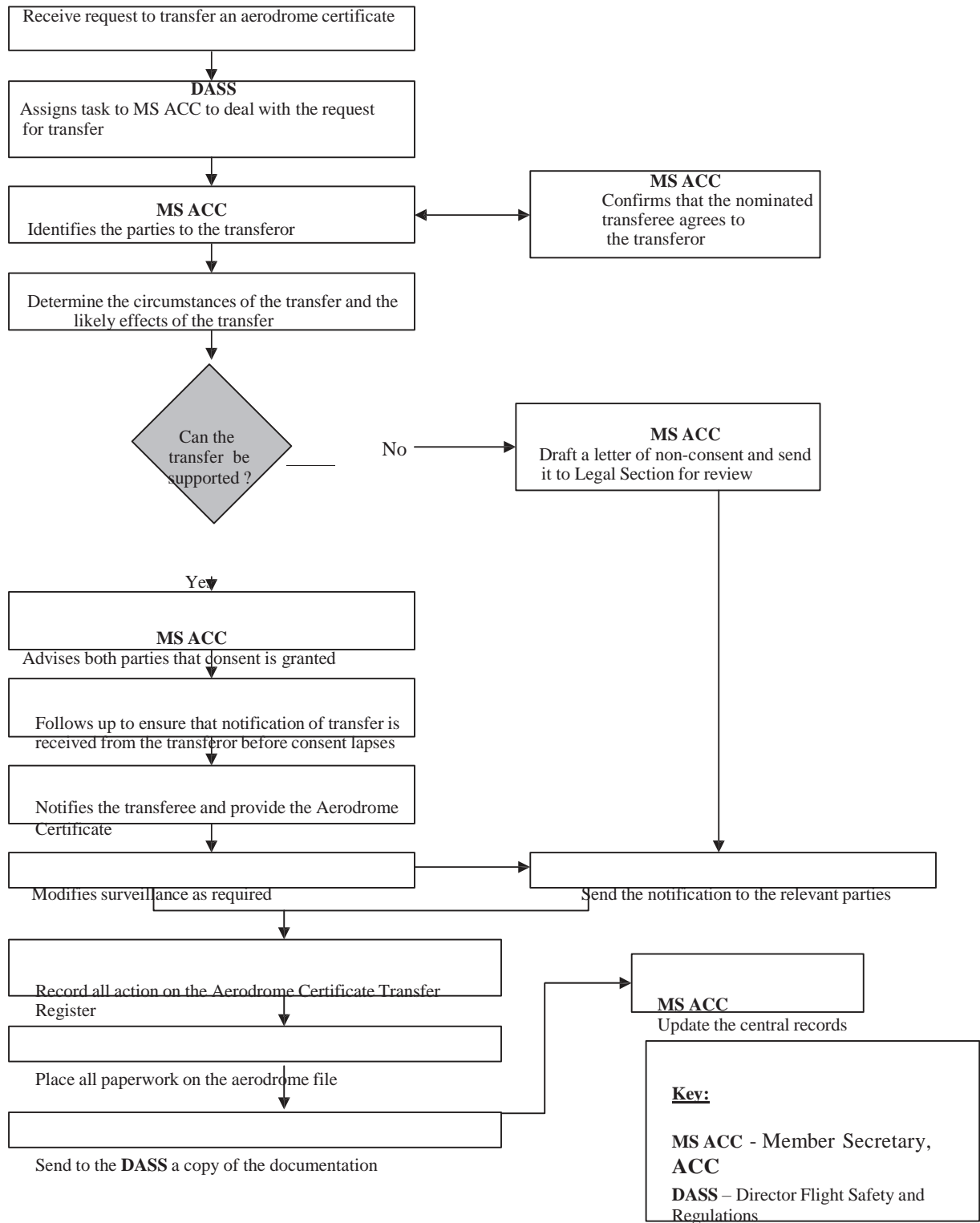
{Name}

DGCA

Civil Aviation Authority, (State)

6.3. Transferring an Aerodrome Certificate

6.3.1 (a) Transfer Process Flowchart



6.3.1 (b) Transferring an Aerodrome Certificate

Any person or entity requesting the transfer of an aerodrome certificate shall submit the following items to CAA for review and approval:

- a. Aerodrome Manual in accordance with (NATIONAL RULES)/ANO(AD) , ANO
- b. (State)ment indicating all personnel, equipment, and other mandatory resources are available for the efficient and effective operations of the aerodrome.
- c. Current financial (State)ment that validate the potential aerodrome operator financial ability to maintain and operate the aerodrome

6.3.2 Processing Transfer of an Aerodrome Certificate

This section provides for the transfer of an aerodrome certificate at the request of an aerodrome operator as per **(NATIONAL RULES)**.

Key functions

The **MS ACC** is responsible for initiating the process for the transfer of the aerodrome certificate on the request of the Aerodrome Operator.

The application for the transfer of the aerodrome certificate submitted to the **DGCA** shall be forwarded to the **MS ACC** through **DASS** for necessary action. The workflow process shall be coordinated through **DASS** who will track the progress of the application.

Procedure

MS ACC in consultation with the **Members of ACC** shall:

1. **Check whether a request for a transfer of Aerodrome Certificate is made by the aerodrome operator.**

The aerodrome operator (transferor/transferee) must make requests in writing for CAA's consent to transfer an aerodrome certificate prior to 60 days of expiry of the aerodrome certificate.

2. **Assess reasons for a transfer of an Aerodrome Certificate.**

An aerodrome operator may request CAA's consent to transfer of the certificate in following circumstances:

- (a) If a person having the Aerodrome Certificate gives a notice in writing to the DGCA, CAA about the person or agency interested to obtain the said Certificate after having transferred the entitlement of the same,
- (b) If a person interested to obtain the Certificate from the person currently having Aerodrome Certificate by having transferred the entitlement of the same submits an application to the DGCA, CAA prior to 45 (forty five) days of the date of expiry of the Certificate for permission to obtain the Certificate by having transferred the entitlement of same, and
- (c) If the requirement of Rule 260A (4) (b) of (NATIONAL RULES) is complied.

3. Check the criteria for a transfer of an Aerodrome Certificate.

- (a) Consent to a transfer may be given **only** if CAA is satisfied that the person to whom the certificate will be transferred is able to properly operate and maintain the aerodrome.
- (b) Requests for consent to transfer of an aerodrome certificate must be tested to determine whether:

The change should be handled as a genuine transfer; or

A situation exists which requires the certificate to be surrendered and a new certificate issued to a different entity.

- (c) A transfer is appropriate when no significant variation will occur in the day- to-day operations of the aerodrome — that is, when:

Aerodrome Manual procedures remain substantially unaltered (minor amendments — such as contact phone numbers etc — are acceptable)

Aerodrome facilities remain substantially unaltered

Key aerodrome operational personnel — such as Reporting Officers, Safety Manager/ Officers and the like — remain in their positions or are replaced with staff of equivalent qualification, experience or skill levels.

4. Check the criteria for non-consent to transfer An Aerodrome Certificate.

- (a) Consent to transfer **must** be refused if CAA is not satisfied that the person to whom the certificate is proposed to be transferred is able to properly operate and maintain the aerodrome.
- (b) Generally, CAA's policy is that consent to transfer should be refused when significant changes to operational aspects of the aerodrome will be made — for example:

If the certificate document is conditionally endorsed or the transfer would require conditions to be endorsed on the certificate document

Reduction of runway, taxiway or apron facilities

If the **MS ACC** believes:

- Significant revision to the Aerodrome Manual will be necessary as a result of the transfer.
- The proposed staffing arrangements are not adequate or appropriate.

Notes:

If consent is not granted:

- 1) *the **MS ACC** shall give the applicant written notice of the refusal, and the reasons for it no later than 14 days after the DGCA refuses to transfer the certificate; and*
- 2) *the **MS ACC** should take steps to confirm that the current aerodrome operator can meet the obligations of the certificate. It is possible that a transfer of the certificate should be followed up by the CAA's surveillance.*

5. Check for any reviewable Decision

- (a) A refusal to consent to a transfer may be reviewable.
- (b) CAA's Legal Section should review any (State)ment of reasons contained in a notice to the applicant before the notice is sent to the applicant.

After completion of the transfer, the **MS ACC** shall:

Put copies of the documentation relating to the transfer in the aerodrome file;

Notify AIS for issuing NOTAM and any changes to the details of the reporting officer and for amendment to publications;

Update the Aerodrome Certificate Register; and

Amend the Surveillance Plan.

MS ACC shall use the Aerodrome Certificate Transfer Checklist to monitor and record all actions to process the certificate transfer.

6.3.3 Aerodrome Certificate Transfer Checklist

1. **The aerodrome operator must provide CAA with written notification of the request to transfer the aerodrome certificate. The ACC, CAA who assesses the request may be required to investigate the application further to establish the relevant information.**

Transfer date (at least 60 days prior to expiry of the aerodrome certificate) specified by the aerodrome operator.

Authority verified — that is, the notification is from the certificate holder or from the transferee and signed.

Are air transport operations being conducted at the aerodrome?

Is the aerodrome to be closed?

Is it necessary for CAA to recommend any action to be taken by the aerodrome operator to ensure safety of future aircraft operations?

2. The written notification is accepted by CAA and the CAA's consent to transfer the certificate is not granted

Confirm that the details specified in section 1 of this checklist have been addressed.
Reasons for not granting consent to transfer the aerodrome certificate are enclosed.

CAA confirmation not to transfer the aerodrome certificate to transferor/transferee issued.

3. The written notification is accepted by CAA and the CAA's consent to transfer the certificate is granted

Confirm that the details specified in section 1 of this checklist have been addressed.

CAA consent to transfer the aerodrome certificate issued to transferor/transferee.

CAA confirmation to transfer the aerodrome certificate to transferee issued.

Endorse the original certificate document or a copy attached in the aerodrome file as "**Transferred**".

Sign the original transferred certificate document or a copy.

Place the original transferred certificate document or copy in the appropriate aerodrome file.

4. Advise the following details of the transfer of aerodrome certificate

Aerodrome Operator in writing the date of transfer of aerodrome certificate.
AIS for issuing NOTAM and any changes to the details of the reporting officer.

AIS for amendment to publications.

MS ACC, an amendment of the aerodrome certificate register.

4. Surveillance Update

Aerodrome Profile Sheet update

Surveillance Plan amendment

.....
MS ACC

..... /...../

Date

6.3.4 Sample Letters

6.3.4.1 Sample Letter for Consent to Transfer an Aerodrome Certificate

{File reference}

Date:

{Aerodrome Operator}

{Aerodrome name}

{Address}

Dear {Sir/Madam},

TRANSFER OF AN CERTIFICATE TO OPERATE {Name of aerodrome}

This has reference to your letter {number} dated {dd/mm/yy} requesting transfer of your aerodrome certificate for {name of aerodrome} from {transferor} to {transferee}.

Civil Aviation Authority, (State) consents to this transfer, provided the transfer is executed on or prior to {date/time} or before the expiry of the aerodrome certificate.

Three transfer notification forms are enclosed with this letter. Please complete all three with original signatures and then ensure:

- a. One copy of the signed transfer notification is retained for your records;
- b. Another copy of the signed transfer notification is retained by the transferee;
and
- c. The remaining signed transfer notification is returned to this office.

Additionally, would you please ensure the original aerodrome certificate document is passed to the transferee.

Your cooperation in formalizing the transfer of this aerodrome certificate in the above manner is appreciated, as, at a future time, it may be important for CAA to be able to provide evidence of the chain of title.

Yours faithfully,

{Signature}

{Name}

DGCA

Civil Aviation Authority, (State)

6.3.4.2 Sample Letter for Transfer Confirmation of an Aerodrome Certificate

{File reference}

Date:

{New aerodrome operator}

{Aerodrome name}

{Address}

Dear {Sir/Madam},

TRANSFER CONFIRMATION OF AN AERODROME CERTIFICATE TO OPERATE
{Name of aerodrome}

This has reference to the transfer of {aerodrome name} aerodrome from {transferor} to yourself which took effect from {date}.

Please find enclosed a Transferred Aerodrome Certificate. The Transferred Aerodrome Certificate is provided, should you wish to display publicly that you are now the operator of {aerodrome name} aerodrome.

The original aerodrome certificate document, with the letter of consent previously copied to you, establishes the legal basis on which you are certified as the operator of {aerodrome name} aerodrome and, additionally, provides evidence of the chain of title for this aerodrome certificate.

Please ensure any requirements relating to published information or aerodrome manual data variations associated with the transferred certificate are actioned by NOTAM and/or amendment issue, as appropriate.

Yours faithfully,

{Signature}

{Name}

DGCA
Civil Aviation Authority, (State)

6.3.4.3 Sample Letter for Non-consent to Transfer of Aerodrome Certificate

{File reference}

Date:

{Certificate holder's name}

{Aerodrome name}

{Address}

Dear {Name}

This has reference to your request for the Civil Aviation Authority, (State) to consent the transfer of aerodrome certificate number {XXnnn} for {aerodrome name} aerodrome from you to {name of the proposed new certificate holder}.

The CAA has decided not to consent to the proposed transfer of the aerodrome certificate. The CAA decision is made because

{Insert (State)ment of reasons}. The (State)ment of reasons should refer to your understanding of the relevant law, any findings of fact on which a conclusion depends and your reasoning process. Explanations should be (State)d clearly, using unambiguous language and should not use vague or legalistic terms. All (State)ments of reasons are to be cleared with legal section before the letter is issued.

Examples of reasons may be that the transfer will involve significant variation to operational procedures, substantial variation to the facilities or to the key personnel.

You are hereby advised that, subject to the current appeal process you or any person whose interests are affected by this decision may apply to *(as required)* for a review of the CAA decision within 30 days from the date of this letter.

You are reminded that you retain all the obligations of aerodrome operator under the current certificate. If you are unable or not prepared to continue to meet these obligations, please advise the concerned official of CAA of your intentions.

Yours faithfully,

{Signature}

{Name}

DGCA
Civil Aviation Authority, (State)

6.3.5 Sample Aerodrome Certificate for Transfer

Aerodrome Certificate

Number: nnn

Certificate of Transfer

This certifies that the Civil Aviation Authority, (State) in accordance with the provisions (NATIONAL RULES) has consented to the transferor of the

{Transferee's Name}

To operate

{Aerodrome Name}

The operation and use of the aerodrome is subject to (NATIONAL RULE) and any relevant directions issued including any conditions endorsed by the Civil Aviation Authority, (State). This certificate remains in force until surrendered, suspended or cancelled and transferred.

Date: Day/Month/Year

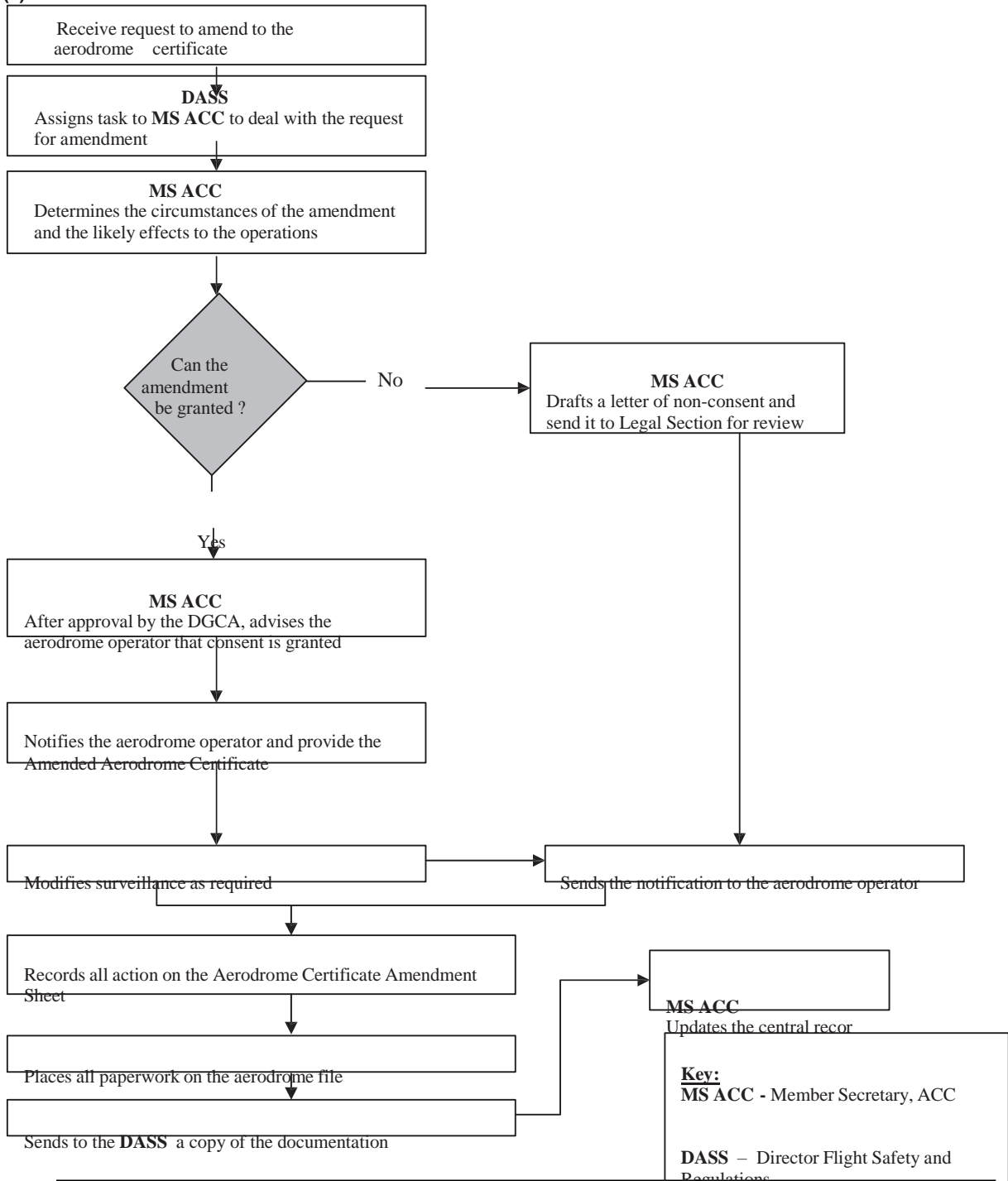
DGCA
Civil Aviation Authority, (State)

6.4 Amendment to the Aerodrome Certificate

Any person or entity requesting the amendment of an aerodrome certificate shall submit the following items (Documents) to CAA for review and approval:

- a. Aerodrome Manual in accordance with (NATIONAL RULES)/ANO(AD)
- b. (State)ment indicating all personnel, equipment, and other mandatory resources are available for the efficient and effective operations of the aerodrome.
- c. Current financial (State)ment that validate the potential aerodrome operator financial ability to maintain and operate the aerodrome.

6.4.1(a) Amendment Process Flowchart



6.4.2 Processing Amendments

(NATIONAL RULES) permits an aerodrome certificate to be amended by CAA, if the following circumstances occur:

- Change in the ownership or management of the aerodrome;
- Change in the use or operation of the aerodrome;
- Change in the boundary of the aerodrome; or
- The holder of the aerodrome certificate requests an amendment.

Key functions

The **MS ACC** is responsible for initiating the process for the amendment of the aerodrome certificate on the request of the Aerodrome Operator.

The application for the amendment of the aerodrome certificate submitted to the DGCA shall be forwarded to the **MS ACC** through **DASS** for necessary action. The workflow process shall be coordinated through **DASS** who will track the progress of the application.

Procedure

MS ACC in consultation with the **Members of ACC** shall:

1. Check whether the request for an amendment to Aerodrome Certificate be made by the aerodrome operator.

The aerodrome operator must make requests for consent to amend an aerodrome certificate. CAA's policy should be that requests for amendment of the aerodrome certificate must be made in writing.

2. Check reasons for an amendment of an Aerodrome Certificate.

An aerodrome operator may request CAA's consent to amend the certificate when:

- There is a change in the ownership or management of the aerodrome;
- There is a change in the use or operation of the aerodrome;
- There is a change in the boundary of the aerodrome; or
- The holder of the aerodrome certificate requests an amendment.

3. Check criteria for an amendment of an Aerodrome Certificate.

- (a) Consent to an amendment may be given **only** if CAA is satisfied with the reasons submitted by the aerodrome operator.

- (b) An amendment is appropriate when no significant variation will occur in the day-to-day operations of the aerodrome — that is, when:

Aerodrome Manual procedures remain substantially unaltered (minor amendments — such as contact phone numbers etc — are acceptable)

Aerodrome facilities remain substantially unaltered

Key aerodrome operational personnel — such as Reporting Officers, Safety Managers/Officers and the like — remain in their positions or are replaced with staff of equivalent qualification, experience or skill levels.

4. Check criteria for non-consent to amend an Aerodrome Certificate

- (a) Consent to amendment **must** be refused if CAA is not satisfied with the reasons submitted by the aerodrome operator.
- (b) Generally, CAA's policy is that consent to amendment should be refused when significant changes to operational aspects of the aerodrome will be made — for example:

If the certificate document is conditionally endorsed or the amendment would require conditions to be endorsed on the certificate document;

Reduction of runway, taxiway or apron facilities

If the **MS ACC** believes that:

a significant revision to the Aerodrome Manual will be necessary as a result of the amendment.

the proposed staffing arrangements are not adequate or appropriate.

Note: *If consent is not granted, the **MS ACC** should take steps to confirm that the aerodrome operator can meet the obligations of the certificate. It is possible that an amendment of the certificate should be followed up by the CAA's surveillance.*

5. Check for any reviewable decision

A refusal to consent to an amendment may be reviewable.

CAA's Legal Section should review any Statement of reasons contained in a notice to the applicant before the notice is sent to the applicant.

After completion of the amendment of the aerodrome Certificate, the **MS ACC** shall:

Put copies of the documentation relating to the amendment of the Aerodrome Certificate in the aerodrome file;

Notify AIS for issuing NOTAM and any changes to the details of the reporting officer and for amendment to publications;

Update the Aerodrome Certificate Register; and

Amend the Surveillance Plan.

MS ACC shall use the Aerodrome Certificate Amendment Checklist to monitor and record all actions to process the amendment of the aerodrome certificate.

6.4.3 Aerodrome Certificate Amendment Checklist

1. **The aerodrome operator must provide CAA with written notification of the request to amend the aerodrome certificate. The ACC, CAA who assesses the request may be required to investigate the application further to establish the relevant information.**

Amendment date specified by the aerodrome operator.

Authority verified — that is, the notification is from the certificate holder and signed.

Are air transport operations being conducted at the aerodrome?

Is the aerodrome to be closed?

Is it necessary for CAA to recommend any action to be taken by the aerodrome operator to ensure safety of future aircraft operations?

2. **The written notification is accepted by CAA and the CAA's consent to amend the certificate is not granted**

Confirm that the details specified in section 1 of this checklist have been addressed.

Reasons for not granting consent to amend the aerodrome certificate are enclosed.

CAA confirmation not to amend the aerodrome certificate issued.

3. **The written notification is accepted by CAA and the CAA's consent to amend the certificate is granted**

Confirm that the details specified in section 1 of this checklist have been addressed.

CAA confirmation to amend the aerodrome certificate issued.

Endorse the original certificate document or a copy attached in the aerodrome file as "**Amended**".

Sign the amended certificate document.

Place the copy of the amended certificate document in the appropriate aerodrome file.

4. **Advise the following details of the amendment of aerodrome certificate**

Aerodrome Operator in writing the date of amendment of aerodrome certificate.

AIS for issuing NOTAM and any changes to the details of the reporting officer.

AIS for amendment to publications.

5. Surveillance Update

Aerodrome Profile Sheet update
Surveillance Plan amendment

.....
MS ACC

..... /...../

Date:

6.4.4 Sample Letters

6.4.4.1 Sample Letter for Amendment of an Aerodrome Certificate

{File reference}

Date:

{New aerodrome operator}

{Aerodrome name}

{Address}

Dear {Sir/Madam},

AMENDMENT OF AN AERODROME CERTIFICATE TO OPERATE {Name of aerodrome}

This has reference to your request for the Civil Aviation Authority, (State) to amend the aerodrome certificate number {XXnnn} for {aerodrome name} aerodrome.

The CAA has decided to consent to amend the aerodrome certificate.

Please find enclosed an amended Aerodrome Certificate. The previous aerodrome certificate document, establishes the legal basis on which you are certified as the operator of {aerodrome name} aerodrome and, additionally, provides evidence of the chain of title for this aerodrome certificate.

Please ensure any requirements relating to published information or aerodrome manual data variations associated with the amended certificate are actioned by NOTAM and/or amendment issue, as appropriate.

Yours faithfully,

{Signature}

{Name}

DGCA

Civil Aviation Authority, (State)

6.4.4.2 Non-consent to Amend an Aerodrome Certificate

{File reference}

Date:

{Certificate holder's name}

{Aerodrome name}

{Address}

Dear {Name}

This has reference to your request for the Civil Aviation Authority, (State) to consent an amendment of aerodrome certificate number {XXnnn} for {aerodrome name} aerodrome.

The CAA has decided not to consent to the proposed amendment of the aerodrome certificate. The CAA decision is made because:

{Insert (State)ment of reasons}. *The (State)ment of reasons should refer to your understanding of the relevant law, any findings of fact on which a conclusion depends and your reasoning process. Explanations should be (State)d clearly, using unambiguous language and should not use vague or legalistic terms. All (State)ments of reasons are to be cleared with legal section before the letter is issued.*

Examples of reasons may be that the amendment of the certificate will involve significant variation to operational procedures, substantial variation to the facilities or to the key personnel.

You are hereby advised that, subject to the current *appeal process* you or any person whose interests are affected by this decision may apply to *(as required)* for a review of the CAA decision within 30 days from the date of this letter.

You are reminded that you retain all the obligations of aerodrome operator under the current certificate. If you are unable or not prepared to continue to meet these obligations, please advise the concerned official of CAA of your intentions.

Yours faithfully,

{Signature}

{Name}

DGCA
Civil Aviation Authority, (State)

6.5 Compliance and Enforcement

6.5.1 Cancelling or Suspending an Aerodrome Certificate

(NATIONAL RULES) empowers the CAA to suspend or cancel an aerodrome certificate if CAA is satisfied that certain grounds exist.

Key functions

The **MS ACC** is responsible for initiating the process for the cancellation of the aerodrome certificate if the certificate holder:

- Has breached a condition to which the Certificate was subjected; or
- Fails to satisfy the standards required for the aerodrome facilities, equipment, operations or maintenance.

Procedure

1. Using the Aerodrome Certificate Suspension or Cancellation Check sheet **MS ACC** shall:
 - a. Check that the Aerodrome Operator has been given a period of 21 days to rectify all deficiencies identified by the **Member(s) of ACC** during inspection before issuing warning letter to suspend the certificate.
 - b. Check that the Aerodrome Operator has been given a period of 14 days warning notice before suspension of the Certificate.
 - c. Check that the aerodrome operator's certificate has been suspended for the period as specified by the **DGCA**.
 - d. Check that the deficiencies are not rectified within the period of suspension of the certificate then action should be taken to cancel the certificate.
2. If CAA makes a decision to suspend or cancel the certificate, prepare a letter of notification to the aerodrome operator:
 - a. Notifying the suspension or cancellation of the certificate
 - b. In case of cancellation of the certificate, instruct the aerodrome operator to return the original certificate document to the CAA.
 - c. Advising aerodrome operator to carry out any actions necessary in the interests of aviation safety.
3. Prepare and forward the letter for the **DGCA's** signature through **DASS**. Place a copy of the letter in the appropriate aerodrome file.
4. Send a letter of notification to the aerodrome operator before the date of cancellation of the Certificate — refer to 6.5.3.3 for the sample Letter of Cancellation by CAA.
5. When you have the original certificate:

- a. Mark it as cancelled by completing the following actions using ink:
 - Draw a line through the Certificate.
Write “**Cancelled**” and the date of the cancellation on the Certificate.
 - Sign the Certificate.
 - b. Place the original certificate in the appropriate aerodrome file.
6. Notify the Aeronautical Information Service (AIS) through **DASS** to issue a NOTAM of canceling the certified status of the aerodrome and amend the AIP.
 7. Update the Aerodrome Certificate Register.
 8. Amend aerodrome file and surveillance records.

Check for any reviewable decision

A refusal to consent to an amendment may be reviewable.

CAA’s Legal Section should review any Statement of reasons contained in a notice to the applicant before the notice is sent to the applicant.

6.5.2 Aerodrome Certificate Suspension or Cancellation Checklist

1. Before issuing a Letter of Warning Notice to the Aerodrome Operator

Ensure that the Aerodrome Operator is given 21 days period to rectify all deficiencies identified during inspection of the aerodrome by **ACC**.

Confirm that the Aerodrome Operator has not rectified the deficiencies within 35 days.

Issue a Letter of Warning Notice.

Place a copy of the letter in the appropriate aerodrome file.

2. Before issuing a Letter of Suspension of the Certificate to the Aerodrome Operator

Ensure that the Aerodrome Operator has been issued a Letter of 14 days Warning Notice

Confirm that the Aerodrome Operator has not rectified the deficiencies within 14 days of the issue of the Letter of Warning Notice.

Issue a Letter of Suspension of the Certificate.

Place a copy of the letter in the appropriate aerodrome file.

3. Before issuing a Letter of Cancellation of the Certificate to the Aerodrome Operator

Ensure that the Aerodrome Operator has been issued a Letter of Suspension of the Certificate for a period specified by the DGCA, CAA.

Confirm that the Aerodrome Operator has not rectified the deficiencies within the period of the suspension of the Certificate (period specified by the DGCA, CAA) to the satisfaction of the DGCA, CAA.
Action shall be taken to cancel the Certificate

4. If CAA makes a decision to cancel the Certificate

Prepare and forward the Letter of Cancellation of the Certificate fo DGCA CAA signature through DASS.

Ensure that the Aerodrome Operator has been issued a Letter of Cancellation of the Certificate.

Place a copy of the letter in the appropriate aerodrome file.

Confirm that the aerodrome operator has been instructed to return the original certificate document to the CAA to enable cancellation of the Certificate

Confirm that the aerodrome operator has been advised to carry out any actions necessary in the interests of aviation safety.

\$GYLVH AIS through DASS for issuing NOTAM of the cancellation of the Certificate and any changes to the details of the reporting officer.

\$GYLVH AIS through DASS for amendment to publications.

\$GYLVH DASS an amendment of the aerodrome certificate register.

5. When the Aerodrome Certificate has been cancelled and the Certificate returned to CAA

Endorse the original certificate document or a copy attached in the aerodrome file as **Cancelled**.

Sign the endorsed original certificate document or a copy.

Place endorsed original certificate document or copy in the appropriate aerodrome file.

6. Surveillance Update

\$HVURGVURPH Profile Sheet updated
Surveillance Plan amended

.....
MS ACC

..... / /
Date

6.5.3 Sample Letters

6.5.3.1 Sample Warning Notification

{file reference}

Date:

{Certificate holder's name}

{Address}

Dear {Sir/ Madam}

WARNING NOTICE FOR THE SUSPENSION OF AN AERODROME CERTIFICATE
{name of aerodrome}

This has reference to our letter {Number} dated {dd/mm/yy}.

As you have failed to rectify the findings mentioned in the above letter within the period (State)d, this Authority will suspend your Aerodrome Certificate effective from {dd/mm/yy}.

(Note: The date should be 35 days from the date of issue of this letter)

If you have any queries regarding above, please contact this Authority. Yours

faithfully,

{Signature}

{Name}

DGCA
Civil Aviation Authority, (State)

6.5.3.2 Sample Letter for Suspension of an Aerodrome Certificate

{file reference}

Date:

{Certificate holder's name}

{Address}

Dear {Sir/ Madam}

SUSPENSION OF AN AERODROME CERTIFICATE {name of aerodrome}

This has reference to our letter {Number} dated {dd/mm/yy}.

As you have failed to rectify the findings mentioned in the above letter within the period (State)d, this Authority has decided to suspend your Aerodrome Certificate effective from {dd/mm/yy} for the period specified by the DGCA, CAA (State).

If you fail to rectify the findings within this period, your certificate will be cancelled by this Authority.

If you have any queries regarding above, please contact this Authority. Yours

faithfully,

{Signature}

{Name}

DGCA
Civil Aviation Authority, (State)

6.5.3.3 Cancellation of an Aerodrome Certificate

{file reference}

Date:

{Certificate holder's name}
{Address}

Dear {Sir/ Madam}

CANCELLATION OF AN AERODROME CERTIFICATE {name of aerodrome}

This has reference to our letter {Number} dated {dd/mm/yy}.

As you have failed to rectify the findings mentioned in the letter {Number} dated {dd/mm/yy} within the period (State)d in the letters reference {Numbers and dates} this Authority has decided to cancel your Aerodrome Certificate effective from {dd/mm/yy}. We have arranged for a NOTAM to be issued in this regard.

{Insert the relevant paragraph below}

As there {are/are no} regular public transport operations at your aerodrome after the date of cancellation, it {will/will not} be subject to continued regular surveillance from this Authority.

As the aerodrome {is to be/has been} closed to all aircraft operations, you are advised to take the following steps.

- Remove the windsock and boundary markers.
- Advise any known local operators.
- Display appropriate unserviceability markers.

If you have any queries regarding the cancellation of certificate or the legislative rules for the continuing use of your aerodrome, please contact this office.

Yours faithfully,

{Signature}

{Name}

DGCA
Civil Aviation Authority, (State)

6.6 Renewal of Aerodrome Certificate

An aerodrome operator seeking to renew an aerodrome certificate shall approach in writing to DASS at least 60 days before the validity of the existing Aerodrome Certificate.

Procedure

On receipt of the application, the DASS will notify MS ACC for action. MS ACC will follow the procedure laid down in relevant articles of chapter 2 of Manual of Aerodrome Certification Procedure (MACP) to renew the aerodrome certificate.

Procedures not required for a particular field in a renewal process should be notify to DASS by MS ACC for approval.

The certificate number issued to the previous certificate shall be maintained for the renewed certificate also.

GUIDELINES ON

**CONDUCTING AERODROME
CERTIFICATION AUDIT**

CAA

Aerodrome Certification Audit

..... INTERNATIONAL AIRPORT

1. DEFINITIONS AND AUDIT TERMINOLOGY

When the following terms are used in aerodrome certification audit activities, they have the meanings indicated.

Adequate. Fulfilling minimal requirements; satisfactory; acceptable; sufficient.

Assessment. An appraisal of procedures or operations based largely on experience and professional judgment.

Audit. A systematic and objective review of an aerodrome operator's compliance with the provisions of national regulations, conformance with or adherence to SARPs, procedures and good aviation safety practices.

Audit activities. Those activities and procedures by which information is obtained to verify that the audited aerodrome operator is in conformance with, or adherence to, applicable SARPs, procedures and good aviation safety practices. Such activities may include, but are not limited to, interviews, observations, inspections and the review of files and documents.

Audit finding. The determination with respect to the compliance with the provisions of the national regulations, conformance with or adherence to SARPs, procedures and good aviation safety practices.

Audit follow-up. An audit of an aerodrome operator to determine progress in implementing recommendations or the corrective action plan which resulted from certification or safety audit, and to include supplementary findings and recommendations if made incidental to the audit follow-up.

Audit preparation briefing for team members. A pre-audit briefing provided to team members by the audit team leader, the purpose of which is to provide information and instructions, as appropriate, directly related to the specific audit to be conducted.

Audit report. A standardized means of reporting the audit findings to the aerodrome operator.

Audit team leader/DGCA ACC. The individual designated by the DGCA, Civil Aviation Authority, (State), to be responsible for the conduct of an audit, including the consolidation and completion of the audit report.

Certification. The process of determining competence, qualification, or quality on which an aviation document is based.

Conformance. The (State) of meeting the requirements of an ICAO Standard.

Corrective action plan. An action plan submitted to the DGCA, CAA by an audited aerodrome operator, detailing the action(s) proposed to be taken, on the basis of findings made by an audit team. Implementation of the corrective action

plan should bring the audited aerodrome operator into full compliance with the provisions of the national regulations, conformance with or adherence to SARPs, procedures and good aviation safety practices.

Inspection. The basic activity of an audit, which involves examination of the specific characteristics of the safety related activities of the aerodrome operator.

Non-adherence. A deficiency in characteristic, documentation or procedure with respect to a recommended practice, procedure, guideline or good aviation safety practice.

Non-compliance. A deficiency in characteristic, documentation or procedure with respect to provisions of a national regulation.

Non-conformance. A deficiency in characteristic, documentation or procedure with respect to an ICAO Standard.

Objective evidence. Information which can be proved to be true, based on facts obtained through independent observation, measurement, test or other means.

Observation. Information provided to an operator as an alert regarding conformance of an existing condition compared to a potential new standard about which CAA has knowledge.

Post-audit meeting. A meeting of the CAA audit team and the representatives of the audited aerodrome operator at the end of the audit, the purpose of which is to provide the operator authorities with a brief on audit findings and to enable the operator to start working on its corrective action plan.

Pre-audit meeting. A meeting of the CAA audit team and the representatives of the aerodrome operator to be audited before the commencement of the audit, the purpose of which is to provide the operator with information on the audit process and the scope of the audit.

Procedure or process. A series of steps followed in a methodical manner to complete an activity (what shall be done and by whom; when, where and how it shall be completed; what materials, equipment, and documentation shall be used, and how it shall be controlled).

Safety. Safety is the (State) in which the risk of harm to persons or property damage is reduced to, and maintained at or below, an acceptable level through a continuing process of hazard identification and risk management.

Standard auditing procedures. Established criteria governing the conduct of an audit, aimed at measuring an operator's level of compliance, conformance or adherence.

Verification. The independent review, inspection, examination, measurement, testing, checking, observation and monitoring to establish and document that products, processes, practices, services and documents conform to specified standards. This includes evaluating the effectiveness of management systems.

2. AUDIT PERSONNEL

Audit personnel must satisfy certain qualification and experience criteria. Examples of such criteria are that personnel must:

- a) Have extensive knowledge of (NATIONAL/ANO) related to aerodromes and the Aerodrome Certification Procedures Manual of CAA;
- b) Have adequate knowledge of Manual of Aerodrome Standards, (State), ICAO Annex 14 Volume I and other guidance materials;
- c) Demonstrate motivation and the ability to write clearly and concisely;
- d) Have initiative, judgment, tact and the ability to maintain harmonious working relationships in a multidisciplinary environment; and
- e) Have command of both Bangla and English languages.

3. OBSERVERS

Observers of CAA aerodrome certification audits may be permitted with the approval of the DGCA, CAA. Personnel may also be allowed to participate as observers if, in the opinion of the DGCA, CAA, their participation will benefit the overall safety objective of the audit.

Observers may also be assigned for on-the-job training. Such observers of an audit are personnel other than Members of the Aerodrome Certification Committee (ACC), assigned to participate in the audit for training or familiarization purposes.

Participation of observers shall be made known to the audited aerodrome operator in the same manner the audit team members are made known and they shall also be included in the list of team members.

4. AERODROME CERTIFICATION COMMITTEE

4.1 Establishment of Aerodrome Certification Committee

In Civil Aviation of (State) (CAA), an Aerodrome Certification Committee (ACC) has been established by the DGCA, CAA as per 2.2.2 of MACP – Manual of Aerodrome Certification Procedures of CAA for the purpose of the certification of aerodromes in (State). The ACC comprises of the following officials:

- (a) DASS - DGCA
- (b) Representative of Civil Engineering - Member
- (c) Representative of E/M Engineering - Member
- (d) Representative of ats Engineering - Member
- (e) Representative of Aerodrome inspector from aga section - Member Secretary

The Committee may include FOI and other AGA Consultants as co-opted members in the committee as and when required.

The Committee shall carry out Audits of all International & Domestic Airports (if applicable) and Inspections of all Airports in (State) and shall submit report to the DGCA, CAA with recommendations for Aerodrome Certification.

4.2 DGCA of CAA

The DGCA, CAA will appoint an audit team leader for each audit, who is usually the DGCA of ACC. The audit team leader/DGCA of ACC assumes responsibility for the conduct and reporting of the audit in accordance with guidance and instructions provided by the DGCA CAA, including those found in this document.

The DGCA, CAA will take into consideration qualifications, experience and relations with other team members when choosing an audit team leader.

In addition to specific tasks assigned by the DGCA, CAA, an audit team leader's/DGCA of ACC responsibilities may include:

- a) Preparation of the aerodrome specific audit plan;
- b) Coordinating with the aerodrome operator in matters related to the conduct of the audit;
- c) Holding an audit preparation briefing for team members prior to the conduct of the audit;
- d) Conducting pre- and post-audit meetings with the operator;
- e) Providing leadership and guidance, as necessary, to audit team members; and
- f) Coordinating the development of the audit report and submitting it to the DGCA, CAA.

4.3 Members of ACC

Members of ACC are assigned to specific audits by the DGCA, CAA and are accountable to the DGCA of ACC.

Members of ACC are required to be free from bias and influences that could affect their objectivity as aviation safety audit team members. Members of ACC must maintain independence from the audited aerodrome operator. They must always remain within the scope of the audit, display integrity, exercise objectivity and remain alert to any indication of evidence that may influence the audit result.

In addition to the specific tasks assigned by the DGCA, CAA or the DGCA of ACC, the Members' responsibilities may include:

- a) Communicating and clarifying audit requirements;
- b) Planning and carrying out assigned responsibilities effectively and efficiently;
- c) Documenting all findings and observations;
- d) Developing a report of findings and recommendations;
- e) Assessing the effectiveness of the corrective action plan submitted by an audited aerodrome operator; and
- f) Cooperating with and assisting the DGCA of ACC at all times during the preparation, conduct and completion of the audit process.

4.4 Members of ACC (Aerodrome Inspectors) Code of Conduct

As a DGCA of or as a Member in a CAA ACC, each individual is required to comply with a code of conduct that directs his/her actions during the entire process of the audit. These rules of conduct for each individual DGCA/Member of ACC are as follows;

- a) To exercise in all loyalty, discretion and conscience the functions entrusted to them as a DGCA/Member of the CAA ACC (aerodrome safety oversight audit team);
- b) To discharge these functions to the best of their ability;
- c) To conduct themselves with integrity, impartiality and honesty;
- d) To abide by the rules, procedures and guidance prescribed in this handbook;
- e) Not to misuse their official position as part of the CAA aerodrome safety oversight audit team;
- f) Not to receive benefits of any kind from a third party which might reasonably be seen to compromise their personal judgment or integrity;
- g) To avoid giving cause for resentment and abstain from conduct which would reflect adversely on the CAA; and
- i) Not to disclose any information of a confidential nature related to the findings of the audit to any other party other than those identified in this handbook.

5. AUDIT FINDINGS

5.1 Non-compliance, Non-conformance and Non-adherence

An audit finding that identifies lack of compliance with legislation or a regulation promulgated by the Government of (State) will be recorded as a non-compliance.

An audit finding that identifies lack of conformance with or implementation of an ICAO Standard will be recorded as a non-conformance.

An audit finding that identifies lack of adherence to an ICAO Recommended Practices, procedure, safety-related guidance material or recognized aviation safety practices will be recorded as a non-adherence.

The finding record will describe the relevant standard auditing procedure and reasons for the finding. If applicable, the record will include recommendations for corrective action. However, operators will generally be expected to provide corrective actions based on their own knowledge, skills and environmental considerations for assessment by the CAA as appropriate or otherwise.

5.2 Observations

An audit finding, that is not in accordance with a future requirement, of which CAA ACC aware will be alerted to the aerodrome operator as an observation. Operators are advised that observations are not required to be addressed with a corrective action.

5.3 Communication of Audit Findings

CAA ACC will informally advise the operator's staff of audit findings as the audit proceeds. The complete list of confirmed findings (including any confirmed remedial action) will be presented to the aerodrome operator at the exit meeting, and confirmed in the formal report provided by CAA ACC subsequent to the audit conclusion and exit meeting.

6. CORRECTIVE ACTION PLAN

At the completion of an audit, the operator has the responsibility to develop a corrective action plan defining action planned to be taken to resolve unfavorable findings within the period determined and agreed upon for this purpose.

Corrective actions and deadlines, as necessary, should be established for each of the audit findings. Together, the corrective actions form the operator's corrective action plan.

The operator's corrective action plan must be submitted within 45 calendar days after receiving the audit report, which is to be submitted to the operator within 35 calendar days following the post-audit meeting.

If deemed necessary, the DGCA, CAA will establish contact with the audited aerodrome operator within approximately 35 days after the CAA has accepted a corrective action plan, in order to assess progress made in implementing the accepted corrective action plan. The contact may be effected through a visit to the aerodrome or through written or oral communication.

If the operator has not submitted a corrective action plan within the agreed-upon period, the ACC will indicate that the aerodrome operator has failed to provide a corrective action plan within the prescribed period.

7. AUDIT REPORTS

The products of each certification audit are the briefs and reports prepared and submitted as appropriate. Each audit will conclude with the preparation and submission of an audit report

All briefs and reports will be prepared on the basis of guidance included in this document.

All materials, notes and reports obtained or made during the audit will be considered confidential by CAA.

8. FOLLOW-UP ACTION

If findings of non-compliance with **Rules of (NATIONAL RULES) and SARPs of Manual of Aerodrome Standards, (State)** are revealed during the audit, an audited aerodrome operator will be required to resolve such identified differences.

If the operator fails to do so and differences still remain during the preparation of the audit report, the differences will be included in the audit report.

Follow-up action will be effected through monitoring the status of implementation of accepted aerodrome operator's corrective action plans and completion of audit follow-ups.

The CAA will maintain a status of implementation record of accepted corrective actions. Aerodrome operators are required to provide update information as corrective actions are completed, so that the status report can be kept current and an audit follow-up mission planned.

9. ACC FEEDBACK

- 9.1 Following the conclusion of an audit and the compilation of the audit report, each individual DGCA/Member ACC is required to complete and submit an "Auditor Feedback Form" (see **Attachment - E**) providing his/her observations on the conduct of the audit. These forms will be utilized to provide a qualitative assessment on the audit process so as to identify areas of improvement for future audits. The assessment will be carried out by the **DASS**.
- 9.2 If an individual auditor or group of auditors (**DGCA/Members of ACC**) has reason to believe that they are under any pressure to act illegally, improperly or in an unethical manner, or are asked to take any action that is in contravention of the procedures laid out in this handbook, they are to report this matter in writing to the DGCA, CAA through the DASS.

Audit Notification Letter to Aerodrome Operator

{file reference}

Date:

{Certificate holder's name}

{Address}

Dear {Sir/ Madam},

Subject: Aerodrome Audit

As part of the CAA safety oversight of aerodrome safety, an audit of your organisation is required and has been scheduled during the week commencing *mm/dd/yyyy*.

The demonstrated performance of organizations (personnel, equipment, information, facilities, etc) as observed during these audits is the prime means used by the CAA when establishing the approval of, and continuing compliance for, certificated aerodromes, as well as providing an indicator for the frequency and scope of future surveillance programmes.

Audit Reference Number

All enquiries relating to this audit should refer to Aerodrome Audit Reference Number *nnn*.

Objective

The objective of the audit is to assess your organization's aerodrome safety compliance with respect to **(NATIONAL RULES)** and safety standards specified by the **MAS (State)**.

Documents, records, equipment and facilities

Documents and records will be sampled, and a physical inspection of the relevant procedures, equipment or facilities is likely to be carried out. To facilitate this process would you please have available any of the following that may be relevant to the audit:

- x Local training records;
- x Personnel competency records for individual aerodrome Officers;
- x Recurrent testing procedures and records;
- x Operations Manuals and/or Standard Operating Procedures (SOPs);
- x Records of meetings and decisions taken regarding safety matters; and
- x Management must be available for interview.

Access to key staff associated with aerodrome operations and management will also be required.

Personnel

At the commencement of the audit the Senior Executive of the aerodrome should be present and available. The person responsible within your organization for quality assurance is welcome to attend.

The requirements for their ongoing presence throughout the audit will be discussed at that time. If for any reason a senior person is unavailable to attend this audit then please contact the Audit Team Leader (**DGCA of ACC**).

Confirmation of date and time

The Audit Team Leader for this audit will be **Mr. AAA** and he will contact you directly to confirm the audit dates. Any audit enquiries should be addressed directly to him.

Yours faithfully,

{Signature}

{Name}

DGCA

Civil Aviation Authority, (State)

**Activities of Aerodrome Certification Audit Program
[Example only]**

Date	Activity	Time	Task
Day 1	Opening meeting	09:30 – 10:00	General briefing and audit entry meeting with Director/Airport Manager
	Aerodrome Manual, Part 1, General Information	10:30 – 12:30	Documentation review
	Aerodrome Manual, Part 2, Particulars of the Aerodrome Site	13:30 – 16:00	Documentation review
Day 2	Aerodrome Manual, Part 3, Particulars of the aerodrome required to be reported to the AIS	09:00 – 12:30	Documentation review
	x Site visit to verify aerodrome data	13:30 – 16:00	Airside visit
Day 3	Aerodrome Manual Part 4, Aerodrome Operating Procedures:		
	4.1 Aerodrome reporting	09:00 – 10:00	Documentation review
	4.2 Access to the aerodrome movement area	10:00 – 11:00	Documentation review
	4.3 Aerodrome Emergency Plan	11:00 – 12:30	Documentation review
	4.4 Rescue and Fire Fighting Services	13:30 – 16:00	Documentation review and visit of RFFS
Day 4	Aerodrome Manual Part 4, Aerodrome Operating Procedures:		
	4.4 Inspection of the aerodrome movement area and obstacle limitation surfaces	09:00 – 10:00	Documentation review and Aerodrome serviceability inspections
	4.5 Visual aids and aerodrome electrical system	10:00 – 11:30	Documentation review and visit to electrical department
	x Visit to power house	11:30 – 12:30	
	4.6 Maintenance of the movement area	13:30 – 14:00	Documentation review and visit to civil maintenance department: x Aerodrome maintenance programs x Friction testing
		14:00 – 15:00	
	4.7 Aerodrome works safety	15:00 – 16:00	Documentation review and visit to civil maintenance department
Night Inspection	18:30 – 22:00	Approach and airfield lighting system	
Day 5	Aerodrome Manual Part 4, Aerodrome Operating Procedures:		
	4.9 Apron management	09:00 – 10:00	Documentation review
	4.10 Apron safety	10:00 – 11:00	Documentation review

Date	Activity	Time	Task
	management		
	4.11 Airside vehicle control	11:00 – 12:30	Documentation review
	4.12 Wildlife hazard management	13:30 – 14:30	Documentation review and visit to office
	4.13 Obstacle control	14:30 – 16:00	Documentation review
Day 6	Aerodrome Manual Part 4, Aerodrome Operating Procedures:		
	4.14 Removal of Disabled Aircraft	09:00 – 10:00	Documentation review
	4.15 Handling of hazardous materials:	10:00 – 11:00	Documentation review and
	x Site visit to fuel farm	11:00 – 12:30	Site visit to fuel farm
	4.16 Low visibility operations	13:30 – 14:30	Documentation review
	4.17 Protection of sites for Radar and navigational aids	14:30 – 16:00	Documentation review and site visit
Day 7	Aerodrome facilities and equipment:		
	Aerodrome facilities	09:30 – 12:30	Documentation review
	x Runway and runway strip		
	x Runway lighting		
	x Taxiway and taxiway strips		
	x Other movement area marking, lighting, signs		
	x Aprons		
	Site visit to the movement area	13:30 – 16:00	
Day 8	Aerodrome Manual, Part 5, Aerodrome Administration and Safety Management System:		
	Aerodrome Administration	09:00 – 13:00	Documentation review
	Coordination with AIS	10:00 – 11:30	Documentation review
	Aerodrome manual amendment procedure	11:30 – 12:30	Documentation review
	Audit exit meeting	14:00 - 15:30	Briefing on audit findings and observation to Director/Airport Manager and senior officials

Appendix 04

Aerodrome Pre-Audit Questionnaire

AERODROME PRE-AUDIT QUESTIONNAIRE

AERODROME OPERATOR:

Name of Airport: _____

Name of Director/Airport Manager _____

Contact # _____

Name of Head of Operations _____

Contact # _____

Part 1 - Aerodrome

S/N	QUESTIONS	ANSWERS BY AERODROME OPERATOR
1.1	Does the airport have an approved aerodrome manual?	
1.2.	Who is responsible within the airport management for the maintenance of this manual?	
1.3.	Who is responsible for coordinating the implementation of the contents of the manual at the airport?	
1.4.	Has the airport established procedures for the amendment of this manual, and if so, where are these measures described.	
1.5.	When was the manual last amended?	
1.6	List ground handling agencies, and their functions, at the airport. e.g. airlines, ground service providers and fuel organizations	
1.7	Is there any document on Airport Emergency Procedures?	
1.8	Who are the officers responsible for its implementation? Are they competent & Experienced?	
1.9	Is there any Aerodrome plan	
2.0	Is there any Aerodrome development programme in place?	
2.1	Any Safety Management Systems (SMS)in place?	
2.2	Who monitors implementation?	
2.3	Any Quality Management System in place?	
2.4	How effective is the system?	
2.5	Does the airport have a copy of the	

	Aerodrome Standards Manual?	
2.6	Is it being implemented?	
2.7	Have you received the Audit checklist and other relevant documentation manual?	
2.8	Qualification requirements and process for assessment of staff performing all critical activities for aerodrome operations and maintenance?	
2.9	Clearance taken from environment & Forests, (State) Security agency, Local authorities & Urban Land development Board/Authority?	
3.0	Assessment and/or Conduct of Aeronautical Studies?	
3.1	Notification of identified deficiencies including Categorization of Seriousness and dead line for Correction?	

Appendix - 05

Suggested Agenda Items for an Opening/Entry Meeting

- 1) Welcome
- 2) Introduction of the auditors and interviewees from the audited organization
- 3) Presentation of the audit team members (if not already done)
- 4) Presentation of the audit approach
- 5) Presentation of the audit context
- 6) If appropriate, mention the previous audit
- 7) Review of objectives and the field of application of the audit
- 8) Brief presentation of the audit methodology while insisting on its standardized nature
- 9) Presentation of the audit sequence: discussions, visits (ask if it is possible to take photos), consulting of documents
- 10) Auditor's code of ethics: non-argumentative, non-intrusive, non-accusatory, confidentiality assured
- 11) Presentation of the advantages of the audit (progress and improvements in the aerodrome programme)
- 12) Presentation of the audit plan with possible last-minute changes
- 13) Confirmation of the date and time of all discussions and of the final meeting
- 14) Clarification of any unclear aspects of the audit plan
- 15) Resolution of material aspects: Confirmation of the availability of the necessary equipment and installations
- 16) Clarification of any unclear aspect of the aerodrome certificate holders aerodrome programmes or pre-audit questionnaire
- 17) Answer the questions of the representatives from the different services responsible for aerodrome operations
- 18) Record of attendees
- 19) Audit termination
- 20) Conclusion

AUDIT CHECKLISTS FOR AERODROME CERTIFICATION

A system safety audit is the usual means for a regulatory organization to assess initial and on-going compliance of a service provider with the minimum mandatory obligations that are associated with activity in the aviation industry. These checklists pertain to aerodrome operations, and encompass the full gamut of activity required by **CAA** for initial audit of a complex airport to determine if a certificate can be issued. The checklists may need to be reviewed at subsequent surveillance audits or inspections depending on the scope and depth of regulatory oversight activity that is planned to occur.

It is important to consider [at least] the following when verifying a process:

The adequacy of the available Infrastructure and how it supports the process.

How does the Auditee monitor the performance of the process and make improvements?

Has the organization assigned a responsible and competent person to ensure the process remains adequate and current?

Is there a competent person who has the appropriate authority to change the process?

Are the people involved adequately trained?

When identifying a non-compliance with the regulations, look beyond the immediate occurrence and ask:

Why? Who?

What led to this? What's the history?

What are the broader factors involved, and how do they inter-relate in the chain of events leading to the conditions which allowed the non-compliance to exist?

For a certification audit the required elements are to be tested for conformity with mandatory obligation imposed by **(NATIONAL RULES)** and the safety specifications of the Manual of Aerodrome Standards (State), Volume I (and ICAO Annex 14 Volume I if appropriate).

Within the checklists, status of individual items may be 'compliant' (C), 'non-compliant' (NC), 'not applicable' (NA) or observation (O).

CONTENTS OF AERODROME CERTIFICATION AUDIT CHECKLIST

1. Aerodrome manual general requirements, including authorization by the Chief Executive Officer (or equivalent)
2. Information about the aerodrome site
3. Information to be notified to AIS
4. Aerodrome operating procedures
 - 4.1 Aerodrome reporting
 - 4.2 Access to movement area
 - 4.3 Aerodrome Emergency Plan
 - 4.4 Aerodrome Rescue and Fire Fighting Service

- 4.5 Inspections of movement area and obstacle limitation areas
 - 4.6 Visual aids and electrical systems
 - 4.7 Maintenance of movement area
 - 4.8 Aerodrome work safety
 - 4.9 Apron operation management
 - 4.10 Apron safety management
 - 4.11 Airside vehicle control
 - 4.12 Wildlife hazard management
 - 4.13 Obstacle control
 - 4.14 Disabled Aircraft Removal Strategy Plan
 - 4.15 Handling of hazardous materials
 - 4.16 Low visibility operations
 - 4.17 Protection of Radar and Navigational Aid Sites
5. Aerodrome administration
- a. Aerodrome administration
 - b. Aerodrome safety management system

Note: *The details listed represent the minimum content of an aerodrome manual. Each aerodrome operator must tailor the content of their manual to reflect the complexity and operating environment of the aerodrome.*

Audit Checklist - Aerodrome Manual

Part 1. General Information

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "NA"	Comments
Does the aerodrome operator have a complete and current copy kept at the aerodrome? Is it in a printed form? Has the operator provided the DGCA, CAA with a complete and current copy? Is the operator's copy available to authorized persons during normal business hours?			
Does the manual consist of more than 1 document? If yes, is there adequate cross-reference between documents? Are other copies kept in electronic form?			
Has the DGCA, CAA approved the manual?			
Are omitted sections covered by reason for non-applicability?			
Are details of exemptions included?			
Are details of conditions included?			
Does the manual include a procedure to ensure that it will be amended whenever necessary to maintain its accuracy? Does the manual include a procedure to ensure that it will comply with any directions that the DGCA, CAA may give to amend the manual?			
Does the manual include a procedure to ensure that the operator will advise the DGCA, CAA of any amendments?			
Has a person been appointed to be controller of the manual? Does the manual have details of the persons who hold copies of it? And procedures for ensuring that updates of the manual are distributed to all holders?			

Inspector Handbook for Aerodromes & Ground Aids (AGA)

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Can a reader tell when changes have been made to the manual?			
Can a reader tell if the manual is up to date?			
Does the manual have a process to ensure that the procedures it contains remains relevant, current and accurate			
And procedures for ensuring that any deviations from the manual that are made to ensure the safety of aircraft are reported to the DGCA, CAA .			

Audit Checklist - Aerodrome Manual

Part 2. Aerodrome Site Details

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Does the aerodrome manual contain relevant data in Part 2 for the aerodrome site?			
Does Part 2 of the manual contain: a plan of the aerodrome showing main facilities including location of each wind direction indicator? a plan showing aerodrome boundaries? a plan showing distance of the aerodrome from the nearest city, town or populous area and position of the aerodrome? the location of any aerodrome facilities and equipment outside the aerodrome boundary?			
Does Part 2 of the manual contain either: details of the land certificate(s) for the aerodrome site or details of the control over (eg, lease agreements) the property on which the aerodrome is located?			

Audit Checklist - Aerodrome Manual

Part 3. Particular of the Aerodrome Information required to be notified to AIS

Does the manual contain the following information?

Can the aerodrome operator verify it?

Does information in the manual correlate with published AIP data?

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "NA"	Comments
Sub-Part 3.1 General information:			
The name of the aerodrome;			
Aerodrome Reference Code			
The town or city where the aerodrome is located;			
The geographic coordinates of the aerodrome reference point (WGS 84);			
The elevation of the aerodrome, and geoid undulation;			
The elevation of: each threshold and the geoid undulation; the elevation of the runway end and any significant high or low points along the runway; the highest elevation of the touchdown zone for a precision approach runway;			
The aerodrome reference temperature;			
Details of the aerodrome beacon;			
The name of the aerodrome operator and the address and telephone numbers at which the aerodrome operator may be contacted at all times;			
Local information: The hours of operation, if applicable; The available ground services;			

Inspector Handbook for Aerodromes & Ground Aids (AGA)

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Any special procedures; Any local precautions.			
Geographical co-ordinates and top elevation for each significant obstacle in the approach and take-off climb areas, in the circling area and in the vicinity of the aerodrome;			
Contact information for the aerodrome co-ordinator of the disabled aircraft recovery plan, and (State)ment of capability to remove the largest disabled aircraft using on-airport equipment.			
Sub-part 3.2 Aerodrome dimensions and related information:			
The true bearing of each runway and the runway designation number;			
Magnetic variation in degrees, date of information and annual change;			
The length, width and slopes of each runway;			
Location of displaced threshold if any;			
Geographical co-ordinates of each threshold;			
Runway surface type			
Type of runway (instrument, non-instrument)			
Obstacle free zone available (applicable instrument runways)			
Dimensions and surface type for RESA and stopways;			
The length, width and surface type of the graded and overall runway strip;			
Dimensions, ground profile and surface type of clearways when provided;			

Inspector Handbook for Aerodromes & Ground Aids (AGA)

Activity and objective	Regulatory /standards reference	Status “C”, “NC”, “O”, “N/A”	Comments
The pavement surface type and its strength rating in PCN system;			
The runway declared distances for each runway;			
The intersection take-off distances for each runway if available;			
Length, width, surface type and numbering system of taxiways			
Taxiway pavement strength in PCN system			
Location and designation of any standard taxi routes;			
Geographical co-ordinates of any appropriate taxiway centre line points			
Apron surface type, pavement strength and aircraft stand numbers;			
Geographical co-ordinates for aircraft stands;			
The Aerodrome Obstacle Chart Type A details as applicable			
Aerodrome RFFS Category;			
Location and frequency for any VOR checkpoints;			
Locations and elevations for any established pre-flight altimeter check positions;			
Sub-part 3.3 Information about visual aid systems:			
The type of runway lighting, if any, for each runway			
The type of approach lighting;			
The visual approach slope indicator system for each runway, if any;			
Is portable lighting available and listed?			
The type of lighting for taxiways;			
The type of lighting for aprons;			
Other visual control and guidance aids for runways, taxiways and aprons (RWY holding position, intermediate holding position and stop bars);			
Details of the system of marking runway, taxiway and apron elements;			
Availability of standby power, switching arrangements and changeover times;			
A description of the visual docking guidance systems at any aprons used by aircraft conducting international operations, and the aircraft parking positions where the systems are installed;			

Note: See MAS (State) for specifications about data elements and required degrees of accuracy

Audit Checklist - Aerodrome Manual, Part 4 - Aerodrome Operating Procedures and Safety Measures

Sub-part 4.1 Aerodrome Reporting Procedure

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
<i>Aerodrome Manual</i>			
Does the manual contain details of the arrangements for reporting any changes that may affect aircraft operations to AIS and local air traffic services?			
And for recording the reporting of changes during and outside the normal hours of aerodrome operation?			
Does it include the contact details for the persons and organizations to which changes are to be reported?			
And the name of the reporting officer responsible for reporting the changes and the telephone numbers for contacting him or her during and after working hours?			
And the process for ensuring that the reporting officer is trained in accordance with the Manual of standards (MASB)?			
And the arrangements for reporting changes of aerodrome information published in AIP to AIS and CAA ?			
And for ensuring that the notification to AIS is in writing?			
And the procedures for issuing NOTAMs?			
Including NOTAMs for temporary or permanent changes in the physical condition of the aerodrome that may affect the safety of aircraft?			
Does the manual have a process for review of data published in AIP and NOTAM?			
And any other occurrence relating to the operation or maintenance of the aerodrome that may affect the safety of aircraft?			
And the arrangements for keeping records of reports made?			

Activity and objective	Regulatory / Standards reference	Status "C", "NC", "O", "N/A"	Comments
Record Keeping			
List of documents checked (e.g. NOTAM etc.).			
Is the operator maintaining records in accordance with the aerodrome manual?			
Are records of staff training available?			
Facilities			
Are adequate and suitable, Competent, experienced staff and resources available?			
Has the reporting officer been trained in accordance with the (NATIONAL RULES)			
Procedures			
Are reports made to AIS in accordance with the manual or changes in the physical condition of the aerodrome? And for changes to published information? And for obstacles?			
Are reports made by the persons identified in the manual?			
Are their contact details in accordance with the manual?			
Are staff members aware of safety requirements related to reporting?			
Are conditions or exemptions complied with?			
Product Check			
Does the field condition confirm any existing or recent NOTAMs?			
Feedback			
Are reporting related incidents noted, reported and followed up?			

Audit Checklist - Aerodrome Manual, Part 4.2 Aerodrome Operating Procedures and Safety Measures (AGA)
Sub-Part 4.2 Access to Aerodrome Movement Area

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "NA"	Comments
Aerodrome Manual			
Does the manual contain particulars of information about preventing the unauthorized entry of persons, vehicles, equipment, plant or animals, or other things that may endanger aircraft safety, into the movement area?			
Does it include details of the arrangements for controlling airside access?			
And the names and roles of the persons who are responsible for controlling access to the movement area and the telephone numbers for contacting them during and after working hours?			
Record Keeping			
List of documents checked (e.g. records of permanent and casual pass issued by the authorized entity/or Airport, AP Security Programme, SoP for access control to airport restricted areas etc.)			
Is the operator maintaining records in accordance with the aerodrome manual?			
Facilities			
Are adequate and suitable staff and resources available?			
Are physical control measures in place in accordance with the aerodrome manual?			
Procedures			
Are the arrangements for controlling airside access in accordance with the manual?			
Are the appropriate persons carrying out this function in accordance with the manual?			
Is the staff aware of safety requirements related to unauthorised entry?			
Are any conditions or exemptions complied with?			
Product Check			
Was airside control observed to be effective and in accordance with the manual?			
Feedback			
Are unauthorized entry incidents noted, reported and followed up?			

Audit Checklist - Aerodrome Manual Part 4 Aerodrome Operating Procedures and Safety Measures
 Sub-Part 4.3 Aerodrome Emergency Plan

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "NA"	Comments
Aerodrome Manual			
Does the manual contain details of the agencies (committee) involved in case of the aerodrome emergency on and off the airport and contact details for each member of the agencies?			
Does the committee include a representative from all emergency services that would be likely to be asked to assist in an emergency?			
Does it contain a description of the role of each emergency service organization involved in the plan?			
And details of the activation, control and coordination of the emergency service organizations during an emergency?			
And the aerodrome's emergency facilities and arrangements to keep them in readiness?			
And the operational response to an emergency including any arrangements for aerodrome access and assembly areas?			
And the response to a local stand-by call out?			
And the response to a full emergency call out?			
And the arrangements to return the aerodrome to operational status after an emergency?			
What are the arrangements for a periodic review (at least once per year) in consultation with the organization referred to in the plan?			
And arrangements for reviewing actual emergencies or exercises as			

Inspector Handbook for Aerodromes & Ground Aids (AGA)

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Soon as practicable to assess the plan's adequacy and take corrective action?			
And keeping records of each review for at least 1 year ?			
Does the manual include the arrangements for testing the aerodrome emergency plan with a full-scale exercise at least every 2 years ?			
And arrangements to ensure that the exercise tests the coordination of the emergency services and the adequacy of the procedures and facilities provided for in the plan?			
Does the manual include arrangements to defer an exercise if an actual emergency occurs?			
Does the manual observe human factor principles?			
Does the manual include arrangements for partial exercises in the intervening year between full-scale exercises?			
Record Keeping			
List of documents checked.			
Is the operator maintaining records in accordance with the aerodrome manual?			
Facilities			
Are adequate and suitable staff and resources available?			
Procedures			
Are the current membership and contact arrangements for the Aerodrome Emergency Committee in accordance with the manual?			
Is the frequency of meetings in accordance with the manual?			
Are all of the necessary participating/responding agencies adequately represented?			
Is the AEP reviewed in accordance with the manual?			
Is the AEP tested in accordance with the manual?			
Are copies of the AEP distributed in accordance with the manual?			
Is the staff aware of safety requirements for emergency planning?			

Inspector Handbook for Aerodromes & Ground Aids (AGA)

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "NA"	Comments
Are any conditions or exemptions complied with?			
Product Check			
The DGCA, CAA may not attend AEP exercises. If it is considered necessary to attend, the check should be done as an observation exercise. In other cases, the following product check can be conducted from records kept by the operator.			
Was the exercise planned in accordance with the manual?			
Date of last exercise?			
Did the appropriate agencies attend?			
Was an appropriate objective tested?			
Was a debriefing held in accordance with the manual?			
Were appropriate amendments made to the AEP?			
Feedback			
Are aerodrome emergency related incidents noted, reported and followed up			

Audit Checklist - Aerodrome Manual, Part 4 - Aerodrome Operating Procedures and Safety Measures

Sub-Part 4.4 Aerodrome Rescue and Fire Fighting Service (RFFS)

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Aerodrome Manual			
Does the manual include procedures for meeting the needs of a RFFS, including the information on facilities, equipment, personnel and vehicles?			
Is the category determination process (State)d clearly? Is the category determined in accordance with the standards for international or domestic requirements?			
Is provision made for difficult terrain environments?			
Is provision made for category coverage during periods of reduced frequency of operations?			
Does the manual provide information about the quantities of water available for foam production and complementary agents?			
And is the quantity of foam provided on vehicles in proportion to the quantity of water provided?			
Does the manual provide information about operational objectives?			
Does the manual give information about training requirements: <ul style="list-style-type: none"> - Initial firefighter requirements? - Continuing training? - Live fire drills? - Pressure fed fuel fires? 			
Does the AEP require & ensure compliance of Human Factor principles and the training have human performance and team co-ordination components?			
Does the manual provide for provision of suitable protective clothing and respiratory equipment for staff?			

Activity and objective Inspector Handbook for Aerodromes & Ground Aids (AGA)	Regulatory standards reference	Status "C", "NC", "O", "NA"	Comments
Record Keeping			
List of documents checked (SoP, Drill book, CAA training programme and training records.)			
Is the operator maintaining records in accordance with the aerodrome manual and/or Fire Service Manual SOPs?			
Facilities			
Are adequate and suitable staff and resources available?			
Is the Fire Station adequate to house all vehicles and equipment?			
Is access from the Fire Station(s) to the movement area clear and direct?			
Is static water storage provided at strategic locations?			
Are adequate access roads from runway ends to airport perimeter/ security fences provided (crash roads)?			
Are facilities for difficult terrain considerations provided?			
Is the communication system suitable and effective?			-
Are the fire alarm systems suitable and capable?			
Is the Number of RFFS vehicles adequate?			
Procedures			
Are the current procedures specified in the manual able to be verified?			
Are procedures for training adequate?			
Procedures for testing equipment provided?			
Is the actual response time able to be verified from actual tests?			
Is the communication system tested in accordance with the manual?			
Are alarm systems tested for serviceability?			
Are maintenance procedures appropriate for vehicles, equipment and building facilities?			
Product Check			
Do field inspections of RFFS facilities and records confirm on-going compliance with existing procedures?			
Feedback			
Are RFFS-related hazards, incidents and accidents noted, reported and followed up			

Audit Checklist - Aerodrome Manual, Part 4 - Aerodrome Operating Procedures and Safety Measures

Sub- Part 4.5 Inspections of movement area and obstacle limitation surfaces

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "NA"	Comments
Aerodrome Manual			
Does the manual include procedures for safety inspections of the movement area and obstacle limitation surfaces?			
Does the manual include particulars of the arrangements for carrying out serviceability inspections during and after working hours?			
Does it include details of the items that need to be inspected?			
Does it include arrangements for measurement of runway friction?			
Does it include arrangements for measurement of water depth?			
Does it include details of the intervals at which the inspections are carried out?			
And the time of the inspections?			
And the arrangements for keeping an inspection logbook?			
And the place where the log book is kept?			
And details of the serviceability inspection checklist?			
And a process for ensuring that the intervals, times and content of inspections are in accordance with (NATIONAL RULES) and MAS ,			
And a process for ensuring that the inspections are carried out by suitably trained staff?			
And the arrangements for communicating with air traffic control during the inspections (if appropriate)?			
And the arrangements for reporting the results of the inspections?			
And the arrangements for taking prompt follow-up action to ensure correction of unsafe conditions/ defects?			
And the arrangement for ensuring that if any facility is considered to need a technical inspection that that is required following a serviceability inspection is carried out?			
And the names and roles of the persons who are responsible for carrying out the inspections and the telephone numbers for contacting them during and after working hours?			
Record Keeping			
List of documents checked.			

Is the operator maintaining records in accordance with the aerodrome manual?			
Inspector Handbook for Aerodromes & Ground Aids (AGA)			
And keep in the records for at least 3 years ?			
Does the operator have records of the qualifications, experience training of persons conducting technical inspections?			
Facilities			
Are adequate and suitable staff and resources available?			
Are inspections carried out by the persons identified in the manual?			
Are those persons appropriately trained accordingly?			
Does the operator have records of the qualifications and experience of persons conducting technical inspections?			
Procedures			
Are serviceability inspections carried out during and after working hours in accordance with the manual?			
Is the time and frequency of inspections in accordance with the manual?			
Is the logbook kept in accordance with the manual? (Check for location and format).			
Is the checklist used in accordance with the manual?			
Is the method of communicating with ATC during inspections in accordance with the manual?			
When a serviceability inspection indicated the need for a technical inspection, was it carried out as soon as practicable?			
Do the technical inspections include all items in accordance with the manual?			
Are the times of the inspections in accordance with the manual?			
Is the complete inspection completed in a 12-month period?			
Is each item inspected not more than 12 months after the previous inspection?			
Are inspections conducted by appropriately qualified and experienced persons in accordance with the manual?			
Is prompt follow-up action taken to ensure correction of defects in accordance with the manual?			
Is the staff aware of safety requirements related to inspections?			
Are any conditions or exemptions complied with?			
Product Check			
Does the field condition of a sample of the aerodrome facilities confirm the results of the serviceability inspections?			
Does the operator indicate how he can ensure that the aerodrome facilities will comply with the MAS ?			

Do the physical characteristics of the movement area comply with MAS standards? Inspector Handbook for Aerodromes & Ground Aids (AGA)			
Do the aerodrome markings comply with MAS standards?			
Does the signal area comply with MAS standards?			
Do the wind indicators comply with MAS standards?			
Does the PAPI comply with MAS standards?			
Does the lighting of the movement area comply with MAS standards?			
Feedback			
Are inspection related incidents noted, reported and followed up?			

**Audit Checklist - Aerodrome Manual, Part 4 - Aerodrome Operating Procedures and Safety Measures
Sub-Part 4.6 Visual Aids, Lighting and Electrical Systems**

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Aerodrome Manual			
Does the manual contain procedures to ensure that the lighting system and VASIS are planned, installed and maintained accordingly?			
Are there arrangements for ensuring that certain lighting is not put into service unless it has been flight checked, checked by trained electrical staff and surveyed by an appropriate person?			
Does the manual contain details of the arrangements for carrying out lighting inspections and the checklist for inspections?			
Does this include obstacle lighting?			
Does it include the arrangements for recording the results of inspections?			
Are there arrangements for taking follow-up action to correct deficiencies?			
Are there arrangements for switching lights on and off, including back-up arrangements?			
Are there the arrangements for carrying out routine maintenance and emergency maintenance?			

Are there arrangements for stand-by power if available?			
Are there particulars of any other methods of dealing with partial or total system failure? _____	inspector handbook for Aerodromes & Ground Aids (AGA)		
And the names and roles of the persons who are responsible for the inspection and maintenance of the lighting and the telephone numbers for contacting them during and after working hours?			
Record Keeping			
List of documents checked (e.g. Lighting inspection and maintenance records).			
Is the operator maintaining records in accordance with the aerodrome manual?			
Are technical inspection reports filed and is there evidence of recommendations and findings being acted on?			
Facilities - See Facilities worksheet for serviceability check.			
Are adequate and suitable staff and resources available?			
Are spare parts available as detailed in the aerodrome manual?			
Procedures			
Are lighting inspections carried out in accordance with the manual?			
Are the checklists used in accordance with the manual?			
Are deficiencies followed up in accordance with the manual?			
Is routine and emergency maintenance carried out as per the manual?			
Are arrangements for switching lights on and off in accordance with the manual?			
Are arrangements for standby power in accordance with the manual?			
Are other arrangements for dealing with partial or total system failure in accordance with the manual?			
Is the staff aware of safety requirements related to lighting?			

Inspector Handbook for Aerodromes & Ground Aids (AGA)

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Are conditions or exemptions complied with?			
Have new element of the lighting system been checked as required?			
Product Check			
Does sample of aerodrome lighting checked during audit, comply with MAS ?			
Is a PAPI installed if required?			
Are the necessary elements of a lighting system installed?			
Feedback			
Are lighting related incidents noted, reported and followed up?			

**Audit Checklist - Aerodrome Manual, Part 4 - Aerodrome Operating Procedures and Safety Measures
Sub-Part 4.7 Maintenance of movement area**

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Aerodrome Manual			
Does the manual contain particulars of the procedures for the routine maintenance of movement area surfaces and drainage systems to ensure that their performance will not be degraded?			
Does it include the arrangements for the maintenance of paved and/or unpaved runways and associated, shoulders and safety areas?			
Does it include the arrangements for the maintenance of paved and or unpaved taxiways and associated shoulders?			
Does it include the arrangements for the maintenance of associated runway and taxiway strips?			
Does the manual provide particulars about regular runway friction testing?			
Record Keeping			
List of documents checked.			
Is the operator maintaining records in accordance with the aerodrome manual?			
Facilities			
Are adequate and suitable staff and resources available?			

Inspector Handbook for Aerodromes & Ground Aids (AGA)

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Has the operator provided sufficient and adequate equipment?			
Procedures			
Are maintenance activities on or near the movement area controlled in accordance with the manual?			
Is ground maintenance carried out in accordance with schedules or routines documented in the manual?			
Can runway friction test results be related to serviceability and safety limits?			
Is the staff aware of safety requirements related to movement areas?			
Are conditions or exemptions complied with?			
Product Check			
Are procedures conducted in accordance with work safety arrangements?			
Are visual aids and pavement markings in a condition expected from the scheduled maintenance programme?			
Are pavement surfaces free of surface irregularities?			
Does the operator indicate how he can ensure that the aerodrome facilities will comply with the MAS ?			
Feedback			
Are maintenance-related incidents noted, reported and followed up?			

**Audit Checklist - Aerodrome Manual, Part 4 - Aerodrome Operating Procedures and Safety Measures
Sub-Part 4.8 Aerodrome Work Safety**

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Aerodrome Manual			
Does the manual contain particulars of the procedures for planning and safely carrying out aerodrome works (including works that may have to be carried out at short notice)?			
Including ensuring that the works do not create a hazard to aircraft or confusion to pilots?			
Does it include details of the preparation of a method-of-working plan?			
And identifying areas of the aerodrome affected during each stage of the work?			
And steps taken to ensure safety standards are met?			
And the process for ensuring that any works safety officers have been trained accordingly?			
Does it include the distribution list for the method-of-working plan?			
And the arrangements for telling aircraft operators and other aerodrome users of the method-of-working plan and the telephone numbers for contacting those operators and users during and after working hours?			
And the process for complying with MAS requirements relating to the period of notice for works?			
And the arrangements for communicating with air traffic control and aircraft during the carrying out of the works?			
And the arrangements for carrying out time-limited works?			
And the names, telephone numbers and roles of the persons and organisations responsible for planning and carrying out the works, and the arrangements for contacting those persons and organizations at all times?			
Record Keeping			
List of documents checked.			

Is the operator maintaining records in accordance with the aerodrome manual?	Inspector Handbook for Aerodromes & Ground Aids (AGA)		
Facilities			
Are adequate and suitable staff and resources available?			
Are suitable visual aids available for marking works sites and unserviceable areas?			
Procedures			
Are works planned and documented in accordance with the manual?			
Is consultation for works planning and production in accordance with the manual?			
Is notice of works given in accordance with the manual?			
Is the staff aware of safety requirements during works?			
Are procedures available for setting out visual aids for works?			
Are any conditions or exemptions complied with?			
Product Check			
Is the interface with ATC and/or air traffic in accordance with the manual?			
Is the content and format of MOWPs correct?			
Are works being conducted in accordance with the MOWP?			
Are works within runway strip carried out in accordance with the manual?			
Are other works including time-limited works carried out in accordance with			

Inspector Handbook for Aerodromes & Ground Aids (AGA)

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
the manual?			
Are time limited works done under supervision of a Works Safety Officer?			
Feedback			
Are works related incidents noted, reported and followed up?			

**Audit Checklist - Aerodrome Manual, Part 4 - Aerodrome Operating Procedures and Safety Measures
Sub-Part 4.9 Apron Management**

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "NA"	Comments
Aerodrome Manual			
Does the manual contain particulars of the procedures for aircraft parking control, if established?			
Does it include the arrangements between air traffic control and apron management?			
And the arrangements for allocating aircraft parking positions?			
And the arrangements for initiating engine start and ensuring clearances for aircraft pushback?			
And an inventory and description of the activation and deactivation of any visual docking guidance system used at the aerodrome?			
And details of the marshalling service?			
And the leader van service or follow-me service?			
And the names, telephone numbers and roles of the persons responsible for planning and implementing aircraft parking control?			
Record Keeping			
List of documents checked.			
Is the operator maintaining records in accordance with the aerodrome manual?			
Facilities			
Are suitable staff available to control aircraft parking?			
Are suitable staff and facilities available to design parking layouts and marking?			
Are staff available to provide follow me vehicle service if required?			
Procedures			
Is the staff aware of safety requirements relating to clearances and blast?			

Inspector Handbook for Aerodromes & Ground Aids (AGA)

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Are the organizational responsibilities and control arrangements in accordance with the manual?			
Are parking positions allocated in accordance with the manual?			
Are engine starts and push backs initiated in accordance with the manual?			
Are any conditions or exemptions complied with?			
Product Check			
Are the visual docking systems in accordance with the manual?			
Are the aircraft parking markers and markings in accordance with the manual?			
Feedback			
Are aircraft parking related incidents noted, reported and followed up?			

**Audit Checklist - Aerodrome Manual, Part 4 - Aerodrome Operating Procedures and Safety Measures
Sub-Part 4.10 Apron safety management**

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Aerodrome Manual			
Does the manual contain particulars of the procedures for management of safe apron operations?			
Does it include the arrangements protection from jet and propeller blast? Including arrangements for parking position design? And provision of blast protection structures?			
Does the manual contain procedures for enforcing safety precautions during aircraft re-fuelling?			
Does the manual contain procedures for ensuring the apron is swept to remove debris?			
Does the manual contain procedures for ensuring the apron is clean of hazardous contamination?			
Does the manual contain procedures in regard to reporting incidents and accidents on an apron?			
And the names, telephone numbers and roles of the persons responsible for planning and implementing aircraft parking control?			
Record Keeping			
List of documents checked.			
Is the operator maintaining records in accordance with the aerodrome manual?			
Facilities			
Are suitable staff available to control monitor and/or supervise apron safety activities?			
Are suitable staff and facilities available to design parking layouts, marking and blast protection facilities?			

Inspector Handbook for Aerodromes & Ground Aids (AGA)

Activity and objective	Regulatory /standards reference	Status "C", "NC". "O", "N/A"	Comments
Procedures			
Is the staff aware of safety requirements relating to clearances and blast?			
Are the organizational responsibilities and control arrangements in accordance with the manual?			
Are cleaning and sweeping actions taken in accordance with the manual?			
Are refueling activities initiated and conducted in accordance with the manual?			
Are any conditions or exemptions complied with?			
Product Check			
Are the visual docking systems in accordance with the manual?			
Are the aircraft and tug operator guidance markings in accordance with the manual?			
Are apron surfaces in a condition consistent with specified procedures?			
Feedback			
Are apron safety incidents noted, reported and followed up?			

Audit Checklist - Aerodrome Manual, Part 4 - Aerodrome Operating Procedures and Safety Measures
Sub-part 4.11 Airside Vehicle Control

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Aerodrome Manual			
Have procedures been established at the aerodrome for the control of surface vehicles operating on or near the movement area?			
If established, does the manual include details of the applicable traffic rules including speed limits?			
And the means of enforcement of the rules?			
And the method of instructing and testing drivers in relation to the applicable traffic rules?			
And the names, telephone numbers and roles of the persons who are responsible for airside vehicle control?			
Record Keeping			
List of documents checked			
Is the operator maintaining records in accordance with the aerodrome manual?			
Facilities			
Are adequate and suitable staff and resources available to test drivers, issue permits and monitor driving?			
Are copies of driving rules available and in accordance with the manual?			
Procedures			
Are applications in accordance with the manual?			
Is driver testing in accordance with the manual?			
Is monitoring carried out in accordance with the manual?			
Are sanctions imposed in accordance with the manual?			
Is the staff aware of safety requirements related to airside vehicles?			
Are any conditions or exemptions complied with?			

Inspector Handbook for Aerodromes & Ground Aids (AGA)

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "NA"	Comments
Product Check			
Are permits/ licenses carried in accordance with the manual?			
Are driving rules being observed?			
Are vehicles marked/ lit and approvals attached in accordance with the manual?			
Are correct radio procedures being used?			
Feedback			
Are airside vehicle incidents noted, reported and followed up?			

**Audit Checklist - Aerodrome Manual, Part 4 - Aerodrome Operating Procedures and Safety Measures
Sub-Part 4.12 Wildlife Hazard Management**

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Aerodrome Manual			
Does the manual contain particulars of the procedures to deal with danger to aircraft operations caused by the presence of birds or animals on or near the aerodrome?			
Does it include details of the arrangements for assessing any bird or animal hazard?			
And the arrangements for the removal of any bird or animal hazard?			
And the names and roles of the persons responsible for dealing with bird or animal hazards, and the telephone numbers for contacting them during and after working hours?			
Record Keeping			
List of documents checked.			
Is the operator maintaining records in accordance with the aerodrome manual? (Check records of bird count, bird strikes and inspections etc.)			
Facilities			
Are adequate and suitable staff and resources available?			
Is equipment available in accordance with the manual?			
Are licenses and permits available in accordance with the manual?			

Inspector Handbook for Aerodromes & Ground Aids (AGA)

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
<i>Procedures</i>			
Is monitoring carried out in accordance with the manual?			
Is harassment carried out in accordance with the manual?			
Is environmental management undertaken in accordance with the manual?			
Are all bird-strikes reported to CAA HQ (ATS/AERO Dept.) ?			
Is the staff aware of safety requirements related to bird and animals hazards?			
Are any conditions or exemptions complied with?			
<i>Product Check</i>			
Do the field situation correspond with logbook entries?			
Is environmental management in accordance with the manual?			
<i>Feedback</i>			
Are bird and animal hazard related incidents noted, reported and followed up?			

**Audit Checklist - Aerodrome Manual, Part 4 - Aerodrome Operating Procedures and Safety Measures
Sub-Part 4.13 Obstacle Control**

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "NA"	Comments
Aerodrome Manual			
Does the manual contain particulars of the procedures for establishing OLS for the aerodrome in accordance with the MAS ?			
And for taking all reasonable measures to monitor the OLS?			
And for detecting obstacles as quickly as possible?			
Including objects, buildings, structures?			
And for monitoring the Type A chart take-off surfaces for obstacles?			
And the procedures for monitoring building developments (in relation to the height of buildings and other structures) within the horizontal limits of the obstacle limitation surfaces?			
And if the aerodrome has instrument approach procedures, the procedures for monitoring for new objects or building developments in any other areas nominated by the instrument procedure designers?			
And the arrangements with CAA , local planning authorities and other relevant organizations in relation to the approval of building developments that may infringe the obstacle limitation surfaces?			
Including the process for asking CAA to assess proposed obstacles? (If applicable to the aerodrome)			
And for reporting obstacles by NOTAM including amended declared distances?			
And the names, telephone numbers and roles of the persons responsible for planning and implementing obstacle control?			
Record Keeping			
List of documents checked.			

Inspector Handbook for Aerodromes & Ground Aids (AGA)

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Is the operator maintaining records in accordance with the aerodrome manual? (Check OLS survey data, Inspection logbooks, Obstacle control reporting (NOTAM) etc.)			
Facilities			
Are adequate and suitable staff and resources available?			
Are OLS surveys conducted by an appropriately trained or qualified person?			
Procedures			
Is the OLS monitored in accordance with the manual?			
Are type A surfaces monitored in accordance with the manual?			
Are NPA areas monitored in accordance with the manual?			
Is monitoring conducted for temporary and permanent structures?			
And for gaseous effluxes?			
Are the procedures for liaising with other authorities being followed?			
Is the staff aware of safety requirements related to obstacles?			
Are any conditions or exemptions complied with?			
Product Check			
Is OLS plan prepared in accordance with the MAS ?			
Do survey records agree with published information?			
Does field condition appear to reflect survey data and published information?			
Do obstacle related NOTAMs reflect field condition?			
Feedback			
Are obstacle control incidents noted, reported and followed up?			

Audit Checklist - Aerodrome Manual, Part 4 - Aerodrome Operating Procedures and Safety Measures
Sub-Part 4.14 Removal of Disabled Aircraft

Activity and objective	Regulatory /standards reference	Status "C", "NC". "O", "N/A"	Comments
Aerodrome Manual			
Does the manual contain particulars of the procedures for removing an aircraft that is disabled on or near the movement area?			
Does it include details of the roles of the aerodrome operator and the holder of the aircraft's certificate of registration?			
And the arrangements for telling the holder of the certificate of registration?			
And the arrangements for liaising with air traffic control and the Air Safety Department?			
And the arrangements for obtaining equipment and persons to remove the aircraft?			
And the names and roles of the persons who are responsible for arranging for the removal of an aircraft which is disabled, and the telephone numbers for contacting them during and after working hours?			
Record Keeping			
List of documents checked.			
Is the operator maintaining records in accordance with the aerodrome manual?			
Facilities			
Are adequate and suitable staff and resources available?			
Procedures			
Are the arrangements for contacting the certificate of registration in accordance with the manual?			
Are the arrangements for liaising with ATC and Air Safety Department in accordance with the manual?			
Are the arrangements for obtaining equipment and persons to remove the			

Inspector Handbook for Aerodromes & Ground Aids (AGA)

aircraft in accordance with the manual?			
Is the staff aware of safety requirements during aircraft removal?			
Are any conditions or exemptions complied with			
Product Check			
If observed, was the removal in accordance with the manual?			
Feedback			
Are disabled aircraft removal incidents noted, reported and followed up?			

**Audit Checklist - Aerodrome Manual, Part 4 - Aerodrome Operating Procedures and Safety Measures
Sub-Part 4.15 Handling of Hazardous Materials**

***Note 1** Hazardous materials include explosives, flammable liquids and solids, corrosive liquids, compressed gases, and magnetised or radioactive materials. Hazardous material do not include materials classed by ICAO/IATA as dangerous goods, where freight forwarders and airlines have responsibilities for safe packaging and handling procedures.*

***Note 2** The arrangements to deal with an accidental spillage of hazardous materials are to be set out in the aerodrome emergency plan.*

Activity and objective	Regulatory /standards reference	Status "C", "NC". "O", "N/A"	Comments
Aerodrome Manual			
Does the manual contain particulars of the procedures for the safe handling of hazardous materials on the aerodrome?			
Does it include the names, telephone numbers and roles of the persons who are to receive and handle hazardous materials?			
And the arrangements for special areas on the aerodrome to be set up for the storage of flammable liquids (including aviation fuels) and any other hazardous materials?			
And the methods to be followed for the delivery, storage, dispensing and handling of these materials?			
Record Keeping			
List of documents checked.			
Is the operator maintaining records in accordance with the aerodrome manual?			
Facilities			
Are adequate and suitable staff and resources available?			

Inspector Handbook for Aerodromes & Ground Aids (AGA)

Activity and objective	Regulatory /standards reference	Status "C", "NC". "O", "N/A"	Comments
Procedures			
Are the persons who receive and handle hazardous materials the same as identified in the manual?			
Are the procedures for delivery, storage, dispensing and handling of these materials in accordance with the manual?			
Is the staff aware of safety requirements related to hazardous materials?			
Are any conditions or exemptions complied with?			
Product Check			
Are the arrangements for special areas for storage of hazardous materials in accordance with the manual?			
Are the materials stored correctly?			
Feedback			
Are hazardous material related incidents noted, reported and followed up?			

Inspector Handbook for Aerodromes & Ground Aids (AGA)

Audit Checklist - Aerodrome Manual, Section 4 Aerodrome Operating Procedures and Safety Measures

Subsection 4.16 Low-visibility Operations

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Aerodrome Manual			
Does the manual contain particulars of the procedures for aerodrome operator's staff involved in ground activities for low visibility operations?			
Does it include the arrangements for: the alerting procedures, airside access restrictions and checks of lighting installations and signs?			
Where RVR is determined manually, does the manual contain information about: Measurement methods, reporting procedures, observation positions and personnel requirements including training to be undertaken?			
And the names and contact details for the persons responsible?			
Record Keeping			
List of documents checked.			
Is the operator maintaining records in accordance with the aerodrome manual?			
Facilities			
Are adequate and suitable staff and equipment available?			
Procedures			
Are visibility measurement arrangements along the runways in accordance with the manual?			
Are procedures for minimizing vehicular traffic carried out in accordance with the manual?			
Are arrangements for runway inspections during low visibility periods in accordance with the manual?			
Is the staff aware of safety requirements related to low visibility operations?			

Inspector Handbook for Aerodromes & Ground Aids (AGA)

Activity and objective	Regulatory /standards reference	Status "C", "NC". "O", "NA"	Comments
Product Check			
Are appropriate signs, gates and warning signs in place for low visibility operations in accordance with the manual?			
Feedback			
Are low visibility operationally related incidents noted, reported and followed up?			

Note: This section of the manual is intended only to be applicable to processes associated with ground operations in low visibility conditions. It is not intended to replicate procedural arrangements in place for Air traffic Services and Meteorological Officers. Normally low visibility operations are considered to be in effect when conditions are such that ILS Category II or III procedures are in operation.

**Audit Checklist - Aerodrome Manual, Part 4 - Aerodrome Operating Procedures and Safety Measures
Sub-Part 4.17 Protection of Radar and Navigational Aid Sites**

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Aerodrome Manual			
Does the manual contain particulars of the procedures for the protection of radar and nav aids located on the aerodrome to ensure that their performance will not be degraded?			
Does it include the arrangements for the control of activities near radar and navigational aid installations?			
And the arrangements, made in consultation with the provider of the navigational aid installation, for the supply and installation of signs warning of hazardous microwave radiation?			
And the arrangements for ground maintenance near these installations?			
Record Keeping			
List of documents checked.			
Is the operator maintaining records in accordance with the aerodrome manual?			
Facilities			
Are adequate and suitable staff and resources available?			
Procedures			
Are activities near radar and nav aids controlled in accordance with the manual?			
Is ground maintenance near these facilities carried out in accordance with the manual?			
Is the staff aware of safety requirements related to radar and nav aids?			
Are any conditions or exemptions complied with?			
Product Check			
Are appropriate signs warning of microwave radiation hazards supplied			

Inspector Handbook for Aerodromes & Ground Aids (AGA)

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
and installed in accordance with the manual?			
Feedback			
Are radar and navaid related incidents noted, reported and followed up?			

Audit Checklist - Aerodrome Manual, Part 4 - Aerodrome Operating Procedures and Safety Measures
Sub-Part 4.18 Runway Incursion Prevention Programme

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Aerodrome Manual			
Does the manual address the Runway Incursion Prevention Programme;?			
Runway Safety Team			
Has the aerodrome operator establish the runway safety team and establish a prevention programme ?			
Is there a procedure for Safety data collection, analysis, training and dissemination ?			
Record Keeping & Reporting			
Is the operator maintaining records of prevention activities and ensuring proper reporting in the prescribe form?			
Facilities			
Are adequate and suitable staff and resources available?			

Part 5. Audit Checklist – Aerodrome Manual, Aerodrome Administration & Safety Management System (SMS).

Activity and objective	Regulatory /standards reference	Status "C", "NC". "O", "N/A"	Comments
Aerodrome Manual			
Has the aerodrome manual been amended whenever necessary to maintain its accuracy?			
Has the operator complied with any directions given by the DGCA, CAA to amend the manual?			
Has the operator told the DGCA, CAA in writing within 30 days of an amendment to the manual?			
Do the persons identified as holding copies of the manual have their copy?			
Are they up to date?			
Management Structure			
Is the management structure in place according to the aerodrome manual?			
Management Responsibility			
Is the person nominated as manual controller carrying out his/her functions?			
Does management have a process in place to ensure that the aerodrome is operated in accordance with the aerodrome manual?			
Record Keeping			
List of documents checked			
Are there records of the nomination of persons who are responsible for the operation and maintenance of the aerodrome?			
Are their contact details correct?			
Facilities			

Inspector Handbook for Aerodromes & Ground Aids (AGA)

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "NA"
Are there facilities available for training and/or keeping personnel up to date on standards and requirements?		
Procedures		
Is the nominated person ensuring that the conditions attached to any exemption are being complied with?		
And that any conditions attached the Certificate are being complied with?		
Product Check		
Do records of staff training indicate an ongoing commitment by management?		
Are staff aware of requirements and responsibilities?		
Feedback		
Are staff encouraged to note and report any problems related to the administration?		
And are such reports followed up?		
SMS		
Acceptability of the SMS?		
Safety Policy properly defined?		
Phase of Implementation?		
Are staffs properly trained & aware of responsibilities?		
Status of Implementation?		

Trigger List - Aerodrome Facilities

1. RUNWAY(S) Markers

and markings Pavement

condition

Profile Surface texture (e.g. grooving)

Roughness

Cleanliness

Vegetation height (if grassed)

Other (cracks, holes, oversized stones, etc.)

Stopways

Shoulders RESA

2. RUNWAY STRIP(S)

RWS obstacles

Surface condition (graded and overall)

Clearway

Markers

Vegetation height

3. TAXIWAYS

Pavement condition

Roughness Cleanliness

Vegetation height (if grassed)

Shoulders

Taxiway strips Markers,
markings Other faults

4. APRONS Pavement

condition Roughness

Cleanliness

Vegetation height (if grassed)

Markings, markers

Aircraft tie-down areas

Aircraft parking and clearances

Other (earthing points, vehicle access, etc.) Other faults

5. LIGHTING

Note: Lighting inspection carried out Day or Night?

Runway(s)

Runway intermediate holding point or guard lights

Portable Apron edge

Apron flood Stand-by

power

Wind indicator(s).

PAPI/VASIS Obstacle

Other (beacon, etc.)

6. GENERAL Wind

indicators Signal area

Un-serviceability markings and markers available

Boundary fence/access control

Crash roads

Chapter 7 Standard Audit Report Format

Report on Aerodrome Certification Audit

Chapter 8 of

Chapter 9 XXX International Airport,

Chapter 10

Chapter 11 (State) Name

{Month/Year}

TABLE OF CONTENTS

Page

EXECUTIVE SUMMARY	nn
1. BACKGROUND.....	nn
1.1 Airport/Organization Information.....	nn
1.2 Audit Team.....	nn
1.3 Audit Scope and Objective.....	nn
1.4 Identity and Administrative Information of Audited Organization.....	nn
1.5 Documents Reviewed.....	nn
1.6 Persons Contacted and Interviewed.....	nn
1.7 Entry/Opening Meeting.....	nn
1.8 Audit Activity.....	nn
1.9 Exit/Closing Meeting.....	nn
1.10 Distribution of Report.....	nn
1.11 Confidential Nature of the Report.....	nn
2. AUDIT FINDINGS AND OBSERVATIONS.....	nn
2.1 Summary of Findings.....	nn
2.2 Audit Findings.....	nn
2.3 Observations.....	nn
3. CORRECTIVE ACTION PLAN.....	nn

4. CONCLUSION.....nn
Inspector Handbook for Aerodromes & Ground Aids (AGA)

EXECUTIVE SUMMARY

A short explanation of the main activities of the audit and the principal findings are described here.

1. Background

- 1.1 Certification of aerodromes used in international civil aviation operations became applicable as of 27 November 2003 under the *standards and recommended practices of Annex 14*. On {Day/Month/Year}, {Name of the Aerodrome Operator} applied to the DGCA, (State) for an aerodrome certificate.
- 1.2 Currently in (State), *Civil Aviation Rules / ((NATIONAL RULES))* provides the legislative basis for aerodrome regulation by the DGCA, CAA including certification of aerodromes in (State).
- 1.3 This audit was undertaken in accordance with the requirements of (NATIONAL RULES). The CAA has established the various processes and procedures required to be undertaken by the different organizations and persons to whom this programme applies, in order to satisfy the needs of ensuring that aviation practices within (State) are maintained in accordance with the requirements of the CAA.
- 1.4 This airport/ organization has been the subject of previous audits on {Day/Month/Year}.

1.1 Airport/Organization Information

Airport Visited: XXX International Airport

Dates of Audit: {Day/Month/Year} to {Day/Month/Year}

1.2 Audit Team

A certification audit team was established for the assessment process. This team consisted of:

- | | |
|--------------------------------------|-------------------------|
| x Mr. AAA, Dy. Director General, CAA | - Team Leader/DGCA ACC; |
| x Mr. BBB, Aerodrome Inspector | - Member; and |
| x Mr. CCC, Aerodrome Inspector | - Member |

1.3 Audit Scope & Objectives

The audit was designed to assess compliance with *the {insert regulations, manual procedures, etc}* of XXX International Airport/organization.

1.4 Identity and Administrative Information of Audited Organization

The management of XXX International Airport, representing the aerodrome operator, was

- 1) Mr. *DDD*, General Manager
- 2) Mr. *EEE*, Aerodrome Operations Office
- 3) Mr. *FFF*, Safety Manager
- 4) Mr. *GGG*, Aerodrome Manual Controller

1.5 Documents Reviewed

1.5.1 The following documents were reviewed prior to, and during, the audit;

x *List the documents* x
List the documents x *List*
the documents

1.5.2 Aerodrome Manual Review

The team commenced an assessment process with a thorough review of the XXX Aerodrome Manual submitted by XXX Airport in the application process. The manual was reviewed in depth during the period {*Day - Day/Month/Year*}.

On *Day/Month/Year* a briefing of findings derived from that review was presented to the XXX Airport Assistant Airport Manager Airside, Mr. CCC at the conference hall of XXX Airport.

1.6 Person Contacted and Interviewed

The following persons were interviewed and questioned during the audit;

x Mr. *HHH* Director, XXX Airport
x Ms. *JJJ* Chief, RFFS, XXX Airport

1.7 Entry/Opening Meeting

1.7.1 An opening meeting was carried out on *Day/Month/Year* at *Location*. This briefing was conducted by the CAA Audit Team Leader, Mr. AAA and attended by the most of the senior officials of XXX Airport.

A list of attendees is attached in **Attachment – A**.

1.7.2 The entry meeting marked the commencement of the audit process. It was held to allow the team to be introduced to the aerodrome operator's staff and to allow the Team Leader to provide a briefing on how the audit was planned to proceed, the allowance for minor variations of the audit program if necessary to suit individuals and to explain the steps to be taken by the team and the aerodrome operator both during and after the audit. A copy of the audit programme delivered at the entry meeting is attached as **Attachment–B**

1.8 Audit Activity

1.8.1 This was conducted over the period {Day - Day/Month/Year} and comprised observations, inspections and measurements of airport facilities, equipment and procedures, as well as interviews with airport staff and contractors. Checklists supported the audit activity and those used are retained on File No. {./././} for future reference. An inspection of the airport at night was conducted on Day/Month/Year.

1.9 Exit/Closing Meeting

1.9.1 A closing meeting was conducted on *Day/Month/Year* at *Location*. This was conducted by the CAA Audit Team Leader, *Mr. AAA* and attended by most of the senior officials of CAA. A list of attendees is attached as **Attachment - A**

1.9.2 The exit meeting marked the end of the audit activity at the airport for the team, and was the opportunity for the team to brief the staff of the operator on the findings generated through the audit process. Some *{insert the numbers}* findings were presented; each being assessed either as non-conformance to *MASB/ICAO standards* or non-adherence to recommended practices or other significant safety guidelines. In addition *{insert the numbers}* observations were made which, in the opinion of the team, would contribute to improving safety, regularity and efficiency of the airport if adopted.

2. Audit Findings and Observations

2.1 Summary of Audit Findings

2.1.1 From this audit there were:

- x *{Number}* instances recorded where facilities, equipment, procedures or other matters did not conform to *National Aerodrome Standards/standards specified in Annex 14 - {Number}* non-conformances;
- x *{Number}* instances recorded where facilities, equipment, procedures or other matters did not adhere to recommended practices or other significant guidelines - *{Number}* non-adherences; and
- x *{Number}* observations made that may be useful in improving airport safety, efficiency or regularity of operations.

2.2 Audit Findings

2.2.1 Describe each finding as a result of an observed condition.

2.2.2 **Finding:** Describe the deficiency and the corrective action required by the audited organization together with reference to mandatory requirement and associated evidence of non-conformity.

2.2.3 **Status:** Assign category of finding.

2.2.4 **Timing:** Agreed deadline for rectification.

2.2.5 It is noted that the provisions of *(NATIONAL RULES) /Applicable Regulation* are applicable. *Applicable Regulation* imposes an obligation to ensure the physical characteristics,

Inspector Handbook for Aerodromes & Ground Aids (AGA)

aeronautical ground lights and surface marking colours, obstruction clearing and marking and visual ground aids and equipment at aerodromes conform to *MAS/Annex 14 standards*, and that recommended practices shall be implemented as far as possible.

- 2.2.6 All of the non-conformances and many on the non-adherences could have been classed as non-compliances under the provision of *(NATIONAL RULES)/Applicable Regulation*, but the team elected to use the less severe finding classifications to demonstrate our intention of encouraging voluntary compliance rather than threatening enforcement.
- 2.2.7 We were also mindful of the need to develop awareness of some requirements and that *XXX Airport* staff may need to acquire technical documentation for reference.
- 2.2.8 The audit findings are attached as **Attachment - C**.
- 2.2.9 Prepare an Audit Finding Form (**Attachment – D**) for each finding and provide with the draft final report for corrective action by audited organization with appropriate timeframe.

2.3 Observation

- 2.3.1 Record comments.

Note:-

When drafting findings following an audit or inspection, the following guidelines should be used;

- Do not wait until the last moment to draft the documents.
- The draft findings must be filled in as the observations are made to maintain a satisfactory level of objectivity.
- The final report of the audit must be drafted as quickly as possible after the audit is completed.
- Every formulation must be clear, concise and comprehensive.
- Sentences should be short.
- The classification of recommendations must be carried out with objectivity and candour.

3. CORRECTIVE ACTION PLAN

- 3.1 List all the corrective action required by the audited organization in the Corrective Action Plan form in order of priority as classified in this Handbook (see **Table 1**).

Table 1 – Audit/Inspection Corrective Action Plan

DOCUMENT REFERENCE	FINDINGS	FINDINGS CATEGORY	CORRECTIVE ACTION (BY AERODROME OPERATOR)	PERSON RESPONSIBLE	AGREED TARGET Date

4. Conclusion [Example only]

- 4.1 As a result of this audit the team is of a view that a recommendation for issue of an Aerodrome Certificate to XXX International Airport is *appropriate/not yet appropriate*.
- 4.2 We recommend that the list of findings be provided to XXX Airport with a request for a corrective action plan to be provided within a reasonable time, preferably 30 days.
- 4.3 On receipt of an action plan from XXX Airport, the audit activity may be reactivated by the DGCA, CAA with a view to making a certification recommendation if all identified concerns have been satisfactorily remedied, and compliance with the mandatory safety requirements has been achieved.
- 4.4 We recommend also that once certification has been achieved, a surveillance plan be adopted which adopts a narrow scope, high frequency program, with visits planned on a *monthly* interval for various specific topics during the first 12 to 18 months after certification to enable the regulator to ensure that standards are maintained by offering frequent assistance and feedback to the operator at both operational and executive levels.

*Director, Flight Safety and Regulations
Aerodrome Certification Committee*

(ACC) Aerodrome Inspector

: Day/Month/Year

Post Audit Feedback Form

XXX International Airport

Item	Activity	Comments/Remarks
1	Post audit opening	
2	Conduct of auditors	
3	Documentation	
4	Comment on findings	
5	Quality of the audit report	
6	General/Others	

Aerodrome Inspector Handbook Distribution List

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Copy No. 5	Member ACC (E/Mech.)		
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Copy No. 7			
Copy No. 8			
Copy No. 9			
Copy No. 10			

Note:

Finalization of this distribution list is subject to the completion of organizational structure and staffing arrangements. The titles of the positions listed above may change, they are provided as examples only.

Attachment - C

**XXX Airport Certification Audit Initial Findings
{For Guidance Purpose only}**

An entry meeting was conducted by the CAA team and concerned staff of **XXX Airport** on *Day/Month/Year* and an exit meeting was conducted on *Day/Month/Year*.

A summary of the initial findings of the audit was provided for the exit meeting, as per the items listed below.

Chapter 12 Aerodrome Manual, Part 1

1. The aerodrome operator is to be responsible for distribution and change management of the Aerodrome Manual. No such system could be identified. This is a non-adherence to *Document 9774 Section 3C.1.1(c)*.
2. Procedures for review, amendment and notification of changes to the Aerodrome Manual need to be provided. This is a non-adherence to *Document 9774 Section 3C.1.2(b), (c) and (d)*
3. A procedure for advising of changes in aeronautical information to AIS is referred to but not provided in the manual or elsewhere. This is a non-adherence to *Document 9774 Section 3C.4.1*.
4. A procedure is required for providing aircraft movement information to *Manager Finance*. This is a non-adherence to *Document 9774 Appendix 1 Part 1 para (e)*.

Chapter 13 Aerodrome Manual, Part 2

5. Map showing aerodrome facilities should include information relating to runway and taxiway designations and runway strip dimensions. This is a non-adherence to *Document 9774 Appendix 1 Part 2 para (a)*.
6. Map showing aerodrome boundary is required. The perimeter is to be clearly defined. A separate map may be provided if necessary. The maps must be clear and legible. Reference to large-scale maps is permissible, but if these are not contained in the manual a reference to their location is to be made in the manual. The lack of an aerodrome boundary map is a non-adherence to *Document 9774 Section 9774 Appendix 1 Part 2 para (b)*.

Chapter 14 Aerodrome Manual, Part 3

7. All data provided in the manual needs to be able to be verified prior to forwarding to AIS for publication in AIP. Accuracy and reference of some items could not be substantiated. This is a non-conformance with the standard specified in *MAS /Annex 14 para. 2.5.1*.
8. Standards for individual data elements are to be as per specifications in *MAS/Annex 14 and Annex 15*.

Inspector Handbook for Aerodromes & Ground Aids (AGA)

9. Data elements about the aerodrome are not to be sourced from AIP but the manual is expected to contain the source information with verification able to be demonstrated on request. This is a non-adherence to *Document 9774 Sec 3C.3 part 3*. (See also *Document 9774 Section C introduction note 1*)
10. Pavement strength ratings should reflect the actual assessment method, and if technically assessed the procedure used and results achieved should be made available. If no actual test assessment has been made the strength rating should indicate assessment method code 'U'. As pavement strength determination (other than design criteria) could not be demonstrated, publication as a "T" rating is a non-conformance with the standard specified in *MAS /Annex 14 para 2.6.6.d*.
11. All co-ordinates shall be provided to WGS-84 reference. As confirmation was not (State)d or evident, this is a non-conformance with the standard specified in *MAS / Annex 14 para 2.1.5*.

Chapter 15 Hazardous materials

12. References in the manual to Dangerous Goods (DG) matters may be removed, as these are not necessary for certification. DG procedures were not audited. (Observation 1)
13. References to handling of explosive cargo may be removed, as the aerodrome operator does not handle explosive cargoes. (Observation 2)
14. Provide reference to agreement between fuel agency and **XXX Airport** regarding supply of aviation fuel on the airport. (Observation 3)
15. The audit team was advised that the fuel agency staff perform maintenance on apron facilities from time to time but no procedure exists, so that the aerodrome operator can be assured that such staff are aware of or are required to abide by airport safety rules when so employed. Procedures requiring adequate arrangements for staff to perform fuel system maintenance on apron equipment should be provided. This is a non-adherence to *Document 9774 Section 3D.3.3*

Chapter 16 Wildlife hazard management

16. Procedures for monitoring wildlife hazards (including checklists) and arrangements for dealing with wildlife control programs are conducted by staff on a 24 hr roster but are not documented. *Director/Airport Manager* indicated that a SOP would be prepared to address the issues. The procedure is required to be incorporated in the aerodrome manual. This is a non-adherence to *Document 9774 Appendix 1 part 4.12*.

Chapter 17 Protection of Radar and Navaid

17. The relevant procedure as (State)d in the aerodrome manual varies from the actual process that is used to manage the conduct of ground maintenance activity in the vicinity of nav aids. Procedure (State)s that nav aids will be withdrawn from service while works are in progress in the vicinity but in fact the work is managed while the nav aids are not operationally required and are selected off, although they remain

fully serviceable. In fact the work in the area is ceased and work staffs are withdrawn before the nav aids are required to be operated.

The procedure in the manual and the actual procedure in practice should agree. In this case the Aerodrome Operator is not operating and maintaining the aerodrome in accordance with the procedures set out in the manual. This is a non adherence to *Document 9774 Section 3D.3.1*.

Chapter 18 Airside vehicle control

18. Procedures are under development as responsibilities have recently been reallocated within CAA and between CAA and Airlines. In discussion, it was noted that the proposed procedure would permit SLA to train and test their own staff, with XXX Airport to issue Driver Licenses on application by Airlines.

Before issuing a drivers license authoring a person to drive on airside, XXX Airport procedures should incorporate a provision to enable XXX Airport to be satisfied that the applicant is competent to do so, either by testing all applicants or by approving and auditing Airlines training. (Observation 4)

19. The team was advised that an enforcement scheme is to be introduced utilizing electronic speed measurement equipment. A procedure for compliance and enforcement of airside traffic rules should also be produced, as the lack of such a procedure is non-adherence to *Document 9774 Appendix 1 4.11(a)*.

Training for airside drivers may incorporate routine or specific refresher training, especially as new facilities such as additional aprons and new aerobridge facilities are introduced. (Observation 5)

Chapter 19 Removal of Disabled Aircraft

20. A new procedure was presented to the team at the audit session. This was reviewed and the following noted.

The procedure should provide clarification of roles and responsibilities for each person undertaking some action in regard to co-ordination of aircraft removal action. Non-adherence to *Document 9774 Appendix 1 Part 4.14 para (a)*.

The tasks and actions required of the disabled aircraft co-ordinator seem not to be specified in the manual procedure. Non-adherence to *Document 9774 Appendix 1 part 4.14*

The capacity of the airport to remove a disabled aircraft should be (State)d in terms of the largest aircraft that can be handled with the equipment and facilities readily available on-site and not with equipment that may be supplied from a remote location. Non-adherence to recommended practice in *MASB / Annex 14 para 9.3.2(a)*

Note: The compliance of staff with the new procedure presented was not audited at this time, and only a brief assessment of the new procedure was performed. Future arrangements will be notified regarding audit of this item.

Chapter 20 Aerodrome Works Safety

21. Work safety officer positions and functions are described in the manual but no person has been appointed specifically as a work safety officer to ensure compliance with aviation safety. Consequently the actual process is different from the aerodrome manual and so the Aerodrome Operator is not operating and maintaining the aerodrome in accordance with the procedures set out in the manual, which constitutes a non-adherence to *Document 9774 Section 3D.3.1*
22. The contractor's Safety Manual specifies that that *ICAO SARPS* will be complied with on-site, but the *SARPs* were found not to comply because:
 - (a) No *ICAO standard* unserviceability markings are in use. Non-conformance with *MASB/ Annex 14 Standards 7.4.1 and 7.4.3*.
 - (b) Unserviceability lights used on project work areas on the apron and taxiway do not comply with *ICAO standards*, flashing lights were noted to be in use as opposed to steady red lights required by *ICAO rules*. This is a non-conformance with *MAS /Annex 14 Standard 7.4.4*.
 - (c) Markers used to indicate an unserviceable portion of apron or taxiway are fabricated from steel drums. Markers used for such purposes on movement areas are required to be frangible. Non-conformance with *MASB/Annex 14 Standard 5.5.1*.

Chapter 21 Aerodrome Reporting

23. The aerodrome manual requires that permanent changes to airport information will be advised directly to the **DGCA CAA** but does not indicate when such changes will be notified or who is to make the notification. This is a non-adherence to *Document 9774 Part 4.1 para (a)*.

Chapter 22 Civil Engineering Maintenance

24. Well organized. It is suggested that the procedure should (State) the requirements for maximum permissible grass height on runway and taxiway strip so that all inspectors are aware of requirements. Safety inspections were done by staff from other sections who were not aware of grass height limits. (Observation 6)
25. Friction testing. Testing is done and records of results are maintained but no procedure as to actual process is provided in the manual. This is non-adherence to *Document 9774 Appendix 1 para 4.5(a)*.

Standby Power

26. Good. Procedures are clear and full documentation of maintenance and test records was available on request.

RFFS

27. Initially the manual contained no reference to training requirements. At the audit visit an amendment was provided to address this matter. The amendment needs to be incorporated formally into the Aerodrome Manual.

Inspector Handbook for Aerodromes & Ground Aids (AGA)

28. Facilities for static water storage on the airside should be incorporated into the aerodrome plan and the grid map. Non-adherence with *Document 9774 Appendix 1 part 2 (a)*.

AEP

29. Procedures to return the aerodrome to operational condition after an emergency should be incorporated into the procedures of the aerodrome manual and/or emergency procedures documentation. Currently the procedures only cover cancellation of the emergency and its notification, and does not address the actions necessary to ensure the aerodrome is properly restored to a safe operational status. Non-adherence with *Document 9774 Appendix 1 part 4.3 (a)* 'after the emergency'

OLS

30. The process of monitoring is unclear. For example, monitoring of a crane on the new catering building could not identify if it would penetrate the relevant OLS or exceed the approved height for the building. Non-adherence to *Document 9774 Appendix 1 part 4.13(a)*
31. A procedure is in the manual for OLS protection against the requirements for current OLS (temporary objects) and future airport development OLS (permanent objects). In fact separate procedures are not used. It is suggested that the section be deleted (Observation 7). In any event the actual procedure used should be document so that the audit can determine if the aerodrome is being operated in accordance with the provisions of the manual. Non-adherence to *Document 9774 Section D para 3D3.1*
32. Procedure for review of ICAO Type A chart is unclear. Existing chart appears to have been last surveyed in 1999 and many of the identified obstacles are trees. No assessment as to any need for resurvey is evident. Non-adherence to *Document 9774 Appendix 1 part 4.13 (a)*

Inspection of Aerodrome Facilities

33. The facilities were assessed by taking into account the requirements of (*NATIONAL RULES*), which provides that the physical characteristics of aerodromes, aeronautical ground light and surface marking colours, obstruction clearing and marking, visual ground aids and aerodrome equipment, shall conform to the standards prescribed in *MAS/ Annex 14 to the Convention*, and the recommended practices therein shall be implemented as far as possible.
34. Runway
- (a) Markings
- Existing runway markings generally use a striated application method, which is normally only adopted in areas subject to low ground temperatures to reduce the effect of frost heave. Striated markings should only be used where necessary as they reduce the conspicuity of the marking. Non-adherence to *Aerodrome Design Manual (ADM) Part 4 Appendix 3 para 24*.

It was noted that some markings have been repainted using solid block display.

Runway side stripe markings across taxiways are normally broken to reduce confusion to pilots, as permitted by *MAS/ Annex 14, 5.2.1.3*. In BIA markings are extended across the taxiways but are significantly faded and are obliterated in some areas. It is recommended that the runway side strip markings be broken at taxiway intersections (Observation 8).

35. Taxiways

“B” No runway holding position marking is provided although the taxiway is used to access the runway. Non-conformance with *MAS/Annex 14 Standard 5.2.10.1*

“C” Aircraft entering the runway using *TWY C* are doing so in violation of mandatory instruction ‘NO ENTRY’ signs. Non-conformance with *MAS/Annex 14 Standards 5.4.1.1 and 5.4.2.7*. Additionally, the characteristic of the ‘NO ENTRY’ sign is as per the physical characteristics specified in *Annex 14*. Non-conformance with *MASB/Annex 14 Standard 5.4.2.15*.

“D” No runway holding position marking is provided although the taxiway may be used to access the runway. Non-conformance with *MASB/Annex 14 Standard 5.2.10.1*

Old light fittings that extend above the pavement have been allowed to remain in the new widened taxiway pavement surface. Non-conformance with *MASB/Annex 14 Standard 3.9.13*.

Parallel Taxiway The transition from newly surfaced taxiway shoulder edge to taxiway strip at several locations between the intersections with *TWY D* and *TWY E* has a drop-off of up to 15 centimetres. This is despite the requirement in *MAS/Annex 14* that the surface of the taxiway strip should be flush with the taxiway shoulder. Non-conformance to *Annex 14, Standard 3.4.10*.

Along the length of the taxiway system the centerline and edge markings have been permitted to become very faded and are very difficult to observe clearly. An effective maintenance programme does not appear to be in place. Non-adherence with *MAS/Annex 14 recommended practice 10.1.1*.

36. Runway Strip

On the *Airforce* side of the runway, the runway strip is obstructed by an apron area 130 metres from runway centreline and a row of military bunkers, fences and barriers up to 101 metres from the runway centerline. Data in the Aerodrome manual and the *{(State)}* AIP indicates that a runway strip width of 300 metres is provided.

37. Taxiway Strip

In areas where work has recently been undertaken to widen the taxiway fillets, numerous concrete blocks were noted on the strip surface adjacent to the taxiway shoulders. To prevent damage to an aircraft running off the taxiway these items should be removed or made flush with the surface. (Observation 9)

38. MAGS "CAT 1" signs at Twy A and E should be mandatory signs incorporating RWY THR identification and TWY location information. The existing incorrect signage is a non-conformance with *MASB/Annex 14 Standards 5.4.2.1, 5.4.2.5 and Fig 5-28.*

Where intersection take-offs are permitted an appropriate sign should be provided. Non-adherence to *MASB/Annex 14 para 5.4.3.5.*

Guidance sign characters for some signs are not in accordance with standard characteristics. Characters which are 300 mm in height have a 30 mm stroke width, as opposed to the 48 mm width required. Non-conformance with *MASB/Annex 14 Appendix 4 para 3.*

Mandatory instruction signs have a minimum character height of 300 mm instead of the 400 mm height required. Non-conformance with *MASB/Annex 14 Appendix 4 para 1.*

38. Aprons

Apron edge markings were noted to be by single yellow lines. The limits for non-load bearing surfaces should be delineated with a taxi side stripe marking which utilizes two yellow lines. The current markings are non-conformances with *MASB/Annex 14 Standard 7.2.1, and non-adherence to MASB/Annex 14 para 7.2.2*

Markings on aprons where increased conspicuity is desired may be enhanced by outlining with black borders. Concrete pavements are generally recognized as providing a poor conspicuity for yellow pavement markings. Markings on new apron "C" do not have black outlines, and aircrew and ground handlers may make complaints. (Observation 9 – the *ADM Part 4 Appendix 3 para 25* provides relevant guidance.)

Apron Management

40. The design of the apron parking positions appears to use a combination of elements, some for use by aircrew (pilot position stop line) and some for use of marshallers (nose wheel position markings). The audit team could not establish the relationship of the parking position elements from observation and so cannot comment on the design.

41. It was noted that various aircraft were marshaled onto parking bays where no nose wheel parking position designator was provided, eg A340, MD 11, B767. The audit team was unable to verify if all relevant clearances were provided in such cases.

42. The aerodrome manual indicates that all day-to-day allocation of parking positions is performed by ATC. No information was available to indicate how these allocations were made or how restrictions were known and applied if necessary. Non-adherence to *Document 9774 Section D para 3D.3.1.*

The aerodrome manual indicates that *{{State}}* Airlines Engineering Unit disseminates information to all interested parties about apron parking allocations but it was apparent that some airline representatives have to obtain information by reference to ATC. This is a non-adherence to *Document 9774 Section D para 3D.3.1*.

Apron Safety

43. Procedures relating to apron sweeping and cleaning and general safety oversight appear to be conducted by staff of the operator, but are not yet documented in the manual, so were not audited. This is a non-adherence to *Document 9774 Section 3D.3.1*.

Auditor Feedback Form

1. General Conduct of the Audit

Audit component	Answers and Comment (If "Yes", provide explanation)	
1. Did the team experience difficulties working together? If so what aspects could be improved? Were there any individual auditors who did not function as part of the team? If so, who were they?	Yes No	
2. Did the audit team leader function effectively as a team leader? Were the functions of the team adequately and fairly distributed?	Yes No	
3. Was all the documentation used by the team the current version? Were there adequate copies of all documents, manuals and guidance material made available?	Yes No	
d) Were there any major impediments to the successful conclusion of the audit? If 'yes', were they resolved or not? If answer to Q4 is yes, describe how impediments were resolved.	Yes No	

2. Preparation for the Audit

Issues assessed by Team Participants	Answers and Comment (If "No", provide explanation)	
1. Did you experience any difficulties with travel arrangements, such as air tickets, hotels, allowances etc?	Yes No	
2. Were all the documents required from the audited organisation supplied on time prior to the audit? If no, was there a reason for this?	Yes No	
3. Were the pre-audit questionnaire fully completed and submitted in sufficient time before the audit? Did the answers help, or were they of limited use? How best can this be improved?	Yes No	
4. Were there any scheduling problems with the audited organisation, or failures in communication with the audited organisation?	Yes No	
5. Did you have sufficient time to review all the documentation prior to the actual audit?	Yes No	
6. Was the audit timetable realistic and achievable?	Yes No	

3. Conduct of the Audit

Issues Assessed by Team Participant	Answers and Comment (If "Yes", provide explanation)	
1. Was the entry briefing of value? Did it sufficiently deliver the scope and objectives of the audit to the audited organisation? If not, why?	Yes No	
2. Did you experience any difficulties in communicating with representatives of the audited organization, and if so, why?	Yes No	
3. Did you experience any lack of cooperation or reluctance on the part of the audited organization during the audit?	Yes No	
4. Were there any incidents during the audit that require management attention? If so please describe.	Yes No	
5. Was the guidance material provided current and adequate?	Yes No	
6. Were the checklists current and adequate?	Yes No	
7. Did the exit briefing cover all the findings of the team?	Yes No	
8. Did the audited organization respond positively or negatively to the findings in the briefing?	Yes No	

4. Reporting and Other Issues

Issues Assessed by Team Participant	Answers and Comment (If "Yes", provide explanation)	
1. Did you experience any difficulties with the preparation of the audit report? If so, what aspects need improving?	Yes No	
2. Were there any other issues that need to be brought to the attention of senior Management? Describe them.	Yes No	
3. Are there any areas of the audit process that require revision or could be done better? If so, please describe.	Yes No	
4. Are there any areas in the Civil Aviation Regulations part 12 (aerodromes) or any other supplied guidance material that warrants revision or amendment?	Yes No	