



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

SURVEY QUESTIONNAIRE FOR APAC STATES WITH LOW AGA EI

(Presented by India)

SUMMARY

This Working Paper presents a Survey Questionnaire for States in APAC Region with low AGA EI score (i.e. below 61%) and/or air navigation deficiencies and to establish the requirements for assistance in enhancing the EI scores of these States.

1. INTRODUCTION

1.1 With reference to AP-AA/WG Task 1/1, India, Bangladesh, Nepal and Thailand were assigned the task to prepare a survey questionnaire for States in APAC Region with low AGA EI score (i.e. below 61%) and/or air navigation deficiencies and to establish the requirements for assistance in enhancing the EI scores of these States.

2. DISCUSSION

2.1 The draft questionnaire based on ICAO USOAP Critical Elements (CE) was prepared and circulated for feedback and suggestions. The draft questionnaire is provided as **Attachment A**.

3. ACTION BY THE MEETING

3.1 The Meeting is invited to review and amend the draft questionnaire as appropriate.

Survey Questionnaire for APAC States with low AGA EI (i.e. below 61%) and/or Air Navigation Deficiencies; Basis for requesting Assistance

Introductory Note

The survey is developed by the ICAO Asia/Pacific Aerodrome Assistance Working Group to establish the assistance requirements for States with low USOAP EI in AGA area and/or AGA-related air navigation deficiencies.

Information of the State

Name of the State	
Name and Post of Contact Person	
Email Address of Contact Person	
USOAP EI in AGA area (%)	
Any Air Navigation Deficiencies?	Yes / No
No. of international aerodromes	Total: (); Certified: ()
No. of domestic aerodromes	Total: ()

<i>S.NO.</i>		<i>Yes/No</i>	<i>Remarks</i>
CE-1	Primary aviation legislation.		
1	Are there any “Primary Aviation Legislation” in your State on the provision of aerodromes to facilitate international air navigation?		
2	Are there any subsidiary legislation that could be <i>satisfactorily implemented</i> without having to establish primary aviation legislation at a national level?		
3	Are these regulations (referred to in Q1 and Q2 above) aligned with those provided by the Annexes to the Convention and that provisions exist for the prosecution of all persons violating the regulations applicable?		
4	Are Articles of the Convention referring to a State’s legislation require that the State promulgate primary aviation legislation, as needed, to serve as the legal basis for the safety oversight activities in the State?		
5	Is an empowered CAA established under the primary aviation legislation, notably in relation to aerodrome safety oversight and its certification?		
6	Does Primary aviation legislation empower appropriate authority to:		
	• promulgate and amend specific operating regulations.		
	• grant the necessary access and inspection powers to the State’s inspectors.		
	• create autonomous CAA.		

7	Does Primary legislation contain the legal basis for enforcement, including the ability to impose operating restrictions, suspend or revoke licences, certificates, authorizations or approvals as well as impose financial penalties?		
8	Does Primary legislation require the immediate notification of accidents and serious incidents by Aerodrome operators?		
CE-2	SPECIFIC OPERATING REGULATIONS		
1	Has the State promulgated regulations for standardized operational procedures, services, equipment and infrastructures in conformity with the Annex 14 Vol I to the Convention on International Civil Aviation?		
2	Do your specific operating regulations contain sufficient details that are consistent with your own legal frameworks, including the non-aviation areas?		
3	Has the State developed and implemented the process to ensure the timely amendment of these specific operating regulations in order to keep pace with the amendments to the Annex 14 Vol. I to the Convention?		
4	Does the system ensure that regulations are repealed when replaced by new ones?		
5	Do the State's regulations govern the issuance or validation of licences, ratings, certificates or approvals, as applicable? Does the State meet its obligation of Safety Oversight Responsibility?		
6	Has the state established process for exemptions or exceptions? Is the requirement supported by safety risk assessments or aeronautical studies and provide for imposition of limitations, conditions or mitigation measures?		
7	Does the State require a safety risk assessment or aeronautical study to be developed by the aerodrome operator to demonstrate availability of equivalent level of safety or an alternative acceptable means of compliance?		
8	Is there a review and acceptance process of such an assessment (as referred to in the previous question) or study that should be performed by the CAA at the appropriate level?		
9	Has the State established requirement for publication of such exemption, such as on the CAA website, AIP and/or in aerodrome manual?		
10	Is there a process to regularly review exceptions or exemptions so as to remove exceptions or exemptions, where possible, or check the validity of the mitigating measures in place?		
11	Is there a process CAA to assess, before granting an exception or exemption, whether the exception or exemption would lead to differences from SARPs and, if so, ensure that the State notifies ICAO of the differences?		

CE-3	STATE SYSTEM AND FUNCTIONS		
	Establishing a State civil aviation system		
1	Has the State established national legislation to provide for an appropriately organized, funded and empowered civil aviation system to fulfil the tasks of aerodrome safety oversight?		
2	Has the state employed the adequate personnel, including technical and support staff, to carry out its aerodrome safety oversight functions and duties?		
3	Does the aerodrome regulatory structure address all the technical areas applicable, to safety oversight, safety data collection and processing, and accident and incident investigation?		
	Staffing requirements		
4	Does State provide credentials to its technical personnel authorized to perform licensing, certification, approval and/or surveillance functions. Do credentials include the empowering legislation?		
5	Do these technical personnel have rights to unlimited and unrestricted access to aerodromes and its relevant facilities, documents and the associated inspection powers?		
6	Has the State established a methodology to determine its staffing needs for personnel performing safety oversight functions and covering all technical disciplines required for effective safety oversight in the aerodrome areas?		
7	Does your State also take up the role of aerodrome service provider, and personnel from the aerodrome service provider are designated to carry out safety oversight functions?		
	Establishment of service providers		
8	Is there a clear separation of functions and responsibilities between the regulatory authority and the Aerodrome service provider?		
9	Is there any mechanism for the avoidance of perceived, potential or actual conflicts of interest?		
CE-4	QUALIFIED TECHNICAL PERSONNEL		
	Initial qualification and experience requirements for technical personnel		
1	Has the State established the minimum qualifications and experience required for the position of technical staff to be filled?		
2	Has the State established the procedure for verification and evaluation of qualifications, experience and personal characteristics of each person employed or contracted to perform licensing, certification and surveillance duties?		
	Training of technical personnel		
3	Has the State established a training system with a documented training policy and signed by the State authorities?		

4	Does the training policy commit to provide necessary training to technical personnel in all areas, including initial training i.e. induction and basic training, on-the-job training (OJT), recurrent training and specialized or advanced training?		
5	Has the State established a training programme for each technical staff position and training plans for each technical staff member? Is it implemented consistently?		
6	Are inspectors required to complete OJT under experienced, senior technical staff before being assigned safety oversight-related tasks and responsibilities?		
7	Does the State record completion of the OJT and include the competency assessment?		
CE-5	TECHNICAL GUIDANCE, TOOLS AND PROVISION OF SAFETY-CRITICAL INFORMATION		
1	Has the state provided appropriate facilities, comprehensive and up-to-date technical guidance material and procedures, safety critical information, tools and equipment, and transportation means to the technical personnel?		
2	Has the States developed and publish their own technical guidance material addressing all activities of the State's aviation authority and all the tasks performed by its staff?		
3	Has the state established the procedures for specific tasks or activities clearly defining the following items?		
	<ul style="list-style-type: none"> person in charge of each task including authority to approve results/reports, sign letters, reports, approvals and decide enforcement actions. 		
	<ul style="list-style-type: none"> each step of the process and each task to be performed, templates, expected results and link with other procedures. 		
	<ul style="list-style-type: none"> details and methodology for each task, sequence of actions, ensure the traceability 		
	<ul style="list-style-type: none"> for repetitive action (e.g. continuing surveillance), the frequency and the maximum interval between two actions. 		
4	Has the state published inspector's handbook detailing various procedures, including appropriate checklists and templates?		
5	Has the state provided Inspectors and staff with the necessary tools, such as transportation, offices, communication facilities, internet and access to technical or an electronic library?		
6	Has the state developed guidance for the industry? Does the guidance include templates and standard format for documents to be established by each service provider concerned?		

CE-6	LICENSING, CERTIFICATION, AUTHORIZATION AND APPROVAL OBLIGATIONS		
	General considerations		
1	Has the State approved the specialists' working methodologies, defined deliverables and validate results of evaluations?		
2	Is there a process to keep evaluations properly documented and recorded and all the pertinent records and evidence kept by the CAA?		
3	Is there a requirement to properly complete and record Checklists used in the evaluation process?		
4	Do inspectors document the relevant detailed references (e.g. specific references in a manual) and facilities/equipment/other aspects reviewed on site?		
5	Are records maintained to prove the effectiveness and ensure traceability of the certification/ licensing/approval activities performed and follow-up actions carried out?		
6	Does the certification file include the following areas?		
	• certification application and associated documents;		
	• aerodrome manual;		
	• audit/inspection records;		
	• corrective action plans and evidence of implementation;		
	• exception or exemption records and		
	• copy of the certificate/licence/authorization certificates and approvals		
7	Has the State established the procedure for certification / licensing of its aerodromes?		
8	Are the procedures for certification and approval activities comprehensive, formal and documented?		
9	Does the procedure for certification/licensing of aerodromes contain dealing with expression of interest, including coordination with other concerned authorities?		
10	Does the procedure include initial review of the documentation submitted by the service provider, including key personnel's competence and operating procedure?		
11	Are on-site audits and/or inspections conducted to verify technical aspects and assess the service provider's organization, competence and implementation of its operating procedures?		
12	Has the State established the process for considering and assessment of exemption request?		
13	Do such requests require conduct of safety assessment / aeronautical studies with on-site inspections along with mitigation measures before granting or denying exemptions?		
14	Is there a process for assessment of the corrective action plans submitted by the aerodrome operator to resolve findings and non-compliances including given timelines?		

15	Does the established procedure elaborate on issuance of the certificate/ license or with indication of operating conditions and limitations, where applicable?		
16	Is the procedure for renewal or review of continuing validity of the certificates/license established?		
17	Is there a procedure for transfer or surrender of certificates/ license?		
18	Is it ensured by the CAA that all non-compliances are resolved or addressed by corrective action plans (with mitigation measures) prior to the issuance of a certificate or approval?		
CE-7	SURVEILLANCE OBLIGATIONS		
1	Has the State established and implemented documented surveillance process, by defining and planning inspections, audits and monitoring activities on a continuous basis, to proactively ensure that aviation licence, certificate, authorization and approval holders continue to meet the established requirements?		
2	Does the CAA conduct on-site inspections (announced and unannounced visits), the review of documents submitted by the service providers, meetings with concerned parties and analyses of available safety information?		
3	Does the defined surveillance programme include the following areas?		
	<ul style="list-style-type: none"> the types of surveillance activities (e.g. audits, inspections, tests, safety events analyses); 		
	<ul style="list-style-type: none"> the timeframe or frequency of the activities; 		
	<ul style="list-style-type: none"> items to be covered or scope of the activities; and 		
	<ul style="list-style-type: none"> related methodology/procedures, job aids and guidance on how the full-cycle activity should be performed, 		
4	Is there a surveillance plan developed for each certified aerodrome based on the applicable surveillance programme? Does the surveillance plan cover all the areas?		
5	Does the State conducts, in addition to scheduled inspections, random or unannounced inspections?		
6	Do the methodologies for the various types of surveillance activities cover all phases including preparation, implementation, reporting and follow-up actions?		
7	Are appropriate procedures, templates and job aids developed and used for each phase, as needed?		
8	Has the CAA established and implemented, for each area, a system for record-keeping and filing which should include:		
	<ul style="list-style-type: none"> completed checklists, evaluation reports and associated documentation, including as 		
	<ul style="list-style-type: none"> applicable, safety assessments; 		
	<ul style="list-style-type: none"> minutes of meetings conducted as part of surveillance; and 		

	<ul style="list-style-type: none"> • follow-up reports on the implementation of corrective action plans. 		
CE-8	RESOLUTION OF SAFETY ISSUES (CE-8)		
1	Does the State ensure that identified safety issues are resolved in a timely manner through a system which monitors and records progress, including actions taken by aerodrome operators?		
2	Does the system mentioned in the previous question include the following areas?		
	<ul style="list-style-type: none"> • non-compliances and other deficiencies identified by the CAA; 		
	<ul style="list-style-type: none"> • analyses of reported safety events; 		
	<ul style="list-style-type: none"> • negative safety trends; and 		
	<ul style="list-style-type: none"> • results (including safety recommendations) of aircraft accident and incident investigations. 		
3	Does the State ensure that aerodrome operators report all the safety events through the State's mandatory reporting system? Is this system established by the legislation?		
	Follow-up of safety issues		
4	Does the CAA		
	<ul style="list-style-type: none"> • Promptly advise the aerodrome operator of the deficiency observed. 		
	<ul style="list-style-type: none"> • Provide deadlines for the submission of the corrective action plan 		
	<ul style="list-style-type: none"> • verify that corrective actions and related timeframes are appropriate, 		
	<ul style="list-style-type: none"> • Initiate appropriate follow-up actions to verify the effective implementation of the corrective actions. 		
	Enforcement		
5	In the absence of a resolution, does CAA take the appropriate enforcement measures, such as the imposition of limitations, the suspension or revocation of certificates/licences, or the imposition of financial penalties?		
6	Is CAA empowered by the State's primary legislation to take these enforcement measures?		
7	Are enforcement actions commensurate with the safety risks caused by non-compliances or violations?		
8	Based on the State's legislation and procedures, has the CAA established and implemented clear, comprehensive and detailed enforcement policies and procedures for use by its staff?		
	Follow-up of safety recommendations		
9	Has the State established and implemented a structured process for follow-up of the safety recommendations out of incident/ accident investigations?		