Oversight System

Aim

- Provide an overview on the oversight/audit system and supporting processes in alignment with the ICAO framework

Objectives

- Understand the regulatory audit requirements

- Development and assessment of aerodrome risk

- Introduce and understand the Oversight Planning Cycle

- Introducing the concept of a Complexity Matrix

- Different aerodrome sizes and scale of operation -v- level of oversight

ICAO Requirements – PANS Aerodromes Doc 9981

- **2.1.3 Continued oversight**

- Once the State has completed a thorough review of the compliance of an aerodrome with the applicable certification requirements, leading to the granting of the certificate to the aerodrome operator, continued oversight should be established by the State in order to ensure that compliance with regard to certification conditions and ongoing additional requirements is maintained.

Continued Oversight Principles

- **2.5.2.1** – The State should plan continued oversight actions in such a way as to ensure that each subject covered by the scope of certification is subject to oversight.

- **2.5.2.2** – The development and operation of an aerodrome's SMS should ensure that the aerodrome operator takes appropriate actions regarding the safety on the aerodrome.

Continued Oversight Principles

- **2.5.2.3** – Sample checks of the aerodrome's compliance with certification requirements and specifications should be carried out in order to ensure the SMS has identified all deviations, if any, and adequately managed them. This also provides an indication on the level of maturity of the SMS. Consequently, a periodic audit cycle should be developed which consists of:

  - at least one audit of the SMS; and

  - sample checks on specific subjects.

- **2.5.2.4** – If the SMS of the aerodrome operator is not fully implemented, specific oversight actions should target the SMS to ensure it is developing adequately and at a normal pace. In this case, the SMS should be audited as appropriate until it is considered to be sufficiently mature.

Continued Oversight Principles

- **2.5.3.1 -** After initial certification has taken place, continued oversight actions of a subject may not require complete audit of all subject items and may instead be on the basis of sample assessment of selected items based on risk profile.

- **2.5.3.2 -** The audit of the selected items should consist of:
  - a desk-based review of the appropriate documents, and
  - an on-site verification

Continued Oversight Principles

- Influence of aerodrome safety performance and risk exposure

- The number of audits may be influenced by:
  - How confident we are in in the aerodrome's SMS?
    - Safety occurrence analysis and follow-up
    - Safety significant subjects being effectively managed
    - Significant changes or developments

- Other factors that affect the level of risk:
  - Complexity
  - Specific infrastructure or organisation issues
  - Type of operations
  - Traffic density

Continued Oversight Principles

- **2.5.5 - 2.5.7**

- An oversight plan should be developed by the state.

- Plan should ensure that the SMS and functional areas are audited as required.

- The plan should be updated annually:

    - To show that actions and observations have been carried out.

- Unannounced inspections may be carried out.

- Corrective action plans should be monitored until the actions have been carried out.

- States may increase oversight if performance is poor

Aerodrome Oversight (EASA)

- The National Aviation (Competent) Authority will:
  - Establish and maintain an oversight programme covering the oversight activities required by ADR.AR.C.005;
  - Apply an appropriate oversight planning cycle;

- UK CAA implements a cycle not exceeding 36 months.

- The oversight programme shall include within each oversight planning cycle, audits and inspections, including unannounced inspections, as appropriate.

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Oversight Planning Cycle (OPC)

- The oversight planning cycle and oversight programme is determined but can be flexed according to:
  - The results of past certification and oversight
  - The aerodrome's ability to effectively identify aviation safety hazards, and manage the associated risks
  - The aerodrome's control of changes in accordance with its safety management system
  - Absence or presence of level 1 findings
  - The number of level 2 findings
  - Response time to implement corrective actions
  - Risk exposure related to the aerodrome – e.g. traffic volume, aircraft types or physical characteristics.

Oversight Cycle

- The oversight of certificated aerodromes consists of:

  - Annual compliance audit (desktop)
  - Annual 'onsite' performance audit (scheduled visit).
  - Internal review meeting
  - Accountable manager meeting

- Other oversight activities take place during the year

Oversight Cycle

- The programme for each audit is:

  - 6-9 months before audit – agree audit dates
  - 10 weeks before audit – official notification of audit dates
  - 10 weeks before audit – issue compliance checklists
  - 4 weeks before audit – checklists returned and inspector starts to prepare (desktop)
  - Onsite performance audit (scheduled visit).
  - 2-4 weeks after audit – internal review meeting
  - 1-2 months after audit – accountable manager meeting

Oversight Cycle

- The oversight cycle varies and can be flexed

- Large aerodromes have an onsite audit every year
  - Oversight planning cycle is 36 months

- Medium-sized aerodromes have an onsite audit every 16 months
  - Oversight planning cycle is 36 months

Oversight Cycle

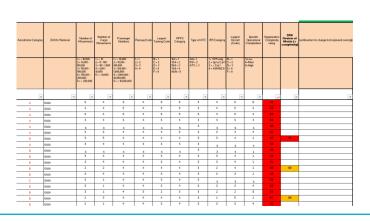- The oversight of licensed (smaller and GA) aerodromes consists of:

  - 2-year oversight planning cycle, alternating desk-top and onsite
    - Internal review meeting (following onsite audit only)
    - Accountable manager meeting (following onsite audit only) if required (if issues arise and for those operating CAT)
    - Meeting can be replaced by written communication if no issues are identified

Complexity Matrix

- Forms the baseline for oversight

- Factors involved:

    - Number of movements (and cargo movements)

    - Passenger numbers

    - Runway code and taxiway code

    - RFFS Category

    - Type of ATC and IFR Category

    - Largest aircraft code

    - Specific operational complexities:

        - Dual runways, steep approaches, fleet mix, helicopters

Complexity Scale

Complexity Matrix

Reds: On site audit every 12 months

Ambers: On site audit every 18 months

Greens: On site audit every 24 months - with desktop at intervening years

Aberdeen, Birmingham, Belfast City, Belfast Int, Edinburgh, East Midlands, Leeds Bradford, Liverpool, London City, Gatwick, Luton, Glasgow, Heathrow, Stansted, Manchester, Newcastle,

Biggin Hill, Blackpool, Bournemouth, Bristol, Cambridge, Cardiff, Coventry, Teesside, Exeter, Farnborough, Gloucestershire, Hawarden, Humberside, Inverness, London Heliport, Kirkwall, Newquay, Norwich, Prestwick, Shoreham, Southampton, Southend, Sumburgh

Barra, Bedford, Benbecula, Blackbushe, Campbeltown, Carlisle, Chalgrove, Coll, Colonsay, Cranfield, Dundee, Eday, Eglington, Enniskillen, Fairoaks, Fair Isle, Gamston, Haverfordwest, Islay, Kemble, Land's End, London Heliport, Lydd, Oban, Oxford, North Ronaldsay, Papa Westray, Penzance Heliport, Portland Heliport, St Marys, Sanday, Stornoway, Stronsay, Tiree, Warton, Tingwall, Tresco Heliport, Walney Island, West Wales (Aberporth), Westray, Wick, Wolverhampton, Yeovil (+ 45 more general aviation aerodromes)

Aerodrome Allocation

Complexity Status	Aerodrome	ICAO Code	Status	RFFS Inspector	Ops Inspector	Oversight Manager	Lead Inspector (if not OM)	Type of Licence	Level of ATS
Red	Aberdeen	EGPD	CERTIFIED	Feighan	Beer	Feighan		PUBLIC	ATC
CAAi	Alderney	EGJA	CAAi	Fisher	Walters	N/A			FISO
Amber	Barra	EGPR	LICENSED	Feighan	Hindson	ATM	Hindson	ORD	FISO
Red	Belfast City	EGAC	CERTIFIED	Purdy	Walters	ATM	Walters	PUBLIC	ATC
Red	Belfast International Aldergrove	EGAA	CERTIFIED	Purdy	Beer	ATM	Purdy	PUBLIC	ATC
Amber	Benbecula	EGPL	CERTIFIED	Feighan	Hindson	Hindson		PUBLIC	ATC
Amber	Biggin Hill	EGKB	LICENSED	Fisher	Macmillan	Macmillan		ORD	ATC
Red	Birmingham	EGBB	CERTIFIED	Purdy	Bhuller	ATM	Bhuller	PUBLIC	ATC
Green	Blackbushe	EGLK	LICENSED	Naudi	Bhuller	Naudi		ORD	FISO
Amber	Blackpool	EGNH	DERROGATED	Parry	Beer	ATM		PUBLIC	ATC
Amber	Bournemouth	EGHH	CERTIFIED	Fisher	Macmillan	Fisher		PUBLIC	ATC
Red	Bristol	EGGD	CERTIFIED	Fisher	Macmillan	Fisher		PUBLIC	ATC
Amber	Cambridge	EGSC	CERTIFIED	Purdy	Bhuller	ATM	Purdy	PUBLIC	ATC
Amber	Campbeltown	EGEC	CERTIFIED	Feighan	Hindson	ATM	Hindson	PUBLIC	FISO
Amber	Cardiff	EGFF	CERTIFIED	Fisher	Walters	ATM		PUBLIC	ATC
Green	Chalgrove	EGLJ	LICENSED	Purdy	Macmillan	Macmillan		ORD	AG
Green	Coll	EGEL	LICENSED	SOLO	Feighan	Feighan		ORD	AG
Green	Colonsay	EGEY	LICENSED	SOLO	Feighan	Feighan		ORD	AG
Amber	Coventry	EGBE	LICENSED	Purdy	Bhuller	Bhuller		ORD	FISO
Amber	Cranfield	EGTC	LICENSED	Fisher	Bhuller	Fisher		ORD	ATC
Amber	Dundee	EGPN	CERTIFIED	Feighan	Beer	ATM	Beer	PUBLIC	ATC
Red	East Midlands	EGNX	CERTIFIED	Purdy	Walters	ATM	Purdy	PUBLIC	ATC

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Audit Schedule

FEBRUARY 2025 NOTES	3 MON	4 TUE	5 WED	6 THU	7 FRI	10 MON	11 TUE	12 WED	13 THU	14 FRI	17 MON	18 TUE	19 WED	20 THU	21 FRI	24 MON	25 TUE	26 WED	27 THU	28 FRI
NEIL			BSI Audit				St Athans* ONSITE				Annual Leave						Sumburgh * ONSITE			
STEVE			BSI Audit	Annual Leave					Annual Leave		London Stansted* Onsite Major						Prestwick* ONSITE			Annual Leave
IAN		Gibraltar									London Stansted* Onsite Major					Annual Leave	Advanced SMS Course @ AVH			
JOHN P		Norwich* ONSITE					Corporate Induction	JIG Fuel Training					HIAL Grp 1 IRM	Manchester IRM		Annual Leave	Prestwick* ONSITE			
Vacancy							St Athans* ONSITE													
DAVE H							Wick* ONSITE						HIAL Grp 1 IRM	Manchester IRM			Sumburgh * ONSITE			
DAVE M											London Stansted* Onsite Major					CAAi Aerodrome Certification Course				
ELLA-DEE		Auditing In Aviation Course					Wick* ONSITE				Annual Leave						Prestwick* ONSITE			
GREG		Norwich* ONSITE					Wick* ONSITE						HIAL Grp 1 IRM				Sumburgh * ONSITE			
ANDY W		Auditing In Aviation Course					St Athans* ONSITE				London Stansted* Onsite Major									
JAZ		Norwich* ONSITE					St Athans* ONSITE				London City IRM							Redhill Desktop		Annual Leave
SHARON			BSI Audit								London City IRM			Manchester IRM						
CHARLIE			BSI Audit	Wellesbourne Desktop				JIG Fuel Training			RWY Inc SRP	HIAL Grp 1 IRM					Advanced SMS Course @ AVH			
NICHOLE			BSI Audit	Wellesbourne Desktop				JIG Fuel Training			London Stansted* Onsite Major							Redhill Desktop		
EVENTS																				

- **RED – CERTIFICATED AERODROME AUDIT**
- **YELLOW – CERTIFICATED AERODROME AUDIT**
- **GREEN – LICENSED AERODROME AUDIT**
- **IRM**
- **BLUE – TRAINING OR OTHER VISIT/ACTIVITY**
- **PURPLE – PRESENTING TRAINING/OTHER AUDITS**

Aerodrome Operators and Regulators Responsibilities

- ICAO stipulates that the aerodrome operator is responsible for the safe operation and maintenance of the aerodrome in accordance with:

  - ICAO

  - Terms of licence/Certificate

  - Aerodrome Manual

  - Any other manuals, as applicable

- Regulation requires that the CAA (Competent Authority) shall "verify" continued compliance

EASA EU.139/2014 Article 3 – Oversight

National Aviation Authority may:

- Examine the records, data, procedures and any other material relevant the certification and/or oversight task;

- Take away copies of or extracts from such records, data, procedures and other material;

- Ask for an oral explanation on-site;

- Enter aerodromes, relevant premises, operating sites or other relevant areas and means of transport;

- Perform audits, investigations, tests, exercises, assessments and inspections;

- Take or initiate enforcement measures as appropriate.

Oversight Activity

- Audits

- Desktop exercises

- Meetings (e.g. Local Runway Safety Team)

- Visits (including unannounced)

- Projects
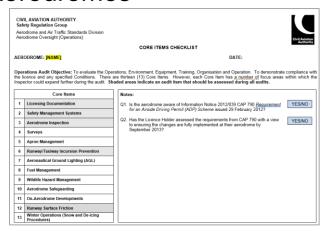
All are oversight activity and could result in an 'Oversight' report and findings / observations issued.
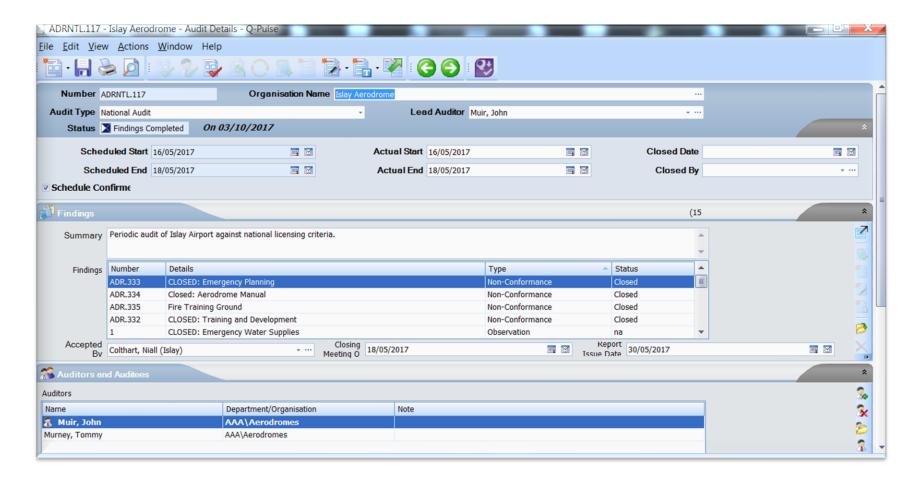
Oversight Activity

- How do you track progress of audits and that the functional areas have been audited?

- Tracker systems:
  - Within audit recording system (e.g. QPulse)
  - Oversight Tracker – EASA requires that the NAA audits all applicable requirements within the OPC – 3 years
  - Core items checklist for national aerodromes

Tracking & Recording Corrective Actions

Oversight Activity – Theme Items

- How do you decide what to audit outside the cycle?

- Theme items driven from:

  - Accidents/incidents:

    - e.g. Overrun and line-up events, airside vehicle incidents

  - Reviews of audit findings:

    - e.g. Regular findings regarding changes and compliance monitoring

  - New regulatory or safety material:

    - e.g. safety directives, EAPPRI

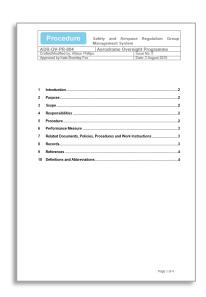   - https://www.eurocontrol.int/publication/european-action-plan-prevention-runway-incursions-eappri

Note: EAPPRI – European Action Plan for the Prevention of Runway Incursions (GAPPRE – Excursions)

Oversight Activity – Audit Programme

- Programme includes planned audits/inspections/visits, any CAAi contracted work required, adhoc audits/visits as necessary, plus internal review meetings (IRMs).

- Must also allow for:

  - Inspectors' known annual leave dates

  - Time for preparation, travel and report writing

  - Public holidays and any meetings already planned

Any Questions?