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# NAA Procedures and Systems

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The aim of this session is to provide guidance for the procedures for National Authorities (CAA) to have in place to demonstrate a structured oversight system

# ICAO – Origin of the Requirements



- ICAO USOAP contains several PQ's which contain the requirements for procedures/systems to be created/used.

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	P-PQ	Area	Name	Yes/No
8.103	Does the aerodrome regulatory authority maintain an appropriate filing system for each aerodrome to be certified and a certificate register?	1) Review the filing system of the aerodrome regulatory authority. 2) Review evidence to confirm inclusion of required documents in aerodrome files (e.g. applications forms, manuals, checklists, etc.).	GM Doc 9774 5.3	No			N
CE-6							

# ICAO – Origin of the Requirements



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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	P-PQ	Area	Name	Yes/No
8.401	Has the aerodrome regulatory authority developed and implemented procedures for the continuing surveillance of aerodrome certificate holders?	1) Review developed procedures and checklists for guidance on how to conduct aerodrome surveillance activities, from notifying the aerodrome operator to the closure of deficiencies noted during the activities. 2) Review duly completed checklists and examples to confirm effective implementation.	PANS Doc 9981 2.5 GM Doc 9734 Part A, C3 Doc 9774 5.2.3 & 5.2.5	Yes			
CE-7							

# Procedures and Filing Systems



- What do we need?
  - Procedures to describe and support the oversight process
  - A filing system for the procedures and the records of certification and oversight activities.
- Break down the oversight system into its main parts and develop procedures for each.
- What are the parts of the oversight system?

# Parts of the oversight system?



- The elements included in this workshop:
  - Initial certification
  - Continuing surveillance/oversight
  - Conducting audits
  - Ongoing correspondence and management
  - Team management

# Initial Certification



- Licensing Application Checklist Existing Aerodrome
- Processing Aerodrome Licence/Certificate
- Pre-Licensing Inspections – Ops and RFFS
- Pre-Licensing Checklists
- Acceptance and amendment of an aerodrome manual
- Variations to CAP 168 requirements
- Basis for variation to licence (justification form)
- ELOS, Special Conditions & Deviations from Certification Specifications

# Continuing Oversight



- Oversight Planning Cycle
- Oversight Planning Tracker
- Aerodrome Oversight Programme
- Ongoing Oversight Procedure
- Periodic Inspections and Audits
- Unplanned Oversight Activity activities (e.g. attending exercises or meetings)



- Desktop Audit Preparation and Delivery
- Onsite Audit Preparation and Delivery
- Audit Notification Process (may differ for different types of aerodromes)
- Pre-Audit Checklist Audit Pack
- Audit In and Out Brief Checklist
- Audit Plan Template
- Oversight Activity Report

# Changes and Developments



- CAP 791 Aerodrome Changes Requiring Prior approval.
- CAP 791 Procedures for Changes to Aerodrome Infrastructure
- Amendment to an Existing Aerodrome Licence



- Enforcement (Special Attention and On Notice).
- Special Attention Procedure
- On Notice and Sanctions Procedure
- Suspension of a permanent Aerodrome Licence
- Revocation of permanent Aerodrome Licence and/or Lighting Permission

# Team Management



- Inspector / Inspecting Officer Training Process
- Inspector ADR, Initial Training Programme
- Quality Assurance Procedure

- Core Regulatory documents:
  - Aerodrome certificate (including terms of certificate)
  - Variations/exemptions (with supporting safety assurance)
  - Aerodrome manual
  - MATS Part 2
- Audit records
- Changes and developments
- Correspondence
  - Routine
  - Enforcement
- MORs
- RFFS and emergency planning



- LIVE Aerodromes Database V12
- SARG Management system
- <https://caa.sharepoint.com/sites/sarg-ms/SARG%20Documents/Forms/SARG%20Documents.aspx?viewid=1d6725b8%2Dab3b%2D4e6a%2Dbf38%2D08791a720515>

# Summary



- Write what you do (or want to do)
- Keep procedures as simple as possible – it can/will be audited
- Allocate all tasks to a role
- Review them when changes are made or periodically



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# Thank you Any Questions?

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