

RASG-MID SAFETY ADVISORY – 10



(RSA-10)

August 2016

MID-Region

Periodic Surveillance Audits

of

Aerodrome Infrastructure & Maintenance

Date of Issue:	August 2016
Revision No:	First Edition
Document Ref. No.:	RASG-MID/MIDRAST/RGS/SEI/03-2

Owner:	RASG-MID
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These guidelines are developed by the Runway and Ground Safety Working Group (RGS WG), as part of MID-RAST/RGS/3 Detailed Implementation Plan (DIP) deliverables, based on the work of the UAE General Civil Aviation Authority in collaboration with the ICAO MID Regional Office within the framework of the ICAO Regional Aviation Safety Group – Middle East (RASG-MID).

Disclaimer

This document is intended to provide guidance for civil aviation regulators, aerodrome operators and other stakeholders involved in aerodromes infrastructure and maintenance.

The document has been compiled by members of the aviation industry to enhance aviation safety. It is not intended to supersede or replace existing materials produced by the State or in ICAO SARPs. The distribution or publication of this document does not prejudice the State's ability to enforce existing National regulations. To the extent of any inconsistency between this document and the National/International regulations, standards, recommendations or advisory publications; the content of the National/International regulations, standards, recommendations and advisory publications shall prevail.

Regional Safety Advisory

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INTRODUCTION

BACKGROUND

This advisory publication was developed further to the expertise and experience of the General Civil Aviation Authority of the United Arab Emirates based on its regulation, guidance materials and processes in support of the runway and ground safety enhancement initiatives undertaken by the ICAO Regional Aviation Safety Group – Middle East (RASG-MID) and the associated Runway & Ground Safety Working Group (RSG WG).

This publication provides guidance material for Periodic Surveillance Audits of Aerodrome Infrastructure and Maintenance. A cycle of Periodic Surveillance Audits is inexorably linked to effective certification of aerodromes. This publication provides an oversight framework suitable for ongoing safety assessment of certified aerodromes and is provided further to the information contained in RASG-MID Safety Advisory-05 (RSA-05) - Aerodromes Certification Toolkit.

The Detailed Implementation Plan for the Safety Enhancement Initiative delivered by this publication is as follows:

Develop and issue guidance material on Periodic Surveillance Audits of Aerodrome Infrastructure and Maintenance

Without an effective safety oversight regime, States' efforts to assess and improve runway safety may be thwarted or addressed in an inconsistent manner.

Whilst this Safety Advisory provides a readily adoptable framework for Periodic Surveillance Audits, it is essential for all States to ensure adequate legal, regulatory and organisational structures and commit the necessary resources to fulfil their safety oversight obligations. These actions are crucial to support the oversight of aerodrome operators in accordance with relevant ICAO provisions.

PURPOSE

The purpose of this Safety Advisory is to provide model elements for Periodic Surveillance Audits of Aerodrome Infrastructure and Maintenance to support MID States in developing and benchmarking regulation and processes to support the effective safety oversight at certified aerodromes. The guidance consists of the following elements:

(Chapter 1)

Model Regulation as it pertains to the infrastructure and maintenance elements associated with aerodrome certification, which is supported by a regime Periodic Surveillance Audits including initial certification of infrastructure as well as enforcement actions in the event of safety critical non-conformance.

(Chapter 2)

Model Oversight Process to be considered as part of the State's aerodrome certification and safety oversight processes. This is to be considered in conjunction with ICAO Doc 9734, Safety Oversight Manual.

(Appendices)

Model Forms & Templates which may be used in support of Periodic Surveillance Audits of Aerodrome Infrastructure and Maintenance. These materials are for the use of States and aerodrome operators as appropriate.

These guidelines are based on the work carried out by the General Civil Aviation Authority of the United Arab Emirates as an integral part of their commitment to enhance runway safety through the creation of materials to support aerodrome oversight.

In doing so, there is one single concern: **safety**.

This Safety Advisory serves to further empower States in their efforts to support Periodic Surveillance Audits of Aerodrome Infrastructure and Maintenance through provision of model regulation and processes.

USING THIS SAFETY ADVISORY

The Table of Contents provides an overview of the materials which may be used by States as part of their safety oversight of Certified Aerodromes through Periodic Surveillance Audits of Aerodrome Infrastructure and Maintenance.

Each chapter of this Safety Advisory includes proposed application of the model elements for the consideration, adaptation and adoption of States. The Safety Advisory does not have to be read in order from beginning to end; particular paragraphs may be consulted as required.

The reader will choose the depth at which the Safety Advisory will be used at any given time. Reading may range from using the Table of Contents or elements of the model materials as a benchmark for gap analysis – to adopting and/or adapting the content of the model elements.

This advisory is in support of State's safety oversight system with specific reference to Critical Element 7 - Surveillance Obligations and should be read in within the context of ICAO Doc 9734, Safety Oversight Manual, Part A, The Establishment and Management of a State's Safety Oversight System. It is also recommended that ICAO Doc 9137, Airport Services Manual, Part 9, Airport Maintenance Practices be read as background prior to conducting audit on maintenance activities. This material is published for the consideration of States based on the regulation and processes established and implemented by the General Civil Aviation Authority of the United Arab Emirates.

CHAPTER 1
REGULATION IN SUPPORT OF PERIODIC SURVEILLANCE AUDITS
OF
AERODROME INFRASTRUCTURE & MAINTENANCE

1.1 Application

Each State must publish applicable National Civil Aviation Regulation in support of Periodic Surveillance Audits to include Aerodrome Infrastructure & Maintenance. Below are sample clauses and definitions in support of this requirement which need to be assessed by each State. Some material is repeat of information included in RASG-MID Safety Advisory – 05 (RSA-05) - Aerodromes Certification Toolkit however **emphasis** have been added to those elements which are essential in providing the foundation for audits of Aerodrome Infrastructure and Maintenance.

1.2 Model Regulation: Definition

1.2.1 Aerodrome Certificate Verification Audit. An inspection of the aerodrome facilities, equipment and services and audit of the safety manuals and Compliance Statements for certification conducted prior to the issue of an Aerodrome Certificate.

1.2.2 Periodic Surveillance Audits. An audit conducted at least annually at the discretion of the Authority confirming on-going compliance with the National Regulations.

1.3 Model Regulation: Applicability of Regulation

For more information consult RASG-MID Safety Advisory-05 (RSA-05) – Aerodromes Certification Toolkit.

1.4 Model Regulation: Operator Obligations in relation to Aerodrome Infrastructure and Maintenance

1.4.1 Grant of an Aerodrome Certificate

- a) **...the aerodrome’s facilities, services and equipment are in accordance with the National Civil Aviation Regulations and other relevant ICAO Standards and Recommended Practices;**
- b) The Aerodrome Manual prepared for the applicant’s aerodrome contains all pertinent information on the aerodrome site, facilities, services, equipment, operating procedures, organisation and management;
- c) The aerodrome operator’s Safety Management System and supporting operating procedures make satisfactory provision for the safety of aircraft;

d) The applicant will be able to operate and maintain the aerodrome properly...

For more criteria related to Grant of an Aerodrome Certificate consult RASG-MID Safety Advisory-05 (RSA-05) – Aerodromes Certification Toolkit.

1.4.2 Validity of an Aerodrome Certificate

1.4.2.1 The Aerodrome Certificate shall remain valid

- a) **...subject to Periodic Surveillance Audits;**
- b) subject to Aerodrome Certification Verification Audits...

For more criteria related to Validity of an Aerodrome Certificate consult RASG-MID Safety Advisory-05 (RSA-05) – Aerodromes Certification Toolkit.

1.4.3 Restriction, Suspension or Revocation of an Aerodrome Certificate

1.4.3.1 The National Authority may restrict, suspend or revoke an Aerodrome Certificate with reference to the National Laws.

1.4.3.2 The National Authority may restrict, suspend or revoke an Aerodrome Certificate in the event of non-compliance with the certification requirements or unresolved safety deficiency/concern. In such cases the National Authority shall notify the aerodrome operator in writing of its reasons.

For more information related to Restriction, Suspension or Revocation of an Aerodrome Certificate Consult RASG-MID Safety Advisory-05 (RSA-05) – Aerodromes Certification Toolkit.

CHAPTER 2

MODEL PROCESS FOR AERODROME PERIODIC SURVEILLANCE AUDITS

2.1 Application

The model procedures below provides a framework for States to certify aerodromes and conduct the necessary safety oversight audits in support of the aerodrome certification process. The model process for the Audit Programme should be read in conjunction with ICAO Doc 9734, Safety Oversight Manual.

The model is based on the premise that each aerodrome will have allocated inspectors from various disciplines responsible for the initial and on-going oversight. Management decisions regarding the audits will be undertaken by the appropriate levels of the management holding the appropriate authority further to the State's delegation of powers and authorities regarding technical matters.

2.2 Model Process: Introduction

ICAO Doc 9734, Safety Oversight Manual and the ICAO annexes establish the standards in support of the eight critical elements essential to the state safety oversight system. Audits are part of surveillance activity associated with these critical elements which proactively ensure that aerodrome certificate holders continue to meet the established requirements and function at the level of competency and safety required by the National Authority to conduct the activities for which they are certified.

2.2.1 Purpose

National Civil Aviation Regulation provides for the grant of aerodrome certificates subject to the State being satisfied that the aerodrome operators meets the requirements of the regulation. Once issued, the aerodrome certificate shall be valid subject to the conditions of the certificate and continued compliance with these National Civil Aviation Regulations.

The procedures and guidelines outlined in this document provide for the initial verification and on-going surveillance audits of certified aerodromes.

This processes provide a framework for recording and reporting compliance in relation to appropriate laws, National Civil Aviation Regulations and safety requirements as well as resolution of safety issues further to audit findings.

This procedure defines the responsibilities, goals and methods for audit of certified aerodromes by the National Authority. This approach aims to create a professional, harmonious relationship between the National Authority and the aerodrome operator by outlining procedures to conducted efficient and effective audits by collecting information in the least disruptive manner and fostering a culture of partnership, no blame, transparency and self-disclosure.

2.2.2 Responsibility

It is the responsibility of States to monitor the performance of its inspectors and auditors against this procedure to include timely closure of audit reports.

2.3 Model Process: References

2.3.1 References

[State to insert references to relevant ICAO, National Civil Aviation Regulation, guidance materials, etc.]

2.4 Model Process: Audit Programme

2.4.1 Audit Programme

States shall develop and approve an annual Audit Programme. Effective audit programmes should be carefully planned and executed and can be based on a risk-based approach. Auditors are responsible for implementing the approved annual Audit Programme. Designated lead auditors are responsible briefing management on the findings and any difficulties in follow-up and closure.

The following are the objectives of the Audit Programme:

- a) Ascertain whether the aerodrome operator is or will continue to conduct operations in accordance with the National Law, National Civil Aviation Regulations, National Authority Publications and ensure that organisation's manuals and procedures are appropriately documented and followed;
- b) Ensure the Aerodrome Manual includes required content and the aerodrome operator demonstrates effective implementation of its obligations;
- c) Provide assurance that the aerodrome operator's competency, operating practices and records of compliance meet requirements;
- d) Provide the opportunity to identify gaps in aerodrome operator's implementation of National Civil Aviation Regulation, guidance material or best practices if such actions are required or would result in improvements in operating safety environment;
- e) Detect and track the resolution of safety concerns residing in the aviation system; and
- f) Establish whether the aerodrome operator may operate or continue to operate under an aerodrome certificate or if the aerodrome certificate shall be restricted, suspended or revoked.

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.

Surveillance activities are conducted at different intervals depending on the type of the audit to be conducted. The scope, depth and complexity of the audit along with size and type of operation shall require individual auditor planning.

Type of Aerodrome Audit	Frequency
Aerodrome Certificate Verification Audit	Conducted prior to the issue of an Aerodrome Certificate.
Periodic Surveillance Audits	The frequency is based on the complexity of operations and proficiency operations. The maximum period between two audits is based on the aerodrome operator's risk profile and shall not exceed 18 months.
Mid-Audit Review	May be conducted between periodic audits when deemed necessary by auditors to review any outstanding findings or accepted action plans.

Audits include following general characteristics:

- a) A specific work activity title;
- b) A definite beginning and a definite end;
- c) Defined procedures;
- d) Specific objectives; and
- e) Reporting of findings.

2.5 Model Process: Checklists

Checklists are powerful audit tools and if used correctly they shall enable auditors to focus on the task in hand. Checklists also act as a guide, an aid memoire, provider of continuity and a record of audit coverage. Checklists which support safety Periodic Surveillance Audits of Aerodrome Infrastructure including the following:

Reference	Name	Purpose
Appendix A	Aerodrome Self-Assessment Checklist	Used as part of the initial Aerodrome Certification Verification Audit as well as during Periodic Surveillance Audits to provide the aerodrome operator meets to demonstrate compliance through a self-assessment.
Appendix B	Aerodrome Core Item Checklist	Used as part of the initial Aerodrome Certification Verification Audit as well as during Periodic Surveillance Audits to ensure the aerodrome operator meets areas of necessary compliance. All items of the checklist must be annotated during an Aerodrome Certification Verification Audit however the Allocated Inspector may complete only parts of this checklist further to the agreed scope of a Periodic Surveillance Audits.

2.6 Model Process: Procedure

2.6.1 Audit Phases

Audits, including Aerodrome Certification Verification Audits, are divided into eleven phases:

Phase 1 - Audit Planning & Preparation

Phase 2 - Audit Notification

Phase 3 - Opening Meeting

Phase 4 - Audit Conduct

Phase 5 - Evaluation of Results

Phase 6 - Closing Meeting

Phase 7 - Notification of Audit Findings

Phase 8 - Corrective Actions

Phase 9 - Follow-up Actions

Phase 10 - Records

Phase 11 - Audit Closure

2.6.2 Phase 1 - Audit Planning & Preparation

Planning is vital to ensure that a surveillance programme is effective and efficient. The auditor shall have a complete and clear understanding of the aerodrome operator and its procedures.

The auditor are encouraged to gather as much as information prior to the audit and must verify the aerodrome operator's level of compliance with the latest published National Civil Aviation Regulations.

All audits must be planned in order to ensure that National Authority resources are correctly utilised and aerodrome operators are not unduly inconvenienced. The planning phase shall take into consideration:

- a) Access to the aerodrome;
- b) Presence of key personnel; and
- c) Knowledge of the audit process.

Management should appoint a lead auditor for an audit with two or more auditors. The lead auditor shall determine the scope of the audit in consultation with the rest of the team and if necessary conduct a briefing to establish the following:

- a) Information on the aerodrome and aerodrome operator;
- b) The audit scope, elements, targets, timings, etc;
- c) Roles and responsibilities of each auditor;
- d) Locations to be visited,
- e) Team travel arrangements;
- f) Opening and Closing Meeting arrangements; and
- g) Distribution of the relevant documentation.

2.6.3 Phase 2 - Audit Notification

For scheduled audits sufficient notice time, no less than two weeks, shall be given to the aerodrome operator.

2.6.4 Phase 3 - The Opening Meeting

The purpose of this phase is to:

- a) Explain the purpose of the audit including the objective and scope of the audit;
- b) Introducing different representatives;
- c) Provide short summary of the audit programme;
- d) Confirming the arrangements for the Closing Meeting;
- e) Plan and agree on alternative arrangements, where necessary;
- f) Confirm housekeeping arrangements (office to work from, escorts, etc.); and
- g) Confirm which auditees shall provide corrective actions to any findings.

2.6.5 Phase 4 - Audit Conduct

The task of the auditor when conducting the audit is to verify compliance with the National Law, National Civil Aviation Regulations and National Authority Publications and ensure that organisation's manual and procedures are appropriately documented and followed. In this regard, the auditor shall carefully review the regulation to identify the applicable requirements.

Note: The auditor always needs "Objective Evidence" taking into consideration that an audit is a fact finding mission, not a fault finding mission.

Each element of the audit shall be conducted with the following guidelines in mind:

- a) Identify the current practices;
- b) Establish that the practices are appropriate;
- c) Establish that the documentation matches the practices;
- d) Review the system for regulatory compliance;
- e) Identify any immediate safety-significant problems;
- f) Aerodrome operator's compliance to latest published regulations; and
- g) Other things to consider, such as:
 - i. Are the people appropriately trained/qualified?
 - ii. Are there sufficient controls in the system (quality assurance processes)?
 - iii. Shall the process continue if key personnel are not available (do they have a contingency)?
 - iv. When issues are uncovered ask "why" to get to the root cause of the problem and report on that root cause
 - v. Are the procedures in accordance with the National Civil Aviation Regulations and other National Authority requirements?
 - vi. Are the documents reviewed and approved adequately by authorised personnel prior to issue?

- vii. Are invalid or obsolete documents promptly removed from all points of use?
- viii. Are there any activities for which no document procedures exist?

Each auditor shall record the findings and notes of the audit on the audit checklist. This shall include sufficient detail to identify what was observed during the audit including details of records sampled, names of staff interviewed and deficiencies found.

2.6.5.1 Phase 5 - Evaluation of Results

The auditor shall evaluate the audit results to establish which findings are reportable. A finding is valid if it can be cross-referenced to the National Law, National Civil Aviation Regulation, guidance materials or any documents approved or accepted by the National Authority such as the Aerodrome Manual.

A finding is categorised as Level 1, Level 2 or Level 3.

2.6.5.2 Level 1 Finding:

a) Level 1 findings are those which pose a hazard to aircraft operational safety or which contravenes a legal requirement or which lowers safety standards. This non-compliance might be with the:

- applicable provisions of the National Law;
- National Civil Aviation Regulations;
- the aerodrome operator's certification requirements;
- conditions of an existing aerodrome certificate; or
- the aerodrome operator's procedures or systems.

In determining whether a Level 1 shall be assigned to a particular finding, the auditor shall exercise sound judgement and seek management concurrence, prior to formally reporting the finding

Consequence

- b) *Aerodrome Certification Verification Audit for aerodromes not yet in operation:* This category of finding, if not rectified by the aerodrome operator will result in restrictive conditions on the proposed aerodrome certificate or result in the refusal of the National Authority to grant an aerodrome certificate.
- c) *Aerodrome Certification Verification Audit for operating aerodromes or Periodic Surveillance Audits:* This category requires immediate corrective or containment action by the aerodrome operator, failure of which shall result in limitation or suspension of operations as well as limitation, suspension revocation of any existing aerodrome certificate.

Timeframe for Corrective Actions

- d) Depending on the seriousness of the finding, its impact on the safety and if necessary a risk assessment by the audit, the auditor may give the aerodrome operator, up to seven days to provide the appropriate corrective action plan.
- e) Where a particular Level 1 finding requires an immediate action, such as grounding an aircraft, the auditor shall notify verbally, followed by email to the organisation pending formal notification from the National Authority.

- f) However, some corrective actions may require a longer time than the time set by the auditor. It is up to the auditor to extend the timeline based on the corrective action plan provided by the aerodrome operator further to management approval.

Other Considerations

- g) If the Level 1 is confirmed, the auditor shall decide if the situation require enforcement action in the case of violation against national laws, demonstration of gross negligence, incompetence, or evidence of wilful act, sabotage, failure to give the National Authority access to the aerodrome operator's facilities or record, falsification of documentary evidence, malpractice or fraudulent use of the aerodrome certificate or absence of an accountable manager.

2.6.5.3 Level 2 Finding:

- a) ***A Level 2 finding non-compliance with National Civil Aviation Regulation or a finding against the aerodrome operator's procedures, which could possibly hazard the aircraft operational safety or which could lower safety standards.***

Consequence

- b) ***Certification Verification Audit for aerodromes not yet in operation:*** This category of finding, if not rectified by the aerodrome operator, must be supported by a corrective action plan which remediates the deficiency and is acceptable to the National Authority.

Time Frame for Corrective Action

- c) For Level 2 finding, the auditor, based on his/her judgment, may grant thirty (30) days for the corrective actions to be implemented. However, it is up to the auditor to extend the timeline based on the corrective action plan provided by the organisation.

Other Considerations

- d) Repeated or multiple Level 2 findings in a particular area could be an indication of deterioration of the aerodrome operator's standards and controls. In this case the auditor may decide to raise it to Level 1 and potentially place a restriction on operations.

2.6.5.4 Level 3 Finding:

- a) ***A level 3 finding is an observations or recommendation to improve safety standards and/or achieve a better practice by addressing:***

- opportunities for improvements; or
- deficiencies that may lead to potential findings.

Timeframe for Corrective Actions

- b) For Level 3, the auditor may grant up to three months for the corrective actions to be implemented however, not all Level 3 finding will necessarily warrant corrective actions and therefore may be closed based on the aerodrome operator's acknowledgement.

Other Considerations

- c) It is important when reviewing non-compliances to ensure that the statements made are factual, supported by objective evidence and are clear, concise and understandable. If there is any doubt as to the ability to support the conclusion made, then the finding shall be discarded.
- d) In addition to the above, the auditor shall always analyse the audit report and establish the following before presenting the final report:
 - Is the deficiency an isolated error or a system breakdown?
 - Is the aerodrome operator already aware of the problem?
 - Has the deficiency been reported during previous audits?
 - Can the corrective action rectify the problem before the report is prepared? If this is the case, it shall still be raised as a finding.

2.6.6 Phase 6 - The Closing Meeting

The purpose of the Closing Meeting is to ensure the following is established:

- a) To continue the communication process with the aerodrome operator's management and to feedback the results of the audit, together with any conclusions reached.
- b) To ensure that the aerodrome operator's management is aware of and fully understands the findings and associated implications, and what they need to do next.
- c) To mark the end of Phases 4 and 5.

The auditor shall cover the following items during the Closing Meeting:

- a) Explain the purpose of the meeting including the objective and scope of the audit, for the benefit of any participants who may not have been at the opening meeting.
- b) Thank the aerodrome operator for its cooperation, hospitality, provision of facilities and professional manner in which it participated in the audit process (as appropriate).
- c) The findings shall then be presented and accepted/rejected by the aerodrome operator if they are justified and documented.
- d) The auditor shall allow for some discussion on corrective actions of findings in order these are clear.
- e) If the findings are of significant nature, the auditor shall not leave the aerodrome operator's offices without a firm commitment from the aerodrome operator's management as to when the corrective actions shall be addressed to National Authority.
- f) The auditors shall try not to become involved in a debate on findings, but shall advise the organisation that these conclusions shall be followed by a notification of audit findings.

2.6.7 Phase 7 - Notification of Audit Findings

The National Authority shall provide the organisation with a formal report no later than 10 working days from the last day of the audit unless there is a Level 1 finding, in which case the report shall be raised as soon as possible but in no more than 3 working days from the date of detection.

The lead auditor shall complete the audit report. The following conditions shall be observed:

- a) All audit reports shall include a completed Aerodrome Core Item Checklist (*Reference: Appendix B*)
- b) Where an audit involves assessments over multiple disciplines, a single, consolidated report should be raised.
- c) Audit reports shall include an audit summary briefly explain the scope of the audit, its purpose, the location, the number of findings, the general impression, positive points etc.
- d) The date of a finding in the report shall reflect the actual date when the finding was discovered.
- e) Findings shall be recorded in order of severity.
- f) Each finding shall have a response based on the level of the finding and/or auditor's recommendation.
- g) The audit report shall be endorsed and dated by the auditor.
- h) The report is confidential and then it shall not be distributed to a third party without permission from management.

2.6.8 Phase 8 - Corrective Actions

Depending upon the nature and level of the findings, it is very important for the aerodrome operator to submit an action plan for corrective actions along with the root cause. A plan for corrective actions is a set of actions taken to immediately rectify the finding including preventive actions to ensure no new occurrence.

Once the proposed plan is received, the auditor may either accept or request further corrective actions even if a presentation of evidences from the operator is required. If additional information is required by from the aerodrome operator the auditor may extend the deadline of the action.

2.6.9 Phase 9 – Follow-up Actions

Follow-up is required prior to the closure of the audit to verify that all proposed corrective actions are implemented. The auditor may plan a follow-up audit to verify that the corrective actions are satisfactory completed. The results of the follow-up audit shall be recorded.

The auditor may hold face-to-face review meetings with the aerodrome operator to ensure timely follow-up on the corrective actions. The auditor will keep records of these meetings.

Whenever an audit finding has not been actioned within the time limit specified, the auditor shall attempt to determine the reason. If there is no acceptable reason for the delay, the auditor shall refer the matter to management for action. If there is no response further to management intervention then the matter may be considered in the context of enforcement action.

2.6.10 Phase 10 – Records

The auditor is responsible for ensuring that records for the audit are appropriately recorded.

2.6.11 Phase 11 - Closure of the Audit

When the corrective actions are found acceptable this should be documented and the audit is considered closed. The auditor shall notify the aerodrome operator when the audit is closed.

2.7 Model Process: Regulatory Surveillance and Enforcement

Auditors must be aware of the relationship between audit and enforcement action. During the course of an audit when an auditor discovers a finding which may result in enforcement action, the enforcement procedures should be consulted.

2.8 Model Process: Report of Finding following a Regulatory Amendment

When new or amended National Civil Aviation Regulations are introduced, there may be instances whereby aerodrome operators cannot immediately comply with the new requirements. If a finding is raised against a new requirement, the audit shall take this into consideration in agreeing to a timeline for corrective actions. Alternatively, the aerodrome operator may be asked to conduct an aeronautical study and apply for a deviation. The auditor shall follow-up to close the finding.

Appendix A

Model Aerodrome Pre-Audit Assessment Form

D.1 Aerodrome Pre-Audit Assessment

The National Authority may require all aerodromes to complete a pre-audit assessment prior to the National Authority undertaking certification validation or Periodic Surveillance Audits. This form is in support of process for aerodrome certification, transfer of an aerodrome certificate and on-going safety oversight activities.

D.2 Aerodrome Pre-Audit Assessment - Introduction

The Aerodrome Pre Audit Assessment form is considered to be “*Restricted – Management (when completed)*”

PURPOSE

The purpose of the Aerodrome Pre-Audit Assessment is allow the aerodrome operator to self-assess aerodrome safety elements prior to an audit and to demonstrate effective or planned implementation of its safety management system to the National Authority.

CONTENT

Part 1 - Confirmation of Aerodrome Details and Key Personnel including Aerodrome Post Holders

*For more information consult RASG-MID Safety Advisory-05 (RSA-05) –
Aerodromes Certification Toolkit*

Part 2 - Overview of the System for Organising and Managing Aerodrome Airside Safety

*For more information consult RASG-MID Safety Advisory-05 (RSA-05) –
Aerodromes Certification Toolkit*

Part 3 - Statement of the Physical Characteristics of the Aerodrome and the Level of Service Provided

GUIDANCE NOTES FOR COMPLETION

1. When completing the Assessment it is not necessary to duplicate large areas of other manuals; but provide full reference so answers can be easily found.
2. If the aerodrome operator considers any particular questions do not apply to their aerodrome, they should state this in the space provided for the answer and the National Authority auditor will discuss the matter at the next audit.
3. Queries relating to the completion of this should be directed to the assigned aerodrome auditor or principle inspector.
4. When the document is completed, it should be returned via e-mail to the National Authority with a copy to the assigned aerodrome auditor no less than two weeks before the scheduled audit.

D.3 Part 1 - Aerodrome Pre-Audit Assessment
Confirmation of Aerodrome Details and Key Personnel – including Aerodrome Post Holders

*For more information consult RASG-MID Safety Advisory-05 (RSA-05) –
Aerodromes Certification Toolkit*

D.4 Part 2 - Aerodrome Pre-Audit Assessment
Overview of the Systems for Organising and Managing Aerodrome Airside Safety

The following questions are intended to assist aerodrome management and National Authority in assessing the Safety Management System in operation at the aerodrome. The answers should encompass all organisations that work or have an influence on airfield activities.

*For more information consult RASG-MID Safety Advisory-05 (RSA-05) –
Aerodromes Certification Toolkit*

D.5 Part 3 - Aerodrome Pre-Audit Assessment
Statement of the Physical Characteristics of the Aerodrome and the Level of Service Provided

3.1 RUNWAYS & TAXIWAYS

3.1.1 RUNWAYS					
<p>1) Please complete/amend the table below (dimensions in metres).</p> <p>2) Highlight where National Civil Aviation Regulation minima are not met.</p> <p>3) Indicate areas where special procedures are required.</p>					
Runway	Reference Code (Number and Letter)	Runway Width	Bearing Strength (PCN)	Runway Strip Width	Comments
3.1.2 Criteria regulating the use of a pavement by an aircraft with an ACN higher than the PCN reported for that pavement.					

3.2 CALCULATION OF DECLARED DISTANCES

3.2.1 <i>Please fill in all the details for each runway</i>							
Runway		Dimensions		Instrument/Visual		Runway Magnetic Bearing	
TORA	Starts						
	Ends						
ASDA	Ends						
TODA	Ends						
LDA (based on approach slope)	Starts			Displaced Threshold:			
	Ends						
Undershoot (total)	From			RESA AVAILABLE:			
	To						
Over-run (total)	From			RESA AVAILABLE:			
	To						
Approach Surface Slope				If different from National Civil Aviation Regulations requirement give reason:			

Runway		Dimensions		Instrument/Visual		Runway Magnetic Bearing	
TORA	Starts					Runway Magnetic Bearing	
	Ends						
ASDA	Ends						
TODA	Ends						
LDA (based on approach slope)	Starts			Displaced Threshold:			
	Ends						
Undershoot (total)	From			RESA AVAILABLE:			
	To						
Over-run (total)	From			RESA AVAILABLE:			
	To						
Approach Surface Slope				If different from National Civil Aviation Regulations requirement give reason:			

3.3 TAXIWAYS

3.3.1 Taxiways <i>a) Please complete / amend the table below (dimensions in metres).</i> <i>b) Highlight where National Civil Aviation Regulation minima are not met.</i> <i>c) Indicate areas where special procedures are required. (If already completed, please only highlight any changes).</i>				
Taxiway Designator	Code	Width	Strip Width	Bearing Strength (PCN)

3.4 RUNWAY END SAFETY AREAS: (RESAs)

3.4.1 RESA <i>a) Please complete / amend the table below (dimensions in metres).</i> <i>b) Highlight where National Civil Aviation Regulation minima are not met.</i> <i>c) Indicate areas where special procedures are required. (If already completed, please only highlight any changes)</i>		
Runway	Undershoot RESA (metres)	Overrun RESA (metres)
RWY		
RWY		
RWY		
RWY		
3.4.2 Where a RESA Aeronautical Study is required; state the date that this was last reviewed.		

3.5 AERODROME GROUND LIGHTING (AGL)

3.5.1 Please highlight and describe any changes					
	INDICATE TYPE OF LIGHTS (e.g. HI OR LI)				REMARKS
RUNWAY (designator)					
Approach					
Supplementary					
PAPI					
APAPI					

LITAS					
Rwy Centreline					
Rwy Edge					
Threshold					
End					
TDZ					
Stopway					
Taxiway Edge					
Taxiway Centreline					
Illuminated Signs					
Illuminated Windsleeves					
Docking Guidance					
Floodlighting					
Obstacle					
Beacon					
Other (Helicopter?)					
3.5.2	a) Does your lighting comply with National Civil Aviation Regulation in all respects? <i>If NO, please identify and justify the non-compliance.</i> b) Describe any mitigating procedures you have put in place to ameliorate the reduced standard of safety.				YES / NO
3.5.3	What is the aerodrome policy on aerodrome lighting inspections and where is it documented?				
3.5.4	a) Are the apron and aircraft stands illuminated in accordance with National Civil Aviation Regulation? b) When was the last apron/aircraft stand luminance check carried out?				YES / NO
3.5.5	a) When did the last runway lighting inspection take place? b) Who conducted the last check? c) What was recorded and where?				

3.5.6	<ul style="list-style-type: none"> a) When did the last aerodrome AGL Flight Check take place? b) Who conducted the last check? c) What was recorded and where?
3.5.7	Describe the fault reporting and follow-up system that ensures faults are rectified?
3.5.8	<ul style="list-style-type: none"> a) What is the policy for checking the alternate input power supply to the AGL system? b) Who conducted the last check? c) What was recorded and where?
3.5.9	Are there any developments or changes to the AGL system planned?
3.5.10	How is the photometric performance of the AGL checked?

3.6 APRONS, STANDS AND HARDSTANDINGS

3.6.1	<p>Confirm that all aprons, stands and hardstandings meet the requirements of National Civil Aviation Regulation in terms of:</p> <ul style="list-style-type: none"> a) Slopes b) Markings c) Aircraft stand spacing d) Aircraft clearance from obstructions, etc
3.6.2	Identify any aprons, stands or hardstandings in use that do not comply with CAR Part IX, and describe any mitigating feature or procedures in place.
3.6.3	<p>Where there are any non-compliances, are these:</p> <ul style="list-style-type: none"> a) Listed as certificate deviations? b) Identified in the aerodrome AIP entry?

3.9 AERODROME MARKINGS & SIGNALS

3.9.1 What is the aerodrome policy and process on aerodrome inspections for markings, signals and signage?					
3.9.2 a) What is the date of the last inspection specifically for markings and signals? b) Was it conducted by Aerodrome Operations? YES / NO <i>If No, please indicate who conducted the inspection.</i>					
3.9.3 Do all signs, markings & signals comply with National Civil Aviation Regulation? YES / NO <i>If NO, please give details, and show a plan with dates to achieve compliance.</i>					
3.9.4 Indicate markings & signs provided, or provide a coloured diagram, or advise where such a diagram may be found.					
Runway Designator	RWY	RWY	RWY	RWY	REMARKS
Runway Threshold					
Aiming Point					
Touchdown Zone					
Runway Centreline					
Runway Edge Markings					
Runway Edge (Grass)					
Taxiway Centreline					
Taxiway edge					
Taxiway Intermediate Hold					
Runway Taxi-Holding Positions					
Signs	Mandatory				
	Information				
Boundary Markers					
Landing T/ Signals Area					
Windsleeve (Illuminated)					
Other Signals/Markings					

3.16 RUNWAY SURFACE FRICTION ASSESSMENT

3.16.1	<p>Do you have policies & procedures for the following areas of periodic friction assessment?</p> <p>a) Training in use of equipment?</p> <p>b) Record keeping?</p> <p>c) Maintenance of equipment?</p> <p>d) Where are the above policies and procedures documented?</p>	<p>YES / NO</p> <p>YES / NO</p> <p>YES / NO</p> <p>YES / NO</p>
3.16.2	<p>Please state: -</p> <p>a) Type of Continuous Friction Measuring Equipment (CFME) used for runway surface friction assessments</p> <p>b) Latest assessment friction readings for inner and both outer portions</p> <p>c) Date of most recent runway surface friction assessment</p>	
3.16.3	<p>a) Following the most recent runway surface friction assessment, are you aware of any portion of the runway having a friction level lower than Maintenance Planning Level?</p> <p style="padding-left: 20px;"><i>If YES what maintenance has been planned to improve friction values?</i></p> <p>b) Following the most recent runway surface friction assessment, are you aware of any portion of the runway having a friction level lower than Minimum Friction Level?</p> <p style="padding-left: 20px;"><i>If YES, what maintenance has been planned to improve friction values?</i></p> <p>c) If the answer to b) above is YES, has the runway concerned been notified by NOTAM as “may be slippery when wet”?</p>	<p>YES / NO</p> <p>YES / NO</p> <p>YES / NO</p>

Note: Please ensure that a complete copy of the most recent runway surface friction assessment is available during the audit.

3.17 AERODROME INFORMATION (AIP Entry)

AIP amendments other than those for permanent changes to declared distances or permanent changes to the RFF category are the responsibility of the aerodrome management, who may arrange permitted amendments directly with Aeronautical Information Service (AIS).

For more information consult RASG-MID Safety Advisory-05 (RSA-05) – Aerodromes Certification Toolkit

On behalf of the Aerodrome Operator, I confirm that the details for this Part 3 - Aerodrome Pre-Audit Assessment - Overview of the Systems for Organising and Managing Aerodrome Airside Safety are correct to the best of my knowledge.

Signed:

Name:

Organisation:

Date:

Appendix B
Model Aerodrome Certification Core Item Checklist

E.1 Application

The oversight of the initial Aerodrome Certification process as well as the on-going safety oversight of certificated aerodrome is support by the National Authority processes and associated forms. The Aerodrome Certification Core Item Checklist is used during the certification of aerodromes as well as during on-going safety oversight activities such as the Periodic Surveillance Audits.

The Core Item Checklist as published in the RASG-MID Safety Advisory-05 (RSA-05) – Aerodromes Certification Toolkit has been cut down to focus on the items most essential to Aerodrome Infrastructure and Maintenance. The other excluded portions of the checklist are also considered essential to safe aerodrome operations and should be undertaken separately or in parallel to any audit focusing on Aerodrome Infrastructure and Maintenance.

E.2 Model: Aerodrome Certification Core Item Checklist

Aerodrome Name:

Auditor Name:

Audit Dates:

Reference:

NO	CORE ITEM <i>Regulatory Reference</i>	AUDIT ITEM	FINDINGS / OBSERVATIONS
1	CERTIFICATION DOCUMENTATION		
	<i>For more information consult RASG-MID Safety Advisory-05 (RSA-05) – Aerodromes Certification Toolkit</i>		
2	SMS		
	<i>For more information consult RASG-MID Safety Advisory-05 (RSA-05) – Aerodromes Certification Toolkit</i>		
3	PHYSICAL CHARACTERISTICS		
3.1		Runway	
3.2		Runway Clear & Graded Area	
3.3		Runway Strip	
3.4		Delethalisation	
3.5		Aiming Point / TDZ	
3.6		Provision of RESA	
3.7		Provision of runway turn pads	
3.8		Taxiways	
3.9		Taxiway Strip	

NO	CORE ITEM <i>Regulatory Reference</i>	AUDIT ITEM	FINDINGS / OBSERVATIONS
3.10		Apron	
3.11		Markings	
3.12		Signage	
3.13		Location and conspicuity of wind sleeve	
3.14		Vehicle access roads	
ACTIONS:			
4	APRON MANAGEMENT		
	<i>For more information consult RASG-MID Safety Advisory-05 (RSA-05) – Aerodromes Certification Toolkit</i>		
5	AERONAUTICAL GROUND LIGHTING (AGL)		
5.1		Runway	
5.2		Taxiways	
5.3		Apron Lux Levels	
5.4		Obstacle Lighting	
5.5		Inspection & Maintenance Procedures	
5.6		Assessment of Photometric Testing	
5.7		Alternate Power Switch-Over Times	
5.8		Flight Checks	
5.9		PAPI Checks (location & survey)	
ACTIONS:			
6	RUNWAY/TAXIWAY INCURSION PREVENTION		
6.1	<i>For more information consult RASG-MID Safety Advisory-05 (RSA-05) – Aerodromes Certification Toolkit</i>		
7	RUNWAY SURFACE FRICTION		
7.1		Review of Runway Surface Friction Assessments	
7.2		Procedures / Documentation	
7.3		Training	
ACTIONS:			

NO	CORE ITEM <i>Regulatory Reference</i>	AUDIT ITEM	FINDINGS / OBSERVATIONS
8	FUEL MANAGEMENT		
		<i>For more information consult RASG-MID Safety Advisory-05 (RSA-05) – Aerodromes Certification Toolkit</i>	
9	WILDLIFE HAZARD CONTROL & HABITAT MANAGEMENT		
		<i>For more information consult RASG-MID Safety Advisory-05 (RSA-05) – Aerodromes Certification Toolkit</i>	
10	SURVEYS		
		<i>For more information consult RASG-MID Safety Advisory-05 (RSA-05) – Aerodromes Certification Toolkit</i>	
11	AERODROME SAFEGUARDING		
		<i>For more information consult RASG-MID Safety Advisory-05 (RSA-05) – Aerodromes Certification Toolkit</i>	
12	ON-AERODROME PROJECTS		
		<i>For more information consult RASG-MID Safety Advisory-05 (RSA-05) – Aerodromes Certification Toolkit</i>	
13	RUNWAY & MOVEMENT AREA INSPECTIONS		
13.1		Periodicity of inspections	
13.2		Personnel undertaking inspections	
13.3		Physical extent of inspections undertaken	
13.4		Defect-reporting system and loop closure (follow-up)	
13.5		Recording of inspections undertaken	
13.6		Sand Management	
ACTIONS:			

- END -