Regulatory framework and organizational structure of the CAA

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Outline

- ICAO and States roles
- Regulatory framework
- Organizational structure of the CAA

ICAO & States: *Two Complementary Roles*

ICAO

✈ Develops principles and techniques to be adopted in the Annexes

✈ Approves regional air navigation plans

States

✈ Implement Annexes SARPs

✈ Carry out their safety oversight responsibilities by implementing the eight critical elements

✈ Implement aviation infrastructure, services and equipment according to regional plans

Annex 14, Vol I

1.4 - Certification of aerodromes

1.4.1 States shall certify aerodromes used for international operations in accordance with the specifications contained **in this Annex** as well as other relevant ICAO specifications through **an appropriate regulatory framework**.

OACI

Normes et pratiques recommandées internationales

Annexe 14 à la Convention relative à l'aviation civile internationale

Aérodromes

Volume I
Conception et exploitation technique des aérodromes

Huitième édition, juillet 2018

La présente édition annule et remplace, à partir du 8 novembre 2018, les éditions antérieures de l'Annexe 14, Volume I.

Tous les renseignements relatifs à l'application des normes et pratiques recommandées figurent au Chapitre 1, section 1.2, et à l'Avant-propos.

ORGANISATION DE L'AVIATION CIVILE INTERNATIONALE

Annex 14, Vol I

1.4 - Certification of aerodromes

*Note: The most effective and transparent means of ensuring compliance with applicable specifications is **the availability of a separate safety oversight entity** and a well-defined safety oversight mechanism with support of appropriate legislation to be able to carry out the function of safety regulation of aerodromes.*

OACI — Normes et pratiques recommandées internationales

Annexe 14 à la Convention relative à l'aviation civile internationale

Aérodromes

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ORGANISATION DE L'AVIATION CIVILE INTERNATIONALE
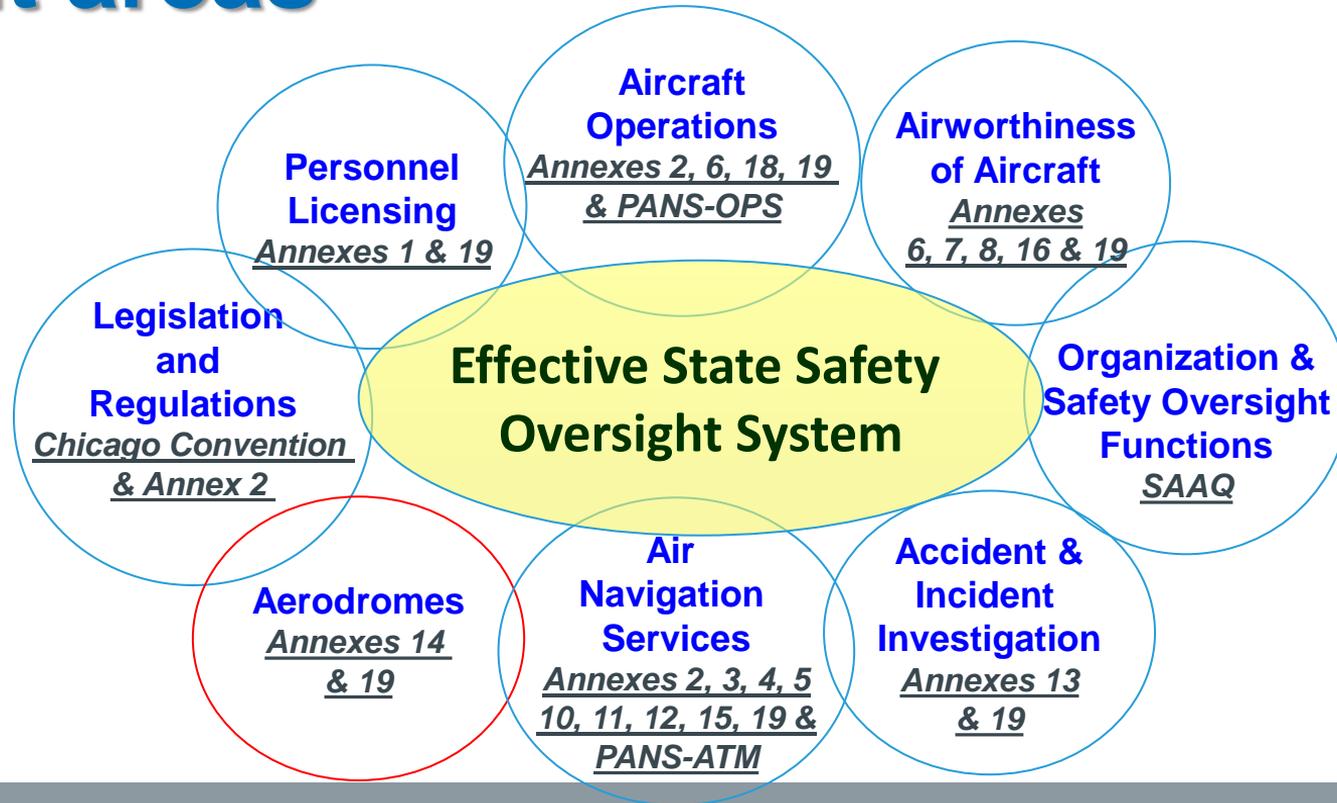
Safety Oversight

Function by which ICAO Member State ensure the effective implementation of :

✈ ICAO Standards and Recommended Practices (SARPs);

✈ the critical elements of a safety oversight system; and

✈ relevant safety practices and procedures.

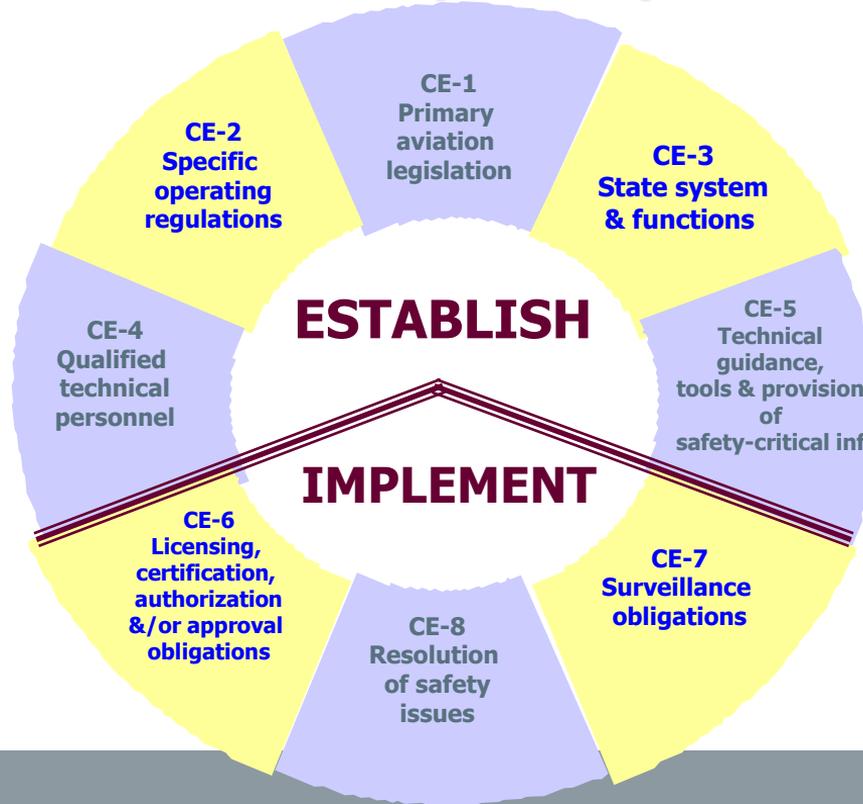***Safety oversight is a State's responsibility***

Audit areas

Personnel Licensing
Annexes 1 & 19

Aircraft Operations
Annexes 2, 6, 18, 19 & PANS-OPS

Airworthiness of Aircraft
Annexes 6, 7, 8, 16 & 19

Legislation and Regulations
Chicago Convention & Annex 2

Effective State Safety Oversight System

Organization & Safety Oversight Functions
SAAQ

Aerodromes
Annexes 14 & 19

Air Navigation Services
Annexes 2, 3, 4, 5 10, 11, 12, 15, 19 & PANS-ATM

Accident & Incident Investigation
Annexes 13 & 19

Critical Elements (CEs)

CE-1
Primary aviation legislation

CE-2
Specific operating regulations

CE-3
State system & functions

CE-4
Qualified technical personnel

ESTABLISH

CE-5
Technical guidance, tools & provision of safety-critical inf

IMPLEMENT

CE-6
Licensing, certification, authorization &/or approval obligations

CE-8
Resolution of safety issues

CE-7
Surveillance obligations

Regulatory framework

ICAO

✦ Chicago Convention
✦ Annexes (19)
✦ PANS (ATM, OPS, AGA)
✦ Manuals
✦ Guidance material
✦ Circulars

States

✦ Constitution
✦ Primary Legislation
✦ Regulation
✦ Procedure
✦ Manuals
✦ Directive
✦ Circulars

State's legislation and regulation

Covers legislation and regulations promulgated by the State to govern its aerodrome activities.

➢ *Chicago Convention : articles 15, 28 and 37*

➢ *Annexes 14 and 19*

Legislation

→ It may be part of general civil aviation law or act, or included in one or more specific law or act

→ The approval, promulgation and amendements should be well documented

→ Must contain provisions to enable the State through CAA to regulate and oversee aerodromes related activities (design, construction, certification and operation)

→ Must clearly define the authority responsible for regulating and supervising aerodromes including certification

→ Must include the delegation of power / authority to aerodrome inspectors, including the issuance of credentials for unlimited access to facilities, equipment and documents relating to aerodromes

→ Must include provisions for enforcement actions in case of violations, of aerodrome legislation/regulations

Aerodrome regulations

➤ State shall transpose the provisions of Annexes 14 and 19 into its national legal framework

➤ Shall be promulgated by the authority empowered in the legislation and duly published in accordance with national processes/procedures and practices

➤ Should cover the entire scope of annex 14, including aerodome certification requirements

➤ Define and implement a clear policy for the application of ICAO Recommended Practices to ensure enforceability

➤ Notify to ICAO, differences between annexes 14 and 19 standards and State regulations/practices and publish significant differences in the State's AIP

➤ Include a formal process for dealing with deviations, including exemptions and their notification

Procedures, guidelines and tools

→ Technical guidance in the form of processes, procedures, and job aids, to assist technical experts in implementing national regulations, procedures and practices

→ Technical guidelines on the implementation of applicable regulations and practices for both the technical staff and aerodrome industry

→ Adequate tools (facilities, equipment, documentation, transportation means, measurement tools, …) to enable aerodrome regulatory staff/inspectors to perform their safety oversight functions effectively and efficiently.

Organizational structure

Establish an entity within the CAA, responsible for Aerodromes Standards and Safety. The aerodrome regulatory authority should have:

➜ an approved organizational structure

➜ defined functions and responsibilities

➜ defined minimum qualification and experience criteria for aerodrome regulatory staff/inspectors and key management personnel

➜ Complete job descriptions for aerodrome regulatory staff and inspectors to cover all the Entity functions/responsibilities

Organizational structure
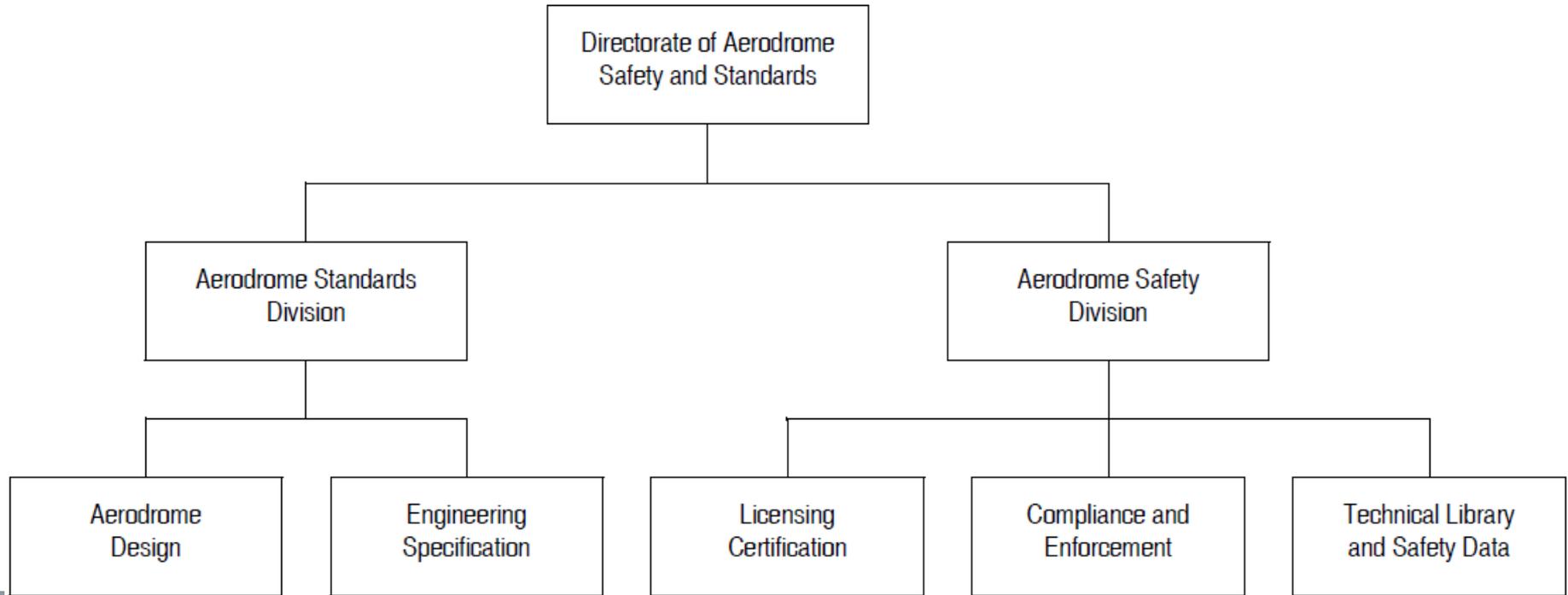
Technical staff

✈ Civil or electrical engineers with experience in aerodrome planning, operations and maintenance

✈ In support to the core staff, CAA may also consider persons with other qualification, experience and knowledge suitable for carrying out the duties of aerodromes inspector (*those with backgrounds in airport management, flight operations, air traffic control or RFF*) with minimal training in aerodrome engineering

✈ Number of staff – aspects to be considered : *assigned tasks, total number of aerodromes and number to be certified, surveillance activities, work time, trainings, …*

✈ Training policy, programme and plan covering initial, on-the-job, recurrent and specialized training, including a system to keep training records

North American
Central American
and Caribbean
(NACC) Office
Mexico City

South American
(SAM) Office
Lima

ICAO
Headquarters
Montréal

Western and
Central African
(WACAF) Office
Dakar

European and
North Atlantic
(EUR/NAT) Office
Paris

Middle East
(MID) Office
Cairo

Eastern and
Southern African
(ESAF) Office
Nairobi

Asia and Pacific
(APAC) Sub-office
Beijing

Asia and Pacific
(APAC) Office
Bangkok

THANK YOU