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AERODROME CERTIFICATION REQUIREMENTS

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ICAO ESAF





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.OUTLINE

Chicago Convention

State Obligations

Role and Responsibilities of Regulator



Why are we here???

CONVENTION
ON
INTERNATIONAL
CIVIL AVIATION
DONE
AT CHICAGO
ON THE
7TH DAY OF DECEMBER
1944





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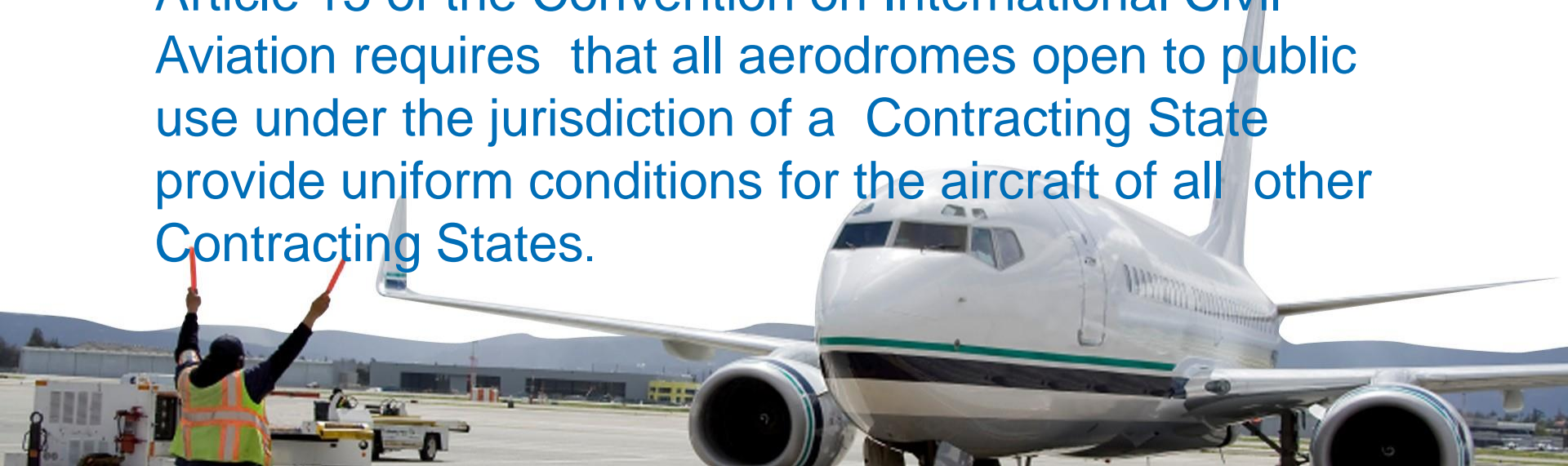
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Why to Certify?

- Article 15 of the Convention on International Civil Aviation requires that all aerodromes open to public use under the jurisdiction of a Contracting State provide uniform conditions for the aircraft of all other Contracting States.





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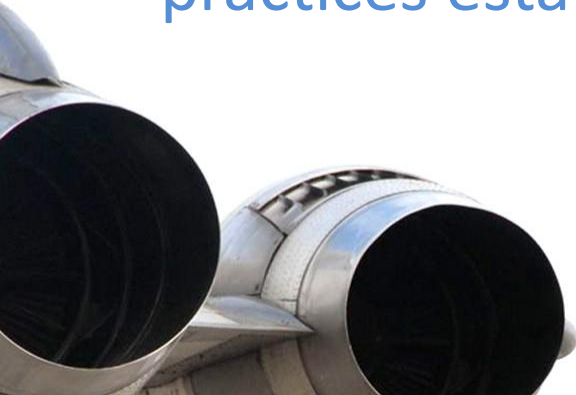
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Certification Requirements

Article 28 - Each State agrees to provide airports and air traffic services in conformance with standards and practices established under the Convention





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Certification Requirements

Article 37 - Each State agrees to implement in their national regulations the International Standards and Recommended Practices (SARPs) **and Procedures** adopted by ICAO in order to ensure the highest practicable degree of uniformity.



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Certification Requirements

STATES “OBLIGATIONS”:

➤ **Article 38** - Each State is required to notify ICAO immediately if it finds it impracticable to comply in all respects with any International Standard or Procedure (“filing of differences”).



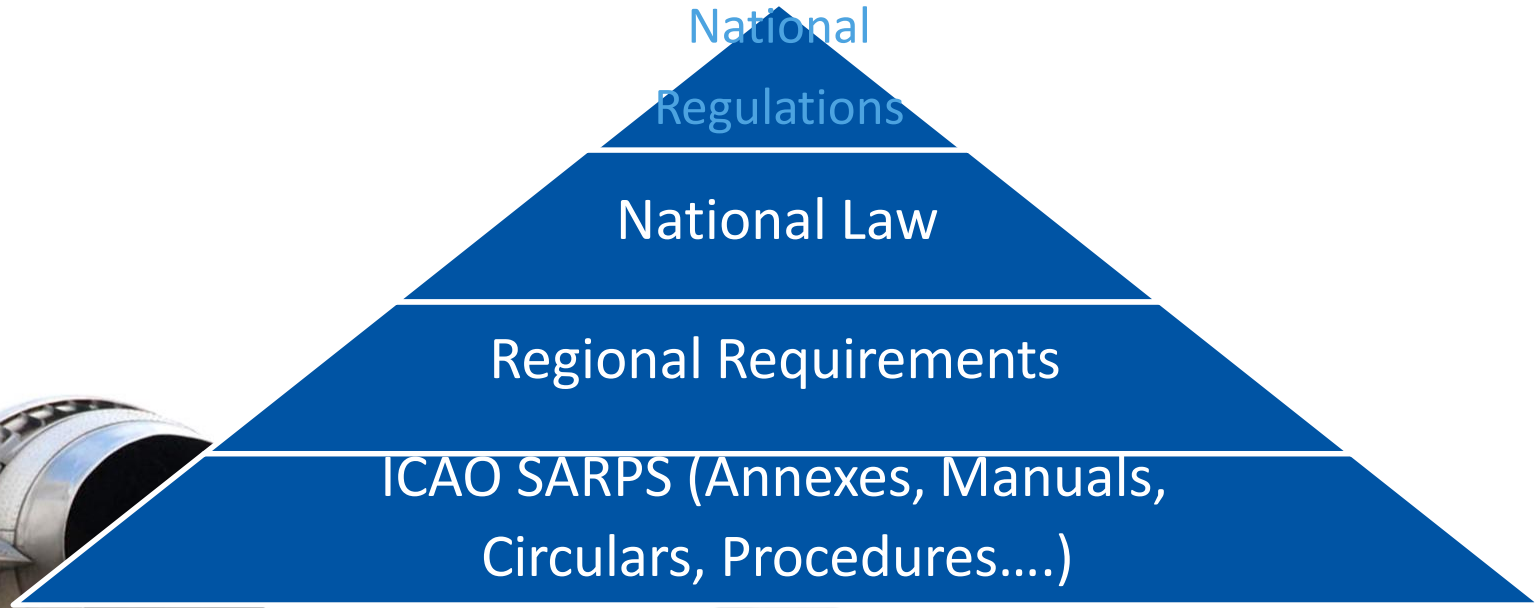
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ICAO Hierarchy vs. State Documentation





Obligations of the State

- An individual State's responsibility for safety oversight is the foundation upon which safe global aircraft operations are built. [?]
- Lack of appropriate safety oversight in one Contracting State, therefore, threatens the health of international civil aircraft operations.
- A state therefore needs to put in place prerequisite requirements to ensure effective Safety oversight of the Operators.



Obligations of the State

CRITICAL ELEMENTS OF A SAFETY OVERSIGHT SYSTEM

1. Primary aviation legislation
2. Specific operating regulations
3. State civil aviation system and safety oversight functions
4. Technical personnel qualification and training
5. Technical guidance, tools and the provision of safety critical information
6. Licensing, certification, authorization, and approval obligations
7. Surveillance obligations
8. Resolution of safety concerns





Why Certify?



"...the lighting and signage at the airport did not measure up to international standards..."



"...No barriers or markings were put up at the start of the closed runway..."





Why certify?

- It is a tool to guarantee the safety, regularity and efficiency of operations air transport.
- When a certificate is issued to the aerodrome, for aircraft operators and other organizations operating on it means that, at the **time of certification**, it complies with the specifications relating to the installation and its operation and which, in accordance with **certification authority**, the **ability** to continue to meet those specifications during the **validity** of the certificate.
- Establishes a benchmark for continuous monitoring of compliance with Specifications.



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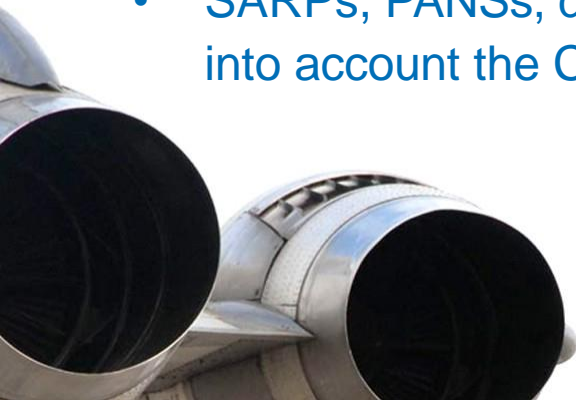
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Demands for States

- Standards and recommended practices (Annex 14)
- USOAP CMA Protocol (PQ's)
- Protocol (PQ) questions are the main instrument for assessing the level of Implementation of a State safety oversight system, they are based on:
- SARPs, PANSs, documents and other guidance material of ICAO, taking into account the Critical Elements.





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Certification Requirements

Annex 14, Vol. I - 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”





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Certification Requirements

Annex 14 Vol. I - 1.4.3 The regulatory framework shall include the establishment of a criteria and procedures for the certification of aerodromes.





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Certification Requirements

- **Annex 14 Vol. I -1.4.4** As part of the certification process, States shall **ensure** that an aerodrome manual which will include all pertinent information on the aerodrome site, facilities, services, equipment, operating procedures, organization and management including a safety management system, is **submitted by the applicant** for approval/acceptance prior to granting the aerodrome certificate.





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Scope of the initial Certification process?

- ✓ Infrastructure, Compliance and SARPs
- ✓ Operational procedures (day to day)



Responsibilities of the Regulator

- Ensure the aerodromes under the jurisdiction of the State offer a safe operational environment in accordance with the Convention on International Civil Aviation.
- Ensure that the State's obligation under Article 38 of the Convention to notify ICAO of differences between its national regulations and practices and the International Standards contained in Annex 14, Volume I, is met.



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Responsibilities of the Regulator

- **Establish basic legislation** to cover the development and enactment of civil aviation regulations, including aerodrome regulations consistent with its adoption of the Annexes to the Convention
- **Establish a safety oversight entity and mechanism**, to carry out the functions of certification regulations and continued surveillance.
- **Implement an aerodrome certification procedure** whereby the State certifies an aerodrome by first approving or accepting the aerodrome manual submitted by the aerodrome operator.



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Roles of the Regulator

- Initial and periodic inspection
- Approval/acceptance of Aerodrome manual
- Ensuring compliance with applicable regulations, Standards and Recommended Practices
- Assessing safety of aerodrome operation and maintenance
- Notifying differences to ICAO from any Standard, Procedure or Recommended Practice;



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Roles the Regulator

- Review of Aerodrome Safety Management System.
- Review of aerodrome notification and reporting.
- Establishing procedures and parameters for the conduct of aeronautical studies;
- Conduct Safety Audits
- Maintaining the currency of national requirements in line with Annex 14 amendments



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Roles the Regulator

- Compliance and Enforcement
- Developing and maintaining aerodrome standards
- Technical library and records
- Plan human resources requirements including identifying the qualifications, duties and responsibilities of aerodrome inspectors
- Enforcement related to Resolution of Safety Concerns
- Dealing with Findings i.e Corrective Action Requests and Corrective Action Plans
- Risk based Evaluation of CAPs



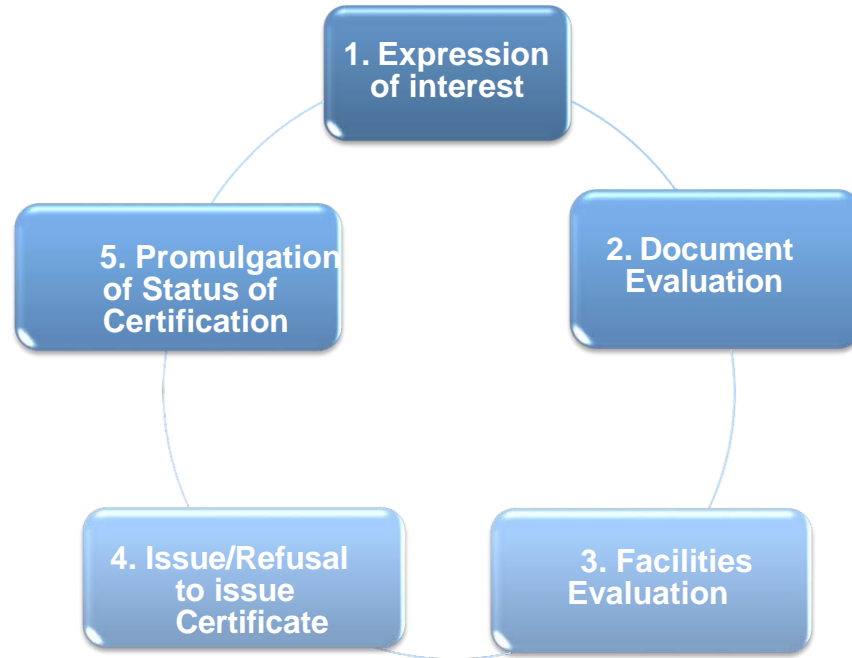
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Aerodrome Certification Process





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Aerodrome Certification Procedures

Grant of a certificate is subject to:

- Application meeting all regulatory requirements
- Compliance with all safety specifications including development of appropriate standard operating procedures
- On-site verification indicating adequacy of facilities and equipment
- Existence of a functional SMS, and
- CAA being satisfied with operator's competence to operate the aerodrome in a safe manner



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Aerodrome Certification Procedures

The aerodrome certificate may be **refused** or an existing certificate **suspended** for any of the following reasons:

- Any non-compliance with the CAA regulations and safety requirements
- Inadequate/unsafe operating procedures
- Not following approved safety procedures and other risk mitigation action in case of exemptions granted
- SMS not functional, inactive and ineffective and
- Any significant safety concern as assessed by the regulator



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PROTOCOL QUESTIONS

- Protocol Questions (**PQs**) are the primary tool used in the ICAO Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (**CMA**) for assessing the effective implementation of the eight critical elements (**CEs**) of a State safety oversight system.
- Developed based on ICAO Standards and Recommended Practices (SARPs), Procedures for Air Navigation Services (PANS) and ICAO guidance material, the PQs are revised periodically by ICAO to reflect amendments to the ICAO provisions and reference documents.



| PQ No. | Protocol Question | Guidance for Review of Evidence | ICAO References | CE |
|--------|--|--|--|------|
| 4.129 | Has the State promulgated regulations for AOC applicants to establish procedures to ensure that the flight manual is updated by implementing changes made mandatory or approved by the State of Registry? | Verify the establishment and implementation of: a) relevant State regulations; b) applicable certification process; and c) operations inspectors' procedures. | STD A6 Part I, 11.1 Part III, Section II, 9.1 GM A6 Part I, Att. E, 3.4 z) & 6 Part III, Att. E, 3.4 r) & 6 | CE-2 |
| 4.103 | Is the organizational structure of an AOC applicant reviewed to ensure that: a) duties, responsibilities and authorities are clearly defined, and b) functional tasks and lines of reporting are clearly delineated and duly documented? | 1) Verify that applicable operations inspection guidance material, manuals, etc. have been established and implemented. 2) Review exchange of letters with the appropriate authority. 3) Verify that the safety management, quality assurance management and emergency management systems have been: a) established; b) documented; and c) implemented. | 2.1.3 GM Doc 8335 Part II, C2 Part III, C5 | CE-6 |

Examples of
evidence to be
presented by State



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PPQs by CE

| 2020 PQs | | | CE-1 | | CE-2 | | CE-3 | | CE-4 | | CE-5 | | CE-6 | | CE-7 | | CE-8 | |
|----------|-------|-----|-------|-----|-------|-----|-------|-----|-------|-----|-------|-----|-------|-----|-------|-----|-------|-----|
| | TOTAL | PPQ | TOTAL | PPQ | TOTAL | PPQ | TOTAL | PPQ | TOTAL | PPQ | TOTAL | PPQ | TOTAL | PPQ | TOTAL | PPQ | TOTAL | PPQ |
| LEG | 23 | 14 | 14 | 9 | 6 | 5 | 0 | 0 | 0 | 0 | 3 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| ORG | 13 | 5 | 0 | 0 | 0 | 0 | 9 | 4 | 2 | 1 | 2 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| PEL | 93 | 35 | 0 | 0 | 13 | 6 | 6 | 1 | 7 | 0 | 10 | 2 | 40 | 22 | 10 | 4 | 7 | 0 |
| OPS | 126 | 34 | 3 | 0 | 11 | 4 | 10 | 1 | 5 | 2 | 20 | 1 | 56 | 22 | 14 | 4 | 7 | 0 |
| AIR | 186 | 33 | 0 | 0 | 41 | 5 | 14 | 1 | 12 | 3 | 37 | 10 | 59 | 11 | 10 | 2 | 13 | 1 |
| AIG | 84 | 24 | 8 | 4 | 11 | 5 | 10 | 2 | 4 | 1 | 42 | 7 | 0 | 0 | 0 | 0 | 9 | 5 |
| ANS | 122 | 27 | 3 | 0 | 6 | 2 | 16 | 0 | 14 | 0 | 2 | 0 | 27 | 7 | 47 | 18 | 7 | 0 |
| AGA | 143 | 40 | 2 | 1 | 21 | 6 | 7 | 2 | 7 | 2 | 14 | 1 | 51 | 17 | 32 | 9 | 9 | 2 |
| | 790 | 212 | 30 | 14 | 109 | 33 | 72 | 11 | 51 | 9 | 130 | 21 | 233 | 79 | 113 | 37 | 52 | 8 |



New PQs

- **8.204:**

Does the State ensure that aerodrome operators comply with requirements related to runway safety, including the establishment of a runway safety team?



New PQs

- **8.142:**

Has the State promulgated regulations relating to monitoring and reporting of information on the condition of the movement area and related facilities?



New PQs

- **8.144:**

Does the State ensure that personnel assessing and reporting runway surface conditions are trained and competent to perform their duties?



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Summary

- ✓ Chicago Convention.
- ✓ Why Certification
- ✓ Obligations of the State
- ✓ Roles and Responsibilities of Regulator
- ✓ Aerodrome Certification Process/ Procedures



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