

ICAO/FAA Aviation Workshop

Issuing & Maintaining Aerodrome Certification

Location: Trinidad and Tobago

Presented by: FAA, Southern Region

Date: October 2017



Federal Aviation
Administration



Objectives

- **Identify the need for aerodrome certification.**
- **Discuss ICAO and U.S. guidance associated with aerodrome certification.**
- **Determine the requirements of a aerodrome certification programme.**
- **Review the process of aerodrome certification.**





Aerodromes

This edition incorporates all amendments adopted by the Council prior to 5 March 2009 and supersedes, on 19 November 2009, all previous editions of Annex 14, Volume I.

For information regarding the applicability of Standards and Recommended Practices, see Chapter 1, 1.2 and Foreword.

Fifth Edition
July 2009

International Civil Aviation Organization

1.4 Certification of aerodromes

Note.— The intent of these specifications is to ensure the establishment of a regulatory regime so that compliance with the specifications in this Annex can be effectively enforced. It is recognized that the methods of ownership, operation and surveillance of aerodromes differ among States. 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. When an aerodrome is granted a certificate, it signifies to aircraft operators and other organizations operating on the aerodrome that, at the time of certification, the aerodrome meets the specifications regarding the facility and its operation, and that it has, according to the certifying authority, the capability to maintain these specifications for the period of validity of the certificate. The certification process also establishes the baseline for continued monitoring of compliance with the specifications. Information on the status of certification of aerodromes would need to be provided to the appropriate aeronautical information services for promulgation in the Aeronautical Information Publication (AIP). See 2.13.1 and Annex 15, Appendix 1, AD 1.5.

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.

1.4.2 **Recommendation.**— States should certify aerodromes open to public use in accordance with these specifications as well as other relevant ICAO specifications through an appropriate regulatory framework.

1.4.3 The regulatory framework shall include the establishment of criteria and procedures for the certification of aerodromes.

Note.— Guidance on a regulatory framework is given in the Manual on Certification of Aerodromes (Doc 9774).

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.

Note.— The intent of a safety management system is to have in place an organized and orderly approach in the management of aerodrome safety by the aerodrome operator. Guidance on an aerodrome safety management system is given in the Safety Management Manual (SMM) (Doc 9859) and in the Manual on Certification of Aerodromes (Doc 9774).

1.5 Safety management

1.5.1 States shall establish a State safety programme in order to achieve an acceptable level of safety in civil aviation.

Note.— A framework for the implementation and maintenance of a State safety programme is contained in Attachment C, and guidance on a State safety programme is contained in the Safety Management Manual (SMM) (Doc 9859).





U.S. Department
of Transportation

**Federal Aviation
Administration**

Federal Aviation Regulations

Part 139 –
Certification of Airports





Why certificate aerodromes?

Why Aerodrome Certification?

- Ownership and management of aerodromes differs throughout the world.
- Standardization of procedures and technical aerodrome elements is critical.
- Certification facilitates standardization.
- Certification and standardization enhance safety.



ICAO Documents Regarding Aerodrome Certification

- **Annex 14, Volume I, Aerodrome Design and Operations**
- **ICAO Document 9774, Manual on Certification of Aerodromes**
- **ICAO Document 9859, Safety Management**



1.4 Certification of aerodromes

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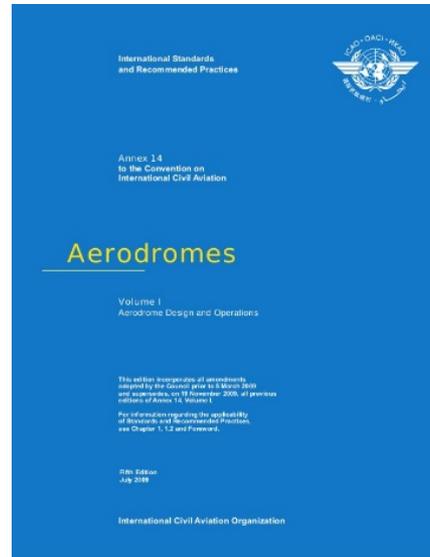
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Convention: Article 15

- **Requires that all aerodromes open to public use, under the jurisdiction of the country, provide access and uniform conditions for aircraft of all other contracting states.**
- **How do you do that?**
- **Through the Aerodrome Certification**



Annex 14 Requirements



- Applicable 2001, effective, 27NOV03, Annex 14, 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.”

Annex 14, Volume I

- **Certification of Aerodromes:**
 - **Applicable since 2001 for aerodromes open to public use;**
 - **Requirements for certification of aerodromes used for international operations;**
 - **Submission of an aerodrome manual and safety management systems (SMS)**
 - **Certification criteria; basis for;**
 - Aerodrome operational safety, adequacy of facilities and services assurance;
 - Adequately trained aerodrome inspectors.



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 SMS, is submitted...



Aerodrome Certification: Initial Requirements

- **Promulgation of basic aviation law**
- **Establish a State entity responsible for aviation (normally the CAA), having the authority to ensure compliance with established regulations**
- **Adopt aerodrome certification requirements and regulations regarding such actions.**
- **Develop and promulgate CAA regulations.**
 - Certification requirements.
 - Procedures, criteria and technical specifications.
 - Guidance material



Aerodrome Certification Requirements: Continued

- Develop CAA sub-element (Directorate of Aerodrome Standards and Safety, DASS) charged with responsibility for:
 - Evaluating DASS staffing requirements.
 - Developing technical tools for DASS staff (procedural guidance)
 - Aerodrome certification
 - Processing and evaluating LOIs
 - Evaluating and approving aerodrome manuals
 - Monitoring
 - Examining and evaluating any risk analysis submitted
 - Reviewing aerodrome SMS programmes.
 - Compliance.
 - Dealing with exemption requests



Aerodrome Certification Requirements: Continued

- **Establish procedures for:**
 - Application for grant of a certificate.
 - Assessment of aerodrome application
 - Granting and issuance of certificate
 - Duration of certificate
 - Exemption procedures
 - Transfer and amendment of certificate
 - Obligations under the certificate
 - Cancellation or surrender of the certificate



Application: Examples

APPLICATION FOR CERTIFICATE				FAA USE ONLY	
US Department of Transportation		<input type="checkbox"/> Airport Operating Certificate		Site Number	
Federal Aviation Administration		<input type="checkbox"/> Time-Limited Airport Operating Certificate			
Complete all sections of the form as indicated. Submit original and three copies of the form and two copies of the Airport Certification Manual to the headquarters of the appropriate FAA Regional Office.					
Type of Submission (Check One)					
<input type="checkbox"/> Original <input type="checkbox"/> Amendment <input type="checkbox"/> Exemption					
A. Location of Airport					
1. Name of Airport			2. Address (Number, Street, P.O. Box)		
3. City			4. County	5. State	6. Zip Code
6a. Latitude	6b. Longitude		Airport is:		
			a. State Licensed	<input type="checkbox"/> Yes	<input type="checkbox"/> No
			b. State Inspected	<input type="checkbox"/> Yes	<input type="checkbox"/> No
B. Ownership					
1. <input type="checkbox"/> Municipality <input type="checkbox"/> State <input type="checkbox"/> Military			2. Airport is <input type="checkbox"/> Civil		
<input type="checkbox"/> Corporation <input type="checkbox"/> County <input type="checkbox"/> Other (Explain)			<input type="checkbox"/> Mil/Civ Joint Use		
<input type="checkbox"/> Port Authority <input type="checkbox"/> Airport Authority			<input type="checkbox"/> Shared Use		
3. Name of Owner			4. Name of Manager/Operator		
Number/Street/P.O. Box			Number/Street/P.O. Box		
City County State Zip			City County State Zip		
C. Operative Data					
1. Certificate Applied For:			2. Fire Fighting Equipment (Check Current Index and ensure equipment is listed in ACM)		
<input type="checkbox"/> Class I <input type="checkbox"/> Class II <input type="checkbox"/> Class III <input type="checkbox"/> Class IV			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D <input type="checkbox"/> E		
3. Air Carriers Currently Served (UA, DL, CO, AA, etc.)			4. Air Carrier Aircraft Currently Served (737, DC-9, A-320, etc.)		
5. ARFF Exemption Applied For:			6. Other exemptions applied for:		
<input type="checkbox"/> Yes <input type="checkbox"/> No					
D. Remarks <input type="checkbox"/> Check here and use additional sheet of paper.					
E. Certification					
This application, including the Airport Certification Manual, is submitted in order to obtain an Airport Operating Certificate or Time-Limited Airport Operating Certificate. I certify, under penalty of 18 U.S. Code, Section 1001 and other applicable provisions of law, that the statements and information in the application form and manual are complete and true to the best of my knowledge.					
Applicant Signature			Applicant Address Number/Street/P.O. Box		
Applicant Name (typed)			City		

Close Full Screen





AIR OPERATOR CERTIFICATE
APPLICATION
AIRPORT - AERODROME

DEMANDE DE CERTIFICAT
D'EXPLOITATION AERIENNE
AEROPORT - AERODROME

File no. - Dossier n°

5268 -

5260 -

1. Name of Air Operator - Nom de l'exploitant aérien		Address - Adresse	
2. (a) Airport/Aerodrome - Aéroport/Aerodrome (Name and Geographic Coordinates - Toponyme et les coordonnées géographiques) - Identifier/Identificateur			
Aerodrome registered Aerodrome enregistré <input type="checkbox"/> Yes <input type="checkbox"/> No Oui Non		Airport - Aéroport <input type="checkbox"/> Public <input type="checkbox"/> Private <input type="checkbox"/> Day <input type="checkbox"/> Night <input type="checkbox"/> VFR <input type="checkbox"/> IFR Jour Nuit	
Reg. No. N° Enr. _____		Cert. No. N° Cert. _____	
Dated Date _____		Dated Date _____	
<input type="checkbox"/> Land Terre ferme		<input type="checkbox"/> Water Plan d'eau	
<input type="checkbox"/> Ice Sur glace		<input type="checkbox"/> Helipad Hélicoptère	
(b) Name of aerodrome or airport operator - Nom de l'exploitant de l'aérodrome ou de l'aéroport		Telephone No. - N° de téléphone	
(c) Air operator telephone, radio or other means of communications Téléphone, radio ou autres moyens de communications de l'exploitant aérien		(d) Air traffic control - Contrôle de la circulation aérienne <input type="checkbox"/> Yes <input type="checkbox"/> No Oui Non	
(e) Navigational and landing aids - Aides à la navigation et aux atterrissages <input type="checkbox"/> ILS <input type="checkbox"/> NDB <input type="checkbox"/> VOR <input type="checkbox"/> PAR <input type="checkbox"/> ASR <input type="checkbox"/> MLS		Hrs of operation - Heures d'exploitation To A	
(f) AERODROME EMERGENCY SERVICES - SERVICES D'URGENCE D'AERODROME			
(g) Uncertified or unregistered aerodrome, not in CFS, give runway details Aerodrome non certifié ou enregistré, non dans la DSV, indiquez les détails de la piste - (with/avec LAT. & LONG.)			
3. Facilities available at this airport/aerodrome Installation disponibles à cet aéroport/aerodrome		(b) Meteorological - Météorologie 1) Forecast - Prévision <input type="checkbox"/> Yes <input type="checkbox"/> No Oui Non	
(a) Communications		2) Weather Report - Bulletin <input type="checkbox"/> Yes <input type="checkbox"/> No Oui Non	
(c) Weather report contains all essential information normally found in DOT weather sequence Le rapport météorologique contient tous les détails essentiels normalement inclus dans le bulletin météorologique du M.D.T.		<input type="checkbox"/> Yes <input type="checkbox"/> No Oui Non	
(d) First Aid - Equipement de premiers soins		(e) Passenger accommodation - Hébergement des passagers	
(f) Hangar		(g) Refuelling facilities - Ravitaillement	
(h) Available surface transportation - Transport de surface disponible		4. Base <input type="checkbox"/> Main Principale <input type="checkbox"/> Sub- Secondaire	
Scheduled - Réguliers <input type="checkbox"/> Airport Aéroport <input type="checkbox"/> Aerodrome Aérodrome <input type="checkbox"/> Base		Type of operation - Type d'exploitation <input type="checkbox"/> Day Jour <input type="checkbox"/> Night Nuit <input type="checkbox"/> VFR <input type="checkbox"/> IFR	
5. (a) Aircraft types - Type(s) d'aéronef(s)		(b) Aircraft of 65,000 lbs. (MCTOW) and over Aéronef dont la MMHD est égale ou supérieure à 65,000 lb.	
(c) Pavement evaluation required Evaluation de l'état de surface exigée <input type="checkbox"/> Yes <input type="checkbox"/> No Oui Non		6. I hereby certify that the above information is correct - Je certifie par la présente l'exactitude des renseignements fournis ci-dessus.	
Date (Y-A - M - D-J)		Signature (of person duly authorized to execute this application on behalf of the air operator) (de la personne dûment autorisée à exécuter cette demande au nom de l'exploitant aérien)	
Title - Titre		FOR DEPARTMENT OF TRANSPORT USE - À L'USAGE DU MINISTÈRE DES TRANSPORTS	
7. Aerodrome Safety - Comments - Sécurité des aérodromes - Observations			
I hereby certify that the information specified herein is correct as listed in section 2.		Je certifie par la présente que les renseignements fournis ci-dessus sont corrects comme indiqués dans l'article 2.	
Date (Y-A - M - D-J)		Aerodrome Safety - Sécurité des aérodromes	
8. I hereby certify that the facilities listed in section 3 are satisfactory for the type(s) of aircraft and operation listed in sections 4 and 5.		Je certifie par la présente que les installations indiquées dans l'article 3 conviennent au(x) type(s) d'aéronefs et opération indiquées dans les articles 4 et 5.	
Date (Y-A - M - D-J)		Commercial and Business Aviation - Aviation commerciale et d'affaires	

26-0045 (0205-02)

INSTRUCTIONS
(see back - au verso)

Canada



Regulator's Responsibilities

- **Responsibility for safety and order at all aerodromes open for public use rests with each state.**
- **However, certification may not be applied at all aerodromes under its jurisdiction...each state decides at which aerodromes certification requirements apply.**
- **When determining certification requirements...remember, Annex 14 says that all aerodromes used for international operations shall be certified.**



Regulators Duties and Responsibilities

- **Initial inspection by the regulatory authority**
- **Periodic inspections by the regulatory authority**
- **Aerodrome Manual**
- **Aerodrome compliance with standards and practices**
- **Competence and training of aerodrome staff**
- **Aerodrome operation and maintenance**
- **Aerodrome Safety Management System**
- **Notification and reporting**



Issuing Certificates ICAO

ICAO Doc 9774, Manual on Certification of Aerodromes

3B.3.2 Before granting an aerodrome certificate, the CAA must be satisfied that:

- c) the aerodrome facilities, services and equipment are in accordance with the standards and practices specified by the State;
- d) the aerodrome operating procedures make satisfactory provision for the safety of aircraft; and
- e) an acceptable safety management



CAA Approval Letter: Example

Attachment 1

SUGGESTED FORMAT FOR AERODROME SAFETY INSPECTION REPORT

1 Certification

I have carried out a safety inspection of Aerodrome
for the year on

I meet the requirements of Part 1 (a) , (b) or (c) of Schedule 11. (please indicate as applicable)

The aerodrome safety inspection was conducted in accordance with the requirements set by the Civil Aviation Authority. The safety inspection procedure included an examination of evidence recorded in the course of the year and documented in the reports listed below.

The opinion expressed in this report has been formed on the above basis.

I hereby certify that to the best of my knowledge, and conditional upon rectification of any indicated deficiencies, the published aerodrome data is correct and that the aerodrome operating procedures and aerodrome facilities and equipment meet the applicable safety standards.

.....
(Signature of Aerodrome Safety Inspector)

.....
(Full Name of Aerodrome Safety Inspector)

.....
(Date)



Issuing Certificates ICAO

CAO Doc 9774, Manual on Certification of Aerodromes

3B.5 Duration of an aerodrome certificate

- An aerodrome certificate shall remain in force until it is suspended or cancelled or, alternatively, an aerodrome certificate shall be valid for years or until it is suspended or cancelled, whichever is earlier.



Issuing Certificates ICAO

ICAO Doc 9774, Manual on Certification of Aerodromes

3B.4 Endorsement of conditions on an aerodrome certificate

- After successful completion of the processing of the application and the inspection of the aerodrome, the CAA, when granting the aerodrome certificate, will endorse the conditions for the type of use of the aerodrome and other details as shown in Appendix 4.



Issuing Certificates ICAO

ICAO Doc 9774, Manual on Certification of Aerodromes

3B.6 Surrender of an aerodrome certificate

- 3B.6.1 An aerodrome certificate holder must give the CAA not less than days' written notice of the date on which the certificate is to be surrendered in order that suitable promulgation action can be taken.
- 3B.6.2 The CAA will cancel the certificate on the date specified in the notice.



Issuing Certificates ICAO

ICAO Doc 9774, Manual on Certification of Aerodromes

3B.8 Interim aerodrome certificate

- 3B.8.1 The CAA may issue an interim aerodrome certificate to the applicant referred to in regulation 3B.2 or the proposed transferee of an aerodrome certificate referred to in regulation 3B.7.1 authorizing the applicant or transferee to operate an aerodrome if the CAA is



Issuing Certificates ICAO

ICAO Doc 9774, Manual on Certification of Aerodromes

3B.8 Interim aerodrome certificate

- 3B.8.1 a) an aerodrome certificate in respect of the aerodrome will be issued to the applicant or transferred to the transferee as soon as the application procedure for the grant or transfer of an aerodrome certificate has been completed; and
- b) the grant of the interim certificate is in the public interest and is not detrimental to aviation safety.



Issuing Certificates ICAO

ICAO Doc 9774, Manual on Certification of Aerodromes

3B.9 Amendment of an aerodrome certificate

The CAA may, provided that the requirements of regulations 3B.3.2, 3C.5, and 3C.6 have been met, amend an aerodrome certificate when:

- a) there is a change in the ownership or management of the aerodrome;
- b) there is a change in the use or operation of the aerodrome;



Issuing Certificates ICAO

ICAO Doc 9774, Manual on Certification of Aerodromes

3B.9 Amendment of an aerodrome certificate

The CAA may, provided that the requirements of regulations 3B.3.2, 3C.5, and 3C.6 have been met, amend an aerodrome certificate when:

- c) there is a change in the boundaries of the aerodrome; or
- d) the holder of the aerodrome certificate requests an amendment.



CIVIL AVIATION AIRPORT CERTIFICATE

CERTIFICATE NO.

NAME OF AIRPORT

LATITUDE/LONGITUDE

This airport certificate is issued by the Minister pursuant to Part III of the *Canadian Aviation Regulations* under authority of the *Aeronautics Act* and authorizes the operator named in the approved Airport Operations Manual to operate this airport.

The Minister may suspend or cancel this airport certificate at any time where the airport operator fails to comply with the provisions set forth in the Act, the Regulations or for other grounds as set out in the Act.

This certificate is subject to any conditions established by the Minister pursuant to Section 302.03(3) of the Regulations and set out in the approved Airport Operations Manual.

This airport certificate is not transferable and shall remain in effect until transferred, suspended or cancelled.

MINISTER OF TRANSPORT

CERTIFICATE DATE OF ISSUE



Issuing Certificates U.S.

U.S. Department of Transportation
Federal Aviation Administration



AIRPORT OPERATING CERTIFICATE

This certifies that (Airport Owner/Operator) as owner and operator of (Airport Name, City, State)

has met the requirements of the Title 49 USC, Subtitle VII - Aviation Program, and the rules, regulations, and standards prescribed thereunder for the issuance of this certificate, and is hereby authorized to operate as a certificated airport in accordance with and subject to said statute and the rules, regulations, and standards prescribed thereunder, including but not limited to 14 CFR Part 139, and any additional terms, conditions, and limitations contained herein or in the approved Airport Certification Manual on file with the Federal Aviation Administration.

This certificate is not transferable and, unless sooner surrendered, suspended or revoked, shall continue in effect.

Effective Date:

By Direction of the Administrator

Reissue Date:

Issued at:

*_____
Manager, Airports Division*



Issuing Certificates U.S.

The basis for US airport certification is:

- Federal Aviation Act of 1958
- Airport Certification Program established 1973
- 14 Code of Federal Regulations (CFR) part 139



Issuing Certificates U.S.

FAA Order 5280.5C:

Is the handbook for Airport Certification Safety Inspectors (ACSI) in conjunction with 14 CFR part 139 and is used:

- To assist ACSIs as they direct airports to establish and maintain programs for enhancing and improving airport safety for the benefit of the community;
- To provide accurate guidance to ACSIs administering the program; and
- To ensure standardized application of program procedures and practices among the regional offices.



Issuing Certificates U.S.

Section 139.1, Applicability

The certification requirement is applicable to all airports in every State of the United States, the District of Columbia, and any territory or possession of the United States at which passenger operations of the following types occur:

- (1). Scheduled operations by small aircraft designed for 10 to 30 seats (except for the State of Alaska).
- (2). Scheduled operations by large aircraft designed for 31 or more seats.
- (3). Unscheduled operations by large aircraft designed for 31 or more seats



Issuing Certificates U.S.

139.101 General Requirements.

The airport operator of an airport identified in Section 139.1 must—

- **a.** Obtain an Airport Operating Certificate (AOC) appropriate to the level of service provided at the airport and
- **b.** Comply with the applicable requirements of Part 139, the AOC, and the Airport Certification Manual (ACM).



Issuing Certificates U.S.

139.103 Application for certificate.

Each applicant for an Airport Operating Certificate must—

- (a) Prepare and submit an application, in a form and in the manner prescribed by the Administrator, to the Regional Airports Division Manager.
- (b) Submit with the application, two copies of an Airport Certification Manual prepared in accordance with subpart C of this part.



Issuing Certificates U.S.

139.105 Inspection authority.

Each applicant for, or holder of, an Airport Operating Certificate must allow the Administrator to make any inspections, including unannounced inspections, or tests to determine compliance with 49 U.S.C. 44706 and the requirements of this part.



Issuing Certificates U.S.

139.107 Issuance of certificate.

- An applicant for an Airport Operating Certificate is entitled to a certificate if—
 - (a) The applicant provides written documentation that air carrier service will begin on a date certain.
 - (b) The applicant meets the provisions of §139.103.
 - (c) The Administrator, after investigation, finds the applicant is properly and adequately equipped and able to provide a safe airport operating environment in accordance with—



Issuing Certificates U.S.

139.107 Issuance of certificate (Con't.)

An applicant for an Airport Operating Certificate is entitled to a certificate if—

- (1) Any limitation that the Administrator finds necessary to ensure safety in air transportation.
- (2) The requirements of the Airport Certification Manual, as specified under §139.203.
- (3) Any other provisions of this part that the Administrator finds necessary to ensure safety in air transportation.
- (d) The Administrator approves the Airport Certification Manual.



Issuing Certificates U.S.

139.109 Duration of certificate.

An Airport Operating Certificate issued under this part is effective until the certificate holder surrenders it or the certificate is suspended or revoked by the Administrator.



Questions?

Warren Relaford
FAA Southern Region
Airports Division
404-305-6717
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