

Civil Aviation Authority of Nepal

# **Aerodrome Inspector Handbook**

**Third Edition  
December 2013**

Rev 02

Civil Aviation Authority of Nepal

Date: December 2013

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## FOREWORD

Nepal as a Contracting State to the Convention on International Civil Aviation has an obligation to the international community to ensure that civil aviation activities under its jurisdiction are carried out in strict compliance with the Standards & Recommended Practices contained in the eighteen Annexes to the Convention on International Civil Aviation in order to maintain the required aviation standards.

As per the standards of the Annex 14 to the Convention, Aerodromes used for International Civil Aviation are required to be certified by the State. In addition as per the Civil Aviation Authority of Nepal (CAAN), Airport Certificate Regulation – 2061 (2004) defines when an airport certificate must be obtained:

- (1) The operator of the airport that may be used for public purpose as per the national need must obtain the Airport Certificate.
- (2) The Airport Certificate must be obtained to operate international public air transportation service at any airport of the Kingdom of Nepal.
- (3) An application may also be submitted for the airport certificate to operate domestic airport except as referred to in sub-rule (2).

The Director General of Civil Aviation Authority of Nepal will issue an Airport Certificate only after confirming the fulfillment of the requirement under CAAN Airport Certification Regulation, B.S. 2061 (AD 2004). The regulatory rules and existing aerodrome physical facilities, its staff, equipment, and procedures shall be investigated in-depth by CAAN against the requirement under CAAN Airport Certification Regulation.

In order to issue an Airport Certificate the CAAN has to conduct an in-depth investigation to assess whether the aerodrome is maintained in accordance with the required standards and the competency of the aerodrome operator to maintain the aerodrome, staff, equipments, and procedures as per the regulatory Rules.

The regulatory Rules to be satisfied by the Aerodrome Operators for the certification of an aerodrome are specified in the CAAN Airport Certificate Regulation, 2061 (2004).

This handbook contains guidance material intended to assist CAAN Aerodrome Inspector(s) in carrying out their regulatory responsibilities for the issue, transfer, surrender and amendment of airport certificates.

Users of this handbook are reminded that the provisions of the *Civil Aviation Authority Act 1996 (2053)*, *CAAN Airport Certificate Regulations 2004 (2061)* and other applicable regulatory documentation, rather than this handbook, determine the requirements of, and the obligations imposed by or under, the civil aviation legislation. Users should refer to the applicable provisions when any doubt arises.

It is also expected that the applicant of an Airport Certificate will be benefited by this handbook as it explains the audit and inspection procedures while assessing the aerodrome manual, aerodrome physical facilities, equipment and aerodrome operating procedures.

This Authority may, without any prior notice, change the content of this manual as appropriate, to suit the administrative rules followed by dissemination of such changes to the holders of the handbook.

Director General  
Civil Aviation Authority of Nepal  
Babar Mahal, Kathmandu, Nepal

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## Chapter – 1 About This Handbook

### 1.1 Purpose of the Handbook

This handbook provides information and guidance to CAAN Aerodrome Inspector (AI) conducting safety oversight functions on aerodrome operations under the broad guidelines of Rule 6 of CAAN ACR 2004. It provides guidance for Inspectors involved in safety audits of aerodromes. It provides guidance to AI on the procedures to be followed:

- for the assessment of aerodrome operator's application for the certification of the aerodrome and recommendation to the DG CAAN for the issue, or refusal to issue, aerodrome certificates as required by **Rule 4 of CAAN ACR 2004**;
- for cancellation of an aerodrome certificate at the request of the aerodrome operators as per **Rule 10 of CAAN ACR 2004**;
- for the transfer of an aerodrome certificate at the request of an aerodrome operator as per **Rule 11 of CAAN ACR 2004**;
- for the amendment of an aerodrome certificate as per **Rule 13 of CAAN ACR 2004**;
- for suspending or cancelling of aerodrome certificate as per **Rule 16 of CAAN ACR 2004**.

Additionally, guidance is provided for answering enquiries related to the requirements of these actions.

This handbook establishes various actions required to be undertaken by Aerodrome Inspectors so that aerodrome operations within Nepal are maintained in accordance with;

- relevant aviation legislation that impacts on safe aerodrome operations, and specifically that which addresses aerodromes – **CAAN ACR 2004**;
- Civil Aviation Requirements for Aerodromes, CAR - 14 Part - I;
- Annex 14 to the Chicago Convention of the International Civil Aviation Organization (ICAO), Aerodromes Volume I; and
- Any other directives issued by the CAAN relevant to civil aerodromes.

This handbook defines the applicable national regulations and clearly sets out the:

- Responsibilities of CAAN AI; and
- Standards and procedures AI must follow while conducting CAAN safety oversight functions on aerodrome operators.

### 1.2 Scope of the Handbook

This handbook is part of the CAAN document set. It includes processes, flowcharts, letters, forms and other related support documents to aid CAAN AI when conducting entry control actions related to aerodrome matters.

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This handbook contains information for safety audit processes to be adopted for:

- (1) Civil airports.
- (2) International Civil airports
- (3) Domestic airports, others than those mentioned in (2) above

Responsibility for the development, implementation and maintenance of aerodrome standards rests with the CAAN. Specifically designated CAAN Aerodrome Inspectors are accountable for the ongoing tasks required to ensure that the contents of this handbook are being effectively implemented in order to satisfy the following objectives:

- a) to verify the effective implementation of aerodrome standards;
- b) to monitor the level of compliance with the provisions of CAAN ACR 2004.
- b) to determine the adequacy and effectiveness of the handbook through the establishment of legislation, regulations, inspections and audits;
- d) to ensure all persons who are assigned aerodrome audit duties or responsibilities are trained and instructed to carry out such duties;
- e) to ensure that violation of standards are investigated; and
- f) to review and re-evaluate aerodrome standards and controls immediately following an act of violation and on a periodic basis.

### **1.3 Overview and Concepts**

The system described in this handbook covers the following basic elements;

- a) Conduct of surveys by CAAN of various airport and other aviation stakeholders to determine aerodrome requirements;
- b) Setting out of operational standards by the CAAN through the requirement for, and approval of, aerodrome certificate (AC);
- c) Voluntary compliance (internal quality assurance) by the holders of aerodrome certificates;
- d) Surveillance, including the detection of non conformity with standards, conducted by the CAAN;
- e) Investigation and reporting of non compliance by the CAAN;
- f) Notification of violations to stated aerodrome operation requirements by the CAAN to aerodrome operators;
- g) Enforcement action by CAAN in case of non-compliance with requirements by aerodrome operators;
- h) Surveillance and detection of non conformity with aerodrome regulatory requirements as applied within Nepal, conducted by ICAO under the Universal Safety Oversight Audit Programme (USOAP).

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Under the CAAN ACR 2004 there is a requirement for aerodrome operators to develop and submit an aerodrome manual to the CAAN. Aerodrome manuals describe in detail how operators implement the various standards required of them. If an aerodrome manual is approved by the CAAN, it is an indication that, at the time, information and processes contained within the manual were to the standards required to be met by the operator, and that the aerodrome certificate holder is expected to consistently maintain compliance with the mandatory safety requirements. The contents of the manual form the basis for any audit or inspection conducted by the CAAN.

#### 1.4 Legislation, Regulations, Standards and Manuals

- Civil Aviation Authority of Nepal Act 1996 (2053 BS) provides the provisions for the establishment of CAAN;
- CAAN ACR 2004, which specifies:
  - requirements to be satisfied by the aerodrome operators for the certification of aerodromes in Nepal;
  - regulatory requirements on Safety Management Systems for Aerodrome Operators;
- CAAN CAR AD – 002 Exemption Procedures for Non-compliances at Aerodromes
- Civil Aviation Requirements for Aerodromes (CAR - 14, PART - I);
- Manual of Aerodrome Certification Procedures, CAAN.

#### 1.5 Amendment of This Handbook

- a) This handbook is issued as a controlled document. Each page is uniquely identifiable and amendments will be made from time to time to reflect necessary changes. All copies of the handbook are numbered and issued in accordance with the distribution list. All copy holders are responsible for the safe custody and maintenance of their numbered copy of the handbook.
- b) The ASSD of CAAN is responsible for the development, issue and control of amendments to this handbook. Individual handbook copy holders indicated on the distribution list are responsible for insertion of all amendments.
- c) Within 35 (thirty five) days of the issue of an amendment, confirmation will be provided to the ASSD that the required amendment action has been accomplished by the return of the amendment control page, signed and dated by the individual amending an issued Inspector Handbook.
  - Each handbook issued must show the amendment number and the date, as described in the list of effective pages.
  - All amendments will be shown in the Record of Amendment.
- d) Minor changes (e.g. telephone number, typographical errors) can be accommodated by 'pen and ink' if so indicated in any amendment documentation issued by ASSD's prior approval. All such changes will be incorporated accordingly.

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Distribution of the changes will be the same as described above and a record of these changes will be shown in the Record of Amendments. However, minor changes will generally be collated over a period of three to six months and action by a formal amendment.

## 1.6 Definitions and Abbreviations

### 1.6.1 Definitions

Aerodrome	A defined area of land or water (including any buildings, installations and equipment) intended to be used either wholly or in part for the arrival, departure and surface movement of aircraft.
Aerodrome Certificate	An Airport Certificate granting permission to operate airport pursuant to Rule 6 of CAAN ACR 2004 and the terms also include the Interim Airport Certificate granted pursuant to Rule 12.
Aerodrome Inspector	An employee of the Authority nominated to carry out typical duties such as to carry out Authority verification and examination of airport and the method of airport operation to be carried out in the airport by the Authority, to carry out field verification and examination of airport facilities and equipment and inspection from the flying aircraft and to carry out other flight study.
Aerodrome Manual	An Airport Manual to be attached with the application for Airport Certificate by the Airport Operator interested to obtain Airport Certificate pursuant to Rule 6 of CAAN ACR 2004.
Aerodrome Operator	The airport operation organization which has obtained Airport Certificate to operate airport pursuant to Rule 6 of CAAN ACR 2004 and which has been registered pursuant to the prevailing Nepal laws.

### 1.6.2 Abbreviations

AEP	Aerodrome Emergency Plan
AI	Aerodrome Inspector
ACR	Airport Certificate Regulation
AIP	Aeronautical Information Publication
AIS	Aeronautical Information Services
BCCIU	Bird Control Co-ordination & Implementation Unit (TIA)
CAAN	Civil Aviation Authority of Nepal
CAR	Civil Aviation Requirement

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DDG	Deputy Director General
ASSD	Aerodrome Safety and Standards Department
ATP&DD	Air Transportation Planning and Development Directorate
DG	Director General
FOI	Flight Operations Inspector
ICAO	International Civil Aviation Organization
MACP	Manual of Aerodrome Certification Procedures
CAR - 14, PART - I	Civil Aviation Requirements for Aerodromes
MS	Member Secretary
N/A	Not Applicable
Annex 14	Annex 14 to the Convention on International Civil Aviation
NCAR	Nepal Civil Aviation Regulation
NOTAM	Notice to Airman – a notice issued by the NOTAM Office and containing information or instruction concerning the establishment, condition or change in any aeronautical facility, service, procedure or hazard.
RCA	Request for Corrective Action

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## **Chapter – 2      Regulatory Authority and Responsibilities of CAAN**

### **2.1      General**

The primary responsibility of the Civil Aviation Authority of Nepal with respect to regulations and operations of aerodromes in Nepal is to ensure that:

- a) the aerodromes under the jurisdiction of Nepal offer a safe operational environment in accordance with the Convention on International Civil Aviation; and
- b) the obligation of Nepal 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. It is also recommended that differences between the Recommended Practices contained in the Annex 14 and the State's national regulations and practices be notified to ICAO.

This handbook contains information for safety audit processes to be adopted for:

1. Civil airports.
2. International Civil airports
3. Domestic airports, others than those mentioned in (2) above

### **2.2      Functions and Responsibilities of Aerodrome Safety and Standards Department (ASSD)**

#### **2.2.1      Aerodrome Certification**

These tasks and responsibilities of the ASSD include, but are not limited to:

- a) receiving, recording, reviewing and processing, in cooperation with the Flight Operations Inspector (FOI) of the CAAN, the expressions of interest received from an intending applicant for an aerodrome certificate;
- b) receiving, recording, reviewing and processing, in cooperation with the FOI of CAAN, the formal application for an aerodrome certificate, including the initial inspection covering the review of the aerodrome manual, on-site verification, inspection and testing of aerodrome particulars, facilities and equipment, including aeronautical studies;
- c) grant or refusal of an aerodrome certificate;
- d) receiving, recording, reviewing and processing applications for the transfer of an aerodrome certificate;
- e) grant or refusal of the transfer of an aerodrome certificate;
- f) receiving, recording, reviewing and processing applications for the surrender of an aerodrome certificate;
- g) cancelling or suspending an aerodrome certificate;
- h) grant of an interim aerodrome certificate; and
- i) reviewing the factors requiring the amendment of an aerodrome certificate and issuing the

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required amendments.

### 2.2.2 Notifications to Aeronautical Information Services and other Organizations

These tasks and responsibilities include:

- a) notifying aeronautical information services (AIS) of the certified status of an aerodrome and providing the particulars of the aerodrome described in the aerodrome manual for promulgation by the AIS;
- b) reviewing any amendments to aerodrome manuals and notifying AIS of the changes to be made in the AIS publications;
- c) coordinating with AIS in the review of any notification received from an aerodrome operator for promulgation by AIS, such as notification of:
  - inaccuracies in AIS publications;
  - changes in aerodrome facilities, equipment and level of services planned in advance;
  - obstacles, obstructions and hazards;
  - closure of any part of the maneuvering area;
  - immediate reduction in the level of service at the aerodrome and any other conditions that could affect the safety at or near the aerodrome and warrant precautions to be taken; and
- d) coordinating with other agencies and service providers such as aeronautical information service, air traffic services, designated meteorological authorities, and security.

### 2.2.3 Safety Audits

These tasks and responsibilities include:

- a) periodic or special on-site audits of the aerodrome safety management system including verification of the aerodrome, and data published in the aeronautical information publication (AIP) and inspection of the aerodrome facilities, equipment and operating procedures; and
- b) review of the aerodrome operator's daily audits and special safety audit reports and actions thereon.

*Note.—*

- (1) *An aerodrome audit programme should operate on the principle that the aerodrome certificate holder's internal audit programme is of primary importance and that the CAAN's audits are conducted to review and evaluate that programme and, in addition, to independently check and verify the particulars of the aerodrome notified in the AIP, as well as the aerodrome operating procedures, safety measures, facilities and equipment.*
- (2) *Periodic inspections are therefore required to ensure that aerodrome certificate holders meet their obligations under the terms of the certificate, as set out in **Rule 8 of CAAN ACR 2004**, and the requirements of the approved aerodrome manual.*
- (3) *The frequency of inspections may correspond to the class of the aerodrome as categorized by the CAAN but at least once in a year.*
- (4) *The tasks and responsibilities associated with periodic inspections are described in 2.4.2. These tasks may be carried out in the following phases*
  - a) *Pre-inspection briefing* with aerodrome management, including coordination with air

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traffic control tower personnel.

- b) *Administrative inspection* of the aerodrome safety management system, including such items as:
- current NOTAMs;
  - medical and RFF training records;
  - aviation fuel suppliers' safety records;
  - fuelling agents' certificates and fire safety training records;
  - documentation of the annual review of the aerodrome emergency plan, including full-scale emergency exercises; and
  - the aerodrome operator's records of the safety audits of fixed-base operators, ground handling agents and other agencies engaged in airside activities.
- c) *Movement area inspection* including:
- the inspection and checking of runways and taxiways in order to ascertain the condition of pavements, markings, lighting, signs, shoulders, strips and runway end safety areas;
  - checking for potentially hazardous conditions if construction work is in progress, such as excavations, trenches, stockpiled material, inadequate construction area markings, construction equipment in the movement area and inadequate marking and lighting of temporary thresholds;
  - checking ground vehicle operations in the movement area to verify that only authorized vehicles have access to the area and that the required procedures are being followed, the vehicles are properly marked and the drivers know and use the proper communication terminology;
  - checking that the public is protected against unauthorized entry to the movement area and against jet or propeller blast;
  - checking for wildlife hazards and wildlife attractants; and
  - checking landing direction indicators and wind direction indicators.
- d) *Rescue and fire-fighting* including:
- the checking of training records;
  - random testing of the knowledge of firefighters;
  - checking that the equipment is in position, is functional and meets the category requirements;
  - conducting a time response drill;
  - checking the alarm system; and
  - checking and examining proximity suits, other protective clothing and fire-fighting and rescue tools and supplies in the inventory.
- e) *Fuel facilities* including the examination of the inspection records by qualified and authorized personnel, particularly checking that the aerodrome fire-fighting standards are adequately covered in the inspection checklist, and spot checking, including fuel sampling, for compliance with the applicable requirements.

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- f) *Night inspections* including the evaluation and checking for compliance with the standards related to:
- runway, taxiway and apron lighting and signage;
  - pavement markings;
  - aerodrome beacons;
  - wind direction indicator lighting;
  - obstacle lighting and the marking; and
  - lighting of construction areas.
- g) *Post inspection briefing* with the aerodrome management, including the determination of appropriate enforcement action for non-compliance with the regulations.

#### 2.2.4 Other Safety Functions

These tasks and responsibilities include:

- a) a first-hand evaluation of full-scale airport emergency exercises to identify problems and deficiencies;
- b) the provision of guidance at the design and construction stages of aerodrome projects, particularly complex projects or where there is significant work that may impact compliance with the regulations;
- c) final inspection of completed projects involving complex or significant work to identify problems or deficiencies that need to be corrected in order to comply with the requirements of the regulations; and
- d) the organization of, and participation in, aerodrome safety seminars and other training programmes to promote a safety culture.

#### 2.2.5 Compliance and Enforcement

##### **Introductory Notes:-**

- (1) *It is the responsibility of aerodrome operators to comply with the requirements of the aerodrome certification regulations. Aviation safety at aerodromes depends primarily on voluntary adherence to these requirements by the aerodrome operators. Promoting compliance with the regulations through education, training and counseling is therefore of primary importance, and only when these efforts have failed should formal enforcement action be taken. Sanctions can be administrative or legal depending on the severity of the violation of the regulations and its impact on aviation safety.*
- (2) *Administrative action in the form of a warning letter or correction letter may be considered appropriate when legal action is deemed unnecessary. Administrative enforcement action is intended to bring the violation to the attention of the aerodrome operator, to document corrective action and to require future compliance. Such actions are warranted when the violation does not result in a significant unsafe condition, is not caused by incompetence or lack of required qualifications on the part of the aerodrome operator, is not deliberately caused, the attitude of the operator is constructive and positive towards compliance with the regulations and there is no history of such a violation by the operator.*
- (3) *Formal legal enforcement action may be warranted to prevent future violations of the regulations. Such action may include the issuance of cease-and-desist orders and injunctions*

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*and the imposition of sanctions after the act to deter violations. Such sanctions may include revocation, suspension or amendment of the certificate. Legal enforcement actions are pursuant to **CAAN ACR 2004**.*

- (4) *In determining the appropriate type and measure of sanction to be applied, the factors to be considered may include the nature of the violation, whether it was deliberate or inadvertently caused; the potential or actual hazard to aviation safety created by the violation; the aerodrome operator's level of responsibility; records of previous violations; the operator's attitude toward the violation, including whether the operator voluntarily disclosed the violation and whether action was taken to correct it; the impact of the proposed sanction on the violator and its value as a deterrent to other operators in similar situations.*
- (5) *Certificate-related legal sanctions can have a significant impact on air services and may also have other repercussions. Since the public interest and aviation safety are the principal objectives of aerodrome certification regulations, recourse to the imposition of sanctions may be warranted only after all other means of resolving safety violations have failed to ensure compliance.*

These tasks and responsibilities include:

- (a) Suspension of an aerodrome certificate, if:
- the aerodrome operator's safety management system is found to be inadequate;
  - it is in the interest of operational safety;
  - all other means for timely correction of the unsafe condition or ensuring safe aircraft operations have not yielded the required results;
  - the technical proficiency or qualifications of the aerodrome operator to perform the duties to meet the critical safety requirements in accordance with the regulations are found inadequate;
  - the operator resists or is unwilling to take action to correct or mitigate the condition affecting aviation safety; or
  - the operator willfully fails to perform an already agreed upon corrective action and suspension of the certificate is the last resort to avoid unsafe operations in the aerodrome movement area.
- (b) Revocation of an aerodrome certificate, if the aerodrome operator:
- is incapable or unwilling to carry out corrective action or has committed/repeated serious violations;
  - has demonstrated a lack of responsibility, such as deliberate and flagrant acts of non-compliance or falsification of records jeopardizing aviation safety; or
  - has made it convincingly clear that the continued operation of the aerodrome will be detrimental to the public interest.

### 2.2.6 Aerodrome Standards

These general tasks and responsibilities include the following:

- a) reviewing ICAO State letters on the subject of aerodromes, preparing responses thereto and taking action thereon;
- b) developing and continuing to review Civil Aviation Requirements for Aerodromes (CAR - 14, PART - I) and other national standards and practices for aerodrome design, operation and maintenance, and engineering specifications;

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- c) developing and issuing orders, rules, advisory circulars and guidance material relating to aerodrome standards and practices;
- d) reviewing plans and designs for new aerodromes or the further development of, or modification to, existing aerodromes, submitted to the CAAN for approval, to ensure that the requirements of the national regulations, standards and the ICAO SARPs are complied with; and
- e) advising the aerodrome inspectors (AI), as required, on aerodrome standards and practices.

## 2.3 Technical Library and Records

*Introductory Note:- To enable Aerodrome Inspectors (AI) to keep abreast of the subject of aerodrome design, specifications, operation and maintenance, it is essential to establish a properly organized and administered technical library. The library should contain all documents issued by ICAO relating to the design, operation and maintenance of aerodrome facilities and equipment, and all national standards, rules, orders, advisory circulars and guidance materials. Additionally, the standards and other relevant documentation issued by other States which are commonly used as reference material, and important textbooks and magazines on the subject should also be kept in the technical library. It is important that the documents in the library be promptly amended to keep them current.*

The main objective of the establishment of the technical library for ASSD is:

- (a) to maintain files for each aerodrome including certified aerodromes;

*Note:- The file for each certified aerodrome should contain records from the expression of interest stage to the issuance or refusal of the certificate, and the file should remain open thereafter for further documentation and correspondence on the subject. Additionally, an aerodrome certificate register should be maintained for each aerodrome as well as a reference log of the date of issue of important letters, forms and certificate numbers.*

- (b) to maintain close liaison with the Accident Investigation and Prevention Committee of Nepal to obtain data on aircraft accidents and incidents at or near aerodromes for use by Aerodrome Inspectors (**Members of ASSD**) in their continuing work.

## 2.4. Qualifications, Duties and Responsibilities of Aerodrome Inspectors (AI)

### 2.4.1 Qualification of Aerodrome Inspectors (AI)

- (a) Aerodrome inspectors may be engineers (civil or electrical) with adequate experience in aerodrome planning, operation or maintenance and should possess a sound knowledge of the national legislation, standards and practices, and ICAO Annex 14, Volume I, all relevant manuals published by ICAO. Flight training, airport management experience and knowledge of modern safety management systems are desirable qualifications.
- (b) The CAAN may also consider hiring persons with other qualifications, experience and knowledge suitable for carrying out the duties of aerodrome inspector, subject to any conditions that the CAAN may have regarding the person's qualifications, experience and knowledge. Such persons may have airport management, flight operations or air traffic control

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backgrounds. Training in the appropriate elements of aerodrome engineering relevant to aerodrome inspection should be an essential requirement.

## 2.4.2 Duties and Responsibilities of Aerodrome Inspectors (AI)

Aerodrome Inspectors (AI) will report to the chief of the ASSD and will be responsible for carrying out the functions described in 2.2.1 to 2.2.5. Adequate on-the-job training should be provided before entrusting the whole spectrum of aerodrome inspection duties to an inspector.

The typical duties of Aerodrome Inspectors (AI) should include but not be limited to:

- a) verification of the aerodrome data in the aerodrome manual including details of:
  - the location of the aerodrome;
  - the name and address of the aerodrome operator;
  - the movement area;
  - the runway declared distances available;
  - aeronautical ground lighting;
  - ground services; and
  - notices of special conditions and procedures, if any;
  
- b) on-site verification and audits of aerodrome operating procedures including:
  - the overall aerodrome safety management system;
  - the aerodrome emergency plan and periodic aerodrome emergency exercises;
  - rescue and fire-fighting;
  - inspection and maintenance of aeronautical ground lighting;
  - promulgation of changes to published aerodrome information;
  - the prevention of unauthorized entry to the aerodrome, particularly the movement area and protection of the public against jet or propeller blast;
  - the operator's daily inspection of the aerodrome;
  - the planning and carrying out of aerodrome construction and maintenance work including compliance with construction safety requirements;
  - apron management and parking control;
  - the control of vehicles operating on or in the vicinity of the movement area;
  - wildlife hazard management;
  - the monitoring of obstacle limitation surfaces and notification;
  - the removal of disabled aircraft;
  - hazardous materials, including aviation fuel;
  - the protection of radar and navigational aids; and
  - low-visibility operations;
  
- c) on-site checking and testing of aerodrome facilities and equipment including:
  - the dimensions and surface conditions of run-ways, taxiways, stopways, runway end safety areas, runway and taxiway strips, shoulders and aprons;
  - aeronautical ground lighting systems including flight check records;
  - standby power;
  - landing direction indicators and wind direction indicators, aerodrome markings and markers;

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- guidance signs and warning signs in the movement area;
  - aerodrome maintenance equipment;
  - disabled aircraft removal plan;
  - wildlife control equipment;
  - the presence of obstacles in obstacle limitation surfaces;
  - runway visual range measuring equipment;
  - the presence of dangerous lights;
  - rescue and fire-fighting equipment;
  - fuelling facilities; and
  - runway surface friction measuring equipment;
- d) flying assessments and aeronautical studies at aerodromes:
- in cooperation with the Flight Operations Inspector of the CAAN and other specialists as required, organize flying assessments at aerodromes and conduct aeronautical studies, if and where permitted by the national regulations, standards and practices;
- e) general duties:
- all other functions relating to the certification of aerodromes including:
    - receiving and processing of expressions of interest and applications for aerodrome certificates;
    - processing requests for the amendment, transfer or surrender of certificates or requests for interim certificates;
    - reporting to AIS;
    - initiating NOTAMs and determining appropriate enforcement action in the event of non-compliance with the regulations.

### 2.4.3 Aerodrome Inspector (AI) Powers and Authority

Aerodrome Inspectors carry formal authorizations, to be produced if required, enabling them to exercise their powers in accordance with the **Rule 29 of CAAN ACR 2004**. These powers include the ability:

- a) to inspect any part of any aerodrome;
- c) to investigate and test the effectiveness of aerodrome practices and procedures;
- d) to require an aerodrome operator, aerodrome manager or occupier of land outside the aerodrome occupied for business purposes in connection with the aerodrome to provide information relevant to inspections, surveys, tests and investigations;
- e) to enter on any land or in any buildings, access to which is necessary, for the purpose of inspecting an aerodrome; and
- f) to record an operation, procedure or installation in written, photographic or other electronic form.

The above powers apply equally to air navigation installations. Furthermore, Aerodrome Inspectors are allowed to take into restricted zones of airports, and use, any equipment necessary to their duties, including cameras, video recorders and tape recorders. These powers may be exercised when CAAN Aerodrome Inspectors are conducting audits, surveys and inspections.

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## Chapter - 3 Responsibilities of Aerodrome Certificate Holders

### 3.1 Requirement for Aerodrome Operation

The general requirement for some aviation entities and service providers is to develop aerodrome manuals and submit them to the CAAN for formal review and approval as per **Rule 22 of CAAN ACR 2004** along with the application for the certification of aerodromes as per **Rule 5**.

As per **Rule 4 of CAAN ACR 2004** an aerodrome certificate must be obtained:

- a) for the airport that may be used for public purpose as per the national need; and
- b) to operate international public air transportation service at any airport of Nepal.
- c) An application may also be submitted for the airport certificate to operate domestic airport except as referred to in sub-rule (2).

Certified aerodromes must have a current approved aerodrome manual to describe aeronautical data and other information specific to each particular aerodrome.

Aerodrome Certificate Holder must coordinate and follow up to publish the certified status of the aerodrome and details as per the aerodrome manual in the AIP.

### 3.2 Aerodrome Manuals

#### 3.2.1 Submission of Aerodrome Manuals

An aerodrome manual is required to be submitted to CAAN as a component of a formal application for certification.

#### 3.2.2 Approval of Aerodrome Manuals

Upon receipt of a submitted aerodrome manual, the DG CAAN has authority to approve, reject or require modification to the submitted aerodrome manual. Notification to the aerodrome operator of any disapproval or requirement for modification will be made in writing. Where an aerodrome manual is approved and the other elements of certification have been complied with, an aerodrome certificate will be issued.

An approved aerodrome manual also provides a basis for on-going surveillance of aerodromes and aerodrome operators by CAAN Aerodrome Inspectors after initial certification has been achieved.

#### 3.2.3 Amendment of Aerodrome Manuals

Whenever necessary to retain currency or if directed by the CAAN, an aerodrome operator shall amend the aerodrome manual and provide copy of the amendment(s) to CAAN. The DG CAAN has authority to approve, reject or require modification of the submitted aerodrome manual amendment.

Approval will result in an amended aerodrome manual. Notification to the aerodrome certificate holder of that approval, or rejection (or requirement for change to the amendment) as a result of a submitted amendment or adjustment will be made in writing

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to the operator as soon as is practicably possible, and wherever possible prior to the proposed effective date of implementation of the proposed amendment or adjustment.

### **3.3 Responsibilities of the Aerodrome Operators**

#### **3.3.1 Tasks and Responsibilities of the Certificated Aerodrome Operators**

- (a) The aerodrome operator shall arrange for internal audits of the safety management system, including inspections of the aerodrome facilities and equipment.
- (b) The aerodrome operator shall ensure that the internal audit reports, including the report on the aerodrome facilities, services and equipment, are prepared by suitably qualified safety personnel.
- (c) The aerodrome operator shall retain a copy of the report(s) referred to in paragraph (b) above for a period to be agreed with the CAAN. The CAAN may request a copy of the report(s) for its review and reference.
- (d) The report(s) referred to in paragraph (b) above must be prepared and signed by the persons who carried out the audits and inspections.
- e) A procedure for preventive action to ensure that potential causes of problems that have been identified within the system are remedied;
- f) A process to capture staff suggestions for improvement, followed by management review and possible implementation of those suggestions;
- g) An internal quality audit programme to audit the aerodrome certificate holder's organization for conformity with the procedures in its manual and achievement of the goals set out in it.

#### **3.3.2 Internal Audit**

Each certified aerodrome operator will incorporate an internal audit process to provide factual information for management to make appropriate decisions in accordance with the aerodrome manual. This internal audit should be able to:

- a) Determine the compliance or non compliance of the audit elements with specified requirements;
- b) Determine the effectiveness of the implemented standards in meeting the specified objectives; and
- c) Provide the audited organization with the opportunity to improve the operational standard and overall performance.

#### **3.3.3 Internal Quality Audit Programme**

The aerodrome operator's audit process will be contained in an internal quality audit programme that shall:

- a) Specify the frequency and the location of the audits taking into account the nature of the activity to be audited;

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- b) Ensure audits are carried out by trained auditing personnel who are independent of those having direct responsibility for the activity being audited;
- c) Ensure the results of audits are recorded and reported to the personnel responsible for the activity being audited and the manager responsible for internal audits;
- d) Require preventive or corrective action to be taken by the personnel responsible for the activity being audited if problems are found by the audit; and
- e) Ensure follow up audits to review the effectiveness of any preventive or corrective actions taken are regularly carried out.

### **3.4 Corrective Action**

The procedure for corrective action shall specify how:

- a) to correct an existing problem;
- b) to follow up a corrective action to ensure the action is effective; and
- c) management will measure the effectiveness of any corrective action.

### **3.5 Preventive Action**

The procedure for preventive action shall specify how:

- a) to correct a potential problem;
- b) to follow up a preventive action to ensure the action is effective;
- c) to amend any operational procedure as a result of a preventive action; and
- d) management will measure the effectiveness of any preventive actions taken.

### **3.6 Management Review**

The procedure for management review shall:

- a) specify the frequency of management reviews of the quality assurance system taking into account the need for the continuing effectiveness of the system;
- b) identify the responsible manager who shall review the operational standards; and
- d) ensure the results of the review are evaluated and recorded.

### **3.7 Tests**

Each aerodrome certificate holder shall test its level of compliance with standards, the objective of which is to determine the effectiveness of both the processes and systems involved and the individual performance of staff members tasked with carrying out those processes in the system.

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### 3.8 Records

Each aerodrome certificate holder shall maintain records to demonstrate the achievement of quality operational standards. Most of the recording will be normal business processes and statistical information, however such records should include:

- a) Training reports and training records of all members of the organization, including management;
- b) Incident and occurrence reports;
- c) Internal audit reports;
- d) External audit reports;
- e) Recurrent testing reports;
- f) Equipment testing and servicing reports;
- g) Proposals for change;
- h) Records of work improvement coordination meetings and outcomes; and
- i) Management review meetings and reports.

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## Chapter - 4 CAAN Safety Oversight of Aerodrome Operators

### 4.1 Aerodrome Safety Oversight

Aerodrome safety oversight in the broad sense means the total scope of activity conducted by CAAN to assess that aerodrome operations are conducted to a level that is as safe as is reasonably practicable. Aerodrome certification involves, but is not limited to, initial entry (via a permission from CAAN in the form of a certificate), continuing oversight action by way of audits and/or inspections, education activity and, where necessary, enforcement action (ranging from warnings to action to suspend or cancel certificates).

Aerodrome safety oversight is a CAAN function and is additional to any internal audit conducted by an individual aerodrome operator.

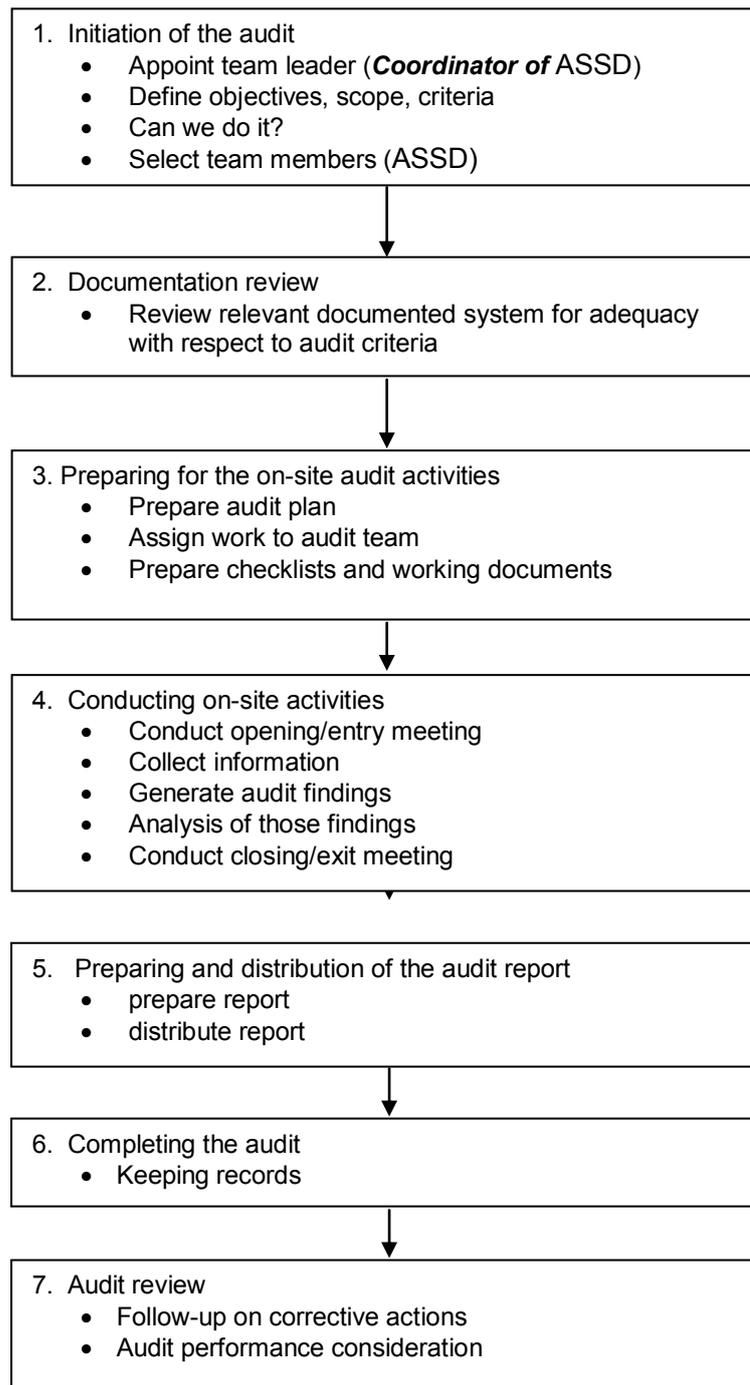
In this manual the safety oversight activity is limited to inspection and audit processes as they may be applied to certification and surveillance activity by CAAN. Although enforcement is mentioned, staff will be required to undertake specific additional actions when a need for certificate action (suspension or cancellation) is determined, such procedure should be contained within the CAAN Enforcement Manual.

#### 4.1.1 Safety Oversight Audit

There are distinct differences between the aims and objectives of audits and inspections, and the methodologies used to conduct each one. An audit is a systematic and independent comparison of the way in which an aerodrome standard is being implemented, against the way in which the published procedures say it should have been implemented. The general guidelines for conducting audit for certification of aerodromes are described in **Appendix – 01**. Figure 4-1 gives an overview of audit activities. An inspection is basically the act of observing a particular aerodrome operation, action, facility, equipment or document to verify whether the established procedures and requirements are followed, and whether the required standard of performance is achieved.

Audits are more comprehensive, focus on system issues, and are more complex and time consuming than inspections. Inspections, by comparison, are more specifically focused on specific integral parts of aerodrome operations and are usually of shorter duration. Each of the two types needs to be planned for and a schedule created that allows for the regular conduct of both.

Aerodrome safety oversight audits and inspections shall only be carried out by CAAN authorized and certified personnel. These personnel will have undergone audit training and be in possession of competency certificates in the conduct of aerodrome audits issued by the CAAN. Those without the necessary qualifications or experience may carry out audits and inspections only under the supervision of a person who is appropriately qualified and experienced.



**Fig. 4 - 1 Overview of Audit Process and Activities**

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#### 4.1.2 Scheduling Audits/Inspections

The **ASSD** is responsible for scheduling inspections and audits of all aerodrome certificate holders and other aerodrome operators.

The selection of the aerodrome and the frequency of the inspections and audits will be at the discretion of the **ASSD**, subject to the followings:

- a) In normal circumstances each nominated aerodrome certificate holder will be the subject of audit **at least once (1) per calendar year**, which will also include the audits as per the SMS manual.
- b) Other aerodromes will be subject to inspection from time to time as determined by the **ASSD**;
- d) In the intervening period between scheduled audits, inspections of relevant parts of aerodrome operations may take place, e.g. Inspectors may attend at aerodrome emergency exercises;
- d) In certain situations, or following the occurrence of an accident/incident, or at the discretion of the **Director General**, additional full or partial audits may be scheduled in addition to any other action that may take place.
- e) Special inspection will be carried out on as and when required basis, specifically
  - 1 After an accident or incident as defined in ICAO Annex 13
  - 2 During construction, installation and maintenance of safety concerned facilities and equipment.
  - 3 Any time, when it is believed that it will jeopardize the safety of the aerodrome.

#### 4.1.3 Notifying Audits/Inspections

The **ASSD** shall notify in writing each selected aerodrome operator that an audit has been planned for that facility or service provider (See **Appendix - 02**) along with the Audit Programme (see **Appendix - 03**).

Every notification shall include;

- a) The dates of the intended audit;
- b) Name of the CAAN auditors;
- c) Scope of activities to be covered under the audit;
- d) List of persons to be made available to the audit team for interview;
- e) Deadlines for the submission of the pre-audit questionnaire (if applicable see **Appendix - 04**); and
- f) Request for essential documentation, as specified by the CAAN that may be required to be reviewed prior to the actual audit.

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#### **4.1.4 Role of Auditors**

All auditors (including the audit team leader) are responsible for:

- a) complying with the CAAN aerodrome audit procedures;
- b) clarifying audit requirements if necessary;
- c) planning and preparing for the audit;
- d) carrying out the audit;
- e) documenting observations;
- f) reporting the audit results;
- g) recording findings in the CAAN aerodrome audit database;
- h) ensuring corrective and preventative actions are followed up for effective completion;
- i) safeguarding all documents relating to the audit;
- j) maintaining confidentiality and treating privileged information with discretion; and
- k) cooperating with and supporting the audit team leader/Coordinator of ASSD.

#### **4.1.5 Role of Audit Team Leader/Coordinator of ASSD**

As well as fulfilling the role of an auditor, the audit team leader has additional responsibility for:

- a) liaison with the aerodrome certificate holder regarding the date and time of the audit;
- b) ensuring travel and accommodation is booked, if required;
- c) assigning responsibilities to team members;
- d) preparation of the audit timetable;
- e) ensuring team members are adequately prepared;
- f) resolving any issues regarding written programmes and manuals before the audit;
- g) carrying out the opening meeting;
- h) leading and supporting the audit team throughout the audit;
- i) raising and resolving issues with the aerodrome certificate holder during the audit;
- i) ensuring findings are soundly based, and properly recorded;
- j) coordinating preparation of the audit report;

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- k) writing the draft and final audit/inspection report;
- l) ensuring adequate preparation for the exit meeting;
- m) carrying out the exit meeting; and
- n) presenting findings, identifying causal factors, and negotiating corrective and preventive actions.

## **4.2 Aerodrome Safety System Audit**

### **4.2.1 System Safety Audit Process**

There are three (3) stages to an audit:

- Preparation for the audit;
- Conduct of the audit on-site; and
- Recording of findings, reporting and follow-up.

#### **4.2.2 Preparation for Audit/Inspection**

As mentioned in paragraph 4.1.1, there are distinct differences between audits and inspections. However, many of the processes for the two remain essentially the same, albeit that an audit is far more detailed.

There are four (4) phases to the preparation for an audit or inspection, namely:

- Identification and review of all pertinent documentation, including receipt and review of pre-audit questionnaire;
- Development of checklists;
- Preparation of audit timetable.
- Confirmation of audit arrangements with the aerodrome certificate holder being audited.

#### **4.2.3 Review of Documentation**

With regard to the essential documentation that needs to be reviewed, this depends on the aerodrome certificate holder being audited and the scope of their operations. Generally speaking the following documents need to be reviewed before each audit is carried out;

- a) The aerodrome documents for the entity being audited; e.g aeronautical data, aerodrome operations procedures, AEP manual, SMS manual;
- b) Appropriate regulatory and other legislative texts; e.g. CAAN ACR 2004, CAR - 14, Part - I;
- c) Operating manuals and/or standard operating procedures;

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- c) Site plans and descriptions of the aerodrome certificate holders operations;
- d) Logbooks on facilities and equipment;
- e) Flight schedules;
- f) Previous audit or inspection reports; and
- g) Information contained in the pre-audit questionnaire.

The purpose of this review is to determine the status of the documentation as it relates to the entity being audited, and to identify key areas that need to be observed and analyzed during the actual audit. Particular attention should be paid to previously identified items of non-compliance from previous reports. This review will also assist in the preparation of checklists to be used by the audit team during the actual conduct of the audit.

The pre-audit questionnaire may provide an opportunity to gather useful information about the entity being audited. This questionnaire shall be developed by the audit team leader and transmitted to the aerodrome certificate holder in accordance with the requirements of this handbook. See **Appendix – 04** for a pre-audit questionnaire for an aerodrome operator.

#### **4.2.4 Preparation of Checklists**

The use of checklists is to be utilized to provide a structure to the audit that allows for consistent and standardized conduct of audits. Standardizing the conduct of audits guarantees objectivity, impartiality and credibility. In addition this will also provide a degree of transparency for all stakeholders subject to audit.

Checklists will be prepared by Audit Team Leader and distributed to the members of the audit team in advance of the audit in order that they are fully prepared. Generic checklists have been developed and are included in this handbook (see **Appendix – 06**), and they are applicable to each category of aerodrome. However the operational details may vary from one aerodrome to any other, so checklists specific to that aerodrome operator need to be developed prior to the audit.

#### **4.2.5 Preparation of Audit Timetable**

An integral part of the preparation phase of an audit is the development of the audit timetable. This is done by the audit team leader once the notification process has been completed and all necessary documentation has been received and reviewed. The generic audit timetable is included in this handbook in **Appendix – 03**.

When determining the audit timetable, the audit team leader will take into consideration the following elements:

- a) Determine the principal persons needed to be interviewed;
- b) Determine the sequence of the audit, including meetings, interviews, observations of facilities and operations, and discussions with operational staff;
- c) Estimate the time needed to complete each anticipated activity;
- d) Make allowances for travelling between areas being audited (if necessary);

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- e) Schedule entry and exit meetings;
- f) Make allowances for peak, off peak, and out of normal hours observations of activities, facilities and equipment.
- g) Allow for review of operational documentation not received prior to the audit; and
- h) Allow time for delays and unforeseen circumstances/occurrences.

#### **4.2.6 Confirmation of Audit Arrangements**

Prior to the scheduled date of the audit, the audit team leader should confirm to the aerodrome certificate holder the date(s) and location of the audit, and the availability of senior management and key staff identified in the preparation of the timetable. It is highly desirable to forward the audit timetable to the aerodrome operator, well in advance, to assist in their preparation for the audit.

#### **4.2.7 On-site Conduct of Audits and Inspections**

The purpose of the conduct phase of the audit is to gather information and then compare that gathered information to the information contained within the approved documentation which establishes the standards for operation of the entity being audited. In this case:

- a) National Regulations governing Aerodromes (**CAAN ACR 2004**);
- b) CAR - 14, Part - I, to which the aerodrome certificate holder is subject; and
- c) The aerodrome manual and other documents of the entity being audited.

Information can be gathered by;

- a) Observations;
- b) Review of documentation; and
- c) Formal and informal interviews.

#### **4.2.8 Entry/Opening Meeting**

The first action taken when commencing an audit is the conduct of an entry meeting. The purpose of the entry meeting is to;

- a) Establish communication between the audit team and representatives of the aerodrome certificate holder;
- b) Ensure there is clear understanding of the purpose of the audit;
- c) Explain how the audit will be carried out;
- d) brief the audit about expectations for support for the audit team;
- e) Clarify and confirm the audit timetable; and
- f) Resolve any other matters of concern.

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A sample of the typical agenda items for an opening meeting can be found in **Appendix - 05**.

#### 4.2.9 Evidence of Conformity

Observations of operational equipment, activities and procedures form the main source of evidence that the aerodrome is conforming to regulatory requirements or otherwise. Verifiable evidence is necessary to provide the true measure of compliance or non-compliance with required standards and procedures. Checklists for the inspectors' guidance can be found in **Appendix - 06**. Evidence provides the verification that written procedures are in fact implemented.

Additionally, evidence by assessment of each facility, equipment or procedure through observations and discussions to determine compliance with requirements and documentation plus implementation assists to establish compliance with mandatory obligations.

If non conformities are found, look for facts to establish proof and make a formal record (checklist notes, photos etc).

Exercise discretion when making observations in the workplace. The presence of an auditor (often accompanied by a senior person within the organization) can have a disrupting impact on the workflow in what may be a potentially hazardous environment. Take care to ensure the presence of the auditor does not create an abnormal situation that could lead to errors or omissions being made by those being observed. Do not do anything that could disrupt the workflow, or refocus staff away from their primary tasks.

Where appropriate, watch as technical processes are performed, and observe the work practices of those involved. Observe the facilities and equipment that are being used, the work instructions provided, and the working environment. Talk to the people in the workplace. Establish how many people are involved, and if they have duties other than those they perform in support of aerodrome operations.

Identify reporting actions for identified or perceived problems. What is the actual documentation process and does it conform to the required process. If deficiencies are seen, discuss them with the management representatives away from the workplace.

Make use of the checklists developed for the audit to structure and record the observations.

#### 4.2.10 Interviewing

Another principal element of the audit is the interview of selected staff members from the aerodrome certificate holder. The position and job function of the interviewee will determine the type and scope of questions to be put to the interviewee. It is always best to interview the most senior representative available first, and follow this with interviews of other managers and key personnel identified in the audit plan. This can extend to individual staff members if necessary, but normally an informal conversation at their workplace would achieve the same result.

Establish how the senior person expects the aerodrome certificate holder to operate from an aerodrome operation perspective. Identify any changes that have been made, or are being planned. Gain knowledge of other issues that may be affecting the organization, for example, changes in the scope of work carried out, industrial relations etc. Establish how the senior person satisfies him or herself that the entity is in compliance with the

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approved aerodrome documents. Determine how identified or perceived problems are recorded and handled.

Ask open questions based on the checklists. If necessary, and depending on the information received, adjust the depth of examination. Try to avoid asking questions that can be answered with a simple 'yes' or 'no'. Try to focus on what is occurring now, not what might occur in the future (the audit finding rely on verifiable evidence).

Formal interviews need to be carefully structured. The objective of the formal interview is to meet the main representatives of the aerodrome certificate holder and discuss existing measures. Interviews are usually preceded by on-site observations so the auditor is already aware of the situation and has perhaps already noticed discrepancies or exceptional performance. Any discrepancy must be mentioned to the audited party during subsequent interviews. The location of the interview is important. The selection of the person's office is usually the best option, as interviewing him/her in his/her natural environment might make it easier to establish a climate of trust and reduce possible tension. The auditor is the one who, as a rule, travels to meet the interviewee. This is preferable to having individuals meet in the auditor's office and helps avoid the impression of an interrogation.

#### **4.2.11 Recording of Audit Findings**

Findings are the result of an observed action once it has been compared to the required approved documentation. An observation of a documented requirement or an implemented requirement will indicate whether compliance with required procedures is achieved or not. A non compliance is classified as a finding, and it should be accompanied by a request for corrective action. Findings are not opinion, but statements of facts as observed by the auditor. As such they must be backed up by proof, or other evidence of non compliance, such as a photograph or the completed checklist, explanation of deficiency, or a statement of findings by the auditor.

Audit findings shall be classified into different categories, as follows;

- a) "Non Compliance Category A" finding, defined as a finding that is critical to in that it has the potential to result in loss of life, serious injury or damage to facilities and which requires corrective action to be completed immediately. Such action may involve closure of a facility;
- b) "Non Compliance Category B" finding, defined as an occurrence, situation or deficiency involving an item of equipment, an aerodrome facility or a procedure within a system that caused, or has the potential to cause, significant safety problems within the system, and which requires corrective action to be completed within an agreed time frame.
- c) Not Applicable (NA), being an element or item on a checklist that does not apply to the entity being audited although a standard may exist, (eg de-icing facility)
- d) Not Confirmed (NC), being an element whose compliance with required documentation could not be verified during the audit for whatever reason, (e.g. lack of time, absence of key personnel.)
- e) Comments, being references to circumstances where there is conformity, but improvement may be desirable, e.g. in the light of knowledge about a coming change to standards. Comments are not binding on the auditee and are made for information only.

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It is important that the senior management of organization being audited are made aware of the results of the audit, including the specific findings. Obviously Category A findings need to have priority. Therefore, it is necessary to conduct a post audit or exit meeting where these findings can be communicated. It may not be necessary to inform the aerodrome certificate holder of everything that may be included in the final written report, as the audit team may need time to reflect upon their observations before concluding a finding, so the onus is on providing the aerodrome operator with an initial explanation of the major findings. Additionally, all issues of concern may be communicated to the auditee's staff during the audit as they arise.

#### 4.2.12 Exit/Closing Meeting

The objectives and activities of the post audit, or exit, meeting are to:

- a) Review the purpose of the audit and how it was carried out;
- b) Record attendance at the meeting;
- c) Present the major audit findings;
- d) Request comments or explanations on any of the findings;
- e) Confirm corrective actions (if possible) and agree time frames for their implementation;
- f) Advise what to expect in the final audit report together with time frame for delivery; and
- g) Identify, and where possible resolve, any other issues of critical safety concerns.

#### 4.2.13 Audit/Inspection Reports

The audit report formally documents the compliance performance of the aerodrome operator by recording matters of non-compliance with mandatory regulatory standards and other safety-related obligations. The report must accurately record all that took place during the audit, should reflect the tone of the audit and contain no surprises.

It is the responsibility of the team leader to coordinate the development of the audit report. The team leader and all other auditors/members must sign the report.

While each report will contain factually varying information, it is important that the reports should be similarly structured and formatted to allow for comparison and analysis and to ensure that each audit completed is to a consistent standard. A standardized report format is contained in **Appendix - 07**.

Audit reports generally will not include recommendations to address findings. The responsibility for appropriate remedial activity rests with the aerodrome operator.

The audit or inspection report shall also specify a time frame for the organization being audited or inspected to respond to the findings made in the report.

It is the responsibility of the team leader to ensure that the completed audit or inspection report is sent/delivered to the aerodrome operator within three (3) weeks from the on-site audit or inspection exit meeting.

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#### 4.2.14 Corrective Actions

On receipt of an audit or inspection report, the organization concerned is required to submit a Corrective Action Plan (CAP) within an agreed period.

The CAP is a written confirmation by the aerodrome certificate holder detailing the measures they intend to implement, to address all of the findings of non compliance. The CAP must incorporate actions that at least will remedy the deficiency in the short term and prevent a future re-occurrence.

Failure to compile a CAP or failure to comply with the deadline for submission of the CAP or failure to implement the measures outlined in the CAP may result in enforcement action, including possible sanctions against an aerodrome certificate.

Every CAP generated as a result of findings communicated to an aerodrome certificate holder, following an inspection or audit, must contain, as a minimum:

- a) The recommendations/elements in need of improvement;
- b) Planned corrective action;
- c) Identification of the person(s) responsible for implementing and finalizing the corrective action; and
- d) Time frame for completion.

Where the CAAN has not received advice that corrective action has been taken by the due date, the aerodrome operator is to be advised that it is overdue, and that the CAAN expects the matter to be resolved within ten (10) days. If a formal notice has not been received with satisfactory closing action, within the ten (10) day period, the aerodrome certificate holder should be advised in writing by the audit team leader that unless immediate action is taken to close the findings then action may be taken against the aerodrome certificate holder in accordance with regulatory provisions.

In cases where the aerodrome certificate holder being audited or inspected does not implement corrective action regarding the findings made by the audit team because it disagrees with any of them, it should direct a formal written notice of disagreement to the DG CAAN, laying down the reasons for the disagreement. The Director General may review this and determine subsequent action in accordance with the regulatory requirements and the best interests of safety for the industry within Nepal.

The team leader is responsible to ensure that a follow-up audit or inspection takes place as necessary after the actions mentioned in the CAP have been advised as completed, in order to ensure that the stated corrective action has taken place within the agreed time frame, and that the corrective action has been successful in ensuring compliance with the aerodrome standards and/or other regulatory obligation.

The ASSD is responsible for maintaining a database of audit and inspection findings. Each team leader is to enter their respective results onto this database, and review the contents on a regular basis to ensure that timeframes are being respected and overdue actions are identified.

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#### 4.2.15 Audit Records

All documents relevant to the audit or inspection should be retained and placed on the aerodrome certificate holder's file (aerodrome file) after completion of the audit. These should include, where applicable, the following:

- a) A copy of the initial notification of the audit;
- b) The audit timetable;
- c) Completed checklists;
- d) All notes made during the audit by the audit team;
- e) Records of any interviews;
- f) Records of entry and exit meetings;
- g) A copy of the Corrective Action Plan (CAP);
- h) Results of follow-up activities to ascertain compliance;
- i) Post Audit feedback form from operator (see **Appendix - 08**).

It is the responsibility of the ASSD to establish and maintain an audit database that will contain all the findings gained from the audits and inspections of all aerodrome certificate holders. The DG is overall responsible and ASSD in particular will coordinate and follow up to publish the certified status of the aerodrome and details as per the aerodrome manual in the AIP. This database will be utilized by CAAN to monitor the constant surveillance on all aerodrome certificate holders, and in the development of audit and inspection schedules and timetables.

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## Chapter - 5 Regulatory Enforcement

### 5.1 General

Enforcement action can be in one or more forms but the more extreme forms of enforcement should be considered as final options. The goal of the CAAN regulatory oversight program as a component of the safety programme, is to encourage service providers to exceed the minimum regulatory requirements and voluntarily improve safety to the highest possible level.

### 5.2 Enforcement Options

There are several enforcement options available to the CAAN as a result of findings following an audit or an aerodrome inspection. These options include, but may not be limited to:

- a) Written notification of corrective action required together with follow-up inspections as necessary;
- b) Provision of education and/or guidance as to how compliance may be achieved;
- c) Requirement for re-training or re-certification of facilities, personnel and equipment;
- d) Formal warnings;
- e) Suspension of an aerodrome certificate pending rectification of deficiencies; and
- f) Revocation of an aerodrome certificate.

### 5.3 Selection of Enforcement Action

The selection of, which enforcement action to be taken with aerodrome certificate holders, following the identification of findings, will be dictated by the prevailing circumstances. Actions taken up to 5.2 d) may be initiated by the ASSD, and are to be reported to the DG, CAAN.

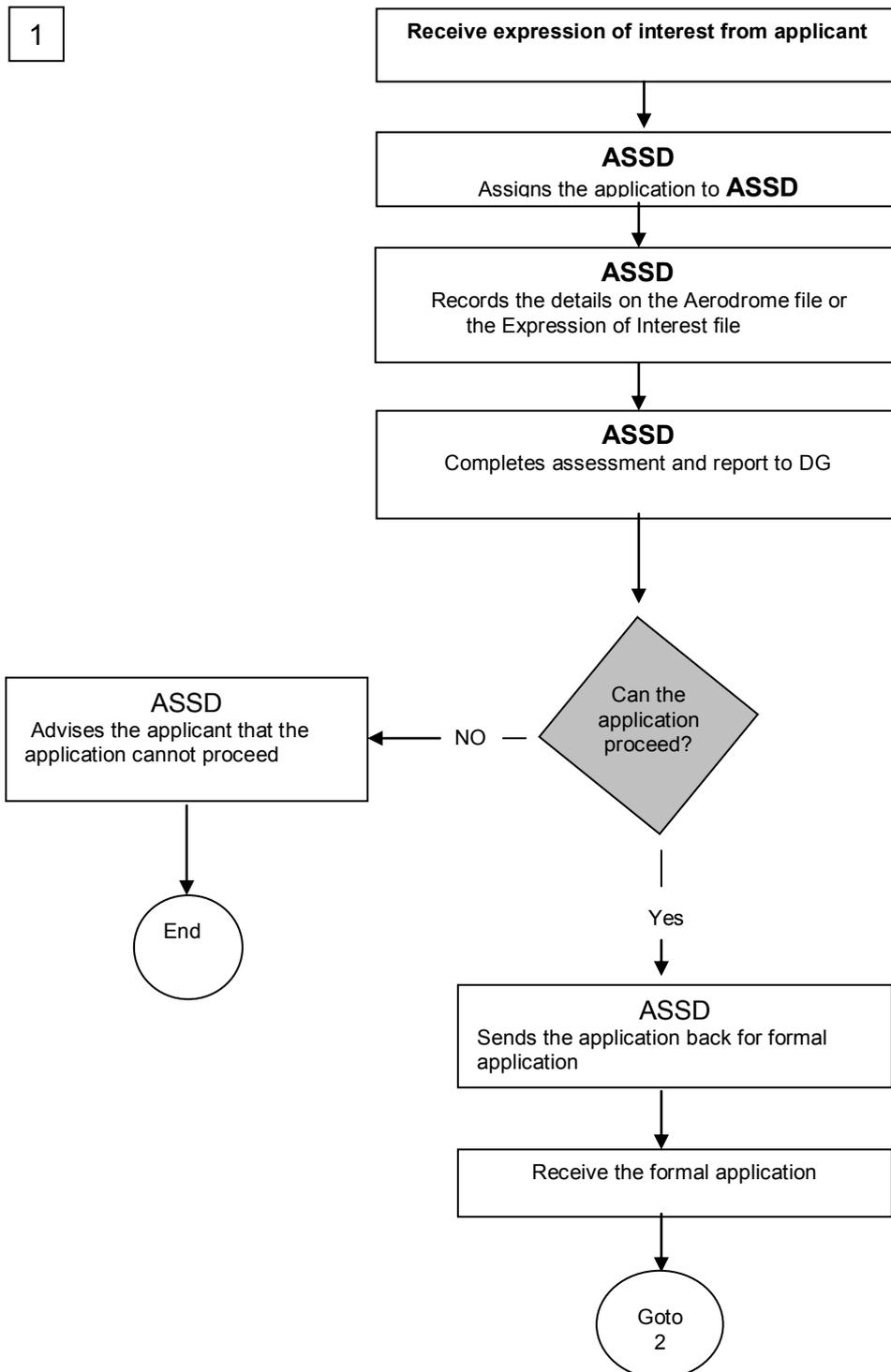
No action to initiate the actions mentioned in 5.2 e) and f) will be taken without the prior approval of the Director General and after consideration of CAAN legal advice.

## Chapter - 6 Processes and Procedures

### 6.1 Issuing an Aerodrome Certificate

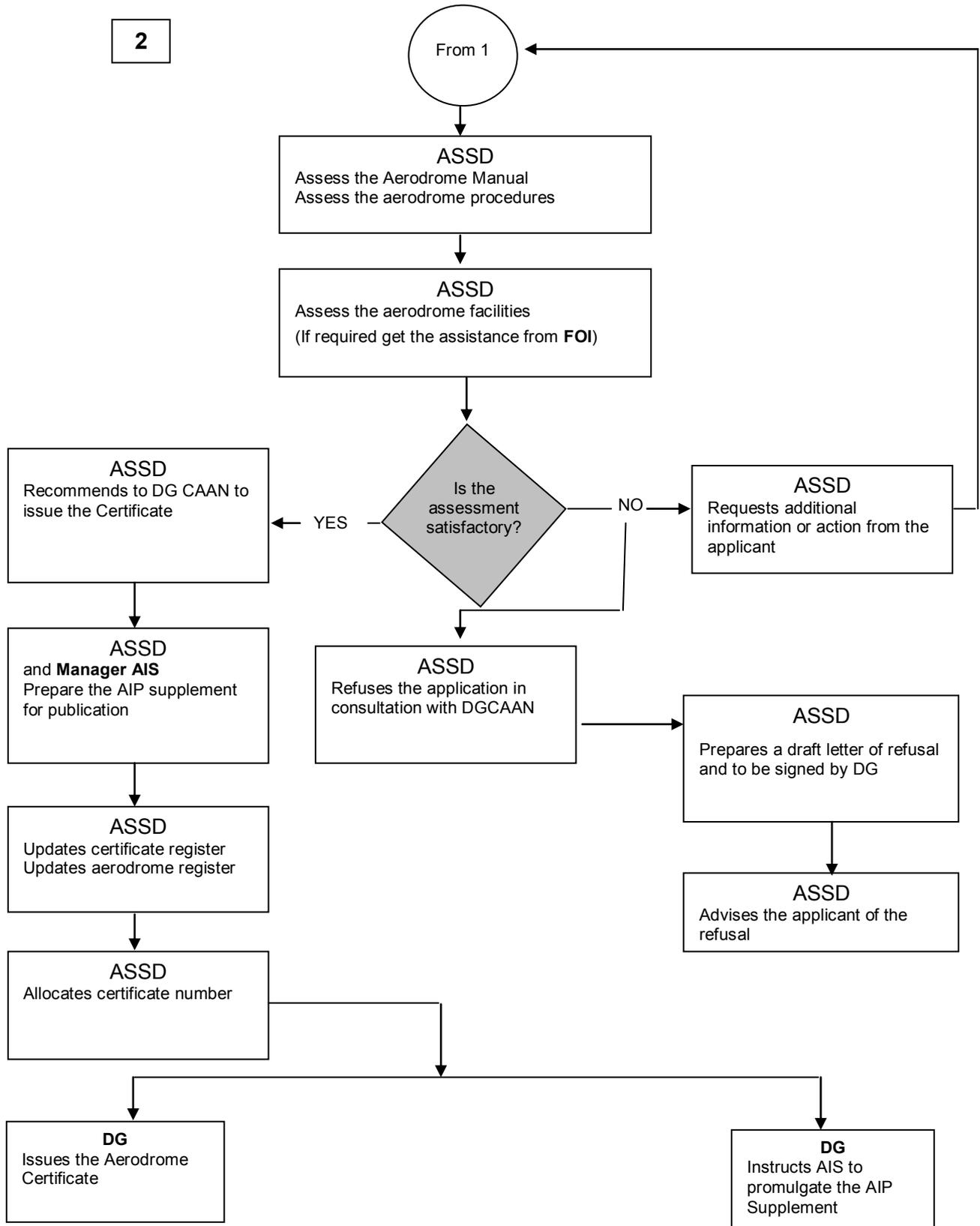
#### 6.1.1 Flowchart – Approval Procedure for Aerodrome Certification

**Fig. 6.1 Work Flow Process for the Approval of the Application for Certification**





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### 6.1.2 Certification of Aerodromes under the provisions of CAAN ACR 2004

This section applies to those aerodrome operators that must obtain a certificate under **Rule 4 of CAAN ACR 2004**.

#### **Key functions**

The ASSD is responsible for identifying aerodromes that are required to be certified under **Rule 4 of CAAN ACR 2004**.

The ASSD, shall be the initial contact point for an aerodrome operator seeking a certificate for an aerodrome. The workflow process (Fig. 6.1) shall be coordinated through ASSD who will track the progress of the application. All applications must be made on the approved form, Application for an Aerodrome Certificate (see 6.1.4).

#### **Procedure**

On receipt of the application, the ASSD shall:

1. Open a file and reference the application and aerodrome manual.
2. Input from Flight Operations Inspector should be sought for an operational assessment.
3. Applicant advised of applicable fee for certification as per **Schedule 2 of CAAN ACR 2004**.
4. Confirm that the applicant is the owner of the land or has the permission of the landowner to operate the site as an aerodrome.
5. Make an assessment of the aerodrome operator's documentation:
  - ensuring that one copy of the aerodrome manual has been received, and
  - ensuring that the aerodrome manual is in the form as prescribed in **Rules 18, 20 and Schedule 1 of CAAN ACR 2004**.
6. Liaise with Flight Operations Inspector on operational issues and obtain agreement as necessary.
7. Complete items of the Aerodrome Certificate Issue Checklist mentioned in 6.1.3 including refusing an application if applicable.
8. Tasks associated with items 7, 8 and 9 of the Aerodrome Certificate Issue Checklist shall be completed using Aerodrome Certification Audit Checklist provided in **Appendix – 06**.
9. Aerodrome operator shall be advised of any deficiencies identified as a result of the assessment of aerodrome manual, aerodrome operating procedures and audit of aerodrome operator in writing as per format provided in the Attachment – C of the Aerodrome Certification Audit Report (See **Appendix – 07**).

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10. The report received from the aerodrome operator on corrective actions taken shall be to the satisfaction of the **DG CAAN**.
11. If the application is approved, complete the items 14 to 18 described in the Aerodrome Certificate Issue Checklist provided in 6.1.3 and inform **AIS** to raise a NOTAM advising all particulars to be included in AIP.  
  
The ASSD is to forward (if necessary) a copy of the NOTAM to the aerodrome operator.
12. The ASSD places the aerodrome on the schedule for continuing surveillance activity.

Certificates are granted in accordance with **Rules 6 and 9 of CAAN ACR 2004**.

**Note:-** *In some occasions, conditions may be endorsed on an aerodrome certificate under **Rules 8 of CAAN ACR 2004**. If conditions are being considered, the ASSD should consult with the DG. Such consultation is to occur before a decision is made to issue a conditional certificate, so that any requirement for additional activities not covered in this handbook e.g. a safety case analysis or a risk assessment, can be considered.*

### **6.1.3 Aerodrome Certificate Issue Checklist**

The ASSD must complete the Aerodrome Certificate Issue Checklist, as shown below, to ensure that each step of the aerodrome certification procedure is completed.

Tick each box to indicate the satisfactory completion of the task. Note the date against each box.

Sign and date this form and file it on the aerodrome file when the process is complete.

**Aerodrome Certificate Issue Checklist**

- |   | √                        | <u>Date</u> |
|---|--------------------------|-------------|
| 1. Aerodrome file raised (Put file number: _____)                                   | <input type="checkbox"/> |             |
| 2. Application checked for completeness   | <input type="checkbox"/> |             |
| 3. Copy of Aerodrome Manual provided by the applicant                               | <input type="checkbox"/> |             |
| 4. Operational safety considerations discussed with FOI (if required)               | <input type="checkbox"/> |             |
| 5. Applicant advised of any operational restrictions                                | <input type="checkbox"/> |             |
| 6. Applicant advised of applicable fee for certification                            | <input type="checkbox"/> |             |
| 7. Manual assessed  | <input type="checkbox"/> |             |
| 8. Applicant assessed as able to operate the aerodrome                              | <input type="checkbox"/> |             |
| 9. Facilities assessed as acceptable by CAAN  | <input type="checkbox"/> |             |
| 10. Applicant advised of any deficiencies if any                                    | <input type="checkbox"/> |             |
| 11. Action taken report on significant deficiencies received and acceptable to CAAN | <input type="checkbox"/> |             |
| 12. CAAN decision made to grant or refuse the Certificate                           | <input type="checkbox"/> |             |
| 13. Applicant advised of refusal to grant certificate with reasons for refusal      | <input type="checkbox"/> |             |
| 14. Applicant advised of grant and conditions if any                                | <input type="checkbox"/> |             |
| 15. Receipt of applicable fee   | <input type="checkbox"/> |             |
| 16. Certificate issued  | <input type="checkbox"/> |             |
| 17. Manual endorsed and returned to the aerodrome Operator                          | <input type="checkbox"/> |             |
| 18. Internal CAAN notification completed  | <input type="checkbox"/> |             |
| 19. Notified AIS  | <input type="checkbox"/> |             |

Signature: .....Date:...../...../.....

Name: .....( ASSD)

### 6.1.4 Aerodrome Operator’s Application Form for Aerodrome Certification

#### Application for an Aerodrome Certificate

#### 1. Particulars of the Applicant

Full Name: .....

Address: .....  
 .....

Designation: .....

Phone: ..... Fax: .....

#### 2. Particulars of Aerodrome Site

Aerodrome Name: .....

Description of the Property: .....  
 .....

Geographical Coordinates of the ARP: .....

Bearing and Distance from Nearest Town or Populous Area:.....  
 .....

#### 3. Is the Applicant the Owner of the Aerodrome Site?

Yes     No

If No, provide:

- a) Details of rights held in relation to the site and
- b) Name and address of the owner of the site and written evidence to show that permission has been obtained for the site to be used by the applicant as an aerodrome.

#### 4. Indicate the Largest Type of Aircraft Expected to Use the Aerodrome

.....  
 .....

#### 5. Is the Aerodrome to be used for Public Air Transport Operations?

Yes     No

#### 6. Details to be shown on the Aerodrome Certificate

Aerodrome Name: .....  
Aerodrome Operator: .....

On behalf of the Aerodrome Operator shown above, I hereby apply for a certificate to operate the aerodrome.

Signed: .....

My authority to act on behalf of the Aerodrome Operator is:

.....  
.....  
.....  
.....

Name of person making the declaration: .....

Date: ...../ ...../ .....

**Information:**

1. A copy of the Aerodrome Manual, prepared in accordance with the regulations and commensurate with the aircraft activities expected at the aerodrome, are required as part of the application.
2. The application should be submitted to the Director General of Civil Aviation.
3. Documentary evidence in support of all matters in this application may be requested.

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## 6.1.5 Sample Letters

### 6.1.5.1 Sample Letter for Grant of an Aerodrome Certificate

*{File reference}*

Date:

*{Applicant's name}*

*{Aerodrome name}*

*{Aerodrome address}*

Dear *{Sir/Madam}*,

#### **ISSUE OF CERTIFICATE TO OPERATE (Name of aerodrome)**

This has reference to your letter *{number}* dated *{dd/mm/yy}* and your application for a certificate to operate *{name of aerodrome}*. Your application has been approved and the Aerodrome Certificate is ready for collection.

Your aerodrome will *{now/continue to}* be subject to regular routine surveillance/inspection by this Authority under the Rule 29 of CAAN Airport Certification Regulations 2061 (2004).

If you have any queries regarding this certificate or any other aerodrome-related matters please contact this Authority.

Yours faithfully,

*{Signature}*

*{Name}*

Director General

Civil Aviation Authority of Nepal

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### 6.1.5.2 Sample Letter for Refusal to Grant an Aerodrome Certificate

{File reference}

Date:

**Grant Certificate**

{Applicant's name}

{Aerodrome name}

{Aerodrome address}

Dear {Sir/Madam},

#### **REFUSAL OF APPLICATION FOR AERODROME CERTIFICATE**

This has reference to your letter {number} dated {dd/mm/yy} and your application for a certificate to operate {name of aerodrome}. Your application has been assessed in accordance with the Rule 6 (2) and refused in accordance with the Rule 7 of CAAN Airport Certification Regulations 2061 (2004) due to the following reason(s):

***{Delete whichever is not applicable}***

- a. Following an inspection of the aerodrome facilities and equipment, this office has found that they do not meet the required standards specified for a certified aerodrome.
- b. Following an assessment of the aerodrome's operating procedures this office has found that they do not make satisfactory provision for the safety of aircraft.
- c. Following an assessment of the Aerodrome Manual we have found that it does not contain the particulars set out in Rule 20 of CAAN Airport Certification Regulations 2061 (2004).
- d. Due to above fact(s) and the other factors listed below, I wish to regrettably inform you that this office is not satisfied with your ability to operate and maintain the aerodrome as required by Rule 6 of CAAN Airport Certification Regulations 2061 (2004).

***{Give details of each deficiency}***

You were advised of the above deficiencies on {dd/mm/yy} and your response has led us to the conclusion that you are unable to comply with the Rule 6 of CAAN Airport Certification Regulations 2061 (2004) for the issuance of an aerodrome certificate. Therefore, your application has been refused.

**Procedures**

If you have any queries relating to this matter please contact the undersigned.

Yours faithfully,

{Signature}

{Name}

Director General

Civil Aviation Authority of Nepal

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### 6.1.6 Sample Aerodrome Certificate



## *Aerodrome Certificate*

*Certificate Number: NNN*

This certificate authorizes

*{Certificate Holder's Name}*

to operate

*{Aerodrome Name}*

*{Latitude and longitude of ARP}*

*This certificate is issued under the provisions of Rule 6 of Civil Aviation Authority of Nepal (CAAN) Airport Certificate Regulation 2061 (2004) under the Authority of CAAN Act 2053 (1996). The operation and use of the aerodrome is subject to the Rule 4 of CAAN Airport Certificate Regulation 2061 (2004), and any relevant directions issued including any conditions endorsed by the Director General of Civil Aviation Authority of Nepal.*

*This certificate is valid for five years until surrendered, suspended or cancelled.*

Date: *Day/Month/Year*

**Director General**  
Civil Aviation Authority of Nepal



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## GENERAL CONDITIONS

1. The Aerodrome Certificate holder shall ensure that aerodrome facilities, equipment, services and procedures are operated and / or maintained properly and efficiently in accordance with the Aerodrome Manual submitted to the DG, CAAN. The applicable standards set out in the Civil Aviation Requirements for Aerodromes (CAR - 14, PART - I) and conditions of the certificate are specified hereunder.
2. The Aerodrome Certificate holder shall ensure that the copies of the Aerodrome Manual approved by the DG, CAAN are always kept complete and current. The Aerodrome Certificate holder shall ensure that each member of the aerodrome operating staff is aware of the contents of the every part of the aerodrome manual, relevant to his duties and undertakes his duties in conformity with the relevant provisions of these manuals.
3. The Aerodrome Certificate holder shall ensure that an adequate number of qualified and skilled personnel are employed to perform all critical activities for the operation and maintenance of its aerodrome, and that a programme to upgrade the competency for the personnel is in place.
4. The Aerodrome Certificate holder shall notify the agency responsible for Aeronautical Information Services and the air traffic control unit immediately of any obstacles, obstructions or hazards, change in level of service at the aerodrome as set out in any publication by the aeronautical information services or variation from the Standards; closure of the movement area of the aerodrome; significant change in aerodrome facility or the physical layout of the aerodrome; and any other condition that could affect aviation safety at the aerodrome and against which precautions are warranted.
5. The Aerodrome Certificate holder shall notify the agency responsible for Aeronautical Information Services of any change to any aerodrome facility or equipment or level of service at the aerodrome which has been planned in advance and which is likely to affect the accuracy of the information contained in any publication by the agency before effecting the change.
6. The Aerodrome Certificate holder shall be responsible to ensure that all security and anti-hijacking arrangements stipulated from time to time by the Concerned Authority for the aerodrome are complied with.
7. When so demanded by an officer duly authorized under the CAAN Airport Certificate Regulations 2004, this certificate and any other relevant documents shall be produced for inspection.
8. Aerodrome Certificate holder shall maintain record of all aircraft landing at and taking-off from the aerodrome.
9. The Aerodrome Certificate holder shall have legally tenable agreement with CNS and ATM service provider(s) to ensure continuity and reliability of CNS and ATM to ensure the safety of aircraft in the airspace associated with aerodrome, and that proper coordination with the agencies responsible for aeronautical information services, meteorological services, security and other areas related to safety are established.
10. The aerodrome shall at all reasonable times be open to use by any aircraft in the service of the Government of Nepal.
11. The Aerodrome Certificate holder shall ensure that during the validity of the certificate the capability of the services/facilities, etc. is not degraded below the notified level.
12. The Aerodrome Certificate holder is to submit the application for renewal along with relevant enclosures at least 3 months before expiry of certificate to the DG, CAAN. The certificate may be renewed if the DG, CAAN is satisfied that all requirements have been fulfilled.
13. Other requirements of the Government of Nepal and the Civil Aviation Authority of Nepal as applicable shall be complied with.
14. The aerodrome is certified for use in IFR (all weather) conditions.

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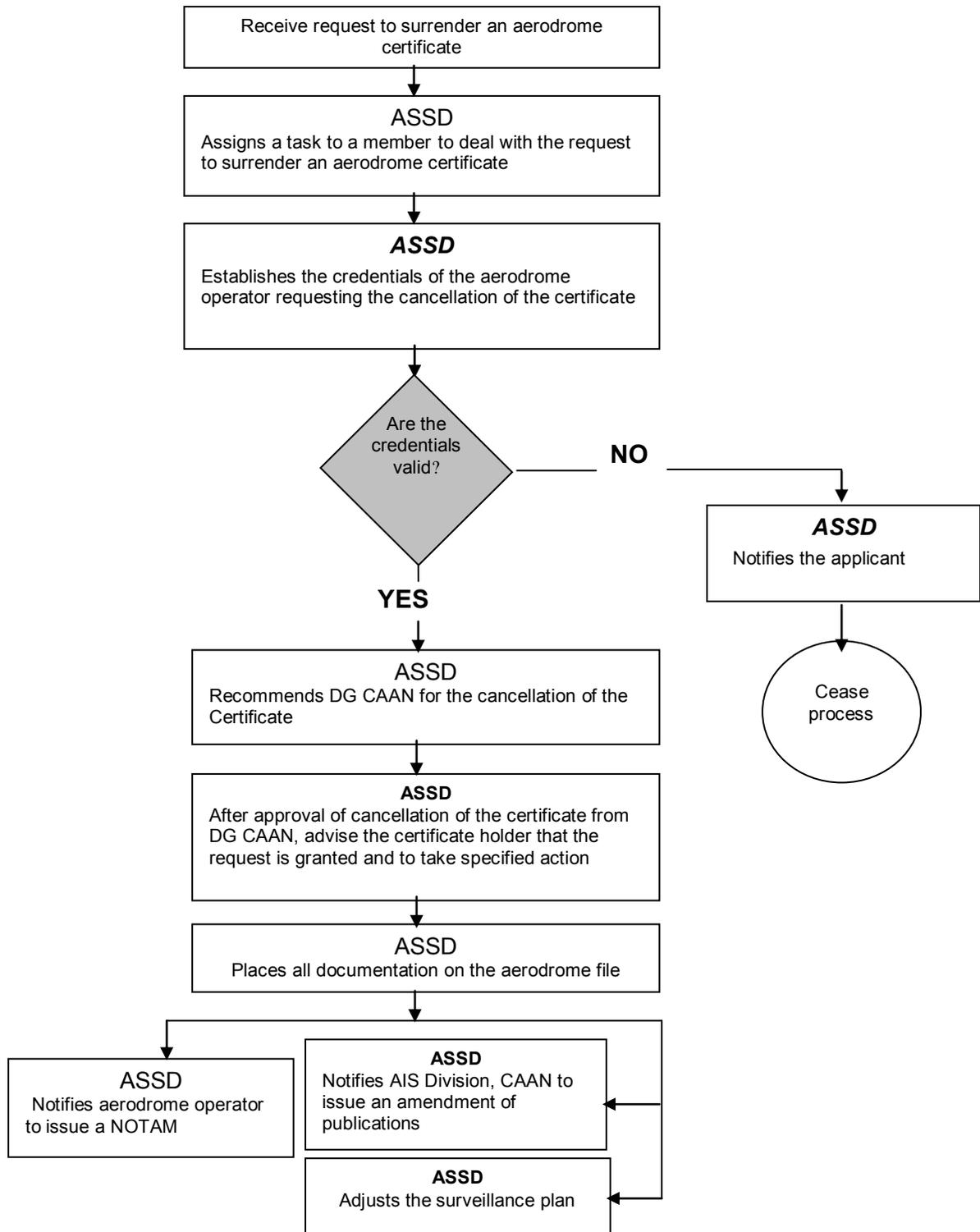
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### **SPECIAL CONDITIONS**

1. *Describe the special condition.*
2. *Describe the special condition.*

## 6.2 Surrender of an Aerodrome Certificate

### 6.2.1 Surrender Process Flowchart



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### 6.2.2 Surrender of Aerodrome Certificate

This section provides for the cancellation of an airport certificate at the request of an aerodrome operator as per **Rule 10 of CAAN ACR 2004**.

#### **Key functions**

The **ASSD** is responsible for initiating the process for the cancellation of the airport certificate on the request of the Aerodrome Operators.

The application for the cancellation of the airport certificate submitted to DG CAAN shall be forwarded to the ASSD for necessary action. The workflow process shall be coordinated by ASSD who will track the progress of the application.

#### **Procedure**

On receipt of the application, the ASSD shall:

1. Establish the credentials of the aerodrome operator requesting the cancellation as the certificate holder.
2. On the notification of the intention to surrender the airport certificate, check that the aerodrome operator has:
  - a. Clearly stated making a request for the cancellation of certificate.
  - b. Specified when cancellation should become effective.

If no date is specified, the certificate cancellation date is the date 60 days from the date of notification.

3. If the aerodrome operator has not supplied the required information for a proper notification of intention to surrender the certificate, contact the operator and advise them to supply the necessary details in writing.
4. Determine whether the aerodrome is to continue to operate as an un-certificated aerodrome.

### 6.2.3 Aerodrome Certificate Surrender Checklist

1. The ASSD must complete the Airport Certificate Surrender Checklist as shown below, to ensure that each step of the aerodrome cancellation procedure is completed.
2. Tick each box to indicate the satisfactory completion of the task. Note the date against each box.
3. Sign and date this form and file it in the aerodrome file when the process is complete.
4. Using the Aerodrome Certificate Surrender Checklist:

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- a. Check that the aerodrome operator has given at least 60 days notice.
  - b. Check that the operator has provided the following information:
    - Are there regular public transport (RPT) operations at the aerodrome?
    - Are there any changes to reporting officer details?
    - If the aerodrome is to be closed to all aircraft, have sufficient safety measures been taken? For example:
      - Will the windsock and boundary markers be removed?
      - Will un-serviceability markers be displayed for a period?
5. If the request is properly made, prepare a letter to the aerodrome operator:
    - a. Notifying the cancellation of the certificate.
    - b. Directing aerodrome operator to return the original certificate document to the CAAN to enable cancellation of the certificate.
    - c. Advising aerodrome operator to carry out any actions necessary in the interests of aviation safety.
  6. Prepare and forward the letter for **DG CAAN** signature and place a copy in the appropriate aerodrome file.
  7. Send the letter of notification to the aerodrome operator before the nominated surrender date (if specified). The sample Letter of Cancellation by Surrender of an Airport Certificate is provided in 6.2.4 below.
  8. When you have the original certificate:
    - a. Mark it as cancelled by completing the following actions using ink:
      - Draw a line through the certificate.
      - Write “**Cancelled**” and the date of the cancellation on the certificate.
      - Sign the certificate.
    - b. Place the original cancelled certificate in the appropriate aerodrome file or a copy of the cancelled certificate.
  8. Notify the **Aeronautical Information Service (AIS)** to issue a NOTAM canceling the certified status of the aerodrome and amend the AIP.
  9. Update the Airport Certificate Register.
  10. Amend aerodrome file and surveillance records.

**Aerodrome Certificate Surrender Checklist**

1. The aerodrome operator must provide CAAN with written notification of the request to surrender the aerodrome certificate. The ASSD who assesses the request may be required to investigate the application further to establish the relevant information.
  - The cancellation date specified by the aerodrome operator.
  - Authority verified — that is, the notification is from the certificate holder and signed.
  - Are air transport operations being conducted at the aerodrome?
  - Is the aerodrome to be closed?
  - Is it necessary for CAAN to recommend any action to be taken by the aerodrome operator to ensure safety of future aircraft operations?
  
2. **The written notification is accepted by CAAN and the certificate is cancelled**
  - Confirm that the details specified in section 1 of this checklist have been addressed.
  - Endorse the original certificate document or a copy attached in the aerodrome file as “**Cancelled**”.
  - Sign the endorsed original certificate document or a copy.
  - Place endorsed original certificate document or copy on the appropriate aerodrome file.
  
3. **Advise the following of the details of the cancellation**
  - Aerodrome Operator in writing the date of cancellation.
  - AIS for issuing NOTAM and any changes to the details of the reporting officer.
  - AIS for amendment to publications.
  - DG**
  
2. **Surveillance Update**
  - Aerodrome Certificate Register update
  - Surveillance Plan amendment

.....  
ASSD

..... / ..... / .....  
Date

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#### 6.2.4 Sample Letter for Cancellation by Surrender

{file reference}

Date:

{Certificate holder's name}

{Address}

Dear {Sir/ Madam}

#### **SURRENDER OF THE CERTIFICATE TO OPERATE {Name of aerodrome}**

This has reference to your letter {number} dated {dd/mm/yy} requesting cancellation of your airport certificate for {name of aerodrome}. Your Aerodrome Certificate bearing the number {xxxx} {has been/will be} cancelled on {dd/mm/yy}. We have arranged for a NOTAM to be issued advising cancellation of the certificate.

#### ***{Insert the relevant paragraph below.}***

As there {are/are no} regular public transport operations at your aerodrome after the date of cancellation, it {will/will not} be subject to continued regular surveillance from this Authority.

As the aerodrome {is to be/has been} closed to all aircraft operations, you are advised to take the following steps.

- Remove the windsock and boundary markers.
- Advise any known local operators.
- Display appropriate un-serviceability markers.

If you have any queries regarding the cancellation of the certificate or the legislative Rules for the continuing use of your aerodrome, please contact this office.

Yours faithfully,

{Signature}

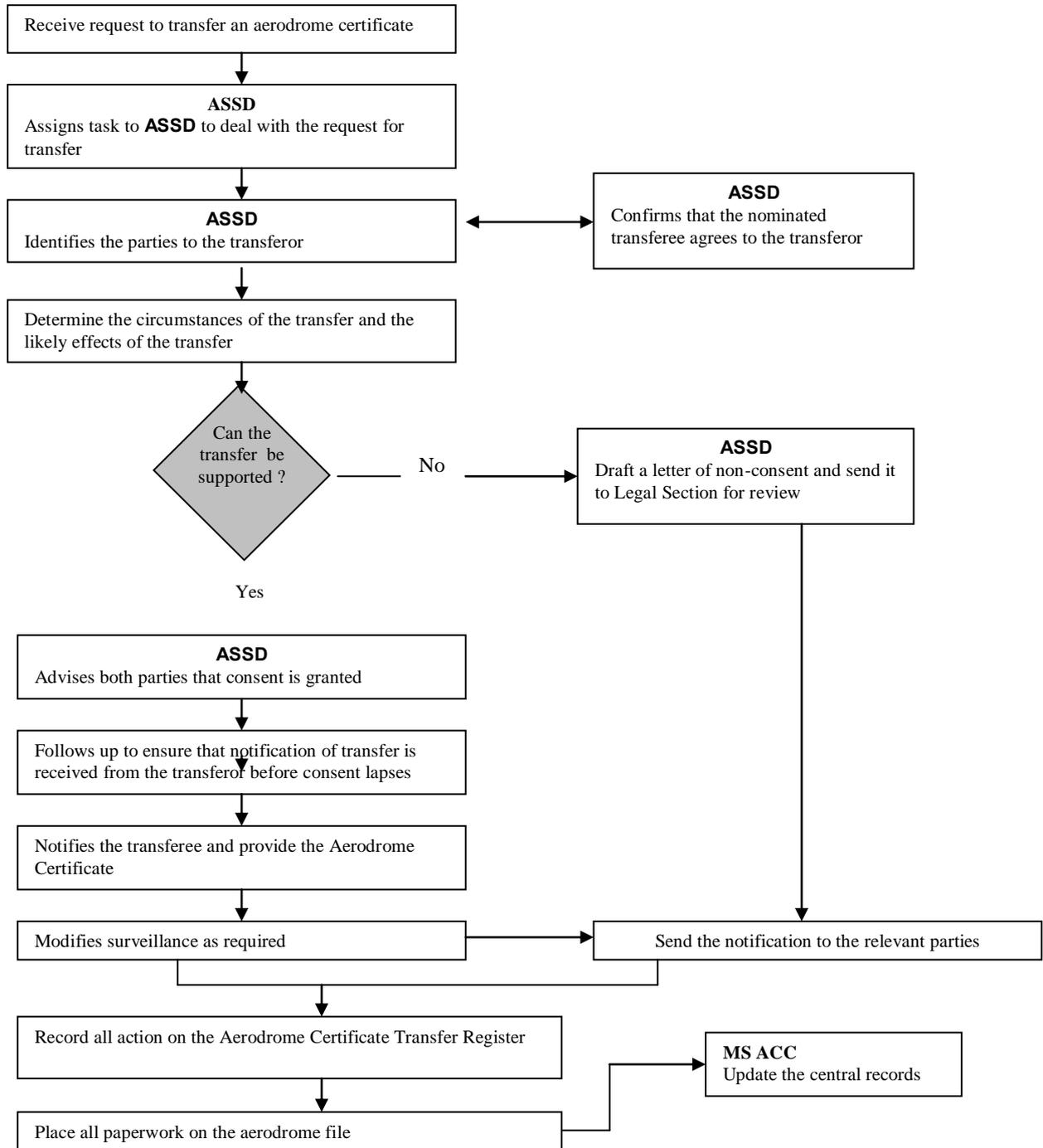
{Name}

Director General

Civil Aviation Authority of Nepal

### 6.3. Transferring an Aerodrome Certificate

#### 6.3.1 Transfer Process Flowchart



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### 6.3.2 Processing Transfer of an Aerodrome Certificate

This section provides for the transfer of an aerodrome certificate at the request of an aerodrome operator as per **Rule 11 of CAAN ACR 2004**.

#### **Key functions**

The **ASSD** is responsible for initiating the process for the transfer of the aerodrome certificate on the request of the Aerodrome Operator.

The application for the transfer of the aerodrome certificate submitted to **DG CAAN** shall be forwarded to the **ASSD** for necessary action. The workflow process shall be coordinated through **ASSD** to track the progress of the application.

#### **Procedure**

ASSD in consultation with the **Members** shall:

**1. Check whether a request for a transfer of Airport Certificate is made by the aerodrome operator.**

The aerodrome operator (transferor/transferee) must make requests in writing for CAAN's consent to transfer an airport certificate prior to 60 days of expiry of the airport certificate.

**2. Assess reasons for a transfer of an Airport Certificate.**

An aerodrome operator may request CAAN's consent to transfer of the certificate in following circumstances:

- (a) If a person having the Aerodrome Certificate gives a notice in writing to the DG, CAAN about the person or agency interested to obtain the said Certificate after having transferred the entitlement of the same,
- (b) If a person interested to obtain the Certificate from the person currently having Aerodrome Certificate by having transferred the entitlement of the same submits an application to the DG, CAAN prior to 60 (sixty) days of the date of expiry of the Certificate for permission to obtain the Certificate by having transferred the entitlement of same, and
- (c) If the process of transfer of the entitlement of the Aerodrome Certificate is completed pursuant to sub-rule (2) of Rule 4 of CAAN ACR 2004.

**3. Check the criteria for a transfer of an Airport Certificate.**

- (a) Consent to a transfer may be given **only** if CAAN is satisfied that the person to whom the certificate will be transferred is able to properly operate and maintain the aerodrome.
- (b) Requests for consent to transfer of an aerodrome certificate must be tested to determine whether:

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- The change should be handled as a genuine transfer; or
  - A situation exists which requires the certificate to be surrendered and a new certificate issued to a different entity.
- (c) A transfer is appropriate when no significant variation will occur in the day-to-day operations of the aerodrome — that is, when:
- Aerodrome Manual procedures remain substantially unaltered (minor amendments — such as contact phone numbers etc — are acceptable)
  - Aerodrome facilities remain substantially unaltered
  - Key aerodrome operational personnel — such as Reporting Officers, Safety Manager/ Officers and the like — remain in their positions or are replaced with staff of equivalent qualification, experience or skill levels.

**4. Check the criteria for non-consent to transfer An Aerodrome Certificate.**

- (a) Consent to transfer **must** be refused if CAAN is not satisfied that the person to whom the certificate is proposed to be transferred is able to properly operate and maintain the aerodrome.
- (b) Generally, CAAN's policy is that consent to transfer should be refused when significant changes to operational aspects of the aerodrome will be made — for example:
- If the certificate document is conditionally endorsed or the transfer would require conditions to be endorsed on the certificate document
  - Reduction of runway, taxiway or apron facilities
  - If the ASSD believes:
    - Significant revision to the Aerodrome Manual will be necessary as a result of the transfer.
    - The proposed staffing arrangements are not adequate or appropriate.

**Note:** *If consent is not granted, the ASSD should take steps to confirm that the current aerodrome operator can meet the obligations of the certificate. It is possible that a transfer of the certificate should be followed up by the CAAN's surveillance.*

**5. Check for any reviewable Decision**

- (a) A refusal to consent to a transfer may be reviewable.
- (b) CAAN's Legal Section should review any statement of reasons contained in a notice to the applicant before the notice is sent to the applicant.

After completion of the transfer, the ASSD shall:

- put copies of the documentation relating to the transfer in the aerodrome file;
- notify AIS for issuing NOTAM and any changes to the details of the reporting officer and for amendment to publications;
- update the Aerodrome Certificate Register; and

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- amend the Surveillance Plan.

ASSD shall use the Aerodrome Certificate Transfer Checklist to monitor and record all actions to process the certificate transfer.

### 6.3.3 Aerodrome Certificate Transfer Checklist

1. **The aerodrome operator must provide CAAN with written notification of the request to transfer the aerodrome certificate. The ASSD, CAAN who assesses the request may be required to investigate the application further to establish the relevant information.**
  - Transfer date (at least 60 days prior to expiry of the aerodrome certificate) specified by the aerodrome operator.
  - Authority verified — that is, the notification is from the certificate holder or from the transferee and signed.
  - Are air transport operations being conducted at the aerodrome?
  - Is the aerodrome to be closed?
  - Is it necessary for CAAN to recommend any action to be taken by the aerodrome operator to ensure safety of future aircraft operations?
  
2. **The written notification is accepted by CAAN and the CAAN's consent to transfer the certificate is not granted**
  - Confirm that the details specified in section 1 of this checklist have been addressed.
  - Reasons for not granting consent to transfer the aerodrome certificate are enclosed.
  - CAAN confirmation not to transfer the aerodrome certificate to transferor/transferee issued.
  
3. **The written notification is accepted by CAAN and the CAAN's consent to transfer the certificate is granted**
  - Confirm that the details specified in section 1 of this checklist have been addressed.
  - CAAN consent to transfer the aerodrome certificate issued to transferor/transferee.
  - CAAN confirmation to transfer the aerodrome certificate to transferee issued.
  - Endorse the original certificate document or a copy attached in the aerodrome file as **"Transferred"**.
  - Sign the original transferred certificate document or a copy.
  - Place the original transferred certificate document or copy in the appropriate aerodrome file.
  
4. **Advise the following details of the transfer of airport certificate**
  - Aerodrome Operator in writing the date of transfer of aerodrome certificate.

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- AIS for issuing NOTAM and any changes to the details of the reporting officer.
- AIS for amendment to publications.
- ASSD, an amendment of the aerodrome certificate register.

**4. Surveillance Update**

- Aerodrome Profile Sheet update
- Surveillance Plan amendment

.....  
ASSD

..... / ..... / .....  
Date

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### 6.3.4 Sample Letters

#### 6.3.4.1 Sample Letter for Consent to Transfer an Aerodrome Certificate

3 Letter of Consent to Transfer of Aerodrome Certificate

{File reference}

Date:

{Aerodrome Operator}

{Aerodrome name}

{Address}

Dear {Sir/Madam},

#### **TRANSFER OF AN CERTIFICATE TO OPERATE {Name of aerodrome}**

This has reference to your letter {number} dated {dd/mm/yy} requesting transfer of your aerodrome certificate for {name of aerodrome} from {transferor} to {transferee}.

Civil Aviation Authority of Nepal consents to this transfer, provided the transfer is executed on or prior to {date/time} or before the expiry of the aerodrome certificate.

Three transfer notification forms are enclosed with this letter. Please complete all three with original signatures and then ensure:

- a. One copy of the signed transfer notification is retained for your records;
- b. Another copy of the signed transfer notification is retained by the transferee; and
- c. The remaining signed transfer notification is returned to this office.

Additionally, would you please ensure the original aerodrome certificate document is passed to the transferee.

Your cooperation in formalizing the transfer of this aerodrome certificate in the above manner is appreciated, as, at a future time, it may be important for CAAN to be able to provide evidence of the chain of title.

Yours faithfully,

{Signature}

{Name}

Director General

Civil Aviation Authority of Nepal

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### 6.3.4.2 Sample Letter for Transfer Confirmation of an Aerodrome Certificate

*{File reference}*

*Date:*

*{New aerodrome operator}*  
*{Aerodrome name}*  
*{Address}*

Dear *{Sir/Madam}*,

**TRANSFER CONFIRMATION OF AN AERODROME CERTIFICATE TO OPERATE**  
**{Name of aerodrome}**

This has reference to the transfer of *{aerodrome name}* aerodrome from *{transferor}* to yourself which took effect from *{date}*.

Please find enclosed a Transferred Aerodrome Certificate. The Transferred Aerodrome Certificate is provided, should you wish to display publicly that you are now the operator of *{aerodrome name}* aerodrome.

The original aerodrome certificate document, with the letter of consent previously copied to you, establishes the legal basis on which you are certified as the operator of *{aerodrome name}* aerodrome and, additionally, provides evidence of the chain of title for this aerodrome certificate.

Please ensure any requirements relating to published information or aerodrome manual data variations associated with the transferred certificate are actioned by NOTAM and/or amendment issue, as appropriate.

Yours faithfully,

*{Signature}*  
*{Name}*  
 Director General  
 Civil Aviation Authority of Nepal

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### 6.3.4.3 Sample Letter for Non-consent to Transfer of Aerodrome Certificate

{File reference}

Date:

{Certificate holder's name}  
 {Aerodrome name}  
 {Address}

Dear {Name}

This has reference to your request for the Civil Aviation Authority of Nepal to consent the transfer of aerodrome certificate number {XXnnn} for {aerodrome name} aerodrome from you to {name of the proposed new certificate holder}.

The CAAN has decided not to consent to the proposed transfer of the aerodrome certificate. The CAAN decision is made because

*{Insert statement of reasons. The statement of reasons should refer to your understanding of the relevant law, any findings of fact on which a conclusion depends and your reasoning process. Explanations should be stated clearly, using unambiguous language and should not use vague or legalistic terms. All statements of reasons are to be cleared with legal section before the letter is issued.}*

*Examples of reasons may be that the transfer will involve significant variation to operational procedures, substantial variation to the facilities or to the key personnel.}*

You are hereby advised that, subject to the current appeal process you or any person whose interests are affected by this decision may apply to (as required) for a review of the CAAN decision within 35 days from the date of this letter.

You are reminded that you retain all the obligations of aerodrome operator under the current certificate. If you are unable or not prepared to continue to meet these obligations, please advise the concerned official of CAAN of your intentions.

Yours faithfully,

{Signature}

{Name}  
 Director General  
 Civil Aviation Authority of Nepal

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### 6.3.5 Sample Aerodrome Certificate for Transfer



## *Aerodrome Certificate*

*Number: nnn*

### Certificate of Transfer

This certifies that the Civil Aviation Authority of Nepal, in accordance with the provisions of regulation 11 of the CAAN Airport Certification Regulations 2061 (2004) has consented to the transferor of the

*{Transferee's Name}*

to operate

*{Aerodrome Name}*

The operation and use of the aerodrome is subject to the Civil Aviation Authority Act 1996, the CAAN Airport Certification Regulations 2061 (2004), and any relevant directions issued including any conditions endorsed by the Civil Aviation Authority of Nepal. This certificate remains in force until surrendered, suspended or cancelled and transferred.

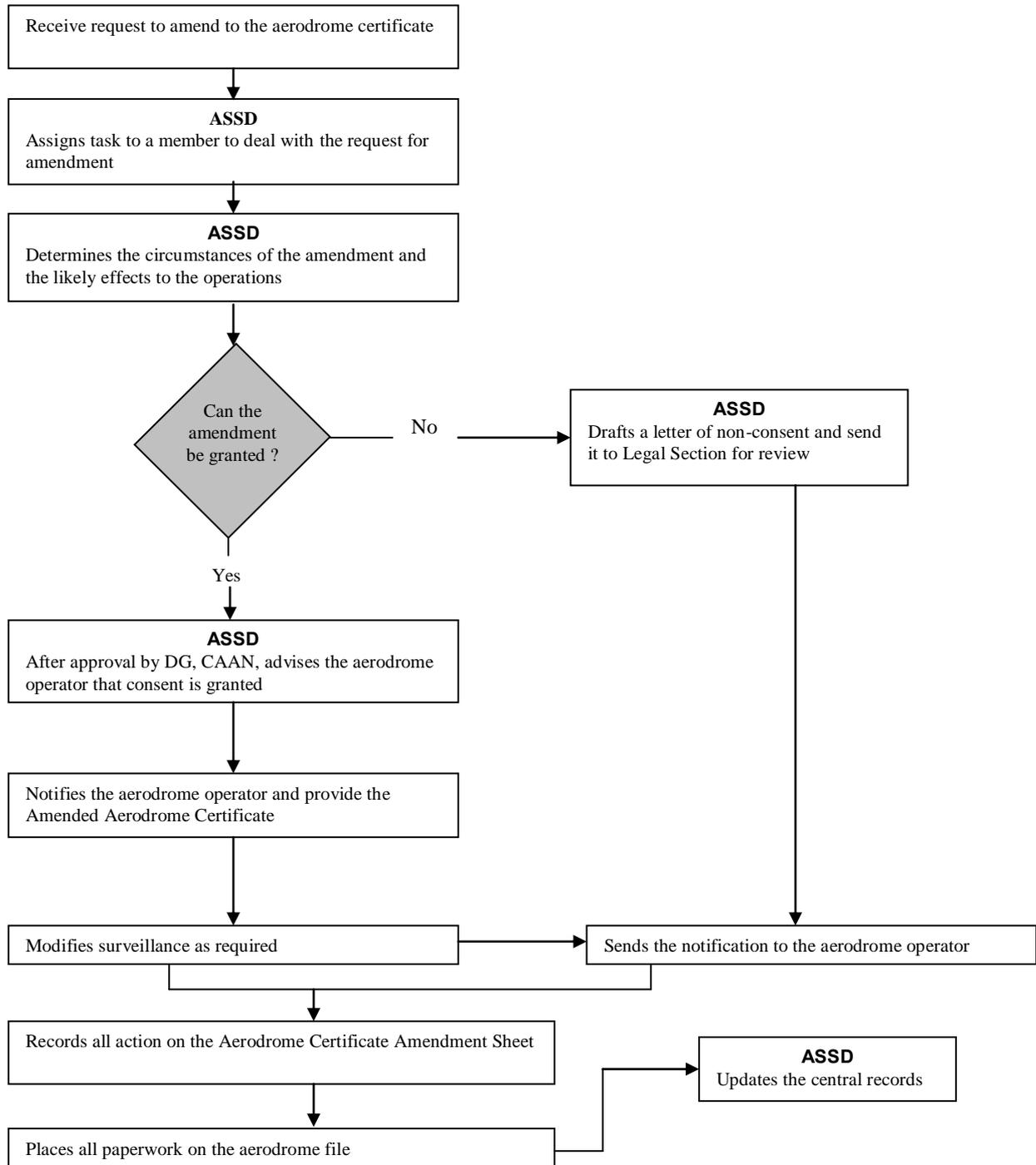
Date: Day/Month/Year

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Civil Aviation Authority of Nepal

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## 6.4 Amendment to the Aerodrome Certificate

### 6.4.1 Amendment Process Flowchart



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## 6.4.2 Processing Amendments

**Rule 13 of CAAN ACR 2004** permits an aerodrome certificate to be amended by CAAN, if the following circumstances occur:

- Change in the ownership or management of the aerodrome;
- Change in the use or operation of the aerodrome;
- Change in the boundary of the aerodrome; or
- The holder of the aerodrome certificate requests an amendment.

### **Key functions**

The ASSD is responsible for initiating the process for the amendment of the aerodrome certificate on the request of the Aerodrome Operator.

The application for the amendment of the aerodrome certificate submitted to DG CAAN shall be forwarded to the ASSD for necessary action. The workflow process shall be coordinated through ASSD who will track the progress of the application.

### **Procedure**

ASSD in consultation with the **Members** shall:

**1. Check whether the request for an amendment to Aerodrome Certificate be made by the aerodrome operator.**

The aerodrome operator must make requests for consent to amend an aerodrome certificate. CAAN's policy should be that requests for amendment of the aerodrome certificate must be made in writing.

**2. Check reasons for an amendment of an Aerodrome Certificate.**

An aerodrome operator may request CAAN's consent to amend the certificate when:

- There is a change in the ownership or management of the aerodrome;
- There is a change in the use or operation of the aerodrome;
- There is a change in the boundary of the aerodrome; or
- The holder of the aerodrome certificate requests an amendment.

**3. Check criteria for an amendment of an Aerodrome Certificate.**

- (a) Consent to an amendment may be given **only** if CAAN is satisfied with the reasons submitted by the aerodrome operator.

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(b) An amendment is appropriate when no significant variation will occur in the day-to-day operations of the aerodrome — that is, when:

- Aerodrome Manual procedures remain substantially unaltered (minor amendments — such as contact phone numbers etc — are acceptable)
- Aerodrome facilities remain substantially unaltered
- Key aerodrome operational personnel — such as Reporting Officers, Safety Officers and the like — remain in their positions or are replaced with staff of equivalent qualification, experience or skill levels.

#### **4. Check criteria for non-consent to amend an Aerodrome Certificate**

(a) Consent to amendment **must** be refused if CAAN is not satisfied with the reasons submitted by the aerodrome operator.

(b) Generally, CAAN's policy is that consent to amendment should be refused when significant changes to operational aspects of the aerodrome will be made — for example:

- If the certificate document is conditionally endorsed or the amendment would require conditions to be endorsed on the certificate document;
- Reduction of runway, taxiway or apron facilities
- If the ASSD believes that:
  - a significant revision to the Aerodrome Manual will be necessary as a result of the amendment.
  - the proposed staffing arrangements are not adequate or appropriate.

**Note:** *If consent is not granted, the ASSD should take steps to confirm that the aerodrome operator can meet the obligations of the certificate. It is possible that an amendment of the certificate should be followed up by the CAAN's surveillance.*

#### **5. Check for any reviewable decision**

A refusal to consent to an amendment may be reviewable.

CAAN's Legal Section should review any statement of reasons contained in a notice to the applicant before the notice is sent to the applicant.

After completion of the amendment of the aerodrome Certificate, the ASSD shall:

- put copies of the documentation relating to the amendment of the Aerodrome Certificate in the aerodrome file;
- notify AIS for issuing NOTAM and any changes to the details of the reporting officer and for amendment to publications;

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- update the Aerodrome Certificate Register; and
- amend the Surveillance Plan.

ASSD shall use the Aerodrome Certificate Amendment Checklist to monitor and record all actions to process the amendment of the aerodrome certificate.

### 6.4.3 Aerodrome Certificate Amendment Checklist

1. **The aerodrome operator must provide CAAN with written notification of the request to amend the aerodrome certificate. The ASSD, CAAN who assesses the request may be required to investigate the application further to establish the relevant information.**
  - Amendment date specified by the aerodrome operator.
  - Authority verified — that is, the notification is from the certificate holder and signed.
  - Are air transport operations being conducted at the aerodrome?
  - Is the aerodrome to be closed?
  - Is it necessary for CAAN to recommend any action to be taken by the aerodrome operator to ensure safety of future aircraft operations?
  
2. **The written notification is accepted by CAAN and the CAAN's consent to amend the certificate is not granted**
  - Confirm that the details specified in section 1 of this checklist have been addressed.
  - Reasons for not granting consent to amend the aerodrome certificate are enclosed.
  - CAAN confirmation not to amend the aerodrome certificate issued.
  
3. **The written notification is accepted by CAAN and the CAAN's consent to amend the certificate is granted**
  - Confirm that the details specified in section 1 of this checklist have been addressed.
  - CAAN confirmation to amend the airport certificate issued.
  - Endorse the original certificate document or a copy attached in the aerodrome file as **"Amended"**.
  - Sign the amended certificate document.
  - Place the copy of the amended certificate document in the appropriate aerodrome file.
  
4. **Advise the following details of the amendment of aerodrome certificate**
  - Aerodrome Operator in writing the date of amendment of aerodrome certificate.
  - AIS for issuing NOTAM and any changes to the details of the reporting officer.
  - AIS for amendment to publications.

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- ASSD, an amendment of the aerodrome certificate register.

**5. Surveillance Update**

- Aerodrome Profile Sheet update
- Surveillance Plan amendment

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Date:

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## 6.4.4 Sample Letters

### 6.4.4.1 Sample Letter for Amendment of an Aerodrome Certificate

*{File reference}*

*Date:*

*{New aerodrome operator}*

*{Aerodrome name}*

*{Address}*

Dear *{Sir/Madam}*,

**AMENDMENT OF AN AERODROME CERTIFICATE TO OPERATE *{Name of aerodrome}***

This has reference to your request for the Civil Aviation Authority of Nepal to amend the aerodrome certificate number *{XXnnn}* for *{aerodrome name}* aerodrome.

The CAAN has decided to consent to amend the aerodrome certificate.

Please find enclosed an amended Aerodrome Certificate. The previous aerodrome certificate document, establishes the legal basis on which you are certified as the operator of *{aerodrome name}* aerodrome and, additionally, provides evidence of the chain of title for this aerodrome certificate.

Please ensure any requirements relating to published information or aerodrome manual data variations associated with the amended certificate are actioned by NOTAM and/or amendment issue, as appropriate.

Yours faithfully,

*{Signature}*

*{Name}*

Director General

Civil Aviation Authority of Nepal

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#### 6.4.4.2 Non-consent to Amend an Aerodrome Certificat

{File reference}

Date:

{Certificate holder's name}

{Aerodrome name}

{Address}

Dear {Name}

This has reference to your request for the Civil Aviation Authority of Nepal to consent an amendment of aerodrome certificate number {XXnnn} for {aerodrome name} aerodrome.

The CAAN has decided not to consent to the proposed amendment of the aerodrome certificate. The CAAN decision is made because:

*{Insert statement of reasons. The statement of reasons should refer to your understanding of the relevant law, any findings of fact on which a conclusion depends and your reasoning process. Explanations should be stated clearly, using unambiguous language and should not use vague or legalistic terms. All statements of reasons are to be cleared with legal section before the letter is issued.}*

*Examples of reasons may be that the amendment of the certificate will involve significant variation to operational procedures, substantial variation to the facilities or to the key personnel.}*

You are hereby advised that, subject to the current *appeal process* you or any person whose interests are affected by this decision may apply to (*as required*) for a review of the CAAN decision within 35 days from the date of this letter.

You are reminded that you retain all the obligations of aerodrome operator under the current certificate. If you are unable or not prepared to continue to meet these obligations, please advise the concerned official of CAAN of your intentions.

Yours faithfully,

{Signature}

{Name}

Director General

Civil Aviation Authority of Nepal

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## 6.5 Compliance and Enforcement

### 6.5.1 Cancelling or Suspending an Aerodrome Certificate

**Rule 16 of CAAN ACR 2004** empowers the CAAN to suspend or cancel an aerodrome certificate if CAAN is satisfied that certain grounds exist.

#### *Key functions*

The ASSD is responsible for initiating the process for the cancellation of the aerodrome certificate if the certificate holder:

- Has breached a condition to which the Certificate was subjected; or
- Fails to satisfy the standards required for the aerodrome facilities, operations or maintenance.

#### *Procedure*

1. Using the Aerodrome Certificate Suspension or Cancellation Check sheet ASSD shall:
  - a. Check that the Aerodrome Operator has been given a period of 21 days to rectify all deficiencies identified by the **Member(s)** during inspection before issuing warning letter to suspend the certificate.
  - b. Check that the Aerodrome Operator has been given a period of 14 days warning notice before suspension of the Certificate.
  - c. Check that the aerodrome operator's certificate has been suspended for the period as specified by the **DG CAAN**.
  - d. Check that the deficiencies are not rectified within the period of suspension of the certificate then action should be taken to cancel the certificate.

#### **Note the Rule 16 (2) of CAAN ACR 2004:**

"If there is any solid and reasonable ground which does not allow to suspend or cancel the Airport Certificate, the Director General may give time not exceeding 35 days to the person having Airport Certificate to submit justification in writing including the ground; and the justification shall be seriously taken into consideration prior to deciding to suspend or cancel the Airport certificate. The written information of suspension or cancellation of the Airport Certificate must be given to the person having Airport Certificate through prompt means".

2. If CAAN makes a decision to suspend or cancel the certificate, prepare a letter of notification to the aerodrome operator:
  - a. Notifying the suspension or cancellation of the certificate
  - b. In case of cancellation of the certificate, instruct the aerodrome operator to return the original certificate document to the CAAN.

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- c. Advising aerodrome operator to carry out any actions necessary in the interests of aviation safety.
3. Prepare and forward the letter for **DG CAAN** signature. Place a copy of the letter in the appropriate aerodrome file.
4. Send a letter of notification to the aerodrome operator before the date of cancellation of the Certificate — refer to 6.5.3.3 for the sample Letter of Cancellation by CAAN.
5. When you have the original certificate:
  - a. Mark it as cancelled by completing the following actions using ink:
    - Draw a line through the Certificate.
    - Write “Cancelled” and the date of the cancellation on the Certificate.
    - Sign the Certificate.
  - b. Place the original certificate in the appropriate aerodrome file.
6. Notify the Aeronautical Information Service (AIS) to issue a NOTAM of canceling the certified status of the aerodrome and amend the AIP.
7. Update the Aerodrome Certificate Register.
8. Amend aerodrome file and surveillance records.

***Check for any reviewable decision***

A refusal to consent to an amendment may be reviewable.

CAAN’s Legal Section should review any statement of reasons contained in a notice to the applicant before the notice is sent to the applicant.

**6.5.2 Aerodrome Certificate Suspension or Cancellation Checklist**

1. **Before issuing a Letter of Warning Notice to the Aerodrome Operator**
  - Ensure that the Aerodrome Operator is given 21 days period to rectify all deficiencies identified during inspection of the aerodrome by ASSD.
  - Confirm that the Aerodrome Operator has not rectified the deficiencies within 35 days.
  - Issue a Letter of Warning Notice.
  - Place a copy of the letter in the appropriate aerodrome file.
2. **Before issuing a Letter of Suspension of the Certificate to the Aerodrome Operator**
  - Ensure that the Aerodrome Operator has been issued a Letter of 14 days Warning Notice

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- Confirm that the Aerodrome Operator has not rectified the deficiencies within 14 days of the issue of the Letter of Warning Notice.
- Issue a Letter of Suspension of the Certificate.
- Place a copy of the letter in the appropriate aerodrome file.

**3. Before issuing a Letter of Cancellation of the Certificate to the Aerodrome Operator**

- Ensure that the Aerodrome Operator has been issued a Letter of Suspension of the Certificate for a period specified by DG CAAN.
- Confirm that the Aerodrome Operator has not rectified the deficiencies within the period of the suspension of the Certificate (period specified by DG CAAN) to the satisfaction of the DG CAAN.
- Action shall be taken to cancel the Certificate

**4. If CAAN makes a decision to cancel the Certificate**

- Prepare and forward the Letter of Cancellation of the Certificate for DG CAAN signature.
- Ensure that the Aerodrome Operator has been issued a Letter of Cancellation of the Certificate.
- Place a copy of the letter in the appropriate aerodrome file.
- Confirm that the aerodrome operator has been instructed to return the original certificate document to the CAAN to enable cancellation of the Certificate
- Confirm that the aerodrome operator has been advised to carry out any actions necessary in the interests of aviation safety.
- Advise AIS through for issuing NOTAM of the cancellation of the Certificate and any changes to the details of the reporting officer.
- Advise AIS for amendment to publications.
- Advise DG

**5. When the Aerodrome Certificate has been cancelled and the Certificate returned to CAAN**

- Endorse the original certificate document or a copy attached in the aerodrome file as **Cancelled**.
- Sign the endorsed original certificate document or a copy.
- Place endorsed original certificate document or copy in the appropriate aerodrome file.

**6. Surveillance Update**

- Aerodrome Profile Sheet updated
- Surveillance Plan amended

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Date

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### 6.5.3 Sample Letters

#### 6.5.3.1 Sample Warning Notification

{file reference}

Date:

{Certificate holder's name}

{Address}

Dear {Sir/ Madam}

**WARNING NOTICE FOR THE SUSPENSION OF AN AERODROME CERTIFICATE**  
**{name of aerodrome}**

This has reference to our letter {Number} dated {dd/mm/yy}.

As you have failed to rectify the findings mentioned in the above letter within the period stated, this Authority will suspend your Aerodrome Certificate effective from {dd/mm/yy}.

( Note: The date should be 35 days from the date of issue of this letter)

If you have any queries regarding above, please contact this Authority.

Yours faithfully,

{Signature}

{Name}

Director General

Civil Aviation Authority of Nepal

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### 6.5.3.2 Sample Letter for Suspension of an Aerodrome Certificate

{file reference}

Date:

{Certificate holder's name}

{Address}

Dear {Sir/ Madam}

**SUSPENSION OF AN AERODROME CERTIFICATE {name of aerodrome}**

This has reference to our letter {Number} dated {dd/mm/yy}.

As you have failed to rectify the findings mentioned in the above letter within the period stated, this Authority has decided to suspend your Aerodrome Certificate effective from {dd/mm/yy} for the period specified by the DG CAAN.

If you fail to rectify the findings within this period, your certificate will be cancelled by this Authority.

If you have any queries regarding above, please contact this Authority.

Yours faithfully,

{Signature}

{Name}

Director General

Civil Aviation Authority of Nepal

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### 6.5.3.3 Cancellation of an Aerodrome Certificate

*{file reference}*

*Date:*

*{Certificate holder's name}*

*{Address}*

Dear *{Sir/ Madam}*

#### **CANCELLATION OF AN AERODROME CERTIFICATE *{name of aerodrome}***

This has reference to our letter *{Number}* dated *{dd/mm/yy}*.

As you have failed to rectify the findings mentioned in the letter *{Number}* dated *{dd/mm/yy}* within the period stated in the letters reference *{Numbers and dates}* this Authority has decided to cancel your Aerodrome Certificate effective from *{dd/mm/yy}*. We have arranged for a NOTAM to be issued in this regard.

*{Insert the relevant paragraph below}*

As there *{are/are no}* regular public transport operations at your aerodrome after the date of cancellation, it *{will/will not}* be subject to continued regular surveillance from this Authority.

As the aerodrome *{is to be/has been}* closed to all aircraft operations, you are advised to take the following steps.

- Remove the windsock and boundary markers.
- Advise any known local operators.
- Display appropriate unserviceability markers.

If you have any queries regarding the cancellation of certificate or the legislative rules for the continuing use of your aerodrome, please contact this office.

Yours faithfully,

*{Signature}*

*{Name}*

Director General

Civil Aviation Authority of Nepal

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**Appendix – 01**

**GUIDELINES**

**ON**

**CONDUCTING  
AERODROME CERTIFICATION AUDIT**

**CAAN**

**December 2013**

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## Aerodrome Certification Audit

### ..... INTERNATIONAL AIRPORT

#### 1. DEFINITIONS AND AUDIT TERMINOLOGY

When the following terms are used in aerodrome certification audit activities, they have the meanings indicated.

**Adequate.** Fulfilling minimal requirements; satisfactory; acceptable; sufficient.

**Assessment.** An appraisal of procedures or operations based largely on experience and professional judgment.

**Audit.** A systematic and objective review of an aerodrome operator’s compliance with the provisions of national regulations, conformance with or adherence to SARPs, procedures and good aviation safety practices.

**Audit activities.** Those activities and procedures by which information is obtained to verify that the audited aerodrome operator is in conformance with, or adherence to, applicable SARPs, procedures and good aviation safety practices. Such activities may include, but are not limited to, interviews, observations, inspections and the review of files and documents.

**Audit finding.** The determination with respect to the compliance with the provisions of the national regulations, conformance with or adherence to SARPs, procedures and good aviation safety practices.

**Audit follow-up.** An audit of an aerodrome operator to determine progress in implementing recommendations or the corrective action plan which resulted from certification or safety audit, and to include supplementary findings and recommendations if made incidental to the audit follow-up.

**Audit preparation briefing for team members.** A pre-audit briefing provided to team members by the audit team leader, the purpose of which is to provide information and instructions, as appropriate, directly related to the specific audit to be conducted.

**Audit report.** A standardized means of reporting the audit findings to the aerodrome operator.

**Audit team leader/Coordinator ASSD.** The individual designated by the Director General, Civil Aviation Authority of Nepal, to be responsible for the conduct of an audit, including the consolidation and completion of the audit report.

**Certification.** The process of determining competence, qualification, or quality on which an aviation document is based.

**Conformance.** The state of meeting the requirements of an ICAO Standard.

**Corrective action plan.** An action plan submitted to DG, CAAN, by an audited aerodrome operator, detailing the action(s) proposed to be taken, on the basis of findings made by an audit team. Implementation of the corrective action plan should bring the

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audited aerodrome operator into full compliance with the provisions of the national regulations, conformance with or adherence to SARPs, procedures and good aviation safety practices.

**Inspection.** The basic activity of an audit, which involves examination of the specific characteristics of the safety related activities of the aerodrome operator.

**Non-adherence.** A deficiency in characteristic, documentation or procedure with respect to a recommended practice, procedure, guideline or good aviation safety practice.

**Non-compliance.** A deficiency in characteristic, documentation or procedure with respect to provisions of a national regulation.

**Non-conformance.** A deficiency in characteristic, documentation or procedure with respect to an ICAO Standard.

**Objective evidence.** Information which can be proved to be true, based on facts obtained through independent observation, measurement, test or other means.

**Observation.** Information provided to an operator as an alert regarding conformance of an existing condition compared to a potential new standard about which CAA has knowledge.

**Post-audit meeting.** A meeting of the CAAN audit team and the representatives of the audited aerodrome operator at the end of the audit, the purpose of which is to provide the operator authorities with a brief on audit findings and to enable the operator to start working on its corrective action plan.

**Pre-audit meeting.** A meeting of the CAAN audit team and the representatives of the aerodrome operator to be audited before the commencement of the audit, the purpose of which is to provide the operator with information on the audit process and the scope of the audit.

**Procedure or process.** A series of steps followed in a methodical manner to complete an activity (what shall be done and by whom; when, where and how it shall be completed; what materials, equipment, and documentation shall be used, and how it shall be controlled).

**Safety.** Safety is the state in which the risk of harm to persons or property damage is reduced to, and maintained at or below, an acceptable level through a continuing process of hazard identification and risk management.

**Standard auditing procedures.** Established criteria governing the conduct of an audit, aimed at measuring an operator's level of compliance, conformance or adherence.

**Verification.** The independent review, inspection, examination, measurement, testing, checking, observation and monitoring to establish and document that products, processes, practices, services and documents conform to specified standards. This includes evaluating the effectiveness of management systems.

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## 2. AUDIT PERSONNEL

Audit personnel must satisfy certain qualification and experience criteria. Examples of such criteria are that personnel must:

- a) have extensive knowledge of Civil Aviation Authority Act 1996, CAAN Airport Certification Regulation 2004 and the Manual of Airport Certification Procedures, CAAN;
- b) have adequate knowledge of Civil Aviation Requirements for Aerodromes, ICAO Annex 14 Volume I and other guidance materials;
- c) demonstrate motivation and the ability to write clearly and concisely;
- d) have initiative, judgment, tact and the ability to maintain harmonious working relationships in a multidisciplinary environment; and
- e) have command of both Nepalese and English languages.

## 3. OBSERVERS

Observers of CAAN airport certification audits may be permitted with the approval of DG CAAN. Personnel may also be allowed to participate as observers if, in the opinion of DG CAAN, their participation will benefit the overall safety objective of the audit.

Observers may also be assigned for on-the-job training. Such observers of an audit are personnel other than Members of the ASSD assigned to participate in the audit for training or familiarization purposes.

Participation of observers shall be made known to the audited aerodrome operator in the same manner the audit team members are made known and they shall also be included in the list of team members.

## 4. DEPARTMENT of AERODROME SAFETY and STANDARD (ASSD)

### 4.2 Coordinator of ASSD

DG CAAN will appoint an audit team leader for each audit, who is usually the Coordinator of ASSD. The audit team leader/Coordinator ASSD assumes responsibility for the conduct and reporting of the audit in accordance with guidance and instructions provided by DG CAAN, including those found in this document.

DG CAAN will take into consideration qualifications, experience and relations with other team members when choosing an audit team leader.

In addition to specific tasks assigned by DG CAAN, an audit team leader's/Coordinator's responsibilities may include:

- a) preparation of the aerodrome specific audit plan;

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- b) coordinating with the aerodrome operator in matters related to the conduct of the audit;
- c) holding an audit preparation briefing for team members prior to the conduct of the audit;
- d) conducting pre- and post-audit meetings with the operator;
- e) providing leadership and guidance, as necessary, to audit team members; and
- f) coordinating the development of the audit report and submitting it to DG CAAN.

#### 4.3 Members of ASSD

Members of **ASSD** are assigned to specific audits by DG CAAN and are accountable to the Coordinator of **ASSD**.

Members of **ASSD** are required to be free from bias and influences that could affect their objectivity as aviation safety audit team members. Members of **ASSD** must maintain independence from the audited aerodrome operator. They must always remain within the scope of the audit, display integrity, exercise objectivity and remain alert to any indication of evidence that may influence the audit result.

In addition to the specific tasks assigned by DG CAAN or the Coordinator of **ASSD**, the Members' responsibilities may include:

- a) communicating and clarifying audit requirements;
- b) planning and carrying out assigned responsibilities effectively and efficiently;
- c) documenting all findings and observations;
- d) developing a report of findings and recommendations;
- e) assessing the effectiveness of the corrective action plan submitted by an audited aerodrome operator; and
- f) cooperating with and assisting the Coordinator of **ASSD** at all times during the preparation, conduct and completion of the audit process.

#### 4.4 Aerodrome Inspectors (Members of ASSD) Code of Conduct

As a Coordinator of or as a Member in a **ASSD**, each individual is required to comply with a code of conduct that directs his/her actions during the entire process of the audit. These rules of conduct for each individual Coordinator/Member of **ASSD** are as follows;

- a) To exercise in all loyalty, discretion and conscience the functions entrusted to them as a Coordinator/Member of the **ASSD** (aerodrome safety oversight audit team);
- b) To discharge these functions to the best of their ability;
- c) To conduct themselves with integrity, impartiality and honesty;

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- d) To abide by the rules, procedures and guidance prescribed in this handbook;
- e) Not to misuse their official position as part of the CAAN aerodrome safety oversight audit team;
- f) Not to receive benefits of any kind from a third party which might reasonably be seen to compromise their personal judgment or integrity;
- g) To avoid giving cause for resentment and abstain from conduct which would reflect adversely on the CAAN; and
- i) Not to disclose any information of a confidential nature related to the findings of the audit to any other party other than those identified in this handbook.

## **5. AUDIT FINDINGS**

### **5.1 Non-compliance, Non-conformance and Non-adherence**

An audit finding that identifies lack of compliance with legislation or a regulation promulgated by the Government of Nepal will be recorded as a non-compliance.

An audit finding that identifies lack of conformance with or implementation of an ICAO Standard will be recorded as a non-conformance.

An audit finding that identifies lack of adherence to an ICAO Recommended Practices, procedure, safety-related guidance material or recognized aviation safety practices will be recorded as a non-adherence.

The finding record will describe the relevant standard auditing procedure and reasons for the finding. If applicable, the record will include recommendations for corrective action. However, operators will generally be expected to provide corrective actions based on their own knowledge, skills and environmental considerations for assessment by the CAAN as appropriate or otherwise.

### **5.2 Observations**

An audit finding, that is not in accordance with a future requirement, of which CAAN **ASSD** aware will be alerted to the aerodrome operator as an observation. Operators are advised that observations are not required to be addressed with a corrective action.

### **5.3 Communication of Audit Findings**

CAAN **ASSD** will informally advise the operator's staff of audit findings as the audit proceeds. The complete list of confirmed findings (including any confirmed remedial action) will be presented to the aerodrome operator at the exit meeting, and confirmed in the formal report provided by **ASSD** subsequent to the audit conclusion and exit meeting.

## **6. CORRECTIVE ACTION PLAN**

At the completion of an audit, the operator has the responsibility to develop a corrective action plan defining action planned to be taken to resolve unfavorable findings within the period determined and agreed upon for this purpose.

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Corrective actions and deadlines, as necessary, should be established for each of the audit findings. Together, the corrective actions form the operator's corrective action plan.

The operator's corrective action plan must be submitted within 45 calendar days after receiving the audit report, which is to be submitted to the operator within 35 calendar days following the post-audit meeting.

If deemed necessary, DG CAAN will establish contact with the audited aerodrome operator within approximately 35 days after the CAAN has accepted a corrective action plan, in order to assess progress made in implementing the accepted corrective action plan. The contact may be effected through a visit to the aerodrome or through written or oral communication.

If the operator has not submitted a corrective action plan within the agreed-upon period, the **ASSD** will indicate that the aerodrome operator has failed to provide a corrective action plan within the prescribed period.

## 7. **AUDIT REPORTS**

The products of each certification audit are the briefs and reports prepared and submitted as appropriate. Each audit will conclude with the preparation and submission of an audit report.

All briefs and reports will be prepared on the basis of guidance included in this document.

All materials, notes and reports obtained or made during the audit will be considered confidential by CAAN.

## 8. **FOLLOW-UP ACTION**

If findings of non-compliance with CAAN Airport Certification Regulations 2004 and SARPs of Civil Aviation Requirements for Aerodromes are revealed during the audit, an audited aerodrome operator will be required to resolve such identified differences.

If the operator fails to do so and differences still remain during the preparation of the audit report, the differences will be included in the audit report.

Follow-up action will be effected through monitoring the status of implementation of accepted aerodrome operator's corrective action plans and completion of audit follow-ups.

The CAAN will maintain a status of implementation record of accepted corrective actions. Aerodrome operators are required to provide update information as corrective actions are completed, so that the status report can be kept current and an audit follow-up mission planned.

## 9. **ASSD FEEDBACK**

- 9.1 Following the conclusion of an audit and the compilation of the audit report, each individual Coordinator/Member **ASSD** is required to complete and submit an "Auditor Feedback Form" (see **Attachment - E**) providing his/her observations on the conduct of the audit. These forms will be utilised to provide a qualitative assessment on the audit

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process so as to identify areas of improvement for future audits. The assessment will be carried out by the **ASSD**.

- 9.2 If an individual auditor or group of auditors (**Coordinator/Members of ASSD**) has reason to believe that they are under any pressure to act illegally, improperly or in an unethical manner, or are asked to take any action that is in contravention of the procedures laid out in this handbook, they are to report this matter in writing to the Director General CAAN.

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**Appendix - 02**

**Audit Notification Letter to Aerodrome Operator**

*{file reference}*

*Date:*

*{Certificate holder's name}*

*{Address}*

Dear *{Sir/ Madam}*,

**Subject:        Aerodrome Audit**

As part of the CAAN safety oversight of aerodrome safety, an audit of your organisation is required and has been scheduled during the week commencing *mm/dd/yyyy*.

The demonstrated performance of organizations (personnel, equipment, information, facilities, etc) as observed during these audits is the prime means used by the CAAN when establishing the approval of, and continuing compliance for, certificated aerodromes, as well as providing an indicator for the frequency and scope of future surveillance programmes.

**Audit Reference Number**

All enquiries relating to this audit should refer to Aerodrome Audit Reference Number *nnn*.

**Objective**

The objective of the audit is to assess your organization's aerodrome safety compliance with respect to **CAAN ACR 2004** and safety standards specified by the **CAR - 14, PART - I**.

**Documents, records, equipment and facilities**

Documents and records will be sampled, and a physical inspection of the relevant procedures, equipment or facilities is likely to be carried out. To facilitate this process would you please have available any of the following that may be relevant to the audit:

- Local training records;
- Personnel competency records for individual aerodrome Officers;
- Recurrent testing procedures and records;
- Operations Manuals and/or Standard Operating Procedures (SOPs);
- Records of meetings and decisions taken regarding safety matters; and
- Management must be available for interview.

Access to key staff associated with aerodrome operations and management will also be required.

**Personnel**

At the commencement of the audit the Senior Executive of the aerodrome should be present and available. The person responsible within your organisation for quality assurance is welcome to attend.

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The requirements for their ongoing presence throughout the audit will be discussed at that time. If for any reason a senior person is unavailable to attend this audit then please contact the Audit Team Leader (**Coordinator of ASSD**).

**Confirmation of date and time**

The Audit Team Leader for this audit will be **Mr. AAA** and he will contact you directly to confirm the audit dates. Any audit enquiries should be addressed directly to him.

Yours faithfully,

{Signature}

{Name}  
 Director General  
 Civil Aviation Authority of Nepal

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### **Appendix - 03**

#### **Activities of Aerodrome Certification Audit Program [Example only]**

Date	Activity	Time	Task
Day 1	Opening meeting	09:30 – 10:00	General briefing and audit entry meeting with Airport Manager
	Aerodrome Manual, Part 1, General Information	10:30 – 12:30	Documentation review
	Aerodrome Manual, Part 2, Particulars of the Aerodrome Site	13:30 – 16:00	Documentation review
Day 2	Aerodrome Manual, Part 3, Particulars of the aerodrome required to be reported to the AIS	09:00 – 12:30	Documentation review
	<ul style="list-style-type: none"> <li>Site visit to verify aerodrome data</li> </ul>	13:30 – 16:00	Airside visit
Day 3	Aerodrome Manual Part 4, Aerodrome Operating Procedures:		
	4.1 Aerodrome reporting	09:00 – 10:00	Documentation review
	4.2 Access to the aerodrome movement area	10:00 – 11:00	Documentation review
	4.3 Aerodrome Emergency Plan	11:00 – 12:30	Documentation review
	4.4 Rescue and Fire Fighting Services	13:30 – 16:00	Documentation review and visit of RFFS
Day 4	Aerodrome Manual Part 4, Aerodrome Operating Procedures:		
	4.4 Inspection of the aerodrome movement area and obstacle limitation surfaces	09:00 – 10:00	Documentation review and Aerodrome serviceability inspections
	4.5 Visual aids and aerodrome electrical system	10:00 – 11:30	Documentation review and visit to electrical department
		11:30 – 12:30	
	4.6 Maintenance of the movement area	13:30 – 14:00	Documentation review and visit to civil maintenance department:
		14:00 – 15:00	
	4.7 Aerodrome works safety	15:00 – 16:00	Documentation review and visit to civil maintenance department
Night Inspection	18:30 – 22:00	Approach and airfield lighting system	
Day 5	Aerodrome Manual Part 4, Aerodrome Operating Procedures:		
	4.9 Apron management	09:00 – 10:00	Documentation review
	4.10 Apron safety management	10:00 – 11:00	Documentation review
	4.11 Airside vehicle control	11:00 – 12:30	Documentation review
	4.12 Wildlife hazard	13:30 – 14:30	Documentation review

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Date	Activity	Time	Task
	management		and visit to office
	4.13 Obstacle control	14:30 – 16:00	Documentation review
Day 6	Aerodrome Manual Part 4, Aerodrome Operating Procedures:		
	4.14 Removal of Disabled Aircraft	09:00 – 10:00	Documentation review
	4.15 Handling of hazardous materials: • Site visit to fuel farm	10:00 – 11:00	Documentation review and Site visit to fuel farm
		11:00 – 12:30	Site visit to fuel farm
	4.16 Low visibility operations	13:30 – 14:30	Documentation review
4.17 Protection of sites for Radar and navigational aids	14:30 – 16:00	Documentation review and site visit	
Day 7	Aerodrome facilities and equipment:		
	Aerodrome facilities • Runway and runway strip • Runway lighting • Taxiway and taxiway strips • Other movement area marking, lighting, signs • Aprons Site visit to the movement area	09:30 – 12:30	Documentation review
		13:30 – 16:00	
Day 8	Aerodrome Manual, Part 5, Aerodrome Administration and Safety Management System:		
	Aerodrome Administration	09:00 – 13:00	Documentation review
	Coordination with AIS	10:00 – 11:30	Documentation review
	Aerodrome manual amendment procedure	11:30 – 12:30	Documentation review
	Audit exit meeting	14:00 - 15:30	Briefing on audit findings and observation to Airport Manager and senior officials

**Appendix 04**

**Aerodrome Pre-Audit Questionnaire**

**AERODROME PRE-AUDIT QUESTIONNAIRE**

**AERODROME OPERATOR:**

**Name of Airport:** \_\_\_\_\_  
**Name of General/Airport Manager** \_\_\_\_\_  
**Contact #** \_\_\_\_\_  
**Name of Head of Operations** \_\_\_\_\_  
**Contact #** \_\_\_\_\_

**Part 1 - Aerodrome**

S/N	QUESTIONS	ANSWERS BY AERODROME OPERATOR
1.1	Does the airport have an approved aerodrome manual?	
1.2.	Who is responsible within the airport management for the maintenance of this manual?	
1.3.	Who is responsible for coordinating the implementation of the contents of the manual at the airport?	
1.4.	Has the airport established procedures for the amendment of this manual, and if so, where are these measures described.	
1.5.	When was the manual last amended?	
1.6	List ground handling agencies, and their functions, at the airport. e.g. airlines, ground service providers and fuel organizations	
1.7	Is there any document on Airport Emergency Procedures?	
1.8	Who are the officers responsible for its implementation?	
1.9	Is there any Aerodrome plan	
2.0	Is there any Aerodrome development programme in place?	
2.1	Any Safety Management Systems in place?	
2.2	Who monitors implementation?	
2.3	Any Quality Management System in place?	
2.4	How effective is the system?	
2.5	Does the airport have a copy of the Aerodrome Standards Manual?	
2.6	Is it being implemented?	
2.7	Have you received the Audit checklist and other relevant documentation manual?	

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## Appendix - 05

### **Suggested Agenda Items for an Opening/Entry Meeting**

- 1) Welcome
- 2) Introduction of the auditors and interviewees from the audited organization
- 3) Presentation of the audit team members (if not already done)
- 4) Presentation of the audit approach
- 5) Presentation of the audit context
- 6) If appropriate, mention the previous audit
- 7) Review of objectives and the field of application of the audit
- 8) Brief presentation of the audit methodology while insisting on its standardized nature
- 9) Presentation of the audit sequence: discussions, visits (ask if it is possible to take photos), consulting of documents
- 10) Auditor's code of ethics: non-argumentative, non-intrusive, non-accusatory, confidentiality assured
- 11) Presentation of the advantages of the audit (progress and improvements in the aerodrome programme)
- 12) Presentation of the audit plan with possible last-minute changes
- 13) Confirmation of the date and time of all discussions and of the final meeting
- 14) Clarification of any unclear aspects of the audit plan
- 15) Resolution of material aspects: Confirmation of the availability of the necessary equipment and installations
- 16) Clarification of any unclear aspect of the aerodrome certificate holders aerodrome programmes or pre-audit questionnaire
- 17) Answer the questions of the representatives from the different services responsible for aerodrome operations
- 18) Record of attendees
- 19) Audit termination
- 20) Conclusion

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## Appendix - 06

### AUDIT CHECKLISTS FOR AERODROME CERTIFICATION

A system safety audit is the usual means for a regulatory organization to assess initial and on-going compliance of a service provider with the minimum mandatory obligations that are associated with activity in the aviation industry. These checklists pertain to aerodrome operations, and encompass the full gamut of activity required by CAAN for initial audit of a complex airport to determine if a certificate can be issued. The checklists may need to be reviewed at subsequent surveillance audits or inspections depending on the scope and depth of regulatory oversight activity that is planned to occur.

**It is important to consider [at least] the following when verifying a process:**

- The adequacy of the available Infrastructure and how it supports the process.
- How does the Auditee monitor the performance of the process and make improvements?
- Has the organization assigned a responsible and competent person to ensure the process remains adequate and current?
- Is there a competent person who has the appropriate authority to change the process?
- Are the people involved adequately trained?

**When identifying a non-compliance with the regulations, look beyond the immediate occurrence and ask:**

*Why?*

*Who?*

*What led to this? What's the history?*

*What are the broader factors involved, and how do they inter-relate in the chain of events leading to the conditions which allowed the non-compliance to exist?*

For a certification audit the required elements are to be tested for conformity with mandatory obligation imposed by **CAAN ACR 2004** and the safety specifications of the Civil Aviation Requirements for Aerodromes -14 Part I (and ICAO Annex 14 Volume I if appropriate).

Within the checklists, status of individual items may be 'compliant' (C), 'non-compliant' (NC), 'not applicable' (NA) or observation (O).

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## CONTENTS OF AERODROME CERTIFICATION AUDIT CHECKLIST

1. Aerodrome manual general requirements, including authorization by the Chief Executive Officer (or equivalent)
2. Information about the aerodrome site
3. Information to be notified to AIS
4. Aerodrome operating procedures
  - 4.1 Aerodrome reporting
  - 4.2 Access to movement area
  - 4.3 Aerodrome Emergency Plan
  - 4.4 Aerodrome Rescue and Fire Fighting Service
  - 4.5 Inspections of movement area and obstacle limitation areas
  - 4.6 Visual aids and electrical systems
  - 4.7 Maintenance of movement area
  - 4.8 Aerodrome work safety
  - 4.9 Apron operation management
  - 4.10 Apron safety management
  - 4.11 Airside vehicle control
  - 4.12 Wildlife hazard management
  - 4.13 Obstacle control
  - 4.14 Disabled Aircraft Removal Strategy Plan
  - 4.15 Handling of hazardous materials
  - 4.16 Low visibility operations
  - 4.17 Protection of Radar and Navigational Aid Sites
5. Aerodrome administration
  - a. Aerodrome administration
  - b. Aerodrome safety management system

**Note:** *The details listed represent the minimum content of an aerodrome manual. Each aerodrome operator must tailor the content of their manual to reflect the complexity and operating environment of the aerodrome.*



## Audit Checklist - Aerodrome Manual

### Part 1. General Information

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Does the aerodrome operator have a complete and current copy kept at the aerodrome? Is it in a printed form? Has the operator provided DG CAAN with a complete and current copy? Is the operator's copy available to authorized persons during normal business hours?	ACR 2004 – 18.1 ACR 2004 – 18.2 ACR 2004 – 5 ACR 2004 – 18.1		
Does the manual consist of more than 1 document? If yes, is there adequate cross-reference between documents? Are other copies kept in electronic form?			
Has DG CAAN approved the manual?	ACR 2004 – 22		
Are omitted sections covered by reason for non-applicability?	ACR 2004 – 20 (3)		
Are details of exemptions included?	ACR 2004 – 35		
Are details of conditions included?	ACR 2004 – 8		
Does the manual include a procedure to ensure that it will be amended whenever necessary to maintain its accuracy? Does the manual include a procedure to ensure that it will comply with any directions that DG CAAN may give to amend the manual?	ACR 2004 – 21 ACR 2004 – 21		
Does the manual include a procedure to ensure that the operator will advise DG CAAN of any amendments?	ACR 2004 – 21		
Has a person been appointed to be controller of the manual? Does the manual have details of the persons who hold copies of it? And procedures for ensuring that updates of the manual are distributed to all holders?	ACR 2004 – 23 ACR 2004 – 23 ACR 2004 – 23		
Can a reader tell when changes have been made to the manual?	ACR 2004 – 21		
Can a reader tell if the manual is up to date?			

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<b>Activity and objective</b>	<b>Regulatory /standards reference</b>	<b>Status "C", "NC", "O", "NA"</b>	<b>Comments</b>
Does the manual have a process to ensure that the procedures it contains remains relevant, current and accurate	ACR 2004 –18 (D)		
And procedures for ensuring that any deviations from the manual that are made to ensure the safety of aircraft are reported to DG CAAN.	NA		

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## Audit Checklist - Aerodrome Manual

### Part 2. Aerodrome Site Details

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Does the aerodrome manual contain relevant data in Part 2 for the aerodrome site?	ACR 2004 – 20, schedule -1		
Does Part 2 of the manual contain: a plan of the aerodrome showing main facilities including location of each wind direction indicator?  a plan showing aerodrome boundaries?  a plan showing distance of the aerodrome from the nearest city, town or populous area and position of the aerodrome? the location of any aerodrome facilities and equipment outside the aerodrome boundary?	ACR 2004 – 20, schedule -1		
Does Part 2 of the manual contain either:  details of the land certificate(s) for the aerodrome site or  details of the control over (eg, lease agreements) the property on which the aerodrome is located?	ACR 2004 – 20, schedule -1		

**Audit Checklist - Aerodrome Manual****Part 3. Information to be notified to AIS**

*Does the manual contain the following information?*

*Can the aerodrome operator verify it?*

*Does information in the manual correlate with published AIP data?*

Activity and objective	Regulatory /standards reference	Status “C”, “NC”, “O”, “N/A”	Comments
<b>Sub-part 3.1 General information:</b>			
The name of the aerodrome;	ACR 2004 schedule -1, Part 3, 3.1		
Aerodrome Reference Code	CAR - 14, PART I - 1.7		
The town or city where the aerodrome is located;	ACR 2004 schedule -1, Part 3, 3.1		
The geographic coordinates of the aerodrome reference point (WGS 84);	ACR 2004 schedule -1, Part 3, 3.1 CAR - 14, PART I - 2.2		
The elevation of the aerodrome, and geoid undulation;	ACR 2004 schedule -1, Part 3, 3.1 CAR - 14, PART I - 2.3		
The elevation of: each threshold and the geoid undulation; the elevation of the runway end and any significant high or low points along the runway; the highest elevation of the touchdown zone for a precision approach runway;	ACR 2004 schedule -1, Part 3, 3.1 CAR - 14, PART I - 2.3.2		
The aerodrome reference temperature;	ACR 2004 schedule -1, Part 3, 3.1		



Activity and objective	Regulatory /standards reference	Status “C”, “NC”, “O”, “NA”	Comments
	CAR - 14, PART I - 2.4		
Details of the aerodrome beacon;	ACR 2004 schedule -1, Part 3, 3.1 CAR - 14, PART I - 5.3.3.3 to 5.3.3.7		
The name of the aerodrome operator and the address and telephone numbers at which the aerodrome operator may be contacted at all times;	ACR 2004 schedule -1, Part 3, 3.1 ACR 2004 schedule -1, Part 3, 3.1		
Local information: The hours of operation, if applicable; The available ground services; Any special procedures;  Any local precautions.	ACR 2004, 34		
Geographical co-ordinates and top elevation for each significant obstacle in the approach and take-off climb areas, in the circling area and in the vicinity of the aerodrome;	ACR 2004 schedule 1, Part 3, 3.2 CAR - 14, PART I - 2.5.5		
Contact information for the aerodrome co-ordinator of the disabled aircraft recovery plan, and statement of capability to remove the largest disabled aircraft using on-airport equipment.	ACR 2004 schedule 1, Part 3, 3.2		
<b>Sub-part 3.2 Aerodrome dimensions and related information:</b>			
The true bearing of each runway and the runway designation number;			



Activity and objective	Regulatory /standards reference	Status “C”, “NC”, “O”, “NA”	Comments
Magnetic variation in degrees, date of information and annual change;	ACR 2004 schedule 1, Part 3, 3.1		
The length, width and slopes of each runway;	ACR 2004 schedule 1, Part 3, 3.1 CAR - 14, PART I - 2.5.1 a)		
Location of displaced threshold if any;	ACR 2004 schedule 1, Part 3, 3.1 CAR - 14, PART I - 2.5.1 a)		
Geographical co-ordinates of each threshold;	ACR 2004 schedule 1, Part 3, 3.1 CAR - 14, PART I - 2.5.2		
Runway surface type	ACR 2004 schedule 1, Part 3, 3.2 CAR - 14, PART I - 2.5.1 a)		
Type of runway (instrument, non-instrument)	ACR 2004 schedule 1, Part 3, 3.2 CAR - 14, PART I - 2.5.1 a)		



Activity and objective	Regulatory /standards reference	Status “C”, “NC”, “O”, “NA”	Comments
Obstacle free zone available (applicable instrument runways)	ACR 2004 schedule 1, Part 4, 4.13 CAR - 14, PART I - 2.5.1 a)		
Dimensions and surface type for RESA and stopways;	ACR 2004 schedule 1, Part 3, 3.2 CAR - 14, PART I - 2.5.1 b)		
The length, width and surface type of the graded and overall runway strip;	ACR 2004 schedule 1, Part 3, 3.2 CAR - 14, PART I - 2.5.1 b), 3.4.2 and 3.4.4		
Dimensions, ground profile and surface type of clearways when provided;	ACR 2004 schedule 1, Part 3, 3.2 CAR - 14, PART I - ,2.5.1 f)		
The pavement surface type and its strength rating in PCN system;	ACR 2004 schedule 1, Part 3, 3.2 CAR - 14, PART I - 2.6		
The runway declared distances for each runway;	ACR 2004 schedule 1, Part 3, 3.2 CAR - 14, PART I - ,2.8		
The intersection take-off distances for each runway if available;	ACR 2004 schedule 1, Part 3, 3.2; 5.4.3.20		
Length, width, surface type and numbering system of taxiways	ACR 2004 schedule 1, Part 3, 3.2 CAR - 14, PART I -		



Activity and objective	Regulatory /standards reference	Status “C”, “NC”, “O”, “NA”	Comments
	2.5.1 c)		
Taxiway pavement strength in PCN system	ACR 2004 schedule 1, Part 3, 3.2 CAR - 14, PART I - 2.6		
Location and designation of any standard taxi routes;	ACR 2004 schedule 1, Part 3, 3.2 CAR - 14, PART I - 2.5.1 i)		
Geographical co-ordinates of any appropriate taxiway centre line points	ACR 2004 schedule 1, Part 3, 3.2 CAR - 14, PART I - 2.5.3		
Apron surface type, pavement strength and aircraft stand numbers;	ACR 2004 schedule 1, Part 3, 3.2 CAR - 14, PART I - 2.6		
Geographical co-ordinates for aircraft stands;	ACR 2004 schedule 1, Part 3, 3.2 CAR - 14, PART I - 2.5.4		
The Aerodrome Obstacle Chart Type A details as applicable	ACR 2004, 30 & schedule 1, Part 4, 4.13 CAR - 14, PART I - 2.5.5		
Aerodrome RFFS Category;	ACR 2004 schedule 1, Part 3, 3.2 CAR - 14, PART I - 2.11		



Activity and objective	Regulatory /standards reference	Status “C”, “NC”, “O”, “NA”	Comments
Location and frequency for any VOR checkpoints;	ACR 2004 schedule 1, Part 4, 4.4 CAR - 14, PART I - 2.5.1 h)		
Locations and elevations for any established pre-flight altimeter check positions;	ACR 2004 schedule 1, Part 3, 3.2 CAR - 14, PART I - 2.7		
<b>Sub-part 3.3 Information about visual aid systems:</b>			
The type of runway lighting, if any, for each runway	ACR 2004 schedule 1, Part 4, 4.6		
The type of approach lighting;	ACR 2004 schedule 1, Part 4, 4.6		
The visual approach slope indicator system for each runway, if any;	ACR 2004 schedule 1, Part 4, 4.6		
Is portable lighting available and listed?	ACR 2004 schedule 1, Part 4, 4.6		
The type of lighting for taxiways;	ACR 2004 schedule 1, Part 4, 4.6		
The type of lighting for aprons;	ACR 2004 schedule 1, Part 4, 4.6		
Other visual control and guidance aids for runways, taxiways and aprons (RWY holding position, intermediate holding position and stop bars);	ACR 2004 schedule 1, Part 4, 4.6		
Details of the system of marking runway, taxiway and apron elements;	ACR 2004 schedule 1, Part 4, 4.6		
Availability of standby power, switching arrangements and changeover times;	ACR 2004 schedule 1, Part 4, 4.6		
A description of the visual docking guidance systems at any aprons used by			

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Activity and objective	Regulatory /standards reference	Status “C”, “NC”, “O”, “NA”	Comments
aircraft conducting international operations, and the aircraft parking positions where the systems are installed;	CAR - 14, PART I –I 5.3.24		

**Note:** See *CAR - 14, PART - I* for specifications about data elements and required degrees of accuracy

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**Audit Checklist - Aerodrome Manual, Part 4 - Aerodrome Operating Procedures and Safety Measures**  
**Sub-part 4.1 Aerodrome Reporting Procedure**

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
<b><i>Aerodrome Manual</i></b>			
Does the manual contain details of the arrangements for reporting any changes that may affect aircraft operations to AIS and local air traffic services?	ACR 2004, 30 CAR - 14, PART I - 2.13.1		
And for recording the reporting of changes during and outside the normal hours of aerodrome operation?	ACR 2004, 30		
Does it include the contact details for the persons and organizations to which changes are to be reported?	ACR 2004, 30 & schedule 1, Part 4		
And the name of the reporting officer responsible for reporting the changes and the telephone numbers for contacting him or her during and after working hours?	ACR 2004, 30 & schedule 1, Part 4		
And the process for ensuring that the reporting officer is trained in accordance with the Manual of standards (CAR - 14, PART - I)?	ACR 2004, 25 (1)		
And the arrangements for reporting changes of aerodrome information published in AIP to AIS and CAAN?	ACR 2004, 30		
And for ensuring that the notification to AIS is in writing?	ACR 2004, 30		
And the procedures for issuing NOTAMs?	ACR 2004, 30		
Including NOTAMs for temporary or permanent changes in the physical condition of the aerodrome that may affect the safety of aircraft?	ACR 2004, 30		
Does the manual have a process for review of data published in AIP and NOTAM?	ACR 2004, 30		
And any other occurrence relating to the operation or maintenance of the aerodrome that may affect the safety of aircraft?	ACR 2004, 26		
And the arrangements for keeping records of reports made?	ACR 2004, 26		

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Activity and objective	Regulatory /standards reference	Status “C”, “NC”, “O”, “N/A”	Comments
<b>Record Keeping</b>			
List of documents checked (e.g. NOTAM etc.).	Check the records at AIS		
Is the operator maintaining records in accordance with the aerodrome manual?	Check the records at AIS		
Are records of staff training available?			
<b>Facilities</b>			
Are adequate and suitable staff and resources available?	Interview the Director, AOFD and staff		
Has the reporting officer been trained in accordance with the ACR 2004 and CAR - 14, PART - I ?	Records of training – HRD, CAAN		
<b>Procedures</b>			
Are reports made to AIS in accordance with the manual or changes in the physical condition of the aerodrome? And for changes to published information? And for obstacles?	Check the NOTAM initiation and issues in AOFD and AIS		
Are reports made by the persons identified in the manual?	Check in AOFD/GFSD		
Are their contact details in accordance with the manual?	ACR 2004, schedule 1, Part 4		
Are staff members aware of safety requirements related to reporting?	ACR 2004, schedule 1, Part 4		
Are conditions or exemptions complied with?	AM		



Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
<b>Product Check</b>			
Does the field condition confirm any existing or recent NOTAMs?	CHECK THE NOTAM INITIATION AND ISSUED IN AOFD AND AIS		
<b>Feedback</b>			
Are reporting related incidents noted, reported and followed up?	Check the records		

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**Audit Checklist - Aerodrome Manual, Part 4 - Aerodrome Operating Procedures and Safety Measures**  
**Sub-part 4.2 Access to Aerodrome Movement Area**

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
<b>Aerodrome Manual</b>			
Does the manual contain particulars of information about preventing the unauthorized entry of persons, vehicles, equipment, plant or animals, or other things that may endanger aircraft safety, into the movement area?	ACR 2004, 29 & 45		
Does it include details of the arrangements for controlling airside access?	ACR 2004, 29 & schedule 1, Part 4, 4.2, 4.11		
And the names and roles of the persons who are responsible for controlling access to the movement area and the telephone numbers for contacting them during and after working hours?	ACR 2004, 29 & schedule 1, Part 4, 4.2, 4.11		
<b>Record Keeping</b>			
List of documents checked (e.g. records of permanent and casual pass issued by TIACAO, AP Security Programme, SoP for access control to airport restricted areas etc.)			
Is the operator maintaining records in accordance with the aerodrome manual?			
<b>Facilities</b>			
Are adequate and suitable staff and resources available?	Interview the Director, AOFD and staff of AVSEC Division		
Are physical control measures in place in accordance with the aerodrome manual?	Inspect at Airside visit		
<b>Procedures</b>			
Are the arrangements for controlling airside access in accordance with the manual?	Check the records of pass issued		

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Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Are the appropriate persons carrying out this function in accordance with the manual?	Interview the Director, AOFD		
Is the staff aware of safety requirements related to unauthorised entry?	Interview the staff		
Are any conditions or exemptions complied with?	Check AM		
<b>Product Check</b>			
Was airside control observed to be effective and in accordance with the manual?	Inspect at Airside visit		
<b>Feedback</b>			
Are unauthorised entry incidents noted, reported and followed up?	Check the records		

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## Audit Checklist - Aerodrome Manual, Part - 4 Aerodrome Operating Procedures and Safety Measures

### Sub-part 4.3 Aerodrome Emergency Plan

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
<b>Aerodrome Manual</b>			
Does the manual contain details of the agencies (committee) involved in case of the aerodrome emergency on and off the airport and contact details for each member of the agencies?	ACR 2004, schedule 1, Part 4, 4.3 CAR - 14, PART - I, 9.1.5 d)		
Does the committee include a representative from all emergency services that would be likely to be asked to assist in an emergency?	ACR 2004, schedule 1, Part 4, 4.3 CAR - 14, PART - I, 9.1.3		
Does it contain a description of the role of each emergency service organization involved in the plan?	ACR 2004, schedule 1, Part 4, 4.3 CAR - 14, PART - I, 9.1.5 c)		
And details of the activation, control and coordination of the emergency service organisations during an emergency?	ACR 2004, schedule 1, Part 4, 4.3 CAR - 14, PART - I, 9.1.2		
And the aerodrome's emergency facilities and arrangements to keep them in readiness?	ACR 2004, schedule 1, Part 4, 4.3 CAR - 14, PART - I, 9.1.7 to 9.1.10		
And the operational response to an emergency including any arrangements for aerodrome access and assembly areas?	ACR 2004, schedule 1, Part 4, 4.3		
And the response to a local stand-by call out?	ACR 2004, schedule 1, Part 4, 4.3 CAR - 14, PART - I, 9.1.9		

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<b>Activity and objective</b>	<b>Regulatory /standards reference</b>	<b>Status “C”, “NC”, “O”, “N/A”</b>	<b>Comments</b>
And the response to a full emergency call out?	ACR 2004, schedule 1, Part 4, 4.3 CAR - 14, PART - I, 9.1.8		
And the arrangements to return the aerodrome to operational status after an emergency?	ACR 2004, schedule 1, Part 4, 4.3		
What are the arrangements for a periodic review (at least once per year) in consultation with the organization referred to in the plan?	ACR 2004, schedule 1, Part 4, 4.3 CAR - 14, PART - I, 9.1.13		
And arrangements for reviewing actual emergencies or exercises as soon as practicable to assess the plan's adequacy and take corrective action?	ACR 2004, schedule 1, Part 4, 4.3 CAR - 14, PART - I, 9.1.13		
And keeping records of each review for at least 1 year?	ACR 2004, schedule 1, Part 4, 4.3		
Does the manual include the arrangements for testing the aerodrome emergency plan with a full-scale exercise at least every 2 years?	ACR 2004, schedule 1, Part 4, 4.3 CAR - 14, PART - I, 9.1.13 a)		
And arrangements to ensure that the exercise tests the coordination of the emergency services and the adequacy of the procedures and facilities provided for in the plan?	ACR 2004, schedule 1, Part 4, 4.3 CAR - 14, PART - I, 9.1.13 Note		
Does the manual include arrangements to defer an exercise if an actual emergency occurs?	ACR 2004, schedule 1, Part 4, 4.3		
Does the manual observe human factor principles?	ACR 2004, schedule 1, Part 4, 4.3;		



<b>Activity and objective</b>	<b>Regulatory /standards reference</b>	<b>Status</b> “C”, “NC”, “O”, “N/A”	<b>Comments</b>
	CAR - 14, PART - I 9.1.6		
Does the manual include arrangements for partial exercises in the intervening year between full-scale exercises?	ACR 2004, schedule 1, Part 4, 4.3 CAR - 14, PART - I 9.1.13 b)		
<b>Record Keeping</b>			
List of documents checked.	AEP, Report of exercises and critique forms		
Is the operator maintaining records in accordance with the aerodrome manual?	Check the above records		
<b>Facilities</b>			
Are adequate and suitable staff and resources available?	Interview the Director, AOFD and Chief of GFSD		
<b>Procedures</b>			
Are the current membership and contact arrangements for the Aerodrome Emergency Committee in accordance with the manual?	ACR 2004, schedule 1, Part 4, 4.3		
Is the frequency of meetings in accordance with the manual?	ACR 2004, schedule 1, Part 4, 4.3		
Are all of the necessary participating/responding agencies adequately represented?	ACR 2004, schedule 1, Part 4, 4.3		
Is the AEP reviewed in accordance with the manual?	ACR 2004, schedule 1, Part 4, 4.3		
Is the AEP tested in accordance with the manual?	ACR 2004, schedule 1, Part 4, 4.3		
Are copies of the AEP distributed in accordance with the manual?	ACR 2004, schedule 1, Part 4, 4.3		
Is the staff aware of safety requirements for emergency planning?	ACR 2004, schedule 1,		



<b>Activity and objective</b>	<b>Regulatory /standards reference</b>	<b>Status</b> "C", "NC", "O", "N/A"	<b>Comments</b>
	Part 4, 4.3		
Are any conditions or exemptions complied with?	AM		
<b>Product Check</b>			
DG CAAN may not attend AEP exercises. If it is considered necessary to attend, the check should be done as an observation exercise. In other cases, the following product check can be conducted from records kept by the operator.	Reports of the exercises conducted		
Was the exercise planned in accordance with the manual?	AM/AEP		
Date of last exercise?			
Did the appropriate agencies attend?			
Was an appropriate objective tested?			
Was a debriefing held in accordance with the manual?			
Were appropriate amendments made to the AEP?			
<b>Feedback</b>			
Are aerodrome emergency related incidents noted, reported and followed up			

**Audit Checklist - Aerodrome Manual, Part 4 - Aerodrome Operating Procedures and Safety Measures****Sub-part 4.4 Aerodrome Rescue and Fire Fighting Service (RFFS)**

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
<b>Aerodrome Manual</b>			
Does the manual include procedures for meeting the needs of a RFFS, including the information on facilities, equipment, personnel and vehicles?	ACR 2004, 39 & schedule 1, Part 4, 4.4		
Is the category determination process stated clearly?	ACR 2004, 39 & schedule 1, Part 4, 4.4		
Is the category determined in accordance with the standards for international or domestic requirements?	CAR - 14, PART - I 9.2.3		
Is provision made for difficult terrain environments?	CAR - 14, PART - I 9.2.2		
Is provision made for category coverage during periods of reduced frequency of operations?	ACR 2004, 39 & schedule 1, Part 4, 4.4 CAR - 14, PART - I 9.2.7		
Does the manual provide information about the quantities of water available for foam production and complementary agents?	ACR 2004, 39 & schedule 1, Part 4, 4.4 CAR - 14, PART - I 9.2.11		
And is the quantity of foam provided on vehicles in proportion to the quantity of water provided?	ACR 2004, 39 & schedule 1, Part 4, 4.4 CAR - 14, PART - I 9.2.11		
Does the manual provide information about operational objectives?	CAR - 14, PART - I 9.2.22 & 23		



Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Does the manual give information about training requirements: <ul style="list-style-type: none"> <li>- Initial firefighter requirements?</li> <li>- Continuing training?</li> <li>- Live fire drills?</li> <li>- Pressure fed fuel fires?</li> </ul>	ACR 2004, 25, 43 CAR - 14, PART - I 9.2.34		
Does the training have human performance and team co-ordination components?	ACR 2004, 25, 43 CAR - 14, PART - I 9.2.35		
Does the manual provide for provision of suitable protective clothing and respiratory equipment for staff?	ACR 2004, 39 & schedule 1, Part 4, 4.4 CAR - 14, PART - I 9.2.4.2		
<b>Record Keeping</b>			
List of documents checked (SoP, Drill book, CAA training programme and training records.)	Check at RFFS office all documents		
Is the operator maintaining records in accordance with the aerodrome manual and/or Fire Service Manual SOPs?	Check: Fault report form, station activity logbook, watch tower log book, aircraft movement logbook etc.		
<b>Facilities</b>			
Are adequate and suitable staff and resources available?	Interview the Chief, RFFS, staff  CAR - 14, PART - I 9.2.37		
Is the Fire Station adequate to house all vehicles and equipment?	Check at site visit		
Is the minimum required complementary agent available on the vehicle?	ACR 2004, 39 CAR – 14, Part – I 9.2.19		



Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Is the quantity of foam compound the same level - performance level A or B type?	CAR – 14,Part I 9.2.19		
Is the available equipments capable to discharge foam solution in prescribed time and rate?	ACR 2004, 39 CAR – 14, Part – I 9.2.17		
Is discrete communication system available between ATC Control Tower and RFF Watch Tower and RFF vehicle	CAR – 14, Part – I 9.2.35		
Is access from the Fire Station(s) to the movement area clear and direct?			
Is static water storage provided at strategic locations?	Check at site visit		
Are adequate access roads from runway ends to airport perimeter/ security fences provided (crash roads)?	Check at site visit at South End towards approach light area.  CAR - 14, PART - I 9.2.26		
Are facilities for difficult terrain considerations provided?	Check at site CAR - 14, PART - I 9.2.2		
Is the communication system suitable and effective?	Check at RFF complex  CAR - 14, PART - I 9.2.31		-
Are the fire alarm systems suitable and capable?	Check at RFF complex CAR - 14, PART - I 9.2.32		
Is the Number of RFFS vehicles adequate?	Check at RFF complex  CAR - 14, PART - I 9.2.33		
<b>Procedures</b>			



Activity and objective	Regulatory /standards reference	Status “C”, “NC”, “O”, “N/A”	Comments
Are the current procedures specified in the manual able to be verified?	Verify the procedures		
Are procedures for training adequate?	CAR - 14, PART - I 9.2.34		
Procedures for testing equipment provided?	CAR - 14, PART - I 9.2.36		
Is the actual response time able to be verified from actual tests?	Verify by actual physical test during RFFS visit		
Is the communication system tested in accordance with the manual?	Check at watch tower		
Are alarm systems tested for serviceability?	Check at RFF complex		
Are maintenance procedures appropriate for vehicles, equipment and building facilities?			
<b>Product Check</b>			
Do field inspections of RFFS facilities and records confirm on-going compliance with existing procedures?	Check the records kept in RFF complex/office		
<b>Feedback</b>			
Are RFFS-related hazards, incidents and accidents noted, reported and followed up	Check the records and internal investigation reports, hazards etc.		

**Audit Checklist - Aerodrome Manual, Part 4 - Aerodrome Operating Procedures and Safety Measures****Sub-part 4.5 Inspections of movement area and obstacle limitation surfaces**

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
<b><i>Aerodrome Manual</i></b>			
Does the manual include procedures for safety inspections of the movement area and obstacle limitation surfaces?	ACR 2004, 30 & schedule 1, Part 4, 4.13		
Does the manual include particulars of the arrangements for carrying out serviceability inspections during and after working hours?	ACR 2004, 30, schedule 1, Part 4, 4.5 & 4.13 CAR - 14, PART I - 2.9.3		
Does it include details of the items that need to be inspected?			
Does it include arrangements for measurement of runway friction?	ACR 2004, schedule 1, Part 3, 3.2  CAR - 14, PART - I 2.9.5 to 2.9.8 and 10.2.3		
Does it include arrangements for measurement of water depth?	ACR 2004, 30, schedule 1, Part 4, 4.5 & 4.13  CAR - 14, PART - I, 2.9.4		
Does it include details of the intervals at which the inspections are carried out?	ACR 2004, 30, schedule 1, Part 4, 4.5 & 4.13 CAR - 14, PART I - 2.9.3		
And the time of the inspections?	ACR 2004, 30, schedule 1, Part 4, 4.5 & 4.13 CAR - 14, PART - I		



Activity and objective	Regulatory /standards reference	Status “C”, “NC”, “O”, “N/A”	Comments
	2.9.3		
And the arrangements for keeping an inspection logbook?	ACR 2004, 30, schedule 1, Part 4, 4.5 & 4.13		
And the place where the log book is kept?	ACR 2004, 30, schedule 1, Part 4, 4.5 & 4.13		
And details of the serviceability inspection checklist?	ACR 2004, 30, schedule 1, Part 4, 4.5 & 4.13		
And a process for ensuring that the intervals, times and content of inspections are in accordance with ACR 2004 and CAR - 14, PART - I ?	ACR 2004, 30, schedule 1, Part 4, 4.5 & 4.13		
And a process for ensuring that the inspections are carried out by suitably trained staff?	ACR 2004, 30, schedule 1, Part 4, 4.5 & 4.13		
And the arrangements for communicating with air traffic control during the inspections (if appropriate)?	ACR 2004, 30, schedule 1, Part 4, 4.5 & 4.13		
And the arrangements for reporting the results of the inspections?	ACR 2004, 30, schedule 1, Part 4, 4.5 & 4.13		
And the arrangements for taking prompt follow-up action to ensure correction of unsafe conditions/ defects?	ACR 2004, 30, schedule 1, Part 4, 4.5 & 4.13		
And the arrangement for ensuring that if any facility is considered to need a technical inspection that that is required following a serviceability inspection is carried out?	ACR 2004, 30, schedule 1, Part 4, 4.5 & 4.13		
And the names and roles of the persons who are responsible for carrying out the inspections and the telephone numbers for contacting them during and after working hours?	ACR 2004, 30, schedule 1, Part 4, 4.5 & 4.13		
<b>Record Keeping</b>			
List of documents checked.	1. Daily Airfield lighting Inspection Logbook – EI. Section. 2. Daily Generator Inspection Logbook – Mechanical Duty		



Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
	Room 3. Daily runway inspection logbook - ITDO Primary/Stand by Generating Plant Log book – Generator House		
Is the operator maintaining records in accordance with the aerodrome manual?	Check the records		
And keep in the records for at least 3 years?			
Does the operator have records of the qualifications, experience training of persons conducting technical inspections?	Check training records		
<b>Facilities</b>			
Are adequate and suitable staff and resources available?	ACR 2004, 25 (1) & 43		
Are inspections carried out by the persons identified in the manual?	ACR 2004, schedule 1, Part 4		
Are those persons appropriately trained accordingly?	ACR 2004, schedule 1, Part 4		
Does the operator have records of the qualifications and experience of persons conducting technical inspections?	Check the basic and other training records		
<b>Procedures</b>			
Are serviceability inspections carried out during and after working hours in accordance with the manual?	ACR 2004, schedule 1, Part 4, 4.5 & 4.13		
Is the time and frequency of inspections in accordance with the manual?	ACR 2004, schedule 1, Part 4, 4.5 & 4.13		
Is the logbook kept in accordance with the manual? (Check for location and format).	ACR 2004, schedule 1, Part 4, 4.5 & 4.13		



Activity and objective	Regulatory /standards reference	Status “C”, “NC”, “O”, “N/A”	Comments
Is the checklist used in accordance with the manual?	AM and during the inspection of concerned office		
Is the method of communicating with ATC during inspections in accordance with the manual?	Check during inspection		
When a serviceability inspection indicated the need for a technical inspection, was it carried out as soon as practicable?			
Do the technical inspections include all items in accordance with the manual?			
Are the times of the inspections in accordance with the manual?			
Is the complete inspection completed in a 12-month period?			
Is each item inspected not more than 12 months after the previous inspection?			
Are inspections conducted by appropriately qualified and experienced persons in accordance with the manual?	Check after Night inspection		
Is prompt follow-up action taken to ensure correction of defects in accordance with the manual?			
Is the staff aware of safety requirements related to inspections?	Interview the staff		
Are any conditions or exemptions complied with?	AM		
<b>Product Check</b>			
Does the field condition of a sample of the aerodrome facilities confirm the results of the serviceability inspections?	Verify after site inspection		
Does the operator indicate how he can ensure that the aerodrome facilities will comply with the CAR - 14, PART - I ?			
Do the physical characteristics of the movement area comply with CAR - 14, PART - I standards?			
Do the aerodrome markings comply with CAR - 14, PART - I standards?			



Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Does the signal area comply with CAR - 14, PART - I standards?			
Do the wind indicators comply with CAR - 14, PART - I standards?			
Does the PAPI comply with CAR - 14, PART - I V- standards?			
Does the lighting of the movement area comply with CAR - 14, PART - I standards?			
<b>Feedback</b>			
Are inspection related incidents noted, reported and followed up?	Check the records		

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**Audit Checklist - Aerodrome Manual, Part 4 - Aerodrome Operating Procedures and Safety Measures**  
**Sub-part 4.6 Visual Aids, Lighting and Electrical Systems**

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
<b>Aerodrome Manual</b>			
Does the manual contain procedures to ensure that the lighting system and VASIS are planned, installed and maintained accordingly?	ACR 2004, schedule 1, Part 4, 4.6		
Are there arrangements for ensuring that certain lighting is not put into service unless it has been flight checked, checked by trained electrical staff and surveyed by an appropriate person?	ACR 2004, schedule 1, Part 4, 4.6		
Does the manual contain details of the arrangements for carrying out lighting inspections and the checklist for inspections?	ACR 2004, schedule 1, Part 4, 4.6		
Does this include obstacle lighting?	ACR 2004, schedule 1, Part 4, 4.6		
Does it include the arrangements for recording the results of inspections?	ACR 2004, schedule 1, Part 4, 4.5 & 4.6		
Are there arrangements for taking follow-up action to correct deficiencies?	ACR 2004, schedule 1, Part 4, 4.6		
Are there arrangements for switching lights on and off, including back-up arrangements?	ACR 2004, schedule 1, Part 4, 4.6		
Are there the arrangements for carrying out routine maintenance and emergency maintenance?	ACR 2004, schedule 1, Part 4, 4.6 CAR - 14, PART - I, 10.4.10		
Are there arrangements for stand-by power if available?	ACR 2004, schedule 1, Part 4, 4.6 CAR - 14, PART - I, 8.1.10 & 11		

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Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Are there particulars of any other method of dealing with partial or total system failure?	ACR 2004, schedule 1, Part 4, 4.6 CAR - 14, PART - I, 8.1.3 & 4		
And the names and roles of the persons who are responsible for the inspection and maintenance of the lighting and the telephone numbers for contacting them during and after working hours?	ACR 2004, schedule 1, Part 4, 4.6		
<b>Record Keeping</b>			
List of documents checked (e.g. Lighting inspection and maintenance records).			
Is the operator maintaining records in accordance with the aerodrome manual?	Check the checklists		
Are technical inspection reports filed and is there evidence of recommendations and findings being acted on?	Check the technical inspection reports		
<b>Facilities - See Facilities worksheet for serviceability check.</b>			
Are adequate and suitable staff and resources available?	ACR 2004, 25 & 43		
Are spare parts available as detailed in the aerodrome manual?	ACR 2004, schedule 1, Part 4, 4.6		
<b>Procedures</b>			
Are lighting inspections carried out in accordance with the manual?	Check the inspection checklists and logbook		
Are the checklists used in accordance with the manual?	Check the records of checklists		
Are deficiencies followed up in accordance with the manual?	Check the logbooks		



Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Is routine and emergency maintenance carried out as per the manual?	Check the logbooks		
Are arrangements for switching lights on and off in accordance with the manual?	Check during night inspection		
Are arrangements for standby power in accordance with the manual?	Check during the visit of Generator/power house.		
Are other arrangements for dealing with partial or total system failure in accordance with the manual?	AM and records in logbook.		
Is the staff aware of safety requirements related to lighting?	Interview Chief Manager EI./Mech. Div.		
Are conditions or exemptions complied with?	AM		
Have new element of the lighting system been checked as required?	Check the records		
<b>Product Check</b>			
Does sample of aerodrome lighting checked during audit, comply with CAR - 14, PART - I Vol- I?	Night inspection on 20 Dec. 2008 at 20:00.		
Is a PAPI installed if required?			
Are the necessary elements of a lighting system installed?			
<b>Feedback</b>			
Are lighting related incidents noted, reported and followed up?	Check the records		

**Audit Checklist - Aerodrome Manual, Part 4 - Aerodrome Operating Procedures and Safety Measures  
Sub-part 4.7 Maintenance of movement area**

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
<b>Aerodrome Manual</b>			
Does the manual contain particulars of the procedures for the routine maintenance of movement area surfaces and drainage systems to ensure that their performance will not be degraded?	ACR 2004, 26 & schedule 1, Part 4, 4.7		
Does it include the arrangements for the maintenance of paved and/or unpaved runways and associated, shoulders and safety areas?	ACR 2004, 26 & schedule 1, Part 4, 4.7 CAR - 14, PART - I , 10.1.1 & 2 and 10.2.1 & 2		
Does it include the arrangements for the maintenance of paved and or unpaved taxiways and associated shoulders?	ACR 2004, 26 & schedule 1, Part 4, 4.7  CAR - 14, PART - I 10.1.1 & 2 and 10.2.1 & 2		
Does it include the arrangements for the maintenance of associated runway and taxiway strips?	ACR 2004, 26 & schedule 1, Part 4, 4.7  CAR - 14, PART - I , 10.2.1		



Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Does the manual provide particulars about regular runway friction testing?	ACR 2004, 26, schedule 1, Part 4, 4.5 & 4.7  CAR - 14, PART - I , 2.9.5 to 2.9.8 and 10.2.3		
<b>Record Keeping</b>			
List of documents checked.			
Is the operator maintaining records in accordance with the aerodrome manual?			
<b>Facilities</b>			
Are adequate and suitable staff and resources available?	ACR 2004, 25 & 43, schedule 1, Part 4  Interview Chief Manager		
Has the operator provided sufficient and adequate equipment?	ACR 2004, 26 & schedule 1, Part 4, 4.7		
<b>Procedures</b>			
Are maintenance activities on or near the movement area controlled in accordance with the manual?	ACR 2004, 26 & schedule 1, Part 4, 4.7		
Is ground maintenance carried out in accordance with schedules or routines documented in the manual?	ACR 2004, 26 & schedule 1, Part 4, 4.7		
Can runway friction test results be related to serviceability and safety limits?	ACR 2004, 26, 27 & schedule 1, Part 4, 4.5 & 4.7		



Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
	CAR - 14, PART - I 10.2.3 to 10.2.5		
Is the staff aware of safety requirements related to movement areas?	Interview the Chief Manager, CMD		
Are conditions or exemptions complied with?	AM		
<b>Product Check</b>			
Are procedures conducted in accordance with work safety arrangements?	ACR 2004, 26, 27 & schedule 1, Part 4, 4.5 & 4.7		
Are visual aids and pavement markings in a condition expected from the scheduled maintenance programme?	Check during airside inspection CAR - 14, PART - I 10.1.1		
Are pavement surfaces free of surface irregularities?	Check during airside inspection CAR - 14, PART - I 10.2.2		
Does the operator indicate how he can ensure that the aerodrome facilities will comply with the CAR - 14, PART - I V-I?			
<b>Feedback</b>			
Are maintenance-related incidents noted, reported and followed up?	Check the records		

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**Sub-part 4.8 Aerodrome Work Safety**

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
<b>Aerodrome Manual</b>			
Does the manual contain particulars of the procedures for planning and safely carrying out aerodrome works (including works that may have to be carried out at short notice)?	ACR 2004, 27 & schedule 1, Part 4, 4.8		
Including ensuring that the works do not create a hazard to aircraft or confusion to pilots?	ACR 2004, 27 & schedule 1, Part 4, 4.8		
Does it include details of the preparation of a method-of-working plan?	ACR 2004, 27 & schedule 1, Part 4, 4.8		
And identifying areas of the aerodrome affected during each stage of the work?	ACR 2004, 27 & schedule 1, Part 4, 4.8		
And steps taken to ensure safety standards are met?	ACR 2004, 27 & schedule 1, Part 4, 4.8		
And the process for ensuring that any works safety officers have been trained accordingly?	ACR 2004, 27 & schedule 1, Part 4, 4.8		
Does it include the distribution list for the method-of-working plan?	ACR 2004, 27 & schedule 1, Part 4, 4.8		
And the arrangements for telling aircraft operators and other aerodrome users of the method-of-working plan and the telephone numbers for contacting those operators and users during and after working hours?	ACR 2004, 27 & schedule 1, Part 4, 4.8		
And the process for complying with CAR - 14, PART - I requirements relating to the period of notice for works?	ACR 2004, 27 & schedule 1, Part 4, 4.8		
And the arrangements for communicating with air traffic control and aircraft during the carrying out of the works?	ACR 2004, 27 & schedule 1, Part 4, 4.8		
And the arrangements for carrying out time-limited works?	ACR 2004, 27 & schedule 1, Part 4, 4.8		
And the names, telephone numbers and roles of the persons and organisations	ACR 2004, 27 &		

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Activity and objective	Regulatory /standards reference	Status “C”, “NC”, “O”, “N/A”	Comments
responsible for planning and carrying out the works, and the arrangements for contacting those persons and organisations at all times?	schedule 1, Part 4, 4.8		
<b>Record Keeping</b>			
List of documents checked.			
Is the operator maintaining records in accordance with the aerodrome manual?	AM		
<b>Facilities</b>			
Are adequate and suitable staff and resources available?	ACR 2004, 25 & 43, schedule 1, Part 4		
Are suitable visual aids available for marking works sites and unserviceable areas?	Check during airside visit		
<b>Procedures</b>			
Are works planned and documented in accordance with the manual?	Check at the site and interview the staff		
Is consultation for works planning and production in accordance with the manual?	Check the records of coordination meetings etc.		
Is notice of works given in accordance with the manual?	AM		
Is the staff aware of safety requirements during works?	Interview the staff		
Are procedures available for setting out visual aids for works?	Check at site during airside visit.		
Are any conditions or exemptions complied with?	AM		
<b>Product Check</b>			
Is the interface with ATC and/or air traffic in accordance with the manual?	AM and observe during airside visit		



Activity and objective	Regulatory /standards reference	Status “C”, “NC”, “O”, “N/A”	Comments
Is the content and format of MOWPs correct?	Check the records at the project office.		
Are works being conducted in accordance with the MOWP?			
Are works within runway strip carried out in accordance with the manual?	Check the records at the project office and observe during airside visit.		
Are other works including time-limited works carried out in accordance with the manual?	Check the records at the project office.		
Are time limited works done under supervision of a Works Safety Officer?	Check the records at the project office.		
<b>Feedback</b>			
Are works related incidents noted, reported and followed up?	Check the records		

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**Sub-part 4.9 Apron Management**

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
<b>Aerodrome Manual</b>			
Does the manual contain particulars of the procedures for aircraft parking control, if established?	ACR 2004, schedule 1, Part 4, 4.9 CAR - 14, PART - I , 9.5.1		
Does it include the arrangements between air traffic control and apron management?	ACR 2004, schedule 1, Part 4, 4.9 CAR - 14, PART - I , 9.5.1		
And the arrangements for allocating aircraft parking positions?	ACR 2004, schedule 1, Part 4, 4.9 CAR - 14, PART - I 9.5.1 b)		
And the arrangements for initiating engine start and ensuring clearances for aircraft pushback?	ACR 2004, schedule 1, Part 4, 4.9 CAR - 14, PART - I 9.5.1 b)		
And an inventory and description of the activation and deactivation of any visual docking guidance system used at the aerodrome?			
And details of the marshalling service?	ACR 2004, schedule 1, Part 4, 4.9		
And the leader van service or follow-me service?	ACR 2004, schedule 1, Part 4, 4.9		
And the names, telephone numbers and roles of the persons responsible for planning and implementing aircraft parking control?	ACR 2004, schedule 1, Part 4, 4.9		
<b>Record Keeping</b>			
List of documents checked.			



Activity and objective	Regulatory /standards reference	Status “C”, “NC”, “O”, “N/A”	Comments
Is the operator maintaining records in accordance with the aerodrome manual?	Bay allocation chart for international flights, ITDO		
<b>Facilities</b>			
Are suitable staff available to control aircraft parking?			
Are suitable staff and facilities available to design parking layouts and marking?	ACR 2004, 25 & 43, schedule 1, Part 4		
Are staff available to provide follow me vehicle service if required?	ACR 2004, 25 & 43, schedule 1, Part 4		
<b>Procedures</b>			
Is the staff aware of safety requirements relating to clearances and blast?	Interview the staff		
Are the organisational responsibilities and control arrangements in accordance with the manual?	AM and visit to concerned divisions/sections		
Are parking positions allocated in accordance with the manual?	AM & site inspection.		
Are engine starts and push backs initiated in accordance with the manual?	AM & site inspection		
Are any conditions or exemptions complied with?	AM		
<b>Product Check</b>			
Are the visual docking systems in accordance with the manual?			
Are the aircraft parking markers and markings in accordance with the manual?			
<b>Feedback</b>			
Are aircraft parking related incidents noted, reported and followed up?			

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**Audit Checklist - Aerodrome Manual, Part 4 - Aerodrome Operating Procedures and Safety Measures**  
**Sub-part 4.10 Apron safety management**

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "NA"	Comments
<b>Aerodrome Manual</b>			
Does the manual contain particulars of the procedures for management of safe apron operations?	ACR 2004, 20 & schedule 1, Part 4, 4.8 & 4.9		
Does it include the arrangements protection from jet and propeller blast?	ACR 2004, 20 & schedule 1, Part 4, 4.8 & 4.10		
Including arrangements for parking position design? And provision of blast protection structures?	ACR 2004, 20 & schedule 1, Part 4, 4.8 & 4.10		
Does the manual contain procedures for enforcing safety precautions during aircraft re-fuelling?	ACR 2004, 20 & schedule 1, Part 4, 4.8 & 4.10 CAR - 14, PART - I 9.6.1 & 9.6.2		
Does the manual contain procedures for ensuring the apron is swept to remove debris?	ACR 2004, 20 & schedule 1, Part 4, 4.8 & 4.10		
Does the manual contain procedures for ensuring the apron is clean of hazardous contamination?	ACR 2004, 20 & schedule 1, Part 4, 4.8 & 4.10		
Does the manual contain procedures in regard to reporting incidents and accidents on an apron?	ACR 2004, 20 & schedule 1, Part 4, 4.5, 4.9 & 4.10		
And the names, telephone numbers and roles of the persons responsible for planning and implementing aircraft parking control?	ACR 2004, 20 & schedule 1, Part 4, 4.5, 4.9 & 4.10		

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Activity and objective	Regulatory /standards reference	Status “C”, “NC”, “O”, “N/A”	Comments
<b>Record Keeping</b>			
List of documents checked.	TIA RSMM, TIA ROP		
Is the operator maintaining records in accordance with the aerodrome manual?	ACR 2004, schedule 1, Part 4		
<b>Facilities</b>			
Are suitable staff available to control monitor and/or supervise apron safety activities?	ACR 2004, 25 & 43, schedule 1, Part 4		
Are suitable staff and facilities available to design parking layouts, marking and blast protection facilities?	ACR 2004, 25 & 43, schedule 1, Part 4		
<b>Procedures</b>			
Is the staff aware of safety requirements relating to clearances and blast?	ACR 2004, schedule 1, Part 4, 4.10 CAR - 14, PART - I V9.5.7		
Are the organisational responsibilities and control arrangements in accordance with the manual?	ACR 2004, 27 & schedule 1, Part 4, 4.10		
Are cleaning and sweeping actions taken in accordance with the manual?	ACR 2004, 27 & schedule 1, Part 4, 4.10		
Are refueling activities initiated and conducted in accordance with the manual?	ACR 2004, schedule 1, Part 4, 4.10 CAR - 14, PART - I 9.6.1 & 9.6.2		
Are any conditions or exemptions complied with?	AM		
<b>Product Check</b>			
Are the visual docking systems in accordance with the manual?	NA		
Are the aircraft and tug operator guidance markings in accordance with the manual?	ACR 2004, schedule 1, Part 4, 4.9 & 4.10		



<b>Activity and objective</b>	<b>Regulatory /standards reference</b>	<b>Status</b> "C", "NC", "O", "N/A"	<b>Comments</b>
Are apron surfaces in a condition consistent with specified procedures?	ACR 2004, schedule 1, Part 4, 4.5 & 4.9		
<b>Feedback</b>			
Are apron safety incidents noted, reported and followed up?	ACR 2004, schedule 1, Part 4, 4.5 & 4.9		

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**Sub-part 4.11 Airside Vehicle Control**

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
<b>Aerodrome Manual</b>			
Have procedures been established at the aerodrome for the control of surface vehicles operating on or near the movement area?	ACR 2004, 20 & schedule 1, Part 4, 4.11		
If established, does the manual include details of the applicable traffic rules including speed limits?	ACR 2004, 20 & schedule 1, Part 4, 4.11 CAR - 14, PART - I 9.7.1 to 9.7.4		
And the means of enforcement of the rules?	ACR 2004, 20 & schedule 1, Part 4, 4.11		
And the method of instructing and testing drivers in relation to the applicable traffic rules?	ACR 2004, 20 & schedule 1, Part 4, 4.11		
And the names, telephone numbers and roles of the persons who are responsible for airside vehicle control?	ACR 2004, 20 & schedule 1, Part 4, 4.11		
<b>Record Keeping</b>			
List of documents checked			
Is the operator maintaining records in accordance with the aerodrome manual?			
<b>Facilities</b>			
Are adequate and suitable staff and resources available to test drivers, issue permits and monitor driving?	ACR 2004, 25 & 43, schedule 1, Part 4		
Are copies of driving rules available and in accordance with the manual?			
<b>Procedures</b>			
Are applications in accordance with the manual?			
Is driver testing in accordance with the manual?			
Is monitoring carried out in accordance with the manual?			
Are sanctions imposed in accordance with the manual?			

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Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
Is the staff aware of safety requirements related to airside vehicles?			
Are any conditions or exemptions complied with?	AM		
<b>Product Check</b>			
Are permits/ licences carried in accordance with the manual?			
Are driving rules being observed?			
Are vehicles marked/ lit and approvals attached in accordance with the manual?	Observe during airside visit		
Are correct radio procedures being used?	Observe during airside visit		
<b>Feedback</b>			
Are airside vehicle incidents noted, reported and followed up?			

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**Sub-part 4.12 Wildlife Hazard Management**

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
<b>Aerodrome Manual</b>			
Does the manual contain particulars of the procedures to deal with danger to aircraft operations caused by the presence of birds or animals on or near the aerodrome?	ACR 2004, 20 & schedule 1, Part 4, 4.12		
Does it include details of the arrangements for assessing any bird or animal hazard?	ACR 2004, 20 & schedule 1, Part 4, 4.12 CAR - 14, PART - I 9.4.1		
And the arrangements for the removal of any bird or animal hazard?	ACR 2004, 20 & schedule 1, Part 4, 4.12 CAR - 14, PART - I 9.4.3 & 9.4.4		
And the names and roles of the persons responsible for dealing with bird or animal hazards, and the telephone numbers for contacting them during and after working hours?	ACR 2004, 20 & schedule 1, Part 4, 4.12		
<b>Record Keeping</b>			
List of documents checked.	TIA –BCP 2008 and TIACAO – BCM 2008;		
Is the operator maintaining records in accordance with the aerodrome manual? (Check records of bird count, bird strikes and inspections etc.)			
<b>Facilities</b>			
Are adequate and suitable staff and resources available?	ACR 2004, 25 & 43, schedule 1, Part 4		

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Activity and objective	Regulatory /standards reference	Status “C”, “NC”, “O”, “N/A”	Comments
Is equipment available in accordance with the manual?			
Is wildlife strike data/record is available with the operator?	CAR – 14, Part I, 9.4.2		
Are licenses and permits available in accordance with the manual?			
<b>Procedures</b>			
Is monitoring carried out in accordance with the manual?	AM and Check the records		
Is harassment carried out in accordance with the manual?	AM and check the records		
Is environmental management undertaken in accordance with the manual?	AM and check the records		
Are all bird-strikes reported to CAAN HO (ATS Dept.)?			
Is the staff aware of safety requirements related to bird and animals hazards?			
Are any conditions or exemptions complied with?	AM		
<b>Product Check</b>			
Do the field situation correspond with logbook entries?	1. Daily Bird Activity Observation Schedule 2. Daily Hunter Activity For		
Is environmental management in accordance with the manual?			
<b>Feedback</b>			
Are bird and animal hazard related incidents noted, reported and followed up?	Reports received through ATS Briefing		

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**Audit Checklist - Aerodrome Manual, Part 4 - Aerodrome Operating Procedures and Safety Measures**  
**Sub-part 4.13 Obstacle Control**

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
<b>Aerodrome Manual</b>			
Does the manual contain particulars of the procedures for establishing OLS for the aerodrome in accordance with the CAR - 14, PART - I?	ACR 2004, 20 & schedule 1, Part 4, 4.13		
And for taking all reasonable measures to monitor the OLS?	ACR 2004, 20 & schedule 1, Part 4, 4.13		
And for detecting obstacles as quickly as possible?	ACR 2004, 20 & schedule 1, Part 4, 4.13		
Including objects, buildings, structures?	ACR 2004, 20 & schedule 1, Part 4, 4.13		
And for monitoring the Type A chart take-off surfaces for obstacles?	ACR 2004, 20 & schedule 1, Part 4, 4.13		
And the procedures for monitoring building developments (in relation to the height of buildings and other structures) within the horizontal limits of the obstacle limitation surfaces?	ACR 2004, 20 & schedule 1, Part 4, 4.13		
And if the aerodrome has instrument approach procedures, the procedures for monitoring for new objects or building developments in any other areas nominated by the instrument procedure designers?	ACR 2004, 20 & schedule 1, Part 4, 4.13		
And the arrangements with DGCA, local planning authorities and other relevant organizations in relation to the approval of building developments that may infringe the obstacle limitation surfaces?	ACR 2004, 20 & schedule 1, Part 4, 4.13		
Including the process for asking DGCA to assess proposed obstacles? (If applicable to the aerodrome)	ACR 2004, 20 & schedule 1, Part 4, 4.13		
And for reporting obstacles by NOTAM including amended declared distances?	ACR 2004, 20 & schedule 1, Part 4, 4.13		
And the names, telephone numbers and roles of the persons responsible for planning and implementing obstacle control?	ACR 2004, 20 & schedule 1, Part 4, 4.13		

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Activity and objective	Regulatory /standards reference	Status “C”, “NC”, “O”, “N/A”	Comments
<b>Record Keeping</b>			
List of documents checked.			
Is the operator maintaining records in accordance with the aerodrome manual? (Check OLS survey data, Inspection logbooks, Obstacle control reporting (NOTAM) etc.)			
<b>Facilities</b>			
Are adequate and suitable staff and resources available?	ACR 2004, 25 & 43, schedule 1, Part 4		
Are OLS surveys conducted by an appropriately trained or qualified person?			
<b>Procedures</b>			
Is the OLS monitored in accordance with the manual?			
Are type A surfaces monitored in accordance with the manual?			
Are NPA areas monitored in accordance with the manual?			
Is monitoring conducted for temporary and permanent structures?			
And for gaseous effluxes?			
Are the procedures for liaising with other authorities being followed?			
Is the staff aware of safety requirements related to obstacles?			
Are any conditions or exemptions complied with?	AM		
<b>Product Check</b>			
Is OLS plan prepared in accordance with the CAR - 14, PART - I?	CAR - 14, PART - I, 4.2		
Do survey records agree with published information?			
Does field condition appear to reflect survey data and published information?			



<b>Activity and objective</b>	<b>Regulatory /standards reference</b>	<b>Status</b> "C", "NC", "O", "N/A"	<b>Comments</b>
Do obstacle related NOTAMs reflect field condition?	Check the NOTAM issued		
<b>Feedback</b>			
Are obstacle control incidents noted, reported and followed up?	Check the records		

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**Sub-part 4.14 Removal of Disabled Aircraft**

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
<b>Aerodrome Manual</b>			
Does the manual contain particulars of the procedures for removing an aircraft that is disabled on or near the movement area?	ACR 2004, 20 & schedule 1, Part 4, 4.14 CAR - 14, PART - I, 9.3.1		
Does it include details of the roles of the aerodrome operator and the holder of the aircraft's certificate of registration?	ACR 2004, 20 & schedule 1, Part 4, 4.14		
And the arrangements for telling the holder of the certificate of registration?	ACR 2004, 20 & schedule 1, Part 4, 4.14		
And the arrangements for liaising with air traffic control and the Air Safety Department?	ACR 2004, 20 & schedule 1, Part 4, 4.14		
And the arrangements for obtaining equipment and persons to remove the aircraft?	ACR 2004, 20 & schedule 1, Part 4, 4.14 CAR - 14, PART - I, 9.3.2		
And the names and roles of the persons who are responsible for arranging for the removal of an aircraft which is disabled, and the telephone numbers for contacting them during and after working hours?	ACR 2004, 20 & schedule 1, Part 4, 4.14 CAR - 14, PART - I, 9.3.1		
<b>Record Keeping</b>			
List of documents checked.	RODA Manual		
Is the operator maintaining records in accordance with the aerodrome manual?			
<b>Facilities</b>			
Are adequate and suitable staff and resources available?	ACR 2004, 25 & 43, schedule 1, Part 4		

**Procedures**

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Are the arrangements for contacting the certificate of registration in accordance with the manual?			
Are the arrangements for liaising with ATC and Air Safety Department in accordance with the manual?			
Are the arrangements for obtaining equipment and persons to remove the aircraft in accordance with the manual?			
Is the staff aware of safety requirements during aircraft removal?			
Are any conditions or exemptions complied with	AM		
<b>Product Check</b>			
If observed, was the removal in accordance with the manual?			
<b>Feedback</b>			
Are disabled aircraft removal incidents noted, reported and followed up?			



## Audit Checklist - Aerodrome Manual, Part 4 - Aerodrome Operating Procedures and Safety Measures

### Sub-part 4.15 Handling of Hazardous Materials

**Note 1** Hazardous materials include explosives, flammable liquids and solids, corrosive liquids, compressed gases, and magnetised or radioactive materials. Hazardous material do not include materials classed by ICAO/IATA as dangerous goods, where freight forwarders and airlines have responsibilities for safe packaging and handling procedures.

**Note 2** The arrangements to deal with an accidental spillage of hazardous materials are to be set out in the aerodrome emergency plan.

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
<b>Aerodrome Manual</b>			
Does the manual contain particulars of the procedures for the safe handling of hazardous materials on the aerodrome?	ACR 2004, 20 & schedule 1, Part 4, 4.15		
Does it include the names, telephone numbers and roles of the persons who are to receive and handle hazardous materials?	ACR 2004, 20 & schedule 1, Part 4, 4.14		
And the arrangements for special areas on the aerodrome to be set up for the storage of flammable liquids (including aviation fuels) and any other hazardous materials?	ACR 2004, 20 & schedule 1, Part 4, 4.14		
And the methods to be followed for the delivery, storage, dispensing and handling of these materials?	ACR 2004, 20 & schedule 1, Part 4, 4.14		
<b>Record Keeping</b>			
List of documents checked.			
Is the operator maintaining records in accordance with the aerodrome manual?			
<b>Facilities</b>			
Are adequate and suitable staff and resources available?	ACR 2004, 25 & 43, schedule 1, Part 4		



Activity and objective	Regulatory /standards reference	Status “C”, “NC”, “O”, “N/A”	Comments
<b>Procedures</b>			
Are the persons who receive and handle hazardous materials the same as identified in the manual?			
Are the procedures for delivery, storage, dispensing and handling of these materials in accordance with the manual?			
Is the staff aware of safety requirements related to hazardous materials?	Site visit of cargo terminal and NOC		
Are any conditions or exemptions complied with?	AM		
<b>Product Check</b>			
Are the arrangements for special areas for storage of hazardous materials in accordance with the manual?			
Are the materials stored correctly?			
<b>Feedback</b>			
Are hazardous material related incidents noted, reported and followed up?	Check the records		

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**Subsection 4.16 Low-visibility Operations**

Activity and objective	Regulatory /standards reference	Status [Y/N]	Comments
<b>Aerodrome Manual</b>			
Does the manual contain particulars of the procedures for aerodrome operator's staff involved in ground activities for low visibility operations?	ACR 2004, 20 & schedule 1, Part 4, 4.16 CAR - 14, PART - I, 9.5.4		
Does it include the arrangements for: the alerting procedures, airside access restrictions and checks of lighting installations and signs?	ACR 2004, 20 & schedule 1, Part 4, 4.16		
Where RVR is determined manually, does the manual contain information about: Measurement methods, reporting procedures, observation positions and personnel requirements including training to be undertaken?	ACR 2004, 20 & schedule 1, Part 4, 4.16		
And the names and contact details for the persons responsible?	ACR 2004, 20 & schedule 1, Part 4, 4.16		
<b>Record Keeping</b>			
List of documents checked.			
Is the operator maintaining records in accordance with the aerodrome manual?			
<b>Facilities</b>			
Are adequate and suitable staff and equipment available?	ACR 2004, 25 & 43, schedule 1, Part 4		
<b>Procedures</b>			
Are visibility measurement arrangements along the runways in accordance with the manual?			
Are procedures for minimizing vehicular traffic carried out in accordance with the manual?			
Are arrangements for runway inspections during low visibility periods in			

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<b>Activity and objective</b>	<b>Regulatory /standards reference</b>	<b>Status [Y/N]</b>	<b>Comments</b>
accordance with the manual?			
Is the staff aware of safety requirements related to low visibility operations?			
<b>Product Check</b>			
Are appropriate signs, gates and warning signs in place for low visibility operations in accordance with the manual?			
<b>Feedback</b>			
Are low visibility operationally related incidents noted, reported and followed up?			

Note: This section of the manual is intended only to be applicable to processes associated with ground operations in low visibility conditions. It is not intended to replicate procedural arrangements in place for Air traffic Services and Meteorological Officers. Normally low visibility operations are considered to be in effect when conditions are such that ILS Category II or III procedures are in operation.

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**Audit Checklist - Aerodrome Manual, Part 4 - Aerodrome Operating Procedures and Safety Measures  
Sub-part 4.17 Protection of Radar and Navigational Aid Sites**

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
<b>Aerodrome Manual</b>			
Does the manual contain particulars of the procedures for the protection of radar and nav aids located on the aerodrome to ensure that their performance will not be degraded?	ACR 2004, 20 & schedule 1, Part 4, 4.17		
Does it include the arrangements for the control of activities near radar and navigational aid installations?	ACR 2004, 20 & schedule 1, Part 4, 4.17		
And the arrangements, made in consultation with the provider of the navigational aid installation, for the supply and installation of signs warning of hazardous microwave radiation?	ACR 2004, 20 & schedule 1, Part 4, 4.17		
And the arrangements for ground maintenance near these installations?	ACR 2004, 20 & schedule 1, Part 4, 4.17		
<b>Record Keeping</b>			
List of documents checked.			
Is the operator maintaining records in accordance with the aerodrome manual?			
<b>Facilities</b>			
Are adequate and suitable staff and resources available?	ACR 2004, 25 & 43, schedule 1, Part 4		
<b>Procedures</b>			
Are activities near radar and nav aids controlled in accordance with the manual?			
Is ground maintenance near these facilities carried out in accordance with the manual?			
Is the staff aware of safety requirements related to radar and nav aids?			
Are any conditions or exemptions complied with?	AM		



Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
<b>Product Check</b>			
Are appropriate signs warning of microwave radiation hazards supplied and installed in accordance with the manual?			
<b>Feedback</b>			
Are radar and navaid related incidents noted, reported and followed up?			

**Part 5. Audit Checklist – Aerodrome Manual, Aerodrome Administration**

Activity and objective	Regulatory /standards reference	Status "C", "NC", "O", "N/A"	Comments
<b>Aerodrome Manual</b>			
Has the aerodrome manual been amended whenever necessary to maintain its accuracy?	ACR 2004, 21(1)		
Has the operator complied with any directions given by DGCA to amend the manual?	ACR 2004, 21(3)		
Has the operator told DGCA in writing within 30 days of an amendment to the manual?	ACR 2004, 21(2) and ACR 2004, 22(2)		
Do the persons identified as holding copies of the manual have their copy?	ACR 2004, 23		
Are they up to date?			
<b>Management Structure</b>			
Is the management structure in place according to the aerodrome manual?			
<b>Management Responsibility</b>			
Is the person nominated as manual controller carrying out his/her functions?			
Does management have a process in place to ensure that the aerodrome is operated in accordance with the aerodrome manual?			
<b>Record Keeping</b>			
List of documents checked			
Are there records of the nomination of persons who are responsible for the operation and maintenance of the aerodrome?	ACR 2004, 25 & 43		
Are their contact details correct?			
<b>Facilities</b>			
Are there facilities available for training and/or keeping personnel up to date on	ACR 2004, 25 (3)		



Activity and objective	Regulatory /standards reference	Status "C", "NC". "O", "N/A"	Comments
standards and requirements?			
<b>Procedures</b>			
Is the nominated person ensuring that the conditions attached to any exemption are being complied with?			
And that any conditions attached the Certificate are being complied with?	ACR 2004, 8		
<b>Product Check</b>			
Do records of staff training indicate an ongoing commitment by management?	ACR 2004, 25		
Are staff aware of requirements and responsibilities?			
<b>Feedback</b>			
Are staff encouraged to note and report any problems related to the administration?			
And are such reports followed up?			



## Trigger List - Aerodrome Facilities

### 1. RUNWAY(S)

Markers and markings

Pavement condition

Profile Surface texture (e.g. grooving)

Roughness

Cleanliness

Vegetation height (if grassed)

Other (cracks, holes, oversized stones, etc.)

Stopways

Shoulders

RESA

### 2. RUNWAY STRIP(S)

RWS obstacles

Surface condition (graded and overall)

Clearway

Markers

Vegetation height

### 3. TAXIWAYS

Pavement condition

Roughness

Cleanliness

Vegetation height (if grassed)

Shoulders

Taxiway strips

Markers, markings

Other faults

### 4. APRONS

Pavement condition

Roughness

Cleanliness

Vegetation height (if grassed)

Markings, markers

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Aircraft tie-down areas  
Aircraft parking and clearances  
Other (earthing points, vehicle access, etc.)  
Other faults

## **5. LIGHTING**

Note: Lighting inspection carried out Day or Night?  
Runway(s)  
Runway intermediate holding point or guard lights  
Portable  
Apron edge  
Apron flood  
Stand-by power  
Wind indicator(s).  
PAPI/T-VASIS  
Obstacle  
Other (beacon, etc.)

## **6. GENERAL**

Wind indicators  
Signal area  
Un-serviceability markings and markers available  
Boundary fence/access control  
Crash roads

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**Appendix – 07**

**Standard Audit Report Format**

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**Report on Aerodrome Certification Audit**

of

**XXX International Airport,**

***State Name***

**{Month/Year}**

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## EXECUTIVE SUMMARY

A short explanation of the main activities of the audit and the principal findings are described here.

### 1. Background

- 1.1 Certification of aerodromes used in international civil aviation operations became applicable as of 27 November 2003 under the *standards and recommended practices of Annex 14*. On {Day/Month/Year}, {Name of the Aerodrome Operator} applied to the *Director General of Civil Aviation Authority of Nepal (DG CAAN)* for an aerodrome certificate.
- 1.2 Currently Nepal, *Airport Certification Regulations (ACR) 2004* provides the legislative basis for aerodrome regulation by the *DG CAAN* including certification of aerodromes in *Nepal*.
- 1.3 This audit was undertaken in accordance with the requirements of *CAAN ACR 2004*. The *CAAN* has established the various processes and procedures required to be undertaken by the different organizations and persons to whom this programme applies, in order to satisfy the needs of ensuring that aviation practices within *Nepal* are maintained in accordance with the requirements of the *CAAN*.
- 1.4 This airport/ organization has been the subject of previous audits on {Day/Month/Year}.

#### 1.1 Airport/Organization Information

Airport Visited: XXX International Airport

Dates of Audit: {Day/Month/Year} to {Day/Month/Year}

#### 1.2 Audit Team

A certification audit team was established for the assessment process. This team consisted of:

- Mr. AAA, Dy. Director General, *CAAN* - Team Leader;
- Mr. BBB, Aerodrome Inspector - Member; and
- Mr. CCC, Aerodrome Inspector - Member

#### 1.3 Audit Scope & Objectives

The audit was designed to assess compliance with *the {insert regulations, manual procedures\_etc} of XXX International Airport/organization*.

#### 1.4 Identity and Administrative Information of Audited Organization

The management of XXX International Airport, representing the aerodrome operator, was

- 1) Mr. DDD, General Manager

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- 2) Mr. *EEE*, Aerodrome Operations Office
- 3) Mr. *FFF*, Safety Manager
- 4) Mr. *GGG*, Aerodrome Manual Comtroller

## 1.5 Documents Reviewed

1.5.1 The following documents were reviewed prior to, and during, the audit;

- *List the documents*
- *List the documents*
- *List the documents*

1.5.2 Aerodrome Manual Review

The team commenced an assessment process with a thorough review of the *XXX* Aerodrome Manual submitted by *XXX Airport* in the application process. The manual was reviewed in depth during the period *{Day - Day/Month/Year}*.

On *Day/Month/Year* a briefing of findings derived from that review was presented to the *XXX Airport* Assistant Airport Manager Airside, Mr. *CCC* at the conference hall of *XXX Airport*.

## 1.6 Person Contacted and Interviewed

The following persons were interviewed and questioned during the audit;

- Mr. *HHH* *Director, XXX Airport*
- Ms. *JJJ* *Chief, RFFS, XXX Airport*

## 1.7 Entry/Opening Meeting

1.7.1 An opening meeting was carried out on *Day/Month/Year* at *Location*. This briefing was conducted by the *CAAN* Audit Team Leader, Mr. *AAA* and attended by the most of the senior officials of *XXX Airport*.

A list of attendees is attached in **Attachment – A**.

1.7.2 The entry meeting marked the commencement of the audit process. It was held to allow the team to be introduced to the aerodrome operator's staff and to allow the Team Leader to provide a briefing on how the audit was planned to proceed, the allowance for minor variations of the audit program if necessary to suit individuals and to explain the steps to be taken by the team and the aerodrome operator both during and after the audit. A copy of the audit programme delivered at the entry meeting is attached as **Attachment – B**

## 1.8 Audit Activity

1.8.1 This was conducted over the period *{Day - Day/Month/Year}* and comprised observations, inspections and measurements of airport facilities, equipment and procedures, as well as interviews with airport staff and contractors. Checklists supported the audit activity and those used are retained on File No. *{.../.../...}* for future reference. An inspection of the airport at night was conducted on *Day/Month/Year*.

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## 1.9 Exit/Closing Meeting

- 1.9.1 A closing meeting was conducted on *Day/Month/Year* at *Location*. This was conducted by the CAAN Audit Team Leader, *Mr. AAA* and attended by most of the senior officials of CAAN. A list of attendees is attached as **Attachment - A**
- 1.9.2 The exit meeting marked the end of the audit activity at the airport for the team, and was the opportunity for the team to brief the staff of the operator on the findings generated through the audit process. Some *{insert the numbers}* findings were presented; each being assessed either as non-conformance to *CAR - 14, PART - I/ICAO standards* or non-adherence to recommended practices or other significant safety guidelines. In addition *{insert the numbers}* observations were made which, in the opinion of the team, would contribute to improving safety, regularity and efficiency of the airport if adopted.

## 2. Audit Findings and Observations

### 2.1 Summary of Audit Findings

2.1.1 From this audit there were:

- *{Number}* instances recorded where facilities, equipment, procedures or other matters did not conform to *National Aerodrome Standards/standards specified in Annex 14 - {Number}* non-conformances;
- *{Number}* instances recorded where facilities, equipment, procedures or other matters did not adhere to recommended practices or other significant guidelines - *{Number}* non-adherences; and
- *{Number}* observations made that may be useful in improving airport safety, efficiency or regularity of operations.

### 2.2 Audit Findings

2.2.1 Describe each finding as a result of an observed condition.

2.2.2 **Finding:** Describe the deficiency and the corrective action required by the audited organization together with reference to mandatory requirement and associated evidence of non-conformity.

2.2.3 **Status:** Assign category of finding.

2.2.4 **Timing:** Agreed deadline for rectification.

2.2.5 It is noted that the provisions of *ACR 2004 /Applicable Regulation* are applicable. *ACR }/Applicable Regulation* imposes an obligation to ensure the physical characteristics, aeronautical ground lights and surface marking colours, obstruction clearing and marking and visual ground aids and equipment at aerodromes conform to *CAR - 14, PART - I/Annex 14 standards*, and that recommended practices shall be implemented as far as possible.

2.2.6 All of the non-conformances and many on the non-adherences could have been classed as non-compliances under the provision of *ACR 2004}/Applicable Regulation*, but the team elected to use the less severe finding classifications to demonstrate our intention of encouraging voluntary compliance rather than threatening enforcement.

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2.2.7 We were also mindful of the need to develop awareness of some requirements and that XXX Airport staff may need to acquire technical documentation for reference.

2.2.8 The audit findings are attached as **Attachment - C**.

2.2.9 Prepare an Audit Finding Form (**Attachment – D**) for each finding and provide with the draft final report for corrective action by audited organization with appropriate timeframe.

### 2.3 Observation

2.3.1 Record comments.

#### Note:-

*When drafting findings following an audit or inspection, the following guidelines should be used;*

- Do not wait until the last moment to draft the documents.
- The draft findings must be filled in as the observations are made to maintain a satisfactory level of objectivity.
- The final report of the audit must be drafted as quickly as possible after the audit is completed.
- Every formulation must be clear, concise and comprehensive.
- Sentences should be short.
- The classification of recommendations must be carried out with objectivity and candour.

### 3. CORRECTIVE ACTION PLAN

3.1 List all the corrective action required by the audited organization in the Corrective Action Plan form in order of priority as classified in this Handbook (see **Table 1**).

**Table 1 – Audit/Inspection Corrective Action Plan**

DOCUMENT REFERENCE	FINDINGS	FINDINGS CATEGORY	CORRECTIVE ACTION (BY AERODROME OPERATOR)	PERSON RESPONSIBLE	AGREED TARGET DATE

--	--	--	--	--	--

**4. Conclusion [Example only]**

- 4.1 As a result of this audit the team is of a view that a recommendation for issue of an Aerodrome Certificate to XXX International Airport is *appropriate/not yet appropriate*.
- 4.2 We recommend that the list of findings be provided to *XXX Airport* with a request for a corrective action plan to be provided within a reasonable time, preferably *30 days*.
- 4.3 On receipt of an action plan from *XXX Airport*, the audit activity may be reactivated by *DG CAAN* with a view to making a certification recommendation if all identified concerns have been satisfactorily remedied, and compliance with the mandatory safety requirements has been achieved.
- 4.4 We recommend also that once certification has been achieved, a surveillance plan be adopted which adopts a narrow scope, high frequency program, with visits planned on a *monthly* interval for various specific topics during the first *12 to 18 months* after certification to enable the regulator to ensure that standards are maintained by offering frequent assistance and feedback to the operator at both operational and executive levels.

Department of Aerodrome Standards and Safety

*Aerodrome Inspector* :

*Day/Month/Year*

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**Appendix - 08**

**Post Audit Feedback Form**

**XXX International Airport**

<b>Item</b>	<b>Activity</b>	<b>Comments/Remarks</b>
1	Post audit opening	
2	Conduct of auditors	
3	Documentation	
4	Comment on findings	
5	Quality of the audit report	
6	General/Others	

**Appendix – 09**

**Aerodrome Inspector Handbook Distribution List**

Copy	Copy Holder	Location	Contact Details
Copy No. 1	Director General, CAAN	CAAN, HO	
Copy No. 2	ASSD	CAAN, HO	
Copy No. 3	Member ASSD (Civil)		
Copy No. 4	Member ASSD (ATS)		
Copy No. 5	Member ASSD (El./Electr.)		
Copy No. 6	Member ASSD (RFF)		
Copy No. 7	Member ASSD (FOI)		
Copy No. 8			
Copy No. 9			
Copy No. 10			

**Note:**

*Finalization of this distribution list is subject to the completion of organizational structure and staffing arrangements. The titles of the positions listed above may change, they are provided as examples only.*

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## **Attachment - C**

### **XXX Airport Certification Audit Initial Findings {For Guidance Purpose only}**

An entry meeting was conducted by the CAAN team and concerned staff of **XXX Airport** on *Day/Month/Year* and an exit meeting was conducted on *Day/Month/Year*.

A summary of the initial findings of the audit was provided for the exit meeting, as per the items listed below.

#### **Aerodrome Manual, Part 1**

1. The aerodrome operator is to be responsible for distribution and change management of the Aerodrome Manual. No such system could be identified. This is a non-adherence to *Document 9774 Section 3C.1.1(c)*.
2. Procedures for review, amendment and notification of changes to the Aerodrome Manual need to be provided. This is a non-adherence to *Document 9774 Section 3C.1.2(b), (c) and (d)*
3. A procedure for advising of changes in aeronautical information to AIS is referred to but not provided in the manual or elsewhere. This is a non-adherence to *Document 9774 Section 3C.4.1*.
4. A procedure is required for providing aircraft movement information to *Manager Finance*. This is a non-adherence to *Document 9774 Appendix 1 Part 1 para (e)*.

#### **Aerodrome Manual, Part 2**

5. Map showing aerodrome facilities should include information relating to runway and taxiway designations and runway strip dimensions. This is a non-adherence to *Document 9774 Appendix 1 Part 2 para (a)*.
6. Map showing aerodrome boundary is required. The perimeter is to be clearly defined. A separate map may be provided if necessary. The maps must be clear and legible. Reference to large-scale maps is permissible, but if these are not contained in the manual a reference to their location is to be made in the manual. The lack of an aerodrome boundary map is a non-adherence to *Document 9774 Section 9774 Appendix 1 Part 2 para (b)*.

#### **Aerodrome Manual, Part 3**

7. All data provided in the manual needs to be able to be verified prior to forwarding to AIS for publication in AIP. Accuracy and reference of some items could not be substantiated. This is a non-conformance with the standard specified in CAR - 14, PART - I / *Annex 14 para. 2.5.1*.
8. Standards for individual data elements are to be as per specifications in CAR - 14, PART - I / *Annex 14 and Annex 15*.
9. Data elements about the aerodrome are not to be sourced from AIP but the manual is expected to contain the source information with verification able to be

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demonstrated on request. This is a non-adherence to *Document 9774 Sec 3C.3 part 3*. (See also *Document 9774 Section C introduction note 1*)

10. Pavement strength ratings should reflect the actual assessment method, and if technically assessed the procedure used and results achieved should be made available. If no actual test assessment has been made the strength rating should indicate assessment method code 'U'. As pavement strength determination (other than design criteria) could not be demonstrated, publication as a "T" rating is a non-conformance with the standard specified in CAR - 14, PART - I / *Annex 14 para 2.6.6.d*.
11. All co-ordinates shall be provided to WGS-84 reference. As confirmation was not stated or evident, this is a non-conformance with the standard specified in CAR - 14, PART - I / *Annex 14 para 2.1.5*.

### Hazardous materials

12. References in the manual to Dangerous Goods matters may be removed, as these are not necessary for certification. DG procedures were not audited. (Observation 1)
13. References to handling of explosive cargo may be removed, as the aerodrome operator does not handle explosive cargoes. (Observation 2)
14. Provide reference to agreement between fuel agency and **XXX Airport** regarding supply of aviation fuel on the airport. (Observation 3)
15. The audit team was advised that the fuel agency staff perform maintenance on apron facilities from time to time but no procedure exists, so that the aerodrome operator can be assured that such staff are aware of or are required to abide by airport safety rules when so employed. Procedures requiring adequate arrangements for staff to perform fuel system maintenance on apron equipment should be provided. This is a non-adherence to *Document 9774 Section 3D.3.3*

### Wildlife hazard management

16. Procedures for monitoring wildlife hazards (including checklists) and arrangements for dealing with wildlife control programs are conducted by staff on a 24 hr roster but are not documented. *Airport Manager* indicated that a SOP would be prepared to address the issues. The procedure is required to be incorporated in the aerodrome manual. This is a non-adherence to *Document 9774 Appendix 1 part 4.12*.

### Protection of Radar and Navaid

17. The relevant procedure as stated in the aerodrome manual varies from the actual process that is used to manage the conduct of ground maintenance activity in the vicinity of nav aids. Procedure states that nav aids will be withdrawn from service while works are in progress in the vicinity but in fact the work is managed while the nav aids are not operationally required and are selected off, although they remain fully serviceable. In fact the work in the area is ceased and work staff are withdrawn before the nav aids are required to be operated.

The procedure in the manual and the actual procedure in practice should agree. In this case the Aerodrome Operator is not operating and maintaining the aerodrome in accordance with the procedures set out in the manual. This is a non adherence to *Document 9774 Section 3D.3.1*.

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### Airside vehicle control

18. Procedures are under development as responsibilities have recently been reallocated within **CAAN** and between **CAAN** and *Airlines*. In discussion, it was noted that the proposed procedure would permit SLA to train and test their own staff, with **XXX Airport** to issue Driver Licences on application by *Airlines*.

Before issuing a drivers licence authoring a person to drive on airside, **XXX Airport** procedures should incorporate a provision to enable **XXX Airport** to be satisfied that the applicant is competent to do so, either by testing all applicants or by approving and auditing *Airlines* training. (Observation 4)

19. The team was advised that an enforcement scheme is to be introduced utilizing electronic speed measurement equipment. A procedure for compliance and enforcement of airside traffic rules should also be produced, as the lack of such a procedure is non-adherence to *Document 9774 Appendix 1 4.11(a)*.

Training for airside drivers may incorporate routine or specific refresher training, especially as new facilities such as additional aprons and new aerobridge facilities are introduced. (Observation 5)

### Removal of Disabled Aircraft

20. A new procedure was presented to the team at the audit session. This was reviewed and the following noted.

The procedure should provide clarification of roles and responsibilities for each person undertaking some action in regard to co-ordination of aircraft removal action. Non-adherence to *Document 9774 Appendix 1 Part 4.14 para (a)*.

The tasks and actions required of the disabled aircraft co-ordinator seem not to be specified in the manual procedure. Non-adherence to *Document 9774 Appendix 1 part 4.14*

The capacity of the airport to remove a disabled aircraft should be stated in terms of the largest aircraft that can be handled with the equipment and facilities readily available on-site and not with equipment that may be supplied from a remote location. Non-adherence to recommended practice in *CAR - 14, PART - 1 / Annex 14 para 9.3.2(a)*

**Note:** The compliance of staff with the new procedure presented was not audited at this time, and only a brief assessment of the new procedure was performed. Future arrangements will be notified regarding audit of this item.

### Aerodrome Works Safety

21. Work safety officer positions and functions are described in the manual but no person has been appointed specifically as a work safety officer to ensure compliance with aviation safety. Consequently the actual process is different from the aerodrome manual and so the Aerodrome Operator is not operating and maintaining the aerodrome in accordance with the procedures set out in the manual, which constitutes a non-adherence to *Document 9774 Section 3D.3.1*
22. The contractor's Safety Manual specifies that that *ICAO SARPS* will be complied with on-site, but the *SARPs* were found not to comply because:

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- (a) No *ICAO standard* unserviceability markings are in use. Non-conformance with *CAR - 14, PART - I/Annex 14 Standards 7.4.1 and 7.4.3.*
- (b) Unserviceability lights used on project work areas on the apron and taxiway do not comply with *ICAO standards*, flashing lights were noted to be in use as opposed to steady red lights required by *ICAO rules*. This is a non-conformance with *CAR - 14, PART - I/Annex 14 Standard 7.4.4.*
- (c) Markers used to indicate an unserviceable portion of apron or taxiway are fabricated from steel drums. Markers used for such purposes on movement areas are required to be frangible. Non-conformance with *CAR - 14, PART - I/Annex 14 Standard 5.5.1.*

### **Aerodrome Reporting**

- 23. The aerodrome manual requires that permanent changes to airport information will be advised directly to *DG CAAN* but does not indicate when such changes will be notified or who is to make the notification. This is a non-adherence to *Document 9774 Part 4.1 para (a).*

### **Civil Engineering Maintenance**

- 24. Well organized. It is suggested that the procedure should state the requirements for maximum permissible grass height on runway and taxiway strip so that all inspectors are aware of requirements. Safety inspections were done by staff from other sections who were not aware of grass height limits. (Observation 6)
- 25. Friction testing. Testing is done and records of results are maintained but no procedure as to actual process is provided in the manual. This is non-adherence to *Document 9774 Appendix 1 para 4.5(a).*

### **Standby Power**

- 26. Good. Procedures are clear and full documentation of maintenance and test records was available on request.

### **RFFS**

- 27. Initially the manual contained no reference to training requirements. At the audit visit an amendment was provided to address this matter. The amendment needs to be incorporated formally into the Aerodrome Manual.
- 28. Facilities for static water storage on the airside should be incorporated into the aerodrome plan and the grid map. Non-adherence with *Document 9774 Appendix 1 part 2 (a).*

### **AEP**

- 29. Procedures to return the aerodrome to operational condition after an emergency should be incorporated into the procedures of the aerodrome manual and/or emergency procedures documentation. Currently the procedures only cover cancellation of the emergency and its notification, and does not address the actions necessary to ensure the aerodrome is properly restored to a safe operational status. Non-adherence with *Document 9774 Appendix 1 part 4.3 (a) 'after the emergency'*

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## OLS

30. The process of monitoring is unclear. For example, monitoring of a crane on the new catering building could not identify if it would penetrate the relevant OLS or exceed the approved height for the building. Non-adherence to *Document 9774 Appendix 1 part 4.13(a)*
31. A procedure is in the manual for OLS protection against the requirements for current OLS (temporary objects) and future airport development OLS (permanent objects). In fact separate procedures are not used. It is suggested that the section be deleted (Observation 7). In any event the actual procedure used should be document so that the audit can determine if the aerodrome is being operated in accordance with the provisions of the manual. Non-adherence to *Document 9774 Section D para 3D3.1*
32. Procedure for review of ICAO Type A chart is unclear. Existing chart appears to have been last surveyed in 1999 and many of the identified obstacles are trees. No assessment as to any need for resurvey is evident. Non-adherence to *Document 9774 Appendix 1 part 4.13 (a)*

## Inspection of Aerodrome Facilities

33. The facilities were assessed by taking into account the requirements of *Airport Certification Regulation 2004*, which provides that the physical characteristics of aerodromes, aeronautical ground light and surface marking colours, obstruction clearing and marking, visual ground aids and aerodrome equipment, shall conform to the standards prescribed in *CAR - 14, PART - I/ Annex 14 to the Convention*, and the recommended practices therein shall be implemented as far as possible.
34. Runway
  - (a) Markings
 

Existing runway markings generally use a striated application method, which is normally only adopted in areas subject to low ground temperatures to reduce the effect of frost heave. Striated markings should only be used where necessary as they reduce the conspicuity of the marking. Non-adherence to *Aerodrome Design Manual (ADM) Part 4 Appendix 3 para 24*.

It was noted that some markings have been repainted using solid block display.

Runway side stripe markings across taxiways are normally broken to reduce confusion to pilots, as permitted by *CAR - 14, PART - I/ Annex 14, 5.2.1.3*. In BIA markings are extended across the taxiways but are significantly faded and are obliterated in some areas. It is recommended that the runway side strip markings be broken at taxiway intersections (Observation 8).
35. Taxiways
  - “B” No runway holding position marking is provided although the taxiway is used to access the runway. Non-conformance with *CAR - 14, PART - I/Annex 14 Standard 5.2.10.1*

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“C” Aircraft entering the runway using TWY C are doing so in violation of mandatory instruction ‘NO ENTRY’ signs. Non-conformance with CAR - 14, PART - I/Annex 14 Standards 5.4.1.1 and 5.4.2.7. Additionally, the characteristic of the ‘NO ENTRY’ sign is as per the physical characteristics specified in Annex 14. Non-conformance with CAR - 14, PART - I/Annex 14 Standard 5.4.2.15.

“D” No runway holding position marking is provided although the taxiway may be used to access the runway. Non-conformance with CAR - 14, PART - I/Annex 14 Standard 5.2.10.1

Old light fittings that extend above the pavement have been allowed to remain in the new widened taxiway pavement surface. Non-conformance with CAR - 14, PART - I/Annex 14 Standard 3.9.13.

*Parallel Taxiway* The transition from newly surfaced taxiway shoulder edge to taxiway strip at several locations between the intersections with TWY D and TWY E has a drop-off of up to 15 centimetres. This is despite the requirement in CAR - 14, PART - I/Annex 14 that the surface of the taxiway strip should be flush with the taxiway shoulder. Non-conformance to Annex 14, Standard 3.4.10.

Along the length of the taxiway system the centerline and edge markings have been permitted to become very faded and are very difficult to observe clearly. An effective maintenance programme does not appear to be in place. Non-adherence with CAR - 14, PART - I/Annex 14 recommended practice 10.1.1.

### 36. Runway Strip

On the Airforce side of the runway, the runway strip is obstructed by an apron area 130 metres from runway centreline and a row of military bunkers, fences and barriers up to 101 metres from the runway centerline. Data in the Aerodrome manual and the {State} AIP indicates that a runway strip width of 300 metres is provided.

### 37. Taxiway Strip

In areas where work has recently been undertaken to widen the taxiway fillets, numerous concrete blocks were noted on the strip surface adjacent to the taxiway shoulders. To prevent damage to an aircraft running off the taxiway these items should be removed or made flush with the surface. (Observation 9)

38. MAGS “CAT 1” signs at Twy A and E should be mandatory signs incorporating RWY THR identification and TWY location information. The existing incorrect signage is a non-conformance with CAR - 14, PART - I/Annex 14 Standards 5.4.2.1, 5.4.2.5 and Fig 5-28.

Where intersection take-offs are permitted an appropriate sign should be provided. Non-adherence to CAR - 14, PART - I/Annex 14 para 5.4.3.5.

Guidance sign characters for some signs are not in accordance with standard characteristics. Characters which are 300 mm in height have a 30 mm stroke width, as opposed to the 48 mm width required. Non-conformance with CAR - 14, PART - I/Annex 14 Appendix 4 para 3.

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Mandatory instruction signs have a minimum character height of 300 mm instead of the 400 mm height required. Non-conformance with *CAR - 14, PART - I/ Annex 14 Appendix 4 para 1.*

38. Aprons

Apron edge markings were noted to be by single yellow lines. The limits for non-load bearing surfaces should be delineated with a taxi side stripe marking which utilizes two yellow lines. The current markings are non-conformances with *CAR - 14, PART - I/Annex 14 Standard 7.2.1, and non-adherence to CAR - 14, PART - I/Annex 14 para 7.2.2*

Markings on aprons where increased conspicuity is desired may be enhanced by outlining with black borders. Concrete pavements are generally recognized as providing a poor conspicuity for yellow pavement markings. Markings on new apron "C" do not have black outlines, and aircrew and ground handlers may make complaints. (Observation 9 – the ADM Part 4 Appendix 3 para 25 provides relevant guidance.)

### Apron Management

40. The design of the apron parking positions appears to use a combination of elements, some for use by aircrew (pilot position stop line) and some for use of marshallers (nose wheel position markings). The audit team could not establish the relationship of the parking position elements from observation and so cannot comment on the design.
41. It was noted that various aircraft were marshaled onto parking bays where no nose wheel parking position designator was provided, eg A340, MD 11, B767. The audit team was unable to verify if all relevant clearances were provided in such cases.
42. The aerodrome manual indicates that all day-to-day allocation of parking positions is performed by ATC. No information was available to indicate how these allocations were made or how restrictions were known and applied if necessary. Non-adherence to *Document 9774 Section D para 3D.3.1.*

The aerodrome manual indicates that {State} Airlines Engineering Unit disseminates information to all interested parties about apron parking allocations but it was apparent that some airline representatives have to obtain information by reference to ATC. This is a non-adherence to *Document 9774 Section D para 3D.3.1.*

### Apron Safety

43. Procedures relating to apron sweeping and cleaning and general safety oversight appear to be conducted by staff of the operator, but are not yet documented in the manual, so were not audited. This is a non adherence to *Document 9774 Section 3D.3.1.*

**Attachment - D**

**AUDIT FINDING FORM**  
**Regulatory Audit**  
**Civil Aviation Authority of Nepal**

Aerodrome Operator Name:	Location:	File Ref:
Area of the Audit:		Ref. No:
Non-conformance with: <b>{For Guidance Purpose Only}</b> <i>CAR - 14, PART - I/Annex 14 standard Para 2.5.1 states "The following data shall be measured or described as appropriate, for each facility provided on the aerodrome".</i>		
<b>{For Guidance Purpose only}</b> 1. The data provided in the Aerodrome Manual, Part 3 is not verifiable by the operator. The Operator has no record of how the aerodrome data has been forwarded to AIS for the publication in the AIP. 2. Data elements in the aerodrome manual has been source from the AIP, where as the manual should contain the source information with verifications. 3. Pavement strength assessment procedure and the results achieved could not be verified by the operator.		
Auditor's signature	Auditor's Name	Date:
<b>Aerodrome Operator Corrective Action Plan</b>		
Immediate/ Short Term: ..... ..... Long Term ..... .....		
Aerodrome Operator Representative's signature		Date
<b>Response of the Civil Aviation Authority of Nepal:</b>		
Aerodrome Operator Response Accepted: <input type="checkbox"/> Yes <input type="checkbox"/> No Comments:..... .....		
Signature of the authorized officer		Date
<b>Audit Follow Up</b>		
Target Completion Date:		Actual Completion Date:
.....		.....
Signature of the authorized officer		Date

**Attachment - E**

**Auditor Feedback Form**

**1. General Conduct of the Audit**

Audit component	Answers and Comment (If “Yes”, provide explanation)	
1. Did the team experience difficulties working together? If so what aspects could be improved? Were there any individual auditors who did not function as part of the team? If so, who were they?	↑ Yes ↑No	
2. Did the audit team leader function effectively as a team leader? Were the functions of the team adequately and fairly distributed?	↑ Yes ↑No	
3. Was all the documentation used by the team the current version? Were there adequate copies of all documents, manuals and guidance material made available?	↑ Yes ↑No	
d) Were there any major impediments to the successful conclusion of the audit? If ‘yes’, were they resolved or not? If answer to Q4 is yes, describe how impediments were resolved.	↑ Yes ↑No	

**2. Preparation for the Audit**

Issues assessed by Team Participants	Answers and Comment (If “No”, provide explanation)	
1. Did you experience any difficulties with travel arrangements, such as air tickets, hotels, allowances etc?	↑ Yes ↑No	
2. Were all the documents required from the audited organisation supplied on time prior to the audit? If no, was there a reason for this?	↑ Yes ↑No	
3. Were the pre-audit questionnaire fully completed and submitted in sufficient time before the audit? Did the answers help, or were they of limited use? How best can this be improved?	↑ Yes ↑No	
4. Were there any scheduling problems with the audited organisation, or failures in communication with the audited organisation?	↑ Yes ↑No	
5. Did you have sufficient time to review all the documentation prior to the actual audit?	↑ Yes ↑No	
6. Was the audit timetable realistic and achievable?	↑ Yes ↑No	

### 3. Conduct of the Audit

Issues Assessed by Team Participant	Answers and Comment (If “Yes”, provide explanation)	
1. Was the entry briefing of value? Did it sufficiently deliver the scope and objectives of the audit to the audited organisation? If not, why?	↑ Yes ↑No	
2. Did you experience any difficulties in communicating with representatives of the audited organisation, and if so, why?	↑ Yes ↑No	
3. Did you experience any lack of cooperation or reluctance on the part of the audited organisation during the audit?	↑ Yes ↑No	
4. Were there any incidents during the audit that require management attention? If so please describe.	↑ Yes ↑No	
5. Was the guidance material provided current and adequate?	↑Yes ↑No	
6. Were the checklists current and adequate?	↑Yes ↑No	
7. Did the exit briefing cover all the findings of the team?	↑Yes ↑No	
8. Did the audited organisation respond positively or negatively to the findings in the briefing?	↑ Yes ↑No	

### 4. Reporting and Other Issues

Issues Assessed by Team Participant	Answers and Comment (If “Yes”, provide explanation)	
1. Did you experience any difficulties with the preparation of the audit report? If so, what aspects need improving?	Yes No	
2. Were there any other issues that need to be brought to the attention of senior Management? Describe them.	↑ Yes ↑No	
3. Are there any areas of the audit process that require revision or could be done better? If so, please describe.	↑ Yes ↑No	
4. Are there any areas in the Civil Aviation Regulations part 12 (aerodromes) or any other supplied guidance material that warrants revision or amendment?	↑ Yes ↑No	