

PREAMBLE

The DCAL is responsible under the Civil Aviation Law of 2005, for the regulation of civil aviation activities, including activities in the aerodrome sector of the air transportation industry, within Lao PDR.

This Manual for aerodrome inspectors is one in a series of manuals that have been adopted by DCA to meet the responsibilities devolved from the Civil Aviation Law to ensure the safety regulation of aerodrome matters. This manual describes how staff will implement the procedures specified for conducting certification and surveillance of domestic and international aerodromes throughout the nation.

The information contained within this Aerodrome Inspection Manual has been developed to be in conformity with ICAO standards and recommended practices and the applicable Laos legal requirements including the Regulations governing Aerodromes, the Manual of Standards for Aerodromes and the Manual of Aerodrome Certification Procedures.

I expect DCA officers will comply with the specified processes and activities that are provided in this document. It is important that the DCA is able to demonstrate consistency, equity and leadership in its day to day regulatory activity to the aviation industry, and compliance with our own published procedures is one way that we can demonstrate effective discharge of our functions and obligations to industry participants and the travelling public.

Users of this document are invited to pass advice of errors, inconsistencies or suggestions for improvements to DCA.

Any recommendation in this Manual forward its improvement to DCA at the address shown in this manual.

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Date

29 JAN 2010

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Remark: DGCA is Granted Power to sign these requirements by the Minister under the Ministerial Decision N. 8682/MPWT dated 30 June, 2009

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Chapter 1. Overview

1. Objective

- 1.1 This manual provides information and guidance for activities by Aerodrome Inspectors conducting DCA safety oversight functions. It provides guidance for Inspectors involved in system safety audits of aerodromes. Specific procedures associated with the entry control functions of aerodrome certification and registration, and approving persons to conduct annual safety inspection of aerodromes, can be found in the DCA Manual of Aerodrome Certification Procedures.
- 1.2 This manual establishes various actions required to be undertaken by Aerodrome Inspectors so that aerodrome operations within Laos are maintained in accordance with;
- relevant aviation legislation that impacts on safe aerodrome operations, and specifically that which addresses aerodromes – Regulation Governing Aerodrome (RGA);
 - Manual of Aerodrome Standards (MOS);
 - Annex 14 to the Chicago Convention of the International Civil Aviation Organisation (ICAO), Aerodromes Volume 1; and
 - any other directive issued by the DCA relevant to civil aerodromes.

2. Applicability

- 2.1 This manual contains information for safety audit processes to be adopted for:
- a) certified airports where international operations occur or where domestic operations are undertaken by aircraft certified with a maximum take-off weight 5700 kg or more
 - b) registered airports where domestic operations are undertaken by aircraft certified with a maximum take-off weight 5700 kg or more;
 - c) any other aerodrome specified by the DCA; and
 - d) any person who has been approved by the DCA to provide a service to an aerodrome operator.
- 2.2 Responsibility for the development, implementation and maintenance of aerodrome standards rests with the DCA. Specifically designated DCA Aerodrome Inspectors are accountable for the ongoing tasks required to ensure that the contents of this manual are being effectively implemented in order to satisfy the following objectives:
- a) verify the effective implementation of aerodrome standards;
 - b) monitor the level of compliance with the provisions of Regulation Governing Aerodrome.

- c) determine the adequacy and effectiveness of the manual through the establishment of legislation, regulations, inspections and audits;
- d) ensure all persons who are assigned aerodrome audit duties or responsibilities are trained and instructed to carry out such duties;
- e) ensure that violation of standards are investigated; and
- f) review and re-evaluate aerodrome standards and controls immediately following an act of violation and on a periodic basis.

3. Appropriate legislation

- 3.1 The legal authority governing the implementation of this manual derives from Article 23 of the Civil Aviation Law and Regulation governing Aerodromes Chapter 2, contains details of the mandatory requirements associated with aerodromes.
- 3.2 Under the Civil Aviation Law 2005, Article 67 an aerodrome operator is obligated to allow the Director General or his authorised representative access to any aerodrome to carry out safety inspections or evaluations.
- 3.3 Power of access to aerodrome for inspections under Regulation Governing Aerodrome provides that:
 - a) The operator of an aerodrome must allow DCA to inspect and conduct tests on aerodrome facilities, equipment, services or operating procedures and inspect the aerodrome operator's documents and records and verify the Aerodrome Safety Management System at the aerodrome for the purpose of aviation safety;
 - b) The aerodrome operator must allow access for personnel authorized by DCA to any part of the aerodrome, or any aerodrome facilities, equipment, records, documentation or records for the purpose referred to Chapter 1, Article 2 of Regulation Governing Aerodrome ; and
 - c) DCA must give reasonable notice to the operator about the tests to be conducted and carry out the tests at a reasonable time.

4. Overview and concepts

- 4.1 The system described in this manual covers the following basic elements;
 - a) Conduct of surveys by DCA of various airport and other aviation stakeholders to determine aerodrome requirements;
 - b) Setting of operational standards by the DCA 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 DCA;
- e) Investigation and reporting of non compliance by the DCA;
- f) Notification of violations to stated aerodrome operation requirements by the DCA to aerodrome operators;
- g) Enforcement action by DCA in case of non-compliance with requirements by aerodrome operators;
- h) Surveillance and detection of non conformity with aerodrome regulatory requirements as applied within Laos, conducted by foreign governments, airlines, and ICAO under the Universal Safety Oversight Audit Programme (USOAP)

4.2 Under the Regulations Governing Aerodrome there is a requirement for specified entities to develop and submit an aerodrome manual to the DCA. Aerodrome manuals describe in detail how operators implement the various standards required of them. If an aerodrome manual is accepted by the DCA, 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 DCA.

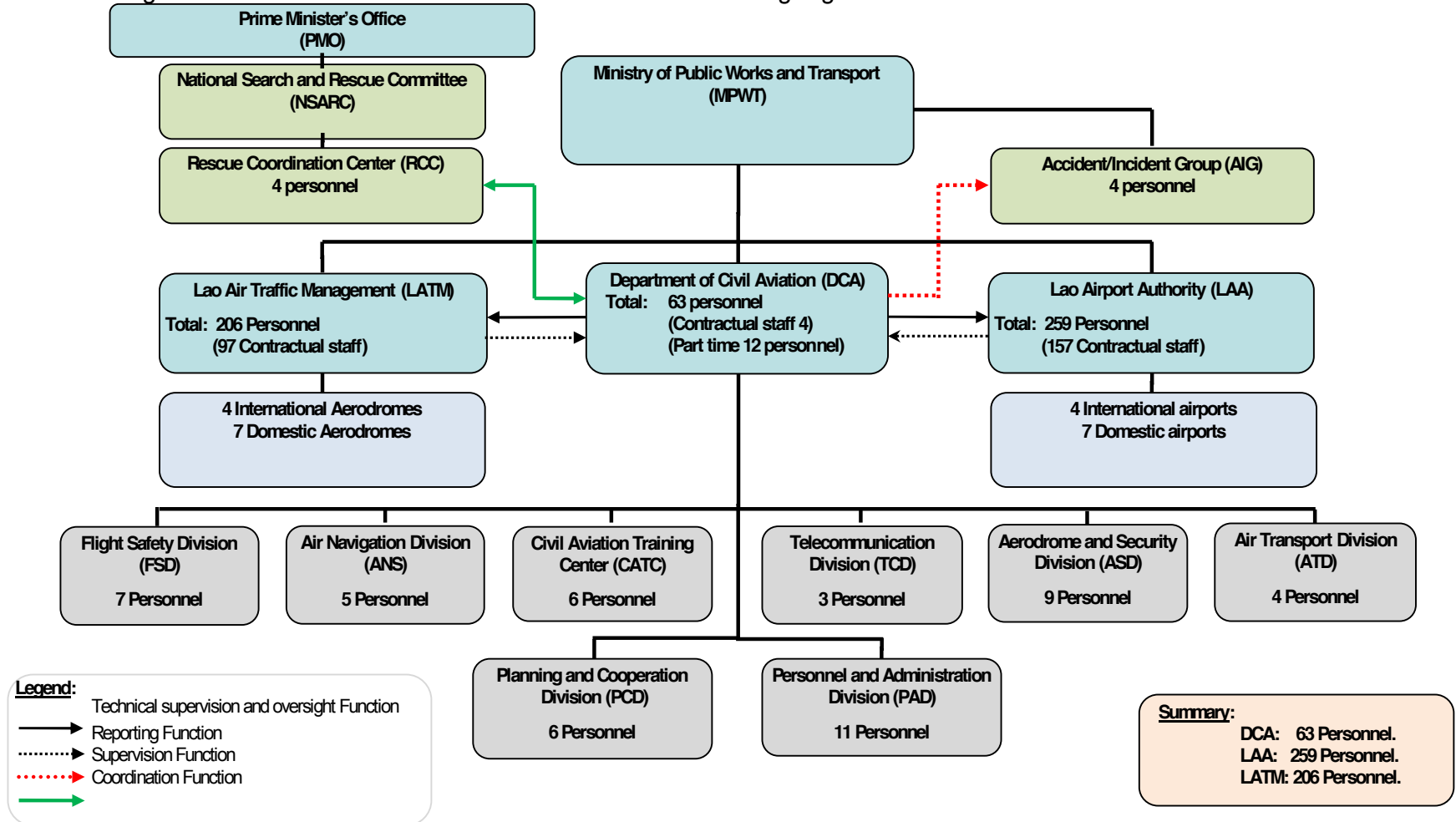
5. Definitions

5.1 Within the contents of this manual, certain terms are referred to that have a specific technical meaning. A list of these terms and the definition of their technical meanings is included at Appendix 1.

Chapter 2. Authority and responsibility

1. DCA responsibilities

1.1 The organisational structure of the DCA is shown on the following organisation chart :



1.2 The tasks and responsibilities of the Aerodrome Division include, but are not limited to:

- a) Receiving, recording, reviewing and processing an expression of interest received from an intending applicant for an aerodrome certificate;
- b) Receiving, recording, reviewing and processing a formal application for an aerodrome certificate including the initial inspection review of the aerodrome manual, on-site audit and 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 & processing applications for the registration of an aerodrome;
- e) Grant or refusal for registration of an aerodrome;
- f) Receiving, recording, reviewing & processing applications for the surrender of an aerodrome certificate;
- g) Cancelling or suspending an aerodrome certificate; and
- h) Approval of persons to conduct aerodrome safety inspections.

1.3 Aerodrome Inspectors/Auditors Code of Conduct

1.3.1 As the leader of or as a participant in a DCA audit team, each individual auditor 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 auditor are as follows;

- a) To exercise in all loyalty, discretion and conscience the functions entrusted to them as a member of the DCA 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;
- d) To abide by the rules, procedures and guidance prescribed in this manual;
- e) Not to misuse their official position as part of the DCA 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 judgement or integrity;

- g) To avoid giving cause for resentment and abstain from conduct which would reflect adversely on the DCA; 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 manual.

1.4 Auditor Feedback

1.3.1 Following the conclusion of an audit and the compilation of the audit report, each individual auditor is required to complete submit an Audit or Feedback Form (see Appendix 3) providing his/her observations on the conduct of the audit. These forms will be utilised to provide a qualitative assessment on the audit process so as to identify areas of improvement for future audits. The assessment will be carried out by the Aerodrome Division.

1.4.2 If an individual auditor or group of auditors 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 the Aerodrome Inspector Manual (AIM), they are to report this matter in writing to the Director General DCA through the Aerodrome Division.

1.4 Aerodrome Inspector powers and authority

1.5.1 Aerodrome Inspectors carry formal authorisations, to be produced if required, enabling them to exercise their powers in accordance with all the elements of the Regulation Governing Aerodrome. These powers include the ability:

- a) to inspect any part of any aerodrome;
- b) to investigate and test the effectiveness of aerodrome practices and procedures;
- c) 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;
- d) to enter on any land or in any buildings, access to which is necessary, for the purpose of inspecting an aerodrome; and
- e) to record an operation, procedure or installation in written, photographic or other electronic form.

1.5.2 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 (as examples) cameras, video recorders and tape recorders. These powers may be

exercised when DCA Aerodrome Inspections are conducting audits, surveys and inspections.

2. Aerodrome Certificate holder's responsibilities

2.1 The tasks and responsibilities of the aerodrome operator include:

- (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 DCA. The DCA 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 organisation for conformity with the procedures in its manual and achievement of the goals set out in it.

2.2 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 organisation with the opportunity to improve the operational standard and overall performance.

2.3 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;

- 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.

2.4 Corrective Action

2.4.1 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.

2.5 Preventive Action

2.5.1 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.

2.6 Management Review

2.6.1 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
- c) ensure the results of the review are evaluated and recorded .

2.7 Tests

2.7.1 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 .

2.8 Records

2.8.1 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 organisation, 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.

Chapter 3. Aerodrome manual

1 Requirement for aerodrome operation

- 1.1 The general requirement for some aviation entities and service providers to develop aerodrome manuals and submit them to the DCA for formal review derives its authority from the Regulations governing Aerodromes, Chapter 3. Additionally the Regulations governing Aerodromes specifically requires certain aerodromes to be certified by DCA.
- 1.2 Aerodromes must be certified if:
 - a) international operations are conducted or
 - b) domestic operations are conducted by aircraft certified with a maximum take-off weight 5700 kg or more; or
 - c) the aerodrome is open to public use and has a published instrument approach procedure, unless the aerodrome has been registered with DCA.
- 1.3 Certified aerodromes must have a current acceptable aerodrome manual to describe aeronautical data and other information specific to each particular aerodrome.

2 Aerodrome manuals.

- 2.1 Submission of aerodrome manuals
 - 2.1.1 An aerodrome manual is required to be submitted to DCA as a component of a formal application for certification.
- 2.2 Acceptance of aerodrome manuals
 - 2.2.1 Upon receipt of a submitted aerodrome manual, the Aerodrome Division, has authority to accept, 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 to the operator. Where an aerodrome manual is acceptable and the other elements of certification have been complied with, an aerodrome certificate will be issued.
 - 2.2.3 An accepted aerodrome manual also provides a basis for on-going surveillance of aerodromes and aerodrome operators by DCA Inspectors after initial certification has been achieved.
- 2.3 Amendment of aerodrome manuals

- 2.3.1 Whenever necessary to retain currency or if directed by the DCA, an aerodrome operator shall amend the aerodrome manual and provide copy of the amendment(s) to DCA. The Aerodrome Division, has authority to accept, reject or require modification of the submitted aerodrome manual amendment.
- 2.3.2 Acceptance will result in an amended aerodrome manual. Notification to the aerodrome certificate holder of that acceptance, or rejection (or requirement for change to the amendment) as a result of a submitted amendment or adjustment will be made in writing 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.

Chapter 4. Aerodrome safety oversight

1 Aerodrome safety oversight

- 1.1 Aerodrome safety oversight in the broad sense means the total scope of activity conducted by DCA to assess that aerodrome operations are conducted to a level that is as safe as is reasonably practicable . Aerodrome certification and registration involves, but is not limited to, initial entry (via a permission from DCA in the form of a certificate or entry of data onto a formal registration list), 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) as well as the imposition of fines.
- 1.2 Aerodrome safety oversight is a DCA function and is additional to any internal audit conducted by an individual aerodrome operator.
- 1.3 In this manual the safety oversight activity is limited to inspection and audit processes as they may be applied to certification, registration and surveillance activity by DCA. Although enforcement is mentioned, staff will be required to undertake specific additional actions when a need for certificate action (suspension or cancellation) is determined or a decision to impose a fine is taken, such procedure should be contained within the DCA Enforcement Manual.

2 Safety oversight audit

- 2.1 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. See Fig 4-1 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 .
- 2.2 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.
- 2.3 Aerodrome safety oversight audits and inspections shall only be carried out by DCA 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 DCA. 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.

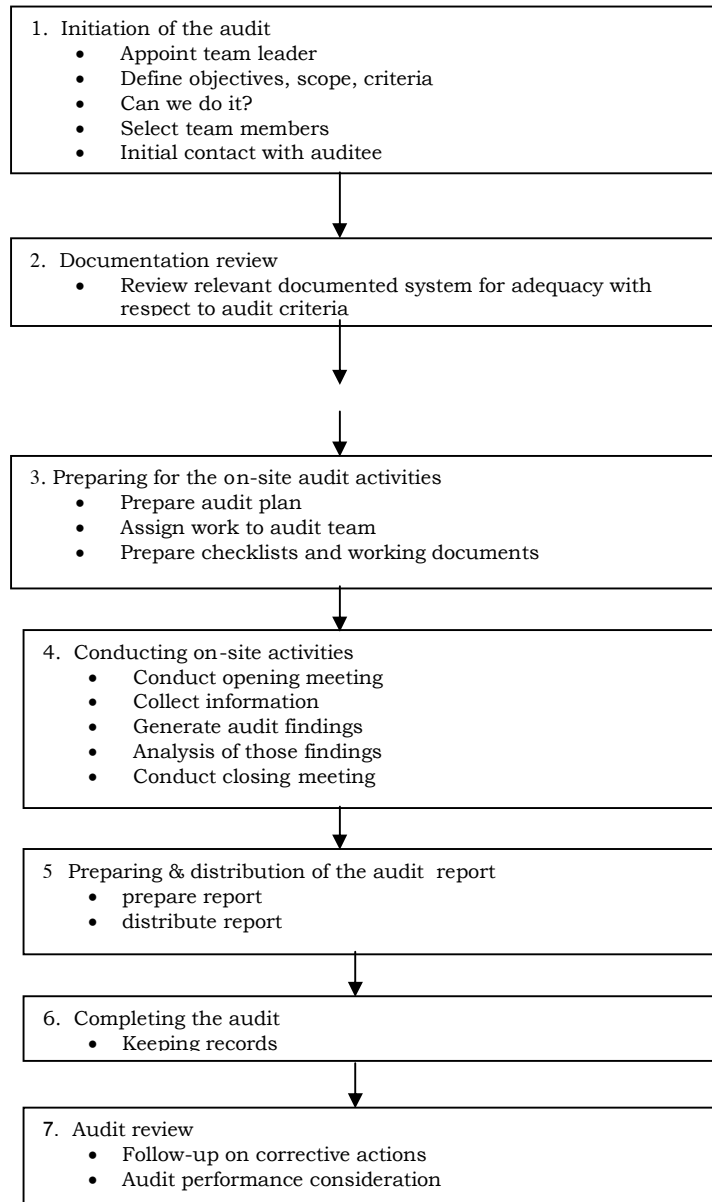


Fig. 4-1 Overview of Audit Process and Activities

2.4 Scheduling Audits/Inspections

2.4.1 The Aerodrome Division is responsible for scheduling inspections and audits of all aerodrome certificate holders and other aerodrome operators.

2.4.2 The selection of the aerodrome and the frequency of the inspections and audits will be at the discretion of the Aerodrome Division, subject to the following;

- a) In normal circumstances each nominated aerodrome certificate holder will be the subject of audit at least once (1) per calendar year;
- b) In normal circumstances each registered aerodrome operator will be subject to audit at least once every two years;
- c) Other aerodromes will be subject to inspection from time to time as determined by the Aerodrome Division;
- 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 ;
- e) 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.

2.5 Notifying Audits/Inspections

2.5.1 The Aerodrome Division shall notify in writing each selected aerodrome operator that an audit has been planned for that facility or service provider. (See Appendix 4)

2.5.2 Every notification shall include;

- a) The dates of the intended audit;
- b) Identities of the DCA 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); and
- f) Request for essential documentation, as specified by the DCA, that may be required to be reviewed prior to the actual audit.

2.6 Role of Auditors

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

- a) complying with the DCA 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 DCA 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;
- k) cooperating with and supporting the audit leader .

2.7 Role of Audit Leader

2.7.1 As well as fulfilling the role of an auditor , the audit 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;
- 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;

Chapter 5. Aerodrome safety system audit

1 System safety audit process

1.1 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.

1.2 Preparation for Audit

1.2.1 As mentioned in paragraph 2.1 of chapter 4 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.

1.2.2 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.

1.3 Review of Documentation

1.3.1 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 Aerodrome Standards Manual;
- c) Operating manuals and/or standard operating procedures ;
- d) Site plans and descriptions of the aerodrome certificate holders operations;

- e) Log books on facilities and equipment;
- f) Flight schedules;
- g) Previous audit or inspection reports; and
- h) Information contained in the pre-audit questionnaire.

1.3.2 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 analysed 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.

1.3.3 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 leader and transmitted to the aerodrome certificate holder in accordance with the requirements of this manual. See Appendix 5 for a pre-audit questionnaire for an airport operator.

1.4 Preparation of Checklists

1.4.1 The use of checklists is to be utilised to provide a structure to the audit that allows for consistent and standardized conduct of audits. Standardising 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.

1.4.2 Checklists will be prepared by 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 manual, and they are applicable to each category of aerodrome (such as certified aerodromes, registered aerodromes and heliports). 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.

1.5 Preparation of Audit Timetable

1.5.1 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.

1.5.2 When determining the audit timetable, the audit 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);
- 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 occurrences.

1.6 Confirmation of Audit Arrangements

1.6.1 Prior to the scheduled date of the audit, the audit 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 to assist in their preparation for the audit.

1.7 On-site conduct of Audits and Inspections

1.7.1 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) Regulations governing Aerodromes;
- b) Aerodrome standards to which the aerodrome certificate holder may be subject; and
- c) The aerodrome manual and other documents of the entity being audited.

1.7.2 Information can be gathered by;

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

1.8 Entry meeting

1.8.1 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 auditee about expectations for support for the audit team;
- e) Clarify and confirm the audit timetable; and
- f) Resolve any other matters of concern.

1.8.2 A sample of the typical agenda items for an opening meeting can be found at Appendix 6.

1.9 Evidence of conformity

1.9.1 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 7. Evidence provides the verification that written procedures are in fact implemented.

1.9.2 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.

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

1.9.4 Exercise discretion when making observations in the workplace. The presence of an auditor (often accompanied by a senior person within the organisation) 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.

1.9.5 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.

- 1.9.6 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.
- 1.9.7 Make use of the checklists developed for the audit to structure and record the observations.
- 1.10 Interviewing
 - 1.10.1 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.
 - 1.10.2 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 organisation, 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 approved aerodrome documents. Determine how identified or perceived problems are recorded and handled.
 - 1.10.3 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).
 - 1.10.4 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.

1.11 Recording of Audit Findings

1.11.1 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.

1.11.2 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 check list 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, eg in the light of knowledge about a coming change to standards. Comments are not binding on the auditee and are made for information only.

1.11.3 It is important that the senior management of organisations 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.

1.12 Exit meeting

1.12.1 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 concern.

1.13 Audit/Inspection Reports

1.13.1 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.

1.13.2 It is the responsibility of the team leader to coordinate the development of the audit report. The team leader must sign the report.

1.13.2 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 standardised report form at is contained in Appendix 8.

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

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

1.13.5 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. This period must be adhered to.

1.14 Corrective Actions

- 1.14.1 On receipt of an audit or inspection report, the organization concerned is required to submit a Corrective Action Plan (CAP) within an agreed period.
- 1.14.2 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.
- 1.14.3 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 and/or imposition of a fine.
- 1.14.4 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.
- 1.14.5 Where the DCA 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 DCA 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 leader that unless immediate action is taken to close the findings then action may be taken against the aerodrome certificate holder in accordance regulatory provisions.
- 1.14.6 In cases where the aerodrome certificate holder being audited or inspected does not implement 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 Director General, 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 the Laos.
- 1.14.7 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.

1.14.8 The Aerodrome Division is responsible for maintaining a database of 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.

1.15. Audit Records

1.15.1 All documents relevant to the audit or inspection should be retained and placed on the aerodrome certificate holder's 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 9)

1.15.2 It is the responsibility of the Audit Division to establish and maintain an audit database that will contain all the findings gained from the audits and Aerodrome Division is responsible for establishing and maintaining an inspections database that will contain all the findings gained from the Inspection of all aerodrome certificate holders. This database will be utilized by DCA to monitor the constant surveillance on all aerodrome certificate holders and registered aerodrome operators, and in the development of audit and inspection schedules and timetables.

Chapter 6. Regulatory enforcement

1 General

1.1 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 DCA regulatory oversight program as a component of the safety program, is to encourage service providers to exceed the minimum regulatory requirements and voluntarily improve safety to the highest possible level.

1.2 Enforcement options

1.2.1 There are several enforcement options available to the DCA 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) Formal warnings;
- d) Requirement for re-training or re-certification of facilities, personnel; and equipment;
- e) Suspension of an aerodrome certificate pending rectification of deficiencies;
- f) Revocation of an aerodrome certificate; or
- g) Legal action to impose penalties (fines).

1.3 Selection of enforcement action

1.3.1 The selection of which enforcement action to take with aerodrome certificate holders following the identification of findings will be dictated by the prevailing circumstances. Actions taken up to 1.2.1 d) may be initiated by the Aerodrome Division and are to be reported to the DG.

1.3.2 No action to initiate the actions mentioned in 1.2.1 e) – g) inclusive will be taken without the prior approval of the Director General and after consideration of DCA legal advice.

1.3 For full details of considerations and action to be taken regarding enforcement action, refer to the DCA Enforcement Manual.

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Appendixes

Appendix 1 Definitions

For the purposes of this Manual, the following terms and words have the following meanings;

Aerodrome. A defined area on land, including any building, installations and equipment, intended to be used either wholly or in part for the arrival, departure, and surface movement of aircraft.

Aerodrome Beacon. Aeronautical beacon used to indicate the location of an aerodrome from the air.

Aerodrome Certificate. The certificate to operate an aerodrome issued by the DCA under the provisions of Regulation Governing Aerodrome for the operation of an aerodrome.

Aerodrome Elevation. The elevation of the highest point of the landing area.

Aerodrome Facilities and Equipment. Facilities and equipment, inside or around the boundaries of an aerodrome, that are constructed or installed and maintained for the arrival, departure, and surface movement of aircraft.

Aerodrome Manual. The manual that forms part of the application for an aerodrome certificate pursuant to Regulation Governing Aerodrome, as amended from time to time.

Aerodrome Operator. The holder of an aerodrome certificate issued under the Regulation Governing Aerodrome 2009

Aerodrome or airport tenant Any enterprise that is resident at an aerodrome and offers services and products at that aerodrome.

Aerodrome Reference Point. The designated geographical location of an aerodrome.

Aeronautical Study. A study of an aeronautical problem to identify possible solutions and select a solution that is acceptable without degrading safety.

Apron. A defined area on an aerodrome intended to accommodate aircraft for purposes of loading or unloading passengers, mail or cargo, fuelling, parking or maintenance.

Apron Management Service. A service provided to regulate the activities and the movement of aircraft and vehicles on an apron.

Aircraft Any machine that can derive support in the atmosphere from the reactions of the air other than the reactions of the air against the earth's surface.

Aircraft operator A national or foreign aircraft operator .

Aircraft stand A designated area on an apron intended to be used for parking an aircraft.

Air side The movement area of an airport, adjacent terrain and buildings or portions thereof, access to which is controlled.

Apron passenger vehicle Any vehicle used to convey passengers between aircraft and terminal buildings.

Audit A systematic, independent and documented process for obtaining compliance status of the facility with mandatory regulatory requirements including aerodrome standards.

Auditor A person with competence to conduct audits at national level.

Appendix 1 Definitions (cont)

Audit criteria Legislation and DCA approved standards, policies, procedures or requirements.

Audit evidence Records, statements of fact or other information, which are relevant to the audit criteria and are verifiable .

Audit Finding Results of the collected audit evidence as compared against audit criteria.

Audit Programme A set of one or more audits planned for a specific time frame and directed towards a specific purpose (*NB. An audit programme includes all activities necessary for planning, organising and conducting audits*) .

Audit Plan A description of the activities and arrangements for an audit .

Certified Aerodrome An aerodrome whose operator has been granted an aerodrome certificate by the Authority.

Director General means the Director General of the Civil Aviation Authority of Laos (DCAL).

Deficiency A failure to comply with mandatory requirements.

Frangible Object An object of low mass **designed** to break, distort or yield on impact so as to present the minimum hazard to aircraft.

General aviation An aircraft operation other than a commercial air transport operation .

Human Factors Principles Principles which apply to design, certification, training, operations and maintenance and which seek safe interface between the human and other system components by proper consideration to human performance.

Human performance means human capabilities and limitations which have an impact on the safety, security and efficiency of aeronautical operations .

Heliport An aerodrome or a defined area on a structure intended to be used wholly or in part for the arrival, departure, and surface movement of helicopters.

International airport An airport designated as an airport of entry and departure for international air traffic, where the formalities incident to customs, immigration, public health, animal and plant quarantine and similar procedures are carried out.

Lighting System Reliability The probability that the complete lighting installation operates within the specified tolerances and that the system is operationally usable.

Movement area That part of an aerodrome to be used for the take -off, landing and taxiing of aircraft consisting of the manoeuvring area and the apron(s).

Manoeuvring area That part of an aerodrome to be used for the take -off, landing, and taxiing of aircraft, excluding aprons.

Marker An object displayed above ground level in order to indicate an obstacle or delineate a boundary.

Marking A symbol or group of symbols displayed on the surface of the movement area in order to convey aeronautical information.

Appendix 1 Definitions (cont)

Obstacle All fixed (whether temporary or permanent) and mobile objects, or parts thereof, that are located on an area intended for the surface movement of aircraft or that extended above a defined surface intended to protect aircraft in flight.

Obstacle Free Zone (OFZ) The airspace above the inner approach surface, inner transitional surfaces and balked landing surface and that portion of the strip bounded by these surfaces, which is not penetrated by any fixed obstacle other than a low-mass and frangibly mounted one required for air navigation purposes.

Obstacle limitation surfaces A series of surfaces that define the volume of airspace at and around an aerodrome to be kept free of obstacle in order to permit the intended aircraft operations to be conducted safely and to prevent the aerodrome from becoming unusable by the growth of obstacles around the aerodrome.

Record Any writing, drawing, map, tape, film, photograph or other means by which information is preserved.

Runway A defined rectangular area on a land aerodrome prepared for the landing and take-off of aircraft.

Runway Strip A defined area including the runway and stopway intended:

- a) to reduce the risk of damage to aircraft running off a runway . and
- b) to protect aircraft flying over it during take -off or landing operations.

Runway Visual Range (RVR) The range over which the pilot of an aircraft on the centre line of a runway can see the runway surface markings or the lights delineating the runway or identifying its centre line.

Shoulder An area adjacent to the edge of a pavement so prepared as to provide a transition between the pavement and the adjacent surface.

Safety Management System (SMS) A system for the management of safety at aerodromes including the organization structure, responsibilities, procedures, processes and provisions for the implementation of aerodrome safety policies by an aerodrome operator, which provides for the control of safety at, and the safe use of the aerodrome. SMS is a systematic, explicit and comprehensive process for managing safety risks .

Runway End Safety Area An area symmetrical about the extended centreline and adjacent to the end of the strip primarily intended to reduce the risk of damage to an aeroplane undershooting or overrunning a runway .

Taxiway strip An area including a taxiway intended to protect an aircraft operating on a taxiway and to reduce the risk of damage to an aircraft accidentally running off the taxiway.

Unserviceable Area A part of the movement area that is unfit and unavailable for use by aircraft.

Work Area A part of an aerodrome in which maintenance or construction works are in progress.

Wildlife hazard. A potential for a damaging aircraft collision with birds or animals on or near an aerodrome.

Appendix 2 Amendment of this manual

1. This manual 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 manual 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 manual.
2. The Audit Division (See Organisational structure diagram in Chapter 1) is responsible for the development, issue and control of amendments to this manual. Individual manual copy holders indicated on the distribution list are responsible for insertion of all amendments.
3. Within thirty days of the issue of an amendment, confirmation will be provided to the Audit Division 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 Manual.
 - a) Each manual issued must show the amendment number and the date, as described in the list of effective pages.
 - b) All amendments will be shown in the Record of Amendment.
4. Minor changes (e.g. telephone number, typographical errors) can be accommodated by 'pen and ink' if so indicated in any amendment documentation issued by Aerodrome Division prior approval. All such changes will be incorporated accordingly. 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.

Appendix 3 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	
4. 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	

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Appendix 4 Audit Notification Letter to Aerodrome operator

Address information

Dear Sir,

Civil Aviation Department of Laos (DCAL) Aerodrome Audit

As part of the DCA 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 organisations (personnel, equipment, information, facilities, etc) as observed during these audits is the prime means used by the DCA when establishing the approval of, and continuing compliance for, certificated and registered 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 organisation's aerodrome safety compliance in respect to aviation legislation and safety standards specified by the DCA.

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.

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 Leader.

Confirmation of date and time

The audit leader for this audit will be *Mr Nnn NNnnnn* and he will contact you directly to confirm the audit dates. Any audit enquiries should be addressed directly to him.

Yours faithfully

Name
Director General
Department of Civil Aviation

date

Appendix 5 Aerodrome Pre-Audit Questionnaire

AERODROME PRE-AUDIT QUESTIONNAIRE

AIRPORT OPERATOR:

Name of Airport: _____

Name of Airport Manager _____ **Contact #** _____

Name of Head of Operations _____ **Contact #** _____

Part 1 - Airport

S/N	QUESTIONS	ANSWERS BY AIRPORT 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 organisations	
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?	

Appendix 6 Suggested agenda items for an Opening Meeting

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

Appendix 7– Aerodrome Audit Checklist

A system safety audit is the usual means for a regulatory organisation 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 DCA 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 determine the need for , and implement, any improvements?
- Has the organisation assigned a responsible and competent person to ensure the process remains adequate and the documentation is 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 standards and mandatory obligations, look beyond the immediate occurrence and ask:

- Why?
- Who?
- When?
- 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 that allowed the non-compliance to exist?

For a certification audit the required elements are to be tested for conformity with mandatory obligation imposed by Regulation Governing Aerodrome and the safety specifications of the Aerodrome Standards Manual (and ICAO Annex 14 Volume 1 if appropriate).

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

Appendixes

AUDIT CHECKLIST – AERODROME CERTIFICATION REQUIREMENT OUTLINE

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
 - a. Aerodrome reporting
 - b. Access to movement area
 - c. Aerodrome Emergency Plan
 - d. Aerodrome Rescue and Fire Fighting Service
 - e. Inspections of movement area and obstacle limitation areas
 - f. Visual aids and electrical systems
 - g. Maintenance of movement area
 - h. Aerodrome work safety
 - i. Apron operation management
 - j. Apron safety management
 - k. Airside vehicle control
 - l. Wildlife hazard management
 - m. Obstacle control
 - n. Disabled Aircraft Removal Strategy Plan
 - o. Handling of hazardous materials
 - p. Low visibility operations
 - q. Aerodrome administration
 - r. Aerodrome Safety Management System
 - s. Aerodrome facilities
5. Aerodrome Administration
 - a. Aerodrome administration
 - b. Aerodrome safety management system

AERODROME:

AUDITOR:

AERODROME OPERATOR:

DATE:

Audit Checklist - Aerodrome Manual, General Information

Activity and objective	Status	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 DCA with a complete and current copy? Is the operator's copy available to authorized persons during normal business hours?		
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 DCA accepted the manual?		
Are omitted sections covered by reason for non-applicability?		
Are details of exemptions included?		
Are details of conditions included?		
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 the operator will advise DCA in writing within 14 days of any amendment?		
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?		
Can a reader tell when changes have been made to the manual?		
Can a reader tell if the manual is up to date?		
Are procedures for ensuring that any deviations from the manual that are made to ensure the safety of aircraft are reported to DCA within 30 days?		

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, Information about the Aerodrome Site

Activity and objective	Status	Comments
Does the aerodrome manual contain relevant data in Section 2 for the aerodrome site?		
Does Section 2 of the manual contain a plan of the aerodrome showing main facilities including wind indicators? a plan showing aerodrome boundaries? a plan showing distance of the aerodrome from the nearest city, town or identifiable populous area and position of the aerodrome? the location of any aerodrome facilities and equipment outside the aerodrome boundary?		
Does Section 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?		

Audit Checklist - Aerodrome Manual, 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	Status	Comments
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The name of the aerodrome;		
The town or city where the aerodrome is located;		
The geographic coordinates of the aerodrome reference point (WGS84);		
The elevation of the aerodrome, and geoid undulation;		
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 aerodrome reference temperature;		
Details of the aerodrome beacon;		
Local information: The hours of operation, if applicable; The available ground services; Any special procedures; Any local precautions.		
The true bearing of each runway and the runway number;		
Magnetic variation in degrees, date of information and annual change;		
The length, width and slopes of each runway;		
Location of displaced threshold if any;		
Geographical co-ordinates of each threshold;		

Runway surface type		
Activity and objective	Status	Comments
Type of runway (instrument, non-inst?)		
Dimensions and surface type for RESA and stopways;		
The length, width and surface type of the graded runway strip;		
Dimensions, ground profile and surface type of clearways when provided;		
The pavement surface type and its strength rating in PCN system;		
The runway declared distances for each runway;		
The intersection take-off distances for each runway if available;		
Length, width, surface type and numbering system of taxiways		
Taxiway pavement strength in PCN system		
Location and designation of any standard taxi routes;		
Geographical co-ordinates of any appropriate taxiway centreline points		
Apron surface type, pavement strength and aircraft stand numbers;		
The Aerodrome Obstacle Chart Type A details as applicable		
Aerodrome RFFS Category;		
Location and frequency for any VOR checkpoints;		
Locations and elevations for any established pre-flight altimeter check positions;		
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;		
Contact information for the aerodrome coordinator of the disabled aircraft recovery plan, and statement of capability to remove		

the largest disabled aircraft using on-airport equipment.		
Activity and objective	Status	Comments
The type of approach lighting;		
The visual approach slope indicator system for each runway, if any;		
Is portable lighting available and listed?		
The type of lighting for taxiways;		
The type of lighting for aprons;		
Other visual control and guidance aids for runways, taxiways and aprons;		
Details of the system of marking runway, taxiway and apron elements;		
Availability of standby power, switching arrangements and changeover times;		
A description of the visual docking guidance systems at any aprons used by aircraft conducting international operations, and the aircraft parking positions where the systems are installed;		

Note: See ICAO Annex 15 for specifications about data elements and required degree of accuracy for aeronautical data elements

Audit Checklist - Aerodrome Manual, Aerodrome Reporting Procedures

Activity and objective	Status	Comments
Does the manual contain details of the arrangements for reporting any changes that may affect aircraft operations to AIS and local air traffic services?		
And for recording the reporting of changes during and outside the normal hours of aerodrome operation?		
Does it include the contact details for the persons and organisations to which changes are to be reported?		
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?		
And the arrangements for reporting changes of aerodrome information published in AIP to AIS and DCA?		
And for ensuring that the notification to AIS is in writing?		
And the procedures for issuing NOTAMs?		
Including NOTAMs for temporary or permanent changes in the physical condition of the aerodrome that may affect the safety of aircraft?		
And any other occurrence relating to the operation or maintenance of the aerodrome that may affect the safe operation of aircraft?		
And the arrangements for keeping records of reports made?		
List of documents checked.		
Is the operator maintaining records in accordance with the aerodrome manual?		
Are adequate and suitable staff and resources available?		
Has the reporting officer been trained?		

Activity and objective	Status	Comments
Are reports made by the persons identified in the manual?		
Are their contact details in accordance with the manual?		
Are staff members aware of safety requirements related to reporting?		
Are conditions or exemptions complied with?		
Does the field condition confirm any existing or recent NOTAMs?		
Are reporting related incidents noted, reported and followed up?		

Audit Checklist – Aerodrome Manual, Access to Aerodrome Movement Area

Activity and objective	Status	Comments
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?		
Does it include details of the arrangements for controlling airside access?		
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?		
List of documents checked.		
Is the operator maintaining records in accordance with the aerodrome manual?		
Are adequate and suitable staff and resources available?		
Are physical control measures in place in accordance with the aerodrome manual?		
Are the arrangements for controlling airside access in accordance with the manual?		
Is the staff aware of safety requirements related to unauthorised entry?		
Are any conditions or exemptions complied with?		
Was airside control observed to be effective and in accordance with the manual?		
Are unauthorised entry incidents noted, reported and followed up?		

Audit Checklist - Aerodrome Manual, Aerodrome Emergency Plan

Activity and objective	Status	Comments
Does the manual contain details of the members of the aerodrome emergency committee and contact details for each member?		
Does the committee include a representative from all emergency services that would be likely to be asked to assist in an emergency?		
Does it contain a description of the role of each emergency service organization involved in the plan?		
And details of the activation, control and coordination of the emergency service organisations during an emergency?		
And the aerodrome's emergency facilities and arrangements to keep them in readiness?		
And the operational response to an emergency including any arrangements for aerodrome access and assembly areas?		
And the response to a local stand-by call out?		
And the response to a full emergency call out?		
And the arrangements to return the aerodrome to operational status after an emergency?		
What are the arrangements for a periodic review (at least once per year) in consultation with the organization referred to in the plan?		
And arrangements for reviewing actual emergencies or exercises as soon as practicable to assess the plan's adequacy and take corrective action?		
And keeping records of each review for at least 3 years?		
Does the manual include the arrangements for testing the aerodrome emergency plan with a full scale exercise at least every 2 years?		
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?		
Does the manual observe human factor principles?		

Activity and objective	Status	Comments
List of documents checked.		
Is the operator maintaining records in accordance with the aerodrome manual?		
Are adequate and suitable staff and resources available?		
Are the current membership and contact arrangements for the Aerodrome Emergency Committee in accordance with the manual?		
Is the frequency of meetings in accordance with the manual?		
Are all of the necessary participating/responding agencies adequately represented?		
Is the AEP reviewed in accordance with the manual?		
Is the AEP tested in accordance with the manual?		
Are copies of the AEP distributed in accordance with the manual?		
Is the staff aware of safety requirements for emergency planning?		
Are any conditions or exemptions complied with?		
DCA staff may/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.		
Was the exercise planned in accordance with the manual?		
Date of last exercise?		
Did the appropriate agencies attend?		
Was an appropriate objective tested?		
Were appropriate amendments made to the AEP?		

Feed back

Are aerodrome emergency related incidents noted, reported and followed up		
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Audit Checklist - Aerodrome Manual, Aerodrome Rescue and Fire Fighting Service (RFFS)

Activity and objective	Status	Comments
Does the manual include procedures for meeting the needs of a RFFS, including the information on facilities, equipment, personnel and vehicles?		
Is the category determination process stated clearly? Is the category determined in accordance with the standards for international or domestic requirements?		
Is provision made for difficult terrain environments?		
Is provision made for category coverage during periods of reduced frequency of operations?		
Does the manual provide information about the quantities of water available for foam production and complementary agents?		
And is the quantity of foam provided on vehicles in proportion to the quantity of water provided?		
Does the manual provide information about operational objectives?		
Does the manual give information about training requirements: <ul style="list-style-type: none"> - Initial fire-fighter requirements? - Continuing training? - Live fire drills? - Pressure fed fuel fires? 		
Does the training have human performance and team co-ordination components?		
Does the manual provide for provision of suitable protective clothing and respiratory equipment for staff?		
List of documents checked.		
Is the operator maintaining records in accordance with the aerodrome manual and/or Fire Service Manual SOPs?		
Are adequate and suitable staff and resources available including grid map in each vehicle?		
Is the Fire Station adequate to house all vehicles and equipment?		
Is access from the Fire Station(s) to the movement area clear and direct?		
Are facilities for difficult terrain considerations provided?		

Activity and objective	Status	Comments
Is the number of RFFS vehicles adequate?		
Are the current procedures specified in the manual able to be verified?		
Are procedures for training adequate?		
Procedures for testing equipment provided?		
Is the actual response time able to be verified from actual tests?		
Is the communication system tested in accordance with the manual?		
Are maintenance procedures appropriate for vehicles, equipment and building facilities?		
Do field inspections of RFFS facilities and records confirm on-going compliance with existing procedures?		
Are RFFS-related hazards, incidents and accidents noted, reported and followed up		

Audit Checklist – Aerodrome Manual, Inspections of movement area and obstacle limitation surfaces

Activity and objective	Status	Comments
Does the manual include procedures for safety inspections of the movement area and obstacle limitation surfaces?		
Does the manual include particulars of the arrangements for carrying out serviceability inspections during and after working hours?		
Does it include arrangements for measurement of runway friction?		
Does it include arrangements for measurement of water depth?		
Does it include details of the intervals at which the inspections are carried out?		
And the times of the inspections?		
And the arrangements for keeping an inspection logbook?		
And the place where the logbook is kept?		
And details of the serviceability inspection checklist?		
And a process for ensuring that the inspections are carried out by suitably trained staff?		
And the arrangements for communicating with air traffic control during the inspections (if appropriate)?		
And the arrangements for reporting the results of the inspections?		
And the arrangements for taking prompt follow-up action to ensure correction of unsafe conditions?		
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?		
List of documents checked.		
Is the operator maintaining records in accordance with the aerodrome manual?		
Does the operator maintain records of staff training?		
Are adequate and suitable staff and resources available?		
Are inspections carried out by the persons identified in the manual?		
Are those persons appropriately trained?		

Activity and objective	Status	Comments
Are serviceability inspections carried out during working hours in accordance with the manual?		
Is the time and frequency of inspections in accordance with the manual?		
Is the logbook kept in accordance with the manual? (Check for location and format).		
Is the checklist used in accordance with the manual?		
Is the method of communicating with ATC during inspections in accordance with the manual?		
Is prompt follow-up action taken to correct unsafe conditions in accordance with the manual?		
Is the staff aware of safety requirements related to inspections?		
Are any conditions or exemptions complied with?		
Does the field condition of a sample of the aerodrome facilities confirm the results of the serviceability inspections?		
Are inspection related incidents noted, reported and followed up?		

Audit Checklist – Aerodrome Manual, Visual Aids, Lighting and Electrical Systems

Activity and objective	Status	Comments
Does the manual contain procedures to ensure that the lighting system and VASIS are planned, installed and maintained in accordance with the MOS standards?		
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?		
Does the manual contain details of the arrangements for carrying out lighting inspections and the checklist for inspections?		
Does this include obstacle lighting?		
Does it include the arrangements for recording the results of inspections?		
Are there arrangements for taking follow-up action to correct deficiencies?		
Are there arrangements for switching lights on and off, including back-up arrangements?		
Are there arrangements for carrying out routine maintenance and emergency maintenance?		
Are there arrangements for stand-by power, if available?		
Are there particulars of any other method of dealing with partial or total system failure?		
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?		
List of documents checked.		
Is the operator maintaining records in accordance with the aerodrome manual?		
Are technical inspection reports filed and is there evidence of recommendations and findings being acted on?		
Are adequate and suitable staff and resources available?		

Are spare parts available as detailed in the aerodrome manual?		
Are the checklists used in accordance with the manual?		
Are deficiencies followed up in accordance with the manual?		
Activity and objective	Status	Comments
Is routine and emergency maintenance carried out as per the manual?		
Are arrangements for switching lights on and off in accordance with the manual?		
Are arrangements for stand by power in accordance with the manual?		
Are other arrangements for dealing with partial or total system failure in accordance with the manual?		
Is the staff aware of safety requirements related to lighting?		
Are all conditions or exemptions complied with?		
Have new element of the lighting system been checked as required?		
Does a sample of aerodrome lighting checked during audit comply with A SM?		
Is a PAPI / VASI installed if required?		
Are the necessary elements of a lighting system installed?		
Are lighting related incidents noted, reported and followed up?		

Audit Checklist – Aerodrome Manual, Protection of Radar & navigational aid sites

Activity and objective	Status	Comments
Does the manual contain particulars of the procedures for the protection of radar and navaids located on the aerodrome to ensure that their performance will not be degraded?		
Does it include the arrangements for the control of activities near radar and navigational aid installations?		
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?		
And the arrangements for ground maintenance near these installations?		
List of documents checked.		
Is the operator maintaining records in accordance with the aerodrome manual?		
Are adequate and suitable staff and resources available?		
Are activities near radar and navaids 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 navaids?		
Are an conditions or exemptions complied with?		
Are appropriate signs warning of microwave radiation hazards supplied and installed in accordance with the manual?		
Are radar and navaid related incidents noted, reported and followed up?		

APPENDICES

Audit Checklist – Aerodrome Manual, Maintenance of movement area

Activity and objective	Status	Comments
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?		
Does it include the arrangements for the maintenance of paved and/or unpaved runways and associated, shoulders and safety areas?		
Does it include the arrangements for the maintenance of paved and or unpaved taxiways and associated shoulders?		
Does it include the arrangements for the maintenance of associated runway and taxiway strips?		
Does the manual provide particulars about regular runway friction testing?		
List of documents checked.		
Is the operator maintaining record in accordance with the aerodrome manual?		
Are adequate and suitable staff and resources available?		
Has the operator provided sufficient and adequate equipment?		
Are maintenance activities on or near the movement area controlled in accordance with the manual?		
Is ground maintenance carried out in accordance with schedules or routines documented in the manual?		
Can runway friction test results be related to serviceability and safety limits?		
Is the staff aware of safety requirements related to movement areas?		
Are conditions or exemptions complied with?		
Are procedures conducted in accordance with work safety arrangements?		
Are visual aids and pavement markings in a condition expected from the scheduled maintenance programme?		
Are pavement surfaces free of surface irregularities?		
Are maintenance-related incidents noted, reported and followed up?		

Audit Checklist – Aerodrome Manual, Aerodrome Work Safety

Activity and objective	Status	Comments
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)?		
Including ensuring that the works do not create a hazard to aircraft or confusion to pilots?		
Does it include details of the preparation of a method-of-working plan?		
And identifying areas of the aerodrome affected during each stage of the work?		
And steps taken to ensure safety standards are met?		
And the process for ensuring that any works safety officers have been trained in accordance with requirements?		
Does it include the distribution list for the method-of-working plan?		
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?		
And the process for complying relating to the period of notice for works?		
And the arrangements for communicating with air traffic control and aircraft during the carrying out of the works?		
And the arrangements for carrying out time-limited works?		
And the names, telephone numbers and roles of the persons and organisations responsible for planning and carrying out the works, and the arrangements for contacting those persons and organisations at all times?		
List of documents checked.		
Is the operator maintaining record in accordance with the aerodrome manual?		
Are suitable visual aids available for marking works sites and unserviceable areas?		
Are works planned and documented in accordance with the manual?		

Activity and objective	Status	Comments
Is consultation for works planning and MOWP production in accordance with the manual?		
Is notice of works given in accordance with the manual?		
Is the staff aware of safety requirements during works?		
Are procedures available for setting out visual aids for works?		
Are any conditions or exemptions complied with?		
Is the interface with ATC and/or air traffic in accordance with the manual?		
Is the content and format of MOWPs correct?		
Are works being conducted in accordance with the MOWP?		
Are works within runway strip carried out in accordance with the manual?		
Are other works including time-limited works carried out in accordance with the manual?		
Are works related incidents noted, reported and followed up?		

Audit Checklist – Aerodrome Manual, Apron operation management

Activity and objective	Status	Comments
Does the manual contain particulars of the procedures for aircraft parking control, if established?		
Does it include the arrangements between air traffic control and apron management?		
And the arrangements for allocating aircraft parking positions?		
And the arrangements for initiating engine start and ensuring clearances for aircraft pushback?		
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?		
And the leader van service or follow-me service?		
And the names, telephone numbers and roles of the persons responsible for planning and implementing aircraft parking control?		
List of documents checked.		
Is the operator maintaining records in accordance with the aerodrome manual?		
Are suitable staff available to control aircraft parking?		
Are suitable staff and facilities available to design parking layouts and marking?		
Are staff available to provide leader van service if required?		
Is the staff aware of safety requirements relating to clearances and blast?		
Are parking positions allocated in accordance with the manual?		
Are engine starts and push backs initiated in accordance with the manual?		
Are any conditions or exemptions complied with?		
Are the visual docking systems in accordance with the manual?		
Are the aircraft parking markers and markings in accordance with the manual?		
Are aircraft parking related incidents noted, reported and followed up?		

Audit Checklist – Aerodrome Manual, Apron safety management

Activity and objective	Status	Comments
Does the manual contain particulars of the procedures for management of safe apron operations?		
Does it include the arrangements protection from jet and propeller blast?		
Including arrangements for parking position design? And provision of blast protection structures?		
Does the manual contain procedures for ensuring the apron is swept to remove debris?		
Does the manual contain procedures for ensuring the apron is clean of hazardous contamination?		
Does the manual contain procedures in regard to reporting incidents and accidents on an apron?		
And the names, telephone numbers and roles of the persons responsible for planning and implementing aircraft parking control?		
List of documents checked.		
Is the operator maintaining record in accordance with the aerodrome manual?		
Are suitable staffs available to control monitor and/or supervise apron safety activities?		
Are suitable staff and facilities available to design parking layouts, marking and blast protection facilities?		
Is the staff aware of safety requirements relating to clearances and blast?		
Are the organizational responsibilities and control arrangements in accordance with the manual?		
Are cleaning and sweeping actions taken in accordance with the manual?		
Are refuelling activities initiated and conducted in accordance with the manual?		
Are any conditions or exemptions complied with?		

Activity and objective	Status	Comments
Are the visual docking systems in accordance with the manual?		
Are the aircraft and tug operator guidance markings in accordance with the manual?		
Are apron surfaces in a condition consistent with specified procedures?		
Are apron safety incidents noted, reported and followed up?		

Audit Checklist – Aerodrome Manual, Airside Vehicle Control

Activity and objective	Status	Comments
Have procedures been established at the aerodrome for the control of surface vehicles operating on or near the movement area?		
If established, does the manual include details of the applicable traffic rules including speed limits?		
And the means of enforcement of the rules?		
And the method of instructing and testing drivers in relation to the applicable traffic rules?		
And the names, telephone numbers and roles of the persons who are responsible for airside vehicle control?		
List of documents checked.		
Is the operator maintaining records in accordance with the aerodrome manual?		
Are adequate and suitable staff and resources available to test drivers, issue permits and monitor driving?		
Are copies of driving rules available and in accordance with the manual?		
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?		
Is the staff aware of safety requirements related to airside vehicles?		
Are any conditions or exemptions complied with?		
Are permits/ licenses carried in accordance with the manual?		
Are driving rules being observed?		
Are vehicles marked/ lit and approvals attached in accordance with the manual?		
Are correct radio procedures being used?		
Are airside vehicle incidents noted, reported and followed up?		

Audit Worksheet – Aerodrome Manual, Wildlife Hazard Management

Activity and objective	Status	Comments
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?		
Does it include details of the arrangements for assessing any bird or animal hazard?		
And the arrangements for the removal of any bird or animal hazard?		
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?		
List of documents checked.		
Is the operator maintaining records in accordance with the aerodrome manual?		
Are all bird strikes reported?		
Are adequate and suitable staff and resources available?		
Is equipment available in accordance with the manual?		
Is monitoring carried out in accordance with the manual?		
Is harassment carried out in accordance with the manual?		
Is environmental management undertaken in accordance with the manual?		
Is the staff aware of safety requirements related to bird and animals hazards?		
Are all conditions or exemptions complied with?		
Do the field situation and ESIRs correspond with logbook entries?		
Is environmental management in accordance with the manual?		
Are bird and animal hazard related incidents noted, reported and followed up?		

ESIR= environment social and Impact report

Audit Checklist – Aerodrome Manual, Obstacle Control

Activity and objective	Status	Comments
Does the manual contain particulars of the procedures for establishing OLS for the aerodrome in accordance with the Laos Aerodrome Standards?		
And for taking all reasonable measures to monitor the OLS?		
And for detecting obstacles as quickly as possible?		
Including objects, buildings, and structures?		
And for monitoring the Type A chart take-off surfaces for obstacles?		
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?		
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?		
And the arrangements with DCA, local planning authorities and other relevant organisations in relation to the approval of building developments that may infringe the obstacle limitation surfaces?		
Including the process for asking DCA to assess proposed obstacles? (If applicable to the aerodrome)		
And for reporting obstacles by NOTAM including amended declared distances?		
And the names, telephone numbers and roles of the persons responsible for planning and implementing obstacle control?		

List of documents checked.		
Is the operator maintaining records in accordance with the aerodrome manual?		

Are adequate and suitable staff and resources available?		
Are OLS surveys conducted by trained or qualified personnel?		

Activity and objective	Status	Comments
Is the OLS monitored in accordance with the manual?		
Are type A surfaces monitored in accordance with the manual?		
Is monitoring conducted for temporary and permanent structures?		
Are the procedures for liaising with other authorities being followed?		
Is the staff aware of safety requirements related to obstacles?		
Are an conditions or exemptions complied with?		
Is OLS plan prepared in accordance with the Laos Aerodrome standards?		
Do survey records agree with published information?		
Does field condition appear to reflect survey data and published information?		
Do obstacles related NOTAMs reflect field condition?		
Are obstacle control incidents noted, reported and followed up?		

Audit Checklist - Aerodrome Manual, Removal of Disabled Aircraft

Activity and objective	Status	Comments
Does the manual contain particulars of the procedures for removing an aircraft that is disabled on or near the movement area?		
Does it include details of the roles of the aerodrome operator and the holder of the aircraft's certificate of registration?		
And the arrangements for telling the holder of the certificate of registration?		
And the arrangements for liaising with air traffic control and the DCA?		
And the arrangements for obtaining equipment and persons to remove the aircraft?		
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?		
List of documents checked.		
Is the operator maintaining records in accordance with the aerodrome manual?		
Are adequate and suitable staff and resources available?		
Are the arrangements for contacting the certificate of registration in accordance with the manual?		
Are the arrangements for liaising with ATC and DCA 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?		
If observed, was the removal in accordance with the manual?		
Are disabled aircraft removal incidents noted, reported and followed up?		

Audit Checklist – Aerodrome Manual, Handling of Hazardous Materials

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

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

Does the manual contain particulars of the procedures for the safe handling of hazardous materials on the aerodrome?		
Does it include the names, telephone numbers and roles of the persons who are to receive and handle hazardous materials?		
And the arrangements for special areas on the aerodrome to be set up for the storage of flammable liquids (including aviation fuels) and other hazardous materials?		
And the methods to be followed for the delivery, storage, dispensing and handling of these materials?		
List of documents checked.		
Is the operator maintaining records in accordance with the aerodrome manual?		
Are adequate and suitable staff and resources available?		
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?		
Are any conditions or exemptions complied with?		
Are the arrangements for special areas for storage of hazardous materials in accordance with the manual?		
Are the materials stored correctly?		
Are hazardous material related incidents noted, reported and followed up?		

Audit Checklist – Aerodrome Manual, Low-visibility Operations

Activity and objective	Status	Comments
Does the manual contain particulars of the procedures for aerodrome operators staff involved in ground activities for low visibility operations?		
Does it include the arrangements for: the alerting procedures, airside access restrictions and checks of lighting installations and signs?		
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?		
And the names and contact details for the persons responsible?		
List of documents checked.		
Is the operator maintaining record in accordance with the aerodrome manual?		
Are adequate and suitable staff and equipment available?		
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 vis' periods in accordance with the manual?		
Is the staff aware of safety requirements related to low visibility operations?		
Are appropriate signs, gates and warning signs in place for low vis ops in accordance with the manual?		
Are low visibility operationally related incidents noted, reported and followed up?		

Audit Checklist – Aerodrome Manual, Protection of Radar & Navigational Aid Sites

Activity and objective	Status	Comments
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?		
Does it include the arrangements for the control of activities near radar and navigational aid installations?		
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?		
And the arrangements for ground maintenance near these installations?		
List of documents checked.		
Is the operator maintaining record in accordance with the aerodrome manual?		
Are adequate and suitable staff and resources available?		
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 all conditions or exemptions complied with?		
Are appropriate signs warning of microwave radiation hazards supplied and installed in accordance with the manual?		
Are radar and navaid related incidents noted, reported and followed up?		

Audit Checklist – Aerodrome Manual, Aerodrome Administration

Activity and objective	Status	Comments
Has the aerodrome manual been amended whenever necessary to maintain its accuracy?		
Has the operator complied with any directions given by DCA to amend the manual?		
Has the operator told DCA in writing within 30 days of an amendment to the manual?		
Do the persons identified as holding copies of the manual have their copy?		
Are they up to date?		
Is the management structure in place according to the aerodrome manual?		
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?		
List of documents checked.		
Are there records of the nomination of persons who are responsible for the operation and maintenance of the aerodrome?		
Are their contact details correct?		
Are there facilities available for training and/or keeping personnel up to date on standards and requirements?		
Is the nominated person ensuring that the conditions attached to any exemption are being complied with?		
And that any conditions attached with the certificate are being complied with?		
Do records of staff training indicate an ongoing commitment by management?		
Are staffs aware of requirements and responsibilities?		
Are staffs encouraged to note and report any problems related to the administration?		
And are such reports followed up?		

Audit Checklist - Aerodrome Manual, Aerodrome Safety Management System

Activity and objective	Status	Comments
Does the documented system commit senior management to be involved in the SMS?		
Has senior management approved the organisation's safety policy and operating safety standards?		
Has senior management indicated how appropriate resources will be allocated to support the SMS?		
Does the SMS detail how safety policy and standards will be communicated to all staff, and have visible endorsement by senior managers?		
Does the documented system detail how appropriate resources will be allocated to support the SMS?		
Does the documented system include a process for senior management to establish a reporting chain for safety issues?		
Does the documented system commit senior management to actively encourage staff participation in the SMS?		
Has a safety policy been developed and has it been signed by the Chief Executive?		
Is the safety policy included in the documented system?		
Do the safety policies align with other operational policies?		
Does the system detail how the safety policy will be communicated to all staff?		
Does the documented system detail how the safety policy will be reviewed?		
Does the documented system commit the operator to regular, routine system reviews?		
Does the documented system clearly define the lines of safety accountability including direct accountability for safety on the part of the senior manager?		
Has a Safety Officer been appointed?		
Are the appointment details recorded in the documented system?		

Activity and objective	Status	Comments
Does the Safety Officer have formal authority for a direct reporting line to the Chief Executive Officer?		
Are the responsibilities and roles of the Safety Officer defined formally?		
How does the operator ensure all staff and managers understand the Safety Officer's responsibilities?		
Has a safety committee been established?		
Are all details of the Safety Committee (eg Terms of Reference, membership, leadership, responsibilities and authority) included in the documentation?		
How does the operator ensure all staff and managers understand the Safety Committee's responsibilities?		
Does the safety committee include representation from across the organisation (including sub-contractors)?		
Is there a process to distribute Safety Committee meeting minutes to all organization members?		
Have criteria for evaluating risk been established and documented?		
Is remedial action regarding identified risks related to a level as low as reasonably practicable?		
Has a system for identifying hazards been established and documented?		
Does the documented system provide for relevant staff to be involved in critical analysis and ranking of identified risks?		
Does the documented system include details of defenses which have been used to reduce, eliminate or avoid risks?		
Are there details as to how staff will be made aware of defences, and receive training as appropriate?		
Does the documented system include details as to how it will be determined that defences are effective and working?		
Does the documented system provide for all reports to be recorded and investigated?		
Does the documented system provide for a combination of formal and informal reporting processes?		
Does the documented system provide for staff to be made aware that they will not be penalised for submitting a report?		

Activity and objective	Status	Comments
Does the documented system provide for protection in the case of confidential reports?		
Does the document system include a process to ensure staff who report will be given feedback?		
Does the system provide that after investigations, recommendations will be made available to all staff?		
Does the documented system provide for the Safety Officer to monitor the status of each identified hazard ?		

<p>Does the documented SMS</p> <ul style="list-style-type: none"> • include a process for ensuring staff understand how the SMS operates? • include a process for ensuring staff will be aware of the role they play in the SMS? • include a process to ensure staff are aware that the aim of the SMS is to improve safety not to attribute blame? • include a process to ensure all personnel will attend induction and continuing safety related training? 		
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<p>Does the documented SMS</p> <ul style="list-style-type: none"> • include an internal audit process to determine if the organisation is meeting regulatory requirements and following its own safety standards? • provide incentive for staff to submit hazard reports and share safety concerns? • include a process to ensure feedback will be provided to those audited? • include a process for investigations to be carried out for hazards, accidents and incidents? • include contingency plans for hazardous situations, including requirements for return to service? 		
Is the SMS fully documented?		

Activity and objective		
What is the plan for the review of the SMS?		
Does the documented system provide for <ul style="list-style-type: none"> • Adequate resources to be allocated to system evaluation? • That staff will be consulted/utilized during the system evaluation? • An aim that system evaluation is necessary for continuous improvement in the overall level of safety? 		

Activity and objective	Status	Comments
Does the manual include particulars of the procedures for carrying out inspections of facilities, services and equipment?		
Does it include details of the items that need to be inspected?		
And when the inspections are to be carried out?		
And the arrangements for ensuring that appropriate technically qualified and experienced people carry out the technical inspections?		
And the arrangements for recording the results of the inspections?		
And keep in the records for at least 3 years?		
Does the manual have a process for review of data published in AIP and NOTAM?		
And the arrangements for taking prompt follow-up action to ensure correction of defects?		
Does the manual have a process to ensure that the procedures it contains remains relevant, current and accurate ?		
List of documents checked.		
Is the operator maintaining record in accordance with the aerodrome manual?		
Are records kept for at least 3 years?		
Does the operator have records of the qualifications and experience of persons conducting technical inspections?		
Are adequate and suitable staff and resources available?		
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?		
Activity and objective	Status	Comments
When a serviceability inspection		

indicated the need for a technical inspection, was it carried out as soon as practicable?		
Is the staff aware of safety requirements related to inspections?		
Are any conditions or exemptions complied with?		
Does the operator indicate how he can ensure that the aerodrome facilities will comply with the Aerodrome Standards Manual specifications?		
Do the physical characteristics of the movement area comply with Aerodrome Standards Manual specifications?		
Do the aerodrome markings comply with Aerodrome Standards Manual specifications?		
Does the signal area comply with Aerodrome Standards Manual specifications?		
Do the wind indicators comply with Aerodrome Standards Manual specifications?		
Are inspection related defects or compliance issues noted, reported and 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 and MAGS
Other faults

4. APRONS

Pavement condition
Roughness
Cleanliness
Vegetation height (if grassed)
Markings, markers and MAGS

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/VASIS

MAGS

Portable lights

Obstacle

Other (beacon, etc.)

6. GENERAL

Wind indicators

Signal area

Are unserviceability markings and markers available ?

Boundary fence/access control

Crash roads

Appendix 8 - Standard audit report format

AUDIT REPORT FOR

XXX ORGANISATION

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1 Aerodrome safety oversight	17
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1.2	Aerodrome safety oversight is a DCA function and is additional to any internal audit conducted by an individual aerodrome operator.	17
1.3	In this manual the safety oversight activity is limited to inspection and audit processes as they may be applied to certification, registration and surveillance activity by DCA. Although enforcement is mentioned, staff will be required to undertake specific additional actions when a need for certificate action (suspension or cancellation) is determined or a decision to impose a fine is taken, such procedure should be contained within the DCA Enforcement Manual.	17
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2.1	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. See Fig 4-1 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.	17
2.2	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.	17
2.3	Aerodrome safety oversight audits and inspections shall only be carried out by DCA 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 DCA. 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.	17
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INTRODUCTION

1.1 Airport/Organisation Information

Airport Visited: XXX International Airport

Dates of Audit:

Team Members:

1.2 Audit Scope & Objectives

1.2.1 The audit was designed to assess compliance with *the* insert procedures, regulations, manual etc. of XXX International Airport/organisation.

1.3 Identity & Administrative Information of Audited Organisation

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

- Mr
- Mr
- Mr

1.4 Documents Reviewed

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

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

1.5 Person Contacted & Interviewed

1.5.1 The following persons were interviewed and questioned during the audit;

- *Mr. A. M. Manager* *XXX Airport Director,*
- *Ms. A. N Other* *Chief, RFFS, XXX Airport*

1.6 Opening Meeting

1.6.1 An opening meeting was carried out on Date at Location. This briefing was conducted by the DCA Audit Team Leader, *Mr. XXXXX* and attended by;

List the persons in attendance.

1.7 Closing Meeting

1.7.1 A closing meeting was carried out on Date at Location. This was conducted by the DCA Audit Leader, *Mr. XXXXX* and attended by;

List the persons in attendance.

1.8 Distribution of Report

- 1.8.1 This final report will be sent to *Mr. A.M. Manager, Airport Director for XXX International Airport*. It is the responsibility of *Mr. Manager* to ensure that distribution of the report conclusions and findings are disseminated amongst appropriate personnel from the audited organisation.

1.9 Confidential Nature of the Report

- 1.9.1 This report and all the information contained therein should be regarded as confidential and not for general dissemination.

2. EXECUTIVE SUMMARY

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

3. SUMMARY OF FINDINGS

A summary of all the findings in order of priority.

4. BACKGROUND

- 4.1 The audit was undertaken in accordance with the requirements of the Aerodrome and Air Navigation Safety Oversight Office of DCA which establishes the various processes and procedures required to be undertaken by the different organisations and persons to whom this programme applies, in order to satisfy the needs of ensuring that aviation practices within the Republic of the Laos are maintained in accordance with the requirements of the DCA.

- 4.2 This airport/ organisation has been the subject of previous audits on *XXXX (date(s))*

5. OBSERVATIONS & FINDINGS

- 5.1 Describe each finding as a result of an observed condition.

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

- 5.1.3 **Status:** Assign category of finding

- 5.1.4 **Timing:** Agreed deadline for rectification

- 5.2 **Observation:** Record comments

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

6. CORRECTIVE ACTION PLAN

6.1 List all the corrective action required by the audited organisation in the Corrective Action Plan form in order of priority as classified by section 6.2 of the Manual. (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

Appendix 9 post audit feedback form

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