CIVIL AVIATION ADVISORY PUBLICATION

CAAP 40

CERTIFICATION OF AIS SERVICE PROVIDERS

INFORMATION AND POLICY
REGARDING CERTIFICATION OF AIS SERVICE PROVIDERS

STATUS OF THIS CAAP

This is the second edition of CAAP 40 and is dated 15 September 2011. It will remain current until withdrawn or superseded.

APPLICABILITY

The purpose of this CAAP is to provide guidance to organisations in the certification process and to clarify the requirements of the various elements of Subpart 2 to CAR Part VIII. These requirements are therefore complementary to CAR Part VIII.

This guidance and policy material applies to all UAE AIS Service providers.

REFERENCES

CAR PART VIII Subpart 2

HIGHLIGHTED CHANGE

Effective Pages/paragraph	Brief Description
BACKGROUND	Amended official designations
Paragraph 4.2	Deleted as the Rule has been amended
Paragraph 13.2	Deleted as the Rule has been amended. Re-numbered
Paragraph 19.4 and 19.5	Amended official designations
Paragraph 27.1	Deleted reference to Annex 4 Appendix 1
Paragraph 32.1	Amended official designations

CONTENTS

BACKGROUND

The GCAA has introduced Subpart 2 to CAR Part VIII, Air Navigation Regulations, covering the requirements for any organisation wishing to become certificated for the provision of an Aeronautical Information Service. Reference should also be made to CAR Part VIII, Subpart 1 and CAAP 39 relating to Subpart 1, for general requirements for certification of an ANSP.

CONTENT

This section relates to the CAR VIII, Subpart 2 paragraphs which may need clarification as to acceptable means of compliance. The references to paragraph numbers and names in this section relate to those in the Subpart. Where the Rule paragraph is considered self explanatory, no relevant CAAP paragraph will be included, so the paragraphs are not consequential.

To assist in determining how compliant an organisation may be against the requirements of this subpart, a gap analysis spreadsheet has been distributed to all AIS units.

The exposition shall contain a matrix indicating compliance with the relevant paragraph of the Regulation. Where a requirement is related to a service not being provided, then the matrix can show N/A.

3   AIS CERTIFICATE

3.1   The application for an AIS Certificate shall be made on form AIS 01, in attachment 1 to the AIS Subpart and shall be accompanied by a payment of the AIS certification fee determined by the GCAA Board of Directors. Details required shall accompany the application. Only one organisation may provide an AIP or a NOTAM service within the UAE at any time but there may be more than one Pre-flight briefing service provider at an airport. An airport which submits information for the AIP or NOTAM distribution does not need certification for AIP or NOTAM services.

3.2   There are 4 categories of AIS provided for in this Subpart. A certificate is required for each service to be provided. The categories are:

1.   AIP service

2.   Pre-flight briefing service

3.   NOTAM service

4.   Integrated aeronautical information package

The NOTAM service refers only to the organisation providing the NOTAM and disseminating it, not the originator such as an airport or an ANSP

4 APPLICATION FOR CERTIFICATE

4.1 Any organisation seeking an AIS Certificate should carry out a gap analysis of their preparedness for certification prior to submitting the application form. A blank gap analysis spreadsheet is attached to this CAAP.

9 PERSONNEL REQUIREMENTS

9.1 Depending on the size of the organisation applying for certification, some of the positions listed as CAR 2.9 a)4 and CAR 2.9 a)5 may be combined. The combination of roles and the ability of the appropriate person/s to carry out their duties will be assessed by the Authority as part of the certification process.

The persons nominated for CAR 2.9 a)3 to CAR 2.9 a)5 inclusive shall be acceptable to the Authority, prior to the person being named in that post. Information on the qualifications for the position shall be included in the application to the Authority, for that person to be accepted for the position.

9.2 Covers the requirements for competency and licensing of staff. Ongoing competency is required by CAR 2.9 b) which will require a process to evaluate, on a regular basis, the ability of staff to perform their duties.

11 DOCUMENTATION

11.1 Documentation required would be relevant to the service being provided. This would include a style manual and chart manual for the AIP service and a format for the pre – flight briefing service.

12 COLLECTION OF INFORMATION

12.1 The collection of information required of this paragraph is related to the service to be provided.

13 PUBLICATION OF AERONAUTICAL INFORMATION

13.2 Not all the procedures required by this paragraph apply to all AIS services.
13.3 Relevant only to an AIP or Integrated package certificate holder.

14 RECORDS

14.2 Pre – flight briefing bulletin information shall be retained for at least 31 days, unless they are required for an investigation in which case they shall be retained until the investigation is closed and the documents are released.

15 INTERNAL QUALITY ASSURANCE

15.2 The requirement for the organisation's quality assurance system to conform to ISO 9000 is rescinded. The Organisation may decide to be ISO compliant but it is no longer a GCAA requirement.

15.8 Although the originator of aeronautical information for publishing in an AIP, Supplement, AIC or NOTAM is required to certify the accuracy of the information submitted (CAR 2.12b)4), the AIM certificate holder is required to be satisfied that the requirements of this part regarding quality and traceability of data are met.

16 SAFETY MANAGEMENT SYSTEM REQUIREMENTS

16.1 CAR Part X establishes the SMS requirements of organisations within the aviation system in the UAE. This is in broad compliance with the ICAO requirements in Document 9859, volume 2.

Complete compliance with CAR Part X was required by 31 December 2010.

The GCAA is moving towards a State Safety Programme (SSP) of which an operator or service provider's SMS is an integral part.

16.2 This paragraph lists the elements to be included in the SMS.

17 ORGANISATION EXPOSITION

17.1 CAR 2.17a) requires a number of statements and details which describe the Organisation seeking certification. These would normally be contained in one document, the Exposition. This would be supported by a matrix listing where in supporting documentation, normally the Operations Manual, the requirements of the Rule Subpart are met.

This generally means that any paragraph which requires a procedure to be established shall be matched with a reference to the document in which this procedure is located.

A sample matrix is attached to this CAAP (Attachment B).

Documents referred to in the matrix shall be considered part of the Exposition and shall be provided to the Authority. An electronic version of the Exposition and associated documentation is acceptable.

CAR 2.17 a)7 requires details of the staffing structure for each unit. This is to ensure that adequate staff is provided for the services referred to.

17.2 The acceptance by the Authority of the Exposition is an important phase of the certification process.

AIS Organisations should be aware that the Authority may require amendments to the Exposition during the certification process.

19 CHANGES TO CERTIFICATE HOLDER'S ORGANISATION

19.1 The Exposition must be amended to remain a current description of the organisation.

19.3 Amendments to the Exposition shall be provided to the Authority as soon as possible, but amendments to Operational manual/s and other documents supporting the manual, provided in support of the Exposition, shall be forwarded to the Authority in advance. This is to allow for possible Authority requests for additional information on, or changes to, the amended procedures. Electronic copies of the documents / amendments are acceptable as is notification of the amendment and access to the AIS Organisations document management system.

19.4 Where an Organisation wishes to make any of the 3 changes listed, prior acceptance from the ANA Department of the Aviation Safety Affairs Sector is required.

19.5 The Authority may impose conditions on the Organisation with respect to changes under CAR 2.19 d), to ensure the continuity of service. If there is any doubt as to whether a change within an Organisation may affect compliance with Subpart 4, the Organisation should contact the ANA Department of the Aviation Safety Affairs Sector for clarification.

21 AIP GENERAL

21.1 This paragraph contains the elements of the AIP required to be produced by the holder of an AIP certificate.

22 CONTENT OF THE UAE AIP

22.2 This paragraph permits the publication of information for other than certificated airports and contains the conditions so attached.

27 SPECIFICATIONS FOR AERONAUTICAL CHARTS

27.1 Charts to be provided from those shown in Annex 4 shall be relevant to the degree of complexity or instrument approach / departure procedures available at the airport.

31 PRE-FLIGHT INFORMATION SERVICE

This service may well be incorporated with the requirement in Subpart 7 for a Meteorological briefing service.

31.6 The provider of an AIS pre-flight briefing service shall have a system to receive information from either ATC or the flight crew directly.

32 AUTOMATED PRE-FLIGHT INFORMATION SYSTEMS

32.1 Any proposal to automate an AIS system shall require GCAA acceptance via the ANA Department of the Aviation Safety Affairs Sector. A CAAP on the subject of electronic data management (CAAP 56) is available in the GCAA Website.