



CIVIL AVIATION ADVISORY PUBLICATION

CAAP 46

(Issue October 2010)

GROUND OPERATIONS AUTHORISATION

GUIDANCE INFORMATION REGARDING GROUND OPERATIONS ACTIVITIES RELATED TO FLIGHT OPERATION

1 INTRODUCTION

The purpose of this CAAP is to provide the requirements and guidance on aviation ground operations associated to flight operations. The ground activities related flight operations are those listed in Appendix 1 to CAR OPS 1/3 .1045 paragraph 8.2 which includes fuelling procedures, pre and post flight documentation, aircraft, passenger and cargo handling, loading, parking, flight planning, weight and balance, procedures for refusal of embarkation, de-icing and anti-icing and etc.

A UAE operator who is the holder of an Air Operators Certificate (AC/AT/PO), shall ensure that the Air Operator Ground Handling activity responsibilities is permanently maintained, when all or part of the functions and tasks related to ground operations / ground handling had been contracted to a service provider.

In such circumstances, the AOC/POC Post Holder ground must be given the task of ensuring that the organization/sub contractor employed meets the required standard.

Note: The following have the following meaning when used throughout the CAAP

Operators : UAE AOC/POC holders

Contractors (sub): Organizations that provide ground operations activities to UAE operators

Organizations: Organizations that provide ground operations activities to non UAE Operators

2 STATUS OF THIS CAAP

This is the first issue of CAAP 46 on Ground Operations dated **30 September 2010**. It will remain current until withdrawn or superseded.

3 APPLICABILITY

This material applies to all operators/organisation for operations either in or outside the UAE territory, however, it must be noted that beyond the UAE territory, operators must conform UAE requirements and other State's regulations when operating in their territory or airports.

4 REFERENCES

This CAAP should be read in conjunction with:

(i) UAE CIVIL AVIATION REGULATION

- a. CAR-OPS 1/3.175 (m) Ground Handling facilities
- b. CAR-OPS 1/3.205 Competence of operations personnel
- c. CAR-OPS 1/3.140 Information on ground
- d. CAR OPS 1/3.1060 Operational Flight Plan
- e. CAR OPS 1/3.290 Flight Preparation
- f. CAR OPS 1/3.300 Air Traffic Flight Plan
- g. SUB PART J. MASS & BALANCE

(ii) CAAP 17. Flight Dispatcher

(iii) CAAP 4

(iv) ICAO Annexes

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6 GROUND HANDLING LEGISLATION AND POLICY

6.1 Ground Operations Acceptance/Approval

- (i) An operator when issued with an AOC is permitted to undertake all ground operations as defined in CAR OPS 1 and 3 provided the relevant procedures have been accepted or approved by the GCAA. The operator's ground operations acceptance/approval is conducted by the GCAA during the initial, renewal or variation of the AOC processes.
- (ii) An operator is permitted to employ GCAA authorized contractors to provide ground operations activities. However, the operator shall maintain responsibility for ground operations / handling activities when all or part of the function and task has been contracted to the sub contractor.
- (iii) A contractor providing ground operations to a UAE operator shall be audited by the operator, every time when initial, renewal or variation of GCAA ground operations authorization is conducted.
- (iv) In addition, contractors are also subject to audits, by the GCAA, when required, based on UAE regulatory requirements and operator's Operations and Quality manuals. The

ground operations activities contracted shall be part of the Operator's Quality audit program and listed in the operators' Quality manual. In this instance, the operator's Quality manual acceptance/approval by the GCAA constitutes the formal acceptance/approval of the contractors.

- (v) An operator shall enter into a contract with the GCAA authorized service provider prior to obtaining ground operations / handling services. The contract shall be kept in the operator custody.
- (vi) An operator may be permitted to use an unauthorized ground operations contractors or organizations for specific services and period, under certain exigency circumstances, provided, the operator has conducted internal evaluation and agreed upon by the GCAA.
- (vii) An organization or contractor based in the UAE, authorized by GCAA to perform ground operations for UAE or non UAE operators' may apply for ICAO Radio Designation or Three Letter Telephony through the GCAA. Refer to CAAP 37 Three letter designation and radio telephony

For ground handling authorization submit the following documents

- a. Letter of request as per appendix 3
- b. Duly filled GCAA Ground Handling application form (go to www.gcaa.ae download section) .
- c. Ground Operations manual as per appendix 2

The organization will then be issued with a letter of acceptance/approval (appendix 1).

- (viii) An operator contracting its ground operations shall be responsible to the following:
 - a. Maintenance of proper standards by personnel of the contractor by supervisory means that include training, checking and monitoring programs acceptable to the GCAA
 - b. Ensuring all licensed and authorized personnel from the contractor are trained and qualified to perform the required activities. A flight dispatcher must hold a valid and current UAE license, while other personnel who require an authorization to be in possession of a valid certificate issued by the operator.
 - c. Ensuring that all personnel mentioned in paragraph b above, shall continue to receive re- current training as stipulated by the GCAA documentation and operator's Operations manual.
 - d. Ensuring that the contractors involved possess at the particular location, a copy of the relevant section of the UAE CAR (www.gcaa.ae) and the operator's relevant part of the Operations manual.
 - e. Ensuring that internal audits on contractors' ground operations are conducted by quality operations, at least once in every two years.
 - f. Ensuring that pre and post flight records and documentation are retained and

kept in accordance with GCAA regulations.

- g. Ensuring that copies of the individual training record on all contractor personnel are properly kept.
- h. Ensuring the updating of UAE regulation and operator's Operations manual held by the contractors.

6.2 Ground Operations Activities

Operators and contractors authorized to perform ground operations are not limited to those listed in Appendix 1 to CAR OPS 1/1.1045 paragraph 8.2 provided they are accepted by the GCAA. In general, the following are the functions:

- (i). Preparation and submission of Air Traffic Service (ATS) Flight Plan
- (ii). Preparation of Operational Flight Plan
- (iii). Compilation and supply of weather report and NOTAM
- (iv). Preparation of Mass and Balance documentation including computation if specifically authorized.
- (v). Loading of passenger and cargo
- (vi). Aircraft fuelling
- (vii). Flight dispatch and flight watch including ETOPS and AWO
- (viii). Aircraft parking and marshalling
- (ix). Obtaining over flight clearances and landing permissions.
- (x). De-icing and Anti-icing of aircraft
- (xi). Storage of documents and records
- (xii). Other authorizations when specified

6.3 Ground Operations Manual

An operator or subcontractor shall possess an operations manual. The Operations manual shall contain all instructions, procedures and information necessary for operations personnel to perform their duties related to ground operations. The ground operations activities can be part of the operator's Operation manual Part A paragraph 8.2 or can be issued as a separate volume known as Ground Operations manual. In the event an operator chooses the option for a separate manual, its existence shall be explained in the Operations manual Part A under paragraph 0 – Administration and Control of Operations manual. The operator shall also ensure that the Ground Operations manual contains the contents and follows the format as shown in Appendix 2 to this CAAP. The contents shall be presented in a form in which they can be used without difficulty and shall observe Human Factors principles.

In order to ensure that all organizations / contractors personnel are aware and familiar with the Operator's ground operations procedures, a copy of the operator's relevant Ground Operations section or manual must be issued to the relevant personnel.

7 SPECIFIC REQUIREMENTS - RELATED ACTIVITIES

The following are the specific requirements to be met by an operator and contractor when ground operations are contracted

7.3 Mass and Balance

- (i) All Mass and Balance procedures adopted shall be in accordance with the requirements stated in the operator's current and approved Operations manual. The requirements must also conform to the regulations contained in CAR OPS 1/3 Subpart J
- (ii) The contractor involved shall possess at the particular location, a copy of the relevant section of the UAE CAR and an operator's approved aircraft type Mass and Balance manual/procedures.
- (iii) The preparation of the Mass and Balance shall be performed by a UAE licensed dispatcher or personnel authorized for this function trained on type.
- (iv) The computation of the Mass and Balance shall be in accordance with the operators' approved Mass and Balance manual for that particular type.
- (v) Electronic means may replace manual Mass and Balance computation provided the system is approved by the GCAA. The license dispatcher or the authorized personnel involved must be trained on the software application used.
- (vi) Final acceptance of Mass and Balance document is the responsibility of the aircraft commander. The commander signature in the relevant column of the document confirms the acceptance. Electronic signature is accepted provided it has been consented by the GCAA.

7.4 Operational Flight Plan

- (i) The contractor shall possess at the particular location, a copy of the relevant section of the UAE CAR and operator's approved Operations Manual
- (ii) The contractor shall adhere to the regulatory requirements as stated in CAR OPS 1.290 Flight preparation and operators' operational flight Plan procedures

- (iii) The preparation of the Operational Flight Plan shall be performed by a UAE licensed dispatcher or personnel authorized for this function trained on type.
- (iv) The computation of the Operational Flight Plan shall be in accordance with the Operators' approved procedures for that particular type.
- (v) Electronic means may be used for this purpose. Those involved must be trained in the software application used.
- (vi) Final acceptance of Operational Flight Plan is the responsibility of the aircraft commander. The commanders signature in the relevant column of the document confirms the acceptance. Electronic signature is accepted provided it has been consented by the GCAA.

7.5 ATS Flight Plan:

- (i) The preparation of the ATS (Air Traffic Services) Flight Plan shall be performed by a UAE licensed Dispatcher or personnel authorized for this function trained on type.
- (ii) The information to be filled in the ATS Flight Plan shall be relevant with the aircraft type.

7.6 Weather & NOTAM

- (i) The contractor shall possess at the particular location, a copy of the relevant section of the UAE CAR and operator's approved Operations manual
- (ii) The contractor shall adhere to the regulatory requirements as stated in CAR OPS 1.135 -Additional information and forms to be carried
- (iii) The compilation of the weather report and NOTAM shall be performed by a licensed dispatcher or personnel authorized for this function trained on type.
- (iv) The source of the weather and NOTAM information must be from an approved source as stated in the Operator's Operations manual.

7.7 Loading, Parking, Marshalling and Aircraft Fuelling

- (i) The contractor shall possess at the particular location, a copy of the relevant section of the UAE CAR and Operator's approved Operations Manual

- (ii) The contractor shall adhere to the regulatory requirements as stated in CAR OPS Subpart J (Mass and Balance) and CAR 1/3. 305 and 1/3.307 (fuelling) and Operator's Operations manual requirements
- (iii) The passenger and cargo loading, aircraft parking and marshalling and fuelling activities shall be performed by trained personnel. On type training is required for loading.

7.8 Over Flight Clearances & Landing Permissions

Obtaining over flight clearances and landing permission for UAE operators do not require GCAA authorization. The clearances and permission, however, form part of pre and post flight documentation and should be retained by the operator for at least 3 months.

7.9 Flight Dispatch and Flight Watch including ETOPS and All Weather Operations (AWO)

- (i) The contractor's base including facilities, equipments, staff, documentation, etc shall be audited by the GCAA for initial approval.
- (ii) The contractor flight watch system if involves ETOPS must be a pro-active.
- (iii) The contractor shall possess at the particular location, a copy of the relevant section of the UAE CAR and Operator's approved Operations Manual.
- (iv) The contractor shall adhere to the regulatory requirements as stated in CAR 1.245, 1.246 (ETOPS) and CAR OPS 1 Subpart J (AWO) and Operator's Operations Manual requirements.
- (v) The Flight dispatch and flight watch must be conducted by UAE licensed Flight Dispatcher.
- (vi) The Flight dispatchers must be trained on the Operator's ETOPS and AWO operations

7.10 Other Ground Handling Activities

All contractors shall have a means to document and control / data retention requirements on ground.

8 TRAINING AND CHECKS

All flight dispatchers and personnel authorized to perform the above functions shall undergo

initial, recurrent and upgrade training and checks as follows:

8.3 Flight Dispatchers

- (i) All training as specified in CAAP 17 for Flight Dispatchers
- (ii) Internal operators familiarization training (to assure that the personnel knowledgeable on the company policy and procedures). In addition, the training includes the applicable regulations (CAROPS 1 / 3), operator's Operations manual and GCAA guidance material like CAAP and Bulletin.
- (iii) Familiarization on data processing if electronic mean is used in the system.

8.4 Other Personnel

- (i) All training as specified in the operator's Operations manual
- (ii) Familiarization on data processing if electronic mean is used in the system

9 APPLICATION

9.3 Letter of Application and Form

An organization intending to perform ground operations for non UAE operators requires an application to be made. A sample letter and form to be submitted to the GCAA Flight Operations Section to obtain the necessary acceptance/approval are shown in Appendices.

The application must be made at least 30 days, or otherwise agreed, before the date of intended operations or before the end of the existing period of validity.

Appendix 1- Sample of Authorization Certificate

GROUND HANDLING ACCEPTANCE/APPROVAL

“NAME OF ORGANIZATION or SUB- CONTRACTOR”

The General Civil Aviation Authority of the United Arab Emirates is satisfied that **(name of contractor)** meets the UAE Civil Aviation Regulation for the following activities to be conducted:

- *Preparation or submission of Air Traffic Service (ATS) Flight Plan. – Approved*
- *Preparation of OFP (Operational Flight Plan) – Approved*
- *Compilation and supply of weather report and NOTAM – Approved*
- *Preparation of Mass and Balance documentation and computation– Approved*
- *Passenger or cargo Handling– Approved*
- *Loading of passenger and cargo – Approved*
- *Aircraft fueling provider – Accepted*
- *Flight dispatch and flight watch(ETOPS/AWO) - approved*
- *De-icing and anti-icing - Approved*
- *Aircraft parking and marshalling arrangement – Approved*
- *Obtaining over flight clearances and landing permissions – Accepted*
- *Storage of documents and records – Approved*
- *Other authorizations when specified – Accepted or approved*

The GCAA reserves the rights to revoke, suspend, amend or render invalid this authorization.

Issued in Dubai: ***date xxx***

Valid until: ***date xxx***

For and on behalf of the General Civil Aviation Authority

MANAGER FLIGHT OPERATIONS

APPENDIX 2- Sample of Ground Operations manuals contents

0. Administration and Control of manual

- 0.1 Table of contents
- 0.2 Title page
- 0.3 Revision
- 0.4 Distribution list
- 0.5 List of effective pages
- 0.6 Record of revisions
- 0.7 Revision highlights
- 0.8 Forward
- 0.9 Applicability
- 0.10 Introduction
- 0.11 Policy

1. ORGANIZATION MANAGEMENT

- 1.1 Organization Structure and responsibility
- 1.2 Communication (link of communications in the company)
- 1.3 Resources (Schedule and their duty time)

2. DOCUMENTATION AND RECORD

- 2.1 Documentation System
- 2.2 Operational Manuals
- 2.3 Records Systems (how do you control your or customer records)

3. SAFETY AND QUALITY

- 3.1 Safety Program
- 3.2 Quality Assurance Program
- 3.3 Other quality system if applicable

4. GROUND HANDLING INSTRUCTIONS/PROCEDURES

- 4.1 Fuelling procedures
- 4.2 Aero plane, passengers and cargo handling procedures related to safety
- 4.3 Procedures for the refusal of embarkation
- 4.4 De-icing and anti-icing on the ground
- 4.5 Others procedures on the ground operations required

5. EMERGENCY

- 5.1 Emergency Response Plan

6. TRAINING AND QUALIFICATION

6.1 Functional and inductions Training Program

6.2 Other training such as Security, Dangerous Goods, Airside Safety, Airside Driver, GSE Operations, Load Control, Passenger Handling, Baggage Handling, Aircraft Handling and Loading Training Program.

7. SECURITY MANAGEMENT

Detail of Security Policy, Control, management, Training & Personnel awareness related to handling agent.

8. GROUND SUPPORT EQUIPMENT (GSE) MANAGEMENT

Detail of GSE Operations and Maintenance

9. AIRCRAFT MONITORING COORDINATION

Describes how coordination's, monitoring position, distribution of communications between aircraft and operations, as well as customer

Note:

1. Activities not covered by the organization may carry a statement not applicable; however, the format and numbering should remain the same.
2. An applicant may vary their manuals contents, however, the evaluations time required may increase.

Appendix 3 - Sample Letter of Request

Reference:

Date:

**Chief of Flight Operations
General Civil Aviation Authority
Dubai
UAE
Fax: 04 2111672**

**Subject: INITIAL / RENEWAL / VARIATION APPLICATION OF GROUND
OPERATIONS**

Greetings,

This has reference to the above mentioned subject.

(Name of contractor) hereby would like to request that a GCAA acceptance/approval be given, to conduct the following ground handling activities.

(i) (List of ground operations required)

The following are information regarding our organization for your assessment

- (i) Company background***
- (ii) Location***
- (iii) Management and personnel qualification and experience,***
- (iv) Authorization or licenses issued by other Authority***
- (v) Others***

Enclosed herewith please find the following documents ***(listed in Appendix 1)*** for your assessment.

Should you need further information, kindly contact the undersigned at the following addresses ***(phone number)*** and ***(email address)***

Thank you

***Signature
(Name)
(Appointment/Title)***

Appendix 4 - Sample of application form
(refer to www.gcaa.ae download for latest form)

I (Initial application) or **R** (Renewal application)

1. Applicant details							
Company name		Website					
Address		Phone		Fax			
		Email					
2. UAE National or FZCO Sponsor details			3a. Main Office location				
Name		Email					
Address		Phone		Fax			
4. Date of application and commencement date							
Application Date		Start date					
5. Trade License & activities details							
License details		Type	Activities				
Licence No.							
Issue Date							
Expiry Date							
6. Authorisation services Requested : (I Initial R: Renewal)							
Authorisation requested		I	R	Authorisation requested		I	R
6.1 Air Traffic Service (ATS) Flight Plan		<input type="checkbox"/>	<input type="checkbox"/>	6.7 Aircraft fueling arrangement		<input type="checkbox"/>	<input type="checkbox"/>
6.2 Preparation of OFP (Operational Flight Plan)		<input type="checkbox"/>	<input type="checkbox"/>	6.8 Aircraft Towing and marshalling		<input type="checkbox"/>	<input type="checkbox"/>
6.3 Supply of weather report and NOTAM		<input type="checkbox"/>	<input type="checkbox"/>	6.9 Flight clearances / landing permits		<input type="checkbox"/>	<input type="checkbox"/>
6.4 Preparation of Mass and Balance		<input type="checkbox"/>	<input type="checkbox"/>	6.10 ETOPS Flight release & flight watch		<input type="checkbox"/>	<input type="checkbox"/>
6.5 Loading of passenger and cargo		<input type="checkbox"/>	<input type="checkbox"/>	6.11 Other authorizations below:		<input type="checkbox"/>	<input type="checkbox"/>
6.6 Passenger handling		<input type="checkbox"/>	<input type="checkbox"/>				
7. Personnel accepted by the authority							
7.1 Accountable manager (CEO) Name :				Signature :			
7.2 Post Holder Operation Name :				Signature :			
8. Additional remarks: (use this space or next page to amplify the above and supporting comments)							

Internal GCAA use only:		CFO Approval :	
<i>FOI: I have reviewed the applicant capabilities and accept it as authorized handling agent</i>		Signature	Signature
FOI Name:	No:		Name
			Date

Applicant instructions:

For handling agent applicant, the form have to be accompanied with company Letter head with minimum brief introductions as Office locations, experience, company being handled, and detail attachment

- a. Letter of applications (general Letter see attachment 1)
- b. Application form
- c. Trade License
- d. Applicable Aviation authority / DCA letter informing that your activities if it is not clearly stated in Trade license that you are performing aviation consultancy activity
- e. Company Operations manuals (see appendix 1 sample of manuals)
- f. The following attachment is for the service requested only:
 1. *Air Traffic Service (ATS) Flight Plan*, Attach No Objection letter from Airport Authority or Letter of authorization from at least one operator
 2. *Preparation of OFP (Operational Flight Plan)*, Attach Contract of OFP software provider
 3. *Compilation and supply of weather report and NOTAM*, Attach Contract of Met provider or other legal Sources
 4. *Preparation of Mass and Balance & computation*, Attach Mass & Balance for specified AC type, software used and Dispatcher license
 5. *Loading of passenger and cargo (on type training)*, Attach certificate that personnel have been trained for applicable Aircraft Type
 6. *Handling of passenger and cargo (mass / dimension)*, Attach certificate that personnel have been trained for applicable Aircraft Type / generic (for private jets)
 7. *Aircraft fueling arrangement* , Attach : Fuel agreement contract for approved creditor or nil for a broker
 8. *Aircraft Towing and marshalling*, Attach : List of competence Personnel authorized by applicable agency
 9. *Obtaining over flight clearances and landing permissions*, Attach : Statement, letter or received from other authority (for the region applied for)
 10. *ETOPS Flight release and flight watch*: Attach : Attach specified procedures as in company manuals or subcontractor manuals
 11. *Other authorizations when specified*: Attach : List other requested services