



Oversight: findings, observations, CAPs and enforcement measures

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Types of findings

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3 types of findings defined in European regulation:

- Level 1 findings 

- Level 2 findings 

- Observations.



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Level 1 findings



→ Any **significant non-compliance which lowers safety or seriously endangers safety**, regarding:

- the certification basis of the aerodrome,
- the applicable requirements of Basic Regulation and its Implementing Rules,
- the aerodrome operator's or the apron management services provider's procedures and manuals,
- with the terms of the certificate or certificate,
- or with the content of a declaration.



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Level 1 findings



→ The level 1 finding shall include:

- (1) failure to give the Competent Authority access to the aerodrome and aerodrome operator's or the apron management services provider's facilities as defined in ADR.OR.C.015 during normal operating hours and after two written requests;
- (2) obtaining or maintaining the validity of a certificate by falsification of submitted documentary evidence;
- (3) evidence of malpractice or fraudulent use of a certificate; and
- (4) the lack of an accountable manager.

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Level 1 findings



→ Which other findings do you think that could be considered level 1 findings?



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Level 2 findings



→ Any non-compliance **which could lower or possibly hazard safety**, regarding:

- the certification basis of the aerodrome,
- the applicable requirements of Basic Regulation and its Implementing Rules,
- the aerodrome operator's or the apron management services provider's procedures and manuals,
- with the terms of the certificate or certificate,
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Observations



→ For those cases not requiring level 1 or level 2 findings, the Competent Authority may issue **observations**.



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A finding is detected...what do we do now?

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When a finding is detected, the competent authority shall



communicate the finding in writing

request corrective action to address the non-compliance(s) identified

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Level 1 findings



- In the case of **level 1 findings**, the Competent Authority:
 - shall **take immediate and appropriate action** to prohibit or limit activities,
 - and if appropriate, it shall take action to:
 - revoke the certificate or to deregister the declaration,
 - or to limit or suspend the certificate or declaration in whole or in part, depending upon the extent of the finding,
- until successful corrective action has been taken

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Level 2 findings



- In the case of **level 2 findings**, the Competent Authority shall:
 - grant a **corrective action implementation period** included in an action plan appropriate to the nature of the finding; and
 - **assess** the corrective action and implementation plan proposed and, if the assessment concludes that they are sufficient to address the non-compliance(s), accept these.

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Stablishing de corrective action plan

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Stablishing de corrective action plan

Observación	Requisito:	Reg 139/2014 ADR.OR.D.028
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Descripción del incumplimiento	Conformidad con el incumplimiento /Estado Alegación AESA	Alegaciones del inspeccionado /Evaluación Alegación AESA
<p>No se realizan todas las supervisiones definidas en el procedimiento REU-PGS-02 ITS-05.3 y REU-PGS-02/RGS-01 a los agentes de asistencia en tierra.</p> <p>A modo de ejemplo, no se presentaron evidencias de haber realizado las siguientes supervisiones: * Supervisiones de los requisitos de la calidad del combustible al proveedor de combustible. * Supervisiones de escala al proveedor PMR (MASA).</p>	SI	Sin alegaciones

MEDIDA	PLAZO	RESPONSABLE
<i>Propuesta del inspeccionado /Valoración AESA</i>		
<i>Adecuación de calendario de supervisiones a proveedores externos en SGISO según duración de contrato, de forma que se realicen las supervisiones pertinentes dentro del periodo de actividad de la empresa en el Aeropuerto y se realicen todas las supervisiones planificadas para cada PE</i>	31/12/17	<i>Responsable Sistema Gestión Seguridad Operacional</i>
Propuesta de medida de subsanación aceptada.	Propuesta de plazo de subsanación aceptada.	Propuesta de responsable de subsanación aceptada.
<i>Implantación calendario de supervisiones para su realización dentro del periodo de actividad de la empresa en el Aeropuerto y se realicen todas las supervisiones planificadas para cada PE</i>	30/04/18	<i>Responsable Sistema Gestión Seguridad Operacional</i>
Propuesta de medida de subsanación aceptada.	Propuesta de plazo de subsanación aceptada.	Propuesta de responsable de subsanación aceptada.
<i>Propuesta de AESA /Alegaciones Inspeccionado /Evaluación Alegación AESA</i>		
Adecuar el calendario de supervisiones a proveedores externos en SGISO acorde a la duración de los contratos y teniendo en cuenta el procedimiento REU-PGS-02 ITS-05.3 y REU-PGS-02/RGS-01. De tal forma que se realicen las supervisiones pertinentes dentro del periodo de actividad y que se realicen todas las supervisiones planificadas.	31/12/2017	Responsable del Sistema de Gestión de Seguridad Operacional
Sin alegaciones	Sin alegaciones	Sin alegaciones

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Stablishing de corrective action plan

PLAN DE ACCIONES CORRECTORAS (PAC)		
MEDIDA	PLAZO	RESPONSABLE
AC005 Adecuar el calendario de supervisiones a proveedores externos en SGIISO acorde a la duración de los contratos y teniendo en cuenta el procedimiento REU-PGS-02 ITS-05.3 y REU-PGS-02/RGS-01. De tal forma que se realicen las supervisiones pertinentes dentro del periodo de actividad y que se realicen todas las supervisiones planificadas.	31/12/2017	Responsable del Sistema de Gestión de Seguridad Operacional
AC006 Implantar el nuevo calendario de supervisiones de proveedores externos.	30/04/2018	Responsable del Sistema de Gestión de Seguridad Operacional

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Enforcement measures

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Enforcement measures

- The Competent Authority may additionally, and depending on the nature and the repetitiveness of the findings, or the level of implementation of the corrective actions, impose financial penalties as appropriate, which are effective, proportionate, and dissuasive.

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