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CHAPTER 1. ADMINISTRATION & GENERAL INFORMATION

Section 1. Introduction

16.1.1.1. Purpose & Scope.

(a) The General Authority of Civil Aviation (GACA), hereinafter also referred to as the Authority, implements a:

- (1) Certification process in accordance with GACAR Part 151 for all organizations who provide ground services at aerodromes certificated under GACAR Part 139, 138, and 137.
- (2) Implementation assurance of GACAR Part 68 for all personnel engaged in ground service activities who require a work permit for the relevant job function(s) performed in accordance with GACAR Part 68.
- (3) Safety oversight program for ground service providers (GSP) and their staff operating in the context of items (a) and (b) of this paragraph.

(b) This document provides the processes, procedures, and guidance for the certification, licensing and oversight of ground service providers by GACA's Aerodrome Safety (AS) department and its Ground Services (GS) section. It addresses, but not limited to the:

- (1) Qualifications and training of GS inspectors.
- (2) Initial certification and Certificate renewal of ground service providers.
- (3) Post-certification processes including the amendment of Certificates, manuals, operational privileges, establishment of new ground stations, service life extension of ground support equipment (GSE), etc.
- (4) Ground services personnel licensing and training requirements, and
- (5) Ground operations surveillance and enforcement actions.

16.1.1.2 Codification of Ground Services Categories & Operational Privileges.

(a) GACAR Part 151 identifies eleven main categories of ground services, which are subdivided into different types of operational privileges, as prescribed in GACAR § 151.1 and codified below:

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Cat.	Types of Operational Privileges
A	Ramp Handling
A1	Marshaling the aircraft on the ground at arrival and departure, assistance to aircraft parking and securing including the provision of suitable devices.
A2	Loading and unloading of the passenger aircraft including the provision and operation of suitable means.
A3	Loading and unloading of cargo aircraft including the provision and operation of suitable means.
A4	Embarkation and disembarkation of passengers and crew including the provision of suitable means or the operation of boarding bridges, where provided.
A5	Transport of crew, passengers and baggage between the aircraft and the airport terminal building including the provision of suitable means.
A6	Provision and operation of suitable ramp equipment for assistance to passengers with reduced mobility.
A7	Provision and operation of suitable means for aircraft engine starting.
A8	Provision and operation of suitable means for the supply of electrical ground power to aircraft.
A9	Provision and operation of suitable means for the towing/push-back of aircraft and the communication with flight crew.
B	Passenger Handling
	Any kind of assistance to and the provision of relevant suitable means for arriving, departing, transfer or transit passengers, the operation of a departure control system, checking tickets and travel documents, registering baggage and carrying it to the designated area(s), and/or escorting passengers for operational reasons.
C	Baggage Handling
C1	Handling and sorting baggage in the designated area(s), loading it on to and unloading it from the relevant devices with the purpose of moving it from the aircraft to the designated area(s) and vice versa, or between designated areas, as well as the transfer of baggage from the designated area(s) to the reclaim area, including the provision and operation of suitable means, and/or
C2	Operation/handling of the baggage reconciliation system.
D	Freight & Mail Handling
D1	For freight: handling of export, transfer and import cargo, processing of related documents, customs procedures and implementation of any security procedures agreed between the parties at the on-aerodrome and/or bonded relevant facilities/cargo warehouses.

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Cat.	Types of Operational Privileges
D2	For mail: handling of incoming and outgoing mail, processing of related documents and implementation of any security procedures agreed between the parties at the on-aerodrome and/or bonded relevant facilities/cargo warehouses.
D3	The handling of freight or/and mail, whether incoming, outgoing or being transferred, between the on-aerodrome warehouses and/or bonded relevant facilities/cargo and the passenger aircraft, including the provision and operation of suitable means, and/or.
D4	The handling of freight or/and mail, whether incoming, outgoing or being transferred, between the on-aerodrome and/or bonded relevant facilities/cargo warehouses and the cargo aircraft, including the provision and operation of suitable means.
E	Load Control & Dispatch
E1	Load planning.
E2	Aircraft weight & balance calculations.
E3	Issuing loading instruction reports, Notification to Captain (NOTOC) and load sheet.
E4	Loading supervision or/and aircraft turnaround coordination.
E5	Preparation of the flight documentation at the departure airport or at any other point.
E6	Messaging and telecommunications, including communication with the flight crew via means of radio.
E7	Crew administration.
F	Unit Load Device Control
F1	Unit load device serviceability inspection, handling and storage.
F2	Provision of adequate and sufficient infrastructure for proper storing, transporting, moving, transferring, build-up and break down of unit load devices.
G	Aircraft Servicing
G1	External and internal cleaning of the aircraft including the provision and operation of suitable means.
G2	Waste and potable water servicing, including the control of the quality of potable water and the provision and operation of suitable means.
G3	Cooling and heating of the aircraft cabin including the provision and operation of suitable means.
G4	Removal of snow and ice, the de-icing or anti-icing of the aircraft including the provision and operation of suitable means.
H	Into-plane Fuel Services

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Cat.	Types of Operational Privileges
	Into-plane fuel services include aircraft fueling and defueling operations, incorporating the control of the quality and quantity of fuel deliveries and the provision and operation of suitable means for any of the applicable JIG-1/IATA service levels H-L1, H-L2, H-L3 or/and H-L4.
I	Representation & Supervision
I1	Representation and liaison services with local authorities or any other entity, disbursements on behalf of the customer and provision of office space for its representatives.
I2	Any other supervision service before, during or after the flight and any other administrative service requested by the customer.
J	Surface Transport
J1	The provision and operation of suitable means for the airside transport of crew, passenger, baggage, cargo and mail between different terminals of the same aerodrome, but excluding the transport between the aircraft and any other point within the perimeter of the same aerodrome.
J2	Any special airside transport requested by the customer.
K	Aircraft Catering Services
K1	The transport, loading on to and unloading from the aircraft of catering supplies (food, beverage or other relevant supplies) including the provision and operation of suitable means.
K2	The liaison with suppliers and administration management, storage of food and beverages and of equipment needed for preparation, cleaning of this equipment, preparation of equipment, as well as bar and food supplies preparation, in accordance with the requirements of § 151.5(a)(3).

(b) Each ground service provider may apply for one or more of these ground services for each specific ground station.

(c) Other ground services that can be accepted by the Authority are addressed in paragraph 16.2.1.6.

(d) In the context of item H of the above table, JIG-1/IATA Standard Into-Plane Fueling Service Levels are as follows:

(1) Level 1 (H-L1): refers to the minimum level of service and includes the following base level procedures:

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- Have proven knowledge of fueling vehicle systems and operations.
- Approach and position the fueling vehicle at the aircraft in accordance with local and driving regulations.
- Set fueling vehicle brake and install wheel chocks, if brake interlocks are not installed.
- Bond fueling vehicle to aircraft.
- Open aircraft wing fueling panel and remove fueling adapter caps (if installed).
- Connect fueling hoses to aircraft.
- Hydrant system – connect hydrant coupler to hydrant pit valve.
- Provide fuel volume and density of fuel loaded, when requested.
- Perform clear and bright fuel appearance checks at the aircraft in accordance with operating procedures, and perform chemical water detection test when required.
- Engage and operate the dead-man control under the direction and supervision of the airline authorized refueler.
- Monitor vehicle fueling pressures to ensure maximum limits are not exceeded.
- At completion of fueling, disconnect fueling nozzle from aircraft, replace fueling adapter caps (if installed) and close fuel panel access door.
- Hydrant system – close hydrant pit valve and disconnect hydrant coupler.
- Disconnect bonding cable connection.
- Provide fuel delivery receipt to representative for signature prior to aircraft departure.
- Provide assistance when defueling of aircraft is required.
- The fueling personnel has final responsibility to verify that all hoses and static grounding/bonding attachments have been disconnected from aircraft (including hydrant pit, where applicable) and are properly stowed prior to moving fueling vehicle.
- Perform walk around inspection.

(2) Level 2 (H-L2): refers to the routine total fueling required and includes all of the items listed in Level 1 plus all the items listed in the following procedures below:

- Obtain total fuel figure from airline representative prior to fueling.
- Perform gauge and system tests as appropriate for aircraft type.
- Fuel aircraft to the total fuel requirement using the aircraft automatic fueling mode as determined by an airline representative.
- Complete kilo/pounds or liter/gallons conversion, when required.
- Set wing panel switches and gauges and control the amount of fuel being added to the aircraft using aircraft automatic loading settings.

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- Communicate with opposite wing fueling operative when two fueling vehicles are used to fuel the aircraft.
- Communicate with cockpit via headphone, if required. In this case the requirement of GACAR § 68.7(e) applies.
- Monitor wing panel gauges, vehicle pressure gauges and fuel tank vents for spills during fueling.
- Deliver completed fuel service form (where supplied) to operations or cockpit crew.

(3) Level 3 (H-L3): refers to the routine fueling distribution required and discrepancy checking, and includes all of the items listed in level 1 and 2 plus all the items listed in the following procedures below:

- Obtain aircraft REFUEL SHEET from airline or fueling company representative prior to fueling.
- Read refuel panel gauges before and after fueling and enter readings on to Aircraft REFUEL SHEET.
- Fuel aircraft per fuel uplift calculations as determined and entered on the Aircraft REFUEL SHEET.
- Set refuel panel switches and gauges and control the amount of fuel being added to the aircraft using aircraft manual or automatic loading settings.
- When fueling various fleet types, be qualified to interpret fuel manual distribution charts and follow fuel distribution procedure in accordance with the specific fleet type.
- Calculate fuel weight in kilos/pounds (from density) at aircraft on designated flights using hydrometer.
- Calculate fueling discrepancy and compare with maximum allowable. If it is outside limits, contact a Level 4 / airline authorized refueler to check fuel levels as required.

(4) Level 4 (H-L4): refers to the full into-plane fueling capability and includes all of the items listed in levels 1, 2 & 3 plus all the items listed in the following procedures below:

- Be qualified to interpret fuel manual drip stick tables and drip stick conversion charts.
- Operate and read measuring stick measurements to determine tank quantity:
 - When requested by the flight crews;
 - When quantity added exceeds tolerance (discrepancy);
 - For tank with an inoperative gauge;

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- To verify pre-service differences.

- Perform non-routine fueling procedure when any one cockpit gauge is inoperative, using measuring sticks and fuel vehicle meter or measuring sticks and operative aircraft gauges, to provide a known quantity in the tank with the inoperative gauge.
- Enter cockpit when a refuel panel gauge is inoperative and direct fueling, via headphone, using operative cockpit gauge to determine tank quantity.
- Perform tank to tank transfer or defuel aircraft using boost pumps, override pumps, and cross feeds when required. Loading limitations per aircraft manuals must be followed.
- Carry out over-wing fueling of pressure fueled aircraft when required.

16.1.1.4 Technical and Operational Standards.

(a) Ground services provided within the applicability of GACAR Part 151 must comply with the documents defined in GACAR § 151.5.

(b) The Authority may issue directives or guidance information to clarify, amend, or supplement the documents defined in GACAR § 151.5.

(c) In cases where the directive issued by the Authority contradicts any standards, specifications or processes contained in the documents referenced in item (a) above, the directive issued by the Authority must always prevail as per GACAR § 151.5(e).

16.1.1.5 Requirement for Certificate and Operations Specifications.

(a) Each ground service provider must hold:

- (1) A Certificate issued under GACAR Part 151 for their organization/principal business headquarters, incorporating the Operations Specifications for the associated main ground station/operations base at the corresponding aerodrome, and
- (2) Operations Specifications for each other ground station they operate at the aerodromes prescribed in paragraph 16.1.1.1.

(b) An organization cannot be issued a Certificate without Operations Specifications for at least their main ground station/operations base.

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16.1.1.6 Ground Services Related Forms & Templates.

All relevant forms and templates used for the implementation of GACARs Part 151 and Part 68 are presented in the “List of Attachments” at the end of this document.

16.1.1.7 Definition of Terms Used in this E-Book.

(a) GACAR Part 1, applicable to all GACARs.

(b) GACAR Part 151.

(c) GACAR Part 68.

(d) Manuals prescribed in GACAR § 151.5(a), whereas GACAR definitions must prevail if a difference is found.

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Section 2. Ground Handling Inspector Jurisdictions

16.1.2.1 Responsibilities of Ground Handling Inspectors.

(a) In accordance with GACAR Part 1, and for the purposes of this document, President means the President of GACA or any person to whom the authority is delegated to carry out their functions as mandated within GACAR-Parts 151 and 68, and as described in this E-Book.

(b) In the context of this document, the AS department means the management of the Aerodrome Safety Department, which oversees GACA senior officials as appointed by the President. The AS department is represented by its General Manager (AS GM), and its Ground Services (GS) section is represented by its Manager (GSM).

(c) The table below provides the detailed authorities delegated to the Ground Handling (GS) Inspectors.

GS Inspectors Authority	
A. Certificate and Acceptance	
1.	Review, discuss with concerned organizations and provide relevant recommendation to management for the acceptance of the Ground Operations Manual or equivalent material, and their corresponding amendments.
2.	Review, discuss with concerned organizations and provide relevant recommendation to management for the acceptance of the Training Manual or equivalent, training program, syllabi, associated training material, and their corresponding amendments.
3.	Review, discuss with concerned organizations and provide relevant recommendation to management for the acceptance of the Quality Assurance/Compliance Manual or equivalent material, and their corresponding amendments.
4.	Review, discuss with concerned organizations and provide relevant recommendation to management for the acceptance of the Local Supplement Manuals (e.g. Ground Operations or/and Quality) or equivalent material, and their corresponding amendments.
5.	Review, discuss with concerned organizations and provide relevant recommendation to management for the acceptance of the Emergency Response Plan (ERP) or equivalent material, and their corresponding amendments.

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6.	Review, discuss with concerned organizations and provide relevant recommendation to management for the acceptance of the Safety Management System (SMS) Manual, and their corresponding amendments.
7.	Audit/inspect ground service providers for initial certification and Certificate renewal, compile a non-conformance report (NCRE), and provide relevant recommendation to management.
8.	Support GACA Flight Operations inspectors in the initial certification and Certificate renewal of self-handlers, as appropriate.
9.	Interview post-holders and provide relevant recommendation to management.
10.	Interview the management representative in charge of SMS administration and implementation, in accordance with GACAR Part 5, and provide relevant recommendation to management.
11.	Review GSE service life extension applications and provide relevant recommendation to management.
B. Ground Services Personnel Licensing	
12.	Review work permit application and all relevant documentation submitted, and liaise with concerned organizations and the GACA Licensing Department.
13.	Accept the issuance/renewal of a Work Permit under GACAR Part 68.
14.	Provide recommendation to management for the revocation of a Work Permit under GACAR Part 68.
C. Audit/ Surveillance	
15.	Inspect/audit certificated ground service providers, and their GSE maintenance arrangements.
16.	Support, when requested, GACA Flight Operations inspectors in the inspection/audit of self-handlers.
17.	Support, when requested, GACA Aerodrome inspectors in the inspection/audit of aerodromes certificated under GACAR Part 139, 138 and 137 who operate their own fixed ground support equipment as part of their permanent infrastructure.
18.	Support, when requested, GACA Airworthiness inspectors in the inspection/audit of aircraft maintenance organizations certificated under GACAR Part 145 or Part 119 who operate their own GSE, and exercise any of the ground service functions prescribed in GACAR § 151.1 for aircraft maintenance purposes.
19.	Access any facility, aircraft or ground support equipment (GSE) of a ground service provider, self-handler or GSE maintenance entity for the purpose of an audit/inspection under Parts 151 and 68.
20.	Access and review any documents of the entities listed in items 16-19 above with respect to ground services.
21.	Issue a non-compliance record (NCR) to any of the entities listed in items 16-19 above.

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22.	Take pictures of any facilities, equipment or persons as evidence of regulatory violation/non-compliance.
23.	Make and retain copies of any documents as evidence of regulatory violation/non-compliance.
24.	Suspend/halt a ground operations activity in accordance with §151.11(b).
25.	Inspect or/and impound a ground services personnel Work Permit issued under GACAR Part 68.
26.	Inspect an airport-issued ID or airside driving license.
27.	Inspect a company ID of ground services personnel.
28.	Request that a GSE, operated by a certified organization or self-handler, in violation of service life requirements be removed from active service and the airside.

16.1.2.2 Duties and Responsibilities of the GS Principal Inspectors.

(a) Principal inspectors (PI) are internally responsible for a pre-determined number of ground service providers assigned to them. The number and type of organizations allocated to each PI are approved by the AS GM.

(b) The allocation of the organizations mentioned in item (a) above to the PIs is carried out in a manner that aims to uniformly distribute the anticipated workload among the PIs, considering their expertise on the subject matter and their involvement in other scheduled administrative functions.

(c) The main duties and responsibilities of the ground services (GS) principal inspectors for the organizations assigned to, are:

- (1) Exercise the authority, in accordance with paragraph 16.1.2.1.
- (2) Assist management in the development of the comprehensive Annual Surveillance Plan for the organizations in charge, following a risk-based approach and regulatory requirements as per paragraph 16.4.2.2.
- (3) Coordinate with management for the allocation of resources for initial certificate and certificate renewal activities according to the Annual Surveillance Plan.
- (4) Coordinate with management for the allocation of resources for surveillance activities according to the Annual Surveillance Plan.
- (5) Act as the focal point for each of the organizations assigned to, and handle all relevant coordination and correspondence.
- (6) Lead the GS audit/inspection team in accordance with Chapter 4 of this document, and

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provide guidance and support to inspectors.

(7) Review inspection findings and reports to ensure their completeness, accuracy, and alignment with standards and Chapter 4 of this document.

(8) Review and recommend to management acceptance of corrective action plans (CAPs), where applicable.

(9) Follow up corrective action plans (CAPs), and ensure their proper and timely implementation.

(10) Follow up and ensure the closure of all non-conformances (NCRs) observed during audits and inspections, and any other open issues with the concerned organizations.

(11) Ensure that all inspection documentation is properly organized, maintained, and stored.

(12) Maintain accurate and updated data/records in respect of all organizations under their jurisdiction and provide current information to management as and when asked.

(13) Identify potential risks and hazards during inspections, and recommend the update of the hazard/risk register of the organization and any appropriate mitigation measures.

(14) Update the Safety Risk Profile (SRP) of the organizations assigned to, and participate in risk assessments or any relevant safety evaluations.

(15) Review and recommend to management acceptance of amendments (Ground Operations Manual, Quality Assurance/Compliance Manual, Training Manual, Emergency Response Plan, Safety Management System, and Supplement manuals).

(16) Coordinate any post-holders matters, i.e. interviews, records, changes, etc.

(17) Communicate effectively with internal teams, other departments on cross-functional issues, and external stakeholders.

(18) Identify and discuss with management areas for process improvement within the ground services department.

(19) Monitor the performance of the inspection team and make suggestions to management for their further development, as needed.

16.1.2.3 Duties and Responsibilities of GS Inspectors.

(a) Inspectors are internally responsible for a pre-determined number of ground service providers assigned to them. The number and type of organizations allocated to each inspector are approved by the AS GM.

(b) The allocation of the organizations mentioned in item (a) above to inspectors is carried out in a manner that aims to uniformly distribute the anticipated workload among them, considering their expertise on the subject matter and their involvement in other scheduled administrative functions.

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- (c) The main duties and responsibilities of the GS inspectors for the organizations assigned to, are:
- (1) Exercise the authority, in accordance with paragraph 16.1.2.1.
 - (2) Acquaint themselves with the manuals, processes, procedures, previous non-conformances and their status, prior to conducting any audit or inspection on an organization.
 - (3) Assist, as appropriate, in the preparation of audits and inspections on the request of the PI in charge.
 - (4) Adhere to the guidance and instructions provided by the PI during audits and inspections.
 - (5) Perform audits and inspections in accordance with Chapter 4 of this document, PI and management instructions.
 - (6) Prepare any audit or inspection documentation assigned by the PI after an audit or inspection.
 - (7) Participate in post-holder interviews and provide relevant feedback to PI.
 - (8) Review manuals, training programs, and any relevant documentation according to regulatory requirements, E-book procedures and management instructions.
 - (9) Assist the PI in the review of amended manuals as instructed by management.
 - (10) Exercise specialized duties with regard to subject matter expertise in accordance with E-book procedures and management instructions.
 - (11) Exercise dedicated administrative duties assigned by management, e.g. Q5 administration, reporting, correspondence, etc.

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Section 3. Competence of Ground Services (GS) Inspectors

16.1.3.1 GS Inspectors Qualification Requirements.

- (a) GS inspectors are specialized according to the regulatory requirements of GACAR Parts 151 and 68.
- (b) Training prerequisites for inspectors are distinguished into basic requirements, applicable to all, and specialized requirements as defined in the Aviation Safety Inspector's Training Manual.
- (c) Initial and recurrent prerequisite training or any other form of training can be delivered in-house by qualified GACA staff or experts/consultants, and by any third party reputable national or international organizations acceptable to the AS GM.
- (d) All internal (intra-departmental) initial, recurrent, general theoretical and practical/On-Job-Training (OJT) is being recorded and retained in the file of each GS inspector using forms GACA_AVS_GSS_F-151-021A for theoretical training, and GACA_AVS_GSS_F-151-021B for On-Job-Training (OJT).

16.1.3.2 GS Trainer Qualification Requirements.

For GSS staff to qualify as a ground services trainer (GST) and assessor (GSA) and be able to deliver theoretical and on-job-training (OJT) to or conduct assessments on other GS inspectors, he/she must meet the following requirements:

- (a) Have completed at least two years with GACA as a principal inspector in ground operations.
- (b) Have successfully completed a train-the-trainer course.

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(c) Have been nominated by the AS GM and accepted by the EVP of Aviation Safety & Environmental Sustainability.

16.1.3.3 Competence of Inspectors.

The General Manager of the Aerodrome Safety department and the Manager of Ground Services section have the ultimate responsibility to ensure that GS inspectors and trainers satisfy the following criteria:

(a) Meet the qualification requirements relevant to their specialization, as outlined in paragraphs 16.1.3.1 and 16.1.3.2 of this section.

(b) Possess the appropriate personal attributes and skills, as referred to in paragraph 16.1.3.5 of this section.

(c) Demonstrate the required, ethos, knowledge, and professionalism at all times.

16.1.3.4 GS Inspector Recurrent Training & Recency Requirements.

(a) Recurrent Training:

GS inspectors must complete a biennial recurrent training at least on the following subjects:

- (1) Regulatory framework (GACARs) – update.
- (2) Auditing skills – refresher.
- (3) Human factors – refresher.
- (4) Safety management system – refresher.

(b) Recency Requirements:

- (1) GS inspectors must complete at least 6 inspections or audits every 12 consecutive months in order to remain current.
- (2) GS inspectors may lose their qualification:

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- (i) As a result of failure to reach the minimum number of inspections mentioned in subitem (1) above. In this case, the inspector can be re-qualified by performing at least 1 inspection/audit under the supervision of a trainer within 2 calendar months.
- (ii) Because they have not performed any ground safety inspections/audits for up to 18 consecutive months. In this case, the inspector can be re-qualified only after the successful completion of 3 inspections/audits under supervision within 6 calendar months and obtain a positive recommendation by the trainer.
- (iii) Because they have not performed any ground inspections/audits for more than 24 consecutive months. In this case, the inspector can be re-qualified by both successfully completing the recurrent training prescribed in item (a) above, and by leading 3 inspections/audits under supervision to obtain a positive recommendation by the trainer.

16.1.3.5 Attributes & Skills of Inspectors.

During the execution of their duties, GS inspectors must display the personal attributes, competencies, and soft skills in accordance with the policies of the Aviation Safety & Environmental Sustainability sector, and section 16.4.3.5 of this document.

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CHAPTER 2. CERTIFICATION

Section 1. Initial Application of Ground Service Providers

16.2.1.1 Initial Certification Stages - General.

(a) The prospective ground service provider should send a letter of intent (LoI) to the President of GACA, stating:

- (1) The scope of ground services intended to be provided.
- (2) The aerodrome(s) at which these services will be provided.
- (3) The focal point of the organization for the certification process.

(b) The focal point can be the accountable executive, or a delegated senior official reporting to the accountable executive, and with knowledge of quality/compliance systems. It is preferred that this person is the prospective quality assurance/compliance post-holder.

(c) GACA's Aerodrome Safety department will acknowledge the LoI and direct the concerned organization to the Economic department for obtaining a "no-objection" letter for their intention to commence commercial ground service activities.

(d) The initial certification process of a ground service provider begins after the Economic department issues a no objection letter to the concerned organization that can proceed with the certification under GACAR Part 151. The certification process is implemented through the following six stages:

- (1) Pre-application meeting with the AS department and its GS section, which should be requested by the applicant organization.
- (2) Simultaneous submission of the corresponding application together with the required documentation in accordance with GACAR § 151.23.
- (3) Review of submitted documentation by the GS section.
- (4) Interview of post-holders by the GS section.
- (5) Demonstration of readiness, which includes the on-site audit/inspection of the organization's principal business headquarters and the main ground station/operations base by the GS section.

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(6) Award of Certificate and Operations Specifications to the ground service provider.

16.2.1.2 Certification Timeframe.

(a) The pace of the certification process of an organization, until the award of the Certificate, is entirely dependent on the organization's level of readiness and compliance with the regulations. Whereas, the certification should not exceed 120 working days or seven months if all the requirements are met. In this context, GACA cannot undertake to reach a certification decision within a particular time scale or to meet a commercial deadline of the applicant organization.

(b) The initial certification process may take a minimum of 60 working days from the date on which the prescribed documents in paragraph 16.2.2.1 are agreed with the Authority.

16.2.1.3 Pre-application Meeting.

(a) Upon receipt of the no objection letter issued by the Economic department to the concerned organization to proceed with certification under GACAR Part 151, the AS department and its GS section invite the concerned organization for a pre-application meeting. In this meeting the GS section:

- (1) Discusses the scope of services to be provided by the applicant organization.
- (2) Confirms the airport(s) at which these services will be provided.
- (3) Identifies the focal point of the concerned organization for the certification process.
- (4) Elaborates on the certification process, its stages, and the key requirements.
- (5) Describes how the GSP Application form is completed.
- (6) Elaborates on how the Regulatory Compliance Report is completed.
- (7) Provides answers to any additional queries and further guidance.
- (8) Forwards via e-mail soft copies of the following forms:

- (i) GSP Application;
- (ii) Regulatory Compliance Report;
- (iii) If requested, copies of the regulatory material, i.e. GACAR Part-151, GACAR Part-68, and E-book Volume 16.

(b) Depending on the readiness of the organization to initiate and commit to the certification process, the GS section instructs them to meet with the Security department of GACA to be briefed on the

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security requirements and relevant process.

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16.2.1.4 Submission of Application and Required Documents.

(a) The prospective ground service provider must submit simultaneously:

- (1) The application form GACA_AVS_GSS_F-151-001, and
- (2) All documents defined in GACAR § 151.23, unless otherwise decided in accordance with item (e) of this paragraph.

(b) All manuals submitted for review must be received in both soft and hard copies.

(c) Upon receipt of the application form and documentation, the GS inspector must review the form in accordance with paragraph 16.2.1.5 for possible missing or incorrect information, and revert back to the organization at the earliest practicable if corrections need to be made and the application form needs to be re-submitted.

(d) The GS section forwards the application form (front and back pages) to the Economic department of GACA to confirm their consent/no-objection for the specific privileges for which the prospective organization has applied.

(e) The documents prescribed in GACAR § 151.23 may not apply to their entirety to substantially smaller organizations with a limited scope of services, i.e. entities applying for one or two activities which do not require any significant infrastructure, equipment, systems, specialized knowhow, complex manuals or procedures. Thus, the GS section should:

- (1) Consider the scope, size and complexity of the organization for the implementation of item (a) of this section and,
- (2) Request only the applicable and necessary documentation that will enable the safe and efficient operation of the applicant organization to the best of the department's judgement.

16.2.1.5 Application Form Details & Review.

The application form GACA_AVS_GSS_F-151-001 requires the following items to be completed by the organization and reviewed carefully by the GS inspector:

(a) **Item 1:** Includes the formal title and corporate registration (CR) of the applicant organization, its

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principal business address/corporate office, and contact information.

(b) **Item 2:** Identifies the purpose of the application/re-application, which may be for:

- (1) Initial certification.
- (2) Renewal of existing Certificate.
- (3) Addition of new ground station.
- (4) Change of ground services privileges, which may include the addition (or removal) of any of the categories or types of the ground services provided as per paragraph 16.1.1.2. In this case, the applicant should only indicate the new privilege(s) requested to be added or specify in the “Any other Service” section which privileges are requested to be “removed.”
- (5) Change of contracted activities.

It is noted that any changes in the principal business or/and operations base address, the accountable executive, a post-holder, the official brand name or the commercial registration (CR) of the company do not require an application and can be communicated to GACA via formal correspondence.

(c) **Item 3:** Provides the IATA 3-letter code and the official name and geographical location (name of city) of the aerodrome for which the application is submitted. For an initial application, the applicant organization must provide the main ground services station/operations base.

(d) **Items 4 & 5:**

- (1) Selection of all applicable ground services categories and types of operational privileges in order to identify the full scope of services at the particular ground station/aerodrome.
- (2) Specifically for item H, into-plane fuel service providers must select the applicable level of fuel services, i.e. H-L1, H-L2, H-L3, or/and H-L4, as per paragraph 16.1.1.2(d). Only one level of fueling services should be indicated, as each level includes all previous ones.

(e) **Item 6:**

- (1) Provides the names of the nominated post-holders prescribed in GACAR § 151.43(a):
 - (i) Ground station post-holder;
 - (ii) Operations post-holder, where applicable;
 - (iii) Quality assurance/compliance post-holder, at corporate level;
 - (iv) Training post-holder.

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(2) In consideration of GACAR Part 151.43(b)3, for small organizations with less than 50 staff in total, a small number of ground stations or a limited scope of services, paragraph 16.2.3.1(d) applies in terms of the post-holders that can undertake more than one function.

(f) Item 7:

(1) Provides the names of the organizations supplying contracted activities and the subject of the corresponding activity. Contracted activities must be part of the ground service categories and types of operational privileges for which the organization is applying.

(2) The inclusion of the contracted organizations and their scope of services in the Operations Specifications demonstrates the acceptance of such contracted activities by the Authority.

(g) Item 8: Evidence of the payment of the corresponding fee must be provided, where applicable.

16.2.1.6 Other Acceptable Ground Services.

(a) The types of ground services operational privileges defined in GACAR § 151.1, as reflected and codified in paragraph 16.1.1.2 of this document, and on the back of application form GACA_AVS_GSS_F-151-001, are the standard acceptable ground services.

(b) For any other ground service(s) not defined in GACAR § 151.1, the concerned organization may discuss with the AS department the necessity for launching the relevant service(s), and the AS department will communicate with the GACA Economic department to consider the service before proceeding any further.

16.2.1.7 Off-Airport Check-in Process.

(a) The off-airport passenger check-in process is a way to enhance customer service and passenger experience. For the purposes of this section, off-airport check-in includes the operation of a departure control system (DCS), checking tickets and travel documents, weighing and registering baggage, ensuring passengers' compliance with dangerous goods regulations, secure and safe transportation of baggage to the designated GACAR Part-151 certificated ground service provider with the procedural handover for airport processing for the purpose of moving it to the aircraft, as well as the provision of all relevant suitable means for carrying out the above tasks.

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(b) Only the entities prescribed in items (c) to (e) of this section can implement this process in compliance with the corresponding requirements.

(c) Ground service providers certificated under GACAR Part-151 must:

(1) Describe in their ground operations manual accepted by GACA the process flow and procedure for off-airport check-in, including but not limited to:

- (i) Check of travel documents, implementation of Dangerous Goods Regulations, and issue of boarding pass;
- (ii) Use of calibrated weighing facilities for hold baggage;
- (iii) Use of DCS or any alternative and issue of baggage tags;
- (iv) Secure and safe transportation of hold baggage to the designated airport GACAR Part-151 certificated ground service provider with the procedural handover for airport processing for the purpose of moving the baggage to the aircraft.

(2) Have an agreement with/or proof of acceptance of the relevant procedures by the concerned GACAR Part-139, 138, 137 certificated airport operator.

(3) Hold contractual agreements with the corresponding air carriers to which this service is provided to.

(4) Obtain the required approval for the full process from the GACA Security department by additionally providing the following information:

- (i) Location(s) of the proposed off-airport check-in facilities.
- (ii) Air carriers or/and flight numbers (if specific) to be served using the process.
- (iii) Identify if it is a permanent arrangement or a one-off event for a predetermined period (identify the expected time frame).

(d) Air carriers regulated by GACA who are defined as “self-handlers” in accordance with GACAR § 151.3(b) must:

(1) Describe in their ground services/handling manual approved by GACA the process flow and procedure for off-airport check-in in the KSA, including but not limited to:

- (i) Check of travel documents, implementation of Dangerous Goods Regulations, and issue

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of boarding pass;

(ii) Use of calibrated weighing facilities for hold baggage;

(iii) Use of DCS or any alternative and issue of baggage tags;

(iv) Secure and safe transportation of hold baggage to the designated airport GACAR Part-151 certificated ground service provider with the procedural handover for airport processing for the purpose of moving the baggage to the aircraft.

(2) Possess credentials of suitably trained check-in staff in accordance with GACAR Part-68 requirements.

(3) Have an agreement with/or proof of acceptance of the relevant procedures by the concerned GACAR Part-139 certificated airport operator.

(4) Hold a contractual agreement with the corresponding certificated Ground Service Provider for on-airport ground service provider for the procedural handover for the purpose of moving the baggage to the aircraft.

(5) Obtain the required approval for the full process from the GACA Security department by additionally providing the following information:

(i) Location(s) of the proposed off-airport facilities.

(ii) Identify if it is a permanent arrangement or a one-off event for a predetermined period (identify the expected time frame).

(e) For international air carriers flying to/from the KSA, off-airport check-in can be provided only by organizations certificated under GACAR Part-151 who satisfy the requirements of item (c) of this section.

(f) The entities prescribed in items (c) and (d) of this section must implement the applicable requirements of GACARs Part-151 and Part-68 without prejudice to any other national laws or regulations.

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CHAPTER 2. CERTIFICATION

Section 2. Review of Submitted Documentation

16.2.2.1 Principles of the Review Process.

(a) GS inspectors are responsible for the review of the following manuals in accordance with the checklists provided in the Attachments of this document, as follows:

- (1) Ground Operations Manual, or relevant (at corporate level), form: GACA_AVS_GSS_F-151-006, or GACA_AVS_GSS_F-151-009.
- (2) Quality Assurance/Compliance Manual (at corporate level), form: GACA_AVS_GSS_F-151-007.
- (3) Training Manual (at corporate level), form: GACA_AVS_GSS_F-151-008.
- (4) Safety Management System Manual (at corporate level), form: GACA_AVS_GSS_F-151-015A.
- (5) Emergency Response Manual (at local level), form: GACA_AVS_GSS_F-151-015B
- (6) Local Supplement Manuals at local level, where applicable (Operations, Quality/Compliance and ERP), form: GACA_AVS_GSS_F-151-014.

(b) The checklists provide basic guidance for the review of manuals and do not preclude inspectors from using their judgement and knowledge to expand beyond the items described in the checklists, depending on the circumstances and the environment of each prospective ground service provider. It is at the discretion of the GS inspector to require any additional items deemed appropriate for the specific organization under certification.

(c) Ideally, one single GS inspector should be appointed for the review of all the manuals referenced in item (a) above, as the content of these manuals is interrelated and at least one person must be able to obtain a full and comprehensive understanding of the organization's corporate and operational systems.

(d) The Security Program is formally forwarded by the GS section to the GACA Security department for their review. The review is conducted according to the checklists of the aforementioned

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department, and when successfully completed the Security department:

- (1) Communicates the non-conformances directly to the concerned organization.
- (2) Upon closure of all non-conformances to their satisfaction, they issue an approval letter to the organization, and promulgate a copy to the AS department.

(e) When the review of a manual is concluded, the review checklist form (item a) filled with the non-conformances observed, and any additional remarks, is forwarded to the applicant organization.

(f) The applicant organization is expected to incorporate all necessary amendments within a reasonable timeframe not exceeding 30 calendar days, and subsequently request for a review meeting with the GS section to physically present the corresponding revisions, and provide evidence of adequately addressing all non-conformances.

(g) Manual review meetings between the GS section and the applicant organization are minuted using form GACA_AVG_GSS_F-151-019. A copy of the minutes of the meeting, identifying the necessary corrective actions commonly agreed, is forwarded to the organization for implementation. A non-conformance (finding) is not “closed” unless the reviewer is fully satisfied with the corresponding remedy/amendment.

(h) When all corrective actions are implemented to the satisfaction of the GS inspector, the final revised version of the manual is re-submitted by the organization in both hard and soft copies with all changes and amendments clearly marked so that they can be tracked.

16.2.2.2 Review of the Regulatory Compliance Report (RCR).

(a) Preparation of the regulatory Compliance Report (RCR) for the initial certification of the first ground station of an organization serves as a master index to all applicable regulatory aspects, and benefits the applicant organization by methodically ensuring that all regulatory requirements are appropriately addressed.

(b) The RCR form GACA_AVG_GSS_F-151-002 is expected to be completed by the quality assurance/compliance post-holder only for the initial certification of the first ground station of the prospective ground service provider under the guidance of the GS section.

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(c) The GS inspector must ensure that the organization describes “how” the organization meets each applicable standard or requirement of GACAR Part 151 and Part 68. It is expected that the organization will:

- (1) Provide in the “How” column of the RCR form a precise reference to the document(s), chapter(s), paragraph(s), and page(s), showing compliance with the relevant standard/requirement, or provide a concise description of the method employed by the organization to comply with the relevant standard/requirement in a systematic manner.
- (2) Indicate in the “Remarks” column of the RCR form if conformance to the regulatory requirement is “pending,” “non-compliant,” or “not applicable.”

(d) The RCR form has to be appraised as satisfactory by the GS inspector prior to proceeding with the review of the key manuals described in paragraph 16.2.2.1(a). That is because critical findings in the RCR form may prompt the revision and re-submission of any of these key manuals.

16.2.2.3 Ownership Structure Review.

(a) The ownership structure of the applicant organization may be submitted as an integral part of its ground operations manual or quality assurance/compliance manual.

(b) The ownership structure of publicly listed or private companies must be described in terms of:

- (1) The ownership and
- (2) Name/title of the physical or legal entity.

(c) Acceptable means of addressing the ownership structure are:

- (1) A detailed description of the ownership structure in one of the documents stated in item (a) above.
- (2) A copy of the certificate of establishment, incorporation or registration of the company, issued by the Ministry of Commerce of the Kingdom of Saudi Arabia.

16.2.2.4 Organizational Charts Review.

(a) The organizational charts of the applicant organization may be submitted as an integral part of its

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ground operations manual or/and quality assurance/compliance manual.

(b) Organizational charts must address the:

- (1) Corporate structure of the concerned organization, which is usually included in the ground operations manual or/and the quality assurance/compliance manual.
- (2) “Local” organizational structure of the ground station under consideration, which can be included in the local ground operations or/and quality assurance/compliance supplement, where applicable.

(c) For the organizational charts at the “corporate level,” the GS inspector must verify that they:

- (1) Depict the “titles” of the accountable executive and all key managerial personnel.
- (2) Illustrate a clear chain of command, describing the responsibilities and accountabilities of each position separately.
- (3) Show that the quality assurance/compliance post-holder reports directly to the accountable executive. It is acceptable that the assurance/compliance post-holder may also hold safety responsibilities.
- (4) Show that the operations post-holder (where applicable), is in charge of the ground station post-holders, in accordance with GACAR § 151.43, and reports directly to the accountable executive. In this context, if the organization has many ground stations grouped into different geographical regions, there may be more than one operations post-holder in charge of each geographical region. In this particular case, the regional operations post-holders may either report to the accountable executive or to a principal operations post-holder at the corporate level, if so proposed by the organization and accepted by the Authority, and are all subject to the requirements of paragraph 16.2.3.1(d)(3).
- (5) To the extent possible, and in consideration of item 4 above, illustrate direct reporting of all other post-holders to the accountable executive.

(d) For the organizational charts at the "local" level, i.e. the ground station, the GS inspector must verify that they include all “titles,” starting from the most senior positions and expanding to at least the duty supervisory level. Any other titles deemed appropriate by the organization should be included. The responsibilities and accountabilities of all relevant titles/positions must be described.

(e) The GS inspector must also ensure that the organization has produced Job Descriptions for all job

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functions and at all levels, delineating all allocated duties and responsibilities in a concise manner. This can be verified as follows:

- (1) At this review stage, by requesting a sample of job descriptions for various job functions and levels, or/and
- (2) During the on-site audit of the organization, as prescribed in the Ground Station Audit Checklist form GACA_AVS_GSS_CL-151-010 in accordance with paragraph 16.4.3.7.

16.2.2.5 Ground Operations Manual Review.

(a) The GS inspector must ensure that the content requirements of GACAR § 151.63 are satisfied, taking always into consideration the scope, size, and complexity of the organization.

(b) The GS section uses two basic checklists for the review of ground operations manuals:

- (1) The generic checklist for integrated ground handling services, which also applies to air operators outsourcing their ground services or “self-handling,” as provided on form GACA_AVS_GSS_F-151-006.
- (2) The checklist for into-plane fueling companies, as provided on form GACA_AVS_GSS_F-151-009.

(c) The ground operations manual may differ among organizations based on the scope of services, size, and complexity of the ground service provider. Thus, the manual may have a variation in the title, its structure or content, therefore review checklists may have some “non-applicable” items which the GS inspector must denote with “X” in the corresponding form.

(d) The ground operations manual may comprise more than one volume, provided that it covers all of the subjects prescribed in GACAR § 151.63, as applicable.

(e) The generic ground operations manual is applicable to all ground stations of the organization. However, the differences between the generic manual and the particularities of each ground station, where applicable, must be depicted in a document referred to as the “Local Ground Operations Supplement” for the subject ground station in accordance with GACAR § 151.65. These differences may include, but not limited to:

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- (1) Organizational structure and responsibilities for the particular ground station.
- (2) Processes and procedures not addressed in the generic ground operations manual, including the emergency response procedures which may be submitted as a separate document.
- (3) Facilities and staging areas allocated to the organization at the particular airport.
- (4) Ground support equipment and maintenance arrangements at the particular station.
- (5) Budgeted (i.e. minimum required) personnel for the concerned ground station.
- (6) Any additional items deemed appropriate by the GS inspector for the specific ground station under consideration.

(f) If the organization, due to its multinational profile and operations, is using a corporate ground operations manual originated from other countries, the GS inspector must additionally confirm the existence of a local ground operations supplement document which addresses individually or combinedly their ground stations, and includes:

- (1) Reference(s) to all relevant regulatory requirements of GACA, and in particular those defined in GACAR § 151.5(b).
- (2) A statement that the corporate ground operations manual does not contradict any requirements prescribed in this part, or any other relevant GACA regulation, as in this case GACA regulations must prevail.

(g) The organization may choose to address all differences prescribed in item (e) above, and the statements of item (f) above in their generic/corporate ground operations manual, and this must be acceptable by the GS inspector as long as it complies with the requirements of item (e).

(h) In particular for the ground services manual of air operators who either outsource their ground services or are “self-handlers,” after the review of the corresponding document the GS section will communicate its acceptance or observations to GACA’s Flight Operations department for further actions.

(i) For deep cabin cleaning and exterior aircraft cleaning, the GS inspector must ensure that:

- (1) The corresponding detailed procedures and cleaning agents are described in the ground operations manual or equivalent.
- (2) Only approved chemical agents are listed for use.
- (3) Covering and uncovering of aircraft sensitive sensors/probs is described to be performed

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or/and inspected by a Part 66 licensed aircraft mechanic.

(4) Approved airline procedures are referenced to be followed.

16.2.2.6 Training Requirements - General.

(a) If training is delivered in house, a list of training instructors, examiners, and practical assessors, must be submitted together with the Training Manual. This list is also verified against the pre-audit information collected via form GACA_AVG_GSS_F-151-003 (par. 16.2.4.1), and confirmed during the on-site audit in accordance with checklist form GACA_AVG_GSS_CL-151-010 (paragraph 16.2.4.2).

(b) If training is outsourced by the organization, a list of the corresponding training organizations/third parties and the corresponding training subjects must be submitted together with the Training Manual.

(c) Dangerous goods training must meet the applicable requirements of GACAR Part 109.

(d) The training methods that can be employed by a certificated ground service provider include:

(1) Classroom training: face-to-face delivery of training and learning material between instructors and students, including workshops, which can take place at the premises of:

(i) The ground services training organization, or.

(ii) The customer, or any other location accepted by the customer, to where the instructors of the Certificate holder have to be dispatched.

(2) Distance learning: instructors and students are physically separated and training can be delivered via any computer or telecommunication device with both audio and visual capabilities either on:

(i) Synchronous mode: the instructor and students interact at the same time (real-time), and the best practices prescribed in paragraph 16.2.2.13 of this Chapter are taken into consideration.

(ii) Asynchronous mode: the instructor and students do not interact real-time, however they may correspond via electronic means afterwards.

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(3) E-learning: delivered via a network or electronic means without any communication or support by instructors, which is reviewed in accordance with paragraph 16.2.2.12, and can be delivered as:

- (i) Computer-based training (CBT), via data and software stored locally in a computer system or a storage device;
- (ii) Web-based training (WBT), via the internet with the use of a browser;
- (iii) Mobile-based training (MBT), via smart mobile telecommunication devices with both audio and visual capabilities;

(4) Simulation: use of a simulator imitating the actual ground support equipment, system, component or process;

(5) Practical training: implementation of the functions or tasks under simulated conditions and/or a mock-up, simulator or equivalent ground support equipment or system. Practical training may be part or the continuation of knowledge training;

(6) On-job-training: actual implementation of the functions or tasks under real life conditions and the actual ground support equipment or system with the active and progressive participation of the trainee, so that they can ultimately perform on their own merits the corresponding functions or tasks under diverse conditions and multiple runs. On-job-training can be conducted only after the completion of the associated knowledge modules and practical training, where applicable;

(7) Mentorship: systematic interaction between an experienced instructor and a person of limited knowledge and experience in order for the second to develop knowhow, skills and proficiency.

(e) The training means that can be used by a ground service provider may be a combination of the tools below:

- (1) A structured presentation of slides.
- (2) Hard copies of manuals, books, and handouts.
- (3) Audiovisual devices.
- (4) Computer-based.
- (5) Web-based (internet-based) software.
- (6) Electronic and mobile telecommunication equipment.

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- (7) Simulation devices.
- (8) 3D virtual simulation.
- (9) Actual ground support equipment, systems or components.

16.2.2.7 Training Manual Review.

(a) The GS inspector must ensure that the content requirements of GACAR § 151.73 are satisfied, always taking into consideration the scope, size and complexity of the organization.

(b) The checklist used by the GS section for the review of the training manual is provided on form GACA_AVG_GSS_F-151-008.

(c) The GS inspector must ensure that the training manual incorporates all the items prescribed in GACAR § 151.73(a)&(b), and that:

- (1) The training program of each Certificate holder covers all training components or standalone courses relevant to its authorized Operations Specifications, regardless if training is delivered in house or it is outsourced, as the ground service provider holds ultimate responsibility for the correctness, completeness, and quality of the training delivered to its employees.
- (2) Each training component or standalone course description covers both initial and recurrent training, as applicable.
- (3) The training curriculums for all job functions (training matrix) conform to the Ground Operations Training (GOT) – Baseline Requirements prescribed in GACAR Part 68, Appendix A, Table B.
- (4) All course syllabi conform to the Ground Operations Training (GOT) – Baseline Requirements prescribed in GACAR Part 68, Appendix A, and/or any relevant guidance material issued or accepted by GACA in the context of GACAR § 151.5.

(d) Each training component or standalone course must identify:

- (1) The methods used for the delivery of such training pursuant to paragraph 16.2.2.6(d).
- (2) The means utilized for the provision of such training pursuant to paragraph 16.2.2.6(e).

(e) Each on-job training (OJT) element must have a syllabus and a schedule of activities for each OJT training session, including as applicable:

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- (1) The targeted learning objectives.
- (2) The anticipated duration of the activity.
- (3) The ground support equipment, systems or means to be utilized.
- (4) The scenario, processes, aircraft type and prevailing or simulated conditions in place.
- (5) The normal operating, contingency or emergency procedures to be followed and the functions or tasks to be performed.

A training needs analysis (TNA) should be provided if an organization chooses to deviate from the standards of GACAR Part 68 and provide customized knowledge or OJT training relevant to the level of expertise or background of particular students.

16.2.2.8 Review of E-Learning Courses.

(a) E-learning training, i.e. training via a network or electronic means without any communication or support by instructors (asynchronous training), can be delivered as Computer-based training (CBT), Web-based training (WBT) or Mobile-based training (MBT). In this case, the GS section must:

- (1) Review the syllabus of the course.
- (2) Evaluate the training material (demonstration compact disk or online material). For this purpose, the organization may have to provide unrestricted online access to the GS section. Use as reference the Ground Operations Training (GOT) – Baseline Requirements prescribed in GACAR Part 68, Appendix A or any relevant guidance material issued or accepted by GACA in the context of GACAR § 151.5.
- (3) Depending on the subject of the course, verify with the organization that any associated practical or OJT elements are addressed, and that both the required knowledge training and hands-on training are delivered, as appropriate.
- (4) Verify if and how examinations ensure positive identification of students and credible invigilation/supervision, where applicable.
- (5) Upon acceptance of the aforementioned E-learning training material, the GS section issues an acceptance letter to the applicant organization, or if the E-learning course is covered in the Training Manual it is accepted by default as part of that manual's acceptance.

16.2.2.9 Accepted Best Practice for Distance Learning.

For virtual/on-line training delivered real-time (synchronous) by an instructor, the following principles constitute acceptable best practice:

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(1) Course logistics:

- (i) The maximum number of participants should ideally be limited to 16 trainees;
- (ii) The instructor delivering virtual training is responsible for the student attendance records (recording of the virtual training session may assist);
- (iii) Non-attendance is managed in accordance with the "non-attendance" policy of regular in-classroom training;
- (iv) A policy on interruption of connection/loss of communication exists for the repetition of training and/or the re-involvement of participants affected by such interruption;
- (v) Examinations ensure positive identification of students and credible invigilation/supervision.

(2) Instructor requirements:

- (i) Instructor has received training covering at least the learning style, the teaching method associated to virtual/on-line instruction and familiarization to the virtual instruction system/software in use;
- (ii) Instructor has demonstrated the ability to manage time, the training media, equipment and tools;
- (iii) Instructor should present well-prepared training material as specified for the relevant lesson, unit or course.

(3) Equipment & tools:

- (i) The equipment/tools used for virtual instruction ensure communication without technical interruptions during the virtual training session;
- (ii) The equipment enable the instructor to achieve the same quality of instruction and training objectives as if training was delivered in a regular classroom environment;
- (iii) The equipment is able to ensure student's identification (visual when needed).

(4) Communication protocol:

- (i) Audio and video interactive communication is preferably maintained at all times;
- (ii) A policy for the use of virtual tools, such as "raise your hand, question," etc. is established;

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(iii) Active participation, collaborative work, view and discussion of presentation material is required.

16.2.2.10 Quality Assurance/Compliance Manual Review.

(a) The GS inspector must ensure that the requirements of GACAR § 151.101 are satisfied, always taking into consideration the scope, size and complexity of the organization.

(b) The checklist used by the GS section for the review of the quality assurance manual is provided on form GACA_AVG_GSS_F-151-007.

(c) The quality assurance manual is applicable to all ground stations/aerodromes of the service provider. However, the differences between the generic manual and the particularities of each ground station must be depicted in a document referred to as the “Local Quality Assurance/Compliance Supplement” for each specific ground station, according to GACAR §151.103.

(d) The local quality assurance/compliance supplement, where applicable, must be reviewed against the content requirements of GACAR § 151.103 to ensure that it addresses at least the following differences:

- (1) The local quality department’s organizational structure.
- (2) Special local quality procedures not described in the generic quality assurance/compliance manual.
- (3) Local audit and inspection plan.
- (4) Any additional items deemed appropriate by the GS inspector for the specific ground station under consideration.

(e) The organization may choose to address all differences in their generic quality assurance/compliance manual, or merge the local operational and quality assurance/compliance supplements together. This can be accepted by the GS section as long as it complies with the requirements of item (d) above.

(f) If the organization, in the context of its multinational profile and operations, is using a corporate quality assurance/compliance manual applicable to and originated from other countries, the GS inspector must additionally confirm that the local quality assurance/compliance supplement

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document:

- (1) Includes reference(s) to all relevant regulatory requirements of GACA, and in particular those defined in GACAR 151.5(b).
- (2) Includes a statement that the corporate quality assurance/compliance manual does not contradict any requirements prescribed in this part, or any other relevant GACA regulation, as in this case GACA regulations shall prevail.

16.2.2.11 Safety Management Manual (SMS) Review.

- (a) The SMS manual must comply with GACAR Part 5 and the requirements of GACAR § 151.23(a)4.
- (b) The checklist used by the GS section for the review of the SMS manual is provided on form GACA_AVG_GSS_F-151-15A.
- (c) The generic SMS manual is applicable to all ground stations of the certificated organization. However, differences between the generic SMS manual and each ground station, where applicable, can be described either in the generic manual or in a supplement document to the SMS manual for each ground station, hereinafter referred to as “local SMS supplement.” The following differences must at least be addressed:
 - (1) Local responsibilities.
 - (2) Local hazards and risk assessments.
 - (3) Local safety parameters and particularities relevant to the ground station.
- (d) The inspector should always keep in mind the scope, size, and complexity of the organization in the implementation of the above regulatory requirements.
- (e) Upon completion of the SMS manual review, the GS inspector must discuss the observations raised with the applicant organization in the course of the review meeting(s) discussed in paragraph 16.2.2.1.

16.2.2.12 Emergency Response Plan (ERP) Review.

- (a) In addition to the requirements prescribed in GACAR Part 5, the ERP must be consistent with the
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aerodrome's ERP (which is based on ICAO Annex 14 and Doc 9137, Part 7) at which the organization provides ground services, as prescribed in GACAR § 151.23(a)5.

(b) The checklist used by the GS section for the review of the ERP manual is provided on form GACA_AVG_GSS_F-151-015B. The GS section ensures that the ERP manual adheres to GACAR § 151.23(a)5 and addresses the following emergency cases, subject to items (d) and (e) of this paragraph:

- (1) Aircraft local standby.
- (2) Aircraft full emergency alert.
- (3) Aircraft accident on airport.
- (4) Aircraft accident off airport.
- (5) Airport/own facilities structural fire.
- (6) Ground servicing accidents where passenger and/or staff injury is involved.
- (7) Evacuation (passenger terminal or/and own facility).
- (8) Bomb threat (facilities or aircraft).
- (9) Unlawful interference (including hijacking).
- (10) Dangerous goods accident.
- (11) Contagious diseases / Pandemic.
- (12) Large spillage (fuel, hydraulics, lubricants of aircraft or/and own equipment)
- (13) National disaster.
- (14) Aircraft removal coordination plan (if delegated from a customer airline).

(c) The above regulatory requirements may not apply to their entirety to smaller or specialized organizations with a limited scope of services. Thus, the GS inspector should always keep in mind the scope, size and complexity of the organization in the implementation of the above regulatory requirements and the emergency cases that need to be covered in the ERP manual as a minimum.

(d) The GS inspector must expect organizations with a limited scope of services, such a aircraft catering, cargo/warehouse, fueling, aircraft cleaning, or passenger boarding bridge (PBB) operation to cover at least the following emergency cases:

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Emergency Case	Ground Service Provider's Scope of Services				
	Cargo	Catering	Fueling	Cleaning	PBB
(1)	N/A	N/A	N/A	N/A	N/A
(2)	N/A	N/A	N/A	N/A	N/A
(3)	N/A	N/A	N/A	N/A	N/A
(4)	N/A	N/A	N/A	N/A	N/A
(5)	Applicable	Applicable	Applicable	Applicable	Applicable
(6)	Applicable	Applicable	Applicable	Applicable	Applicable
(7)	Applicable	Applicable	Applicable	Applicable	Applicable
(8)	Applicable	Applicable	Applicable	Applicable	Applicable
(9)	N/A	N/A	N/A	N/A	N/A
(10)	Applicable	N/A	N/A	N/A	N/A
(11)	Applicable	Applicable	N/A	Applicable	Applicable
(12)	Applicable	Applicable	Applicable	Applicable	Applicable
(13)	Applicable	Applicable	Applicable	Applicable	Applicable
(14)	N/A	N/A	N/A	N/A	N/A

(e) For other organizations with a limited scope of services not covered in the table of item (d) above, e.g. marshalling, handling of passengers with reduced mobility (PRM), transportation, etc., the GS inspector should discuss with the organization their potential involvement in the various emergency cases and exercise best judgement along the principles of the above table, where applicable.

(f) The generic ERP manual may be applicable to all ground stations of the certificated organization. However, local responsibilities, emergency contact lists (telephone numbers), operational parameters and particularities relevant to each ground station, where applicable, must be described either in the generic manual or in a supplement document to this manual for each ground station/airport, hereinafter referred to as “local ERP supplement.”

(g) Upon completion of the ERP review, the GS inspector must discuss the observations raised with the applicant organization in the course of the review meeting(s) discussed in paragraph 16.2.2.1.

16.2.2.13 Acceptance of Manuals.

(a) Acceptance letters issued by the GS section for the five manuals mentioned in paragraph 16.2.2.1(a) must adhere to the following principles:

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(1) Prescribe the:

- (i) Title;
- (ii) Issue;
- (iii) Version/Edition;
- (iv) Date of issue;

(2) Provide an “open” acceptance, i.e., do not prescribe an expiration date.

(3) Only the approval letter for the Security Manual issued by the GACA Security department specifies an expiration date.

(b) All GS-granted acceptance letters are issued only at the end of the complete certification process, i.e. after the successful completion of the on-site audit/inspection, as additional changes in the manuals may be required in order to address potential non-conformances raised during the on-site audit/inspection.

16.2.2.14 Contractual Agreement /Service Level Agreement with Airport Operator.

(a) The GS inspector must ensure that the SLA/contractual agreement with the airport operator submitted by the applicant organization includes:

- (1) The scope of services to be provided at the airport, which must reflect the operational privileges prescribed in the Operations Specification of the Certificate holder for the subject ground station. No other services can be included.
- (2) Targeted key performance indicators (KPIs) / efficiency standards for measurable ground service parameters. For a typical ground service provider engaged in both passenger and ramp handling these may include:
 - (i) Passenger handling services;
 - (ii) Baggage handling services; and
 - (iii) Ramp handling services.
- (3) Targeted safety performance indicators (SPIs) and incident/accident rates consistent with the SMS of both the concerned organization and the airport operator.

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- (4) Any policies/conditions applicable to the ground service provider.
- (5) Designation of offices, spaces, and GSE staging area(s) allocated/leased to the ground service provider.
- (6) If the facilities operated by the ground service provider belong to the airport operator, clear allocation of responsibilities and accountabilities for maintenance, fire safety detection and suppression system serviceability, operational and technical inspections, cleaning, etc.

(b) The above may not be applicable to their entirety for ground service providers with a limited scope of services, such as into-plane fueling, aircraft catering, cargo/warehouse, aircraft cleaning companies, etc. In this case, the GS inspector must seek evidence of any equivalent contractual agreement signed between the prospective service provider and the airport operator, showing that the organization is authorized to operate and conduct business within the premises of the corresponding airport, and any other terms attached to this.

16.2.2.15 Review of Additional Documentation.

(a) For all facilities operated by a ground service provider which are not provided by the aerodrome operator, the certificated organization must present evidence of the facility’s certification or/and approval by the pertinent authority or aerodrome operator regarding its compliance with the applicable fire safety, health & safety, hygiene and security requirements.

Requirement/Standard	Acceptable Means of Compliance
Fire Safety	Credentials from the airport operator/ARFF/Civil Defense.
Health & Safety / Hygiene	Credentials from the Ministry of Health (MoH) or/and Food & Drugs Administration (FDA) relevant to the scope of work and services/activities, including perishable goods and temperature-controlled products, for: · Aircraft Catering organizations; and · Cargo/Warehouse organizations.
Security	Credentials from the GACA Security department or the airport operator/Air Force for facilities with both airside and landside access (access to secure/sterile airport areas).

(b) For into-plane fueling companies, the GS inspector must obtain the comprehensive audit report and the corresponding certificate of the latest inspection performed by:

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- (1) An external designated/registered JIG inspector not linked directly or indirectly to the company, i.e., “Inspected to JIG Standards” (IJS), or
- (2) Directly by the JIG organization.

The minimum acceptable rating in the corresponding audit report must comply with GACAR § 151.23(g).

(c) For aircraft catering service providers, the GS inspector must obtain a letter of no-objection by the MoH/FDA. In addition, it is strongly encouraged that these organizations obtain a HACCP (Hazard Analysis and Critical Control Points) or ISO 22000 accreditation. These standards address a management system in which food safety must be addressed through the analysis and control of biological, chemical, and physical hazards from raw material production, procurement, handling, manufacturing, distribution, and consumption of the finished product. The GS inspector should retain a copy of such accreditation, if it exists.

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Section 3. Post-holders Interview

16.2.3.1 Requirements for Post-holders.

(a) The GS section requires the organization to provide evidence that the prospective post-holder possesses the requisite knowledge and experience for the position. This can be fulfilled by the submission of the candidate's CV together with copies of key credentials (degrees, diplomas, certificates, etc.), and past employment references.

(b) The GS section must ensure that the candidate post-holder:

(1) Possesses sufficient knowledge and experience enabling them to perform the duties to which they are assigned. In this context, it may request any additional documents as evidence of formal training and work experience prior to inviting the nominated candidate for an interview.

(2) Is directly employed by the ground service provider on a full-time basis to exercise the duties and responsibilities relevant to the post.

(3) Unless authorized by the President or the situation pertains to paragraph 16.2.2.4(c)(3), does not hold any other post within the organization, and (4) Is able to understand, read, speak, and write satisfactorily in the English language.

(c) In consideration of GACAR § 151.43(b)3:

(1) For small organizations with a total of less than 50 staff in all their ground stations in the KSA, the GS section may accept the post-holder functions defined in GACAR § 151.43(a) to be assumed by one individual, with the exception of the quality assurance/compliance post-holder who must remain independent and free of any other duties and responsibilities, without prejudice to paragraph 16.2.2.4(c)(3).

(2) For ground service providers with a small number of ground stations or a limited scope of

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services, the GS section may accept that the operations post-holder at corporate level (where applicable) may also serve as the ground station post-holder of only one of the organization's ground stations.

(3) If intermediate organizational levels exist between the operations post-holder (at corporate level) and the ground station post-holders, as addressed in 16.2.2.4(c)(4), the GS section will implement the assessment process for the acceptance of all holders of such intermediate positions in accordance with this Section.

16.2.3.2 Post-holders Assessment Process.

(a) All post-holders, regardless of their discipline, must demonstrate in-depth knowledge of:

- (1) The GACARs and in particular Parts 4, 5, 7, 13, 68, 151 and 109 (as applicable).
- (2) The specific duties and responsibilities relevant to their position.
- (3) Their company's policies, processes, and procedures.

(b) The GS section invites the nominated post-holder after the documentation review process is concluded, or it nears conclusion.

(c) The assessment process includes both:

- (1) A supervised written assessment with questions derived from the GACARs, and
- (2) A structured interview based on operational and technical questions.

(d) The above questionnaires are prepared by the GS section using form GACA_AVS_GSS_F-151-004A for the oral part, and form GACA_AVS_GSS_F-151-004B for the written part. The questionnaires are handled and finalized by delegated staff of the AS department 24 hours prior to the interview's scheduled time, and are not shared with any other staff.

(e) The regulatory, operational, and technical questions must be relevant to the position and responsibilities of the post-holder.

(f) A bank of written and oral questions is maintained by the GS section and is updated and enriched on a regular basis.

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- (g) No less than 30% of the written or oral questions for each interview must be newly selected from the question bank (i.e. not to be identical with recent written examinations or interviews).
- (h) Written examinations must adhere to the following principles:
- (1) Be closed book.
 - (2) Candidates have their mobile phones switched off, and
 - (3) Be supervised during their full duration.
- (i) Oral interviews shall be held by at least three (3) pertinent GS staff designated by the AS GM.
- (j) The outcome of both written and oral assessments is recorded in form GACA_AVIS_GSS_F-151-025.

16.2.3.3 Passing Score.

- (a) The minimum passing score of the written examination is 70% and is derived from the sum of the scores for each answer, calculated as:
- (1) 1.0 point for each complete and correct answer
 - (2) 0.5 points for each incomplete or partially correct answer, and
 - (3) 0.0 points for each incorrect answer.
- (b) The minimum passing score of the interview is 70% and is calculated as the average score of the GS staff participating in the interview.
- (c) The total average minimum passing score for a successful post-holder is 70%, and is calculated as follows: $\text{Total score} = 60\% \times (\text{Written Score}) + 40\% \times (\text{Interview Score})$.
- (d) A candidate who has failed both parts of the assessment (i.e. both written and oral) may be given one last opportunity to undergo the full assessment within one month.
- (e) A candidate who has failed in terms of the total minimum passing score, as described in item (c)

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above, but has satisfactorily performed in one of the two parts of the assessment described in paragraph 16.2.3.2(c), i.e. the written assessment or the interview, may provisionally be accepted for a trial period of 6 to 12 months. In this case, the organization should apply again for the failed part of the assessment to be repeated prior to the expiration of the time period granted. If the candidate fails again this part, the organization should nominate another candidate.

16.2.3.4 Acceptance of Post-holders.

- (a) At the end of the assessment process, and depending on its outcome, a letter of acceptance or rejection is issued to the accountable executive of the organization by the AS GM.
- (b) The aforementioned letter must be sent to the organization within 5 calendar days from the date of interview of the post-holder.
- (c) If the ground service provider has been in operation, the acceptance of a post holder becomes effective from the date of issuance of the acceptance letter by the AS GM.
- (d) If the ground service provider has not commenced operations in the KSA, the acceptance of a post-holder shall be valid for a period not exceeding six months from the date printed on the Part-151 Certificate issued to the organization. Notwithstanding anything to the contrary, following this initial period the acceptance letter assumes an open validity.
- (e) If a candidate, who has successfully completed both parts of the assessment described in paragraph 16.2.3.3, possesses limited or no on-the-job experience relevant to the applied position based on their career credentials, the acceptance of the candidate as a post-holder shall be valid for a period not exceeding six months from the date printed on the Part-151 Certificate issued to the organization.

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Section 4. Demonstration of Readiness

16.2.4.1 Preparation for Initial On-site Inspection/Audit.

(a) After the revision of the key manuals is completed and the post-holders have been interviewed and accepted, the GS section assembles an inspection team led by a Principal Inspector to conduct the on-site audit and inspection of the organization/principal business headquarters and the associated main ground station/operations base of the applicant organization.

(b) The team is formed in accordance with paragraph 16.4.3.1.

(c) The GS inspector(s) participating in the on-site inspection/audit must have good knowledge of the reviewed manuals, as submitted in their final draft version. This can be fulfilled by:

- (1) Direct participation in the review process of the submitted manuals, and by.
- (2) Obtaining a thorough briefing by the inspector who reviewed the manuals.

(d) Before scheduling the on-site visit, the GS section forwards to the quality post-holder of the applicant organization the Pre-Audit Data Input form GACA_AVG_GSS_F-151-003, which has to be completed and returned to the GS section within 7 calendar days. The Pre-Audit form is crucial as it furnishes essential information which have to be verified during the on-site audit, such as:

- (1) Airline customers served (or expected to be served).
- (2) Number and breakdown of personnel.
- (3) Number and condition of ground support equipment.

(e) Upon receipt of the Pre-Audit Data Input form, the Principal Inspector coordinates with the organization for scheduling the on-site visit. The AS department must formalize the date and duration of the on-site audit/inspection via correspondence to the accountable executive of the organization.

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16.2.4.2 Conduct of On-site Audit/Inspection.

(a) The on-site audit/inspection is conducted in accordance with the principles described in Chapter 4 of this document.

(b) All key management personnel of the ground service provider at both the station and corporate levels, as defined in GACAR § 151.43 (post-holders), must be physically present throughout the entire audit process for each respective ground station during initial certification, certificate renewal, or when formally requested by the Authority.

(c) For the audit of the ground station organizational/corporate system, GS inspectors use checklist form GACA_AVS_GSS_CL-151-010 in accordance with paragraph 16.4.3.7.

(d) The audit must be extended to the GSE maintenance facility if this is owned or/and operated by the applicant organization within the airport premises, to ensure that the requirements of GACAR § 151.81 and § 151.85 are satisfied as prescribed in the checklist form GACA_AVS_GSS_CL-151-010. If maintenance is outsourced by the applicant organization, the GS inspector must request proof of evidence of a contract with a GSE maintenance provider.

(e) For the ramp safety inspection of the ground station, GS inspectors use the following documents in accordance with paragraph 16.4.3.7:

- (1) Checklist form GACA_AVS_GSS_CL-151-011, for integrated ground service providers.
- (2) Checklist form GACA_AVS_GSS_CL-151-012, for cargo/warehouse service providers.
- (3) Pre-Audit form GACA_AVS_GSS_F-151-003, for verifying the information completed by the concerned organization through sampling, as applicable and to the extent feasible.

(f) For GSE inspection, and in order to satisfy the requirements of GACAR § 151.83(a) and § 151.85(a)(3), the GS inspector must verify that:

- (1) GSE are inspected on a daily basis at the beginning and at the end of each shift, and such inspections are properly documented. Where there is only one daily technical inspection, ensure that an additional “handover” inspection procedure is established between shifts.
- (2) A “handover” inspection and acceptance procedure is established by the operations

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department for all GSE returned from maintenance prior to being released to operational service.

(3) The ground service provider has in place a GSE maintenance program, in paper or electronic form, for each type, brand, and model of the motorized and non-motorized electro/mechanical /hydraulic GSE they operate.

(4) The GSE maintenance program specifications are consistent with, and in no case lower than the requirements, specifications or standards of the GSE manufacturer's maintenance manual, service bulletins or recommendations.

(5) The GSE maintenance program covers at least the following aspects:

- (i) Technical inspections, i.e. daily / weekly / monthly, as applicable;
- (ii) Scheduled/periodic preventive maintenance tasks, including frequency and description;
- (iii) Replacement of components including frequency requirements and description;
- (iv) Copy of technical procedures/instructions or reference to those in the manufacturer's manuals, as applicable;
- (v) A current annual maintenance plan of items (4) and (5) above, which is updated yearly.

(6) Self-propelled GSE is equipped, or retrofitted, with proximity sensing and warning devices that provide the capacity to sense the proximity of an object, and transmit a visual and audible indication to the operator of the GSE's position to reduce the risk of impact with aircraft and other GSE.

(g) For the technical inspection of GSE by the airport operator, in the context of GSE airside permit issuance and renewal in accordance with GACAR § 151.83(d)/(e), the GS inspector should inquire if the airport operator employs appropriately trained and qualified personnel or outsources the GSE technical inspection to another qualified entity. It is noted that:

(1) The airport operator retains ultimate responsibility for the implementation, the quality and the completeness of the GSE technical inspection, whether the inspection is performed by its own personnel or by a subcontracted entity.

(2) The airport operator should immediately take all necessary actions to remove from the airside any GSE found to be unsafe for operation.

(h) For the Safety Management System (SMS) audit, GACA E-Book Volume 2 in conjunction with checklist form GACA_AVG_GSS_CL-151-010 are used.

(i) For the Emergency Response Plan (ERP) audit, checklist form GACA_AVG_GSS_CL-151-010 is

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used.

16.2.4.3 Initial Assessment of Manpower Adequacy.

(a) The GS section acknowledges that the minimum required number of ground staff for the turnaround of an aircraft/flight, and the corresponding planning of manpower deployment on the ramp or in the terminal are subjective, and depend on numerous parameters. These parameters may include but not limited to the following:

- (1) Aircraft type and technology: wide-body or narrow-body aircraft, cabin configuration, containerized or non-containerized cargo compartment.
- (2) Targeted turnaround time set by the airline: short turnarounds require a larger number of ground staff to cope with the anticipated workload compared to longer turnaround times.
- (3) Types of services requested: by default, the types of ground services requested by the airline drive the number of ground staff, e.g. airlines may or may not request services such as GPU, ACU, ASU, waste/potable water servicing, catering, in every single turnaround, etc.
- (4) Cross-qualification (multi-tasking) of ground staff: a single person may be able to perform more than one task during the turnaround, if the sequence of servicing enables that, and thus reduce the number of total ground staff required.
- (5) Level of Service (LoS): the targeted LoS required by the airline affects the headcount for specific functions, i.e., higher LoS requires more and better-trained staff.
- (6) Airline procedures: may pose additional requirements on ground staff headcount.
- (7) Expected Load Factor: same types of aircraft may have reduced anticipated load factors for different routes, thus reducing the headcount requirement for specific flights.
- (8) Special needs: a specific route may have more requirements in terms of passenger servicing, i.e., special passengers, overweight/excess baggage, etc., thus requiring additional staff for certain functions.
- (9) Airport systems, layout, rules, and procedures: Advanced airport systems, Minimum Connecting Time (MCT) and shorter travel distances, pushback or taxi-through stands, VDGS or marshaling stands, use of APU, etc. may have an impact on the headcount requirements for ground service providers.
- (10) “Planned” overtime: this affects the total headcount calculations, as less ground staff may be able to cope with the total workload of the handler if overtime is “built into” the rostering within the regulatory constraints.
- (11) Technologies employed by ground service providers: advanced technologies, such as IoT-based devices (Internet of Things) may reduce headcount requirements and significantly

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enhance efficiency.

(b) An indicative baseline manpower deployment is presented in Attachment B. The GS inspector comprehends that this is provided only for reference purposes and should not be used for the calculation of the minimum manpower requirements without considering all the parameters addressed in item (a) above.

(c) For initially assessing the adequacy of manpower, the GS inspector must first verify that:

- (1) The organization develops annual, monthly, weekly, and daily work schedules depicting the working hours and days-off for each full-time and part-time employee working on shift.
- (2) The rosters are in compliance with personnel duty period limitations, as prescribed in §151.93, and clearly identify the duty days, working hours, days-off and the function(s) to be exercised for each person.
- (3) The roster in use is up-to-date and is approved by the ground station manager or a senior person formally authorized by the ground station manager.
- (4) The organization has a qualified shift planner for the production of work schedules (rosters).
- (5) If the ground station is already in operation, the GS inspector must also verify the requirements of paragraph 16.4.3.8.

16.2.4.4 Initial Certification Non-Conformance Report (NCRE).

(a) The non-conformances recorded in the forms mentioned in paragraph 16.2.4.2 are compiled by the GS inspector into the initial certification Non-Conformance Report (NCRE) using form GACA_AVS_GSS_F-151-016A.

(b) This form is also used when a certificated ground service provider is audited for the addition of new privileges.

(c) In completing section C of the NCRE, the GS inspector must:

- (1) Clearly record the non-conformances observed using concise description and keywords.
- (2) Record the non-conformances in a sequence of criticality. The most critical non-conformances must be recorded first, i.e., subjects that may have an adverse impact on safety, followed by the secondary issues such as administrative items.

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- (3) Enter the standard/regulation with which the organization was found not compliant.
- (4) Describe the acceptable means of compliance, i.e., what the organization must do in order to comply with the standard/regulation to the satisfaction of the Authority, so that the finding raised can be promptly closed.

(d) The NCRE is reviewed and endorsed by the AS GM and forwarded to the accountable executive of the organization no later than 7 calendar days from the date of the on-site audit/inspection.

16.2.4.5 On-site Inspections by other GACA Departments or Organizations.

(a) The GACA Security department conducts an on-site inspection with regard to the Security Program implementation utilizing their departmental checklists. The department should notify the GS section upon closure of all non-conformances to their satisfaction, and promulgate a copy of the approval letter to the organization.

(b) The Ministry of Health (MoH) and the Food & Drugs Administration (FDA) conduct initial certification audits and oversight inspections of the aircraft catering and cargo facilities. In this context:

- (1) The GACA GS section shall notify and coordinate with the aforementioned authorities the initial certification plans.
- (2) The authorities will subsequently notify GACA of the outcome of their audits/inspections, as well as the closure of the findings raised in accordance with the Memorandum of Understanding (MoU) signed between the concerned parties.

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Section 5. Conclusion of Certification Process

16.2.5.1 Privileges Awarded in Operations Specifications.

(a) The GS inspector must ensure through the review of all submitted documentation, manuals, and the on-site audit and inspection that the applicant organization can carry out all privileges/functions /activities for which it has applied. This can be established only if the applicant organization:

- (1) Has all the means required physically in place to exercise its privilege(s)/functions, i.e. equipment, systems or/and facilities, and
- (2) Has all relevant processes and procedures in place for performing the specific privilege(s)/functions, and
- (3) All staff has received knowledge training and on-job-training (where applicable), and is formally assessed and qualified to exercise all the function(s)/tasks/activities for which the organization has applied.

(b) If one of the conditions of item (a) above is not satisfied, the GS inspector cannot accept the corresponding privilege/function, unless it is part of a contracted activity to another certificated ground services organization, and this is:

- (1) Indicated in the Application Form submitted, and
- (2) Defined in the contractual agreement between the applicant organization and its contracted entity.
- (3) Specified in the Ground Operations Manual or its Local Supplement of the applicant organization as activities/privileges “provided by a contracted certificated ground services organization.”

16.2.5.2 Preparing the Final Conformance Summary.

(a) The organization must implement the acceptable means of compliance described in 16.2.4.4(b)(4) or define a relevant corrective action plan (CAP) if it is not feasible to address them on time to the

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satisfaction of the GS section.

(b) The corrective action plan submitted by the organization must be reliable and include a realistic timetable/deadlines for addressing all corresponding non-conformances to the satisfaction of the GS section.

(c) The GS inspector can only accept non-safety-critical items to be part of a corrective action plan for the purpose of recommending the certification of an organization. Critical non-conformances (findings) with clear and adverse impact to operational safety must be satisfactorily addressed and closed before recommending the certification of an applicant organization in accordance with item (e) below.

(d) Provided that the corrective actions or the submitted corrective action plan are acceptable, the GS Principal Inspector completes the Final Conformance Summary & Recommendation for the organization using form GACA_AVS_GSS_F-151-005. The form is completed in the following sequence:

- (1) First, Section F, marking the outcome for each requirement.
- (2) Second, Section G, with any applicable exceptions, limitations or conditions that may be part of the Operations Specifications of the Certificate to be issued.
- (3) Last, Section D, with the final recommendation of the team who conducted the audit, ensuring that the original Non-Conformance Report (NCRE) is attached.

(e) The available recommendations are:

- (1) The “organization was found to comply with Part 151,” and therefore it can be certificated.
- (2) The “organization was found to comply with Part 151 except deficiencies/items denoted with “I” (Section F of the form). Therefore, the organization can be certificated provided that:
 - (i) The deficiencies have no clear, present and adverse impact on operational safety.
 - (ii) A corrective action plan with a realistic timetable/deadline for addressing the corresponding non-conformances has been accepted by the GS section.

(3) “Acceptance of all privileges,” for which the organization has applied. In consideration of paragraph 16.2.5.1, this suggests that there are no exemptions, limitations or conditions in the

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Operations Specifications granted.

(4) “Acceptance of privileges with exemptions/limitations/conditions” (Section G of the form). These refer only to privileges, rather than any other exemptions that may have been granted after a petition by the organization, and must be described in a concise way as they will be reflected in the Operations Specifications.

(5) It is emphasized that there shall be two concurrent recommendations, either (1) or (2) and in parallel (3) or (4), as also highlighted on the relevant form.

(f) Form GACA_AVS_GSS_F-151-005 is an internal GACA document of proprietary nature and therefore it is not disclosed to the organization. However, a copy of section F of this form is formally forwarded to the executive accountable if there are pending items/deficiencies as per item (e)(2) above.

(g) The AS department presents its final recommendation for the certification of the applicant organization to the President for obtaining acceptance.

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Section 6. Award of Certificate and Operations Specifications

- (a) The Certificate is designed according to GACA standards while the Operations Specifications format complies with GACAR § 151.27.
- (b) The Certificate number is comprised of the serial number of the applicant organization (numerical code).
- (c) Each Certificate number:
- (1) Is unique for each ground station of the concerned ground service provider, and
 - (2) Does not change with the renewal or amendment of the Certificate.
- (d) The Certificate has a validity period of two (2) years unless a smaller period is specified, as per GACAR § 151.3. The GS section may consider a one (1) year validity period in the following cases:
- (1) Initial certification of a new ground service provider.
 - (2) Numerous open deficiencies/non-conformances at the end of the certification process, in accordance with item (e)(2) of paragraph 16.2.5.2.
 - (3) Uncertainty regarding the sustainability of the organization's operational capability for all or some of the privileges for which the ground service provider has applied.
- (e) The Certificate of each ground service provider displays an issuance date and an expiration date.
- (f) The Operations Specifications issued to each ground station display the:
- (1) Issuance date and,
 - (2) Certificate number, together with the sequence letter code of the ground station, i.e. A, B, C, and the corresponding IATA 3-letter airport code in the form "### – B – RUH."
- (g) After the Certificate is printed by the AS department, the GS team conducts a final review of all relevant documentation and completes form GACA_AVS_GSS_F-151-023 which is endorsed by the

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Section 7. Certificate Renewal

16.2.7.1 Process of Certificate Renewal.

(a) For the renewal of the ground service provider's Certificate, the organization is expected to adhere to GACAR § 151.37 and submit at least 90 calendar days before the Certificate expires:

- (1) Application form GACA_AVS_GSS_F-151-001, and
- (2) The Pre-Audit Input Data Form GACA_AVS_GSS_F-151-003.

(b) The Ministry of Health (MoH) and the Food & Drugs Administration (FDA) are notified by the GS section well in advance of the Certificate renewal date, in order to conduct their audits and inspections in a timely manner as per paragraph 16.2.4.5(b). Likewise, for tactical oversight purposes, the organization initiating the process will notify the other party of their intention to conduct an oversight inspection, if the presence or assistance of the other party is required.

(c) Upon reception of the application form, the GS section follows the process described in Sections 2 to 6 of this Chapter but in consideration of the following fundamental variations:

- (1) Verify with the GACA Economic department that the Economic license of the subject organization is valid or that it will be uneventfully renewed.
- (2) The Regulatory Compliance Report does not require re-submission.
- (3) The five key manuals, i.e. the Ground Operations, Quality/Compliance, Training, Emergency Response Plan, the SMS, and the local supplement manuals do not require re-submission unless there are changes in their content for which a new review must be performed by the GS section as per paragraph 16.2.9.1.
- (4) Depending on the date of its expiration, the Security Program must be resubmitted for renewal directly to the GACA Security department by the Certificate holder. The GS section must verify that GACA Security department has accepted the resubmitted Security Program and its

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expiration date is renewed, where applicable.

(5) Post-holders do not require to be re-interviewed.

(6) After the on-site audit/inspection:

(i) The GS inspector completes the certification renewal NCRE form GACA_AVG_GSS_F-151-16B (instead of form 16A) in accordance with paragraph 16.2.7.2, in order to record the non-conformances together with the “level” of criticality of each non-conformance (findings) observed, and the corresponding date of closure in accordance with Section 4 of Chapter 4 of this document;

(ii) The organization is also expected to adhere to paragraph 16.4.4.6 and submit a Root Cause Analysis using Part B of form GACA_AVG_GSS_F-151-017 for each of the audit non-conformances raised;

(iii) Subsequently, the GS inspector must use Part C of the aforementioned form (GACA_AVG_GSS_F-151-017) in accordance with paragraph 16.4.4.1(d).

(d) Upon completion of the renewal process, the GS section issues the new Certificate in accordance with Section 6 of this Chapter.

(e) The date of issue of the renewed Certificate must be the following calendar day from the expiration date of the Certificate being replaced. It is crucial that there is no gap between the expiration date of the previous Certificate and the date of issue of the new Certificate.

(f) The date of the Operations Specifications remains unchanged.

(g) The Certificate number remains the same at all times.

16.2.7.2 Completing the Certificate Renewal Non-Conformance Report (NCRE).

(a) For Certificate renewal, the GS inspector uses form GACA_AVG_GSS_F-151-016B to record all relevant non-conformances using the same principles of paragraph 16.2.4.4.

(b) The difference between the Initial NCRE form and the Renewal NCRE form is that non-conformances observed during Certificate renewal are additionally assigned a “level” of criticality in accordance with paragraph 16.4.4.2.

(c) For Level-1 findings, the procedure of paragraph 16.4.4.3 shall be followed by the GS inspector at

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the time of the audit/inspection, and all relevant actions must be recorded in the relevant column of the above mentioned NCRE form.

(d) For all findings, a target date for the organization to return Part B of form GACA_AVS_GSS_F-151-017 shall be inserted by the GS inspector in accordance with paragraph 16.4.4.3. This target date should be realistic and take into consideration the date that the NCRE form is forwarded to the organization.

(e) The NCRE for the Certificate renewal is reviewed and endorsed by the AS GM, and is forwarded to the accountable executive of the organization within 7 calendar days from the date of the on-site audit/inspection, for instigating relevant corrective actions in accordance with paragraph 16.2.5.2.

(f) The issuance of the renewed Certificate is in accordance with Section 6 of this Chapter.

16.2.7.3 Reserved.

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Section 8. Reserved

16.2.8.1 Reserved.

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Section 9. Post-Certification Routine Processes

16.2.9.1 Amendment of Manuals.

(a) For the submission of an amended manual, the organization must ensure that:

- (1) A cover letter, describing the purpose of revision, is attached.
- (2) The revised manual is submitted in both hard and soft copies, unless otherwise requested.
- (3) All revisions (changes, additions or deletions) are be clearly traceable and identifiable, as indicated in Attachment Z.
- (4) The date, version, and revision number are indicated on every revised page of the manual.

(b) The GS inspector reviews the changes in accordance with Section 2 of this Chapter, and any observations are sent in writing to the organization for corrective actions.

(c) When the GS inspector is satisfied with the amendment(s)/corrections, a letter of acceptance is issued in accordance with paragraph 16.2.2.13 of this Chapter.

16.2.9.2 Amendment of Operations Specifications – General.

The Operations Specifications of a Certificate holder, as these are outlined in GACAR § 151.27, detailed in GACAR § 151.1(b) and (c), and codified in paragraph 16.1.1.2, can be amended:

(a) As a result of a Certificate holder's application, using form GACA_AVS_GSS_F-151-001, for adding or removing privileges from its Operations Specifications in accordance with paragraphs 16.2.9.3 and 16.2.9.4 of this Section respectively; or

(b) In accordance with GACA E-Book Vol. 15, Chapter 11 in case of a change in the Certificate holder's operating environment or when the Authority has specific safety concerns, and

(c) In accordance with paragraph 16.4.5.2 of this document regarding the suspension or revocation of

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privileges.

16.2.9.3 Addition of Privilege(s) to Operations Specifications of Ground Station.

(a) When a certificated organization applies for the addition of privileges to the Operations Specifications of a ground station, the GS section:

- (1) Considers if the new privilege(s) are in the interest of aviation safety or/and enhance the level of service at the subject ground station in accordance with GACAR § 151.25 and § 151.33.
- (2) Communicates with the GACA Economic department to verify that the addition of the aforementioned privilege(s) is accepted.

(b) The GS section must:

- (1) Follow the principles of paragraph 16.2.5.1 to ensure that the organization is qualified to carry out the new privileges/functions/activities.
- (2) Review the corresponding amended manuals, i.e. Operations, Training and Local Supplement manuals, to ensure that they reflect the new privileges, as well as any new required procedures, training or equipment, as applicable.
- (3) Prepare and conduct an on-site audit in accordance with Section 4 of this Chapter to validate the above.
- (4) Complete the Conformance Summary & Recommendation form GACA_AVS_GSS_F-151-005 in accordance with Section 5 of this Chapter.

(c) Upon acceptance of the new privilege(s), the GS section must:

- (1) Issue new acceptance letter(s) for the updated manual(s) in accordance with paragraph 16.2.2.13.
- (2) Re-issue the Operations Specifications with a new issuance date. It is noted that only the Operations Specifications need to be re-issued and not the Certificate.
- (3) Request a copy of the updated SLA/contractual agreement with the airport operator, where applicable, to confirm that the corresponding new privilege(s) are reflected in the expanded scope of services.

16.2.9.4 Removal of Privilege(s) from the Operations Specifications.

(a) When a certificated organization applies for removing a privilege, the GS section establishes the

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reasons for the organization's request and:

- (1) Issues a new acceptance letter for the updated manual(s), where applicable, after the corresponding privilege(s) are removed from the scope of services prescribed in that manual.
- (2) Re-issues the Operations Specifications with a new issuance date.
- (3) Notifies in writing the GACA Economic department for the privilege(s) removed.
- (4) Requests a copy of the updated SLA/contractual agreement with the airport operator, where applicable, to ensure the removal of the corresponding privilege(s) from the scope of services.

(b) Privileges can be removed by the Authority:

- (1) In accordance with paragraph 16.2.9.2(b) or;
- (2) If an administrative discrepancy is discovered, which has led to a privilege mistakenly awarded to an organization. In this case, the GS section follows steps (2) to (4) of item (a) of this paragraph.

(c) Privileges can be suspended or revoked by the Authority in accordance with GACAR § 151.33 and paragraph 16.4.5.2 of this document.

16.2.9.5 Addition of a New Ground Station.

(a) If a ground service provider who already holds a Certificate wishes to add a new ground station, the organization is required to adhere to GACAR § 151.23 and submit application form GACA_AVS_GSS_F-151-001 for the new ground station.

(b) For the subject process, there is no need to resubmit the generic manuals at the corporate level as outlined in 16.2.2.1 (i.e. Ground Operations, Quality/Compliance, Training, and SMS manuals), unless:

- (1) There has been a change to any of these manuals; or
- (2) The local operations and quality assurance/compliance supplements are incorporated into the generic Ground Operations or/and the Quality Assurance/Compliance manuals respectively.

(c) Acceptance of the local supplement manuals must be conducted in accordance with Section 2 of this Chapter.

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- (d) The GS section forwards the application form (front and back pages) to the GACA Economic department to confirm their consent/no-objection for the addition of a new ground station and the privileges for which the organization has applied.
- (e) The interview of the local ground station post-holder is conducted in accordance with Section 3 of this Chapter.
- (f) The on-site audit/inspection of the new ground station is conducted in accordance with Section 4 of this Chapter.
- (g) The conclusion of the certification process is in accordance with Section 5 of this Chapter.
- (h) The new ground station is awarded Operations Specifications in accordance with Section 6 of this Chapter.

16.2.9.6 Application for GSE Service Life Extension.

- (a) If an organization applies in the context of GACAR § 151.83(f) for the service life extension of its ground support equipment (GSE), the GS section must require from the organization the following:
- (1) A risk assessment for the GSE to be exempted including:
 - (i) The “severity” of potential damage by the GSE. This is based on the criticality of the equipment’s function and the likelihood of causing damage to an aircraft or another critical accident;
 - (ii) The “probability” of the GSE malfunctioning and causing an accident. This must be based on statistical information derived from the last 5 years of the equipment’s track record of malfunctions regarding the number of workshop visits per year for corrective maintenance (CM) and the type of the corresponding malfunctions;
 - (iii) The “risk matrix,” which combines the estimated probability and severity from above in order to calculate the “resulted level of risk” for the specific GSE.
 - (2) A technical report for the specific GSE from the corresponding GSE manufacturer or its authorized technical representative in the KSA or an independent technical/maintenance

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organization with experience on the relevant types of GSE. This report is expected to provide:

(i) A comprehensive description of the GSE current technical condition, covering the engine, chassis, all essential structural, mechanical, electrical, hydraulic components, all specialty systems or equipment relevant to its function and required for the intended purpose of use, the overall exterior and interior condition, the testing and functionality of the GSE and all of its provisions/systems as a whole, and any potential overhauls or component replacements;(ii) A succinct recommendation regarding the extension of the service life of the equipment and the proposed time period (in years) of its extension.

(b) The GS section expects that the “risk matrix” described in item (a)(1) above classifies risk in three categories and denotes it (with color coding) as follows:

(1) Acceptable. Where the assessed risk falls into the green area, it may be accepted without further action.

(2) Unacceptable. Where combinations of “severity” and “probability” cause risk to fall into the red area, the risk would be unacceptable and further work would be required to design an intervention in order to eliminate the associated hazard or control the factors that lead to higher risk, i.e., probability or severity.

(3) Acceptable with Mitigation. Where the risk assessment falls into the yellow area, the risk may be accepted under defined conditions of mitigation. Defining an operational or maintenance procedure would constitute a mitigating action that could make an otherwise unacceptable risk acceptable, as long as the defined procedure is implemented. These situations may also require special emphasis on the quality and safety assurance effectiveness of the organization.

(c) After receiving the documentation described in item (a) above, the GS section sends this documentation to the airport operator for review and seeks conformation from them that the subject GSE have been inspected and found to be in acceptable and safe condition for continued operation on the airside.

(d) The GS section notifies in writing the outcome received from the Airport operator to:

(1) The applicant organization, and

(2) The corresponding airport operator is copied to this correspondence.

16.2.9.7 Temporary Replacement of Post-holder.

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(a) In the event of a post-holder's position becoming vacant, due to resignation or any other reason, the certificated organization must immediately appoint a suitable replacement in an acting capacity and simultaneously notify the Authority in accordance with GACAR § 151.43.

(b) Upon the required notification by the Certificate holder for the temporary replacement of a post-holder, the GS section:

- (1) Assesses the credentials of the candidate submitted by the organization in accordance with GACAR § 151.43 and paragraph 16.2.3.1 of this Chapter.
- (2) The Authority may reject the temporary appointment if the nominated individual does not meet the qualification requirements of GACAR § 151.43 and paragraph 16.2.3.1.
- (3) If the temporary replacement is accepted, the GS section issues a temporary acceptance letter to the organization with a validity of 60 days. No person may serve in an acting capacity as a post-holder beyond this period unless otherwise authorized by the President as per GACAR § 151.43.

16.2.9.8 Nomination of New Post-holder.

Upon the required notification by a Certificate holder for the nomination of a new post-holder as a permanent replacement, the GS section invites the nominated post-holder for an interview following the process described in Section 3 of this Chapter.

16.2.9.9 Move of Post-holder to Different Organization or Domain.

(a) An active post-holder accepted by the Authority who moves to the same post-holder's domain but in a different ground service provider must repeat the oral part of the interview described in paragraph 16.2.3.2.

(b) An active post-holder accepted by the Authority who moves to a different post-holder's domain within the same or a different service provider must undergo both parts of the interview described in paragraph 16.2.3.2, i.e. the written assessment and the interview.

- (1) Exception to the above is the ground station post-holder moving (i.e. promoted) to the domain of the operations post-holder at the corporate level within the same organization, who does not need to repeat any part of the process described in paragraph 16.2.3.2.

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(c) In all of the above cases, the GS section issues a new acceptance letter to the concerned organization in accordance with paragraph 16.2.3.4 of this section.

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Section 1. Work Permit Applicability

(a) With the exception of item (d) of this Section, the available job functions and associated privileges for which a work permit (WP) must be issued in accordance with GACAR § 68.3 are the following:

(1) Ground Support Equipment (GSE) Operation: a person who is operating one or more of the following motorized or non-motorized categories of GSE and of any type:

- (i) Pushback tractor, in the context and within the scope of providing ground services;
- (ii) High-loader;
- (iii) Cargo loader (upper/main/lower deck ULD/container loader);
- (iv) Conveyor belt;
- (v) Passenger/Crew bus (for airside use);
- (vi) Passenger steps;
- (vii) Air Start Unit (ASU) / Ground Power Unit (GPU) / Air Conditioning Unit (ACU). in the context and within the scope of providing ground services.;
- (viii) Fuel dispenser vehicle;
- (ix) Fuel bowser;
- (x) De-icing / Anti-icing vehicle;
- (xi) Lavatory Service Units / Potable Water Units;
- (xii) Baggage tractor;
- (xiii) ULD transporter;
- (xiv) PRM vehicle (medical lift);
- (xv) Catering truck/vehicle (main or upper deck);
- (xvi) Any other equipment accepted by the Authority;

(2) Aircraft Marshalling: any person who acts as an aircraft marshaller in the context and within the scope of providing ground services.

(3) Dangerous Goods Handling: a person who is handling dangerous goods in the context of their job description and responsibilities, requiring appropriate training as per ICAO Doc. 9284

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specifications.

(4) Load control & dispatching: a person involved in the load planning; aircraft weight and balance calculations; issuing loading instruction reports, notification to captain and load sheets; preparation of flight documentation; messaging; telecommunications; and crew administration.

(5) Loading Supervision: a person involved in the coordination and supervision of all activities regarding the loading and unloading of aircraft, as well as the operation (where applicable) of cargo loading equipment.

(6) Passenger handling / Customer Service Staff: a person involved in providing any kind of assistance to arriving, departing, transferring or transiting passengers, including the operation of a departure control system, checking tickets and travel documents, registering baggage and carrying it to the designated area(s), escorting passengers for operational reasons.

(7) Ramp Supervision / Turnaround Coordination: a person who has the overall responsibility, coordination or control of an aircraft's turnaround and the associated ramp activities, solely or in parallel with other functions.

(8) Headset Operation: a person who communicates directly with the pilots in the context of ground services, via means of a headset directly linked to the cockpit or via means of radio telecommunications for the purpose of the arrival, re-positioning, provision of information, or departure of an aircraft.

(9) Cargo Handling: a person involved in the coordination and supervision of the physical handling of export/outgoing cargo or mail; physical handling of import/incoming cargo or mail; handling of related documents; customs procedures; implementation of any security procedures between the on-airport cargo warehouses and the aircraft; the cargo and mail handling at the on-airport or/and bonded cargo warehouses/facilities.

(10) Aircraft Catering: a person involved in the transport, loading on to and unloading from the aircraft of catering supplies (food, beverage or other relevant supplies).

(11) Into-Plane Fueling Operation: a person involved in the execution of fueling or defueling operations including the control of the quality and quantity of fuel deliveries.

(12) Baggage Handling: a person involved in the coordination or supervision of the sortation of

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baggage in the designated area(s); loading or unloading from the relevant devices; transfer of baggage from the designated area(s) to the reclaim area.

(13) Baggage reconciliation: a person in charge or involved in the implementation, coordination or supervision of the baggage reconciliation process, either manually or electronically.

(14) Passenger Boarding Bridge Operation: a person who is operating a passenger boarding bridge, including personnel of the airport operator.

(15) Aircraft Cleaning: the person involved in the implementation, coordination or supervision of the interior cabin cleaning or exterior aircraft cleaning.

(b) The above defined job functions may include additional sub-items described in the IATA Standard Ground Handling Agreement (SGHA) of the Airport Handling Manual (AHM). In this case, the GS inspector must ensure that these sub-items are also clearly reflected in the scope of services of the concerned organization, and are authorized in the Operations Specifications of the concerned organization.

(c) The work permit is valid only for one aerodrome and ground station location identified on the permit. The holder may not exercise their job function privilege(s) at an aerodrome different from the one identified on the work permit unless they comply with the provisions of paragraph 16.3.4.4 of this document.

(d) The requirement for issuing a Work Permit (WP) under GACAR Part 68 for the job functions described in item (a) above is not applicable to:

(1) GACAR Part 66 licensed staff who perform any of these functions for the purpose of aircraft maintenance under the responsibility of an organization certificated under GACAR Part 119 or Part 145.

(2) Staff of aerodrome operators certificated under GACAR Part 139, 138 or 137 who operate the aerodrome's fixed ground support equipment as part of its permanent infrastructure.

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Section 2. Training Requirements

16.3.2.1 Training Certificates Required.

(a) The GS staff in charge of the work permit issuance process must ensure that each applicant for a ground services work permit has submitted the necessary training certificates or records required in accordance with GACAR § 68.7. These must include the:

- (1) Mandatory training components.
- (2) Training on the specific job function(s), which must encompass the employer's manuals, policies, operating, contingency and emergency procedures.
- (3) Recurrent training, where applicable, as per paragraph 16.3.2.2 of this Section.

(b) Training certificates and records are expected to display the:

- (1) Full name of the applicant.
- (2) Title/description of the training course attended.
- (3) Date of attendance.
- (4) Designated post-holder's and instructor's names and signatures for certificates, or the instructor's name and signature for training records.
- (5) Result/outcome (grade) of the training course. It is noted that training certificates may not necessarily display the grade.
- (6) Formal endorsement by the organization, i.e., seal/signature.

(c) Additional certificates are required for the following job functions:

- (1) ICAO Level 3 English Language Proficiency (ELP), or equivalent, for headset operators or radio operators involved in direct communication with pilots in the context of their job function.
- (2) Dangerous Goods (DG) training categories, in consideration of ICAO technical requirements, IATA DGR, and GACAR Part 109 requirements:

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- (i) Cat. 1 for shippers;
- (ii) Cat. 2 for packers;
- (iii) Cat. 3 for freight forwarders;
- (iv) Cat. 6 for cargo acceptance staff;
- (v) Cat. 7 for cargo warehouse staff;
- (vi) Cat. 8 for ramp staff;
- (vii) Cat. 9 for passenger services staff;
- (viii) Cat. 10 for load control and loading supervision staff.

(3) Required licenses relevant to the job function:

- (i) Civil driving license of a type corresponding to the GSE or vehicles operated;
- (ii) Airport driving license;
- (iii) Load control license issued by an airline or an IATA accredited organization.

16.3.2.2 Acceptable Training Certificates.

(a) The GS section may accept training certificates, including recurrent training, if they are provided by the following entities:

- (1) A GACAR Part 151 certificated organization.
- (2) An entity certificated by GACA to provide relevant training.
- (3) An institution accredited by a national or international government agency, provided that its curriculum and syllabi comply with the ground operations training baseline requirements of GACAR Part 68, Appendix A.
- (4) An aviation authority of an ICAO contracting state, or a training organization accredited by such aviation authority.
- (5) IATA or an IATA-accredited training organization.
- (6) A national or international air operator.
- (7) JIG (Joint Inspection Group) or a JIG-accredited training organization for ground personnel involved in into-plane fueling.
- (8) The manufacturer or authorized vendor of specialized systems and GSE.
- (9) The airport operator for its own infrastructure (e.g. passenger boarding bridges, GPU, baggage handling, baggage reconciliation systems, etc.), rules, procedures and airside driving.

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16.3.2.3 Conformity, Currency, and Recency of Training.

(a) Conformity: The GS section establishes the conformity of training modules to the requirements prescribed in GACAR Part 68, Appendix A during the:

- (1) Initial certification process (review of training manual/relevant material, and on-site audit).
- (2) Tactical oversight performed in accordance with Chapter 4 of this document and paragraph 16.3.4.5.

(b) Currency: The GS section must ensure that the currency requirements prescribed in GACAR § 68.7(c) are met for the following functions/subjects:

- (1) GSE operation.
- (2) Load Control / Mass & Balance.
- (3) Dangerous Goods handling (as per ICAO & IATA DG Regulations).
- (4) Fueling operations.
- (5) Headset operation/radio telecommunication.
- (6) Safety Awareness (related to the airport/airside environment).
- (7) Security awareness.

(c) The GS section must ensure that the initial or recurrent training certificates submitted for the above functions/subjects have not been issued more than 22 months prior to the date of the work permit application. This provides a minimum buffer time of 2 months between the application date and the issuance of the work permit.

(d) Recency: During on-site audits and tactical oversight the GS section may perform sample checks for compliance with the recency requirements specified in GACAR Part 68, Appendix A.

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Section 3. Work Permit Submission & Review Process

16.3.3.1 Conditions for Work Permit Application.

(a) The GS section accepts a work permit (WP) application only if submitted by one of the below organizations for their own or contracted staff, hereinafter referred to as “sponsoring” organizations:

- (1) A GACAR Part 151 certificated organization, or in the process of certification.
- (2) A self-handling commercial air operator under GACAR Part 121, Part 125, or Part 135.

(b) Contracted staff employed on a short or long-term basis must be accepted only if applied through their sponsoring organization.

(c) Prior to accepting any applications from a sponsoring organization, the GS section must confirm with the concerned organization the senior person(s) acceptable to the Authority to serve as the focal point for the work permit process. The focal point holds the power of attorney to sign and submit applications for work permit or to delegate this responsibility to other trusted persons within his/her organization. Such delegated persons, if any, must be:

- (1) Notified to and accepted by the GS section.
- (2) Assigned individual access passwords by the GACA IT department for the online processing and submission of work permit applications.

16.3.3.2 Submission of Work Permit Application.

(a) Online process: the work permit application is submitted by the focal point (or their delegated people) of the sponsoring organization via the GACA online automated application system, following the steps prescribed online, and the relevant instructions provided to them by the GACA IT department.

(b) Manual (backup) process: the application form GACA_AVS_GSS_F-068-001A is submitted by

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the focal point (or their delegated persons) of the sponsoring organization via e-mail to the designated address of the GS section, attaching all documents described in paragraph 16.3.3.3 of this Section. In this case:

- (1) The application is assigned a unique 12-digit reference number by the GS staff.
- (2) The unique 12-digit reference number assigned is of the form: “XXXX (year) XX (month) XX (day) XXXX (number of WP processing sequence of the day received, i.e., 1, 2, 3, etc.)” printed in a consecutive manner without blanks between the numerical characters.

16.3.3.3 Review of Work Permit Eligibility.

(a) The pertinent GS staff must ensure that the applicant:

- (1) Is eligible to apply in terms of age, i.e., is at least 18 years old.
- (2) Did not hold a previous work permit that has been permanently revoked or is blacklisted by GACA. For verifying this during manual (backup) processing, the GS staff checks the corresponding GACA database using a combination of key search parameters such as the work permit number, full name, national ID or Iqama number and passport number of the applicant.

(b) The GS staff receiving and processing an application (online or manually) must confirm that the following items have been simultaneously submitted in PDF format, unless otherwise specified:

- (1) Properly completed online application, or form GACA_AVS_GSS_F-068-001A if manually submitted. If any items have not been completed, or signatures are missing in the manual (backup) process, the application cannot be processed and the sponsoring organization is notified accordingly.
- (2) Copy of all relevant training certificates, as per Section 2 of this Chapter.
- (3) A written statement attesting that the employee:
 - (i) Has received all applicable theoretical, practical and on-the-job training relevant to the job function(s) and work location/aerodrome for which the organization is applying;
 - (ii) Has successfully completed an operational assessment by the sponsoring organization before being allowed to exercise the responsibilities of their job function(s), and was found to be qualified and eligible to exercise the privileges for which the sponsoring organization is applying;
 - (iii) The aforementioned statement is signed by the sponsoring organization’s official

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accepted by the Authority. This person can be the accountable executive or an existing post-holder (operations/station manager, training or quality assurance/compliance) of the sponsoring organization.

- (4) Copy of national identity card, or Iqama.
- (5) Copy of the passport, where available or necessary to verify the spelling of name in Latin characters.
- (6) Copy of the airport security badge.
- (7) Photograph of the person on white background, in JPG format.
- (8) Evidence of payment of the relevant application fee. This may accompany each individual application separately or it may correspond to a number of applications submitted by the sponsoring organization, i.e., a lump sum paid for a certain batch of applications submitted.
- (9) Required licenses in accordance with paragraph 16.3.2.1.

(c) The GS staff must assess the completeness, accuracy, and legitimacy of the above documents submitted online or manually.

(d) In the context of GACAR § 68.1(b)(5), seasonal staff temporarily brought from abroad for reasons of operational necessity must comply with the provisions of paragraph 16.3.4.4

16.3.3.4 Work Permit Acceptance and Issuance.

(a) Upon online acceptance by the pertinent GS staff, the application is automatically forwarded to the Licensing department for issuance.

(b) For the manual (backup) acceptance of applications, GS staff completes form GACA_AVG_GSS_F-068-001B, using the previously assigned reference number of the application. The application is subsequently forwarded to the Licensing department for issuance.

(c) The numbering system of the issued work permit cards follows a simple consecutive order, i.e., 001, 002, 003, etc.

(d) Each work permit number:

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- (1) Is unique.
- (2) Does not change with the renewal or amendment of the work permit, and
- (3) It always corresponds to the same person, unless is cancelled by the AS department.

(e) The issuance of a new work permit may not take more than 15 calendar days from the date of the online application submission, if all requirements are met. The manual (backup) process may take up to 60 calendar days.

(f) The sponsoring organization is notified for the issuance of the corresponding work permit(s), in order to collect them from the Licensing department. This notification is made either from the:

- (1) Online system automatically, or
- (2) The GS section via e-mail.

16.3.3.5 Work Permit Application Rejection.

(a) If an on-line application is rejected by the GS section, the GS staff must briefly describe the reasons of the rejection. The sponsoring organization will be automatically notified through the system in order to take the appropriate corrective actions.

(b) If an application is rejected by the GS section during its manual (backup) processing, the pertinent GS staff must notify the sponsoring organization via e-mail for the reasons of the rejection in order for the organization to take the necessary corrective actions.

(c) Once the issue(s) of rejection have been resolved to the satisfaction of the GS section, the GS staff proceeds with the WP issuance process in accordance with paragraph 16.3.3.4 of this Section.

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CHAPTER 3. PERSONNEL LICENSING & TRAINING

Section 4. Post-Issuance Processes

16.3.4.1 Renewal of Work Permit.

- (a) For the renewal of a WP, the GS section follows the same process as per Section 3 of this Chapter.
- (b) The pertinent GS staff confirms that the following documents are submitted together with the application for renewal:
- (1) New training certificates, if applicable.
 - (2) Recurrent training certificates, for the subjects requiring recurrent training in accordance with paragraph 16.3.2.2.
 - (3) Copy of new national identity card or Iqama, if the previous one is expired.
 - (4) Copy of new passport, if the previous one is expired.
 - (5) Copy of new airport security badge, if the previous one is expired.
- (c) The number of the renewed work permit remains the same.
- (d) The renewal of an application may not take more than 7 calendar days from the date of the online application submission, if all requirements are met. The manual (backup) process may take up to 30 calendar days.
- (e) The old work permit being replaced becomes void and the concerned organization must return it to the GS section upon receipt of the renewed work permit.

16.3.4.2 Amendment of Work Permit.

- (a) In case a sponsoring organization applies for the amendment of a work permit, the GS section issues a new permit by retaining the same expiration date and number with the work permit being replaced.

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(b) The work permit being replaced becomes void and the concerned organization must return it to the GS section upon receipt of the newly issued work permit.

(c) For the amendment of a work permit, the GS staff must:

(1) For the addition of a job function:

- (i) Ensure that the new training certificates are submitted and are acceptable in accordance with Section 2 of this Chapter;
- (ii) Confirm that a written statement is submitted attesting to the person's eligibility to perform the new job function in accordance with paragraph 16.3.3.3(b)(3).

(2) For the change of the airport/ground station, ensure that the following are submitted:

- (i) Evidence of the corresponding familiarization or induction training in the new airport/facilities;
- (ii) Security badge for the subject airport, as applicable;
- (iii) Airside driving license for the subject airport, as applicable.

(3) For the change of a holder's name, ensure that:

- (i) The original legal documents are included, i.e., national ID or passport, have been submitted;
- (ii) A letter to GACA from the sponsoring organization attesting to the change of name, verifying that all relevant changes have been made into their own system.

(4) For the replacement of a lost or destroyed work permit, the GS staff ensures that the corresponding fee has been paid by the sponsoring organization before proceeding with the acceptance of the application and its transmission to the Licensing department in accordance with paragraph 16.3.3.4.

(d) If the GS section rejects the application, paragraph 16.3.3.5 applies.

16.3.4.3 Removal or Cancellation of Work Permit.

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- (a) A work permit holder can be suspended or revoked from duty and their work permit be removed (suspended or revoked) in accordance with GACAR §§ 68.11(b), 68.11(c), 68.25, 68.26, and the provisions of E-Book 16.4.5.5.
- (b) When a work permit is removed by GACA:
- (1) The sponsoring organization must return the work permit within 48 hours via registered mail/courier or by physically visiting GACA's headquarters.
 - (2) The GS section must record the subject work permit number in the relevant GS database, and follow the process described in paragraph 16.4.5.5.
- (c) A work permit that has non-permanently been revoked in accordance with paragraph 16.4.5.5, may be re-issued with a new expiration date and the same WP number.
- (d) A Work permit that has been suspended in accordance with paragraph 16.4.5.5, can be returned back to its holder through the corresponding sponsoring organization after the relevant remedial actions have been implemented.
- (e) The GS section may cancel a work permit and record this action into the relevant GS database:
- (1) If the person will no longer be employed in the ground services industry within the Kingdom of Saudi Arabia.
 - (2) If the work permit is permanently revoked and the person is blacklisted by GACA.
 - (3) For any other administrative reason that may dictate such action.
- (f) The GS section may replace for free a work permit if a discrepancy during its issuance is discovered, e.g. incorrect information, spelling errors, etc.

16.3.4.4 Seasonal and Temporary Transferred Staff.

In the context of GACAR § 68.1(b)(5), the GS section may consider the following:

- (a) For ground staff who is temporarily transferred between stations for operational reasons and for a consecutive period of no more than 60 calendar days within a year, the GS section requires from the concerned sponsoring organization to:

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- (1) Provide formal notification of at least 30 calendar days prior to the transfer of that staff.
- (2) Identify the names and functions for which the aforementioned staff are being transferred.
- (3) Provide and document a brief familiarization or induction training on the new airport environment to all transferred staff.

(b) For seasonal ground staff brought from abroad for operational reasons and for a “one-off” period of no more than 60 consecutive calendar days within a year, the GS section requires from the concerned sponsoring organization to:

- (1) Provide formal notification of at least 60 calendar days prior to the transfer and operational engagement of such staff.
- (2) Identify the names and functions of the aforementioned personnel and provide the corresponding training records, and the airport(s)/ground station(s) to which they are assigned.
- (3) Assess and attest to the experience and competence of such seasonal staff in accordance with 16.3.3.3(b)(3).
- (4) Provide and document a brief airport familiarization or induction training to such seasonal staff, and,
- (5) Assume in writing full responsibility for the use of such personnel and the liabilities derived from GACAR Part 151 and Part 68 for the corresponding post-holders.

(c) The GS section retains at all times the right to request and perform a sample check of the certificates and records of any seasonal staff, and reject those not deemed suitable in accordance with GACAR § 68.26. In this case, the GS section notifies in writing the concerned organization.

(d) The engagement of transferred or seasonal staff from abroad does not require the issue of a temporary work permit.

(e) If the timeframes specified in items (a) and (b) above are to be exceeded, the sponsoring organization must notify accordingly the AS department for acceptance.

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CHAPTER 4. GROUND OPERATIONS SAFETY AUDITS & INSPECTIONS

Section 1. Ground Operations Surveillance System

16.4.1.1 Oversight Structure.

The oversight system employed by GACA Ground Services department comprises two levels of surveillance:

(a) Audits: a system-focused, structured, independent and objective assessment that determines the level of conformity in the provision of ground services with the applicable GACA regulations. Audits are primarily based on “sampling,” and are implemented for the headquarters and ground stations in the context of:

- (1) Initial certification.
- (2) Certificate renewal.
- (3) Special circumstances that dictate an ad-hoc audit.

(b) Inspections: a close examination of the physical conditions and work practices in the provision of ground services, including documents, records, facilities, equipment, methods, and any other resources, to verify that certain rules and procedures are being followed and specifications are being implemented. Inspections are mainly implemented for ground stations in the context of:

- (1) Initial certification, as an integral part of the on-site audit process.
- (2) Certificate renewal, as an integral part of the on-site audit process.
- (3) The systematic regulatory oversight of ground services activities at the various airports.

16.4.1.2 Types of Audits & Inspections.

There are four types of audits and inspections implemented by the GS section:

(a) Scheduled: the organization is notified well in advance based on the Annual Inspection & Audit

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plan produced by the GS section in accordance with paragraph 16.4.2.3. In this case, the auditee is expected to have enough time to prepare for the audit and commit its key management staff to be physically present or readily available throughout the scheduled audit. For inspections which are part of the general ramp safety oversight and are "activity-focused", the GS section may need to notify only the airport operator for both access or joint implementation purposes, where applicable.

(b) Non-scheduled: the organization is provided with a short notice of usually no less than 48 hours from the intended audit/inspection date. This is usually applicable to audits or inspections instigated due to certain safety concerns but require some form of pre-arrangements or the presence of certain staff/officials on behalf of the auditee.

(c) Ad-hoc: are not announced to the party concerned and are instigated by the GS section when:

(1) There is an indication that conformance with regulations is systematically compromised under certain conditions.

(2) An inspection needs to be carried out at certain times or non-office hours to observe specific operations.

(d) Fuel hydrant-pit inspections: no particular party is notified. This is a visual inspection performed on an ad-hoc basis in response to issues reported by airport users regarding fuel pit contamination, and only when instructed by the GM AS. This type of inspection can be also performed by or in coordination with the Aerodromes & Heliport section.

16.4.1.3 Duration of Audits & Inspections.

(a) An audit or an inspection is concluded only if the GS inspector is satisfied that the intended objectives have been met.

(b) It is normal for initial certification and Certificate renewal audits to require about 2-3 working days for a single ground station, in order to cover the full range of topics in the corresponding checklists and include a targeted ramp inspection.

(c) Individual ramp safety inspections usually require a few hours and can be completed within one working day during which multiple turnarounds can be observed from more than one ground service provider.

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CHAPTER 4. GROUND OPERATIONS SAFETY AUDITS & INSPECTIONS

Section 2. Continuous Surveillance Planning

16.4.2.1 Audit & Inspection Cycle.

(a) The audit cycle of an organization or/and ground station is the period within which all regulatory subjects prescribed in paragraph 16.4.3.7 must be covered, as applicable.

(b) The audit cycle of the organization/principal business headquarters, its main ground station/operations, and all other ground stations coincides with the validity period of its Certificate and is 24 calendar months, unless otherwise prescribed in accordance with GACAR § 151.31.

(c) The applicable regulatory subjects prescribed in paragraph 16.4.3.7 can also be covered through multiple visits and smaller audits or/and ramp safety inspections for each concerned ground station within the foreseen audit cycle prescribed in item (b) above. It is emphasized, however, that all of the regulatory subjects of paragraph 16.4.3.7 must be covered at least once for each station, as applicable, within the audit cycle prescribed in item (b) above.

16.4.2.2 Risk-Based Criteria for Audit & Inspection Prioritization.

The criteria used by the GS section to produce the Annual Inspection and Audit (AIA) Plan described in paragraph 16.4.2.3 comprise the following risk-based parameters:

(a) The overall Safety Risk Profile (SRP) of each organization, as established and quarterly updated by the GS section with the input provided by each certificated entity.

(b) The rate/frequency of safety occurrences, incidents or accidents. This is crucial for properly prioritizing the surveys of organizations which are more frequently involved in such occurrences.

(c) Experience from past audits and inspections and identification of organizations or activities which have raised safety concerns.

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- (d) Time period since commencement of operation. New organizations or ground stations which have recently commenced operations are prioritized in the planning.
- (e) Incoming reports from other authorities or airline complaints regarding ground handling issues originated from an airport in the Kingdom of Saudi Arabia.
- (f) “Whistleblowers” from within the aviation industry revealing deficiencies, defects, improper operation, nonconformance with the regulations, etc.
- (g) The level of complexity of ground handling activities in which an organization is engaged.

16.4.2.3 Annual Surveillance Planning.

At the end of each year, the GS section prepares or updates, as needed, the Annual Surveillance Plan (ASP) for the upcoming two (2) years, encompassing all ground service providers and their respective ground stations. Apart from the initial certification schedule, the plan follows a “risk-based” approach, and includes:

- (a) Certificate renewal audits and inspections in the context of paragraph 16.4.2.1, and in accordance with paragraph 16.4.1.2(a).
- (b) Tactical “risk-based” oversight audits and inspections focusing on specific organizations or ground stations and activities in the context of paragraph 16.4.2.2, and in accordance with paragraph 16.4.1.2(a).
- (c) Scheduled audits focusing on the training program, records, material, instructors and facilities of ground service providers or/and their training contractors, in the context of paragraph 16.4.2.2, and in accordance with paragraph 16.4.1.2(a). Such audits should examine, but not limited to:
 - (1) The training certificates issued to ground services staff and the corresponding training database of the organization, including the method/system for monitoring the “due dates” of recurrent courses and training components.
 - (2) Recurrent training records and compliance with recency requirements.
 - (3) The exam and practical assessment records of ground services staff, including the records of any failed exams or assessments which must be also retained for the period prescribed in GACAR

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§ 151.112.

- (4) The compliance of training curricula with the master training curriculum (matrix) of the ground operations training requirements of GACAR Part 68, Appendix A.
- (5) The compliance of relevant training material/content with the syllabi of the ground operations training requirements of GACAR Part 68, Appendix A.
- (6) The compliance of instructor personnel qualifications with GACAR § 151.51 requirements.
- (7) The compliance of training facilities with the requirements of GACAR § 151.79.

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CHAPTER 4. GROUND OPERATIONS SAFETY AUDITS & INSPECTIONS

Section 3. Conduct of Audits & Inspections

16.4.3.1 Formation of Audit and Inspection Teams.

(a) For all audits and inspections, the GS section designates one of the team members as the Principal Inspector in charge. The Principal Inspector should be a senior staff with the necessary knowledge, skill, and experience on ground services.

(b) For initial certification and Certificate renewal audits:

- (1) The aim of the GS section is to form audit teams consisting of at least three inspectors.
- (2) In all cases, the audit team must not be less than two inspectors.
- (3) The Principal Inspector should have ideally been involved in the review of the key manuals of the concerned organization. If not, the Principal Inspector must be well acquainted with the systems, methods, and procedures of the concerned ground station, as per paragraph 16.4.3.3 of this Section.

(c) For inspections:

- (1) The aim of the GS section is to form teams of at least two inspectors.
- (2) Inspections can also be performed together with the safety officer(s) of the airport operator. In this case, one GS inspector may be sufficient.

(d) With the exception of item (c)(2) above, no audit or inspection should be performed by one inspector alone.

16.4.3.2 Inspector's Attitude.

(a) Inspectors must show tact and diplomacy when performing an audit/inspection. A certain amount of inconvenience to ground service providers and other personnel involved in ground handling

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activities may arise, but inspectors must do everything possible to reduce hindrance to the minimum.

(b) A ramp inspection must not cause an unreasonable delay in the departure of an aircraft unless an observation is directly related to the safety of operations and passengers, and is categorized as a Level 1 finding in accordance with Section 4 of this Chapter.

(c) Unnecessary contact with passengers must be avoided unless certain elements need to be inspected in a particular area, GSE or process, i.e., during check-in, boarding or disembarkation of passengers.

(d) The inspector must always avoid conflict by:

- (1) Not arguing or trying to force his point of view.
- (2) Staying calm and if necessary, taking a break.
- (3) Not providing opinions.
- (4) Not judging.
- (5) Being sincere.
- (6) Being objective and avoiding discriminations.

(e) Upon the observation of a non-compliance, the GS inspector:

- (1) Notes the non-compliance in the corresponding checklist.
- (2) Unless it is a safety-critical matter posing a clear and imminent threat to the safety of operations that would lead to an accident, the GS inspector waits for the appropriate time to talk to the senior staff on the scene regarding the non-compliance. The senior staff is expected to pass the message to the person directly involved in the non-compliance.
- (3) In the absence of a senior person/supervisor on the scene, the inspector may talk directly to the individual involved in the non-compliance after the associated activity is completed.
- (4) Prolonged discussions and debates must be avoided.

(f) If the non-compliance with a standard, regulation or rule is deemed to adversely affect safety and pose a clear and imminent threat to operations, the inspector must identify himself to the person involved and provide instructions in accordance with paragraph 16.4.4.3. If the instructions of the GS inspector are not accepted and an accident occurs, actions must be taken for the ground support staff involved to be removed from their position in accordance with paragraph 16.4.4.11.

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16.4.3.3 Preparation for an Audit/Inspection.

(a) GS inspectors must be well acquainted with the relevant checklists and guidance provided in this document for the type of audit/inspection to be conducted.

(b) In preparing for the audit/inspection, GS inspectors should:

- (1) Obtain, where necessary, the flight schedule of the day(s) of the audit/inspection, and select the targeted flight rotations to be observed.
- (2) Discuss and clarify their roles during the execution of the audit/inspection, i.e. “who” does “what.”
- (3) Fill out form GACA_AVG_GSS_F-151-026, which will have to be completed and signed off by the inspectors involved after the audit/inspection is concluded.

(c) Before conducting an audit/inspection, GS inspectors must familiarize themselves, to the extent possible, with:

- (1) The organization’s scope of services/Operations Specifications (i.e. privileges).
- (2) Any conditions/limitations or exceptions on the organization’s Certificate.
- (3) Any previous special correspondence with or authorizations provided to the subject organization, e.g. GSE service life extension, etc.
- (4) The systems, methods, and processes of the subject organization, in general. To achieve this, GS inspectors can review the sections of the organization’s manuals relevant to the type and content of the audit/inspection to be conducted. Additional familiarization with the organization’s systems, methods and procedures can be obtained from other GS inspectors who have acquainted themselves with the particular organization or/and ground station through previous audits/inspections in the past.

(d) GS inspectors must become aware of any previously identified deficiencies or negative safety trends of the subject organization by reviewing:

- (1) Non-compliance records (NCRs) and non-conformance reports (NCREs) from past audits and inspections.
- (2) Open issues (findings) and any observations from past oversight activities.
- (3) Occurrences (accidents/incidents) over the past two years, with special attention on the

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resulting trends.

(4) The ground station post-holder's status and interview performance during his/her acceptance process.

(5) Complaints and “whistleblowing” from within the aviation industry revealing deficiencies, defects, improper operation, nonconformance with the regulations, etc.

(6) Any other data and statistics collected or incoming reports received from AIB, airlines, airports, etc.

(7) Any special or critical activities that may raise safety concerns, and thus require special consideration during the audit.

16.4.3.4 Reserved.

16.4.3.5 Auditing Principles and Techniques.

(a) During an audit, the GS auditor must verify at all times the realization of the fundamental principle that “whatever is being implemented must be formally reflected in a document, and everything that is described in a document must be implemented”.

(b) The GS inspector must adhere to the five key auditing principles:

(1) Ethical conduct: is the foundation of professionalism which includes trust, integrity, confidentiality, and discretion. The auditor must safeguard the information entrusted before, during and after the audit.

(2) Fair presentation: refers to the auditor's obligation to report truthfully and accurately. Thus the auditor must avoid omitting pertinent information, revealing only partial facts, straying outside the scope of the audit, or misrepresenting information in any way.

(3) Due professional care: application of diligence and judgment in the conduct of audits and inspections. Therefore, the auditor must thoroughly prepare before the audit, complete a thorough examination of all the evidence provided and exercise professional and good judgement throughout the process.

(4) Independence: is the basis for the impartiality and objectivity of an audit. If bias or potential conflict of interest becomes evident, the auditor must inform management to ensure that the integrity of the audit will not be compromised.

(5) Evidence-based approach: is the rational method used to reach reliable audit conclusions in a systematic process. Ask for evidence using the word “show me” because audit results are based on the evidence collected. The “show me” principle is the best tool available to ensure that the

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audit results are objective. If the auditee cannot provide any evidence, this automatically results in a non-conformance (finding). Evidence must be:

- (i) Factual and relevant;
- (ii) Sufficient;
- (iii) Verifiable;
- (iv) Reproducible, i.e., if the audit is repeated, the exact same findings will be observed.

(c) The auditor must try to maximize the effectiveness of communication and apply “active listening,” which is a structured way of paying attention and responding to the speaker. It involves hearing carefully, understanding, remembering and responding. For effective active listening the GS auditor should:

- (1) Focus on the speaker by putting aside his thoughts or problems.
- (2) Hear all that the other person has to say before responding or asking questions.
- (3) Prevent from jumping to conclusions or giving an opinion based on what he/she thinks the message might be. Assumptions can be misleading. Make sure the auditor understands the other person’s point of view.
- (4) Avoid interrupting, as this conveys disrespect and self-absorption. The auditor must avoid finishing sentences for the other person.
- (5) Listen for “feelings”. Facts refer to the “content” of the message. Feelings provide important “context” that should not be overlooked. If the speaker seems overly emotional, wait until the speaker gains control. Feelings, such as anger, disappointment, fear or surprise may emerge in the emotional tone of the speaker.
- (6) Pay attention to body language and maintain eye contact. The auditor should be relaxed, sitting still and nod occasionally. Observe the speaker’s body language and if this matches the message, as a person’s non-verbal behavior communicates a message by itself.
- (7) Ask for clarification if needed. The auditor should question what he/she doesn’t understand and get specifics. Reflect what you hear by repeating or paraphrasing. Note that if the auditor says he/she understands, this does not imply agreement in any way.

(d) Two main types of questions must be used:

- (1) “Closed type” questions: these questions allow a “yes” or “no” for an answer and are usable in gaining a precise and clear answer or to verify information or quickly confirm a status.
- (2) “Open type” questions: these questions deliberately seek longer answers and they allow the

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respondent to think, give opinion or feelings and hand over the control of the conversation to the respondent. The expected outcome of this type of question is to understand in detail how the system is functioning, and requires the auditee to provide more explanations and documentation.

(e) “Leading type” questions must be avoided, i.e., questions which are deliberately designed to make the auditee to think in a certain way.

16.4.3.6 Audit Steps.

The audit process has three steps, namely the “entry,” the “conduct of the audit” and the “exit”.

(a) Entry stage: A smooth entry allows to develop a good relationship with the individual who is interviewed and it helps to reduce the tension or stress. It basically involves:

- (1) An introduction of the auditing team members.
- (2) An initial briefing about the purpose and the scope of the audit.
- (3) It clarifies the process to be followed, and
- (4) Clarifies queries that the auditee may have.

(b) Conduct of Audit: Conducting the audit is the actual process of posing questions, receiving answers and gathering information in accordance with paragraph 16.4.3.5 of this Section.

(c) Exit stage: The debriefing at the end of the audit process is as important as the entry step, since it provides both the auditor and the auditee with the opportunity to confirm the audit results and reach common understanding and conclusions at the highest level within the organization. The GS inspector must:

- (1) Expect the accountable executive, or/and the key management personnel at both the station and corporate level, as defined in GACAR § 151.43, to be physically present in the debriefing.
- (2) Summarize the auditee’s responses and evidence collected.
- (3) Confirm that has correctly understood what was stated and the evidence provided.
- (4) Summarize the major non-conformances and explain the process expected to be followed by the organization in order to “close” the findings.

16.4.3.7 Subjects and Checklists for Audits & Inspections.

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The audit and inspection subjects and checklists that must be used by the GS section are the following:

(a) For the organization/principal business headquarters and all of its ground stations:

(1) Ground Station Audit checklist, form GACA_AVS_GSS_CL-151-010, covering the following domains, as applicable:

- (i) General/Administration;
- (ii) Organization & Management;
- (iii) Operations & Safety;
- (iv) Personnel Training;
- (v) Ground Support Equipment and Maintenance;
- (vi) Quality Assurance;
- (vii) Subcontracting.

(2) Ramp Safety Inspection checklist, form GACA_AVS_GSS_CL-151-011, covering the following processes, as applicable:

(i) Aircraft Arrival:

- Aircraft Pre-arrival and Taxi-in;
- Aircraft Stopping and GSE Positioning;
- Passenger Disembarkation;

(ii) Aircraft Servicing:

- General;
- Baggage and Cargo Handling (loading/unloading);
- Catering Servicing;
- Potable Water Servicing;
- Lavatory Servicing;
- Fueling Servicing;

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(iii) Aircraft Departure:

- Passenger Boarding;
- Pre-departure Check and Pushback Sequence.

(iv) GSE Condition and Serviceability:

- Motorized GSE;
- Non-motorized GSE;
- Operation of GSE;

(v) Heliport / Helipad Ground Safety.

(vi) Seaplanes Water Handling.

(b) For cargo/warehouse service providers, as applicable:

- (1) Ground Station Audit Checklist, form GACA_AVS_GSS_CL-151-010, covering all of the subjects described in item (a)(1) above, and
- (2) Ramp Safety Inspection Checklist, form GACA_AVS_GSS_CL-151-011, covering only all of the subjects described in item (a)(2) above, and
- (3) Cargo/Warehouse Inspection Checklist, form GACA_AVS_GSS_CL-151-012, covering:

- (i) Cargo/mail acceptance and handling;
- (ii) Special cargo dangerous goods;
- (iii) Other special cargo;
- (iv) Cargo security;
- (v) Cargo breakdown, and

(c) For the visual hydrant pit inspections at airports, when requested by the AS GM, the Visual Hydrant Pit Inspection Checklist, form GACA_AVS_GSS_F-151-013.

16.4.3.8 Manpower Adequacy & Fatigue Management Oversight.

(a) For assessing the adequacy of manpower at a ground station, and ensuring adherence to the duty period limitations in accordance with GACAR Part 151 - Subpart G, the GS inspector must:

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(1) Verify that the organization has clearly defined staff deployment “ground rules” equivalent to paragraph 16.2.4.3(b). Significant differences with Attachment B should be justified by the organization.

(2) Ensure the implementation of the requirements prescribed in 16.2.4.3(c), and also that:

(i) Any work schedule changes are approved by the ground station manager or a senior person formally authorized by the ground station manager;

(ii) Training hours do not overlap with the required rest periods, which must be free of any work or training obligations.

(3) Review the annual "budgeted" staff, i.e. the minimum required number of staff planned for each job function, and compare it with the "actual headcount" for each job function, as described in the corresponding checklists of paragraph 16.4.3.7(a).

(4) For the ground service providers using a Resource Management System (RMS) for rostering, request a system report/graph illustrating the "required Vs actual" daily staff deployment for the current month or/and week. It is essential to remember that an RMS is only as good and effective as the information and "ground rules" programmed into the system by the organization.

(5) Verify and record which job functions have shortages and discuss the reasons.

(6) Review the monthly "overtime" recorded for each operational function. Excessive and systematic “overtime” clearly suggests understaffing for the particular job function.

(7) Identify to what extent staff is “cross-qualified” and utilized accordingly, i.e. multitasking.

(b) Depending on the outcome and the level of confidence obtained from the above assessment, the GS inspector may also:

(1) Seek evidence that the staff deployment “ground rules” have been implemented for the anticipated flight schedule of an indicative week or day. For this purpose, the organization may have to (re)calculate their manpower requirements on an ad-hoc basis to prove compliance with their ground rules.

(2) Perform a sample check, where practical, to verify that training hours do not overlap with the required rest periods, which must be free of any work or training obligations.

16.4.3.9 Verifying Organization’s Audit of its Contracted Activities.

(a) Ground service providers must audit systematically their contracted activities and within 12

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calendar months prior to their application for certification or Certificate renewal, as per GACAR § 151.23(j), and paragraph 16.2.7.1.

(b) During initial certification, certificate renewal or oversight audits and inspections, the GS inspector must must:

- (1) Ensure that the certificated organization has an annual audit plan for all its contractors.
- (2) Verify that the organization has performed an audit of its contracted activities as prescribed in item (c) of this paragraph. This audit can take the form of:
 - (i) A single large-scale audit within a period of 12 calendar months, to cover all subjects and topics addressed in item (c) above;
 - (ii) Multiple smaller audits in a progressive manner until one full cycle is completed, covering all subjects and topics addressed in item (c) above.
- (3) Review the audit findings, relevant documentation, and associated evidence.

(c) If the GS section is not satisfied with the outcome of the audit, they notify the certificated organization accordingly and issue relevant instructions/guidance.

(d) For an audit of contracted activities to be satisfactory, it should cover the following domains/subjects within a period of 12 calendar months, as applicable:

- (1) Organizational structure & accountabilities.
- (2) Management commitment to safety.
- (3) Internal communication.
- (4) Management & staff evaluation.
- (5) Personnel selection process.
- (6) Resources management.
- (7) Document control system & records.
- (8) Operational manuals and Standard Operating Procedures.
- (9) Emergency response planning & contingency procedures, including adverse weather procedures.
- (10) Security program and implementation.
- (11) Personnel Training:

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- (i) Theoretical & practical training on the job function;
 - (ii) Staff examination and practical assessment records;
 - (iii) Airside/Safety training (including health & safety and SMS principles);
 - (iv) Security awareness training;
 - (v) Human factors training;
 - (vi) Emergency response procedures training;
 - (vii) Dangerous goods training (where applicable);
-
- (12) Supervision.
 - (13) Rostering and fatigue management system.
 - (14) Safety Management System, safety promotion.
 - (15) Quality System and Control, internal audits and inspections.
 - (16) Quality, Safety and Security policies.
 - (17) Key performance and safety indices monitored (KPIs/SPIs).
 - (18) Incident investigation & root cause analysis.
 - (19) Facilities & equipment (where applicable).
 - (20) Serviceability & maintenance records of own GSE (where applicable).
 - (21) Inspection process prior to utilization of GSE (where applicable).
 - (22) GSE staging (where applicable).

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CHAPTER 4. GROUND OPERATIONS SAFETY AUDITS & INSPECTIONS

Section 4. Compliance

16.4.4.1 Inspection Non-Compliances - General.

(a) The GS inspector may issue a remedial administrative action in the form of a Non-Compliance Record (NCR) using form GACA_AVS_GSS_F-151-017, as described in paragraph 16.4.4.3 of this Section. This requires the Certificate holder to take corrective actions at the earliest practicable.

(b) The findings recorded in the GS Non-Compliance Record (NCR) are assigned a specific “Level” based on their significance and perceived level of criticality in accordance with paragraph 16.4.4.2 of this Section.

16.4.4.2 Categorization of Non-Compliances.

The GS section categorizes findings according to their seriousness as follows:

(a) **Level 1:** is issued when a significant non-compliance with the standards prescribed in Part 151 and Part 68 is detected which adversely affects safety or raises a real and imminent threat that lowers the safety standard. A Level 1 finding includes but not limited to:

- (1) Significant deficiencies in core functions, programs, manuals, personnel competence or training.
- (2) Significant deficiencies or lack of adherence to the implementation of standard operating, contingency or emergency procedures.
- (3) Failure to give the competent authority access to the organization's facilities, documents or records.
- (4) Obtaining or maintaining the validity of the organization's Certificate or Operations Specifications by the falsification of submitted documentary evidence.
- (5) Evidence of malpractice or fraudulent use of the organization's Certificate or Operations Specifications; and
- (5) The absence of an accountable executive or a nominated post-holder.

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(b) **Level 2:** is issued when a non-compliance with the standards prescribed in Part 151 and Part 68 is detected which could adversely affect safety, and could lower the safety standard.

(c) **Level 3:** is any other inconsistency with the standards prescribed in Part 151 and Part 68 or any unfavorable operational practice which does not have an immediate adverse effect to the level of safety but must be reported to the organization for remedy actions and continuous improvement purposes.

16.4.4.3 Actions by the Authority to Non-Compliances.

(a) The GS section follows the below course of actions to findings:

(1) **For Level 1 findings:**

- (i) Following consultation with Ground Services Department management, the GS inspector may take immediate and appropriate action to prevent or limit the relevant ground service activity or personnel from performing the associated function in concern;
- (ii) Notifies the organization's senior staff on duty and ensures that preliminary corrective actions, where applicable, are taken without delay by them on scene;
- (iii) Notifies the person in charge of the airport operator about the event and actions taken;
- (iv) Records the finding in the appropriate NCR form together with the preliminary actions taken on-site by the organization or/and the inspector (if any).

(2) **For all findings:** The GS section forwards the NCR form to the concerned organization within 24 working hours from the observation, which must respond in accordance with GACAR § 151.101 and within the timeframe prescribed in paragraph 16.4.4.4 of this Section with the following submitted material:

- (i) A comprehensive root cause analysis (RCA);
- (ii) The corrective action(s) implemented, or a corrective action plan;
- (iii) The preventive action(s) foreseen;

(b) The GS section reviews the material submitted by the concerned organization, and:

- (1) If deemed satisfactory, closes the NCR and informs the organization;
- (2) If deemed unsatisfactory, notifies the organization to repeat the RCA or/and amend its recommended corrective or preventive actions respectively and to revert back to the GS section.

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This process may be repeated until the GS section is fully satisfied with the outcome.

16.4.4.4 Actions by the Certificate Holder to Non-Compliances.

(a) The concerned Certificate holder must complete and return back to the GS section the second page (Part B) of the NCR form GACA_AVS_GSS_F-151-017, including the material prescribed in paragraph 16.4.4.3(a)(2), within the following timeframes:

(1) For Level 1 findings:

- (i) The organization must respond within 72 hours;
- (ii) The suspension or limitation of the relevant ground service activity or personnel work permit (where applicable) is not lifted unless the GS section is satisfied with the RCA, the corrective, and preventive actions of the organization.

(2) For Level 2 findings:

- (i) The organization must respond within 15 calendar days;
- (ii) At the end of this period, and subject to the nature of the finding, the GS section may grant a further extension with the consent of the AS GM;

(3) For Level 3 findings:

- (i) The organization must respond by the target date indicated in the NCR form;
- (ii) At the end of this period, and subject to the nature of the finding, the GS section may grant a further extension with the consent of the AS GM;

(b) In exceptional cases, where the combination of many findings is considered to adversely affect safety in a cumulative manner, this may reflect systemic problems and the GS section may decide to raise the category of a finding by one level to reflect the elevated threat level to safety.

(c) The GS section reviews the material submitted by the organization, and acts in accordance with paragraph 16.4.4.3(b). In all cases, the issue and closing of NCRs has to be endorsed and signed by the AS GM.

16.4.4.5 Lack of Response to Non-Compliances by a Certificate Holder.

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- (a) If a corrective action is not submitted and implemented by the organization within the timeframes defined in paragraph 16.4.4.4, the finding is upgraded by the GS section to the next “level” and a letter is sent to the concerned organization requesting immediate action(s) within 48 hours.
- (b) Beyond the time period mentioned in item (a) above, a suspension or limitation of the operation of the organization or of a specific function or of the personnel involved may be imposed by the President.

16.4.4.6 Root Cause Analysis (RCA) from the Certificate Holder.

- (a) The root cause analysis (RCA) is one of the most critical elements resulting from an identified non-compliance or an occurrence, and is carried out by the concerned organization in order to identify the contributing factors to the finding or occurrence and take the appropriate corrective actions.
- (b) The ground service provider must conduct a full RCR in compliance with GACAR § 151.23 and 151.101 for:
- (1) Every NCR raised in the course of an inspection or an audit by the Authority.
 - (2) The NCRs raised during their annual internal audits.
 - (3) Serious reportable occurrences, i.e. aircraft, GSE and facility damages, injury or death.
- (c) The ground service provider should classify the contributing factors to the NCRs into six general categories, for allowing their statistical processing and the identification of possible safety trends and risks. The categories are:
- (1) Corporate Culture: Policies and values governing the organization, effectiveness in passing those to the employees, general attitudes and work environment.
 - (2) Process/Procedure: Effectiveness of organizational structure, clarity of accountabilities/responsibilities, correctness, and completeness of procedures and manuals.
 - (3) Product/System: Reliability and fault-free design or/and manufacturing of the ground support equipment, product or system.
 - (4) Training: Training provided to personnel on products/systems or on relevant processes, procedures or regulations, or familiarization provided on the airport environment and rules, customer airlines policies and procedures.
 - (5) Externalities: other external factors or conditions not under the control of the organization or the employees involved in the non-compliance, e.g. weather, force majeure events, etc.

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(6) Human Factors: identify which of the following twelve basic parameters constitute the contributing human factor(s) to the finding:

- (i) Lack of communication;
- (ii) Complacency (self-satisfaction accompanied by a loss of awareness of the danger);
- (iii) Lack of knowledge (on the product/system despite adequate training);
- (iv) Distraction;
- (v) Lack of teamwork;
- (vi) Fatigue (in the context of GACAR Part 151, Subpart G);
- (vii) Lack of resources;
- (viii) Pressure;
- (ix) Lack of assertiveness (ability to express your feelings, opinions, beliefs and needs in a positive, productive manner);
- (x) Stress;
- (xi) Lack of awareness (failure to recognize all the consequences of an action, or lack of foresight);
- (xii) Norms (implicit rules of behavior encountered in a given social context).

(d) After the conclusion of the RCA, the appropriate corrective and preventive actions must be submitted by the organization to the GS section in accordance with paragraph 16.4.4.4.

16.4.4.7 Occurrence Investigation by the Certificate Holder.

(a) In accordance with the principles of GACAR Part 5, and GACAR § 151.117, the AS department expects to receive a comprehensive occurrence investigation report as soon as practicable from the relevant ground service provider for the following types of ground occurrences:

- (1) Aircraft ground damage of any type caused by GSE/ground staff.
- (2) Serious GSE collision, i.e. vehicle rendered unserviceable.
- (3) Personnel lost-time-injury (LTI) or death.
- (4) Passenger injury or death.
- (5) Facility damage, i.e. facility or system rendered unusable.
- (6) Runway/Taxiway incursion.

(b) The key subjects expected to be addressed in ground occurrence investigation reports, inter alia, are the following:

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- (1) General information: type of event and precise location at the airport (e.g. airport layout), time of occurrence, air operator, flight number, type and registration of aircraft or/and equipment or/and system, identification of persons involved, their age, validity of licenses/work permits, company and airport/security badges, total experience, years of employment with the organization, service life and technical condition of GSE, applicable processes and procedures, etc.
- (2) Externalities: prevailing meteorological conditions, natural or artificial light at the time of event, volume of relevant traffic during the occurrence (peak/off-peak operations), etc.
- (3) Detailed/factual description of occurrence: phase of operation, activities/tasks leading to the occurrence in a chronological order, causal links between events, impact of events, identified failures and hazards, immediate actions/response on scene, etc.
- (4) Root Cause Analysis (RCA): methodology identifying the contributing factors, e.g. Fault Tree Analysis (FTA), 5 WHY's for each contributing factor etc., how these factors resulted in the failure(s), possible human elements/factors involved in accordance with paragraph 16.4.4.6(c), etc..
- (5) Staff workload on shift: complete workload breakdown, including all activities assigned and executed by the staff up to the time of the occurrence.
- (6) Staff rostering: for all staff involved and for a period of 30 calendar days preceding the occurrence.
- (7) Supervision: How many supervisors were in charge of the relevant job functions at the time of occurrence, who they were, and where were they located.
- (8) Comprehensive training and recurrent training records: special attention to training directly related to the job function and occurrence for the staff involved.
- (9) Medical records/exams: use of psychoactive substances or any known existing medical conditions/issues that may have contributed to the occurrence.
- (10) Conclusion and corrective actions: clearly address each contributing factor identified and substantiated in the RCA, as applicable, including the need for reviewing existing procedures for correctness and completeness, training materials, instructions or establishing new standard operating procedures, training courses, etc..
- (11) Preventive actions: clearly address each contributing factor, as applicable, and identify specific timeframes for actions or activities aimed at preventing the recurrence of such events.

(c) Documentary evidence is required to be attached to the report submitted. This includes, but not limited to:

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- (1) For item b(1) above: photographic material relevant to the occurrence, as applicable, copies of personnel identification, badges, licenses/work permits, and copies of the corresponding procedures.
- (2) For items b(5) and b(6): copies of shift rosters of personnel involved, shift workload/task allocation, scheduling, etc.
- (3) For item b(8): copies of relevant training/recurrent training records.
- (4) For item b(9): copy of psychoactive substances examination or medical records, as applicable.

16.4.4.8 Interview of Personnel Involved in Occurrences.

- (a) The AS department retains the privilege to request from the concerned ground service provider any additional information directly or indirectly related to an occurrence investigation report submitted by the concerned organization.
- (b) The AS department may invite for an interview any person involved in a ground servicing incident or accident, independently of any other legal or investigative process that may be in progress. In this case, the AS department will directly contact the concerned organization and request to release the particular individual(s) for an interview by the GS section's pertinent staff.
- (c) The interview is documented using form GACA_AVS_GSS_F-151-018.
- (d) The GS section:
 - (1) Will notify the concerned organization in writing of any actions deemed appropriate based on the outcome of this interview.
 - (2) May additionally consider instigating punitive enforcement actions against the violator in accordance with GACAR Part 13 and Section 5 of this Chapter.

16.4.4.9 Mandatory Occurrence and Safety Reporting.

- (a) Certificated ground service providers must report all occurrences to GACA using the on-line GACA Q5 application as per the instructions received by the Authority. The organization should submit on-line:

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- (1) The detailed description of the event.
- (2) Attach all relevant forms and documents, including pictures, where available.

(b) In addition to item (a) above, ground service providers must - as early as practicable and no later than 24 hours - report the occurrences listed below together with any associated information to the GS section at: SER-GND.SVCS.OPS@gaca.gov.sa:

- (1) Aircraft ground damage of any type caused by GSE/ground staff.
- (2) Serious GSE collision, i.e. vehicle rendered unserviceable.
- (3) Personnel lost-time-injury (LTI) or death, and passenger injury or death.
- (4) Facility damage, i.e. facility or system rendered unusable.

(c) Ground service providers must also fill out a Quarterly Ground Safety Report for each ground station/aerodrome in the context of GACAR § 151.117(c), as per the template form provided in the attachments, which can be downloaded from GACA website. The form must be signed and submitted by the quality assurance/compliance post-holder of each certificated organization within seven (7) calendar days from the end of each quarter, in accordance with the following table:

Quarter:	Ends on:	Submit by:
1 st	31 March	7 April
2 nd	30 June	7 July
3 rd	30 September	7 October
4 th	31 December	7 January

- (1) The data submitted must accurately reflect the number, type, process and outcome of all incidents and accidents occurred, as they will be verified in accordance with paragraph 16.4.6.2.
- (2) The quarterly ground safety report must be submitted to the GS section at:
SER-GND.SVCS.OPS@gaca.gov.sa.

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Section 5. Enforcement Correlations

16.4.5.1 Enforcement Actions - General.

Enforcement actions may be directed against organizations and/or personnel in line with the GACAR Part 13:

16.4.5.2 Suspension or Revocation of Organization's Certificate or Privileges.

(a) In the context of GACAR § 151.31(b), the AS department may recommend to the President the suspension or revocation of any of the privileges prescribed in the Operations Specifications, or the suspension or revocation of the Certificate of a ground service provider if the certificated organization:

- (1) Has failed to take corrective actions for identified non-conformances, to the acceptance of the AS department, within the timeframes prescribed in paragraph 16.4.4.4 of this Section.
- (2) Has repeatedly failed to comply with applicable regulatory requirements despite written notifications issued by the GS section.
- (3) Is repeatedly involved in ground service accidents or incidents at the same airport, especially if these accidents or incidents are of the same or similar nature.

(b) For the suspension or revocation of privilege(s) prescribed in the Operations Specifications, the GS section:

- (1) Notifies in writing the concerned organization for the applicable reasons, and requires to immediately stop providing the corresponding ground services to customers.
- (2) In the specific case of permanent revocation:

- (i) Instructs the relevant organization to resubmit the corresponding manual(s) to verify that the corresponding privilege(s) are removed from the scope of services, and the associated

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procedures are eliminated, so an updated acceptance letter can be re-issued in accordance with paragraph 16.2.2.13;

(ii) Proceeds with the re-issuance of the Operations Specifications by maintaining the same issuance date prescribed on the Certificate;

(iii) Notifies in writing the GACA Economic department accordingly.

(3) Notifies the corresponding airport operator accordingly.

(c) Before issuing an order in the context of item (a) above, the GS section advises the Certificate holder of the alleged violations, or the facts upon which the Authority bases the proposed action and, unless otherwise directed by the President, allows the holder to reply to the allegations and will be heard as to why the Certificate should not be amended, suspended or revoked. Within 30 calendar days after receipt of the notice of allegations, the holder may:

(1) Admit the charges and surrender his Certificate.

(2) Answer the charges in writing, or

(3) Request an opportunity to be heard in an informal conference with the relevant GACA officials. The AS department may then invite the accountable executive and involved post-holders of the concerned organization to be heard. This can take place regardless of whether the reason for the intended legal enforcement action is also the subject of investigation from another authority.

(d) If the Certificate holder fails to respond in the period specified in item (c) above, GACA may issue the order and the Certificate holder waives the right to appeal.

(e) If an informal conference is requested, at the close of the conference GACA may either:

(1) Dismiss the notice of the allegations.

(2) Issue the order.

(f) If a notice of appeal is not filed in accordance with the appeal procedures prescribed in GACAR Part 13 Subpart I, or a petition for reconsideration of an amendment to Operations Specifications or other authorizing document is not filed in accordance with the procedures prescribed in GACAR Part 13 Subpart H, such order is GACA's final order.

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(g) For the suspension or revocation of the Certificate of a ground service provider, the affected organization must surrender its Certificate and Operations Specifications to the AS department within 30 calendar days, in accordance with GACAR § 151.31.

(h) If a ground service provider surrenders its Certificate upon termination of its operation, the GS section notifies to and verifies with the corresponding airport operator that all relevant operations are ceased.

16.4.5.3 Suspension of Post-holder.

(a) The AS department may, with the consent of the President, withdraw the acceptance of a post-holder:

- (1) In accordance with GACAR § 151.43, and
- (2) In the context of paragraph 16.4.5.2(a) of this Section, if the number of ground services accidents/incidents at the same airport has increased or has not improved over:

- (i) The preceding three consecutive periods of submitted Quarterly Ground Safety Reports in accordance with GACAR § 151.117, or
- (ii) The preceding 9 consecutive months of submitted Q5 system reports.

(b) In this case, the GS section notifies in writing the accountable executive of the concerned organization for the suspension of the post-holder.

(c) Upon suspension of a post-holder, the GS section must ensure that the accountable executive appoints a suitable replacement in an acting or permanent capacity in accordance with GACAR § 151.43.

16.4.5.4 Quality Assurance/Compliance Assistant.

(a) In addition to the nominated post-holders, the organization must appoint an assistant quality officer at each airport it operates in accordance with GACAR § 151.101(h)(2). This person must have a direct reporting line to the quality assurance/compliance post-holder and is responsible for the internal audits and inspections of the corresponding ground station. This individual must be well qualified and meet the requirements prescribed in GACAR § 151.49.

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(b) If the ground station has a relatively low volume of activity, the GS section may accept that the permanent presence of a quality assurance/compliance assistant, in the context of GACAR § 151.101(h)(2), may not be necessary. In this case:

- (1) The quality assurance/compliance assistant may be responsible for more than one ground station.
- (2) The frequency of audits/visits to those ground stations and the associated procedure must be described in the quality assurance/compliance manual or the relevant local supplement.

(c) The AS department reserves the right to formally request the replacement of the assistant quality officer if:

- (1) Their work experience, knowledge or skills are found not to be relevant or adequate to the responsibilities of the post and the requirements of GACAR § 151.49.
- (2) The person has not carried out their duties and responsibilities in a systematic and effective way.
- (3) The person is not fully aware of the operating processes or procedures, nor in full control of the quality assurance system at the corresponding ground station/airport.
- (4) The statistical incident/accident rate of the ground station suggests systemic failures that have not been identified in the internal quality audits conducted by the assistant quality officer, or have not been systematically addressed.

(d) The GS section must ensure that the replacement of a station quality assurance/compliance assistant, if requested, is implemented by the organization within 60 calendar days.

16.4.5.5 Suspension or Revocation of Ground Services Personnel Work Permit.

(a) The AS department may suspend or revoke the work permit of an individual in accordance with GACAR § 68.26, if:

- (1) The person is deemed unqualified for the execution of the duties and responsibilities of the corresponding job function or the Work Permit does not display that particular job function.
- (2) Has displayed unprofessional attitude or recklessness in the execution of duties.
- (3) Any of the documentation provided accompanying the application for the issuance/renewal of

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a work permit is proven to be forged, false or misleading.

(4) The airport operator has repeatedly issued violations for that person.

(5) For violations of GACAR § 68.25 regarding the use of psychoactive substances.

(b) If a work permit is suspended or revoked, the GS section issues within 24 working hours an order of suspension or revocation to the sponsoring organization specifying the:

(1) Duration of suspension or revocation (if the revocation is not permanent).

(2) The reasons for suspension or revocation.

(3) Notifies in writing within 24 working hours the:

(i) Airport operator to suspend the airport access/security badge for a pre-determined period of time;

(ii) GACA Licensing department for the information to be entered into the licensing system, as the person will not be able to re-apply for a work permit for 1 year after the date of revocation, unless the order of revocation provides otherwise.

(c) The GS inspector may impound the work permit of staff in the course of a ramp inspection if deemed appropriate in the interest of safety based on item (a) above and the criticality of the violation observed. In this case, the inspector must:

(1) Request from the airport operator/security to remove the airport security badge on-scene.

(2) Advise the airport operator to immediately escort the aforementioned staff outside the airport premises, and permit re-entry only if advised by the GACA AS department.

(3) Ensure that the formal notification process described in item (b) above is followed.

(d) The GS section cannot accept a work permit application for a person that has been revoked within 12 calendar months preceding the date of application, unless otherwise provided in the order of revocation or decided by the President.

(e) If the removal of a work permit is not taken place on-scene, the removal logistics of a suspended or revoked Work Permit is in accordance with paragraph 16.3.4.3.

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CHAPTER 4. GROUND OPERATIONS SAFETY AUDITS & INSPECTIONS

Section 6. Records & Databases

16.4.6.1 Ground Services Oversight Database.

(a) The GS section maintains an Oversight Database, where all findings from oversight activities and Certificate renewal audits and inspections are recorded.

(b) The use of the database is limited to the staff of the GS section and only three pre-determined members of the team may have administrator privileges, i.e., full access rights.

(c) The GS Oversight Database comprises the following information from surveys:

- (1) Type of survey: initial, renewal audit or ramp inspection.
- (2) Ground service provider name.
- (3) Place of survey (airport).
- (4) Date of survey.
- (5) Name of inspector.
- (6) Name of inspector who "closes" the finding.
- (7) Regulation/standard not in compliance (as per relevant checklists).
- (8) Level of finding.
- (9) Root Cause Analysis (RCA) outcome.
- (10) Corrective actions.
- (11) Preventive actions.

(d) The GS Oversight Database is used to identify possible safety trends and assess the risks present through the following key indices (list not exhaustive):

- (1) Number of findings per organization, ground station, and airport.
- (2) Most frequent regulatory/standard breach per organization, ground station, and airport.
- (3) Level of non-conformances per organization, ground station, and airport.
- (4) RCA outcome codified as per the categories prescribed in paragraph 16.4.4.5.

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(e) In case the statistical processing reveals safety trends of concern, risks, or/and it identifies crucial inter-dependencies, these are formally raised by the AS department to the executive level together with any proposed recommendations and actions.

16.4.6 Ground Incident/Accident Database and Annual Report.

(a) The GS section ensures that all ground service providers submit their Quarterly Ground Safety Report as per the schedule prescribed in paragraph 16.4.4.9. The GS section may verify the submitted reports against the reports collected over time via GACA's Q5 Occurrence Report System, and other individual reports received by the GS section such as the databases maintained by GACA Safety & Risk Management department, the airport operators, and the Saudi Accident Investigation Bureau (AIB).

(b) All information contained in the submitted reports is recorded by the GS section in their GS Ground Incident/Accident Database.

(c) At the beginning of each year, the GS section:

- (1) Conducts a statistical analysis of the previous year's data to identify safety trends, risks, and crucial inter-dependencies.
- (2) Compiles an executive summary in the combined form of text, diagrams, and graphs, based on the statistical analysis described above. The executive summary is submitted to the President.
- (3) In case the statistical processing reveals alarming safety trends, risks or/and it identifies crucial inter-dependencies, these are formally raised by the AS department to the executive level together with any proposed recommendations and actions.

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CHAPTER 5. AUTHORIZING DOCUMENTS

Section 1. Definition

In accordance with GACAR Part 1, authorizing document is a document issued by the President to an entity regulated under the GACAR that specifies authorizations, conditions, and limitations associated with specific activities that have been authorized by the President.

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CHAPTER 5. AUTHORIZING DOCUMENTS

Section 2. Authorizing Documents for Ground Services

16.5.2.1 Certification of Ground Service Providers.

The authorizing documents issued for ground service providers, following the procedures described in Chapter 2 of this document, are:

- (a) Ground Service Provider Certificate for each organization exercising any of the ground service activities of GACAR § 151.1(c).
- (b) Ground Service Provider Operations Specification, which is an integral and indispensable part of item (a) above for the main ground station/operations base, and each other ground station thereafter.

16.5.2.2 Ground Services Personnel Licensing.

The authorizing document issued for ground services personnel, following the procedures described in Chapter 3 of this document, is the Work Permit.

16.5.2.3 Acceptance of Training Course.

The Acceptance Letter issued in accordance with Chapter 3, Section 2 of this document for organizations other than those referred to in paragraph 16.3.2.2, serves as the authorizing document to provide such training for the purposes of issuing a work permit under GACAR Part 68.

LIST OF ATTACHMENTS

Attachments	Form/Template Description
Attachment A	GACA_AVS_GSS_F-068-001A Work Permit Application (external)
	GACA_AVS_GSS_F-068-001B Work Permit Application (internal)
Attachment B	Baseline Manpower Deployment
Attachment C	GACA_AVS_GSS_F-151-001 Ground Service Provider Application
Attachment D	GACA_AVS_GSS_F-151-002 Regulatory Compliance Report
Attachment E	GACA_AVS_GSS_F-151-003 Pre-Audit Data Input

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Attachments	Form/Template Description
Attachment F	GACA AVS GSS F-151-004A Interviews
Attachment G	GACA AVS GSS F-151-004B Written Exams
Attachment H	GACA AVS GSS F-151-005 Final Conformance Summary
Attachment I	GACA_AVS_GSS_F-151-006 Initial Ground Operations Manual Review
	GACA_AVS_GSS_F-151-007 Initial Quality Assurance Compliance Manual Review
	GACA AVS GSS F-151-008 Initial Training Manual Review
	GACA AVS GSS F-151-009 Initial Into-Plane Manual Review
	GACA AVS GSS F-151-014 Initial Local Supplement Manual Review
	GACA AVS GSS F-151-015A Initial SMS Manual Review
	GACA AVS GSS F-151-015B Initial ERP Manual Review
Attachment J	GACA AVS GSS CL-151-010 Checklist Ground Station Audit
Attachment K	GACA AVS GSS CL-151-011 Checklist Ramp Safety Inspection
Attachment L	GACA AVS GSS CL-151-012 Checklist Cargo Inspection
Attachment M	GACA AVS GSS CL-151-013 Checklist Visual Hydrant Pit
Attachment N	GACA AVS GSS F-151-016A Initial Non-Conformance Report
	GACA AVS GSS F-151-016B Renewal Non-Conformance Report
Attachment O	GACA AVS GSS F-151-017 Non-Compliance Record (NCR)
Attachment P	GACA AVS GSS F-151-018 Occurrence Interview Form
Attachment Q	GACA AVS GSS F-151-019 Document Review Proceedings
Attachment R	GACA AVS GSS F-151-020 Quarterly Safety Report
Attachment S	GACA AVS GSS F-151-021A Internal Training Record
	GACA AVS GSS F-151-021B Internal OJT Log
Attachment T	GACA AVS GSS F-151-022 Revised Manual Review
Attachment U	GACA AVS GSS F-151-023 Certificate & Ops Specs Review
Attachment V	GACA AVS GSS F-151-024 GSE Service Life Extension Summary
Attachment W	GACA AVS GSS F-151-025 Post-holder Assessment Outcome
Attachment X	GACA AVS GSS F-151-026 GS Inspection Sign-off Form
Attachment Y	Ground Service Provider Operations Specifications Template
Attachment Z	Sample - Traceability of Revisions