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Criteria and Procedure for Issuance of Groundhandling Approval

Guidance Material for Groundhandling Suppliers
and Self-handlers

Foreword

Pursuant to Regulation 4/2011 on access to groundhandling market, the Civil Aviation Authority of the Republic of Kosovo (CAA) shall make public the criteria for the approval of each airport user wishing to self-handle and of each supplier of groundhandling services at airports without limitations. The purpose of this manual is therefore, to describe the criteria for issuance of groundhandling approval as well as the procedure for issuance of such approval by the CAA.

The criteria are of a safety and financial nature hence this manual has been prepared in close cooperation between Aerodromes and Economic Regulation Department within the CAA. These two departments are also in charge to review any application for approval as a groundhandler at the airports in the Republic of Kosovo.

This Manual applies to managing body of the airport interested to provide third party handling, airport users wishing to self-handle and suppliers of groundhandling services on airports in the territory of the Republic of Kosovo subject to the Regulation No. 04/2011 on access to the groundhandling market.

This manual is accessible by all interested parties at CAA's official website www.caa-ks.org.

Dritan Gjonbalaj
Director General
Civil Aviation Authority

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	Name and position	Date	Signature
Prepared by:	Besnike Ukmata Director, International Cooperation and Economic Regulation Department	22 March 2012	
Authorised by:	Besnike Ukmata Director, International Cooperation and Economic Regulation Department		
Quality Check by:	Lendita Kika-Berisha Manager, Internal Auditing and Quality Control	23 March 2012	
Approved by:	Dritan Gjonbalaj Director General	27 March 2012	

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Terms and Definitions

Airport	means any area of land especially adapted for the landing, taking-off and manoeuvres of aircraft, including the ancillary installations which these operations may involve for the requirements of aircraft traffic and services including the installations needed to assist commercial air services
Managing body of the airport	means a body which, in conjunction with other activities or not as the case may be, has as its objective under the Republic of Kosovo law or regulation the administration and management of the airport infrastructures, and the coordination and control of the activities of the different operators present in the airport or airport system concerned;
Airport user	means any natural or legal person responsible for the carriage of passengers, mail and/or freight by air from, or to the airport in question;
Groundhandling	means the services provided to airport users at airports as described in the Annex to the Regulation No. 04/2011;
Self-handling	means a situation in which an airport user directly provides for himself one or more categories of groundhandling services and concludes no contract of any description with a third party for the provision of such services; for the purposes of this definition, among themselves airport users shall not be deemed to be third parties where: <ul style="list-style-type: none">▪ one holds a majority holding in the other; or▪ a single body has a majority holding in each;
Supplier of groundhandling services	means any natural or legal person supplying third parties with one or more categories of groundhandling services;

CAA means the Civil Aviation Authority of the Republic of Kosovo.

ECAA means the European Common Aviation Area

Chapter 1

Scope, Purpose and Regulatory Requirements

1.1. Scope

This Manual applies to managing body of the airport where it provides third party handling, airport users wishing to self-handle and suppliers of groundhandling services on airports in the territory of the Republic of Kosovo subject to the Regulation No. 04/2011 on access to the groundhandling market.

1.2. Purpose

This Manual is published to establish procedure and criteria for issuing the Approval from the CAA for provision of ground handling services, pursuant to Article 11 of the Regulation No. 04/2011 on access to the groundhandling market.

1.3. Regulatory Requirements

1.3.1 Council Directive 96/67 of 15 October 1996 on access to the groundhandling market at Community airports requires Member States to take all necessary measures to open up the ground handling market at big airports. In turns, it ensures that airlines can select their ground handling supplier according to their needs.

1.3.2 Article 69 of Law No.03/L-051 on Civil Aviation states that groundhandling at airports shall be governed by Council Directive 96/67/EC of 15 October 1996 on access to the ground-handling market at Community airports, and any amendments thereto. Exemptions may be granted by the CAA on the basis of Council Directive 96/67/EC.

Council Directive 96/67/EC has been implemented in the Republic of Kosovo through Article 69 of Law on Civil Aviation and Regulation No. 4/2011 on access to the groundhandling market. Article 11 of the Regulation No. 04/2011 on access to the groundhandling market defines that the CAA shall specify criteria for issuing approval for provision of groundhandling services for the categories of groundhandling services where the number of suppliers is not limited as well as for self-handling in accordance with Article 6 of the same regulation, as appropriate for the airport falling under the scope and this regulation.

1.3.3 Article 11 of the Regulation No. 04/2011 on access to the groundhandling market states that for the categories of groundhandling services where the number of suppliers is not limited, as well as for self-handling in accordance with Article 6 of this Regulation, each supplier of groundhandling and each self-handler shall apply in writing to the CAA for approval, prior to engaging in groundhandling activities at an airport. The approval is issued upon request from a supplier of groundhandling or the airport user wishing to self-handle based on the determined criteria. The CAA has to specify those criteria and make them public.

Chapter 2

Criteria for issuance of groundhandling approval

In order to obtain Approval, the applicant has to fulfill the following criteria as minimum:

- a) To prove organizational competence and capacity for safe and timely performance of requested scope of ground handling activities at each requested airport – obtained through assessment by CAA based on applicable national and international requirements and ISAGO program.
- b) To prove technical competence by submitting adequate procedure manual containing: organization chart, management personnel, description of responsibilities and duties, equipment in use, qualification requirements for personnel, corresponding training requirements and training plan, safety management procedures, standard handling procedures, specific handling procedures related to specific operators-customers.
- c) To provide adequate insurance policy, valid for period of minimum one year, depending on location of providing groundhandling services to cover supplier's liability for such damages as they may inflict on a third party during execution of the service. For services, as listed in the Annex to the Regulation 4/2011, which provision implies both airside and landside, the insurance coverage limit for airside applies. The minimum insurance requirement shall be:
 - i. 2.5 million Euro for groundhandling services provided on the landside
 - ii. 50 million Euro for groundhandling services provided on the airside
 - iii. 250 million Euro for fuel and oil handling services
 - i. Airport users wishing to self-handle are obliged to submit their corporate insurance policy
- d) To prove financial capability – proved through submission of the following documents:
 - i. Suppliers of groundhandling services
 - Evidence showing that the applicant is not blocked for past six months and/or is not undergoing the bankruptcy procedure
 - Evidence showing that the applicant has paid all taxes
 - Audited annual accounts for the two most recent financial years (if applicable)
 - ii. Airport users wishing to self-handle:
 - Existing insurance policy
 - Valid operating license, if applicable
- e) To be natural or legal person registered in the Republic of Kosovo or natural or legal person registered for provision of ground handling services with business address on the territory of the ECAA states with regional branch

- f) office registered in the Republic of Kosovo. Certificate of Business Registration issued by Kosovo authorities shall be submitted

Where the applicant has previous experience in operating as a supplier of ground handling services or as a self-handler in an ECAA state, it shall specify:

- a) The State/s and airport/s involved indicating whether the applicant holds or has held approval or authorization from the competent national authorities of such State/s
- b) The type of ground handling activities and the length of time such activities were engaged in.

Chapter 3

Procedure for issuance of groundhandling approval

3.1 Introductory meeting

The applicant shall ask for a formal meeting with CAA regarding its intentions prior to any other activity¹.

3.2 Application for approval

1. Applicant shall submit completed Application Form along with the information/documentation listed under Chapter 2. All types of applications (initial, for extension or for amendment of approval) should be made to CAA minimum 6 weeks in advance of the commencement of operations as it is important that CAA has adequate time to process applications.

Example of the Application Form is shown in the Appendix to this Manual.

3.3 Verification of submitted documents

CAA shall verify application documents for completeness and adequacy. In case of incompleteness or inadequacy of documents, applicant will be requested to supplement documentation or to perform necessary corrections. Applicant shall respond to additional requests from CAA within given timeframe, defined by CAA, otherwise application for approval will be rejected.

3.4 Issuance of approval

Upon submission and verification of all necessary documents, the CAA shall issue an Approval to the applicant. The approval form will contain general data of approved self-handler/supplier of groundhandling services as well as airports to which approval is applicable, approved categories of groundhandling services and approval expiry date.

3.5 Validity of the approval

Approval is issued with validity of seven years.

3.6 Extension of the approval

¹ Applicants are encouraged to contact the airport authority in order to coordinate the application procedure

Approval can be extended for subsequent validity periods of seven years upon satisfactory completion of the audit or assessment by the CAA. The applicant shall submit the application form for the purpose of extending the approval. Upon receipt of the application, the CAA shall perform an audit or assessment. In addition, the CAA will examine all relevant documents stated under Chapter 2 for currency and adequacy. The CAA shall issue an Audit Report stating all non-conformities found while in parallel applicant has to develop adequate corrective action plan and implement it within agreed period of time in order for the CAA to close its findings. Failure to do so may create ground for enforcement action of the CAA.

Upon successful accomplishment of the procedure defined in this paragraph, the CAA shall issue new Approval to the applicant with the new validity date.

3.7 Amendment of approval

Approval may be varied at any time upon request of the approval holder in order to add new airport to the approval schedule or to increase/decrease scope of approved ground handling or self-handling activities. The approval holder shall submit the application form stating desired amendment of approval. In cases where amendment involves services at a new airport, the whole procedure for initial approval has to be followed for new location. Otherwise, when the amendment implies only increase/decrease of the scope of approved ground handling or self-handling activities, the CAA shall perform an audit or assessment upon receipt of the application form. In addition, the CAA will examine all relevant documents stated under Chapter 2 for currency and adequacy. The CAA shall issue an Audit Report stating all non-conformities found while in parallel applicant has to develop adequate corrective action plan and implement it within agreed period of time in order for the CAA to close its findings. Failure to do so may create ground for enforcement action of the CAA.

Upon successful accomplishment of the procedure defined in this paragraph, the CAA shall issue new approval to the applicant with the new approved scope of groundhandling or self-handling activity or new airport as appropriate.

Chapter 4

Oversight of approved groundhandlers

The CAA shall regularly verify if the conditions of the approval, including the performance of groundhandling activities are met by the supplier or airport user. The CAA will perform audit or assessment, based on IATA-ISAGO program, and related to the safety of services provided by the supplier or airport user. Depending on the company's size and scope of groundhandling activities, this may involve a full scale audit in duration of one week or it may be only short verification in case of very limited scope of small scale activities. The CAA shall issue an audit/assessment report stating all non-conformities found while in parallel applicant has to:

- a) Develop adequate corrective action plan
- b) Verify adequacy of planned corrective actions with the CAA
- c) Rectify stated non-conformities as per verified corrective action plan
- d) Inform CAA about corrective actions performed and
- e) After being satisfied, the CAA shall close its findings.

Appendix 1

Application Form

Example of the application for approval as a supplier of groundhandling services or a self-handler is shown in the pages to follow. Same application form applies for initial approval, its extension or amendment.

Application form in word format is posted in the CAA website at www.caa-ks.org



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APPLICATION FOR APPROVAL AS A SUPPLIER OF GROUNDHANDLING SERVICES OR A SELF-HANDLER

The following form shall be completed at the headquarters level of supplier of groundhandling services or airport users wishing to self-handle.

Company name:

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(Please state the legal name of the company. This name will be used on the CAA approval form)

Company details:

Street	
City	
State/Province	
Postal Code	
Country	
Telephone	
Fax	

Key contact details:

Name	
Title	
Telephone	
Fax	
GSM	
Email	

Ground handling services will be provided by:

Managing body of the airport	<input type="checkbox"/>
Airport users wishing to self-handle	<input type="checkbox"/>
Other suppliers of ground handling services	<input type="checkbox"/>

Approval type:

Initial approval	<input type="checkbox"/>
Extension of the approval	<input type="checkbox"/>
Amendment of the approval	<input type="checkbox"/>

Date (dd.mm.yyyy.)	Name of the authorized representative	Signature

1. Location:

Nominate station at which you intend to provide ground handling services	
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2. List of services:Schedule I

Please tick appropriate boxes in respect of each sub-category.

1. Ground Administration and Supervision	Self-Handling	Third Party Handling
1.1 Representation and liaison services with local authorities or any other entity, disbursements on behalf of the airport user and provision of office space for its representatives.	<input type="checkbox"/>	<input type="checkbox"/>
1.2 Load control, messaging and telecommunications.	<input type="checkbox"/>	<input type="checkbox"/>
1.3 Handling, storage and administration of unit load devices.	<input type="checkbox"/>	<input type="checkbox"/>
1.4 Any supervision services before, during or after the flight and any administrative service requested by the airport user, other than those set out in 1.1, 1.2 and 1.3.	<input type="checkbox"/>	<input type="checkbox"/>
2. Passenger Handling	<input type="checkbox"/>	<input type="checkbox"/>
2.1 Any kind of assistance to arriving, departing, transfer or transit passengers including checking tickets and travel documents, registering baggage and carrying it to the sorting area.	<input type="checkbox"/>	<input type="checkbox"/>
3. Freight and Mail Handling	<input type="checkbox"/>	<input type="checkbox"/>
3.1 For freight: handling of related documents, customs procedures and implementation of any security procedure agreed between the parties or required in the circumstances.	<input type="checkbox"/>	<input type="checkbox"/>
3.2 For Mail: handling of related documents and implementation of any security procedure between the parties or required by the circumstances.	<input type="checkbox"/>	<input type="checkbox"/>
4. Aircraft Services	<input type="checkbox"/>	<input type="checkbox"/>

4.1 External and internal cleaning of the aircraft, and the toilet and water services.	<input type="checkbox"/>	<input type="checkbox"/>
4.2 Cooling and heating of the cabin, the removal of snow and ice, the de-icing of the aircraft.	<input type="checkbox"/>	<input type="checkbox"/>
4.3 Re-arrangement of the cabin with suitable cabin equipment and the storage of this equipment.	<input type="checkbox"/>	<input type="checkbox"/>
5. Aircraft Maintenance	<input type="checkbox"/>	<input type="checkbox"/>
5.1 Routine maintenance services performed before flight.	<input type="checkbox"/>	<input type="checkbox"/>
5.2 Non-routine maintenance services requested by the airport user.	<input type="checkbox"/>	<input type="checkbox"/>
5.3 Provision and administration of spare parts and suitable equipment.	<input type="checkbox"/>	<input type="checkbox"/>
5.4 Request for or reservation of a suitable parking and/or hangar space.	<input type="checkbox"/>	<input type="checkbox"/>
6. Flight Operations and Crew Administration	<input type="checkbox"/>	<input type="checkbox"/>
6.1 Preparation of the flight at the departure airport or at any other point.	<input type="checkbox"/>	<input type="checkbox"/>
6.2 In-flight assistance, including re-dispatching if needed.	<input type="checkbox"/>	<input type="checkbox"/>
6.3 Post-flight activities.	<input type="checkbox"/>	<input type="checkbox"/>
6.4 Crew administration.	<input type="checkbox"/>	<input type="checkbox"/>
7. Surface Transport	<input type="checkbox"/>	<input type="checkbox"/>
7.1 Organisation and execution of crew, passenger, baggage, freight and mail transport between different terminals of the same airport, but excluding the same transport between the aircraft and any other point within the perimeter of the same airport.	<input type="checkbox"/>	<input type="checkbox"/>
7.2 Organisation and execution of special transport requested by the airport user.	<input type="checkbox"/>	<input type="checkbox"/>
8. Catering Services	<input type="checkbox"/>	<input type="checkbox"/>
8.1 Liaison with suppliers and administrative management.	<input type="checkbox"/>	<input type="checkbox"/>
8.2 Storage of food and beverages and of the equipment needed for their preparation.	<input type="checkbox"/>	<input type="checkbox"/>
8.3 Cleaning of equipment required for 8.2.	<input type="checkbox"/>	<input type="checkbox"/>
8.4 Preparation and delivery of equipment as well as of bar and food supplies.	<input type="checkbox"/>	<input type="checkbox"/>

Schedule II

Please tick appropriate boxes in respect of each sub-category.

1. Baggage Handling	Self-Handling	Third Party Handling
1.1 Handling baggage in the sorting area, sorting it, preparing it for departure, loading it onto and unloading it from the devices designed to move it from the aircraft to the sorting area and vice versa, as well as transporting baggage from the sorting area to the reclaim area.	<input type="checkbox"/>	<input type="checkbox"/>
2. Freight and Mail Handling	<input type="checkbox"/>	<input type="checkbox"/>
2.1 Physical handling of freight and mail whether incoming, outgoing or being transferred, between the air terminal and the aircraft.	<input type="checkbox"/>	<input type="checkbox"/>
3. Ramp Handling	<input type="checkbox"/>	<input type="checkbox"/>
3.1 Marshalling the aircraft on the ground at arrival and departure.	<input type="checkbox"/>	<input type="checkbox"/>
3.2 Assistance to aircraft parking and provision of suitable devices.	<input type="checkbox"/>	<input type="checkbox"/>
3.3 Communication between the aircraft and the air-side supplier of services.	<input type="checkbox"/>	<input type="checkbox"/>
3.4 Loading and unloading of the aircraft, including the provision and operation of suitable means, as well as the transport of crew and passengers between the aircraft and the terminal, and baggage transport between the aircraft and the terminal.	<input type="checkbox"/>	<input type="checkbox"/>
3.5 Provision and operation of appropriate units for engine starting.	<input type="checkbox"/>	<input type="checkbox"/>
3.6 Moving of the aircraft at arrival and departure, as well as the provision and operation of suitable devices.	<input type="checkbox"/>	<input type="checkbox"/>
3.7 Transport, loading on to and unloading from the aircraft of food and beverages.	<input type="checkbox"/>	<input type="checkbox"/>
4. Fuel and Oil Handling	<input type="checkbox"/>	<input type="checkbox"/>
4.1 Organisation and execution of fuelling and defuelling operations, including the storage of fuel and the control of the quality and quantity of fuel deliveries.	<input type="checkbox"/>	<input type="checkbox"/>
4.2 Replenishing of oil and other fluids.	<input type="checkbox"/>	<input type="checkbox"/>

3. Financial capability:

You should provide proof of financial capability through submission of the following documents:

a) suppliers of groundhandling should submit evidence:

Evidence	Submitted	Not submitted
the company account has not been blocked within the last six months	<input type="checkbox"/>	<input type="checkbox"/>
the company does not have any unpaid taxes	<input type="checkbox"/>	<input type="checkbox"/>
audited annual accounts for the two most recent financial years	<input type="checkbox"/>	<input type="checkbox"/>

b) Airport users wishing to self-handle should submit:

Evidence	Submitted	Not submitted	N/A
existing insurance policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
valid operating license (if applicable)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4. Insurance liability:

a) suppliers of groundhandling should submit:

Location of services provided	Minimum insurance requirement	Evidence
Provision of groundhandling services on the landside	Minimum 2.5 million Euro	<input type="checkbox"/>
Provision of the groundhandling services on the airside	Minimum 50 million Euro	<input type="checkbox"/>
Provision of fuel and oil handling services	Minimum 250 million Euro	<input type="checkbox"/>

b) Airport users wishing to self-handle should submit:

Evidence	Submitted	Not submitted
Corporate insurance policy	<input type="checkbox"/>	<input type="checkbox"/>

5. Company procedure manual:

1. Please enclose adequate document(s) (procedures or manuals) containing:
 - a. organizational chart
 - b. list of management personnel
 - c. description of responsibilities and duties
 - d. equipment in use
 - e. qualification requirements for personnel
 - f. corresponding training requirements and training plan
 - g. safety management procedures
 - h. standard handling procedures
 - i. specific handling procedures related to specific operators-customers

2. Please enclose any additional supporting documents, including organizational charts, company presentations, etc.

Evidence	Submitted	Not submitted
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

NOTES

1. Applicants are also advised to contact the Groundhandling Unit at the airport at which it is proposed to engage in groundhandling activities in order to be aware of additional obligations which must be met by groundhandlers.
2. The completed application form for initial/extension/amendment of the approval must be accompanied by the applicable fee.