

STATEMENT OF COMPLIANCE
GUIDANCE MATERIAL FOR INSPECTORS AND AIR OPERATORS
CA AOC-003

SOUTH AFRICAN



***CIVIL AVIATION
AUTHORITY***

AIR OPERATOR CERTIFICATION

References: Root requirement for a Statement of Compliance

- ICAO Annex 6
- ICAO Doc 8335

Note: A template in Word Format is supplied for use by the operator:
CA AOC-C-017 Statement of Compliance: Template and Checklist.

STATEMENT OF COMPLIANCE

INTRODUCTION

Preparation of the Statement of Compliance benefits the applicant by systematically ensuring that all applicable specific regulatory requirements are appropriately addressed during the certification process. The Statement of Compliance also serves as a master index to the applicant's Manual System. The Statement of Compliance is an important source document and serves as the applicant's "roadmap of compliance" during the initial certification process as well as after the certificate is granted. It is a "living document" that may be modified during Phase 4 (Demonstration Phase) of the certification process and thereafter during continued surveillance. Once the certification process is completed, the applicant should continue to keep the Statement of Compliance current as changes are incorporated into their Manual System. A properly constructed Statement of Compliance will expedite the SACAA's review and approval of the applicant's operation and manual system.

HOW TO ASSEMBLE A STATEMENT OF COMPLIANCE

The Statement of Compliance shall be in the form of a complete listing of all Parts of all South African Civil Aviation Regulations (CAR) pertinent to the operation the applicant is proposing. In addition, the Applicant should address all applicable regulations referenced within the pertinent Part (i.e. Part 121) such as Parts 64 (Cabin Attendant Training) and 91 (General Operating and Flight Rules).

This list should reference each applicable **subpart**, such as i.e. "SUBPART 3: TRAINING AND CHECKING, , each applicable regulation, such as Training of flight crew members, 121.03.1(1), 121.03.1(2), 121.03.1(2)(a), 121.03.1(2)(b), 121.03.1(2)(c) and 121.03.1(3) and each Regulation, Technical Standard (CATS), AIC and notes contained within each regulation such as 121.03.1(2)(a) "each flight crew member As prescribed in Document SA-CATS 121." 121.03 1(2)(b) " the training shall only..... in terms of Part 141...". Next to each Regulation the applicant must provide all references developed in any pertinent manual (or other document, such as a passenger safety information card) within its manual system that contains the method, or methods of compliance. The location of each reference should be as specific as possible and should contain the name of the manual, chapter, section and paragraph number(s). Using manual page numbers in the Statement of Compliance may produce inaccurate reference locations due to repaginations problems.

There are many multiple reference locations for one Regulation found within one manual, or there may be multiple reference locations found in several different volumes and/or manuals (i.e. Flight Operations Manual, Cabin Crew Member Manual, Maintenance Control Manual etc.) All reference locations for the method of compliance must be listed under the method of compliance for manual references by the operator as in our example. It is not acceptable to enter reference statements such as "ABC Airlines will comply with this requirement," "ABC Airlines understands this Regulation and will comply" or "Noted". Regulations that do not apply to the applicant's proposed operation may be referenced with "Not applicable."

INITIAL STATEMENT OF COMPLIANCE

The initial Statement of Compliance shall be in the form of a complete listing of all pertinent sections and subparts relevant SACAR. Where compliance information has been developed, a manual reference or description of method of compliance must be entered next to the applicable regulatory section. If the method of compliance has not been fully developed, the applicant should indicate that the compliance information would be provided in the final Statement of Compliance. The initial Statement of Compliance may be abbreviated where appropriate. However, the initial Statement of Compliance, which does not clearly document an applicant's knowledge of regulatory requirements, is unacceptable. Statements such as "will comply" are not sufficient. The initial Statement of Compliance (and later, the final Statement of Compliance) provides the only written evidence the applicant's or operator's understanding of the SACAR requirements.

FINAL STATEMENT OF COMPLIANCE

Deficient areas will be communicated to the applicant and a resolution shall be negotiated. Demonstrations must not be conducted until the certification team is satisfied that all regulatory requirements have been adequately addressed through the team's review of the final Statement of Compliance and Formal Application package. The PM must conduct a cursory review the Initial Statement of Compliance as soon as possible to determine that it complies with the form and content and that the applicant has proceeded in an appropriate manner. The Statement of Compliance will be given an in depth review late in the certification process. The applicant's methods of compliance will be evaluated throughout the demonstration phase.

EXAMPLE

It is recommended that the STATEMENT OF COMPLIANCE be prepared similar to the example that follows:

EXAMPLE: STATEMENT OF COMPLIANCE TABLE FORMAT

<i>Note: The information in the three columns below must be completed by the Operator</i>			<i>SACAA Inspector's Checkmark and Initials</i>			
<p style="text-align: center;">OPERATIONS MANUAL SYSTEM</p> <p>List of acronyms, manuals, procedures and documents in (operator's name) Operations Manual system:</p> <p>1. 2. etc.</p>						
REGULATION	METHOD OF COMPLIANCE MANUAL REFERENCE	Not Applicable	Acceptable	Unacceptable	Note number	
SUBPART 3: TRAINING AND CHECKING						
Division One: General						
Training of flight crew members						
121.03.1(1)	The operator of a large commercial air transport aeroplane shall establish and maintain a ground and flight training programme for flight crew members in his or her employ.	OM Chapter 4, Section 1, Paragraph 3	X AD			
121.03.1(2)	The operator shall ensure that –					
121.03.1(2)(a)	each flight crew member receives training in accordance with this subpart and the appropriate syllabus as prescribed in Document SA-CATS-OPS 121;	OM Chapter 4, Section 1, Paragraph 2, TM Chapter 4, Section 3, Paragraph 2, FM Chapter 6, Section 1, Paragraph 10				
121.03.1(2)(b)	the training shall only be provided by the holder of an aviation training organisation approval issued in terms of Part 141; and	OM Chapter 4, Section 2, Paragraph 35, TM Chapter 4, Section 2, Paragraph 12				
121.03.1(2)(c)	each flight crew member passes a written examination with regard to all the subjects of the training syllabus referred to in paragraph (a)	OM Chapter 4, Section 3, Paragraph 1, TM Chapter 8, Section 3, Paragraph 9				

121.03.1(3)	The provisions of this subpart shall apply in respect of full-time and part-time employed flight crew members.	OM Chapter 14, Section 3, Paragraph 21, TM Chapter 5, Section 3, Paragraph 2				

Note: The Acronyms utilized in the above table under the column entitled Method of Compliance/Manual Reference are as follows: OM – Operations Manual, TM – Training Manual, FM – Flight Manual, etc. The operator should provide a list of all the manuals contained in its Manual System and the acronyms they use in this document and what they refer to either at the beginning or the end of the Statement of Compliance.

Note: Whenever an inspector places a checkmark and his initials in the box labeled “Unacceptable” for a method of compliance to the regulation a reason for the Unacceptable must be given to the operator. This is done by writing a note number in pen and ink in the “Note number” column next to the column that is checked “Unacceptable”. (A reason for the Unacceptable must be given to the operator on the last page under “ADDITIONAL REMARKS BY THE INSPECTOR”).

Note: A template in Word Format is supplied for use by the operator:
CA AOC-C-017 Statement of Compliance: Template and Checklist.

EXAMPLE

1. The information in the first four columns below must be completed by the Operator
2. “XXX” to be replaced by the applicable CAR Part
3. **CA AOC-C-017 Statement of Compliance Template and Checklist**
 (Word Format for use by the operator)

SACAA Inspector’s Checkmark
and Initials

REGULATION	METHOD OF COMPLIANCE MANUAL REFERENCE	Not Applicable	Acceptable	Unacceptable	Note number
List the Manuals and acronyms that make up the Operations Manual System:					
1.					
SUBPART 1: GENERAL Applicability					
XXX.01.1					



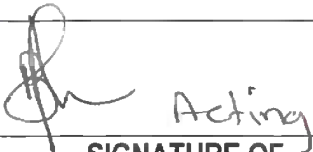
REMARKS:

The Statement of Compliance has not been approved due to the non-compliance indicated in the column labeled “Unacceptable” as a method of compliance to a particular regulation.

For official use: CAA

ADDITIONAL REMARKS BY INSPECTOR:

Note number	Reason	Inspector	Signature

REVIEWED & VALIDATED BY:		
	PULE RAMOLEFI	2015 -09- 15
SIGNATURE OF SENIOR MANAGER: FOD	NAME IN BLOCK LETTERS	DATE
APPROVED BY:	 CAA AUTHORISED OFFICER B. VORSTER 0271029449 Designated as an Authorised Officer in terms of Section 88(1) of the Civil Aviation Act 13 of 2009	
 <i>Acting</i>		2015 -09- 16
SIGNATURE OF EXECUTIVE MANAGER: ASO	NAME IN BLOCK LETTERS	DATE