



Pre-application Advisory Circular

Subject: CERTIFICATION OF AN AIR OPERATOR

Date: 01/05/2008

1. PURPOSE.

- a. This Advisory Circular (AC) describes the process of applying for and obtaining an Air Operator Certificate (AOC) to conduct commercial air transport operations under the Civil Aviation Regulations (CAR). The certification process may appear to be a complex undertaking, particularly to a “first-time” operator. This AC provides basic information applicable to the certification process. This AC does not describe the process for obtaining an AOC. When the AOC applicant proposes to conduct maintenance under the equivalent system of maintenance is referenced in CAR Part 145.
- b. Because there are a variety of acceptable methods for preparing manuals, including training manuals, a detailed discussion of acceptable methods for preparing these documents is not in this AC. Operators will be briefed in as much detail as necessary regarding the preparation of manuals and other required documents during meetings with CAA personnel. The information in this AC and the reading material referenced in this AC will assist the operator in completing the process with minimal delays and complications.

2. RELATED REGULATIONS.

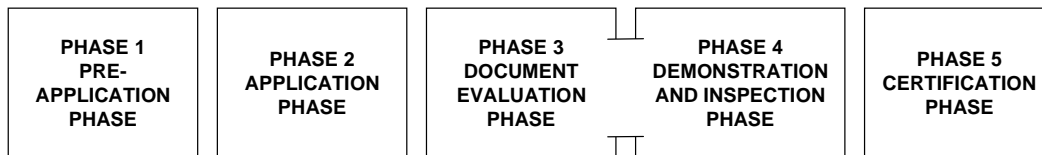
Aviation Act, Civil Aviation Regulations (CAR) Parts 61, 63, 64, 91, 121, 141, 127, 135

3. RELATED READING MATERIAL.

- a. The CAA (the Authority) publishes Aeronautical Circulars from time to time. These documents provide more complete information on other CAA publications and how they may be obtained. Reference to the SACAA website is also advisable for the gathering of information.
- b. Air Transport Operator economic regulatory functions are under the jurisdiction of the South African Department of Transport.

4. BACKGROUND.

- a. To conduct Commercial Air Transport Operations under SACAA regulations, an operator must be a citizen as defined in South African Aviation Law. The CAA recognises the responsibility of Commercial Air Transport Operators to provide air transportation with the highest degree of safety possible in the public interest. The certification process is designed to ensure that prospective AOC holders understand and are capable of fulfilling this duty. When satisfactorily completed, the certification process should ensure that the operator is able to comply with the South African Aviation Law, CAA regulations, and the international standards pertaining to the operation of aircraft as published in relevant ANNEXES to the convention on International Civil Aviation Organisation (ICAO).
- b. There are five phases in the air operator certification process. Each phase is described in sufficient detail to provide a general understanding of the entire certification process. (See appendix 6 for a detailed flow chart of the entire certification process). The five phases are:
 - (1) Pre-application
 - (2) Formal Application
 - (3) Document Evaluation
 - (4) Demonstration and Inspection
 - (5) Certification
- c. In some cases, the guidance and suggested sequence of events in this AC may not be entirely appropriate. In such situations, the CAA and the operator should proceed in a manner that considers existing conditions and circumstances. The operator, however, should not expect to be certificated until the CAA is assured that the SA aviation law and its Civil Aviation Regulations will be complied with in an appropriate and continuing manner.



5. PRE-APPLICATION PHASE.

- a. As far in advance as possible of an anticipated start of operations, a prospective operator should contact the CAA and inform the CAA of its intent to apply for an AOC. The prospective operator will be invited to meet briefly with CAA personnel. During this initial meeting, only basic information and general certification requirements will be discussed. If the prospective operator intends to proceed with certification, CAA Form, Prospective Operator Pre-application Statement (POPS) will be furnished. A sample of this form is attached to this AC. The POPS should be completed, signed by the prospective operator, and returned to the CAA Office.
- b. CAA personnel will review the POPS. If the information is incomplete or erroneous, the POPS will be returned to the prospective operator with the reasons for its return noted. If the information is complete and acceptable, the CAA will appoint inspectors who will be assigned to the certification project. They will schedule a pre-application meeting with the prospective operator during which the prospective applicant will be provided with an information package appropriate to the proposed operation. The CAA representatives will answer any questions that the prospective operator may have.
- c. The CAA will designate one certification team member as the Project Manager (PM). The PM is the official CAA spokesperson throughout the certification project.

- d. The purpose of the pre-application meeting is to confirm the information on the POPS and to provide critical certification information to the applicant. It is important at this time to inform the applicant that the certification process, (size, scope and the complexity of the operation taken into consideration), may take from 9 – 12 months to be completed for operators operating aircraft >3500kg MAUW. It is recommended that the operator's key management personnel (and agent if applicable) attend these pre-application meetings and be prepared to discuss in general terms the plans and specific aspects of the proposed operation. Many problems can be avoided by discussing all aspects of the proposed operation and the specific requirements, which must be met to be certificated as an air operator.
- e. It is important to establish good working relationships and clear understandings between the CAA and the operator's representatives. The CAA recognises that a wide range of capabilities and expertise exists among operators. This background experience will be considered by the CAA and adjusted to during these initial meetings.
- f. To help promote understanding throughout the certification process, a pre-application information package will be provided during the pre-application meeting. The pre-application information package includes the following:
 - (1) "POPS form, CA AOC-F-003", If not previously provided
 - (2) "Pre-Application Advisory Circular (CA AOC-AC-001)" if not previously provided.
 - (3) The certification job aid "Schedule of Events (AOC Certification Job Aid) (AOC-F-006)" that will be used by CAA inspectors during the certification project.
 - (4) CA AOC-AC-002 (Quality System Programme Advisory Circular)
 - (5) A schedule of events," Proposed Schedule of Events (AOC-F-008)" which must be completed and submitted by the applicant with the formal application
 - (6) An example set of Operating Provisions / "Operations Specifications Template: CA AOC-F-011"
 - (7) Other publications or documents the PM believes will be useful to the operator (*i.e.*, job/aid on cabin safety/base inspections etc.) or direct the applicant to the SACAA website with guidance material for Air Operator Certification.
- g. Subpart 06 of the relevant CAR specifies that an application for an AOC shall be made in a form and manner acceptable to the Authority; and, containing any information the Authority requires the applicant to submit. It is important to understand the minimum documentation necessary to be considered acceptable for a formal application. Formal application must be made on a form provided by the Authority. Certain documents must be submitted with the formal application. These documents (attachments) are briefly described in paragraphs 5h through 5q and will be discussed in detail during the pre-application meeting.
- h. Draft Operating Provisions Attachment. This attachment describes the applicant's intended authorisations, limitations, provisions, and privileges specific to the operator's operations.
- i. Air Operator Certification Job Aid and Schedule of Events Attachment. The schedule of events [see Appendix 3] is a key document that lists items, activities, programs, and aircraft and/or facility acquisitions that must be accomplished or made ready for the CAA's inspection before certification. It should include dates when the crewmembers will start company indoctrination procedures. In addition, the schedule of events should include dates when maintenance personnel training will start; when maintenance facilities will be ready for the CAA's inspection; when each of the required manuals will be available for evaluation; when aircraft will be ready for inspection; when terminal facilities will be ready for inspection; when emergency evacuation demonstrations; ditching demonstrations, and demonstration flights are planned to be performed, and the date of the proposed assessment of Chief Training and Checking Officer and other approved persons. These estimated dates must be logical in terms of sequence. For example, the estimated date for crewmember basic company procedures indoctrination ground training to begin should be after the date that sections of the company manuals pertinent to crewmember performance

will be completed and submitted. Reasonable time for the CAA to review, inspect, and approve each item or event should also be provided when approval is required before beginning a subsequent event or item. Failure to accomplish an item or event in a satisfactory manner or in accordance with the schedule of events could delay the certification. If at any time during the certification process the operator finds it necessary to revise the schedule of events, the PM should be notified as soon as practical.

- j. Company General Manuals Attachment. These manuals, which may be issued in separate parts for specific users, contain information about the operator's general policies, duties and responsibilities of personnel, operational control policy, and procedures. These are commonly referred to as the Operations Manual and the Maintenance Control Manual. CARs require these manuals to include instructions and information necessary to permit flight, ground, and contract personnel to perform their duties and responsibilities with a high degree of safety. Subpart 04.2 of the relevant CAR, including the Technical Standards (CATS) prescribe the content of these manuals. The entire manual system, as required by these CARs, shall be completely developed at the time of formal application.
- k. Training and Checking Manuals. It is recognised that aircraft acquisition, facility arrangements, and certain training program elements may not be fully developed at the time of formal application. The company initial training curriculum portion of the Training Manual (completed to the extent possible) must be attached to the application form. Initial training curricula must include at least the following curricula segments:
 - (1) Company Procedures Indoctrination Training
 - (2) Initial Emergency Equipment Drills Training
 - (3) Initial Aircraft Ground Training
 - (4) Initial Aircraft Flight Training
- l. Management Structure and Qualification Attachment.
 - (1) CARs establish basic management positions and the implementing standards establish minimum qualifications for air operators proposing to conduct scheduled or charter commercial air transportation operations. It may be possible to obtain a deviation from these required basic management positions and qualifications, depending on the complexity of the planned operation. Individuals assigned to the required management positions are expected to have a thorough knowledge of the operator's company manuals, operating provisions, the CAR and the planned operations relevant to the position. This attachment must contain resumes of the qualifications, licenses (including license numbers), ratings, and aviation experience for each of the following positions, or their equivalent:
 - (i) Chief Executive Officer or General Manager
 - (ii) Responsible Person Operations
 - (iii) Responsible Person Aircraft
 - (iv) Chief Pilot
 - (v) Training Captain
 - (vi) Safety Officer
 - (vii) Quality Manager
 - (viii) Person Responsible for Maintenance
 - (2) If a deviation from the management requirements is anticipated, it should be noted in the formal application letter. The actual request for deviation, however, must be made in a separate petition, which presents specific justification. This request for a deviation should be made to the CAA as soon as practical to enable the individual who will hold the position to be involved early in the certification process.
- m. Documents of Purchase, Leases, Contracts, and/or Letters of Intent Attachments. These attachments should provide evidence that the operator is in the process of actively procuring aircraft, facilities, and services appropriate to the type of operation proposed. If

formal contracts are not completed letters or other documents showing preliminary agreements or intent will suffice until such date as determined by the Authority. Examples of the types of equipment, facilities, and services that should be addressed in these documents are as follows:

- (i) Aircraft
- (ii) Station facilities and services
- (iii) Weather gathering facilities and services
- (iv) Communications facilities and services
- (v) Maintenance facilities and services
- (vi) Maintenance contractual arrangements
- (vii) Aeronautical charts and related publications
- (viii) Aerodrome analysis and obstruction data
- (ix) Contract training and training facilities

- n. **Initial Statement of Compliance.** This attachment should be a complete listing of all CARs applicable to the proposed operation. Pertinent subparts and each relevant section of the regulation should be identified and accompanied by a brief description, or preferably a specific reference, to a manual or other document. The brief description or reference must describe the method of compliance for each regulation listed. If the precise method of compliance has not been developed at the time of formal application, an indication of the date that this information will be provided will suffice, if the date provided is reasonable, and acceptable to the Authority. The following examples are samples of how relevant sections of CAR should be presented in a Statement of Compliance.

EXAMPLE 1.

Statement of Compliance - method of compliance **not developed** at time of formal application.
CAR: 121.03.12. Recurrent training.
This is currently under review and will be submitted for approval by (date).

EXAMPLE 2.

Statement of Compliance - method of compliance **fully developed and documented**
CAR: 121.04.6. Flight time and duty period (FDP) records.
Flight Operations Manual (FOM) p. 129, para. 243;
Cabin Crew Manual (CCM) p. 45, para. 12.5.

EXAMPLE 3.

Statement of Compliance - method of compliance **fully developed - acceptable presentation.**
CAR: 135.07.20 Reporting mechanical irregularities.
The air operator instructs the pilot in command (PIC) on the requirements for and methods of completing the technical log of the aeroplane. The PIC is required to review the technical log before each flight and to ascertain the airworthiness status of the aeroplane by checking each previous log entry. The MCM instructs maintenance personnel on the requirement to record discrepancies discovered during pre-flight checks and other types of checks.

- o. List of Aircraft. This attachment should consist of a list of aircraft, (by make, model, and series) that the applicant intends to operate.
- p. List of Designated Destination and Alternate Aerodromes. This attachment is required if the applicant is applying for scheduled domestic or scheduled international operations.
- q. A thorough understanding of pertinent regulations and advisory materials is critical to the success of the entire certification process. The operator and key management personnel

must understand which regulations apply to the intended operation. A sample list of CARs as they apply to various kinds and types of operations is in Appendix 4.

- r. During the pre-application phase and throughout the certification process, the operator will have to prepare documents and manuals for the CAA's evaluation and approval or acceptance. The operator is encouraged to informally co-ordinate drafts of these documents with the CPM and other inspectors assigned to the certification project. Time spent on informal co-ordination can significantly reduce the workload for the operator and the inspectors once the formal application is submitted. The inspectors will give advice and guidance; however, the actual development of acceptable documents and manuals is always the responsibility of the operator.

6. FORMAL APPLICATION PHASE.

- a. **It is recommended that the formal application is submitted at least 90 days before revenue operations are expected to begin, although the application should be submitted to the CAA Authority as far in advance of the proposed start-up date as possible.**
- b. The CAA will review the application to determine that it contains the required information and attachments. If there are omissions or errors, the formal application and all attachments will be returned with a letter outlining the reasons for its return. If the operator has a good understanding of the requirements, the formal application should be of sufficient quality to allow any omission, deficiency, or open question to be resolved during the formal application meeting.
- c. The operator's key management personnel should attend the formal application meeting. The purpose of the meeting is to discuss the formal application and resolve omissions, deficiencies, or answer questions from either party. For example, this meeting may be used to resolve questions concerning the applicant's package or scheduling date conflicts, or to ensure the applicant understands the certification process. This meeting should also be used to reinforce open communication and working relationships.
- d. The operator will be notified by letter stating whether the formal application is accepted or rejected. The CAA's acceptance of a formal application does not constitute approval or acceptance of individual attachments. These documents will be evaluated thoroughly during subsequent phases of the certification process. If, the formal application is not accepted, it will be returned with a written explanation of the reasons for its return.

7. DOCUMENT EVALUATION PHASE.

- a. After the formal application has been accepted, inspectors will begin a thorough evaluation of all the manuals and documents that are required by regulation to be submitted to the CAA. The CAA Authority will endeavour to complete these evaluations in accordance with the operator's schedule of events. If a manual or document is incomplete or deficient, or if non-compliance with the regulations or safe operating practices is detected, the manual or document will be returned for corrective action. If the manuals and documents are satisfactory, they will be approved or accepted, as required by CAR. Approvals may be indicated by letter as appropriate, or by approval of Operating Provisions (OpSpecs). Acceptance of information that does not require formal approval will be indicated by letter or by the lack of the CAA's objection to the information.
- b. The complexity of the information which must be addressed in the operator's manuals and other documents depends on the complexity of the planned operation. The following list provides examples of information that must be provided by the operator and evaluated by the CAA during this phase:

- (1) Management personnel resumes outlining proposed management qualifications and civil aviation compliance histories.
 - (2) Operations Manual (a system of manuals, may be in one or more parts).
 - (3) Maintenance Control Manual (may be in one or more parts). Includes the Approved Maintenance Organisations (AMO) Maintenance Procedures Manual (MPM).
 - (4) Aircraft maintenance programs and supporting manuals such as Maintenance Review Board (MRB) and Corrosion Prevention Control Program (CPCP).
 - (5) Mass and balance procedures/program.
 - (6) Training Program Manual.
 - (7) Approved Aircraft Flight Manual.
 - (8) Aircraft Operations Manual.
 - (9) Minimum Equipment List (MEL) and MEL Management Program
 - (10) Configuration Deviation List (CDL).
 - (11) Cockpit checklist.
 - (12) Passenger briefing cards.
 - (13) Noise and emission plan (if applicable).
 - (14) Airport Runway Analysis
 - (15) Deviation requests.
 - (16) Dangerous Goods.
 - (17) Cabin Attendant Manual.
 - (18) Dispatch/flight following/flight locating procedures/Emergency response plan.
 - (19) Draft Specific Operating Provisions (operations and airworthiness).
 - (20) Maintenance Reliability Program (optional).
 - (21) Plan for Demonstration Flights.
 - (22) Emergency evacuation demonstration plan.
 - (23) Ditching demonstration plan.
 - (24) Fully completed Statement of Compliance.
- c. The fully completed Statement of Compliance is the final evolution of the Initial Statement of Compliance that was submitted with the formal application. The fully completed Statement of Compliance ensures each applicable regulatory requirement has been adequately addressed in the appropriate manuals, programs, and/or procedures.

8. DEMONSTRATION AND INSPECTION PHASE.

- a. CARs require an operator to demonstrate its ability to comply with regulations and safe operating practices before beginning actual revenue operations. These demonstrations include actual performance of activities and/or operations while being observed by CAA inspectors. This includes on-site evaluations of aircraft maintenance equipment and support facilities. During these demonstrations and inspections, the CAA evaluates the effectiveness of the policies, methods, procedures, and instructions as described in the operator's manuals and other documents. Emphasis is placed on the operator's management effectiveness during this phase. Deficiencies will be brought to the attention of the operator and corrective action must be taken before a certificate is issued.
- b. Although the document evaluation and the demonstration and inspection phases have been discussed separately in this AC, these phases overlap, or are accomplished simultaneously in actual practice. The following list provides examples of the types of items, equipment, facilities, and activities evaluated during the demonstration and inspection phase.
 - (1) Conduct of training programs (classroom, simulators, aircraft, flight and ground personnel training).
 - (2) Crewmember and Flight Operations Officer testing and certification.
 - (3) Station facilities (equipment, procedures, personnel, fuelling/Defuelling, de-icing, technical data).
 - (4) Recordkeeping procedures (documentation of training, flight and duty times, flight papers).
 - (5) Flight control (Flight Supervision and Monitoring system or Flight Following system)

- (6) Maintenance and inspection programs (procedures, record keeping).
- (7) Aircraft (conformity inspection, aircraft maintenance records, etc.).
- (8) MELs and CDLs (compliance with operating and maintenance procedures, etc., if applicable).
- (9) Mass and balance program (procedures, accuracy, and document control).
- (10) Passenger emergency evacuation demonstration (aborted takeoff demonstration and ditching demonstration).
- (11) Demonstration Flights. Includes full-scale simulation of revenue operations to demonstrate the ability to operate independently, safely, and in compliance with all applicable CARs.

c. The Demonstration and Inspection Phase outline under paragraph 8a. through 8b. is only applicable to the certification of an air operator.

NOTE:

An applicant for an air operator certificate (AOC) may concurrently seek CAA approval of its maintenance organisation. The applicant needs to co-ordinate the progress of both certification projects. Both certification projects must be in the Demonstration and Inspection Phase at the same time. This is because the Demonstration Flights cited under CAR, require the applicant to demonstrate to the CAA all proposed flight and ground operations. The applicant therefore will also be expected to demonstrate use of its Approved Maintenance Organisation to ensure that procedures in the Maintenance Control Manual (MCM) and Maintenance Procedures Manual (MPM) are in agreement.

9. CERTIFICATION PHASE.

- a. After the document compliance and the demonstration and inspection phases have been completed satisfactorily, the CAA will prepare an Air Operator Certificate and approve the Operational Specifications (OpSpecs). The OpSpecs contain authorisations, limitations, and provisions specific to an operator's operation. The operator must acknowledge receipt of these documents.
- b. The certificate holder is responsible for continued compliance with CARs and the authorisations, limitations, and provisions of its certificate and OpSpecs. (See CA AOC-002 and CA AOC-F-011.) As a certificate holder's operation changes, the OpSpecs will be amended accordingly. The process for amending OpSpecs is similar to the certification process. In some cases it may be a less complex procedure depending on the subject of the amendment. The CAA is responsible for conducting periodic inspections of the certificate holder's operation to ensure continued compliance with the CAR and safe operating practices.

10. EXPLANATION OF APPENDIXES IN THIS ADVISORY CIRCULAR.

- a. Appendix 1 provides the applicant with instructions on how CAA Form: " CA AOC-F-003: Prospective Operator's Pre-Assessment Statement (POPS)" should be completed. Section 1, items 1 through 11, should be completed and signed by the applicant and returned to the appropriate CAA office. Sections 2 and 3 are reserved for CAA use.
- b. Appendix 2 provides the applicant with a sample formal application letter
- c. Appendix 3 provides the inspector with a certification job aid (CA AOC-F-006) used to track the certification process.
- d. Appendix 4 provides a list of applicable regulations.

- e. Appendix 5 provides definitions of terms as they are used in the certification process.
- f. Appendix 6 provides a detailed flow chart of the entire certification process.
- g. Appendix 7 provides the applicant with a schedule of events job aid.

Commissioner for Civil Aviation

APPENDIX 1. INSTRUCTIONS FOR COMPLETING THE PROSPECTIVE OPERATOR PRE-APPLICATION STATEMENT (OF INTENT) FORM (POPS). THIS FORM IS TO BE COMPLETED BY AN AIR OPERATOR OR MAINTENANCE ORGANISATION APPLICANT.

1. Enter the company's official name and mailing address. Include any other business name if different from the company name).
2. This address shall be the physical location where primary operating activities are based. It is where the offices of management required by regulation are located. If the address is the same as item 1, enter "same." Include secondary business addresses of operation and identify the type of operation conducted.
3. Enter the estimated date when operations or services will begin.
4. Enter the names, titles, and telephone numbers of required management personnel including the person responsible for maintenance.
5. The proposed type of operation shall be indicated. Check as many boxes as apply.
6. Aircraft Data is to be provided here. Indicate number and types of aircraft by make, model, series, and number of passenger seats or cargo payload capacity. For foreign registered aircraft, provide a copy of the lease agreement.
7. Show any information that would assist CAA personnel in understanding the type and scope of operation or services to be performed by the applicant. If an air operator intends to arrange for maintenance and inspections of its aircraft and/or associated equipment identify the approved maintenance organisation selected and a list of the maintenance or inspections it proposes to perform. Also provide all written contracts with this form, if applicable.
8. Details of the operator's agent if applicable.

The Pre-application Statement of Intent (POPS) denotes an intent to seek CAA certification as an air operator or approved maintenance organisation. It must be signed as follows:

Type of Organisation	Authorised Signature
-----	-----
Individual	Owner
Partnership	At least one partner
Company, Closed Corporation, Association, etc.	At least one authorised officer

The Accountable Manager must sign the POPS Form. If the POPS Form is signed by another individual which is not the Accountable Manager the accountable manager must submit with the POPS Form, a letter addressing his/her authority to do so.

APPENDIX 2. SAMPLE FORMAL APPLICATION LETTER

(Name of Applicant)

(Appropriate Address)

[Date]

Civil Aviation Authority
Attn: (Name), Manager
(Appropriate Address)

Dear (Name):

This letter serves as formal application for a Civil Aviation Authority (CAA) air operator certificate. (Name of Applicant), initially intends to certificate and operate as a [scheduled or non-scheduled passenger, freight, or mixed passenger and freight] commercial air transport operation under (Part Number as applicable) Civil Aviation Regulations (CAR). We intend to use (Number and Type) aeroplane(s) between (location) and (location). We have enclosed a copy of [(our report of) or (our filing with) (identify the STATE agency)] for a Financial Economic and Legal Matters assessment.

Our company will have its principal base of operations and corporate offices located at (appropriate address). Our maintenance base (if company intends to conduct maintenance under its AOC) will be located at (appropriate address) (if the company intends to apply under separate cover for an approved maintenance organisation, so state here). A copy of our contract with (name of maintenance organisation) is enclosed. Our management personnel are as follows:

President and Accountable Manager – Mr. Rolland Malev
Director of Operations (and Dispatch) – Mr. Peter Berman
Director of Maintenance – Mr. Lee Wing
Quality Manager – Mr. William Jackson
Chief Pilot – Mr. Nathan Moskowitz
Director of Training – Ms. Brenda Hoff
Director of Safety – Mr. Bruno Luccasi

Also enclosed is the revised Schedule-of-Events and Initial Statement of Compliance which was agreed to at our-last meeting with your representatives. We have retained the services of Mr. Anwar Hussun (appropriate address) as our agent for service.
Sincerely,

Rolland Malev
President
Enclosures

**APPENDIX 3. JOB AIDS
(COMMERCIAL AIR TRANSPORT OPERATORS)**

INSPECTORS: Air Operator Certification Job Aid (CA AOC-F-006)

OPERATORS: Schedule Of Events (CA AOC-008)

Examples are supplied, however, the official forms (ISO REGISTERED controlled copies) may be obtained from the SACAA. (It is recommended that all forms are obtained in digital format).

Section/division: **Sample only**

Form Number:
CA AOC-F-006

Telephone number: 011-545-1000

Fax Number:

Physical address: Ikhaya Lokundiza, 16 Treur Close, Waterfall Park, Bekker Street, Midrand, Gauteng

Postal address: Private Bag X73, Halfway House 1685

Website: www.caa.co.za

Air Operator Certification Job Aid and Schedule of Events
(COMMERCIAL AIR TRANSPORT OPERATORS)

To be completed by the Applicants.

OFFICIAL NAME OF COMPANY	LOCATION ADDRESS
MAILING ADDRESS (if different from location)	AIR SERVICE LICENCE NUMBER:
CAA <i>Inspectors: For Official CAA use: (Instructions: Reference Notes to be explained on the Remarks page at the end of this document.</i>	
FO	
AW	
AVI	

Air Operator Certification Job Aid Schedule of Events																															
CAA: FOD/ AW/ CE.	CA Doc. #	Doc. Date	Inspector <i>Initial</i>	Date <i>Received/ Accomplished</i>	Date <i>Returned for Changes</i>	Date <i>Accepted/ Approved</i>	Ref. <i>Note No.</i>																								
I. PRE-APPLICATION PHASE																															
	CA AOC-AC-001 CA AOC-F-003	- -	A. Initial Orientation: Inspector: <hr/> <ol style="list-style-type: none"> 1. Certification Advisory Pamphlet provided to applicant. 2. Prospective Operator's Pre-assessment Statement (POPS) <ol style="list-style-type: none"> a. Forwarded to Director CAA B. Certification Team Designated (at least one operations, one maintenance, and one avionics inspector) <table style="width: 100%; border: none;"> <thead> <tr> <th style="width: 30%;"></th> <th style="width: 35%; text-align: center;">Name</th> <th style="width: 35%; text-align: center;">Speciality</th> </tr> </thead> <tbody> <tr> <td>PM</td> <td>_____</td> <td>_____</td> </tr> <tr> <td></td> <td>_____</td> <td>_____</td> </tr> <tr> <td></td> <td>_____</td> <td>_____</td> </tr> <tr> <td></td> <td>_____</td> <td>_____</td> </tr> <tr> <td></td> <td>_____</td> <td>_____</td> </tr> <tr> <td></td> <td>_____</td> <td>_____</td> </tr> <tr> <td></td> <td>_____</td> <td>_____</td> </tr> </tbody> </table> C. Conduct Pre-application Meeting <ol style="list-style-type: none"> 1. Verify POPS Information 2. Overview of Certification Process 3. Provide Certification Package Containing: 		Name	Speciality	PM	_____	_____		_____	_____		_____	_____		_____	_____		_____	_____		_____	_____		_____	_____				
	Name	Speciality																													
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	CA AOC-F-003 CA AOC-AC-001																														
	CA AOC-F-006 CA AOC-C-001 CA AOC-F-008																														

	CA AOC-F-007 AICs/NOTAMS etc.		<ul style="list-style-type: none"> a. Certification Job Aid b. Schedule of events c. Operating Provisions d. Other Applicable Publications and Documents 				
II. FORMAL APPLICATION PHASE							
	CA AOC-L-007		A. Review Applicant's Submission				
			1. Formal Application Letter/Form				
			a. Full and Official name (Legal)				
			b. Mailing Address				
			c. Primary Operating Location (Principal Operations/ Maintenance Base)				
			d. Name and address of applicants agent for service				
			e. Key Management Personnel Names				
			2. Formal Application Attachments				
	CA AOC-F-008		a. Schedule of events				
	CA AOC-001		b. Initial compliance statement				
	CA AOC-F-009		c. Company general manuals				
			i. Operations Manual. (GOM)				
			ii. Maintenance Control Manual (GMM)				
			iii Aircraft Maintenance Program				
	CA AOC-C-001 CA AOC-004		<ul style="list-style-type: none"> d. Initial new hire training curricula (Crewmembers & Flt/Ops/Officers) Company Procedures Indoctrination Emergency Equip Drills Training Initial Flight and Ground Training 				

	NDOT CAA		e. Management and Key Staff qualifications/resumes					
			f. Documents of purchase/ contract(s)/lease(s)/letters of intent					
			B. Evaluation of CAA Resources Based on Schedule of Events					
	CA AOC-F-008 CA AOC-001 CA AOC-AC-001		c. Formal Application Meeting 1. Schedule of events Date: _____ Time: _____ h_____ 2. Discuss each Submission 3. Resolve Discrepancies/Open Items 4. Review Certification Process 5. Review Impact if Schedule of Events are not met					
			D. Issue Letter Accepting/Rejecting Application					
	CA AOC-C-008		Meet Gate II Requirements:					
			III. DOCUMENT EVALUATION PHASE					
	CA AOC-C-001		A. Evaluate Applicable Training Programs 1. Training Curricula					
			a. Company Procedures Indoctrination					
			b. Emergency Equipment Drills Training					
			c. Ground Training (Handling/Service/De-icing)					

			d. Flight Training					
			e. Recurrent Training					
			f. Transition/Upgrade Training					
			g. Differences Training					
			h. Security					
			i. Dangerous Goods					
			j. Check Airmen/Flight Instructor					
			k. Crew Resource Management					
	CA AOC-C-006		l. Flt/Ops/Officer Training (
	CA AOC-F-004		m. Quality System Training Outline					
NDOT CAA			B. Evaluate Management Qualifications					
			1. Accountable Manager					
			2. Director of Operations					
			3. Director of Maintenance					
			4. Quality Manager/s					
			a. Quality Manager for Operations (if applicable)					
			b. Quality Manager for Maintenance (if applicable)					
			5. Chief Pilot					
			6. Director of Safety (Safety Manager)					
			8. Request for Deviation Letter (If Applicable)					
			9. Other					
	CA AOC-F-008		C. Evaluate Operator's Manual System					
			1. Completed Operations Manual					
			a. Emergency exit plan					
			b. Carry-on Baggage plan					
			2. Completed Maintenance Control Manual					
			3. CAA Approved Aeroplane Flight					

			Manual					
			4. Aircraft Checklists					
			a. Normal					
			b. Abnormal					
			c. Emergency					
			5. Cabin Attendant Manual					
			6. Flight Supervision and Monitoring/Flight Following					
			7. Station/Facility Operations					
			8. Company Emergency Manual					
			9. Aerodrome Data & En Route Manual (Charts and Plates)					
			10. Aerodrome/Runway Analysis (Performance)					
			11. Minimum Equipment List					
			a. (MEL Management Program)					
			12. Configuration Deviation List					
			13. Maintenance Technical Manuals:					
			14. Fuelling/Refuelling/Defuelling					
			15. Ground Servicing Manual					
			16. Mass and Balance Control Program					
			17. Dangerous Goods					
			18. Security					
			19. Reliability Program					
			20. Completed Continuous Airworthiness Maintenance Program					
			21. Emergency Plan/Notification					
			22. Passenger Briefing Cards					
	CA AOC-C-004		23. Quality Manual					

	CA AOC-L-010 CA AOC-L-011							
			D. Other Evaluations					
			1. Aircraft Lease					
			2. Maintenance Contracts/Agreements					
			3. Servicing Contracts/Agreements					
			4. Exemption/Deviation Requests/Justification					
			5. Plan for Emergency Evacuation Demonstration					
			6. Plan for Demonstration Flight					
			8. Final Compliance Statement					
			9. Initiate Specific Operating Provisions preparation					
			10. Training Contracts					
			11. De-icing/Anti Icing					
			12. Exit Row Seating					
			Meet Gate III Requirements:					
			IV. DEMONSTRATION & INSPECTION PHASE					
			A. Evaluate Operator Conducting Training					
			1. Training Facilities					
			2. Training Schedules:					
			3. Flight Crewmember Training Evaluation					
			a. Company Procedures Indoctrination					
			b. Emergency Equip. Drills Training					
			c. Ground Training					
			d. Flight Training					

			e. Differences Training					
			4. Check Airmen/Instructor					
			5. Cabin Crew					
			a. Company Procedures Indoctrination					
			b. Emergency Equip. Drills Training					
			c. Ground Training					
			6. Crew Resource Management					
			7. Flight Supervision and Monitoring/Flight Following					
			8. Dangerous Goods Training					
			a. Crewmembers					
			b. Ground personnel					
			9. Security Training					
			10. Maintenance Training					
			a. Director of Maintenance					
			b. Quality Manager					
			c. Quality system Personnel					
			B. Testing/Certification					
			1. Pilots					
			2. Flight Engineers					
			3. Flt/Ops/Officers					
			4. Cabin Attendants					
			C. Aircraft Conformity Inspection					
			D. Main Operations Base					
			E. Main Maintenance Base					
			F. Station/Facilities (Operations)					
			G. Station/Facilities (Maintenance)					
			H. Flight Supervision and Monitoring/Flight Following					

			I. Recordkeeping Locations					
			1. Crewmember					
			a. Training					
			b. Flight & rest Times					
			c. Qualification					
			2. Maintenance					
			a. Aircraft Records					
			b. Maintenance Personnel Training					
			i Director of Maintenance					
			ii Quality Manager and staff					
			iii Contract Employees					
			J. Flight/Trip Records					
			K. Emergency Evacuation Demonstration					
			L. Ditching Demonstration					
			M. Demonstration Flight Evaluation					
			N. Proof of [State] Economic Authority					
			V. CERTIFICATION PHASE					
			A. Approve Specific Operating Provisions					
			B. Present Certificate & Specific Operating Provisions					
			C. Prepare Certification Report					
			1. Assemble Report					
			a. Formal Application Letter					
			b. Final Compliance Statement					
			c. Copy of Specific Operating Provisions					
			d. Copy of Certificate					
			e. Summary of Difficulties					
			2. Distribute Report					
			D. Develop Post Certification Surveillance					

			Program					
			1. Within Geographic Area					
			2. Outside Geographic Area					

CAA Inspector	REMARKS: <i>To be completed by CAA Inspectors: Instructions: Use the "return key" to list notes in correspondence with the Note No. under the Reference column.</i>	Ref. Note No.
FO:		
AW:		
AVI;		

APPENDIX 4. CIVIL AVIATION REGULATIONS (CAR)

SECTION 1 - APPLICABLE PARTS OF CAR

Part 1, 11 & 91	General Policies, Procedures, and Definitions
Part 61, 63 & 64	Personnel Licensing and Implementing Standard
Part 47	Aircraft Registration and Marking
Part 21	Airworthiness and Implementing Standard
Part 145	Approved Maintenance Organisation and Implementing Standard
Part 91.04	Instruments and Equipment and Implementing Standard
Part 121, 127, 135	Operations and Implementing Standard
Part 121, 127, 135	Air Operator Certification and Administration and Implementing Standard

SECTION 2 - OTHER REGULATIONS/PUBLICATIONS THAT MAY BE APPLICABLE TO CERTIFICATION OF AN OPERATOR

Applicable AICs

SECTION 3 - APPLICABLE INTERNATIONAL RULES AND DOCUMENTS INTERNATIONAL/OVERSEAS OPERATIONS ICAO ANNEXES

Annex 1 to the ICAO conventionPersonnel Licensing
Annex 2 to the ICAO Convention	... Rules of the Air
Annex 6 to the ICAO Convention	... Operation of Aircraft
Annex 8 to the ICAO Convention	... Airworthiness of Aircraft
Annex 11 to the ICAO Convention	... Air Traffic Services
Annex 10 to the ICAO Convention	... Telecommunications
Annex 12 to the ICAO Convention	... Search and Rescue

OTHER ICAO DOCUMENTS

Circular 253-AN/151	Human Factors Digest No. 12 Human Factors in Aircraft Maintenance and Inspection
Document 4444-RAC/501	- Rules of the Air and Air Traffic Service
Document 7030	- Regional Supplementary
Document 8168-OPS	- Aircraft Operations
Document 8335-AN/879	- Manual of Procedures for Operations Inspection, Certification and Continued Surveillance
Document 9365-AN/910	All Weather Operations
Document 9376-AN/914	- Preparation of an Operations Manual
Document 9379-AN/916	Manual and Procedures for Establishment and Management of a States Personnel Licensing system
Document 9389-AN/919	- Manual of Procedures for an Airworthiness Organisation
Document 9642-AN/941	Continuous Airworthiness Manual

Appendix 4 Page 1 of 2

ICAO information may be obtained by writing to:
International Civil Aviation Organisation
(Attn: Distribution Officer)
PO Box 399
Succursale: Place De L'Aviation Internationale
1000 Sherbrooke Street, West
Montreal, Quebec, H3A 2R1

OCEANIC OPERATIONS

North Atlantic Minimum Navigation Performance Specifications (MNPS)
Airspace Operations Manual
North Pacific (NOPAC) Operations Manual

To obtain copies of these manuals write to:
U.S. Department of Transportation
Utilisation and Storage Section, M-443.2
Washington, D.C. 20590

APPENDIX 5. DEFINITIONS

The following appendix defines terms used in this advisory pamphlet and/or the certification process.

“Agent for Service.” The person upon whom service of all notices and processes and all orders, decisions, and requirements of the South African Civil Aviation Authority shall be made.

“Commercial Air Transport” means an aircraft operation involving the transport of passengers, cargo, or mail for remuneration or hire.

“Scheduled operation” means an aircraft operation conducted by a commercial air transport operator for which the certificate holder or its representative offers in advance the departure location, departure time, and arrival location.

“Charter operation” means operations for which the departure time, departure location and arrival locations are specifically negotiated with the operator’s customer or the customer’s representative.

“Passenger carrying operation” any aircraft operation carrying any person other than a crewmember, company employee, authorised government representative, or person accompanying a shipment.

“Principal base of operations” means the primary operating location of a certificate holder as designated by the CAA.

“Compliance Statement” is a document which gives details as to how each regulation will be complied with.

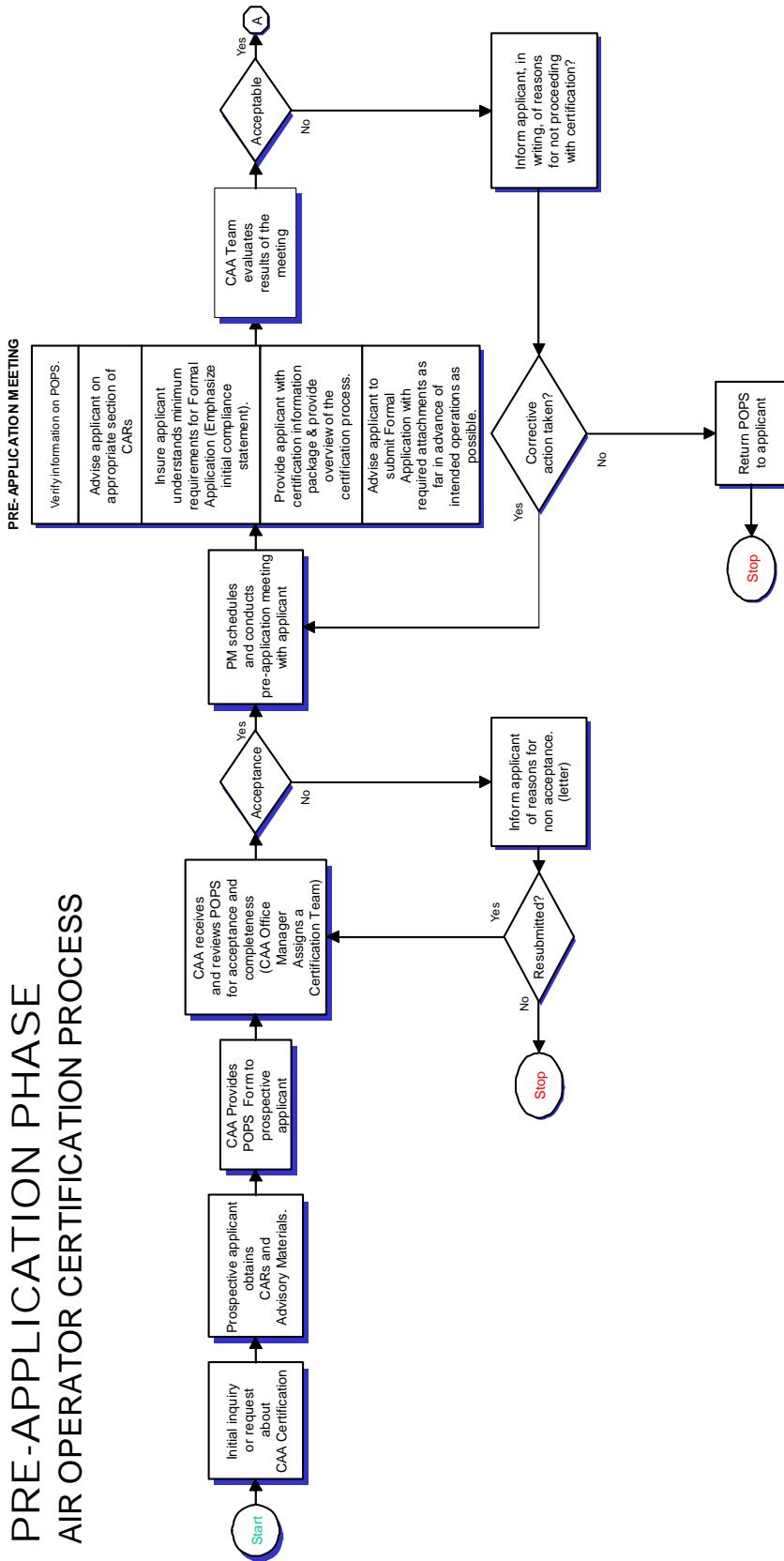
“Operating Specifications” is a document which details the scope and limitations of the proposed air operation.

APPENDIX 6 - CERTIFICATION PROCESS FLOW CHART.

Page 1 of 5

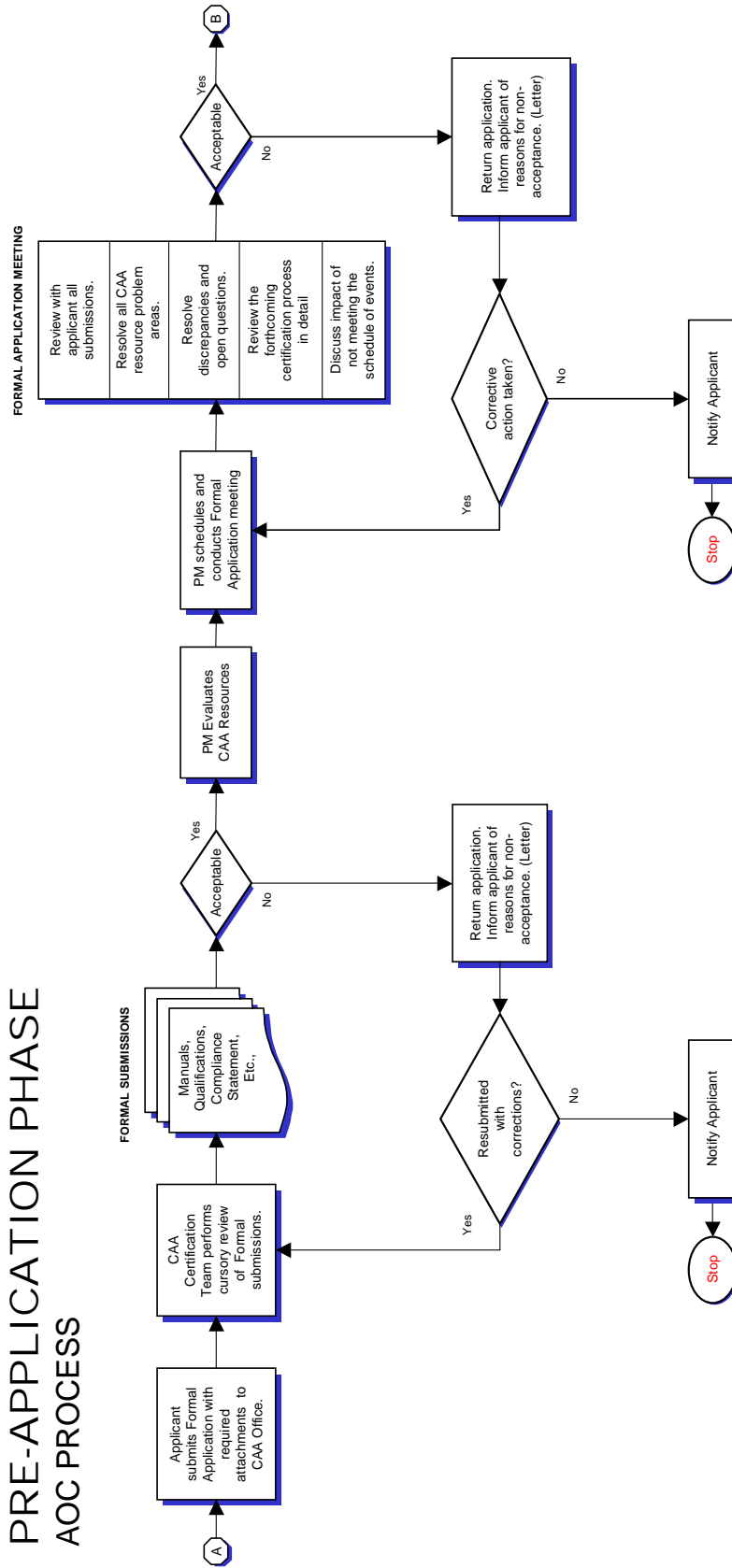
The flow charts on the following pages are representative of the Air Operator Certification Process. This chart also represents the process for the certification of an Approved Maintenance Organisation.

PRE-APPLICATION PHASE AIR OPERATOR CERTIFICATION PROCESS



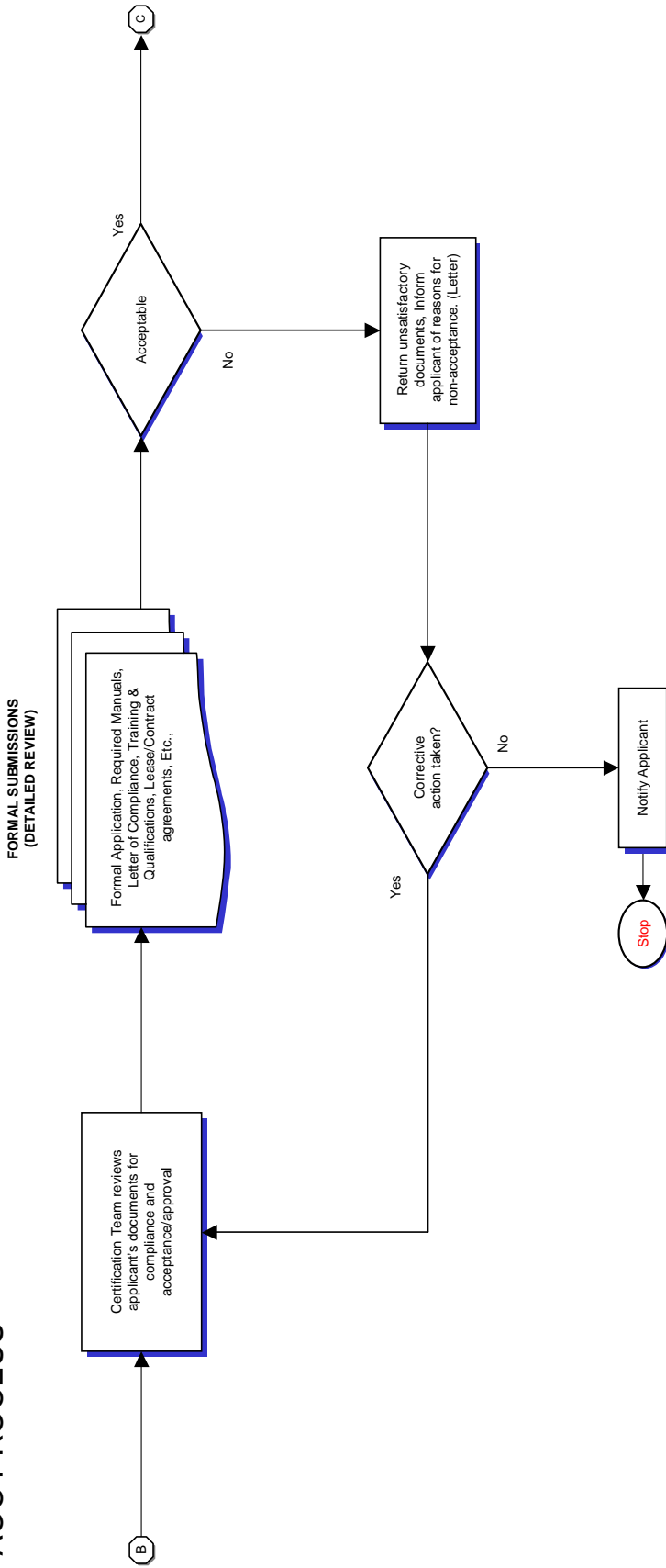
**APPENDIX 6 -
CERTIFICATION
PROCESS FLOW
CHART.**
Page 2 of 5

**PRE-APPLICATION PHASE
AOC PROCESS**



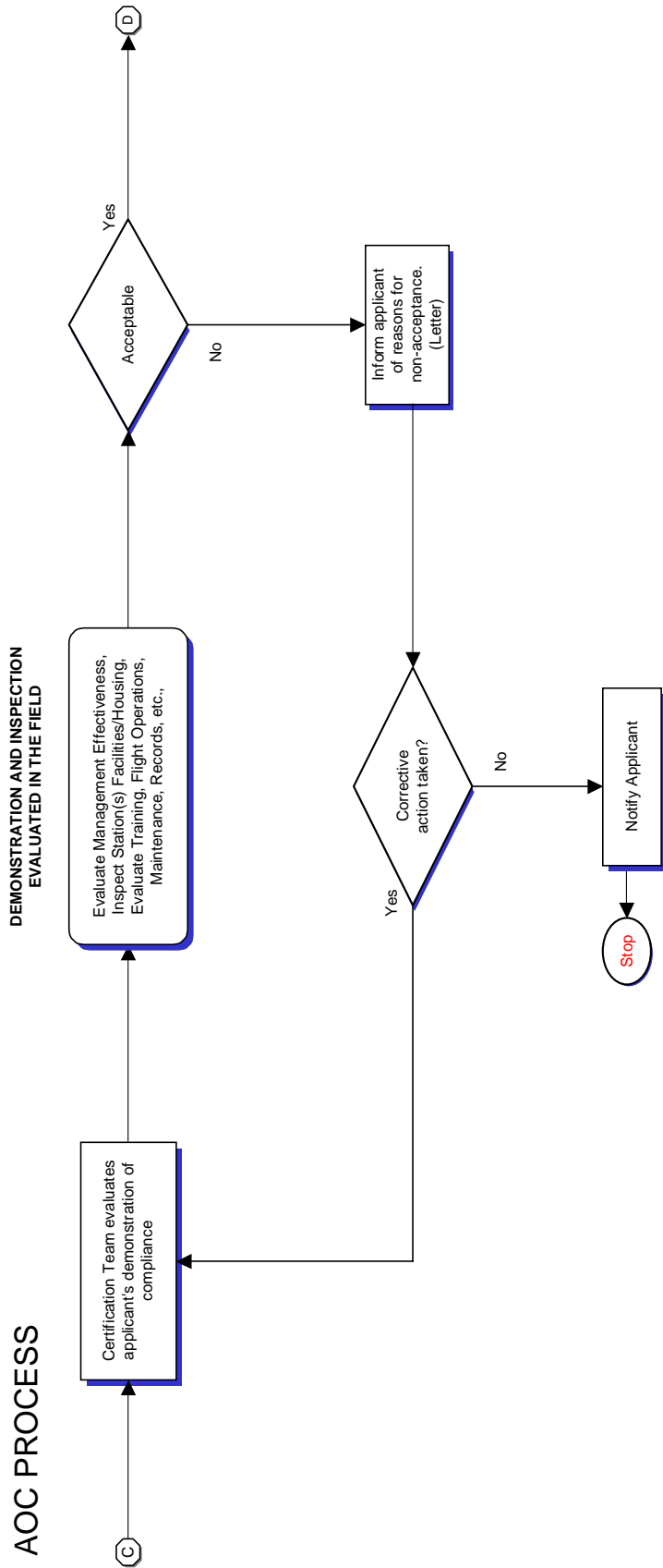
**APPENDIX 6 -
CERTIFICATION
PROCESS FLOW
CHART.**
Page 3 of 5

**DOCUMENT COMPLIANCE PHASE
AOC PROCESS**



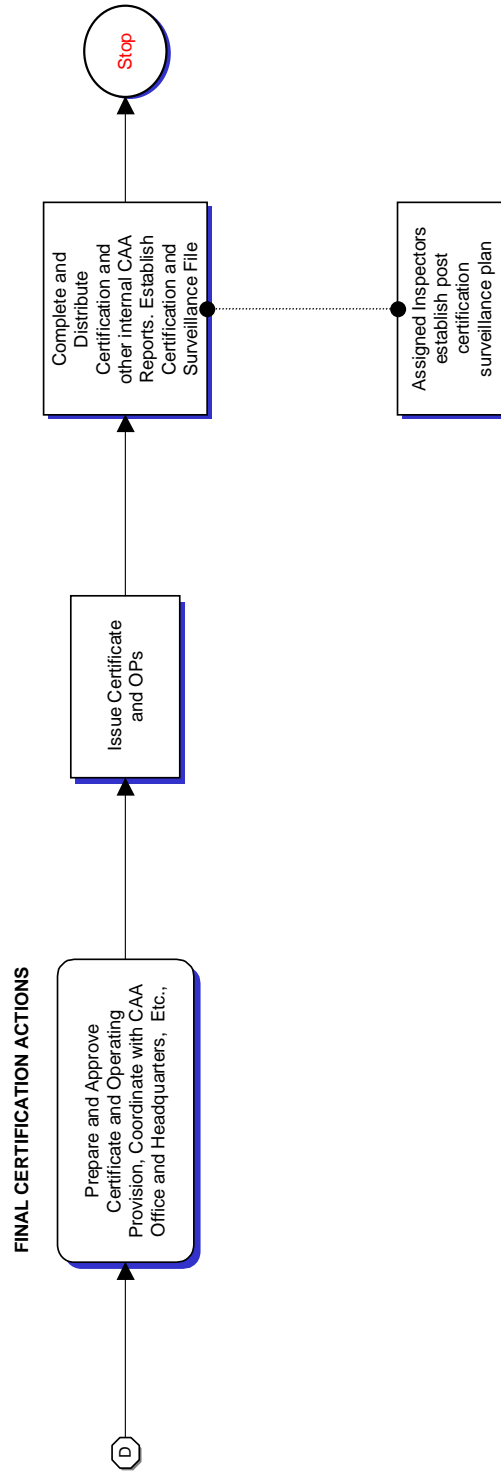
**APPENDIX 6 -
CERTIFICATION
PROCESS FLOW
CHART.**
Page 4 of 5

**DEMONSTRATION AND
INSPECTION PHASE
AOC PROCESS**



**APPENDIX 6 -
CERTIFICATION
PROCESS FLOW
CHART.**
Page 5 of 5

**CERTIFICATION PHASE
AOC PROCESS**





Air Operator Certification: Proposed Schedule of Events
(COMMERCIAL AIR TRANSPORT OPERATORS)

Note: To be completed by the Applicants.

OFFICIAL NAME OF COMPANY	LOCATION ADDRESS
MAILING ADDRESS (if different from location)	AIR SERVICE LICENCE NUMBER:

Applicant Instructions:

- Use "return" key to add information as applicable to the Operation.
- CAA remarks may be done by means of a reference note number next to the relevant item/event in the Ref. Note column and explained on the last page of this document.
- When the Proposed Schedule of Events has been accepted by the CAA it becomes the official Schedule of Events which will be used during the Certification Process.

CAA Doc. #	Proposed Schedule of Events	Start or Submission Date	Revised Start Date	Ref. Note No.
I. PRE-APPLICATION PHASE				
CA AOC-AC-001 CA AOC-F-003 CA AOC-C-008	A. Initial Orientation: Inspector: <hr style="width: 50%; margin-left: 0;"/> Receive Certification Advisory Pamphlet. 3. Complete and forward the Prospective Operator's Pre-assessment Statement (POPS) to the SACAA. D. Certification Team Designated (at least one operations, one maintenance, and one avionics inspector) Note: Information Provided by the CAA at Pre-Application Meeting. <div style="display: flex; justify-content: space-around;"> Name Speciality </div>			

CAA Doc. #	Proposed Schedule of Events	Start or Submission Date	Revised Start Date	Ref. Note No.
CA AOC-F-003 CA AOC-AC-001 CA AOC-F-006 CA AOC-C-001 CA AOC-F-008 CA AOC-F-007 AICs/NOTAMS etc.	PM _____ _____ _____ _____ _____ _____ _____ _____ E. Attend Pre-application Meeting 5. Verify POPS Information. 6. Overview of Certification Process 7. Receive Certification Package Containing: e. Certification Job Aid f. Schedule of events g. Model Specific Operating Provisions h. Other Applicable Publications and Documents 8. Formal Application Submissions explained by the Certification Team.			
II. FORMAL APPLICATION PHASE				
	A. Review Applicant Submission 1. Formal Application Letter/Form Note: application to NDOT: ASLC a. Full and Official name (Legal) b. Mailing Address c. Primary Operating Location (Principal Operations/ Maintenance Base) d. Name and address of applicants agent for service e. Key Management Personnel Names			
	2. Formal Application Attachments			
CA AOC-F-008	a. Schedule of events			
CA AOC-001	b. Initial compliance statement			
CA AOC-F-009	c. Company general manuals			
	i. Operations Manual. (GOM)			
	ii. Maintenance Control Manual (GMM)			
	iii Aircraft Maintenance Program			
CA AOC-C-001 CA AOC-004	d. Initial new hire training curricula (Crewmembers & Flt/Ops/Officers) Company Procedures Indoctrination Emergency Equip Drills Training			

CAA Doc. #	Proposed Schedule of Events	Start or Submission Date	Revised Start Date	Ref. Note No.
	Initial Flight and Ground Training			
NDOT CAA	e. Management and Key Staff qualifications/resumes			
	f. Documents of purchase/ contract(s)/lease(s)/letters of intent			
	B. Evaluation of CAA Resources Based on Schedule of Events			
CA AOC-F-008 CA AOC-001 CA AOC-AC-001	D. Formal Application Meeting 1. Schedule of events Date: _____ Time: _____ h _____ 2. Discuss each Submission 3. Resolve Discrepancies/Open Items 4. Review Certification Process 5. Review Impact if Schedule of Events are not met			
	D. Issue Letter Accepting/Rejecting Application			
CA AOC-C-008	Meet Gate II Requirements:			
	III. DOCUMENT EVALUATION PHASE			
CA AOC-C-001	A. Applicable Training Programs Evaluation 1. Training Curricula			
	a. Company Procedures Indoctrination			
	b. Emergency Equipment Drills Training			
	c. Ground Training (Handling/Service/De-icing)			
	d. Flight Training			
	e. Recurrent Training			
	f. Transition/Upgrade Training			
	g. Differences Training			
	h. Security			
	i. Dangerous Goods			
	j. Check Airmen/Flight Instructor			
	k. Crew Resource Management			
CA AOC-C-006	l. Flt/Ops/Officer Training (
CA AOC-F-004	m. Quality System Training Outline			
	B. Management Qualifications Evaluation 1. Accountable Manager			
	2. Director of Operations			
	3. Director of Maintenance			
	4. Quality Manager/s			
	a. Quality Manager for Operations (if applicable)			
	b. Quality Manager for Maintenance			

CAA Doc. #	Proposed Schedule of Events	Start or Submission Date	Revised Start Date	Ref. Note No.
	(if applicable)			
	5. Chief Pilot			
	6. Director of Safety (Safety Manager)			
	8. Request for Deviation Letter (If Applicable)			
	9. Other			
CA AOC-F-009	C. Operator Manual System Evaluation			
	1. Completed Operations Manual			
	a. Emergency exit plan			
	b. Carry-on Baggage plan			
	2. Completed Maintenance Control Manual			
	3. CAA Approved Aeroplane Flight Manual			
	4. Aircraft Checklists			
	a. Normal			
	b. Abnormal			
	c. Emergency			
	5. Cabin Attendant Manual			
	6. Flight Supervision and Monitoring/Flight Following			
	7. Station/Facility Operations			
	8. Company Emergency Manual			
	9. Aerodrome Data & En Route Manual (Charts and Plates)			
	10. Aerodrome/Runway Analysis (Performance)			
	11. Minimum Equipment List			
	a. (MEL Management Program)			
	12. Configuration Deviation List			
	13. Maintenance Technical Manuals:			
	14. Fuelling/Refuelling/Defuelling			
	15. Ground Servicing Manual			
	16. Mass and Balance Control Program			
	17. Dangerous Goods			
	18. Security			
	19. Reliability Program			
	20. Completed Continuous Airworthiness Maintenance Program			
	21. Emergency Plan/Notification			
	22. Passenger Briefing Cards			
CA AOC-C-004 CA AOC-L-010 CA AOC-L-011	23. Quality Manual			
	D. Other Evaluations			
	1. Aircraft Lease			
	2. Maintenance Contracts/Agreements			

CAA Doc. #	Proposed Schedule of Events	Start or Submission Date	Revised Start Date	Ref. Note No.
	3. Servicing Contracts/Agreements			
	4. Exemption/Deviation Requests/Justification			
	5. Plan for Emergency Evacuation Demonstration			
	6. Plan for Demonstration Flight			
	8. Final Compliance Statement			
	9. Initiate Specific Operating Provisions preparation			
	10. Training Contracts			
	11. De-icing/Anti Icing			
	12. Exit Row Seating			
	Meet Gate III Requirements:			
	IV. DEMONSTRATION & INSPECTION PHASE			
	A. Operator Conducting Training Evaluation			
	1. Training Facilities			
	2. Training Schedules:			
	3. Flight Crewmember Training Evaluation			
	a. Company Procedures Indoctrination			
	b. Emergency Equip. Drills Training			
	c. Ground Training			
	d. Flight Training			
	e. Differences Training			
	4. Check Airmen/Instructor			
	5. Cabin Crew			
	a. Company Procedures Indoctrination			
	b. Emergency Equip. Drills Training			
	c. Ground Training			
	6. Crew Resource Management			
	7. Flight Supervision and Monitoring/Flight Following			
	8. Dangerous Goods Training			
	a. Crewmembers			
	b. Ground personnel			
	9. Security Training			
	10. Maintenance Training			
	a. Director of Maintenance			
	b. Quality Manager			
	c. Quality system Personnel			
	B. Testing/Certification			
	1. Pilots			
	2. Flight Engineers			

CAA Doc. #	Proposed Schedule of Events	Start or Submission Date	Revised Start Date	Ref. Note No.
	3. Flt/Ops/Officers			
	4. Cabin Attendants			
	C. Aircraft Conformity Inspection			
	D. Main Operations Base			
	E. Main Maintenance Base			
	F. Station/Facilities (Operations)			
	G. Station/Facilities (Maintenance)			
	H. Flight Supervision and Monitoring/Flight Following			
	I. Recordkeeping Locations			
	1. Crewmember			
	a. Training			
	b. Flight & rest Times			
	c. Qualification			
	2. Maintenance			
	a. Aircraft Records			
	b. Maintenance Personnel Training			
	i Director of Maintenance			
	ii Quality Manager and staff			
	iii Contract Employees			
	J. Flight/Trip Records			
	K. Emergency Evacuation Demonstration			
	L. Ditching Demonstration			
	M. Demonstration Flight Evaluation			
	N. Proof of NDOT/ASLC Economic Authority			
	V. CERTIFICATION PHASE			
	A. Specific Operating Provisions Approval			
	B. Certificate & Specific Operating Provisions presented.			
	C. Receive Certification Report			
	1. Report consists of:			
	a. Formal Application Letter			
	b. Final Compliance Statement			
	c. Copy of Specific Operating Provisions			
	d. Copy of Certificate			
	e. Summary of Difficulties			
	2. Report distributed.			
	D. Post Certification Surveillance Program Developed and Implemented by the SACAA			
	1. Within Geographic Area			
	2. Outside Geographic Area			

CAA Inspector	REMARKS: <i>To be completed by CAA Inspectors: Instructions: Use the return key to list notes in correspondence with the Note No. under the Reference column.</i>	Ref · Note No.
FO:		
AW:		
AVI;		