



# **AIR OPERATOR CERTIFICATION MANUAL**

**(GENERIC)**

**2<sup>ND</sup> EDITION – 2015**

# **AIR OPERATOR CERTIFICATION MANUAL**

**Control No : [INSERT ROLLING NUMBER]**







<b>INSERT LOGO</b>	<b>Air Operator Certification Manual</b>	<b>INSERT DOC NO</b>	
	Table of Contents	Chapter:	Page: <b>v</b>

TABLE OF CONTENTS

**RECORD OF REVISIONS ..... II**

**LIST OF EFFECTIVE PAGES..... III**

**HISTORY OF REVISIONS ..... IV**

**TABLE OF CONTENTS..... V**

**FOREWORD ..... VIII**

**ABBREVIATIONS ..... X**

**DEFINITIONS ..... XI**

**CHAPTER - 1 ..... 1**

**INTRODUCTION ..... 1**

**1. GENERAL..... 1**

**2. CONTINUED COMPLIANCE.....3**

**CHAPTER - 2 ..... 1**

**BACKGROUND ..... 1**

**1. CERTIFICATION PROCESS .....1**

**2. RESPONSIBILITY OF THE OPERATOR.....2**

**3. REFUSAL OF AN APPLICATION FOR AN AIR OPERATOR CERTIFICATE.....3**

**4. EQUIVALENT SAFETY .....3**

**5. AUTHORIZATION FOR THE ISSUE OF AN AIR OPERATOR CERTIFICATE .....4**

**6. THE BASIS ON WHICH THE CAA ESTABLISHES THE COSTS OF CERTIFICATION (C OF C)  
.....4**

**7. RESPONSIBILITY OF THE APPLICANT WITH REGARD TO THE TRAINING OF CAA  
INSPECTORS.....4**

**8. SCHEDULE OF EVENTS .....5**

**9. STATEMENT OF COMPLIANCE.....5**

**10. OPERATIONS SPECIFICATIONS (OPS SPEC).....5**

**11. CERTIFICATION TEAM .....6**

**CHAPTER - 3 ..... 1**

**INITIAL ISSUE OF AN AOC ..... 1**

**1. THE PRE-APPLICATION PHASE.....1**

**1.1 PRE- APPLICATION - STATEMENT OF INTENT ..... 1**

**1.2 PRE-APPLICATION MEETING..... 2**

**1.3 PROVISION OF ESTIMATE ..... 3**

**2. THE FORMAL APPLICATION PHASE.....4**

**2.1 GENERAL ..... 4**

**2.2 THE SCHEDULE OF EVENTS ..... 4**

<b>INSERT LOGO</b>	<b>Air Operator Certification Manual</b>	<b>INSERT DOC NO</b>	
	Table of Contents	<b>Chapter:</b>	<b>Page: vi</b>

<b>2.3</b>	<b>MANUALS TO BE PRODUCED WITH THE FORMAL APPLICATION .....</b>	<b>4</b>
<b>2.4</b>	<b>STATEMENT OF COMPLIANCE .....</b>	<b>5</b>
<b>2.5</b>	<b>QUALIFICATIONS OF NOMINATED POST HOLDERS.....</b>	<b>5</b>
<b>2.6</b>	<b>AIRCRAFT FACILITIES AND SERVICES .....</b>	<b>6</b>
<b>3.</b>	<b>THE DOCUMENT EVALUATION PHASE.....</b>	<b>6</b>
<b>3.1</b>	<b>GENERAL .....</b>	<b>6</b>
<b>3.2</b>	<b>LEASE AGREEMENTS .....</b>	<b>6</b>
<b>3.3</b>	<b>MANUALS.....</b>	<b>7</b>
<b>3.3.1</b>	<b>Manual Standards .....</b>	<b>7</b>
<b>3.3.2</b>	<b>Operations Manual .....</b>	<b>9</b>
<b>3.3.3</b>	<b>Use of language in Manuals / Documents.....</b>	<b>9</b>
<b>3.4</b>	<b>AIRPLANE FLIGHT MANUAL.....</b>	<b>10</b>
<b>3.5</b>	<b>TRAINING MANUAL AND TRAINING PROGRAMMES .....</b>	<b>10</b>
<b>3.6</b>	<b>DANGEROUS GOODS MANUAL .....</b>	<b>11</b>
<b>3.7</b>	<b>MAINTENANCE MANUAL (MAINTENANCE CONTROL DOCUMENT) .....</b>	<b>12</b>
<b>3.8</b>	<b>AIRLINE SECURITY MANUAL .....</b>	<b>12</b>
<b>3.9</b>	<b>FLIGHT OPERATIONS SAFETY AND EMERGENCY PROCEDURES MANUAL .....</b>	<b>13</b>
<b>3.10.</b>	<b>GROUND HANDLING PROCEDURES MANUAL .....</b>	<b>13</b>
<b>3.11</b>	<b>ACCIDENT PREVENTION AND SAFETY MANAGEMENT PROGRAMME.....</b>	<b>13</b>
<b>3.12</b>	<b>STATISTICAL RETURNS .....</b>	<b>13</b>
<b>4.</b>	<b>THE PRE-CERTIFICATION INSPECTION PHASE .....</b>	<b>13</b>
<b>4.1</b>	<b>GENERAL .....</b>	<b>13</b>
<b>4.2</b>	<b>PROVING FLIGHTS .....</b>	<b>14</b>
<b>5.</b>	<b>CERTIFICATION PHASE .....</b>	<b>14</b>
<b>5.1</b>	<b>FINAL VERSION OF THE OPERATION SPECIFICATIONS.....</b>	<b>14</b>
<b>5.2</b>	<b>ISSUE OF AN AIR OPERATOR CERTIFICATE AND AN AIRLINE LICENCE. ....</b>	<b>14</b>
<b>6.</b>	<b>RENEWAL OF AIR OPERATOR CERTIFICATE AND AIRLINE LICENCE .....</b>	<b>15</b>
<b>6.1</b>	<b>THE APPLICATION FOR RENEWAL .....</b>	<b>15</b>
<b>6.2</b>	<b>INSPECTION FOR RENEWAL OF AOC .....</b>	<b>15</b>

INSERT LOGO	Air Operator Certification Manual	INSERT DOC NO	
	Table of Contents	Chapter:	Page: vii

## APPENDICES

APPENDIX A - FORMAL APPLICATION

APPENDIX B - SCHEDULE OF EVENTS

APPENDIX C - STATEMENT OF COMPLIANCE

APPENDIX D - CERTIFICATION CHECKLIST

APPENDIX E - WORKSHEETS

APPENDIX F - FLOW CHART OF CERTIFICATION PROCESS

APPENDIX G - DETAILS RELATING TO LEASED AIRCRAFT OPERATIONS

APPENDIX H - REQUIREMENTS FOR ADDITION OF NEW AIRCRAFT TYPE

APPENDIX I - RECOMMENDED QUALIFICATIONS FOR NOMINATED POST HOLDERS

APPENDIX J - PRE-CERTIFICATION FACILITY INSPECTION

APPENDIX K - APPLICATION FOR RENEWAL OF AOC

APPENDIX L - EXPLANATORY NOTES – CAA REQUIREMENTS FOR FINANCIAL  
FRAME WORK

**(Note: In the process of development of a Manual for the complete guidance of Inspectors in the certification of air operators, it is necessary to refer to the applicable regulatory framework so as to develop checklists, declaration of conformance and job aids etc precisely.)**



INSERT LOGO	<b>Air Operator Certification Manual</b>	<b>INSERT DOC NO</b>	
	Foreword	Chapter:	Page: <b>viii</b>

## FOREWORD

Air Transport in the world continues to be the safest mode of transport in the world, albeit it is the youngest, out of all other modes of transport. The world has been able to achieve this highest level of safety and witness many benefits today in air transport, mainly due to worldwide standardization of physical characteristics, configuration, material, personnel performance, and/or Standard Operating Procedures (SOP's) on matters pertaining to civil aviation. Being members of the International Civil Aviation Organization (ICAO), each Contracting State has an obligation to the international community to ensure that civil aviation activities under its jurisdiction is being carried out in strict compliance with International Standards and Recommended Practises (SARP's) as specified in **Annex 1-Annex19**.

Issue of an Air Operator Certificate (AOC) by a Civil Aviation Administration to an applicant seeking such certificate is a requirement as per Air Navigation Regulations of [INSERT THE STATE] with reference to Annex 6 and in order to ensure that, the applicant's capability of meeting the actual and potential obligations, in establishing and continuing to maintain safe operation of air services, under the certificate sought. Hence certification of an air operator is a very vital role in the regulatory system. In order to assess the competence of an Airline Operator, the Civil Aviation Authority (CAA) has to conduct an in-depth investigation of the proposed operation, which should at least cover organization, staffing, equipment, proposed routes, level and type of service and finances. The issue of an Air Operator Certificate would be depended upon the applicant demonstrating an adequate organization, method of control and supervision of flight operations, training programmes and maintenance arrangements, consistent with the nature and extent of the operation specified.

If found competent, the applicant would be issued an Air Operator Certificate setting forth the operational authorization and limitations to carry out specified commercial air transport operations and the operator is required to obtain separate licences for each class/type of operations. Subsequent to the issuance of an Air Operator Certificate, Civil Aviation Authority would continue to monitor the operations by a systematic procedure of surveillance and inspections.

The CAA compiled the Air Operator Certification Manual for the guidance of an applicant seeking an Air Operator Certificate. It is noteworthy to mention that the purpose of this manual is to explain the administrative procedure involved, for the issue and renewal of an Air Operator Certificate and to indicate the requirements to be met by an applicant for such a certificate. Every application is considered on its merits.

It is not the case, that failure to comply with every detail outlined in this manual means that the Director General of Civil Aviation (DGCA) will refuse to grant an Air Operator Certificate. It is possible that failure to comply with a particular requirement described in this booklet will be addressed and fulfilled in some way, thereby enabling the Authority to be satisfied with the overall competence of the applicant. It is expected that the applicant of an Air Operator Certificate will be benefited by this manual as it explains the administrative procedures involved so that the process would be independent and transparent.

<b>INSERT LOGO</b>	<b>Air Operator Certification Manual</b>	<b>INSERT DOC NO</b>	
	Table of Contents	<b>Chapter:</b>	<b>Page: ix</b>

The Authority may, without any prior notice, change the contents of this manual as appropriate, to suit the administrative requirements.

Director-General of Civil Aviation.

07 April 2015

<b>INSERT LOGO</b>	<b>Air Operator Certification Manual</b>	<b>INSERT DOC NO</b>	
	Foreword	Chapter:	Page: <b>x</b>

### ABBREVIATIONS

AFM	-	Airplane Flight Manual
AIH	-	Airworthiness Inspector Handbook
ANR	-	Air Navigation Regulations of [ INSERT THE STATE]
AOC	-	Air Operator Certificate
ASN	-	Aviation Safety Notice
AVSEC	-	Aviation Security
CAA	-	Civil Aviation Authority
CSI	-	Cabin Safety Inspector
C of A	-	Certificate of Airworthiness
C of R	-	Certificate of Registration
DCP	-	Designated Check Pilot
DGCA	-	Director General of Civil Aviation
EROPS	-	Extended Range of Operations
FOI	-	Flight Operations Inspector
FOIH	-	Flight Operations Inspector Handbook
FOM	-	Flight Operations Manual
ICAO	-	International Civil Aviation Organization
LOFT	-	Line Oriented Flight Training
MCM	-	Maintenance Control Manual
MEL	-	Minimum Equipment List
MMEL	-	Master Minimum Equipment List
NOTAM	-	Notice to Airman
Ops Spec	-	Operations Specifications
Rev	-	Revision
SARPs	-	Standards and Recommended Practises
XXCAP	-	[ INSERT THE STATE] Civil Aviation Publication
SOPs	-	Standard Operating Procedures
USOAP	-	Universal Safety Oversight Audit Programme

<b>INSERT LOGO</b>	<b>Air Operator Certification Manual</b>	<b>INSERT DOC NO</b>	
	Foreword	Chapter:	Page: <b>xi</b>

## DEFINITIONS

**“Noted”**

This is a term to be used when completing the Declaration of Conformance to indicate that the Operator has read and understood the provisions made in the Regulations but it does not require him to take any action to comply with the regulation.

**“Noted & Complied”**

This is a term to be used when completing the Declaration of Conformance to indicate that the Operator has read and understood the provisions in the Regulations and action has been taken to comply with it. When the operator states “Noted and Complied” it is necessary to make necessary cross-reference to the relevant documents of the operator which describes action/step that he has taken for such conformance. This may be done by quoting the applicable section and /or paragraph numbers and the title of the Operator’s Manuals.

**“Noted but Compliance deferred”**

This is a term to be used when completing the Declaration of Conformance to indicate the Regulations which the operator has failed to comply with at the time of application.

INSERT LOGO	Air Operator Certification Manual	INSERT DOC NO	
	Foreword	Chapter:	Page:

## CHAPTER - 1

### INTRODUCTION

#### 1. General

- 1.1 Part 9 of the Harmonised BAG Civil Aviation Regulations of 2015, requires a person intending to operate an aircraft for private, aerial work, charter or regular public transport services to obtain an authorisation from the Director General of Civil Aviation (DGCA), which is hereinafter referred to as an Air Operator Certificate (AOC). AOC specifies the nature and scope of operations granted to an air operator together with the terms, conditions and limitations applicable to such operations. An operator is required and expected to ensure that all operations undertaken are well within the requirements specified in the AOC.
- 1.2 The DGCA is empowered to specify and vary the conditions of an AOC and associated Operations Specifications (Ops Spec) which specifies the nature and scope of operations authorised together with relevant conditions and limitations. Furthermore DGCA is authorized to suspend or cancel an AOC issued by him, if one or more of the conditions stipulated therein is breached or not maintained to the same level as demonstrated at the initial certification.
- 1.3 Prior to issuing an AOC, the DGCA needs to be satisfied that the operator conforms to all the requirements of relevant legislation, subsidiary legislation and associated requirements published by the DGCA and in that;
- a. the aircraft shall meet the appropriate standards of airworthiness, equipped with all mandatory items for communication, navigation, surveillance and safety and emergency equipment in accordance with the ICAO Regional Air Navigation Plans for safe, secure, efficient and regular operations of proposed services;
  - b. the operator has provided for adequate servicing and maintenance of the aircraft and established an effective system of maintenance control for this purpose;
  - c. the operator has provided for an effective means of operational control of the aircraft that he intends to operate;
  - d. the organizational structure of the operator is appropriate and the nominees for the Designated Post Holders have adequate experience and required qualifications and are acceptable to and approved by the DGCA;
  - e. detailed procedures, techniques and guidance are included in Operator's Manuals giving specific instructions / information as to how the operator's personnel are required to carry out their duties and functions and such manuals shall receive approval from the DGCA;

<b>INSERT LOGO</b>	<b>Air Operator Certification Manual</b>	<b>INSERT DOC NO</b>	
	Foreword	Chapter:	Page:

- f. qualified and trained staff are available in sufficient number and initial and recurrent training programmes for such personnel have been organised and required approval of DGCA for training programmes is obtained where necessary.
  - g. type(s) of aircraft are approved for the proposed class(es) of operations and are suitable for the proposed operations and they are available in sufficient number;
  - h. facilities and ancillary services required for the proposed operations have been organized to ensure safe, secure, efficient and regular operation;
  - i. all required training programmes, instructors and training infrastructure have been approved by DGCA, where applicable;
  - j. potential and actual liabilities of the operator in respect of aircraft, crew, passengers, cargo and third party are covered with an insurance policy through local agent;
  - k. an effective accident prevention and flight safety programme acceptable to the DGCA have been implemented;
  - l. an accident victim relief programme as per the guidance issued by the DGCA has been drawn up;
  - m. an arrangement for the removal of disabled aircraft on the runway has been drawn up in consultation with the airport operator and;
  - n. an effective safety management systems in place;
  - o. any other element identified as a requirement during the certification process is in place and is sufficient to ensure the operation of the type(s) of aircraft to be operated.
  - p. adequate financial resources are available for the operator to fulfil actual and potential obligations arising from the proposed operation for the minimum period of three years.
- 1.4 The AOC and the associated Operations Specifications specify only the nature and scope of the authorizations in relation to the technical competency of the airline for safe, secure, efficient and regular operation of air services. The AOC alone will not authorize an operator to engage in any operational activity unless the operator has also obtained an Air Transport Licence(s) in accordance with the requirements of the State Laws.
- 1.5 An Air Transport Licence issued under the State Laws will specify the scope of authorizations given to an operator who holds an AOC, in regard to the use of traffic rights (market access) and other applicable conditions and limitations on

<b>INSERT LOGO</b>	<b>Air Operator Certification Manual</b>	<b>INSERT DOC NO</b>	
	Foreword	Chapter:	Page:

air transport economics related matters, in the operation of proposed air services within the technical/operational scope specified in the AOC.

- 1.6 The application for the issue of an AOC must be prepared in accordance with the requirements prescribed in Appendix - A of this manual. The application form has to be purchased from the CAA.

## **2. Continued compliance**

- 2.1 Once certified, the operator is responsible for the continued compliance with the initial conditions of certifications and applicable legislative requirements and DGCA's requirements promulgated from time to time. The CAA will maintain regular surveillance on the operator's activities to ensure continued compliance, in addition to conducting formal and detailed audits where the operator's actual operations are checked against approved procedures in the operator's documents. Failure on the part of the operator to comply with the applicable published requirements may result in either the imposing of administrative penalties or suspension / cancellation of the AOC.
- 2.2 An operator should note that even if an enforcement action was not taken by the CAA, and operations are conducted in breach of a condition or conditions of the AOC, such operations are construed to be unauthorised and the operator is liable for enforcement action by the CAA, on detection of such occurrences even belatedly.

INSERT LOGO	Air Operator Certification Manual	INSERT DOC NO	
	Foreword	Chapter:	Page:

## CHAPTER - 2

### BACKGROUND

#### 1. Certification Process

1.1 The certification process requires the CAA to ascertain through a systematic process whether or not a prospective applicant has both the required aptitude and resources to comply with the applicable legislative requirements and to fulfil the applicant's actual and potential obligations for operation of safe, secure, efficient and regular public air transport services as proposed. The CAA performs this task in fulfilling one of its primary obligations to the members of the public in regard to the entry certification of prospective applicants for air services operations in order to ensure provision of safe and dependable air services. This process involves five distinct phases as detailed below:

- a. **Pre-application.** During this phase, the applicant conducts initial studies, prepares plans, makes inquiries from the CAA in regard to the opportunities available under the existing air services agreements and seeks advice as to the validity of different proposals. The prospective applicant at this stage is required to submit a letter of intent to the CAA outlining the proposals and the CAA will then invite the applicant for a pre-application meeting. Based on the initial information provided to the CAA, by the applicant, an estimate of costs for the certification will be computed according to the CAA's Schedule of fees as published.
- b. **Formal application.** During this phase, the applicant is expected to submit the complete application (Appendix – A) to the CAA together with the cost of certification established during the previous phase and relevant documents to support the intended operation. The CAA will then make a formal assessment of the completeness of the applicant's proposal and invite the applicant for a Formal Application meeting where the details relating to the certification process would be formally discussed.
- c. **Document evaluation.** During this phase, the CAA will undertake a detailed study of the applicant's manuals and other documents, which accompanied the formal application. The documentation must be complete, accurate and current to satisfy the CAA's requirements before the inspection phase can commence. There will be series of discussions between the CAA and the nominated post holders of the applicant at this stage in regard to establishing the validity/acceptability of the applicant's proposals. It should be understood that the documents shall reflect precisely the mode and manner in which the applicant intends conducting the proposed operations and once approved, they shall form a part of the understanding between the CAA and the operator in regard to future functioning of the operator.

Rev : 00	Civil Aviation Authority of [ INSERT THE STATE ]	Date : [ INSERT DATE ]
----------	--	------------------------



INSERT LOGO	Air Operator Certification Manual	INSERT DOC NO	
	Foreword	Chapter:	Page:

- d. Inspection prior to certification.** During this phase, the applicant needs to demonstrate to the CAA that the applicant is in a position to conduct the proposed operations in accordance with the procedures detailed in the documents/manuals reviewed during the previous phase utilizing the personnel/facilities/equipment identified in the formal application. Qualifications and experience of the nominees for Designated Post holders will be evaluated and interviewed. Aircraft, maintenance facilities and arrangements will be inspected. Training facilities, programmes and training personnel will be evaluated. Company's organizational structure, channels of communication, delegation of powers, financial strength and sources of funding will be subjected to detailed scrutiny to ensure that the company has sufficient resources, effective arrangement and control to satisfy its obligations. Facilities for flight operations, ground handling, facilities and services for passenger, baggage and cargo handling including dangerous goods and security arrangements would be evaluated. Flight, cabin and technical crew, operations and maintenance staff, flight operations officers, designated check pilot/ flight engineers and load controllers will also be assessed. If the CAA is satisfied with the above arrangements, proving flight(s) will be conducted to one or more destinations of intended operations, as determined by the DGCA. This phase may reveal the need for some operational changes, which in turn may require the applicant to make amendments to the documents originally submitted. All elements must be satisfactorily completed before proceeding to the certification phase.
- e. Certification.** When all the previous phases have been satisfactorily completed, the CAA will take the necessary administrative action to approve formally the nominees for Designated Post holders, the aircraft, facilities and procedures specified in the Operations Manual, Maintenance Control Manual, Training & Checking organization and formally issue the Air Operator Certificate and the associated Operations Specifications. It should be borne in mind that although the CAA inspectors may indicate to the applicant regarding acceptability of the applicant's arrangements in respect of personnel, equipment, facilities, services, procedures or process in relation to the proposed operations as and when evaluations on such matters are completed, the final decision of the CAA in regard to each such arrangement would be conveyed to the operator formally during the certification process only.

## 2. Responsibility of the Operator

- 2.1 A major objective of the air operator certification is to ensure that an applicant for an AOC is fully aware and has clearly understood at the very outset about the actual & potential obligations arising out of the proposed operations (especially the legal & social responsibilities) and the financial commitments required to sustain the proposed operations in conformity with the published civil aviation requirements relating to safety, security, efficiency and regularly of air transportation. Accordingly, an Air Operator Certificate **WILL NOT BE ISSUED UNTIL THE CAA** is fully convinced and satisfied beyond any doubt that **all requirements for issue of an Air Operator Certificate have been compiled**

Rev : 00	Civil Aviation Authority of [ INSERT THE STATE ]	Date : [ INSERT DATE ]
----------	--	------------------------

INSERT LOGO	Air Operator Certification Manual	INSERT DOC NO	
	Foreword	Chapter:	Page:

**with prior to commencement of the proposed operations** and that the operator has both the required aptitude and resources to maintain proposed services without compromising any of the initial conditions of certification.

### **3. Refusal of an application for an Air Operator Certificate**

3.1 The Civil Aviation Regulations devolves on the DGCA the power to refuse an application if the applicant fails to satisfy the DGCA in regard to;

- a. the need for air transport in the area concerned with especial reference to the potential traffic, existing air services and the capacity of the applicant as an operator;
- b. economic strength required to fulfil actual and potential obligations for a period of at least three years;
- c. routes proposed;
- d. aircraft proposed to be flown;
- e. competence of technical personnel;
- f. Procedures and arrangements as an operator;
- g. maintenance facilities and arrangements;
- h. schedules, fares and rates;
- i. arrangements in place for provision of safe, secure and efficient air service in compliance with the published requirements.

3.2 In the event, an application is refused by the DGCA due to one or more reasons mentioned above, the applicant will have to forfeit the fees paid with the formal application as processing fees.

### **4. Equivalent safety**

4.1 Equivalent safety relates to the situation where the applicant does not comply with the requirements as specified in the legislation but is in a position to demonstrate that the same or better level of safety intended by such legislative requirements can be satisfied by adoption of alternative method of compliance. A determination of equivalent level of safety may allow the certification process to be satisfied in that aspect. This process however, is not automatic requiring the operator the burden of proving to the satisfaction of the DGCA that the equivalent level of safety can be met, continued and maintained.

Rev : 00	Civil Aviation Authority of [ INSERT THE STATE ]	Date : [ INSERT DATE ]
----------	--	------------------------

<b>INSERT LOGO</b>	<b>Air Operator Certification Manual</b>	<b>INSERT DOC NO</b>	
	Foreword	Chapter:	Page:

**5. Authorization for the issue of an Air Operator Certificate**

- 5.1 Initial issue of an AOC together with the Operations Specification, which is required for the intended operations, will be issued once the certification team makes the required recommendations to the DGCA to that effect after conducting of a proving flight or flights as required.
- 5.2 The recommendation for the issue of the AOC will be made by the Team Manager who is in charge of the certification process after receiving required recommendations from the Team Leaders in charge of Airworthiness and Operations.

**6. The basis on which the CAA establishes the Costs of Certification (C of C)**

- 6.1 The CAA will prepare a quotation on the basis of information provided in the Pre-Application phase, and will briefly summarize that information in the quotation. The quotation will be valid for six (6) months, which means that the formal application must be made within that period following receipt of the quotation. Quotation are made on the assumption that all work required of the CAA for a valid issue of an AOC will be completed within 12 months from the date of formal application. If the requirements for the issue of an AOC have not been satisfied and the AOC is not issued within 12 months, a new cost will be worked out and payable in respect of the outstanding work. The cost of certification will be worked out in accordance with the schedule of fees as published by the CAA.
- 6.2 An AOC after issue requires renewal prior to expiry of the validity to be specified thereon.
- 6.3 If the validity of an AOC lapsed, the AOC cannot be renewed automatically but be restored after completion of a process which may entail a part or whole of the certification process as may be determined by the DGCA on case by case basis, with a view to establishing the same or higher level of safety, security and efficiency in regard to proposed operations is maintained.

**7. Responsibility of the Applicant with regard to the training of CAA Inspectors**

- 7.1 The type of aircraft proposed, if not previously registered in [INSERT THE STATE], may require the applicant to provide the CAA staff with type specific training. The applicant will be responsible for the cost of training of at least two Flight Operations Inspectors and two Airworthiness Inspectors who are attached to the CAA. It should be noted that type endorsement training for the FOI's would involve at least eight (08) hours of flight time in the aircraft or simulator as may be determined by the DGCA. The inspector(s) must have completed their training either before any member of the operator commences their training or at the same time that the first crewmembers of the prospective operator receives their training.
- 7.2 In the event, the holder of an AOC inducts or replace any of their aircraft with a new type of aircraft or an aircraft that is not at that time in service in [INSERT

Rev : 00	Civil Aviation Authority of [ INSERT THE STATE ]	Date : [ INSERT DATE ]
----------	--	------------------------

<b>INSERT LOGO</b>	<b>Air Operator Certification Manual</b>	<b>INSERT DOC NO</b>	
	Foreword	Chapter:	Page:

THE STATE], the AOC holder shall incur the same responsibilities and expenses as outlined in paragraph 7.1 above.

## **8. Schedule of Events**

8.1 This is a written statement to be provided by the applicant in a form as specified in Appendix – B, containing a list of items, documents, manuals, activities, aircraft, and/or facility acquisition or procurements of which the applicant must accomplish or make ready, including the dates on which they will be submitted to the CAA for approval or will be ready for the CAA inspection. The Schedule of Events shall be pre-coordinated with the Team Manager in charge of the certification process.

## **9. Statement of Compliance (Declaration of Conformance)**

9.1 A Statement of compliance is a declaration by an applicant that the applicant is aware of and has a plan that is approved by CAA to satisfy all pertinent regulatory matters and applicable safety standards promulgated by the DGCA. The statement is in the form of a detailed list of CARs and Implementing Standards or Directives issued by the DGCA that will be applicable to the operations proposed. The applicant is required to provide a brief narrative, describing the intended method of compliance, which shall be achieved against each item of the regulatory requirements. The format of the compliance statement to be completed by an applicant is found in Appendix - C.

9.2 Where the operator does not or cannot comply with the normal requirements and seeks a concession in lieu, the Compliance Statement should reflect that a particular concession has been sought. Under these conditions, approval of the Compliance Statement is contingent on approval of each requested concession.

9.3 It is imperative that an applicant after receiving the formal authorization for flight operations through an AOC and associated Operations Specification, inform the DGCA of arrangements in place in order to conform to the regulatory requirements that would be published by the CAA through subsequent Implementing Standards or Directives issued by the DGCA and amend or supplement the Statement of Compliance accordingly.

## **10. Operations Specifications (Ops Spec)**

10.1 Operations Specifications consist of two basic categories.

a. The first category is the Operations Manual material. CARs of the BAG Harmonized Regulations permits the DGCA to direct the applicant to include any additional information, procedures, restrictions or limitations on operation of the applicant’s aircraft and / or facilities.

b. The second category is conditions or authorizations specified and included in the AOC as specified in Regulation 1.1.6 and 1.1.7 of Part 9 of the Harmonised BAG Regulations. These may be issued where the operator can establish that

Rev : 00	Civil Aviation Authority of [ INSERT THE STATE ]	Date : [ INSERT DATE ]
----------	--	------------------------

<b>INSERT LOGO</b>	<b>Air Operator Certification Manual</b>	<b>INSERT DOC NO</b>	
	Foreword	Chapter:	Page:

specific circumstances exist which justify either a waiver against compliance with relevant regulatory requirements or the issue of special authorizations to conduct the proposed air service, e.g. carriage of explosives. Concessions will not be granted unless equivalent safety can be demonstrated.

- c. The purpose of issuing Ops Spec is to supplement the general provisions of the basic Air Operator Certificate, by specifying authorizations and limitations not specifically covered by the CARs and to facilitate administrative requirements and/or procedures. The issue of the AOC together with Ops Spec constitutes DGCA's approval for the operations proposed. It shall however be noted that the applicant shall not engage in any air service operation only with a valid AOC unless the holder has obtained a requisite Airline Licence as mentioned in Chapter 1.
- d. For the purpose of standardization and administrative convenience, Ops Specs have been divided into separate parts as follows;

- Part A - General Provisions
- Part B - En Route Authorisations and Limitations.
- Part C - Aerodrome Authorizations and Limitations
- Part D - Maintenance
- Part E - Mass and Balance
- Part F - Interchange of Equipment Operations
- Part G - Aircraft operating under lease/ charter/ Interchange arrangement
- Part H - Ground Handling
- Part I - Aviation Security

10.2 Operations Specifications are the instruments of authorizations issued in terms of the applicable provision in law specifying the nature and scope of permission granted and the mode and manner the operator shall conduct the operations authorized. Hence the holder of the AOC shall ensure that requirements/ conditions in the Ops Specs are complied with at all times, unless deviations from Ops Specs are required for safety or security reasons.

10.3 Where the applicant seeks an approval for a concession, a specific written request is required and the request should be directed to the DGCA for consideration.

## 11. Certification Team

11.1 A certification team is a group of CAA Inspectors appointed to carry out the inspections and assessments required prior to certifying an applicant is suitable to hold an AOC. The size of the team will vary according to the size and complexity of the task(s) involved.

**NOTE:** The CAA Inspectors will be using the relevant checklists to evaluate the applicant's arrangements for the proposed operations during the Documentation Evaluation Phase and Inspection prior to Certification Phase. These checklists are in Appendix - D.

Rev : 00	Civil Aviation Authority of [ INSERT THE STATE ]	Date : [ INSERT DATE ]
----------	--	------------------------

<b>INSERT LOGO</b>	<b>Air Operator Certification Manual</b>	<b>INSERT DOC NO</b>	
	Foreword	Chapter:	Page:

11.2 The applicant is expected to meet the inspectors of the CAA with prior appointment and a “Work Sheet” (Appendix - E) will be filled by the applicant and the inspector pertaining to the meeting.

<b>INSERT LOGO</b>	<b>Air Operator Certification Manual</b>	<b>INSERT DOC NO</b>	
	Foreword	Chapter:	Page:

## CHAPTER - 3

### INITIAL ISSUE OF AN AOC

A flow chart outlining all the activities that have to be accomplished during an application process by an applicant for an AOC is in Appendix F. An applicant is free to make contact with the CAA without making a commitment to determine the feasibility of a proposal. An application will be required to formally notify the CAA in writing when the applicant is reasonably certain of proceeding with the application for an AOC and the Pre-application phase then commences.

#### 1. The Pre-Application phase

There are three distinct activities, which are conducted during this phase.

##### 1.1 Pre- Application - Statement of Intent

1.1.1 The applicant will be asked to provide a Pre-Application Statement of intent when he/she is reasonably certain of proceeding to certification. This statement should be in the form of a letter and contain at least the following information:

- a. The type of operation;
- b. The type(s) of aircraft;
- c. Aircraft owned or leased; (Note: details relating to leased aircraft operations is found in the Appendix – G)
- d. Type and duration of the lease agreement;
- e. The aircraft registration;
- f. The areas(s) of operation and route(s) proposed;
- g. Operational control mechanism planned;
- h. The nature of aircraft and / or simulator training and operational facilities;
- i. Location of administrative, maintenance and operational facilities;
- j. The qualifications of Nominated Post Holders
- k. The planned company trading name; and
- l. The approximate date of commencement.

1.1.2 The CAA will peruse the details provided by the applicant and will propose a date for a pre-application meeting.

Rev : 00	Civil Aviation Authority of [ INSERT THE STATE ]	Date : [ INSERT DATE ]
----------	--	------------------------

INSERT LOGO	Air Operator Certification Manual	INSERT DOC NO	
	Foreword	Chapter:	Page:

## 1.2 Pre-Application Meeting

1.2.1 The purpose of this meeting is to ensure that the applicant has a clear understanding of the certification process and to provide a firm basis on which the CAA can prepare a quote for the issue of an AOC.

1.2.2 As a minimum, the following points will be discussed during this meeting:

- a. The qualifications and experience required for the nominated post holders.
- b. The specific requirements particular to the proposed operation, applicable CARs and Implementing Standards or Directives issued by the DGCA. It is essential that the applicant understand which regulatory requirements are relevant.
- c. The certification process - The applicant must be aware of the division of responsibility between company personnel and the CAA. The applicant must also be aware of the desirability of submitting required items as soon as they become available and advising the certification team of any problem or change in the operation as proposed.
- d. The required form and content of the Formal Application and its attachments - The application and its attachments must be submitted at least 60 days before the date of intended revenue operation. Sixty (60) days will only provide adequate time to handle the application if all aspects are correct and complete at the time of submission. This does not mean that the CAA will be able to complete the certification process within this time span. The completion of the certification process would not only depend on the completeness of the application, and the willingness of the applicant to satisfy the CAA requirements but also the workload already undertaken by the CAA inspectors under its annual work programme.
- e. Therefore, it is advisable to submit the application as far in advance of the intended start date as possible.
- f. It is imperative that the applicant understands that no revenue operations shall be permitted until the AOC and Operations Specifications are issued or, for the holder of an AOC, that all requirements continue to be in force at the same or higher level as required for the initial issue of the Airline Licence.
- g. The basis upon which the CAA determines the cost of certification - The fee which shall accompany the formal application will not be refunded and is based on completion of all the work within 12 months of the formal application. If certification has not been completed within that period due to either a lapse or a delay on the part of the applicant, the application may be deemed to have expired. It is therefore very much in the applicant's interest to avoid delays. The following are examples of situations that can result in delays of certification;

Rev : 00	Civil Aviation Authority of [ INSERT THE STATE ]	Date : [ INSERT DATE ]
----------	--	------------------------



<b>INSERT LOGO</b>	<b>Air Operator Certification Manual</b>	<b>INSERT DOC NO</b>	
	Foreword	Chapter:	Page:

- I. Not meeting the schedule of events;
- II. Not providing lease agreements or other documentation as required by CAA;
- III. Unreasonable timing in the schedule of event or failing to provide adequate buffers to cover possible delays;
- IV. Submission of incomplete or unacceptable material or other required documents that must be returned for correction;
- V. Nomination of unacceptable personnel as Nominated Post Holders, lack / inadequacy of proficiency of crewmembers or maintenance personnel;
- VI. Unsatisfactory standards as revealed by inspections and / or demonstrations, e.g. emergency evacuation demonstrations, proving flights, conformity checks, etc;
- VII. Untimely or unsatisfactory development of the maintenance programs and / or delays in obtaining a conformity inspection for the aircraft;
- VIII. Non availability of applicable manuals, records and other documents which are required to be completed / approved or accepted prior to certification. These should be drafted and completed prior to the submission of the formal application;
- IX. There is a distinction between general advice from the CAA (which is free), formal advice from the CAA (for which a fee is charged) and specialist advice (which is available from consultants attached to CAA);
- X. Special additional requirements, where an applicant is introducing a type of aircraft that is not already in service in [INSERT THE STATE]. (See Appendix H).

### **1.3 Provision of Estimate**

1.3.1 Following the pre-application meeting, and given that the applicant has decided to proceed, the CAA will prepare an estimate of the costs associated with the certification process. This will be a written quote covering the following: -

- a. The cost of certification estimated in [INSERT THE STATE] Rupees.
- b. A summary of the nature of operation envisaged for certification.
- c. The time frame covered by the estimate (this will be 12 months from the date of formal application); and
- d. The period of validity of the estimate (6 months from the date of the quotation).

Rev : 00	Civil Aviation Authority of [ INSERT THE STATE ]	Date : [ INSERT DATE ]
----------	--	------------------------

<b>INSERT LOGO</b>	<b>Air Operator Certification Manual</b>	<b>INSERT DOC NO</b>	
	Foreword	Chapter:	Page:

1.3.2 If the applicant decides to proceed, the formal application shall include the fee as well.

## **2. The Formal Application Phase**

### **2.1 General**

2.1.1 The formal application phase commences when the applicant forwards the application with its accompanying documentation, together with the cost of certification. The application should be signed by either the owner (when applying as an individual) or all members of the Board of Directors when applying as a company. It should be remembered that all activities associated with the certification have to be completed within twelve months from the date the fee is paid.

2.1.2 When the formal application is received, the CAA will arrange a formal application meeting. Although arrangements could be made for the application to be submitted at that meeting, it is advisable for it to be submitted in advance so that the CAA can confirm that all required material have been submitted, at the formal application meeting or comment thereon.

2.1.3 The formal application must be submitted at least sixty (60) days before date of intended revenue operations. A brief description, applicable attachments and a detailed check-list of items to be covered in the formal application are placed at Appendix - A.

### **2.2 The Schedule of Events**

2.2.1 This is a list of items, activities, aircraft, and/or facility acquisitions which must be accomplished or made ready, including the dates on which they will be ready for the CAA to inspect. It is important that the schedule be realistic and contains sufficient flexibility to allow for unforeseen contingencies. A factor which must be considered when the schedule of events is forwarded is whether the CAA has operations and airworthiness inspectors already trained on the proposed aircraft type and if not, how long will it take to train them. If the CAA does not have sufficient number of already trained and qualified inspectors on the type of aircraft to be operated, the applicant will be required to absorb the cost of type specific training for at least two operations inspectors and two airworthiness inspectors as outlined in the previous chapter.

### **2.3 Manuals to be produced with the formal application**

2.3.1 The following manuals (2 copies each) must accompany the application unless the Applicant has incorporated these requirements in its Operations Manual.

- a. Flight Operations Manual

Rev : 00	Civil Aviation Authority of [ INSERT THE STATE ]	Date : [ INSERT DATE ]
----------	--	------------------------

<b>INSERT LOGO</b>	<b>Air Operator Certification Manual</b>	<b>INSERT DOC NO</b>	
	Foreword	Chapter:	Page:

- b. Security Manual
- c. Dangerous Goods Manual;
- d. Airplane Flight Manual;
- e. MMEL / MEL;
- f. Maintenance Control Manual;
- g. Weight and Balance Manual;
- h. Flight Operation Safety Manual and Emergency Procedures Manual (Cabin Safety Manual);
- i. Ground Handling Manual; and
- j. Administrative Procedures Policy Manual.

2.3.2 Detail on the contents of the various manuals is provided in the section related to the document evaluation phase. In addition the applicant is required to provide details of the planned organization, general policies, duties and responsibilities of personnel, channels of communication (hierarchy), airworthiness control policy, operational control policy and procedures. Such matters are usually provided in Operations Manual and in Maintenance Control Manual.

## 2.4 Statement of Compliance

2.4.1 The compliance statement (Appendix C) should be in the form of a detailed listing of Implementing Standards or Directives issued by the DGCA and CARs that will be applicable to the proposed operation with either a brief narrative description of compliance.

2.4.2 If the method of compliance has not been fully developed, a statement of intent should be provided indicating the intent to comply. At this stage of the certification process, the applicant is expected to have considered the proposal in details and there should be a few areas, if any, in which precise compliance information is not available. Documents that may be referred to in the compliance statement includes the Operations Manual, the General Administration Manual, the Aeroplane Flight Manual, the Dangerous Goods Manual, the Dispatch Manual, the Training Manual, the Flight Operations Safety Manual, Route Manual, Security Manual, MMEL/MEL and the Maintenance Control Manual.

## 2.5 Qualifications of Nominated Post Holders

2.5.1 Resumes should be provided containing information on the qualifications and expertise, including licences and ratings of personnel selected, for the following or equivalent positions:

Rev : 00	Civil Aviation Authority of [ INSERT THE STATE ]	Date : [ INSERT DATE ]
----------	--	------------------------

<b>INSERT LOGO</b>	<b>Air Operator Certification Manual</b>	<b>INSERT DOC NO</b>	
	Foreword	Chapter:	Page:

- a. Chief Executive Officer / Accountable Manager
- b. Quality Manager
- c. Head of Flight Operations
- e. Head of Maintenance
- f. Quality Assurance Manager
- e. Head of Training & Checking
- f. Manager Ground Handling
- g. **Manager Airline Security**
- h. Manager In-flight Services / Head of Cabin Crew
- I. Safety Manager

2.5.2 The guide to the qualifications expected of the nominated post holders is given in the Appendix – I.

## **2.6 Aircraft Facilities and Services**

2.6.1 The type of aircraft intended to use for the operation shall receive prior approval from the DGCA. The applicant shall follow the separate instructions issued by the CAA in this regard. In this attachment, evidence should be provided that the aircraft, facilities and service will be available to conduct the proposed operations. Evidence should be in the form of proof of purchase, formal contracts or financial lease agreements. The Operator should have at least one aircraft, which will be used for intended operations, registered in [INSERT THE STATE] to be certified as an Operator. It shall be noted that the validity of the AOC becomes null and void automatically in the event that the operator does not have at least one [INSERT THE STATE] registered aircraft in its fleet. If the formal documents are not available at this stage, letters showing the agreements will be satisfactory until the formal documents are available. It will also be necessary to provide documents showing details of the insurance for the aircraft, its occupants and third parties. The insurance scheme should be in compliance with the applicable convention(s) and / or local legislation.

## **3. The Document Evaluation Phase**

### **3.1 General**

3.1.1 During this phase, the Civil Aviation inspectors will inspect the documents provided in support of the formal application. The documents must specifically relate to the proposed operations.

### **3.2 Lease Agreements**

3.2.1 Civil Aviation Authority does not recognize leasing agreements with operators, registered in certain states due to operational difficulties. Hence it is advised that the applicant may inquire from the CAA about such States prior to entering in to lease agreements with the operators based or registered in such States. The CAA's advice on such States will be based primarily on the Reports issued by the

Rev : 00	Civil Aviation Authority of [ INSERT THE STATE ]	Date : [ INSERT DATE ]
----------	--	------------------------

<b>INSERT LOGO</b>	<b>Air Operator Certification Manual</b>	<b>INSERT DOC NO</b>	
	Foreword	Chapter:	Page:

International Civil Aviation Organization (ICAO) under the Universal Safety Oversight Audit Programme (USOAP) and other safety related information gathered by the CAA through Accident Investigation Reports. Any lease agreement entered into must be evaluated by Civil Aviation Authority to make a determination as to who has “operational control” of the aircraft that are to be leased, in relation to ICAO Annex 1, Annex 6 and Annex 8. Lease agreements would be accepted only if the CAA approves its contents and any amendments thereto must be effected only with the approval of Civil Aviation Authority. The provisions of the lease agreements which shall specify who will perform, what, when, where and how, are of interest to Civil Aviation Authority in granting the requisite approval.

### 3.3 Manuals

#### 3.3.1 Manual Standards

Any Manual /Document prepared by an applicant for the approval of the CAA or to satisfy its regulatory requirements shall contain the following in order to ensure effective production, amendment, distribution and/or uniform use of, or compliance with information relating to the company requirements.

- a. Reference Number used to identify the Document: This number shall be printed on top of the right hand corner of the front / cover page and on each page of the Manual/Document.
- b. Trade Mark / logo of the applicant: This shall be printed on front / cover page and top of the left-hand corner on each page of the Manual/Document.
- c. Title of the Manual / Document: This shall be printed on front / cover page.
- d. Edition Number & Year of edition: This shall be printed on front / cover page.
- e. Title of the person under whose authority the document is printed: the title of the person who authorized the production of the Manual / document should be written at the bottom of the cover / front page;
- f. Control Number: In addition to whatever information the applicant may wish to print on the inner page immediately after the cover page, shall contain the control number which indicates the serial number;
- g. Record of Revision: This shall contain three running columns to indicate the Revision Number, date entered and name of the person making the revision;
- h. History of Revision: A brief description in regard to each amendment introduced subsequent to the initial issue.

Rev : 00	Civil Aviation Authority of [ INSERT THE STATE ]	Date : [ INSERT DATE ]
----------	--	------------------------

<b>INSERT LOGO</b>	<b>Air Operator Certification Manual</b>	<b>INSERT DOC NO</b>	
	Foreword	Chapter:	Page:

- i. List of effective pages: This shall contain two running columns to indicate the Page Number and last date of revision or effective date;
- j. Preamble/Forward: This shall at least contain information relating to the purpose of the Manual in brief, the level of compliance expected from the user, mode and manner used to update the document, the person responsible for update/amendment. The preamble of a Manual /document shall be signed by the Accountable Manager ;
- k. Table of Contents: The table of contents shall be expanded to cover at least two sublevels with page numbers placed on section basis.
- l. Abbreviations: All abbreviation and acronyms used in the Manual or documents should be clearly explained in full;
- m. Definitions: All words, which has or requires a specific meaning in relation to the matter being explained, shall be defined clearly in order to avoid ambiguities. In the absence of a definition for a word or phrase, the CAA will have the right to interpret such word or phrase with due regard to its obligations for safety and security;
- n. Separation of sections/chapters: Manuals should be divided into chapters or sections based on topics being dealt with in view of the necessity of future updating requirements. Each new chapter or section shall start with a new page and such sections/chapters shall be identified with distinctive separators;
- o. Header: There shall be a header for each page of a Manual or document and it shall contain at least the applicant's logo / trade mark, document name, document identification number, chapter number, page number, subject of the chapter and any other information the applicant may wish to display ;
- p. Footer: There shall be a footer for each page which shall contain the revision number, date of revision, name of the organization and any other information which the applicant may wish to display ; and,
- q. Index: It is advised that the applicant may include an index to a Manual /document for ease of reference.

(This Manual itself may be used as guidance for the development of applicant's Manual(s) in keeping with the aforesaid requirements)

The applicant shall also maintain a Master Distribution Record in relation to the production and distribution of the Manual/document and its subsequent amendments.

All Manuals / documents submitted by the applicant to the CAA shall be in duplicate so that one copy will be returned with the appropriate attestation, on approval. The relevant page or pages of the original document which carries the

Rev : 00	Civil Aviation Authority of [ INSERT THE STATE ]	Date : [ INSERT DATE ]
----------	--	------------------------

INSERT LOGO	Air Operator Certification Manual	INSERT DOC NO	
	Foreword	Chapter:	Page:

CAA attestation shall be submitted, whenever an amendment is forwarded to the CAA for approval.

All Manuals / documents which contain information/instructions which are subject to change shall be compiled in a loose binder (ring binders) and any manual /document to be used in the flight deck shall be printed on papers of A5 size.

### 3.3.2 Operations Manual

The Operations Manuals shall contain information/instructions relating to the topics listed in the Applicable IMPLEMENTING STANDARDS OR DIRECTIVES ISSUED BY THE DGCA as amended from time to time. The applicant may divide the manual to a single or more volumes depending on the size and/or nature of information/instructions which are required to be presented. It is essential that the manual meets the requirements of Annex 6 “Operation of Aircraft” to the Convention on International Civil Aviation and applicable CARs and Implementing Standards or Directives issued by the DGCA. The DGCA may require the applicant to include any additional or particular information in the Operations Manual, as deemed necessary. There are two ways of presenting information in the Operations Manual. One way is to place the information directly in to the text of the Operations Manual or alternatively to incorporate by reference. This means that the portion so “incorporated by reference” could be issued in a separate volume with an appropriate subtitle with a “reference” to the Operations Manual identifying its relation or contribution to the main Operations Manual.(an example of this would be to list the Airplane Flight Manual for an aircraft as “ Airplane Flight Manual [AFM] “ B- 737-200 aircraft is issued as volume 8 of the operations manual) then in the table of contents of the operations manual there would be an entry in the appropriate place (between volume 7 and 9 in this example ) for the listing of what volume 8 consisted of.

### 3.3.3 Use of language in Manuals / Documents

The applicant shall ensure that all Manuals/ Documents are written in the English language and the following words are used to give the meaning as indicated against such words.

**“shall” or “must”** – compliance is mandatory

**“will”** – the action referred to will not take place at the present moment but there is a commitment to comply with the requirement.

**“should”** – compliance is recommended but not compulsory.

**“may”** – there is discretion for the applicant/operator to apply alternate means of compliance or to ignore the requirement.

Rev : 00	Civil Aviation Authority of [ INSERT THE STATE ]	Date : [ INSERT DATE ]
----------	--	------------------------

<b>INSERT LOGO</b>	<b>Air Operator Certification Manual</b>	<b>INSERT DOC NO</b>	
	Foreword	Chapter:	Page:

Any specific instruction issued by the applicant to the operational staff shall be given using the words “shall” or “must”.

### **3.4 Airplane Flight Manual**

3.4.1 The Aircraft Flight Manual is a document that is approved by the respective civil aviation authority of the State of manufacturer. There is usually no requirement for this manual to be approved by the CAA unless there have been substantial modifications to the aircraft by other than a means approved by the State of manufacturer. The manual shall be in English or if it's a translation it shall be signed by the State of the manufacturer as a true translation. The AFM should contain information and instructions relating to the following.

- a. The identification of the aircraft
- b. The operating procedures and limitations of the aircraft; and
- c. The performances and loading of the aircraft.

3.4.2 Subject to evaluation and approval by the Civil Aviation Authority, it may be permissible to combine the Airplane Flight Manual with the Operations Manual thus enabling the requirements for the carriage of a specific and separate Flight Manual to be waived. An operator must specify that each member of the crew must carry the operations manual or those specific portions of the operations manual.

### **3.5 Training Manual and Training Programmes**

3.5.1 The training manual shall form as a part of operator's operations manual. The training manual is subject to DGCA approval and must address all aspects of training pertaining to flight and cabin crew, operational personnel and any other personnel involved in aircraft operations. The applicants are advised to liaise with the Operations Section of the CAA in developing the required training programmes for flight crew and flight operations officer /dispatchers. All training programmes for personnel who are involved with flight operations and dispatching of company aircraft must be approved by DGCA. The company may include additional materials for guidance and information for company personnel over and above the information required by the DGCA.

3.5.2 The training manual must contain information as to course syllabus, equipment and facilities intended to be used including the place where the training is to be conducted, the qualification of instructors, evaluation method, record keeping etc. All training that is required must be included in the training manual. If any portion of the training programmes is to be conducted by any other entity external to the operator, relevant information concerning this shall be included. An operator shall not use a training programme that has already received approval for the use of another operator until such time that the course is evaluated and approved by the DGCA.

Rev : 00	Civil Aviation Authority of [ INSERT THE STATE ]	Date : [ INSERT DATE ]
----------	--	------------------------



<b>INSERT LOGO</b>	<b>Air Operator Certification Manual</b>	<b>INSERT DOC NO</b>	
	Foreword	Chapter:	Page:

3.5.3 Safety and Emergency Procedures training programmes/ Manuals for persons other than the flight crew (e.g. Cabin Crew) shall be compiled as per the DGCA laid down requirements in the form of either a Manual or an ASN.

3.5.4 All instructors and simulator facilities pertaining to aircraft flight operations shall have prior approval of the DGCA.

3.5.5 Operator's arrangements for checking of the competence of the flight crewmembers shall be in conformity with the procedures specified in the Designated Check Pilot Manual issued by the DGCA.

3.5.6 It is essential that the operator shall organize not only initial training for its operational staff but also recurrent training programmes at regular intervals, as advised by the DGCA.

3.5.7 In the event, the operator proposes obtaining services (outsourcing) of third party Training Organization for training and/or checking of its flying personnel, such organization shall be a Training Organization (ATO) approved by the DGCA or an ATO of another Contracting State, acceptable to the DGCA.

### **3.6 Dangerous Goods Manual**

3.6.1 Where an operator intends to carry dangerous goods, the following requirements shall apply.

- a. Commercial operators who carry dangerous goods by air are required to provide a dangerous goods manual for the use of information and guidance of company operational personnel. Such Manual shall usually form a part of the operations manual whether or not it is issued as a separate volume or incorporated directly into the operations manual.
- b. Details of DGCA requirements are contained in the relevant document entitled "Manual on Transport of Dangerous Goods".
- c. Operators are required to provide training programmes for personnel involved with handling or transport of the dangerous goods by air. A syllabus of training must be produced to cover this requirement, which may be incorporated either as a separate document or included in the training manual, which form part of the operations manual.
- d. When the training programmes and the manual have been approved, they should be distributed to relevant persons associated with the operations and the Civil Aviation Authority. Suitable amendment and distribution procedures must also be in place.
- e. It is essential that the operator shall have procedures for reporting of occurrences involving carriage of dangerous goods and to handle any

Rev : 00	Civil Aviation Authority of [ INSERT THE STATE ]	Date : [ INSERT DATE ]
----------	--	------------------------

<b>INSERT LOGO</b>	<b>Air Operator Certification Manual</b>	<b>INSERT DOC NO</b>	
	Foreword	Chapter:	Page:

emergency arising out of dangerous goods. All operational staff should be educated of these procedures and it shall be the duty of the operator to notify forthwith the relevant State agency which is in charge of investigation if any of aircraft carrying dangerous goods with met with an accident.

3.6.2 Where an operator does not intend to carry dangerous goods, the following requirements shall apply;

- a. the operator shall provide information in his operations manual about the policy of the operator and the policy on transporting Company Material (COMAT). The operator shall give specific written instructions / guidance to its technical and operational staff in this regard.
- b. Operators are required to provide applicable dangerous goods training to allow the identification of dangerous goods for personnel involved in the handling of passengers and cargo, crew members and security staff in order to prevent the inadvertent carriage of such goods either in the cabin or cargo hold of aircraft operated by the operator. Accordingly, either a separate manual or a suitable section of the Operations Manual must be devoted to this subject. The training of these personnel must be included in the training manual, and the training programme must receive approval from the Civil Aviation Authority.

### **3.7 Maintenance Manual (Maintenance Control Document)**

3.7.1 A maintenance control document must be submitted for approval by the Civil Aviation Authority. This document shall be titled as Maintenance Control Manual. The manual should be arranged into general information and specific aircraft maintenance systems. Separate volumes may be utilized for the purpose of separation of topics. Copies of the Maintenance Control Manuals must be provided for the following-

- a. All locations where maintenance is performed.
- b. The Civil Aviation Authority and
- c. Maintenance and inspection personnel who need to the manual in the execution of their duties.

### **3.8 Airline Security Manual**

3.8.1 The operator shall ensure that the security manual is developed in close association with the CAA to be in conformance to the National Civil Aviation Security Programme. The Operators Security Manual shall explain as to how effective security requirements would be implemented at all destinations that he intends to operate. The operator shall be guided by Appendix 15 of DOC 8973 – ICAO Security Manual when formulating the manual for DGCA approval.

Rev : 00	Civil Aviation Authority of [ INSERT THE STATE ]	Date : [ INSERT DATE ]
----------	--	------------------------

INSERT LOGO	Air Operator Certification Manual	INSERT DOC NO	
	Foreword	Chapter:	Page:

### 3.9 Flight Operations Safety and Emergency Procedures Manual

The operator shall ensure that all personnel involved in flight operations are in possession of the approved Flight Operations Safety and Emergency Procedures Manual which explains details in regard to aircraft safety and emergency procedures. The operator shall be guided by the requirements stipulated in CARs when preparing this manual.

### 3.10. Ground Handling Procedures Manual

An operator shall have a Ground Handling Procedures Manual which explains in sufficient details the personnel, equipment, procedures used for providing ground handling services to the operators' aircraft both at the home base and proposed destinations of operations.

### 3.11. Accident Prevention and Safety Management Programme

An operator shall develop an Accident Prevention and Safety Management Programme to ensure that all reasonable measures have been taken in order to identify possible risks inherited in the system and human errors that may adversely affect flight safety and to mitigate such risks and errors. The guidance material in addition to mandatory requirements published in terms of the IMPLEMENTING STANDARDS OR DIRECTIVES ISSUED BY THE DGCA for the formulation of Safety Management System as specified in the Regulations 2.2.10 of Part 9 of the Harmonised BAG Regulations.

### 3.12 Statistical Returns

Each operator holding an AOC issued by the DGCA is required to implement a programme to ensure that statistical returns in respect of commercial operations will be furnished to the CAA on a regular basis as stipulated.

## 4. The Pre-Certification Inspection Phase

### 4.1 General

4.1.1 Detailed requirements for facilities, staff, equipment and procedures are set out in CARs and Implementing Standards or Directives issued by the DGCA. The purpose of the pre-certification inspection is to ensure that the requirements have been satisfied as explained in the written procedures of the applicant. (See Appendix – J for details)

4.1.2 The Civil Aviation Authority must be satisfied that qualified and trained personnel are employed in sufficient numbers on a full time basis where appropriate. Amongst other requirements, adequate facilities and equipment must be provided to allow staff to carry out their duties related to the conduct of operations in

Rev : 00	Civil Aviation Authority of [ INSERT THE STATE ]	Date : [ INSERT DATE ]
----------	--	------------------------

<b>INSERT LOGO</b>	<b>Air Operator Certification Manual</b>	<b>INSERT DOC NO</b>	
	Foreword	Chapter:	Page:

compliance with regulations and specifications or instructions contained in the company.

4.1.3 Some of the work involved in the conduct of operations may be contracted out. Such work may vary from non-operational aspects such as using an outside accounting firm or contract catering through to essential items such as passenger and freight handling, aircraft servicing, aircraft maintenance at various levels, training of technical or cabin crew, or even to the extent of leasing aircraft and operating crews. Operational items or services of any nature that are provided under contract will normally require inspection and approval by the DGCA. The sub contracting of services can be accomplished only from another organization(s) acceptable to the DGCA.

## **4.2 Proving Flights**

4.2.1 Proving flights will be required to demonstrate the readiness of the applicant to conduct operations using the equipment, facilities, services and personnel identified in the application and the associated documents in accordance with the procedures spelt out in the Operations Manual. The scope and nature of the proving flight or flights are discussed in Appendix – J, paragraph 17.

4.2.2 An initial draft of the Operation Specifications will be drawn up by the applicant’s personnel and discussed in detail with the Civil Aviation Authority’s certification team who will indicate to the applicant whether or not they are acceptable. This iteration (which will be clearly labelled draft) will be used during the proving flights after clearance from the Certification Team, which includes inspectors from Flight Safety and Aeronautical Services Divisions. The draft Operation Specifications may be subsequently modified as required by Civil Aviation Authority or requested by the operator before the final version is issued by the DGCA with the Air Operator Certificate to form a part of the Operations Manual.

## **5. Certification phase**

### **5.1 Final version of the Operation Specifications**

Upon successful completion of the proving flight or flights, the certification team will assess the Operations specifications and review the Compliance Statement to ensure all requirements have been satisfied for the grant of an Air Operator Certificate.

### **5.2 Issue of an Air Operator Certificate and an Airline Licence.**

5.2.1 When the Certification team of the CAA is satisfied that all requirements have been met, they will prepare a certification report for the perusal of the Director General of Civil Aviation.

Rev : 00	Civil Aviation Authority of [ INSERT THE STATE ]	Date : [ INSERT DATE ]
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<b>INSERT LOGO</b>	<b>Air Operator Certification Manual</b>	<b>INSERT DOC NO</b>	
	Foreword	Chapter:	Page:

- 5.2.2 DGCA if satisfied, that the certification process has been conducted according to the required standards, may approve the issuance of the AOC along with required Operations Specifications certifying the competency of the applicant as an air operator.
- 5.2.3 Subject to compliance with the para 5.2.2, an appropriate Airline License for the applicable class of operations will be issued if the requirements for grant of commercial rights for an airline have also been fulfilled.
- 5.2.4 An operator shall hold a valid Air Operator Certificate and an Airline Licence to engage in air service operations.

## **6. Renewal of Air Operator Certificate and Airline Licence**

An applicant who is a holder of an AOC shall comply with the requirements of this chapter for the renewal of its AOC and the Airline License. The applicant must apply for the renewal, to the Civil Aviation Authority at least a minimum of 30 days prior to the date of expiry. The requirements for renewal of the AOC / Airline Licence shall be the same as for the initial issue.

### **6.1 The Application for Renewal**

- 6.1.1 A request for renewal of an AOC or an Airline Licence shall be forwarded to the DGCA in the prescribed form which is reproduced at (Appendix - K) together with the applicable fees.
- 6.1.2 The Civil Aviation Authority will then confirm a date for an inspection for AOC renewal.

### **6.2 Inspection for Renewal of AOC**

- 6.2.1 The purpose of this inspection is to ensure that the applicant has maintained the initial conditions of certifications and is in a position to continue maintaining the applicable certification standards.
- 6.2.2 It will be necessary for the Civil Aviation Authority team to look in to any or all aspects of the operation to ensure that the operator has continued to maintain the standards that were required for initial certification, in particular to safety surveillance records in relation to training & checking records of flight crewmembers, ramp inspections, regularity audits and incidents / accidents reports etc.

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Rev : 00	Civil Aviation Authority of [ INSERT THE STATE ]	Date : [ INSERT DATE ]
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<b>INSERT LOGO</b>	<b>Air Operator Certification Manual</b>	<b>INSERT DOC NO</b>	
	Foreword	Chapter:	Page: