

# AIR OPERATOR CERTIFICATION

## Certification of An Air Operator

(AOC-AP-001)



Ghana \_\_\_\_\_  
Civil Aviation Authority

# Advisory Pamphlet

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## 1. PURPOSE.

- a. This Advisory Pamphlet (AP) describes the process of applying for and obtaining an Air Operator Certificate (AOC) to conduct commercial air transport operations under Ghana Civil Aviation Regulations (GCARs). The certification process may appear to be a complex undertaking, particularly to a “first-time” operator. This AP provides basic information applicable to the certification process. This AP does not describe the process for obtaining an AOC when the AOC applicant proposes to conduct maintenance under the equivalent system of maintenance referenced in Part 9 of the GCAR.
- 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 AP. 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 AP and the reading material referenced in this AP will assist the operator in completing the process with minimal delays and complications.

## 2. RELATED REGULATIONS.

Ghana Civil Aviation Act (Law) and Ghana Civil Aviation Regulations (GCARs) Parts 1, 2, 4, 5, 6, 7, 8, 9, 10

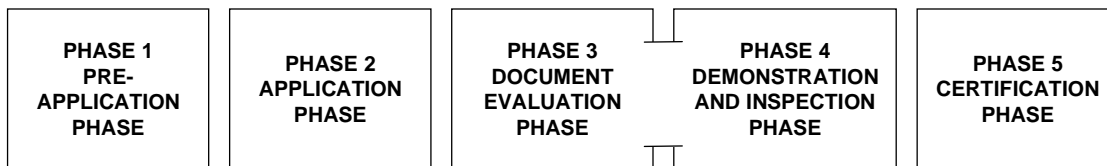
## 3. RELATED READING MATERIAL.

Air Transport Operator economic regulatory functions are under the jurisdiction of the Air Transport Licensing Authority (ATLA)

*Note: the economic authority requirements will be determined by ATLA*

#### 4. BACKGROUND.

- a. To conduct Commercial Air Transport Operations under GCA regulations, an operator must be a citizen as defined in Ghana Civil 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 Ghana Civil Aviation Law, GCA regulations, and ICAO standards pertaining to the operation of aircraft as published in the relevant ANNEXES to the convention on international civil aviation.
- 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 AP 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 Ghana Civil 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 Safety Regulation Department, Ghana Civil Aviation Authority, Accra 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, GCAA Form 13 - Prospective Operators Pre-assessment Statement (POPS) will be furnished. A sample of this form with instructions for completing it is in Appendix 1. 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 in Section 2. If the information is complete and acceptable, the Director Safety Regulation will determine which inspectors will be assigned to the certification project and schedule a pre-application meeting with the prospective operator and the selected CAA certification team members.

- c. The Director Safety Regulation 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 recommended that the operator's key management and staff 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, an application information package will be provided during the pre-application meeting. The application information package includes the following:
  - (1) The certification job aid that will be used by CAA inspectors during the certification project.
  - (2) A schedule of events which must be completed and submitted with the formal application.
  - (3) An example set of Specific Operating Provisions (SOPs).
  - (4) Other publications or documents the PM believes will be useful to the operator.
- g. GCAR 9.1.1.5 (a) and (b) 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 either a form provided by the Authority [see Appendix 2.] requesting certification as an air operator. The accountable manager or a senior management personnel as defined by GCAR 9.2.2.2 shall sign the form. Certain documents must be submitted with the formal application. These documents (attachments) are briefly described in subparagraph (1) through (10) below. These will be discussed in detail during the pre-application meeting.
  - (1) Draft Specific Operating Provisions Attachment. This attachment describes the applicant's intended authorisations, limitations, provisions, and privileges specific to the operator's operations.
  - (2) 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.

- (3) 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. GCARs 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. GCAR Part 9, including the Implementing Standards (IS) prescribe the content of these manuals. The entire manual system, as required by sections 9.3 and 9.4 of the GCARs, shall be completely developed at the time of formal application.
- (4) 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 formal application letter or form. Initial training curricula must include at least the following curricula segments:
  - (i) Company Procedures Indoctrination Training (GCARs 8.10.1.9 and 9.2.2.9)
  - (ii) Initial Emergency Equipment Drills Training (GCAR 8.10.1.13)
  - (iii) Initial Aircraft Ground Training (GCAR 8.10. 1.14)
  - (iv) Initial Aircraft Flight Training (GCAR 8.10. 1.15)
- (5) Management Structure and Qualification Attachment.
  - (A) GCARs 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 GCARs 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) Director of Operations, or Senior Officer of Flying Operations
    - (iii) Chief Pilot
    - (iv) Director of Safety, or Chief Flight Safety and Accident Prevention Officer
    - (v) Quality Manager
    - (vi) Director of Maintenance

- (B) 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.
- (6) 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
- (7) Initial Statement of Compliance. This attachment should be a complete listing of all GCARs 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 GCARs should be presented in a Statement of Compliance.

The following fictitious examples are to be used as a guide only in preparing the compliance statement.

#### EXAMPLE 1.

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 Statement of Compliance - method of compliance **not developed** at time of formal application.  
 GCAR: 9.3.1.19 Aeronautical Data Control System.  
 This system is currently under development and will be submitted for approval on (date).

#### EXAMPLE 2.

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 Statement of Compliance - method of compliance **fully developed - preferred presentation**  
 GCAR: 9.3.1.22 De-icing and Anti-icing Programme.  
 Flight Operations Manual (FOM) p. 129, para. 243;  
 Maintenance Control Manual (MCM) p. 45, para. 12.5.

**EXAMPLE 3.**

Statement of Compliance - method of compliance **fully developed - acceptable presentation.**

GCAR: 8.3.3.19 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.

- (8) Financial, Economic and Legal Matters Attachment. An Air Carrier Licence (ACL) should be attached by the prospective operator.
  - (9) List of Aircraft. This attachment should consist of a list of aircraft, (by make, model, and series) that the applicant intends to operate.
  - (10) List of Designated Destination and Alternate Aerodromes. This attachment is required if the applicant is applying for scheduled domestic or scheduled international operations.
- h. 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 GCARs as they apply to various kinds and types of operations is in Appendix 4.
  - k. 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 prospective 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 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. If the formal application meeting is successful, the operator is provided with letter acknowledging receipt and acceptance of the package. 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 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 GCARs. Approvals may be indicated by letter as appropriate, or by approval of Specific Operating Provisions (SOPs). 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 (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 Master Minimum Equipment List (MMEL) 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 Crew Manual.
- (18) Dispatch/flight following/flight locating procedures.
- (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. GCARs 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 AP, 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 GCARs.

**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 GCAR 9.2.3.6 (a), 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 SOPs. The SOPs 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 GCARs and the authorisations, limitations, and provisions of its certificate and SOPs. As a certificate holder's operation changes, the SOPs will be amended accordingly. The process for amending SOPs 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 GCARs and safe operating practices.

**10. EXPLANATION OF APPENDIXES IN THIS ADVISORY PAMPHLET.**

- a. Appendix 1 provides instructions on how GCA Form 13: 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 Safety Regulations Department. Sections 2 and 3 are reserved for CAA use.
- b. Appendix 2 provides a sample formal application letter.
- c. Appendix 3 provides a certification job aid and schedule of events.
- 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.

**APPENDIX 1. INSTRUCTIONS FOR COMPLETING FORM 13 PROSPECTIVE OPERATOR'S PRE-ASSESSMENT STATEMENT (POPS). THIS FORM IS TO BE COMPLETED BY AN AIR OPERATOR OR MAINTENANCE ORGANISATION APPLICANT.**

**SECTION 1A.** All applicants shall complete this section.

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. This information will be used to assign a company identification number. You may indicate up to three, three-letter identifiers, such as ABC, XYZ, etc. If all choices have been assigned to other operators or maintenance organisations, a randomly selected number will be assigned.
5. Enter the names, titles, and telephone numbers of management personnel required by GCAR 9. 2. 2.

*NOTE: Management personnel qualification requirements are specified in MCAR Part 9 Implementing Standards (IS) 9.2.2.2.*

**SECTION 1B.** All applicants shall complete this section, as appropriate.

6. Indicate if the air operator intends to perform maintenance as an Approved Maintenance Organisation (AMO) or intends to contract out all or part of its maintenance, or perform its own maintenance using an equivalent system.
7. The proposed type of operation shall be indicated. Check as many boxes as apply.
8. The proposed type of maintenance organisation and ratings shall be indicated. Check as many boxes as apply.

**SECTION 1C.** Air Operators shall complete Blocks 9, 10.

9. 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.

10. Indicate geographic areas of intended operation and proposed route structure.

**SECTION 1D.** All applicants shall complete this section.

11. 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.

12. Identify the type of aircraft and/or simulators.

For AOC's identify the type of aircraft and/or simulators intended to be used.  
For AMO's, identify the type of aircraft by make and model. In addition identify the type of training that the Quality Assurance staff, certifying staff and maintenance personnel will receive based on the ratings requested.

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

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Type of Organisation	Authorised Signature
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Individual	Owner
Partnership	At least one partner
Company, corporation, association, etc.	At least one authorised officer

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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.

SECTIONS 2 and 3. For CAA Use.



CAA FORM 13 PROSPECTIVE OPERATOR'S PRE-ASSESSMENT STATEMENT (POPS)  
(BACK PAGE)

Section 1D. To be completed by all applicants		
<b>11. Additional information that provides a better understanding of the proposed operation or business</b> (Attach additional sheets, if necessary)		
<b>12. Proposed Training (Aircraft and/or Simulator)</b>		
<b>13. The statement and information contained on this form denotes an intent to apply for a CAA certificate.</b>		
<b>Type of Organisation:</b>		
<b>Signature</b>	<b>Date (day/month/year)</b>	<b>Name and Title</b>
Section 2. To be completed by the CAA Official		
<b>Received by (Name and Office):</b>		<b>Date received (day/month/year)</b>
<b>Date forwarded to Director Civil Aviation (DCA) (day/month/year):</b>	<b>For:</b> <input type="checkbox"/> Action <input type="checkbox"/> Information only	
<b>Remarks:</b>		
Section 3. To be completed by the Office of the Director Civil Aviation		
<b>Received by:</b>	<b>Pre-application Number:</b>	
<b>Date (day/month/year):</b>	<b>Assigned Certification Number:</b>	
<b>Local office assigned responsibility:</b>	<b>Date forwarded to local office: (day/month/year)</b>	
<b>Remarks:</b>		

**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 Ghana Civil Aviation Authority (GCAA) 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 Parts 8 and 9 of the Ghana Civil Aviation Regulations (GCARs). We intend to use (Number and Type) aeroplane(s) between (location) and (location). We have enclosed a copy of our ACL 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. E. F. Akohene  
Director of Operations and Dispatch – Mr. Dan Acquah  
Director of Maintenance – Mr. B. Asare Buotu  
Quality Manager – Mr. E. N. Quao  
Chief Pilot – Capt. Sam Owiredu  
Director of Training – Mr. E. Manfo  
Director of Safety – Mr. Sam Benson

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,

Mr. E. F. Akohene  
President  
Enclosures



**APPENDIX 3. JOB AIDS  
AIR OPERATOR CERTIFICATION JOB AID AND SCHEDULE OF EVENTS  
(COMMERCIAL AIR TRANSPORT OPERATORS PART 8 AND 9)**

OFFICIAL NAME OF COMPANY				LOCATION ADDRESS																								
MAILING ADDRESS (if different from location)				PRE-CERTIFICATION NUMBER:																								
				Inspector Initial	Date Received/ Accomplished	Date Returned for Changes	Reference																					
CAA REFERENCE	OPS Insp.	AIR Insp.	AVI Insp.																									
<b>I. PRE-APPLICATION PHASE</b>																												
A. Initial Orientation: Inspector: _____ 1. Certification Advisory Pamphlet provided to applicant. 2. Prospective Operator's Pre-assessment Statement (POPS) a. Forwarded to Director CAA																												
B. Certification Team Designated (at least one operations, one maintenance, and one avionics inspector)  <table style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 10%;"></th> <th style="width: 30%;">Name</th> <th style="width: 30%;">Speciality</th> </tr> </thead> <tbody> <tr> <td style="text-align: right;">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> </tbody> </table>					Name	Speciality	PM	_____	_____		_____	_____		_____	_____		_____	_____		_____	_____		_____	_____				
	Name	Speciality																										
PM	_____	_____																										
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C. Conduct Pre-application Meeting  1. Verify POPS Information 2. Overview of Certification Process 3. Provide Certification Package Containing: a. Certification Job Aid b. Schedule of events c. Model Specific Operating Provisions d. Other Applicable Publications and Documents 4. Explain Formal Application Submissions																												
Remarks:																												

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**AIR OPERATOR CERTIFICATION JOB AID AND SCHEDULE OF EVENTS  
(COMMERCIAL AIR TRANSPORT OPERATORS PART 8 AND 9)**

CAA REFERENCE	II. FORMAL APPLICATION PHASE	Inspector Initial	Date Received/ Accomplished	Date Returned for Changes	Reference
	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				
	a. Schedule of events				
	b. Initial compliance statement				
	c. Company general manuals				
	i. Operations Manual.				
	ii. Maintenance Control Manual				
	iii. Aircraft Maintenance Program				
	d. Initial new hire training curricula (Crewmembers & Flt/Ops/Officers) Company Procedures Indoctrination Emergency Equip Drills Training Initial Flight and Ground Training				
	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				
<b>REMARKS:</b>					
	C. Formal Application Meeting				
	1. Schedule of events Date:_____ Time:_____				
	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				
<b>REMARKS:</b>					

**AIR OPERATOR CERTIFICATION JOB AID AND SCHEDULE OF EVENTS  
(COMMERCIAL AIR TRANSPORT OPERATORS PART 8 AND 9)**

CAA REFERENCE	III. DOCUMENT EVALUATION PHASE	Inspector Initial	Date Received/ Accomplished	Date Returned for Changes	Reference
<b>REMARKS:</b>					
	A. Evaluate Applicable Training Programs 1. Training Curricula				
	a. Company Procedures Indoctrination				
	b. Emergency Equipment Drills Training				
	c. Ground Training (Handling/Servicing/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				
	2. Flt/Ops/Officer Training				
<b>REMARKS:</b>					
	B. Evaluate Management Qualifications 1. Accountable Manager				
	2. Director of Operations				
	3. Individual Responsible for 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				
	8. Request for Deviation Letter (If Applicable)				
	9. Other				
<b>REMARKS:</b>					

**AIR OPERATOR CERTIFICATION JOB AID AND SCHEDULE OF EVENTS  
(COMMERCIAL AIR TRANSPORT OPERATORS PART 8 AND 9)**

CAA REFERENCE	III. DOCUMENT EVALUATION PHASE (CONTINUED)	Inspector Initial	Date Received/ Accomplished	Date Returned for Changes	Reference
	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				

Remarks:

**AIR OPERATOR CERTIFICATION JOB AID AND SCHEDULE OF EVENTS  
(COMMERCIAL AIR TRANSPORT OPERATORS PART 8 AND 9)**

CAA REFERENCE	III. DOCUMENT EVALUATION PHASE (CONTINUED)	Inspector Initial	Date Received/ Accomplished	Date Returned for Changes	Reference
	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				
<b>Remarks:</b>					

**AIR OPERATOR CERTIFICATION JOB AID AND SCHEDULE OF EVENTS  
(COMMERCIAL AIR TRANSPORT OPERATORS PART 8 AND 9)**

CAA REFERENCE	IV. DEMONSTRATION & INSPECTION PHASE	Inspector Initial	Date Received/ Accomplished	Date Returned for Changes	Reference
	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. Individual Responsible for Maintenance				
	b. Quality Manager				
	c. Quality system Personnel				
<b>Remarks:</b>					

**AIR OPERATOR CERTIFICATION JOB AID AND SCHEDULE OF EVENTS  
(COMMERCIAL AIR TRANSPORT OPERATORS PART 8 AND 9)**

CAA REFERENCE	IV. DEMONSTRATION & INSPECTION PHASE (CONTINUED)	Inspector Initial	Date Received/ Accomplished	Date Returned for Changes	Reference
	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 Individual Responsible for 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				
<b>Remarks:</b>					



**AIR OPERATOR CERTIFICATION JOB AID AND SCHEDULE OF EVENTS  
(COMMERCIAL AIR TRANSPORT OPERATORS PART 8 AND 9)**

CAA REFERENCE	V. CERTIFICATION PHASE	Inspector Initial	Date Received/ Accomplished	Date Returned for Changes	Reference
	A. Approve Specific Operating Provisions				
	B. Present Certificate & Specific Operating Provisions				
<b>Remarks:</b>					
	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				
<b>Remarks:</b>					
	D. Develop Post Certification Surveillance Program				
	1. Within Geographic Area				
	2. Outside Geographic Area				
<b>Remarks:</b>					

**APPENDIX 4. GHANA CIVIL AVIATION REGULATIONS (GCARs)****SECTION 1 - APPLICABLE PARTS OF GCARs**

Part 01	General Policies, Procedures, and Definitions
Part 02	Personnel Licensing and Implementing Standard
Part 04	Aircraft Registration and Marking
Part 05	Airworthiness and Implementing Standard
Part 06	Approved Maintenance Organisation and Implementing Standard
Part 07	Instruments and Equipment and Implementing Standard
Part 08	Operations and Implementing Standard
Part 09	Air Operator Certification and Administration and Implementing Standard
Part 10	Foreign Air Operators

**SECTION 2 - OTHER REGULATIONS THAT MAY BE APPLICABLE TO CERTIFICATION AS AN AOC**

1. Joint Aviation Requirements
2. Federal Aviation Regulations

**SECTION 3 - APPLICABLE ICAO ANNEXES AND DOCUMENTS**

Annex 1 to the ICAO convention ....Personnel 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

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

**Section 4 – Useful Addresses:**

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 Ghana Civil Aviation Authority shall be made.

**“Certificate holding office”** means the Safety Regulations Department

**“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.

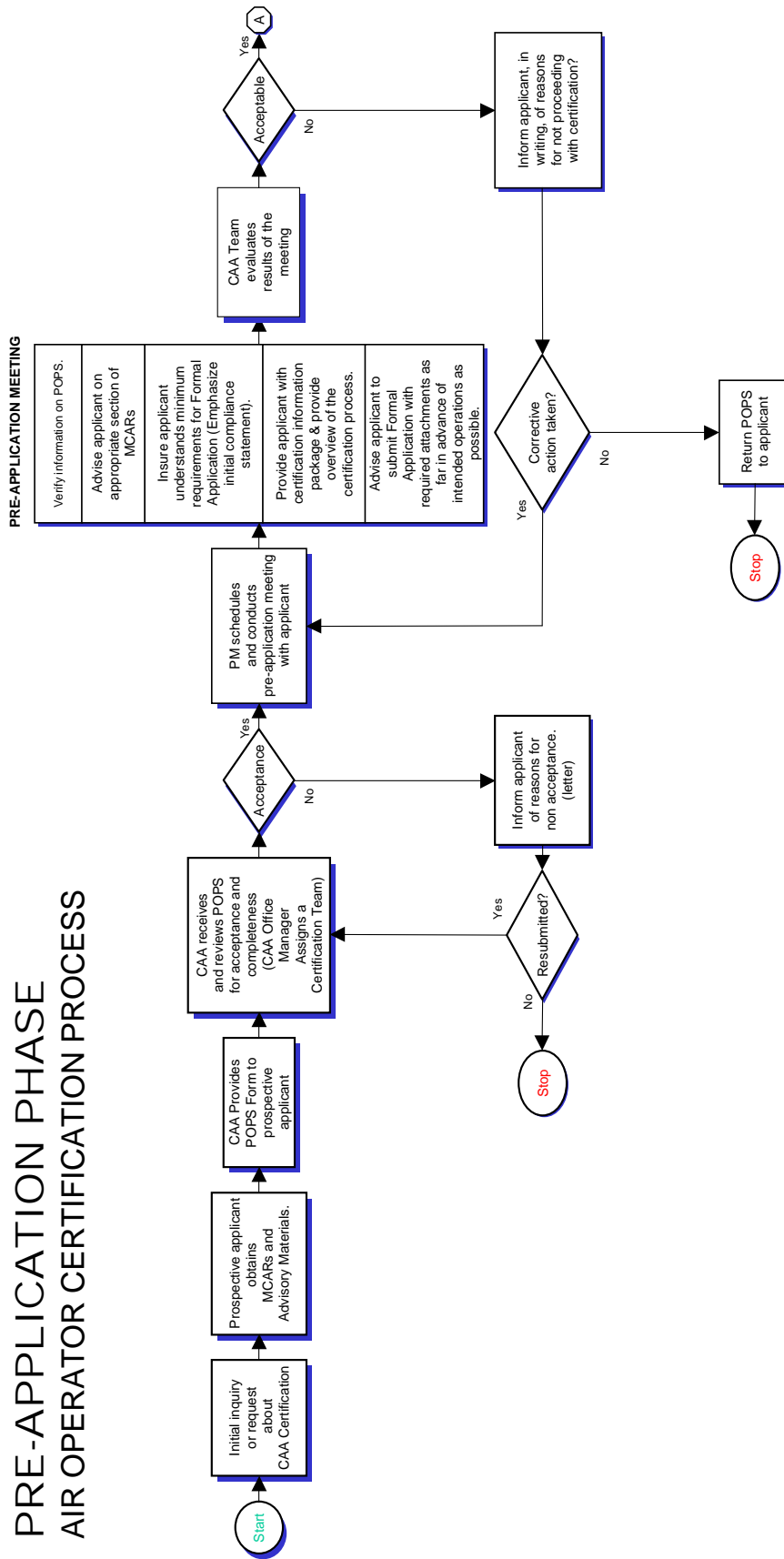
**“Principal base of operations”** means the primary operating location of a certificate holder as designated by the CAA.

**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.

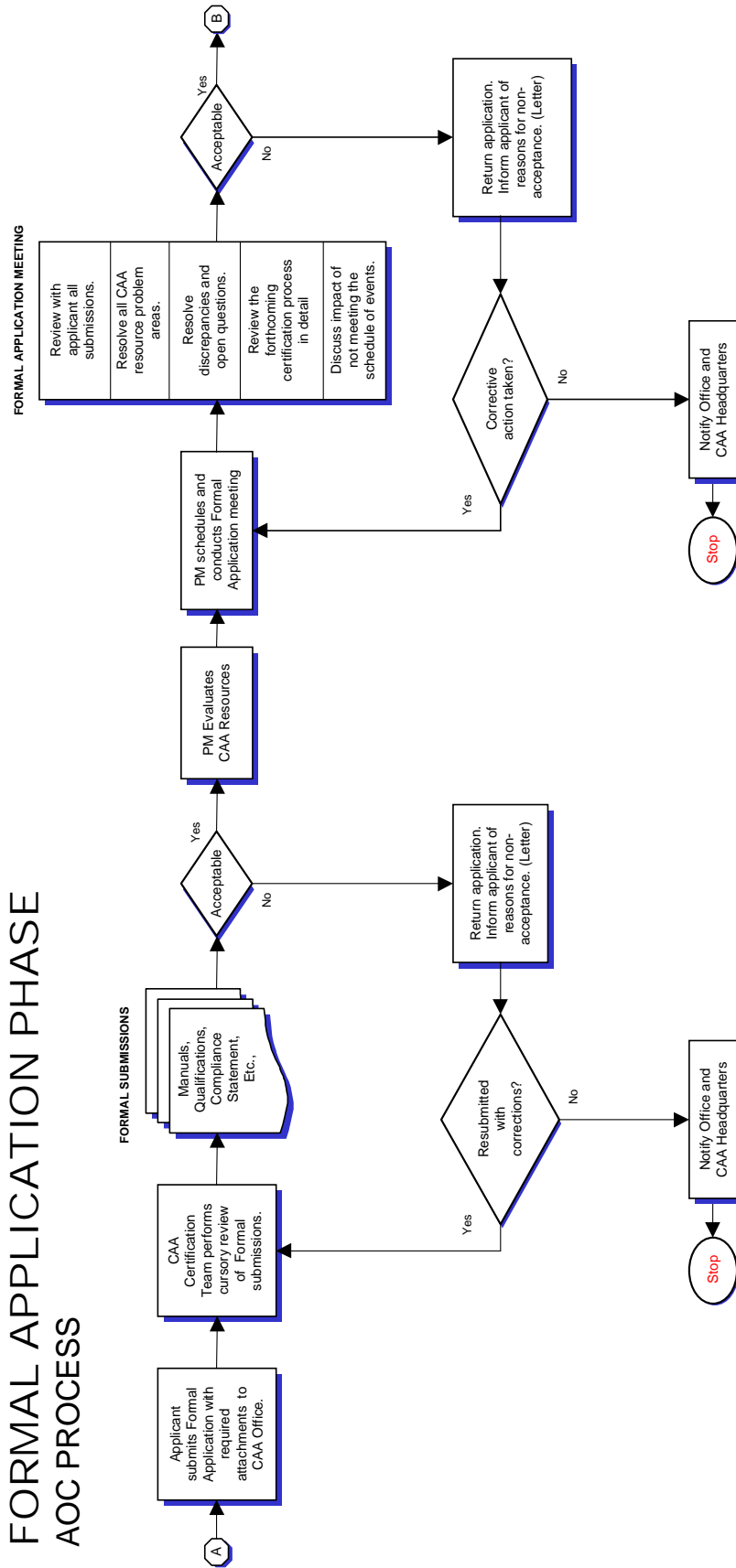
**PRE-APPLICATION PHASE  
AIR OPERATOR CERTIFICATION PROCESS**



**APPENDIX 6 -  
CERTIFICATION  
PROCESS FLOW  
CHART.**

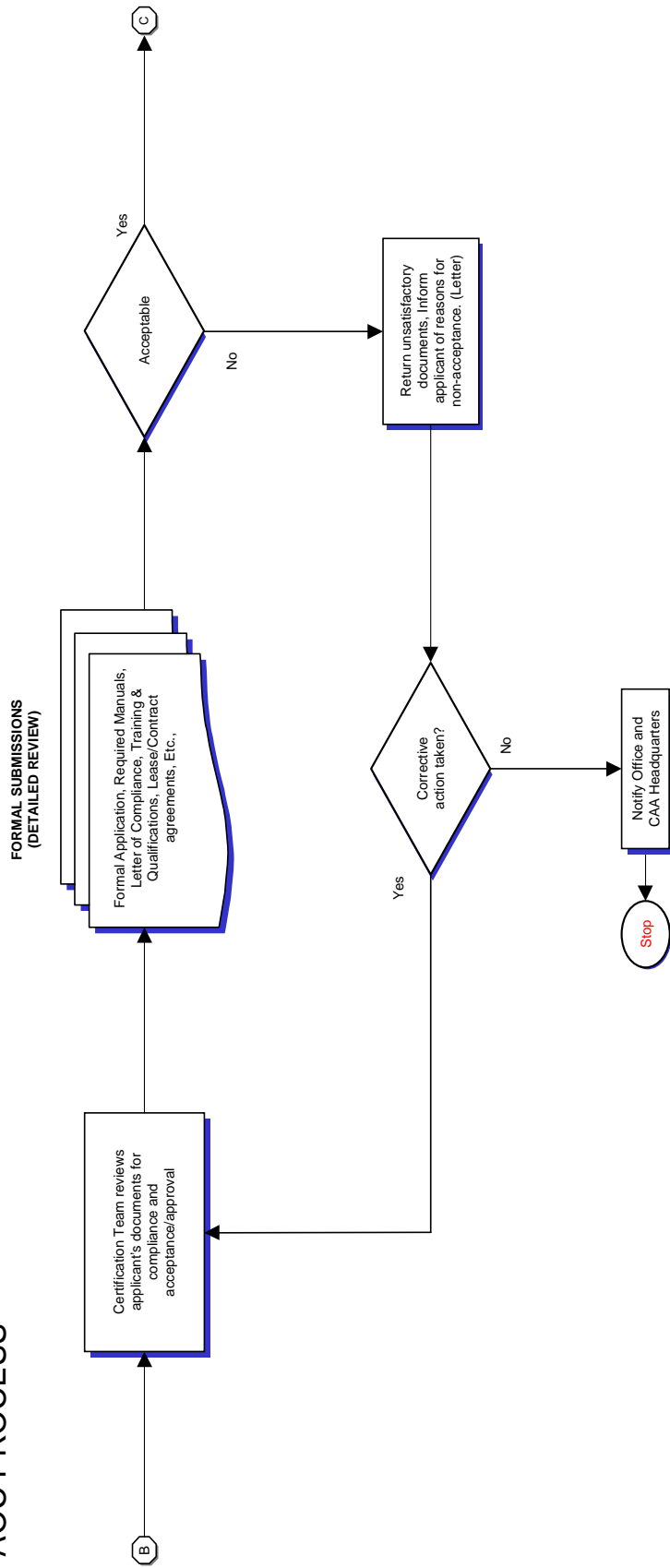
Page 2 of 5

**FORMAL APPLICATION PHASE  
AOC PROCESS**



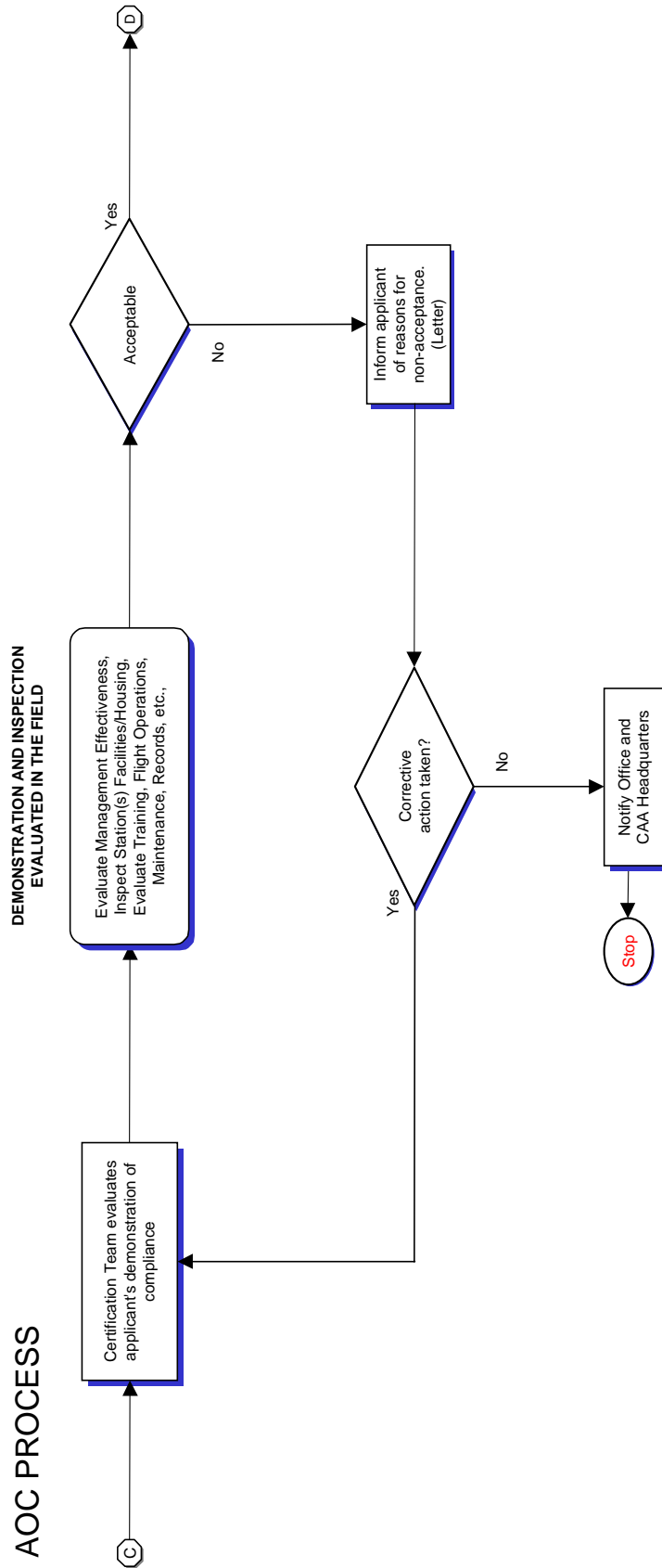
**APPENDIX 6 -  
CERTIFICATION  
PROCESS FLOW  
CHART.**  
Page 3 of 5

**DOCUMENT COMPLIANCE PHASE  
AOC PROCESS**



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

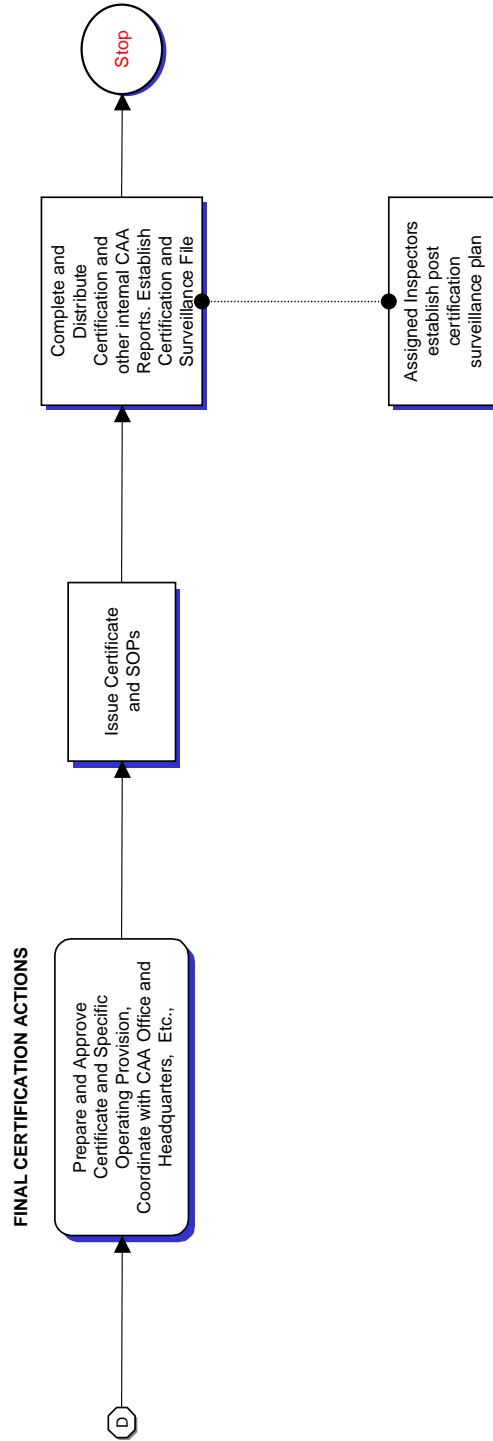
**DEMONSTRATION AND  
INSPECTION PHASE  
AOC PROCESS**





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

**CERTIFICATION PHASE  
AOC PROCESS**



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Ghana \_\_\_\_\_  
Civil Aviation Authority

# Advisory Pamphlet

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**Subject: QUALITY SYSTEM PROGRAMME**

(AOC – AP – 002)



**AIR OPERATOR CERTIFICATION**

Ghana  
Civil Aviation Authority

# Advisory Pamphlet

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Subject: **QUALITY SYSTEM PROGRAMME**  
AOC-AP-002

*NOTE: This is an example of the type of helpful information a PM may decide to include in an application information package.*

## 1. PURPOSE.

This Advisory Pamphlet (AP) provides information and guidance material that may be used by air operator certificate (AOC) holders to design or develop a Quality System Programme acceptable to the Authority. The procedures and practices outlined in this AP can be applied to the maintenance, flight operations, and security aspects of an AOC holder's organisation.

## 2. BACKGROUND.

Establishment of a Quality System is required by Ghana Civil Aviation Regulation (GCAR) 9.2.2.3. The development and implementation of a Quality System Programme will benefit both the certificate holder and the flying public.

- a. Definitions of terms and a description of the basic elements of a Quality System are included in this AP. These definitions and programme elements are consistent with recognised quality auditing principles. Where appropriate, these terms have been tailored to conform to aviation standards and practices. Suggested procedures for documenting Quality System Programme procedures are also included in this guidance material.
- b. The standards described herein are intended to help certificate holders develop their own Quality System Programme. The CAA shall continue to encourage certificate holders to develop a Quality System Programme as a tool for continuously monitoring and evaluating practices and procedures. Public safety is enhanced if deficiencies are identified and immediately corrected when the certificate holder discovers them rather than when the CAA discovers them.
- c. Through surveillance and oversight, the CAA verifies that certificate holders are upholding their responsibilities. CAA inspectors are charged with the duty of advising and co-operating with each AOC holder in the inspection and maintenance thereof by the air operator. The Quality System Programme is intended to facilitate the inspector's advisory and co-operative capacity by providing a procedure for identifying and resolving safety related issues. The Quality System Programme also will help certificate holders develop formal compliance monitoring programmes.

### 3. DEFINITIONS.

The following key terms and phrases are defined to ensure a standard interpretation and understanding of the Quality System Programme.

- a. Evidence. Evidence is a documented statement of fact, prepared by an air operator, that may be quantitative or qualitative and is based on observations, measurements, or tests that can be verified. For the purpose of compliance monitoring, evidence should generally be in the form of written documentation or reports that support the programme's analysis and review. These data are necessary to substantiate findings or concerns and to enable management or evaluators to determine the root causes of any reported findings. Objective evidence generally comes from the following four elements:
  - (1) Documents or manuals reviewed.
  - (2) Equipment examined.
  - (3) Activities observed.
  - (4) Interview data.
- b. Controls.
  - (1) Controls are the key procedures, responsibilities, and decision-making positions within an organisation, department, division, or functional area.
  - (2) As part of a quality evaluation, the controls of the area being evaluated should be verified and tested. In some instances, personnel performing the quality evaluation may have to first determine the features of a control.
- c. Finding. A finding is a conclusion by the commercial air transport operator's personnel that demonstrates non-compliance with a specific standard.
- d. Concern. A concern is a conclusion by the commercial air transport operator's personnel, supported by objective evidence, that does not demonstrate a finding, but rather a condition that may become a finding.
- e. Inspection. An inspection is the act of observing a particular event or action to ensure that correct procedures and requirements are followed during the accomplishment of that event or action. The primary purpose of an inspection is to verify that established standards are followed during an observed event or action.

*NOTE: The term inspection is defined in this AP within the context of quality auditing principles. It does not address or define CAA inspections.*
- f. Audit.
  - (1) An audit is a methodical, planned review used to determine how business is being conducted and compares results with how business should have been conducted in accordance with established procedures. The various techniques that comprise an effective audit are as follows:
    - (i) Interview personnel.
    - (ii) Review documents.
    - (iii) Observe operations.
    - (iv) Select samples.

- (v) Inspect activities.
- (vi) Document results.

(2) As the above techniques show, an audit builds on the principles of inspection. The results of inspections assist in the audit objective of determining whether business is being conducted in accordance with established policies and procedures. During an audit, qualified personnel look for the existence of a systemic problem, but do not estimate the size of a problem. The results (findings and concerns) of an audit should be documented and presented to management. Management then decides how to address audit results.

g. Evaluation.

(1) An evaluation is an independent review of company policies, procedures, and systems. An evaluation should be a comprehensive and continual process that considers the following:

- (i) Results of audits.
- (ii) Overall effectiveness of the management organisation in achieving stated objectives.
- (iii) Ability of management to respond to new technologies, market strategies, and social or environmental conditions.

(2) The evaluation process builds on the concepts of audit and inspection. An evaluation is an anticipatory process, and is designed to identify and correct potential findings before they occur. Conclusions and recommendations made as a result of an evaluation should be submitted in writing to company management for appropriate action.

#### 4. QUALITY SYSTEM PROGRAMME.

a. The Quality System Programme is based on the premise that certificate holders are primarily responsible for continuously monitoring and ensuring that their operations are safe and in compliance with the GEAR. The CAA encourages AOC holders to establish and conduct quality evaluations that embrace the following four principles:

- (1) A continual process that incorporates the techniques of inspections, audits, and evaluations to assess the adequacy of managerial controls in key programmes and systems.
- (2) A review that extends beyond regulatory compliance to determine the causes of deficiencies and detect needed enhancements to company operating practices before deficiencies occur.
- (3) An ongoing process that identifies deficiencies, develops corrective action plans to correct these deficiencies, and performs follow-up evaluations.
- (4) An independent process that organisationally has straight-line reporting responsibility to top management.

b. The Quality System Programme stresses self-audit responsibilities of individual employees as well as the evaluation responsibility of top management to ensure that company policies and procedures provide for safety compliance and allow individuals to perform work properly.

## 5. PROGRAMME DESCRIPTION.

- a. AOC holders should include the following essential elements in their programme:
  - (1) Independent/defined responsibility.
  - (2) Top management review.
  - (3) Continual process.
  - (4) Internal evaluation schedule.
  - (5) Corrective action plans.
  - (6) Records.
- b. These elements are further described in the following paragraphs. It is also suggested that certificate holders developing a Quality System Programme consider preparing a programme plan that documents the programme's procedures and functional responsibilities. A recommended format for a typical programme plan is further explained in Appendix 1.

## 6. INDEPENDENCE/DEFINED RESPONSIBILITY.

- a. An AOC holder's Quality System Programme should identify the person and/or group within the organisation who has the responsibility and authority to:
  - (1) Perform evaluations, audits, and inspections as a part of an ongoing Quality System.
  - (2) Identify and record any findings or concerns, and the evidence necessary to substantiate findings or concerns.
  - (3) Initiate, recommend, or provide solutions to findings or concerns through designated reporting channels.
  - (4) Verify the implementation of solutions within a specific time.
  - (5) Communicate and co-ordinate activities with CAA personnel on a regular basis.
- b. A top management representative should be given the responsibility to ensure that a Quality System Programme is properly established, implemented, and maintained. This management position should be above the level that directly supervises work accomplishment or procedural development, and should have direct contact with the responsible manager.
- c. As a part of identifying quality evaluation responsibility and independence, an AOC holder should identify resources and personnel dedicated to the Quality System Programme and should describe their organisational independence within the company in light of their internal monitoring functions. Individuals conducting quality evaluations should not be responsible for managing work in the areas being evaluated or the tasks being reviewed.
- d. For some AOC holders, operating size may justify the costs associated with the necessity of having full time, dedicated resources and personnel in a separate Quality System Department or group.
- e. For very small AOC holders, an appropriate Quality System Programme might consist of developing checklists and a schedule (monthly, quarterly, semi-annual, or annual) for accomplishing checklist items. Even in such cases, the review should include a written statement acknowledging the completion of the checklist items and the signature of a top

management official. Under these conditions, occasional independent oversight of checklist item development and accomplishment should be considered.

- f. AOC holders using outside resources in support of, or in fulfilment of, a Quality System Programme, should show that use of those outside resources is co-ordinated through a chain of command that reflects independence and contact with top management.

#### 7. TOP MANAGEMENT REVIEW.

- a. As a part of a Quality System Programme, top management should review quality evaluation results to verify that satisfactory corrective actions have been implemented. For the purposes of this programme, the term "top management" means a certificate holder's responsible manager, or a person in an equivalent position who has the authority to resolve issues and take action. Top management should be aware of the plans, results (findings and concerns), and follow-up actions undertaken in its Quality System Programme.
- b. The review of quality evaluation information by top management should be documented in reports or other appropriate records generated by the Internal Quality System Programme. The AOC holder should decide the frequency, format, and structure for informing top management of quality evaluation plans, results, and follow-up actions. The programme should include a diagram that depicts the independence of personnel who perform or supervise internal evaluation functions, including some form of straight-line reporting authority to top management. The reporting structure should be documented by the AOC holder and become a part of its programme plan.

#### 8. CONTINUAL PROCESS.

- a. In order to effectively anticipate potential problem areas and correct them before actual findings occur, a Quality System Programme should be a continual programme, not merely spot check inspections of operating practices. Stand alone spot check inspections will do little more than identify symptoms of potential problems.
- b. A continual process is needed to verify whether findings are isolated instances, or actual symptoms of policy, procedural, or managerial problems. An AOC holder's programme should continuously monitor policies, procedures, and managerial systems to ensure a continued safe and efficient operation. A continual programme should include scheduled evaluations, follow-up evaluations as necessary and special evaluations when trends are identified.

#### 9. QUALITY EVALUATION SCHEDULE.

- a. To be properly organised, a continual process should be a structured activity. For this reason, it is essential for an AOC holder's Quality System Programme to include a defined schedule of activities. This planned schedule will serve to verify that the quality evaluation process is:
  - (1) Complete and thorough.
  - (2) Directed.
  - (3) Credible.
  - (4) Recognised by top management.
- b. A proper quality evaluation schedule should include a planned periodic review cycle for specific areas covered by the certificate holder's Quality System Programme. However, the



scheduling process should also be dynamic and allow for special evaluations when trends are identified. In addition, follow-up evaluations should be scheduled as necessary to verify that corrective action commitments were met and that they were effective in eliminating any reported findings or concerns. Planned, special, and follow-up evaluations, all of which comprise an effective monitoring and evaluation schedule are further defined below.

c. Planned Cycle.

- (1) Establish a schedule of events that will be performed during a set calendar period under the Quality System Programme.
- (2) Divide the complete schedule into phases.
- (3) Schedule evaluations within each phase to allow enough flexibility for resources to be committed as needed to special evaluations or follow-up evaluations.

d. Special Evaluations.

- (1) Conduct special evaluations based on concerns or priorities identified by top management.
- (2) Schedule special evaluations based on a review of industry trends, CAA concerns, or identified internal trends.

e. Follow-up Evaluations.

- (1) Schedule follow-up evaluations to ensure corrective action commitments were met.
- (2) Conduct follow-up evaluations to verify that corrective actions eliminated the reported finding or concern.
- (3) Perform follow-up evaluations in response to CAA surveillance findings.

## 10. CORRECTIVE ACTION PLANS.

- a. A Quality System Programme should include procedures to ensure that corrective action plans are developed in response to findings or concerns, and for monitoring corrective action plans to verify their timely and effective implementation and completion. As an option, evaluation personnel may participate in the development of corrective action plans or make suggestions that contribute to the development of corrective action plans. However, organisational responsibility and accountability for the development of corrective action plans should reside with the technical departments cited in the finding or concern.
- b. A proper corrective action plan should include the following elements:
  - (1) Identification of the finding or concern.
  - (2) Analysis of objective evidence to determine the root cause(s) of the finding or concern.
  - (3) Identification of planned corrective steps to take to ensure that the apparent violation or concern does not recur.
  - (4) Implementation schedule, including a time frame for putting corrective steps in place.
  - (5) Individuals or departments responsible for implementing the corrective steps.
- c. The individuals responsible for managing a Quality System Programme should facilitate the corrective action process by performing the following functions:
  - (1) Ensuring corrective action plans are developed in response to findings or concerns.
  - (2) Verifying corrective action plans include the elements outlined above.
  - (3) Monitoring implementation and completion of corrective action plans.
  - (4) Providing top management with an independent assessment of corrective action plan development, implementation, and completion.

- (5) Initiating scheduled and/or unannounced follow-up evaluations to ensure the effectiveness of corrective steps specified in corrective action plans.

## 11. RECORDS.

- a. The AOC holder should maintain records documenting the performance and results of its Quality System Programme. Records are considered to be the principal form of evidence. Documented evidence is essential in analysing and determining the root causes of findings or concerns so that the AOC holder can identify potential areas of non-compliance. It is important to maintain accurate, complete, and reliable records that document the activities and results of a quality evaluation.
- b. The CAA suggests that Quality System Programme files include the following data:
  - (1) Scheduled evaluation reports.
  - (2) Special evaluation reports, including the trends or other reasons associated with scheduling a special evaluation.
  - (3) Follow-up evaluation reports.
  - (4) Responses to findings or concerns contained in reports.
  - (5) Corrective action plans submitted in response to findings.
- c. Recognising that much of the information contained in Quality System Programme records could be proprietary in nature, a certificate holder should maintain and secure these records on its premises. All records should be made available to the CAA for review. Proprietary information will be protected in accordance with applicable laws and regulations.

## 12. PROGRAMME PLAN OUTLINE.

Quality System Programme procedures and responsibilities should be documented in a programme plan. This paragraph provides suggestions for preparing and structuring a programme plan.

### a. Preparing a Programme Plan.

- (1) Preparing a programme plan is a recommended practice. AOC holders should review the size and complexity of their operation to determine how to structure an appropriate programme plan.
- (2) A programme plan should describe the duties, responsibilities, procedures, and organisation of a certificate holder's Quality System Programme. Terms and elements defined in programme plans should be consistent with those outlined in paragraphs 3 through 11.
- (3) Copies of the programme plan should be distributed to appropriate company personnel, so that they are aware of and are familiar with the Quality System Programme procedures. In addition, revisions should be made as necessary to ensure that the programme plan continues to reflect the AOC holder's current quality evaluation procedures and organisation.
- (4) Documenting the procedures and responsibilities associated with any programme is considered a required practice. When AOC holders prepare a programme plan, the CAA will be available to provide assistance if requested.

- ### b. Structuring a Programme Plan.
- A sample outline of a programme plan using the programme elements discussed in this AP is provided in Appendix 1. The outline provided in Appendix 1 should be viewed as a checklist of items that warrant consideration when a certificate holder is designing a Quality System Programme. The number of items addressed and how they are documented will ultimately depend on the complexity of each certificate holder's operation.

## 13. PROGRAMME ACCEPTANCE.

The CAA must accept an AOC holder's Quality System Programme. AOC holders developing a Quality System Programme may ask for assistance from the Safety Regulations Department. Preparing a programme plan, as discussed in paragraph 12, will provide the CAA with an opportunity to review the proposed duties, responsibilities, procedures and organisation of the AOC holder's Quality System Programme. In all cases that involve Quality System Programme development, the CAA will be available to provide advice, assistance, or direction to AOC holders.

## 14. DISCLOSURE TO THE CAA.

The CAA encourages certificate holders to openly share the results of their Internal Evaluation Programme with the Safety Regulations Department or assigned CAA inspector.

## 15. CONCLUSION.

Development of Quality System Programmes, as discussed in this AP, should ensure that company policies and procedures are responsive to growth and change and that AOC holders continually comply with appropriate safety requirements. Furthermore, the CAA strongly encourages certificate holders to make Quality System Programmes an integral part of their everyday management process. Programmes that allow certificate holders to identify and correct their own instances of non-compliance and invest more resources in efforts to preclude their recurrence, best serve aviation safety.

## APPENDIX1. PROGRAMME PLAN SAMPLE OUTLINE

### Objective and Policy:

The objective should be a statement that clearly defines the purpose and structure of the AOC holder's Quality System Programme. Policy statements following the objective should indicate that quality evaluation is independent, that it actively involves top management, and that it is an ongoing process designed to identify potential problem areas.

### Definition of Terms:

Terms that will be used consistently in the Quality System Programme should be defined. For example, a certificate holder should have a procedure for categorising results (that is, a finding or concern). These categories, as well as other terms applicable to the quality evaluation function, should be clearly defined and documented so that company personnel can understand and properly interpret them. Definitions should be similar to those specified in paragraph 3.

### Duties and Responsibilities:

The duties and responsibilities of quality evaluation personnel should be documented. The AOC holder should specify which personnel are responsible for performing the following tasks:

- (1) Supervise the quality evaluation function.
- (2) Perform evaluations, audits, and inspections as a part of quality evaluation.
- (3) Identify and record any findings or concerns.
- (4) Collect the objective evidence necessary to substantiate findings or concerns.
- (5) Initiate, recommend, or provide solutions to findings or concerns through designated reporting channels.
- (6) Monitor the development and implementation of corrective action plans.
- (7) Maintain and update quality evaluation files.
- (8) Verify the implementation of solutions.
- (9) Communicate and co-ordinate Quality System Programme activities with CAA personnel on a regular basis.

This section of the programme plan should show that personnel responsible for the tasks listed above are not responsible for the accomplishment or management of work in the areas being evaluated or the tasks being revised. The manager or supervisor of the internal evaluation function should either be a top management representative or have straight-line reporting authority to top management.

When full time dedicated resources and personnel are not practical, developed procedures should show that persons having direct responsibility for the areas to be evaluated are not involved in the selection or supervision of the internal evaluation team. In addition, identified personnel should be exempted from their other duties and completely dedicated to the Quality System Programme while they participate on an evaluation team.

### Organisation Chart:

An organisation chart that clearly shows the position of the Quality System Programme in the certificate holder's organisation should be prepared. This position should reflect both the programme's independence within the corporate structure and straight-line reporting to top management.

### Reporting Procedures:

Reporting procedures should include company requirements that top management reviews quality evaluation information. Top management should be informed, through straight-line reporting channels, about the schedules, plans, results, and follow-up corrective actions of the Quality System Programme. The procedures outlined in this section of the programme plan should specify the frequency, format, and structure for reporting information to top management. A procedure explaining how the review by top management will be documented should also be developed.

### Specified Areas Covered:

A certificate holder should specify the areas within the scope of review under the Quality System Programme. The CAA believes that the most effective Quality System Programme will encompass a complete review of the certificate holder's operation.

### Schedule Process:

The scheduling process should be comprised of the following three elements:

- (1) Scheduled evaluations over a predetermined calendar period.
- (2) Special evaluations when trends are identified or priorities are set by top management.
- (3) Follow-up evaluations to verify the effectiveness of corrective action plans.

The programme plan should include procedures for planning, developing, and co-ordinating the quality evaluation schedule. The responsibility for planning and developing schedule activities should also be defined.

### Records:

The Quality System Programme should have a defined recordkeeping process. Procedures should specify how records are filed and maintained. Standard forms or formats for filing reports also should be specified. The CAA suggests that Quality System Programme records be comprised of the following:

- (1) Scheduled evaluation reports.
- (2) Special evaluation reports.
- (3) Follow-up evaluation reports.
- (4) Responses to findings or concerns contained in reports.
- (5) Corrective action plans submitted in response to findings.
- (6) Reports concerning the completed corrective action.

Training:

If feasible, the certificate holder should specify that evaluators have some type of training in recognised quality auditing, and evaluation principles and techniques. This training could be any one or combination of the following:

- (1) In-house prepared courses.
- (2) College courses.
- (3) Home study course materials.
- (4) Industry available seminars and workshops.
- (5) Selected CAA courses.

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