



CIVIL AVIATION PUBLICATION

CAP 01

AIR OPERATOR CERTIFICATION

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CAP 01

AIR OPERATOR CERTIFICATION

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1. INTRODUCTION

This CAP 01 – Air Operator Certification provides guidance to a prospective operator in order to prepare for the AOC application process, or for the amendment to an existing AOC when varying the AOC/Operations Specifications (e.g. introduction of new aircraft). There are two Parts with accompanying Appendices;

Part 1 - AOC Process Overview for prospective applicants.

Part 2 - Formal Application requirements for applicants.

Note: The guidance material of CAP 01 also applies to the prospective operator of a private aircraft requiring an Authorisation under ANTR-OPS 1/3, Subpart C.

2. CONTACT DETAILS

Unless otherwise advised, all contact during the AOC application process should be made to;

Director Aeronautical Licensing
Civil Aviation Affairs
P.O. Box 586
KINGDOM OF BAHRAIN

Telephone : (+973) 1732 1091

Facsimile : (+973) 1732 1061

Telex : 9186 AIRCIV BN

AFTN : OBBIYAYX

SITA : BAHAPYF

Website : www.mtt.gov.bh

E-mail : Aerolicensing@mtt.gov.bh

3. SCHEDULE OF CHARGES

The charges payable by organisations/individuals to the Civil Aviation Affairs for the issue/renewal of approvals, licences and authorisations is available from CAP 18 – Schedule of Charges.

Applicant/operator bears all the cost of inspection tasks outside the Kingdom including air tickets and travel allowances.



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Bahrain CAA Publication Revisions Highlight Sheet

CAP: 01 TPM:

The following pages have been amended to Revision 08 dated 01 April 2018.

Item	Paragraph number	Page(s)	Reason
1.	Part 2, Para. 2	2-1	Indicate new form number, ALD/OPS/F028, for Application for Grant, Renewal, Variation of Air Operator's Certificate



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PART 1

AOC PROCESS OVERVIEW

1. PURPOSE

This Part 1 describes the process of applying for and obtaining an Air Operator Certificate (AOC) to conduct commercial air transport operations under the applicable Civil Aviation legislation (ANTR-OPS 1 or 3). The certification process may appear to be a complex undertaking, particularly to a “first-time” operator. This document provides basic information applicable to the certification process.

Because there are a variety of acceptable methods for preparing manuals, these methods are not discussed in this document. Applicants will be briefed in as much detail as necessary regarding the preparation of manuals and other required documents during meetings with BCAA personnel.

Note: The guidance material of CAP 01 also applies to the prospective operator of a private aircraft requiring an Authorisation under ANTR-OPS 1/3, Subpart C.

2. REFERENCES

Whilst the applicant needs to review all Parts of ANTR Volume 1, the following are particularly relevant during the AOC process.

(a) Operations

- (1) ANTR-OPS 1 (Aeroplane) or ANTR-OPS 3 (Helicopter)
- (2) ANTR FSTD A or ANTR FSTD H
- (3) ANTR Part III -General

(b) Airworthiness

- (1) ANTR Part V – General Airworthiness
- (2) ANTR Part M – Continuing Airworthiness
- (3) ANTR Part 145 - AMO
- (4) CAP 16 - Registration of Aircraft

(c) Licensing

- (1) ANTR Part II -Licensing General
- (2) ANTR FCL 1, 2, 3 and 4



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(3) ANTR Part VII (Dangerous Goods)

Note: Electronic copies may be obtained from the Aeronautical Licensing Directorate or from the BCAA website (www.mtt.gov.bh).

3. BACKGROUND

To conduct commercial air transport operations, an operator must comply with all requirements. The BCAA recognises the responsibility of commercial air transport operators to provide air commercial transport with the highest degree of safety possible in the interest of citizens. 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 BCAA legislation, which is in accordance with the international standards.

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. The five phases are:

- Phase 1 - Pre-application
- Phase 2 - Formal Application
- Phase 3 - Document evaluation
- Phase 4 - Demonstration & Inspection
- Phase 5 - Certification (AOC issue)

In some cases, the guidance and suggested sequence of events in this document may not be entirely appropriate. In such situations, the BCAA 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 BCAA is fully assured that the operator complies with the aviation law and its regulations.

The Undersecretary makes the determination for the need for any operation. Experience has shown that 90 days is normally required for the AOC application process. Whilst the BCAA will endeavour to process the application expeditiously, most delays incurred are generally due to the applicant's failure to provide documents, provide access to aircraft or facilities, or failure to respond to BCAA requests in a timely manner.

4. PRE-APPLICATION PHASE

As far in advance as possible of the start of operations, an applicant should contact the BCAA and inform the BCAA of its intent to apply for an AOC. A meeting shall be planned with BCAA personnel. During this initial meeting, only basic information and general aspects of the certification process will be discussed.



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If the applicant intends to proceed and initiate the certification process, the BCAA will provide a Prospective Operator's Pre-Assessment Statement for the operator to complete Form No. ALD/OPS/F174.

BCAA personnel will review the Prospective Operator's Pre-Assessment Statement after it is submitted. If the information is incomplete or erroneous, this form will be returned to the applicant with the reasons for its return noted. If all the information is acceptable, the BCAA will make the necessary arrangements to initiate the certification process and schedule the pre-application meeting with the applicant and the certification team members appointed by the BCAA.

The BCAA will normally designate one certification team member as the Project Manager. The Project Manager is the official BCAA spokesperson and liaison officer throughout the certification process.

The purpose of the pre-application meeting is to confirm the information provided by the applicant on the Prospective Operator's Pre-Assessment Statement and to provide critical certification information to the applicant. It is recommended that the operator's management personnel (proposed postholders) attend these pre-application meetings and be prepared to discuss plans and general 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.

To help promote a better understanding of the applicant about the certification process, the pre-application meeting will discuss all BCAA requirements and the following aspects:

- (a) Schedule of events
- (b) Operation specifications and limitations
- (c) Operation letter of intent
- (d) List of manuals the applicant must prepare
- (e) Management structure and personnel qualifications
- (f) Documents of purchase, leases, contracts and/or letters of intent including:
 - (1) Aircraft
 - (2) Station facilities and services
 - (3) Weather information and services
 - (4) Communications facilities and services



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- (5) Maintenance facilities and services
- (6) Maintenance contractual arrangements
- (7) Aeronautical charts and related publications
- (8) Airport analysis and obstruction data
- (9) Training facilities and contract services
- (g) Compliance statements
- (h) Other documents and publications the Project Manager may consider relevant.
- (i) List of aircraft the applicant intends to operate. (mark, model and series)
- (j) Aircraft registration process
- (k) Radio Station Licence (from Telecommunications Regulatory Authority)
- (l) Financial evaluation
- (m) List of destination and alternate aerodromes
- (n) BCAA charges

During the pre-application phase and throughout the certification process, the applicant will have to prepare documents and manuals for the BCAA's evaluation and approval or acceptance. The applicant is encouraged to coordinate informal meetings with certification team members to request advice and clarify questions about these documents. This should be accomplished before the formal application is submitted, resulting in a significant reduction of time spent in the process. However, the actual development of acceptable documents and manuals is always the responsibility of the applicant.

5. FORMAL APPLICATION PHASE

It is recommended that the application is submitted to the BCAA as far in advance of the proposed operation start-up date as possible. 90 days from submission of the formal AOC application is considered a minimum time frame for the BCAA to evaluate and process an application.

The BCAA will review the application to determine that it contains the required information as required in Part 2. If there are omissions or errors, the application will be returned with a letter outlining the reasons for its return. If the operator has a good understanding of the requirements, the application should be of sufficient quality to allow any omission, deficiency or open question to be resolved during the application meeting.



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The applicant's management personnel should attend the application meeting. The purpose of the meeting is to discuss the application and resolve omissions, deficiencies or answer questions from either party. For example, this meeting may be used to reschedule dates regarding the schedule of events or to ensure the applicant understands the certification process. This meeting should also be used to reinforce good communication and working relationships between the BCAA and the applicant.

Minutes of the meeting will be made and distributed to the applicant. If the application meeting is acceptable, the documents and manuals will be retained by the BCAA. These documents shall be evaluated thoroughly during subsequent phases of the certification process. If the application is not accepted, the application will be returned with a written explanation of the reasons for its return

6. DOCUMENT EVALUATION PHASE

After the application has been accepted, inspectors will begin a thorough evaluation of all the manuals and documents required by regulations. The BCAA 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 procedures do not reflect a safe operating practice, the manual or document will be returned for corrective action. If the manuals and documents are satisfactory, the List of Effective Pages will be stamped indicating approval.

The complexity of the information which must be addressed in the applicant'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 BCAA during this phase:

- (a) Management personnel resumes and qualifications
- (b) Operations Manual (structure in ANTR-OPS 1/3 Appendix1 1.1045).
- (c) Maintenance Control Manual/Exposition (ANTR-OPS1.905/3.905 & ANTR M).
- (d) Plan for demonstration flights
- (e) Emergency evacuation plan
- (f) Ditching demonstration plan (if required)
- (g) Fully completed statement of compliance

7. DEMONSTRATION & INSPECTION PHASE

The ANTR-OPS require an operator to demonstrate its ability to comply with regulations and procedures of safe operating practices before beginning operations. These demonstrations include actual performance of activities and/or operations while being observed by BCAA inspectors. This includes on-site evaluations of aircraft maintenance, equipment and support facilities.



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During these demonstrations and inspections, the BCAA evaluates the effectiveness of the policies, methods, procedures and instructions as described in 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 (AOC) is issued. Although the document evaluation and the demonstration and inspection phases have been discussed separately in this document, these phases overlap, or are accomplished simultaneously in actual practice. The following list provides examples of the types of items, equipment, facilities and operations evaluated during the technical demonstration phase.

- (a) Conduct of training programmes (classroom, simulators, aircraft, flight and ground personnel training).
- (b) Crewmember and dispatcher testing and training.
- (c) Station facilities (equipment, procedures, personnel, refuelling, de-icing, technical data).
- (d) Record keeping procedures (documentation of training, flight and duty times, flight papers).
- (e) Flight control (flight supervision and monitoring system or flight following system)
- (f) Maintenance and inspection programmes (procedures, record keeping).
- (g) Aircraft (conformity inspection, aircraft maintenance records, etc.).
- (h) MELs and CDLs
- (i) Weight and balance programme.
- (j) Emergency evacuation demonstration.
- (k) Demonstration flights, including actual flights to demonstrate the operation is conducted safely and in compliance with all applicable ANTR-OPS.

8. CERTIFICATION PHASE

After the document evaluation and the demonstration and inspection phases have been completed satisfactorily, the BCAA will prepare an Air Operator Certificate (AOC) and its corresponding operation specifications and limitations, which contain authorisations, limitations and provisions specific to an operator's operation. The operator must acknowledge receipt of these documents. The certificate holder is responsible for continued compliance with all BCAA legislation and the operation specifications and limitations. The process for amending operation specifications and limitations is similar to the certification process. In some cases it may be a less complex procedure depending on the subject of the amendment. The BCAA is responsible for conducting periodic inspections of the certificate holder's operation to ensure continued compliance and safe operating practices.



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It should be noted that operating competence cannot be adequately judged until a sufficient period of demonstration of such competence is completed. Therefore, the BCAA will conduct additional surveillance after certification.

9. NEXT STEP

Should the prospective applicant intend to continue with the application process, Form No. ALD/OPS/F174 - Prospective Operator's Pre-Assessment Statement should be completed and sent to the Director of Aeronautical Licensing. Once reviewed and found acceptable by the BCAA, a Pre-Application meeting will be arranged within 14 days.



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PART 2

AOC PROCESS – FORMAL APPLICATION

1. PURPOSE

This Part 2 of CAP 01 is discussed at the Pre-application Meeting with the BCAA. It describes in detail the attachments required at the formal application phase of applying for and obtaining an Air Operator Certificate (AOC) to conduct commercial air transport operations under the applicable Civil Aviation legislation (ANTR-OPS 1 or 3).

2. SUBMISSION OF FORMAL APPLICATION FORM

Form ALD/OPS/F028 should be completed and submitted together with the appropriate application fee to:

Director Aeronautical Licensing
Civil Aviation Affairs
P. O. Box 586
Kingdom of Bahrain

Note: The Formal Application may be downloaded from www.mtt.gov.bh.

3. ATTACHMENTS TO THE FORMAL APPLICATION

3.1 Identification of operations specifications

The applicant must identify the desired operations specifications appropriate to the intended operation, from the BCAA's standard operations specifications provided at the pre-assessment meeting. These desired operations specifications will include the applicant's intended authorisations, conditions and limitations specific to the aircraft type, or types, and to the proposed operations and will form the basis for the operations specifications that will ultimately be issued in association with the air operator certificate.

3.2 Schedule of events

The schedule of events is a key document that lists items, activities, programmes, aircraft and facility acquisitions that will be made ready for inspection by the BCAA before certification. The dates should be logical in sequence and provide time for BCAA review, inspection and approval of each item. The overall plan is to be kept under constant review to maintain control of the certification process.

The Schedule of Events is prepared by the applicant and the list should include, but is not limited to, the dates when the following is planned to occur:

- (a) crew member training including:



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- (1) Conversion training course
 - (2) Aircraft systems training
 - (3) Simulator training
 - (4) Aircraft flight training
 - (5) Cabin crew training
 - (6) Flight dispatch training
- (b) BCAA staff training, if applicable
 - (c) Technical staff other than cabin crew training.
 - (d) Maintenance personnel training.
 - (e) Maintenance facilities ready for BCAA inspection.
 - (f) The required manuals will be available for assessment.
 - (g) The aircraft will be ready for inspection.
 - (h) Emergency evacuation and ditching demonstrations.
 - (i) Terminal facilities will be ready for inspection.
 - (j) Proving flights will begin.
 - (k) Proposed operations will begin.
 - (l) Proposed assessment of the Post holders and other approved persons.

The Schedule of Events will enable the certification team to plan workloads so as to achieve certification by the required date. Once the BCAA has accepted the Schedule of Events at the application meeting, every effort should be made to keep to the schedule, provided safety aspects are not compromised.

3.3 Initial statement of compliance

The initial statement of compliance should be a complete list of all BCAA regulations applicable to the proposed operation. Each regulation, or sub-part, should be accompanied by a brief description or a reference to a manual or other document. The description or reference should describe the method of compliance in each case. The method of compliance may not be finalized at the time of the formal application, in which case a date should be given by which the information will be provided. The purpose of the statement of compliance is to ensure that the applicant has addressed all regulatory requirements.



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It aids the BCAA certification team assess where the regulatory requirements have been addressed in the applicant's manuals, programmes and procedures.

The BCAA must be satisfied that the applicant has complied with, or is capable of complying with, the provisions of the Law and regulations related to safety. The compliance statement is a tool for the applicant to construct a document that provides sufficient detail to convince the BCAA that he understands the requirements and has put in place the appropriate instructions, procedures and practices to ensure compliance. A properly prepared compliance statement is of benefit to the applicant both directly and indirectly. It provides a system for both the applicant and the BCAA to ensure that their obligations under the legislation are completely discharged.

If the method of compliance has not been fully developed, the applicant should provide a brief statement indicating his intent. It is expected that an adequately prepared applicant will have considered in detail how he or she proposes to comply with all regulatory requirements, and consequently there should be few, if any, areas in which the applicant is unable to put forward precise information.

Where it is possible and reasonable to specify a particular means of complying with legislation, the applicant is expected to do so by including this in the General Operations or other document, and provide a reference in the Compliance Statement. An example of an acceptable response is: ANTR-OPS 1.310/3.310 (Crew members at station) OMA 8.3.10(a) (where the quoted paragraph sets out procedures or policy to meet the crew members at station requirements).

The Compliance Statement is also used in the evaluation of an applicant's Operations Manual.

In many cases, references to the ANTRs as shown in the Compliance List, do not provide sufficient information or detail. ANTRs are divided into sections, subsections, paragraphs and subparagraphs. When compliance with a particular item is required, it must be referenced at the level of the ANTR text. For instance, it shall be necessary for an applicant to show compliance with many paragraphs in ANTR OPS 1.125/3.125. Each requirement will need to be listed.

The Compliance Statement must be signed by a person (proposed post holder) who is legally authorised to sign on behalf of the applicant. Each page and any hand-written correction must be initialled by the signatory.

Note: Refer to Appendices for statements of compliance for:

- (a) ANTR-OPS 1 & 3
- (b) ANTR-OPS, Subpart K & L Equipment requirements
- (c) Other ANTR-OPS equipment items
- (d) ANTR M and ANTR 145 Exposition Compliance statements



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3.4 Management structure and key staff members

ANTR OPS 1.175(i)/3.175(k) requires the nomination of post holders for Flight Operations, Crew Training, Ground Operations, Maintenance and Quality. The operator shall complete form ALD/AIR/F018 for the purpose of nominating the required personnel and attach it to the application. The forms shall be accompanied by a CV detailing the required qualifications and experience.

The operator is required by ANTR OPS to nominate the following persons acceptable to the BCAA:

- Accountable Manager (ANTR OPS 1.175/3.175 refers)
- Flight Operations Manager;
Note: The Chief Pilot (fleet) may also be required to be accepted
- The maintenance system management;
- Crew training; including;
 - Examiners (CRE/TREs) (Appendix 1 to ANTR OPS 1.005/3.005 and CAP 10 – Examiners refers);
 - CRM trainers (ANTR OPS 1.943/3.943 refers);
 - Line Training and Check Captains (ANTR OPS 1.965/3.965 refers);
 - Safety and Emergency Procedures Instructors/Examiners (ANTR OPS 1.1025 refers);
- Ground operations;
- Quality Manager (ANTR OPS 1.035/3.035 refers); and
- Security Manager (under the operator's Security Programme)

3.5 Safety management system

The details of the applicant's safety management system including:

- (a) the safety policy; safety organisation; safety assessments; occurrence reporting; hazard identification;
- (b) risk assessment and risk management;
- (c) event investigation and analysis; performance monitoring;
- (d) safety promotion; and safety assurance.



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Note: Operators are expected to create a SMS Manual. Guidance can be obtained from ANTR Vol. III, Part 19, CAP 08 and www.icao.int/fsix.

3.6 Aerodromes and areas

A list should be provided of the destination and alternate aerodromes designated for proposed scheduled operations and areas of operation for non-scheduled operations.

3.7 Aircraft to be operated

A list of the aircraft to be operated should be provided, with the make, model, series and the nationality and registration marks for each aircraft and details of the origin and source for each aircraft, if these details are known. It is possible that the details for individual aircraft may not yet be available, in which case, evidence should be provided on the acquisition.

Note: Refer to CAP 16 – Registration of Aircraft for additional requirements in respect to placing an aircraft on the Bahraini register

3.8 Documents of purchase, leases, contracts or letters of intent

Documents of purchase, leases, contracts or letters of intent should provide evidence that the applicant is actively procuring aircraft, facilities and services appropriate to the operation proposed. If formal contracts are not completed, letters or other documents showing preliminary agreements or intent should be provided.

These documents should relate to: aircraft; station facilities and services; weather reporting; communications facilities; maintenance; aeronautical charts and publications; aerodrome analysis and obstruction data; and outsourced training and training facilities.

3.9 Crew and ground personnel training and required facilities

Details of the facilities required and available for training company personnel and of the training programme with dates for commencement and completion of the initial programme. Training will include: human performance; threat and error management; the transport of dangerous goods; and security.

Specific attention should be paid, with respect to crew members, to: company procedures indoctrination; emergency equipment drills; aircraft ground training; flight simulators and other flight simulation training devices; and aircraft flight training. All these aspects should cover both initial and recurrent training.

3.10 Operations manual

The operations manual, which may be provided in separate parts, should set out the applicant's general policies, the duties and responsibilities of personnel, operational control policy and procedures, and the instructions and information necessary to permit flight and ground personnel to perform their duties with a high degree of safety.



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The size, as well as the number of volumes, of the operations manual will depend upon the size and complexity of the proposed operations. Operators are reminded that once the Operations Manual is approved an operator shall supply the Authority with intended amendments and revisions in advance of the effective date, which from experience would normally be a period of not less than 60 days. This period takes into account the BCAA review, Operator approval, publication and dissemination.

Note: All amendments should be submitted to the BCAA through the Quality Manager.

When the amendment concerns any part of the Operations Manual which must be approved in accordance with ANTR-OPS, this approval shall be obtained before the amendment becomes effective. When immediate amendments or revisions are required in the interests of safety, they may be published and applied immediately in the form of a temporary revision to the Operations Manual (OMA), or by means of a Notice to crew or similar, and be incorporated in the Operations Manual, if appropriate, at the next formal revision.

The amendment process must be a controlled sequence of events with close coordination between the operator and the Chief Aircraft Operations Section. This will allow a proper review of the amended material to take place and any Approval to be issued or amended. The use of the provision for immediate amendments or revisions should be limited to those occasions where they are the only means available of securing the interests of safety.

Note 1: Appendix 1 to ANTR-OPS 1.1045/3.1045 (including IEM to Appendix 1) provide the organisation and content of an operations manual.

Note 2: The OMB aircraft manuals must be current and the mechanism for determining currency must be available. (For example, AFM, Aircraft Operating Manuals, QRH and MMEL)

Note 3: The ANTR-OPS, Subparts K & L, and other ANTR-OPS equipment must be reflected in the MMEL/MEL.

3.11 Management Exposition

The applicant may elect to utilise their own Approved Maintenance Organisation (AMO) or elect to utilise the services of an AMO. (Refer to ANTR 145 and ANTR M). Regardless of which option is used an exposition is required to describe the administrative arrangements between the applicant and the approved maintenance organisation and define the procedures to use, the duties and responsibilities of operations and maintenance personnel and the instructions and information to permit maintenance and operational personnel involved to perform their duties with a high degree of safety.

Note: Refer to ANTR 145 and ANTR M, as applicable, for an example Exposition.

3.12 Maintenance programme

The maintenance programme, which includes the maintenance schedule, must detail the maintenance requirements for individual aircraft.



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3.13 Method of control and supervision of operations

This should set out the applicant's proposals for control and supervision of operations including dispatch, flight watch or flight following, and communication procedures.

3.14 Assessment of financial, economic and legal matters

The status of the assessment of financial, economic and legal matters should be clearly identified in the formal application package since a successful outcome of this assessment is essential to the issuance of an air operator certificate.

4. LIST OF DOCUMENTS AND MANUALS TO BE PROVIDED (For details, see IEM OPS 1.1045(c) and Appendix 1 to OPS 1.1045)

The following is a non-exhaustive list of the documents and manuals that should be provided by the applicant upon formal application

- Draft operations specifications;
- Aircraft flight manuals;
- Operations manual (individual manuals and items listed below form part of the operations manual):
 - Aircraft operating manuals;
 - Minimum Equipment List (MEL);
 - Configuration Deviation List (CDL);
 - Aircraft performance manual;
 - Mass and balance control manual;
 - Aircraft loading and handling manual or ground handling manual;
 - Training manuals for flight crew, cabin crew, operations personnel and ground personnel;
 - Route guide;
 - Dangerous goods manual;
 - Passenger briefing cards;
 - Aircraft search procedure checklist;
 - Operational control procedures, dispatch, flight following, etc.;



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- Safety Management System manual, including a description of the flight safety document system;
- Security programme manual;
- Maintenance Exposition;
- Maintenance programme including maintenance schedule;
- Training manual for maintenance personnel;

5. FORMS

The following Forms require operator input and must accompany the formal application for AOC;

Form No. ALD/OPS/F166	-	Compliance statement ANTR-OPS
Form No. ALD/AIR/F177	-	ANTR-OPS, Equipment Compliance Statements for (a) Subpart K (b) Subpart L
Form No. ALD/AIR/F147	-	Compliance Checklist Part M Subpart G
Form No. ALD/AIR/F159	-	Compliance Checklist Part M, Subpart J
Form No. ALD/AIR/F168	-	ANTR Part 145 Compliance Statement



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