



CIVIL AVIATION PUBLICATION

CAP 01

AIR OPERATOR CERTIFICATION

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CAP 01

AIR OPERATOR CERTIFICATION

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The following pages have been amended to Revision 12 dated 17 September 2024.

Item	Paragraph number	Page(s)	Reason
1.	Revision Highlight	iii	To reflect the current revision highlights.
2.	Revision Record	iv	To indicate the record of revision.
3.	LEP	v	To indicate the affected pages.
4.	Section (2) - Contact details	vi	Amendment to reflect the contact details.
5.	Part-1, Para 2(b)	(1-1)	Editorial Correction
6.	PART-1, Para 8	(1-6)	To mention AOC validity.
7.	PART-2, Para 3.1	(2-1)	Deletion of sample AOC format and giving ANTR OPS 1 reference for the sample format.
8.	PART-2, Para 3.4	(2-4)	Amended to correct the reference document.
9.	PART-2, Para 3.5	(2-6)	Amended to correct the reference document.
10.	PART-3	(3-1) to (3-7)	To include the guidance for the renewal of AOC.
11.	PART-4	(4-1) to (4-2)	To include the guidance for the variation process Post AOC issuance.
12.	Part-6	(6-1)	Amended to include all possible forms associated with this CAP.

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REVISION RECORD

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) 1733 7451

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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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 M – Continuing Airworthiness
- (3) ANTR 145 - AMO
- (4) CAP 16 - Registration of Aircraft and Certificate of Airworthiness

(c) Licensing

- (1) ANTR Part II -Licensing General
- (2) ANTR FCL 1, 2, and 3
- (3) ANTR 66
- (4) ANTR Part VII (Dangerous Goods)

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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 (Refer to MTT site).

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
- (o) Responsibility of the applicant with regard to the training of BCAA inspectors

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.

The standard information package should include a form for the prospective operator's pre-assessment statement to be completed by the applicant, and an advisory pamphlet containing: a description of the application process for obtaining an AOC; an introduction to the specific BCAA regulations; guidance on the evaluation of an applicant for certification; guidance on the issuance of an AOC and associated operations specifications; and instructions for completing the pre-assessment statement form. Any other BCAA directive or advisory material necessary for the certification process should also be provided.

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.

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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.

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 Appendix 1 1.1045).
- (c) Maintenance Control Manual/Exposition (ANTR-OPS 1.905/3.905 & ANTR M).
- (d) Plan for demonstration flights
- (e) Emergency evacuation plan
- (f) Ditching demonstration plan (if required)
- (g) Fully completed statement of compliance

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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.

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 AOC remains valid for a period of one year from the date of its issue subject to meeting the requirements at ANTR OPS 1, Subpart C. 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

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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.

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

In the case of discontinuation of approval process in any of the phases, and the process remained inactive for a considerable length of time, the prospective applicant intend to continue with the application process, shall initiate afresh with the submission of Form No. ALD/OPS/F174 - Prospective Operator's Pre-Assessment Statement completed in all respect and sent to the Director of Aeronautical Licensing. Once reviewed and found acceptable by the BCAA, a Pre-Application meeting will be arranged.

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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. (Refer to ANTR OPS 1, 1.175 for an example of Operations Specifications)



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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. A factor which must be considered when the schedule of events is forwarded is whether BCAA has operations and airworthiness inspectors qualified on the proposed aircraft type and if not how long it will take to train them. If BCAA does not have any inspectors trained on the type of aircraft proposed to be operated or does not have sufficient qualified inspectors, the applicant will be required to bear the cost of type specific training for at least two operations inspections and two airworthiness inspectors and any other personnel as deemed necessary by the BCAA. 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:
 - (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
- (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.

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- (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.

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).

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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

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 1.175 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;
- Crew training; including;
 - Examiners (CRE/TREs) (ANTR OPS 1; Subpart-N and CAP 10 – Examiners refers);
 - CRM trainers (ANTR OPS 1.943/3.943 refers);

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- 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)

The Project Manager shall review the operator nomination in accordance with ANTR OPS 1.175.

The Accountable Manager is a senior manager within an organisation which holds an AOC who is accountable to the CAA for maintaining the safety standards required by regulation, and additional standards specified by an AOC holder or applicant. The accountable manager must be able to demonstrate to the CAA that he/she has corporate authority for ensuring that all operations and maintenance system activities can be financed and carried out to the standard required.

As part of the acceptance process a nominee for accountable manager should be prepared to demonstrate to the CAA the appropriate level of knowledge of, understanding of and attitudes to regulation and safety management. The CAA normally invites the nominee to a meeting to allow the assigned Aircraft Operations Inspector and Airworthiness Inspector to confirm his or her acceptability for the role. The meeting will aim to confirm that the nominee has:

- appropriate seniority in the organisation;
- adequate input into the determination of operating budgets;
- autonomy in financing operations to the required standards;
- appropriate knowledge and understanding of the documents that prescribe safety standards;
- appropriate knowledge and understanding of the requirements for competence of management personnel;
- appropriate knowledge and understanding of quality systems, related principles and practices, and the role of the accountable manager in quality systems; and
- appropriate knowledge and understanding of Safety Management Systems, related principles and practices, and the role of the accountable manager in such systems.

Whereas some nominees may have had previous experience as an Accountable Manager, others may be new to the role and even to aviation. Nominees for an Accountable Manager may also wish to avail themselves of specific training courses aimed at preparing them for the role.

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It should be noted that successful completion of such a course does not in itself guarantee acceptance. The qualifications and experience of Nominated Post Holders will be dependent upon the proposed operation and individuals will be assessed by the Aircraft Operations and Airworthiness Sections.

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;
- (e) fatigue risk management system (FRMS).

Note: Operators are expected to create a SMS Manual. Guidance can be obtained from ANTR Vol. III, Part 19, 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.

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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.

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.

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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.

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.

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PART 3

AOC RENEWAL PROCESS

1. General

ANTR-OPS, Subpart C states that the continuing validity of an AOC is dependent upon an operator maintaining the requirements for an adequate organisation, method of control and supervision of flight operations, training programme as well as ground handling and maintenance arrangements consistent with the nature and extent of the operations specified in the AOC and the associated operations specifications, under the supervision of the BCAA.

The operator / AOC holder is responsible for continued compliance with all BCAA regulations, and the Operations Specification approved. Further, BCAA do conduct routine surveillance to determine the compliance status of the operator.

As the BCAA prescribes a specific duration for an AOC as an expiration date, the operator needs to apply for renewal of the AOC prior to the expiration date. The request for renewal should contain the same basic information that was submitted prior to the original certification and should be received by the Director Aeronautical Licensing well in advance of the expiration date of the AOC. In all cases where formal renewal is a requirement, such renewal should not involve a complete recertification procedure and thus will not be an onerous or prolonged process, because of the continuing surveillance exercised by the BCAA.

2. Application

The holder of an AOC must apply for renewal using BCAA Form ALD/OPS/F028 & ALD/OPS/F119 with attachments containing the supporting documents.

The BCAA may renew an AOC for a period of one year.

3. Continued Competence of AOC Holder

The AOC holder shall address the following elements but not limited to the following on routine basis for the purpose of maintain its continued validity:

i. Safety Oversight Programme

Once an AOC is granted, the inspections conducted during the AOC application will, periodically, have to be reviewed as the nature or the scale of an operator's business grows or changes. The Inspector may enquire into any matter which is relevant to a particular operation. Inspections may be made by the BCAA according to a systematic plan which is known to the operator, or they may be made on a random and unannounced basis if that is thought appropriate.

Deficiencies identified during the course of any of the following inspections should be compared with the results of the operator's quality auditing and monitoring. Where a deficiency identified by the BCAA has also been detected by the Quality System, and appropriate remedial action is in hand, no further action is required.

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Where the Operator's Quality System has not identified the deficiency, remedial action is required to:

1. correct the deficiency (by the appropriate postholder); and
2. revise the Quality System to prevent a recurrence (by the Accountable Manager).

The operator's Accountable Manager and the relevant postholder responsible for correcting deficiencies must take appropriate action.

The safety oversight programme of an operator should:

- (a) establish that the operator has conducted, and is likely to continue to conduct, operations in accordance with good operating practices, the AOC's operations specifications, operations and maintenance control manuals and the relevant operating ANTRs;
- (b) ensure that all changes in the applicable operating regulations and rules, in any amendments to the AOC or associated operations specifications, or otherwise any improvements in operating procedures, are put into practice and reflected in appropriate amendments to the operations manual or the maintenance control manual;
- (c) keep the BCAA informed of the competency, current operating practices and record of compliance of the operator;
- (d) afford the opportunity to recommend regulatory or policy changes if the safety oversight inspections indicate such action would result in improvements in operating safety standards in general; and
- (e) establish whether the exercise of the privileges of an AOC and the associated operations specifications, by a particular operator should be continued, made the subject of further operating limitations, or be suspended, or revoked.

the standards of capability and competence should be equal or exceed that required at the time of original certification of the operator. BCAA inspectors conducting surveillance and related inspections may require the operator to convincingly demonstrate that operations are being conducted in accordance with the AOC and associated operations specifications, the operator's manuals and appropriate civil aviation regulations.

In summary, the safety oversight programme should provide a comprehensive and conclusive assessment of an operator's continuing competence. The operator's monitoring programme shall include, but not limited to the (1) Line Station Facility Inspection, (2) Inspection at RAMP, (3) En-route Inspection, (4) Base Facility Inspection & (5) Operator's Manual.

ii. Organisation and Infrastructure

The operator shall verify that the accommodation, the facilities provided, the adequacy of the staff management structure and its effectiveness on a continual basis. An additional

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inspection or review of these things by the operator will normally only be needed:

- on opening a new location where crews will be based;
- following any major change in the operator's organisation;
- if the operator moves to new premises.

The operator should, in monitoring the growth of their business, ensure that a check is kept on a corresponding, or adequate, development of the operator's management infrastructure and facilities.

iii. Operator's Quality System Inspection

The Operator shall perform Periodic inspections of their Quality System to verify its continued effectiveness. This inspection should include:

- Quality System management evaluation;
- Audit schedule and reports;
- Corrective actions/follow-up system;
- Quality System training;
- Quality System records.

Any discrepancies between the Operator's audit results and deficiencies identified changes to the Operator's Quality System must be considered.

iv. Operations Manual

Responsibility for the Operations Manual rests firmly with the operator and it must be ensured that the Manual remains up-to-date and relevant to any changes in the regulation, nature or the scale of an operation.

Note: All amendments to the Operations Manual should be submitted to the BCAA through the Quality Manager. The operator's SMS Manager may need to be involved.

v. Training and Checking

Training inspections must include assessment of both ground and air training and checking activity.

Some operators may contract a part or even the whole of their training to another operator or to an agency which holds the necessary approval from the BCAA. In any situation in which training facilities (or staff), which are not directly under the control of the operator, are engaged, the assigned inspector AOC holder's system must ensure that the relevant approvals are current and that the given training remains appropriate to the operator's needs.

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Inspections must be satisfied that:

- the syllabus of all training is developed and remains relevant to the operator's needs and changing requirements;
- the establishment and qualifications of the training staff remain sufficient;
- the training facilities, including the provision of adequate space and teaching aids, are in keeping with the changing scale of the operation and are kept in good repair;
- the training establishment is efficiently run and that there is an effective liaison with other departments such as the commercial and crew rostering departments;
- adherence to the requirements of the Operations Manual and standard operating procedures for crew qualification and proficiency are maintained;
- crew resource management training is effective.

vi. Maintenance

Perform periodic surveillance to assess the continued validity of the operator's maintenance system. These inspections should include:

- the effective working of the liaison between the Operations and Maintenance Departments (and liaison with the Maintenance Organisation, if separate);
- effectiveness of the interface procedures (Appendix I to ANTR M) established between Operator, Continuing Airworthiness Management Organisation and the Aircraft Maintenance Organisation
- the correct use and completion by flight crew of the aircrafts' Technical Log;
- referral and action on reported defects and relevant Occurrence Reports;
- the compliance of the operator's crews and the Maintenance Organisation with the terms of the approved MEL; and
- compliance with the CAME/Interface Procedures established between Operator, Continuing Airworthiness Management Organisation and the Aircraft Maintenance Organisation.

vii. Records

The Operator must ensure by inspection that up-to-date crew records are kept in an easily accessible form and that there is an effective system for alerting the training, crewing and rostering sections as the expiry of licences, checks and other limitations take effect. Operator as part of their quality system should include the monitoring of the following to verify compliance with the relevant requirements:

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- licensing - currency/expiry of validity, reminder system;
- training records - routine and special training (e.g. AWOPS, EDTO).
- Flight and Duty Time Limitations and Rest Requirements.

viii. Equipment

Operator as part of their quality system should include an examination of the aircraft and equipment of the aircraft to ensure compliance with ANTR-OPS at regular intervals. This inspection may be made while the aircraft is on the ground or while a flight inspection is in progress. All emergency equipment must be properly serviced, stowed and of the correct quantity. The navigation equipment must be included in the inspection and it must be appropriate to the requirements of the operator's route structure.

ix. Pre-flight preparation (Crew)

Operator's Quality System should periodically observe the operator's crews at the flight planning and pre-flight preparation stage. It is important that the facilities are seen to be adequate for the largest of the crews which the operator employs and also that the facilities are seen to be in good condition. Where extracts from the Operations Manual are provided to the crew for briefing purposes, it is particularly important at out-stations to confirm, on a random and unannounced basis, that the Manual amendment system is effective in providing the current data.

x. Release of Flight/Dispatch

Maintenance, flight planning, fuelling, loading, rostering and training (among others) all combine to offer a safe aircraft. The smooth and effective liaison of the various departments of an operator's organisation will be apparent at the point of despatch. Operator's Quality System should oversee the following activities:

- crew inspection of aircraft, Flight and Cabin Crew;
- clearance of defects, compliance with MEL, liaison between operations and linemaintenance. Scrutiny and completion of the Technical Log;
- fuelling and de-icing procedures etc...;
- passenger boarding or cargo loading supervision;
- load sheet preparation and flight closure including the external and internal securing of the aircraft for flight;
- aircraft security.

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xi. Flight Inspection

Operator's Quality System should ensure at periodic intervals that

- Crew integration and co-operation (Flight and Cabin Crew);
- Use of checklists;
- Passenger briefing;
- Adherence to Operations Manual and standard operating procedures;
- Overall management of flight;
- Aircraft library and mandatory documents.

Navigational (flight) inspections will be necessary to confirm that the operation is conducted in accordance with the terms of a special navigational approval. The following comprise the essential elements of the Operator's Quality System:

- the accuracy and amendment state of the information in the Operations Manual;
- the quality and accuracy of the pre-flight preparation and compliance with the MEL(if relevant);
- the adequacy and current validity of the training of the flight crew;
- conformity with the terms of any approval which is relevant;
- the navigational equipment state of the aircraft.

xii. Navigational (Ground) Inspections

Navigational (ground) inspections are carried out as a 'quality control' exercise by reviewing retained documents as well as a check that facilities and resources are adequate to support the type of flight to be undertaken. These inspections may be regarded as supplementary or additional to those conducted during flight.

- conformity with Approvals;
- adequacy of information available to crew;
- minimum equipment levels.

xiii. Dangerous Goods Inspection

These inspections cover the carriage by air of dangerous goods, munitions of war and sporting weapons. The operator's systematic adherence to the terms of a Dangerous Goods Approval, and conformity with the ICAO Technical Instructions must be confirmed.

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Operator's Quality System whether or not a Dangerous Goods Approval is held, make assessment of the overall 'awareness' of the operator's employees with the minimum requirements prescribed in ANTR-OPS.

xiv. Flight Documentation

The Operator's Quality System should ensure that documentation required for the preparation and execution of a flight:

- is completed correctly (adequacy of planning, fuel reserves, accuracy of loading data, performance calculations, etc.);
- is retained in an easily accessible form for the prescribed period;
- where crew reports concerned with safety matters have been submitted, appropriate follow-up action has been taken.

xv. Financial Indicators

The effects of financial difficulties and the subsequent impact on operations and maintenance actions are potential indicators of operational safety. Operators should continuously assess their financial condition and the effect on necessary maintenance and operational activities, thereby avoiding adverse impacts on safety.

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PART 4

POST AOC ISSUANCE PROCEDURES

4.1 AMENDMENTS TO THE AOC AND OPERATIONS SPECIFICATIONS

Any subsequent changes to the operation specified or to the equipment approved for use will necessitate amendments to the operations specifications. It is appropriate that an AOC will itself be a very basic document and that all aspects of the operation that might be the subject of change would be dealt with in the associated operations specifications such that changes involve reissue of the minimum documentation.

The process for the amendment of operations specifications will be similar to the original certification process, with the exceptions that in many cases it will be far less complex, dependent upon the subject of the change that necessitates the amendment. Where changes involve new types of operation, new geographical areas or new aircraft type with the appropriate level of complexity will have to be applied to the process.

Note: Ensure that the AOC & Operations Specification being issued is correct in all sense and contains all relevant details as required commensurate to the application, 5 Phase certification conducted and the recommendations of the AOC team.

4.2 VARIATION OF AN AOC

4.2.1 General

The holder of an AOC, issued in accordance with the requirements of ANTR-OPS Subpart C, who wishes to alter any of the elements on his AOC required by Appendix 1 to ANTR-OPS 1.175 or 3.175 must apply for a variation of his AOC except that, with respect to the list of aircraft registrations, the addition or deletion of an aircraft of the same type will not in itself, constitute a formal AOC variation.

When considering applications for AOC variation, the operator must ensure that accountability for the variation of an AOC is clearly defined. The Director Aeronautical Licensing will nominate a Section Chief or Project Manager to manage the application; to assign Inspectors as required and to consult with the other Sections.

4.2.2 Application

An operator's written application for the variation of his AOC, including appropriate extracts from the Operations Manual, indicating proposed amendments, must be submitted no later than 30 days before the date of intended operation, or as otherwise agreed.

Operator to submit the application ALD/OPS/F028 with details relevant to the scope of variation (example: Adding new type of aircraft - ALD/OPS/F119)

On receipt of a request for a variation, the BCAA may conduct such checks and inspections as are necessary to ensure that the full implications of the request have been addressed by the operator. Among the implications will be a review of the operator's resources.

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A request from an operator for a change to, or an additional approval may, in some cases, constitute a variation to the AOC. It will often become apparent that a whole range of inspection is necessary but with especial focus on the variation request.

During the processing of a variation request, the continued adequacy of the Quality System must be reviewed by the operator and report submitted to that effect.

If the variation affects the detail of the operation new Operations Specifications should be issued.

4.3 PROCEDURES FOR VARIATION, SUSPENSION AND REVOCATION OF AOC

4.3.1 General

An AOC must be varied, suspended or revoked if the BCAA can no longer be satisfied that the operation is safe. The circumstances which might lead the BCAA to this course of action are too many or varied to be listed. If the BCAA is not satisfied, the operator is informed in writing of the details of the conduct of his operation which are causing the BCAA concern. The BCAA will take remedial action to be taken within a specified period.

In the event that an operator fails, in spite of warning and advice, to satisfy the BCAA's concerns, a final written warning should, whenever possible, be given to the operator together with a firm date by which specified action to satisfy the BCAA must be taken. Failure to satisfy the BCAA may result in enforced variation or suspension of the AOC. Circumstances may, however, preclude recourse to the above process and in such cases the BCAA's duty to preserve safety is of paramount importance and therefore the BCAA may immediately vary or suspend any AOC which it has issued.

When a certificate is cancelled or revoked for any reason, the licence/rating/certificate/approval holder must promptly return it to the issuing official.

4.3.2 Variation or Suspension of AOC by BCAA

When a decision by the BCAA has been taken to suspend or vary an AOC, the operator is informed immediately by the quickest available means. In the event of full suspension of the AOC, the operator is instructed that all commercial operations cannot legally continue or, if an enforced variation to the AOC is intended, those elements of the operation which are affected by the suspension cannot continue. This is followed by a formal letter giving notice of suspension, or variation, restating the requirement to cease operations as applicable, and also setting out the conditions on which suspension may be lifted.

An AOC cannot remain suspended indefinitely. Further steps may be taken by the operator to reinstate the AOC, or, in default, action will be taken by the BCAA to revoke the AOC. Should an operator wish to dispute the suspension of his AOC, he may apply for an appeal. If an appeal is lodged, the AOC may remain suspended until the appeal process is complete.

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PART 5

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.;
 - De-Icing/Anti-Icing Programme;
- Safety Management System manual, including a description of the flight safety document system;
- Security programme manual;
- Maintenance Exposition;

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- Maintenance programme including maintenance schedule.
- Reliability Programme;
- Training manual for maintenance personnel;

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PART 6

FORMS

The following forms require operator input and must accompany the type of application as appropriate but not limited to:

Form No.	Title
ALD/OPS/F028	Application for Grant, Renewal, Variation of Air an Operator's Certificate
ALD/OPS/F119	Action Plan for Adding New Aircraft/Type to AOC
ALD/OPS/F165	Manuals Submission Form
ALD/OPS/F166	Operation Manual Compliance Form - ANTR OPS 1
ALD/OPS/F174	Prospective Operator's Pre-Assessment Statement
ALD/AIR/F018	Details of Key Management Personnel
ALD/AIR/F147	ANTR M Compliance Statement
ALD/AIR/F168A	ANTR 145 Compliance Statement
ALD/AIR/F177	ANTR-OPS, Equipment Compliance Statements for Subpart K and Subpart L

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