Manuals, Procedures and Checklists

CAAI OPS/AW DIRECTIVE
OPS 1.1.004

רשות התעופה האזרחית
Civil Aviation Authority

AIR OPERATOR
CERTIFICATION

1. Objective

1.1 This directive contains direction and guidance to be used by CAAI Operations and Maintenance inspectors (hereinafter – ASI) for processing, reviewing, accepting or approving manuals, procedures, and checklists.

1.2 Section 2 contains general background information and definitions of the terms used in this chapter.

1.3 Section 4 contains guidance for ASI for approving or accepting an air operator's manuals, procedures, and checklists.

2. General

2.1 OVERVIEW OF MANUAL REQUIREMENTS.

2.1.1 Israeli Air Navigation Regulations (Operation of Aircraft and Rules of Flight), 1981 (hereinafter – the regulations) require air operators conducting commercial air transportation operations to prepare and keep current various manuals and checklists for the direction and guidance of flight and ground personnel.

2.1.2 **Operations Manual**. Regulations 240 and 393 require air operators to prepare and keep current an operations manual providing operational procedures and policy guidance for all of its personnel. The AOC holder's operations manual must include a description of the organizational structure and the relationship between the operations department and other departments of the air operator. The manual must also include adequate policy, direction, and guidance for the safe and efficient performance of the duties assigned to each category of employee. The manual should consist of 4 volumes, and contain the procedures listed in the 4th attachment to the regulations[1]. In practice, however, the manual system may require several sub-manuals or volumes, even for relatively simple operations.

2.1.3 **Maintenance Control Manual**. Regulation 394 requires air operators to prepare and keep current a maintenance control manual providing maintenance procedures and policy guidance for all of its operational and maintenance control personnel. The AOC holder's maintenance control manual must include a description of the organizational

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[1] תכולות הסע"מ לעניין הפעלות לפי הפרק ה-12 קבועות בתקנה 241 ולא בתוספת הרביעית, ואינן דורשות חלוקה לארבעה חלקים.

AW/OPS 1.1.004		OPS / AW Inspector Handbook
Manuals, Procedures and Checklists		Revision 2
		23 OCT 12

רשות התעופה האזרחית
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structure of the maintenance control department of the AOC holder. The manual must also include adequate policy, direction, and guidance for the safe and efficient performance of the duties assigned to each category of employee. The manual should contain at least the procedures listed in the 5th attachment to the regulations[2].

2.2 DEFINITIONS.

2.2.1 Abbreviated Procedure: A list of sequential procedural steps without an amplified description or amplified set of instructions.

2.2.2 "Accepted"[3]: "Accepted" is used to describe a document, manual, or checklist that does not have, or is not required to have, CAAI approval. Air operators are required to submit the entire operations manual and MCM to the CAAI for review. However, only portions of an air operator's manuals are required to have direct CAAI approval. The remaining portions are "accepted" by the CAAI – in effect, considered approved unless otherwise formally notified by the CAAI within a set time limit of 45 days, which can be further extended by CAAI notification. If the CAAI concludes that an accepted section of the operations manual is not in compliance, the CAAI must formally notify the air operator of the deficiency within 45 days. Upon notification, the air operator must take action to resolve the deficiency.

2.2.3 Aircraft Flight Manual (AFM)[4]: A manual, associated with the certificate of airworthiness, containing limitations within which the aircraft is to be considered airworthy, and instructions and information necessary to the flight crew members for the safe operation of the aircraft.

2.2.4 Aircraft Operating Manual (AOM)[5]: A manual, acceptable by the CAAI, containing normal, abnormal and emergency procedures, checklists, limitations, performance information, details of the aircraft systems and other material relevant to the operation of the aircraft.

2.2.5 "Alternate": When "alternate" is used to describe a procedure or checklist, it refers to a procedure that may

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[2] לעניין הפעלות לפי הפרק ה-12, נהלי בקרת אחזקה כלולים בתקנה 241 ולא בתוספת החמישית, ואינן נדרשות ספר בקרה אחזקה נפרד,

[3] "מקובל"
[4] "ספר הטיסה"
[5] "ספר תפעול כלי טיס"

be employed instead of another procedure. Alternate procedures may either be normal, non-normal, or abnormal procedures.

2.2.6 Amplified Procedure: A description of sequential procedural steps with detailed explanatory descriptions and/or instructions accompanying each step.

2.2.7 "Approved": When "approved" is used to describe a document, manual, or checklist, it means that a regulation requires direct CAAI approval of the document and that the CAAI has evaluated and specifically approved the document, manual, or checklist.

2.2.8 Caution: An instruction concerning a hazard that if ignored could result in damage to an aircraft component or system which would make continued safe flight improbable.

2.2.9 Checklist: A formal list used to identify, schedule, compare, or verify a group of elements or actions. Although a checklist may be published in a manual, it is usually intended to be used by itself, so that reference to a manual is made unnecessary. Checklists are usually formatted and presented on paper; however, they may be formatted on electronic or mechanical devices, or presented in an audio format. A checklist may or may not represent an abbreviated procedure. The items listed on a checklist may be unrelated and may not represent a procedure, such as most "normal" checklists. Abnormal and emergency checklists, however, do represent procedures.

NOTE: Checklists and procedures are often confused. Air operators have sometimes titled procedures "expanded checklists" or titled checklists "abbreviated procedures." A procedure is a set of actions or decisions prescribed to achieve a specified objective. A checklist is a physical aid used to overcome the limitations of human memory.

2.2.10 "Document": A written description of a system, a method, or a procedure; a written statement of authorizations, conditions, or limitations; or a file of information. A document serves as an official record of understanding and agreement between the CAAI and the air operator, describing the means the air operator will use to comply with regulatory requirements. An approved document is not a manual. Relevant information from a document,

however, may be extracted and published in user manuals. For example, the Operations Specifications (OpSpecs[6]) are not a manual, but an approved document from which information is extracted.

2.2.11 "Emergency": When "emergency" is used to describe a procedure or checklist, it refers to a non-routine operation in which certain procedures or actions must be taken to protect the crew and the passengers, or the aircraft, from a serious hazard or potential hazard.

2.2.12 High Workload Environment: Any environment in which multiple demands on the flight crew necessitate the prioritizing of work functions. For example, IFR operations below 10,000 feet during arrival or departure from a terminal area (including taxiing) are considered to be high workload environments.

2.2.13 Immediate Action: An action that must be taken in response to a non-routine event so quickly that reference to a checklist is not practical because of a potential loss of aircraft control, incapacitation of a crewmember, damage to or loss of an aircraft component or system - which would make continued safe flight improbable.

2.2.14 Maintenance Control Manual (MCM)[7]: A manual containing procedures, instructions and guidance for use by operational and maintenance control personnel in the execution of their duties.

2.2.15 "Non-normal" or "Abnormal": When "non-normal" or "abnormal" is used to describe a procedure or checklist, it refers to a non-routine operation in which certain procedures or actions must be taken to maintain an acceptable level of systems integrity or airworthiness.

2.2.16 "Normal": When "normal" is used to describe a procedure or checklist, it refers to a routine operation (without malfunctions).

2.2.17 Normal Checklist: A checklist comprised of all of the phase checklists used sequentially in routine flight operations.

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[6] "מפרטי הפעלה"

[7] "ספר בקרת אחזקה"

2.2.18 Operations Manual (OM)[8]: A manual containing procedures, instructions and guidance for use by operational personnel in the execution of their duties.

2.2.19 Phase Checklist: A checklist used to establish and/or verify aircraft configuration during a specific phase of flight. An example of a phase checklist is an "after takeoff checklist."

2.2.20 Pilot Flying (P-F): The pilot who is controlling the path of the aircraft at any given time, whether or not the aircraft is in flight or on the ground.

2.2.21 Pilot Not Flying (P-N-F) / Pilot Monitoring (P-M): The pilot who is not controlling the path of the aircraft and is in charge of monitoring the PF.

2.2.22 Policy: A written requirement established by an air operator's management that is expected to be complied with by its employees. A policy may be within a procedure or stated separately. A written requirement such as "No flight may depart on a cross-country flight without a spare case of oil", or "No person may enter an aircraft fuel tank without a safety observer present" are examples of policies.

2.2.23 Procedure: A logical progression of actions and/or decisions in a fixed sequence that is prescribed by an air operator to achieve a specified objective. In short, a procedure is step-by-step guidance on how to do something.

2.2.24 Recommendation: A preferred technique or action described by the air operator which employees are expected to follow whenever practical. A recommendation is not a policy requirement.

2.2.25 "Supplemental": When "supplemental" is used to describe a procedure or checklist, it refers to a procedure, which may be employed in addition to a normal, non-normal, or abnormal procedure. Supplemental procedures may either be normal or non-normal procedures.

2.2.26 Systems Management: The management of those systems which sustain the mechanical functions of the aircraft as opposed to the management of the aircraft's thrust, flight path, or aerodynamic configuration.

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[8] "ספר עזר למבצעים" – סע"מ

2.2.27 Technique: A method of accomplishing a procedural step or maneuver.

2.2.28 User Manual: A segment of an OM or a MCM that provides instruction, policies, procedures, and guidance to a specific category of employee. Examples of user manuals that are commonly used in the air transportation industry include the following:

- Aircraft operating manuals
- Training programs manuals and Security manuals
- Cabin attendant or cabin service manuals
- Flight dispatch manuals
- Station operations manuals
- Route guides and airport manuals
- Dangerous goods handling manuals
- Inspection procedures
- Illustrated Parts Catalog (IPC)
- Structure Repair Manual (SRM)
- Wiring

NOTE: The user manual titles previously listed are only examples of common titles currently in use in industry. ASIs should not interpret this as a list of required titles.

2.2.29 Warning: An instruction about a hazard that if ignored could result in injury, loss of aircraft control, or loss of life.

2.3 DISTRIBUTION AND AVAILABILITY OF MANUALS.

2.3.1 According to regulations 393 to 396, each air operator is required to maintain a complete OM (for air operators operating according to Chapter 13 to the regulations – also MCM) at its principal base of operations and to furnish a complete manual to the CAAI. In addition, each air operator must make available or furnish applicable parts of the manual (user manuals) to operational personnel who conduct or support flight operations. The manual may be in conventional paper format or in another form that is convenient for the user. Each employee to whom the manual or a user manual is furnished must keep it current. Each employee must have access to appropriate manuals or parts of manuals when performing assigned duties.

2.3.2 Air operators operating according to Chapter 12 to the regulations[9] are required to maintain the relevant parts of the OM in aircraft operated away from their principal base of operation, for the use of ground personnel or the flight crew.

2.3.3 Air operators operating according to Chapter 13 to the regulations[10] are required to maintain the relevant parts of the OM, which are relevant to the operation of flights, in each aeroplane.

These air operators are also required to maintain a MCM:

2.3.3.1 In each station where the air operator has a permanent arrangement to receive line maintenance services[11].

2.3.3.2 In each aeroplane operated to a destination where the air operator does not have a permanent arrangement to receive line maintenance services.

2.4 REVIEW OF MANUALS.

2.4.1 Manuals must be reviewed by ASIs to ensure they contain adequate content and are in compliance with applicable regulations, safe operating practices, and the air operator's OpSpecs. While ASIs are encouraged to provide guidance and advice to operators in the preparation of their manuals, the development and production of a manual is solely the responsibility of the air operator.

2.4.2 Initial Review.

Before the initial certification of an applicant, a comprehensive review of the applicant's OM, user manuals and MCM must be conducted by the ASIs. In addition, those items in the air operator's Statement of Compliance that require the air operator to develop a policy statement, system, method, or procedure, must be addressed. If user manuals are furnished, those topics that apply to the specific user must be addressed. Each topic must be presented with enough detail to ensure that the user can properly carry out the portion of the policy or procedure for which the user is responsible.

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[9] תקנה 240(א)-(ו)
[10] תקנה 396(א)(1)
[11] תקנה 396(א)(2)

2.4.3 Review of Changes to Manuals.

The ASI should review each revision or proposed revision to a manual. Inspectors should not limit this review to a strict consideration of the change itself but should also consider the impact of the change on the air operator's overall manual system, training program, and type of operation. Changes in the air operator's OpSpecs should be accompanied by a review of applicable sections of the operator's manual(s).

2.4.4 Enroute and Ramp (Apron) Inspection.

Inspectors conducting enroute and ramp inspections should review the flight manual and those portions of the OM or MCM carried by the flightcrew for completeness and currency. When a flight is long enough to make it practical, inspectors should review these manuals more in-depth, particularly those sections that are operationally relevant to the flight in progress.

2.4.5 Periodic Review of Manuals.

The continual review of an operator's manuals is necessary because both the aviation environment and the operations conducted by the air operator are constantly changing. Each ASI is responsible for developing a surveillance plan for the air operator's manual system. At least a portion of the air operator's OM and MCM should be reviewed annually, and the entire OM and MCM should be reviewed over a period of 1 to 3 years (depending on the complexity of the operation). This periodic review should be planned as a distinct event so that every portion of the manual is systematically reviewed at some time over a 1 to 3 year cycle. This periodic review should be co-ordinated between airworthiness inspectors and operations inspectors to ensure an appropriate exchange of information and to avoid redundant reviews.

2.5 FORMAT AND STYLE OF MANUALS.

Each page of a manual must include the most recent revision date. In general, manuals and checklists should be easy to use and understand, and in a format that can be easily revised. When evaluating manuals and checklists for ease of use and understanding, inspectors should consider the following guidance concerning format and style:

2.5.1 Form.

All or part of a manual may be prepared and maintained in conventional paper format (book form) or in other forms, such as microfilm or computer based storage with electronic image.

2.5.2 Preface Page.

The first page of a manual should be a preface page containing a brief statement of the manual's purpose and intended user. The preface page should also contain a statement, which emphasizes that the procedures and policies in the manual are expected to be used by company personnel.

2.5.3 Revision Control.

Each manual should be easy to revise. Also, each manual should contain a revision control page or section from which the user can readily determine whether the manual is current. This page or section should preferably follow the preface page but it can be organised in any logical manner. The control date of the most recent revision of each individual page must appear on each page. Complex air operators should establish a bulletin system to bring temporary information or changes that should not be delayed by a formal revision process to the attention of the user. The bulletin system should have a means of control that includes giving bulletins a limited life and systematically incorporating them into appropriate manuals in a timely manner. Users should be able to easily determine whether they possess all current bulletins.

2.5.4 Table of Contents.

Each manual should have a table of contents containing lists of major topics with their respective page numbers.

2.5.5 References.

Manuals must include references to specific regulations when appropriate. A reference to regulations or other manual material is appropriate when it is necessary to clarify the intent of the text or when it is useful to the user for looking up specific subject matter. References should not be made to advisory pamphlets, as these sources are advisory and not binding in nature. Air operators should use caution when adapting the text of advisory documents into their

manuals. Advisory text may not translate into a directive context.

2.5.6 Definitions.

Significant terms used in manuals should be defined. Any acronym or abbreviation not in common use should also be defined.

2.5.7 Elements of Style.

Manuals and checklists should be composed in the style of general technical writing. This style should be clear, concise, and easy to understand. When evaluating manuals, inspectors should be knowledgeable of the following suggestions for accomplishing clarity in technical writing:

- Whenever possible, short, common words should be used. Examples of this include: using the words "keep" or "hold" instead of "maintain"; using the word "start" instead of "establish"; and using the word "stop" instead of "terminate."

- When a word has more than one meaning, the most common meaning should be used. For example, the word "observe" should be used to mean "see and take notice of" rather than "obey and comply."

- Air operators should standardize terminology whenever practical. For example, since the terms "throttles" and "thrust levers" refer to the same item, the air operator should choose one term and use it consistently throughout the manual. Once a particular term has been used in a specific sense it should not be used again in another sense.

- Terms which command actions should be clearly defined, such as "checked," "set," and "as required." Since auxiliary verbs such as "may" and "should" are ambiguous and can create room for doubt, they should not be used when a definite action is commanded. Instead, verbs such as "shall" and "must" are preferable to use when an action is commanded, because they are more definite.

- All "instructions" should be given in the imperative mood and the active voice. For example, "Hold the speed between V_{ref} and V_{ref} plus 10 knots" is preferable to "The speed needs to be held between V_{ref} and V_{ref} plus 10 knots."

- To provide appropriate degrees of emphasis on specific parts in the text, "cautions," "warnings," and "notes" should be used in the air operator's manuals and checklists.

- Any instruction, particularly a warning or a caution, must begin with a simple directive in the imperative mood that informs the reader precisely what must be done. To avoid obscuring the directive in the background information, the directive must be stated first and then followed with an explanation. An example of how a directive can be obscured in background information is as follows: "Warning - To avoid the hazard of striking ground handling personnel with the free end of a swinging tow bar, do not place feet on rudder pedals until the captain takes the salute from the ground handler. The hydraulic nose-wheel steering can sling the tow bar with hazardous force." In contrast the following is an example of the preferred method of placing the directive first: "Warning - Do not place feet on rudder pedals until the captain takes the salute from the ground handler. The hydraulic nose-wheel steering can sling a tow bar with sufficient force to cause serious injury to ground handling personnel."

- Descriptions in the manual should not be overloaded, but should be presented simply and sequentially. An example of an overloaded description is as follows: "A CSD per engine drives the AC generator at a constant speed of 8,000 RPM regardless of the speed of the engine or the load on the generator." The following is an example of a clearer, more concise description: "A CSD is mounted between each engine and generator. The CSD holds the generator speed at a constant 8,000 RPM."

- Long sentences should be avoided in the manual. The following example consists of subject matter put into a long sentence which makes it difficult to understand: "During gear retraction, the door operating bar located on the landing gear leg contacts and turns the latch, withdrawing the roller from the slot as a second roller entraps the door operating bar." The following example consists of the same subject matter used in the previous example, however, when it is broken down into shorter sentences, it is easier to understand: "During landing gear retraction, the door operating bar on the landing gear leg is pressed against the door latch. The latch turns, freeing the door roller. The roller

moves out of the slot. A second roller then traps and holds the door operating bar."

2.6 ADEQUACY OF PROCEDURES.

The following general guidance is provided for inspectors to use when evaluating procedures in any manual, including flight manuals:

2.6.1 Objective.

The objective of a procedure must be stated clearly unless it is so commonly understood that a statement of the objective is not necessary.

2.6.2 Logical Sequence.

Procedures are to flow in a logical step-by-step sequence. The most effective procedures are usually simple and each contains only the information necessary for accomplishing that procedure. Preferably procedures should be described in a sequential step-by-step format rather than a narrative format.

2.6.3 General Considerations.

2.6.3.1 A procedure must be an acceptable method for accomplishing an intended objective.

2.6.3.2 The individual responsible for each step of a procedure must be clearly identified.

2.6.3.3 The acceptable standards of performance for a procedure are to be stated if those standards are not commonly understood or clearly obvious.

2.6.3.4 Since a variety of personnel with differing degrees of expertise are involved in procedures, adequate information concerning the accomplishment of a procedure must be provided for the least experienced individual. A procedure may be described very briefly and concisely when the user is capable of achieving the objective without extensive direction or detail. When the user has limited training or experience, however, a procedure must be described in enough detail for the user to correctly accomplish it. When the user has limited access to other sources of information and guidance while performing a procedure, enough detail should be provided to make the user independent of other sources of information.

2.6.3.5 When a form, checklist, or tool is necessary to accomplish a procedure, the location of that item must be indicated in the procedure.

2.6.3.6 Enough time should be available under normal circumstances for the user to accomplish a procedure. If sufficient time is not available to the user for accomplishing a procedure, either the procedure itself or the user's duties must be revised.

3. Reference Material, Forms & Job-Aids

3.1 Air Navigation Regulations (Operation of Aircraft and Rules of Flight), 1981, Regulations #240, 241, 393-396B, Attachments 4 and 5.

3.2 AP 1.1.001

4. Process

4.1 GENERAL.
This section contains direction and guidance for ASIs when approving or accepting an air operator's manuals and checklists. This process is based on the general process for approval or acceptance.

4.1.1 The Approval Process.

The approval process for an air operator's checklist normally consists of phases one, two, three, and five of the general process. It may be necessary, however, for an ASI to require that phase four (the demonstration and inspection phase) be included in the approval process.

4.1.2 The Acceptance Process.

The acceptance process for a manual or manual section normally consists of phases one, two, and three of the general process. The air operator must submit to the ASI current copies of required manuals for review. An air operator's entire manual system must be reviewed during the document evaluation phase of initial certification. However, only portions of an air operator's manuals are required to have direct CAAI approval. The remaining portions are accepted by the CAAI – in effect, considered approved unless otherwise formally notified by the CAAI within a set time limit of 45 days, which can be further extended by CAAI notification. If the CAAI concludes that an accepted section of the operations manual is not in

compliance, the CAAI must formally notify the air operator of the deficiency within 45 days. Upon notification, the air operator must take action to resolve the deficiency.

4.1.3 Evaluation of Manuals for CAAI Acceptance or Approval.

An air operator may develop and publish in its manual any policy, method, procedure, or checklist that the air operator finds necessary for the type of operations conducted. These policies, methods, procedures, and checklists, however, must comply with the regulations and be consistent with safe operating practices. ASIs should encourage air operators to be innovative and progressive in developing such policies, methods, procedures, and checklists. The ASI's role in the review process is to provide an independent and objective evaluation of the air operator's manual material. The ASI must ensure that the air operator's material complies with the regulations, is consistent with safe operating practices, and is based on sound rationale or demonstrated effectiveness.

4.1.4 Discrepancies.

When an ASI finds a discrepancy in an air operator's existing manual material, the ASI shall take action to have that discrepancy resolved. Usually such discrepancies can be resolved through informal discussions. When informal discussion cannot resolve the discrepancy, however, the ASI is required to formally withdraw CAAI approval or acceptance from the air operator.

4.2 ESTABLISHING A FRAMEWORK FOR REVIEW.

4.2.1 Methods for Manual or Checklist Organization.

During the Pre-application phase, the ASI should inform the air operator that there are various methods that can be used to organize and format manuals, manual sections, and checklists requiring CAAI approval/ acceptance. The ASI may inform the air operator of the content of the following subparagraphs, which describe at least four possible methods that an air operator may use:

4.2.1.1 Limited Content. An air operator may choose to limit the content of the manual solely to approved material. When this method is used, the entire manual must be approved and the air operator may not revise the manual without additional

review by the ASI. While this method facilitates CAAI review and acceptance, the manual may be difficult to use because the intended user may have to frequently switch back and forth between the approved checklists and other manuals containing accepted material. When the air operator chooses this method, PMs must ensure that a header or footer is on each page indicating the material is CAAI approved.

4.2.1.2 Grouping Material. An air operator may choose to group the CAAI approved material in specified sections of the manual and place accepted material in the remaining sections. With this method, the ASI must ensure that a header or footer is on each page of the approved sections indicating that the material on that page is CAAI approved. The air operator may submit the approved and accepted sections to the ASI as separate packages.

4.2.1.3 Interspersed Material. An air operator may choose to intersperse CAAI approved material and accepted material throughout the manual. When an air operator chooses this method, the ASI must ensure that the air operator has clearly identified approved material each time it appears in the manual. This method of organization allows for efficient manual use, but makes the air operator's publication process and the approval process difficult.

4.2.1.4 "Approval Document". The air operator may choose to place material in an "approval document" solely for the purpose of obtaining CAAI approval of that material. An approval document is a document and therefore may not be used as a manual. After the document has been approved, the air operator must develop user manuals, which incorporate the approved information from the document along with detailed, guidance and supplementary information. When this method is used, the user manuals are treated as "accepted" material and do not have to be individually approved. The ASI must, however, review the user manuals to ensure that the information in them is consistent with the approval document. When using this method, the air operator may revise the information in user manuals without prior CAAI approval, provided the revision is consistent with, and does not conflict with, the information in the

approval document. If the air operator or the ASI finds it necessary for the approval document to be revised, the air operator must submit the proposed revision for review and approval. A revision to an approval document must be approved before the air operator can incorporate the changed information into the user manuals. When an air operator uses this method for submitting manual or checklist material for CAAI approval, PMs must ensure that the air operator has stated on the first page of the user manuals that the manual contains CAAI approved material. The manuals or checklists provided to the user, however, do not have to be specifically identified as being CAAI approved ones.

4.2.2   Submission of Material.

During the Pre-Application Phase, the ASI should advise the air operator on how to submit the documents, manuals, checklists and subsequent revisions for approval or acceptance.

4.2.2.1 CAAI Approval Submission.

For material that requires CAAI approval, the ASI should advise the air operator to submit the following:

- Two copies of the document, manual, manual section, checklist, or revision to be approved; one copy of the printed version of the electronic checklist (as applicable); one copy of a report indicating differences between the proposed and current versions of the electronic checklist (as applicable); or
- One copy of the document, manual, manual section, checklist, or revision, and two copies of the page control sheets for the material (the page control sheets, must show an appropriate revision number or original page number for each page, and the effective date of each page).
- A copy of any supporting documentation or analysis

4.2.2.2 CAAI Acceptance Submission.

For material that is to be evaluated for acceptance by the CAAI, the ASI should advise the air operator to submit the following:

- A copy of the manual, manual section, checklist, or revision to be reviewed.
- A copy of the page control sheets for the material to be reviewed when appropriate.

4.2.2.3 The ASI will perform a cursory review of submissions. This review is intended to ensure that the applicant's submission is clear and contains all required documentation. This review is performed before the in-depth review.

4.3 IN-DEPTH REVIEW.

4.3.1 A detailed analysis of the air operator's submission is performed during the document evaluation phase. During this phase, a qualified inspector must review the air operator's submission in detail to determine that the submission is complete and technically correct. The time to complete this phase depends on the scope and complexity of the submission. During the cursory review, the ASI should determine how long the in-depth review will take. The ASI shall give the air operator an estimate of the time it should take to complete the review process at the formal application meeting.

4.3.2 Review Standards.

The review and analysis should confirm that the air operator's submission conforms to, or is consistent with, the following:

- The regulations.
- Criteria and guidance in this directive.
- The air operator's OpSpecs.
- Criteria and guidance in AP 1.1.001.
- Applicable aircraft flight manuals, manufacturer's operating bulletins, and airworthiness directives.
- Safe operating procedures.
- The air operator's cockpit resource management policies.

4.3.3 Air Operator's History

The ASI should thoroughly consider the air operator's experience and history when evaluating procedures and

checklists. When an air operator has a history of successful operations, the ASI should normally approve submissions consistent with the air operator's existing procedures.

4.3.4 Verification Tests

The ASI may require verification tests of some procedures and checklists before granting approval or accepting.

These verification tests may be conducted in either phase 3 or 4 of the certification process. For example, verification of an aeroplane checklist would occur in phase 3 of the process to permit the applicant to commence flight training.

4.3.5 Review of electronic checklist modifications

Applications with the ability to automatically detect the completion of an action shall include verification that detection is based on monitored conditions that are consistent with the objective of the action (for example, a checklist action item for LANDING GEAR ... DOWN would show complete on the sensing of the gear handle being down and the gear indication being down). The review and verification should be accomplished using a paper copy of the electronic checklist annotated with the monitored condition for each action whose completion is automatically detected.

5. Task Outcomes

5.1 GRANTING CAAI APPROVAL / ACCEPTANCE.

The ASI grants CAAI approval to manuals, manual sections, and checklists. During this phase the ASI must formally notify the air operator of the approval and also complete a specific record of the approval. For manuals and manual sections, which are not required to have CAAI approval, written notification of acceptance is not required and shall not be given.

5.2 Notification of Approval.

When the ASI decides to approve a document, manual, manual section, or checklist, the following procedures apply:

5.2.1 For a document, manual, or checklist that contains page control sheets, the ASI shall annotate both copies of the

page control sheets with the phrase "CAAI Approved." Under the words "CAAI Approved," PMs shall enter the effective date of approval and sign both copies. The air operator may pre-print the words "CAAI Approved" and blank lines for the date and signature on the page control sheets or the ASI may use a stamp to add the approval annotation on each sheet.

5.2.2 For manuals, manual sections, or checklists that do not contain page control sheets, the approval annotation must be placed by the ASI on each page of the material. In this case the approval annotation must be made on two copies of the material. The annotation shall be the same as discussed above. This procedure should be used only for very short manuals, manual sections, or checklists (usually fewer than 5 pages) or when the use of page control sheets is not practical or serve little purpose.

5.2.3 When page control sheets are used, the ASI shall return one copy of the annotated page control sheets to the air operator. In the remaining cases one copy of the approved material must be returned to the air operator with a notification letter stating that the material is approved. The letter should also contain a statement advising the air operator to maintain, for its records, the signed page control sheets or the material with the approval annotation. The ASI shall retain the second copy of the signed page control sheets, or the annotated material, in the district office files.

5.2.4 When electronic checklists are submitted for approval, the air operator will prepare a release/cover sheet for the printed version of the electronic checklist. The release/cover sheet will contain the pre-printed words and lines as discussed in 5.2.1 above. The ASI's annotation shall be the same as discussed above.

5.3   Notification of Disapproval / unacceptability.

The co-ordination, revision, and editing activities that take place throughout all phases of the process should eventually result in approved / accepted products. Under certain circumstances, however, it may be appropriate for the ASI to terminate the process. For example, the air operator may not take any action on the material for 30 days. To terminate the approval process, the ASI shall return the entire submission to the air operator with a letter that states that the CAAI is unable to grant approval, along with the reasons why it cannot be granted.

5.4   Air operator File Records.

The ASI shall maintain a record of approval for each air operator-submitted document, manual, manual section, and checklist. Records of approval to revisions of this material must also be maintained. The records should consist of page control sheets, notification letters, and any other related correspondence. While superseded portions of documents, manuals, or checklists do not have to be retained, PMs may retain this type of material if they determine that it is appropriate. The ASI should include with the material in the air operator's file a brief memorandum containing the reasons for retaining the material.

5.5   Complete the WTS Record.

5.5.1   Certification:

OPS: 1302 / AW: 3302

5.5.2   Surveillance:

OPS: 1621 / AW: 3626

5.6   Document the Task. File all supporting paperwork in the operator's sharedocs file.

6. FUTURE ACTIVITIES.

6.1   Follow up on corrective actions taken by the operator, as applicable.