

AW 1.2.003	 <small>רשות התעופה האזרחית Civil Aviation Authority</small>	AW Inspector Handbook
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1. GENERAL.

1.1. Receipt of the Formal Application Package.

- 1.1.1. Ensure that all documents have been submitted and are completed.
- 1.1.2. The formal application package may be received by mail, or it may be hand delivered by the applicant. If it is hand delivered, the applicant will be informed that the CAA will need a brief time to perform a cursory review the package. Discussions of its acceptability should be avoided at this time. Persistent applicants should be informed that further discussions would not be productive until the certification team has reviewed the formal application.

1.2. Evaluate the Formal Application Package.

- 1.2.1. Based on the initial cursory review of the application package, the Project Manager (PM) must decide whether or not to continue with the certification process.
- 1.2.2. Upon receipt of the formal application package, the certification team must initially review it and make a determination of its acceptability within 10 working days.
- 1.2.3. The initial review determines whether the submitted material represents a feasible proposal and is of sufficient quality to allow for a productive formal application meeting and to proceed with the certification process. The following is provided as direction and guidance for this initial review:

2. CONTENTS OF THE FORMAL APPLICATION PACKAGE.

2.1. Schedule of Events

- 2.1.1. The schedule of events is a list of each major item, activity, program, and/or facility, equipment, tools acquisition. It also sets milestones for accomplishment or submission of the items. The schedule of events, when accepted, becomes the basis for agreement between the applicant and the certification team to accomplish the certification project. The applicant's ability to plan and carry out a realistic schedule of events will be a major factor in determining the applicant's fitness to hold a certificate. Therefore, when reviewing the schedule of events, the certification team must carefully consider the feasibility of the proposed schedule of events with respect to the following criteria:

- 2.1.1.1. Logic of sequence
- 2.1.1.2. Timeliness of events

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2.1.1.3. Completeness of events

2.1.1.4. Inspector or other CAA resource availability

2.1.2. Logic of Sequence.

Many activities and events listed in the schedule of events must occur before other activities and events. For example, initial training for management and certifying staff cannot begin until the training program has been reviewed and accepted/approved; the initial training and test equipment/precision tool calibrations must have been accomplished prior to the demonstration and inspection phase.

2.1.3. Timeliness of Events.

The schedule of events must be reasonable, and realistically provide sufficient time for the certification team to review the applicant's various documents, manuals, and proposals.

2.1.4. Completeness of Events.

The number and kinds of submissions made by the applicant for evaluation and acceptance or approval varies according to the complexity of the proposed operation.

2.1.5. Inspector or Other Resource Availability.

Availability and capability of personnel resources is another element of concern when determining whether a schedule of events can be met. The PM must determine, for example, that appropriately qualified inspectors are available. Also, the PM must ascertain the qualifications of the available inspectors with respect to the proposed operation. The PM will also coordinate participation by other resources, such as engineering inspectors, specialists (engine test cell, etc.), as required.

2.1.6. The Schedule of Events also acts as a job aid for the inspector. The inspector can initial each item accomplished, ensuring all items within each phase of the certification process has been accomplished with the date.

2.2. Company Manuals and Programs.

The Certification Team must give the manuals and programs a cursory review, first to determine that the type of information required by the regulations has been submitted. The inspector must ensure that the manuals, documents, or programs are in compliance with at least the ANR AMO 14 -Maintenance. The required information may be included in the Maintenance Procedures Manual instead of individual manuals or documents.

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2.3. Company Training Curriculum.

The Certification Team must review the training curriculum to determine that each of the following curriculum and standards are covered, as appropriate to the ratings requested:

- 2.3.1. Basic engineering theory relevant to the airframe structure/component, product and system fitted to the class of aircraft the AMO intends to maintain.
- 2.3.2. Specific information of the actual aircraft type/component and product, which the person is intended to become a certifying person including the impact of repairs and system/structural, defects.
- 2.3.3. Company procedures relevant to the certifying staff's tasks.
- 2.3.4. The training program established for maintenance personnel and certifying staff shall include training in knowledge and skills related to human performance including co-ordination with other maintenance personnel and flight crews, as appropriate.

2.4. Management Personnel and Certifying Staff Qualifications.

The Certification Team must review the Management Personnel and Certifying Staff qualifications to determine that there are documents to support the basic information necessary to determine regulatory compliance. The depth of the review should be only to determine that there are no obvious omissions or significant discrepancies. A detailed review of the management personnel and certifying staff qualifications and effectiveness must be accomplished during the document compliance and the demonstration and inspection phase.

2.5. Documents of Purchase, Contracts, and Lease Agreements.

The Certification Team must review these documents to determine that they include the types of information such as; as appropriate (if applicable):

- 2.5.1. Facilities and Shop Equipment/Tools
- 2.5.2. Test Equipment
- 2.5.3. Contract training and or facilities
- 2.5.4. Contracting of maintenance

It is not necessary or desirable for a separate document to exist for every item the applicant will have to acquire items. However, there should be sufficient evidence to show that the applicant has made definitive arrangements to acquire the major items needed for certification.

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2.6. Statement of Compliance.

- 2.6.1. It ensures the applicant has adequately addressed all regulatory requirements applicable to the proposed operation.
- 2.6.2. It aids the certification team in determining where the regulatory requirements have been addressed in the applicant's manuals, programs, and procedures. In evaluating the applicant's Statement of Compliance the certification team may find it helpful to compare (in a side by side manner) the CAAI ANR's, the applicant's manuals, and the Statement of Compliance. The Statement of Compliance documents how the applicant intends to comply with each applicable regulation.
- 2.6.3. The Certification Team must review the Statement of Compliance to determine that it complies with the form and content as identified below:
- 2.6.3.1. Shall be in a form of a complete listing of all appropriate Model Civil Aviation Regulation sections (for example IANR PART B,C - AMO) This list should reference any applicable subpart and each relevant section of the subpart. Next to the subparagraph, the applicant must provide a specific reference to a manual or other document. This statement also serves as a master index to the applicant's manual system to expedite the CAA's review and approval of the manual system.
- 2.6.3.2. The applicant may choose to provide a brief narrative description that describes how the applicant will comply with each regulation. Where the compliance information has been developed (for example, the manual material submitted with the formal application), a manual reference or a description of the method of compliance must be entered next to the applicable regulatory section.
- 2.6.3.3. The list of the specific regulations and subparts, including all subparagraphs, must be presented in the manner of one of the examples described below:

Example 1. Statement of Compliance (Reference)

ANR AMO 14 - AMO "Approved Maintenance Organisation Procedures Manual":

(c)(1) Approved Maintenance Procedure Manual (MOPM) Section 1, Chapter 2, page 2, paragraph 3.

(d)(2) MOPM Section 2, Chapter 2, Page 3, paragraph 1.

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Example 2. Statement of Compliance (Narrative)

IANR AMO 11- 12 AMO IML (Item Maintenance Limitation) will properly identify the certificate number on affected documents when it identifies itself as a certificated AMO.

- 2.6.3.4. If the applicant's Statement of Compliance does not serve the preceding purposes, the deficient areas will be communicated to the applicant, and a resolution shall be negotiated. The Demonstration Phase will not be conducted until the certification team is satisfied, through its review of the Statement of Compliance and formal application package, that all regulatory requirements have been adequately addressed. The applicant's methods of compliance will be evaluated throughout the demonstration and inspection phase.
- 2.6.3.5. Preparation of the Statement of Compliance benefits the applicant by systematically ensuring that all applicable regulatory aspects are appropriately addressed during the certification process.
- 2.6.3.6. Initial Statement of Compliance. The initial Statement of Compliance shall be in the form of a complete listing of all pertinent sections and subparts relevant to ANR Part B, C-AMO. Where compliance information has been developed, a manual reference or description of method of compliance must be entered next to the applicable regulatory section. If the method of compliance has not been fully developed, the applicant should indicate that the compliance information will be provided in the final Statement of Compliance with a date when this will be provided. The initial Statement of Compliance may be abbreviated where appropriate. However, the initial Statement of Compliance which does not clearly document an applicant's knowledge of regulatory requirements is unacceptable. Statements such as "will comply" are not sufficient. The initial Statement of Compliance (and later, the final Statement of Compliance) provides the only written evidence the applicant/operator's understanding of the ANR requirements.
- 2.6.3.7. Final Statement of Compliance. Demonstrations must not be conducted until the certification team is satisfied that all regulatory requirements have been adequately addressed through the team's review of the final Statement of Compliance. Review of the

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MOPM is not possible if relevant portions of the Statement of Compliance are not complete.

2.6.3.8. The PM must review the Statement of Compliance within 10 working days to determine that it complies with the form and content and that the applicant has proceeded in an appropriate manner. The Statement of Compliance will be given a detailed review late in the certification process.

2.7. Application for Approved Maintenance Organization and/or Ratings (AMO ARSC – AWP-1.2.001C)

The form should provide:

- 2.7.1. The official name, location and mailing address.
- 2.7.2. Reasons for submission.
- 2.7.3. Rating(s) requested
- 2.7.4. Any maintenance function to be contracted outside of the organization.
- 2.7.5. Name of owner
- 2.7.6. Authorized signature, title, and date.

2.8. Capabilities List.

The certification team must review the capabilities list to ensure that it is appropriate to the ratings requested.

2.9. A set of draft SOPs.

The certification team must review the draft SOPs that were edited during the Pre-Application Meeting to ensure they accurately reflect the authorizations and limitations of the applicant's intended operations.

2.10. Package Acceptance.

- 2.10.1. If any of the items required for the formal application are missing or are incomplete, the entire formal application must be rejected. It should be returned to the applicant with a letter stating the reasons for its rejection following completion of the initial review.
- 2.10.2. The decision whether to accept the formal application before the formal application meeting and to proceed with the certification process by scheduling a meeting with the applicant must be tempered, with good judgment and a reasonably flexible attitude. Results of informal meetings, reviews, and observations of the applicant's capabilities during the pre-

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application phase should supplement the decision-making process. Other factors such as working relationships and understandings established during the pre-application phase should also be considered. However, the decision must be based primarily on the results of the initial review of the formal application and attachments. The decision to proceed is predicated on receipt of all required documents in the formal application and an initial approval of the contents.

- 2.10.3. Normally, if an applicant has been thoroughly briefed and has acquired a good understanding of the requirements during the pre-application phase, the formal application should be of sufficient quality that any discrepancies, omissions, and/or “open” questions could be resolved during the formal application meeting. For example, if the chronology of the Schedule of Events needs to be adjusted for logic of sequence, timeless, or to accommodate inspector resource requirements, such adjustments can normally be accomplished during the meeting. Often minor and occasionally some significant discrepancies or omissions in manual material, training curricula, and/or the compliance statement can be resolved during the formal application meeting. Questions about management qualifications and documents substantiating the acquisition of facilities, equipment, and manuals, can be answered during this meeting.

3. CONDUCT A FORMAL APPLICATION MEETING.

The purpose of this meeting is to resolve any questions on the part of either party and to establish a common understanding and resolve all issues prior to proceedings with the application process. The meeting should reinforce open communication and working relationships. The PM is responsible for conducting the formal application meeting.

- 3.1. Any open questions concerning the package (such as omissions or deficiencies) must be answered before proceeding to the next phase. Any date conflicts must be resolved. This should be done in the most effective way possible, e.g., meetings and correspondence. Except for unanticipated circumstances, all certification team members and maintenance organization key management personnel must be present. Normally, the PM should open the meeting with the applicant; and all key management personnel, and the certification team present.
- 3.2. The PM should encourage the applicant and the applicant’s key management personnel to present any questions they may have concerning the forthcoming certification process. The PM and the certification team members should answer and discuss freely all aspects of the certification process.

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- 3.3. The team will determine the package's acceptability based upon the results of the meeting but the PM will not formally accept the application during the meeting. The delay will allow time for the applicant to resolve any omissions or any deficiencies discussed during the meeting.
- 3.4. The applicant should be notified by letter stating whether the formal application is accepted or rejected. The Authority's acceptance of a formal application does not constitute approval or acceptance of individual attachments. These documents will be evaluated thoroughly during subsequent phases of the certification process. If, the formal application is not accepted, it will be returned with a written explanation of the reasons for its return.

The detailed schedule of events should be discussed, and needed revisions should be negotiated prior to proceeding.

- 3.5. During the formal application meeting, the certification team and the applicant will review the application package and resolve any discrepancies.
- 3.6. If mutual agreements cannot be reached on any discrepancies, the certification team should terminate the meeting and inform the applicant that the application package is not acceptable. The application package must then be returned to the applicant with a letter explaining the reasons for the rejection.
- 3.7. When agreement has been reached on corrective action for deficiencies, the certification team should then encourage the applicant to present any questions concerning the upcoming certification. The certification team members should answer these questions fully.
- 3.8. Before the conclusion of the formal application meeting, the certification team must make certain the applicant clearly understands the following:
- 3.9. The applicant will receive notification in writing in the event the application is rejected.
- 3.10. This notification should be made within five working days after the formal application meeting. A telephone call concerning the application rejection shall be made to the applicant as soon as the determination is made, indicating that the written notification will follow and will include the reasons for the rejection.

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3.11. If the application is acceptable, the certification process continues with an in-depth examination of the application and associated documents during the “document compliance phase.” In some cases, telephone confirmation is sufficient/ however, written confirmation is encouraged. A letter accepting the application is necessary because the time limit begins upon receipt of the application in an acceptable form.

3.12. Acceptance of the application does not constitute acceptance or approval of any attached documents (curricula, sample manuals, etc.). They will be reviewed further, and the applicant will be expected to take corrective action as required. Acceptance or approval of each attachment will be indicated separately.

3.13. Notification of acceptance of the formal application package does not in any way constitute acceptance or approval of the separate attachments. The attachments will be reviewed further, and additional corrective actions will be required, the applicant will be expected to take such corrective action. Acceptance or approval of each attachment will be indicated separately at a later date during the certification process.

3.14. If the applicant is unable to meet the Schedule of Events, the Authority will need equivalent amounts of time, as agreed upon during the meeting, to make the necessary reviews and inspections. Consequently, the proposed startup date could be delayed.

Rejection of an application is a sensitive issue, since the applicant will most likely have already expended funds and resources to this point. Therefore, it is important for the certification team to document thoroughly the reasons for the rejection. The reasons should clearly indicate that to proceed with the certification process would not be productive unless the applicant is willing to accept the certification team’s corrective suggestions. Reasons for rejection might include lack of agreement on appropriate courses of action or evidence that the rejection, the application and documents submitted are returned to the applicant with a letter of rejection. See Attachment A for an example of a rejection letter.

4. Terminating the Formal Application Phase.

If the certification team accepts the application package, the Formal Application Phase of the certification process is terminated, and the Document Compliance Phase begins. See Attachment B for an example of an acceptance letter.

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ATTACHMENT A

Rejection of Formal Application



**STATE OF ISRAEL
MINISTRY OF TRANSPORT**

**מדינת ישראל
משרד התחבורה**

אגף כושר אווירי
מחלקת ביקורת כלי טיס

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Mr. James
Lockheart
Accountable
Manager
International
Maintenance, LTD
8400 Airport Road
International City, Israel, 123-0004

Dear, Mr. Lockheart

This office has reviewed your formal application for an Approved Maintenance Organisation Certificate (AMO) dated 00/00/00. We find it necessary to return your application because of deficiencies in the following areas:

We are returning your letter of application with all attachments. It will be necessary to submit a new formal application when you have corrected the discrepancies noted above. Please contact us if we can be of any further assistance in clarifying the minimum requirements for your formal application.

Sincerely,

Project Manager

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ATTACHMENT B

Acceptance of Formal Application



**STATE OF ISRAEL
MINISTRY OF TRANSPORT**

**מדינת ישראל
משרד התחבורה**

אגף כושר אווירי
מחלקת ביקורת כלי טיס

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00/00/00

Mr. James
Lockheart
Accountable
Manager
International
Maintenance, LTD.
8400 Airport Road
International City, Israel, 123-0004

Dear Mr. Lockheart,

Your formal application has been reviewed and found acceptable. Acceptance of the application does not convey specific approval of the attachments. Approval or acceptance of the attachment will be appropriately conveyed after a detailed evaluation by the CAA certification team. We look forward to working with your personnel in the continuation of the certification process.

Sincerely,

Project Manager