

The Certification Process (Pre-Application Phase)

**CAAI DIRECTIVE
AW/OPS 1.1.001**



**AIR OPERATOR
CERTIFICATION**

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0. WTS Codes

0.1. OPS 1202

0.2. AW 3202

1. Objective

1.1. Direction and Guidance.

- 1.1.1. This section provides direction and guidance on the certification process as applicable to Commercial Air Transport Operators.
- 1.1.2. If followed, this process will lead to successful compliance with Israel Air Navigation Law and Regulations.
- 1.1.3. Under no circumstances will an applicant be certificated, until the Civil Aviation Authority of Israel (CAAI) is confident that the prospective certificate holder is capable of fulfilling required responsibilities, and willing to comply with the Israel Air Navigation Regulations Operation (ANR.OPS) in an appropriate and continuing manner.

1.2. This is a common directive for Airworthiness and Operations.

- 1.2.1. Close coordination between AW and OPS inspectors executing this directive is required.
- 1.2.2. The nominated PM will be the lead inspector in executing this directive.
- 1.2.3. Any amendments to this directive must be made to both AW Inspector Handbook and OPS Inspector Handbook

1.3. Certification Process.

- 1.3.1. The certification process described in this chapter and in AP 1.1.001, *Certification of an Air Operator*, and as required by ANR.OPS 373, is for an applicant seeking an air operator certificate (AOC) under ANR.OPS Chap. 13 or Chap. 12.
- 1.3.2. The CAAI office should provide a copy of AP 1.1.001 to applicants requesting certification as an AOC.

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2. Reference Material, Forms & Job-Aids

2.1. Reference Material

2.1.1. AP 1.1.001

2.2. Forms

2.2.1. F 1.1.001-1 – PROSPECTIVE OPERATOR’S PRE-ASSESSMENT

2.3. Job-Aids

2.3.1. F 1.1.001-2 - AIR OPERATOR CERTIFICATION JOB AID AND SCHEDULE OF EVENTS

3. Process

3.1. INITIAL INQUIRIES OR REQUESTS

3.1.1. Initial Inquiries.

3.1.1.1 Initial inquiries about certification or requests for application may come in various formats from individuals or organisations. These inquiries may be in writing or in the form of meetings with CAAI personnel.

3.1.1.2 Requests for applications may come from inexperienced and poorly prepared individuals, from well-prepared and financially sound organisations, or from organisations and individuals ranging between these extremes.

3.1.2. Applicant Orientation.

3.1.2.1 Upon initial contact, CAAI inspector personnel should provide the applicant with a Prospective Operator’s Pre-assessment Statement (POPS) form (F 1.1.001-1) and Advisory Pamphlet, AP 1.1.001, Certification of an Air Operator.

3.1.2.2 In addition, inspector personnel should answer general questions on the air operator certification process.

NOTE: Inspector personnel should instruct applicants to complete the POPS in accordance with the instructions in Advisory Pamphlet AP-1.1.001 and to submit the completed POPS to the CAAI office.

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3.1.3. Preliminary Discussion.

3.1.3.1 After the applicant has reviewed Advisory Pamphlet AP 1.1.001, the assigned CAAI inspector should briefly explain the requirements of the CAAI that the applicant must meet in the certification process.

3.1.3.2 The inspector should ask the applicant to schedule an appointment for further discussions, allowing enough time for the applicant to thoroughly review and understand the requirements of AP 1.1.001.

3.1.3.3 The applicant should plan to bring key management personnel and the completed resumes to the pre-application meeting.

NOTE: The CAAI certification team must review the qualifications of the applicant's management personnel. A resume must be submitted for each required management position, and that the resumes must contain the basic information necessary to determine regulatory compliance.

The depth of review should be only to determine that there are no obvious omissions or significant discrepancies. An example of a significant discrepancy might be that the regulation requires an individual to hold an Airline Transport Pilot License (ATPL), but the resume shows that the individual holds only a commercial pilot certificate.

A detailed review of the management qualifications and effectiveness will be accomplished during the document compliance and the demonstration and inspection phases.

3.2. CAAI FORM, F 1.1.001-1, PROSPECTIVE OPERATORS PRE-ASSESSMENT STATEMENT (POPS)

3.2.1. Purpose of POPS.

3.2.1.1 Often, a prospective operator will request information about certification as an air operator, but the prospective operator is not fully aware of the regulatory requirements and the costs involved.

3.2.1.2 The completed POPS implies an intent by the applicant to continue the certification process. It also allows the CAAI to plan activities and prepare to commit resources.

3.2.2. Processing the POPS.

3.2.2.1 The CAAI Operations and Airworthiness Department Managers use the POPS to evaluate the complexity of the proposed operation and to determine whether trained and experienced inspectors are

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available in that particular office to certificate the applicant.

3.2.2.2 The POPS is used by the Operator Certification Department (OCD) to record the pre-certification number assigned to the applicant. A pre-certification number is assigned to an applicant for the purpose of tracking the progress of the AOC certification project.

3.2.3. CAAI Office Review of POPS.

3.2.3.1 Review Upon Receipt. Upon receipt of a signed POPS, the CAAI office will review the form to ensure that there is sufficient information to further process the pre-application. The CAAI office will ascertain that the proposed operation is consistent with the ANR.OPS Part under which the applicant will be required to operate.

3.2.3.2 Unacceptable POPS. If the POPS is unacceptable, the reasons for its unacceptability must be described in section 2 of the form and returned to the applicant. The CAAI office shall notify the applicant, either verbally or by letter, that the POPS is unacceptable for the reasons detailed in section 2 of the form and that a new POPS is required. A copy of the rejected POPS shall be retained in the OCD office files.

3.2.3.3 Acceptance of POPS. When the POPS is acceptable, the CAAI office shall complete section 2 of the form. Within 5 working days, the "Action" box of section 2 shall be checked, and the POPS shall be forwarded to the Director General Civil Aviation (DG). The DG shall process the POPS within 5 working days of receipt.

3.2.4. DG Review of POPS.

3.2.4.1 The DG must ensure that CAAI office staffing is consistent with the aviation environment. The POPS is used by the DG to assess CAAI office workload and forecast staffing and training needs. The DG assessment at this time also determines the capability of the CAAI office to conduct the certification project.

3.2.4.2 Notification to the Applicant. The DG will complete section 3 of the POPS and return or forward it to the CAAI

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Department office assigned certification responsibilities for the prospective applicant.

3.3. ASSIGNMENT OF THE CERTIFICATION TEAM.

3.3.1. Selection of Team Members.

3.3.1.1 When a CAAI Department office is assigned and a pre-certification number is established, the Department manager shall select a team for the certification project. The team shall consist of at least an operations inspector (OI), a maintenance inspector (MI), and an avionics inspector (AI). Generally, these inspectors will be the CAAI inspectors that will be assigned to the applicant once the certification process is completed.

3.3.1.2 An operations inspector qualified for each of the aircraft proposed to be used shall be assigned to the team if the prospective assigned operations inspector is not qualified in the aircraft.

3.3.2. Designation of certification Project Manager (PM).

3.3.2.1 The DG will designate one member of the certification team to serve as the PM. The person designated as PM should have completed appropriate training and should have previous experience in the certification of an air operator under ANR.OPS.

3.3.2.2 It is desirable that a person with extensive inspector experience be designated as the PM; although, depending on the situation, other inspectors may be acceptable.

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3.4. RESPONSIBILITIES OF PM AND THE CERTIFICATION TEAM.

3.4.1. Responsibilities of the PM.

3.4.1.1 The PM and other certification team members shall conduct themselves in a professional and responsive manner with the applicant.

3.4.1.2 The PM shall serve as the primary spokesperson for the CAAI throughout the certification process. Consequently, the PM must thoroughly co-ordinate all certification matters with all other specialists assigned to the certification project.

3.4.1.3 The PM shall be responsible for ensuring that all certification job functions are completed. All correspondence, both to and from the applicant, shall be coordinated with the PM.

3.4.1.4 The PM must notify the DG and Department managers of any information that may significantly affect or delay the certification project.

3.4.1.5 The PM must ensure that individuals involved with the certification project, the DG and the Department manager, are kept fully informed of the current status of the certification. The schedule of events and certification job aids should be used as guides for the conduct of these status meetings.

3.4.2. Responsibilities of the Certification Team Members.

3.4.2.1 Each team member shall respond to requests for assistance made by the PM and keep the PM informed of the status of the certification.

3.4.2.2 Any discrepancy that may delay the certification effort must be brought immediately to the attention of the PM.

3.4.3. Responsibilities of the Department Manager.

3.4.3.1 The Department manager shall keep the DG informed of any unusual aspects of the certification process or of those aspects that may attract the attention of local or national political entities or the media.

3.4.4. Responsibilities of the Applicant.

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3.4.4.1 The applicant must develop all required documents for submission with the formal application, and successfully complete all programmes required for certification.

3.5. PRE-APPLICATION MEETING.

3.5.1. General.

3.5.1.1 In preparation for the meeting the PM should remind the applicant that its key management personnel should attend the pre-application meeting and should be prepared to discuss in general terms, specific aspects of the applicant's proposed operation.

3.5.1.2 The PM should discuss the certification process in depth. Emphasis should be placed on the expectations of the CAAI, what the applicant should expect from the CAAI, and the sequence of events.

NOTE: At the end of the meeting, the PM will give the applicant an Application Information Package.

3.5.2. Application Information Package.

3.5.2.1 The pre-application meeting between the PM, other certification team members, and the applicant sets the tone for the rest of the certification process. Therefore, it is important that the PM be thoroughly prepared to conduct the meeting.

3.5.2.2 The PM should review the POPS and assemble an application information package to be given to the applicant. The application information package shall consist of at least the following:

- (i) POPs form, if not previously provided.
- (ii) AP 1.1.001, if not previously provided.
- (iii) AP 1.1.018 (Quality System Programme).
- (iv) AP 1.1.001 Appendix 3 AOC Certification Job Aid and Schedule of Events
- (v) Sample Operation Specifications.
- (vi) Other publications or documents the PM considers appropriate, such as other pamphlets, job aids zetc).

3.5.3. Briefing the Applicant.

3.5.3.1 At the Pre-Application meeting, the applicant and any key personnel attending the meeting should be briefed in as much detail as necessary to ensure that

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they understand the certification process using the certification job aid and the schedule of events format as guides to facilitate the discussion and to ensure that all elements of the certification process are covered.

3.5.3.2 The applicant should be encouraged to ask questions about any area of the process not clearly understood.

3.5.4. Verifying Information on the POPS.

3.5.4.1 The first item for discussion should be verification of the information on the POPS, such as the type of operation, types of aircraft, geographic areas of operation, and location of facilities. When changes to this information occur, the applicant must annotate the changes on the POPS.

3.5.4.2 If the changes significantly affect the anticipated scope and/or type of operation, a copy of the revised POPS shall be forwarded to the DG.

3.5.4.3 If the changes indicate the need for reassignment of certification responsibilities to another CAAI department or branch, the DG shall notify, without delay, the affected CAAI department or branch so that the certification project can be reassigned. In this situation, it may be appropriate to terminate the pre-application meeting.

3.5.5. Informing the Applicant of Pertinent Regulations.

3.5.5.1 It is essential that the applicant understand which regulations are applicable to the proposed operation. A list of regulations appropriate to various types of operations is in AP 1.1. 001.

3.5.5.2 The applicant should be advised to acquire and become familiar with the ANR.OPS and other regulations and APs pertinent to the proposed operation.

3.5.5.3 The applicant and the applicant's personnel must be made aware of their responsibilities during the certification process. It is to their benefit to submit required items as soon as they become available, and to notify the CAAI office immediately of any problems or changes in the proposed operation.

3.5.6. Appropriate Economic Authority.

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3.5.6.1 Applicant should be advised that it is their responsibility to apply for and obtain the appropriate economic authority (Commercial Operating Certificate).

3.5.6.2 The Commercial Operating License is a pre-requisite, and must be obtained before commencing the certification process.

3.5.6.3 As stated by ANL article 18 and ANR.OPS 236, 374 , the CAAI will not issue an AOC until economic authority is obtained.

3.6. INSTRUCTIONS TO THE APPLICANT ON THE FORMAL APPLICATION.

3.6.1. Requirements of Formal Application.

3.6.1.1 It is essential during the pre-application meeting that the applicant has a clear understanding of the form, content, and documents required for the formal application.

3.6.1.2 The applicant shall be informed that the formal application must be submitted to the assigned CAAI department or branch and, after initial review, notification of its acceptance or rejection will be provided by letter within 10 working days. The applicant should be encouraged to submit the formal application as far in advance as possible of the intended starting date.

NOTE: The inspector should inform the applicant that while CAAI inspectors will furnish informal guidance and advice during the preparation of required documents and manuals, the production of acceptable documents and manuals is solely the responsibility of the applicant.

3.6.2. Formal Application Letter or Form.

3.6.2.1 The PM shall inform the applicant that the formal application must be on a specific form provided by the CAAI; or, it may consist of a letter containing a statement that the letter serves as a formal application for an air operator certificate. The letter must contain the full and official name of the applicant.

3.6.2.2 The owner must sign this letter of formal application when applying as an individual or sole proprietorship, all partners when applying as a partnership, or an

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authorised officer(s) when applying as an organisation such as a company or a corporation.

3.6.2.3 The letter shall contain the physical location address of the applicant's intended primary operating location. The applicant's mailing address shall be included in the formal application letter if different than its letterhead. This letter shall also include the full name and address of the applicant's agent for service.

3.6.2.4 Additionally, the letter will confirm the identity of key management personnel such as the general manager, director of operations, director of maintenance, chief pilot, and chief quality inspector, as applicable. When a request for deviation from the qualification requirements of management personnel is anticipated, it should be noted in the formal application letter. However, the request for the deviation and the justification for that deviation shall be made in a separate letter.

3.7. APPLICATION ATTACHMENTS.

The Formal Application letter must be accompanied with at least the attachments described in the following subparagraphs. The applicant must understand that this letter and these attachments will be the minimum information acceptable for meeting the requirements of ANR.OPS 235 , 373.

3.7.1. Schedule of Events.

3.7.1.1 The applicant needs to understand that the schedule of events is a key document to be presented with the formal application.

3.7.1.2 The schedule of events is a list of items, activities, programmes, aircraft and/or facility acquisitions that the applicant must accomplish or make ready for CAAI inspection before certification.

3.7.1.3 The schedule of events will include the applicant's best estimate of the date the item, activity, program, aircraft, or facility acquisitions will be accomplished or ready for inspection.

3.7.1.4 The applicant shall be informed that the schedule of events must be constructed in a logical and sequential manner.

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3.7.1.5 The schedule of events must also provide for a reasonable amount of time for the CAAI to review and accept or approve each item or event, before scheduling other items or events that are dependent on such acceptance or approval.

3.7.1.6 The applicant should be informed that failure to accomplish an item or event in a satisfactory or timely manner in accordance with the schedule of events could result in a delay in certification.

3.7.1.7 The applicant should be advised that if deficiencies are detected during the review of manuals and other documents, they would be returned for amendment or correction. Such action may also cause additional delays in the certification process.

3.7.1.8 The applicant should be encouraged to use this format; however, other formats may be acceptable if they provide information necessary for the certification team to ensure the applicant is proceeding in an appropriate manner.

3.7.2. Company General Manuals.

3.7.2.1 This attachment to the Formal Application may be in the form of one or more manuals or volumes. These manuals must contain information about the applicant's organisation, general policies, duties, and responsibilities of personnel, operational control policy, and procedures.

3.7.2.2 In practice, these manuals are often known as the general operations manual (GOM or OM part A), and the maintenance control manual (MCM).

3.7.2.3 The applicant should ensure that the manuals are in compliance with at least the following ANR.OPS sections, as applicable to the applicant's operation:

- (i) ANR.OPS Chap. 12 - 241 , 251.
- (ii) ANR.OPS Capt. 13 – 393 , 394, Appendix D and E.

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3.7.3. Training Curricula.

3.7.3.1 The company training curricula must be attached to the Formal Application. This may be known as the OM part D.

3.7.3.2 The company's training curricula must include at least the following curriculum segments for each applicable crew member or dispatcher position:

- (i) Company Procedures Indoctrination Training
- (ii) Emergency Equipment Drills Training
- (iii) Initial Aircraft Ground Training
- (iv) Initial Aircraft Flight Training

3.7.4. Management Qualification Resumes.

3.7.4.1 This attachment shall include resumes that contain information on the qualifications, certificates, ratings, and experience of personnel selected for the following positions, or equivalent:

- (i) General Manager
- (ii) Director of Operations
- (iii) Chief Pilot
- (iv) Quality Manager (Chief Inspector)
- (v) Director of Maintenance
- (vi) Flight Safety Officer

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3.7.4.2 The applicant shall be informed that the effectiveness of its management personnel will be observed throughout the certification process.

3.7.4.3 If during the Pre-Application meeting, it becomes apparent that a proposed management candidate does not meet the required experience outlined in the appropriate ANR.OPS, the applicant should be informed that an application for a deviation may be made for the prospective certificate holder to employ that person if equivalent aeronautical experience is shown by documentation.

3.7.4.4 A request for deviation must be made to the CAAI office as soon as practical to enable the individual who will hold the position to be involved early in the certification process.

3.7.4.5 If an applicant intends to request approval for a deviation from required management personnel (fewer or different personnel), the request must be made by letter.

3.7.4.6 The applicant must show the capability to perform operations safely under the fewer or different positions requested. Justification must take into account the size and scope of the operation as well as the qualifications of intended personnel. It must also be shown that the persons can be reasonably expected to effectively perform the functions associated with the subject positions in accordance with the ANR.OPS and the procedures outlined in the proposed manual.

3.7.4.7 If the CAAI approves fewer or different positions, this approval will be stated in the approved part of the Operations Manual.

3.7.5. Documents of Purchase, Contracts, and Leases.

3.7.5.1 This attachment should provide evidence that the applicant has acquired aircraft, facilities, and services to conduct the type of operation proposed. This evidence may be in the form of proof of formal purchases, leases, or contractual arrangements.

3.7.5.2 These documents should provide evidence that the applicant is, in good faith, committed to making arrangements for aircraft, supporting facilities, and services as necessary for the proposed operation.

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3.7.5.3 Examples of the types of equipment, facilities, and services that should be addressed in these documents, contracts, or leases include the following:

- (i) Aircraft
- (ii) Station facilities and services
- (iii) Weather and Notices to Airmen (NOTAM)
gathering facilities and services
- (iv) Communications facilities and service
- (v) Maintenance facilities and service
- (vi) Aeronautical charts and related publication
- (vii) Airport analysis and obstruction data
- (viii) Contract training or facilities

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3.7.6. Compliance Statement.

3.7.6.1 Preparation of the compliance statement benefits the applicant by systematically ensuring that all applicable regulatory aspects are appropriately addressed during the certification process.

3.7.6.2 The compliance statement shall be in the form of a complete listing of all appropriate ANR.OPS sections pertinent to the operation the applicant is proposing.

- a. This list should reference any applicable subpart and each relevant section of the subpart.
- b. Next to each subparagraph, the applicant must provide a specific reference to a manual, or other document, and may provide a brief narrative description that describes how the applicant will comply with each regulation.

3.7.6.3 This statement also serves as a master index to the applicant's manual system to expedite the CAAI's review and approval of the operation and manual system.

3.7.6.4 The compliance statement is an important source document during the certification process. After the certification process is completed, the compliance statement should be kept current as changes are incorporated in the applicant's system.

3.7.6.5 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.

3.7.6.6 The list of the specific regulations and subparts, including all subparagraphs, must be presented in the manner of one of the following examples:

Example 1- Compliance Statement.

ANR.OPS.456 Supervised Line Flying – Pilots

- (a) GOM p. 217, para. 237
- (b) GOM p. 218, para. 238
- (c) GOM p. 219, para. 240
- (d) GOM p. 219, para. 240
- (e) GOM p. 220, para. 241

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Example 2 - Compliance Statement.

ANR.OPS.483 Reporting Mechanical Irregularities

The GOM, p. 37-5, para. 35, instructs the pilot-in-command (PIC) on the requirements and methods of completing the aircraft technical log. The PIC is required to review the log before each flight to ascertain the status of each previous entry. The MCM, p. 58-33, para. 665(1)(A), instructs maintenance personnel about the requirement to record irregularities discovered during pre-flight checks and other types of checks.

4. Task Outcomes

4.1. CONCLUSION OF PRE-APPLICATION MEETING.

The PM must ensure the applicant understands that the formal application, with the previously described attachments, must be complete and acceptable or the entire formal application will be rejected.

4.1.1. Applicant is Adequately Prepared.

4.1.1.1 At the close of the Pre-Application meeting, the PM should determine whether the applicant is prepared to proceed with the certification process.

4.1.1.2 If it appears the applicant understands the requirements of a Formal Application and will proceed to that phase, the inspector should encourage the applicant to informally co-ordinate required documents as they are developed with the certification team before formal submittal.

4.1.2. Applicant is not Prepared.

4.1.2.1 If it is evident that the applicant is not adequately prepared to proceed with the certification process, the PM should advise the applicant of the reasons for concern.

4.1.2.2 When it is apparent the applicant will not be able to prepare an adequate Formal Application, the PM should advise the applicant to request another Pre-Application meeting after more complete preparation on the applicant's part. It is appropriate for the PM to

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recommend to the applicant one or more of the following actions:

- (i) Further review of Advisory Pamphlet AP 1.1.001
- (ii) A more thorough review of the applicable regulations
- (iii) Changes in proposed key management personnel
- (iv) Retain the services of a professional aviation consultant
- (v) Cease efforts to become CAAI certificated

4.2. TERMINATION OF PRE-APPLICATION PROCESS.

4.2.1. If at any time during the pre-application phase the applicant formally terminates all efforts toward certification, or the PM determines the applicant will not proceed with the certification process, the POPS form will be returned to the applicant.

4.2.1.1 The PM will notify the applicant in writing that this action terminates the pre-application process and that the applicant must submit a new POPS in order to initiate the certification process again.

4.2.1.2 The DG must be notified of any certification project that is terminated.

4.2.1.3 Should the applicant request to apply again, a new pre-certification number will be assigned.