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**EBOOK VOLUME 3. AIR OPERATOR & AIR AGENCY - CERTIFICATION**

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### CHAPTER 1. GENERIC CERTIFICATION PROCESS FOR AIR OPERATORS AND AIR AGENCIES

#### Section 1. General Information and the Certification Process

**3.1.1.1. GENERAL INFORMATION.** The purpose of the certification process is to provide a means by which all prospective (operators or air agencies) are authorized to conduct business in a manner which complies with all applicable General Authority of Civil Aviation Regulations (GACARs). This section both standardizes and describes the certification process in detail.

**NOTE:** For the purpose of this section, the term “Applicant” will be applicable for both an operator and an air agency.

**3.1.1.3. CERTIFICATION INTRODUCTION.** The following guidance will result in compliance with the GACARs. The applicant will not be certificated until the General Authority of Civil Aviation (GACA) is assured that the applicant is capable of complying with the regulations.

**3.1.1.5. THE CERTIFICATION PROCESS.** The certification process is a series of steps outlined in five phases:

- Phase One - Pre-Application
- Phase Two - Formal Application
- Phase Three - Document Compliance
- Phase Four - Demonstration and Inspection
- Phase Five - Certification Phase

**A. Inspector Assessment.** The complexity of the certification process is based on an aviation safety inspector (Inspector) assessment of the applicant’s proposed operation. For simple certifications, some steps can be condensed or eliminated.

**B. Differences Among Applicants.** Some applicants may lack a basic understanding of what is

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required for certification. Other applicants may propose a complex operation, but be well prepared and knowledgeable. Because of the variety in proposed operations and differences in applicant knowledge, the process must be thorough enough and flexible enough to apply to all possibilities.

**3.1.1.7. PHASE ONE - PRE-APPLICATION.** Initial inquiries about or requests for an application may come from individuals or organizations. An initial meeting between GACA personnel and the applicant will then be scheduled. The meeting may be conducted physically or virtually at the applicant discretion.

**A. Initial Inquiry.** During the initial meeting, the applicant will usually have specific questions about the certificate requirements.

- 1) The Inspector should explain to the applicant all appropriate requirements and discuss pertinent parts of the GACARs. In addition, the Inspector should direct the applicant to the applicable department for further handling e.g. Civil Aviation Tariffs, GACA Economic Regulations and GACA Security Regulations.
- 2) At this point, the Inspector should determine if the applicant is sufficiently aware of the certification requirements and assess the experience level of the applicant to determine how formal the process must be. If the applicant wishes to continue with the process, the Inspector may provide the applicant with a copy of the Pre-Application Statement of Intent (PASI), to fill out and return for review.
- 3) In addition to the PASI, it is recommended that applicants submit a letter, detailing the operation they wish to undertake, the equipment they have available, the facilities they plan to use, pilot qualifications if applicable, and the approximate date when they plan to begin operation.
- 4) The scope of the proposed operation (e.g., a large number of complex aircraft) may also require that the applicant (or representative) come to the GACA office for a pre-application meeting in addition to submitting a PASI. If there is any question about the need for such a meeting, the Inspector should consult with the Office Manager.
- 5) An applicant who is already familiar with the certification process (i.e., an individual who has worked for a certificated air operator and/or aviation organization and wishes to start a similar business) may simply submit a completed application form during the initial

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contact with the GACA office. The applicant may present the application in person along with any manuals and other documents that might be required. This will usually occur only when the applicant's operation is of limited complexity.

**B. Certification Team Assignment.** The GACA Office Manager will assign sufficient Inspectors to a certification team. One team member will be designated as a Certification Project Manager (CPM). The CPM will not only coordinate certification matters with the applicant, but will also ensure that the applicable GACA office management is kept fully informed of the project's current status (e.g., during staff meetings). Team members must strive at all times to maintain a professional and responsive relationship with the applicant. From the time of its appointment, the certification team handles all matters pertaining to the applicant, regardless of whom the applicant initially contacted.

**Note:** For the purposes of operator authorization, CPM is named as the Authorization Project Manager (APM) or Authorisation Team Leader (ATM).

1) *CPM Qualifications, Duties and Responsibilities.* For appointment as a CPM, experience as a Principal Inspector (PI) is desirable. However, other Inspectors are acceptable depending on the situation and at the discretion of the GACA Office Manager. The duties and responsibilities of the CPM include the following:

- a) The CPM coordinates certification matters with the applicant and ensures that the Office Manager is kept fully informed of the project's current status.
- b) The CPM serves as the primary contact with the applicant. The CPM ensures each certification task is completed in an acceptable and timely manner and that all certification matters are thoroughly coordinated with each team member.
- c) The CPM schedules and conducts pre-application and formal application meetings with the applicant.
- d) The CPM notifies Supervisors and the Office Manager of any information that may significantly impact or delay certification. Periodic meetings will ensure everyone concerned is kept informed of the status of the certification. If the CPM cannot attend a scheduled meeting, the CPM appoints a team member to act as CPM.

2) *Team Member Responsibilities.* Each team member will respond to requests for

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assistance made by the CPM and keep the CPM appraised of the status of the certification. Anything that may delay certification must be brought to the attention of the CPM immediately.

**C. Pre-Application Meeting.** After being assigned to the project, the CPM shall contact the applicant to arrange a pre-application meeting as soon as practicable.

1) The meeting should include, but not be limited to, the following:

- A review of the PASI to verify that all information is complete and accurate
- A review of applicable GACAR parts (and how to obtain them, if not already accomplished)
- A review and discussion of the certification procedures to ensure that the applicant understands what is expected
- A review of what is required on the application and what attachments will be submitted with the application ( see Paragraph 3.1.1.9 below)
- Provision of a certification job aid to the applicant (as applicable)
- An indication of which Inspectors will conduct specific aspects of the certification

2) Operator certification tasks throughout Volume 3 provide guidance on pre-application meetings for the different types of air operator or service providers.

**D. Terminating the Pre-Application Phase.** The Pre-Application Phase ends when the certification team is satisfied that the applicant is prepared to proceed with formal application. If the applicant is not ready, the team should advise the applicant of the problems and work with the applicant to arrive at solutions or terminate the certification process.

**3.1.1.9. FORMAL APPLICATION PACKAGE.** At the pre-application meeting, the form, content, and documents required for formal application are discussed. An applicant's presentation of an application package and the GACA's review of that package are considered to be the Formal Application Phase.

**A. Formal Application Letter.** The formal application must be in letter format and must contain

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the following:

- 1) The full and official name of the applicant.
- 2) A statement that the document is a formal application.
- 3) The applicant's mailing address and the physical address of the applicant's intended primary operating location.
- 4) For an air operator applicant, the full name and address of the agent (designated person who has signature authority) for service (if, as applicable).
- 5) The names of key management personnel, e.g., Accountable Executive, General Manager, Director of Operations, Director of Maintenance, Chief Pilot, Chief Inspector, etc. as applicable.
- 6) The signatures of the following, as applicable:
  - The owner, when applying as an individual
  - Each partner, when applying as a partnership
  - An authorized officer, when applying as an organization, such as a company or corporation

**B. Formal Application Attachments.** In addition to a formal application letter, the formal application package consists of (as applicable):

- Documentation that the applicant has or can obtain use of an aircraft and appropriate facilities
- Any partial or complete manuals
- Curricula or personnel training programs
- Management Resumes
- Letters of Intent and Contracts

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- Compliance Statement
- A schedule of events (see Sub-paragraph “C” below)

1) *Company Manuals.* The company manual contains information about the applicant’s organization, general policies, duties, responsibilities, operational control policy, and procedures. This attachment may be comprised of one or more manuals or sections of manuals.

- a) When the formal application is submitted, the manual must show compliance with the applicable GACAR sections and paragraphs.
- b) Team members must ensure that all required material is shown on the Schedule of Events and that adequate time is allowed for review.
- c) The applicant should be encouraged to provide a table of contents.

2) *Initial Company Training Curriculum.*

- a) At the time of formal application, some training program elements may not be fully developed. The projected date of submission for training course curriculums must be in the Schedule of Events. A draft of the initial company training curriculum, as complete as possible, must be attached to the formal application.
- b) The initial company training curriculum must include basic, initial and emergency training (if applicable).
- c) Curriculum for training maintenance personnel may be included as part of the operator’s manual (if applicable).

3) *Management Resumes.* Include resumes showing the qualifications, certificates, ratings, and experience of persons selected for the following, or equivalent, positions (as applicable):

- Accountable Executive
- Director of Operations



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- Director of Maintenance
- Director of Safety / Management Representative
- Chief Pilot
- Chief Inspector

**NOTE:** For additional guidance regarding key management personnel, see GACA eBook Volume 2 (SMS) and Volume 3, Chapters 3 (GACAR Part 121), Chapter 4 (GACAR Part 125) and Chapter 5 (GACAR Part 133).

### 4) *Documents of Purchase, Contracts, and/or Letters of Intent.*

a) These documents and/or letters show the applicant is committed to making arrangements for aircraft, supporting facilities, and services necessary for the proposed operation. Proof of formal purchase, lease, or contractual arrangement is acceptable. If formal arrangements have not been completed, letters showing preliminary agreements will suffice until formal contracts are available. However, formal agreements must be finalized in sufficient time for the GACA to evaluate before certification.

b) If the applicant does not plan to make purchases or develop services until after submitting the formal application, a statement of intent is acceptable. However, such arrangements must be completed sufficiently in advance of certification for GACA evaluation.

c) The following types of equipment, facilities, and services are to be addressed in these documents, contracts, or letters:

- Aircraft
- Station facilities and services
- Weather and Notice to Airmen (NOTAM) gathering facilities and services
- Communications facilities and services

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- Maintenance facilities and services
- Aeronautical charts and related publications
- Aerodrome analysis and obstruction data
- Contract training or facilities

5) Initial Compliance Statement. The initial compliance statement ensures that all applicable regulatory aspects are appropriately addressed during the certification process. The compliance statement lists each GACAR regulation pertinent to the proposed operation. The applicant must describe their proposed compliance methods alongside each applicable regulation. A brief narrative or a specific reference to a manual or other document is required. Where necessary, the applicant should indicate that the information will be provided in the final compliance statement.

**C. Schedule of Events.** It is up to the certification team to determine if the applicant's proposed operation warrants a schedule of events.

- 1) The Schedule of Events lists documents, activities, and acquisitions required for certification. Each item is accompanied by the applicant's best estimate of the date that the item will be submitted, acquired, and/or ready for inspection.
  - a) The number and types of events and activities that occur during authorization/certification vary according to the operation proposed. The Schedule of Events must list each document to be submitted, the activity to be performed, and the item to be inspected. The schedule must provide the GACA a reasonable amount of time for the review and acceptance or approval of each item or event.
  - b) The Schedule of Events is intended to encourage an applicant to submit material well in advance of the date operations are proposed to begin. If, however, the application is submitted with only the minimum lead time required by the regulation, complete documents (such as maintenance manuals) may be required at the time of formal application.

**NOTE:** Final certification could be delayed if the applicant fails to accomplish an item or event in a satisfactory manner or in accordance with the Schedule of Events. In addition,

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delays may be caused by the need to correct deficiencies in documents, such as manuals or maintenance/inspection programs.

**D. Receipt of Formal Application Package.** On receipt of the formal application package, the applicant will be informed that the GACA needs a specific period of time to review it. Discussions of its acceptability should be avoided at this time. The applicant should be advised that further discussion will not be productive until the certification team has reviewed the formal application. The applicant should be advised that the certification team will contact them as soon as practical concerning the application package's acceptability and to arrange for a formal application meeting. A formal application meeting is arranged only if the team determines there is a need for the meeting.

**3.1.1.11. PHASE TWO – FORMAL APPLICATION.** The location of the formal application meeting will be determined by the GACA. During this meeting, the certification team and the applicant review the application package and resolve any discrepancies.

**A. Initial Review of Formal Application.** The initial review of the formal application takes place before the formal application meeting is scheduled. This review verifies that required documents have been submitted. The review also ensures that the material submitted represents a feasible proposal and is of sufficient quality to continue the certification process.

**B. Reviewing the Schedule of Events.** The Schedule of Events sets dates for accomplishing or submitting the listed items. When reviewing the Schedule of Events, the CPM/team must consider carefully the feasibility of the proposed schedule with respect to the logic of sequence, timeliness of events, completeness of events and Inspector availability.

- 1) The team must ensure that the proposed Schedule of Events has the proper sequence.
- 2) The Schedule of Events must be reasonable, realistic, and provide sufficient time for the certification team to review various documents, manuals, and proposals.
- 3) The team must ensure that the Schedule of Events is complete. Each required manual, document, event, and activity must be listed, including the submission date for the final compliance statement.
- 4) The availability of personnel may affect the Schedule of Events. The CPM must determine that qualified Inspectors will be available to assist the team in conducting the extensive

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manual review. The CPM must also determine the need for and availability of resources other than GACA Safety and Air Transport (S&AT).

**C. Determination of Acceptability.** The decision to accept or reject the formal application is based primarily on the initial review of the formal application and attachments. Results from informal meetings, reviews, and observations of the applicant's capabilities should supplement the decision making process.

1) *Acceptance of the Formal Application.* After the formal application meeting, the CPM and the certification team make a final determination of acceptability. Generally, if the formal application meeting is concluded without significant disagreements, it should be considered successful and result in an acceptable formal application. During the meeting, all discrepancies or omissions in submitted materials must be resolved. When the certification team accepts the application package, the Formal Application Phase of the certification process ends, and the Document Compliance Phase begins.

2) *Rejection of the Formal Application.* The absence of required information in the application letter and/or the absence of one or more of the required attachments require automatic rejection of the formal application. If the application is rejected before the meeting, it must be returned with a letter of explanation.

a) Rejection of an application is a sensitive issue since the applicant may have already expended funds and resources. It is important for the 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 make the team's suggested corrections.

b) Reasons for rejection might include lack of agreement on appropriate courses of action or evidence that the applicant does not understand regulatory requirements and the certification process. In the event of rejection, the application and documents submitted are returned to the applicant with a letter of rejection.

**3.1.1.13. PHASE THREE - DOCUMENT COMPLIANCE.** The document compliance phase is that part of the certification process where the applicant's manuals and other documents are reviewed and either approved or rejected. Each document is reviewed in depth to ensure compliance with applicable regulations and conformity to safe operating practices. The initial compliance statement directs the Inspector to the location in the applicant's manuals where a compliance procedure is

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described. The Schedule of Events determines the priority of items to be reviewed. The certification team usually conducts this phase in the GACA office.

**A. Approval or Acceptance of Documents and/or Programs.** During the Document Compliance Phase of the certification process, attached documents and/or programs are *approved* or *accepted*. After initial certification, revisions or amendments to these documents may also be submitted for *approval* or *acceptance*. The team must determine which of these are *approved* and which are *accepted*.

1) Documents and/or programs that require GACA approval are specifically listed in the regulations. Other documents and/or programs are accepted; however, not all other documents have to be accepted. The following are examples of approvals granted by the GACA:

- All weather terminal operations
- Training programs
- Minimum Equipment List (MEL)
- Cockpit checklist
- Company Aircraft Operating Manual (limitations, performance, and operating procedures)

2) Documents and/or programs submitted for acceptance should relate to areas which are safety related or in which the GACA has a significant interest.

3) Some documents and/or programs submitted for approval or acceptance may require coordination with other organizations within the GACA e.g. Economic Authority, Security, etc.

4) Operating manuals may require approval (or coordination) by several divisions within the SS&AT(e.g. flight operations and airworthiness). The CPM must ensure that all appropriate approvals have been obtained before certification.

5) It may be necessary to approve a document in segments or indicate initial approval pending other required events. An initial approval should not continue for an extended

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period of time. The CPM should establish a plan to evaluate deficiencies and document reasons for not granting final approval.

**B. Approval Documentation.** When all requirements and standards have been met, the operator should be notified that the documents have been approved. The CPM indicates approval.

**C. Acceptance Documentation.** Documents that are submitted for acceptance by an operator or applicant are accepted with a letter of confirmation from the CPM.

**D. Revisions or Amendments.** When an approved or accepted document is revised or amended, only that portion affected by the proposed change needs to be evaluated, provided there is no effect on other portions or other documents.

**E. Required Documents.** The required documents vary with the type of certificate applied for.

**F. Unacceptable Documents.** If any of the documents are unacceptable, they are returned to the applicant. The team sends the applicant a letter of rejection stating the reasons for rejection and recommendations for obtaining approval.

**H. Completing the Document Compliance Phase.** When required documents are approved or accepted, the Document Compliance Phase is completed. The certification process continues in the Demonstration and Inspection Phase. The Document Compliance Phase and the Demonstration and Inspection Phase may overlap.

**3.1.1.15. PHASE FOUR - DEMONSTRATION AND INSPECTION.** In the Demonstration and Inspection Phase, the certification team inspects the applicant's facilities and equipment and observes personnel in the performance of their duties. Emphasis in this phase is on compliance with regulations and safe operating practices.

**A. Regulatory Compliance.** During the evaluation, the team shall determine the applicant's ability to comply with all applicable sections of the regulations.

**B. Determination of Approval or Disapproval.** Throughout the demonstration and inspection phase, the team ensures that all aspects of the applicant's required demonstrations are observed and that a determination of approval or disapproval for each is made.

**C. Handling Deficiencies.** If the applicant's activities or other items are deficient, appropriate

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corrective action must be taken. If the deficiencies cannot be corrected, the team should advise the applicant that it is impractical to continue the certification process.

**D. Unsatisfactory Demonstration.** If a demonstration of compliance is unsatisfactory, the certification team must discuss with the applicant how to correct the problem. Re-inspection should be scheduled as necessary. The team may follow-up with a letter indicating the nature of the failure and its corrective action. Deficiencies must be corrected before the process can continue.

**E. Satisfactory Demonstrations.** If the applicant's demonstrations are satisfactory, the certification team issues appropriate documentation.

**F. Terminating the Demonstration and Inspection Phase.** When all demonstrations are satisfactorily completed, the Demonstration and Inspection Phase is ended, and the applicant is ready for issuance of the certificate.

### 3.1.1.17. PHASE FIVE - CERTIFICATION.

**A. Obtaining Certificate Numbers, Designators and ICAO Identifiers.** The CPM is responsible for ensuring that certificate numbers or aviation organization designators are issued (see Section 2 below, for further guidance). In addition, International Civil Aviation Organization (ICAO) identifier (if applicable) guidance may be found in Volume 3, Chapter 2, Section 3, Company Designators and Call Signs.

**B. Preparation of Certificate.** The applicable certificate is prepared for signature. The person authorized to sign the certificate (e.g. the Assistant Vice President or other delegated official) is defined in the GACA SS&AT Delegation of Authority document. The newly certificated operator must not conduct any operations until the certificate is issued. In addition, the CPM must ensure that all applicable fees and charges have been paid and that evidence of payment has been received from the GACA Fees & Charges department. Certificates may not be released to the applicant until all fees and charges have been confirmed as having been paid.

- 1) The operator may elect to pick up the certificate from the GACA office in person, or it may be mailed to an address the operator specifies (see Section 3 below, for further guidance).

**C. Operations Specifications (OpSpecs) and Other Authorizations.** After determining that the applicant has met all regulatory requirements, the applicant receives the applicable OpSpecs

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and/or Authorizations.

**D. Certification Report.** The team is responsible for assembling a Certification Report. The report should include the following, as applicable:

- Type of certificate issued
- Name and address of certificate holder
- Certification Number or Designator
- CPM/Team Member names
- Application date and certification date
- Company description
- Summary of difficulties, if any, encountered during the certification process
- Any future surveillance recommendations

**E. Certification File.** The certification file shall include (as applicable):

- A copy of the PASI or Letter of Intent
- A copy of the application
- A copy of the certificate
- A copy of any manuals or approved curricula
- A copy of the completed certification job aid
- Evidence of fee payment
- A copy of the operations specifications (OpSpecs)
- A summary of any difficulties encountered during any phase of the certification or



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recommendations for items requiring future surveillance

- Copies of leases, agreements, and contracts
- Compliance Statement
- Any correspondence between the applicant and the GACA
- Certification Report

**F. Post Certification Surveillance Plan.** After the applicant is certificated, the certification team establishes a post certification surveillance plan using the GACA surveillance planning guidelines.

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### CHAPTER 1. GENERIC CERTIFICATION PROCESS FOR AIR OPERATORS AND AIR AGENCIES

#### Section 2. GACA Certificate Numbers and Service Provider Designators

**3.1.2.1. OBJECTIVE.** This task results in issuance of an appropriate certificate number and designator.

**3.1.2.3. GENERAL.** The General Authority of Civil Aviation (GACA), Aviation Operations Safety System (AOSS) manages and controls all certificate numbers and designators. The numbering system provides a standardized format, a multitude of possible numbers, and a central location for assigning, storing, and retrieving information.

**3.1.2.5. CERTIFICATE/DESIGNATOR NUMBER CONSTRUCTION.** GACA utilizes an alpha numeric numbering system in the AOSS for operator and service provider identification. The scheme allows for an unlimited number of certificate identifiers. Imbedded in the certificate identifier will be the International Civil Aviation Organization (ICAO) assigned identifier, if assigned, two alpha characters specifying the type of certificate, and a series of three numbers assigned by the computer. Entities not having an assigned ICAO identifier should use three letters associated with the company name, as long as they are not in use by an active certificate. These three letters are referred to as the service provider “designator”. See Table 3.1.2.2, Element Codes for Types of Certificates and Operations, for a list of element codes based on GACAR and type of operation.

**NOTE:** See Volume 3, Chapter 2, Section 3, Company Designators and Call Signs, for information about obtaining International Civil Aviation Organization (ICAO) company designators and telephony designators (call signs).

**A. Elements of a Certificate/Designator Number.** The certificate/designator number has three (3) elements as follows:

- 1) “ICAO Identifier” element
- 2) “Certificate Type” element
- 3) “Numeric” element

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**B. Element Descriptions.** The certificate/designator number elements are described as follows:

- 1) Element 1, the “ICAO Identifier” element, is a three letter or three character designation.
- 2) Element 2, the “Certificate Type” element code, identifies the type of certificate and/or the applicable operating regulation specified.
- 3) Element 3, the “Numeric” element, provides up to 999 unique number combinations for each type of certificate/designation (001 to 999).

**C. Example of Elements in a Number.** An example of a certificate/designator number using these three elements would be SVA AC 001 (without dashes SVAAC001). This number, divided into its three elements, is illustrated below in Table 3.1.2.1.

**Table 3.1.2.1. Example of Certificate/Designator Number Elements**

SVA	AC	001
(ICAO Identifier)	(Certificate Type)	(Numeric)

**3.1.2.7. RESTRICTIONS AND PROVISIONS FOR CERTIFICATE/DESIGNATION NUMBER CONSTRUCTION.** In the assignment of certificate numbers, the following provisions and restrictions apply:

- A.** The complete identification number (all eight characters), as assigned to an organization, will never be reassigned to another organization.
- B.** The AOSS will associate a final invisible alpha character reflecting the certificate status, e.g. active, precertification, terminated, revoked, etc.

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**Table 3.1.2.2. Element Codes for Types of Certificates and Operations**

<b>Air Operators—Type of Certificate/Authorization</b>	<b>Certificate Type Code</b>	<b>GACAR Part</b>
Air Operator Certificate (Commercial)	AC	121/135
Operator Certificate (Non-Commercial)	OP	125
Aerial Work Operator Certificate	AW	133
Foreign Air Carrier Authorization	FA	129
<b>Air Agencies—Type of Certificate</b>	<b>Certificate Type Code</b>	<b>GACAR Part</b>
Domestic Training Center Certificate	TC	142
Foreign Training Center Certificate	(TBD)	142
Domestic Repair Station Certificate	RS	145
Domestic Satellite Repair Station Certificate	(TBD)	145
Foreign Repair Station Certificate	(TBD)	145
Foreign Satellite Repair Station Certificate	(TBD)	145
Pilot School Certificate	PS	141
Aviation Maintenance Technician School Certificate	TS	147
<b>Aerodrome -Type of Certificate</b>	<b>Certificate Type Code</b>	<b>GACAR Part</b>
Aerodrome	AP	139
Heliport	HP	139

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### CHAPTER 1. GENERIC CERTIFICATION PROCESS FOR AIR OPERATORS AND AIR AGENCIES

#### Section 3. Preparation of General Authority of Civil Aviation (GACA) Certificates

**3.1.3.1. REQUIRED CERTIFICATE INFORMATION.** The following information will need to be entered into the Aviation Operations Safety System (AOSS) system in order to electronically generate a certificate.

**A. Legal Name.** The certificate holder's legal name.

**B. Additional Business Names for Air Agencies.** Air Agencies *may* use any additional business names listed on the certificate below the legal name.

- 1) The acronym "DBA" (doing business as) precedes the additional business name.
- 2) The certificate holder will provide evidence of the applicable governmental authorization of all business names.
- 3) The General Authority of Civil Aviation (GACA) should not restrict the number of DBAs used by a certificate holder. Should there be insufficient space on the certificate to accommodate all DBAs, the legal name and address should appear on the certificate with a notation to see an accompanying letter for a list of DBAs.

**C. Additional Business Names for Air Operators and Operators Certificated Under GACAR Part 119.** For Part 121, 125 and 135 certificates, DBA names will be added to the operator's Operations Specifications (OpSpecs) and not to the actual certificate.

**D. Address of Principal Base.** The address of the certificate holder's principal base of operations. A post office box address is not acceptable unless it also reflects the physical location of the principal base of operations.

**E. Certificate Number.** The certificate/designator number generated through AOSS.

**F. Effective Date and Expiration Date.** The effective date that all the requirements for

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certification were completed. The expiration date when the certificate is no longer valid.

**G. Signature/Title.** After the data is entered into the AOSS, a paper copy of the certificate will be generated. The properly delegated GACA official then signs the certificate and provides a copy to the operator.

**3.1.3.3. CHANGE OF NAME.** A change of the certificate holder's legal name requires the issuance of a new certificate and certificate number. However, this is not required for a change to a DBA.

**A. Legal Authorization.** The certificate holder must provide evidence that the appropriate government (as applicable) authorized the change of legal name. The aviation safety inspector (Inspector) must ensure that the certificate holder is not using the name change to circumvent initial certification requirements.

**B. Sole Proprietor.** Do not treat a sole proprietor, who incorporates under KSA law, as a name change only. This "new" person must meet all the initial certification requirements of the GACARs for a new operator in order to receive the applicable certificate. However, the certification process, in this case, may not be as detailed as usual.

### **3.1.3.5. INTERNATIONAL CIVIL AVIATION ORGANIZATION (ICAO) STANDARDIZED, CERTIFIED TRUE COPY OF THE AIR OPERATOR CERTIFICATE (AOC) AND OPERATION SPECIFICATIONS.**

**A. ICAO Annex 6 Requirements.** ICAO Annex 6 requires air operators to carry onboard their aircraft a standardized "certified true copy" of their AOCs and associated operations specifications when operating internationally.

**B. GACA Role.** To enable certificate holders to fulfill this ICAO requirement, the GACA will have an ICAO standardized Air Operator Certificate (AOC) and OpSpec summary available in the AOSS. These templates will be preloaded with most of the data contained in the AOC and OpSpecs from operator data already maintained in the system. This standardized ICAO AOC and OpSpec summary is in addition to the GACA AOC and full set of OpSpecs. Operators must carry this ICAO AOC and OpSpec summary onboard their aircraft at all times.

**3.1.3.7. TASK OUTCOME.** Completion of this task results in the issuance of a final certificate number for a GACA Air Operator, Operator or Air Agency.

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**3.1.3.9. FUTURE ACTIVITIES.** See specific certification chapters in Volume 3 of this handbook.

## **VOLUME 3. AIR OPERATOR & AIR AGENCY – CERTIFICATION**

### **CHAPTER 2. GENERAL CERTIFICATION INFORMATION FOR AIR OPERATORS**

#### **Section 1. General Information**

**3.2.1.1. PURPOSE.** This chapter provides general information for the certification of applicants under the General Authority of Civil Aviation Regulations (GACARs) Part 121, 125, or 135. This chapter contains the following sections:

**NOTE:** The term “Applicant” will be used for all individuals/entities wishing to obtain approval to operate under the GACARs listed above.

**A. Section 1.** Contains a brief description of GACAR Part 119, and how it interfaces with GACAR Parts 121, 125 and 135. In addition, this section addresses definitions specific to certification and the certification process for all applicable GACAR Parts.

**B. Section 2.** Provides direction and guidance for the issuance of air operator certificates (GACAR Parts 121 & 135) and operator authorization (GACAR Part 125), and the applicable regulatory requirements for both commercial and non-commercial operators.

**C. Section 3.** This section contains guidance for obtaining International Civil Aviation Organization (ICAO) company designators and telephony designators (call signs) for those operators who request or are required to obtain designators.

#### **3.2.1.3. GACAR PART 119 BACKGROUND.**

**A. GACAR Part 119.** GACAR Part 119 Certification: Saudi Arabian Commercial and Non-Commercial Operators, establishes the certification requirements an operator must meet in order to obtain and hold a certificate authorizing operations under GACAR Parts 121, 125, or 135. It contains the following provisions:

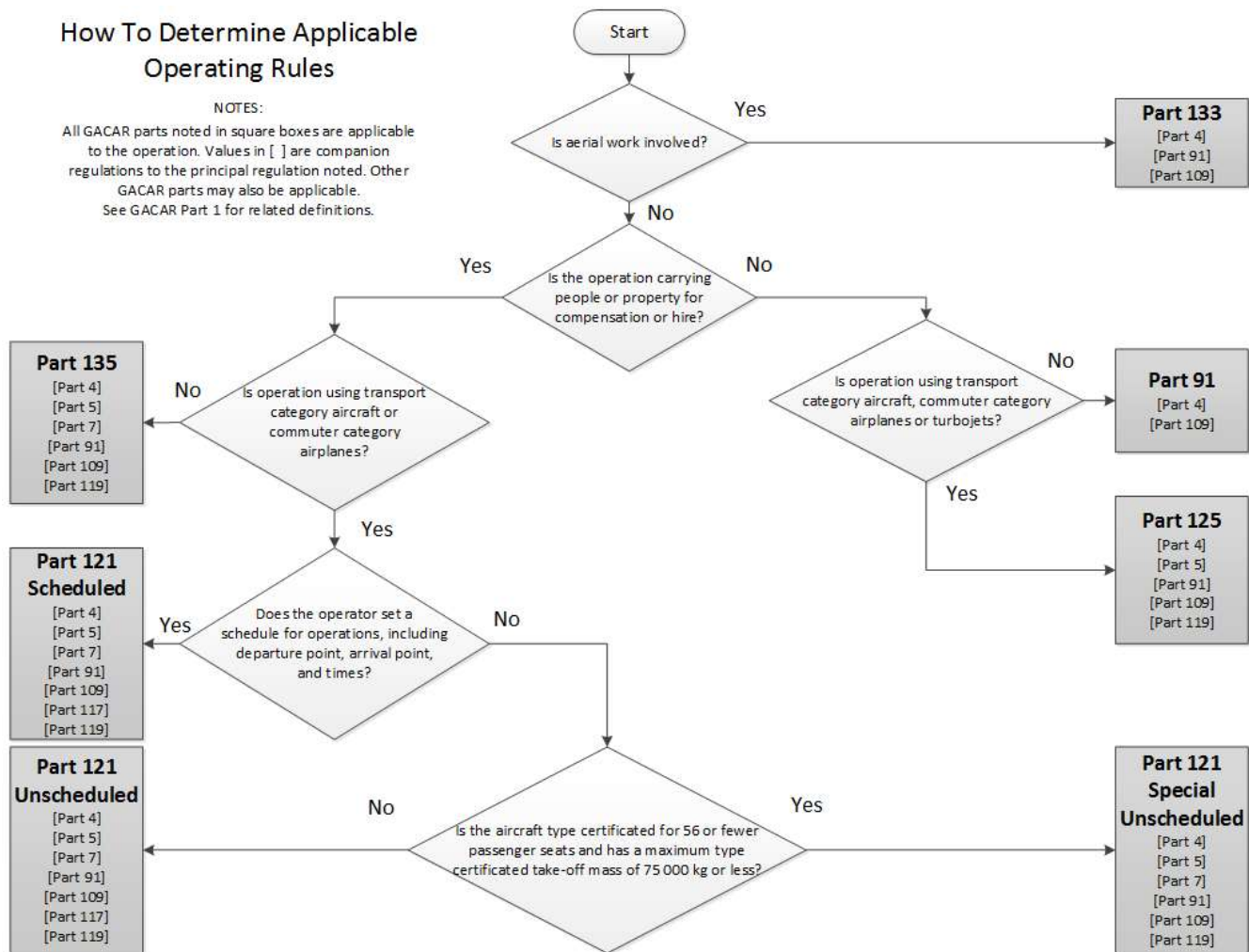
- 1) Operations Specifications (OpSpecs) for each kind of operation to be conducted.
- 2) Requirements for leasing of aircraft (e.g. dry or wet leasing).
- 3) Emergency operations common to Parts 121, 125 and 135.



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Figure 3.2.1.1 provides a high level overview of how the different GACAR Parts that relate to air operations are organized according to whether the operations are commercial or non-commercial, scheduled or unscheduled and whether the operations involve transport category aircraft, commuter category airplanes or aircraft type certificated in other categories.

**Figure 3.2.1.1 Applicable Operating Rules for Kinds of Operations**



**3.2.1.5. DEFINITIONS.** Definitions pertaining to both commercial air operators and non-commercial operators' certification and are found in GACAR Part 1, Definitions and Abbreviations.

**3.2.1.7. THE CERTIFICATION PROCESS.** The applicable chapters of Volume 3 describe the processes that both the applicant and the GACA must undergo to ensure that the applicant complies

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with all certification and operational requirements before certificate issuance or approval. The processes are designed so that an applicant's programs, systems, and intended methods of compliance are thoroughly reviewed, evaluated, and tested. The processes, once completed, provide reasonable assurance that the applicant's infrastructure (programs, methods, and systems) will result in continued compliance. These processes consist of phases and gates that are individually described in the applicable chapter guidance. The descriptions of the document compliance phase and the demonstration and inspection phase do not provide detailed discussions of what constitutes acceptable or approvable programs, systems, or methods. Instead, these discussions present the types of activities that take place during these phases and emphasize the planning of required work functions. Detailed discussions on specific subject matter such as: manuals, record keeping systems, training programs, and proving tests are found in Volumes 4, 5, 6, and 12 of this handbook.

**A. Job Aids.** There are basic organizational job aids and/or schedule of events checklists available (as applicable) in chapters of this volume. These aids should be used to assist in planning work functions during a certification process and as a checklist for items or events as they are accomplished. The schedule of events is designed to allow the applicant to provide a best estimate of when an event or item will occur or be ready for GACA inspection. Space is provided for the GACA to record revisions to the applicant's estimates or to record when the event or item actually occurred.

**B. Process Overview.** The flow chart at the end of the applicable chapters provides an overview of the certification process. Simultaneous use of the flow chart and narrative discussion will assist the Inspector in understanding the process. The chart is particularly useful in determining whether the "Schedule of Events" is reasonable in terms of sequence, timeliness, and Inspector resource availability. It also provides a perspective on how a particular event affects other events and is an important reference for planning various activities during the certification process.

**3.2.1.9. CHANGES TO CERTIFICATE OR OPERATING AUTHORITY.** Volume 4, Chapter 4 provides direction and guidance on processing changes to an operator's certificate or operating authority. These changes can occur as a result of:

- Major Changes in Operating Authority
- Amendment, Surrender, Suspension, Revocation, and Replacement of Operating Certificates

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- Mergers and Acquisitions

**3.2.1.11. GACAR PART 129, OPERATIONS: FOREIGN AIR CARRIERS.** The GACA does not issue certificates to foreign air carriers. However, GACAR § 129.11, requires foreign air carriers operating to the Kingdom of Saudi Arabia (KSA) to obtain GACA issued authorizing documents. Volume 10 provides direction and guidance on the issuance and management of foreign air carrier authorizations and contains information on a GACA Inspector's authority and responsibilities with respect to foreign air carriers.

**3.2.1.13. CITIZENSHIP.** GACAR § 119.37 requires a commercial operator to be a citizen of the KSA. In addition, the operator must maintain a principal base of operations in the KSA, and obtain an Air Operator Certificate (AOC). A citizen of the KSA means:

- An individual who is a citizen of the KSA
- A partnership of which each member is such an individual
- A corporation or association created or organized under the laws of the KSA

**NOTE:** The GACA SS&AT Air Transport Department has the responsibility to determine compliance with the above cited citizenship requirements.

**3.2.1.15. ENVIRONMENTAL ASSESSMENTS.** Applicants need to ensure that they have obtained all of the necessary KSA environmental authorizations.

## THE VOLUME 3. AIR OPERATOR & AIR AGENCY - CERTIFICATION

### CHAPTER 2. GENERAL CERTIFICATION INFORMATION FOR AIR OPERATORS

#### Section 2. Types of Certificates, Kinds of Operations and Economic Authority

**3.2.2.1. PURPOSE.** This section provides direction and guidance for the issuance of air operator certificates and operating certificates.

**3.2.2.3. KINDS OF OPERATIONS.** General Authority of Civil Aviation Regulation (GACAR) Part 119 consolidates the certification and operations specifications (OpSpecs) required for persons who operate under:

**A. GACAR Part 121.** \*GACAR Part 121, Commercial Operations with the following categories of aircraft:

- Transport Category Airplanes
- Transport Category Rotorcraft
- Commuter Category Airplanes

**B. GACAR Part 135.** \*GACAR Part 135, Commercial Operations with the following categories of aircraft:

- Other than Transport Category Airplanes
- Other than Transport Category Rotorcraft
- Other than Commuter Category Airplanes

\* The above kinds of operations include: scheduled or unscheduled, and passenger-carrying or all-cargo.

**C. GACAR Part 125.** GACAR Part 125, Non-Commercial Operations with the following Saudi Arabia-registered aircraft:

- Transport Category Airplanes

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- Transport Category Rotorcraft
- Commuter Category Airplanes
- Turbojets

**D. Determination of Aircraft Category.** To determine the category in which an aircraft was type certificated, refer to the Federal Aviation Administration (FAA) type certificate data sheet (TCDS). On every FAA TCDS the aircraft certification category is always listed in the first line that identifies the aircraft model.

**E. Aerial Work Operations.** Aerial work operations (commercial and non-commercial) are a special type of air operations and the operators who perform these operations are not certificated under GACAR Part 119. Instead they are certificated and regulated under GACAR Part 133 See Volume 3, Chapter 5 for further details on certification of aerial work operators.

**F. Flight Training.** Pilot schools certificated under GACAR Part 141 and training centers certificated under GACAR Part 142 that operate transport category aircraft, commuter category airplanes or turbojets must operate these aircraft under GACAR Parts 121 or 125. Flight training operations using all other aircraft are permitted under GACAR Part 91.

**G. GACAR Part 91.** All other operations of Saudi Arabia registered aircraft in which persons or cargo are transported without compensation or hire are conducted under GACAR Part 91 and do not require the issuance of an operating certificate.

**3.2.2.5. TYPES OF CERTIFICATES UNDER GACAR PART 119.** There are two types of certificates issued to applicants who wish to receive a certificate under GACAR Part 119:

**A. An Air Operator Certificate (AOC).** This certificate is issued to applicants that plan to conduct commercial operations.

**B. An Operating Authorization (OA).** This certificate is issued to applicants that plan to conduct non-commercial operations.

**3.2.2.7. ECONOMIC AUTHORITY.** The provisions of the General Authority of Civil Aviation (GACA) Air Transport Regulations (formerly called the Economic Regulations) apply to any person

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desiring to provide scheduled or unscheduled air transportation services as specified within GACAR Part 119, within the Kingdom of Saudi Arabia (KSA) or between points in the KSA and an international destination. Economic authority is granted in accordance with the GACA Air Transport Regulations found on the GACA website at: <http://www.gaca.gov.sa>.

**NOTE:** It should be noted that the GACA Air Transport Regulations definitions and terminology are not identical to those contained in GACAR Part 119.

## THE VOLUME 3. AIR OPERATOR & AIR AGENCY - CERTIFICATION

### CHAPTER 2. GENERAL CERTIFICATION INFORMATION FOR AIR OPERATORS

#### Section 3. Company Designators and Call Signs

**3.2.3.1. GENERAL.** This section contains information, direction, and guidance to be used by aviation safety inspectors (Inspectors) when obtaining International Civil Aviation Organization (ICAO) company designators and telephony designators (call signs) for those operators who request or are required to obtain designators. Designators are used by commercial operators for Air Traffic Services (ATS) operations. Designators are also used in the aeronautical fixed telecommunications network (AFTN) system for identification, communication, and billing purposes. The AFTN system is an integrated, international system of aeronautical fixed circuits. The AFTN system provides the exchange of messages and flight plans between aeronautical and fixed stations within the network. The designators are assigned when the General Authority of Civil Aviation (GACA) determines that designators are advantageous and operationally appropriate to the Kingdom of Saudi Arabia (KSA) ATS system. A company designator and a telephony designator are assigned as a unit. The four types of designators are entitled and described as follows:

- The company designator (ICAO three-letter designator)
- The telephony designator (call sign)
- The special telephony designator (special handling)
- The local telephony designator (local visual flight rules (VFR) operations only)

**A. The Company Designator (ICAO Three-Letter Designator).** The ICAO company designator is a three-letter designator. The flight number serves as the aircraft identification in the ATS system. The designator serves as the aircraft identification for the ATS system in several situations. The authorized three-letter designator and flight/trip number are used instead of the aircraft registration number and may be used for the international telecommunications service when its use is advantageous for ATS and operational purposes. The company designator may be used to expedite the exchange of written and computerized air carrier information in both the domestic and international ATS system to access the stored flight plan program and provide ATS with a quick and accurate means of visual recognition.



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**B. The Telephony Designator (Call Sign).** The telephony designator call sign is usually assigned at the same time as the ICAO three-letter designator, and the call sign becomes the aircraft identification for air and ground communications with air traffic personnel. Usually, the company name or a pronounceable abbreviation of the company name is used in combination with ATS facilities and operating services. An example is “Saudia 411.” This designator replaces the standard “type/tail number” combination such as Beechcraft 398J. The telephony designator should be phonetically pronounceable in at least the English, French, or Spanish language. The name of the aircraft company, operating authority, or servicing organization should resemble the telephony designator, and the designator should not consist of more than two words and three syllables. An advantage of using telephony designators is the reduction of on line noise distractions that create similar sounding telephony designator confusion, expedite air and ground communication, provide easy auditory recognition, and reduce the potential for mistakes in verbal communication. A new or changed telephony designator must be included in the remarks section of the operator’s flight plans for at least 60 days following the new designator’s effective date.

**C. The Special Telephony Designator.** A special telephony designator may be temporarily authorized by GACA, in coordination with ICAO, only when its assignment will identify special handling by ATS. GACA may authorize the special designator for a commemorative flight, for a large number of aircraft participating in an organized race, for aircraft operating during an emergency or disaster, or for aircraft that need special handling for test purposes.

**D. The Local Telephony Designator.** A local telephony designator must be used only for communication with local aerodrome traffic control towers during VFR operations; they must not be used for filing flightplans.

**3.2.3.3. APPLICABILITY.** General Authority of Civil Aviation Regulations (GACARs) does not require that designators be obtained; however, designators may be required by the operator’s operations specifications (OpSpecs). The GACA may choose to assign a three-letter ICAO Company and Telephony designator for operations based on the number of scheduled flights. The final approval of the company designators and telephony designator is made by ICAO, who takes into consideration all designators approved throughout the world. The designator assignment is then administered by GACA. The final approval of the special telephony designator and local telephony designator is made by GACA after checking the requested area of operations for conflict.

**3.2.3.5. PROCEDURES FOR ASSIGNMENT OF DESIGNATORS.** All requests for designators are directly made by the company to the GACA. Final designator assignment is administered by



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GACA Safety, Security & Air Transport (S&AT). This office notifies the Kingdom of Saudi Arabia (KSA) Ministry of Communications and Information Technology that an assignment has been made.

**A. The Company Designator and the Telephony Designator.** Principal Operations Inspectors (POIs) must have the following information to determine eligibility for both the ICAO three-letter company designator and the telephony designator:

- The name and address of the operator
- The type of aircraft operation or service provided (a list of the operators served is required for service operations)
- The intended use of aeronautical fixed AFTN for international services or operations
- The number and type of AFTN messages handled daily
- A copy of the company or operator published flight schedule
- A copy of the GACA certificate which authorizes the company's operations and states the GACAR part under which operations are to be conducted
- Provision of at least five suggested three-letter designators and telephony designators, listed in their desired order

**B. Special Telephony Designator.** The following information must be submitted for the special telephony designator request:

- Type of flight
- Type of handling required
- Type and number of aircraft
- Routes and duration of operation

**C. Local Telephony Designator.** A letter of agreement that provides justification for obtaining the designator must be made between the local tower and the requesting company. The letter of agreement is reviewed by the applicable air traffic service, which adds its recommendations to

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the letter and forwards the agreement and accompanying recommendations to GACA. The GACA checks the area of operations for conflict and approves if there is no conflict of designators.

**3.2.3.7. EFFECTIVE DATE AND PUBLICATION.** The required administrative period for approval of a three-letter company and telephony designator is approximately 45 calendar-days. GACA establishes an effective date for the designator and enters it into the stored flight plan program. GACA advises the ATS facilities affected that the numbers will be published in ICAO document (ICAO Document 8585, Designators for Aircraft Operating Agencies, Aeronautical Authorities). Failure to submit the proper documentation may delay a designator assignment.

**3.2.3.9. CHANGES IN COMPANY STATUS AND CANCELLATION.** When an assigned three-letter company designator and/or telephony designator is no longer required, GACA must be notified by the company, in writing. Any designator that is released shall not be reassigned within 45 calendar-days. Notification of change or release may be made for the following reasons:

- Operations permanently suspended or canceled
- Change in the name, address, or physical location of the company
- Mergers and acquisitions that change or combine any company name holding more than one designator

**3.2.3.11. OTHER INFORMATION SOURCES.** Additional information on designators may be found in ICAO Doc. 8585, Designators for Aircraft Operating Agencies, Aeronautical Authorities and Services.

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### **CHAPTER 3. THE CERTIFICATION PROCESS FOR PART 121**

#### **Section 1. Phase 1 – Pre-Application**

##### **3.3.1.1. GACA ACTIVITY REPORT (GAR).**

A. 1202 (OP)

B. 3202 (AW)

##### **3.3.1.3. GENERAL.**

**A. Direction and Guidance.** This chapter provides direction and guidance on the certification process for General Authority of Civil Aviation Regulation (GACAR) Part 121 air operators. Under no circumstances will an applicant be certificated until the General Authority of Civil Aviation (GACA) is confident that the prospective certificate holder is capable of fulfilling the required responsibilities and is willing to comply with the GACARs. The certification process employs a Five Phase process that requires the completion of certain items prior to continuation and completion of the process. The GACAR Part 121 certification team should utilize the generic Five Phase process found in Volume 3, Chapter 1, The Generic Certification Process for Air Operators and Air Agencies.

**NOTE:** This process is in compliance with International Civil Aviation Organization (ICAO) Document 8335 and Document 8760.

**NOTE:** During the certification process, there will be parallel efforts that involve the formal acceptance of Safety Management Systems (SMS) in accordance with GACAR Part 5.

##### **3.3.1.5. INITIAL INQUIRIES OR REQUESTS.**

**A. Initial Inquiries.** Initial inquiries about certification or requests for application may come in various formats from individuals or organizations. These inquiries should be in the form of meetings with GACA personnel, which may include: Assistant President, Safety, Security and Air Transport Sector (AP), General Manager, Aviation Standards (GMAS); General Manager, Economic Evaluation Department (GMEE); General Manager, Safety & Risk Management

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Department (GMRM), Manager of Flight Operations (FO); and Manager of Airworthiness (AW).

**B. Preliminary Discussion.** At the initial inquiry meeting, the aviation safety inspector (Inspector) should briefly explain all of the requirements within the GACAR that the applicant must meet in the certification process. The applicant should be provided with an Initial Inquiry Data Sheet (IIDS) (Figure 3.3.1.1) and a Pre-Application Statement of Intent (PASI). In addition, the applicant should provide their contact information to the GACA and receive from GACA, the contact information of the GMEE, GMRM, FO and AW. The Inspector should ask the applicant to schedule an appointment for a pre-application meeting, allowing enough time for the applicant to thoroughly review and understand GACA requirements.

**NOTE:** The applicant should provide the IIDS & PASI to the GMAS, FO and AW, prior to the pre-application meeting. Upon receipt, these documents will be forwarded to the applicable Departments/Divisions for review.

**3.3.1.7. CERTIFICATION TEAM.** The Manager, Flight Operations Division (in coordination with the GMAS) will use the guidance found in Volume 3, Chapter 1, Section 1, paragraph 3.1.1.7 for the assignment, qualifications, duties and responsibilities of Inspectors on the certification team. The Inspector assigned as the Certification Project Manager (CPM) has the responsibility to complete the Air Operator Certification Job Aid (Figure 3.3.1.2). The CPM should send a notice to the applicant informing them of the certification team assignment (see Figure 3.3.1.3, CPM Designation)

**3.3.1.9. INITIAL CERTIFICATION TEAM BRIEFING.** A briefing of the certification team will be held prior to the pre-application meeting with the applicant. At this briefing, the team will review the applicants IIDS and PASI. In addition the following administrative activities will be conducted:

- Create a certification file in the Flight Operations Division information management system
- Ensure that the GMAS, FO, AW and all other team members have access rights
- Maintain hard copies of all official correspondence to/from applicant
- Inform other team members

### 3.3.11. PRE-APPLICATION MEETING.

**A. General.** In preparation for the meeting, the assigned CPM should remind the applicant that

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the applicant's 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. The CPM should discuss the certification process in depth. Emphasis should be placed on the expectations of the GACA, what the applicant should expect from the GACA, and the sequence of events. The applicant should be encouraged to ask questions during the discussion. The CPM should have all attendees sign the Attendance Roster (Figure 3.3.1.5, Attendance Roster).

**B. Verifying Information on the PASI.** The first item for discussion should be verification of the information on the PASI, 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 PASI. If the changes significantly affect the anticipated scope and/or type of operation, a copy of the revised PASI shall be forwarded to the GACA.

**C. Briefing of the Applicant.** 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 they understand the certification process using the Air Operator Certification Job Aid (Figure 3.3.1.2) as a guide to facilitate the discussion and to ensure that all elements of the certification process are covered. The applicant should be encouraged to ask questions about any area of the process not clearly understood. The CPM should provide the Pre-Application Checklist (PAC) (Figure 3.3.1.4, Pre-Application Checklist) to the applicant.

**D. Management Qualifications.** Management qualifications must be reviewed by the certification team to determine that there is a resume for each required management position and that these resumes 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 (ATP) certificate, 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.

**E. Informing the Applicant of Pertinent Regulations.** It is essential that the applicant understand which regulations are applicable to the proposed operation. The applicant should be advised to acquire and become familiar with the GACARs and other guidance pertinent to the proposed operation. 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

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soon as they become available.

**F. Economic Authority.** As stated in GACAR § 119.3(f), “...no person may operate as a commercial operator under this part without holding appropriate economic authority from the GACA”. The applicant should be advised that it is the applicant's responsibility to apply for and obtain the appropriate GACA economic authority and that the GACA will not issue the air operator certificate (AOC) or operations specifications (OpSpecs) until economic authority is obtained.

- 1) It is the responsibility of the applicant to submit the original application for economic authority to the Air Transport Department.
- 2) Prior to the Formal Application meeting the CPM should contact the Air Transport Department to check on the progress of the economic authority request.

### 3.3.1.13. INSTRUCTIONS TO THE APPLICANT ON THE FORMAL APPLICATION.

**A. Requesting the Formal Application.** The applicant shall be informed that the formal application must be submitted to the GACA at least 45 calendar days prior to the proposed formal application meeting to allow the GACA to prepare resources. After initial review, GACA will notify the applicant of its acceptance or rejection by letter within 5 working days. The applicant should be encouraged to submit the formal application as far in advance as possible of the intended starting date. The following documents must be submitted when requesting the formal meeting:

- Formal application letter
- Completed Management Qualification Summary and Quality Audit Forms (made available from GACA)
- List of proposed operations specifications (OpSpecs)
- An up to date Pre-Application Statement of Intent (PASI) if there have been any changes to the original PASI

**NOTE:** The CPM should inform the applicant that while GACA Inspectors will furnish informal guidance and advice during the preparation of required documents and manuals,

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the production of acceptable documents and manuals is solely the responsibility of the applicant.

**B. Formal Application Letter.** The formal application letter serves as the vehicle to transmit the package of documents required to be certificated. The CPM shall inform the applicant that the formal application must be 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. This letter must be signed by the owner when applying as an individual or sole proprietorship, all partners when applying as a partnership, or an authorized officer(s) when applying as an organization such as a company or a corporation. 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 (if applicable). Additionally, the letter will confirm the identity of key management personnel such as the accountable executive, director of operations, director of maintenance, chief pilot, and chief inspector. Note that additional management personnel are required for the Safety Management System (SMS). See Volume 2 of this eBook for full details on the SMS requirements and acceptance process.

**3.3.1.15. APPLICATION ATTACHMENTS.** In addition to the documents listed in paragraph 3.3.1.11 (A) above, the formal application letter must be accompanied with the attachments listed in the Pre-Application Checklist (Figure 3.3.1.4). The applicant must understand that this letter and these attachments will be the minimum information acceptable for meeting the requirements of the GACARs. Below is the guidance to be used when evaluating several of the key certification documents.

**A. Schedule of Events.** The applicant needs to understand that the schedule of events is a key document to be presented with the formal application. The schedule of events is a list of items, activities, programs, aircraft and/or facility acquisitions that the applicant must accomplish or make ready for GACA inspection before certification. 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. The applicant shall be informed that the schedule of events must be constructed in a logical and sequential manner. The schedule of events must also provide for a reasonable amount of time for the GACA to review and accept or approve each item or event, before scheduling other items or events that are dependent on such acceptance or approval. 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



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certification. The applicant should be advised that if deficiencies are detected during the review of manuals and other documents, they will be returned for amendment or correction. Such action may also cause additional delays in the certification process (see Figure 3.3.1.6, Schedule of Events).

**B. Company Manuals.** 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 organization, general policies, duties, responsibilities of personnel, operational control policy, and procedures. In practice, these manuals are often known as the Operations Manual (OM) and the Maintenance Manual (MM). The applicant's manuals, as required by GACAR § 121.139, must be completely developed at the time of formal application to satisfy the requirements of Phase 4 - Demonstration and Inspection. Note those additional manuals/documentation are required for the Safety Management System (SMS). See Volume 2 of this eBook for full details on the SMS documentation requirements.

**C. Company Training Curriculum.** The company training curriculum must be attached to the formal application. The company training curriculum must include at least the following curriculum segments for each applicable crew member or dispatcher position:

- Basic indoctrination training
- Emergency training
- Initial aircraft ground training
- Initial aircraft flight training

**D. Management Qualification Resumes.** This attachment shall include resumes that meet the requirements of GACAR § 121.45 and contain information on the qualifications, certificates, ratings, and experience of personnel selected for the following positions, or equivalent:

- Director of safety
- Director of operations
- Director of maintenance
- Chief pilot



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- Chief inspector

The evaluation of persons nominated for the management positions required under GACAR Part 121 is described in greater detail in Section 6 of this chapter of the handbook.

NOTE: Under GACAR Part 5 there are two additional required management positions for all air carriers operating under GACAR Part 121; the accountable executive and the management representative responsible for the Safety Management System. Consult GACAR Part 5 and Volume 2 of this handbook for further details on these two additional positions.

Variations to the types of positions or numbers of positions other than those listed in GACAR § 121.45 (a) may be approved for a particular operation if the applicant shows it can perform the operation with the highest degree of safety under the direction of fewer or different categories of management personnel due to:

- The kind of operation involved
- The number and type of aircraft used
- The area of operations

Section 6 of this handbook addresses the procedures to be followed for requests for relief made under GACAR § 121.49(c).

**E. Documents of Purchase, Contracts, and Leases.** 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. These documents should provide evidence that the applicant is, in good faith, committed to making arrangement for aircraft, supporting facilities, and services as necessary for the proposed operation. Examples of the types of equipment, facilities, and services that should be addressed in these documents, contracts, or leases include the following:

- Aircraft
- Station facilities and services
- Weather and Notices to Airmen (NOTAM) gathering facilities and services

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- Communications facilities and service
- Maintenance facilities and service
- Aeronautical charts and related publications
- Aerodrome analysis and obstruction data
- Contract training or facilities

### **F. Compliance Statement.**

1) Preparation of the compliance statement benefits the applicant by systematically ensuring that all applicable regulatory aspects are appropriately addressed during the certification process. The compliance statement shall be in the form of a complete listing of all appropriate GACAR parts (for example, GACAR Part 5, 7, 91, 109, 117, 119 and 121) pertinent to the operation the applicant is proposing. This list should reference any applicable subpart and each relevant section of the subpart. 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 (see Figure 3.3.1.7, Compliance Statement). This statement also serves as a master index to the applicant's manual system to expedite the GACA's review and approval of the operation and manual system. 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.

2) Where the compliance information has been developed (for example, the manual material submitted with the formal application), a manual reference or description of the method of compliance must be entered next to the applicable regulatory section.

3) The list of the specific regulations and subparts, including all subparagraphs, may be presented in the manner of one of the examples described in Figure 3.3.1.7, Compliance Statement.

**3.3.1.17. CONCLUSION OF PRE-APPLICATION MEETING.** The CPM must ensure that 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. In addition the

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Certification Team should conduct an initial review of the applicant's submission and verify that content is sufficient to conduct a formal application meeting using the Initial Review Instructions found in Figure 3.3.1.8, Initial Review Instructions.

**A. Applicant is Adequately Prepared.** At the close of the pre-application meeting, the Certification Team should determine whether the applicant is prepared to proceed with the certification process. If it appears that the applicant understands the requirements of a formal application and will proceed to that phase, the CPM should encourage the applicant to informally coordinate required documents as they are developed with the certification team before submission of the formal application.

**B. Applicant is Not Prepared.** If it is evident that the applicant is not adequately prepared to proceed with the certification process, the CPM should advise the applicant of the reasons for concern. When it is apparent that the applicant will not be able to prepare an adequate formal application, the CPM should advise the applicant to request another pre-application meeting after more complete preparation on the applicant's part. It is appropriate for the CPM to recommend to the applicant one or more of the following actions:

- A more thorough review of the applicable regulations
- Changes in proposed key management personnel
- Retain the services of a professional aviation consultant
- Cease efforts to become GACA certificated

**3.3.1.19. TERMINATION OF THE PREAPPLICATION PROCESS.** If at any time during the pre-application phase the applicant formally terminates all efforts toward certification, or the GACA determines that the applicant will not proceed with the certification process, the PASI will be returned to the applicant. The GACA will notify the applicant in writing that this action terminates the pre-application process and that the applicant must submit a new PASI in order to initiate the certification process again. The General Manager, Aviation Safety Standards must be notified of any certification project that is terminated.

**Figure 3.3.1.1. Initial Inquiry Data Sheet**

### Initial Inquiry Data Sheet (IIDS)

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**Part I: General**

Date of inquiry: \_\_\_\_\_

SS&AT Point of Contact: General Manager, Aviation Safety Standards Department

Office: +966 (0) 2 685 XXXX Fax: +966 (0) 2 685 XXXX e-mail: XXXXX@gaca.gov.sa

A. Name of Proposed Operator: \_\_\_\_\_

B. Proposed Operations Base: \_\_\_\_\_

C. Proposed Maintenance Base: \_\_\_\_\_

D. Proposed Aircraft type(s) and number of aircraft: \_\_\_\_\_

E. Proposed Major Routes: \_\_\_\_\_

F. Proposed type of operation: (Check Box(es) below)

☐ Scheduled ☐ Nonscheduled ☐ Passengers ☐ Cargo

G. Special Issues: (Select)

\_\_\_\_\_ Fatigue Risk Management Program (FRMS) – optional under GACAR Part 5

\_\_\_\_\_ Flight Data Analysis Program – required under GACAR Part 5 for certain airplanes

\_\_\_\_\_ ETOPS

\_\_\_\_\_ Transportation of Dangerous Goods (TDG)

\_\_\_\_\_ RVSM

\_\_\_\_\_ MNPS

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\_\_\_\_\_Performance Based Navigation (PBN)

\_\_\_\_\_Low Visibility Operations (LVO)

\_\_\_\_\_REMS

\_\_\_\_\_NVIS

\_\_\_\_\_EFB

H. Maintenance performed by: ☐ Operator ☐ Contractor ☐ Mix (Explain Below)

\_\_\_\_\_

I. Operations Training by: (Tick Box(es) Below and provide brief description)

☐ The Carrier ☐ Another 121 Carrier ☐ Training Center/Organization

\_\_\_\_\_

J. Type of Ownership: ☐ Corporate ☐ Partnership ☐ Sole Proprietor

K. Applicant Point of Contact (POC): \_\_\_\_\_

## PART II: READINESS

### Aircraft:

A. Do you have a particular aircraft identified? We require a specific aircraft make and model to be identified so we can focus on the appropriate regulatory requirements. Changing aircraft types during the certification process will delay your progress significantly.

B. What aircraft have you contracted for? \_\_\_\_\_

C. Will you be leasing or buying your aircraft? \_\_\_\_\_

D. Be specific on make/Model & Serial #. \_\_\_\_\_

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**OPERATIONS:**

A. Will you have a centralized dispatch? [ ] Yes [ ] N/A

B. Where will it be located? \_\_\_\_\_

C. Will this be the location of your dispatch records? [ ] YES

If not, where will they be located? \_\_\_\_\_

D. Principal Maintenance Base (PMB) Location: \_\_\_\_\_

1 How much maintenance will you do at your PMB? \_\_\_\_\_

2 How much maintenance will you contract out? \_\_\_\_\_

3 Do you have the contracts available? \_\_\_\_\_

4 What line stations will you have? \_\_\_\_\_

5 What will their capabilities be? \_\_\_\_\_

**PERSONNEL:**

Do you have sufficient Management personnel that understand Air Carrier Operations?

You **must** have the following personnel in place for the required Management Positions. They **MUST** attend the Pre-Application Meeting and the Formal Application Meeting.

Director of Safety: \_\_\_\_\_

Director of Operations: \_\_\_\_\_

Director of Maintenance: \_\_\_\_\_

Chief Pilot: \_\_\_\_\_

Chief Inspector: \_\_\_\_\_

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SMS Representative (GACAR Part 5): \_\_\_\_\_

If not how will you assure the integrity of the safety program you establish?

\_\_\_\_\_

Those selected for the required management positions must be fully trained and meet all qualification standards. Our experience has demonstrated that those with minimal qualifications have a difficult time preparing a viable organization.

Prior to beginning Proving Tests those selected for the required management positions must be full time employees of your organization. This means they are available a minimum of 40 hours per week with no collateral duties.

In addition to the required management positions we recommend you have a:

Chief Cabin Crew Member (Director of In-Flight) \_\_\_\_\_

Director of Quality Assurance \_\_\_\_\_

Director of Training \_\_\_\_\_

Dispatch Manager \_\_\_\_\_

### **PART III: GROUNDWORK AND INTENTIONS**

A. Will you contract out the writing of your manuals?

1 Which manuals will you contract? \_\_\_\_\_

2 Who is the contractor and who will be your company liaison to assure your company is represented in what is written? \_\_\_\_\_

### **NOTE:**

We have found that organizations that relinquish control of their manuals to a professional manual writer are unable to meet the regulatory requirement that the management personnel know what is in the manuals. You can expect us to ask your management personnel to show us what is in the manual

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and how it complies with the regulations.

How will you coordinate the different aspects of the manual system to assure there are no contradictions between the different groups?

A typical manual system includes, but is not limited to, the following:

- Safety Management Manual
- Operations Manual (OM)
- Maintenance Manual (MM)
- Aircraft Operating Manual (AOM)
- Training Program
- Flight Data Analysis Program (if applicable)
- Fatigue Risk Management System Manual (if applicable)
- Winter Operations Manual (to include deicing program)
- Cabin Crew Member Manual (CCMM)
- Dispatch Manual
- Station Operations Manual
- Carry-on Baggage Program
- Aircraft Checklists (Normal, Abnormal, and Emergency)
- Company Emergency Manual
- Aerodrome Data and Enroute Manual
- Minimum Equipment List (MEL)



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- Configuration Deviation List (CDL)
- Maintenance Technical Manuals i.e. Airframe powerplant, Structural Repair, Parts Catalogue, Inspection Procedures, Manufacturer's or Vendors Manual, Wiring Manual, and Overhaul Manual
- Fueling/Refueling/Defueling Manual
- Ground Servicing Manual
- Mass and Balance Control Program
- Dangerous Goods Training and/or Recognition Program
- Security Program
- Continuous Analysis and Surveillance Program
- Exit Seating Program

B. Will you contract the training of your pilots or other personnel? If so, with who and what is the nature of the relationship? \_\_\_\_\_

### **PART IV: SAFETY MANAGEMENT SYSTEMS (SMS)**

The applicant has complied with all Safety Management Systems requirements of GACAR Part 5.  
\_\_\_\_ Yes \_\_\_\_ No

### **PART V: AUTOMATION CAPABILITIES**

### **PART VI: PROPOSED SCHEDULE OF EVENTS:**

1 Pre-Application Meeting: \_\_\_\_\_

2 Completion of Manuals: \_\_\_\_\_

3 Formal Application Meeting: \_\_\_\_\_

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4 Proving Tests: \_\_\_\_\_

5 Proposed start-up date: \_\_\_\_\_

As an air operator you are required to operate at the highest level of safety. By signing this document you signify your understanding of the risks and obligations incurred in pursuing an air operator certificate.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Upon completion of this form forward or Fax this form, the completed PASI and a copy of your application for economic authority, to the GM, Aviation Safety Standards Department .

It is the responsibility of the applicant to submit the original application for economic authority to the Economic Evaluation Department.

**Figure 3.3.1.2. Air Operator Certification Job Aid**

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AIR OPERATOR CERTIFICATION JOB AID						
<b>Air Operator Name:</b>			<b>Location address:</b>			
<b>Mailing address (if different from location):</b>			<b>File Location:</b>			
<b>I. PRE-APPLICATION PHASE:</b>			<b>Inspector Initials</b>	<b>Date Received/ Accomplished</b>	<b>Date Returned For Changes</b>	<b>Reference</b>
<b>A. INITIAL ORIENTATION:</b>						
<b>Inspector Name:</b>						
1. BRIEF PRESENTATION.						
2. PRE-APPLICATION STATEMENT OF INTENT (PASI) FORM PROVIDED TO APPLICANT.						
3. COMPLETED PRE-APPLICATION STATEMENT OF INTENT (PASI) FORWARDED TO F.S. D.						
<b>B. DESIGNATED CERTIFICATION TEAM:</b> <i>(at least one operations and one airworthiness, and, if available)</i>						
<b>Name</b>		<b>Specialty</b>				
<b>C. CONDUCT PRE-APPLICATION MEETING:</b>						
1.	VERIFY PASI INFORMATION.					
2.	OVERVIEW OF CERTIFICATION PROCESS.					
3.	PROVIDE CERTIFICATION PACKAGE:					
	a. Air Operator Certification Job Aid					
	b. Schedule of Events					
	c. Operations Specifications data sheet					
	d. Other Applicable Publications and Documents.					
4.	EXPLAIN FORMAL APPLICATION SUBMISSIONS.					
<b>REMARKS:</b>						

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AIR OPERATOR CERTIFICATION JOB AID					
II. FORMAL APPLICATION PHASE		Inspector Initials	Date Received/ Accomplished	Date Returned For Changes	Reference
<b>A. REVIEW APPLICANT'S SUBMISSION</b>					
<b>1. FORMAL APPLICATION LETTER</b>					
a. Full and official name (legal)					
b. Mailing address					
c. Primary operating location					
d. Name and address of applicants agent for service					
e. Key Management Personnel Names					
<b>2. FORMAL APPLICATION ATTACHMENTS</b>					
a. Schedule of events					
b. Initial Compliance Statement					
c. Company manuals (Operations and Maintenance)					
d. Initial new hire training curriculums: (Crew members & Dispatchers ) Basic Indoctrination Emergency Training Ground & Flight Training					
e. Management qualification resumes.					
f. Doc's of purchase/contract/lease/letters of intent					
<b>B. Evaluate GACA-S&amp;ER resource capability based on schedule of events</b>					
<b>REMARKS</b>					
<b>C. FORMAL APPLICATION MEETING</b>					
1	Schedule Meeting				
2	Date:                      Time:				
3	Discuss Each Submission				
4	Resolve Discrepancies/Open Items				
5	Review Certification Process				
6	Review Impact if Schedule of Events Not Met				
<b>D. ISSUE LETTER ACCEPTING/REJECTING</b>					
<b>REMARKS</b>					

EBOOK VOLUME 3. AIR OPERATOR & AIR AGENCY - CERTIFICATION

AIR OPERATOR CERTIFICATION JOB AID				
III. DOCUMENT COMPLIANCE PHASE	Insp. Initials	Date Received/ Accomplished	DATE RETURNED FOR CHANGES	Reference
<b>A. EVALUATE APPLICABLE TRAINING PROGRAMS</b>				
<b>1. TRAINING CURRICULUMS</b>				
a. Basic Indoctrination				
b. Emergency Training				
c. Ground Training (Handling/Servicing/Deicing)				
d. Flight Training				
e. Recurrent Training				
f. Transition/Upgrade Training				
g. Differences Training				
h. Security				
i. Dangerous Goods				
j. Check Pilot/Flight Instructor				
k. Maintenance Personnel				
l. Inspection Personnel				
<b>2. DISPATCHER TRAINING</b>				
REMARKS:				
<b>B. EVALUATE MANAGEMENT QUALIFICATIONS</b>				
1. Chief Pilot				
2. Director of Operations				
3. Director of Maintenance				
4. Chief Inspector				
5. Director of Safety				
REMARKS:				

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AIR OPERATOR CERTIFICATION JOB AID				
III. DOCUMENT COMPLIANCE PHASE ( CONTINUED)	INSP. INITIAL	DATE RECEIVED/ ACCOMPLISHED	DATE RETURNED FOR CHANGES	REFERENCE
<b>C. EVALUATE APPLICABLE MANUALS</b>				
1. COMPLETED OPERATIONS MANUAL				
a. Exit Seat Program				
b. Carry-on Baggage Program				
2. COMPLETED MAINTENANCE MANUAL				
3. APPROVED AIRCRAFT FLIGHT MANUAL				
4. COMPANY AIRCRAFT OPERATIONS				
5. AIRCRAFT CHECKLISTS:				
a. Normal				
b. Abnormal				
c. Emergency				
6. CABIN CREW MEMBER MANUAL				
7. DISPATCHER/FLIGHT				
8. STATION OPERATIONS				
9. COMPANY EMERGENCY MANUAL				
10. AERODROME DATA & EN ROUTE MANUAL (Charts and plates)				
11. AERODROME/RUNWAY/ANALYSIS				
12. MINIMUM EQUIPMENT LIST (MEL)				
13. CONFIGURATION DEVIATION LIST (CDL)				
14. MAINTENANCE TECHNICAL MANUALS:				
a. Airframe/Powerplant				
b. Structural Repair				
c. Parts Catalogue				
d. Inspection Procedures				
e. Manufacturer's or Vendor's Manual				
f. Wiring Manual				
g. Overhaul Manual				
15. FUELING/REFUELING/DEFUELING				
16. GROUND SERVICING MANUAL				
17. MASS AND BALANCE CONTROL PROGRAM				
18. DANGEROUS GOODS (TDG)				
19. SECURITY				
20. RELIABILITY PROGRAM				
21. FLIGHT DATA ANALYSIS PROGRAM				
22. FATIGUE RISK MANAGEMENT SYSTEM (FRMS)(optional)				
<b>REMARKS:</b>				

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AIR OPERATOR CERTIFICATION JOB AID				
III. DOCUMENT COMPLIANCE PHASE (CONTINUED)	INSP. INITIAL	DATE RECEIVED/ ACCOMPLISHED	DATE RETURNED FOR CHANGES	REFERENCE
<b>EVALUATE APPLICABLE MANUALS (CONTINUED)</b>				
23. CONTINUOUS AIRWORTHINESS MAINT. PROGRAM (including maintenance schedules for each aircraft type)				
24. EMERGENCY PLAN/NOTIFICATION				
25. PASSENGER BRIEFING CARDS				
<b>D. OTHER VALUATIONS:</b>				
1. AIRCRAFT LEASES				
2. MAINTENANCE CONTRACTS/AGREEMENTS				
3. SERVICING CONTRACTS/AGREEMENTS				
4. EXEMPTION/DEVIATION REQUESTS / JUSTIFICATION				
5. EMERGENCY EVACUATION DEMONSTRATION PLAN				
6. AIRCRAFT PROOFING TEST PLAN				
7. PROBLEMATIC USE OF PSYCHOACTIVE SUBSTANCES PROGRAM				
8. FINAL COMPLIANCE STATEMENT				
9. INITIATE OPSPECS PREPARATION DATA SHEET				
10. TRAINING CONTRACTS				
11. DEICING/ANTIICING				
12. EXIT ROW SEATING				
13.				
14.				
<b>REMARKS</b>				

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AIR OPERATOR CERTIFICATION JOB AID				
IV. DEMONSTRATION & INSPECTION PHASE	INSP. INITIAL.	DATE RECEIVED/ ACCOMPLISHED	DATE RETURNED FOR CHANGES	REFERENCE
<b>A. EVALUATE APPLICANT CONDUCTING TRAINING</b>				
1. TRAINING FACILITIES				
2. TRAINING SCHEDULES				
3. FLIGHT CREW MEMBER TRAINING EVALUATION:				
a. Basic Indoctrination				
b. Emergency Training				
c. Ground Training				
d. Flight Training				
e. Differences Training				
4. CHECK PILOT/INSTRUCTOR				
5. CABIN CREW MEMBERS:				
a. Basic Indoctrination				
b. Emergency Training				
c. Ground Training				
6. DISPATCHER/FLIGHT				
7. DANGEROUS GOODS				
8. SECURITY TRAINING				
9. MAINTENANCE TRAINING:				
a. Mechanics/Repairmen				
b. Inspection Personnel				
c. Ground Handling/Service				
d. Station Personnel				
<b>REMARKS:</b>				
<b>B. AIRMEN TESTING/CERTIFICATION</b>				
1. PILOTS				
2. FLIGHT ENGINEERS				
3. DISPATCHERS				
<b>REMARKS:</b>				



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AIR OPERATOR CERTIFICATION JOB AID				
IV. DEMONSTRATION & INSPECTION PHASE (CONTINUED)	INSP. INITIAL	DATE RECEIVED/ ACCOMPLISH ED	DATE RETURNED FOR CHANGES	REFERENCE
<b>C. AIRCRAFT CONFORMITY INSPECTION</b>				
<b>D. MAIN OPERATIONS BASE</b>				
<b>E. MAIN MAINTENANCE BASE</b>				
<b>F. LINE/STATION FACILITIES</b>				
<b>G. DISPATCH FACILITIES</b>				
<b>H. RECORD KEEPING:</b>				
1. Crew Member:				
a. Training				
b. Flight & Rest Times				
c. Qualification				
<b>I. MAINTENANCE:</b>				
1. Aircraft Records				
2. Personnel Training				
3. Inspector Training/Qualification				
4. Personnel Duty Time Limitations				
<b>J. FLIGHT/TRIP RECORDS</b>				
<b>K. EMERGENCY EVACUATION</b>				
<b>L. DITCHING DEMONSTRATION</b>				
<b>M. AIRCRAFT PROVING TEST</b>				
<b>REMARKS:</b>				

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AIR OPERATOR CERTIFICATION JOB AID				
V. CERTIFICATION PHASE	INSPECTION INITIAL	DATE RECEIVED/ ACCOMPLISHED	DATE RETURNED FOR CHANGES	REFERENCE
<b>A. APPROVE OPERATIONS</b>				
<b>B. PRESENT CERTIFICATE &amp; OPSPECS TO CERTIFICATE HOLDER</b>				
REMARKS:				
<b>C. PREPARE CERTIFICATION REPORT</b>				
<b>1. ASSEMBLE REPORT:</b>				
a. Pre-application Statement of Intent				
b. Certification Job Aid				
c. Formal Application Letter				
d. Schedule of Events				
e. Final Compliance Statement				
f. Proving Test Evaluation Report				
g. Emergency Evacuation Demonstration				
h. Copy of Operations Specification				
i. Copy of Certificate				
j. Summary of Difficulties				
k. Suggestions to Improve Certification				
<b>2. DISTRIBUTE REPORT</b>				
REMARKS:				
<b>D. DEVELOP POST CERTIFICATION SURVEILLANCE PLANS</b>				

Figure 3.3.1.3. CPM Designation

**CPM Designation-Notification to the Applicant**

Dear \_\_\_\_\_

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Please be advised that \_\_\_\_\_ has been designated as the Certification Project Manager (CPM) for the process of your Air Operator Certification project.

\_\_\_\_\_ will be GACA's point of contact for all aspects of the certification project.

All coordination and correspondence should be addressed to him. He may be reached at:

Telephone: \_\_\_\_\_

Fax. \_\_\_\_\_

Email: \_\_\_\_\_

The CPM will contact you to schedule an initial briefing presentation at the GACA SS&AT office in Jeddah. Please ensure that your key management will attend the meeting.

We recommend that you prepare a presentation to GACA that addresses:

- Type of intended operation
- Intended Make/Model/Series and number of aircraft
- Intended route structure/area of operation
- Proposed start of operations
- Principal base of operations
- Your expectations from the GACA

We also recommend that you coordinate with the CPM on any special issues you may wish to discuss at the meeting.

### Figure 3.3.1.4. Pre-Application Checklist

#### PRE-APPLICATION CHECKLIST

<b>Management Preparation</b>
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Event Description	Verified by:	Date
Review Certification Process Document		
<b>Documentation Required at Formal Application</b>		
Document/Manual	Verified by:	Date
Formal Application Letter		
Revised the PASI		
Corporate Documents		
List of Proposed OpSpecs Paragraphs		
Deviation and/or Exemption Requests		
Proposed Schedule of Events		
Status of SMS		
Compliance Statement		
Company Manuals and Programs		
Initial Cadre Check Pilot Training Program		
Facility Lease Agreements or Proof of Ownership		
Outsourcing Contractual Agreements		
Aircraft Lease or Proof of Ownership		
Current Aircraft Equipment List		
Layout of Passenger Accommodations (for each passenger configuration of each aircraft type)		
Aircraft Information Form		
Status of Economic Authority Request		

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Status of Dangerous Goods Procedures Manual and Training Program		
Status of Problematic Use of Psychoactive Substances Program		
Status of Security Program		
<b>Required Management Personnel, Qualification Summary and Quality Audit Forms</b>		
<b>Management Position <sup>3</sup></b>	<b>Verified by: Name, Title/Signature</b>	<b>Date</b>
Director of Safety		
Director of Maintenance		
Director of Operations		
Chief Pilot		
Chief Inspector		

*Instructions*

1. A member of the company's management team must verify by name, title, signature, and date of verification that each element contained in the Pre-application Checklist (PAC) has been accomplished and/or submitted for formal application.
2. A member of the company's management team must verify that each person filling a required management position completes the Qualification Summary Form. The Qualification Summary and Quality Audit Forms are hyperlinked from the PAC.
3. Indicate in the formal application letter whether the Pre-application Statement of Intent and Schedule of Events are original or updated.
4. Include as part of the formal application letter each lease agreement, letter of intent, or proof of ownership of an aircraft to be entered into the operations specifications.

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5. Include an engineering diagram of the aircraft cabin interior (Layout of Passenger Accommodations (LOPA)) that includes but is not limited to locations of passenger and cabin crew member seats, emergency equipment, exits, lavatories, and galleys. A LOPA may not be required if applying for an all cargo operation.
6. Include in the formal application package all contractual agreements for outsourcing (maintenance, training, operations, etc.).
7. Include all manuals and programs required by GACA Parts 5, 109 and 121 as part of the formal application package. Identify each manual and program submitted by using the same naming or numbering convention used to develop the manual and program.

**Figure 3.3.1.5. Attendance Roster**

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**ATTENDANCE ROSTER**

**Type of Meeting**

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**Organization:**

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**Organizational Address:**

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**Location:**

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Name	Title or Position	Phone Number	E-mail Address

**Figure 3.3.1.6. Schedule of Events**

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### Schedule of Events (SOE)

Name of Applicant:		Date:
Events	Date Proposed	Date Accomplished
<b>Phase 2—Formal Application</b>		
Submit Application Package		
Formal Application Meeting		
<b>Phase 3 – Document Compliance</b>		
Receive initial approval for Initial Cadre Check Pilot (ICCP) training		
Begin ICCP training		
All manuals approved/accepted		
<b>Pilot Training</b>		
Begin Instructor Training		
Begin Basic Indoctrination		
Begin Emergency Training		
Begin Aircraft Ground Training		
Begin Simulator/Aircraft Training		
Begin Check Pilot Training		
<b>Cabin Crew Member Training</b>		
Begin Instructor Training		
Begin Basic Indoctrination		
Begin Emergency Training		
Begin Aircraft Ground Training		
Begin Competency Check Supervisor Training		
<b>Dispatch Training</b>		
Begin Instructor Training		
Begin Basic Indoctrination		
Begin Aircraft Ground Training		
Begin Competency Check Supervisor Training		
Begin Competency Checks		
<b>Maintenance Training</b>		
Begin Instructor Training		
Begin Basic Indoctrination		
Begin Aircraft Ground Training		
Begin Maintenance Inspector Training (RII)		
Training completed for Phase 3 participants		
<b>Phase 4—Demonstration &amp; Inspection</b>		
Submit Operational Readiness Results		
Submit emergency evacuation and ditching plan (as required)		
Submit proving test plan		
Submit completed aircraft conformity documentation		
Aircraft ready for GACA Conformity Evaluation		
Tabletop Exercise		
Evacuation/ditching demonstration		
Proving Tests		
Finish Proving Tests		

Figure 3.3.1.7. Compliance Statement

## COMPLIANCE STATEMENT

### Introduction



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Preparation of the Compliance Statement benefits the applicant by systematically ensuring that all applicable specific regulatory requirements (SRR's) are appropriately addressed during the certification process. The Compliance Statement also serves as a master index to the applicant's manual system. The Compliance Statement is an important source document and serves as the applicant's "roadmap of compliance" during the initial certification process as well as after the certificate is granted. It is a "living document" that may be modified during Phase-4 of the certification process. Once the certification process is completed, the applicant should continue to keep the Compliance Statement current as changes are incorporated into their manual system. A properly constructed Compliance Statement will expedite the GACA's review and approval of the applicant's operation and manual system.

### **How to Assemble a Compliance Statement**

The Compliance Statement shall be in the form of a complete listing of all sections of GACA Parts 5, 109, 119 & 121 pertinent to the operation the applicant is proposing.

This list should reference each applicable subpart, such as "Subpart D-Manual Requirements", each applicable regulation, such as "GACAR § 121.139 Preparation" and list each relevant SRR contained within each regulation, such as "GACAR §§ 121.139(a) and 121.139(b), etc." Next to each SRR, the applicant must provide all references developed in any pertinent manual (or other document, such as a passenger safety information card) within its manual system that contains the method, or methods, of compliance. The location of each reference should be as specific as possible and should contain the name of the manual, chapter, section and paragraph number(s). Using manual page numbers in the Compliance Statement may produce inaccurate reference locations due to repagination problems.

There may be multiple reference locations for one SRR found within one manual, or there may be multiple reference locations found in several different volumes. It is not acceptable to enter references such as "ABC Airlines will comply with this requirement", "ABC Airlines understands this regulation and will comply" or "Noted." SRR's that do not apply to the applicant's proposed operation may be referenced with "Not applicable."

### **NOTE**

As mentioned above, it is the responsibility of the applicant to submit an accurate list of SRRs from all other applicable regulatory references in GACAR Parts 5, 7, 91, 109, 117, 119 and 121.

### **Examples:**

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It is recommended that the COMPLIANCE STATEMENT be prepared similar to the examples that follow.

**Example 1: Compliance Statement Table Format**

Regulation	Title	Manual Reference
§ 121.1037(a)	Aircraft Dispatcher Duty Time Limitations	OM, page 37-5, paragraph 35
§ 121.1037(b)	“ “	OM, page 37-6, paragraph 37

**Example 2: Sample references for GACAR § 121.789(a) SRR compliance:**

§ 121.789 Operating Experience, Operating Cycles, and Consolidation of Knowledge and Skills.

1. OM, Chapter 2, Section 2.01(D)

Training Manual, Chapter 4, Sections 4.20(A) and 4.21(B1)

a. OM, Chapter 2, Section 2.11(E)

Training Manual, Chapter 4, Sections 4.20(B) and 4.21(F)

b. OM, Chapter 2, Section 2.09(F); Chapter 3, Section 3.10 (C2a)

Training Manual, Chapter 4, Section 4.21(H)

c. Training Manual, Chapter 4, Section 4.21(J)

**Figure 3.3.1.8. Initial Review Instructions**

**INITIAL REVIEW INSTRUCTIONS**

**Purpose:** The purpose of the initial review is to determine the quality of applicant's application package.

**Procedure:**

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### 1. CPM will:

- a. Verify that all PAC documents have been submitted.
- b. Verify that all manuals required to conduct the certification are available to the CPT.
- c. Verify the compliance statement includes applicable GACAR Part 5, 7, 91, 109, 117, 119 and 121 rules.

### **Evaluation Criteria:**

- The system design must not include unacceptable safety issues
- One hundred percent of the documents required by the Pre-Application Checklist (PAC) must have been submitted
- The compliance statement must accurately list at least 90 percent of the Part 5, 7, 91, 109, 117, 119 and 121 rules that apply to the applicant
- The CPM should collect the results and store them in the applicant's certification file

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### **CHAPTER 3. THE CERTIFICATION PROCESS FOR PART 121**

#### **Section 2. Phase 2 – Formal Application**

**3.3.2.1. RECEIPT OF FORMAL APPLICATION.** When the formal application is received, the applicant should be informed that the General Authority of Civil Aviation (GACA) will need five (5) working days to review the submission.

**3.3.2.3. INITIAL REVIEW OF THE FORMAL APPLICATION.** The Certification Project Manager (CPM) will notify the applicant of the results informally, followed by prompt written notification of acceptance or rejection of the formal application. The CPM shall document both of these contacts with the applicant in the GACA Activity Report (GAR). The initial review serves the following two purposes:

**A.** It verifies that at least those items required for formal application have been submitted. The required items are as follows:

- 1) The application must contain the formal letter requesting certification, which includes the information described in Section 1, paragraph 3.3.1.11 of this chapter.
- 2) The application must contain the required formal attachments described in Section 1, paragraph 3.3.1.13 of this chapter. These requirements are listed in the Figure 3.3.1.2, Air Operator Certification Job Aid.

**NOTE:** 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 (see Figure 3.3.2.1, Rejection of Formal Application-Missing or Incomplete Documents). The decision should be coordinated with the Manager of Flight Operations (FO), Manager of Airworthiness (AW) and the General Manager, Aviation Safety Standards (GMAS). If termination is recommended, the Assistant President (AP) of SS&AT shall be consulted and GACA President shall be informed.

**B.** The initial review also permits a determination of whether the submitted material represents a feasible proposal and is of sufficient quality to allow for a productive formal application meeting

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and to proceed with the certification process. The following paragraphs are provided as direction and guidance for this initial review.

**3.3.2.5. SCHEDULE OF EVENTS ATTACHMENT.** The Schedule of Events (Figure 3.3.1.5) is a list of each major item, activity, program, aircraft and/or facility acquisition. It also sets milestones for accomplishment or submission of the listed 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 with respect to the following criteria:

- Logic of sequence
- Timeliness of events
- Completeness of events
- Inspector or other GACA resource availability

**A. Logic of Sequence.** Many activities and events listed in the schedule must occur before other activities and events. For example, aircraft systems training cannot begin until the GACA-approved flight manual is available or the company aircraft operating manual has been reviewed and accepted/approved; the aircraft conformity inspection must be completed before the emergency evacuation demonstration. The team should use the Air Operator Certification Job Aid (Figure 3.3.1.2) as a tool to ensure that the applicant's proposed schedule of events is logical in terms of event sequence.

**B. 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.

**C. 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. Specific manuals and other documents that are required for a particular type of applicant are annotated in the schedule of events and the certification job aid. The CPM should use the job aid to ensure that all required manuals and documents have been included in the

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schedule of events.

**D. Inspector or Other GACA Resource Availability.** Availability and capability of personnel resources is another element of concern when determining whether a schedule of events can be met. The CPM must determine, for example, that appropriately qualified Inspectors are available for the conduct of extensive manual reviews consistent with the proposed schedule of events. Also, the CPM must ascertain the qualifications of the available Inspectors with respect to the proposed operation. The CPM will also coordinate participation by other resources, such as security, as required.

**3.3.2.7. COMPANY GENERAL MANUAL ATTACHMENTS.** The CPM must give the company operation and maintenance manual attachments a cursory review, first to determine that the type of information described in Section 1, paragraph 3.3.1.13 (B) has been submitted. Second, the CPM must determine that the overall content and scope of the manual material indicates that the applicant is proceeding in an appropriate manner and in compliance with the regulations. These completed manual submissions provide early indications of the quality of the applicant's manual program. An in-depth review and evaluation and the acceptance, approval, or rejection of the manual will be accomplished in the document compliance phase.

**3.3.2.9. COMPANY TRAINING CURRICULUM ATTACHMENTS.** The CPM must review the training curriculum attachments to determine that each of the four curriculum segments listed in Section 1, paragraph 3.3.1.13 (C) have been submitted for each applicable crew member or dispatcher position. Each curriculum must be reviewed to determine that basic regulatory requirements are being met and that the applicant is proceeding in an appropriate manner with the development of the applicant's training programs. A detailed review and initial approval of the training curriculums will be accomplished in the document compliance phase after the applicant has finalized all training arrangements, including instructor lesson plans. The applicant may not start training in a curriculum until that curriculum has been initially approved.

**3.3.2.11. MANAGEMENT QUALIFICATIONS ATTACHMENTS (RESUMES).** Management qualifications must be reviewed by the certification team to determine that there is a resume for each required management position and that these resumes 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 (ATP) certificate, but the resume shows that the individual holds only a Commercial Pilot certificate. A detailed review of the management qualifications and effectiveness must be accomplished during the document

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compliance and the demonstration and inspection phases.

**3.3.2.13. DOCUMENTS OF PURCHASE, CONTRACTS AND LEASES ATTACHMENT.** The CPM must review these documents to determine that they include the types of information described in Section 1, paragraph 3.3.1.13 (E). The documents should be reviewed for obvious omissions or significant discrepancies. Examples of obvious omissions might be the lack of documents indicating intent to acquire an aircraft or to arrange for a station facility. A significant discrepancy might be a document that reflects a contractual arrangement with another organization to perform a type of maintenance when it is known that the other organization is not qualified to perform that type of maintenance. These documents will not necessarily receive further review during the certification process since the aircraft, facilities, and services referenced in the documents will be the items inspected for acceptance or approval. It is not necessary or desirable for a separate document to exist for every item the applicant will have to acquire. However, there should be sufficient evidence to show that the applicant has made definitive arrangements to acquire the major items needed for certification.

**3.3.2.15. COMPLIANCE STATEMENT ATTACHMENT.** The CPM must review the compliance statement within 10 working days to determine that it complies with the form and content prescribed in Section 1, paragraph 3.3.1.13 (F) and that the applicant has proceeded in an appropriate manner. The compliance statement must then be given a detailed review and be accepted before the applicant may pass to gate two.

### **3.3.2.17. INITIAL DETERMINATION OF FORMAL APPLICATION ACCEPTABILITY.**

**A.** 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-application phase should supplement the decision-making process. Other factors such as working relationships and understanding 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.

**B.** 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 can be resolved



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during the formal application meeting. For example, if the chronology of the schedule of events needs to be adjusted for logic of sequence, timeliness, 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 curriculums, and/or the compliance statement can be resolved during the formal application meeting. Questions about management qualifications and documents substantiating the acquisition of aircraft, facilities, and services can often be answered during this meeting.

C. If the CPM and the certification team decide to proceed with the certification process, the CPM must contact the applicant and schedule the formal application meeting. The applicant must be informed that attendance of key management personnel is required.

**3.3.2.19. THE FORMAL APPLICATION MEETING.** The purpose of this meeting is to resolve any questions on the part of either party and to establish a common resolve for future proceedings of the application process. The CPM is responsible for conducting the formal application meeting. Except for unanticipated circumstances, all members of the certification team and any other applicable GACA personnel must be present. Normally, the CPM should open the meeting with the applicant, all of the applicant's key management personnel, and the certification team present. To ensure meeting agenda items are accomplished, the CPM should use the guidance in Figure 3.3.2.3, Formal Application Meeting Plan.

**NOTE:** The CPM must notify the GMAS, FO and AW of the formal application meeting date.

A. The CPM should encourage the applicant and the applicant's key management personnel to present any questions they may have concerning the forthcoming certification process. The CPM and certification team members should provide candid answers and discuss freely all aspects of the certification process.

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

C. Before concluding the formal application meeting, the CPM must make certain that the applicant clearly understands the following:

- 1) 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



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reviewed further, and additional corrective actions will be required, following which, 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.

2) If the applicant is unable to meet the schedule of events, the GACA will still need equivalent amounts of time, as agreed upon during the meeting, to make the necessary reviews and inspections. Consequently, the proposed start-up date could be delayed.

**3.3.2.21. FINAL DETERMINATION OF FORMAL APPLICATION ACCEPTABILITY.** If the formal application meeting is successful, a letter acknowledging receipt and acceptance of the formal application must be prepared and forwarded to the applicant as soon as possible, but not later than five (5) working days after the meeting (see Figure 3.3.2.2 Acceptance of Formal Application).

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**Figure 3.3.2.1. Rejection of Formal Application - Missing or Incomplete Documents (Example)**

[GACA Letterhead]

[Date]

President and CEO, MidCoast Airlines  
601 West Circle Drive  
Jeddah, Saudi Arabia

Dear Sir:

This office has reviewed your formal application for an Air Operator Certificate, dated \_\_\_\_\_. We find it necessary to return your application because of deficiencies in the following areas:

1. Resume of Mr. [XX], Director of Maintenance is not included with your application.
2. The compliance statement is incomplete. For example: your failure to address entire regulatory sections in Subpart L, such as General Authority of Civil Aviation Regulation (GACAR) §§ 121.835, 121.839 and 121.843. Methods of compliance with these regulatory sections are described in your company's general manual attachment and should be appropriately referenced in the compliance statement. As previously discussed, all applicable regulatory sections must be addressed in the compliance statement.
3. The Minimum Equipment List (MEL) does not contain maintenance and operations procedures as required on the master minimum equipment list.

We are returning your letter of application with all attachments. It will be necessary to submit a new formal application when you have corrected all discrepancies noted above and any other omissions that exist.

Please contact us if we can be of any further assistance in clarifying the minimum requirements for your formal application.

Sincerely,

Signature

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Certification Project Manager

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**FIGURE 3.3.2.2. Acceptance of Formal Application (Example)**

[GACA Letterhead]

[Date]

President and CEO, MidCoast Airlines  
601 West Circle Drive  
Jeddah, Saudi Arabia

Dear Sir:

Your formal application has been reviewed and found acceptable. Acceptance of the application does not convey specific approval of the attachments. Specific approvals or acceptance of the attachments will be appropriately conveyed after a detailed evaluation by the General Authority of Civil Aviation (GACA) certification team.

We look forward to working with your personnel in the continuation of the certification process.

Sincerely,

Signature

Certification Project Manager

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**Figure 3.3.2.3. Formal Application Meeting Plan**

### **FORMAL APPLICATION MEETING PLAN**

#### **General**

The objective of this exercise is to determine that the applicant's management personnel are knowledgeable of their air carrier systems.

The Certificate Management Team (CMT) accomplishes this task by developing questions related to processes under the individual's areas of responsibility or control.

#### **Process**

**Certificate Project Team (CPT)** —Design questions that will assess the applicant's required management personnel's knowledge of their processes and associated system documentation. The questions should directly relate to processes under the individual manager's area of responsibility. The answers should include reference to the manual system or other company documentation.

### **NOTES:**

**Questions and answers should be based on the current status of the air operator system documentation.**

**Questions should target each manager's knowledge of the process for which he or she has responsibility; they should not be scenario-based.**

**Certification Project Manager (CPM)** —Document the questions and expected answers, including the manual/documentation reference(s) on the Formal Application Management Questionnaire Worksheet (below).

**CPM** —Assign questions to CPT members.

**CPT** —Discard questions and answers upon successful completion of the meeting.

#### **Acceptable Completion Standards**

Each of the applicants required management personnel should demonstrate an acceptable level of

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understanding of their air operator systems by correctly answering all questions. Unsuccessful results may require retesting the manager(s) later.

### **NOTES:**

This event is not an opportunity to reveal inadequacies in the applicant's air operator system design. These inadequacies will be corrected during the Demonstration and Inspection Phase.

Discourage managers from locating manual references by using "word search" functions.

### **Develop an Agenda:**

Suggested Agenda Items:

- Introductions and circulate attendance roster (See Attendance Roster)
- Applicant describe proposed air operator systems
- Review certification process
- Explain conduct and criteria of this meeting
- Conduct management questions
- Resolve discrepancies and open items
- Discuss Schedule of Events
- Discuss proposed operations specifications
- Review requests for exemption or relief

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<b>Formal Application</b> <b>Management Questionnaire Worksheet</b>	
<b>Applicant:</b> _____	<b>Manager:</b> _____ <small>Name and Position</small>
<b>Question:</b> _____ _____ _____ _____ _____ _____ _____	
<b>Expected Outcome (References):</b> _____ _____ _____ _____ _____ _____ _____	
<b>Actual Outcome:</b> _____ _____ _____ _____ _____ _____ _____	
SAT <input type="checkbox"/> UNSAT <input type="checkbox"/>	<b>Date:</b> _____
<b>CMT Member Name:</b> _____	

**Separate Here to Provide Question to Management**

<b>Question:</b>

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### **CHAPTER 3. THE CERTIFICATION PROCESS FOR PART 121**

#### **Section 3. Phase 3 – Document Compliance**

**3.3.3.1. GENERAL.** The document compliance phase is that part of the certification process when the applicant's manuals and other documents are reviewed in depth to ensure compliance with applicable regulations and conformity to safe operating practices.

**NOTE:** These documents may include paper representation of data intended for display on the aircraft; for example, electronic checklists or approved flight manuals. Operators' use of electronic checklists should be consistent with the provisions of Federal Aviation Administration (FAA) Advisory Circular (AC) 120-64 (as amended), Operational Use and Modification of Electronic Checklists.

**A.** An important responsibility of the certification project manager (CPM) is to organize the certification team's efforts to promptly review the applicant's manuals and other documents. Two key elements useful in planning activities in the document compliance phase are the schedule of events and the compliance statement. The schedule of events determines what will be examined and when. The previously agreed upon schedule of events will determine the priority of items to be reviewed and any additional aviation safety inspector (Inspector) support or other General Authority of Civil Aviation (GACA) resources that will be needed beyond the composition of the basic certification team. The document compliance phase is an intensive process and will most likely require additional resources to accomplish necessary tasks in a timely manner.

**B.** The plan for review should ensure that each of the required manuals or documents submitted by the applicant will be reviewed in accordance with procedures and criteria outlined in other volumes of this handbook. The compliance statement directs the Inspector to the location in the applicant's manuals where a compliance procedure is described. The Air Operator Certification Job Aid (Figure 3.3.1.2) is a good reference to use when conducting a review of an applicant's manuals and other documents.

**3.3.3.3. REVIEW OF APPLICANT'S SUBMISSIONS.** During this phase, members of the certification team evaluate and approve or accept the applicant's manuals and any other required documents. Review of the applicant's submissions should be accomplished by simultaneous reference to the General Authority of Civil Aviation Regulations (GACARs), the compliance



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statement, and the appropriate manual or document. The following are examples of typical submissions from applicants during the document compliance phase. This list is not all-inclusive, and certain items may not be applicable to a particular type of operation.

- Management personnel resumes outlining proposed management qualifications and compliance histories
- Operations Manual (OM)
- Maintenance Manual (MM)
- Continuous airworthiness maintenance program/manuals
- Maintenance schedules
- Mass and balance procedures
- Flight Data Analysis programs
- Training program/manual
- Aircraft Flight Manual (AFM)
- Company aircraft operations manual (This is not required if an operator elects to use the manufacturer's approved flight manual.)
- Minimum Equipment List (MEL)
- Configuration Deviation List (CDL)
- Cockpit checklist
- Passenger briefing card
- Noise and environmental assessments
- Aerodrome runway analysis

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- Dangerous Good (TDG)/security program
- Cabin crew member manual (CCMM)
- Dispatch procedures
- Operations specifications (OpSpecs)
- Maintenance reliability program
- Continuous analysis and surveillance (CASS)
- Proving test plan
- Emergency evacuation demonstration plan
- Compliance statement

### 3.3.3.5. THE COMPLIANCE STATEMENT.

**A.** The compliance statement serves the following two purposes:

- 1) It ensures that the applicant has adequately addressed all regulatory requirements applicable to the proposed operation.
- 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 compliance statement, the certification team may find it helpful to compare (in a side-by-side manner) the GACAR, the applicant's manuals, and the compliance statement. The compliance statement documents how the applicant intends to comply with each applicable regulation.

**B.** If the applicant's compliance statement does not serve the preceding purposes, the deficient areas will be communicated to the applicant, and a resolution shall be negotiated. Proving tests will not be conducted until the certification team is satisfied, through its review of the compliance statement 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.

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**3.3.3.7. DOCUMENT DEFICIENCIES.** If the Inspector's review reveals deficiencies in the applicant's submissions, the CPM should negotiate resolution of the deficiencies. The team should be ready to offer suggestions on how to improve the product, but avoid "writing" the applicant's manual. The certification team should remember that it is the applicant's responsibility to develop manuals and procedures that ensure safe operating practices and compliance with the rules.

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### **CHAPTER 3. THE CERTIFICATION PROCESS FOR PART 121**

#### **Section 4. Phase 4 – Demonstration and Inspection**

**3.3.4.1. GENERAL.** In this phase, the certification team determines that the applicant's proposed procedures and programs for training and directing personnel in the performance of their duties are effective. The emphasis is on compliance with regulations and safe operating practices. As previously mentioned, certain segments of the document compliance phase often occur simultaneously with certain events in the demonstration and inspection phase. For example, aviation safety inspectors (Inspectors) may be observing pilot training at the applicant's facilities (demonstration and inspection phase) while other certification team members are approving and/or accepting maintenance manuals in the General Authority of Civil Aviation (GACA) office (document compliance phase).

**3.3.4.3. OBSERVATIONS AND MONITORING OF EVENTS.** Through observation and other forms of on-site evaluation during the demonstration and inspection phase, members of the certificating team observe and monitor many types of applicant activities. The manner in which the applicant is to be evaluated while conducting different segments of this phase is outlined in various sections of this handbook. The following list of activities or events is representative of events that occur in the demonstration and inspection phase. This list is not all-inclusive, and certain items may not be applicable to a particular type of operator:

- Safety Management System (Volume 2)
- Conduct of training programs (classroom, flight simulators, and aircraft training) (Volume 4, Chapter 21)
- Airmen testing and certification (airmen, crew members, and dispatchers, as applicable) (Volume 9)
- Station facilities (equipment, procedures, and personnel) (Volume 4, Chapter 5), to include:
  - o Main maintenance base
  - o Line station facilities

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### o Outsource maintenance facilities

- Recordkeeping procedures (documentation of training, flight and duty times, and flight papers) (Volume 4, Chapter 11)
- Operational control (dispatch capabilities)
- Approved maintenance program procedures (Volume 4, Chapters 3)
- Maintenance activities (facilities, personnel, technical information, and spare parts) (Volume 4, Chapter 5)
- Aircraft (conformity inspection and aircraft maintenance records) (Volume 4, Chapters 3 & 5)
- Minimum Equipment Lists (MEL) and Configuration Deviation Lists (CDL) (compliance with GACA-approved operations manual/flight manual maintenance procedures, if applicable) (Volume 5, Chapter 4)
- Mass and balance control, if applicable (procedures, accuracy, document control) (Volume 4, Chapter 13)
- Emergency evacuation and ditching demonstrations (if applicable) (Volume 4, Chapter 26)
- Aircraft proving tests (Volume 4, Chapter 17 )

**3.3.4.5. INITIAL CADRE CHECK PILOT TRAINING.** The CPM should review the initial cadre plan for check pilot found in Figure 3.3.4.1, Initial Cadre Check Pilot. Once the CPM has approved the plan, initial check pilot training may begin. After a check pilot has been approved by GACA, the CPM should issue a letter to the pilot granting approval (see Figure 3.3.4.2, Initial Cadre Check Pilot Approval).

**3.3.4.7. AIRCRAFT CONFORMITY EVALUATION.** To complete the aircraft conformity evaluations, the following should be accomplished:

- Applicant: Notify the CPM of aircraft availability at least 10 working days prior to the proposed aircraft evaluation, and forward the completed aircraft configuration control job aid (or applicant's equivalent) and aircraft information form to the CPM evaluation.

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- CPM: Provide the applicant a copy of the Aircraft Document Request List. (Aircraft Document Request List)
- Certification Team: Complete an initial review of the applicant's conformity submissions to confirm all required records are present and of sufficient quality to continue to the next step.
- Certification Team: Evaluate the applicant's aircraft conformity evaluation using the aircraft configuration control job aid and documentation provided by the applicant.
- CPM: In writing, notify the applicant of discrepancies identified during the aircraft conformity evaluation.
- Applicant: Submit a letter of corrections to the CPM. Update the schedule of events, if required.
- CPM: Confirm that discrepancies were corrected prior to beginning proving tests.
- CPM: File the letter of corrections in the applicant's certification file.

**3.3.4.9. CPM DUTIES DURING DEMONSTRATION AND INSPECTION PHASE.** To ensure that there are no delays to certification, during the demonstration and inspection phase the CPM should check the status of the following:

- Problematic Use of Psychoactive Substance Program (GACA Medical Assessor)
- Transportation of Dangerous Goods Program
- Security program (GACA Aviation Security)
- All required training
- Progress of SMS assessment (GMRM)
- Progress of economic authority (GMEE)
- Verifying that the proposed OpSpecs have been generated

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- Review check lists and update applicant's office file

**3.3.4.11. DEMONSTRATION AND INSPECTION DEFICIENCIES.** If, at any time during the demonstration and inspection phase, the applicant does not meet the schedule of events, or the applicant's conduct of various activities (such as training, emergency evacuation) or certain items (such as MEL, recordkeeping procedures) proves to be deficient, appropriate corrective action must be taken. The certification project manager (CPM) should schedule meetings with the applicant, as necessary, to review all deficiencies in detail. If appropriate, the CPM shall negotiate a new, modified schedule of events and reenter the demonstration and inspection phase or the document compliance phase, as appropriate.

**Figure 3.3.4.1. Initial Cadre Check Pilot**

## **INITIAL CADRE CHECK PILOT**

### **Introduction**

An effective check pilot program is essential to the safe and efficient operation of an air operator certified under GACAR Part 121. In the normal operation of a currently certificated air operator, check pilot candidates are generally selected from a pool of the most highly skilled flight crew members. These candidates are trained in check airmen duties and responsibilities by the company, then evaluated and approved by the GACA.

In the certification of a new entrant air carrier, or when an existing air operator adds a new aircraft fleet, the regulatory language of Part 121 does not address a training/qualification process for the initial cadre of check pilots (ICCP).

### **Process**

**A. Letter of Request for Approval of the ICCP Plan.** When, during an initial certification, it is determined there is a need for ICCP, the certification project manager (CPM) must arrange with the applicant to consider approval of one or more check pilot candidates to form the ICCP. In making the formal request, the applicant must submit a plan to the CPM including the following:

- A letter requesting approval of the proposed ICCP Flight Training Program
- The proposed ICCP Flight Training Program
- The proposed ICCP, Check Pilot/Instructor Qualification Program
- Resumes and copies of airmen certificates of the ICCP candidates
- A plan for the ICCP to complete other required training segments such as basic indoctrination, emergency training, security and dangerous goods training, crew resource management (CRM), etc., following the GACA's initial approval of the company's relevant training programs

Acceptable training programs that an applicant might submit include an approved flight training program of another air operator, or an approved GACA Part 142 training center.



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**Figure 3.3.4.1. Initial Cadre Check Pilot, Continued**

**Sample Letter of Request**

Certificate Project Manager  
GACA SS&AT  
KAIA, JEDDAH

Dear Certification Project Manager:

Enclosed for your approval is the XYZ Airlines, B-737 initial cadre check pilot (ICCP) plan.

(Attach: The proposed ICCP, Flight Training Program; the proposed ICCP, Check Pilot/Instructor Qualification Program; and the plan for ICCP to complete other required training segments)

Company Point of Contact: name, position, telephone number, and e-mail address.

ICCP Candidates:

- Names and certificate numbers
- Resumes and copies of airmen certificates
- The check pilot authority requested for each individual

The business name, authorized under GACAR Part 142, will administer training for ICCP. Upon approval of our Company Flight Crew Operating Procedures and Training Program, we will conduct supplemental training, acceptable to the CPM, for ICCP. This supplemental training will ensure the ICCP are proficient in specific company flight operating procedures and aircraft differences.

If there are any questions concerning this plan, please contact: name, title, telephone number, and e-mail address, or the company point of contact for this request.

Sincerely,

Name, Title

**NOTE:** This request must be submitted by a key management person.

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**B. Letter of Approval.** The ICCP Training Program must be reviewed by appropriate members of the Certification Project Team (CPT) and, if found acceptable, approved by the certification project manager (CPM). ICCP are approved on a temporary basis to function as check pilot—all checks (simulator and/or aircraft) or check flight engineer, so that they may conduct all types of checks and supervise operating experience (OE). This approval will be in the form of a Letter of Approval to be replaced with individual permanent Letters of Approval after each check pilot is fully qualified.

**C. Initial Aircraft Type Rating, Training, and Certification.** The applicant must arrange to have ICCP trained and appropriately certificated for their cockpit duty positions.

- 1) An Inspector or a designated examiner that is employed by a GACAR Part 142 training center that provided the ICCP flight training can conduct the ICCP's aircraft type-rating checks.
- 2) The CPM should ensure that notification is provided to the principal operations inspector (POI) of the GACAR Part 121 air operator, as appropriate. Certification and surveillance assistance may be available upon request from the supervisor of a qualified inspector who is assigned to an air operator or GACAR Part 142 training center that is providing ICCP flight training.

**D. Gaining Proficiency as Instructors.** In many cases, the applicant's specific flight operating procedures will not have been developed before the ICCP starts training. Company flight operating procedures are determined by the ICCP during their training. When an applicant's flight operating procedures differ from those used in the ICCP Training Program, the ICCP must become proficient in the applicant's procedures by instructing each other, or in the case of a single ICCP, by self-training. When this phase is conducted in an aircraft, an applicant may arrange for a qualified safety/instructor pilot from the manufacturer, an operator, or other source. The GACA instructor observation requirements of GACAR §121.479(a)(2) may be fulfilled during the ICCP instruction phase.

The applicant must develop a supplemental training program that provides for ICCP training in company flight operating procedural differences and aircraft differences. Appropriate members from the applicant and the Certificate Management Team (CMT) must meet to review and agree upon the ICCP supplemental training.

In some cases, an applicant might choose to adopt, without modification, the flight crew

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operating procedures used by the company that provided the ICCP training. In this situation, supplemental training may be unnecessary, and the certification check may be counted as the required proficiency check.

**E. Proficiency and Competency Checks.** A GACA Inspector must administer the proficiency check to the first ICCP. That ICCP will administer a proficiency check to the next qualified ICCP, who then administers a proficiency check to the next qualified ICCP. This process continues until all ICCP have both administered and received a proficiency check. A GACA Inspector who holds the appropriate airman's certificate and type rating must observe the first check administered by each ICCP. If the ICCP consists of one person, an Inspector must observe that person conducting a proficiency check of a company pilot that has completed the applicant's approved flight training program. If the Inspector determines that the performance of an ICCP is satisfactory, the Inspector must recommend to the CPM that the ICCP be approved as a check pilot for the type of check observed.

**F. Operating Experience and Line Checks.** ICCP must be permitted to acquire OE flight hours on any flight that can be credited toward proving test flight hour requirements including training flights (when observed by a GACA Inspector), ferry flights, and representative en route proving flights. OE flight hours may be accrued by ICCP while they are:

- Conducting aircraft checks
- Overseeing the OE of other airmen
- Being checked
- Acquiring OE under the supervision of other ICCP

ICCP's must administer and receive a line check under the supervision of a qualified GACA Inspector during the proving flight en route phase, or during a ferry flight that the CPM had determined to be acceptable. The line check process is the same as in paragraph E above, with each ICCP administering a line check under the supervision of a GACA Inspector until all ICCP have administered and received a line check. If the ICCP's performance is satisfactory, the Inspector may recommend that check pilot be approved as a line check pilot. If there is only one ICCP, the GACA Inspector must conduct the line check.

**NOTE:** Before being approved as a line and/or proficiency check pilot, an ICCP must

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complete the training requirements of GACAR § 121.863.

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**Figure 3.3.4.2. Initial Cadre Check Pilot Approval**

[Enter Date]

[Enter Name and Title of Recipient]

[Enter Air Operator Official Name]

[Enter Street Address]

[Enter City and Postal Code]

[Enter Country]

Dear [Title & Name]:

[ICAA Name], GACA Certificate Number: \_\_\_\_\_, is approved as an initial cadre check pilot for the purpose of initiating operations with the [Aircraft Type] for [Operator's Name]. This approval expires on \_\_\_\_\_ or unless superseded by permanent approval. This check pilot is approved to conduct checks in the [Aircraft Type] aircraft for employees of the [Operator's Name]. This approval applies for the following checking functions:

- o Proficiency Check Pilot – Simulator Effective
- o Operating Experience (OE) Check Pilot Effective
- o Line Check Pilot – All Seats Effective
- o Check Pilot – All Checks Effective

Please retain a copy of this letter in his individual flight training records or database.

Sincerely,

[POI or CPM or FO Name]

[Title]

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### CHAPTER 3. THE CERTIFICATION PROCESS FOR PART 121

#### Section 5. Phase 5 – Certification

**3.3.5.1. GENERAL.** The applicant shall not be certificated under any circumstance until the certification project manager (CPM) has determined that the applicant is compliant with all applicable regulatory requirements and fully capable of fulfilling its ongoing responsibilities of complying with the General Authority of Civil Aviation Regulations (GACARs) in an appropriate manner. The certificate and approved operations specifications (OpSpecs) are issued to the applicant after all significant unsatisfactory items have been corrected. This action completes the certification process.

A. Obtaining Certificate Numbers, Designators and ICAO Identifiers. The CPM is responsible for ensuring that certificate numbers, designators and ICAO Identifiers are issued (see Volume 3, Chapter 1, Section 2, GACA Certificate Numbers and Designators). In addition, International Civil Aviation Organization (ICAO) identifier guidance may be found in Volume 3, Chapter 2, Section 3, Company Designators and Call Signs.

**3.3.5.3. PREPARATION OF THE AIR OPERATOR CERTIFICATE.** An Air Operator Certificate (AOC) will be issued when all phases of the certification have been completed satisfactorily. The certificate must be signed by the President of GACA.

A. The Effective Dates. The AOC will be issued with two (2) dates. The first being the date of issuance, and the second being the expiration date. The expiration date shall be five (5) years from the date the certificate was issued unless an earlier date is specified by the President. If a certificate is to be changed due to an address change, the date of original issuance shall be retained on the changed certificate. A change of name for the air operator or a change in the certification statement of authority has the effect of a new certification; therefore, a new certificate and certificate number shall be issued. For this situation, the issuance date of the new certificate will be entered in the space provided.

#### **3.3.5.5. ISSUANCE OF OPERATIONS SPECIFICATIONS AND CERTIFICATE.**

A. When it is determined that the applicant has met all regulatory requirements, the Air Operator

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Certificate and operations specifications (OpSpecs) will be presented to the applicant. The operations specifications will be prepared in accordance with the procedures found in Volume 15 of this handbook.

**B.** An applicant for an AOC will not, for any reason, be issued operations specifications or a certificate until the applicant has presented a copy of its General Authority of Civil Aviation (GACA) economic authority to the CPM.

**C.** Before issuance, the operations specifications will be signed by the applicant, and the relevant GACA SS&AT personnel (usually Manager, Flight Operations, Manager, Airworthiness or GMAS). The original certificate and operations specifications will then be given to the new certificate holder.

**3.3.5.7. CERTIFICATION REPORT.** When the new operator is certificated, the CPM is responsible for assembling a certification report. This report must be signed by the CPM and will include the name and title of each team member who assisted in the certification project. The report will be maintained in the permanent file relating to the new operator during the business life of the operator. The report shall consist of:

- A.** PASI.
- B.** Formal letter of application.
- C.** Proving test report.
- D.** Emergency evacuation demonstration report.
- E.** Ditching demonstration report.
- F.** Copy of the air carrier certificate.
- G.** Final compliance statement.
- H.** Completed GAR.
- I.** A copy of the OpSpecs issued.
- J.** A summary of major difficulties experienced during the certification process and/or any



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recommendations that may enhance the process must be noted by phase and specialty. This summary will be entered into the GACA Activity Report (GAR) in chronological order and will be maintained in the GACA office records. For standardization, the following format for summaries of major difficulties and/or recommendations will be arranged as follows:

- 1) Pre-application Phase (Operations, Airworthiness, SMS). Include summaries of difficulties or recommendations by specialty.
- 2) Formal Application Phase (Operations, Airworthiness, SMS). Include summaries of difficulties or recommendations by specialty.
- 3) Document Compliance Phase (Operations, Airworthiness, SMS). Include summaries of difficulties or recommendations by specialty.
- 4) Demonstration and Inspection Phase (Operations, Airworthiness, SMS). Include summaries of difficulties or recommendations by specialty.

**3.3.5.9. Certification Close Out.** To finalize the certification process, the Manager of Flight Operations must:

- Send Fees & Charges report to the General Manager, Aviation Safety Standards
- Assign a Principal Operations Inspector (POI) to the new certificate holder
- Send a copy of the certification report to the General Manager, Aviation Safety Standards and the Manager, Airworthiness
- The POI should develop a 6 month surveillance plan and forward it to the Manager of Flight Operations

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### CHAPTER 3. THE CERTIFICATION PROCESS FOR PART 121

#### Section 6. Evaluate Part 121 Required Management Personnel

##### 3.3.6.1. GENERAL.

**A. Required Management Personnel Positions.** From time to time, certificate holders may wish to employ persons in management positions when the candidate lacks the required pilot-in-command (PIC) experience, operational management experience, or aircraft maintenance experience, but possesses other comparable experience which suitably prepares them for the desired position.

**1) Part 121 Positions.** GACAR § 121.45 establishes management and technical personnel positions for certificate holders operating under GACAR Part 121 (i.e., Director of Safety (DOS), Director of Operations (DO), Chief Pilot, Director of Maintenance (DOM), and Chief Inspector). GACAR § 121.49 specifies the airman qualifications and experience for personnel serving in these positions for GACAR Part 121.

**2) Airman Qualifications and Experience.** Candidates for these required GACAR Part 121 management and technical positions must have the airman qualifications and experience needed to carry out their duties and responsibilities with a degree of expertise consistent with the certificate holder's responsibility to operate with the highest possible degree of safety. GACAR § 121.45(c) provides for other comparable managerial and supervisory experience to provide flexibility for those candidates who do not meet the regulatory requirements, yet may effectively manage the air carrier operation. It is quite possible a candidate may not possess the regulatory experience required to hold a position, but has other comparable experience which exceeds the expertise gained in meeting the minimum experience qualifications for the position.

**3) Request for Relief and Approval Procedure.** The request for relief and approval procedure described below offers the certificate holder flexibility to employ persons who may not possess the exact type or quantity of experience required by the regulations, but who possess other comparable experience. However, the procedure does not accommodate individuals who do not possess the required airman qualifications.

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**B. Management Vacancies.** If there is a vacancy in one of these required positions, the certificate holder is required to notify the GACA of any vacant positions and should state the course of action the certificate holder is taking to fill the position. The certificate holder may take any of the following courses of action when there has been a change in personnel or a vacancy in one of the required management personnel positions.

**1) Current Employee Appointment.** If the certificate holder operating under GACAR Part 121 has an employee that meets the certification and experience requirements of GACAR § 121.49 the certificate holder may appoint that employee to the vacant position. The notice required by GACAR § 121.45(f)(3) should state this change in personnel. The certificate holder should demonstrate in the notice that the individual meets the qualification requirements of GACAR § 121.45. The individual can show they meet those requirements by submitting a copy of the résumé showing his or her qualifications, certificates, ratings, and experience.

**2) Relief under GACAR § 121.45(c).** If the certificate holder has an employee or candidate who does not meet the appropriate airman experience, managerial experience, or supervisory experience requirements but who has comparable experience and can effectively perform the functions associated with the position, the certificate holder may request relief from these experience requirements in accordance with the guidance provided in this section. Relief under this provision is not available for a person who does not hold the required airman certificates and ratings.

**3) Authorization.** If a certificate holder can show that it can perform the operation with the highest degree of safety under the direction of fewer or different categories of management personnel, the certificate holder can ask the GACA to amend its operations specifications (OpSpecs) and approve the operation without filling the otherwise required position.

**4) Unable to Fill Within 10 Days.** If a certificate holder is not able to fill the vacancy within the 10-day period prior to being required to notify the GACA of the vacancy or use one of the options outlined above, the notification required by GACAR § 121.45 must state which position is vacant and should include an explanation for the vacancy. A vacancy in one of the required positions should only exist for a reasonable duration of time needed by the air carrier to fill the position. Based on current industry practice, this process should not exceed 60 days.

### 3.3.6.3 PROCEDURES TO REVIEW FOR THE PROPOSED GACAR PART 121

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### MANAGEMENT POSITION CANDIDATE.

**A. Items for the Principal Inspector (PI) to Complete.** When a certificate holder submits an applicant for one of the GACAR Part 119 required management personnel, the PI will complete the following:

- 1) Check the certificate for appropriate ratings and validity.
- 2) Check the for previous violation history.
- 3) Verify employment history (résumé) to ensure that:
  - The applicant meets the necessary experience requirements;
  - The applicant has not held a similar position and contributed materially to a certificate revocation in a GACAR Part 121, 125, or 135 operation.
- 4) Interview the candidate. Determine the candidate's knowledge of the following:
  - Sections of the certificate holder's/applicant's manual;
  - Certificate holder's OpSpecs; and
  - Relative provisions of GACAR Parts 4, 5, 7, 21, 43, 66, 91, 109, 117, 119, 121, and 145.
- 5) Determine the eligibility of the candidate. Base the decision on the information above.

**B. Final Steps.** The PI will inform the certificate holder/applicant of the results after they have received all the information.

### 3.3.6.5 EVALUATING MANAGEMENT EXPERIENCE OF MAINTENANCE PERSONNEL.

Personnel responsible for the inspection and maintenance organizations should possess the qualifications required in GACAR § 121.49. If a certificate holder/applicant elects to contract out all maintenance, the positions prescribed by GACAR § 121.45 are still required.

#### A. GACA Required Positions:

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- The DOM is responsible and accountable for administering the certificate holder's/applicant's maintenance program, and
- The Chief Inspector is responsible and accountable for administering the certificate holder's/applicant's required inspection program.

### **B. Separation of Maintenance and Inspection Functions.**

- 1) The GACA requires a Chief Inspector for GACAR Part 121 certificate holders/applicants, but not for GACAR Part 135 certificate holders/applicants.
  - a) GACAR § 121.675 requires a certificate holder/applicant to have a maintenance organization that ensures separation of maintenance and inspection responsibilities and management personnel.
  - b) If the certificate holder/applicant will have a contractual agreement with another organization to perform its Continuous Airworthiness Maintenance Program (CAMP), it may apply for deviation from the Chief Inspector requirement. However, the certificate holder/applicant must have a DOM or equivalent position to schedule maintenance and ensure proper administration of the CAMP.

**C. Part-Time and Full-Time Positions.** The aviation safety inspector (ASI) should ensure that the certificate holder will use full-time management personnel.

**D. DOM Position.** Individuals considered for the DOM position should have experience in any position where the normal duties and responsibilities included management oversight and/or control of the development, upkeep, and responsibility for one or more of the following elements of an aircraft maintenance or inspection program:

- Maintenance program manual;
- Airworthiness;
- Maintenance and inspection organization;
- Performance and approval of maintenance, preventive maintenance, and alterations;
- Approval of alterations performed by maintenance providers or contractors;
- Continuing Analysis and Surveillance System (CASS);
- Maintenance recordkeeping; and
- Maintenance personnel training.

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**E. Chief Inspector Position.** Individuals considered for the Chief Inspector position should have experience in any position where the normal duties and responsibilities included management oversight and/or control of the development, upkeep, and responsibility for one or more of the following elements of an aircraft maintenance inspection, quality control (QC), or quality assurance (QA) functions within a maintenance or inspection program:

- Inspection program policy and procedures;
- Airworthiness;
- Inspection organization;
- QA of the performance and approval of maintenance, preventive maintenance, and alterations;
- QA and approval of alterations performed by maintenance providers or contractors;
- Maintenance recordkeeping; and
- Inspection personnel training.

### 3.3.6.7 EVALUATING MANAGEMENT EXPERIENCE FOR DOS.

**A. DOS Position.** Each certificate holder that conducts operations under GACAR Part 121 must have a DOS. There are no qualifications listed in GACAR § 121.49 for the DOS position. Therefore, the GACA must consider the following information when approving an individual for the DOS position. This person is responsible for keeping the certificate holder's highest management officials fully informed about the safety status of the company, and therefore should have extensive operational experience and professional qualifications in aviation. This should include the knowledge and understanding of aviation safety programs, aviation safety standards, and safe aviation operating practices.

1) The DOS should have established professional credentials. These credentials may be any of the following:

- a) A GACA Commercial or Airline Transport Pilot (ATP) Certificate,
- b) A GACA Mechanic Certificate, or
- c) A GACA Aircraft Dispatcher Certificate.

2) The DOS should have professional aviation supervisory experience. Such experience may include any combination of the following, providing the total experience is greater

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than or equal to three years:

- a) Experience in a supervisory position with a GACAR Part 121 certificate holder.
- b) Reserved.
- c) Experience in a supervisory position with a government department, board, or agency that deals directly with aviation matters.
- d) Experience in a supervisory position with a GACAR Part 125 operations/aviation department.
- e) One year of experience may be listed if the candidate has completed a degree in higher education relating to aviation safety.

**B. DOS Functions.** An independent, full-time position is required. However, in a small GACAR Part 121 operation, the DOS functions may be an additional function of a current manager. Requests for one individual to fill this position for more than one certificate holder concurrently will not be considered.

NOTE: Small carriers are generally defined as those carriers operating fewer than 10 aircraft.

### 3.3.6.9 MANAGEMENT DEVIATION REQUEST.

**A. Make the Request Through the POI/PCM.** When a certificate holder requests relief of management experience or recency-of-experience the certificate holder must make such requests through its POI. The request must adhere to the following processes and procedures and contain a minimum of the information shown in subparagraphs 3.3.6.9.B1) through 10) below for evaluation:

**B. Submit a Request Letter.** The request must contain the following:

- 1) Full certificate name, including doing business as (DBA) of the requesting entity (e.g., ABC Airlines, Inc. DBA XYZ Air).
- 2) Complete address and certificate number of the certificate holder.
- 3) Full name and airman certificate number of the management applicant.

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- 4) Number of aircraft by category, class, and type.
- 5) Number of employees/pilots/other crew members.
- 6) Areas and kinds of operations authorized.
- 7) Statement of operations authorized (e.g., Scheduled, unscheduled passenger, all cargo).
- 8) Any other management relief held by the certificate holder.
- 9) Statement of why the certificate holder requires relief from the management position(s) involved, and an explanation of what comparable experience the individual has that would justify the relief.
- 10) A résumé for the individual that specifically outlines their work experiences and duration of each work experience to include: PIC/second in command (SIC) time in type of aircraft, and/or management experience for the kind of operations conducted, to include size of operation.

NOTE: The information contained in the résumé must be verified by a PI assigned to the certificate.

### 3.3.6.11 EVALUATING REQUESTS FOR RELIEF FOR DOM AND CHIEF INSPECTOR POSITIONS.

**A. Consider Overlapping Duties.** Before allowing an individual to serve as DOM or Chief Inspector, the PI must consider the other duties performed by that person. For example, if that person also plans to serve as a flight crew member, the ASI must ensure that those duties will not interfere with the person's responsibilities as DOM or Chief Inspector.

**B. The PI is Responsible for the following:**

- 1) Interviewing the individual involved to verify aviation experience and qualifications;
- 2) Determining the size, scope, any known expansion plans, and safety record of the certificate holder;
- 3) Verifying the applicant's résumé and experience; and



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4) Recommending approval or denial of the request.

### 3.3.6.13 EVALUATING REQUESTS FOR RELIEF FOR DO AND CHIEF PILOT POSITIONS.

**A. Comparable Experience.** Relief to a management position experience requirement may be issued for individuals who lack the minimum management experience requirements, PIC experience requirements, or recency-of-experience requirements if appropriate comparable experience is presented and accepted by the President.

1) For the DO, the evaluation of experience in any position where the normal duties and responsibilities included management/supervisory oversight and/or responsibility and authority over the development, upkeep, and performance of one or more elements of a certificate holder's operational control system may be considered as comparable experience. Management positions, wherein the applicant exercised aviation management decisionmaking processes, may be considered as comparable experience (e.g., Assistant DO, Assistant Chief Pilot, Flight Department Manager, and Aviation Safety Officer). Experience involving operational control may also be acceptable (e.g., supervisory aircraft dispatcher or supervisory flight follower).

2) For Chief Pilot positions, the candidate should possess a minimum of 12 months PIC experience in GACAR Part 121 operations within the previous 72 months.

3) For other comparable experience to be used for both the DO and Chief Pilot positions, all acceptable, comparable experiences added together must equal or exceed the required 3 years. The following examples may be considered as comparable experience:

- Experience as a PIC conducting the same kinds of operations that the applicant would be responsible for managing;
- Experience as a manager of a corporate flight department operating more than one aircraft with operations similar to an air carrier;
- Experience in a military PIC position with responsibilities and experience comparable to a civil aircraft operation PIC; or
- Experience in a civilian or military management position with responsibilities for safely transporting passengers and/or cargo with aircraft of similar or more complex systems and capability.

**B. Unacceptable Experience.** The ASI may not consider the following experience as comparable:

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military single pilot operations without unit leadership or command responsibility experience, flight instruction, aerial work operations, or academic education or writing manuals without managerial experience implementing the same manuals.

### **3.3.6.15 FEWER, COMBINED OR DIFFERENT CATEGORIES OF REQUIRED MANAGEMENT POSITIONS.**

**A. Combined Positions.** Any certificate holder who requests approval to combine two or more required management positions into one position must ensure that the person who will serve in that position meets the qualifications for, or receives a deviation for, each management position to be combined (e.g., Chief Pilot and DO). This is in addition to receiving an approval to combine the management positions. The size, scope, complexity, organizational dynamics, and workload of the operations that the applicant has been involved with, and will be involved with in the combined management position, must be considered when evaluating this request. Requests to combine the positions of DOM and Chief Inspector will not be approved.

NOTE: Applicants who serve in a combined management position should not be assigned to any additional duties (e.g., Check Airman and Instructor).

#### **B. Consolidated Positions.**

- 1) Depending on the organization's needs, the President may allow consolidation of required GACAR Part 121 management positions with other positions. When the President allows consolidation of positions, the individual serving in the consolidated position must meet the qualifications of both positions.
- 2) Before allowing an individual to serve as DOM or Chief Inspector, the PI must consider the other duties performed by that person. For example, if that person also plans to serve as a flight crew member, the ASI must ensure that those duties will not interfere with the person's responsibilities as DOM or Chief Inspector.

#### **C. Combined/Consolidated Management Position Steps.**

- 1) The certificate holder/applicant must submit a request in writing to the GACA. The request should contain the following information:
  - a) The type and number of aircraft operated by the certificate holder.

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- b) Size, scope, any known expansion plans, and safety records of the certificate holder.
- c) Any accident or enforcement history of the certificate holder and management applicant.
- d) Include all ongoing certificate holder corrective action commitments made by the involved management position holders prior to the request, and an updated corrective action plan (CAP) if the request will affect any of the commitments.
- e) A résumé of the individual who is, or will be, in combined or consolidated positions, including:
  - Dates of experience,
  - Types of aircraft,
  - Specific areas of experience,
  - Aeronautical experience,
  - Types of management positions previously held, and
  - Certificate number(s).

### 2) The PI is responsible for the following:

- a) Interviewing the individual involved to verify aeronautical experience and qualifications;
- b) Determining the size, scope, any known expansion plans, and safety record of the certificate holder;
- c) Verifying the applicant's résumé and experience;
- d) Ensuring that any applicant or certificate holder corrective action commitments are not adversely affected by the requested management position change; and
- e) Recommending approval or denial of the request.

### 3.3.6.17 AUTHORIZING RELIEF.

#### A. General.

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- 1) A certificate holder may request relief through the assigned PI. The DFO recommends approval or denial of the requested relief; they forward their recommendation to the GM Flight Standards in the form of a memo.
- 2) If the GM finds, after consideration is given to the size and scope of the operation, that the person's qualifications and experience are comparable with the sought-after position, a relief may be granted under GACAR § 121.45(c). The President may, at any time, terminate any relief granted under this paragraph.

### 3.3.6.19 TASK OUTCOMES.

**A. Complete the Task.** Completing this task will result in one of the following:

- 1) Acceptance of the candidate by issuing OpSpec 121.A.006 and sending one of the following:
  - a) A letter to the certificate holder/applicant indicating acceptance of the candidate.
  - b) A letter telling the certificate holder/applicant to request relief if the candidate does not meet experience requirements or wishes approval of different positions. The candidate must have been found acceptable based on the interview.
- 2) Rejection of the candidate by sending a letter to the certificate holder/applicant listing the reasons for rejection.

**B. Document the Task.** File all supporting paperwork in the certificate holder's/applicant's file.

### 3.3.6.21 REFERENCES, FORMS, AND JOB AIDS.

**A. References (current editions):**

- FAA Advisory Circular (AC) 120-59, Air Carrier Internal Evaluation Programs.

**B. Forms.** None.

**C. Job Aids.** None.

### 3.3.6.23 FUTURE ACTIVITIES. None.

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### CHAPTER 4. THE AUTHORIZATION PROCESS FOR PART 125

#### Section 1. Specific Part 125 Authorization Guidance

##### 3.4.1.1. GACA ACTIVITY REPORT (GAR).

A. 1202 (OP)

B. 3202 (AW)

**3.4.1.3. GENERAL.** This chapter provides direction and guidance on the certification process for applicants seeking the issuance of an Operator Authorization (OA) under General Authority of Civil Aviation Regulation (GACAR) Part 125.

**A. Authorization Process Phases.** The Authorization process employs a Five Phase process that requires the completion of certain items prior to continuation and completion of the process. The General Authority of Civil Aviation (GACA) authorization team should utilize the generic Five Phase process found in Volume 3, Chapter 1, The Generic Certification Process for Air Operators and Air Agencies. This process allows interaction between the applicant and the GACA from initial inquiry to authorization issuance or denial. It ensures that programs, systems, and intended methods of compliance are thoroughly reviewed, evaluated, and tested.

**B. Job Aids.** Figure 3.4.1.1, Part 125 Schedule of Events and Figure 3.4.1.2, Part 125 authorization Job describe the authorization process. These figures are used for planning meetings, activities, and events associated with authorization.

##### 3.4.2.5. THE PRE-APPLICATION PHASE.

**A. Pre-application Statement of Intent (PASI).** At the initial inquiry meeting, the aviation safety inspector (Inspector) should briefly explain all of the requirements within the GACAR that the applicant must meet in the authorization process. The applicant should be provided with a Pre-Application Statement of Intent (PASI). It allows the GACA to plan activities and commit resources. Therefore, a potential applicant submits a copy of the PASI after reviewing the appropriate regulations and advisory material and considering the personnel, facility, equipment, aircraft, and document requirements for authorization and operation.

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**B. The Authorization Team.** The expertise of Inspectors from different disciplines is required to authorize Part 125 operators. The Office Manager assigns an appropriate authorization team after the PASI is submitted. Careful planning and management of the overall project is essential. Therefore, the Office Manager designates one member of the team as the authorization project manager (APM). The APM will be the primary spokesperson for the GACA throughout the authorization process. The person selected as APM for a Part 125 authorization should have been involved in previous authorization or certifications of the same or similar type.

**C. The Pre-application Meeting.** The APM shall contact the applicant to arrange a pre-application meeting. The applicant is advised that key management personnel, as shown on the PASI, should attend the meeting and be prepared to discuss specific aspects of the applicant's proposed operation. During the pre-application meeting, the APM should ensure the applicant is informed about the certification process. The APM must also discuss the form, content, and documents required for formal application.

- 1) The applicant is informed that GACA Inspectors furnish informal guidance and advice for the preparation of required documents and manuals, but it is the applicant's responsibility to produce acceptable documents and manuals.
- 2) The applicant should be encouraged to submit required items in draft form before submitting the formal package. Whenever a problem or change occurs in the proposed operation, the applicant should notify the APM immediately.

**D. The Schedule of Events (SOE) Format.** The SOE is intended to encourage an applicant to submit material well in advance of the date operations are proposed to begin. If, however, the application is submitted with only the minimum lead time required by the regulation, complete documents (such as procedures and policies manual) may be required at the time of formal application. The SOE, when accepted, represents a commitment on the part of both the applicant and the GACA. It also sets dates for accomplishing or submitting the listed items.

- 1) When advising the applicant on how to develop the SOE, the applicant must remember the correct sequence of events. For example, airplane conformity inspections must be completed before the commencement of the facility's physical inspection.
- 2) The number and types of events and activities that occur during authorization vary according to the operation proposed. The SOE must include a complete listing of each document to be submitted, activity to be performed, and item to be inspected.

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- 3) Failure to accomplish an item or event in a satisfactory or timely manner in accordance with (IAW) the SOE could delay authorization. In addition, if deficiencies are detected during the review of manuals or other documents, they will be returned for amendment or correction, which also may delay final authorization.
- 4) When reviewing the SOE, the team must carefully consider the feasibility of the proposed schedule with respect to logic of sequence, timeliness of events, completeness of events, and inspector availability.

### 3.4.2.7. THE FORMAL APPLICATION PHASE.

**A. The Formal Application Package.** The APM ensures the formal application package represents a feasible proposal and is of sufficient quality to continue the authorization process.

- 1) If the applicant has been thoroughly briefed and has acquired a thorough understanding of the requirements during the pre-application phase, the formal application should be of sufficient quality that any discrepancies can be resolved during the formal application meeting.
- 2) Rejecting a formal application will be a sensitive issue since the applicant most likely will have expended considerable funds and resources to prepare it. Therefore, it is important for the APM to thoroughly document the reasons for rejection. The reasons must clearly indicate that to proceed with the authorization process would not be productive. Reasons for rejection might include inadequate agreement on appropriate courses of action or evidence that the applicant has a serious lack of understanding of regulatory requirements and the authorization process.

**B. The Formal Application Meeting.** Depending on the complexity of the proposed operation, it may be appropriate to divide into two or more groups to discuss specific aspects of the application. For example, the applicant's key operations management personnel should meet with GACA Operations personnel to discuss documents dealing with testing programs or check pilot.

### 3.4.2.9. THE DOCUMENT COMPLIANCE PHASE.

**A. In-Depth Review.** In the Document Compliance Phase, the applicant's compliance statement, manuals and other documents are thoroughly reviewed for compliance with applicable



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regulations and for conformity with safe operating practices. After review by the team, each document is accepted or approved, as applicable, or rejected.

**B. The Manual(s).** GACAR § 125.77 requires an operator to prepare and keep current an Operations Manual (OM) and a Maintenance Control Manual (MCM) for the use and guidance of flight operations, ground operations, and management personnel as appropriate in conducting its operations. In addition to OM and MCM, the operator must develop Maintenance Procedure Manual (MPM) if they are proposing for inhouse maintenance of the aircraft. The manual(s) is for use by all the operator's personnel and also indicates to the GACA how the operator intends to conduct business. The manual's complexity depends upon the size and complexity of the operation as small, medium or large organization. Although the entire manual(s) does not need to be completely developed at the time of formal application, team members must ensure all required material is shown on the SOE and that adequate time is allowed for review. As a general rule, if the applicant submits the formal application only 60 calendar-days before operations are scheduled to begin and draft documents were not previously submitted, the team may require that additional manual material be submitted at the time of formal application.

- 1) The manual must be distributed IAW GACAR § 125.77. It must also contain specific items and information required by GACAR § 125.79. However, any additional items may be incorporated at the discretion of the operator.
- 2) The manual is reviewed to ensure that it is not contrary to the appropriate regulatory requirements or the proposed OpSpecs. Manuals not acceptable to the authorization team will be returned to the applicant for revision and/or correction with a "Letter of Rejection" (see Figure 3.4.1.4).

**C. Management Personnel Qualifications.** The organization must appoint the management positions as specified by GACAR § 125.31.

- 1) The organization may be managed by a person or a group of personnel under partnership or a registered corporate body in accordance with the corporate Laws of the KSA. An applicant must be an Accountable Executive who is the owner of the aircraft; or the major stakeholder of the partnership organization. The Accountable Executive for the corporate body must be the Chief Executive Officer (CEO) or the Chairman of Board of Directors of the corporate entity, having financial power to ensure that necessary resources are available for the safe operation of the aircraft.



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2) The Accountable Executive referred in § 125.31 (a) must apply for the Operator Authorization by furnishing all the details required for authorization. The applicant must submit a list of management personnel, their biodata, credentials, and a GACAR compliance checklist demonstrating the capability and readiness for operation.

3) For Small Organization, the minimum required number of post holders are given in the below table:

Sl. No	No. of aircraft operated	Management Activities	Minimum number of post holders
1.	<b>Small Operator</b> Up to Two aircraft	- Accountable Executive - Operation Manager - CAM - Safety/Quality Manager	<b>3 Post holders –</b> - Accountable Executive - Operation Manager - CAM - Quality/Safety Manager
Note:  (i) For in-house maintenance, additionally a Maintenance post holder must be appointed.  (ii) Qualified Accountable Executive can hold addition position in small organization			

a) If the Accountable Executive is having pilot experience can hold additional responsibility to function as operation manager; or Accountable executive having background experience as maintenance manager or continuing airworthiness manager can hold additional Continuing Airworthiness Manager or Quality/Safety manager.

b) The quality manager nominee can also assume the responsibility of safety manager ; the quality manager must directly report the accountable executive to avoid any conflict of interest in the safety function.

c) No post holder can hold more than two positions in the organization. Post holders can hold additional responsibility subject to the condition that it is acceptable to the president.

d) Any post holders can assume additional position upon satisfactory assessment of the suitability to the position and acceptance letter issued by the President.

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4) For Medium size Organization, the minimum required number of post holders are given in the below table:

Sl. No	No. of aircraft operated	Management Activities	Minimum number of post holders
1.	<b>Medium Sized Operator</b> A fleet of 3-5 aircraft	<ul style="list-style-type: none"> <li>– Accountable Executive</li> <li>– Director Operation</li> <li>– Chief Pilot</li> <li>– Continuing Airworthiness Manager</li> <li>– Quality Manager</li> <li>– Safety Manager</li> </ul>	<b>4 Post holders –</b> <ul style="list-style-type: none"> <li>– Accountable Executive</li> <li>– Operation Director</li> <li>– Chief Pilot</li> <li>– CAM</li> <li>– Quality/Safety Manager</li> </ul>
<p>Note:</p> <p>(i) For in-house maintenance, additionally a Maintenance post holder must be appointed.</p> <p>(ii) Qualified Accountable Executive can hold addition position in a medium sized organization</p>			

a) If the Accountable Executive is having pilot experience may hold additional responsibility to function as Director of Operation; or Accountable executive having background experience as maintenance manager or continuing airworthiness manager can hold additional Continuing Airworthiness Manager or Quality/Safety manager.

b) The Quality manager nominee can also assume the responsibility of Safety manager ; the Quality manager must directly report to the accountable executive to avoid any conflict of interest in the safety function.

c) No post holder can hold more than two positions in the organization. Post holders can hold additional responsibility subject to the condition that it is acceptable to the president as it may decided based on the type of aircraft operated.

d) Any post holders can assume additional position upon satisfactory assessment of the suitability to the position and acceptance letter issued by the President.

5) For Large Organization, the Accountable Executive must nominate suitable personnel for the below mentioned positions:

– Director of Operation

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- Chief Pilot
- Continuing Airworthiness Manager (CAM)
- Safety Manager
- Quality Manager

6) All management personnel, including change of management personnel, must be accepted by the President upon satisfactory assessment of the competency for the position.

7) The candidate will be issued with a acceptance letter for the position upon satisfactory assessment of the candidate. In case of unsatisfactory performance of nominee, the team leader will issue a letter to the Accountable Executive for not accepting the candidature for the position as soon as possible, but not later than 5 working days

8) Any post holders can assume responsibility upon satisfactory assessment of the suitability to the position and acceptance letter issued by the President.

9) Additionally, GACAR § 125.31 states that the management personnel be staffed at appropriate levels “to assure that its operations are conducted in accordance with the requirements....” of GACAR Part 125. As stated in GACAR § 125.31, the President may require the small organization to have management positions in addition to the post required in the GACAR (e.g. chief pilot) if the size, scope and complexity of the operations and aircraft type (other than commuter type) requires additional management positions. All management personnel must be listed by name and address in the Operations Manual along with their duties and title set forth by the operator.

10) The Qualification, Experience and competence assessment of various positions are given below:

a) The nominated person:

(1) For the position of Director of Operation must hold ATPL and show evidence of experience as Pilot-in-command (PIC) in the aircraft type operated by the Authorization holder, or a similar type of aircraft and served in flight operation management.

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(2) For Chief Pilot or Operation Manager position must hold CPL and show evidence of experience as Pilot-in-command (PIC) in the aircraft type operated by the Authorization holder, or a similar type of aircraft and served in flight operation management.

(3) Have at least three years of supervisory or managerial experience in a position that exercised operational control over any operations conducted.

(4) demonstrate adequate knowledge of regulations related to flight operation, ground operation, and safety management system.

(5) The authorisation team headed by APM will assess the competency of the candidate for operations management. The competency assessment consists of the following activities:

- (i) Verification of biodata and all certificates including flying qualification.
- (ii) Verification of experience flying experience with previous organization, if applicable.
- (iii) Verification of training documents for the initial training, including simulator training, classroom training, flying training and instrument rating.
- (iv) Assessing the knowledge of the post holder in the following areas:
  - Assessing the persons knowledge on the type of aircraft to be flown.
  - Assessing the persons knowledge on the operation manual of organization.

6) The certification team assessing the post holder will make necessary records of the assessment questions and the answers given by the examinee.

b) To serve as Continuing Airworthiness Manager or Maintenance Manager, the nominated person must:

- 1) have practical experience in aircraft continuing airworthiness management or

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maintenance or aircraft quality/safety management, and expertise in applying aviation safety standards and continuing airworthiness management practices.

2) have working experience on the type of aircraft operated by the Authorization holder or a similar type, and

3) have comprehensive knowledge of the Authorization holder's Maintenance Control Manual, and knowledge of the KSA Civil Aviation Law and the related GACARs.

4) The authorization team headed by APM will assess the competency of the candidate for operations management. The competency assessment consists of the following activities:

- i) Verification of biodata and all certificates including previous authorization/Approval or rating/Licence.
- ii) Verification of appropriate experience gained from the previous organization.
- iii) Verification of training documents for the aircraft maintenance or Continuing Airworthiness Management or technical services initial training, including specific aircraft type training, classroom training, OJT, and special training such as reliability, NDT, structures, or any other maintenance related training.
- iv) Assessing the knowledge of the post holder in the following areas:
  - Assessing the persons knowledge on the type of aircraft to be managed.
  - Assessing the person's knowledge of the MPM/MCM of organization.

5) The certification team assessing the post holder will make necessary records of the assessment questions and the answers given by the examinee candidate.

c) To serve as Quality Manager or Safety Manager, the nominated person must:

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- 1) have practical experience in aircraft quality/ safety management or flight operation or continuing airworthiness management and expertise in applying aviation safety standards.
- 2) have working experience on the type of aircraft operated by the Authorization holder or a similar type on operation or maintenance, and
- 3) have comprehensive knowledge of the Authorization holder's Safety Management System Manual, and knowledge of the KSA Civil Aviation Law and the related GACARs.
- 4) The Quality/Safety manager must report directly to the Accountable executive to update the information on the quality and safety performance of the operation.
- 5) The authorization team headed by APM will assess the competency of the candidate for operations management. The competency assessment consists of the following activities:
  - i) Verification of biodata and all certificates including previous authorization/Approval or rating/Licence.
  - ii) Verification of appropriate experience gained from the previous organization.
  - iii) Verification of training documents for the aircraft maintenance or Continuing Airworthiness Management or technical services initial training, including specific aircraft type training, classroom training, OJT, and special training such as reliability, Quality and Safety management related training.
  - iv) Assessing the knowledge of the post holder in the following areas:
    - Assessing the persons knowledge on the type of aircraft to be managed.
    - Assessing the person's knowledge of the MPM/MCM of organization
- 6) The certification team assessing the post holder will make necessary records of the assessment questions and the answers given by the examinee candidate.

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11) The applicant may elect to have any management positions other than the positions listed or the applicant may have more positions such as Stores and logistic Manager, Technical Services Manager, Training Manager, etc., based on the requirements of the organization. In that case, qualifications are up to the judgment of the certification team, based on the type of management position and the complexity of the operation.

12) With respect to the qualifications of the indicated positions, the Manager, Flight Operations Division, with the permission of the President may authorize any person to look after the post which fall vacant due to any organization reasons of resignation or retirement, for a period of not more than 60 days; however, the organization must fill up the vacancy within the grace period.

**D. Mass and Balance Procedures.** Per GACAR § 125.31, the applicant must designate a person as responsible for the scheduling of inspections required by the manual and for the updating of the approved mass and balance system on all aircraft.

**E. Dangerous Goods Training Program.** Each applicant must establish and implement a dangerous goods training program that:

- 1) Satisfies the applicable requirements of GACAR Part 109.
- 2) Ensures that each person performing or directly supervising any of the following job functions involving any item for transport on board an aircraft is trained to comply with all following parts of GACAR Part 109:
  - Acceptance
  - Rejection
  - Handling
  - Storage incidental to transport
  - Packaging of company material
  - Loading

**F. Compliance Statement.** An applicant may submit an Initial Compliance Statement with the

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formal application package because methods of compliance may depend on actions by the GACA (i.e., approval of the manual). When the method of compliance is finally formalized, the description can be added to the list in preparation for the Final Compliance Statement. However, the SOE must show when the final compliance statement will be submitted.

**G. Declaration of not engaging in Commercial Activities.** The Accountable Executive must submit a statement of declaration stating that the authorization holder under the 125 will not engage in any form of commercial activities of transporting personnel, cargo or mail for the purpose hire and reward.

**3.4.1.11. THE DEMONSTRATION AND INSPECTION PHASE.** In the demonstration and inspection phase, the certification team determines that the applicant's proposed procedures and programs are effective and that facilities and equipment are satisfactory. Emphasis is on compliance with regulations and safe operating practices. Throughout the demonstration and inspection phase the APM ensures that each required demonstration is observed and approved or disapproved. If at any time during this phase the applicant does not meet the SOE or if an activity or item proves to be deficient, appropriate corrective action is taken. The APM will schedule meetings with the applicant to review deficiencies in detail. Each deficiency and corrective action must be fully documented and placed in the certification file. If appropriate, the APM terminates the certification process or agrees to a modified SOE.

**A. The Emergency Evacuation /Ditching Training.** For the purpose of authorization under Part 125, the operator must ensure that cockpit crews and cabin crews have undergone satisfactory training on emergency evacuation and ditching.

**NOTE:** Aircraft manufacturers normally conduct a full scale evacuation as a part of the Aircraft Certification Process; that evacuation demonstration must be approved by the certifying regulatory authority and it must meet operational requirements relative to flight crew and cabin crew member training and emergency evacuation procedures.

GACAR § 125.107, provides that any Part 125 operator that operates a land airplane with 20 or more passenger seats installed in an extended over water operation must be approved for ditching.

**B. Records and Recordkeeping.** Part 125 subpart Q indicates the types of records which must be maintained by a Part 125 operator. Part 125, §§ 125.533, 125.535, 125.537, 125.539, 125.541, and the operator's manual contain details about the approval of procedures for flight



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release forms; disposition of the load manifest, flight release, and flight plans; aircraft maintenance logs; reports of defects or un-airworthy conditions; and airworthiness release or maintenance record entries. The Inspector should refer to those sources to check those records.

- 1) Part 125 subpart Q indicates which records must be carried on the pilot's person or on board the airplane. Crew member records, aircraft and engine logs, and other maintenance records should be kept at the main base of operations.
- 2) Records should be kept in a manner easily accessible to Inspectors. The method of storage is, of course, the choice of the operator, but retrieval and review should not require an extended or complicated process.

**C. Crew Member Requirements.** The Crew member qualification and testing requirements go beyond the normal airmen certificate qualifications and have been established to achieve a higher level of safety. Checks and tests must be given by either an Inspector or an authorized check pilot. The instrument check required by GACAR § 125.353 may be substituted for the competency check required by GACAR § 125.349 for the type of aircraft used in the instrument check.

**D. Resolving Discrepancies.** After resolving any discrepancies with any of the documents or the inspections, the applicant must notify the APM, in writing, detailing the corrective action taken. The demonstration and inspection phase should then be continued.

### 3.4.1.13. THE AUTHORIZATION PHASE.

**A. Issuance of Operating Authorization (OA) and OpSpecs.** In the certification phase, the operating certificate and approved Operations Specifications (OpSpecs) are issued after all unsatisfactory items are corrected.

- 1) No certificate shall be issued until the team determines the applicant is fully capable of fulfilling responsibilities as charged by GACAR Parts 5, 91, 109, 119 and 125.
- 2) An operator certificate is issued to the applicant when all of the following criteria are met:
  - The certification process is completed

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- Each unsatisfactory item has been corrected
- It is determined that the applicant has met all regulatory requirements and understands all responsibilities under the regulations
- It has been determined the applicant is capable of complying with GACAR Parts 5, 91, 109 and 125 on a continuing basis
- The applicant's ability to conduct operations in a safe manner has been demonstrated

**B. The Authorization Report.** After an operator is certificated, the CPM prepares a certification report and includes it in the office file for the operator. It includes the name and title of each Inspector who assisted in the certification project and is signed by the CPM. It details any problems with the certification project and their resolutions.

**C. Post-Authorization Plan.** In most cases, members of the certification team become the principal inspectors (PIs) for the new operator. In the event the Office Manager assigns different Inspectors as principals, the certification team recommends a post-certification inspection plan for future surveillance of the GACAR Part 125 operator. The plan emphasizes problem areas noted during certification. The team may recommend scheduling surveillance before it is due in the annual work program. During certification and afterwards, Inspectors work with the operator to eliminate problems at an early stage. Meaningful recommendations assist the operator in continuing regulatory compliance and in instituting changes needed in the methods or techniques of operation, inspection, or maintenance during this early period of operation.

**D. Amendments.** If a certificate is amended to reflect an address change, the date of original issuance shall be shown on the new certificate. A change of official name must be approached with care. Whatever the complexity of the legal name change, it has the effect of a new certification; therefore, a new certificate and certificate number shall be issued. For this situation, the issuance date of the new certificate will be entered in the space provided on the certificate.

### 3.4.1.15. PREREQUISITES AND COORDINATION REQUIREMENTS.

**A. Prerequisites.** This task requires knowledge of regulatory requirements in GACAR Parts 5, 91, 109, 119 and 125, GACA policies, and, specifically:

- Knowledge of the certification process

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- Familiarization with task background
- Qualification as an Inspector (Operations) or (Airworthiness)

**B. Coordination.** This task will require coordination between the operations and airworthiness units.

### 3.4.1.17. REFERENCES, FORMS, AND JOB AIDS.

#### A. References:

- GACAR Parts 1, 5, 61, 91, 109, 119, and 125

#### B. Forms:

- Pre-Application Statement of Intent (PASI)

#### C. Job Aids:

- Figure 3.4.1.1, Part 125 Schedule of Events (SOE)
- Figure 3.4.1.2, Part 125 Operator Authorization Job Aid

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- Figure 3.4.1.3, Part 125 Sample Letter Rejecting Formal Application Package
- Figure 3.4.1.4, Part 125 Sample Letter Rejecting Operator's Manual
- Figure 3.4.1.5, Part 125 Sample Formal Application Letter
- Figure 3.4.1.6, Part 125 Sample Letter Acknowledging Receipt/Acceptance of Formal Application
- Figure 3.4.1.7, Part 125 Sample Letter Denying Certification

### 3.4.1.19. PRE-APPLICATION PHASE PROCEDURES.

**A. Initial Inquiry.** Upon initial inquiry from an applicant, the Inspector must determine if the proposed operation will meet the following aspects:

- Non-commercial operations of turbojets, transport category airplanes, transport category rotorcraft, or commuter category airplanes by a person that holds or is required to hold an Operator Certificate (OC) under General Authority of Civil Aviation Regulation (GACAR) Part 119
- The aircraft must have an appropriate and current airworthiness certificate and instruments and equipment required for the type of operations to be conducted

**B. GACA Office Review of a PASI.** Within 5 working days of receipt of a signed PASI, review it to determine if the information is complete, accurate, and acceptable.

- 1) If the PASI is unacceptable, note the reasons. Notify the applicant in writing of any discrepancy and that a new PASI is required.
- 2) Process the PASI utilizing standard GACA office procedures.

**C. Pre-application Meeting.** As CPM, assure that the following is covered during the Pre-application Meeting:

- 1) The team reviews the PASI with the prospective operator and verifies that all information is current and correct. Assure that the applicant notes any changes on the PASI.

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- a) If there are changes which significantly affect the anticipated scope or type of operation, forward a copy of the revised PASI to the Manager, Flight Operations Division.
  - b) If the changes indicate the need to reassign authorization responsibilities, terminate the meeting. Advise the applicant that he will be notified of the new certificating office within 15 working days.
- 2) Advise the applicant of all applicable regulations and recommend the applicant review (or re-review) those GACARs.
- 3) Give the applicant at least the following:
- Part 125 Schedule of Events (SOE) (Figure 3.4.1.1)
  - Part 125 Operator Authorization Job Aid (Figure 3.4.1.2)
  - GACA SMS Advisory Circular
- 4) Advise the applicant that a formal application must be submitted at least 60 days before the proposed start-up date. Ensure that the application package consists of at least the following:
- A formal application letter (Figure 3.4.1.5)
  - An SOE (Figure 3.4.1.1)
  - An Initial Compliance Statement
  - Procedures and policies manual(s)
  - Documentation that applicant has or intends to acquire airplanes and facilities
- 5) Ensure that the applicant understands the Operator Authorization procedures, as well as the form, content, and documents required for formal application.

**D. Terminating the Pre-application Phase.** Terminate the pre-application phase when the team is satisfied that the applicant is prepared to proceed with formal application. Verify that the

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applicant intends to continue the certification process. Advise the applicant to contact the CPM regularly on the status of certification efforts. Inform the applicant that if there is no communication within 60 days, certification efforts will be terminated.

**3.4.1.21. FORMAL APPLICATION PHASE PROCEDURES.** Within 5 working days after receiving a formal application package, review it and determine whether each item required for formal application has been submitted. If any required item is missing, reject the entire application and return it to the applicant with a letter stating the reasons for rejection (Figure 3.4.1.3). Since the application package is reviewed in depth during the upcoming Document Compliance Phase, ensure only that the following required items are included in the application package:

**A. Formal Application Letter.** If the Formal Application Letter is unacceptable or incomplete, the APM will notify the applicant, as soon as practical of the reasons and request a corrected resubmission. The notification can be telephonically, but must be followed up in writing. The APM will annotate the certification file noting as to who was notified, time, and date.

**B. SOE.** Check the SOE to ensure it lists items, activities, programs, airplanes, or facility acquisitions required for Operator Authorization and the applicant's best estimate of the date the item will be acquired or ready for inspection.

**C. Initial Compliance Statement.** Determine that the initial compliance statement contains a complete listing of all GACAR Parts 5, 91, 109, 119 and 125 regulations pertinent to the proposed operation.

- 1) The list should refer to applicable subparts and each relevant section of the subparts.
- 2) If the method for compliance is known at the time the formal application letter is submitted, the applicant must provide a brief narrative description next to each section, preferably giving a specific reference to a manual or other document which describes how the applicant will comply with each regulation.

**D. Procedures and Policies Manual(s).** Ensure that the procedures and policies manual(s) contain information about the applicant's organization, general policies and procedures, duties and responsibilities of personnel, and operational control procedures.

- 1) If a partial manual is submitted at this stage, ensure that it shows compliance with at least § 125.79 and GACAR Part 125 Appendix A.

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2) Ensure that the manual indicates sufficient management personnel to conduct operations safely and IAW the requirements of GACAR Part 125.

a) The manual(s) required by GACAR § 125.77 must establish the duties, responsibilities, and authority of management personnel; list the names, addresses, and telephone numbers of each person employed in a management position; and designate the persons responsible for scheduling inspections and for updating the approved mass and balance information on all airplanes operated by the applicant.

b) After certification, operators are required by GACAR § 125.31(c) to notify the GACA of any change made in the assignment of persons in a management position within 10 days of such a change.

**E. Leases, Agreements, Contracts.** If any required facilities or services are to be supplied by parties other than the applicant, ensure that copies of the associated contracts are submitted with the application. If a formal contract has not been completed, accept letters showing agreement between the contracting parties.

**F. Formal Application Meeting.** As CPM, schedule and conduct the formal application meeting. Assure that the following is accomplished during the meeting:

- 1) Except for unanticipated circumstances, each member of the certification team should be present.
- 2) During the meeting the team and the applicant reviews each document and resolves each discrepancy.
- 3) Thoroughly review the upcoming Operator Authorization process and discuss the effect on the applicant of not meeting the SOE.
- 4) If any discrepancy cannot be resolved, terminate the meeting and inform the applicant that the formal application is not acceptable. Return the formal application package to the applicant with a letter explaining the reasons for the rejection (see Figure 3.4.1.4).
- 5) Before concluding the meeting, ensure the applicant clearly understands the following:
  - a) The applicant will receive written notification of acceptance or rejection of the

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application package within 5 working days after the meeting.

b) Accepting a formal application package does not constitute acceptance or approval of the attachments. Each document must be reviewed further, and the applicant must take corrective action as required. Acceptance or approval of each attachment shall be indicated as the certification process continues.

c) If the applicant is unable to meet the SOE or if the facilities are not ready for inspection as indicated on the transmittal letter, the APM shall terminate the certification until a revised SOE is submitted and accepted. Consequently, the proposed start-up date could be delayed.

6) If the application package is acceptable enough to begin the in-depth review, prepare a letter accepting the formal application and forward it to the applicant within 5 working days after the meeting (Figure 3.4.1.6).

7) If the application package is rejected, the CPM must return the application and attachments within 5 working days with a letter stating specific reasons for rejection (Figure 3.4.1.3).

8) If the applicant does not submit a corrected formal application and it becomes apparent that the applicant does not intend to proceed with Operator Authorization, notify the Director, Flight Operations Division.

**3.4.1.23. DOCUMENT COMPLIANCE PHASE PROCEDURES.** After accepting the formal application package, ensure each document is complete and correct through an in-depth review.

**A. Document Review.** Review documents by simultaneous reference to the GACARs, any completed portion of the initial compliance statement, and the appropriate manual or document.

1) Formal Application Letter. Ensure that the Formal Application Letter (Figure 3.4.1.6) contains at least the following:

a) A statement that it is a formal application for a GACAR Part 125 Operator Authorization (OA).

b) The applicant's mailing address and the physical location of its principal base of



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operations.

- c) A list of flight crew members and the type of certificates held, including certificate number and ratings.
- d) The names of key management personnel.
- e) The names, titles, and signatures of persons authorized to sign OpSpecs on behalf of the operator.
- f) The letter must be signed by the accountable executive identified in accordance with GACAR Part 5.

2) Schedule of Events. Ensure that the schedule flows in a logical, sequential manner throughout the certification process and provides a reasonable amount of time for the GACA to review and accept or approve each item or event. Figure 3.4.1.1 is a sample format for a SOE. Encourage the applicant to use this format. Accept other formats if they provide the information necessary for the team to ensure the applicant is proceeding in an appropriate manner.

### 3) Compliance Statement (Initial or Final).

- a) Ensure that the applicant has listed specific regulations and subparts in the same sequence as the regulations.
- b) Where the compliance information has been developed (for example, the manual material submitted with the formal application), ensure that a manual reference or a description of the method of compliance has been included with the applicable regulatory section. If the method of compliance has not been fully developed, explain that the applicant must submit a final compliance statement which does provide this information.
- c) Review and accept the Final Compliance Statement before conducting inspections and demonstrations. Examples of compliance statement entries are:

1. GACAR § 125.425, Rest Period Requirements. The company manual advises that each flight crew member and cabin crew member must be relieved from all duty

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for at least 8 consecutive hours during any 24 hour period.

2. GACAR § 125.5, Carriage of Psychoactive Substances. If the certificate holder permits any aircraft owned or leased by that holder to be engaged in any operation that the certificate holder knows to be in violation of GACAR § 91.21, that operation is a basis for suspending or revoking the certificate.

3. GACAR § 125.309, Aircraft Inspection Programs. Instructions, procedures, and standards for the conduct of inspections for the particular make and model of aircraft, including necessary tests and checks.

4) Required Manual(s). (See Volume 4, Chapter 12, Manuals, Procedures and Checklists)

5) Management Personnel. Each applicant for a Operator Authorization under this part must show that it has enough management personnel to assure that its operations are safely and in compliance with the requirements of this part. The number of post holder required for operator authorization depends on the size and complexity operation. The operator may required to nominate a minimum of 3 post holders for small organization and a minimum of 6 post holder for a large organization, however all management personnel must be listed by name and address in the Operations Manual along with their duties and title set forth by the operator. Per GACAR § 125.33, the qualification, experience and various competencies required for the respective positions are described in this eBook (C) 9(a) through (c) in this section.

6) Documents & Manuals. Ensure that minimum equipment lists (MEL), cockpit checklists, and airplane performance documents are contained in the policies and procedures manual or approved Aircraft Flight Manual (AFM).

7) Approve OpSpecs.

8) Approve the noise emission control plan. No person may operate to or from any aerodrome in the KSA any civil subsonic jet (turbojet) airplane over 34,000 kg (75,000 lbs.) unless that airplane has been shown to comply with Chapter 3 or Chapter 4 noise levels under GACAR Part 36.

9) Mass and Balance. Ensure that the mass and balance control program is contained in the policies and procedures manual.

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10) Crew Qualifications. Examine proof of crew member qualifications.

- a) Ensure that pilots designated as PIC meet the requirements of GACAR §§ 125.343, 125.347, 125.349, and 125.353.
- b) Ensure that pilots designated as second in command (SIC) meet the requirements of GACAR § 61.19, and GACAR §§ 125.345 and 125.349.
- c) Ensure that pilots designated as Flight Engineers (FE) hold current FE certificates and meet the recent experience requirements in GACAR § 125.337(b).
- d) Ensure that all pilots have passed a written or oral test, IAW the requirements of GACAR § 125.349(a), and a competency check required by GACAR § 125.349(b).
- e) Ensure that all cabin crew members have passed a written or oral test, IAW the requirements of GACAR § 125.351.

11) Inspection Programs. Approve inspection programs and maintenance procedures (Airworthiness).

12) Emergency Evacuation/Ditching. Review the emergency evacuation/ditching training records, if applicable.

13) Misc. Documents. Review any other document referenced in the procedures and policies manual.

**B. Unacceptable Documents.** If deficiencies are found in any document submitted by the applicant, note the deficiencies in writing for the office files. Be prepared to offer suggestions on how to improve the product but avoid “writing” the applicant’s documents. If the documents are not of sufficient quality to warrant further review, schedule a meeting with the applicant to review each deficiency in detail. If appropriate, advise the applicant of either the impracticability of continuing the certification project or agree to a modified SOE that allows time to correct deficiencies.

**3.4.1.25. DEMONSTRATION AND INSPECTION PHASE PROCEDURES.** During the demonstration and inspection phase, the CPM shall ensure the following is accomplished:

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**A. Maintenance Personnel.** Observe company or contract maintenance personnel as they perform scheduled and unscheduled aircraft maintenance and inspections.

**B. Review Aircraft Records.** Review aircraft records to ensure there is a clear understanding between the operator's operations personnel and maintenance personnel on what record entries must be made and who should make them.

**C. Aircraft Conformity Inspection.** Inspect aircraft for conformity with appropriate Type Certificates (TCs) and regulations.

**D. Evaluate Maintenance Facilities.** This evaluation should be made by the Principal Maintenance Inspector (PMI). Concurrence with the Principal Operations Inspector (POI) is helpful but not necessary.

**E. Conduct a Base Inspection.** (See Volume 12, Chapter 7, Section 4)

**F. Conduct or Observe Pilot Qualification Functions.** (See Volume 9, Chapter 2, Section 7)

**G. Approve Check Pilot.** As applicable, designate a check pilot or check FE (See Volume 4, Chapter 20, Section 3)

**3.4.1.27. AUTHORIZATION PHASE PROCEDURES.** When the applicant has met all regulatory requirements for authorization, the ALT shall do the following:

**A. Prepare and Issue the Operator Authorization (OA).**

**B. Certification Report.** Assemble a certification report containing the following (as applicable):

- A copy of the PASI
- The certification job aid
- The letter of application
- The SOE
- The Final Compliance Statement

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- The Emergency Evacuation/Ditching Demonstration Evaluation
- A copy of the Operating Certificate issued
- A copy of each OpSpec issued
- A copy of the procedures and policies manual and SMS manuals
- A summary of any difficulty encountered during certification and its resolution

1) Retain the original certification report in the GACA office.

**C. OpSpecs.** Issue the OpSpecs approved in the Document Compliance Phase.

**D. Office File.** Establish an official office file after certification is complete. The file shall contain at least the following:

- The certification report and attachments
- Approved MELs, if applicable
- Future surveillance reports
- General correspondence relevant to the operator or agency

**3.4.1.29. GACA ACTIVITY REPORT (GAR).** Complete the GAR.

**3.4.1.31. TASK OUTCOMES.** Completion of this task results in either:

- Issuance of a certificate and OpSpecs authorizing operations under GACAR Part 125
- A record on file consisting of the following:
  - o Written notification to the applicant denying the certificate (Figure 3.4.1.7).
  - o Indication of the return of all original documents to the applicant.

**3.4.1.33. FUTURE ACTIVITIES.**

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**A. Develop Post-Certification Plan.** When developing a post-certification plan, the Inspector should perform additional surveillance or inspections during the first 90 days the organization is in business.

**B. Conduct Surveillance.** According to the established post-certification plan, conduct surveillance at appropriate intervals.

**Figure 3.4.1.1. Part 125 Schedule of Events**

<b>PART 125 SCHEDULE OF EVENTS</b>				
<b>Official Name of Company:</b> _____		<b>Location Address:</b> _____  <b>Mailing Address (if different):</b> _____		
DATE READY FOR GACA INSP.	FORMAL APPLICATION PHASE	Date Received	Date Returned	Date Approved/ Accepted
	Formal Application Letter			
	Schedule of Events (SOE)			
	Status of SMS Program			
	Required Manuals			
	Documents of Purchase, Contracts, Leases, and/or Letters of Intent			
	Initial Compliance Statement			
<b>DOCUMENT COMPLIANCE PHASE</b>				
	<b>Training Programs:</b>			
	Maintenance Personnel			
	Inspection Personnel			
	Ground Handling/Serviceing			
	<b>Manuals:</b>			
	Completed Manuals			
	Approved Aircraft Flight Manual			
	<b>Maintenance Technical Manuals:</b>			
	Airframe/Powerplant			
	Structural Repair			

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DATE READY FOR GACA INSP.	FORMAL APPLICATION PHASE	Date Received	Date Returned	Date Approved/ Accepted
	Parts Catalogue			
	Inspection Procedures			
	Manufacturer's or Vendor's Manual			
	Wiring Manual			
	Overhaul Manual			
	Aircraft Checklists			
	Training Contracts			
	Maintenance Contracts/Agreements			
	Aircraft Lease Agreements			
	Final Compliance Statement			
	OpSpecs			
	Flight Release Procedures			
	MEL			
	CDL			
<b>DEMONSTRATION AND INSPECTION PHASE</b>				
	Training Facilities			
	Training/Testing			
	Flight Crew Members			
	Check Pilot			
	Cabin Crew Members			

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DATE READY FOR GACA INSP.	FORMAL APPLICATION PHASE	Date Received	Date Returned	Date Approved/ Accepted
	<b>Flight Locating</b>			
	<b>Dangerous Goods</b>			
	<b>Maintenance Training</b>			
	<b>Aircraft Conformity Inspection</b>			
	<b>Main Operations Base</b>			
	<b>Main Maintenance Base</b>			
	<b>Flight Locating Facilities</b>			
	<b>Recordkeeping:</b>			
	<b>Operations</b>			
	<b>Maintenance</b>			
	<b>Inspections</b>			
<b>REMARKS</b>				



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Figure 3.4.1.2. Part 125 Certification Job Aid

NAME OF APPLICANT:	INSP. INITIAL	DATE														
<b>I. PRE-APPLICATION PHASE</b>																
<b>A. INITIAL ORIENTATION:</b>																
1. DETERMINE ELIGIBILITY																
2. SCHEDULE OF EVENTS (SOE)																
3. PRE-APPLICATION STATEMENT OF INTENT																
<b>B. CERTIFICATION TEAM DESIGNATED (at least one Operations and one Airworthiness Inspector)</b>																
<table style="width: 100%; border: none;"> <tr> <td style="width: 35%; text-align: center;">Name</td> <td style="width: 35%; text-align: center;">Specialty</td> </tr> <tr> <td>APM _____</td> <td>_____</td> </tr> <tr> <td>_____</td> <td>_____</td> </tr> <tr> <td>_____</td> <td>_____</td> </tr> <tr> <td>_____</td> <td>_____</td> </tr> <tr> <td>_____</td> <td>_____</td> </tr> <tr> <td>_____</td> <td>_____</td> </tr> </table>	Name	Specialty	APM _____	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____		
Name	Specialty															
APM _____	_____															
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_____	_____															
<b>C. CONDUCT PRE-APPLICATION MEETING:</b>																
1. VERIFY PASI INFORMATION																
2. OVERVIEW OF CERTIFICATION PROCESS																
3. PROVIDE CERTIFICATION PACKAGE																
a. Certification Job Aid																
b. Schedule of Events																
4. EXPLAIN FORMAL APPLICATION SUBMISSIONS																
REMARKS:																

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	<b>INSP. INITIAL</b>	<b>DATE</b>
<b>II. FORMAL APPLICATION PHASE</b>		
<b>A. REVIEW APPLICANT'S SUBMISSIONS</b>		
<b>1. FORMAL APPLICATION LETTER</b>		
<b>a. Mailing address</b>		
<b>b. Principal base of operations</b>		
<b>c. List of Flight Crew Members</b>		
o Certificate numbers		
o Ratings		
<b>d. Key Management Personnel</b>		
<b>e. Persons authorized to sign OpSpecs</b>		
o Name		
o Title		
o Signature		
<b>2. SCHEDULE OF EVENTS (SOE)</b>		
<b>3. INITIAL COMPLIANCE STATEMENT</b>		
<b>4. POLICIES AND PROCEDURES MANUAL</b>		
<b>5. CONTRACTS, LEASES, ETC.</b>		
<b>6. AGREEMENTS</b>		
<b>7. LETTERS OF INTENT</b>		
<b>8. STATUS OF SMS PROGRAM</b>		
<b>B. EVALUATE GACA RESOURCE CAPABILITY</b>		
<b>C. FORMAL APPLICATION MEETING</b>		
<b>1. SCHEDULE MEETING Date: _____ Time: _____</b>		
<b>2. DISCUSS EACH SUBMISSION</b>		
<b>3. RESOLVE DISCREPANCIES/OPEN ITEMS</b>		
<b>4. REVIEW CERTIFICATION PROCESS</b>		
<b>5. REVIEW IMPACT ON SCHEDULE OF EVENTS</b>		
<b>D. ISSUE LETTER ACCEPTING/REJECTING APPLICATION</b>		
<b>REMARKS:</b>		

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	INSP. INITIAL	DATE RECEIVED	DATE RETURNED	DATE ACCEP.
<b>III. DOCUMENT COMPLIANCE PHASE</b>				
<b>A. EVALUATE FINAL COMPLIANCE STATEMENT</b>				
<b>B. EVALUATE MANAGEMENT QUALIFICATIONS (as applicable)</b>				
<b>1. DIRECTOR OF OPERATIONS</b>				
<b>2. INSPECTION SCHEDULER</b>				
<b>3. CHECK PILOT</b>				
<b>C. EVALUATE APPLICABLE DOCUMENTS, CONTRACTS, LEASES, AND AGREEMENTS</b>				
<b>1. AIRCRAFT LEASES</b>				
<b>2. MAINTENANCE CONTRACTS/AGREEMENTS</b>				
<b>3. SERVICING CONTRACT/AGREEMENT</b>				
<b>D. EVALUATE POLICIES/ PROCEDURES MANUAL</b>				
<b>E. AIRCRAFT FLIGHT MANUAL</b>				
<b>F. MAINTENANCE TECHNICAL MANUALS</b>				
<b>G. OPSPECS</b>				
<b>H. EMERGENCY EVALUATION PLAN</b>				
<b>I. BRIEFING CARDS</b>				
<b>J. MINIMUM EQUIPMENT LIST</b>				
<b>REMARKS:</b>				

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	INSP. INITIAL	DATE BEGUN	DATE COMPL'D	DATE APP. ACC.
<b>IV. DEMONSTRATION &amp; INSPECTION PHASE</b>				
<b>A. EVALUATE APPLICANT CONDUCTING TRAINING</b>				
1. MAINTENANCE				
2. SERVICING				
3. INSPECTION				
<b>B. PILOT TESTING/ CERTIFICATION</b>				
1. FLIGHT CREW MEMBERS				
2. CABIN CREW MEMBERS				
<b>C. INSPECT AIRCRAFT FOR CONFORMITY</b>				
<b>D. INSPECT BASE</b>				
<b>E. INSPECT MAINTENANCE FACILITY</b>				
<b>F. INSPECT RECORDKEEPING PROCEDURES</b>				
1. AIRCRAFT MAINTENANCE RECORDS				
2. TRAINING RECORDS				
3. AIRMAN RECORDS				
4. FLIGHT CREW DUTY RECORDS				
5. MAINTENANCE CREW DUTY RECORDS				
6. CABIN CREW MEMBER RECORDS				
7. INSPECTION RECORDS				
<b>G. EVALUATE EMERGENCY EVACUATION</b>				
<b>H. INSPECT FLIGHT LOCATING FACILITIES</b>				
REMARKS:				

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<b>V. CERTIFICATION PHASE</b>	<b>INSP. INITIAL</b>	<b>DATE COMPL'D</b>
<b>A. APPROVE OPERATIONS SPECIFICATIONS</b>		
<b>B. PRESENT CERTIFICATE &amp; OPSPECS TO CERTIFICATE HOLDER</b>		
<b>C. PREPARE CERTIFICATION REPORT</b>		
<b>1. ASSEMBLE ATTACHMENTS</b>		
<b>2. OUTLINE PROBLEMS</b>		
<b>3. SUGGESTIONS TO IMPROVE CERTIFICATION     PROCESS</b>		
<b>4. DISTRIBUTE REPORT</b>		
<b>D. DEVELOP SURVEILLANCE PLAN</b>		
<b>REMARKS:</b>		

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**Figure 3.4.1.3. Part 125 Sample Letter Rejecting Formal Application Package**

GACA Letterhead

[Date]

[Applicant's Name and Address]

Dear [Name of appropriate official]:

Enclosed is the formal application package you submitted for a General Authority of Civil Aviation Regulation (GACAR) Part 125 operator certificate. It does not contain several of the fundamental elements needed to continue the authorization process. We have noted the following problems:  
[Indicate discrepancies in detail.]

- 1.
- 2.
3. (etc)

If we do not receive a corrected formal application package within 60 days, you will be notified that this authorization project is terminated.

Sincerely,

*(ATL signature)*

Authorization Team Leader

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**Figure 3.4.1.4. Part 125 Sample Letter Rejecting Operator's Manual**

GACA Letterhead

[Date]

[Applicant's Name and Address]

Dear [name of authorized official]:

The Authorization team assigned to your application for a General Authority of Civil Aviation Regulation (GACAR) Part 125 operator authorization has reviewed the proposed operator's manual, required by GACAR § 125.77. The manual is unacceptable and is being returned for the following reasons:

- 1.
- 2.
3. (etc.)

A review of the manual's required contents, found in GACAR § 125.79 should provide sufficient guidance for you in correcting the above discrepancies. Issuance of your authorization will be withheld until a corrected manual has been submitted in an acceptable form. Please call this office with any questions you may have.

Sincerely,

*(ATL signature)*

Operator Authorization Team Leader

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**Figure 3.4.1.5. Part 125 Sample Formal Application Letter**

June 1, 2013

Manager, Flight Operations Division  
GACA AVSES

*(Address)*

Dear Sir:

Avalon Aviation, Inc. hereby makes application for an Operator Authorization to conduct operations in accordance with the provisions of General Authority of Civil Aviation Regulation (GACAR) Part 125.

Avalon Aviation, Inc. intends to conduct flight operations in the Kingdom of Saudi Arabia (KSA) and internationally.

The attached pages outline how Avalon Aviation, Inc. intends to comply with appropriate sections of GACAR Parts 5 and 125. We intend to commence flight operations on December 1, 2013.

Mr. \_\_\_\_\_ has been appointed as Director of Flight Operations. All correspondence relative to this application and future activities of Avalon Aviation, Inc. should be addressed to his attention.

Sincerely,

*(Signature)*

President



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**Figure 3.4.1.6. Part 125 Sample Letter Acknowledging Receipt/Acceptance of Formal Application**

GACA Letterhead

[Date]

[Applicant's Name and Address]

Dear [Name of appropriate official]:

This is to acknowledge receipt on January 15, 2012, of your application for a General Authority of Civil Aviation Regulation (GACAR) Part 125 operator authorization and the associated schedule of events. After cursory examination we have determined that your application package is of satisfactory quality for us to continue with the authorization process. Acceptance of the application package does not constitute a determination of acceptability of individual documents. This will be determined during an in-depth examination for compliance, which is currently being conducted. Unless we discover problems with compliance, the authorization team will be ready to conduct inspections in accordance with your schedule of events.

Sincerely,

*(ATL signature)*

Authorization Team Leader

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**Figure 3.4.1.7. Part 125 Sample Letter Denying Operator Authorization**

GACA Letterhead

[Date]

[Applicant's Name and Address]

Dear [Name of appropriate official]:

Enclosed are the various documents submitted during the attempt to authorise you as a General Authority of Civil Aviation Regulation (GACAR) Part 125 operator. Your application for this Operator Authorization is denied for the following reasons: [Provide detailed reasons and supportive material.]

- 1.
- 2.
3. (etc.)

If, after the noted problems have been corrected, you wish to attempt authorization again, the process will be initiated from the beginning as a new authorization project.

Sincerely,

(signature)

Manager, Flight Operations Division

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### CHAPTER 5. THE CERTIFICATION PROCESS FOR PART 133

#### Section 1. Specific Part 133 Certification Guidance

##### 3.5.1.1. GENERAL AUTHORITY OF CIVIL AVIATION (GACA) ACTIVITY REPORT (GAR).

A. 1202 (OP)

B. 3202 (AW)

##### 3.5.1.3. GENERAL.

**A. Direction and Guidance.** This chapter provides direction and guidance on the certification process of General Authority of Civil Aviation Regulation (GACAR) Part 133 aerial work operators.

**B. Certification Process.** In addition to the guidance found in this Chapter, the prospective operator and the General Authority of Civil Aviation (GACA) should follow the certification process found in Volume 3, Chapter 1, The Generic Certification Process for Air Operators and Air Agencies.

##### 3.5.1.5. INITIAL INQUIRIES OR REQUESTS.

**A. Initial Inquiries.** Initial inquiries about certification or requests for application may come in various formats from individuals or organizations. These inquiries should be in the form of meetings with GACA personnel, which may include: Assistant President (AP), Safety, Security & Air Transport Sector, General Manager, Aviation Safety Standards (GMAS); General Manager, Economic Evaluation (GMEE); Manager of Flight Operations (FO); and Manager of Airworthiness (AW).

**B. Preliminary Discussion.** At the initial inquiry meeting, the aviation safety inspector (Inspector) should briefly explain all of the requirements within the GACAR that the applicant must meet in the certification process. The applicant should complete the Pre-Application Statement of Intent (PASI). In addition, the applicant should provide their contact information to the GACA and receive from GACA, the contact information of the GMEE, FO and AW. The

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Inspector should ask the applicant to schedule an appointment for a pre-application meeting, allowing enough time for the applicant to thoroughly review and understand GACA requirements.

**NOTE:** The applicant should provide the completed PASI to the GMAS, FO and AW, prior to the pre-application meeting. Upon receipt, these documents will be forwarded to the applicable Departments/Divisions for review.

**3.5.1.7. CERTIFICATION TEAM.** The Manager, Flight Operations Division (in coordination with the GMAS) will use the guidance found in Volume 3, Chapter 1, Section 1, paragraph 3.1.1.7 for the assignment, qualifications, duties and responsibilities of Inspectors on the certification team. The Inspector assigned as the Certification Project Manager (CPM) has the responsibility to complete the Aerial Work Operator Certification Job Aid (133) (Figure 3.5.1.1). The CPM should send a notice to the applicant informing them of the certification team assignment (Figure 3.5.1.2, CPM Designation)

**NOTE:** A modified version of the Certification Team may be utilized for smaller aerial work operations. The Manager, Flight Operations Division will determine the size and scope of the certification process.

**3.5.1.9. INITIAL CERTIFICATION TEAM BRIEFING.** A briefing of the certification team will be held prior to the pre-application meeting with the applicant. At this briefing, the team will review the applicants PASI. In addition the following administrative activities will be conducted:

- Create a certification file
- Maintain hard copies of all official correspondence to/from applicant
- Inform other team members

### **3.5.1.11. PRE-APPLICATION MEETING.**

**A. General.** In preparation for the meeting, the assigned CPM should remind the applicant that the applicant's 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. The CPM should discuss the certification process in depth. Emphasis should be placed on the expectations of the GACA, what the applicant should expect from the GACA, and

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the sequence of events. The applicant should be encouraged to ask questions during the discussion. The CPM should have all attendees sign the Attendance Roster (Figure 3.5.1.3, Attendance Roster).

**B. Verifying Information on the PASI.** The first item for discussion should be verification of the information on the PASI, 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 PASI. If the changes significantly affect the anticipated scope and/or type of operation, a revised PASI shall be forwarded to the GACA.

**C. Briefing of the Applicant.** 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 they understand the certification process using the Aerial Work Operator Certification Job Aid (Part 133) (Figure 3.5.1.1) as a guide to facilitate the discussion and to ensure that all elements of the certification process are covered. The applicant should be encouraged to ask questions about any area of the process not clearly understood. The CPM should provide the Pre-Application Checklist (PAC) (Figure 3.5.1.4, Pre-Application Checklist) to the applicant.

**D. Management Qualifications.** Management qualifications must be reviewed by the certification team to determine that there is a resume for each required management position and that these resumes 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. A detailed review of the management qualifications and effectiveness will be accomplished during the document compliance and the demonstration and inspection phases.

**E. Informing the Applicant of Pertinent Regulations.** It is essential that the applicant understand which regulations are applicable to the proposed operation. The applicant should be advised to acquire and become familiar with the GACARs and other guidance pertinent to the proposed operation. 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.

**F. Economic Authority for Foreign Registered Aircraft.** As stated in GACAR § 133.13(c), “No person may conduct aerial work operations under this part with foreign registered aircraft without holding appropriate economic authority from the General Authority of Civil Aviation (GACA)”. The applicant should be advised that it is the applicant's responsibility to apply for

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and obtain the appropriate GACA economic authority and that the GACA will not issue the operations specifications (OpSpecs) until economic authority is obtained.

- 1) It is the responsibility of the applicant to submit the original application for economic authority to the Air Transport Department.
- 2) Prior to the Formal Application meeting the CPM should contact the Air Transport Department to check on the progress of the economic authority request.

### 3.5.1.13. INSTRUCTIONS TO THE APPLICANT ON THE FORMAL APPLICATION.

**A. Requesting the Formal Application.** The applicant shall be informed that the formal application must be submitted to the GACA at least 90 calendar days prior to the proposed formal application meeting to allow the GACA to prepare resources. Shorter time frames may be permitted with the agreement of GACA management. After initial review, GACA will notify the applicant of its acceptance or rejection by letter within 5 working days. The applicant should be encouraged to submit the formal application as far in advance as possible of the intended starting date. The following documents must be submitted when requesting the formal meeting:

- Formal application letter
- List of proposed operations specifications (OpSpecs)
- An up to date PASI if there have been any changes to the original PASI

**NOTE:** The CPM should inform the applicant that while GACA 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.

**B. Formal Application Letter.** The formal application letter serves as the vehicle to transmit the package of documents required to be certificated. The CPM shall inform the applicant that the formal application must be a letter containing a statement that the letter serves as a formal application for an aerial work operator certificate. The letter must contain the full and official name of the applicant. This letter must be signed by the owner when applying as an individual or sole proprietorship, all partners when applying as a partnership, or an authorized officer(s) when applying as an organization such as a company or a corporation. The letter shall contain

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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 (if applicable). Additionally, the letter will confirm the identity of key management personnel such as the operations manager and chief pilot.

**3.5.1.15. FORMAL APPLICATION ATTACHMENTS.** In addition to the documents listed in paragraph 3.5.1.13 above, the formal application letter must be accompanied with the attachments listed in the Pre-Application Checklist (Figure 3.5.1.4). The applicant must understand that this letter and these attachments will be the minimum information acceptable for meeting the requirements of the GACARs. Below is the guidance to be used when evaluating several of the key certification documents.

**A. Schedule of Events.** The applicant needs to understand that the schedule of events is a key document to be presented with the formal application. The schedule of events is a list of items, activities, programs, aircraft and/or facility acquisitions that the applicant must accomplish or make ready for GACA inspection before certification. 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. The applicant shall be informed that the schedule of events must be constructed in a logical and sequential manner. The schedule of events must also provide for a reasonable amount of time for the GACA to review and accept or approve each item or event, before scheduling other items or events that are dependent on such acceptance or approval. 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. The applicant should be advised that if deficiencies are detected during the review of manuals and other documents, they will be returned for amendment or correction. (See Figure 3.5.1.5, Schedule of Events)

**B. Company Operations Manual (OM).** This attachment to the formal application may be in the form of one or more manuals or volumes. The operations manual(s) must contain the items specified in GACAR § 133.63, Manual Contents.

**NOTE:** The applicant's manuals, as required by GACAR § 133.61, must be completely developed at the time of formal application to satisfy the requirements of Phase 4 - Demonstration and Inspection.

**C. Standard Operating Procedures (SOP).** The applicant must carry out a risk assessment and

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must develop appropriate SOPs. Per GACAR § 133.63, the SOP must be included in the operations manual. The risk assessment and SOP should address at least the following:

- Scope and complexity of the activity
- Aircraft and equipment
- Crew composition and training
- Aircraft performance
- Normal and emergency procedures
- Ground equipment
- Record keeping

**D. Company Training Curriculum.** The company training curriculum must be attached to the formal application. The company training curriculum must include at least the following curriculum segments for each applicable crewmember or position:

- Ground and flight training program (as applicable), to include:
  - o Company indoctrination training
  - o Specific aerial work training
- Initial and annual training (as applicable), to include:
  - o Aircraft type training
  - o Aircraft servicing and ground handling training
  - o Emergency procedures training
  - o Training for personnel who are assigned to perform duties on board an aircraft or who are carried externally by an aircraft



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### o Transportation of Dangerous Goods (TDG)

**E. Management Qualification Resumes.** This attachment shall include resumes that meet the requirements of GACAR §§ 133.41 and 133.43; and contain information on the qualifications, certificates, ratings, and experience of personnel selected for the following positions:

- Chief Pilot
- Operations Manager

**NOTE:** Per GACAR § 133.43(e), the President may authorize the designation of a single person as both chief pilot and operations manager if the President finds that, because of the limited size of the operation, the functions of the chief pilot and the operations manager can be performed by one person.

**F. Documents of Purchase, Contracts, and Leases.** 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. These documents should provide evidence that the applicant is, in good faith, committed to making arrangement for aircraft, supporting facilities, and services as necessary for the proposed operation. Examples of the types of equipment, facilities, and services that should be addressed in these documents, contracts, or leases include the following (as applicable):

- Aircraft
- Station facilities and services
- Communications facilities and service
- Maintenance facilities and service
- Training facilities

### **G. Compliance Statement.**

1) Preparation of the compliance statement benefits the applicant by systematically ensuring that all applicable regulatory aspects are appropriately addressed during the certification process. The compliance statement shall be in the form of a complete listing of

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all appropriate GACAR parts pertinent to the operation the applicant is proposing. This list should reference any applicable subpart and each relevant section of the subpart. 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. This statement also serves as a master index to the applicant's manual system to expedite the GACA's review and approval of the operation and manual system. 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.

2) Where the compliance information has been developed (for example, the manual material submitted with the formal application), a manual reference or description of the method of compliance must be entered next to the applicable regulatory section.

3) The list of the specific regulations and subparts, including all subparagraphs, may be presented in the manner of one of the examples described in Figure 3.5.1.6, Compliance Statement.

H. Congested Area Plan. An aerial work operator may operate an aircraft over a congested area outside of the requirements of GACAR Part 91, provided the operator complies with GACAR §§ 133.55, 133.57 and 133.59. See Volume 4, Chapter 6, Section 3, Evaluate a Part 133 Congested Area Plan (CAP) for further information.

**3.5.1.17. CONCLUSION OF THE PRE-APPLICATION MEETING.** The CPM must ensure that 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. In addition the Certification Team should conduct an initial review of the applicant's submission and verify that content is sufficient to conduct a formal application meeting using the Initial Review Instructions found in Figure 3.5.1.7, Initial Review Instructions.

**A. Applicant is Adequately Prepared.** At the close of the pre-application meeting, the Certification Team should determine whether the applicant is prepared to proceed with the certification process. If it appears that the applicant understands the requirements of a formal application and will proceed to that phase, the CPM should encourage the applicant to informally coordinate required documents as they are developed with the certification team before submission of the formal application.

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**B. Applicant is Not Prepared.** If it is evident that the applicant is not adequately prepared to proceed with the certification process, the CPM should advise the applicant of the reasons for concern. When it is apparent that the applicant will not be able to prepare an adequate formal application, the CPM should advise the applicant to request another pre-application meeting after more complete preparation on the applicant's part. It is appropriate for the CPM to recommend to the applicant one or more of the following actions:

- Retain the services of a professional aviation consultant
- A more thorough review of the applicable regulations
- Cease efforts to become GACA certificated
- Changes in proposed key management personnel

**3.5.1.19. TERMINATION OF THE PRE-APPLICATION PROCESS.** . If at any time during the pre-application phase the applicant formally terminates all efforts toward certification, or the GACA determines that the applicant will not proceed with the certification process, the PASI will be returned to the applicant. The GACA will notify the applicant in writing that this action terminates the pre-application process and that the applicant must submit a new PASI in order to initiate the certification process again. Senior GACA management must be notified of any certification project that is terminated.

**3.5.1.21. RECEIPT OF FORMAL APPLICATION.** When the formal application is received, the applicant should be informed that the General Authority of Civil Aviation (GACA) will need 10 working days to review the submission unless a shorter time is agreed to by GACA management.

**3.5.1.23. INITIAL REVIEW OF THE FORMAL APPLICATION.** Upon receipt of a formal application, the certification team must initially review it and make a determination of its acceptability. The certification project manager (CPM) will notify the applicant of the results informally, followed by prompt written notification of acceptance or rejection of the formal application. The CPM shall document both of these contacts with the applicant in the GACA Activity Report (GAR). The initial review serves the following two purposes:

**A.** It verifies that at least those items required for formal application have been submitted. The required items are as follows:

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1) The application must contain the formal letter requesting certification (to include attachments), which includes the information described in paragraph 3.5.1.15 above. These requirements are listed in the Figure 3.5.1.1, Aerial Work Operator Certification Job Aid (Part 133).

**NOTE:** 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 (see Figure 3.5.1.8, Rejection of Formal Application (Example). The decision should be coordinated with the Manager of Flight Operations (FO), Manager of Airworthiness (AW) and the General Manager, Aviation Safety Standards (GMAS). If termination is recommended, the Assistant President, Safety, Security & Air Transport must be informed.

**B.** The initial review also permits a determination of 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 paragraphs are provided as direction and guidance for this initial review.

**3.5.1.25. SCHEDULE OF EVENTS ATTACHMENT.** The schedule of events is a list of each major item, activity, program, aircraft and/or facility acquisition. It also sets milestones for accomplishment or submission of the listed 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 with respect to the following criteria:

- Logic of sequence
- Timeliness of events
- Completeness of events
- Inspector or other GACA resource availability

**A. Logic of Sequence.** Many activities and events listed in the schedule must occur before other activities and events. The team should use the certification job aid as a tool to ensure that the

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applicant's proposed schedule of events is logical in terms of event sequence.

**B. 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.

**C. 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. Specific manuals and other documents that are required for a particular type of applicant are annotated in the schedule of events and the certification job aid. The CPM should use the job aid to ensure that all required manuals and documents have been included in the schedule of events. (See Figure 3.5.1.5, Schedule of Events)

**3.5.1.27. COMPANY MANUAL ATTACHMENTS.** The CPM must give the company manual attachments a cursory review, first to determine that the type of information described in paragraphs 3.5.1.15 (B) and (C) above, have been submitted. Second, the CPM must determine that the overall content and scope of the manual material indicates that the applicant is proceeding in an appropriate manner and in compliance with the regulations. These completed manual submissions provide early indications of the quality of the applicant's manual program. An in-depth review and evaluation of the manual will be accomplished in the document compliance phase.

**3.5.1.29. COMPANY TRAINING CURRICULUM ATTACHMENTS.** The CPM must review the training curriculum attachments to determine that each of the curriculum segments listed in paragraph 3.5.1.15 (D) above, have been submitted. Each curriculum must be reviewed to determine that basic regulatory requirements are being met and that the applicant is proceeding in an appropriate manner with the development of the applicant's training programs. A detailed review and initial approval of the training curriculums will be accomplished in the document compliance phase after the applicant has finalized all training arrangements, including instructor lesson plans. The applicant may not start training in a curriculum until that curriculum has been initially approved.

**NOTE:** Each applicant must provide a dangerous goods training program that satisfies the applicable requirements of GACAR Part 109.

**3.5.1.31. MANAGEMENT QUALIFICATIONS ATTACHMENTS (RESUMES).** Management qualifications must be reviewed by the certification team to determine that there is a resume for each required management position and that these resumes contain the basic information necessary to determine regulatory compliance (see paragraph 3.5.1.15 (E), above). The depth of review should be

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only to determine that there are no obvious omissions or significant discrepancies. A detailed review of the management qualifications and effectiveness must be accomplished during the document compliance and the demonstration and inspection phases.

**3.5.1.33. DOCUMENTS OF PURCHASE, CONTRACTS, AND LEASE ATTACHMENTS.** The CPM must review these documents to determine that they include the types of information described in paragraph 3.5.1.15 (F), above. It is not necessary or desirable for a separate document to exist for every item the applicant will have to acquire. However, there should be sufficient evidence to show that the applicant has made definitive arrangements to acquire the major items needed for certification.

**3.5.1.35. COMPLIANCE STATEMENT ATTACHMENT.** The CPM must review the compliance statement within 10 working days to determine that it complies with the form and content prescribed in paragraph 3.5.1.15 (G), above; and that the applicant has proceeded in an appropriate manner.

### **3.5.1.37. INITIAL DETERMINATION OF FORMAL APPLICATION ACCEPTABILITY.**

**A.** 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-application phase should supplement the decision-making process. Other factors such as working relationships and understanding 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.

**B.** 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 can 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, timeliness, 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 curriculums, and/or the compliance statement can be resolved during the formal application meeting. Questions about management qualifications and documents substantiating the acquisition of aircraft, facilities, and services can often be answered during this meeting.

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C. If the CPM and the certification team decide to proceed with the certification process, the CPM must contact the applicant and schedule the formal application meeting. The applicant must be informed that attendance of key management personnel is required.

**3.5.1.39. THE 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 for future proceedings. The CPM is responsible for conducting the formal application meeting. Except for unanticipated circumstances, all members of the certification team and any other applicable GACA personnel must be present. Normally, the CPM should open the meeting with the applicant, all of the applicant's key management personnel, and the certification team present. To ensure meeting agenda items are accomplished, the CPM should use the guidance in Figure 3.5.1.10, Formal Application Meeting Plan.

**NOTE:** The CPM must notify the GMAS, FO and AW of the formal application meeting date.

A. The CPM should encourage the applicant and the applicant's key management personnel to present any questions they may have concerning the forthcoming certification process. The CPM and certification team members should provide candid answers and discuss freely all aspects of the certification process.

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

C. Before concluding the formal application meeting, the CPM must make certain that the applicant clearly understands the following:

1) 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, following which, 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.

2) If the applicant is unable to meet the schedule of events, the GACA will still need equivalent amounts of time, as agreed upon during the meeting, to make the necessary reviews and inspections. Consequently, the proposed start-up date could be delayed.



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**3.5.1.41. FINAL DETERMINATION OF FORMAL APPLICATION ACCEPTABILITY.** If the formal application meeting is successful, a letter acknowledging receipt and acceptance of the formal application must be prepared and forwarded to the applicant as soon as possible, but not later than five (5) working days after the meeting (see Figure 3.5.1.9 Acceptance of Formal Application (Example)).

**3.5.1.43. DOCUMENT COMPLIANCE PHASE.** The document compliance phase is that part of the certification process when the applicant's manuals and other documents are reviewed in depth to ensure compliance with applicable regulations and conformity to safe operating practices.

**A.** An important responsibility of the CPM is to organize the certification team's efforts to promptly review the applicant's manuals and other documents. Two key elements useful in planning activities in the document compliance phase are the schedule of events and the compliance statement. The schedule of events determines what will be examined and when. The previously agreed upon schedule of events will determine the priority of items to be reviewed and any additional Inspector support or other GACA resources that will be needed beyond the composition of the basic certification team. The document compliance phase is an intensive process and will most likely require additional resources to accomplish necessary tasks in a timely manner.

**B.** The plan for review should ensure that each of the required manuals or documents submitted by the applicant will be reviewed in accordance with procedures and criteria outlined in other volumes of this handbook. The compliance statement directs the Inspector to the location in the applicant's manuals where a compliance procedure is described. The Aerial Work Operator Certification Job Aid (Part 133) (Figure 3.5.1.1) is a good reference to use when conducting a review of an applicant's manuals and other documents.

**3.5.1.45. REVIEW OF APPLICANT'S SUBMISSIONS.** During this phase, members of the certification team evaluate and the applicant's manuals and any other required documents. Although the manuals are accepted (not approved) by the GACA, certain portions of the manuals do require approval. See Volume 4, Chapter 12, Manuals, Procedures and Checklists for complete details. Review of the applicant's submissions should be accomplished by simultaneous reference to the GACARs, the compliance statement, and the appropriate manual or document. The following are examples of typical submissions from applicants during the document compliance phase. This list is not all-inclusive, and certain items may not be applicable to a particular type of operation.

- Management personnel resumes outlining proposed management qualifications and



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compliance histories

- Company Operations Manual
- Mass and Balance procedures
- Training Program/Manual
- Minimum Equipment List (MEL)
- Configuration Deviation List (CDL)
- Cockpit checklist
- Dangerous Goods (TDG) Program/Training
- Flight locating procedures
- Operations specifications (OpSpecs)
- Compliance Statement

**3.5.1.47. DOCUMENT DEFICIENCIES.** If the Inspector's review reveals deficiencies in the applicant's submissions, the CPM should negotiate resolution of the deficiencies. The team should be ready to offer suggestions on how to improve the product, but avoid "writing" the applicant's manual. The certification team should remember that it is the applicant's responsibility to develop manuals and procedures that ensure safe operating practices and compliance with the rules.

**3.5.1.49. DEMONSTRATION AND INSPECTION PHASE.** In this phase, the certification team determines that the applicant's proposed procedures and programs for training and directing personnel in the performance of their duties are effective. The emphasis is on compliance with regulations and safe operating practices. As previously mentioned, certain segments of the document compliance phase often occur simultaneously with certain events in the demonstration and inspection phase. For example, Inspectors may be observing pilot training at the applicant's facilities (demonstration and inspection phase) while other certification team members are evaluating operations manuals in the GACA office (document compliance phase).

**A. Knowledge and Skill Test.** The chief pilot must demonstrate to the GACA satisfactory

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knowledge and skill regarding the aerial work operations the certificate holder is authorized to or intends to conduct. The test must cover the subjects prescribed in the applicable appendix in GACAR Part 133. A detailed description of the chief pilot tests are found in Volume 4, Chapter 6, Section 5, Evaluate a Chief Pilot and/or Operations Manager for Part 133.

**3.5.1.51. OBSERVATIONS AND MONITORING OF EVENTS.** Through observation and other forms of on-site evaluation during the demonstration and inspection phase, members of the certificating team observe and monitor many types of applicant activities. The manner in which the applicant is to be evaluated while conducting different segments of this phase is outlined in various sections of this handbook. The following list of activities or events is representative of events that occur in the demonstration and inspection phase. This list is not all-inclusive, and certain items may not be applicable to a particular type of operator:

- Part 133 Administration (Volume 4, Chapter 6)
- Conduct of training programs (classroom, flight simulators, and aircraft training) (Volume 4, Chapter 21)
- Airmen testing and certification (airmen and crew members, as applicable) (Volume 9)
- Recordkeeping procedures (documentation of training, flight and duty times, and flight papers) (Volume 4, Chapter 11)
- Operational Control System (flight locating capabilities)
- Aircraft (aircraft maintenance records) (Volume 4, Chapters 3 & 5)
- Minimum Equipment Lists (MEL) and Configuration Deviation Lists (CDL) (compliance with GACA-approved operations manual/flight manual maintenance procedures, if applicable) (Volume 5, Chapter 4)
- Station facilities (equipment, procedures, and personnel), if applicable

**3.5.1.53. DEMONSTRATION AND INSPECTION DEFICIENCIES.** If, at any time during the demonstration and inspection phase, the applicant does not meet the schedule of events, or the applicant's conduct of various activities (such as training, emergency evacuation) or certain items (such as MEL, recordkeeping procedures) proves to be deficient, appropriate corrective action must

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be taken. Required and recommended corrective measures for addressing specific types of deficiencies are in the appropriate subject matter discussions in other chapters of this handbook. The certification project manager (CPM) should schedule meetings with the applicant, as necessary, to review all deficiencies in detail. If appropriate, the CPM shall negotiate a new, modified schedule of events and re enter the demonstration and inspection phase or the document compliance phase, as appropriate.

**3.5.1.55. CERTIFICATION.** The applicant shall not be certificated under any circumstance until the certification project manager (CPM) has determined that the applicant is compliant with all applicable regulatory requirements and fully capable of fulfilling its ongoing responsibilities of complying with the GACARs in an appropriate manner. The certificate and operations specifications (OpSpecs) are issued to the applicant after all unsatisfactory items have been corrected. This action completes the certification process.

**A. Obtaining Certificate Numbers and Designators.** The CPM is responsible for ensuring that certificate numbers and designators (as applicable) are issued (see Volume 3, Chapter 1, Section 2, GACA Certificate Numbers and Designators

**3.5.1.57. PREPARATION OF THE GENERAL AUTHORITY OF CIVIL AVIATION (GACA) AERIAL WORK OPERATOR CERTIFICATE (AWOC).** An Aerial Work Operator Certificate will be issued when all phases of the certification have been completed satisfactorily.

**A. The Effective Dates.** The Air Operator Certificate will be issued with two (2) dates. The first being the date of issuance, and the second being the expiration date. The expiration date shall be 24 months from the date the certificate was issued unless an earlier date is specified by the President. If a certificate is to be changed due to an address change, the date of original issuance shall be retained on the changed certificate. A change of name for the aerial operator or a change in the certification statement of authority has the effect of a new certification; therefore, a new certificate and certificate number shall be issued. For this situation, the issuance date of the new certificate will be entered in the space provided.

**3.5.1.59. ISSUANCE OF OPERATIONS SPECIFICATIONS AND CERTIFICATE.**

**A.** When it is determined that the applicant has met all regulatory requirements, the Aerial Work Operator Certificate and operations specifications (OpSpecs) will be presented to the applicant. The operations specifications will be prepared in accordance with the procedures found in Volume 15 of this handbook.

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**B.** Before issuance, the operations specifications will be signed by the applicant and the responsible GACA personnel (usually the Manager, Flight Operations, the Manager, Airworthiness or the GMAS). The original certificate and operations specifications will then be given to the new certificate holder.

**NOTE:** If using foreign registered aircraft, an applicant for an aerial work operator certificate will not be issued operations specifications or a certificate until the applicant has presented a copy of its GACA economic authority to the CPM.

**3.5.1.61. CERTIFICATION REPORT.** When the new operator is certificated, the CPM is responsible for assembling a certification report. This report must be signed by the CPM and will include the name and title of each team member who assisted in the certification project. The report will be maintained in the permanent file relating to the new operator during the business life of the operator. The report shall consist of:

**A.** Pre-Application Statement of Intent (PASI)

**B.** Formal letter of application

**C.** Copy of the aerial work operator certificate

**D.** Final compliance statement

**E.** A copy of the OpSpecs issued

**F.** A summary of major difficulties experienced during the certification process and/or any recommendations that may enhance the process must be noted by phase and specialty. This summary will be entered into the GACA Activity Report (GAR) in chronological order and will be maintained in the GACA Office records.

**3.5.1.63. Certification Close Out.** To finalize the certification process, the Manager , Flight Operations Division must:

- Send Fees & Charges report to the General Manager, Aviation Safety Standards
- Assign a Principal Operations Inspector (POI) to the new certificate holder
- Send a copy of the certification report to the General Manager, Aviation Safety Standards

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and the Manager of Airworthiness

- The POI should develop a surveillance plan and forward it to the Manager of Flight Operations (see Volume 12, Chapter 1, General Surveillance Policies and Procedures for guidance)

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Figure 3.5.1.1. Aerial Work Operator Certification Job Aid (Part 133)

AERIAL WORK OPERATOR CERTIFICATION JOB AID (133)						
Aerial Work Operator Name:			Location address:			
Mailing address (if different from location):			File Location:			
			INSP. INITIAL	DATE RECEIVED/ ACCOMPLISHED	DATE RETURNED FOR CHANGES	REFERENCE
I. PRE-APPLICATION PHASE:						
A. INITIAL ORIENTATION:						
Inspector Name:						
1. BRIEF PRESENTATION.						
2. PRE-APPLICATION STATEMENT OF INTENT (PASI) FORM COMPLETED AND PROVIDED TO GACA.						
B. DESIGNATED CERTIFICATION TEAM: <i>(at least one operations, one airworthiness, and, if applicable, one avionics trained Inspector)</i>						
Name		Specialty				
C. CONDUCT PRE-APPLICATION MEETING:						
1.	VERIFY PASI INFORMATION.					
2.	OVERVIEW OF CERTIFICATION PROCESS.					
3.	PROVIDE CERTIFICATION PACKAGE:					
	a. Aerial Work Operator Certification Job Aid (133)					
	b. Schedule of Events					
	c. Operations Specifications data sheet					
	d. Other Applicable Publications and Documents.					
4.	EXPLAIN FORMAL APPLICATION SUBMISSIONS.					
REMARKS:						

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AERIAL WORK OPERATOR CERTIFICATION JOB AID (133)					
II. FORMAL APPLICATION PHASE		INSP. INITIAL	DATE RECEIVED/ ACCOMPLISHED	DATE RETURNED FOR CHANGES	REFERENCE
<b>A. REVIEW APPLICANT'S SUBMISSION</b>					
<b>1. FORMAL APPLICATION LETTER</b>					
a. Full and official name (legal)					
b. Mailing address					
c. Primary operating location					
d. Name and address of applicants agent for service					
e. Key Management Personnel Names					
<b>2. FORMAL APPLICATION ATTACHMENTS</b>					
a. Schedule of events					
b. Initial Compliance Statement					
c. Company manuals (Operations and Maintenance)					
d. Initial Pilot Training curriculums:					
<ul style="list-style-type: none"> <li>Basic Indoctrination</li> <li>Emergency Training Ground &amp; Flight Training</li> </ul>					
e. Management qualification resumes					
f. Doc's of purchase/contract/lease/letters of intent					
g. Congested Area Plan (if applicable)					
<b>B. Evaluate GACA-S &amp; ER resource capability based on schedule of events.</b>					
<b>REMARKS</b>					
<b>C. FORMAL APPLICATION MEETING</b>					
1.	Schedule Meeting				
2.	Date:                      Time:				
3.	Discuss each submission				
4.	Resolve discrepancies/Open items				
5.	review Certification Process				
6.	Review impact if Schedule of Events not met				
<b>D. ISSUE LETTER ACCEPTING/REJECTING APPLICATION</b>					
<b>REMARKS</b>					

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AERIAL WORK OPERATOR CERTIFICATION JOB AID (Part 133)				
III. DOCUMENT COMPLIANCE PHASE	INSP. INITIAL	DATE RECEIVED/ ACCOMPLISHED	DATE RETURNED FOR CHANGES	REFERENCE
<b>A. EVALUATE APPLICABLE TRAINING PROGRAMS</b>				
1. TRAINING CURRICULUMS				
a. Basic Indoctrination				
b. Emergency Training				
c. Ground Training				
d. Flight Training				
e. Transportation of Dangerous Goods (TDG)				
f. Maintenance Personnel (if applicable)				
g. Aircraft servicing and ground handling training				
<b>REMARKS:</b>				
<b>B. EVALUATE MANAGEMENT QUALIFICATIONS</b>				
1. CHIEF PILOT				
2. OPERATIONS MANAGER				
<b>REMARKS:</b>				



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AERIAL WORK OPERATOR CERTIFICATION JOB AID (Part 133)				
III. DOCUMENT COMPLIANCE PHASE (CONTINUED)	INSP. INITIAL	DATE RECEIVED/ ACCOMPLISHED	DATE RETURNED FOR CHANGES	REFERENCE
<b>C. EVALUATE APPLICABLE MANUALS</b>				
1. OPERATIONS MANUAL				
4. AIRCRAFT CHECKLISTS:				
a. Normal				
b. Abnormal				
c. Emergency				
5. STATION OPERATIONS				
6. COMPANY EMERGENCY MANUAL				
7. MINIMUM EQUIPMENT LIST (MEL)				
8. CONFIGURATION DEVIATION LIST (CDL)				
9. MASS AND BALANCE CONTROL PROGRAM				
10. DANGEROUS GOODS (TDG)				
11. CONGESTED AREA PLAN (CAP) (if applicable)				
12. FATIGUE RISK MANAGEMENT SYSTEM (FRMS)(optional GACAR § 133.131)				
<b>REMARKS:</b>				

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AERIAL WORK OPERATOR CERTIFICATION JOB AID (133)				
III. DOCUMENT COMPLIANCE PHASE (CONTINUED)	INSP. INITIAL	DATE RECEIVED/ ACCOMPLISHED	DATE RETURNED FOR CHANGES	REFERENCE
<b>D. OTHER EVALUATIONS:</b>				
1. AIRCRAFT LEASES				
2. MAINTENANCE CONTRACTS/AGREEMENTS				
3. SERVICING CONTRACTS/AGREEMENTS				
4. FINAL COMPLAANCE STATEMENT				
5. INITIATE OPSPECS DATA SHEET				
<b>REMARKS</b>				

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AERIAL WORK OPERATOR CERTIFICATION JOB AID (133)				
IV. DEMONSTRATION & INSPECTION PHASE	INSP. INITIAL	DATE RECEIVED/ ACCOMPLISHED	DATE RETURNED FOR CHANGES	REFERENCE
<b>A. EVALUATE APPLICANT CONDUCTING TRAINING</b>				
1. FLIGHT CREW MEMBER TRAINING EVALUATION (as applicable):				
a. Basic Indoctrination				
b. Emergency Training				
c. Ground Training				
d. Flight Training				
2. DANGEROUS GOODS (TDG)				
<b>B. AIRMEN TESTING/CERTIFICATION</b>				
1. Chief Pilot/Pilots				
<b>C. AIRCRAFT INSPECTION</b>				
1. Aircraft Conformity Inspection				
2. Aircraft Records				
3. Aircraft Equipment (as applicable)				
4. Mass & Balance Limits				
<b>D. MAIN OPERATIONS BASE and/or SITE INSPECTION</b>				
<b>REMARKS:</b>				

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AERIAL WORK OPERATOR CERTIFICATION JOB AID (133)				
V. CERTIFICATION PHASE	INSP. INITIAL	DATE RECEIVED/ ACCOMPLISHED	DATE RETURNED FOR CHANGES	REFERENCE
<b>A. APPROVE OPERATIONS SPECIFICATIONS</b>				
<b>B. PRESENT CERTIFICATE &amp; OPSPECS TO CERTIFICATE HOLDER</b>				
<b>REMARKS:</b>				
<b>C. PREPARE CERTIFICATION REPORT</b>				
1. ASSEMBLE REPORT:				
a. Pre-Application Statement of Intent (PASI)				
b. Certification Job Aid				
c. Formal Application Letter				
d. Schedule of Events				
e. Final Compliance Statement				
f. Copy of Operations Specifications (OpSpecs)				
g. Copy of AWOC				
h. Summary of Difficulties				
i. Suggestions to Improve Certification Process				
2. DISTRIBUTE REPORT				
<b>REMARKS:</b>				
<b>D. DEVELOP POST CERTIFICATION SURVEILLANCE PLANS</b>				
<b>REMARKS:</b>				

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**Figure 3.5.1.2. CPM Designation**

**CPM Designation-Notification to the Applicant**

Dear \_\_\_\_\_

Please be advised that \_\_\_\_\_ has been designated as the Certification Project Manager (CPM) for the process of your Aerial Work Operator Certification project.

\_\_\_\_\_ will be GACA's point of contact for all aspects of the certification project.

All coordination and correspondence should be addressed to him. He may be reached at:

Telephone: \_\_\_\_\_

Fax: \_\_\_\_\_

Email: \_\_\_\_\_

The CPM will contact you to schedule an initial briefing presentation at the SS&AT Office, please ensure that your key management will attend the meeting.

We recommend that you prepare a presentation to GACA that addresses:

- Type of intended operation
- Intended Make/Model/Series and number of aircraft
- Proposed start of operations
- Principal base of operations

We also recommend that you coordinate with the CPM on any special issues you may wish to discuss at the meeting.

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Figure 3.5.1.3. Attendance Roster

**ATTENDANCE ROSTER**

**Type of Meeting**

**Organization:**

**Organizational Address:**

**Location:**

Name	Title or Position	Phone Number	E-mail Address

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**Figure 3.5.1.4. Pre-Application Checklist**

Documentation Required at Formal Application		
Document/Manual	Verified by:	Date
Formal Application Letter		
Pre-Application Statement of Intent (PASI)		
Corporate Documents		
List of Proposed OpSpecs Paragraphs		
Schedule of Events (SOE)		
Compliance Statement		
Company Manuals		
Training Programs		
Facility Lease Agreements or Proof of Ownership (if applicable)		
Aircraft Lease or Proof of Ownership		
Congested Area Plan (if applicable)		
Current Aircraft Equipment List		
Aircraft Information Form		
Status of Economic Authority Request (foreign registered aircraft)		
Dangerous Goods Training Program		
Required Management Personnel, Qualification Summary and Quality Audit Forms		
Management Position	Verified by: Name, Title/Signature	Date
Chief Pilot		
Operations Manager		

### Instructions

1. A member of the company's management team must verify by name, title, signature, and date of verification that each element contained in the Pre-application Checklist (PAC) has been accomplished and/or submitted for formal application.
2. A member of the company's management team must verify that each person filling a required management position completes the Qualification Summary Form.
3. Indicate in the formal application letter whether the Pre-application Statement of Intent and

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Schedule of Events are original or updated.

4. Include as part of the formal application letter each lease agreement, letter of intent, or proof of ownership of an aircraft to be entered into the operations specifications.
5. Include in the formal application package all contractual agreements for outsourcing (maintenance, training, operations, etc.).
6. Include all manuals and programs required by GACA Part 133 as part of the formal application package. Identify each manual and program submitted by using the same naming or numbering convention used to develop the manual and program.



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**Figure 3.5.1.5. Schedule of Events**

Name of Applicant:		Date:
Events	Date Proposed	Date Accomplished
Phase 1—Pre-Application		
PASI		
Phase 2—Formal Application		
Submit Application Package		
Formal Application Meeting		
Phase 3 – Document Compliance		
All company manuals approved/accepted		
Pilot Training:		
• Begin Company Indoctrination		
• Begin Emergency Training		
• Begin Aircraft Ground/Flight Training		
Phase 4—Demonstration & Inspection		
Knowledge & Skills Tests		
Base/Site Inspection		
Aircraft & Equipment Inspection		

### Figure 3.5.1.6. Compliance Statement

## COMPLIANCE STATEMENT

### Introduction

Preparation of the Compliance Statement benefits the applicant by systematically ensuring that all applicable specific regulatory requirements (SRR's) are appropriately addressed during the certification process. The Compliance Statement also serves as a master index to the applicant's manual system. The Compliance Statement is an important source document and serves as the applicant's "roadmap of compliance" during the initial certification process as well as after the certificate is granted. It is a "living document" that may be modified during Phase-4 of the certification process. Once the certification process is completed, the applicant should continue to keep the Compliance Statement current as changes are incorporated into their manual system. A properly constructed Compliance Statement will expedite the GACA's review and approval of the applicant's operation and manual system.

The Compliance Statement shall be in the form of a complete listing of all sections of GACA Parts 133 pertinent to the operation the applicant is proposing.

This list should reference each applicable subpart, such as "Subpart D-Manual Requirements", each applicable regulation, such as "GACAR § 135.63-Manual Contents" and list each relevant SRR contained within each regulation, such as "GACAR § 135.63(a) and GACAR § 135.63(b), etc." Next to each SRR, the applicant must provide all references developed in any pertinent manual (or other document, such as a passenger safety information card) within its manual system that contains the method, or methods, of compliance. The location of each reference should be as specific as possible and should contain the name of the manual, chapter, section and paragraph number(s). Using manual page numbers in the Compliance Statement may produce inaccurate reference locations due to repagination problems.

There may be multiple reference locations for one SRR found within one manual, or there may be multiple reference locations found in several different volumes. It is not acceptable to enter references such as "ABC Aerial Work Operations will comply with this requirement", "ABC Aerial Work Operations understands this regulation and will comply" or "Noted." SRR's that do not apply to the applicant's proposed operation may be referenced with "Not applicable."

Examples:

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It is recommended that the COMPLIANCE STATEMENT be prepared similar to the examples that follow.

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**Example 1: Compliance Statement Table Format**

Regulation	Title	Manual Reference
§ 133.63(a)	Standard Operating Procedures	OM, page 37-5, paragraph 35
§ 133.63(b)	Required Management Personnel	OM, page 37-6, paragraph 37

**Example 2: Sample references for GACAR § 135.343(a) SRR compliance:**

**§ 133.141 Standard Operating Procedures**

**1. OM, Chapter 2, Section 2.01(D)**

Training Manual, Chapter 4, Sections 4.20(A) and 4.21(B1)

**a. OM, Chapter 2, Section 2.11(E)**

Training Manual, Chapter 4, Sections 4.20(B) and 4.21(F)

**b. OM, Chapter 2, Section 2.09(F); Chapter 3, Section 3.10 (C2a)**

Training Manual, Chapter 4, Section 4.21(H)

**c. Training Manual, Chapter 4, Section 4.21(J)**

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**Figure 3.5.1.7. Initial Review Instructions**

### INITIAL REVIEW INSTRUCTIONS

**Purpose:** The purpose of the initial review is to determine the quality of applicant's application package.

**Procedure:**

1. CPM will:
  - a. Verify that all PAC documents have been submitted.
  - b. Verify that all manuals required to conduct the certification are available to the CPT.
  - c. Verify the compliance statement includes applicable GACAR Part 133 rules.

**Evaluation Criteria:**

- a. One hundred percent of the documents required by the Pre-Application Checklist (PAC) must have been submitted
- b. The compliance statement must accurately list at least 90 percent of the GACAR Part 133 rules that apply to the applicant
- c. The CPM should collect the results and store them in the applicant's certification file

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**Figure 3.5.1.8. Rejection of Formal Application (Example)**

[GACA Letterhead]

[Date]

President, ABC Aerial Operations  
601 West Circle Drive  
Jeddah, Saudi Arabia

Dear Sir:

This office has reviewed your formal application for an Aerial Work Operator Certificate, dated \_\_\_\_ .  
We find it necessary to return your application because of deficiencies in the following areas:

1. Resume of Mr. [xx], Chief Pilot is not included with your application.
2. The compliance statement is incomplete. For example: your failure to address entire regulatory sections in Subpart M, such as General Authority of Civil Aviation Regulation (GACAR) § 133.141. Methods of compliance with these regulatory sections are described in your company's manual attachment and should be appropriately referenced in the compliance statement. As previously discussed, all applicable regulatory sections must be addressed in the compliance statement.

We are returning your letter of application with all attachments. It will be necessary to submit a new formal application when you have corrected all discrepancies noted above and any other omissions that exist.

Please contact us if we can be of any further assistance in clarifying the minimum requirements for your formal application.

Sincerely,

Signature

Certification Project Manager

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**Figure 3.5.1.9. Acceptance of Formal Application (Example)**

[GACA Letterhead]

[Date]

President, ABC Aerial Operations  
601 West Circle Drive  
Jeddah, Saudi Arabia

Dear Sir:

Your formal application has been reviewed and found acceptable. Acceptance of the application does not convey specific approval of the attachments. Specific approvals or acceptance of the attachments will be appropriately conveyed after a detailed evaluation by the General Authority of Civil Aviation (GACA) certification team.

We look forward to working with your personnel in the continuation of the certification process.

Sincerely,

Signature

Certification Project Manager

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**Figure 3.5.1.10. Formal Application Meeting Plan**

### **FORMAL APPLICATION MEETING PLAN**

#### **General**

The objective of this exercise is to determine that the applicant's management personnel are knowledgeable of their air operator systems.

The Certificate Management Team (CMT) accomplishes this task by developing questions related to processes under the individual's areas of responsibility or control.

#### **Process**

**Certificate Project Team (CPT)** —Design questions that will assess the applicant's required management personnel's knowledge of their processes and associated system documentation. The questions should directly relate to processes under the individual manager's area of responsibility. The answers should include reference to the manual system or other company documentation.

### **NOTES:**

Questions and answers should be based on the current status of the air operator system documentation.

Questions should target each manager's knowledge of the process for which he has responsibility; they should not be scenario-based.

**Certification Project Manager (CPM)**—Document the questions and expected answers, including the manual/documentation reference(s) on the Formal Application Management Questionnaire Worksheet (below).

**CPM**—Assign questions to CPT members.

**CPT**—Discard questions and answers upon successful completion of the meeting.

#### **Acceptable Completion Standards**

Each of the applicants required management personnel should demonstrate an acceptable level of



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understanding of their air operator systems by correctly answering all questions. Unsuccessful results may require retesting the manager(s) later.

### **NOTES:**

This event is not an opportunity to reveal inadequacies in the applicant's air operator system design. These inadequacies will be corrected during the Demonstration and Inspection Phase.

Discourage managers from locating manual references by using “word search” functions.

Develop an Agenda:

Suggested Agenda Items:

Introductions and circulate attendance roster (See Attendance Roster)

Applicant describe proposed air operator systems

Review certification process

Explain conduct and criteria of this meeting

Conduct management questions

Resolve discrepancies and open items

Discuss Schedule of Events

Discuss proposed operations specifications

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**Figure 3.5.1.10. Formal Application Meeting Plan, Cont.**

<b>Formal Application Management Questionnaire Worksheet</b>			
<b>Applicant:</b> _____		<b>Manager:</b> _____ <small>Name and Position</small>	
<b>Question:</b>			
<b>Expected Outcome (References):</b>			
<b>Actual Outcome:</b>			
<b>SAT</b> <input type="checkbox"/> <b>UNSAT</b> <input type="checkbox"/>		<b>Date:</b> _____	
		<b>CMT Member Name:</b> _____	

**Separate Here to Provide Question to Management**

<b>Question:</b>

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**CHAPTER 5. THE CERTIFICATION PROCESS FOR PART 133**

**Section 2. Special Considerations for Aerial Application Operations**

**3.5.2.1. GENERAL AUTHORITY OF CIVIL AVIATION (GACA) ACTIVITY REPORT (GAR).**

A. 1202 (OP)

B. 3202 (AW)

**3.5.2.3. GENERAL.** This section addresses specific guidance for applicants seeking authorization to conduct aerial application operations under General Authority of Civil Aviation Regulation (GACAR) Part 133.

**A. Definitions.** Aerial Application Operation is defined as the aerial application or dispersal of liquids or particulate matter (with the exception of dumping of fuel while engaged in operations under General Authority of GACAR Parts 121 or 125).

1) *Spreader.* Systems attached to the fixed points of the aircraft, under the hopper, which dispense dry agricultural chemicals and seed.

**NOTE:** The spreader includes its associated gatebox.

2) *Hopper.* Container within the airplane structure to hold the aerially dispensed products.

3) *Spray Boom.* Length of pipe or tubing of variable size or shape, depending upon the system and the particular application.

**NOTE:** Additional definition can be found in GACAR Part 1.

**B. Certification Process.** The guidance in this section should be used in addition to the guidance found in:

- Volume 3, Chapter 1, The Generic Certification Process for Air Operators and Air Agencies

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- Section 1 (this Chapter), Specific Part 133 Certification Guidance
- GACAR Part 133 (Appendix A)

### 3.5.2.5. PRE-APPLICATION PHASE.

**A. Basic Eligibility Requirements.** Follow the guidance found in Section 1. If a pre-application meeting is necessary schedule a date and time. At the meeting discuss the following:

- Area of operation
- Type of aerial application operation
- Type of materials to be dispensed
- Qualifications and experience of the proposed chief pilot and operations manager
- Operator's previous experience with GACAR Part 133 operations
- Category and class of aircraft (rotorcraft or airplane)
- Applicability of Parts 91, 109 and 133
- Previous or pending enforcement action on the operator
- Purpose of the Aerial Work Operator Certification Job Aid (Part 133) and Schedule of Events (SOE)
- Requirements for a training programs and manuals

**3.5.2.7. FORMAL APPLICATION PHASE.** In addition to the following use the guidance found in Section 1 above.

**A. Document Review.** The documents (in addition to the documents in paragraph 3.5.1. 45 of Section 1 above) that must be submitted during the document compliance phase for aerial application operation certification includes:

- The aircraft/rotorcraft lease (as applicable)

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- The manual required by GACAR § 133.61
- Aircraft and equipment maintenance records
- Records to show GACA approval of the aerial application equipment attaching means
- Chief pilot and operations manager qualifications
- Airworthiness and registration certificates

**NOTE:** The aircraft to be used may be certificated in any category, including restricted, provided the requirements of GACAR Part 21 are met. Foreign-registered aircraft must be accepted for use by the Director of Airworthiness.

**B. Training Programs/Manuals.** All training programs and manuals must be reviewed and comply with GACAR Part 133, Appendix B (a), (b) and (c).

**3.5.2.9. THE DEMONSTRATION AND INSPECTION PHASE.** In this phase the applicant demonstrates the ability to comply with GACARs and safe operating practices.

**A. Conduct Knowledge and Skill Test.** The following knowledge and skill areas are applicable to the demonstrations required under GACAR §§ 133.41(c) and 133.43(b) and the training required under GACAR § 133.121(b)(2):

1) The knowledge areas consist of the following:

- Steps to be taken before starting operations, including survey of the area to be worked
- Safe handling of economic poisons and the proper disposal of used containers for those poisons
- The general effects of economic poisons, agricultural chemicals, and other dispersants on plants, animals, and persons, with emphasis on those normally used in the areas of intended operations; and the precautions to be observed in using poisons and chemicals
- Primary symptoms of poisoning of persons from economic poisons, the appropriate

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emergency measures to be taken, and the location of poison control centers

- Safe flight and application procedures
- Performance capabilities and operating limitations of the aircraft to be used, to include:
  - o Stall speeds at maximum certificated gross weight, straight ahead, power off, flaps up (VS1)
  - o Best rate (VY) and best angle (VX) of climb speed
  - o Maneuvering speeds
  - o Density altitude and its effect on performance
  - o Takeoff distance required to clear a 50 foot obstacle, maximum certificated takeoff mass, with zero wind

2) The skill areas consist of the following maneuvers that must be shown in each aircraft used in aerial application operations, and at that aircraft's maximum certificated take off mass, or the maximum mass established for the special purpose load, whichever is greater:

- Ground crew coordination and loading procedures
- Engine start, warm up, and taxi procedures
- Short-field and soft-field takeoffs (airplanes and gyroplanes only):
  - o One soft field takeoff and climb
  - o One short field takeoff and maximum performance climb
- Approaches to the working area:
  - o Satisfactory aerial survey of area for obstructions
  - o Proper method of beginning operations—normally, starting operation

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crosswind on downwind side of field

- Flare-outs:
  - o Should not touch ground or crop during flareout
  - o Should be consistently at same height and proper position over field on several flare outs
- Swath runs:
  - o Consistent altitude (plus or minus 5 feet)
  - o Four or more passes demonstrated
  - o Looking behind the aircraft at the spray pattern during swath run is disqualifying
  - o Flight should be executed so as not to fly through the spray droplets or the dust of previous swath. Successive swath runs spaced so as to place the wing tip into or overlapping the vortices of the previous swath is not disqualifying
  - o Start and stop the spray application within the target area and prevent drift onto adjacent fields
- Pull-ups and turnarounds:
  - o Consistent height in turnarounds, obstructions permitting
  - o Smooth and coordinated
  - o Turn in proper direction relative to wind, obstructions, and field layout
  - o Obstruction clearance before starting turn
  - o Proper throttle and hopper or tank control
- Clean up swath or trim passes:

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- o Recognizes the need for clean up swath
- o Adequately covers area to be treated
- Rapid deceleration or quick stops (rotorcraft only)
- Jettisoning of remainder of load after swath runs in the event of inflight emergency
- Approach, touchdown, and directional control on landing:
  - o One landing
  - o Adequate precautions used around turning propellers or rotor blades
- Taxi, engine shutdown, and securing of aircraft

**B. Inspect Recordkeeping Requirements.** In addition to the records and reports required by Subpart O of GACAR Part 133, the GACA should inspect the following records:

- The name and address of each person for whom aerial application services were provided
- The date of the service
- The name and quantity of the material dispensed for each operation conducted
- The name, address, and certificate number of each pilot used in aerial application operations and the date that pilot met the training requirements of GACAR § 133.121(b)(2)

**C. Inspect Aircraft.**

**D. Conduct Base Inspection.** For guidance in conducting a base inspection, see Volume 12, Chapter 8, Section 1, Base Inspection for Part 133.

**3.5.2.11. THE CERTIFICATION PHASE.** Follow the guidance found in Section 1 above.

**3.5.2.13. FUTURE ACTIVITIES.** Future activities include:

- Review of a congested area plan (if applicable)



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- Scheduled surveillance
- Renewal conducted every 24 calendar months
- Possible amendment of the certificate at request of the operator

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### CHAPTER 5. THE CERTIFICATION PROCESS FOR PART 133

#### Section 3. Special Considerations for Rotorcraft External Load Operations

##### 3.5.3.1. GENERAL AUTHORITY OF CIVIL AVIATION (GACA) ACTIVITY REPORT (GAR).

A. 1202 (OP)

B. 3202 (AW)

**3.5.3.3. GENERAL.** This section addresses specific guidance for applicants seeking authorization to conduct rotorcraft external load operations under General Authority of Civil Aviation Regulation (GACAR) Part 133. This Section will be used in addition to the certification guidance found in:

- Volume 3, Chapter 1, The Generic Certification Process for Air Operators and Air Agencies
- Section 1, (this Chapter), Specific Part 133 Certification Guidance
- GACAR Part 133 (Appendix B)

**A. Definitions.** Classes of rotorcraft-load combination are defined in GACAR Part 1.

**NOTE:** Rotorcraft Hoist Operations (RHO) is considered to be a special flight operation and distinct from rotorcraft external-load operations.

**NOTE:** In accordance with GACAR § 91.413 no person may conduct Rotorcraft Hoist Operations (RHO) unless authorized by the President in accordance with the RHO requirements of Appendix D to GACAR Part 91. Section VII of Appendix D addresses the rotorcraft equipment, performance, communication, crew requirements and risk analysis and management process for RHO operations.

**3.5.3.5. PRE-APPLICATION PHASE.** In the case of rotorcraft external load operations, the aviation safety inspector (Inspector) has some discretion in deciding whether to hold a pre-application meeting. Because very long distances between the operation site and the General Authority of Civil Aviation (GACA) office occur frequently, the Inspector may decide to brief an applicant by phone

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call and/or correspondence.

**A. Pre-Application Meeting.** In addition to the following, use the guidance found in Section 1 above. At the pre-application meeting, discuss the following special considerations for GACAR art 133 Rotorcraft External Loads:

- Type of class of rotorcraft load combination the operator is seeking to engage in
- Operator's previous experience with GACAR Part 133 operations
- Category of rotorcraft the operator will use
- Qualifications and experience of the proposed chief pilot and operations manager
- Applicability of GACAR Parts 91 and 133
- Previous or pending enforcement action on the operator
- Purpose of the Aerial Work Operator Certification Job Aid (Part 133) and Schedule of Events (SOE)
- Questions about the contents or requirements of the Rotorcraft Load Combination Flight Manual
- Requirements for a training programs and manuals

**3.5.3.7. FORMAL APPLICATION PHASE.** A formal application meeting is generally held after the application package is received and informally reviewed. If the application needs revision, the Inspector should be prepared to discuss in detail all items that need correction or revision. Include the following:

- Discuss the acceptability of the application package
- Review the proposed schedule of events, and make any necessary adjustments
- Review the specific requirements appropriate to each class of authorization
- Discuss the requirements for the Rotorcraft Load Combination Flight Manual

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- Review the requirements for the training program
- Discuss the preparation of OpSpecs
- Discuss the rotorcraft ownership or lease agreement
- Review the applicant's previous experience in external load operations
- Review the experience and qualifications of the designated chief pilot and operations manager
- Discuss any discrepancies in the application package and the proper corrective actions

### 3.5.3.9. DOCUMENT COMPLIANCE PHASE.

**A. Document Review.** The documents (in addition to the documents in paragraph 3.5.1. 45 of Section 1 above) that must be submitted during the document compliance phase for a rotorcraft external load certification includes:

- The rotorcraft lease (if applicable)
- Two copies of the Rotorcraft Load Combination Flight Manual (RLCFM)
- The manual required by GACAR § 133.61 and Appendix B (c)
- Rotorcraft and equipment maintenance records
- Records to show GACA approval of the attaching means
- Airworthiness and registration certificates
- Chief pilot and operations manager qualifications

**B. Training Programs/Manuals.** All training programs and manuals must be reviewed and comply with GACAR Part 133, Appendix B (a), (b) and (c).

### 3.5.3.11. DEMONSTRATION AND INSPECTION PHASE.

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**A. Conduct Knowledge and Skill Test.** The following knowledge and skill areas are applicable to the demonstrations required under GACAR §§ 133.41(c) and 133.43(b) and the training required under GACAR § 133.121(b)(2):

1) The knowledge areas consist of the following:

- Steps to be taken before starting operations, including survey of the area to be worked
- Proper method of loading, rigging, or attaching the external load
- Performance capabilities under approved operating procedures and limitations, of the rotorcraft to be used
- Proper instructions of flight crew and ground workers
- The manual content required under paragraph (c)(1) of this GACAR Part 133 Appendix B

2) The skill areas consist of the following maneuvers that must be shown for each class requested. The appropriate maneuvers for each load class must be demonstrated in a rotorcraft meeting the requirements of paragraph (c)(1) of GACAR Part 133 Appendix B:

- Takeoffs and landings
- Demonstration of directional control while hovering
- Acceleration from a hover
- Flight at operational airspeeds
- Approaches to landing or working area
- Maneuvering the external load into the release position

**B. Operational Flight Check.** If the external load operator cannot provide a reliable record of having transported a similar load previously, GACAR § 133 Appendix B (f) (2) operating rules require the operator to demonstrate by an operational flight check, the ability to transport an

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external load in a safe manner. The term “differs substantially from any ... previously carried” is to be defined by the Inspector, using the examples provided as a guide. The Inspector should follow GACAR § 133 Appendix B (f) (2) (i) through (vi) to the extent deemed appropriate and necessary for a particular load combination.

- 1) An example of Class B loads that do not differ substantially from each other would be an air conditioner and electrical transformers. These loads are not considered substantially different because both are non aerodynamic.
- 2) An example of two loads that differ substantially would be an air conditioner and a large pane of glass. These loads are substantially different because the pane of glass can be aerodynamic under certain conditions.

**C. Conduct Rotorcraft and Equipment Inspection.** (GACAR 133, Appendix B (c))

**D. Conduct a Base Inspection.** For guidance in conducting a base inspection, see Volume 12, Chapter 8, Section 1, Base Inspection for Part 133.

**3.5.3.13. CERTIFICATION PHASE.** Follow the guidance found in Section 1 above.

**3.5.3.15. FUTURE ACTIVITIES.** Future activities include:

- Review of a congested area plan (if applicable)
- Scheduled surveillance
- Renewal conducted every 24 calendar months
- Possible amendment of the certificate at request of the operator

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**CHAPTER 5. THE CERTIFICATION PROCESS FOR PART 133**

**Section 4. Special Considerations for Banner Towing Operations**

**3.5.4.1. GENERAL AUTHORITY OF CIVIL AVIATION (GACA) ACTIVITY REPORT (GAR).**

A. 1202 (OP)

B. 3202 (AW)

**3.5.4.3. GENERAL.** This section addresses specific guidance for applicants seeking authorization to conduct banner towing operations under General Authority of Civil Aviation Regulation (GACAR) Part 133.

**A. Certification Process.** This section will be used in addition to the certification guidance found in:

- Volume 3, Chapter 1, The Generic Certification Process for Air Operators and Air Agencies
- Section 1 (this Chapter), Specific Part 133 Certification Guidance
- GACAR Part 133 (Appendix C)

**3.5.4.5. PRE-APPLICATION PHASE.** Follow the guidance found in Section 1 above. In addition, if a pre-application meeting is necessary schedule a date and time. At the meeting discuss the following:

- Area of operation
- Qualifications and experience of the proposed chief pilot and operations manager
- Operator's previous experience with GACAR Part 133 operations
- Category and class of aircraft (rotorcraft or airplane)

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- Applicability of GACAR Parts 91 and 133
- Previous or pending enforcement action on the operator
- Purpose of the Aerial Work Operator Certification Job Aid (Part 133) and Schedule of Events (SOE)
- Requirements for a training programs and manuals

**3.5.4.7. FORMAL APPLICATION PHASE.** Follow the guidance found in Section 1 above.

**3.5.4.9. THE DOCUMENT COMPLIANCE PHASE.** Follow the guidance found in Section 1 above.

**3.5.4.11. THE DEMONSTRATION AND INSPECTION PHASE.** In this phase the applicant demonstrates the ability to comply with GACARs and safe operating practices.

**A. Conduct Knowledge and Skill Test.** The following knowledge and skill areas are applicable to the demonstrations required under GACAR §§ 133.41(c) and 133.43(b) and the training required under GACAR § 133.121(b)(2):

- Steps to be taken before starting operations, including survey of the pickup and drop areas
- Proper assembly of the towing apparatus
- Performance capabilities under approved operating procedures and limitations, of the aircraft to be used
- Proper instruction of flight crew and ground workers
- The manual content required under paragraph (c)(1) of GACAR Part 133, Appendix C

**NOTE:** See Figure 3.5.4.1, Banner Towing Pilot Training Aid

**B. Site Inspection.** A site inspection should be conducted before the initial issuance of an authorization to engage in banner towing. For guidance in conducting a site inspection, see Figure 3.5.4.2, Banner Towing Operations Job Aid.



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- 1) Verify that the tow hitch has been approved under GACAR Part 21.
- 2) Verify that all pilots of banner tow operations for compensation or hire have at least a commercial pilot certificate and at least a valid medical certificate. An instrument rating is not a requirement for this operation.
- 3) Verify that the registration certificate, the airworthiness certificate, and any placards are on board the aircraft. If the aircraft is a restricted category aircraft, the operating limitations must also be onboard the aircraft.
- 4) Inspect the banner and lead pole to ensure that:
  - The weights are secured within the lead pole and that the weights (usually lead pellets) at the bottom are secure and cannot fall out
  - The tow ropes are not frayed, twisted, or knotted
  - The banner panels and their attachments are secure
  - The tail flag is intact
  - The attaching rope has no indication of knots and is the appropriate length for the operation
- 5) Inspect the attaching device or hitch to ensure that:
  - The release cable mechanism operates easily and is snug to prevent premature or inadvertent release
  - The hitch loop fits tightly
- 6) The applicant must conduct at least one pickup and drop to demonstrate pilot proficiency. The pickup and drop shall contain the maximum number of letters (panels) the operator plans to use.
- 7) If a ground crew is used, ensure that a prearranged communication signal has been established so the ground crew can notify the pilot and/or banner tow operator of problems

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or malfunctions with the equipment or banner.

**C. Banner Pickup and Drop.** Some aerodromes are not large enough for the pilot to maneuver into a proper wind orientation and do not have a suitable staging area for banner tow operations. Therefore, the Inspector must ensure that pickups and drops can be made without compromising the safety of persons, equipment, or property on the surface. The pickup and drop must be in an area free from use by the public, employees other than ground crew, and from property on the surface. Preferably, the pickup and drop area should be located away from active runways and taxiways, unless the banner tow operator has an agreement with the aerodrome operator to use these areas. If a runway or taxiway is used, the banner tow operator and the aerodrome operator should cooperate in the preparation of an appropriate Notice to Airmen (NOTAM). The aerodrome should have a clear approach path to the drop area that allows a safe banner drop operation. If operating a rotorcraft, the operator should take into account the lowest point on the trailing banner when determining the correct flight altitude.

1) During pickups, a moderately steep maximum performance climb should be used to snatch the banner and avoid dragging it. In no case should the lead pole contact the ground after pickup.

a) For aerial pick up, the banner should be laid out flat on the ground within 30 degrees to the wind. Check the attach points at the top of the poles to ensure that the rope will slip off the top smoothly. The slip loop should travel freely so the grapple hook can engage and tighten the slip hook.

b) For ground pickup, the banner should be laid out within 30 degrees of the aircraft heading. This prevents banner entanglement.

2) The drop approach path should be into the wind and conducted at a sufficiently high altitude to allow the pilot to descend at a moderately steep angle when approaching the drop zone. If the release mechanism fails, the pilot must be in a position to make an aborted drop (“go around”) and climb so that the lead pole does not hit the ground. The pilot must maintain sufficient speed and altitude to maneuver in the case of an aborted drop and recover without the banner contacting the ground.

**D. Rotorcraft Banner Towing.** The Inspector must ensure that means are provided to prevent the banner from becoming entangled in the rotorcraft’s tail rotor during all phases of flight, including autorotation’s. (The only way to prevent the banner from tangling in the tail rotor

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during autorotation may be to jettison the banner.)

- 1) A GACAR Part 133 banner towing operator may tow a banner using an external load attaching means if the operator is already authorized for rotorcraft external load operations and has at least a Class B authorization.
- 2) The provisions of GACAR § 91.67(e) are not applicable when conducting banner towing operations. Operations over congested areas or in close proximity to open air assemblies of persons must not be lower than 1000 ft. (300 m) above the highest obstacle within a horizontal radius of 2,000 ft. (600 m) and operations elsewhere must be conducted in compliance with GACAR § 91.67(c).

**E. Weather Limitations.** Banner tow operations are limited to day, visual flight rules (VFR) only operations. However, the Inspector may wish to consider additional weather limitations (for example, crosswinds or high winds) based on the area of operation and equipment/aircraft used.

**3.5.4.13. THE CERTIFICATION PHASE.** Follow the guidance found in Section 1 above.

**3.5. 4.15. FUTURE ACTIVITIES.** Future activities include:

- Review of a congested area plan (if applicable)
- Scheduled surveillance
- Renewal conducted every 24 calendar months
- Possible amendment of the certificate at request of the operator

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Figure 3.5.4.1. Banner Towing Pilot Training Aid

<b>BANNER TOWING PILOT TRAINING AID</b>		
<b>NAME OF OPERATOR:</b>	<b>PILOT'S NAME:</b>	
<b>GROUND:</b>		
<b>Aircraft Type:</b>		
<b>AIRCRAFT:</b>	<b>Date</b>	<b>Instructor</b>
a. Aircraft Speeds		
b. Preflight Procedures, including:		
<ul style="list-style-type: none"> <li>Banner procedures</li> </ul>		
<ul style="list-style-type: none"> <li>Release mechanism</li> </ul>		
<ul style="list-style-type: none"> <li>Banner assembly and layout</li> </ul>		
c. Equipped in accordance with GACAR Parts 91 and 133		
<b>FLIGHT:</b>		
a. Full Stalls (if appropriate)		
b. Flight at Critically Slow Airspeeds		
c. Banner Pickup/Banner Drop (Takeoff with banner attached, if appropriate)		
d. Emergency Procedures: <ul style="list-style-type: none"> <li>Failure of banner release system</li> <li>Loss of rudder control</li> <li>Partial power loss</li> <li>Engine failure with banner</li> </ul>		
<b>Total Ground Training Hours:</b>		
<b>Total Flight Training Hours:</b>		
Pilot's Signature _____ Date: _____ Certificate No. _____	Instructor's Signature _____ Date: _____ Certificate No. _____	

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**Figure 3.5.4.2. Banner Towing Operations Job Aid**

Operator Name \_\_\_\_\_  
 Base of Operation \_\_\_\_\_  
 Name of Pilot \_\_\_\_\_  
 Certificate Number \_\_\_\_\_  
 Aircraft Type \_\_\_\_\_ Aircraft Registration Marks \_\_\_\_\_  
 Initial Application \_\_\_\_\_ Site Inspection \_\_\_\_\_ Date Completed \_\_\_\_\_

	Sat.	UnSat.	N/A
<b>1. GACA Application File</b>			
a. Verify that all aircraft are listed (make/model and registration marks) (Use back of job aid if additional space is required.)			
Make/Model	Registration Marks		
Make/Model	Registration Marks		
Make/Model	Registration Marks		
Make/Model	Registration Marks		
Make/Model	Registration Marks		
b. Verify that all pilots are listed (certificate type and number) (Use the back of job aid if additional space is required.)			
Certificate Type	Number		
Certificate Type	Number		
Certificate Type	Number		
Certificate Type	Number		
Certificate Type	Number		
<b>2. Pilot/Operator</b>			
a. Certificate appropriate to operation			
b. Medical certificate appropriate to the certificate			

c. Compliance history checked			
<b>3. Aircraft Inspection</b>			
a. Manual			
b. Certificate and documents			
c. Registration			
• Airworthiness			
• Special Limitations (Restricted)			
• Hitch and release mechanism			
d. Hitch installation documentation			
e. Sign mounting and light operation			
f. Placards (Restricted category)			
<b>Remarks:</b>			

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### CHAPTER 5. THE CERTIFICATION PROCESS FOR PART 133

#### Section 5. Special Considerations for Motion Picture and Television Filming Operations

##### 3.5.5.1. GENERAL AUTHORITY OF CIVIL AVIATION (GACA) ACTIVITY REPORT (GAR).

A. 1202 (OP)

B. 3202 (AW)

**3.5.5.3. GENERAL.** This section addresses specific guidance for applicants seeking authorization to conduct motion picture and television filming operations under General Authority of Civil Aviation Regulation (GACAR) Part 133. Upon completion of the authorization process, the Part-133 AWOC holder will be issued OpSpec A19.

**A. Certification Process.** The guidance in this section should be used in addition to the guidance found in:

- Volume 3, Chapter 1, The Generic Certification Process for Air Operators and Air Agencies
- Section 1 (this Chapter), Specific Part 133 Certification Guidance

**NOTE:** All applicants seeking authorization to conduct motion picture and television filming operations are reminded that the subject matter of the film and the messages displayed and conveyed during the filming operations must comply with all applicable laws of the Kingdom of Saudi Arabia (KSA). It is the duty of the filming applicant to ensure that they have all the necessary clearances from the applicable KSA authorities as pertains to the depicted subject matter and the location of operation.

**B. Authorization for motion picture and television filming operations:** The policies, processes, and procedures stipulated in Volume-4, Chapter-6, Section 6 must be followed for the issuance of motion picture and television filming operations authorization via OpSpec A19.

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### **CHAPTER 6. THE CERTIFICATION PROCESS FOR PART 135**

#### **Section 1. Phase 1 – Pre-Application**

##### **3.6.1.1. GACA ACTIVITY REPORT (GAR).**

A. 1211 (OP)

B. 3206 (AW)

##### **3.6.1.3. GENERAL.**

**A. Direction and Guidance.** This chapter provides direction and guidance on the certification process of General Authority of Civil Aviation Regulation (GACAR) Part 135 air operators.

**B. Certification Process.** In addition to this guidance, the prospective operator and the General Authority of Civil Aviation (GACA) should follow the certification process found in Volume 3, Chapter 1, The Generic Certification Process for Air Operators and Air Agencies.

**C. Process for Smaller Operators.** Small, less complex operators may be eligible to use a modified certification process. The modified process will usually be quicker and require fewer resources on the part of the applicant and the General Authority of Civil Aviation (GACA). An applicant must thoroughly understand the certification process described in this chapter before any attempt is made to use the selected practices that modify the small operator certification process. A discussion of these selected practices may be found in Section 6 of this Chapter.

##### **3.6.1.5. INITIAL INQUIRIES OR REQUESTS.**

**A. Initial Inquiries.** Initial inquiries about certification or requests for application may come in various formats from individuals or organizations. These inquiries should be in the form of meetings with GACA personnel, which may include: Assistant President (AP), Safety, Security and Air Transport Sector, General Manager, Aviation Safety Standards Department (GMAS); General Manager, Economic Evaluation Department (GMEE); General Manager, Safety and Risk Management Department (GMRM), Manager of Flight Operations (FO); and Manager of Airworthiness (AW).

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**B. Preliminary Discussion.** At the initial inquiry meeting, the aviation safety inspector (Inspector) should briefly explain all of the requirements within the GACAR that the applicant must meet in the certification process. The applicant should complete a Pre-Application Statement of Intent (PASI). In addition, the applicant should provide their contact information to the GACA and receive from GACA, the contact information of the GMEE, GMRM, FO and AW. The Inspector should ask the applicant to schedule an appointment for a pre-application meeting, allowing enough time for the applicant to thoroughly review and understand GACA requirements.

**NOTE:** The applicant should email the PASI to the GMAS, FO and AW, prior to the pre-application meeting. Upon receipt, these documents will be forwarded to the applicable Departments/Divisions for review.

**3.6.1.7. CERTIFICATION TEAM.** The Manager, Flight Operations Division (in coordination with the GMAS) will use the guidance found in Volume 3, Chapter 1, Section 1, for the assignment, qualifications, duties and responsibilities of Inspectors on the certification team. The Inspector assigned as the Certification Project Manager (CPM) has the responsibility to complete the Air Operator Certification Job Aid (135) (Figure 3.6.1.1). The CPM should send a notice to the applicant informing them of the certification team assignment (Figure 3.6.1.2, CPM Designation)

**3.6.1.9. INITIAL CERTIFICATION TEAM BRIEFING.** A briefing of the certification team will be held prior to the pre-application meeting with the applicant. At this briefing, the team will review the applicants PASI. In addition the following administrative activities will be conducted:

- Create a certification file
- Ensure that the GMAS, FO, AW and all other team members have access rights
- Maintain hard copies of all official correspondence to/from applicant
- Inform other team members

### **3.6.1.11. PRE-APPLICATION MEETING.**

**A. General.** In preparation for the meeting, the assigned CPM should remind the applicant that the applicant's 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



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operation. The CPM should discuss the certification process in depth. Emphasis should be placed on the expectations of the GACA, what the applicant should expect from the GACA, and the sequence of events. The applicant should be encouraged to ask questions during the discussion. The CPM should have all attendees sign the Attendance Roster (Figure 3.6.1.3, Attendance Roster).

**B. Verifying Information on the PASI.** The first item for discussion should be verification of the information on the PASI, 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 PASI. If the changes significantly affect the anticipated scope and/or type of operation, a copy of the revised PASI shall be forwarded to the GACA.

**C. Briefing of the Applicant.** 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 they understand the certification process using the Air Operator Certification Job Aid (135) (Figure 3.6.1.1) as a guide to facilitate the discussion and to ensure that all elements of the certification process are covered. The applicant should be encouraged to ask questions about any area of the process not clearly understood. The CPM should provide the Pre-Application Checklist (PAC) (Figure 3.6.1.4, Pre-Application Checklist) to the applicant.

**D. Management Qualifications.** Management qualifications must be reviewed by the certification team to determine that there is a resume for each required management position and that these resumes 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 (ATP) certificate, 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.

**E. Informing the Applicant of Pertinent Regulations.** It is essential that the applicant understand which regulations are applicable to the proposed operation. The applicant should be advised to acquire and become familiar with the GACARs and other guidance pertinent to the proposed operation. 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.

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**F. Economic Authority.** As stated in GACAR § 119.3(f), “...no person may operate as a commercial operator under this part without holding appropriate economic authority from the GACA”. The applicant should be advised that it is the applicant's responsibility to apply for and obtain the appropriate GACA economic authority and that the GACA will not issue the operations specifications (OpSpecs) until economic authority is obtained.

- 1) It is the responsibility of the applicant to submit the original application for economic authority to the Economic Evaluation Department.
- 2) Prior to the Formal Application meeting the CPM should contact the Economic Evaluation Department to check on the progress of the economic authority request.

### 3.6.1.13. INSTRUCTIONS TO THE APPLICANT ON THE FORMAL APPLICATION.

**A. Requesting the Formal Application.** The applicant shall be informed that the formal application must be submitted to the GACA at least 90 calendar days prior to the proposed formal application meeting to allow the GACA to prepare resources. After initial review, GACA will notify the applicant of its acceptance or rejection by letter within 5 working days. The applicant should be encouraged to submit the formal application as far in advance as possible of the intended starting date. The following documents must be submitted when requesting the formal meeting:

- Formal application letter
- Completed Management Qualification Summary and Quality Audit Forms (made available from GACA)
- List of proposed operations specifications (OpSpecs)
- An up to date Pre-Application Statement of Intent (PASI) if there have been any changes to the original PASI

**NOTE:** The CPM should inform the applicant that while GACA 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.

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**B. Formal Application Letter.** The formal application letter serves as the vehicle to transmit the package of documents required to be certificated. The CPM shall inform the applicant that the formal application must be 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. This letter must be signed by the owner when applying as an individual or sole proprietorship, all partners when applying as a partnership, or an authorized officer(s) when applying as an organization such as a company or a corporation. 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 (if applicable). Additionally, the letter will confirm the identity of key management personnel such as the accountable executive, director of operations, director of maintenance and chief pilot. Note that additional management personnel are required for the Safety Management System (SMS). See Volume 2 of this eBook for full details on the SMS requirements and acceptance process.

**3.6.1.15. FORMAL APPLICATION ATTACHMENTS.** In addition to the documents listed in paragraph 3.6.1.13 above, the formal application letter must be accompanied with the attachments listed in the Pre-Application Checklist (Figure 3.6.1.4). The applicant must understand that this letter and these attachments will be the minimum information acceptable for meeting the requirements of the GACARs. Below is the guidance to be used when evaluating several of the key certification documents.

**A. Schedule of Events.** The applicant needs to understand that the schedule of events is a key document to be presented with the formal application. The schedule of events is a list of items, activities, programs, aircraft and/or facility acquisitions that the applicant must accomplish or make ready for GACA inspection before certification. 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. The applicant shall be informed that the schedule of events must be constructed in a logical and sequential manner. The schedule of events must also provide for a reasonable amount of time for the GACA to review and accept or approve each item or event, before scheduling other items or events that are dependent on such acceptance or approval. 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. The applicant should be advised that if deficiencies are detected during the review of manuals and other documents, they will be returned for amendment or correction. Such action

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may also cause additional delays in the certification process (see Figure 3.6.1.5, Schedule of Events).

**B. Company Manuals.** 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 organization, general policies, duties, responsibilities of personnel, operational control policy, and procedures. In practice, these manuals are often known as the Operations Manual (OM) and the Maintenance Manual (MM). The applicant's manuals, as required by GACAR § 135.85, must be completely developed at the time of formal application to satisfy the requirements of Phase 4 - Demonstration and Inspection. Note those additional manuals/documentation are required for the Safety Management System (SMS). See Volume 2 of this handbook for full details on the SMS documentation requirements.

**C. Company Training Curriculums.** The company training curriculum must be attached to the formal application. The company training curriculum must include at least the following curriculum segments for each applicable crewmember or dispatcher position:

- Basic indoctrination training
- Emergency training
- Initial aircraft ground training
- Initial aircraft flight training

**D. Management Qualification Resumes.** This attachment shall include resumes that meet the requirements of GACAR § 135.37 and contain information on the qualifications, certificates, ratings, and experience of personnel selected for the following positions, or equivalent:

- Director of operations
- Director of maintenance
- Chief pilot

1) Additional Positions. Positions or numbers of positions other than those listed in GACAR § 135.35 (a) may be approved for a particular operation if the applicant shows it can perform the operation with the highest degree of safety under the direction of fewer or

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different categories of management personnel due to:

- The kind of operation involved
- The number and type of aircraft used
- The area of operations

2) Request for Relief under GACAR § 135.37(f). The applicant shall be informed that the effectiveness of the applicant's management personnel will be observed throughout the certification process. If, during the pre-application meeting, it becomes apparent that a proposed management candidate does not meet the appropriate airman experience, managerial experience, or supervisory experience requirements outlined in GACAR § 135.37, the applicant should be informed that the applicant may apply for relief for the prospective certificate holder to employ that person if equivalent aeronautical experience is shown by documentation. In these cases if the President finds the person has comparable experience, and can effectively perform the functions associated with the position under the applicable requirements and the procedures outlined in the certificate holder's manual the President may authorize relief after consideration of the size and scope of the operation and the qualifications of the intended personnel. This request for relief must be made to the GACA as soon as practical, to enable the individual who will hold the position to be involved early in the certification process. Justification must take into account the size and scope of the operation as well as the qualifications of intended personnel.

**E. Documents of Purchase, Contracts, and Leases.** 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. These documents should provide evidence that the applicant is, in good faith, committed to making arrangement for aircraft, supporting facilities, and services as necessary for the proposed operation. Examples of the types of equipment, facilities, and services that should be addressed in these documents, contracts, or leases include the following:

- Aircraft
- Station facilities and services
- Weather and Notices to Airmen (NOTAM) gathering facilities and services

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- Communications facilities and service
- Maintenance facilities and service
- Aeronautical charts and related publications
- Aerodrome analysis and obstruction data
- Contract training or facilities

### **F. Compliance Statement.**

1) Preparation of the compliance statement benefits the applicant by systematically ensuring that all applicable regulatory aspects are appropriately addressed during the certification process. The compliance statement shall be in the form of a complete listing of all appropriate GACARs (for example, GACAR Parts 5, 109, 119 and 135) pertinent to the operation the applicant is proposing. This list should reference any applicable subpart and each relevant section of the subpart. 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 (see Figure 3.6.1.6, Compliance Statement). This statement also serves as a master index to the applicant's manual system to expedite the GACA's review and approval of the operation and manual system. 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.

2) Where the compliance information has been developed (for example, the manual material submitted with the formal application), a manual reference or description of the method of compliance must be entered next to the applicable regulatory section.

3) The list of the specific regulations and subparts, including all subparagraphs, may be presented in the manner of one of the examples described in Figure 3.6.1.6, Compliance Statement.

**3.6.1.17. CONCLUSION OF THE PRE-APPLICATION MEETING.** The CPM must ensure that 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. In addition the

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Certification Team should conduct an initial review of the applicant's submission and verify that content is sufficient to conduct a formal application meeting using the Initial Review Instructions found in Figure 3.6.1.7, Initial Review Instructions.

**A. Applicant is Adequately Prepared.** At the close of the pre-application meeting, the Certification Team should determine whether the applicant is prepared to proceed with the certification process. If it appears that the applicant understands the requirements of a formal application and will proceed to that phase, the CPM should encourage the applicant to informally coordinate required documents as they are developed with the certification team before submission of the formal application.

**B. Applicant is Not Prepared.** If it is evident that the applicant is not adequately prepared to proceed with the certification process, the CPM should advise the applicant of the reasons for concern. When it is apparent that the applicant will not be able to prepare an adequate formal application, the CPM should advise the applicant to request another pre-application meeting after more complete preparation on the applicant's part. It is appropriate for the CPM to recommend to the applicant one or more of the following actions:

- Retain the services of a professional aviation consultant
- A more thorough review of the applicable regulations
- Cease efforts to become GACA certificated
- Changes in proposed key management personnel

**3.6.1.19. TERMINATION OF THE PRE-APPLICATION PROCESS.** . If at any time during the pre-application phase the applicant formally terminates all efforts toward certification, or the GACA determines that the applicant will not proceed with the certification process, the PASI will be returned to the applicant. The GACA will notify the applicant in writing that this action terminates the pre-application process and that the applicant must submit a new PASI in order to initiate the certification process again. Senior GACA management must be notified of any certification project that is terminated.



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**FIGURE 3.6.1.1. AIR OPERATOR CERTIFICATION JOB AID (PART 135)**

AIR OPERATOR CERTIFICATION JOB AID (PART 135)							
<b>Air Operator Name:</b>			<b>Location address:</b>				
<b>Mailing address (if different from location):</b>			<b>File Location:</b>				
<b>I. PRE-APPLICATION PHASE:</b>			<b>Initials</b>	<b>Inspector</b>	<b>Date Received/ Accomplished</b>	<b>Date Returned For Changes</b>	<b>Reference</b>
<b>A. INITIAL ORIENTATION:</b>							
<b>Inspector Name:</b>							
1. BRIEF PRESENTATION.							
2. PRE-APPLICATION STATEMENT OF INTENT (PASI) FORM COMPLETED AND PROVIDED TO GACA.							
<b>B. DESIGNATED CERTIFICATION TEAM:</b> <i>(at least one operations, one airworthiness, and, if available, one avionics trained Inspector)</i>							
<b>Name</b>		<b>Specialty</b>					
<b>C. CONDUCT PRE-APPLICATION MEETING:</b>							
1.	VERIFY PASI INFORMATION.						
2.	OVERVIEW OF CERTIFICATION PROCESS.						
3.	PROVIDE CERTIFICATION PACKAGE:						
	a. Air Operator Certification Job Aid						
	b. Schedule of Events						
	c. Operations Specifications data sheet						
	d. Other Applicable Publications and Documents.						
4.	EXPLAIN FORMAL APPLICATION SUBMISSIONS.						
<b>REMARKS:</b>							



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AIR OPERATOR CERTIFICATION JOB AID (PART 135)				
II. FORMAL APPLICATION PHASE	Inspector Initials	Date Received/ Accomplished	Date Returned For Changes	Reference
<b>A. REVIEW APPLICANT'S SUBMISSION</b>				
<b>1. FORMAL APPLICATION LETTER</b>				
a. Full and official name (legal)				
b. Mailing address				
c. Primary operating location				
d. Name and address of applicants agent for service				
e. Key Management Personnel Names				
<b>2. FORMAL APPLICATION ATTACHMENTS</b>				
a. Schedule of events				
b. Initial Compliance Statement				
c. Company general manuals (Operations and Maintenance)				
d. Initial new hire training curriculums: (Crewmembers & Dispatchers ) Basic Indoctrination Emergency Training Ground & Flight Training				
e. Management qualification resumes.				
f. Doc's of purchase/contract/lease/letters of intent				
<b>B. Evaluate GACA-S &amp; ER resource capability based on schedule of events.</b>				
<b>REMARKS</b>				
<b>C. FORMAL APPLICATION MEETING</b>				
1 SCHEDULE MEETING				
2 Date: Time:				
3 DISCUSS EACH SUBMISSION				
4 RESOLVE DISCREPANCIES/OPEN ITEMS				
5 REVIEW CERTIFICATION PROCESS				
6 REVIEW IMPACT IF SCHEDULE OF EVENTS NOT MET				
<b>D. ISSUE LETTER ACCEPTING/REJECTING APPLICATION</b>				
<b>REMARKS</b>				

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AIR OPERATOR CERTIFICATION JOB AID (PART 135)				
III. DOCUMENT COMPLIANCE PHASE	Insp. Initials	Date Received/ Accomplished	DATE RETURNED FOR CHANGES	Reference
<b>A. EVALUATE APPLICABLE TRAINING PROGRAMS</b>				
1. TRAINING CURRICULUMS				
a. Basic Indoctrination				
b. Emergency Training				
c. Ground Training (Handling/Service/Deicing)				
d. Flight Training				
e. Recurrent Training				
f. Transition/Upgrade Training				
g. Differences Training				
h. Security				
i. Dangerous Goods				
j. Check pilot/Flight Instructor				
k. Maintenance Personnel				
l. Inspection Personnel				
2. DISPATCHER TRAINING (If applicable)				
REMARKS:				
<b>B. EVALUATE MANAGEMENT QUALIFICATIONS</b>				
1. CHIEF PILOT				
2. DIRECTOR OF OPERATIONS				
3. DIRECTOR OF MAINTENANCE				
4.				
5.				
REMARKS:				

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AIR OPERATOR CERTIFICATION JOB AID (PART 135)				
III. DOCUMENT COMPLIANCE PHASE (CONTINUED)	INSP. INITIAL	DATE RECEIVED/ ACCOMPLIS HED	DATE RETURNED FOR CHANGES	REFERENCE
<b>C. EVALUATE APPLICABLE MANUALS</b>				
1. COMPLETED OPERATIONS MANUAL				
2. COMPLETED MAINTENANCE MANUAL				
3. APPROVED AIRCRAFT FLIGHT MANUAL				
4. COMPANY AIRCRAFT OPERATIONS MANUAL				
5. AIRCRAFT CHECKLISTS:				
a. Normal				
b. Abnormal				
c. Emergency				
6. DISPATCHER/FLIGHT FOLLOWING/LOCATION				
7. STATION OPERATIONS				
8. COMPANY EMERGENCY MANUAL				
9. AERODROME DATA & EN ROUTE MANUAL (Charts and plates)				
10. AERODROME/RUNWAY/ANALYSIS (Performance)				
11. MINIMUM EQUIPMENT LIST (MEL)				
12. CONFIGURATION DEVIATION LIST (CDL)				
13. MAINTENANCE TECHNICAL MANUALS:				
a. Airframe/Powerplant				
b. Structural Repair				
c. Parts Catalogue				
d. Inspection Procedures				
e. Manufacturer's or Vendor's Manual				
f. Wiring Manual				
g. Overhaul Manual				
14. FUELING/ REFUELING/ DEFUELING				
15. GROUND SERVICING MANUAL				
16. MASS AND BALANCE CONTROL PROGRAM				
17. DANGEROUS GOODS (TDG)				
18. SECURITY				
19. FATIGUE RISK MANAGEMENT SYSTEM (FRMS)(optional)				
<b>REMARKS:</b>				

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AIR OPERATOR CERTIFICATION JOB AID (PART 135)				
III. DOCUMENT COMPLIANCE PHASE (CONTINUED)	INSP. INITIAL	DATE RECEIVED/ ACCOMPLISHED	DATE RETURNED FOR CHANGES	REFERENCE
<b>EVALUATE APPLICABLE MANUALS (CONT.)</b>				
20. CONTINUOUS AIRWORTHINESS MAINT PROG (including maintenance schedules for each aircraft type)(optional)				
<b>D. OTHER EVALUATIONS:</b>				
1. AIRCRAFT LEASES				
2. MAINTENANCE CONTRACTS/AGREEMENTS				
3. SERVICING CONTRACTS/AGREEMENTS				
4. EXEMPTION/DEVIATION REQUESTS / JUSTIFICATION				
5. AIRCRAFT PROVING TEST PLAN				
6. PROBLEMATIC USE OF PSYCHOACTIVE				
7. FINAL COMPLAANCE STATEMENT				
8. INITIATE OPSPECS PREPARATION DATA SHEET				
9. TRAINING CONTRACTS				
10. DEICING/ANTI-ICING				
11.				
<b>REMARKS</b>				

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AIR OPERATOR CERTIFICATION JOB AID (PART 135)				
IV. DEMONSTRATION & INSPECTION PHASE	INSP. INITIAL	DATE RECEIVED/ ACCOMPLISHED	DATE RETURNED FOR CHANGES	REFERENCE
<b>A. EVALUATE APPLICANT CONDUCTING TRAINING</b>				
1. TRAINING FACILITIES				
2. TRAINING SCHEDULES				
3. FLIGHT CREW MEMBER TRAINING EVALUATION:				
a. Basic Indoctrination				
b. Emergency Training				
c. Ground Training				
d. Flight Training				
e. Differences Training				
4. CHECK PILOT/INSTRUCTOR				
5. DISPATCHER/FLIGHT FOLLOWING/LOCATING				
6. DANGEROUS GOODS				
7. SECURITY TRAINING				
8. MAINTENANCE TRAINING:				
a. Mechanics/Repairmen				
b. Inspection Personnel				
<b>REMARKS:</b>				
<b>B. AIRMEN TESTING/CERTIFICATION</b>				
1. PILOTS				
3. DISPATCHERS (Optional)				
<b>REMARKS:</b>				



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AIR OPERATOR CERTIFICATION JOB AID (PART 135)				
V. CERTIFICATION PHASE	INSP. INITIAL	DATE RECEIVED/ ACCOMPLISHED	DATE RETURNED FOR CHANGES	REFERENCE
<b>A. APPROVE OPERATIONS SPECIFICATIONS</b>				
<b>B. PRESENT CERTIFICATE &amp; OPSPECS TO CERTIFICATE HOLDER</b>				
<b>REMARKS:</b>				
<b>C. PREPARE CERTIFICATION REPORT</b>				
<b>1. ASSEMBLE REPORT:</b>				
a. Pre-Application Statement of Intent				
b. Certification Job Aid				
c. Formal Application Letter				
d. Schedule of Events				
e. Final Compliance Statement				
f. Proving Test Evaluation Report				
g. Copy of Operations Specification				
h. Copy of Certificate				
i. Summary of Difficulties				
j. Suggestions to Improve Certification Process				
<b>2. DISTRIBUTE REPORT</b>				
<b>REMARKS:</b>				
<b>D. DEVELOP POST CERTIFICATION SURVEILLANCE PLANS</b>				
<b>REMARKS:</b>				

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**FIGURE 3.6.1.2. CPM DESIGNATION**

**CPM Designation-Notification to the Applicant**

Dear \_\_\_\_\_

Please be advised that \_\_\_\_\_ has been designated as the Certification Project Manager (CPM) for the process of your Air Operator Certification project.

\_\_\_\_\_ will be GACA's point of contact for all aspects of the certification project.

All coordination and correspondence should be addressed to him. He may be reached at:

Telephone: \_\_\_\_\_

Fax: \_\_\_\_\_

Email: \_\_\_\_\_

The CPM will contact you to schedule an initial briefing presentation at the GACA SS&AT office in Jeddah. Please ensure that your key management will attend the meeting.

We recommend that you prepare a presentation to GACA that addresses:

- o Type of intended operation
- o Intended Make/Model/Series and number of aircraft
- o Intended route structure/area of operation
- o Proposed start of operations
- o Principal base of operations
- o Your expectations from the GACA

We also recommend that you coordinate with the CPM on any special issues you may wish to discuss at the meeting.



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**FIGURE 3.6.1.3. ATTENDANCE ROSTER**

**Type of Meeting**

**Organization:**

**Organizational Address:**

**Location:**

Name	Title or Position	Phone Number	E-mail Address

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**FIGURE 3.6.1.4. PRE-APPLICATION CHECKLIST**

**PRE-APPLICATION CHECKLIST**

<b>Documentation Required at Formal Application</b>		
<b>Document/Manual</b>	<b>Verified by:</b>	<b>Date</b>
Formal Application Letter		
Revised PASI		
Corporate Documents		
List of Proposed OpSpecs Paragraphs		
Proposed Schedule of Events		
Status of SMS Program		
Compliance Statement		
Company Manuals and Programs		
Initial Cadre Check Pilot Training Program		
Facility Lease Agreements or Proof of Ownership		
Outsourcing Contractual Agreements		
Aircraft Lease or Proof of Ownership		
Current Aircraft Equipment List		
Aircraft Information Form		
Status of Economic Authority Request		
Status of Dangerous Goods Procedures Manual and Training Program		
Status of Problematic Use of Psychoactive Substances Program		
Status of Security Program		
<b>Required Management Personnel, Qualification Summary and Quality Audit Forms</b>		
<b>Management Position</b>	<b>Verified by: Name, Title/Signature</b>	<b>Date</b>
Director of Maintenance		
Director of Operations		
Chief Pilot		

*Instructions*

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1. A member of the company's management team must verify by name, title, signature, and date of verification that each element contained in the Pre-application Checklist (PAC) has been accomplished and/or submitted for formal application.
2. A member of the company's management team must verify that each person filling a required management position completes the Qualification Summary Form.
3. Indicate in the formal application letter whether the Pre-application Statement of Intent and Schedule of Events are original or updated.
4. Include as part of the formal application letter each lease agreement, letter of intent, or proof of ownership of an aircraft to be entered into the operations specifications.
5. Include in the formal application package all contractual agreements for outsourcing (maintenance, training, operations, etc.).
6. Include all manuals and programs required by GACA Parts 5, 7, 91, 109, 119, and 135 as part of the formal application package. Identify each manual and program submitted by using the same naming or numbering convention used to develop the manual and program.

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**FIGURE 3.6.1.5. SCHEDULE OF EVENTS**

**SCHEDULE OF EVENTS (SOE)**

Name of Applicant:		Date:
Events	Date Proposed	Date Accomplished
<b>Phase 2—Formal Application</b>		
Submit Application Package		
Formal Application Meeting		
<b>Phase 3 – Document Compliance</b>		
All manuals approved/accepted		
<b>Pilot Training</b>		
Begin Instructor Training		
Begin Basic Indoctrination		
Begin Emergency Training		
Begin Aircraft Ground Training		
Begin Simulator/Aircraft Training		
Begin Check Pilot Training		
<b>Dispatch Training</b>		
Begin Instructor Training		
Begin Basic Indoctrination		
Begin Aircraft Ground Training		
Begin Competency Check Supervisor Training		
Begin Competency Checks		
<b>Maintenance Training</b>		
Begin Instructor Training		
Begin Basic Indoctrination		
Begin Aircraft Ground Training		
Begin Maintenance Inspector Training (RII) (CAMP users only)		
Training completed for Phase 3 participants		
<b>Phase 4—Demonstration &amp; Inspection</b>		
Submit Operational Readiness Results		
Submit Proving Test plan (if applicable)		
Proving Tests		

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### FIGURE 3.6.1.6. COMPLIANCE STATEMENT

#### COMPLIANCE STATEMENT

##### Introduction

Preparation of the Compliance Statement benefits the applicant by systematically ensuring that all applicable specific regulatory requirements (SRR's) are appropriately addressed during the certification process. The Compliance Statement also serves as a master index to the applicant's manual system. The Compliance Statement is an important source document and serves as the applicant's "roadmap of compliance" during the initial certification process as well as after the certificate is granted. It is a "living document" that may be modified during Phase-4 of the certification process. Once the certification process is completed, the applicant should continue to keep the Compliance Statement current as changes are incorporated into their manual system. A properly constructed Compliance Statement will expedite the GACA's review and approval of the applicant's operation and manual system.

The Compliance Statement shall be in the form of a complete listing of all sections of GACA Parts 5, 7, 91, 109, 119 and 135 pertinent to the operation the applicant is proposing.

This list should reference each applicable subpart, such as "Subpart D-Manual Requirements", each applicable regulation, such as "GACAR § 135.85-Manual Contents" and list each relevant SRR contained within each regulation, such as "GACAR §§ 135.85(a) and 135.85(b), etc." Next to each SRR, the applicant must provide all references developed in any pertinent manual (or other document, such as a passenger safety information card) within its manual system that contains the method, or methods, of compliance. The location of each reference should be as specific as possible and should contain the name of the manual, chapter, section and paragraph number(s). Using manual page numbers in the Compliance Statement may produce inaccurate reference locations due to repagination problems.

There may be multiple reference locations for one SRR found within one manual, or there may be multiple reference locations found in several different volumes. It is not acceptable to enter references such as "ABC Airlines will comply with this requirement", "ABC Airlines understands this regulation and will comply" or "Noted." SRR's that do not apply to the applicant's proposed operation may be referenced with "Not applicable."

##### Examples:

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It is recommended that the COMPLIANCE STATEMENT be prepared similar to the examples that follow.

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Example 1: Compliance Statement Table Format

Regulation	Title	Manual Reference
§ 135.463(b)	Aircraft Dispatcher Duty Time Limitations	OM, page 37-5, paragraph 35
§ 135.463(b)(1)	“ “	OM, page 37-6, paragraph 37

Example 2: Sample references for GACAR § 135.343(a) SRR compliance:

GACAR § 135.343 Operating Experience

1. OM, Chapter 2, Section 2.01(D)

Training Manual, Chapter 4, Sections 4.20(A) and 4.21(B1)

a. OM, Chapter 2, Section 2.11(E)

Training Manual, Chapter 4, Sections 4.20(B) and 4.21(F)

b. OM, Chapter 2, Section 2.09(F); Chapter 3, Section 3.10 (C2a)

Training Manual, Chapter 4, Section 4.21(H)

c. Training Manual, Chapter 4, Section 4.21(J)

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**FIGURE 3.6.1.7. INITIAL REVIEW INSTRUCTIONS**

**INITIAL REVIEW INSTRUCTIONS**

**Purpose:** The purpose of the initial review is to determine the quality of applicant's application package.

**Procedure:**

1. CPM will:

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- a. Verify that all PAC documents have been submitted.
- b. Verify that all manuals required to conduct the certification are available to the CPT.
- c. Verify the compliance statement includes applicable GACAR Part 5, 7, 91, 109, 119 and 135 rules.

### **Evaluation Criteria:**

- a. One hundred percent of the documents required by the Pre-Application Checklist (PAC) must have been submitted
- b. The compliance statement must accurately list at least 90 percent of the Part 5, 7, 91, 109, 119 and 135 rules that apply to the applicant
- c. The CPM should collect the results and store them in the applicant's certification file



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### CHAPTER 6. THE CERTIFICATION PROCESS FOR PART 135

#### Section 2. Phase 2 – Formal Application

**3.6.2.1. RECEIPT OF FORMAL APPLICATION.** When the formal application is received, the applicant should be informed that the General Authority of Civil Aviation (GACA) will need 10 working days to review the submission.

**3.6.2.3. INITIAL REVIEW OF THE FORMAL APPLICATION.** Upon receipt of a formal application, the certification team must initially review it and make a determination of its acceptability. The certification project manager (CPM) will notify the applicant of the results informally, followed by prompt written notification of acceptance or rejection of the formal application. The CPM shall document both of these contacts with the applicant in the GACA Activity Report (GAR). The initial review serves the following two purposes:

A. It verifies that at least those items required for formal application have been submitted. The required items are as follows:

- 1) The application must contain the formal letter requesting certification, which includes the information described in Section 1, paragraph 3.6.1.13 of this chapter.
- 2) The application must contain the required formal attachments described in Section 1, paragraph 3.6.1.15 of this chapter. These requirements are listed in the Figure 3.6.1.1, Air Operator Certification Job Aid (Part 135).

**NOTE:** 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 (see Figure 3.6.2.1, Rejection of Formal Application-Missing or Incomplete Documents). The decision should be coordinated with the Manager of Flight Operations (FO), Manager of Airworthiness (AW) and the General Manager, Aviation Safety Standards (GMAS). If termination is recommended, the Assistant President, SS&AT must be informed.

B. The initial review also permits a determination of whether the submitted material represents a feasible proposal and is of sufficient quality to allow for a productive formal application meeting

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and to proceed with the certification process. The following paragraphs are provided as direction and guidance for this initial review.

**3.6.2.5. SCHEDULE OF EVENTS ATTACHMENT.** The schedule of events is a list of each major item, activity, program, aircraft and/or facility acquisition. It also sets milestones for accomplishment or submission of the listed 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 with respect to the following criteria:

- Logic of sequence
- Timeliness of events
- Completeness of events
- Aviation safety inspector (Inspector) or other GACA resource availability

**A. Logic of Sequence.** Many activities and events listed in the schedule must occur before other activities and events. For example, aircraft systems training cannot begin until the GACA approved flight manual is available or the company aircraft operating manual has been reviewed and accepted/approved. The team should use the certification job aid as a tool to ensure that the applicant's proposed schedule of events is logical in terms of event sequence.

**B. 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.

**C. 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. Specific manuals and other documents that are required for a particular type of applicant are annotated in the schedule of events and the certification job aid. The CPM should use the job aid to ensure that all required manuals and documents have been included in the schedule of events.

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**D. Inspector or Other GACA Resource Availability.** Availability and capability of personnel resources is another element of concern when determining whether a schedule of events can be met. The CPM must determine, for example, that appropriately qualified inspectors are available for the conduct of extensive manual reviews consistent with the proposed schedule of events. Also, the CPM must ascertain the qualifications of the available inspectors with respect to the proposed operation. The CPM will also coordinate participation by other resources, such as security or medical, as required.

**3.6.2.7. COMPANY GENERAL MANUAL ATTACHMENTS.** The CPM must give the company general operation and maintenance manual attachments a cursory review, first to determine that the type of information described in Section 1, paragraph 3.6.1.15 (B) has been submitted. Second, the CPM must determine that the overall content and scope of the manual material indicates that the applicant is proceeding in an appropriate manner and in compliance with the regulations. These completed manual submissions provide early indications of the quality of the applicant's manual program. An in-depth review and evaluation of the manual will be accomplished in the document compliance phase.

**3.6.2.9. COMPANY TRAINING CURRICULUM ATTACHMENTS.** The CPM must review the training curriculum attachments to determine that each of the curriculum segments listed in Section 1, paragraph 3.6.1.15 (C) have been submitted for each applicable crewmember position. Each curriculum must be reviewed to determine that basic regulatory requirements are being met and that the applicant is proceeding in an appropriate manner with the development of the applicant's training programs. A detailed review and initial approval of the training curriculum will be accomplished in the document compliance phase after the applicant has finalized all training arrangements, including instructor lesson plans. The applicant may not start training in a curriculum until that curriculum has been initially approved.

**3.6.2.11. MANAGEMENT QUALIFICATIONS ATTACHMENTS (RESUMES).** Management qualifications must be reviewed by the certification team to determine that there is a resume for each required management position and that these resumes 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 (ATP) certificate, but the resume shows that the individual holds only a Commercial Pilot certificate. A detailed review of the management qualifications and effectiveness must be accomplished during the document compliance and the demonstration and inspection phases

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**3.6.2.13. DOCUMENTS OF PURCHASE, CONTRACTS, AND LEASE ATTACHMENTS.** The CPM must review these documents to determine that they include the types of information described in section 1, paragraph 3.6.1.15 (E). The documents should be reviewed for obvious omissions or significant discrepancies. Examples of obvious omissions might be the lack of documents indicating intent to acquire an aircraft or to arrange for a station facility. A significant discrepancy might be a document that reflects a contractual arrangement with another organization to perform a type of maintenance when it is known that the other organization is not qualified to perform that type of maintenance. These documents will not necessarily receive further review during the certification process since the aircraft, facilities, and services referenced in the documents will be the items inspected for acceptance or approval. It is not necessary or desirable for a separate document to exist for every item the applicant will have to acquire. However, there should be sufficient evidence to show that the applicant has made definitive arrangements to acquire the major items needed for certification.

**3.6.2.15. COMPLIANCE STATEMENT ATTACHMENT.** The CPM must review the compliance statement within 10 working days to determine that it complies with the form and content prescribed in Section 1, paragraph 3.6.1.15 (F) and that the applicant has proceeded in an appropriate manner.

**3.6.2.17. INITIAL DETERMINATION OF FORMAL APPLICATION ACCEPTABILITY.**

**A.** 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-application phase should supplement the decision-making process. Other factors such as working relationships and understanding 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.

**B.** 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 can 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, timeliness, 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

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curriculum, and/or the compliance statement can be resolved during the formal application meeting. Questions about management qualifications and documents substantiating the acquisition of aircraft, facilities, and services can often be answered during this meeting.

C. If the CPM and the certification team decide to proceed with the certification process, the CPM must contact the applicant and schedule the formal application meeting. The applicant must be informed that attendance of key management personnel is required.

**3.6.2.19. THE 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 for future proceedings. The CPM is responsible for conducting the formal application meeting. Except for unanticipated circumstances, all members of the certification team and any other applicable GACA personnel must be present. Normally, the CPM should open the meeting with the applicant, all of the applicant's key management personnel, and the certification team present. To ensure meeting agenda items are accomplished, the CPM should use the guidance in Figure 3.6.2.3, Formal Application Meeting Plan.

**NOTE:** The CPM must notify the GMAS, FO and AW of the formal application meeting date.

A. The CPM should encourage the applicant and the applicant's key management personnel to present any questions they may have concerning the forthcoming certification process. The CPM and certification team members should provide candid answers and discuss freely all aspects of the certification process.

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

C. Before concluding the formal application meeting, the CPM must make certain that the applicant clearly understands the following:

1) 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, following which, 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.

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2) If the applicant is unable to meet the schedule of events, the GACA will still need equivalent amounts of time, as agreed upon during the meeting, to make the necessary reviews and inspections. Consequently, the proposed start-up date could be delayed.

**3.6.2.21. FINAL DETERMINATION OF FORMAL APPLICATION ACCEPTABILITY.** If the formal application meeting is successful, a letter acknowledging receipt and acceptance of the formal application must be prepared and forwarded to the applicant as soon as possible, but not later than five (5) working days after the meeting (see Figure 3.6.2.2 Acceptance of Formal Application).

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**Figure 3.6.2.1. Rejection of Formal Application - Missing or Incomplete Documents (Example)**

[GACA Letterhead]

[Date]

President and CEO, MidCoast Airlines  
601 West Circle Drive  
Jeddah, Saudi Arabia

Dear Sir:

This office has reviewed your formal application for an Air Operator Certificate, dated \_\_\_\_\_ . We find it necessary to return your application because of deficiencies in the following areas:

1. Resume of Mr. [XX], Director of Maintenance is not included with your application.
2. The compliance statement is incomplete. For example: your failure to address entire regulatory sections in Subpart L, such as General Authority of Civil Aviation Regulation (GACAR) §§ 135.377, 135.379 and 135.381. Methods of compliance with these regulatory sections are described in your company's general manual attachment and should be appropriately referenced in the compliance statement. As previously discussed, all applicable regulatory sections must be addressed in the compliance statement.
3. The Minimum Equipment List (MEL) does not contain maintenance and operations procedures as required on the master minimum equipment list.

We are returning your letter of application with all attachments. It will be necessary to submit a new formal application when you have corrected all discrepancies noted above and any other omissions that exist.

Please contact us if we can be of any further assistance in clarifying the minimum requirements for your formal application.

Sincerely,

Signature  
Certification Project Manager

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**Figure 3.6.2.2. Acceptance of Formal Application (Example)**

[GACA Letterhead]

[Date]

President and CEO, MidCoast Airlines  
601 West Circle Drive  
Jeddah, Saudi Arabia

Dear Sir:

Your formal application has been reviewed and found acceptable. Acceptance of the application does not convey specific approval of the attachments. Specific approvals or acceptance of the attachments will be appropriately conveyed after a detailed evaluation by the General Authority of Civil Aviation (GACA) certification team.

We look forward to working with your personnel in the continuation of the certification process.

Sincerely,

Signature

Certification Project Manager



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**Figure 3.6.2.3. Formal Application Meeting Plan**

### **FORMAL APPLICATION MEETING PLAN**

#### **General**

The objective of this exercise is to determine that the applicant's management personnel are knowledgeable of their air operator systems.

The Certificate Management Team (CMT) accomplishes this task by developing questions related to processes under the individual's areas of responsibility or control.

#### **Process**

Certificate Project Team (CPT)—Design questions that will assess the applicant's required management personnel's knowledge of their processes and associated system documentation. The questions should directly relate to processes under the individual manager's area of responsibility. The answers should include reference to the manual system or other company documentation.

### **NOTES:**

**Questions and answers should be based on the current status of the air operator system documentation.**

**Questions should target each manager's knowledge of the process for which he has responsibility; they should not be scenario-based.**

**Certification Project Manager (CPM)** —Document the questions and expected answers, including the manual/documentation reference(s) on the Formal Application Management Questionnaire Worksheet (below).

**CPM** —Assign questions to CPT members.

**CPT** —Discard questions and answers upon successful completion of the meeting.

#### **Acceptable Completion Standards**

Each of the applicants required management personnel should demonstrate an acceptable level of

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understanding of their air operator systems by correctly answering all questions. Unsuccessful results may require retesting the manager(s) later.

### **NOTES:**

This event is not an opportunity to reveal inadequacies in the applicant's air operator system design. These inadequacies will be corrected during the Demonstration and Inspection Phase.

Discourage managers from locating manual references by using "word search" functions.

Develop an Agenda:

#### **Suggested Agenda Items:**

Introductions and circulate attendance roster (See Attendance Roster)

Applicant describe proposed air operator systems

Review certification process

Explain conduct and criteria of this meeting

Conduct management questions

Resolve discrepancies and open items

Discuss Schedule of Events

Discuss proposed operations specifications

Review requests for exemption or deviation

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<b>Formal Application</b> <b>Management Questionnaire Worksheet</b>			
<b>Applicant:</b> _____	<b>Manager:</b> _____ <small>Name and Position</small>		
<b>Question:</b> <div style="border-bottom: 1px dotted black; height: 15px; margin-bottom: 2px;"></div> <div style="border-bottom: 1px dotted black; height: 15px; margin-bottom: 2px;"></div> <div style="border-bottom: 1px dotted black; height: 15px; margin-bottom: 2px;"></div> <div style="border-bottom: 1px dotted black; height: 15px; margin-bottom: 2px;"></div> <div style="border-bottom: 1px dotted black; height: 15px; margin-bottom: 2px;"></div> <div style="border-bottom: 1px dotted black; height: 15px; margin-bottom: 2px;"></div> <div style="border-bottom: 1px dotted black; height: 15px; margin-bottom: 2px;"></div> <div style="border-bottom: 1px dotted black; height: 15px; margin-bottom: 2px;"></div>			
<b>Expected Outcome (References):</b> <div style="border-bottom: 1px dotted black; height: 15px; margin-bottom: 2px;"></div> <div style="border-bottom: 1px dotted black; height: 15px; margin-bottom: 2px;"></div> <div style="border-bottom: 1px dotted black; height: 15px; margin-bottom: 2px;"></div> <div style="border-bottom: 1px dotted black; height: 15px; margin-bottom: 2px;"></div> <div style="border-bottom: 1px dotted black; height: 15px; margin-bottom: 2px;"></div>			
<b>Actual Outcome:</b> <div style="border-bottom: 1px dotted black; height: 15px; margin-bottom: 2px;"></div> <div style="border-bottom: 1px dotted black; height: 15px; margin-bottom: 2px;"></div> <div style="border-bottom: 1px dotted black; height: 15px; margin-bottom: 2px;"></div> <div style="border-bottom: 1px dotted black; height: 15px; margin-bottom: 2px;"></div> <div style="border-bottom: 1px dotted black; height: 15px; margin-bottom: 2px;"></div>			
SAT <input type="checkbox"/>	UNSAT <input type="checkbox"/>	<b>Date:</b> _____	<b>CMT Member Name:</b> _____

Separate Here to Provide Question to Management

<b>Question:</b>

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#### Section 3. Phase 3 – Document Compliance

**3.6.3.1. GENERAL.** The document compliance phase is that part of the certification process when the applicant's manuals and other documents are reviewed in depth to ensure compliance with applicable regulations and conformity to safe operating practices.

**NOTE:** These documents may include paper representation of data intended for display on the aircraft; for example, electronic checklists or approved flight manuals. Operators' use of electronic checklists should be consistent with the provisions of Federal Aviation Administration (FAA) Advisory Circular (AC) 120-64 (as amended), Operational Use and Modification of Electronic Checklists,

**A.** An important responsibility of the certification project manager (CPM) is to organize the certification team's efforts to promptly review the applicant's manuals and other documents. Two key elements useful in planning activities in the document compliance phase are the schedule of events and the compliance statement. The schedule of events determines what will be examined and when. The previously agreed upon schedule of events will determine the priority of items to be reviewed and any additional aviation safety inspector (Inspector) support or other General Authority of Civil Aviation (GACA) resources that will be needed beyond the composition of the basic certification team. The document compliance phase is an intensive process and will most likely require additional resources to accomplish necessary tasks in a timely manner.

**B.** The plan for review should ensure that each of the required manuals or documents submitted by the applicant will be reviewed in accordance with procedures and criteria outlined in other volumes of this handbook. The compliance statement directs the Inspector to the location in the applicant's manuals where a compliance procedure is described. The Air Operator Certification Job Aid (Part 135) (Figure 3.6.1.1) is a good reference to use when conducting a review of an applicant's manuals and other documents.

**3.6.3.3. REVIEW OF APPLICANT'S SUBMISSIONS .** During this phase, members of the certification team evaluate and the applicant's manuals and any other required documents. Although the manuals are accepted (not approved) by the GACA, certain portions of the manuals do require approval. See Volume 4, Chapter 12, Manuals, Procedures and Checklists for complete details.

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Review of the applicant's submissions should be accomplished by simultaneous reference to the General Authority of Civil Aviation Regulations (GACARs), the compliance statement, and the appropriate manual or document. The following are examples of typical submissions from applicants during the document compliance phase. This list is not all-inclusive, and certain items may not be applicable to a particular type of operation.

- Management personnel resumes outlining proposed management qualifications and compliance histories
- Operations Manual (OM)
- Maintenance Manual (MM)
- Continuous airworthiness maintenance program/manuals (CAMP) (as applicable)
- Mass and Balance procedures
- Training program/manual
- GACA approved Aircraft Flight Manual (AFM)
- Company aircraft operations manual (This is not required if an operator elects to use the manufacturer's approved AFM)
- Minimum Equipment List (MEL)
- Configuration Deviation List (CDL)
- Cockpit checklist
- Destination Aerodrome Analysis Program
- Dangerous Good (TDG) Program
- Security program
- Safety Management Safety documentation

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- Psychoactive Substance Prevention and Safety program
- Flight locating procedures
- Operations specifications (OpSpecs)
- Proving/validation test plan (if applicable)
- Compliance statement

### 3.6.3.5. THE COMPLIANCE STATEMENT.

A. The compliance statement serves the following two purposes:

- 1) It ensures that the applicant has adequately addressed all regulatory requirements applicable to the proposed operation.
- 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 compliance statement, the certification team may find it helpful to compare (in a side-by-side manner) the GACAR, the applicant's manuals, and the compliance statement. The compliance statement documents how the applicant intends to comply with each applicable regulation.

B. If the applicant's compliance statement does not serve the preceding purposes, the deficient areas will be communicated to the applicant, and a resolution shall be negotiated. Proving tests will not be conducted until the certification team is satisfied, through its review of the compliance statement 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.

**3.6.3.7. DOCUMENT DEFICIENCIES.** If the Inspector's review reveals deficiencies in the applicant's submissions, the CPM should negotiate resolution of the deficiencies. The team should be ready to offer suggestions on how to improve the product, but avoid "writing" the applicant's manual. The certification team should remember that it is the applicant's responsibility to develop manuals and procedures that ensure safe operating practices and compliance with the rules.

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#### Section 4. Phase 4 – Demonstration and Inspection

**3.6.4.1. GENERAL.** In this phase, the certification team determines that the applicant's proposed procedures and programs for training and directing personnel in the performance of their duties are effective. The emphasis is on compliance with regulations and safe operating practices. As previously mentioned, certain segments of the document compliance phase often occur simultaneously with certain events in the demonstration and inspection phase. For example, aviation safety inspectors (Inspectors) may be observing pilot training at the applicant's facilities (demonstration and inspection phase) while other certification team members are evaluating maintenance manuals in the General Authority of Civil Aviation (GACA) office (document compliance phase).

**3.6.4.3. OBSERVATIONS AND MONITORING OF EVENTS.** Through observation and other forms of on-site evaluation during the demonstration and inspection phase, members of the certificating team observe and monitor many types of applicant activities. The manner in which the applicant is to be evaluated while conducting different segments of this phase is outlined in various sections of this handbook. The following list of activities or events is representative of events that occur in the demonstration and inspection phase. This list is not all-inclusive, and certain items may not be applicable to a particular type of operator:

- Safety Management System (*Volume 2*)
- Conduct of training programs (classroom, flight simulators, and aircraft training) (*Volume 4, Chapter 21*)
- Airmen testing and certification (*Volume 9*)
- Recordkeeping procedures (documentation of training, flight and duty times, and flight papers) (*Volume 4, Chapter 11*)
- Operational control (dispatch or flight locating capabilities)
- Approved maintenance procedures (*Volume 4, Chapters 3*)

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- Maintenance activities (facilities, personnel, technical information, and spare parts) (*Volume 4, Chapter 5*)
- Aircraft (aircraft maintenance records) (*Volume 4, Chapters 3 & 5*)
- Minimum Equipment Lists (MEL) and Configuration Deviation Lists (CDL) (*Volume 5, Chapter 4*)
- Mass and balance control, if applicable (procedures, accuracy, document control) (*Volume 4, Chapter 13*)
- Aircraft proving tests (if required) (*Volume 4, Chapter 17*)
- Station facilities (equipment, procedures, and personnel), if applicable
- Any other event appropriate for the type of operation to be conducted

**3.6.4.5. DEMONSTRATION AND INSPECTION DEFICIENCIES.** If, at any time during the demonstration and inspection phase, the applicant does not meet the schedule of events, or the applicant's conduct of various activities or certain items (such as MEL, recordkeeping procedures) proves to be deficient, appropriate corrective action must be taken. Required and recommended corrective measures for addressing specific types of deficiencies are in the appropriate subject matter discussions in other chapters of this handbook. The certification project manager (CPM) should schedule meetings with the applicant, as necessary, to review all deficiencies in detail. If appropriate, the CPM shall negotiate a new, modified schedule of events and re enter the demonstration and inspection phase or the document compliance phase, as appropriate.



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### **CHAPTER 6. THE CERTIFICATION PROCESS FOR PART 135**

#### **Section 5. Phase 5 – Certification**

**3.6.5.1. GENERAL.** The applicant shall not be certificated under any circumstance until the certification project manager (CPM) has determined that the applicant is compliant with all applicable regulatory requirements and fully capable of fulfilling its ongoing responsibilities of complying with the General Authority of Civil Aviation Regulations (GACARs) in an appropriate manner. The certificate and operations specifications (OpSpecs) are issued to the applicant after all unsatisfactory items have been corrected. This action completes the certification process.

**A. Obtaining Certificate Numbers, Designators and ICAO Identifiers.** The CPM is responsible for ensuring that certificate numbers, designators and ICAO Identifiers are issued (see Volume 3, Chapter 1, Section 2, GACA Certificate Numbers and Designators). In addition, International Civil Aviation Organization (ICAO) identifier guidance may be found in Volume 3, Chapter 2, Section 3, Company Designators and Call Signs.

**3.6.5.3. PREPARATION OF THE AIR OPERATOR CERTIFICATE.** An Air Operator Certificate (AOC) will be issued when all phases of the certification have been completed satisfactorily.

**A. The Effective Dates.** The Air Operator Certificate will be issued with two (2) dates. The first being the date of issuance, and the second being the expiration date. The expiration date shall be five (5) years from the date the certificate was issued unless an earlier date is specified by the President. If a certificate is to be changed due to an address change, the date of original issuance shall be retained on the changed certificate. A change of name for the air operator or a change in the certification statement of authority has the effect of a new certification; therefore, a new certificate and certificate number shall be issued. For this situation, the issuance date of the new certificate will be entered in the space provided.

#### **3.6.5.5. ISSUANCE OF OPERATIONS SPECIFICATIONS AND AIR OPERATOR CERTIFICATE.**

**A.** When it is determined that the applicant has met all regulatory requirements, the AOC and operations specifications (OpSpecs) will be presented to the applicant. The operations specifications will be prepared in accordance with the procedures in Volume 15 of this

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handbook.

**B.** An applicant for an air carrier certificate will not, for any reason, be issued operations specifications or AOC until the applicant has presented a copy of its General Authority of Civil Aviation (GACA) economic authority to the CPM.

**C.** Before issuance, the operations specifications will be signed by the applicant and the responsible GACA personnel (usually the Manager, Flight Operations, the Manager, Airworthiness or the GMAS). The original certificate and operations specifications will then be given to the new certificate holder.

**3.6.5.7. CERTIFICATION REPORT.** When the new operator is certificated, the CPM is responsible for assembling a certification report. This report must be signed by the CPM and will include the name and title of each team member who assisted in the certification project. The report will be maintained in the permanent file relating to the new operator during the business life of the operator. The report shall consist of:

**A.** PASI.

**B.** Formal letter of application.

**C.** Proving test report (if applicable).

**D.** Copy of the AOC.

**E.** Final compliance statement.

**F.** A copy of the OpSpecs issued.

**G.** Completed GAR.

**H.** A summary of major difficulties experienced during the certification process and/or any recommendations that may enhance the process must be noted by phase and specialty. This summary will be entered into the GACA Activity Report (GAR) in chronological order and will be maintained in the GACA office records. For standardization, the following format for summaries of major difficulties and/or recommendations will be arranged as follows:

1) Pre-application Phase (Operations, Airworthiness, SMS). Include summaries of

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difficulties or recommendations by specialty.

2) Formal Application Phase (Operations, Airworthiness, SMS). Include summaries of difficulties or recommendations by specialty.

3) Document Compliance Phase (Operations, Airworthiness, SMS). Include summaries of difficulties or recommendations by specialty.

4) Demonstration and Inspection Phase (Operations, Airworthiness, SMS). Include summaries of difficulties or recommendations by specialty.

**3.6.5.9. Certification Close Out.** To finalize the certification process, the Manager, Flight Operations must:

- Send Fees & Charges report to the General Manager, Aviation Safety Standards
- Assign a Principal Operations Inspector (POI) to the new certificate holder
- Send a copy of the certification report to the General Manager, Aviation Safety Standards and the Manager, Airworthiness
- The POI should develop a surveillance plan and forward it to the Manager of Flight Operations (see Volume 12, Chapter 1, General Surveillance Policies and Procedures for guidance)

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#### Section 6. Special Authorizations for Part 135 Operations

**3.6.6.1. GENERAL.** This section provides direction and guidance to Aviation Safety Inspectors (Inspectors) for the certification of the General Authority of Civil Aviation Regulation (GACAR) Part 135 operators of limited size and scope who may not be required to comply with all regulatory requirements for manuals, training programs, and management positions. These operators normally need less extensive manuals or training programs and will have fewer management positions than more complex Part 135 operators.

**NOTE:** These operations will not be permitted a reduction in safety standards due to their limited size and scope.

**3.6.6.3. CERTIFICATION PROCESS DIFFERENCES FOR OPERATORS EMPLOYING ONLY ONE PILOT.** Processing applications from operators who intend on employing only one pilot (known as single pilot operators) will generally follow the same certification procedures as other applicants. Certification of these applicants may take less time since fewer documents, facilities, and other items require General Authority of Civil Aviation (GACA) evaluation. Applicable differences in the certification process for single pilot operators are discussed in this chapter. This paragraph describes deletions, modifications, and additions to the certification process for single pilot applicants.

**A. Differences in the Pre-application Phase.** The differences are as follows:

- 1) In the “Pre-application Statement of Intent” (PASI) the applicant must state that the proposed operation will employ only one pilot.
- 2) During the pre-application meeting, the content and scope of the initial compliance statement shall be established by the certification project manager (CPM). The CPM must ensure that an applicant clearly understands the level of detail expected in the initial and final compliance statements. The initial compliance statement may be abbreviated where appropriate. However, an initial compliance statement that does not clearly document an applicant’s knowledge of regulatory requirements is unacceptable. The initial compliance statement (and later, the final compliance statement) provides the only written evidence of a

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single pilot operator understands of GACAR requirements.

**NOTE:** Simple, conventional requirements for a single pilot operator using a four seat, single engine airplane in day, visual flight rules (VFR) only operations within the Kingdom of Saudi Arabia (KSA) differ considerably from the requirements for a single pilot operation using a Cessna 441 turboprop airplane in day and night, all weather, international operations. Both operators in this example may be granted relief from GACAR Part 135 having to do with manuals, training programs, or a full complement of management personnel. An examination of regulatory requirements that may apply to each operator's specific situation may reveal differences in the proposed types of operation, which would cause significant differences in the content and scope of the initial and final compliance statements.

3) Pre-application meetings should be attended by the applicant's primary operations official and the single pilot (if different from the primary operations official). A person who is competent to discuss aircraft maintenance requirements for the applicant should also attend the meetings. An example of this attendance would be the Akers Realty Corporation which owns a Bell Jet Ranger helicopter and applies for a Part 135 certificate. The individual with the authority to allow use of the helicopter is Mr. Bill Akers, Vice President of Sales. Mr. Terry Larson is the only pilot and is also sales manager for Akers. Maintenance is done by City Copters Inc., a fixed base operator. In this situation it would be appropriate for Mr. Akers, Mr. Larson, and a representative from City Copters maintenance department to attend all pre-application meetings.

### **B. Differences in the Formal Application Phase.** The differences are as follows:

1) Formal application attachments for company general manuals and company training curriculums are not required to be submitted with the formal application.

2) For single pilot operators, attachments required to be submitted with the formal application are as follows:

- Schedule of Events
- Documents of purchase, contracts, leases and/or letter of intent
- Initial compliance statement

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- Management qualification resumes

3) The management qualification resumes are only required for the principal owner and company officers who are primarily responsible for operational control of the Part 135 activities within the organization. This will provide assistance when determining compliance with GACAR § 119.43. Examples of management qualification resumes to be submitted for these applicants are described as follows:

a) A plastic products manufacturer based in Jeddah owns a King Air and applies for a certificate to operate under Part 135. The company employs 1,400 people and has only one pilot. The company president has an office in Riyadh and the plane is kept in Jeddah. The only person who can authorize use of the aircraft is the Jeddah plant manager. In this case, the president and the Jeddah plant manager are the persons for whom resumes are required.

b) Another example is the pilot/owner applicant when the pilot/owner will be the single pilot. In this situation, only the resume of the pilot/owner is required.

### **C. Differences in the Document Compliance Phase.** The differences are as follows:

1) Any material submitted by an applicant must be evaluated for acceptance or approval regardless of whether it is considered required material. If, as an example, a single pilot operator chooses to submit a complete operations manual (OM), that manual must be evaluated and must meet the same criteria for acceptance as a required manual. Unacceptable submissions that are not corrected require denial of the application. It is irrelevant whether the submitted material is specifically required by the GACARs. The following items are not required and will not be evaluated unless the applicant chooses to develop and submit these items to the GACA:

- Operations Manual (OM)
- Maintenance manuals (MM), if appropriate
- Pilot training program curriculums

2) Other documents and items required to be submitted during the document compliance phase will be evaluated, including the following:

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- The operator's flight locating procedures—required by GACAR § 135.599
- Procedures to provide dangerous goods training—required by GACAR § 135.745

### **D. Differences in the Demonstration and Inspection Phase.** The differences are as follows:

1) There are no differences in the demonstration phase for single pilot operators. A proposed operation may have only one person (this person may be the owner, pilot, and mechanic) who uses a single engine airplane in day visual flight rules (VFR) operations. The aircraft, facilities, equipment, records, and pilot/owner competency must be evaluated by the same careful process used for a larger, more complex operator. Although the scope of the operation may require fewer demonstrations or inspections, every operator must meet the safety standards required by the GACARs.

### **E. Differences in the Certification Phase.** The differences are as follows:

1) Single pilot operators will be issued the appropriate standard operations specifications paragraph which identifies by name one individual authorized as the pilot.

**3.6.6.5. CHECK PILOT APPROVAL FOR SINGLE PILOT OPERATORS.** Many single pilot operators have demonstrated the management skills, organizational abilities, and good regulatory compliance record to warrant the appointment of check pilot. "Single pilot" operators may be granted approval to use a check pilot who meets all the requirements of Part 135 to serve as a check pilot and is presently employed by another air carrier who is using the same type of aircraft. These operators shall be limited to one check pilot approval at any one time.

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### CHAPTER 6. THE CERTIFICATION PROCESS FOR PART 135

#### Section 7. Airworthiness Certification and Related Maintenance Issues for Part 135

##### 3.6.7.1. GACA ACTIVITY REPORT (GAR).

A. 3204 (AW) (Certification)

B. 3341 (AW) (Inspection Program)

**3.6.7.3. OBJECTIVE.** This section provides guidance for evaluating maintenance requirements for General Authority of Civil Aviation Regulation (GACAR) Part 135 operator.

**3.6.7.5. GENERAL.** Applicants for certification under GACAR Part 135 must comply with the maintenance requirements of GACAR Parts 43, 91 and 135. These regulations give the operator the option of inspecting or maintaining their aircraft under several different programs. The following paragraphs address the program options, in detail.

**3.6.7.7. ANNUAL AND 100 HOUR INSPECTION REQUIREMENTS, GACAR § 91.249(a), (b), and (c).** GACAR Part 43 appendix D lists the items to be included in annual and 100 hour inspections. The operator that chooses the annual and 100 hour inspection must include all of the items listed in appendix D that apply to the operator's particular aircraft. The operator may include more items in its inspections than those listed in appendix D. Because the annual and 100 hour inspections have fixed requirements (i.e., those listed in Part 43 appendix D), the aviation safety inspector (Inspector) should advise the operator of the other inspection options provided in Parts 135 and 91 that provide flexibility for changes and operator input to the inspection.

**3.6.7.9. APPROVED INSPECTION PROGRAM, GACAR § 91.249(e)(f) and § 135.245.** The operator may use either the manufacturer's recommended inspection programs or develop a program that includes equivalent requirements.

**NOTE:** Operators of turbine powered multiengine airplanes, or turbine powered rotorcraft are required to inspect their airplanes/rotorcraft in accordance with an approved aircraft inspection program.



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**NOTE:** Operators of a turbine powered rotorcraft may elect to use the inspection provisions of GACAR § 91.249(a), (b), (c), or (d) in lieu of an inspection option of GACAR § 91.249(f).

**A. Manufacturer's Requirements .** The operator should not include manufacturer's requirements, such as pilot preflight or other inspection items within the scope of the inspections required by GACAR § 135.239(a)(1), as additional maintenance requirements. To meet the requirements of GACAR § 135.249, an operator may use one of the following:

- The applicable portions of an aircraft manufacturer's recommended maintenance requirements for the engine, propeller, rotor, and emergency equipment
- The manufacturer's programs for individual items
- A combination of both

**B. Definition of Manufacturer Maintenance Program.** GACAR § 135.249(b) defines a manufacturer's maintenance program as one that is in the manufacturer's maintenance manual or instructions. It does not include individual authorizations or recommendations by a repair facility or manufacturer to a particular operator/applicant.

- 1) These manuals and instructions generally include Service Bulletins (SB), Service Letters (SL), and other maintenance publications.
- 2) SBs and SLs about repairs, alterations, or other items beyond the meaning of the term "maintenance" do not fall within the scope of GACAR § 135.249. A person is not required to comply unless it is made regulatory (see paragraph 3.6.7.23 for further discussion). The operator may include these items in the additional maintenance program to support higher maintenance intervals or other inspection variables.

**C. Adoption of Manufacturer's Maintenance Program .** An operator may adopt a manufacturer's entire maintenance program. The program must apply to the specific make, model, configuration, etc., and meet the requirements of GACAR § 135.249.

- 1) If the aircraft manufacturer's program does not include engine overhaul (or comparable heavy maintenance) but the engine manufacturer's program does, the operator/applicant must incorporate the engine manufacturer's program to the degree necessary to meet the

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engine overhaul requirement. It may be necessary to designate SBs, other manufacturer's maintenance instructions, and a manufacturer's maintenance manual to ensure an adequate program.

2) Operations specifications (OpSpecs) must show program limitations.

**D. Development of Operator's Own Inspection Program .** GACAR § 135.249 allows operators to develop their own inspection program. An operator developed program requires General Authority of Civil Aviation (GACA) approval and the operator must justify the program. In most cases, the basis of these programs is the manufacturer's maintenance program, although they may contain variations, such as a higher engine overhaul period. When evaluating the operator's program, the Inspector may consider a program in use by another operator for similar make/model aircraft.

1) Each change to an operator developed inspection program requires GACA approval. The GACA may consider the manufacturer's changes or revisions to its program as justification for approving the operator's program changes. However, the operator must not automatically incorporate manufacturer changes into their program without specific GACA approval.

2) The issuance of OpSpecs approves an operator developed program for use.

### 3.6.7.11. REVISING TIME LIMITATIONS FOR AN APPROVED AIRCRAFT INSPECTION PROGRAM.

**A. General.** The Inspector evaluating and approving inspection interval extensions for powerplant, propeller, rotor, and emergency equipment must have an in depth knowledge of the requesting operator's airframe, engine, propeller, rotor, and emergency equipment along with its operational environment. Additionally, the Director of Airworthiness is the only person that may approve or change life limits. Once the Inspector approves the inspection extension, the Inspector should save and file all data used in the evaluation process in the operator's file. Authorized persons may refer to this information in the event of any incident related to the failure of an extended product.

**B. Original Equipment Manufacturer (OEM) Recommended Times.** The Inspector should refer to the OEM manual for recommended inspection/maintenance intervals and review procedures for time extensions. Normally the operator bases the amount of extension time upon

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the OEMs recommendation. The operator might submit and the Inspector may consider supporting data from special inspections for extensions, performance runs for engines, and any other OEM supporting data. The Inspector must review the operator's data thoroughly and if it needs additional supporting data, the Inspector should make the request in writing to the operator. In establishing the extended time limitation, the operator and GACA bases it on the above factors and once approved on an Air Operator's OpSpecs, it then becomes GACA approved.

**C. Life Limits.** Review existing life limits for the powerplant, propellers, rotors, and emergency equipment. Only the State-of-Design and the Director of Airworthiness can authorize a change to life limits. Changes can be accomplished by either an Airworthiness Directive (AD), a revision to the Type Certificate Data Sheet (TCDS) or a specific approval issued by the Director of Airworthiness. The Inspector should evaluate the operator's current component life limit tracking record as required by GACAR § 91.257(2)(ii).

**D. TCDS.** Review the appropriate current TCDS for any information relating to time extensions or restrictions. The data sheet will also indicate life limits or reference the manual where life limits are located, if applicable.

**E. Engine Overhaul Teardown Reports.** Did the operator provide any current (last overhaul), in depth teardown report showing recorded dimensional checks of critical parts (i.e., crankshaft, turbine blades, rotating parts, cylinder components, and other parts that the OEM provides dimensional data for determining serviceability)? The operator should have operated the engine chosen for time extension to within 5 percent of the currently approved time interval.

**F. OEM SBs or Instructions.** Research the OEM's bulletins and service instructions for overhaul extensions. These documents also include special operating environment considerations. The operator must comply with certain inspections and other criteria in the service documents in order to apply for the extension.

**G. AD.** Review the operator's current listing of ADs for the powerplant, propellers, rotors, and emergency equipment required by GACAR § 91.257(2)(v). An AD may restrict operating beyond the overhaul requirement time. Some ADs require replacement of parts or special inspections; this may cause a conflict with a time extension request. Check for the alternate method of compliance (AMOC) for the AD.

**NOTE:** A time extension does not grant the operator an extension to the compliance time

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required by an AD note.

**H. Operating Restrictions.** For airframe, powerplant, and propeller extensions, review the Aircraft Flight Manual (AFM) or operating manual for restrictions that may become part of the time limitations. The Inspector should evaluate the operator's environmental operation.

**I. SDR.** Query available Service Difficulty Databases from the State-of-Design and other major aviation authorities for information on the component the operator wants to extend. A high number of reports of failures, flameouts, inspections, and other deficiencies may be cause for denial of an extension request.

**J. Minimum Equipment List (MEL) History.** Determine if the requesting operator has a high rate of MEL usage for engine related items. This may indicate a problem with the operator's engine maintenance program and be cause for denial for time extension.

**K. In Flight Shut Down (IFSD) Reports.** The Inspector should search and review SDRs required by GACAR § 135.695 by aircraft registration number or operator's identifier. SDRs of IFSD may indicate a problem with the operator's engine maintenance program.

**L. Oil Analysis.** Review the operator's oil analysis reports for abnormal wear and recommendations from lab for follow-up action. Repeat abnormal wear reports may indicate a problem with the operator's engine maintenance program.

**M. Trend Monitoring Review.** If the operator has a trend monitoring program, review for abnormalities that would indicate a problem with the operator's engine maintenance program.

**N. Past Engine Operating History.** Review the operator's past engine maintenance history for early engine removal from service, early overhauls, repeat maintenance actions, parts removal, and any other maintenance actions that may indicate a problem with the operator's maintenance program.

**O. Evaluate Engine/Airframe Installed Components for Engine Overhaul Time Extensions.** Depending on the engine/airframe installation configuration, review the airframe manufacturer's maintenance program for inspection intervals for engine mount inspections. This would include thrust reversers if installed. Some airframe manufactures have detailed inspections, including Nondestructive Testing (NDT) inspection of engine mounts. Check the airframe ADs for engine mount, cowling, thrust reversers, and other installed components in the engine compartment.

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Any required inspection will remain in place and compliance is mandatory. Inspections due would become part of the limitation of an engine time extension.

**P. Other Engine Components.** The operator's request for engine overhaul is for the engine only. The operator must maintain all other installed components (e.g., starter/generators and hydraulic pumps) in accordance with the operator's approved inspection program or manufacturer's maintenance manuals.

**Q. Operator's Past Violation History .** A review of the operator's past enforcement history for maintenance related items may be an indicator of the operator's safety culture and compliance with the regulations. If the operator has a past history of going beyond the engine manufacturer's overhaul requirements, this may be cause for denial of the requested time extension.

**3.6.7.13. PROGRESSIVE INSPECTIONS, GACAR § 91.249(d).** Each operator wanting to use a progressive inspection must submit a written request to the President The operator must have the following:

- A certificated mechanic holding an Inspection Authorization (IA), certificated airframe repair station, or aircraft manufacturer to supervise or conduct the inspection ("supervise" can mean the monitoring of a mechanic's work for compliance with the approved program)
- A current inspection procedures manual that meets the requirements of GACAR § 91.249(d)(2)
- Enough facilities and equipment necessary for the disassembly and proper inspection of the aircraft
- Appropriate current technical information for the aircraft

### **3.6.7.15. PROGRESSIVE INSPECTION INTERVALS.**

**A. Program Purpose.** A progressive inspection program must provide for a complete inspection of the aircraft within each 12 calendar months. The inspection must be consistent with the manufacturer's recommendations, field service experience, and the kind of operation in which the aircraft is engaged. The inspection schedule must ensure that the aircraft is, at all times, airworthy and conforms to all applicable GACA aircraft specifications, TCDS, ADs and other

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approved data.

**NOTE:** Calendar month is the period of time from the first day of a month to the last day of the month. In a calendar month, a person can achieve compliance at any time during the month, up to and including the last day of the month.

**B. Interval Frequency.** The operator should base the inspection intervals on the manufacturer's recommendations, field service experience, malfunction and defect history, and the type of operation in which the aircraft is engaged. If the operator needs help establishing inspection intervals, the Inspector should advise the operator as appropriate.

### **C. Requirements.**

- 1) Before an operator can place an aircraft on a progressive inspection program, the aircraft must undergo an inspection at least equal to a 100 hour inspection. After this initial inspection, the operator must perform routine and detailed inspections as stated in the progressive inspection schedule.
- 2) Routine inspections consist of a visual examination or check of the aircraft, appliances, and components and systems without disassembly, if possible.
- 3) Detailed inspections consist of a thorough examination of these items for which such disassembly is necessary. For the purposes of this subparagraph, a person may consider the overhaul of a component or system a detailed inspection.
- 4) Before a person can remove an aircraft from a progressive inspection and place it on an annual/100 hour inspection, the person must follow the requirements contained in GACAR §§ 91.249(d)(4) and 91.249(h).

**3.6.7.17. CONTINUOUS AIRWORTHINESS MAINTENANCE PROGRAM (CAMP).** Under GACAR § 135.239(a)(2) and § 135.249 an operator may elect to maintain its aircraft under a CAMP. The GACA evaluates and authorizes a CAMP in accordance with the guidance in Volume 4, Chapter 3, Section 1, Evaluate Continuous Airworthiness Maintenance Program (CAMP) for Part 121.

**3.6.7.19. ADDITIONAL MAINTENANCE REQUIREMENTS, GACAR § 135.249.** Each operator maintaining aircraft under GACAR § 135.239(a)(1) must comply with the additional maintenance requirements of GACAR § 135.249. These added requirements are intended to ensure

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the performance of the manufacturer's recommended maintenance programs on engines, propellers, rotors, and each item of required emergency equipment. These requirements do not apply to the airframe. It is not the intent to impose CAMP requirements or otherwise increase the requirements of the aircraft inspection program. Specific requirements for single-engine aircraft to be used in Instrument Flight Rules (IFR) operations are as follows:

### **3.6.7.21. SINGLE-ENGINE AIRCRAFT USED IN INSTRUMENT FLIGHT RULE (IFR) OPERATIONS.**

**A.** For each single-engine aircraft to be used in IFR operations, each certificate holder must also comply with either—

- 1) The manufacturer's recommended engine trend monitoring program, which includes an oil analysis, if appropriate or
- 2) A GACA approved engine trend monitoring program that includes an oil analysis at each 100 hour interval or at the manufacturers' suggested interval, whichever is more frequent.

**NOTE:** The operator must record and maintain, in the engine maintenance records the results of each test, observation, and inspection required by the applicable engine trend monitoring program.

**B.** Written maintenance instructions containing the methods, techniques, and practices necessary to maintain the equipment.

### **3.6.7.23. MANUFACTURER'S SERVICE BULLETIN (SB) REQUIREMENTS .**

**A. General.** Manufacturers may generally classify SBs, Service Letters (SLs), and other maintenance information in maintenance manuals as mandatory, urgent, or general. Manufacturers may also include maintenance personnel qualification requirements labeled as mandatory in their maintenance manual or other maintenance information. However, none of this information labeled as mandatory is actually mandatory unless there is a regulation that makes it mandatory.

- 1) By itself, manufacturer's maintenance information may not amend the requirements of the GACARs. In addition, manufacturer's maintenance information may not restrict any GACAR § 43.3 authorized person from accomplishing that maintenance.



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2) A manufacturer may legitimately incorporate in its maintenance manual servicing and maintenance instructions that are consistent with the certification basis of the product. If it does, the data specified and the method, technique, or practice contained therein, may be acceptable to the President. However, unless specifically mandated by a regulation, such as an AD, or OpSpecs, the portion of the manufacturer's maintenance manual is not considered mandatory by the GACA.

3) The following are examples of situations when SBs would be regulatory and cover most situations Inspectors encounter:

- If an AD incorporates by reference all or a portion of an SB
- If the SB is part of the GACA approved Airworthiness Limitations Section (ALS) of the manufacturer's manual or the Type Certificate
- If an GACA approved inspection, such as an AAIP or CAMP, incorporates SBs directly or by reference
- If the certificate holder's OpSpecs lists SBs as an additional maintenance requirement

**NOTE:** For this section only, all references to manufacturers' SBs will encompass all manufacturers' service information.

**B. Conditions or Procedures to Be Changed.** The manufacturer provides SBs to advise the operator of conditions or procedures it should address. Some of the conditions or procedures in SBs may include:

- Structural cracking
- Component failure
- Electrical shorts
- Inspection procedures
- Recommended overhaul times
- Repetitive inspections



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**C. Corrective Action and/or Manufacturer Recommendation Compliance.** Manufacturers use SBs for corrective action and/or compliance with manufacturer recommendations. In some cases, as listed below, the manufacturer issues SBs for safety of flight items without the GACA issuing an AD, such as one time inspections, suspect parts, and improper maintenance procedures. SBs may describe damage and repair procedures that exceed Structural Repair Manual (SRM) requirements. The manufacturer may include operational procedures as well.

**D. Other Items.** The manufacturer may recommend other items such as environmental problems, lubrication, inspection procedures, adjustment procedures, and minor modifications on a one time basis. SBs tend to fall in the following classes:

- 1) *Urgent.* The manufacturer believes the owner/operator should accomplish the bulletin and that safety may be a factor. The GACA or State of design may use this type of SB as a basis for issuing an AD.
- 2) *Routine.* This SB is of a general nature and may provide better maintenance reliability, but does not discuss items in which safety may be a factor.
- 3) *Procedural.* This SB explains a change in the way to accomplish a basic function but in a different way.
- 4) *Environmental.* This SB explains a procedural change due to the type of operating or maintenance conditions such as wet or dry, or hot or cold climate conditions.
- 5) *Repetitive.* This SB may recommend a repetitive inspection of an area or part. This may be short term until a repair can be made, but it may also be a long term procedure.

### 3.6.7.25. OXYGEN EQUIPMENT USED FOR MEDICAL PURPOSES.

**A.** GACAR § 91.303(o) states that no certificate holder may allow the carriage or operation of equipment for the storage, generation, or dispensing of medical oxygen unless the unit to be carried is constructed so that all valves, fittings, and gauges are protected from damage during that carriage or operation. Additionally, the section requires the certificate holder to maintain the oxygen equipment it owns under an approved maintenance/inspection program for the equipment.

**NOTE:** Inspectors should be aware of the separate requirements for carry-on and use of

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portable oxygen system concentrators contained in OpSpec A62.

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**CHAPTER 7. THE CERTIFICATION PROCESS FOR PART 141**

**Section 1. Specific Part 141 Certification Guidance**

**3.7.1.1. GACA ACTIVITY REPORT (GAR).**

- A. 1240 (OP) (Initial)
- B. 1374 (OP) (Renew)
- C. 1375 (OP) (Reissue)
- D. 3230 (AW) (Initial)
- E. 3387 (AW) (Reissue)

**3.7.1.3 OBJECTIVE.** To determine whether an applicant for a General Authority of Civil Aviation Regulation (GACAR) Part 141 pilot school meets the rules concerning the operation of a pilot school or provisional pilot school. Successful completion of this task results in the issuance, renewal, or denial of General Authority of Civil Aviation (GACA) pilot school certificate or provisional pilot school certificate.

**3.7.1.5 GENERAL.** In addition to this guidance, the applicant and the General Authority of Civil Aviation (GACA) should follow the certification process found in Volume 3, Chapter 1, The Generic Certification Process for Air Operators and Air Agencies.

**A. Eligibility and Requirements for a Pilot School Certificate.** The President may issue a pilot school certificate with the appropriate ratings if, within the 24 months before the date application is made, the applicant:

- 1) Completes the Application for Pilot School Certificate, in the form and in the manner prescribed by the President.
- 2) Meets the applicable requirements under GACAR Part 5.
- 3) Meets the applicable requirements under GACAR Part 141, Subparts A through C, for

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the certificate and associated ratings sought.

4) Has held a provisional pilot school certificate.

5) Has established a pass rate of 80 percent or higher on the first attempt for all knowledge tests leading to a certificate or rating, practical tests leading to a certificate or rating, and end of course tests for an approved training course specified in GACAR Part 141, Appendix J.

6) Has graduated at least 10 different people from the school's approved training courses.

**NOTE:** An applicant who does not meet the recent training activity requirements of GACAR §§ 141.5(c) through (e), will be issued a provisional pilot school certificate with ratings.

**B. Pilot School Ratings.** A pilot school may be authorized to conduct the following courses:

1) Certification and Rating Courses (GACAR Part 141, Appendixes A through I).

- Private pilot course
- Instrument rating course
- Commercial pilot course
- Airline transport pilot (ATP) course
- Flight instructor course
- Flight instructor instrument course
- Ground instructor course
- Additional aircraft category or class rating course
- Aircraft type rating course

2) Special Preparation Courses (GACAR Part 141, Appendix J).

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- Special operations course
- Pilot refresher course
- Flight instructor refresher course
- Ground instructor refresher course

3) Pilot Ground School Course (GACAR Part 141, Appendix K).

4) Combined Private Pilot Certification and Instrument Rating Course (GACAR Part 141, Appendix L).

**NOTE:** See the applicable appendix to GACAR Part 141 for complete guidance on specific certification courses.

### 3.7.1.7. SCHOOL ENROLLMENT AND GRADUATION.

**A. Enrollment.** When a certificate holder enrolls or re-enrolls a student in an approved course of training, GACAR § 141.151 require the student be furnished the following information and materials:

- 1) A certificate of enrollment containing the name of the course the student is enrolled in and the date of enrollment.
- 2) A copy of the student's training syllabus.
- 3) A copy of the safety procedures and practices developed by the school, such as procedures for the use of training aids, off limit areas, handling of aircraft, parking instructions, and other safety instructions that the school deems necessary. These safety procedures must include the following:
  - The weather minimums required for dispatching dual and solo flights. For example, minimum ceiling visibility and wind velocities for local flights and specific weather minimums for cross country flights
  - The procedures for starting and taxiing aircraft on the ramp

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- The precautions and procedures for aircraft fire
- The re-dispatch procedures after unplanned landings on and off aerodromes. This should include emergency security of the aircraft and a list of telephone numbers of persons to contact
- The procedures for listing aircraft discrepancies and how corrective action is taken, including the importance of not using an aircraft with a listed discrepancy until a properly qualified person determines its airworthiness
- The securing of aircraft when not in use
- The fuel reserves necessary for local and cross country flights
- The avoidance of other aircraft in flight and on the ground
- Minimum altitude limitations and simulated emergency landing instructions;
- The assigned practice areas, including descriptions and diagrams of the areas and special instructions with respect to how to operate in them, how to get to them, and minimum altitudes en route

**B. Credit for Previous Training.** A student may be given credit towards the curriculum requirements of a course for previous training under the following conditions:

- 1) If the student completed a proficiency test and knowledge test that was conducted by the receiving pilot school and the previous training was based on a GACAR Part 141 or a GACAR Part 142 approved flight training course, the credit is limited to not more than 50 percent of the flight training requirements of the curriculum.
- 2) If the student completed a knowledge test that was conducted by the receiving pilot school and the previous training was based on a GACAR Part 141 or a GACAR Part 142 approved aeronautical knowledge training course, the credit is limited to not more than 50 percent of the aeronautical knowledge training requirements of the curriculum.
- 3) If the student completed a proficiency test and knowledge test that was conducted by the receiving pilot school and the training was received from other than a GACAR Part 141 or a GACAR Part 142 approved flight training course, the credit is limited to not more than

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25 percent of the flight training requirements of the curriculum.

4) If the student completed a knowledge test that was conducted by the receiving pilot school and the previous training was received from other than a GACAR Part 141 or a GACAR Part 142 approved aeronautical knowledge training course, the credit is limited to not more than 25 percent of the aeronautical knowledge training requirements of the curriculum.

5) Completion of previous training must be certified in the student's training record by the training provider or a management official within the training provider's organization, and must contain:

- The kind and amount of training provided
- The result of each stage check and end of course test, if appropriate

**C. Training Records.** Each pilot school and provisional pilot school must keep accurate and current records of each student's participation and accomplishments in an approved course.

**NOTE:** A student's personal logbook is not considered an acceptable record under GACAR § 141.163(b).

1) For each student, the training record should include:

- The date of the student's enrollment
- A chronology of the student's attendance, subjects, and flights
- The names and grades of any tests taken
- The date of graduation, termination of training, or transfer

2) The record should also show the credit allowed for a student transferring from another school, if applicable.

3) Whenever a student graduates, terminates training, or transfers, the chief instructor must certify the record.

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4) Pilot schools must retain each student's record for at least 2 years from the date the student graduates, terminates a course, or transfers to another school.

5) On a student's request, a pilot school must make a copy of a student's record available to the student. The pilot school must also permit the GACA to view any or all student records upon request.

### 3.7.1.9. PREREQUISITES AND COORDINATION REQUIREMENTS.

**A. Prerequisites.** Requires knowledge of the regulatory requirements of GACAR Part 5 and 141 and GACA policies, and qualification as an aviation safety inspector (Inspector).

**B. Coordination.** May require coordination with the airworthiness unit.

### 3.7.1.11. REFERENCES, FORMS, AND JOB AIDS.

#### **A. References:**

- GACAR Part 1, 5, 61, 91 and 141

#### **B. Forms:**

- Pilot School Certificate
- Application for Pilot School Certificate
- GACA Activity Report (GAR)

#### **C. Job Aids:**

- Figure 3.7.1.1, Sample Letter of Intent
- Figure 3.7.1.2, Part 141 Pilot School Certification Job Aid
- Figure 3.7.1.3, Part 141 Schedule of Events
- Figure 3.7.1.4, Letter Denying Satellite Base



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- Figure 3.7.1.5, Letter Indicating Discrepancies Found During Inspection

**3.7.1.13. PRE-APPLICATION PHASE.** For an initial certification, Inspectors should discuss the following items with an applicant during an initial inquiry about a GACAR Part 141 certificate. These items may also be reviewed during renewal or during amendment, as necessary.

**A. Initial Inquiry.** Upon initial inquiry from an applicant, determine the following:

- The identity of applicant and address of the principal base of operations
- Any intended satellite base
- The proposed curriculum
- The types of aircraft
- The intended chief instructor and that instructor's experience level
- The possible use of PCATDs
- The possible use of commercially produced syllabuses
- If the operator intends to request examining authority for renewing or amending only
- If the operator intends to use contract training

**B. Letter of Intent.** Request a letter of intent from the applicant (see Figure 3.7.1.1, Sample Letter of Intent). The letter of intent should contain the following:

- A statement of intent to become an approved pilot school under Part 141
- Company legal name and any doing business as (DBA) name, principal operations base address, primary aerodrome address, mailing address (if applicable), and telephone numbers
- Makes and models of aircraft, how many of each, and HZ numbers (for transport category aircraft and commuter category airplanes the applicant must indicate who the certificated operator will be of these aircraft)

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- Estimated date when operations will begin
- Training courses to be offered
- Name and qualifications of the proposed chief instructor and any assistant chief instructors
- Name of the accountable executive required under GACAR Part 5
- Intent to use flight simulation training devices (FSTD) or aviation training devices (ATD)
- Three, three letter designators (in order of preference)

**C. Application.** Based on the review of the letter of intent, if the applicant appears to meet the basic eligibility requirements:

- Discuss how to complete the application
- Advise the applicant to review the GACARs before completing and returning the Application for Pilot School Certificate to the GACA
- Explain the certification process to the applicant

### **D. Pre-application Meeting.**

1) Determine if a pre-application meeting is necessary, based on the following considerations about the applicant:

- Any previous Part 141 operating experience
- The size and scope of operation
- The area of operation
- The applicant's apparent ability to comply with requirements

2) If a pre-application meeting is not necessary, schedule a date and time for a formal application meeting.

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3) If a pre-application meeting is necessary, schedule a date and time. At the meeting, discuss the following:

- The Safety Management System (SMS) requirements under GACAR Part 5
- The area of operation (primary aerodrome and any satellite bases)
- The operation as an individual, corporation, or partnership
- Any previous experience with GACAR Part 141 operations
- The categories and classes of aircraft to be used in training courses
- The number and types of training courses to be offered
- The qualifications and experience of instructors
- The applicability of GACAR Part 61, 91, and 141
- Any previous or pending enforcement actions against the applicant or proposed personnel

**E. Certification Team Assignment.** The Manager, Flight Operations Division (in coordination with the GMAS) will use the guidance found in Volume 3, Chapter 1, Section 1, paragraph 3.1.1.7 for the assignment, qualifications, duties and responsibilities of Inspectors on the certification team. The Inspector assigned as the Certification Project Manager (CPM) has the responsibility to complete the Part 141 Pilot School Certification Job Aid (Figure 3.7.1.2). The CPM should send a notice to the applicant informing them of the certification team assignment.

**NOTE:** All Inspectors should use the Part 141 Pilot School Certification Job Aid throughout the certification process.

**F. Establish a GACA Working File.** This file will form the basis for the eventual operator file if certification is successful. Place any correspondence, documents, etc., in this file.

### 3.7.1.15. FORMAL APPLICATION PHASE.

**A. The Formal Application Meeting.** If the certification team decides to have a formal

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application meeting, all members of the team should be present. An application for the approval of an initial or amended training course must be submitted at least 30 working days before any training under that course is scheduled to begin. The meeting should review, but not be limited to, the following:

- Application for Pilot School Certificate
- The schedule of events, if applicable (See Figure 3.7.1.3, Part 141 Schedule of Events)
- The training course outline (TCO) and curriculum
- Training and procedures manual(s)
- Personnel, aircraft, and facility requirements
- The FSTD and ATD approval requirements
- An inspection of facilities related to any contractual training agreements
- The SMS requirements

**B. Application Denial.** Denial of an application must be substantiated with documentation of the reasons for denial. An applicant may re-apply at any time for a certificate or rating in the same manner as prescribed for initial application. At the Inspector's discretion, re-inspection of previously approved areas may not be necessary. However, if more than 120 days have elapsed, a complete inspection should be accomplished before issuance of the certificate.

### 3.7.1.17. DOCUMENT COMPLIANCE PHASE.

**A. GACAR Part 141 Appendixes.** It is imperative that when a school applicant applies for its ratings, the TCOs be reviewed carefully against the applicable GACAR Part 141 Appendixes. The following are the certification and rating courses, special preparation courses, and pilot ground school courses contained in these Part 141 appendixes:

#### 1) *Certification and Rating Courses.*

- a) Private Pilot Certification Course—Appendix A prescribes the requirements for the private pilot certificate for the following ratings:

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- Airplane single-engine
- Airplane multiengine
- Rotorcraft helicopter
- Rotorcraft gyroplane
- Powered-lift
- Glider
- Lighter-than-air airship
- Lighter-than-air balloon
- Powered parachute
- Weight shift control aircraft

b) Instrument Rating Course—Appendix B prescribes the requirements for an instrument rating for the following:

- Instrument—airplane
- Instrument—helicopter
- Instrument—powered-lift

c) Commercial Pilot Certification Course—Appendix C prescribes the requirements for the commercial pilot certificate for the following ratings:

- Airplane single-engine
- Airplane multiengine
- Rotorcraft helicopter

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- Rotorcraft gyroplane
- Powered-lift
- Glider
- Lighter-than-air airship
- Lighter-than-air balloon
- Powered parachute
- Weight shift control aircraft

d) Airline Transport Pilot Certification Course—Appendix D prescribes the requirements for the Airline Transport Pilot (ATP) certificate for the following ratings:

- Airplane single-engine
- Airplane multiengine
- Rotorcraft helicopter
- Powered-lift

e) Flight Instructor Certification Course—Appendix E prescribes the requirements for the flight instructor certificate for the following ratings:

- Airplane single-engine
- Airplane multiengine
- Rotorcraft helicopter
- Rotorcraft gyroplane
- Powered-lift

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- Glider category
- f) Flight Instructor Instrument (for an Airplane, Helicopter, or Powered-Lift Instrument Instructor Rating, as Appropriate) Certification Course—Appendix F prescribes the requirements for the flight instructor instrument certificate for the following ratings:
- Flight Instructor Instrument—airplane
  - Flight Instructor Instrument—helicopter
  - Flight Instructor Instrument—powered-lift
- g) Ground Instructor Certification Course—Appendix G prescribes the requirements for the ground instructor certificate for the following ratings:
- Ground Instructor—Basic
  - Ground Instructor—Advanced
  - Ground Instructor—Instrument
- h) Additional Aircraft Category or Class Rating Course—Appendix H prescribes the requirements for an additional aircraft rating for the following:
- Airplane single-engine
  - Airplane multiengine
  - Rotorcraft helicopter
  - Rotorcraft gyroplane
  - Powered-lift
  - Glider
  - Lighter-than-air airship

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- Lighter-than-air balloon
- Powered parachute
- Weight shift control aircraft

i) Aircraft Type Rating Course, for Other Than an Airline Transport Pilot Certificate —Appendix I prescribes the requirements for an aircraft type rating for the following:

- A type rating in an airplane category, single-engine class
- A type rating in an airplane category, multiengine class
- A type rating in a rotor craft category, helicopter class
- A type rating in a powered-lift category
- Other aircraft type ratings specified by the President through the aircraft type certificate procedures

2) *Special Preparation Courses* —Appendix J prescribes the minimum curriculum for the special preparation courses that are listed in GACAR § 141.11.

3) *Pilot Ground School Course* —Appendix K prescribes the requirements for pilot ground school courses.

4) *Combined Private Pilot Certification and Instrument Rating Course*-Appendix L, prescribes the requirements for a combined private pilot certification and instrument rating course:

- Airplane:
  - o Airplane single-engine
  - o Airplane multiengine
- Rotorcraft helicopter



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- Powered-lift

**B. Document Review.** The certification team evaluates the following items.

1) *Check the Application.* Check that the Application for Pilot School Certificate contains the following information:

- a) The legal name and any appropriate DBA of the proposed school, telephone number, address of the principal business office, location of the main operations base, and the location of any satellite bases.
- b) Whether the application is for original issuance, approval of satellite base, or change of name or ownership, appropriate boxes should be marked for issuance, renewal, or amendment of the certificate.
- c) An indication of the training courses for which approval is sought.
- d) The application is signed and dated in the last section by the applicant or authorized officer (original signatures on each application form):

- A person acting as an individual should personally sign the application
- All partners should sign an application from a partnership
- An officer who is authorized by the corporation by laws and certified by the corporate secretary should sign an application from a corporation
- The president or other such officer or director should sign an application from a company, club, or association, as authorized by the organization's secretary

2) *Qualifications.* Check the qualifications of all proposed chief instructors, assistant chief instructors, and check instructors for each course that approval is sought for and the qualifications of all other instructors. See GACARs §§ 141.51, 141.57 and 141.59.

- a) Following office procedures, review the chief instructor's, assistant chief instructor's and other instructors' enforcement, accident, and incident histories.
- b) Verify employment history pertaining to GACAR Parts 61 and 141, and other

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related aviation experience.

3) *Evaluate the Training Course Outlines (TCO).*

4) *Training and Procedures Manual.* Ensure the Training and Procedures manual required by GACAR § 141.79 contains all of the requirements of GACAR § 141.81.

5) *Evaluate the Special Curriculum.* An applicant for a pilot school certificate or provisional pilot school certificate may apply for approval to conduct a special course of airman training for which a curriculum is not prescribed in the appendixes to this part, if the applicant shows that the training course contains features that could achieve a level of pilot proficiency equivalent to that achieved by a training course prescribed in the appendixes to this part.

6) Check the aircraft checklists, minimum equipment lists, safety practices and procedures, etc., when applicable (see GACAR §§ 141.139 and 141.151(a)(3)).

7) Check the graduation certificates required by GACAR § 141.153 to ensure that they contain at least the information indicated in GACAR § 141.153(b).

8) Ensure that the applicant can track enrollment information (i.e., that the student was enrolled in the school's approved course of training before receiving the instruction and training that is certified).

9) Review the maintenance/inspection program (airworthiness), as applicable.

10) The applicant must demonstrate, as part of the application process under GACAR § 141.19, that it has a Safety Management Systems (SMS) that meets the standards set forth in GACAR Part 5 and is acceptable to the President.

11) The applicant must establish a quality assurance system acceptable to the President under GACAR § 141.91. Personnel responsible for the implementation and maintenance of the quality assurance system must be identified by the pilot school.

**C. Unsatisfactory Items.** If there are any unsatisfactory items, advise the applicant in writing that they must be corrected before certification can continue.

1) Place a reasonable time limit on when the corrections must be completed.

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2) If the applicant does not respond within 90 days of the time limit, send the entire application package back to the applicant with a cover letter stating that the certification process is terminated.

3) Put appropriate work entry in the GAR.

**D. Examining Authority.** The applicant may request and the GACA may issue examining authority to a pilot school with respect to a training course, if the pilot school and the training course meet the requirements of GACAR Part 141, Subpart F.

### 3.7.1.19. DEMONSTRATION AND INSPECTION PHASE.

**A. Facilities and Training Aids.** A pilot school is required to have certain facilities in order to obtain and maintain a pilot school certificate. Included in these facilities are the business office and main base of operations, pilot briefing areas, aeronautical knowledge training facilities, use of aerodromes, and satellite bases.

1) The applicant having ownership of the required facilities or by having a written agreement with the facility owners may show continuous use of facilities. A written agreement must state that the applicant has the required continuous use of the necessary facilities for at least 6 months from the date of the application for the initial certification or renewal of a school certificate.

2) Each pilot school or provisional pilot school is required to maintain a principal business office with a mailing address the same as that on the school certificate. The purpose of a principal business office is to provide a specific location for the required school files and records, and a location where the operation of school business may be conducted. This requirement should not be construed to mean that all school functions, such as scheduling flights, training functions, etc., must be conducted at the principal business office.

3) While GACAR Part 141 does not require that a business office be a room with four walls and a door, the regulation does prohibit the sharing of a single business office by more than one pilot school. Therefore, walls or partitions to ensure separation from another pilot school's activity should conspicuously isolate the business office.

4) The business office should be situated so the required school files and student training

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records are kept up to date and available to students and instructors alike. This serves the purpose of providing on the spot information regarding training progress and other business interests.

5) If the pilot school should choose to change the location of its business office or base of operations, the school is required to notify the GACA in writing of the planned move at least 30 days prior to the change. Such written notice should be accompanied by a new application, showing the change of address or the change in the base of operations as appropriate. In any case, the notice of a change of operating base must be accompanied by necessary amendments to approved TCOs.

6) A school is required to have continuous use of a pilot briefing area at each aerodrome where training flights originate. This does not include aerodromes used as destinations for cross country flight training. The briefing area must meet the requirements of GACAR § 141.67. Pilots not participating in the school's training programs can use the briefing facilities, provided that orderly school functions are maintained. However, no other pilot school may use the area during the period it is to be used by the applicant.

a) To meet the requirements of GACAR § 141.67, the equipment should include a chalkboard and tables of adequate size to lay out aeronautical charts.

b) If a school offers instrument or commercial pilot courses, it needs to have access to MET and flight planning services. A telephone in the briefing room is acceptable.

c) To preclude a disruption of schedules due to excessive travel time and a lack of communications between the flight line, business office, and briefing area, the area should be located near enough to the aerodrome where training flights originate.

7) The GACA recognizes that pilot training methods differ from other kinds of training. Pilot schools enroll students with widely varying backgrounds, goals, and varying degrees of motivations and aviation experience. For this reason, it is understandable that it is not always possible to schedule large classes for aeronautical knowledge training at one time. Individual instruction is often necessary for maximum benefit to a particular student. Therefore, it is anticipated that schools will use classrooms, small isolated rooms, training booths, or other areas with an instructor or a training aid, as appropriate. Each aeronautical knowledge training area is required to be heated, lighted, and ventilated to meet the applicable building code requirements for the area concerned. All ground instructional

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facilities are subject to approval by the GACA under GACAR § 141.69.

8) A certificate holder may use training aids to improve communication between instructors and students. Each training aid, including any audiovisual aid, projector, tape recorder, mockup, chart, or aircraft component listed in the approved training course outline, must be accurate and appropriate to the course for which it is used (GACAR § 141.65(d)).

- a) Training aids are instructional aids that assist an instructor in the teaching and learning processes by presenting, supporting, or supplementing material, usually intermittently. They are not self supporting.” The key factor is that such aids support, supplement, or reinforce.
- b) Identified in each course outline, training aids should be easily understood, readily visible, and compatible with the learning outcomes expected in the completion standards for the lesson. They must be accurate and appropriate to the course. The effectiveness of aids is judged by their organization, sequencing, pattern of logic, and their overall effectiveness when used in support of obtaining the objectives and standards prescribed by the training syllabus.

9) An applicant for a pilot school or provisional pilot school certificate must show that it has the continuous use of each aerodrome where training flights originate (aerodrome where flights are dispatched or initiated).

- a) Aerodromes that the applicant use must meet the requirements of GACAR § 141.61.
- b) Landing area outline lights, water area boundary lights, or temporary lighting such as flare pots or deployed portable electric runway lighting systems do not meet the requirements of GACAR § 141.61(d).
- c) The wind tee may serve as landing direction or a wind indicator.
- d) When required, the traffic direction indicator must show the direction of traffic patterns for all runways regardless of landing or takeoff direction.

**NOTE:** When referring to pilot schools approved for lighter-than-air balloons, the term “aerodrome” should be taken to mean launch site. An important training element in balloon training is proper site selection. Before the launch of a balloon, an instructor authorized by

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the school must approve the site. The specific equipment requirements of GACAR § 141.61, (i.e., runway lights and wind direction indicators) are inappropriate for lighter-than-air balloon operations. Wind direction may be determined by means of a pilot balloon. The area downwind from the launch site should be free of obstructions for 30m for each knot of wind. For example, a 4 knot wind requires a 120 meter area free of obstruction downwind. Landing site selection will be determined by the pilot in command (PIC).

**B. Satellite Bases.** A school may conduct aeronautical knowledge or flight training in an approved course of training at one or more satellite bases. An assistant chief instructor must be designated for each satellite base, and the aerodrome, facilities, and personnel used at the satellite base must meet the requirements of Part 141, including approval of the satellite base and its facilities in the approved TCOs for courses given at those bases.

- 1) Each satellite base that approval is requested for is inspected to ensure that each meets the requirements of Part 141 and training (as described in each approved course of training), can be effectively accomplished (see Volume 12, Chapter 11, Section 1, Pilot School Facility Inspection for Part 141).
- 2) The Inspector will issue the applicable Operations Specifications (OpSpecs). Amendments to each course of training to be given at the satellite base are approved individually, as appropriate.
- 3) When an application is disapproved, the applicant should be notified in writing (Figure 3.7.1.4). This notification should include all of the reasons why the application was disapproved.

**C. Aircraft.** Per GACAR § 141.63: An applicant for a pilot school certificate or provisional pilot school certificate must show that each aircraft used by the school for flight training and solo flights:

1) *For operations bases located within the Kingdom of Saudi Arabia (KSA):*

- Saudi Arabian registered aircraft or if foreign registered they are acceptable to the President
- For commuter category airplanes and transport category aircraft, the aircraft are operated by a certificate holder issued under GACAR Part 119

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- Certificated with one of the following, unless the President determines otherwise because of the nature of the approved course:
  - o A standard airworthiness certificate
  - o A special airworthiness certificate for aircraft certificated in the primary category or for light sport aircraft
- Maintained and inspected in accordance with the requirements for aircraft operated for hire under Subpart E of GACAR Part 91 (unless commuter category airplanes and transport category aircraft operated by a certificate holder issued under GACAR Part 119)
- Two pilot stations with engine power controls that can be easily reached and operated in a normal manner from both pilot stations (for flight training)
- Equipped and maintained for instrument flight rules (IFR) operations if used in a course involving IFR en route operations and instrument approaches

**NOTE:** For training in the control and precision maneuvering of an aircraft by reference to instruments, the aircraft may be equipped as provided in the approved course of training.

*2) For operations bases located outside the KSA and when the training will be conducted outside the KSA:*

- Either a civil aircraft of the KSA or a civil aircraft of foreign registry
- Certificated with a standard airworthiness certificate or an equivalent certification from the foreign aviation authority
- Maintained and inspected in accordance with the requirements for aircraft operated for hire under Subpart E of GACAR Part 91, or in accordance with equivalent maintenance and inspection from the foreign aviation authority's requirements
- Maintained and inspected in accordance with the requirements for aircraft operated for hire under Subpart E of GACAR Part 91 or GACAR Part 119 as applicable, or in accordance with equivalent maintenance and inspection requirement from the foreign aviation authority

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- Two pilot stations with engine power controls that can be easily reached and operated in a normal manner from both pilot stations (for flight training)
- Equipped and maintained for IFR operations if used in a course involving IFR en route operations and instrument approaches.

**NOTE:** For training in the control and precision maneuvering of an aircraft by reference to instruments, the aircraft may be equipped as provided in the approved course of training.

3) Inspectors should encourage pilot schools to define the following:

- The control and schedule of aircraft for required inspection(s) and maintenance
- The scope and detail of maintenance inspections
- The correction and recording in aircraft records of pilot recorded discrepancies
- The maintenance of aircraft operated under lease agreements

4) *Contract Maintenance.* Maintenance may be accomplished under contract arrangement, providing enough certificated mechanics are readily available to maintain the school's aircraft. Arrangements for maintenance by other than school operated facilities and personnel should be described in a written statement.

5) *Review General Aviation Alerts.* Review for trends and problem areas regarding the make(s) and model(s) of aircraft the operator intends to use.

6) *Inspect Aircraft.* Inspect aircraft for certification, registration, airworthiness, and condition for safe operations. Ensure the operator has available aircraft equipped to perform functions appropriate for the course of training.

- Ensure the aircraft and the equipment list agree
- Ensure that the installed equipment to be used for radio navigation and instrument training is operational and complies with the minimum requirements

7) *Inspect Aircraft Maintenance Records.* Inspect aircraft maintenance records to determine



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that all aircraft have current, appropriate inspections and meet all of the GACAR requirements. Ensure compliance with all applicable Airworthiness Directives and life limited parts requirements. Ensure that current mass and balance information is available to the pilot of the aircraft.

8) *Ensure Adequate Personnel, Facilities, and Equipment.* Discuss with the applicant the advisability of having properly certificated and trained personnel to maintain the aircraft. Verify that any contract maintenance agreements are described in writing and provide for a sufficient number of certificated mechanics readily available to maintain the school's aircraft. Ensure the applicant has access to facilities and equipment adequate to maintain the school's aircraft.

**D. Flight Simulation Training Devices (FSTD) and Aviation Training Devices (ATD).** An applicant for a pilot school certificate or a provisional pilot school certificate must show that its FSTD and ATD meet the following requirements:

1) *Full flight simulators (FFS).* Each FFS used to obtain flight training credit allowed for FFSs in an approved pilot training course curriculum must:

- Be a full size aircraft flightdeck replica of a specific type of aircraft, or make, model, and series of aircraft
- Include the hardware and software necessary to represent the aircraft in ground operations and flight operations
- Use a force cueing system that provides cues at least equivalent to those cues provided by a 3° freedom of motion system
- Use a visual system that provides at least a 45° horizontal field of view and a 30° vertical field of view simultaneously for each pilot
- Have been evaluated, qualified, and approved under GACAR Part 60

2) *Flight training devices (FTD).* Each FTD used to obtain flight training credit allowed for FTDs in an approved pilot training course curriculum must:

- Be a full size replica of instruments, equipment panels, and controls of an aircraft, or

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set of aircraft, in an open flightdeck area or in an enclosed flightdeck, including the hardware and software for the systems installed that is necessary to simulate the aircraft in ground and flight operations

- Need not have a force (motion) cueing or visual system
- Have been evaluated, qualified, and approved under GACAR Part 60

3) *ATD*. Each ATD used to obtain flight training credit allowed for ATDs in an approved pilot training course curriculum must have been evaluated, qualified, and approved under GACAR Part 60.

4) *Operations Specifications (OpSpecs)*. Upon satisfactory completion of the certification process, the applicable OpSpec will be issued to the applicant. See Volume 15, Chapter 7 for further details.

**E. Personnel.** An applicant for a pilot school certificate or for a provisional pilot school certificate must meet the following personnel requirements:

- 1) Each applicant must have adequate personnel, including certificated flight instructors, certificated ground instructors, or holders of a commercial pilot certificate with a lighter-than-air rating, and a chief instructor for each approved course of training who is qualified and competent to perform the duties to which that instructor is assigned.
- 2) If the applicant is to employ dispatchers, aircraft handlers, and line and service personnel, then it must instruct those persons in the procedures and responsibilities of their employment.
- 3) Each instructor to be used for ground or flight training must hold a flight instructor certificate, ground instructor certificate, or commercial pilot certificate with a lighter-than-air rating, as appropriate, issued under GACAR Part 61, with ratings for the approved course of training and any aircraft used in that course.
- 4) A chief instructor must be designated for each of the school's approved training courses, who must meet the requirements of GACAR § 141.51.
- 5) An assistant chief instructor may be designated (when necessary) for an approved

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training course, provided that person meets the requirements of GACAR § 141.57.

6) A person may be designated to be a check instructor for conducting student stage checks, end of course tests, and instructor proficiency checks, provided:

- That person meets the requirements of GACAR § 141.59
- The school has an enrollment of at least 10 students at the time the person seeks to obtain designation as a check instructor

7) A pilot school must appoint an accountable manager who has authority to ensure that all requirements of Part 141 are met by the pilot school.

**NOTE:** A person may serve in more than one position for a school, provided that person is qualified for each position.

**F. Conduct Chief Instructor Practical Tests.** Administer practical test to the chief instructors and any assistant chief instructors. (See Volume 4, Chapter 8, Section 4, Conduct a Chief/Assistant Chief Instructor Practical Test.)

**G. Terminating the Demonstration and Inspection Phase.** When all demonstrations and inspections are complete, the demonstration and inspection phase is concluded.

- If any demonstrations are unsatisfactory, advise the applicant immediately of corrective actions. If necessary, confirm the discrepancies in writing (Figure 3.7.1.5). Reschedule the inspections accordingly
- When all demonstrations and inspections are satisfactory, proceed with the certification phase

**3.7.1.21. CERTIFICATION PHASE.** When all certification requirements have been met, obtain a Pilot School certificate number (see Volume 3, Chapter 1, Section 2, GACA Certificate Numbers and Designators).

### **A. Complete Inspection Reports and Job Aids.**

1) Ensure all items on the certification/inspection job aid are resolved. Initial the job aid and place in the GACA office file.

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**B. Prepare and Issue the Pilot School Certificate.** The certificate must list the various training course ratings for which a pilot school/provisional pilot school qualifies for a special curriculum under GACAR §§ 141.11 and 141.109, if applicable.

**C. Reserved.**

**D. OpSpecs. Issue all applicable OpSpecs (see Volume 15, Chapter 7 for further details).**

**E. Certificate Denial.** If any certification requirement is not met, issue a letter of denial. Specify reasons for denial.

**F. Certification Report.** Assemble a certification report containing the following:

- A copy of the letter of intent, if applicable
- A certification job aid (Figure 3.7.1.2)
- The Application for Pilot School Certificate
- The schedule of events (Figure 3.7.1.3)
- A copy of the issued Pilot School Certificate
- A summary of any difficulty encountered during certification and its resolution

**G. Minimum Equipment List (MEL).** Issue a letter of authorization (LOA) to operate with an MEL, if applicable (See Volume 5, Chapter 4, Section 1, Approve a MEL for Part 91 Operators).

**H. GACA Office File.** The file must contain at least the following:

- The material from any working file used up to this point, including the TCO and syllabuses
- The certification report and attachments
- The approved MELs, if applicable
- The surveillance reports

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- Completed GAR
- All general correspondence relevant to the school or the GACA

**I. GAR.** Make final GAR work entry for this task.

### 3.7.1.23. RENEWAL, AMENDMENT, CANCELLATION.

**A. Renewal.** A pilot school or provisional pilot school certificate, and any associated ratings or examining authority on that certificate, expires at the end of the 24th month after the month it was issued.

1) Application for renewal of a pilot school certificate must be made at least 30 days before the certificate expires.

- A school may apply for the renewal of any or all ratings it holds, or it may apply for the addition of a new rating
- Examining authority should be renewed at the same time the school certificate is renewed

2) A school must meet the same requirements for renewal as for original certification. Therefore, upon the receipt of an application for the renewal of a school certificate, the GACA should conduct the same evaluation of qualifications and inspection of facilities as required for original certification. However, if the GACA is very familiar with the school's operation or has recently inspected it, there may be no need for an extensive re-inspection or for re-examination of instructors.

3) When all requirements are met, a new certificate is issued and is valid for additional 24 calendar months. The original certificate number is re-issued.

a) If a pilot school does not meet the quality of training or graduation requirements of GACAR §§ 141.5(d) and (e) at the time of renewal, the GACA may issue a new certificate for a provisional pilot school. A school with examining authority and/or reduced time courses loses examining authority and/or reduced time courses when downgraded to a provisional school.

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b) If, after another renewal period (24 calendar months), the school still does not meet the requirements of GACAR §§ 141.5(d) and (e), the school must wait a period of 180 days before reapplying for certification as a provisional school. All training conducted during that 180 days must meet the requirements of GACAR Part 61, including passing knowledge and practical tests for certificates or ratings.

4) In the event any requirement for a specific rating or approved course of training is not met, the ratings for all requirements that are met may be renewed and a new certificate issued bearing only these ratings.

a) If renewal of a rating is denied or a course of training does not meet the appropriate requirements, the applicant is notified in writing of the reasons for the denial of the rating.

b) In addition, the school must be advised, in writing, to discontinue instructing any course of training in question until appropriate changes are made and the courses again meet the requirements of Part 141.

5) If there are no changes to the approved courses at the time of renewal, there is no need to reissue the relevant OpSpec. However, if courses are added or deleted at the time of renewal, a new list of approved courses is required in the OpSpecs. If a school has examining authority and is downgraded to a provisional school, the list of approved courses must be reissued with the indication of examining authority removed from the appropriate courses.

**B. Amendment.** Application for amendment of a pilot school certificate must be made at least 30 days before the certificate expires.

1) Application for the approval of a course of training that results in the addition of a rating is made by submitting the applicable GACA form, copies of the course of training and a cover letter requesting approval of the course.

a) After review of the course, an inspection of the school's facilities and personnel should be made, as necessary, to ensure that training can be conducted in accordance with the proposed course, before it is approved.

b) If the school inspection is satisfactory, a new certificate bearing the new ratings will be issued, along with an amended list of approved courses. The amended certificate

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should bear the original number, the original expiration date, and the reissue date.

2) An application for the deletion of a rating from a certificate may be accepted in the form of a letter from the certificate holder.

a) Such a letter must be signed by a person authorized to sign for the school, such as the person who signed the original application or a person in a similar position in the school.

b) No inspection is required for deletion of a rating.

c) The GACA issues a new certificate bearing the original number, the original expiration date, and a reissue date. The deleted rating is omitted from the certificate and a new OpSpec of approved courses is issued. The old certificate should be retained in the GACA school file.

3) A change in the ownership of a pilot school does not terminate that certificate if the new owner applies for an appropriate amendment to the certificate by submitting the applicable GACA form within 30 days after the date that the change in ownership occurs. The new ownership may not involve a change in the facilities, instructor personnel, or training course.

4) A change of ownership involving a change in the school facilities, instructor personnel, or training courses terminates the school certificate. The school may be issued another certificate when it demonstrates that it meets all the requirements for original certification.

5) When a certificated school changes its name only, and the name change involves no change in ownership, facilities, instructor personnel, or training courses, a new certificate is issued in the new name, bearing the same certificate number, ratings, and original expiration date. An inspection is not required under such circumstances.

6) An application for an amendment to a previously approved special curriculum or TCO is made by submitting copies of the curriculum or outline pages to the GACA.

a) Each proposed amendment should be accompanied by a cover letter explaining the basic changes, the intent, and requesting GACA approval.

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b) Approval or disapproval is accomplished in the same manner as the original approval or disapproval.

**C. Cancellation.** A pilot school certificate can be canceled by the President if he determines that aviation safety and the public interest requires the revocation. The holder of a pilot school certificate may request cancellation of their certificate or any rating at any time. The request should be submitted in writing to the GACA, accompanied by the certificate to be canceled. The request must be signed by the person or persons authorized to sign for the certificate holder.

**3.7.1.25. TASK OUTCOMES.** Completion of the task results in either:

**A. Certificate.** A certificate issued that authorizes operations under GACAR Part 141.

**B. Record.** A record on file consisting of the following:

- Written notification to the applicant denying the certificate
- Indication of the return of all documents to the applicant

**C. Letter Confirming Termination.** A letter to the applicant confirming termination of the certification process per the applicant's request.

**3.7.1.27. FUTURE ACTIVITIES.**

**A. Develop Post-certification Plan.** When developing a post-certification plan, perform additional surveillance or inspections during the first 90 days the organization is in business.

**B. Conduct Surveillance.** According to the established post-certification program, conduct surveillance at appropriate intervals.

**C. Renewal of Certificate.** Conduct a renewal certification every 24 months.

**D. Amendment of Certificate.** Amend the pilot school certificate at the school's request or the GACA's determination.



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**Figure 3.7.1.1. Sample Letter of Intent**

[Date]

[Name and address of school]

[GACA Name & Address]

Gentlemen:

This is to notify the General Authority of Civil Aviation (GACA) of our intent to become an approved pilot school under General Authority of Civil Aviation Regulation (GACAR) Part 141.

We are prepared to begin operations on July 1, 2013 and are ready for your certification inspection at this time. Enclosed is [insert form], Application for Pilot School Certificate. Operations will be confined to the King Abdulaziz International Airport. We plan to operate: two Cessna 152s, one Cessna 172, and a Piper Comanche (PA24 250), that meet the aircraft requirements for commercial pilot certification.

Courses identified on [insert form], will be supervised by our chief instructor, [insert name], holder of airline transport pilot certificate number [insert number]. He meets the requirements of GACAR § 141.51 and his instructor résumé is available for verification when you conduct your certification inspection.

Also enclosed are three copies of each training course outline for your review and approval. Our requested three letter certificate designators are EPS, ELS, and SFS, in that order of preference.

Sincerely,

*(Signature)*

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**Figure 3.7.1.2. Part 141 Pilot School Certification Job Aid**

NAME OF SCHOOL:	CERTIFICATION TEAM				
	Name		Specialty		
ADDRESS:	INSP. INITIAL	DATE	YES	NO	NA
1. Initial contact handled by:					
2. Letter of Intent					
3. Pre-Application meeting					
4. Applicant provided resources/advised how to obtain					
5. Formal application meeting					
6. Application properly completed and submitted					
7. TCOs submitted					
a. TCO contains description of each room used for aeronautical knowledge training					
b. TCO describes all training aids					
c. TCO describes each training device/simulator used					
d. TCO lists aerodromes at which training flights originate					
e. TCO describes minimum instructor qualifications					

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f. TCO describes trainee's enrollment qualifications					
g. TCO describes each lesson's objectives and training standards					
h. TCO describes tests and checks used to measure each stage of training					
8. Verification of chief instructor/assistant chief instructor/check instructor qualifications (GACAR §§ 141.51, 141.57 and 141.59)					
9. Chief instructor/assistant for ground school course has experience in approved school					
10. Enrollment method meets the requirements of GACAR § 141.151					
11. Safety procedures/practices developed (GACAR § 141.151)					
12. Graduation certificates appropriate (GACAR § 141.153)					
13. Method for student recordkeeping (GACAR § 141.163)					
14. MEL approved (If applicable)					
15. School has use of aircraft appropriate for each course					

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a. KSA-registered standard category					
b. At least two-place with full-functioning dual controls					
c. Maintained in accordance with the applicable GACAR					
d. Inspected by Airworthiness Inspector					
(1) Optional equipment installation					
(2) Airworthiness Directive records current					
(3) In-house or contract maintenance observed					
(4) Aircraft for IFR courses properly equipped/maintained					
e. Electronic components/communications equipment inspected					
f. Checklists required by GACAR § 141.139					
16. Chief instructor/assistance for each course tested GACAR § 141.53					
a. Knowledge test					
b. Skill test					

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17. Chief instructor's method to test other instructors					
18. Pilot briefing areas (GACAR § 141.67)					
19. Aeronautical knowledge training facilities (GACAR § 141.69)					
20. Aerodromes					
a. Continuous use where flights originate (GACAR § 141.61)					
b. One runway/takeoff area for normal takeoff at maximum takeoff mass (GACAR § 141.61)					
c. Wind direction indicator (GACAR § 141.61)					
d. Permanent runway lights (if required by GACAR § 141.61)					
21. Flight simulation training devices					
a. Cockpit meets requirements of GACAR § 141.65					
b. Simulates rotation around three axes (GACAR § 141.65)					
c. Minimum instruments/equipment required by GACAR § 91 (GACAR § 141.65)					

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d. For VFR instruction, a means of simulating visual flight conditions (GACAR § 141.65)					
e. For IFR instruction, a means of recording flight path (GACAR § 141.65)					
22. Training aids meet requirements of GACAR § 141.65					
23. Safety Management System (SMS) per GACAR § 141.19					
24. Quality Assurance System GACAR § 141.91					
25. Training and Procedures Manual GACAR § 141.79					
26. Certificate number obtained					
27. Pilot School Certificate prepared and issued					
28. OpSpecs issued					
29. Certification report and office file prepared					
30. Surveillance plan developed					
31. Other					
REMARKS:					

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**Figure 3.7.1.3. Part 141 Schedule of Events**

NAME OF SCHOOL:	NAMES OF MANAGEMENT PERSONNEL				
	Name		Title		
ADDRESS:	SCHOOL DATE READY	GACA DATE REC'D	GACA RET'D	GACA DATE APP'D	INSP INIT
1. Letter of Intent					
2. Application for Pilot School Certificate					
3. TCOs					
4. Special curriculums (if applicable)					
5. Recordkeeping procedures					
6. Enrollment method					
7. Safety procedures/practices					
8. Graduation certificates					
9. Instructors' qualifications					
10. Chief instructor/assistant practical test					
11. Base inspection (including satellite bases)					
12. Appropriate aircraft for each course					
13. Aircraft conformity inspections (Airworthiness)					
14. FSTD or ATD inspection					
15. Training aids inspection					

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16. Pilot briefing areas					
17. Aeronautical knowledge training facilities					
18. Aerodromes					
19. Safety Management System (SMS)					
20. Quality Assurance System					
21. Training and Procedures Manual					
22. Proposed date to start operations					
23. Other					



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**Figure 3.7.1.4. Letter Denying Satellite Base**

GACA Letterhead

[Date]

[Applicant's name and address]

Dear [name]:

We are unable to approve your application for a satellite base at [location] for the following reasons:

[List reasons]

When your organization fully meets the certification requirements for a satellite base, you may reapply to this office.

Sincerely,

[Inspector's signature]

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**Figure 3.7.1.5. Letter Indicating Discrepancies Found During Inspection**

GACA Letterhead

[Date]

[Name and address of school]

Dear [Name]:

These discrepancies were found during a General Authority of Civil Aviation Regulation (GACAR) Part 141 certification inspection conducted as part of your certification as a Pilot School under Part 141.

[List each discrepancy]

[List methods of correcting the discrepancies, if appropriate]

[Indicate a reasonable length of time for the corrections to be made (not to exceed 90 days from the date of the letter)]

[Indicate that if no response is received within 90 days, the certification process will be terminated]

Sincerely,

[Inspector's signature]

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**CHAPTER 8. THE CERTIFICATION PROCESS FOR PART 142**

**Section 1. Specific Part 142 Certification Guidance**

**3.8.1.1. GACA ACTIVITY REPORT (GAR).**

- A. 1240 (OP) (Initial)
- B. 1374 (OP) (Renew)
- C. 1375 (OP) (Reissue)
- D. 1372 (OP) (SCIG-Initial)
- E. 1371 (OP) (Evaluate FSTD)
- F. 1334 (OP) (Recordkeeping)
- G. 3230 (AW) (Initial)
- H. 3387 (AW) (Reissue)

**3.8.1.3. GENERAL.** This process applies to the initial certification of General Authority of Civil Aviation Regulation (GACAR) Part 142 training centers as well as the addition of satellites to existing operators.

A. This section provides guidance on the certification process of the GACAR Part 142 training centers and the possible addition of a satellite(s) to a principal center's certificate.

**NOTE:** The generic term aviation safety inspector (Inspector) will be used to identify the GACA personnel responsible for the certification process. This term will include the GACA Training Center Principle Inspector (PI) assigned to the operator, as applicable. In the FAA system, the PI is referred to as a Training Center Program Manager (TCPM).

**NOTE:** In addition to this guidance, the applicant and the GACA should follow the certification process found in Volume 3, Chapter 1, The Generic Certification Process for Air

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Operators and Air Agencies.

### **3.8.1.5. INITIAL INQUIRIES, REQUESTS, AND PRELIMINARY DISCUSSIONS.**

**A.** Initial or preliminary inquiries concerning the certification of a Part 142 training centers may come in various formats from individuals or organizations. These inquiries may be in writing or the result of meetings with GACA personnel. Once the appropriate GACA certification team has been identified, the team members should become familiar with the certification processes outlined in this section.

**B.** The Inspector assigned to the project should briefly explain the application process and the GACA requirements that the applicant is required to meet throughout the certification process. The Inspector should advise the applicant to schedule a Pre-application meeting, when the applicant has had sufficient time to thoroughly review and understand the certification requirements. During preliminary discussions with the applicant, the assigned Inspector will:

- 1) Provide the applicant with a brief overview of the certification process and the information that they must submit as part of their pre-application letter of intent (LOI).
- 2) Advise the applicant to become familiar with the training center requirements in GACAR Part 142, the airman certification requirements of GACAR Parts 61, and 65, as applicable, and other regulatory guidance appropriate to the curricula and evaluations the applicant proposes to offer, such as:
  - Volume 2, Safety Management Systems
  - Certification Process Document
  - Letter of Intent (LOI)
  - Formal Application Letter
  - Letter of Compliance
  - Operations Specifications (OpSpecs)
  - Additional publications or documents that the PI considers appropriate

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- Company Training Manuals

3) Advise the applicant that after they have completed their review of the Part 142 training center regulatory guidance, completed and submitted their Pre-application LOI, they should schedule their Pre-application meeting.

4) The Pre-application LOI and attachments should be forwarded to the GACA office at least 2 weeks before the Pre-application meeting. The applicant must be advised that key management personnel be expected to attend the Pre-application meeting.

### 3.8.1.7. PRE-APPLICATION PHASE.

**A. Letter of Intent.** The applicant should submit the Letter of Intent (LOI). The LOI should contain the following information:

- Corporate and business name, mailing address, telephone number, e-mail
- Proposed schedule of events (including proposed initial start of operations)
- Proposed management personnel and position
- Proposed training courses
- Use of flight simulation training devices (FSTDs) and aviation training devices (ATDs)

**NOTE:** Certification of a training center under Part 142 requires the use of flight crew training devices (FSTD and/or ATD). An application that proposes to conduct training, testing and/or checking using aircraft only will not be accepted.

- Proposed location of the training center and any proposed satellite centers
- Training records
- Any additional information that may be required to provide a better understanding of the proposed training center and activities

### **B. Pre-Application Meeting.**

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1) The GACA Inspector assigned to the certification project and the, applicant's management personnel will complete a pre-application meeting. This meeting will be a preliminary discussion in which the applicant will generally describe the proposed training center activities and submit the pre-application letter including plans for personnel, facilities and flight training equipment. The applicant should also be able to demonstrate a basic knowledge of the appropriate regulations and requirements of airman training and evaluation. GACA personnel will use this opportunity to discuss in detail the entire certification process and provide the applicant with information and documentation concerning the certification and continued approval of a training center, qualification of personnel, approval of flight training equipment, and approval of training center curriculum and associated courseware.

2) It is essential that the applicant understand which regulations are applicable to the proposed operation. The applicant and the applicant's personnel must be made aware of their responsibilities during the certification process.

**C. Fees.** Training center applicants must understand that there are fees associated with the certification process. Fees are provided for in the Civil Aviation Tariff Act, and must be paid in accordance with the Implementing Regulations before the issuance of the center's operations specifications and training center certificate.

**D.** Based on preliminary meetings, discussions, and the content of the pre-application LOI, the Inspector will make an initial determination as to whether the potential applicant is qualified and intends to pursue certification. The applicant must also declare his intention to proceed with the certification process.

**E.** The Inspector will ascertain that the proposed operation is consistent with the regulatory requirements of Part 142 and accept or reject the LOI. If acceptable, the applicant will be advised that they may proceed to the Formal Application phase.

### 3.8.1.9. FORMAL APPLICATION PHASE.

**A. Application.** Applicants must submit a formal letter of application to the GACA. Accompanying the letter with an Application for Training School Certificate (and attachments) that contains the following information:

- Corporate or Business name (including "doing business as"), mailing address, and

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telephone number of the applicant

- A statement showing that the minimum qualification requirements for each management position are met or exceeded
- A statement acknowledging that the applicant must notify the President within 10 working days of any change made in the assignment of persons in the required management positions
- Formal schedule of events; including updated proposed start date
- Proposed instructor and evaluator training program including curriculum, courseware, procedures, and any other supporting documentation
- The proposed training authorizations and operations specifications requested by the applicant
- A copy of a purchase contract or adequate lease of flight training equipment, to substantiate that it has exclusive use of all simulation media for periods of time adequate to conduct all training checking and testing proposed in the training plan. If the applicant is the sponsor and/or operator of the proposed flight training equipment, the letter should so indicate that the equipment is either currently GACA qualified under GACAR Part 60 or that arrangements have been made for qualification
- Proposed evaluation authorization(s) in accordance with GACAR §142.61
- A description of the applicant's training facilities, equipment, and qualifications of personnel to be used
- A description of the flight training equipment that the applicant proposes to use
- The proposed core and specialty training curricula and associated syllabus including courseware, procedures, checklists, and any other supporting documentation for the training of students, instructors, and evaluators
- Training and Procedures Manual
- This document must also include acknowledgment that the applicant must notify the

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GACA within 10 working days of any change made in the management positions

- A description of a recordkeeping system that will identify and document the details of training and the qualifications and certification of students, instructors, and evaluators
- If the applicant proposes to provide training for certificate or rating in fewer than the minimum hours prescribed in GACAR Part 141, a method of demonstrating qualification and ability to provide training must be submitted
- A description of the Quality Assurance (QA) System that will identify and document the details of the quality control measures to be used
- Training Agreements
- An SMS that meets the standards in GACAR Part 5
- A Compliance Statement

**B. Application Signatures.** The following signatures are required on a completed formal application letter:

- An application from an individual must be signed by that individual
- An application from a partnership must be signed by all partners or, if applicable laws permit this authority to be delegated to one partner, by the delegated partner
- An application from a corporation must be signed by the corporate secretary, by the president or officer(s) authorized by the corporation, and by any other designated official of the corporation who should attest to the individual's authority to sign such a document
- An application from a partnership, club, or association must be signed by the president or such other officer or director as authorized by the organization's bylaws and attested to by the secretary

**C. Compliance Statement.** Preparation of the compliance statement benefits the applicant by systematically ensuring that all applicable regulatory aspects are appropriately addressed during the certification process. The compliance statement must be in the form of a complete listing of all appropriate GACAR sections pertinent to the training curricula the applicant is



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proposing. The compliance document must address each section within GACAR Part 142. This list should reference any applicable subpart and each relevant section of the subpart. 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. This is a procedures document (i.e., what system the applicant will use to ensure compliance), not a policy document. The compliance statement will be used throughout the applicant's certification process and become an ongoing source of information throughout the certificate holders continued operations. After the certification process is completed, the compliance statement should be kept current as changes are incorporated in the applicant's system. This statement also serves as a master index to the applicant's manual system to expedite GACA's review and approval of the operation and manual systems.

**D.** The formal application must be received by the GACA a minimum of 120 days before the start of proposed operations. The proposed schedule of events included in the applicant's LOI should be used by the GACA as a preliminary planning tool for the certification process.

**E. Application Denial.** If it becomes apparent that the applicant will not be able to prepare an acceptable formal application, the Inspector will advise the applicant that the GACA is ceasing any further efforts to certificate the applicant.

### 3.8.1.11. DOCUMENT COMPLIANCE PHASE.

**A. Document and Personnel Review.** The Inspector will review the documents that the applicant has submitted to ensure compliance with regulatory requirements, policy, and other guidance material. The review will include the following areas:

#### 1) Management Personnel.

- a) The training center applicant must employ sufficient qualified and competent management personnel to perform the duties to which they are assigned.

**NOTE:** One method of determining if the proposed management team is qualified to provide required supervision is to evaluate the job requirements stated in the formal application and measure them against the resumes provided for each of the proposed managers and ask the following question. Is it apparent that the proposed managers have the knowledge and skills required to accomplish the stated job functions? Minimally, a tabletop exercise should be run to evaluate the manager's knowledge of the requirements of a training center

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certificated under Part 142.

- b) The applicant must provide résumés for proposed management personnel. This must include the individual's name and address, as well as the individual's qualifications and airman certificate number, certificates and ratings, work history, and compliance history. Medical certificate information must also be provided if it is appropriate to the position assigned.
- c) A person whose employment contributed materially to the revocation, suspension, or termination of that certificate within the previous five years should not manage, be in control of, or have substantial ownership of a training center.

### 2) Training Center Evaluator (TCE).

- a) Must meet by authorized under GACAR Part 183.
- b) Must meet the privileges and limitations of GACAR § 142.57.
- b) Must complete the training prescribed by GACAR § 142.61.
- c) Persons who conduct training or an evaluation of a student must be able to read, write, understand, and fluently speak the English language.

**NOTE:** Detailed guidance for appointment of evaluators can be found in Volume 4, Chapter 9, Section 2.

### 3) Instructors.

- a) Must meet the eligibility requirements of GACAR § 142.55.
- b) Must complete the training prescribed by GACAR § 142.59.
- c) Persons who conduct training or an evaluation of a student must be able to read, write, understand, and fluently speak the English language.

4) Lease, Agreements and Contracts. Copies of the leases, agreements, and contracts, if any, to show compliance with the exclusive use of equipment requirements of GACAR § 142.15.

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a) If a training agreement exists with a GACAR Part 141 certificated pilot schools to provide training, testing, or checking for a training center, a copy of that training agreement must be provided. Each training agreement should meet the requirements of GACAR § 142.25.

5) Aircraft. Each aircraft used to provide training under GACAR Part 142 met the following requirements:

a) The aircraft must have a standard airworthiness certificate issued under GACAR Part 21 or a foreign equivalent of a standard airworthiness certificate, acceptable to the President except for flight instruction and solo flights in a curriculum for aerial work operations under GACAR Part 133.

b) The aircraft must be equipped as required for the approved course for which it is used.

c) For commuter category airplanes and transport category aircraft, the aircraft are operated by a certificate holder issued under GACAR Part 119.

The GACA may assign an Inspector (Airworthiness) to verify the existence and adequacy of an approved program for maintenance and inspection. The Inspector will also review the center's minimum equipment list (MEL) if the applicant seeks relief under a MEL for aircraft that the training center owns or leases. MELs are not a certification requirement of GACAR Part 142.

6) Simulator component inoperative guide (SCIG). SCIGs are not a certification requirement of GACAR Part 142 but may be utilized, if desired.

7) FSTD. Documentation to show qualification under GACAR Part 60, or a request for such evaluation and qualification must be provided.

8) Training Program. The GACA will evaluate submitted curricula, and associated courseware in this phase. Curricula leading to the issuance of pilot certificates, ratings and/or meeting currency requirements of GACAR Parts 61 and/or 65 must be based on the use FSTD (see Volume 4, Chapter 9, Section 6, Evaluate Training Programs, Curricula, Flight Training Equipment and Recordkeeping Requirements for Part 142, for approval processes and procedures). Curriculum approval and requirements will follow the general

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process for review and format that is found in Volume 4, Chapter 21, Flight Crew Training Programs and Airmen Qualifications for Parts 121 and 135.

a) Core and Specialty Curricula. The Inspector will review the curriculum for format and content. (See Volume 4, Chapter 9, Section 6, Evaluate Training Programs, Curricula, Flight Training Equipment and Recordkeeping Requirements for Part 142, for detailed guidance on curriculum approvals.) To indicate initial approval, the Inspector will stamp each page of the list of effective pages indicating that the curriculum has been granted initial approval.

b) Courseware. The GACA must approve checklists not prepared by the manufacturer. Pictorial means of preflight inspection courseware must be approved.

9) Training Records (Recordkeeping). Training records must document training, qualification, and currency. Each operator must keep records at the applicable training center or satellite training center, or other place approved by the GACA, and must provide those records to the GACA upon request or at a reasonable time. The GACA may use the following information to determine training record system adequacy:

- See GACAR § 142.91(a) for a checklist of trainee record requirements
- See GACAR § 142.91(b) for a checklist of instructor/evaluator record requirements

10) Quality Assurance System. GACAR§ 142.29 requires that training centers present a Quality Assurance System. As a required part of a training center certification process, applicants must formulate an operational strategy and provide specific process instructions as to how they plan to conduct the training center's operations. The quality assurance system must address:

- a) Conduct and effectiveness of all training programs.
- b) Compliance and adequacy of curriculums.
- c) Conformity and security of the training center's recordkeeping system.
- d) Adequacy of facilities and equipment.
- e) Qualifications, eligibility, and ability of instructors and evaluators.

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f) Effectiveness of management, including delegation of authority and responsibility.

g) Flight simulator training device (FSTD) and advanced flight training device (AFTD) functionality and training suitability.

11) Safety Management System (SMS). If the applicant intends to use aircraft for flight instruction under GACAR Part 142, that applicant must demonstrate, during the application process under GACAR § 142.11, that it has a safety management system (SMS) that meets the standards in GACAR Part 5.

12) Training and Procedures Manual. The training center must provide a training and procedures manual for the use and guidance of personnel concerned. This manual may be issued in separate parts and must contain at least the following information:

a) A general description of the scope of training authorized under the training center's terms of approval.

b) The content of the training programs offered including the courseware and equipment to be used.

c) A description of the training center's quality assurance system in accordance with GACAR § 142.29.

d) A description of the training center's facilities.

e) The name, duties and qualification of the personnel designated as responsible for compliance with the requirements of an approved training center.

f) A description of the duties and qualification of the personnel designated as responsible for planning, performing, and supervising training.

g) A description of the procedures used to establish and maintain the competence of instructional and evaluation personnel.

h) A description of the method used for the completion and retention of the training records required by GACAR Part 142, Subpart E.

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i) A description, when applicable, of additional training needed to comply with an operator's procedures and requirements.

(j) When the GACA has authorized an approved training center to conduct the testing required for the issuance of a certificate or rating, a description of the selection, role and duties of the authorized personnel, as well as the applicable requirements established by the President.

### **3.8.1.13. DEMONSTRATION AND INSPECTION PHASE.**

**A.** The GACA will conduct inspections to determine a training center's compliance with, or eligibility under, the GACAR. Each applicant for a certificate must allow the President to inspect training center facilities, equipment, and records at any reasonable time and place.

**B.** The GACA will conduct the following inspections:

- 1) Facilities and Equipment Described in an Applicant's Formal Application Letter. The purpose of these inspections is to ensure that the applicant represents the facilities and equipment and that they meet the certification requirements of the regulations.
- 2) Automated Recordkeeping Systems Proposed by the Applicant. Training centers should demonstrate that they can adequately demonstrate their ability to use their proposed automated/electronic recordkeeping system. Refer to Volume 4, Chapter 11, Section 4, Electronic Recordkeeping, for specific guidance.
- 3) Qualification and Approval of FTDs and FFSs. Inspect each FFS or FTD used for training, checking, testing, or recency of experience under GACAR Part 142 for qualification and approval under GACAR Part 60.
- 4) Quality Assurance System.
  - a) Inspect the effectiveness of the quality assurance system and its applicability to actual operations.
  - b) Determine if the operations can be conducted in accordance with the proposed measures.
  - c) Determine if personnel understand and comply with the quality assurance system.

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5) Validation. Observe actual classes for initial approval of a training curriculum and certification of a training center.

- a) Training curricula and courseware approved
- b) Sufficient instructors and evaluators trained and designated
- c) Facilities evaluated and found satisfactory

**3.8.1.15. CERTIFICATION PHASE.** When all certification requirements have been met, obtain a Training Center Certificate number (see Volume 3, Chapter 1, Section 2, GACA Certificate Numbers and Designators).

**A. Complete Inspection Report.**

**B. Prepare and Issue the Training Center Certificate.**

**C. OpSpecs.** Issue all applicable OpSpecs (see Volume 15, Chapter 7 for further details).

**D. Certificate Denial.** If any certification requirement is not met, issue a letter of denial. Specify reasons for denial.

**E. Certification Report.** Assemble a certification report containing the following:

- A copy of the letter of intent
- The Application for Training School Certificate
- The schedule of events
- A copy of the issued Training Center Certificate
- A summary of any difficulty encountered during certification and its resolution

**F. GACA Office File.** The file must contain at least the following:

- A copy of the Letter of intent

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- A copy of the Application for Training School Certificate
- A copy of the training center certificate
- A copy of any manuals or approved curricula
- A copy of the completed certification job aid, if applicable
- A summary of any difficulties encountered during any phase of the certification or recommendations for future surveillance (Certification Report)
- Copies of leases, agreements, and contracts, if applicable
- Compliance statement, if applicable
- Any correspondence between the applicant and the GACA
- Copy of the completed GAR

**G. GAR.** Make final GAR work entry for this task.

### **3.8.1.17. TASK OUTCOMES.** Completion of the task results in either:

**A. Certificate.** A training center certificate and OpSpecs issued that authorizes operations under GACAR Part 142.

**B. Record.** A record on file consisting of the following:

- Written notification to the applicant denying the certificate
- Indication of the return of all documents to the applicant

**C. Letter Confirming Termination.** A letter to the applicant confirming termination of the certification process per the applicant's request.

### **3.8.1.19. FUTURE ACTIVITIES.**

**A. Develop Post-certification Plan.** When developing a post-certification plan, perform



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additional surveillance or inspections during the first 90 days the organization is in business.

**B. Conduct Surveillance.** According to the established post-certification program, conduct surveillance at appropriate intervals.

**C. Renewal of Certificate.** Conduct a renewal certification prior to the date endorsed on the certificate

**D. Amendment of Certificate.** Amend the Training Center Certificate or OpSpecs at the school's request or the GACA's determination.

### Appendix 1. Training Center 142 Application Forms and checklists:

#### Training Center 142 Application Forms

1. Training Center 142 Certification/Approval Issuance Application Form.

<https://gaca.gov.sa/web/en-gb/media/01-training-center-142-certification/approval-issuance>

2. Training Center 142 Certification/Approval Renewal Application Form.

<https://gaca.gov.sa/web/en-gb/media/02-training-center-142-certification/approval-renewal>

#### Flight Simulator (Synthetic) Training Devices (FSTDs) Certification/Approval Applications Forms

3. FSTDs Qualification Certification/Approval ( Initial) Application Form.

<https://gaca.gov.sa/web/en-gb/media/03-fstds-qualification-certification/approval-initial>

4. FSTDs Qualification Certification/Approval ( Renewal/Additional/Modification/Relocation) Application Form.

<https://gaca.gov.sa/web/en-gb/media/04-fstds-qualification-certification/approval-ramr>

#### FSTDs Qualification Certification Qualifications testing Checklists

5. Flight Simulator (Synthetic) Training Device ( Full Flight Simulator (FFS) Qualifications Testing Checklist.

<https://gaca.gov.sa/web/en-gb/media/05-flight-simulator-synthetic-training-device-ffs>

6. Flight Simulator (Synthetic) Training Device ( Flight Training Device (FTD) Qualifications Testing Checklist.

<https://gaca.gov.sa/web/en-gb/media/06-flight-simulator-synthetic-training-device-ftd>

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**Training Center Evaluator/Examiner Authorization Application Forms**

7. Training Center Evaluator/Examiner (TCE) Authorization (Issuance/Renewal) Application Form.

<https://gaca.gov.sa/web/en-gb/media/07-training-center-evaluator/examiner-tce>

8. Evaluator/Examiner Standardization Arrangements.

<https://gaca.gov.sa/web/en-gb/media/08-evaluator/examiner-standardization-arrangements>

**Training Center Evaluator/Examiner Authorization Competency check/assessment Checklist**

9. Evaluator/Examiners Competency Assessment Checklist (Report).

<https://gaca.gov.sa/web/en-gb/media/09-evaluator/examiners-competency-assessment-checklist-report>

**Training Center Instructor Authorization**

10. Training Center Instructor (TCI) Authorization (Issuance/Renewal) Application Form.

<https://gaca.gov.sa/web/en-gb/media/10-training-center-instructor-tci-authorization-issuance-renew>

11. Training Center Instructor Competency Check/Assessment Checklist.

<https://gaca.gov.sa/web/en-gb/media/11-training-center-instructor-competency-check/assessment>

**Manuals Compliance Checklists**

12. Training Center 142 Operations (procedures) Manual.

<https://gaca.gov.sa/web/en-gb/media/12-training-center-142-operations-procedures-manual>

13. Training Center 142 Training Manual.

<https://gaca.gov.sa/web/en-gb/media/13-training-center-142-training-manual>

14. Training Center 142 Quality Manual.

<https://gaca.gov.sa/web/en-gb/media/14-training-center-142-quality-manual>

**Management Acceptance**

15. Training Center 142 Head/Director of Training Acceptance Application Form.

<https://gaca.gov.sa/web/en-gb/media/15-training-center-142-head/director-of-training-acceptance>

16. Training Center 142 Quality Manager Acceptance Application Form.

<https://gaca.gov.sa/web/en-gb/media/16-training-center-142-quality-manager-acceptance>

**Job Aids**

17. Training Center 142 Audit/Inspection Checklist (Job Aid).

<https://gaca.gov.sa/web/en-gb/media/17-training-center-142-audit/inspection-checklist-job-aid>

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**CHAPTER 8. THE CERTIFICATION PROCESS AND PROCEDURES FOR PART 142**

**Section 2. Specific Part 142 Certification Guidance for Foreign Training Centers Certificated by ICAO Contracting States and Located Outside KSA**

**3.8.2.1. General.**

This section provides the necessary guidance for the certification of foreign training centers that are certificated by other ICAO contracting states and located outside KSA under, GACAR Part-142, and the possible addition of a satellite(s) to a principal center's certificate. Such training centers are referred to as "foreign training centers" within this section.

NOTE: The generic term aviation safety inspector (Inspector) will be used to identify the GACA personnel responsible for the certification process. This term will include the GACA Training Center Principle Inspector (PI) assigned to the operator, as applicable. In the FAA system, the PI is referred to as a Training Center Program Manager (TCPM).

NOTE: In addition to this guidance, the applicant and GACA should follow the certification process found in Volume 3, Chapter 1, The Generic Certification Process for Air Operators and Air Agencies.

**3.8.2.3. References.**

- CAGAR- PARTs : 60, 61, 65,121,125,135,142, 143 and 183.
- GACA eBook Volumes: 3,4, 12, 14 and any other applicable Volumes.
- ICAO Annex-1 Personnel Licensing.
- ICAO DOC. 9841 Manual on the Approval of Training Organizations.
- ICAO DOC. 9379 Manual of Procedures for Establishment and Management of a State's Personnel Licensing.

**3.8.2.5. Forms.**

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The following GACA forms will be used for the foreign training centers certification (initial and renewal).

- Foreign Training Center certification/approval (issuance/renewal) Application form (GACA\_FO\_F142-003\_V1.0)
- Foreign Training Center Approval Process Form (GACA\_FO\_F-142-004\_V1.0)
- Evaluator/Examiner Acceptance Application form (GACA\_FO\_F-142-001\_V1.0)
- Instructor Acceptance Application form (GACA\_FO\_F-142-005\_V1.0)
- FSTD Acceptance Application form (GACA\_FO\_F-142-002\_V1.0).

### **3.8.2.7. Job Aids (Audit/Inspection checklist(s)).**

(A) Foreign Training Center certification/Approval Process Compliance checklist will be used by the ASI as a part of a foreign training center certification procedure, and at the same time constitutes a useful tool

(B) The following Scope will be covered by GACA compliance checklist(s):

Area 1 Management and Administration

Area 2 Training Specifications

Area 3 Courseware

Area 4 Airman Training Programs

Area 5 Instructor and Evaluator Training and Qualification

Area 6 Facilities

Area 7 Flight Training Equipment

Area 8 Records

Area 9 Training Operations

Area 10 Quality Control Measures

Area 11 Safety Management System inspection (if applicable)

Area 12 FSTD (A) Inspection

Note: for more details about Surveillance, refer to GACA EBOOK Volume-12, Chapter-12, Section-2.

### **3.8.2.9. Foreign Training Center Certification Requirements.**

1-The applicant must have a valid training center certificate by an ICAO contracting state.

2-The applicant's training program and curriculum must be in compliance with the corresponding

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GACA requirements, or in full compliance with ICAO Annex-1 Standards.

3-The applicant's Instructors (Training Center Instructor (TCI), Type Rating Instructor (TRI) and Synthetic Flight Instructor (SFI)) must have valid and current approvals, authorizations or certificate, as applicable, by the ICAO Contracting State.

4-The qualification and experience of the applicant's instructors must follow the corresponding GACA requirements, or in full compliance with the ICAO Annex-1 Standards.

5-GACA may delegate the required assessment/evaluation for a foreign training center Instructor acceptance authorization to the GACA designated examiner/evaluator or to the Foreign Training Center examiner/evaluator provided that the said examiners/evaluators must meet the applicable GACA requirements and following the applicable GACA process and procedures.

6 - GACA may delegate the required assessment/evaluation for a foreign training center Instructor acceptance authorization to the Approved Foreign Training Center provided that the Foreign Training Center should keep a consistent compliance with the applicable GACA standards, requirements, processes and procedures.

7-Prior to initiating/conducting training for trainee(s) (GACA License Holders and/or GACA certified operators or Organizations), the foreign training center's instructor(s) must be accepted by GACA.

8-The applicant's examiners/evaluators must be approved/authorized by the ICAO Contracting State.

9-The qualification and experience of the applicant's examiners/evaluators must follow the corresponding GACA requirements, or in full compliance with the ICAO Annex-1 Standards.

10-GACA may delegate the required assessment/evaluation for a foreign training center examiner/evaluator acceptance authorization to the GACA designated examiner/evaluator or to the Foreign training center examiner/evaluator provided that the said examiners/evaluators must meet the applicable GACA requirements and following the applicable GACA process and procedures.

11- GACA may delegate the required assessment/evaluation for a foreign training center examiner/evaluator acceptance authorization to the approved Foreign Training Center provided that the Foreign Training Center should keep a consistent compliance with the applicable GACA standards, requirements, process and procedures.

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12-Applicants for Type Rating training courses, Training Center Instructor (Type Rating Instructor (TRI) and Synthetic Flight Instructor (SFI/TCI)) training courses and any other required approved training courses at the Foreign Training Center must meet the training program entry requirements (pre-requisite(s)) before starting the intended training course (s) in accordance with GACA requirements.

13-Applicants for Type Rating, Training Center Instructor (TCI), Type Rating Instructor (TRI) and Synthetic Flight Instructor (SFI/TCI) training courses must meet the applicable rating issuance requirements before conducting the required check/test in accordance with GACA requirements.

14-Foreign Training Center training report(s) will be used for the training conducted in accordance with the Training Center approved training program and procedure manual.

15-GACA application forms and check/test reports must be used for all ratings issuance/renewal.

16-GACA inspectors or designated examiners/evaluators will randomly supervise checks/tests for GACA licenses, ratings issuance/renewal or for any kind of training/checking related to GACA approved training and checking programs during the validity period of Foreign Training Center approval.

17- GACA may authorize an approved Foreign Training Organization/center to conduct the testing required for the issuance of a license or rating, the testing shall be conducted by personnel authorized by GACA or designated by the approved Foreign Training Organization in accordance with criteria and requirements approved by GACA.

Such arrangement and delegation should be considered only when the approved Foreign Training Organization/Center can demonstrate that it is capable of consistent compliance with the standards and requirements prescribed by GACA.

18-Foreign training centers will be subject to GACA surveillance - inspection as a part of GACA Flight Operations Safety Oversight Program within the validity period of Training Center approval (24 calendar months).

19-A foreign training center certification will be issued based on satisfactory completion of the GACA foreign centers certification process.

20-A foreign center certificate must meet the certification requirements and condition(s) during the period of certification.

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21-The Applicant (Foreign Training Center) Certificate that issued by the Competent Authority (ICAO Contracting State) must be valid before starting the Certification process.

22-A valid Foreign Training Center Certificate must be Verified through contacting the Competent Authority (ICAO Contracting State) before starting the Certification process.

### **3.8.2.11 .Certification Renewal Conditions.**

Subject to the initial certification conditions and requirements for a foreign training center, the certificate may be renewed provided that applicant (the foreign training center) meets GACA certification conditions and requirements.

If GACA issues a foreign training center certification with specified restriction(s)/limitation(s), the concerned center must adhere to such restriction(s)/limitation(s).

### **3.8.2.13. Certificate Privileges.**

The privileges of an Approved Foreign Training Center are to conduct training and checking, but not limited to, the following:

1- Issuance of type rating, Training Center Instructor/Synthetic Flight Instructor (SFI/TCI), Type Rating Instructor (TRI).

2-Renewal of type ratings, Training Center Instructor (TCI)/Synthetic Flight Instructor ratings (SFI), Type Rating Instructor ratings (TRI).

3-Issuance/Renewal of Airline Transport License.

4-Conducting Examiner/Evaluator (Training Center Examiner (TCE)/Synthetic Flight Examiner (SFE) and Type Rating Examiner (TRE)) training course including Examiners Standardization arrangements.

5-Conducting any required training and checking programs for GACA license holders and GACA certified operators and organizations in accordance with the applicable GACARs which will be listed in the foreign training center's Certificate and/or Operations Specifications.

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6-Training Center Instructor privileges will be listed in his/her acceptance letter/authorization.

7- Evaluator/Examiner privileges will be listed in his/her acceptance letter/authorization.

8-All Training Center privileges and approved training and checking programs, conditions and/or limitations, if applicable, will be listed in the Training Center approval (Certificate and/or Operations Specifications).

### **3.8.2.15. Foreign Training Centers Certification Process and Procedure.**

#### **A.General**

1-This process applies to the initial certification/approval of General Authority of Civil

Aviation Regulation (GACAR) Part 142 for Foreign Training Centers certificated by other ICAO contracting states and located outside the territory of Kingdom of Saudi Arabia.

2-This section provides guidance on the certification process and procedures of the GACAR Part 142 Foreign Training Centers.

3-Initial or preliminary inquiries concerning the approval of Foreign Training Center may come in various formats or by a formal letter from individuals or centers. These inquiries may be in writing or the result of meetings with GACA personnel at the Flight Operations Department.

4-Once the applicant (Foreign Training Center) initial request is accepted by GACA, and an appropriate GACA certification team has been identified, the team members should become familiar with the certification requirements, processes and procedures.

5-The inspector assigned to the project (Project Manager) should briefly explain the application process and the GACA requirements that the applicant is required to meet throughout the certification process.

6-The Project Manager should request the applicant to provide GACA with the name and contact information of the appropriate contact person within the foreign training center's certifying authority.

7-The certification team will perform an evaluation on the foreign training center's certifying



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authority's safety oversight capabilities pertinent to training centers in accordance with Appendix-3 of this section. Upon satisfactory outcome of this task, the certification team will proceed the certification process. If the outcome of this task is unsatisfactory, the process will be terminated, and the applicant will be informed accordingly.

8-The Project Manager should advise the applicant to schedule a pre-application meeting, when the applicant has had sufficient time to thoroughly review and understand the training center's certification requirements. During preliminary discussions with the applicant, the assigned Inspector will:

- A. Provide the applicant with a brief overview of the certification process and the information that they must submit as part of their pre-application letter of intent (LOI).
- B. Part 142 and other required GACARs such as the airman certification requirements of GACAR Parts 61, 65, etc., as applicable, Operations requirements such as GACAR part 121, 125, etc, and also to be familiar with GACA regulatory requirements and guidance appropriate to the curricula and evaluations. The applicant will be briefed on at least, but not limited to the following:
  - i. The applicable GACA Regulations
  - ii. Guidance Material, if applicable
  - iii. Approval Process
  - iv. Letter of Intent (LOI) or any kind of formal letter
  - v. Formal Application Letter
  - vi. The related GACA Forms
  - vii. Operations Specifications (Ops. Specs)
  - viii. Additional publications or documents that the Air Safety Inspector (ASI) considers appropriate
  - ix. Required Manuals

9- Advise the applicant after completion their review of the GACA requirements, regulatory guidance, to complete and submit its pre-application LOI, and then coordinate for scheduling the pre-application meeting.

10- The pre-application LOI and attachments should be forwarded to the applicable GACA office.

11- The pre-application meeting will be scheduled in cooperation with the applicant (Training Center) as suitable for both GACA and Applicant.

12- The applicant must be advised that key management personnel will be expected to attend the pre-application meeting.

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13- All required meetings for Training Center certification process, may take place at the GACA premises, the applicant (Foreign Training Center) premises, or by any means that are convenient for GACA and the Foreign Training Center such as the internet Virtual meeting to achieve the objective(s) of the said meeting(s).

14- The training center's certificate's issuance will be issued by GACA after the applicant has successfully completed all required Foreign Training Center certification issuance process (5 phases) in accordance with GACA requirements.

### **3.8.2.17. Phase I-Pre-Application Phase**

- a) A foreign training center who is seeking a GACA Foreign Training Center certification, should provide GACA with a Letter of Intent (LOI) or a formal letter, asking for the GACA certification for Foreign Training Center.
- b) If the initial request (LOI) is accepted by GACA, the Training Center will start the Training Center certification process and procedure.
- c) The Assistant President Aviation Standards will forward the requested letter of intent to the General Manager Flight Operations Standards.
- d) General Manager Flight Operations Standards in cooperation with Training Centers Section Manager will assign a certification project manager and team members to conduct and manage the foreign training center certification process and procedures (5 phases).
- e) The project manager will conduct an internal meeting at GACA premises (initial meeting) with project team members(ASIs) to review the foreign training center certification process and procedure, pertinent GACARs, forms, checklist, etc.
- f) The initial meeting will comprise the following team members:
  - Flight Operations Training Manager (if required).
  - Project manager.
  - Project team.
- g) The Project Manager will call for Pre-application meeting.
- h)The Pre-application meeting:

#### **1.Objective**

The main objective of pre-application meeting is to advise the applicant through its focal point, to thoroughly review the appropriate GACA rules, regulations, eBook volumes, directives, etc., and also, to provide guidance on training approval requirements, foreign training centers certification

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process (5 phases certification process) technical requirements and implementation procedures for each phase.

### 2.Participating Members:

- Project manager (assigned Inspector)
- Project team (Inspectors)
- Foreign Training Center focal point
- Foreign Training Center team (Posts) (if required)

### 3.Methodology

- a. The pre-application meeting may be conducted physically at GACA premises, or through any suitable means such as online/virtual meeting to achieve the meeting's objectives.
- b. The project manager will call for the pre-application meeting in coordination with the applicant and General Manager Flight Operations Department.
- c. The project team will provide the applicant with all required certification guidance materials, applications, forms, compliance checklists etc.

#### **3.8.2.19 Phase II-Formal application.**

##### (a) Application

The applicant should submit a formal letter for application to GACA, attached with all concerned GACA application Forms and supporting documents that are listed in the said forms.

##### (b) GACA Application Forms for Foreign Training Center:

- TRAINING CENTER certification/approval issuance/renewal application form.
- TRAINING CENTER approval process form (for GACA used only and guidance for Applicant (Foreign Training Center).
- Examiner/Evaluator (TCE/SFE/TRE) Acceptance application form (issuance/renewal).
- Training Center Instructor (TCI/SFI/TRI) Acceptance application form (issuance/renewal).
- FSTD acceptance application Form.

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### (c) Post Holders

The applicant should provide GACA with copy of the following post holders approvals obtained from its certifying civil aviation authority.

1. Training Manual
2. Operations Manual
3. Quality Manual
4. Safety Manual (if required)

### (d) Manuals

The applicant must provide GACA with copies (soft or hard) of their approved manuals from its certifying civil aviation authority as follows:

1. Training Manual
2. Operations Manual
3. Quality Manual
4. Safety Manual (if required)

### (e) FSTD

The applicant must provide GACA with copies of its FSTDs certificates/approvals, qualifications and specifications that have been issued by its certifying civil aviation authority.

### **3.8.2.21. Phase III-Documents Evaluation.**

- a) The applicant's application forms and all supporting documents will be assessed and reviewed by the assigned certification project team (ASI(s)).
- b) The applicant's manuals will be reviewed and assessed by the approval team (ASI(s)) to make sure that they meet GACA requirements or at least ICAO Annex 1 standards.
- c) The applicant's training programs will be reviewed by the certification team to assure compliance with GACA requirements or at least ICAO Annex 1 standards.
- d) Examiners, Evaluators, and Instructors application forms and all required supporting documents must be reviewed by ASI to make sure that it in compliance with GACA requirements or at least ICAO Annex 1 standards. Guidance on the acceptance of foreign training centers' instructors is provided in Appendix-1 to this section. Guidance on the acceptance of foreign training centers' examiners and evaluators is provided in Appendix-2 to this section.

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- e) Lease, agreements and contracts, if any, will be reviewed to assure appropriate compliance with the exclusive use of equipment requirements.
- f) FSTD application and its supporting documents will be reviewed to verify their qualifications and specifications meets at least ICAO Annex 1 Standards.
- g) Training programs will be reviewed by the GACA certification team to evaluate submitted curricula, and associated courseware to assure compliance with GACA requirements or at least ICAO Annex-1 Standards.
- h) Training Records (Recordkeeping) Requirements for (Core and Specialty Curricula) will be evaluated to assure compliance with GACA requirements or at least ICAO Annex-1 standards.
- i) The applicant's quality assurance system must address:
  - 1. Conduct and effectiveness of all training programs.
  - 2. Compliance and adequacy of curriculums.
  - 3. Conformity and security of the training center's recordkeeping system.
  - 4. Adequacy of facilities and equipment.
  - 5. Qualifications, eligibility, and ability of instructors and evaluators.
  - 6. Effectiveness of management, including delegation of authority and responsibility.
  - 7. Flight Simulator Training Device (FSTDs) functionality, training suitability, QTG, Maintenance, etc.
- j) Safety Management System (SMS): If the applicant intends to use aircraft for flight instruction, it must demonstrate, during the application process, that it has a Safety Management System (SMS) program accepted by its certifying civil aviation authority that meets the standards of ICAO Annex 19.
- k) The certification team will inform the applicant regarding any missing document or any non-conformity issues .
- l) Upon completion of the document review phase, the certification project manager will inform the applicant on the result of the document evaluation. If the document evaluation was satisfactory, the certification team will proceed to the next phase.

### **3.8.2.23. Phase IV-Demonstration and Inspection**

- a) GACA/Flight Operations Project team members will conduct a comprehensive audit/inspection

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on the concerned applicant (the foreign training center) to determine that the training center is in compliance with GACA requirements.

b) The project team will contact the applicant to coordinate for the suitable and convenient date for conducting the required audit/inspections.

c) The main areas and scope of the audit/inspection will be as follows:

1. Organization and infrastructure inspection;
2. Theoretical training inspection;
3. Flight training inspection;
4. FSTD;
5. Quality system inspection; and
6. Safety management system inspection (if applicable).

Note : For more details for the Scope, refer to Job Aid (G (2)) of this section.

d) GACA General Manager Flight Operations will send an official letter or email to the applicant once a suitable date and time for the audit/inspection phase is determined.

e) GACA ASI will conduct the audit/inspection based on the determined scope to assure the applicant's compliance with GACA requirements and the relevant ICAO SARPs.

f) GACA ASI will use the foreign training center's audit/inspection checklist for conducting the required audit/inspection phase.

g) GACA ASI will generate and submit an audit/inspection report including finding(s) or non-conformities to the applicant for its appropriate corrective action(s).

h) All applicable forms, documents, audit/inspection checklists, reports, etc, will be kept and recorded in the appropriate foreign training center certification folder .

### **3.8.2.25. Phase V-Foreign Training Center Certification/Approval issuance.**

a) The training certification project manager will call for the final internal GACA certification meeting.

b) The certification team, and the project manager will review all the certification processes, phases,

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forms, reports, documents ,and all requirements for issuing the foreign training center certification.

c) The project manager will officially inform General Manager Flight Operations Standards regarding the satisfactory findings on the applicant's certification process.

d) GM Flight Operations Standards will send an official letter/email to the President for the issuance of the required GACA Foreign Training Center Certificate/Approval.

e) Upon the President's approval, GACA will issue the Foreign Training Center certificate/approval to the applicant with the appropriate operations specifications.

f) GACA will officially send the said certificate/approval and the required associated operations specifications to the applicant.

g) The GACA Foreign Training Center Certificate will be valid for 24 calendar months from the date of issuance or from the date that is renewed unless otherwise such approval is expired, cancelled, suspended or revoked.

h) To renew the Foreign Training Center Certificate/Approval, the applicant must continue meets GACA requirements for the said approval/certificate.

**A. Certificate.** The Foreign Training Center Certificate and (Ops.Specs) issued that authorize providing training and checking under GACAR Part 142 (Foreign Training Center Certification) and any other related GACARs.

**B. Record.** A record on file consisting all required documents and forms that are listed in Part (F) in this section.

**C. In case of Denial,** record must have at least, but not limited, the following:

- Written notification to the applicant denying the certification.
- Indication of the return of all documents to the applicant, if required.

**D. Letter Confirming Termination.** A letter to the applicant confirming termination of the certification process per the applicant's request.

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### **3.8.2.27. Certification Phase Summary.**

When all certification requirements and process have been met, GACA will issue a Foreign Training Center Certificate.

#### **A. GACA Office File/record**

The foreign training center certification folder must contain at least the following:

1. The letter of intent.
2. The Application form for the certificate issuance.
3. Copy of the Foreign Training Center's Certificate and/or Operations Specifications (The approval that issued by GACA
4. Copy of the valid Foreign Training Center Certificate issued by its competent authority (ICAO Contracting State).
5. Copy of all training center's required manuals (hard or soft copies) with the pertinent GACA review and approval/acceptance.
6. Foreign Training Center certification process form.
7. Completed certification job aid (Audit/Inspection Compliance checklists).
8. Copy of Examiner/Evaluator Acceptance form..
9. Copy of Examiner/Evaluator Acceptance/Approval letter (GACA).
- 10 .Copy of Examiner/Evaluator Approval/Acceptance (ICAO Contracting State (Competent Authority).
11. Copy of Examiner/Evaluator required documents such as License(s), certificate, etc.
12. Instructor (TCI/SFI/TRI) Acceptance form.
13. Copy of Instructor (TCI/SFI/TRI) Acceptance letter (GACA Acceptance).



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14. Copy of Instructor (TCI/SFI/TRI) Approval/Acceptance letter (ICAO Contracting State (Competent Authority) Approval/Acceptance).
15. Copy of Instructor required documents such as License(s), certificate, etc.
16. Copy of the schedule of events.
17. Summary of any difficulties encountered during any phase of the certification if any.
18. recommendations for future surveillance.
19. Copies of leases, agreements, and contracts, if applicable.
20. Compliance statement prepared by the applicant.
21. Any correspondence between the applicant and GACA.
22. Copy of fees slip.

**B. Issuance of Certificate and Operations Specifications:** In the case of a satisfactory certification process, GACA will issue a Foreign Training Center Certificate in addition to the appropriate operations specification.

**C. Denial:** In case of unsatisfactory certification process as determined by GACA, a letter of certification denial will be issued to the applicant briefly explaining the reasons for denial.

### 3.8.2.29. FUTURE ACTIVITIES.

**A. Conduct Surveillance.** According to the Flight Operations Department Safety Oversight-Surveillance program, GACA ASI(s) will conduct a comprehensive Audit/Inspection on the certificated foreign training center at appropriate intervals, at least one time during the GACA certification validity (24 calendar months), or more, as required, to assure the continuous compliance of the foreign training center in compliance with GACA requirements and adherence to its issued operations specifications.

**B. Renewal of Foreign Training Center certificate/approval.** Conduct a renewal certification prior to the expiry date endorsed on the Certificate. The Foreign Training Center Certificate renewal process is similar to the initial certification requirements, process and procedures except that the

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applicant can start the said process by the formal application phase with no need for the pre-application phase process. The renewal process may be performed by a qualified GACA Aviation Safety Inspector.

**C. Amendments to the Certificate.** Amend the training center's certificate or (Ops. Specs) upon the training center's request or the GACA's determination.

### Appendix 1- Foreign Training Center Instructor (TCI/SFI/TRI) Acceptance

#### 1.Foreign Training Center's Instructor Acceptance requirements:

In the case of flight instruction (on FSTDs or Aircraft) provided in a Foreign Training Center that is certificated by an ICAO contracting state and located outside KSA, GACA may issue a Training Center Instructor Acceptance for the Instructor who is competent and qualified to conduct the required training provided that the applicant (instructor):

- a. Holds or has held a pilot license issued in accordance with ICAO Annex 1 to the Chicago Convention by the ICAO Contracting State;
- b. Holds a current instructor certificate/approval (SFI/TCI/TRI) and rating(s) appropriate to the instructions to be given, issued by the ICAO Contracting State.
- c. Holds at least an equivalent license, rating, or certificate to the one for which he/she is authorized to instruct and, in any case, at least a CPL. For ATPL training, the Instructor must hold or has held an ATPL;
- d. Complies with the requirements established in GACAR-142 for the issuance of the relevant instructor certificate/authorization or at least with ICAO Annex-1 standards;
- e. Holds the same type of rating for which he is authorized to instruct/train.
- f. Complies with the ICAO Contracting State's Competent Authority's requirements for Pilot Certificate/License, Rating(s) and Instructor Rating (issuance and renewal requirements).
- g. Demonstrates to GACA an adequate level of knowledge of the applicable GACA rules and regulations to be able to exercise instructional privileges in accordance with GACA PART 142 and any other applicable GACARs.

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- h. Has updated records (personal and training) at the foreign training center, including all required information, documents, copy of License(s), initial and recurrent training, standardization, etc.
- i. TCI/SFI/TRI Applicant should be acceptable to GACA ASI or qualified examiner evaluation through a TCI competency assessment which should be conducted by observation session of training for the applicant (TCI).
- j. GACA may designate a qualified evaluator/examiner other than GACA ASI, on behalf of GACA, to conduct the required evaluation for the applicant (TCI), provided that the designated person meets GACA requirements and approved for that task or GACA may delegate this task to the approved Foreign Training Center.

### **2. Privileges**

- a. After completion GACA acceptance requirements and process, GACA may issue the appropriate instructor acceptance which will include his/her privilege(s) in accordance with the applicable GACARs.
- b. GACA may set any sought restriction(s) on the training center's instructor acceptance privilege(s)

### **3. Foreign Training Center Instructor (TCI/SFI/TRI) acceptance process and procedure**

- a. The applicant instructor will fill and signed GACA application form and submit it to GACA through the Foreign Training Center, attached with all required documents that are listed in the applicable GACA form.
- b. GACA ASI will review the application form and all supporting documents, for completeness and compliance with the applicable requirements.
- c. GACA ASI will check the applicant License, Rating(s) and Instructor Certificate/Approval and any other required documents.
- d. A GACA ASI or a qualified designated examiner/evaluator in accordance with GACAR Part-183, will evaluate the applicant's competency by observing training sessions in a FSTD delivered by the applicant including briefings and debriefings.

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- e. A GACA ASI or a qualified designated examiner/evaluator in accordance with GACAR Part-183, will fill the Instructor Competency Assessment form and the Foreign TCI application form for the applicant (including Satisfactory or Unsatisfactory results).
- f. A GACA ASI or a qualified designated examiner/evaluator in accordance with GACAR Part-183, should assure the use of standard procedure, guidance materials, and instructor's handbooks by the applicant instructor while conducting training.
- g. If the applicant (Training Center Instructor) passes the assessment (Satisfactory Performance) and complies with GACA acceptance requirements, GACA will issue an instructor acceptance letter for the applicant(s).
- h. The GACA instructor acceptance letter/authorization will reflect the instructor's privilege(s) and restriction(s), if applicable, in accordance with the relevant GACARs.
- i. In case of an applicant (TCI/SFI/TRI) fails to meet GACA acceptance requirements, his/her application will be rejected.
- j. A Foreign Training Center's Instructor Acceptance letter/authorization is valid for (24) calendar months from the date of issuance or renewed.
- k. To renew the Foreign Training Center Instructor Acceptance, the applicant must meet the applicable GACA requirements and follow the relevant process and procedure in this section, except paragraph (d) of this section if applicant has conducted an instructional/training session of flight on FSTD or Airplane, as applicable, and observed by GACA ASI or Qualified Designated Examiner/Evaluator during his/her acceptance validity, otherwise applicant must comply with the said Paragraph (d) and all other related GACA acceptance requirements.

### **Appendix-2 Examiner/Evaluator (TCE/SFE/TRE) Acceptance**

#### **1. Foreign Training Centers' Examiner/Evaluator Acceptance requirements:**

In the case of skill tests/check and/or proficiency checks provided by a Foreign Training Center, GACA may issue an examiner/evaluator acceptance authorization to a qualified and competent examiner/evaluator, provided that the applicant:

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- a. Holds or has held an appropriate pilot license issued by the ICAO Contracting State in accordance with ICAO Annex 1 standards to the one for which he is authorized to conduct skill tests/checks, proficiency checks or assessments of competence, and in any case at least a CPL. For ATPL check, examiner must hold or has held ATPL;
- b. Holds ratings that are equivalent to the one for which he is authorized to conduct skill tests/checks, proficiency checks or assessments of competence;
- c. Holds the same type rating for which he is authorized to conduct skill tests/checks, proficiency checks or assessments of competence.
- d. Complies with the requirements established by GACA for the issuance/renewal of the relevant examiner acceptance/approval or at least ICAO Annex 1 standards;
- e. Demonstrates to GACA an adequate level of knowledge of GACA's relevant regulations and requirements as well as aviation safety rules in exercising examiner/evaluator privileges in accordance with GACA requirements.
- f. Holds a valid examiner/evaluator certificate/approval from the ICAO Contracting State.
- g. In compliance with the initial and recurrent training and checking, standardization, and others that are required for examiner/evaluator certificate/approval in accordance with GACA requirements or at least ICAO Annex 1 standards.
- h. Passes the foreign evaluator/examiner acceptance evaluation that is conducted by the GACA ASI or a designated Qualified Examiner/Evaluator.
- i. GACA may designate a qualified evaluator/examiner in accordance with GACAR Part-183, on behalf of GACA, to conduct the required evaluation for the foreign training center's (TCE), Provided such designee meets GACA requirements in accordance with GACAR Part-183.
- j. GACA may delegate the required assessment/evaluation for a foreign training center examiner/evaluator acceptance authorization to the approved Foreign Training Center provided that the Foreign Training Center should keep a consistent compliance with the applicable GACA standards, requirements, process and procedures.

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### **Privileges**

-After completion of all GACA acceptance requirements and process, GACA may issue an examiner/evaluator acceptance authorization/certificate that includes his/her privilege(s) to conduct check/test for GACA License holders and GACA certified air operators and organizations in accordance with the applicable GACAR requirements.

- GACA may set restriction(s) on the Foreign Training Center's Examiner/Evaluator acceptance privilege(s).

### **Foreign Training Center Examiner/Evaluator (TCE/SFE) acceptance process and procedure**

1- The applicant will fill and sign GACA application form and submit it to GACA through the applicable foreign training center attached with all required documents.

2- The GACA ASI inspector will review the application form and all supporting documents.

3- The GACA ASI will check the applicant License, Ratings, Instructor Certificate/Approval, Examiner/Evaluator certificate or Approval, to make sure that all required documents, certificate(s), approval(s), etc., are current and valid.

4- The GACA ASI or a qualified designated examiner/evaluator under GACAR Part-183 will evaluate the applicant's (Examiner/Evaluator) competency and eligibility by observing test/check sessions on an FSTD including briefing and debriefing.

5- The ASI or Designated Examiner will fill and sign the Examiner Assessment form and the concerned part of the application form for the applicant.

6- The ASI or Designated Examiner will make sure that the applicant properly utilizes standard processes and procedure, SOPs, guidance material or examiner handbook/manual, etc., for testing/checking.

7- If the applicant (Training Center Examiner/Evaluator) meets GACA requirements and passes the evaluation, GACA ASI will fill and sign the concerned part of the applicant's application form for issuance of the acceptance authorization.

8- GACA Flight Operations will issue Foreign Training Center Examiner/Evaluator Acceptance

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authorization.

9- Training Center Examiner/Evaluator privilege(s) will be reflected in his/her acceptance authorization privilege(s), limitations and restriction(s), if required. GACA may put restriction(s) on the examiner authorization.

10- In case an applicant fails to meet GACA requirements, his application will be rejected.

11- Foreign Training Center Examiner Acceptance authorization/certificate is valid for 24 calendar months from the date of issuance or renewal.

12- To renew the Foreign Training Center Examiner Acceptance authorization, the applicant should follow all applicable process and procedure that prescribed in this section, provided the applicant must conduct at least one check/test during the validity period observed by GACA ASI or the Designated Examiner to comply with GACA requirements.

13. In case the Evaluator/Examiner has conducted skill test, proficiency check, or assessment of competence during the validity period of his GACA TCE acceptance authorization and observed by GACA ASI or the Designated Examiner, no need for another assessment unless otherwise determined by GACA.

### **Appendix-3 Evaluation of a Foreign Training Center's Certifying Authority's Safety Oversight Capabilities and Record**

#### **A. General**

1- Upon receiving a request from an applicant for the certification of a foreign training center, after the formulation of the certification team, and prior to starting the pre-application phase, the certification team should perform an evaluation on the safety oversight capabilities and record of the competent authority of the ICAO Contracting State who certificated the foreign training center;

2- The certification team will establish contact with the appropriate person(s) within the foreign training center's competent authority in coordination with the foreign training center.

#### **B. Evaluation of the Foreign Training Center's Competent Authority:**

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- 1) The certification team will perform an evaluation on the safety oversight capabilities and record of the foreign training center's competent authority and compile an evaluation report accordingly.
- 2) Upon satisfactory/unsatisfactory evaluation, the certification team will either proceed, or terminate the process accordingly.
- 3) The evaluation is necessary in order for the GACA to have confidence in the validity of the certificates and licenses associated with the foreign training center, and in the level of certification and oversight applied to the activities of the foreign training center by the certifying authority.
- 4) Inspectors can obtain information on the safety oversight capabilities, and the level of compliance with ICAO Standards, of another State by accessing information from the ICAO Universal Safety Oversight Audit Program (USOAP). This information is available on the ICAO website <http://www.icao.int> and accessible through the Flight Safety Information Exchange (FSIX) – Safety Oversight Information – Audit Reports (1999-2004) or Audit Reports (Comprehensive Systems Approach).
- 5) Further information is available by accessing audit summary reports from the USOAP audits available to States on the ICAO Net <http://www.icao.int/icaonet/>.
- 6) Full information on USOAP audit results, available only to States, can be found on the ICAO Safety Oversight Audit (SOA) Secure Site which is accessible, subject to an appropriate password, through the FSIX home page.
- 7) The SOA Secure Site has been developed to provide all Contracting States with the ability to access safety critical information collected from Contracting States that completed the State Aviation Activity Questionnaire (SAAQ) and compliance checklists in preparation for the USOAP audit and from the safety oversight USOAP audits conducted under the comprehensive systems approach.
- 8) This secure site contains final safety oversight audit reports including the audit findings, recommendations, State's action plan and comments, as well as the comments of the Safety Oversight Audit Section on a State's action plan in addition to all relevant information derived from the Audit Findings and Differences Database (AFDD).
- 9) Inspectors can also obtain information on a foreign training center from another State by application to the competent authority of the training center's certifying state for reports of any



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inspections that may have been conducted.

10) The certification team will compile an evaluation report on foreign training center's certifying authority. The report will at least include the following:

a. Differences filed by the certifying state that are significant to the certification of the training centers and its associated personnel licensing.

b. USOAP issues significant to the certification of the training centers and its associated personnel licensing.

c. Recommendations whether to proceed with the certification process or to terminate it.

11) Upon the decision of GM Flight Operations, the certification team will either proceed with the certification process or terminate it while informing the applicant accordingly.

### **C. Evaluation of the Competent Authority's Oversight over the Foreign Training Center.**

1) Upon establishing contact with the foreign training center's competent authority, the project manager will communicate via the available channels (emails or others) regarding the following:

- i. Stating the purpose of the communication.
- ii. Requesting verification of the foreign training center's certificate and operations specifications that must include the particular areas to be certificated by GACA.
- iii. The possibility of receiving reports on the most recent audit/inspection performed by the competent authority on the foreign training center.

2) The certification team will compile a report on the above task that must at least contain the following:

- i. Verification of the foreign training center's certification by its competent authority and its pertinent operations specification.
- ii. If available, a review of the audit/inspection performed by the competent authority on the foreign training center highlighting significant non-conformance items if any.
- iii. Recommendations whether to proceed with the certification process or to terminate it.

3) Upon the decision of GM Flight Operations, the certification team will either proceed with the certification process or terminate it while informing the applicant accordingly.

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**Appendix 4. Foreign Training Center 142 Application Forms and checklists**

**Foreign Training Center 142 Application Forms**

1. Foreign Training Center 142 Certification/Approval (Issuance/Renewal) Application Form.

<https://gaca.gov.sa/web/en-gb/media/01-foreign-training-center-142-certification/approval-issu/renw>

2. Foreign Training Center Certification/ Approval Process and Procedures.

<https://gaca.gov.sa/web/en-gb/media/02-foreign-training-center-certification/-approval-pandp>

**Foreign FSTDs Qualifications Certification/Approval Application Form**

3. Foreign Training Center 142 FSTDs Qualifications Certification/Approval Acceptance (Issuance/Renewal) Application Form.

<https://gaca.gov.sa/web/en-gb/media/03-foreign-training-center-142-fstds-qualifications-cert>

**Foreign Training Center Evaluator/Examiner (TEC/SFE/TRE) Authorization Acceptance Application Form**

4. Foreign Training Center 142 Evaluator/Examiner (TCE/SFE/TRE) Authorization (Issuance/Renewal) Application Form.

<https://gaca.gov.sa/web/en-gb/media/04-foreign-training-center-142-evaluator/examiner-tce/sfe/tre>

**Foreign Training Center Instructor (TCI/SFI/TRI) Authorization Acceptance Form**

5. Training Center 142 Instructor (TCI/SFI/TRI) Authorization Acceptance (Issuance/Renewal) Application Form.

<https://gaca.gov.sa/web/en-gb/media/05-foreign-training-center-142-instructor-tci/sfi/tri>

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**CHAPTER 9. THE CERTIFICATION PROCESS FOR PART 143**

**Section 1. Specific Part 143 Certification Guidance**

**NOTE:** This guidance to be developed at a later date.

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**CHAPTER 10. THE CERTIFICATION PROCESS FOR PART 144**

**Section 1. Specific Part 144 Certification Guidelines**

**NOTE:** This guidance to be developed at a later date.

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### **CHAPTER 11. THE CERTIFICATION PROCESS FOR PART 145**

#### **Section 1. Part 145 Policies & Procedures**

**3.11.1.1. PURPOSE.** This section explains the policies and procedures for General Authority of Civil Aviation Regulation (GACAR) Part 145 repair stations.

**3.11.1.3. DEFINITIONS.** All definitions and terms utilized in conjunction with the certification of a GACAR Part 145 repair station are located in GACAR Part 1.

**3.11.1.5. CAPABILITY LIST (CL).** A certificated repair station with a limited rating may perform maintenance, preventive maintenance, or alterations on an article if listed on a current CL acceptable to the President or on the repair station's operations specifications (OpSpecs).

**A.** If the repair station chooses to use a CL, the repair station manual (RSM) must:

- Contain procedures for revising the CL and notifying GACA
- Include how often the GACA will be notified of revision
- Contain procedures for the self evaluation required under GACAR § 145.89 (d)(2) for revising the CL
- Describe the methods and frequency of such evaluations
- Contain procedures for reporting the results to the appropriate manager for review and action

**B.** The CL itself may be a separate document or part of the repair station manual (RSM); however, the RSM must contain the procedures for revising the list and for performing the self evaluation.

**C.** If the repair station elects to maintain a separate CL, it must perform a self evaluation before adding an article to the CL. The individual(s) performing the self evaluation should be familiar with the repair station processes and be able to perform an audit to determine compliance with GACAR Part 145. The self evaluation procedures in the RSM should ensure that the repair

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station has:

- The appropriate limited rating
- Adequate housing and facilities
- The recommended tools, equipment, and materials
- Current technical data
- Sufficient qualified personnel

**D.** The repair station must report the results of the self evaluation to the appropriate repair station manager for review. If the self evaluation was satisfactory, the CL may undergo revision. The repair station can submit the revised list and any other necessary technical data with a transmittal document to the principal maintenance inspector (PMI) at the GACA.

**NOTE:** Transmittal documents include cover letters, memos, e mails, faxes, or any other media acceptable to the GACA.

**E.** A repair station that chooses to use a CL must maintain a current CL acceptable to the GACA, identifying each product and article by make and model or other nomenclature designated by the manufacturer. A CL should not use the term “all” to denote the make or model. “Series” may describe the model, provided the term does not denote a broad classification that is not well defined. For example, “Cessna 150 series aircraft” may be an appropriate entry; whereas “Cessna 100 series aircraft” is a broad classification which includes many substantially different models.

**F.** If the repair station does not maintain or have the necessary tools, equipment, housing, facilities, and trained personnel to perform the required maintenance on the article(s) listed on the CL, delete the article(s) from the CL.

**NOTE:** The repair station must maintain, or have written evidence that it can obtain the tools and equipment required to maintain the articles on the CL.

**G.** If the capabilities are maintained on OpSpec A3, each article will be listed by make, model, or manufacturer’s name under each limited rating. If the repair station maintains a separate CL, the OpSpec A3 will indicate that the certificate holder has the authorization to use a CL as revised.

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**3.11.1.7. ADDITIONAL FIXED LOCATIONS.** A repair station may be granted authorization to have additional fixed locations (facilities) under its certificate if the additional locations provide suitable facilities that meet the requirements of GACAR § 145.39(a) so that the work can be done in accordance with the requirements of GACAR Part 43. All locations will operate under the authority of a single repair station certificate.

**A.** Additional fixed locations are not separate facilities and must collectively be considered one repair station. Another repair station certificate is not required. However, the repair station must have procedures in its manual to describe how it will operate in this manner and remain compliant with its manual and the requirements of GACAR Part 145. OpSpec A101 must list each additional fixed location.

**B.** Additional fixed locations may be particularly useful when other laws require a repair station to use remote sites when performing some maintenance actions, such as functional testing of turbine engines. The GACA may find that the additional fixed locations do not have a significant impact on the maintenance performed, provided the manual has sufficient procedures to ensure the airworthiness of articles being maintained.

**C.** The primary facility must have full control over all additional fixed locations. It is not necessary that each location be completely equipped since tools, equipment, parts, etc., can be transported between facilities.

**D.** The repair station must apply and be approved for the use of additional fixed locations before exercising the privileges of its certificate and ratings at these facilities. The application must list each facility and its physical address. The repair station must submit a revision to its manuals detailing the procedures it will follow when transporting equipment or parts, how it will ensure adequate and appropriate personnel are available at each site when needed, and how it will continue to meet the requirements of GACAR Part 145.

**3.11.1.9. MAINTENANCE FUNCTIONS.** The GACA must approve maintenance functions before a certificated repair station contracts out the performance of maintenance, preventative maintenance, or alterations of a product or article. Maintenance functions requiring approval are those items for which a repair station is rated to maintain, but chooses to contract out that maintenance, as referenced in GACAR § 145.79(a) to any maintenance provider.

**3.11.1.11. CONTRACT MAINTENANCE.** A repair station must have the material and equipment necessary to perform the functions appropriate to its rating. However, it does not need to have the

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tools and equipment for functions it has authorization to contract out according to its GACA approved list of maintenance functions. The repair station must request and obtain approval before it can contract out a maintenance function. If the GACA approves the contracted maintenance function, the repair station can determine who will perform the maintenance.

**NOTE:** A repair station may contract maintenance functions to both GACA certificated and non GACA-certificated facilities. The GACA must approve all maintenance functions for both certificated and non-certificated providers. Only those functions that are within the scope of the repair stations ratings may receive approval.

**A.** If a repair station contracts out a maintenance function to another GACA certificated repair station, the originating repair station must determine that the contracted repair station has the proper rating to perform the maintenance. The repair station doing the maintenance is responsible for providing the approval for return to service of maintenance performed on each article. The repair station must properly process products and articles received from a certificated facility through its own receiving inspection procedures before performing further maintenance.

**B.** If the repair station contracts to non-GACA certificated facilities, the repair station must include provisions that allow the GACA to inspect and observe the work performed on those products and articles at the non-certificated facilities. The individual in charge of the contract maintenance program may have to accompany the GACA during these inspections. These inspections may determine if the repair station is able to continue to contract the maintenance functions to this source and ensures that:

- The non-GACA certificated facility follows a quality control program equivalent to the GACA-certificated repair station's system with respect to the work performed for the certificated repair station
- Testing and/or inspection verify the work performed on the product or article
- The product or article is airworthy with respect to the work performed by the non-certificated source
- The RSM includes a procedure ensuring that contracts contain a provision for GACA inspections

**C.** The repair station is responsible for approving for return to service any product or article



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which has had work performed on it and for ensuring the product or article's airworthiness. Inspection procedures within the manual must enable the repair station to determine the airworthiness of the work performed on each product or article received. If the repair station cannot determine the quality of the contracted work by inspection or test, it can contract the work to only a GACA certificated facility that is able to inspect the performed work for compliance with GACAR Part 43.

**NOTE:** It is not enough for the contracting repair station to give its quality control manual (QCM) to the non-certificated contractor and assume the contractor will follow proper procedures. The certificated repair station must provide adequate surveillance to ensure the contractor follows its quality control procedures.

D. GACAR Part 43 authorizes a certificated mechanic to provide approval for return to service after performing maintenance, preventive maintenance, or alterations. The same performance requirements as the repair station also hold for this person. The mechanic approves the product or article for return to service by providing documentation that complies with GACAR § 43.11. The repair station would have no requirement to conduct an on site inspection of the mechanic's facilities.

**3.11.1.13. MAINTENANCE PERFORMED AT ANOTHER LOCATION.** A certificated repair station may temporarily transport material, equipment, and personnel needed to perform maintenance, preventive maintenance, alterations, or certain specialized services on an article for which it is rated to a place other than the repair station's fixed locations if either of the following conditions is met:

- The work is necessary due to a special circumstance, as determined by the President
- It is necessary to perform such work on a recurring basis, the repair station's manual includes the procedures for accomplishing maintenance, preventive maintenance, alterations, or specialized services at a place other than the repair station's fixed locations, and the President has authorized the activity in OpSpec D100, Special Circumstance Work at Another Location

**A. Special Circumstance Work.** If the repair station does not include a procedure in its manual for work away from station for emergency repairs, then it must submit each request to the PMI for evaluation on a case by case basis. The PMI will make a determination and inform the repair station of any parameters that it must follow to perform the requested maintenance. The repair station may elect to put a procedure in its manual to cover special circumstances for emergency repair (aircraft on ground, preparation for special flight permit, etc.).

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1) The GACA will review the manual procedure to verify it contains information on how the repair station will notify the PMI when it must perform work away from station. The PMI must verify this procedure is for emergency purposes only and not on a recurring basis or extended work away from station.

2) The PMI will keep a copy of the request, the repair station's procedure, and the PMI's approval document in the repair station file. The repair station must meet the following criteria to provide maintenance away from its fixed location for extended periods of time:

- a) Extended contracted work away from station must not exceed one year.
- b) The repair station must furnish its own tools and equipment unless it has procedures for leasing or contracting tools and equipment that comply with the regulations and the procedures in the RSM.
- c) The repair station must ensure its personnel understand that they must follow repair station procedures when performing maintenance away from station.
- d) The repair station must have all required data to complete the contracted maintenance at the location.
- e) The request to the GACA must include the aircraft (make/model/series), the project to accomplish, the duration of the maintenance, the location of the maintenance, and a statement that the temporary facilities are suitable for the repair station's maintenance.
- f) Housing that is suitable for one repair station's use may not automatically be suitable for the purposes and scope of maintenance for another repair station's ratings, privileges, or limitations. The repair station requesting to provide maintenance away from its fixed locations for extended periods of time must evaluate the housing and facilities where the maintenance will take place to ensure the location meets the requirements of the rule.

**B. Recurring Basis Work.** A repair station may perform maintenance away from its fixed location on a recurring basis when necessary, such as to perform mobile field services. This will allow maintenance away from the repair station's fixed location as a part of everyday business rather than under special circumstances only.

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- 1) If the repair station intends to perform maintenance on a recurring basis at places other than its fixed location, the manual must include procedures for accomplishing the maintenance, preventive maintenance, alterations, or specialized services.
- 2) The procedures must address issues related to transportation, tools, equipment, personnel, technical data, and records. These procedures should ensure the repair station at the remote location remains in compliance with GACAR art 145 and its manual, just as if it performed the maintenance at the repair station's fixed location.
- 3) Should the repair station elect to use mobile repair units, the RSM must have clear procedures on:
  - a) How it will control the work away from station and will be clear in that the mobile units will bring no work into them.
  - b) Identifying where the PMI may find each unit, should the PMI need to provide surveillance on them and spot check the work they perform.
  - c) Providing a contact person for each unit, along with contact information (telephone/e mail).
  - d) How it will control all calibrated equipment and technical data in each unit.
  - e) How often the repair station will audit each unit and make the findings available to the PMI. The repair station should provide the PMI with a schedule of audits so the PMI may accompany an audit as part of the surveillance program.
  - f) Any other requirement the PMI deems necessary for the type of operation requested.

**3.11.1.15. CHANGE OF LOCATION, HOUSING OR FACILITIES.** GACAR Part 145 prescribes that the President must approve, in writing, any change of a repair station location, housing, or facilities.

**3.11.1.17. TAKING CORRECTIVE ACTIONS ON DEFICIENCIES.** GACAR § 145.91(c)(1)(x) states that the QCM must include procedures used for taking corrective action on identified deficiencies. A corrective action is an action to remedy an undesirable situation and to prevent its recurrence. The correction of deficiencies is normally an integral part of a repair station's

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improvement process, and could include revisions to procedures that were not working properly.

**A.** Corrective action requires that a fact based investigation determine the root cause or causes in order to eliminate them. Corrective action is applicable in two situations: before the product or article receives approval for return to service, and after the product or article has received approval for return to service.

**B.** Upon detection of a deficiency before the approval for return to service, the repair station should follow its procedures describing how to accomplish the corrective work. Upon detection of a deficiency after the approval for return to service, the repair station should follow its procedures to notify the GACA and the owner/operator of any potential problems and recall any un-airworthy product or article. The objective of the investigation into the cause of the deficiency, and the corrective actions taken, is to prevent a recurrence of the same or similar problems.

**C.** The procedures in the QCM should include a system for documenting any deficiencies and the corrective actions taken to prevent a recurrence. The system should provide the ability to track any open corrective action requests and the date the corrective action is due. The program should also include audits of the corrective action(s) taken to ensure effectiveness. The program should also track these audits to ensure their completion in a timely fashion.

**3.11.1.19. SAFETY MANAGEMENT SYSTEMS (SMS).** GACAR Part 145 operators must have and maintain an SMS that meets the requirements of GACAR Part 5 and is acceptable to the President.

**3.11.1.21. RATINGS.** A revised or amended rating is not an added rating. If the repair station desires to add an additional aircraft under the present rating, it will be a change or an amendment to the rating and will not require a reissue of the certificate. If the repair station uses a CL as authorized by GACAR § 145.97, then the GACA will receive a copy of the change, and the OpSpecs will not need changing. If the repair station does not use the provisions of GACAR § 145.97, then an amendment to the rating will require a change of the OpSpec A3 to add the aircraft.

### **3.11.1.23. AIRFRAME RATINGS AND CLASSIFICATIONS.**

**A. Airframe Maintenance or Alteration.** Repair stations may perform maintenance and alterations of airframes and airframe components in accordance with GACAR Part 43 on any aircraft for which it is rated and within the limitations in its OpSpecs. This rating also allows the removal and installation of powerplants, propellers, radios, instruments, and passenger

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convenience items, but not the performance of maintenance to internal sections of these components.

**B. Airframe.** Airframe means the fuselage, booms, nacelles, cowlings, fairings, airfoil surfaces (including rotors but excluding propellers and rotating engine airfoils), and landing gear of an aircraft and their accessories and controls.

1) Repair stations require an appropriate airframe rating when performing maintenance or alterations on articles such as:

- Seats
- Seat belts
- Berths
- Galleys
- Lavatories
- Cabinetry
- Cabin/cockpit interior foam and fabric upholstered parts
- Dividers
- Curtains
- Windows
- Any other interior structure

2) Additionally, repair stations require an appropriate airframe rating when performing maintenance or alterations on external aircraft structures or fuselage articles such as:

- Aircraft composite components
- Electrical wiring harnesses

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- Landing gear removal and installation
- Doors and the attaching components
- Fuselage repairs or alterations
- Flight controls and attaching hardware

3) Similarly, articles of all cargo configured aircraft are considered part of the airframe and require an appropriate airframe rating. These include:

- Unit loading devices
- Cargo pallets or containers
- Bulkheads
- Ball mats
- Floor roller tracks
- Floor or side locks

4) Performing maintenance or alterations on articles associated with an emergency medical support installation, such as stretchers, litters, and supporting hardware or structures also require an appropriate airframe rating.

5) Repair stations performing a similar maintenance function, but using different processes, could conceivably hold different limited ratings.

**NOTE:** A repair station may maintain and alter any airframe or part thereof for which it has a rating. However, it may not maintain any engine or propeller installed on the aircraft without the appropriate rating. Nor may it maintain or alter any part thereof unless it has evaluated its capability and assured it has the tool, equipment, data, and personnel to do so. Maintaining powerplants, propellers, radios, and instruments requires additional ratings.

### 3.11.1.25. POWERPLANT RATINGS AND CLASSIFICATIONS.

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**A. General.** Repair stations may perform maintenance and alterations of powerplants, but not to adjoining airframe or propeller components. Repair stations may remove access panels, doors, and nacelles, as needed, to gain access to the powerplant. This rating does not include the installation of powerplants to the aircraft. A powerplant rated repair station will also need a limited airframe rating to remove or install powerplants on the aircraft.

**B. Components and Articles.** Components and articles included in the powerplant rating are turbo superchargers, magnetos, carburetors, appurtenances, and other articles necessary for the proper operation of the powerplant. This rating does not include removal and installation of the powerplant onto the aircraft. If a repair station wishes to maintain and also install the powerplant, it must obtain an appropriate limited airframe rating.

**NOTE:** The guidance on limited ratings provided in paragraph 3.11.1.35 also applies to limited powerplant ratings.

**C. Limited Powerplant Ratings.** Limited powerplant ratings must identify the powerplant manufacturer and the make/model of the powerplants the repair station intends to maintain. This type of rating, unless it includes limitations, allows complete repair or alteration of the powerplants listed.

1) Powerplant maintenance has also found numerous “niche” businesses that may include the performance of a specific maintenance function on a wide variety of powerplants. In this case, the OpSpecs would identify the manufacturer, but the make/model column could contain “all models” instead of identifying each model. The limitations column would identify any limitations to its maintenance capabilities, such as, “Limited to plasma spray operations on Pratt and Whitney series turbine blades.” This rating allows the repair station to plasma spray all Pratt and Whitney turbine blades, regardless of the powerplant model the blades were from. The OpSpecs would also need to list additional manufacturers if the repair station has the technical data, tools, and equipment to perform this maintenance function on those additional powerplants.

2) OpSpecs should identify the manufacturer and make/model authorized. Use of the term “all” may be appropriate when denoting the make/model in certain rare occasions. However, the PMI must use good judgment and carefully consider potential unintended consequences. If the inspector is not careful, use of the word “all” could inadvertently authorize work beyond the desired intent. For example, use of the word “all” may be

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appropriate to authorize maintenance on certain Lycoming engines when used with a qualifier such as “all horizontally opposed reciprocating engines.” Without such a qualifier, it is unclear if the PMI intended to authorize maintenance on all Lycoming engines, including Lycoming turbine engines and Lycoming radial engines.

**NOTE:** Because maintenance procedures, tools, equipment, and technical data may differ between manufacturers, Inspectors must ensure that a repair station obtains the appropriate supporting requirements for the capabilities it is requesting. Using tools, equipment, or data from another manufacturer conflicts with GACAR Part 43 requirements and the GACA does not endorse this practice.

**D. Auxiliary Power Units (APU).** An APU is an accessory by virtue of its function of providing power to the aircraft when the aircraft is not in flight. However, some of the newer models of aircraft also use APUs as powerplants. Inspectors should consider those articles used as the primary means of propulsion for these newer aircraft as powerplants, not APUs, and should rate repair stations appropriately. However, repair stations performing maintenance or alterations on APUs used strictly to produce auxiliary power for transport category aircraft should obtain an accessory rating.

**3.11.1.27. PROPELLER RATINGS AND CLASSIFICATIONS.** A repair station certificated as a propeller, powerplant, or airframe rated repair station may install propellers and the attaching hardware. Because the process of installing a propeller does not significantly differ between aircraft and powerplants versus a propeller test bench, repair stations with an airframe, powerplant, or propeller rating with appropriate privileges and limitations may install propeller assemblies.

**NOTE:** The guidance on limited ratings provided in paragraph 3.11.1.35 also applies to limited propeller ratings.

**NOTE:** Because maintenance procedures, tools, equipment, and technical data may differ between manufacturers, PMIs must ensure that repair stations obtain the appropriate supporting requirements for the capabilities that the repair station is requesting. Using tools, equipment, or data from another manufacturer conflicts with GACAR Part 43 requirements and the GACA does not endorse this practice.

### 3.11.1.29. RADIO AND INSTRUMENT RATINGS AND CLASSIFICATIONS.

**A. Radio Rating.** The radio rating divides into communication, navigation, and radar classes.



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The basis of Class 1 and Class 2 is the intended function in the airplane, whereas the basis of Class 3 is a specific technology or mode of operation. Modern avionics equipment typically integrates communications and navigation functions into a single appliance. Also, radar equipment or a radio that operates using pulse technology also serves communication and/or navigation functions. The combination of functionality and operations of these articles may require the repair station to attain a rating for all three classes, depending on the complexity of the article.

1) *Class 1: Communication Equipment.* Radio transmitting and/or receiving equipment used in an aircraft to send or receive communications in flight, including auxiliary and related aircraft inter phone systems, electrical or electronic inter crew signaling devices, and similar equipment.

**NOTE:** Does not include equipment for navigating or aiding navigation of aircraft.

2) *Class 2: Navigational Equipment.* A radio system used in an aircraft for en route or approach navigation. This does not include equipment operated on pulsed radio frequency principles, or equipment used for measuring altitude or terrain clearance.

3) *Class 3: Radar Equipment.* An aircraft electronic system operated on radar or pulsed radio frequency principles.

**B. Instrument Rating.** The instrument rating divides into four classes—mechanical, electrical, gyroscopic, and electronic—based on the article’s general principles of operation. Multiple class ratings may be necessary to perform repairs on these articles.

1) *Class 1: Mechanical.* A diaphragm, bourdon tube, aneroid, optical, or mechanically driven centrifugal instrument used on aircraft or to operate aircraft, including tachometers, airspeed indicators, pressure gauges drift sights, magnetic compasses, altimeters, or similar mechanical instruments.

2) *Class 2: Electrical.* Self synchronous and electrical indicating instruments and systems, including remote indicating instruments, cylinder head temperature gauges, or similar electrical instruments.

3) *Class 3: Gyroscopic.* An instrument or system using gyroscopic principles and motivated by air pressure or electrical energy, including automatic pilot control units, turn

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and bank indicators, directional gyros, and their parts, and flux gate and gyrosyn compasses.

4) *Class 4: Electronic.* An instrument whose operation depends on electron tubes, transistors, or similar devices, including capacitance type quantity gauges, system amplifiers, and engine analyzers.

**NOTE:** The guidance on limited ratings provided in paragraph 3.11.1.35 also applies to limited radio and instrument ratings.

**NOTE:** A repair station with a radio rating must also have a limited airframe rating if it removes or installs components, or alters the aircraft.

**3.11.1.31. ACCESSORIES RATINGS AND CLASSIFICATIONS.** The accessory rating divides into mechanical, electrical, and electronic classes, based on an article's principle of operation. The combination of functionality and operations of these articles may require the repair station to attain a rating for all three classes, depending on the complexity of the article.

1) *Class 1: Mechanical.* An accessory that depends on friction, hydraulics, mechanical linkage, or pneumatic pressure for operation, including aircraft wheel brakes, mechanically driven pumps, carburetors, aircraft wheel assemblies, shock absorber struts, and hydraulic servo units.

2) *Class 2: Electrical.* An accessory that depends on electrical energy for its operation, and a generator, including starters, voltage regulators, electric motors, electrically driven fuel pumps, magnetos, or similar accessories.

3) *Class 3: Electronic.* An accessory that depends on the use of an electron tube transistor, or similar device, including supercharger, temperature, air conditioning controls, or similar electronic controls.

**NOTE:** PMIs must ensure that a repair station obtains the appropriate supporting requirements for the capabilities it is requesting. Using tools, equipment, or data from another manufacturer conflicts with Part 43 requirements and the GACA does not endorse this practice.

**NOTE:** The guidance on limited ratings provided in paragraph 3.11.1.35 also applies to

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limited accessory ratings.

### **3.11.1.33. LIMITED RATINGS.**

**A.** The GACA may issue a limited rating to a certificated repair station that maintains or alters only a particular type of airframe, powerplant, propeller, radio, instrument, or accessory, or part thereof, or performs only specialized maintenance requiring equipment and skills not ordinarily performed under other repair station ratings. Such a rating may be limited to a specific model aircraft, engine, or constituent part, or to any number of parts made by a particular manufacturer.

**B.** The GACA issues limited ratings for:

- Airframes of a particular make and model
- Engines of a particular make and model
- Propellers of a particular make and model
- Instruments of a particular make and model
- Radio equipment of a particular make and model
- Accessories of a particular make and model
- Landing gear components
- Floats, by make
- Nondestructive inspection, testing, and processing
- Emergency equipment
- Rotor blades, by make and model
- Aircraft fabric work
- Aircraft painting

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**C.** Limited ratings may incorporate a CL if the repair station has elected to employ one. For example, a repair station without a CL might receive a limited airframe rating for the performance of transponder testing on a specific make/model aircraft, in accordance with GACAR Part 43, Appendix E. A repair station that employs a CL when the transponder make/model and aircraft make/model are listed on the CL (the holder of a limited radio rating would not have removal/reinstallation privileges) could receive a limited airframe or a limited radio rating for the performance of transponder testing.

**D.** A repair station may apply for and receive a repair station certificate and rating for a limited airframe for line maintenance.

1) The performance of inspections and minor flight line repairs to operator aircraft needs the limited airframe. OpSpecs D107 should list all the aircraft, the airlines which contracted the repair station to perform line maintenance, and the locations where line maintenance is to take place.

**NOTE:** A repair station must not perform line maintenance on products and articles that are outside the scope of its repair station certificate and ratings. Additionally, a repair station that has certification to perform line maintenance must not operate at a location that its OpSpecs do not list.

2) Repair stations certificated to perform only line maintenance must meet all of the eligibility requirements of the rule, including the requirement for suitable housing. The housing need not be on the aerodrome property, but must adequately support the maintenance that the repair station is authorized to accomplish. However, the housing should adequately hold the repair station's tools, equipment, technical data, and any owners/operators spare parts for installation in aircraft.

**NOTE:** All certificated repair stations must have suitable housing and facilities. Although GACAR § 145.83(c) allows some deviation from the housing requirement, that requirement is based on the repair station having suitable housing at another location that meets the requirements of GACAR Part 145. If line maintenance is the only maintenance a repair station has certification to perform, the repair station must still meet the housing and all other requirements of GACAR Part 145.

### 3.11.1.35. LINE MAINTENANCE AUTHORIZATION FOR GACAR PARTS 121 OR 135.

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**A.** A repair station may apply for and, if it meets the eligibility requirements for the rule, receive a line maintenance authorization within the scope of their airframe or powerplant rating. A repair station must have an airframe or engine class rating, or a limited airframe or engine rating for the complete aircraft or engine make and model (Boeing B737 or P&W JT8D) to perform inspections and minor flight line repairs to aircraft listed on its OpSpecs.

**B.** The repair station must have a rating for the aircraft or engine on their OpSpec A03 and may only have authorization for line maintenance for those makes and models listed. The line maintenance authorization allows the repair station to inspect powerplants installed on aircraft and to install powerplants, but does not authorize maintenance that exceeds the scope of its ratings.

**C.** OpSpec D107 should list all aircraft makes and/or models, the operators which contracted the repair station to perform line maintenance, and the location(s) where the line maintenance is to take place.

**NOTE:** A repair station must not perform line maintenance on articles that are outside the capabilities of its ratings or the limitations listed in its OpSpecs. Additionally, a repair station certificated to perform line maintenance can only do so at the main base or those locations listed on OpSpec D107.

1) PMIs should not rely solely on manual procedures to detail a repair station's privileges and limitations. The appropriate sections of the repair station's OpSpecs should include privileges and limitations detailed enough to identify the capabilities of the certificate holder.

2) PMIs should review the maintenance or inspection cards to ensure the requirements that the repair station must meet are within the scope and definition of line maintenance. For example, some repair stations have submitted requests to perform "B" checks for air carriers under a line maintenance authorization. Some "B" checks are more complex than others and could result in exposure of critical areas of the airframe to the environment or other contamination if the repair station has no housing or facilities available at the location. Performance of these inspections must be in an enclosed environment to avoid introducing collateral damage into the aircraft, airframe, powerplant, or components.

**D.** Repair stations certificated to perform line maintenance must meet all of the eligibility requirements of the rule, including the requirement for suitable housing. The housing need not

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be on the airport, but must adequately support the maintenance that the repair station has authorization to perform.

- 1) The repair station's housing should provide adequate storage for the repair station's tools, equipment, technical data, and any owner/operator spare parts or components for installation on aircraft.
- 2) Repair stations performing line maintenance do not need a hangar. Housing facilities located near the aerodrome are acceptable, provided they meet the requirements of GACAR § 145.39.

**NOTE:** All certificated repair stations must have suitable permanent housing and facilities. Although GACAR § 145.83(c) allows some deviation from the housing requirement, the basis of that requirement is upon the repair station having suitable housing at another location that meets the requirements of Part 145. The repair station must still meet the housing and all other applicable requirements of GACAR Part 145. Housing need not be on the aerodrome where the line maintenance takes place, but the repair station's OpSpecs must list the address.

**E.** Repair stations must maintain the tools and equipment needed to perform line maintenance. Repair stations may lease seldom used or unique tools as specified in GACAR § 145.15(c) and not maintain them if the repair station has a signed contract from the owner of the tool or equipment. As with all repair stations, the required tools and equipment must either be on the premises and in use during the performance of the work, or the repair station must have a contract that stipulates that the recommended tools are available.

**F.** Authorizing a repair station to perform line maintenance will follow, as appropriate, the same certification procedures found in Section 2 of this chapter.

**G.** Repair stations that may desire to perform line maintenance at more than one location must apply for, and provide the airport and operator information for each. This is limited to repair stations with authorization to provide maintenance on the complete aircraft.

**3.11.1.37. LIMITED RATING FOR SPECIALIZED SERVICE.** An applicant or a certificated repair station that performs specific processes associated with the maintenance, preventive maintenance, or alterations of a product or article receive limited specialized service ratings. Generally, maintenance functions, performed in accordance with an approved process specification,

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receive limited specialized service ratings. A limited specialized service rating allows a repair station to perform specific processes associated with the maintenance, preventative maintenance, or alteration of products and articles, and approve them for return to service.

**A. Limited Rating for Specialized Service.** All repair stations that have a limited specialized service rating use process specifications, in lieu of manufacturer's maintenance data, when performing maintenance or alterations. However, just because a repair station uses a process specification does not mean the repair station needs a limited specialized service rating.

**B. Processes.** The process specification must involve a repair process or work scheme that is novel, unique, or unusual in application, which does not use the manufacturer's data for approving an article to its original condition, and that specifies repair limits. The repair station's OpSpecs must contain the specification used in performing that specialized service. The specification could be a GACA- approved military, civil, or applicant developed specification. Specialized services would include, but not be limited to, welding, heat treating, plating, and plasma spraying.

**C. Materials and Personnel.** The limited specialized service rating would require a repair station to have the housing, facilities, equipment, tools, trained personnel, and data to perform the process on an aviation article. The process specification on the OpSpecs would set forth the minimum standards for performing the generic process (specialized service). For example, the process specification would include an explanation of the housing, facilities, equipment, tools, trained personnel, and data necessary for the overall process. The applicable manufacturer's maintenance manual, air operator manual, or other GACA-accepted or GACA-approved data would define the specific parameters associated with performing the process on the particular aviation article.

**3.11.1.39. EXPERIMENTAL AIRCRAFT.** Per GACAR 14579(c)(3), a certificated repair station may not approve for return to service any experimental aircraft after a repair or alteration performed under GACAR § 43.1(b) unless the repair or alteration was performed in accordance with methods and applicable technical data acceptable to the President. When a repair station operator requests an amended OpSpecs to perform maintenance/alteration of aircraft that have received experimental airworthiness certificates, the following should take place:

**A. Formal Request.** The repair station operator formally requests, in writing, an amendment to the current OpSpecs including the type of aircraft that will undergo maintenance/alteration and the degree of maintenance/alteration that will take place.

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**B. Maintenance/Alteration Plan.** With the written request, the repair station operator must submit for the GACA's approval a documented detailed maintenance/alteration plan for use in performing the maintenance/alteration.

**C. Plan Criteria.** The plan that is to be submitted for approval can be composed of criteria described in the current maintenance regulations, guidance material, applicable technical orders, data published by kit manufacturer's plan designers as a part of the fabrication data, or other information found acceptable to the President.

**D. Issuance and Amendment of OpSpecs.** When the GACA finds the above conditions satisfied and accepts them, amend and issue the OpSpecs. Procedures for subcontracting of work or services must clearly reflect that the item came off an experimental aircraft, engine, or propeller and specifically define the criteria for performing the work.

**E. Reference to Approved Maintenance/Alteration Plan.** The amended OpSpecs must incorporate the reference to the approved maintenance/alteration plan for each make/model of aircraft.

**F. Aircraft Returning to Service.** The repair station will make approval for return to service of aircraft that have received experimental airworthiness certificates upon completion of maintenance/alteration using the following: "I certify that this aircraft (insert make, model, S/N and registration mark) was maintained/inspected/alterd in accordance with the approved maintenance/alteration/ inspection program as delineated in the operations specifications in effect for this (name of repair station) and is in a condition for safe operation. Additionally, the entry will include the total time in service, name, signature, and certificate type and number and/or the number of the repair station."



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### CHAPTER 11. THE CERTIFICATION PROCESS FOR PART 145

#### Section 2. Specific Part 145 Certification Guidance

##### 3.11.2.1. GACA ACTIVITY REPORT (GAR).

A. 3230 (AW) (Certificate)

B. 3376 (AW) (Renew/Amend)

**3.11.2.3. OBJECTIVE.** This section provides guidance for evaluating a repair station applicant under General Authority of Civil Aviation Regulation (GACAR) Part 145.

**3.11.2.5. THE CERTIFICATION PROCESS.** This process provides for interaction between the applicant and the General Authority of Civil Aviation (GACA), from initial inquiry to issuance or denial of a repair station certificate. It ensures that programs, systems, and intended methods of compliance are thoroughly reviewed, evaluated, tested, and integrated throughout the repair station(s).

**NOTE:** In addition to this guidance found in this section, the prospective operator and the GACA should follow the certification process found in Volume 3, Chapter 1, The Generic Certification Process for Air Operators and Air Agencies and the SMS guidance found in Volume 2.

#### A. Pre-Application Phase.

1) *Topics for Discussion.* Discuss with the applicant the following subjects:

a) The necessary technical expertise required by the applicant's proposed organization, to include the following:

- Aviation related experience
- Proposed organizational structure
- Knowledge of the specific maintenance functions to perform

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b) The rating required for the type of work to accomplish.

c) The requirements for sufficient personnel to meet the demands of the proposed repair station. This includes at least one certificated person with appropriate ratings that coincide with the ratings sought.

**NOTE:** For repair stations located within the Kingdom of Saudi Arabia (KSA), the supervisor and the person authorized to approve a product or article for return to service must be certificated under GACAR Part 66. In a small organization, the certificated person could perform both functions.

d) Facility requirements for the ratings sought, to include:

- The need for ventilation, lighting, and control of temperature, humidity, and other climatic conditions to ensure personnel can perform maintenance as required by this part
- The size of the facility
- Manufacturers' recommended or equivalent test equipment
- Special tools, etc.

e) The requirements for current technical data appropriate for the work to perform. The following receive consideration as technical data:

- Airworthiness Directives (AD)
- Instructions for continued airworthiness (ICA)
- Maintenance manuals
- Overhaul manuals
- Standard practices manuals
- Service Bulletins (SB)

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- Other applicable data acceptable to or approved by the GACA

f) The requirements for a Safety Management System (SMS) under GACAR Part 5.

(g) The requirement to provide the GACA with a Point-of-Contact (POC).

2) *Paperwork and Timeframe.* The GACA will provide the Pre-Application Statement of Intent (PASI) (Part 145), to the applicant with instructions for completion. Advise the applicant to submit the completed PASI to the GACA. Inform the applicant that the certification process cannot continue until the review and acceptance of the PASI.

3) *Initiate the Certification Process.* The GACA will review the PASI for acceptance and completeness then contact the applicant to arrange a pre-application meeting.

4) *Conduct Pre-application Meeting.* Meet with the applicant to discuss questions concerning the certification process, regulatory requirements, the formal application and attachments, etc.

- a) Discuss the regulations applicable to the proposed maintenance operation.

5) *Formal Application Attachments.* These include:

- a) SMS documentation required under GACAR Part 5.

b) Repair Station Manual (RSM). This manual will establish how a certificated repair station will conduct business on a daily basis and comply with GACAR §§ 145.87 and 145.89.

c) Quality Control Manual (QCM). This manual will ensure that any article(s) repaired or maintained by a repair station or its contractors will meet the airworthiness criteria established in GACAR § 145.91.

d) *Training Program.* The training program is approved by the GACA and must ensure that each employee assigned to perform maintenance, preventative maintenance, alterations, and inspection functions is capable of performing the assigned task.

e) *Letter of Compliance.* Although not specifically required by GACAR Part 145, encourage the applicant to complete a letter of compliance. The letter of compliance

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will ensure that the GACAR Part 5 and 145 regulatory requirements are addressed during the certification process. This is accomplished by listing, in sequence, each section of GACAR Part 5 and 145. After each section include a brief narrative or specific reference to a manual/document that describes how the applicant will comply with that regulation. Review the letter of compliance to ensure that the applicant has a clear understanding of the regulation and that the proposed method of compliance meets the intent of the regulation.

- f) A letter requesting processing of the application, indicating when facilities, equipment, material, and data will be ready for formal inspection.
- g) When requesting a limited rating, the make and model of the particular item(s) to be maintained and the nature of the work to be performed.
- h) When seeking approval of a Class 2 propeller rating, a list by make of the propeller.
- i) When making a request for a limited specialized service rating, and the applicant develops the specification, advise the applicant that the GACA must review the specification, which may cause some delay in the repair station certification process. If the specification contains data that is a major repair or major alteration, then that data must be GACA-approved under GACAR Part 21.

**NOTE:** The repair station may request a limited rating for specialized services utilizing a civil or military specification currently used by industry. The principal maintenance inspector (PMI) should carefully consider if this specification covers all areas required for the repair prior to approval. Will this repair, when completed, allow approval for return to service for the article? In some cases, the PMI may need assistance from the Airworthiness Engineering Section to determine if the specification is adequate for the rating requested. However, it is ultimately the PMI's responsibility to assure that the applicant can accomplish the work specified by the specification. If the specification does not meet the requirements of GACAR § 43.19, then the PMI should inform the applicant that the specification may be used as part of a process the applicant can develop under the provisions of GACAR § 145.27(c)(2). The PMI should not accept the process at face value, but must evaluate if the process is appropriate for the article. The PMI should annotate the need for additional limitations, if any, in the limitation section of the OpSpecs. Many civil and military specifications currently used by industry are generic. The PMI should verify that the

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repair station has provisions in its manual for evaluation of the article to determine if anything would prohibit the specification utilization.

6) *Personnel Requirements (GACAR §§ 145.15, 145.55, 147.57 and 145.59).*

- a) Each repair station must have the management personnel necessary for the scope and complexity of its organization. The regulation requires a repair station manager, supervisory personnel, inspection personnel, and certificated personnel to approve the products and articles it maintains for return to service.
- b) The repair station may use training, knowledge, experience, or practical testing of non-certificated employees performing maintenance functions as the basis for determining their abilities.
- c) Supervisory and inspection personnel, and those personnel authorized to approve a product or article for return to service, must be able to understand, read and write English.

**B. Formal Application Phase.** To begin the formal application phase, the certification team will receive the application and attachments. As a rule, the team will meet with the applicant after receiving the formal application package. Resolve all questions about the proposed operation, formal application, and attachments at this time. The meeting should consist of the certification team members and all key management personnel from the applicant's organization.

**C. Document Compliance Phase.** In this phase, the application receives a thorough review for approval or disapproval, and the manuals and related attachments undergo review to ensure conformity to the applicable regulations and safe operating practices. The GACA certification team will follow the guidelines as defined in Volume 1, Chapter 4, Section 1, General Information and the Approval or Acceptance Process, when a document requires an acceptance and/or approval.

- 1) *Document Deficiencies.* If any document has deficiencies, return it to the applicant with a letter outlining the deficient areas. Inform the applicant that the certification process will not continue until all deficiencies are resolved.

**D. Demonstration and Inspection Phase.** In this phase, the certification team ensures that the applicant's proposed procedures are effective and that facilities and equipment meet regulatory

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requirements. The CPM must decide if demonstrations are necessary.

1) *Coordinate and Schedule Inspection.* Coordination is required between the CPM, team members, and the applicant.

a) During the inspection phase, the team should verify that the repair station manual (RSM) and the quality control manual (QCM) are followed.

b) The team should also use the repair station letter of compliance to confirm that the facility meets all the requirements of the regulations.

2) *Perform a Housing and Facility Inspection.* During the demonstration and inspection phase, inspect the repair station facilities to ensure that the work performed has protection from weather elements, dust, and heat. Ensure that the control of temperature, humidity, and other climatic conditions allow personnel to perform maintenance functions to the standards required by this part. In addition, inspect for the following:

a) Tooling and equipment are properly stored and maintained in good working order:

1. Calibration is performed at established intervals and meets the requirements of GACAR § 145.45.

2. If the repair station obtains special equipment and tools as needed in accordance with GACAR § 145.45, verify that a contract is available for review to ensure that the tools and equipment will be available upon the repair station's request.

**NOTE:** All tools and equipment must be in place at the time of initial certification or rating approval by the GACA (GACAR § 145.15(c)).

b) Material. Ensure that all materials needed for the rating are on the premises and under the repair station's control during work performance.

1. Ensure that the repair station has the proper controls for stored material and a recordkeeping system that has document traceability back to the place of purchase.

2. Traceability of all materials in the supply room must have documentation to

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show the material qualification (e.g., invoice, process specifications, and supplier qualifications).

3. If necessary, a repair station surveillance program of its suppliers to meet the above will meet these requirements.

c) Calibration Standards.

1. GACAR Part 145 requires that tooling be calibrated to a standard acceptable to the President.

2. Foreign-manufactured measuring and test equipment must meet the calibration standards of the manufacturer and be acceptable to the President.

3. Test and inspection equipment and special tooling (equivalent) manufactured by a repair station must meet the calibration standards recommended by the manufacturer of the article being measured or tested. This type of test equipment calibration will be traceable to a standard acceptable to the President.

**NOTE:** GACA does not approve equipment and/or test apparatus. The GACA may only make an acceptance of functional equivalency for special equipment or test apparatus. It is important to emphasize that the burden of demonstrating equivalency is borne by the repair station—not the GACA.

d) Facilities are adequate to perform the functions as defined in the RSM and QCM.

3) *Evaluate Maintenance Organization. Ensure the following:*

a) The inspection system is in place to ensure:

1. Employees are familiar with and are capable of performing their assigned duties.

2. The system for reporting serious defects or un-airworthy conditions is in place to ensure compliance with GACAR § 145.103.

3. The maintenance recordkeeping system is in place to ensure compliance with GACAR Part 43 and GACAR § 145.101.

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4. The repair station has a quality control (QC) system in place that ensures the articles upon which the repair station or any of its contractors perform a maintenance function are airworthy.

b) There are a sufficient number of personnel to satisfy the volume and type of work to perform, as required by Part 145, Subpart D:

1. Ensure the repair station designates an accountable executive and a repair station manager.
2. Ensure the repair station provides qualified personnel to plan, supervise, perform, and approve for return to service the work for which it is rated.
3. Ensure it has a sufficient number of employees with training or knowledge and experience in accomplishing the work being performed.
4. Determine the abilities of its non-certificated employees performing maintenance functions based on training, knowledge, experience, or practical tests.

c) A personnel roster(s) is available that includes management, supervisory, and inspection personnel responsible for the repair station operations, oversight of maintenance functions, and personnel authorized to approve an article or product for return to service (see GACAR § 145.65).

d) Management, supervisory, and inspection personnel employment summaries for those persons listed above are available (see GACAR § 145.65).

### 4) *Analyze Deficiencies.*

- a) If any deficiencies are observed, notify the applicant in writing. If appropriate, meet with the applicant to review deficiencies in detail.
- b) The applicant must take corrective action and notify the CPM in writing in order for the certification process to continue. Fully document and record each deficiency and corrective action in the certification file.

## **E. Certification Phase.**

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1) *Issuance*. Once the applicant meets the regulatory requirements of GACAR Part 5 and 145 and provide evidence of fee payment as prescribed in the Implementation Regulations of the Civil Aviation Tariff Act, the certification team will issue the repair station certificate and operations specifications (OpSpecs) with the appropriate ratings.

2) *Certificate Duration*. A certificate or rating issued to a repair station is effective from the date of issue until:

- The period of validity stated on the certificate or rating expires
- The repair station surrenders the certificate or rating
- The President suspends or revokes the certificate or rating

4) *Prepare Certification Report*. Ensure preparation of a certification report. The report must include the name and title of each Inspector on the certification team. The CPM signs the report, which contains at least the following:

- Evidence the fee prescribed in the Implementation Regulations of the Civil Aviation Tariff Act has been paid
- A copy of the PASI
- A copy of RSM and QCM
- A letter of compliance, as applicable
- A copy of the repair station certificate issued
- A copy of the issued OpSpecs
- A summary of all discrepancies encountered during the inspection

**3.1.2.7. AMENDMENT TO OR TRANSFER OF CERTIFICATE.** GACAR §§ 145.15 and 145.23 require a repair station to submit a new application in the following situations:

**A. Certificate Change.** The holder of a repair station certificate must apply for a change to its

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certificate if the certificate holder changes the location of the repair station or requests to add or amend a rating. The GACA must receive notification in advance and may prescribe conditions that the repair station must follow while moving to the new address/location.

- 1) A revised or amended rating does not require a change to the GACA issued Repair Station Certificate. If a repair station only desires to amend its present rating by adding an additional aircraft type, the associated OpSpecs and capability list will undergo revision as necessary.
- 2) A simple name change without a change of ownership or transfer of asset does not require a new certificate number. The GACA must ensure the certificate holder is not using the name change to circumvent initial certification requirements.

**B. Sale or Transfer of Assets.** The privileges of a repair station certificate are not transferable. If the holder of the repair station certificate sells or transfers its assets, the new owner must apply for an amended certificate in accordance with GACAR § 145.15. There are occasions when repair station ownership changes without a corresponding change in location, facilities, or personnel.

### 3.11.2.9. TASK OUTCOMES.

**A. Complete the GACA Activity Report (GAR).**

**B. Complete the Task.** Completion of the certification task will result in one of the following:

- Issuance of a certificate and OpSpecs
- A letter to the applicant indicating denial of the certificate
- A letter to the applicant confirming termination of the certification process

**C. Document the Task.** File all supporting paperwork in the certificate holder/applicant's office file.

**3.11.2.11. FUTURE ACTIVITIES.** Perform follow-up and surveillance inspections as required.

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### CHAPTER 11. THE CERTIFICATION PROCESS FOR PART 145

#### Section 3. Part 145 Located Outside the Kingdom of Saudi Arabia (KSA)

##### 3.11.3.1. GACA ACTIVITY REPORT (GAR).

A. 3230 (AW) (Certificate)

B. 3376 (AW) (Renew/Amend)

**3.11.3.3. OBJECTIVE.** This section describes the additional requirements that must be addressed when certificating a General Authority of Civil Aviation Regulation (GACAR) Part 145 repair stations that is located outside the Kingdom of Saudi Arabia (KSA).

**NOTE:** For the purposes of this section, repair station applicants from facilities located outside the KSA may be referred to as “applicants,” “repair stations,” or “facilities.”

##### 3.11.3.5. SPECIAL PROVISIONS FOR REPAIR STATIONS LOCATED OUTSIDE THE KSA.

Listed below are the certification and operational differences of repair stations that are located outside the KSA.

**A. Application for Certification, GACAR § 145.15(b).** In addition to the requirements of § 145.15(a), an applicant for a repair station certificate and rating located outside the Kingdom of Saudi Arabia must submit:

- 1) A current copy of the repair station’s national aviation authority (NAA) and/or U.S. Federal Aviation Administration (FAA) Title 14, Code of Federal Regulations part 145 certificate(s) and limitation documents/approval schedule, including any referenced procedures for the use and revision of a capability list, as applicable.
- 2) A copy of the most recent NAA and/or FAA Audit Findings and Corrective Actions.

**B. Issue of Certificate GACAR § 145.17(c)(d).** Before a repair station certificate can be issued the applicant must certify in writing that:

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1) The applicant holds a valid repair station certificate issued by the FAA or the NAA of a Convention on International Civil Aviation (ICAO) contracting state in which the repair station is located.

2) If the applicant is located in a country with which the Kingdom of Saudi Arabia has a bilateral aviation safety agreement, the President may find that the applicant meets the requirements based on a certification from the NAA of that country. This certification must be made in accordance with implementation procedures signed by the President.

**C. Certificate Duration GACAR § 145.19 (b).** A certificate issued to a repair station located outside the Kingdom of Saudi Arabia is dependent on the continuing validity of the repair station's certificate or rating issued by its NAA or the FAA and compliance with GACAR Part 145.

### **D. Personnel Certification.**

1) *Supervisors GACAR § 145.57 (b)(2).* Each supervisor must have:

- a) A minimum of 24 months of practical experience in the work being performed or
- b) Be trained in or thoroughly familiar with the methods, techniques, practices, aids, equipment, and tools used to perform the maintenance, preventive maintenance, or alterations.

**NOTE:** The personnel certification requirements of GACAR Part 66 are not required for supervisors in repair stations located outside the KSA.

2) *Personnel Authorized To Approve a Product or Article for Return to Service GACAR § 145.61(b).* A certificated repair station located outside the Kingdom of Saudi Arabia must ensure each person authorized to approve for return to service under the repair station certificate and operations specifications is:

- a) Trained in or has 24 months of practical experience with the methods, techniques, practices, aids, equipment, and tools used to perform the maintenance, preventive maintenance, or alterations and
- b) Only an employee certificated under GACAR Part 66 or equivalent as determined

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by the President is authorized to approve a product or article for return to service.

**E. National Certification GACAR § 145.17 (a).** GACA will not issue a certificate and/or ratings to a repair station located outside the Kingdom of Saudi Arabia with privileges that exceed the scope of work permitted under the NAA and/or FAA certificate, rating or approval schedule.

**NOTE:** Per GACAR § 145.17(a), GACA will not issue class ratings to a repair station located outside the Kingdom of Saudi Arabia.

**3.11.3.7. TASK OUTCOMES.**

**A. Complete the GACA Activity Report (GAR).**

**B. Complete the Task.** Completion of the certification task will result in one of the following:

- Issuance of a certificate and OpSpecs
- A letter to the applicant indicating denial of the certificate
- A letter to the applicant confirming termination of the certification process

**C. Document the Task.** File all supporting paperwork in the GACA office file.

**3.11.3.9. FUTURE ACTIVITIES.** Perform follow-up and surveillance inspections as required.

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**CHAPTER 12. THE CERTIFICATION PROCESS FOR PART 147**

**Section 1. Specific Part 147 Certification Guidance**

**3.12.1.1. GACA ACTIVITY REPORT (GAR).**

- A. 3230 (AW) (Initial)
- B. 3371 (AW) (Manual)
- C. 3378 (AW) (Facility)
- D. 3382 (AW) (Personnel)
- E. 3383 (AW) (Contract Facility)
- F. 3384 (AW) (Curriculum)
- G. 3387 (AW) (Re-Issue)

**3.12.1.3. OBJECTIVE.** This chapter provides guidance for certificating an Aviation Maintenance Technician School (AMTS) under General Authority of Civil Aviation Regulation (GACAR) Part 147, Aviation Maintenance Technician Schools.

**3.12.1.5. GENERAL.** In addition to this guidance, the applicant and the General Authority of Civil Aviation (GACA) should follow the certification process found in Volume 3, Chapter 1, The Generic Certification Process for Air Operators and Air Agencies. This chapter prescribes procedures for evaluating applications for AMTS certification.

**A. Duration of Certificate.**

- 1) An AMTS certificate or rating is effective until one of the following occurs:
  - The period of validity stated on the certificate or rating expires
  - The AMT school surrenders the certificate or rating

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- The General Authority of Civil Aviation (GACA) suspends or revokes the certificate or rating
- 2) The holder of a certificate that is surrendered, suspended, or revoked, must return it to the President.
- 3) When a holder of a certificate issued under GACAR Part 147 seeks reconsideration of a decision from the President concerning suspension, revocation, or amendment of a certificate, the procedures in GACAR Part 13 apply.

**B. Renewal of Certificate.** An AMT school that applies for a renewal of its AMT school certification must submit its request for renewal, in a form and manner acceptable to the President, no later than 90 working days before its current certificate expires. If a request for renewal is not made within this period, the AMT school must follow the application procedures in GACAR § 147.5.

NOTE: An application for renewal must be accompanied by evidence that the appropriate fee has been paid in accordance with the Implementation Regulation of the Civil Aviation Tariff Act.

**C. Ratings.** The following ratings may be issued to an AMTS:

- Airframe
- Powerplant
- Combined airframe and powerplant
- Avionics

**D. Operations Specifications.**

1) Content. Each holder of an AMTS certificate must obtain operations specifications (OpSpecs) containing all of the following:

- The specific location of the principal operations base and, if different, the address that will serve as the primary point of contact for correspondence between the GACA and

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the school

- The type of training authorized, including approved courses
- The authorizations, limitations, and certain procedures under which each training program is to be conducted
- Any other item the President determines is necessary

### 2) Amendment.

a) The President may suspend, revoke, amend, or modify any OpSpec if:

- The President determines that aviation safety and the public interest require the amendment or
- The AMTS applies for the amendment, and the President determines that aviation safety and the public interest allow the amendment

b) When the President initiates a suspension, revocation, or amendment of an AMTS OpSpecs, the procedure in GACAR Part 13 applies.

c) When the AMTS applies for an amendment to its OpSpecs, the following procedure applies:

- The AMTS must file an application to amend its OpSpecs at least 15 working days before the date proposed by the applicant for the amendment to become effective, unless a shorter time is approved
- If the GACA approves the amendment, following coordination with the AMTS regarding its implementation, the amendment is effective on the date the President approves it

### 3.12.1.7. REFERENCES, FORMS, AND JOB AIDS.

#### A. References:

- GACAR Part 66



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- GACAR Part 147

### **B. Forms:**

- Pre-Application Statement of Intent (PASI)
- GACA Activity Report (GAR)

### **C. Job Aids. None.**

#### **3.12.1.9. PRE-APPLICATION PHASE.**

**A. Initial Inquiry.** Upon initial contact from an applicant, the GACA aviation safety inspector (Inspector) will advise the applicant of the necessity for a pre-application meeting. The Inspector also directs the applicant to which regulations he must meet and how to access the Aviation Operations Safety System (AOSS). The Inspector does not schedule a pre-application meeting until the applicant has reviewed these requirements and has completed the PASI.

### **B. The Pre-Application Statement of Intent (PASI).**

1) The completion of the PASI expresses intent by the applicant to initiate certification. It also allows the GACA to plan activities and commit resources. The applicant should consider the personnel, facility, equipment, and paperwork requirements for certification and operation. The CPM schedules the pre-application meeting and advises the applicant that key management personnel, as listed on the PASI, should attend the meeting. Inform the applicant that these key personnel must be prepared to discuss specific aspects of the applicant's proposed operation.

2) The GACA should use the PASI to evaluate the complexity of the proposed operation and to ensure that trained and experienced Inspectors are available to certificate the applicant.

**C. Establish Certification Team.** The Manager, Airworthiness Division establishes a team of Inspectors to conduct the certification. If applicable, one team member should be designated as the certification project manager (CPM).

**D. Pre-Application Meeting.** During the pre-application meeting, the GACA should counsel

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the applicant concerning regulatory requirements and GACA policies.

- 1) The applicant should understand that the purpose of an AMTS is to train students in order to qualify them to perform the duties of a mechanic (also referred to as Aviation Maintenance Technicians (AMTs)) certificated under GACAR Part 66.
- 2) Inform the applicant that a formal application consists of at least the following:
  - a) A letter requesting the processing of the application and indicating when facilities and equipment will be ready for formal inspection.
  - b) A completed application.
  - c) A compliance statement listing each applicable GACAR Part 147 section and providing either a brief narrative or, preferably, a specific reference to a manual or other document that describes the manner of compliance with the regulation.
  - d) A detailed description of the proposed curriculum.
  - e) A written description of the facilities to be used for instruction.
  - f) An inventory of the materials, equipment, and tools to be used.
  - g) A list of instructors
  - h) A statement indicating the maximum number of students to be taught for each rating during each enrollment period. The application form will also show this information.
  - i) The appropriate and current technical data necessary for the rating(s) sought. The procedures should demonstrate who will update the data, and how. The data should include the following:
    - GACARs
    - Airworthiness Directives (AD)
    - Maintenance manuals

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- Other instructional material as required by GACAR Part 147
- 3) If possible, visit the proposed school before a formal application is filed. Inspect and make necessary recommendations regarding the following:
- Classrooms
  - Work areas
  - Materials
  - Laboratories
  - Technical data
  - Instructional aids
  - Other areas as needed
- 4) Inform the applicant that the school must have approved systems for determining final course grades and for controlling and recording attendance. Advise the applicant to present these systems to the GACA in writing for approval.
- 5) The applicant must provide procedures for updating the technical data library and calibration of precision tools.
- 6) Inform the applicant of administrative and recordkeeping requirements for certification.
- 7) Ensure that the applicant understands GACAR § 147.81 regarding crediting students for previous training and experience. Inform the applicant that the school may not teach students before certification as an AMTS and then give credit for that training after certification (GACAR § 147.81(c)(1)(4)).
- a) Ensure that the applicant understands that when granting credit for previous AMT experience (GACAR § 147.81(c)(3)), only documentary evidence and testing is permitted. Emphasize that previous experience must be aviation maintenance experience and be comparable to the required curriculum subjects.

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b) Explain to the applicant that any of several methods may be used to determine the amount of credit to be given to students for previous training under GACAR § 147.81(c) (1).

**3.12.1.11. FORMAL APPLICATION PHASE.** The formal application phase requires a formal application meeting to present the required certification documents and discuss those issues relevant to the particular application. The CPM meets with the official(s) representing the school. Review the application and the following documents:

**A. Compliance Statement.** To benefit the applicant, the compliance statement ensures that all applicable regulatory requirements are addressed during the certification process. The compliance statement must list each applicable GACAR Part 147 section and provide a brief narrative or a specific reference to a manual or other document describing the planned method of compliance with the regulation.

**B. Curriculum.** For guidance on curriculum requirements, refer to GACAR § 147.31 and the applicable Appendix to GACAR Part 147.

1) Practical projects referring to GACAR § 147.31(d) include all functions specified in the curriculum that involve hands on tasks. Therefore, practical projects should include virtually any task taught to level 2 or 3, as specified in Part 147 appendices, since all of these require some practical application.

2) GACAR § 147.33 addresses the maintenance of curriculum requirements. Generally, the GACARs prescribe minimum standards for certification and operation. These standards may be exceeded, but only when part of an approved curriculum.

**C. List of Instructors and Qualifications.** Provide a list showing any required certificate number(s), ratings and subjects to be taught by each instructor. Each subject in the proposed curriculum must be accounted for on the instructor listing. Ensure that the applicant understands that technical maintenance courses other than certain general subjects must be taught by appropriately certificated and rated mechanics. Inform the applicant that at least one certificated instructor is required for every 25 students in each shop or laboratory class (GACAR § 147.63).

**D. Student Enrollment Statement.** This statement indicates the maximum number of students to be taught for each rating during each enrollment period. Do not count students enrolled in other

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non GACA approved courses toward the maximum allowable GACAR Part 147 enrollment.

**NOTE:** Non GACA approved courses may not detract from the schools ability to provide for a quality education (facility overcrowding, equipment over use, etc.). Inspectors must be cognizant of the affect non GACA approved courses may pose.

**E. Written Description of Facilities.** This description must include a facility layout plan indicating the relative location of classrooms to shops/laboratories, including dimensions, and the relative location of each facility to each other facility when there is more than one site or location for the school.

**F. Inventory of Equipment, Materials, and Tools.** The inventory must detail which tools the school will provide and which tools the students must furnish.

**G. Training and Procedures Manual.** Each AMT school must prepare and maintain a training and procedures manual, acceptable to the President, for the use of the AMT school's personnel. The training and procedures manual required under paragraph (a) of this section must contain the following information:

- 1) A general description of the AMT school's scope of training authorized under the school's certificate and operations specifications.
- 2) A description of the proposed curriculum.
- 3) A list of the facilities and materials to be used.
- 4) A description of the AMT school's quality assurance system under GACAR § 147.71.
- 5) An organizational chart showing the names, duties, and qualifications of the person(s) responsible for compliance under GACAR Part 147, Subpart D.
- 6) A list of its instructors, including the kind of certificate and ratings held and the certificate numbers.
- 7) A description of the procedures used to establish and maintain the competence of instructors.
- 8) A description of the method used for the completion and retention of records required by

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GACAR Part 147, Subpart G.

9) A statement of the maximum number of students it expects to teach at any one time.

10) Copies of the school's operations specifications or appropriate extracted information.

**H. Quality Assurance (QA) System.** Each AMT school must establish a QA system acceptable to the President. Management personnel responsible for the implementation and maintenance of the quality assurance system must be identified by the ATM school. The quality assurance system must address:

- 1) Conduct and effectiveness of all training programs
- 2) Compliance and adequacy of curriculums
- 3) Conformity and security of the ATM school's recordkeeping system
- 4) Adequacy of facilities and equipment
- 5) Qualifications, eligibility, and ability of instructors
- 6) Effectiveness of management, including delegation of authority and responsibility

**3.12.1.13. ACCEPT OR REJECT FORMAL APPLICATION.** Based on the initial review of the application and any meetings with the applicant, accept or reject the application. Advise the applicant in writing of the results. If the application is rejected, return the attachments with a letter stating the reasons for rejection.

**3.12.1.15. DOCUMENT COMPLIANCE PHASE.** In the document compliance phase, the applicant's manuals and other documents receive a thorough review and then the GACA approves or rejects them. Each document must receive an in depth review to ensure that it complies with applicable regulations and conforms to safe operating practices.

**A. Review Documents.** Thoroughly review the applicant's curriculum and other documents to ensure that each complies with the applicable regulations. Approve, accept, or reject each document as appropriate. Documents reviewed during this phase may include the following:

- GACA application

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- The compliance statement
- Curriculum (GACAR § 147.31)
- Instructor requirements and qualifications (GACAR § 147.63)
- Minimum standards for graduation and method of determining final grades (GACAR § 147.81)
- Procedures for recording and controlling attendance, and provisions for make-up classes (GACAR § 147.81)
- Written procedures for taking GACA knowledge, oral and practical tests and for recordkeeping requirements
- Procedures for maintaining, keeping, and distributing student records and transcripts (GACAR § 147.101)
- Procedures for updating technical data library and calibration of precision tools
- Facility layout
- Training and Procedures Manual
- Quality Assurance System

**B. Document Deficiencies.** If you find deficiencies in any document submitted by the applicant, return the document with a letter outlining the deficient areas.

**C. If Necessary, Terminate the Certification Process.** If the documents are of insufficient quality, advise the applicant that continuing the certification project is impractical and schedule a meeting with the applicant to discuss each deficiency in detail.

**3.12.1.17. DEMONSTRATION AND INSPECTION PHASE.** In this phase, the certification team makes an onsite inspection to determine whether the applicant's proposed procedures and programs are effective. At this time, the applicant demonstrates that the facilities and equipment are safe and satisfactory (see Volume 4, Chapter 29, Section 2, Evaluate Facilities, Equipment, Materials, Tools,

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and Records for Part 147). Emphasis is on compliance with the regulations. Throughout the demonstration and inspection phase, the CPM must ensure that each aspect of the applicant's required demonstration is first observed and then approved or disapproved.

**A. Suitability of Facilities, Equipment, Tools, and Materials.** Determine suitability in relation to the approved curriculum. For example, an area may not be suitable for aircraft assembly. However, with appropriate scheduling and proper consideration of factors such as light, heat, and noise, that same area may be suitable for classroom instruction.

**B. Quantities of Necessary Items.** The amount of materials and the kinds of equipment and tools students will use also depends on the curriculum and number of students. For example, the applicant must demonstrate that the school has the appropriate tools and equipment to accomplish each project.

**C. Document Deficiencies.** If deficiencies exist, provide a list of discrepancies to the applicant. Schedule a meeting to discuss in detail the appropriate corrective action to be taken.

1) If the applicant does not demonstrate compliance or if discrepancies cannot be resolved, send a letter of rejection and a list of discrepancies.

2) Inform the applicant that the CPM must be notified in writing of all corrective action taken.

**3.12.1.19. CERTIFICATION PHASE.** An applicant is entitled to a certificate after accomplishing the following:

- The certification process is completed
- Each unsatisfactory item has been corrected
- The Certification Team has determined that the applicant has met all regulatory requirements and understands the related responsibilities
- The Certification Team has determined that the applicant is capable of complying with the GACARs on a continuing basis
- The applicant has demonstrated capability of conducting operations in a safe manner



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**A. Issue Certificate and OpSpecs.** When all regulatory requirements have been met, accomplish the following:

- Approve the curriculum by signing and dating the list of effective pages and revision pages
- Obtain a certificate number
- Prepare and provide the original certificate to the new certificate holder
- Issue the applicable OpSpecs (see Volume 15, Chapter 12 for further details)

**B. Prepare Certification File.** Once the school receives its certification, prepare an office file. The file must include the name and title of each Inspector who assisted in the initial certification. The file must contain at least the following:

- Copy of the PASI
- Copy of the completed application
- The compliance statement
- Copy of the issued aviation maintenance technician (AMT) school certificate
- Copy of the approved curriculum
- List of the instructors, their qualifications, and the courses they will be teaching
- Facility layout
- Procedures for updating the technical data library and calibration of precision tools
- Summary of any difficulty encountered during certification

### 3.12.1.21. TASK OUTCOMES.

#### **A. Complete the GAR.**

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**B. Complete the Task.** Completion of this task will result in one of the following:

- Issuance of an aviation maintenance technician (AMT) school certificate and OpSpecs
- A letter to the applicant indicating the denial of the certificate
- A letter to the applicant confirming termination of the certification process by the applicant

**3.12.1.23. FUTURE ACTIVITIES.** Observe the school during the first 90 days of operation. Additional inspections may be necessary to determine compliance with the applicable GACARs.