



Eastern Caribbean
Civil Aviation Authority

OPERATIONS ADVISORY CIRCULAR

ECCAA Document OAC-001

CERTIFICATION OF AN AIR OPERATOR

CERTIFICATION OF AN AIR OPERATOR

1. Purpose	4
2. Related regulations	4
3. Related reading material	4
4. Background	4
5. Pre-application phase	5
6. Formal application phase.....	9
7. Document evaluation phase	10
8. Demonstration and inspection phase	11
9. Certification phase	12
10. Explanation of appendices in this advisory circular.....	12
Appendix 1 - Instructions for completing form AOC-AMO Prospective Operator's Pre-Assessment Statement (POPS).....	15
Appendix 2 - Sample formal application letter.....	20
Appendix 3 - Air Operator certification job aid and Schedule of Events (Commercial Air Transport Operators Part 8 and 9).....	22
Appendix 4 - CIVIL AVIATION REGULATIONS (CARs).....	31
Appendix 5 – Definitions.....	34
Appendix 6 - Certification Process Flow Chart.....	36

CERTIFICATION OF AN AIR OPERATOR

1. PURPOSE.

- a. This Operations Advisory Circular (OAC) describes the process of applying for and obtaining an initial Air Operator Certificate (AOC) to conduct commercial air transport operations under Civil Aviation Regulations (CARs). The certification process also applies to various approvals and acquisitions that are required from time to time and appear to be a complex undertaking, particularly to a “first-time” operator. This OAC provides basic information applicable to the certification process.
- b. Because there are a variety of acceptable methods for preparing manuals, including training manuals, a detailed discussion of acceptable methods for preparing these documents is not in this OAC. Operators will be briefed in as much detail as necessary regarding the preparation of manuals and other required documents during meetings with ECCAA personnel. The information in this OAC and the reading material referenced in this OAC will assist the operator in completing the process with minimal delays and complications.

2. RELATED REGULATIONS.

Civil Aviation Act, Civil Aviation Regulations (CARs) Parts 1, 2, 4, 5, 6, 7, 8, 9, 10

3. RELATED READING MATERIAL.

- a. The Index of Standard Forms, Advisory Circulars and Guidance Material
- b. Air Transport Operator economic regulatory functions are under the jurisdiction of the Air Transport Licencing Board (ATLB).

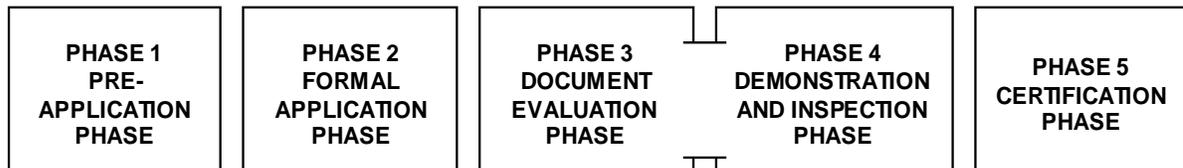
4. BACKGROUND.

- a. To conduct Commercial Air Transport Operations under these regulations, an operator must qualify in accordance with the Civil Aviation Regulations. The Authority recognises the responsibility of Commercial Air Transport Operators to provide air transportation with the highest degree of safety possible in the public interest. The certification process is designed to ensure that prospective AOC holders understand and are capable of fulfilling this duty. When satisfactorily completed, the certification process should ensure that the operator is able to comply with the Civil Aviation Act, the regulations, and the international standards pertaining to the operation of aircraft as published in relevant ANNEXES to the convention on international civil aviation.

b. There are five phases in the air operator certification process. Each phase is described in sufficient detail to provide a general understanding of the entire certification process. (See appendix 6 for a detailed flow chart of the entire certification process). The five phases are:

- (1) Pre-application
- (2) Formal Application
- (3) Document Evaluation
- (4) Demonstration and Inspection
- (5) Certification

c. In some cases, the guidance and suggested sequence of events in this OAC may not be entirely appropriate. In such situations, the ECCAA and the operator should proceed in a manner that considers existing conditions and circumstances. The operator, however, should not expect to be certificated until the ECCAA is assured that the Civil Aviation Act and the Civil Aviation Regulations will be complied with in an appropriate and continuing manner.



5. PRE-APPLICATION PHASE.

- a. As far in advance as possible of an anticipated start of operations, a prospective operator should contact the ECCAA Office and inform the ECCAA of its intent to apply for an AOC. The prospective operator will be invited to discuss certification briefly with ECCAA personnel. During this initial discussion, only basic information and general certification requirements will be discussed. If the prospective operator intends to proceed with certification, ECCAA Form AOC-AMO POPS Prospective Operators Pre-assessment Statement will be furnished. A sample of this form with instructions for completing it is in Appendix 1. The POPS should be completed, signed by the prospective operator, and returned to the ECCAA Office.
- b. ECCAA personnel will review the POPS. If the information is incomplete or erroneous, the POPS will be returned to the prospective operator with the reasons for its return noted in Section 2. If the information is complete and acceptable, the ECCAA will schedule a pre-application meeting with the prospective operator and the selected ECCAA certification team members.
- c. The ECCAA office will designate one certification team member as the Project Manager (PM). The PM is the official ECCAA spokesperson throughout the certification project.
- d. The purpose of the pre-application meeting is to confirm the information on the POPS and to provide critical certification information to the applicant. It is recommended that the operator's key management and staff attend these pre-application meetings and be prepared to discuss in general terms the plans and specific aspects of the proposed

operation. Many problems can be avoided by discussing all aspects of the proposed operation and the specific requirements, which must be met to be certificated as an air operator. Besides verifying the POPS information at the meeting, the ECCAA team should:

- 1. ensure the applicant is aware of what is expected and all applicable CARS.**
 - 2. provide an overview of the certification process and the formal application.**
 - 3. answer any applicant questions.**
 - 4. evaluate the results of the meeting and take appropriate action.**
 - 5. Provide the applicant with an Application Information Package.**
- e. It is important to establish good working relationships and clear understandings between the ECCAA and the operator's representatives. The ECCAA recognises that a wide range of capabilities and expertise exists among operators. This background experience will be considered by the ECCAA and adjusted to during these initial meetings.
- f. To help promote understanding throughout the certification process, an application information package will be provided during the pre-application meeting. The application information package includes the following:
- (1) The certification job aids or guidance material that will be used by ECCAA inspectors during the certification project.
 - (2) A schedule of events which must be completed and submitted with the formal application.
 - (3) An standard set of Specific Operating Provisions (SOPs).
 - (4) Other publications or documents that it is considered will be useful to the applicant.
- g. CAR 9.1.1.5 (a) and (b) specifies that an application for an AOC shall be made in a form and manner acceptable to the Authority; and, containing any information the Authority requires the applicant to submit. It is important to understand the minimum documentation necessary to be considered acceptable for a formal application. Formal application must be made on either a form provided by the Authority or by letter [see Appendix 2.] requesting certification as an air operator. The accountable manager must sign the form or letter. If a letter is submitted, it should include a statement that the letter serves as formal application for an Air Operator Certificate. It should also contain the full and official name of the applicant. 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. Additionally, the letter will confirm the identity of key management personnel such as the General Manager, Director of Operations, Chief Pilot, Director of Safety, Director of Maintenance, Quality Manager, as applicable. Certain documents must be submitted with the formal application. These documents (attachments) are briefly described in paragraphs 5h through 5q and will be discussed in detail during the pre-application meeting.
- h. Draft Specific Operating Provisions Attachment. This attachment describes the applicant's intended authorisations, limitations, provisions, and privileges specific to the operator's operations.
- i. Air Operator Certification Job Aid and Schedule of Events Attachment. The schedule of events [see Appendix 3] is a key document that lists items, activities, programs, and aircraft and/or facility acquisitions that must be accomplished or made ready for the

ECCAA's inspection before certification. It should include dates when the crewmembers will start company indoctrination procedures. In addition, the schedule of events should include dates when maintenance personnel training will start; when maintenance facilities will be ready for the ECCAA's inspection; when each of the required manuals will be available for evaluation; when aircraft will be ready for inspection; when terminal facilities will be ready for inspection; when emergency evacuation demonstrations; ditching demonstrations, and demonstration flights are planned to be performed, and the date of the proposed assessment of Chief Training and Checking Officer and other approved persons. These estimated dates must be logical in terms of sequence. For example, the estimated date for crewmember basic company procedures indoctrination ground training to begin should be after the date that sections of the company manuals pertinent to crewmember performance will be completed and submitted. Reasonable time for the ECCAA to review, inspect and approve each item or event should also be provided when approval is required before beginning a subsequent event or item. Failure to accomplish an item or event in a satisfactory manner or in accordance with the schedule of events could delay the certification. If at any time during the certification process the operator finds it necessary to revise the schedule of events, the PM should be notified as soon as practical.

- j. Company General Manuals Attachment. These manuals, which may be issued in separate parts for specific users, contain information about the operator's general policies, duties and responsibilities of personnel, operational control policy and procedures. These are commonly referred to as the Operations Manual and the Maintenance Control Manual. CARS require these manuals to include instructions and information necessary to permit flight, ground, and contract personnel to perform their duties and responsibilities with a high degree of safety. CAR Part 9, including the Implementing Standards (IS) prescribe the content of these manuals. The entire manual system, as required by sections 9.3 and 9.4 of the CARS, shall be completely developed at the time of formal application.
- k. Training and Checking Manuals. It is recognised that aircraft acquisition, facility arrangements, and certain training program elements may not be fully developed at the time of formal application. The company initial training curriculum portion of the Training Manual (completed to the extent possible) must be attached to the formal application letter or form. Initial training curricula must include at least the following curricula segments:
 - (1) Company Procedures Indoctrination Training (CARS 8.10.1.9 and 9.2.2.9)
 - (2) Initial Emergency Equipment Drills Training (CAR 8.10.1.13)
 - (3) Initial Aircraft Ground Training (CAR 8.10. 1.14)
 - (4) Initial Aircraft Flight Training (CAR 8.10. 1.15)
- l. Management Structure and Qualification Attachment.
 - (1) CARS establish basic management positions and the implementing standards establish minimum qualifications for air operators proposing to conduct scheduled or charter commercial air transportation operations. It may be possible to obtain a deviation from these required basic management positions and qualifications, depending on the complexity of the planned operation. Individuals assigned to the required management positions are expected to have a thorough knowledge of the operator's company manuals, operating provisions, the CARs and the planned operations relevant to the position. This attachment must contain resumes of the qualifications, licenses (including license numbers), ratings and aviation experience for each of the following positions, or their equivalent:

- (i) Accountable Manager (Chief Executive Officer or General Manager)
- (ii) Director of Operations, or Senior Officer of Flying Operations
- (iii) Chief Pilot
- (iv) Director of Safety, or Chief Flight Safety and Accident Prevention
- (v) Quality Manager
- (vi) Director of Maintenance

(2) If a deviation from the management requirements is anticipated, it should be noted in the formal application letter. The actual request for deviation, however, must be made in a separate petition, which presents specific justification. This request for a deviation should be made to the ECCAA as soon as practical to enable the individual who will hold the position to be involved early in the certification process.

m. Documents of Purchase, Leases, Contracts, and/or Letters of Intent Attachments. These attachments should provide evidence that the operator is in the process of actively procuring aircraft, facilities, and services appropriate to the type of operation proposed. If formal contracts are not completed, letters or other documents showing preliminary agreements or intent will suffice until such date as determined by the Authority. Examples of the types of equipment, facilities, and services that should be addressed in these documents are as follows:

- (i) Aircraft
- (ii) Station facilities and services
- (iii) Weather gathering facilities and services
- (iv) Communications facilities and services
- (v) Maintenance facilities and services
- (vi) Maintenance contractual arrangements
- (vii) Aeronautical charts and related publications
- (viii) Aerodrome analysis and obstruction data
- (ix) Contract training and training facilities

n. Initial Statement of Compliance. This must be completed on STDFM 149 and / or STDFM 150 (as applicable). Both documents are available on our website.

- o. Financial Economic and Legal Matters Assessment. This attachment should consist of written evidence that the applicant has undergone, is undergoing, or is scheduled to undergo a financial, economic and legal matters assessment.
- p. List of Aircraft. This attachment should consist of a list of aircraft, (by make, model, and series) that the applicant intends to operate.
- q. List of Designated Destination and Alternate Aerodromes. This attachment is required if the applicant is applying for scheduled domestic or scheduled international operations.
- r. A thorough understanding of pertinent regulations and advisory materials is critical to the success of the entire certification process. The operator and key management personnel must understand which regulations apply to the intended operation. A sample list of CARs as they apply to various kinds and types of operations is in Appendix 4.
- s. During the pre-application phase and throughout the certification process, the operator will have to prepare documents and manuals for the ECCAA's evaluation and approval or acceptance. The operator is encouraged to informally co-ordinate drafts of these documents with the Certification Program Manager (CPM) and other inspectors assigned to the certification project. Time spent on informal co-ordination can significantly reduce the workload for the operator and the inspectors once the formal application is submitted. The inspectors will give advice and guidance; however, the actual development of acceptable documents and manuals is always the responsibility of the operator.

6. FORMAL APPLICATION PHASE.

- a. It is recommended that the formal application is submitted at least 90 days before revenue operations are expected to begin, although the application should be submitted to the ECCAA Authority as far in advance of the proposed start-up date as possible.
- b. The ECCAA will review the application to determine that it contains the required information and attachments. If there are omissions or errors, the formal application and all attachments may be returned with a letter outlining the reasons for its return. If the operator has a good understanding of the requirements, the formal application should be of sufficient quality to allow any omission, deficiency, or open question to be resolved during the formal application meeting.
- c. The operator's key management personnel should attend the formal application meeting. The purpose of the meeting is to discuss the formal application and resolve omissions, deficiencies, or answer questions from either party. For example, this meeting may be used to resolve questions concerning the applicant's package or scheduling date conflicts, or to ensure the applicant understands the certification process. This meeting should also be used to reinforce open communication and working relationships.
- d. If the formal application meeting is successful, the operator is provided with a letter acknowledging receipt and acceptance of the package. The ECCAA's acceptance of a formal application does not constitute approval or acceptance of individual attachments. These documents will be evaluated thoroughly during subsequent phases of the certification process. If the formal application is not accepted, it may be returned with a written explanation of the reasons for its return.

- e. Certification processes that remain dormant in excess of one (1) year constitute a re-certification of that process.

7. DOCUMENT EVALUATION PHASE.

- a. After the formal application has been accepted, inspectors will begin a thorough evaluation of all the manuals and documents that are required by regulation to be submitted to the ECCAA. The ECCAA Authority will endeavour to complete these evaluations in accordance with the operator's schedule of events. If a manual or document is incomplete or deficient, or if non-compliance with the regulations or safe operating practices is detected, the applicant will be advised in writing and the manual or document may be returned for corrective action. If the manuals and documents are satisfactory, they will be approved or accepted, as required by CARS. Approvals may be indicated by letter as appropriate, or by approval of Specific Operating Provisions (SOPs). Acceptance of information that does not require formal approval will be indicated by letter or by the lack of the ECCAA's objection to the information.
- b. The complexity of the information which must be addressed in the operator's manuals and other documents depends on the complexity of the planned operation. The following list provides examples of information that must be provided by the operator and evaluated by the ECCAA during this phase:
 - (1) Management personnel resumes outlining proposed management qualifications and civil aviation compliance histories.
 - (2) Operations Manual (may be in one or more parts).
 - (3) Maintenance Control Manual (may be in one or more parts). Includes the Approved Maintenance Organisations (AMO) Maintenance Procedures Manual (MPM).
 - (4) Aircraft maintenance programs and supporting manuals such as Maintenance Review Board (MRB) and Corrosion Prevention Control Program (CPCP).
 - (5) Mass and balance procedures/program.
 - (6) Training Program Manual.
 - (7) Approved Aircraft Flight Manual.
 - (8) Aircraft Operations Manual.
 - (9) Minimum Equipment List (MEL) and MEL Management Program
 - (10) Configuration Deviation List (CDL).
 - (11) Cockpit checklist.
 - (12) Passenger briefing cards.
 - (13) Noise and emission plan (if applicable).
 - (14) Airport Runway Analysis
 - (15) Deviation requests.
 - (16) Dangerous Goods.
 - (17) Cabin Attendant Manual.
 - (18) Dispatch/flight following/flight locating procedures.
 - (19) Draft Specific Operating Provisions (operations and airworthiness).
 - (20) Maintenance Reliability Program (optional).
 - (21) Plan for Demonstration Flights.
 - (22) Emergency evacuation demonstration plan.
 - (23) Ditching demonstration plan.
 - (24) Fully completed Statement of Compliance.

- c. The fully completed Statement of Compliance is the final evolution of the Initial Statement of Compliance that was submitted with the formal application. The fully completed Statement of Compliance ensures each applicable regulatory requirement has been adequately addressed in the appropriate manuals, programs and/or procedures.

8. DEMONSTRATION AND INSPECTION PHASE.

- a. CARS require an operator to demonstrate its ability to comply with regulations and safe operating practices before beginning actual revenue operations. These demonstrations include actual performance of activities and/or operations while being observed by ECCAA inspectors. This includes on-site evaluations of aircraft maintenance equipment and support facilities. During these demonstrations and inspections, the ECCAA evaluates the effectiveness of the policies, methods, procedures and instructions as described in the operator's manuals and other documents. Emphasis is placed on the operator's management effectiveness during this phase. Deficiencies will be brought to the attention of the operator and corrective action must be taken before a certificate is issued.
- b. Although the document evaluation and the demonstration and inspection phases have been discussed separately in this OAC, these phases overlap, or are accomplished simultaneously in actual practice. The following list provides examples of the types of items, equipment, facilities, and activities evaluated during the demonstration and inspection phase.
 - (1) Conduct of training programs (classroom, simulators, aircraft, flight and ground personnel training).
 - (2) Crewmember and Flight Operations Officer testing and certification.
 - (3) Station facilities (equipment, procedures, personnel, fuelling/Defuelling, de-icing, technical data).
 - (4) Recordkeeping procedures (documentation of training, flight and duty times, flight papers).
 - (5) Flight control (Flight Supervision and Monitoring system or Flight Following system)
 - (6) Maintenance and inspection programs (procedures, record keeping).
 - (7) Aircraft (conformity inspection, aircraft maintenance records, etc.).
 - (8) MELs and CDLs (compliance with operating and maintenance procedures, etc., if applicable).
 - (9) Mass and balance program (procedures, accuracy, and document control).
 - (10) Passenger emergency evacuation demonstration (aborted takeoff demonstration and ditching demonstration).
 - (11) Demonstration Flights. Includes full-scale simulation of revenue operations to demonstrate the ability to operate independently, safely, and in compliance with all applicable CARS.
- c. The Demonstration and Inspection Phase outline under paragraph 8a. through 8b. is only applicable to the certification of an air operator.

NOTE:

An applicant for an air operator certificate (AOC) may concurrently seek ECCAA approval of its maintenance organisation. The applicant needs to co-ordinate the progress of both certification projects. Both certification projects must be in the Demonstration and Inspection Phase at the same time. This is because the Demonstration Flights cited under CAR 9.2.3.6 (a), require the applicant to demonstrate to the ECCAA all proposed flight and ground operations. The applicant therefore will also be expected to demonstrate use of its Approved

Maintenance Organisation to ensure that procedures in the Maintenance Control Manual (MCM) and Maintenance Procedures Manual (MPM) are in agreement.

9. CERTIFICATION PHASE.

- a. After the document compliance and the demonstration and inspection phases have been completed satisfactorily, the ECCAA will prepare an Air Operator Certificate and approve the SOPs. The SOPs contain authorisations, limitations and provisions specific to an operator's operation. The operator must acknowledge receipt of these documents.
- b. The certificate holder is responsible for continued compliance with CARS and the authorisations, limitations and provisions of its certificate and SOPs. As a certificate holder's operation changes, the SOPs will be amended accordingly. The process for amending SOPs is similar to the certification process. In some cases it may be a less complex procedure depending on the subject of the amendment. The ECCAA is responsible for conducting periodic inspections of the certificate holder's operation to ensure continued compliance with the CARS and safe operating practices.

10. EXPLANATION OF APPENDICES IN THIS ADVISORY CIRCULAR.

- a. Appendix 1 provides instructions on how ECCAA Form AOC-AMO POPS: Prospective Operator's Pre-Assessment Statement should be completed. Section 1, items 1 through 10, should be completed and signed by the applicant and returned to the appropriate ECCAA office. Section 2 is reserved for ECCAA use.
- b. Appendix 2 provides a sample formal application letter.
- c. Appendix 3 provides a certification job aid and schedule of events.
- d. Appendix 4 provides a list of applicable model regulations.
- e. Appendix 5 provides definitions of terms as they are used in the certification process.
- f. Appendix 6 provides a detailed flow chart of the entire certification process.

INTENTIONALLY BLANK

Appendix 1, Instructions for completing form AOC-AMO POPS

SECTION 1A. All applicants shall complete this section.

1. Enter the company's official name and mailing address. Include any other business name if different from the company name).
2. This address shall be the physical location where primary operating activities are based. It is where the offices of management required by regulation are located. If the address is the same as item 1, enter "same." Include secondary business addresses of operation and identify the type of operation conducted.
3. Enter the estimated date when operations or services will begin.
 - Should not be less than 90 days.
4. Enter the names, titles, and telephone numbers of required management and key staff personnel. This shall include the Accountable manager, base maintenance manager, line maintenance manager, workshop manager and quality manager (CAR 6.4.1.1).

SECTION 1B. All applicants shall complete this section, as appropriate.

5. Indicate if the air operator intends to perform maintenance as an Approved Maintenance Organisation (AMO) or intends to contract out all or part of its maintenance.
6. The proposed type of operation shall be indicated. Check as many boxes as apply.
7. The proposed type of maintenance organisation and ratings shall be indicated. Check as many boxes as apply.

SECTION 1C. Air Operators shall complete Blocks 8, 9.

8. Aircraft Data is to be provided here. Indicate number and types of aircraft by make, model, series, and number of passenger seats or cargo payload capacity. For foreign registered aircraft, provide a copy of the lease agreement.

9. Indicate geographic areas of intended operation and proposed route structure.

SECTION 1D. All applicants shall complete this section.

10. Show any information that would assist ECCAA personnel in understanding the type and scope of operation or services to be performed by the applicant. If an air operator intends to arrange for maintenance and inspections of its aircraft and/or associated equipment identify the approved maintenance organisation selected and a list of the maintenance or inspections it proposes to perform. Also provide all written contracts with this form, if applicable.

11. Identify the type of aircraft and/or simulators.

For AOC's identify the type of aircraft and/or simulators intended to be used.

For AMO's, identify the type of aircraft by make and model. In addition identify the type of training that the Quality Assurance staff, certifying staff and maintenance personnel will receive based on the ratings requested.

12. The Prospective Operator Pre-assessment Statement (POPS) denotes an intent to seek ECCAA certification as an air operator or approved maintenance organisation. It must be signed as follows:

Type of Organisation	Authorised Signature
-----	-----
Individual	Owner
Partnership	At least one partner
Company, corporation, association, etc.	At least one authorised officer

The Accountable Manager must sign the POPS Form. If the POPS Form is signed by another individual which is not the Accountable Manager the accountable manager must submit with the POPS Form a letter addressing his/her authority to do so.

SECTIONS 2. For ECCAA Use.

Instructions For Completing ECCAA AOC/AMO POPS – Prospective Operator’s Pre-Assessment Statement (POPS). To Be Completed By A Prospective Air Operator or Approved Maintenance Organisation.

Prospective Operator’s Pre-assessment Statement (POPS) (To be completed by Air Operator or Approved Maintenance Organisation)		
Section 1A. To be completed by all applicants		
1. Name and mailing address of company (include business name if different from company name)	2. Address of the principal (main) base where operations will be conducted, include address of line stations, if appropriate (do not use a post office box).	
3. Proposed Start-up Date:		
4. Management and Key Staff Personnel		
Name (Surname) (First Name/s)	Title	Telephone & address if different from company (Include country code)
Section 1B. To be completed by Air Operator and/or Approved Maintenance Organisation		
5. <input type="checkbox"/> Air Operator intends to perform its maintenance as an AMO (Complete Block 6 & 7) <input type="checkbox"/> Air Operator intends to arrange for maintenance and inspections of aircraft and associated equipment to be performed by others (Complete Blocks 6 & 10) <input type="checkbox"/> Approved Maintenance Organisation (Complete Block 7)		
6. Proposed type of operation (Check as many as applicable)	7. Proposed type of Approved Maintenance Organisation Rating(s)	
Air Operator Certificate – Part 8/9 <input type="checkbox"/> Passengers and Cargo <input type="checkbox"/> Cargo Only <input type="checkbox"/> Scheduled Operations <input type="checkbox"/> Charter Flight Operations	Approved Maintenance Organisation <input type="checkbox"/> Airframe <input type="checkbox"/> Powerplant <input type="checkbox"/> Propeller <input type="checkbox"/> Avionics	Part 6 <input type="checkbox"/> Computers <input type="checkbox"/> Instrument <input type="checkbox"/> Accessory <input type="checkbox"/> Specialised Service
Section 1C. Blocks 8 and 9 to be completed by Air Operator.		
9. Aircraft Data (For foreign registered aircraft, please provide a copy of the lease agreement)		10. Geographic areas of intended operations and proposed route structure
Numbers and types of aircraft (By make, model, and series)	Number of passengers seats or cargo payload capacity	

AOC/AMO POPS

Attach additional sheets if necessary

Section 1D. To be completed by all applicants		
11. Additional information that provides a better understanding of the proposed operation or business (Attach additional sheets, if necessary)		
12. Proposed Training (Aircraft and/or Simulator)		
13. The statement and information contained on this form denotes an intent to apply for an ECCAA certificate.		
Type of Organisation:		
Signature	Date (day/month/year)	Name and Title
Section 2. To be completed by the Office of the Director General of the ECCAA		
Received by:		
Date (day/month/year):	Assigned Certification Number:	
Remarks		

AOC/AMO POPS

Attach additional sheets if necessary

INTENTIONALLY BLANK

APPENDIX 2. SAMPLE FORMAL APPLICATION LETTER

(Name of Applicant)
(Appropriate Address)

Insert Date

Mr. Donald McPhail
Director General
Eastern Caribbean CAA
P.O. Box 1130
St Johns
Antigua

Dear Mr. McPhail,

This letter serves as formal application for an Eastern Caribbean Civil Aviation Authority (ECCAA) air operator certificate. (Name of Applicant), initially intends to certificate and operate as a [scheduled or non-scheduled passenger, freight, or mixed passenger and freight] commercial air transport operation under Parts 8 and 9 of the Civil Aviation Regulations (CARs). We intend to use (Number and Type) aeroplane(s) between (location) and (location).

Our company will have its principal base of operations and corporate offices located at (appropriate address). Our maintenance base will be located at (appropriate address) (if the company intends to apply under separate cover for an approved maintenance organisation, so state here). A copy of our contract with (name of maintenance organisation) is enclosed (if applicable). Our management personnel are as follows:

President and Accountable Manager –
Director of Operations and Dispatch –
Director of Maintenance –
Quality Manager –
Chief Pilot –
Director of Training –
Director of Safety –

Also enclosed is the revised Schedule of Events and Initial Statement Of Compliance which was agreed to at our last meeting with your representatives.

Sincerely,

Rolland Malev
President / Accountable Manager

Please ensure that the following documentation is enclosed with the formal application letter.

- Applicant's intended authorisations, limitations, provisions, and privileges specific to the operator's operations.
- Management positions and resumes
- Contractual agreements e.g. wet leases, fuelling, handling and operational contracts
- Initial Statement of Compliance
- List of aircraft, (by make, model, and series)
- List of Designated Destination and Alternate Aerodromes (as applicable)

MANUALS

- General Operating Manual (GOM)
- Aircraft Operating Manual (Standard Operating Procedures (SOP))
- Aircraft Operating Manual (Aircraft Systems) as applicable
- Area & Route Guide
- Minimum Equipment List (MEL)
- Training Manuals
 - Flight Crew Training Manual
 - Cabin Crew Training Manual (as applicable)
 - Flight Operations Officers (FOO) Training Manual
 - Ground Handling Manual
- Aircraft Loading & Handling Manual
- Aircraft Planning & Performance Manual
- Cargo Manual (as applicable)
- Station Operating Manual
- Emergency Response Manual
- Security Manual

**APPENDIX 3.
AIR OPERATOR CERTIFICATION JOB AID AND SCHEDULE OF EVENTS
(COMMERCIAL AIR TRANSPORT OPERATORS PART 8 AND 9)**

OFFICIAL NAME OF COMPANY				LOCATION ADDRESS																					
MAILING ADDRESS (if different from location)				PRE-CERTIFICATION NUMBER:																					
				Operator Target Date	Date Received/ Accomplished	Date Returned for Changes	Inspector Initial																		
ECCAA REFERENCE	OPS Insp.	AIR Insp.	AVI Insp.																						
I. PRE-APPLICATION PHASE																									
A. Initial Orientation: Inspector: _____ 1. Certification Advisory Circular OAC-001 provided to applicant. 2. Prospective Operator's Pre-assessment Statement (POPS) a. Forwarded to the Authority																									
B. Certification Team Designated (at least one operations and one maintenance) <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 10%;"></th> <th style="width: 35%; text-align: center;">Name</th> <th style="width: 35%; text-align: center;">Speciality</th> </tr> </thead> <tbody> <tr> <td style="text-align: right; vertical-align: top;">PM</td> <td>_____</td> <td>_____</td> </tr> <tr> <td></td> <td>_____</td> <td>_____</td> </tr> </tbody> </table>					Name	Speciality	PM	_____	_____		_____	_____		_____	_____		_____	_____		_____	_____				
	Name	Speciality																							
PM	_____	_____																							
	_____	_____																							
	_____	_____																							
	_____	_____																							
	_____	_____																							
C. Conduct Pre-application Meeting 1. Verify POPS Information 2. Overview of Certification Process 3. Provide Certification Package Containing: a. Certification Job Aid b. Schedule of events c. Model Specific Operating Provisions d. Other Applicable Publications and Documents 4. Explain Formal Application Submissions																									
Remarks:																									

STDFM 83

**AIR OPERATOR CERTIFICATION JOB AID AND SCHEDULE OF EVENTS
(COMMERCIAL AIR TRANSPORT OPERATORS PART 8 AND 9)**

ECCAA REFERENCE	II. FORMAL APPLICATION PHASE	Operator Target Date	Date Received/ Accomplished	Date Returned for Changes	Inspector Initial
	A. Review Applicant's Submission				
	a. Formal Application Letter/Form				
	b. Full and Official name (Legal)				
	c. Mailing Address				
	d. Primary Operating Location (Principal Operations/ Maintenance Base)				
	e. Name and address of applicants agent for service				
	f. Key Management Personnel Names				
	B. Formal Application Attachments				
	a. Schedule of events				
	b. Initial compliance statement				
	c. Company general manuals				
	i. Operations Manual.				
	ii. Maintenance Control Manual				
	iii. Aircraft Maintenance Program				
	d. Initial new hire training curricula (Crewmembers & Flt/Ops/Officers) Company Procedures Indoctrination Emergency Equip Drills Training Initial Flight and Ground Training				
	e. Management and Key Staff qualifications/resumes				
	f. Documents of purchase/ contract(s)/lease(s)/letters of intent				
	C. Evaluation of ECCAA Resources Based on Schedule of Events				
Remarks:					
	D. Formal Application Meeting				
	1. Schedule of events				
	Date: _____ Time: _____				
	2. Discuss each Submission				
	3. Resolve Discrepancies/Open Items				
	4. Review Certification Process				
	5. Review Impact if Schedule of Events are not met				
	E. Issue Letter Accepting/Rejecting Application				
Remarks:					

**AIR OPERATOR CERTIFICATION JOB AID AND SCHEDULE OF EVENTS
(COMMERCIAL AIR TRANSPORT OPERATORS PART 8 AND 9)**

ECCAA REFERENCE	III. DOCUMENT EVALUATION PHASE	Operator Target Date	Date Received/ Accomplished	Date Returned for Changes	Inspector Initial
	A. Evaluate Applicable Training Programs Training Curriculums				
	a. Company Procedures Indoctrination				
	b. Emergency Equipment Drills Training				
	c. Ground Training				
	d. Flight Training				
	e. Recurrent Training				
	f. Transition/Upgrade Training				
	g. Differences Training				
	h. Security				
	i. Dangerous Goods				
	j. Check Airmen/Flight Instructor				
	k. Crew Resource Management				
	l. Flight Operations Officer/Dispatcher Training				
Remarks:					
	B. Evaluate Management Qualifications				
	a. Accountable Manager				
	b. Director of Operations				
	c. Chief Pilot				
	d. Director of Maintenance				
	e. Quality Manager for Operations (if applicable)				
	f. Quality Manager for Maintenance (if applicable)				
	g. Director of Safety				
	h. Request for Deviation Letter (If Applicable)				
	i. Other				
Remarks:					

**AIR OPERATOR CERTIFICATION JOB AID AND SCHEDULE OF EVENTS
(COMMERCIAL AIR TRANSPORT OPERATORS PART 8 AND 9)**

ECCAA REFERENCE	III. DOCUMENT EVALUATION PHASE (CONTINUED)	Operator Target Date	Date Received/ Accomplished	Date Returned for Changes	Inspector Initial
	C. Evaluate Operator's Manual System				
	1. Completed Operations Manual				
	a. Emergency exit plan				
	b. Carry-on Baggage plan				
	2. Completed Maintenance Control Manual				
	3. ECCAA Approved Aeroplane Flight Manual				
	4. Aircraft Checklists				
	a. Normal				
	b. Abnormal				
	c. Emergency				
	5. Cabin Attendant Manual				
	6. Flight Supervision and Monitoring/Flight Following				
	7. Station/Facility Operations				
	8. Company Emergency Manual				
	9. Aerodrome Data & En Route Manual (Charts and Plates)				
	10. Aerodrome/Runway Analysis (Performance)				
	11. Minimum Equipment List				
	a. (MEL Management Program)				
	12. Configuration Deviation List				
	13. Maintenance Technical Manuals:				
	14. Fuelling/Refuelling/Defuelling				
	15. Ground Servicing Manual				
	16. Mass and Balance Control Program				
	17. Dangerous Goods				
	18. Security				
	19. Reliability Program				
	20. Completed Continuous Airworthiness Maintenance Program				
	21. Emergency Plan/Notification				
	22. Passenger Briefing Cards				
Remarks:					

**AIR OPERATOR CERTIFICATION JOB AID AND SCHEDULE OF EVENTS
(COMMERCIAL AIR TRANSPORT OPERATORS PART 8 AND 9)**

ECCAA REFERENCE	III. DOCUMENT EVALUATION PHASE (CONTINUED)	Operator Target Date	Date Received/ Accomplished	Date Returned for Changes	Inspector Initial
	D. Other Evaluations				
	1. Aircraft Lease				
	2. Maintenance Contracts/Agreements				
	3. Servicing Contracts/Agreements				
	4. Exemption/Deviation Requests/Justification				
	5. Plan for Emergency Evacuation Demonstration				
	6. Plan for Demonstration Flight				
	8. Final Compliance Statement				
	9. Initiate Specific Operating Provisions preparation				
	10. Training Contracts				
	11. De-icing/Anti Icing				
	12. Exit Row Seating				
	13. Drug Program				
	14. Alcohol Misuse				

Remarks:

**AIR OPERATOR CERTIFICATION JOB AID AND SCHEDULE OF EVENTS
(COMMERCIAL AIR TRANSPORT OPERATORS PART 8 AND 9)**

ECCAA REFERENCE	IV. DEMONSTRATION & INSPECTION PHASE	Operator Target Date	Date Received/ Accomplished	Date Returned for Changes	Inspector Initial
	A. Evaluate Operator Conducting Training				
	1. Training Facilities				
	2. Training Schedules:				
	3. Flight Crewmember Training Evaluation				
	a. Company Procedures Indoctrination				
	b. Emergency Equip. Drills Training				
	c. Ground Training				
	d. Flight Training				
	e. Differences Training				
	4. Check Airmen/Instructor				
	5. Cabin Crew				
	a. Company Procedures Indoctrination				
	b. Emergency Equip. Drills Training				
	c. Ground Training				
	6. Crew Resource Management				
	7. Flight Supervision and Monitoring/Flight Following				
	8. Dangerous Goods Training				
	a. Crewmembers				
	b. Ground personnel				
	9. Security Training				
	10. Maintenance Training				
	a. Director of Maintenance				
	b. Quality Manager				
	c. Quality system Personnel				
Remarks:					

**AIR OPERATOR CERTIFICATION JOB AID AND SCHEDULE OF EVENTS
(COMMERCIAL AIR TRANSPORT OPERATORS PART 8 AND 9)**

ECCAA REFERENCE	IV. DEMONSTRATION & INSPECTION PHASE (CONTINUED)	Operator Target Date	Date Received/ Accomplished	Date Returned for Changes	Inspector Initial
	B. Testing/Certification				
	1. Pilots				
	2. Flight Engineers				
	3. Flt/Ops/Officers				
	4. Cabin Attendants				
	C. Aircraft Conformity Inspection				
	D. Main Operations Base				
	E. Main Maintenance Base				
	F. Station/Facilities (Operations)				
	G. Station/Facilities (Maintenance)				
	H. Flight Supervision and Monitoring/Flight Following				
	I. Record keeping Locations				
	1. Crewmember				
	a. Training				
	b. Flight & rest Times				
	c. Qualification				
	2. Maintenance				
	a. Aircraft Records				
	b. Maintenance Personnel Training				
	i Director of Maintenance				
	ii Quality Manager and staff				
	iii Contract Employees				
	J. Flight/Trip Records				
	K. Emergency Evacuation Demonstration				
	L. Ditching Demonstration				
	M. Demonstration Flight Evaluation				
Remarks:					

**AIR OPERATOR CERTIFICATION JOB AID AND SCHEDULE OF EVENTS
(COMMERCIAL AIR TRANSPORT OPERATORS PART 8 AND 9)**

ECCAA REFERENCE	V. CERTIFICATION PHASE	Operator Target Date	Date Received/ Accomplished	Date Returned for Changes	Inspector Initial
	A. Approve Specific Operating Provisions a. Within Geographical area b. Outside Geographical area				
	B. Present Certificate & Specific Operating Provisions				
Remarks:					
	C. Prepare Certification Report				
	1. Assemble Report				
	a. Formal Application Letter				
	b. Final Compliance Statement				
	c. Copy of Specific Operating Provisions				
	d. Copy of Certificate				
	e. Summary of Difficulties				
	2. Distribute Report				
Remarks:					
	D. Develop Post Certification Surveillance Program				
Remarks:					

INTENTIONALLY BLANK

APPENDIX 4. CIVIL AVIATION REGULATIONS (CARs)

SECTION 1 - APPLICABLE PARTS OF CARs

- Part 01 General Policies, Procedures, and Definitions
- Part 02 Personnel Licensing and Implementing Standard
- Part 04 Aircraft Registration and Marking
- Part 05 Airworthiness and Implementing Standard
- Part 06 Approved Maintenance Organisation and Implementing Standard
- Part 07 Instruments and Equipment and Implementing Standard
- Part 08 Operations and Implementing Standard
- Part 09 Air Operator Certification and Administration and Implementing Standard
- Part 10 Foreign Air Operators

SECTION 2 - APPLICABLE PARTS OF THE EASTERN CARIBBEAN AERONAUTICAL INFORMATION PUBLICATION (ECAR AIP)

SECTION 3 - APPLICABLE INTERNATIONAL RULES AND DOCUMENTS INTERNATIONAL/OVERSEAS OPERATIONS ICAO ANNEXES

- Annex 1 to the ICAO conventionPersonnel Licensing
- Annex 2 to the ICAO Convention ... Rules of the Air
- Annex 6 to the ICAO Convention ... Operation of Aircraft
- Annex 8 to the ICAO Convention ... Airworthiness of Aircraft
- Annex 11 to the ICAO Convention ... Air Traffic Services
- Annex 10 to the ICAO Convention ... Telecommunications
- Annex 12 to the ICAO Convention ... Search and Rescue

OTHER ICAO DOCUMENTS

- Circular 253-AN/151 Human Factors Digest No. 12 Human Factors in Aircraft Maintenance and Inspection
- Document 4444-RAC/501 - Rules of the Air and Air Traffic Service
- Document 7030 - Regional Supplementary
- Document 8168-OPS - Aircraft Operations
- Document 8335-AN/879 - Manual of Procedures for Operations Inspection, Certification and Continued Surveillance
- Document 9284-AN/905 Technical Instructions for the Safe Transport of Dangerous Goods by Air
- Document 9365-AN/910 All Weather Operations
- Document 9376-AN/914 - Preparation of an Operations Manual
- Document 9379-AN/916 Manual and Procedures for Establishment and Management of a States Personnel Licensing system
- Document 9389-AN/919 - Manual of Procedures for an Airworthiness Organisation
- Document 9642-AN/941 Continuous Airworthiness Manual

ICAO information may be obtained by writing to:
International Civil Aviation Organisation

(Attn: Distribution Officer)
PO Box 399
Succursale: Place De L'Aviation Internationale
1000 Sherbrooke Street, West
Montreal, Quebec, H3A 2R1

OCEANIC OPERATIONS

North Atlantic Minimum Navigation Performance Specifications (MNPS)
Airspace Operations Manual
North Pacific (NOPAC) Operations Manual

To obtain copies of these manuals write to:
U.S. Department of Transportation
Utilisation and Storage Section, M-443.2
Washington, D.C. 20590

INTENTIONALLY BLANK

APPENDIX 5. DEFINITIONS

The following appendix defines terms used in this advisory circular and/or the certification process.

“Certificate holding office” means the ECCAA Office, which has the responsibility for administering the certificate and is charged with the overall inspection of the certificate holder’s operations.

“Commercial Air Transport” means an aircraft operation involving the transport of passengers, cargo, or mail for remuneration or hire.

“Scheduled operation” means an aircraft operation conducted by a commercial air transport operator for which the certificate holder or its representative offers in advance the departure location, departure time, and arrival location.

“Charter operation” means operations for which the departure time, departure location and arrival locations are specifically negotiated with the operator’s customer or the customer’s representative.

“Passenger carrying operation” any aircraft operation carrying any person other than a crewmember, company employee, authorised government representative, or person accompanying a shipment.

“Principal base of operations” means the primary operating location of a certificate holder as designated by the ECCAA.

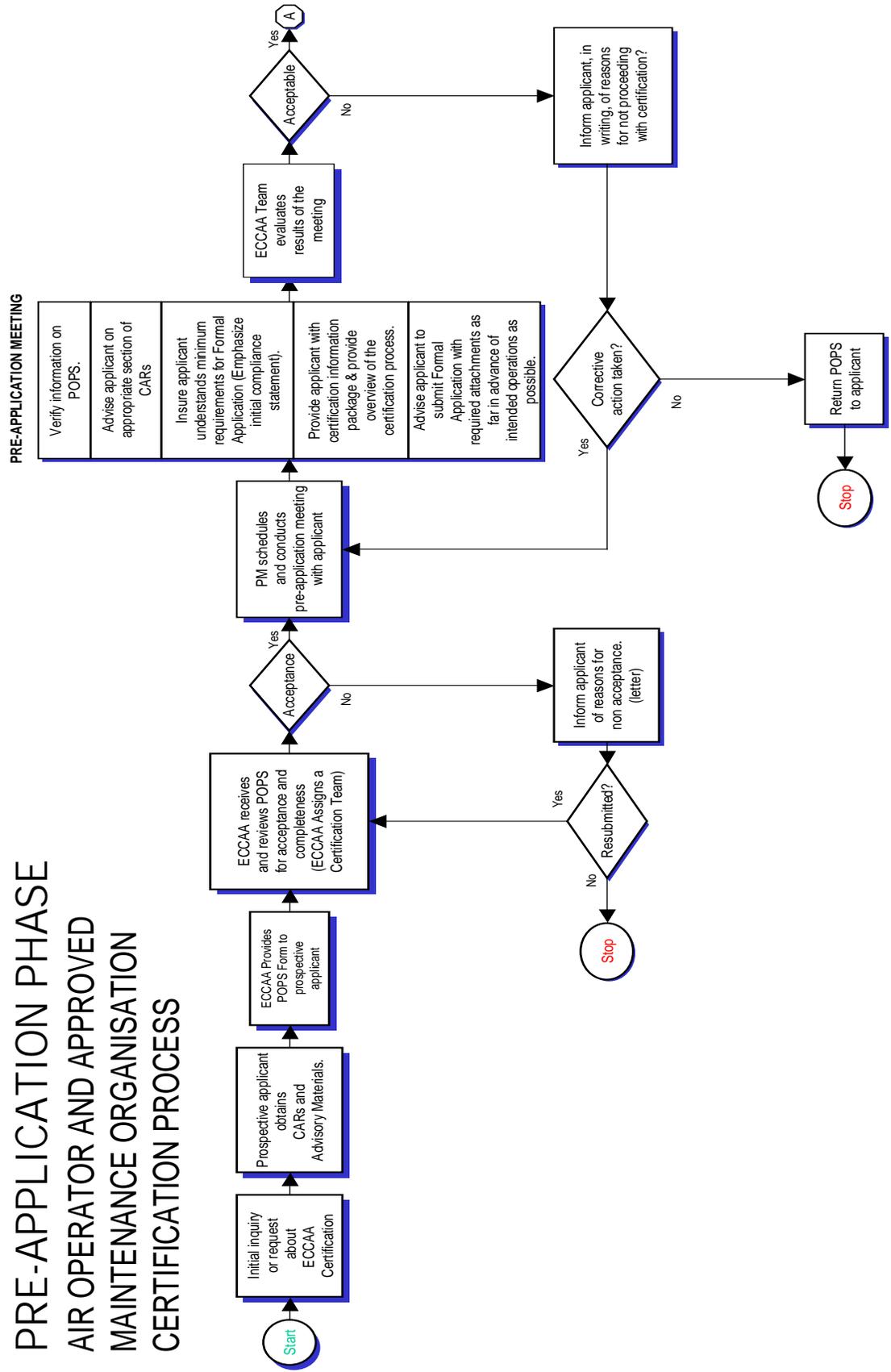
INTENTIONALLY BLANK

Appendix 6 - Certification Process Flow Chart.

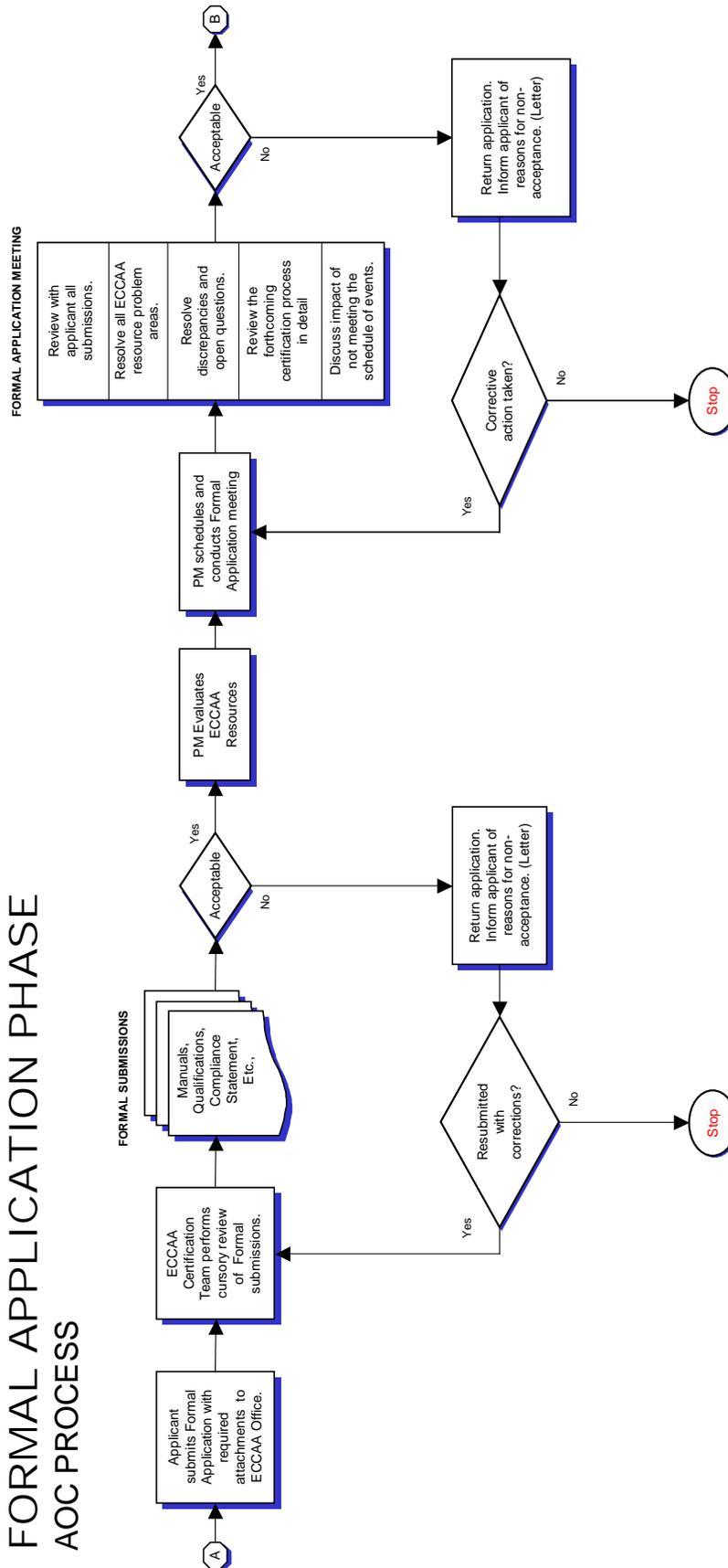
Page 1 of 5

The flow charts on the following pages are representative of the AMO and the Air Operator Certification Process.

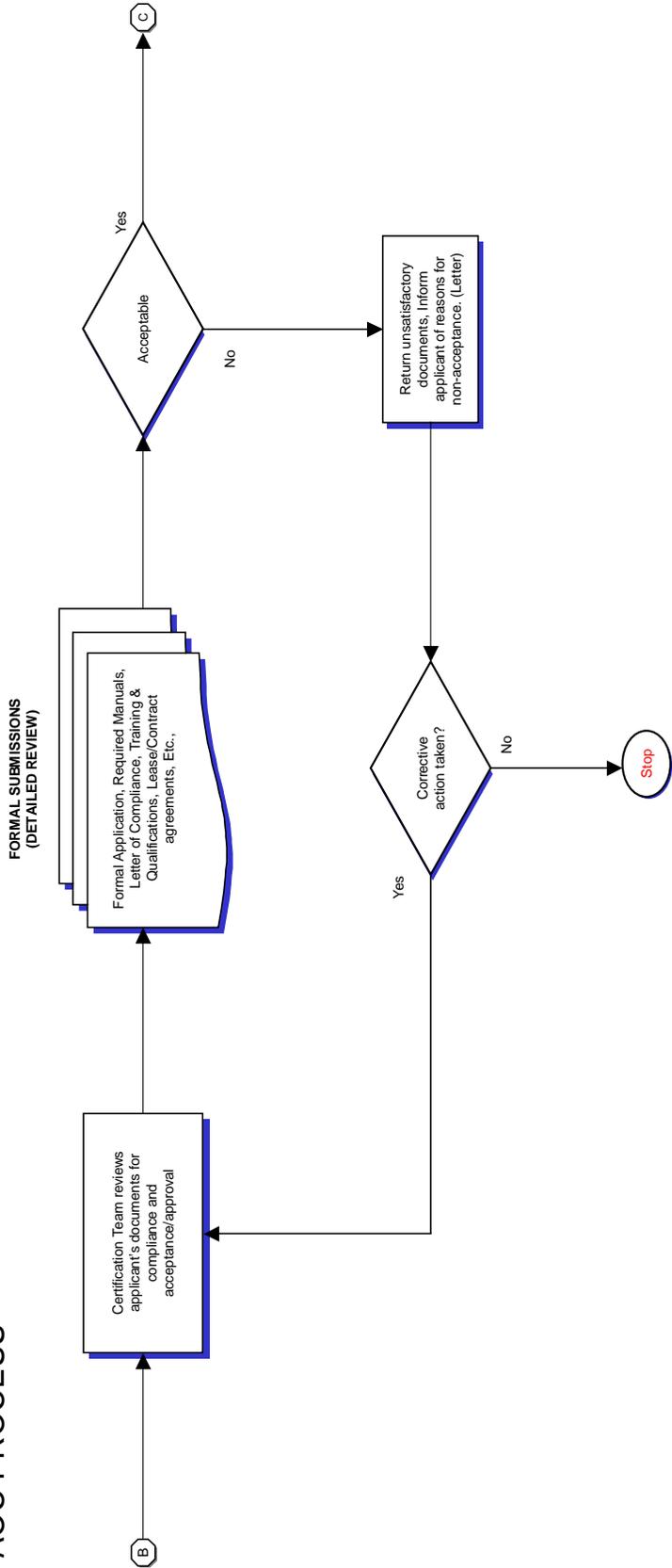
**PRE-APPLICATION PHASE
AIR OPERATOR AND APPROVED
MAINTENANCE ORGANISATION
CERTIFICATION PROCESS**



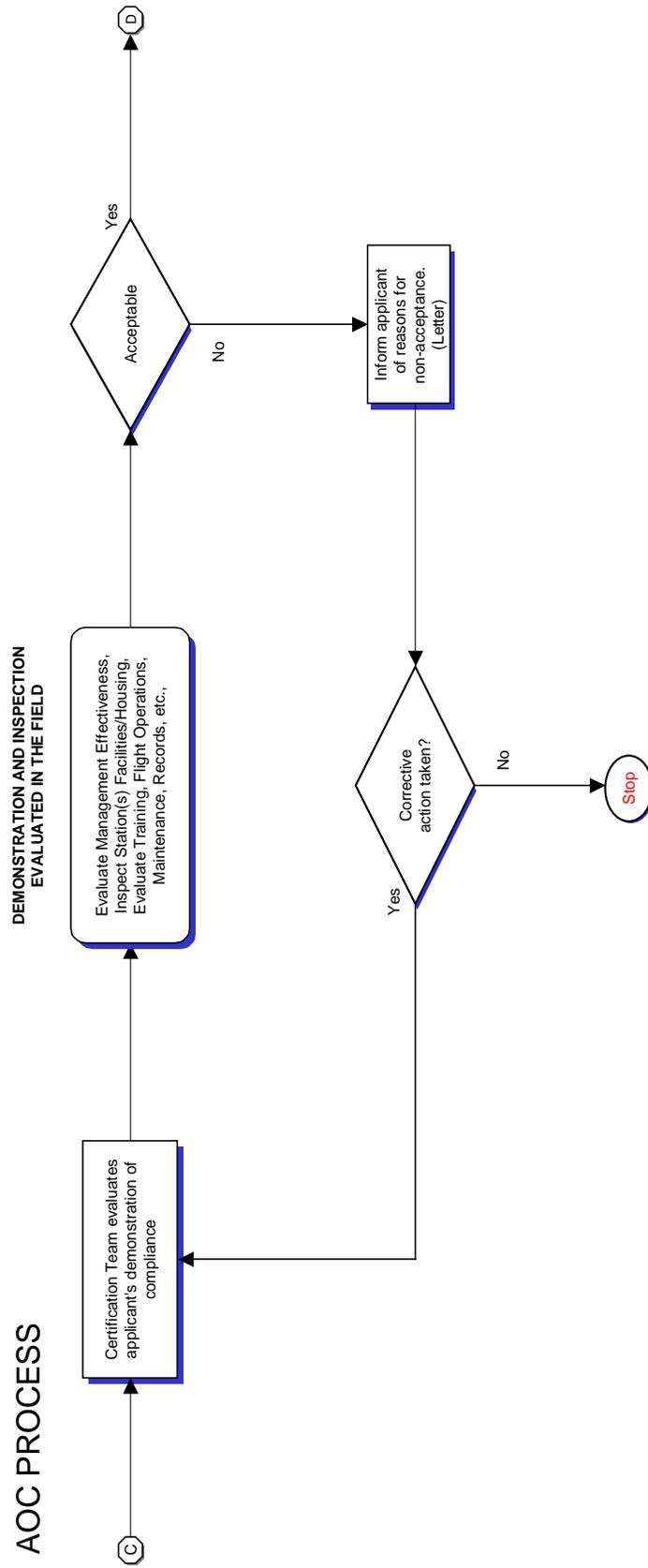
FORMAL APPLICATION PHASE AOC PROCESS



DOCUMENT COMPLIANCE PHASE
 AOC PROCESS



DEMONSTRATION AND INSPECTION PHASE AOC PROCESS



CERTIFICATION PHASE AOC PROCESS

