

TECHNICAL GUIDANCE MATERIAL

AIRWORTHINESS SURVEILLANCE OF AIR OPERATORS

Subject: TECHNICAL GUIDANCE MATERIAL FOR AIRWORTHINESS SURVEILLANCE OF AIR OPERATORS

Effective Date: 06 APRIL 2017

APPLICABILITY

Air Operators, Certificate holders and Inspectors

PURPOSE

This publication provides detailed guidance for Airworthiness Inspectors and Operators carrying out Air Operators Certificate surveillance.

REQUIREMENTS

CAR Part 121, 127 and 135

AUTHORSHIP

The publication has been prepared by the SACAA Flight Operations Department.

OFFICIAL LANGUAGE

The text may be translated into other languages as required. The English language version remains the definitive.

SECTION1

1.1 GENERAL

- 1.1.1 Continuing surveillance by the State of an AOC holder's operations is inherent in the system of certification and is an essential part of the State's responsibility to ensure that the required standards of operations are maintained in order to provide a safe and reliable commercial air transportation service to the public. Authority for this continuing process should be contained in the provisions of the Basic aviation Law.
- 1.1.2 Under the Civil Aviation Act and the Civil Aviation regulations and technical standards promulgated there under, the Director of Civil Aviation should be given the authority and responsibility to conduct inspections,

to grant, suspend, revoke or terminate an AOC and to amend the corresponding operations specifications. Additionally, the Director of Civil Aviation should have the authority and responsibility for exercising continuing surveillance over such operations to ensure that accepted safety practices and proper procedures that will promote safety in operations are maintained. To achieve this objective, the Director of Civil Aviation, and more specifically the CAA inspectorate staff, must continuously monitor operations conducted by holders of an AOC.

- 1.1.3 Required surveillance and the related inspections should be planned and conducted by CAA Inspectors assigned to, and responsible for, the operations of the holder of an AOC. Whenever specialized assistance is required, they should request such help from the Director of Civil Aviation. All Inspectors authorized to conduct surveillance must possess appropriate credentials identifying them as Inspectors employed by the CAA.
- 1.1.4 When the AOC is granted, the surveillance functions should be based on periodic random inspections of all facets of the operation. The CAA regulations prescribe a specific duration for an AOC or a specific expiration date, the operator must apply for renewal of the AOC prior to the expiration date. The request for renewal should contain the same basic information that was submitted before the original certification and should be received by the CAA well in advance of the expiration date of the AOC. CAA Inspectors will perform routine surveillance. In addition, they will conduct a complete renewal inspection covering all phases of the company's operation prior to the expiration date of the AOC.
- 1.1.5 The areas to be covered in all surveillance activities should be essentially the same as those examined during the original certification process and should include at least a re-evaluation of the operator's organization, management effectiveness and control, facilities, equipment, aircraft maintenance, operational control and supervision, cross-checking of operational and personnel records, training, company manuals, and record of compliance with the provisions of the AOC, related operations specifications and pertinent operating regulations and rules. During the surveillance activity,

CAA Inspectors should conduct base, station facility, aerodrome (or heliport), apron and en-route inspections to ensure that all important areas are covered and to have documentation available should any question arise concerning the factual basis for the inspector's recommendations.

1.2 SURVEILLANCE AND INSPECTION PROGRAM

- 1.2.1 In the first few months of a new operation, CAA Inspectors should be particularly alert to any irregular procedures, evidence of inadequate facilities or equipment or indications that management control of the operation may be ineffective. They should also carefully examine any conditions that may indicate a significant deterioration in the operator's financial condition. Examples of possible unfavorable trends in the operator's financial condition are:
 - a) Significant lay-offs or turnover of personnel;
 - b) Delays in meeting payroll;
 - c) Reduction of safe operating standards or evidence of "cutting corners";
 - d) Decreasing standards of training;

- e) Demands for “cash on delivery” by suppliers who formerly granted the operator credit;
 - f) Inadequate maintenance of aircraft;
 - g) Shortage of supplies and spare parts;
 - h) Curtailment or reduced frequency of revenue flights; and
 - i) Sale or repossession of aircraft or other major equipment items.
- 1.2.2 When such financial difficulties are encountered, CAA Inspectors should increase technical surveillance of the operations with particular emphasis on the maintenance of safety standards and should also refer the matter to the Director of Civil Aviation for any action deemed necessary, such as a financial audit.
- 1.2.3 Throughout the certification process, the CAA Inspectors should have determined the methods or systems the operator intended to use to ensure compliance with the applicable regulations, AOC and operator manuals (i.e. operations, maintenance, training, etc.). A prime objective of the surveillance and inspection program is to confirm that such methods or systems are being followed and are effective regarding operator compliance and achievement of safety objectives.
- 1.2.4 Aircraft leases and contractual arrangements entered into by the operator for aircraft maintenance, servicing or training, etc. must be thoroughly examined and a determination made of whether these arrangements are producing satisfactory results as far as safety standards and regulatory compliance are concerned.
- 1.2.5 The training program should also come under close scrutiny during surveillance to ensure that the training standards demonstrated when the program was initially approved are being maintained. If there are indications that the training provided is not achieving desired objectives or has resulted in a high failure rate on various tests or examinations, CAA inspector(s) must make certain that the operator takes necessary measures to revise the approved training program in order to ensure that trainees reach the required level of competence.
- 1.2.6 If the CAA has approved flight engineers, their performance must be observed and evaluated during the course of the surveillance program. This evaluation should be conducted by an inspector qualified on the specific type of aircraft utilized by the operator. The evaluation may be accomplished either during a proficiency check in that aircraft or an approved aircraft full flight simulator or during a line check over representative routes or areas of the authorized operation. The flight engineer must satisfactorily demonstrate knowledge of the aircraft and related systems, operator procedures, authorized route structure and pertinent regulations. Such individuals should also demonstrate competency in evaluating the performance of other flight crew members. The personal ability and integrity of flight engineers should be exemplary and their requirement for a high standard of performance from other pilots and flight engineers being tested should not be in doubt.
- 1.2.7 As indicated previously, the surveillance function should be accomplished on a continuing basis, performed at specified times or intervals or conducted in conjunction with the renewal of an AOC. Regardless of the method used, all significant aspects of the operator's procedures and practices should be evaluated and appropriate inspections conducted at least once in every twelve-month period.

1.2.8 The operator surveillance and inspection program should:

- a) establish that the operator has conducted, and is likely to continue to conduct, operations in accordance with good operating practices, the AOC's operations specifications, operations and maintenance manuals and the relevant operating regulations and rules;
- b) ensure that all changes in the applicable operating regulations and rules and in the amendments to the AOC or operations specifications or improvements in operating procedures are put into practice and, when necessary, reflected in amendments to either the operations or maintenance manuals;
- c) keep the Director of Civil Aviation informed of the operator's competency, current operating practices and record of compliance;
- d) afford the Director of Civil Aviation the opportunity to recommend regulatory or policy changes if the surveillance inspections indicate such action would result in improvements in operating safety standards;
- e) Establish whether the operator's exercise of the privileges of the AOC should be continued, suspended, revoked or made the subject of further operating limitations.

1.2.9 Throughout all phases of the surveillance program, the standards of operator capability and competence should be equal to or exceed that required at the time of original certification. Accordingly, CAA Inspectors conducting surveillance and related inspections should carry out such activities in a thorough manner and require the operator to convincingly demonstrate that operations are being conducted in accordance with the AOC and related operations specifications, the operator manuals and appropriate civil aviation regulations and that, as a consequence, the AOC authority should continue.

1.2.10 In summary, the surveillance and inspection program should provide a comprehensive and conclusive assessment of the operator's continuing competence. Moreover, the associated inspection reports should indicate whether the inspection and surveillance system and procedures employed by the CAA are effective in determining the operator's competence, record of compliance and over-all capability.

1.3 ACTION ARISING FROM CONTINUED SURVEILLANCE

1.3.1 When, in the course of the Operator surveillance program, deficiencies are observed, the cause should be determined, prompt corrective action taken and appropriate follow-up initiated to determine the effectiveness of the corrective action. Additional inspections should be conducted whenever problems in particular areas repeatedly recur.

1.3.2 Should the surveillance and inspection program and related inspection reports reveal that the holder of the AOC has failed or is unable to meet or maintain the required standards for certification or the conditions specified in the AOC or related operations specifications, the CAA Inspector primarily responsible for the surveillance of the operation must promptly advise the operator of the deficiency observed and the remedial action required within a specified time. If the operator does not correct the deficiency when required, the CAA inspector should immediately inform the Director of Civil Aviation with a recommendation that the operator's AOC privileges be temporarily or permanently withdrawn or restricted.

- 1.3.3 Whenever the CAA inspector primarily responsible for surveillance of the operation believes that safety considerations dictate immediate action to suspend or revoke an AOC, the CAA inspector should promptly inform the Director of Civil Aviation. If, after careful review of all circumstances involved and necessary co-ordination and consultation within the CAA, there is agreement on the need to suspend or revoke the operator's AOC privileges, the Inspector should forward a letter to the operator summarizing both the proposed action and the reasons for it. When an AOC is cancelled or revoked for any reason, the operator must promptly return the AOC to the issuing official.

1.4 FREQUENCY OF INSPECTIONS

- 1.4.1 The following guidelines are suggested as minimum requirements with respect to the frequency of conducting the various inspections.

Type	Frequency
Station facility inspection	annually
Station maintenance facility inspection	annually
Regular aerodrome inspection	annually
Apron inspection	annually
En-route inspection	annually
Base inspection	semi-annually
Base maintenance facility inspection	semi-annually

- 1.4.2 The frequencies suggested above may of course be modified somewhat depending upon the scope and diversification of the operator's flights and the staffing limitations of the CAA inspectorate or the scheduling limitations of others who may perform these inspections for the Director of Civil Aviation under contractual or cooperative arrangements.

1.5 Continued Surveillance Planning

- 1.5.1 The following outlined procedures form the present system of continued certified operator surveillance. This procedure also forms the basis of the planned electronic system which will be the final product for use by the SACAA. In the near future these systems will run in parallel for the purposes of evaluation, testing and final audit.

1.5.1.1 Eleven Step Procedure

1. Management of Inspectors for Tasks.
2. Confirm all relevant payments have been made by the client (**renewal**).
3. Inspect and analyze database and previous results/findings.
4. Refer to and update spreadsheet for present and projected yearly planning.
5. Allocate annual/ /adhoc /ramp/ route and follow-up inspections in conjunction with other relevant departments. e.g. Flight operations


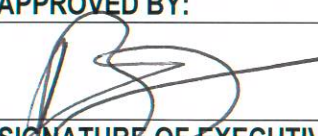
6.
 - a. Arrange meeting with all relevant Inspectors.
 - b. Carry out and complete the relevant checklists on site followed by the relevant debriefing.
 - c. Complete and process the inspection report.
7. Update spreadsheet with respect to annual /ad-hoc/ramp/ route and follow-up checklists.
8. Carry out relevant follow-up inspections on operators where problem areas were found.
9. Complete monthly/yearly reports for management planning.
10. Carry out month/year end analysis and extract fault/statistic data for corrections and carrying over to next month/year.

1.5.2 This process is a loop functioning procedure which ensures an ongoing improvement plan.

1.6 SUMMARY

- 1.6.1 Analysis of the various inspection reports will indicate a pattern of weaknesses or deficiencies, if such weaknesses or deficiencies exist, and will often identify causes and possible remedies. The Director of Civil Aviation, who has a legal responsibility for safety, must be satisfied that an operator is competent to conduct safe operations. Therefore, the Director of Civil Aviation relies heavily on the inspection reports and the recommendations of the CAA inspectorate.

It should be a fundamental requirement that all significant deficiencies noted in the course of inspections be promptly brought to the operator's attention in writing. First, however, a discussion on the matter between the operator and the CAA inspectorate should take place and any corrective action agreed upon so that the letter may be in the nature of a note for the record. This procedure generally eliminates the risk of misunderstanding, keeps correspondence to a minimum and facilitates better relations between the operator and the CAA inspectorate.

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