

# **TECHNICAL GUIDANCE MATERIAL**

## **for**

# **Certification Process**

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**SUBJECT:** TECHNICAL GUIDANCE MATERIAL FOR CERTIFICATION PROCESS

**EFFECTIVE DATE:** 17 March 2022

### **APPLICABILITY**

This Guidance Material is applicable to Air Transport Operators under South African Civil Aviation Regulations Part 93, 121, 127, 128, 135, 136 and 137 and individuals or organisations requiring information about the South African approval process to conduct operations under the listed Parts. This TGM also applies when an AOC holder proposes to add a different aircraft, whether leased or owned, to their Operations Specifications or substantially change the type of operation such as from cargo to passenger carrying.

### **PURPOSE:**

The South African Civil Aviation Regulations of 2011 amended states *“No air service operator shall operate an aircraft unless the operator is the holder of and complies with the conditions of a valid AOC including the operations specifications attached thereto and an air services licence issued in terms of the Air Services Licensing Act, No. 115 of 1990, or the International Air Services Act, No. 60 of 1993.”*

This Guidance Material provides guidance to those operators or individuals, who propose to apply for approval to conduct commercial air transport operations. All commercial operators based in the South Africa must obtain an Air Operator Certificate (AOC) and Operations Specifications issued by the SACAA before conducting commercial activities.

The guidance detailed in this Technical Guidance Material enables a prospective operator to determine their capability of meeting the South African Civil Aviation Regulation’s requirements. Existing operators wishing to vary their AOC with a different type of aircraft or operation should follow the same general process.

### **REQUIREMENTS:**

Part 93, 121; 127, 128, 135, 136 and 137 of the South African Civil Aviation Regulations of 2011, as amended. To conduct Commercial Air Transport Operations under South African Civil Aviation Regulations, an operator must be a citizen as defined in South African Aviation Act. The SACAA 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 are capable of fulfilling this duty. When satisfactorily completed, the certification process should ensure that the operator is able to comply with the South African Aviation Act, Air Services Licensing Act, International Air Services Act, South African Civil Aviation Regulations, and the international standards pertaining to the operation of aircraft as published in relevant ANNEXES of the convention of International Civil Aviation Organisation (ICAO).

Under no circumstances will an applicant be approved, until the South African Civil Aviation Authority is confident that the prospective certificate holder is capable of fulfilling the required responsibilities, and willing to comply with the South African Civil Aviation Regulations in an appropriate and continuing manner

**Note:** Air Transport Operator economic regulatory functions are under the jurisdiction of the South African Department of Transport (Air Services Licensing Council “ASLC”).

**1. REFERENCE:**

- i. SACAR Part 93
- ii. SACAR Part 121
- iii. SACAR Part 127
- iv. SACAR Part 128
- v. SACAR Part 135
- vi. SACAR Part 136
- vii. SACAR Part 137
- viii. Subpart 6 of SACAR Part 93, 121, 127, 128 ,135, 136 and 137
- ix. ICAO Annex 6
- x. SACAR Part 21
- xi. SACAR Part 43
- xii. SACAR Part 48
- xiii. SACAR Part 61
- xiv. SACAR Part 62
- xv. SACAR Part 63
- xvi. SACAR Part 64
- xvii. SACAR Part 66
- xviii. SACAR Part 91
- xix. SACAR Part 92
- xx. SACAR Part 138
- xxi. SACAR Part 140
- xxii. SACAR Part 141
- xxiii. SACAR Part 145

**2. TERMS AND ABBREVIATIONS:**

TERM	DEFINITION
Agent for Service	The person upon whom service of all notices and processes and all orders, decisions, and requirements of the South African Civil Aviation Authority shall be made
Charter operation/Non-Scheduled	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 means
Commercial Air Transport	means an aircraft operation involving the transport of passengers, cargo, or mail for remuneration or hire.
Compliance Statement	or Statement of Compliance is a document which gives details as to how each regulation will be complied with.
Operating Specifications	is a document which details the scope and limitations of the proposed air operation
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 SACAA.
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.

ABBREVIATION	DESCRIPTION
AMO	Aircraft Maintenance Organisation
AOC	Air Operator Certificate
ASL	Air Service Licence
ASLC	Air Service Licence Council
SACAR	Civil Aviation Regulations
SACATS	Civil Aviation Technical Standard
DCA	Director of Civil Aviation
DG	Dangerous Goods
NDoT	National Department of Transport
E: ASO	Executive: Aviation Safety Operations
EDTO	Extended Diversion Time Operations
MCM	Maintenance Control Manual
OpSpecs	Operating Specifications
POPS	Prospective Operator's Pre-assessment Statement
SACAA	South African Civil Aviation Authority
SM: FOD	Senior Manager Flight Operations Department
TGM	Technical Guidance Material

**Note:** The term, “applicant,” as used in this TGM, means either a prospective AOC approval holder applying for an initial AOC, or an AOC holder requesting additional operating authority.

### 3. CERTIFICATION OF COMMERCIAL AIR TRANSPORT OPERATORS

#### 3.1 Overview

3.1.1 The initial issue of an Air Operator Certificate to an applicant takes place in five distinct phases. Each phase is described in sufficient detail to provide a general understanding of the entire certification process. (See figure 1 for a detailed flow chart of the entire certification process). The five phases are:

- a. Pre-application.
- b. Formal application.
- c. Document evaluation.
- d. Demonstration and Inspection
- e. Certification.

**Note:** If the formal application package is incomplete or otherwise unacceptable, the certification project manager will inform the applicant, providing details of the deficiencies and advice on the resubmission of the formal application.

3.1.2 Each phase of the certification process shall be satisfactorily completed meeting all regulatory requirements prior to proceeding to following phase. The certification project manager will issue a letter to the applicant advising of the acceptability of each phase before next phase can commence.

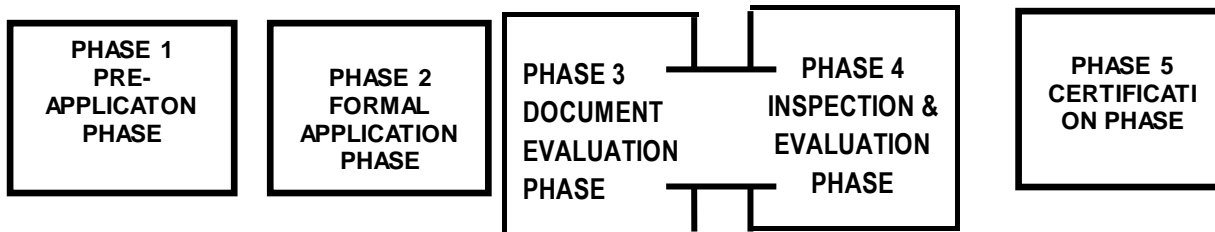


Figure 1

### 3.2 General

- 3.2.1 The SACAR, of 2011, as amended under subpart 6 of the relevant Parts of commercial air transport regulation states that no persons shall operate an air transport service to, from and within South Africa without an approval from the DCA. Air Operator Certificate “AOC” approval specifies the nature and scope of operations granted to an air operator together with the terms, conditions, and limitations applicable to such operations. An operator is required and expected to ensure that all operations undertaken are well within the requirements specified in the AOC approval
- 3.2.2 Accordingly, Air Operator’s Certificates for operating the following types of air transport services are issued by SACAA to applicants who meet the laid down requirements for the specific type of air transport service:
- a. Scheduled public air transport service (Passenger)
  - b. Scheduled public air transport service (Cargo)
  - c. Non- Scheduled public air transport service (Passenger)
  - d. Non- Scheduled public air transport service (Cargo)
- 3.2.3 These Air Operator’s Certificate approval are granted in compliance with the provisions of SACARs.
- 3.2.4 The formal application phase commences when the applicant lodges a formal application for an AOC approval, accompanied by various documents and manuals intended to prove or describe its operations. This formal application should begin at least 90 days prior to the intended start date of revenue operations. Formal application is associated with a meeting attended by the proposed CEO/Accountable Manager, nominated post holders and key personnel from both the applicant and the SACAA. (Details of the formal application will be discussed in more detail in Section 5.1 of this TGM)
- 3.2.5 The SACAA issues the AOC in two parts, the AOC approval itself and the associated operations specifications (OpSpecs) that specifies the nature and scope of operations authorised together with relevant conditions and limitations (e.g., RVSM, PBN, RNP etc.).
- 3.2.6 The SACAA is authorised to suspend or cancel an AOC approval, if one or more of the conditions stipulated therein is breached or not maintained to the same level as demonstrated at the initial certification.
- 3.2.7 Prior to issuing an AOC approval, the SACAA needs to be satisfied that the operator conforms to all the requirements of relevant regulations, requirements and associated guidance material published by the SACAA.

### 3.3 Certification Process

- 3.3.1 The certification process requires the SACAA to ascertain through a systematic process whether or not a prospective applicant has both the required ability and resources to comply with the applicable legislative requirements and to fulfil the applicant’s actual and potential obligations for operation of safe, secure, efficient and regular air transport services as proposed. This process involves five distinct phases as stated below:

#### 3.4 Pre-application.

- 3.4.1 During this phase, the applicant conducts initial studies, prepares plans, makes inquiries from the SACAA in regard to the opportunities available under the existing air services agreements and seeks advice as to the validity of different proposals. The prospective applicant at this stage is required to submit a statement of intent to the SACAA outlining the proposal.
- 3.4.2 The Department of Transport is the Appropriate Economic Authority, it the applicant’s responsibility to apply to the Air Services Licence Council for obtaining the appropriate economic authority by means of an issued Air Services Licence number. The SACAA will not issue an AOC until economic authority is obtained

### **3.5 Pre-application Statement of Intent and documentation.**

3.5.1 The pre-application statement of intent and documentations are reviewed by the SACAA and this statement should be in the form of a letter from the operator or prospective operator. It should contain at least the following:

### **3.6 Content of Letter of Intent**

3.6.1 Type of operation.

3.6.2 Type(s) of aircraft.

3.6.3 Area(s) of operation.

3.6.4 Route structure and traffic potential

3.6.5 Nature of aircraft and/or simulator training programme.

3.6.6 Location of main base and other facilities.

3.6.7 Management organisation structure and qualifications of Accountable Manager, Operations, Training, Ground, Security, Quality, SMS and Maintenance Control System Post Holders if available. Names of Post Holders must be submitted prior to the formal meeting.

3.6.8 Approximate date of commencement.

### **3.7 Formal application.**

3.7.1 On completion of pre-application phase if the applicant desires to proceed further then the applicant is required to submit the complete application CA AOC-01 to the SACAA together with the fees and relevant documents to support the intended operation and this will constitute initiation of the formal application phase.

3.7.2 The SACAA will then make a formal assessment of the completeness of the applicant's proposal and invite the applicant for a Formal Application meeting where the details relating to the certification process would be formally discussed.

### **3.8 Document evaluation.**

3.8.1 During this phase, the SACAA will undertake a detailed scrutiny of the applicant's manuals and other documents, which accompanied the formal application.

3.8.2 The documentation must be complete, accurate and current to satisfy the SACAA's requirements. Qualifications and experience of the nominees for Designated Postholders will be evaluated and the designated post holders will be interviewed where applicable, approval/acceptance for the same will be granted.

3.8.3 There will be series of discussions between the SACAA and the approved/accepted post holders of the applicant at this stage in regard to establishing the validity/ acceptability of the applicant's proposals.

3.8.4 It should be noted that the documents shall reflect precisely the mode and manner in which the applicant intends conducting the proposed operations and once approved, they shall form a part of the understanding between the SACAA and the operator in regard to future functioning of the operator.

### **3.9 Demonstration and Inspection.**

3.9.1 During this phase, the applicant needs to demonstrate to the SACAA that the applicant is in a position to conduct the proposed operations in accordance with the procedures detailed in the documents/ manuals reviewed during the previous phase utilizing the personnel/ facilities/ equipment identified in the formal application. Aircraft, maintenance facilities and arrangements will be inspected.

3.9.2 Training facilities, programmes and training personnel will be evaluated. Company's organisational structure, channels of communication, delegation of powers, effective arrangement and control to satisfy its obligations.

3.9.3 Facilities for flight operations, ground handling, facilities and services for passenger, baggage and cargo handling including dangerous goods and security arrangements would be evaluated. Flight, cabin and technical crew, operations and maintenance staff, flight operations officers, examiners/ flight engineers and load/ trim personnel, as applicable, will also be assessed.

3.9.4 If the SACAA is satisfied with the above arrangements, demonstration flight(s) will be conducted to one or more destinations of intended operations, as determined by the SACAA.

3.9.5 This phase may reveal the need for some operational changes, which in turn may require the applicant to make amendments to the documents originally submitted.

3.9.6 All elements must be satisfactorily completed before proceeding to the certification phase. During this phase, administrative action to formally approve the, the Aircraft, facilities and procedures specified in the Operations Manual, AMO, Training & Checking organization will also be undertaken.

### **3.10 Certification.**

3.10.1 When all the preceding phases have been satisfactorily completed, the SACAA will issue the Air Operator's Certificate approval and the associated Operations Specifications.

### **3.11 Responsibility of the Applicant**

3.11.1 A major objective of the air operator certification is to ensure that an applicant for an AOC is fully aware and has clearly understood at the very outset about the actual & potential obligations arising out of the proposed operations (especially the legal & social responsibilities) and the financial commitments required to sustain the proposed operations in conformity with the published civil aviation requirements relating to safety, efficiency and regularity of air transportation.

3.11.2 Accordingly, an Air Operator Certificate approval will not be issued until the SACAA is fully convinced and satisfied beyond any doubt that all requirements for issue of an Air Operator's Certificate approval have been complied with, prior to commencement of the proposed operations and that the operator has both the required aptitude and resources to maintain proposed services without compromising any of the initial conditions of certification.

3.11.3 The type of aircraft proposed may require the applicant to provide the SACAA staff with type specific training if the SACAA does not have type qualified inspectors (only applicable to aircraft type which is on the SACAA Aircraft Register). The applicant will be responsible for the cost of training of a maximum of two Flight Operations Inspectors and two Airworthiness Inspectors, as also any other officer(s) of the Certification Team as specified during the certification process. It should be noted that type endorsement training for the Flight Operations Inspector would involve ground and flight/ simulator time. The inspector(s) must have completed their training either before any member of the operator commences their training or at the same time that the first crewmembers of the prospective operator receive their training.

3.11.4 In the event, the holder of an AOC approval inducts or replaces any of their aircraft with a new type of aircraft or an aircraft for which type qualified inspectors are not available with SACAA at that time in service, the AOC approval holder shall incur the same responsibilities and expenses as outlined in paragraph 3.2 (c) above.

### **3.12 Approval for the issue of an Air Operator's Certificate**

3.12.1 Initial issue of an AOC approval together with the Operations Specification, which is required for the intended operations, will be issued once the certification team makes the required recommendations.

### **3.13 Schedule of Events**

3.13.1 This is a written statement to be provided by the applicant in a form as specified in CA AOC-F-008 containing a list of items, documents, manuals, activities, aircraft, and/or facility acquisition or procurements which the applicant must accomplish or make ready, including the dates on which they will be submitted to the SACAA for approval or will be ready for the SACAA inspection. The Schedule of Events shall be pre-coordinated with the Project Manager in charge of the certification process. Revision to timelines is mandatory in the event the Project Manager foresees the inability of the applicant or certification team to perform given task as per original schedule.

### **3.14 Statement of Compliance**

3.14.1 Statement of compliance is a declaration by an applicant that the applicant is aware of and has a plan that is approved by SACAA to satisfy all pertinent regulations and applicable safety standards promulgated by the SACAA. The statement is in the form of a detailed list of SACARs that will be applicable to the proposed operations. The applicant is required to provide a brief narrative, describing the intended method of compliance, which shall be achieved against each item of the regulatory requirements. The applicant shall complete the SACAA statement of compliance form CA AOC-C-017.

- 3.14.2 Where the operator does not or cannot comply with the normal requirements and seeks an exemption or alternative means of compliance “AMOC” in lieu, the Compliance Statement should reflect that particular exemption/ AMOC has been sought. The exemption/ AMOC should have been sought in accordance with Part 11 and the operator has received an approval from the Director. Only approved exemption/ AMOC and the conditions associated with the approval, should be reflected on approval of the Statement of Compliance.
- 3.14.3 Operators, after receiving the formal approval for flight operations through an AOC approval and associated Operations Specification, shall ensure compliance with all changes to SACAA regulations as issued from time to time and provide an update of Statement of Compliance to the principal inspector.

### 3.15 Certification Team

- 3.15.1 The SACAA will appoint a team for the certification process. A certification team is a group of SACAA Inspectors appointed to carry out the document reviews, inspections and assessments required prior to certifying an applicant as suitable to hold an AOC approval. The size of the team will vary according to the size and complexity of the operator’s proposed scope. The team will be headed by a Project Manager who shall be responsible for managing the overall certification process and in particular, the coordination of the activities of operations and airworthiness teams. The certification team may comprise of the following directorates/ divisions of the SACAA:
- a. Flight Operations
  - b. Airworthiness
  - c. Cabin Safety
  - d. Dangerous Goods
  - e. Aviation Security
  - f. and any other department member as deemed appropriate for the type of operations.

**Note:** *The SACAA Inspectors will be using the relevant checklists to evaluate the applicant’s arrangements for the proposed operations during the Documentation Evaluation Phase and Demonstration and Inspection phase prior to Certification Phase.*

- 3.15.2 The applicant is expected to meet the SACAA inspectors to discuss the process involved with each discipline of the Certification. The meeting between the applicant and the certification team is an official meeting with a set agenda, recording of minutes and attendance register.

## 4. PRE-APPLICATION PHASE.

### 4.1 Initial Inquiries or Request

- 4.1.1 The pre-application phase commences with the applicant making an initial inquiry by email to the SACAA.
- 4.1.2 The prospective applicant at this stage is required to submit a statement of intent to the SACAA outlining the proposal.
- 4.1.3 Make necessary applications to NDoT (assessment concerning the financial, economic, and legal aspects). Upon the issuance of ASL and the request of proposed operator thereafter, the SACAA arranges for a pre-application meeting. However, the pre-application meeting can also be conducted for an applicant who does not have an ASL and needs to be guided on the process. In such cases the ASL will have to be submitted by the applicant prior to initiating the formal application phase.
- 4.1.4 Receipt of ASL in such cases will constitute the completion of the Pre-application stage

**Note:** *The pre-application phase can ensue in parallel with the ASL Council assessment of the financial, economic and legal status of the applicant and the proposed operation.*

- 4.1.5 **Applicant orientation upon initial contact.** During the pre-application phase the applicant meets with SACAA and discusses in general the initial plans and the viability of different proposals. The SACAA inspectors will provide the applicant with this TGM, a “Prospective Operator’s Pre-assessment Statement (POPS)” form (CA AOC-F-003) and CA AOC-AC-000 “TGM for Pre-application Information Package”. In addition, the inspector will answer any general questions on the air operator certification process.

- a. The SACAA will advise the applicant to thoroughly review the South African Civil Aviation and TGMs. The SACAA should further provide guidance concerning personnel, facilities, equipment and technical data requirements and an explanation of the certification process, in a standard information package for applicants for an AOC.
- b. The SACAA will request the applicant to complete the POPS and to submit the completed POPS to the SACAA.
- c. The completed POPS denote intent by the applicant to continue the certification process. It also allows the SACAA to plan activities and prepare to commit resources and its further used to evaluate the complexity of the proposed operations.
- d. The SACAA will review the POPS to ensure that information is sufficient to further process the pre-application. The SACAA will ascertain that the proposed operation is consistent with the SACAR Part under which the applicant is proposing to operate.
- e. The applicant will be notified in writing on the acceptance or unacceptable POPS. If the POPS is unacceptable the SACAA's letter will detail the reasons and inform the applicant to submit the new POPS. If the POPS is acceptable the SACAA will process the POPS within 5 working days of receipt.
- f. The SACAA will request the applicant to schedule an appointment for further discussions, allowing enough time for the applicant to thoroughly review and understand the requirements of the "Pre-Application Phase" as discussed in this TGM. The applicant should plan to bring key management personnel, the completed resumes for the management personnel and the completed POPS form to the pre-application meeting.

## **4.2 There are three distinct activities, which are conducted during this phase.**

### **4.2.1 Pre- Application - Statement of Intent**

The applicant is required to provide a Statement of Intent, which should contain the following:

- a. The type of operation;
- b. The type(s) of aircraft;
- c. Aircraft owned or leased;
- d. Type and duration of the lease agreement;
- e. The aircraft registration;
- f. The areas(s) of operation and route(s) proposed;
- g. Operational control mechanism planned;
- h. The nature of aircraft and/ or simulator training and operational facilities;
- i. Location of administrative, maintenance and operational facilities;
- j. The qualifications of Nominated Post Holders; and
- k. The approximate date of commencement.

**Note:** *The statement of intent may not have all or some portion of the above information. Individual or an operator may seek a pre- application meeting for guidance on the certification process*

### **4.2.2 Pre-Application Meeting**

The purpose of this meeting is to ensure that the applicant has a clear understanding of the certification process and to provide a firm basis on which the SACAA can start planning allocation of resources for the issue of an AOC. As a minimum, the following points will be discussed during this meeting:



- a. The specific requirements particular to the proposed operation, and relevant regulatory requirements (SACARs, TGMs etc.)
- b. The qualifications and experience required for the nominated post holders.
- c. The certification process - The applicant must closely liaise with the SACAA certification team.
- d. The required form and content of the Formal Application and its attachment – The formal application and its attachments must be submitted at least 90 working days before the date of intended revenue operation. Ninety (90) working days will only provide adequate time to handle the application if all aspects are correct and complete at the time of submission. This does not mean that the SACAA will be able to complete the certification process within this time span. The completion of the certification process would not only depend on the completeness of the application, and the willingness of the applicant to satisfy the SACAA requirements but also the workload already undertaken by the SACAA inspectors under its annual work programme.
- e. It is imperative that the applicant understands that no revenue operations shall be permitted until the AOC and Operations Specifications are issued.
- f. The fee which shall accompany the formal application will not be refunded. If certification has not been completed within the validity of the initial ASL due to either a lapse or a delay on the part of the applicant, the application may be deemed to have expired. The following are examples of situations that can result in delays of certification;
  - i. Not meeting the schedule of events;
  - ii. Not providing lease agreements or other documentation as required by SACAA;
  - iii. Unreasonable timing in the schedule of events or failing to provide adequate buffers to cover possible delays;
  - iv. Submission of incomplete or unacceptable material or other required documents that must be returned for correction;
  - v. Nomination of unacceptable personnel as Nominated Post Holders, lack/ inadequacy of proficiency of crewmembers or maintenance personnel;
  - vi. Unsatisfactory standards as revealed by inspections and/ or demonstrations, e.g. demonstration flights, conformity checks, etc.;
  - vii. Untimely or unsatisfactory development of the maintenance programs and/ or delays in obtaining a conformity inspection for the aircraft;
  - viii. Non-availability of applicable manuals, records and other documents which are required to be completed / approved or accepted prior to certification. These should be drafted and completed prior to the submission of the formal application;
  - ix. Special additional requirements, where an applicant is introducing a type of aircraft which is not on South African Aircraft Register

#### 4.2.3 Post Pre-Application Meeting

- a. Following the pre-application meeting, and if the applicant decides to proceed, the applicant will inform the SACAA, of the same and also submit a copy of ASL as obtained from ASLC (if not submitted earlier). The SACAA will advise the operator (in writing) to prepare and submit the formal application along with requisite fees associated with the certification process.

- b. The formal application must be submitted to the certification project manager and, the applicant will be notified (in writing) of its acceptance or rejection within 10 working days. It is advisable that applicant should submit the formal application as far in advance as possible of the intended starting date

## 5. FORMAL APPLICATION PHASE

### 5.1 General

- 5.1.1 The formal application phase commences when the applicant forwards the formal application with its accompanying documentation, together with the applicable fees as prescribed in SACAR Part 187. The application should be signed by either the CEO/ Accountable Manager or person delegated to act on behalf of the applicant.
- 5.1.2 When the formal application is received, the SACAA will arrange a formal application meeting, subject to the SACAA certification team confirming the manuals and documents submitted are in order. If there are omissions or errors, the formal application and all attachments will be returned to the applicant with a letter outlining the reasons for its return and unacceptability.
- 5.1.3 The applicant's key management personnel are required attend the formal application meeting. The purpose of the meeting is to discuss the formal application and resolve any questions concerning the applicant's package, or answer questions from either party, or to resolve scheduling date conflicts.
- 5.1.4 The SACAA will notify the applicant in writing regarding the acceptability of the formal application package.
- 5.1.5 The formal application must be submitted at least ninety (90) working days before date of intended revenue operations. A brief description, of applicable attachments are covered in the formal application form CA AOC-01 and the manuals/ Information to be submitted with the formal application is listed in 5.2 below.

### 5.2 Manuals/Information to be submitted with the formal application

- 5.2.1 **Initial Draft Operations Specifications.** Initial draft OpSpecs describes the applicant's intended authorisation, limitations, provisions, and privileges specific to the operator's operations. It forms part of the formal application submission. The certification project manager will prepare an initial draft OpSpecs and discuss the draft with the certification team. Both the certification project manager and the applicant should agree on the contents of the draft OpSpecs. The OpSpecs (should be clearly marked draft) will be used during the demonstration flight(s).
- 5.2.2 **The Schedule of Events.** This is a list of items, activities, aircraft, and/ or facility acquisitions which must be accomplished or made ready, including the dates on which they will be ready for the SACAA to inspect. It is important that the schedule be realistic and contains sufficient flexibility to allow for unforeseen contingencies. A factor which must be considered when the schedule of events is forwarded is whether the SACAA has operations and airworthiness inspectors already trained on the proposed aircraft type and if not, how long will it take to train them (this is only applicable to a new aircraft type is not on South African Aircraft Register).
- 5.2.3 **Statement of Compliance.** The compliance statement (form CA AOC-C-017) should be in the form of a detailed listing of SACARs that will be applicable to the proposed operation with a brief narrative description of compliance. If the method of compliance has not been fully developed, a statement of intent should be provided indicating the intent to comply. At this stage of the certification process, the applicant is expected to have considered the proposal in details and there should be a few areas, if any, in which precise compliance information is not available. Documents that may be referred to in the compliance statement includes the manuals indicated in paragraph 5.2.6.
- 5.2.4 **Nominated Post Holders.** The applicant is required to submit detailed Curriculum Vitae (CVs) for all nominated postholders. The applicant should clearly define the duties, responsibilities, and authorities of the postholders in the operations manual and other relevant manuals. A clear description of functional tasks and lines of reporting should be established and documented and in this regard the applicant shall have the following persons that should be approved by SACAA:
  - a. Chief Executive Officer (Accountable Manager)
  - b. Person Responsible: Flight Operations
  - c. Person Responsible: Aircraft

- d. Safety Manager (ASO)

**Note:** *the above postholders are approved by the ASLC, the approval as issued by the council should be submitted as part of the formal application.*

- a. Security Manager
- b. Quality Manager
- c. Chief Pilot
- d. Cabin Crew Manager

5.2.5 Expected Qualifications and Level of Experience. SACAR Part 93, 121, 127, 128, 135, 136 and 137 Subpart 6 and its associated SACATS describes the requirements for nominated post holder, minimum qualifications and responsibilities. The guide to the qualifications expected of the nominated post holders is given in Subpart 6 its associated SACATS of the applicable SACAR Parts. CVs should be provided containing information on the qualifications and expertise, including licenses and ratings of personnel selected, for the above or equivalent positions.

**Note:** *Some of the above positions may be combined depending on the size and complexity of the operation, if the management structure is acceptable to SACAA and in compliant with the sought regulatory requirements. However, the Responsible Person: Flight Operations shall be an independent functionary reporting directly to the CEO/ Accountable Manager only. The applicant should familiarise themselves with the applicable regulatory requirements for their proposed operations and ensure compliance with all requirements under that Part.*

5.2.6 The manuals below must accompany the application. (minimum required manuals)

- a. Operations Manual (individual manuals and items listed below form part of the operations manual)
- b. Safety Management Systems Manual
- c. Training Manual
- d. Security Manual
- e. Route Manual
- f. Dangerous Goods Manual
- g. Aircraft Flight Manual
- h. Master Minimum Equipment List and MEL
- i. Configuration Deviation List
- j. Maintenance Control Manual
- k. Aircraft Maintenance Programmes (where applicable Reliability Programme) in respect of each aircraft. The Type Certificate Holder (source documents) manuals/ documentation the Aircraft Maintenance Programmes is based on.
- l. Weight and Balance Manual
- m. Safety and Emergency Procedures Manual
- n. Flight Safety Manual

- o. Ground Handling Manual
- p. Any other Manual produced by the Manufacturer in respect of each aircraft
- q. Normal and emergency checklist
- r. Passenger briefing card
- s. Runway analysis data
- t. EDTO Manual (if required)
- u. CAT II/ CAT III Manual (if required)
- v. Technical Logbook/ Flight Folio
- w. Maintenance records for each aircraft
- x. Where appropriate, the technical specification(s) of the maintenance contract(s) between the operator and any approved maintenance organization
- i. AMO approval and OpSpecs
- ii. List of maintenance personnel including AME and Company Authorisation.
- y. Aircraft Lease Agreements
- z. Management Plan (as submitted to ASLC)
- aa. Plan for emergency evacuation demonstration. The applicant is required to have a plan for demonstrating aircraft evacuation. A description of the emergency equipment installed on the aircraft needs to be attached to the plan.
- bb. Plan for ditching demonstration. Where over-water flights are included in the proposed operation, the applicant is required to have a plan to demonstrate ditching equipment and the ability to carry out ditching procedures including the preparation of passengers, aircraft and ditching equipment.
- cc. Plan for demonstration flights. Where the CAA has determined that demonstration flight(s) are required, the applicant should prepare a demonstration flight(s) plan. This plan will be demonstrated by the applicant during the inspection and demonstration phase. The certification team will observe the applicant can demonstrate the ability to operate and maintain the aircraft and conduct the proposed operation.
- dd. Specific Approval. Where the applicant requires specific approvals (special authorisation), the appropriate applications and supporting documents must be submitted with the formal application submission.
- ee. In addition, the applicant is required to provide details of the planned organisation, general policies, duties and responsibilities of personnel, channels of communication (hierarchy), airworthiness control policy, operational control policy and procedures. Such matters are usually provided in Operations Manual and in Maintenance Control Manual.

**Note:** *Technical Guidance Material for manuals/ information listed 5.2.6 is available on the SACAA website.*

### **5.3 Aircraft Facilities and Services**

- 5.3.1 The type of aircraft intended to be used for the operation shall receive prior approval from SACAA. Evidence should be provided that the aircraft, facilities and services will be available to conduct the proposed operations. Evidence should be in the form of proof of purchase, formal contracts or financial lease agreements.
- 5.3.2 The applicant should have at least one aircraft, which will be used for the intended operations, to be approved as an AOC holder. It shall be noted that the validity of the AOC approval becomes null and void automatically in the event that the operator does not have at least one aircraft in its fleet.
- 5.3.3 If the formal contracts/ financial lease agreements are not available at this stage, letters showing the agreements will be satisfactory until the formal documents are available. It will also be necessary to provide documents showing details of the insurance for the aircraft, its occupants and third parties.
- 5.3.4 The insurance scheme should be in compliance with the requirements as described in the Air Services Licensing Act, No. 115 of 1990, or the International Air Services Act, No. 60 of 1993.

## 6. DOCUMENT EVALUATION PHASE

### 6.1 General

- 6.1.1 After the formal application has been accepted, the certification team will begin a thorough evaluation of all the manuals and documents that are required by regulation which were submitted in the formal application phase.
- 6.1.2 The document evaluation phase involves detailed study of the manuals and other documents for their content and compliance. The evaluation will give the SACAA an insight on the applicant's technical fitness for the type of operations proposed by the operator. Applicants are reminded to submit documents, which reflect their actual operation and aircraft; any incomplete documentation will affect the application completion date.
- 6.1.3 The set of documents and manuals should be complete and must, satisfy SACAA's requirements before the inspection phase can begin. However, the review of documents and manuals will continue until the certification phase. The inspection phase may reveal the need for some operational changes, which in turn requires amendment of those documents and manuals.
- 6.1.4 The documents and manuals should be presented for consideration not less than 60 days prior to the commencement of the proposed operations to avoid delay. During this phase, the SACAA inspectors will review the documents provided in support of the formal application. The documents must specifically relate to the proposed operations.
- 6.1.5 If a manual or document is incomplete or deficient, or if non-compliance with the applicable SACARs or unsafe operating practices is detected, the manual or document will be returned for corrective action. The responsible certification team member for that specific manual will inform the applicant of the deficiencies and non-compliances detected in the manual writing, with reasons of what is unacceptable.
- 6.1.6 If the manuals/ documents are satisfactory, they will be approved or accepted, as required by SACAR. Approvals may be indicated by letter as appropriate, or by approval certification or by approval on the OpSpecs. Acceptance of information that does not require formal approval will be indicated by letter or by the lack of the SACAA's objection on the information.
- 6.1.7 The SACAA will notify the applicant in writing regarding the acceptability of the document evaluation phase.

**Note:** *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.*

## 7. DEMONSTRATION AND INSPECTION PHASE

### 7.1 General

- 7.1.1 SACARs require an operator to demonstrate its ability to comply with regulations and safe operating practices before beginning actual revenue operations.
- 7.1.2 The demonstration and inspection phase is the phase in which the physical facilities and equipment proposed for use by the applicant are assessed for suitability with the type and size of the operations. The applicant is required to demonstrate his ability to comply with regulations and safe operating practices before actual revenue operations can begin. The demonstrations are to prove that the applicant has an adequate organisation, method of control and supervision of flight operations, training programs as well as ground

handling, continuing airworthiness management and maintenance arrangement that are consistent with the nature and extent of operations specified.

- 7.1.3 Detailed requirements for facilities, staff, equipment and procedures are set out in SACARs and TGMs. The purpose of the pre-certification inspection is to ensure that the requirements have been satisfied as explained in the written procedures of the applicant. During these demonstrations and inspections, the certification team further evaluates the effectiveness of the applicant's policies, methods, procedures, and as described in the operator's manuals and other manuals
- 7.1.4 The applicant must satisfy the SACAA that sufficient qualified personnel are employed and that such personnel are employed on a full-time basis where appropriate. Amongst other requirements the applicant shall provide, adequate facilities and equipment, sufficient to permit the staff to carry out their duties related to the conduct of operations in compliance with regulations, operational manuals, and in safety. This includes on-site evaluations of aircraft maintenance equipment and support facilities.
- 7.1.5 Some of the work involved in the conduct of operations may be contracted out. Such work may vary from non-operational aspects such as contracting catering through to essential items such as passenger handling, aircraft servicing, aircraft maintenance at various levels, training of flight, technical or cabin crew, or even to the extent of leasing aircraft and operating crews.
- 7.1.6 Operational items or services of any nature that are provided under contract will normally require inspection and approval by the SACAA. The sub-contracting of services can be accomplished only from another organisation(s) acceptable to the SACAA.
- 7.1.7 During this phase, emphasis is placed on the applicant's management effectiveness. Deficiencies will be brought to the attention of the operator and corrective action must be taken before an AOC approval is issued. The certification project manager will inform the applicant in writing of the deficiencies and non-compliances detected during this phase with reasons of what is unacceptable.
- 7.1.8 The SACAA will notify the applicant in writing regarding the acceptability of the document evaluation phase.

**Note:** *Where applicable, the applicant for an AOC may concurrently seek SACAA approval of its maintenance organisation (AMO). 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 Flight(s) cited under SACAR, require the applicant to demonstrate to the SACAA 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) are in agreement with AMOs process and procedures.*

## **7.2 Evacuation and Ditching Demonstration**

- 7.2.1 Evacuation and Ditching drills will be required to demonstrate the readiness of the applicant to demonstrate its capability to carry out evacuation/ditching in the event of an emergency where applicable.
- 7.2.2 In order to demonstrate that the aircraft seating configuration, location and operation of emergency exits, and crew training and procedures will permit a successful evacuation of passengers in an emergency situation, the applicant will have to perform an emergency evacuation demonstration, prior to issuance of an AOC approval, for each aircraft type intended for the proposed operation.
- 7.2.3 The applicant must demonstrate competency in removing and launching life rafts or slide rafts and in the use of emergency and survival equipment contained in those rafts, as applicable.

## **7.3 Demonstration/Validation Flight(s)**

- 7.3.1 Demonstration flight(s) will be required to demonstrate the readiness of the applicant to conduct operations using the equipment, facilities, services and personnel identified in the application and the associated documents in accordance with the procedures spelt out in the operational manuals submitted in Phase 3. Demonstration Flight(s) are non-revenue flights. When these flights are conducted with passengers e.g. for re-certification of existing operators the flights will be termed as validation flights.

**Note:** Evacuation and Ditching Demonstration including Demonstration Flight(s) are required for AOC applicants on addition/induction of new aircraft types

## 8. CERTIFICATION PHASE

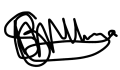
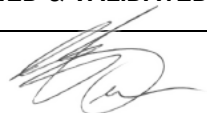

### 8.1 General

- 8.1.1 Upon successful completion of the demonstration flight(s), the certification team will assess the Operations Specifications and review the Compliance Statement to ensure all requirements have been satisfied for the approval of OpSpecs and grant of an Air Operator Certificate.
- 8.1.2 Based on the recommendations of the certification team, the project manager will submit the file to the Director for approval. If the Director is satisfied, that the certification process has been conducted according to the required standards, may approve the issuance of AOC along with required final version of the Operations Specifications certifying the competency of the applicant as an air operator.
- 8.1.3 The AOC holder is responsible for continued compliance with the SACARs, the authorisation and limitations issued, and the provisions of the AOC approval and OpSpecs. As the AOC holder's operation changes, the OpSpecs will be amended accordingly. The process for amending the OpSpecs is similar to the certification process. In some cases, it may be a less complex procedure depending on the subject of the amendment. The SACAA is responsible for conducting periodic audit and inspections of the AOC holder's operation to ensure continued compliance with the SACAR and safe operating practices
- 8.1.4 A certified true copy of an AOC approval along with Operations Specification shall be carried on board each aircraft operated by the operator.

## 9. AMENDMENT OF AOC/ OPERATIONS SPECIFICATION

### 9.1 General

- 9.1.1 Any subsequent changes to the operations specifications or to the equipment approved for use will necessitate amendments to the operations specifications. It is appropriate that an AOC will itself be a very basic document and that all aspects of the operation that might be the subject of change would be dealt with in the associated operations specifications such that changes involve reissue of the minimum documentation.
- 9.1.2 The process for the amendment of operations specifications will be similar to the original certification process (Five phase process), with the exception that in many cases it will be far less complex, dependent upon the subject of the change that necessitates the amendment. Where changes involve new types of operation, new geographical areas or new aircraft, the appropriate level of complexity will have to be applied to the process.

<b>DEVELOPED BY:</b>		
	Siphamandla Bheki Mhlanga Manager Hi/Low Cap AOC	17 March 2022
<b>SIGNATURE OF MANAGER</b>	<b>NAME IN BLOCK LETTERS</b>	<b>DATE</b>
<b>REVIEWED &amp; VALIDATED BY:</b>		
	CAPT E MATABA	17-03-2022
<b>SIGNATURE OF SM: FOD</b>	<b>NAME IN BLOCK LETTERS</b>	<b>DATE</b>
<b>APPROVED BY:</b>		
	Simon Segwabe Executive: Aviation Safety Operations	31 March 2022
<b>SIGNATURE OF E: ASO</b>	<b>NAME IN BLOCK LETTERS</b>	<b>DATE</b>

END