**Air Operator Certification Job Aid and Schedule of Events**

Organisation’s official name:

Principal place of business *(address/email/telephone number)*:

LV CAA Project manager*(name/surname)*:

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| **CAA or applicant’s**  **reference to document/Date/No** | **PRE-APPLICATION PHASE**  **CERTIFICATION TASKS** | **Performance of tasks, such as: examinations, audits, investigations, assessments, inspections (indicate tasks & planned/performed dates)** | **CAA responsible executive/Name** | **Status** |
|  | Receipt of initial applicant’s inquiry. | Assess the applicant’s inquiry. |  |  |
|  | Delivering of a standard information package to the applicant. | Prepare standard information package and provide applicant with the package. |  |  |
|  | Receipt of a completed prospective operator’s pre-assessment statement (POPS) form. | Assess applicant’s readiness to start the initial certification procedure according to ARO.GEN.310, before submitting an application that comprises information according to ORO.AOC.100.  Acknowledge receipt of POPS form in writing within 10 working days, drawing attention to the agenda of the pre-application meeting. |  |  |
|  | Pre-application meeting and evaluation of results (meeting minutes). | Conduct the pre-application meeting and prepare report (meeting minutes) related to discussed items such as:   1. Proposed operations, aircraft base place, exercising of the operational control, listing of geographical area(s) considered by the applicant. Existence of operational control personnel. Coordination among appropriate managerial personnel associated with supervision of operational control. 2. Management of applications for the specific approvals (e.g. DG, RVSM, type B EFB application). 3. Accountable manager, names of the nominated persons, combination of nominated persons and their responsibilities. 4. Identification of the status of financial matters. Information on means to ensure that all activities can be financed and carried out. The status of the assessment of financial, economic and legal matters should be clearly identified during the pre-application meeting. 5. Applicant’s aircraft and its airworthiness and maintenance. Exercising of continued airworthiness management, Aircraft type/equipment, Flight data monitoring (FDM), Registration of the aircraft, Insurance. 6. Applicant’s conversion course, crew, including instructor and examiner and their licences and medical certificates. Performance of crew training and checking. 7. Facilities, workspace, equipment and supporting services of the applicant (contracted activities). Service providers should be identified, such as ground de-icing/anti-icing, ground handling, flight support (including performance calculation, flight planning, navigation database and dispatch), training and manual preparation. 8. Applicant’s management regarding:  * use of approved training organisation (ATO); * use of flight simulation training device (FSTD); * use of examiners; * use of qualified flight and ground instructors; * granted PBN privileges as an endorsement to instrument rating (“IR” - be entered in the pilot's logbook or equivalent record and signed by the examiner who conducted the test or check - Regulation (EU) 2016/539.  1. Management system documentation:  * Proposed applicant’s manuals, its expected date and format of submission (e.g. OM, MEL, EFB management, etc). * Applicant’s statement of compliance. * Applicant’s safety management manual (SMM) as the key instrument for communicating the approach to safety for the whole of the operator. The SMM should document all aspects of safety management, including appropriate fatigue management. * Security programme, including the usage of security instructors.  1. Compliance with the insurance requirements set out in Regulation (EC) No 785/2004 and Law “On Aviation” of the Republic of Latvia Article 111. 2. Provisions related to the proof of good repute of senior management staff and how it will be managed by LV CAA according to Law “On Aviation” of the Republic of Latvia Article 572. 3. Proposed start-up date of commercial operations. |  |  |
| **CAA or applicant’s**  **reference to document/Date/No** | **FORMAL APPLICATION PHASE CERTIFICATION TASKS** | **Performance of tasks, such as: examinations, audits, investigations, assessments, inspections (indicate tasks& planned/performed dates)** | **CAA responsible executive/Name** | **Status** |
| **Assess the management system and processes, including the operator’s organisation and operational control system (ref to AMC1 ARO.GEN.310(a)** | | | | |
| ATT 4.2 Application for AOC | Verify that the application for an air operator certificate (AOC) and supported documents (to be listed as delivered by the applicant) reflect ORO.AOC.100 (b) requirements. | 1. Examine the completeness of the information according to ORO.AOC.100 (b). 2. Assess the accuracy of the information supported by the applicant. |  |  |
| ATT 4.2 Application for AOC;  Document issued by the competent authority or person’s declaration attested by authority, notary or qualified professional body | Verify that the operator has appointed an Accountable manager. | 1. Make sure that the appointed accountable manager has the authority for ensuring that all activities can be financed and carried out in accordance with the applicable requirements. 2. Proof of good repute is required. |  |  |
| ISM-O 9 Appendixes;  ATT 2.3 AOD internal management evaluation checklist and progress report | Verify that applicant’s submissions that require LV CAA specific or prior approval reflect applicable Parts ORO, CAT & SPA requirements. | 1. Review the applicant’s submissions related to the approval. 2. Refer to the appropriate Division of LV CAA. Submissions should include, where relevant, the associated qualification requirements and training programmes. |  |  |
| ATT 4.2 Application for AOC;  ATT 4.4 Statement of compliance with IDE.A & SEC;  ATT 4.5 Statement of compliance with IDE.H & SEC | Verify that the applicant’s description of the proposed operation, including the type(s), and number of aircraft to be operated, reflect applicable Parts requirements, accompanied by a reference to the applicant’s management system documentation. | 1. Review the applicant’s statement of compliance and supported documents. 2. Review the applicant’s statement of compliance with aircraft IDE & SEC requirements. 3. Verify that all operated aircraft by applicant have a valid certificate of airworthiness. A certificate of airworthiness means either a certificate of airworthiness issued in accordance with Part-21.B.326 or a restricted certificate of airworthiness issued in accordance with Part-21.B.327 (ref to GM1 ORO.AOC.100(c)). |  |  |
| ATT 4.2 Application for AOC | Verify that the applicant, when proposing to carry out activities as subsidiary CAT operator of other MS’s AOC holder, complies with ORO.GEN.200 and is capable to ensure compliance with established operator’s responsibilities according to ORO.GEN.110. | Assess the applicant’s resources to manage the applicable processes, including the operational control processes. If required, consider the possibility of cooperation between the competent authorities of the MSs, related to the performance of certification, oversight and enforcement tasks in the areas of FC and CC training and checking, use of instructors and examiners, and other services according to the established contracts between two operators. |  |  |
| ATT 4.2 Application for AOC;  APP 4.4 Ground handling and operational support facilities assessment job aid | Verify that the description of the management system, including organisational structure, comprise information reflecting the performance and management of all planned tasks and activities in accordance with the applicable requirements. | 1. Investigate contracts of employment, provisions of services, appointments, agreements, certificates, lists of crew members and instructors. 2. Assess the applicant’s established provisions, reflecting flight data monitoring system’s integration in the applicant’s management system, to comply with ORO.AOC.130. 3. Examine the sufficiency of the personnel for the planned ground and flight operations employed or contracted by the operator. 4. Examine the applicant’s list of facilities allowing the performance and management of all planned tasks and activities in accordance with the applicable requirements to comply with ORO.GEN.215. 5. Investigate the applicant’s supported information, reflecting:  * use of appropriate ground handling facilities to ensure the safe handling of its flights; * arrangement of operational support facilities at the main operating base, appropriate for the area and type of operation; * provisions to ensure that the available working space at each operating base is sufficient for personnel whose actions may affect the safety of flight operations; * arrangements for the production of manuals and any other documentation, including distributing of operational instructions and other information without delay; * arrangements intending to lease an aircraft, if applicable; * Compliance with the insurance requirements set out in Regulation (EC) No 785/2004; Law on Aviation Republic of Latvia Article 111. |  |  |
| ATT 4.2 Application for AOC;  APP 4.5 Assessment of nominated person’s competence;  APP 4.6 Test questions for operators nominated persons | Verify that nominated persons’ qualifications and experience will ensure that the operator will remain in compliance with the applicable requirements. | Review the qualifications of the organisations’ nominated persons. Account should be taken of the relevance of the nominee's previous experience and known record.  Review the information related to the Accountable manager (ref to AMC1 ORO.GEN.210(a) & GM1 ORO.GEN.210(a)). |  |  |
| APP 4.5 Assessment of nominated person’s competence;  APP 4.6 Test questions for operators nominated persons | Verify that the Accountable manager has designated a compliance monitoring manager to ensure that the activities of the operator will be monitored for compliance with the applicable regulatory requirements, and any additional requirements as established by the operator, and that these activities will be carried out properly under the supervision of the relevant head of functional area. | 1. Make sure that the compliance monitoring manager is able to demonstrate relevant knowledge, background and appropriate experience related to the activities of the operator, including knowledge and experience in compliance monitoring. 2. Verify that the compliance monitoring manager is not one of the nominated persons referred to in ORO.GEN.210 (b). |  |  |
| APP 4.5 Assessment of nominated person’s competence;  APP 4.6 Test questions for operators nominated persons | Verify that the operator has identified a person who will fulfil the role of safety manager and who will be responsible for coordinating the safety management system. | 1. Assess person’s practical experience and expertise in the application of aviation safety standards and safe operating practices (employment record):  * Assess person’s familiarity with the safety management system (evidence). * Assess person’s appropriate management and relevant work experience.  1. Make sure that regardless of the organisational set-up the safety manager remains the unique focal point as regards the development, administration and maintenance of the operator’s safety management system. |  |  |
| ATT 4.3 Operations manual content and compliance form CAT operations | Verify that the copy of the operations manual is included in the documents’ submission, accompanied by the applicant’s statement of compliance. | Assess the proposed operations manual structure in general to ensure reflection of Parts ORO, CAT & SPA requirements. |  |  |
| ATT 4.2 Application for AOC | Verify that all the documentation sent to the competent authority have been verified by the applicant and found in compliance with the applicable requirements. | 1. Assess the applicant’s management system documentation reflecting at least the following information supported by documented evidences to comply with AMC1 ORO.GEN.200(a)(5):  * a statement signed by the accountable manager to confirm that the operator will continuously work in accordance with the applicable requirements and the operator’s documentation as required by this Annex (Part-ORO); * the operator's scope of activities; * the titles and names of persons referred to in ORO.GEN.210 (a) and (b); * an operator chart showing the lines of responsibility between the persons referred to in ORO.GEN.210; * a general description and location of the facilities referred to in ORO.GEN.215; * procedures specifying how the operator ensures compliance with the applicable requirements; * the amendment procedure for the operator’s management system documentation; * cross reference of the management system documentation.  1. Assess the procedure submitted by the organisation defining the scope of changes and describing how changes, without prior competent authority approval in accordance with ORO.GEN.130, will be managed and notified. 2. Assess a description of the overall philosophies and principles of the operator with regard to safety, referred to as the safety policy. |  |  |
|  | Develop the schedule of certification tasks and its way of performance. | Ensure that the following steps are taken:   1. The organisation's written application for an AOC is submitted at least 90 days before the date of intended operation. The operations manual may be submitted later, but not less than 60 days before the date of intended operation. 2. An individual is nominated to oversee, to become the focal point for all aspects of the organisation certification process and to coordinate all necessary activity. 3. Specific or prior approvals are issued in due course considering the established cross division responsibilities (e.g. airworthiness, licencing, and security). 4. Necessary training and, where required, licensing of personnel, are assessed. This assessment includes areas of responsibility and the numbers of those allocated by the applicant to key management tasks. 5. Conduct an audit of the organisation, including interviews of personnel and inspections carried out at the organisation’s facilities. Audit should only be conducted after being satisfied that the application shows compliance with the applicable requirements. 6. In case of non-compliance, the applicant should be informed in writing of the corrections that are required. 7. Submit the application to Director LV CAA with a written recommendation and evidence of the result of all investigations or assessments which are required before the operator certificate is issued. 8. Inform the applicant of taken decision related to the application within 60 days of receipt of all supporting documentation. In cases where an application for an organisation certificate is refused, the applicant should be informed of the right of appeal as exists under national law. |  |  |
| **CAA or applicant’s**  **reference to document/Date/No** | **DOCUMENT EVALUATION PHASE CERTIFICATION TASKS** | **Performance of tasks, such as: examinations, audits, investigations, assessments, inspections (indicate tasks & planned/performed dates)** | **CAA responsible executive/Name** | **Status** |
| **ATT 4.3 OPERATIONS MANUAL CONTENT AND COMPLIANCE FORM - COMMERCIAL AIR TRANSPORT OPERATIONS** | | | | |
|  | OM-A GENERAL/BASIC | Assessment of the OM-A with following approval of the items requiring prior approval |  |  |
|  | OM-B AIRCRAFT OPERATING MATTERS — TYPE RELATED | Assessment of the OM-B with following approval of the items requiring prior approval |  |  |
|  | MEL TO EVERY TYPE OF AN AIRCRAFT | Assessment of the MEL with following approval of it considering the cross divisions tasks with AD LV CAA |  |  |
|  | OM-C ROUTE/ROLE/AREA AND AERODROME/OPERATING SITE INSTRUCTIONS AND INFORMATION | Assessment of the OM-C with the following acceptance of notification |  |  |
|  | OM-D TRAINING | Assessment of the OM with following approval of the items requiring prior approval |  |  |
|  | SMS MANUAL | Assessment of the SMS Manual with following approval of the items requiring prior approval |  |  |
|  | CM MANUAL | Assessment of CM Manual with following approval of the items requiring prior approval |  |  |
|  | ANY OTHER MANUAL AS NEEDED |  |  |  |
| **CAA or applicant’s**  **reference to document/Date/No** | **DEMONSTRATION & AUDIT/INSPECTION PHASE**  **CERTIFICATION TASKS** | **Performance of tasks, such as: examinations, audits, investigations, assessments, inspections (indicate tasks & planned/performed dates)** | **CAA responsible executive/Name** | **Status** |
| **AUDIT OF THE ORGANISATION (ref to AMC1 ARO.GEN.310 (a)).**  **In order to cover all areas of applicant’s planned operations at least the following audits should be carried out:**  **• Management System audit (MSA);**  **• Flight Operations audit (FOA);**  **• Operational Control and Flight Dispatch audit (OC&FD);**  **• At discretion of a certifying team any other audit as needed.**  **At least the following inspections should be carried out:**  **• Training and checking Inspection (TR&CHI;**  **• Ground Inspection (Documents and records);**  **• Ramp Inspection (RI);**  **• Flight Inspection (FI) that usually is combined with a demo flight.**  **Audits for CAMO approval in accordance with Vc (Part-CAMO) of Regulation 1321/2014 using procedures contained in Section 5A of CAA Airworthiness Manual (Airworthiness Division procedures);**  **Audits for Annex II (Part-145) approval or conclusion of the contract with the Part-145 certified organization using procedures contained in Section 4 of CAA Airworthiness Manual (Airworthiness Division procedures)** | | | | |
| Use checklist APP 3.13 MSA  Use checklist APP 3.15 Organization Occurrence Reporting  Use checklist APP 3.7 FDM Job Aid  Use checklist APP 3.12 SMM Manual assessment;  Use the APP 3.8Technical guidance of the implementation of SMS | Management System audit (MSA); | Verify the following key elements:   1. SMS policy and objectives; 2. SMS accountability and responsibility; 3. appointment of the SMS key personnel; 4. coordination of the emergency response planning; 5. SMS documentation; 6. Safety Risks management’; 7. Safety assurance; 8. continuous improvement of SMS; 9. Safety promotion and communications; 10. Compliance monitoring, programs and audits |  |  |
| Use the APP 7.2 Flight Operations audit checklist | Flight Operations audit (FOA); | Verify the following key elements:   1. management and control of Flight Operations; 2. OM structure including MEL; 3. records keeping including training records and documents of the briefing package; 4. Line Operations including fuel/energy scheme,   Mass and Balance, performance calculations,  aerodrome and route selection, de-icing, volcanic ash procedures, LVO, RVSM, NAT HLA, RNP AR APCH and ETOPS procedures;   1. Operations Engineering specifications – maintenance of FMS data base and EFB data,   EFB software and hardware applications |  |  |
| Use the APP 7.3 Operational Control and Flight Dispatch audit checklist | Operational Control and Flight Dispatch audit (OC&FD); | Verify the following key elements:  1. operational control authority - shared or non-shared system;  2. facility and equipment including software and hardware applications for the purpose of operational control comply with applicable requirements;  3. if an applicant uses a flight monitoring or a flight watch system as functions of a system for exercising operational control, these functions should be performed by FOO/FD;  4. the status of the applicant’s personnel providing operational control and flight dispatch functions, for example, FOO/FD or FOA (Flight Operations Assistant);  5. description of the personal requirements of FOO/FD or FOA in OM;  6. description of FOO/FD or FOA duties and responsibilities in OM;  7. content of FOO/FD training program is based on the relevant parts of ICAO Annex 1, ICAO Doc 10106 and Doc 986 and it is included in OM  8. Records keeping for FOO/FD training records and line operations;  9. Line operations including FP, OFP, Performance calculations, mass and balance, aerodrome and route selection, aircraft tracking, tasks related with ERP |  |  |
| For the relevant checklists see ISM-O Chapter 9 | Any other audit as needed. | On-site audit; IFTSS approval audit, FRMS approval audit |  |  |
| Use the APP 7.8 Training and checking Inspection checklist | Training and checking Inspection (TR&CHI); | Verify the following key elements:  1. Training and checking programs including FSTD or OTD with the following approval of them through OM Part D  2. training and checking personnel including instructors, examiners, LTC and others with the following approval of them through OM Part D  3. management of training and checking processes in company using OM Part D. |  |  |
| Use the APP 7.6 Ground Inspection (Documents and records) Inspection checklist | Ground Inspection (Documents and records); | Verify the following key elements:  1, Maintaining of the FC, CC, FOO/FD, FOA, NPH and other personnel training and checking records;  2. Maintaining of flight documentation including documents of briefing package, Mass and Balance, Fuel /energy records, technical and journey logs and other;  3. Maintaining of other important documentation like FC&CC rosters, Occurrence reports and other documents |  |  |
| Use the APP 7.7 Ramp Inspection checklist.  Use the procedure set out in ISM-O Chapter 9.21 Entry into service of a new aircraft type | Ramp Inspection (RI); | Verify the following key elements before this RI in addition to terms mentioned in the APP 7.7 Ramp Inspection checklist.  1. Check the corresponding agreement for each aircraft of this type;  2. Check the aircraft manufacturer’s documentation – access, presence and content in our own library consisting at least of OSD (Operator’s Suitability data); AFM (Aircraft Flight manual), AOM (Aircraft Operating manual) if any; FCOM (Flight Crew operating manual) if any; MMEL (Master MEL); DDG (Dispatch Deviation Guide)  3. Check the aircraft instruments, equipment and systems as per IDE.A. checklist filled out by the applicant for the first aircraft of this type |  |  |
| Use the APP 7.5 Flight Inspections checklist.  Use the procedure set out in ISM-O Chapter 9.21 Entry into service of a new aircraft type | Flight Inspection (FI) that usually is combined with a demo flight | Verify the following key elements before this FI in addition to terms mentioned in the APP 7.5 FI checklist:  1. Assess and discuss together with the applicant’s responsible personnel the need for the Emergency Evacuation demonstration and the Ditching demonstration as it is recommended by ICAO Doc 8335-AN879. If it is decided that they (one or both) is necessary - determine the way how to do it/them;  2. Records of demonstrations  After accomplishing of Emergency Evacuation Demonstration or Ditching Demonstration, Record of Demonstration should be completed by responsible LV CAA Inspector. |  |  |
| APP 9.17 FTL scheme Assessment | Issue of the IFTSS approval | Procedure of IFTSS approval  ISM-O Ch. 9.8 Specific approval procedure and  Ch. 9.17 IFTSS approval |  |  |
| APP 9.18 FTL/FRMS Checklist | Issue of the IFTSS approval, including FRMS when required | Procedure of FRMS approvals  ISM-O Ch. 9.8 Specific approval procedure and Ch. 9.17 and Ch. 9.18 FRMS approval |  |  |
| ATT 9.17 IFTSS Checklist | Issue of IFTSS with deviations | Procedure of IFTSS approval  ISM-O Ch. 9.8 Specific approval procedure and  Ch. 9.17 IFTSS approval |  |  |
| APP 9.21 PSP Checklist | Issue of the Pilot support program acceptance | Procedure of Pilot support program acceptance  ISM-O Ch. 9.21 Pilot support program |  |  |
| APP 9.8.5 LVO Checklist  ATT 9.8.5 LVO Application  ATT 9.8.5.1 LVO Approval | Issue of the LVO approval | Procedure of LVO approvals  ISM-O Ch. 9.8 Specific approval procedure and  Ch. 9.8.5 LVO approval |  |  |
| APP 9.9 FES Checklist  ATT9.9 FEC Application | Issue of the fuel/energy scheme approval | Procedure of fuel/energy scheme approval  ISM-O Ch. 9.8 Specific approval procedure and  Ch. 9.9 fuel /energy scheme approval |  |  |
| APP 9.8.1 RVSM Checklist  ATT 9.8.1.1 RVSM Application  ATT 9.8.1 RVSM approval | Issue of the RVSM approval | Procedure of RVSM approval  ISM-O Ch. 9.8 Specific approval procedure and  Ch. 9.8.1 RVSM approval |  |  |
| APP 9.8.4 NAT HLA application  ATT 9.8.4 NAT HLA checklist  ATT 9.8.4.1 NAT HLA approval | Issue of the NAT HLA approval | Procedure of NAT HLA approval  ISM-O Ch. 9.8. Specific approval procedure and  Ch. 9.8.4 NAT HLA approval |  |  |
| APP 9.8.2.1 RNP AR Checklist  ATT 9.8.2.1 RNP AR Application  ATT 9.8.2.3 RNP AR approval | Issue of the RNP AR APCH approval | Procedure of RNP AR APCH approval  ISM-O Ch. 9.8 Specific approval procedure and  Ch. 9.8.2.1 RNP AR APCH approval |  |  |
| APP 9.15 EFB Checklist  ATT 9.15 EFB approval | Issue of the EFB approval | Procedure of EFB approval  ISM-O Ch. 9.8 Specific approval procedure and  Ch. 9.15 EFB approval |  |  |
| APP 9.8.3 ETOPS Checklist  ATT 9.8.3 ETOPS Application  ATT 9.8.3 ETOPS approval | Issue of the ETOPS approval | Procedure of ETOPS approval  ISM-O Ch. 9.8 Specific approval procedure and  Ch. 9.8.3 ETOPS approval |  |  |
| APP 9.8.6.2 DG Checklist  APP 9.8.6 DG Application  ATT 9.8.6 DG approval | Issue of the DG approval | Procedure of DG approval  ISM-O Ch. 9.8 Specific approval procedure and  Ch. 9.8.6 DG approval |  |  |
| In accordance with procedures described in Section 5A of CAA Airworthiness manual (airworthiness division procedures) | Issue of the CAMO approval in the scope of the AOC initial certification process | Procedure of the CAMO approval in accordance with Vc (Part-CAMO) of Regulation 1321/2014 Chapter MA.201 (e)(2) |  |  |
| In accordance with procedures described in Section 4 of CAA Airworthiness manual (airworthiness division procedures) | Issue of the Annex II (Part-145) approval or conclusion of the contract with the Part-145 certified organization, both cases apply for the AOC initial certification process | Procedure of the Annex II (Part-145) approval in accordance with Regulation 1321/2014 or conclusion of a written contract in accordance with point CAMO.A.315(c) of Annex Vc (Part-CAMO) with the Part-145 certified organization if such service is subcontracted by an applicant for AOC |  |  |
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| **CAA or applicant’s**  **reference to document/Date/No** | **CERTIFICATION PHASE**  **CERTIFICATION TASKS** | **Performance of tasks, such as: examinations, audits, investigations, assessments, inspections (indicate tasks & planned/performed dates)** | **CAA responsible executive/Name** | **Status** |
|  | Issue of AOC & OS. | 1. Submit the “Application with a written recommendation to the Director of LV CAA” with supporting documents, such as:  * Evidence of the result of all investigations or assessments which are required before the operator certificate is issued; * Approvals required; * Airworthiness Division response; * Aviation Security Division response; * Personnel Licensing Division response; * Finance Department response; * Operations Specifications signed by the Head of AOD; * CAA Order – Approval Document with LV CAA Divisions’ visas.  1. Provide operator with a certified true copy of the air operator certificate and a copy of the operations specifications relevant to the aircraft type, issued in conjunction with the certificate. |  |  |
|  | Develop oversight programme, covering the oversight activities required by ARO.GEN.300. | Assess the oversight activities, ensuring the coordination of involved LV CAA Divisions, considering their areas of competence. |  |  |