

 <b>HELLENIC CAA</b>	<b>FLIGHT STANDARDS DIVISION INFORMATION BULLETIN</b>	<b>FSD/OPS/IB</b>
	<b>TO :</b> <ul style="list-style-type: none"> <li>• ALL AIR OPERATOR CERTIFICATE HOLDERS</li> <li>• HCAA AVIATION SAFETY INSPECTORS</li> </ul>	<b>No. 04/2004</b>  <b>Issued:25/10/04</b>

<b>SUBJECT</b>	<b>GUIDANCE MATERIAL ON SPECIFIC MATERS RELATED TO THE CERTIFICATION PROCESS AND INITIAL ISSUE OF AN AIR OPERATOR CERTIFICATE</b>
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## 1. SCOPE

This information Bulletin has been prepared in order to inform potential Air Operator Certificate (**AOC**) applicants and **AOC** holders of the procedures and requirements of the HCAA.

For potential applicants considering applying for an AOC the information contained herein, pertains to the AOC certification procedures in place at the **HCAA** that are required to be followed for initial issuance of an AOC.

It is essential that potential applicants and AOC holders understand and conform to these procedures during the initial AOC process, after issuance of an AOC, and when considering submitting any request for variation to an AOC. Understanding and adhering to these procedures should minimise any delays and lead to a more efficient process.

## 2. INTRODUCTION

This procedure describes the sequence of the different steps leading to the initial issue of an AOC. It is based on, and supplementary to the guidance material contained in chapter 4 of the Administrative and Guidance Material (AGM, Section Four (Operations), Part Two Procedures (JAR-OPS), otherwise known as the **Joint Implementation Procedures (JIPs)**.

## 3. CERTIFICATION PROCESS

### 3.1 INITIAL CONTACT & PRE APPLICATION MEETING

At the initial contact with the applicant, usually by a letter of intent submitted to the HCAA Flight Standards Division, the Flight Operations Department will schedule a pre application meeting. This meeting will take place at the HCAA offices where the applicant will be given all the necessary material (hard or soft copy) containing the «**AOC Applicant Application Package Documents**» which includes the following:

1. Application Form
2. Conformance Document
3. AOC Process Flow Chart
4. Certification Schedule Milestones (Blank)
5. Required Approvals List
6. Required Acceptance List
7. Management Acceptance Form

A briefing is given to the applicant at this meeting on the AOC certification process, including some guidance on the completion of the application forms and documents. The Heads of the Operations and

Airworthiness Sections, or their delegates, are the personnel responsible to conduct and offer guidance at this pre application meeting. At the minimum, representing the applicant should be the Post Holders of **Flight Operations and Maintenance, the Accountable Manager and the Quality Manager.**

In this certification phase, the Applicant should designate a person as the focal point for the company during the AOC certification process. The designated person will serve as the coordinator for the applicant during the Certification Process. One of the functions of this person will be responsible for assuring that all the findings issued by the HCAA are being directed to, and properly addressed by the appropriate personnel within the company. It will be much more efficient for the certification team to track the status of findings and comments through this person rather than several persons responsible for specific areas.

Another function of this coordinator will be to arrange the on site visits and ensure that the appropriate company personnel will be present and available.

### 3.2 APPLICATION & APPLICATION MEETING

Any applicant for a new AOC must apply by completing the official HCAA **AOC Application Form** for a JAR-OPS 1 AOC, or a JAR-OPS 3 AOC.

As will have been explained to the applicant in the Pre Application Meeting, **all the relevant documents/manuals** listed in the application form, including the JAR-OPS 1 **Conformance Document** or JAR-OPS 3 Conformance Document, and the **Management Acceptance Form** must be provided to the HCAA in order for the Application to be considered officially submitted. If complete, the application will be attempted to be processed within 90 days. The 90 day period will not commence until all the documentation has been submitted. The quality of the documentation submitted will also have an effect on the 90 day period.

**The Application Meeting, which officially starts the AOC certification process, should not be held unless it is assured that all the documents required with the application will be completed and ready to be officially submitted at least three days prior to the Application Meeting.**

The Application Meeting should be cancelled and rescheduled if the application documentation is not complete as stated.

The Application Meeting is only held if the appropriate personnel are present. The operator's management personnel in attendance should include at least the **Accountable Manager, Post Holders and Quality Manager.** The HCAA's personnel in attendance will be the Heads of Operations and Airworthiness Sections and the assigned Certification Team. It is also desirable for the Flight Standards Director to attend if available.

The main objectives of the Application Meeting are to:

- a) Introduce the Operator's Management personnel to the HCAA Certification Team.
- b) Assure that the applicant understands the AOC certification process.
- c) Answer any questions the Applicant may have.
- d) Distribute the documents/manuals to the appropriate operations and maintenance members of the Certification Team.
- e) Discuss and agree upon the target dates for the various phases outlined in the Certification Schedule.

At any time during the AOC Certification process "non formal" meetings may be held at the discretion of the Certification Project Coordinator.

### 3.3 HCAA CERTIFICATION TEAM

Upon receipt and after official registration (protocol number is issued) of the application documentation, and prior to the Application Meeting, a "Certification Team" is assigned to oversee the AOC certification process of the new applicant by the Flight Standard Division (FSD/D2) Director.

### 3.3.1 Composition

The composition of the team will be tailored to the size and the complexity of the company, but will include at least:

- 1 Flight Operations Inspector (FOI)
- 1 Operator's Safety Procedures Inspector (OSPI)
- 2 Airworthiness Inspectors (AWI) (one Maintenance & one Avionics)

One individual among the team shall be appointed as **CPC** (Certification Process Co-ordinator).

The knowledge, experience and background of the persons assigned will be considered in the appointment of the team and matched to the type of aircraft and complexity of the intended operation.

If required, the Certification Team shall call for the required expertise for specific topics as Dangerous Goods, Quality, Security etc, whenever necessary.

### 3.3.2 Responsibilities

#### a) FSD

- The Flight Standards Director has the overall responsibility for the AOC certification process, and for the co-ordination of all necessary activity. He is responsible to the HCAA Governor.
- He assigns the members of the certification team, in co-ordination with the Section Heads.
- He sends the findings and comments to the applicants via a signed letter.
- He will ultimately decide on the level of a finding only in case of a disagreement between the Section Head and the inspector(s) assigned.
- He issues the relevant approvals and acceptances following the recommendations of the Section Heads.
- He is the arbitrator for any conflict between the HCAA and the applicant.
- He chairs the Progress Review Meetings, with the CPCs and the Heads of Sections.
- At the end of the AOC Certification process he is responsible to provide the HCAA Governor with a comprehensive and documented file of the process.

#### b) Heads of Sections

- They are responsible for the oversight of the functions in their Section.
- They review and agree with the level of the findings.
- They prepare the relevant approvals and acceptances (legal findings) based on the technical assessment of the team.
- They are in charge of the review of qualifications and competencies of the relevant Nominated Postholders and lead the HCAA held interviews for these positions.
- They, with the input of the certification team and the Applicant, settle dates for the agreed schedule on the Certification Schedule & Progress Review document.

#### c) Certification Process Coordinator (CPC)

- The CPC reports to the relevant Section Head on the status of the AOC certification process. He is responsible for monitoring the progress of the AOC Certification Process and reviewing the current status and comparing it to the targeted Certification Schedule. He holds regular meetings

with the members of the Certification Team to determine this. If there are any delays that may result in the delay of the targeted AOC issuance date he will inform the FSD and management of the applicant of this along with the reasons for the possible delay.

- He/She is responsible for distributing the specific tasks within the certification team.
- He/She has the responsibility for co-ordination of all the team members activities regarding the of the AOC certification process.
- He/She reviews the findings relevant to the different inspections and documentation/manuals for accuracy prior to presentation to the Section Head.
- He/She assures that the Findings are sent to the Applicant in a coordinated and timely manner.

### 3.4 APPLICATION PRELIMINARY REVIEW

A preliminary review of the application is carried out by the Certification Team to assess the main and key points of the JAR-OPS AOC requirements. This is conducted by a general review of the documents/manuals submitted by the applicant with the application. This review provides the applicant with timely initial feedback and assesses the applicants understanding of the requirements.

The document used to conduct and report on this review is the **Preliminary Review Application Report**. The review and report is completed by the Operations Certification Team members, with input from the Airworthiness Certification Team Members.

If as a result of this preliminary review any manual, or other documents, appears to require extensive amendment they should be returned to the applicant formally in writing. The applicant will be required re-review, and amend where necessary, the entire manual to ensure it now meets the requirements. A revised manual will then need to be formally submitted. Also, pages from the Conformance Report reflecting the revisions, if affected, need to be submitted.

**If the manual(s) are required to be returned to the applicant, the time taken for the applicant to revise the manual(s) and resubmit them formally to the HCAA will be added to the previously agreed upon AOC certification schedule.**

This Preliminary Application Review report is discussed and given to the applicant during the "Application Review Meeting" between the Certification Team Members and the company's management (Accountable Manager, Quality Manager, Post Holders). If desired a copy of the report may be facsimiled to the applicant beforehand

### 3.5 CONFORMANCE DOCUMENT and FINDINGS

The applicant must provide the applicable "JAR-OPS (1 or 3) **Conformance Document**" properly completed with the relevant information. The Conformance Document is a working document and its purpose is threefold:

- a) It assures that the applicant has reviewed all the requirements of JAR-OPS and that the company's manuals and other documents have been verified by applicant to be in compliance.
- b) It assists the HCAA in efficiently assessing the manuals and the applicant's organization.
- c) It serves as part of the record of the assessment process and will document the areas of compliance and non-compliance.

Each item in the Conformance Document must be checked and marked as satisfactory or unsatisfactory by the relevant Certification Team members during the certification process. It must refer, for each unsatisfactory item, to the relevant finding number or comment number.

Each item in the conformance report is checked against the information contained where the applicant has indicated it is located in the applicable procedure or manual. The content of the information is then reviewed for adequacy against the intent of the requirement of JAR OPS. The item is then marked as Satisfactory (S) or Unsatisfactory in the appropriate column of the Conformance Document.

For the items found unsatisfactory, indicate the number of the Finding in the column e.g. F1, F2 etc. The details of the Finding will be written on the like numbered Finding Form (numbered with the

corresponding Conformance Document's unsatisfactory item). Some Conformance Document items will not be able to be fully evaluated until the onsite visit and flight inspection phase. A Finding Form may contain several different finding elements (under the same area) therefore several different unsatisfactory items in the Conformance Document may have the same Finding Number.

The applicant is only responsible for filling in the REFERENCES/COMMENTS/REMARKS column in the **Conformance Document**. The applicant should indicate in this column where in the applicable Manual the required information is located (indicating at least the chapter and the section of the referenced document). The abbreviations in the "Area" column of the Conformance Document are just an aid to help indicate what discipline the particular requirement relates.

The Conformance Document review for Subparts K and L (Instrument and equipment/Communication and Navigation Equipment) is delegated to the Airworthiness section, and conducted by the Maintenance Certification Team members. The information required is evidence (document references) that each piece of equipment is approved and installed per the applicable airworthiness criteria (typically JAR 25). It is not acceptable to just indicate that the required items are "installed" in the aircraft.

**Guidance on completing the Conformance Document correctly should be provided to the applicant at the Pre Application meeting.**

### 3.6 FINDINGS

A Finding Form, must be completed for each non-compliance. Typically, an unsatisfactory item is discovered as a result of using the inspection checklists for the particular area of the audit/inspection. But in the case of reviewing manuals it will be discovered during the review of the Conformance Document. When using the Inspection Checklists is not intended that findings issued are restricted to items indicated on the Inspection Checklists. It is also acceptable to issue a finding against a requirement that may not have been indicated on an inspection checklist.

The level of the finding must be specified on the Finding Form. For the Initial AOC process the levels are defined as follows:

- **Level 1: To be resolved prior to AOC issue.**
- **Level 2: To be resolved by a certain date indicated.**
- **Level 3: Observation.** (A recommendation with a response expected from the applicant).

Normally all the findings during an Initial AOC evaluation are designated as Level 1 and therefore must be resolved before the issue of the AOC. Any findings allowed to be held open, until after the issuance of the AOC (Level 2), should be minor in nature (not be in direct conflict with any requirement) and have agreement of the Certification Team and Section Head.

### 3.7 DETAILED DOCUMENTATION REVIEW

The relevant documentation to be reviewed typically consists of:

1. The Operations Manual **Part A** (General), **Part B** (Aircraft operating matters) (one Part B section completed for each aircraft type), **Part C** (Route, Area, Aerodrome instructions and information), **Part D** (training)
2. The Quality Manual (if not included in the OM Part A),
3. The Maintenance Management Exposition (MME) Maintenance & Maintenance Organisation Exposition.
4. Other manuals such as Security Manual, Accident Prevention and Flight Safety Programme Manual, Ground Handling Manual, if not included in the basic operations manual.

**Guidance material for the review of the Operations Manual is provided in AGM Section 4 Part 2 (JIPs) Appendix 1.**

The **Quality Manual**, or **Quality System** description if contained within the Operations Manual, review consists of determining if the Quality System contains all the elements contained in AMC OPS 1.035 or 3.035

Errors and omissions from any manual must be notified to the applicant in writing. For major discrepancies an individual Finding Form addressing the particular non-conformity should be completed. For lesser discrepancies a list outlining several non-conformities may be compiled and attached to one Finding Form.

### 3.8 MANUALS ACCEPTANCE

The manuals submitted by the applicant are checked by reviewing the completed Conformance Report that has been submitted, against the manuals. If found satisfactory, the entire Operations Manual is "Accepted" **not "Approved"**. This is because there is information in the Operations Manual that is company requirements not subject to an Authority's approval. There are certain items within the Manual, as specified in the Approvals List, that must be specifically "Approved".

On the basis of the Findings against the Manuals, the Operator is responsible for the relevant modifications required by the HCAA.

Each item must be properly tracked by the certification team members to ensure its rectification. Both the structure and the content of the Operations Manual must be accepted by a specific letter.

The review of the description of the Quality System and associated forms and checklists leads to the Acceptance of the Quality System as intended to be implemented. The acceptance of a new **Quality System** is based on an estimation of it being effective. The applicant has the option of having a separate Quality Manual or including the description of the Quality System within the Operations Manual. For other than small operators it is recommended that a separate Quality Manual be submitted

### 3.9 MANAGEMENT PERSONNEL ACCEPTANCE

The Accountable Manager, the Quality Manager and the Post-Holders for Flight and ground Operations, Crew Training and Maintenance System must be accepted formally by the HCAA.

With the Application the applicant must also complete and submit the HCAA form for Management acceptance (**Management Acceptance Form**),

The persons seeking acceptance are also required to undergo an interview at the HCAA offices. The interviews should be scheduled as soon as possible after acceptance of the application. The information submitted on the Management Acceptance Form along with the results of the interview need to be evaluated against **ACJ OPS 1/3.175(i)** and HCAA **Technical Order ΥΠΑ/OPS 23-3**. After this evaluation the formal letters of acceptance or non acceptance need to be issued. In some instances, to verify the competency and capability of the person, it may be preferable to delay the acceptance until later in the certification process. The certification team will then have had the opportunity work with the person to then make an acceptance determination.

The Quality Manager should have attended a formal Quality Course (or at least an Audit Techniques Course), or be able to prove a sufficient background and experience in the Quality field.

### 3.10 OPERATIONS MANUAL and QUALITY SYSTEM IMPLEMENTATION

Once the manuals and the management personnel are accepted by the HCAA, some time must be allotted by the applicant to implement the manuals into the company. In addition, time must be allotted to indoctrinate all the personnel on the company policies and procedures. Also, measures must be taken by the applicant to ensure that the Quality System will work effectively and efficiently. Adequate time for



these tasks should have been planned at the formal Application Meeting. If it becomes evident that the applicant needs additional time to accomplish these tasks adequately the necessary time should be added, and the planned certification date adjusted accordingly.

Once the Training Manual (Operations Manual Part D) is accepted, and the applicable training and checking programmes contained inside approved, the training and checking of the flight crew and cabin crew (crew members other than flight crew for JAR-OPS 3) may commence.

Any activities that could commence prior to the issuance of the AOC, such as training, aircraft acceptance etc... should be audited by the company's Quality System.

### 3.11 INSPECTIONS

Checklists have been prepared for conducting the on site and flight inspections for Airplane and Helicopter operations.

### 3.12 TRAINING & CHECKING OBSERVATIONS

Regarding Training and Checking Observations, it is highly desirable to attend portions of the conversion training conducted by the applicant such as company Operations Manuals indoctrination, **CRM, Emergency and safety equipment training** and, **Differences** or **Familiarisation training**.

Attending the Emergency and safety equipment practical training (Flight Crew, Cabin Crew and Crew members other than flight crew) will allow the facilities to be evaluated, if not previously evaluated, as well as observing the company designated check person for subsequent authorisation. Attending theoretical portions of the training will serve to confirm that the instructors are "suitably qualified" as indicated by their training and experience.

If applicant flight crews are attaining new type ratings, on an aircraft type already operated on the Greece register, there is no need to attend this part of the conversion course training as it is conducted at an approved **TRTO**. The flight operations inspector assigned to the team will normally have previous experience (most likely a type rating) in the airplane operated.

For flight operations inspectors involved with helicopter operations they will normally have a type rating in the helicopter operated or equivalent experience in the helicopters Designated Group (e.g. Multi Engine or Single Engine Turbine or Single engine Piston helicopters).

If the aircraft is new to the HCAA registry it is highly desirable for the operations inspector (flight or operators safety procedures/cabin) assigned to attend the type rating course with the applicant's pilots/cabin crew or obtain the type rating through another source. Other parts of the flight crew conversion course such as Line Flying under supervision and Line Checks should be scheduled to be observed during the beginning phase of operations. For any flight crews joining the company, already holding applicable type ratings, portions of their conversion course (company procedures, CRM ground and simulator training and OPC) should be planned to be observed.

For cabin crews, in addition to the training previously stated, other parts of the Initial and or Conversion/Differences training (including aircraft visit and familiarisation flights) should be scheduled to be observed by the designated operator's safety procedures inspector (cabin).

### 3.13 FLIGHT INSPECTIONS

The items to be checked during the Flight Inspections are contained in checklists specially prepared for this procedure. For Airplanes **Flight Inspection (Flight Deck)**, **Flight Inspection (Cabin)** checklists and for Helicopters **Flight Inspection (Flight Deck)**, **Flight Inspection (Cabin)**. Guidance in conducting a flight inspection is provided in the **AGM Section 4 Part 2 (JIPs) Appendix 1** and **5**.

The first flight inspection for an initial AOC issue consists of the demonstration flight(s). A demonstration flight is not mandatory but it is **highly recommended** for the first issue of an AOC, on at least one of the types intended to be operated

When no demonstration flight has been conducted, the **Certification Team** should conduct a flight inspection at the earliest opportunity. When a Demonstration flight has been conducted a flight inspection should be scheduled during the early stages of the AOC Holders operations.

The Flight Inspection checklists (Flight Deck and Cabin) are also designed to cover Flight preparation, Documentation, Equipment, Execution of Flight, and Post-flight

### 3.14 INSPECTION RESULTS AND FOLLOW-UP

An inspection could discover a number of types of findings such as the non-adequacy of a procedure to the operation, unsatisfactory implementation of a procedure, or lack of training.

A specific finding form is to be filled out for each discrepancy, deficiency or non-compliance found during the inspection (**Finding Form**). The **Findings**, after entry into the computer system, will be transmitted by formal letter.

The operator must propose to the HCAA for agreement an appropriate corrective action with an implementation plan for each finding.

Prior to closure of the finding the assigned inspector(s) must check the implementation of each corrective action.

### 3.15 HCAA APPROVALS and ACCEPTANCES

The Certification Team should meet early in the documentation review phase of the AOC Certification Process to determine which JAR-OPS **Approvals** and **Acceptances** are applicable to the Applicant's intended operation. This is accomplished by reviewing the **Approvals Lists**, and **Acceptance Lists**. The individual items on each of these Lists that are not applicable to applicant's operation should be marked "NA" as not being applicable. The items that are applicable should be verified by the CPC, and once the items are found acceptable, to prepare letters for the signature of the FSD for the specific approvals and acceptances.

Once the CPC is satisfied that all the relevant findings are closed for the applicable items, the CPC, with the assigned inspectors, must prepare the required approvals and acceptances.

The Approvals and Acceptances may be issued one at a time during the progress of the AOC certification process as long as any applicable findings have been rectified.

It is recommended that the letter transmittal Number, for the approval or acceptance item be indicated in the column opposite each item in the Approval/Acceptance Documents.

It is important that all the required approval items are covered either by individual letters or multiple items in one or more letters.

Many of the Acceptances are issued through acceptance of the Operations Manual and do not require individual letters. At least one letter, if not several letters, should be issued accepting the remaining listed items.

The original lists of the required approvals and acceptances may be found in AGM Section 4 Part 2 (JIPs) **Appendix 6** and **7** for aeroplanes and **Appendix 6c** and **7a** for helicopters.

## 4. AOC ISSUANCE

Once the Certification Team has verified that there are no outstanding findings, or other items, the AOC form may be prepared. The CPC should complete the computerised AOC form (**JAA Form 100 - see AGM Section 4 Part 2, JIPs- Appendix 2**), which includes the AOC cover page and the **Operations Specifications**. The completed Form is then coordinated with the entire Certification Team, to assure accuracy. The AOC should then be inserted the AOC certification file prior to presenting to the FSD for coordination. The coordinate AOC Certification File is then forwarded to the Governor for AOC signature.



A letter composed by the CPC and signed by the members of the certification team recommending the issuance of the AOC is also part of the AOC Certification File. If there are any outstanding items for which any team member cannot issue a recommendation these should be stated and the decision left to the FSD to forward the file to the Governor for AOC Signature and issuance.

## 5. REGISTRATION OF AOCs

A copy of every AOC issued must be kept in the HCAA register of AOCs. This register shows the essential details of the operator's business such as contact numbers, the business address of the AOC holder, the name of the accountable manager and Postholders, and list the types and variants of the aircraft operated. The Head of Operations Section is responsible for keeping the AOC Register up to date.

Immediately after the AOC has been issued the basic information regarding the AOC must be provided to the JAA headquarters. This is accomplished by completing the computerized JAA **Form 101** and faxing it to JAA Headquarters. (Refer to JIPs Appendix 3).

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