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## 1. PURPOSE

- A. This Technical Circular (TC) describes the process of applying for and obtaining an Air Operator Certificate (AOC) to conduct air transport operations or general aviation services under Ethiopian Civil Aviation Rules and Standards. The certification process may appear to be a complex undertaking, particularly to a “first-time” operator. This TC provides basic information applicable to the Certification Process.
- B. Because there are a variety of acceptable methods for preparing manuals, including training manuals, a detailed discussion of acceptable methods for preparing these documents is not in this TC. Operators will be briefed in as much detail as necessary regarding the preparation of manuals and other required documents during meetings with ECAA personnel. The information in this TC and the reading material referenced in this TC will assist the operator in completing the process with minimum delays and complications.

## 2. RELATED RULES AND STANDARDS/REFERENCES

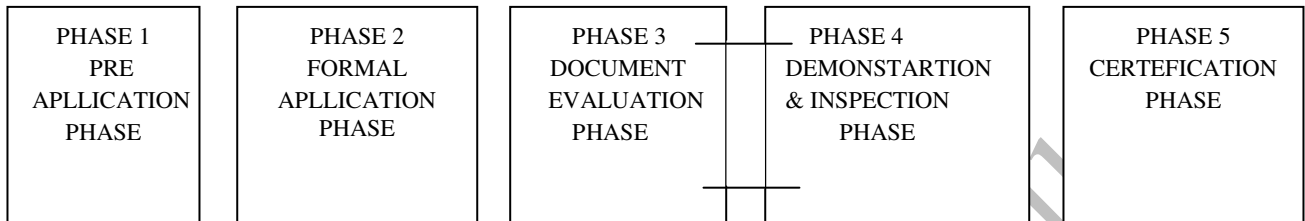
- C. Proclamation No 616/2008 and ECARAS 2013

## 2. BACKGROUND

- A. To conduct Air Transport Operations or general aviation services under ECAA Rules and Standards, an operator must be a citizen of Ethiopia as defined in the proclamation 616/2008 and ECARAS Part 9 Sec. 9.1.1.6 except cargo operation. The ECAA recognizes the responsibility of Air Transport Operators to provide air transportation with the highest degree of safety possible in the public interest. The certification process is designed to ensure that prospective AOC holders understand and are capable of fulfilling this duty. When satisfactorily completed, the certification process should ensure that the operator is able to comply with the ECAA requirements and the international standards pertaining to the operation of aircraft as published in relevant ANNEXES to the convention on international civil aviation.
- B. There are five phases in the air operator certification process. Each phase is described in sufficient detail to provide a general understanding of the entire certification process. (See appendix 6 for a detailed flow chart of the entire certification process). The five phases are:
  - (1) Pre-application
  - (2) Formal Application
  - (3) Document Evaluation
  - (4) Demonstration and Inspection
  - (5) Certification
- C. In some cases, the guidance and suggested sequence of events in this TC may not

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be entirely appropriate. In such situations, the Authority and the operator should proceed in a manner that considers existing conditions and circumstances. The operator, however, should not expect to be certificated until the Authority is assured that all the requirements will be complied with in an appropriate and continuing manner.



#### 4. PRE-APPLICATION PHASE

- A. As far in advance as possible of an anticipated start of operations, a prospective operator should contact the Authority and inform the Authority of its intent to apply for an AOC. The prospective operator will be invited to meet briefly with the concerned Authority personnel. During this initial meeting, only basic information and general certification requirements will be discussed. If the prospective operator intends to proceed with certification, ECAA AOC Form No 1, Prospective Operators Pre-assessment Statement (POPS) will be furnished. A sample of this form with instructions for completing it is in Appendix 1. The POPS should be completed, signed by the prospective operator, and returned to the Authority.
- B. Authority personnel will review the POPS. If the information is incomplete or erroneous, The POPS will be returned to the prospective operator with the reasons for its return noted in Section 2. If the information is complete and acceptable, the Authority will determine which certification team members will be assigned to the certification project and schedule a pre-application meeting with the prospective operator and the selected certification team members.
- C. The Authority will designate one certification team member as the Project Manager (PM). The PM is the official Authority spokesperson throughout the certification project. The assignment of certification team member will include one representative from Airworthiness, one from operations and one from personnel licensing. Before issuance of the AOC certificate each member will endorse.

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- D.** The purpose of the pre-application meeting is to confirm the information on the POPS and to provide critical certification information to the applicant. It is recommended that the operator's key management staff attend these pre-application meetings and be prepared to discuss in general terms the plans and specific aspects of the proposed operation. Many problems can be avoided by discussing all aspects of the proposed operation and the specific requirements, which must be met to be certificated as an air operator.
- E.** It is important to establish good working relationships and clear understandings between the certification team members and the operator's representatives. The Authority recognizes that a wide range of capabilities and expertise exists among operators. This background experience will be considered by team members and adjusted to during these initial meetings.
- F.** To help promote understanding throughout the certification process, an application information package will be provided during the pre-application meeting. The application information package includes the following:
1. The certification job aid that will be used by inspectors during the certification project
  2. A schedule of events which must be completed and submitted with the formal Application
  3. An example set of Operations Specifications (Ops Specs).
  4. Other publications or documents the PM believes will be useful to the operator.
- G.** An application for an AOC shall be made in a form and manner acceptable to the Authority; and, containing any information the Authority request the applicant to Submit. It is important to understand the minimum documentation necessary to be considered acceptable for a formal application. Formal application must be made on either a form provided by the Authority or by letter [see Appendix 2.] Requesting certification as an air operator. The accountable manager must sign the form or letter. If a letter is submitted, it should include a statement that the letter serves as formal application for an Air Operator Certificate. It should also contain the full and official name of the applicant. The letter shall contain the physical location address of the applicant's intended primary operating location. The applicant's mailing address shall be included in the formal application letter if different than its letterhead. The letter shall also include the full name and address of the applicant's designated agent. Additionally, the letter will confirm the identity of key management personnel such as the Accountable Manager, Director of Operations, Chief Pilot, Director of Safety, Director of Maintenance, Quality Manager, as applicable. Certain documents must be submitted with the formal application. These documents (attachments) are briefly described in paragraphs 5h through 5q and will be discussed in detail during the pre-

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application meeting.

**H. Draft Operations Specifications Attachment.** This attachment describes the applicant's intended authorizations, limitations, provisions, and privileges specific to the operator's operations.

**I. Air Operator Certification Job Aid and Schedule of Events Attachment.** The schedule of events [see Appendix 3] is a key document that lists items, activities, programs, and aircraft and/or facility acquisitions that must be accomplished or made ready for the inspection before certification. It should include dates when the crewmembers will start company indoctrination procedures. In addition, the schedule of events should include dates when maintenance personnel training will start; when maintenance facilities will be ready for the inspection; when each of the required manuals will be available for evaluation; when aircraft will be ready for inspection; when terminal facilities will be ready for inspection; when emergency evacuation demonstrations; ditching demonstrations, and demonstration flights are planned to be performed, and the date of the proposed assessment of Chief Training and Checking Officer and other approved persons. These estimated dates must be logical in terms of sequence. For example, the estimated date for crewmember basic company procedures indoctrination ground training to begin should be after the date that sections of the company manuals pertinent to crewmember performance will be completed and submitted. Reasonable time for the Authority inspector to review, inspect, and approves each item or event should also be provided when approval is required before beginning a subsequent event or item. Failure to accomplish an item or event in a satisfactory manner or in accordance with the schedule of events could delay the certification. If at any time during the certification process the operator finds it necessary to revise the schedule of events, the PM should be notified as soon as practical.

**J. Company General Manuals Attachment.** These manuals, which may be issued in separate parts for specific users, contain information about the operator's general policies, duties and responsibilities of personnel, operational control policy, and procedures. These are commonly referred to as the Operations Manual and the Maintenance Control Manual. The Authority Rules and Standards requires these manuals to include instructions and information necessary to permit flight, ground and contract personnel to perform their duties and responsibilities with a high degree of safety.

**K. Training and Checking Manuals.** It is recognized that aircraft acquisition, facility arrangements, and certain training program elements may not be fully developed at the time of formal application. The company initial training curriculum portion of the Training Manual (completed to the extent possible) must be attached to the formal application letter or form Initial training curricula must include at least the following curricula segments:

- (1) Company Procedures Indoctrination Training

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- (2) Initial Emergency Equipment Drills Training
- (3) Initial Aircraft Ground Training
- (4) Initial Aircraft Flight Training

**L. Management Structure and Qualification Attachment.**

- (1) Individuals assigned to the required management positions are expected to have a thorough knowledge of the operator's company manuals, operating provisions, the ECAA requirements and the planned operations relevant to the position. This attachment must contain resumes of the qualifications licenses (including, license numbers), ratings, and aviation experience for each of the following positions, or their equivalent:
  - (a) Accountable Manager (Chief Executive Officer or General Manager)
  - (b) Director of Operations, or Senior Officer of Flying Operations
  - (c) Chief pilot
  - (d) Director of Safety, or Chief Flight Safety and Accident Prevention
  - (e) Quality Manager
  - (f) Director OF Maintenance
- (2) If a deviation from the management requirements is anticipated, it should be noted in the formal application letter. The actual request for deviation, however, must be made in a separate petition, which presents specific justification. This request for a deviation should be made to the Authority as soon as practical to enable the individual who will hold the position to be involved early in the certification process.

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

- (1) Aircraft
- (2) Station facilities and services
- (3) Weather gathering facilities and services
- (4) Communications facilities and services
- (5) Maintenance facilities and services
- (6) Maintenance contractual arrangements
- (7) Aeronautical charts and related publications
- (8) Aerodrome analysis and obstruction data
- (9) Contract training and training facilities
- (10) Insurance

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- (11) Investment permits
- (12) Article of association and article of memorandum
- (13) Principal registration certificate

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- N. Initial Statement of Compliance.** This attachment should be a complete listing of all requirements of the Authority applicable to the proposed operation. Pertinent subparts and each relevant section of the requirement should be identified and accompanied by a brief description, or preferably a specific reference, to a manual or other document. The brief description or reference must describe the method of compliance for each Rule and Standard listed. If the precise method of compliance has not been developed at the time of formal application, an indication of the date that this information will be provided will suffice, if the date provided is reasonable, and acceptable to the Authority.
- O. Financial Economic and Legal Matters Assessment.** This attachment should consist of written evidence that the applicant has undergone, is undergoing, or is scheduled to undergo a financial, economic, and legal matters assessment.
- P. List of Aircraft.** This attachment should consist of a list of aircraft, (by make, model, and series) that the applicant intends to operate
- Q. List of Designated Destination and Alternate Aerodromes.** This attachment is required if the applicant is applying for scheduled domestic or scheduled international operations.
- R.** A thorough understanding of pertinent Rules and Standards and advisory materials is critical to the success of the entire certification process. The operator and key management personnel must understand which requirements apply to the intended operation.
- S.** During the pre-application phase and throughout the certification process, the operator will have to prepare documents and manuals for the Authority evaluation and approval or acceptance. The operator is encouraged to informally co-ordinate drafts of these documents with the PM and other inspectors assigned to the certification project. Time spent on informal co-ordination can significantly reduce the workload for the operator and the inspectors once the formal application is submitted. The inspectors will give advice and guidance; however, the actual development of acceptable documents and manuals is always the responsibility of the operator.

## 5. FORMAL APPLICATION PHASE

- A.** It is recommended that the formal application is submitted at least 90 days before revenue operations are expected to begin, although the application should be submitted to the Authority as far in advance of the proposed start-up date as possible.
- B.** The Authority will review the application to determine that it contains the required information and attachments. If there are omissions or errors, the formal application and all attachments will be returned with a letter outlining the reasons for its return. If the operator has a good understanding of the requirements, the formal application should be of sufficient quality to allow any omission, deficiency, or open

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question to be resolved during the formal application meeting.

- C. The operator's key management personnel should attend the formal application meeting. The purpose of the meeting is to discuss the formal application and resolve omissions, deficiencies, or answer questions from either party. For example, this meeting may be used to resolve questions concerning the applicant's package or scheduling date conflicts, or to ensure the applicant understands the certification process. This meeting should also be used to reinforce open communication and working relationships.
- D. If the formal application meeting is successful, the operator is provided with a letter acknowledging receipt and acceptance of the package. The Authority's acceptance of a formal application does not constitute approval or acceptance of individual attachments. These documents will be evaluated thoroughly during subsequent phases of the certification process. If, the formal application is not accepted, it will be returned with a written explanation of the reasons for its return.

## 6. DOCUMENT EVALUATION PHASE

- A. After the formal application has been accepted, inspectors will begin a thorough evaluation of all the manuals and documents that are required by Rules and Standards to be submitted to the Authority. The Authority will endeavor to complete these evaluations in accordance with the operator's schedule of events. If a manual or document is incomplete or deficient, or if non-compliance with the Rules and Standards or safe operating practices is detected, the manual or document will be returned for corrective action. If the manuals and documents are satisfactory, they will be approved or accepted. Approvals may be indicated by letter as appropriate, or by approval of Operations Specifications (Ops.Specs).
- B. The complexity of the information which must be addressed in the operator's manuals and other documents depends on the complexity of the planned operation. The following list provides examples of information that must be provided by the operator and evaluated by the Authority during this phase:
  - 1) Management personnel resumes outlining proposed management qualifications and civil aviation compliance histories.
  - 2) Operations Manual (may be in one or more parts).
  - 3) Maintenance Control Manual (may be in one or more parts). Includes the Approved Maintenance Organizations (AMO) Maintenance Procedures Manual (MPM).
  - 4) Aircraft maintenance programs and supporting manuals such as Maintenance Review Board (MRB) and Corrosion Prevention Control Program (CPCP).
  - 5) Mass and balance procedures/program.
  - 6) Training Program Manual.
  - 7) Approved Aircraft Flight Manual.
  - 8) Aircraft Operations Manual.



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- (9) Minimum Equipment List (MEL) and MEL Management Program
- (10) Configuration Deviation List (CDL).
- (11) Cockpit checklist.
- (12) Passenger briefing cards.
- (13) Noise and emission plan (if applicable).
- (14) Airport Runway Analysis
- (15) Deviation requests.
- (16) Dangerous Goods.
- (17) Cabin Attendant Manual.
- (18) Dispatch/flight following/flight locating procedures.
- (19) Draft Operations Specifications (operations and airworthiness).
- (20) Maintenance Reliability Program (optional).
- (21) Plan for Demonstration Flights.
- (22) Emergency evacuation demonstration plan.
- (23) Ditching demonstration plan.
- (24) Fully completed Statement of Compliance.
- (25) Meteorology

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

## 7. DEMONSTRATION AND INSPECTION PHASE

- A. The Authority requires an operator to demonstrate its ability to comply with Rules and Standardss and safe operating practices before beginning actual revenue operations. These demonstrations include actual performance of activities and/or operations while being observed by Authority inspectors. This includes on-site evaluations of aircraft maintenance equipment and support facilities. During these demonstrations and inspections, the inspectors evaluate the effectiveness of the policies, methods, procedures, and instructions as described in the operator's manuals and other documents. Emphasis is placed on the operator's management effectiveness during this phase. Deficiencies will be brought to the attention of the operator and corrective action must be taken before a certificate is issued.
- B. Although the document evaluation and the demonstration and inspection phases have been discussed separately in this TC, these phases overlap, or are accomplished simultaneously in actual practice. The following list provides examples of the types of items, equipment, facilities, and activities evaluated during the demonstration and inspection phase.
  - (1) Conduct of training programs (classroom, simulators, aircraft, and flight and ground personnel training).
  - (2) Crewmember and Flight Operations Officer testing and certification.
  - (3) Station facilities (equipment, procedures, personnel, fuelling/Defueling, de-icing,

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(4) Technical data).

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- (5) Recordkeeping procedures (documentation of training, flight and duty times, flight papers).
  - (6) Flight control (Flight Supervision and Monitoring system or Flight Following system)
  - (7) Maintenance and inspection programs (procedures, record keeping).
  - (8) Aircraft (conformity inspection, aircraft maintenance records, etc.).
  - (9) MELs and CDLs (compliance with operating and maintenance procedures, etc., if applicable).
  - (10) Mass and balance program (procedures, accuracy, and document control).
  - (11) Passenger emergency evacuation demonstration (aborted takeoff demonstration and ditching demonstration).
  - (12) Demonstration Flights. Includes full-scale simulation of revenue operations to demonstrate the ability to operate independently, safely, and in compliance with all applicable Authority requirements.
- D. The Demonstration and Inspection Phase outline under paragraph 8a. through 8b. Is only applicable to the certification of an air operator.

***NOTE: An applicant for an air operator certificate (AOC) shall get approval of its maintenance organization from the Authority. The applicant needs to co-ordinate the progress of both certification projects. The applicant therefore will also be expected to demonstrate use of its Approved Maintenance Organization to ensure that procedures in the Maintenance Control Manual (MCM) and Maintenance Procedures Manual (MPM) are in agreement.***

## 8. CERTIFICATION PHASE

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

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## 9. EXPLANATION OF APPENDIXES IN THIS TECHNICAL CIRCULAR

- A. Appendix 1 provides instructions on how **Form 30-001: Prospective Operator's Pre-Assessment Statement (POPS)** should be completed. Section 1, items 1 through 11, should be completed and signed by the applicant and returned to the Authority. Sections 2 and 3 are reserved for the Authority use.
- B. Appendix 2 provides a sample formal application letter.
- C. Appendix 3 provides a certification job aid and schedule of events.
- D. Appendix 4 provides list of applicable ECAA Rules and Standardss
- E. Appendix 5 provides definitions of terms as they are used in the certification process.
- F. Appendix 6 provides a details of operation specifications
- G. Appendix 7 provides a details of Air operator Certificate
- H. Appendix 8 provides a detailed flow chart of the entire certification process.



**Director General**  
 Ethiopian Civil Aviation Authority

*Col. Weseiyeloh Hunegnaw*  
 Director General

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**APPENDIX 1. INSTRUCTIONS FOR COMPLETING ECAA PROSPECTIVE OPERATOR’S PRE-ASSESSMENT STATEMENT (POPS). THIS FORM IS TO BE COMPLETED BY AN AIR OPERATOR OR MAINTENANCE ORGANISATION APPLICANT.**

**SECTION 1A. All applicants shall complete this section.**

1. Enter the company’s official name and mailing address. Include any other business name if different from the company name).
2. This address shall be the physical location where primary operating activities are based. It is where the offices of management required by Rules and Standards are located. If the address is the same as item 1, enter “same.” Include secondary business addresses of operation and identify the type of operation conducted.
3. Enter the estimated date when operations or services will begin.
4. This information will be used to assign a company identification number. You may indicate up to three, three-letter identifiers, such as ABC, XYZ, etc. If all choices have been assigned to other operators or maintenance organisations, a randomly selected number will be assigned.
5. Enter the names, titles, and telephone numbers of management personnel.

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

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

**SECTION 1C. Air Operators shall complete Blocks 9, 10**

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

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

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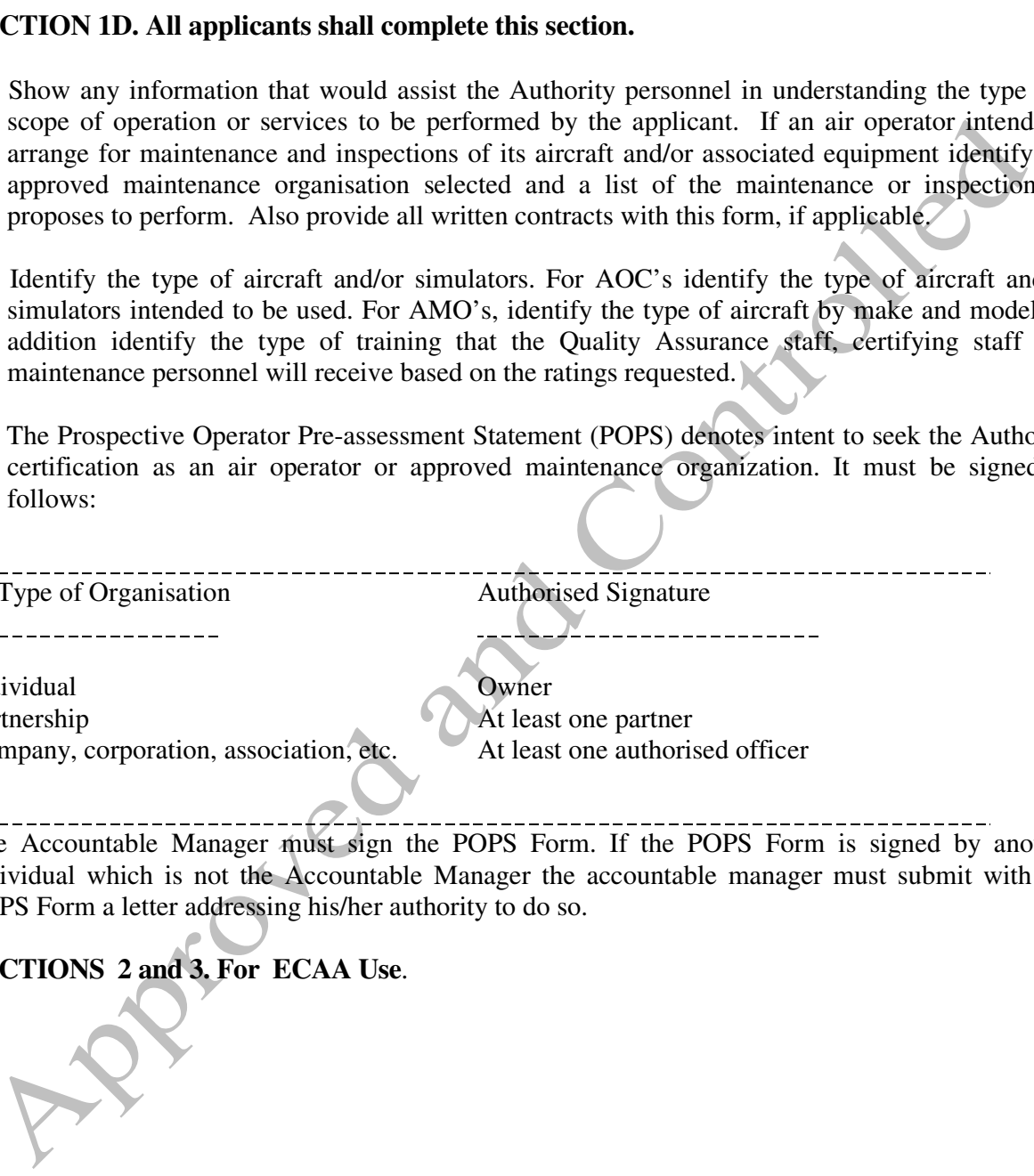
**SECTION 1D. All applicants shall complete this section.**

11. Show any information that would assist the Authority personnel in understanding the type and scope of operation or services to be performed by the applicant. If an air operator intends to arrange for maintenance and inspections of its aircraft and/or associated equipment identify the approved maintenance organisation selected and a list of the maintenance or inspections it proposes to perform. Also provide all written contracts with this form, if applicable.
12. Identify the type of aircraft and/or simulators. For AOC's identify the type of aircraft and/or simulators intended to be used. For AMO's, identify the type of aircraft by make and model. In addition identify the type of training that the Quality Assurance staff, certifying staff and maintenance personnel will receive based on the ratings requested.
13. The Prospective Operator Pre-assessment Statement (POPS) denotes intent to seek the Authority certification as an air operator or approved maintenance organization. It must be signed as follows:

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

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

**SECTIONS 2 and 3. For ECAA Use.**







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Section 1C. Blocks 9 and 10 to be completed by Air Operator			
9. Aircraft Data (For foreign registered Aircraft, please provide a copy of the lease agreement.)		10. Geographic areas of intended operations and proposed route structure.	
Numbers and types of aircraft (By make, model, and series)	Number of passengers seats or cargo payload capacity.		
Section 1D. To be completed by all applicants			
11. Additional information that provides a better understanding of the proposed operation or business. (Attach additional sheets, if necessary)			
12. Proposed Training (Aircraft and/or simulator)			
13. The statement and information contained on this form denotes an intent to apply for a CAA certificate.			
Type of Organisation:			
Signature	Date (day/month/year)	Name and Title	
Section 2. To be completed by the CAA Official			
Received by (Name and Office):			Date received (day/month/year)
Date forwarded to Director General Civil Aviation (DGCA) (day/month/year):	<input type="checkbox"/> Action <input type="checkbox"/> or information only		
Remarks:			
Section 3. To be completed by the office of the Director General Civil Aviation			
Received by:		Pre application Number:	
Date (day/month/year)		Assigned certification Number	
Local office assigned responsibility		Date forwarded to local office (day/month/year)	
Remarks:			

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**APPENDIX 2. SAMPLE FORMAL APPLICATION LETTER**

(Name of Applicant)  
 (Appropriate Address)  
 [Date]  
 Civil Aviation Authority  
 Attn: (Name), Manager  
 (Appropriate Address)

Dear (Name):

This letter serves as formal application for a Ethiopian Civil Aviation Authority air operator certificate. (Name of Applicant), initially intends to certificate and operate as a [scheduled or non-scheduled passenger, freight, or mixed passenger and freight] commercial air transport operation or general aviation service under the requirements of the Authority. We intend to use (Number and Type) aero plane(s) between (location) and (location). We have enclosed a copy of [(our report of) or (our filing with) (identify the STATE agency)] for a Financial Economic and Legal Matters assessment.

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

- President and Accountable Manager – Mr. Rolland Malev
- Director of Operations and Dispatch – Mr. Peter Berman
- Director of Maintenance – Mr. Lee Wing
- Quality Manager – Mr. William Jackson
- Chief Pilot – Mr. Nathan Moskowitz
- Director of Training – Ms. Brenda Hoff
- Director of Safety – Mr. Bruno Luccasi

Also enclosed is the revised Schedule-of-Events and Initial Statement of Compliance which was agreed to at our-last meeting with your representatives. We have retained the services of Mr. Anwar Hussun (appropriate address) as our designated agent. Sincerely,

Rolland Malev

	<p>Company Name</p> <p style="text-align: center;"><b>ETHIOPIAN CIVIL AVIATION AUTHORITY</b></p>	<p>Document No.</p> <p style="text-align: center;">ECA/AWS/OPS/AC/005</p>	
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President  
Enclosures

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**APPENDIX 3. AIR OPERATOR CERTIFICATION JOB AID AND SCHEDULE OF EVENTS  
ECAA FORM: OPS004**

OFFICIAL NAME OF COMPANY				LOCATION ADDRESS				
MAILING ADDRESS (if different from location)				Pre Certification Number:				
				Initial	Proposed date	Accomplished date	Date returned for change	Remarks
Authority REFERENCE	OPS Insp.	AIR Insp.	AVI Insp.					
<b>I. PRE-APPLICATION PHASE</b>								
A. Initial Orientation: Inspector: 1. Certification technical Circular Provided to applicant.								
2. Prospective Operator's Pre. Assessment Statement (POPS)  a. Forwarded to Director ECAA  B. Certification Team Designated (at least one operations, one maintenance, and one avionics inspector)  Name Specialty PM _____ _____ _____								
C. Conduct Pre-application Meeting 1. Verify POPS Information 2. Overview of Certification Process 3. Provide Certification Package Containing: a. Certification Job Aid b. Schedule of events c. Model Operations Specifications d. Other Applicable Publications and Documents 4. Explain Formal Application Submissions								

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Remarks:

AUTHORITY REFERENCE	II. FORMAL APPLICATION PHASE	Initial	Proposed date	Accomplished date	Date returned for change	Remarks
	A. Review Applicant's Submission					
	1. Formal Application Letter /Form					
	a. Full and Official name (Legal)					
	b. Mailing Address					
	c. Primary Operating Location (Principal /Operations /Maintenance Base)					
	d. Name and address of applicants designated agent					
	e. Key Management Personnel Names					
	2. Formal Application Attachments					
	a. Schedule of events					
	b. Initial compliance statement					
	c. Company general manuals					
	i. Operations Manual					
	ii. Maintenance Control Manual					
	iii. Aircraft Maintenance Program					
	d. Initial new hire training curricula (Crewmembers & Flt/Ops/Officers) Company Procedures Indoctrination Emergency Equip Drills Training Initial Flight and Ground Training					
	e. Management and Key Staff qualifications /resumes					
	f. Documents of purchase/contract(s) /lease(s) /letters of intent					
	B. Evaluation of Authority Resources Based on Schedule of Events					
REMARKS:						
	C. Formal Application Meeting					
	1. Schedule of events					
	Date: _____ Time _____					
	2. Discuss each Submission					
	3. Resolve Discrepancies/Open Items					

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	4. Review Certification Process					
	5. Review Impact if Schedule of Events are not met					
	D. Issue Letter Accepting /Rejecting Application					
Remarks						

AUTHORITY REFERENCE	III. DOCUMENT EVALUATION PHASE	Initial	Proposed date	Accomplished date	Date returned for change	Remarks
REMARKS:						
	A. Evaluate Applicable Training Programs					
	1. Training Curricula					
	a. Company Procedures Indoctrination					
	b. Emergency Equipment Drills Training					
	c. Ground Training (Handling/Servicing/De-icing)					
	d. Flight Training					
	e. Initial and Recurrent Training					
	f. Transition/Upgrade Training					
	g. Differences Training					
	h. Security					
	i. Dangerous Goods					
	j. Check Airmen/Flight Instructor					
	k. Crew Resource Management					
	l. Requalification					
	m. Safety Management					
	n. Comprehensive syllabi, including lesson plans for approved training					
	o. List of designated instructors and line check airmen					
	p. Procedures for remedial training and subsequent examination of flight crew unable to achieve or maintain required standards					



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	q. Procedures to require that flight crew members are properly trained and examined on abnormal and emergency conditions					
	r. Procedures for the conduct of examinations and manoeuvre tolerances					
	2. Flt/Ops/Officer Training					
<b>REMARKS:</b>						
	<b>B. Evaluate Management Qualifications</b>					
	1. Accountable Manager					
	2. Director of Operations					
	3. Director of Maintenance					
	4. Quality Manager/s					
	a. Quality Manager for operation (if applicable)					
	b. Quality Manager for Maintenance (if applicable)					
	5. Chief Pilot					
	6. Director of Safety					
	7. Request for Deviation Letter (if applicable)					
	8. Other					
<b>AUTHORITY REFERENCE</b>	<b>III. DOCUMENT EVALUATION PHASE</b>	<b>Initial</b>	<b>Proposed date</b>	<b>Accomplished date</b>	<b>Date Returned for Changes</b>	<b>Remarks</b>
	<b>C. Evaluate Operator's Manual System</b>					
	1. Completed Operations Manual					
	a. Emergency exit plan					
	b. Carry –on Baggage plan					
	c. Preservation and retention of flight recorder records					
	2. Aeronautical information publication(AIP)					
	3. Aeronautical information Rules and Standards and control(AIRAC)					
	4. Completed Maintenance Control Manual					



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	5. Aeronautical information Circular					
	6. Authority Approved Aeroplane Flight Manual					
	7. Aircraft Checklists					
	a. Normal					
	b. Abnormal					
	c. Emergency					
	8. Cabin Attendant Manual					
	9. Flight Supervision and Monitoring/Flight Following					
	10. Station /Facility Operations					
	11. Company Emergency Manual					
	12. Aerodrome Data and En-route Manual					
	13. Aerodrome/Runway Analysis (performance)					
	14. Minimum Equipment List					
	a. (MEL Management Program)					
	15. Configuration Deviation List					
	16. Maintenance Technical Manuals					
	17. Fuelling/Refueling/Defueling					
	18. Ground Servicing Manual					
	19. Mass and Balance Control Program					
	20. Dangerous Goods					
	21. Security					
	22. Reliability Program					
	23. Completed Continuous Airworthiness Maintenance Program					
	24. Emergency Plan/Notification					
	25. Passenger Briefing Cards					

REMARKS:

AUTHORITY REFERENCE	III. DOCUMENT EVALUATION PHASE	Initial	Proposed date	Accomplished date	Date Returned for Changes	Remarks
	I. Other Evaluations					
	1. Aircraft Lease					
	2. Maintenance Contracts/Agreements					





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	3. Servicing Contracts/Agreements					
	4. Exemption/Deviation Requests/Justification					
	5. Plan for Emergency Evacuation Demonstration					
	6. Plan for Demonstration Flight					
	7. Final Compliance Statement					
	8. Initiate Operations Specifications					
	9. Training Contracts					
	10. De-icing/Anti icing					
	11. Exit Row Seating					
REMARKS:						

AUTHORITY REFERENCE	IV.DEMONSTRATION AND INSPECTION PHASE	Initial	Proposed date	Accomplished date	Date Returned for Changes	Remark
	A. Evaluate Operator Conducting Training					
	1. Training Facilities					
	1. Training Schedules					
	2. Flight Crewmember Training Evaluation					
	a. Company Procedures Indoctrination					
	b. Emergency Equip. Drills Training					
	c. Ground Training					
	d. Flight Training					
	e. Differences Training					
	3. Check Airmen/Instructor					
	4. Cabin Crew					
	a. Company Procedures Indoctrination					
	b. Emergency Equip. Drills Training					
	c. Ground Training					
	d. Aircraft Systems					
	e. Recurrent Training					
	f. Assignment, Coordination and two way communication					



Company Name

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	5. Crew Resource Management					
	6. Flight Supervision and Monitoring/Flight Following					
	7. Dangerous Goods Training					
	a. Crewmembers					
	b. Ground personnel					
	8. Security Training					
	9. Maintenance Training					
	a. Director of Maintenance					
	b. Quality Manager					
	c. Quality System Personnel					
REMARKS:						

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AUTHORITY REFERENCE	IV. DEMONSTRATION AND INSPECTION PHASE	Initial	Proposed date	Accomplished date	Date Returned for Changes	Remarks
	B. Testing/Certification					
	1. Pilots					
	2. Flight Engineers					
	3. Flt/Ops/Officers					
	4. Cabin Attendants					
	C. Aircraft Conformity Inspection					
	D. Main Operations Base					
	E. Main Maintenance Base					
	F. Station/Facilities (Operations)					
	G. Station/Facilities (Operations)					
	H. Station /Facilities (Maintenance)					
	I. Flight Supervision and Monitoring /Flight Following					
	1. Crewmember					
	a. Training					
	b. Flight and rest times					
	c. Qualification					
	2. Maintenance					
	a. Aircraft Records					
	b. Maintenance Personnel Training					
	i. Director of Maintenance					
	ii. Quality Manager and Staff					
	iii. Contract Employees					
	J. Flight/Trip Records					
	K. Emergency Evacuation Demonstration					
	L. Ditching Demonstration					
	M. Demonstration Flight Evaluation					
	N. Proof of Economic Capacity					

REMARKS:

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AUTHORITY REFERENCE	V. CERTEFICATION PHASE	Initial	Proposed date	Accomplished date	Date Returned for Changes	Remarks
	A. Approve Operations Specifications					
	B. Present Certificate and Operations Specifications					
REMARKS:						
	C. Prepare Certification Report					
	1. Assemble Report					
	a. Formal Application Letter					
	b. Final Compliance Statement					
	c. Copy of Operations Specifications					
	d. Copy of Certificate					
	e. Summary of Difficulties					
	2. Distribute Report					
REMARKS:						
	D. Develop Post Certification Surveillance Program					
	1. Within Geographic Area					
	2. Outside Geographic Area					
REMARKS:						

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## APPENDIX 4. ETHIOPIAN CIVIL AVIATION RULES AND STANDARDS (ECARAS)

### SECTION 1-APPLICABLE PARTS OF ECARAS

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

### SECTION 3-OTHER ETHIOPIAN CIVIL AVIATION RULES AND DOCUMENTS INTERNATIONAL/OVERSEAS OPERATIONS ICAO ANNEXES

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

### OTHER ICAO DOCUMENTS

- Circular 253-AN/151..... Human Factors Digest No.12 Human Factors in Aircraft  
Maintenance and Inspection
- Document 4444-RAC/501...Rules of the Air and Air traffic service
- Document 7030.....Regional Supplementary
- Document 8335-AN/879.....Manual of Procedures for operations Inspection certification  
and Continued Surveillance
- Document 9284-AN/905.....Technical Instructions for the Safe Transport of Dangerous  
Goods by Air.
- Document 9365-AN/910.....All Weather Operations
- Document 9376-AN/91.....Preparation of an Operations Manual
- Document 9379-AN/916.....Manual and Procedures for Establishment and Management of a  
States Personnel Licensing System
- Document 9389-AN/919.....Manual of Procedures for Airworthiness Organisation.
- Document 9642-AN/94.....Continuous Airworthiness Manual.

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## APPENDIX 5. DEFINITIONS

The following appendix defines terms used in this Technical Circular and /or the certification process.

“Designated Agent.” The person upon whom service of all notices and processes and all orders, decisions, and requirements of the Civil Aviation Authority shall be made.

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

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

“General Aviation services” means is all civil aviation operations other than scheduled air services and non-scheduled air transport operations for remuneration or hire


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

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

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

“Principal base of Operations” Means the primary operating location of a certificate holder.

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**APPENDIX 6**

**OPERATIONS SPECIFICATIONS**

**ECAA FORM:OPS001/10**

<b>ETHIOPIAN CIVIL AVIATION AUTHORITY</b>				
<b>OPERATIONS SPECIFICATIONS</b> <i>(Subject to the approved conditions in the Operations Manual)</i>				
<b>ISSUING AUTHORITY CONTACT DETAILS</b>				
Tel: _____ Fax : _____ E-mail : _____				
AOC No. _____	Operator Name _____			
Date: _____	Commercial Name _____			
	Signature _____			
Aircraft Model:				
Types of Operations: Commercial <input type="checkbox"/> Passengers <input type="checkbox"/> Cargo <input type="checkbox"/> Other <input type="checkbox"/>				
Area(s) of Operation:				
Special Limitations				
<b>SPECIAL AUTHORIZATIONS</b>	<b>YES</b>	<b>NO</b>	<b>SPECIFIC APPROVALS</b>	<b>REMARKS</b>
Dangerous Goods	<input type="checkbox"/>	<input type="checkbox"/>		
Low Visibility Operations				
Approach and Landing	<input type="checkbox"/>	<input type="checkbox"/>	CAT _____; RVR _____ m; DH _____ ft	
Take-off	<input type="checkbox"/>	<input type="checkbox"/>	RVR _____ m	

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RVSM <input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>		
ETOPS <input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	Maximum Diversion time (____)min.	
Navigation Specifications for PBN operations	<input type="checkbox"/>	<input type="checkbox"/>		
Continuing Airworthiness				
Other	<input type="checkbox"/>	<input type="checkbox"/>		

**APPENDIX -7**

**AIR OPERATOR CERTIFICATE**

**ECAA FORM :OPS001**

<b>ETHIOPIAN CIVIL AVIATION AUTHORITY</b>		
<b>AIR OPERATOR CERTIFICATE</b>		
<i>Sample No.</i>	<i>Ethiopian Civil Aviation Authority</i>	<i>Address of the Authority</i>
.....		
<i>AOC No.</i>	<i>OPERATOR NAME</i>	<i>OPERATIONAL POINTS OF CONTACT</i>
<i>Expiry Date:</i>	<i>Operator Address:</i>	<i>Contact details, at which operational management can be contacted without undue delay, are listed in (____).</i>
.....	<i>Tel:</i>	
(dd) /mm/ (yyyy)	<i>Fax:</i>	
	<i>E-mail:</i>	
<i>This certificate certifies that (____) is authorized to perform commercial air operations, as defined in the attached operations specifications, in accordance with Ethiopian Civil Aviation Authority Rules and Standards</i> .....		
<i>Date of issue:</i>	<i>Name and Signature: .....</i>	
.....		





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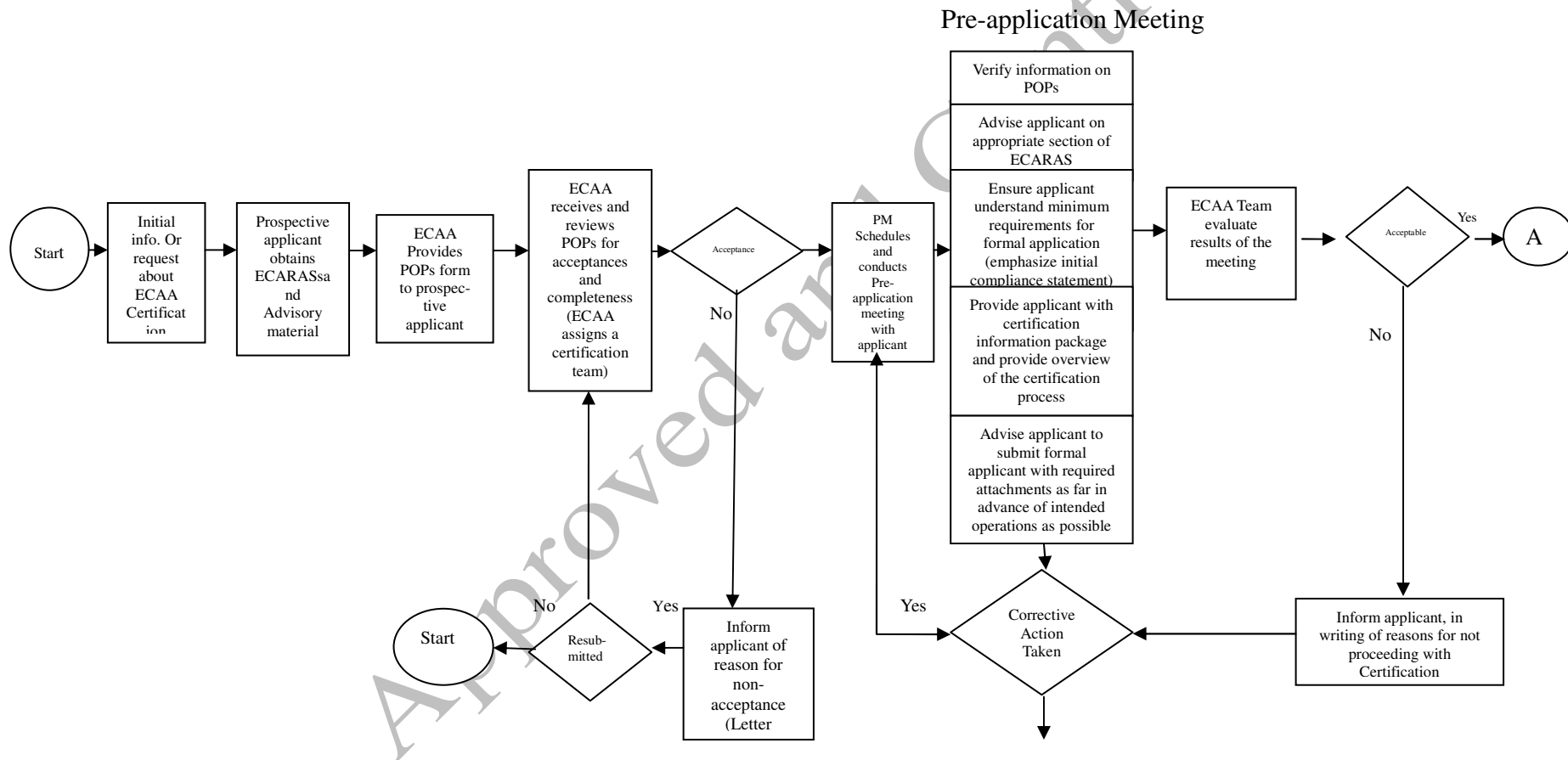
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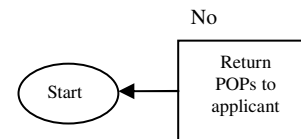
### Appendix 8– Certification Process Flow Chart

The flow charts on the following pages are representative of the Air Operator Certification Process. This chart also represents the process for the certification of an Approved Maintenance Organization.

#### PRE-APPLICATION PHASE AIR OPERATOR CERTIFICATION PROCESS



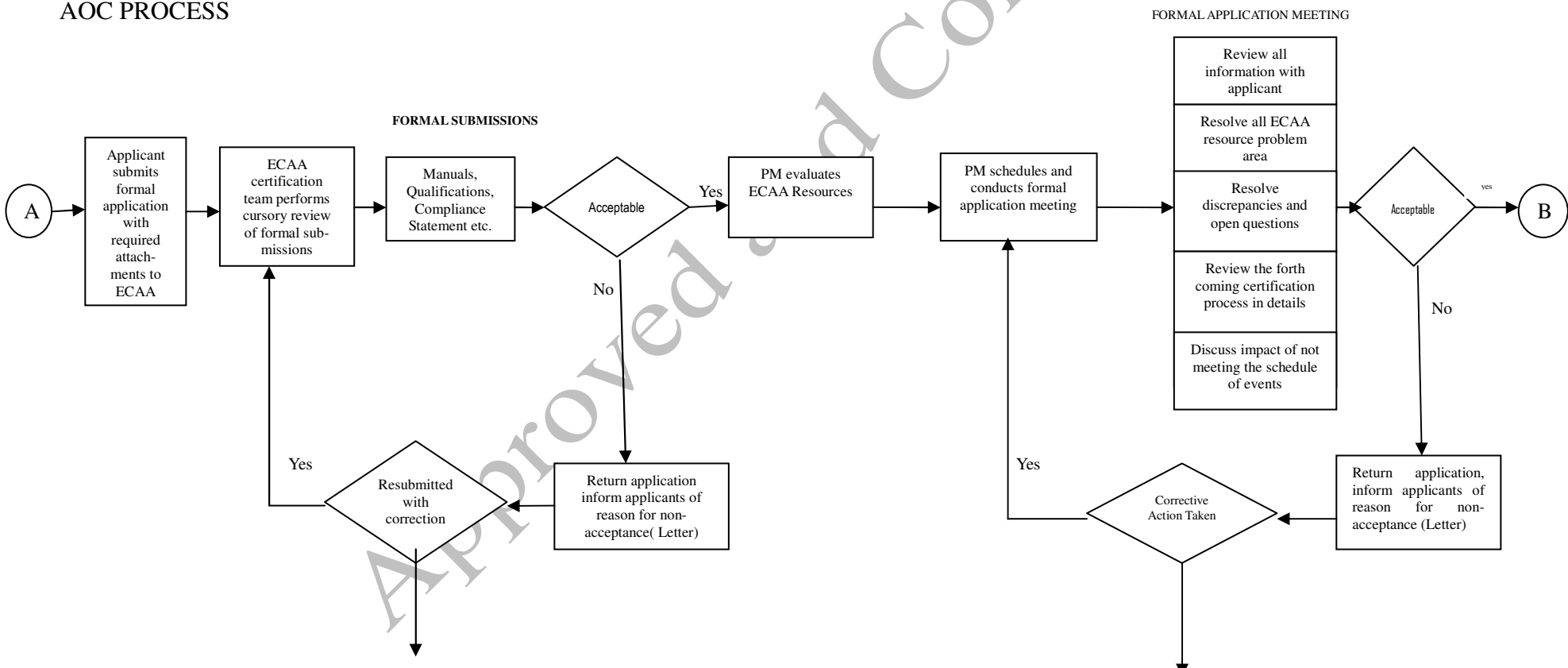
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Appendix 8 – Certification Process Flow Chart

FORMAL APPLICATION PHASE

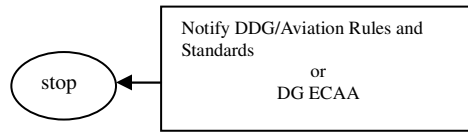
AOC PROCESS



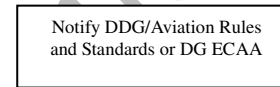
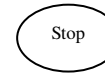


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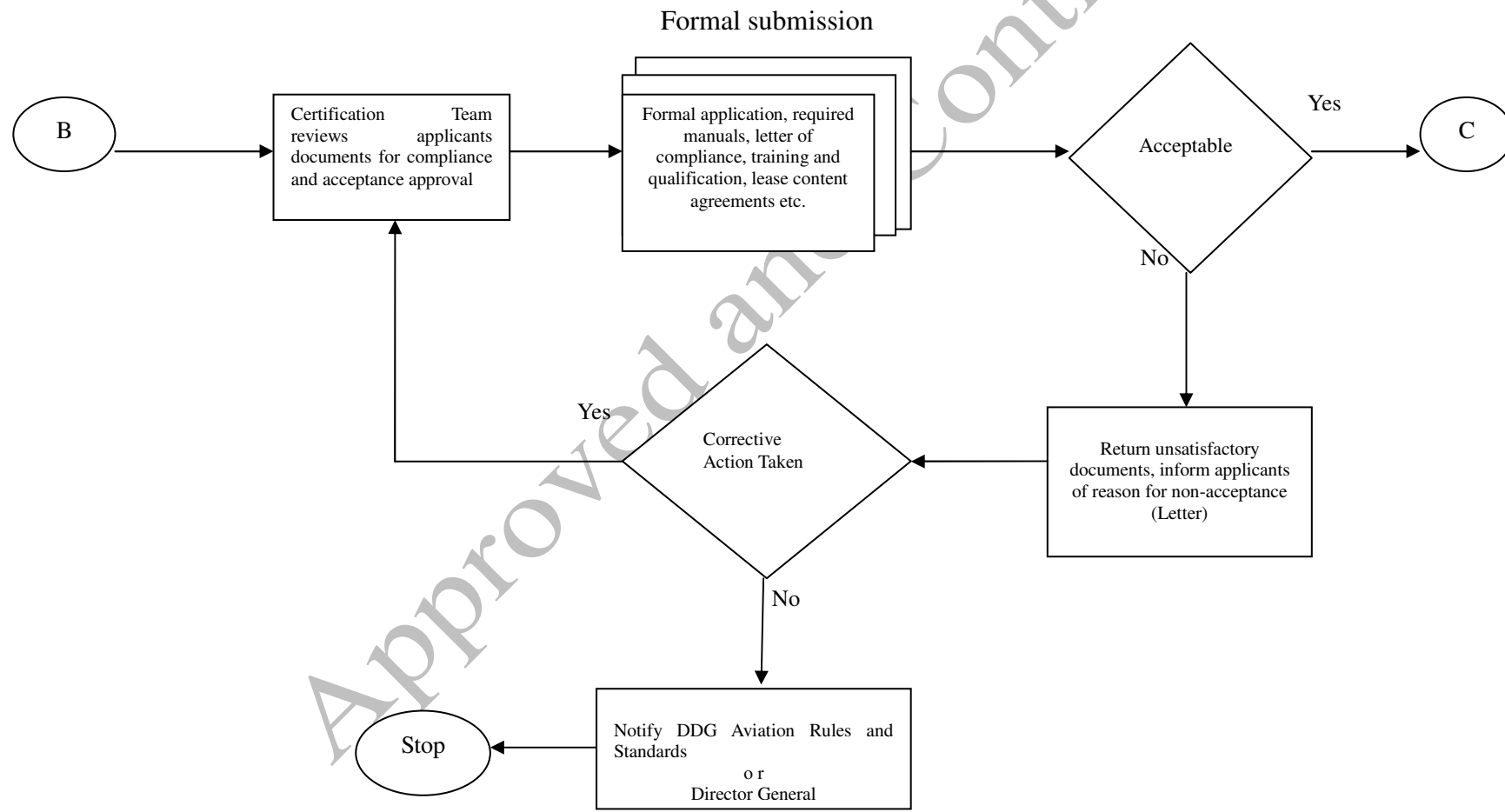
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Appendix 8 – Certification Process Flow Chart

DOCUMENT COMPLIANCE PHASE

AOC PROCESS





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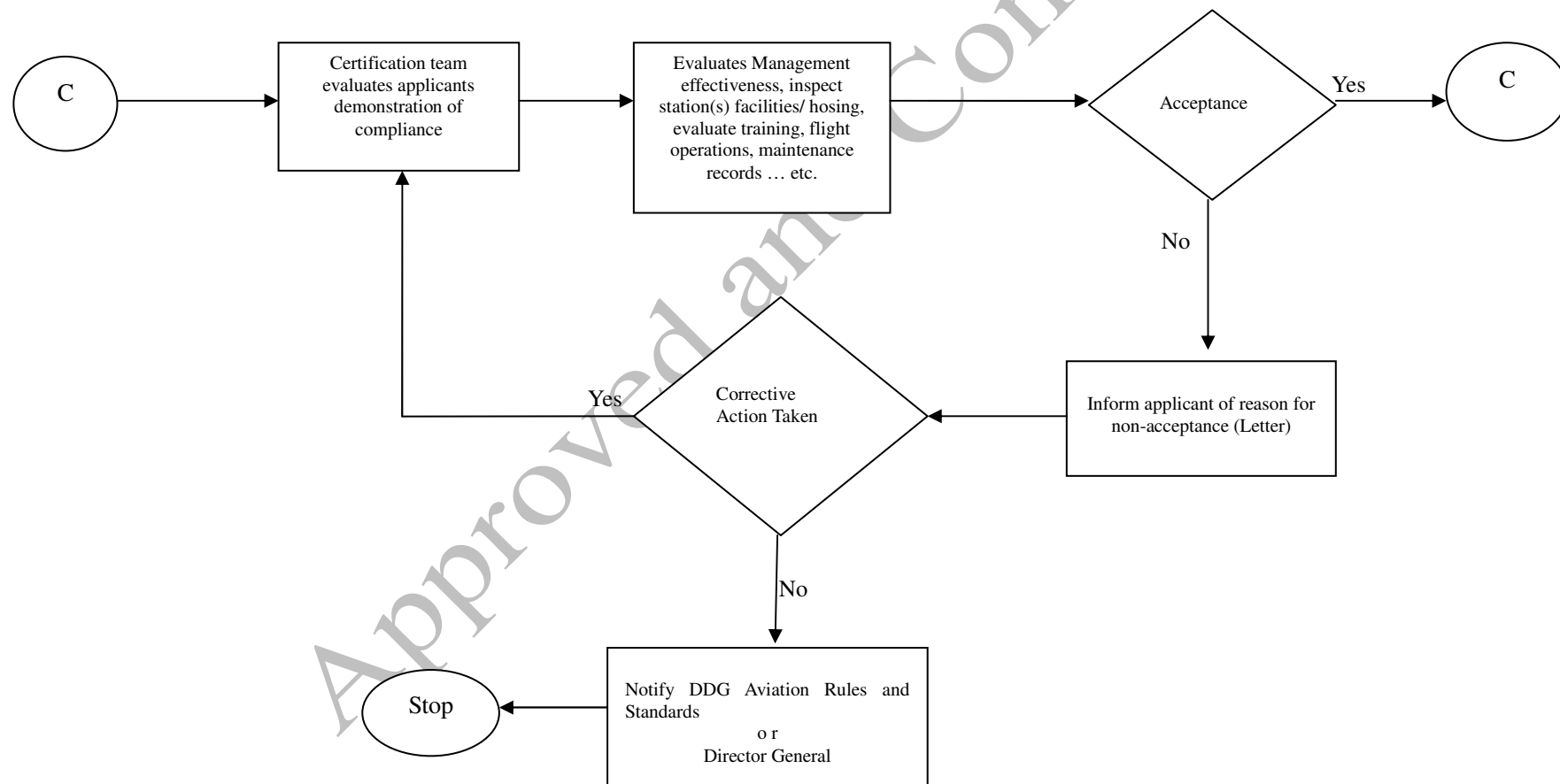
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## Appendix 8 – Certification Process Flow Chart

### DEMONSTRATION AND INSPECTION PHASE

#### AOC PROCESS

#### FORMAL DEMONSTRATION & INSPECTION EVALUATED ON THE FIELD

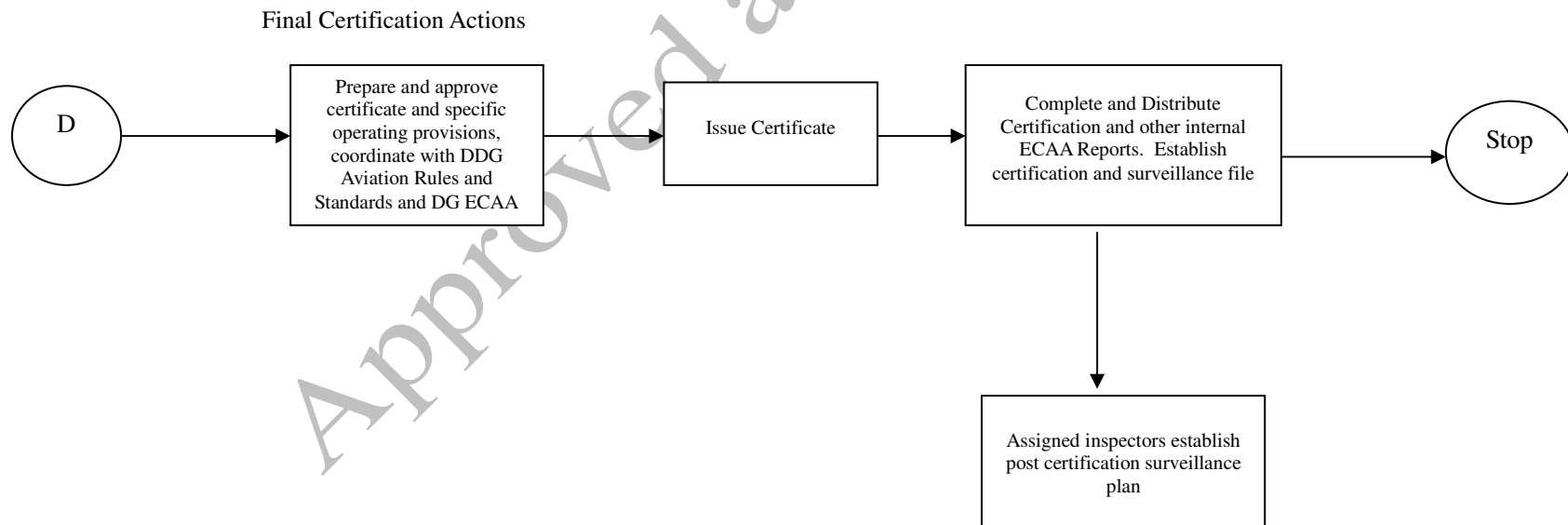


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## Appendix 8 – Certification Process Flow Chart

### CERTIFICATION PHASE

### AOC PROCESS







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