



## CHAPTER 1

### Air Operator Certification - The Certification Process (Pre-Application Phase)

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#### 1.0 PURPOSE

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- 1.1 This Chapter provides direction and guidance on the certification process for the issue of an Air Operator Certificate as required by Part 9 of the Nigeria Civil Aviation Regulations. This process, if followed, will lead to successful compliance with the requirements of the Regulations.
- 1.2 Under no circumstances will an applicant be certified+ until the Authority is confident that the prospective certificate holder is capable of fulfilling the required responsibilities, and willing to comply with the Regulations in an appropriate and continuing manner.

#### 2.0 REFERENCE

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- 2.1 **The Civil Aviation Act 2022;**
- 2.2 **Part 9 of the Nigeria Civil Aviation Regulations;**
- 2.3 **Part 8 of the Nigeria Civil Aviation Regulations;**
- 2.4 **Part 2 of the Nigeria Civil Aviation Regulations;**
- 2.5 **Part 6 of the Nigeria Civil Aviation Regulations;**
- 2.6 **Part 7 of the Nigeria Civil Aviation Regulations;**
- 2.7 **Part 5 of the Nigeria Civil Aviation Regulations;**
- 2.8 **FORM:O-OPS001A**

#### 3.0 CERTIFICATION / RENEWAL / RECERTIFICATION / VARIATION OF COMMERCIAL AIR TRANSPORT OPERATORS

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- 3.1 The certification process described in this Order and in Advisory Circular NCAA-AC-OPS001, "Certification of an Air Operator," is for an applicant seeking an air operator certificate (AOC) under Part 9 of the Nigeria Civil Aviation Regulations. The Authority should provide a copy of NCAA-AC- GEN003 and NCAA-AC-OPS001 to applicants requesting certification as an AOC holder. The applicant should also be required to acquire all the ACs and read them and become acquaint with the details therein.
- 3.2 The Pre-Application Phase is unique to new applicants. It is not required to be fully repeated during a renewal, to revise or re-issue an existing Air Operator Certificate (AOC).
- 3.3 For AOC Renewal, the Five-Phase process shall be followed, however, the Prospective Operator's Pre-Assessment Statement (POPS) Form Ops 001 **IS NOT** required to be submitted. Only the applicant's request letter for AOC renewal and approved Certification Team List shall be used as Phase One (1). Once the Project Team is composed, the Project will move to Phase 2.
- 3.4 For AOC Variation to add same aircraft type, make/model/series, the project shall commence from Phase 2. If it is a leased aircraft and the Lessor is different from the Lessor of the Initial Aircraft, a Pre-Arrival Base Facility Audit shall be conducted by a Team consisting of FOI, AWI, GOI and CSI (except if



it is a Cargo Only Aircraft where Cabin Crew members are not required). The Pre-Arrival Base Facility and Post-Arrival Aircraft Inspections Reports shall be used for Phase 4.

- 3.5 For AOC Variation to add a different aircraft type, the complete Five Phase process shall be followed. If it is a lease arrangement, the Pre-Arrival Base Facility and Post-Arrival Aircraft Inspections Reports shall be used for Phase 4. The full Team compliment of Inspectors (FOI, AWI, GOI, CSI) shall be used for both Pre-Arrival and Post-Arrival Inspections, except for Cargo only aircraft operations where CSIs will not be required.
- 3.6 For AOC Ops Specs Variation to add a new Airport, the Five-Phase process shall be followed, however, the Prospective Operator's Pre-Assessment Statement (POPS) Form Ops 001 **IS NOT** required to be submitted. Only the applicant's request letter for AOC Ops Specs Variation and approved Certification Team List shall be used as Phase One (1). Once the Project Team is composed, the Project will move to Phase 2.
- 3.7 For AOC Recertification, the full five phase process shall be followed afresh.



## 4.0 INITIAL ENQUIRIES OR REQUESTS

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### 4.1 Initial Enquiries

Initial enquiries about certification or requests for application may come in various formats from individuals or organisations. These enquiries may be in writing or in the form of meetings with the Authority personnel. Requests for applications may come from inexperienced and poorly prepared individuals, from well-prepared and financially sound organisations, or from organisations and individuals ranging between these extremes

### 4.2 Applicant Orientation

Upon initial contact, the Authority inspection personnel should provide the applicant with a Prospective Operator's Pre-Assessment Statement (POPS), Advisory Circulars NCAA-AC-GEN003 and NCAAAC- OPS001 and should guide the applicant with information on how to acquire a set of the Civil Aviation Regulations. In addition, inspection personnel should answer general questions on the air operator certification process. The inspectors should advise the enquirer to read appropriate Regulations and become thoroughly versed with the Regulations.

**NOTE:** *Inspectors should instruct applicants to complete the POPS in accordance with the instructions in NCAA-AC - OPS001 and to submit the completed POPS to the Authority office.*

### 4.3 Preliminary Discussion

4.3.1 After the applicant has reviewed NCAA-AC-GEN003 and NCAA-AC-OPS001, the assigned Authority inspector should briefly explain the requirements of the Authority that the applicant must meet in the certification process. The inspector should ask the applicant to schedule an appointment for further discussions, allowing enough time for the applicant to thoroughly review and understand the requirements of NCAA-AC-OPS001. The applicant should plan to bring key management personnel and their completed resumes to the pre-application meeting.

4.3.2 The Authority certification team must review the qualifications of the applicant's management personnel (Regulation 2.2.2 of Part 9 of the Nigeria Civil Aviation Regulations). A resume must be submitted for each required management position and that the resumes must contain the basic information necessary to determine regulatory compliance. The depth of review should be only to determine that there are no obvious omissions or significant discrepancies. An example of a significant discrepancy might be that the regulation requires an individual to hold an Airline Transport Pilot Licence (ATPL), but the resume shows that the individual holds only a Commercial Pilot Licence. A detailed review of the management qualifications and effectiveness will be accomplished during the document compliance and the demonstration and inspection phases.

## **5.0 FORM: O-OPS001 – Prospective Operator’s Pre-Assessment Statement (POPS)**

### **5.1 Purposes of a POPS**

- 5.1.1 Often, a prospective operator will request information about certification as an air operator, but the prospective operator is not fully aware of the regulatory requirements and the costs involved. The completed POPS denotes intent by the applicant to continue the certification process. It also allows the Authority to plan activities and prepare to commit resources.
- 5.1.2 The Director of Operations, Licensing and Training Standards (DOLTS) will use the POPS to evaluate the complexity of the proposed operation and to determine whether trained and experienced inspectors are available to conduct the certification process. The POPS is used by the administrative office of the Authority to record the pre-certification number assigned to the applicant. A pre-certification number is assigned to an applicant for the purpose of tracking the progress of the AOC certification project.

### **5.2 Authority Office Review of the POPS**

- 5.2.1 Upon receipt of a signed POPS, the Director of Operations, Licensing and Training Standards (DOLTS) will assign an inspector to review the form to ensure that there is sufficient information to further process the pre-application. The inspector will ascertain that the proposed operation is consistent with the Regulations under which the applicant will be required to operate.
- 5.2.2 If the POPS is unacceptable, the reasons for its unacceptability shall be described in section 2 of the form and returned to the applicant. The Authority shall notify the applicant, either verbally and by letter, that the POPS is unacceptable for the reasons detailed in section 2 of the form and that a new POPS is required. A copy of the rejected POPS shall be retained in the Authority office files.
- 5.2.3 When the POPS is acceptable, the Authority shall complete section 2 of the form. Within 5 working days, the "Action" box of section 2 shall be checked, and the POPS shall be forwarded to the Director of Operations, Licensing and Training Standards who shall process the POPS within 5 working days of receipt.
- 5.2.4 The POPS is used by the Director of Operations, Licensing and Training Standards to assess workload of the inspectorate office and to forecast staffing and training needs. The assessment at this time also determines the capability of the Authority to conduct the certification project.



## **6.0 ASSIGNMENT OF THE CERTIFICATION TEAM**

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### **6.1 Selection of Team Members**

When a POPS is acceptable and a pre-certification number is established, the Director shall select a team for the certification project. The team shall consist of at least one operations inspector (FOI, GOI, CSIs and DGIs, as needed) each and an Airworthiness Inspector (AWI) to cover both mechanical (A & C) and avionics (X & R). At least, one of the assigned operations inspectors should be qualified on at least one of the aircraft, preferably the largest, proposed to be used.

### **6.2 Designation of Certification Project Manager (CPM)**

The Director of Operations, Licensing and Training Standards will designate one member of the certification team to serve as the CPM. The person designated as CPM should have completed appropriate training and should have previous experience in the certification of an air operator under Part 9 of the Nigeria Civil Aviation Regulations or equivalent system of certification. It is desirable that a person with extensive inspector experience be designated as the CPM, although, depending on the situation, other inspectors may be acceptable.



## **7.0 RESPONSIBILITIES OF CPM AND THE CERTIFICATION TEAM**

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### **7.1 Responsibilities of the CPM**

7.1.1.1 The CPM and other certification team members shall conduct themselves in a professional and responsible manner with the applicant. The CPM shall serve as the primary spokesperson, on issues regarding the particular certification, for the Authority throughout the certification process. Consequently, the CPM must thoroughly co-ordinate all certification matters with all other specialists assigned to the certification project. The CPM shall be responsible for ensuring that all certification job functions are completed.

7.1.1.2 All correspondence, both to and from the applicant, shall be coordinated with the CPM. The CPM shall notify the Director of Operations, Licensing and Training Standards of any information that may significantly affect or delay the certification project. The CPM shall ensure that individuals involved with the certification project and the Director of Operations, Licensing and Training Standards are kept fully informed of the current status of the certification. The schedule of events and certification job aids should be used as guides for the conduct of these status meetings.

### **7.2 Responsibilities of the Certification Team Members**

Each team member shall respond to requests for assistance made by the CPM and keep the CPM informed of the status of the certification. Any discrepancy that may delay the certification effort must be brought immediately to the attention of the CPM.

### **7.3 Responsibilities of the CPM to the Director of Operations, Licensing and Training Standards**

The CPM shall keep the Director of Operations, Licensing and Training Standards informed of any unusual aspects of the certification process or of those aspects that may attract the attention of local or national political entities or the media.

### **7.4 Responsibilities of Inspector**

Inspectors shall provide advice and guidance to the applicant in all phases of the process. However, the inspector will not write the applicants manuals nor get involved in the applicant's responsibilities in the planned organisation. During the process the inspector also has the role of evaluating various elements of the applicant's planned operations.

### **7.5 Responsibilities of the Applicant**

The applicant must develop all required documents for submission with the formal application, and successfully complete all programmes required for certification.



## 8.0 PRE-APPLICATION MEETING

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### 8.1 General

8.1.1 In preparation for the meeting the assigned inspector should remind the applicant that his key management personnel would be expected to attend the pre-application meeting and should be prepared to discuss in general terms, specific aspects of the applicant's proposed operation. The Inspector should discuss the certification process in depth. Emphasis should be placed on the expectations of the Authority, what the applicant should expect from the Authority and the sequence of events.

8.1.2 At the end of the meeting, the inspector will give the applicant an Application Information Package.

### 8.2 Application Information Package

8.2.1 The pre-application meeting between the CPM, other certification team members and the applicant sets the tone for the rest of the certification process. Therefore, it is important that the CPM be thoroughly prepared to conduct the meeting. The CPM should review the POPS and assemble an application information package to be given to the applicant. The application information package shall consist of at least the following:

- a) FORM: O-OPS001 – Prospective Operator's Pre-Assessment Statement (POPS), if not previously provided;
- b) NCAA-AC-OPS001, if not previously provided;
- c) NCAA-AC-GEN003, if not previously provided;
- d) NCAA-AC-GEN005 (Quality System Programme);
- e) FORM: O-OPS001A (1A – 1A5) - AOC Certification Job Aid;
- f) FORM: O-OPS001E - Schedule of Events;
- g) Sample Operations Specifications;
- h) Other publications or documents that the CPM considers appropriate (e.g., cabin safety/base inspections and/or Dangerous Goods guidance materials, if required).

8.2.2 At the pre-application meeting, the applicant and any key personnel attending the meeting should be briefed in as much detail as necessary to ensure that they understand the certification process using the certification job aid and the schedule of events format as guides to facilitate the discussion and to ensure that all elements of the certification process are covered. The applicant should be encouraged to ask questions about any area of the process not clearly understood.

### 8.3 Verifying Information on the POPS

The first item for discussion should be verification of the information on the POPS, such as the type of operation, types of aircraft, geographic areas of operation, and location of facilities. When changes to this information occur, the applicant shall annotate the changes in the POPS. If the changes significantly affect the anticipated scope and/or type of operation, a copy of the revised POPS shall be forwarded to the Director of Operations, Licensing and Training Standards.

### 8.4 Informing the Applicant of Pertinent Regulations

8.4.1 It is essential that the applicant understands which regulations are applicable to the proposed operation. A list of regulations appropriate to various types of operations is presented in NCAAAC- OPS001. The



applicant should be advised to acquire and become familiar with the Civil Aviation Regulations and other Advisory Circulars pertinent to the proposed operation.

- 8.4.2 The applicant and the applicant's personnel must be made aware of their responsibilities during the certification process. It is to their benefit to submit required items as soon as they become available, and to notify the Authority immediately of any problems or changes in the proposed operation.

**8.5 Route Authorization**

The applicant should be advised that it is his responsibility to obtain the Air Transport Licence as well as the relevant route authorisation to provide commercial air transport operations from the Directorate of Air Transport Regulation and the designation from the Federal Ministry of Aviation for international routes.





## **9.0 INSTRUCTIONS TO THE APPLICANT ON THE FORMAL APPLICATION**

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### **9.1 Requirements of Formal Application**

- 9.1.1 It is essential during the pre-application meeting that the applicant has a clear understanding of the form, content and documents required for the formal application. The applicant shall be informed that the formal application must be submitted to the Authority office and after initial review, notification of its acceptance or rejection will be provided by letter within 10 working days. The applicant should be encouraged to submit the formal application as far in advance as possible of the intended starting date.
- 9.1.2 The inspector should inform the applicant that while the Authority inspectors will furnish informal guidance and advice during the preparation of required documents and manuals, the production of acceptable documents and manuals is solely the responsibility of the applicant.

### **9.2 Formal Application Letter or Form**

- 9.2.1 The inspector shall inform the applicant that the formal application must be in a specific format provided by the Authority; or it may consist of a letter containing a statement that the letter serves as a formal application for an air operator certificate. The letter must contain the full and official name of the applicant.
- 9.2.2 The owner shall sign this letter when applying as an individual or sole proprietorship, all partners when applying as a partnership, or an authorized officer(s) when applying as an organisation such as a company or a corporation. The letter shall contain the physical location address of the applicant's intended primary operating location.
- 9.2.3 The applicant's mailing address shall be included in the formal application letter if different from that shown on its letterhead. This letter shall also include the full name and address of the applicant's agent for service.
- 9.2.4 Additionally, the letter will confirm the identity of key management personnel such as the Accountable Manager, Director of Operations, Safety Manager, Director of Continuing Airworthiness, Chief Pilot, and Quality Manager, as applicable.



## 10.0 APPLICATION ATTACHMENTS

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### 10.1 General

The formal application letter shall be accompanied by at least the attachments described in the following subparagraphs. The applicant must understand that this letter and these attachments will be the minimum information acceptable for meeting the requirements of Regulation 1.1.5 of Part 9 of the Nigeria Civil Aviation Regulations.

### 10.2 Schedule of Events

10.2.1 The applicant needs to understand that the schedule of events is a key document to be presented with the formal application. The schedule of events is time table of when each activity is planned to be completed. It also shows a list of all manuals, documents, items, activities, programmes, aircraft and facility acquisitions that the applicant shall accomplish or make ready for Authority inspection before certification.

10.2.2 The schedule of events will include the applicant's best estimate of the date the item, activity, programme, aircraft, or facility acquisitions will be accomplished or ready for inspection. The applicant shall be informed that the schedule of events must be constructed in a logical and sequential manner. The schedule of events shall also provide for a reasonable amount of time for the Authority to review and accept or approve each item or event, before scheduling other items or events that are dependent on such acceptance or approval.

10.2.3 The applicant should be informed that failure to accomplish an item or event in a satisfactory or timely manner in accordance with the schedule of events could result in a delay in certification. The applicant should be advised that if deficiencies are detected during the review of manuals and other documents, they would be returned for amendment or correction. Such action may also cause additional delays in the certification process.

10.2.4 The applicant should be encouraged to use this format; however, other formats may be acceptable if they provide information necessary for the certification team to ensure the applicant is proceeding on in an appropriate manner.

### 10.3 Company Operations Manuals

10.3.1 This attachment to the formal application may be in the form of one or more manuals or volumes. These manuals must contain information about the applicant's organisation, general policies, duties, and responsibilities of personnel, operational control policy, and procedures. In practice, these manuals are often known as the General Operations Manuals (GOM) or Flight Operations Manual (FOM), and the Maintenance Control Manual (MCM).

10.3.2 The applicant should ensure that the manuals are in compliance with at least the following references of the Nigeria Civil Aviation Regulations as applicable to the applicant's operation:

Regulation	
9.2.2.4 (a) (2)	Easy to revise
9.2.2.4 (a) (3)	Revision control, each page dated
9.065	Company general policies



9.2.2.4 (a) (1)	Duties and responsibilities of employees
9.2.2.4 (a) (5)	References to appropriate regulations
9.3.1.23	Flight dispatching and operational control
IS 9.3.1.2 5.3	Flight crew succession to command
IS 9.3.1.4 3.1 (n)	Procedures for take-off in adverse weather
IS 9.3.1.3	Training
9.3.2.4 (b) (5)	A reference to the maintenance programme required under regulation 6.4
IS 9.3.1.2 5.3 8.2.1	Refuelling and/or de-fuelling
IS 9.3.1.2 (c) 17	Procedures for the handling, notifying and reporting of accidents and occurrences
IS 9.4.1.4 2.0	General Organisation
IS 9.4.1.4 3.0	Maintenance Procedures
IS 9.2.2.5	Records retention system
9.3.2.9	Airworthiness release and aircraft log entry procedures

#### 10.4 Company Training Curricula

10.4.1 The company-training curriculum must be attached to the formal application.

10.4.2 The company-training curriculum must include at least the following curriculum segments for each applicable crew member or flight operations officer position:

- a) Company Procedures Indoctrination Training -Regulation 8.10.1.9 of the Nigeria Civil Aviation Regulations; Regulation 9.2.2.9 of the Nigeria Civil Aviation Regulations;
- b) Emergency Equipment Drills Training-Regulation 8.10.1.13 of the Nigeria Civil Aviation Regulations;
- c) Initial Aircraft Ground Training-Regulation 8.10.1.14 of the Nigeria Civil Aviation Regulations;
- d) Initial Aircraft Flight Training-Regulation 8.10.1.15 of the Nigeria Civil Aviation Regulations.

#### 10.5 Management Qualification Resumes

10.5.1 This attachment shall include resumes that contain information on the qualifications, certificates, ratings, and experience of personnel selected for the following positions, or equivalent:

- a) Accountable Manager - when authority includes that outlined under Regulation 9.2.2.2 (a) of the Nigeria Civil Regulations;
- b) Director of Operations;
- c) Chief pilot;
- d) Quality Manager;
- e) Director of Continuing Airworthiness; and
- f) Safety Manager.

10.5.2 The applicant shall be informed that the effectiveness of his management personnel will be observed throughout the certification process. If during the pre-application meeting, it becomes apparent that a proposed management candidate does not meet the required experience outlined in the appropriate



Regulations the applicant should be informed that he may apply for an exemption for the prospective certificate holder to employ that person if equivalent aeronautical experience is shown by documentation. This request for an exemption must 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.

- 10.5.3 If an applicant intends to request approval for an exemption from required management personnel (fewer or different personnel), this request must be made by letter. The applicant must show that he is able to perform operations safely under the fewer or different positions requested. Justification shall take into account the size and scope of the operation as well as the qualifications of intended personnel. It must also be shown that the persons can be reasonably expected to effectively perform the functions associated with the subject positions in accordance with the Regulations and the procedures outlined in the proposed manual. If fewer or different positions are approved, this approval will be made part of the operations specifications.

## 10.6 Documents of Purchase, Contracts, and Leases

- 10.6.1 An attachment with these documents should provide evidence that the applicant has acquired aircraft, facilities and services to conduct the type of operation proposed. This evidence may be in the form of proof of formal purchases, leases or contractual arrangements. These documents should provide evidence that the applicant is committed to making arrangements for aircraft, supporting facilities and services as necessary for the proposed operation.

- 10.6.2 Examples of the types of equipment, facilities, and services that should be addressed in these documents, contracts, or leases include the following:

- a) Aircraft;
- b) Station facilities and services;
- c) Weather and Notices to Airmen (NOTAM) gathering facilities and services;
- d) Communications facilities and service;
- e) Flight Planning;
- f) Maintenance facilities and service;
- g) Aeronautical charts and related publication;
- h) Airport analysis and obstruction data;
- i) Contract training or facilities.

## 10.7 Statement of Compliance

- 10.7.1 Preparation of the statement of compliance benefits the applicant by systematically ensuring that all applicable regulatory aspects are appropriately addressed during the certification process. The statement of compliance shall be in the form of a complete listing of all appropriate Regulations sections pertinent to the operation which the applicant is proposing. This list should reference any applicable subpart and each relevant regulation of the subpart. Next to each regulation, sub-regulation, paragraph and sub-paragraph, the applicant must provide a specific reference to a manual or other document and may provide a brief narrative description that describes how the applicant will comply with each regulation.

- 10.7.2 This statement of compliance also serves as a master index to the applicant's manual system to expedite the Authority 's review and approval of the operation and manual system. The statement of compliance is an important source document during the certification process. After the certification process is completed, the statement of compliance should be kept current as changes are incorporated



in the applicant's system.

10.7.3 Where the statement of compliance has been developed (for example, the manual material submitted with the formal application), a manual reference or a description of the method of compliance must be entered next to the applicable regulatory section.

10.7.4 The list of the specific regulations and sub regulations, including all paragraph and subparagraphs, shall be presented in the manner of one of the following examples:

**Example 1: Statement of compliance Table Format**

Regulation	Title	Manual Reference
Reg. 5.1.1 of Part 8 of the Nigeria Civil Aviation Regulations	Authority of the PIC	FOM, Chapter 10, page 37-5, paragraph 35
Reg. 2.2.8 (a) of Part 9 of the Nigeria Civil Aviation Regulations	Contents of a journey log	FOM, Chapter 15, page 43-6, paragraph 37

**Example 2**

**Sample references for Part 8 of the Nigeria Civil Aviation Regulations: Specific Regulatory Requirement compliance –**

To current ref in Nig. CARs Initial Specialized Operations Training

1. GOM, Chapter 2, Section 2.01(D)  
Training Manual, Chapter 4, Sections 4.20(A) and 4.21(B1)
  - (a) GOM, Chapter 2, Section 2.11(E)  
Training Manual, Chapter 4, Sections 4.20(B) and 4.21(F)
  - (b) GOM, Chapter 2, Section 2.09(F); Chapter 3, Section 3.10 (C2a)  
Training Manual, Chapter 4, Section 4.21(H)
  - (c) Training Manual, Chapter 4, Section 4.21(J)

**Example 1- Statement of compliance**

**To current ref in Nig. CARs Ops of Aircraft Supervised Line Flying: Pilots**

- a) FOM p. 217, paragraph 237
- b) FOM p. 218, paragraph 238
- c) FOM p. 219, paragraph 240
- d) FOM p. 219, paragraph 240
- e) FOM p. 220, paragraph 241

**Example 3 - Statement of compliance**

**To current ref in Nig. CARs-Reporting Mechanical Irregularities**

The FOM, page 37-5, paragraph 35, instructs the pilot-in-command (PIC) on the requirements for, and methods of completing, the aircraft technical log. The PIC is required to review the log before each flight and to ascertain the status of each previous entry. The MCM page 58-33, paragraph 665(1) (A), instructs maintenance personnel on the requirement to record irregularities discovered during pre-flight checks and other types of checks.

**Example 4 STATEMENT OF COMPLIANCE AND INTERFACE MATRIX (SOC/IM)**

Nig. CARs	Subject	Primary Reference	Secondary Reference	Ops Specs	Flight Operations Manual	Cabin Crew Manual	Flight Crew Training and Checking Manual	Maintenance Control Manual	Comments
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NCAR Part 8 - Operations									
8.1	General								
8.1.1.	Applicability and Definitions	FOM 2.1.2	MCM 2.1.2		FOM 2.1.2		FCT&CM.1.7		Mechanical discrepancies are confirmed reported at the conclusion of each flight.
8.1.1.	Applicability								
8.1.1.	Definitions								
8.1.1.	Abbreviations								
-									
8.2	General Operations Requirements								

This preferred sample Compliance Statement And Interface Matrix (SOC/IM) is the most useful format for both operators and NCAA inspectors because it presents a clear comparison of information contained in each manual throughout each operator's system of manuals and documents. The SOC/IM is useful in helping ensure that each manual containing reference information applicable to a particular regulation is addressed when the content of any one manual is revised... thus ensuring that policies, procedures and instructions are created and maintained in a consistent manner throughout the operator's management system.

An "Interface," is that point where procedures converge. For example, an operator's procedures and instructions to flight crew for reporting mechanical discrepancies must be congruent with the manner in



which airworthiness engineers receive it. Similarly, the way a flight crew receives dispatch information from the operator must match how dispatchers transmit it. The SOC/IM is not only a statement of compliance, but also an interface management tool.

As illustrated above, the format of the SOC/IM includes the applicable Nig. CARs number, the regulation subject, a primary & secondary manual reference, and a reference for any Operations Specifications that may apply. Then there are columns for each manual that comprises the air organization's (AOC, AMO, ATO) system of company manuals. Location designations indicate where references to each Part, Paragraph, sub-paragraph and item from within the Nig. CARs can be found in the operations specifications and in each manual or other document listed across the top. In this way, the reader can read down each column to identify which regulations are addressed each manual. Alternatively, the reader can scan each row to identify where in each manual each regulation, part, paragraph, sub- paragraph or item is addressed.

## **11.0 CONCLUSION OF PRE-APPLICATION MEETING**

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### **11.1 General**

The CPM shall ensure that the applicant understands that the formal application with the previously described attachments must be complete and acceptable or the entire formal application will be rejected.

### **11.2 Applicant is Adequately Prepared**

At the close of the pre-application meeting, the CPM should determine whether the applicant is prepared to proceed with the certification process. If it appears the applicant understands the requirements of a formal application and will proceed to that phase, the CPM should encourage the applicant to informally co-ordinate required documents, as they are developed, with the certification team before formal submission.

### **11.3 Applicant is not prepared**

11.3.1 If it is evident that the applicant is not adequately prepared to proceed with the certification process, the CPM should advise the applicant of the reasons for concern. When it is apparent the applicant will not be able to prepare an adequate formal application, the CPM should advise the applicant to request another pre-application meeting after more complete preparation on the applicant's part.

11.3.2 It is appropriate for the CPM to recommend to the applicant one or more of the following actions:

- a) Further review of the Advisory Circular NCAA-AC-OPS001;
- b) A more thorough review of the applicable regulations;
- c) Changes in proposed key management personnel;
- d) Retain the services of a professional aviation consultant;
- e) Cease efforts to become NCAA certified.



**12.0 TERMINATION OF THE PRE-APPLICATION PROCESS**

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- 12.1** If at any time during the pre-application phase the applicant formally terminates all efforts toward certification or a period of 90 days has elapsed without any perceived activity by the applicant or the Authority otherwise determines that the applicant will not proceed with the certification process, the POPS will be returned to the applicant.
- 12.2** The Authority will notify the applicant in writing that this action terminates the pre-application process and that the applicant would have to submit a new POPS in order to initiate the certification process again. The Director of Operations, Licensing and Training Standards shall be notified of any certification project that is terminated. Should the applicant again request to apply, a new pre-certification number will be assigned.