



NIGERIA CIVIL AVIATION AUTHORITY  
(NCAA)

# ADVISORY CIRCULAR NCAA-AC-OPS001

January, 2024

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## CERTIFICATION OF AN AIR OPERATOR

### 1.0 PURPOSE

- 1.1 This Advisory Circular (AC) describes the process of applying for and obtaining an Air Operator Certificate (AOC) to conduct commercial air transport operations under the Civil Aviation Regulations. The certification process may appear to be a complex undertaking, particularly to a “first-time” operator. This AC provides basic information applicable to the certification process.
- 1.2 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 included in this AC. Operators will be briefed in as much detail as necessary regarding the preparation of manuals and other required documents during meetings with the Authority personnel. The information in this AC and the reading material referenced will assist the operator in completing the process with minimal delays and complications.

### 2.0 REFERENCE

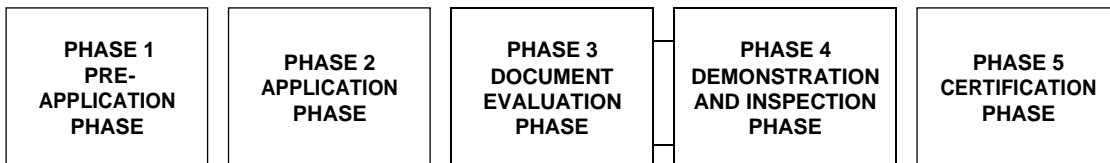
- 2.1 **The Civil Aviation Act;**
- 2.2 **Part 9 of the Nigeria Civil Aviation Regulations;**
- 2.3 **Part 8 of the Nigeria Civil Aviation Regulations;**
- 2.4 **Part 2 of the Nigeria Civil Aviation Regulations;**
- 2.5 **Part 6 of the Nigeria Civil Aviation Regulations;**
- 2.6 **Part 7 of the Nigeria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

### 3.0 AIR SERVICES LICENSE

A prospective operator will not be granted an AOC before applying for and being granted an Air Transport License (ATL) or Air Operators Permit (AOP) issued under respective Air Transport Licensing Regulation as required by Regulations 9.1.1.5 and 9.1.1.6 of the Nigeria Civil Aviation Regulations.

#### 4.0 BACKGROUND

- 4.1** To conduct commercial air transport operations under the Nigeria Civil Aviation Regulations, an operator must have his principal place of business located and registered in Nigeria. The Authority recognises the responsibility of commercial air transport operators to provide air transportation with the highest degree of safety possible in the public interest. The certification process is designed to ensure that prospective AOC holders understand and can fulfill this duty. When satisfactorily completed, the certification process should ensure that the operator is able to comply with the applicable Aviation Laws and Regulations and the international standards pertaining to the operation of aircraft as published in relevant Annexes to the Convention on International Civil Aviation.
- 4.2** 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:
- a) Pre-application
  - b) Formal Application
  - c) Document Evaluation
  - d) Demonstration and Inspection
  - e) Certification



- 4.3** In some cases, the guidance and suggested sequence of events in this AC may not be entirely appropriate. In such situations, the Authority and the operator would proceed in a manner that considers existing conditions and circumstances. The operator, however, should not expect to be certified until the Authority is assured that the aviation law and Regulations will be complied with in an appropriate and continuing manner.
- 4.4** Currently certificated air operators will require aligning their documentations in line with the Civil Aviation Regulations and will be subjected to the five-phase certification process as detailed in this AC. However, as specified in parts of this AC, the operator may be exempted from certain processes, particularly in Phase One and the demonstration phase, if the Authority deems the operator complies with the requirements.

## 5.0 PRE-APPLICATION PHASE

- 5.1** As far in advance as possible (180 days minimum) of an anticipated start of operations, an applicant should contact the Authority and inform it of his intent to apply for an NCAA Certificate. The applicant will be invited to meet briefly with the Authority personnel. During this initial meeting, only basic information and general certification requirements will be discussed. If the applicant intends to proceed with the certification, Form: AC-OPS001 [Prospective Operator's Pre-Assessment Statement (POPS)] will be furnished. A sample of this form with instructions for completing it is at Appendix 1. The POPS should be completed, signed by the applicant, and returned to the Authority.
- 5.2** The Authority personnel will review the POPS. If the information is incomplete or erroneous, the POPS will be returned to the applicant with the reasons for its return noted in Section 2. If the information is complete and acceptable, the Authority will schedule a pre-application meeting with the applicant and the selected Authority certification team members.
- 5.3** The Authority office will designate one certification team member as the Certification Project Manager (CPM). The CPM is the official Authority spokesperson throughout the certification project.
- 5.4** 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 and 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 certified as an air operator.
- 5.5** It is important to establish good working relationships and clear understandings between the Authority and the operator's representatives. The Authority recognises that a wide range of capabilities and expertise exists among operators. This background experience will be considered by the Authority and adjusted to during these initial meetings.
- 5.6** 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:
- a) The certification job aid that will be used by Authority inspectors during the certification project;
  - b) A schedule of events which must be completed and submitted with the formal application letter;
  - c) An example set of Operations Specifications (OpSpecs); and
  - d) Other publications or documents the CPM believes will be useful to the operator.
- 5.7** Regulation 9.1.1.5 of the Nigeria Civil Aviation Regulations specify that an application for an AOC shall be made in a form and manner prescribed by the Authority; and, containing any information the Authority requires 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 by a letter [see Appendix 2] requesting certification as an air operator. The Accountable Manager must sign the letter. The letter shall include a statement that it serves as the formal application for an Air Operator Certificate. It shall 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 also be included in the formal application letter if different from that on its letterhead. The letter shall also include the full name and address of the applicant's agent for service. Additionally, the letter will confirm the identity of key management personnel such as the Accountable Manager, Director of Operations, Chief Pilot, Safety Manager, Director of Continuing Airworthiness and Quality Manager as applicable. Certain documents must be submitted with the formal application. These documents (attachments) are briefly described in the following subparagraphs 5.7.1 through 5.7.14 and will be discussed in detail during the pre-application meeting.

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

**5.7.2 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, programmes, and aircraft and/or facility acquisitions that must be accomplished or made ready for the Authority's 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 Authority's 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 to review, inspect and approve 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 CPM should be notified as soon as practical.

**5.7.3 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 Regulations require 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. Regulations 9.3.1.2, 9.3.1.3, 9.3.1.4, 9.3.1.17 and 9.2.3.4 of the Nigeria Civil Aviation Regulations including the Schedules prescribe the content of these manuals. The entire manual system, as required by Regulations 8.4.1.3, 8.4.1.9, 8.5.1.1, 8.5.1.10 and 8.5.1.15 of the Nigeria Civil Aviation Regulations shall be completely developed at the time of formal application.

**5.7.4 Training and Checking Manuals.** It is recognised that aircraft acquisition, facility arrangements, and certain training programme 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:

- a) Company Procedures Indoctrination Training - Regulation 9.2.2.9, and 8.10.1.9 of the Nigeria Civil Aviation Regulations.

- b) Initial 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.

**5.7.5 Management Structure and Qualification Attachment** – The Regulations establish basic management positions and the minimum qualifications for air operators proposing to conduct scheduled or charter commercial air transportation operations. It may be possible to obtain a deviation from these required basic management positions and qualifications, depending on the complexity of the planned operation. Individuals assigned to the required management positions are expected to have a thorough knowledge of the operator’s company manuals, operating provisions, the Regulations 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;
- b) Director of Operations;
- c) Chief Pilot;
- d) Director of Continuing Airworthiness
- e) Safety Manager; and
- f) Quality Manager.

**5.7.6** 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 practicable to enable the individual who will hold the position to be involved early in the certification process.

**5.7.7** For the already certificated air operators requiring recertification to the new Regulations are advised to address qualifications of Accountable Manager and key management personnel ~~in order~~ to demonstrate their full compliance with the Regulations. However, the Authority may consider deviation in line with paragraph 5.7.6.

**5.7.8 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:

- a) Aircraft;
- b) Station facilities and services;
- c) Weather gathering facilities and services;
- d) Communications facilities and services;
- e) Maintenance facilities and services;
- f) Maintenance contractual arrangements;

- g) Aeronautical charts and related publications;
- h) Aerodrome analysis and obstruction data; and
- i) Contract training and training facilities.

**5.7.9 Initial Statement of Compliance** – This attachment should be a complete listing of all Regulations applicable to the proposed operation. Pertinent subparts and each relevant section of the regulation 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 regulation 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. The following examples are samples of how relevant sections of Regulations should be presented in a Statement of Compliance.

**EXAMPLE 1**

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*Statement of Compliance* - method of compliance **not developed** at time of formal application.  
 Regulation 9.3.1.19 of the Nigeria Civil Aviation Regulations - Aeronautical Data Control System: This system is currently under development and will be submitted for approval on (date).

**EXAMPLE 2**

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*Statement of Compliance* - method of compliance **fully developed - preferred presentation**.  
 Regulation 9.3.1.22 of the Nigeria Civil Aviation Regulations – ‘De-icing and Anti-icing Programme’: Flight Operations Manual (FOM) page 129, para. 243; Maintenance Control Manual (MCM) page 45, Para. 12.5

**EXAMPLE 3**

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*Statement of Compliance* - method of compliance **fully developed - acceptable presentation**.  
 Regulation 8.5.1.19 of the Nigeria Civil Aviation Regulations – ‘Reporting mechanical irregularities’: The air operator instructs the pilot in command (PIC) on the requirements for and methods of completing the technical log of the aeroplane. The PIC is required to review the technical log before each flight and to ascertain the airworthiness status of the aeroplane by checking each previous log entry. The MCM instructs maintenance personnel on the requirement to record discrepancies discovered during pre-flight checks and other types of checks.

**5.7.10 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. A copy of an Air Service License will serve as **proof** of compliance.

**5.7.11 List of Aircraft** – This attachment should consist of a list of aircraft, (by make, model, and series) that the applicant intends to operate.

**5.7.12 List of Designated Destination and Alternate Aerodromes** – This attachment is required if the applicant is applying for scheduled operations.

**5.7.13 Familiarity with Pertinent Regulations and Advisories** – A thorough understanding of pertinent regulations and advisory materials is critical to the success of the entire certification process. The operator and key management personnel must understand which regulations apply to the intended operation. A sample list of Regulations as they apply to various kinds and types of operations is in

Appendix 4.

- 5.7.14 Informal Co-ordination of Draft Manuals** – During the pre-application phase and throughout the certification process, the operator will have to prepare documents and manuals for the Authority’s evaluation and approval or acceptance. The operator is encouraged to informally co-ordinate drafts of these documents with the CPM 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.

**6.0 FORMAL APPLICATION PHASE**

- 6.1** It is required that the formal application be submitted at least 150 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.
- 6.2** 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 question to be resolved during the formal application meeting.
- 6.3** 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.
- 6.4** 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.

**7.0 DOCUMENT EVALUATION PHASE**

- 7.1 Evaluation of Manuals and Documents for Acceptance or Approval** – After the formal application has been accepted, inspectors will begin a thorough evaluation of all the manuals and documents that are required by regulation to be submitted to the Authority. The Authority will endeavour 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 regulations 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, as required by the Regulations. Approvals may be indicated by letter as appropriate, or by approval of Operations Specifications (OpSpecs). Acceptance of information that does not require formal approval will be indicated by letter or by the lack of the Authority’s objection to the information.
- 7.2 Documents Review** – The time involved in the processing of 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:

- a) Management personnel resume outlining proposed management qualifications and civil aviation compliance histories.
- b) Operations Manual (may be in one or more parts).
- c) Maintenance Control Manual (may be in one or more parts).
- d) Aircraft maintenance programmes and supporting manuals such as Maintenance Review Board (MRB) and Corrosion Prevention Control Programme (CPCP).
- e) Mass and balance procedures/programme.
- f) Training Programme Manual.
- g) Approved Aircraft Flight Manual.
- h) Aircraft Operating Manual.
- i) Minimum Equipment List (MEL) and MEL Management Programme
- j) Configuration Deviation List (CDL).
- k) Cockpit checklist.
- l) Passenger briefing cards.
- m) Noise and emission plan (if applicable).
- n) Airport Runway Analysis
- o) Deviation requests.
- p) Dangerous Goods.
- q) Cabin Attendant Manual.
- r) Dispatch/flight following/flight locating procedures.
- s) Draft Operations Specifications (operations and airworthiness).
- t) Maintenance Reliability Programme (optional).
- u) Plan for Demonstration Flights.
- v) Emergency evacuation demonstration plan.
- w) Ditching demonstration plan.
- x) Fully completed Statement of Compliance.

**7.3 The Fully Completed Statement of Compliance** – This 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, programmes, and/or procedures.

## **8.0 DEMONSTRATION AND INSPECTION PHASE**

**8.1** The Regulations require an operator to demonstrate his ability to comply with regulations and safe operating practices before beginning actual commercial 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 Authority evaluates 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.

- 8.2** Although the document evaluation and the demonstration and inspection phases have been discussed separately in this AC, 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:
- a) Conduct of training programmes (classroom, simulators, aircraft, and flight and ground personnel training).
  - b) Crewmember and Flight Operations Officer testing and certification.
  - c) Station facilities (equipment, procedures, personnel, fuelling/de-fuelling, de-icing, technical data).
  - d) Recordkeeping procedures (documentation of training, flight and duty times, flight papers).
  - e) Flight control (Flight Supervision and Monitoring system or Flight Following system)
  - f) Maintenance and inspection programmes (procedures, record keeping).
  - g) Aircraft (conformity inspection, aircraft maintenance records, etc.).
  - h) MELs and CDLs (compliance with operating and maintenance procedures, etc., if applicable).
  - i) Mass and balance programme (procedures, accuracy, and document control).
  - j) Passenger emergency evacuation demonstration (aborted takeoff demonstration and ditching demonstration).
  - k) Demonstration Flights. Includes full-scale simulation of revenue operations to demonstrate the ability to operate independently, safely, and in compliance with all applicable Regulations.
- 8.3** The Demonstration and Inspection Phase outline under paragraph 8.1 and 8.2 is only applicable to the initial certification of an air operator.
- 8.4** Those air operators, who are already certificated and/or have done demonstration flights during their initial certification or recertification, need not do the demonstrations a second time unless the Authority deems it necessary for safety reasons, however validation flights may be required. The existing operators who have never done the demonstration flights will be required to demonstrate their compliance with the new Regulations. However, full demonstration flights will not be necessary for them, but inspectors should ensure they observe the operations of the operator in a sample route(s), chosen by the Authority, as a minimum. Routes that are inherently different from others and pose unique challenges should be demonstrated separately. The terms and conditions of operations will be specified in the applicable Operations Specifications (OpSpecs).

**NOTE:** An applicant for an air operator certificate (AOC) may concurrently seek Authority approval of its AMO. The applicant needs to co-ordinate the progress of both certification projects. Both certification projects must be in the Demonstration and Inspection Phase at the same time. This is because the Demonstration Flights cited under Regulation 9.2.3.6 of the Nigeria Civil Aviation Regulations require the applicant to demonstrate to the Authority all proposed flight and ground operations. The applicant therefore will also be expected to demonstrate use of its Approved Maintenance Organisation to ensure that procedures in the Maintenance Control Manual (MCM) and Maintenance Procedures Manual (MPM) are in agreement.

## 9.0 CERTIFICATION PHASE

- 9.1 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 OpSpecs. The OpSpecs contain authorisations, limitations, and provisions specific to an operator's operation. The operator must acknowledge receipt of these documents.
- 9.2 The certificate holder is responsible for continued compliance with the Regulations and the authorisations, limitations, and provisions of its certificate and OpSpecs. As a certificate holder's operation changes, the OpSpecs will be amended accordingly. The process for amending OpSpecs is similar to the certification process. In some cases, it may be a less complex procedure depending on the subject of the amendment. The Authority is responsible for conducting periodic inspections of the certificate holder's operation to ensure continued compliance with the Regulations and safe operating practices.

## 10.0 RECERTIFICATION OF OPERATORS CERTIFICATED TO THE OLD REGULATIONS

- 10.1 Currently certificated operators are required to consult the Authority and work out a schedule of events for their recertification before the date of expiry of their AOC and within the transition period.
- 10.2 An evaluation of the operator's Operations Manual and other documents, once submitted, will be carried out to check for conformity to the Regulations. Particular attention will be paid to the following areas:
- 10.2.1 Areas of previous deficiencies.
  - 10.2.2 Qualifications of Accountable Manager and key management personnel.
  - 10.2.3 Carriage of Dangerous Goods.
  - 10.2.4 Statement of Compliance.
  - 10.2.5 All other new requirements by the Regulations

## 11.0 AOC RENEWAL, VARIATIONS AND RECERTIFICATION

- 11.1 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).
- 11.2 For AOC Renewal, the Five-Phase of the AOC Certification 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.
- 11.3 For AOC Variation to add same aircraft type, make/model/series, the project shall commence from Phase 2 of the AOC Certification process.
- 11.4 For AOC Variation to add a different aircraft type, the complete Five Phase of the AOC Certification process shall be followed.
- 11.5 For AOC Ops Specs Variation to add a new Aerodrome, the Five-Phase of the AOC Certification 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 shall be used as Phase One (1). Once the Project Team is composed, the Project will move to Phase 2.

- 11.5 For AOC Recertification, the full Five-Phase of the AOC Certification process shall be followed afresh.

## **12.0 EXPLANATION OF APPENDICES IN THIS ADVISORY CIRCULAR**

Appendix 1 provides instructions on how Authority Form: FORM O-OPS001: Prospective Operator's Pre-Assessment Statement (POPS) / Application Form should be completed. Section 1, items 1 through 13, should be completed and signed by the applicant and returned to the appropriate Authority office. Sections 2 and 3 are reserved for Authority use.

- 12.1 Appendix 2 provides a sample formal application letter.
- 12.2 Appendix 3 provides a certification job aid and schedule of events.
- 12.3 Appendix 4 provides a list of applicable Nig. CARs
- 12.4 Appendix 5 provides definitions of terms as they are used in the certification process.
- 12.5 Appendix 6 provides a detailed flow chart of the entire certification process.

APPENDIX 1

**INSTRUCTIONS FOR COMPLETING AUTHORITY FORM: AC-OPS001 PROSPECTIVE OPERATOR'S PRE-ASSESSMENT STATEMENT (POPS) / APPLICATION FORM**

*(TO BE COMPLETED BY AN APPLICANT FOR AN AIR OPERATOR CERTIFICATE)*

**GENERAL.** The POPS is to be completed by an Air Operator Certificate (AOC) applicant.

**SECTION 1A.** All applicants for an AOC shall complete this section.

**Block 1.** Enter the company's official name and mailing address. Include any other business or trade name (if different from the company name).

**Block 2.** Enter the physical location where primary operating activities are based, that is, where the offices of management required by regulation are located. If the address is the same as the address listed in Block 1, enter "Same." Include the address of any secondary base operations.

**Block 3.** Enter the estimated date when operations or services will begin. The estimate should, at least, not be less than the estimated time for the project completion.

**Block 4.** Indicate up to three three-letter ICAO Radio Telephony identifiers such as IAL, ABC, XYZ, etc. This information will be used to assign a company identification number. If all choices have been assigned to other operators, a randomly selected number will be assigned.

**Block 5.** Enter the names, titles, telephone numbers, and other contact details of management and key staff personnel required by Nig CARs Part 9.2.2.2.

*Note: Management personnel qualification requirements are specified in Nig. CARs Part 9.2.2.2 and the related Implementing Standards (IS).*

**SECTION 1B.** The air operator applicant shall complete this section, as appropriate.

**Block 6.** Check the appropriate box to indicate if the air operator intends to perform maintenance as an AMO, to contract all or part of its maintenance, or to perform its own maintenance using a maintenance authorization system. If the applicant intends to perform maintenance as an AMO, the applicant shall comply with Nig. CARs Part 6.

**Block 7.** Indicate the proposed type of operation. Check as many boxes as apply.

**SECTION 1C.** To be completed by air operator applicant.

**Block 8.** Indicate the types and number of aircraft by make, model, series, and simulator information.

**SECTION 1D.** To be completed by air operator applicant.

**Block 9.** Indicate the number and types of aircraft by make, model, series, and the number of passenger seats or cargo payload capacity. For leased aircraft, provide a copy of the lease agreement.

**Block 10.** Indicate the geographic areas of intended operations and the proposed route structure. Geographical area could be countries or continents while Route Structure could be domestic,

regional and/or international.

**SECTION 1E.** To be completed by air operator applicant.

**Block 11.** Enter any information that would assist NCAA 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 AMO selected and provide a list of the maintenance or inspections it proposes to perform. Also, provide all written contracts with this POPS, if applicable.

**Block 12.** Identify the proposed training, including the type of aircraft and/or flight simulation training devices (FSTDs). Identify the type of aircraft and/or FSTDs intended to be used and the training to be provided.

**Block 13.** The signature of the Accountable Manager denotes the intent to seek NCAA certification as an air operator. The Accountable Manager must sign the POPS. If an individual other than the Accountable Manager signs the POPS, the Accountable Manager must submit with the POPS a letter addressing that individual's authority to do so.

**SECTION 2.** To be completed by the Authority.

If the POPS is unacceptable, the Inspector assigned to review the POPS shall describe the reasons for its unacceptability in the Remarks section and forward to the Director. The Authority shall notify the applicant, either verbally or by letter, that the POPS is unacceptable for the reasons detailed in Remarks section of the form and that a new POPS is required. A copy of the rejected POPS shall be retained in the Authority office files.

If the POPS is acceptable, the Inspector assigned to review the POPS shall complete the "Received by" and "Date" blocks and forward to the Director.

The Director shall enter the required information, including a recommendation in the Remarks block on the action to be taken and forward the POPS and all available document and information to the General Manager Operations.

**SECTION 3.** To be completed by the General Manager Operations.

The General Manager Operations shall complete this section which may include a statement in the Remarks block for the project to move to the next Phase and forward to the CPM.

**PROSPECTIVE OPERATOR'S PRE-ASSESSMENT STATEMENT (POPS)/ APPLICATION FORM**

<b>To be completed by an applicant for Air Operator Certificate (AOC)</b>		
<b>Section 1A: To be completed by the Applicant</b>		
1. Name and mailing address of company (include business name if different from company name).	2. Address of the principal (main) base where operations will be conducted.	
3. Proposed Start-up Date:	4. Requested company (3) three letter (ICAO) identifier in order of preference (1) (2) (3)	
5. Management and Key Staff Personnel.		
Name (Surname/First/Middle)	Title	Telephone (include mobile) & address (if different from company) include country code.
<b>Section 1B: To be completed by Air Operator</b>		
6. <input type="checkbox"/> Air Operator intends to perform maintenance as an AMO <input type="checkbox"/> Air Operator intends to arrange for maintenance and inspections of aircraft and associated equipment to be performed by other <input type="checkbox"/> Air Operator intends to perform maintenance under a Maintenance Authorisation		
7. Proposed type of operation (Tick as many as applicable) Air Operator Certificate.		
<input type="checkbox"/> Passenger and Cargo	<input type="checkbox"/> Passenger Only	<input type="checkbox"/> Scheduled Operations
<input type="checkbox"/> Cargo Only	<input type="checkbox"/> Aerial Work	<input type="checkbox"/> Non-Scheduled Operations

**PROSPECTIVE OPERATOR'S PRE-ASSESSMENT STATEMENT (POPS)/ APPLICATION FORM**

<b>Section 1C. Training: Aircraft and Simulator information (to be completed by Prospective Air Operator)</b>			
8. Training Aircraft Data.		Simulator Information	
		[Authority Assigned ID] :	
Aircraft Type: Make, Model and Series (M/M/S).	Number of Aircraft Type	Make, Model and Series (M/M/S) of Aircraft being Simulated	Qualification Level Assigned
<b>Section 1D. Blocks 9 and 10 to be completed by Air Operator.</b>			
9. Data for Aircraft used for operations (For foreign registered aircraft, please provide a copy of the lease agreement)		10. Geographical areas of intended operations and proposed route structure.	
Numbers and types of aircraft (By make, model and series)	Number of passenger seats or cargo payload capacity.		

**PROSPECTIVE OPERATOR’S PRE-ASSESSMENT STATEMENT (POPS)/ APPLICATION FORM**

<b>Section 1E To be completed by Air Operator</b>		
11. Additional information that provides a better understanding of the proposed operation, flight schedule and business (Attach additional sheets, if necessary).		
12. Proposed Training (Aircraft and/or Simulator).		
13. The statement and information contained on this Form denotes an intention to apply for the Authority Certificate.		
Type of Organisation:		
Signature.	Date (day/month/year)	Name and Title (Block Letters)
<b>Section 2. To be completed by the Authority.</b>		
Received by.		Date (day/month/year)
Assigned Certification Project Manager (CPM):		
Date forwarded to the Certification Project Manager (CPM) (day/month/year)	For: <input type="checkbox"/> Action <input type="checkbox"/> Information only	
<b>Remarks:</b>		
<b>Section 3. To be completed by the General Manager Operations</b>		
Received by:	Date (day/month/year):	
Pre-Certification Number:	Certification Project Number:	
Assigned FOI:	Date:	
<b>Remarks:</b>		



APPENDIX 2

SAMPLE FORMAL APPLICATION LETTER

(Name of Applicant)  
(Appropriate Address)

[Date]  
Nigeria Civil Aviation Authority  
Attn: Director of Operations, Licensing and Training Standards

Dear (Name):

This letter serves as a formal application for the Authority Air Operator Certificate. (Name of Applicant), initially intends to be certificated and operate as a [scheduled or charter passenger, aerial work cargo, or passenger and cargo] commercial air transport operation under the Civil Aviation Regulations. We intend to use (Number and Type) aeroplane(s) between (location) and (location). We have enclosed a copy of our Air Services License which has been issued by the Authority.

Our company will have its principal base of operations and corporate offices located at (appropriate address). Our maintenance base will be located at (appropriate address). A copy of our contract with (name of approved maintenance organisation) is enclosed. Our management personnel are as follows:

Accountable Manager – Mr. Peter Kamau  
Director of Operations – Mr. Peter Smith  
Director of Continuing Airworthiness – Mr. Patrick Oprong  
Quality Manager – Mr. Samuel Muthomi  
Chief Pilot – Mr. Fredrick Miller  
Safety Manager – Mr. Rodney Lewis

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. Louis Regent (appropriate address) as our agent for service.

Sincerely,

Peter Kamau  
Accountable Manager

*Encl*

APPENDIX 3

FORM: AC-OPS001A AIR OPERATOR CERTIFICATION JOB AID AND SCHEDULE OF EVENTS FOR COMMERCIAL AIR TRANSPORT OPERATORS

OFFICIAL NAME OF COMPANY			LOCATION ADDRESS															
MAILING ADDRESS (if different from location)			PRE-CERTIFICATION NUMBER:															
			Scheduled Date	Inspector Initial	Date Received/ Accomplished	Date Returned for Changes	Reference											
AUTHORITY REFERENCE	OPS Insp.	AWI Insp.																
<b>I. PRE-APPLICATION PHASE</b>																		
A. Initial Orientation: Inspector: _____ 1. Certification Advisory Circular provided to applicant. 2. Prospective Operator's Pre-Assessment Statement (POPS) a. Forwarded to the Authority.																		
B. Certification Team Designated (at least one operations inspector and one airworthiness inspector)  <table border="0" style="width: 100%;"> <tr> <td style="width: 10%;"></td> <td style="width: 30%; text-align: center;">Name</td> <td style="width: 30%; text-align: center;">Speciality</td> <td colspan="3"></td> </tr> <tr> <td>CPM</td> <td>_____</td> <td>_____</td> <td colspan="3"></td> </tr> </table>				Name	Speciality				CPM	_____	_____							
	Name	Speciality																
CPM	_____	_____																
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																		
Remarks:																		

**FORM: AC-OPS001A AIR OPERATOR CERTIFICATION JOB AID AND SCHEDULE OF EVENTS FOR COMMERCIAL AIR TRANSPORT OPERATORS**

AUTHORITY Reference	II. FORMAL APPLICATION PHASE	Scheduled Date	Inspector Initial	Date Received/ Accomplished	Date Returned for Changes	Reference
	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 applicant's agent for service					
	e. Key Management Personnel Names					
	2. Formal Application Attachments					
	a. Schedule of events					
	b. Initial compliance statement					
	c. Company Operations Manuals					
	i. Operations Manual.					
	ii. Maintenance Control Manual					
	iii Aircraft Maintenance Programme					
	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					
<b>REMARKS:</b>						
	C. Formal Application Meeting					
	1. Schedule of events					
	Date: _____ Time: _____					
	2. Discuss each Submission					
	3. Resolve Discrepancies/Open Items					
	4. Review Certification Process					
	5. Review Impact if Schedule of Events items are not met					
	D. Issue Letter Accepting/Rejecting Application					
<b>REMARKS:</b>						

**FORM: AC-OPS001A AIR OPERATOR CERTIFICATION JOB AID AND SCHEDULE OF EVENTS FOR COMMERCIAL AIR TRANSPORT OPERATORS**

AUTHORITY Reference	III. DOCUMENT EVALUATION PHASE	Scheduled Date	Inspector Initial	Date Received/ Accomplished	Date Returned for Changes	Reference
<b>REMARKS:</b>						
	A. Evaluate Applicable Training Programmes 1. Training Curricula					
	a. Company Procedures Indoctrination					
	b. Emergency Equipment Drills Training					
	c. Ground Training (Handling/ Servicing/ De-icing)					
	d. Flight Training					
	e. Recurrent Training					
	f. Transition/Upgrade Training					
	g. Differences Training					
	h. Security					
	i. Dangerous Goods					
	j. Flight Examiner/Flight Instructor					
	k. Crew Resource Management					
	2. Flt/Ops/Officer Training					
<b>REMARKS:</b>						
	B. Evaluate Management Qualifications 1. Accountable Manager					
	2. Director of Operations					
	3. Director of Continuing Airworthiness					
	4. Quality Manager/s					
	a. Quality Manager for Operations (if applicable)					
	b. Quality Manager for Maintenance (if applicable)					
	5. Chief Pilot					
	6. Safety Manager					
	7. Request for Deviation Letter (If Applicable)					
	8. Other					
<b>REMARKS:</b>						

**FORM: AC-OPS001A AIR OPERATOR CERTIFICATION JOB AID AND SCHEDULE OF  
EVENTS FOR COMMERCIAL AIR TRANSPORT OPERATORS**

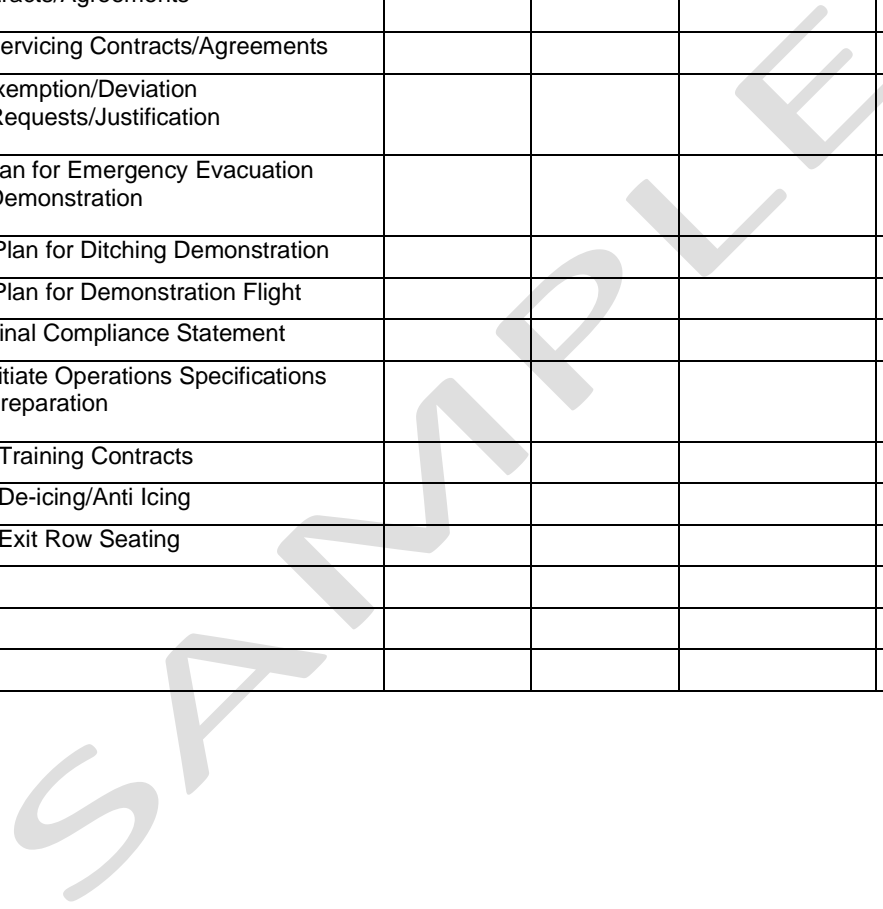
AUTHORITY Reference	III. DOCUMENT EVALUATION PHASE (CONTINUED)	Scheduled Date	Inspector Initial	Date Received/ Accomplished	Date Returned for Changes	Reference
	C. Evaluate Operator's Manual System					
	1. Completed Operations Manual					
	a. Emergency exit plan					
	b. Carry-on Baggage plan					
	2. Completed Maintenance Control Manual					
	3. Authority Approved Aircraft Flight Manual					
	4. Aircraft Checklists					
	a. Normal					
	b. Abnormal					
	c. Emergency					
	5. Cabin Attendant Manual					
	6. Flight Supervision and Monitoring/Flight Following					
	7. Station/Facility Operations					
	8. Company Emergency Manual					
	9. Aerodrome Data & En Route Manual (Charts and Plates)					
	10. Aerodrome/Runway Analysis (Performance)					
	11. Minimum Equipment List					
	a. (MEL Management Programme)					
	12. Configuration Deviation List					
	13. Maintenance Technical Manuals:					
	14. Fuelling/Refuelling/Defuelling					
	15. Ground Servicing Manual					
	16. Mass and Balance Control Programme					
	17. Dangerous Goods					
	18. Security					
	19. Reliability Programme					
	20. Completed Continuous Airworthiness Maintenance Programme					
	21. Emergency Plan/Notification					
	22. Passenger Briefing Cards					

**Remarks:**

**FORM: AC-OPS001A AIR OPERATOR CERTIFICATION JOB AID AND SCHEDULE OF  
EVENTS FOR COMMERCIAL AIR TRANSPORT OPERATORS**

AUTHORITY Reference	<b>III. DOCUMENT EVALUATION PHASE (CONTINUED)</b>	Scheduled Date	Inspector Initial	Date Received/ Accomplished	Date Returned for Changes	Reference
	D. Other Evaluations 1. Aircraft Lease					
	2. Maintenance Contracts/Agreements					
	3. Servicing Contracts/Agreements					
	4. Exemption/Deviation Requests/Justification					
	5. Plan for Emergency Evacuation Demonstration					
	6. Plan for Ditching Demonstration					
	7. Plan for Demonstration Flight					
	8. Final Compliance Statement					
	9. Initiate Operations Specifications preparation					
	10. Training Contracts					
	11. De-icing/Anti Icing					
	12. Exit Row Seating					

**Remarks:**



**FORM: AC-OPS001A AIR OPERATOR CERTIFICATION JOB AID AND SCHEDULE OF EVENTS FOR COMMERCIAL AIR TRANSPORT OPERATORS**

AUTHORITY Reference	IV. DEMONSTRATION & INSPECTION PHASE	Scheduled Date	Inspector Initial	Date Received/ Accomplished	Date Returned for Changes	Reference
	A. Evaluate Operator Conducting Training					
	1. Training Facilities					
	2. Training Schedules:					
	3. Flight Crewmember Training Evaluation					
	a. Company Procedures Indoctrination					
	b. Emergency Equip. Drills Training					
	c. Ground Training					
	d. Flight Training					
	e. Differences Training					
	4. Check Pilot/Instructor					
	5. Cabin Crew					
	a. Company Procedures Indoctrination					
	b. Emergency Equip. Drills Training					
	c. Ground Training					
	6. Crew Resource Management					
	7. Flight Supervision and Monitoring/Flight Following					
	8. Dangerous Goods Training					
	a. Crewmembers					
	b. Ground personnel					
	9. Security Training					
	10. Maintenance Training					
	a. Director of Maintenance					
	b. Quality Manager					
	c. Quality system Personnel					

**Remarks:**

**FORM: AC-OPS001A AIR OPERATOR CERTIFICATION JOB AID AND SCHEDULE OF  
EVENTS FOR COMMERCIAL AIR TRANSPORT OPERATORS**

AUTHORITY Reference	IV. DEMONSTRATION & INSPECTION PHASE (CONTINUED)	Scheduled Date	Inspector Initial	Date Received/ Accomplished	Date Returne d for Changes	Reference
	B. Testing/Certification					
	1. Pilots					
	2. Flight Engineers					
	3. Flt/Ops/Officers					
	4. Cabin Crew Members					
	C. Aircraft Conformity Inspection					
	D. Main Operations Base					
	E. Main Maintenance Base					
	F. Station/Facilities (Operations)					
	G. Station/Facilities (Maintenance)					
	H. Flight Supervision and Monitoring/Flight Following					
	I. Recordkeeping Locations					
	1. Crewmember					
	a. Training					
	b. Flight & 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 [State] Economic Authority					

**Remarks:**



**FORM: AC-OPS001A AIR OPERATOR CERTIFICATION JOB AID AND SCHEDULE OF  
EVENTS FOR COMMERCIAL AIR TRANSPORT OPERATORS**

AUTHORITY Reference	V. CERTIFICATION PHASE	Scheduled Date	Inspector Initial	Date Received/ Accomplished	Date Returned for Changes	Reference
	A. Approve Operations Specifications					
	B. Present Certificate & Operations Specifications					
<b>Remarks:</b>						
	C. Prepare Certification Report					
	1. Assemble Report					
	a. Formal Application Letter and POPS					
	b. Final Statement of Compliance					
	c. Copy of Operations Specifications					
	d. Copy of Certificate					
	e. Summary of Difficulties					
	2. Distribute Report					
<b>Remarks:</b>						
	D. Develop Post Certification Surveillance Programme					
	1. Within Geographic Area					
	2. Outside Geographic Area					
<b>Remarks:</b>						

## **APPENDIX 4**

### **THE NIGERIA CIVIL AVIATION REGULATIONS**

#### **SECTION 1 – Applicable Parts of the Regulations**

1. Part 8 of the Nigeria Civil Aviation Regulations;
2. Part 9 of the Nigeria Civil Aviation Regulations;
3. Part 4 of the Nigeria Civil Aviation Regulations;
4. Part 5 of the Nigeria Civil Aviation Regulations;
5. Part 6 of the Nigeria Civil Aviation Regulations;
6. Part 7 of the Nigeria Civil Aviation Regulations;
7. Part 3 of the Nigeria Civil Aviation Regulations;
8. Part 10 of the Nigeria Civil Aviation Regulations;
9. Part 11 of the Nigeria Civil Aviation Regulations; and
10. Part 14 of the Nigeria Civil Aviation Regulations;
11. Part 15 of the Nigeria Civil Aviation Regulations;
12. Part 20 of the Nigeria Civil Aviation Regulations;

#### **SECTION 2 – Other References that May be Applicable to Certification as an AOC Holder**

All other issued Advisory Circulars.

#### **SECTION 3 - Applicable International Rules and Documents (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 10 to the ICAO Convention ... Telecommunications  
Annex 11 to the ICAO Convention ... Air Traffic Services  
Annex 12 to the ICAO Convention ... Search and Rescue  
Annex 17 to the ICAO Convention ... Aviation Security  
Annex 18 to the ICAO Convention ... Transportation of Dangerous Goods.  
Annex 19 to the ICAO Convention .... Safety Management

**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 8168-OPS                 | - | Aircraft Operations   |
| Document 8335-AN/879              | - | Manual of Procedures for Operations Inspection, Certification and Continued Surveillance      |
| Document 9859-AN/460              |   | Safety Management Manual (SMM)  |
| 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/914              | - | Preparation of an Operations Manual   |
| Document 9379-AN/916              | - | Manual and Procedures for Establishment and Management of a States Personnel Licensing system |
| Document 9760-AN/919              | - | Manual of Procedures for an Airworthiness   |
| Organisation Document 9642-AN/941 | - | Continuous Airworthiness Manual   |

ICAO information may be obtained by writing

to: International Civil Aviation Organisation  
999 University Street, Montreal, Quebec, Canada H3C 5H7.

## **APPENDIX 5: DEFINITIONS**

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

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

**“Inspectorate Office”** means the NCAA Office, which has responsibility for administering 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.

**“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.

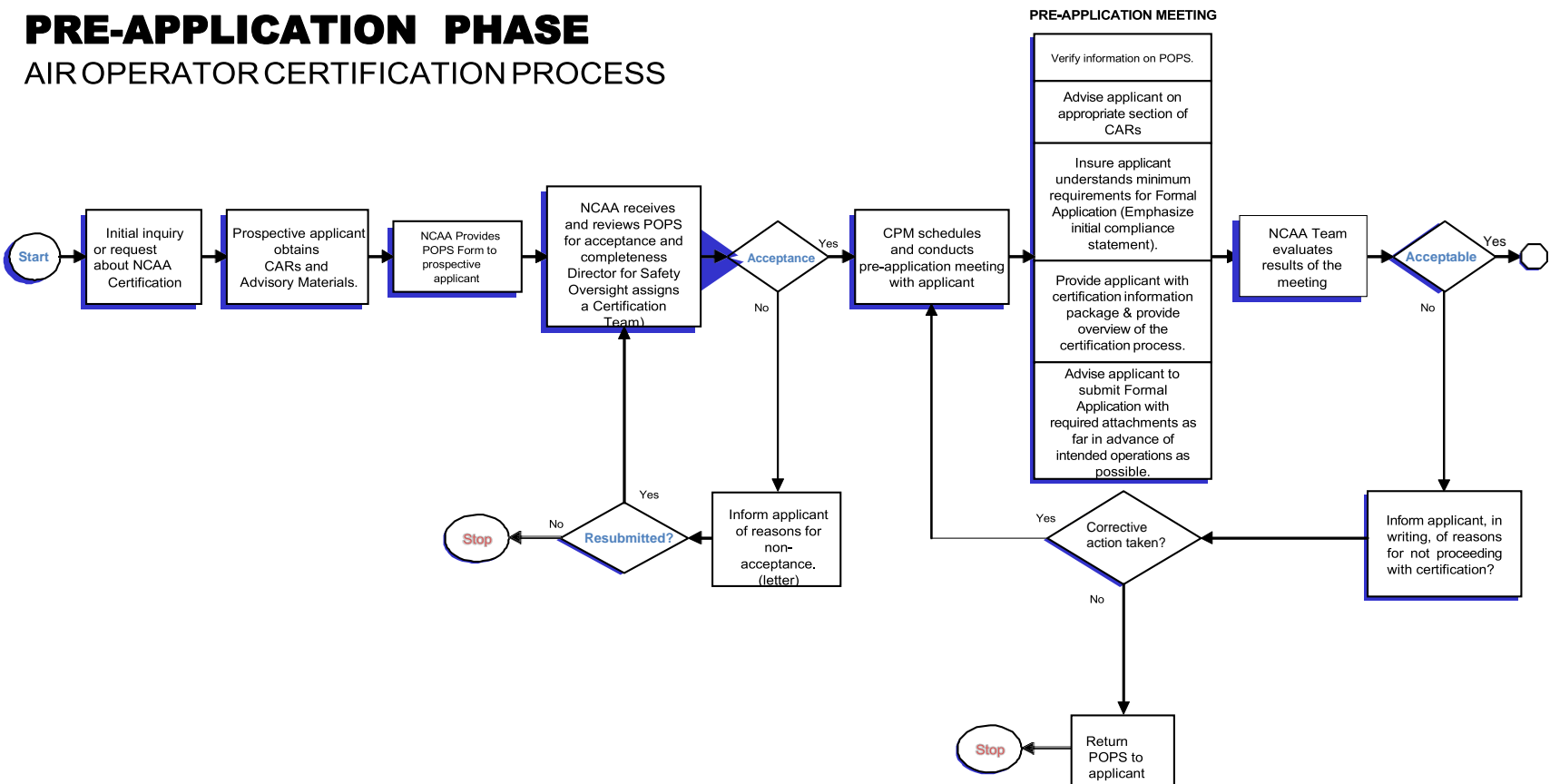
**“Passenger carrying operation”** means any aircraft operation carrying any person other than a crewmember, company employee, authorised government representative, or person accompanying a shipment.

**“Principal base of operations”** means the primary operating location of a certificate holder as designated by the Authority.

**APPENDIX 6 -  
CERTIFICATION  
PROCESS FLOW  
CHART.**  
Page 1 of 5

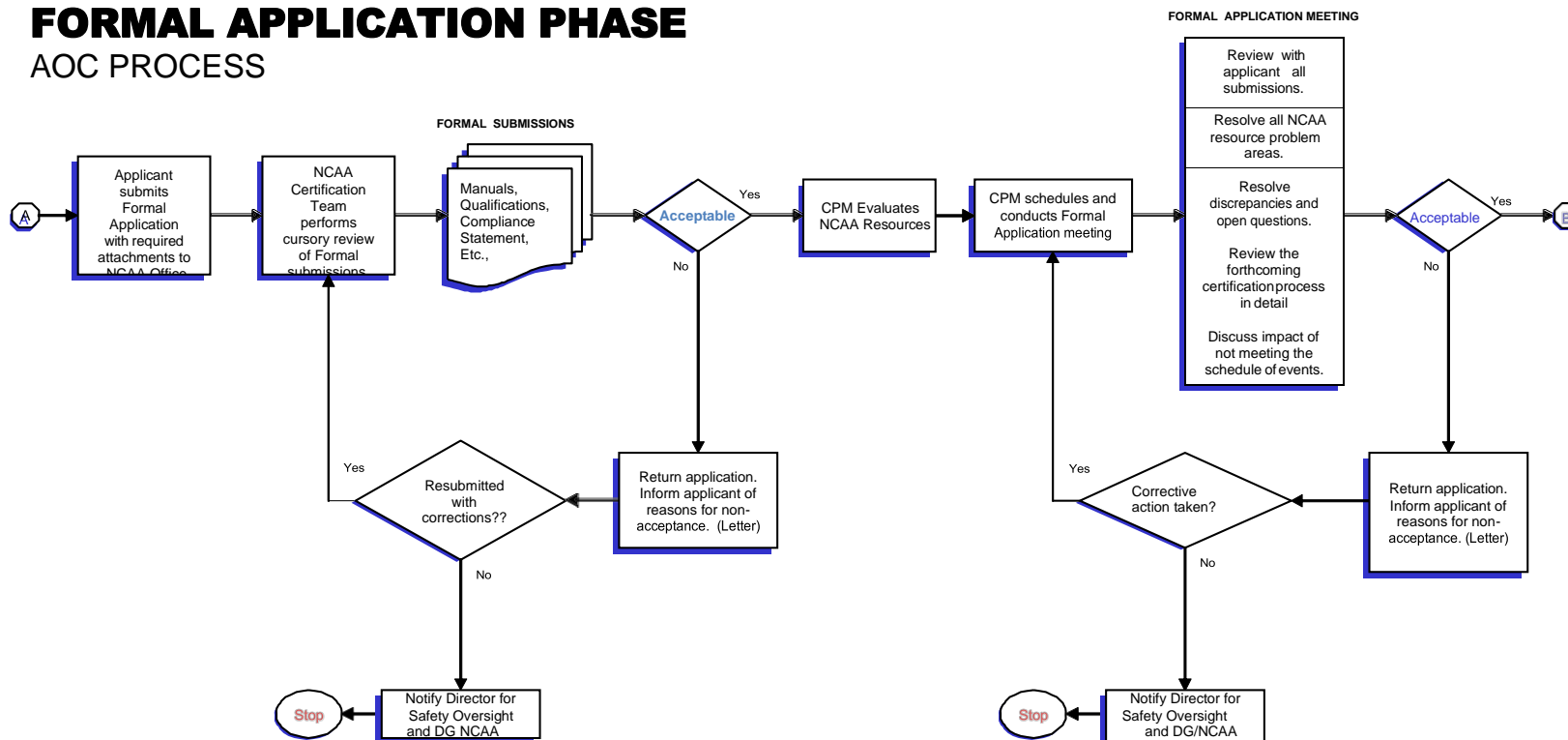
The flow charts on the following pages are representative of the Air Operator Certification Process. This chart also represents the process for the certification of an Approved Maintenance Organisation.

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



*Referenced to Nigeria Regulations*

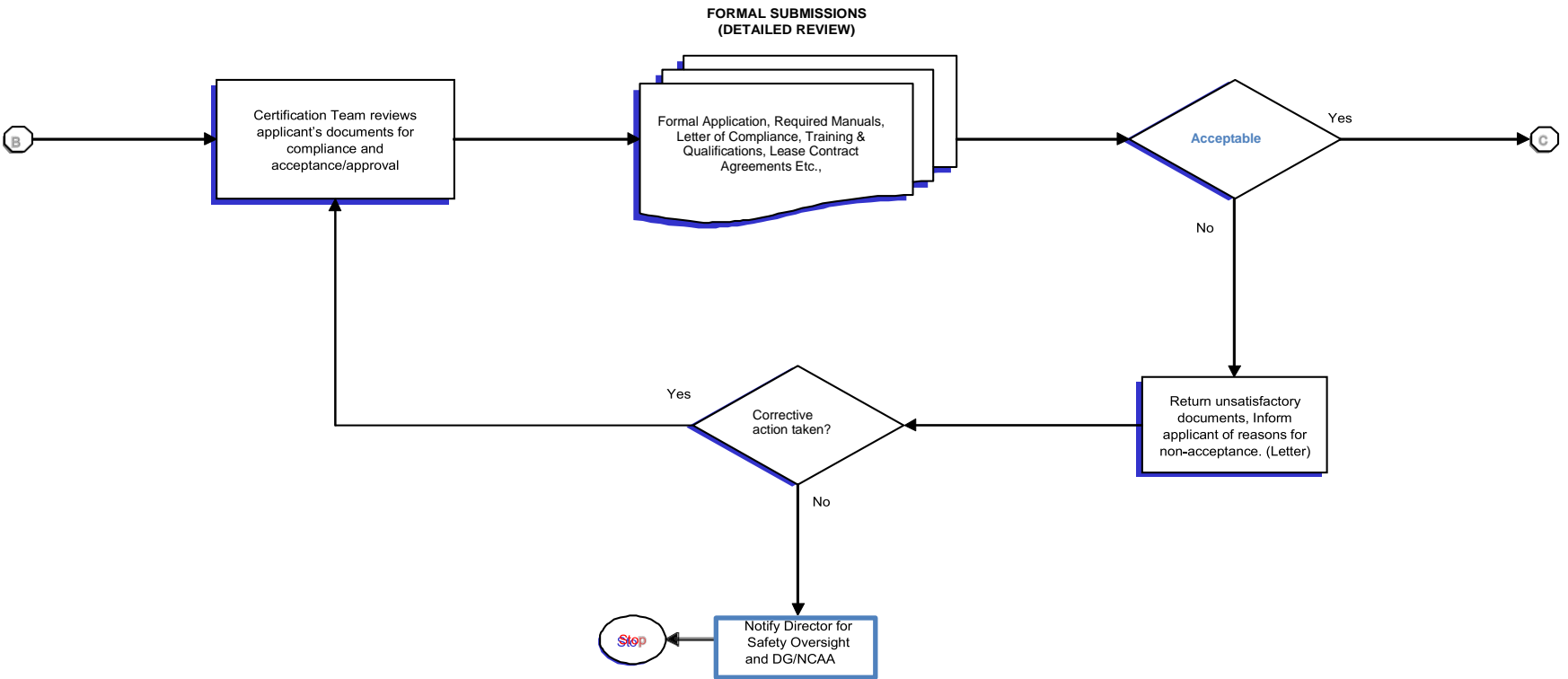
## FORMAL APPLICATION PHASE AOC PROCESS



Referenced to Nigeria Regulations

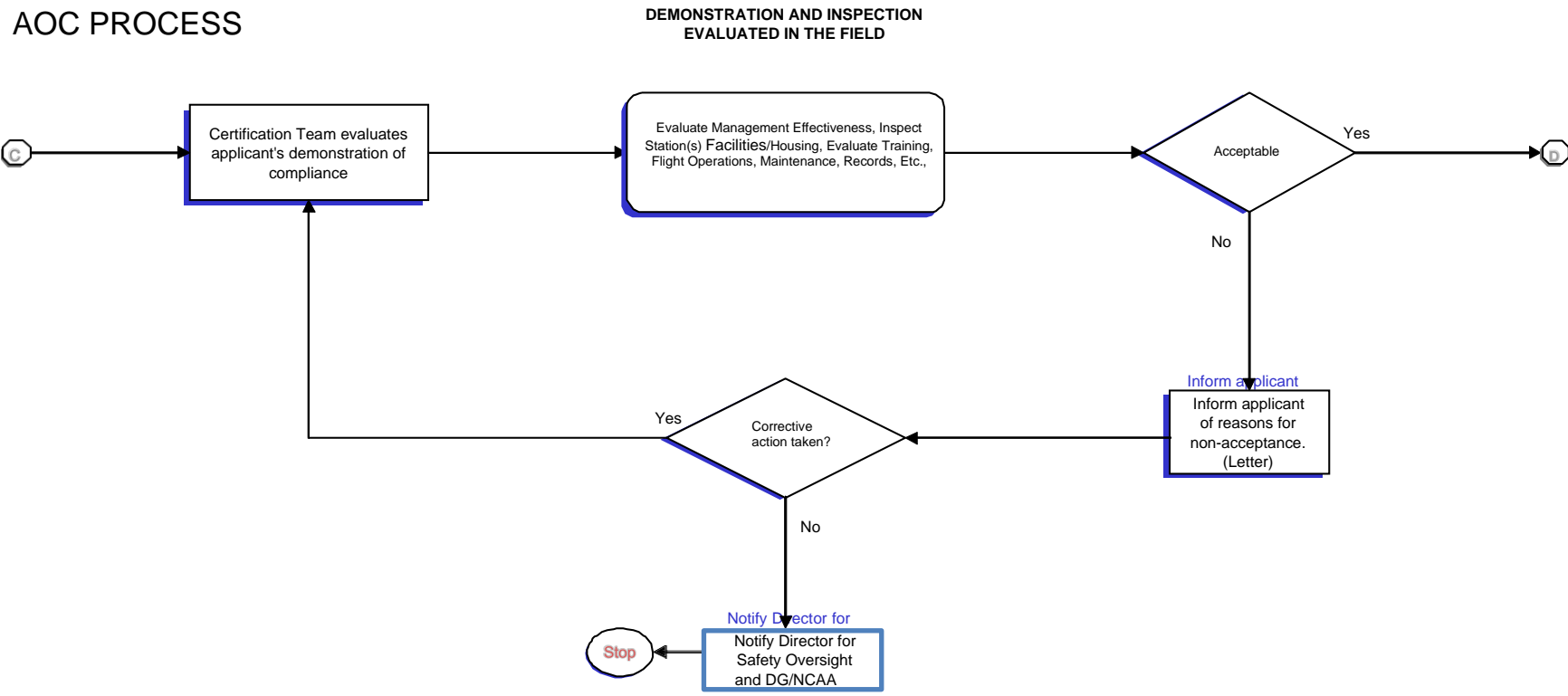
# DOCUMENT COMPLIANCE PHASE

## AOC PROCESS



# DEMONSTRATION AND INSPECTION PHASE

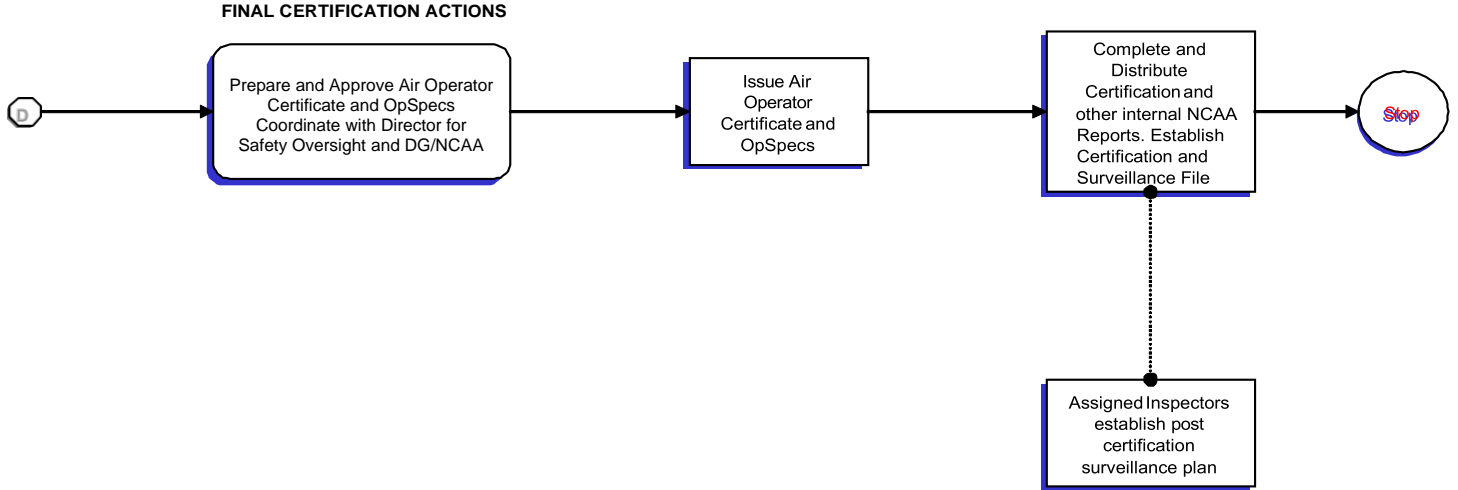
## AOC PROCESS





# CERTIFICATION PHASE

## AOC PROCESS



*Referenced to Nigeria Regulations*