

**CIVIL AVIATION AUTHORITY OF NEPAL
FLIGHT SAFETY STANDARDS DEPARTMENT**

**AIR OPERATOR CERTIFICATE
INSPECTOR MANUAL**

Volume I

AIR OPERATOR CERTIFICATION

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AIR OPERATOR CERTIFICATE INSPECTOR MANUAL

VOLUME I

FOREWORD

This manual outline CAA Nepal's policies and procedures for the certification, surveillance and resolution of safety issues, associated with commercial air transport operations by Nepalese air operators.

Adherence to these procedures by CAA Nepal staff will ensure that prior to issuing an Air Operator Certificate (AOC) the air operator has demonstrated adequate organization, method of control and supervision of flight operations, training program and maintenance arrangements consistent with the nature and extent of the operation specified. The continued safety oversight (surveillance) of air operators will ensure that the air operator maintains the requirements noted above.

This manual is intended to provide detailed instructions for CAA Nepal staff to meet their air operator certification, surveillance responsibilities and resolution of safety issues. It is divided into three volumes:

AOCI Manual Volume I outline the policy and procedures to be followed by CAA Nepal and operators for the initial issuance of an AOC. AOCI Manual Volume II outlines the policies and procedures related to operational demonstrations, inspections, approvals and surveillance; while AOCI Volume III contains policies and procedures for airworthiness demonstrations, inspections, approvals and surveillance. Many of the inspections required for the initial certification of an air operator will subsequently be repeated during the implementation of the CAA Nepal Safety Oversight Program. CAA Nepal has issued AOC Guidance Materials as guidance to prospective operators/ operators and CAA Nepal Inspectors which amplify requirements laid down in AOCR and procedures laid down in this AOCI manual.

Because of the wide scope of operations involved and the many variables that can be encountered, it is impossible to anticipate all situations; therefore, CAA Nepal's personnel must exercise common sense and good judgement in the application of these policies and procedures. This manual replaces the AOCI Manual Volumes I; Vol II and Vol III Issue 01.

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Director General

Civil Aviation Authority of Nepal



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1. RESPONSIBILITIES OF THE STATE

1.1 NATURE OF THE RESPONSIBILITIES OF THE STATE

1.1.1 As a signatory to the ICAO Convention on International Civil Aviation, Nepal has an obligation to promulgate regulations and standards in accordance with the ICAO Standards and Recommended Practices (SARPs) as outlined in the ICAO Annexes. In this regard, CAA Nepal Civil Aviation Regulations 2002 Rule 82 empowers the Director General of Civil Aviation Authority of Nepal (DG, CAA Nepal) to issue and amend regulations, orders and procedures in the interest of safety. The DG, CAA Nepal may also authorize the performance by any inspector, officer, employee or administrative unit under the Director General's jurisdiction of any function under the CAA Nepal Regulations 2002 Rule 87.

1.2 DISCHARGE OF STATE RESPONSIBILITIES

1.2.1 In order to discharge its responsibility, Nepal has enacted the Civil Aviation Regulation Rule 82 that provides for the development and promulgation of Civil Aviation Requirements and Manuals, consistent with ICAO Annexes. The state regulatory system enables CAA Nepal to maintain continuing regulation and oversight of the activities of air operators without unduly inhibiting the operator's effective direction and control of the organization. While ICAO Annex 6 requirements are applicable to international commercial air transport, in the interest of consistency and to ensure an equivalent level of safety for all air transport operations, the Nepalese Civil Aviation Regulations; requirements; policies and procedures are applicable as well for domestic commercial air transport operations.

1.2.2 An essential element in the regulatory system is the certification of air operators. The requirement that an operator shall be in possession of an AOC issued by CAA Nepal in order to engage in commercial air transport operations is contained in Air Operator Certificate Requirements 2012 Para 1.1.2. The system for both the initial inspection and certification and the continued safety oversight of air operators is outlined in this Air Operator Certificate Inspector Manual.

1.2.3 In order to assess the competence of an air operator to provide a safe and regular service, CAA Nepal or its representative(s) will investigate the proposed operation, covering at least the organization, staffing, equipment, proposed routes and level and type of service and finances. The issuance of an AOC by CAA Nepal will be dependent upon the operator demonstrating an adequate organization, method of control and supervision of flight operations, training program, as well as ground handling, maintenance management and maintenance arrangements, consistent with the nature and extent of the operations specified. If the operator is found competent, an AOC will be issued, together with operations specifications, detailing the commercial air transport operations authorized.



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Subsequent to the issuance of an AOC, CAA Nepal will continue to monitor the operation through a systematic program as laid down in Safety oversight Program.

1.2.4 Through the issuance of an AOC, the associated operations specifications and the subsequent continuing safety oversight, CAA Nepal will be able to ensure the protection of public interest and will be able to exercise indirect influence and control without encroaching upon the direct responsibility of the operator for the safety of the operation. The granting of an AOC by CAA Nepal establishes that the operator has met the criteria for an acceptable operation and that the operator is capable of providing a safe commercial air transport service.

1.2.5 When CAA Nepal grants exemptions from the regulations for an AOC to air operators exercising the privileges of Rule 82 (a) of the Civil Aviation Regulations 2058 B.S. (2002 A.D.) and its amendments, he shall ensure that these exemptions have been issued using formal procedures (as per Procedure for Issuance of Exemption Manual) that take into consideration, the impact of exemption on safety.

1.2.6 CAA Nepal has developed and implemented a formal inspection policy and procedures to be used by its Inspectors for conducting inspection of its AOC holders and foreign air operators.

1.2.6.1 The Foreign Carrier Surveillance Procedure Manual of CAA Nepal and its associated checklists shall be used for the surveillance and inspection of foreign air operators operating into and out of Nepal.

1.2.6.2 The Surveillance Policy and Procedures Manual; applicable Inspector Handbook/Procedure/ Manual of CAA Nepal and its checklists shall be used for inspecting domestic air operators.



2. AIR OPERATOR CERTIFICATE (AOC)

2.1 GENERAL

2.1.1 The AOC provides the basis for Nepal to regulate the activities of operators and the means for the CAA Nepal to authorize an air operator to commence operations and to exercise the continued safety oversight of the operator.

2.1.2 The AOC and the associated operations specifications are briefly introduced in this chapter. Detailed procedure and guidance for the issuance of AOC and the operations specifications can be found in subsequent chapters.

2.1.3 The AOC and the associated operations specifications issued to an air operator by CAA Nepal are also intended to provide a basis for another State to authorize operations in its territory by that air operator, as the requirements under which the certificate is issued will be at least equal to the applicable Standards specified in Annex 6, Part I and Part III, Section II. The policy and procedures for the validation and surveillance of operators from other States (foreign operators) is not part of this manual.

2.2 THE AOC

2.2.1 Aircrafts engaged in commercial operations are required by Flight Operations Requirements - Aeroplane Para 6.1.2 and Flight Operations Requirements – Helicopter Para 4.1.2 to carry a certified true copy of the AOC (refer Para 2.4 below) and a copy of the associated operations specifications relevant to the aircraft type. The AOC certifies that the operator is authorized to perform commercial air transport operations, as defined in the associated operations specifications, in accordance with the operations manual and the Air Operator Certificate Requirements (AOCR) of Nepal.

2.2.2 The information on the AOC shows Nepal as the State of the operator, the identity of the responsible office of the Director General, CAA Nepal and the certificate number with its expiration date. It also shows the name of the operator and any other trading name relevant to the particular certificate, with the address of the operator's principal place of business. In addition, the certificate indicates the location in the operator's documentation containing the contact details of the operator's operational management. Finally, it shows the date of issuance of the certificate and the name and signature of CAA Nepal official responsible for its issuance.

2.2.3 The contact details where operational management can be contacted without undue delay for issues related to flight operations, airworthiness, flight and cabin crew competency, dangerous goods and other matters, as appropriate, are required to be



provided on board the aircraft and shall include names, telephone and fax numbers, with country codes and e-mail addresses.

2.2.4 The period of validity of an AOC in Nepal is normally for two years.

2.3 OPERATION SPECIFICATIONS

2.3.1 The operations specifications associated with an AOC are an integral part of the authorization under which an operator conducts operations.

2.3.2 The specifications identify the State of Nepal and CAA Nepal office involved, the number of the associated AOC, the name of the operator, the date of issuance and the signature of CAA Nepal official responsible for its issuance and show the make, model and series (or master series) of the aircraft, the type of operation and the geographical areas in which operations are authorized.

2.3.3 The specifications cover all aspects of the operation and include special limitations, conditions and authorizations with criteria as appropriate. Detailed conditions applicable to operations specifications may also be approved by CAA Nepal in the operations manual.

2.4 CERTIFIED TRUE COPY OF THE AOC

2.4.1 Each aircraft must have on board a certified true copy of the AOC. The Certified true copy is denoted by “Certified True Copy” stamp and shall be signed by appropriate officer of CAA Nepal with date and display an official CAA Nepal stamp.



3. CERTIFICATION PROCEDURE

3.1 INTRODUCTION

3.1.1 The purpose of an AOC is to certify that specified commercial air transport operations are authorized by the CAA Nepal and are in conformance with applicable requirements. The procedures contained in this manual will be utilized by CAA Nepal inspectors for the issuance of an AOC and for the continuing safety oversight and inspection by the CAA Nepal of the operations conducted in accordance with the AOC and the related operations specifications.

3.1.2 During the certification process, CAA Nepal is to be satisfied that the applicant, who will have the ultimate responsibility for the safety of the operation, is eligible for the issuance of an AOC and has the ability and competence both to conduct safe and efficient operations and to comply with applicable requirements. CAA Nepal, in addition to assessing the ability and competence of the applicant, will also endeavor to guide the applicant in organizational and procedural matters which will result in a safe and economically successful operation. Thus, if the objectives of both CAA Nepal and the applicant are achieved in the certification process, they will have commenced their shared responsibility for safety, regularity and efficiency of operations, which will in turn enhance the public confidence in the operations conducted by the applicant as an operator and holder of an AOC.

3.1.3 CAA Nepal shall ensure that the Airworthiness Inspection Division and other applicable division (e.g. LED; AVSEC; Dangerous Goods; Security) shall also be involved in the process of evaluating an operator for the issuance of an AOC.

3.1.4 At the commencement of the certification process, CAA Nepal will appoint an inspector as the Project Manager (PM) and establish a certification team consisting of qualified and experienced inspectors of the necessary specializations, such as operations, airworthiness, cabin safety, security and dangerous goods. The applicant will be informed that the PM will be responsible for coordinating all aspects of the certification process and will be the focal point for dealing with all matters between the applicant and CAA Nepal. The safety oversight workload of the PM and team members may need to be adjusted in order that enough time is provided for the certification of a new air operator.

3.1.5 Since each operation may differ significantly in complexity and scope, the PM and the certification team have considerable latitude in taking decisions and making recommendations during the certification process. The ultimate recommendation by the PM and decision by CAA Nepal regarding certification and awarding of an AOC are to be based on the determination of whether or not the applicant meets CAA Nepal's requirements and is adequately equipped and capable of conducting the proposed operation in a safe and efficient manner.



3.1.6 CAA Nepal has established documented procedures for coordination on certification, licensing and approval activities with other relevant areas such as Airworthiness of aircraft and/or personnel licensing.

3.1.6.1 Upon receiving an application for an AOC, the Flight Operation Division will commence the process for formation of AOC certification team for accessing and granting an AOC to the applicant in accordance with the provisions of this manual.

3.1.6.2 The Director, FSSD and respective division (FOD; AWID) will nominate members from the Flight Operations Division and Airworthiness Inspection Division (Flight Operation Inspector-FOI and Principal Airworthiness Inspector-PAI) to compose a core group of experts who will be involved in the AOC application evaluation process.

3.1.6.3 The Director, FSSD may also involve experts from other units of CAA Nepal e.g. Personnel Licensing, DG, AVSEC, Security etc. as required. The AOC certification team will be approved by Director General, CAA Nepal.

3.1.6.4 The certification team Inspectors will conduct joint inspections and submit their reports/checklists to the Project Manager. In the event, that separate inspections are carried out due to unforeseen circumstances, a follow-up internal meeting with all inspectors concerned will be carried to ensure proper coordination.

3.1.6.5 Each phase of the process will be completed in a similar manner. Inspectors shall use the applicable checklists as included in AOCR; Job Aid in AOCI Manual and checklist in their respective Inspector Manuals/ Handbook as applicable.

3.1.6.6 The certification documentation of the applicant e.g., technical evaluations, that lead to approval/acceptance of required procedures, documents and operations will be filed in the applications folder. For each of the certification phases, the Project Manager will ensure that every exchange with the applicant will be properly filed and tracked. The registration of all the letter exchange between AOC Certification team and Operator shall be controlled through central document control system of FSSD.

3.2 CERTIFICATION PROCEDURE

3.2.1 The procedure for the application and granting of an AOC by CAA Nepal will be organized in phases and will take the following sequence:

- a) Pre-Application Phase;
- b) Formal Application Phase;
- c) Document Evaluation Phase;
- d) No Objection Certificate Issuance ;



- e) Demonstration and Inspection Phase; and
- f) Certification Phase.

3.2.2 Each of these phases is briefly introduced below and each will be dealt with in greater detail in the succeeding chapters of this manual.

3.2.3 All Flight Operations, Airworthiness, and other areas concerned (eg. Personal Licensing, Dangerous Goods, Cabin Safety and Security) Inspectors of the CAA Nepal AOC certification team are required to attend all pre- and post- meeting after each phase of the Certification Phase. The Project Manager shall ensure that those who did not attend the meetings are required to read the minutes of those meetings and sign.

3.3 PRE-APPLICATION PHASE

3.3.1 A prospective operator who intends to apply for an AOC shall enter into preliminary discussions with the CAA Nepal and will be provided with complete information concerning the type of operations which may be authorized, the data to be provided by the applicant and the procedures which will be followed in the processing of the application. It is essential that the applicant has, in this Pre-Application Phase, a clear understanding of the form, content and documents required for the formal application. A standard information package has been developed to provide information to applicants and is available for download from Flight Safety Standards Department (FSSD) website flightsafety.caanepal.gov.np. The applicant shall also be informed of the means to acquire CAA Nepal regulations, requirements and related Guidance Material (GM).

3.3.2 The CAA Nepal AOC certification team will advise the prospective operator on the approximate period of time that will be required to conduct the certification process, subsequent to the receipt of a complete and properly executed application. This advice is of particular importance in the case of new operators so that such applicants may avoid undue financial outlays during the certification period.

3.3.3 In those cases where an applicant's organization is in the formative stage, and the applicant has little or no operating experience, the applicant shall be advised that it may not be possible to judge the organization's operating competency until a sufficient period of operational proving, including proving flight operations, have been carried out and that the overall period required to reach a final decision on the application may be protracted and considerable financial outlays unavoidable.

3.3.4 The importance of a thorough and careful preliminary assessment of the application cannot be overemphasized. The more thoroughly the applicant's competence is established at this stage, the less likelihood there will be of having serious problems in the document evaluation and the demonstration and inspection phases preceding



certification or during the course of subsequent operations. Analysis of the application will indicate either that it is acceptable on a preliminary basis or that it is unacceptable.

3.3.5 If the application is acceptable to CAA Nepal on the basis of the preliminary assessment, the applicant should be encouraged to proceed with preparations for the commencement of operations on the basis that an AOC will be issued subject to satisfactory completion of the remainder of the certification procedure.

3.3.6 The pre-application phase will also include a parallel assessment of the financial, economic and legal status of the applicant and the proposed operation. The financial viability of the operation may be the most critical factor in reaching a decision on whether or not an AOC should be awarded. The determination of the financial resources of the applicant is usually based on an audit of the operator's assets and liabilities and a thorough evaluation of all financial information and other pertinent data such as proposed arrangements for the purchase or lease of aircraft and major equipment.

3.3.7 When CAA Nepal does not have qualified personnel or staff to carry out the financial, economic and legal assessment of the applicant and the proposed operation, a certified Chartered Accountant or equivalent's statement shall be required to provide an assessment related to economic aspects of the proposed operation.

3.4 FORMAL APPLICATION PHASE

3.4.1 Upon completion of the assessment concerning the financial, economic and legal aspects of the application and after any deficiencies have been corrected, a provisional determination shall be made regarding the general feasibility of the operation. If the operation is found to be provisionally acceptable, the second phase of the certification process, the formal application phase, can be undertaken.

3.4.2 The formal application for an AOC in the form of cover letter and application form as per AO CR Appendix-1, accompanied by the required documentation, shall be submitted in the manner prescribed in Chapter 5 of this manual.

3.4.3 The submission of a formal application is interpreted by CAA Nepal to mean that the applicant is aware of the requirements applicable to the proposed operation, is prepared to show the method of compliance and is prepared for an in-depth evaluation, demonstration and inspection related to the required manuals, training programs, operational and maintenance facilities, aircraft, support equipment, record keeping, dangerous goods program, security program, flight crew and key management personnel, including the functioning of the administrative and operational organization.



3.5 DOCUMENT EVALUATION PHASE

3.5.1 The document evaluation phase involves the detailed examination of all documentation and manuals provided by the applicant to establish that every aspect required by the requirements is included and adequately covered. The applicant shall ensure that he will always maintain the validity of its manuals and update his manuals accordingly whenever there is an amendment to existing requirements by updating their Compliance Checklist.

3.5.2 In order to facilitate this phase of the certification process, the applicant shall coordinate all aspects of the development of the required documentation with CAA Nepal AOC certification team, prior to submission of the formal application.

3.5.3 In addition to mandatory documents, CAA Nepal AOC certification team shall ensure that the air operator has established in its Operations Manual, Standard Operating Procedures (SOP) for each phase of flight. **Checklist Form FOS-FORM-CL-108-OMCE** contained in AOCI Manual Volume II shall be used to approve the SOP of the Operator.

3.5.4 The CAA Nepal AOC certification team shall ensure that an air operator has established in its Training Programs the details of the Initial and Recurrent Flight Crew Training. Procedures for the approval of Air Operator Training Programs are contained in Volume II of this manual.

3.5.5 Airworthiness aspect (Approval of Continuing Airworthiness Management Exposition; Continuing Airworthiness Management Organization; Aircraft Maintenance Program; Reliability Program; Minimum Equipment List; Special Operations approval (RVSM; Low Visibility CAT II and CAT III Operations; PBN; EDTO) of the AOC Certification process is highlighted in AOCI Manual Volume III.

3.6 NO OBJECTION CERTIFICATE

3.6.1 Upon completing the Document Evaluation Phase, CAA Nepal may issue the No Objection Certificate if the applicant fulfills the requirements of Chapter 5 of the AOCR. This enables the applicant to import the aircraft for the next phase of the AOC issuance process.

3.7 DEMONSTRATION AND INSPECTION PHASE

3.7.1 Inspections in this phase will involve base and station facility inspections, inspection of the operational control and supervision facilities and inspection of training programs and training facilities.



3.7.2 Demonstrations will involve demonstration of the operational control system and shall involve demonstration flights (Proving Flight). The proving flight shall be carried out as per procedure laid down in **AOCI Manual Volume II Chapter 5**.

3.7.3 CAA Nepal has established a documented process for the certification of air operators that includes thorough technical evaluation that lead to approval/acceptance of required procedures, documents and operations. The process includes a series of checklists attached to AOCI Manual Volumes I; II and III that must be completed by the CAA Nepal AOC certification team prior to the issuance, renewal or revalidation of an AOC or Operations Specifications.

3.7.4 During this phase, the CAA Nepal AOC certification team shall ensure that the air operator provides ground and flight training facilities, and where applicable - simulators and/or cockpit procedure training devices (fixed base simulators {FBS}, computer-based training {CBT}, etc.) and syllabus material.

3.7.5 Documents that arrive with the aircraft e.g. AFM may be accepted at this stage.

3.8 CERTIFICATION PHASE

3.8.1 The certification phase is the conclusion of the certification process when the AOC certification team Project Manager has determined that all certification requirements, both operational and economic, have been completed in a satisfactory manner and that the operator will comply with the applicable requirements and is fully capable of fulfilling its responsibilities and conducting a safe and efficient operation.

3.8.2 The culmination of this phase is the issuance of the AOC and its associated operations specifications, under the authority of which the operation will be conducted, after the approval of Director General, CAA Nepal.

3.8.3 Subsequent to the issuance of an AOC, CAA Nepal will be responsible for continued surveillance and for conducting periodic inspections as contained in AOCI Manual Volume II and AOCI Manual III, to ensure the operator's continued compliance with Nepalese Civil Aviation regulations, requirements, authorizations, limitations and provisions of its AOC and operations specifications. These periodic inspections are components of a continuing safety oversight program.

3.8.4 Final recommendation for the issue or denial of an AOC or Operations Specifications is subject to the agreement of Project Manager, Flight Operations Inspector (FOI), Principal Airworthiness Inspector (PAI) and Inspectors from other areas concerned (e.g. Personal Licensing, Dangerous Goods, Cabin Safety, Security etc.).



4. PRE-APPLICATION PHASE

4.1 INITIAL INQUIRY AND CAA NEPAL RESPONSE

4.1.1 The Pre-Application Phase commences with the applicant making an initial inquiry by letter, telephone call or personal visit to the CAA Nepal.

4.1.2 CAA Nepal staff shall advise the applicant to thoroughly review Nepalese Civil Aviation Rules and Regulations as well as CAA Nepal requirements, directives and advisory materials and provide guidance concerning personnel, facilities, equipment and technical data requirements and an explanation of the certification process, in the form of standard information package for applicants for an AOC.

4.1.3 The standard information package includes a form for the Prospective Operator's Pre-Assessment Statement (POPS) to be completed by the applicant and AOC guidance Materials (AOC-GM) containing: a description of the application process for obtaining an AOC; an introduction to the specific CAA Nepal regulations; requirements guidance on the evaluation of an applicant for certification; guidance on the issuance of an AOC and associated operations specifications; and, instructions for completing the pre-assessment statement form. Any other CAA Nepal directive or advisory material necessary for the certification process will also be provided.

4.1.4 The purpose of the POPS is to establish the intent of the applicant to continue with the process for certification and to thereby enable the CAA Nepal to commit resources and plan the certification process.

4.1.5 The POPS form and instructions for its completion are provided in **Attachments A and B** to AOCI Manual Volume I.

4.2 COMPLETED PROSPECTIVE OPERATOR'S PRE-ASSESSMENT STATEMENT (POPS)

4.2.1 Once an application for issuance of AOC is received, CAA Nepal will form the team to scrutinize the Detailed Feasibility Study (DFS) report and carryout financial assessment of the organization as per requirements laid down in AOCR Para 2.2 following guidance as per **AOCR Appendix-2 and Appendix-9**.

4.2.2 The team formed to scrutinize the Detailed Feasibility Study report and financial assessment of the organization consist of representatives from Flight Operation Division; Airworthiness Inspection Division; Finance Department; Legal Department and other necessary personnel as deemed necessary by CAA Nepal. Upon satisfactory result from



the team, the organization is requested to submit the POPS for further processing their request. Unsatisfactory result from the team will lead the team to ask for further clarification from the organization until satisfactory result is achieved.

4.2.3 Once a completed POPS is received, the CAA Nepal will appoint a PM and a core AOC certification team consisting of appropriately qualified operations and airworthiness inspectors (FOI and PAI) and inspectors from other areas concerned (e.g., Personal Licensing; Dangerous Goods, Cabin Safety, Security etc.).

4.2.4 The PM shall have completed the Air Operator Certification and Surveillance training course and should have previous experience in the certification of an air operator. It is desirable that a person with extensive inspector experience be designated as the PM.

4.2.5 The PM shall serve as the primary spokesperson for the CAA Nepal throughout the certification process. Consequently, the PM must thoroughly co-ordinate all certification matters with all other specialists assigned to the certification project. The PM shall be responsible for ensuring that all certification job functions are completed. All correspondence, both to and from the applicant, shall be coordinated with the PM. The PM shall ensure that the CAA Nepal and the air operator staff involved with the certification project are kept fully informed of the current status of the certification. The Pre-Application Job Aid (**JOB AID AOC-001**) at the end of this chapter will be used as a guide for the conduct of these status meetings. The PM must notify CAA Nepal management of any information that may significantly affect or delay the certification project.

4.2.6 The CAA Nepal AOC certification team will conduct a review of the applicant's pre-assessment statement and if the information provided is considered acceptable, the PM will schedule a pre-application meeting with the applicant.

4.3 PRE-APPLICATION MEETING

4.3.1 The purpose of the pre-application meeting is to confirm the information provided in the pre-assessment statement to determine whether or not the applicant has sufficient knowledge of the appropriate CAA Nepal requirements and to confirm, for the applicant, the expectations of the CAA Nepal.

4.3.2 The pre-application meeting will be attended by the CAA Nepal AOC certification team Project Manager and certification team members and the key management personnel of the applicant. The applicant should be prepared to discuss, in general terms, all aspects of the proposed operations.

4.3.3 The applicant will be provided with an overview of the certification process and made aware of the applicant's responsibility for financial, economic and legal matters, and for the necessary assessment of the applicant's financial resources and ability to



support the proposed operations. It is essential that the financial, economic and legal assessments are commenced early since an AOC shall not be granted without a satisfactory assessment of these aspects from the appropriate certified institution/individual.

4.3.4 The applicant shall nominate a suitably qualified person with at least two years of experience in aviation as Program Coordinator.

4.3.5 The PM and the certification team shall prepare an application package for delivery at the pre-application meeting. This package should be more detailed than the standard information package described in Para 4.1.3 above and designed to assist the applicant in the preparation of a formal application for certification. This application package shall contain: the AOC Guidance Material (AOC-GM) already discussed; a list of the documents that shall be provided with the formal application; a schedule of events in the certification process; an example of the type of operations specifications associated with an AOC; and any other information that may be helpful. The required documents shall be discussed in detail at the pre-application meeting to provide the applicant with as much assistance as possible.

4.3.6 Subsequent to the pre-application meeting, the certification team will evaluate the results of the meeting. Should the certification team consider that the applicant is not ready to make a formal application, advice shall be given on further preparation and another pre-application meeting shall be scheduled or, alternatively, the applicant may be advised to withdraw the intent to apply for certification.

4.3.7 Should the certification team establish that the information provided in the pre-application statement is satisfactory and that the applicant has a clear understanding of the certification process, the applicant shall then be invited to prepare and proceed with a formal application, as outlined in Chapter 5 of this volume.

4.3.8 The Pre-Application Phase – **Job Aid AOC-001** in this chapter shall be completed prior to proceeding with the formal application phase.

4.3.9 **Appendix 25 of AOCI Manual Volume II** contains the procedure that describes the method of preparing for and conducting a pre-certification meeting. The attachment to this appendix contains samples of the letter to be issued to the applicants, the agenda for the meeting and speaking points for all inspectors concerned. **Appendix-25** must be implemented prior to filling the form in **Job Aid AOC-001**.



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AIR OPERATOR CERTIFICATION																	
PRE-APPLICATION PHASE - JOB AID AOC-001																	
NAME OF APPLICANT:		PROJECTED CERTIFICATION PERIOD:															
ADDRESS:		BASE:															
SUBJECT	DATE RECEIVED	REFERENCE DOCUMENTS	SIGNATURE PM														
A. Prospective Operators Pre-Assessment Statement (POPS)																	
B. Certification Team Designation Certification Team Designated (at least one operations/airworthiness inspector) <table style="width: 100%; margin-top: 10px;"> <thead> <tr> <th style="width: 30%; text-align: left;">Name</th> <th style="width: 30%; text-align: left;">Specialty</th> </tr> </thead> <tbody> <tr> <td>PM _____</td> <td>_____</td> </tr> <tr> <td>_____</td> <td>_____</td> </tr> </tbody> </table>	Name	Specialty	PM _____	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____			
Name	Specialty																
PM _____	_____																
_____	_____																
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_____	_____																
C. Conduct pre-application meeting																	
1. Verify POPS information																	
2. Overview of certification process																	
3. Provide application package:																	
a. Certification of job aid																	
b. Schedule of events																	
c. Example of operations specifications																	
d. Applicable publications & documents (i) CAA Nepal rules and regulations (ii) AOCR (iii) FOR (iv) AIP (v) NCAR (vi) PELR (vii) DG Handling Requirements (viii) National CA Security Program (ix) Aviation Enforcement Policy and Procedures Manual																	
4. Review following documents: (i) License from MoCTCA (ii) PAN/ VAT document (iii) Certificate of Incorporation of company (Company Registrar)																	



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(iv) Certificate from Industry Department/Gharelu tatha Sana Udyog Bibhag as applicable.			
(v) Shareholders' Declaration			
(vi) Copy of the citizenship certificate of Share Holders			
5. Financial Information			
D. CAA Nepal debriefing in preparation for Formal Application Phase			
<p>Remarks:</p> <p>1. Every meeting between CAA Nepal inspectors must be minuted and signed.</p>			
<p>ACKNOWLEDGEMENT/SIGNATURE (as applicable) <i>for CAA Nepal use</i></p>			
_____	_____	_____	
Certification Project Manager (PM)	Flight Operation Inspector (FOI)	Airworthiness Inspector (AWI)	
_____	_____	_____	
Name	Name	Name	



5. FORMAL APPLICATION PHASE

5.1 FORMAL APPLICATION PACKAGE

5.1.1 The formal application for certification will be an application letter along with application form laid down in **AOCR Appendix-1 (Application for the Issue of AOC)** and attachments containing the information required by CAA Nepal comprising a formal application package. The development of the application letter and its attached documents should have been coordinated with CAA Nepal certification team subsequent to the pre-application meeting. Such coordination, between the personnel of the applicant and CAA Nepal certification team, will improve the quality of the application package and facilitate the later document evaluation process. The fee established for the certification of an air operator as determined in Civil Aviation Regulations 2002 B.S. and its amendments and AOCR shall be submitted when the operator submits the formal application package.

5.1.2 The application letter shall be signed by the applicant's Accountable Executive and shall contain at least the following information:

- a. a statement that the application serves as a formal application for an AOC;
- b. the name and address of the applicant;
- c. the location and address of the applicant's principal place of business and the main base of operations;
- d. a description of the applicant's business organization and corporate structure, names and addresses of those entities and individuals having a major financial interest;
- e. the name and address of the applicant's legal representative;
- f. the identity of key management personnel: Chief Executive Officer/ Accountable Manager; Managing Director; Chief of Flight Operations; Chief Pilot; Cabin Crew Manager; Safety Manager; Chief of Training; Continuing Airworthiness Manager; Ground Services/Handling Manager; Security Manager; and Quality Manager;
- g. the nature of the proposed operations: passenger/cargo, day or night, Visual Flight Rules (VFR) or Instrument Flight Rules (IFR), whether or not dangerous goods are to be transported; and
- h. the desired date for the operation to commence.

5.1.3 The attachments that need to accompany the formal application letter are:

- a. application form laid down in **AOCR Appendix-1 (Application for the Issue of AOC)**.
- b. the identification of the operation specifications sought with information on how associated conditions will be met, as described in 5.2.1 below;
- c. the schedule of events in the certification process with appropriate events addressed and target dates;
- d. an initial statement of compliance or detailed description of how the applicant intends to show compliance with each provision of the CAA Nepal requirements;



- e. the management structure and key staff members including titles, names, backgrounds, qualifications and experience, with regulatory requirements satisfied;
- f. the details of the SMS;
- g. a list of designated destination and alternate aerodromes for scheduled services, areas of operation for non-scheduled services and bases for operations, as appropriate to the intended operations;
- h. a list of aircraft to be operated;
- i. documents of purchase, leases, contracts or letters of intent;
- j. arrangements for crew and ground personnel training and qualification, facilities and equipment required and available;
- k. the operations manual;
- l. the Continuing Airworthiness Manual Management Exposition (CAME);
- m. maintenance program and associated reliability program;
- n. details of the method of control and supervision of operations to be used;
- o. the status of the assessment of financial, economic and legal matters by the appropriate government department; and
- p. completed Forms 107, 108, 109. (See Appendices of AOCI Manual Volume II)

A more detailed description of some of these attachments is provided in Para 5.2 of this manual.

5.2 ATTACHMENTS TO THE FORMAL APPLICATION

5.2.1 Identification of desired Operations Specifications: CAA Nepal approves special authorizations that are enabled through CAA Nepal requirements by the issuance of Operations Specifications. The list of authorizations, conditions and limitations as outlined in **Attachment D** to this volume shall be utilized. The applicant shall identify the desired operations specifications appropriate to the intended operation for each aircraft model in the operator's fleet, identified by aircraft make, model and series. The issuance of each operation specification shall be subject to the applicant meeting CAA Nepal regulations and requirements. Each operations specification will also be subject to the air operator satisfying, on an ongoing basis, conditions that are established for their use. While some conditions for these approvals may be contained in the specific approvals and remarks portion of the operations specifications, detailed conditions will be contained in the operations manual. The conditions contained in the operations manual will include the training, qualifications, equipment requirements and procedures, as applicable, under which the special authorization can be utilized.

5.2.2 Schedule of events: The schedule of events is a key document that lists items, activities, programs, aircraft and facility acquisitions that will be made ready for inspection by CAA Nepal before certification. The schedule shall include date(s):

- a. when crew members and maintenance personnel will commence training;
- b. when maintenance facilities will be ready for inspection;
- c. when each of the required manuals will be ready for evaluation;



- d. when the aircraft will be ready for inspection;
- e. when terminal facilities will be ready for inspection;
- f. when demonstration flights are planned; and
- g. of proposed assessments of training staff and other persons subject to CAA Nepal's approval. The dates shall be logical in sequence and provide time for review, inspection and approval of each item.

The overall plan is to be kept under constant review and amendment to maintain control of the certification process.

5.2.3 Initial statement of compliance: The initial statement of compliance shall be a complete list of all CAA Nepal requirements applicable to the proposed operation. Each requirements or sub-part shall be accompanied by a brief description or a reference to a manual or other document. The description or reference shall describe the method of compliance in each case. The method of compliance may not be finalized at the time of the formal application, in which case a date shall be given by which the final information will be provided. The purpose of the statement of compliance is to ensure that the applicant has addressed all regulatory requirements. It aids the CAA Nepal certification team to assess where the regulatory requirements have been addressed in the applicant's manuals, programs and procedures.

5.2.4 Management structure and key staff members: CAA Nepal Certification Team shall review the organizational structure of an applicant for an AOC to ensure that duties, responsibilities and authorities are clearly defined and that clear delineation of functional tasks and lines of reporting have been established and documented. CAA Nepal requirements establish basic management positions and the qualifications for these positions, with some variation in the requirement dependent upon the complexity of the proposed operation. The requirements cover the following positions: Chief of Flight Operations, Chief Pilot, Safety Manager, Chief of Training, Continuing Airworthiness Manager; Maintenance Manager and Quality Manager. The list shall include the management positions, the names of the individuals involved and their CV, qualifications and relevant management experience and, where appropriate, their licenses, ratings and aviation experience. CAA Nepal may approve positions or number of positions, other than those listed, if the applicant is able to show that it can perform the operation with the highest degree of safety under the direction of fewer or different categories of management personnel.

5.2.5 Safety Management Systems (SMS): The details of the applicant's SMS include the safety policy, safety organization, safety assessments, occurrence reporting, hazard identification, risk assessment and risk management, event investigation and analysis, performance monitoring, safety promotion and safety assurance. The applicant shall identify the accountable executive who, irrespective of other functions, has ultimate responsibility and accountability, on behalf of the organization, for the implementation and maintenance of the SMS. CAA Nepal shall ensure that the air operator has nominated a post holder responsible for the development and establishment of the air operator's



Safety Management System and his/her functions and responsibilities are clearly defined and documented in the Flight Safety Documents System.

5.2.6 Aerodromes and areas: A list shall be provided with the destination and alternate aerodromes designated for proposed scheduled operations and areas of operation for non-scheduled operations.

5.2.7 Aircraft to be operated: A list of the aircraft to be operated shall be provided, with the make, model, series and the nationality and registration marks for each aircraft and details of the origin and source for each aircraft, if these details are known. It is possible that the details for individual aircraft may not yet be available, in which case, evidence shall be provided as described in Para 5.2.8 below.

5.2.8 Documents of purchase, leases, contracts or letters of intent: These documents shall provide evidence that the applicant is actively procuring aircraft, facilities and services appropriate to the operation proposed. If formal contracts are not completed, letters or other documents showing preliminary agreements or intent shall be provided. These documents may relate to aircraft, station facilities and services, weather reporting, communications facilities, maintenance, aeronautical charts and publications, aerodrome analysis and obstruction data, outsourced training and training facilities. The procedure related to lease is laid down in **AOCI Manual Vol I Chapter 10 and AOCI Manual Vol II Appendix 21.**

5.2.9 Crew and ground personnel training and required facilities: Details of the facilities required and available for training company personnel and of the training program with dates for commencement and completion of the initial program shall be provided. Training will include: human performance, threat and error management for flight crew, maintenance technicians and flight dispatchers, the transport of dangerous goods, and security. Specific attention should be paid, as applicable to the crew member position, to company procedures indoctrination; emergency equipment drills; aircraft ground training; flight simulators and other flight simulation training devices; and aircraft flight training. All these aspects shall cover both initial and recurrent training.

5.2.10 Operations manual: The operations manual, which may be provided in separate parts, shall set out the applicant's general policies, the duties and responsibilities of personnel, operational control policy and procedures, and the instructions and information necessary to permit flight and ground personnel to perform their duties with a high degree of safety. The size as well as the number of volumes of the operations manual will depend upon the size and complexity of the proposed operations. CAA Nepal shall ensure that an applicant prepares its operations manual in accordance with FOR Appendix 1 using the **Forms FOS-CL-107 and 108.**

5.2.11 CAME: The Continuing Airworthiness Management Exposition shall describe the administrative arrangements between the applicant and the Approved Maintenance Organization (AMO) and shall define the procedures to use, the duties and responsibilities



of operations and maintenance personnel and the instructions and information to permit maintenance and operational personnel involved to perform their duties with a high degree of safety.

5.2.12 Maintenance Program: This program, including a maintenance schedule, will detail the maintenance requirements for individual aircraft. The operator shall prepare the reliability program where applicable.

5.2.13 Method of control and supervision of operations: This shall set out the applicant's proposals for control and supervision of operations including dispatch, flight watch or flight following and communication procedures.

5.2.14 Assessment of financial, economic and legal matters: The status of the assessment of financial, economic and legal matters shall be clearly identified in the formal application package since a successful outcome of this assessment is essential to the issuance of an AOC. CAA Nepal shall carry out the assessment of feasibility study report and financial status of the organization prior to submission of POPS as per procedure laid down in Chapter 4 Para 4.2.1 and 4.2.2 of AOCI Manual Volume I.

5.2.15 Dangerous Goods: Specific authorization for the safe transport of dangerous goods by air shall be granted by CAA Nepal upon receiving application from an air operator and who has met the requirements of CAA Nepal Dangerous Goods Handling Requirements.

5.3 CURSORY REVIEW OF THE FORMAL APPLICATION PACKAGE

5.3.1 CAA Nepal certification team will make a cursory review of the formal application package to check that the required attachments have been presented, that these attachments address the required information and that the documentation is of an appropriate quality.

5.3.2 However, the cursory review of the required operations manual and CAME, as well as other safety-related manuals of the applicant, shall be extended to the procedures for the distribution, amendment and use of the documents. The manuals should particularly be able to address following questions. Are the manuals easy to revise? Does the system allow personnel to determine the revision status of the manual? Is the date of the last revision on each page? Does the manual reference have appropriate CAA Nepal requirements?

5.3.3 In the case of the Operations Manual, the cursory review shall also extend to the need to address the required subjects as outlined in Flight Operations Requirements, Appendix 1, Contents of an Operations Manual, including at least: (use checklist **FOS FORM-CL-107** and **FOS FORM-CL-108** included in AOCI Manual Vol II)



- operations administration and supervision
- Safety Management
- policy and procedures regarding flight operations and fuel quantities
- Minimum Flight Altitudes
- Aerodrome Operating Minima
- rules to limit Flight Time and Flight Duty Periods and for the provision of adequate rest periods for flight and cabin crew members
- aircraft performance
- Route Guide
- procedures for Search and Rescue
- instructions for the carriage of Dangerous Goods and emergency response action in the event of a dangerous goods incident
- navigation instructions
- communications instructions
- initial and recurrent training programs
- security procedures and instructions

5.3.4 In the case of the CAME, where leased aircraft not registered in Nepal are proposed to be used, the cursory review shall extend to the required contents noting that the manual is required to be acceptable to CAA Nepal and to the State of Registry of the aircraft.

5.3.5 During the cursory review, CAA Nepal PM may identify the need for additional expertise on the certification team, e.g. to deal with a specific aircraft type or a particular navigation system.

5.4 ACCEPTABILITY OF THE FORMAL APPLICATION

5.4.1 If the formal application package is incomplete or otherwise unacceptable, CAA Nepal AOC Certification Team shall inform the applicant, providing details of the deficiencies and advice on the resubmission of the formal application.

5.4.2 If the information in the formal application package is considered acceptable by the CAA Nepal AOC certification team, the PM will schedule a formal application meeting with the applicant.

5.4.3 **Formal Application Job Aid AOC-002** at the end of this chapter shall be utilized and completed to confirm the acceptability of the formal package.

5.4.4 **Appendix 26 of AOCI Manual Volume II** contains the procedure to be followed for the review and acceptance of an AOC application. The procedure outlines the tasks to be performed by inspectors prior to completing the **Job Aid AOC-002**.



5.5 FORMAL APPLICATION MEETING

5.5.1 A Formal Application meeting shall be conducted between CAA Nepal Project Manager, the certification team and all the key management personnel of the applicant, with the objective of resolving any questions on the part of either CAA Nepal or the applicant, to establish a common understanding on the future procedure for the application process.

5.5.2 In particular, the Formal Application meeting shall confirm that the management background information satisfies regulatory requirements; it shall address any errors or omissions in the application package, resolve any scheduling date conflicts and agree on a process for revising event dates, reinforce the communication and working relationships between CAA Nepal certification team and applicant personnel and, finally, determine the acceptability of the formal application package. It shall be understood that acceptance of the Formal Application package by the PM does not constitute acceptance or approval of any of the attachments which will be subjected to later in-depth review. The identification of significant discrepancies during the in-depth review may require further meetings between appropriate members of the CAA Nepal certification team and the applicant personnel.

5.5.3 Subsequent to the Formal Application meeting and subject to successful acceptance of the application package, the CAA Nepal PM shall provide the applicant with a letter acknowledging receipt and acceptance of the formal application.



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Formal Application Phase Job Aid AOC-002			
SUBJECT	PM/FOI/AWI SIGNATURE (as applicable)	DATE	REFERENCE DOCUMENTS
A. Review operator's submissions			
1. Formal Application Letter			
a. Full and Official Name			
b. Mailing Address			
c. Primary Operating location (base/ Sub-base)			
d. Key Management Personnel Names			
2. Formal Application Documents			
a. Schedule of Events			
b. Resumes of Accountable Manager and required Postholders with Supporting Documents			
c. Operations Manual (A, B, C, D)			
d. Continuing Airworthiness Management Exposition			
e. Safety Management System Manual			
f. Conformance Checklist (Statement of Compliance)			
g. List of aircraft to be operated			
h. Arrangements for training, qualification, facilities			
i. Area of operations, aerodromes, operations specification			
j. Financial Statement			
k. Forms, Record and Checklist (FOS Form 107; 108; 109)			
l. Purchase Document; Contracts and Leases			
m. Aircraft Maintenance Program, including reliability program where applicable			
n. Dangerous Goods Manual			
o. Other manuals and documents as required by Document Evaluation JOB AID-AOC-003			
B. Evaluate CAA Nepal resource capability based on schedule of events			
<i>Refer AOCR Para 3.14.2</i>			
(a) Availability of Inspectors /Subject Matter expert			
(b) Practicability of proposed timeline			



6. DOCUMENT EVALUATION PHASE

6.1 GENERAL

6.1.1 After the formal application has been accepted, CAA Nepal AOC certification team will commence a thorough evaluation of all the documents and manuals that are required by the requirements to be submitted to them. CAA Nepal should endeavor to complete these evaluations in accordance with the schedule of events prepared by the applicant and agreed at the formal application meeting. If a document or manual is incomplete or deficient, or if non-compliance with requirements or safe operating practices is detected, the document or manual shall be returned to the applicant for corrective action.

6.1.2 Documents or manuals that are satisfactory will be approved or accepted, as required by the requirements. Approval shall be indicated by a signed document and approval letter. Acceptance of material that does not require formal approval shall be confirmed by acceptance letter.

6.1.3 The complexity of the information that needs to be addressed in the applicant's documents and manuals depends upon the complexity of the proposed operation.

6.1.4 If a separate training organization is approved to provide air operator's crew training, CAA Nepal shall ensure that the training provided, and flight documentation used correctly reflect the air operator's Flight Safety Documentation System.

6.2 DOCUMENTS AND MANUALS TO BE EVALUATED:

6.2.1 The following is a list of the documents and manuals that shall be provided by the applicant and evaluated by the CAA Nepal AOC Certification Team during this phase.

- draft Operations Specifications
- statement of compliance
- management personnel resumes providing qualifications and aviation experience
- Aircraft Flight Manuals
- Operations Manual (Part A, B, C, D) individual manuals and items listed below form part of the operations manual):
 - Aircraft Operating Manual
 - Minimum Equipment List (MEL)
 - Configuration Deviation List (CDL)
 - aircraft performance manual
 - mass and balance control manual
 - aircraft loading and handling manual or Ground Handling Manual
 - training manuals for flight crew, cabin crew, operations personnel
 - route guide



- Dangerous Goods Manual (if applicable, i.e. for applicants not intending to transport Dangerous Goods, a training program shall be mentioned for all concerned on the identification and non-acceptance of Dangerous Goods).
- Passenger Briefing Cards
- Aircraft Search Procedure Checklist
- operational control procedures, dispatch, flight following, etc.
- SMS manual, including a description of the Flight Safety Document System
- Security program manual
- Emergency Response Plan
- Continuing Airworthiness Management Exposition (CAME)
- Flight Dispatch Manual
- maintenance program including maintenance schedule and reliability program
- training manual for maintenance personnel
- maintenance contracts and other maintenance arrangements.
- plan for demonstration flights as applicable
- Flight Safety Documentation System will be assessed using **Form-109-FSDS** and **SMS Review Guide** of AOCI Manual Volume II.
- Other applicable manuals as required by CAA Nepal requirements.

6.2.2 All manuals are to be provided with procedures for the development, control and distribution of each manual, the means to keep the manual up to date and the means for the publication and distribution of amendments.

6.2.3 Manuals will require appropriate revision and amendment when new requirements, operations or equipment are introduced. CAA Nepal shall ensure that an applicant for an AOC will maintain the validity of its manuals all the time.

6.2.4 CAA Nepal shall approve the method of determination of operating minima for air operators.

6.3 EVALUATION OF THE DOCUMENTS

6.3.1 Draft operations specifications: Operations specifications form part of the AOC. CAA Nepal standard operations specifications will have been given to the applicant at the pre-application meeting and a list of desired operations specifications identified by the applicant to form the draft operations specifications. This draft will have been edited by the applicant and CAA Nepal certification team to add necessary authorizations, conditions and limitations to produce operations specifications appropriate to the applicant's intended operation. Information and detailed conditions (such as training, qualifications, equipment requirements and procedures under which each special authorization may be utilized) shall be available in the operations manual. Subsequent amendments to the specifications can be initiated later by the operator or CAA Nepal as required by changing circumstances.



6.3.2 Statement of compliance: The certification team will evaluate the statement of compliance, the purpose of which is to ensure that the applicant has met all regulatory requirements applicable to the proposed operation. The statement also indicates to the certification team where the regulatory requirements have been addressed in the applicant's manuals, program and procedures. The final statement of compliance needs to be completed by the air operator and accepted by CAA Nepal prior to the commencement of the flight operations inspections.

6.3.3 Management personnel resumes providing qualifications and aviation experience: The list shall include the management positions, the names of the individuals involved and their qualifications and relevant management experience and their licences, ratings and aviation experience. All the management and nominated personnel (Key Personnel) of the organization shall fulfill the qualification and experience requirements laid down in **AOCR Appendix-4 and NCAR (NCAR Part-145 and NCAR Part-M)**. The assessment of nominated personnel (Key personnel) shall be carried out as per **AOCI Manual Vol II Appendix-45 (procedure for the verification of nominated post holder acceptability); Airworthiness Inspector Handbook Part-II Section I Chapter 7 (Procedure for the acceptance of nominated post holder) and Airworthiness Inspector Handbook Part II Section IV Chapter 26 (Procedure for the acceptance of nominated post holder)**.

6.3.4 Aircraft Flight Manuals: Flight manuals are required to be provided specific to individual aircraft and are subject to the control of the State of Registry. Arrangements for the administration control and amendment of copies of the flight manuals shall be examined together with the means for providing aircraft performance and limitations information to the flight crew. The Flight Manual shall contain at least the information required by CAA requirements laid down in NCAR Chapter E.4. Detailed procedures for the review and approval of an AFM are contained in **AOCI Manual Volume II, Chapter 1 Para 1.4.2 and Airworthiness Inspector Handbook Part-I Chapter 25**.

6.3.5 Operations manual: The operations manual is the means by which the applicant intends to control all aspects of the intended operation. Its structure consists of four parts: a general section; aircraft operating information; areas, routes and aerodromes; and training. The arrangements for the administration and control of the operations manual shall have already been evaluated during the cursory review in the formal application phase of the certification process. Detailed procedures for the review and approval of the operations manual are contained in **AOCI Volume II, Chapter 1 Operations Manual Inspection**. CAA Nepal shall ensure that all requirements on the contents of the Operations Manual, as part of the Flight Safety Documentation System, are taken into account, reviewed and implemented by the air operator before granting the AOC or any specific approval. The Operations Manual of the applicant shall be scrutinized for its contents by using the Forms **FOS-FORM-CL-107 and 108; Attachment A of AOCI Manual Vol II and Checklist in Appendix 27; Appendix 41; Appendix 42 and Appendix 43 of AOCI Manual Vol II**. Procedure for approval of Operation Manuals Part A; Part B; Part C and Part D is in **AOCI Manual Vol II Appendix 27; Appendix 41; Appendix 42 and Appendix 43** respectively.



6.3.6 Manuals or other items which may be included in the operations manuals and which require evaluation are given in 6.3.6.1 to 6.3.6.14. Detailed procedures for the conducting of operations manual review are contained in AOCI Manual Volume II, as noted below.

6.3.6.1 Safety Management Systems (SMS) manual: A SMS manual is required and documents all aspects of the SMS, including: the statement of safety policy and objectives, which clearly describes the safety accountabilities and emergency response planning; the safety risk management, which includes hazard identification processes and risk assessment and mitigation processes; the safety assurance, including safety performance monitoring with an investigation capability; and safety promotion and training. Detailed procedures for conducting review of the SMS manual is contained in **AOCI Manual Volume II, Chapter 2 Air Operator SMS Manual Acceptance, and Appendix 30 of AOCI Manual Vol II**. CAA Nepal shall ensure that an applicant for an AOC has established and maintained a Flight Safety Documentation System.

6.3.6.2 Aircraft Operating Manuals (AOM): Aircraft Operating Manuals for each type of aircraft to be operated are required by FOR and NCAR. These manuals are required to contain normal, abnormal and emergency procedures, details of the aircraft systems and the checklists to be used. Detailed procedures for the review and approval of an AOM is contained in **AOCI Manual Volume II, Chapter 1 Para 1.4.2**.

6.3.6.3 Minimum Equipment List: A MEL is required for each type and model of aircraft to be operated, which provides for the operation of the aircraft, subject to specified conditions, with particular equipment inoperative. This list prepared by the applicant in conformity with, or more restrictive than, the master minimum equipment list (MMEL) approved by the State of Design for the aircraft type, is tailored to the applicant's aircraft and installed equipments. Detailed procedures for the review and approval of a MEL are contained in **AOCI Manual Volume II, Chapter 3 Approval of Minimum Equipment Lists (MEL) And Configuration Deviation Lists (CDL); Appendix 32 of AOCI Manual Vol II and AOCI Manual Volume III Chapter 7 Airworthiness Coordination of Operations Approvals**.

6.3.6.4 Configuration Deviation List: A CDL for each aircraft type and model may be established by the organization responsible for the type design and approved by the State of Design to provide for the commencement of a flight without specified external parts. Detailed procedures for the review and approval of a CDL is contained in **AOCI Manual Volume II, Chapter 3 Approval of Minimum Equipment Lists (MEL) And Configuration Deviation Lists (CDL); Appendix 40 of Vol II and AOCI Manual Volume III Chapter 7 Airworthiness Coordination of Operations Approvals**.

6.3.6.5 Aircraft performance manual: These manuals are required for each type and model of aircraft to be operated. Detailed procedures for the review and approval of an aircraft performance manual is contained in **AOCI Manual Volume II, Chapter 1**.



Para 1.4 Specific Operations Manual Inspection Areas, 1.4.1 General part/section. “f) performance data, g) supplementary performance data, h) other acceptable performance data, i) additional performance data”.

6.3.6.6 Mass and balance control manual: The manual provides for a system to obtain, maintain and distribute to operational personnel information on the mass and balance of each aircraft operated and the means to keep this information up to date. Detailed procedures for the review and approval of a mass and balance control manual is contained in **AOCI Manual Volume II, Chapter 1. Para 1.4 Specific Operations Manual Inspection Areas, 1.4.1 General part/section. k) “mass and balance”.**

6.3.6.7 Ground Handling Manual: This manual contains procedures and limitations for servicing, fueling, loading and unloading, preflight preparation and post-flight securing, applicable to the aircraft type and model. Detailed procedures for the review and approval of a Ground Handling Manual is contained in **AOCI Manual Volume II, Chapter 1. Para 1.4 Specific Operations Manual Inspection Areas, 1.4.1 General part/section. i) “ground handling arrangements and procedures”.**

6.3.6.8 Training manuals for flight crew, cabin crew, operations personnel, ground personnel: Training manuals are required for all operational and ground personnel. These shall cover all aspects of initial and recurrent training and conversion and upgrading training. Detailed procedures for the review and approval of training manuals is contained in **AOCI Manual Volume II, Chapter 4 Training Program and Appendix 43 of AOCI Manual Vol II.**

- CAA Nepal shall ensure that the air operator establish and maintain Training Programs as part of its FSDS, which includes for Initial, Recurrent, Transition (Conversion), Requalification, Upgrade, Recency of experience, Familiarization, Difference, Safety Management and other specialized training as applicable.
- The organization/individual responsible for the transport of dangerous goods by air shall ensure that initial and recurrent Dangerous Goods Training Program have been established and implemented by the organizations and agencies which are involved in the transport of dangerous goods by air.
- The organization/individual responsible for the transport of dangerous goods by air shall ensure that the dangerous goods training programs of air operators are subject to review and approval.
- CAA Nepal or the organization/individual responsible for the transport of dangerous goods by air shall ensure that Air Operators who choose not to transport dangerous goods, develop and implement a training program for ground and flight personnel to enable them to recognize and refuse dangerous goods.
- CAA Nepal shall ensure that a security training program for flight and cabin crew has been established and approved before granting the AOC.

6.3.6.9 Route Guide: This is required to ensure that the flight crew and personnel responsible for operational control have the necessary information for communications, navigation aids, aerodromes/heliports, instrument procedures for departure, en-route



and arrival during the conduct of the particular operation. Detailed procedures for the review and approval of a route guide are contained in **AOCI Manual Volume II, Chapter 1 Para 1.4.3 and Appendix 42 of AOCI Manual Vol II.**

6.3.6.10 Dangerous Goods Manual: All applicants will require a manual containing procedures for the handling of dangerous goods, emergency response to dangerous goods incidents and the training of personnel. The details required will depend upon the intended status of the applicant with respect to the transport of dangerous goods. If a declaration has been made that dangerous goods will be carried as cargo, the applicant will require comprehensive material on the control, loading and carriage of dangerous goods and on response to dangerous goods incidents and emergencies. If it is not intended to transport dangerous goods as cargo, the applicant will still need to cover dangerous items that form part of the normal aircraft equipment, dangerous items that are permitted to be carried by passengers and dangerous items that may be carried in the form of company material. Detailed procedures for the review and approval of the dangerous goods manual are contained in **AOCI Manual Volume II, Chapter 19 Transportation of Dangerous Goods Approval; Dangerous Goods Inspector Manual and CAA Nepal Dangerous Goods Handling Requirements.**

6.3.6.11 Passenger briefing cards: Passenger briefing cards need to be provided to supplement oral briefings and be particular to the type and model of aircraft and the specific emergency equipment in use. The passenger briefing card shall be reviewed to ensure it meets the requirements of CAA Nepal FOR-A Chapter 12 Cabin Crew Para 12.8 Passenger Safety Briefing Card and FOR-H Chapter 10 Cabin Crew.

6.3.6.12 Aircraft search procedure checklist: The checklist needs to be carried on board and describes the procedures to be followed in searching for a bomb in case of suspected sabotage and for inspecting aircraft for concealed weapons, explosives or other dangerous devices when a well-founded suspicion exists that the aircraft may be the object of an act of unlawful interference. The checklist shall be supported by guidance on the appropriate course of action to be taken should a bomb or suspicious object be found and information on the least-risk bomb location specific to the aircraft. The aircraft search procedures checklist shall be reviewed to ensure it meets the requirements of CAA Nepal FOR-A Appendix 1, Part A Para 2.1.37 and FOR-H Appendix 1, Part A Para 2.1.30.

6.3.6.13 Operational control procedures, dispatch, flight following, etc.: The manual is required to contain the details of the applicant's operational control procedures and procedures for dispatch and flight following. It shall cover procedures for use in emergency situations and all communication procedures. Detailed procedures for the review and approval of operational control procedures are contained in **AOCI Manual Volume II, Chapter 8 Operational Control Inspection.**

6.3.6.14 Regulations limiting the flight time and flight duty periods and providing adequate rest periods for flight and cabin crew members: These rules are included in



the operations manual and will be in accordance with CAA Nepal requirements. Detailed procedures for the review and approval of a flight time, flight duty periods and rest periods are contained in **AOCI Manual Volume II, Chapter 10 Fatigue Management Records Inspections.**

6.3.7 Security program manual: The manual shall describe the operator security program, which shall meet the requirements of the National Civil Aviation Security Program of CAA Nepal. The manual shall include the security procedures applicable to the type of operations. Procedures for the review of the security manual is not contained in this manual as this review will be completed by the Aviation Security Department (AVSEC) of CAA Nepal.

6.3.8 Continuing Airworthiness Management Exposition (CAME): This manual sets out the applicant's intentions and procedures with regard to maintaining the airworthiness of the aircraft used, during their operational life. This applies whether or not the applicant for an AOC also intends to apply for approval as an AMO or intends to contract out maintenance to an AMO. Detailed procedures for the review of CAME is contained in **AOCI Manual Volume III Chapter 2 Continuing Airworthiness Management Exposition.**

6.3.9 Maintenance program, including maintenance schedule and Reliability Program: A maintenance program, approved by CAA Nepal, is required for individual aircraft, taking into account the requirements of the type design authority. Detailed procedures for the review of maintenance programs are contained in **AOCI Manual Volume III, Chapter 3 Maintenance Program.** The maintenance program will require the approval of the State of Registry, when the aircraft is not registered in CAA Nepal. In addition to maintenance program, where applicable, the reliability program should also be submitted to CAA Nepal for approval. Detailed procedures for the review of Reliability Program are contained in **AOCI Manual Volume III, Chapter 4 Reliability Program.**

6.3.10 Flight Dispatch Manual: This manual sets out the guidelines for the Flight Dispatcher/Flight Operations Officer to follow for the smooth operation of flights. It details the duties and responsibilities of the FOO and the procedures to follow for the safe release of a flight. The Inspector shall use the checklist **FOS-FORM-CL-204-FOOM** and Procedure contained in **AOCI Manual Vol II Appendix-10** when accepting an applicant's Flight Dispatch Manual.

6.3.11 Training Manual for Maintenance Personnel: Training manuals are required for all maintenance and ground personnel. These shall cover all aspects of initial and recurrent training and conversion and upgrading training.

6.3.12 Maintenance contracts and other maintenance arrangements: when maintenance arrangements are contracted, there should be a formal contract to ensure that the maintenance is carried out in accordance with CAME, and aircraft is maintained in accordance with the approved maintenance program. These maintenance contracts



and other maintenance arrangements contracts needs to be approved by CAA Nepal. Normally, these maintenance contracts are part of CAME.

6.3.13 Plan for demonstration flights: Where CAA Nepal has determined that demonstration flights are required, a plan for these demonstration flights shall be prepared so that the applicant can demonstrate the ability to operate and maintain aircraft and conduct the type of operation specified. The determination by CAA Nepal as to whether or not demonstration flights will be required, and if such flights are required, their number and type, will depend on CAA Nepal's assessment of the capabilities of the operational and maintenance systems established by the applicant. The demonstration flight shall be carried out as per procedure laid down in **AOCI Manual Vol II Chapter 5**.

The following factors will be considered when determining the demonstration flight requirement.

- a) To what extent is the new aircraft substantially different from an aircraft previously flown by the applicant (such as changing from turboprop to turbojet, unpressurized to pressurized, or narrow body to wide body);
- b) To what extent is the applicant's route structure affected by the request (for example, inauguration of international routes and use of special areas of operation);
- c) What is the experience level of personnel involved in the operation (for example, flight and cabin crewmembers previous experience in the operation of this type of aircraft);
- d) How does the applicant propose to conduct the proving flights (for example, a few long-range versus several short-range flights); and
- e) What level of management experience exists in the company with this type or similar type or make of aircraft.

6.3.14 Documentation Evaluation Job Aid AOC-003 at the end of this chapter shall be utilized to confirm the acceptability of the documents provided by the applicant. For many of the items contained in this job aid, inspectors are to complete utilizing the more detailed job aids as contained in AOCI Manual Volume II and III.

6.3.15 Operator shall provide one copy of manual for CAA Nepal review. After satisfactory review of manual and approval/acceptance by CAA Nepal, Operator shall provide 2nd copy of manual for approval stamp in LEP. All the manual after an approval /acceptance shall be issued with approval cover letter and controlled copy of these revised manual are kept in Flight Operation Division records.

6.3.16 Revision of manuals after approval shall be accessed as per **AOCI Manual Volume II, Appendix-46 "Manual Revision Form"**. Procedure laid down in Para 6.3.15 is applicable for revised manual as well.

Note – Detailed Job Aids and procedures for the Demonstrations and Inspections subjects that follow is contained in AOCI Manual Volume II and Volume III of this manual.



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DOCUMENT EVALUATION JOB AID - AOC-003					
SUBJECT	PM/FOI/AWI SIGNATURE (as applicable)	DATE RETURNED	DATE RESUBMITTED	DATE APPROVED/ ACCEPTED	REFERENCE DOCUMENT
A. Evaluate applicable training manuals					
1. Crew member training					
a. Basic company indoctrination					
b. Emergency equipment training					
c. Ground training					
d. Flight training					
e. Familiarization training					
f. Recurrent training					
g. Transition/ upgrade training					
h. Differences training					
i. Qualification training					
j. Recency training					
k. Security training					
l. Dangerous goods training					
m. DCP/instructor					
n. Human performance training					
o. Specialized training (RVSM; PBN; EDTO etc.)					
2. Dispatcher training					
a. Initial training					
b. Recurrent training					
c. Instructor Qualification					
d. Human performance training					
3. Cabin crew training					
a. Initial training					
b. Recurrent training					
c. Differences training					
d. Human performance training					
4. Continuing Airworthiness Personnel Training Program					
a. Continuing Airworthiness Personnel Training on CAME and its associated manuals					
b. Aircraft Type Training <i>(as applicable)</i>					
c. Applicable Requirements Training					
d. Human Factor Training					



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e. Specialized training (RVSM; PBN; EDTO etc.)					
f. Other required training (CDCCL; FTS; EWIS etc.)					
g. Instructor Qualification					
5. Other Ground Personnel Training					
a. Ground Handling/ Servicing Personnel Training					
b. Station personnel training					
c. Instructor Qualification					
Remarks:					
SUBJECT	PM/FOI/AWI SIGNATURE	DATE RETURNED	DATE RESUBMITTED	DATE APPROVED/ACCEPTED	REFERENCE DOCUMENTS
B. Evaluate Management Qualification					
1. Accountable Manager					
2. Chief of Flight Operations					
3. Continuing Airworthiness Manager					
4. Safety Manager					
5. Chief Pilot					
6. Quality Manager for Continuing Airworthiness					
7. Chief of Training					
8. Cabin Crew Manager					
9. Request for deviation letter (if applicable)					
Remarks:					
C. Evaluate Applicable Company Manuals/ Operation Procedures					
1. Completed Company Flight Operations Manual (Part A, C and D).					
2. Aircraft Flight Manual					
3. Company Aircraft Operations Manual (OM Part B)					
4. Standard Operating Procedure					
5. Aircraft Checklists					
a. Normal					
b. Abnormal					
c. Emergency					
6. Cabin Crew Manual					
7. Station Operations Manual					
8. Company Emergency Response Manual					
9. Dangerous Goods Manual					



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10. Security Manual					
11. Passenger Briefing Card					
12. Continuing Airworthiness Management Exposition and its associated Manuals					
13. Ground Handling Manual					
14. Mass and Balance control Manual					
15. Reliability Program, where applicable					
16. Aircraft Maintenance Program					
17. Airport data and en-route manual (charts and plates) (OM Part C)					
18. Airport/Runway Analysis Manual*					
19. Minimum Equipment List *					
20. Configuration Deviation List *					
21. Safety Management System Manual					
22. Flight Dispatch Manual					
23. Training Manual for Maintenance Personnel					
Remarks:					
SUBJECT	PM/FOI/AWI SIGNATURE (as applicable)	DATE RETURNED	DATE RESUBMITTED	DATE APPROVED/ ACCEPTED	REFERENCE DOCUMENT
Other Evaluations					
1. Aircraft Lease agreement/ Bill of Sale					
2. Operations Contracts/Agreements					
3. Emergency Response Plan					
4. Maintenance Contracts/Agreements					
5. Ground Handling Contracts/Agreements					
6. Training Contracts - (if applicable)					
7. Aircraft Demonstration Test Plan					
8. Conformance Checklist (Statement of Compliance)					
9. Financial Assessment					
10. CAA Nepal Debriefing in preparation for Demonstration and Inspection Phase					



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Remarks:

ACKNOWLEDGEMENT/SIGNATURE (as applicable)

Certification Project Manager (PM)

Flight Operations Inspector (FOI)

Airworthiness Inspector (AWI)

Name

Name

Name

[Note – Detailed Job Aids and procedures for the Demonstrations and Inspections noted above are contained in AOCI Manual Volume II and Volume].



7. DEMONSTRATION AND INSPECTION PHASE

OPERATIONAL ASPECTS

7.1 GENERAL

7.1.1 CAA Nepal requirements require an applicant to demonstrate the ability to comply with requirements and safe operating practices before beginning revenue operations. These demonstrations will include actual performance of activities and/or operations while being observed by inspectors of the certification team. This will also involve on-site evaluations of aircraft maintenance equipment and support facilities. During these demonstrations and inspections, CAA Nepal evaluates the effectiveness of the policies, methods, procedures and instructions as described in the manuals and other documents developed by the applicant. During this phase, emphasis should be placed on the applicant's management effectiveness. Deficiencies shall be brought to the attention of the applicant, and corrective action shall be taken before an AOC can be issued.

7.1.2 The preliminary assessment of the application, as described in Chapters 5 and 6, should provide CAA Nepal with a general appreciation of the scope of the proposed operation and the potential ability of the applicant to conduct it safely. However, before authorizing the issuance of the AOC, CAA Nepal will need to thoroughly investigate the operating ability of the applicant. This important and more detailed phase of the investigation and assessment will require the applicant to demonstrate thorough, day-to-day administrative and operational capabilities, including, in some cases, proving flights over proposed routes, the adequacy of facilities, equipment, operating procedures and practices, and the competence of administrative, flight and ground personnel. Demonstration flights may include any aspect to be covered by a special authorization in the operations specifications which will be associated with the AOC when issued. Training or positioning flights observed by a CAA Nepal inspector may be credited towards meeting demonstration flight requirements.

7.1.3 The operational aspects demonstration and inspection phase shall encompass all aspects of the proposed operation. However, such matters as the inspection of the passenger services organization, though necessary, is not covered in this manual.

7.1.4 Precise details of inspections will be determined by many factors, such as the nature, scope and geographical areas of operations, the type of airborne and ground equipment to be used and the method of operational control and supervision. Many of the inspections required for initial certification or addition of a new aircraft type will subsequently be conducted as part of CAA Nepal Safety Oversight Program. For ease of reference the detailed procedures, including job aids/checklist is contained in AOI Manual Volume II (for operations); AOI Manual Volume III (for airworthiness) and Airworthiness Inspector Handbook Part-I and Part-II.



7.1.5 It will also be necessary to ascertain those facilities located in other States, which are to be utilized, are adequate. As CAA Nepal licences are fully compliant with ICAO Annex 1 requirements, they are acceptable to other States where operations will take place.

7.1.6 CAA Nepal shall ensure that the air operator has established a Safety Management System.

7.1.7 Where applicable, CAA Nepal shall ensure that the air operators have established and maintained a Flight Data Analysis Program as part of its Safety Management System.

7.1.8 CAA Nepal shall ensure that the Flight Data Analysis Program is non-punitive and contains safeguards to protect the source(s) of the data.

7.1.9 The organization/individual responsible for the transport of dangerous goods by air shall ensure that authorized air operators have developed and used an acceptance checklist to prevent acceptance of dangerous goods for transport by air unless they are accompanied by a completed dangerous goods transport document and their marking, package, overpack or freight container have been inspected in accordance with the acceptance procedure contained in the Technical Instructions (TI).

7.1.10 The organization/individual responsible for the transport of dangerous goods by air shall ensure that authorized air operators will not load dangerous goods into the aircraft unless the appropriate loading, segregation and inspection for damage or leakage procedures are followed.

7.1.11 The organization/individual responsible for the transport of dangerous goods by air shall ensure that the air operator of an aircraft in which dangerous goods are carried provides the pilot-in-command with written information (NOTOC), as specified in the TI.

7.1.12 The organization/individual responsible for the transport of dangerous goods by air shall ensure that the air operator has procedures for retaining the NOTOC on the ground and readily accessible to the aerodromes of last departure and next scheduled arrival for each of its flight on which dangerous goods are carried.

7.2 ORGANIZATION AND ADMINISTRATION

7.2.1 During the operational demonstration and inspection phase, the applicant's organizational structure, managerial style, direction and philosophy will be evaluated to ensure that necessary and proper control can be exercised over the proposed operation. A sound and effective management structure is essential; it is particularly important that the operational management should have proper status in the applicant's organization and be in suitably experienced and competent hands. Through discussions with key management personnel and through observation, CAA Nepal certification team will evaluate the appropriateness of the management structure and determine whether or



not clear lines of authority and specific duties and responsibilities of subordinate elements and individuals are established. These duties and responsibilities need to be clearly outlined in the applicant's operations and CAMEs and other company documents. It should also be determined that acceptable processes are established for conveying company procedures and operating instructions to the personnel involved to keep them appropriately informed at all times. The authorities, tasks, responsibilities and relationships of each position need to be clearly understood and followed by the individuals occupying these positions.

7.2.2 At all levels, it is necessary that the applicant's personnel are thoroughly integrated into the operation and are made fully aware of the channels of communication to be used in the course of their work and of the limits of their authority and responsibility.

7.2.3 The applicant's staffing level needs to be evaluated to determine whether an adequate number of personnel are employed at management and other levels to perform the necessary functions. The number and nature of personnel will vary with the size and complexity of the organization. Through a sampling questioning process, CAA Nepal AOC certification team will determine whether or not management personnel are qualified, experienced and competent to perform their assigned duties.

7.2.4 Experience has shown that the quality of an operation is directly related to the standards maintained by its management. Competent management usually results in safe operations. An excess of managers can lead to fragmentation of responsibility and control and to as much difficulty and inefficiency as a shortage. Either case can result in a lowering of operational standards. Thus, the evaluation of an applicant's organization is a very significant phase of the certification inspection process. Once it has been determined that the applicant's organization is adequately staffed and managed, a detailed examination of the organization shall be initiated, and the suitability and use of the associated operations manual and CAME shall be assessed.

7.2.5 CAA Nepal shall ensure that, as part of a preliminary assessment of the applicant's technical fitness for the processing of an AOC, there is coordination between the areas of Operations, Airworthiness and other areas concerned in the process.

7.3 GROUND OPERATIONS INSPECTION

7.3.1 General

7.3.1.1 The purpose of this phase of the certification inspection is to ascertain, through on-site inspections, the adequacy and suitability of the applicant's staffing, training program, ground equipment, facilities and procedures to conduct the operations specified in the application.

7.3.1.2 The inspection of maintenance facilities and procedures is part of the ground inspection and will be carried out separately by PAI who is part of CAA Nepal AOC



certification team. This aspect is covered in detail in Airworthiness Inspector Handbook Part-I and Part-II and AOCI Manual Volume III.

7.3.1.3 Detailed procedures for the conducting of Ground Operations Inspection other than maintenance facilities is contained in Para 7.3.1.5 and **AOCI Manual Volume II, Chapter 1 and AOCI Manual Vol II Appendix-9 Station and Ground Handling Inspection Checklist FOS-FORM-CL-203-STA/GH.**

7.3.1.4 CAA Nepal shall ensure that the air operator has established an organization structure which includes the responsibility and authority for the management of all ground handling functions prior to the issuance of an AOC.

7.3.1.5 CAA Nepal shall ensure that the air operator has developed ground handling training requirements, sub-contracting policies, handling processes, procedures and practices for all ground handling operations. Refer **AOCI Manual Vol II Appendix 3 Checklist On The Critical Elements Of An Operations Manual FOS FORM CL-108-OMCE.**

7.3.1.6 FIXED FACILITIES

- a) **Buildings:** This inspection should be designed to determine that the buildings to be utilized by the applicant at each base and terminal, including those located in other States, are properly equipped; are provided with the necessary sanitary facilities and security and emergency controls, warnings and equipment; and are adequate for the operation to be conducted. Such an inspection would include hangars, maintenance and overhaul workshops, administrative staff and operations personnel offices, passenger service areas, cargo storage, and handling buildings. Inspection on site may be replaced by an assessment of the buildings from the aeronautical information publication of CAA Nepal, charts or diagrams, complemented by documents, describing the facilities and ground handling arrangements, or by a review of existing usage by other operators.

- b) **Aerodromes and heliports:** The destination and alternate aerodromes or heliports to be utilized in the operation should be inspected to determine their adequacy for operational use. However, this inspection requirement may be waived in those cases where CAA Nepal inspector is already familiar with the aerodrome or heliport and its associated facilities and is satisfied that they are adequate for the proposed operation. In those cases where the proposed operation covers a large part of the world, it will not be feasible for CAA Nepal AOC certification team to determine the adequacy of all the aerodromes or heliports of potential use. Accordingly, CAA Nepal certification team should consider inspecting only those considered by the applicant to be for major use and recommend to CAA Nepal that, before awarding the AOC, the operations manual contain the list of aerodromes that are considered adequate for use, and should specify that the use of other aerodromes or heliports in the approved area of operations be prohibited without prior approval of CAA Nepal.



- c) Approval of a particular aerodrome or heliport may be granted without inspection by CAA Nepal if the operator evaluates the facility as adequate for its operations, using an acceptable documented process, possibly as part of its SMS, and establishes operating minima and appropriate procedures.
- d) Inspections or evaluations should cover at least the following items as applicable:
- runways;
 - clearways;
 - stopways;
 - taxiways;
 - apron and parking areas;
 - lighting (including approach lighting);
 - visual and non-visual approach aids;
 - navigation facilities;
 - communications services;
 - ATS;
 - meteorological services;
 - aeronautical information services;
 - aerodrome service equipment (e.g. runway contaminant sweepers, snowploughs);
 - ground de-icing installations and equipment;
 - rescue and firefighting equipment and services;
 - availability of equipment and handling procedures for fuel and lubricants;
 - public protection, including security precautions;
 - obstacles affecting flight operations;
 - instrument departure, arrival and approach procedures and associated charts; and
 - aerodrome/heliport operating minima.
- e) In conjunction with the aerodrome inspection, CAA Nepal inspector should determine the adequacy of the applicant's procedures for acquiring current aerodrome data and instrument procedure charts and distributing these to all personnel who require such information in their performance of duty.

7.3.1.7 MOBILE EQUIPMENT

- a) The mobile equipment to be utilized in the operation should be inspected with primary emphasis on adequacy, suitability and the safety aspects of its use. Such equipment would include fuelling vehicles, ground power units, oxygen and compressed gas servicing equipment, towing tugs, cargo and baggage handling equipment, catering vehicles, sanitary servicing trucks, de-icing equipment, etc.
- b) An evaluation of the mobile equipment and the procedures for its use, performed by an audit organization, using suitable and recognized evaluation systems, may be acceptable at the discretion of CAA Nepal. For example, equipment inspections conducted as part of industry-recognized fuel quality audits, de-icing/anti-icing



quality control audits or audits for ground operations may be acceptable to CAA Nepal.

Note: *Commercial organizations or associations, such as the International Air Transport Association (IATA), generally manage these recognized evaluation systems.*

7.3.1.8 OPERATIONAL CONTROL ORGANIZATION

- a) General: Evaluation of the overall effectiveness of an operational control organization should include a thorough analysis of the following factors:
- b) Annex 6, Part I, and Part III, Section II as well as CAA Nepal Flight Operations Requirements require an operator to establish and maintain a method of control and supervision of flight operations that is approved by CAA Nepal. Responsibility for operational control can be delegated only to the pilot-in-command, and to a flight operations officer/flight dispatcher if the approved method of control and supervision of flight operations requires the use of flight operations officer/flight dispatcher personnel. Because of the nature and extent of the duties and responsibilities involved in the supervision of flight operations, CAA Nepal and the operator should consider the advantages of an approved method of control and supervision of flight operations requiring the services of a flight operations officer/flight dispatcher. In such a system, the flight operations officer/flight dispatcher is assigned to duty in the company operations control center and is responsible, while on duty, for carrying out the operational control procedures and policies specified in the operations manual. The flight operations officer/flight dispatcher shall be licensed as per the requirements of CAA Nepal.
- c) The operations manual should specify the responsibilities and functions assigned to flight operations officers/flight dispatchers. The actual responsibilities assigned are part of the approved method of control and supervision of flight operations. Annex 6, Part I, and Part III, Section II as well as FORs gives information on the duties of flight operations officers/flight dispatchers. The duties assigned will be very similar for all such operations personnel, whether licensed or unlicensed.
- d) The responsibilities of a flight operations officer/flight dispatcher include the provision of assistance to the pilot-in-command in flight preparation; completion of operational and ATS flight plans; liaison with the air traffic, meteorological and communication services; and the provision to the pilot-in-command during flight of information necessary for the safe and efficient conduct of the flight. Flight operations officers/flight dispatchers should also be responsible for monitoring the progress of each flight under their jurisdiction and for advising the pilot-in-command of company requirements for cancellation, re-routing or re-planning, should it not be possible to operate as originally planned. In connection with the foregoing, it should be understood that the pilot-in-command is the person ultimately responsible for the safety of the flight.



Note: The duties and responsibilities of a flight operations officer/flight dispatcher are established in Annex 6, Part I, and Part III, Section II as well as in FORs. Further guidance is contained in the Preparation of an Operations Manual (Doc 9376). The requirements for age, skill, knowledge and experience for the licensing of flight operations officers/flight dispatchers are in Annex 1 as well as in PELR.

- e) In evaluating the structure, responsibilities and performance of the operational control organization, it should be remembered that:
- rapidly improving communications capabilities and advances in weather forecasting and reporting in some areas have brought about a trend towards consolidation and centralization of operational control facilities;
 - availability of computerized or stored flight plans and fuel load determination and the use of direct pilot/operations control center communications have facilitated the performance of the operational control of flights; and
 - the pilot-in-command may, in many cases, have more up-to-date information and may be in a better position to evaluate evolving flight conditions than personnel in a distantly located operations control center.

7.3.1.9 ADDITIONAL CONSIDERATIONS: In addition to the factors listed in 7.3.1.8 e), items such as the type of operation and its geographical scope and size should also be evaluated in relation to the level of support required. The guidelines below are provided to assist CAA Nepal inspector in determining the adequacy of operational control:

a) Staffing: CAA Nepal inspector should determine that:

- the operational control center is staffed with sufficient personnel to competently handle the assigned workload in accordance with CAA Nepal requirements;
- the applicant observes the daily duty time limitations prescribed by CAA Nepal for flight operations officers/flight dispatchers;
- the applicant is not using flight operations officers/flight dispatchers to perform other functions such as that of clerks and maintenance officers, to the detriment of the primary function; and
- the conditions at the operational control center facilities such as space, temperature, lighting, noise level and controlled access are adequate for carrying out dispatch and operational control responsibilities.

b) Communications: CAA Nepal inspector should determine that:

- the communications facilities meet the requirements of the proposed operation;



- the procedures to be used to notify flights regarding hazardous conditions relating to aerodromes or navigation aids, etc., are adequate;
 - notices to airmen (NOTAMs) will be made available to flight crew personnel in a timely manner;
 - emergency communications procedures and facilities are adequate;
 - flight operations officers/flight dispatchers are able to establish rapid and reliable voice communications with the flight crew at the gate;
 - communications between the operational control center and appropriate ATS facilities are adequate;
 - air-ground communications and point-to-point circuits used for flight safety messages are adequate and are reasonably free of congestion to ensure rapid and reliable communications throughout the geographical area of operations;
 - flight operations officers/flight dispatchers are familiar with all facets of operations within their geographical areas of responsibility and are properly authorized and qualified in the use of all communications channels required by the approved method of control and supervision of flight operations;
 - the necessary emphasis is placed on the timely receipt of messages both in the aircraft and at the operational control center or en-route stations; and
 - facilities for the communication of weather information to en-route stations and to aircraft are adequate.
- c) Meteorology:** CAA Nepal inspector should:
- if the applicant has established a meteorological department, determine that it will be provided with adequate staff and facilities;
 - determine whether adequate procedures have been established to ensure the availability of weather forecasts and reports needed by the applicant for flight planning purposes;
 - determine that the applicant has procedures to utilize all useful weather information pertinent to the area with which the operational control is concerned;
 - give particular attention to the level of knowledge possessed by individual flight operations officers/flight dispatchers with respect to meteorology in general and to the weather conditions in the area with which they are concerned;



- determine that the applicant has provided the means whereby the pilots and the flight operations officers/flight dispatchers are provided with timely information pertaining to clear air turbulence, thunderstorms, icing conditions and volcanic ash, as well as to the best routes and altitudes for avoiding such occurrences;
 - give particular attention to procedures to be employed by operational control for disseminating information pertaining to clear air turbulence, thunderstorms, volcanic ash, icing conditions and other significant weather phenomena;
 - determine that the necessary procedures have been established for providing adequate weather information to the pilot-in-command at en-route stops; and
 - determine the adequacy of the procedures to be employed throughout the applicant's system with respect to in-flight meteorological reporting.
- d) Procedures:** CAA Nepal inspector should:
- give particular attention to the exercise of responsibility by pilots-in-command and flight operations officers/flight dispatchers in their analysis of all factors pertaining to the flight. In this context, the inspector should determine that the flight operations officers/flight dispatchers will be able to perform their functions in accordance with the terms of the applicable operating instructions and procedures. It is emphasized again that the flight operations officer/flight dispatcher is responsible for assisting the pilot-in-command in the preflight planning, and authorization of delay and release of flights, in accordance with the approved method of control and supervision of flight operations;
 - determine that the applicant has established procedures to ensure that flight operations officers/flight dispatchers are adequately trained and informed on important aspects of flight planning such as weather forecasts and reports, fuel requirements, aerodrome limitations, NOTAM, navigation equipment, navigation facilities, ATM procedures and aircraft performance data;
 - determine the adequacy of procedures and methods to be used to comply with CAA Nepal requirements concerning aircraft performance, i.e. the computation of the mass of the aircraft and the center of gravity location, critical speeds, climb gradients, runway and obstacle clearance limitations;
 - determine that procedure for the release of a flight are established, which will ensure that the aircraft and its load are in conformity with the relevant flight release documents, e.g. aircraft Certificate of Release to Service (CRS), MEL, CDL, aircraft mass and balance form and manifest; and
 - determine that the procedures to be used for flight monitoring are adequate and meet the requirements of CAA Nepal requirements.



e) **Operational and ATS flight plans:** CAA Nepal inspector should:

- determine the adequacy of the data to be included in the operational flight plans to be used by the applicant; and
- review the policy with regard to operational flight plans and ATS flight plans to determine compliance with CAA Nepal requirements.

7.3.2 Flight crew qualifications, licensing and training

CAA Nepal inspectors shall determine that the applicant has established procedures and training programs to ensure that flight crew qualifications meet the requirements of CAA Nepal and that personnel are duly licensed and hold appropriate and valid ratings in accordance with CAA Nepal Personnel Licensing Requirements. Detailed inspection procedures are outlined in **AOCI Manual Volume II, Chapter 4**.

7.3.3 Cabin crew competency and training

CAA Nepal inspectors shall also determine that the applicant has established a training program to ensure that cabin crew members are competent in executing those safety duties and functions to be performed in the event of an emergency including a situation requiring emergency evacuation. Detailed inspection procedures are outlined in **AOCI Manual Volume II, Chapter 4**.

7.3.4 Training programs

The training programs shall be described in detail either in the operations manual or in a training manual which, whilst it will form part of the operations manual, will be issued as a separate manual. The choice will generally depend upon the extent of the operations and the number and types of aircraft in the operator's fleet. Most applicants find it convenient to set forth their training programs in a training manual of one or more volumes to facilitate easy application and updating. Depending on the scope and complexity of the proposed operation, the training programs required by CAA Nepal requirements may be carried out under the direct control of the applicant or conducted by other training facilities under contract to the applicant, or a combination thereof. In any event CAA Nepal AOC certification team will need to carry out a thorough analysis and inspection of all phases of the applicant's ground and flight training programs. This analysis and inspection should permit a determination as to whether the training methods, syllabi, training aids/devices, training standards, related facilities and record keeping are adequate. The qualifications of ground and flight instructor personnel shall be established, and their effectiveness evaluated. Detailed inspection procedures are outlined in **AOCI Manual Volume II, Chapter 4**.

7.3.5 Record keeping

In accordance with the CAA Nepal requirements, operators are required to maintain certain records pertaining to the conduct of the operations for a specified period. The primary objective of the inspection of operations and flight records is to ensure that operators comply with established procedures and appropriate requirements. The procedures for record keeping need to be evaluated as part of the certification



inspection process to indicate the manner in which records will be kept and whether or not such recording will be conducted in compliance with relevant requirements. Detailed inspection procedures are outlined in **AOCI Manual Volume II, Chapter 9.**

7.3.6 Fuel computation procedures

7.3.6.1 The objective of this inspection is to determine whether the applicant's aircraft will be dispatched with adequate fuel loads calculated in accordance with requirements and the policy set forth in the operations manual. To make this determination, the fuel computation policy and sample operational flight plans for flights to be dispatched from different bases on routes and route sectors calling for wide differences in fuel requirements and including sectors on which aircraft fuel capacity is critical, shall be examined and the fuel to be carried validated against expected aircraft performance, with appropriate corrections for wind conditions and flight levels en-route.

7.3.6.2 The fuel policy shall consider the additional fuel necessary to proceed to an adequate aerodrome in the event of failure of one engine or loss of pressurization, at the most critical point while en-route, whichever is higher.

7.3.6.3 Detailed inspection procedures are outlined in **AOCI Manual Volume II, Chapter 1.**

7.3.7 Aircraft mass and balance procedures

7.3.7.1 This part of the inspection is to ascertain that aircraft will be safely and correctly loaded and to investigate applicant's method of exercising overall mass control. CAA Nepal inspector shall examine the system and methods whereby aircraft mass is checked and maintained to ensure that mass fluctuations due to modifications and other causes are fully taken into account and that the mass statement is accurate. Detailed inspection procedures are outlined in **AOCI Manual Volume II, Chapter 1.**

7.3.8 Ground inspection deficiencies

7.3.8.1 Unsatisfactory conditions noted by CAA Nepal AOC certification team during the ground inspection need to be brought to the attention of the applicant for corrective action. The opportunity shall be provided for the applicant to remedy any deficiencies affecting the safety of the operation before the commencement of any flight operations inspection. All discrepancies and items of non-compliance need to be corrected or resolved, with acceptable records of the corrective actions taken being kept, to the satisfaction of CAA Nepal AOC certification team prior to the inauguration of commercial service.

7.4 DEMONSTRATION FLIGHT(S)

7.4.1 Following the ground operations phase of the inspection program prior to certification, it may be necessary, particularly in the case of new operators, to carry out a series of inspections in the course of flight. Such inspection flights provide an opportunity for the applicant to demonstrate the ability to carry out the proposed operations in



accordance with applicable requirements. Passengers shall not be carried during inspection flights prior to certification and observer personnel on board the aircraft shall be kept to a minimum. However, it is generally desirable for the applicant to have on board company personnel who can take decisions and make commitments on behalf of the applicant concerning action to correct deficiencies. The demonstration flight shall be carried out as per procedure laid down in **AOCI Manual Vol II Chapter 5**.

7.4.2 The determination by CAA Nepal as to whether or not demonstration flights will be required, and if such flights are required, their number and type, will depend on CAA Nepal AOC certification Team's assessment of the capabilities of the operational and maintenance systems established by the applicant. All demonstration flights are to be conducted using the methods and procedures proposed by the applicant in the formal application package (**AOCI Manual Volume I, Chapter 5**).

7.4.3 Detailed demonstration flight procedures are outlined in **AOCI Manual Volume II, Chapter (5, 13, 14 and 15)**.

7.5 CONCLUSION

Demonstration and Inspection Phase **Job Aid AOC-004** at the end of this chapter shall be utilized and completed to confirm the acceptability of the operational aspects during the demonstration and inspection phase.

[Note – Detailed Job Aids and procedures for the Demonstrations and Inspections subjects noted below are contained in AOCI Manual Volume II and Volume III].



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DEMONSTRATION AND INSPECTION PHASE JOB AID AOC-004

SUBJECT	PM/FOI/AWI SIGNATURE (as applicable)	DATE COMPLETED	REFERENCE DOCUMENT
A. Inspect Applicant Conducting Training		Refer AOCI Manual Vol II Chapter 4 for checklist	
1. Certification or Qualifications of Pilots, Flight Dispatchers, Cabin Crew			Cockpit/Cabin En-route Inspection Checklist
2. Aircraft Conformity inspection			Ramp Inspection Checklist Attachment 4 (AOCI Manual Vol III)
3. Main Operations Base			FOS FORM CL-118-BA
4. Main Maintenance Base			Attachment 3 (AOCI Manual Vol III) Airworthiness Checklist#32
5. Station & Ground Handling Inspection			Station Facility Inspection Checklist FOS-FORM-CL-203-STAGH FOS-FORM-CL-202-PH
6. Demonstration Flight			Cockpit/Cabin En-route Inspection Checklist
Remarks:			
ACKNOWLEDGEMENT/SIGNATURE (as applicable)			
_____	_____	_____	
Certification Project Manager (PM)	Flight Operations Inspector (FOI)	Airworthiness Inspector (AWI)	
_____	_____	_____	
Name	Name	Name	



8. DEMONSTRATION AND INSPECTION PHASE MAINTENANCE CONTROL ASPECTS

8.1 GENERAL

8.1.1 As part of the requirements described in Para 7.1.1 and 7.1.2 of this manual, the applicant (operator) is required to demonstrate that an organization with the necessary qualified staff, equipment and facilities is set up and responsible for ensuring that the aircraft remain in an airworthy condition for the duration of their operational life. This is also referred to as managing the continuing airworthiness of the aircraft.

8.1.2 In the case of an applicant seeking authority to operate leased aircraft registered in a different State, suitable arrangements must be made between CAA Nepal and the State of Registry regarding responsibility for the continuing airworthiness of the aircraft. (See **AOCI Manual Volume I, Chapter 10 and AOCI Manual Vol II Appendix 21** for details on the Leasing of Aircraft).

8.1.3 Further detailed guidance on the maintenance control aspects of air operator certification, as well as approval of the CAME and the preparation of maintenance-related operations specifications associated with an AOC, is contained in **AOCI Manual Volume III and Airworthiness Inspector Handbook Part-II Section IV**.

8.2 CONTINUING AIRWORTHINESS MANAGEMENT ORGANIZATION (CAMO)

8.2.1 CAA Nepal Principal Airworthiness Inspector shall determine that the structure of the applicant's Continuing Airworthiness Management organization is set forth, clearly delineating duties and responsibilities for all key personnel including the manager(s) for continuing Airworthiness Management Organization. The names of all incumbents shall be listed. The details of the organizational structure shall be included as a part of the CAME and, if necessary, also promulgated separately. Details requirements regarding CAMO is laid down in NCAR Part-M. Procedure for approval of NCAR Part-M Subpart G Organization is laid down in Airworthiness Inspector Handbook Part-II Section IV.

8.3 CONTINUING AIRWORTHINESS MANAGEMENT EXPOSITION (CAME)

8.3.1 Nepalese Civil Airworthiness Requirements (NCAR Part-M Para NCAR M.A.704) require the applicant to prepare a detailed CAME for the use and guidance of Continuing Airworthiness Management personnel. This manual needs to be acceptable to CAA Nepal



and, if different, to the State of Registry. The operator needs to ensure that CAME is revised as necessary to keep the information contained therein up to date. Copies of all revisions will be furnished promptly to all organizations or persons to whom the manual has been issued. Accordingly, one of the first steps in the maintenance inspection is a thorough analysis of the CAME, the correction of any discrepancies and the tentative acceptance by CAA Nepal inspector. During the course of the Continuing Airworthiness Management organization inspection, the PM, assisted by qualified CAA Nepal Principal Airworthiness Inspectors, shall determine that the major provisions of the CAME are being followed in practice.

8.3.2 The details in and number of volumes of the CAME will vary depending upon the type, complexity and number of aircraft involved. Detailed inspection procedures of CAME is outlined in **AOCI Manual Volume III, Chapter 2.**

8.4 REVIEW OF MAINTENANCE ARRANGEMENT

Review of Maintenance Arrangement will be carried out as per **AOCI Manual Vol III Chapter 5.**

8.5 AIRWORTHINESS INSPECTION AND DEMONSTRATION PHASE

Airworthiness Inspection and Demonstration Phase is carried out as per **AOCI Manual Vol III Chapter 6.**



9. CERTIFICATION PHASE

9.1 FINAL PREPARATION FOR THE ISSUANCE OF AN AOC

9.1.1 CAA Nepal AOC Project Manager will have notified the applicant of all discrepancies that need to be resolved before an AOC and its associated operations specifications can be issued.

9.1.2 The PM reviews the final operations specifications and makes any changes necessary.

9.1.3 The PM and CAA Nepal AOC certification team shall ensure that all the requirements for certification have been met and also to have determined that the applicant is fully capable of fulfilling all the responsibilities incumbent in the conduct of the proposed operations and of complying with the applicable laws and requirements, and the provisions of the certificate and operations specifications.

9.1.4 Further, an AOC will not be issued until the AOC certification team responsible for the economic and financial assessment of the applicant has presented a favorable report, and until the CAA Nepal is satisfied that the operator has the financial resources to conduct its planned operations, including resources for the disruptions that can be reasonably expected in daily operations.

9.1.5 The PM will provide a report with appropriate recommendations on the issuance or denial of an AOC to CAA Nepal. The report shall include the following information:

9.1.5.1 In the case of a recommendation on issuance of the AOC:

- a) confirmation that the air operator has been certificated in accordance with the policy and requirements as contained in CAA Nepal Air Operator Certificate Requirements (AOCR) and the procedures as stated in the Air Operator Certificate Inspector Manual;
- b) listing of the applicable job aids/checklists that have been completed to confirm that the air operator is in compliance with CAA Nepal requirements and related Guidance Material;
- c) confirmation that CAA Nepal is satisfied that the operator has the financial resources to conduct its planned operations;
- d) summary of major difficulties experienced during the certification process and/or any recommendations that may enhance the process; and
- e) signature of the PM and include the name and title of each team member who assisted in the certification project.

9.1.5.2 In the case of a recommendation on denial of an AOC.



- a) listing of the applicable job aids/checklists that have been successfully completed to date;
- b) details of certification requirements which the air operator has failed to achieve and recommendations on future course of action;
- c) summary of major difficulties experienced during the certification process and/or any recommendations that may enhance the process; and
- d) signature of the PM and include the name and title of each team member who assisted in the certification project.

9.2 ISSUANCE OF AN AOC AND THE ASSOCIATED OPERATIONS SPECIFICATIONS

9.2.1 CAA Nepal shall assign an AOC number and determine the date of issuance. The certificate and associated operations specifications shall be signed by either CAA Nepal or the person so authorized by the Director General.

9.2.2 The format and the content required for an AOC are provided in **AOCR Appendix-5**. The specimen of General Conditions of AOC is laid down in **AOCR Appendix-6**. The format, content and further guidance on the content for the associated operations specifications are provided in **AOCR Appendix-7**. The AOC and associated authorizations, conditions and limitations, issued by CAA Nepal shall contain all the elements identified in the AOCR. The AOC issued by CAA Nepal shall be complemented with operations specifications which contain authorizations, conditions and limitations to be complied with by the air operator.

9.2.3 **Procedure for the entry of information of in the AOC and Operations Specifications sheets** is laid down in **AOCI Manual Volume I Attachment C**.

9.2.4 **Certification Phase Job Aid AOC-005** at the end of this chapter shall be utilized and completed to confirm prior to recommending issuance of the AOC and associated operations specification.

9.3 PERIOD OF VALIDITY OF AN AOC AND THE ASSOCIATED OPERATIONS SPECIFICATIONS

9.3.1 An AOC and associated Operations Specification shall be valid for two years. The date of issuance and an expiry date are to be entered on an AOC.

9.3.2 In general, an AOC or any portion of an AOC issued by the CAA Nepal remains valid until:

- a) the CAA Nepal amends, suspends, revokes or otherwise terminates the certificate;



- b) the AOC holder surrenders the certificate to the CAA Nepal;
- c) the AOC holder suspends operations for more than 180 days continuously (AOCR Para 8.11.3); or
- d) the expiry date, as applicable.

9.4 IDENTIFICATION OF INDIVIDUAL AIRCRAFT BY NATIONALITY AND REGISTRATION MARKS

9.4.1 Operations specifications include designation of the make, model and series (or master series) of the aircraft that are to be used.

9.4.2 In accordance with the standard format for the operations specifications, the identification of individual aircraft is not included. It is essential that information on the identification of individual aircraft, used by an operator for a particular operation, is maintained up to date and documented in the Operations Manual and Continuing Airworthiness Management Exposition.

9.5 AMENDMENTS TO THE AOC AND THE OPERATIONS SPECIFICATIONS

9.5.1 Any subsequent changes to the operation specified or to the equipment approved for use may necessitate amendments to the operations specifications. It is appropriate that an AOC will itself be a very basic document and that all aspects of the operation that might be the subject of certification changes would be dealt with in the associated operations specifications which would evolve with the operation.

9.5.2 The process for the amendment of operations specifications will be similar to the original certification process, with the exception that in many cases it will be far less complex, dependent upon the subject of the change that necessitates the amendment. Where changes involve new types of operation, new geographical areas or new aircraft, the appropriate level of complexity will have to be applied to the process. Detailed procedures for the addition of a new aircraft type to a certificated Operator's fleet is spelt out in **Chapter 11** of this manual.

9.6 RENEWAL OF AN AOC

9.6.1 The continued validity of an AOC is dependent upon an operator maintaining the requirements for an adequate organization, method of control and supervision of flight operations, training program as well as ground handling and maintenance arrangements consistent with the nature and extent of the operations specified in the AOC and the associated operations specifications, under the supervision of CAA Nepal.



9.6.2 CAA Nepal will conduct continuing surveillance of the operator and thus to continuously determine that the AOC remains valid. Procedures for the establishment and implementation of a Safety Oversight Program are outlined in **AOCI Manual Volume II, Chapter 6 Continuing Safety Oversight – Surveillance for Operations; AOCI Manual Volume III Chapter 1 for airworthiness and Surveillance Policy and Procedure Manual.**

9.6.3 The operator needs to apply for renewal of the AOC at least thirty days prior to the expiration date and the request for renewal shall include any desired changes to the basic information that was submitted prior to the original certification and during the ongoing operations. Such renewal does not involve a complete re-certification procedure and thus will not be an onerous or prolonged process, because of the continuing surveillance exercised by CAA Nepal. **AOCR Appendix 10 “Checklist for AOC Renewal”** shall be utilized for renewal of AOC and **FOD Audit Checklist** will be utilized to audit the organization.

9.6.4 The Operator shall be required to demonstrate compliance of the existing CAA Nepal requirements with a Compliance Checklist. Any amendment to the CAA Nepal requirements shall be reflected by the Operator with a Compliance Checklist. In addition, the **FOS-FORM-CL-107, 108 and 118** shall also be used for verification of compliance to existing CAA Nepal Requirements.

9.7 INTERNATIONAL REGISTER OF AN AOC

9.7.1 ICAO has established the Online Aircraft Safety Information System (OASIS), which is a set of tools designed to collect and share the following aviation data related to aircraft and air operators: aircraft registration, air operator certificates (AOCs), Aircraft Type Designators (Doc 8643), and Designators for Aircraft Operating Agencies, Aeronautical Authorities and Services (Doc 8585). It provides a one-stop access to safety data related to aircraft and operators, allowing the ability to enter, validate and modify the data at source. The AOC application will collect data of the AOC and associated operations specifications to share with other States.

9.7.2 The OASIS application will:

- a) allow CAA Nepal to upload a dataset of required AOC and operations specifications data, complemented by optional data;
- b) provide the uploaded data to CAA Nepal for surveillance purpose and allow defined outputs and searches, as well as timely notices of AOC/operations specifications status and changes;
- c) allow printing of AOC and operations specifications in Annex 6 compliant layout format; and
- d) provide access of uploaded data to the specific operator for validation; and
- e) in the long term, provide to the CAA Nepal a comprehensive set of data that will satisfy the data requirements of other States regarding foreign operators.



9.7.3 Should CAA Nepal decide to participate in the OASIS program, then, after Nepalese air operators conducting international flights are issued or an amendment is made to an AOC and/or related operations specification, CAA Nepal inspectors will log on to the OASIS – AOC application and make the required data entry.

9.8 SURVEILLANCE OF FOREIGN AIR OPERATORS

9.8.1 CAA Nepal shall conduct periodic surveys of foreign air operators as mandated by FOR(A) Para 4.2.2. The procedures and schedules shall be as per **Foreign Carrier Surveillance Procedure Manual and Safety Oversight Program**.

9.9 SURVEILLANCE OF AIR OPERATOR'S FINANCIAL CONDITION

9.9.1 CAA Nepal shall conduct annual surveys of financial condition of air operators as part of its annual Audit as per Safety Oversight Program. The procedures shall be as per the checklist **FOS FORM-CL-118-BA Section O Financial Assessment** and **AOCR Appendix-9**.



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CHECKLIST FOR ISSUE OF OPERATIONS SPECIFICATIONS

1. This checklist is to address the key operational and airworthiness control mechanism for the issue of all Special Operations Approval(s) granted to an AOC holders as specified in the AOC's Operations Specification (Ops Specs).
2. All items must be completed by the respective POI and PAI by indicating **NIL, N/A, YES, NO, SAT or UNSAT**.
3. For Flight Operations Only:

The POI (or assigned FOI) shall conduct an en-route flight inspection to review the operator's continued competence to conduct the special operations approval(s) as provided for in their Ops Spec. On the satisfactory completion of the en-route flight inspection, the POI (or assigned FOI) shall complete the en-route flight inspection form indicating that the operator had demonstrated continued competence to conduct the special operations approval(s) as provided for in their Ops Spec. The completed en-route flight inspection form shall be attached to this checklist for recommendation to the Director, Flight Safety Standards Department for the issue of Ops. Spec.

4. Any additional comments shall be attached to this checklist as a separate sheet.

Note: All required follow actions to any comments must be closed.

Operator:	Operating Base:	AOC No.
Aircraft Type(s):		
EDTO Operations		FOI/AWI sign & date
Continuing Airworthiness:		
1. Are the IFSD rates over the past 12 months on individual fleet within limits?	1.	
2. Any adverse reports on EDTO critical systems.	2.	
3. Are the aeroplanes maintained in accordance with approved maintenance program?	3.	
4. Are there any significant maintenance issues preventing issue of EDTO Ops Specs?	4.	
Flight Operations:		
1. Are you satisfied with the operator's Flight Dispatch support for EDTO?	1.	
2. Are EDTOS flights dispatched in accordance with approved procedures?	2.	
3. For dispatch of flights greater than 60 mins, CAA Nepal must be informed. Are you satisfied with the reporting?	3.	
4. Are there any in-flight diversions in the past 12 months and if so, how many and the reasons for the in-flight diversion(s).	4.	
5. Are the diversions handled satisfactorily?	5.	
6. What's the longest elapse time before passengers and crew are recovered (evacuated)?	6.	
7. Are there any significant issues preventing the issue of EDTO Ops Specs.	7.	
MNPS operations (x-Atlantic)		FOI/AWI sign & date
Continuing Airworthiness:		
1. Are the systems maintained in accordance to an approved maintenance program?	1.	
2. Are there any significant maintenance issues preventing issue of MNPS Ops Spec	2.	
Flight Operations:		
1. Are you satisfied with the operator's Flight Dispatch support for MNPS?	1.	
2. Are MNPS flights dispatched in accordance with approved procedures?	2.	
3. Do the crew cross-check navigation system accuracy with ground nav-aids prior to entry and regular check in flight?	3.	
4. Any adverse report on the navigation, communication, surveillance or ACAS operation in the past 12 months?	4.	



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5. Operators must investigate and correct immediately any LLD and inform CAA Nepal promptly. Was this complied with?	5.	
6. Either HF or SATCOM must be carried for MNPS. Any report of non-compliance?	6.	
7. Are there any significant issues preventing the issue of MNPS Ops Spec	7.	

RVSM operations		FOI/AWI sign & date
<u>Continuing Airworthiness:</u>		
1. Are the RVSM systems maintained in accordance to an approved maintenance program?	1.	
2. Are there any significant maintenance issues preventing the issue of RVSM Ops Spec	2.	
<u>Flight Operations:</u>		
1. Are you satisfied with the operator's Flight Dispatch support for RVSM?	1.	
2. Are RVSM flights dispatched in accordance with approved procedures?	2.	
3. Do the crew conduct altimetry x-check diligently at various stages of flight?	3.	
4. Any TCAS proximity report while operating in RVSM airspace?	4.	
5. Was there any adverse report in the past 12 months on the height-keeping performance capability of any operator's aeroplane approved for RVSM operation?	5.	
6. If so, was any of the TVE, ASE or (LHD) limit exceeded?	6.	
7. Are there any significant issues preventing the issue of RVSM Ops Spec	7.	
<u>RNAV operations: RNAV/RNP10 and RNAV 5</u>		FOI/AWI sign & date
<u>Continuing Airworthiness:</u>		
1. Are the aeroplane equipages maintained in accordance to an approved maintenance program?	1.	
2. Are there any significant maintenance issues preventing issuance of Ops Spec RNAV/RNP 10?	2.	
3. Are there any significant maintenance issues preventing issue of Ops Spec for RNAV 5?	3.	
<u>Flight Operations:</u>		
1. Are the RNAV operations (RNAV10/RNP10 and RNAV5) dispatched in accordance with approved procedures?	1.	
2. Any report of Large Gross Navigation Error (GNE) in the last 12 months?	2.	
3. If so, was it due to crew procedures? Was the remedial action satisfactory?	3.	
4. Any significant issues preventing the issue of RNAV/RNP10 Ops Spec?	4.	
5. Are there any significant issues preventing the -issue RNAV 5 Ops Spec ?	5.	

RNAV operations: RNAV 2, RNAV 1(PRNAV)		FOI/AWI sign & date
<u>Continuing Airworthiness:</u>		
1. Are the aeroplane equipages maintained in accordance to an approved maintenance program?	1.	
2. Are there any significant maintenance issues preventing issue of Ops Spec for RNAV2 and RNAV1?	2.	
<u>Flight Operations:</u>		
1. Are the RNAV operations (RNAV10/RNP10 and RNAV5) dispatched in accordance with approved procedures?	1.	
2. Any adverse report from approach radar in the last 12 months?	2.	
3. If so, was it due to crew procedures?	3.	
4. Did the operator take immediate action, investigate the cause, rectify and make timely report to CAA Nepal?	4.	
5. Are there any significant issues preventing the issue of RNAV2 and RNAV1 Ops Spec?	5.	

RNP operations: RNP 4		FOI/AWI sign & date



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<p><u>Continuing Airworthiness:</u></p> <ol style="list-style-type: none"> 1. Are the aeroplane equipages maintained in accordance to an approved maintenance program? 2. Are there any significant maintenance issues preventing issuance of RNP Ops Spec 	<ol style="list-style-type: none"> 1. 2. 	
<p><u>Flight Operations:</u></p> <ol style="list-style-type: none"> 1. Was there any adverse report of GNE, failure of HF, CPDLC or ADS-C in the past 12 months while operating RNP4 30/30? 2. If so, was it due to crew procedures? 3. Did the operator take immediate action to investigate, rectify and make timely report to CAA Nepal? 4. Was the remedial action satisfactory? 5. Are there any significant issues preventing the issue of RNP 4 Ops Spec? 	<ol style="list-style-type: none"> 1. 2. 3. 4. 5. 	
APV Baro-VNAV (RNP APCH and Baro-VNAV)		FOI/AWI sign & date
<p><u>Continuing Airworthiness:</u></p> <ol style="list-style-type: none"> 1. Are the aeroplane equipages maintained in accordance to an approved maintenance program? 2. Are there any significant maintenance issues preventing issuance of Ops Spec for APV Baro-VNAV? 	<ol style="list-style-type: none"> 1. 2. 	
<p><u>Flight Operations:</u></p> <ol style="list-style-type: none"> 1. Was there any TSE or ASE report in the past 12 months? 2. If so, was it due to crew procedures? 3. Did the operator take immediate action, investigate and remedy the error and make timely report to CAA Nepal? 4. Any significant issues preventing the issue of for APV Baro-VNAV? 	<ol style="list-style-type: none"> 1. 2. 3. 4. 	

LVP, ILS CATEGORY II, CATEGORY III		FOI/AWI sign & date
<p><u>Continuing Airworthiness:</u></p> <ol style="list-style-type: none"> 1. Are the aeroplane equipages maintained in accordance to an approved maintenance program? 2. Are there any significant maintenance issues preventing issuance of Ops Spec for ILS CAT II? 3. Are there any significant maintenance issues preventing issuance of Ops Spec for ILS CAT III? 	<ol style="list-style-type: none"> 1. 2. 3. 	
<p><u>Flight Operations:</u></p> <ol style="list-style-type: none"> 1. LVP concerns mainly with flight operation, are you comfortable with crew competency? 2. Any adverse report from ATC authorities wrt to CATII or CATIII operations? 3. If so, was it due to crew procedures? 4. Are you satisfied with the corrections taken for the deficiency? 5. Any significant issues preventing the issue of of Ops Spec for LVP? 6. Any significant issues preventing the issue of of Ops Spec for CAT II? 7. Any significant issues preventing the issue of for CAT III? 	<ol style="list-style-type: none"> 1. 2. 3. 4. 5. 6. 7. 	

Controller Pilot Data Link Communications /Automatic Dependent Surveillance–C (CPDLC / ADS-C)		FOI/AWI sign & date
<p><u>Continuing Airworthiness:</u></p> <ol style="list-style-type: none"> 1. Are the aeroplane equipages maintained in accordance to an approved maintenance program? 2. Are there any significant maintenance issues preventing issue of Ops Spec for CPDLC / ADS-C operation? 	<ol style="list-style-type: none"> 1. 2. 	



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Flight Operations:		
1. Was there any adverse report on CPDLC or ADS-C operations in the past 12 months?	1.	
2. If so, was it due to crew procedures?	2.	
3. Did the operator take immediate action to investigate, and review procedures and training where necessary?	3.	
4. Was the remedial action satisfactory?	4.	
5. Any significant issues preventing the issue of CPDLC / ADS-C operation?	5.	

Previous Inspections and Audits within the last 12 months		AWI sign & date
--	--	----------------------------

Airworthiness:		
1. Were the previous inspections and audits satisfactory?	1.	
2. Were there any major findings relating to the above special operations approval(s)?	2.	
3. If so, specify the operation(s) and describe what corrective action(s) taken?	3.	
4. Are you satisfied with the corrective actions taken?	4.	

Previous Inspections and Audits within the last 12 months		FOI sign & date
--	--	----------------------------

Flight Operations:		
1. Were the audits satisfactory?	1.	
2. Were there any major findings with regard to the above-named operations?	2.	
3. If so, what are they and describe the correction action(s) taken?	3.	
4. Are you satisfied with the corrective actions taken?	4.	

SAMPLE

Comments and recommendation on issue of the above Operations Specifications

During the enroute flight inspection on(date).... onFlight Number (sector),the crew were checked on their knowledge of the procedures required for *RVSM* and *RNP 10* operations.

The crew were found to be complying with the required *RVSM* procedures including *MEL* requirements for *RVSM* and *RNP 10* operations.

The ATC flight plan was also correctly filed for *RVSM* operations

Recommendation:

...XYZ Airlines.... has demonstrated their capability for continued *RVSM* and *RNP 10* operations as per its operations specifications.

Signature of PAI and date

Signature of FOI and date

Recommendation:

Approved/Not Approved*

Signature of Chief, Flight Operation Division

Signature of Chief Airworthiness Inspection Division

Date:

Date:

* Delete as applicable



10. LEASING

10.1 GENERAL

Definitions:

Lessee – means the party to which the aircraft is leased

Lessor – means the party from which the aircraft is leased

Dry lease – means the lease of an aircraft without crew, operated under the AOC of the lessee (custody and the operational and commercial control of the lessee) using the lessee's airline designator code and traffic rights.

Wet lease – means a lease of an aircraft crew, operated under the AOC of the lessor, with commercial control of the lessee and using the lessee's airline designator code and traffic rights.

Damp lease – means a wet lease of an aircraft where the aircraft is operated under the AOC of the lessor, with the flight crew and possibly part of the cabin crew being provided by the lessor, and part or all of the cabin crew provided by the lessee.

10.1.1 While CAA Nepal permits the lease of foreign registered aircraft by Nepalese air operators there are a number of legal and practical operational problems, which will be considered in the certification of an operator proposing to utilize leased aircraft, or when an operator, in possession of an AOC, proposes to act as a lessor or lessee or otherwise cooperate with another operator. These practices are economically driven and advantageous to operators. However, CAA Nepal staff is responsible to ensure that safety takes precedence over any economic issues presented by the operator.

10.1.2 In recent years the practice of leasing aircraft has come into wide usage. Many leases involve aircraft owned by individuals or companies that are registered in one State and leased to operators from another State.

10.1.3 Unless suitable arrangements are made between the States involved, a lease may create complex legal, safety, enforcement and practical problems for either the State of Registry of the aircraft or the State of the Operator, or both of these States. These problems arise because of possible uncertainty concerning which party is responsible for the safe operation and airworthiness of the aircraft, and uncertainty concerning the regulations/requirements of which State are applicable. The relevant authorities are responsible for resolving such uncertainties before a lease takes effect. The determination of responsibilities is a factual issue that depends upon the terms of the lease or other agreements. Determining which party to a lease is responsible for the operational control and airworthiness will in turn clarify the requirements of which State



will apply, and what oversight responsibilities a particular State has for the operation of a leased aircraft. In some instances, the oversight responsibilities of the State of Registry and the State of the Operator may overlap. Some leases run for a long term while others are for short periods to cover temporary requirements.

10.1.4 In addition to the problems presented to CAA Nepal, questions also arise concerning what steps can be taken to protect the financial interests and the assets of the lessor. This relates primarily to whether the laws and requirements of the State of Registry and its surveillance capabilities are adequate to cover the interests of the lessor in situations where the lessee, the operator of the aircraft, is from another State. Where the State of Registry and the State of the Operator are adequately carrying out their responsibilities for safety oversight, these actions should tend to protect the lessor's interests in a leased aircraft.

10.1.5 In Nepal, CAA Nepal is responsible for ensuring that every aircraft on CAA Nepal registry comply with the detailed technical and safety requirements promulgated by CAA Nepal, wherever such aircraft may be operated. However, where Nepalese registered aircraft are operated under a lease arrangement outside of Nepal it will be difficult for the CAA Nepal to properly carry out safety oversight, particularly in international commercial air transport. These responsibilities in turn create serious surveillance and enforcement problems for the Nepal because these leased aircraft are frequently operated in distant areas where CAA Nepal personnel from Nepal would find it difficult to conduct safety inspections. Compliance with the pertinent safety standards and requirements of Nepal may therefore diminish. Violations of requirements may occur by design or from ignorance and be unknown to CAA Nepal. As a result, it is unlikely that enforcement action would be taken with respect to such leased aircraft.

10.1.6 ICAO became increasingly aware of the foregoing problems and developed a provision (Article 83bis) that would permit the transfer of certain responsibilities (Articles 12, 30, 31, 32 (a)) from the State of Registry to the State of the Operator in case of a lease to more effectively deal with this matter.

10.1.7 The primary purpose of the transfer of certain functions under an Article 83 bis agreement should be to enhance safety oversight capabilities by delegating responsibility for oversight to the State of the Operator, recognizing that this State is in a better position to carry out these responsibilities. For States to enter into an Article 83 bis agreement both will have had to ratify Article 83 bis.

10.1.8 However, before agreeing to transfer any functions, CAA Nepal shall determine that the State of the Operator is fully capable of carrying out the functions to be transferred. This determination can be accomplished by various means, including a safety oversight audit (SOA) conducted by CAA Nepal or through review of reports of SOAs conducted either by ICAO, under the Universal Safety Oversight Audit Programme (USOAP), or by another Contracting State. Full information on USOAP audit results can be found on the ICAO SOA Secure Site which is accessible to all States. The SOA Secure Site



was developed to provide all Contracting States with the ability to access safety critical information collected from Contracting States that completed the SAAQ and compliance checklists in preparation for the USOAP audit and from the safety oversight USOAP audits. This secure site contains final SOA reports including the audit findings, recommendations, the audited State's action plan and comments, as well as the comments of the SOA Section on a State's action plan. There may be circumstances where States are unable to reach agreement on the delegation and acceptance of responsibilities as provided for in Article 83 bis or where delegation is not an alternative that is acceptable to the parties involved. In such circumstances CAA Nepal would retain responsibility for maintaining proper surveillance of aircraft on its registry when operated under lease arrangements under the authority of another State.

10.1.9 A model agreement was developed on the basis of agreements registered with ICAO and taking into account other related information. This model agreement is provided in DOC 8335, Manual for Procedures for Operations Inspection, Certification and Continued Surveillance in Attachment B to Part V. CAA Nepal inspectors will use this format for development of such an agreement with inclusion of only the referenced functions and duties of the State of Registry that may be subject to such a transfer to the State of the Operator. Model agreement is presented in **AOCI Manual Vol II Appendix 21 "Model Agreement Between States On The Implementation Of Article 83 bis Of The Convention 28"**.

10.1.10 Agreements or arrangements for the transfer of responsibilities under the terms of Article 83 bis are required to be registered with ICAO. Such agreements registered with ICAO can be found on the ICAO Public Website (<http://cfapp.icao.int/dagmar/main.cfm>) by searching for "All Signatories" and "Article 83 bis".

10.1.11 Where delegation of responsibility is not a viable solution, CAA Nepal will ensure that it has in place technical staffing and funding to maintain acceptable surveillance over the operation of aircraft on its registry that are leased to operators from other States.

10.1.12 This general summary concerning leased aircraft is intended primarily to acquaint CAA Nepal staff and operators with problems that may arise where an operator, using leased aircraft registered in another State, may have to comply with a confusing combination of:

- a. regulations of the State of Registry;
- b. regulations of the State of the Operator; and
- c. the operating regulations and rules of a third State over whose territory operations may be conducted.

10.1.13 When accepting or approving an aircraft lease agreement, the inspector(s) shall verify at least the following topics:

- a. Flight crew training,



- b. Cabin crew training,
- c. Operational control,
- d. Dispatch and flight watch, and
- e. Crew members scheduling.
- f. Airworthiness Aspect on following:
 - Aircraft type with serial number and registration.
 - Ensure if the Certificate of Airworthiness and Radio Mobile Licence is foreign or Nepalese? if its foreign recognition of same.
 - Who is responsible for airworthiness of aircraft?
 - Does the lease consider who signs the Certificate of Release to service?
 - Ensuring AD compliance.
 - Completion of maintenance program tasks.

10.1.14 Further to 10.1.13, the inspector(s) shall verify the following approvals as required in coordination with Airworthiness and Personnel Licensing Divisions:

- a. The method for establishing minimum flight altitudes;
- b. The method of determining aerodrome operating minima;
- c. Flight time, flight duty periods and rest periods;
- d. EDTO;
- e. Aircraft-specific minimum equipment list (MEL);
- f. Performance-based navigation operations;
- g. MNPS operations;
- h. RVSM operations;
- i. Procedures for electronic navigation data management;
- j. Training in the transport of dangerous goods,
- k. Pilot-in-command area, route and aerodrome qualifications; and
- l. Use of flight simulation training devices.

10.2 DRY LEASE PROCEDURES

10.2.1 Under most dry lease agreements the lessee, who provides the crew, is the accountable party who exercises operational control over the aircraft with all the attendant responsibilities. If the lessee does not have operational control of the leased aircraft under the lease agreement, the responsible authority needs to carefully evaluate the arrangements to ensure that the operation can be conducted with an adequate level of safety in accordance with the applicable requirements.

10.2.2 When an applicant for an AOC, or an existing operator, wishes to use dry leased aircraft, the applicant or operator shall provide CAA Nepal with the following information:

- a. the aircraft Type, Model and Serial Number;
- b. the name and address of the registered owner;
- c. State of Registry, nationality and registration marks;
- d. certificate of airworthiness and statement from the registered owner that the aircraft fully complies with the airworthiness requirements of the State of Registry;



- e. name, address and signature of lessee or person responsible for operational control of the aircraft under the lease agreement, including a statement that such individual and the parties to the lease agreement fully understand their respective responsibilities under the applicable requirements;
- f. copy of the lease agreement or description of lease provisions;
- g. duration of the lease; and
- h. areas of operation.

10.2.3 CAA Nepal inspectors will review the application, and contact other competent authorities as necessary to verify accuracy and completeness. CAA Nepal will make the determination as to which party to the lease agreement is in fact responsible for the conduct of the operation. In making this determination, CAA Nepal will consider the responsibilities of the parties under the lease agreement for:

- a. flight crew member licensing and training;
- b. cabin crew member training;
- c. airworthiness of the aircraft and the performance of maintenance;
- d. operational control, including dispatch and flight following;
- e. scheduling of flight crew and cabin crew members; and
- f. ensuring party responsible for airworthiness of aircraft.
- g. signing the certificate of release to service.
- h. ensuring AD compliance
- i. ensuring the completion of maintenance program tasks

DRY LEASE OF AIRCRAFT REGISTERED IN NEPAL

10.2.4 This is a lease arrangement determined to be a dry lease to an operator of Nepal, involving an aircraft registered in Nepal that possesses a valid certificate of airworthiness issued by CAA Nepal, which is also the State of Registry. If the dry lease arrangement is acceptable to CAA Nepal, the operations specifications and the operations manual of the lessee shall be amended to provide at least the following data:

- a. names of the parties to the lease agreement and the duration thereof;
- b. nationality and registration marks of each aircraft involved in the agreement;
- c. type of aircraft to be used;
- d. areas of operation; and
- e. regulations applicable to the operation.

[Note – The operations specifications would provide the data requested in c) and d). Information in a), b) and e) can be provided in the operations manual].

DRY LEASE OF AIRCRAFT REGISTERED IN OTHER STATES

10.2.5 In cases where the dry lease involves an aircraft of a nationality different from Nepal, the regulatory and compliance problems become more acute. As with other applications for the use of dry leased aircraft, CAA Nepal require that the operator, who is the lessee, provide CAA Nepal with the information required by 10.2.2 above.

10.2.6 When the State of Registry is not Nepal, it may be beneficial for the State of Registry and Nepal to enter into an agreement regarding the transfer of all or part of the



functions, duties or responsibilities of the State of Registry under the Convention, to Nepal. [**Note** – Nepal has ratified 83 bis and has regulations to permit its use]. Where transfer of functions, duties or responsibilities cannot be achieved then CAA Nepal will make a determination as to whether the State of Registry can reasonably meet its oversight responsibilities. When the determination is made that State of Registry cannot carry out its oversight functions in accordance with the Convention, and it cannot reach a satisfactory agreement with Nepal on the transfer of its oversight functions pursuant to Article 83 bis, the use of aircraft under dry lease arrangements will not be permitted under these conditions.

10.2.7 Before CAA Nepal agrees to accept the functions, duties or responsibilities of the State of Registry, he must determine that CAA Nepal has the resources and expertise to fulfill these obligations.

10.2.8 Where a dry lease has been agreed, but no delegation of responsibility has been agreed to between the States concerned, the lessee will be required to show that:

- a. the flight crew hold current valid and appropriate certificates or licences issued or validated by the State of Registry;
- b. the aircraft will be maintained in accordance with the airworthiness requirements of the State of Registry; and
- c. the aircraft will be operated in compliance with the applicable regulations of the State of Registry and Nepal, the operator's AOC, the associated operations specifications and the operations manual and CAME.

10.2.9 Several practical problems confront an operator who arranges a Dry Lease for an aircraft registered in another State. In order to satisfy the requirements of Article 32 (a) of the Convention and continuing airworthiness requirements, the operator is required to use flight crew and maintenance personnel who possess current certificates or licences issued or rendered valid by the State of Registry. This may be accomplished by employing persons who already possess such certificates or licences. Alternatively, if this is not feasible or desirable, the operator needs to:

- a. arrange for personnel already employed to take the necessary written and flight tests or practical examinations in order to obtain appropriate certificates or licences from the State of Registry. This may involve sending flight crew and maintenance personnel to the State of Registry for the requisite written examinations.
- b. Upon successful completion of these tests, arrangements need to be made for these individuals to take the required flight tests or practical examinations leading to appropriate certification or licensing by the State of Registry of the leased aircraft. In this context the operator may have to pre-position personnel with the aircraft to be leased in the State of Registry and make appropriate arrangements for the conduct of written and practical tests and the issue of certificates and licences.

10.2.10 Another option to overcoming the problem mentioned in 10.2.9 above, is to arrange for the State of Registry to validate licences or certificates issued by CAA Nepal,



or by another State, to the operator's personnel. Such validations would be subject to requirements established by the State of Registry.

10.2.11 Once the necessary certification, licensing or validation of certificates and licences has been accomplished, CAA Nepal is responsible for ensuring that these individuals satisfy recent experience requirements and maintain their licence qualifications required under the regulations of the State of Registry.

10.2.12 The question of compliance with the airworthiness requirements of the State of Registry is another serious problem inherent in a Dry Lease arrangement.

10.2.13 CAA Nepal needs to carefully evaluate all aspects of a Dry Lease arrangement before authorizing the use of such aircraft by an operator under CAA Nepal's jurisdiction. Once authorized, it is especially important for CAA Nepal to carefully monitor the operations and maintenance of the leased aircraft. Should CAA Nepal have reason to believe that an operator is not complying with the regulations of the State of Registry, the competent authority of the State of Registry shall be advised and a request made that the matter be investigated.

10.2.14 Where Nepal has accepted a delegation of responsibility from the State of Registry, CAA Nepal needs to ensure that the operator is complying fully with its requirements with respect to the dry leased aircraft.

10.3 WET LEASE

GENERAL

10.3.1 In Wet Leases the lessor normally exercises operational control of the aircraft. A Wet Lease situation therefore means that an aircraft will be operated under an AOC issued by the State of the lessor. In this case the State of the Operator may also be the State of Registry of the leased aircraft.

10.3.2 The terms of a Wet Lease agreement are important since they may obscure the true relationship between, and the obligations of, the parties to the agreement. Additional information may be needed by the authorities concerned. The actual lease arrangements and other relevant information need to be examined by the respective authorities responsible for monitoring the operation of the wet leased aircraft. The final determination of responsibility for the exercise of operational control will depend upon a careful examination of all the factors in the particular situation.

10.3.3 Where both parties to a Wet Lease agreement hold AOCs, serious factual questions arise concerning which party, the lessor or the lessee, is actually responsible for the operation and compliance with the applicable safety regulations. The responsible authority or authorities, if the lessor and lessee are from different States, need to resolve such questions before operations involving use of the wet leased aircraft can be commenced.



DETERMINATION OF RESPONSIBILITY FOR OPERATIONAL CONTROL AND SAFETY

10.3.4 The decision as to whether the lessor or the lessee is responsible for the safety of the operation will be made by CAA Nepal. Consultation and coordination with counterparts from the State of the Operator of the lessor of the aircraft, who are assigned to work with the lessor, are most important in this decision process. The decision to be made is whether the aircraft should be operated under the lessor's AOC and associated operations specifications, or whether it should be operated under the authority of the lessee.

10.3.5 In Nepal, if a party, the lessor, leases an aircraft to another and also provides the flight crew, maintenance and fuel for the aircraft, the lessor of the aircraft is regarded as the operator. If the lessor makes a charge for the use of the aircraft and related service, the operation of the aircraft will be subject to the applicable regulations of the State of the Operator of the lessor. Operational control of the aircraft may be the responsibility of the lessor even though the lease may be characterized in terms similar to those of a Dry Lease, expressly stating that services such as flight following, communications and weather information, are to be performed by the lessee.

10.3.6 In the rare event that there is a determination that the lessee will be the operator of a wet leased aircraft under a Wet Lease agreement, CAA Nepal needs to determine whether the lessee can effectively maintain operational control of the aircraft. In such cases, the training and supervision of the flight crew, including how they are to be integrated into the lessee's operations, become critical considerations. If it is apparent that the lessee will not be able to maintain effective operational control under the terms of the agreement, CAA Nepal will require that those terms be modified, otherwise he will not approve the proposed wet lease.

10.3.7 Additional complications may arise when an aircraft, dry leased to an operator, is registered in a State (State of Registry) different from the State (State of the Operator) responsible for the operator currently using that aircraft under the Dry Lease, and this operator is proposing to further lease the aircraft, as a Wet Lease, to another operator, possibly in a third State. In such cases there may be an agreement under Article 83 bis between the State of Registry of the aircraft and the State of the Operator, or the State of Registry may seek such an agreement because of a proposed Wet Lease to an operator from a third State. For example, an authority may conclude that although it can effectively carry out the State of Registry responsibilities when the aircraft is dry leased to an operator in another State, it cannot effectively execute those same responsibilities when that operator decides to Wet Lease the aircraft to a lessee in a third State.

10.3.8 In such cascading subleases, operational control resides with the operator holding the AOC under which the aircraft is operated. The State of the Operator is responsible for safety oversight of the operation.



10.3.9 Practical safety problems develop in Wet Lease operations when the lessor provides only the Flight Crew while the lessee provides the Cabin Crew. In such cases, the Cabin Crew members, employed by the lessee, will not be familiar with the aircraft, associated emergency equipment, communications and the emergency procedures used by the flight crew. In these circumstances the lessee's Cabin Crew members will need to receive additional training, under the approved training program of the lessor, with respect to their emergency duties on the particular aircraft. In addition, they may have no knowledge of the requirements of the lessor's State of the Operator with respect to Flight and Duty Time Limitations and the provision of rest periods, and to the performance of their duties and responsibilities aboard the wet leased aircraft. These aspects need also to be taken into account.

SHORT-TERM WET LEASE, CHARTER OR SUB-CHARTER

10.3.10 Some wet leasing operations, charters or sub-charters are organized for short terms at very short notice, for example, where an operator wishes to replace an unserviceable aircraft on a particular service and is forced to contract with another operator for that service to be operated.

10.3.11 In order to facilitate operations and such leases, information on the need for this type of arrangement and the possible lessors should be sought by CAA Nepal from the concerned operators such that appropriate arrangements could be put in place to enable approval for an actual Short-Term Wet Lease or charter to be given very quickly.

10.3.12 In the case of a Short-Term Wet Lease, charter or sub-charter, the lessor will retain all responsibilities and operational control.

Note– Further information is available in the ICAO Manual on the Regulation of International Air Transport (Doc 9626) and in the ICAO circulars Guidance on the Implementation of Article 83 bis of the Convention on International Civil Aviation (Cir 295) and Implications of Airline Code sharing (Cir 269).

10.4 DAMP LEASE

10.4.1 A damp lease is generally understood to be a wet lease of an aircraft where the aircraft is operated under the AOC of the lessor, with the flight crew and possibly part of the cabin crew being provided by the lessor. Part or all of the cabin crew is provided by the lessee. In such case, the State of the Operator should ensure that both the flight and cabin crew are trained to use common communications and emergency procedures and that the cabin crew receives appropriate training.

10.4.2 This is in view that practical safety problems develop in damp lease operations when the lessor provides only the flight crew while the lessee provides the cabin crew. In such cases, the Cabin Crew members, employed by the lessee, will not be familiar with the aircraft, associated emergency equipment and the emergency procedures used by the flight crew.



10.4.3 In these circumstances the lessee's Cabin Crew members will need to receive additional training, under the approved training program of the lessor, with respect to their emergency duties on the particular aircraft. In addition, they may have no knowledge of the requirements of the State of the lessor with respect to flight and duty time limitations and the provision of rest periods, and to the performance of their duties and responsibilities aboard the wet leased aircraft. These aspects need also to be taken into account.



CHECKLIST OF FACTORS TO BE CONSIDERED IN REACHING DECISIONS TO APPROVE OR DISAPPROVE THE USE OF LEASED AIRCRAFT*

No.	Topic	Supporting and Reference Docs (Titles)	Verified by Inspector (for CAA Nepal use)
1.	In every leasing situation, determine:		
1.1	which States are responsible for which aspects of safety oversight;		
1.2	which operator is responsible for complying with the safety standards established by the Chicago Convention and its Annexes;		
1.3	what measures are necessary for the safe operation of the leased aircraft (e.g. crew familiarization / licence validation, etc.);		
1.4	if an agreement under Article 83 <i>bis</i> would be effective and appropriate. If so, decide:		
1.4.1	which States will be involved;		
1.4.2	which safety functions will be transferred; and		
1.4.3	which aircraft will be included?		
1.4.4	Is the Certificate of Airworthiness and Radio Mobile Licence Nepalese or Foreign? If foreign, recognition of same?		
1.4.5	Ensure following during approval of lease agreement: a. who is responsible for the airworthiness of aircraft? b. signing of Certificate of Release to service is considered. c. ensuring AD compliance. d. completion of maintenance program tasks.		
1.4.6	Verify in the agreement or in another document which of the two parties has the responsibility for the notification to ICAO.		
2	Establish the types of leases that can be approved or need not be regulated, such as:		
2.1	financial and operating leases of non-airline entities;		



11. ADDITION OF A NEW AIRCRAFT TYPE TO A CERTIFICATED OPERATOR'S FLEET

11.1 GENERAL

11.1.1 The addition of a new aircraft type to a certificated operator's fleet requires many of the same inspections, reviews, demonstrations, authorizations, and approvals by CAA Nepal as in the case for the original issuance of an AOC. The operator may not commence revenue operations with the new aircraft type until all of the provisions of paragraphs 11.2 through 11.5 below have been met.

11.1.2 The entire five-phase process must be completed for the addition of a new type as per AOCI Manual Volume I.

11.2 DOCUMENT REVIEW

At least 3 months prior to the proposed introduction of the new aircraft type to revenue operations, the operator must submit the following documents (which are not limiting) for review and approval as required:

- A revised or updated **Operations Manual (Part A; Part C and Part D)** which incorporates new information, guidance, and instructions pertaining to the new aircraft type and reflects the current operating environment of the operator.
- **Part B of the Operations Manual** for the new aircraft type either developed specifically by the operator or adopted directly from the manufacturer, which contains information on aircraft systems, limitations, performance, and normal and abnormal operating procedures for the aircraft.
- A **Minimum Equipment List (MEL)** for the new aircraft type which reflects the Master Minimum Equipment List approved by the State of Design and is tailored to the specific aircraft model and operating environment of the operator. This document requires signature and stamp of approval by the CAA Nepal. The MEL shall be approved by the CAA Nepal after receiving recommendation from the Flight Operations Division and the Airworthiness Inspection Division.
- A **Configuration Deviation List** for the new aircraft type which contains information regarding flight with missing aircraft components.
- All **normal, abnormal, and emergency checklists** for the new aircraft type, including abbreviated checklists for use in the cockpit. These checklists must be approved by the CAA Nepal.



- **Passenger briefing cards** in English and other appropriate languages.
- A revised **Cabin Crew Manual** or other suitable reference for Cabin Crew concerning the configuration of the new aircraft type, location and operation of installed cabin equipment, and duties and responsibilities during normal and abnormal operations.
- **Weight and balance** information and procedures
- **Airport Analysis charts** or equivalent reference material for use by aircrew for determining maximum gross takeoff and landing weights for *specific* airports and runways; taking into account obstacle clearance, runway length and slope, aircraft configuration, and current meteorological conditions.
- **Ground and Flight Training Programs** for Flight and Cabin Crew members and Flight Dispatchers/Flight Operations Officers.
- **Continuing Airworthiness Management Exposition** which incorporates new information, guidance, and instructions pertaining to the new aircraft type and reflects the current operating environment of the operator. Detailed procedures for the review of CAME are contained in **AOCI Manual Volume III Chapter 2 Continuing Airworthiness Management Exposition**.
- The **maintenance program & reliability program** for the new aircraft type must be submitted to and approved by the Airworthiness Inspection Division. Detailed procedures for the review of maintenance program are contained in **AOCI Manual Volume III, Chapter 3 Maintenance Program**. Furthermore, if applicable, reliability program must be submitted to and approved by the Airworthiness Inspection Division. Detailed procedures for the review of reliability program are contained in **AOCI Manual Volume III, Chapter 4 Reliability Program**.
- **Aircraft Flight Manuals:** Flight manuals are required to be provided specific to individual aircraft and are subject to the control of the State of Registry. Arrangements for the administration control and amendment of copies of the flight manuals shall be examined together with the means for providing aircraft performance and limitations information to the flight crew. The Flight Manual shall contain at least the information required by NCAR Chapter E.4. **Detailed procedures for the review and approval of an AFM are contained in AOCI Manual Volume II, Chapter 1 para 1.4.2 of this manual and Airworthiness Inspector Handbook Part-I Chapter 25.**
- **Training manuals for ground personnel and maintenance personnel:** Training manuals are required for maintenance and ground personnel. These shall cover all aspects of initial and recurrent training and conversion and upgrading training.
- **Maintenance contracts and other maintenance arrangements:** when maintenance arrangements are contracted, there should be a formal contract to ensure that the



maintenance is carried out in accordance with CAME, and aircraft are maintained in accordance with the approved maintenance program. These maintenance contracts and other maintenance arrangements contracts needs to be approved by CAA Nepal. Normally, these maintenance contracts are part of CAME.

11.3 DEMONSTRATIONS

The following demonstrations must be successfully completed by the operator for the new aircraft type:

- Prior to the first revenue flight, proving flight(s) shall be conducted which demonstrate the ability of the operator to safely operate the new aircraft type on a day to day basis. The operator shall submit a proposed proving flight plan which contains the number of flights, dates, crew composition, and destinations. The proving flight shall be carried out as per procedure laid down in **AOCI Manual Volume II Chapter 5**.
- During proving flight, the inspection of the aircraft shall be carried out as per AOCI Manual Vol III.
- Emergency evacuation and ditching drills, if deemed required, should be conducted to demonstrate the ability of the Cabin Crew to safely evacuate passengers and utilize aircraft emergency equipment.

11.4 TRAINING

All crew members and maintenance personnel must receive the full range of technical training before operations commence. All crewmembers should receive training on duties during emergencies and on operation of emergency equipment installed on the aircraft. Cabin Crew shall receive hands-on training in door operation and deployment of escape slides, if applicable. All maintenance personnel shall receive appropriate training as per their CAME and its associated manuals. Training records for all crew members and maintenance personnel should be verified.

11.5 ISSUANCE OF NEW OPERATIONS SPECIFICATIONS

A new Operations Specifications for the new aircraft type shall be issued to reflect the addition of the new aircraft type being operated. Issuance of the new Operations Specifications to the operator represents formal approval for the operator to commence revenue operations with the new aircraft type. **Procedure for the entry of information of in the AOC and Operations Specifications sheets** in laid down in **Attachment C**.



11.6 INSPECTIONS

In addition to the manual review and approvals outlined in 11.2 above, CAA Nepal must conduct the following inspections to ensure that the operator is fully prepared to operate the new aircraft type:

- Inspections of each transit or line station must be conducted to ensure that ground personnel are adequately trained to support the new aircraft type and that support equipment and facilities are adequate for the operation. Transit stations may be inspected during proving flights or as separate events prior to the first revenue flight.
- The Dispatch/Operational Control center should be inspected to ensure adequacy of flight planning, briefing, and record-keeping associated with the new aircraft type.
- Continuing Airworthiness Management Organizations should be inspected to ensure continuing airworthiness of aircraft is maintained as per NCAR Part-M.

11.7 CHECKLISTS

Checklists used for the five phases for an initial AOC Ops Specs issuance shall be used for the issuance of an Ops Spec for the addition of a new type.



12. INCIDENT REPORTING SYSTEMS

This section contains policy, direction, and guidance to inspectors for review, evaluation, and acceptance of incident reporting systems.

12.1 INCIDENT REPORTING SYSTEMS

12.1.1 INTRODUCTION TO REPORTING SYSTEMS

- A. A great deal is learned about safety deficiencies from accident investigations. Fortunately, aviation accidents are rare events. They are, however, generally investigated more thoroughly than incidents. When safety initiatives rely exclusively on accident data, the limitations of small samples apply. As a result, the wrong conclusions may be drawn, or inappropriate corrective actions taken.
- B. Research showed that the number of incidents is significantly greater than the number of accidents for comparable types of occurrences. The causal and contributory factors associated with incidents may also culminate in accidents. Often, only good fortune prevents an incident from becoming an accident. Unfortunately, these incidents are not always known to those responsible for reducing or eliminating the associated risks. This may be due to the unavailability of reporting systems, or people not being sufficiently motivated to report incidents.

12.1.2 VALUE OF REPORTING SYSTEMS

- A. Recognizing that knowledge derived from incidents could provide significant insights into safety hazards, several types of incident reporting systems have been developed. Depending on the type of reporting program, a rich source of data for safety analysis may be available. Although these occurrences may not be investigated to any depth, the anecdotal information they provide can offer meaningful insight into the perceptions and reactions of pilots, cabin crew members, mechanics and air traffic controllers.
- B. Safety reporting systems should not just be restricted to incidents, but should include provision for the reporting of hazards, i.e. unsafe conditions which have not yet caused an incident. For example, some organisations have program for reporting conditions deemed unsatisfactory from the perspective of experienced personnel (Unsatisfactory Condition Reports). In some States, Service Difficulty Reporting (SDR) systems are effective in identifying airworthiness hazards. Aggregating data from such hazard and incident reports provides a rich source of experience to support risk management programs.
- C. Data from Incident Reporting Systems can facilitate an understanding of the causes of hazards, help define intervention strategies, and the effectiveness of interventions. Depending on the depth to which they are investigated, incidents



can provide a unique means of obtaining firsthand evidence on the factors associated with mishaps from the participants themselves. Reporters can describe the relationships between stimuli and their actions. They may provide their interpretation of the effects of various factors affecting their performance, such as fatigue, interpersonal interactions and distractions. Furthermore, many reporters are able to offer valuable suggestions for remedial action. Incident data have also been used to improve operating procedures, display and control design, and provide a better understanding of human performance associated with the operation of aircraft and air traffic control.

12.1.3 ICAO REQUIREMENTS

ICAO requires that States establish a mandatory incident reporting system to facilitate collection of information on actual or potential safety deficiencies. In addition, States are encouraged to establish a voluntary incident reporting program, adjusting their laws, requirements and policies so that the voluntary program:

- A. Facilitates the collection of information that may not be captured by a mandatory incident reporting system;
- B. Is non-punitive; and
- C. Affords protection to the sources of the information.

12.2 TYPES OF INCIDENT REPORTING SYSTEMS

- A. In general, an incident involves an unsafe, or potentially unsafe, occurrence or condition that does not involve serious personal injury or significant property damage; that is, it does not meet the criteria for an accident, but could have.
- B. When an incident occurs, the individual(s) involved is required to submit a report as per NCAR Chapter C.9; NCAR M.A.202; NCAR 145.A.60 and FOR(A) 3.3.7; FOR(H) 1.3; DGHR Chapter 13.2.

12.2.1 MANDATORY INCIDENT REPORTING SYSTEM (MIRS) / MANDATORY OCCURRENCE REPORTING SYSTEM (MOR)

- A. A company should establish a mandatory incident reporting system or mandatory occurrence reporting system to facilitate the collection of information on actual or potential safety deficiencies, including all regulatory requirements.
- B. In a mandatory system, people are required to report certain types of incidents. This necessitates detailed requirements and procedures outlining who shall report and what shall be reported. The number of variables in aircraft operations is so great that it is difficult to provide a comprehensive list of items or conditions which should be reported.



1. For example, loss of a single hydraulic system on an aircraft with only one such system is critical. On a type with three or four systems, it may not be.
2. A relatively minor problem in one set of circumstances can, in different circumstances, result in a hazardous situation.
3. However, the rule should be: If in doubt — report it.

Note: For details on occurrence reporting, refer to **NCAR Chapter C.9; NCAR M.A.202; NCAR 145.A.60 and FOR(A) 3.3.7; FOR(H) 1.3; DGHR Chapter 13.2; CAA Nepal guidance on occurrence reporting.**

- C. Because mandatory systems deal mainly with “hardware” matters, they tend to collect more information on technical failures than on the Human Factor aspects. To help overcome this problem, CAA Nepal with well-developed mandatory reporting systems has introduced voluntary incident reporting systems aimed specifically at acquiring more information on the human factor aspects of occurrences.

12.2.2 VOLUNTARY INCIDENT REPORTING SYSTEMS (VIRS)

- A. Voluntary incident reporting systems to supplement the information obtained from mandatory reporting systems. In such systems, the reporter, without any legal or administrative requirement to do so, submits a voluntary incident report. In a voluntary reporting system, CAA Nepal may offer an incentive to report.
- B. For example, enforcement action may be waived for unintentional violations that are reported. The reported information should not be used against the reporters, i.e. such systems must be non-punitive to encourage the reporting of such information.

12.2.3 CONFIDENTIAL REPORTING SYSTEMS (CRS)

- A. Confidential reporting systems aim to protect the identity of the reporter. This is one way of ensuring that voluntary reporting systems are non-punitive.
- B. Confidentiality is usually achieved by de-identification, often by not recording any identifying information of the occurrence. One such system returns to the user the identifying part of the reporting form and no record is kept of these details.
- C. Confidential incident reporting programs facilitate the disclosure of human errors, enabling others to learn from mistakes made, without fear of retribution or embarrassment.

12.3 PRINCIPLES FOR EFFECTIVE INCIDENT REPORTING SYSTEMS

- A. People are understandably reluctant to report their mistakes to the company that employs them, or to CAA Nepal. Too often following an occurrence, investigators



learn that many people were aware of the unsafe conditions before the event. For whatever reasons, however, they did not report the perceived hazards, perhaps because of:

1. Embarrassment in front of their peers;
2. Self-incrimination, especially if they were responsible for creating the unsafe condition;
3. Retaliation from their employer for having spoken out; or
4. Sanction (such as enforcement action) by the regulatory authority.
5. Use of the following principles help overcome the natural resistance to safety reporting.

12.3.1 TRUST

- A. Persons reporting incidents must trust that the receiving organisation (whether CAA Nepal or company) will not use the information against them in any way. Without such confidence, people will be reluctant to report their mistakes and they may also be reluctant to report other hazards they are aware of.
- B. Trust begins with the design and implementation of the program. Employee input into the development of a reporting system is vital. A positive safety culture in the organization generates the kind of trust necessary for a successful incident reporting system. Specifically, the culture must be error tolerant and non-punitive. In addition, incident reporting systems needs to be perceived as being fair in how they treat unintentional errors or mistakes. (Most people do not expect an incident reporting system to exempt criminal acts, or deliberate violations, from prosecution or disciplinary action). CAA Nepal consider such a process to be an example of a “Just Culture”.

12.3.2 NON-PUNITIVE

- A. Non-punitive reporting systems are based on confidentiality. Before employees will freely report incidents, they must receive a commitment from CAA Nepal or from top management of the organization that reported information would not be used punitively against them. The person reporting the incident (or unsafe condition) must be confident that anything said will be kept in confidence. In some States, “Access to Information” laws make it increasingly difficult to guarantee confidentiality. Where this happens, reported information will tend to be reduced to the minimum to meet mandatory reporting requirements.
- B. Sometimes reference is made to anonymous reporting systems. Reporting anonymously is not the same as confidential reporting. Most successful reporting programs have some type of callback capability in order to confirm details, or obtain a better understanding of the occurrence. Reporting anonymously makes it impossible to ensure understanding and completeness of the information



provided by the reporter. There is also a danger that anonymous reporting may be used for purposes other than safety.

12.3.3 INCLUSIVE REPORTING BASE

- A. Early voluntary incident reporting programs were targeted at flight crews. Pilots are in a position to observe a broad spectrum of the aviation system, and are therefore well situated to comment on the systems health. Nonetheless, incident reporting systems which focus solely on the flight crew's perspective, tend to reinforce the idea that everything comes down to pilot error. Taking a systemic approach to accident prevention requires that safety information be obtained from all parts of the operation.
- B. Incident reporting systems setup by CAA Nepal enables collecting information on the same occurrence from different perspectives facilitates forming a more complete impression of events. For example, ATC instructs an aircraft to 'go around' because there is a maintenance vehicle on the runway without authorisation. Undoubtedly, the pilot, the controller and the vehicle operator would all have seen the situation from different perspectives. Relying on one perspective only may not provide a complete understanding of the event.

12.3.4 INDEPENDENCE

- A. Ideally, State-run voluntary incident reporting systems are operated by an organisation separate from the aviation administration responsible for the enforcement of aviation regulations. Experience in several States has shown that voluntary reporting benefits from a trusted "A third party" managing the system.
- B. The third party receives, processes and analyses the incident reports and feeds the results back to the aviation administration and the aviation community. With mandatory reporting systems, it may not be possible to employ a third party.
- C. Nevertheless, it is desirable that the aviation administration gives a clear undertaking that any information received will be used for accident prevention purposes only. The same principle applies to an airline or any other aviation operator that uses incident reporting as part of its accident prevention program.

12.3.5 EASE OF REPORTING

- A. The task of submitting incident reports should be as easy as possible for the reporter. Reporting forms should be readily available so that anyone wishing to file a report can do so easily.
- B. They should be simple to compile, with adequate space for a descriptive narrative and they should encourage suggestions on how to improve the situation or prevent a reoccurrence.



12.3.6 ACKNOWLEDGMENT

The reporting of incidents requires time and effort by the reporter and should be appropriately acknowledged. To encourage further reports, the operator includes a blank report form with the acknowledgment letter. In addition, the reporter naturally expects feedback about actions taken in response to the reported safety concern.

12.3.7 PROMOTION

- A. The (de-identified) information received from an incident reporting system should be made available to the aviation community in a timely manner. This may also help to motivate people to report further incidents.

- B. Such promotion activities may take the form of monthly newsletters or periodic summaries. Ideally a variety of methods would be used with a view to be achieving maximum exposure.

12.4 INFORMATION GATHERING AND ANALYSIS GUIDE

For Information Gathering and Analysis Guide, Operations Inspectors of CAA Nepal shall refer to **AOCI Manual Volume-II, Appendix-16**.



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Section 1C. To be completed by air operator applicants		
9. Aircraft data (provide a copy of the lease agreement for all leased aircraft)		10. Geographic area(s) of intended operations and proposed route structure:
a) Number of aircraft by type and model. Aircraft nationality and registration marks where available.	b) Number of passengers seats and/or cargo payload capacity.	
Section 1D. To be completed by all applicants		
11. Additional information that provides a better understanding of the proposed operation or business (attach additional sheets, if necessary):		
12. Proposed training (aircraft and/or flight simulation training device):		
Section 1E. The signature and the information contained in this form denote an intent to apply for an AOC and/or approval as a maintenance organization, as appropriate.		
Type of organization:		
Signature:	Date: (day/month/year)	Name and title:
Section 2. To be completed by CAA Nepal		
Received by (name and office):		Date received: (day/month/year)
Date forwarded to the CAA Nepal (day/month/year):	For: <input type="checkbox"/> Action <input type="checkbox"/> Information only	
Remarks:		



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Section 3. To be completed by the CAA Nepal	
Received by:	Pre-application File number:
Date (day/month/year):	
Local office assigned responsibility for designation of the CAA Nepal project manager and the certification team:	Date forwarded to local office for initiation of the formal certification or approval process: (day/month/year)
Remarks:	



ATTACHMENT 'B'

INSTRUCTIONS FOR THE COMPLETION OF THE PROSPECTIVE OPERATOR'S PRE-ASSESSMENT STATEMENT AS SET OUT IN ATTACHMENT A

Section 1A To be completed by all applicants.

1. Enter the official name and mailing address, telephone, fax and e-mail address of the company. Include any other name under which business is conducted if different from the official company name.
2. This address shall be the physical location where the primary activities are based. It is where the offices of management required by legislation are located. If the address is the same as under item 1, enter "same". Include secondary business addresses and identify the type of operation conducted at such addresses.
3. Enter the estimated date when operations or services are intended to commence.
4. This information will be used to assign a company identification number, known as a designator for aircraft operating agency. You may indicate up to three, three-letter identifiers, such as ABC, XYZ. If all choices have already been allocated to other operators or maintenance organizations, another identifier will be allocated.
5. Enter the names, titles, telephone numbers and other contact details of management and key staff personnel.

Section 1B To be completed by all applicants, as appropriate.

6. Indicate whether the applicant air operator intends to perform maintenance as an AMO or intends to contract out all or part of its maintenance, or perform its maintenance using an equivalent system.
7. The proposed type of air operation will be indicated. Check all applicable boxes.
8. The proposed maintenance organization ratings will be indicated. Check all applicable boxes.

Section 1C To be completed by air operator applicants.

9. Data for all aircraft to be used to be provided. Provide a copy of the lease agreement for all leased aircraft.
 - a) Indicate number and types of aircraft by make, model and series, and indicate individual aircraft nationality and registration marks; and
 - b) number of passenger seats and/or cargo payload capacity.
10. Indicate geographic area(s) of intended operation and proposed route structure.

Section 1D To be completed by all applicants.

11. Provide any information that would assist CAA Nepal personnel in understanding the type and scope of the operation or business to be performed by the applicant. If an air



operator intends to contract out maintenance and inspection of its aircraft and/or associated equipment, identify the AMO selected and list the maintenance and inspections that the contracting organization will perform. Provide copies of all maintenance contracts where applicable.

12. For air operator applicants, identify the type of aircraft and/or flight simulation training devices, including flight simulators, to be used and the training to be provided. For maintenance organization applicants, identify the types of aircraft to be maintained and in addition identify the training that the quality assurance staff, certifying staff and other maintenance staff will receive based on the ratings requested.

Section 1E To be completed by all applicants.

Signature of the pre-assessment statement by the accountable manager denotes intent to seek certification as an air operator.

Section 2 The application is to be forwarded by the receiving office to the FSSD, CAA Nepal with all available information and a recommendation on the action to be taken.

Section 3 Where certification or approval action is to be continued, CAA Nepal will designate a PM and a certification team.



ATTACHMENT 'C'

Procedure for the entry of information of in the AOC and Operations Specifications sheets FOD Procedure [AOC-PROC-19]

PURPOSE:

Perform filling in the information in Air Operating Certificate and Operations Specifications sheet for the purpose of issuing an AOC with Operations Specifications.

CIRCUMSTANCES OF USE:

When an operator has completed all the phases as per Requirements for the issuance of an Air Operator Certificate.

REFERENCE CRITERIA:

AOCR, Appendix 5 and Appendix 7
AOCI Manual

COORDINATION:

Flight operations and airworthiness and, as required, dangerous goods

TOOLS

AOCI Manual and associated checklists

TASK TO PERFORM:

- A. Verify and enter information into the AOC (Figure 1) sheet as guided below in the appropriate boxes. For filling up the AOC sheet as depicted in Figure 1, enter information in the Fields as follows:
1. Field 1 contains the CAAN Logo.
 2. In Field 2, enter "NEPAL"
 3. In Field 3, enter "CIVIL AVIATION AUTHORITY OF NEPAL"
 4. In Field 4, enter the applicant AOC number. For AOC renewal or AOC reissue, the AOC number needs to be extended with a "-" followed by the AOC sequential revision number (Example AOC number 987-2 for the second revision). In cases of renewal, after the AOC number add the mention: "supersedes AOC previous number (987-1)".
 5. In Field 5, enter the Expiry Date which indicates the last date that the AOC will be valid till 2400 hrs of that date. Follow the day-month-year format (dd-mm-yyyy). For conformity, only Western calendar dates should be used.
 6. In Field 6, enter the applicant's registered name.
 7. In Field 7, enter the operator's trading name, if different. Insert "dba" before the trading name (for "doing business as").
 8. In Field 8, enter the Operator's principal place of business address.
 9. In Field 9, enter the Operator's principal place of business telephone and fax details, including the country code. Email must be provided when available.
 10. In Field 10, enter the contact details including the telephone and fax numbers, including the country code, and the email address (if available) at which operational management can be contacted without undue delay for issues related to flight operations, airworthiness, flight and cabin crew competency, dangerous goods and other matters, as appropriate. Mandatory contact persons are the CAMO Manager



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and Director Flight Operations. Where the carriage of DG items are permitted, the person in-charge of Dangerous Goods should also be listed.

11. In Field 11, enter the name of the controlled document along with the appropriate chapter number, paragraph number or page reference that is carried on-board the aircraft that contains the list of contact details e.g. *“Contact details are listed in the Operations Manual-A, General, Chapter 1, para 1.1 etc.”* or *“.....are listed in the Operations Specifications, page 1”* or *“.....are listed in an attachment to this document.”*
12. In Field 12, enter the Operator’s registered name.
13. In Field 13, enter “Civil Aviation Regulations, 2002 and its amendments”
14. In Field 14, enter the date of issuance of the AOC (dd-mm-yyyy).
15. In Field 15, enter the name, of the Chief of Flight Safety Standards Department who has been delegated this task. Official stamp of FSSD, CAAN shall be stamped here.

AIR OPERATOR CERTIFICATE		
1	STATE OF THE OPERATOR ²	1
ISSUING AUTHORITY ³		
AOC # ⁴ : Expiry date ⁵ :	OPERATOR NAME ⁶ Dba trading name ⁷ : Operator address ⁸ : Telephone ⁹ : Fax: Email:	OPERATIONAL POINTS OF CONTACT ¹⁰ Contact details, at which operational management can be contacted without undue delay, are listed in _____ ¹¹ .
This certificate certifies that _____ ¹² is authorized to perform commercial air operations, as defined in the attached operations specifications, in accordance with the operations manual and the _____ ¹³ .		
Date of issue ¹⁴ :	Name and signature ¹⁵ : Title:	

Figure 1

A. Complete Operations Specification (Figure 2) sheets as guided below in the appropriate boxes. For filling up the Operations Specifications sheet as depicted in Figure 2, enter information in the Fields as follows:

1. In Field 1, enter the telephone, fax and email details of CAAN, including the country code.
2. In Field 2, enter the associated AOC number. For AOC renewal or AOC reissue, the AOC number needs to be extended with a ‘-’ followed by the AOC sequential revision number (Example AOC number 987-2 for the second revision). In case of single OPS SPEC modification, use the same number but add the mention: “amended on date (DD/MM/YYYY). “supersedes AOC previous number (987-1)”



3. In Field 3, enter the operator's registered name and the operator's trading name, if different. Insert "dba" before the trading name (for "doing business as").
4. In Field 4, enter the issuance date of the Operations Specifications in day-month-year format (DD/MM/YYYY). In case of amendment to an existing OPS SPEC, the words "amended on" should be written before the date. Have the signature of the Chief of Flight Safety Standards Department who has been delegated this task entered.
5. In Field 5, enter the ICAO or CAST designation of the aircraft make, model and series or master series, if a series has been designated.
6. In Field 6, enter other types of transportation to be specified (e.g. emergency medical service).
7. In Field 7, enter the name of the Region (Countries) followed by the name of authorized destinations.
 - Select Region(s) (countries) as appropriate and list the authorized destinations:
 - (i) South Asia: (Afghanistan, Bangladesh, Bhutan, India, Maldives, Pakistan, Sri Lanka)
 - (ii) South East Asia: (Brunei, Cambodia, Indonesia, Laos, Malaysia, Myanmar, Philippines, Singapore, Thailand, Timor-Leste, Vietnam)
 - (iii) North Asia: Japan, Democratic People's Republic of Korea, Republic of Korea, People's Republic of China, Autonomous Region of Hong Kong, Mongolia, Asian region of Russia
 - (iv) Central Asia: Kazakhstan, Uzbekistan, Kirgizstan, Tajikistan
 - (v) Gulf Region: United Arab Emirates, Bahrain, Oman, Saudi Arabia, Iran, Qatar, Kuwait, Israel, Jordan, Lebanon
8. In Field 8, enter the applicable special limitations (eg. VFR only, day only, etc.).
9. In the rows below Field 9, enter the most permissive criteria for each approval or the approval type (with appropriate criteria).
10. In Field 10, enter the applicable precision approach category for which the applicant is approved; select one from either CAT II, IIIA, IIIB or IIIC. Do not enter CAT I. Insert the minimum RVR in metres and decision height in feet. Only list the highest authorization provided.
11. In Field 11, enter the approved minimum take-off RVR in metres. One line per approval may be used if different approvals are granted. Take-off RVR may be approved independently from precision approaches. In cases where the operator is approved for RVR take-offs but not approved for Low Visibility precision approaches, the "NO" box must be selected for "Approach and landing" while the "YES" box must be selected for "Take-off".
12. In Field 12, enter any airborne capability for which the operator has received approval e.g. HUD, EVS, SVS, CVS and associated operational credit(s) granted.
13. In Field 13, "Not applicable (N/A)" box may be checked only if the aircraft maximum ceiling is below FL 290.



14. In Field 14, select “N/A” if Extended Diversion Time Operations (EDTO) approval is not applicable based on the provisions in Chapter 4, 4.7 of FOR-A. Where the operator has been approved for such operations, a threshold time and maximum diversion time must be specified.
 15. In Field 15, the threshold time and maximum diversion time may also be listed in distance (NM), as well as the engine type.
 16. In Field 16, enter one line for each PBN AR navigation specification approval (e.g. RNP AR APCH) with appropriate limitations listed in the “Descriptions” column.
 17. In Field 17, enter the name of the person/organization responsible for ensuring that the continuing airworthiness of the aircraft is maintained and the regulation that requires the work, i.e. within the AOC regulations or a specific approval (e.g. NCAR, Part M,).
 18. In Field 18, enter the list of EFB functions with any applicable limitations.
 19. In Field 19, enter any other authorizations or data using one line (or one multi-line block) per authorization (e.g. special approach authorization, MNPS, approved navigation performance).
- B. Whenever an amendment is made to a page or a number of pages in the Operations Specifications, the words “amended on” should be written before the date. Have the signature of the Chief of Flight Safety Standards Department who has been delegated this task entered.
- C. Issue all letters to the operator only in the English language. Sending covering letters to the operator only in the Nepali language has created confusion and misunderstanding among foreign State CAAs when the operator submits that letter to foreign CAAs.
- D. Enter the AOC number and the issuance date in **every** page of the AOC and Operations Specifications as well as the AOC number and revision.
- E. When issuing the AOC and Operations Specifications for the first time, add “-1” at the end of the number e.g. “AOC-099/2017-1”. After every subsequent amendment or renewal or re-issuance, subsequently add “-2” or “-3” as the case maybe. This is to ensure that only pages belonging to a particular set of AOC and Operations Specifications issued at one time remain in that set and pages from different sets cannot be replaced or interchanged.
- F. In Part C ‘Aerodrome authorizations and limitations’ of the attachment “OTHER DETAILS OF OPERATIONS SPECIFICATIONS” enter the following:
“Any suitable aerodrome having adequate provisions for the type of aircraft and operations in use as well as adequate facilities for passenger safety.”



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OPERATIONS SPECIFICATIONS (subject to the approved conditions in the operations manual)				
ISSUING AUTHORITY CONTACT DETAILS ¹				
Telephone: _____		Fax: _____		Email: _____
AOC# ² : _____		Operator name ³ : _____		Date ⁴ : _____ Signature: _____
Dba trading name: _____				
Aircraft model ⁵ : _____				
Types of operation: Commercial air transportation <input type="checkbox"/> Passengers <input type="checkbox"/> Cargo <input type="checkbox"/> Other ⁶ : _____				
Area(s) of operation ⁷ : _____				
Special limitations ⁸ : _____				
SPECIFIC APPROVAL	YES	NO	DESCRIPTION ⁹	REMARKS
Dangerous goods	<input type="checkbox"/>	<input type="checkbox"/>		
Low visibility operations				
Approach and landing	<input type="checkbox"/>	<input type="checkbox"/>	CAT ¹⁰ : _____ RVR: _____ m DH: _____ ft	
Take-off	<input type="checkbox"/>	<input type="checkbox"/>	RVR ¹¹ : _____ m	
Operational credit(s)	<input type="checkbox"/>	<input type="checkbox"/>	¹²	
RVSM ¹³ <input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>		
EDTO ¹⁴ <input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	Threshold time ¹⁵ : _____ minutes Maximum diversion time ¹⁵ : _____ minutes	
AR navigation specifications for PBN operations	<input type="checkbox"/>	<input type="checkbox"/>	¹⁶	
Continuing airworthiness	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	¹⁷	
EFB	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	¹⁸	
Other ¹⁹	<input type="checkbox"/>	<input type="checkbox"/>		

Figure 2

