



ESWATINI CIVIL AVIATION AUTHORITY

Advisory Circular

CAA-AC-GEN003

June 2022

THE FIVE PHASE CERTIFICATION AND APPROVAL PROCESS

1.0 PURPOSE

This Advisory Circular (AC) is issued to provide general information and guidance on the Five Phase process applied in the certification and approval of organisations and operators in compliance with the Civil Aviation Authority (Air Operator Certification and Administration) Regulation, 2011

2.0 THE CERTIFICATION AND APPROVAL PROCESS

2.1 Application and Grant of an AOC

The application for and grant of an AOC is a complex process that is heavily demanding on both the applicant and the Eswatini Civil Aviation Authority (ESWACAA). The applicant is advised to contact the Authority (in this case ESWACAA Flight Safety Standards Directorate (FSSD) as far in advance as possible, in any case AT LEAST 6 MONTHS BEFORE that anticipated start of operations.

2.2 Submissions before intended date of Operation

Except for the Operations Manual specified in regulation 30 and the Maintenance Control Manual which shall be submitted at least 90 days before the date of intended operation, an applicant shall make the application for an initial issue or re-issue of and AOC at least 60 days before the date of the intended operation.

NB: The application process for the air operator certificate will be concluded within 90 days from the day of the formal application receipt by ESWACAA.

2.3 Continuous Interaction

The following certification and approval process provides for a continuous interaction, from the applicant's initial enquiry to the issue or denial of the requested certificate/approval by the Authority. It ensures that the applicant's proposed programmes, systems, arrangements, facilities, documentation, personnel and intended methods of compliance are thoroughly reviewed, evaluated and tested. Nevertheless, no undertaking can be given for an AOC to be granted within any requested time frame.

2.4 The Five Phase Process

There are five phases in the process for air operator and organisation certification and approval respectively. Each phase is described in sufficient detail to provide a general understanding of the entire process. In order to move to the next phase the preceding phase must be completed successfully.

2.5 Action by ESWACAA on identified deficiencies that cannot be resolved

The identification of any significant deficiency at any stage of the evaluation process and the deficiency in question cannot be resolved, the Authority will advise the applicant in writing of the nature of the deficiency and the preceding actions thereafter. Such action may result in termination of the application process.

2.6 Minimum period before reapplying

ESWACAA FSSD will consider a re-application request from an applicant previously having had a recently terminated application after a minimum of 30 days.

3.0 PRE-APPLICATION PHASE

3.1 Pre-application Statement of Intent (PASI)

a. Evaluation of the PASI

The PASI will be used to evaluate the complexity of the proposed operation. The Certification process will be regarded as a project. This allows the establishment of the certification team based on the complexity of the certification. The assigned Certification Project Manager (CPM) will be

designated as the principal spokesperson for the Authority during the certification process.

b. Responsibility of the applicant

The applicant should conduct a thorough review of the Regulations and other applicable regulations and advisory material to gain meaningful insight and working knowledge into personnel, facility, equipment and documentation requirements.

As a result of the review, available technical and management skill and expertise, the applicant must address in the PASI how the requirements of the applicable Regulations will be met.

c. Completion of the PASI Form

The applicant shall complete a relevant application form for certification or approval.

Note: Submission of the PASI by the applicant indicates intent to initiate the certification process.

3.2 Pre-application Meeting

During this meeting, the requirements which need to be attached to the formal application will be discussed which should include the following:

a. Documentation and Manuals

The applicant should indicate all the documentations and manuals to be used in compliance with the relevant regulations and requirements for the applicable operations. The manuals should allow the user to understand its content without further explanation and must not contradict any regulatory requirements.

b. Compliance Statement

The compliance statement will ensure that all applicable regulatory requirements are addressed during the certification process. This is done by listing each applicable Civil Aviation Authority Regulation section, in numerical sequence. After each listed Regulation, there must be a brief narrative or specific reference to a manual/ document that describes how the applicant will comply with that Regulation. The letter of compliance must be reviewed to ensure that the applicant has a clear understanding of the regulation and that the proposed method of compliance meets the intent of regulation.

3.3 Personnel Requirements

Personnel requirements will include among others:

- a. Key Management Personnel
- b. Their qualifications
- c. Training requirements
- d. Human factor and human performance issues appropriate to the function of that person in the organisation

4.0 FORMAL APPLICATION PHASE

To begin the Formal Application Phase the team will receive the application letter and attachments. As a rule, the team will meet with the applicant after receiving the formal application package. All questions about the proposed operation, the formal application and attachments should be resolved at this time. The meeting should consist of the certification team members and all key management personnel from the applicant's organisation.

5.0 DOCUMENT EVALUATION PHASE

In this phase, the applicant's manuals and other related documents and attachments are carefully and thoroughly reviewed and either approved, accepted or rejected. This review ensures both conformity to the applicable regulations and safe operating practices. The certification team members will conduct evaluation of the submitted documents/ manuals in the office.

6.0 DEMONSTRATION AND INSPECTION PHASE

In this phase the certification team will conduct a thorough audit at the applicant's premises to ensure that the applicant's proposed procedures are effective and that facilities and equipment are in place and meet regulatory requirements. The demonstration phase is carried out after satisfactory document evaluation phase.

7.0 CERTIFICATION PHASE

Once the applicant meets the regulatory requirements of the Civil Aviation Authority Regulations, the Authority will issue a certificate with the appropriate applicant's specifications and ratings.

8.0 CERTIFICATE VALIDITY

Certificates are issued up to a 12 months period after initial certification or renewal. The certificates remain valid so long as the established standards at certification are maintained and complied with.



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