Technical Publication - TP 07

Air Operator Certificate (AOC) - First Certification

Guidance Material (GM)
Foreword

1. Purpose

This Administrative Guidance Material (AGM) describes the process of applying for and obtaining an Air Operator Certificate (AOC) to conduct commercial air transport operations under European Operations (EU OPS/JAR OPS 3). The certification process may appear to be a complex undertaking, particularly to a “first-time” operator. This AGM provides basic information applicable to the certification process.

There are various methods acceptable for the purpose of establishing Operations Manuals. This AGM does not deal with these possible methods but will assist the applicant in completing the “five phase certification process” with minimal delays and complications. Additional information will be found in the related documentation as referenced under paragraph 2 and 3 below.

2. Related Regulations

Appendix 3 shows a list of related regulations applicable to the AOC first certification process.

3. Related Material and Documents

For certain areas (e.g. some subchapters of Operations Manuals) the Civil Aviation Authority of the Republic of Kosovo (CAAK) publishes additional Guidance Material or sample chapters. These documents provide more information for specific subjects. In addition CAAK publishes Operational Directives (OD) for particular areas of published regulations in order to clarify or define the relevant issues in more detail where required.

4. Background

Notwithstanding Articles 7 and 8 of the ECAA Agreement in relation to Articles 4(1)(a)(ii) and 4(3) of Protocol IX to the ECAA Agreement, any Citizen of the Republic of Kosovo (as defined in Law No. 03/L-051 on Civil Aviation) desiring to engage in air operations in Kosovo shall obtain and possess a current and valid Air Operator’s Certificate (“AOC”) issued by CAAK. Any Citizen of the Republic of Kosovo in possession of an AOC issued by the CAA who desires to engage in the carriage by air of persons, baggage, cargo and/or mail for remuneration, hire, or reward shall obtain and possess a current and valid air carrier’s operating license, issued by the Ministry of Transport and Communications of the Republic of Kosovo (MTC) in conformity with Council Regulation (EC) No 1008/2008 of 24 September 2008. The CAAK recognises the responsibility of Commercial Air Transport Operators to provide air transportation with the highest possible degree of safety in the public interest. The certification process is designed to ensure that prospective AOC holders understand and are capable of fulfilling this duty. When
satisfactorily completed, the certification process should ensure that the operator is able to comply with the Kosovo Law on Civil Aviation, CAAK regulations and the international standards pertaining to the operation of aircraft as published in relevant Annexes to the Convention on International Civil Aviation Organisation (ICAO).

There are five phases in the air operator certification process. Each phase is described in sufficient details to provide a general understanding of the entire certification process. The five phases are:

1) Pre-Application Phase,
2) Formal Application Phase,
3) Document Evaluation Phase,
4) Demonstration and Inspection Phase, and
5) Certification Phase.

In some cases, the guidance and suggested sequence of events in this AGM may not be entirely appropriate. In such situations, the CAAK and the operator should proceed in a manner that considers existing conditions and circumstances. The operator, however, should not expect to be certificated until the CAAK is assured that Law No 03/L-051 on Civil Aviation, its implementing Regulations and the applicable ECAA legislation will be complied with in an appropriate and continuing manner.

The five phases are to be seen as steps. In order to continue the certification process, the previous phase shall be completed. Therefore no continuation of the certification process will be undertaken if not all points, articles and individual tasks are completed in the previous certification phase.

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The Advisory Guidance Material (AGM) has been written to give an overview about the Air Operator Certificate (AOC) 5 phase certification process in general. The 5 phase certification process is a standard published by the International Civil Aviation Organisation (ICAO) and known by the Federal Aviation Administration (FAA). Each phase must be completed before starting the next one.

An application for an AOC is a time consuming and expensive work. This work is very often underestimated. CAAK accepts an AOC application by EU OPS/JAR OPS 3 standards only. All application forms must be duly signed by the people requested in original, electronic signatures are not yet accepted.

The project may be delayed because of other applications already in progress or due to the quality of the submissions or missing parts. Even if one of the proposed post holders has
missed the necessary score in the assessment, a project could get further delay until all management personnel has been accepted.

If an applicant has the need for further information, please write to the following address:

Civil Aviation Authority of Kosovo
Ahmet Krasniqi Street n.n. (Arbëria)
10 000 Prishtina
Republic of Kosovo

E-mail: infocaa@caa-ks.org
Fax: +38 138 211 009

Dritan Gjonbalaj
Director General
Civil Aviation Authority of the Republic of Kosovo
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<td>Bajram Xhemaili</td>
<td>Airworthiness Inspector, Flight Safety Department</td>
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<td>Manager, Internal Auditing and Quality Management</td>
<td>28 January 2013</td>
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## Abbreviations

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<td>ACJ</td>
<td>Advisory Circulars Joint</td>
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<td>AEA</td>
<td>Association of European Airlines</td>
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<td>AGM</td>
<td>Administrative Guidance Material</td>
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1. Pre-Application Phase

The operator is informed by the CAAK to acquire the required information through the official website (www.caa-ks.org) in order to follow the available guidance material. If the prospective operator intends to proceed with certification, AACK/DSF/OPS-FRM 01 or AACK/DSF/OPS-FRM 01H and AACK/EASA Form 4 related to the intended management functions (e.g. post holders) shall be mailed to the applicant or downloaded by the applicant from the official CAAK website.

The AACK/DSF/OPS-FRM 01 / AACK/DSF/OPS-FRM 01H and AACK/EASA Form 4 should be completed, signed by the prospective operator, and returned to CAAK. Additionally the operator will submit the business plan, the documents for proof of financial background and sufficient cash flow, the plan of intended infrastructure, a presentation of the network and a written statement of fulfilling the required legal matters. EU OPS (OPS 1.175, Appendix 2 to OPS 1.175) / JAR OPS 3 (JAR OPS 3.175, Appendix 2 to JAR OPS 3.175) establishes basic management positions and the minimum qualifications for air operators proposing to conduct commercial air transportation operations. Individuals assigned to the required management positions are expected to have a thorough knowledge of the national and international regulations, operating provisions (ACJ OPS 1.175/ACJ JAR OPS 3.175). AACK/EASA Form 4 must contain resumes of the qualifications, licenses (including license numbers), ratings, and aviation experience/education for each of the following positions, or their equivalent:

- Accountable Manager (AM)
- Quality Manager (QM)
- Post Holder Flight Operations (PFO)
- Post Holder Ground Operations (PGO)
- Post Holder Crew Training (PCT)
- Continuing Airworthiness Manager (CAM)
- Deputy Accountable Manager (DAM)
- Deputy Quality Manager (DQM)
- Deputy Post Holder Flight Operations (DPFO)
- Deputy Post Holder Ground Operations (DPGO)
- Deputy Post Holder Crew Training (DPCT)
• Deputy Continuing Airworthiness Manager (DCAM)

CAAK personnel will review the AACK/DSF/OPS-FRM 01 / AACK/DSF/OPS-FRM 01H, AACK/EASA Form 4 and all other submitted documents. If the information is incomplete or erroneous, the forms will be returned to the prospective operator with the reasons for its return. If the information is complete and acceptable, the CAAK will invite the post holder and deputy post holder candidates to the next available assessment session, where the candidates will undergo the assessment process.

CAAK, together with MTC, will evaluate the financial background of the operator and its legal aspect. CAAK will further assess the operator’s business plan and evaluate the availability of the necessary infrastructure and logistic.

**NOTE: Only after all the above mentioned pre-requisites are met and found acceptable, continuation of this process will be granted.**

The purpose of the pre-application meeting is to confirm the information on the AACK/DSF/OPS-FRM 01 / AACK/DSF/OPS-FRM 01H and to provide critical certification information to the applicant. It is imperative that the operator’s Accountable Manager (AM) and accepted post holders and deputy post holders attend the pre-application meeting and be prepared to discuss in general terms, plans and specific aspects of the proposed operation. Many problems can be avoided by discussing all aspects of the proposed operation and the specific requirements, which must be met to be certificated as an air operator.

It is important to establish good working relationships and clear understandings between the CAAK and the operator’s representatives. The CAAK recognises that a wide range of capabilities and expertise exists among operators. This background experience will be considered by the CAAK and adjusted to during these initial meetings.

**NOTE: To help promote understanding throughout the certification process, an application information package will be provided when requested or latest at the pre-application meeting.**

EU OPS/JAR OPS 3 specifies that an application for an AOC shall be made in a form and manner acceptable to the Authority, and containing any information the Authority requires the applicant to submit. It is important to understand the minimum documentation necessary to be considered acceptable for a formal application. Formal application must be made on a form provided by the Authority (AACK/DSF/OPS-FRM 01 or AACK/DSF/OPS-FRM 01H) and by a letter requesting certification as an air operator. The Accountable Manager must sign the form and letter. The submitted letter should include a statement that the letter serves as formal application for an Air Operator Certificate.

**Schedule of Events / Implementation Schedule:** The schedule of events is a key document that lists items, activities, programs, and aircraft and/or facility acquisitions
that must be accomplished or made ready for the CAAK inspection before certification. It should include dates when the crewmembers will start company indoctrination procedures and/or training.

In addition, the schedule of events should include dates when maintenance personnel training will start, when maintenance facilities will be ready for the CAAK inspection, when each of the required manuals will be available for evaluation, when aircraft will be ready for inspection, when terminal facilities will be ready for inspection and demonstration flights are planned to be performed. These estimated dates must be logical in terms of sequence. For example, the estimated date for crewmember basic company procedures indoctrination ground training to begin should be after the date that sections of the company manuals pertinent to crewmember performance will be completed and submitted. The temporary time schedule shows the operator’s intention of time management. Nevertheless a definite implementation schedule which will replace the temporary schedule will be adapted and agreed later during the formal application phase in relation to realistic time management and available human resources. The definite implementation schedule is subject to acceptance by the CAAK Focal Point (FP) and is then the agreed document during the entire certification process.

**Operations Manuals System:** These manuals, which have to be issued in separate parts for specific users, contain policies, instructions, information, duties and responsibilities, for the safe operation and airworthy aeroplanes/helicopters. EU OPS/JAR OPS 3 Subpart P and EASA Part M Subpart G, Acceptable Means of Compliance (AMC), Interpretative and Explanatory Material (IEM) and Guidance Materials prescribe the content and structure of these manuals. The entire manual system shall be completely developed at the time of formal application.

It is recognised that aircraft acquisition, facility and subcontractor arrangements and certain training and checking program elements may not be fully developed at the time of formal application. However, the Operations Manual Part D Training, established in accordance with the decided Training Concept must be completed to the maximum extend as possible. The company initial training and checking curriculum portion of the OM-D must be attached to the formal application letter.

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

- Aircraft,
- Station facilities and services,
- Weather gathering facilities and services,
• Communications facilities and services,
• Maintenance facilities and services,
• Maintenance contractual arrangements,
• Aeronautical charts and related publications,
• Aerodrome/Helidrome analysis and obstruction data,
• Aircraft take off and landing performance tables related to individual runways/helipads,
• Contract training and training facilities.

**Compliance List:** This listing contains all applicable articles and paragraphs of EU OPS/JAR OPS 3, where the Operator states that he is compliant with the respective requirement. Additionally the list indicates the chapters and/or subchapters within the Operations Manual System, where the appropriate compliance is described. The fully completed list of compliance ensures each applicable regulatory requirement has been adequately addressed in the appropriate manuals, programs, and/or procedures. Furthermore on the OM compliance list, where applicable, formal acceptance and approvals are included.

The Director General of CAAK appoints a focal point (FP) who will lead the mentioned project and guide the operator through the whole certification process.
2. Formal Application Phase

The formal application shall be submitted to CAAK as far in advance of the proposed start-up date as possible.

The CAAK will review the application to determine that it contains the required information, documents and attachments. If there are omissions or errors, the formal application and all attachments will be returned with a letter outlining the reasons for its return. If the operator has a good understanding of the requirements, the formal application should be of sufficient quality to allow any omission, deficiency, or open question to be resolved during the formal application meeting.

The Operator’s Accountable Manager, Quality Manager, Post Holder and Deputy Post Holder shall attend the formal application meeting. The purpose of the meeting is to present the focal point (FP), delegated inspectors, experts and specialists and to discuss the formal application and resolve omissions, deficiencies, or answer questions from either party. For example, this meeting may be used to resolve questions concerning the applicant’s package or scheduling date conflicts, or to ensure the applicant understands the certification process. This meeting should also be used to reinforce open communication and working relationships.

If the formal application meeting is successful, the operator is provided with a letter acknowledging receipt and acceptance of the package by the Director General or focal point (FP). The CAAK acceptance of a formal application does not constitute approval or acceptance of individual attachments.
3. Document Evaluation Phase

After the formal application has been accepted, CAAK inspectors will begin a detailed evaluation of all submitted manuals, forms and documents. Inspection of the Operations Manual System may, depending on the size of operation, be done on the whole manual or on different parts at different times with different experts. The CAAK will endeavor to complete these evaluations in accordance with the agreed schedule of events. If a manual or document is incomplete or deficient, or if non-compliance with the regulations or safe operating practices is detected, the manual or document will be returned for corrective action. If the manuals and documents are satisfactory, the content and the structure will be accepted, as required. Formal acceptance and approval will be granted on specific documentation and will be effective only after the operator has received the respective documentation, signed by the CAAK and in accordance with the effective date. Nevertheless the responsibility of all documented and published contents of any company manual or document remains with the nominated Accountable Manager and the accepted Post Holders and their Deputies.

Document Evaluation Phase is completed with the formal acceptance of the content and structure of the Operations Manual System, issued on different documents. The initial document compliance statement is the prerequisite to continue to the Inspection and Demonstration Phase.
4. Demonstration and Inspection Phase

Prior to conducting the Demonstration and Inspection Phase, it is expected, that the applicant for an AOC has implemented all the procedures and operating practices as described in the Operations Manual System and that the Quality System has successfully reviewed all fields of operation including qualified entities by the means of audits and inspections. ICAO & EU aviation *acquis* require an operator to demonstrate its ability to comply with regulations and safe operating practices before beginning actual revenue operations. These demonstrations include actual performance of activities and/or operations while being observed by CAAK inspectors. This includes on-site evaluations of aircraft maintenance equipment and support facilities. During these demonstrations and inspections, the CAAK evaluates the effectiveness of the policies, methods, procedures, and instructions as described in the operator’s manuals and other documents. Emphasis is placed on the operator’s management effectiveness during this phase. Deficiencies will be brought to the attention of the operator and corrective action must be taken before entering the certification phase.

Although the document evaluation and the demonstration and inspection phases have been discussed separately in this AGM, these phases may overlap in the training aspect, or may be accomplished simultaneously in actual practice. The following list provides examples of the type of items which are evaluated during the inspection and demonstration phase.

- Quality System;
- Facilities and Infrastructure;
- Training and checking (classroom, simulators, aircraft, flight and ground personnel training);
- Operational control and supervision;
- Flight Dispatch;
- Company communications procedures;
- Station facilities (equipment, procedures, personnel, fuelling/defueling, de-icing, technical data);
- Document control (control, analysis and storage of records, flight documents, additional information and data);
- CPM (Contract Procedure Manual);
- Maintenance Program / Maintenance Contract;
• CAME - Continuing Airworthiness Maintenance Exposition; and

• The effectiveness of Emergency Response.

Complete Demonstration Flights. Includes full-scale simulation of revenue operations to demonstrate the ability to operate independently, safely, and in compliance with EU OPS/JAR OPS 3, including diversions and/or landing on route for abnormal and emergency situations.

NOTE: An applicant for an air operator certificate (AOC) may concurrently seek CAAK approval of its maintenance organisation (EASA Part 145). The applicant needs to co-ordinate the progress of both certification projects. Both certification projects must be in the Demonstration and Inspection Phase at the same time. This is because the Demonstration Flights require the applicant to demonstrate to the CAAK all proposed flight and ground operations.
5. Certification Phase

When corrective actions out of findings given by the demonstration and inspection phase are completed and closed, the CAAK will issue the final compliance statement and prepare Part M Subpart G approval and the Air Operator Certificate (AOC). The operations are then specified, listed and approved within the operations specification document (OPS SPECS). The Flight Safety Director of CAAK signs the Part M Subpart G approval. The Director General of CAAK signs the AOC.

The certificate holder is responsible for continued compliance with regulations according to his authorisations, limitations, and specifications. The process for changes, variations or amending of specifications is similar to the certification process. The CAAK is responsible for conducting periodic inspections and audits of the certificate holder’s operation to ensure continued compliance with the regulations, safe operating practices and airworthy aeroplanes/helicopters. Nevertheless the compliance with all laws and regulation remains at all times with the operator.
Costs and Time Schedule

A complete certification process is time consuming for the applicant and the Authority. The costs and the time schedule vary very much on the quality of the submitted manuals and the resource available with the CAAK. According to the Regulation No. 7/2011 on the Fees Levied by the Civil Aviation Authority of the Republic of Kosovo, Article 9, paragraph 9.1 states that CAAK shall charge and levy fees for the inspection and surveillance of an air operator’s organisation for the purposes of the grant, variation or renewal of an Air Operator’s Certificate an amount of 10,000 € for the first aircraft and additional 3,000 € for every other aircraft with the MTOW of more than 50,000 kg. Additional cost of 5,000 € shall be charged for the issue of a certificate of airworthiness for an aircraft of more than 5,700 kg. The CAA shall also charge a fee for each application for the issue of a certificate of registration of an aircraft of more than 5,700 kg MTOW an amount of 500 €. From the experience in the industry the work for a first certification of the operational part the amount of 600 working hours must be calculated.

A first estimate for the time schedule might be possible after the cursory review at the beginning of the Formal Application Phase. At this point a first estimate about the time schedule and costs might be possible.

CAAK requires that 50% of the fee in respect of the services referred to in the respective articles of the Regulation No. 7/2011 are remitted to the CAA before delivery of services has commenced, and the remaining 50 % before the final issuance or renewal of the certificate, licence, approval or authorisation.
Appendixes

Appendix 1 - Check List before Pre-Application Phase

Checklist, to-do before Pre-application phase or at the beginning of the Formal Application Phase

- AACK/DSF/OPS-FRM 01 / AACK/DSF/OPS-FRM 01H (application for AOC & EASA Part M Subpart G approval);
- Leasing contracts or letter of intent for all aircraft;
- Proof of own crew members;
- Using rights on a Kosovo airport/heliport;
- Tenancy (lease) agreement for office space for the Post Holder Flight Operations;
- Business plan over 2 years;
- Business plan over the first 3 months of operation without income;
- Certificate for passenger legal liability insurance;
- Application for waiver under Art. 40.2 of Law 03/L-051 on Civil Aviation (Aircraft Registration Eligibility), if applicable;
- Notarized copy of the Business Registration Certificate in the Republic of Kosovo and its annexes;
- Statute (including the purpose of the company commercial air operation);
- Opening balance sheet;
- Copy from the shareholder book (list of shareholders);
- AACK/EASA Form 4.
Appendix 2 - Check List Formal Application Phase

Proposed Revision / Amendment Form (PRA) for each and individual Manual

- OM-A
- Quality Manual, if not integrated in OM-A
- OM-B for each type of aircraft (according to cover page OM-B document evaluating)
- OM-C
- OM-D
- OM Compliance List
- CSPM – Cabin Safety Procedure Manual (incl. Safety on Board Card), if applicable
- MEL – Minimum Equipment List
- EU OPS/JAR OPS 3 Subpart K & L
- EASA-26 Compliance List
- AACK/EASA Form 2
- Security Program
- Dangerous Goods
- CAME – Continuing Airworthiness Management Exposition
- Maintenance Contract
- Maintenance Procedure Manual
- Aeroplane/Helicopter Technical Log (Tech Log)
- Maintenance Program
- Reliability Program
- Application for RNAV (incl. RNP)
- Application for ETOPS, if applicable
- Application for RVSM, if applicable
- Application for MNPS, if applicable
- Application for AWO incl. LVTO, if applicable
- Application for Steep Approaches, if applicable
- OPS Implementation Schedule
- Ground Handling Manual, if applicable
- Application for ICAO Code and Call sign Form
- Schedule plan, if applicable
- Air Fare plan, if applicable
- Aeroplane/Helicopter List, type of aircraft, registration, serial number, home base, passenger seating capacity
Appendix 3 - Regulations and Documents

Law No. 03/L-051 on Civil Aviation;
Regulation 2010/1 on Common rules for the operation of air services (MI);
Regulation 2/2008 on Organization of working time of mobile workers in civil aviation;
Regulation 1/2009 on Occurrence reporting in civil aviation;
Regulation 2/2009 on Aircraft registration and marking;
Regulation 3/2009 on Common rules in the field of civil aviation and responsibilities of the European Aviation Safety Agency;
Regulation 4/2009 Laying down implementing rules for the airworthiness and environmental certification of aircraft and related products, parts and appliances;
Regulation 5/2009 on Continuing airworthiness of aircraft and aeronautical products, parts and appliances, and on the approval of organisations and personnel involved in these tasks;
Regulation 6/2009 on the Harmonisation of technical requirements and administrative procedures in the field of civil aviation;
Regulation 7/2009 on Conditions and procedure for acquiring, issuance, renewal and extension of licences and authorizations for aviation staff;
Regulation 1/2010 on Flight Crew Licensing (Medical);
Regulation 3/2010 Joint Aviation Authorities requirements and administrative procedures applicable to commercial air operations - helicopters;
Regulation 4/2010 Licences and authorizations for aviation staff - helicopter pilots;
Regulation 10/2010 on rules for the organisation and composition of the board of appeal of the European Aviation Safety Agency;
Regulation 11/2010 on working methods of the European Aviation Safety Agency for conducting standardisation inspections;
Regulation 5/2011 on Use of prohibited substances;
Regulation 6/2011 on Transport of dangerous goods by air
Regulation 7/2011 on the Fees levied by the Civil Aviation Authority of Kosovo;
Regulation 9/2011 on Safety Assessment of Foreign Aircraft (SAFA);
Regulation 11/2011 Amending and supplementing Regulation No. 02-2009 on aircraft registration and marking.
JAR-26    Additional Airworthiness Requirements for Operations
JAR-STD 1A  Aeroplane Flight Simulators
JAR-STD 2A  Aeroplane Flight Training Devices
JAR-STD 3A  Flight and Navigation Procedures Trainers
JAR-STD 4A  Basic Instrument Training Devices
JAR-FSTD H  Helicopter Flight Simulation Training Devices
JAR-STD 1H  Helicopter Flight Simulators
JAR-STD 2H  Helicopter Flight Training Devices
JAR-STD 3H  Helicopter Flight & Navigation Procedures Trainers
JAR-MMEL-MEL Minimum Master Equipment List-Master Equipment List
JAR NPA’s
JAA-AGM

TGL-44
EASA STD
EASA-21
EASA-23
EASA-25
EASA-26
EASA-145
EU AWO / CS-AWO

ICAO Annex 1  Personnel Licensing
ICAO Annex 2  Rules of the Air
ICAO Annex 6  Operation of Aircraft
ICAO Annex 8  Airworthiness of Aircraft
ICAO Annex 11 Air Traffic Services
ICAO Annex 10  Telecommunications
ICAO Annex 12  Search and Rescue

Circular 253-AN/151  Human Factors Digest No. 12 Human Factors in Aircraft Maintenance and Inspection
Document 4444-RAC/501  Rules of the Air and Air Traffic Service
Document 7030  Regional Supplementary
Document 8168-OPS  Aircraft Operations
Document 9284-AN/905  Technical Instructions for the Safe Transport of Dangerous Goods by Air
Document 9365-AN/910  All Weather Operations
Document 9376-AN/914  Preparation of an Operations Manual
Document 9389-AN/919  Manual of Procedures for an Airworthiness Organisation
Document 9642-AN/941  Continuous Airworthiness Manual
Appendix 4 - Useful Links

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<td>ATA</td>
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Appendix 5 - Flow Charts (CAAK 5 Phases Certification Process)

The CAAK 5 Phase Certification Process

Pre-application Phase

The CAAK 5 Phases - Certification Process
Formal Application Phase

Applicant submits formal application with required attachments including application for the operating licence to CAAK.

CAAK team performs initial review of format submission.

Managers qualifications and compliance statements etc.

Acceptable?

No

PM reviews CAAK resources.

PM schedules and conducts initial application meeting.

Acceptable?

No

Inform applicant of reason for non-acceptance (letter).

Notify all CAAK sections involved.

Resubmitted with corrections.

Inform applicant of reason for non-acceptance (letter).

Notify all CAAK sections involved.

Inform applicant of reason for non-acceptance (letter).

Notify all CAAK sections involved.

Acceptable?

Yes

The CAAK 5 Phases - Certification Process

Document Evaluation Phase

Certification team reviews applicant’s documentation for compliance and Acceptance/Approval.

Formal application.

Required Manuals.

Letter of Compliance.

Training & Qualifications.

Leases & Contract Agreements.

Acceptable?

No

Corrective action taken.

Notify all CAAK sections involved.

Return unsatisfactory documents, informs applicant of reason for non-compliance (letter).

The CAAK 5 Phases - Certification Process
Demonstration & Inspection Phase

The CAA 5 Phases - Certification Process

Certification Phase

The CAA 5 Phases - Certification Process
Appendix 6 - Application for an Air Operator Certificate (AOC) according to EU-OPS

Application for an Air Operator Certificate (AOC) according to EU-OPS

- Initial Issue
- Variation / Amendment
- Renewal
- Organisation Information
- Management Personnel (Part A)
- Aircraft Type Information (Part B)
- Operation and Special Authorisations (Part B)
- Continuing Airworthiness Management System (Part C)

This form shall be issued for initial issue, variation / amendment and renewal of the AOC. This form shall be submitted together with all necessary appendices and documents to

Civil Aviation Authority of Kosovo, Flight Safety Department
Ahmet Krasnici Street n.n. (Arbëria), 10000 Pristina, Fax +381 (0)38 211 009

Please be aware that incomplete forms will be returned and not be processed.

APPLICANT

AOC No. Operator

Place Date

Signed by Accountable Manager

ORGANISATION INFORMATION

Business Address

Phone No. / Fax No.

E-mail

IATA / ICAO Designator [2 letter / 3 letter Code]

Home Base of Aircraft Fleet
PART A

Management Personnel *(if new application, need to be accompanied by AACK/EASA Form 4 + CV)*

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<th>Name</th>
<th>Phone No.</th>
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<td>Deputy</td>
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<td>Continuing Airworthiness Manager</td>
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<td>Deputy</td>
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<tr>
<td>Flight Safety Officer</td>
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PART B

Aircraft Type Information

Aircraft Type

---|---|---|---

A/C Registration Mark Z6 - | MTOM (kg) | Main base of A/C

☐ Dry Lease-In (if applicable) | Lease from | Lease until

Delivery date | Commercial operation date

Delivery date | Aerodrome utilisation rights

Aircraft Owner’s Name

Address and Nationality

☐ Lease Agreement (Please submit a copy) ☐ Financial Lease (Please submit a copy)

Type(s) of Operations

Area(s) of Operation

Special Limitations

Special Authorisations / Approvals

* RVR (m) | DH (ft) | "LVTO RVR (m)

* ☐ MNPS* | ☐ P-RNAV* | ☐ BRNAV* | ☐ RNP*

☐ ETOPS Min* | NM | ☐ non-ETOPS (EROPS)* | ☐ Steep Approach* | ☐ GPS Approach*

☐ EFB* | ☐ Dangerous Goods | ☐ Initial Safety Training Cabin Crew

* Please complete and include the application form for the relevant special authorisations
PART C

Continuing Airworthiness Management System

Maintenance Arrangements

☐ Part M Subpart G Approval/Variation (AACK/EASA Form 2)
☐ Contracted Maintenance*  
☐ Name of contracted Part-145 Organisation*  
☐ Maintenance Contract*  
☐ Name of Subcontracted Organisation working under the Operator’s Quality System (delegation of Continuing Airworthiness tasks)*  
☐ Contract subcontracting of Continuing Airworthiness Management tasks (*)
☐ Continuing Airworthiness Maintenance Exposition (CAME)
☐ Aircraft Maintenance Programme (*)
☐ Reliability Programme (*) if applicable
☐ Aircraft Technical Log System if applicable

(*) for each Aircraft Type

Appendixes

☐ AACK/EASA Form 4 for Accountable Manager/Postholders (obligatory for first issue)
☐ Application for waiver under Art. 40.2 of Law 03/ L-051 on Civil Aviation (Aircraft Registration Eligibility), if applicable;
☐ Lease Agreement (Aircraft Management Contract)
☐ Aerodrome Utilisation Rights (Confirmation)
☐ Passenger Liability Insurance
☐ Operating Manuals (s) incl. OM Compliance list(s) and Form PRA
☐ OM Revisions incl. OM Compliance list(s) and Form(s) Proposed Revision Amendments
☐ Initial Safety Training for Cabin Crew Members
☐ Minimum Equipment List (MEL) including Form Proposed Revision Amendments (PRA)
☐ Application for Special Authorisations/Approvals* (refer also to Part B)
☐ Subpart K&L Compliance List
☐ Maintenance System Appendices (refer also to Part C)
☐ Request for ICAO Code†
☐ Security Programme
☐ Airworthiness Review Certificate (EASA Form 15a/b or Recommendation)

† An operator without previous Category II or III operational experience may be approved for Category II or IIIA operations, having gained a minimum experience of six months of Category I operations on the aeroplane type. (App. 1 OPS 1.440 (b))
† Republic of Kosovo is not yet an ICAO Member State. CAAK shall endeavour to acquire the relevant code and call sign from ICAO. Otherwise, CAAK shall allocate the code and the call sign in coordination with ICAO.
Appendix 7 - Application for an Air Operator Certificate (AOC) according to JAR OPS 3

Application for an Air Operator Certificate (AOC) according to JAR OPS 3

- Initial Issue
- Variation / Amendment
- Renewal

This form shall be issued for initial issue, variation / amendment and renewal of the AOC. This form shall be submitted together with all necessary appendices and documents to Civil Aviation Authority of Kosovo, Flight Safety Department Ahmet Krasniqi Street n.n. (Arbëria), 10000 Prishtina, Fax: +381 (0)38 211 009

Please be aware that incomplete forms will be returned and not be processed.

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Organisation Information

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### Part A

**Management Personnel**

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Part B

Aircraft Type Information

Make - Model - Series:                      Serial Number:                      Hexadecimal Code:

A/C Registration Mark Z6-                   Pax Seats:                        MTOM (kg):                      Main base of A/C:

☐ Dry lease-in (if applicable)              Lease from:                       Lease until:                     

Delivery date:                             Commercial operation date:

Deletion date:                             Aerodrome utilisation rights:

Aircraft Owner’s Name

Address and Nationality

☐ Operational Lease (Please submit copy of Leasing contract)

☐ Financial Lease (Please submit copy of Leasing contract)

Type(s) of Operation

☐ A1 - Passengers only                       ☐ Scheduled

☐ A2 - Cargo only                           ☐ Non-Scheduled

☐ A1 & A2 - Passengers & Cargo              ☐ Other - Special Authorizations / Approvals

Area(s) of Operation

☐ C1 - Territory of the Republic of Kosovo

☐ C2 - European region

☐ C7 - Other (to be specified)
Application for an Air Operator Certificate (AOC) according to JAR OPS 3

Special Limitations

- D1 - VFR day only
- D2 - VFR day/night only
- D3 - Other (to be specified)
- D4 - None

Special Authorizations / Approvals

- E 1-5 - LVTO / CAT II; CAT III
- E 20 - HEMS
- E 10/6 - RNP/RNAV
- E 22 - Helicopter operations over a hostile environment located outside congested area
- E 23 - Operations for small helicopters (VFR day only)
- E 11 - Dangerous Goods
- E 21 - HHO
- E 24 - Local area operations (VFR day only)
- E 25 - Operations on public interest site
- E 27 - Helicopter operations without an assured safe forced landing capability
- E 12 - Offshore operations
- E XX - NVIS
Part C

Continuing Airworthiness Management System

Maintenance Arrangements

- PART M, Subpart G Approval (CAMO)* (Application on AACK/EASA Form 2)
- Contracted CAMO *(if applicable)
- Name of Approved PART-145 Maintenance Organisation

- Approval of Contracted PART 145 Organisation (*)
- Name of Subcontracted Organization working under the Operator's Quality System (delegation of Continuing Airworthiness tasks) (*)

- Approval of Contract for subcontracted Continuing Airworthiness Management tasks (*) (if Applicable)
- Continuing Airworthiness Maintenance Exposition Approval (CAME)
- Aircraft Maintenance Programme Approval (*)
- Reliability Programme Approval (*) if applicable
- Aircraft Technical Log System Approval if applicable

(*) for each Aircraft Type

Appendices

- EASA Form Four (AACK/EASA Form 4) for Accountable Manager / Postholders / Deputies (obligatory for first issue)
- Certificate of Aircraft Registration
- Certificate of Airworthiness
- Noise Certificate
- STD approval (If Applicable)
- ELT registration
- Foreign pilot licence validation (If Applicable)
- Operating License (If Applicable)
- Lease agreement (If Applicable)
- ICAO 24 bit address allocation (Send application to Airworthiness Department)
- Aerodrome Utilization Rights (Confirmation)
- Operations Manual(s) incl. OM Compliance List(s) (s) and if applicable Notice of Proposed Amendment (NPA)
- Initial Safety Training for Cabin Crew Members
- Minimum Equipment List (MEL)
- Application for Special Authorizations / Approvals (If Applicable)
- Subpart K&L Compliance List
Application for an Air Operator Certificate (AOC) according to JAR OPS 3

- EASA-26 Compliance List
- Request for ICAO three letter Code (if applicable)
- Security Program
- Airworthiness Review Certificate (EASA Form 15a/b)

In order to make the process as smooth and as swift as possible, an applicant should seek approvals for any of the items above at the earliest stage of the process possible, preferably during the pre-application phase. The ideal situation would be if the applicant enters the pre-certification phase with as many as possible approvals/acceptances already obtained.

IMPORTANT
Approval of any of applicable items for the requested operation is prerequisite for the AOC issuance.

### Application for a Part-145, Part-M Subpart F and Part-M Subpart G Approval

**FORM 2**

<table>
<thead>
<tr>
<th></th>
<th>Part-145 Approval</th>
<th>Part-M Subpart F Approval</th>
<th>Part-M Subpart G Approval</th>
<th>Application for initial grant</th>
<th>Application for change</th>
</tr>
</thead>
</table>

1. Registered name of applicant: 

2. Trading name (if different): 

3. Postal Address: 

4. Addresses of sites(s) requiring approval: 

5. Contact details:
   - Name: 
   - Position: 
   - Tel: 
   - Fax: 
   - E-mail(s): 

6. Scope of approval relevant to this application: see page 2 for possibilities in the case of a Part-145 / Subpart F approval: 

### Part M Subpart G:

- Airworthiness Management Organisation - Ref: Part M.A.711(a) (Continuing)
- Additional privilege - Airworthiness Review - Ref: Part M.A.711(b)

7. Position and name of the (proposed*) Accountable Manager: 

8. Signature of the (proposed*) Accountable Manager: 

9. Place: 

10. Date: 

---

* (*proposed is applicable only in the case of a new applicant: 

11. I enclose with this Form:
   a) Administrative fee, 
   b) Aircraft Maintenance Program approval, if applicable, 
   c) Aircraft Technical Log approval, if applicable, 
   d) Maintenance contract approval with approved maintenance organisation, if applicable.

Note: When completed this form should be returned to the Civil Aviation Authority of Kosovo, Flight Safety Department | Ahmet Krasniqi Street n.n. (Arbërja) | 10000 Pristina, Kosovo | Fax: +381 (0)38 211 009
### SCOPE OF REQUESTED PART-145 / SUBPART F APPROVAL

<table>
<thead>
<tr>
<th>CLASS</th>
<th>RATING</th>
<th>LIMITATION</th>
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<tbody>
<tr>
<td>AIRCRAFT</td>
<td>A1 Aeroplanes / airships above 5700 kg</td>
<td>Quote aeroplane type</td>
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<tr>
<td></td>
<td>A2 Aeroplanes / airships 5700 kg and below</td>
<td>Quote aeroplane manufacturer or group or type</td>
</tr>
<tr>
<td></td>
<td>A3 Helicopters</td>
<td>Quote helicopter manufacturer or group or type</td>
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<td></td>
<td>Subpart F Single Engine Helicopters</td>
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<tr>
<td></td>
<td>A4 Aircraft other than A1, A2 or A3</td>
<td>Quote aircraft type or group</td>
</tr>
<tr>
<td>ENGINES</td>
<td>B1 Turbine</td>
<td>Quote engine type</td>
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<tr>
<td></td>
<td>B2 Piston</td>
<td>Quote engine manufacturer or group or type</td>
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<tr>
<td></td>
<td>B3 APU</td>
<td>Quote engine manufacturer or type</td>
</tr>
<tr>
<td>COMPONENTS OTHER THAN COMPLETE ENGINES OR APUs</td>
<td>C1 Air Cond &amp; Press</td>
<td>Quote aircraft type or aircraft manufacturer or component manufacturer or the particular component and or cross refer to a capability list in the exposition.</td>
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<tr>
<td></td>
<td>C2 Auto Flight</td>
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<td>C3 Comms and Nav</td>
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<td>C4 Doors - Hatches</td>
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<td>C5 Electrical Power</td>
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<td>C6 Equipment</td>
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<td>C7 Engine - APU</td>
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<td>C8 Flight Controls</td>
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<td>C9 Fuel - Airframe</td>
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<td>C10 Helicopter - Rotors</td>
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<td>C12 Hydraulics</td>
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<td>C13 Instruments</td>
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<td>C14 Landing Gear</td>
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<td>C15 Oxygen</td>
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<td>C16 Propellers</td>
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<td>C17 Pneumatic</td>
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<td>C18 Protection ice/flammable</td>
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<td>C19 Windows</td>
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<td></td>
<td>C20 Structural</td>
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<tr>
<td>SPECIALISED SERVICES</td>
<td>D1 Non Destructive Testing</td>
<td>Quote particular NDT methods</td>
</tr>
</tbody>
</table>
### Appendix 9 - Details of Management Personnel

#### Civil Aviation Authority of Kosovo

1. **Details of Management Personnel** required to be accepted as specified in Part-

2. **Title / First Name / Surname:**

   To complete a text box, right click the box, choose 'Text Box Object Edit' then type your response.

3. **Position within the Organisation:**

4. **Qualifications relevant to the item (3) position:**

   Use Shift+Return to start a new line in the text box.

5. **Work experience relevant to the item (3) position:**

6. **Organisation:**

7. **Approval Number relevant to the item (1):**

   **Signature:**  
   **Date:**

### Civil Aviation Authority of Kosovo use only

**Name and signature of authorised competent authority staff member accepting this person:**

**Signature:**  
**Date:**

**Name:**  
**Office:**  

---

End of Form