

Re-Validation Procedure of Existing AOC Holders

This bulletin outlines the general guidance that will be used to confirm revalidation of the air operators to the revised aviation regulations. AOCs which will expire soon after the completion of the revalidation may also be renewed at the conclusion of the revalidation process.

1.1 GENERAL

1.1.1 PURPOSE

This bulletin provides the policies and general procedures that will be used for the revalidation of Nepalese air operators for operations that they are currently authorized.

1.1.2 BACKGROUND

International auditors have asserted that the CAAN records of certification of Air Operators were not complete enough to substantiate the approvals granted and the operations conducted by Nepalese air operators.

In consideration of these assertions, the CAAN has undertaken a revalidation process for each air operator that will result in adequate records of evaluations, inspections and demonstrations of a comprehensive revalidation.

1.1.3 STATUS OF THIS BULLETIN

1.1.3.1 ISSUANCE

This is the first issue of this bulletin.

1.1.3.2 EXPIRATION

The guidance in this bulletin will expire 15 January 2014, unless amended before that date.

1.1.4 REFERENCE DOCUMENTS

The following key reference documents will be used in the revalidation process of this bulletin—

- CAAN AOC Requirements, second edition – 2012
- CAAN Flight Operations Requirements 5th edition – aeroplanes; helicopters
- CAAN Flight Operations Inspector Manual
- CAAN Airworthiness Inspector Handbook
- CAAN NCAR Part M

1.2 APPLICABILITY

- A. This bulletin shall be effective for those Nepalese operators engaged in international commercial air operations.
- B. The AOC Section shall take the lead role in the execution of this revalidation process in coordination with the Flight Operations Section and Airworthiness Inspection Division.

1.2.1 REVALIDATION PROCESS

The revalidation process of AOC holders are as follows:

The initial Pre-application and the Formal Application Phases of the AOCR second edition need not be complied with by existing AOC holders as they have already been in operation for a number of years. Those AOC holders may therefore be assessed with the next phase of the normal process of AOC issuance which is normally Document Evaluation. This phase ensures that the AOC holder updates or revises as necessary, the holder's manuals to comply with any new requirements that may have come up in the new AOCR. In some cases, they may need to write up new manuals.

Therefore for this process, the concerned units of CAAN will go through the following phases during their AOC Revalidation Program:

- Phase 1-Write up of the AOC Revalidation Procedure and its approval from the Director General
- Phase 2-Formation of the core unit of Inspectors and Officers headed by a Project Manager for the implementation of the program.
- Phase 3-Document Compliance Verification
- Phase 4-Inspection, demonstration of activities including Validation Flight
- Phase 5-Completion

1.2.2 MUTUALLY ADVANTAGEOUS

- A. This revalidation project is mutually advantageous to both the airlines and CAAN, in that it will serve to confirm that Nepalese air operators have been properly certificated to international standards. This confirmation should lead to more timely approvals for international operations.
- B. Airlines involved in revalidation should support this process by—
 - 1) Ensure compliance of their employees and service providers,
 - 2) Provide timely support (personnel and documents) to facilitate the process,
 - 3) Ensure timely access to local and international facilities; and
 - 4) Cooperate with the CAAN-FSSD to achieve timely resolution of any regulatory issues identified.

1.3 PROCEDURE

1.3.1 REVALIDATION TEAMS

- A. The CAAN-FSSD team will use the technical personnel assigned as the core members of the revalidation teams. The Revalidation Team will consist of a—

- Project Manager-who in this case will be the Manager, AOC Section
- Operations Team Member – from the Flight Operations Section
- Airworthiness Team Member – from the Airworthiness Inspection Division

- B. When technical evaluation of aircraft type- specific manuals and training is required, the CAAN must use as far as possible, inspectors that are aircraft-type and equipment qualified,

The team will be supported by -

- Aircraft type-specific qualified Flight Operations Inspectors
- Maintenance inspectors with qualification in the aircraft-specific maintenance activities
- Avionics inspectors with qualification training in the aircraft-specific avionics and computer systems

- C. After the Manager, AOC Section has been assigned, he shall conduct a meeting with his team and review the CAAN files for:
- 1) The AOC certificate granted to this organization;
 - 2) The current operations specifications issued to this organization;
 - 3) The approved Operations and Maintenance Manuals in PDF file format (or an alternative method acceptable to CAAN);
 - 4) Any other manuals e.g. Safety Management System Manual, which may be in use by the organization;
 - 5) The CAAN audit records for the past 12 months;
 - 6) The resolution of any safety concerns identified by CAAN during surveillance or incident or complaint investigation; and
 - 7) The previous CAAN records of certification.
 - 8) The minutes of the revalidation meeting with his team.
- D. The operator's accountable manager should be advised by the Manager, AOC Section of the CAAN intent to conduct a formal re-validation process.
- 1) The Manager, AOC Section should provide this notification by telephone contact, followed by a formal letter.
 - 2) The Manager, AOC Section should be prepared to conduct a meeting with the operator's management to explain the re-validation process and goals before initiation of the first validation inspections.
 - 3) The re-validation package should be provided:
 - Revalidation Checklist
 - CAAN Schedule of Events
 - Applicable Publications and Documents Checklist
 - 4) The minutes of the meeting should be prepared.
- E. The Manager, AOC Section shall ensure that every meeting is documented and shall conduct a debriefing with the members of the certification team in preparation for the Document Compliance - Phase 3.

1.4 DOCUMENT COMPLIANCE - PHASE 3

1.4.1 GENERAL

- A. The CAAN will establish that the AOC holders are in complete compliance with the applicable regulations as a first step.
- B. Because the primary thrust of this revalidation is conformance to the existing regulations, this activity is the most critical step in the process.
- C. The outcome of this portion of this sub-project will be—
 - 1) Manual cites for conformance to the regulations included in the manual system with the appropriate paragraphs of policy/procedure in specific manuals;
 - 2) The manual texts referenced by the regulations cite must contain or paraphrase the requirements of the regulations and not be less restrictive than the regulation requirement.

- 3) All required conformance checklists will be completed by the organization, with the specific manual and paragraph references cited for applicable regulations;
- 4) The CAAN-FSSD has audited the regulatory conformance checklists and manual references;
- 5) The final version of each conformance checklist is correct and acceptable to the CAAN-FSSD.

1.4.2 CAAN-FSSD PARTICIPATION IS AUTHORIZED

- A. Normally, the CAAN-FSSD personnel are not authorized to assist an applicant in the detailed completion of a regulations compliance checklist.
- B. But during the transition period, the revalidation team may assist the organization's personnel in the proper methodology for—
 - 1) Acrobat pdf searches for required policy and procedures text;
 - 2) Locating and positioning the manual cite references in the manual text;
 - 3) Advising the entry of manual and paragraph references in the conformance checklist; and
 - 4) Providing advice regards the proper applicant comment when there is no need for the organization to insert an applicable manual reference.
- C. During this period, the CAAN-FSSD re-validation team is not authorized to—
 - 1) Perform the tasks of the organization's personnel to modify the manual text to insert the regulatory cities into the manual(s); or
 - 2) Insert the proper manual references or comments into the conformance checklist(s); or
 - 3) Audit the conformance checklist while assisting the organization's personnel;

1.4.3 EXEMPTIONS & DEVIATIONS

- A. It is not unusual to issue both exemptions and deviations to organizations during their transition to new requirements if the CAAN determines that the organization—
 - 1) Will implement an alternative method that has an equivalent level of safety;
 - 2) Needs a period of time to fully implement the requirement; or
 - 3) Is one of grouping of operators that should be given a deviation to achieve the overall objective of revalidation under the new regulations.

1.4.4 IDENTIFIED ISSUES

- A. The use of Adobe pdf commenting in the manuals is highly recommended. A copy of each saved digital file with comments should be retained for the CAAN files, before providing a duplicate copy of the file to the airline.
- B. The CAAN-FSSD re-validation team will follow the AOC Certification and Administration Manual guidance for processing manuals and conformance checklists, except the re-validation team may choose to expand on their comments and suggested corrections in meetings with organization's personnel.
- C. With the organization's personnel correcting the documents on the computer, the CAAN- FSSD team may read the comments and review the organization's corrections on-the-spot.

1.4.5 TECHNICAL PROGRAM EVALUATION

The start of this sub-project should be staggered to allow the regulatory conformance sub-project to become fully functional and progressing.

- A. For these evaluations, the CAAN will use additional technically qualified inspectors to targeted evaluations of specific technical programs.
- B. The program selected by the CAAN management for evaluation will be based on level of risk imposed by the particular program.
 - Complex programs (EDTO and AWO) will be treated separately.

1.4.6 RESERVED**1.4.7 FOLLOW CAAN GUIDANCE**

- A. Follow the guidance in the AOC Certification and Administration Manual for selection of technical programs/ manuals and other document references
- B. Use the Operations and Airworthiness Inspector Manual guidance for specific review of programs/manuals. Also use the applicable advisory circulars as general guidance.
- C. The Program Manager shall ensure that every meeting is documented and shall conduct a debriefing with the members of the certification team in preparation for the Inspection - Phase 4.

1.5 INSPECTION - PHASE 4

1.5.1 GENERAL

- A. Review the AOC Certification and Administration Manual regarding inspections that should be conducted prior to initiating a series of validation flights.
- B. It is important that support organizations and crew records have been inspected prior to the validation flights.

1.5.2 RESERVED**1.5.3 FOLLOW CAAN INSPECTOR GUIDANCE**

- A. Follow the guidance in the AOC Administration Manual for sequencing of preparatory inspections and demonstrations.
- B. Use the Operations and Airworthiness Inspector Manual guidance for specific inspections and demonstration.

1.5.4 VALIDATION INSPECTION

- A. The following should be inspected to give the CAAN a chance to assess the operational functioning of its policies, programs and procedures:
 - Main Operations Base
 - Air Operator Conducting Training
 - ✓ Flight Crew Member Training
 - ✓ Cabin Crew Training
 - ✓ Flight Operations Officer/Dispatch Training
 - Main Maintenance Base
 - Line/Station Facilities
 - Flight Deck Ramp
 - Cabin Ramp
 - Airworthiness Ramp
 - Validation Flights
 - Flight Deck Enroute
 - Cabin Enroute

1.5.5 NO OUTSTANDING ISSUES

There must not be any outstanding issues at the conclusion of the last validation flight specific to the special approval being assessed.

- 1.5.6** The Manager, AOC Section shall ensure that every meeting is documented and shall conduct a debriefing with the members of the certification team in preparation for the Completion – Phase 5.

1.6 COMPLETION – PHASE 5

1.6.1 DOCUMENTS MUST BE COMPLIANT

- All technical documents must be determined to be compliant with applicable regulations.
- All technical documents be in final with any identified issues resolved.
- AOC Renewal Checklist must be completed.

1.6.2 NO OUTSTANDING VALIDATION ISSUES

- The re-validation process cannot be concluded until all issues identified during the Validation Inspections have been resolved.
- At least one additional “no issues” inspection must be conducted to confirm the resolution of any issues identified previously during a similar inspection.

1.6.3 RE-VALIDATION REVIEW MEETING

- A. The Manager, AOC Section will conduct a meeting with the certification team to ensure that this certification project has been completed properly.
- B. This meeting will include a review, for this project number, of the—
 - 1) Planned Certification Summary Report (which should have no records); and
 - 2) Completed Revalidation Summary Report.
- C. The team will ensure that each inspector's participation in the project has been properly recorded, including correct dates.

1.6.4 COMPLETED CERTIFICATION REPORT BINDER (Memo File)

- A. Follow the guidance in the AOC Certification and Administration Manual for the final certification actions phase and ensure that an Completed Certification Summary Binder is provided to the CAAN-FSSD Chief.
- B. This binder will include—
 - 1) The Director General's determination and revalidation team recommendation(s) the original AOC, and the renewed AOC as appropriate, plus the associated operations specifications.
 - 2) Revalidation Team assignment
 - 3) Plan of revalidation
 - 4) Notification to AOC holder of Revalidation and revalidation plan
 - 5) All approval documents reissued during the revalidation;
 - 6) A printout of the Completed Certification Project report for the assigned project numbers; Printout of CME report demonstrating that there are no outstanding issues at the time of the final review meeting. Printout of Safety Concerns report demonstrating that there are no open safety concerns related to the re-validation (renewal)
 - 7) Copy of the final compliance checklists;
 - 8) A printout of the updated Organization Comprehensive Report for the operator.
 - 9) A printout of any Safety Concerns identified and resolved during the revalidation project.
 - 10) Original AOC, and the renewed AOC as appropriate, plus the associated operations specifications

1.6.5 RECOMMENDATION RE-VALIDATION

At the conclusion of the review meeting the Manager, AOC Section will prepare a record of the meeting that includes at least:

- Time / date / place / participants
- Recommendation for Approval or disapproval with signature of each team member
- Final recommendation approval or disapproval with signature of Manager, AOC Section

1.6.6 FINAL DETERMINATION OF RE-VALIDATION

- A. The Recommendation from 1.6.5 will be provided to the Director General
- B. The final determination of approval or disapproval will be made by the Director.

1.6.7 COMMUNICATION OF DETERMINATION

The determination of the decision of the Director General will be communication formally in writing to the AOC holder if this decision is to disapprove; the communication will indicate the reason why and indicate required next steps to be taken.

1.7 RENEWAL OF AOC

A. IF the AOC under the revalidation process is due for renewal shortly after the anticipated completion of the validation process, the following actions will be completed:

1) RECOMMENDATION RENEWAL

At the conclusion of the review meeting the coordinator will prepare a record of the meeting that includes at least:

- Time / date / place / participants
- Recommendation for Approval or disapproval with signature of each team member
- Final recommendation approval or disapproval with signature of Manager, AOC Section.

2) DOCUMENT MUST BE COMPLIANT

- All technical documents must be determined to be compliant with applicable regulations.
- Regulations compliance checklists must be acceptable in final.
- All technical documents be in final with any identified issues resolved.

3) NO OUTSTANDING VALIDATION ISSUES

- The re-validation process cannot be concluded until all issues identified during the
- Validation Inspections have been resolved.
- At least one additional “no issues” inspection must be conducted to confirm the resolution of any issues identified previously during a similar inspection.

4) FINAL DETERMINATION OF RENEWAL

- 1) The Recommendation from 1.6.5 will be provided to the Director General
- 2) The final determination of approval or disapproval will be made by the Director General.

5) COMMUNICATION OF DETERMINATION

The determination of the decision of the Director General will be communicated formally in writing to the AOC holder if this decision is to disapprove; the communication will indicate the reason why and indicate required next steps to be taken.

AIR OPERATOR CERTIFICATE REVALIDATION				
NAME OF AIR OPERATOR:				
PRE-APPLICATION - PHASE				
DEPT	SUBJECT	REFERENCE DOCUMENTS	DATE (DD/MM/YYYY)	REMARKS
	3. Air Operator Advised		-	-
	A. Letter of Revalidation Meeting released	FSSD Letter No.		
	B. Letter of confirmation received from Air Operator			
	4. Revalidation Meeting conducted Discussed and explained the following:			
OPS/ AWD	A. Overview of Revalidation Process	-	-	-
	B. Revalidation Package provided:			
	• Revalidation Checklist			
	• CAAN Schedule of Events			
	• Applicable Publications and Documents Checklist			
	C. Minutes of the meeting prepared			
	5. CAAN Team debriefing in preparation for the next Phase conducted Details noted in Remarks Section as required.			
Remarks:				
ACKNOWLEDGEMENT/SIGNATURE (as applicable)				
<u>Certification Project Manager</u>		<u>Principal Operations Inspector</u>		<u>Principal Airworthiness Inspector</u>
_____		_____		_____
_____		_____		_____

AIR OPERATOR CERTIFICATE REVALIDATION							
NAME OF AIR OPERATOR:							
DOCUMENT COMPLIANCE – PHASE 3							
DEPT	SUBJECT	REFERENCE DOCUMENT		DATE APPROVED/ACCEPTED		Inspector Initials	REMARKS
OPS/ AWD	1. Regulations Compliance Checklist	AOCR 2 ND Edition					
	2. Management Qualifications evaluated	AOCR 2 ND Edition Chapter 3.7					
OPS	3. Applicable Company Manuals/ Operation Procedures evaluated	-	-	-	-	-	-
	A. Completed Flight Operations Manual (Part A, B, C and D).	FOR Appendix 1					
	B. Airplane Flight Manufacturer Manual	AOCR 4.6.3					
	C. Company Aircraft Operations Manual (OM Part B)	FOR Appendix 1					
	D. Aircraft Checklists	FOR Appendix 1 part B 2.2.12					
	E. Cabin Crew Safety Manual	FOR Appendix 1 part B 2.2.12					
	F. Dispatch/Flight Following	FOR 4.3, 4.6, Appendix 1 part A 2.1.5					
	G. Station Operations	FOR appendix 1 part A 2.1.9, Chapter 18					
	H. Company Emergency Response Manual	AOCR Chapter 2, 2.1.2					
	I. Dangerous Goods	AOCR Chapter 2, 2.1.2					
AWD	K. Maintenance Technical Manual	-	-	-	-	-	-
	K.1. Aircraft Maintenance Program Manual	NCAR Part-M.302; NCAR Chapter E.2, Para 2					
	K.2. Airframe/ Powerplant	NCAR Part 145.A.45					
	K.3. Structure Repair	NCAR Part 145.A.45					
	K.4. Parts Catalogue	NCAR Part 145.A.45					
	K.5. Inspection Procedures	NCAR Part 145.A.45					
	K.6. Manufacturer's or Vendor's Wiring Manual	NCAR Part 145.A.45					

AIR OPERATOR CERTIFICATE REVALIDATION							
NAME OF AIR OPERATOR:							
DOCUMENT COMPLIANCE – PHASE 3					JOB AID		
DEPT	SUBJECT	REFERENCE DOCUMENT	INSPECTOR SIGNATURE	DATE STARTED (DD/MM/YYYY)	DATE RESUBMITTED (DD/MM/YYYY)	DATE APPROVED/ACCEPTED	REMARKS
OPS	5. Applicable Training Manuals evaluated	-	-	-	-	-	-
	A. Emergency Training	FOR Chapt. 15, 15.5.					
	B. Dangerous Goods	FOR Chapt. 15, 15.5					
	C. Security Training	FOR Ch. 13, 13.4					
	D. SMS Training	CAAN SMS Requirement 2010 para 9.2					
	E. CRM Training	FOR Chapt. 15, 15.5					
	E.1. Flight Crew Training Manuals	FOR appendix 1, part D					
	E.2. Flight Operations Officer/Dispatcher Training Manuals	FOR chapter 15, 15.7 AOCR 4.5.1					
AWD	E.3. Cabin Crew Training Manuals	AOCR 4.5.1 FOR ch. 12, 12.4					
	E.4. Maintenance Training Manuals						
	6. CAAN Team debriefing in preparation for Phase III conducted Details noted in Remarks Section as required.						
Remarks:							
ACKNOWLEDGEMENT/SIGNATURE (as applicable)							
_____		_____		_____			
Certification Project Manager		Flight Operations Inspector		Airworthiness Inspector			
_____		_____		_____			
Dangerous Goods Safety Inspector							

AIR OPERATOR CERTIFICATE REVALIDATION						
NAME OF AIR OPERATOR:						
INSPECTION – PHASE 4					JOB AID	
DEPT	SUBJECT	REFERENCE DOCUMENT	INSPECTOR SIGNATURE	DATE STARTED (DD/MM/YYYY)	DATE COMPLETED (DD/MM/YYYY)	REMARKS
OPS	1. Main Operations Base inspected	AOCR Chapt. 6				
	2. Air Operator Conducting Training inspected	-	-	-	-	-
	A. Flight Crew Member Training	AOCR Chapter 6.1.3.5				
	B. Cabin Crew Training	AOCR Chapter 6.1.3.6, 6.1.3.12				
	C. Flight Operations Officer/Dispatch Training					
AWD	3. Main Maintenance Base inspected					
	4. Line/Station Facilities inspected					
OPS	5. Flight Deck Ramp Inspection	AOCR 6.1.4.2, 6.1.4.3 FOI manual Vol III, ch 12				
	6. Cabin Ramp Inspection	AOCR 6.1.4.2, 6.1.4.4.3				
	7. AW Ramp Inspection					
OPS/ AWD	8. Demonstration Flights Conducted	AOCR				
OPS	9. Flight Deck Enroute	FOI manual vol. III CH 9				
	10. Cabin Enroute Inspection	AOCR 6.1.4.4.3 FOI manual vol III ch 10				
OPS/ AWD	11. CAAN Team debriefing in preparation for Phase 5 Details noted in Remarks Section as Required	AOCR second edition				
ACKNOWLEDGEMENT/SIGNATURE (as applicable)						
_____		_____		_____		
Certification Project Manager		Flight Operations Inspector		Maintenance Inspector		
_____		_____		_____		
Flight Dispatch Safety Inspector		Cabin Safety Inspector		Dangerous Goods Safety Inspector		

AIR OPERATOR CERTIFICATE REVALIDATION				
NAME OF AIR OPERATOR:				
COMPLETION – PHASE IV			JOB AID	
DEPT	SUBJECT	REFERENCE DOCUMENTS	DATE (DD/MM/YYYY)	REMARKS
OPS/ AWD	6. Revalidation Team Meeting conducted Certification Files Reviewed:	AOCR 2 nd edition		
	J. Planned Certification Summary Report	AOCR 2 nd edition		
	K. Completed Revalidation Summary Report	AOCR 2 nd edition		
	7. Certification Report Binder Completed	AOCR 2 nd edition	-	-
	A. Revalidation Team assignment	AOCR 2 nd edition		
	B. Plan of Revalidation	AOCR 2 nd edition		
	C. Notification to AOC holder of Revalidation and revalidation plan	AOCR 2 nd edition		
	D. Copy of the final Regulations compliance checklists(RCC);	AOCR 2 nd edition		
	E. All approval documents reissued during the revalidation;	AOCR 2 nd edition		
	F. Printout of the Completed Certification Project report for the assigned project numbers;	AOCR 2 nd edition		
	G. Summary of Closure of all findings/Safety Concerns	AOCR 2 nd edition		
	H. Printout of the updated Organization Comprehensive Report for the operator.	AOCR 2 nd edition		
	I. Director General's determination and revalidation team recommendation	AOCR 2 nd edition		
J. Original AOC, and the renewed AOC as appropriate, plus the associated operations specifications	AOCR 2 nd edition			

AIR OPERATOR CERTIFICATE REVALIDATION				
NAME OF AIR OPERATOR:				
COMPLETION – PHASE IV			JOB AID	
DEPT	SUBJECT	REFERENCE DOCUMENTS	DATE (DD/MM/YYYY)	REMARKS
OPS/ AWD	8. Air Operator Advised	AOCR 2 nd edition	-	-
	A. Letter of Approval/Disapproval released to the Air Operator	AOCR 2 nd edition		
	B. Letter of Confirmation received from the Air Operator	AOCR 2 nd edition		
	9. CAAN Team Final Debriefing to close the Revalidation Process Details noted in Remarks section as required.	AOCR 2 nd edition	-	-
Remarks:				
ACKNOWLEDGEMENT/SIGNATURE (as applicable)				
_____	_____	_____		
Certification Project Manager	Principal Operations Inspector	Principal Maintenance Inspector		
_____	_____	_____		
_____	_____	_____		