

PERATURAN DIREKTUR JENDERAL PERHUBUNGAN UDARA

NOMOR : KP 619 TAHUN 2015

TENTANG

PETUNJUK TEKNIS BAGIAN 8900 -2.1

(*STAFF INSTRUCTION 8900 - 2.1*)

PROSEDUR PENERBITAN, PERPANJANGAN ATAU PERUBAHAN
SERTIFIKAT OPERATOR PESAWAT UDARA BAGIAN 121
DAN BAGIAN 135 (*CERTIFICATION OR RENEWAL OR AMENDMENT OF A CASR
PART 121 AND PART 135 AIR OPERATOR CERTIFICATE (AOC)*)

DENGAN RAHMAT TUHAN YANG MAHA ESA

DIREKTUR JENDERAL PERHUBUNGAN UDARA,

- Menimbang :
- a. bahwa diperlukan prosedur bagi personel Direktorat Kelaikan Udara dan Pengoperasian Pesawat Udara dalam rangka pelaksanaan proses penerbitan, perpanjangan atau perubahan sertifikat operator pesawat udara berdasarkan Peraturan Keselamatan Penerbangan Sipil Bagian 121 dan Bagian 135;
 - b. bahwa berdasarkan pertimbangan sebagaimana dimaksud pada huruf a, perlu menetapkan Peraturan Direktur Jenderal Perhubungan Udara tentang Petunjuk Teknis Bagian 8900 -2.1 (*Staff Instruction 8900 - 2.1*) Prosedur Penerbitan, Perpanjangan Atau Perubahan Sertifikat Operator Pesawat Udara Bagian 121 Dan Bagian 135 (*Certification Or Renewal Or Amendment Of A CASR Part 121 And Part 135 Air Operator Certificate (AOC)*);
- Mengingat :
1. Undang-Undang Nomor 1 Tahun 2009 tentang Penerbangan (Lembaran Negara Republik Indonesia Tahun 2009 Nomor 1, Tambahan Lembaran Negara Republik Indonesia Nomor 4956);
 2. Peraturan Presiden Nomor 7 Tahun 2015 tentang Organisasi Kementerian Negara (Lembaran Negara Republik Indonesia Tahun 2015 Nomor 8);

3. Peraturan Presiden Nomor 40 Tahun 2015 tentang Kementerian Perhubungan (Lembaran Negara Republik Indonesia Tahun 2015 Nomor 75);
4. Keputusan Menteri Perhubungan Nomor KM 18 Tahun 2002 tentang Persyaratan-Persyaratan Sertifikasi Dan Operasi Bagi Perusahaan Angkutan Udara Niaga Untuk Penerbangan Komuter dan Charter sebagaimana telah beberapa kali diubah, terakhir dengan Peraturan Menteri Perhubungan Nomor PM 152 Tahun 2015;
5. Peraturan Menteri Perhubungan Nomor KM 60 Tahun 2010 tentang Organisasi dan Tata Kerja Kementerian Perhubungan sebagaimana telah diubah terakhir dengan Peraturan Menteri Perhubungan Nomor PM 68 Tahun 2013;
5. Peraturan Menteri Perhubungan Nomor PM 28 Tahun 2013 tentang Peraturan Keselamatan Penerbangan Sipil Bagian 121 (*Civil Aviation Safety Regulation Part 121*) Tentang Persyaratan-Persyaratan Sertifikasi Dan Operasi Bagi Perusahaan Angkutan Udara Yang Melakukan Penerbangan Dalam Negeri, Internasional Dan Angkutan Udara Niaga Tidak Berjadwal (*Certification And Operating Requirements: Domestic, Flag, And Supplemental Air Carriers*) sebagaimana telah diubah terakhir dengan Peraturan Menteri Perhubungan Nomor PM 107 Tahun 2015;
6. Peraturan Menteri Perhubungan Nomor PM 59 Tahun 2015 tentang Kriteria, Tugas dan Wewenang Inspektur Penerbangan;

M E M U T U S K A N

Menetapkan : PERATURAN DIREKTUR JENDERAL PERHUBUNGAN UDARA TENTANG PETUNJUK TEKNIS BAGIAN 8900 -2.1 (*STAFF INSTRUCTION 8900 - 2.1*) PROSEDUR PENERBITAN, PERPANJANGAN ATAU PERUBAHAN SERTIFIKAT OPERATOR PESAWAT UDARA BAGIAN 121 DAN BAGIAN 135 (*CERTIFICATION OR RENEWAL OR AMENDMENT OF A CASR PART 121 AND PART 135 AIR OPERATOR CERTIFICATE* (AOC))

Pasal 1

Memberlakukan Petunjuk Teknis Bagian 8900 -2.1 (*Staff Instruction 8900 – 2.1*) Prosedur Penerbitan, Perpanjangan Atau Perubahan Sertifikat Operator Pesawat Udara Bagian 121 Dan Bagian 135 (*Certification Or Renewal Or Amendment Of A CASR Part 121 And Part 135 Air Operator Certificate (AOC)*), sebagaimana tercantum dalam Lampiran yang merupakan bagian tak terpisahkan dari Peraturan ini.

Pasal 2

Petunjuk Teknis sebagaimana dimaksud dalam Pasal 1 mengatur prosedur yang digunakan oleh personel Direktorat Kelaikan Udara dan Pengoperasian Pesawat Udara dalam proses:

- a. Penerbitan Sertifikat Operator Pesawat Udara (*Air Operator Certificate*);
- b. Perubahan/Amandemen terhadap Sertifikat Operator Pesawat Udara (*Air Operator Certificate*), Spesifikasi Operasi (*Operations Specification*) dan *Authorization Condition Limitation*; dan
- c. Perpanjangan Sertifikat Operator Pesawat Udara (*Renewal of An Air Operator Certificate*).

Pasal 3

Pada saat Peraturan ini mulai berlaku:

1. Instruksi Kepala Direktorat Sertifikasi Kelaikan Udara tanggal 16 Juli 1997 tentang Staff Instruction (SI (O) 121-01) *Air Carrier Certification Process*;
2. Ketentuan Volume 2 Chapter 1, Chapter 2 dan Chapter 12 dalam Peraturan Direktur Jenderal Perhubungan Udara Nomor SKEP/44/III/2010 tentang *Staff Instruction 8300 Airworthiness Inspector's Handbook*;
3. Ketentuan Volume 2 Chapter 61 dalam Peraturan Direktur Jenderal Perhubungan Udara Nomor SKEP/45/III/2010 tentang *Staff Instruction 8400 Flight Operation Inspector's Handbook*;

dicabut dan dinyatakan tidak berlaku.

Pasal 4

Direktur Kelaikan Udara dan Pengoperasian Pesawat Udara mengawasi pelaksanaan Peraturan ini.

Pasal 5

Peraturan ini mulai berlaku sejak tanggal ditetapkan.

Ditetapkan di JAKARTA
Pada tanggal : 27 OKTOBER 2015

DIREKTUR JENDERAL PERHUBUNGAN UDARA

ttd.

SUPRASETYO

Salinan sesuai dengan aslinya
KEPALA BAGIAN HUKUM DAN HUMAS,



HEMI PAMURAHARJO
Pembina Tk. I (IV/b)
NIP. 19660508 199003 1 001

LAMPIRAN
PERATURAN DIREKTUR JENDERAL PERHUBUNGAN UDARA
NOMOR : KP 619 TAHUN 2015
TENTANG
PETUNJUK TEKNIS BAGIAN 8900 – 2.1 (*STAFF INSTRUCTION
8900 – 2.1*) PROSEDUR SERTIFIKASI, PERPANJANGAN ATAU
PERUBAHAN UNTUK SERTIFIKAT OPERATOR PESAWAT
UDARA BAGIAN 121 ATAU BAGIAN 135 (*CERTIFICATION OR
RENEWAL OR AMENDMENT OF A CASR PART 121 AND PART
135 AIR OPERATOR CERTIFICATE (AOC)*)
TANGGAL : 27 OKTOBER 2015

Staff Instruction

SI 8900 – 2.1

**Certification or Renewal or Amendment of
a CASR Part 121 and Part 135 Air Operator
Certificate (AOC)**

Amendment : -

Date : 27 October 2015

**REPUBLIC OF INDONESIA – MINISTRY OF TRANSPORTATION
DIRECTORATE GENERAL OF CIVIL AVIATION
JAKARTA – INDONESIA**

AMENDMENT RECORD LIST

Amendment No.	Issue Date	Inserted By	Insertion Date
Original issue			

SUMMARY OF AMENDMENTS

Amendment No.	Source/s	Subject/s	Approved
Original			

FOREWORD

1. **PURPOSE** : This Staff Instruction has been prepared to guide and assist applicable personnel of the Directorate of Airworthiness and Aircraft Operations, Directorate General of Civil Aviation, in the processes and procedures leading to the issuance of an Air Operator Certificate.
2. **REFERENCES** : This Staff Instruction should be used in accordance with the applicable regulations.
3. **CANCELLATION** : Staff Instruction Number SI (O) 121-01 original issued, dated July 16, 1997 and SI 8400 Volume 2 Chapter 1, 2, 12, and SI 8300 Volume 2 Chapter 61, have been canceled.
4. **AMENDMENT** : The amendment of this Staff Instruction shall be approved by the Director General of Civil Aviation.

DIRECTOR GENERAL OF CIVIL AVIATION

ttd.

SUPRASETYO

Salinan sesuai dengan aslinya
KEPALA BAGIAN HUKUM DAN HUMAS,



HEMI PAMURAHARJO

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CHAPTER I GENERAL

1. PURPOSE

This Staff Instruction contains guidance information and prescribes the responsibilities, policies, and procedures to be used by DAAO Inspectors involved in the certification process required of an applicant for an Air Operator Certificate (AOC). All applicants requesting to operate under CASR 121 or CASR 135 must be certified as an air operator.

This “operational” certification process is not to be confused with the “aircraft” certification process of CASR Part 25 and 23.

2. REGULATORY REFERENCES

Civil Aviation Safety Regulations (CASRs) Part 121 and Part 135 are the primary regulatory basis defining the certification and operating requirements organizations must follow to be eligible for the issuance of an AOC. CASR Part 91 also contains regulations that an AOC holder must follow as Part 91 addresses all aircraft.

3. BACKGROUND

The recent and continued growth of the air transportation sector in Indonesia, including passenger and cargo operations, has necessitated the Directorate General of Civil Aviation (DGCA) to replace the previous CASRs with new ones that will better ensure the safety of the traveling public and the airworthiness of aircraft. It is therefore necessary to provide the DAAO Inspector detailed guidance information in the application of these new regulations pertaining to air operator certification. As the DAAO Inspector applies the steps of this certification process he will also ensure that the prospective AOC holders understand their duty and responsibility of providing the highest degree of safety possible. With the satisfactory completion of this process the applicant will understand and be able to comply with the applicable CASRs.

4. APPLICABILITY

The information in this Staff Instruction applies to DAAO Inspectors processing an application from any organization wishing to hold an AOC issued by the DGCA. As stated in the applicable CASRs. The aircraft involved in the operation could be a leased aircraft of foreign registry, or a PK registered aircraft. The operation could consist of passenger transportation, cargo or charter operations or a combination thereof. The information on the types and sizes of aircraft involved in the operation may be found in the applicable CASRs.

CHAPTER II THE CERTIFICATION PROCESS PHASES

1. GENERAL

This Chapter describes the process which both the applicant and the DAAO Inspector must undergo to ensure the applicant complies with all the certification and operational requirements before issuance of an Air Operator Certificate (AOC).

CASR 121.26 states that “Each application for an air operator certificate shall be made in the form and manner and contain information prescribed by the Director”. This Staff Instruction contains the necessary information for the DAAO Inspector to determine if the applicant’s application is submitted properly and contains the necessary information. During this certification process, the applicant and the DAAO Inspectors must communicate frequently and interact very closely to make the process successful. The process has been designed so that an applicant’s programs, systems, and intended methods of compliance are thoroughly reviewed, evaluated, and tested. During this certification process any deficiencies found in the applicant’s programs, systems or intended methods of compliance should be corrected. This will provide reasonable assurance that after certification the applicant’s operation will be able to continue to comply with the applicable regulations. The certification process consists of five phases which are individually described in the remainder of this chapter. These five phases are:

- a. Phase I (Pre application Phase);
- b. Phase II (Formal Application Phase);
- c. Phase III (Document Compliance Phase);
- d. Phase IV (Demonstration and Inspection Phase);
- e. Phase V (Certification Phase).

Paragraph 2 through 6 of this chapter contain detailed information on required documents and tests that also need to be reviewed/conducted during the applicable phases of the certification process.

2. PRE APPLICATION PHASE

- a. *Initial contact with applicant.* The Pre application Phase of the certification process is designed to ensure the proposed applicant fully understands the certification process and for the DAAO Inspectors to provide explanations of specific requirements. This phase may consist of one or several meetings depending on the previous experience of the proposed applicant. Requests for application may come from inexperienced and unprepared people as well as from experienced well organized people. These meetings also serve to allow the proposed applicant to explain in as much detail as possible his 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. After the first contact with the proposed applicant, that should be initiated by formal letter with attachment of the business permit (SIUAU) issued by Directorate of Air Transport (DAT), the DAAO should instruct the proposed applicant how to obtain the appropriate regulations and advisory material and ask the proposed applicant review this material before a meeting takes place.

Note: Business permit (SIUAU) is issued by DAT in accordance with requirement prescribed in CASR 121.27(a) regarding with financial/economic analysis of the applicant.

- b. Preliminary Assessment. During the first meeting (depending on the previous experience of the proposed applicant) only basic information and general requirements might be discussed. After preliminary assessment the DAAO should make a determination if the proposed applicant is qualified or not to apply for certification. If the DAAO have determined that the proposed applicant is not qualified they should explain to the applicant the reasons why they are not qualified and the steps they should take to become qualified if they still want to apply. If the DAAO determine that the proposed applicant is qualified to apply for certification and the applicant wants to proceed with the certification process then the DGCA “Pre Application Statement of Intent“ form should then be given to the applicant to fill out. *This form should not be given to the applicant until he has reviewed the appropriate regulations and advisory material and considered the personnel, facility, equipment, aircraft, and paperwork requirements for certification and operation.* The DAAO should answer any questions the applicant may have regarding the “Pre application Statement of Intent form and request that after this form is completed and signed the applicant should schedule the Pre application Phase meeting with the DAAO.
- c. *Attendance of applicant’s management personnel at Pre application Phase Meeting.* If not in attendance at this first informal meeting the DAAO Inspectors should inform the applicant that it is required that the applicant’s key management personnel attend the Pre application Phase meeting. The applicant must be informed that the minimum management personnel that should be in attendance are the company’s President Director, Director of operations, Director of Maintenance, Director of Safety, Chief Pilot, Chief Inspector, and other management positions that the applicant may perform the operation with the highest degree of safety. The requirement for these positions is stated in CASR 121.59/135.43. The minimum qualifications for these positions are stated in CASR 121.61/135.45.

- d. Certification Team Assignment . By the time the applicant arrives at the DAAO for the scheduled Pre application Phase meeting (with the completed Pre application Statement of Intent form) the DAAO should have already taken several preparatory steps.
- 1) **An AOC certification project and file must be created.**
 - 2) **The DAAO must have held an internal meeting to create a team of Inspectors responsible for this certification project.**
 DGCA should appoint an inspector as the project manager and establish a certification team consisting of qualified and experienced inspectors of the necessary specializations, such as operations, and airworthiness (maintenance and/or avionic). The applicant should be informed that the certification project manager (CPM) 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 the DGCA. If in the CPM opinion other specialized inspector may be needed, CPM can appoint specialized inspector as a team member
 - 3) **A Certification Project Manager (CPM) must be assigned to the team.** This project manager should be an experienced Inspector thoroughly familiar with the certification process. He/She may be one of the Inspectors already assigned as a team member. He/She will serve as the primary DAAO focal point throughout the certification process. He/She must co-ordinate all certification matters with all the other Inspectors assigned as team members. The applicant and the DAAO team members should be notified that all correspondence **MUST** be addressed and coordinated with the Certification Project Manager. It is each team member responsibility to keep the Certification Project Manager informed throughout the entire certification project. Any item that is found that may cause a delay in the certification project must be **immediately** brought to the attention of the Deputy Director of Standard.
- e. *Pre application Statement of Intent.* The pre application meeting is very important and is a good indication of how the certification program will progress. In the pre application meeting, after the Certification Project Manager introduces each of the team members and briefly explains their functions, the Pre application Statement of Intent form should be reviewed. Information such as management personnel, type of operation, type(s) of aircraft, geographic areas of operation and location of facilities should be verified as accurate.
- f. *Precertification information package.* After the review of the Pre application Statement of Intent, the precertification information package should be given to the applicant. Contained in this package should be:
- 1) Certification Job Aid;
 - 2) Sample Format For Schedule Of Events;
 - 3) Example of formal application letter;

- 4) Other publications or documents that the Certification Project Manager considers appropriate.

These documents are explained in detail later in this Staff Instruction.

It is recognized that the Certification Job Aid is a document primarily for the use of DAAO Inspectors but it is also a very valuable checklist for the applicant to have. It allows the applicant to better prepare the areas in which he now knows the DAAO Inspector will be sure to review.

- g. *Briefing the applicant.* At the pre application meeting, the applicant should be briefed in as much detail as necessary to ensure that they understand the certification process. The CPM should use the “Certification Job Aid” and “Schedule of Events” format as guides for discussion and assure that all the elements of the certification process are covered. The applicant should be encouraged to ask questions about any area of the process that is not clearly understood. At this point in the process the applicant should already have a good knowledge of the regulations necessary to be complied with but the DAAO Inspectors should still offer to clear up any questions the applicant may have regarding the regulations.
- h. *Instructions to the applicant on the Formal Application/Process for an AOC.* Although the Pre application Phase has not yet been concluded it is essential during the pre application meeting for the applicant to have a clear understanding of the form, content, and documents required for formal application. So that there is no confusion, the definition of “Formal Application” should be clearly explained to the applicant.

“Formal Application” does not just mean an “application form” consisting of one or more sheets of paper as the name may imply. Formal Application consists of several documents and company manuals that should be in a fairly complete/mature state and accompanied with the formal application letter. The minimum documents and manuals that should be submitted in order for the Formal Application Phase to begin are as describe in paragraph 3.a.

The following paragraphs provide details on each of the Formal Application Documents.

- 1) Formal Application Letter

The CPM must inform the applicant that, for application for an AOC, a formal application letter must accompany the required documents and manuals. The letter must contain the full and official name of the applicant, the address of the applicants intended primary operating location, the mailing address if different than operating location, the names of the key management personnel such as director of operations, director of maintenance, chief pilot, and chief inspector. The letter should also be signed by an authorized official of the company. When a request for a deviation from the

qualification requirements of management is anticipated it should be noted in the formal application letter. The justification for this deviation request should be made in a separate letter.

2) Schedule of Events

The DAAO Inspector must explain to the applicant that the Schedule of Events is a key document of the formal application. The Schedule of Events is a list of items, activities, programs, aircraft, and facilities that the applicant must accomplish or prepare for DAAO inspection before air carrier certification and AOC issuance. The applicant should be encouraged to use this format; however, other formats may be used if they contain the proper information and are easy to follow. The DAAO Inspector needs to explain to the applicant the “Scheduled date of submission, demonstration, or inspection” on the sample format should be the applicant’s best estimate of the date on which the items listed will be submitted take place or ready for inspection. The DAAO Inspector should explain that the applicants estimated dates should take into account a reasonable amount of time for the DAAO to review and accept or approve events before moving on to subsequent items/events that are dependent on these approvals. The applicant should be informed that failure to accomplish an event in a satisfactory manner prior to the dates that have been indicated could result in a delay in certification. If deficiencies are found in the documents or manuals they will be returned to the applicant for correction which could also cause delays in certification.

3) Company Manuals

This part of the formal application may be in the form of one or more manuals or sections of manuals. Subpart G of CASR 121 or CASR 135 outlines the requirements regarding the applicability, preparation, and contents of these manual(s) for operations and CASR 121.369 or CASR 135.369 states the maintenance manual requirements. As stated in the CASRs, these manuals must contain information about the applicant’s organization, general policies, responsibilities of personnel, operational control policy, and procedures. The manual(s) do not have to be completely developed at the time of formal application but as a minimum information addressing the CASR’s listed at the end of this paragraph should be included as well as the information listed under the next paragraph “Company’s Initial Training Programs”. However the applicant should submit a draft outline of the major parts of the entire proposed manual. This early draft outline, similar to a table of contents, helps to ensure that all the required material is accounted for and that the titles of the major parts of the proposed manual are listed on the “Schedule of Events” with proposed dates for when these parts, fully completed, will be submitted. If the applicant has any other parts of the manual(s) completed (that is in addition to the

minimum required for formal application) for review they should be submitted also.

4) Company's Initial Training Programs

It should be recognized that aircraft, facility arrangements, and some training program elements may not be fully developed at the time of formal application. The date when all training course programs will be submitted must be listed in the Schedule of Events.

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, safety management system, 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.

DGCA shall issue initial approval for applicant initial program to conduct the training after the evaluation of submitting initial training program is accepted by the certification team.

5) Initial Statement of Compliance

The Initial Statement of Compliance is a document that is a complete listing of each regulation number in CASR 91, CASR 121, and CASR 135 (depending on the type of AOC sought). Preparation of the initial Statement of Compliance, and ultimately the final Statement of Compliance, is a great benefit to the applicant and the DAAO Inspector by ensuring that all regulations are adequately addressed during the certification process. Next to each regulation number the applicant must provide a brief description or reference to a manual or documents, which describe how each regulation will be complied with. If the regulation applies to manual material that is required to be submitted with the formal application then the initial Statement of Compliance should have the exact reference of where in the manual compliance to the regulation can be found.

Example:

CASR 121.563 Reporting mechanical irregularities. Operations Manual Chapter X. PXX

If the method of compliance has not been fully developed the applicant should indicate that the information will be provided in the final Statement of Compliance.

Example:

CASR 121.97 Airports: Required data. To be supplied in the final Statement of Compliance.

If the Initial Statement of Compliance is arranged properly it may be resubmitted as the final Statement of Compliance once the remaining methods of compliance or document references have been added. The DAAO Inspectors should advise the applicant that the final Statement of Compliance must be submitted, reviewed and accepted before the start of the “Proving Tests”.

- 6) Management qualification resumes
Also with the formal application should be the resumes of the management personnel required by CASR 121.59 or CASR 135.43. The resumes should contain the appropriate information to determine if the personnel meet the qualifications required by CASR 121.61 or CASR 135.43. The DAAO Inspector should inform the applicant that the effectiveness of the management will be observed throughout the certification process.
- 7) Documents of purchase, contracts, leases and/ or letters of intent
This information should indicate the applicant has or is in the process of obtaining aircraft, facilities and services to conduct the type of operation proposed. The types of equipment and facilities that should be addressed in these documents are:
 - a) Aircraft;
 - b) Station facilities and services;
 - c) Weather and Notices to Airman (NOTAM) gathering facilities and services;
 - d) Communications facilities and services;
 - e) Maintenance facilities and services;
 - f) Aeronautical charts and related publications;
 - g) Airport analysis and obstruction data;
 - h) Contract training or facilities.
- i. Management Personnel Fit and Proper Test
The certification team must make sure the minimum qualification of management personnel comply with CASR 121.61 and 135.45 through fit and proper test using Personnel Fit and Proper Test Checklist.
- j. Conclusion of the Pre application Phase.
If the result of management personnel fit and proper test is satisfactory and it appears that the applicant understands the requirements of a formal application and is capable of proceeding to that phase, the CPM should encourage the applicant to informally co-ordinate drafts of required documents, as they are developed, with the CPM and the certification team before formal submission. At this time the Pre Application Statement of Intent form may be officially accepted.

If it is evident that the applicant is not adequately prepared to proceed with the certification process, the CPM should advise the applicant of the reasons and advise them to request another pre application meeting. It may be appropriate for the CPM to recommend to the applicant one or more of the following actions:

- 1) A more thorough review of the applicable regulations;
- 2) Retain the services of people with more aviation experience;
- 3) Stop efforts to obtain an Air Operator Certificate (AOC).

If at any time during the Pre application Phase the applicant withdraws application or the DAAO determines that the applicant is not capable proceeding with application the Pre application Statement of Intent form should be returned to the applicant. The DAAO will notify the applicant in writing that this action terminates the pre-application process and a new Pre-application Statement of Intent form must be submitted to start the certification process again.

The Certification Job Aid – Pre Application Phase shall be completed prior to proceeding with formal application phase.

3. FORMAL APPLICATION PHASE

a. Receipt of Formal Application

The formal application for certification should be a letter with attachments containing the information required by the DGCA, comprising a formal application package.

The formal application will consist of a letter to the Director General should be signed by applicant's accountable manager and containing the following information:

- 1) A statement that the application serves as a formal application for an AOC;
- 2) The name and address of the applicant and the main base of the proposed operations;
- 3) Description of the applicant's business organization, corporate structure, and names and addresses of those entities and individuals having a major financial interest;
- 4) Information on management organization and key staff members, including their title, name, background, qualifications and experience;
- 5) The nature of the proposed operations — passenger/cargo/mail, day or night, visual flight rules (VFR) or instrument flight rules (IFR), whether or not dangerous goods are to be transported; and
- 6) desired date for operation to commence.

The attachments that need to accompany the formal application are:

- 1) The identification of the operation specifications and Authorization, Condition, and Limitations (ACL) sought, with information on how associated conditions will be met;
- 2) The schedule of events in the certification process with appropriate events addressed and target dates;
- 3) An initial statement of compliance or detailed description of how the applicant intends to show compliance with each provision of the CASRs;
- 4) The management structure and key staff members including titles, names, backgrounds, qualifications and experience, with regulatory requirements satisfied;
- 5) The details of the SMS;
- 6) 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;
- 7) a list of aircraft to be operated;
- 8) documents of purchase, leases, contracts or letters of intent;
- 9) arrangements for crew and ground personnel training and qualification and the facilities and equipment required and available;
- 10) Company Operations Manuals;
- 11) Company Maintenance Manual;
- 12) Maintenance Program;
- 13) Details of the method of control and supervision of operations including dispatch, flight watch or flight following and communication procedures.

Lengthy discussions with the applicant should be avoided until the DAAO certification team has had a chance to review the items in the formal application. The DAAO Inspectors assigned to the project should review each of the documents/manuals to assure that the information contained in each of them, as outlined in the Pre-application Phase Meeting, is adequate. Two weeks is a reasonable amount of time for Certification Team to conduct an initial review of a formal application.

b. Acceptability of the Formal Application

If the formal application package is incomplete or otherwise unacceptable, the CPM shall inform the applicant in writing, providing details of the deficiencies and advice on the resubmission of the formal application.

If the information in the formal application package is considered acceptable by the certification team, the CPM will schedule a formal application meeting with the applicant.

Certification Job Aid-Formal Application Phase shall be completed to confirm the acceptability of the formal package.

c. The Formal Application Meeting

A formal application meeting shall be conducted between the CPM, the certification team and all the key management personnel of the applicant, with the objective of resolving any questions on the part of either DAAO, or the applicant, to establish a common understanding on the future procedure for the application process.

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 the DAAO 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 CPM 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 DAAO certification team and the applicant personnel.

Subsequent to the formal application meeting and subject to successful acceptance of the application package, the CPM shall provide the applicant with a letter acknowledging receipt and acceptance of the formal application.

4. DOCUMENT COMPLIANCE PHASE

a. General.

The document compliance phase is the part of the certification process when the applicant's manuals and documents are thoroughly reviewed in detail. The Inspectors should already have a general knowledge of the contents from the formal application phase but now a detailed examination is required to ensure that the manuals and documents comply with the applicable CASR's and contain safe operating practices. The document compliance phase and the demonstration and inspection phase may overlap each other. For example the operator may begin his pilot training at the same time the maintenance manual is being reviewed.

b. Planning the Document Compliance Phase.

The CPM should determine which documents each DAAO Inspectors on the team will review. The Schedule of Events that the applicant has submitted will determine the priority of review of each document. The Initial Compliance document will assist the Inspector in locating compliance items in the applicant's documents.

c. Review of the Applicant's documents

The Certification Team will determine if the various documents/manuals are acceptable, need modification, or unacceptable. Review of the applicant's submissions should be accomplished by simultaneous references to CASRs, the Statement of Compliance, and the appropriate manual or document. The following are examples of typical submissions from applicants during the document compliance phase. This list is not all-inclusive, and certain items may not be applicable to a particular type of operation.

1) Management personnel resume outlining proposed management qualifications and compliance histories.

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.

2) Company Operations Manual (COM).

The Company 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 Company 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 Company Operations Manual are contained in SI 8400 Volume 2, Chapter 2.

Individual manuals and items listed below form part of the company operations manual:

a) Weight and Balance (W&B) procedures.

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 are contained in SI 8300, Volume 2, Chapter 74 and Chapter 75.

b) Ground Handling Manual.

This manual contains procedures and limitations for servicing, fueling, loading and unloading, pre-flight preparation and post-flight securing, applicable to the aircraft type and model.

Detailed procedures for the review and approval of a ground handling manual/information are contained in SI 8400 Volume 2, Chapter 2.

c) Company aircraft operations manual (This is not required if an operator elects to use the manufacturer's AFM/RFM.)

Aircraft operating manuals for each type of aircraft to be operated are required by CASR 121.141 and CASR 135.143. 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 are contained in SI 8400 Volume 2, Chapter 2.

d) Minimum equipment list (MEL).

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 equipment.

Detailed procedures for the review and approval of a MEL are contained in SI 8900-4.4.

e) Configuration Deviation List (CDL).

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 are contained in SI 8900-4.4.

f) Training program/manual.

Training manuals are required for all operational, maintenance 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 information/manuals are contained in SI 8300, Volume 2, Chapter 70, and SI 8400, Volume 2, Chapter 13.

g) Dangerous Goods (Hazardous Materials).

All applicants will require information/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.

The dangerous goods manual shall be reviewed to ensure it meets the requirements of CASR Part 92.

h) Passenger briefing card.

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 CASR 121.503(b) and CASR 135.107(b).

i) Operational control, Flight Watch and/or Flight Following procedures.

The operations 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 SI 8400, Volume 2, Chapter 3, Section 3 B.

3) Company Maintenance Manual (CMM)

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 CMM are contained in SI 8300, Volume 2, Chapter 63.

4) Maintenance Program Manual.

A maintenance program is required for individual aircraft, taking into account the requirements of the type design authority. The maintenance program will require the approval of the State of Registry, if the aircraft is not registered in Republic of Indonesia.

Detailed procedures for the review of maintenance program are contained in SI 8300, Volume 2, Chapter 64.

5) Approved Aircraft Flight Manual

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 CASR Part 23 and Part 25.

6) Security Program manual.

This manual shall describe the operator security program, which shall meet the requirements of the national civil aviation security program of Republic of Indonesia.

The manual shall include the security procedures applicable to the type of operations. Procedures for the review of the security manual will be completed by the Directorate of Aviation Security-DGCA.

- 7) *Draft* Operations specifications (OpSpecs) and Authorization, Conditions and Limitations (ACLs).

Operations specifications and Authorization, Conditions and Limitations (ACLs) form part of the AOC. DAAO standard operations specifications and Authorization, Conditions and Limitations (ACLs) 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 and Authorization, Conditions and Limitations (ACLs).

This draft will have been edited by the applicant and DAAO certification team to add necessary authorizations, conditions and limitations to produce operations specifications and Authorization, Conditions and Limitations (ACLs) 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 DAAO as required by changing circumstances.

- 8) Maintenance reliability program (optional for 10 or more passengers).

Reliability program establish the time limitations or standards for determining intervals between overhauls, inspections, and checks of airframes, engines, propellers, appliances and emergency equipment, with the following program requirements:

- a) Program application
- b) Organizational structure
- c) Data collection system
- d) Methods of data analysis and application to maintenance control
- e) Procedures for establishing and revising performance standards
- f) Definition of significant terms
- g) Program displays and status of corrective action programs
- h) Procedures for program revision
- i) Procedures for maintenance control changes

Detailed procedures for the review of reliability program are contained in SI 8300, Volume 2, Chapter 66.

9) Continuous analysis and surveillance system.

The continuing analysis and surveillance system is usually included in the operator's maintenance manual. The system ensures the adequacy of an operator's maintenance program and confirms that the program is properly followed and controlled. CASR Section 121.373 and 135.373 allow the DGCA to require revisions to an operator's maintenance program based on deficiencies or irregularities revealed by the continuing analysis and surveillance system.

Detailed procedures for the review of continuous analysis and surveillance system are contained in SI 8300, Volume 2, Chapter 65.

10) Company Safety Management System.

An 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 the conducting of the SMS manual review are contained in SI 120-92.

11) Proving/validation test plan

Where Proving/validation test are required, a plan for these Proving/validation test shall be prepared so that the applicant can demonstrate the ability to operate and maintain aircraft and conduct the type of operation specified.

Detailed procedures for the conducting of the proving/validation test plan are contained in SI 8400, Volume 2, Chapter 7.

12) Statement of Compliance.

The Statement of Compliance is a document that is a complete listing of each regulation number in CASR 91, CASR 121, and CASR 135 (depending on the type of AOC sought).

For each regulation number the applicant must provide a brief description or reference to a manual or documents, which describe how each regulation will be complied with. If the regulation applies to manual material that is required to be submitted with the formal application then the Statement of Compliance should have the exact reference of where in the manual compliance to the regulation can be found.

Example:

CASR 121.563, reporting mechanical irregularities. Operations Manual Chapter X. PXX

If the method of compliance has not been fully developed the applicant should indicate that the information will be provided in the final Statement of Compliance.

Example:

CASR 121.97 Airports: Required data. To be supplied in the final Statement of Compliance.

The DAAO Inspectors should advise the applicant that the final Statement of Compliance must be submitted, reviewed and accepted before the start of the “Proving Tests”.

The final statement of compliance needs to be completed by the applicant and accepted by DGCA prior to the commencement of the flight operations inspections.

d. Document Approval

If a document or manual is incomplete or deficient, or if non-compliance with regulations or safe operating practices is detected, the document or manual shall be returned to the applicant for corrective action with a detailed list of deficiencies.

Documents or manuals that are satisfactory will be approved or accepted, as required by the regulations. Approval should be indicated by a signed document or certificate.

e. Certification Job Aid – Document Compliance Phase shall be completed to confirm the acceptability of the documents provided by the applicant.

5. DEMONSTRATION AND INSPECTION PHASE

a. General

CASR requires an applicant to demonstrate the ability to comply with regulations 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, DAAO 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 in writing, and corrective action shall be taken before an AOC can be issued.

The preliminary assessment of the application, as described in Paragraph 2 of this Chapter, should provide DAAO 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, DAAO 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 DAAO inspector may be credited towards meeting demonstration flight requirements.

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 Staff Instruction.

It will also be necessary to ascertain that facilities located in other States, which are to be utilized, are adequate. As DAAO licences are fully compliant with ICAO Annex 1 — Personnel Licensing requirements, they are acceptable to other States where operations will take place.

b. Organization And Administration

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, the DAAO 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 maintenances 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.

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.

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, the DAAO certification team will determine whether or not management personnel are qualified, experienced and competent to perform their assigned duties.

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 company operations manual and company maintenance manual shall be assessed.

Detailed procedures for the organization and management assessment are contained in SI 8400 Volume 2 Chapter 3.

c. Operational Control Inspection

Operational control refers to the exercise, by the operator, of responsibility for the initiation, continuation, termination or diversion of a flight. CASR require the certificate holders to have an approved system for the control and supervision of flight operations. Responsibility for operational control is delegated to the pilot-in-command, or jointly to the pilot-in-command and the flight dispatcher if the operator's approved method of control and supervision of flight operations requires the use of flight operations officer/flight dispatcher personnel.

Detailed procedures for operational control inspection are contained in SI 8400, Volume 3, Chapter 4.

1) Station Facility

Each aerodrome which the operator intends to use must be inspected prior to the first revenue flight to that aerodrome, in order to ensure that the operator has the organization, facilities, and staffing to handle his aircraft at that destination. Station facility inspections may be accomplished during proving flights. However, if no proving flight is scheduled to a proposed operator destination, the DGCA and the operator must make arrangements to travel to and inspect that facility by another means. Information on station facility inspections along with the appropriate checklist/report form is contained in Volume 3 Chapter 11 of this manual.

2) Flight Crew Qualifications, Licensing And Training

The DAAO inspector shall determine that the applicant has established procedures and training programs to ensure that flight crew qualifications meet the requirements of the CASR and that personnel are duly licensed and hold appropriate and valid ratings in accordance with CASR Part 61 and 63.

Detailed inspection procedures are outlined in SI 8400, Volume 2, Chapter 13; Volume 3, Chapter 7; Volume 3, Chapter 8; and Volume 3, Chapter 13.

3) Cabin Crew Competency And Training

The DAAO inspector 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 SI 8400, Volume 3, Chapter 8.

4) Training programs

The training program 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 CASR 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.

Detailed inspection procedures are outlined in SI 8400, Volume 2, Chapter 13.

5) Record keeping

In accordance with CASR Part 121 and 135 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 regulations.

Detailed inspection procedures are outlined in SI 8400, Volume 3, Chapter 5 and Chapter 6.

6) Fuel computation procedures

The objective of this inspection is to determine whether the applicant's aircraft will be dispatched with adequate fuel loads calculated in accordance with regulations and the policy set forth in the company 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.

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.

Detailed inspection procedures are outlined in SI 8400, Volume 3, Chapter 4.

7) Weight and balance procedures

This part of the inspection is to ascertain that aircraft will be safely and correctly loaded and to investigate the applicant's method of exercising overall mass control. DAAO 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 SI 8300, Volume 2, Chapter 74 and Chapter 75.

8) Evaluation of emergency evacuation and ditching capability

Emergency evacuation training and competency requirements for crew members are established in CASR. As part of the document evaluation, DAAO inspectors shall determine that the applicant has established a training program that ensures that crew members are competent in executing those safety duties and functions to be performed in the event of an emergency evacuation.

Detailed inspection procedures related to emergency evacuation demonstration are outlined in SI 8400, Volume 2, Chapter 8.

Ditching training and competency requirements for crew members are established in CASR. The DAAO inspectors shall determine that the applicant has established a training program that ensures that crew members are competent in executing those safety duties and functions to be performed in the event of a situation requiring ditching.

Detailed inspection procedures related to training program approval and monitoring are outlined in SI 8400, Volume 2, Chapter 9.

9) Proving/validation test

Proving tests consist of a series of flights which are designed to demonstrate prior to the issuance of the AOC that the applicant is capable of operating and maintaining each aircraft type which he proposes to use to the same standards required of an established carrier.

The determination by DAAO as to whether or not Proving/validation test will be required, and if such flights are required, their number and type, will depend on the DAAO's assessment of the capabilities of the operational and maintenance systems established by the applicant. All Proving/validation test are to be conducted using the methods and procedures proposed by the applicant in the document compliance phase (Chapter II, Paragraph 4).

Any deficiencies affecting the safety of the operation found during demonstration and inspection needs to be corrected prior to the commencement of proving/validation test.

Detailed Proving/validation test are outlined in SI 8400, Volume 2, Chapter 7

d. Maintenance Control Aspects

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.

In the case of an applicant seeking authority to operate leased aircraft registered in a different State, suitable arrangements must be made between DGCA and the State of Registry regarding responsibility for the continuing airworthiness of the aircraft. (See SI 8300 Volume 2, Chapter 72 and SI 8400 Volume 2 Chapter 10 for details on the leasing of aircraft).

1) Maintenance Organization

The DAAO inspector shall determine that the structure of the applicant's maintenance control system is set forth, clearly delineating duties and responsibilities for all key personnel including the manager(s) for engineering and maintenance. The names of all incumbents shall be listed. The details of the organizational structure shall be included as a part of the CMM and, if necessary, also promulgated separately.

2) Aircraft Inspection

The applicant should demonstrate to DGCA that the aircraft it intends to operate is in compliance with the maintenance programme and DGCA regulations. This should be done through the:

- a) Review of maintenance records, if available
- b) Conduct of aircraft interior and external inspection

The aircraft inspection should also verify that the equipment required for any special operations are installed.

Detailed inspection procedures related to aircraft inspection are outlined in SI 8300, Volume 3, Chapter 3 and SI 21-02.

3) Main Base Facilities Inspection

The maintenance facility evaluation is performed to determine if adequate housing, equipment, spare parts, technical data, and qualified personnel are available to satisfactorily complete all maintenance functions. A maintenance facility evaluation should be accomplished: Prior to certificating a new operator and when an existing operator introduces a new make and model to an operation.

Detailed inspection procedures related to main base inspection are outlined in SI 8300 Volume 2 Chapter 221.

4) Training Program Inspection

Effective training is the basis for a successful maintenance/inspection program. Although many procedures for maintaining and inspecting aircraft may be similar, the equipment, procedures, and task documentation used may all be unique to the operator/applicant's specific programs. A. CASR Parts 121, 135, and 145 require that maintenance/inspections be performed in accordance with the operator/applicant's manual. Maintenance/inspection training programs are the most efficient manner to inform personnel of the requirements of the operator/applicant's program.

Detailed inspection procedures related to training program inspection are outlined in SI 8300 Volume 2 Chapter 70.

5) Personnel Training Inspection

A description of the training required for all personnel performing work. This would include the initial, recurrent and update training including human factor training and the kinds of personnel records to be kept as required in CASR.

Detailed inspection procedures related to training program inspection are outlined in SI 8300 Volume 2 Chapter 70.

6) Record Keeping Inspection

The chapter provides guidance for evaluating an applicant's procedures for utilizing, preserving, and retrieving the maintenance records required by CASR Part 121/135. To comply with the maintenance recording requirements of the Civil Aviation Safety Regulations, the applicant's maintenance manual must identify and contain procedures to complete an applicable documents used by the applicant.

Detailed inspection procedures related to record keeping inspection are outlined in SI 8300, Volume 2, Chapter 71.

e. Conclusion

Certification Job Aid – Demonstration and Inspection Phase shall be completed to confirm the acceptability of the operational aspects during the demonstration and inspection phase.

6. CERTIFICATION PHASE

a. General.

The Air Operator Certificate (AOC). Approved Operations Specifications and Authorizations, Conditions and Limitations (ACL) are issued to the applicant after all significant unsatisfactory items have been corrected. This action completes the certification process. The applicant should not be certificated under any circumstances until the CPM, along with the rest of the DAAO certification team, has determined that the applicant is fully capable of fulfilling its responsibility in complying with the appropriate CASR's. Agreements concerning how the applicant will resolve these issues should be obtained in writing.

Guidance of a completed Air Operator Certificate and Operations Specifications are contained in Staff Instruction (SI) 8900-3.18.

An AOC will not be issued until the Directorat of Air Transport – DGCA responsible for the economic and financial assessment of the applicant has presented a favourable report, and until the DGCA 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.

b. Certification Report and Record.

After the certification process has been completed the CPM is responsible for assembling a certification report. The report should contain the following sections and attachments:

- 1) A Copy SIUAU and Financial assessment issued by DAT;
- 2) The Pre Application Statement of Intent;
- 3) The Certification Job Aid;
- 4) The Formal Application Letter ;
- 5) Complete inspection check list;
- 6) Copies of company manuals approval or acceptance;
- 7) The Final Statement of Compliance ;
- 8) The Emergency Evacuation Demonstration Report (if applicable);
- 9) The Proving Test Evaluation Report (if applicable);
- 10) A copy of Authorizations, Conditions and Limitations (ACL);
- 11) A copy of the Operations Specifications;
- 12) A copy of the Air Operator Certificate;
- 13) Summary of closure of all finding;
- 14) Executive Summary Report.

For convenience the difficulties encountered should be documented under the title of the Phase in which they occurred. Such as Pre-application Phase, Formal Application Phase, Document Compliance Phase, and Demonstration and Inspection Phase. The difficulties encountered should also be clearly identified as either operational or maintenance.

CHAPTER III AMENDMENTS TO THE AOC, OPERATIONS SPECIFICATIONS AND AUTHORIZATION CONDITION LIMITATION

1. GENERAL

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.

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 and new type of aircraft, the process as describe in paragraph 2 will be applied.

2. AMENDMENT TO AOC AND OPSPECS PROCESS

This process provides for interaction between the certificate holder and the DAAO. It ensures that programs, systems, and intended methods of compliance are thoroughly reviewed, evaluated, tested, and integrated throughout the AOC(s). The main responsibility for certification process of AOC under this instruction is in Sub Directorate of Standardization-DAAO.

The amendment process consists of:

- 1) Pre Application phase
- 2) Formal application phase,
- 3) Document compliance phase,
- 4) Demonstration and inspection phase, and
- 5) Certification phase.

a. Pre Application Phase

Preliminary Assessment. During the first meeting only basic information and general requirements might be discussed. After preliminary assessment the DAAO should make a determination if the certificate holder is qualified or not to apply for the amendment.

If the DAAO have determined that the certificate holder is not qualified they should explain to the applicant the reasons why they are not qualified and the steps they should take to become qualified if they still want to apply.

If the DAAO determine that the certificate holder is qualified to apply for certification and the certificate holder wants to proceed with the certification process then the DGCA will proceed to the next phase.

b. Formal Application Phase

The formal application for amendment should be a letter with attachments containing the information required by the DGCA, comprising a formal application package.

This phase should follow the same requirements as discussed in chapter II Paragraph 3 of this SI, as appropriate to the requested change to the AOC certificate and OpSpecs

c. Document Compliance Phase

Follow the same process discussed in chapter II paragraph 4 of this SI. Ensure that any manual revision required by the application for an amendment to the certificate is reviewed for compliance with CASR part 121 or part 135.

d. Demonstration And Inspection Phase

This phase should follow the same requirements as discussed in chapter II paragraph 5 of this SI, as appropriate to the requested change to the AOC certificate and OpSpecs.

e. Certification Phase

Amendments to an AOC certificate and OpSpecs must be accomplished as discussed in chapter II paragraph 6 of this SI and must reflect the applicant's requested change.

3. AMENDMENT TO AUTHORIZATIONS, CONDITIONS, AND LIMITATIONS (ACL)

ACL is detailed supporting documents of the operations specifications. The certificate holder may make any amendment or additional to ACL without necessarily affecting to change the operations specifications, and the DAAO Inspectors (Principle Operation Inspector & Principle Maintenance Inspector) may directly involve in reviewing the amendment or additional of ACL. The process of amending or additional of the ACL which also affecting to the change of operations specifications, the certification process as described in paragraph 2 above is required.

CHAPTER IV RENEWAL OF AN AOC

1. GENERAL

- a. Objective.** This chapter provides guidance for evaluating an applicant for renewal of a CASR Part 121 and Part 135 Air Operator Certificate. For the purposes of this chapter, applicants from part 121 and part 135 facilities may be referred to as “applicants,” “AOC,” or “facilities.”
- b. The Renewal Process.** This process provides for interaction between the applicant and the DAAO. It ensures that programs, systems, and intended methods of compliance are thoroughly reviewed, evaluated, tested, and integrated throughout the AOC(s). The main responsibility for certification process of AOC under this instruction is in Sub-Directorate of Standardization-DAAO.

The renewal process consists of:

- 1) Formal application phase,
- 2) Document compliance phase,
- 3) Demonstration and inspection phase, and
- 4) Certification phase.

2. FORMAL APPLICATION PHASE.

- a. Renewal Time Frame.** An AOC must renew its certificate before exceeding two (2) years from the date of issue or last renewal.
- b. Application Submission Time Frame.** The Certificate holder is responsible for submitting a renewal application 60 days before the expiration date of its certificate.
- c. Tracking Program.** The DAAO must track renewal dates to establish an effective yearly work program.
- d. Documents.** Ensure that all documents for the formal application package have been submitted and are complete. Verify the inclusion of the following:
- 1) A formal application letter for renewal certificate with contain any desired changes to the basic information that was submitted prior to the original certification and during the ongoing operations.
 - 2) AOC manuals and documents, if either of the manuals has been revised since the AOC’s last renewal. A copy of the revision must be provided with the application package, including:
 - a) Copy of AOC, Opspecs, and ACL;
 - b) Copy of COM, CMM, SMS Manual, Training Program Manual, Maintenance Program, MEL, and Aircraft Operating Manual;
 - 3) A statement of compliance with the current Indonesia CASR Part 91, and Part 121 or Part 135.

3. DOCUMENT COMPLIANCE PHASE.

- a. **Review the Application Package.** Review the submitted manuals and documents for completeness and currency.
- b. **AOC Manuals.** If revisions are made to these manuals, they should be reviewed as they are submitted. In some cases, a certificate holder may elect to revise its manuals for its certificate renewal. Regardless of when they are submitted, the DAAO must approve or accept these revisions. The revision's inclusion should not delay the renewal process. The DAAO may elect to review the revisions and approve or accept or reject them after the certificate renewal has been completed based on the old manuals.

4. DEMONSTRATION AND INSPECTION PHASE

- a. **Renewal Procedures.** The Inspection for renewal certificate of approval will cover with the following area:
 - 1) Management and administration

The certificate holder's staffing must be investigated to determine whether an adequate number of personnel are employed at the executive and other levels to perform necessary functions. Through a sampling questioning process, the DGCA inspector must make a finding that management personnel are qualified, experienced and competent to perform their assigned duties in accordance with CASR and company operation manual.

Detailed procedures for the management and administration inspection are contained in SI 8400 Volume 2 Chapter 3.

- 2) Company Manuals

Civil Aviation Safety Regulation requires certificate holders to prepare and keep current various manuals and checklists for the direction and guidance of flight and ground personnel conducting air transportation operations. Each operator is required to maintain a complete manual (or set of manuals) at its principal base of operations and to furnish a complete manual (or set of manuals) to DGCA.

A certificate holder's manual must be reviewed by inspectors to ensure adequate content and compliance with applicable regulations, safe operating practices, and the certificate holder's operations specifications (OpSpecs) and Authorizations Conditions and Limitations (ACL). While inspectors are encouraged to provide guidance and advice to certificate holders in the preparation of their manuals, the development and production of an acceptable manual is solely the responsibility of the certificate holder.

Detailed procedures for the company manuals inspection are contained in SI 8400 Volume 2 Chapter 2, SI 8300 Volume 2 Chapter 63, SI 8300 Volume 2 Chapter 64.

3) Training Program and Training Record (Aircrew, Flight Attendant, and Flight Operations Officer)

Operations inspectors conduct training program inspections for aircrew, flight attendant, and flight operations officer to ensure that the certificate holder's training program complies with regulatory requirements and that instructional methods are effective.

Training program inspections involve five primary inspection areas to be observed:

- a) Training curriculums,
- b) Courseware,
- c) Instructional delivery methods,
- d) Testing and checking methods, and
- e) Training Record.

Detailed procedures for the training program and training record inspection are contained in SI 8400 Volume 2 Chapter 13 and SI 8400 Volume 3 Chapter 7

4) Dispatch & Flight Watch / Operation Control

An operational control inspection has two primary objectives. The first objective is for the inspector or team to ensure that the certificate holder is in compliance with the minimum requirements of 14 CFR and the operations specifications (OpSpecs). The second objective is for the inspector or team to ensure that the certificate holder's system of control provides positive assurance of public safety. The certificate holder must meet both objectives to obtain and retain an operating certificate under CASR Part 121, section 121.27(a)(2) or CASR Part 135, section 135.13(a)(2). To make this determination, the inspector or team must evaluate the operator to ensure that the following criteria are met:

- a) Responsibility for operational control is clearly defined
- b) An adequate number of operational control personnel are provided
- c) Applicable manuals contain adequate policy and guidance to allow operational control personnel and flight crews to carry out their duties efficiently, effectively, and with a high degree of safety
- d) Operational control personnel are adequately trained, knowledgeable, and competent in the performance of their duties
- e) Flight control personnel and flight crews have been provided with the necessary information for the safe planning, control, and conduct of all flights

- f) The certificate holder provides adequate facilities
- g) The certificate holder performs all operational control functions required by the regulations
- h) The certificate holder performs all functions necessary to provide adequate operational control in the environment in which the operations are conducted
- i) Adequate emergency procedures and contingency plans have been formulated

Detailed procedures for the operational control inspection are contained in SI 8400 Volume 3, Chapter 4.

5) Flight Documentation / Trip Record

The primary objective of trip records inspections is for inspectors to ensure that operators meet the regulatory requirements of CASR Part 121 or 135, as applicable, for the proper use, documentation, and retention of operational trip records. Inspectors can evaluate trip records to reconstruct a particular flight or a series of flights by examining flight plans, dispatch or flight releases, loading and weight documents, weather documents, and other related flight information retained by the certificate holder.

Trip record inspections includes an evaluation of the quality of the recorded data, a check of the calculations for accuracy, and a check of the certificate holder's compliance with CASR and company procedures.

Detailed procedures for the flight documentation / trip record inspection are contained in SI 8400 Volume 2 Chapter 3, SI 8400 in Volume 3, Chapter 5, SI 8400 Volume 3 Chapter 6, and SI 8400 Volume 3 Chapter 7.

6) Safety Management System

The inspection of SMS implementation includes:

- a) The provision of a manageable series of steps to follow in implementing an SMS, including allocation of resources;
- b) The initial availability of data and analytic processes to support reactive, proactive and predictive safety management practices; and
- c) The need for a methodical process to ensure effective and sustainable SMS implementation.

Detailed procedures for the SMS implementation inspection are contained in SI 120-92.

7) Maintenance Personnel Training Program and Record

The certificate holder's training program should include company indoctrination and technical training (formal and on the job training). The program should contain a list of tasks to be taught and a method for recording the training. Completion of the training must be entered in the individual's training record that includes:

- a) Company indoctrination;
- b) Maintenance/inspection technical training;
- c) Responsibilities for persons other than an Operator's employees;
- d) Category II/III Maintenance Personnel Training;
- e) Recurrent Training;
- f) Training Records;
- g) Special Emphasis Training;

Detailed procedures for the maintenance personnel training program and record inspection are contained in SI 8300 Volume 2 Chapter 70.

8) Maintenance Record System

Review the applicant's recordkeeping system procedures to ensure that the requirements of CASR Part 121/135 are met the following:

- a) Maintenance Release Records;
- b) Flight Maintenance Records;
- c) Total Time In Service Records;
- d) Life-Limited Parts Status;
- e) Time Since Last Overhaul Records;
- f) Overhaul Records;
- g) Current Aircraft Inspection Status;
- h) Airworthiness Directive (AD) Compliance;
- i) Major Alteration Records; and
- j) Major Repair Records.

Detailed procedures for the maintenance record system inspection are contained in SI 8300 Volume 2 Chapter 71.

9) Maintenance Facilities

The maintenance facility evaluation is performed to determine if adequate housing, equipment, spare parts, technical data, and qualified personnel are available to satisfactorily complete all maintenance functions.

Detailed procedures for the maintenance facilities inspection are contained in SI 8300 Volume 2 Chapter 221.

10) Maintenance Contractual Arrangement

A certificate holder must ensure that contract maintenance providers are complying with their Continuous Airworthiness Maintenance Program (CAMP) and other provided instructions when maintaining the aircraft, airframes, engines, propellers, appliances, emergency equipment, and components thereof and ensure that they are in accordance with the documented policies, procedures, and instructions in the certificate holder's manual and the applicable CASR.

Detailed procedures for the maintenance contractual arrangements inspection are contained in SI 8300 Volume 2 Chapter 69.

11) Continuing Analysis and Surveillance Program

Each certificate holder shall establish and maintain a system for the continuing analysis and surveillance of the performance and effectiveness of its maintenance program and for the correction of any deficiency in those programs, regardless of whether those programs are carried out by the certificate holder or another person.

The continuing analysis and surveillance system shall include,

- a) a function to monitor maintenance program performance to ensure that everyone, including all of operators maintenance providers comply with the company maintenance manual and with all applicable regulations, through a system of audits and investigations of operational events;
- b) a function to monitor maintenance program effectiveness to ensure that the maintenance programs is producing the desired result, through a system of data collection and analysis of operational data that results from operations of aircraft.

Detailed procedures for the continuing analysis and surveillance program are contained in SI 8300 Volume 2 Chapter 65.

5. CERTIFICATION PHASE

a. Prepare Documents. When the applicant has met all regulatory requirements, the DAAO Inspector will accomplish the following:

- 1) Prepare Air Operator Certificate; Operation Specifications; and Authorizations, Conditions, and Limitations,
- 2) AOC shall be signed by Minister of Transportation, and for OpSpecs and ACL shall be signed by Director DAAO on behalf of Director General of Civil Aviation.

NOTE:

AOC, OpSpecs, and ACL are legal documents. The language should clearly specify the authorizations, condition, and limitations being approved. When completed, these forms should have no erasures, strikeovers, or typographical errors.

NOTE :

if the part 121 or part 135 AOC expires during the time between inspections or due to unusual circumstances, prior issuance the certificate, DGCA may need to issue a temporary extension letter of up to 90 days if the applicant demonstrates an ability and willingness to correct the noted deficiencies

b. Prepare Renewal Certification Report. Ensure that a renewal certification report is prepared. The report must include the name and title of each DAAO Inspector on the certification team. The DAAO Inspector signs the report, which contains at least the following:

- 1) The Formal Application Letter
- 2) Complete inspection check list
- 3) Copies of company manuals approval or acceptance
- 4) The Statement of Compliance
- 5) A copy of Authorizations, Conditions and Limitations (ACL)
- 6) A copy of the Operations Specifications
- 7) A copy of the Air Operator Certificate
- 8) Summary of closure of all finding
- 9) Executive Summary Report.

CHAPTER V LIST OF APPLICABLE FORMS

1. 120-01 Pre Application Statement of Intent
2. 120-02A Part 121/135 AOC Certification Checklist: Pre Application Phase - Job Aids
3. 120-02B Part 121/135 AOC Certification Checklist: Formal Application Phase - Job Aids
4. 120-02C Part 121/135 AOC Certification Checklist: Document Compliance Phase - Job Aids
5. 120-02D Part 121/135 AOC Certification Checklist: Demonstration Inspection Phase - Job Aids
6. 120-02E Part 121/135 AOC Certification Checklist: Certification Phase - Job Aids
7. 120-05 Air Operator Certificate
8. 120-06 Operation Specification
9. 120-06A Authorization Condition and Limitation
10. 120-61A Part 121/135 AOC Certification Checklist: Personnel Fit & Proper Test Checklist – Director of Safety
11. 120-61B Part 121/135 AOC Certification Checklist: Personnel Fit & Proper Test Checklist – Director of Operation
12. 120-61C Part 121/135 AOC Certification Checklist: Personnel Fit & Proper Test Checklist – Director of Maintenance
13. 120-61D Part 121/135 AOC Certification Checklist: Personnel Fit & Proper Test Checklist – Chief Pilot
14. 120-61E Part 121/135 AOC Certification Checklist: Personnel Fit & Proper Test Checklist – Chief Inspector
15. 120-99 Part 121 and 135 Certification Checklist: Preliminary Assessment

DIRECTOR GENERAL OF CIVIL AVIATION

ttd.

SUPRASETYO

Salinan sesuai dengan aslinya
KEPALA BAGIAN HUKUM DAN HUMAS,



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