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## THE FIVE PHASE CERTIFICATION AND APPROVAL PROCESS

### 1.0 PURPOSE

This Order is issued to provide general information and over-view to the inspector on the recommended Five Phase certification and approval process of operators and organisations in compliance with the Civil Aviation Regulations.

### 2.0 REFERENCE

- 2.1 The Civil Aviation (Air Operator Certification and Administration) Regulations, 2018..
- 2.2 The Civil Aviation (Approved Training Organisations) Regulations, 2018.
- 2.3 The Civil Aviation (Approved Maintenance Organisations) Regulation, 2018.

### 3.0 GUIDANCE AND PROCEDURE

#### 3.1 General Information

**3.1.1** The following certification and approval process provides for a continuous interaction, from the applicant's initial enquiry to the issue or denial of the requested certificate/approval by the Civil Aviation Authority. It ensures that the applicant's proposed programmes, systems, arrangements, facilities, documentation, personnel and intended methods of compliance are thoroughly reviewed, evaluated and tested by use of the five phase process.

**3.1.2** The five certification phases are:

- a) Pre – application
- b) Formal Application
- c) Document Evaluation
- d) Demonstration and Inspection
- e) Approval or Certificate Issue/grant or Denial (Certification)

The Flow Chart for AMO, AOC and ATO certification process is illustrated in **the Appendix- 6** to this Order

#### 3.2 Certification Process

**3.2.1** The Authority will appoint a team based on the complexity of the proposed operation and a Certification Project Manager (CPM) will be selected among them. The assigned certification CPM will be the designated principal spokesperson for the Authority in the whole process of certification.

**3.2.2** The Pre-application Statement of Intent (PASI) is used to evaluate the complexity of the proposed operation for the establishment of the certification team.

**3.2.3** The designated certification team will process the PASI as follows –

- a) Provide a working certification number for the applicant.
- b) Check the “Information only” cursory review on the PASI and enter the date the document was received by the Authority
- c) Enter “Proceeding with formal certification” in the Remarks section and show the certificate number;
- d) The assigned CPM will contact the applicant to arrange a pre-application meeting.

### **3.3 Pre-application Meeting**

**3.3.1** Meet with the applicant to discuss questions, if any, concerning the certification process, regulatory requirements, the formal application and attachments and any other related issues.

**3.3.2** Accomplish the following during the meeting(s) –

- a) Discuss the regulations applicable to the proposed operation;
- b) Provide the applicant with a copy of the application
- c) Inform the applicant that a formal application is required after a satisfactory completion of the pre-application meeting.

**3.3.3** The formal application will include the following –

- a) A completed application form;
- b) Copies of the required documents and manuals;
- c) A statement of compliance;
- d) A letter indicating when the applicant will be ready for the demonstration and inspections.

**3.4 Formal Application Phase** – The following are key steps in the formal application phase.

**3.4.1 Receive the Formal Application:** Ensure that all documents have been submitted and are complete.

**3.4.2 Evaluate the Application Package:** Based on the initial survey of the application package a decision must be made on whether or not to continue with the certification process.

**3.4.3 Conduct an Application Meeting:** Any unresolved issues concerning the package must be answered before proceeding to the next phase. This should be done in the most effective way possible, e.g., meetings or correspondence.

### **3.5 Document Compliance Phase**

**3.5.1** Review the Application Package by carrying out an in-depth review of the contents of each submitted document for regulatory compliance shall be carried out. The documents to be reviewed include:

- a) The completed application form
- b) All manuals and documents;
- c) The statement of compliance;
- d) The list of all relevant attachments.

**3.5.2** Discrepancies - Record discrepancies found in any document and determine in discussion with the applicant options for their resolution. Inform the applicant that the certification process will not continue until all discrepancies are resolved. If the discrepancies cannot be resolved or the certification process is stopped, the applicant will be informed in writing with all the discrepancies observed.

### **3.6 Demonstration and Inspection Phase**

**3.6.1** Housing and Facility – Are inspected during the Demonstration and Inspection Phase, to ensure that they comply with Regulations/requirements and are in accordance with procedures stipulated in the associated manuals and documents evaluated.

**3.6.2** The inspection system, to ensure the following:

- a) Employees are familiar with the procedures and capable of performing their assigned duties;
- b) Facilities can support the operation requested.
- c) Procedures are followed.

**3.6.3** Record keeping system to ensure that the requirements and Civil Aviation Regulations are met.

**3.6.4** A system for reporting serious defects or un-airworthy conditions.

**3.6.5** Ensure that the number of personnel is sufficient to satisfy the volume and type of work to be performed.

**3.6.6** Analysing Discrepancies - If discrepancies are noted, meet with the applicant to review discrepancies in detail. Corrective action must be taken and the assigned CPM should notify the applicant in writing, in order that the certification process may continue. Each discrepancy and corrective action must be fully documented and recorded in the certification file.

### **3.7 Certification Phase**

**3.7.1** When the applicant has met all regulatory requirements the assigned CPM will accomplish the following:

- a) Document the following information –

- (i) Findings and recommendations;
  - (ii) Discrepancies noted and comments;
  - (iii) Date of inspection;
  - (iv) The assigned CPM and certification team members, office designator and signature.
- b) Prepare the Approval Certificate which will be signed by the Authority.
- c) Prepare the Specific Operating Provisions (SOPs) or Operations Specifications (OPS Specs) as appropriate showing the approvals and limitations which will be signed by the Authority.
- d) Ensure that the certification report contains at least the following –
- (i) A completed copy of the PASI form;
  - (ii) A copy of the statement of compliance;
  - (iii) A completed copy of the inspection form
  - (iv) A copy of the certificate issued;
  - (v) A copy of the SOPs or OPS SPECS issued.

### **3.8 Results**

**3.8.1** Successful completion of this task will result into the following:

- a) Issue of an Approval Certificate and SOPs or OPS SPEC.
- b) Notifying the applicant in writing.

**3.8.2** If the certification is unsuccessful, due to either applicant termination or the failure of an inspection the person responsible for safety oversight will be briefed and letters will be written to the applicant describing the reasons.

**3.8.3** The original certification report will be retained at the Authority office.



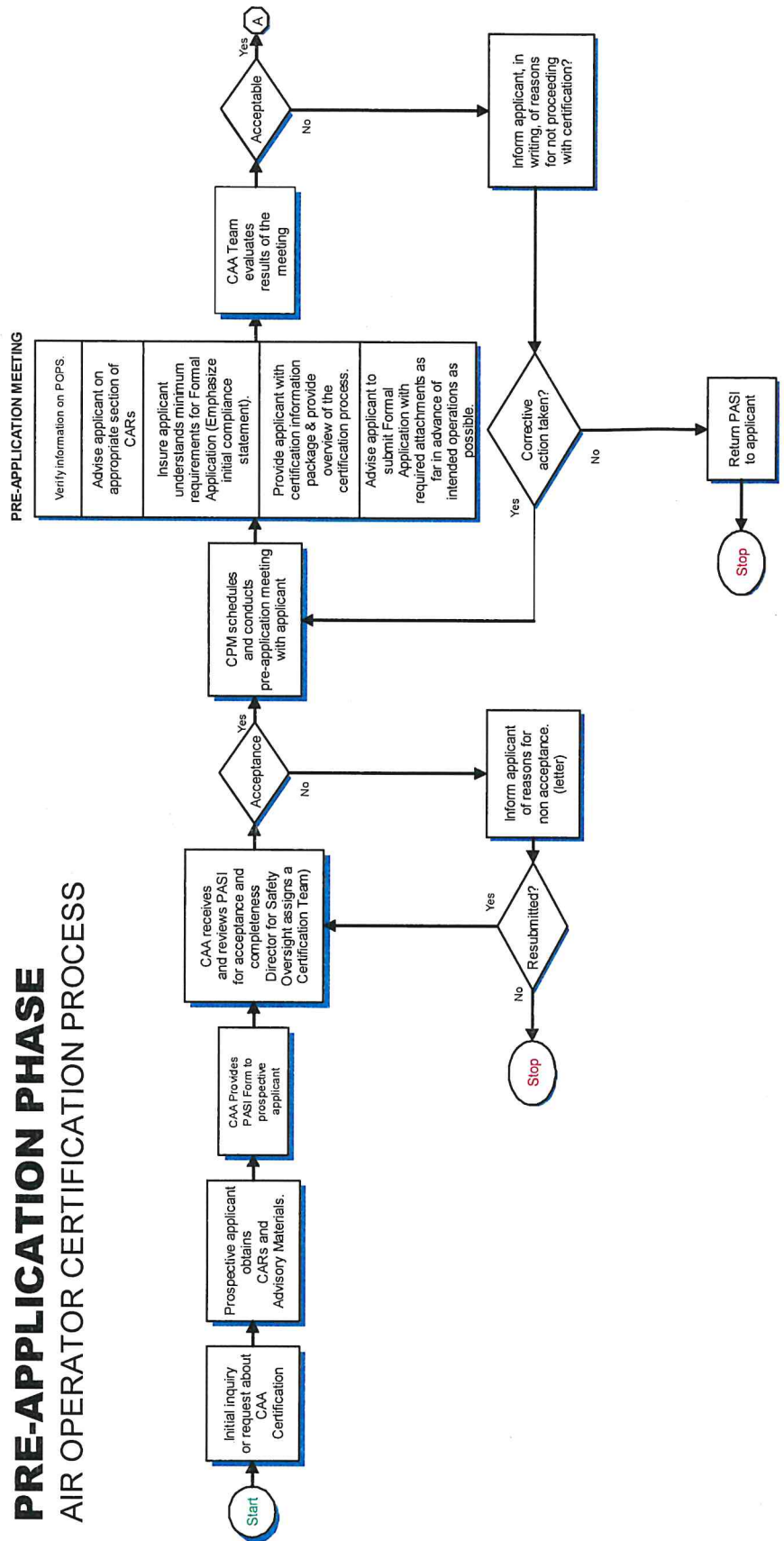
**Kenya Civil Aviation Authority**



APPENDIX 6 -  
CERTIFICATION  
PROCESS FLOW  
CHART.  
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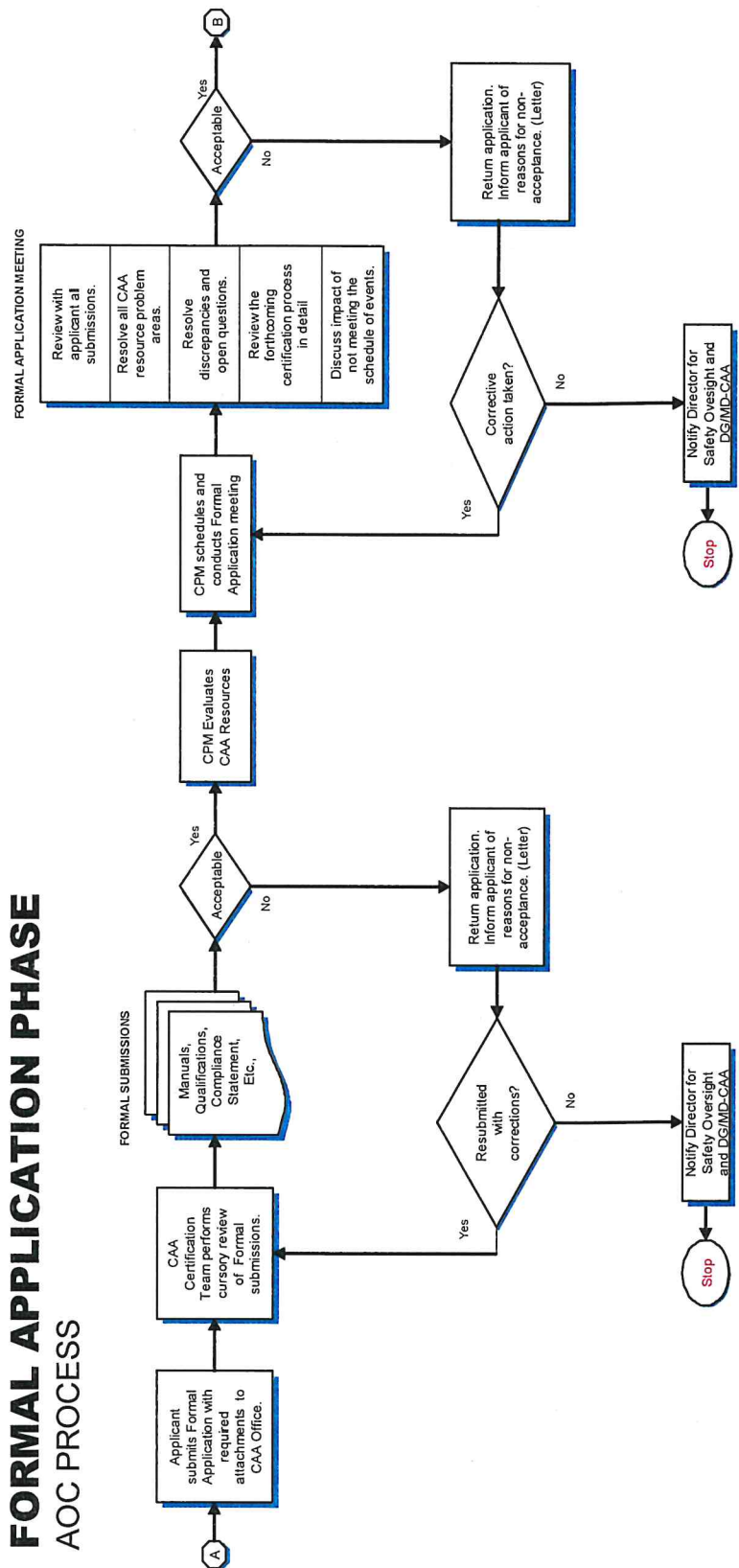
The flow charts on the following pages are representative of the Air Operator Certification Process. This chart also represents the process for the certification of an Approved Maintenance Organisation and ATO.

**PRE-APPLICATION PHASE**  
AIR OPERATOR CERTIFICATION PROCESS

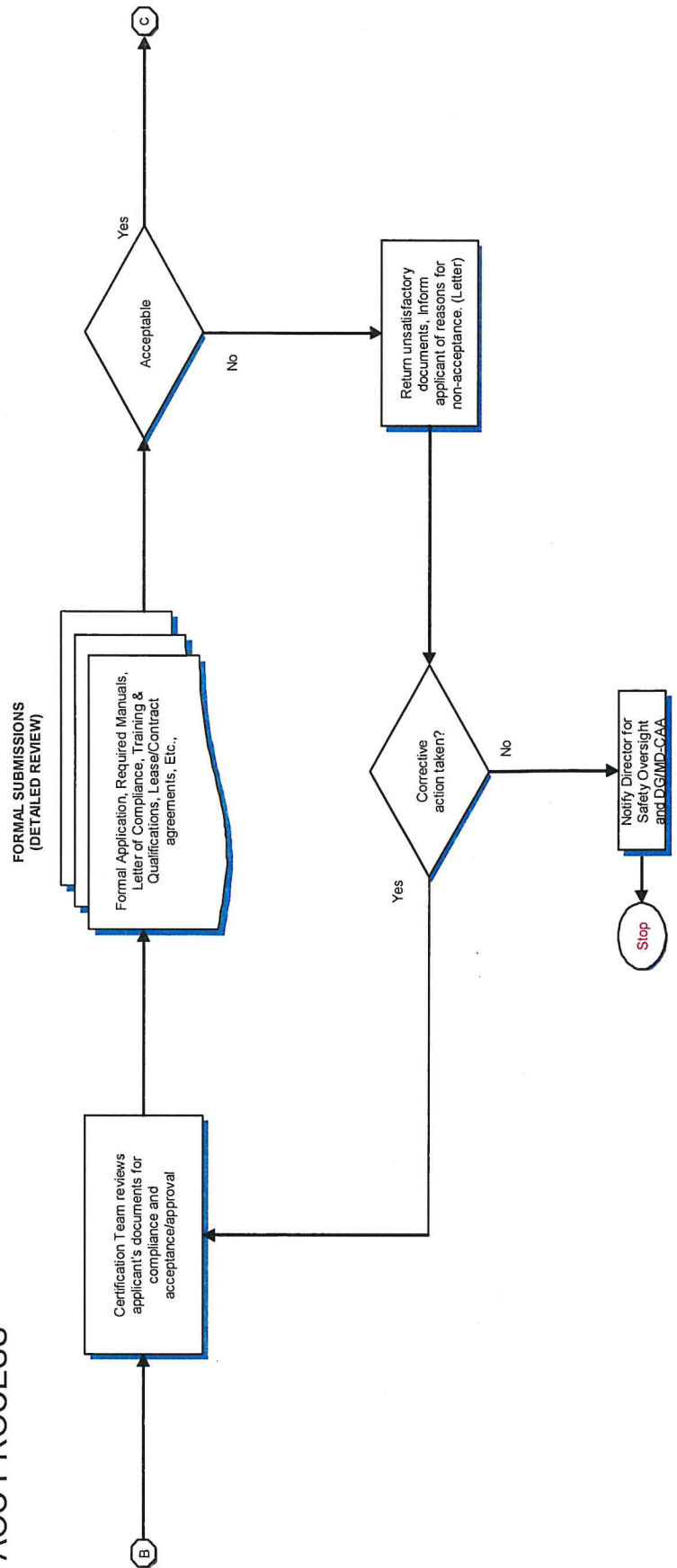


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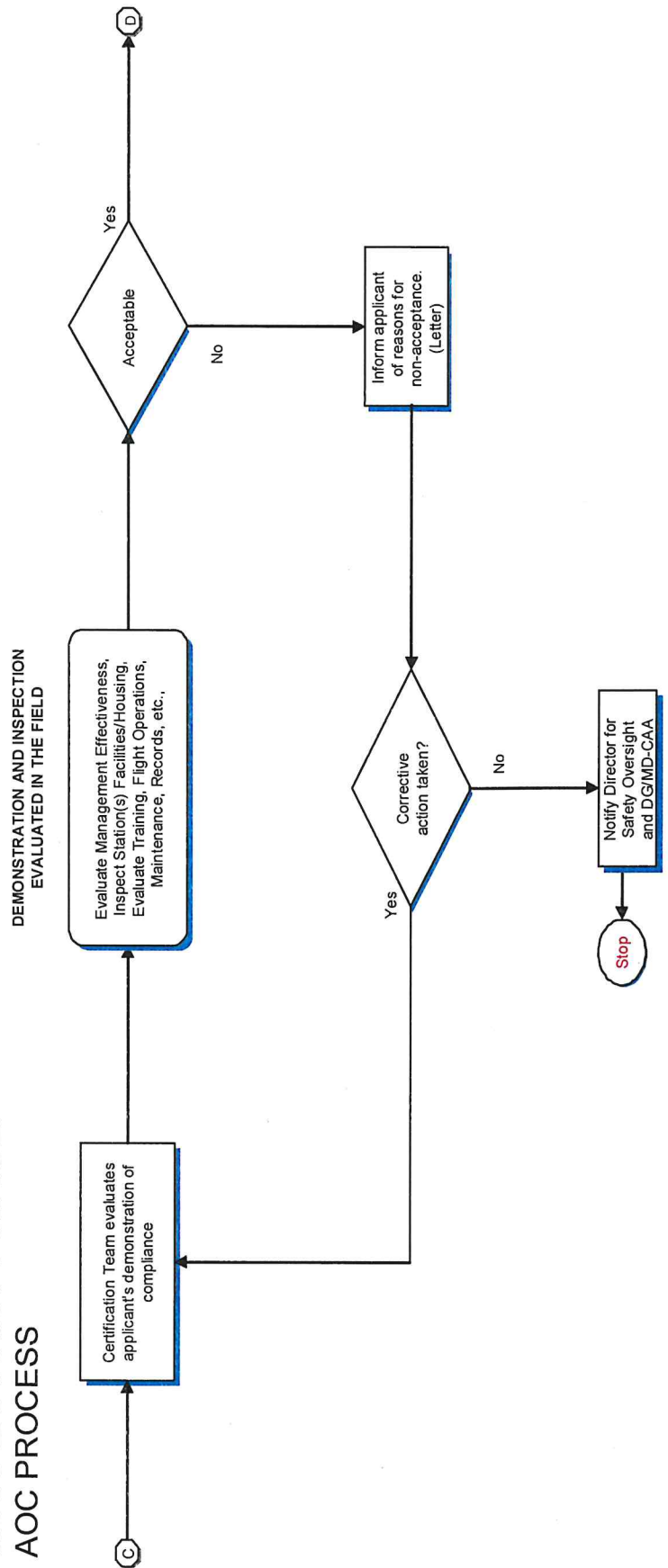
# **FORMAL APPLICATION PHASE** AOC PROCESS



## DOCUMENT COMPLIANCE PHASE AOC PROCESS



# **DEMONSTRATION AND INSPECTION PHASE AOC PROCESS**





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# **CERTIFICATION PHASE** **AOC PROCESS**

