
EBOOK VOLUME 1. GENERAL GUIDANCE & INFORMATION

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CHAPTER 1. HANDBOOK PURPOSE, USE AND TERMINOLOGY

Section 1. General Handbook Information

1.1.1.1. PURPOSE. This handbook (also known as the eBook) directs the activities of General Authority of Civil Aviation (GACA) aviation safety inspectors (Inspectors) responsible for the certification, technical administration, surveillance, compliance enforcement and the resolution of identified safety concerns of all aircraft, airmen, air operators, air agencies, aerodromes, air navigation service providers and many other aviation activities conducted in accordance with the applicable parts of the General Authority of Civil Aviation Regulations (GACAR). This handbook contains mandatory policy and procedures guidance for Inspectors (including Engineers). All Inspectors will be expected to follow the mandatory policy and procedures unless otherwise authorized. This handbook also provides direction for tasks related to aircraft accidents and incidents, investigations, the State safety program, administrative areas, and miscellaneous tasks not related to a specific regulation. In addition, it contains requirements for other Safety, Security and Air Transport (SS&AT) Sector personnel performing duties in the support of Inspectors.

1.1.1.3. STANDARDIZATION AND COORDINATION. A major objective of the GACA Safety, Security and Air Transport (SS&AT) Sector is to standardize the functions of the Inspector position. For this reason, any change to this handbook must be in accordance with the approved SS&AT revision process.

A. Deviations from this Handbook. Inspectors who find that specific requirements in this handbook do not apply to a specific case, should forward a request, through their supervisor/manager, to the Assistant President (AP) of the SS&AT for permission to deviate from the requirements. The request should specify the alternate means that will be used to meet the intent of the guidance or procedures from which he wishes to deviate. The AP will assess the deviation request and either accept or deny the request. The AP decisions will be communicated to the General Manager of the affected Department via a signed memo.

B. Authority to Change This Document. The A or his designee must approve all changes to this handbook. Prior to any change the AP may appoint a review committee to study all proposed changes. The committee will study the proposed changes and provide the AP with recommended action.

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C. Conflicts with Other GACA Guidance. The guidance in this handbook may conflict with guidance previously issued by GACA in other policy documents and directives. This situation may arise inadvertently or because it is impractical to revise all orders simultaneously. In such a case, use the guidance with the most recent date. If the guidance in this handbook conflicts with the GACAR, the GACAR takes precedence. Inspectors should refer questions about such conflicts to their immediate supervisors.

D. Availability of this Guidance. This handbook is available to both GACA personnel and to individuals outside the GACA. Inspectors should advise operators and other service providers of the availability of this guidance.

1.1.1.5. HANDBOOK REVISIONS.

NOTE: Individuals at all levels of the GACA SS&AT and individuals in the aviation industry are encouraged to make suggestions for revisions to the handbook.

A. Policy Questions or Concerns. Questions or concerns regarding policy issues that cannot be resolved by the applicable General Manager must be coordinated with the AP. In that situation the General Manager should contact the AP and provide complete details regarding the issue or concerns, including reasons why he is not able to resolve the issue or concern.

B. Handbook Revision Process. The SS&AT revision process is the process for revising this guidance and is described in the Quality System Manual. The need for a revision may become evident when a change occurs in the aviation industry, within the GACAR, the GACA organization, GACA policies or changes in the global civil aviation domain.

C. Review and Notification. The Legislation Department is the custodian of this handbook. The Legislation Department (in coordination with the AP) will review and consider all questions, concerns, or suggestions submitted. The Legislation Department will acknowledge receipt of each suggestion.

C. Presentation of Changes. As this handbook is revised to incorporate new material, delete obsolete material or correct or amend existing material, the changes will be annotated in the handbook by the use shading. All new text will be shaded. If necessary to emphasize a deletion, the use of ~~strike-through~~ will be used, otherwise deleted text will simply be removed. At the next subsequent revision the shading and ~~strike-through~~ will be removed. In addition, each revision to a volume of this handbook results in the version being indexed upward by one. The version of

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each volume is noted in the document footer (when printed) and in the volume title as read online. A LOG OF VERSIONS is maintained that can be used to track all of the current and prior versions to each volume of the handbook. A SUMMARY OF CHANGES is also maintained that provides a brief explanation of all of the changes of the handbook.

1.1.1.7. DIRECTIVE AND GUIDANCE INFORMATION.

A. Directive Information. Directive information is information considered directive in nature, contains terms such as “shall,” “will,” or “must,” and means the actions are mandatory. “Shall not” prohibits the action. The use of these terms will leave no flexibility, and Inspectors must follow their direction unless otherwise authorized by the AP.

B. Guidance Information. Guidance information is information considered guiding in nature and will contain terms such as “should” or “may.” These terms indicate actions that are desirable, permissive, or not mandatory, and allow flexibility.

C. The Use of FAA and ICAO Guidance Material Incorporated by Reference. In certain specified circumstances, guidance information published by the Federal Aviation Administration (FAA) or the International Civil Aviation Organization (ICAO) is incorporated by reference in this handbook. The FAA guidance information may contain references to the FAA organization structure and regulatory structure that are not applicable in the Kingdom of Saudi Arabia (KSA). In general, when FAA guidance material is incorporated by reference, Inspectors should follow the technical content presented. Content referring to FAA procedures, processes and databases that are clearly not applicable in the KSA should generally be ignored. If Inspectors are unsure of how to proceed, they should consult with their supervisor. The ICAO guidance information is generally sufficiently general in nature that it is applicable to any State but if Inspectors are unsure of how to proceed, they should consult with their Manager.

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CHAPTER 1. HANDBOOK PURPOSE, USE AND TERMINOLOGY

Section 2. Acronyms and Abbreviations

1.1.2.1. GENERAL. Many acronyms and abbreviations for both old as well as new aviation terms are used throughout this handbook. Inspectors can refer to the following alphabetical listing of frequently used acronyms and abbreviations and their meanings when using this handbook.

AC	Advisory Circular
ACARS	Aircraft Communications Addressing and Reporting System
ACAS	Airborne Collision Avoidance System
AD	Airworthiness Directive
ADF	Automatic Direction Finder
ADS-B	Automatic Dependent Surveillance – Broadcast
AFCGS	Automatic Flight Control Guidance System
AFE	Above Field Elevation
AFGS	Auto Flight Guidance System
AFM	Aircraft Flight Manual
AGL	Above Ground Level
AH	Alert Height for Category III Operations
AIB	Aviation Investigation Bureau of the Kingdom of Saudi Arabia

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AIP	Aeronautical Information Publication
AIRMET	Airman's Meteorological Information
ALoS	Acceptable Level of Safety
AOSS	Aviation Operations Safety System
AMM	Aircraft Maintenance Manual
AP	Assistant President, Safety, Security and Air Transport Sector (GACA)
APU	Auxiliary Power Unit
ARA	Airborne Radar Approach
ARINC	Aeronautical Radio Inc.
ASDE	Airport Surface Detection Equipment
ASOS	Automated Surface Observation System
ASR	Airport Surveillance Radar
ATC	Air Traffic Control
ATD	Advanced Training Device
ATIS	Automatic Terminal Information Service
ATP	Airline Transport Pilot
AZI	Azimuth Instrument Approach
BAZ	Back Azimuth
BA	Barometric Altimeter

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CAMP	Continuous Airworthiness Maintenance Program
C DFA	Constant Descent Final Approach
CDL	Configuration Deviation List
CDV	Challenge-Do-Verify
CEP	Central East Pacific
CEPAC	Central East Pacific (Airspace)
CFI	Certificated Flight Instructor
CFM	Company Flight Manual
CG	Center of Gravity
CIG	Component Inoperative Guide
CL	Centerline Lights
CPD	Certification Process Document
CRM	Crew Resource Management
CSI	Cabin Safety Inspector
CVFP	Charted Visual Flight Procedures
DAR	Designated Airworthiness Representative
DER	Designated Engineering Representative
DH	Decision Height
DME	Distance Measuring Equipment

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DNL	Decibel Noise Level
DO	Director of Operations
DPA	Decision Point Altitude
DPE	Designated Pilot Examiner
DR	Dead Reckoning
DWFAF	Downwind Final Approach Position
EASA	European Aviation Safety Agency
EPR	Exhaust Pressure Ratio
ER-OPS	Extended-Range Operations
ETA	Estimated Time of Arrival
ETE	Estimated Time En Route
ETOPS	Extended-Range Operations with Two-Engine Airplanes
F/A	Flight Attendant
FAA	Federal Aviation Administration
FAAO	Federal Aviation Administration Order
FAF	Final Approach Fix
FAR	Federal Aviation Regulation
FD	Flight Director
FE	Flight Engineer

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FIR	Flight Information Region
FL	Flight Level
FMS	Flight Management System
FOD	Foreign Object Damage
FSTD	Flight Simulation Training Device
FT	Forecast Terminal
FTD	Flight Training Device
FTE	Flight Technical Error
GACA	General Authority of Civil Aviation
GACAR	General Authority of Civil Aviation Regulations
GAR	GACA Activity Report
GLS	GPS Landing System
GM	General Manager (of a Department within SS&AT Sector)
GMM	General Maintenance Manual (same as Maintenance Manual)
GNSS	Global Navigation Satellite System
GOM	General Operations Manual (same as Operations Manual)
GPS	Global Positioning System
GS	Groundspeed
GTD	Ground Training Device

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HAA	Height Above Airport (Non-precision approach)
HAT	Height Above Touchdown (Precision approach)
HF	High Frequency
HGS	Heads-Up Guidance System
HIRL	High Intensity Runway Light
HUD	Heads-Up Display
IAP	Instrument Approach Procedure
IAS	Indicated Airspeed
IAW	In Accordance With
ICAO	International Civil Aviation Organization
IF	Intermediate Approach Fix
IFR	Instrument Flight Rules
IIC	Investigator-in-Charge
ILS	Instrument Landing System
IM	Inner Marker
IMC	Instrument Meteorological Conditions
INS	Inertial Navigation System
IOE	Initial Operating Experience
IRA	Instrument Rating Airplane

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IRS	Inertial Reference System
IRU	Inertial Reference Unit
KSA	Kingdom of Saudi Arabia
Km	Kilometer
LDA	Localizer-Type Directional Aid
LF	Low Frequency
LIRL	Low Intensity Runway Light
LLWS	Low-Level Windshear
LNAV	Lateral Navigation
LOFT	Line-Oriented Flight Training
LOS	Line-Operational Simulation
LRA	Lowest Radar Altitude
MALS	Medium Intensity Approach Lighting System
MCT	Maximum Continuous Thrust
MDA	Minimum Descent Altitude (non-precision approach)
MEL	Minimum Equipment List
MF	Medium Frequency
MHz	Megahertz
MID	Mid Runway Rollout

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MIRL	Medium Intensity Runway Light
MLS	Microwave Landing System
MMEL	Master Minimum Equipment List
MNPS	Minimum Navigation Performance Specification
MOU	Memorandum of Understanding
MRB	Maintenance Review Board
MSL	Mean Sea Level
MTOM	Maximum Takeoff Mass
NAPD	Noise Abatement Departure Profile
NAT	North Atlantic Track
NAVAID	Navigational Aid
NDB	Non-directional Beacon
NM	Nautical Mile
NOPAC	North Pacific
NOTAM	Notice to Airmen
OAT	Outside Air Temperature
OCA	Obstacle Clearance Altitude
OCH	Obstacle Clearance Height
OCL	Obstacle Clearance Limit

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ODS	Obstruction Data Sheet
OE	Operating Experience
OM	Operations Manual (same meaning as General Operations Manual)
OpSpecs	Operations Specifications
PAR	Precision Approach Radar
PBN	Performance-based Navigation
PCA	Positive Control Area
PI	Principal Inspector (generic terms for any Principal Inspector)
PIC	Pilot-in-Command
PIREP	Pilot Weather Report
PMA	Parts Manufacturer Approval
PME	Presidency of Meteorology and Environment
PMI	Principal Maintenance Inspector
POI	Principal Operations Inspector
POM	Pilot Operating Manual
PRD	Planned Re-dispatch
PRM	Precision Runway Monitor
PRR	Planned Rerelease
PTS	Practical Test Standards

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RCH	Runway Crossing Height
RCLM	Runway Centerline Marking
REMS	Rotorcraft Emergency Medical Service
RFT	Recurrent Flight Training
RMA	Radar Minimum Altitude
RTCA	Radio Technical Commission for Aeronautics
RVO	Runway Visibility by Observer
RVR	Runway Visual Range
RVSM	Reduced Vertical Separation Minimum
RVV	Runway Visibility Value
SALS	Short Approach Light System
SAPMA	Saudi Arabian Parts Manufacture Approval
SATCOM	Satellite Communications
SS&AT	Safety, Security and Air Transport (formerly Safety and Economic Regulation)
SIC	Second-in-Command
SID	Standard Instrument Departure
SIGMET	Significant Meteorological Information
SIM	Flight Simulator
S-LRCS	Single Functional Long-Range Communications System

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S-LRNS	Single Long-Range Navigation System
SMGCS	Surface Movement Guidance and Control System
SMM	Safety Management Manual
SMS	Safety Management System
SRM	Safety Risk Management
SSP	State Safety Program
STAR	Standard Terminal Arrival
STC	Supplemental Type Certificate
TAS	True Airspeed
TBD	To Be Developed
TC	Type Certificate
TCAS	Traffic Alert and Collision Avoidance System
TCDS	Type-Certificated Data Sheet
TCH	Threshold Crossing Height
TDZ	Touchdown Zone
TSO	Technical Standard Order
TWEB	Transcribed Weather Broadcast
UHF	Ultra High Frequency
UTC	Coordinated Universal Time

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VASI	Visual Approach Slope Indicator
VDR	VHF Digital Radio
VFR	Visual Flight Rules
VHF	Very High Frequency
VLf	Very Low Frequency
VMC	Visual Meteorological Conditions
VNAV	Vertical Navigation
VOR	Very High Frequency Omnidirectional Range Station
VOR/DME	VHF Omnidirectional Range Station/Distance Measuring Equipment
VORTAC	VHF Omnidirectional Range Station/Tactical Air Navigation
VSI	Vertical Speed Indicator
WAAS	Wide Area Augmentation System

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CHAPTER 2. THE GENERAL AUTHORITY OF CIVIL AVIATION (GACA) HISTORY, ORGANIZATION, AND REGULATORY RESPONSIBILITIES

Section 1. History and Organization of the General Authority of Civil Aviation (GACA)

1.2.1.1. EARLY AVIATION REGULATORY AUTHORITY AND RESPONSIBILITIES.

A. History. The need for an aviation regulatory authority was recognized in 1953 when Royal Decree Number 17/2/22/3481, dated June 8, 1953 was issued. In response to that decree, the Minister of Defense and the Aviation and Inspector General issued a directive to the President of Civil Aviation. The Ministerial Directive required that the Aviation Standards and Safety Department temporarily adopt the United States (U.S.) Federal Aviation Regulations (FARs) until such time as the Kingdom of Saudi Arabia's Civil Aviation Regulations could be formalized. The President of Civil Aviation was directed to enforce the directive. The President then issued a similar directive which mandated the use of the FAR's and internal guidance documents from the Federal Aviation Administration (FAA) until such time as the Kingdom of Saudi Arabia's (KSA) regulations and guidance material were implemented.

B. Directorate General of Civil Aviation (DGCA). A short while after the Royal Decree was issued in 1953, the DGCA, Saudi Arabian Airlines and the Meteorology Department separated from Royal Saudi Air Force. The DGCA continued as the responsible entity for the country's civil aviation business until 1977 when the official agency name was changed from DGCA to Presidency of Civil Aviation (PCA). In 2001, a new formal Ministerial directive was issued to the PCA directing that the agency formally adopt the U.S. FAA regulations as the aviation regulations of KSA.

C. 2005 Royal Decree. The Civil Aviation Law issued August 23, 2005, was enacted to establish the Sovereignty and Powers of the Kingdom in regard to all aviation matters including licensing, certification and air navigation. This law directs all Civil Aviation activities and operations within the territory of the KSA and it changed the agency name from PCA to General Authority of Civil Aviation (GACA).

1.2.1.3. ESTABLISHMENT OF THE GENERAL AUTHORITY OF CIVIL AVIATION (GACA).

A. GACA. During the period from 1953, when the Royal Decree was in force, until 2005, the

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world witnessed a rapid growth of air commerce, aviation technology, and an increasing public demand for air services. This growth caused the industry to reach unforeseen levels of complexity in both operations and air traffic. On August 23, 2005, a new Civil Aviation Law was enacted. Prior to that law the PCA regulated the aviation industry in the KSA using FAA rules and guidance material. The new law recognized that GACA could not efficiently or adequately fulfill its responsibilities using a foreign regulatory structure and guidance system that could not fully meet its needs as a regulatory agency. Although the GACA continued to use the regulatory structure of the FAA, it took positive steps to develop its own guidance and regulatory structure. This handbook is part of the structural redesign of both the regulations and guidance material used by the KSA.

B. GACA Established. The Council of Ministers Order No. 33, dated 11/2/1426H (22 March 2005), established GACA. The GACA includes a Board of Directors which is headed by the Chairman of the Board of Directors.

C. The Civil Aviation Law. Article 5 of the Civil Aviation Law stipulates that “The Authority shall be solely in charge of all civil aviation affairs in the Kingdom, including undertaking all telecommunications services related to aviation safety and air traffic regularity”. Article 179 of the Civil Aviation Law stipulates that “The Board of Directors shall issue the Implementing Regulations and decisions necessary for the implementation of the provisions of this Law.” To keep the operating Regulations relevant and appropriate to the development of civil aviation, the Chairman of the Board of Directors has delegated the GACA President the authority to approve these Regulations in accordance with Order No .T-41, dated 30/12/1429H (28 /12/2008 G). See Table 1.2.1.2 for the history of aviation in the KSA.

1.2.1.5. ORGANIZATIONAL STRUCTURES OF THE GACA SAFETY, SECURITY & AIR TRANSPORT SECTOR.

A. Current GACA Organizational Structure. The first year of the newly formed independent GACA was 2005. The GACA organizational structure has experienced several changes since that time. The GACA organization is composed of a number of Sectors, each carrying out specific functions and duties (see Figure 1.2.1.2). The Safety, Security and Air Transport Sector is responsible for regulating civil aviation activities within the Kingdom of Saudi Arabia. The current organizational structure for the Safety, Security and Air Transport Sector (formerly Safety and Economic Regulation) contains three different levels as follows:

- 1) Level 1: The Assistant President, Safety, Security and Air Transport (SS&AT) Sector

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2) Level 2: The operational departments headed by a General Manager.

3) Level 3: The operational divisions headed by Managers. Each operational division (and its associated work units or offices) reports to one of the main departments of SS&AT, as described in other GACA documentation.

NOTE: The GACA eBook will only address subjects that are applicable to the aviation safety functions of the Safety, Security & Air Transport Sector.

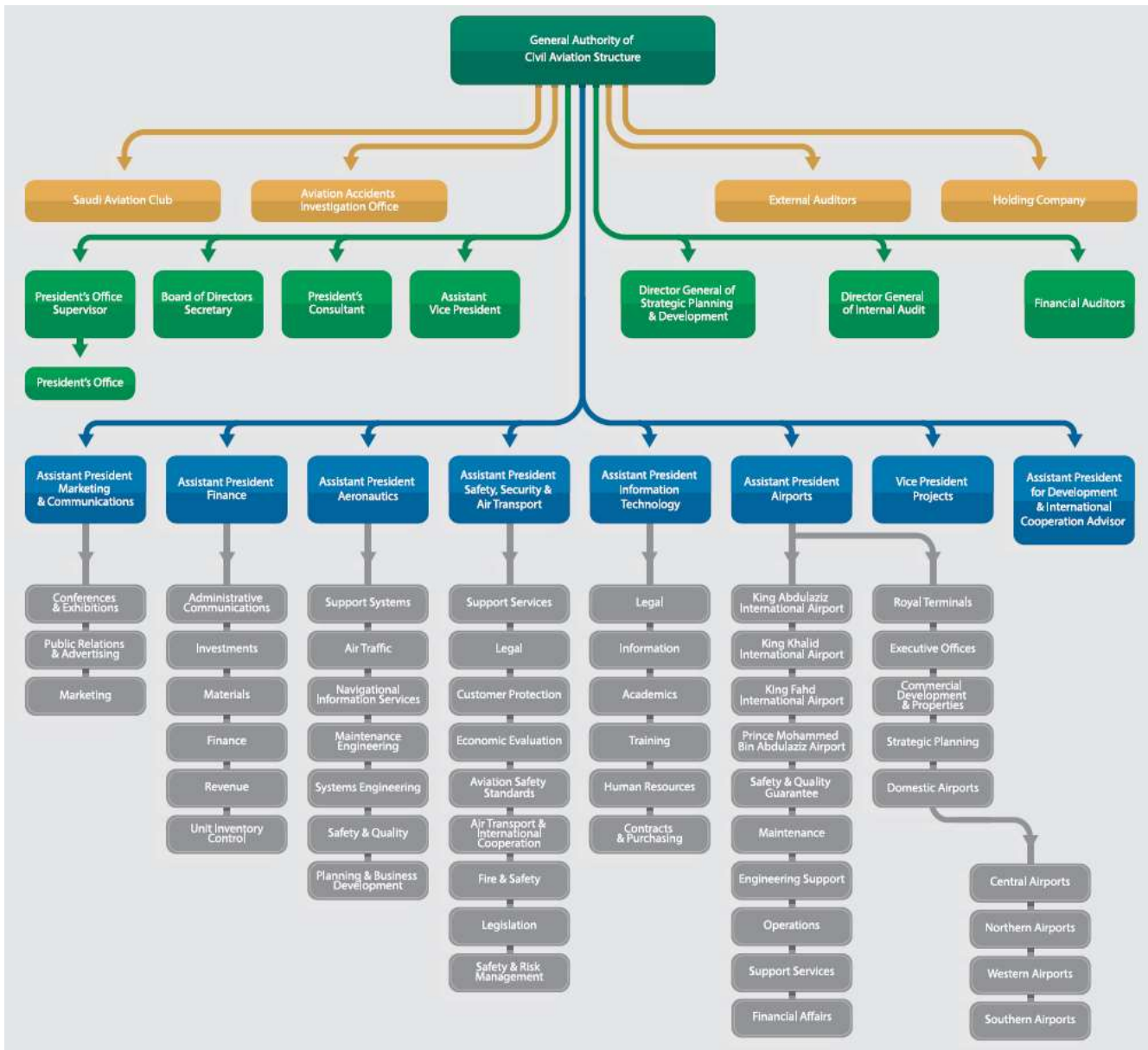
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Table 1.2.1.1. History of Aviation in the KSA

Year	Event	Agency Responsible for Civil Aviation	Regulations
1934	Debut of civil aviation in KSA-desert runway established near Jubail to support oil exploration activities.	-	-
1945	US President Franklin Roosevelt presented a Douglas DC-3 airplane to King Abdul Aziz ibn Saud. It was quickly put in service to transport passengers and mail between Jeddah, Riyadh and Dhahran. Two other aircraft of the same model were added at a later stage.	-	-
1946	Saudi Arabian Airlines was formed.	-	-
1953	First Civil Aviation Rule issued by Royal Decree No. 17/2/22/3481	CAD	U.S. FARs
Pre 1953	Royal Saudi Air Force, Civil Aviation Department (CAD), Saudi Arabian Airlines and Meteorology Department were all one organization.	CAD	-
1953	Directorate General of Civil Aviation (DGCA), Saudi Arabian Airlines and Meteorology Department separated from Royal Saudi Air force.	DGCA	U.S. FARs
1960	Saudi Arabian Airlines separated from DGCA.	DGCA	U.S. FARs
1966	Meteorology Department separated from DGCA.	DGCA	U.S. FARs
1977	Agency name changed from DGCA to Presidency of Civil Aviation (PCA).	PCA	U.S. FARs
1992	Directive issued from President of PCA to adopt U.S. FARs.	PCA	U.S. FARs
2001	Ministerial Directive Order No. 1/1/4/5202 dated 15/6/1422H formally directed PCA to adopt U.S. FARs.	PCA	U.S. FARs
2005	Agency name changed from PCA to GACA.	GACA	U.S. FARs
2005	Royal Decree M/44 dated 18/7/1426H formally enacts the Civil Aviation Law.	GACA	Civil Aviation Law & U.S. FARs
2008	GACA publishes a comprehensive set of civil aviation safety regulations (22 Sections) which are based on a combination of the U.S. FARs and ICAO Annexes.	GACA	Civil Aviation Law & GACA Regulations
2010	GACA begins the development of a complete set of Saudi Arabian Civil Aviation Regulations (GACARs)	GACA	Civil Aviation Law & GACA Regulations
2015	GACA publishes a comprehensive set of civil aviation safety regulations – the new GACARs are born.	GACA	Civil Aviation Law & the New GACAR

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Figure 1.2.1.2. GACA Organization Chart (2015)



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CHAPTER 2. THE GENERAL AUTHORITY OF CIVIL AVIATION (GACA) HISTORY, ORGANIZATION, AND REGULATORY RESPONSIBILITIES

Section 2. The Legislative Framework for Civil Aviation in the KSA

1.2.2.1. THE LEGISLATIVE FRAMEWORK FOR CIVIL AVIATION IN THE KSA.

The legislative framework governing the civil aviation system in Saudi Arabia is the *Civil Aviation Law*, which was promulgated by Royal Decree No. M/44 18/07/1426H (23 August 2005). Pursuant to Article 180 of the Act, after publication in the *Um Al Qura* (Official Gazette) Issue No. 4068 on 25/09/1426H (28 October 2005), it became applicable on 26/03/1427H (24 April 2006) (one hundred and eighty days after its publication date), and repeals all provisions conflicting therewith.

A. As prescribed under Article 178 of the *Civil Aviation Law*, (“Repeal of Civil Aviation Laws”), once it entered into force, it repealed the *Law of Landing and Passage of Foreign Military and Governmental Aircraft, and Diplomatic Aircraft within the Territory of the Kingdom of Saudi Arabia and Exemption From Duties*, issued by Royal Decree No. 7/7/15 /2559, dated 1/4/1372H; the *Law of Aerodromes Establishment Inside the Kingdom of Saudi Arabia*, issued by Royal Decree No. 7/7/1/3456 in the month of Ramadan of the year 1372H; and the *Aviation Law*, issued by Royal Decree No. 17/2/22/3481, dated 24/9/1372H.

1.2.2.3. THE CIVIL AVIATION LAW.

A. *The Civil Aviation Law*. This law contains 14 Chapters, stipulating 180 Articles:

1) *Chapter One: General Provisions:*

- Section One: Definitions
- Section Two: Sovereignty and Powers of the Kingdom
- Section Three: General Provisions on Aviation

2) *Chapter Two: Air Carriage Regulation:*

- Section One: Policies and Implementation

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- Section Two: Licensing and Operating Aviation Companies
 - Section Three: Air Transportation Facilitation
- 3) *Chapter Three: Aerodromes and Navigational Services Facilities:*
- Section One: Establishment, Management and Use of Aerodromes
 - Section Two: Aerial Easement
 - Section Three: Protection of Aerodromes, Aircraft and Navigation Equipment
- 4) *Chapter Four: Aircraft:*
- Section One: Aircraft Registration
 - Section Two: Rights on Aircraft
 - Section Three: Attachment of Aircraft
 - Section Four: Airworthiness of Aircraft
 - Section Five: Operation Specifications
- 5) *Chapter Five: Airspace Rule*
- 6) *Chapter Six: Flying Permits and Training*
- 7) *Chapter Seven: Air Carriage and Aerial Work Operations:*
- Section One: Applicable Rules and Instructions
 - Section Two: Air Operations
- 8) *Chapter Eight: Aviation Accidents*
- 9) *Chapter Nine: Search and Rescue*
- 10) *Chapter Ten: Aircraft Operation Liabilities and Guarantees:*

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- Section One: Air Carrier’s Liability
 - Section Two: Liability for Damage
- 11) *Chapter Eleven: Crimes and Acts Against Safety and Security of Civil Aviation:*
- Section One: Definition of Crimes and Acts
 - Section Two: Jurisdiction and Duties of Authorities
- 12) *Chapter Twelve: Penalties and Punishments*
- 13) *Chapter Thirteen: Military Aircraft*
- 14) *Chapter Fourteen: Concluding Provisions*

1.2.2.5. THE PROCESS FOR AMENDMENT OF THE CIVIL AVIATION LAW:

A. The proposed amendment is submitted to the General Authority of Civil Aviation (GACA) Board of Directors for approval.

B. Once approved by the Board, a draft of the amendment is presented to His Majesty the King and is directed to the General Secretariat of the Council of Ministers (GSCM).

C. The GSCM processes the proposed amendment as follows:

- 1) It is sent to the Council of Experts for review and coordination with all concerned parties.
- 2) It is then sent to the Shura Council where a specialized committee is formed to review the proposed amendment, and who then forwards it back to the Shura Council for discussion, voting and approval.
- 3) Once approved by the Shura Council, it is included in the Council of Ministers agenda for review and approval.
- 4) Once approved by the Council of Ministers, a Royal Decree is issued approving the

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Council of Ministers Resolution.

NOTE: The above process may take up to two years to complete.

1.2.2.7. ENFORCEMENT AND EMPOWERMENT OF INSPECTORS.

A. The provisions pertaining to enforcement and empowerment of inspectors are dealt with in the following Chapters and Articles:

- 1) Chapter Eleven - Crimes and Acts against Safety and Security of Civil Aviation.
- 2) Chapter Twelve - Penalties and Punishments.
- 3) Article 6 - Inspection and preventing aircraft from flying and seizing the documents thereof.
- 4) Articles 17 and 100 related to inspection of operations of companies and agencies.

B. The *Civil Aviation Law*, Article 6, provides for the inspection and prevention of aircraft from flying and the seizure of documents thereof without prejudice to provisions of other laws and international treaties.

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Section 3. Safety Responsibilities of the State

1.2.3.1. GENERAL. As part of its obligations as a signatory to the Convention on International Civil Aviation, the Kingdom of Saudi Arabia (KSA) has put in place a State Safety Program (SSP)

to manage the safety of civil aviation in a structured and coherent manner. The State Safety Program of the KSA includes the following key components:

- Safety Policies and Objectives
- Safety Risk Management
- Safety Assurance
- Safety Promotion

A. The SSP of the Kingdom of Saudi Arabia recognizes that many persons and organizations contribute to aviation safety and each has duties and obligations that must be fulfilled in order for an

acceptable level of safety to be maintained.

B. The SSP recognizes the safety responsibilities of several distinct participants in civil aviation. These include the following:

- The General Authority of Civil Aviation (GACA) Safety, Security & Air Transport Sector (SS&AT)
- Aviation Investigation Bureau (AIB)
- The General Authority of Civil Aviation (GACA) service provider sectors (including the Air Navigation Services Sector and the Airports Sector)

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- Private sector individuals and organizations who participate in civil aviation activities whether for commercial or non-commercial reasons.

1.2.3.3. THE GENERAL AUTHORITY OF CIVIL AVIATION (GACA) SAFETY, SECURITY & AIR TRANSPORT (SS&AT) SECTOR SAFETY RESPONSIBILITIES.

A. GACA SS&AT. As the State safety regulator, GACA SS&AT Sector has safety related responsibilities involving all sectors and activities associated with civil aviation in the KSA. Specifically, the SS&AT Sector has regulation responsibilities include the following areas:

- Aircraft
- Airmen
- Airspace
- Air Operations including recreational aviation and aerial work
- Aviation Schools and Training Centers
- Maintenance Providers
- Aerodromes
- Air Navigation Services (ANS)
- Aeronautical Parts Manufacturers
- Persons engaged in the transportation of goods by air

B. The GACA's regulatory authority to prescribe, revise, and enforce safety standards is part of the duties and responsibilities that have been assigned to the Authority under the provisions of the Civil Aviation Law.

C. General rulemaking procedures followed by the GACA are explained in GACAR Part 11, and Volume 3, Chapter 1 of this handbook; however the President is the final authority with respect to all aviation safety rulemaking actions.

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1.2.3.5. AVIATION INVESTIGATION BUREAU (AIB). The AIB has been given the powers and duties concerning aviation occurrence investigations, formulating causes of aviation occurrences, and making aviation safety recommendations. The AIB is an independent agency that reports to the GACA Board of Directors. Although GACA personnel may participate in aviation occurrence investigations conducted by the AIB, they are not permitted to participate in determining the “causes” of any aviation occurrence investigated by the AIB. At the request of the AIB, certain aviation accidents may be investigated by the GACA. The facts, conditions, and circumstances of these occurrences are reported to the AIB, and the AIB determines “the causes.” Based on investigation findings, the AIB recommends changes in aviation regulations, procedures, and equipment to improve aviation safety.

1.2.3.7 Coordination between the AIB and the GACA SS&AT Sector.

A. Observer from the Safety and Risk Management Department of the GACA SS&AT Sector.

In accordance with Article 3.2 e) of the AIB Regulations, for all aviation occurrence investigations conducted by the AIB, an Observer from the Safety and Risk Management Department of GACA SS&AT shall be assigned to gather pertinent information aimed at the prevention of future aviation occurrences. Also, Article 5.15.2 b) of the AIB Regulations states that an Observer from the of GACA SS&AT may participate in any investigation conducted by the AIB.

B. Flight Recorders. In accordance with Article 5.20.1 of the AIB Regulations, the SS&AT may retrieve flight recorders for the sole purpose of conducting safety oversight of operators registered in the Kingdom of Saudi Arabia. The SS&AT may not retrieve flight recorders from an aircraft involved into an aviation occurrence being investigated by the AIB.

C. State Safety Program (SSP). In accordance with Article 8.6 of the AIB Regulations, the SSP is mainly the responsibility of the SS&AT. The role of the AIB with respect to the SSP will be to provide the SS&AT with the required data.

1.2.3.9. THE GENERAL AUTHORITY OF CIVIL AVIATION (GACA) SERVICE PROVIDER SAFETY RESPONSIBILITIES. The GACA Service Provider Sectors (Air Navigation Sector and Airports Sector) are operating entities wholly independent independent of SS&AT. They have safety related responsibilities in much the same way as the private sector responsibilities outlined in the following paragraph.

1.2.3.11. PRIVATE SECTOR SAFETY RESPONSIBILITIES.

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A. Private Sector. The term “private sector,” when applied to aviation, encompasses all individuals and commercial organizations participating in civil aviation activities. While individuals and

organizations such as pilots, mechanics, air carriers, aerodromes, air agencies and air navigation service providers participate directly in civil aviation activities, other individuals and organizations such as vendors, food caterers, travel agents, baggage handlers, and aircraft sales personnel participate indirectly.

B. GACA SS&AT Sector. The GACA SS&AT Sector has the duty to establish and enforce minimum standards, rules, and national policies in order to promote a high level of aviation safety and to meet the Kingdom of Saudi Arabia’s international obligations as an ICAO Contracting State. The responsibility for aviation safety, however, does not rest entirely with the GACA. Persons or organizations of the “private sector” are also obligated to comply with the prescribed safety requirements and to provide for public safety. All airmen, aircraft owners and operators, aerodromes, air agencies, and air navigation service providers who qualify for and accept a GACA certificate or authorization, must assume these “private sector” responsibilities.

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Section 1. Aviation Safety Inspector Responsibilities

1.3.1.1. GENERAL. This chapter addresses the responsibilities, standards of conduct, and credentials of aviation safety inspectors (Inspectors). This section describes the general responsibilities of the Inspector. Inspectors of the General Authority of Civil Aviation (GACA) Safety, Security and Air Transport (SS&AT) Sector play a key role in ensuring that the Kingdom of Saudi Arabia (KSA) civil aviation system continues to be among the safest in the world. This responsibility for aviation safety covers almost every facet of civil aviation, including airmen, aircraft, air operators, air agencies, aerodromes, airspace and air navigation services.

1.3.1.3. INSPECTOR RESOURCE DATA BASE.

A. Inspector Resources. The GACA SS&AT Inspector workforce is made up of many highly trained and experienced personnel and together they represent a vast pool of knowledge and practical experience in all matters related to civil aviation. An Inspector's specialized knowledge of, and experience with, specific aspects of civil aviation may be beneficial to another Inspector during proving flights, check rides, accident investigations, recurrent certifications, maintenance and inspection program approval, and a variety of other activities which Inspectors are involved.

B. Use of the GACA Activity Report (GAR).

This handbook has been designed to work in concert with a system for recording the activities carried out by the GACA SS&AT Inspector workforce. This system is known as the GACA Activity Reporting system (GAR).

NOTE: At the present time the GAR system is not yet implemented so all references to the GAR must be disregarded until further notice.

1) The GACA Activity Report (GAR) will be beneficial in locating specialized resources. When fully implemented, the GAR reporting system will enable GACA personnel to identify Inspectors with specific experience or knowledge. The information recorded on the

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GAR forms will be available to GACA management.

2) All Inspectors, managers, and supervisors are responsible for maintaining records currency. After completing an initial questionnaire and making the appropriate GAR entry, all Inspectors, including managers and supervisors, will be responsible for keeping their personal record current by entering any changes to the original information (such as additional type rating, training, team participation) in the record as necessary. The Inspector should record the GAR entry so that future record updates can be made.

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Section 2. Inspector Ethics and Conduct

1.3.2.1. PURPOSE. This section contains direction and guidance for aviation safety inspectors (Inspectors) pertaining to principles of ethics and conduct as they affect the performance of duties. Although some basic outlines are listed, this section could not possibly cover all circumstances an Inspector may encounter. As Inspectors are always in the public eye, the General Authority of Civil Aviation (GACA) expects them to exercise good judgement and professional behavior at all times while on and off duty.

A. Unique Responsibilities of Inspectors. Inspectors are exposed to a number of circumstances that are critical to their positions and that are not pertinent to other GACA job functions. The Inspector has the critical position of frequently interpreting and evaluating the quality of training programs, manuals, airman performance, and overall safety activities. It is imperative that all Inspectors be sensitive to the responsibilities and demands of their positions and be objective and impartial while performing their duties. Inspectors must also be sensitive to actual as well as perceived appearances of any conflict that could disrupt the effectiveness or credibility of the GACA Safety, Security and Air Transport (SS&AT) mission.

B. Government of the Kingdom Saudi Arabia Requirements. In addition to the specific requirements set out in this section, Inspectors are required to comply fully with the standards of conduct set forth by the Government for all employees of the public service.

1.3.2.3. GENERAL.

A. Standards of Professionalism for GACA SS&AT. The definition and standards below apply to all GACA SS&AT employees. The policy establishes fair and exacting standards of ethics and conduct for all GACA SS&AT employees who are involved in regulating airmen, air operators, air agencies, aerodromes, air navigation service providers and all other regulated persons.

B. Professionalism Definition. The GACA's policy on employee conduct is designed to encourage employees to maintain a level of professionalism that will promote the efficiency of the GACA and conform to accepted principles of conduct. Professionalism is a set of behavioral

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traits that enhances mission effectiveness both internally and externally by:

- Fostering collaboration with others
- Focusing on service
- Making a positive impact on organizational success

C. Standards of Professionalism. To ensure that every citizen can have complete confidence in the integrity of the Government, each GACA employee shall respect and adhere to the fundamental principles of ethical service as implemented in several government regulations.

1) *Collaboration.* When interacting with others, the employee:

- Seeks support from and objectively listens to the suggestions and comments of others
- Demonstrates attention to and understands the concerns of others
- Identifies and resolves professional differences of opinion
- Communicates in an understandable and timely manner
- Offers assistance and shares information that will be useful in producing acceptable and complete solutions
- Remains calm and diplomatic in tense situations in which there may be a significant disagreement among parties
- Discusses problems openly and manages conflicts constructively so that work is not adversely impacted
- Inspector must understand the requirements at the outset of assignments
- Asks questions to assure a mutual understanding of expectations
- Informs individuals and regulated entities about guidance material and GACA directives

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- Ensures that requirements are incorporated into final work products and designs
- Explains recommendations and decisions in a manner appropriate for the audience
- Listens to, accepts, and acts on feedback if appropriate
- Works with the public and industry to achieve and maintain regulatory compliance and improve safety
- When required to take regulatory action, explains the rationale and actions needed for resolution
- Avoids action or inaction that contributes to public perception of unfair or disparate treatment

2) Wilful non-observance of the governing regulations, such as the requirements described below, constitutes grounds for disciplinary actions:

- Public service is a public trust, requiring employees to place loyalty to the laws, and ethical principles above private gain. Uphold with integrity the public trust involved in the position to which assigned.
- Employees shall not hold financial interests that conflict with the conscientious performance of duty
- Employees shall not engage in financial transactions using non-public Government information or allow the improper use of such information to further any private interest
- Each employee shall not solicit or accept any gift or other item of monetary value from any person or entity seeking official action from doing business with, or conducting activities regulated by the GACA, or whose interests may be substantially affected by the performance or non-performance of the employee's duties.
- Employees shall not disclose or discuss any confidential information or "official use only" information unless specifically authorized to do so or except as required on a "need-to-know" basis in the proper discharge of official duties. Confidential information shall not be disclosed to anyone who does not have the appropriate management clearance. In addition, employees shall not:

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- o Disclose any official information obtained through or in connection with their Government employment to any unauthorized person
 - o Release any official information in advance of the time prescribed for its authorized issuance
 - o Use, or permit others to use, any official information for private purposes, which is not available to the general public
 - o Remove official documents or records from the files or place of work for personal reasons. The wilful and unlawful falsification, concealment, mutilation, or unauthorized removal of official documents or records is prohibited by law.
- As an employer, the GACA is concerned with the private decision of any employee to use illicit psychoactive substances in a way that could affect the employee's work performance. As an employer with responsibility for aviation safety, the President is especially concerned when this private decision can affect the safety of the flying public. Use, possession, purchase, or being under the influence of psychoactive substances on duty by employees whose duties could affect the safety of people or property is considered a criminal activity and will result in disciplinary action and termination from the GACA.
 - All employees shall disclose waste, fraud, abuse, and corruption to upper management. They shall also report known or suspected violations of law, regulations, or policy to upper management through appropriate channels
 - Employees must obtain approval of all absences from duty (including leave without pay). An absence, which is not approved, will be charged as absence without leave
 - Employees shall make no unauthorized commitments or promises of any kind intending to bind the Government
 - Employees shall not use public office for private gain
 - The President expects employees to conduct themselves off duty in a manner that will not adversely reflect on the GACA's ability to discharge its mission. Employees must conduct themselves while off duty in a manner that will not cause the public to

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question their reliability and trustworthiness in carrying out their responsibilities as employees of the GACA. Off duty criminal activity is regarded as misconduct and can result in disciplinary action.

- Employees shall protect and conserve Government property and shall not use it for other than authorized activities
- Employees shall act impartially and not give preferential treatment to any private organization or individual
- It is imperative that all employees be sensitive to the responsibilities and demands of their positions and be objective while performing their duties
- Employees shall not engage in outside employment or activities, including seeking or negotiating for employment, that conflict with official Government duties and responsibilities
- Employees shall put forth honest effort in the performance of their duties
- Employees must guard against allowing personal emotions or conflicts with industry personnel to influence their behavior or actions in providing assistance to operators, or in filing enforcement actions
- Do not make irresponsible, false, or defamatory statements that attack, without foundation, the integrity of other individuals or organizations (Employees are accountable for the statements they make and the views they express)

1.3.2.5. OFF THE JOB ETHICS AND CONDUCT.

A. Off Duty Behavior. The President expects Inspectors to conduct themselves off duty in a manner that will not adversely reflect on the Authority's ability to discharge its mission. Inspectors must conduct themselves while off duty in a manner that will not cause the public to question their reliability and trustworthiness in carrying out their responsibilities as employees of the GACA. Off duty criminal activity is regarded as misconduct and can result in disciplinary action.

B. Meeting Financial Obligations. All employees are expected to meet their private financial obligations in a proper and timely manner. Failure without sufficient excuse or reason to honor

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valid debts, including claims based on court judgements, or to make and adhere to reasonable arrangements for settlement, will constitute grounds for disciplinary action.

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Section 3. Access to Aerodromes and Other Areas

1.3.3.1. BACKGROUND. Aviation safety inspectors (Inspectors) are issued security passes and official credentials allowing them access to areas used for the operation of aircraft. The security passes issued to Inspector's allow for access to the secured areas of aerodromes. The official credentials that are issued to qualified Inspectors entitle an Inspector to uninterrupted access to any Saudi Arabian registered aircraft pilot compartment.

1.3.3.3. ACCESS TO PRIVATE AERODROMES AND OTHER AREAS. Inspectors must advise the owner or agent of a private facility of their desire to enter the premises and the purpose of the visit. An Inspector has no authority to enter private property without the owner's permission. As a courtesy, the owner or agent should be invited to accompany the Inspector, as this gesture may encourage further cooperation. If the owner or agent is unable to accompany the Inspector, the Inspector should request permission for access to the area for the stated purposes.

1.3.3.5. ACCESS TO PUBLIC AERODROMES. The Inspector should give aerodrome management/security sufficient notice of the visit. If the occasion warrants, aerodrome management may be invited to accompany the Inspector. However, GACA Inspector's credentials authorize access to restricted areas without escort while conducting official GACA inspections.

1.3.3.7. DENIAL OF ACCESS. Inspectors must consider that entry onto the property of another without authority or permission may be construed as trespassing, regardless of intent. It is rare that an Inspector is denied access for the purpose of conducting official duties; however, such a case should be referred to the appropriate supervisory authority.

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Section 4. Inspector Training Requirements to Perform Job Functions

1.3.4.1. GENERAL. This section provides the system level perspective on ensuring aviation safety inspectors (Inspectors) have the required training prior to performing job tasks, as necessary.

A. The GACA assigns each newly hired Inspector a position specialty which determines their primary job. This job forms the basis from which each new hire will be assigned tasks and associated training functions to complete for the GACA. The primary position specialty for which inspectors are hired are described in the GACA SS&AT Training Manual. This manual also provides the basic guidelines for the required training that each Inspector must receive.

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CHAPTER 4. THE GENERIC APPROVAL OR ACCEPTANCE PROCESS FOR SPECIFIC OPERATIONS, PROGRAMS AND DOCUMENTS

Section 1. General Information and the Approval or Acceptance Process

1.4.1.1. GENERAL.

A. Generic Process. The general process of approval or acceptance of certain operations, programs, documents, procedures, methods, or systems is an orderly method used by General Authority of Civil Aviation (GACA) aviation safety inspectors (Inspectors) to ensure that such items meet regulatory standards and provide for safe operating practices. It is a modular, generic process that can be applied to many types of approval or acceptance tasks. The process consists of five distinct yet related phases and can result in approving or not approving, accepting or not accepting an applicant's proposal. It is important for an Inspector to understand that the process described in this section is not all inclusive, but rather a tool to be used with good judgment in conducting day to day duties and responsibilities. See Figure 1.4.1.1, Approval/Acceptance Process Flow Diagram.

B. Understanding the Process. The following guidance provides assistance in understanding and applying this process. It is essential to understand that this process may result in a decision to not approve or not accept an applicant's proposal. The process described is used to assist in making either positive or negative determinations.

C. Supplemental Procedures. This general process applies to many tasks described throughout the handbook. Each section describing an approval or acceptance task supplements the general process by outlining specific requirements for each phase.

1.4.1.3. PHASE ONE. The first phase starts when a person inquires about or states a need for a change in some aspect of an aviation activity. Phase One is initiated by the following two possible actions:

A. Applicant Initiation. A person (applicant) conveys to the GACA a need that is related to its operation. This "need" may be a requirement for GACA approval or acceptance. For example, an applicant may need, want, or be required to have a minimum equipment list (MEL) change. The applicant initiates the process by inquiring about the correct procedures to receive approval from the GACA for the change. During initial inquiries, it is important for the GACA and the

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applicant to become familiar with the subject matter. If, for example, an applicant requests an operational approval, the Inspector must take the following actions:

- Become thoroughly familiar with existing GACA policy and approval requirements
- Become familiar with the appropriate technical material
- Accurately assess the character and scope of the proposal
- Determine if a demonstration is required
- Determine the need for any coordination requirements
- Ensure that the applicant has a clear understanding of the minimum requirements that constitute an acceptable submission
- Determine the date the applicant intends to implement the proposal

B. GACA Initiation. Phase One may also begin when the GACA conveys to the applicant or person a requirement related to its operation, which must be approved or accepted. For example, a Principal Operations Inspector (POI) may require an applicant to publish, in the approved company aircraft operating manual, information on low speed buffet. The applicant must research and understand that subject area before submitting a proposal to the GACA for evaluation. The Inspector should act in an advisory capacity to the applicant during the preparation of the submission. Such advice may include the following:

- The necessity for an authorization, waiver, or exemption
- The necessity for required demonstrations
- Clarification of the General Authority of Civil Aviation Regulations (GACAR) or handbook information
- Sources of specific technical information
- Acceptable standards for submission

C. Applicant Responsibility. The common element, regardless of whether an action is initiated

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by an applicant or the GACA, is the effort expended by the applicant.

NOTE: It is essential (particularly in Phase One) for the applicant to have a clear understanding that, although the Inspector may provide advice and guidance to the applicant, the development of the final product submitted to the GACA is solely the responsibility of the applicant.

D. GACA/Applicant Communication. In Phase One, the Inspector must ensure that the applicant clearly understands the form, content, and documents required for the submission to be acceptable to the GACA. The applicant must be informed of the need and benefits of submitting required documents as early as possible and of its responsibility to advise the GACA, in a timely manner, of any significant changes in the proposal. Phase One of the process is illustrated as follows:

- Applicant makes inquiry or request to GACA
- GACA requires applicant to take an action
- Inspectors and applicant develop understanding of subject area
- Applicant understands form, content, and documents required for acceptable submission

1.4.1.5. PHASE TWO. Phase Two begins when the applicant formally submits a proposal for GACA evaluation. The request may be submitted in a variety of ways. The Inspector's first action, in Phase Two, is to review the applicant's submission to ensure that the proposal is clearly defined, and the documentation specified in Phase One has been provided. The required information must be complete and detailed enough to permit a thorough evaluation of the applicant's capability and competence to fully satisfy the applicable regulations, policy, and safe operating practices. Phase Two does not include a detailed operational and technical evaluation or analysis of the submitted information (see Phase Three). However, in Phase Two the submission must be examined in sufficient detail to assess the completeness of the required information. If the applicant's submission is not complete or the quality is obviously unacceptable, it must be returned immediately with an explanation of the deficiencies, before any further review and evaluation is conducted. Normally, unacceptable submissions should be returned with a written explanation of the reasons for its return. In complex cases, a meeting with the applicant and its key personnel may be necessary to resolve issues and agree on a mutually acceptable solution. If mutual agreements cannot be reached, the Inspector must terminate the

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meeting, inform the applicant that the submission is unacceptable, and return the submission. If all parties are able to reach agreement on measures to correct omissions or deficiencies, and the applicable principal Inspectors determine that the submission is acceptable, the applicant will be so informed, and Phase Three begins. Phase Two of the process is illustrated as follows:

- Applicant submits proposal
- Inspector makes initial examination of the documents for completeness with respect to requirements established in Phase One
- Inspector returns submitted proposal
- Inspector accepts submitted proposal

NOTE: It is important for the Inspector involved to keep the applicant advised of the status of its proposal. If the Inspector takes no other action, or if the submission is deficient and not returned in a timely manner, the applicant may assume that the GACA has tacitly accepted the submission and is continuing with the process. Timeliness of action depends on the situation as well as Inspector judgment and is discussed in pertinent sections of this handbook.

1.4.1.7. PHASE THREE.

A. Detailed Analysis. Phase Three is the GACA's detailed analysis, review, and evaluation of the applicant's proposal. These actions may take place entirely within the GACA office, at the site of operations, or at both facilities. In Phase Three the GACA evaluation is focused on the form, content, and technical quality of the submitted proposal to determine that the information in the proposal meets the following criteria:

- Is not contrary to any applicable GACAR
- Is not contrary to the direction provided in this handbook or other safety related documents
- Provides for safe operating practices

B. Evaluation Criteria. Criteria for evaluating the formal submission are found in the applicable chapters of this handbook. The Inspector must ensure that the documents adequately establish

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the applicant's capability and competence to safely conduct operations in accordance with the submitted proposal.

NOTE: Specific guidance for air operator and air agency certification is found in Volume 3, Air Operator & Air Agency - Certification. Inspectors responsible for the oversight of the air operators/air agencies will use guidance in this handbook for program review and approval.

C. Addressing Deficiencies. During Phase Three the Inspector must, in a timely manner, address any deficiencies in the submitted material before proceeding to subsequent phases. Discussion with the applicant may be sufficient to resolve certain discrepancies or questions or to obtain additional information. It may be necessary to return certain sections of the submission to the applicant for specific changes. However, when an Inspector determines that, for specific reasons, the material is grossly deficient or unacceptable; the Inspector must return the entire submission to the applicant with an appropriate explanation and immediately terminate this phase. If the results of the evaluation are acceptable and a demonstration requirement exists, the Inspector may need to grant some form of conditional, initial, or provisional approval to the proposal before continuing with the process.

D. Pre-Phase Four Planning. An important aspect of Phase Three is for Inspectors to begin planning the conduct of phase four while evaluating the applicant's formal submission, Inspectors should begin to formulate plans to observe and evaluate the applicant's ability to perform. These plans must be finalized before the actual demonstrations. Phase Three is illustrated as follows:

- Inspectors evaluate the formal submission for compliance with GACAR, compliance with the direction provided in this handbook, other safety related documents and safe operating practices
- When results of the Inspector's evaluation are unsatisfactory, return submission to the applicant for correction and/or terminate the phase
- Begin planning Phase Four
- When results of Inspector's evaluation are satisfactory, proceed with Phase Four (if demonstration required) and if appropriate, grant conditional approval or acceptance, or

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- Proceed to Phase Five if demonstration not required

1.4.1.9. PHASE FOUR.

A. Applicant's Demonstration. In Phase Four the GACA finalizes plans to observe and evaluate the applicant's demonstration of its ability to perform in accordance with the procedures, guidelines, and parameters described in the formal proposal. Phase Four is an operational evaluation of the applicant's ability to function in accordance with the proposal evaluated in Phase Three. Usually, these demonstrations are required by regulation, and some examples include the following:

- Training programs
- Proving tests
- Emergency evacuation demonstration
- All weather terminal operations
- Air navigation operations

B. Evaluation of Demonstration. Criteria and procedures for evaluating an applicant's demonstrated ability are described in applicable chapters of this handbook. The Inspector must plan for the conduct and observation of the demonstration to include such factors as participants, evaluation criteria, and sequence of events. During these demonstrations it is normal for minor discrepancies to occur. Discrepancies can often be resolved during the demonstration by obtaining commitments from responsible company officials. The Inspector responsible for overseeing a demonstration must evaluate each discrepancy in terms of its overall impact on the applicant's ability and competence to conduct the proposed operation. The Inspector must stop the demonstration in Phase Four when gross deficiencies or unacceptable levels of performance are observed. The Inspector must identify the phase of the general process for approval or acceptance to which the applicant must return, or decide to terminate the process entirely when it is clear that continuation would not result in approval or acceptance. If the demonstration is unacceptable because crew members were unable to perform their assigned duties, it may be appropriate to advise the applicant that the process is terminated pending review and evaluation of the applicant's emergency training program, and that the applicant may need to reenter the process at Phase Two (that is, submit a new proposal).

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C. Acceptable Demonstration. If the GACA evaluation of the applicant's demonstrated ability is acceptable, the process continues. Phase Four of the process is illustrated as follows:

- Inspector plans for the conduct and observation of the demonstration
- Applicant demonstrates ability
- Demonstration unsatisfactory; or
- Demonstration satisfactory

NOTE: An applicant shall not be authorized to conduct any particular operation until all applicable regulatory requirements are met and the applicant is clearly capable of conducting a safe operation in compliance with the GACAR and safe operating practices.

1.4.1.11. PHASE FIVE.

A. Approval or Acceptance. In Phase Five the GACA approves or accepts the applicant's proposal. If the proposal is not approved or accepted, the applicant is notified in Phase Three or Phase Four.

B. Indicating Approval. Approval is granted by letter, by a stamp of approval, by the issuance of operations specifications (OpSpecs), or by some other official means of conveying approval. Each section of this handbook that discusses a requirement for approval provides specific guidance concerning approval procedures and documentation. The following are examples of approvals granted by the GACA (i.e. the President):

- All weather terminal operations
- Training programs
- MEL
- Cockpit checklist
- Company Aircraft Operating Manual (limitations, performance, and operating procedures)

C. Acceptances. Other proposals, submissions, or requests not requiring specific GACA

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approval but required to be submitted to the GACA are items that are presented for acceptance. Acceptance of an applicant's proposal may be accomplished by various means, including a letter, verbal acceptance, or by taking no action, which indicates there is no GACA objection to the proposal. Methods and procedures used to accept applicant proposals or submissions, when appropriate, are discussed in the applicable chapters of this handbook. Phase Five is illustrated as follows:

- GACA approves submission; or
- GACA accepts submission

NOTE: Sometimes GACA approval or acceptance of an applicant's proposal may be conditional in nature. For example, a training program may be initially approved provided that the flight simulation training device to be used in that program receives the applicable approval.

1.4.1.13. SUMMARY OF PROCESS. The general approval or acceptance process, as described, is referenced (in terms of the five phases) with the specific task requirements for each applicable job function. It is important for the Inspector to understand the modular concepts inherent in the process, the overall interrelationship of the phases, and that this general process is not all inclusive, but a tool to be used in the Inspector's day to day duties and responsibilities.

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Figure 1.4.1.1. Approval/Acceptance Process Flow Diagram

