



**INVITATION TO
TENDER (ITT) NO. KCAA/002/2024-2025
(VOLUME 2 OF 2 OF THE TENDER DOCUMENT)**

**Technical
Specifications
For
Supply, Delivery, Installation, Training and
Commissioning of an Integrated ASSR
Oversight Management System**

DATE OF NOTICE: TUESDAY, 3rd SEPTEMBER, 2024

**Note: A mandatory pre-bid meeting will be held virtually on Thursday, 12/09/2024
at 1000 Hours**

**CLOSING DATE: THURSDAY, 26th SEPTEMBER, 2024 AT 1100 HOURS EAST
AFRICAN TIME.**

**Kenya Civil Aviation Authority
P.O. Box 30163 - 00100, Nairobi Kenya.
Tel: (+254-20) 827470 - 5 ·
E-mail: procurement@kcaa.or.ke · Website: www.kcaa.or.ke**

TABLE OF CONTENTS

TABLE OF Contents.....	1
1 introduction.....	12
1.1 About KCAA.....	12
1.2 PRESENT LEVELS OF AUTOMATION	12
1.3 Need for Automation	13
2 CROSS-CUTTING PROCESSES	14
2.1 FIVE-PHASE CERTIFICATION AND APPROVAL PROCESS – GEN01	14
2.1.1 Overview.....	14
2.1.2 PHASE I – PRE-APPLICATION PHASE.....	14
2.1.3 PHASE II – FORMAL APPLICATION PHASE	16
2.1.4 PHASE III – DOCUMENT EVALUATION PHASE.....	17
2.1.5 PHASE IV- DEMONSTRATION AND INSPECTION PHASE.....	18
2.1.6 PHASE V - CERTIFICATION.....	19
2.2 PROCESSES UTILIZING 5 PHASE CERTIFICATION AND APPROVAL PROCESS.....	20
2.2.1 Certification and Approval of Training Organizations (ATO’s) Certificate – PEL47 ...	20
2.2.2 Renewal of Certification of Approved Training Organizations (ATO’s) – PEL48.....	23
2.2.3 Variation and Approval of Training Organizations (ATO’s) Certificate – PEL49.....	25
2.2.4 Issuance of Designated Examiners’ AUTHORIZATION – PEL50	27
2.2.5 Certification and Approval of Regulated Agents	30
2.2.6 Re-Certification of Regulated Agents.....	32
2.2.7 Certification of In-Flight Catering Operators	34
2.2.8 Re-Certification of In-Flight Catering Operators.....	36
2.2.9 Certification of Aviation Security Training Centres	38
2.2.10 Re-Certification of Aviation Security Training Centres.....	40
2.2.11 Certification of Aviation Security Service Providers	42
2.2.12 Re-Certification of Aviation Security Service Providers.....	45
2.2.13 Certification of Ground Handlers.....	47
2.2.14 Re-Certification of Ground Handlers	49
2.2.15 Issuance of Local Approved Maintenance Organizations (AMO) Certificates and SOPs - AIR19 51	
2.2.16 Variation of Local Approved Maintenance Organizations (AMOs) Certificates and SOPs – AIR20 54	
2.2.17 Issuance of Aircraft spares Stockist Approvals – AIR21	57
2.2.18 Issuance of Quality Assurance Service provider – AIR22	60
2.2.19 Issuance of Aerodrome Certificate	63
2.2.20 Renewal of Aerodrome Certificate	65
2.2.21 Amendment of Aerodrome Certificate.....	67
2.2.22 Cancellation of Aerodrome Certificate.....	69
2.2.23 ISSUANCE OF Aerodrome LicenCE.....	71

2.2.24	Renewal of Aerodrome LicenCE	73
2.2.25	Amendment of Aerodrome LicenCE	74
2.2.26	CANCELLATION of Licensing of Aerodromes.....	76
2.2.27	Registration of Aerodromes.....	78
2.2.28	Renewal of Aerodrome Registration	80
2.2.29	Amendment of Aerodrome Registration approval.....	81
2.2.30	CANCELLATION of Aerodrome Registration Approval.....	83
2.2.31	Issuance of Aerodrome Construction Permits.....	85
2.2.32	Applications for height approval of aerial structures, masts, wind turbines, power lines and buildings or structures in the vicinity of Aerodromes.....	86
2.2.33	Certification of ANSPs.....	88
2.2.34	Renewal of ANSP Certificate	91
2.2.35	Amendment of ANSP Certificate.....	93
2.2.36	Cancellation of ANSP Certificate.....	95
2.2.37	Certification of AIM Personnel	97
2.2.38	Certification of Meteorological Services for Air Navigation (MET)	99
2.2.39	Renewal of Meteorological Services for Air Navigation (MET) Certificate.....	101
2.2.40	Amendment of Meteorological Services for Air Navigation (MET) Certificate.....	102
2.2.41	Cancellation of Meteorological Services for Air Navigation (MET) Certificate.....	104
2.2.42	Certification of Atsep personnel.....	105
2.2.43	Issuance of an Air Operator Certificate.....	107
2.2.44	Specific Approval - Extended Diversion Time Operations (EDTO)	111
2.2.45	Specific Approval - Reduced Vertical Separation Minima or Minimum (RVSM)	114
2.2.46	Specific Approval - All Weather Operations	116
2.2.47	Specific Approval - Performance Based Navigation (PBN)	118
2.2.48	Specific Approval - North Atlantic HIGH-LEVEL Airspace (NAT-HLA).....	121
2.2.49	Specific Approval - Electronic Flight Bag (EFB).....	123
2.2.50	Specific Approval - Approval of Single Engine Turbine Powered Operations at Night or in IMC	126
2.2.51	Specific Approval - Night Vision Goggles (NVG).....	129
2.2.52	Specific Approval - Offshore Operations.....	131
2.2.53	Specific Approval - External Load Operations.....	133
2.2.54	Specific Approval - Dangerous Goods.....	135
2.2.55	Foreign Operator Certification (FOC) inspections*.....	138
2.2.56	AMENDMENT TO THE AOC AND OPERATIONS SPECIFICATION (FLEET ADDITION/INCLUSION OF AN AIRCRAFT TO AN AIR OPERATOR CERTIFICATE).....	140
2.2.57	Special authorizations– AIR AMBULANCE OPERATIONS.....	143
2.2.58	LEASE APPROVAL	146
2.3	MANAGEMENT OF SURVEILLANCE OBLIGATIONS.....	148
2.3.1	Surveillance Programme – GEN02	148

2.3.2	Surveillance PLANNING – GEN03	149
2.3.3	Execution of Surveillance Activity – GEN04	150
2.4	RESOLUTION OF SAFETY ISSUES & SECURITY CONCERNS.....	152
2.4.1	Overview.....	152
2.4.2	Corrective Action Procedure – GEN05	152
2.4.3	Enforcement Procedure – GEN06.....	155
2.4.4	Enforcement DECISION REVIEW Procedure – GEN07	156
2.5	EVALUATION OF TECHNICAL DOCUMENT(S), MANUAL(S) AND REPORTS – GEN08 157	
2.5.1	OVERVIEW	157
2.5.2	Process Narration.....	157
2.5.3	Inputs.....	158
2.5.4	Outputs	158
2.6	REQUEST OF NO OBJECTION/AUTHORIZATION/GENERAL REQUESTS – GEN09.....	158
2.6.1	Overview.....	158
2.6.2	Process Narration.....	159
2.6.3	Inputs.....	159
2.6.4	Outputs	159
2.7	CIVIL AVIATION INSPECTOR TRAINING & QUALIFICATION	159
2.7.1	PERSONNEL COMPETENCY FRAMEWORK – GEN10.....	159
2.7.2	Training Programme.....	160
2.7.3	Training Plan.....	161
2.7.4	DELEGATION OF FUNCTIONS & Credential Management.....	161
2.8	MANAGEMENT OF TEAMS/REQUESTS FOR STAFF RESOURCES – GEN13	162
3	Airworthiness.....	165
3.1	ISSUANCE/RENEWAL/CHANGE/EXTENSION OF CERTIFICATES OF AIRWORTHINESS (COFA) – AIR01	165
3.1.1	Process Narration.....	165
3.2	PROCESSES FOLLOWING ISSUANCE/RENEWAL/ CHANGE/ EXTENSION OF CERTIFICATES OF AIRWORTHINESS (c of a) – GEN14.....	167
3.2.1	Issuance of C of A - AIR02.....	167
3.3	Renewal of C of A - AIR03.....	168
3.4	Change of category status of CofA - AIR04.....	169
3.5	Extension of C of A - AIR05.....	170
3.6	AIRCRAFT REGISTRATION - AIR06.....	171
3.6.1	Process Narration.....	171
3.7	AIRCRAFT DE-REGISTRATION/ RE-REGISTRATION/ CHANGE OF AIRCRAFT REGISTRATION MARKS - AIR07.....	174
3.7.1	Process Narration.....	175
3.8	PROCESSES FOLLOWING AIRCRAFT DE-REGISTRATION/RE-REGISTRATION/ CHANGE OF AIRCRAFT REGISTRATION MARKS – GEN15	176

3.8.1	Aircraft De-registration - AIR08	176
3.8.2	Change of Registration Marks - AIR09	176
3.8.3	Change of ownership (Re-Registration) - AIR10.....	176
3.9	RESERVATION OF SPECIAL REGISTRATION MARKS - AIR11	178
3.9.1	Process Narration.....	178
3.9.2	Documents and Forms	178
3.9.3	Checklists.....	178
3.9.4	Output.....	178
3.10	ISSUANCE OF FOREIGN APPROVED MAINTENANCE ORGANISATION (AMOS) CERTIFICATES - AIR12	179
3.10.1	Process Narration.....	179
3.10.2	Input	180
3.10.3	Output.....	180
3.11	RENEWAL OF APPROVED MAINTENANCE ORGANIZATIONS (AMOS) CERTIFICATES AND SOPs - AIR13.....	181
3.11.1	Process Narration.....	181
3.12	ACCEPTANCE OF TYPE CERTIFICATE - AIR14.....	182
3.12.1	Process Narration.....	183
3.13	AIRCRAFT NOISE AND ENGINE EMISSION CERTIFICATION - AIR15	185
3.13.1	Process Narration.....	185
3.14	MAJOR MODIFICATION/MAJOR REPAIR ACCEPTANCE - AIR16	187
3.14.1	Process Narration.....	187
3.15	DUTY EXEMPTION - AIR17	189
3.15.1	Process Narration.....	189
4	PERSONNEL LICENSING	190
4.1	Licence issuance and renewal – GEN16.....	190
4.1.1	Overview.....	190
4.1.2	Process Narration.....	190
4.1.3	Related Unique Processes.....	191
4.2	Conversion of licences and Qualifications – GEN17.....	213
4.2.1	Overview.....	213
4.2.2	Process Narration.....	213
4.2.3	Related Unique Processes.....	214
4.3	ENDORSEMENTS / Ratings – GEN18.....	226
4.3.1	Overview.....	226
4.3.2	Process Narration.....	226
4.3.3	Related Unique Processes.....	227
4.3.4	MEDICAL CERTIFICATION – PEL37	233
4.3.5	Overview.....	233
4.3.6	Process Narration.....	233

4.3.7	DESIGNATION OF MEDICAL EXAMINERS – PEL38.....	234
4.3.8	Overview.....	234
4.3.9	Process Narration.....	235
4.3.10	Input	236
4.3.11	Output.....	236
4.3.12	BOOKING OF KNOWLEDGE, SKILL, AND ORAL EXAMINATIONS – PEL39.....	236
4.3.13	Overview.....	236
4.3.14	Process Narration.....	237
4.3.15	Input	237
	Application Forms/ Documents for booking Knowledge Examinations	237
	Application Forms/ Documents for booking Skill Examinations.....	237
	Application Forms/ Documents for booking Oral Examinations.....	237
	Checklists	237
4.3.16	Output.....	237
4.3.17	SKILL TEST MANAGEMENT – PEL40	238
4.3.18	Overview.....	238
4.3.19	Process Narration.....	238
4.3.20	ORAL EXAMINATION MANAGEMENT – GEN19	239
4.3.21	Overview.....	239
4.3.22	Process Narration.....	240
4.3.23	Related Unique Processes.....	240
4.3.24	ISSUANCE, conversion, Validation, Extension and Renewal of Aircraft maintenance engineers' licence (AMEL) – GEN20	241
5	AVIATION SECURITY	245
5.1	SECURITY SYSTEM TESTS - AVS01	245
5.1.1	Overview.....	245
5.1.2	Process Narration.....	245
5.1.3	Pre-conditions / Dependencies.....	246
5.1.4	Inputs.....	246
5.1.5	Application Forms.....	246
5.1.6	Checklists.....	246
5.1.7	Outputs	246
5.2	CERTIFICATION OF AVSEC PERSONNEL – GEN21	246
5.2.1	Overview.....	246
5.2.2	Process Narration.....	247
5.2.3	Pre-conditions / Dependencies.....	247
5.2.4	System Integrations.....	248
5.2.5	Related Sub-Processes	248
5.3	VALIDATION OF FOREIGN STATIONS- AVS08.....	249
5.3.1	Overview.....	249

5.3.2	Process Narration.....	250
5.3.3	Pre-conditions / Dependencies.....	251
5.3.4	Inputs.....	251
5.3.5	Outputs	251
6	AIR TRANSPORT	251
6.1	SCHEDULED AIRLINE FLIGHT TIMETABLE APPROVAL – ATD10	251
6.1.1	Overview.....	251
6.1.2	Process Narration.....	252
6.1.3	Input	252
6.1.4	Output.....	252
6.2	FINANCIAL DATA COLLECTION & ANALYSIS – ATD12.....	252
6.2.1	Overview.....	252
6.2.2	Process Narration.....	252
6.2.3	Input	253
6.2.4	Output.....	253
6.3	AIRLINE STATISTICS data collection & analysis – ATD12.....	253
6.3.1	Overview.....	253
6.3.2	Process Narration.....	253
6.3.3	Input	254
6.3.4	Output.....	254
7	STATE SAFETY PROGRAMME (SSP)	254
7.1	ESTABLISHMENT AND MONITORING OF STATE SAFETY PERFORMANCE MEASUREMENT - SSP01	254
7.1.1	Overview.....	254
7.1.2	Process Narration.....	254
7.1.3	Input	255
7.1.4	Output.....	255
7.2	SAFETY RISK MANAGEMENT - SSP02.....	256
7.2.1	Overview.....	256
7.2.2	Process Narration.....	256
7.2.3	Input	263
7.2.4	Output.....	263
8	NATIONAL CONTINUOUS MONITORING COORDINATION (NCMC)	263
8.1	STATE LETTER MANAGEMENT - NCM01	263
8.1.1	Overview.....	263
8.1.2	Process Narration.....	263
8.1.3	Input	264
8.1.4	Output.....	264
8.2	Development and Maintenance of Civil Aviation Act - NCM02	264
8.2.1	Process Narration.....	264

8.2.2	Input	265
8.2.3	Output	265
8.3	Development and Maintenance of Civil Aviation Regulations - NCM03.....	265
8.3.1	Process Narration.....	265
8.3.2	Input	266
8.3.3	Output	266
8.4	Development and Maintenance of TGMs - NCM04.....	266
8.4.1	Process Narration.....	266
8.4.2	Input	267
8.4.3	Output	267
9	TECHNICAL LIBRARY	267
9.1	Maintenance of Oversight Documents and Records.....	267
9.1.1	Overview.....	267
9.1.2	Process Narration - LIB01	268
9.1.3	Input	268
9.1.4	Output	268
9.1.5	Process Narration - LIB02	269
10	FUNCTIONAL REQUIREMENTS.....	269
10.1	SYSTEM ARCHITECTURE – FUN01	269
10.1.1	Overall System Architecture.....	269
10.1.2	Process Narration.....	269
10.2	Application Architecture – FUN02.....	270
10.3	Functional Architecture – TEC03	270
10.4	Licensing Model – FUN04.....	271
10.5	MANAGEMENT OF CHECKLISTS – FUN05.....	271
10.6	SYSTEM REPORTS REQUIREMENTS	272
10.6.1	General Requirements for LISTING Reports – FUN06.....	272
10.6.2	General Requirements for VIEW/PAGE Reports – FUN07.....	272
10.6.3	Report Builder – FUN08.....	273
10.6.4	Report TEMPLATES – FUN09.....	273
10.7	USER MANAGEMENT	273
10.7.1	User Profiles and Roles Management – FUN10	273
10.7.2	Creation of Users – FUN12.....	275
10.7.3	External User Management for Organizations – FUN13	276
10.7.4	Deactivation/Removal of Users – FUN14.....	276
10.8	PAYMENT MANAGEMENT	277
10.8.1	KCAA ASSR Payments – FUN15.....	277
10.8.2	Integration with the ERP – FUN16.....	277
10.8.3	Account Management and pre-payment – FUN17	278
10.8.4	Generation of an Invoice – FUN20	279

10.8.5	Generate an Invoice-Proforma (Load pre-payment account) – FUN21	280
10.8.6	Making Payments – FUN22	280
10.8.7	Payment Confirmation – FUN23	280
10.8.8	Payment Reports – FUN24	282
10.9	SYSTEM SECURITY	283
10.9.1	General	283
10.9.2	Database Security – TEC01	283
10.9.3	Application Security – TEC02	283
10.9.4	VENDOR SYSTEM ANALYSIS / CRITICAL DESIGN – TEC03	284
10.10	TRAINING AND USER SENSITIZATIONS	286
10.10.1	Technical Training for ICT Technical Staff – TEC04	286
10.10.2	Operational Training for Core End Users and System Administrators – TEC05	287
10.10.3	Offsite End-User Training – TEC06	289
10.10.4	On the Job Training (OJT) – TEC07	290
10.10.5	Technical Certified Training – TEC08	290
10.11	CHANGE MANAGEMENT	292
10.11.1	User Sensitizations – TEC09	292
10.12	DOCUMENT MANAGEMENT	293
10.12.1	Expected DMS Features – TEC10	293
10.13	Digitization, Loading and Indexing of Historical Documents – TEC11	296
10.14	INTEGRATIONS WITH EXISTING SYSTEMS – GEN23	297
10.14.1	Overall Integrations Outline	297
10.14.2	Government of Kenya e-Citizen Portal – TEC15	297
10.14.3	L-PLUS Examination System – TEC16	298
10.14.4	ERP – TEC17	299
10.14.5	ARMS – TEC18	300
10.14.6	AATIS – TEC19	300
10.14.7	ROMS – TEC20	301
10.14.8	CRONOS – TEC22	301
10.14.9	Air Traffic Management System (ATMS) – TEC23	302
10.14.10	Office 365 – TEC24	302
10.14.11	Bulk SMS – TEC25	303
10.14.12	Arbutus Analyzer – TEC26	303
10.15	VENDOR PROJECT MANAGEMENT – TEC27	304
10.16	QUALITY ASSURANCE – GEN24	306
10.16.1	Quality Management Process – TEC28	306
10.16.2	Factory Acceptance Tests – TEC29	306
10.16.3	Integration Testing – TEC30	308
10.16.4	Requirements Testing – TEC48	308
10.16.5	Site Acceptance Tests -TEC31	308

10.16.6	User Acceptance Testing (UAT) – TEC32	308
10.16.7	Replications and Backup Testing – TEC33.....	309
10.17	MANAGEMENT OF CONFIGURATION DATA – GEN25.....	310
10.17.1	Management of KCAA Charges – TEC34.....	310
10.17.2	Configuration Management Plan.....	310
10.17.3	GO-LIVE AND COMMISSIONING – TEC35	310
11	INFRASTRUCTURE REQUIREMENTS.....	313
11.1	HOSTING, LOAD-BALANCING, BANDWIDTH MANAGEMENT AND PACEMAKERS – GEN26.....	313
11.1.1	System Hosting -TEC36	313
11.1.2	Bandwidth Management Requirements – TEC37.....	314
11.2	BUSINESS CONTINUITY.....	315
11.2.1	Backups and Recovery – TEC38	315
11.2.2	Disaster Recovery from the RDRS – TEC39.....	316
11.2.3	No-single Point of Failures – TEC40.....	317
11.2.4	Operational Autonomy – TEC41	317
11.2.5	Contingency Operations – TEC42	317
11.3	OVERALL SYSTEM END-USER DEVICES.....	319
11.3.1	Tablets/MOBILE DEVICES – TEC43	319
11.3.2	Digital Signature Pads – TEC44	320
12	SOFTWARE POST IMPLEMENTATION - WARRANTY, MAINTENANCE AND SUPPORT, POST MAINTENANCE AND SUPPORT	327
12.1	Warranty – TEC45	327
12.2	Maintenance and Support – TEC46.....	327
12.3	Post Maintenance Support – TEC47.....	330
13	DOCUMENT APPROVAL.....	Error! Bookmark not defined.

ACCRONYMS AND ABBREVIATIONS

Acronym	Full Name/Word	Acronym	Full Name/Word
AATIS	Advanced Air Transport Information System	CAA	Civil Aviation Authority
AGL	Above Ground Level	COA	Certificate of Airworthiness
AFCAC	African Civil Aviation Commission	COR	Certificate of Registration
AIM	Aeronautical Information Management	CPM	Certification Project Manager
AIP	Aeronautical Information Publication	CSR	Certificate Signing Request
AIS	Aeronautical Information Services	DANS	Director Air Navigation Services
AMEL	Aircraft Maintenance Engineer's License	DASSR	Director Aviation Safety, Security and Regulation
AMO	Aircraft Maintenance Organizations	DG	Director General
AMP	Aircraft Maintenance Programme	EASA	East African School of Aviation
ANS	Air Navigation Services	EFB	Electronic Flight Bag
ANSP	Air Navigation Service Provider	ERP	Enterprise Resource Planning
AOC	Air Operator Certificate	FOO	Flight Operations Officer
AOM	Aircraft Operating Manual	FSTD	Flight Simulator Training Device
ARMS	Aviation Revenue Management System	HOD	Head of Department
ASL	Air Service Licence	HR	Human Resource
ASSR	Aviation Safety Security and Regulation	IATA	International Air Transport Association
ASTC	Aviation Security Training Centre	ICAO	International Civil Aviation Organization
ATM	Air Traffic Management	ICT	Information Communication Technology
ATC	Air Traffic Control	IFR	Interim Findings Report
ATOS	Approved Training Organizations	ISO	International Standards Organization
ATSEP	Air Traffic Safety Electronics Personnel	JKIA	Jomo Kenyatta International Airport
AWOPs	All Weather Operations	KCAA	Kenya Civil Aviation Authority
ASTC	Aviation Security Training Centre	KRA	Kenya Revenue Authority
MAIM	Manager Aeronautical Information Management	RAAF	Regulated Agent Assessment Form
MANSOPs	Manual of Air Navigation Services Operations	RAC	Regulated Agent Certificate
MCM	Maintenance Control Manual	RASP	Regulated Agent Security Programme
MES	Manager Engineering Services	RPAS	Remotely Piloted Aircraft Systems

Acronym	Full Name/Word	Acronym	Full Name/Word
MFIN	Manager Finance	TGM	Technical Guidance Material
MICT	Manager Information Communication Technology	TL	Team Lead
MOD	Ministry Of Defence	TVETA	Technical and Vocational Education and Training Authority
NEMA	National Environment Management Authority	UN	United Nations
NITA	National Industrial Training Authority	VAT	Value Added Tax
OJT	On the Job Training		
OPH	Operating Handbook		
PANS	Procedures for Air Navigation Services		
PASI	Pre-Application Statement of Intent		
PATOPS	Prospective ATO Pre-assessment Statement		
PBN	Performance Based Navigation		
PRAPS	Prospective Regulated Agents Pre- Application Statement		
SAR	Search and Rescue		
SARPs	Standards and Recommended Practices		
SLA	Service Level Agreement		
SME's	Subject Matter Experts		
SMS	Safety Management System		
SPIs	Safety Performance Indicators		
SSP	State Safety Programme		
SOPs	Standard Operating Provisions		

I INTRODUCTION

ABOUT KCAA

Kenya Civil Aviation Authority (KCAA) was established on 24th October 2002 by the Civil Aviation (Amendment) Act, 2002 with the primary functions towards; Regulation and oversight of Aviation Safety & Security; Economic regulation of Air Services and development of Civil Aviation; Provision of Air Navigation Services, and Training of Aviation personnel KCAA; as guided by the provisions of the convention on international civil aviation, related ICAO Standards and Recommended Practices (SARPs), the Kenya Civil Aviation Act, 2013 and the civil aviation regulations. The Authority is required to carry out its functions in a manner consistent with the Chicago Convention on International Civil Aviation and any other international conventions and protocols relating to civil aviation, to which Kenya is a party.

In execution of its mandate, the Authority is responsible for providing regulatory safety and security oversight on all airline operators, aerodromes, aircraft maintenance organizations, aviation training organizations, air navigation services and the licensing of all personnel working in the aviation industry. In addition, the Authority is also responsible for development of air traffic management systems to facilitate the safe movement of aircraft in Kenya's airspace. As air traffic continues to grow, KCAA is expected to implement the necessary initiatives to keep air travel safe and secure. KCAA is also expected to promote the industry to achieve a vibrant industry that contributes to the achievement of the aspirations of Kenya's Vision 2030.

PRESENT LEVELS OF AUTOMATION

During the last ten years, the Authority has implemented several key ICT projects with the objective of enhancing delivery of services. The main projects implemented during the aforementioned period include:- L-Plus Examination System that is used to conduct technical examinations online; Advanced Air Transport Information System (AATIS) that is used to facilitate issuance of ad-hoc permits, aircraft leasing and air service licenses; digitation of Aeronautical Information Publication and installation of a safety reporting system (used for both voluntary and mandatory reporting), ASSR File Tracking System (For online submission and processing of ASSR Customer requests).

Successful Implementation of these ICT Systems has had a huge positive impact on the way the Authority provides services to the aviation industry. A review done to ascertain the implementation levels for the Authority's strategic plan for the period 2011/12-2016/17 noted that overall, the authority managed to make significant improvements in automation of its process. However, despite the achievements hitherto achieved, a substantial portion of the authority's processes, particularly those pertaining to the regulatory function are still being carried out on manual basis, hence the need for automation.

NEED FOR AUTOMATION

The fast growth of the industry, coupled with the fact that most of the processes are currently being carried out on a manual process, continues to pose an enormous challenge in terms of ensuring provision of effective safety and security oversight. Further, audits carried out by the International Civil Aviation Organization have identified shortcomings in tracking activities due to the size and fairly complex nature of the aviation industry in Kenya. Some of the challenges associated with the current manual approach to management of various functions include:

- (i) Lack of a consolidated/centralized database on the aviation industry,
- (ii) Requirements for space to store the numerous volumes of hard copy documentation,
- (iii) Ineffective recording of industry activities,
- (iv) Lack of an organized system for tracking oversight activity,
- (v) Slow work processes because of manual processing of work,
- (vi) Ineffective system for delivery of in-house developed training including briefing for inspectorate staff, and
- (vii) Increased staffing requirements, particularly oversight staff.

Hence with the challenges listed above and the projected industry growth, the Authority will be required to have in place a robust, efficient, and effective oversight system. Developed economies have acknowledged these challenges and subsequently implemented computerized systems to manage operations. Automation will ensure that the fore mentioned challenges are addressed, and capacity created to address emerging issues for the foreseeable future.

KCAA is committed to serving the public through passionate pursuit of service excellence, fairness, and equity. KCAA endeavors to invest in its people and systems to enhance quality service provision as a priority. To uphold these core values, the Authority intends to automate all its services particularly those related to the oversight function.

2 CROSS-CUTTING PROCESSES

2.1 FIVE-PHASE CERTIFICATION AND APPROVAL PROCESS – GEN01

2.1.1 OVERVIEW

This process provides for a continuous interaction, from the applicant’s initial enquiry to the issuance or denial of the requested certificate/approval by the Kenya 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 using the five-phase process.

2.1.2 PHASE I – PRE-APPLICATION PHASE

Process ID	#01
Process Name	Pre-Application
Process Description	Pre-application phase is meant to provide the applicant with information on the certification process and the regulatory requirements. It is a preparatory phase between the Authority and a prospective applicant to ensure that there is harmonized understanding of requirements between both parties based on the nature of application / request.
Process Phase	Pre-Application Phase (Phase I)
Department	All
Process Owner	HOD
Primary Actors	Applicant/Operator HOD Inspectors
Secondary/ Supporting Actors	DASSR DG
Preconditions/ Dependencies	System Account
Integrations	Document Management System

2.1.2.1 Process Narration

1. The system shall provide the necessary information to the Applicant in regard to the service that they intend to request from KCAA. The Applicant shall be required to confirm that they understand the pre-requisites of the service.
2. The Applicant shall then fill the necessary Application Form (depending on the service being applied for) e.g PASI, PATOPS. The system will then generate a unique reference number for the Application.
3. The system shall support formation of a certification team (with a Certification Project Manager (CPM) / Team Lead (TL)) where necessary to review the Application, otherwise, the Application will be reviewed by a specific Inspector assigned from the relevant department. (The certification team shall be composed by the HOD and approved by either Director Safety & Security Regulation (DASSR) or Director General (DG). This team shall be comprised of members from various departments as needed.
4. The CPM/TL (or Inspector) shall schedule a pre-application meeting (The CPM/TL will have the ability to upload of Pre-Application Meeting minutes resulting from this meeting)
5. The CPM/TL shall decide whether the Applicant shall proceed to the Formal Application Phase based on the results of the pre-application meeting. A system generated notification will be sent to the Applicant and then the system will generate a phase closure letter.

2.1.3 PHASE II – FORMAL APPLICATION PHASE

2.1.3.1 Process Narration

Process ID	#02
Process Name	Formal Application Phase
Process Description	The formal application for an approval should be submitted in the manner prescribed by the Authority and the application should be accompanied by the required documentation.
Department	All
Process Owner	HOD
Primary Actors	Applicant/Operator HOD Inspectors
Secondary/ Supporting Actors	DASSR DG Revenue officer
Preconditions/ Dependencies	Closure of Phase One (Pre-Application)
Integrations	ERP Payment Gateway (eCitizen) Document Management System

1. The Applicants shall create the Formal Application (attach the necessary documents and fill the required forms).
2. The system shall determine the amount to be paid in reference to the Aeronautical Information Charges (AIC) from the ERP, generate an invoice and allow the Applicant to make the applicable payment through a Payment Gateway.
3. If payment is confirmed the Application Package is submitted to the CPM/TL/Inspector, otherwise, the Application Package should remain at the Applicant application stage.
4. The Certification Team shall perform a cursory review of the Application Package. If the package is not acceptable, the Applicant is notified to provide the required information otherwise the CPM/TL evaluates and requests for the resources required for certification process.
5. The CPM/TL (or Inspector) shall schedule a Formal Application Meeting (The CPM/TL will have the ability to upload of Formal Application Meeting minutes resulting from this meeting)
6. The CPM/TL shall decide whether the Applicant shall proceed to the Document Evaluation Phase based on the results of the Formal Application Meeting. A system generated notification will be sent to the Applicant and then the system will generate a phase closure letter.

2.1.4 PHASE III – DOCUMENT EVALUATION PHASE

Process ID	#03
Process Name	Document Evaluation Phase
Process Description	The document evaluation phase involves thorough / in-depth review of the applicant’s manuals and other related documents and attachments for regulatory compliance and acceptance.
Department	All
Process Owner	HOD
Primary Actors	Applicant/Operator HOD Inspectors
Secondary/ Supporting Actors	DASSR DG Revenue Officer
Preconditions/ Dependencies	Closure of Phase Two (Formal Application)
Integrations	Document Management System, ERP, Payment Gateway

2.1.4.1 Process Narration

1. The system shall allow for assignment of documents to a team or individual for in-depth review.
2. The team shall have the ability to evaluate the documents (and request for more information from the Applicant if need be). For every resubmission, the Applicant shall pay an applicable fee if a fee is required.
3. The system shall provide digital checklists for evaluating documents and those checklists shall either be filled out online or offline (in case there is no internet connection).
4. The system shall allow for provisional/final electronic approval of documents at this phase. Documents that are provisionally approved in this phase shall be approved in Phase IV.
5. The system must have the capability to keep versioning for all documents that have been evaluated and related evaluation comments.
6. The CPM/TL shall decide whether the Applicant shall proceed to the Demonstration and Inspection Phase based on the results of the document evaluation. A system generated notification will be sent to the Applicant and then the system will generate a phase closure letter.

2.1.5 PHASE IV- DEMONSTRATION AND INSPECTION PHASE

Process ID	#04
Process Name	Demonstration and Inspection Phase
Process Description	In this phase, the Applicant demonstrates to the Authority that the proposed procedures are effective and the facilities, tools/equipment, materials, personnel, maintenance data, systems and processes are available, functional, and meets regulatory requirements.
Department	All
Process Owner	HOD
Primary Actors	Applicant/Operator HOD Inspectors
Secondary/ Supporting Actors	DASSR DG Revenue Officer
Preconditions/ Dependencies	Completion of Document Evaluation Phase (Phase III)
Integrations	ERP, Document Management System

2.1.5.1 Process Narration

1. The system shall provide for a framework for generation of a demonstration/inspection plan which shall then be reviewed and approved.
2. The system shall provide for scheduling of a demonstration/inspection with the Applicant.
3. The system shall have the ability to support inspection & evaluation according to the demonstration/inspection plan.
4. During demonstration/inspection, the system shall provide for digital checklists for inspection and those checklists shall either be filled out online or offline (in case there is no internet connection).
5. The system shall support identification and resolution of non-conformities before closure of Phase IV.
6. All documents/manuals under provisional approval from Phase III are approved.
7. The system shall provide for payment of fees as applicable.
8. The CPM/TL shall decide whether the Applicant shall proceed to the Certification Phase based on the results of demonstration/inspection. A system generated notification will be sent to the Applicant and then the system will generate a phase closure letter.

2.1.6 PHASE V - CERTIFICATION

Process ID	#05
Process Name	Certification Phase
Process Description	In this phase, the Applicant is issued a Certificate or a Licence or an Approval as dictated by the services being applied for
Department	All
Process Owner	HOD
Primary Actors	Applicant/Operator HOD Inspectors
Secondary/ Supporting Actors	DASSR DG Revenue Officer
Preconditions/ Dependencies	Closure of Demonstration and Inspection Phase (Phase IV)
Integrations	Document Management System

2.1.6.1 Process Narration

1. The system shall support preparation of Summary of Difficulties, Certification Report, Surveillance Plan, Recommendations, Specific Operating Provisions, where applicable
2. The system shall generate a Schedule of Events
3. The system creates a certification package comprising of Summary of Difficulties, Certification Report, Surveillance Plan, Recommendations, Specific Operating Provisions and Schedule of Events which is then submitted for review and approval
4. The system shall generate a promulgation report for Aerodrome Certification in case of Aerodrome Certification Process
5. The Certification Phase is closed

2.2 PROCESSES UTILIZING 5 PHASE CERTIFICATION AND APPROVAL PROCESS

2.2.1 CERTIFICATION AND APPROVAL OF TRAINING ORGANIZATIONS (ATO'S) CERTIFICATE – PEL47

2.2.1.1 Phase I

Input

Application Forms/ Documents

Form: Prospective ATO Pre-assessment Statement (PATOPS)

Checklists

PATOPS Evaluation Checklist

Output

Reports

1. List of ATOs in Phase I

2.2.1.2 Phase II

Input

Application Forms / Documents (Formal Application Package)

1. The schedule of events in the certification process with appropriate events addressed and target dates.
2. An initial statement of compliance or detailed description of how the applicant intends to show compliance with each provision of applicable regulations.
3. Management biographical data forms with relevant CV's and certificates (Management Personnel Biographic Data Form).
4. Duly filled biographical data forms for all the instructors for the organization.
5. A list of aircraft to be operated (CoR, CoA, Aircraft Lease Agreement, Radio Licence, Certificate of Insurance, crew licenses, manual amendments, AMO agreements approval from KCAA, AMP SOPs, certificate of release to service)
6. Training manual for each course being taught & Procedures manual.
7. Safety Management Systems Manual (If Applicable).
8. Maintenance Control Manual (MCM).
9. Aircraft Maintenance Program per aircraft type.
10. Quality Manual.
11. AFM/Pilot Operating Handbook (POH) per aircraft type.
12. Any other Manuals specific to the training organization.
13. Documents of purchase, leases, contracts or letters of intent.
14. Maintenance agreements with copies of their AMO certificates and SOPs.
15. The status of the assessment of financial, economic and legal matters by the appropriate KCAA department (ASL).
16. Aircraft Lease Agreements

17. Aircraft Documents
18. AMO Agreements
19. Aircraft, Facility and Services Information
20. Duly filled Application Form for an Approved Training Organization
21. Memorandum of Understanding
22. Flight Simulation Training Device (FSTD) Approval Supporting documents.
23. Any other documents that shall help understand the scope of training.

Checklists

ATO Documents' cursory Review Evaluation Checklist

Output

1. List of ATOs in Phase 2

2.2.1.3 Phase III

Input

Application Forms/ Documents

None

Checklists

1. Management Personnel ATC Training
2. Management Personnel AMEL Training
3. Management Personnel Flight Crew Training
4. Management Personnel Flight Operations Officer (FOO) Training
5. Approval ATO Procedures Manual for pilots
6. Approval ATO Procedures Manual for other than pilots
7. Approval ATO Training Manual Other than for pilots
8. Approval ATO Training Manual for pilots
9. Approved Training Organization Certification Checklist and Schedule of Events
10. Management Personnel Evaluation Checklist
11. Quality Manual Checklist For ATOS

Output

Reports

1. List of ATOs in Phase III

2.2.1.4 Phase IV

Input

Application Forms/ Documents

1. Demonstration/Inspection Plan

Checklists

1. Check List for Approval or Renewal of an Approved Training Organization – Flight Crew Training

2. Check List for Approval or Renewal of an Approved Training Organization – Flight Operations Officers Training
3. Check List for Approval or Renewal of an Approved Training Organization – Aircraft Maintenance Engineer’s Training
4. Check List for Approval or Renewal of an Approved Training Organization – Aircraft Traffic Control Officer’s Training
5. Service Provider’s Routine SMS Assessment Checklist
6. Management Personnel Evaluation Checklist
7. Observation of Classroom Based Training Checklist

Output

1. List of ATOs in Phase IV

2.2.1.5 Phase V

Input

Applicable Forms/ Documents

Certification Package

Checklists

None

Output

1. Certification Report with Recommendation
2. Certification Report with Recommendation & Summary of Difficulties (internal to the CAA)
3. Training Specifications
4. Surveillance Programme
5. Schedule of Events
6. ATO Certificate

2.2.1.6 Expected Reports

1. List of all ATOs with select filters
2. List of all equipment used for training by the ATO
3. List of all the instructors for all ATOs
4. List of ATO certification applications with details filtered based on time.

2.2.1.7 Inter-dependencies

1. Relevant information will be obtained from Aircraft Registration Module
2. Relevant information will be obtained from Personnel Licensing Module
3. Relevant information will be obtained from Aerodromes Register

2.2.2 RENEWAL OF CERTIFICATION OF APPROVED TRAINING ORGANIZATIONS (ATO'S) – PEL48

2.2.2.1 Phase I

Input

Application Forms/ Documents

Prospective ATO Pre-assessment Statement (PATOPS)

Checklists

PATOPS Form Evaluation Checklist.

Output

Reports

List of ATOs in Phase I

2.2.2.2 Phase II

Input

Application Forms / Documents (Formal Application Package)

Optional documents.

Checklists

ATO Documents' Cursory Review Evaluation Checklist

Output

List of ATOs in Phase 2

2.2.2.3 Phase III

Input

Application Forms/ Documents

None

Checklists

1. Management Personnel ATC Training
2. Management Personnel AME Training
3. Management Personnel Flight Crew Training
4. Management Personnel FOO Training
5. Approval ATO Procedures Manual for pilots
6. Approval ATO Procedures Manual for other than pilots
7. Approval ATO Training Manual Other than for pilots
8. Approval ATO Training Manual for pilots
9. Approved Training Organization Certification Checklist and Schedule of Events
10. Management Personnel Evaluation Checklist
11. Quality Manual Checklist For ATOS

Output

List of ATOs in Phase III

2.2.2.4 Phase IV

Input

Application Forms/ Documents

1. ATO Inspection Notification
2. ATO Initial/Renewal Inspection Team

Checklists

1. Check List for Approval or Renewal of an Approved Training Organization – Flight Crew Training
2. Check List for Approval or Renewal of an Approved Training Organization – Flight Operations Officers Training
3. Check List for Approval or Renewal of an Approved Training Organization – Aircraft Maintenance Engineer’s Training
4. Check List for Approval or Renewal of an Approved Training Organization – Aircraft Traffic Control Officer’s Training
5. Service Provider’s Routine SMS Assessment Checklist
6. Management Personnel Evaluation Checklist
7. Observation of Classroom Based Training Checklist

Output

1. List of ATOs in Phase IV
2. List of ATO certification applications with details filtered based on time.

2.2.2.5 Phase V

Input

Application Forms/ Documents

Approved Training Organization (ATO) Recommendation

Checklists

None

Output

1. ATO Certificate
2. List of ATOs in Phase V
3. List of ATO certification applications with details filtered based on time.

2.2.3 VARIATION AND APPROVAL OF TRAINING ORGANIZATIONS (ATO'S) CERTIFICATE – PEL49

2.2.3.1 Phase I

Input

Application Forms/ Documents

Prospective ATO Pre-assessment Statement (PATOPS)

Checklists

PATOPS Form Evaluation Checklist.

Output

Reports

1. List of ATOs in Phase I
2. List of ATO certification applications with details filtered based on time.

2.2.3.2 Phase II

Input

Application Forms / Documents (Formal Application Package)

1. The schedule of events in the certification process with appropriate events addressed and target dates.
2. An initial statement of compliance or detailed description of how the applicant intends to show compliance with each provision of applicable regulations.
3. Management biographical data forms with relevant CV's and certificates (Management Personnel Biographic Data).
4. Dully filled biographical data forms for all the instructors for the organization.
5. A list of aircraft to be operated (attach all copies of those aircraft documents).
6. Training manual for each course being taught g) Procedures manual.
7. Safety Management Systems Manual (If Applicable).
8. Maintenance Control Manual.
9. Aircraft Maintenance Program per aircraft type.
10. Quality Manual.
11. AFM/Pilot Operating Handbook (POH) per aircraft type.
12. Any other Manuals specific to the training organization.
13. Documents of purchase, leases, contracts or letters of intent.
14. Maintenance agreements with copies of their AMO certificates and SOP's.
15. The status of the assessment of financial, economic and legal matters by the appropriate KCAA department (ASL).
16. Aircraft Lease Agreements
17. Aircraft Documents
18. AMO Agreements
19. Aircraft, Facility and Services Information

20. Dully filled Application Form for an Approved Training Organization
21. Memorandum of Understanding
22. FSTD Approval Supporting documents.
23. Any other documents that shall help understand the scope of training.

Checklists

ATO Documents' Cursory Review Evaluation Checklist

Output

1. List of ATOs in Phase 2
2. List of ATO certification applications with details filtered based on time.

2.2.3.3 Phase III

Input

Application Forms/ Documents

None

Checklists

1. Management Personnel ATC Training
2. Management Personnel AME Training
3. Management Personnel Flight Crew Training
4. Management Personnel FOO Training
5. Approval ATO Procedures Manual for pilots
6. Approval ATO Procedures Manual for other than pilots
7. Approval ATO Training Manual Other than for pilots.
8. Approval ATO Training Manual for pilots
9. Approved Training Organization Certification Checklist and Schedule of Events
10. Management Personnel Evaluation Checklist
11. Quality Manual Checklist For ATOS

Output

Reports

1. List of ATOs in Phase III
2. List of ATO certification applications with details filtered based on time.

2.2.3.4 Phase IV

Input

Application Forms/ Documents

1. ATO Inspection Notification
2. ATO Initial/Renewal Inspection Team

Checklists

1. Check List for Approval or Renewal of an Approved Training Organization – Flight Crew Training

2. Check List for Approval or Renewal of an Approved Training Organization – Flight Operations Officers Training
3. Check List for Approval or Renewal of an Approved Training Organization – Aircraft Maintenance Engineer’s Training
4. Check List for Approval or Renewal of an Approved Training Organization – Aircraft Traffic Control Officer’s Training
5. Service Provider’s Routine SMS Assessment Checklist
6. Management Personnel Evaluation Checklist
7. Observation of Classroom Based Training Checklist

Output

1. List of ATOs in Phase IV
2. List of ATO certification applications with details filtered based on time.

2.2.3.5 Phase V

Input

Application Forms/ Documents

Approved Training Organization (ATO) Recommendation

Checklists

None

Output

1. ATO Certificate
2. List of ATOs in Phase V
3. List of ATO certification applications with details filtered based on time.

2.2.4 ISSUANCE OF DESIGNATED EXAMINERS’ AUTHORIZATION – PEL50

2.2.4.1 Phase I

Input

Application Form or documents:

Letter of intent to be a Designated Examiner

Checklist:

None

Output

List all examiners.

List of designation applications with details filtered based on time.

2.2.4.2 Phase II

Input

Application Form or documents (Formal Application Package)

1. Formal application letter duly dated and signed and should contain at least the following;
 - a. The name, address, and current contact details of the applicant.
 - b. Specific authorization sought.
 - c. Copies of current professional licenses.
2. An updated Curriculum Vitae showing applicants profile and aeronautical experience.
3. Copy of national ID or Passport.
4. Proof of qualification as an instructor.
5. Company (i.e., AMO, AOC, ATO, ANS) recommendation letter.
6. For Flight examiners, in addition to the requirements above.
 - a. proof of qualification as a Designated Check Pilot (If applicable); copies of logbook indicating proficiency, recency, and total hours.
7. For AMEL examiners, in addition to the requirements above.
 - a. Evidence of a high level of knowledge in the Subject Areas required for Aircraft Maintenance Engineers Licensing, holds a valid Aircraft Maintenance Engineer's License for 5 years with the rating(s)/approvals for which a designation is to be issued, actively exercises certification privileges of a valid Aircraft Maintenance Engineer's license for 3 years on Kenyan-registered civil aircraft immediately before designation or other aircraft maintenance organization acceptable to the Authority, and approval as Quality Manager within an AMO .
8. For Flight and ATC examiners, in addition to the requirements above.
 - a. Copy of current medical certificate.

Checklist:

None

Output

List all examiners.

List of designation applications with details filtered based on time.

2.2.4.3 Phase III

Input

Application Form or documents:

None

Checklist:

None

Output

List all examiners.

List of designation applications with details filtered based on time.

2.2.4.4 Phase IV

Input

Application Form or documents:

Flight Examiner Course - Observation Form

Checklist:

None

Output

List all examiners.

List of designation applications with details filtered based on time.

2.2.4.5 Phase V

Input

Application Form or documents:

Not available

Checklist:

None

Output

List all examiners.

List of designation applications with details filtered based on time.

2.2.5 CERTIFICATION AND APPROVAL OF REGULATED AGENTS

2.2.5.1 Phase I

Input

Application Form/Documents:

- a. Prospective Regulated Agents Pre-Application Statement (PRAPS)

Checklist:

PRAPS Evaluation Checklist

Output

- a. Pre-Application Meeting Report/Minutes
- b. Phase I Closure Notification Notice/Letter

2.2.5.2 Phase II

Input

Application Form/Documents:

Mandatory Documents (Application Package)

- a. Formal Application Letter
- b. Regulated Agent Security Programme (RASP)
- c. Standard Operating Procedures or Work Instructions
- d. Regulated Agent Security Training Programme
- e. Internal Quality Control Programme
- f. Prospective Regulated Agents Pre-Assessment Statement (PRAPS)
- g. KRA PIN Certificate
- h. City/County Council Business Permit/Licence
- i. Certificate of Incorporation
- j. VAT Certificate of Registration
- k. Copies of Background Check records and/or Police Clearance Certificates for Screeners and other security staff (including Contracted security if applicable)
- l. List/Names of Screeners and copies of Screener Certificates/Authorization from KCAA
- m. Name(s) of Aviation Security Service Provider(s) and Proof of Certification / Authorization from KCAA as ASSP (if contracted)

Optional

- a. KRA General/Transit Agent/Shed Licence
- b. Known Consignor Register/List (only if validated by KCAA)
- c. Customer Airlines' Register/List
- d. List of Contracted Hauliers/Transporters (if applicable -indicating name, address, location and contact person)
- e. Contracted Haulier Protocol (if applicable)
- f. Dangerous Goods (DG) Acceptance Checklist (if applicable)

- g. Any other business-related or operational documents that the regulated agent may produce

Checklists:

Cursory Review Documents Evaluation Checklist

Output

- a. Formal-Application Meeting Report/Minutes
- b. Phase 2 Closure Notification Letter

2.2.5.3 Phase III

Input

Application Form/Documents:

None

Checklists:

- a. Regulated Agent Document Evaluation Checklist (Initial)
- b. Regulated Agent Security Programme Compliance Checklist
- c. Operator Security Training Programme Compliance Checklist

Output

- a. Phase 3 Closure Notification

2.2.5.4 Phase IV

Input

Application Form/Documents:

- a. Regulated Agent Audit/Inspection Plan

Checklist:

- a. Regulated Agent Audit/Inspection Checklist

Output

- a. Interim Findings Report (IFR)
- b. Phase 4 Closure Notification Letter

2.2.5.5 Phase V

Input

Application Form/Documents:

- a. Certificate Recommendations Form
- b. Certification Package

Checklist: None

Output

- a. Certification Report with recommendations
- b. Surveillance Programme
- c. Schedule of Events

- d. Regulated Agent Certificate (RAC)
- e. Updated Regulated Agent Database
- f. Phase 5 Closure Notification

2.2.6 RE-CERTIFICATION OF REGULATED AGENTS

2.2.6.1 Phase I

Input

Application Form/Document:

- a. Regulated Agent Assessment Form (RAAF)

Checklist:

RAAF Evaluation Checklist

Output

- a. Pre-Application Meeting Report
- b. Phase I Closure Notification

2.2.6.2 Phase II

Input

Application Forms/Documents:

Mandatory Documents

1. Application Letter
2. Regulated Agent Security Programme (RASP)
3. Standard Operating Procedures or Work Instructions
4. Regulated Agent Security Training Programme
5. Internal Quality Control Programme
6. Regulated Agent Assessment Form (RAAF)
7. City/County Council Business Permit/Licence
8. Customer Airlines' Register/List
9. Copies of Background Check records and/or Police Clearance Certificates for Screeners and other security staff (including Contracted security if applicable)
10. List/Names of Screeners and copies of valid Screener Certificates/Authorization from KCAA
11. Name(s) of Aviation Security Service Provider(s) and Proof of Certification / Authorization from KCAA as ASSP (if contracted)
12. Updated Corrective Action Plan / Report for Previous/Recent KCAA Audit / Inspection

Optional Documents

13. KRA General/Transit Agent/Shed Licence
14. Known Consignor Register/List
15. Copy of recently used Consignment Security Declaration Form

16. List of Contracted Hauliers/Transporters (if applicable -indicating name, address, location and contact person)
17. Contracted Haulier Protocol (if applicable)
18. Copy of Certificate as RA3 (where applicable)
19. Dangerous Goods Acceptance Checklist (if handling DGs)
20. Any other business-related or operational documents that the regulated agent may produce

Checklist:

Cursory Review Documents Evaluation Checklist

Output

- a. Formal-Application Meeting Report
- b. Phase 2 Closure Notification

2.2.6.3 Phase III

Input

Application Form/Documents:

None

Checklists:

- a. Regulated Agent Document Evaluation Checklist (Re-Certification)
- b. Regulated Agent Security Programme Compliance Checklist
- c. Regulated Agent Security Training Programme Compliance Checklist

Output

- a. Phase 3 Closure Notification

2.2.6.4 Phase IV

Input

Application Forms/Documents:

- a. Regulated Agent Audit/Inspection Plan

Checklist:

- a. Regulated Agent Audit/Inspection Checklist

Output

- a. Interim Findings Report (IFR)

2.2.6.5 Phase V

Input

Application Forms/Documents:

- a. Certificate Recommendations Form
- b. Certification Package

Checklist:

None

Output

- a. Final Certification Audit Report with recommendations
- b. Updated Surveillance Programme
- c. Schedule of Events
- d. Regulated Agent Certificate (RAC)
- e. Updated Regulated Agent Database
- f. Phase 5 Closure Notification Letter

2.2.7 CERTIFICATION OF IN-FLIGHT CATERING OPERATORS

2.2.7.1 Phase I

Input

Application Form:

- a. Prospective In-flight Catering Operator Pre-Assessment Statement (PCOPS)

Checklist:

None

Output

- a. Pre-Application Meeting Report / Minutes
- b. Phase I Closure Notification

2.2.7.2 Phase II

Input

Application Form:

Mandatory Documents (Certification Package)

1. Formal Application Letter
2. Catering Operator Security Programme (COSP)
3. Standard Operating Procedures or Work Instructions
4. Catering Operator Security Training Programme
5. Internal Quality Control Programme
6. Duly completed Prospective Catering Operator Pre-Assessment Statement (PCOPS) Form
7. KRA PIN/VAT Certificate
8. City/County Council Business Permit/Licence
9. Certificate of Incorporation
10. Copies of Background Check records and/or Police Clearance Certificates for Screeners and other security staff (including Contracted security if applicable)
11. List of Screeners and copies of valid Screener Certificates/Authorization from KCAA

12. Name(s) of Aviation Security Service Provider(s) and Proof of Certification / Authorization from KCAA as ASSP (if contracted)

Optional

13. Customer Airlines' Register/List
14. Known Supplier Register / List (indicating name, address, location and contact person) only if validated by KCAA
15. List of Contracted Hauliers/Transporters (if applicable -indicating name, address, location and contact person))
16. Contracted Haulier Protocol (if applicable)
17. Dangerous Goods (DG) Acceptance Checklist
18. Any other business-related or operational documents that the catering operator may produce, or the Authority may request:

Checklist:

None

Output

- a. Formal-Application Meeting Report
- b. Phase 2 Closure Notification

2.2.7.3 Phase III

Input

Application Form:

None

Checklist:

- a. In-flight Catering Operator Document Evaluation Checklist (Initial)
- b. In-flight Catering Operator Security Programme Compliance Checklist
- c. Catering Operator Security Training Programme Compliance Checklist

Output

- a. Phase 3 Closure Notification

2.2.7.4 Phase IV

Input

Application Form:

- a. Catering Operator Audit/Inspection Plan

Checklist:

- a. In-flight Catering Operator Audit/Inspection Checklist

Output

- a. Interim Findings Report (IFR)
- b. Phase IV Closure Notification

2.2.7.5 Phase V

Input

Application Form:

- a. Certificate Recommendations Form - Catering Operator

Checklist:

None

Output

- a. Final Certification Audit Report with recommendations
- b. Updated Surveillance Programme
- c. Schedule of Events
- d. In-Flight Catering Operator Certificate (COC)
- e. Updated In-Flight Catering Operator Database
- f. Phase 5 Closure Notification Letter

2.2.8 RE-CERTIFICATION OF IN-FLIGHT CATERING OPERATORS

2.2.8.1 Phase I

Input

Application Form:

- a. Catering Operator Assessment Form (COAF)

Checklist:

COAF Evaluation Checklist

Output

- a. Pre-Application Meeting Report
- b. Phase I Closure Notification

2.2.8.2 Phase II

Input

Application Forms/Documents:

Mandatory Documents

1. Application Letter
2. Catering Operator Security Programme (COSP)
3. Standard Operating Procedures or Work Instructions
4. Catering Operator Security Training Programme
5. Internal Quality Control Programme
6. Catering Operator Assessment Form (COAF)
7. City/County Council Business Permit/Licence

8. Copies of Background Check records and/or Police Clearance Certificates for Screeners and other security staff (including Contracted security if applicable)
9. List of Screeners and copies of valid Screener Certificates/Authorization from KCAA
10. Customer Airlines' Register/List
11. Name(s) of Aviation Security Service Provider(s) and Proof of Certification / Authorization from KCAA as ASSP (if contracted)
12. Updated Corrective Action Plan / Report for Previous KCAA Audit / Inspection

Optional

13. Copy of recently used Catering Security Declaration Form
14. Known Supplier Register / List (indicating name, address, location and contact person) only if validated by KCAA
15. List of Contracted Hauliers/Transporters (if applicable -indicating name, address, location and contact person))
16. Contracted Haulier Protocol (if applicable)
17. Dangerous Goods Acceptance Checklist (if handling DGs)
18. Any other business-related or operational documents that the catering operator may produce or the Authority may request:

Checklist:

Cursory Review Documents Evaluation Checklist

Output

- a. Formal-Application Meeting Report
- b. Phase 2 Closure Notification

2.2.8.3 Phase III

Input

Application Form:

None

Checklist:

- a. In-Flight Catering Operator Document Evaluation Checklist (Re-certification)
- b. In-Flight Catering Operator Security Programme Compliance Checklist
- c. Catering Operator Security Training Programme Compliance Checklist

Output

- a. Phase 3 Closure Notification

2.2.8.4 Phase IV

Input

Application Form:

Catering Operator Audit/Inspection Plan

Checklist:

In-Flight Catering Operator Audit/Inspection Checklist

Output

Interim Findings Report (IFR) – In-Flight Catering Operator

2.2.8.5 Phase V

Input

Application Form:

- a. Certificate Recommendations Form - Catering Operator

Checklist:

None

Output

- a. Final Certification Audit Report with recommendations
- b. Updated Surveillance Programme
- c. Schedule of Events
- d. In-Flight Catering Operator Certificate (COC)
- e. Updated In-Flight Catering Operator Database
- f. Phase 5 Closure Notification Letter

2.2.9 CERTIFICATION OF AVIATION SECURITY TRAINING CENTRES

2.2.9.1 Phase I

2.2.9.1.1 Input

Application Forms:

- a. Prospective Aviation Security Training Centre Pre-Application Statement (PAPAS)

Checklist:

None

2.2.9.1.2 Output

- a. Pre-Application Meeting Report/Minutes
- b. Phase I Closure Notification

2.2.9.2 Phase II

2.2.9.2.1 Input

Application Forms/Documents:

Mandatory Documents (Initial)

- 1. Application letter
- 2. ASTC (Company) Profile
- 3. ASTC Aviation Security Training Manual
- 4. Quality Assurance Systems/Programme

5. Completed Prospective Aviation Security Training Centre Pre-Application Statement (PAPAS)
 6. KRA PIN/VAT Certificate
 7. County Government Business Permit / Licence
 8. Certificate of Incorporation
 9. Any testimonials for approvals (by IATA, ICAO, ATO, Ministries i.e. TVETA, NITA etc.)
 10. List of certified AVSEC trainers, their resumes, training records and copies of valid Instructor certificates or authorization from KCAA (including those of out-sourced AVSEC Instructors);
 11. List of aviation security-related training equipment, aids, facilities and approved courses
 12. Background check records and/or valid Police Clearance Certificates for the AVSEC trainers including out-sourced trainers
 13. List of Branches and Approved Aviation Security-related Courses provided
- Optional (Initial)**
14. Memoranda of understanding for the use of facilities or training packages including service level agreement (also third-party service providers);
 15. Any other business-related or operational documents that the prospective ASTC may produce

Checklist:

Cursory Review Documents Evaluation Checklist

2.2.9.2.2 Output

- a. Formal-Application Meeting Report/Minutes
- b. Phase 2 Closure Notification

2.2.9.3 Phase III

2.2.9.3.1 Input

Application Forms:

None

Checklist:

- a. Aviation Security Training Centre Document Evaluation Checklist (Initial)
- b. Aviation Security Training Centre AVSEC Training Manual Compliance Checklist
- c. Checklist for Approval of AVSEC Courses / Training Packages

2.2.9.3.2 Output

- a. Phase 3 Closure Notification

2.2.9.4 Phase IV

2.2.9.4.1 Input

Application Forms:

- a. ASTC Audit/Inspection Plan

Checklist:

- a. Aviation Security Training Centre (ASTC) Audit/Inspection Checklist

2.2.9.4.2 Output

- a. Interim Findings Report (IFR)
- b. Phase 4 Closure Notification Letter

2.2.9.5 Phase V

2.2.9.5.1 Input

Application Forms/Documents:

- a. Certificate Recommendations Form
- b. Certification Package

Checklist:

None

2.2.9.5.2 Output

- a. Certification Report with recommendations
- b. Surveillance Programme
- c. Schedule of Events
- d. Aviation Security Training Centre (ASTC) Certificate
- e. Updated ASTC Database
- f. Phase 5 Closure Notification

2.2.10 RE-CERTIFICATION OF AVIATION SECURITY TRAINING CENTRES

2.2.10.1 Phase I

2.2.10.1.1 Input

Application Forms:

- a. Aviation Security Training Centre Assessment Form

Checklist:

None

2.2.10.1.2 Output

- a. Pre-Application Meeting Report / Minutes
- b. Phase I Closure Notification

2.2.10.2 Phase I

2.2.10.2.1 Input

Application Forms:

Mandatory (Re-certification)

1. Application letter
2. Updated ASTC (Company) Profile
3. ASTC Aviation Security Training Manual
4. Quality Assurance Systems/Programme

5. Completed Aviation Security Training Centre Assessment Form
6. County Government Business Permit / Licence
7. Any testimonials for approvals (IATA, ICAO, ATO, Ministries i.e. TVET, NITA etc.)
8. Completed Aviation Security Training Centre Assessment Form
9. List of certified AVSEC trainers, their resumes, training records and copies of valid Instructor certificates or authorization from KCAA (including those of out-sourced AVSEC Instructors);
10. List of aviation security-related training equipment, aids, facilities and approved courses
11. List of Branches and Approved Aviation Security-related Courses provided
12. Background check records and/or valid Police Clearance Certificates for the AVSEC trainers including out-sourced trainers

Optional (Re-certification)

- a. Memoranda of understanding for the use of facilities or training packages including service level agreement (also third-party service providers);
- b. Any other business-related or operational documents that the prospective ASTC may produce

Checklist:

None

2.2.10.2.2 Output

- a. Formal-Application Meeting Report / Minutes
- b. Phase 2 Closure Notification Letter

2.2.10.3 Phase II

2.2.10.3.1 Input

Application Forms:

None

Checklist:

- a. Aviation Security Training Centre Document Evaluation Checklist
- b. Aviation Security Training Centre AVSEC Training Manual Compliance Checklist
- c. Checklist for Approval of AVSEC Courses / Training Packages

2.2.10.3.2 Output

- a. Phase 3 Closure Notification

2.2.10.4 Phase IV

2.2.10.4.1 Input

Application Forms/Documents:

- a. ASTC Audit / Inspection Plan

Checklist:

- a. Aviation Security Training Centre Audit/Inspection Checklist

2.2.10.4.2 Output

- a. Interim Findings Report (IFR)

- b. Phase 4 Closure Notification Letter

2.2.10.5 Phase V

2.2.10.5.1 Input

Application Forms:

- a. Certificate Recommendations Form - ASTC
- b. Certification Package

Checklist:

None

2.2.10.5.2 Output

- a. Certification Report with recommendations
- b. Surveillance Programme
- c. Schedule of Events
- d. Aviation Security Training Centre Certificate
- e. Updated ASTC Database
- f. Phase 5 Closure Notification

2.2.11 CERTIFICATION OF AVIATION SECURITY SERVICE PROVIDERS

2.2.11.1 Phase I

Input

Application Form:

- a. Prospective Aviation Security Service Providers Pre-Application Statement

Checklist:

None

Output

- a. Pre-Application Meeting Report
- b. Phase I Closure Notification

2.2.11.2 Phase 2

Input

Application Form:

Mandatory (Initial)

- a. Application letter
- b. Company Profile
- c. Security Programme and/or Instructions for ASSPs and signed Declaration of Commitment as an ASSP
- d. Prospective Aviation Security Service Provider Pre-Assessment Statement (PASPS) / ASPC Application)
- e. Security Training Programme

- f. Copies of Standard Operating Procedures or Work Instructions (used/to be used at site(s) where contracted)
- g. KRA PIN/VAT Certificate
- h. Private Security Regulatory Authority (PSRA) Registration Certificate
- i. City/County Council Business Permit/Licence
- j. Certificate of Incorporation
- k. Copies of valid background check records and/or Police Clearance Certificates for the screeners or security personnel deployed for aviation security service
- l. List of all Screeners, their Training Records and copies of Screener Certificates / Authorization from KCAA
- m. List of Aviation/Airport entities where Screeners are deployed

Optional (Initial)

- n. Quality Control Programme
- o. List of Contracted Security Support Services/Back-Ups (if applicable -indicating name, address, location and contact person))
- p. List of all security personnel deployed/to be deployed for the Aviation Security Service(s) indicating areas deployed
- q. List of security equipment (owned or contracted) available for security operations including vehicles, radios, etc.
- r. Any other business-related or operational documents that the Applicant may produce or the Authority may request

Checklist:

None

Output

- a. Formal-Application Meeting Report
- b. Phase 2 Closure Notification

2.2.11.3 Phase 3

Input

Application Form:

None

Checklist:

- a. Aviation Security Service Providers Document Evaluation Checklist
- b. Aviation Security Service Providers Security Programme Compliance Checklist
- c. Aviation Security Service Providers Security Training Programme Compliance Checklist

Output

- a. Phase 3 Closure Notification

2.2.11.4 Phase 4

Input

Application Form:

- a. Audit / Inspection Plan - ASSP

Checklist:

- a. Aviation Security Service Providers Audit/Inspection Checklist

Output

- a. Interim Findings Report (IFR) - ASSP

2.2.11.5 Phase 5

Input

Application Form:

- a. Certificate Recommendations Form

Checklist:

None

Output

- a. Certification Report with recommendations
- b. Surveillance Programme
- c. Schedule of Events
- d. Aviation Security Service Provider Certificate
- e. Updated ASSP Database
- f. Phase 5 Closure Notification

2.2.12 RE-CERTIFICATION OF AVIATION SECURITY SERVICE PROVIDERS

2.2.12.1 Phase I

Input

Application Form:

- a. Aviation Security Service Providers Assessment Form

Checklist:

None

Output

- a. Pre-Application Meeting Report
- b. Phase I Closure Notification

2.2.12.2 Phase 2

Input

Application Form:

Mandatory (Re-Certification)

- a. Application letter
- b. Copy of Private Security Regulatory Authority Registration Certificate
- c. Security Programme and/or Instructions for ASSPs and signed Declaration of Commitment as an ASSP
- d. Security Training Programme
- e. Duly completed ASSP Validation Form (AVF)
- f. Copies of Standard Operating Procedures or Work Instructions (used/to be used at site(s) where contracted)
- g. Copies of Internal Quality Control Reports (conducted by self, Client or other Entity) as per the Quality Control Programme.
- h. City/County Council Business Permit/Licence
- i. Copies of valid background check records and/or Police Clearance Certificates for the screeners or security personnel deployed for aviation security service
- j. List of Screeners, Training records and copies of Screener Certificates / Authorization from KCAA

Optional (Re-certification)

- k. Quality Control Programme
- l. List of Contracted Security Support Services/Back-Ups (if applicable -indicating name, address, location and contact person))
- m. List of all security personnel deployed/to be deployed for the Aviation Security Service(s) indicating areas deployed

- n. List of security equipment (owned or contracted) available for security operations including vehicles, radios, etc.
- o. Any other business-related or operational documents that the Applicant may produce or the Authority may request

Checklist:

None

Output

- a. Formal-Application Meeting Report
- b. Phase 2 Closure Notification

2.2.12.3 Phase 3

Input

Application Form:

None

Checklist:

- a. Aviation Security Service Providers Document Evaluation Checklist
- b. Aviation Security Service Providers Programme Compliance Checklist
- c. Aviation Security Service Providers Training Programme Compliance Checklist

Output

- a. Phase 3 Closure Notification

2.2.12.4 Phase 4

Input

Application Form:

- a. Audit / Inspection Plan - ASSP

Checklist:

- a. Aviation Security Service Providers Audit/Inspection Checklist

Output

- a. Interim Findings Report (IFR) - ASSP

2.2.12.5 Phase 5

Input

Application Form:

- a. Certificate Recommendations Form - ASSP

Checklist:

None

Output

- a. Certification Report with recommendations
- b. Surveillance Programme
- c. Schedule of Events
- d. Aviation Security Service Provider Certificate
- e. Updated ASSP Database
- f. Phase 5 Closure Notification

2.2.13 CERTIFICATION OF GROUND HANDLERS

2.2.13.1 Phase I

Input

Application Form:

- a. Prospective Ground Handlers Pre-Application Statement

Checklist:

None

Output

- a. Pre-Application Meeting Report
- b. Phase I Closure Notification

2.2.13.2 Phase 2

Input

Application Form/Documents:

Mandatory (Initial)

- a. Application Letter
- b. Ground Handler Security Programme (GHSP)
- c. Standard Operating Procedures or Work Instructions
- d. Ground Handler Security Training Programme (GHSTP)
- e. Internal Quality Control Programme
- f. Prospective GHA Pre-Assessment Statement (PGHAPS)
- g. KRA PIN/VAT Certificate
- h. City/County Council Business Permit/Licence
- i. Certificate of Incorporation
- j. Copies of Background Check records and/or Police Clearance Certificates for Screeners and other security staff (including Contracted security if applicable)
- k. List of Screeners, Training records and copies of Screener Certificates/Authorization from KCAA

Optional (Initial)

- l. Customer Airlines' Register/List
- m. Any other business-related or operational documents that the GHA may produce

Checklist:

None

Output

- a. Formal-Application Meeting Report
- b. Phase 2 Closure Notification

2.2.13.3 Phase 3

Input

Application Form:

None

Checklist:

- a. Ground Handlers Document Evaluation Checklist
- b. Ground Handlers Security Programme Compliance Checklist
- c. Ground Handlers Security Training Programme Compliance Checklist

Output

- a. Phase 3 Closure Notification

2.2.13.4 Phase 4

Input

Application Form:

- a. Audit/ Inspection Plan - GHA

Checklist:

- a. Ground Handlers Audit/Inspection Checklist

Output

- a. Interim Findings Report (IFR) – GHA

2.2.13.5 Phase 5

Input

Application Form:

- a. Certificate Recommendations Form - GHA

Checklist:

None

Output

- a. Certification Report with recommendations
- b. Surveillance Programme
- c. Schedule of Events
- d. Ground Handler Certificate

- e. Updated GHA Database
- f. Phase 5 Closure Notification

2.2.14 RE-CERTIFICATION OF GROUND HANDLERS

2.2.14.1 Phase I

Input

Application Form:

- a. Ground Handlers Assessment Form

Checklist:

None

Output

- a. Pre-Application Meeting Report
- b. Phase I Closure Notification

2.2.14.2 Phase 2

Input

Application Form:

Mandatory

- a. Application letter
- b. Ground Handler Security Programme (GHSP)
- c. Standard Operating Procedures or Work Instructions
- d. Ground Handler Security Training Programme (GHSTP)
- e. Internal Quality Control Programme
- f. Completed GHA Assessment Form (GHAF)
- g. City/County Council Business Permit/Licence
- h. Customer Airlines' Register/List
- i. Copy of GHA Certificate
- j. Copies of Background Check records and/or Police Clearance Certificates for Screeners and other security staff (including Contracted security if applicable)
- k. List/Names of Screeners, their Training records and copies of Screener Certificates/Authorization from KCAA
- l. Updated Corrective Action Plan / Report for Previous KCAA Audit / Inspection

Optional

- m. Any other business-related or operational documents that the GHA may produce

Checklist:

None

Output

- a. Formal Application Meeting Report

- b. Phase 2 Closure Notification

2.2.14.3 Phase 3

Input

Application Form:

None

Checklist:

- a. Ground Handlers Document Evaluation Checklist
- b. Ground Handlers Security Programme Compliance Checklist
- c. Ground Handlers Security Training Programme Compliance Checklist

Output

- a. Phase 3 Closure Notification

2.2.14.4 Phase 4

Input

Application Form:

- I. Audit / Inspection Plan - GHA

Checklist:

- I. Ground Handlers Audit/Inspection Checklist

Output

- a. Interim Findings Report (IFR) - GHA

2.2.14.5 Phase 5

Input

Application Form:

- I. Certificate Recommendations Form - GHA

Checklist:

None

Output

- a. Certification Report with recommendations
- b. Surveillance Programme
- c. Schedule of Events
- d. Ground Handler Certificate
- e. Updated GHA Database
- f. Phase 5 Closure Notification

2.2.15 ISSUANCE OF LOCAL APPROVED MAINTENANCE ORGANIZATIONS (AMO) CERTIFICATES AND SOPs - AIR19

2.2.15.1 Phase I

Input

Application Forms/ Documents

Letter of intent

Pre-Application Statement of Intent (PASI) Form,

Checklists

PASI Form evaluation checklist

Output

Reports

1. Pre-Application Meeting Minutes.
2. Attendance Sheet.
3. Nomination of Certification Team
4. Phase I Closure notice.

2.2.15.2 Phase II

Input

Application Forms/ Documents (Formal Application Package)

1. Formal Application Letter.
2. Pre-application Statement of Intent (PASI),
3. Document of Incorporation
4. Organizational Structure
5. Technical User Manuals
 - a) Maintenance Procedure Manual
 - b) Quality Assurance Manual if applicable
 - c) Safety Management Manual
 - d) AMO Training Programme Manual
6. Statement Of Compliance on Applicable Civil Aviation Regulations
 - a) Approved Maintenance Organization
 - b) Airworthiness
 - c) Personnel Licensing
 - d) Instrument & Equipment
 - e) Air Operator Certification & Administration
 - f) Approved Training Organization
 - g) Security
 - h) Air Navigation Services
 - i) Aircraft Accident & Incident Investigation
 - j) Aircraft Nationality & Registration Marks

- k) Operation of Aircraft for commercial air transport
 - l) Rules of the Air
 - m) Aerodromes
 - n) Safety Management
 - o) Surveillance and collision avoidance
7. Completed Maintenance Organization Proposed Certification Schedule of Events
 8. Management Personnel Biographical Data.,
 - a) Accountable Manager
 - b) Head of Quality
 - c) Head of Base maintenance
 - d) Head of Line maintenance
 - e) Head of safety
 - f) Head of workshop
 9. Record of certifying staff with minimum information contained in The Civil aviation (Approved Maintenance Organization) Regulations.
 10. List Of Other Technical Personnel
 - a) Supervisors
 - b) Technicians
 - c) Planners
 - d) Mechanic
 - e) Assessors
 11. A completed capability lists with minimum information contained in The Civil aviation (Approved Maintenance Organization) Regulations
 12. A completed Self-evaluation with minimum information contained in The Civil aviation (Approved Maintenance Organization) Regulations
 13. Copies of documents of Purchase, Leases, Contracts, agreements and/or Letters of Intent
 14. Specific Operating Provisions
 15. A list of all equipment and tools where the manufacturer specifies to complete a task requested by the AMO/ scope/rating identifying whether the manufacturer has identified the use of an equivalent. (Appropriate test equipment, Precision tools, Special tools, test stands, etc
 16. Base maintenance production man-hours plan showing that the AMO has sufficient man-hours for the intended work
 17. Facility requirements for the ratings sought, to include: The size of the facility and a facility floor plan (**to submit** facility specifications, floor plan etc. e.g. for hangar)

Checklists

1. Formal Application package checklist.
2. Manual Cursory Review checklist.

Output

Reports

1. Formal Application Meeting Minutes
2. Attendance Sheet.
3. Rejection of Formal Application Template letter
4. Phase 2 Closure Letter

2.2.15.3 Phase III

Input

Checklists

1. Maintenance Procedures Manual Evaluation Checklist.
2. Safety Management Manual Checklist.
3. Capability List Evaluation Checklist.
4. AMO Training Manual Evaluation Checklist.
5. Quality Manual Checklist.

Output

Reports

1. Acceptance/non-acceptance letters for each submission.
2. Phase 3 completion notification.

2.2.15.4 Phase IV

Input

Application Forms/ Documents

1. Corrective action request form,
2. Operator Corrective Action Plan,
3. Corrective Action Plan Evaluation & Tracking.

Checklists

1. AMO Inspection Job Aid Evaluation Checklist.
2. AMO Facilities and Equipment inspection Checklist.
3. Key Management personnel interview questionnaire.

Output

Reports

1. Inspection plan/schedule.
2. Attendance Sheet.
3. Manuals approval/acceptance letters.
4. Key management personnel acceptance letters.
5. Phase 4 Closure Letter.

2.2.15.5 Phase V

Input

Application Forms/ Documents

1. Recommendation for Issuance of Approval.

2. Certification Schedule of Events
3. Specific Operating Provisions.
4. Certification report template.
5. Summary of difficulties template.
6. Surveillance programme template.
7. Approval Certificate template

Output

Reports

1. Certification report.
2. Summary of difficulties.
3. Certification Schedule of Events
4. Surveillance programme.
5. Approval Certificate.
6. SOPs
7. Phase 5 Closure Letter

2.2.16 VARIATION OF LOCAL APPROVED MAINTENANCE

ORGANIZATIONS (AMOS) CERTIFICATES AND SOPs – AIR20

2.2.16.1 Phase I

Input

Application Forms/ Documents

1. Pre-Application Statement of Intent (PASI) Form,

Checklists

1. PASI Form evaluation checklist

Output

Reports

1. Pre-Application Meeting Minutes.
2. Attendance Sheet.
3. Nomination of Variation Team
4. Phase I Closure notice.

2.2.16.2 Phase II

Input

Application Forms/ Documents (Formal Application Package)

1. Formal Application Letter.
2. Pre-application Statement of Intent (PASI),
3. Document of Incorporation
4. Organizational Structure

5. Technical User Manuals
 - a) Maintenance Procedure Manual
 - b) Quality Assurance Manual if applicable
 - c) Safety Management Manual if applicable
 - d) AMO Training Programme Manual if applicable
6. Statement Of Compliance on Applicable Civil Aviation Regulations
 - a) Approved Maintenance Organization
 - b) Airworthiness
 - c) Personnel Licensing
7. Completed Maintenance Organization Proposed Certification Schedule of Events
8. Management Personnel Biographical Data.,
 - a) Head of Base maintenance if applicable
 - b) Head of Line maintenance if applicable
 - c) Head of workshop if applicable
9. Record of certifying staff with minimum information contained in The Civil aviation (Approved Maintenance Organization) Regulations.
10. List Of Other Technical Personnel
 - a) Supervisors
 - b) Technicians
 - c) Planners
 - d) Mechanic
 - e) Assessors
11. A completed capability lists with minimum information contained in The Civil aviation (Approved Maintenance Organization) Regulations
12. Copies of documents of Purchase, Leases, Contracts, agreements and/or Letters of Intent
13. Specific Operating Provisions
14. A list of all equipment and tools where the manufacturer specifies to complete a task requested by the AMO/ scope/rating identifying whether the manufacturer has identified the use of an equivalent. (Appropriate test equipment, Precision tools, Special tools, test stands, etc
15. Base maintenance production man-hours plan showing that the AMO has sufficient man-hours for the intended work
16. Facility requirements for the ratings sought, to include: The size of the facility and a facility floor plan (**to submit** facility specifications, floor plan etc. e.g. for hangar)

Checklists

1. Formal Application package checklist.
2. Manual Cursory Review checklist.

Output

Reports

1. Formal Application Meeting Minutes

2. Attendance Sheet.
3. Rejection of Formal Application Template letter
4. Phase 2 Closure Letter

2.2.16.3 Phase III

Input

Application Forms/ Documents

Checklists

1. Maintenance Procedures Manual Evaluation Checklist.
2. Safety Management Manual Checklist if applicable.
3. Capability List Evaluation Checklist.
4. AMO Training Manual Evaluation Checklist if applicable.
5. Quality Manual Checklist if applicable.

Output

Reports

1. Acceptance/non-acceptance letters for each submission.
2. Phase 3 completion notification.

2.2.16.4 Phase IV

Input

Application Forms/ Documents

1. Corrective action request form
2. Operator Corrective Action Plan
3. Corrective Action Plan Evaluation & Tracking

Checklists

1. AMO Inspection Job Aid Evaluation Checklist.
2. AMO Facilities and Equipment inspection Checklist.
3. Key Management personnel interview questionnaire.

Output

Reports

1. Inspection plan/schedule.
2. Attendance Sheet.
3. Manuals approval/acceptance letters.
4. Key management personnel acceptance letters.
5. Phase 4 Closure Letter.

2.2.16.5 Phase V

Input

Application Forms/ Documents

1. Recommendation for Issuance of Approval
2. Certification Schedule of Events
3. Specific Operating Provisions
4. Variation report template.
5. Summary of difficulties template.
6. Surveillance programme template.

Checklists

NA

Output

Reports

1. Variation report.
2. Summary of difficulties.
3. Certification Schedule of Events
4. Surveillance programme.
5. Approval Certificate.
6. SOPs
7. Phase 5 Closure Letter

2.2.17 ISSUANCE OF AIRCRAFT SPARES STOCKIST APPROVALS – AIR21

2.2.17.1 Phase I

Input

Application Forms/ Documents

Letter of intent

Pre-Application Statement of Intent (PASI) Form

Checklists

PASI Form evaluation checklist

Output

Reports

1. Pre-Application Meeting Minutes.
2. Attendance Sheet.
3. Nomination of Certification Team
4. Phase I Closure notice.

2.2.17.2 Phase II

Input

Application Forms/ Documents (Formal Application Package)

1. Formal Application Letter.
2. Pre-application Statement of Intent (PASI),
3. Document of Incorporation
4. Organizational Structure
5. Spares Stockist Procedure Manual
6. Statement Of Compliance on Applicable Civil Aviation Regulations
 - a) Approved Maintenance Organization (Applicable Regulation)
7. Completed Maintenance Organization Proposed Certification Schedule of Events .
8. Management Personnel Biographical Data.
 - a) Accountable Manager
 - b) Head of Quality
9. Record of certifying staff with minimum information contained in The Civil aviation (Approved Maintenance Organization) Regulations.
10. List Of Other Technical Personnel
 - a) Stores inspector
11. Copies of documents of Purchase, Leases, Contracts, agreements and/or Letters of Intent
12. The size of the facility and a facility floor plan (**to submit** facility specifications, floor plan etc)

Checklists

1. Formal Application package checklist.
2. Manual Cursory Review checklist.

Output

Reports

1. Formal Application Meeting Minutes
2. Attendance Sheet.
3. Rejection of Formal Application Template letter
4. Phase 2 Closure Letter

2.2.17.3 Phase III

Input

Application Forms/ Documents from Formal application package

Checklists

Spares Stockist Procedure Manual Evaluation Checklist

Output

Reports

1. Acceptance/non-acceptance letters for each submission.
2. Phase 3 completion notification

2.2.17.4 Phase IV

Input

Application Forms/ Documents

1. Corrective action request form
2. Operator Corrective Action Plan
3. Corrective Action Plan Evaluation & Tracking

Checklists

1. AMO Facilities and Equipment inspection Checklist.
2. Key Management personnel interview questionnaire (optional).

Output

Reports

1. Inspection plan/schedule.
2. Attendance Sheet.
3. Manuals approval letter.
4. Key management personnel acceptance letters.
5. Phase 4 Closure Letter.

2.2.17.5 Phase V

Input

Application Forms/ Documents

1. Recommendation for Issuance of Approval
2. Certification Schedule of Events
3. Specific Operating Provisions template.
4. Certification report template.
5. Summary of difficulties template.
6. Surveillance programme template.
7. Approval Certificate template

Checklists

Output

Reports

1. Certification report.
2. Summary of difficulties.
3. Certification Schedule of Events
4. Surveillance programme
5. Approval Certificate.
6. Phase 5 Closure Letter

2.2.18 ISSUANCE OF QUALITY ASSURANCE SERVICE PROVIDER – AIR22

2.2.18.1 Phase I

Input

Application Forms/ Documents

Application For issue/ renewal of approval and Recognition as a Civil Aviation quality Assurance Service Provider

Checklists

Output

Reports

1. Pre-Application Meeting Minutes.
2. Attendance Sheet.
3. Nomination of Certification Team
4. Phase I Closure notice.

2.2.18.2 Phase II

Input

Application Forms/ Documents (Formal Application Package)

1. Formal Application Letter.
2. Application For issue/ renewal of approval and Recognition as a Civil Aviation quality Assurance Service Provider
3. Document of Incorporation
4. Organizational Structure
5. Quality Assurance Manual
6. Statement Of Compliance on Applicable Civil Aviation Regulations
- b) Approved Maintenance Organization (Applicable Regulations)
- c) Air Operator Certification administration (Applicable Regulations)
- d) Approved Training Organization (Applicable Regulations)
7. Completed Maintenance Organization Proposed Certification Schedule of Events f.
8. Management Personnel Biographical Data., .
 - a) Accountable Manager
 - b) Head of Quality
9. List Of Other Technical Personnel
 - a) Quality Auditors
10. Copies of documents of Purchase, Leases, Contracts, agreements and/or Letters of Intent
11. The size of the facility and a facility floor plan (to submit facility specifications, floor plan etc)

Checklists

1. Formal Application package checklist.

2. Manual Cursory Review checklist.

Output

Reports

1. Formal Application Meeting Minutes
2. Attendance Sheet.
3. Rejection of Formal Application Template letter
4. Phase 2 Closure Letter

2.2.18.3 Phase III

Input

Application Forms/ Documents

Checklists

Approval of Quality Systems/ Manual Checklist

Output

Reports

1. Acceptance/non-acceptance letters for each submission.
2. Phase 3 completion notification.

2.2.18.4 Phase IV

Input

Application Forms/ Documents

1. Corrective action request form
2. Operator Corrective Action Plan
3. Corrective Action Plan Evaluation & Tracking

Checklists

1. MO Inspection job aid Evaluation Checklist.
2. AMO Facilities and Equipment inspection Checklist.
3. Key Management personnel interview questionnaire.

Output

Reports

1. Inspection plan/schedule.
2. Attendance Sheet.
3. Manuals approval letter.
4. Key management personnel acceptance letters.
5. Phase 4 Closure Letter.

2.2.18.5 Phase V

Input

Application Forms/ Documents

1. Recommendation for Issuance of Approval

2. Certification Schedule of Events
3. Specific Operating Provisions
4. Certification report template.
5. Summary of difficulties template.
6. Surveillance programme template.
7. Approval Certificate template

Checklists

Output

Reports

1. Certification report.
2. Summary of difficulties.
3. Certification Schedule of Events
4. Surveillance programme.
5. Approval Certificate.
6. Phase 5 Closure Letter

2.2.19 ISSUANCE OF AERODROME CERTIFICATE

2.2.19.1 Phase I

Input

Application Forms/ Documents

1. Expression of interest
2. Pre-Application Meeting Minutes
3. Advisory Circular on Certification of Aerodromes
4. Advisory Circular on Applying for an Aerodrome Licence or Certificate

Checklists

1. N/A

Output

Report on the outcome of the pre-application phase

1. N/A

2.2.19.2 Phase II

Input

Application Forms/ Documents (Formal Application Package)

1. Formal application letter
2. Application form for an Aerodrome Certificate
3. Aerodrome Manual
4. Aerodrome Emergency Plan
5. Aerodrome Maintenance plan
6. Aerodrome Safety Management Manual
7. Aerodrome Wildlife Hazard Management Plan if applicable
8. Formal Application package checklist.
9. Manual Cursory Review checklist.

Checklists

1. Application package checklist

Output

Report

1. A report on the outcome of the formal application
2. Minutes of the formal application
3. Confirmation letter of the formal application phase
4. Formal Application Meeting Minutes
5. Attendance Sheet.
6. Rejection of Formal Application Template letter
7. Phase 2 Closure Letter

2.2.19.3 Phase III

Input

Application Forms/ Documents

Checklists

1. Checklist for Initial Evaluation of Aerodrome Manual.
2. Checklist for Evaluation of Aerodrome Emergency Plan
3. Evaluation of Service Provider's Safety Management Systems Manual

Output

Reports

1. Document evaluation Reports
2. Approved manuals
3. Aerodrome Manual approval letter
4. Report on the team composition for the review of the manuals

2.2.19.4 Phase IV

Input

Application Forms/ Documents

1. Corrective action request form
2. Operator Corrective Action Plan
3. Corrective Action Plan Evaluation & Tracking

Checklists

1. Checklist for Inspection of Category A Aerodromes
2. Checklist for Inspection of Pavements Maintenance
3. Checklist for Inspection of Obstacle Control Procedures
4. Checklist for Runway Friction Assessment
5. Checklist for on Site Evaluation of Aerodrome Manual
6. Checklist for Inspection of Aerodrome Markings & Other systems
7. Checklist for Physical characteristics
8. Checklist for Inspection of Visual Aids for Navigation
9. Checklist on Above Ground Level (AGL)
10. Checklist for Inspection of Aerodrome Signage
11. Checklist for Inspection of Aerodrome Markers
12. Checklist on Electrical Systems
13. Service Provider's Initial SMS assessment Checklist

Output

Reports

1. Inspection plan/schedule.
2. Entry/Exit Briefing Meeting - Attendance Sheet.

3. Audit report template
4. Phase IV Closure Letter.
5. Completed and approved audit reports

2.2.19.5 Phase V

Input

Application Forms/ Documents

1. Recommendation for Issuance of Renewal-Aerodrome Certification form
2. Surveillance programme template.
3. Aerodrome Certificate
4. Surveillance plan

Checklists

1. N/A

Output

Reports

1. Report of request for promulgation of Certificate in AIP
2. Phase V completion notification.

2.2.20 RENEWAL OF AERODROME CERTIFICATE

2.2.20.1 Phase I

Input

Application Forms/ Documents

1. Expression of interest
2. Advisory Circular on the Certification of Aerodromes
3. Advisory Circular Applying for the renewal of the Aerodrome Certificate

Checklists

1. Application requirements checklist

Output

Reports

1. Pre-Application Meeting Minutes.
2. Attendance Sheet.
3. Phase I Closure notice

2.2.20.2 Phase II

Input

Application Forms/ Documents (Formal Application Package)

1. Formal application letter
2. Application form for an Aerodrome Certificate/Renewal /Amendment

3. Formal-Application Meeting Minutes template
4. Aerodrome Manual
5. Aerodrome Emergency Plan
6. Aerodrome Maintenance plan
7. Aerodrome Safety Management Manual
8. Aerodrome Wildlife Hazard Management Plan

Checklists

1. Application package checklist (to be developed)

Output

Reports

1. Formal Application Meeting Minutes
2. Attendance Sheet.
3. Rejection of Formal Application letter
4. Phase II Closure Letter

2.2.20.3 Phase III

Input

Application Forms/ Documents

Checklists

1. Checklist for Initial Evaluation of Aerodrome Manual.
2. Checklist for Evaluation of Aerodrome Emergency Plan
3. Evaluation of Service Provider's Safety Management Systems Manual

Output

Reports

1. Document evaluation Reports
2. Aerodrome Manual approval letter

2.2.20.4 Phase IV

Input

Application Forms/ Documents

1. Corrective action request form.
2. Operator Corrective Action Plan,
3. Corrective Action Plan Evaluation & Tracking,

Checklists

1. Checklist for Inspection of Category A Aerodromes
2. Checklist for Inspection of Pavements Maintenance
3. Checklist for Inspection of Obstacle Control Procedures
4. Checklist for Runway Friction Assessment
5. Checklist for on Site Evaluation of Aerodrome Manual
6. Checklist for Inspection of Aerodrome Markings & Other systems

7. Checklist for Physical characteristics
8. Checklist for Inspection of Visual Aids for Navigation
9. Checklist on AGL
10. Checklist for Inspection of Aerodrome Signage
11. Checklist for Inspection of Aerodrome Markers
12. Checklist on Electrical Systems
13. Service Provider's Initial SMS assessment Checklist

Output

Reports

1. Inspection plan/schedule.
2. Entry/Exit Briefing Meeting - Attendance Sheet.
3. Audit report template

2.2.20.5 Phase V

Input

Application Forms/ Documents

1. Recommendation for Issuance of Approval Aerodrome Certification-Licensing recommendation form A +B
2. Certification report
3. Surveillance programme.
4. Aerodrome Certificate

Checklists

1. N/A

Output

Reports

1. Report of request for promulgation of Certificate in AIP
2. Phase V completion notification.

2.2.21 AMENDMENT OF AERODROME CERTIFICATE

2.2.21.1 Phase I

Input

Application Forms/ Documents

1. Expression of interest
2. Form for the request of an aerodrome certificate

Checklists

1. N/A

Output

Reports

1. Assessment on the completeness of the amendment request

2.2.21.2 Phase II

Input

Application Forms/ Documents (Formal Application Package)

1. Formal application letter
2. Application form for an Aerodrome Certificate/Renewal /Amendment
3. Operator documents

Checklists

1. N/A

Output

Reports

1. N/A

2.2.21.3 Phase III

Input

Application Forms/ Documents

Checklists

1. To be availed by department

Output

Reports

1. Document evaluation Reports

2.2.21.4 Phase IV

Input

Application Forms/ Documents

1. N/A

Checklists

1. N/A

Output

Reports

1. N/a

2.2.21.5 Phase V

Input

Application Forms/ Documents

1. Recommendation for Amendment of aerodrome Certificate
2. Surrender of Certificate/License/Registration of approval letter

Checklists

1. N/A

Output

Reports

1. Final Report of for Amendment of aerodrome certificate
2. Request for amendment of Certificate in AIP

2.2.22 CANCELLATION OF AERODROME CERTIFICATE

2.2.22.1 Phase I

Input

Application Forms/ Documents

1. Expression of interest
2. TGMS to be developed and availed.

Checklists

1. N/A

Output

Reports

1. N/A

2.2.22.2 Phase II

Input

Application Forms/ Documents (Formal Application Package)

1. Formal application letter
2. Operator documents

Checklists

1. To be developed and availed

Output

Reports

1. N/A

2.2.22.3 Phase III

Input

Application Forms/ Documents

Checklists

1. To be developed

Output

Reports

1. Document evaluation Reports

2.2.22.4 Phase IV

Input

Application Forms/ Documents

1. N/A

Checklists

1. N/A

Output

Reports

1. N/A

2.2.22.5 Phase V

Input

Application Forms/ Documents

1. Recommendation for Revocation /cancellation of aerodrome Certificate
2. Surrender of Certificate/License/Registration of approval letter

Checklists

1. N/A

Output

Reports

1. Final Report of for cancellation /revocation of aerodrome certificate
2. Request for removal of Certificate in AIP

2.2.23 ISSUANCE OF AERODROME LICENCE

2.2.23.1 Phase I

Input

Application Forms/ Documents

1. Expression of interest
2. Applying for an Aerodrome Licence or Certificate
3. Advisory Circular on Guidance on Construction, Licensing & operation of ADs handling aircraft not exceeding MTOW of 5700 kg
4. Advisory Circular on Guidance on Design, construction and Operation of Category D Aerodromes - Heliports

Checklists

1. Application requirements checklist

Output

Reports

1. Pre-Application Meeting Minutes.
2. Attendance Sheet.
3. Phase I Closure notice

2.2.23.2 Phase II

Input

Application Forms/ Documents (Formal Application Package)

1. Formal application letter
2. Application form for an Aerodrome License
3. Formal-Application Meeting Minutes
4. Aerodrome Manual

Checklists

1. Application package checklist

Output

Reports

1. Formal Application Meeting Minutes
2. Attendance Sheet.
3. Rejection of Formal Application letter
4. Phase II Closure Letter

2.2.23.3 Phase III

Input

Application Forms/ Documents

Checklists

1. Checklist for Initial Evaluation of Aerodrome Manual for Category C
2. Checklist for Initial Evaluation of Aerodrome Manual for Category D

Output

Reports

1. Document evaluation Reports
2. Aerodrome Manual approval letter

2.2.23.4 Phase IV

Input

Application Forms/ Documents

1. Corrective action request form,
2. Operator Corrective Action Plan,
3. Corrective Action Plan Evaluation & Tracking,

Checklists

1. Checklist for Inspection of Category C Aerodromes
2. Checklist for Inspection of Category B Aerodromes
3. Checklist for Inspection of Category D Aerodromes

Output

Reports

1. Inspection plan/schedule.
2. Entry/Exit Briefing Meeting - Attendance Sheet.
3. Audit report template FORM

2.2.23.5 Phase V

Input

Application Forms/ Documents

1. Recommendation for Issuance of Approval – Aerodrome Certification-Licensing recommendation form A and B
2. Recommendation for Issuance of Approval –Aerodrome Certification-Licensing recommendation form C, D and E
3. Licensing report
4. Surveillance Programme
5. Aerodrome License

Checklists

1. N/A

Output

Reports

1. Report of request for promulgation of License in AIP
2. Phase V completion notification.

2.2.24 RENEWAL OF AERODROME LICENCE

2.2.24.1 Phase I

Input

Application Forms/ Documents

1. Expression of interest

Checklists

2. Application requirements checklist

Output

Reports

4. Pre-Application Meeting Minutes.
5. Attendance Sheet.
6. Phase I Closure notice

2.2.24.2 Phase II

Input

Application Forms/ Documents (Formal Application Package)

1. Formal application letter
2. Application form for an Aerodrome License
3. Formal-Application Meeting Minutes
4. Aerodrome Manual
5. Renewal of aerodrome licence application form

Checklists

2. Application package checklist

Output

Reports

1. Formal Application Meeting Minutes
2. Attendance Sheet.
3. Rejection of Formal Application letter
4. Phase II Closure Letter

2.2.24.3 Phase III

Input

Application Forms/ Documents

Checklists

1. Checklist for Evaluation of Aerodrome Manual for Category C aerodromes
2. Checklist for Evaluation of Aerodrome Manual for Category D aerodromes

Output

Reports

1. Document evaluation Reports
2. Aerodrome Manual approval letter

2.2.24.4 Phase IV

Input

Application Forms/ Documents

1. Corrective action request form
2. Operator Corrective Action Plan
3. Corrective Action Plan Evaluation & Tracking

Checklists

1. Checklist for Inspection of Category C Aerodromes
2. Checklist for Inspection of Category B Aerodromes
3. Checklist for Inspection of Category D Aerodromes

Output

Reports

4. Inspection plan/schedule.
5. Entry/Exit Briefing Meeting - Attendance Sheet.
6. Audit report form

2.2.24.5 Phase V

Input

Application Forms/ Documents

6. Recommendation for Issuance of Approval – Aerodrome Certification-Licensing recommendation form A and B
7. Recommendation for Issuance of Approval – Aerodrome Certification-Licensing recommendation form C, D and E
8. Licensing report
9. Surveillance Programme.
10. Aerodrome Licence

Checklists

2. N/A

Output

Reports

1. Report of request for promulgation of Licence in AIP
2. Phase V completion notification.

2.2.25 AMENDMENT OF AERODROME LICENCE

2.2.25.1 Phase I

Input

Application Forms/ Documents

1. Expression of interest

2. Form for the request of aerodrome licence

Checklists

N/A

Output

Report

1. Pre-Application Meeting Minutes (where applicable).
2. Attendance Sheet (where applicable).
3. Phase I Closure notice

2.2.25.2 Phase II

Input

Application Forms/ Documents (Formal Application Package)

1. Formal application letter for amendment
2. Application form for Aerodrome Licence /Renewal /amendment
3. Operator documents

Checklists

N/A

Output

Reports

1. Assessment on the completeness of the amendment request
2. Phase II Closure Letter

2.2.25.3 Phase III

Input

Application Forms/ Documents

Checklists

To be availed

Output

Reports

1. Document evaluation Reports
2. Phase III Closure Letter

2.2.25.4 Phase IV

Input

Application Forms/ Documents

N/A

Checklists

N/A

Output

Reports

1. Phase IV Closure Letter

2.2.25.5 Phase V

Input

Application Forms/ Documents

1. Recommendation for Amendment of Aerodrome Licence
2. Surrender of Licence

Checklists

1. N/A

Output

Reports

1. Final Report of the Amendment of Aerodrome Licence
2. Report of request for promulgation of amendment of License in AIP
3. Phase V completion notification.

2.2.26 CANCELLATION OF LICENSING OF AERODROMES

2.2.26.1 Phase I

Input

Application Forms/ Documents

1. Expression of interest
2. TGMs to be developed and availed

Checklists

N/A

Output

Reports

1. Pre-Application Meeting Minutes.
2. Attendance Sheet.
3. Phase I Closure notice

2.2.26.2 Phase II

Input

Application Forms/ Documents (Formal Application Package)

1. Formal application letter
2. Application form for an Aerodrome License Amendment
3. Operator documents

Checklists

1. To be developed

Output

Reports

1. Assessment on the completeness of the cancellation request
2. Phase II Closure Letter

2.2.26.3 Phase III

Input

Application Forms/ Documents

Checklists

1. To be developed

Output

Reports

1. Document evaluation Reports
2. Phase III Closure Letter

2.2.26.4 Phase IV

Input

Application Forms/ Documents

N/A

Checklists

N/A

Output

Reports

1. Phase III Closure Letter

2.2.26.5 Phase V

Input

Application Forms/ Documents

1. Recommendation for Revocation/Cancellation of Aerodrome Licence
2. Surrender of Aerodrome Licence

Checklists

N/A

Output

Reports

1. Final Report for Cancellation /revocation of Aerodrome Licence
2. Request for removal of License in AIP
3. Phase V completion notification.

2.2.27 REGISTRATION OF AERODROMES

2.2.27.1 Phase I

Input

Application Forms/ Documents

1. Expression of interest
2. Preparation Submission and Follow-up of Corrective Action Plans
3. Guidance on Construction, Licensing & operation of ADs handling aircraft not exceeding MTOW of 5700 kg

Checklists

1. Application requirements checklist

Output

Reports

1. Pre-Application Meeting Minutes.
2. Attendance Sheet.
3. Phase I Closure notice

2.2.27.2 Phase II

Input

Application Forms/ Documents (Formal Application Package)

1. Formal application letter
2. Application form for an Aerodrome Registration Approval
3. Formal-Application Meeting Minutes template
4. Self-Reporting Form

Checklists

1. Application package checklist

Output

Reports

1. Formal Application Meeting Minutes
2. Attendance Sheet.
3. Rejection of Formal Application letter
4. Phase II Closure Letter

2.2.27.3 Phase III

Input

Application Forms/ Documents

1. Self-Reporting Form

Checklists

1. Checklist for Evaluation of Aerodrome Self reporting Form

Output

Reports

1. Document evaluation Reports
2. Self-Reporting Form approval letter
3. Phase III Closure Letter

2.2.27.4 Phase IV

Input

Application Forms/ Documents

1. Corrective action request form,
2. Operator Corrective Action Plan,
3. Corrective Action Plan Evaluation & Tracking,

Checklists

1. Checklist for Inspection of Category E Aerodromes

Output

Reports

1. Inspection plan/schedule.
2. Entry/Exit Briefing Meeting - Attendance Sheet.
3. Audit report template FORM

2.2.27.5 Phase V

Input

Application Forms/ Documents

1. Recommendation for Issuance of Approval – Aerodrome Certification-Licensing recommendation form C, D and E
2. Registration report
3. Surveillance Programme.
4. Aerodrome Registration Approval

Checklists

1. N/A

Output

Reports

1. Report of request for promulgation of Registration Approval in AIP
2. Phase V completion notification.

2.2.28 RENEWAL OF AERODROME REGISTRATION

2.2.28.1 Phase I

Input

Application Forms/ Documents

1. Expression of interest

Checklists

1. Application requirements checklist

Output

Reports

1. Pre-Application Meeting Minutes.
2. Attendance Sheet.
3. Phase I Closure notice

2.2.28.2 Phase II

Input

Application Forms/ Documents (Formal Application Package)

1. Formal application letter
2. Application form for an Aerodrome Registration
3. Formal-Application Meeting Minutes
4. Self-Reporting Form

Checklists

1. Application package checklist

Output

Reports

1. Formal Application Meeting Minutes
2. Attendance Sheet.
3. Rejection of Formal Application letter
4. Phase II Closure Letter

2.2.28.3 Phase III

Input

Application Forms/ Documents

Checklists

1. Checklist for Evaluation of Aerodrome Self reporting Form

Output

Reports

1. Document evaluation Reports
2. Self-Reporting Form approval letter
3. Phase III Closure Letter

2.2.28.4 Phase IV

Input

Application Forms/ Documents

1. Corrective action request form,
2. Operator Corrective Action Plan,
3. Corrective Action Plan Evaluation & Tracking,

Checklists

1. Checklist for Inspection of Category E Aerodromes

Output

Reports

1. Inspection plan/schedule.
2. Entry/Exit Briefing Meeting - Attendance Sheet.
3. Audit report form
4. Phase IV Closure Letter

2.2.28.5 Phase V

Input

Application Forms/ Documents

1. Recommendation for Issuance of Approval –Aerodrome Certification-Licensing recommendation form C, D and E
2. Registration report
3. Surveillance Programme.
4. Aerodrome Registration Approval

Checklists

3. N/A

Output

Reports

1. Report of request for promulgation of Registration Approval in AIP
2. Phase V completion notification.

2.2.29 AMENDMENT OF AERODROME REGISTRATION APPROVAL

2.2.29.1 Phase I

Input

Application Forms/ Documents

1. Expression of interest (Email/Phone call/ Letter of inquiry, meeting)
2. Form for the request of amendment of aerodrome registration

Checklists

N/A

Output

Report

1. Pre-Application Meeting Minutes (where applicable).
2. Attendance Sheet (where applicable).
3. Phase I Closure notice

2.2.29.2 Phase II

Input

Application Forms/ Documents (Formal Application Package)

1. Formal application letter for amendment
2. Application form for Aerodrome Registration /Renewal /amendment

Checklists

N/A

Output

Reports

1. Assessment on the completeness of the amendment request
2. Phase II Closure Letter

2.2.29.3 Phase III

Input

Application Forms/ Documents

1. Operator documents

Checklists

To be availed

Output

Reports

1. Document evaluation Reports
2. Phase III Closure Letter

2.2.29.4 Phase IV

Input

Application Forms/ Documents

N/A

Checklists

N/A

Output

Reports

1. Phase IV Closure Letter

2.2.29.5 Phase V

Input

Application Forms/ Documents

1. Recommendation for Amendment of Aerodrome Registration Approval
2. Surrender of Aerodrome Registration Approval

Checklists

2. N/A

Output

Reports

1. Final Report of the Amendment of Aerodrome Registration Approval
2. Report of request for promulgation of amendment of Aerodrome Registration Approval in AIP
3. Phase V completion notification.

2.2.30 CANCELLATION OF AERODROME REGISTRATION APPROVAL

2.2.30.1 Phase I

Input

Application Forms/ Documents

1. Expression of interest
2. TGMs to be developed and availed

Checklists

N/A

Output

Reports

1. Pre-Application Meeting Minutes.
2. Attendance Sheet.
3. Phase I Closure notice

2.2.30.2 Phase II

Input

Application Forms/ Documents (Formal Application Package)

1. Formal application letter
2. Application form for an Aerodrome Registration Approval Cancellation

Checklists

1. To be developed

Output

Reports

1. Assessment on the completeness of the cancellation request
2. Phase II Closure Letter

2.2.30.3 Phase III

Input

Application Forms/ Documents

Checklists

1. To be developed

Output

Reports

1. Document evaluation Reports
2. Phase III Closure Letter

2.2.30.4 Phase IV

Input

Application Forms/ Documents

N/A

Checklists

N/A

Output

Reports

2. Phase III Closure Letter

2.2.30.5 Phase V

Input

Application Forms/ Documents

1. Recommendation for Revocation/Cancellation of Aerodrome Registration Approval
2. Surrender of Aerodrome Registration Approval

Checklists

N/A

Output

Reports

1. Final Report for Cancellation /revocation of Aerodrome Registration Approval
2. Request for removal of Aerodrome Registration Approval in AIP
3. Phase V completion notification.

2.2.31 ISSUANCE OF AERODROME CONSTRUCTION PERMITS

2.2.31.1 Phase I

Input

Application Forms/ Documents

1. Expression of interest (Email/Phone call/ Letter of inquiry)
2. Advisory Circular on Guidance on Construction, Licensing & operation of ADs handling aircraft not exceeding MTOW of 5700 kg

Checklists

1. N/A

Output

Reports

1. Pre-Application Meeting Minutes.
2. Attendance Sheet.
3. Phase I Closure notice

2.2.31.2 Phase II

Input

Application Forms/ Documents (Formal Application Package)

1. Formal application letter
2. Application form for Constuction of Aerodrome
3. Formal-Application Meeting Minutes template
4. Formal Application Package (Depending on area of construction- Letter of objection)

Checklists

1. Application package checklist

Output

Reports

1. Formal Application Meeting Minutes
2. Attendance Sheet.
3. Rejection of Formal Application letter
4. Phase II Closure Letter

2.2.31.3 Phase III

Input

Checklists

1. Package checklist

Output

Reports

1. Document Evaluation Report

2.2.31.4 Phase IV

Input

Application Forms/ Documents

1. Forms for Demonstration and Inspection

Checklists

1. Checklist for Inspection to be developed

Output

Reports

1. Inspection plan/schedule.
2. Entry/Exit Briefing Meeting - Attendance Sheet.
3. Audit report template

2.2.31.5 Phase V

Input

Application Forms/ Documents

1. Recommendation for Issuance of Aerodrome Construction Permit
2. Construction Permit

Checklists

1. N/A

Output

Reports

1. N/A

2.2.32 APPLICATIONS FOR HEIGHT APPROVAL OF AERIAL STRUCTURES, MASTS, WIND TURBINES, POWER LINES AND BUILDINGS OR STRUCTURES IN THE VICINITY OF AERODROMES

2.2.32.1 Phase I

Input

Application Forms/ Documents

1. Expression of interest
2. List of applicable TGMs

Checklists

1. Application requirements checklist

Output

Reports

1. Pre-Application Meeting Minutes.
2. Attendance Sheet.
3. Phase I Closure notice

2.2.32.2 Phase II

Input

Application Forms/ Documents (Formal Application Package)

1. Formal application letter
2. Aerial masts and other structures application form
3. Application documents (plans, NEMA, KAA, MOD comments, etc.)
4. Formal-Application Meeting Minutes template

Checklists

1. N/A

Output

Reports

1. Formal Application Meeting Minutes
2. Attendance Sheet.

2.2.32.3 Phase III

Input

Application Forms/ Documents

Checklists

1. Document evaluation Checklist

Output

Reports

1. N/A

2.2.32.4 Phase IV

Input

Application Forms/ Documents

1. N/A

Checklists

1. Checklist for Inspection of Aerial Masts/Powerlines/Buildings/Towers/Chimneys/Cranes and other Structures

Output

Reports

1. Inspection plan/schedule.
2. Entry/Exit Briefing Meeting - Attendance Sheet.
3. Audit report template
4. Technical analysis report (recommendation report)

2.2.32.5 Phase V

Input

Application Forms/ Documents

1. Recommendation for Issuance of Approval letter–
2. Surveillance programme.
3. Approval Letter

Checklists

1. N/A

Output

Reports

1. N/A

2.2.33 CERTIFICATION OF ANSPs

2.2.33.1 Phase I

Input

Application Forms/ Documents

1. Expression of interest
2. Pre-Application Meeting Minutes template
3. Advisory Circular on Certification of ANSP
4. Certification of ANSP Regulations

Checklists

1. Application requirements checklist

Output

Reports

1. Pre-Application Meeting Minutes.
2. Attendance Sheet.
3. Phase I Closure notice

2.2.33.2 Phase II

Input

Application Forms/ Documents (Formal Application Package)

1. ANSP Application form
2. Manual of Air Navigation Services Operations (MANSOPs)
3. SMS Manual
4. Quality Manual
5. Security Procedures Manual
6. ISO Procedures
7. Proof of Financial Capability
8. Profiles of Key Personnel
9. Evidence of Payment

Checklists

1. Advisory Circular on the Development of MANSOPs

Output

Reports

1. Formal-Application Meeting Minutes – Where Applicable
2. Attendance Sheet.
3. Approval / Rejection of Formal Application letter
4. Phase 2 Closure Letter
5. Certification Team with a Designated Team Leader

2.2.33.3 Phase III

Input

Application Forms/ Documents

Checklists

1. Checklist for Approval of Manual of Air Navigation Services Operations

Output

Reports

1. Filled MANSOPS evaluation Checklist
2. Other documents evaluation reports
3. Approved Manuals and Recommendation to proceed to Phase 4
4. Manual approval letter - MANSOPs
5. Phase 3 Closure Letter

2.2.33.4 Phase IV

Input

Application Forms/ Documents

1. Corrective action request form
2. Operator Corrective Action Plan form
3. Corrective Action Plan Evaluation & Tracking.

Checklists

1. ATM Checklist
2. ATM & SAR Checklist
3. ATM HQs Checklist
4. SAR Inspection / Audit Checklist
5. AIS AD Checklist
6. NOF Checklist
7. AIS HQS-Checklist
8. PANS-OPS-Checklist
9. MET Inspection Checklist

10. Service Provider's Initial SMS Assessment Checklist
11. Evaluation Of Service Provider's Safety Management Systems Manual
12. Service Provider's Routine SMS Assessment Checklist
13. Aeronautical Charts/Products Verification And Validation Checklist
14. Aeronautical Navigation Chart Checklist
15. Aerodrome Obstacle Chart Checklist
16. Precision Approach Terrain Chart Checklist
17. En-route Chart Checklist
18. Instrument Approach Chart Checklist
19. Visual Approach Chart Checklist
20. Aerodrome/Heliport Chart Checklist
21. Aerodrome Ground Movement Chart Checklist
22. Aircraft Parking/Docking Chart Checklist
23. World Aeronautical Chart Checklist
24. Plotting Chart Checklist
25. ATC Surveillance Minimum Altitude Chart Checklist

Output

Reports

1. Inspection reports.
2. Entry/Exit Briefing Meeting - Attendance Sheet.
3. Audit Report
4. Recommendation for Issuance of Certificate

2.2.33.5 Phase V

Input

Application Forms/ Documents

1. Recommendation for Issuance of ANSP Certificate
2. Certification report
3. Surveillance programme.
4. Approval Certificate

Checklists

1. N/A

Output

Reports

1. Phase 5- completion notification.
2. ANSP Certificate

2.2.34 RENEWAL OF ANSP CERTIFICATE

2.2.34.1 Phase I

Input

Application Forms/ Documents

1. Expression of interest
2. Technical guidance materials
3. Manual of Air Navigation Services Operations (MANSOPs) where applicable
4. SMS Manual
5. Quality Manual
6. Security Procedures Manual
7. Proof of Financial Capability
8. Profiles of Key Personnel
9. Evidence of Payment

Checklists

1. Application requirements checklist

Output

Reports

1. N/A

2.2.34.2 Phase II

Input

Application Forms/ Documents (Formal Application Package)

1. ANSP Application form

Checklists

1. Advisory Circular on guidance on the Development of MANSOPs

Output

Reports

1. N/A

2.2.34.3 Phase III

Input

Application Forms/ Documents

Checklists

1. Checklist for Approval of Manual of Air Navigation Services Operations

Output

Reports

1. Document evaluation Reports where applicable
2. Document approval letter – MANSOPs where applicable

2.2.34.4 Phase IV

Input

Application Forms/ Documents

1. Corrective action request form
2. Operator Corrective Action Plan.
3. Corrective Action Plan Evaluation & Tracking.

Checklists

1. ATM Checklist
2. ATM & SAR Checklist
3. ATM HQs Checklist
4. SAR Inspection / Audit Checklist
5. AIS AD Checklist
6. NOF Checklist
7. AIS HQS-Checklist
8. PANS-OPS-Checklist
9. MET Inspection Checklist
10. Service Provider's Initial SMS Assessment Checklist
11. Evaluation of Service Provider's Safety Management Systems Manual
12. Service Provider's Routine SMS Assessment Checklist
13. Aeronautical Charts/Products Verification and Validation Checklist
14. Aeronautical Navigation Chart Checklist
15. Aerodrome Obstacle Chart Checklist
16. Precision Approach Terrain Chart Checklist
17. En-route Chart Checklist
18. Instrument Approach Chart Checklist
19. Visual Approach Chart Checklist
20. Aerodrome/Heliport Chart Checklist
21. Aerodrome Ground Movement Chart Checklist
22. Aircraft Parking/Docking Chart Checklist
23. World Aeronautical Chart Checklist
24. Plotting Chart Checklist
25. ATC Surveillance Minimum Altitude Chart Checklist

Output

Reports

1. Inspection plan/schedule.
2. Entry/Exit Briefing Meeting - Attendance Sheet.
3. Audit Report Template

2.2.34.5 Phase V

Input

Application Forms/ Documents

1. Recommendation for Issuance of ANSP Certificate Renewal
2. Surveillance programme
3. Approval Certificate

Checklists

1. N/A

Output

Reports

1. Re-Certification report
2. ANSP Certificate

2.2.35 AMENDMENT OF ANSP CERTIFICATE

2.2.35.1 Phase I

Input

Application Forms/ Documents

1. Expression of interest
2. Advisory Circular on Certification of ANSP

Checklists

1. N/A

Output

Reports

1. Pre-Application Meeting Minutes (where applicable).
2. Attendance Sheet (where applicable).
3. Phase I Closure notice (where applicable).

2.2.35.2 Phase II

Input

Application Forms/ Documents (Formal Application Package)

1. ANSP Application form
2. Manual of Air Navigation Services Operations (MANSOPs)
3. Formal-Application Meeting Minutes (where applicable).

Checklists

1. Advisory Circular on guidance on the Amendment of MANSOPs

Output

Reports

1. Formal Application Meeting Minutes (where applicable).
2. Attendance Sheet (where applicable).

3. Acceptance of formal application letter (Where applicable)
4. Rejection of Formal Application letter (where applicable).
5. Phase 2 Closure Letter (where applicable).

2.2.35.3 Phase III

Input

Application Forms/ Documents

Checklists

1. Checklist for Approval of Manual of Air Navigation Services Operations

Output

Reports

1. Document evaluation Reports
2. Document approval letter - MANSOPs
3. Phase 3 Closure Letter (where applicable).

2.2.35.4 Phase IV

Input

Application Forms/ Documents

1. Corrective action request form
2. Operator Corrective Action Plan
3. Corrective Action Plan Evaluation & Tracking

Checklists

1. ATM Checklist
2. ATM & SAR Checklist
3. ATM HQs Checklist
4. SAR INSPECTION / AUDIT CHECKLIST
5. AIS AD CHECKLIST
6. NOF CHECKLIST
7. AIS HQS-CHECKLIST
8. PANS-OPS-CHECKLIST
9. MET INSPECTION CHECKLIST
10. SERVICE PROVIDER'S INITIAL SMS ASSESSMENT CHECKLIST
11. EVALUATION OF SERVICE PROVIDER'S SAFETY MANAGEMENT SYSTEMS MANUAL
12. SERVICE PROVIDER'S ROUTINE SMS ASSESSMENT CHECKLIST
13. AERONAUTICAL CHARTS/PRODUCTS VERIFICATION AND VALIDATION CHECKLIST
14. Aeronautical Navigation Chart Checklist
15. Aerodrome Obstacle Chart Checklist;

16. Precision Approach Terrain Chart Checklist
17. En-route Chart Checklist
18. Instrument Approach Chart Checklist
19. Visual Approach Chart Checklist
20. Aerodrome/Heliport Chart Checklist
21. Aerodrome Ground Movement Chart Checklist
22. Aircraft Parking/Docking Chart Checklist
23. World Aeronautical Chart Checklist
24. Plotting Chart Checklist
25. ATC Surveillance Minimum Altitude Chart Checklist

Output

Reports

1. Entry/Exit Briefing Meeting - Attendance Sheet.
2. Audit Report Template
3. Phase IV-Closure Letter (where applicable).
4. Filled checklists

2.2.35.5 Phase V

Input

Application Forms/ Documents

1. Recommendation for Issuance of Amendment of ANSP Certificate
2. Certification report
3. Approval Certificate

Checklists

1. N/A

Output

Reports

1. Phase 5- completion notification.
2. Endorsed certificate

2.2.36 CANCELLATION OF ANSP CERTIFICATE

2.2.36.1 Phase I

Input

Application Forms/ Documents

1. Expression of interest (Email/Phone call/ Letter of inquiry)
2. List of TGMs

3. Regulations

Checklists

- I. N/A

Output

Reports

- I. N/A

2.2.36.2 Phase II

Input

Application Forms/ Documents

- I. Request Letter

Checklists

- I. N/A

Output

Reports

- I. N/A

2.2.36.3 Phase III

Input

N/A

Output

Request evaluation reports where applicable

2.2.36.4 Phase IV

Input

N/A

Output

N/A

2.2.36.5 Phase V

Input

Application Forms/ Documents

- I. Surrendered Certificate

Checklists

- I. N/A

Output

Reports

- I. Approval Letter for Cancellation

2.2.37 CERTIFICATION OF AIM PERSONNEL

2.2.37.1 Phase I

Input

Application Forms/ Documents

1. Expression of interest
2. Advisory Circular on Competency Implementation for AIM Officers
3. MAIM assignment for trainees in various stations
4. On Job Training Program

Checklists

1. Training and evaluation checklist

Output

Reports

1. Acknowledgement letter approving commencement of training for competency assessment
2. Nomination list of OJT trainers
3. Pre-Application Meeting Minutes (where applicable).
4. Phase I Closure notice

2.2.37.2 Phase II

Input

Application Forms/ Documents (Formal Application Package)

1. Station OJT Reports
2. Computer generated assessment reports
3. Training records

Checklists

1. Completed OJT Checklist

Output

Reports

1. Acknowledgement to proceed to Computer Based Exams
2. Phase II Closure notice

2.2.37.3 Phase III

Input

Application Forms/ Documents

Checklists

1. Training completion checklist
2. Training Reports

Output

Reports

1. Training evaluation Reports
2. Phase III Closure notice
- 3.

2.2.37.4 Phase IV

Input

Application Forms/ Documents

1. Oral/Practical Assessment request letter
2. List of candidates
3. Assessment schedule
4. Competency assessment questions database

Checklists

1. Competency assessment sheets
- 2.

Output

Reports

1. Filled Oral/Practical Assessment sheets
2. Assessment Report with a determination
3. Phase IV Closure notice

2.2.37.5 Phase V

Input

Application Forms/ Documents

1. Recommendation for Certificate
2. Recommendation to redo competency assessment

Checklists

1. N/A

Output

1. Competency Certificate
2. Recommendation letter for repeat of competency assessment

2.2.38 CERTIFICATION OF METEOROLOGICAL SERVICES FOR AIR NAVIGATION (MET)

2.2.38.1 Phase I

Input

Application Forms/ Documents

1. Expression of interest
2. Advisory Circular on Certification of ANSP
3. Certification of ANSP Regulations
4. List of TGMs

Checklists

1. Application requirements checklist

Output

Reports

1. Pre-Application Meeting Minutes.
2. Attendance Sheet.
3. Phase I Closure notice

2.2.38.2 Phase II

Input

Application Forms/ Documents (Formal Application Package)

1. ANSP Application form
2. Manual of Air Navigation Services Operations (MANSOPs)
3. Quality Manual
4. ISO Procedures
5. Proof of Financial Capability
6. Profiles of Key Personnel
7. Evidence of Payment

Checklists

1. Advisory Circular on Guidance on the Development of MANSOPs

Output

Reports

1. Formal Application Meeting Minutes
2. Attendance Sheet.
3. Approval / Rejection of Formal Application Template letter
4. Phase 2 Closure Letter

2.2.38.3 Phase III

Input

Application Forms/ Documents

Checklists

1. Checklist for Approval of Manual of Air Navigation Services Operations

Output

Reports

1. Filled MANSOPS evaluation Checklist
2. Other documents evaluation reports
3. Approved Manuals and Recommendation to proceed to Phase 4
4. Manual approval letter - MANSOPS
5. Phase 3 Closure Letter

2.2.38.4 Phase IV

Input

Application Forms/ Documents

1. Corrective action request form
2. Operator Corrective Action Plan.
3. Corrective Action Plan Evaluation & Tracking.

Checklists

1. MET Inspection Checklist

Output

Reports

1. Inspection plan/schedule.
2. Entry/Exit Briefing Meeting - Attendance Sheet.
3. Audit Report Template
4. Recommendation for Issuance of Certificate
5. Phase IV-Closure Letter.

2.2.38.5 Phase V

Input

Application Forms/ Documents

1. Recommendation for Issuance of ANSP Certificate
2. Certification report
3. Surveillance programme template.
4. Approval Certificate template

Checklists

1. N/A

Output

Reports

1. Phase 5- completion notification.
2. Meteorological Service Provider Certificate

2.2.39 RENEWAL OF METEOROLOGICAL SERVICES FOR AIR NAVIGATION (MET) CERTIFICATE

2.2.39.1 Phase I

Input

Application Forms/ Documents

1. Expression of interest
2. List of TGMs

Checklists

1. Application requirements checklist

Output

Reports

1. N/A

2.2.39.2 Phase II

Input

Application Forms/ Documents (Formal Application Package)

1. ANSP Application form Template
2. Manual of Air Navigation Services Operations (MANSOPs) where applicable

Checklists

1. Guidance on the Development of MANSOPs

Output

Reports

1. N/A

2.2.39.3 Phase III

Input

Application Forms/ Documents

Checklists

1. Checklist for Approval of Manual of Air Navigation Services Operations

Output

Reports

1. Document evaluation Reports where applicable
2. Document approval letter – MANSOPs where applicable

2.2.39.4 Phase IV

Input

Application Forms/ Documents

1. Corrective action request form
2. Operator Corrective Action Plan.
3. Corrective Action Plan Evaluation & Tracking.

Checklists

1. MET Inspection Checklist

Output

Reports

1. Inspection plan/schedule.
2. Entry/Exit Briefing Meeting - Attendance Sheet.
3. Audit Report

2.2.39.5 Phase V

Input

Application Forms/ Documents

1. Recommendation for Issuance of ANSP Certificate Renewal
2. Surveillance programme template.
3. Approval Certificate template

Checklists

1. N/A

Output

Reports

1. Re-Certification report

2.2.40 AMENDMENT OF METEOROLOGICAL SERVICES FOR AIR NAVIGATION (MET) CERTIFICATE

2.2.40.1 Phase I

Input

Application Forms/ Documents

1. Expression of interest
2. Certification of ANSP

Checklists

1. N/A

Output

Reports

1. Pre-Application Meeting Minutes (where applicable).
2. Attendance Sheet (where applicable).
3. Phase I Closure notice (where applicable).

2.2.40.2 Phase II

Input

Application Forms/ Documents (Formal Application Package)

1. ANSP Application form Template
2. Manual of Air Navigation Services Operations (MANSOPs)
3. Formal-Application Meeting Minutes template (where applicable).

Checklists

1. Aeronautical Circular on Guidance on the Amendment of MANSOPs

Output

Reports

1. Formal Application Meeting Minutes (where applicable).
2. Attendance Sheet (where applicable).
3. Rejection of Formal Application Template letter (where applicable).
4. Phase 2 Closure Letter (where applicable).

2.2.40.3 Phase III

Input

Application Forms/ Documents

Checklists

1. Checklist for Approval of Manual of Air Navigation Services Operations

Output

Reports

1. Document evaluation Reports
2. Document approval letter - MANSOPs
3. Phase 3 Closure Letter (where applicable).

2.2.40.4 Phase IV

Input

Application Forms/ Documents

1. Corrective action request form
2. Operator Corrective Action Plan
3. Corrective Action Plan Evaluation & Tracking

Checklists

1. MET Inspection Checklist

Output

Reports

1. Inspection plan/schedule.
2. Entry/Exit Briefing Meeting - Attendance Sheet.
3. Audit Report Template
4. Phase IV-Closure Letter (where applicable).

2.2.40.5 Phase V

Input

Application Forms/ Documents

1. Recommendation for Issuance of Amendment of ANSP Certificate
2. Certification report

3. Surveillance programme template.
4. Approval Certificate template

Checklists

1. N/A

Output

Reports

1. Phase 5- completion notification.

2.2.4I CANCELLATION OF METEOROLOGICAL SERVICES FOR AIR NAVIGATION (MET) CERTIFICATE

2.2.4I.1 Phase I

Input

Application Forms/ Documents

1. Expression of interest
2. List of TGMs
3. Regulations

Checklists

1. N/A

Output

Reports

1. N/A

2.2.4I.2 Phase II

Input

Application Forms/ Documents

1. Request Letter

Checklists

1. N/A

Output

Reports

1. N/A

2.2.4I.3 Phase III

Input

Application Forms/ Documents

1. N/A

Checklists

1. N/A

Output

Reports

- I. Request evaluation reports where applicable

2.2.41.4 Phase IV

Input

Application Forms/ Documents

- I. N/A

Checklists

- I. N/A

Output

Reports

- I. N/A

2.2.41.5 Phase V

Input

Application Forms/ Documents

- I. Surrendered Certificate

Checklists

- I. N/A

Output

Reports

- I. Approval Letter for Cancellation

2.2.42 CERTIFICATION OF ATSEP PERSONNEL

2.2.42.1 Phase I

Input

Application Forms/ Documents

1. Expression of interest
2. List of TGMs
3. Regulations

Checklists

2. N/A

Output

Reports

1. Pre-Application Meeting Minutes (where applicable).

2.2.42.2 Phase II

Input

Application Forms/ Documents

1. Application Forms/ Documents / Request Letter
2. MES letter assigning Trainees for OJT at various Stations
3. Constitution of an ATSEP Licencing Rating Board

4. Appointment of ATSEP Practical Skills Assessors
5. Management of ATSEP Rating Board Questions
6. Knowledge Certificates

Checklists

2. N/A

Output

Reports

- 1 Acknowledgement letter approving commencement of training for competency assessment

2.2.42.3 Phase III

Input

Application Forms/ Documents

Checklists

2. N/A

Output

Reports

1. Questions data base
2. Assessment schedule
3. Evaluation reports where applicable

2.2.42.4 Phase IV

Input

Application Forms/ Documents

1. Evaluated reports

Checklists

2. Assessment checklists

Output

Reports

1. Filled Oral/Practical Assessment sheets
2. Assessment Report with a determination
3. Closure notice

2.2.42.5 Phase V

Input

Application Forms/ Documents

1. Assessment reports
2. Recommendation letter

Checklists

2. N/A

Output

Reports

2.2.43 ISSUANCE OF AN AIR OPERATOR CERTIFICATE

2.2.43.1 Phase I

Input

1. Pre-Application Statement of Intent (PASI) Application Form
2. Pasi Form Evaluation Checklist

Output

- a. Pre-Application Meeting Minutes
- b. Attendance Sheet
- c. Nomination of Certification Team
- d. Phase I Closure Notice

2.2.43.2 Phase II

Input

- 1) Formal Application Letter
- 2) Duly filled Air Operator Certification Job Aid form and Schedule of Events for Commercial Air Transport Operators
- 3) Completed biographical data forms with relevant attachments for nominated:
 - a) Accountable manager
 - b) Head of Operations
 - c) Chief Pilot
 - d) Head of Safety
 - e) Head of Quality
 - f) Head of Maintenance
- 4) Initial Statement of Compliance for applicable regulations
- 5) Technical User Manuals:
 - a) Operations Manual Part A (OMA) (General Information)
 - b) Operations Manual Part B (Aircraft Operating Information)
 - c) Operations Manual Part C (Area, Routes & Aerodrome Information)
 - d) Operations Manual Part D (Training)
 - e) Dangerous Goods Manual as applicable (information may be contained in OMA)
 - f) Ground Handling Manual as applicable (information may be contained in OMA)
 - g) Safety Management Manual
 - h) Emergency Response Plan Manual
 - i) Cabin Crew Manual
 - j) Quality Manual
 - k) Maintenance Control Manual
 - l) Aircraft Maintenance Program and source documents
 - m) Security Manual (submitted to AVSEC department)
 - n) AFM

- o) POH
- 6) Aircraft QRH/Checklists
- 7) Instructors & Designated check personnel proposals
- 8) Passenger briefing card.
- 9) Proposal for Emergency Evacuation Demonstration
- 10) Proposal for Demonstration Flights
- 11) Justification for combined management positions
- 12) Copy of aircraft maintenance agreement with an approved AMO. Attach copies of AMO certificate as well as its SOPs (Standard Operating Provisions).
- 13) Aircraft Lease Agreement/ KCAA Lease approval if aircraft is leased or letter of intent.
- 14) Any other service contracts/ agreements with service providers, e.g. ground handling, training, office facilities, aeronautical charts and related publications, etc.

Checklists

- 1. Operators Documents' cursory Review Evaluation Checklist

Internal Forms

- 1. Evaluation of Authority Resources

Output

Reports

- 1. Formal Application Meeting Minutes
- 2. Attendance Sheet
- 3. Rejection of Formal Application Template Notice (if applicable)
- 4. Phase 2 Closure Notice

2.2.43.3 Phase III

Input

- 1. Approval of Quality System-Manual Checklist
- 2. Evaluation of Aircraft Checklist
- 3. Training Programme Approval Checklist
- 4. Approval and Acceptance of the Aircraft Operating Manual (AOM)
- 5. Carry-On Baggage Programme Checklist
- 6. Exit Row Seating Programme Checklist
- 7. Evaluation of Passenger Briefing Card Checklist
- 8. Preparation of Cabin Crew Manual Inspection Checklist
- 9. Reviewing an Applicants Plan for Evacuation Checklist
- 10. Reviewing an Applicant's Plan for Demonstration Flights
- 11. Evaluation of Statement of Compliance Checklist
- 12. Evaluation of Operations Manual Part A Checklist
- 13. Evaluation of Operations Manual Part B Checklist
- 14. Evaluation of Operations Manual Part C Checklist

15. Evaluation of Operations Manual Part D Checklist
16. Management Personnel Evaluation Checklist
17. Ground Handling Manual Evaluation Approval Checklist
18. Approval and Acceptance of Minimum Equipment Lists (MEL) and Configuration Deviation Lists (CDL) Checklist
19. Maintenance Control Manual Checklist
20. Aircraft Maintenance Programme Checklist
21. Safety Management Systems Manual Evaluation Checklist
22. Evaluation of Aircraft Flight Manual Checklist
23. Flight Data Analysis Programme Inspection Checklist
24. Review of Manual Containing Simulator - Training Devices Process Checklist
25. Transport of Dangerous Goods by Air Manual Evaluation Checklist
26. Local and Foreign Aircraft Acceptance-Type Inclusion Inspection Checklist
27. Cabin Crew Monitor Checklist
28. Check Pilot Monitor
29. FSTD Approval for use by Operator
30. Evaluation of statement of compliance
31. AOC Demonstration Flights Checklist
32. AOC Management Personnel Evaluation
33. Cockpit En-route Inspection Checklist-Report
34. Air Operator Cabin En-route Inspection Checklist-Report
35. Training Programme Evaluation Checklist
36. Evaluation of Flight Deck Checklists
37. Station Facility Inspection Checklist-Report
38. Approval of Quality System-Manual Checklist
39. Training Programme-Operators with DGR Approval
40. Training Programme Checklist - Operators Without Dangerous Goods Approval
41. Flight Operations Air Operators Certificate (AOC) Recommendations
42. Evaluation of Authority Resources
43. BASE Inspection-Audit Job Aid - Initial AOC
44. DCCE Approval Form
45. DCP Approval Form
46. Management Personnel Biographical Data Form (3)

Output

1. Approval/Acceptance Letters
2. Phase 3 Completion Notice

2.2.43.4 Phase IV

Input

Forms/ Documents

1. Corrective action request form.
2. Operator Corrective Action Plan.
3. Corrective Action Plan Evaluation & Tracking.

Checklists

1. Air Operator Certification Job Aid Form and Schedule of Events for Commercial Air Transport Operators Form
2. Base Inspection-Audit Job Aid
3. Base Inspection - Initial AOC Operations Requirement
4. AOC Maintenance certification or Renewal Inspection Checklist
5. Management Personnel Evaluation Checklist/Interview Questionnaire
6. Training Programme Inspection Checklist
7. Cabin Crew Training Inspection-Safety Inspection Training and Drills
8. Pre-Evacuation Demonstration Aircraft Inspection Checklist
9. Evacuation/Ditching Demonstration Checklist
10. AOC Demonstration Flights Checklist
11. Approval of Flight Simulator Training Device for Use by Operator
12. Check Pilot (Authorization, Renewal of Authorization, Or Inspection)
13. Flight Data Analysis Programme Inspection Checklist
14. Evacuation-Ditching Demonstration Checklist-Report
15. Pre-Demonstration Aircraft Inspection Checklist
16. Reviewing an Applicants Plan for Demo
17. Preparation of Cabin Crew Manual Inspection Checklist
18. Exit Row Seating Programme
19. Evaluation of Passenger Briefing Card
20. Carry-on Baggage Programme Checklist
21. Cabin Crew Training Inspection
22. Training Programme Inspection Checklist- Report
23. Fatigue Management Scheme and Records
24. Surface De-icing and Anti-icing Programme
25. Base Inspection Checklist-Audit Operations Requirements (AOC) - Small Aircraft
26. Base Inspection Audit Checklist AOC Renewal – Large Aircraft
27. Evaluation of Dangerous Goods Transport by Air Approval -Application Form Checklist
28. Training Programme Checklist - Operators Without Dangerous Goods Approval
29. Service Provider's Initial SMS Assessment Checklist
30. Service Provider's Routine SMS Assessment Checklist

31. Dangerous Goods Non-Approved Operator Audit Checklist
32. Training Programme Checklist - Operators Without Dangerous Goods Approval

Output

1. Inspection Reports
2. Attendance Sheets
3. Management Personnel Acceptance/Approval Letters
4. Phase IV Closure Notice

2.2.43.5 Phase V

Input

Forms/ Documents

1. Schedule Of Events Form
2. Flight Operations Air Operators Certificate (AOC) Recommendations Form.
3. Final Certification Inspection Report Template
4. Summary of Difficulties Template
5. Surveillance Programme Template
6. Air Operator Certificate (AOC) Template
7. Operations Specifications Template

Output

Reports

1. Final Certification Inspection Report
2. Surveillance Programme
3. Summary of Difficulties
4. AOC Certificate
5. Operations Specifications
6. Phase V Closure Notice

2.2.44 SPECIFIC APPROVAL - EXTENDED DIVERSION TIME OPERATIONS (EDTO)

2.2.44.1 Phase I

Input

Forms/ Documents

1. Pre-Application Statement of Intent (PASI) Application Form
2. Schedule of Events

Checklists:

1. PASI Form Evaluation Checklist
2. EDTO Operational Approval Checklist in

Output

Reports

1. Pre-Application Meeting Minutes.
2. Attendance Sheet
3. Nomination of Certification Team
4. Phase I closure notice

2.2.44.2 Phase II

Input

Forms/ Documents

1. Formal application Letter
2. EDTO Application Form
3. Applicable Parts of AOC Manuals/Documents
 - a. Operations Manual Part A
 - b. Operations Manual Part B/SOPAs
 - c. Operations Manual Part D
 - d. Operations Manual Part C
 - e. MCM
 - f. AMP
 - g. MEL
4. Statement of Compliance for applicable regulations
5. Manufacturer documents
6. Initial Statement of Compliance for applicable regulations

Checklists

1. EDTO Operational Approval Checklist
2. Operators Documents' cursory Review Evaluation Checklist

Internal Forms

1. Evaluation Of Authority Resources Based on Schedule of Events

Output

Reports

1. Formal Application Meeting Minutes (if applicable)
2. Attendance Sheet (if applicable)
3. Rejection of Formal Application Template Notice (if applicable)
4. Phase 2 Closure Notice

2.2.44.3 Phase III

Input

Checklists

1. EDTO Operational Approval Checklist
2. Evaluation of Operations Manual Part A
3. Evaluation of Operations Manual Part B

4. Evaluation of Operations Manual Part C
5. Evaluation of Operations Manual Part D Training
6. Training Programme Evaluation
7. Evaluation of Aircraft Checklists
8. Evaluation of Statement of Compliance
9. Approval and Acceptance of MEL and CDL
10. Maintenance Control Manual-Cursory
11. Maintenance Control Manual-
12. Evaluating a Maintenance Programme

Output

REPORTS:

1. Letters of approval
2. Letters of acceptance
3. Letters of rejection/corrective action
4. Phase 3 completion notice.

2.2.44.4 Phase IV

Input

Forms/ Documents

1. Corrective action request form.
2. Operator Corrective Action Plan.
3. Corrective Action Plan Evaluation & Tracking,

Checklists

1. EDTO Operational Approval Checklist

Output

Reports

1. Inspection Reports
2. Attendance Sheets
3. Management Personnel Acceptance/Approval Letters
4. Phase IV Closure Notice

2.2.44.5 Phase V

Input

Forms/ Documents

1. Recommendation Memo
2. Operations Specifications Template

Output

Reports

1. Operations Specifications

2.2.45 SPECIFIC APPROVAL - REDUCED VERTICAL SEPARATION MINIMA OR MINIMUM (RVSM)

2.2.45.1 Phase I

Input

Forms/ Documents

1. Pre-Application Statement of Intent (PASI) Application Form
2. Schedule of Events Form
3. RVSM Application Form
4. Operator Safety Risk Assessment

Checklists

1. PASI Form Evaluation Checklist
2. RVSM Approval Checklist

Output

Reports

1. Pre-Application Meeting Minutes.
2. Attendance Sheet
3. Nomination of Certification Team
4. Phase I closure notice

2.2.45.2 Phase II

Input

Forms/ Documents

1. Formal application Letter
2. RVSM Application Form
3. Applicable Parts of AOC Manuals/Documents
 - a. Operations Manual Part A
 - b. Operations Manual Part B/SOPs
 - c. Operations Manual Part D
 - d. Operations Manual Part C
 - e. MCM
 - f. AMP
 - g. MEL
4. Initial Statement of Compliance for applicable regulations
5. Manufacturer documents
6. Plan for verification/monitoring programs

Internal Forms

1. Evaluation Of Authority Resources Based on Schedule of Events

Checklists

1. Operators Documents' Cursory Review Evaluation Checklist

2. RVSM Approval Checklist

Output

Reports

1. Formal Application Meeting Minutes (if applicable)
2. Attendance Sheet (if applicable)
3. Rejection of Formal Application Template Notice (if applicable)
4. Phase 2 Closure Notice

2.2.45.3 Phase III

Input

Checklists

1. Evaluation of Statement of Compliance
2. RVSM Approval Checklist
3. Evaluating A Maintenance Programme
4. Evaluation of Operations Manual Part A
5. Evaluation of Operations Manual Part B
6. Evaluation of Operations Manual Part C
7. Evaluation of Operations Manual Part D Training
8. Training Programme Evaluation
9. Evaluation of Aircraft Checklists
10. Evaluation of Statement of Compliance
11. Approval and Acceptance of MEL and CDL
12. Maintenance Control Manual-Cursory
13. Maintenance Control Manual

Output

Reports

1. Letters of approval
2. Letters of acceptance
3. Letters of rejection/corrective action
4. Phase 3 completion notice.

2.2.45.4 Phase IV

Input

Forms/ Documents

1. Corrective action request form.
2. Operator Corrective Action Plan.
3. Corrective Action Plan Evaluation & Tracking.

Checklists

1. RVSM Approval Checklist

Output

Reports

1. Inspection Reports
2. Attendance Sheets
3. Management Personnel Acceptance/Approval Letters
4. Phase IV Closure Notice

2.2.45.5 Phase V

Input

Forms/ Documents

1. Recommendation Memo
2. Operations Specifications Template

Output

Reports

1. Operations Specifications

2.2.46 SPECIFIC APPROVAL - ALL WEATHER OPERATIONS

2.2.46.1 Phase I

Input

Forms/ Documents

1. Pre-Application Statement of Intent (PASI) Application Form
2. Schedule of Events
3. All weather Application Form

Checklists

1. PASI Form Evaluation Checklist

Output

Reports

1. Pre-Application Meeting Minutes.
2. Attendance Sheet
3. Nomination of Certification Team
4. Phase I closure notice

2.2.46.2 Phase II

Input

Forms/ Documents

1. Formal application Letter
2. AWOPs Application Form
3. Applicable Parts of AOC Manuals/Documents
 - a. Operations Manual Part A Operations Manual Part B/SOPs
 - b. Operations Manual Part D Operations Manual Part C
 - c. MCM

- d. AMP
 - e. MEL
4. Initial Statement of Compliance for applicable regulations
 5. Manufacturer documents

Internal Forms

1. Evaluation Of Authority Resources Based on Schedule of Events

Checklists

1. Operators Documents' cursory Review Evaluation Checklist

Output

Reports

1. Formal Application Meeting Minutes (if applicable)
2. Attendance Sheet (if applicable)
3. Rejection of Formal Application Template Notice (if applicable)
4. Phase 2 Closure Notice

2.2.46.3 Phase III

Input

Forms/ Documents

1. All Weather Operations (AWOPs) Application Form

Checklists

1. Evaluation of Statement of Compliance
2. Approval And Acceptance of Minimum Equipment Lists (MELs) and Configuration Deviation Lists (CDLs) Checklist
3. All Weather Operations Maintenance Procedure Manual Evaluation Checklist
4. All Weather Operations FOPS Procedure Manual Evaluation Checklist
5. Evaluation of Operations Manual Part A
6. Evaluation of Operations Manual Part B
7. Evaluation of Operations Manual Part C
8. Evaluation of Operations Manual Part D Training
9. Training Programme Evaluation
10. Evaluation of Aircraft Checklists
11. Evaluation of Statement of Compliance
12. Approval and Acceptance of MEL and CDL
13. Maintenance Control Manual
14. Evaluating A Maintenance Programme

Output

Reports

1. Letters of approval
2. Letters of acceptance

3. Letters of rejection/corrective action
4. Phase 3 completion notice.

2.2.46.4 Phase IV

Input

Forms/ Documents

1. Corrective action request form.
2. Operator Corrective Action Plan.
3. Corrective Action Plan Evaluation & Tracking.

Checklists

1. All Weather Operations Aircraft Inspection Checklist

Output

Reports

1. Inspection Reports
2. Attendance Sheets
3. Management Personnel Acceptance/Approval Letters
4. Phase IV Closure Notice

2.2.46.5 Phase V

Input

Forms/ Documents

1. Recommendation Memo
2. Operations Specifications Template

Output

Reports

1. Operations Specifications

2.2.47 SPECIFIC APPROVAL - PERFORMANCE BASED NAVIGATION (PBN)

2.2.47.1 Phase I

Input

Forms

1. Pre-Application Statement of Intent (PASI)
2. Schedule of Events
3. Application form (PBN)

Checklists

1. PASI Form Evaluation Checklist

Output

Reports

1. Pre-Application Meeting Minutes.
2. Attendance Sheet

3. Nomination of Certification Team
4. Phase I closure notice

2.2.47.2 Phase II

Input

Forms/ Documents

1. Formal application Letter
2. PBN Worksheet
3. Applicable Parts of AOC Manuals/Documents
 - a. Operations Manual Part A
 - b. Operations Manual Part B/SOPs
 - c. Operations Manual Part D
 - d. Operations Manual Part C
 - e. MCM
 - f. AMP
 - g. MEL
4. Initial Statement of Compliance for applicable regulations
5. Manufacturer documents

Internal Forms

1. Evaluation Of Authority Resources Based on Schedule of Events

Checklists

1. Operators Documents' cursory Review Evaluation Checklist

Output

Reports

1. Formal Application Meeting Minutes (if applicable)
2. Attendance Sheet (if applicable)
3. Rejection of Formal Application Template Notice (if applicable)
4. Phase 2 Closure Notice

2.2.47.3 Phase III

Input

Forms/ Documents

1. PBN Worksheets

Checklists:

1. Evaluation of Statement of Compliance
2. Approval And Acceptance Of Minimum Equipment Lists (MELS) And Configuration Deviation Lists (CDLS) Checklist
3. Evaluation of Operations Manual Part A
4. Evaluation of Operations Manual Part B

5. Evaluation of Operations Manual Part C
6. Evaluation of Operations Manual Part D Training
7. Training Programme Evaluation
8. Evaluation of Aircraft Checklists
9. Evaluation of Statement of Compliance
10. Approval and Acceptance of MEL and CDL
11. Maintenance Control Manual-Cursory
12. Evaluating A Maintenance Programme

Output

Reports:

1. Letters of approval
2. Letters of acceptance
3. Letters of rejection/corrective action
4. Phase 3 completion notice

2.2.47.4 Phase IV

Input

Forms/Documents:

1. PBN Worksheet
2. Corrective action request form.
3. Operator Corrective Action Plan.
4. Corrective Action Plan Evaluation & Tracking.

Output

Reports:

1. Inspection Reports
2. Attendance Sheets
3. Management Personnel Acceptance/Approval Letters
4. Phase IV Closure Notice

2.2.47.5 Phase V

Input

Forms/Documents:

1. PBN Worksheet.
2. Operations Specifications Template
3. Recommendation Memo

Output

Reports:

1. Final Phase 5 Report
2. Summary of Difficulties
3. Surveillance Programme variance

4. Air Operator Certificate (AOC)
5. Operations Specifications

2.2.48 SPECIFIC APPROVAL - NORTH ATLANTIC HIGH-LEVEL AIRSPACE (NAT-HLA)

2.2.48.1 Phase I

Input

Forms:

1. Pre-Application Statement of Intent (PASI) Application Form
2. Schedule of Events form
3. Application form-NAT-HLA

Checklists:

1. PASI Form Evaluation Checklist

Output

Reports:

1. Pre-Application Meeting Minutes.
2. Attendance Sheet
3. Nomination of Certification Team
4. Phase I closure notice

2.2.48.2 Phase II

Input

Forms/Documents:

1. Formal application Letter
2. Application form-NAT-HLA Form
3. Applicable Parts of AOC Manuals/Documents
 - i. Operations Manual Part A Operations Manual Part B/SOPs
 - ii. Operations Manual Part D Operations Manual Part C
 - iii. MCM
 - iv. AMP
 - v. MEL
4. Initial Statement of Compliance for applicable regulations
5. Manufacturer documents

Internal Forms

1. Evaluation Of Authority Resources Based on Schedule of Events

Checklists:

1. NAT HLA Application Evaluation Checklist
2. NAT HLA Oceanic Checklist
3. Expanded NAT HLA Oceanic Checklist

4. Operators Documents' Cursory Review Evaluation Checklist

Output

Reports:

1. Formal Application Meeting Minutes (if applicable)
2. Attendance Sheet (if applicable)
3. Rejection of Formal Application Template Notice (if applicable)
4. Phase 2 Closure Notice

2.2.48.3 Phase III

Input

Forms/Documents:

1. Schedule of Events

Checklists:

1. Evaluation of Statement of Compliance
2. Approval And Acceptance Of Minimum Equipment Lists (MELS) And Configuration Deviation Lists (CDLS) Checklist
3. Evaluation of Operations Manual Part A
4. Evaluation of Operations Manual Part B
5. Evaluation of Operations Manual Part C
6. Evaluation of Operations Manual Part D Training
7. Training Programme Evaluation
8. Evaluation of Aircraft Checklists
9. Evaluation of Statement of Compliance
10. Approval and Acceptance of MEL and CDL
11. Maintenance Control Manual-Cursory
12. Evaluating A Maintenance Programme
13. NAT HLA Application Evaluation Checklist
14. NAT HLA Oceanic Checklist
15. Expanded NAT HLA Oceanic Checklist

Output

Reports:

1. Letters of approval
2. Letters of acceptance
3. Letters of rejection/corrective action
4. Phase 3 completion notice

2.2.48.4 Phase IV

Input

Forms/Documents:

1. Corrective action request form.

2. Operator Corrective Action Plan.
3. Corrective Action Plan Evaluation & Tracking.
4. Job aid and schedule of events

Output

Reports:

1. Inspection Reports
2. Attendance Sheets
3. Management Personnel Acceptance/Approval Letters
4. Phase IV Closure Notice

2.2.48.5 Phase V

Input

Forms/Documents:

1. Recommendation Memo
2. Operations Specifications Template

Output

Reports:

1. Operations Specifications

2.2.49 SPECIFIC APPROVAL - ELECTRONIC FLIGHT BAG (EFB)

2.2.49.1 Phase I

Input

Forms:

1. Pre-Application Statement of Intent (PASI) Application Form
2. Schedule of Events Form
3. Electronic Flight Bag (EFB) Approval Application Form

Checklists:

1. PASI Form Evaluation Checklist

Output

Reports:

1. Pre-Application Meeting Minutes.
2. Attendance Sheet
3. Nomination of Certification Team
4. Phase I closure notice

2.2.49.2 Phase II

Input

Forms/Documents:

1. Formal application Letter
2. EFB Application Form

3. Applicable Parts of AOC Manuals/Documents
 - a. Operations Manual Part A Operations Manual Part B/SOPs
 - b. Operations Manual Part D Operations Manual Part C
 - c. MCM
 - d. AMP
 - e. MEL
4. Initial Statement of Compliance for applicable regulations
5. Manufacturer documents

Checklists:

1. Operators Documents' cursory review evaluation checklist

Output

Reports:

1. Formal Application Meeting Minutes (if applicable)
2. Attendance Sheet (if applicable)
3. Rejection of Formal Application Template Notice (if applicable)
4. Phase 2 Closure Notice

2.2.49.3 Phase III

Input

Forms/Documents

1. EFB Application Form

Checklists

1. Evaluation of Statement of Compliance
2. Approval And Acceptance of Minimum Equipment Lists (MELs) and Configuration Deviation Lists (CDLs) Checklist
3. Evaluation of Operations Manual Part A
4. Evaluation of Operations Manual Part B
5. Evaluation of Operations Manual Part C
6. Evaluation of Operations Manual Part D Training
7. Training Programme Evaluation
8. Evaluation of Aircraft Checklists
9. Evaluation of Statement of Compliance
10. Approval and Acceptance of MEL and CDL
11. Maintenance Control Manual
12. Evaluating a Maintenance Programme

Output

Reports

1. Letters of approval
2. Letters of acceptance
3. Letters of rejection/corrective action

4. Phase 3 completion notice

2.2.49.4 Phase IV

Input

Forms / Documents

1. Corrective action request form
2. Operator Corrective Action Plan
3. Corrective Action Plan Evaluation & Tracking
4. EFB Application Form

Output

Reports

1. Inspection Reports
2. Attendance Sheets
3. Management Personnel Acceptance/Approval Letters
4. Phase IV Closure Notice

2.2.49.5 Phase V

Input

Forms/ Documents

1. Recommendation Memo
2. Operations Specifications Template

Output

Reports

1. Final Phase 5 Report
2. Summary of Difficulties
3. Surveillance Programme variance
4. Air Operator Certificate (AOC)
5. Operations Specifications

2.2.50 SPECIFIC APPROVAL - APPROVAL OF SINGLE ENGINE TURBINE POWERED OPERATIONS AT NIGHT OR IN IMC

2.2.50.1 Phase I

Input

Forms

1. Pre-Application Statement of Intent (PASI) Application Form
2. Schedule of Events Form
3. ASETPA Application Form

Checklists

1. PASI Form Evaluation Checklist

Output

Reports

1. Pre-Application Meeting Minutes.
2. Attendance Sheet
3. Nomination of Certification Team
4. Phase I closure notice

2.2.50.2 Phase II

Input

Forms/ Documents

1. Formal application Letter
2. ASETPA Application Form
3. Applicable Parts of AOC Manuals/Documents
 - a. Operations Manual Part A Operations Manual Part B/SOPs
 - b. Operations Manual Part D Operations Manual Part C
 - c. MCM
 - d. AMP
 - e. MEL
4. Initial Statement of Compliance for applicable regulations
5. Manufacturer documents

Checklists

1. Operators Documents' Cursory Review Evaluation Checklist

Output

Reports

1. Formal Application Meeting Minutes (if applicable)
2. Attendance Sheet (if applicable)
3. Rejection of Formal Application Template Notice (if applicable)
4. Phase 2 Closure Notice

2.2.50.3 Phase III

Input

Forms/ Documents

1. ASETPA Application Form

Checklists

1. Evaluation of Statement of Compliance
2. Approval And Acceptance of Minimum Equipment Lists (MELs) and Configuration Deviation Lists (CDLs) Checklist
3. Evaluation of Operations Manual Part A
4. Evaluation of Operations Manual Part B
5. Evaluation of Operations Manual Part C
6. Evaluation of Operations Manual Part D Training
7. Training Programme Evaluation
8. Evaluation of Aircraft Checklists
9. Evaluation of Statement of Compliance
10. Approval and Acceptance of MEL and CDL
11. Maintenance Control Manual
12. Evaluating a Maintenance Programme

Output

Reports

1. Letters of approval
2. Letters of acceptance
3. Letters of rejection/corrective action
4. Phase 3 completion notice

2.2.50.4 Phase IV

Input

Forms/ Documents

1. Corrective action request form.
2. Operator Corrective Action Plan.
3. Corrective Action Plan Evaluation & Tracking.
4. EFB Application Form

Output

Reports

1. I. Inspection Reports
2. Attendance Sheets
3. Management Personnel Acceptance/Approval Letters
4. Phase IV Closure Notice

2.2.50.5 Phase V

Input

Forms/ Documents

1. Recommendation Memo
2. Operations Specifications Template

Output

Reports

1. Final Phase 5 Report
2. Summary of Difficulties
3. Surveillance Programme variance
4. Air Operator Certificate (AOC)
5. Operations Specifications

2.2.5I SPECIFIC APPROVAL - NIGHT VISION GOGGLES (NVG)

2.2.5I.1 Phase I

Input

Forms/ Documents

1. Pre-Application Statement of Intent (PASI) Application Form
2. Schedule of Events Form

Checklists

1. PASI Form Evaluation Checklist

Output

Reports

1. Pre-Application Meeting Minutes.
2. Attendance Sheet
3. Nomination of Certification Team
4. Phase I closure notice

2.2.5I.2 Phase II

Input

Forms/ Documents

1. Formal application Letter
2. Applicable Parts of AOC Manuals/Documents
 - a. Operations Manual Part A Operations Manual Part B/SOPs
 - b. Operations Manual Part D Operations Manual Part C
 - c. MCM
 - d. AMP
 - e. MEL
3. Initial Statement of Compliance for applicable regulations
4. Manufacturer documents

Checklists

1. Operators Documents' Cursory Review Evaluation Checklist

Output

Reports:

1. Formal Application Meeting Minutes (if applicable)
2. Attendance Sheet (if applicable)
3. Rejection of Formal Application Template Notice (if applicable)
4. Phase 2 Closure Notice

2.2.5I.3 Phase III

Input

Forms/ Documents

1. Schedule of Events Form

Checklists

1. Evaluation of Statement of Compliance
2. Approval And Acceptance Of Minimum Equipment Lists (MELS) And Configuration Deviation Lists (CDLS) Checklist
3. Evaluation of Operations Manual Part A
4. Evaluation of Operations Manual Part B
5. Evaluation of Operations Manual Part C
6. Evaluation of Operations Manual Part D Training
7. Training Programme Evaluation
8. Evaluation of Aircraft Checklists
9. Evaluation of Statement of Compliance
10. Approval and Acceptance of MEL and CDL
11. Maintenance Control Manual
12. Evaluating a Maintenance Programme

Output

Reports

1. Letters of approval
2. Letters of acceptance
3. Letters of rejection/corrective action
4. Phase 3 completion notice

2.2.51.4 Phase IV

Input

Forms/ Documents

1. Corrective action request form.
2. Operator Corrective Action Plan.
3. Corrective Action Plan Evaluation & Tracking.
4. Job aid and schedule of events

Output

Reports

1. Inspection Reports
2. Attendance Sheets
3. Management Personnel Acceptance/Approval Letters
4. Phase IV Closure Notice

2.2.51.5 Phase V

Input

Forms/ Documents

1. Recommendation Memo
2. Operations Specifications Template

Output

Reports

1. Final Phase 5 Report
2. Summary of Difficulties
3. Surveillance Programme variance
4. Air Operator Certificate (AOC)
5. Operations Specifications

2.2.52 SPECIFIC APPROVAL - OFFSHORE OPERATIONS

2.2.52.1 Phase I

Input

Forms/ Documents

1. Pre-Application Statement of Intent (PASI) Application Form
2. Schedule of Events Form

Checklists

1. PASI Form Evaluation Checklist

Output

Reports

1. Pre-Application Meeting Minutes.
2. Attendance Sheet
3. Nomination of Certification Team
4. Phase I closure notice

2.2.52.2 Phase II

Input

Forms/ Documents

1. Formal application Letter
2. Applicable Parts of AOC Manuals/Documents
 - a. Operations Manual Part A Operations Manual Part B/SOPs
 - b. Operations Manual Part D Operations Manual Part C
 - c. MCM
 - d. AMP
 - e. MEL
3. Initial Statement of Compliance for applicable regulations
4. Manufacturer documents

Checklists

1. Operators Documents' Cursory Review Evaluation Checklist

Output

Reports

1. Formal Application Meeting Minutes (if applicable)
2. Attendance Sheet (if applicable)
3. Rejection of Formal Application Template Notice (if applicable)
4. Phase 2 Closure Notice

2.2.52.3 Phase III

Input

Forms/ Documents

1. Schedule of Events Form

Checklists

1. Evaluation of Statement of Compliance
2. Approval And Acceptance of Minimum Equipment Lists (MELS) And Configuration Deviation Lists (CDLS) Checklist
3. Evaluation of Operations Manual Part A
4. Evaluation of Operations Manual Part B
5. Evaluation of Operations Manual Part C
6. Evaluation of Operations Manual Part D Training
7. Training Programme Evaluation
8. Evaluation of Aircraft Checklists
9. Evaluation of Statement of Compliance
10. Approval and Acceptance of MEL and CDL
11. Maintenance Control Manual
12. Evaluating A Maintenance Programme

Output

Reports

1. Letters of approval
2. Letters of acceptance
3. Letters of rejection/corrective action
4. Phase 3 completion notice

2.2.52.4 Phase IV

Input

Forms/ Documents

1. Schedule of Events Form
2. Corrective action request form.
3. Operator Corrective Action Plan.
4. Corrective Action Plan Evaluation & Tracking.

Output

Reports

1. Inspection Reports
2. Attendance Sheets
3. Management Personnel Acceptance/Approval Letters
4. Phase IV Closure Notice

2.2.52.5 Phase V

Input

Forms/ Documents

1. Recommendation Memo
2. Operations Specifications

Output

Reports

1. Final Phase 5 Report
2. Summary of Difficulties
3. Surveillance Programme variance
4. Air Operator Certificate (AOC)
5. Operations Specifications

2.2.53 SPECIFIC APPROVAL - EXTERNAL LOAD OPERATIONS

2.2.53.1 Phase I

Input

Forms/ Documents

1. Pre-Application Statement of Intent (PASI) Application Form
2. Schedule of Events Form

Checklists

1. PASI Form Evaluation Checklist

Output

Reports

1. Pre-Application Meeting Minutes.
2. Attendance Sheet
3. Nomination of Certification Team
4. Phase I closure notice

2.2.53.2 Phase II

Input

Forms/ Documents

1. Initial Statement of Compliance for applicable regulations

Internal Forms:

1. Evaluation Of Authority Resources Based on Schedule of Events

Checklists

1. Operators Documents' Cursory Review Evaluation Checklist

Output**Reports**

1. Formal Application Meeting Minutes (if applicable)
2. Attendance Sheet (if applicable)
3. Rejection of Formal Application Template Notice (if applicable)
4. Phase 2 Closure Notice

2.2.53.3 Phase III**Input****Forms/ Documents**

1. Schedule of Events Form

Checklists

1. Evaluation of Statement of Compliance
2. Approval And Acceptance of Minimum Equipment Lists (MELS) and Configuration Deviation Lists (CDLS) Checklist
3. Evaluation of Operations Manual Part A
4. Evaluation of Operations Manual Part B
5. Evaluation of Operations Manual Part C
6. Evaluation of Operations Manual Part D Training
7. Training Programme Evaluation
8. Evaluation of Aircraft Checklists
9. Evaluation of Statement of Compliance
10. Approval and Acceptance of MEL and CDL
11. Maintenance Control Manual-
12. Evaluating of Maintenance Programme

Output**Reports**

1. Letters of approval
2. Letters of acceptance
3. Letters of rejection/corrective action
4. Phase 3 completion notice

2.2.53.4 Phase IV**Input**

Forms/ Documents

1. Corrective action request form.
2. Operator Corrective Action Plan.
3. Corrective Action Plan Evaluation & Tracking
4. Job aid and schedule of events

Output

Reports

1. Inspection Reports
2. Attendance Sheets
3. Management Personnel Acceptance/Approval Letters
4. Phase IV Closure Notice

2.2.53.5 Phase V

Input

Forms/ Documents

1. Recommendation Memo
2. Operations Specifications Template

Output

Reports

1. Final Phase 5 Report
2. Summary of Difficulties
3. Surveillance Programme variance
4. Air Operator Certificate (AOC)
5. Operations Specifications

2.2.54 SPECIFIC APPROVAL - DANGEROUS GOODS

2.2.54.1 Phase I

Input

Forms/ Documents

1. Dangerous Goods Transport by Air Approval - Application Form
2. Dangerous Goods Dangerous Goods by Air Approval job aid and schedule of events
3. Dangerous Goods Transport By Air Exemption Application Form

Checklists

1. Evaluation of Dangerous Goods Transport by Air Approval -Application Form Checklist

Output

Reports

1. Pre-Application Meeting Minutes
2. Attendance Sheet
3. Nomination of Certification Team

4. Phase I Closure Notice

2.2.54.2 Phase II

Input

Forms/ Documents

1. Formal application Letter
2. Dangerous Goods Dangerous Goods by Air Approval job aid and schedule of event Form
3. AOC applicant/ Holder Dangerous Goods Coordinator Bio data
4. Applicable Parts of AOC Manuals/Documents
 - a. Operations Manual Part A
 - b. Operations Manual Part D
 - c. Cabin Crew Manual
 - d. Ground Handling Manual
 - e. Dangerous Goods Manual
 - f. Any other manuals addressing Dangerous Goods
5. Dangerous Goods Acceptance Checklists
6. High Consequence Dangerous Goods security plan
7. Current edition of ICAO technical instructions/IATA Dangerous Goods regulation.
8. Arrangement/Contract for ground handling operations-cargo handling operations.
9. Arrangement/contracts for dangerous goods training
10. Initial Statement of Compliance for applicable regulations

Checklists

1. Operators Documents' Cursory Review Evaluation Checklist

Output

Reports

1. Formal Application Meeting Minutes
2. Attendance Sheet
3. Rejection of Formal Application Template Notice (if applicable)
4. Phase 2 Closure Notice

2.2.54.3 Phase III

Input

Forms/ Documents

1. Dangerous Goods Dangerous Goods by Air Approval job aid and schedule of events Form

Checklists

1. Transport of Dangerous Goods by Air Manual Evaluation Checklist.
2. Dangerous Goods Personnel Evaluation Checklist
3. Evaluation of Operations Manual Part A
4. Evaluation of Operations Manual Part D Training
5. Evaluation of Statement of Compliance

6. Ground Handling Evaluation Checklist
7. Cabin crew manual

Output

Reports

1. Letters of approval
2. Letters of acceptance
3. Letters of rejection/corrective action
4. Phase 3 completion notice

2.2.54.4 Phase IV

Input

Forms/ Documents

1. Corrective action request form.
2. Operator Corrective Action Plan.
3. Corrective Action Plan Evaluation & Tracking.
4. Dangerous Goods Dangerous Goods by Air Approval job aid and schedule of events form

Checklists

1. Dangerous Goods Personnel Evaluation Checklist
2. Dangerous Goods Approved Operator Audit Checklist
3. Dangerous Goods Non- Approved Operator Audit Checklist
4. Dangerous Goods Transport by Air Training Program Checklist-
5. Operators with Dangerous Goods Approval
6. Dangerous Goods Transport by Air Training Program Checklist-
7. Operators without Dangerous Goods Approval

Output

Reports

1. Inspection/Demonstration Reports
2. Attendance Sheets
3. Management Personnel Acceptance/Approval Letters
4. Phase IV Closure Notice

2.2.54.5 Phase V

Input

Forms/ Documents

1. Dangerous Goods by Air Approval – Application form
2. Final Certification Inspection Report Template
3. Summary of Difficulties Template
4. Surveillance Programme Template
5. Air Operator Certificate (AOC) Template
6. Operations Specifications Template

7. Dangerous Goods Dangerous Goods by Air Approval job aid and schedule of events Form

Output

Reports

1. Final Certification Inspection Report Template
2. Summary of Difficulties Template
3. Surveillance Programme Template
4. Air Operator Certificate (AOC) Template
5. Operations Specifications Template

2.2.55 FOREIGN OPERATOR CERTIFICATION (FOC) INSPECTIONS*

2.2.55.1 Phase I

Input

Forms/ Documents

1. Foreign operations application form
2. Safety Oversight Capability of the State of Registry and / or State of Operator
3. Operational Economic capability of the Foreign Air Operator
4. Safety record of the aircraft to be deployed for operations

Checklists

1. Foreign operations application checklist

Output

Reports

1. Pre-Application Meeting Minutes.
2. Attendance Sheet
3. Nomination of Certification Team
4. Phase I closure notice

2.2.55.2 Phase II

Input

Forms/ Documents

1. Air Operator Certificate or equivalent
2. Operations Specifications
3. Certificate of Registration for each aircraft
4. Certificate of Airworthiness for each aircraft Noise Certificate for each aircraft type and
5. Certificate of Insurance
6. Operations Manual Part A
7. Operation Manual Part D
8. Maintenance Control Manual
9. Lease agreement.

10. Any other business-related or operational documents that the catering operator may produce, or the Authority may request

Checklists

1. None

Output

Reports

1. Formal Application Meeting Minutes (if applicable)
2. Attendance Sheet (if applicable)
3. Rejection of Formal Application Template Notice (if applicable)
4. Phase 2 Closure Notice

2.2.55.3 Phase III

Input

Forms/ Documents

1. None

Checklists

1. Operator Document Evaluation Checklist
2. Document validation letters

Reports

1. Letters of approval
2. Letters of acceptance
3. Letters of rejection/corrective action
4. Phase 3 completion notice.

2.2.55.4 Phase IV

Input

Forms/ Documents

Operator Audit/Inspection Plan

Checklists

Operator Audit/Inspection Checklist

Output

Reports

1. Inspection Reports
2. Attendance Sheets
3. Manual approvals
4. Phase IV Closure Notice

2.2.55.5 Phase V

Input

Forms/ Documents

Recommendations Form – Foreign Operator

Output

Reports

1. Final Certification Audit Report with recommendations
2. Updated Surveillance Programme
3. Schedule of Events
4. Operations Certificate
5. Operation Specifications
6. Foreign Operator Database
7. Phase 5 Closure Notification Letter

2.2.56 AMENDMENT TO THE AOC AND OPERATIONS SPECIFICATION (FLEET ADDITION/INCLUSION OF AN AIRCRAFT TO AN AIR OPERATOR CERTIFICATE)

This process necessitates amendment to the Air Operator Certificate and/or Operations Specification. Any requests for amendments to the Operations Specifications, Authorizations or Limitations issued to AOC holder, shall be forwarded to the relevant department.

Amendment to Ops Specs will be required for the following but not limited to:

- a) Addition of new type of aircraft in the organization
- b) Addition of same type of aircraft in the organization
- c) Special operations
- d) Commencement of international operations to new destination

2.2.56.1 Phase I

Input

1. Pre-Application Statement of Intent (PASI) Application Form
2. Pasi Form Evaluation Checklist

Output

1. Pre-Application Meeting Minutes
2. Attendance Sheet
3. Nomination of Certification Team
4. Phase I Closure Notice

2.2.56.2 Phase II

Input

Forms/Documents:

1. Formal Application Letter

2. Duly filled Air Operator Certification Job Aid form and Schedule of Events for Commercial Air Transport Operators
3. Completed biographical data forms with relevant attachments for nominations:
 - a. Accountable manager
 - b. Head of Operations
 - c. Chief Pilot
 - d. Head of Safety
 - e. Head of Quality
 - f. Head of Maintenance
4. Initial Statement of Compliance for applicable regulations
5. Technical User Manuals:
 - a. Operations Manual Part A (General Information);
 - b. Part B (Aircraft Operating Information);
 - c. Part C (Area, Routes & Aerodrome Information);
 - d. Part D (Training).
 - e. Dangerous Goods Manual as applicable (information may be contained in OMA)
 - f. Ground Handling Manual as applicable (information may be contained in OMA)
 - g. Safety Management Manual
 - h. Emergency Response Plan Manual
 - i. Cabin Crew Manual
 - j. Quality Manual
 - k. Maintenance Control Manual
 - l. Aircraft Maintenance Program and source documents
 - m. Security Manual (submitted to AVSEC department)
 - n. AFM
 - o. POH
6. Aircraft QRH/Checklists
7. Instructors & Designated check personnel proposals
8. Passenger briefing card.
9. Proposal for Emergency Evacuation Demonstration
10. Proposal for Demonstration Flights
11. Justification for combined management positions
12. Copy of aircraft maintenance agreement with an approved AMO. Attach copies of AMO certificate as well as its SOPs (Standard Operating Provisions).
13. Aircraft Lease Agreement/ KCAA Lease approval if aircraft is leased or letter of intent.
14. Any other service contracts/ agreements with service providers, e.g. ground handling, training, office facilities, aeronautical charts and related publications, etc

Checklist

1. Operators Documents' Cursory Review Evaluation Checklist

Output

1. Evaluation of Authority Resources

2.2.56.3 Phase III

Input

1. Approval of Quality System-Manual Checklist
2. Evaluation of Aircraft Checklist
3. Training Programme Approval Checklist
4. Approval and Acceptance of the Aircraft Operating Manual (Aom)
5. Carry-On Baggage Programme Checklist

6. Exit Row Seating Programme Checklist
7. Evaluation of Passenger Briefing Card Checklist
8. Preparation of Cabin Crew Manual Inspection Checklist
9. Reviewing an Applicants Plan for Evacuation Checklist
10. Reviewing an Applicant's Plan for Demonstration Flights
11. Evaluation of Statement of Compliance Checklist
12. Evaluation of Operations Manual Part A Checklist
13. Evaluation of Operations Manual Part B Checklist
14. Evaluation of Operations Manual Part C Checklist
15. Evaluation of Operations Manual Part D Checklist
16. Management Personnel Evaluation Checklist
17. Ground Handling Manual Evaluation Approval Checklist
18. Approval and Acceptance of Minimum Equipment Lists (MEL) and Configuration Deviation Lists (CDL) Checklist
19. Maintenance Control Manual Checklist
20. Aircraft Maintenance Procedures Checklist
21. Safety Management Systems Manual Evaluation Checklist
22. Evaluation of Aircraft Flight Manual Checklist
23. Flight Data Analysis Programme Inspection Checklist
24. Review of Manual Containing Simulator - Training Devices Process Checklist

Output

Reports

1. Approval/Acceptance Letters
2. Phase 3 Completion Notice

2.2.56.4 Phase IV

Input

Forms/Documents:

1. Corrective action request form.
2. Operator Corrective Action Plan.
3. Corrective Action Plan Evaluation & Tracking.

Checklists:

1. Air Operator Certification Job Aid Form and Schedule of Events for Commercial Air Transport Operators Form
2. Base Inspection-Audit Job Aid
3. Base Inspection - Initial AOC Operations Requirement
4. AOC Maintenance certification or Renewal Inspection Checklist
5. Management Personnel Evaluation Checklist/Interview Questionnaire
6. Training Programme Inspection Checklist

7. Cabin Crew Training Inspection-Safety Inspection Training and Drills
8. Pre-Evacuation Demonstration Aircraft Inspection Checklist
9. Evacuation/Ditching Demonstration Checklist
10. AOC Demonstration Flights Checklist
11. Approval of Flight Simulator Training Device for Use by Operator
12. Check Pilot (Authorization, Renewal of Authorization, Or Inspection)
13. Flight Data Analysis Programme Inspection Checklist

Output

1. Inspection Reports
2. Attendance Sheets
3. Management Personnel Acceptance/Approval Letters
4. Phase IV Closure Notice

Reports:

2.2.56.5 Phase V

Input

1. Schedule Of Events Form
2. Flight Operations Air Operators Certificate (AOC) Recommendations Form.
3. Final Certification Inspection Report Template
4. Summary of Difficulties Template
5. Surveillance Programme Template
6. Air Operator Certificate (AOC) Template
7. Operations Specifications Template

Output

1. Surveillance Programme
2. Summary of Difficulties
3. AOC Certificate
4. Operations Specifications
5. Phase V Closure Notice
6. Final Certification Inspection Report

2.2.57 SPECIAL AUTHORIZATIONS– AIR AMBULANCE OPERATIONS

2.2.57.1 Phase I

Input

Forms

1. Pre-Application Statement of Intent (PASI) Application Form
2. Schedule of Events

Checklists

1. Form Evaluation Checklist

Output

Reports

1. Pre-Application Meeting Minutes.
2. Attendance Sheet
3. Nomination of Certification Team
4. Phase I closure notice

2.2.57.2 Phase II

Input

Forms/ Documents

1. Formal application Letter
2. Applicable Parts of AOC Manuals/Documents
 - a. Operations Manual Part A Operations Manual Part B/SOPs
 - b. Operations Manual Part D Operations Manual Part C
 - c. MCM
 - d. AMP
 - e. MEL
3. 4.Initial Statement of Compliance for applicable regulations
4. Manufacturer documents

Checklists

1. Operators Documents' Cursory Review Evaluation Checklist

Output

Reports

1. Formal Application Meeting Minutes (if applicable)
2. Attendance Sheet (if applicable)
3. Rejection of Formal Application Template Notice (if applicable)
4. Phase 2 Closure Notice

2.2.57.3 Phase III

Input

Forms/ Documents

1. Schedule of Events

Checklists

1. Evaluation of Statement of Compliance
2. Approval And Acceptance Of Minimum Equipment Lists (MELS) And Configuration Deviation Lists (CDLS) Checklist
3. Evaluation of Operations Manual Part A
4. Evaluation of Operations Manual Part B
5. Evaluation of Operations Manual Part C

6. Evaluation of Operations Manual Part D Training
7. Training Programme Evaluation
8. Evaluation of Aircraft Checklists
9. Evaluation of Statement of Compliance
10. Approval and Acceptance of MEL and CDL
11. Maintenance Control Manual
12. Evaluating A Maintenance Programme

Output

Reports

1. Letters of approval
2. Letters of acceptance
3. Letters of rejection/corrective action
4. Phase 3 completion notice

2.2.57.4 Phase IV

Input

Forms/ Documents

1. Corrective action request form.
2. Operator Corrective Action Plan.
3. Corrective Action Plan Evaluation & Tracking.
4. Schedule of events

Output

Reports

1. I. Inspection Reports
2. Attendance Sheets
3. Management Personnel Acceptance/Approval Letters
4. Phase IV Closure Notice

2.2.57.5 Phase V

Input

Forms/ Documents

1. Recommendation Memo
2. Operations Specifications Template

Output

Reports

1. Final Phase 5 Report
2. Summary of Difficulties
3. Surveillance Programme variance
4. Air Operator Certificate (AOC)
5. Operations Specifications

2.2.58 LEASE APPROVAL

2.2.58.1 Phase I

Input

Application Form

1. Lease approval application form.
2. Air Operator Certificate or equivalent
3. Operations Specifications
4. Certificate of Registration for each aircraft
5. Certificate of Airworthiness for each aircraft Noise Certificate for each aircraft type and
6. Certificate of Insurance.
7. Operations Manual Part A
8. Operation Manual Part D
9. Maintenance Control Manual
10. Lease agreement.
11. Safety Oversight Capability of the State of Registry and / or State of Operator

Checklist:

Lease evaluation application checklist.

Output

- a. Pre-Application Meeting Report / Minutes
- b. Phase I Closure Notification

2.2.58.2 Phase II

Input

Application Form:

Mandatory Documents (Certification Package)

- a. Air Operator Certificate or equivalent
- b. Operations Specifications
- c. Certificate of Registration for each aircraft
- d. Certificate of Airworthiness for each aircraft Noise Certificate for each aircraft type and
- e. Certificate of Insurance.
- f. Operations Manual Part A
- g. Operation Manual Part D
- h. Crew Licences
- i. Schedule of events

Checklist:

None

Output

- a. Formal-Application Meeting Report
- b. Phase 2 Closure Notification

2.2.58.3 Phase III

Input

Application Form:

None

Checklist:

- a. Operator Document Evaluation Checklist

- b. Document validation letters.

Output

- a. Manual Acceptance letters
- b. Phase 3 Closure Notification

2.2.58.4 Phase IV

Input

Application Form:

Operator Audit/Inspection/ Validation Plan

Checklist:

Operator Audit/Inspection/Validation Checklist

Output

- a. Manual approvals
- b. Phase IV Closure Notification

2.2.58.5 Phase V

Input

Recommendations Form – Lease approval

Output

- a. Final lease approval Report with recommendations
- b. Updated Surveillance Programme
- c. Schedule of Events
- d. Operations Certificate
- e. Operation Specifications
- f. Lease Database
- g. Phase 5 Closure Notification Letter

2.3 MANAGEMENT OF SURVEILLANCE OBLIGATIONS

Process ID	#06
Process range	Audits, Inspections, Safety events analysis
Process Description	Surveillance involves activities through which KCAA proactively verifies through inspections and audits that aviation licence, certificate, authorization or approval holders continue to meet the established requirements and function at the level of competency and safety.
Department / Scope	ALL ASSR Departments
Process Owner	DASSR
Primary Actors	Operator, ASSR HODs, Inspectors
Secondary/ Supporting Actors	Legal, DASSR, DG
Preconditions/ Dependencies	<ol style="list-style-type: none"> 1. Mandatory Activities 2. Previous Inspection Reports 3. Safety Reports (Safety Performance Measurement) 4. Trends 5. List/ Number of Approved Regulated Entities 6. Risk Assessments Results
Integrations	Document Management System, Inspector Competence Management ERP

2.3.1 SURVEILLANCE PROGRAMME – GEN02

2.3.1.1 Preparation of Surveillance Programme

KCAA ASSR Managers are responsible for preparation of these programs to ensure that indications of any irregular procedures, inadequate facilities or equipment, or ineffective management control of the operation in the aviation industry are detected.

2.3.1.2 Process Steps

- I. The system shall provide for preparation of a surveillance programme by the various departments/units capturing details such as:
 - a. Approved regulated entities
 - b. Scheduled, random/ad-hoc, special purpose inspections
 - c. Surveillance teams
 - d. Operator risk profiles and the policy criteria:
 - i. Organization Risk Profile (ORP) for each Regulated Entity, ranking between Regulated Entities on the basis of ORP values
 - ii. Interconnected Dashboards, with multiple views (e.g. browse mode, drill-down, etc.)

- iii. Suitable for all regulated aviation areas (different categories of Regulated Entities).
- iv. Derive indicators from raw data (reuse raw data in different indicators).
Different types of raw data:
 - 1. Facts (e.g. number of employees, fleet-size, etc.).
 - 2. Assessed and rated surveillance elements (checklist).
 - 3. Extract existing data from database.
- 2. The surveillance programme shall undergo through an approval workflow and notification to Inspectors of assigned activities as detailed below:
 - a) HOD then Submits the Programme to DASSR for Review and recommendation for Approval.
 - i) If DASSR declines the request, the programme is sent back To HOD for further Review.
 - ii) If accepted, DASSR consolidates the programmes from all departments to form the annual State surveillance program and transmits to DG for approval.
 - b) DG reviews the annual State surveillance programme.
 - i) If DG declines the request, the programme is sent back to DASSR for further review.
 - ii) If accepted, Notify DASSR and HODs for implementation.
 - c) HOD shares the approved Programme with Inspectors for preparation of Surveillance Plans

2.3.1.3 Outputs

- a. Approved Surveillance Programme
- b. Implementation Progress Dashboard

2.3.2 SURVEILLANCE PLANNING – GEN03

2.3.2.1 Preparation of Surveillance Plan (Team Leaders/ Inspectors)

Team leaders are responsible for preparation of surveillance for specific activities. The system shall support the preparation of surveillance plans for all types of surveillance activities (scheduled, ad-hoc, special purpose). The surveillance plan outlines:

- a. The surveillance activities
- b. The scope of surveillance
- c. Required resources
- d. Applicable TGMS including checklists
- e. Applicable Regulations
- f. Other pertinent information
- g. Outstanding corrective actions

2.3.2.2 Process Steps

- a) HOD assigns Team Leaders the approved state Surveillance Program to prepare Surveillance plans.
- b) Team Leader develops a Surveillance plan from approved surveillance program for every allocated Regulated Entities. This is informed by the following triggers.
 - i) Mandatory Activities
 - ii) Previous Inspection Reports
 - iii) Safety Reports (Safety Performance Measurement)

- iv) Trends
- v) Risk Assessment (AVSEC)
- vi) Major Aerodrome Maintenance Work
- c) The plan is submitted to HOD for Review
 - i) IF Other Departments will participate in the surveillance activities,
 - (1) Lead HOD, send a request to participating departments for submission of input and nomination of inspectors where need be.
 - (2) The other HOD(s) sends feedback to Lead HOD for incorporation.
 - (3) If other departments will not participate in the activity/ or all Feedback from other departments has fully been incorporated, HOD Further evaluates whether the prepared plan is sufficient.
 - (a) If Plan is not sufficient, the process bounces back to **Step 2 b)**
 - (b) If Plan is Sufficient, HOD approves Surveillance plan, and the Team Leader can proceed to implement the plan by conducting surveillance Activities

2.3.2.3 Output

- a. Approved Surveillance Plan
- b. Implementation Progress Dashboard
- c. Applicable activity checklists

2.3.3 EXECUTION OF SURVEILLANCE ACTIVITY – GEN04

2.3.3.1 Overview

Team leaders and inspectors are responsible for the execution of surveillance plans. Implementation of surveillance plans is achieved through execution of surveillance activities. The quality and standardization of inspection reporting requires the use of inspection checklists.

During surveillance, the checklist must support the Inspector to achieve the following:

1. Access to the full text of regulation articles and paragraphs, manual chapters, expositions or topic-based classifications shall be available during assessment from the checklist.
2. View the progress of an assessment and therefore indicate checklist items which have missing results or decisions to be made.
3. Enable the user/inspector to record evidence of his assessment.
4. Synchronize with a mobile device, where the user can fill in the results using an offline client and later synchronize the data back into the main system (e.g. support of offline documentation of surveillance activities).
5. Link to one or more sections of the regulations.
6. Enable the documentation of observations.
7. The system shall support partial use of checklists

2.3.3.2 Process Steps

1. The Team Lead for the Inspection shall open a Surveillance Plan to begin the Inspection
2. The Team Lead shall check the adequacy of resources regarding the Inspection Team:
 - a. If the Resources are NOT sufficient, the Team Lead determines whether the required extra resources are from other departments.
 - i. If Resources are required from other departments, the Team Lead generates a request for more Inspectors from the respective HODs.

- ii. If Resources are NOT required from other departments, the Team Lead allocates the required Inspectors to be part of the Surveillance Team.
3. With adequate Resources, the Surveillance Team members are notified of the Inspection. The System generates an email for the Team Members.
4. For Scheduled Inspections, the Team Lead notified the Service Provider.
 - a. The Service Provider reviews the proposed Scheduled for the Surveillance.
 - i. If the proposed schedule is alright, the Service Provider confirms the Surveillance.
 - ii. If the proposed schedule is NOT acceptable, the Service Provider proposes an alternative Schedule. The Team Leave reviews the Schedule proposed by the Service Provider. If it is acceptable, the Surveillance Schedule is Confirmed. If it is not acceptable, a new Schedule is proposed for the confirmation of the Service Provider.
5. The Team Lead Undertakes an Inspection/Audit Team briefing. This is undertaken for both Scheduled and Unscheduled Surveillance. The brief entails the following: -
 - a. Audit Scope.
 - b. Applicable Requirements.
 - c. TGMs.
 - d. Outstanding Findings.
 - e. Exemptions – If applicable.
 - f. History of Violations.
 - g. Note any OJT Inspector.
6. The Team Lead allocates Surveillance Tasks and obtains Facilitation Requirements. The facilitation requirements are undertaken off the system. They entail logistics, perdiems etc.
7. The team undertakes the Surveillance/Inspection using applicable Checklists.
 - a. The team documents any findings.
 - b. The team documents any violations.
 - c. The team documents any observations.
8. The Team Leader prepares the Surveillance Report.
 - a. If there are violations, the Enforcement Action Procedure is invoked.
 - b. If there are findings, the Corrective Action Procedure is invoked.
9. The Team Leader submits the Surveillance Report with Recommendations to the HoD. The System Generates a notification Email to the HOD.
10. The HOD Reviews the Surveillance Report.
 - a. If the HOD Approves the report,
 - i. the System updates the Date of Approval.
 - ii. The System generates a notification email to the Service Provider
 - iii. The System updates the Surveillance Plan.
 - b. If the HOD requires further clarification/information/amendments on the Surveillance Report, they return it to the Team Leader with Comments. The systems generate an email to the Team Leader seeking further clarification.

2.3.3.3 Output

1. Attendance sheets
2. Surveillance reports
3. Surveillance activities progress/status/statistics/summary reports
4. Implementation Progress Dashboard

2.4 RESOLUTION OF SAFETY ISSUES & SECURITY CONCERNS

2.4.1 OVERVIEW

This process is initiated when the Authority identifies deficiencies/non-compliance arising from triggers such as surveillance activities, reporting systems, certification processes. The Applicant/Operator is notified of the non-compliance through a Corrective Action Request (CAR) and is required to submit a Corrective Action Plan for review. Once the issues identified are resolved, the Applicant notifies the Authority who will conduct a follow up inspection to verify the same. If the issues are confirmed to have been resolved, then the Corrective action request is closed. Otherwise, the Authority initiates an enforcement procedure.

2.4.2 CORRECTIVE ACTION PROCEDURE – GEN05

- a. The system shall enable the Inspector to capture non-compliance (finding, observation or violation)
- b. The system shall support categorization/classification of the raised concerns/issues
- c. The Applicant/Operator is notified of the raised concerns/issues through a CAR
- d. The system shall allow the Applicant/Operator to develop a Corrective Action Plan (CAP) (or Mitigation Measure in case of a level I finding)
- e. The system should enable the Inspector to review the CAP and either accept or reject it. The Applicant/Operator is notified of the status of the CAP after review

2.4.2.1 Process Narration

- i. The inspector documents and evaluates the safety/ Security issue(s) and Collection of evidence.
- ii. Inspector evaluates the Safety/ Security issue to determine whether there is a violation/ finding.
- iii. If it's a violation, enforcement process is invoked, Otherwise the issue becomes a finding.
- iv. The inspector conducts Risk/ Security finding analysis and Classification of safety/ security issue(s) to determine the level of finding that will be elicited.
 - i. Level I: This finding necessitates the exercising of immediate action by the regulated entity to mitigate the risks to aviation safety. The process is as follows: -

Path I

1. Inspector imposes operating restrictions to preserve safety/ security
2. Notify HOD and Applicant
3. HOD reviews the findings and make recommendations to DASSR
4. DASSR reviews report to establish weight of the finding, operating restrictions imposed, mitigation measures by operator and HOD recommendations

5. If findings are validated by DASSR
 - a. Sustain the level of Finding and or/ impose additional restrictions. Where additional restrictions are justified, DASSR Notifies HOD and instruct Inspector to impose additional restrictions

Path 2

1. Inspector imposes operating restrictions to preserve safety/ security
 2. On receiving notification, the operator defines mitigation measures including suspension of operation if appropriate
 3. The Inspector reviews the mitigation measures
 - a. If acceptable the Inspector reclassifies the Finding otherwise, the measures are Returned to operator for review and re-submission
2. Level 2: Inspector notifies Operator of the finding which should be resolved within 30 days. It will be required of the regulated entity to clear the deficiency before the approval can be renewed, or to submit an acceptable action plan within an agreed time frame to abate the safety risk until the non-conformance can be cleared. The below process applies: -
- i. Inspector notifies the Operator/ HOD and issue CAR forms
 - ii. The operator develops CAP and submit for Evaluation and Acceptance
 - iii. The inspector reviews the CAP(s)for acceptance
 1. If the CAP is Accepted, inspector conducts follow-up activity otherwise, its returned to the operator for review and resubmission
 2. If results of Follow up (Administrative/ physical inspection) activity are satisfactory and CAP is Closed, Document evidence of implementation and closure, Return to parent process and Update Surveillance plan
 3. If results of Follow up (Administrative/ physical inspection) activity are NOT satisfactory and CAP NOT Closed, document progress and evaluate the CAP Implementation
 - a. If No progress was made on the CAP implementation, Invoke Enforcement procedure
 - b. If progress was made on the CAP implementation, Document progress and Evaluate CAP status
 - i. If CAP review is required, issue request for resubmission of CAP to the Operator
 - ii. If CAP review is not required, schedule Follow up inspection (Administrative/ physical)

3. Level 3: Inspector notifies Operator to submit an action plan for the rectification of such deficiency within 7 days and fully address the said deficiency within 90 days. Where a regulated entity has not implemented the necessary corrective action and subject to realistic action plan being in place it may be appropriate to grant a further period, however this will be subject to application by the regulated entity with supporting mitigation on preservation of safety during the intervening period (before full compliance is achieved). The below process applies: -
 - i. Inspector notifies the Operator/ HOD and issue CAR forms
 - ii. The operator develops CAP and submit for Evaluation and Acceptance
 - iii. The inspector reviews the CAP(s)for acceptance
 1. If the CAP is Accepted, inspector conducts follow-up activity otherwise, its returned to the operator for review and resubmission
 2. If results of Follow up (Administrative/ physical inspection) activity are satisfactory and CAP is Closed, Document evidence of implementation and closure, Return to parent process and Update Surveillance plan
 3. If results of Follow up (Administrative/ physical inspection) activity are NOT satisfactory and CAP NOT Closed, document progress and evaluate the CAP Implementation
 - a. If No progress was made on the CAP implementation, Invoke Enforcement procedure
 - b. If progress was made on the CAP implementation, Document progress and Evaluate CAP status
 - i. If CAP review is required, issue request for resubmission of CAP to the Operator
 - ii. If CAP review is not required, schedule Follow up inspection (Administrative/ physical)

2.4.2.2 Inputs

- a. Findings

2.4.2.3 Outputs

- a. Out-standing/Unresolved findings
- b. CAPs
- c. Meeting minutes

2.4.2.4 Reports

- a. List of all findings (filter by various parameters such as status, operator, level)
- b. Implementation Progress Dashboard

2.4.3 ENFORCEMENT PROCEDURE – GEN06

2.4.3.1 Overview

Enforcement emanates from surveillance activities and other external sources as a result of violations by entities regulated by the Authority. Reported violations are first reported to the Authority and investigated. If proven to be true, measures are put in place to rectify such violations and update the Surveillance Plan accordingly. In some cases, the Criminal Justice System might be called upon to handle such matters if criminal offence(s) have been committed. The system shall provide the ability to:

- a. Capture a violation or an infringement notice attaching relevant evidence
- b. Upload of violation documents where necessary
- c. Define an approval process to confirm a violation
- d. Prepare and approve an Enforcement Investigation Report

2.4.3.2 Process Narration

1. An Inspector fills a violation form, attaches relevant violation evidence and submits to the HOD.
2. The HOD reviews the violation form and related evidence for accuracy and completeness:
 - a. If the violation form is in order, the HOD makes recommendations and forwards to DASSR.
 - b. Otherwise, the violation form is returned to the Inspector with comments.
3. DASSR reviews the violation forms and related evidence:
 - a. If DASSR concurs that a violation has occurred, he/she refers the matter to the Enforcement Office
 - b. Otherwise, DASSR refers the issue back to the HOD with comments on Resolution of Safety Concerns. The initiating Inspector will then initiate the Resolution of Safety Concerns and the process is terminated.
4. The Enforcement Office requests for subject matter experts from the relevant departments and Legal Office to form the Investigation Team
5. The Investigation Team conducts an investigation and prepares an Enforcement Investigation Report with enforcement recommendations which is forwarded to DASSR.
6. DASSR reviews the report:
 - a. If the report is satisfactory, DASSR reports the report to DG with Recommendations
 - b. Otherwise, DASSR refers the report back to the Investigating Team with comments for amendments.
7. DG reviews the report:
 - a. If the report is satisfactory, DG approves the Enforcement Investigation Report and Recommendations and provides any necessary directives as to the implementation of those Recommendations.
 - b. Otherwise, DG refers the report back to DASSR with comments for amendments.

8. The Enforcement Office coordinates the implementation of the enforcement determination and notifies the HOD and Operator. In case of criminal acts, the Legal Office coordinates such matters relating to enforcement.
9. The Surveillance Program is updated appropriately.

2.4.3.3 Inputs

Application Form

1. Initial Violation Form
2. Formal Complaint
3. Upload of documents

2.4.3.4 Outputs

1. List of violation

2.4.3.5 Reports

1. Enforcement Investigation Reports and Recommendations
2. Individual dashboards for violations and resolution status

2.4.4 ENFORCEMENT DECISION REVIEW PROCEDURE – GEN07

2.4.4.1 Process Narration

1. The Operator / Individual appeals an enforcement determination
2. The DG considers the Enforcement Decision Review Request and assigns DASSR to constitute an Enforcement Review Team (ERT)
3. The ERT conducts a review of the initial determination and may conduct further investigation
4. The ERT prepares a report and submits to DASSR for review
5. DASSR reviews the report:
 - a. If the report is satisfactory, DASSR submits the report to DG
 - b. Otherwise, DASSR refers the report back to the Investigating Team with comments for amendments
6. DG reviews the report:
 - a. If the report is satisfactory, the HOD is requested to update the Surveillance Program accordingly
 - b. Otherwise, DG refers the report back to DASSR with comments for amendments
7. The Enforcement Office coordinates the implementation of the enforcement determination and notifies the HOD and Operator.
8. The Enforcement Team originates an enforcement publication and submits to DG.
9. DG reviews:
 - a. If satisfactory, notify Operator,
 - b. Otherwise, DG refers the publication back to the Enforcement Team with comments for amendments.

2.5 EVALUATION OF TECHNICAL DOCUMENT(S), MANUAL(S) AND REPORTS – GEN08

2.5.1 OVERVIEW

Process ID	#07
Process range	Evaluation of technical Manual(s), Document(s), and reports
Process Description	<p>Technical Manuals / documents reissue or amendments to may be made as and when necessary, by the Operator as a result of changes to operational, organizational & regulatory requirements or any inadequacy raised by quality audit findings.</p> <p>Periodic reports that require submission to the KCAA will be evaluated as required.</p>
Department / Scope	ALL ASSR Departments
Process Owner	ASSR Departmental HOD
Primary Actors	Operator, ASSR HODs, Inspectors
Secondary/ Supporting Actors	MFIN, Revenue officer
Preconditions/ Dependencies	Payment where applicable
Integrations	Document Management System, Inspector Competence management Module & ERP

2.5.2 PROCESS NARRATION

- a. The applicant submits the application and makes payment if applicable
- b. The HOD receives and determines whether another HOD is Required in the Evaluation
 - i. If Other HOD is NOT required, an inspector is Assigned to evaluate the Document(s)/ Manual(s)/ Report(s) using relevant checklist
 - ii. Otherwise, forward to other HOD to assign an inspector to Evaluate Document using relevant checklist
- c. Inspector evaluates the document(s)/ Manual(s)/ Report(s) using applicable Checklist(s)
 - I. If the review is successful, the inspector determines whether a further evaluation is necessary from other Departments.
 - a. If other departments are NOT required to evaluate further, the inspector recommends document(s)/ manual(s)/ report(s) for approval/ acceptance.
 - b. Otherwise, the Inspector identifies findings and notifies the HOD to inform Applicant to resolve and other HOD if applicable..

- c. If other departments are required to evaluate further, the inspector notifies HOD for reassignment to other HODs who assigns an inspector
- d. If other HOD Approval is NOT required
 - i. The Team Leader/HOD reviews the recommendation for Approval/ acceptance of Document(s)/ Report(s)/ Manual(s)
 - i. If the review is satisfactory, TL/ HOD issues approval/ acceptance of the document(s), Manual(s)/ Report(s), notify applicant and Update ASSR Technical Library.
 - ii. Otherwise, return to Inspector with comments to rectify any issues noted.
- e. If other HOD Approval is required
 - i. The other Department's Team Leader/HOD reviews the recommendation for Approval/ acceptance of Document(s)/ Report(s)/ Manual(s)
 - i. If the review is satisfactory, TL/ HOD issues approval/ acceptance of the document(s), Manual(s)/ Report(s), notify applicant and Update ASSR Technical Library.
 - ii. Otherwise, return to Inspector with comments to rectify any issues noted.

2.5.3 INPUTS

- 1. Draft Manual

2.5.4 OUTPUTS

- 1. Approval/ Acceptance/ disapproval Letter(s)
- 2. Approved manual

2.6 REQUEST OF NO OBJECTION/AUTHORIZATION/GENERAL REQUESTS – GEN09

2.6.1 OVERVIEW

Process ID	#08
Process Description	Applicants make application(s) for authorization, no objection or any other general request to the Authority. The output is an approval or rejection of the request.
Department	HOD
Primary Actors	Operator/Agent/Applicant HOD Inspector Revenue Officer
Secondary/ Supporting Actors	DASSR DG
Preconditions/ Dependencies	
Integrations	ERP

The system shall enable the Applicant to select the category of the request that they are making, provide information specific to their request and make applicable payment. Depending on the category of the request/, it is routed to the relevant department/unit for review and approval.

2.6.2 PROCESS NARRATION

- 1) The Operator/Agent/Applicant makes an application and makes a relevant payment if applicable
- 2) The application is received by HOD and assigned to an Inspector. HOD can transfer the request to another department if need be.
- 3) The HOD forwards the application to DASSR/DG with recommendations
- 4) DASSR/DG either approve or reject the application request

2.6.3 INPUTS

1. Customer Requests and application documents

2.6.4 OUTPUTS

1. List of requests made with provision to filter based on parameters such as categories, approved/rejected, time taken to process requests

2.7 CIVIL AVIATION INSPECTOR TRAINING & QUALIFICATION

Process ID	#09
Process Description	The process manages the ASSR Inspectors' Inspectors' Competency Framework, Training Plan and Inspectors' Credentials Management
Department / Scope	ALL ASSR Departments
Process Owner	DASSR
Primary Actors	Operator, ASSR HODs, Inspectors
Secondary/ Supporting Actors	Legal, DASSR, DG
Preconditions/ Dependencies	1. Mandatory Activities 2.
Integrations	Document Management System

2.7.1 PERSONNEL COMPETENCY FRAMEWORK – GENI0

The Competency Module will handle competency requirements for staff and track the implementation of training requirements aimed at building staff capacity to effectively discharge their responsibilities.

The system shall have the capacity to handle two main types of competencies (theoretical and practical) and their acquisition. The method of acquisition shall be through formal training for theoretical (knowledge) and on-the-job training (OJT) (practical skills).

The system shall maintain the following details for theory and practical aspects of the training framework:

- a. Name and Type of training

- b. Duration of validity of a training
- c. Department (such as PEL, Airworthiness, Aerodrome, etc.)
- d. Category/Classification of training (such as Certification, Surveillance, Management, etc.)
- e. Level(s) of competency that can be acquired

The system shall handle the following course information:

- a. After a course is successfully completed by a participant, the system shall aid the participant maintain or increase their competency level
- b. Store all courses offered (name, course number, start date, end date, location, status, training method (drop-down list box)
- c. Handle additional skill information: level, examiner(s), participant(s), and a document container. Courses shall be able to be copied to generate similar courses quickly
- d. Results shall be added to the participant records (value like passed/failed or scores between 0 and 100)

The system shall be able to manage the following personnel qualification requirements:

- a. A set of skills and/or task which have to be fulfilled by a competent person to obtain a certain qualification within a function. The system shall allow the definition of unlimited qualifications/functions.
- b. The competency of a person shall be available in the surveillance module as a function.
- c. A user should be able to create the competency of a person based on the skills, trainings and qualifications recorded in competency management.

2.7.2 TRAINING PROGRAMME

2.7.2.1 Process Narration

The process is described as below:

- 1) An Inspector identifies Training Requirements for the Financial Year
- 2) Managers review the Training Requirements:
 - a) If concurred, go to step 3
 - b) Else go to step 1
- 3) The HOD consolidates Departmental Inspector Requirements to create the Training Plan that's then submitted to DASSR for approval.
- 4) DASSR reviews Departmental Training Plan:
 - a) If acceptable, approve the Training Plan and submit to HR
 - b) Else go to step 3
- 5) HR implements the Departmental Training Plan

2.7.2.2 Inputs

- a. List of Courses
- b. Cadre of Personnel

2.7.2.3 Outputs

- a. Approved Programme
- b. Training Needs Assessment (TNA)

2.7.3 TRAINING PLAN

The system shall be able to summarize several tasks into training sets (e.g. training plan). Participation in the training must be documented with the planned and completion date as well as the achieved level.

The Training Plan module shall be used to document the implementation of the Competency Framework for each personnel. It shall contain a list of courses to be undertaken including the scheduled dates, costs and venue based on training priorities. The Training Plan will also include training/courses aimed at maintaining technical personnel competencies.

The system shall allow for the development of training plan for at least three years.

2.7.3.1 Process Narration

The process is described as below:

- 1) An Inspector identifies Training Requirements for the Financial Year
- 2) Managers review the Training Requirements:
 - a) If concurred, go to step 3
 - b) Else go to step 1
- 3) The HOD consolidates Departmental Inspector Requirements to create the Training Plan that's then submitted to DASSR for approval
- 4) DASSR reviews Departmental Training Plan:
 - a) If acceptable, approve the Training Plan and submit to HR
 - b) Else go to step 3
- 5) HR implements the Departmental Training Plan

2.7.3.2 Inputs

- a. Training Needs Assessment(TNA)
- b. List of Personnel

2.7.3.3 Outputs

- a. Approved Training Plan
- b. Implementation Progress Dashboard

2.7.4 DELEGATION OF FUNCTIONS & CREDENTIAL MANAGEMENT

The module shall support the delegation of oversight functions to inspectors and other persons based on their qualifications and competencies.

2.7.4.1 Process Narration

The process description is as follows:

- 1) An Inspector initiates the request for issuance or renewal of credentials or additional of delegation
- 2) Manager reviews the request:
 - a) If the Manager concurs, go to step 3
 - b) Else go to step 1
- 3) The HOD consolidates all approved requests for credentials and delegation and submits them to DASSR for recommendation
- 4) DASSR reviews requests for credentials and delegation for approval:

- a) If the DASSR recommends submit to DG, go to step 5
 - b) Else go to step 3
- 5) DG reviews requests for credentials and delegation for approval:
- a) If the DG approves, go to step 6
 - b) Else go to step 4
- 6) NCMC processes the new credentials and where applicable and revise AIC as appropriate

2.7.4.2 Inputs

- a. Inspector training records
- b. Tasks to be delegated

2.7.4.3 Outputs

- a. Credentials

2.8 MANAGEMENT OF TEAMS/REQUESTS FOR STAFF RESOURCES – GENI3

Process ID	#10
Process Description	The process shall be invoked by various process whenever there is a need for managing teams. The process should return a complete team with the necessary approvals to the parent process.
Department / Scope	ALL ASSR Departments
Process Owner	DASSR
Primary Actors	Operator, ASSR HODs, Inspectors
Secondary/ Supporting Actors	DG, DANS, DEASA, CS
Preconditions/ Dependencies	I. A process requiring a team

During processing of various Applications e.g. AOC, AMO, ATO etc there shall be requests for resources. These resources shall be in the form of members to be part of a Certification Team. An alert shall be generated by the requesting Officer to the respective HODs. The Request for Certification Team Formation/Modification Shall be as follows: -

- I. List of Staff Resource Requests for Certification Team Formation: -
 - a. Application Reference No.
 - b. Requesting Process (AOC, AMO, ATO)
 - c. Applicant
 - d. Proposed Start Up Date
 - e. Application details
 - f. Created By
 - g. Created Date

- h. Status
2. On opening the request, the following details about the request shall be available: -
- a. Required Department(s) {AAMLE – Aerodromes, AAMLE - ANS, Airworthiness, AVSEC, Flight Operations, Personnel Licensing}
 - b. Required Role {Project Manager, Member}
 - c. Resource Need Description
 - d. No. of Resources
 - e. Required From
 - f. Fulltime/Parttime
 - g. Approximate Duration
 - h. Requested by
 - i. Date Requested
3. Resources Proposal – By HoDs
- a. If the resources are available, the HOD shall action as follows: -
- [Repeating table if more than one Inspector is required]
- i. Pick an Inspector
 - a. Select an Inspector – DDL {List of Inspectors within the Department}
 - b. *Email address updated from the DB*
 - c. Enter any Remarks
 - d. Add to list
 - ii. Action – Resources Proposed
 - iii. The system shall process as follows: -
 - a. Update resource allocated = True
 - b. Update status as **Resource Proposed**
- b. If the resources are NOT available, the HOD shall action as follows: -
- i. Action – Resources Unavailable
 - ii. Enter Remarks
 - iii. The system shall process as follows: -
 - i. Update resource Proposed = False
 - ii. Update status as **Resource Unavailable**
4. Resource Approval - Director. Once all requested resources have been proposed. A notification is sent to the Director for approval.
- a. List of Staff Resource Requests for Approval of Certification Team Formation: -
 - i. Application Reference No.
 - ii. Requesting Process (AOC, AMO, ATO)

- iii.Applicant
- iv.Proposed Start Up Date
- v.Application details
- vi.Created By
- vii.Created Date
- viii.Status – Proposed

Action

- ix.The Director opens all the proposed names.
- x.The Director reviews the names.
- xi.The Director may change/replace/remove a name
- xii.Once the review is complete, the Director may: -
 - i.Approve the Team – Notification to requesting HOD and team members
 - ii.Reject the Team – Notification to requesting HOD
 - iii.Recommend for DG's Approval – Notification to HOD and DG

5. Resource Approval - DG. If the Director recommends approval of a Certification Team by the DG, the DG shall receive a notification.

- b. List of Staff Resource Requests for Approval of Certification Team Formation: -
 - i.Application Reference No.
 - ii.Requesting Process (AOC, AMO, ATO)
 - iii.Applicant
 - iv.Proposed Start Up Date
 - v.Application details
 - vi.Created By
 - vii.Created Date
 - viii.Proposed By
 - ix.Proposed Date
 - x.Status – Proposed

Action

- xi.The DG opens all the proposed names.
- xii.The DG reviews the names.
- xiii.The DG may change/replace/remove a name
- xiv.Once the review is complete, the dg may: -
 - iv.Approve the Team – Notification to requesting HOD and team members
 - v.Reject the Team – Notification to requesting HOD

3 AIRWORTHINESS

3.1 ISSUANCE/RENEWAL/CHANGE/EXTENSION OF CERTIFICATES OF AIRWORTHINESS (COFA) – AIR01

Process ID	#11
Process Name	Issuance, Renewal, Change of Particulars and Extension of Certificate of Airworthiness.
Process Description	<p>The issuance of a Certificate of Airworthiness for an aircraft is dependent upon the aircraft being registered by the Authority. The Authority, when satisfied that the relevant requirements are met, will issue the C of A.</p> <p>The renewal of a Certificate of Airworthiness is subject to a determination of continuing airworthiness by the Authority by inspection. The periodic renewal is intended to ensure that the Authority can verify that the aircraft remains in compliance with the applicable airworthiness requirements.</p> <p>The Authority may amend or modify any type of certificate of airworthiness issued upon application by an Owner/Agent of Owner or on the Authority’s own initiative.</p> <p>The Authority may extend of a Certificate of Airworthiness for a particular interval provided safety is not compromised upon justification by the Operator.</p>
Department	Airworthiness
Process Owner	MAIR
Primary Actors	Owner/Agent of Owner MAIR Inspectors
Secondary/ Supporting Actors	DASSR DG MFIN Revenue Officer
Preconditions/ Dependencies	C of R
Integrations	ERP Payment Gateway Document Management System

3.1.1 PROCESS NARRATION

- i. The Owner/Agent of Owner specifies the type of C of A they are applying for issue form.
- ii. The owner/agent of owner attaches relevant documents

- iii. The Owner/Agent of Owner pays the relevant fee .
- iv. MAIR assigns an inspector to evaluate the application
- v. The Inspector inspects all the documents in the package using respective checklist
- vi. From v, if the attached Documents are Not satisfactory,
 - The Owner/Agent of Owner is notified to rectify findings within stipulated timelines.
 - The Owner/Agent of Owner rectifies findings and submits the corrective Action to the authority for evaluation
 - In event the findings is not rectified, the system notifies the Owner/Agent of Owner.
- vii. From v, if the attached Documents are satisfactory, the inspector conducts a C of A pre-issue aircraft inspection using the applicable checklists.
- viii. The inspector evaluates the results of inspection and determines whether the application will be recommended for issuance of C of A
 - If Application is NOT CONSIDERED for C of A
 - The Inspector notifies the Owner/Agent of Owner on the findings / Findings
 - In event the findings is not rectified within stipulated timeline, the system notifies the Owner/Agent of Owner.
 - In event the Owner/Agent of Owner satisfactorily rectifies findings issues, he/she resubmits the rectified application package to the inspector for reconsideration of issuance of C of A.
 - If application is considered for C of A, MAIR/DASSR/DG reviews the documents and the recommendation from the inspector
 - If the Application package is NOT ACCEPTABLE at this level, it is resubmitted to the respective Inspector for re-processing
 - If the Application package is ACCEPTABLE at this level, the C of A is ready for issue
 - If it's a new Aircraft type in the Aircraft Register, the System updates the Aircraft Register, notifies inspector and the state of design, and Owner/Agent of Owner.
 - If it's NOT a new Aircraft type in the Aircraft Register, the System updates the C of A Register and notifies inspector and the Owner/Agent of Owner.

3.2 PROCESSES FOLLOWING ISSUANCE/RENEWAL/ CHANGE/ EXTENSION OF CERTIFICATES OF AIRWORTHINESS (C OF A) – GENI4

3.2.1 ISSUANCE OF C OF A - AIR02

Input

Application Forms/ Documents

- a) C of A Application
- b) Copy of the aircraft Certificate of Registration
- c) Copy of the previous C of A or of the Export C of A.
- d) Aircraft Flight Manual or Pilot Operating Handbook.
- e) The aircraft Airworthiness Directives status report.
- f) A statement of compliance with the authority requirements and manufactures service bulletins.
- g) Aircraft previous twelve (12) months maintenance review report.
- h) Life components status report.
- i) Current Weight and Balance schedule report.
- j) Copy of Latest major scheduled maintenance certificate release to service, and inspection summary.
- k) Copy of the current certificate of release to service if different from (i) above.
- l) Record of the aircraft equipment and systems installations.
- m) Copy of the current aircraft Radio Station license.
- n) Copy of the current stand-by compass swing schedule report.
- o) Aircraft certificate of insurance.
- p) Approved aircraft maintenance program
- q) Approved Minimum Equipment List.
- r) Maintenance agreement with AMO that will maintain the aircraft.

2) Restricted C of A

- a) Copy of the aircraft Certificate of Registration
- b) Copy of the previous C of A if applicable.
- c) The aircraft Airworthiness Directives status report if applicable.
- d) A statement of compliance with the authority requirements and manufacturers service bulletins.
- e) Current Weight and Balance schedule report.
- f) Copy of the current stand-by compass swing schedule report.
- g) Aircraft certificate of insurance.
- h) Copy of the C of A test flight schedule report (as may be required)

Export C of A - The owner/agent of owner submits a statement of compliance with the full Intents of the approved maintenance programme or Schedule .

- i) The owner/agent of owner submits a statement of compliance with the mandatory Airworthiness Directives and Service Bulletins applicable to the aircraft and its equipment.

- j) The aircraft has been inspected in accordance with the performance rules of these regulations and found airworthy by persons authorized by the Authority to make such determination within the last 14 days.
- k) The maintenance determined by the Authority as a prerequisite for issue of the export certificate of airworthiness has been carried out and certified by a person acceptable to the Authority in accordance with these regulations.
- l) The result of test flight, and such other tests as the Authority may determine are complied with.
- m) Historical records to establish the production, modification and maintenance standard of the aircraft.
- n) A weight and balance report with a loading schedule, where applicable, for each aircraft in accordance with the applicable regulations is furnished to the Authority.

3) Special flight permit -

- a) Certificate for Fitness for Flight
- b) Certificate of Registration
- c) A valid Insurance Certification
- d) Crew License(s)

Document Evaluation Checklists

- a) C of A(standard)-
- b) Restricted C of A -
- c) Special Flight Permit
- d) Export C of A -

Aircraft Inspection Checklist

- a) C of A(standard)-
- b) Restricted C of A -
- c) Export C of A -
- l. Output

Reports

- a) Recommendation for C of A issue
- b) C of A

3.3 RENEWAL OF C OF A - AIR03

Input

Application Forms/ Documents

1) C of A (standard)-

- a) The aircraft Airworthiness Directives (AD) status report.
- b) A statement of compliance with the authority requirements and manufactures service bulletins.
- c) Aircraft previous twelve (12) months maintenance review report.
- d) Life components status report.

- e) Current Mass and Balance schedule report.
- f) Copy of latest major scheduled maintenance certificate release to service.
- g) Copy of the current certificate of release to service (if different from (f) above).
- h) Record of the aircraft equipment and systems installations.
- i) Copy of the current aircraft Radio Station licence.
- j) Current Stand-by compass swing schedule report.
- k) Copy of the aircraft certificate of insurance.
- l) A C of A renewal test flight schedule report (as may be required).
- m) Current Annual readout reports for Cockpit Voice Recorder and Flight Data Recorder (if applicable).
- n) Current Pitot Static System Test Report.
- o) Any other documents the Authority may require.
- p) **Restricted C of A –**
- q) Copy of certificate of registration.
- r) Copy of the aircraft certificate of insurance.
- s) Copy of maintenance performed during renewal.

Document Evaluation Checklists

- a) C of A (standard)
- b) Restricted C of A -

Aircraft Inspection Checklists

- a) C of A(standard)-.
- b) Restricted C of A -

Output

Reports

- a. Recommendation for CoA Renewal
- b.C of A

3.4 CHANGE OF CATEGORY STATUS OF COFA - AIR04

Input

Application Forms/ Documents

C of A (standard)-

Checklists

C of A (standard)-

Output

Reports

- a. Recommendation for Change of category status of C of A
- b. C of A

3.5 EXTENSION OF C OF A - AIR05

Input

Application Forms/ Documents

- a) Risk assessment report Applicable to aircraft not available for inspection.
- b) The aircraft Airworthiness Directives (AD) status report.
- c) A statement of compliance with the authority requirements and manufactures service bulletins.
- d) Aircraft previous twelve (12) months maintenance review report.
- e) Life limited components status report.
- f) Copy of latest major scheduled maintenance certificate release to service.
- g) Copy of the current certificate of release to service (if different from (f) above.
- h) Current Stand-by compass swing schedule report.
- i) Copy of the aircraft certificate of insurance.
- j) Current Annual readout reports for Cockpit Voice Recorder and Flight Data Recorder if applicable.
- k) Current Pitot Static System Test Report.
- l) Any other documents the Authority may require.

Checklists

CoA extension evaluation checklist

Output

Reports

- a. Recommendation for extension of CoA
- b. CoA

3.6 AIRCRAFT REGISTRATION - AIR06

Process ID	#12
Process Name	Aircraft Registration
Process Description	<p>A person shall not operate an aircraft, within or fly over Kenya unless:</p> <p>(a) for an aircraft eligible for registration under the laws of Kenya, the aircraft has been registered by the operator or its owner in accordance with the Civil Aviation (Aircraft Nationality and Registration Marks) Regulations, and the Authority has issued a certificate of registration for that aircraft which shall be carried aboard that aircraft for all operations;</p> <p>(b) it is registered in a contracting State to the Convention on International Civil Aviation; or some other State in relation to which there is in force an agreement between the Government of Kenya and the Government of that State which makes provisions for the flight over Kenya of aircraft registered in that State.</p>
Department	Airworthiness
Process Owner	MAIR
Primary Actors	Owner/agent of owner MAIR Inspectors
Secondary/ Supporting Actors	DASSR DG MFIN Revenue Officer
Preconditions/ Dependencies	
Integrations	ERP Document Management System

3.6.1 PROCESS NARRATION

- i. An owner/agent of owner selects aircraft registration.
- ii. Owner/agent of owner makes application.
- iii. Owner/agent of owner makes payment.
- iv. MAIR allocates an inspector to evaluate the application.
- v. Inspector evaluates the application and all the documents using applicable checklist.

- vi. IF the aircraft being registered is new in the register, then notify the owner/agent of owner to follow the type certificate acceptance process:
- a) Process the Type Certificate Acceptance
 - b) Validate if the documents are acceptable.
 - IF the documents are NOT acceptable then
 - Notify owner/agent of owner of the findings.
 - Owner/agent of owner resolve the findings within timelines
 - IF the findings are NOT resolved system notifies the owner/agent of owner.
 - IF the findings are resolved then the application is re-submitted to the inspector for evaluation.

Otherwise

- Validate if the documents are acceptable.
- vii. Schedule the date for aircraft inspection and notify owner/agent of owner.
- IF the owner/agent of owner does NOT confirm the date of inspection, then another schedule of the date for aircraft inspection is done and the owner/agent of owner notified.
- viii. IF the owner/agent of owner confirms the date of inspection, then the aircraft is inspected using a checklist:
- IF the aircraft is NOT acceptable invoke corrective action procedure.
 - IF the aircraft is acceptable then
 - Notify the owner/agent of owner of acceptance and request for de-registration certificate/notice.
 - owner/agent of owner submits the administrative documents.
 - IF administrative documents are NOT submitted system notifies the owner/agent of owner.
 - IF administrative documents are submitted, then:
 - Inspector evaluates administrative documents and uploads the de-registration certificate/notice.
 - IF the administrative documents are NOT acceptable then
 - Notify the owner/agent of owner of acceptance and request for de-registration certificate/notice.
 - IF the administrative documents are acceptable then
 - Inspector forwards recommendation to MAIR/DASSR/DG
 - MAIR/DASSR/DG review the recommendation.
 - IF the recommendation is NOT acceptable then recommendation is returned for review and forwarding
 - IF the recommendation is acceptable then generate certificate of registration

- Update aircraft register.
- Notifies the Inspector & owner/agent of owner.
- Notify the state of design upon registration of the aircraft in Kenya.

Input

Documents and Forms

At application point:

- Application for Registration or Re-Registration of Aircraft.
- The full specification of the aircraft including the type, model, serial number.
- Type certificate or equivalent document.
- Supplementary type certificates (if applicable).
- Type certificate data sheet.
- Statement of compliance on the civil aviation (Instruments and Equipment) Regulations.
- Export Certificate of Airworthiness.
- Copy of the current Certificate of Registration (if applicable).
- Serial numbers of major components (e.g. engines, and propellers as applicable).
- Make and Part numbers of avionics and equipment installation.
- Airworthiness Directives (AD's) status report.
- A copy of the current Certificate of Airworthiness (if any).
- Current and historical maintenance records.
- Availability of a KCAA Approved Maintenance Organization with capability on aircraft type.
- Administrative Documents.
- A document to prove aircraft ownership (e.g. Bill of Sale, Previous C of R).
- Copy of a Government issued Identity Card or Passport as appropriate
- A certified copy of the Certificate of Incorporation if owned by a company.
- Names of directors of the company owning or leasing the aircraft and their specimen signatures giving authority to register the aircraft and indicating who among them has the mandate to transact on their behalf on matters of registration.
- A certified copy of the Lease Agreement if the aircraft is on lease
- Letter of authority (if the application is made on behalf of the owner (s))/Power of Attorney
- A certified copy of a current aircraft insurance certificate
- Customs Clearance Certificate
- De-Registration Certificate or certificate of Non-Registration from the State of Manufacture
- Irrevocable De-Registration and Export Request Authorization (IDERA) And Certified Designee Confirmation Letter (CDCL)
- Financier's letter where applicable

Checklists

- Acceptance of Aircraft for Registration Checklist

Output

Certificate of Registration

**3.7 AIRCRAFT DE-REGISTRATION/ RE-REGISTRATION/
CHANGE OF AIRCRAFT REGISTRATION MARKS - AIR07**

Process ID	#13
Process Name	Aircraft deregistration, Re-registration (Change of ownership) and Change of Registration Marks
Process Description	<p>Aircraft deregistration is the removal the aircraft from the Authority aircraft register As a consequence of de-registration, any certificate of airworthiness or permit to fly in force over the aircraft will be automatically suspended and revoked.</p> <p>Re-registration (Change of ownership) of an aircraft will result in issuance of a new Certificate of Registration, and a new entry will be made in the aircraft Register.</p> <p>Change of Registration Marks of an aircraft will result in issuance of a new Certificate of Registration & new Certificate of Airworthiness and a new entry will be made in the aircraft Register.</p>
Department	Airworthiness
Process Owner	MAIR
Primary Actors	Owner/agent of owner MAIR Inspectors
Secondary/ Supporting Actors	DASSR DG MFIN Revenue Officer
Preconditions/ Dependencies	C of R and C of A
Integrations	ERP and Document Management System

3.7.1 PROCESS NARRATION

- i. The owner/agent of owner makes an application.
- ii. The owner/agent of owner makes payment.
- iii. MAIR allocates an inspector to evaluate the application.
- iv. The inspector evaluates the application.
 - a) If the application IS NOT acceptable,
 - the owner/agent of owner in notified of the findings.
 - the owner/agent of owner is expected to rectify the findings within timeline and if they fail to do so, the process stops.
 - b) If the application IS acceptable the owner/agent of owner is notified of the acceptance and requested to submit the original C of R
- v. The owner/agent of owner submits the original C of R within timelines.
 - a) If the original C of R IS NOT submitted within timeline, the process stops.
 - b) If the original C of R IS submitted within timelines, the inspector reviews the C of R
- vi. If the original C of R IS NOT acceptable, invoke the Enforcement Procedure otherwise the inspector forwards a recommendation to MAIR/DASSR/DG
- vii. MAIR/DASSR/DG reviews the recommendation:
 - a) If the recommendation IS NOT acceptable, then it is sent back to the inspector to review and forward again to MAIR.
 - b) If the recommendation IS acceptable generate a de-registration certificate or notice
- viii. Update the aircraft register.
- ix. Notifies the Inspector & owner/agent of owner.

3.8 PROCESSES FOLLOWING AIRCRAFT DE-REGISTRATION/RE-REGISTRATION/ CHANGE OF AIRCRAFT REGISTRATION MARKS – GEN I 5

3.8.1 AIRCRAFT DE-REGISTRATION - AIR08

3.8.1.1 Input

Application Forms/ Documents

- a. The original C of R duly signed at the back.
- b. Proof of payment of prescribed fees
- c. Landing and parking fees clearance
- d. Air Navigation charges clearance
- e. Release of previous lease agreement or financier (If Applicable)

Checklists

Deregistration checklist

3.8.1.2 Output

Deregistration certificate or notice

3.8.2 CHANGE OF REGISTRATION MARKS - AIR09

3.8.2.1 Input

Application Forms/ Documents

Application for Registration or Re-Registration of Aircraft.

Checklists

3.8.2.2 Output

C of R and C of A

3.8.3 CHANGE OF OWNERSHIP (RE-REGISTRATION) - AIR10

3.8.3.1 Input

Application Forms/ Documents

- a. Application for Registration or Re-Registration of Aircraft.
- b. Copy of a Government issued Identity Card or Passport as appropriate.
- c. A certified copy of the Certificate of Incorporation if owned by a company.
- d. Names of directors of the company owning or leasing the aircraft and their specimen signatures giving authority to register the aircraft and indicating who among them has the mandate to transact on their behalf on matters of registration.
- e. A certified copy of the Lease Agreement if the aircraft is on lease.
- f. Release of previous lease agreement or financier (If Applicable)
- g. Letter of authority (if the application is made on behalf of the owner (s))
- h. Proof of payment of prescribed fees
- i. Landing and parking fees clearance

- j. Air Navigation charges clearance
- k. Copy of original duly filled C of R

Checklists

Reregistration checklist

3.8.3.2 Output

C of R

3.9 RESERVATION OF SPECIAL REGISTRATION MARKS - AIR I I

Process ID	#14
Process Name	Reservation of Special Registration Marks
Process Description	Upon receipt of a request for reservation of a special registration mark, The Authority will determine the availability and reserve the next available special mark if available.
Department	Airworthiness
Process Owner	MAIR
Primary Actors	Owner/agent of owner MAIR Inspectors
Secondary/ Supporting Actors	DASSR DG MFIN Revenue Officer
Preconditions/ Dependencies	
Integrations	ERP and Document Management System

3.9.1 PROCESS NARRATION

- i. The owner/agent makes an application.
- ii. The owner/agent of owner makes payment.
- iii. MAIR allocates an inspector to evaluate the application.
- iv. The Inspector evaluates application and check on availability of reserved the Special Registration Marks:
 - a. IF the Special Registration Marks are NOT available, the owner/agent of owner is notified, and process ends.
 - b. Else if the Special Registration Marks are available, the owner/agent of owner is notified, and makes payment.
- v. If payment is NOT made, the owner/agent of owner is notified, and process ends. Otherwise, the Special Registration Marks are reserved and the aircraft register is updated.
- vi. Notify the Inspector & owner/agent of owner.

3.9.2 DOCUMENTS AND FORMS

Application form

3.9.3 CHECKLISTS

Reservation evaluation checklist

3.9.4 OUTPUT

Reserved aircraft Nationality and Registration Marks

3.10 ISSUANCE OF FOREIGN APPROVED MAINTENANCE ORGANISATION (AMOS) CERTIFICATES - AIR12

Process ID	#15
Process Name	Issuance of Foreign Approved Maintenance Organisation (AMOs) Certificates.
Process Description	The Authority can issue an approval Certificate to a foreign AMO to conduct maintenance on a Kenya registered aircraft and its associated aeronautical products, subject to the AMO being in compliance with the Civil Aviation (Approved Maintenance Organisation) Regulations. For the foreign Maintenance Organisation to qualify for issue of an approval certificate under the Civil Aviation (Approved Maintenance Organisation) Regulations it must hold a valid local Authority Approval certificate appropriately rated for the scope of maintenance to be carried out on the Kenya registered aircraft. The Authority approval is limited to foreign Authority approved scope of work.
Department	Airworthiness
Process Owner	MAIR
Primary Actors	Owner/Agent of Owner MAIR Inspectors
Secondary/ Supporting Actors	DASSR DG MFIN Revenue Officer
Preconditions/ Dependencies	Valid local Authority Approval certificate appropriately rated for the scope of maintenance to be carried out on the Kenya registered aircraft.
Integrations	ERP and Document Management System

3.10.1 PROCESS NARRATION

- i. Applicants submit an application.
- ii. Applicant makes payment.

- iii. MAIR allocates the application to Inspector/TL for evaluation.
- iv. The inspector determines if the applicant is NOT a holder of a valid Approval issued by local ICAO member state CAA then:
 - o Notify MAIR to communicate to the applicant to proceed with 5 phase certification process.
- v. The inspector determines if the applicant is a holder of a valid Approval issued by local ICAO member state CAA then:
 - o The inspector proposes inspection date and requirements for Special conditions supplement.
 - o Applicant confirms inspection date and prepares special conditions supplement.
 - o Inspector/TL conducts entry meeting and inspection of the facility/housing and maintenance systems using applicable checklist.
- vi. If there are findings invoke corrective action procedure.
- vii. IF all the findings are rectified then:
 - o Inspector prepares AMO SOPs, inspection report and recommendation for issue of AMO Certificate.
- viii. MAIR/DASSR/DG reviews the documents and the recommendation from the inspector
 - o If the Application package is NOT ACCEPTABLE at this level, it is resubmitted to the respective Inspector for re-processing.
 - o If the Application package is ACCEPTABLE at this level, AMO Certificate and SOP are generated.
- ix. The System updates the AMO Register and notifies inspector and applicant.

3.10.2 INPUT

Documents and Forms

- i. Application for Foreign Approved Maintenance Organization Certificate and Ratings,
- ii. Special conditions supplement.

Checklists

- i. AMO Inspection Job Aid
- ii. AMO Facilities and Equipment

3.10.3 OUTPUT

- i. Reports
- ii. Recommendation for AMO Certificate Issue
- iii. AMO Certificate and SOPs

3.1.1 RENEWAL OF APPROVED MAINTENANCE ORGANIZATIONS (AMOS) CERTIFICATES AND SOPS - AIR13

Process ID	#16
Process Name	Renewal of Approved Maintenance Organizations (AMOs) Certificates and SOPs
Process Description	The continuing validity of an AMO Certificate is dependent upon the AMO demonstrate to the Authority that the organizations procedures are effective and the facilities, tools/equipment, materials, personnel, maintenance data, systems and processes are available, functional, and meets regulatory requirements.
Department	Airworthiness
Process Owner	MAIR
Primary Actors	Applicant MAIR Inspectors
Secondary/ Supporting Actors	DASSR DG MFIN Revenue Officer
Preconditions/ Dependencies	AMO Certificate and SOPs.
Integrations	ERP and Document Management System

3.1.1.1 PROCESS NARRATION

- i. Applicant makes an application.
- ii. Applicant makes payment.
- iii. MAIR allocates the application to an inspector/TL for evaluation.
- iv. The inspector/TL develops audit plan and proposes inspection date.
 - a. Applicant confirms inspection date and prepares special conditions supplement.
 - b. Inspector/TL conducts entry meeting and inspection of the facility/housing and maintenance systems using applicable checklist.
- v. If there are findings invoke corrective action procedure.
- vi. IF all the findings are rectified then:
 - a. Inspector prepares AMO SOPs, inspection report and recommendation for renewal of AMO Certificate.
- vii. MAIR/DASSR/DG reviews the documents and the recommendation from the inspector

- a. If the Application package is NOT ACCEPTABLE at this level, it is resubmitted to the respective Inspector for re-processing.
 - b. If the Application package is ACCEPTABLE at this level, AMO Certificate and SOP are generated.
- viii. The System updates the AMO Register and notifies inspector and applicant.

3.11.1.1 Inputs

Documents and Forms

- i. Application for Renewal/Changes of Approved Maintenance organization certificate.
- ii. Application for Foreign Approved Maintenance Organization Certificate and Ratings.

Checklists

- i. AMO Inspection Job Aid
- ii. AMO Facilities and Equipment

3.11.1.2 Outputs

- i. Recommendation for AMO Certificate Issue
- ii. AMO Certificate and SOPs

3.12 ACCEPTANCE OF TYPE CERTIFICATE - AIR14

Process ID	#17
Process Name	Acceptance of Type Certificate
Process Description	<p>Type Certificate is a document issued by a Contracting State to define the design of an aircraft, engine, or propeller type and to certify that this design meets the appropriate airworthiness requirements of that State.</p> <p>The Authority may accept a type certificate or equivalent document issued by a state of design if the type certificate or equivalent document was issued based on an airworthiness code recognized by the Authority and complies with the design, materials, construction, equipment, performance and maintenance of aircraft, engines, or propellers.</p>
Department	Airworthiness
Process Owner	MAIR
Primary Actors	Operator MAIR Inspectors
Secondary/ Supporting Actors	DASSR DG MFIN Revenue Officer
Preconditions/ Dependencies	C of R
Integrations	ERP and Document Management System

3.12.1 PROCESS NARRATION

- i. The operator makes an application.
- ii. The operator makes payments.
- iii. MAIR assigns inspector to evaluate the application.
- iv. The Inspector evaluates applications using relevant checklists.
- v. If document evaluation IS NOT satisfactory, the operator is notified to rectify findings and re-submit of the application.
- vi. If findings are not rectified within timelines, the system notifies the Operator to address the findings.
- vii. If findings are rectified, the Application is resubmitted back to the inspector for evaluation.
- viii. If documents evaluation is satisfactory, the inspector determines if inspector training is required.
- ix. If inspector training:
 - Is required, MAIR nominates inspector and notifies applicant. Process stops until inspector training is completed. Then type certificate acceptance inspection is carried out.
 - Is not required, type certificate inspection is carried out.
- x. If this type certificate acceptance inspection is successful, the inspector can Recommend/ NOT recommend the operator for issuance of Type Certificate acceptance letter.
- xi. If recommendation For Type Certificate Acceptance NOT made:
 - the Application is returned to the applicant for rectification of findings.
 - If findings are rectified within a timeline, the applicant resubmits the document to the inspector for evaluation.
 - If findings is NOT Rectified within timelines, the system informs applicant to address findings.
- xii. If recommendation For Type Certificate Acceptance is made, the Application is forwarded to the MAIR/DASSR/DG for review.
- xiii. If MAIR/ DASSR/ DG Review IS NOT satisfactory, the application is submitted back to inspector for re-evaluation.
- xiv. If MAIR/ DASSR/ DG Review is satisfactory, issue the Type certificate acceptance letter, notifies Inspector and applicant, update the Aeronautical Information circular (AIC) and Online ICAO Circular 95.

3.12.1.1 Inputs

Documents and Forms

- Application for Type Certificate Acceptance
- Original Type certificate
- Original Type Certificate data sheet

- Original Maintenance Manual
- Original Parts Catalogue
- Aircraft noise certification
- Engine Emission certificate
- Original Service information

Aircraft

- A statement of the applicable design certification standards.
- General interior arrangement configuration drawings.
- Three-view drawing exterior configuration).
- Master drawing list.
- Master equipment list.
- Aircraft Flight Manual including the Configuration Deviation List, if applicable.
- Instructions for Continued Airworthiness.
- Certification compliance (checklist).
- Data and descriptive information needed by the Authority to approve the type certificate data sheet.
- Listing of service life for critical parts subject to fatigue if this information is not provided elsewhere in the above data.

Aircraft Engines

- Cross-Section arrangement drawing.
- Master drawing list.
- Instructions for Continued Airworthiness.
- Operating manual.
- Installation manual.
- Certification compliance (checklist).
- Data and descriptive information needed by the 'Authority' to prepare the type certificate data sheet.
- Listing of service life for critical parts subject to fatigue if this information is not provided elsewhere in the above data.

Propellers

- General arrangement drawings and model description.
- Master drawing list.
- Installation manual.
- Instructions for Continued Airworthiness.
- Operating manual.
- Certification compliance (checklist).
- Data and descriptive information needed by the 'Authority' to prepare the type certificate data sheet.

- Listing of service life for critical parts subject to fatigue if this information is not provided elsewhere in the above data.

Checklists

- I. Acceptance of Type Certificate

3.12.1.2 Outputs

- I. Type Certificate acceptance letter.

3.13 AIRCRAFT NOISE AND ENGINE EMISSION CERTIFICATION - AIR15

Process ID	#18
Process Name	Aircraft Noise and Engine Emission Certification
Process Description	The Authority may grant aircraft noise/engine emission certificate based on satisfactory evidence that the aircraft complies with requirements that are at least equal to the applicable regulatory requirements.
Department	Airworthiness
Process Owner	MAIR
Primary Actors	Operator MAIR Inspectors
Secondary/ Supporting Actors	DASSR DG MFIN Revenue Officer
Preconditions/ Dependencies	C of R
Integrations	ERP and Document Management System

3.13.1 PROCESS NARRATION

- The Operator makes an application.
- The operator makes payments.
- MAIR allocates an inspector to evaluate the application using relevant checklists.
- If document review IS NOT satisfactory, the operator is notified to rectify findings and re-submit of the application.
 - If findings are not rectified within timelines, the system notifies operator to address the findings.
 - If findings are rectified, the Application is resubmitted back to the inspector for evaluation.

- v. If document review is satisfactory, the Application package recommendations are submitted to the MAIR/DASSR/ DG for review:
 - If MAIR/ DASSR/ DG Review IS NOT satisfactory, the application is submitted back to inspector for re-evaluation.
 - If MAIR/ DASSR/ DG Review is satisfactory, issue the Noise/Engine Emission Certificate.
- vi. Update the C of A register and notify operator and inspector on closure.

3.13.1.1 Input

Documents and Forms

1. Noise certificate issued by a competent Authority or attesting noise certification statement or Statement of Conformity.
2. Noise Type Certificate Data Sheet or Airplane Flight Manual.
3. Engine Emission Certificate.
4. Application for Noise Certificate.

Checklists

1. Noise Certificate application Checklist

3.13.1.2 Output

2. Noise certificate.
3. Engine emissions certificate.

3.14 MAJOR MODIFICATION/MAJOR REPAIR ACCEPTANCE - AIR16

Process ID	#19
Process Name	Major modification/Major repair Acceptance
Process Description	<p>Major modification is respect of an aeronautical product for which a type certificate has been issued, a change in the type design that has an appreciable effect, or other than a negligible effect, on the mass and balance limits, structural strength, engine operation, flight characteristics, reliability, operational characteristics, or other characteristics or qualities affecting the airworthiness or environmental characteristics of an aeronautical product.</p> <p>Major repair is any repair of an aeronautical product that might appreciably affect the structural strength, performance, engine, operation flight characteristics or other qualities affecting airworthiness or environmental characteristics.</p>
Department	Airworthiness
Process Owner	MAIR
Primary Actors	Operator MAIR Inspectors
Secondary/ Supporting Actors	DASSR DG MFIN Revenue Officer
Preconditions/ Dependencies	CofA
Integrations	ERP and Document Management System

3.14.1 PROCESS NARRATION

- i. The Applicant submits an application.
- ii. The applicant makes payment.
- iii. MAIR assigns a major modification/major repair to an inspector for evaluation.
- iv. Inspector carries out document evaluation using a checklist.

- v. If the Major modification/major repair is NOT evaluated within timelines, then:
 - MAIR and assigned Inspector are notified to re-assign the modification/repair to an inspector.
- vi. If the modification/repair is evaluated within timelines and.
 - If the document is NOT acceptable, then the applicant is notified of the findings and to re-submit the application.
 - If the document is acceptable, then:
 - Approval /acceptance of major modification/major repair is generated by inspector/MAIR
 - Applicant is notified of the successful approval/acceptance of the application.
 - The modification/repair register updated.
- vii. Operator completes modification/repair installation:
 - Fill and submit form together with the installation report/certificate of return to service (CRS)
- viii. The inspector evaluates the application.
 - If the application form and supporting documents are NOT acceptable, then the applicant is notified of the findings and to re-submit the application.
 - If the document is acceptable, then modification/repair completion register updates and MAIR and applicant notified.

3.14.1.1 Input

Documents and Forms

- i. Application for Acceptance of Major Modifications and Repairs
- ii. Supplementary Type Certificate,
- iii. Compliance programme, Master drawing or drawing list, production drawings, and installation instructions.
- iv. Engineering reports (static strength, fatigue, damage tolerance, fault analysis, etc.).
- v. Flight test programme and results if applicable
- vi. Mass and moment change data.
- vii. Maintenance and repair manual supplements.
- viii. Instructions for continuing airworthiness; and
- ix. Flight manual supplement.
- x. Record of Major Modifications and Repairs

Checklists

- i. Major Modification and Repair Acceptance Checklist

3.14.1.2 Output

Major Modification/Repair Approval letter

3.15 DUTY EXEMPTION - AIR17

Process ID	#20
Process Name	Duty Exemption
Process Description	Aircraft spare parts are exempt supplies as stated in Paragraph 89 of the First Schedule of Value-Added Act No. 35 of 2013. Aircraft operator or approved maintenance organization or approved stockist and distributor of aircraft spares of any aircraft spare parts imported into the country may apply for duty exemption recommendation letter.
Department	Airworthiness
Process Owner	MAIR
Primary Actors	Operator MAIR Inspectors
Secondary/ Supporting Actors	DASSR DG MFIN Revenue Officer
Preconditions/ Dependencies	
Integrations	ERP and Document Management System

3.15.1 PROCESS NARRATION

- i. The Operator makes an application.
- ii. The Operator makes payments.
- iii. MAIR assigns inspector to evaluate the application.
- iv. The Inspector evaluates application using relevant checklist.
- v. If document evaluation IS NOT satisfactory, the operator is notified to rectify findings and re-submit of the application.
 - If findings are not rectified within timelines, the system notifies operator to address the findings.
 - If findings are rectified, the Application is resubmitted back to the inspector for evaluation.
- vi. If the document's evaluation is satisfactory, the inspector recommends for issuance of Duty Exemption letter and forwards to MAIR/DASSR/DG for review.
- vii. If MAIR/ DASSR/ DG Review IS NOT satisfactory, the application is submitted back to inspector for re-evaluation.
- viii. If MAIR/ DASSR/ DG Review is satisfactory, issue the Duty Exemption Recommendation letter, notify the Inspector and applicant, and update the technical library.

3.15.1.1 Input

Documents and Forms

- i. Commercial invoice
- ii. Aircraft Illustrated parts catalogue.
- iii. Airway bill.

Checklists

- i. Duty Exemption Recommendation Letter Evaluation Checklist

3.15.1.2 Output

Duty Exemption Recommendation Letter

4 PERSONNEL LICENSING

4.1 LICENCE ISSUANCE AND RENEWAL – GENI 6

4.1.1 OVERVIEW

This is a process that applies to the issuance and renewal of all crew licenses.

4.1.2 PROCESS NARRATION

- a. Applicant makes an application.
- b. Applicant makes the corresponding payment if applicable.
- c. Licence Allocation to Inspectors for Processing: -
 1. When the Licence Application is received in the CAA, the system should automatically allocate applications to PEL inspectors on Duty.
 2. This allocation should factor in the Inspector's qualifications i.e. ATPL applications should only be made to the senior Inspectors.
 3. The HoD should be able to exempt Inspectors from automatic Application allocation e.g. when on leave or on training.
 4. The HoD should be able to reallocate Licences based on new information regarding Inspector workload.
- d. The Application is reviewed for Licence Processing by the allocated Licensing Inspector:
 1. If the application is admissible, go to step d.
 2. Otherwise, notify the Applicant to make the necessary amendments and resubmits.
- e. The license details and application package are reviewed by the Authorizing Officer.
 1. If the application is permissible, the application is approved.
 2. Otherwise, the application is returned to the Licensing Inspector.
- f. The license is generated, printed and the Applicant is notified to pick their license.

4.1.3 RELATED UNIQUE PROCESSES

4.1.3.1 Student Pilot Licence (issue) - PEL01

Process ID	#21
Process Description	A Student Pilot Licence is issued to prospective applicants who are aspiring to start a flying career. This is the initial licence for a pilot and the output of this process is a Student Pilot Licence.
Process Owner	HOD
Primary Actors	Student Pilot Inspector HOD Revenue Officer
Secondary/ Supporting Actors	DASSR DG
Preconditions/ Dependencies	1. Medical Certificate (At least Class 2) 2. Applicant must be at least 16 years old
Integrations	ERP Payment gateway

Input

Application Forms/ Documents

1. Application for issue of a Student Pilot's Licence
2. Passport size photo
3. Identification document e.g., ID, Passport
4. Licence template

Checklists

Checklist for application of a Student Pilot's Licence

Output

1. Student Pilot Licence
2. List of student pilot applications with details filtered based on time.

4.1.3.2 Student Pilot Licence (Renewal) - PEL02

Process ID	#22
Process Description	The Student Pilot Licence issued earlier is renewed here when it expires. The output of this process is a Student Pilot Licence that is valid.
Process Owner	HOD
Primary Actors	Student Pilot Licensing Inspector HOD Revenue Officer
Secondary/ Supporting Actors	DASSR DG
Preconditions/ Dependencies	1. Initial Student Pilot Licence 2. Valid Medical Certificate (At least Class 2)
Integrations	ERP Payment gateway

Input

Application Forms/ Documents

1. Application form for renewal of a Student Pilot Licence
2. Licence template

Checklists

Checklist for application of a Student Pilot's Licence

Output

1. Student Pilot Licence
2. List of student pilot applications with details filtered based on time.

4.1.3.3 Private Pilot Licence (Issue) - PEL03

Process ID	#23
Process Description	<p>A Private Pilot Licence is issued after a Student Pilot Licence and after the applicant has met all the pre-requisite requirements. This Licence is used to operate aircraft privately and not commercially.</p> <p>The output of this process is a Private Pilot Licence.</p>
Process Owner	HOD
Primary Actors	Student Pilot Licensing Inspector HOD Revenue Officer
Secondary/ Supporting Actors	DASSR DG
Preconditions/ Dependencies	<ol style="list-style-type: none"> 1. Medical certificate (At least Class Two) 2. Applicant must not be less than 17 years for Aeroplanes and helicopters or 16 years for a glider/balloon. 3. Oral Examination Management <ol style="list-style-type: none"> a. English Proficiency b. Flight Radio Telephony Operator 4. PPL (Practical) Skill Test: <ol style="list-style-type: none"> a. PPL - Aeroplanes (A) OR, b. PPL -Helicopter(H) OR, c. PPL – Balloons d. Flight Checkout based on TTR type (optional) e. Instrument Rating (A) (optional) f. Instrument Rating (H) (optional) 5. Theoretical Examinations: <ol style="list-style-type: none"> a. Flight Radio Telephony Operator (written) b. PPL Knowledge Test (valid for 6 months) c. Technical Type Rating (TTR) based on the type (optional) d. Medical class I and IR Training (in case of Instrument Rating) (optional)
Integrations	ERP Examination System (L-Plus) Payment gateway

Input

Application Forms/ Documents

1. Application for issue, conversion, or renewal of a Private Pilot's Licence (Aeroplanes)
2. Application for issue, conversion, or renewal of a Private Pilot's Licence (Helicopters)
3. Application for issue, conversion, or renewal of a Private Pilot's Licence (Balloons)
4. Summary of Flying Experience Form
5. Copies of the last 2 pages of the logbook

6. Licence template

Checklists

Checklist for application of Private Pilot's Licence

Output

1. Private Pilot Licence
2. List of Private Pilot applications with details filtered based on time.

4.1.3.4 Private Pilot Licence (Renewal below 40 years and otherwise) - PEL04

Process ID	#24
Process Description	The issued Private Pilot Licence is renewed before it expires after meeting the renewal requirements. The output is a valid Private Pilot Licence.
Department	PEL
Process Owner	HOD
Primary Actors	Student Pilot Licensing Inspector HOD Revenue Officer
Secondary/ Supporting Actors	DASSR DG
Preconditions/ Dependencies	<ol style="list-style-type: none"> 1. Medical certificate (At least Class Two) 2. Private Pilot Licence Issuance
Integrations	ERP Payment gateway

Input

Application Forms/ Documents

1. Application for issue, conversion, or renewal of a Private Pilot's Licence (Aeroplanes)
2. Application for issue, conversion, or renewal of a Private Pilot's Licence (Helicopters)
3. Application for issue, conversion, or renewal of a Private Pilot's Licence (Balloons)
4. Summary of Flying Experience
5. Copies of the last 2 pages of the logbook
6. Licence template

Checklists

Checklist for application of Private Pilot's Licence

Output

1. Private Pilot Licence renewal

Reports

1. List of licences
2. List of Private Pilot applications with details filtered based on time.

4.1.3.5 Commercial Pilot Licence (issue) - PEL05

Process ID	
#25	
Process Description	<p>A Commercial Pilot Licence is issued after a Private Pilot Licence to prospective pilot who want to operate an aircraft commercially or for hire. This is issued after they attain the pre-requisite requirements.</p> <p>The output is a Commercial Pilot’s Licence.</p>
Process Owner	HOD
Primary Actors	Pilot Licensing Inspector HOD Revenue Officer
Secondary/ Supporting Actors	DASSR DG
Preconditions/ Dependencies	<ol style="list-style-type: none"> 1. Medical certificate (At least Class One) 2. Applicants must be at least 18 years. 3. Issuance of Private Pilot Licence 4. Theoretical Examinations: <ol style="list-style-type: none"> a. CPL Knowledge Test (valid for 18 months) b. Technical Type Rating (TTR) based on the type. 5. CPL (Practical) Skill Test: <ol style="list-style-type: none"> a. CPL -Aeroplanes (A) OR, b. CPL -Helicopter(H) OR, c. CPL – Balloons d. Flight Checkout based on TTR type e. Instrument Rating (A) (optional) f. Instrument Rating (H) (optional) 6. Oral Examination Management – English Language Proficiency (optional, if expired)
Integrations	ERP Examination System (L-Plus) Payment gateway

Input

Application Forms/ Documents

1. Application for issue, conversion, or renewal of a Commercial Pilot's Licence (Aeroplanes)
2. Application for issue, conversion, or renewal of a Commercial Pilot's Licence (Helicopters)
3. Application for issue, conversion, or renewal of a Commercial Pilot's Licence (Balloons)
4. Summary of flying experience
5. Copies of the last 2 pages of the logbook
6. Licence template

Checklists

Checklist for application of Commercial Pilot's Licence

Output

1. Commercial Pilot Licence

Reports

1. List of licences
2. List of Commercial Pilot applications with details filtered based on time

4.1.3.6 Commercial Pilot Licence (Renewal below 40 years and otherwise) - PEL06

Process ID	#26
Process Description	The issued Commercial Pilot Licence is renewed before it expires after meeting the renewal requirements. The output is a valid Commercial Pilot's Licence
Department	PEL
Process Owner	HOD
Primary Actors	Pilot Licensing Inspector HOD Revenue Officer
Secondary/ Supporting Actors	DASSR DG
Preconditions/ Dependencies	<ol style="list-style-type: none">1. Medical certificate (Class One)2. Commercial Pilot Licence Issuance3. Instrument Rating (IR(A), IR(H)) (optional)
Integrations	ERP PAYMENT GATEWAY

Input

Application Forms/ Documents

1. Application for issue, conversion or renewal of a Commercial Pilot's Licence (Aeroplanes)
2. Application for issue, conversion or renewal of a Commercial Pilot's Licence (Helicopters)
3. Application for issue, conversion or renewal of a Commercial Pilot's Licence (Balloons)
4. Summary Form
5. Copies of the last 2 pages of the logbook
6. Licence template

Checklists

Checklist for application of Commercial Pilot's Licence

Output

1. Commercial Pilot Licence
2. List of Commercial Pilot Licence applications with details filtered based on time.

4.1.3.7 Airline Transport Pilot Licence (Issue) - PEL07

Process ID	#27
Process Name	
Process Description	An Airline Transport Pilot Licence is issued to prospective applicants who would like to act as Pilot-in-Command and Co-pilot in commercial air transport. The output is a valid new Airline Transport Pilot Licence.
Process Owner	HOD
Primary Actors	Pilot Licensing Inspector HOD Revenue Officer
Secondary/ Supporting Actors	DG DASSR
Preconditions/ Dependencies	<ol style="list-style-type: none"> 1. Medical certificate (Class One) 2. Issuance of Commercial Pilot Licence 3. Theoretical Examinations: <ol style="list-style-type: none"> a. ATPL Knowledge Test (valid for 5 years) b. Technical Type Rating(TTR) (optional) 4. ATPL (Practical) Skill Test: <ol style="list-style-type: none"> a. ATPL -Aeroplanes (A) OR, b. ATPL -Helicopter (H) OR, c. ATPL – Balloons d. Flight Checkout based on TTR type e. Instrument Rating (A) f. Instrument Rating (H) (optional) 5. Oral Examination Management – English Language Proficiency (optional, if expired)
Integrations	ERP Payment gateway Examination System (L-Plus)

Input

Application Forms/ Documents

1. Application for issue, conversion, or renewal of an Airline Transport Pilot's Licence (Aeroplanes)
2. Application for issue, conversion, or renewal of an Airline Transport Pilot's Licence (Helicopters)
3. Summary of flying experience Form
4. Copies of the last 2 pages of the logbook
5. Licence template

Checklists

Checklist for application of an Airline Transport Pilot's Licence

Output

1. Airline Transport Pilot Licence
2. List of Airline Transport Pilot Licence applications with details filtered based on time.

4.1.3.8 Airline Transport Pilot Licence (Renewal below 40 years and otherwise) - PEL08

Process ID	#28
<ol style="list-style-type: none"> 1. Process Description Application for issue, conversion or renewal of an Airline Transport Pilot’s Licence (Aeroplanes) 2. Application for issue, conversion or renewal of an Airline Transport Pilot’s Licence (Helicopters) 3. Summary of flying experience Form 4. Copies of the last 2 pages of the logbook 5. Licence template 	<p>An Airline Transport Pilot Licence is renewed once it expires after meeting the renewal requirements.</p> <p>The output of this process is a valid Airline Transport Pilot’s Licence.</p>
Process Owner	HOD
Primary Actors	Pilot Licensing Inspector HOD Revenue Officer
Secondary/ Supporting Actors	DG DASSR
Preconditions/ Dependencies	<ol style="list-style-type: none"> 1. Medical certificate (Class One) 2. Airline Transport Pilot Licence Issuance 3. Instrument Rating (IR(A)), 4. Instrument Rating (H)) (optional)
Integrations	ERP Payment gateway

Input

Application Forms/ Documents

1. Application for issue, conversion or renewal of an Airline Transport Pilot’s Licence (Aeroplanes)
2. Application for issue, conversion or renewal of an Airline Transport Pilot’s Licence (Helicopters)
3. Summary of flying experience Form
4. Copies of the last 2 pages of the logbook

5. Licence template

Checklists

Checklist for application of an Airline Transport Pilot's Licence

Output

1. Airline Transport Pilot Licence renewal
2. List of Airline Transport Pilot Licence applications with details filtered based on time.

4.1.3.9 Flight Radio Telephony Operator Licence (Issue) - PEL09

Process ID	#29
Process Description	A Flight Telephony Operator Licence gives the holder the privilege to use the radiotelephone on board an aircraft. The output is a Flight Telephony Operator's Licence.
Department	PEL
Primary Actors	Applicant Licensing Inspector HOD Revenue Officer
Secondary/ Supporting Actors	DG DASSR
Preconditions/ Dependencies	<ol style="list-style-type: none"> 1. Superior Licence issuance I.e., it must be attached to another licence like PPL, CPL, ATPL, FE and FD licences. 2. Theoretical Examinations: <ol style="list-style-type: none"> a. Radio Telephony 3. Oral Flight Radiotelephony Examination
Integrations	ERP Payment gateway Examination System (L-Plus)

Input

Application Forms/ Documents

Application for issue and renewal of Flight Radio Telephony Operator's Licence

Checklists

Checklist for Application for issue and renewal of Flight Radio Telephony Operator's Licence

Output

1. Flight Radio Telephony Operator's Licence
2. List of Flight Radio Telephony Operator's Licence applications with details filtered based on time.

4.1.3.10 Flight Radio Telephony Operator Licence (Renewal) – PEL10

Process ID	#30
Process Description	A Flight Telephony Operator Licence is renewed once it expires. The output is a valid Flight Radio Telephony Operator's Licence.
Department	PEL
Primary Actors	Applicant Licensing Inspector HOD Revenue Officer
Secondary/ Supporting Actors	DG DASSR
Preconditions/ Dependencies	I. Issuance of a Flight Telephony Operator Licence
Integrations	ERP Payment Gate

Input

Application Forms/ Documents

Application for issue and renewal of Flight Radio Telephony Operator's Licence

Checklists

Checklist for Application for issue and renewal of Flight Radio Telephony Operator's Licence.

Output

1. Flight Radio Telephony Operator's Licence
2. List of Flight Radio Telephony Operator's Licence applications with details filtered based on time.

4.1.3.11 Flight Engineer Licence (Issue) – PEL I I

Process ID	#3 I
Process Description	A Flight Engineer Licence is issued after the applicant meet the pre-requisite requirements. The output is a Flight Engineer’s Licence.
Department	PEL
Primary Actors	Applicant Licencing Inspector HOD Revenue Officer
Secondary/ Supporting Actors	DG DASSR
Preconditions/ Dependencies	<ol style="list-style-type: none"> 1. Age Requirement – 18 years. 2. Medical certificate (Class One) 3. Theoretical Examinations: <ol style="list-style-type: none"> a. Knowledge Test b. Technical Type Rating (TTR) c. Radio Telephony Test 4. Practical Skill Test: <ol style="list-style-type: none"> a. Flight Checkout based on TTR type 5. Oral Examination Management <ol style="list-style-type: none"> a. Radio Telephony Test
Integrations	ERP Payment gate Examination System (L-Plus)

Input

Application Forms/ Documents

Application for issue, renewal and conversion of a Flight Engineer’s Licence

Summary of Flying Experience

Checklists

Checklist for Application for issue, renewal, and conversion of a Flight Engineer’s Licence.

Output

1. Flight Engineer’s Licence
2. List of Flight Engineer’s Licence applications with details filtered based on time.

4.1.3.12 Flight Engineer Licence (Renewal below 40 years and otherwise) – PEL12

Process ID	#32
Process Description	Once a Flight Engineer Licence expires, it is renewed. The output is a valid Flight Engineer’s Licence.
Department	PEL
Primary Actors	Applicant Licensing Inspector HOD Revenue Officer
Secondary/ Supporting Actors	DG DASSR
Preconditions/ Dependencies	1. Medical certificate (Class One) 2. Issuance of Flight Engineer Licence
Integrations	ERP Payment gate

Input

Application Forms/ Documents

Application for issue, renewal, and conversion of a Flight Engineer’s Licence

Checklists

Checklist for Application for issue, renewal and conversion of a Flight Engineer’s Licence

Output

- 1 Flight Engineer’s Licence
- 2 List of Flight Engineer’s Licence applications with details filtered based on time.

4.1.3.13 Cabin Crew Member Certificate (issue) – PEL I3

Process ID	#33
Process Description	A Cabin Crew Member Certificate is issued to a prospective applicant to act as flight attendant in the type(s) of aircraft endorsed in their certificate. The output of this process is a Cabin crew member certificate.
Department	PEL
Primary Actors	Applicant Licensing Inspector HOD Revenue Officer
Secondary/ Supporting Actors	DG DASSR
Preconditions/ Dependencies	<ol style="list-style-type: none"> 1. Age Requirement – 18 years 2. Medical Certificate (At least Class Two) 3. Knowledge and Skill Test carried out by the AOC holder
Integrations	ERP Payment gate

Input

Application Forms/ Documents

Application for issue and renewal of a Cabin Crew member Certificate

Checklists

Checklist for Application for issue and renewal of a Cabin Crewmember Certificate

Output

1. Cabin Crewmember Certificate
2. List of Cabin Crewmember Certificate applications with details filtered based on time.

4.1.3.14 Cabin Crew Member Certificate (Renewal) – PELI4

Process ID	#34
Process Description	An expired Cabin Crew Member Certificate will be renewed. The output is a valid Cabin Crewmember Certificate.
Department	PEL
Primary Actors	Applicant Licensing Inspector HOD Revenue Officer
Secondary/ Supporting Actors	DG DASSR
Preconditions/ Dependencies	1. Cabin Crew Member Certificate Issuance 2. Medical Certificate (At least Class Two)
Integrations	ERP Payment gate

Input

Application Forms/ Documents

Application for issue and renewal of a Cabin Crewmember Certificate

Checklists

Checklist for Application for issue and renewal of a Cabin Crewmember Certificate.

Output

1. Cabin Crewmember Certificate
2. List of Cabin Crewmember Certificate applications with details filtered based on time.

4.1.3.15 Issue of Air Traffic Controller's Licence – PEL15

Process ID	
#35	
Process Name	Initial Issue of an Air Traffic Control Officer's Licence
Process Description	<p>An Air Traffic Control Officer's Licence is issued to trainee Air Traffic Control Officers after fulfilling the pre-requisite trainings and requirements.</p> <p>The output of this process is an Air Traffic Control Officer's Licence.</p>
Process Name	Renewal of an Air Traffic Control Officer's Licence
Process Description	<p>An Air Traffic Control Officer's Licence is renewed just before it expires after meeting the laid down requirements.</p> <p>The output of this process is a valid Air Traffic Control Officer's Licence.</p>
Process Name	Rating Endorsement on an Air Traffic Control Officer's Licence
Process Description	<p>An Air Traffic Control Officer's rating is endorsed on an Air Traffic Control Officers which allows him/her to monitor and provide ATC services to aircraft in their assigned airspace after fulfilling the pre-requisite requirements. Additional ratings can also be endorsed.</p> <p>The output of this process is an Air Traffic Control Officer with the required ratings.</p>
Process Name	Station Validation or revalidation on an Air Traffic Control Officer's Licence
Process Description	<p>A station validation or revalidation is endorsed on an Air Traffic Control Officer's Licence after the officer familiarizes themselves in a new station or one that they have not worked in a station for a period of more than 6 months.</p> <p>The output of this process is an Air Traffic Control Officer with the required station validation that allows the officer to work in a particular station.</p>

Process ID	#35
Department	PEL
Primary Actors	Applicant Licensing Inspector HOD Revenue Officer
Secondary/ Supporting Actors	DG DASSR
Preconditions/ Dependencies	<ol style="list-style-type: none"> 1. Age requirements - 21 year 2. Medical Certificate (Class Three) 3. Knowledge test 4. Skill test/Practical 5. Endorsement of Aviation English Proficiency
Integrations	ERP Payment gateway Examination System (L-Plus)

Input

Application Forms/ Documents

1. Application for issue of an Air Traffic Control Officer's Licence
2. Application for renewal of an Air Traffic Control Officer's Licence
3. Application for additional rating on an Air Traffic Control Officer's Licence
4. Application form for initial station validation or revalidation of an air traffic controller's licence

Checklists

Checklist for application of an Air Traffic Control Officer's Licence

Output

1. Air Traffic Control Officer's Licence.
2. List of Air Traffic Control Officer's Licence applications with details filtered based on time.

4.1.3.16 Flight Dispatch/Operations License (Issue) – PEL16

Process ID	#36
Process Description	A prospective Flight Operations Officer is issued with the licence to act as a Flight Dispatcher. The output of this process is a Flight Operations Officer's Licence.
Department	PEL
Primary Actors	Applicant Licensing Inspector HOD Revenue Officer
Secondary/ Supporting Actors	DG DASSR
Preconditions/ Dependencies	<ol style="list-style-type: none"> 1. Age requirements – 21 years 2. Theoretical Examinations: <ol style="list-style-type: none"> a. Flight Operations Officer Knowledge Test b. Flight Radio Telephony 3. Oral Examination Management <ol style="list-style-type: none"> a. Radio Telephony test b. English Proficiency exam 4. Skill Test
Integrations	ERP Payment gate Examination System (LPUS)

Input

Application Forms/ Documents

Application for issue of a Flight Operations Officer's Licence

Checklists

Checklist for Application for issue of a Flight Operations Officer's Licence.

Output

1. Flight Operations Officer's Licence
2. List of Flight Operations Officer's applications with details filtered based on time.

4.1.3.17 Flight Dispatch/Operations License (Renewal) – PEL17

Process ID	#37
Process Description	A Flight Operations Officer’s Licence is renewed when it expires. A valid Flight Operations Officer’s Licence is the output of this process.
Department	PEL
Primary Actors	Applicant Licensing Inspector HOD Revenue Officer
Secondary/ Supporting Actors	DG DASSR
Preconditions/ Dependencies	Flight Dispatch Licence Issuance
Integrations	ERP Payment gate

Input

Application Forms/ Documents

Application for renewal of a Flight Operations Officer’s Licence

Checklists

Checklist for Application for renewal of a Flight Operations Officer’s Licence.

Output

1. Flight Operations Officer’s Licence
2. List of Flight Operations Officer’s applications with details filtered based on time.

4.1.3.18 Ground Instructor Authorization (Issue) – PEL18

Process ID	#38
Process Description	<p>A Ground Instructor’s Authorization is issued to authorize a prospective applicant to conduct ground training.</p> <p>The output of this process is a Ground Instructor’s Authorization.</p>
Department	PEL
Primary Actors	<p>Applicant</p> <p>Licensing Inspector</p> <p>HOD</p> <p>Revenue Officer</p>
Secondary/ Supporting Actors	<p>DG</p> <p>DASSR</p>
Preconditions/ Dependencies	<ol style="list-style-type: none"> 1. Age requirement - 18years 2. Issuance of Private Pilot’s Licence, Commercial Pilot Licence or Air Transport Pilot Licence (Valid or Expired) 3. Theoretical Examinations: <ol style="list-style-type: none"> a. Knowledge Test (in case the applicant doesn’t have a Flight Instructor’s Rating)
Integrations	<p>ERP</p> <p>Payment gate</p> <p>Examination System (L-Plus)</p>

Input

Application Forms/ Documents

Not available

Checklists

Not available

Output

1. Ground Instructor’s Authorization
2. List of Ground Instructor’s Authorization applications with details filtered based on time.

4.1.3.19 Ground Instructor Authorization (Renewal) – PEL I9

Process ID	#39
Process Description	Renewal of Ground Instructor Authorization
Department	PEL
Primary Actors	Applicant Licensing Inspector HOD Revenue Officer
Secondary/ Supporting Actors	DG DASSR
Preconditions/ Dependencies	Initial Ground Instructor’s Authorization Issuance
Integrations	ERP Payment gate

Input

Application Forms/ Documents

Not available

Checklists

Not available

Output

1. Ground Instructor’s Authorization
2. List of Ground Instructor’s Authorization applications with details filtered based on time.

4.2 CONVERSION OF LICENCES AND QUALIFICATIONS – GEN I 7

4.2.1 OVERVIEW

This process covers those aviation personnel who come to apply for licences based on licences acquired either from a foreign country or the military.

4.2.2 PROCESS NARRATION

- a. The applicant makes an application, indicating whether it's a conversion.
- b. The applicant makes the relevant payment before submitting it to the Authority.
- c. The inspector reviews the application:
 1. If the application IS NOT acceptable, notify the applicant, the applicant makes amendments and submits the application for review.
 2. Otherwise, the licence is verified with the Foreign CAA/Military
- d. Foreign CAA/Military verification:
 1. If the licence is not verified, the Inspector notifies the Applicant and terminates the application.
 2. Otherwise, go to step f.
- e. The Application is verified, licence details drafted and confirmed by a Licensing Inspector:
 1. If the application meets all requirements, goto step. g.
 2. Otherwise, the application is returned to the Licensing Inspector for amendment.
- f. The licence details and application package are reviewed by the Authorizing Officer
 1. If the application is permissible, the application is approved.
 2. Otherwise, the application is returned to the Licensing Inspector.
- g. The licence is generated, printed and the Applicant is notified to pick their licence.
- h. The Applicant can:
 1. Pick the licence individually.
 2. Or send an agent to pick the licence on their behalf (in this case, details of the agent-phone number, ID number, must be provided to the Authority)
- i. On picking the licence, the Applicant confirms the licence details:
 1. If the details are correct, the applicant signs and collects their licence.
 2. Otherwise, the licence application is returned to the Licensing Inspection with comments.
- j. The system notifies the Applicant about the licence pickup and disables further licence printing.

4.2.3 RELATED UNIQUE PROCESSES

4.2.3.1 Conversion of Foreign Licenses (PPL, CPL, ATPL, Flight Dispatch, Flight Engineer) – PEL20

Conversion of Military or Former Military Flight Crew qualifications. – PPL

Process ID	#40
Process Description	<p>Except for a rated military or former military pilot who has been removed from flying status for lack of proficiency, or because of disciplinary action involving aircraft operations, a rated military, or former military pilot who meets the requirements of the regulations may apply, on the basis of the pilot’s military training, for a Private Pilot Licence.</p> <p>The output is a Private Pilot Licence.</p>
Department	PEL
Primary Actors	<p>Applicant</p> <p>Licensing Inspector</p> <p>HOD</p> <p>Military</p> <p>Revenue agent</p>
Secondary/ Supporting Actors	<p>DASSR</p> <p>DG</p>
Preconditions/ Dependencies	<ol style="list-style-type: none"> 1. Medical certificate (At least Class Two) 2. Applicants must be at least 17 years. 3. Theoretical Examinations: <ol style="list-style-type: none"> a. Composite paper 4. PPL (Practical) Skill Test: <ol style="list-style-type: none"> a. Instrument Rating (A) (optional) b. Instrument Rating (H) (optional)
Integrations	<p>ERP</p> <p>Payment gate</p> <p>Examination System (L-Plus)</p>

Input

Application Forms/ Documents

1. Application for conversion of a Private Pilot’s Licence (Aeroplanes).

2. Application for conversion of a Private Pilot's Licence (Helicopters).
3. Summary of Flying Experience form.
4. Military Documents i.e.,
 - a. Military licence
 - b. An Order showing that the applicant graduated from a Kenya military pilot school and received a rating as a military pilot.
 - c. An original certificate of discharge or release from the Kenya Military.
 - d. Military flight records certified by the service commander.
 - e. Military logbook showing pilot status.
5. Licence Template

Checklists

Checklist for Application for a Private Pilot's Licence (Aeroplanes).

Output

1. Private Pilot Licence
2. List of Private Pilot applications with details filtered based on time.

4.2.3.2 Conversion of Military or Former Military Flight Crew qualifications - CPL/ATPL – PEL2I

Process ID	#41
Process Description	<p>Except for a rated military or former military pilot who has been removed from flying status for lack of proficiency, or because of disciplinary action involving aircraft operations, a rated military or former military pilot who meets the requirements of the regulations may apply, on the basis of the pilot’s military training, for a Commercial / Airline Transport Pilot Licence.</p> <p>The output is a Commercial / Airline Transport Pilot Licence.</p>
Department	PEL
Primary Actors	<p>Applicant</p> <p>Licensing Inspector</p> <p>HOD</p> <p>Military</p> <p>Revenue agent</p>
Secondary/ Supporting Actors	<p>DASSR</p> <p>DG</p>
Preconditions/ Dependencies	<ol style="list-style-type: none"> 1. Medical certificate (At least Class One) 2. Applicants must be at least 18 years 3. Theoretical Examinations: <ol style="list-style-type: none"> a. Composite paper 4. CPL (Practical) Skill Test: <ol style="list-style-type: none"> a. Instrument Rating (A) (optional) b. Instrument Rating (H) (optional)
Integrations	<p>ERP</p> <p>Payment gateway</p> <p>Examination System (L-Plus)</p>

Conversion of Military or Former Military Flight Crew qualifications – CPL

Input

Application Forms/ Documents

- I. Application for issue, conversion or renewal of a Commercial Pilot’s Licence (Aeroplanes).

2. Application for issue, conversion or renewal of a Commercial Pilot's Licence (Helicopters).
3. Summary of Flying Experience form.
4. Military Documents i.e.,
 - a. Military licence
 - b. An Order showing that the applicant graduated from a Kenya military pilot school and received a rating as a military pilot.
 - c. An original certificate of discharge or release from the Kenya Military.
 - d. Military flight records certified by the service commander.
 - e. Military logbook showing pilot status.
5. Licence Template

Checklists

Checklist for Application for a Commercial Pilot's Licence

Output

1. Commercial Pilot Licence
2. List of Commercial Pilot Licence applications using the military qualifications with details filtered based on time.

4.2.3.3 Conversion of Military or Former Military Flight Crew qualifications – ATPL – PEL22

Input

Application Forms/ Documents for ATPL

1. Application for issue, conversion or renewal of a Commercial Pilot's Licence (Aeroplanes).
2. Application for issue, conversion or renewal of a Commercial Pilot's Licence (Helicopters).
1. Summary of Flying Experience form.
2. Military Documents i.e.,
 - a. Military licence
 - b. An Order showing that the applicant graduated from a Kenya military pilot school and received a rating as a military pilot.
 - c. An original certificate of discharge or release from the Kenya Military.
 - d. Military flight records certified by the service commander.
 - e. Military logbook showing pilot status.
3. Licence Template.

Output

1. Airline Transport Pilot Licence
2. List of Airline Transport Pilot applications using military qualifications with details filtered based on time.

4.2.3.4 Conversion of Military or Former Military Flight Crew qualifications – Flight Engineer – PEL23

Process ID	#42
Process Description	<p>Except for a rated military or former military flight engineer who has been removed from flying status for lack of proficiency, or because of disciplinary action involving aircraft operations, a rated military or former military pilot who meets the requirements of the regulations may apply, on the basis of the flight engineer’s military training, for a Flight Engineer Licence.</p> <p>The output is a Flight Engineer’s Licence.</p>
Department	PEL
Primary Actors	Applicant Licensing Inspector HOD Military Revenue Officer
Secondary/ Supporting Actors	DASSR DG
Preconditions/ Dependencies	
Integrations	ERP Examination System (L-Plus)

Input

Application Forms/ Documents

1. Application for issue, conversion, or renewal of a Flight Engineer’s Licence
2. Summary of Flying Experience form.
3. Military Documents i.e.,
 - a. Military licence
 - b. An Order showing that the applicant graduated from a Kenya military pilot school and received a rating as a military pilot.
 - c. An original certificate of discharge or release from the Kenya Military.
 - d. Military flight records certified by the service commander.
 - e. Military logbook showing pilot status.

4. Licence Template

Checklists

Checklist for Application for a Flight Engineer’s Licence.

Output

1. Flight Engineer Licence
2. List of Flight Engineer applications using military qualifications with details filtered based on time.

4.2.3.5 Conversion of a Foreign Private Pilot Licence – PEL24

Process ID	#43
Process Description	<p>A pilot who holds a foreign Private Pilot’s Licence and wishes to fly in Kenya on a long-term basis can use the qualifications attained when acquiring the foreign licence to get a Kenyan one.</p> <p>The output of this process is a Private Pilot Licence.</p>
Department	PEL
Primary Actors	<p>Applicant</p> <p>Licencing Inspector</p> <p>HOD</p> <p>Foreign CAA</p> <p>Revenue Officer</p>
Secondary/ Supporting Actors	<p>DASSR</p> <p>DG</p>
Preconditions/ Dependencies	<ol style="list-style-type: none"> 1. Medical certificate (Class Two) (not applicable for East Africans) 2. Theoretical Examinations: <ol style="list-style-type: none"> a. PPL Conversion Exam (valid for 6 months) (not applicable for East African) b. PPL Air Law Exams (for East Africans only) c. Technical Type Rating (TTR) based on the type (for helicopters and fixed wing Group C)

Process ID	#43
	<ul style="list-style-type: none"> d. Flight Radio Telephony Operator (only applicable if not availed) 3. Oral Examination Management <ul style="list-style-type: none"> a. English Language Proficiency (in case the one endorsed on the licence expired) b. Flight Radio Telephony Operator (only applicable if not availed)
Integrations	ERP Payment gateway Examination System (L-Plus)

Input

Application Forms/ Documents

1. Application for issue, conversion or renewal of a Private Pilot's Licence (Aeroplanes).
2. Application for issue, conversion or renewal of a Private Pilot's Licence (Helicopters).
3. Application for issue, conversion or renewal of a Private Pilot's Licence (Balloons).
4. Summary of Flying Experience Form.
5. Copies of the last 2 pages of the logbook.
6. Licence template.
7. Foreign Documents:
 - a. A valid Foreign PPL.
 - b. A valid medical certificate (Class 2).
 - c. Logbook – record of flying experience.

Checklists

Checklist for application of Private Pilot's Licence.

Output

1. Private Pilot Licence
2. List of Private Pilot applications with details filtered based on time.

4.2.3.6 Conversion of a Foreign Commercial Pilot Licence – PEL25

Process ID	#44
Process Description	<p>A pilot who has a foreign pilot’s license and wishes to fly in Kenya on a long-term basis can use the qualifications attained when acquiring the foreign licence to get a Kenyan one.</p> <p>The output of this process is a Commercial Pilot Licence.</p>
Department	PEL
Primary Actors	Applicant Licensing Inspector HOD Foreign CAA Revenue Officer
Secondary/ Supporting Actors	DASSR DG
Preconditions/ Dependencies	<ol style="list-style-type: none"> 1. Medical certificate (Class One) (not applicable for East Africans) 2. Theoretical Examinations (integration with examination system): <ol style="list-style-type: none"> a. CPL Conversion Exam (valid for 6 months) (not applicable for East Africans) b. CPL Air Law Exams (for East Africans only) c. Technical Type Rating (TTR) based on the type (For those who had a class rating and not a specific type rating) d. Flight Radio Telephony Operator (only applicable if not availed) 3. Skill Tests <ol style="list-style-type: none"> a. Flight Checkout based on type - (For those who had a class rating and not a specific type rating.) 4. Oral Examination Management <ol style="list-style-type: none"> a. English Language Proficiency (in case the one endorsed on the licence is expired) b. Flight Radio Telephony Operator (only applicable if not availed)
Integrations	ERP Payment gateway Examination System (L-Plus)

Input

Application Forms/ Documents

1. Application for issue, conversion or renewal of a Commercial Pilot’s Licence (Aeroplanes).
2. Application for issue, conversion or renewal of a Commercial Pilot’s Licence (Helicopters).
3. Application for issue, conversion or renewal of a Commercial Pilot’s Licence (Balloons).
4. Summary of Flying Experience form.

5. Foreign Documents i.e.,
 - a. A valid Foreign Commercial Pilot Licence
 - b. A valid medical certificate (Class one).
 - c. Pilot's flying logbook
6. Licence Template.

Checklists

Checklist for Application for a Commercial Pilot's Licence

Output

1. Commercial Pilot Licence
2. List of Commercial Pilot Licence applications with details, filtered based on time.

4.2.3.7 Conversion of Airline Transport Pilot Licence – PEL26

Process ID	#45
Process Description	<p>A pilot who has a foreign pilot's license and wishes to fly in Kenya on a long-term basis can use the qualifications attained when acquiring the foreign licence to get a Kenyan one.</p> <p>The output of this process is an Airline Transport Pilot Licence.</p>
Department	PEL
Primary Actors	Applicant Licensing Inspector HOD Foreign CAA Revenue Officer
Secondary/ Supporting Actors	DASSR DG
Preconditions/ Dependencies	<ol style="list-style-type: none"> 1. Medical certificate (Class One) (not applicable for East Africans) 2. Theoretical Examinations (integration with examination system): <ol style="list-style-type: none"> a. ATPL Conversion Exam (valid for 6 months) (not applicable for East Africans) b. ATPL Air Law Exams (for East Africans only) c. Technical Type Rating (TTR) based on the type (For those who had a class rating and not a specific type rating) d. Flight Radio Telephony Operator (only applicable if not availed) 3. Skill Tests <ol style="list-style-type: none"> a. Flight Checkout based on type - (For those who had a class rating and not a specific type rating.) 4. Oral Examination Management <ol style="list-style-type: none"> a. English Language Proficiency (in case the one endorsed on the licence is expired) b. Flight Radio Telephony Operator (only applicable if not availed)
Integrations	ERP Payment gateway Examination System (L-Plus)

Input

Application Forms/ Documents

1. Application for issue, conversion, or renewal of Airline Transport Pilot's Licence (Aeroplanes).
2. Application for issue, conversion, or renewal of an Airline Transport Pilot's Licence (Helicopters).
3. Summary of Flying Experience form.
4. Foreign Documents i.e.,
 - a. A valid Foreign Commercial Pilot Licence
 - b. A valid medical certificate (Class 2).
 - c. Pilot's logbook
5. Licence Template.

Checklists

Checklist for Application for an Airline Transport Pilot's Licence

Output

1. Airline Transport Pilot Licence
2. List of Airline Transport Pilot applications with details, filtered based on time.

4.2.3.8 Conversion of Flight Operations Officer's Licence – PEL27

Process ID	#46
Process Description	<p>A Flight Operations Officer who has a foreign license and wishes to use that licence in Kenya on a long-term basis can use that foreign licence to get a Kenyan one.</p> <p>The output of this process is a Flight Dispatch/Flight Operations Officer Licence.</p>
Department	PEL
Primary Actors	Applicant Licensing Inspector HOD Foreign CAA Revenue Officer
Secondary/ Supporting Actors	DASSR DG
Preconditions/ Dependencies	<ol style="list-style-type: none"> 1. Examinations: <ol style="list-style-type: none"> a. FD Conversion Exam (valid for 6 months) (not applicable for East Africans) b. FD Air Law Exam (for East Africans only) c. Flight Radio Telephony Operator (only applicable if not availed) 2. Oral Examination Management <ol style="list-style-type: none"> a. Flight Radio Telephony Operator (only applicable if not availed) b. English Language Proficiency (in case the one endorsed on the licence is expired)
Integrations	ERP Payment gateway Examination System (L-Plus)

Input

Application Forms/ Documents

1. Application for issue, conversion or renewal of a Flight Operations Officer's Licence.
2. Foreign Documents:
 - a. A valid foreign Flight Operations Officer's Licence
3. Licence template.

Checklists

1. Checklist for Application for a Flight Operations Officer's Licence

Output

1. Flight Operations Officer's Licence
2. List of Flight Operations Officer's Licence applications with details filtered based on time.

4.2.3.9 Conversion of Flight Engineer Licence – PEL28

Process ID	#47
Process Description	<p>A Flight Engineer who holds a foreign Flight Engineer's license and wishes to fly in Kenya on a long-term basis can use the qualifications on a foreign licence to get a Kenyan one.</p> <p>The output of this process is a Flight Engineer's Licence.</p>
Department	PEL
Primary Actors	Applicant Licensing Inspector HOD Foreign CAA Revenue Officer
Secondary/ Supporting Actors	DASSR DG
Preconditions/ Dependencies	<ol style="list-style-type: none"> 1. Medical certificate (Class One) 2. Theoretical Examinations: <ol style="list-style-type: none"> a. Flight Engineer Conversion Exam (valid for 6 months) (not applicable for East Africans) OR b. Flight Engineer Air Law Exams (for East Africans only). c. Technical Type Rating (TTR) based on the type. 3. Skills Tests <ol style="list-style-type: none"> a. Flight Checkout based on type b. Flight Engineer Practical Skill Test (Optional if rated). 4. Oral Examination Management <ol style="list-style-type: none"> a. Flight Radio Telephony Operator (only applicable if not availed). b. Flight Radio Telephony Operator (only applicable if not availed).
Integrations	ERP Payment gateway Examination System

Input

Application Forms/ Documents

1. Application for conversion of Flight Engineer Licence.
2. Summary of Flying Experience form.
3. Foreign Documents i.e.:
 - a. A valid Foreign Engineer Pilot Licence
 - b. A valid medical certificate (Class 2).
 - c. Flight Engineer's logbook
4. Licence Template.

Checklists

Checklist for Application for issue, conversion or renewal of Flight Engineer Licence.

Output

1. Flight Engineer Licence
2. List of Flight Engineer's Licence applications with details filtered based on time;

4.2.3.10 Certificate of Validation – PEL29

Process ID	#48
Process Description	A pilot who holds a foreign license and wishes to use that licence in Kenya on a short-term basis can get a Kenyan Certificate of Validation based on the foreign licence. This will be carried along with the foreign licence which could be a PPL, CPL, ATPL or Flight Engineer's Licence The output of this process is a Certificate of Validation.
Department	PEL
Primary Actors	Applicant Licensing Inspector HOD Foreign CAA Revenue Officer
Secondary/ Supporting Actors	DASSR DG
Preconditions/ Dependencies	<ol style="list-style-type: none">1. Medical certificate (Class One) for CPL, ATPL, Flight Engineer OR (Class Two) for PPL holders2. Theoretical Examinations:<ol style="list-style-type: none">a. Validation Exam (valid for 6 months)b. Technical Type Rating (TTR) based on the type of aircraft to be used.c. Flight Radio Telephony Operator3. Skills Tests<ol style="list-style-type: none">a. PPL, CPL, ATPL, or Flight Engineer Skill Testb. Flight Checkout based on type4. Oral Examination Management<ol style="list-style-type: none">a. Flight Radio Telephony Operator
Integrations	ERP Payment gateway Examination System (L-Plus)

Input

Application Forms/ Documents

1. Application Form for Validation Certificate of a Foreign licence
2. Summary of Flying Experience Form.
3. Copies of the last 2 pages of the logbook.
4. Foreign Documents:
 - a. A valid Foreign Licence.
 - b. A valid medical certificate.
 - c. Logbook – record of flying experience.
5. Licence template.

Checklists

1. Checklist for Application of a Validation Certificate

Output

1. Certificate of Validation
2. List of Certificate of Validation applications with details filtered based on time.

4.3 ENDORSEMENTS / RATINGS – GEN I 8

4.3.1 OVERVIEW

This will apply to the following endorsements on the licences:

1. Aircraft type endorsement
2. English Language Proficiency endorsement
3. Ratings

4.3.2 PROCESS NARRATION

- a. Applicant makes an application.
- b. Applicant makes corresponding payment.
- c. The Application is reviewed by the Licensing Inspector:
 1. If the application is admissible, go to step d.
 2. Otherwise, notify the Applicant to make the necessary amendments:
 - i. If the Applicant makes amendments and submits the application, it's reviewed by the Licensing Inspector
- d. The Application is verified, licence details drafted and confirmed by the Licensing Inspector:
 1. If the application meets all requirements, go to step. e
 2. Otherwise, the application is returned to the Licensing Inspector for amendment.
- e. The licence details and application package are reviewed by the Authorizing Officer
 1. If the application is permissible, the application is approved.
 2. Otherwise, the application is returned to the Licensing Inspector for amendment
- f. The licence is generated, printed and the Applicant is notified to pick their licence.

- g. The Applicant can:
 - 1. Pick the licence individually.
 - 2. Or send an agent to pick the licence on their behalf (in this case, details of the agent- phone number, ID number, must be provided to the Authority)
- h. On picking the licence, the Applicant confirms the licence details:
 - 1. If the details are correct, the applicant signs and collects their licence.
 - 2. Otherwise, the licence is returned to the Inspector for corrections.
- i. The system notifies the Applicant about the licence pickup and disables further licence printing.

4.3.3 RELATED UNIQUE PROCESSES

4.3.3.1 Endorsement of Aviation English Language Proficiency – PEL30

Process ID	#49
Process Description	An applicant demonstrates their ability to communicate effectively in English by undertaking an English Language Proficiency exam. After this exam, the results are endorsed on their licence. The output is an English Language Proficiency level endorsement on a licence.
Department	PEL
Primary Actors	Applicant Licensing Inspector HOD Revenue Officer
Secondary/ Supporting Actors	DG DASSR
Preconditions/ Dependencies	1. PPL/CPL /ATPL/FD/FE/ATCO issuance 2. Oral Examination management
Integrations	ERP Payment gateway

Input

Application Forms/ Documents

Application Form for English Language Proficiency Endorsement on A Licence

Checklists

Checklist for all endorsements.

Output

- 1. English Language Proficiency Endorsements on licences.
- 2. List of English Language Proficiency Endorsement applications with details, filtered based on time.

4.3.3.2 Type rating endorsement of (below A/C 5700 kgs and otherwise) – PEL3 I

Process ID	#50
Process Description	An aircraft rating is a flight crew qualification that allows one to operate particular type of aircraft. The rating(s) one needs depends on the type of pilot license one holds and the aircraft one wants to fly. The output is a licence that has a specific type of aircraft endorsed on it.
Department	PEL
Primary Actors	Applicant Licensing Inspector HOD Revenue Officer
Secondary/ Supporting Actors	DG DASSR
Preconditions/ Dependencies	<ol style="list-style-type: none"> 1. PPL/CPL /ATPL/FE/CMC issuance 2. Theoretical Examinations <ol style="list-style-type: none"> a. Technical Type Rating (TTR) exam 3. Skill Test <ol style="list-style-type: none"> a. Skill test
Integrations	ERP Payment gateway Examinations System

Input

Application Forms/ Documents

Application form for endorsement of an aircraft type rating

Checklists

Checklist for all endorsements.

Output

1. Aircraft type Endorsements on licences.
2. List of Aircraft type Endorsement applications with details filtered based on time.

4.3.3.3 Flight instructors rating (issue) – PEL32

Process ID	#51
Process Description	A Flight Instructor Rating (FIR) allows the applicant to instruct student pilots in the cockpit as well as in a ground theory setting. This rating is issued after the pre-requisite requirements are met. The output is a Flight Instructor’s Rating endorsed on the licence.
Department	PEL
Primary Actors	Applicant Licensing Inspector HOD Revenue Officer
Secondary/ Supporting Actors	DG DASSR
Preconditions/ Dependencies	1. PPL, CPL or ATPL issuance 2. FIR Skill Test
Integrations	ERP Payment gateway

Input

Application Forms/ Documents

Application Form for Endorsement of a Flight Instructor’s Rating on a Licence

Checklists

Checklist for all endorsements

Output

1. Flight Instructor’s Rating Endorsements on licences.
2. List of Flight Instructor’s Rating Endorsement applications with details filtered based on time.

4.3.3.4 Flight instructors rating (renewal) – PEL33

Process ID	#52
Process Description	The issued Flight Instructor rating is time bound and once it expires it is renewed. The output of this process is a licence with a valid Flight Instructor’s Rating.
Department	PEL
Primary Actors	Applicant Licensing Inspector HOD Revenue Officer
Secondary/ Supporting Actors	DG DASSR
Preconditions/ Dependencies	1. Issuance of Flight Instructor’s Rating 2. FIR Skill Test
Integrations	ERP Payment gateway

Input

Application Forms/ Documents

Application Form for Endorsement of a Flight Instructor's Rating on a Licence

Checklists

Checklist for all endorsements

Output

1. Flight Instructor's Rating renewals on licences.
2. List of Flight Instructor's Rating Endorsement applications with the following details filtered based on time:

4.3.3.5 Private pilot Group B/C endorsement – PEL34

Process ID	#53
Process Description	A Private Pilot Licence authorizes the holder to fly only single engine aircraft whose weight is less than 5700kgs. But the Group B/C aircraft type ratings are issued to applicants who want to fly single engine aircraft that are above 5700kgs or multi-engine aircraft privately. The output of this process is a Private Pilot Licence with specific aircraft type ratings endorsed on it.
Department	PEL
Primary Actors	Applicant Licensing Inspector HOD Revenue Officer
Secondary/ Supporting Actors	DG DASSR
Preconditions/ Dependencies	<ol style="list-style-type: none">1. PPL issuance2. Theoretical Examinations<ol style="list-style-type: none">a. Technical Type Rating (TTR) exam3. Skill Test
Integrations	ERP Payment gate Examinations System (L-Plus)

Input

Application Forms/ Documents

Application form for endorsement of an aircraft type rating

Checklists

Checklist for all endorsements

Output

1. Aircraft type Endorsements on Private Pilot Licences.
2. List of Aircraft type Endorsement applications with the following details filtered based on time.

4.3.3.6 Instrument Rating – PEL35

Process ID	#54
Process Description	An Instrument Rating (IR) is a pilot rating earned through intensive training focused on flying an aircraft solely by reference to instruments. This rating is issued after the pre-requisite requirements are met. The output of this process is to have an Instrument Rating endorsed on the licence.
Department	PEL
Primary Actors	Applicant Licensing Inspector HOD Revenue Officer
Secondary/ Supporting Actors	DG DASSR
Preconditions/ Dependencies	1. PPL, CPL, ATPL issuance 2. Instrument Rating Skill Test
Integrations	ERP Payment gateway

Input

Application Forms/ Documents

Application Form for Instrument Rating Endorsement on a Licence

Checklists

Checklist for all endorsements

Output

1. Instrument Rating Endorsements on licences.
2. List of Instrument Rating Endorsement applications with details filtered based on time.

4.3.3.7 Night Rating – PEL36

Process ID	#55
Process Description	<p>A night rating allows a Private Pilot Licence holder to fly visually at night exercising the visual flight rules (VFR). This rating is issued after the pre-requisite requirements are met.</p> <p>The output of this process is a Night Rating endorsed on a PPL.</p>
Department	PEL
Primary Actors	<p>Applicant</p> <p>Licensing Inspector</p> <p>HOD</p> <p>Revenue Officer</p>
Secondary/ Supporting Actors	<p>DG</p> <p>DASSR</p>
Preconditions/ Dependencies	<ol style="list-style-type: none"> 1. PPL issuance 2. Night Rating Skill Test
Integrations	<p>ERP</p> <p>Payment gateway</p>

Input

Application Forms/ Documents

Application Form for Endorsement of a Night Rating on a Licence

Checklists

Checklist for all endorsements

Output

1. Night Rating endorsements on licences.
2. List of Night Rating Endorsement applications with details filtered based on time.

4.3.4 MEDICAL CERTIFICATION – PEL37

4.3.5 OVERVIEW

This covers the process that an applicant goes through when applying for a medical certificate before acquiring an aviation license.

4.3.6 PROCESS NARRATION

- a. Applicant makes an application.
- b. Medical Examiner reviews the application:
 1. If more information is required, the Medical Assessor requests the Applicant to provide such information.
 2. Otherwise, go to step c.
- c. The Medical Examiner conducts a medical examination and updates the Medical Observation Sheet if applicable:
 1. If the Applicant passes the medical examination, he/she is issued a medical certificate and requested to concur, the medical certificate is updated in the Applicant’s details and the process is terminated.
 2. Otherwise, the Applicant is issued a denial certificate:
 - i. If the Applicant accepts the results, they are requested to concur, and the medical certificate is updated in the Applicant’s details and the process is terminated.
 - ii. If the Applicant does not concur with the results of the medical examination, they appeal to the Chief Medical Assessor:
 - a) If the Chief Medical Assessor upholds the medical examination results, the medical certificate is updated in the Applicant’s details and the process is terminated.
 - b) Otherwise, the Applicant is given a chance to apply for the same medical examination.

Process ID	#56
Process Description	<p>A Medical certificate is a certificate from a doctor confirming the state of someone's health. Only designated medical examiners are authorized to conduct this medical examination and afterwards send this medical certificate to the Authority.</p> <p>The output of this process is an issue, deferral, referral, or denial of a medical certificate or notice of denial.</p>
Department	Licensing Department
Primary Actors	Applicant Medical Examiner Chief Medical Assessor
Secondary/ Supporting Actors	HOD DASSR DG
Preconditions/ Dependencies	
Integrations	ERP

Input

Application Forms/ Documents

Not available

Checklists

Not available

Output

1. Medical certificates
2. Name of the Designated Medical Examiner who conducted the medical Examination.
3. List Medical Certification applications
4. List of Issue, Deferral, Referral or Denial of a Medical Certificate applications

4.3.7 DESIGNATION OF MEDICAL EXAMINERS – PEL38

4.3.8 OVERVIEW

A designated aviation medical examiner is a person, qualified and licensed in the practice of medicine, designated by the Authority to conduct medical examinations of fitness of applicants and issue medical certificate, or reports for the issue or renewal of the licences or ratings specified in the Civil Aviation (Personnel Licensing) Regulations.

The process of choosing a medical doctor to be a Designated Aviation Medical Examiner is covered here.

Process ID	#57
Process Description	<p>Some aviation personnel need medical certificates for the issuance or renewal of their licences or certificates. Some doctors are trained in matters aviation to conduct these examinations to the aviation personnel. These doctors are designated and need an Authorization from the Authority to conduct these medical examinations.</p> <p>Out of all these designated aviation medical examiners, the Chief of them all is known as an Aviation Medical Assessor, who now issues these Authorizations to the Designated Medical Examiners.</p> <p>The output of this process is an Authorization for the Designated Aviation Medical Examiners to conduct medical examinations to the aviation personnel.</p>
Department	PEL
Primary Actors	Applicant Aviation Medical Assessor MPEL DASSR
Secondary/ Supporting Actors	DG
Preconditions/ Dependencies	
Integrations	

4.3.9 PROCESS NARRATION

- a. An Applicant makes a request.
- b. The Application is reviewed by the Chief Medical Assessor:
 1. If approved go to step c.
 2. Otherwise, terminate the application and notify the Applicant of that decision and the reasons for termination.
- c. The Chief Medical Assessor schedules a facility inspection.
- d. The Chief Medical Assessor conducts a facility inspection:
 1. If there are finding from the Inspection, invoke the Corrective Action Procedure
 2. Otherwise, proceed to step e.
- e. MPEL reviews the application:
 1. If the Application is unacceptable, terminate the application and notify the Applicant and Chief Medical Assessor of that decision and the reasons for termination.
 2. Otherwise, proceed to step f.

- f. DASSR reviews the application:
 1. If the Application is unacceptable, terminate the application and notify the Applicant, MPEL and Chief Medical Assessor of that decision and the reasons for termination
 2. Otherwise, proceed to step g.
- g. The Chief Medical Officer generates an Authorization and notifies the Applicant.

4.3.10 INPUT

Application Forms/ Documents

Aviation Medical Examiner Designation Application Form

Checklists

Checklist for Designation of Aviation Medical Examiners

4.3.11 OUTPUT

1. Number of new applications
2. Status of these applications
3. Number of Designated Medical Examiners with their details.
 - a. Name of Designated Medical Examiners
 - b. Number assigned to the Designated Medical Examiners
 - c. Contact of Designated Medical Examiners
 - d. Location of Designated Medical Examiners
4. Number of serving/current Designated Medical Examiners
5. Number of Examinations conducted.

4.3.12 BOOKING OF KNOWLEDGE, SKILL, AND ORAL EXAMINATIONS – PEL39

4.3.13 OVERVIEW

Process ID	#58
Process Description	One of the requirements for issuance of licences is that the applicant should have sat and passed theoretical and practical examinations for the licence sort. The output is an Exam card that will enable the candidate to sit for the examination.
Department	PEL
Primary Actors	Applicant Licensing Inspector
Secondary/ Supporting Actors	MPEL DASSR DG
Preconditions/ Dependencies	
Integrations	ERP Examination System

4.3.14 PROCESS NARRATION

- a. The Applicant makes an application:
 1. If the application is for a practical examination, the Applicant makes the relevant payment.
 2. Otherwise, the system confirms if there are slots for theoretical exams, if there are no slots, the Applicant is booked for a special sitting. The Applicant makes the relevant payment.
- b. The application is reviewed by a Licensing Inspector:
- c. If more information is required from the Inspector, the Applicant is notified to provide such information.
- d. Exam booking is done in the system. L-PLUS Examination system is updated in case of theoretical exams.
- e. The Applicant is notified and issued an Exam Card.
- f. In case an Applicant wishes to reschedule their exam date and time, they can be able to do so in the system by selecting suitable date and time:
 1. If the change is done before exam closing date, go to step b.
 2. Otherwise, the Applicant makes payment for the booking, and then go to step b.

4.3.15 INPUT

APPLICATION FORMS/ DOCUMENTS FOR BOOKING KNOWLEDGE EXAMINATIONS

1. Application form for booking of Knowledge Examinations
2. Application form for Booking of Conversion or Validation Exam

APPLICATION FORMS/ DOCUMENTS FOR BOOKING SKILL EXAMINATIONS

1. Application Form for Booking PPL GFT
2. Application Form for Booking CPL GFT
3. Application Form for Booking ATPL GFT
4. Application Form for Booking Initial Instrument Rating Flight Test

APPLICATION FORMS/ DOCUMENTS FOR BOOKING ORAL EXAMINATIONS

1. Application form for booking of Knowledge Examinations

CHECKLISTS

None

4.3.16 OUTPUT

1. Exam Card
2. List of Examinations booked with the following details filtered based on time:
 - a. Names of applicants,
 - b. Date of booking of examination,
 - c. Date of sitting the exam,
 - d. Type of examination to be done,

- e. Licences already held.
- f. Amount paid.

4.3.17 SKILL TEST MANAGEMENT – PEL40

4.3.18 OVERVIEW

This process covers the conduct of the skill test done after an applicant is successful in the knowledge examination.

4.3.19 PROCESS NARRATION

- a. An Applicant presents their Exam Card.
- b. The Examiner Verifies the Examination Card
- c. The Examiner conducts and records results of the examination:
 - 1. If the Examination is an Oral Exam, file results and terminate the process
 - 2. Otherwise, go to step. d
- d. Send the results to the Applicant for concurrence:
 - 1. If the Applicant does not concur, go to step. c
 - 2. Otherwise, file results and terminate the process.
- e. The process also provides for update of an Observation Card

Process ID	#59
Process Description	A skills test is an assessment that objectively measures the test subject's aptitude and practical abilities. These skills tests are conducted by the Authority's Designated Examiners in the various fields. The output of this process is a Skills Test results sheet.
Department	PEL
Primary Actors	Examiner Revenue Officer
Secondary/ Supporting Actors	Applicant HOD DASSR DG
Preconditions/ Dependencies	Exam Booking
Integrations	

Skill Examinations for issuance of licences

Input

Application form or documents

None

Checklists:

None

Output

- I. Skill Test results in the following formats;
 - a. PPL(A)
 - b. PPL(H)
 - c. PPL(B)
 - d. CPL(A)
 - e. CPL(H)
 - f. CPL(B)
 - g. ATPL(A)
 - h. ATPL(H)
 - i. IR(A)
 - j. IR(H)
 - k. Flight Engineers
2. Lists of Skill Tests conducted per subject.
3. List of Skill Test conducted per examiner.
4. Cash paid.
5. List of Examinations booked with the following details filtered bade on time:
 - a. Names of applicants,
 - b. Date of booking of examination,
 - c. Date of siting the exam,
 - d. Type of examination to be done,
 - e. Licences already held,
 - f. Amount paid.

4.3.20 ORAL EXAMINATION MANAGEMENT – GEN19**4.3.21 OVERVIEW**

Process ID	#60
Process Description	An oral examination conducted by spoken communication. The output of this process is a results sheet
Department	PEL
Primary Actors	Examiner Revenue Officer
Secondary/ Supporting Actors	Applicant HOD DASSR DG
Preconditions/ Dependencies	Exam Booking
Integrations	Payment gate ERP

4.3.22 PROCESS NARRATION

- a. An Applicant presents their Exam Card.
- b. The Examiner Verifies the Examination Card
- c. The Examiner conducts and records results of the examination:
 1. If the Examination is an Oral Exam, file results and terminate the process
 2. Otherwise, go to step. 4
- d. Send the results to the Applicant for concurrence:
 1. If the Applicant does not concur, go to step. 3
 2. Otherwise, file results and terminate the process
- e. The process also provides for update of an Observation Card

4.3.23 RELATED UNIQUE PROCESSES

4.3.23.1 Radiotelephony exam-oral – PEL41

Input

Application form for booking of Knowledge Tests

Output

1. Radio Telephony oral exam result
2. List of Radio Telephony exams conducted with details filtered based on time

4.3.23.2 Aviation English Proficiency Examination – PEL42

Input

Application Forms/ Documents

Application form for booking of Knowledge Tests

English Language Proficiency results form

Checklists

None

Output

1. English Language proficiency exam result
2. List of English Language Proficiency Exams conducted with details filtered based on time.

4.3.23.3 AMEL Oral Exams – PEL43

Input

Application card

Output

AMEL oral exam result

List of AMEL oral exam conducted with details filtered based on time.

4.3.24 ISSUANCE, CONVERSION, VALIDATION, EXTENSION AND RENEWAL OF AIRCRAFT MAINTENANCE ENGINEERS' LICENCE (AMEL) – GEN20

4.3.24.1 Aviation Maintenance Engineers' Licence (Issue/extension and renewal) – PEL44

4.3.24.2 Overview

Process ID	#61
Process Name	Initial Issue of an AMEL
Process Description	An AMEL is issued to prospective applicants to perform or supervise the maintenance, preventive maintenance, or modification of, or after inspection, approve for return to service, any aircraft, airframe, aircraft engine, propeller, appliance, component, or part thereof, for which the holder of an aircraft maintenance engineer licence is rated, upon meeting the requirements. The output of this licence is an AMEL.
Process Name	Renewal of an AMEL
Process Description	An AMEL is renewed before its expiration after meeting the laid down procedures. The output is a valid AMEL.
Process Name	
Department	PEL
Primary Actors	Applicant Licensing Inspector HOD Revenue Officer
Secondary/ Supporting Actors	DASSR DG
Preconditions/ Dependencies	Applicant must be 18 years and above
Integrations	ERP Payment gateway Examination System (L-Plus)

4.3.24.3 Process Narration

1. The applicant makes an application.
2. Issue of LWTR:
 - a. If YES, select the LWTR category.
 - b. If NO, issue licence TR and select TR category.
3. The Applicant makes payment relevant to their application and submit.
4. MPEL is notified and allocates the application to a licensing Inspector.
5. The Application is reviewed by the licensing inspector:
 - a. If the application is NOT acceptable, notify the applicant to make the necessary amendments before resubmitting to the inspector for another review.
 - b. Otherwise, determine whether Applicant needs to do a Knowledge Test:
 - i. If the Applicant needs to do a Knowledge Test notify them and go to step 6.
 - ii. Otherwise, the Applicant is notified to book for a Skill Test.
6. The Applicant books a Knowledge Test Exam.
7. The Authority conducts the examination:
 - a. If the applicant FAILS, they are notified to make a fresh application, failure to which the process is terminated.
 - b. Otherwise, if the applicant PASSED the Knowledge Test, determine whether they need to do a Skill Test:
 - i. If they need a Skill Test, notify the Applicant and go to step 8.
 - ii. Otherwise print a licence for the Applicant.
8. Applicant books a Skill Test Exam.
9. Designated AMEL Examiners conducts the examination:
 - a. The applicant FAILS, they are notified to make a fresh application, failure to which the process is terminated.
 - b. Otherwise, if the applicant PASSED the Skill Test print a licence.
10. The Applicant is notified to pick their licence and they can:
 - a. Pick the licence individually.
 - b. Or send an agent to pick the licence on their behalf (in this case, details of the agent-phone number, ID number, must be provided to the Authority).
11. On picking the licence, the Applicant confirms the licence details:
 - a. If the details are correct, the applicant signs and collects their licence.
 - b. Otherwise, the licence application is returned to the Licencing Inspector for amendment.
12. The system notifies the Applicant about the licence pickup and disables further licence printing.

Input

Application Forms/ Documents

1. Application Form Aircraft Maintenance Engineers Licence & Repair Specialist Authorizations
2. Record of Experience
3. Identification documents such e.g., ID, Passport

4. Copy of the AMEL logbook (only applicable for issue)
5. CV (only applicable for issue)

Checklists

Checklist Assessment of AME Licence Application

Output

1. Aircraft Maintenance Engineer's Licence
2. List of Aircraft Maintenance Engineer's Licence applications with details filtered based on time.

4.3.24.4 Conversion and Validation of AMEL – PEL45

Overview

Process ID	#62
Process Name	Conversion of an AMEL
Process Description	An applicant who has a foreign AMEL and wishes to work in Kenya on a long-term basis can use the qualifications attained when acquiring the foreign AMEL licence to get a Kenyan one. The output of this process is an AMEL.
Process Name	Conversion or Validation of an AMEL
Process Description	A certificate of Validation is issued by the Authority when the applicant applies for his/her foreign licence issued by another Contracting State to be validated. This certificate of validation which will be carried with the foreign licence, with limitations or restrictions imposed as appropriate.
Department	PEL
Primary Actors	Applicant Licensing Inspector HOD Revenue Officer Foreign CAA
Secondary/ Supporting Actors	DASSR DG
Preconditions/ Dependencies	Issuance of AME Licence/Certificate
Integrations	ERP L-PLUS Payment gateway

Process Narration

1. The applicant makes an application, indicating whether it's a conversion or a validation
2. The applicant makes the relevant payment before submitting to the Authority

3. MPEL is notified of the submission and allocates the application to an inspector
4. The inspector reviews the application:
 - 4.1. If the application IS NOT acceptable, notify the applicant, the applicant makes amendments and submits the application for review
 - 4.2. Otherwise, the licence is verified with the foreign CAA
5. Foreign CAA verification:
 - 5.1. If the licence is not verified, the Inspector notifies the Applicant and terminates the application
 - 5.2. Otherwise, the Applicant is invited for Knowledge and/or Skill Test
 - 5.2.1. The applicant FAILS, they are notified and either make a fresh application failure to which the process is terminated
 - 5.2.2. Otherwise, if the applicant PASSES both the Knowledge and Skill Test, print a licence
6. The Applicant is notified to pick their licence and they can:
 - 6.1. Pick the licence individually
 - 6.2. Or send an agent to pick the licence on their behalf (in this case, details of the agent-phone number, ID number, must be provided to the Authority)
7. On picking the licence, the Applicant confirms the licence details:
 - 7.1. If the details are correct, the Applicant signs and collects their licence
 - 7.2. Otherwise, the licence application is returned to the Licencing Inspector for amendment
8. The system notifies the Applicant about the licence pickup and disables further licence printing.

Input

4.3.24.5 Application Forms/ Documents

1. Application for Aircraft Maintenance Engineers Licence & Repair Specialist Authorizations
2. Record of Experience
3. Identification documents such e.g., ID, Passport
4. Copy of the AMEL logbook
5. CV
6. Foreign licence attachment

Checklists

Checklist Assessment of AME Licence Application.

Output

1. Aircraft Maintenance Engineer's Licence
2. List of Aircraft Maintenance Engineer's Licence applications with details filtered based on time.

5 AVIATION SECURITY

5.1 SECURITY SYSTEM TESTS - AVS01

5.1.1 OVERVIEW

This is the AVSEC oversight process pursuant to Regulation 5 (2) of the Civil Aviation Security Regulations and the NCASP. The objective of this Security System Test is to assess the effectiveness of security measures being implemented by security personnel employed by operators as part of regular aviation security monitoring and evaluation of compliance levels. The process can be overt (open) or covert (discreet). The process is concluded through generation of a report and ensuring that any security concerns are resolved as per the Resolution of Security Concerns Process. Security System Test (SST) is part of Surveillance Activities which are stipulated in the Surveillance Programme. The execution of the SST requires Inspectors to use a Security System Test Template which shall be also used as a Test Report with recommendations. Therefore:-

1. The system shall provide for a framework for Surveillance plan which includes SSTs indicating entities and areas to be subjected to SST
2. The system shall provide for ad-hoc and scheduled SSTs with provisions of whether or not to the Regulated Entity at a short notice
3. The system should provide for generation of a Letter authorizing the carriage and use of restricted items for use during the conduct of SSTs
4. The system should provide for digital SST Template for use during the Tests. The Templates checklists shall either be filled online or offline
5. Enable the user/inspector to record evidence of his assessment.
6. Synchronize with a mobile device, where the user can fill in the results using an offline client and later synchronize the data back into the main system (e.g. support of offline documentation of SST).
7. Enable the documentation of observations to inform the report with recommendations.
8. The system shall allow identification of non-conformities for resolution by the Regulated Entity
9. The system shall allow for resolving of non-conformities by the Regulated Entity through a corrective action plan

5.1.2 PROCESS NARRATION

1. This process is triggered by Risk Assessment, Quality Control Schedule or Actual Incidents that initiate the process. The test can be covert or scheduled. For scheduled tests, the following is done:
 - a. MAVSEC (HOD) will assign an Inspector to conduct the system test.
 - b. The assigned Inspector reviews the Test Protocol and Procedure
 - c. The Inspector notifies Operator of the Security System Test at least 3hrs in advance.
2. For either covert or scheduled tests, the Inspector prepares the necessary test items and notifies Law Enforcement Officers where necessary.
3. The Inspector conducts System Test and observation of performance/reaction of the system.
4. The Inspector collects test items and debriefs the Tested Party
5. The Inspector prepares a report on security system test.
6. The Test Report is shared with MAVSEC and Management of the Tested Party

7. If Tested Party fails in the test, then Resolution of Safety and Security Concerns Procedure. In either case, a report is generated for the System Test Procedure conducted.

5.1.3 PRE-CONDITIONS / DEPENDENCIES

- a. Risk Assessment Results (Risk Registers)
- b. Previous audit reports
- c. Incident report

5.1.4 INPUTS

5.1.5 APPLICATION FORMS

- a. AVSEC Test Protocols
- b. Letter Authorizing Carriage of Restricted Items for use during System Testing
- c. Surveillance Plan (with entities and areas to be subjected to SSTs)

5.1.6 CHECKLISTS

Security System Test (SST) Template

5.1.7 OUTPUTS

- a. Security System Test Report (Completed SST Template)

5.2 CERTIFICATION OF AVSEC PERSONNEL – GEN2I

5.2.1 OVERVIEW

This is the process for the certification/licensing of aviation security personnel, i.e. Screeners, Supervisors, Instructors and Inspectors /QC Officers who are the personnel employed by regulated entities and responsible for implementing aviation security measures in the respective capacities. It provides for the criteria for certification, the application and submission of relevant documents and the examination process.

The process is concluded by awarding an AVSEC Certificate/License, which specify the AVSEC functions, to the candidates who successfully pass the prescribed theory and practical examinations.

The system should therefore provide for the following: -

- 1 Provide necessary information to the Applicant in regard to the application that they intend to make
- 2 Allow the Applications to be conducted by a representative of the Regulated Entity whose candidates need to be certified. The application should be accompanied by list of candidates and other required documents. The system will then generate a unique reference number for the Application
- 3 The Applicant makes the requisite payment through a Payment Gateway
- 4 If payment is confirmed the Application Package is submitted to the TL/Inspector, otherwise, the Application Package should remain with the Applicant
- 5 The system shall support certification team (with a Team Lead (TL)) formation where necessary to review the Application, otherwise, the Application will be reviewed by a specific Inspector assigned by the HOD. The certification team shall be composed by the HOD.
- 6 Allow for TL or Inspector to evaluate the application using a digital evaluation checklist/criteria and either accept or reject the application and return to applicant with comments
- 7 If application meets requirements, the TL or Inspector schedules the candidates for examination. The system generates a notification to the applicant on exam dates.
- 8 The Applicants acknowledges the scheduled exam dates

- 9 The TL or Inspector sets exam questions in the system (may be integrated to the Exam System) or if exams are conducted offline, allow for upload of exam results in the system
- 10 The system should provide for a database of the candidates' certification results/report (theory and practical exams)
- 11 The system should provide for the design and printing of candidates' certificates/licences
- 12 The system shall support the tracking of the validity of the candidates' certification status and notify applicant at least three months to expiry and later at monthly intervals.

5.2.2 PROCESS NARRATION

1. A prospective Operator is provided with information regarding to the requirements and the process of AVSEC personnel certification:
 - a. If the Operator confirms that they have sufficient evidence go to step.2
 - b. Otherwise, the Operator is redirected to make an enquiry where they'll be provided with relevant information
2. The Operator makes the application with the list of personnel requiring to be certified and the relevant payment before the Application is submitted to the Authority
3. The Application is received by MAVSEC and who in turn assigns it to an inspector for evaluation
4. The Inspector evaluates the Application:
 - a. If the Application is satisfactory, go to step. 5
 - b. Otherwise, the Operator is requested to amend or provide required information
5. A schedule for theoretical and practical examination is prepared and shared with the Operator
6. The exam is conducted:
 - a. If a candidate fails in any of the areas being examined, they're requested to pay for the examination resit. Candidates can only be allowed to a maximum of two resits
 - b. Otherwise, a Certification Report is generated and shared with MAVSEC.
7. MAVSEC reviews the Certification Report:
 - a. If the report is satisfactory, proceed to step. 8
 - b. Otherwise, the relevant Inspector is requested to amend/provide the required information
8. The certificate is generated and printed as a card.
9. The Certification Report is submitted to the Operator. The Operator is also requested to verify and collect their card(s)
10. Further card printing is disabled after card collection
11. The System should notify the Applicant (monthly), 3 months to the Expiry of the Licence

5.2.3 PRE-CONDITIONS / DEPENDENCIES

- a. Training records
- b. OJT
- c. Police Clearance
- d. Background Checks

5.2.4 SYSTEM INTEGRATIONS

- a. ERP
- b. AVSEC Examination System

5.2.5 RELATED SUB-PROCESSES

5.2.5.1 Aviation Security Screeners AVS04

Inputs

Application Forms:

- a. Application Letter with list of candidates for certification
- b. Training Records
- c. Background Check records
- d. OJT records

Checklists

- a. AVSEC screener document evaluation checklist

Outputs

- a. AVSEC Screener certification report
- b. AVSEC Screeners certificate/Licence

5.2.5.2 Aviation Security Supervisors - AVS05

Inputs

Application Forms:

- a. Application Letter with list of candidates for certification
- b. Training Records
- c. Background Check records
- d. OJT records

Checklists

- a. Criteria for AVSEC supervisor certification

Outputs

- a. AVSEC supervisor certification report
- b. AVSEC supervisor certificate

5.2.5.3 Aviation Security Instructors- AVS06

Inputs

Application Forms:

- a. Application Letter with list of candidates for certification
- b. AVSEC instructor profile
- c. Instructor certification Exemption Request Form
- d. Training Records
- e. Background Check records

- f. OJT records

Checklists

- a. Criteria for AVSEC instructor certification
- b. National instructor performance evaluation form

Outputs

- a. AVSEC Instructors Certification Report
- b. AVSEC Instructor's Certificate
- c. Signed Code of Conduct

5.2.5.4 Aviation Security Inspectors / Quality Control Officers - AVS07

Inputs

Application Forms:

- a. Application Letter with list of candidates for certification
- b. Training Records
- c. Background Check records
- d. OJT records

Checklists

- a. Criteria/Checklist for AVSEC inspector's certification

Outputs

- a. Certification report
- b. Inspector credentials/Certificate/Authorization
- c. Signed Code of Conduct

5.3 VALIDATION OF FOREIGN STATIONS- AVS08

5.3.1 OVERVIEW

This is the validation or assessment of security measures at foreign stations/airports in order to establish their equivalence to those being applied at airport(s) of transfer in Kenya. This is conducted pursuant to the Civil Aviation Security Regulations as part of the ICAO One-Stop Security (OSS) framework in order to exempt baggage or cargo originating at the validated foreign stations from rescreening during transfer at any Kenyan airport. Validation of foreign stations shall be included in the Surveillance Programme and Surveillance Plans prepared by Team Leaders designated by HOD.

The validation is initiated through an application from the affected airport or airline, State, Agency or Regional body to the Authority.

- I. The system should provide for processing of the application made directly by the local airport or airline.
 - a. Provide for uploading of offline applications from foreign entities.

2. The system should provide for allocation of the application to a team or individual inspector by the HOD.
3. Team leaders and inspectors are responsible for implementation of surveillance plans for the foreign stations which is achieved using validation/inspection checklists.
4. During validation of a foreign station, the system specifications for Surveillance should apply, i.e. the use of applicable digital audit/inspection checklist, recording of observations and reporting.
5. The system should allow for the generation of an Exemption Notice based on the validation report and recommendations from the TL and approval by HOD, DASSR and DG

5.3.2 PROCESS NARRATION

1. An Operator/State/Regional Body makes a request for validation of a Foreign Station(s)
2. DG receives the request and assigns it to MAVSEC (HOD) for review
3. MAVSEC reviews the request and makes a recommendation
4. DG reviews the recommendation from MAVSEC:
 - a. If satisfactory, the DG institutes the process in the system by requesting MAVSEC to constitute a validation team
 - b. Otherwise, the DG terminates the request and notifies the Applicant of the reasons thereof
5. MAVSEC constitutes a validation team with a Team Lead (TL)
6. The TL and the Validation Team prepare the necessary documents including an audit plan which is shared with the Foreign CAA/Station via its Liaison Officer
7. During the Inspection:
 - i. The Validation Team will conduct an in-brief meeting
 - ii. Perform Inspection of the Foreign Station (specifically the area on which the exemption is being sought)
 - iii. Conduct an out-brief report sharing the interim findings report
8. The TL and the Validation Team will prepare the Final Validation Report with recommendations and share it with MAVSEC
9. MAVSEC reviews the Final Validation Report with recommendations:
 - a. If the report is satisfactory, the report is submitted to DASSR, go to step. 10
 - b. Otherwise, revert the report and recommendations to the TL with comments
10. DASSR reviews the Final Validation Report with recommendations:
 - a. If the report is satisfactory, the report is submitted to DG, go to step. 11
 - b. Otherwise, revert the report and recommendations to MAVSEC with comments
11. DG reviews the Final Validation Report with recommendations:
 - a. If the report is satisfactory, the DG generates an Exemption Notice for Re-Screening of the Foreign Station being considered and notifies the Applicant and other relevant stakeholders
 - b. Otherwise, revert the report and recommendations to MAVSEC with comments

5.3.3 PRE-CONDITIONS / DEPENDENCIES

- a. Surveillance Module

5.3.4 INPUTS

5.3.4.1 Application Forms

Application Letter

5.3.4.2 Checklists

- a. Validation/Audit Plan
- b. Foreign Station Validation/Inspection Checklist

5.3.5 OUTPUTS

- a. Validation Report with recommendations
- b. Surveillance Programme
- c. Schedule of Events
- f. Exemption Notice
- d. Updated List of Exempted Stations

6 AIR TRANSPORT

6.1 SCHEDULED AIRLINE FLIGHT TIMETABLE APPROVAL – ATD10

6.1.1 OVERVIEW

Process ID	#ATD63
Process Description	Processing of approval of flight timetables
Department	Air Transport
Process Owner	MAT
Primary Actors	Applicant MAT ATO CATO
Secondary/ Supporting Actors	DASSR DG
Preconditions/ Dependencies	1. Must be holders of a current Air Operator Certificate 2. Must be holders of an existing Air Service Licence with applicable route in the existing licence
Integrations	ATTIS

6.1.2 PROCESS NARRATION

- a) Applicant makes an application for approval of the timetable in the system.
- b) MAT allocates an ATO to review the application.
- c) The ATO reviews the Timetable and determine whether it meets requirements:
 - 1) If it doesn't meet the requirements, system alerts the Operator and to make necessary changes and resubmit if applicable.
 - 2) If application meets requirements, ATO approves the Flight Timetable
 - 3) The system generates a unique QR code for each approval with a link to the system repository to verify its authenticity.
 - 4) An alert is then generated to notify the applicant to download the approval.

6.1.3 INPUT

Application Form: Custom Application

Checklist: Checklist for processing flight timetable

6.1.4 OUTPUT

- a) Scheduled Flight Timetable Approval
- b) A list of Scheduled Flight Timetable Approvals processed in a particular period of time
- c) Report for service charter monitoring

6.2 FINANCIAL DATA COLLECTION & ANALYSIS – ATD I2

6.2.1 OVERVIEW

Process ID	#64
Process Description	Assessment of financial fitness of the existing airlines
Department	Air Transport
Process Owner	MAT
Primary Actors	Air Operator/Approved Training Organization MAT ATA SATA CATA
Secondary/ Supporting Actors	DASSR DG
Preconditions/ Dependencies	Audited financial accounts for twelve months preceding the application related to air services provided Every licensed airline must submit an annual financial report
Integrations	AATIS

6.2.2 PROCESS NARRATION

- a) The Operator submits annual financial data and attaches audited financial accounts
- b) MAT allocates the data to T/L for review

- c) T/L allocates an ATA to review the statistics/financial data
- d) ATA reviews the financial data to determine whether it meets the requirements:
 - 1) If the data does not meet the requirements, the Operator is requested to resubmit the financial data. If not resubmitted, the Enforcement Process is invoked
 - 2) Otherwise, the financial data is published for analysis and reporting purposes

6.2.3 INPUT

Application Form and Documents:

- a) Application Form

Checklist: Audited Financial Accounts Evaluation Checklist

6.2.4 OUTPUT

- a) A list of airlines with analysed financial data
- b) Financial data report for the airline

6.3 AIRLINE STATISTICS DATA COLLECTION & ANALYSIS – ATDI2

6.3.1 OVERVIEW

Process ID	#65
Process Description	Assessment of financial fitness of the existing airlines
Department	Air Transport
Process Owner	MAT
Primary Actors	Air Operator/Approved Training Organization MAT ATA SATA CATA
Secondary/ Supporting Actors	DASSR DG
Preconditions/ Dependencies	Monthly statistics data related to air services provided Every licensed airline must monthly statistical returns
Integrations	AATIS

6.3.2 PROCESS NARRATION

- e) The Operator submits monthly returns through the system.
- f) MAT allocates the T/L to review submitted statistics data.
- g) T/L allocates an ATA to review the statistics data.
- h) ATA reviews the data to determine whether it meets the requirements:
 - 1) If the data does not meet the requirements, the Operator is requested to resubmit. If not resubmitted, the Enforcement Process is invoked.
 - 2) Otherwise, the data is published for analysis and reporting purposes.

3) System updates returns register with operator submission details.

6.3.3 INPUT

Application Form and Documents:

- a) Application Form

Checklist: Monthly Air Transport statistics Processing Checklist

6.3.4 OUTPUT

- a) Statistics report for airline
- b) A list of airlines with analyzed statistical data.

7 STATE SAFETY PROGRAMME (SSP)

7.1 ESTABLISHMENT AND MONITORING OF STATE SAFETY PERFORMANCE MEASUREMENT - SSP01

7.1.1 OVERVIEW

Process ID	#66
Process Description	Safety Performance Indicators (SPIs) are used to measure operational safety performance of the service provider and the performance of their SMS. SPIs rely on the monitoring of data and information from various sources including the safety reporting system. They should be specific to the individual service provider and be linked to the safety objectives (SPO) already established. SPIs submitted by service providers will be evaluated annually for trends, and any updates required made.
Process Owner	SSPC
Primary Actors	SSPC, SSP Implementation Committee, DG, Team Lead/CPM, Service Providers (AMO, AOC, ATO, ANSP, Aerodrome CAT A & B)
Secondary/ Supporting Actors	DASSR, HoDs
Preconditions/ Dependencies	Holders of AMO, AOC, ATO, ANSP, Aerodrome CAT A & B certificates
Integrations	Safety Data Collection and Processing System (SDCPS) ICAAS

7.1.2 PROCESS NARRATION

- a) SSPC formulates and reviews State and SSP Safety Performance Indicators (SPI), Action Plan and Performance Targets
- b) The SSP Implementation Committee reviews the State and SSP Safety Performance Indicators (SPI), Action Plan and Performance Targets:

- 1) The implementation of SSP Safety Performance Indicators (SPI) action plan is monitored
 - 2) State Performance Indicators (SPIs), and Performance Targets are forwarded to the DG for approval
- c) The DG approves State Performance Indicators (SPIs), and Performance Targets
 - d) SSPC submits the approved State Performance Indicators (SPIs), and Performance Targets to the Service Providers
 - e) The Service Provider reviews the SPIs and SPOs and adds organizational SPIs and SPOs and submits to SPCC for concurrence
 - f) SPCC reviews SPIs and SPOs and liaises with the Service Provider for concurrence
 - g) Service Provider formulates Action Plan and Performance Target (SPT)
 - h) SPCC reviews the Action Plan and Performance Target (SPT) and refers to the relevant Team Lead/CPM for evaluation where necessary
 - i) Once the Action Plan is accepted, SPCC notifies the Service Providers about the acceptance of the Action Plan and SPT. The Surveillance Program is also updated
 - j) Service Provider captures the action plan implemented
 - k) SPCC monitors, evaluates and advises the Service Providers

7.1.3 INPUT

Application Form/Documents:

- a) SPI

Checklist: N/A

7.1.4 OUTPUT

- a) List of SPIs & SPTs approved for each service provider
- b) List of actions plans for each service provider
- c) List of SSP SPIs and SPTs
- d) Service Provider SPI trend (Submitted Vs Achieved)
- e) Service Provider Action plans implementation (Submitted Vs Achieved)
- f) SSP SPI trend (Proposed Vs Achieved)
- g) SSP action plan implementation (Proposed Vs Achieved)

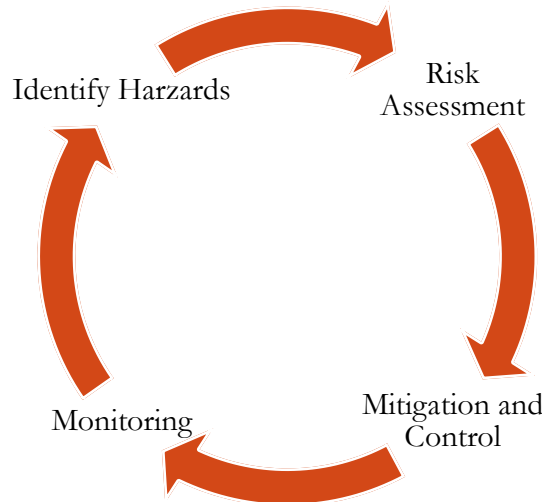
7.2 SAFETY RISK MANAGEMENT - SSP02

7.2.1 OVERVIEW

Process ID	#67
Process Description	<p>Safety Risk Management (SRM) includes Hazard Identification, Safety Risk Assessment, Safety Risk Mitigation and Risk acceptance.</p> <p>Service providers are required to develop and maintain a formal process that ensures analysis, assessment and control of the safety risks of the consequences of hazards during the provision of its services.</p> <p>The residual safety risk index for each service provider contributes to the framework of Risk-based surveillance</p>
Process Owner	SSPC
Primary Actors	SSPC, inspectors, HoD, Service Providers (AMO, AOC, ATO, ANSP, Aerodrome CAT A & B)
Secondary/ Supporting Actors	DASSR, DG
Preconditions/ Dependencies	Hazards to be identified or captured by service providers/SSPC
Integrations	MOR & VRS hazard log from SDCPS

7.2.2 PROCESS NARRATION

This process entails the following process: -



- I. The SSPC Captures Hazards. These hazards shall be from the following sources: -
 - a. Hazard Log
 - b. MOR Recommendations
 - c. VR Recommendations
 - d. AAID Recommendations
 - e. Capturing Hazards

2. For each of the Hazards/Events Created, if the Hazard is State related,
- a. The SSPC undertakes Risk Assessment with the following key parameters: -
- Risk Description
 - *State Related? Yes – Automatically Generated*
 - *Hazard Source – Automatically Generated*
 - Hazard related Consequence – Allow capturing multiple
 - Initial Risk Factor – This is awarded to the Hazard as a combination of two factors as follows: -

Risk Probability

Risk Probability	Meaning	Value
Frequent	Likely to occur many times (has occurred frequently)	5
Occasional	Likely to occur sometimes (has occurred infrequently)	4
Remote	Unlikely to occur, but possible (has occurred rarely)	3
Improbable	Very unlikely to occur (not known to have occurred)	2
Extremely improbable	Almost inconceivable that the event will occur	1

Risk Severity

Severity	Meaning	Value
Catastrophic	1. Equipment destroyed 2. Multiple deaths	A
Hazardous	3. A large reduction in safety margins, physical distress or a workload such that the operators cannot be relied upon to perform their tasks accurately or completely 4. Serious injury 5. Major equipment damage	B
Major	6. A significant reduction in safety margins, a reduction on the ability of the operator to cope with adverse operating conditions as a result of increase in workload, or as a result of conditions impairing their efficiency 7. Serious incident 8. Injury to persons	C
Minor	9. Nuisance 10. Operating limitations 11. Use of emergency procedures 12. Minor incident	D
Negligible	Little consequences	E

- Further Mitigations:
 - a. Mitigation Activity
 - Residual Risk

- I. The residual risk is entered the same as the Initial Risk Factor as a combination of Probability and Severity
 - Risk Owner – DDL – Select Department and HOD
 - Implementation Date
 - Progress (%): 0| 25| 50| 75|100
 - Risk Tolerability:

Safety Risk		Severity				
		Catastrophic A	Hazardous B	Major C	Minor D	Negligible E
Frequent	5	5A	5B	5C	5D	5E
Occasional	4	4A	4B	4C	4D	4E
Remote	3	3A	3B	3C	3D	3E
Improbable	2	2A	2B	2C	2D	2E
Extremely improbable	1	1A	1B	1C	1D	1E

- i. (Colour Codes Red to denote “Intolerable”; Yellow to denote “Tolerable”; Green to denote “Acceptable”)

Safety Risk Index Range	Safety Risk Description	Recommended Action
5A, 5B, 5C, 4A, 4B, 3A	INTOLERABLE	Take immediate action to mitigate the risk or stop the activity. Perform priority safety risk mitigation to ensure additional or enhanced preventative controls are in place to bring down the safety risk index to tolerable.
5D, 5E, 4C, 4D, 4E, 3B, 3C, 3D, 2A, 2B, 2C, 1A	TOLERABLE	Can be tolerated based on the safety risk mitigation. It may require management decision to accept the risk.
3E, 2D, 2E, 1B, 1C, 1D, 1E	ACCEPTABLE	Acceptable as is. No further safety risk mitigation required.

- ii. Safety Risk Tolerability Matrix

- c. The SSPC saves the Risk Assessment and the details are captured by the System. The System Generates an Email to the Risk Owner/HOD.

- i. The Risk Owner Reviews the Hazard/Risk Assessment.

1. If the Risk Owner Concurs, the System updates the Date of Concurrence, generates an Email and forwards the Hazard to DASSR for Review.
2. If the Risk Owner/HOD requires further clarification, they return the Risk to the SSPC with Comments. The systems generates an email to the SSPC seeking further clarification.

- d. Once the Risk Owner has concurred, The Hazard is available at DASSR for recommendation.
 - i. The DASSR Reviews the Hazard/Risk Assessment.
 1. If the DASSR Recommends, the System updates the Date of Recommendation, generates an Email and forwards the Hazard to DG for Approval.
 2. If the DASSR requires further clarification, they return the Risk to the HOD with Comments. The system generates an email to the HOD seeking further clarification.
 - e. Once the DASSR has Recommended, The Hazard is available at DG for Approval.
 - i. The DG Reviews the Hazard/Risk Assessment.
 1. If the DG Approves, the System updates the Date of Approval, generates an Email regarding the approval to the Owner and SSPC and avails the Hazard to HOD awaiting capturing of achievements of the Mitigation Activities.
 2. If the DG requires further clarification, they return the Risk to the DASSR with Comments. The system generates an email to the DASSR seeking further clarification.
3. For each of the Hazards/Events Created, if the Hazard is NOT State related, the SSPC forwards to the Service Provider. The System generates a notification to the Service Provider to undertake Risk Assessment with the following key parameters: -
- I. The Service Provider Undertakes the Risk Assessment as follows: -
 - ii. Risk Description
 - iii. *State Related? No – Automatically Generated*
 - iv. *Hazard Source – Automatically Generated*
 - v. Hazard related Consequence – Allow capturing multiple
 - vi. Initial Risk Factor – This is awarded to the Hazard as a combination of two factors as follows: -
 - I. Risk Probability

Risk Probability	Meaning	Value
Frequent	Likely to occur many times (has occurred frequently)	5
Occasional	Likely to occur sometimes (has occurred infrequently)	4
Remote	Unlikely to occur, but possible (has occurred rarely)	3
Improbable	Very unlikely to occur (not known to have occurred)	2
Extremely improbable	Almost inconceivable that the event will occur	1

2. Risk Severity

Severity	Meaning	Value
Catastrophic	<ol style="list-style-type: none"> 1. Equipment destroyed 2. Multiple deaths 	A
Hazardous	<ol style="list-style-type: none"> 3. A large reduction in safety margins, physical distress or a workload such that the operators cannot be relied upon to perform their tasks accurately or completely 4. Serious injury 5. Major equipment damage 	B
Major	<ol style="list-style-type: none"> 6. A significant reduction in safety margins, a reduction on the ability of the operator to cope with adverse operating conditions as a result of increase in workload, or as a result of conditions impairing their efficiency 7. Serious incident 8. Injury to persons 	C
Minor	<ol style="list-style-type: none"> 9. Nuisance 10. Operating limitations 11. Use of emergency procedures 12. Minor incident 	D
Negligible	Little consequences	E

vii. Risk Controls

viii. Further Mitigations

[Allow a Repeating Table]

1. Mitigation Activity
2. Implementation Date
3. Progress (%): 0| 25| 50| 75|100

ix. Residual Risk

1. The residual risk is entered the same as the Initial Risk Factor as a combination of Probability and Severity

x. Owner – This is the Service Provider

xi. Risk Tolerability

Safety Risk		Severity				
		Catastrophic A	Hazardous B	Major C	Minor D	Negligible E
Frequent	5	5A	5B	5C	5D	5E
Occasional	4	4A	4B	4C	4D	4E
Remote	3	3A	3B	3C	3D	3E
Improbable	2	2A	2B	2C	2D	2E
Extremely improbable	1	1A	1B	1C	1D	1E

1. (Colour Codes Red to denote “Intolerable”; Yellow to denote “Tolerable”; Green to denote “Acceptable”)

Safety Risk Index Range	Safety Risk Description	Recommended Action
5A, 5B, 5C, 4A, 4B, 3A	INTOLERABLE	Take immediate action to mitigate the risk or stop the activity. Perform priority safety risk mitigation to ensure additional or enhanced preventative controls are in place to bring down the safety risk index to tolerable.
5D, 5E, 4C, 4D, 4E, 3B, 3C, 3D, 2A, 2B, 2C, 1A	TOLERABLE	Can be tolerated based on the safety risk mitigation. It may require management decision to accept the risk.
3E, 2D, 2E, 1B, 1C, 1D, 1E	ACCEPTABLE	Acceptable as is. No further safety risk mitigation required.

2. Safety Risk Tolerability Matrix

- xii. Once the Service Provider undertakes the Risk Assessment, the Hazard is forwarded to the SSPC.
2. The System notifies the SSPC to Review the Service Provider’s Risk Assessment. The SSPC and the Service Provider may exchange notes until the Hazard is fully reviewed.
3. Once Assessment is undertaken for each of the Hazards/Events Created, The SSPC determines if there is need for more resources?
 - a. If true, The SSPC forwards the Hazard to an Inspector for Review with Comments. The system generates an email to the Inspector.
4. The Inspector Reviews the Hazard/Risk Assessment.
 - a. If the Inspector is OK, the System updates the Date of Review, generates an Email regarding the concurrence to the SSPC.
 - b. If the Inspector requires further clarification, they return the Risk to the SSPC with Comments. The system generates an email to the SSPC seeking further clarification.
5. If the Non-State Risk does NOT require further review, the SSPC accepts the Hazard/Risk Assessment. The System updates the Date of Approval, generates an Email regarding the approval to the Owner/Service Provider and SSPC and avails the Hazard

to the Service Provider awaiting capturing of achievements of the Mitigation Achievements.

For Approved/Accepted Risk Assessments, the Owner (HOD or Service Provider) updates the Mitigation Measures.

1. The System lists all Risks Assessments/Hazards allocated to the Owner.
2. The System shall be generating email alerts to the Risk Owner and the SSPC office seven (7) days before the implementation date and on the due date. Further alerts shall be generated every other days past the implementation date.
3. For each Hazard, the Owner opens up the Mitigation Measures/Activities and captures the following: -

- a. Risk Mitigations

[Allow a Repeating Table]

- a. Mitigation Activity – Updates Activities Undertaken
 - b. Implementation Date – Capture Completion Date
 - c. Revised Date – Enter Revised where the activity is still pending
 - d. Progress (%): 0| 25| 50| 75|100 – Select the completion percentage
 - e. Attach supporting evidence
 - f. Enter Any Remarks
 - g. Save
 - b. Once all The Mitigation Activities are captured for each Risk, it is forwarded to SSPC for validation. The System generates an email on the same to the SSPC.
 - c. If a Risk has outstanding or any incomplete Mitigation Activities, it remains at the Owner’s Inbox awaiting further activities and completion.
4. The SSPC undertakes Monitoring and Evaluation by Validating the Submitted Mitigation Activities. This is grouped within the Risks/Hazards.
 - a. The SSPC opens the Risk, reviews all the mitigation measures, attached supporting documentation and completion rates.
 - b. The SSPC may liaise with the Risk Owner through the System for any clarifications.
 - c. If a mitigation measure is validated and the mitigation activity is accepted, the system updates the Status and communicates to the Risk Owner.
 - d. Once all Mitigation Measures within a Risk are fully validated and completion rate is 100%, the Risk/Hazard is Acceptable/Tolerable.
 5. The Risks/Hazards shall form part of the Risk Owner’s Surveillance. This shall be an indicator of the Service Provider’s risk profile to assist in surveillance prioritization.

7.2.3 INPUT

1. Application Form/Documents:
2. Hazard log template
3. Risk assessment template
4. Mitigations & evidence capture

Checklist: None

7.2.4 OUTPUT

1. Risk assessments per service provider
2. State Risk assessments
3. Safety Risk Index (intolerable, tolerable, acceptable)

8 NATIONAL CONTINUOUS MONITORING COORDINATION (NCCM)

8.1 STATE LETTER MANAGEMENT - NCM01

8.1.1 OVERVIEW

This process outlines the management of State Letters issued by the International Civil Aviation Organization (ICAO) and other agencies. The letters may be on a variety of subjects which include, but not limited to proposals for amendments of Annexes, documents, seminars and workshops training or any other subject that requires response or action from the State.

8.1.2 PROCESS NARRATION

The process description is as follows:

1. NCCM uploads the state letter which can be obtained from any of the following sources:
 - (i) ICAO portal
 - (ii) ICAO Regional Office Correspondence
 - (iii) Regional Safety Oversight Organization (RSOO)
 - (iv) Regional Aviation agencies such as AFCAC
2. The relevant HODs and State Letter Management Committee members are notified
3. State Letter Management Committee member reviews the State Letter and determines whether or not they need resources:
 - (i) If resources are required determine whether the resources are external or internal. If internal, request the various HODs to provide the relevant Inspector who are SMEs to provide technical expertise. If external, request the external SME to provide the required technical expertise.
 - (ii) Else, to step 4
4. Submit the State Letter and technical input to the relevant HOD for concurrence:
 - (i) If the HOD concurs, the State Letter and technical input is submitted to the Letter Management Committee

- (ii) Else go to step 3
- 5. State Letter Management Committee discusses the State Letter and technical input and develop a State Position and submits it DASSR for review
- 6. DASSR reviews the State Position:
 - (i) If acceptable, go to step 7
 - (ii) Else go to step 5
- 7. DG reviews the State Position:
 - (i) If acceptable, go to step 8
 - (ii) Else go to step 6
- 8. DG approves the State Position and notifies NCMC
- 9. NCMC communicates the State Position to the source of the State Letter and other relevant agencies.
- 10. Invoke the Development and Review of Regulation Process and Filing of Differences Process if need be.

8.1.3 INPUT

Application Forms: None

Checklists: None

8.1.4 OUTPUT

Not provided

8.2 DEVELOPMENT AND MAINTENANCE OF CIVIL AVIATION ACT - NCM02

8.2.1 PROCESS NARRATION

The process description is as below:

- I. The Legal Office requests HODs to provide input in areas concerning their departments in the Act. The development/amendment of the regulations may be necessitated by any of the following factors:
 - (i) Changes in the Convention on International Civil Aviation that necessitate amendment of the Act;
 - (ii) Upon receipt and assessment of amendments to relevant ICAO Annexes and PANS that necessitate a change in sections of the Act;
 - (iii) Upon review of the Constitution, Government policies that affect and require the amendment of the Act;
 - (iv) Upon receipt of request/information from stakeholders regarding the application and/or implementation of the Act;
 - (v) Whenever there is a significant change in the size and complexity of the aviation system;
 - (vi) Whenever there is change in technology;
 - (vii) When the Act is no longer relevant, applicable or effective;

- (viii) As may be desired by the Authority to enhance efficiency of the safety oversight system;
- 2. The HODs provide proposal for inclusion in the Act
- 3. The Legal Office consolidates proposals from the departments and submits to the Committee
- 4. The Committee reviews and prepares a draft amendment that's then submitted to the DG
- 5. The DG reviews the draft amendment:
 - (i) If acceptable, go to step 6
 - (ii) Otherwise, go to step 4
- 6. The Legal Office arranges a stakeholder engagement and consolidates the comments based on the draft amendment
- 7. The Committee prepares the final draft bill of the Amendment/Act and submits to the DG for approval
- 8. The DG reviews the final amendment:
 - (i) If acceptable, go to step 9
 - (ii) Otherwise, go to step 7
- 9. The DG approves the draft bill of the Amendment/Act and submits it to the Ministry for approval process and enactment.

8.2.2 INPUT

Not provided

8.2.3 OUTPUT

Not provided

8.3 DEVELOPMENT AND MAINTENANCE OF CIVIL AVIATION REGULATIONS - NCM03

8.3.1 PROCESS NARRATION

Process description is as follows:

- I. ASSR Coordination Office requests HODs to review requirements and develop regulatory text which maybe occasioned by any of the following:
 - (i) Upon receipt and assessment of amendments to relevant ICAO Annexes and PANS that necessitate a change of applicable regulations;
 - (ii) Upon amendment to Civil Aviation Act that necessitates amendment to regulations;
 - (iii) Upon receipt of request/information from stakeholders regarding the application and/or implementation of the regulation;
 - (iv) Whenever there is a significant change in the size and complexity of the aviation system;
 - (v) Whenever there is change in technology;
 - (vi) When the regulations are no longer relevant, applicable or effective;
 - (vii) As may be desired by the Authority to enhance efficiency of the safety oversight system;

2. The HOD will review the request from ASSR Coordination Office and develop regulatory text with input from other HODs if necessary
3. ASSR Coordination Office will consolidate all the regulatory text and submit to DASSR
4. The DASSR reviews the regulatory text and technical input:
 - (i) If acceptable, go to step 5
 - (ii) Otherwise, go to step 3
5. The Legal Office will review draft regulations for legislative drafting
6. The ASSR Coordination Office arranges a stakeholder engagement and consolidates the comments based on the draft amendment
7. The HODs prepares the final draft bill of the regulations and submits to the DASSR for approval
8. The DASSR reviews the final draft of the regulations:
 - (i) If acceptable submit to the DG and go to step 9
 - (ii) Otherwise, go to step 8
9. The DG reviews the final draft of the regulations:
 - (i) If acceptable go to step 10
 - (ii) Otherwise, go to step 8
10. The DG approves the draft of the regulations and submits it to the Ministry for approval process and enactment.

8.3.2 INPUT

Not provided

8.3.3 OUTPUT

Not provided

8.4 DEVELOPMENT AND MAINTENANCE OF TGMS - NCM04

8.4.1 PROCESS NARRATION

Process description is as follows:

1. ASSR Coordination Office requests HODs to review requirements and develop TGM text which maybe occasioned by any of the following:
 - (i) Upon amendment to Regulations that require amendment of TGMS
 - (ii) Whenever there is an operational or environmental requirement
 - (iii) Concern raised by the industry in interpretation and/or accuracy of TGMS
 - (iv) Identified deficiencies in implementation of existing Regulations and Procedures
 - (v) Whenever there is a change in technology such as introduction of new equipment e.g. new aircraft type
 - (vi) When it is no longer relevant, applicable or effective
 - (vii) Any other reason
2. The HOD will review the request from ASSR Coordination Office and develop TGM text with input from other HODs if necessary
3. ASSR Coordination Office will determine if the TGM meets criteria:

- (i) If the TGM meets criteria, ASSR Coordination Office will review and format the draft TGM and submit to DASSR
 - (ii) Else go to step 2
4. DASSR reviews the draft TGM:
- (i) If the draft is not acceptable, go to step 3
 - (ii) Else determine if DASSR the Authority to approve the draft TGM:
 - a) If DASSR has the Authority to approve, DASSR will approve the draft TGM and forward to the Technical Library
 - b) Else DASSR forwards the draft TGM to the DG for review and approval
5. DG reviews the draft TGM:
- (i) If the draft is not acceptable, go to step 4
 - (ii) Else DG will approve the draft TGM and forward to the Technical Library

8.4.2 INPUT

Not provided

8.4.3 OUTPUT

Not provided

9 TECHNICAL LIBRARY

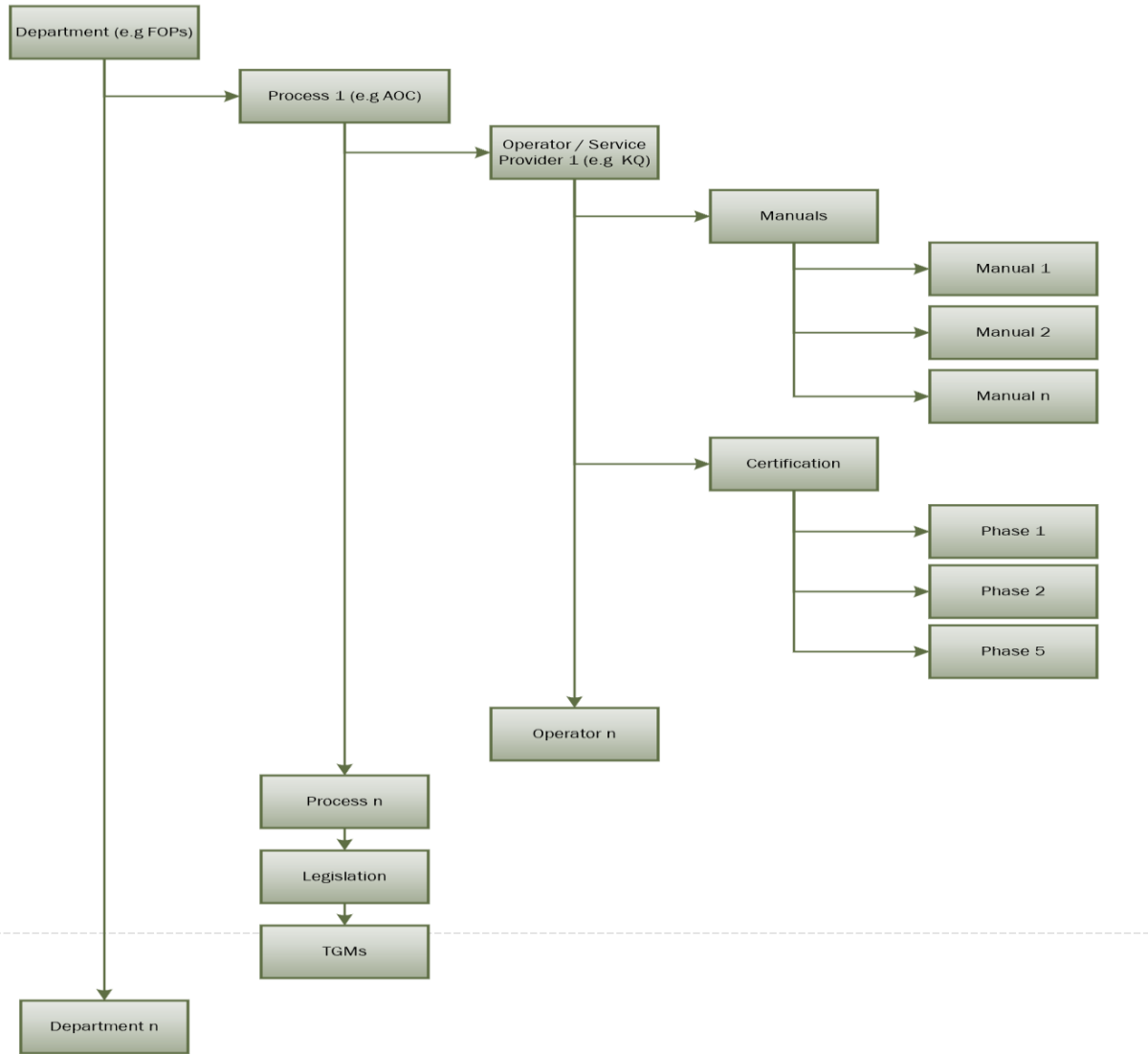
9.1 MAINTENANCE OF OVERSIGHT DOCUMENTS AND RECORDS

9.1.1 OVERVIEW

Documents are submitted by the various ASSR Departments, and the Technical Library is processed by:

- a) Capturing Bibliographic details, Document status, and Reference.
- b) Accessioning: the system will assign unique number to each Information Material as it is added to the inventory. E.g. JOO01 represents accession number of a journal

The structure of the documents submitted from the Technical Library is as below:



9.1.2 PROCESS NARRATION - LIB01

The source of documents is the approval processes such as certification and document approval. All approved documents are automatically deposited in the Technical Library.

9.1.3 INPUT

Approved documents from other processes e.g.

- a) AOC,
- b) Legislations
- c) Approved Regulations
- d) TGMs
- e) Manuals
- f) Policies
- g) Advisory Circulars
- h) AICs

9.1.4 OUTPUT

Consolidated Library

9.1.5 PROCESS NARRATION - LIB02

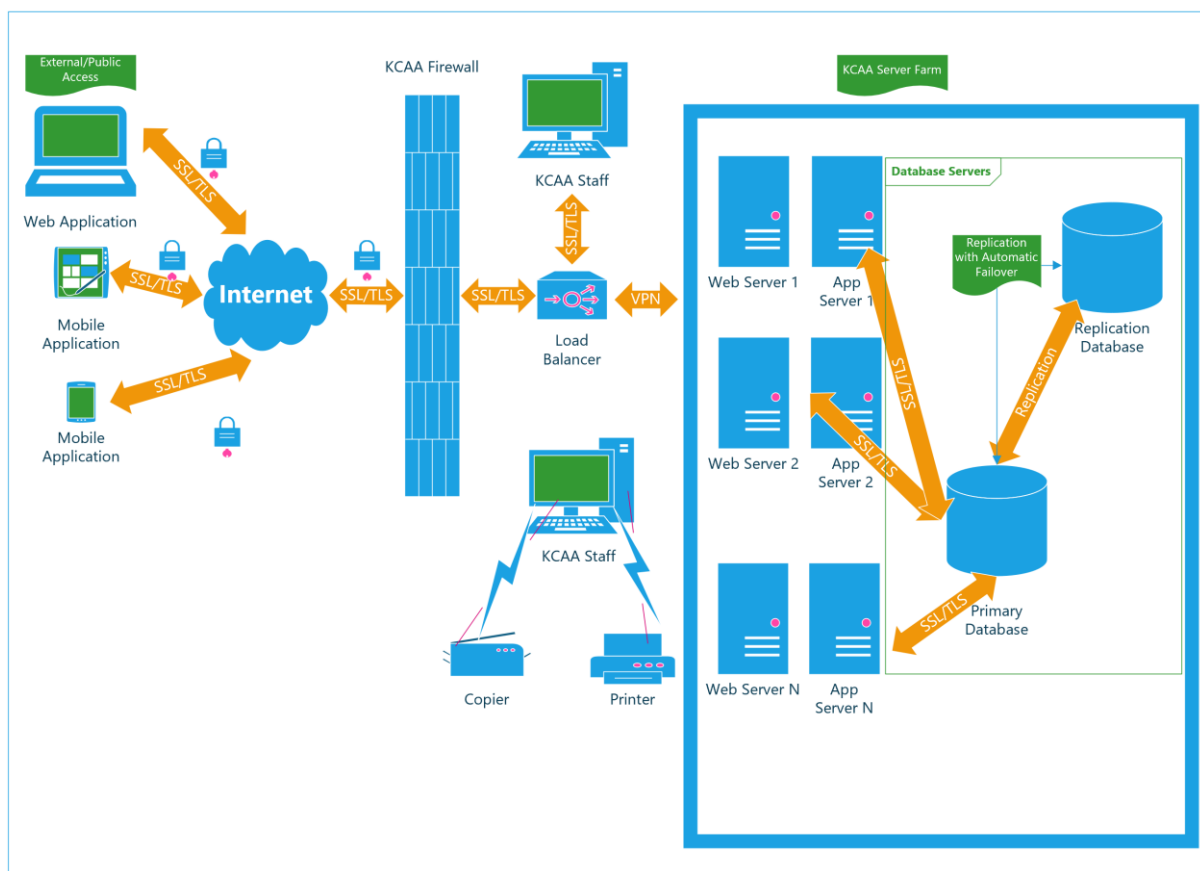
Process description:

1. Approved documents are received
2. Documents are catalogued and indexed for ease of retrieval
3. A request for a document is made to the Technical Library
4. The Librarian determines whether the requested document/file exists:
 - (i) If the document/file exists, grant/deny access or issue to the requestor
 - (ii) Otherwise, notify the requestor that the file does not exist

10 FUNCTIONAL REQUIREMENTS

10.1 SYSTEM ARCHITECTURE – FUN01

10.1.1 OVERALL SYSTEM ARCHITECTURE



10.1.2 PROCESS NARRATION

The system will be accessible outside KCAA network through web client(s), mobile client(s) or any other suitable client that can be accessed securely. To keep the connection to the system secure, the system will use Transport Layer Security (TLS technologies). Any access made outside KCAA network must be allowed through the firewall.

All requests (both internal and external) are then passed through load balancer which directs traffic equitably to the available web servers. This ensures high availability of the system and enhanced performance. From the web servers, traffic is then directed to the application server for processing of the request which then communicates with the primary database via SSL/TLS connection. Replication

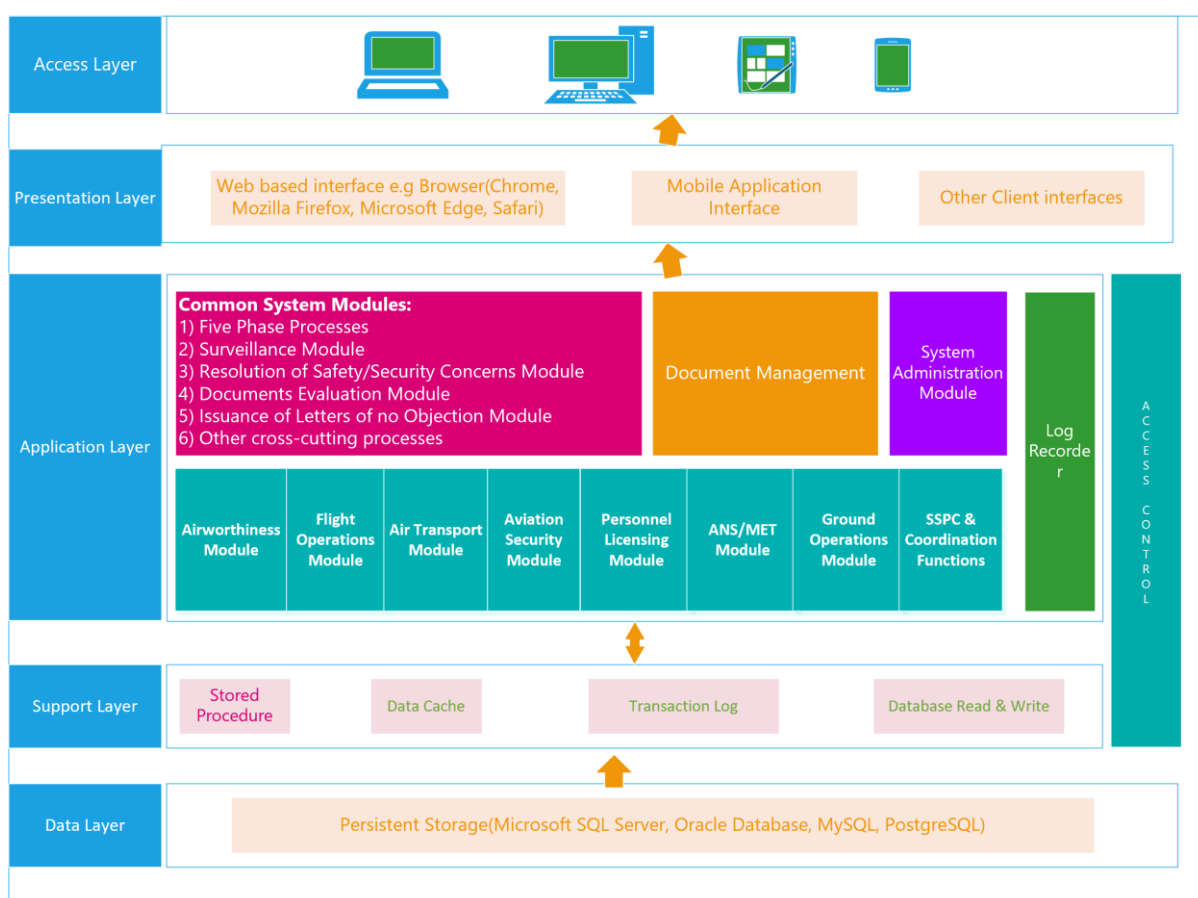
shall be maintained between the primary and secondary databases to enable automatic failover and failback in event of failure.

10.2 APPLICATION ARCHITECTURE – FUN02

A three tier Application architecture is required to separate the user applications and physical database. The tiers will be as follows:

1. **Presentation Tier:** This will represent the user interface and communication layer of the application, where the end user interacts with the application. Its main purpose is to display information to and collect information from the user. This top-level tier can run on a web browser, as desktop application, or a graphical user interface (GUI).
2. **Application/Logic/Middle Tier:** This tier will process information collected in the presentation tier using business logic/specific set of business rules. The application tier shall be Responsible for addition, deletion, or modification of data in the data tier.
3. **Data/Database Tier:** This is where the information processed by the application shall be stored and managed. This can be a relational database management system such as PostgreSQL, MySQL, Oracle, Microsoft SQL Server, etc

10.3 FUNCTIONAL ARCHITECTURE – TEC03



Description:

The System will be accessible via a web client, mobile client, or any other client

At the Application Layer, all system modules will be implemented including the cross-cutting module and department specific modules. All system transactions will be logged to an audit trail.

All transactions, their data and related logs shall be stored for reference whenever needed.
An access control mechanism will be maintained to prevent unauthorized access to the system.
Data Persistence will be a mandatory implementation consideration for any database technology opted for by the vendor.

10.4 LICENSING MODEL – FUN04

All Initial licensing costs related to the technologies utilized shall be borne by the vendor for the project period.

The bidder shall provide details of the Licensing model of such technologies and related costs should be computed and added to the overall project price schedule.

Among the Mandatory items to be considered include: -

- i. Operating Systems
- ii. Database
- iii. ISSOMS Licence
- iv. Any supporting application software tool
- v. Others

Any hidden cost that will not be exclusively highlighted/ explained in this submission will be borne by the vendor.

10.5 MANAGEMENT OF CHECKLISTS – FUN05

The following general functionality is required for all checklists in the System

- i. The system should allow a User to create a new checklist
- ii. The System should be able to allow a user to create questions banks
- iii. When creating a checklist, a question can be newly added to selected from the question banks
- iv. Each question should have answering options e.g Satisfactory, Not Satisfactory, Not Applicable and a text area for adding notes/remarks against a question n a checklist
- v. All questions in a checklist must be uniquely numbered
- vi. The system should allow Checklist questions to be linked with a regulation/TGM
- vii. Questions in a checklist should be modifiable. This shall be a privileged role
- viii. Once a checklist in completed, it should be tied to one or more processes
- ix. Within the process, a checklist should completed before a process can proceed from the checklist step
- x. The system should be able to keep older versions of a checklist
- xi. A checklist should have the date of update and details of updates undertaken
- xii. Within a process, checklists should be exportable to be filled offline and then imported back to the parent process

10.6 SYSTEM REPORTS REQUIREMENTS

10.6.1 GENERAL REQUIREMENTS FOR LISTING REPORTS – FUN06

The following general functionality is required for all reports in the System

- i. All listing reports should have configurable columns. A user should be able to include or remove columns as desired.
- ii. The reports should allow for selection/filtering criteria based on the available columns.
- iii. Date filtering – The system should allow filtering of listing reports in between dates e.g. in between application dates/approval dates/certification dates/date of birth/date of registration etc.
- iv. The reports should allow filtering based on Status – DDL {Different stages of statuses during the application process}.
- v. Nationalities – DDL {One or Multiple Nationalities of the Licence/Certificate Holders can be selected}.
- vi. Transactioning Officers – Reports should allow filtering data based on the officer who transacted.
- vii. Free text search – The user types a search text and it is applied across all the fields displayed in the report as well as any selected criteria.
- viii. On selecting an item, the report should open the actual document where applicable e.g. a certificate or a licence etc.
- ix. The report should have the following features as a standard: -
 - a. The report selection criteria should have an option of clearing all criteria.
 - b. The report headers should be repeated on each new page.
 - c. The report should be viewable in the system natively. It should also be exportable to PDF, Word and Excel.
 - d. The User should have the flexibility to modify the columns the report should display i.e. remove or add columns.

10.6.2 GENERAL REQUIREMENTS FOR VIEW/PAGE REPORTS – FUN07

The following general functionality is required for all page/view reports in the System. These include invoice headers pages, certificates, licences, letters, operating specifications, training specifications

- i. The reports should be invoked either from a process or from a listing report.
- ii. The reports should have a QR code that identified it uniquely. The QR Code should have the following details when scanned: -
 - a. The webpage should be loaded containing a summary of the Report information e.g. A certificate or a Licence.
 - b. The details of the Licence/Certificate should be dynamically wholly fetched from the system based on the scanned QR code. No other details besides the scanned code should be availed. The link should encrypted to ensure that the information of other Licences/Certificates is not exposed to unauthorized and unauthenticated parties.

- iii. The report should be in the system's native format or PDF. It should be exportable to PDF or MS Word.

10.6.3 REPORT BUILDER – FUN08

- i. A graphical report generator and research tool that runs queries on most of the data fields of all system modules.
- ii. Queries may be defined graphically by adding fields from different tables. The query result can be controlled by setting constraints on certain fields through a user input dialogue at execution time.
- iii. Joining of data from different tables. The joining criteria are set implicitly while editing the query (no explicit user input is required for this action).
- iv. Queries can be implemented on system wide data.

10.6.4 REPORT TEMPLATES – FUN09

- i. Ability to set up and configure print templates from the central repository.
- ii. The shall support certificates and their appendices (e.g. operation specifications), surveillance reports, recommendation reports, and cover letters.
- iii. A (super) user (with advanced training) shall be able to adapt the print templates.
- iv. The user can select the respective print templates per application area.
- v. Printing should generate PDF files that cannot be modified by end users.
- vi. Provide Premium Subscription for three (3) Years to an Online Office Templates Provider like <https://www.template.net> or <https://www.canva.com>

10.7 USER MANAGEMENT

10.7.1 USER PROFILES AND ROLES MANAGEMENT – FUN10

10.7.1.1 Narrative

The following general functionality is required for management of users and User Profiles

- vii. The System shall create view and modify roles for all interfaces.
- viii. These roles shall be selected to form a profile.
- ix. A User shall be allocated one or more profiles.
- x. A logged User's menu shall contain menu items corresponding to their roles and profiles.
- xi. The system MUST have capability to be configured to force users to change passwords at various intervals and provide system checks to prevent users from repeating passwords or using combinations of alphanumeric characters that are included in the user ID.

10.7.1.2 User Matrix – TEC11

- i. Systems Administrators – This role shall have access to all areas of the System.
- ii. Internal KCAA Profiles
 - a. DG

This profile shall have the following roles: -

- i. List and view all transactions i.e., Applications and approvals.
- ii. Undertake approvals for all processes.

b. DASSR

This profile shall have the following roles: -

- i. List and view all transactions i.e., Applications and approvals.
- ii. Undertake approvals for all processes.

c. DCS

This profile shall have the following roles: -

- i. List and view all transactions i.e., Applications and approvals.
- ii. List and view all Invoices.
- iii. View Account details and Ledgers.
- iv. List, view and approve Amendment Vouchers.

d. Corporation Secretary Office

For ASL and Enforcement

e. HOD

Each department within the ASSR directorate shall have an HOD

f. Manager Finance

This profile shall have the following roles: -

- i. List and view all transactions i.e., Applications and approvals.
- ii. Raise Amendment Vouchers.
- iii. List, view and approve Amendment Vouchers.

g. Revenue Officer

This profile shall have the following roles: -

- i. List and view all transactions i.e., Applications and approvals.
- ii. List and view all Invoices.
- iii. View Account details and Ledgers.
- iv. Raise, list and view Amendment Vouchers.

h. Team Leader

i. Inspector

j. Internal Audit

- i. List and view all transactions i.e., Applications and approvals.

k. State Safety Program Coordinator (SSPC)

- i. List and view all transactions regarding the SSPC processes

l. SSP Committee Member

- i. List and view SSP transactions
- ii. Capture action plans for State SPIs and SPOs

m. National Continuous Monitoring Coordinator (NCMC)

- i. List and view all transactions regarding the NCMC processes

- iii. External Profiles
 - a. Service Provider (either an individual or an organization)
 - i. Organization Admin – Within an organization
 - ii. Ordinary User – Within an organization
 - iii. Safety Manager – Within an organization
 - iv. Safety Executive – Within an organization – Optional
 - b. Air Accident Investigation
 - i. Organization Admin – Within an organization
 - ii. Ordinary User – Within an organization
 - c. Basic Profile – Default role for an individual
 - d. Designated Examiners
 - e. Designated Medical Examiners

10.7.2 CREATION OF USERS – FUNI 2

- i. All Users created in the system, internal or external shall be issued with a Permanent identification number for the users profile. Where a user will be making a payment, their details must also be in the ERP linked by the ERP customer number. This number will be tied to the User's account, whether they shall Operate using their Basic Profiles, Under an Organization using the Organization Admin or Ordinary User or even under the Authority under any capacity.
- ii. External Users
 - a. Users shall be creating themselves in the system:
 - i. If the user already exists in the Authority's ERP Customer database (based on unique parameters such as PIN, email, ID/Passport Number, Business Registration Number), details of such users shall be used to create the user
 - ii. Otherwise, the user shall be created in ISSOMS and their details will be pushed to the Authority's ERP Customer database upon a need to make a payment
 - iii. For Organizations, the system shall verify the Organization details from the registrar of companies upon the entry of the Company Registration number. For individuals, KRA PIN/ID/Passport Number shall be used to verify the details of an individual from the Registrar of Persons
 - b. A User shall always be unique in the system based parameters such as PIN, email, ID/Passport Number, Business Registration Number
 - c. The form shall be able to manage creation of Organization and Individuals
 - d. The System shall deter robotic applicants by use "Not a Robot" Checks / Completely Automated Public Turing Tests to Tell Computers and Humans Apart (CAPTCHA)
 - e. All Users shall get validation links in their emails to initiate account creation process. The email should have the following information: -
 - a. Username requested
 - b. User details

- c. Email address
 - d. Activation link
 - e. Expiry of the activation link – Within 48 hours
 - f. If the account is not activated within 48 hours, it should be automatically deleted from the system. The earlier selected username should be reusable.
 - g. Entities shall have the ability to manage and update a Master Profile Matrix containing details such as current photos, business registration details, passport details, ID details, addresses and others where applicable. The information in the Master Profile Matrix shall be utilized throughout the system whenever required by a process
- iii. Internal Users
- a. These should be already users in the system with the Basic Profile.
 - b. An internal KCAA Admin shall select an existing User and allocate them a profile(s), an official email and AD account.
 - c. The internal user should be able to login with their local credentials or AD credentials
 - i. The System should preferably securely and reliably manage the personal and official KCAA profile and their related roles.
 - ii. Where the above option is not securely and reliable implementable, then for internal transactions, the AD credentials. For personal transactions, the user has to login using their personal credentials.
 - d. An internal KCAA user with an internal profile should not be a User within any external Organization.

10.7.3 EXTERNAL USER MANAGEMENT FOR ORGANIZATIONS – FUNI 3

External Organizations will be using their profiles to track all transactions under their name. However, they will need to include registered Users who are already activated in the system. These Users should be already users in the system with the Basic Profile. The process should flow as follows: -

- a. The Organizational Account shall select an existing User either by searching using the ID/Passport number, name, email or phone number.
- b. Select the user, allocate them an official email, which is optional and send them an invite to accept to join the Organization.
- c. The User can join or refuse the invite. If they choose to join, they shall be added to the Organizations Users as an Organization Admin.
- d. An Organization Admin is able to add more Users as part of the Organization.
- e. An internal KCAA Admin shall select an existing User and allocate them a profile, an official email and AD account.

10.7.4 DEACTIVATION/REMOVAL OF USERS – FUNI 4

- a. User registered under an Organization can leave any time. In doing so, they'll not be able to view transactions under the Organization anymore. In this case, the Organization shall be notified via email
- b. A User may choose to deactivate their KCAA Account. An organization can also choose to deactivate any user account under it's profile

- c. The Authority may also at its own discretion suspend a User's Account. In this instance it is KCAA who shall reactivate the Account

10.8 PAYMENT MANAGEMENT

10.8.1 KCAA ASSR PAYMENTS – FUNI5

The System shall be charging in accordance with the published AIC. Most of the charges applicable are within Schedule A, Regulatory Fees for Services Offered by Kenya Civil Aviation Authority.

10.8.1.1 Process Narration

The payment process shall be initialized by the parent process (any process requiring payment) whenever a payment is required. The parent process should determine the following: -

- i. The Transaction Reference Number
- ii. The Amount to be paid
- iii. Currency
- iv. Exchange Rate – from the ERP Rate
- v. Mode of Payment
- vi. Payment Status – Not paid/Paid
- vii. Remarks

Upon payment, the parent process should receive the following information from payment process: -

- i. The Invoice Number – From the payment process
- ii. Amount Paid
- iii. Date of Payment
- iv. Time of Payment
- v. Payment Reference Number
- vi. Any other Transaction Confirmation Document Number
- vii. Remarks
- viii. Mode of Payment
- ix. Payment Status – Settled.

10.8.2 INTEGRATION WITH THE ERP – FUNI6

Once the payment information (invoice and payment) above has been received from the payment gateway, the invoice and payment details will be pushed to the ERP using the following workflow:

- I. The system checks if the customer in the invoice exists in the ERP:
 - a. If the customer exists in the ERP, the invoice and payment details are transferred to the ERP
 - b. Otherwise, the customer is created first and then the invoice and payment details are transferred to the ERP

10.8.3 ACCOUNT MANAGEMENT AND PRE-PAYMENT – FUNI7

All Customers shall always have an Account in the System. There shall be a one to one mapping between each Customer and Pre-Payment Account. The system shall treat this account as a Pre-Payment Account.

The Account shall have the following elements: -

- i. The Account shall be created upon User Activation
- ii. The Profile information of the account holder in reference to the User details
- iii. The Account Current Balance (Running Balance) – This balance MUST never go below Zero (0)
- iv. Last Transaction
- v. Last Transaction User
- vi. Last Transaction Date and Time
- vii. All Debit Transactions
- viii. All Credit Transactions
- ix. Currency – This shall always be Kenya Shillings – Currency translations shall be undertaken during each transaction using the day's dollar rate from the ERP System
- x. Account Status – Only active accounts can transact

Upon payment, the parent process should receive the following information from payment process: -

- i. The Invoice Number – From the payment process
- ii. Amount Paid
- iii. Date of Payment
- iv. Time of Payment
- v. Reference Number
- vi. Remarks
- vii. Mode of Payment
- viii. Payment Status – Paid
- ix. Currency used

10.8.3.1 Currency

Transactions in other currencies shall be translated using the exchange rate of that particular transaction.

The exchange rate shall always be from the ERP System.

10.8.3.2 Account Ledger – FUNI8

The System shall maintain a Ledger of all Transactions. Every transaction MUST be in the Account. The ledger MUST allow searching through dates and even particular transactions. The ledger should also provide access to supporting documents i.e. Invoices for debits and receipts for Credits. The default order of the Ledger should be backwards chronological order.

10.8.3.3 Amendment Voucher – FUNI9

All Customer Account Credits and Debits shall be automatically maintained by the System. However, in case of exogenous factors, an amendment voucher can be used to amend the Customer Account Balance.

This shall be undertaken as follows: -

- i. A Finance User Raises the Amendment Voucher indicating the required Customer Balance.
- ii. Supporting documents MUST be attached.
- iii. The Manager Finance MUST Recommend the Voucher for Approval by a Director.
- iv. The Director MUST approve the Amendment Voucher before the new balance is effected.
- v. All details of the transactions and the transacting Users MUST be duly captured.

10.8.4 GENERATION OF AN INVOICE – FUN20

The invoice shall be generated upon receiving the information below from the Parent Process: -

- i. The Transaction Reference Number
- ii. Currency
- iii. Exchange Rate – from the ERP Rate. The exchange rate should be part of the invoice and all the associated transactions shall utilize this exchange rate.
- iv. The System should have a global VAT configuration parameter where the VAT percentage can be set
- v. Payment Details
 - a. Allow Itemization with Item, Unit Cost, Quantity and Total Cost.
 - b. The Total Cost on each line item should always be rounded up to a full number whenever decimals are encountered.
 - c. If VAT is applicable it should be applied on each line item
- vi. The Amount to be paid –
 - a. The System should check if the Payee has any amount in their Pre-Payment Account. If there's an amount, the Amount to be Paid by the Customer should be less that figure.
 - b. If the Amount in the Pre-Payment Account is equal to or more than the Invoice Amount, a Receipt should be automatically generated, and the Invoice is Paid. In this case the System should indicate that the invoice was settled by Pre-Payment Account Balance.
 - c. The amount to be paid should always be in KES and USD.
 - d. The amount to be paid should also be in words.
 - e. Where applicable the system shall include the convenience fee (for the Payment Gateway Provider), however this amount should not be part of the Authority's revenue
 - f. Where applicable the System shall include configurable offset of VAT and Service amounts. The specific offset percentages should be globally configurable.
- vii. Mode of Payment
- viii. Payment Status – Not paid/Paid
- ix. Remarks
- x. General Invoice Guidelines
 - a. The System MUST generate an Invoice Number in the format **KCAA/INV/XXXXXX/YY**
 - b. The generated invoice should be available within the Customer's transactions.

- c. Within the Customer's ledger, all the invoices should be listed and searchable using either of the invoice items i.e. Invoice Number, Amount, Transaction Reference, Invoice Description, in between-dates, Status etc.
- d. The invoice should be presented to the Customer by default in natively in PDF nested within the Payment process. It should also be downloadable in PDF, Word or Excel.
- e. The Invoice Generated should be as per the template below.

10.8.5 GENERATE AN INVOICE-PROFORMA (LOAD PRE-PAYMENT ACCOUNT) – FUN21

The Proforma Invoice (Loading Pre-Payment Account) is generated for the purposes of receipting the Amount to load the Pre-Payment Account: -

- i. Select Currency
- ii. Exchange Rate – from the ERP Rate. The exchange rate should be part of the invoice and all the associated transactions shall utilize this exchange rate.
- iii. Payment Details
 - a. Enter free text.
- iv. The Amount to be paid –
 - a. The amount to be paid should always be in KES and USD.
 - b. The KES amount to be paid should also be in words.
- v. Mode of Payment - DDL
- vi. Payment Status – Not Paid
- vii. Remarks
- viii. General Invoice Guidelines
 - a. The generated invoice should be available within the Customer's transactions.
 - b. Within the Customer's ledger, all the invoices should be listed and searchable using either of the invoice items i.e. Invoice Number, Amount, Transaction Reference, Invoice Description, in between-dates, Status etc.
 - c. The invoice should be presented to the Customer by default in natively in PDF nested within the Payment process. It should also be downloadable in PDF, Word or Excel.

10.8.6 MAKING PAYMENTS – FUN22

Once a Proforma Invoice is generated, the Customer should pay against it. The following are the modes of payments available in the Payment Gateway.

10.8.7 PAYMENT CONFIRMATION – FUN23

Through the Payment Gateway, the KCAA System shall query for confirmation of payments and generation of a Payment Reference Number(Receipt Number) by the Payment Gateway. Once confirmed, the KCAA System shall update as follows.

- i. Update the Invoice: -
 - a. Status as Paid
 - b. Amount Paid

- c. Date of Payment
 - d. Time of Payment
 - e. Payment Reference Number
 - f. Mode of Payment
 - g. Payment currency
- ii. The system shall Generate a Payment Receipt with the following details: -
- a. Invoice Number
 - b. Transaction Number
 - c. Transaction Description
 - d. Amount Paid
 - e. Date of Payment
 - f. Time of Payment
 - g. Payment Reference Number
 - h. Mode of Payment
- iii. The Invoice and Payment Confirmation shall be posted to the ERP System.
- iv. The system shall Credit the Customer's Account (Pre-Payment Account) with the following details: -
- a. Amount Paid
 - b. Date of Payment
 - c. Time of Payment
 - d. Payment Reference Number
 - e. Mode of Payment
- v. The system shall present a Payment Confirmation to the Parent Process with the following details: -
- a. The Invoice Number – From the payment process
 - b. The Transaction Reference Number
 - c. Amount Paid
 - d. Date of Payment
 - e. Time of Payment
 - f. Payment Reference Number
 - g. Remarks
 - h. Mode of Payment
 - i. Payment Status – Paid
- vi. The system shall Debit the Customer's Account (Pre-Payment) with the following details: -
- a. Invoice Number
 - b. The Transaction Reference Number
 - c. Transaction Description
 - d. Amount Paid
 - e. Date of Payment

- f. Time of Payment
 - g. Mode of Payment
 - h. Payment Reference Number
 - i. Transacting Officer – Where applicable
- vii. The Payment Process shall confirm to the User that the Payment is successful. An email shall be generated to the Customer with the following key details: -
 - a. Invoice Number
 - b. The Transaction Reference Number
 - c. Payment Reference Number
 - d. Transaction Description
 - e. Amount Paid
 - f. Date of Payment
 - g. Time of Payment
 - h. Mode of Payment
 - i. Instructions to submit the Application/Complete the Parent Process

10.8.8 PAYMENT REPORTS – FUN24

Detailed reports shall be kept by the System regarding payments. Users can view their own Invoices and Payment. These reports shall be as follows: -

- i. Invoices
- ii. Payments
- iii. Receipts (using various parameters such as dates, customer, amount)
- iv. Amendment Vouchers where Applicable
- v. Statement of account

10.9 SYSTEM SECURITY

10.9.1 GENERAL

The bidder shall be responsible for: -

- a. Implementing all security functions and measures to safeguard the deployed solution
- b. Maintaining the latest versions and patches for system, operating systems, hypervisors, databases, webservers, or any other tool forming part of the deployed solution.
- c. Implementation of digital signatures on approved / system generated documents
- d. Implement, demonstrate, and maintain source code security for the deployed system
- e. Implement necessary security features for all 3 tiers of the RDMS architecture.

10.9.2 DATABASE SECURITY – TEC01

The system will support the following measures to safeguard the database(s):

- a. Separate database servers: the database should be hosted in servers different from the web and application servers to minimize chances of compromise
- b. Use of Real-time Database Monitoring: deploy a monitoring tool to actively scan the database for breach attempts thus bolstering security and allowing reaction to potential attacks
- c. Use of a database firewall to protect the databases
- d. Deployment of data encryption protocols to encrypt all data at rest and on transit
- e. Use of 3rd-party tools - where 3rd party tools are utilized to achieve selected database functions, it will be the responsibility of the bidder to implement all necessary security measures. All these measures shall be documented and shared with the Authority.

10.9.3 APPLICATION SECURITY – TEC02

The following measures will be taken to secure the application:

- a. Authentication & authorization: the system must support local authentication to cater for external users with effective account management practices such as strong password enforcement policy for locally authenticated users, secure password recovery mechanisms and Re-Capture during user registration
- b. Microsoft AD integration: the system MUST support AD integration which will primarily cater for internal users' authentication
- c. Multi-factor authentication: the system must implement multi- factor authentication to mitigate attacks such as brute force attacks
- d. Installation of a Secure Sockets Layer (SSL) certificate to encrypt data in transit to protect against man-in-the-middle attacks. The minimum version to be implemented will be TLS 1.3 or newer versions as at time of deployment.
- e. Must support logging of user actions in the system to track the originator of the various actions
- f. Should support mitigation of abnormally high traffic (which might be a result of Distributed Denial-of-Service (DDoS)) by using a Content Delivery Network (CDN), a load balancer and scalable resources

- g. Must support the implementation of real-time security monitoring by deploying a Web Application Firewall (WAF)
- h. Must demonstrate mobile application/device security
- i. Protection of logs against tampering and unauthorized access
- j. Any other security measure relevant to the deployed solution.

10.9.4 VENDOR SYSTEM ANALYSIS / CRITICAL DESIGN – TEC03

Critical design review and vendor system analysis will be conducted to ensure complete understanding and concurrence on system requirements between KCAA and the prospective system vendor.

- a. The Critical Design Review and Vendor System Analysis will be structured as follows:

Session	Activities	Participants	Location	Days
Session 1	Preparation of technical designs by the KCAA Project Team	System analysts - 5 MICT – 1 Process owners - 6	Retreat	6.0
	a. Opening meeting b. Critical Design c. Workplan Review	Executive Management - 5 ASSR Project Implementation Team - 20 System Vendor - 3	KCAA HQ Auditorium	1.0
	ICT HQ Infrastructure Design Tour	ICT Team: a. MICT - 1 b. System Analysts/Programmers - 5 c. System Administration & Networks - 2 d. ICT Security - 1 e. ICT Vendors (Datacenter, Firewall) - 3 f. ATM Engineer - 1 g. System Vendor - 3	ICT HQ Boardroom ICT HQ Datacenter	1.0
	ASSR Departmental Tour	ASSR Project Implementation Team – 20 System Vendor - 3	HQ	2.0
Session 2	ICT RDRS Infrastructure Design Tour	ICT Team: a. MICT - 1 b. System Analysts/Programmers - 5 c. System Administration & Networks - 2 d. ICT Security - 1 e. ATM Engineer - 1 f. System Vendor - 3	RDRS	1.0
	ICT RDRS infrastructure design study for virtualization, SAN, networks, connectivity, security,	ICT Team: a. MICT - 1 b. System Analysts/Programmers - 5	RDRS Location/Retreat	4

Session	Activities	Participants	Location	Days
	integrations, business continuity, load balancing, hardware, document management	c. System Administration & Networks - 2 d. ICT Security - 1 e. ATM Engineer - 1 f. System Vendor - 3		
Session 3	Critical Design Review & Vendor System Analysis of Licensing and AVSEC Departments and signoffs	1. Licensing - 3 2. AVSEC - 3 3. ICT – 3 4. ASSR Automation Project Team - 2 5. System Vendor - 2	Retreat	5
Session 4	Critical Design Review & Vendor System Analysis of Flight Operations and Airworthiness Departments and signoffs	1. Flight Operations - 3 2. Airworthiness - 3 3. ICT – 3 4. ASSR Automation Project Team - 2 5. System Vendor - 2	Retreat	5
Session 5	Review & Vendor System Analysis of Ground Operations and ANS Departments and signoffs	1. Ground Operations - 2 2. ANS - 2 3. ICT – 3 4. ASSR Automation Project Team - 2 5. System Vendor - 2	Retreat	5
Session 6	Review & Vendor System Analysis of Air Transport and Coordination Office Departments and signoffs	1. Air Transport - 3 2. Coordination Office - 3 3. ICT – 3 4. ASSR Automation Project Team - 2 5. System Vendor - 2	Retreat	5
Session 7	a. Closing meeting b. Critical Design Workplan Review	1. Executive Management - 5 2. ASSR Project Implementation Team - 20 3. ICT Team - 3 4. System Vendor - 3	KCAA HQ Auditorium	1.0

NB: Retreats will be undertaken in at least a 4-star hotel out of town. Break-out rooms will be required for each department for effective review and documentation of critical design reviews/analysis. The KCAA RDRS is in Mombasa.

- b. The applicable costs, including conferencing, transport, printing, logistics and subsistence allowances (as per Government of Kenya Policy) for all participants shall be borne by the vendor. These costs should be computed and added to the overall project price schedule. The applicable costs shall be computed as follows: -
 - i. Conferencing Costs – USD 25 per person per day.

- ii. Subsistence Costs – USD 140 per person per day.
- iii. Economy air fare – Nairobi to Mombasa – can be obtained from local airlines
- iv. Mileage costs to any other venue – USD 0.50 per kilometer per participant

At the end of each departmental review session, the respective HoDs shall sign-off their requirements with the Vendor and KCAA project team.

10.10 TRAINING AND USER SENSITIZATIONS

10.10.1 FACTORY ACCEPTANCE TESTING (FAT) & TECHNICAL TRAINING FOR ICT TECHNICAL STAFF – TEC04

- a. To be undertaken in the vendor’s factory for the KCAA ASSR Automation Project Team
- b. FAT will be conducted for 5 working days
- c. Technical training will be conducted for period of 10 working days shall include the following ISSOMS key technical components:
 - The core OS of ISSOMS – Training on installation, configuration, networking and basic operations
 - Hosting - Platform, Bandwidth Management, Load-balancers, Pacemakers
 - Webserver configuration, installation of security certificate, creation, mapping, and management of websites.
 - Database – Training of the system’s database to cover installation, configuration, administration, creation of databases, creation of tables, modification of tables, data insertion, selection, and manipulation both in the CLI and GUI.
 - Training on the applied technology stack (back end and front end)
 - Installation and rollback of patches
 - Training at a fully simulated KCAA ISSOMS setup with all its components; Webservers, configurations, clusters, databases, mapped networks, and integrations.
 - Technical knowledge of integrations and technologies applied. These include ERP, ARMS, Payment Gateway(s).
 - A profound practical technical training on setup of ISSOMS comprising of configurations, clustering, DBs and integrations. This should include case tests and full system rebuilds within the simulated environment.
 - ISSOMS troubleshooting; health and service status checks, fault checks, performance checks, log reviews and interpretation, recovery, and performance optimization.
 - ISSOMS backups, restorations, failovers, and failbacks between the primary and backup sites.
 - Training on big data and analytics focusing on ISSOMS data. The outputs to this process will generate trends and predictive reports with future insights that shall be used by management for decision making.
 - Undertake Reports Building and Generation for Ad hoc User requests and include the templates in the system for reuse.

- Mobile Applications framework, setup, and security
 - Documents Management
 - Workflow customizations
 - Users, Profiles and Roles Management
- d. The number of participants will be seven (7).
 - e. The technical training shall be provided in the vendor's site/factory setting with sufficient infrastructure to simulate the entire KCAA environment. At the moment KCAA doesn't have facilities/infrastructure to support simulations of such complexity.
 - f. The applicable costs, including logistics and subsistence allowances shall be borne by the vendor. These costs should be included into the price schedule. The estimated applicable costs shall be computed as follows: -
 - i. Any applicable tuition costs
 - ii. Subsistence Costs – approximately USD 450 per person per day.
 - iii. Return Economy air ticket where applicable– Nairobi to Bidder's country of residence/ premises – can be obtained from airlines rates
 - iv. Applicable VISA fees to bidder's premises
 - v. Applicable local transportation costs at bidder's premises. i.e., From Airport to Hotel and back to airport on completion of activity.
 - vi. Any other applicable costs pertaining to this training will be borne by the bidder e.g., Covid tests

Note: Delegates will arrive one day before the training and leave one day after the training. DSA will be applicable for every night out during this period

10.10.2 OPERATIONAL TRAINING FOR CORE END USERS AND SYSTEM ADMINISTRATORS – TEC05

It is envisaged that system implementation will be done in four phases. Thus, training of core end-users and system administrators will be done in groups as follows:

1) Group 1

To be undertaken for the Licensing, ATO, Finance and Departments staff encompassing the following:

- a. A training period of 5 working days that shall include all the operational aspects of the ISSOMS regarding Licensing and related System Administration modules
- b. The number of participants will be at least 6
- c. The applicable costs, including conference, logistics and subsistence and mileage allowances shall be borne by the vendor

2) Group 2

To be undertaken for the Flight Operations, Airworthiness and ICT Departments staff encompassing the following:

- a. A training period of 5 working days that shall include all the operational aspects of the ISSOMS regarding Flight Operations, Airworthiness, and related System Administration modules
- b. The number of participants will be at least 6
- c. The training for the 2 departments will be run concurrently thus the vendor is required to provide trainers for each team
- d. The applicable costs, including conference, logistics and subsistence and mileage allowances shall be borne by the vendor

3) Group 3

To be undertaken for the Aviation Security and AAMLE and Departments staff encompassing the following:

- a. A training period of 5 working days that shall include all the operational aspects of the ISSOMS regarding Aviation Security, AAMLE, Ground Operations, and related System Administration modules
- b. The training for the 2 departments will be run concurrently thus the vendor is required to provide trainers for each team
- c. The number of participants will be at least 9
- d. The applicable costs, including conference, logistics and subsistence and mileage allowances shall be borne by the vendor

4) Group 4

To be undertaken for the Air Transport, Coordination Office, State Safety Programmes staff encompassing the following:

- a. A training period of 5 days that shall include all the operational aspects of the ISSOMS regarding Air Transport, Coordination Office and State Safety Programmes and related System Administration modules
- b. The number of participants will be at least 6
- c. The training for the 3 departments will be run concurrently thus the vendor is required to provide trainers for each team
- d. The applicable costs, including conference, logistics and subsistence and mileage allowances shall be borne by the vendor

- 5) The applicable costs for all the above 4 training groups, including conference, logistics and subsistence allowances shall be borne by the vendor. These include conferencing, transport, printing, logistics and subsistence allowances (as per Government of Kenya Policy) for all KCAA participants. These costs should be computed and added to the overall project price schedule.

The applicable costs shall be computed as follows: -

- i. Conferencing Costs – USD 30 per person per day.
- ii. Subsistence Costs – USD 140 per person per day.
- iii. Mileage costs to any other venue – USD 0.50 per kilometer per participant
- iv. Any other applicable cost.

Note: Delegates will arrive one day before the training and leave one day after the training. DSA will be applicable for every night out during this period

At the end of each departmental review session, the respective HoDs shall sign-off their requirements with the Vendor and KCAA project team.

10.10.3 OFFSITE END-USER TRAINING – TEC06

1) Group 1

To be undertaken in an out-of-town retreat for the Licensing, ATO, Finance and ICT Departments staff encompassing the following:

- a. A training period of 5 days that shall include all the operational aspects of the ISSOMS regarding Licensing, Finance, and related System Administration modules
- b. The number of participants will be at least 15
- c. The applicable costs, including conference, logistics, subsistence, and mileage allowances shall be borne by the vendor

2) Group 2

To be undertaken in an out-of-town retreat for the Flight Operations, Airworthiness and ICT Departments staff encompassing the following:

- a. A training period of 5 days that shall include all the operational aspects of the ISSOMS regarding Flight Operations, Airworthiness, and related System Administration modules
- b. The number of participants will be at least 20
- c. The applicable costs, including conference, logistics, subsistence, and mileage allowances shall be borne by the vendor
- d. The training for the 2 departments will be run concurrently thus the vendor is required to provide trainers for each team

3) Group 3

To be undertaken in an out-of-town retreat for the Aviation Security, AAMLE and Ground Operations and ICT Departments staff encompassing the following:

- a. A training period of 5 days that shall include all the operational aspects of the ISSOMS regarding Aviation Security, AAMLE, Ground Operations, and related System Administration modules
- b. The number of participants will be at least 15
- c. The applicable costs, including conference, logistics and subsistence allowances shall be borne by the vendor
- d. The training for the 2 departments will be run concurrently thus the vendor is required to provide trainers for each team

4) Group 4

To be undertaken in an out-of-town retreat for the Air Transport, Coordination Office, State Safety Programmes, and ICT Departments staff encompassing the following:

- a. A training period of 5 days that shall include all the operational aspects of the ISSOMS regarding Air Transport, Coordination Office and State Safety Programmes and related System Administration modules
- b. The number of participants will be at least 12
- c. The applicable costs, including conference, logistics and subsistence allowances shall be borne by the vendor
- d. The training for the 3 departments will be run concurrently thus the vendor is required to provide trainers for each team

The applicable costs for all the above 4 training groups, including conference, logistics and subsistence allowances shall be borne by the vendor. These include conferencing, transport, printing, logistics and subsistence allowances (as per Government of Kenya Policy) for all KCAA participants. These costs should be computed and added to the overall project price schedule. The applicable costs shall be computed as follows: -

- a. Conferencing Costs – USD 30 per person per day.
- b. Subsistence Costs – USD 140 per person per day.
- c. Mileage costs to any other venue – USD 0.50 per kilometer per participant
- d. Any other applicable cost.

Note: Delegates will arrive one day before the training and leave one day after the training. DSA will be applicable for every night out during this period

At the end of each departmental review session, the respective HoDs shall sign-off their requirements with the Vendor and KCAA project team.

10.10.4 ON THE JOB TRAINING (OJT) – TEC07

This training will be applicable to all ASSR staff and shall be conducted on-premises.

10.10.5 TECHNICAL CERTIFIED TRAINING – TEC08

- a. The certified training should entail the core technology stack (front-end, back-end, security, analytics, middleware, API Management) of the proposed system
- b. To be undertaken in the in accredited institutions certified to offer such training with requisite labs and simulators
- c. The training should also include certification of an enterprise system architecture framework
- d. The training should be physical based classroom and instructor led
- e. The training period should be a minimum of 10 days for at least 7 ICT staff
- f. The bidder should provide the training curriculum in advance
- g. The training package should include learning materials, exam kits, applicable exams, and registration to practitioners' body where applicable

- h. The applicable costs, including economy class airfare, conference, logistics and subsistence allowances shall be borne by the vendor. These costs should be included into the price schedule.

Where applicable, the estimated costs shall be computed as follows: -

- i. Any applicable tuition costs
- ii. Any applicable Certification costs
- iii. Subsistence Costs – approximately USD 450 per person per day.
- iv. Return Economy air ticket where applicable– Nairobi to training premises – can be obtained from airlines rates
- v. Applicable VISA fees to bidder’s premises
- vi. Applicable local transportation costs at bidder’s premises. i.e., From Airport to Hotel and back to airport on completion of activity.
- vii. Any other applicable costs pertaining to this training will be borne by the bidder e.g., Covid tests

10.11 CHANGE MANAGEMENT

10.11.1 USER SENSITIZATIONS – TEC09

No.	Item	Response Required
1.	Aviation industry Sensitizations	<p>The bidder should provide a cost break down of Aviation industry sensitizations activity including with the following Guidelines</p> <ul style="list-style-type: none"> • There shall be four (4) User sensitizations based on the implementation phases of the System. • Each of these sessions shall be undertaken in a 4-star hotel in town. • To be Published in at least 2 leading local newspapers (Daily Nation and the standard) • Banners, digital and physical shall be produced to increase awareness. • It should be a full-day conference with 10 and 4 o'clock tea and lunch. • The estimated number of participants is at least 200 (all sessions). • All The applicable costs shall be borne by the vendor. <p>The bidder to transfer the cost of this activity to the main cost schedule in the tender document. The estimated conference cost per person per day is USD 30.</p>
2.	KCAA Board and Senior Management sensitization	<p>The bidder should provide a cost break down of management and senior board sensitizations activity including with the following Guidelines</p> <ul style="list-style-type: none"> • To be undertaken in a venue within Nairobi. • Banners, digital and physical shall be produced to communicate objective of the Automation. • It should be a 3-day conference with 10 o'clock and 4 o'clock tea, lunch. • The estimated number of participants is 25. • The applicable costs shall be borne by the Vendor. <p>The applicable costs for all participants shall be borne by the vendor. These costs should be computed and added to the overall project price schedule. The applicable costs shall be conferencing costs of USD 30 per person per day.</p>
3.	Project Change Management Activities for Project team	<p>The bidder should provide Project Change Managements activities with the following Guidelines: -</p> <ul style="list-style-type: none"> • Programme of change management activities including the cost breakdown • Change management training shall involve the following: <ul style="list-style-type: none"> ○ Communication on the reason for transition and benefit of the new system ○ How training and support shall be provided to enable the team to adapt to the new ways of working ○ Establishment of metrics and KPIs to track progress and success of the new system ○ How to monitor the transition and address any issues and concerns that may arise ○ The potential risks emanating from operationalizing the system

No.	Item	Response_Required
		<ul style="list-style-type: none"> • Banners, digital and physical shall be produced to communicate objective of KCAA and the Automation in Collaboration • It should be a 5-day activity in a facility outside Nairobi. • 10 and 4 o'clock tea, lunch, and Dinner and accommodation will be provided to participants. • Subsistence allowances and transport allowances will be availed to participants to use their own cars to and from the venue as per the Government of Kenya Policy on subsistence and travel allowances • The estimated number of participants is 25. • Each session should have a professional facilitator. • Number of Project Change Management activities: three (3) <p>The applicable costs, including conferencing, transport, logistics and subsistence allowances (as per Government of Kenya Policy) for all participants shall be borne by the vendor. These costs should be computed and added to the overall project price schedule. The applicable costs shall be computed as follows: -</p> <ol style="list-style-type: none"> i. Conferencing Costs – USD 30 per person per day. ii. Subsistence Costs – USD 150 per person per day. iii. Economy air fare – Nairobi to venue – can be obtained from local airlines. Where applicable, Mileage costs to any other venue will be computed at USD 0.50 per kilometer per participant subject to Government of Kenya Policy

10.12 DOCUMENT MANAGEMENT

The document management system module will control the life cycle of documents — how they are created, reviewed, and published, and how they are ultimately disposed of or retained/archived.

10.12.1 EXPECTED DMS FEATURES – TEC10

The DMS will have the following features:

i. Creation of New Documents:

New files will be created through the following methods:

- a. Manual single file upload
- b. Bulk upload
- c. Scanner
- d. Drag and drop documents
- e. Email

In the case of uploading documents through scanning, the DMS will provide a scanning application through which documents can be scanned and uploaded. The scanning application must have the ability to queue multiple documents for scanning.

ii. Document Indexing:

The DMS must provide:

- a. Indexing of all documents

- b. Custom/Automatic Document Numbering
- c. Indexing Meta Data
- d. Indexing all revisions

It will allow users to define the formatting (validations) for the indexes so that data entry mistakes are avoided while entering the index information.

Where applicable, the DMS will provide plug-ins so that upload through various applications is possible e.g., Microsoft office plug-ins using which documents can be directly uploaded to the DMS from MS Word, MS Excel, or Outlook.

iii. Robust Document Search Engine

The DMS search engine must provide:

- a. Safe and powerful search
- b. Document content and meta data search
- c. Advanced search on all document attributes
- d. Scalable Document Search Engine

iv. Document Security

The DMS will provide a high-level document encryption and role-based access, as well as:

- a. Audit Trail
- b. User and Roles
- c. Advanced Access rights
- d. Encrypted Documents on file system
- e. Supports SSL

v. Workflow Automation

The proposed DMS will automatically route the documents to their destination and provide:

- a. Rule based processing on incoming documents
- b. Setup individual rules and document actions
- c. Automatic and Manual workflows
- d. Document Routing
- e. Configure multi-level approvals
- f. Automatic creation of records based on documents
- g. Update records based on documents
- h. eSignature capability

vi. Document Collaboration, Co-Authoring, and Sharing

The collaboration tool will allow multiple users to engage in simultaneous editing and see who else is accessing the same document. Users will be able give comments on documents and ask for responses from other users on documents that they are co-authoring.

Users will be able to share the documents for a limited period with others – be it other users of the DMS or as an email link with people who are not users of the DMS application. Access to the shared documents shall be disabled after the limited period defined.

vii. Version Control

The DMS will create and keep track of different versions of documents as result of changes made to such documents. It shall also allow users to revert to previous versions where applicable. Check-in/check-out feature shall be availed to prevent accidental over-write of documents by users when a newer version is created

viii. Universal Format Support

Must support a wide range of document formats supporting all the major file formats

ix. Annotations

The DMS shall support annotations, allowing users to highlight certain sections or lines of texts in the document and give their comment or add notes to the highlighted items

x. Intelligent Organization

The DMS will support users to organize documents in any hierarchy suitable to them through categorization and tagging

xi. Archiving

The DMS shall provide an archiving mechanism to preserve and archive files related to previous transactions to have references on hand or to comply with industry regulations.

xii. E-signature

The DMS shall provide an e-signature functionality, to allows approvers to legally sign required forms/ Documents in an electronic format.

xiii. API Interfaces

The DMS shall provide API interfaces for ease of integration with other systems

xiv. Ease of Use

The DMS must be user-friendly.

10.13 DIGITIZATION, LOADING AND INDEXING OF HISTORICAL DOCUMENTS – TEC I I

This process will involve conversion of selected hardcopy, or non-digital record into digital format. The Authority has accumulated a lot of historical records over time, most of which are stored in hard copy. These hard copy historical records must be digitized and uploaded into the system for ease of reference. Approximated number of pages to be scanned and indexed are approximately 1,000,000.

The Authority requires the vendor to: -

- a. Include the cost of digitization (associated labor and equipment costs) in the price schedule.
- b. Give the cost of scanning per page.
- c. If the scanned number of pages exceed 1,000,000, the vendor will charge the cost of scanning extra folios Separately. This extra cost shall NOT be part of the initial contract. Otherwise, if the number of scanned pages is less than 1,000,000, the vendor will be required to give a credit note for the balance.
- d. Give an invoice of the actual Scanned documents upon closure of task.

i. Digitization Equipment – TEC12

All costs for acquisition, maintenance, and disposal of digitization equipment together with its accessories shall be borne fully by the vendor.

ii. Digitization Methodology and Quality Control Requirements – TEC13

It will be the responsibility of the vendor to ensure: -

- a. Creation of Accurate Digitized Records
- b. Quality Controls in
 - Scanning equipment
 - Validation of Metadata
 - Validation of Digitized Records
- c. The vendor will be required to document their digitization methodology and how quality control requirements will be met.
- d. All digitized documents should have OCRs and be searchable through out the content
- e. All costs related preferred adopted methodology and implementation of the quality control requirements shall be borne fully by the vendor.

iii. Uploading of Digitized Documents to the ISSOMS – TEC14

- a. All digitized documents shall be uploaded to the System with their respective metadata.
- b. The required meta data should at least entail the following: -
 - i. Document Name – e.g. AOC
 - ii. Document Owner – e.g. AOC Name
 - iii. Document Number – e.g. AOC No.
 - iv. Document Issue Date

- v. Document Start Date
 - vi. Document End/Expiry Date
 - vii. Document Issued/Approved By
 - viii. Document Issued Remarks
 - ix. Others
- c. Creation of Accurate Digitized Records

10.14 INTEGRATIONS WITH EXISTING SYSTEMS – GEN23

10.14.1 OVERALL INTEGRATIONS OUTLINE

Systems integration is expected to enable Integrated Safety and Security Oversight Management System (ISSOMS) exchange consistent data and information with KCAA systems and other relevant systems domiciled in different organizations. This integration MUST ensure that all systems involved exchange data and information harmoniously to increase productivity and data consistency. In addition, it aims to resolve the complexity and data silos associated with increased communication between systems. All costs for these integrations should be included into the cost of this project. The section below contains technical details that shall assist the vendor undertake integrations with the Systems listed below:

10.14.2 GOVERNMENT OF KENYA E-CITIZEN PORTAL – TEC15

Integration with the Government of Kenya e-Citizen Portal	
Technical Information	
System Name	Government of Kenya e-Citizen Portal
Brief System Synopsis	This Systems has all citizen’s information, and it is used to provide many Government Services including Registrar of Companies and Business Registration
Kenya e-Citizen Portal Management	Vendor: Government of Kenya Contractors Support and Management Contacts: T: +254 780 206 206 E: support@ecitizen.go.ke
Required Integration Points	<ul style="list-style-type: none"> a. Verify information of Kenya Citizens whilst registering into the ISSOMS through the ID number or Passport Number b. Verify Registrar of Companies and Business Registration information for Kenyan Corporates when registering through the ISSOMS c. Integrate to the eCitizen Payment Gateway to manage payments for all services through the system d. Any other integration required from time to time

10.14.3 L-PLUS EXAMINATION SYSTEM – TEC 16

Integration with the KCAA LPLUS Examination System	
Technical Information	
System Name	LPLUS Examination System
Brief System Synopsis	LPLUS Examination System is used for conducting or administering theoretical aviation examinations for issuance of licenses to Pilots, Flight dispatchers and Engineers
LPLUS Management	Vendor: EMPIC Support and Management: EMPIC, Germany
LPLUS Architecture	Application Type: Web-based Database: SQL Server OS: MS Windows Server 2012 Hosting Platform: Pacemaker with 2 nodes Hosting Type: On-premises Server Environment: Virtualized – VMware Physical Location: HQ, PEL Server Room
Required Integration Points	<ol style="list-style-type: none"> a. ISSOMS fetching Examination Data for Candidates/Customers from the LPLUS b. Availing Exam Schedules to the Online Exam Booking Process – P108 c. Creating exam schedules with candidates as per approved/completed exam bookings via ISSOMS d. Issuance of licenses on ISSOMS to candidates who have passed exams e. Closing/archiving exam cards once a candidate has sat for an exam. f. Any other integration required from time and time

10.14.4 ERP – TEC17

Integration with the KCAA ERP System	
Technical Information	
System Name	Microsoft Dynamics Navision 2018 - ERP
Brief System Synopsis	Microsoft Dynamics NAV is an enterprise resource planning system that manages the processes of finance, supply chain and human resource. KCAA uses the ERP to manage processes of Finance, Procurement and Payroll activities. It manages chart of accounts, receivables (customers and revenue data), payables, budgeting, procurement and inventory, assets, payroll etc. It is the financial reporting system and is used to generate financial statement.
ERP Management	Vendor: Attain Enterprise Solutions, Kenya Support and Management: Attain Enterprise Solutions, Kenya
ERP Architecture	Application Type: Client-Based Database: Microsoft SQL 2016 OS: Windows Server 2016 Standard Hosting Type: On-premises Server Environment: Virtualized – VMware Physical Location: HQ ICT Data Centre
Required Integration Points	<ol style="list-style-type: none"> a. Harmonization of Users/Accounts between the two systems for existing and new ones b. Harmonise customer accounts, chart of accounts, dimensions (Directorates, Departments, and stations) between the two systems specifically on the ISSOMS's payment management engine c. Read currency exchange rates from ERP d. Post ISSOMS's invoices, debit notes, credit notes and Payments (Receipts) to ERP e. Update of the ERP Local Aircraft Register with CoRs and CoAs details once issued/changed/updated f. Any other integration required from time to time

10.14.5 ARMS – TEC18

Integration with the KCAA Aviation Revenue Management System (ARMS)	
Technical Information	
System Name	Aviation Revenue Management System (ARMS)
Brief System Synopsis	The ARMS undertakes ANS Billing for KCAA. It obtains data from upstream Systems for Flight Planning, Radar, and Aviation Message Handling Systems. This data creates flight movements which are used to generate invoices and receipts. The ARMS must manage extensive data on Airports/Aerodromes, Aircraft, Accounts, Routes etc.
ARMS Management	Vendor: IDS AirNav, Italy Support and Management: IDS AirNav, Italy
ARMS Architecture	Application Type: Web-based Database: PostgreSQL OS: CentOS Hosting Platform: Pacemaker with 2 nodes Hosting Type: On-premises Server Environment: Virtualized – VMware Physical Location: JKIA Engineering Network
Required Integration Points	<ul style="list-style-type: none"> a. Update of the ARMS Local Aircraft Register new CoRs once issued b. Update of the ARMS Local Aircraft Register new CoAs details once issued c. Any other integration required from time and time

10.14.6 AATIS – TEC19

Integration with the KCAA Advanced Air Transport Information System (AATIS)	
Technical Information	
System Name	Advanced Air Transport Information System (AATIS)
Brief System Synopsis	The AATIS manages provision of Ad-hoc Clearances, Approval of Aircraft Leases, and Issuance of Air Service Licences.
AATIS Management	Vendor: Inhouse Developed by KCAA Support and Management: Inhouse Supported by KCAA
AATIS Architecture	Application Type: Web-based Database: MSSQL OS: Windows Server Hosting Platform: IIS Hosting Type: On-premises Server Environment: Virtualized – VMware Physical Location: KCAA HQ
Required Integration Points	<ul style="list-style-type: none"> a. Access to select from Local Aircraft Register for issued CoRs b. Access to select from Local Aircraft Register for issued CoAs c. Allow ISSOMS to view and verify issued ASLs d. Enable AATIS to view and verify AOCs d. Any other integration required from time and time

10.14.7 ROMS – TEC20

Integration with the KCAA RPAS Operations Management System (ROMS)	
Technical Information	
System Name	RPAS Operations Management System (ROMS)
Brief System Synopsis	Importation and Registration of UASs. Issuance of operating authorizations. Administration of RPAS Pilots, training schools, operators, assembly, and aerodromes.
ROMS Management	Vendor: Inhouse Developed by KCAA Support and Management: Inhouse Supported by KCAA
ROMS Architecture	Application Type: Web-based Database: MSSQL OS: Windows Server Hosting Platform: IIS Hosting Type: On-premises Server Environment: Virtualized – VMware Physical Location: KCAA HQ
Required Integration Points	a. Allow ISSOMS to view issued CORs, UAS operating authorizations, RPAS pilots, aerodromes, and assembly centers e. Any other integration required from time and time

10.14.8 CRONOS – TEC22

Integration with the KCAA CRONOS	
Technical Information	
System Name	CRONOS
Brief System Synopsis	Management of Flight Planning, NOTAMS and other AIS Information
CRONOS Management	Vendor: IDS AirNav, Italy Support and Management: IDS AirNav, Italy
CRONOS Architecture	Application Type: Web-based Database: PostgreSQL OS: CentOS Hosting Platform: LINUX based Hosting Type: On-premises Server Environment: Physical Servers Physical Location: JKIA Engineering Network
Required Integration Points	a. CRONOS to view the ISSOMS's aircraft register b. CRONOS to view the ISSOMS's AOCs register c. CRONOS to view the ISSOMS's CoAs register d. ISOMS to view CRONOS flight plans

10.14.9 AIR TRAFFIC MANAGEMENT SYSTEM (ATMS) – TEC23

Integration with the KCAA ATMS	
Technical Information	
System Name	Indra's ATC system
Brief System Synopsis	The-state-of-the-art Indra Air Automation system includes the automation of the control center, control towers and a simulator for training the controllers. It also incorporates the existing sensor network, providing a highly accurate view of the air traffic
ATMS Management	Vendor: Indra, Spain Support and Management: Indra, Spain
CRONOS Architecture	Application Type: Client server Hosting Platform: LINUX based Hosting Type: On-premises Server Environment: Physical Servers Physical Location: JKIA Engineering Network
Required Integration Points	a. ISSOMS to view all traffic data

10.14.10 OFFICE 365 – TEC24

Integration with the KCAA O365	
Technical Information	
System Name	O365
Brief System Synopsis	The Authority uses the O365 for email communication and other collaboration tasks
O365 Vendor	Vendor: Computer Revolution Africa Group Support and Management: Active Support Contract
O365 Architecture	Application Type: N/A Database: N/A OS: N/A Hosting Platform: N/A Hosting Type: N/A Server Environment: N/A Physical Location: N/A
Required Integration Points	a. ISSOMS should send email communication through O365 platform b. Any other integration required from time and time

10.14.11 BULK SMS – TEC25

Integration with the KCAA Bulk SMS System	
Technical Information	
System Name	PDSL Bulk SMS system
Brief System Synopsis	The Authority uses the bulk SMS system for sending of short messages from time to time
Bulk SMS system Vendor	Vendor: Professional Digital systems ltd, Kenya Support and Management: Active Support Contract
Bulk SMS system Architecture	Application Type: N/A Database: N/A OS: N/A Hosting Platform: N/A Hosting Type: N/A Server Environment: N/A Physical Location: N/A
Required Integration Points	c. ISSOMS should send SMS communication through the bulk SMS platform d. Any other integration required from time and time

10.14.12 ARBUTUS ANALYZER – TEC26

Integration with the KCAA Arbutus Analyzer System	
Technical Information	
System Name	Arbutus Analyzer Systems
Brief System Synopsis	Arbutus is a data analytic tool for mining, analyzing, scheduling, and sharing exceptions from analyzed datasets as per the tests being conducted.
Arbutus Management	Arbutus Vendor: Azmasoft Consulting, Nairobi Arbutus Support and Management: Azmasoft Consulting, Nairobi
Arbutus Architecture	Application Type: Web-based Database: MSSQL and file systems OS: Windows Server Hosting Platform: IIS Hosting Type: On-premises Server Environment: Virtualized – VMware Physical Location: KCAA HQ
Required Integration Points	a. Integrating Arbutus with ISSOMS database to fetch data b. Any other integration required from time and time

10.14.13 ICAAS – TEC27

Integration with the Integrated Civil Aviation Authority System (ICAAS)	
Technical Information	
System Name	ICAAS
Brief System Synopsis	Application and processing of all ASSR service requests. Payment Management.
ICAAS Management	Vendor: Inhouse Developed by KCAA Support and Management: Inhouse Supported by KCAA
ICAAS Architecture	Application Type: Web-based Database: MSSQL OS: Windows Server Hosting Platform: IIS Hosting Type: On-premises Server Environment: Virtualized – VMware Physical Location: KCAA HQ
Required Integration Points	<ul style="list-style-type: none"> a. Allow ISSOMS to view issued Aviation Security Personnel, Flight Crew Personnel, Cabin Crew Personnel, Aviation Security Certificate details b. Allow ISSOMS to retrieve data regarding most of the customer applications c. Allow ISSOMS to retrieve Aviation Security Exam Data d. Datasets for e-citizen payments e. Data on direct invoicing f. Any other integration required from time and time

10.15 VENDOR PROJECT MANAGEMENT – TEC27

- a. Project Methodology – The bidder MUST provide a detailed project methodology based on their understanding of the project requirements
- b. The bidder MUST propose and provide a Project Manager who meets the following: -
 - i. Must be fully certified PMP/PRINCE2 Professional
 - ii. Must have successfully implemented at least three (3) projects of similar complexity and scope in the aviation industry
- c. The bidder MUST propose and provide technical staff with expertise in Aviation Safety and Security Systems, Systems Development & Integration, Systems Implementation and Systems Administration. The proposed staff:
 - i. Must be fully qualified with relevant certifications in their areas of expertise

- ii. Each technical officer must have successfully implemented three (3) projects of similar complexity and scope
- iii. For each proposed staff: -
 - a. Attach certified CVs.
 - b. Attach copies of certificates.
 - c. The staff proposed here MUST be involved in the implementation of the project if awarded.
- d. Project Management processes – The bidder is required to clearly state how they’re going to handle the following aspects of proposed project processes
 - i. Initiation
 - ii. Planning
 - iii. Execution
 - iv. Monitoring and Controlling
 - v. Closing
- e. Project Plan
 - i. The bidder should provide a detailed project plan with clearly defined milestones, deliverables, and timelines. A project Gantt Chart is required
 - ii. The project implementation period should be a maximum of twenty-four (24) months from kick-off to commissioning.
 - iii. The following subsidiary plans should be incorporated in the plan
 - a. Resource management plan
 - b. Cost management Plan
 - c. Scope Management plan
 - d. Schedule management plan
 - e. Change management plan
 - f. Risk Management plan
 - g. Stakeholder management plan
 - h. Procurement management plan
 - i. Communication management plan
 - j. Quality management plan
 - k. Integrations management plan

The Bidder will engage with designated internal project leaders and teams during various project phases for further guidance on KCAA requirements.

10.16 QUALITY ASSURANCE – GEN24

10.16.1 QUALITY MANAGEMENT PROCESS – TEC28

The project will have a Quality Management System (QMS) component to ensure that KCAA’s requirements have been adequately met. The QMS activities should include creating and implementing quality planning, assurance & control:

- a) Quality planning – the project quality plan is expected to contain the following elements:
 - Quality objectives, approach, and requirements
 - Quality standards, guidelines, tools, and techniques, e.g., the Quality Review Checklist and the Deliverables Acceptance Checklist
- b) Quality Assurance – aimed at providing assurance to KCAA Management, system users, and other stakeholders that the process and activities used in development of the system are designed to maintain a high-quality software solution. Quality assurance activities shall include project review meetings at agreed upon intervals, monthly activities report, compliance verification and audits to contractors' quality assurance activities, etc.
- c) Quality Control – includes the following: -
 - Identify monitoring and controlling actions that will be conducted to control quality throughout the project’s life
 - Provide a Quality Review Checklist that will be used for evaluating the quality control activities and to validate compliance with the plans in terms of scope, time, cost, quality, project organization, communication, risks, contracts, and client satisfaction.

10.16.2 FACTORY ACCEPTANCE TESTS – TEC29

Requirements for Factory Acceptance Tests		
No.	Item	KCAA Requirement
I.	Mandatory Factory Acceptance Tests (FAT)	<p>Given the complexity of this project, a factory acceptance test shall be mandatory. The FAT validates the operation of the System to ensure that baseline specifications and requirements have been met.</p> <p>The FAT shall provide reassurance that the proposed System has been tested against a set of scenarios based on the design specified. The factory test shall also be customized to include a mixture of Original Equipment Manufacturer (OEM) prescribed ‘standard’ tests, combined with specific client or designer requirements selected to demonstrate the full functionality of the Systems.</p> <p>The FAT shall require the requisite labs, hardware, and software simulations to mimic practical use scenarios once the System is installed in KCAA.</p> <p>Lastly, witnessing, and successful completion of the FAT is a major milestone in the delivery this project. In addition to the tests, the FAT is also an opportunity to witness and practice the OEM/vendors development practices, maintenance procedures, review user guides and maintenance manuals and review lists of manufacturers recommended hardware spares.</p>

Requirements for Factory Acceptance Tests		
2.	Factory Acceptance Tests (FAT) Strategy/Plan	The bidder should provide a test Strategy/Plan for FAT in the bidder's premises/factory/system development area based on the KCAA FAT requirements. This should entail the following: - <ul style="list-style-type: none"> a. Technical elements to be tested b. Functional processes to be tested c. Tools to be utilized in the testing d. Follow up actions based on test results
3.	Detailed Test activities	The bidder should provide a detailed test plan with the following test activities spread over the ten (10) days. This should entail the following: - <ul style="list-style-type: none"> a. The core OS of ISSOMS, DB and Webservers b. Hosting - Platform, Bandwidth Management, Load-balancers, Pacemakers c. Payment Gateway(s). d. System troubleshooting, backups, and restorations. e. Reports Building and Generation. f. Mobile Applications framework, setup, and security. g. Documents Management. h. Workflow customizations. i. Users, Profiles and Roles Management j. PEL module and generation of outputs. k. Integration with an online Examination System l. Medical module m. ASSR cross-cutting processes n. Airworthiness processes and outputs o. Flight Operations processes and outputs p. Groups Operations processes and outputs q. ANS and MET processes and outputs r. AVSEC processes and outputs s. ASSR Coordination processes and outputs t. Air Transport processes and outputs
4.	Costing for the FATs	The bidder should provide a breakdown of all associated costs for the FAT for ten (10) KCAA project team members. The total cost should be transferred to the main project price schedule These costs should include: - <ul style="list-style-type: none"> a. Return Economy air ticket where applicable– Nairobi to Bidder's premises – can be obtained from airlines rates b. Subsistence Costs – approximately USD 450 per person per day subject to approved DSA rates for the city of training by the GOK. c. Applicable VISA fees to bidder's premises d. Applicable local transportation costs at bidder's premises. i.e., From Airport to Hotel and back to airport on completion of activity. e. Any other applicable costs pertaining to this test session will be borne by the bidder e.g., Covid tests

10.16.3 INTEGRATION TESTING – TEC30

Integration testing will be performed to verify the functional, performance, and reliability between the modules/external systems that are integrated. The integration testing will also expose defects at the time of interaction between integrated modules or external systems. The following steps will be followed during integration testing:

- a. Determine the test case strategy through which executable test cases will be prepared according to test data
- b. Identify the crucial modules to test in terms of priority and identify all possible scenarios
- c. Design test cases to verify each interface in detail
- d. Choose input data for test case execution
- e. Perform both positive and negative integration testing

10.16.4 REQUIREMENTS TESTING – TEC48

Test cases, conditions and data will be derived from requirements and these tests will include both functional tests and non-functional attributes such as performance, reliability, or usability. Test cases must be developed for all requirements will include: -

- a. **Defining Test Completion Criteria** - Testing will be complete when all the functional and non-functional testing is **completed**
- b. **Designing Test Cases** - Test cases will be designed with five parameters: the **initial state or precondition, data setup, the inputs, expected outcomes and actual outcomes**
- c. **Execution of Tests** - Test cases will be executed against the system and the **results will be documented**
- d. **Verification of Test Results** - The expected and actual results **will be compared to ensure that they match**
- e. **Verification of Test Coverage** - The tests must cover both functional and non-functional aspects of each requirement
- f. **Tracking and Managing Defects** - Any defects detected during the testing process will go through the defect life cycle and tracked to resolution. Defect statistics will be maintained to track the overall status of the project requirement tests.

10.16.5 SITE ACCEPTANCE TESTS -TEC31

After the vendor has setup the hardware, system, and created required integrations, KCAA Technical Team will test and confirm that the system and related infrastructure is working as expected and that there are no side-effects on the KCAA environment. The vendor, in conjunction with KCAA will develop a site acceptance criterion that must be signed off to signify Site Acceptance.

10.16.6 USER ACCEPTANCE TESTING (UAT) – TEC32

Acceptance testing will be performed to determine whether the software is conforming to specified requirements and user requirements or not before accepting the system. UAT is expected to undergo the following steps:

- a. **Test Plan Creation:** will outline the strategy of the testing process and is used to ensure and verify whether the **software is conforming specified requirements or not.**

- b. **Test Case Designing: will** include the creation of test cases based on test plan documents (Requirements Document, Process Flow Diagrams, System Requirements Specification).
- c. **Test Case Execution:** includes execution of test cases by using appropriate input values. The testing team will collect input values from the end user then all test cases will be executed by both the technical team and end user to make sure software is working correctly in the actual scenario.
- d. **Confirmation of objectives:** after successful completion of all testing processes, testing team will confirm that the system is bug-free, and it can be delivered to KCAA users.
- e. The testing should be done as follows: -
 - a. It should be a 5-day testing retreat in a 4-Star hotel outside Nairobi.
 - b. The System shall be done in four (4) groups based on the phases of implementation of the System.
 - c. 10 and 4 o'clock tea and lunch shall be provided to participants.
 - d. The estimated number of participants is twelve (12) per session.
- b. The applicable costs, including conferencing, transport, logistics and subsistence allowances (as per Government of Kenya Policy) for all participants shall be borne by the vendor. These costs should be computed and added to the overall project price schedule. The applicable costs shall be computed as follows: -
 - i. Conferencing Costs – USD 25 per person per day.
 - ii. Subsistence Costs – USD 140 per person per day.
 - iii. Mileage costs to any other venue – USD 0.50 per kilometer per participant
 - iv. Any other applicable costs

10.16.7 REPLICATIONS AND BACKUP TESTING – TEC33

Requirements for Replications and Backups Testing		
No.	Item	Technical Specifications
1.	Replications tests Strategy/Plan	The bidder should provide a test Strategy/Plan for replications. This should entail the following: - <ul style="list-style-type: none"> a. The vRPA replications for VMs between HQ and RDRS datacenters b. Protection Window sizes c. Journals sizes d. Failovers e. Failbacks
2.	Backups Tests Strategy/Plan	The bidder should provide a test Strategy/Plan for backups. This should entail the following: - <ul style="list-style-type: none"> a. Sample VMs backups in HQ and RDRS datacenters b. Backup methodologies e.g. incremental and/or full c. Backup tests d. Recovery tests e. Actual recoveries
3.	Test Case Design	The bidder should provide a sample replications and backups test case. The sample test case must clearly indicate: - <ul style="list-style-type: none"> a. The initial state or precondition b. Servers/VMs to be tested c. Testing process d. Expected outcomes e. Actual outcomes

10.17 MANAGEMENT OF CONFIGURATION DATA – GEN25

10.17.1 MANAGEMENT OF KCAA CHARGES – TEC34

The ISSOMS shall manage all the KCAA charges within the scope of the automated System. Management of these charges shall entail: -

1. Inclusion of new charges.
2. Removal/deactivation of charges.
3. Mapping a charge into the workflow of a particular process.
4. Management of charges should be a privileged role with Super user privileges.
5. The System should be able to manage the charge in different currencies in conjunction with the payment process.
6. Review of the charges as at when they change.

10.17.2 CONFIGURATION MANAGEMENT PLAN

The ISSOMS vendor is required to submit a detailed configuration management plan for all components.

10.17.3 GO-LIVE AND COMMISSIONING – TEC35

The required go-live for the ISSOMS is cutover. This shall be done in four phases. Each phase should have its own independent Go-live and commissioning after three (3) months of continuous system usage. The System Go-live and Commissioning is as structured below.

Go-live and Commissioning Structure	
Phase I Go-live and Commissioning	
Modules/System Components to Go-live	<ol style="list-style-type: none"> a. System hardware, virtualization, and all configurations b. Payments Management c. All Administrative and Shared Modules and Processes d. PEL and ATO
Phase I Go-live prerequisites	<ol style="list-style-type: none"> a. Critical design review/Vendor System Analysis b. Factory acceptance testing c. System development and customization d. Hardware deployment at KCAA and customization e. Unit and integration testing for all modules f. Testing hardware including backups and disaster recovery g. Configuration of management and setup data e.g., dimensions h. Technical training for ICT staff at vendor site i. Operational training for ICT, PEL project implementation team and champions training j. Industry sensitizations k. Site and user acceptance testing l. Closure of all issues emanating from site and user acceptance testing m. Off-site training of PEL inspectors by Vendor, ICT and trained PEL champions n. Provision of technical and end-user documentation for the modules involved in both print and video o. Historical data and documents capture p. Publications of the planned Go-live in mainstream media and social media q. Establishment of external user’s onsite support training area with at least ten (10) computers and printers r. Provision of go-live strategy and checklist by the Vendor

Go-live and Commissioning Structure	
Phase I Go-live Activities	<ul style="list-style-type: none"> a. Go-live launch by project implementation team b. Support of both internal and external Users by the Vendor team, ICT and PEL champions c. Availability of two (2) programmers/system analysts onsite for user support, customization and resolution of any issues emanating from the cutover for a duration of three (3) weeks d. System development and customization of all issues emanating from the cutover for three (3) weeks e. Completion of the Go-live checklist by the vendor and signoffs
Phase I Commissioning	<ul style="list-style-type: none"> a. Provision of a Phase commissioning strategy b. Phase I commissioning and signoffs
Phase 2 Go-live and Commissioning	
Modules/System Components to Go-live in Phase 2	<ul style="list-style-type: none"> a. Any required System hardware, virtualization, and all configurations b. Flight Operations and Airworthiness
Phase 2 Go-live prerequisites	<ul style="list-style-type: none"> a. Phase I Go-live b. System development and customization for Flight Operations and Airworthiness processes c. Unit and integration testing for the two modules d. Configuration of management and setup data e.g., dimensions e. Operational training for ICT, Airworthiness and Flight Operations project implementation team and champions training f. Airworthiness and Flight Operations Industry sensitizations g. Site and user acceptance testing for Airworthiness and Flight Operations h. Closure of all issues emanating from site and user acceptance testing i. Off-site training of Airworthiness and Flight Operations inspectors by Vendor, ICT and trained Airworthiness and Flight Operations champions j. Provision of technical and end-user documentation for the modules involved in both print and video k. Historical data and documents capture l. Publications of the planned Go-live in mainstream media and social media m. Establishment of external user's onsite support training area with at least ten (10) computers and printers n. Provision of go-live strategy and checklist by the Vendor
Phase 2 Go-live Activities	<ul style="list-style-type: none"> a. Go-live launch by project implementation team b. Support of both internal and external Users by the Vendor team, ICT and Airworthiness and Flight Operations champions c. Availability of two (2) programmers/system analysts onsite for user support, customization and resolution of any issues emanating from the cutover for a duration of three (3) weeks d. System development and customization of all issues emanating from the cutover for three (3) weeks e. Completion of the Go-live checklist by the vendor and signoffs
Phase 2 Commissioning	<ul style="list-style-type: none"> c. Provision of a Phase commissioning strategy d. Phase 2 commissioning and signoffs
Phase 3 Go-live and Commissioning	
Modules/System Components to Go-live in Phase 3	<ul style="list-style-type: none"> a. Any required System hardware, virtualization, and all configurations b. Air Transport, Ground Operations, ANS & MET, AVSEC and ASSR Coordination Office

Go-live and Commissioning Structure	
Phase 3 Go-live prerequisites	<ul style="list-style-type: none"> a. Phases 1 and 2 Go-lives b. System development and customization for Air Transport, Ground Operations, ANS & MET, AVSEC and ASSR Coordination Office processes c. Unit and integration testing for the modules d. Configuration of management and setup data e.g., dimensions e. Operational training for ICT, Air Transport, Ground Operations, ANS & MET, AVSEC and ASSR Coordination Office project implementation team and champions training at vendor site f. Air Transport, Ground Operations, ANS & MET, AVSEC and ASSR Coordination Office Industry sensitizations g. Site and user acceptance testing for Air Transport, Ground Operations, ANS & MET, AVSEC and ASSR Coordination Office Closure of all issues emanating from site and user acceptance testing h. Off-site training of all inspectors for Air Transport, Ground Operations, ANS & MET, AVSEC and ASSR Coordination Office by Vendor, ICT and trained departmental champions i. Provision of technical and end-user documentation for the modules involved in both print and video j. Historical data and documents capture k. Publications of the planned Go-live in mainstream media and social media l. Establishment of external user's onsite support training area with at least ten (10) computers and printers m. Provision of go-live strategy and checklist by the Vendor
Phase 3 Go-live Activities	<ul style="list-style-type: none"> a. Go-live launch by project implementation team b. Support of both internal and external Users by Air Transport, Ground Operations, ANS & MET, AVSEC and ASSR Coordination Office by Vendor, ICT and trained departmental champions c. Availability of two (2) programmers/system analysts onsite for user support, customization and resolution of any issues emanating from the cutover for a duration of three (3) weeks d. System development and customization of all issues emanating from the cutover for three (3) weeks e. Completion of the Go-live checklist by the vendor and signoffs
Phase 3 Commissioning	<ul style="list-style-type: none"> a. Provision of a Phase commissioning strategy b. Phase 3 commissioning and signoffs

II INFRASTRUCTURE REQUIREMENTS

II.1 HOSTING, LOAD-BALANCING, BANDWIDTH MANAGEMENT AND PACEMAKERS – GEN26

All infrastructure to be utilized by this system shall be provided by KCAA. The following is the infrastructural environment in KCAA: -

- a. Servers – All servers are virtualized using VMware vSphere. The management of resources is undertaken by a vCenter Server.
- b. Storage – The Authority’s storage is DELL EMC PowerStore. The storage is based on NVMe technology.
- c. SAN – The storage area network is based on fibre channel protocol with redundant SAN switches.
- d. Replication – Replication of all virtual machines is done to the KCAA remote disaster recovery site (RDRS) using virtual Recover Point Appliances (vRPAs). These are configured such that they present to single point of failures.
- e. Backups – Backups are undertaken using Commvault Enterprise Software.
- f. Firewalls – The Authority has deployed Check Point firewalls both in the HQ and the RDRS.

II.1.1 SYSTEM HOSTING -TEC36

The required hosting for the ISSOMS, both applications and databases is on premise. The hosting platform of the bidder’s system MUST meet the following base requirements: -

Requirements for System Hosting		
No	Item	Specifications Required
1.	Security, HA, load balancing and FT	The hosting configuration MUST ensure security, high-availability, load-balancing, bandwidth management, scalability and fault-tolerance in the System configuration. The bidder MUST indicate how this shall be achieved.
2.	New configurations and updates	The bidder indicate how they shall be responsible for any new configurations, patches and updates on the hosting platform.
3.	Webserver(s)	Indicate the application web servers required to successfully run the application e.g., Apache, Nginx, IIS, XAMPP, WAMPSEVER, MAMP, BITNAMI.
4.	DMZ Configurations	The internet facing application serves should be hosted in a DMZ setup different from the databases servers. The database servers should be hosted within the KCAA server network. Indicate how this configuration shall be achieved using a full colour technical diagram.
5.	Applications and database servers configurations	Indicate hosting model to be implemented for application and database servers with high-availability, fault-tolerance, security and DMZ configurations. Provide a full-clour comprehensive architectural diagram.
6.	OSs	Indicate the host OS for the application and database entities stating all the minimum technical requirements.
7.	Hardware requirements for webservers	Indicate, if any, the hardware requirements for the applications webservers.
8.	Webserver prerequisites and dependent software	Indicate other prerequisites required for hosting the application and databases including other dependent software.

Requirements for System Hosting		
No	Item	Specifications Required
9.	OS and Software Licensing	Indicate the licensing model for the host OS, prerequisite software applications, web servers, database servers etc. The bidder MUST provide core enterprise licenses for the following: - The OS of the application servers. The OS of the database servers. Any software that should be utilized as part of the configuration of the System.
10.	Application finetuning	Indicate application and database level finetuning procedures to be done to achieve optimum application performance.
11.	Scalability	Scalability - Allow ease of addition of new servers into the hosting cluster.
12.	GUI tools	Provide GUI tools and methods to measure application high availability and the parameters to be used in monitoring.
13.	Pacemakers and heartbeat monitoring	Some applications require pacemakers to listen to heartbeats of various services within the hosting cluster. Indicate any pacemakers to be utilized for hosting the proposed System or how this requirement shall be met.
14.	DNS mappings	The System should be hosted using a fully qualified domain name. Indicate how the necessary mappings shall be undertaken taking into account internal and external DNS mappings, internal and external IP mappings, firewalls mappings.

11.1.2 BANDWIDTH MANAGEMENT REQUIREMENTS – TEC37

The System's configuration **MUST** meet the following bandwidth management requirements: -

Requirements for Bandwidth Management			
No.	Item	Specifications Required	Score
1.	Minimum bandwidth requirement	Indicate minimum bandwidth requirement for each concurrent user accessing the system.	M
2.	Network allowed latency threshold	Indicate network allowed latency threshold.	M
3.	Load balancing procedures	Indicate load balancing procedures for high latency cluster nodes.	M
4.	Configuration of bandwidth management policies	Based on the minimum bandwidth requirements, provide policies or undertakings to be implemented in order to prioritize the system's traffic over non-priority traffic.	M
All Requirements are Mandatory (Pass/Fail)			Mandatory

11.2 BUSINESS CONTINUITY

11.2.1 BACKUPS AND RECOVERY – TEC38

The key VMs in the HQ datacentre cluster shall be backed up using the main KCAA backup and recovery software. The backups shall be undertaken in the HQ as well as in the RDRS. The backup technology to be utilized is a Commvault Backup Solution. The following should be the requirements for backup and recovery: -

Requirements for Backup and Recovery			
No.	Item	Specifications Required	Score
1.	Configurations diagram	To demonstrate the bidder’s understanding of how the backups and recovery shall be undertaken, the bidder should provide a comprehensive diagram of how they understand the KCAA environment and how they shall configure their backups. The following should be depicted in the full colour diagram: - a. The VMs and other services to be backed up. b. The Commvault media servers and storage in the primary site c. The Commvault media servers and storage in the RDRS	M
2.	Backup process	The bidder should explain the process of undertaking backups in the primary site and also in the RDRS.	M
3.	Recovery process	The bidder should explain the process of undertaking recovery from the primary site and also from the RDRS.	M
4.	Backup tests	The bidder should explain the process of undertaking backups testing both in the primary site and the RDRS.	M
All Requirements are Mandatory (Pass/Fail)			Mandatory

The VMs created in the KCAA HQ vCenter Server should be replicated to the KCAA RDRS vCenter Server to create shadow copies. Each replicated VM should have enough journal size to accommodate a two (2) weeks protection window. In the event of the loss of a consistency group, the vRPA licence already available in the RDRS should allow recreation and replication of a VM from the RDRS to the KCAA HQ vCenter Server.

11.2.2 DISASTER RECOVERY FROM THE RDRS – TEC39

With the vRPA, replication and shadow copies set up as explained above, disaster recovery shall entail failovers to the shadow VMs in the RDRS. Once the problem in the main datacentre in KCAA HQ is resolved, the shadow copy in the RDRS shall be failed back to the HQ datacentre and replication continues by reestablishing the shadow copy. The following are the requirements for the disaster recovery from the RDRS: -

Requirements for Disaster Recovery from the RDRS			
No.	Item	Specifications Required	Score
1.	Configurations diagram	To demonstrate the bidder's understanding of how the replications, production and shadow copies shall be configured, the bidder should provide a comprehensive diagram of how they understand the KCAA environment and how they shall configure their consistency groups. The following should be depicted in the full colour diagram: - a. The VMs and other services in production b. Replication status and direction c. Shadow VMs and other services in recovery site d. Network configurations e.g. VLANS and layer 2 LAN extensions	M
2.	Failover process	The bidder should explain the process of undertaking failovers using screenshots.	M
3.	Failback process	The bidder should explain the process of undertaking failbacks using screenshots.	M
4.	RPOs and RTOs	The bidder should describe how they shall ensure that KCAA's RTOs and RPOs of less than 30 minutes are achieved	M
All Requirements are Mandatory (Pass/Fail)			Mandatory

11.2.3 NO-SINGLE POINT OF FAILURES – TEC40

All configurations between servers, networks, SAN switches and storage shall be undertaken such that they present no-single-point of failures. This is in both the primary site in the HQ and the RDRS.

Requirements for No-single-point of failures			
No.	Item	Specifications Required	Score
1.	No-single-point of failures configurations diagram	To demonstrate the bidder's understanding of the requirement for no-single-point of failure, a diagram is required depicting all devices and respective connectivity. The following should be depicted in the full colour diagram:- a. The devices (servers, switches, firewalls, load balancers etc) to be provided and their redundancy b. Network connectivity between devices and the redundancy c. Power connectivity between devices and the redundancy	M
2.	Monitoring and Recovery process	a. The bidder should explain the process of monitoring any failures in a no-single-point of failure configuration and recovery process. b. Systems administrators should get notifications when a HA configuration has a problem or one of the nodes is not available.	M
All Requirements are Mandatory (Pass/Fail)			Mandatory

11.2.4 OPERATIONAL AUTONOMY – TEC41

The ISSOMS shall be integrated with several other Systems. It is imperative that in the absence of these other Systems or lack of connectivity, the ISSOMS should continue operating autonomously. On integrations whereby the ISSOMS requires information from upstream systems e.g. business registration, the System should make a provision for the User to enter all the requirement information manually then verification can be undertaken later. This configuration should still provide the required levels of validation of User input. This can be through an approval process by another User with elevated privileges.

For downstream integrations where ISSOMS requires to post data to another System, the process should be undertaken such as that the absence of this other System does not impact or even slow down ISSOMS operations. For example, if the email System seems to be having issues, the mails to be send should be queued to be send at a later time.

11.2.5 CONTINGENCY OPERATIONS – TEC42

In the event that the System is not available, contingency operations shall kick in immediately. The following shall be the requirements for the contingency operations procedure to be provided by the bidder: -

- 1) Contingency Operations triggering events.
- 2) Classification of all possible System outages.
- 3) Contingency Operations activities and tasks categorized as follows: -
 - a) Activity 1: Preliminary Assessment
 - b) Activity 2: Activation of Contingency Operations

- c) Activity 3: ISSOMS Fault Troubleshooting
- d) Activity 4: Restoration of Services
- e) Activity 5: Root cause analysis report and mitigation measures

The bidder should propose the process of contingency operations.

11.3 OVERALL SYSTEM END-USER DEVICES

11.3.1 TABLETS/MOBILE DEVICES – TEC43

Inspectors who undertake inspection duties out of office shall require working tools. Tablets shall be provided for this purpose. The required number of devices to be provided is five (5). The required specifications for these tablets are as follows: -

User Tablets			
No.	Item	Specification Required	Score
1.	Quantity	Five (5) devices	M
2.	Product	Microsoft Surface Pro 7 or Samsung Galaxy Tab S9 or Apple iPad Pro 12.9 or equivalent	M
3.	Dimensions	9.65” x 6.9” x 0.33” (245 mm x 175 mm x 8.3 mm)	M
4.	Display	Touchscreen: 13” PixelSense™ Flow display ¹¹ Resolution: 2880 x 1920 (267 PPI) Aspect ratio: 3:2 Contrast ratio: 1M:1 Dynamic refresh rate up to 120Hz Color profile: sRGB and Vivid Individually color-calibrated display Adaptive color Adaptive contrast Auto color management Touch: 10-point multi-touch Dolby Vision IQ™ Corning® Gorilla® Glass 5	M
5.	Memory	At least 8GB LPDDR3	M
6.	Make/Model	Microsoft Surface Pro 11 or Samsung Galaxy Tab S9 or Apple iPad Pro 12.9 or equivalent	M
7.	Processor	Either Snapdragon® X Elite (12 Core), with OLED display Qualcomm® Adreno™ GPU Qualcomm® Hexagon™ with 45 trillion operations per second	
8.	Security	Enhanced security with Microsoft Pluton TPM 2.0 Windows 11 Secured-core PC Windows Hello face authentication with Enhanced Sign-in security Microsoft Defender – for enhanced identity and privacy protection [*]	M
9.	Software	Windows 11 Pro or Windows 10 Pro or Android or iOS Preloaded Microsoft 365 Apps ⁵ Microsoft 365 Business Standard, Microsoft 365 Business Premium, or Microsoft 365 Apps 30-day trial ⁶	M
10.	Battery life ¹	Up to 14 hours of local video playback Up to 10 hours of active web usage	M
11.	Graphics	132GB LPDDR5x RAM	M
12.	Storage ⁴	Removable solid-state drive (Gen 4 SSD) - 1TB storage	M

User Tablets			
No.	Item	Specification Required	Score
13.	Wireless	Wi-Fi 6: IEEE 802.11 a/b/g/n/ac/ax compatible Bluetooth Wireless 5.0 technology LTE Advanced: Qualcomm® Snapdragon™ X16 LTE modem LTE Advanced: Up to 600 Mbps LTE Advanced ² with nanoSIM support. Bands supported: 1, 2, 3, 4, 5, 7, 8, 12, 13, 14, 19, 20, 25, 26, 28, 29, 30, 38, 39, 40, 41, 66 LTE Advanced: Assisted GPS and GLONASS support LTE Advanced: eSIM support	M
14.	Size and weight	Length: 11.3 inch (287 mm) Width: 8.2 inch (209 mm) Height: 0.37 inch (9.3 mm) Weight: 1.97 lbs (895 g)	M
15.	Warranty	1-year limited hardware warranty	M
16.	Pen compatibility	Surface Go 3 supports Microsoft Pen Protocol (MPP)	M
All Requirements are Mandatory (Pass/Fail)			Mandatory

11.3.2 DIGITAL SIGNATURE PADS – TEC44

All the technical requirements for Digital Signature Pads are all mandatory. Proposed Model is Signotec Delta Signature Tablets

Digital Signature Pads			
No.	Item	Specification Required	Score
1.	Quantity	Two (2) devices	M
2.	Product	Signotec Delta Signature Tablets or Equivalent	M
3.	General Details	Casing colours Upper shell: RAL 7021, black-grey Lower shell: RAL 9010, pure white Cable port Micro-USB (with strain relief) to 2x USB-B (Y-cable) Cable length Approx. 2,7 meters Power consumption USB: 950 mA at 4,75 – 5,25 V DC PoE: max. 160 mA (6,84 W) Power supply USB, optionally available USB power adapter (2.1 A, 5 V) Power over Ethernet (PoE) Status-LED 2 coloured and freely programmable LEDs Stand VESA-Stand size: 75x75mm, thermoplastic screws Diameter: 3mm, max. penetration depth: 6,5mm Weight Approx. 830 grams (incl. cable) Country of origin Germany	M

Digital Signature Pads			
No.	Item	Specification Required	Score
4.	Dimensions	280 x 205 x 13 - 23 mm (W x D x H), with fold-out stand: 85 mm height	M
5.	Display	<p>Type Full-Colour-TFT</p> <p>Size 10.1“(25,6 cm)</p> <p>Colour space 16,7 million</p> <p>Backlight LED-Backlight, brightness: 250 cd/m²</p> <p>Configuration of backlight -the backlight can be configured with an API or configuration file.</p> <p>Resolution 1.280 x 800 pixels 150 x 150 ppi</p> <p>Pixel size 0,1695 x 0,1695 mm</p> <p>Visible area 216,96 x 135,6 mm</p> <p>Line of sight 6 o'clock</p> <p>Scroll-function Maximum size of the displayed image: 1.280 x 37.600 pixels.</p>	M
6.	Sensor	<p>Type ERT (Electronic Resonance Technology)</p> <p>Active signing area 216,96 x 135,6 mm</p> <p>Resolution 10.800 x 6.900 pixels 1.264 x 1.292 dpi</p> <p>Linearity +/- 0,4 mm (centre), +/- 1.00 mm (edge)</p> <p>Method of input Special sensor for pen input (no influence by hand touch).</p> <p>Surface Extremely durable, hardened, highly polished special glass.</p> <p>Surface hardness 8H</p> <p>Life expectancy Approx. 30 million signatures</p> <p>Pressure stages 2.048 pressure stages</p> <p>Output rate of coordinates 500 Hz 4D-samples (consisting of x, y coordinates, time and pressure)</p> <p>Internal sampling rate 6.000 samples per second</p> <p>Stability of output rate Constant through integrated quartz</p> <p>Pen Active and battery-free pen with changeable pen tips.</p> <p>Minimal pressure force 0.098 N (10 gf)</p> <p>Maximal pressure force 7.845 N (800 gf)</p> <p>Life expectancy of the pen Approx. 1,2 million signatures at 250 grams pressure and 2,5 cm length.</p> <p>Pen tilt angle +/- 45°</p> <p>Possible height of the pen 5 - 15 mm</p> <p>Pen attachment Highly flexible textile-cord and horizontal pen holder.</p>	M
7.	Connection Types	<p>USB HID-USB and WinUSB</p> <p>Serial Optional with internal USB-Serial-Converter (VCOM-Port) or chargeable VCOMPort-Driver.</p> <p>USB-Standby-Support Yes, if the corresponding signal is given, the device switches off.</p> <p>Ethernet Optional; RJ45 Ethernet-Port (10/100 Mbit/s), DHCP available.</p>	M
8.	Drivers and Software	<p>Driver No special driver is required for a USB connection.</p> <p>Plug and Play Yes, available for all connection types.</p> <p>SDK (API) Several SDKs including updates and support available.</p> <p>Tools Tools free of charge including updates and support.</p> <p>Software Required</p>	M
9.	System Environment	<p>Operating System Windows 7 and newer, Windows Server 2012 and newer, 32- and 64-Bit, Linux</p> <p>Terminal Server and Citrix Compatible with Windows Remote Desktop and Citrix ICA</p> <p>Citrix Virtual Channel Optionally available</p>	M

Digital Signature Pads			
No.	Item	Specification Required	Score
10.	Security	<p>Data transfer AES-256 encrypted data transfer between host and pad via RSA key exchange.</p> <p>Encryption RSA-Encryption unit inside the pad.</p> <p>Firmware Flash memory is protected against data theft.</p> <p>Secure Mode Real-time display of the signature without usable biometrics.</p> <p>Signature unit RSA signature creation unit in the pad.</p> <p>Key storage Creation and storage of certificates in the pad.</p> <p>Key size 4096 Bit</p> <p>Certificate Signing Request (CSR) CSR can be generated in the pad and extracted.</p> <p>Trusted certificates The CSR can be signed by a root authority. Additional information: eIDAS Pad Signature Seal</p> <p>Supported Hash-algorithms SHA-1, SHA-256 and SHA-512</p> <p>Signature-Performance Transmission and Signing of a SHA-256 Hash via WinUSB: 2048 Bit: 150 ms; 3072 Bit: 500 ms; 4096 Bit: 1.000 ms</p>	M
11.	Warranty	2 years, optional extension up to 5 years.	M
12.	Manufacturer Authorization	Required	M
All Requirements are Mandatory (Pass/Fail)			(Pass/Fail)

11.3.3 SYSTEM ADMINISTRATOR LAPTOPS – TEC45

System administrators who undertake who perform system administration, support and system development tasks shall require heavy duty laptops. Laptops shall be provided for this purpose. The required number of laptops to be provided is two (2). The required specifications for these tablets are as follows: -

System Administrator Laptops			
No.	Item	Specification Required	Score
1.	Quantity	Two (2) laptops	M
		Two (2) Bopai Laptop Backpack OR Equivalent	
		Two (2) Mouse-Logitech MX	
2.	Product	Microsoft Laptop Studio 2 or higher or Equivalent	M
3.	Dimensions	12.72" x 9.06" x 0.86 inches (323 x 230 x 22mm)	M
4.	Display	Touchscreen: 14.4" PixelSense™ Flow Display Resolution: at least 2400 x 1600 (200 PPI) Refresh rate: up to 120Hz Aspect ratio: 3:2 Contrast ratio: 1500:1 Color profile: sRGB and Vivid Individually color-calibrated display VESA Display HDR 400 certified Dolby Vision IQ support Touch: 10-point multi-touch Corning Gorilla Glass 5 display	M
5.	Memory	At least 64GB LPDDR5x RAM	M
6.	Make/Model	Microsoft/ Microsoft Laptop Studio 2 or equivalent	M
7.	Processor	13th Intel Core i7-13700H, 14-core 20-thread, 2.9-5GHz, 45W	
8.	Security	Firmware TPM 2.0	M
		Windows Hello face sign-in	
9.	Software	Windows 11 Home	M
		Preloaded Microsoft 365 Apps	
		Microsoft 365 Family	
10.	Battery life	NVIDIA® graphics models (except 2 TB SSD): up to 18 hours of typical device usage	M
		2 TB SSD NVIDIA graphics models: up to 16 hours of typical device usage	
11.	Graphics	Graphics options: <ul style="list-style-type: none"> • NVIDIA GeForce RTX™ 4060 Laptop GPU with 8GB GDDR6 vRAM 2010 MHz boost clock speed, 80W maximum graphics power • NVIDIA RTX™ 2000 Ada Generation Laptop GPU with 8GB GDDR6 vRAM 	M

System Administrator Laptops			
No.	Item	Specification Required	Score
		2115 MHz boost clock speed, 80W maximum graphics power	
12.	Storage	Removable solid-state drive (Gen 4 SSD) 2TB or higher	M
13.	Wireless	<ul style="list-style-type: none"> • Wi-Fi 6E: 802.11ax compatible • Bluetooth Wireless 5.3 technology 	M
14.	Video/Cameras	<ul style="list-style-type: none"> • Full HD front-facing Studio camera <ul style="list-style-type: none"> ○ 1080p Full HD camera with wide field of view ○ Windows Studio Effects with auto framing, eye contact, and background blur • Windows Hello 2.0 face authentication camera 	M
15.	Package	<ul style="list-style-type: none"> • Surface Laptop Studio 3 • Power supply: 120W • Quick start guide • Safety and warranty documents 	M
16.	Keyboard layout	<ul style="list-style-type: none"> • Activation: Moving (mechanical) keys • Layout: English, full row of function keys (F1-F12) • Windows key and dedicated buttons for media controls, screen brightness and mute • Backlight • Precision Haptic touchpad 	M
17.	Warranty	1-year limited hardware warranty	M
18.	Pen compatibility	<ul style="list-style-type: none"> • Surface Slim Pen 2 and supports tactile signals • Integrated Surface Slim Pen 2 storage for charging under the keyboard • Supports Microsoft Pen Protocol (MPP) 	M
All Requirements are Mandatory (Pass/Fail)			Mandatory

11.3.4 SYSTEM SUPPORT DESKTOP COMPUTERS – TEC46

A dedicated team of staff shall be dedicated to supporting the system. Desktop computers shall be provided for this purpose. The required number of desktop computers to be provided is five (5). The required specifications for these computers are as follows: -

All-in-one Desktop Computers			
No.	Item	Specifications Required	M
1.	Quantity	Five (5)	M
2.	PC Type	All-in-one	M
3.	Make and Model	Microsoft Surface Studio or equivalent	
4.	Manufacturer's Authorization	<ul style="list-style-type: none"> ▪ Manufacturer's Authorization to be provided. ▪ Product data sheets to be provided. 	M
5.	Processor	<ul style="list-style-type: none"> ▪ At least Intel® Core™ i7-7500 Processor (Quad Core, 6MB, 4T, 3.2GHz, 65W). 	M
6.	Memory	8GB (1x4G) 1600MHz DDR3L Memory	M
7.	Operating System	Windows 11 Professional - One license per device within a volume licensing scheme of 55 Volume Licenses.	M
8.	Storage	At least 512 GB Solid-State Drive.	M
9.	Monitor	<ul style="list-style-type: none"> ▪ Colour: White ▪ Screen: 28" PixelSense™ Display ▪ Resolution: 4500 x 3000 (192 PPI) ▪ Color settings: sRGB, DCI-P3, and Vivid ▪ Individually color-calibrated display ▪ Aspect Ratio: 3:2 ▪ Touch: 10-point multi-touch ▪ Supports Surface Pen with tilt activation, Surface Dial⁵ on-screen interaction, and Zero Gravity Hinge 	M
10.	Drives	<ul style="list-style-type: none"> ▪ Optical drive: 8x Slimline DVD+/-RW Drive ▪ External hard drive: 2TB external hard drive ▪ Flash drive: 32GB flash disk 	M
11.	Ports	<ul style="list-style-type: none"> ▪ 4 – USB 3.0 (2 side, 2 rear) ▪ 2 – USB 2.0 (rear) ▪ HDMI 1.4 ▪ Display Port 1.2 ▪ RJ-45 ▪ 1 Universal Headset (Side) ▪ Line-out 1 Rear 	M
12.	Graphics	Intel® Integrated Graphics.	M
13.	Keyboard	<ul style="list-style-type: none"> ▪ White Multimedia Keyboard Wired Keyboard - UK (QWERTY) ▪ MUST be same brand as PC 	M
14.	Mouse	<ul style="list-style-type: none"> ▪ White wired Optical Mouse with scroll wheel and two buttons ▪ MUST be same brand as PC 	M
15.	Power supply	220-240V Primary Power Supply, Hot Plug Power Supply,	M
16.	Warranty	1Yr ProSupport and Next Business Day On-Site Service	M
17.	Office	Microsoft Office 365 - One license per device within a volume licensing scheme of 55 Volume Licenses.	M
18.	Extra Slots	<ul style="list-style-type: none"> ▪ Supports optional optical disc drive and standard media card reader ▪ 1 M.2 connector (Wi-Fi Card) 	M
19.	Wireless Adapters	Intel® Dual Band Wireless 8260 (802.11ac) + Bluetooth	M
20.	PC Stand	Articulating Stand – With view adjustment to interact easily with content in virtually any position.	M
21.	Miscellaneous	<ul style="list-style-type: none"> ▪ Mounting of the PCs into their respective desks. 	M

All-in-one Desktop Computers			
No.	Item	Specifications Required	M
		<ul style="list-style-type: none"> ▪ Labelling of the PCs, their respective accessories and management of cables (power and network). ▪ Connection and configuration of the PCs to the network. ▪ Installation of the OS and Office Software. 	
22.	Security	<p>Kensington K64615US Desktop Computer and Peripherals Locking Kit. The kit should have a cable trap secures a wired keyboard and mouse to the PC.</p> <p>The locking kit should securely secure the Computer to the Desk.</p>	M

12 SOFTWARE POST IMPLEMENTATION - WARRANTY, MAINTENANCE AND SUPPORT, POST MAINTENANCE AND SUPPORT

12.1 WARRANTY – TEC45

The bidder MUST provide assurance that their system is free from any defects and bugs over the lifetime of the system. Where any bugs or major defects are encountered, the bidder shall fix them at their cost. During the implementation of the system, all support and maintenance issues shall be handled by the bidder.

12.2 MAINTENANCE AND SUPPORT – TEC46

The bidder MUST provide an SLA for system maintenance with the following items in consideration

- i. SLA document cover page to comply with the format prescribed below: -

No.	Item	Requirement
1.	Maintenance and Support Term	The maintenance and support period is three (3) years. The three (3) year period shall commence after all modules have been operationalized and commissioned. Any maintenance and support issue during the implementation period shall be undertaken by the bidder.
2.	Items to be maintained and supported	The ISSOMS and all its components. This includes but it is not limited to: <ol style="list-style-type: none"> i. The ISSOMS system ii. Entire system architecture components and supporting infrastructure provided within the contract iii. All hardware devices supplied within this contract iv. Hosting configurations – Webserver, security, firewall v. Backs up, replication and recovery vi. Integrations with other KCAA systems e.g. ERP, CRONOS, ATMS, AATIS, eAIP, Active Directory and any other upcoming systems and data sources. IDS can grant support but eventual integration effort with third party software will have to be quoted on a “case by case” basis.
3.	Preventive Maintenance	Health checks for all system components (hardware, firmware and software) and preventive maintenance to be undertaken once every quarter for the three (3) year period. Status reports to be provided to KCAA indicating the status of each maintenance item.
4.	Corrective Maintenance	To be undertaken immediately a system component fails. Where downtime is required, this shall be arranged with the KCAA systems administration team for approval prior to the required downtime.
5.	Outage Severity Levels and Required Response Times	<ol style="list-style-type: none"> i. Severity One/Red: KCAA is unable to do their business as a result of complete or partial system failure. This has a major impact on the KCAA’s business operations. <u>Response:</u> The vendor should respond within two (2) hours (during business hours). A resolution or a workaround should be provided within eight (8) hours and software rectification within three (3) months ii. Severity Two/Orange: The problem has high visibility and impacts on the way KCAA does business. The system is disrupted but not halted. The system performance may be degraded, or functions limited.

No.	Item	Requirement
		<p><u>Response:</u> The vendor should respond within eight (8) hours (during business hours). A resolution or a workaround should be provided within one (1) business day and software rectification within three (3) months</p> <p>iii. Severity Three/Green: A single component or several components are affected with or without a work around. The problem may affect KCAA's efficiency but is limited in visibility and does not prevent work from being completed.</p> <p><u>Response:</u> The vendor should respond within ten (10) business days. A resolution or a workaround should be provided within next SW release and software rectification within three (3) months.</p>
6.	Fault Procedure Reporting Logging and	<p>i. The vendor to provide a support service desk email and a telephone number manned during business hours for logging faults and a fault should be allocated a reference number for ease of tracking.</p> <p>ii. Response to faults logs shall be undertaken as per the response times based on severity levels.</p> <p>iii. Once a red or orange level fault is resolved, a report should be provided entailing the following.</p> <ol style="list-style-type: none"> a. The root cause analysis b. The measures taken to resolve it c. The measures taken to ensure it does not recur
7.	Escalations	<p>The vendor shall provide two escalation levels after a fault is reported and left unattended. Phone numbers and email addresses of the escalation levels shall be required. The levels are as follows: -</p> <ol style="list-style-type: none"> i. Level 0 – Normal helpdesk reporting after a fault. ii. Level 1 – Technical manager or service provision manager after the response times for resolution are not met. iii. Level 2 – Head of Customer Care after the required response times are not met after escalating to level 1. iv. Level 3 – Head of Program Management Office after the required response times are not met after escalating to level 2.
8.	Requirements from KCAA	<p>A jump server always on standby for resolution of issues. Access to KCAA network to undertake updates/fault corrections.</p>
9.	Maintenance and Support Services	<ol style="list-style-type: none"> i. Assistance in reconfiguration of the system in case of failure of any part of the system (Hypervisor, OS, database and the ISSOMS including all its subcomponents). ii. Troubleshooting and restoring the system in case of slow performances. iii. Update of the system with requisite patches. iv. Troubleshooting and resolving challenges regarding the system hosting and availability of LAN, WAN and the Internet. v. Resolving any challenges within the system's physical and virtual servers including the OSs and/or hypervisors. vi. Provision of configuration data, integrations and designs from time to time as requested by KCAA. vii. Full support for necessary improvements on integrations with ERP, CRONOS, ATMS, AATIS, eAIP, Active Directory and any other upcoming systems and data sources. viii. Summarized refresher training to administrators and users when requested.
10.	Infrastructure Upgrades	<p>Occasionally the Authority will make plans for replacement of the infrastructure. The vendor will be required to: -</p>

No.	Item	Requirement
		<ul style="list-style-type: none"> i. Make recommendations for infrastructure (servers, switches, hypervisors, backup solutions and storage) upgrades to KCAA. ii. Undertaking infrastructure upgrades as requested by KCAA. Where the upgrades require provision of hardware they can be quoted on a case by case basis.
11.	SLA Payments	Payments pertaining the three year SLA shall be paid semi-annually after service provision, invoicing and provision of SLA (maintenance and support) reports applicable for the payment period.
12.	Sample SLA	The vendor shall provide a sample SLA that meets all the above provisions for adoption in the contract.
13.	SLA penalties	The ANS services are provided and billed 24 hours a day by the Authority. The Authority expects the system to be available 99% of the time per annum. The vendor will be penalized in cases of protracted downtime. This will be calculated by factoring in the number of hours constituting to 99% per year, the applicable amount per hour and the number of hours the system has been unavailable within a particular payment period.
14.	SLA Cost	The costs of the maintenance and support should be quoted but NOT included in the project's price schedule

I2.3 POST MAINTENANCE SUPPORT – TEC47

The post maintenance and support period shall be three years commencing from the expiry of the initial three-year maintenance and support. The costs of the post maintenance and support should be quoted but NOT included in the project's price schedule and form of tender. These costs shall determine the long-term costs of running the proposed System and shall be evaluated during the tender evaluation process.

The bidder is required to submit a plan on how to conduct this phase of the project. This documented plan should clearly describe the Software Maintenance and Support processes (Release management, incidents management, Priority driven development, tracking of change Requests, etc.), the roles, user support requirements, responsibilities, and the main metrics to be used for tracking implementation of the Service Level Agreements.

END OF TECHNICAL SPECIFICATIONS
KENYA CIVIL AVIATION AUTHORITY