

Safety Regulation Group



CAP 611

**Air Operators' Certificates: Operation of
Balloons**

www.caa.co.uk

CAP 611

Air Operators' Certificates: Operation of Balloons

© Civil Aviation Authority 2012

All rights reserved. Copies of this publication may be reproduced for personal use, or for use within a company or organisation, but may not otherwise be reproduced for publication.

To use or reference CAA publications for any other purpose, for example within training material for students, please contact the CAA at the address below for formal agreement.

ISBN 978 0 11792 659 2

First edition March 1993

Second edition December 2001

Third edition August 2006

Third edition incorporating amendment 1/2007, April 2007

Third edition incorporating amendment 1/2008, July 2008

Third edition incorporating amendment 1/2009, April 2009

Fourth edition 1 February 2010

Fifth edition April 2012

Enquiries regarding the content of this publication should be addressed to:
Flight Operations Inspectorate (General Aviation), Safety Regulation Group, Civil Aviation Authority,
Aviation House, Gatwick Airport South, West Sussex, RH6 0YR.

The latest version of this document is available in electronic format at www.caa.co.uk, where you may also register for e-mail notification of amendments.

Published by TSO (The Stationery Office) on behalf of the UK Civil Aviation Authority.

Printed copy available from:

TSO, PO Box 29, Norwich NR3 1GN
Telephone orders/General enquiries: 0844 477 7300
Fax orders: 0870 600 5533

www.tso.co.uk/bookshop
E-mail: caa@tso.co.uk
Textphone: 0870 240 3701

List of Effective Pages

Chapter	Appendix	Page	Date	Chapter	Appendix	Page	Date
		iii	April 2012	Chapter 6		3	April 2012
		iv	April 2012	Chapter 7		1	April 2012
Contents		1	April 2012	Chapter 7		2	April 2012
Contents		2	April 2012	Chapter 7		3	April 2012
Contents		3	April 2012	Chapter 7		4	April 2012
Contents		4	April 2012	Chapter 7		5	April 2012
Revision History		1	April 2012	Chapter 7		6	April 2012
Revision History		2	April 2012	Chapter 7		7	April 2012
Revision History		3	April 2012	Chapter 7		8	April 2012
Revision History		4	April 2012	Chapter 7		9	April 2012
Revision History		5	April 2012	Chapter 7		10	April 2012
Glossary		1	April 2012	Chapter 8		1	April 2012
Glossary		2	April 2012	Chapter 8		2	April 2012
Chapter 1		1	April 2012	Annex A		1	April 2012
Chapter 1		2	April 2012	Annex A		2	April 2012
Chapter 1		3	April 2012	Annex B		1	April 2012
Chapter 1		4	April 2012	Annex B Appendix 1		1	April 2012
Chapter 1		5	April 2012	Annex B Appendix 1		2	April 2012
Chapter 2		1	April 2012	Annex B Appendix 1		3	April 2012
Chapter 2		2	April 2012	Annex B Appendix 1		4	April 2012
Chapter 2		3	April 2012	Annex B Appendix 1		5	April 2012
Chapter 2		4	April 2012	Annex B Appendix 1		6	April 2012
Chapter 2		5	April 2012	Annex B Appendix 1		7	April 2012
Chapter 2		6	April 2012	Annex B Appendix 2		1	April 2012
Chapter 3		1	April 2012	Annex B Appendix 2		2	April 2012
Chapter 3		2	April 2012	Annex B Appendix 2		3	April 2012
Chapter 3		3	April 2012	Annex B Appendix 2		4	April 2012
Chapter 3		4	April 2012	Annex B Appendix 2		5	April 2012
Chapter 3		5	April 2012	Annex B Appendix 2		6	April 2012
Chapter 4		1	April 2012	Annex B Appendix 3		1	April 2012
Chapter 4		2	April 2012	Annex B Appendix 3		2	April 2012
Chapter 4		3	April 2012	Annex B Appendix 3		3	April 2012
Chapter 4		4	April 2012	Annex B Appendix 3		4	April 2012
Chapter 4		5	April 2012	Annex B Appendix 3		5	April 2012
Chapter 4		6	April 2012	Annex B Appendix 3		6	April 2012
Chapter 4		7	April 2012	Annex B Appendix 3		7	April 2012
Chapter 4		8	April 2012	Annex B Appendix 4		1	April 2012
Chapter 4		9	April 2012	Annex B Appendix 4		2	April 2012
Chapter 4		10	April 2012	Annex B Appendix 4		3	April 2012
Chapter 5		1	April 2012	Annex B Appendix 5		1	April 2012
Chapter 5		2	April 2012	Annex B Appendix 5		2	April 2012
Chapter 5		3	April 2012	Annex C		1	April 2012
Chapter 5		4	April 2012	Annex C Appendix 1		1	April 2012
Chapter 5		5	April 2012	Annex C Appendix 1		2	April 2012
Chapter 6		1	April 2012	Annex C Appendix 1		3	April 2012
Chapter 6		2	April 2012	Annex C Appendix 2		1	April 2012

Chapte	Appendixr	Page	Date	Chapte	Appendixr	Page	Date
Annex D		1	April 2012				
Annex D		2	April 2012				
Annex D		3	April 2012				
Annex E		1	April 2012				
Annex E		2	April 2012				
Annex E		3	April 2012				
Annex E		4	April 2012				
Annex E		5	April 2012				
Annex E		6	April 2012				
Annex E		7	April 2012				
Annex E		8	April 2012				
Annex F		1	April 2012				
Annex F	Appendix 1	1	April 2012				
Annex F	Appendix 1	2	April 2012				
Annex F	Appendix 2	1	April 2012				
Annex F	Appendix 2	2	April 2012				
Annex G		1	April 2012				
Annex G	Appendix 1	1	April 2012				
Annex H		1	April 2012				
Annex H	Appendix 1	1	April 2012				
Annex H	Appendix 2	1	April 2012				

Contents

	List of Effective Pages	iii
	Revision History	1
	Glossary	1
Chapter 1	Introduction	
	Purpose	1
	Public Transport Operation	1
	Applicability	1
	The Status of CAP 611	2
	Compliance with Statutory Requirements	3
	Inspectors	3
	Amendment	4
	New CAA Communications	4
	Air Navigation Order	4
	Publications and Address List	5
Chapter 2	The Air Operators' Certificate (Balloons)	
	Requirement to Hold an AOC(B)	1
	Charges	1
	Application for an AOC(B)	1
	Form of an AOC(B)	2
	Variation of an AOC(B)	2
	Renewal of an AOC(B)	4
	Loss of an AOC(B)	4
	Routine Liaison and Audit Visits	4
	Variation, Suspension or Revocation of an AOC(B) by the CAA	5
	Region of Operation	6
	Retention of Documents	6
Chapter 3	Organisation	
	Management and Executive Staff	1
	Adequacy and Supervision of Staff	1
	Safety Management	2
	Facilities	3
	Accommodation	3

	Operations Library	4
	Balloon Library	4
	Instructions to Pilots	4
	Legislation and Aeronautical Information	4
	Occurrence Reports	5
	Disaster Management	5
	Balloon Continuing Airworthiness and Maintenance	5
Chapter 4	Operations Manual	
	Purpose and Scope of Manual	1
	Flight Crew	2
	Responsibilities of Pilots and other Operating Staff	2
	Crew Composition	3
	Flight, Duty and Rest Period Limitations	3
	Balloon Technical Particulars and Operating Procedures	4
	Provisions and use of Oxygen and Associated Equipment	5
	Life Jackets	5
	Wake Turbulence from Aircraft	5
	Minimum Equipment Lists	5
	Fuel Planning and Management	6
	Check Lists	6
	Use and Checking of Altimeters	6
	Emergency Evacuation Procedures	6
	Radio Watch	6
	Airfield Operating Minima – Take-Off, En-route and Landing	7
	Evening Flights	7
	Rules of the Air	7
	Loading	8
	Dangerous Goods, Weapons and Munitions of War	8
	Accident Reporting	8
	Occurrence Reporting	9
	Disaster Management Plan	9
Chapter 5	Training and Testing	
	General Requirements for Flight Crew Training and Testing	1
	Training Manual	1
	Training and Testing Staff	2
	Flying Experience Requirements	2
	ANO 2009 Schedule 7: Flight Crew of Aircraft	2
	ANO 2009 Schedule 8: Public Transport – Operational Requirements	3

	Line Pilot Currency Requirements	5
	Records of Training and Tests	5
Chapter 6	Safety Equipment and Procedures – Training, Practice and Testing Requirements for Flight Crew	
	Statutory Requirements	1
	Provision of Training	1
	Basic First-Aid Training and Casualty Handling	1
	Fire Training	2
	Medical Fitness	2
	Company Ground Personnel	2
	On Line Emergency and Survival Equipment Training and Testing	3
Chapter 7	Balloon Continuing Airworthiness Management and Maintenance Support Arrangements	
	Continuing Airworthiness Management and Maintenance Support Arrangements	1
	Operator's Responsibilities	1
	Contracted-Out Maintenance	2
	Contracting-Out Component Maintenance	3
	Continuing Airworthiness Management and Maintenance Arrangement	3
	Deferred and Carried Forward Defects	4
	Technical Records	5
	Airworthiness Directives and Manufacturers' Technical Information	5
	Preparation of Balloon for Flight	6
	The Technical Log	7
Chapter 8	Insurance Requirements for Balloon Operators	
	Introduction	1
	Compliance Monitoring	1
	Recommendation	2
Annex A	Useful Publications and Addresses	
	Publications List	1
	Address List	2
Annex B	AOC (Balloons) Forms, Notes and Charges	
Appendix 1	Application Form for an Air Operators' Certificate (Balloons)	
Appendix 2	Variation Form for an Air Operators' Certificate (Balloons)	
Appendix 3	Renewal Form for an Air Operators' Certificate (Balloons)	

Appendix 4	Return of Operating Data Questionnaire	
Appendix 5	Nominated Postholders for an AOC Company	
Annex C	Certificates and Approvals	
Appendix 1	Air Operator's Certificate (Balloons)	
Appendix 2	Regulation of Flight Times Approval	
Annex D	CAA Liaison and Audit Visits	
Annex E	Safety Management	
	Non-Complex Organisation Phase 1 Evaluation Tool / Self-assessment questions	1
	SMS Risk Assessment Matrix	7
	Assessment	7
Annex F	Occurrence Reporting	
Appendix 1	Occurrence Report Form	
Appendix 2	BBAC Balloon Safety Report	
Annex G	Training and Testing Requirements	
	ANO 2009 Schedule 7 Requirements	1
	ANO 2009 Schedule 8 Requirements	1
	Training Check Form	1
Appendix 1	Specimen Training Check Form	
Annex H	Technical Log	
Appendix 1	Balloon Sector Record Page	
Appendix 2	Deferred Defect Record Page	

Revision History

Edition 1

March 1993

Edition 2

December 2001

The main changes are listed below together with the CAP 611 reference.

Reference	Change
Chapter 6	
Paragraph 2.3	A printed syllabus shall be presented to course attendees at the start of ground courses and printed course notes shall be presented at the end. These will serve as a source of reference during the period between refresher courses.
Paragraph 3.1	First-aid training is to be given by an instructor qualified for the purpose. In case of doubt about the adequacy of an instructor's qualifications, the CAA's Medical Department should be consulted.
Paragraph 3.3	[<i>First aid</i>] Training is to be followed by the successful completion of an appropriate first-aid test.
Paragraph 4.1	Fire training must be conducted by a suitably qualified instructor.
Paragraph 4.2	The following items are considered as the minimum syllabus items: e) Practical fire fighting on a <i>vapour</i> propane fire.
Paragraph 5	Company Ground Personnel Good safety management practice indicates that AOC(B) holders' ground based personnel should undertake three yearly first-aid and fire courses. This will assist an Operator in complying with its duty of care at an unlicensed airfield (launch site) and, in the event of a serious accident where it is possible that the pilot may be incapacitated, it is likely that the retrieve crew would be the first to attend the scene.

Edition 3

August 2006

The main changes are listed below. Editorial amendments including updating of contact details and cross-references (in particular to the ANO 2005) are also included.

Reference	Change
Chapter 3 Paragraph 3.7	Additional guidance on Safety Management Systems (SMS) and Risk Assessment (RA).
Chapter 4 Paragraph 3.4	Additional information on medication, alcohol and flying.
Paragraph 9.4	Additional guidance on wake turbulence.
Chapter 8	New Chapter regarding Insurance requirements.
Annex A	Updated Publications and Address list.
Annex B and Appendices	Updated to include new Forms.
Annex D	Re-issued to reflect details of checks undertaken during a CAA visit.
Annex F	Updated Occurrence Report Form.

Edition 3 amendment 1/2007**April 2007**

The main changes are listed below together with the CAP 611 reference.

Reference	Change
Chapter 1 Page 3	Paragraph 7 updated to reflect current amendment processes.
Chapter 2 Pages 5 and 6	Paragraph cross-references updated.
Annex B	Updated to include new Form Numbers and availability on the CAA website.
Annex B Appendix 1	Updated to reflect the charges valid from 1 April 2007 to 31 March 2008.
Annex B Appendix 6	Updated to include new Form Number and availability on CAA website.
Annex C Appendix 1	EXAMPLE added to Forms.
Annex G Appendix 1	Updated to include new Form Number and availability on CAA website.

Edition 3 amendment 1/2008**July 2008**

The main changes are listed below together with the CAP 611 reference.

Reference	Change
Annex B Appendix 1	Updated to reflect the charges valid from 1 April 2008.
Annex B Appendix 2	Updated to include change to e-mail address.

Edition 3 amendment 1/2009**April 2009**

The main changes are listed below together with the CAP 611 reference.

Reference	Change
Annex B Appendix 1	Updated to reflect the charges valid from 1 April 2009.
Annex F	Updated to reflect the latest issue of Form 1601.

Edition 4**1 February 2010**

The main changes are listed below together with the CAP 611 reference. Editorial amendments including cross-references (in particular to the ANO 2009) are also included.

Reference	Change
Chapter 1	Chapter updated in line with Commission Regulation from (EC) No. 2042/2003 through to Commission Regulation (EC) No. 1056/2008.
Chapter 2	Chapter updated in line with Commission Regulation from (EC) No. 2042/2003 through to Commission Regulation (EC) No. 1056/2008.
Chapter 3	Chapter updated in line with Commission Regulation from (EC) No. 2042/2003 through to Commission Regulation (EC) No. 1056/2008.
Chapter 4	Chapter updated in line with Commission Regulation from (EC) No. 2042/2003 through to Commission Regulation (EC) No. 1056/2008.
Chapter 7	Chapter updated in line with Commission Regulation from (EC) No. 2042/2003 through to Commission Regulation (EC) No. 1056/2008.
Annex A	EC Regulation and EASA documents added.
Annex B Appendix 2	Notes 7, 8 and 9 of Assistance notes for completion updated.
Annex B Appendices 3, 4, 5 & 6	Updated to show latest versions of Forms SRG 1310, SRG 1311, SRG 1312 and SRG 1316.
Annex B Appendix 7	Form SRG 2815 (CAA Form 4) Nominated Postholders for an AOC Company added.
Annex C Appendix 1	New Example of AOC (Balloons) included.
Annex C Appendix 2	ANO reference updated in Form SRG 1309.
Annex D	Annex updated in line with Commission Regulation from (EC) No. 2042/2003 through to Commission Regulation (EC) No. 1056/2008.
Annex F Appendix 2	BBAC Balloon Safety Report included.
Annex G	ANO references updated.
Annex H Appendix 1	Certificate of Release to Service, Pre-flight Check and other minor amendments.

Edition 5**April 2012**

The main changes are listed below together with the CAP 611 reference. Editorial changes, corrections and amendments convenient to be included at this time have also been incorporated.

NOTE: Due to the large number of pages affected by minor changes, the document has been re-issued rather than amended. This does not incur any extra cost.

Reference	Change
Glossary	A Glossary has been included, to be consistent with other CAPs.
Chapter 1 Paragraph 4.4 Paragraphs 7.1 and 8	Addition of text regarding the EASA Air Operations Regulation. References to FODCOMs replaced with references to Safety Directives, Safety Notices and Information Notices.
Chapter 2 Paragraphs 4.1 and 8 Paragraph 6.2 Paragraph 11	Updated to reflect changes to the layout of the AOC(B). Deletion of requirement to return page 1 of the old AOC(B) to the CAA when renewing an AOC(B). Clarification of permanent withdrawal from use.
Chapter 3 Paragraph 1.3 Paragraph 2.3.2 Paragraph 3 Paragraph 7.3 Paragraph 9.1	Addition of text regarding Accountable Manager. Addition of text regarding Continuing Airworthiness Co-ordinator suitability. Update of SMS guidance. Addition of text regarding EFBs. Inclusion of references to NOTAMs.
Chapter 4 Paragraph 1.1 Paragraph 3.1 Paragraph 3.3(d) Paragraph 18	Update to text quoted from the ANO 2009. Inclusion of reference to Accountable Manager. Addition of a reference to the fact that the pilot in command of a balloon should warn prospective passengers that a degree of fitness and mobility is required. Correction of references to the Rules of the Air 2007.
Chapter 5 Paragraph 1.2	Addition of text regarding future EASA FCL requirements.
Chapter 6 Paragraph 5.4 Paragraph 5.5	Amendment to periods of validity of JAR Class 2 medical certificates. Inclusion of the medical requirement for a CPL(B) restricted to Aerial Work only.
Chapter 7 Paragraph 7.2 Note	Update of reference to a CAAIP Leaflet.
Annex A Paragraph 1 Paragraph 2	CAP 428 updated to CAP 783, and correction of reference to EASA CS-31HB. Update to contact details for NATS.
Annex B Appendices	All Appendices re-numbered due to new Form layout.

Reference	Change
Annex B Appendices 1, 2, 3 and 4	Updated to show latest versions of Forms SRG 1310, SRG 1311, SRG 1312 and SRG 2815.
Annex C Appendix 1	Updated to show latest version of an example AOC(B).
Annex D	Various amendments (as described elsewhere in this Revision History) included in the list of checks that may be undertaken during a CAA visit.
Annex E	Safety Management Checklist replaced with the SMS Non-Complex Organisation Phase 1 Evaluation Tool/Self-assessment questions.

INTENTIONALLY LEFT BLANK

Glossary

Abbreviation	Meaning
AAIB	Air Accidents Investigation Branch
AD	Airworthiness Directive
ADD	Acceptable Deferred Defect
AIC	Aeronautical Information Circular
AMC	Acceptable Means of Compliance
AME	Aeromedical Examiner
ANO	Air Navigation Order
AOC	Air Operators' Certificate
AOC(B)	Air Operators' Certificate (Balloon)
ARC	Airworthiness Review Certificate
BBAC	British Balloon and Airship Club
C of A	Certificate of Airworthiness
C of E	Certificate of Experience
C of T	Certificate of Test
CAME	Continuing Airworthiness Management Exposition
CAMO	Continuing Airworthiness Management Organisation
CPL(B)	Commercial Pilot's Licence (Balloons)
CRS	Certificate of Release to Service
DDR	Deferred Defect Record Page
DVLA	Driver and Vehicle Licensing Agency
EASA	European Aviation Safety Agency
EFB	Electronic Flight Bag
FOI(GA)	Flight Operations Inspectorate (General Aviation)
FTL	Flight Time Limitations
GFT	General Flight Test
GM	Guidance Material
MEL	Minimum Equipment List
MTOM	Maximum Take-Off Mass
NPPL	National Private Pilot's Licence
OS	Ordnance Survey

PIC	Pilot-In-Command
SEP	Safety Equipment and Procedures
SMI	Scheduled Maintenance Inspection
SMS	Safety Management System
SRP	Sector Record Page
TRE	Type Rating Examiner
VFR	Visual Flight Rules

Chapter 1 Introduction

1 Purpose

- 1.1 The purpose of this publication is to explain the administrative procedure for the issue, variation and renewal of Air Operators' Certificates (Balloons) [AOC(B)] and to indicate the requirements to be met by applicants and certificate holders in respect of equipment, organisation, staffing, training and other matters affecting the operation of public transport balloons.

Notes: 1) For the purpose of this publication the term Operator is used to describe both applicants and certificate holders. The certificate holder may be a registered corporate body, or a named individual or individuals with or without trading name(s).

- 2) For the purpose of this publication the use of the pronoun 'he' shall imply 'she' where appropriate.

2 Public Transport Operation

- 2.1 A balloon shall be deemed to fly for the purpose of public transport if valuable consideration is given or promised for the carriage of passengers in the balloon on that flight.

- 2.2 A definition of the term 'public transport' is given in the Air Navigation Order (ANO) 2009 and anyone in doubt as to whether a particular flight may be made without the Operator being the holder of a Certificate should seek legal advice. In relation to an Air Operator's Certificate (AOC), the 'Operator' is defined as the person for the time being having the management of the balloon.

3 Applicability

- 3.1 In the statutory provisions, few distinctions are drawn between small-scale operations with a single balloon and large undertakings operating a large number of balloons from a variety of different operating sites, since the principles of sound operating practice are essentially similar at all levels. Nevertheless, in the application of these principles, it may be necessary to take account of the scale and scope of an Operator's flying activities and particular circumstances. Operators may rest assured that the Civil Aviation Authority (CAA) and its inspecting and auditing staff are fully conscious of this and, in dealing with certification matters, will always endeavour to adopt as flexible an approach as is consistent with the maintenance of adequate standards. Operators of balloons should bear this in mind when reading this publication.

- 3.2 In this publication the words 'must', 'shall' and 'will' are used to indicate an existing statutory requirement. The word 'should' is used to indicate that the Operator has a degree of latitude, particularly where the nature of the operation affects the degree of compliance. The use of 'should' must not be taken, however, to mean that nothing need be done. If the Operator's response is deemed by the CAA to be inadequate, a specific requirement may be applied as a condition of the AOC(B).

4 The Status of CAP 611

4.1 Article 12 of the ANO 2009, which is law and failure to comply with which is an offence, requires public transport flights to be conducted under and in accordance with an Air Operator's Certificate.

4.2 Article 12(2) sets out the matters in respect of which the CAA must be satisfied before granting such a certificate. These matters are specified in the Order in rather general terms; for example, the CAA is required to be satisfied with an applicant's organisation and other arrangements. The purpose of CAP 611 is to augment and amplify the ANO 2009. An applicant will want to know precisely what he needs to do to satisfy the CAA about these matters. CAP 611 provides the necessary guidance.

4.3 It is not the case that failure to comply with every detail outlined in CAP 611 means that the CAA will refuse to grant an AOC(B). Every application is considered on its merits. It is possible that failure to comply with a particular aspect of CAP 611 will be counter-balanced in some way, thereby enabling the CAA to be satisfied with the overall competence of the applicant.

4.4 The UK is introducing the European Aviation Safety Agency (EASA) Air Operations Regulation ('EASA Ops') with effect from 8 April 2012, but there will be a transition period until 8 April 2015 for many requirements applicable to balloon operations, after which full compliance with EASA Ops will be required to operate an EASA balloon commercially within the EU.

EASA Ops will consist of a number of parts relevant to balloon operations, including Part-CAT (commercial air transport), Part-SPO (specialised operations (to include 'aerial work')) and Part-ORO (organisation requirements for air operations). Up-to-date information may be viewed on the EASA website:

http://easa.europa.eu/flightstandards/npa_ops.html.

Also, Part-FCL and Part-MED are being introduced throughout a similar period. These also contain a number of parts relevant to balloon licences. Up-to-date information may be viewed on the EASA website:

<http://easa.europa.eu/flightstandards/npa.html>.

CAP 611 will be further amended to supplement European Regulations and associated EASA-published Acceptable Means of Compliance (AMC) and Guidance Material (GM).

4.5 With the introduction of European Regulations, the maintenance support and continuing airworthiness management of a balloon Operator holding an Air Operator's Certificate is required to comply with Commission Regulation (EC) No. 2042/2003 as amended, until full adoption of EASA Ops. Therefore Regulation (EC) No. 2042/2003 Annex I Part M Subpart B, M.A.201 (i) as amended must be complied with as follows:

Until EASA Ops Regulations are published in the future, balloon Operators, where the CAA has issued an operating certificate, must:

- a) either be appropriately approved pursuant to M.A. Subpart G for the management of continuing airworthiness of the balloon, or contract such an organisation; and
- b) either be appropriately approved in accordance with M.A. Subpart F or Part-145, or contract such an organisation.

NOTE: It is acceptable for continuing airworthiness and maintenance approvals to be combined within one organisation.

- 4.6 For continuing airworthiness management and maintenance support of balloons, the European Regulations are not copied directly into this CAP 611. Therefore it is essential that the Operators cross-refer to these Regulations to ensure full compliance.

5 Compliance with Statutory Requirements

- 5.1 The issue of a Certificate to an Operator signifies only that the holder is, at that time, considered 'competent to secure the safe operation' of the Operator's aircraft. It does not in any way relieve an Operator or an aircraft commander of their responsibility for compliance with statutory requirements and for the safe conduct of a particular flight. International agreements and United Kingdom legislation are generally based on the concept that the ultimate responsibility for the safety of flight operations rests with the Operator and the commander. The issue of a Certificate and the work of the CAA supports this general principle.
- 5.2 The statutory requirements for the operation of aircraft are written in general terms. This is in accordance with the principle of 'Operator's responsibility' and supports the development of the operating standards and techniques best suited to particular circumstances and conditions. The competence of an Operator to 'secure the safe operation' of aircraft will therefore depend, in part, upon the manner in which the statutory requirements are applied to the particular operation. It is important to appreciate that in the last resort the interpretation of the statutes is a function of the judiciary and that neither the issue of a Certificate nor the expression of any view in this publication should be taken as an indication to the contrary, or as a modification of any statutory requirements.
- 5.3 With regard to Regulation (EC) No. 2042/2003 (as amended) for continuing airworthiness management and maintenance support, compliance is mandatory. Details of the Regulations including the AMC can be found on the EASA website at www.easa.europa.eu.
- 5.4 Any future amendment to Regulation (EC) No. 2042/2003 or the associated AMC must be assessed and complied with as appropriate.

6 Inspectors

- 6.1 Reference is made in this publication to Flight Operations Inspectorate (General Aviation) (FOI(GA)) Inspectors and Training Inspectors. FOI(GA) Inspectors and Training Inspectors are authorised in accordance with the relevant statutory provisions and the conditions of the AOC(B) to examine documents, premises and equipment; to accompany or observe balloon flights and, if necessary, to issue directions to prevent a balloon from flying. They have extensive experience of commercial operations and a wide knowledge of the operational aspects of ballooning. Training Inspectors are particularly experienced in the techniques of training and testing pilots; they are authorised Type Rating Examiners (TREs) and are empowered to observe pilots and to inspect licences and records of training and testing.
- 6.2 Surveyors from the Airworthiness Evaluation and Surveillance Department are also authorised persons and may require access to a balloon and its documentation while on the ground.
- 6.3 The primary duty of the Inspectors and Surveyors is to ascertain that the required operating and airworthiness standards are being achieved; this duty must be fully discharged. However, it is their aim to work in close collaboration with Operators and

their staff to secure, through regular discussion and exchange of views, the highest possible standard of operational safety. It is expected that a relationship of mutual respect will be developed between CAA personnel and the Operators' officials, pilots and other staff with whom they come into contact.

7 Amendment

- 7.1 CAP 611 is amended by the CAA's FOI(GA) as required. Safety-critical information and other communications are issued by the CAA in the form of Safety Directives, Safety Notices and Information Notices. Operators should identify what (if any) action is required and whether specific notices should be retained with the publication. Where appropriate, such material will be included in this publication at the next amendment.
- 7.2 Copies of CAP 611 are freely available in electronic format on the CAA website at www.caa.co.uk/cap611. Alternatively, holders may subscribe to the CAA's publishers (see inside cover for contact details) for an amendments service.
- 7.3 Change bars in the left margin are used to identify amended text on a page.

8 New CAA Communications

- 8.1 Three new communications, which came into use in January 2011, introduced a three-tiered approach for different levels of communications.
- 8.2 A Safety Directive will be issued in circumstances where the action required is mandatory by means of the Directive and is legally enforceable. The Directive will specify which law or regulation makes the Directive legally enforceable, the action required, by whom and the time limit for compliance. The Safety Directive will be identified by a red circle in the top left-hand corner.
- 8.3 A Safety Notice will be issued in circumstances where the information conveyed is highlighting safety concerns which are already addressed by established requirements and regulations. The Safety Notice will be identified by a yellow triangle in the top left-hand corner.
- 8.4 An Information Notice will be issued when the information does not convey any specific safety issues and does not require any action other than to note and promulgate the content. Information Notices will be identified by a blue rectangle in the top left-hand corner.
- 8.5 Airworthiness Directives (ADs) and Mandatory Permit Directives retain their previous formats and numbering systems. The only change is the addition of the 'Safety Directive' red disc, denoting that Airworthiness Directives and Mandatory Permit Directives fall within the family of safety-critical information.

9 Air Navigation Order

- 9.1 References in this publication to the Air Navigation Order and Rules of the Air Regulations are to the Order and Regulations currently in force.
- 9.2 Exemptions, Permissions and Approvals relating to the ANO are usually valid for a finite period and have a notified expiry date. The AOC(B) holder is responsible for ensuring that appropriate Exemptions, Permissions and Approvals remain valid and must apply for re-validation well before time expiry. Operations conducted under the terms of an ANO Exemption, Permission or Approval that has lapsed are in breach of the law.

10 Publications and Address List

- 10.1 Several publications are referred to in this publication. They are listed at Annex A.
- 10.2 Useful addresses and telephone numbers are listed at Annex A.

INTENTIONALLY LEFT BLANK

Chapter 2 The Air Operators' Certificate (Balloons)

1 Requirement to Hold an AOC(B)

- 1.1 A balloon registered in the United Kingdom may not fly for the purpose of public transport otherwise than under and in accordance with the terms of an Air Operator's Certificate (Balloons) granted to the Operator of that balloon by the Civil Aviation Authority.
- 1.2 A definition of the term 'public transport' is given in the ANO 2009.

2 Charges

- 2.1 A charge is payable on application for, or renewal of, an AOC(B) based on the nominal passenger capacity of the balloons operated, or proposed to be operated, by the AOC(B) holder and listed within the company Operations Manual.
- 2.2 A fixed charge is payable on application for a variation to an AOC(B).
- 2.3 Details of current charges may be found in The CAA's Official Record Series 5, available in electronic form at www.caa.co.uk/ors5. The AOC(B) Application, Renewal and Variation charges calculation procedures are included in each Form.

3 Application for an AOC(B)

- 3.1 An Operator should apply on the appropriate form, in accordance with the instructions attached to it. These forms and any other information that may be required can be obtained from the Safety Regulation Group's Flight Operations Inspectorate (General Aviation). Assistance notes for the completion of AOC(B) forms are provided at the back of each Form and an example of the Application Form for an AOC(B) is at Appendix 1 to Annex B. The form can be downloaded from the CAA website at www.caa.co.uk/SRG1310.
- 3.2 The application should be accompanied by the appropriate charge and, if possible, by the relevant Operations and Training Manuals (see Chapter 4) and should be submitted as far ahead as possible of the proposed date for the start of operations. A minimum notice of 30 working days is required from the date that the completed Operations and Training Manual is received by the CAA or receipt of the appropriate charge, whichever is the later. Beyond that, the interval between application for and grant of a Certificate will depend primarily upon matters within the control of the Operator. No undertaking can be given that the CAA will be able to reach a decision within a particular period. The CAA cannot begin to process an application until the appropriate charge has been received.
- 3.3 The applicant must declare at the time of the application whether the Operator wishes to be approved to Part M Subpart G for continuing airworthiness management and Part M Subpart F or Part-145 for maintenance, or whether this will be contracted to a 3rd party organisation. Copies of the contract(s) shall be supplied to the CAA for approval.
- 3.4 If a contracted Part M Subpart G organisation is used, then the Operator must ensure that their details are contained in the contracted organisation's Continuing Airworthiness Management Exposition (CAME).

- 3.5 On receipt of the application, an Inspector will be assigned to the applicant. The assigned Inspector will be required to carry out a detailed examination of all aspects of the operation, including management structure, adequacy of pilots and ground staff and arrangements for their training, equipment and facilities. A detailed examination will also be made of the Operations and Training Manuals, the company Safety Management System (SMS) and written Risk Assessments. All these matters will be assessed in relation to the scale, scope and circumstances of the applicant's proposed operations. Manuals, as amended, will be retained by the CAA during the currency of a Certificate.
- 3.6 The proposed balloon(s) must have an EASA Standard Certificate of Airworthiness (C of A) and a current Airworthiness Review Certificate (ARC), with an EASA approved Flight Manual. The Certificate of Registration must also be held by the Operator.
- 3.7 The balloon must have an approved Maintenance Programme in accordance with Regulation (EC) No. 2042/2003 Part M Subpart C M.A.302.
- 3.8 The necessary paperwork, both operational and administrative, to support balloon operations must be available for the Operator's use. This will include an approved Technical Log system in accordance with Part M, Subpart C M.A.306, Loadsheets and Passenger Manifest (normally all combined), and Flight Time Limitations (FTL) forms for each pilot.
- 3.9 An examination will be made of the adequacy of arrangements and facilities for balloon maintenance. Operators are required to supply the relevant maintenance arrangements.
- 3.10 A proving flight in the balloon for which application is made will be required and will be accompanied or observed by the assigned Inspector. In the case of adverse weather the balloon should still be available for inspection.
- 3.11 The assigned Inspector will undertake an audit visit at the applicant's proposed operations office. If the audit procedure reveals any significant non-conformity, the Operator will be advised in writing of the details and be advised that it must be addressed.

4 Form of an AOC(B)

- 4.1 AOC(B)s are granted for a 12 month period. The Balloon Group(s) which may be flown, the region(s) in which operations may be conducted and all company trading names will be specified in the Certificate. Included in the AOC(B) will be the Conditions applicable to the certificate and detailed Operations Specifications. A specimen AOC(B) is at Appendix 1 to Annex C.
- 4.2 Subject to the Operations Manual, the issue of the FTL approval required by the ANO 2009 will be arranged. A specimen Regulation of Flight Times Approval is at Appendix 2 to Annex C.

5 Variation of an AOC(B)

- 5.1 If the holder of an AOC(B) requires to apply for the variation of a Certificate as detailed within this paragraph, an application on the appropriate form must be made to the FOI(GA) giving at least 20 working days before the change is required to become effective. An example of the Variation Form for an AOC(B) is at Appendix 2 to Annex B. The form can be downloaded from the CAA website at www.caa.co.uk/SRG1311.

- 5.2 The signed application for variation must be accompanied by the appropriate charge, all pages of the current Certificate and other required documentation as detailed below.
- 5.3 On receipt of an application for variation, the assigned Inspector will normally be directed to carry out an investigation, which may include a requirement to accompany or observe a proving flight.
- 5.4 **Change of the Company Name, Holder's Name or Trading Name(s)**
- 5.4.1 The AOC(B) holder must provide documentary evidence supporting the proposed change of names.
- 5.4.2 Where limited companies are involved, the company number must be quoted.
- 5.4.3 No trading name that is the same as, or is so similar to an existing trading name that it, in the opinion of the CAA, may lead to future confusion, will be accepted by the CAA.
- 5.4.4 The company Operations Manual will need to be amended to include amended headers and footers.
- 5.5 **Additional Balloon Groups**
- 5.5.1 The holder must confirm that the company Chief Pilot meets the criteria to operate balloons of the additional group proposed.
- 5.5.2 The company Operations Manual will need to be amended, to give details of the additional balloon group, new balloon(s), fuel required figures and load calculation ready reckoner.
- 5.5.3 A copy of the Maintenance and Continuing Airworthiness management arrangements for the new balloon will be required for CAA approval.
- 5.5.4 Confirmation will be required that the additional balloon has an EASA C of A, with a current ARC, and that the balloon has a CAA Approved Maintenance Programme.
- 5.6 **Additional Region of Operation**
- 5.6.1 The AOC(B) holder must submit written confirmation that permission has been obtained for the proposed operations from the authorities in the country or countries concerned.
- 5.6.2 Arrangements for obtaining aeronautical information and appropriate weather forecasts for the proposed region must be clearly defined.
- 5.6.3 A detailed map showing the proposed operating area must be submitted to the CAA.
- 5.6.4 The necessary amendments to the company Operations Manual must be forwarded to the CAA.
- 5.6.5 Details of proposed changes to the maintenance arrangements, along with written confirmation from the company's maintenance organisation that they are able to supply maintenance support in the proposed Region of Operation, must be submitted to the CAA for agreement.
- 5.7 **Change of Nominated Post Holders**
- 5.7.1 A request from an Operator to change a contracted-out Continued Airworthiness Management Organisation (CAMO) will require the submission of a variation application and the draft contract(s) for CAA approval.
- 5.7.2 Except as required in paragraph 5.7.1, a request from an Operator to change the names or the listed duties of the accountable manager or a nominated AOC(B) post holder will not be regarded by the CAA as a request for a variation of the AOC(B).

5.7.3 When the Operator submits the name of a new nominee for any of the nominated post holders listed in the Operations Manual, the CAA will require the Operator to produce a written résumé of the proposed person's qualifications. This must be completed on CAA Form 4 (SRG 2815) (see Appendix 5 to Annex B). The CAA reserves the right to interview the nominee or call for additional evidence of his suitability before agreeing the change.

5.8 **Change in Continuing Airworthiness Management and Maintenance Support**

5.8.1 The Operator must submit the new contract(s) for approval together with evidence that the Operator is contained within the CAME.

6 **Renewal of an AOC(B)**

6.1 The holder of an AOC(B) wishing to apply for annual renewal of the Certificate should apply on the appropriate form to FOI(GA) at least 15 working days before the current expiry date. An example of the Renewal Form for an AOC(B) is at Appendix 3 to Annex B. The form can be downloaded from the CAA website at www.caa.co.uk/SRG1312.

6.2 The signed application for renewal must be accompanied by the appropriate charge and, if required, the completed Return of Operating Data questionnaire. This will normally be required if a full CAA audit has not been undertaken within the preceding 12 months. A blank Return of Operating Data questionnaire is at Appendix 4 to Annex B. The form can be downloaded from the CAA website at www.caa.co.uk/SRG1316.

6.3 Prior to renewal of the AOC(B), the assigned Inspector will carry out a review of the AOC(B) holder, including a review of the completed Return of Operating Data questionnaire (where submitted) and of the holder's Operations Manual.

6.4 If the Operator holds its own continuing airworthiness management and maintenance approvals then this will be subject to an annual audit. If these tasks are contracted to a 3rd Party then that organisation will be subject to audit in accordance with Regulation (EC) No. 2042/2003. Audits of the Operator may still be undertaken by the CAA's Airworthiness Evaluation and Surveillance Department to ensure standards are being upheld.

6.5 Subject to meeting the requirements of Article 12 of the ANO 2009, a replacement page 1 will be issued for a further period of validity.

6.6 The current AOC(B) Certificate should not be returned to the CAA when an application is made for renewal.

7 **Loss of an AOC(B)**

7.1 Operators are reminded that their AOC(B) is an official document and special care should be taken with it. A charge will be made if a Certificate has to be re-issued at the request of the holder.

7.2 If an Operator ceases operations, or if the CAA revokes or suspends the Certificate, it must be returned immediately, by secure delivery, to the office of issue.

8 **Routine Liaison and Audit Visits**

8.1 During the currency of an AOC(B), the CAA will require periodic reports on the continued competence of the holder. For this purpose, the assigned Inspector will make liaison and audit visits to the operating base and launch sites.

- 8.2 All CAA Inspectors are 'authorised persons' for the purposes of the ANO; they are also authorised for the purposes specified in Condition 4 of each AOC(B) (see Appendix 1 to Annex C). Inspectors may also fly in the Operator's balloons during the course of normal operations (see Condition 5 in Appendix 1 to Annex C). Arrangements for such flights will normally be made in advance, but the right is reserved for Inspectors to inspect balloons without prior notice and Operators should advise their pilots accordingly. The operational checks that will be undertaken are detailed in the information document 'CAA Liaison and Audit Visits', see Annex D.
- 8.3 Inspectors and Surveyors carry an Authority which will be produced on request.
- 8.4 No charge or fare will be paid in respect of the carriage of an Inspector on duty.
- 8.5 To keep the CAA informed on the continuing adequacy of balloon maintenance arrangements, Surveyors from the Airworthiness Evaluation and Surveillance Department may make periodic checks of the Operator's facilities and records. The maintenance checks that will be undertaken are detailed in the information document 'CAA Liaison and Audit Visits', see Annex D.
- 8.6 Operators may be visited from time to time by Training Inspectors (see Condition 6 in Appendix 1 to Annex C). The primary purpose of their visits will be to observe the conduct of training flights, including competence checks and type rating tests.

9 Variation, Suspension or Revocation of an AOC(B) by the CAA

- 9.1 An AOC(B) may be varied, suspended or revoked if the CAA can no longer be satisfied that the operation is safe. In the event, the Operator will be informed in writing of the details of the conduct of his operation which are causing concern. The CAA will require remedial action to be taken within a specified period.
- 9.2 In the event that an Operator fails to satisfy the CAA's concerns, a final written warning will, whenever possible, be given to the Operator together with a firm date by which specified action to satisfy the CAA must be taken. It will be made clear that failure to satisfy the CAA may result in enforced variation, suspension or revocation of the AOC(B).
- 9.3 Circumstances may preclude recourse to the process described in paragraphs 9.1 and 9.2 above. In such cases the CAA's duty to preserve safety is of paramount importance and therefore the CAA may immediately provisionally vary or suspend any AOC(B) which it has issued, pending further enquiries.
- 9.4 When a decision has been taken to suspend or vary an AOC(B), the Operator will be informed by the quickest available means. In the event of full suspension of the AOC(B), the Operator will be instructed that no public transport operations can continue or, if an enforced variation of the AOC(B) is intended, those elements of the operation which are affected by the variation cannot continue. The 'quickest available means' will in most situations mean the use of e-mail, facsimile or other telegraphic message. This will be followed by a formal letter giving notice of suspension, or variation, restating the requirement to cease operations as applicable, and also setting out the conditions on which suspension may be lifted.
- 9.5 An AOC(B) cannot remain suspended indefinitely. Steps may be taken by the Operator to reinstate the AOC(B) or, in default, will be taken by the CAA to revoke the AOC(B). Should an Operator wish to dispute the suspension of his AOC(B), he will be informed of such rights of appeal as exist under the Civil Aviation Authority Regulations for the time being in force. If an appeal is lodged, the AOC(B) will remain suspended until the appeal process is complete.

- 9.6 Suspension of an AOC(B) may be lifted on appeal or if the Operator satisfies the CAA as to his competence. Operations will not be permitted to restart until necessary inspections have been made. In particular, checks on flight crew recency and on the maintenance state of the balloon will be carried out. The CAA will issue a formal notice of the lifting of suspension before operations are permitted to resume.
- 9.7 The CAA will give an Operator notice that it intends to revoke the AOC(B) followed by a formal letter of revocation to the Operator. Should an Operator wish to dispute the revocation of his AOC(B), he will be informed of such rights of appeal as exist under the Civil Aviation Authority Regulations. Once revoked, there can be no further operations under the terms of the AOC(B).
- 9.8 If an Operator ceases operations for which the AOC(B) was issued, or if the CAA revokes or suspends the Certificate, it must be returned immediately to the office of issue.

10 Region of Operation

- 10.1 The normal region of operation for AOC(B) Operators is mainland United Kingdom, including the Isle of Man, the Isle of Wight, the Hebrides, the Shetlands, the Orkney Islands, Isles of Scilly; not beyond any point to seaward more than 1 nautical mile from the Spring Tide high water mark. Please note, an extension to the normal region of operation is required for Northern Ireland.
- 10.2 Application for an extension to the region of operation must be accompanied by evidence that operations in that region can be conducted safely. (See Chapter 2, paragraph 5.6).

11 Retention of Documents

Certain documents are required by Article 159 of the ANO 2009 to be retained by the Operator for a specified period, as indicated in the following table:

Document	Period	Requirement
Balloon Log Book	24 months after the balloon destroyed/permanently withdrawn from use.	Regulation (EC) No. 2042/2003 M.A.305
Technical Log/Certificate of Release to Service	Two years after the balloon destroyed/permanently withdrawn from use.	ANO 27(10)
Loadsheets	Six months (not in the aircraft).	ANO 100(2)
Training Records	Two years from the last public transport flight for which the records were required.	ANO Schedule 8 Part C7
Records of Flight Times/ Nature of Duties	12 months from the last flight for which the records were required.	ANO 145(4)
Records of Duty and Rest Periods	12 months from the last relevant entry.	CAP 371
Personal Flying Log Book (Pilot's Responsibility)	Two years after last entry.	ANO 156(5)

Chapter 3 Organisation

1 Management and Executive Staff

1.1 An effective management structure is essential; it is particularly important that the operational management has proper status in the organisation and is in suitably experienced and competent hands. The duties and responsibilities of managers must be clearly defined in writing and the chain of responsibility firmly established. The CAA will wish to be satisfied that the management organisation is adequate and properly matched to operational commitments, and gives priority to the maintenance of a high standard of safety. Managers who also undertake flying duties must spend an appropriate amount of time on their ground duties.

1.2 The positions held by key personnel must be listed in each Operator's Operations Manual and it will be a condition of the Certificate that the CAA shall be given 14 days' notice of any intended change in appointments or functions.

1.3 Accountable Manager

1.3.1 The name and status of the Accountable Manager must be included in the Operations Manual.

1.3.2 The Accountable Manager shall have corporate authority for ensuring that all operations activities can be financed and carried out to the standard required.

1.3.3 The Accountable Manager should have:

- a) knowledge of balloon operational requirements and procedures;
- b) knowledge of the continuing airworthiness management requirements as listed in Chapter 7, paragraph 10.9;
- c) knowledge of balloons operated and their continuing airworthiness requirements; and
- d) knowledge of the applicable regulations.

2 Adequacy and Supervision of Staff

2.1 Pilots

2.1.1 It will be necessary for Operators to satisfy the CAA that they have a sufficient number of pilots for the operations to be undertaken. The adequacy of the number of pilots will not be assessed against a set formula, as there will be a wide variation in requirements according to particular circumstances.

2.1.2 Pilots must be aware of their individual responsibilities in relation to the legality and currency of any Flight Crew Licences and associated ratings and certificates held. Flying with an applicable element of a licence out of date is illegal and may invalidate insurance cover.

2.1.3 The employment of part-time or 'freelance' pilots is acceptable. Irrespective of whether pilots are part-time or full-time employees, tests carried out to establish the competence of an Operator's pilots under Schedule 8 of the ANO 2009 must be conducted by a TRE or Flight Examiner on behalf of the Operator.

2.1.4 Tests conducted on behalf of another Operator may be accepted under arrangements set out in the company's Training Manual. These arrangements must ensure that the pilot is competent to perform all the duties and responsibilities laid upon him by the Operator. See Chapter 5, paragraph 6.

2.2 Chief Pilot

Arrangements must be made for the supervision of pilots by a person having the experience and qualities necessary to ensure the maintenance of high professional standards. This will necessitate the appointment of a Chief Pilot. The duties and responsibilities of the Chief Pilot must be carefully defined. The CAA will require verification that arrangements for the professional supervision of balloon pilots are properly related to the size and nature of the Operator's organisation.

2.3 Continuing Airworthiness Manager/Continuing Airworthiness Co-ordinator

2.3.1 If the Operator has its own Part M subpart G continuing airworthiness approval, the duties of the Continuing Airworthiness Manager are defined in (EC) No. 2042/2003. If Part M subpart G management has been contracted to a 3rd Party, then the Balloon Operator must nominate a Continuing Airworthiness Co-ordinator who will be the liaison link between the Operator and the contracted organisation(s).

2.3.2 The Continuing Airworthiness Co-ordinator should have:

- a) knowledge of balloon operational requirements and procedures;
- b) knowledge of the continuing airworthiness management requirements as listed in Chapter 7, paragraph 10.9;
- c) knowledge of balloons operated and their continuing airworthiness requirements; and
- d) knowledge of the applicable regulations.

2.3.3 This position may be amalgamated with other positions held, providing the responsibilities are defined in the Operations Manual. Details of these responsibilities are contained in Chapter 7, paragraph 10.9.

2.3.4 As part of the functions of a Continuing Airworthiness Co-ordinator it is required that a documented audit of the contract(s) held with 3rd Party organisations are undertaken and recorded annually, confirming the Operators' and contracted organisations' obligations under the signed arrangement are being upheld.

2.4 Ground Staff

The number of ground staff needed will depend primarily upon the nature and the scale of operations; the CAA will take full account of an Operator's particular circumstances. Operations staff must be suitably trained personnel who have a complete understanding of the nature of their duties and responsibilities. Retrieve crews must be trained for, and experienced in, all aspects of normal and emergency operations. Responsibility for the training and supervision of ground staff rests with the company Operations Manager.

3 Safety Management

3.1 Safety is of paramount importance in all areas of aviation. High safety standards are achieved not only by the imposition of rules and regulations but through the development of a positive safety culture or attitude in the minds of all connected with the operation of aircraft. The development of such a culture can be achieved in a number of ways, but that recommended by the CAA is the adoption of an SMS. An

- SMS allows an Operator to assess his approach to safety and assess the risks to which his operation is open.
- 3.2 An SMS can be tailored to meet the needs of both large organisations and one-person operations. Many organisations will already be operating an SMS, although it may not be thought of as such. The crux is whether, in the event of an incident, an Operator could be both certain, and able to convince an investigating third party, that they had done all that could reasonably be done to ensure safety.
- 3.3 EASA Management Systems mandate the need for an AOC holder to have an effective SMS. In fact, an EASA Ops AOC will not be issued without an Operator having a mature SMS in place.
- 3.4 The approach to SMS developed by the CAA is best viewed at www.caa.co.uk/sms.
- 3.5 Initially, Operators should undertake their own 'in-house' Phase 1 SMS Evaluation Framework / Gap Analysis for Non-Complex Organisations. This may be accessed from www.caa.co.uk/sms or at Annex E.
- 3.6 The Phase 1 Evaluation Tool consists of a number of questions, each of which can be answered either 'Yes' or 'No'. An answer, 'Yes' indicates a safe approach, whereas an answer of 'No' requires review and corrective action. The suggested questions are not exhaustive in their coverage. Also, it is considered that all the questions are most probably relevant to large operations, but for a small operation some may not be relevant. Using a checklist allows the Operator to self-analyse his safety management processes and improve them if necessary.
- 3.7 As part of an SMS, many operators have developed a simple risk matrix. This is based on a subjective assessment, based on experience and evidence, of the likelihood of each identified hazard occurring coupled with the severity of the outcome. Multiplying likelihood by severity provides an initial risk assessment. Mitigating factors can then be applied to give a final risk assessment.
- 3.8 Following satisfactory Phase 1 assessment, Operators should attempt the Phase 2 SMS Evaluation Tool. This is available at www.caa.co.uk/sms. For AOC(B) holders, assessment as Non-Complex Organisations is appropriate.
- 3.9 During audits the CAA Inspectors will discuss SMS with Operators. Their discussions will be based around the Phase 1 SMS Evaluation Framework / Gap Analysis at Annex E. The Phase 2 SMS Evaluation Tool provides an indication of the effectiveness of a company's SMS.
- 3.10 Additional guidance on Safety Management Systems is available at www.caa.co.uk/sms.

4 Facilities

- 4.1 The nature and scale of office services required – clerical staff and equipment – should be related to the number of other staff employed. It is particularly important that office services are sufficient to ensure that operational instructions and information of all kinds are produced and circulated to all concerned. Telephones must be manned or recorded while flying operations are in progress.

5 Accommodation

- 5.1 Office space at the operating base must be sufficient to provide a suitable working environment for the staff employed and for the use of crews between flights. Adequate provision must be made for operational planning, for the storage and display of essential records and for flight planning.

6 Operations Library

- 6.1 At the operating base, the Operator must maintain an adequate library of maps, charts, flight guides, Operations Manuals and other documents needed for reference and planning purposes and for use in flight. The library must be kept in an orderly fashion with responsibility for its maintenance clearly defined.
- 6.2 Aeronautical charts and appropriate flight guides/aeronautical frequency information will normally be required for the area over which the Operator is certificated to fly.
- 6.3 Arrangements must be made for the amendment of manuals, flight guides etc. and for bringing the amendments to the notice of pilots and other operating staff. A record should be kept of the distribution of manuals and amendments.

7 Balloon Library

- 7.1 There must be an effective system to ensure that each balloon is provided with an adequate library of manuals, maps and charts, flight guides and other necessary documents, supported by an efficient amendment service. A check list should be provided for the balloon library.
- 7.2 A topographical aeronautical chart of the area of the intended flight shall be carried. This requirement may be satisfied by either the 1/2 million or 1/4 million aeronautical charts and, for detailed planning, the 1:50,000 Ordnance Survey (OS) maps annotated with Sensitive Area information for the planned route. Aeronautical information may be transferred to the OS sheet but this does not remove the necessity to also carry a current aeronautical chart.
- 7.3 The use (in full or part) of an Electronic Flight Bag (EFB) is approved, provided that there is a full back-up system available.

8 Instructions to Pilots

- 8.1 Operations Manuals should be supplemented by a procedure for bringing urgent or temporary information to the notice of pilots. Full use should be made of this procedure to bring significant Aeronautical Information Circulars (AICs), NOTAMs etc. to the attention of pilots.

9 Legislation and Aeronautical Information

- 9.1 All pilots and other operating staff who may be concerned should have access at their normal operating base to:
- a) United Kingdom (or other local) Pre-Flight Route and Aerodrome Information NOTAM Bulletins;
 - b) United Kingdom (or other local) Temporary Navigation Warning NOTAM Bulletins;
 - c) The ANO and Regulations currently in force, amended to date;
 - d) AICs;
 - e) United Kingdom (or other local) Frequency Guide; and
 - f) EC Regulations and the associated AMC and GM.
- 9.2 Where this information is accessed through electronic means, a system must be in place to ensure that such information is accessed on a regular basis. For example, NOTAMs daily, prior to undertaking any flying and AICs monthly, as issued.

- 9.3 Where aeronautical information is available to flight crews through an Aeronautical Information Service unit, it may not be necessary for the Operator to duplicate the service; however, it is his responsibility to ensure that the information is readily available.
- 9.4 Operators are recommended to keep a record (either paper or electronic) of relevant NOTAM information that has been accessed.

10 Occurrence Reports

- 10.1 Responsibility for making occurrence reports must be assigned to a suitably qualified safety officer appointed for the purpose. Reports should be made to the CAA through this official. (See also Chapter 4, paragraph 22.)
- 10.2 Where appropriate, the circumstance of an incident should be made generally known within the Operator's organisation and, where relevant, the maintenance organisation. Particular care is to be taken to ensure that originators of occurrence reports are informed of the outcome of any subsequent investigations. To this end, full use should be made of the facilities provided for the exchange of information on occurrences and accidents by the CAA's Safety Data.

NOTE: Mandatory Occurrence Reporting is required by the ANO and Commission Regulation (EC) No. 2042/2003 M.A.202 in respect of all aircraft registered in the United Kingdom that are undertaking a public transport flight. Operators must report to the CAA any occurrence interpreted as being within the guidance given in CAP 382 – The Mandatory Occurrence Reporting Scheme. (See also Chapter 4, Paragraph 22.)

11 Disaster Management

- 11.1 There must be an effective company policy on disaster management. This will require a written disaster management plan, regularly reviewed by the Chief Pilot. (See also Chapter 4, paragraph 23.)

12 Balloon Continuing Airworthiness and Maintenance

- 12.1 Requirements relating to continuing airworthiness management and maintenance arrangements are contained in the relevant parts of Commission Regulation (EC) No. 2042/2003 as amended and in Chapter 7 of this publication.

INTENTIONALLY LEFT BLANK

Chapter 4 Operations Manual

1 Purpose and Scope of Manual

- 1.1 It is a statutory requirement that an Operations Manual shall contain 'all information and instructions necessary to enable the operating staff to perform their duties'. (ANO 2009 Article 83(5).)
- 1.2 The ANO describes 'operating staff' as the servants and agents employed by the Operator, whether or not as members of the crew of the aircraft, to ensure that flights are conducted in a safe manner; this includes an Operator who himself performs these functions.
- 1.3 A list of particular matters to be covered in Operations Manuals is prescribed in the ANO. The purpose of this chapter is to give some indication of the manner in which the requirements relating to the operation of balloons should be met. The Flight Manual forms part of the balloon C of A and is therefore one of the documents which must accompany the flight. Flight Manual information may be incorporated into the Operations Manual, provided this is agreed by the CAA. The Operator is responsible for ensuring that all such information is kept up-to-date on a regular basis. The Operator's region of operations must be taken into account in the preparation of Operations Manual instructions.
- 1.4 Each copy of the Operations Manual must bear a serial number, and a list of holders should be maintained by the person responsible for issuing amendments. Where this system is not used, an Operator must have satisfactory alternative arrangements for controlling the issue and amendment of Manuals. Each manual must bear a title and list of contents, giving a clear indication of its scope. At the front there must be an amendment page to indicate amendment number, date of incorporation and the signature or initials of the person(s) making the amendment. All pages must be dated. The arrangements of pages, sections, paragraphs, etc. must be orderly and systematic to facilitate immediate identification of any part of the subject matter. The standard of printing, duplication, binding, section dividers, indexing of sections, etc. must be sufficient to enable the document to be read without difficulty and to ensure that it remains intact and legible during normal use.
- 1.5 The amendment of an Operations Manual in manuscript is not acceptable. Changes or additions, however slight, must be incorporated by the issue of a fresh or additional page, dated accordingly, on which the amendment material is indicated by a vertical line in the margin.
- 1.6 It is most important for Operators to appreciate that it is their responsibility, under the relevant statutory provisions, to provide adequate instructions and accurate information to their operating staff. Inspectors will check Operations Manuals lodged with the CAA and will advise where and when amendments become necessary. The primary purpose of these checks will be to verify the adequacy of the Operator's systems and procedures for keeping instructions and information under review, and for issuing timely amendments as necessary. There can be no question of the CAA or its Inspectors assuming responsibility for the detailed information provided in Manuals. This responsibility rests with the Operator, who should designate a suitably qualified person to see that it is properly discharged.

2 Flight Crew

- 2.1 The claimed experience of potential employees must be substantiated. Log book entries must be checked to see if they are realistic and further checks made with previous employers and with the CAA's Licensing and Training Standards where any doubt arises.

3 Responsibilities of Pilots and other Operating Staff

- 3.1 The Operations Manual must state the appointment and responsibilities of the Accountable Manager, Chief Pilot, Operations Manager, Continuing Airworthiness Co-ordinator and Training Pilot. In a small company these posts may be combined.

- 3.2 It is important that operating staff should be made fully aware of the overriding responsibility and the ultimate authority of the Pilot-In-Command (PIC). Manuals must state that, in order to secure the safety of a particular flight, the PIC is authorised to apply greater safety margins (e.g. higher fuel reserves, terrain clearance standards or lower wind speed limits) than those specified by the Operator for normal operations.

- 3.3 In defining the duties of the PIC, the Operator must include instructions on:

- a) company policy on appropriate safety clothing for pilots and the carriage of third parties in the pilot's compartment of a partitioned basket. This guidance must include the wearing of long trousers and sleeves, preferably in natural fibres, suitable footwear and gloves;
- b) pre-flight briefing of ground crew;
- c) the briefing of passengers on emergency procedures and equipment, including suitable clothing, and (where appropriate), lifejackets, protective headgear and passenger landing position blocks. (Guidance on appropriate clothing must have been included in printed material given to passengers prior to the day of the planned flight. This advice should include the wearing of long trousers and sleeves, preferably in natural fibres and suitable footwear. Prior guidance may also be given on suitable headgear);
- d) the requirement to advise prospective passengers that ballooning is an outdoor activity normally occurring in the open countryside requiring participants to have a degree of fitness and mobility, in order that passengers can make an informed decision as to whether or not to undertake a balloon flight;
- e) the responsibility for supervising refuelling and for ensuring that tanks and hoses are secure and free of leaks;
- f) the responsibility for checking the condition and security of fire, safety and medical equipment;
- g) the responsibility for ensuring the correct completion of the Technical Log, both before and after flight;
- h) the responsibility for supervising the loading of the balloon;
- i) the fact that company policy on the carriage of children and aged or infirm or handicapped passengers should be stated; and
- j) the use of pilot restraint harnesses that are fitted to all company balloons. Instructions must state that such harnesses must be worn and attached before the balloon quick release restraint is released, worn throughout the flight, and not

released until the end of the flight when the balloon has come to a complete and final standstill.

3.4 Pilots must not be under the influence of alcohol or drugs during flying duty periods. Operators must issue instructions to pilots on their personal responsibilities. They should include clear guidance on:

- a) abstinence from alcoholic drinks for a suitable period prior to any flight duty period. Although pilots must not fly for at least eight hours after taking small amounts of alcohol and proportionally longer if larger amounts are consumed, it would be prudent for a pilot to abstain from alcohol for at least 24 hours before flying;
- b) drugs (including over the counter medications which do not require a doctor's prescription), many of which have adverse effects on the nervous system. As a rule, if a pilot finds it necessary to take, or has been prescribed, some form of medication, his fitness to fly must be suspect, and he should seek aeromedical advice before commencing or continuing with flying duties;
- c) the need to seek aeromedical advice from an authorised medical examiner or other doctor with specialist knowledge of aviation medicine prior to returning to flying duties following any surgical procedure;
- d) the need to seek medical advice concerning the period to be observed before returning to flying duties following immunisation;
- e) acting as blood donors. Pilots must not undertake flying duties for at least 24 hours after they have given blood; and
- f) the fact that crew members whose sporting activities include deep sea diving to a depth exceeding 10 metres must not fly within 24 hours of completing such activity.

AICs issued from time to time on these subjects may form a useful basis for instructions to be included in the manual.

A Parliamentary Act is the UK legislation that extends testing for alcohol and drugs to aircrew, licensed engineers and air traffic controllers. The permissible limits vary depending upon the role of the person but, in general, they are lower than those applicable to the driving of motor vehicles.

4 Crew Composition

4.1 The minimum flight crew to be carried shall never be less than is stipulated in the balloon's C of A or the balloon Flight Manual. The standard crew for Company balloons is one pilot. For training and testing purposes, the training captain or examiner will normally be in command. If a crew consists of more than one pilot then one pilot will be designated commander of the balloon.

5 Flight, Duty and Rest Period Limitations

5.1 Operators must satisfy the statutory provisions prescribed in the ANO and the requirements contained in CAP 371 'The Avoidance of Fatigue in Aircrews'.

5.2 In accordance with the statutory provisions, Operators' schemes for the prevention of fatigue must be approved by the CAA and incorporated in the Operations Manual. Any amendment to the Operations Manual in this connection must be approved by the CAA in advance. Applications for approval, amendment or variation of such schemes should be addressed to the FOI(GA).

- 5.3 Operators are required to maintain and provide readily interpreted Flight and Duty Time records for each pilot, including part-time or 'freelance' pilots. It follows that suitable arrangements must exist for collecting the information necessary to compile the records. Accurate records are essential to persons responsible for the rostering of pilots.
- 5.4 Article 145(3) of the ANO 2009 states that Operators must be in possession of pilot's Flight and Duty Time records for the 28 day period immediately preceding a flight for the company. This applies to all pilots, including freelance, even if they only undertake one commercial flight for the company.

6 Balloon Technical Particulars and Operating Procedures

6.1 Technical Particulars of the Balloons

In meeting the requirement to provide these particulars, Operators should take care to distinguish between specific information to be used in the course of flight operations and more general basic information that a pilot might need to prepare for a rating examination. Information on the following matters should be provided in a form suitable for use as immediate reference in day-to-day operations:

- a) the effect on essential systems of serious faults. Information to be provided may vary with the type of balloon and should be in a readily identifiable section of the Manual;
- b) operational guidance on the actions to be taken in the event of a malfunction;
- c) procedure for carrying out a Preflight Check;
- d) procedure for the replenishment of fuel tanks:
 - i) refuelling from a bulk supply;
 - ii) refuelling from cylinders; and
- e) details of how the balloon is managed for continuing airworthiness, and how scheduled and non-scheduled maintenance are catered for. (See Chapter 7 for more detailed information.)

6.2 Performance

Operators must provide pilots with simplified information from which they can readily determine, without reference to a flight manual or performance schedule, the total permitted lift at take-off on all flights.

6.3 Operating Procedures

Information must be given on:

- a) Briefing of Passengers – to include approaching the balloon, precautions to be observed in flight, and before and during the landing, together with emergency and evacuation procedures. Written instructions for pilots must be provided.
- b) Wind Speed Limits – to include the procedure to be followed before taking off in a surface wind speed exceeding 8 knots and restrictions for pilots upgrading to balloons, in excess of 50% larger than the largest envelope capacity upon which the pilot has undertaken 10 public transport flights within the past 24 months.
- c) Selection of Landing Site – The British Balloon and Airship Club (BBAC) Code of Conduct. Identification of overhead lines and other obstructions.
- d) Ground Handling – All ground crew are to be appropriately trained. Quick release tether. Retrieve procedure. Recovery on to trailer.

- e) Emergency Procedures – Emergency landings, burner or pilot light failure, power line contact and ditching procedure. Fire in the air or on the ground. Loss of radio contact.

7 Provisions and use of Oxygen and Associated Equipment

- 7.1 If oxygen is not carried, or if a balloon is not correctly equipped either temporarily or permanently, instructions on restricting operating altitudes must be included.

8 Life Jackets

- 8.1 The manual must state that life jackets must be provided for all persons on board a balloon when planning a flight that involves one or more of the following:
 - a) flying over water where it is reasonably possible that the balloon might be forced to land onto water;
 - b) taking off or landing at a site where the take-off or approach path is so disposed over water that in the event of a problem there would be a likelihood of ditching; or
 - c) when the wind is less than five knots onshore at take-off from a site located within 1 NM of water measured at the ordinary high water mark.

9 Wake Turbulence from Aircraft

- 9.1 Advice must be included on the hazards of wake vortex turbulence from large (and even medium sized) aircraft.
- 9.2 Wake vortices emanate from the wing tips of an aircraft and form two horizontal spirals of rotating air behind the aircraft. They are nothing to do with the jet blast from the engines, which are a further hazard. These vortices increase to a diameter of about 200 feet, and descend at a rate of about 500 feet per minute until either hitting the ground or reaching about 1000 feet beneath the aircraft flight path. Tests have measured the tangential velocity of the vortex at speeds of up to 133 knots, which would probably be more than sufficient to tear a balloon envelope apart. On reaching the ground, the vortices spread gently outwards at a speed of about 5 knots, so that with a 5 knot crosswind they actually stay directly below the aircraft flightpath. Vortices can persist, in stable air conditions at sufficient strength to cause upset to other medium sized aircraft, for at least five minutes. Therefore, at strengths to cause serious balloon envelope distortion or damage, they may well persist for 10 to 15 minutes. Vortices are created at all times during flight, but are worse when the aircraft is heavy and slow.
- 9.3 Pilots are advised to avoid crossing close under the flight path of an aircraft for at least 15 minutes. If such a path must be crossed, pilots are advised to try to climb above it.
- 9.4 Further guidance on wake turbulence is available in Safety Sense Leaflet 15 – Wake Vortex, at www.caa.co.uk/safetysenseleaflet15.

10 Minimum Equipment Lists

- 10.1 Operators may not operate balloons with unserviceable equipment, except in accordance with a permission issued by the CAA. Such permission will be granted only when the content of the Minimum Equipment List (MEL) is acceptable.
- 10.2 An MEL must be submitted to FOI(GA) at the time of application for an AOC(B).

11 Fuel Planning and Management

- 11.1 The total quantity of fuel carried on board the balloon must be sufficient for the intended flight and must include a safe margin for emergency contingencies. The manner in which the amounts are calculated and records to be made must be specified. Minimum fuel remaining on landing must be stated.
- 11.2 Fuel planning tables must be provided for all balloons. The tables must take account of the size of the balloon and the duration of the intended flight and should refer to the conditions for which the figures apply.
- 11.3 **Monitoring Fuel on Board**
- 11.3.1 There must be instructions for ascertaining, before departure, that the amount of fuel on board meets the PIC's requirements. In flight, there must be instructions for ensuring that if, at the point of intended landing, the amount of fuel calculated to remain unused is likely to become less than any minimum quantity specified, this fact becomes apparent at an early stage. Procedures for changing tanks and for isolating and evacuating the fuel system on landing must be stated.
- 11.3.2 Before signing the Technical Log Sector Record Page (SRP), the PIC must be satisfied that the correct quality and quantity of fuel is on board and that it has been loaded in accordance with instructions.

12 Check Lists

- 12.1 The drills and checks for normal, abnormal or emergency conditions must be listed in the Manual.

13 Use and Checking of Altimeters

- 13.1 Operators must have a clear policy on altimeter setting procedures, particularly their use of QFE (Atmospheric Pressure at Aerodrome Elevation) and QNH (Regional Atmospheric Pressure at Sea Level). This policy must be clearly described in Operations Manuals to cover all phases of flight.

14 Emergency Evacuation Procedures

- 14.1 Procedures for the evacuation of a balloon and for the care of passengers following a hard landing, ditching, power line contact or other emergency are to be specified.

15 Radio Watch

- 15.1 There must be an instruction that if in the course of a public transport balloon flight a balloon is likely to enter Controlled Airspace, an Aerodrome Traffic Zone or a Military Aerodrome Traffic Zone then an aeronautical radio station must be carried.
- 15.2 If the balloon's flight takes it within 3 NM horizontally, or 1,000 ft vertically, of any of the above mentioned airspace other than a Military Air Traffic Zone, then two-way communication must be established with the appropriate Air Traffic Control unit.
- 15.3 Whilst the avoidance of a Military Air Traffic Zone is not a legal requirement for a civilian aircraft, considered best practice is to act in accordance with paragraph 15.2.

16 Airfield Operating Minima – Take-Off, En-route and Landing

- 16.1 Conditions for take-off must be specified in terms of visibility and surface wind speed. It must be stated that all public transport flights are to be carried out under Visual Flight Rules (VFR), and not at night. Conditions for VFR flight must be specified.
- 16.2 The manual should reflect that most public transport balloon flights depart from unlicensed sites, defined as unlicensed aerodromes for the purpose of the ANO. Unlike licensed aerodromes, these sites would not normally have any external fire extinguishers. Operators shall therefore provide and staff an effective fire and rescue facility which can respond to a balloon accident or incident pending the arrival of external emergency services. Such facilities are to be provided on a scale commensurate with the size of the balloon(s) in use, to include sufficient quantities of suitable fire fighting agent(s).

17 Evening Flights

- 17.1 The risk of collision with overhead lines is considerable and cannot be overstated. The risk is considerably increased during evening flights in conditions of failing light and visibility when there is increasing pressure to land. A number of incidents have occurred in the late evening in just such conditions, and may have been avoided had an earlier landing been planned.
- 17.2 Under the ANO, flights are allowed up to 30 minutes after the time of official sunset. It is recommended that Operators add a stipulation to their Operations Manual that all public transport balloon flights be planned to land well before official sunset and that the final 30-minute period before official night is to be used for contingency purposes only.

18 Rules of the Air

- 18.1 Operations Manuals must state that Operators and pilots must comply with the Rules of the Air at all times during their operations. The rules governing low flying specify minimum heights and distances and apply to all aircraft including balloons.
- 18.2 Operators wishing to take off from sites within congested areas may only do so in compliance with the conditions of a CAA Permission issued in accordance with Rule 5(3)(c) of the Rules of the Air Regulations 2007. Such a Permission is issued annually by FOI(GA) and is valid for members of the BBAC, provided that a copy of the Permission is carried. Non-members of the BBAC may apply to the CAA for an individual Permission; such application involves payment of a charge. The Permission is granted subject to conditions designed to ensure the safety and convenience of all concerned and must be observed on every occasion on which a site is used. It should be noted that a particular site's suitability for use may be subject to weather criteria, for example surface wind direction and speed. The Permission is only applicable to the first five minutes of any flight, after which the Rules of the Air apply.
- 18.3 Flights over areas other than congested areas must comply with the 500 feet rule (Rule 5(3)(b)) except when taking off and landing in accordance with normal aviation practice.

19 Loading

19.1 Loading Instructions

19.1.1 It must be stated that the maximum permitted lift for the balloon must not be exceeded.

19.1.2 The following precautions must be observed:

- a) actual weights must be used for all passengers. It may be necessary in case of doubt to verify an individual passenger's weight;
- b) account must be taken of equipment not included in the basic weight of the balloon;
- c) weights used for fuel and empty cylinders must be checked against the type of tank in use;
- d) care must be taken to specify and employ a common unit of weight throughout, normally kilogrammes; and
- e) the maximum permitted number of occupants for the type of balloon must be specified, together with the maximum number in any one compartment.

19.2 Loadsheets Contents

19.2.1 The loadsheet must account for all items of the laden weight. Although they may not always be specified individually, the following are examples of items to be included:

- a) fuel;
- b) balloon library, unless these items are included in the basic weight;
- c) passengers' baggage;
- d) safety and emergency equipment; and
- e) all other items of removable equipment including removable radios.

19.2.2 Loadsheets must give names and actual weights of passengers.

20 Dangerous Goods, Weapons and Munitions of War

20.1 Carriage of Dangerous Goods

The Air Navigation (Dangerous Goods) Regulations 2002 set out the applicable requirements, including those relating to Operator's responsibilities. They require that a written approval be issued by the CAA before dangerous goods are carried. (CAP 393, Section 7, Article 4.)

20.2 Carriage of Weapons and Munitions of War

Weapons and munitions of war may only be carried with the written approval of the CAA.

21 Accident Reporting

21.1 An Accident Report is required for balloons operated for any purpose (private, aerial work or public transport) when involved in an 'accident' or 'serious incident', as defined in Section 75 of the Civil Aviation Act. Full details are contained in the Civil Aviation (Investigation of Air Accidents and Incidents) Regulations 1996 (Statutory Instrument 1996 No. 2798).

- 21.2 Provision must be made for all operating staff to have ready access to the prescribed requirements for the reporting and investigation of accidents. In particular, operating staff should be familiar with the definitions used in the legislation, the duty to furnish information and the rules governing the removal of damaged aircraft.
- 21.3 Instructions must be issued regarding the reporting to the regulatory authority of the country concerned of any accidents which occur overseas, and the action necessary to prevent removal or interference with any part of the balloon without proper permission. This is in addition to the PIC's and/or Operator's existing responsibility to inform the UK Chief Inspector of Air Accidents, Air Accidents Investigation Branch (AAIB). The Operations Manual should contain the address and relevant contact numbers of the AAIB.
- 21.4 If doubt exists on whether an occurrence is an accident or an incident, it should be reported to the AAIB. The details will then be passed to the CAA's Safety Data, if appropriate.

22 Occurrence Reporting

- 22.1 Mandatory Occurrence Reporting is required by the ANO in respect of all aircraft registered in the United Kingdom that are undertaking a public transport flight, including balloons. Operators must report to the CAA any occurrence interpreted as being within the guidance given in CAP 382 'The Mandatory Occurrence Reporting Scheme'. For details of availability of printed copies of CAA publications and amendment services, please see the inside cover of this document.
- 22.2 The CAA's Safety Data operates a unified and comprehensive system for processing occurrence reports and for the dissemination of information derived from them.
- 22.3 A standard occurrence report form is in use. Copies can be obtained in electronic format at www.caa.co.uk/srg1601 and an example is at Annex F, Appendix 1. Certain incidents, such as bird strikes and airprox, can be reported on special forms. Reports may also be made on the incident report form provided by the BBAC. A copy of this is at Annex F, Appendix 2.
- 22.4 Operations Manuals must specify the persons responsible for raising occurrence reports and give such guidance as will enable them to comply with the requirements of the ANO and Regulations.
- 22.5 AOC(B) holders must include instructions on the procedure for the reporting of accidents and incidents, using criteria provided in CAP 382.
- 22.6 An accident notified to the UK Chief Inspector of Air Accidents in pursuance of the Civil Aviation (Investigation of Air Accidents and Incidents) Regulations shall not constitute a reportable occurrence for the purpose of Mandatory Occurrence Reporting.

23 Disaster Management Plan

- 23.1 A company disaster management plan is required, written and regularly reviewed by the Chief Pilot. Instructions with regard to post-crash management, including the establishment of a co-ordination centre and the nomination of a company on-scene incident officer, must be included.
- 23.2 It is recommended that reciprocal arrangements whereby commercial balloon Operators in the same locality agree to assist each other in the event of an accident are established.

- 23.3 The plan should also contain an up-to-date list of those telephone numbers which could be required. These will include: local Accident and Emergency Hospitals, the police, the electricity board and contact numbers for company employees and the nominated other local commercial balloon Operator.
- 23.4 Two appendices, entitled 'Disaster Management Plan' and 'Emergency Telephone Numbers' must be added to the rear of the company Operations Manual.

Chapter 5 Training and Testing

1 General Requirements for Flight Crew Training and Testing

- 1.1 The national statutory requirements relating to the training and periodic testing of pilots are specified in the UK ANO and represent the minimum acceptable standard. The primary purpose of this chapter is to indicate the nature of the arrangements considered necessary to secure an adequate standard of compliance and to specify those tests which form part of that compliance.
- 1.2 The UK is introducing EASA Part-FCL on 1 July 2012, but there will be a transition period for balloon licences until 8 April 2015, after which an EASA Part-FCL licence will be required to fly an EASA balloon commercially within the EU. The CAA will publish a new publication, CAP 804, to replace LASORS and to provide guidance on licensing, training and testing matters. CAP 611 will be further amended as and when appropriate.
- 1.3 Under normal circumstances a person administering any periodic check specified in Schedules 7 and 8 to the ANO 2009 should be currently qualified to at least the standard that the person being examined is required to demonstrate during that check.
- 1.4 The conduct of tests by examiners will occasionally be observed by appropriately qualified CAA Training Inspectors.

2 Training Manual

- 2.1 It is a statutory requirement that a Training Manual shall contain all such information and instructions as may be necessary to enable persons appointed by the Operator to give or supervise the training, practice and periodic testing of flight crew in the performance of their duties.
- 2.2 Care must be taken not to interpret paragraph 2.1 as meaning that a Training Manual should contain technical and operating information for general instructional purposes. Rather, it should remain concise in its purpose of giving formal expression to the Operator's training policy and requirements, together with guidance on these matters to instructors and examiners.
- 2.3 The Training Manual is regarded by the CAA as the primary indication of the standard of training and testing likely to be achieved by an applicant for, or holder of, an AOC(B). One copy must be submitted to the CAA, preferably with the initial application for an AOC(B). For balloon operations the Training Manual is an integral part of the Operations Manual.
- 2.4 In addition to the more general matters of policy, the following in particular must be included in the Manual:
 - a) the name of the person responsible for the supervision of aircrew training and testing; and the name of the authorised company TRE;
 - b) minimum standards of recent experience and of initial and periodic training to be met by pilots for each type of balloon used by the Operator;
 - c) specimen record forms in respect of all training and testing;
 - d) arrangements for administering and recording the periodic testing of all pilots; and

- e) instructions covering retesting and retraining after unsatisfactory performance or periods off flying due to illness or other causes.

3 Training and Testing Staff

- 3.1 A person, whose qualifications and experience are agreed to be suitable by the CAA, must be designated to take general and overall charge of arrangements for the training and testing of flight crews. This person's name, authority and responsibilities must be clearly defined in the Operations Manual. In a small company the post of Training Pilot may be combined with that of the Chief Pilot.

4 Flying Experience Requirements

- 4.1 The flying experience requirements required by an applicant for a CPL(B) are detailed in the CAA's LASORS publication. The minimum number of hours required by an applicant for an unrestricted CPL(B) is 75 hours, of which not less than 60 hours must be as PIC. To operate as a line pilot for an AOC(B) holder the minimum total experience is 100 hours.

5 ANO 2009 Schedule 7: Flight Crew of Aircraft

- 5.1 Schedule 7 of the ANO 2009 specifies training qualifications for Licensing Purposes. In general, the Schedule 7 Test for a type rating 'Certificate of Test' is integrated with the Operator's annual type competence check ('base/line check'); the two are administered simultaneously by an examiner who is authorised as a TRE by the CAA. (See Annex G.)

- 5.2 The authority to conduct checks required by Schedule 7 is normally delegated to non-CAA examiners. Prior to granting authorised status, the CAA must be satisfied that training in the relevant skills has been undertaken.

5.3 Initial General Flight Test

The General Flight Test (GFT) is conducted by an examiner authorised for the purpose by the CAA. The GFT may be conducted in either Groups A or B and this will be the first Group included in the Aircraft Rating of the licence. An initial Certificate of Test [C of T] (or Certificate of Experience [C of E] if the Commercial Pilot's Licence (Balloons) (CPL(B)) is to be restricted to aerial work and private flying) will be valid from the date that the licence holder receives their CPL(B) from the CAA, and will be valid for 13 months from the date of the successful GFT for this first Group.

5.4 Additional Balloon Groups

To add further Groups to the licence, an Aircraft Rating flight test is required. This test is conducted by a TRE. The CPL(B) GFT examiners are authorised for this purpose, as are company TREs. If successful, an additional Group will be added to the Aircraft Rating and an additional C of T included. This will be valid from the date that the licence holder receives the amended licence back from the CAA, and for 13 months from the date of the successful Aircraft Rating flight test.

5.5 Renewal of the Certificate of Test

- 5.5.1 The C of T is valid for 13 months. It is the responsibility of the CPL(B) holder to make arrangements for their C of T renewal prior to its expiry. Where a CPL(B) holder has more than one Group included in the Aircraft Rating of his licence, a test in the largest of these Groups will be valid for all smaller Groups.

- 5.5.2 If a combined Base & Line check is also required, it is possible to combine this with a C of T renewal. In this case the TRE must hold a valid C of T for the Group in which the flight is to take place and within the preceding 90 days, he must have completed not less than three free flights, each of at least five minutes' duration, for any purpose, as PIC of a balloon.
- 5.5.3 Provided that the candidate's C of T has not expired, it is permissible to undertake the flight on a Public Transport flight, in which case emergencies will be discussed and not simulated. The Technical Log Sector Record Page (SRP) requires that the examiner is Captain and the candidate is P1/s.

6 ANO 2009 Schedule 8: Public Transport – Operational Requirements

- 6.1 Schedule 8 of the ANO 2009 (as amended) specifies the periodic training and testing required for public transport. Unlike Schedule 7 requirements, where the content of each test is specified by the CAA and examiners are advised on the manner in which tests are to be conducted, the scale and content of tests for Schedule 8 may vary from Operator to Operator, although in practice a standard combined base/line check form is used for balloons. (See Appendix 1 to Annex G.)
- 6.2 The following is a list of Schedule 8 (public transport) tests, the results of which are recorded on Operators' forms. (See Annex G):
- a) base check;
 - b) line check; and
 - c) safety equipment and procedures (SEP).
- 6.3 The composition of tests must take into account the particular demands of the Operator's AOC region of operations. It is therefore not possible for the combined base/line check to be undertaken outside of the Operator's AOC region of operations.
- 6.4 **Base Check**
- 6.4.1 The purpose of the base check is two-fold. Firstly it fulfils the statutory requirement that pilots shall be tested on a regular basis and that their continued competence be verified and certified. Secondly it provides an opportunity for simulating emergency procedures and drills which rarely arise in normal operations.
- 6.4.2 The scope of the test may be divided into two parts (See Appendix 1 to Annex G):
- a) simulated emergency procedures in flight; and
 - b) emergency discussion items, in flight or on the ground.
- 6.5 **Line Check**
- 6.5.1 The requirement is for a test of ability to perform satisfactorily a complete operation from start to finish, including pre-flight and post-flight procedures and use of the equipment provided.
- 6.5.2 The Operator has a statutory obligation to check that his pilots are competent to perform their duties. (Article 95(2) of the ANO 2009.)
- 6.5.3 Line checks fall into two categories, as follows:
- a) **INITAL Line Check.** Prior to starting company flying for an AOC(B) holder, a pilot will carry out such training as the company Chief Pilot may require, bearing in mind the pilot's experience. This training will include line flying under supervision. Only after the pilot has a valid CPL(B) with a valid C of T for the appropriate Group, may he undertake line flying under supervision during normal public transport (PT)

flights. On such flights the Chief Pilot is Captain and listed as such on the Technical Log Sector Record Page (SRP). He records the flight time as P1. The line flying pilot records his flight time as P1/s and is listed underneath the Captain (must not be listed with the passengers) on the SRP. He may sign the signature blocks, as applicable, but only the Captain may sign the 'Nil Defects' box after the flight.

When the new pilot has at least 100 hours total experience, has completed all required Safety Equipment Procedure (SEP) training and is recommended by the company Chief Pilot, he may undertake a combined Base & Line check. This will be undertaken by a Type Rating Examiner who must hold a valid C of T for the Group in which the flight is to take place and within the preceding 90 days have completed not less than three free flights, each of at least five minutes' duration, for any purpose, as PIC of a balloon. On a Base & Line check the TRE is Captain and listed as such on the SRP, with the examinee being listed underneath the Captain on the form. The check flight should be certified on the combined base/line check form by the TRE.

The training record of another Operator may be accepted subject to a period of line flying at the discretion, and under the supervision, of the Chief Pilot.

- b) **ANNUAL or RENEWAL Line Check.** The combined base/line check is valid for 13 months. It is the responsibility of the CPL(B) holder to make arrangements for their line check renewal prior to its expiry. Where a CPL(B) holder has more than one Group included in the Aircraft Rating of his licence, a line check in the largest of these Groups will be valid for all smaller Groups.

Provided that the candidate's C of T has not expired and the TRE holds a valid C of T for the Group in which the flight is to take place and that within the preceding 90 days he has completed not less than three free flights, each of at least five minutes' duration, for any purpose, as PIC of a balloon, it is permissible to undertake the flight on a public transport flight; in which case emergencies will be discussed and not simulated. The Technical Log Sector Record Page (SRP) requires that the examiner is Captain and the candidate is P1/s.

Should a pilot run out of check or fail a check, he may not operate a public transport flight until he is again fully qualified. Qualification can be achieved by a satisfactory check on a non-public transport flight, followed by a period of line flying (as appropriate) under the supervision of the Chief Pilot.

6.6 **Safety Equipment and Procedures (SEP)**

- 6.6.1 The purpose of emergency and survival training and testing is to provide pilots with the necessary skills and knowledge to deal with emergency situations. (See also Chapter 6).
- 6.6.2 Operators must ensure that they have an established procedure for all pilots to receive instruction on first-aid, fire, emergency and survival equipment and on any new emergency equipment that is introduced, for example when the region of operations is extended.
- 6.6.3 Suitable training aids will facilitate the presentation of both classroom and practical sessions. Operators who have difficulty in providing the necessary facilities should consult outside specialist training organisations for assistance.

7 Line Pilot Currency Requirements

A line pilot must hold a valid C of T and combined base/line check for the Group in which the flight is to take place. Further, within the preceding 90 days he must have completed not less than three free flights, each of at least five minutes' duration, for any purpose, as PIC of a balloon.

8 Records of Training and Tests

Operators must keep records for all pilots, showing the dates on which tests, ratings, medical certificates, licences etc. are due for renewal. There should also be an effective system to guard against pilots being rostered for duty when checks etc. are overdue, and for verifying that licences etc. have been renewed at the appropriate time.

INTENTIONALLY LEFT BLANK

Chapter 6 Safety Equipment and Procedures – Training, Practice and Testing Requirements for Flight Crew

1 Statutory Requirements

- 1.1 Statutory requirements relating to the training and periodical testing of crews are prescribed in the ANO. The primary purpose of this chapter is to indicate the nature of arrangements considered necessary to secure an adequate standard of compliance with the statutory provisions.
- 1.2 Before operating a public transport flight, pilots are to successfully complete training, practice and tests on the items described below.

2 Provision of Training

- 2.1 Practical training must be under the supervision of a person who has the appropriate specialist knowledge, ability and experience to conduct such training.
- 2.2 Once every three years, flight crew are to attend ground courses on the subjects of basic first-aid and fire safety.
- 2.3 Refresher courses should be booked in good time to prevent expiry of the old qualification. In exceptional cases where every attempt to arrange a refresher course has failed, FOI(GA) may extend the validity of certificates. Applications for such extensions are to be submitted, in writing, prior to the expiry of the qualification giving full details of why renewal was not completed prior to that expiry.
- 2.4 A printed syllabus shall be presented to course attendees at the start of ground courses and printed course notes shall be presented at the end. These will serve as a source of reference during the period between required refresher courses.

3 Basic First-Aid Training and Casualty Handling

- 3.1 First-aid training is to be given by an instructor qualified for the purpose. In case of doubt about the adequacy of an instructor's qualifications, the CAA's Medical Department should be consulted.
- 3.2 The following items are considered as the minimum syllabus items:
 - a) Introduction to First-Aid;
 - b) Primary and secondary surveys for life threatening injuries;
 - c) Resuscitation (Theoretical and Practical):
 - i) Establish airway;
 - ii) Carry out cardiopulmonary resuscitation; and
 - iii) Place casualties in recovery position;
 - d) Burns (Hot and Cold);
 - e) Injuries to Skull, Spine, Chest and Extremities;
 - f) Internal Injuries;
 - g) Bleeding (Internal and External);

- h) Shock;
- i) Moving of Casualties;
- j) Particular problems related to injured children and babies; and
- k) Risk and safety assessment of in-flight medical emergencies.

3.3 Training is to be followed by the successful completion of an appropriate first-aid test.

4 Fire Training

4.1 Fire training must be conducted by a suitably qualified instructor.

4.2 The following items are considered as the minimum syllabus items:

- a) Basic chemistry of combustion;
- b) Characteristics of liquid propane gas;
- c) Characteristics of a liquid propane fire and of a vapour propane fire;
- d) Types of Fire Extinguishers – Identification, properties and operation;
- e) Practical fire fighting on a vapour propane fire;
- f) Use of Halon;
- g) Professional inspection of company fire extinguishers – Frequency and procedure; and
- h) Launch site requirements and topography.

5 Medical Fitness

5.1 The commercial balloon pilot medical requirement for CPL(B) unrestricted holders wishing to undertake public transport flying is a JAR Class 2 medical certificate.

5.2 The Initial JAR Class 2 medical examination and subsequent examinations can be carried out by any UK CAA Aeromedical Examiner (AME). It is not necessary for applicants to visit the CAA Medical Department at Gatwick. However, these are UK licences therefore medical examinations must be done by a UK AME.

5.3 Unlike previous UK national medical certificates, JAA medical certificates expire on a specific date and do not extend to the end of the month of expiry.

5.4 The JAR Class 2 periods of validity are five years for persons aged under 40, two years for ages 40 to 49 and 12 months for persons aged 50 plus.

5.5 The medical requirement for a CPL(B) Restricted to Aerial Work only is a National Private Pilot's Licence (NPPL) Medical Declaration to Driver and Vehicle Licensing Agency (DVLA) Group 2 professional driving standards.

6 Company Ground Personnel

6.1 Good safety management practice indicates that AOC(B) holders' ground based personnel should undertake three-yearly first-aid and fire courses. This will assist an Operator in complying with its duty of care at an unlicensed airfield (launch site) and, in the event of a serious accident whereby it is possible that the pilot may be incapacitated, it is likely that the retrieve crew would be the first to attend the scene.

7 On Line Emergency and Survival Equipment Training and Testing

- 7.1 As part of the Line check, company pilots are to have practised the carrying out of the relevant drills and procedures required in the case of an emergency occurring to the balloon. The following equipment must be included in the training if carried on board:
- a) Sufficient, adequate and suitable first-aid kits and their contents;
 - b) Sufficient, adequate and suitable fire extinguishers;
 - c) Pyrotechnics; and
 - d) Lifejackets.
- 7.2 A company pilot's knowledge of the location and use of the emergency and life saving equipment to be carried in the balloon will be tested by the Type Rating Examiner as part of the Line check.
- 7.3 Company personnel should be given every opportunity to familiarise themselves with all equipment on a regular basis.

INTENTIONALLY LEFT BLANK

Chapter 7 Balloon Continuing Airworthiness Management and Maintenance Support Arrangements

1 Continuing Airworthiness Management and Maintenance Support Arrangements

- 1.1 It is the responsibility of the Operator to satisfy the Civil Aviation Authority, Safety Regulation Group, that the continuing airworthiness management and maintenance support arrangements are compliant with Commission Regulation (EC) No. 2042/2003 as amended. The Operator may hold Part M Subpart F or Part-145 and Part M Subpart G approvals, or contract-out the continuing airworthiness management and maintenance to an organisation(s) which holds Part M Subpart G approval for continuing airworthiness management and either Part M Subpart F or Part-145 for maintenance.
- 1.2 The Operator remains responsible for the safe operation of the balloon even when continuing airworthiness management and maintenance is contracted out and must therefore be satisfied with the standards of airworthiness achieved by the contractor(s). The Operator must monitor the contractor's response to the provisions of the arrangements, employing such technical resources as are necessary to achieve this task.
- 1.3 If the Operator does not hold its own Part M Subpart F and G approvals then there must be a documented internal annual review (audit) of any contracts to ensure both parties have fulfilled their obligations.

2 Operator's Responsibilities

- 2.1 The Operator is responsible for the continuing airworthiness of the balloon and shall ensure that no flight takes place unless:
- a) the balloon is in an airworthy condition;
 - b) any operational and emergency equipment is fitted correctly and is serviceable;
 - c) the C of A and ARC remain valid; and
 - d) the maintenance of the balloon is performed in accordance with an approved maintenance programme.
- If the Balloon Operator holds its own Part M Subpart G for continuing airworthiness and/or Part M Subpart F/Part-145 for maintenance, then the procedures to control continuing airworthiness functions will be contained in the Operator's appropriate Exposition. If continuing airworthiness management and maintenance support is contracted out, the continuing airworthiness tasks contained in Regulation (EC) No. 2042/2003 Part M Subpart C must be controlled by a contracted organisation to achieve full compliance of tasks listed in Part M Subpart C.
- 2.2 The Operator must establish a procedure acceptable to the CAA to ensure that commanders discharge the following responsibilities:
- a) That all servicing/maintenance is carried out including pre-flight checks;

- b) That defects affecting airworthiness or safe operation of the balloon are recorded on the appropriate SRP of the Technical Log; and
 - c) That defects are rectified before flight, by appropriately qualified persons, or are deferred in a manner acceptable to the CAA and in accordance with the provisions of an allowable defects list.
- 2.3 The Operator must liaise with the Part M Subpart G organisation to ensure that the approved maintenance programme is reviewed annually with the object of ensuring that the programme requirements continue to have practical applicability in the light of experience, utilisation and age and adequately meet the maintenance needs of the balloon to ensure the continuing airworthiness of the balloon.
- 2.3.1 The review must take account of variations from the original certification standard of the balloon which may have occurred as a result of modifications and respond to the recommendations of the manufacturer contained in maintenance manuals and service bulletins.

3 Contracted-Out Maintenance

- 3.1 Contracted arrangements for continuing airworthiness management and maintenance does not absolve an Operator from the overall responsibility for ensuring the safe operation and continuing airworthiness of the balloon.
- 3.2 There must be in force an approved arrangement between the Operator and the Part M Subpart G organisation for continuing airworthiness management, giving full details of the division of obligations of the Operator and the obligations of the Part M Subpart G and maintenance organisation(s). Matters to be addressed in such an arrangement are contained in paragraph 5, Continuing Airworthiness Management and Maintenance Arrangement.
- 3.3 In addition to a contract for continuing airworthiness management, there must be also a contract for the maintenance support through a Part M Subpart F/Part-145 approved maintenance organisation. This may either be a separate contract with a different organisation to that of airworthiness management or be a combined contract if the contracted services are with the same organisation.
- 3.4 An Operator must nominate a person for continuing airworthiness liaison purposes. This person will be responsible to the Operator, for liaison on all matters relating to the continuing airworthiness and maintenance contracts and for airworthiness matters affecting the safe operation of the balloon.
- 3.5 An Operator may only arrange separately for the maintenance, overhaul and repair of components with the knowledge and agreement of the contracted Part M Subpart G approved organisation.
- 3.6 In order to be able to discharge its responsibilities for continuing airworthiness, the contracted Part M Subpart G organisation must be able to satisfy themselves on a continuing basis that the requirements of the approved maintenance programme are being complied with and be made aware of any significant reliability trends.
- 3.7 Responsibilities for the assessment and incorporation of manufacturer's Service Information and for compliance with mandatory requirements must be clearly defined in the arrangement.
- 3.8 In its assessment of the overall continuing airworthiness support arrangements provided to the Operator, the CAA will require to examine, and may require to hold copies of, all arrangements between the parties concerned. The CAA must approve these contracts.

- 3.9 Any proposal to change the contracted arrangements must be notified to the CAA at least 28 days prior to the proposed date of implementation.
- 3.10 The Operator must ensure that the contracted Part M Subpart G and Part M Subpart F/Part-145 organisations competently discharge their responsibilities under the arrangements to its satisfaction, and is also responsible for satisfying the CAA that the contracted organisation(s) meets its responsibilities, insofar as they relate to the contracted work.
- 3.11 Whenever a balloon is presented for scheduled or unscheduled maintenance it is essential that a precise indication be given of the maintenance required, all defects known to exist on the balloon plus any additional work required to be carried out (after consultation with the Part M Subpart G organisation as necessary).
- (Part M Subpart F and Part-145 approved maintenance organisations have an existing requirement to ensure Work Orders are formalised, at the time of commencement of any work being undertaken.)
- 3.12 In exercising its responsibilities for the overall control of continuing airworthiness the contracted organisation for continuing airworthiness and maintenance must be satisfied with the completion and certification of any tasks performed by the Operator or by other organisation(s). The use of other maintenance organisations for defect rectification different to the contracted maintenance organisation must be agreed in advance with the contracted Part M Subpart G and F/Part-145 organisation.

4 Contracting-Out Component Maintenance

- 4.1 When an Operator chooses to contract-out maintenance of components independently from the overall arrangements existing for continuing airworthiness management and maintenance support of the balloon, i.e. directly with the component manufacturer, it is essential that the contracted continuing airworthiness management and maintenance organisation:
- a) is fully in agreement with the proposed arrangements;
 - b) is made aware of the status of components fitted to the balloon in respect of modifications, service bulletins and airworthiness directives;
 - c) liaise with the component maintenance contractor in respect of the requirements of the approved maintenance schedule for the balloon, so that the component maintenance reflects the needs of the balloon for airworthiness; and
 - d) ensure that at all times the liaison between the Operator and the Part M Subpart G approved organisation and the approved maintenance organisation is such to ensure continuing airworthiness is achieved.

5 Continuing Airworthiness Management and Maintenance Arrangement

- 5.1 The purpose of the written arrangement is to indicate the divisions of obligations between the Operator and the contracted organisation(s) for the continuing airworthiness and maintenance support of the balloon for which application has been made for an AOC(B).
- 5.2 When an Operator contracts a Part M Subpart G approved continuing airworthiness organisation in accordance with Regulation (EC) No. 2042/2003 M.A.201 to carry out continuing airworthiness management tasks, a copy of the arrangement shall be sent by the Operator to the Competent Authority of the Member State of registry once it has been signed by both parties.

- 5.3 The arrangement shall be developed taking into account the requirements of Part M and shall define the obligations of the signatories in relation to continuing airworthiness of the aircraft.
- 5.4 Regulation (EC) No. 2042/2003 Part M Appendix I states the details to be contained in the Continuing Airworthiness Arrangement (contract).
- 5.5 When an Operator contracts an M.A. Subpart F or Part-145 approved maintenance organisation in accordance with Part M. M.A.201, details of the maintenance contract may be a separate document or combined if the Part M Subpart G and the Part M Subpart F/Part-145 organisation are the same.

6 Deferred and Carried Forward Defects

- 6.1 A system for controlling deferred and carried forward defects must be described in the Operations Manual. When transferring a defect in the Technical Log to the deferred sheets or carrying forward a defect during a maintenance check, the conditions agreed with the CAA for the control of deferred defects must be complied with.

NOTES 1: Deferred defects are defined as those defects reported in operational service which are deferred for later rectification.

2: Carried forward defects are defined as those defects arising during maintenance which are carried forward for rectification at a later maintenance input.

- 6.2 There should be a system to consider the cumulative effect of a number of deferred or carried forward defects occurring on the same balloon. Any restrictions contained in the MEL must be considered. Whenever possible, deferred defects should be made known to the flight crew during pre-flight briefing and by means of the Technical Log Sector Record Page and the deferred defects record.
- 6.3 There should be a procedure to ensure that the period for which defects are deferred or carried forward reflects the importance of the defect as it affects airworthiness and/or safe operation. All defects should be rectified as soon as practicable and at least during the next scheduled inspection.
- 6.4 There should be a procedure to ensure that deferred defects are transferred to worksheets at maintenance periods, and to ensure that deferred defects which have not been actioned during maintenance periods are re-entered on to a new deferred defect record sheet. The original date of the defect must be retained.
- 6.5 There should be a procedure to ensure that the necessary components or parts are made available or ordered on a priority basis, and that they are fitted at the earliest opportunity.
- 6.6 There should be a cross reference in the Technical Log to enable each defect which has been deferred to be traced back to its original entry.
- 6.7 Details of any deferred defects must be brought to the attention of the Part M Subpart G organisation.

7 Technical Records

- 7.1 The person responsible for liaison with the continuing airworthiness organisation must also ensure the completion of the balloon technical records and the details are transferred to the Part M Subpart G contracted organisation:
- a) such that it is possible to ensure that the hours of service or elapsed times quoted in the approved Maintenance Programme are not exceeded as regards components and structural assemblies, and that scheduled maintenance periods are adhered to;
 - b) to record the number of hours or flights, when this information is specified in the approved Maintenance Programme or manufacturer's manuals as a basis for inspection or other necessary action; and
 - c) to process the foregoing information into the appropriate log books or equivalent records, to maintain the records and documents concerning overhaul and repair work, component changes, mandatory modifications and inspections, in conjunction with the Part M Subpart G organisation.
- 7.2 A computer may be used as part of a technical records system with the agreement of the CAA. In this case, procedures should be instituted which will ensure that the computerised record will provide storage, preservation and retrieval to the same level as would have been achieved by hard copy records. CAA acceptance of computerised recording does not exempt the Operator or his contracted maintenance organisation from complying with the appropriate provisions of the ANO or Regulation (EC) No. 2042/2003 for the keeping and retention of records.

NOTE: Guidance material to identify the CAA attitude to the acceptance of computer control systems is contained in Civil Aircraft Airworthiness Information and Procedures (CAP 562), Leaflet C-90, available at www.caa.co.uk/CAP562.

8 Airworthiness Directives and Manufacturers' Technical Information

- 8.1 The Operator and the contracted continuing airworthiness organisation must have procedures to ensure that ADs are complied with as required.
- 8.2 When manufacturer's service information is received, an immediate assessment must be made to establish priority of response. Matters of significant airworthiness importance must be responded to promptly. The assessment will be conducted in conjunction with the contracted Part M Subpart G organisation.
- 8.3 A record of all ADs and non-mandatory modifications should be kept. The record should list all ADs generally applicable to the type, including those not specifically applicable to the individual balloon, including reason for non-applicability. This information is normally recorded in the balloon logbook.
- From time to time EASA may also publish on their website Service Information Bulletins. These must also be assessed for applicability and embodiment as appropriate.
- 8.4 Operators must ensure that the relevant balloon manufacturer is aware that they are users of their balloon so that all relevant service information, details of in-service experience of the balloon and amendments to manuals, including the Flight Manual, are received and embodied in a timely manner. This is especially important where the Operator is not the original owner of the balloon, or it has been leased from the owner.

- 8.5 The Operator or contracted continuing airworthiness management and maintenance organisation, as agreed, must hold and make available to personnel concerned the necessary technical data (e.g. CAA publications, the ANO, European Regulations, manufacturer's manuals, any relevant service information, any other related literature appropriate to the balloon types covered by the AOC and copies of appropriate company manuals, procedures and instructions). A person must be appointed to be responsible for the technical library. For the continuing airworthiness and maintenance regulations and other publications, it is acceptable to access this from the internet providing this can be practically demonstrated at the Operator's premises.
- 8.6 Arrangements must be made for the supply of amendments, so that all publications are kept up to date, and of any additional technical information relevant to the work undertaken.
- 8.7 Arrangements must be made for manuals or sections of manuals, schedules, service information, etc., appropriate to the work undertaken, to be made available and a suitable procedure maintained to ensure that such information is kept up to date.

9 Preparation of Balloon for Flight

- 9.1 The ANO Article concerned with pre-flight action required to be taken by the balloon commander prescribes that he satisfy himself that the balloon is fit in every way to make the intended flight. In order to permit the commander to discharge this responsibility, in respect of the maintenance of the balloon, the Operator must:
- a) ensure that the Operations Manual contains a CAA approved pre-flight inspection to be completed by the crew, with which to verify that the balloon continues to be serviceable. Details of this inspection should also be included in the Technical Log;
 - b) provide information, in the Technical Log, to advise the commander when the next Scheduled Maintenance Inspection (SMI) is due (by flying hours and calendar time); of any defects existing on the balloon affecting its operational airworthiness and safety; and of any maintenance actions falling due before the next SMI;
 - c) ensure that a procedure acceptable to the CAA exists for the control of maintenance actions necessary between SMIs where it may not be practicable to include full details in the Technical Log. In such cases it should be possible for flight crew to verify that no maintenance task is due or will become due before the end of the intended flight;
 - d) provide any other information to the crew concerning the balloon and its systems, including changes resulting from modifications, which may affect the operation of the balloon; and
 - e) have procedures, which will ensure that:
 - i) fuel uplifted prior to flight is free from contamination;
 - ii) refuelling of the balloon is carried out in a controlled manner taking into account essential safety measures for fire prevention;
 - iii) proper attention is given to the rectification of recorded defects, compliance with the allowable defects list and any limitations imposed in respect of the period of flights, flying hours or calendar time;
 - iv) the balloon is serviced and inspected as required by the approved maintenance programme; and
 - v) all emergency and survival equipment within the balloon is serviced and inspected as required by the approved maintenance programme.

10 The Technical Log

10.1 The Operator's Technical Log system should comply with Regulation (EC) No. 2042/2003 Part M M.A.306 and shall be approved by the CAA.

10.1.1 The Technical Log consists of a number of pages such as the SRP and Deferred Defects Record page (DDR), etc. Typical examples are contained in Annex H. In addition to the SRP and DDR, the Technical Log should contain the following information unless cross-referred elsewhere:

- Details of the registered name and address of the Operator, the aircraft type and the complete international registration marks of the aircraft.
- Details of any necessary maintenance support information that the aircraft commander needs to know. Such information would include how and whom to contact if maintenance engineering problems arise.
- Instructions on how to complete the Technical Log.

10.1.2 A Technical Log is required to be kept for any balloon operated for public transport and at the end of every flight (except as indicated below) the balloon commander must enter the following details:

- a) the times when the balloon took off and landed;
- b) particulars of any defect known to him if it affects the airworthiness or safe operation of the balloon (if there are no defects the balloon commander must make an entry to this effect);
- c) any other particulars required by the CAA; and
- d) his/her signature and the date.

10.2 If a number of consecutive flights occur within the same period of 24 hours commencing from the same launch site with the same balloon commander, all entries may be made at the end of the last flight unless a defect becomes known to the commander in the meantime which must be entered as it occurs.

10.3 CAA Requirements

10.3.1 In addition to the particulars required by the ANO, and as indicated above, the Technical Log may contain maintenance control and Flight Crew advisory information for use during the routine operation of the balloon between scheduled maintenance inputs.

10.3.2 The Log must contain pre-serialised SRPs of a design acceptable to the CAA and provision to record Acceptable Deferred Defects which are awaiting rectification.

10.4 AOC (Balloon) Operations

10.4.1 It has become normal practice for AOC(B) Operators to use a single form (in triplicate) to fulfil the functions of the Technical Log, SRP, Loadsheet and Passenger Manifest. An example of such a form is at Appendix 1 to Annex H.

10.5 The Sector Record Page

10.5.1 Each SRP must include provision to record:

- a) the balloon type and registration;
- b) the date, place and times of take-off and landing;
- c) the name and address of the Operator (the address may be omitted if it is printed on the title page to the log);

- d) particulars of defects and rectification action taken;
- e) the completion of the pre-flight inspection;
- f) the fuel state at departure;
- g) a pre-printed Certificate of Release to Service (CRS), with provision for a CRS signature, date and authority for issue, in such a position as to be readily identifiable with the defect entry to which it relates;
- h) the running total of flying hours so that the flying hours remaining to the next inspection can be readily determined, and the date of such inspection; and
- i) the post-flight signature of the balloon commander and the date.

NOTE: This list is not exhaustive and additional records may be required. The supplementary information to be recorded should be assessed by the Operator in consultation with the Part M Subpart G approved organisation and submitted for agreement to the CAA.

10.5.2 The SRP layout should be divided to show clearly what is required to be completed after flight and what is required to be completed in preparation for the next flight.

10.5.3 A typical layout for the SRP is shown at Appendix 1 to Annex H for a Technical Log with a CRS statement where maintenance has been performed by a Part M Subpart F approved organisation. If maintenance is conducted by a Part-145 approved organisation then for the CRS statement refer to Part-145, AMC.145.A. 50(b).

10.6 Retention of Records

10.6.1 All entries made on an SRP must be made in triplicate with provision for one copy of each entry to be removed from the Technical Log and retained on the ground before the next flight commences.

10.6.2 In the case of a balloon, it is not reasonably practicable for the Technical Log to be carried on the flight. As such the Technical Log should be carried within the recovery vehicle with one copy (normally the pink example) of the SRP carried by the commander of the flight.

10.6.3 Arrangements must be made to extract information recorded in the SRP for use by the maintenance organisation. Additional copies of the page may be necessary for this purpose.

10.6.4 The aircraft's Technical Log must be retained by the Operator for a period of 36 months after the date of the last entry.

10.6.5 If the Operator ceases to be the Operator of the balloon, he remains responsible for transferring the records to any other person who becomes the Operator.

10.6.6 The Operator must send copies of the Technical Log SRP to the Part M Subpart G organisation as per the continuing airworthiness arrangement between both parties.

10.7 Acceptable Deferred Defects (ADD)

10.7.1 A procedure for deferring the rectification of defects, where this is permitted by the allowable defects list, for a balloon, should be published in the Operations Manual. A suitable record sheet for this purpose is shown at Appendix 2 to Annex H. However, Operators may develop procedures and records more suited to their methods of defect control, and to permit, for example, recording of rectification attempts and component replacement.

10.7.2 The CAA will investigate an Operator's procedures for deferring defects at the time of application for an AOC to ensure that they will be effective, in practice, and result

in defects remaining unrectified for minimum periods. Any change in procedures must be notified to the CAA for further investigation.

- 10.7.3 When a defect is to be transferred, the 'Action Taken' column of the Sector Record Page should be completed in the following manner:

Transferred to ADD Record sheet serial No Item No

Signed

Date

- 10.7.4 Details of the defect, Sector Record Page serial number, signature of person authorising deferment and date (or balloon hours) of origin, should be entered on the ADD Record. The period for which the deferred defect may be carried should also be stated.

- 10.7.5 On rectification of the defect it is necessary to enter on the current Sector Record Page:

- a) the ADD Record sheet serial number and item number; and
- b) details and date of the original defect and of the rectification, together with the applicable component change date or other action, and to complete the Certificate of Release to Service. The 'Defect Cleared' columns of the ADD Record must then be signed and dated.

- 10.7.6 Completed ADD Records may be removed from the Technical Log at each Scheduled Maintenance Inspection. Where single defects remain current on each page, resulting in numerous pages being carried in the log it is acceptable to consolidate these entries on to a single page for ease of assessment by the crew. When this occurs, the original date of entry must be retained so that the duration of entry can be readily established.

- 10.7.7 Where deferred defects are transferred to worksheets at maintenance periods there should be a procedure to ensure that defects which have not been actioned are re-entered on a new deferred defect record sheet, ensuring that the original date of the defect is retained.

10.8 Procedures

- 10.8.1 Detailed instructions should be given to flight crew and the maintenance organisation's inspectors in the Operations Manual on the manner in which the Technical Log is to be used and completed. These should be repeated in the Log itself if necessary to ensure a disciplined response by pilots and engineers.

- 10.8.2 As a general rule, one legible copy of each Sector Record Page should remain in the log for a sufficient period to permit the identification of a repetitive defect by maintenance engineers at the point of operation. Similarly, deferred defect records should not be removed prematurely. It will be necessary to ensure a balance exists between permitting a degree of defect analysis on the balloon on the one hand and preventing a situation in which too many pages, particularly of deferred defects, obscures the airworthiness status of the balloon.

- 10.8.3 The Operations Manual must include details of procedures and responsibilities for removing and dispatching completed pages to the Part M Subpart G approved organisation. It is essential that details of flights undertaken and any defects, whether rectified or deferred are advised promptly.

10.9 **Continuing Airworthiness Management Exposition (CAME)**

For Operators that have contracted out the Part M Subpart G continuing airworthiness management, Operators must ensure that their organisation is listed in that contracted organisation's CAME. The procedures regarding the obligations of the subcontracted organisation as detailed in the continuing airworthiness management and maintenance arrangements will have been approved under the organisation's Part M Subpart G approval.

For the Operator's obligations, these procedures may either be contained in the Operations Manual or a cross-referred separate document.

The details and procedures should include:

- a) The Operator's nominated continuing airworthiness co-ordinator duties and responsibilities.
- b) Details of the continuing airworthiness management and maintenance support organisations.
- c) Details of the continuing airworthiness management and maintenance arrangements.
- d) Details of the maintenance contract (if not combined with the Part M subpart G organisation).
- e) Details of how unscheduled maintenance is managed.
- f) Details of the approved maintenance programme (including the approval references for each balloon).
- g) Procedures to cover the Operators obligations as detailed in the Continuing Airworthiness arrangement.
- h) Annual audit of the obligations contained in the 3rd party continuing airworthiness management and maintenance arrangement to ensure both the Operator and contracted organisation(s) standards are being upheld.
- i) Procedures for accessing European Regulations and airworthiness information (web based data is acceptable).
- j) Procedures for the retention of Operator held maintenance records.
- k) Explanation of the Airworthiness Review Certificate and the controlled environment.
- l) Documentation to be supplied by the maintenance organisation after maintenance.
- m) Technical Log completion procedures.

Chapter 8 Insurance Requirements for Balloon Operators

1 Introduction

- 1.1 The purpose of this chapter is to advise Operators of the documentation needed to be carried on board aircraft to demonstrate compliance with the insurance requirements, and to avoid delays resulting from inspections carried out, both in the UK and abroad.
- 1.2 Regulation (EC) No. 785/2004 applies to all air carriers and to all aircraft Operators flying within, into, out of or over the territory of an EU Member State. Its objective is to establish minimum insurance requirements for air carriers and aircraft Operators in respect of passengers, baggage, cargo and third parties. Both the EC Regulation, No. 785/2004:
<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2004:138:0001:0006:EN:PDF> and UK Regulations supporting its implementation – namely the Civil Aviation (Insurance) Regulations 2005: www.legislation.gov.uk/ukSI/2005/1089 came into force on 30 April 2005.
- 1.3 The EC and UK Regulations therefore affect Commercial Air Transport, Corporate, Aerial Work and most General Aviation Operators and aircraft. The Regulations do not apply to:
- a) State aircraft;
 - b) model aircraft less than 20 kg;
 - c) foot launched flying machines;
 - d) captive balloons;
 - e) kites; or
 - f) parachutes, including parascending parachutes.
- 1.4 Industry should have been made aware of the new requirements by their insurers. The details have been promulgated by AIC 46/2005 (Yellow 170), *Insurance Requirements for Air Carriers and Aircraft Operators – Regulation (EC) No. 785/2004*.

2 Compliance Monitoring

- 2.1 In the UK, insurance documentation has to be submitted, and checked, as part of the application process for an Operating Licence, as well as at initial aircraft registration and subsequent renewals.
- 2.2 During inspection flight and ramp inspections, CAA Inspectors may check the insurance documentation carried on board UK-registered aircraft. Operators should be aware that Inspectors will need to see evidence of the following to be satisfied that the required insurance is in place (in either an original document or a copy):
- a) The aircraft registration and aircraft type on the document refer to the specific aircraft being checked. In many cases air carriers buy insurance for the fleet and the registration(s) may not always be mentioned. In cases where a fleet policy is provided that does not cite the specific registration(s) of the aircraft being checked, such documentation will be considered acceptable provided it clearly relates to the air carrier that operates that aircraft;

- b) The name of the air carrier on the document is the same as that of the operating air carrier being checked;
 - c) The period of validity on the document is current;
 - d) If the document is conditioned in geographical terms, that the aircraft is insured to operate within the State in which the check is being made;
 - e) It is highly recommended, though not mandatory, that the insurance certificate includes a statement that the air carrier is insured in accordance with the minimum insurance cover requirements of Articles 6 and 7 of EC Regulation No. 785/2004. Whilst such a statement may be included on the insurance certificate, a separate written statement to this effect from the broker of the air carrier concerned will also be acceptable provided that statement clearly makes reference to that air carrier's principal insurance document; and
 - f) The document is signed on behalf of the broker and dated.
- 2.3 Inspectors in other EU countries are also likely to request sight of insurance documentation, and some may expect to find not only the details above, but also evidence that the sums insured are appropriate. Operators should ensure that the documentation carried includes this information.
- 2.4 Provided the documentation on board covers all the above points, no further action will be needed. In the event that an inspection in the UK shows that no insurance documentation is carried by a UK AOC holder, or where the insurance documentation is not adequate to show the aircraft is properly insured, the Operator (and/or the commander) will normally be served with a Notice to Produce – requiring satisfactory documentation showing that the aircraft was properly insured on the date of the Inspection, to be presented to the CAA within 14 days. However, if the CAA Inspector were to conclude that the aircraft is not adequately insured, the Inspector is under a duty to prevent the aircraft taking off. In other EU countries, the aircraft may be detained until satisfactory documentation is produced.
- 2.5 It is therefore in the interests of all concerned to ensure that not only is adequate insurance in place, but also that suitable documentation to demonstrate compliance with the requirements, covering at least the above points, is carried on board every flight.
- 2.6 Similar checks will be carried out on aircraft operated by non-UK AOC holders.
- 2.7 Where an Operator has chosen to reduce a balloon's Maximum Take-Off Mass (MTOM), this must be in accordance with the balloon's approved Flight Manual or Supplement and have been formally agreed with the Aircraft Certification Section of the CAA. Such documentation must also be available for inspection.

3 Recommendation

- 3.1 Operators should ensure that insurance documentation, covering at least the above points, is carried on board every flight.
- 3.2 For public transport balloon flights "carried on board" is deemed to be within either the balloon or the dedicated recovery vehicle.
- 3.3 Operators should make appropriate amendments to their Operations Manuals, to include a change to paragraph 4.5, Flight Documents.

Annex A Useful Publications and Addresses

1 Publications List

Several publications are relevant to, or are referred to in, this publication:

LASORS Licensing Administration and Standardisation, Operating Requirements and Safety

CAP 371 The Avoidance of Fatigue in Aircrews

CAP 382 Mandatory Occurrence Reporting Scheme

CAP 393 Air Navigation: The Order and the Regulations

This includes:

- The Air Navigation Order (ANO)
- The Rules of the Air Regulations
- The Air Navigation (General) Regulations
- The Air Navigation (Cosmic Radiation) Regulations
- Permanent Air Navigation (Restriction of Flying) Regulations
- The Civil Aviation Authority Regulations
- The Air Navigation (Dangerous Goods) Regulations

CAP 403 Flying Displays and Special Events: A Guide to Safety and Administrative Arrangements

CAP 494 British Civil Airworthiness Requirements - Part 31: Manned Free Balloons

CAP 562 Civil Aircraft Airworthiness Information and Procedures

CAP 747 Mandatory Requirements for Airworthiness

CAP 793 Safe Operating Practices at Unlicensed Aerodromes

Official Record Series 5: The CAA Scheme of Charges

Regulation (EC) No. 216/2008 of the European Parliament

Commission Regulation (EC) No. 2042/2003

Commission Regulation (EC) No. 707/2006

Commission Regulation (EC) No. 376/2007

Commission Regulation (EC) No. 1056/2008

EASA Agency Decisions

CS-31HB EASA Certification Specifications for Hot-Air Balloons

These publications are regularly amended. It is the responsibility of the holder to ensure that they always refer to the current issue, as amended. Use of the CAA website www.caa.co.uk and the EASA website www.easa.europa.eu is recommended.

For details of availability of printed copies of CAA publications and registering for e-mail notification of amendments, please see the inside cover of this document.

2 Address List

A list of useful addresses and telephone numbers is given below:

	Subject	Telephone
Safety Regulation Group Civil Aviation Authority Aviation House GATWICK AIRPORT SOUTH West Sussex RH6 0YR		(01293) 567171 Fax: (01293) 573973

Which includes:

Flight Operations Inspectorate (General Aviation)	(Operational Regulation of AOC(B))	(01293) 573717
	(Administrative Matters)	(01293) 573227
		(E-mail: ga@caa.co.uk)
Licensing and Training Standards	(Examination and TREs)	(01293) 573328
	(All Licensing Matters)	(01293) 573700 Press (2)
Airworthiness Evaluation and Surveillance Department	(Maintenance Arrangements)	(01293) 573367
		Fax: (01293) 573984
Safety Data	(Occurrence Reports)	(01293) 573248
Medical Department	(All Medical Matters)	(01293) 573700 Press (1)
Aerodrome Standards	(Fire and Rescue Matters)	(01293) 573279

Air Accidents Investigation Branch Berkshire Copse Road ALDERSHOT Hampshire GU11 2HH		(01252) 512299
		Fax: (01252) 376999

NATS Corporate and Technical Centre 4000 Parkway Whiteley Hampshire PO15 7FL		
		(01489) 616001

Details of the CAA's printers can be found on the inside cover of this CAP.

Websites

CAA	www.caa.co.uk
EASA	www.easa.europa.eu

Annex B AOC (Balloons) Forms, Notes and Charges

Examples of the forms required to apply for, vary or renew an AOC (Balloons) are contained within this Annex.

A specimen return of operating data questionnaire and Form 4 to give details of nominated postholders are also contained within.

These forms are available on the CAA website at:

www.caa.co.uk/SRG1310 for Application Form for an AOC (Balloons)

www.caa.co.uk/SRG1311 for Variation Form for an AOC (Balloons)


www.caa.co.uk/SRG1312 for Renewal Form for an AOC (Balloons)

www.caa.co.uk/SRG2815 for Nominated Postholders for an AOC Company

APPENDIX 1 to ANNEX B	APPLICATION FORM FOR AN AOC (BALLOONS)
APPENDIX 2 to ANNEX B	VARIATION FORM FOR AN AOC (BALLOONS)
APPENDIX 3 to ANNEX B	RENEWAL FORM FOR AN AOC (BALLOONS)
APPENDIX 4 to ANNEX B	RETURN OF OPERATING DATA QUESTIONNAIRE
APPENDIX 5 to ANNEX B	NOMINATED POSTHOLDERS FOR AN AOC COMPANY

INTENTIONALLY LEFT BLANK

Annex B, Appendix 1 Application Form for an Air Operators' Certificate (Balloons)

Application for an Air Operator's Certificate (Balloons)	
<p>Please complete this form online (preferred method) then print, sign and submit as instructed. Alternatively, print, then complete in BLOCK CAPITALS using black or dark blue ink.</p>	
	
Unique Corporate No. (to be completed by CAA) <input type="text"/>	
<p>Please read attached Guidance Notes before completing the technical sections of this form.</p> <p>Please complete either section 1 a) or section 1 b). For all Companies registered at Companies House, please complete section 1 b) only.</p>	
<p>1. APPLICANT DETAILS (The Applicant is the person responsible for payment of CAA charges) (See Notes 1 and 2)</p>	
<p>a) Individual (including sole traders and partnerships)</p>	
Title: Forename: Surname: Address: Postcode: Telephone: Fax: E-mail: Mobile No: Trading Name(s): (if applicable) Website address: In the case of a partnership, please complete details of all partners. Continued on a separate sheet <input type="checkbox"/>	
<p>or b) A Company</p>	
Registered Company Name (in full): Registered Company Number: Country of Company Registration: Registered Office Address: Postcode: Telephone: Fax: E-mail: Mobile: Trading Name(s): (if applicable) Trading Address (primary site): Postcode: Website address:	
<p>Authorised Representative of Company</p> <p>This application is to be signed by either a Director or Company Secretary or a person authorised by the Board to act on behalf of the Company.</p> <p>Title: Forename: Surname: Position in Company: Telephone No: E-mail:</p> <p>If you are a not a Director or Company Secretary and have been authorised to sign the application form on behalf of the Company, proof of that authority must be provided with the completed application form.</p>	
<p>This application will be considered in respect of and, if appropriate, granted to, the Company Name as registered under the Company Number provided on this form.</p>	
Form SRG 1310 (Issue 4)	Page 1 of 5

Types and Registration marks of balloons for which a certificate is required: <i>(See Note 3)</i>	
Type:	Reg(s):
Type:	Reg(s):
Type:	Reg(s):
Type:	Reg(s):
Type:	Reg(s):
Are balloons currently available for inspection? YES <input type="checkbox"/> NO <input type="checkbox"/>	
If not, please give the date on which they will be:	
Details of office accommodation available for use by operating staff: <i>(See Note 4)</i>	
Geographical regions in which it is proposed to operate: <i>(See Note 5)</i>	
State when operations and training manuals will be made available for submission to the CAA: <i>(See Note 6)</i>	
Name and address of organisation responsible for maintenance of each balloon: <i>(See Note 7)</i>	
Names of managerial and executive staff and details of the duties for which each individual is responsible: <i>(See Note 8)</i> <i>(Qualifications and experience to be detailed on CAA Form 4 (SRG 2815) – one Form for each proposed postholder.)</i>	
Names of persons responsible for conducting on behalf of the Operator the periodical tests specified in Part C of Schedule 8 to the Air Navigation Order: <i>(See Note 9)</i> <i>(Qualifications and experience to be detailed on CAA Form 4 (SRG 2815) – one Form for each proposed postholder.)</i>	
Proposed date for the commencement of operations: <i>(See Note 10)</i>	
Please note that a minimum of 30 working days from receipt of an acceptable operations manual and the completed form will be required.	

3. AOC (BALLOONS) APPLICATION CHARGES CALCULATION – Valid from 1 April 2012

Please read Notes prior to completion. (See Note 11 for example.)

1 Sizes of Company Balloon Envelopes (x 1,000 cu.ft.)	2 Number of Company Balloons by Size	3 Passenger Capacity of Balloons (See Notes)	4 Company Passenger Capacities (2 x 3)

5 Company Passenger Capacities (Total of Column 4)	6 AOC Charge
up to 10	£1,626
11 to 20	£1,859
21 to 30	£2,092
31 to 40	£2,324
41 to 50	£2,580
51 to 60	£2,833
61 to 70	£3,086
71+	£3,339

TOTAL 4 ->

USING THE TABLE

The table above allows you to calculate your passenger capacity of the balloon(s) that you require to list within Appendix A of your draft company Operations Manual and hence the cost of an Air Operators Certificate with effect from 1 April 2012.

- In Column 1, enter all of the different envelope sizes of balloons, as detailed in Appendix A of your Operations Manual.
- In Column 2, enter the total number of balloons of each envelope size, as detailed in Appendix A of your Operations Manual.
- In Column 3, enter the passenger capacity for each size of balloon, as detailed in Appendix A of your Operations Manual, using the formula "Maximum Number of Occupants" MINUS ONE.
- On each line, multiply Column 2 by Column 3 and enter the results in Column 4.
- Add up the total in Column 4.
- The AOC charge can be then be read from Column 6 against the passenger capacity in Column 5. (See example in Guidance Note 11).
- If you have any questions, please ring Flight Operations Inspectorate (General Aviation) on +44 (0)1293 573517 or 573227.

4. CHARGES

The charge(s) required as calculated in accordance with the CAA Air Operator and Police Air Operator Scheme of Charges (published in CAA Official Record Series 5) (www.caa.co.uk/ors5) to be paid on application are enclosed herewith.
 NB: This application will not be processed until the applicable charges have been received.

Total charges included are: £

Where charges are to be paid other than by the applicant, please enter the name of the person/company who is paying:

IMPORTANT NOTES:

- **Additional Charges:** Where the cost of the CAA investigations exceeds the application charge payable, the applicant shall pay additional charges to recover those excess costs incurred by the CAA in accordance with the Scheme of Charges.
- **Overseas Visits:** If a Member or employee of the CAA is required to travel overseas in respect of this application you are advised to read the CAA Scheme of Charges to which this application relates and the section entitled 'Additional charge where functions are performed abroad'. All expenses incurred in pursuance of this application by virtue of travelling overseas will be payable by the applicant on demand.
- **Withdrawal/Cancellation of Approval:** In the event that this application is withdrawn by the applicant, a cancellation charge may be levied. The cancellation charge reflects the work carried out by the CAA on behalf of the applicant up to the point of cancellation. Please see the CAA Refunds Policy at www.caa.co.uk/refunds for more information. Where sufficient funds remain from the original application charge, this charge will be deducted from any refund made in respect of the application following cancellation.

5. DECLARATION

I hereby declare that to the best of my knowledge the particulars entered on this application are accurate.

I enclose the charges payable on application in accordance with the Scheme of Charges (www.caa.co.uk/ors5).

I agree to pay any additional charges which may become payable in respect of this application under the Scheme of Charges.

Name of Applicant:
(as shown in 1 a) or 1 b)

Signature of Applicant *(named in 1 a)*:

or Signature of Authorised Representative *(named in 1 b)*:

Date:

FALSE REPRESENTATION STATEMENT

It is an offence to make, with intent to deceive, any false representation for the purpose of procuring the grant, issue, renewal or variation of any certificate, licence, approval, permission or other document. Persons doing so render themselves liable, on summary conviction, to a fine not exceeding the statutory maximum (currently £5000, or in Northern Ireland £2000) and on conviction on indictment to an unlimited fine or imprisonment for a term not exceeding two years or both.

6. SUBMISSION INSTRUCTIONS

When you have completed this Form, please send it to:

Flight Operations Inspectorate (General Aviation)
 Aviation House
 Gatwick Airport South
 West Sussex
 RH6 0YR

E-mail: GA@caa.co.uk

together with payment of the appropriate application charge.

CAA USE ONLY **Applicant's name** **Date of application**

Department: Contact Name:

Job No: Folio No: CAA Account Number:

Nominal Code: Cost Centre: Date received:

If payment is received by cheque, attach a copy to this application form.

The sum of £ has been received by: Date:

Amount paid by: Cheque Cash Card Electronic Transfer*

£ £ £ £

* Receipt of Electronic Transfer to be verified by Treasury.

Cheque drawn against account of:

Bank Account No: Sort Code:

Legal Entity Details

Company – Date of incorporation of Company:

If declaration is signed on behalf of a Company, is declaration signed by a Director or Company Secretary?

If not, then does signatory have authority to sign?

7. PAYMENT DETAILS								
a) Payment type (please tick your chosen method of payment).								
Visa (max. £2000) <input type="checkbox"/>	Mastercard <input type="checkbox"/>	Debit Card <input type="checkbox"/>	Cheque/Banker's Draft <input type="checkbox"/>	Electronic Transfer <input type="checkbox"/>	Cash (max. £200) <input type="checkbox"/>			
We do not accept American Express, Diners Club or JCB cards. Please do not send cash by post.								
b) Bank Details (for payment by Cheque/Banker's Draft)								
Cheques or Postal Orders should be made payable to ' Civil Aviation Authority '. Please write the CAA Application Form No. on the reverse of your cheque. Please note that any refund applicable will be paid directly to the bank account stated below by BACS transfer. Name in which Bank Account held: Account Number: Sort Code: If overseas: IBAN Number: Swift Code:								
c) CAA Bank Account Details (if paying by Electronic Transfer)								
<table style="width: 100%; border: none;"> <tr> <td style="width: 50%; vertical-align: top;"> National Westminster Bank plc Bloomsbury Parr's Branch PO Box 158 214 High Holborn London WC1V 7BX </td> <td style="width: 50%; vertical-align: top;"> Account Name: Civil Aviation Authority Account Number: 36029769 Sort Code: 60-30-06 Swift Code: NWBK GB 2L IBAN: GB90 NWBK 6030 0636 0297 69 </td> </tr> </table> Please supply the following information: Amount: £..... BACS/CHAPS Reference*: * When making an electronic transfer please instruct your bankers to quote the CAA Application Form number followed by the application date in the description field (i.e. Form SRG 1310ddmmyyyy). Payer: Date of Transfer:							National Westminster Bank plc Bloomsbury Parr's Branch PO Box 158 214 High Holborn London WC1V 7BX	Account Name: Civil Aviation Authority Account Number: 36029769 Sort Code: 60-30-06 Swift Code: NWBK GB 2L IBAN: GB90 NWBK 6030 0636 0297 69
National Westminster Bank plc Bloomsbury Parr's Branch PO Box 158 214 High Holborn London WC1V 7BX	Account Name: Civil Aviation Authority Account Number: 36029769 Sort Code: 60-30-06 Swift Code: NWBK GB 2L IBAN: GB90 NWBK 6030 0636 0297 69							
d) Card Details (for payment by Credit/Debit Card)								
Card number: <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>								
Expiry date: <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> Security Code (last 3 digits on signature strip on reverse of card) <input type="text"/> <input type="text"/> <input type="text"/>								
<table style="width: 100%; border: none;"> <tr> <td style="width: 60%; border: 1px solid black; padding: 5px;"> Debit cards only: Start date: <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> Issue No: <input type="text"/> (if applicable) </td> <td style="width: 40%; vertical-align: top;"> Amount: £..... </td> </tr> </table>							Debit cards only: Start date: <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> Issue No: <input type="text"/> (if applicable)	Amount: £.....
Debit cards only: Start date: <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> Issue No: <input type="text"/> (if applicable)	Amount: £.....							
Name (as written on card): (BLOCK CAPS)								
Full postal address of card holder: Postcode:								
Card holder's signature:								
Please tick box if paying with Company Card <input type="checkbox"/> Company Name:								
This information is provided at the applicant's risk and will be used by the CAA for this payment only and will not be used for any other purpose.								

GUIDANCE NOTES FOR COMPLETION OF Form SRG 1310 – Application for an Air Operator's Certificate (Balloons)

Note 1

The particulars given should be those of the person or body who will be the operator of the balloon(s). If the applicant is a person or unincorporated association please complete Section 1a). If the applicant is a company please complete Section 1b).

Note 2

All "trading names" used should be specified. Any "trading names" adopted subsequent to the completion of the application form or the issue of the certificate should be notified to the CAA by way of a Variation application.

Note 3

Give the type and registration mark of each balloon owned or leased to the applicant for operation. If the balloons are not currently available for inspection, give the date on which they will be.

Note 4

Give details of the premises that will be made available for use by staff participating in or supporting the operation of the balloons and where other administrative staff are located. State whether the accommodation is to be used solely by the applicant's staff and give the address if different from Section 1.

Note 5

Certificates will normally be restricted to Region AA, which is Mainland UK. If an applicant requires a non-standard AOC region, he should define the area of proposed operations.

Note 6

Please state whether operations manuals are available for presentation to the CAA. If so, a draft copy should accompany this application.

Note 7

If an Operator does not hold a Part M Subpart G or Part M Subpart F/Part 145 approval, and these are contracted out, then details of the organisations' arrangements including the organisations' approval reference numbers will be required to be submitted. A copy of the arrangements/contract(s) will be required to be submitted to the CAA for approval.

Note 8

The information provided under this heading should give a clear picture of the chain of responsibility, appropriate to the size of the company, for all major aspects of management and of the arrangements for suitably qualified deputies to assume the functions of senior staff temporarily absent from duty. In particular, the person or persons responsible for the following duties should be named:

- a) Accountable Manager
- b) Chief Pilot (Minimum experience 150 hours PIC in balloons)
- c) Operations Manager
- d) Flight Training Manager
- e) Continuing Airworthiness Co-ordinator

Note 9

The persons named should be Type Rating Examiners authorised by the operator to sign, on his behalf, records to be maintained under the relevant provisions of the Air Navigation Order currently in force.

Note 10

The interval between applications and grant or variation of a certificate will depend primarily upon matters within the control of the operator and no undertaking can be given that the CAA will be able to reach a decision within a particular period. Nevertheless, if, after a period of 12 months, the application process has not been substantially progressed, the CAA will consider the application to have lapsed.

Note 11 EXAMPLE CALCULATION

(Example extract from Appendix A, Operations Manual)

Appendix A Company and Balloon Data

Basic Weight of Company Balloons

Balloon Reg.	Type:	Basic Weight	Max No. of Occupants (including Pilot)
G-UNGY	Cameron N-77	250 kg	4
G-ROTI	Cameron A-180	425 kg	11
G-REEN	Lindstrand LBL 180A	451 kg	11
G-			

AOC (Balloons) Application Charges Calculation – Valid from 1 April 2012

1 Sizes of Company Balloon Envelopes (x 1,000 cu.ft.)	2 Number of Company Balloons by Size	3 Passenger Capacity of Balloons (See Notes)	4 Company Passenger Capacities (2 x 3)
77	1	3	3
180	2	10	20


5 Company Passenger Capacities (Total of Column 4)	6 AOC Charge
up to 10	£1,626
11 to 20	£1,859
21 to 30	£2,092
31 to 40	£2,324
41 to 50	£2,580
51 to 60	£2,833
61 to 70	£3,086
71+	£3,339

TOTAL 4 -> **23**

With a total Passenger Capacity of **23** the AOC(B) application charge would fall in the band of 21 to 30 and would be £2,092.

INTENTIONALLY LEFT BLANK

Annex B, Appendix 2 Variation Form for an Air Operators' Certificate (Balloons)

Application to Vary an Air Operator's Certificate (Balloons)	
<p>Please complete this form online (preferred method) then print, sign and submit as instructed. Alternatively, print, then complete in BLOCK CAPITALS using black or dark blue ink.</p>	
	
Unique Corporate No. (to be completed by CAA) <input style="width: 200px;" type="text"/>	
<p>Please read attached Guidance Notes before completing the technical sections of this form.</p> <p>Please complete either section 1 a) or section 1 b). For all Companies registered at Companies House, please complete section 1 b) only.</p>	
1. APPLICANT DETAILS (The Applicant is the person responsible for payment of CAA charges) (See Notes 1 and 2)	
a) Individual (including sole traders and partnerships)	
Title: Forename: Surname: Address: Postcode: Telephone: Fax: E-mail: Mobile: Trading Name(s): (if applicable) Website address: In the case of a partnership, please complete details of all partners. Continued on a separate sheet <input type="checkbox"/>	
or b) A Company	
Registered Company Name (in full): Registered Company Number: Country of Company Registration: Registered Office Address: Postcode: Telephone: Fax: E-mail: Mobile: Trading Name(s): (if applicable) Trading Address (primary site): Postcode: Website address:	
Authorised Representative of Company This application is to be signed by either a Director or Company Secretary or a person authorised by the Board to act on behalf of the Company. Title: Forename: Surname: Position in Company: Telephone No: E-mail: If you are a not a Director or Company Secretary and have been authorised to sign the application form on behalf of the Company, proof of that authority must be provided with the completed application form.	
<p>This application will be considered in respect of and, if appropriate, granted to, the Company Name as registered under the Company Number provided on this form.</p>	
Form SRG 1311 (Issue 4)	Page 1 of 5

2. APPLICATION DETAILS

AOC Number: BL

Are balloons currently available for inspection? YES NO

If not, please give the date on which they will be:

Details of office accommodation available for use by operating staff: *(See Note 3)*Geographical regions in which it is proposed to operate: *(See Note 4)*State when operations manual amendments will be made available for submission to the CAA: *(See Note 5)*Name and address of organisation responsible for maintenance of each balloon: *(See Note 6)*

Names, qualification and experience of managerial and executive staff and details of the duties for which each individual is responsible: *(See Notes 7 and 8)*
(Qualifications and experience to be detailed on CAA Form 4 (SRG 2815) – one Form for each proposed postholder.)

Proposed date for the variation to become effective: *(See Note 9)*

Please note that a minimum of **20** working days from receipt of operations manual material and the completed form will be required to process a variation.

3. AOC (BALLOONS) VARIATION CHARGES CALCULATION – Valid from 1 April 2012

Please tick the box(es) appropriate to your requested variation. Further details may be submitted on separate paper:

	Charge
Change of Company Name, Holder's Name or Trading Name(s)	<input type="checkbox"/> £164
Additional Balloon Groups	<input type="checkbox"/> £165
Additional Region of Operation	<input type="checkbox"/> £165
Change of Nominated Post Holders or CAMO	<input type="checkbox"/> £0
Change to Flight Time Limitations Scheme	<input type="checkbox"/> £623
Other (please detail and state charge from the applicable Scheme of Charges)	<input type="checkbox"/> £

The total fee charged is the largest of those ticked.

4. CHARGES

The charge(s) required as calculated in accordance with the CAA Air Operator and Police Air Operator Scheme of Charges (published in CAA Official Record Series 5) (www.caa.co.uk/ors5) to be paid on application are enclosed herewith.
 NB: This application will not be processed until the applicable charges have been received.

Total charges included are: £

Where charges are to be paid other than by the applicant, please enter the name of the person/company who is paying:

.....

IMPORTANT NOTES:

- **Additional Charges:** Where the cost of the CAA investigations exceeds the application charge payable, the applicant shall pay additional charges to recover those excess costs incurred by the CAA in accordance with the Scheme of Charges.
- **Overseas Visits:** If a Member or employee of the CAA is required to travel overseas in respect of this application you are advised to read the CAA Scheme of Charges to which this application relates and the section entitled 'Additional charge where functions are performed abroad'. All expenses incurred in pursuance of this application by virtue of travelling overseas will be payable by the applicant on demand.
- **Withdrawal/Cancellation of Approval:** In the event that this application is withdrawn by the applicant, a cancellation charge may be levied. The cancellation charge reflects the work carried out by the CAA on behalf of the applicant up to the point of cancellation. Please see the CAA Refunds Policy at www.caa.co.uk/refunds for more information. Where sufficient funds remain from the original application charge, this charge will be deducted from any refund made in respect of the application following cancellation.

5. DECLARATION

I hereby declare that to the best of my knowledge the particulars entered on this application are accurate.

I enclose the charges payable on application in accordance with the Scheme of Charges (www.caa.co.uk/ors5).

I agree to pay any additional charges which may become payable in respect of this application under the Scheme of Charges.

Name of Applicant:
(as shown in 1 a) or 1 b)

Signature of Applicant *(named in 1 a)*:

or Signature of Authorised Representative *(named in 1 b)*:

Date:

FALSE REPRESENTATION STATEMENT

It is an offence to make, with intent to deceive, any false representation for the purpose of procuring the grant, issue, renewal or variation of any certificate, licence, approval, permission or other document. Persons doing so render themselves liable, on summary conviction, to a fine not exceeding the statutory maximum (currently £5000, or in Northern Ireland £2000) and on conviction on indictment to an unlimited fine or imprisonment for a term not exceeding two years or both.

6. SUBMISSION INSTRUCTIONS

When you have completed this Form, please send it to:

Flight Operations Inspectorate (General Aviation)
 Aviation House
 Gatwick Airport South
 West Sussex
 RH6 0YR

E-mail: GA@caa.co.uk

together with payment of the appropriate application charge and all pages of your current Air Operator's Certificate (Balloons).

CAA USE ONLY

Applicant's name **Date of application**

Department: Contact Name:

Job No: Folio No: CAA Account Number:

Nominal Code: Cost Centre: Date received:

If payment is received by cheque, attach a copy to this application form.

The sum of £ has been received by: Date:

Amount paid by:	Cheque	Cash	Card	Electronic Transfer*
	£	£	£	£

* Receipt of Electronic Transfer to be verified by Treasury.

Cheque drawn against account of:

Bank Account No: Sort Code:

Legal Entity Details

Company – Date of incorporation of Company:

If declaration is signed on behalf of a Company, is declaration signed by a Director or Company Secretary?

If not, then does signatory have authority to sign?

7. PAYMENT DETAILS							
a) Payment type (please tick your chosen method of payment).							
Visa (max. £2000) <input type="checkbox"/>	Mastercard <input type="checkbox"/>	Debit Card <input type="checkbox"/>	Cheque/Banker's Draft <input type="checkbox"/>	Electronic Transfer <input type="checkbox"/>	Cash (max. £200) <input type="checkbox"/>		
We do not accept American Express, Diners Club or JCB cards. Please do not send cash by post.							
b) Bank Details (for payment by Cheque/Banker's Draft)							
Cheques or Postal Orders should be made payable to ' Civil Aviation Authority '. Please write the CAA Application Form No. on the reverse of your cheque. Please note that any refund applicable will be paid directly to the bank account stated below by BACS transfer. Name in which Bank Account held: Account Number: Sort Code: If overseas: IBAN Number: Swift Code:							
c) CAA Bank Account Details (if paying by Electronic Transfer)							
National Westminster Bank plc Bloomsbury Parr's Branch PO Box 158 214 High Holborn London WC1V 7BX			Account Name: Civil Aviation Authority Account Number: 36029769 Sort Code: 60-30-06 Swift Code: NWBK GB 2L IBAN: GB90 NWBK 6030 0636 0297 69				
Please supply the following information: Amount: £..... BACS/CHAPS Reference*: * When making an electronic transfer please instruct your bankers to quote the CAA Application Form number followed by the application date in the description field (i.e. Form SRG 1311ddmmyyyy). Payer: Date of Transfer:							
d) Card Details (for payment by Credit/Debit Card)							
Card number: <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>							
Expiry date: <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> Security Code (last 3 digits on signature strip on reverse of card) <input type="text"/> <input type="text"/> <input type="text"/>							
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 5px;"> Debit cards only: Start date: <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> Issue No: <input type="text"/> (if applicable) </td> <td style="padding: 5px; vertical-align: top;"> Amount: £..... </td> </tr> </table>						Debit cards only: Start date: <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> Issue No: <input type="text"/> (if applicable)	Amount: £.....
Debit cards only: Start date: <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> Issue No: <input type="text"/> (if applicable)	Amount: £.....						
Name (as written on card): (BLOCK CAPS)							
Full postal address of card holder: Postcode:							
Card holder's signature:							
Please tick box if paying with Company Card <input type="checkbox"/> Company Name:							
This information is provided at the applicant's risk and will be used by the CAA for this payment only and will not be used for any other purpose.							
Form SRG 1311 (Issue 4)				Page 5 of 5			

GUIDANCE NOTES FOR COMPLETION OF Form SRG 1311 – Application to Vary an Air Operator's Certificate (Balloons)

Note 1

The particulars given should be those of the person or body who will be the operator of the balloon(s). If the applicant is a person or unincorporated association please complete Section 1a). If the applicant is a company please complete Section 1b).

Note 2

All "trading names" used should be specified. Any "trading names" adopted subsequent to the completion of the application form or the issue of the certificate should be notified to the CAA by way of a Variation application.

Note 3

Give details of the premises that will be made available for use by staff participating in or supporting the operation of the balloons and where other administrative staff are located. State whether the accommodation is to be used solely by the applicant's staff and give the address if different from Section 1.

Note 4

Certificates will normally be restricted to Region AA, which is Mainland UK. If an applicant requires a non-standard AOC region, he should define the area of proposed operations.

Note 5

Please state whether operations manuals are available for presentation to the CAA. If so, a draft copy should accompany this application.

Note 6

If an Operator does not hold a Part M Subpart G or Part M Subpart F/Part 145 approval, and these are contracted out, then details of the organisations' arrangements including the organisations' approval reference numbers will be required to be submitted. A copy of the arrangements/contract(s) will be required to be submitted to the CAA for approval.

Note 7

The information provided under this heading should give a clear picture of the chain of responsibility, appropriate to the size of the company, for all major aspects of management and of the arrangements for suitably qualified deputies to assume the functions of senior staff temporarily absent from duty. In particular, the person or persons responsible for the following duties should be named:

- a) Accountable Manager
- b) Chief Pilot (Minimum experience 150 hours PIC in balloons)
- c) Operations Manager
- d) Flight Training Manager
- e) Continuing Airworthiness Co-ordinator

Note 8

The persons named should be Type Rating Examiners authorised by the operator to sign, on his behalf, records to be maintained under the relevant provisions of the Air Navigation Order currently in force.

Note 9

The interval between applications and grant or variation of a certificate will depend primarily upon matters within the control of the operator and no undertaking can be given that the CAA will be able to reach a decision within a particular period. Nevertheless, if, after a period of 12 months, the application process has not been substantially progressed, the CAA will consider the application to have lapsed.

Annex B, Appendix 3 Renewal Form for an Air Operators' Certificate (Balloons)

<h2 style="margin: 0;">Application for Renewal of an Air Operator's Certificate (Balloons)</h2> <p style="font-size: small; margin: 5px 0;">Please complete this form online (preferred method) then print, sign and submit as instructed. Alternatively, print, then complete in BLOCK CAPITALS using black or dark blue ink.</p> <div style="display: flex; justify-content: space-between; align-items: center;"> <div style="font-size: small; color: white;">Unique Corporate No. (to be completed by CAA)</div> <input style="width: 150px; height: 20px; border: 1px solid white;" type="text"/> </div>	
<p>Please read attached Guidance Notes before completing the technical sections of this form.</p> <p>Please complete either section 1 a) or section 1 b). For all Companies registered at Companies House, please complete section 1 b) only.</p>	
<p>1. APPLICANT DETAILS (The Applicant is the person responsible for payment of CAA charges) (See Notes 1 and 2)</p>	
<p>a) Individual (including sole traders and partnerships)</p>	
<p>Title: Forename: Surname:</p> <p>Address: Postcode:</p> <p>Telephone: Fax:</p> <p>E-mail: Mobile No:</p> <p>Trading Name(s): (if applicable)</p> <p>Website address:</p> <p>In the case of a partnership, please complete details of all partners. Continued on a separate sheet <input type="checkbox"/></p>	
<p>or b) A Company</p>	
<p>Registered Company Name (in full):</p> <p>Registered Company Number:</p> <p>Country of Company Registration:</p> <p>Registered Office Address: Postcode:</p> <p>Telephone: Fax:</p> <p>E-mail: Mobile:</p> <p>Trading Name(s): (if applicable)</p> <p>Trading Address (primary site): Postcode:</p> <p>Website address:</p>	
<p>Authorised Representative of Company</p> <p>This application is to be signed by either a Director or Company Secretary or a person authorised by the Board to act on behalf of the Company.</p> <p>Title: Forename: Surname:</p> <p>Position in Company:</p> <p>Telephone No: E-mail:</p> <p>If you are not a Director or Company Secretary and have been authorised to sign the application form on behalf of the Company, proof of that authority must be provided with the completed application form.</p>	
<p>This application will be considered in respect of and, if appropriate, granted to, the Company Name as registered under the Company Number provided on this form.</p>	
<p>Form SRG 1312 (Issue 4)</p>	<p>Page 1 of 5</p>

2. APPLICATION DETAILS

AOC Number: BL

Types and Registration marks of balloons for which a certificate is required: *(See Note 3)*

Type: Reg(s):

Type: Reg(s):

Type: Reg(s):

Type: Reg(s):

Type: Reg(s):

Are balloons currently available for inspection? YES NO

If not, please give the date on which they will be:

Geographical regions in which it is proposed to continue to operate: *(See Note 4)*

Name and address of organisation responsible for maintenance of each balloon: *(See Note 5)*

State any changes to your organisation, staffing and equipment since last application was made: *(See Note 6)*
(Qualifications and experience to be detailed on CAA Form 4 (SRG 2815) – one Form for each proposed postholder.)

The proposed date of renewal of the certificate *(See Note 7)*

Please note that a minimum of **15** working days' notice will be required.

3. AOC (BALLOONS) RENEWAL AND VARIATION CHARGES CALCULATION – Valid from 1 April 2012

Please read Notes prior to completion. (See Note 8 for example.)

1 Sizes of Company Balloon Envelopes (x 1,000 cu.ft.)	2 Number of Company Balloons by Size	3 Passenger Capacity of Balloons (See Notes)	4 Company Passenger Capacities (2 x 3)

5 Company Passenger Capacities (Total of Column 4)	6 AOC Charge
up to 10	£1,082
11 to 20	£1,241
21 to 30	£1,393
31 to 40	£1,548
41 to 50	£1,719
51 to 60	£1,888
61 to 70	£2,057
71+	£2,226

TOTAL 4 ->

USING THE TABLE

The table above allows you to calculate your passenger capacity of the balloon(s) that you require to list within Appendix A of your company Operations Manual and hence the cost of an Air Operators Certificate with effect from 1 April 2012.

- In Column 1, enter all of the different envelope sizes of balloons, as detailed in Appendix A of your Operations Manual.
- In Column 2, enter the total number of balloons of each envelope size, as detailed in Appendix A of your Operations Manual.
- In Column 3, enter the passenger capacity for each size of balloon, as detailed in Appendix A of your Operations Manual, using the formula "Maximum Number of Occupants" MINUS ONE.
- On each line, multiply Column 2 by Column 3 and enter the results in Column 4.
- Add up the total in Column 4.
- The AOC charge can be then be read from Column 6 against the passenger capacity in Column 5. (See example in Guidance Note 8).
- **Please note**, a fee of **£165** is charged to vary your AOC(B), if an amendment has to be made to your certificate, for example a change of operating region or the addition of a new balloon group.
- **Please note**, a fee of **£164** is charged to vary your AOC(B) to change the company name or trading name of the holder where the legal entity is unchanged.
- If you have any questions, please ring Flight Operations Inspectorate (General Aviation) on +44 (0)1293 573517 or 573227.

4. CHARGES

The charge(s) required as calculated in accordance with the CAA Air Operator and Police Air Operator Scheme of Charges (published in CAA Official Record Series 5) (www.caa.co.uk/ors5) to be paid on application are enclosed herewith.
 NB: This application will not be processed until the applicable charges have been received.

Total charges included are: £.....

Where charges are to be paid other than by the applicant, please enter the name of the person/company who is paying:

.....

IMPORTANT NOTES:

- **Additional Charges:** Where the cost of the CAA investigations exceeds the application charge payable, the applicant shall pay additional charges to recover those excess costs incurred by the CAA in accordance with the Scheme of Charges.
- **Overseas Visits:** If a Member or employee of the CAA is required to travel overseas in respect of this application you are advised to read the CAA Scheme of Charges to which this application relates and the section entitled 'Additional charge where functions are performed abroad'. All expenses incurred in pursuance of this application by virtue of travelling overseas will be payable by the applicant on demand.
- **Withdrawal/Cancellation of Approval:** In the event that this application is withdrawn by the applicant, a cancellation charge may be levied. The cancellation charge reflects the work carried out by the CAA on behalf of the applicant up to the point of cancellation. Please see the CAA Refunds Policy at www.caa.co.uk/refunds for more information. Where sufficient funds remain from the original application charge, this charge will be deducted from any refund made in respect of the application following cancellation.

5. DECLARATION

I hereby declare that to the best of my knowledge the particulars entered on this application are accurate.
 I enclose the charges payable on application in accordance with the Scheme of Charges (www.caa.co.uk/ors5).
 I agree to pay any additional charges which may become payable in respect of this application under the Scheme of Charges.

Name of Applicant:
 (as shown in 1 a) or 1 b))

Signature of Applicant (named in 1 a):

or Signature of Authorised Representative (named in 1 b)):

Date:

FALSE REPRESENTATION STATEMENT

It is an offence to make, with intent to deceive, any false representation for the purpose of procuring the grant, issue, renewal or variation of any certificate, licence, approval, permission or other document. Persons doing so render themselves liable, on summary conviction, to a fine not exceeding the statutory maximum (currently £5000, or in Northern Ireland £2000) and on conviction on indictment to an unlimited fine or imprisonment for a term not exceeding two years or both.

6. SUBMISSION INSTRUCTIONS

When you have completed this Form, please send it to:
 Flight Operations Inspectorate (General Aviation)
 Aviation House
 Gatwick Airport South
 West Sussex
 RH6 0YR
 E-mail: GA@caa.co.uk

together with payment of the appropriate application charge and a completed Annual Return of Operating Data questionnaire (Form SRG 1316) if an operational audit visit has not been undertaken within the past 12 months.

CAA USE ONLY

Applicant's name **Date of application**

Department: Contact Name:

Job No: Folio No: CAA Account Number:

Nominal Code: Cost Centre: Date received:

If payment is received by cheque, attach a copy to this application form.

The sum of £ has been received by: Date:

Amount paid by: Cheque Cash Card Electronic Transfer*
 £ £ £ £

* Receipt of Electronic Transfer to be verified by Treasury.

Cheque drawn against account of:

Bank Account No: Sort Code:

Legal Entity Details

Company – Date of incorporation of Company:

If declaration is signed on behalf of a Company, is declaration signed by a Director or Company Secretary?

If not, then does signatory have authority to sign?

7. PAYMENT DETAILS								
a) Payment type (please tick your chosen method of payment).								
Visa (max. £2000) <input type="checkbox"/>	Mastercard <input type="checkbox"/>	Debit Card <input type="checkbox"/>	Cheque/Banker's Draft <input type="checkbox"/>	Electronic Transfer <input type="checkbox"/>	Cash (max. £200) <input type="checkbox"/>			
We do not accept American Express, Diners Club or JCB cards. Please do not send cash by post.								
b) Bank Details (for payment by Cheque/Banker's Draft)								
Cheques or Postal Orders should be made payable to ' Civil Aviation Authority '. Please write the CAA Application Form No. on the reverse of your cheque. Please note that any refund applicable will be paid directly to the bank account stated below by BACS transfer. Name in which Bank Account held: Account Number: Sort Code: If overseas: IBAN Number: Swift Code:								
c) CAA Bank Account Details (if paying by Electronic Transfer)								
<table style="width: 100%; border: none;"> <tr> <td style="width: 50%; vertical-align: top;"> National Westminster Bank plc Bloomsbury Parr's Branch PO Box 158 214 High Holborn London WC1V 7BX </td> <td style="width: 50%; vertical-align: top;"> Account Name: Civil Aviation Authority Account Number: 36029769 Sort Code: 60-30-06 Swift Code: NWBK GB 2L IBAN: GB90 NWBK 6030 0636 0297 69 </td> </tr> </table> Please supply the following information: Amount: £..... BACS/CHAPS Reference*: * When making an electronic transfer please instruct your bankers to quote the CAA Application Form number followed by the application date in the description field (i.e. Form SRG 1312ddmmyyyy). Payer: Date of Transfer:							National Westminster Bank plc Bloomsbury Parr's Branch PO Box 158 214 High Holborn London WC1V 7BX	Account Name: Civil Aviation Authority Account Number: 36029769 Sort Code: 60-30-06 Swift Code: NWBK GB 2L IBAN: GB90 NWBK 6030 0636 0297 69
National Westminster Bank plc Bloomsbury Parr's Branch PO Box 158 214 High Holborn London WC1V 7BX	Account Name: Civil Aviation Authority Account Number: 36029769 Sort Code: 60-30-06 Swift Code: NWBK GB 2L IBAN: GB90 NWBK 6030 0636 0297 69							
d) Card Details (for payment by Credit/Debit Card)								
Card number: <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>								
Expiry date: <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> Security Code (last 3 digits on signature strip on reverse of card) <input type="text"/> <input type="text"/> <input type="text"/>								
<table style="width: 100%; border: none;"> <tr> <td style="width: 60%; border: 1px solid black; padding: 5px;"> Debit cards only: Start date: <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> Issue No: <input type="text"/> (if applicable) </td> <td style="width: 40%; vertical-align: top;"> Amount: £..... </td> </tr> </table>							Debit cards only: Start date: <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> Issue No: <input type="text"/> (if applicable)	Amount: £.....
Debit cards only: Start date: <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> Issue No: <input type="text"/> (if applicable)	Amount: £.....							
Name (as written on card): <div style="text-align: center;">(BLOCK CAPS)</div>								
Full postal address of card holder: Postcode:								
Card holder's signature:								
Please tick box if paying with Company Card <input type="checkbox"/> Company Name:								
This information is provided at the applicant's risk and will be used by the CAA for this payment only and will not be used for any other purpose.								

GUIDANCE NOTES FOR COMPLETION OF Form SRG 1312 – Application for Renewal of an Air Operator's Certificate (Balloons)

Note 1

The particulars given should be those of the person or body who will be the operator of the balloon(s). If the applicant is a person or unincorporated association please complete Section 1a). If the applicant is a company please complete Section 1b).

Note 2

All "trading names" used should be specified. Any "trading names" adopted subsequent to the completion of the application form or the issue of the certificate should be notified to the CAA by way of a Variation application.

Note 3

Give the type and registration mark of each balloon owned or leased to the applicant for operation. If the balloons are not currently available for inspection, give the date on which they will be.

Note 4

Certificates will normally be restricted to Region AA, which is Mainland UK. If an applicant requires a non-standard AOC region, he should define the area of proposed operations.

Note 5

If an Operator does not hold a Part M Subpart G or Part M Subpart F/Part 145 approval, and these are contracted out, then details of the organisations' arrangements including the organisations' approval reference numbers will be required to be submitted. A copy of the arrangements/contract(s) will be required to be submitted to the CAA for approval.

Note 6

The information provided under this heading should give a clear picture of the chain of responsibility, appropriate to the size of the company, for all major aspects of management and of the arrangements for suitably qualified deputies to assume the functions of senior staff temporarily absent from duty. In particular, the person or persons responsible for the following duties should be named:

- a) Accountable Manager
- b) Chief Pilot (Minimum experience 150 hours PIC in balloons)
- c) Operations Manager
- d) Flight Training Manager
- e) Continuing Airworthiness Co-ordinator

Note 7

The interval between applications and grant or variation of a certificate will depend primarily upon matters within the control of the operator and no undertaking can be given that the CAA will be able to reach a decision within a particular period. Nevertheless, if, after a period of 12 months, the application process has not been substantially progressed, the CAA will consider the application to have lapsed.

Note 8 EXAMPLE CALCULATION

(Example extract from Appendix A, Operations Manual)

Appendix A Company and Balloon Data

Basic Weight of Company Balloons

Balloon Reg.	Type:	Basic Weight	Max No. of Occupants (including Pilot)
G-UNGY	Cameron N-77	250 kg	4
G-ROTI	Cameron A-180	425 kg	11
G-REEN	Lindstrand LBL 180A	451 kg	11
G-			

AOC (Balloons) Renewal Charges Calculation – Valid from 1 April 2012

1 Sizes of Company Balloon Envelopes (x 1,000 cu.ft.)	2 Number of Company Balloons by Size	3 Passenger Capacity of Balloons (See Notes)	4 Company Passenger Capacities (2 x 3)
77	1	3	3
180	2	10	20

5 Company Passenger Capacities (Total of Column 4)	6 AOC Charge
up to 10	£1,082
11 to 20	£1,241
21 to 30	£1,393
31 to 40	£1,548
41 to 50	£1,719
51 to 60	£1,888
61 to 70	£2,057
71+	£2,226

TOTAL 4 -> **23**

With a total Passenger Capacity of **23** the AOC(B) application charge would fall in the band of *21 to 30* and would be £1,393.

INTENTIONALLY LEFT BLANK

Annex B, Appendix 4 Return of Operating Data Questionnaire

This Form is available on the CAA website at www.caa.co.uk/SRG1316.

AOC (BALLOONS) – ANNUAL RETURN OF OPERATING DATA

If a full CAA audit has not been undertaken within the preceding 12 months, the provision of the following information covering the preceding 12 month period is required in order for renewal of the AOC(B) certificate. **All said pages must be completed in full, signed and numbered in the bottom right hand corner.** Pages may be copied should extra sheets be required.

Company: **AOC No:**

FACILITIES

ITEM	YES	NO	DATA
OPERATIONS MANUAL	<input type="checkbox"/>	<input type="checkbox"/>	Latest Amendment Date:
LIBRARY: UK Frequency Guide	<input type="checkbox"/>	<input type="checkbox"/>	Type and Edition:
NOTAM Bulletins	<input type="checkbox"/>	<input type="checkbox"/>	Screen <input type="checkbox"/> or Postal <input type="checkbox"/>
AICs	<input type="checkbox"/>	<input type="checkbox"/>	Latest Issue Date:
Aeronautical Charts	<input type="checkbox"/>	<input type="checkbox"/>	Area and Edition:
CAP 393	<input type="checkbox"/>	<input type="checkbox"/>	Last Amendment Date:.....
CAP 611	<input type="checkbox"/>	<input type="checkbox"/>	Last Amendment Date:.....
NUMBER OF FLIGHTS		
NUMBER OF PASSENGERS		
Remarks:			

CHIEF PILOT

ITEM	YES	NO	DATA
NAME OF CHIEF PILOT		
LICENCE No			C/P /B
LICENCE EXPIRY			Date:
BALLOON GROUPS			A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>
JAR MEDICAL CLASS		
JAR MEDICAL VALID	<input type="checkbox"/>	<input type="checkbox"/>	Issue Date: Expiry:
CERTIFICATE OF TEST (13 M)	<input type="checkbox"/>	<input type="checkbox"/>	Issue Date: Expiry:
R/T LICENCE	<input type="checkbox"/>	<input type="checkbox"/>
BASE/LINE CHECK (13 M)	<input type="checkbox"/>	<input type="checkbox"/>	Issue Date: Expiry:
BASE/LINE CHECK TRE			Name:
SEP FIRE CERTIFICATE (3 YRS)	<input type="checkbox"/>	<input type="checkbox"/>	Issue Date: Expiry:
SEP FIRST-AID CERTIFICATE (3YRS)	<input type="checkbox"/>	<input type="checkbox"/>	Issue Date: Expiry:
HOURS			Previous Year: Overall Total:
FTL COPIES HELD	<input type="checkbox"/>	<input type="checkbox"/>
FTL ADMIN HRS RECORDED	<input type="checkbox"/>	<input type="checkbox"/>
Remarks:			

Signature: Date:.....

Form SRG 1316 Issue 8 Page of

PILOTS

AOC No:

Detail all Line Pilots (employed or freelance) that have undertaken flights for the company during the past 12 months. This form may be copied should extra sheets be required.

ITEM	YES	NO	DATA
NAME OF PILOT		
LICENCE No.			C/P/B
LICENCE EXPIRY			Date:
BALLOON GROUPS			A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>
JAR MEDICAL CLASS		
JAR MEDICAL VALID	<input type="checkbox"/>	<input type="checkbox"/>	Issue Date: Expiry:
CERTIFICATE OF TEST (13 M)	<input type="checkbox"/>	<input type="checkbox"/>	Issue Date: Expiry:
R/T LICENCE	<input type="checkbox"/>	<input type="checkbox"/>
BASE/LINE CHECK (13 M)	<input type="checkbox"/>	<input type="checkbox"/>	Issue Date: Expiry:
BASE/LINE CHECK TRE			Name:
SEP FIRE CERTIFICATE (3 YRS)	<input type="checkbox"/>	<input type="checkbox"/>	Issue Date: Expiry:
SEP FIRST-AID CERTIFICATE (3YRS)	<input type="checkbox"/>	<input type="checkbox"/>	Issue Date: Expiry:
HOURS			Previous Year: Overall Total:
FTL COPIES HELD	<input type="checkbox"/>	<input type="checkbox"/>
FTL ADMIN HRS RECORDED	<input type="checkbox"/>	<input type="checkbox"/>
Remarks:			

ITEM	YES	NO	DATA
NAME OF PILOT:		
LICENCE No:			C/P/B
LICENCE EXPIRY:			Date:
BALLOON GROUPS:			A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>
JAR MEDICAL CLASS:		
JAR MEDICAL VALID:	<input type="checkbox"/>	<input type="checkbox"/>	Issue Date: Expiry:
CERTIFICATE OF TEST (13 M):	<input type="checkbox"/>	<input type="checkbox"/>	Issue Date: Expiry:
R/T LICENCE:	<input type="checkbox"/>	<input type="checkbox"/>
BASE/LINE CHECK (13 M)	<input type="checkbox"/>	<input type="checkbox"/>	Issue Date: Expiry:
BASE/LINE CHECK TRE			Name:
SEP FIRE CERTIFICATE (3 YRS)	<input type="checkbox"/>	<input type="checkbox"/>	Issue Date: Expiry:
SEP FIRST-AID CERTIFICATE (3YRS)	<input type="checkbox"/>	<input type="checkbox"/>	Issue Date: Expiry:
HOURS			Previous Year: Overall Total:
FTL COPIES HELD	<input type="checkbox"/>	<input type="checkbox"/>
FTL ADMIN HRS RECORDED	<input type="checkbox"/>	<input type="checkbox"/>
Remarks:			

Signature: Date:.....

BALLOONS

AOC No:

Detail all balloons that are currently listed in the company Operations Manual and any other balloons that have been operated during the last 12 months. This form may be copied should extra sheets be required.

ITEM	YES	NO	DATA
REGISTRATION OF BALLOON			G-
MAKE AND TYPE			C/P /B
YEAR OF MANUFACTURE			Date:
TOTAL HOURS		
CERTIFICATE OF REGISTRATION	<input type="checkbox"/>	<input type="checkbox"/>	Registered Owner
C. of R. DETAILS IN LOGBOOK	<input type="checkbox"/>	<input type="checkbox"/>
CERTIFICATE OF AIRWORTHINESS	<input type="checkbox"/>	<input type="checkbox"/>	Category: Date:
AIRWORTHINESS REVIEW CERTIFICATE (ARC)	<input type="checkbox"/>	<input type="checkbox"/>	Issue Date: Expiry:
PART M SUBPART G ORGANISATION	<input type="checkbox"/>	<input type="checkbox"/>	Name: Approval No:
PART M SUBPART F/PART 145 ORGANISATION	<input type="checkbox"/>	<input type="checkbox"/>	Name: Approval No:
CONTINUING AIRWORTHINESS ARRANGEMENT	<input type="checkbox"/>	<input type="checkbox"/>	Issue Date: Expiry:
MAINTENANCE CONTRACT	<input type="checkbox"/>	<input type="checkbox"/>	Issue Date: Expiry:
LAST ANNUAL INSPECTION			Date:
HOURS AT ANNUAL INSPECTION			At Issue:
APPROVED FLIGHT MANUAL	<input type="checkbox"/>	<input type="checkbox"/>	Issue No:
FIRE EXTINGUISHER	<input type="checkbox"/>	<input type="checkbox"/>	Check Date: Expiry:
FIRST AID KIT	<input type="checkbox"/>	<input type="checkbox"/>	Check Date: Expiry:
FIREPROOF METAL PLATE	<input type="checkbox"/>	<input type="checkbox"/>	
INSURANCE LIMITS			GBP
Remarks:			


ITEM	YES	NO	DATA
REGISTRATION OF BALLOON			G-
MAKE AND TYPE			C/P /B
YEAR OF MANUFACTURE			Date:
TOTAL HOURS		
CERTIFICATE OF REGISTRATION	<input type="checkbox"/>	<input type="checkbox"/>	Registered Owner
C. of R. DETAILS IN LOGBOOK	<input type="checkbox"/>	<input type="checkbox"/>
CERTIFICATE OF AIRWORTHINESS	<input type="checkbox"/>	<input type="checkbox"/>	Category: Date:
AIRWORTHINESS REVIEW CERTIFICATE (ARC)	<input type="checkbox"/>	<input type="checkbox"/>	Issue Date: Expiry:
PART M SUBPART G ORGANISATION	<input type="checkbox"/>	<input type="checkbox"/>	Name: Approval No:
PART M SUBPART F/PART 145 ORGANISATION	<input type="checkbox"/>	<input type="checkbox"/>	Name: Approval No:
CONTINUING AIRWORTHINESS ARRANGEMENT	<input type="checkbox"/>	<input type="checkbox"/>	Issue Date: Expiry:
MAINTENANCE CONTRACT	<input type="checkbox"/>	<input type="checkbox"/>	Issue Date: Expiry:
LAST ANNUAL INSPECTION			Date:
HOURS AT ANNUAL INSPECTION			At Issue:
APPROVED FLIGHT MANUAL	<input type="checkbox"/>	<input type="checkbox"/>	Issue No:
FIRE EXTINGUISHER	<input type="checkbox"/>	<input type="checkbox"/>	Check Date: Expiry:
FIRST AID KIT	<input type="checkbox"/>	<input type="checkbox"/>	Check Date: Expiry:
FIREPROOF METAL PLATE	<input type="checkbox"/>	<input type="checkbox"/>	
INSURANCE LIMITS			GBP
Remarks:			

Signature: Date:.....

INTENTIONALLY LEFT BLANK

Annex B, Appendix 5 Nominated Postholders for an AOC Company

This Form is available on the CAA website at www.caa.co.uk/2815.

Nominated Postholders for an AOC Company (CAA Form 4)		
Please complete this form online (preferred method) then print, sign and submit as instructed. Alternatively, print, then complete in BLOCK CAPITALS using black or dark blue ink.		
Unique Corporate No. (to be completed by CAA) <input type="text"/>		
		
1. Details of Management Personnel required to be accepted as specified in:		
Please tick appropriate box		
EU-OPS 1.185(a)(5) (Aeroplanes) <input type="checkbox"/>	JAR-OPS 3.185(a)(5) (Helicopters) <input type="checkbox"/>	CAP 611, Chapter 2, paragraph 5.73 (Balloons) <input type="checkbox"/>
1. Operator Name:		
2. AOC Number:		
3. Name:		
4. Position:		
2. Qualifications relevant to Position (stated above):		
<div style="border: 1px solid black; height: 300px; width: 100%;"></div>		
CAA Form 4 (SRG 2815) Issue 02	Page 1 of 2	

3. Work Experience relevant to Position (stated in Section 1)

--

4. Return Addresses

On completion, please send this form under confidential cover to:

- The appropriate CAA Regional Manager (Operations) or Deputy at your assigned Regional Office (for Aeroplanes and Helicopters). Regional Office addresses are available at www.caa.co.uk/contacts; or
- Flight Operations Inspectorate (General Aviation)
Safety Regulation Group
Aviation House, 1W
Gatwick Airport South
West Sussex
RH6 0YR
(for Balloons)

5. Declaration

I hereby declare that to the best of my knowledge the particulars entered on this form are accurate.

Signature: Date:

CAA use only

Name and signature of authorised CAA staff member accepting this nomination:

Signature: Date:

Name: Office:

Once accepted, a copy of the completed CAA Form 4 must be returned to the nominee.

Annex C Certificates and Approvals

Examples of Air Operator's Certificate Balloons and the Regulation of Flight Times Approval are contained within this Annex.

APPENDIX 1 to ANNEX C SPECIMEN AIR OPERATOR'S CERTIFICATE (BALLOONS)

APPENDIX 2 to ANNEX C SPECIMEN REGULATION OF FLIGHT TIMES APPROVAL

INTENTIONALLY LEFT BLANK

Annex C, Appendix 1 Air Operator's Certificate (Balloons)

AOC No. BL ###
 AOC Issue No. ##
 Page No. 1 of 3

UNITED KINGDOM CIVIL AVIATION AUTHORITY

AIR OPERATOR CERTIFICATE (BALLOONS)

GRANTED UNDER ARTICLE 12 OF THE AIR NAVIGATION ORDER 2009 TO

AOCHolder

trading as

[The] TradingName

of

Address

This certificate certifies that AOCHolder has satisfied the Civil Aviation Authority (CAA) under Article 12 of the Air Navigation Order 2009 that it is competent to secure the safe operation of aircraft for the purpose of public transport subject to the conditions contained in this certificate.

This certificate is not transferable and is valid for the period shown below unless varied, suspended or revoked.

FROM

TO

OFFICIAL STAMP

11 January 2012

10 January 2013

Issued at: Gatwick

Signature:.....

Date:.....

Name: C Finnigan

Title: Manager, Flight Operations
 Inspectorate (General Aviation)

for the Civil Aviation Authority

AOCHolder
trading as
[The] TradingName

CONDITIONS APPLYING TO THE OPERATION OF AIRCRAFT UNDER THIS CERTIFICATE

1. Flights conducted under this certificate may only be:-
 - (a) on operations of a type specified in accordance with Section A of the attached Operations Specifications;
 - (b) in respect of the types of balloon specified in Section B of the attached Operations Specifications;
 - (c) on flights within the areas of operation specified in Section C of the attached Operations Specifications. and
 - (d) subject to any Special Limitations specified in Section D of the attached Operations Specifications.
2. This certificate does not authorise commercial air transport flights required to be conducted under and in accordance with Annex III to EC Regulation 3922/91 ("EU-OPS").
3. This certificate is not valid during the continuance of the breach of any condition; provided that a breach of a condition which relates to a particular type of balloon only does not render this certificate invalid in respect of any other type of balloon.
4. Any person authorised by the CAA for the purpose shall have access to any premises in the occupation or control of the holder of this certificate for the purpose of examining the premises and any document, equipment, tools or material relating to the operation of balloon under this certificate.
5. Any person authorised by the CAA for the purpose shall be permitted at any time to board and fly in any balloon operated under this certificate, and to enter and remain in the balloon basket; provided that the commander of the aircraft may refuse access to the balloon basket if, in the commander's opinion, the safety of the balloon would thereby be endangered.
6. Any person appointed by the CAA for the purpose shall be permitted to board and fly in any balloon in which any person is given a periodical test by or on behalf of the holder of this certificate. This appointed person shall be permitted to witness the test and may for that purpose enter and remain in the balloon basket; provided that the commander of the aircraft may refuse access to the balloon basket if, in the commander's opinion, the safety of the balloon would thereby be endangered.
7. Every flight under this certificate must be conducted in accordance with the provisions of the operations manual required for the balloon.
8. The holder of this certificate must give to the CAA (for the attention of the Flight Operations Inspectorate (General Aviation)) not less than 14 days' notice in writing of the intended abolition of any of the nominated posts specified in Section H of the attached Operations Specifications, or any intended change in the person holding the post, or in their duties.
9. The holder of this certificate shall give to the CAA (for the attention of the Safety Regulation Group) not less than 28 days' notice in writing of any intended change in the employment or cessation of the employment of a Contractor to maintain any of the balloon or any part of its equipment, or any intended change in the duties of the Contractor.
10. The holder of this certificate shall give to the CAA (for the attention of the Head of Flight Operations Inspectorate (2)) immediate notice, in writing, if the Company goes into liquidation, or is placed into receivership or administration, and the name of the liquidator, receiver or administrator.

NOTES:

1. The holder of this certificate must, in accordance with the Air Navigation Order, supply to the CAA a copy of every operations manual for the time being in effect concerning the operation of the balloon under this certificate.
2. The holder of this certificate has been granted the Special Authorisations and Approvals specified in Section E of the attached Operations Specifications.
3. The holder of this certificate either holds the Continued Airworthiness Management Organisation Approval, or contracts-out to an organisation which holds the appropriate Approval, specified in Section G of the attached Operations Specifications.

AOC No. BL ###
 Ops Spec Issue No. ##
 Page No. 3 of 3

UNITED KINGDOM AIR OPERATOR CERTIFICATE (BALLOONS)

AOCHolder

trading as

[The] TradingName

OPERATIONS SPECIFICATIONS

- | | |
|--|--|
| A) Type(s) of Operations | A1 – Passengers |
| B) Type(s) of Aircraft | Hot-air balloons – Group A
Hot-air balloons – Group B
Hot-air balloons – Group C |
| C) Area(s) of Operation | Region AA – which shall be construed as references to mainland United Kingdom, including the Isle of Man, the Isle of Wight, the Hebrides, the Shetlands, the Orkney Islands, the Isles of Scilly; and not beyond any point to seaward more than 1 nautical mile from the Spring Tide high water mark. |
| D) Special Limitations | Nil |
| E) Special Authorisations / Approvals | Nil |
| F) Aircraft Registration Marks | This information omitted with the approval of the Civil Aviation Authority. Registrations must be listed in the company Operations Manual |
| G) Continued Airworthiness | Contracted-out Continued Airworthiness Management Organisation: British Balloon & Airship Club, UK.MF.0064 and UK.MG.0464 or Cameron Balloons Ltd, UK.MF.0041 and UK.MG.0448 or Easy Balloons Ltd, UK.MF.0082 and UK.MG.0610. |
| H) Nominated Posts | Accountable Manager
Chief Pilot (Groups A, B & C)
Operations Manager
Flight Training Manager
Type Rating Examiner
Continuing Airworthiness Manager |

Signature:.....

Title: Manager, Flight Operations
Inspectorate (General Aviation)

Name: C Finnigan

Date:.....

INTENTIONALLY LEFT BLANK

Annex C, Appendix 2 Regulation of Flight Times Approval

CIVIL AVIATION AUTHORITY

AIR NAVIGATION ORDER 2009

APPROVAL

Regulation of Flight Times



The Civil Aviation Authority pursuant to paragraph (1)(b) of article 145 of the Air Navigation Order 2009, hereby approves the scheme established by **[company name or proprietor's name T/A all trading names]** in accordance with paragraph (1)(a) of the said article and submitted as Chapter 3, to the initial issue of the Company Operations Manual.

This approval shall remain in force from the date hereof until varied, revoked or suspended.

Signed:
for the Civil Aviation Authority

Date:

EXAMPLE

SRG 1309 (CA2348) Dec 2009

INTENTIONALLY LEFT BLANK

Annex D CAA Liaison and Audit Visits

Notes for AOC(B) Holders

The following notes give details of the various checks that may be undertaken during a CAA visit. It is sent to you now to help you prepare for the visit and to ensure that all necessary documentation is available for the CAA Inspector or Surveyor.

Please remember that serious non-conformities noted during a CAA audit could result in the suspension of an AOC(B) or the refusal to renew an AOC(B). You are strongly recommended to study these notes in good time and be well prepared for the CAA visit.

Sector Record Pages

(to include all balloons operated in accordance with the AOC(B) since the last CAA visit)

- Completed copies of all Technical Log SRPs, having been audited by the Operations Manager and corrected, initialled and dated where necessary.
- The lift calculations, fuel calculations and actual weights used will be randomly checked for accuracy as will the recorded weather information.
- The empty weight of the balloon must be the same as is listed in the company Operations Manual.

Crew Records

(to include all flying staff who have undertaken any public transport flying for the company since the last CAA visit)

- Training records, including Safety Equipment.
- Full copies of all Licence details, as amended.
- Current Training Check Form, signed by company Chief Pilot.
- Flight and Duty Time Records.
- Procedures for monitoring above.

Balloons (Operational)

(to include all balloons operated in accordance with the AOC(B) since the last CAA visit)

- Completed Balloon Log Book and current CRS.
- C of A in the EASA Standard category and an ARC.
- Certificate of Registration.
- Approved Flight Manual, as amended.
- Company Operations Manual, as amended.
- Valid Maintenance Arrangements.
- Maintenance Programme, as amended.
- Monthly Technical Updates, signed by company Chief Pilot.
- Procedures for monitoring above.

NOTE: All balloons must be available for actual inspection during the visit, unless an accompanied inspection flight is also being undertaken.

Accompanied/Observed Flight Inspection

(accompanied flights will be pre-notified in a covering letter)

- To assess that the flight is undertaken with due regard for safety and in compliance with aviation law, the company Operations Manual and the approved Flight Manual.
- Knowledge of aviation law, the company Operations Manual and the approved Flight Manual.
- Meteorological briefing and route knowledge.
- Actions in the event of an emergency.
- Co-operation with ground crew.
- Passenger briefing and handling.
- Condition and security of balloon equipment.
- Appropriate elements of other checks, unless this check is undertaken at the same time as the base visit.

Operations Manual

- Correctly amended in accordance with published company procedures and CAA guidance or requirements.
- Presentation and readability (hard copy and electronic copy).
- All copies available and amended to the latest amendment record.

Facilities and Organisation

- Suitability of an Operator's organisation, base facilities and equipment in relation to the nature and scale of the operation or proposed operation.
- Adequacy of office services and accommodation.
- Display of safety information documents, current planning charts and meteorological information.
- Operations Library, as detailed below:

Operations Library – Aeronautical Information

- Temporary Navigation Warning NOTAM Bulletins (hard copies or screen based).
- Pre-Flight Route and Aerodrome NOTAM Information Bulletins (hard copies or screen based).
- Aeronautical Information Circulars, as amended (hard copies or screen based).
- CAP 393 - Air Navigation: The Order and The Regulations, as amended (hard copies or screen based).
- CAP 611 - Air Operators' Certificates: Operation of Balloons, as amended, to include all relevant current CAA Safety Directives, Safety Notices and Information Notices (hard copy to be maintained).
- UK Frequency Guide (Pooleys or equivalent), as amended.
- Latest issue aeronautical 1/2 and/or 1/4 million air charts and appropriate maps.
- Procedures for procurement, amendment and dissemination of the above, as required.

Maintenance Arrangements

(to include all balloons operated in accordance with the AOC(B) since the last CAA visit)

- Balloon Inspection.¹
- Balloon Log Book and Maintenance Records.
- CAA Approved Flight Manual, as amended.
- Completion of Technical Log SRPs.
- Completion of Pre-flight Checks.
- Compliance with ADs.
- Current CRS.
- Deferred Defects and subsequent Rectification.
- Liaison with the contracted Part M Subpart G and F approved organisations.
- Maintenance Records and Standards.
- Valid Continuing Airworthiness Management and Maintenance Arrangements.

Safety Management System (SMS)

- Discussion of company's approach to safety management.
- SMS policy adopted.
- Review of Operator's Phase 1 SMS Evaluation Framework.
- Introduction of Phase 2 Evaluation Tool.
- Safety literature availability.
- Risk Assessment procedures and documentation.

Congested Area Take-off Exemption

- Copies of the current Exemption for BBAC members available for inspection (where required).
- All pilots to be current BBAC members (where required).
- Discussion of company assessment procedures and guidelines for pilots on the suitability of individual congested area sites.
- Procedures for monitoring above.

Insurance Check

- An inspection of the insurance certificate for each company balloon will be required to ensure compliance with EC Directive 785/2004. If the MTOM for any balloon has been reduced, this will be cross checked against Appendix L, Operations Manual, appropriate SRPs and the Flight Manual Supplement.

Annual Number of Sectors and Passengers

(this information will remain confidential)

- The number of Public Transport Sectors flown and the number of passengers carried by the company over the 12 months immediately preceding the base visit is requested in order that the CAA can monitor trends and the overall scale of the activity.

1. During the audit, the basket and its associated equipment should normally be made available for inspection. A further inspection of the envelope may be arranged at a more mutually convenient time, i.e. before or after a flight, during inspection or repair.

INTENTIONALLY LEFT BLANK

Annex E Safety Management

1 Non-Complex Organisation Phase 1 Evaluation Tool / Self-assessment questions

The Phase 1 Evaluation Framework should be used for organisations implementing SMS and should be completed first to determine compliance with the SMS framework. It should be completed by organisations to demonstrate how they have implemented and established a working SMS and be provided to the CAA who will arrange a visit to assess the SMS.

Organisation:	Approval Reference(s):
----------------------	-------------------------------

Signature:	Position:
Print Name:	Date of signing:
SMS Manual Revision:	

To be completed and signed for by the Safety Manager or Accountable Manager

For CAA use only

CAA Staff Name			
Date of Phase 1 assessment:			
Date of Phase 1 completed:			
Signature			

	Guidance Ref		Compliance Y/N/Partial	Comments/Reference to compliance
Management commitment and responsibility	5.1	Is there a written safety policy endorsed by the Accountable Manager?		
	5.1	Does Senior Management continuously promote and demonstrate its commitment to the safety policy?		
	5.1	Has the safety policy been communicated effectively throughout the organisation?		
	5.1	Does the safety policy cover the points in this guidance material?		
Safety accountabilities	5.2	Are the safety accountabilities and responsibilities of the Accountable Manager and other key staff members clearly defined and published for all staff and contractors to see?		
	5.2	Does the Accountable Manager have full responsibility for the SMS and authority to make decisions regarding the budget?		
	5.2	Has the management structure of the organisation been defined?		
	5.2	Are all staff members aware of their safety roles and responsibilities?		

	Guidance Ref		Compliance Y/N/Partial	Comments/Reference to compliance
Appointment of key safety staff members	5.3	Has a focal point / Safety Manager for the SMS been appointed?		
	5.3	Is there a direct reporting line between the SMS focal point / Safety Manager and the Accountable Manager?		
	5.3	Does the SMS focal point / Safety Manager have the appropriate SMS knowledge and understanding?		
	5.3	Does the organisation have a Safety Committee?		
	5.3	Does the Safety Committee monitor the safety performance and the effectiveness of the SMS?		
	5.3	Does the Safety Committee meet regularly and are the meetings minuted?		
Emergency response planning	5.4	Has an Emergency Response Plan (ERP) been developed and is it kept up to date?		
	5.4	Are the roles, responsibilities and actions of key staff members defined in the ERP?		
	5.4	Does the ERP include all the considerations in this guidance material if appropriate?		
	5.4	Is the ERP regularly reviewed and tested?		

	Guidance Ref		Compliance Y/N/Partial	Comments/Reference to compliance
Safety documentation	5.5	Does the safety management manual or safety documentation in existing manuals contain all the elements as detailed in this guidance material?		
	5.5	Is it regularly reviewed?		
	5.5	Is there a system for the recording and storage of SMS documentation and records (i.e. hazard logs, risk assessments, safety reports from staff/contractors and safety cases)?		
Hazard identification	6.2	Is there a confidential safety reporting system?		
	6.2	Are safety reports assigned an 'owner' and reviewed by the Safety Committee?		
	6.2	Is there feedback to the reporter?		
	6.3	Is there a written procedure describing how hazards are identified?		
	6.3	Have the major hazards associated with the organisation been identified?		

	Guidance Ref		Compliance Y/N/Partial	Comments/Reference to compliance
Risk assessment and mitigation	6.4	Is there a risk assessment process in place?		
	6.4	Is the risk tolerability matrix appropriate and can it be applied consistently?		
	6.4	Is there a process for deciding any necessary risk mitigation?		
	6.4	Are risk mitigations and controls being verified/ audited to confirm the effectiveness?		
	6.7	Are risks being managed to a reasonable level?		
	6.9	Are the hazards and risks recorded on a hazard log?		
Safety performance monitoring	7.2	Have safety performance indicators been defined?		
	7.3	Are the safety performance indicators reviewed regularly to identify any trends?		
Management of change	7.4	Is there a process to proactively identify hazards and to mitigate risks when significant changes in the organisation occur?		

	Guidance Ref		Compliance Y/N/Partial	Comments/Reference to compliance
Incident management	7.5	Are safety investigations carried out after incidents or accidents to establish root cause?		
	7.5	Are the hazards identified from safety investigations addressed and communicated to the rest of the organisation?		
Continuous improvement	7.6	Is continuous improvement in the safety performance being achieved?		
Safety auditing	7.7	Are safety audits and surveys carried out?		
	7.7	Is there an independent quality system or third party agency that audits the SMS?		
Safety training	8.1	Have all staff been appropriately trained in respect of the SMS and their safety roles and responsibilities?		
Communication	8.2	Does safety-related information get communicated to all staff members as appropriate?		
	8.2	Does relevant safety information reach external users/ customers etc?		

	Guidance Ref		Compliance Y/N/Partial	Comments/Reference to compliance
SMS implementation	9.1	Has a gap analysis been carried out?		
	9.2	Is there an SMS implementation plan?		
	9.2	Does the implementation plan reflect the gap analysis?		
	9.2	Is the implementation plan on target?		

2 SMS Risk Assessment Matrix

This simple procedure should suit the needs of most GA Operators. If you require further advice on risk assessment please contact the SMS expert at Safety Regulation Group, CAA on +44 (0)1293 573653.

The assessment process must be undertaken by someone who is aware of the risks associated with the activity being assessed and who will use sound judgement in the preparation of the assessment. The assessor should also be aware that, in the event of a subsequent accident or incident, their risk assessment process may be challenged.

Risk = The Severity of the Hazard x The Likelihood of Occurrence

Types of Hazard

The following list provides examples of CAP 611 Operator hazards. It is not exhaustive, merely an example of the types of hazard that should be considered:

Wire Strike; Unexpected/Forecast Change in Weather; Fire in the Air; Hard Landing; Landing Resulting in Third Party Casualties or Damage; Landing in Unsuitable Terrain; Passenger Incapacitation in the Air; Fuel Exhaustion; Passenger Incapacitation on the Ground; Ditching; Lightning Strike; Pilot Incapacitation; Structural Failure; Control Failure; Fire on the Ground; Contaminated Fuel; Loose Articles in Basket; Loss of Control.

3 Assessment

Assessment of likelihood and severity of hazard is subjective and is based on personal experience of the activity under assessment or statistical evidence when available.

Severity of Hazard

The severity of a hazard should be assessed under the following headings, depending on the possible outcome should the hazard become a reality, and allocated a score:

Trivial	Minor Injury	Serious Injury	Single Fatality	Multiple Fatality
1	2	3	4	5

Likelihood of Occurrence

The likelihood of the hazard occurring should be assessed against the following headings and again allocated a score:

Highly Unlikely	Unlikely	Quite Possible	Likely	Highly Likely
1	2	3	4	5

Matrix Production

Once Severity and Likelihood levels have been decided they should be entered in the matrix.

Hazard	Severity	Likelihood	Rating	Mitigation	M/Factor	Final Rating
Wire Strike	3	3	9	Highlight all wires on charts	Likelihood reduced to 2	6
Fire in the Air	4	2	8	Good engineering practices	Likelihood reduced to 1	4
Landing in Unsuitable Terrain	3	4	12	Good weather check & good flight planning	Likelihood reduced to 2	6

The content of the above table is for example only and does not imply or infer a risk level.

Risk Rating

The Risk Rating is the figure obtained when the Severity assessment is multiplied by the Likelihood assessment.

A resultant figure of less than 6 indicates a low risk; a figure between 6 and 15 a medium risk; and a figure greater than 15 a high risk.

High risk ratings should generally be deemed unacceptable and mitigation sought to reduce the rating to an acceptable level – medium or better.

Mitigation

Mitigation action should be taken whenever possible to reduce risk ratings even when the risk is low.

Risk Assessment Audit Trail

Organisations should record and retain the details of their risk assessment process.

Annex F Occurrence Reporting

Examples of the CAA Occurrence Report Form and the BBAC Balloon Safety Report are contained within this Annex.


APPENDIX 1 to ANNEX F SPECIMEN OCCURRENCE REPORT FORM

APPENDIX 2 to ANNEX F SPECIMEN BBAC BALLOON SAFETY REPORT

INTENTIONALLY LEFT BLANK

Annex F, Appendix 1 Occurrence Report Form

The current version of this Form is available at www.caa.co.uk/formsrcg1601

UK Civil Aviation Authority		CAA Occurrence Number <div style="border: 1px solid black; height: 20px; width: 100%;"></div>		
OCCURRENCE REPORT		If report is CONFIDENTIAL - mark clearly at the top and provide contact address/Tel no. Your wish will be respected.		
Safety Data, Civil Aviation Authority, Safety Regulation Group, Aviation House, Gatwick Airport South, West Sussex, RH6 0YR e-mail: sdd@caa.co.uk Fax: 01293 573972 Tel: 01293 573220		Reporter's Ref: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>		
Please complete this form online, print, sign and send it to the above address.				
AIRCRAFT TYPE & SERIES		REGISTRATION	DATE (dd/mm/yyyy)	TIME OF EVENT DAY <input type="checkbox"/> NIGHT <input type="checkbox"/> TWILIGHT <input type="checkbox"/>
OPERATOR		LOCATION/POSITION/RW		
FLIGHT NO.	ROUTE FROM	ROUTE TO	FL <input type="checkbox"/> ALT/HT (FT) <input type="checkbox"/> IAS (KT) <input type="checkbox"/> IFR <input type="checkbox"/> VFR <input type="checkbox"/>	TCAS RA YES <input type="checkbox"/> NO <input type="checkbox"/>
NATURE OF FLIGHT Please Select		FLIGHT PHASE Please Select		
ENVIRONMENTAL DETAILS				
WIND DIRN.	WIND SPEED (kt)	CLOUD TYPE	CLOUD HT (ft)	PRECIPITATION Please Select
OTHER METEOROLOGICAL CONDITIONS		VISIBILITY	ICING Please Select	TURBULENCE Please Select
OAT (°C)		RUNWAY STATE Please Select		CATEGORY Please Select
BRIEF TITLE				
DESCRIPTION OF OCCURRENCE				
<div style="position: absolute; top: 50%; left: 50%; transform: translate(-50%, -50%); opacity: 0.3; font-size: 100px; pointer-events: none;">EXAMINER</div>				
Any procedures, manuals, pubs. (AIC, AD, SB etc.) directly relevant to occurrence and (where appropriate) compliance state of aircraft, equipment or documentation.				

GROUND STAFF REPORT																	
A/C CONSTRUCTOR'S NO.		ENGINE TYPE/SERIES		ETOPS APPROVED YES <input type="checkbox"/> NO <input type="checkbox"/>		GROUND PHASE			MAINTENANCE ORGANISATION TEL.								
						MAINTENANCE <input type="checkbox"/>											
						GROUND HANDLING <input type="checkbox"/>											
UNATTENDED <input type="checkbox"/>																	
COMPONENT/PART			MANUFACTURER			PART NO.			SERIAL NO.								
REFERENCES:- MANUAL/ATA/IPC						COMPONENT OH/REPAIR ORGANISATION											
ORGANISATION AND APPROVAL REFERENCE				NAME				POSITION									
SIGNATURE										DATE (dd/mm/yyyy)							
If report is voluntary (i.e. not subject to mandatory requirements) can the information be published in the interests of safety?		YES <input type="checkbox"/>	Address and tel.no. (if reporter wishes to be contacted privately).						NOTE 1: If additional information, as below, is available, please provide. NOTE 2: If the occurrence is related to a design or manufacturing deficiency, the manufacturer should also be advised promptly. NOTE 3: Where applicable, a report of this incident should be forwarded directly to other agencies involved, e.g. Aerodrome Authority, ATC agency.								
		NO <input type="checkbox"/>															
REPORTING ORGANISATION - REPORT																	
ORGANISATION COMMENTS - ASSESSMENT/ACTION TAKEN/SUGGESTIONS TO PREVENT																	
EXAMPL																	
UTILISATION - AIRCRAFT						UTILISATION - ENGINE/COMPONENT						MANUFACTURER ADVISED					
		TOTAL		SINCE OH/REPAIR		SINCE INSPECTION				TOTAL		SINCE OH/REPAIR		SINCE INSPECTION			
HOURS CYCLES LANDINGS								HOURS CYCLES LANDINGS								YES <input type="checkbox"/>	NO <input type="checkbox"/>
REPORTING ORGANISATION				TEL.		REPORTER'S REF		REPORT		REPORTER'S INVESTIGATION			FDR DATA RETAINED				
E-MAIL				FAX				NEW <input type="checkbox"/>	SUPPL <input type="checkbox"/>	NIL <input type="checkbox"/>	CLOSED <input type="checkbox"/>	OPEN <input type="checkbox"/>	YES <input type="checkbox"/>	NO <input type="checkbox"/>			
NAME				POSITION								TEL.					
E-MAIL						SIGNATURE						DATE (dd/mm/yyyy)					

Annex F, Appendix 2 BBAC Balloon Safety Report

BALLOON SAFETY REPORT/.....		
(Shaded Areas for Safety Officer's use only)		
BALLOON DETAILS		REGISTRATION:-
Make	Type	Total hrs flown
Year of Manufacture	Size	Current C of A YES/NO*
Burners (Number and Type)		
Basket Type§		
Deflation system (please state type) ¶		
C of A Category	(a Public Transport (NB: MOR req.) (b Aerial Work (c Private	(d Experimental (e Other (please state)
§ Please state type of base of basket and if it has a cushion floor. ¶ e.g. parachute, velcro, Paraplu, SuperChute, Smart Vent etc.		
CONFIDENTIAL DETAILS¹		Date TimeLocal/UTC
Pilot in Command	Balloon Operator	AOC No.....
Telephone No(s)	Reporter's Name	Reporter's Tel
Address		
Take-off site	Grid Ref.	
Incident Location	(& Sheet No.)	
¹ See Note 1.		
NATURE OF FLIGHT a. Training <input type="checkbox"/> b. Private <input type="checkbox"/> c. Public Transport <input type="checkbox"/> d. Aerial work <input type="checkbox"/> e. Record Attempt <input type="checkbox"/> f. Other (please state) <input type="checkbox"/>	PHASE OF FLIGHT a. Inflation <input type="checkbox"/> b. Take off <input type="checkbox"/> c. In flight <input type="checkbox"/> d. Intermediate landing/app. <input type="checkbox"/> e. Intermediate take off <input type="checkbox"/> f. Final landing/approach <input type="checkbox"/> g. Deflation <input type="checkbox"/> h. Tether <input type="checkbox"/> i. Refuelling <input type="checkbox"/> j. Other (explain) <input type="checkbox"/>	INCIDENT DETAILS Crew on board
		Passengers on board
		Crew InjuredS.....M ³
		Passengers injuredS..... M ³
		Others injured
		Take off timeLocal/UTC
		Sunset/SunriseLocal/UTC
		Reported to-
		Manufacturer ? Yes/No
		Police ? Yes/No
		AAIB ? Yes/No
		CAA ? Yes/No
If this Incident requires an MOR, do you wish me to send the CAA a copy of this entire form?		Yes/No
³ Please give number of serious injuries (S) and/or of minor injuries (M) as defined in accompanying notes		
PILOT DETAILS		
Pilot's age	P.I.C.	Handling Pilot (if not P.I.C)
Pilot's Licence
Group (CPL's only)	PPL / CPL / (R)	PuT / PPL / CPL / (R)
Total hours	A / B / C	A / B / C
Hours on group (CPL's only)
Hours in last 3 months
Hours in last 28 days
Revised September 1998 Reprinted June 2006		

WEATHER CONDITIONS		
	Forecast	Actual
Surface Wind (Speed / Direction)°M /kts°M /kts
2000' Wind (Speed / Direction)°M /kts°M /kts
Visibilitykmkm
Temperature°C°C
Pressurembmb
Cloud type & base
Type of airmass (e.g. High pressure stable, fast moving depression, thundery low)		
.....		
Source(s) of Information		Time
.....		Time

NARRATIVE REPORT to include:-
The extent of injuries to passengers or other persons – The extent of damage to the balloon – What prevented the incident from having more serious consequences – What were the positive results of the incident – Is there anyone else we need to contact – What lessons have been learnt – What recommendations would you make? <i>(use additional separate sheet as required. Typewritten, wordprocessed reports preferred)</i>

Signature:	Date:
-------------------	--------------

Please send completed form to BBAC Safety Officer at address shown in Aerostat: At time of printing this was:- John Fenton, 195 Moor Road, Croston, PRESTON, PR26 9HP. ☎: 01772 601525. ✉e- mail: safety@bbac.org

Revised September 1998
Reprinted June 2006

Annex G Training and Testing Requirements

1 ANO 2009 Schedule 7 Requirements

Schedule 7 Item	Source	Validity	Notes
General Flight Test and Initial Balloon Group	Schedule 7 Part A Section 1 Sub-section 3	CPL(B) - 10 years Rating - 13 months	1. Whole of FCL 672 by CPL(B) Examiner (not a TRE).
Additional Balloon Group Type Ratings	Schedule 7 Part B Section 1 Sub-section 1	13 months	1. Whole of SRG 1319 by TRE. 2. May be required following expiry by more than 5 years and assessment by Licensing and Training Standards.
Certificate of Test (public transport)	Schedule 7 Part C, Section 1 Paras 2 to 4	13 months	1. Relevant parts of SRG 1319 by TRE. 2. Certified by TRE in professional licence.
Certificate of Experience (Aerial Work)	Schedule 7 Part C Section 1 Paras 5 to 7	13 months	1. Certified by TRE in professional licence.

2 ANO 2009 Schedule 8 Requirements

Schedule 8 Item	Source	Validity	Notes
Base Check	Schedule 8 Part C Para 2(5)	13 months	Certified by TRE on the combined Training Check Form.
Line Check	Schedule 8 Part C Para 2(2)	13 months	Certified by TRE on the combined Training Check Form.
Safety Equipment and Procedures	Schedule 8 Part C Para 1(a) & (b)	3 years	Certified by Chief Pilot or TRE on the combined Training Check Form.

3 Training Check Form

A specimen Training Check Form is at Appendix 1 to this Annex.

INTENTIONALLY LEFT BLANK

Annex G, Appendix 1 Specimen Training Check Form

(See Balloon Operations Manual Appendix G)

This Form is available on the CAA website at www.caa.co.uk/SRG1317.

TRAINING CHECK FORM				
NAME		LICENCE TYPE	NO.	
BALLOON TYPE		GROUP	REG	
COMBINED BASE/LINE CHECK			DATE	
PRE-FLIGHT		TRE Comments	P/F	Initial
1	Knowledge of recent AICs and NOTAMs			
2	Weather and Site Assessment			
3	Balloon Documents, performance and loading check			
4	External and Internal Checks			
5	Altimeter setting procedure and use of Check Lists			
6	Passenger Briefing			
7	Pre-Inflation			
8	Inflation			
IN FLIGHT		TRE Comments	P/F	Initial
1	Weather Assessment			
2	Use of Maps, Charts, etc.			
3	ATC Liaison (where applicable)			
4	Position Fixing			
5	Fuel Planning			
6	Take Off			
7	Level Flight			
8	Climb			
9	Descent			
10	Shallow Approach			
11	Steep Approach			
12	Landing			
13	Post Flight Actions			
EMERGENCIES (in flight discussion)		TRE Comments	P/F	Initial
1	Pilot Light Failure			
2	Fire in the Air			
3	Discussion Items (In flight or on the ground)			
	1 Pilot light failure after take-off 2 Landing in increasing wind strength 3 Action in the event of blast valve failure 4 Ground handling 5 Deflation system 6 Cold descent			
SEP CHECK		TRE Comments	P/F	Initial
1	Location and Type of fire extinguisher			
2	Location and Contents of First Aid Kit			
3	Fire Training: Place	Date		
4	First Aid Training: Place	Date		
Examiner's Name		Licence No.	Signature	
Chief Pilot's Signature		Date ___/___/___		
Next Check Due (13 months after this check)		___/___/___		
Form SRG1317 (Issue 1)			Page 1 of 1	

INTENTIONALLY LEFT BLANK

Annex H Technical Log

Examples of the forms used for the Technical Log, Sector Record Page, Loadsheet, Passenger Manifest and Acceptable Deferred Defects Record are contained within this Annex.

**APPENDIX 1 to ANNEX H SPECIMEN TECHNICAL LOG AND BALLOON SECTOR
RECORD PAGE**

APPENDIX 2 to ANNEX H SPECIMEN ACCEPTABLE DEFERRED DEFECTS RECORD

INTENTIONALLY LEFT BLANK

Annex H, Appendix 1 Balloon Sector Record Page

Technical Log Sector Record Page Loadsheet and Passenger Manifest			AOC No.	Registration	Page Serial No.
--	--	--	---------	--------------	-----------------

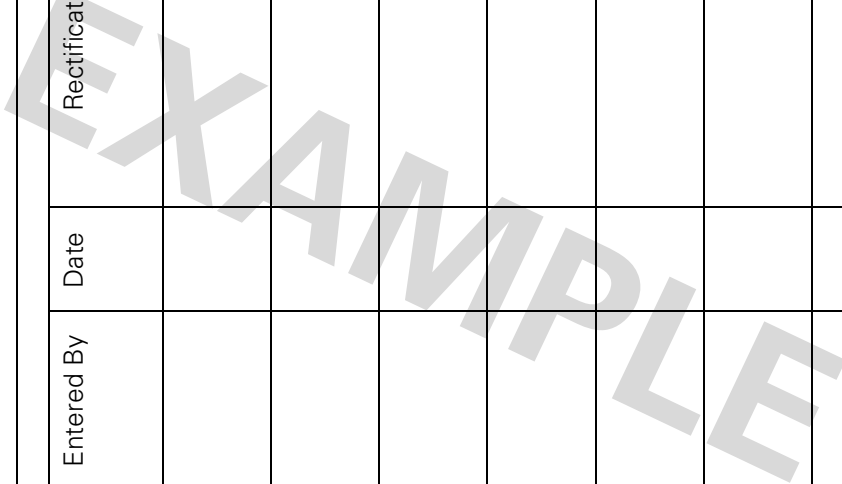
Passenger Name	Wt : lb/kg	Permitted Lift Calc.	lb/kg	CAPTAIN	Date
1		Datum Temp	°C		
2					
3		Press Alt	ft		
4		Max Lift/1000 ft³		Place	Time
5		Balloon Volume	x cu/ft³	Dep	
6		Total Permitted Lift	=	Arr	
7		Total Lift Required	=	Total Hours BF	
8		Underload	=	Hours this page -	
9		Last Minute changes (LMC's)		Total Balloon Hours	
10				Next Check Due Hrs	
11			+/-	Next Check Due Date	
12			+/-	Fuel Calculation	
13			+/-	Planned Duration	:
14			+/-	Fuel Required	
15			+/-	Fuel Certificate	
16		Total LMC		Sign _____ Fuel loaded sufficient	
17		Original underload			
18		Underload at T/O		Pre-Flight Carried Out	
19		Loading Certificate		Sign _____	
CAPTAIN		Sign _____			
Empty Cyls. Weight	+				
Total Fuel at Dep.	+				
Empty Balloon Weight	+				
Total Lift Required					
Departure Weather		Source		Time	
Wind	Surface	2000ft	Vis.	WX	Cloud
					Temp.
					QNH
NIL DEFECTS*			Capt's. Signature		Date
No.	Defects			Action Taken	
Certifies that the work specified except as otherwise specified was carried out in accordance with Part-M and in respect to that work the aircraft is considered ready for release to service			Item Nos.	Signed	Authority
Company Approval Reference.....					

* Strike out if a defect entry is made

INTENTIONALLY LEFT BLANK

Annex H, Appendix 2 Deferred Defect Record Page

Acceptable Deferred Defects Record (Non-Airworthiness Defects)										
Serial No: _____ Registration No: _____										
No.	Sector Record Page	Defect	Entered By	Date	Rectification	Cleared by Name/Signature Company	Date			



INTENTIONALLY LEFT BLANK