

The background features the official logo of the International Civil Aviation Organization (ICAO). It consists of a central globe with latitude and longitude lines, flanked by two olive branches. The globe is set within a circular border containing the organization's name in four languages: English (ICAO), Russian (ИКАО), Chinese (国际民航组织), and Arabic (المنظمة الدولية للطيران المدني).

***Foreign air operator
Approval &
Surveillance***

Outline

Historical Review and current situation – ICAO

Problem Statement

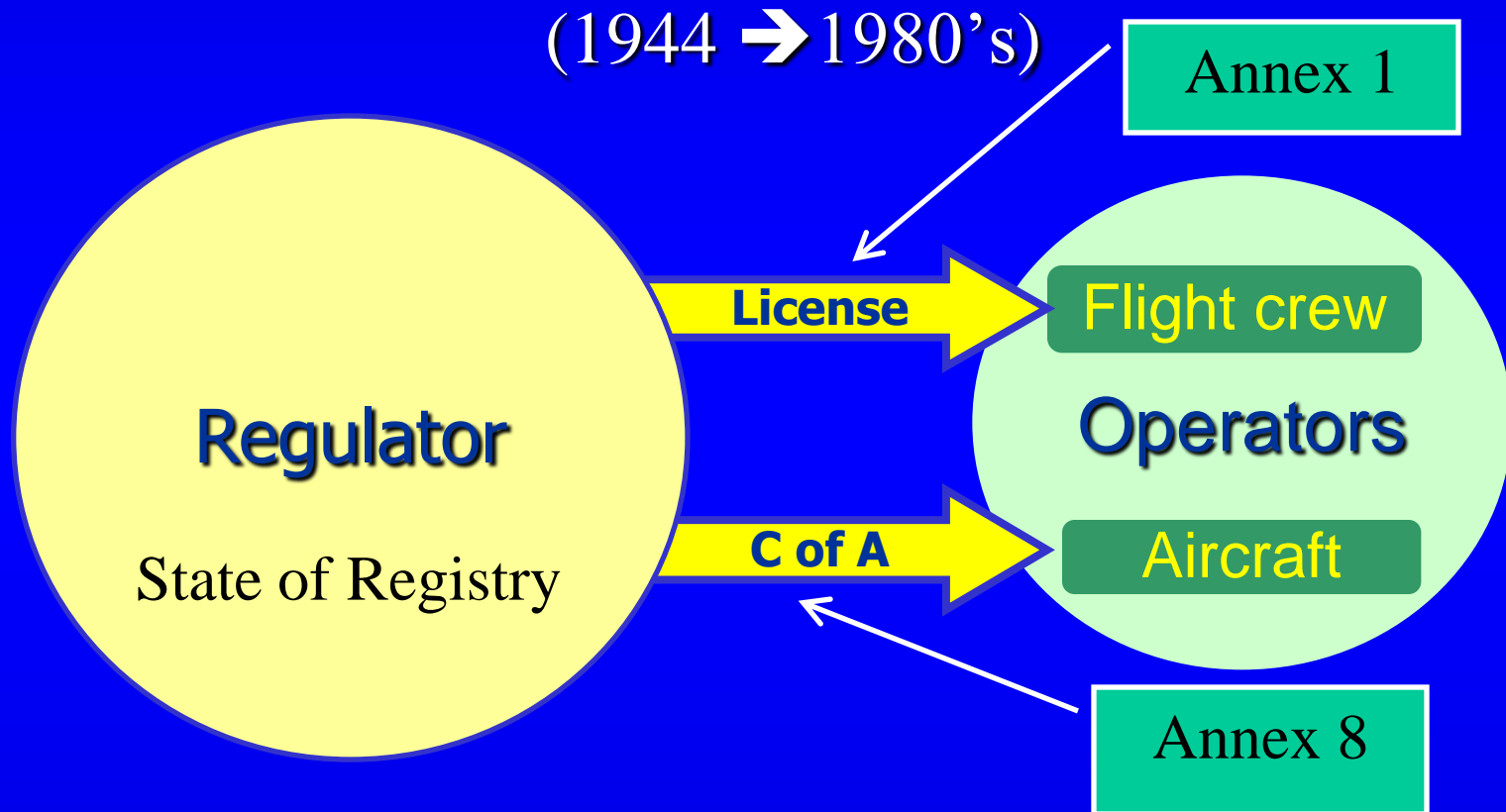
Solutions and Objectives

ICAO Assembly Resolution and SARPs

Doc 8335, Part VI - Guidance for foreign operators

International Register of AOCs


Certification: the early days



The State of Registry assumes most of the responsibility for safety with participation of individuals (pilots and mechanics)

General Principles

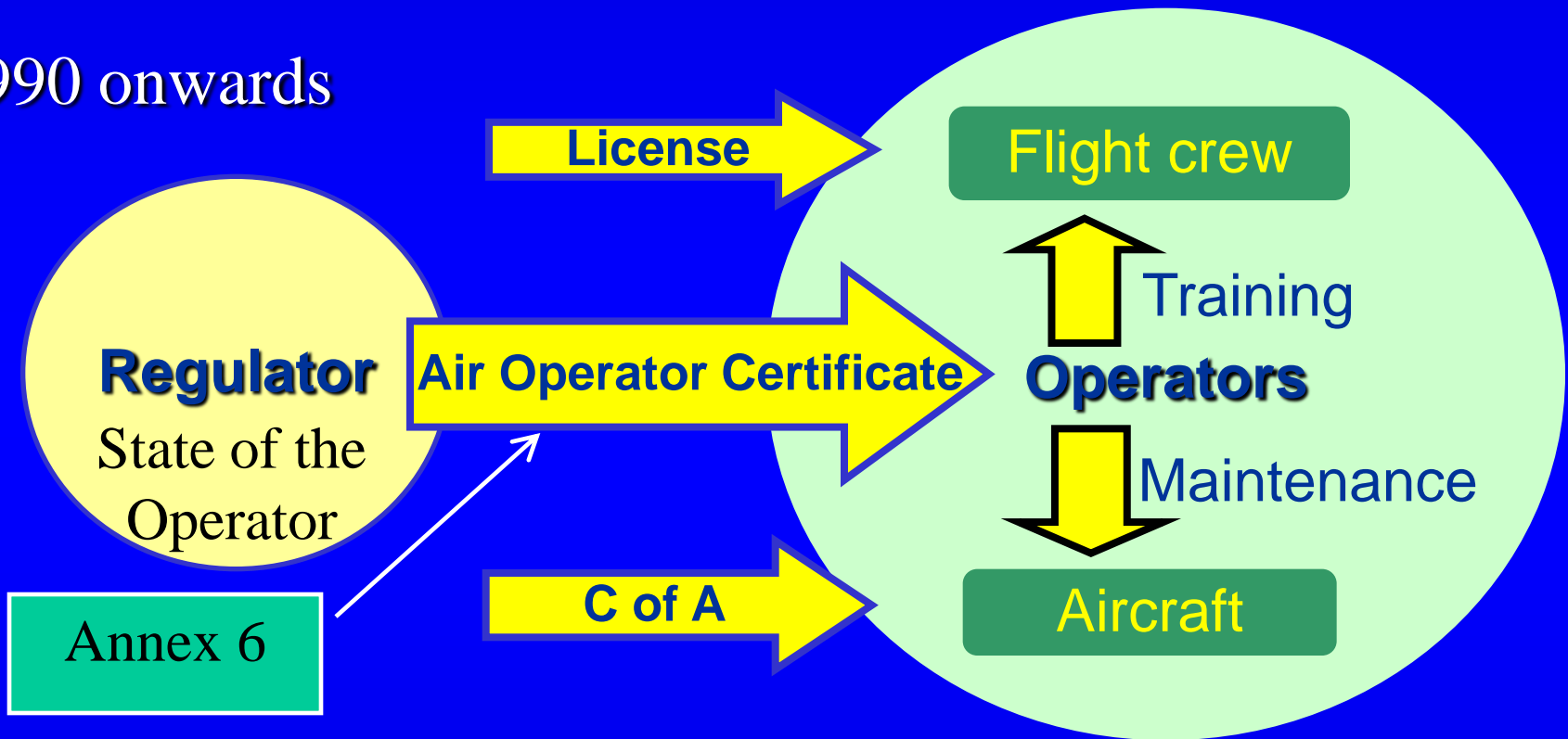
Chicago Convention - Article 33

 **Certificates of airworthiness** and ...**licenses** issued or rendered valid by the contracting State in which the aircraft is **registered**, **shall be recognized as valid by the other contracting States**, provided that the requirements under which such certificates or licenses were issued or rendered valid are equal to or above the minimum standards which may be established from time to time pursuant to this Convention.

Caveat

Air Operator Certificate (AOC)

1990 onwards



- The responsibility for safe operation rests essentially with the operator.
- The State of the Operator ensures fitness of its operators through safety oversight (certification and surveillance)

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International Operations

Problem: Approval & Surveillance of Foreign Operators

- **Unharmonised requirement for Foreign AOC or “Foreign Operations Specifications”**
- **Multiplication of States with such requirement
E.g: USA, China, Canada, Trinidad & Tobago, Saudi Arabia, etc.**

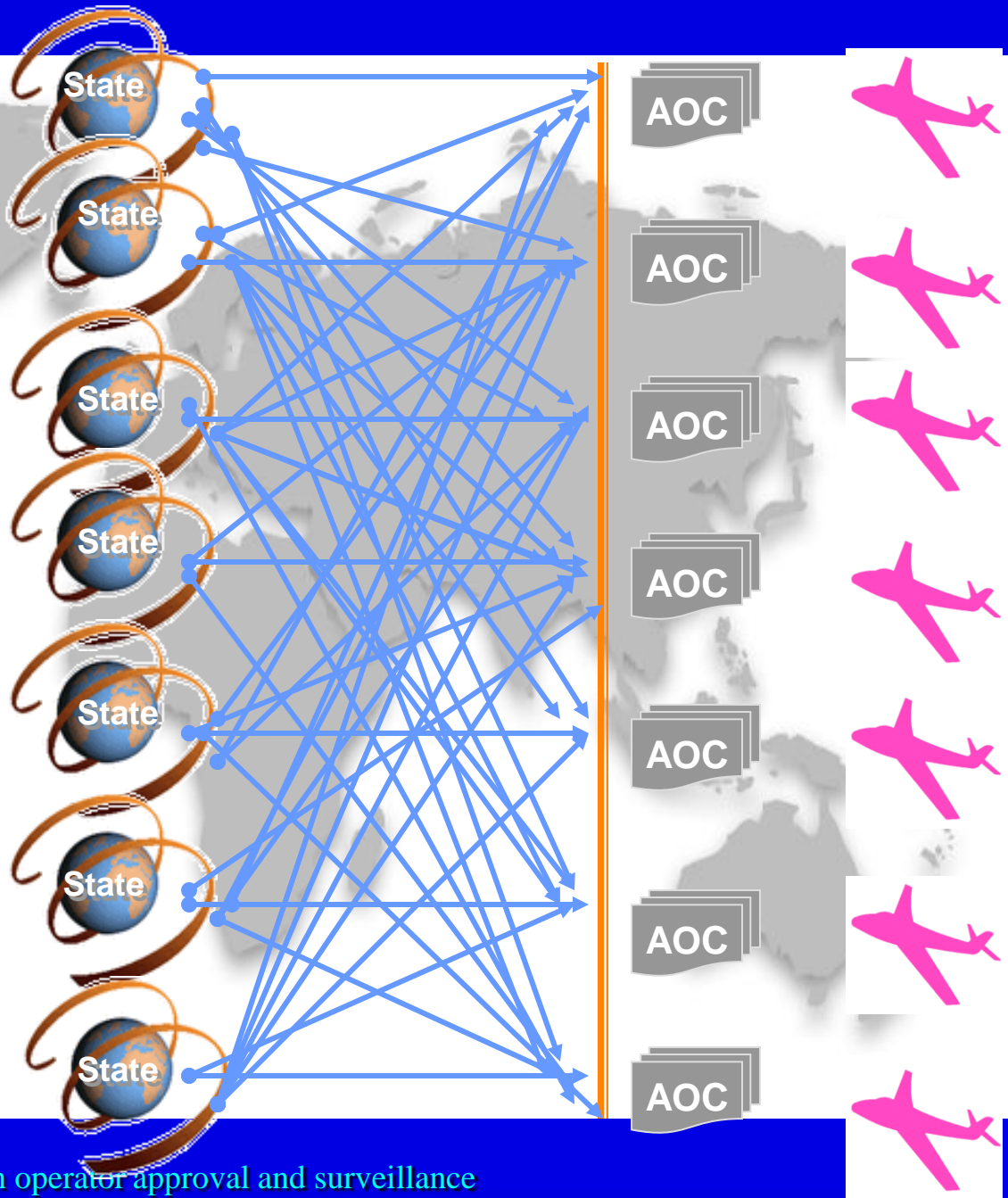
The problem:

Each Airline:
1 AOC
+
X Foreign
Ops Specs



Multiple
Requirements

Complexity!



Foreign operator approval and surveillance

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Solutions and Objectives

Solutions:

- Ensure recognition of adequate **oversight** by the State of the Operator (inter-State audits, ICAO USOAP audits, agreements between States), resulting in the recognition as valid of the AOC.
- Adequate State **surveillance** of foreign operators.
- Bilateral or multilateral aviation safety agreements (e.g. EU-USA).

OBJECTIVE

Bilateral Safety Agreements

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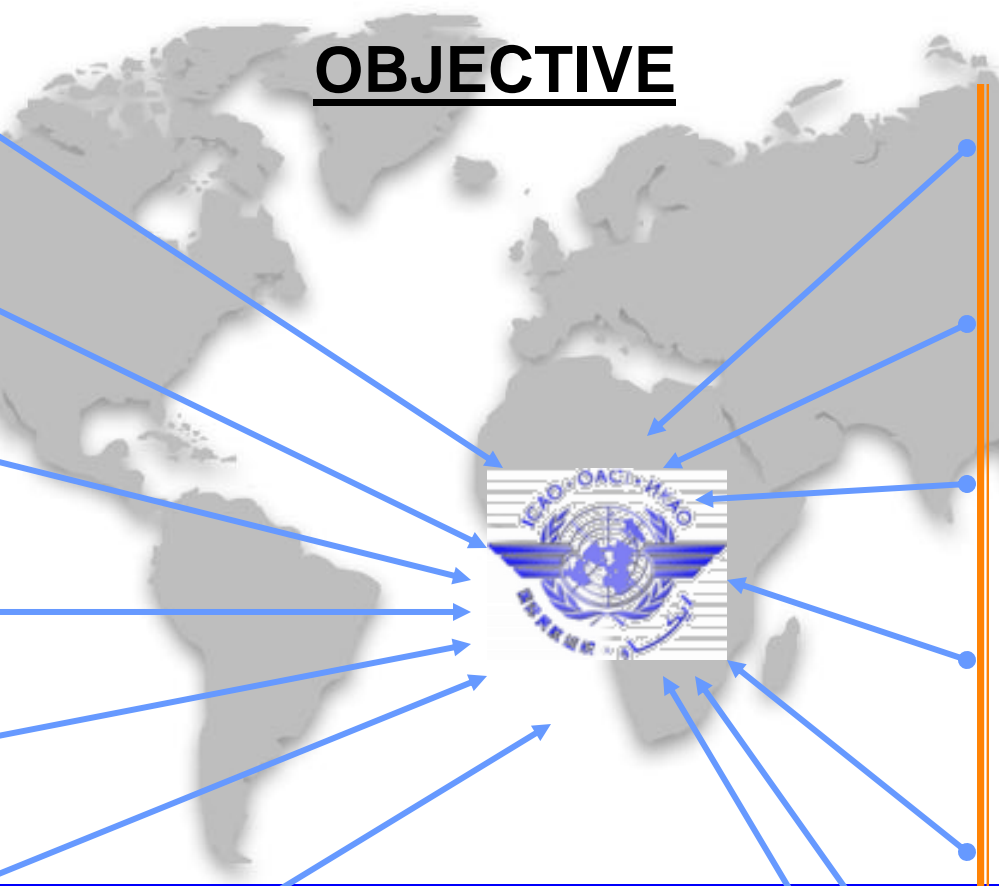
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Annex 6 &
Doc 8335

AOC
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Foreign operator approval and surveillance



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ICAO Actions

ICAO developed 3 type of provisions:

- Assembly resolution A36-6 to encourage the **international recognition** of the AOC by States.
- **SARPs** in Annex 6, Part I & Part III
- **Guidance material** in a new edition of Doc.8335

ICAO Assembly Resolution

- Assembly Resolution A36-6 urges all States to **recognize as valid the AOC** issued by another State provided that it was issued in accordance with ICAO Annex 6 requirements.
- Resolution A36-6 also urges Contracting States to establish operating rules governing the admission of foreign air operators within their territories, in accordance with the Convention, ...on a non-discriminatory basis having due regard to the need to **minimize the cost and burden** to the Contracting States and to the operator.

ICAO Assembly Resolution

- A36-6 further urges Contracting States to refrain from unilateral implementation of specific operational requirements and measures governing admission of operators from other Contracting States which would adversely affect the orderly development of international civil aviation.

ICAO SARP Amendment

- Amendment 32 to Annex 6, Part I became effective on 20 November 2008 –
 - ✎ States shall recognize as valid the AOC issued by another State, provided the AOC meets Annex 6 requirements (**since Nov 2006**).
 - ✎ Harmonization of the content, and layout by 1 January 2010, of the AOC and its associated operations specifications, with supporting definition and guidance material

Annex 6 - Amendment 32

- Annex 6, Part I & Part III – AOC

AIR OPERATOR CERTIFICATE		
³	State of the Operator ¹	³
	Issuing Authority ²	
AOC # ⁴ :	Operator Name ⁶	Operational Points of Contact: ⁸ Contact details, at which operational management can be contacted without undue delay, are listed in ¹¹ .
	Dbn Trading Name ⁷	
Expiry Date ⁵ :	Operator address ⁹ :	
	Telephone ¹⁰ : Fax: E-mail:	
This certificate certifies that ¹² is authorized to perform commercial air operations, as defined in the attached operations specifications, in accordance with the Operations Manual and the ¹³ .		
Date of issue ¹⁴ :	Name and Signature ¹⁵ : Title:	

True certified copy: http://www.icao.int/fsix/_Library/Annex6_AOC.pdf

Annex 6 - Amendment 32

Annex 6, Part I & Part III – Ops Specs

States to adopt
this lay-out by
1 Jan 2010

OPERATIONS SPECIFICATIONS (subject to the approved conditions in the operations manual)				
ISSUING AUTHORITY CONTACT DETAILS ¹				
Telephone: _____		Fax: _____		E-mail: _____
AOC# ² : _____		Operator name ³ : _____		Date ⁴ : _____ Signature: _____
Dba trading name: _____				
Aircraft model ⁵ :				
Types of operation: Commercial air transportation <input type="checkbox"/> Passengers <input type="checkbox"/> Cargo <input type="checkbox"/> Other ⁶ : _____				
Area(s) of operation ⁷ :				
Special limitations ⁸ :				
SPECIAL AUTHORIZATIONS	YES	NO	SPECIFIC APPROVALS ⁹	REMARKS
Dangerous goods	<input type="checkbox"/>	<input type="checkbox"/>		
Low visibility operations				
Approach and landing	<input type="checkbox"/>	<input type="checkbox"/>	CAT ¹⁰ : _____ RVR: _____ m DH: _____ ft	
Take-off	<input type="checkbox"/>	<input type="checkbox"/>	RVR ¹¹ : _____ m	
RVSM ¹² <input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>		
ETOPS ¹³ <input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>	Maximum diversion time ¹⁴ : _____ minutes	
Navigation specifications for PBN operations ¹⁵	<input type="checkbox"/>	<input type="checkbox"/>		¹⁶
Continuing airworthiness	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	¹⁷	
Other ¹⁸	<input type="checkbox"/>	<input type="checkbox"/>		

Annex 6 - Amendment 32

- BUT ALSO in Annex 6, Part I & Part III – **SARPs**
 - ✎ States shall establish a programme for the **surveillance** of operations by foreign air operators
 - ✎ Foreign operators shall meet and maintain the requirements of the State in which they are operating
 - ✎ Cases of **non-compliance** with laws, regulations or procedures by a foreign operator to be notified to operator, and, if warranted, to the State of the Operator (Registry)
 - ✎ If warranted, the State in which the operation is conducted shall engage in **consultation** with the State of the Operator (Registry) concerning the safety standards maintained by the operator

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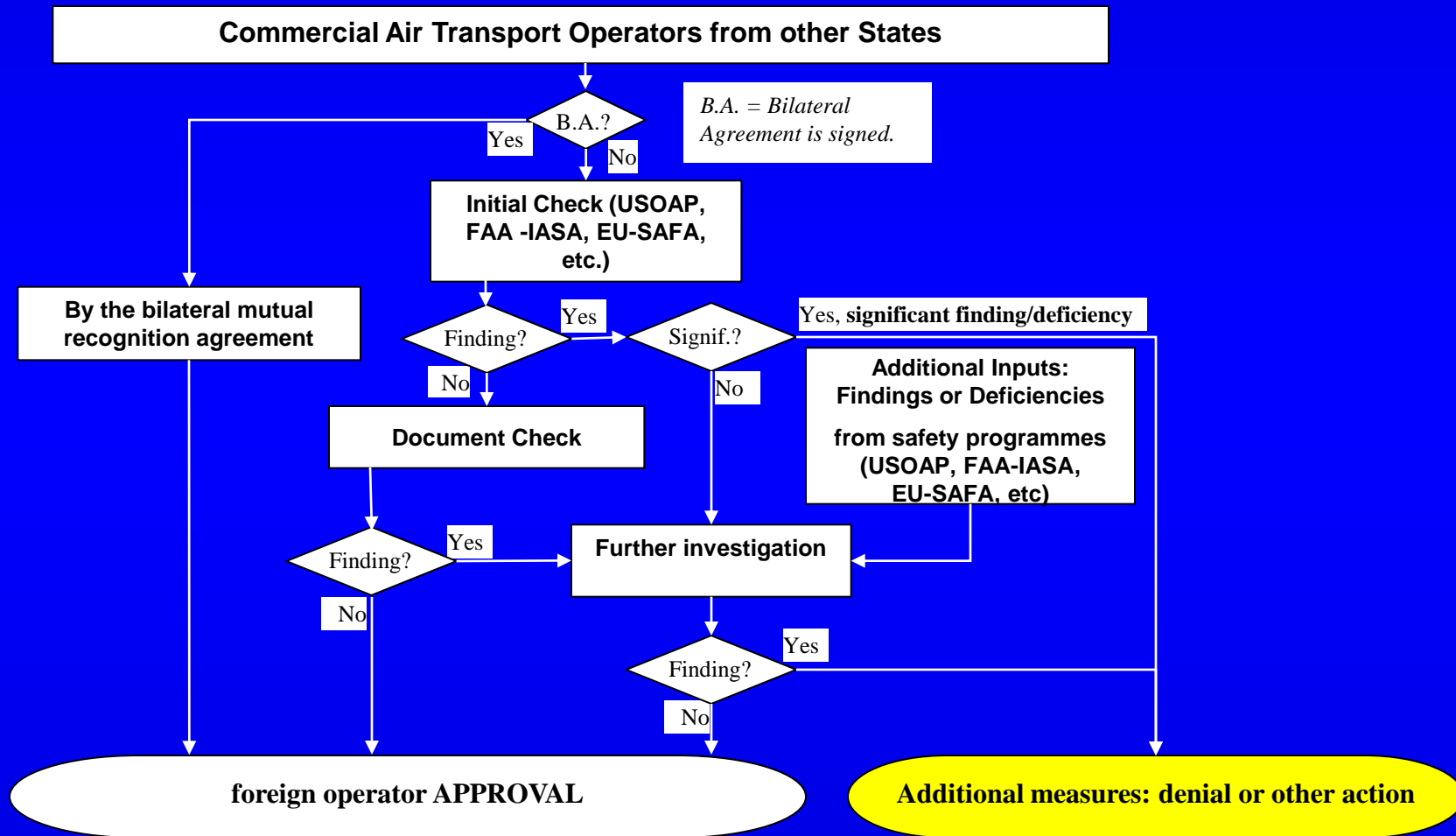
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International Register of AOCs

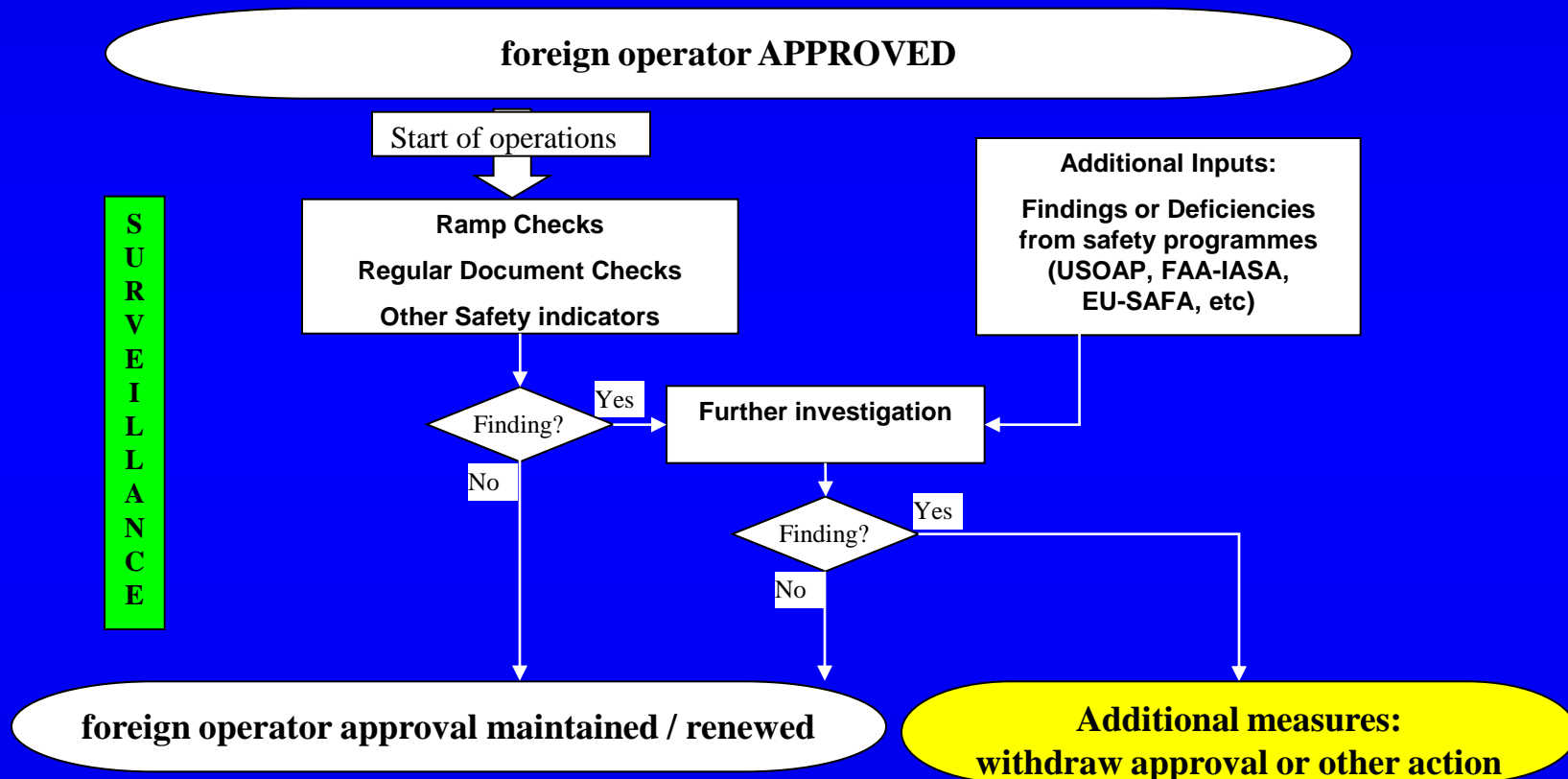
Guidance Material – DOC8335

- Doc 8335 available to States on ICAO-Net
 - ✎ A confirmation that the **safety oversight** of an operator rests with the **State of the Operator: certification + surveillance**.
 - ✎ Part VI covers the **surveillance** of foreign operators and admission procedures (no certification!).
 - ✎ An attachment with a **ramp inspection checklist** and a chapter with **actions from findings (for foreign operators)**
 - ✎ Part V covers **leasing, code-sharing**, interchange, ... operations, with guidance on the use of Article 83bis.
 - ✎ An attachment with a **model safety clause** for inclusion in air service agreements to emphasize the safety responsibilities of States.

Foreign Operator Initial Approval



Continuing Foreign Operator Surveillance



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International Register of AOC

Future work initiated by the 36th Assembly

To facilitate surveillance of foreign operators

To reduce the cost and the burden to stakeholders

Data uploaded by the State of the Operator

Information on status of AOC / Ops Specs



*Foreign air operator
Approval &
Surveillance*

--- End ---

Questions and/or Comments!