

**INTERNATIONAL CIVIL AVIATION ORGANIZATION**  
**FIRST MEETING OF DIRECTORS OF CIVIL AVIATION OF THE**  
**CARIBBEAN REGION (CAR/DCA/1)**

(Grand Cayman, Cayman Islands, 8-11 October 2002)

Agenda Item 2: Safety Oversight

**U.S. INITIATIVES FOR THE AMENDMENT**  
**OF ICAO ANNEX 6, PART 1, OPERATION OF AIRCRAFT**

(Presented by the United States of America)

**SUMMARY**

This paper provides a description of two proposed amendments to ICAO Annex 6, Part I developed by the Federal Aviation Administration (FAA). The two subject areas addressed in these proposals are the safety oversight obligations of States of Operator/Registry and methods of control and supervision of flight operations. FAA plans to send these as U.S. proposals to ICAO and it is likely ICAO will eventually solicit comments on some form of these proposals from all ICAO Contracting States during its review process. Hence, FAA is now sharing this information so ICAO Contracting States in Caribbean Region will be in a better position to develop and send their views to ICAO.

**1.0 INTRODUCTION**

Over the past several months the Federal Aviation Administration (FAA) has been reviewing certain provisions in ICAO Annex 6, Part I (Operation of Aircraft—International Commercial Air Transport—Aeroplanes) and noted the need for improvements in the areas of the safety oversight obligations of States of Operator/Registry and methods of control and supervision of flight operations (Standard 4.2.1.3). Hence FAA has developed proposed amendments to this Annex and, in the near future, will send them to ICAO as a U.S. proposal when, at some point in its own

review process, ICAO will likely solicit comments on some form of this proposal from all ICAO Contracting States.

## **2.0 SAFETY OVERSIGHT OBLIGATIONS OF STATES OF OPERATOR/REGISTRY**

2.1 At present, there are very few Standards and Recommended Practices in Part I that address, with any degree of specificity, all the elements of safety oversight which are audited in the course of the ICAO Universal Safety Oversight Audit Program (IUSOAP). Far more attention is accorded to the obligations of Operators than to those of Contracting States. In addition, while Part I reflects a large number of required or recommended specific approval and acceptance obligations for States, they are widely dispersed and thus may defy comprehension and, most importantly, implementation.

2.2 The U.S. proposal has the following two major aspects:

a) A new Appendix 3 (Air Operator Safety Oversight). This new appendix draws on existing ICAO guidance material that specifies 8 critical elements of a safety oversight system (ICAO Safety Oversight Manual, Doc 9734). This new appendix would relate to existing Standard 4.2.1.6 and create new Standards and Recommended Practice for each of these 8 elements:

- (1) Primary aviation legislation
- (2) Specific operating regulations
- (3) CAA structure and safety oversight functions
- (4) Technical guidance
- (5) Qualified technical personnel
- (6) Licensing and certification obligations
- (7) Continued surveillance obligations
- (8) Resolution of safety issues

b). A new Attachment F (Air Operator Certification and Validation). This new attachment would replace the current Attachment F (Air Operator Certificate or Equivalent Document). This attachment would supplement Standards 4.2.1.3 and 4.2.1.4 by grouping material, in one place, for convenience and ease of reference. It describes the approvals and acceptances (specified throughout the annex) required of the State of the Operator (and Registry) in discharging its safety oversight responsibilities for air operator certification and follow-on continued supervision of such certifications.

## **3.0 METHODS OF CONTROL AND SUPERVISION OF FLIGHT OPERATIONS**

3.1 FAA has gained considerable experience and familiarity with the methods of control and supervision of flight operations practiced by a number of non-U.S. operators. While the current provisions in Annex 6, Part I address control and supervision methods that are centered on licensed flight operations officers/flight dispatchers, many operators control and supervise flights in ways that disperse such functions among several unlicensed personnel, often in different departments. Such practices can result in a lack of proper coordination and accountability as to whom is responsible, in conjunction with the pilot-in-command, for the safe dispatch and operation of a

flight. Moreover, such practices usually result in these persons who have been assigned flight operation officer/flight dispatcher duties not actually performing the entire range of flight operations officer/flight dispatcher tasks. For this reason, these personnel are not being properly trained in tasks such as those prescribed in the ICAO Training Manual: Flight Operations Officers/Flight Dispatchers (Doc 7192-AN/857).

3.2 Based on the foregoing, FAA believes it necessary to reinforce the functional process known as the “method of control and supervision of flight operations” in Annex 6, Part I. It is equally necessary to ensure that all persons involved in this functional process, whether they are licensed or not, are properly qualified and trained. Hence the U.S. proposal will address flight operations officers/flight dispatchers and would more explicitly recognize the important safety-related role played by these persons in the safe conduct of flight operations in ICAO Contracting States, including other persons who may be involved in the “method of control and supervision of flight operations” specified in Standard 4.2.1.3. The four major features of this proposal are as follows:

- a) A new definition for flight operations officers/flight dispatchers in Chapter 1 that encompasses all those persons who are involved in supervision of flight operations, whether they are licensed or not.
- b) With regard to Chapter 3, a new Standard that would require operators to assign operational control responsibility to a flight operations officer/flight dispatcher. Also a new Standard in Chapter 3 that details actions required of flight operations officers/flight dispatchers when they are the first to become aware of emergency situations. This provision parallels existing Standard 3.1.4 which specifies comparable requirements for pilots-in-command.
- c) A new Standard in Chapter 10 that specifies minimum requirements to be met by those who are engaged in the supervision of flight operations but who are not holders of licenses issued in accordance with Annex 1
- d) A significant revision to another Chapter 10 Standard that requires flight operations officers/flight dispatchers, licensed or not, to successfully complete an operator-specific training course that addresses all the components of the operator’s “method of control and supervision of flight operations”.