



WORKING PAPER

ASSEMBLY — 39TH SESSION

TECHNICAL COMMISSION

Agenda Item 33: Aviation safety and air navigation monitoring and analysis

RECOGNITION OF MULTINATIONAL CERTIFICATIONS

(Presented by Chile, with the support of Argentina, Bolivia, Brazil, Colombia, Ecuador, Guyana, Panama, Paraguay, Peru, Uruguay, Suriname, and Venezuela)

EXECUTIVE SUMMARY

The SRVSOP, as a regional safety oversight organisation (RSOO) in Latin America, shares the need to reduce duplication of activities concerning certification and oversight of approved maintenance organisations (AMOs) and approved training organisations (ATOs), so as to contribute to the global development of the aeronautical industry and strengthen safety through the application of standards consistent with the SARPs contained in the Annexes to the Chicago Convention for the conduction of these activities.

Action: The Assembly is invited to:

- a) support ICAO in the implementation of actions for the establishment of a global framework for the certification and oversight of AMOs and ATOs, based on the regional harmonisation of regulatory requirements and procedures for conducting these activities;
- b) urge States and regional organisations at global level to sign agreements for mutual recognition of approved maintenance and training organisations in order to avoid duplication of efforts and contribute to the development of the global aviation industry; and
- c) urge States to set deadlines for the harmonisation of their regulations, based on the SARPs contained in the Annexes to the Convention, in order to allow for their standardisation and to facilitate multinational processes of certification and oversight of the aforementioned organisations.

<i>Strategic objectives:</i>	This paper relates to the Safety and Air Navigation Capacity and Efficiency Strategic Objectives.
<i>Financial implications:</i>	Resource savings in certification and oversight processes.
<i>References:</i>	Annex 1 — <i>Personnel Licensing</i> Annex 2 — <i>Rules of the Air</i> Annex 6 — <i>Operation of Aircraft</i> Annex 7 — <i>Aircraft Nationality and Registration Marks</i> Annex 8 — <i>Airworthiness of Aircraft</i> Annex 14 — <i>Aerodromes</i> Annex 16 — <i>Environmental Protection</i> Annex 18 — <i>The Safe Transport of Dangerous Goods by Air</i> Annex 19 — <i>Safety Management</i> Doc 7300, <i>Convention on International Civil Aviation</i> Doc 10046, <i>Report of the Second High-Level Safety Conference (2015)</i>

¹ Spanish version provided by Chile.

1. INTRODUCTION

1.1 The Second High-Level Safety Conference held in Montréal, Canada from 2 to 5 February 2015, through Conclusion 3/1, established that ICAO, in collaboration with the States and the industry, should develop an international framework and regional initiatives to help reduce duplication of activities for the certification and oversight of approved maintenance organisations (AMO).

1.2 The Conference was also presented by the United States Federal Aviation Administration (FAA) with a working paper highlighting that, due to the globalisation of the international aviation industry, service organisations, like AMOs, were subject to a variety of certification and oversight processes under different regulatory schemes by civil aviation administrations (CAAs) of the States to which they applied. This does not necessarily translate into an enhanced level of safety, but quite the opposite, into an expenditure of resources for States and the industry, with the corresponding duplication of tasks. Accordingly, it felt the need to establish new strategies to consider other efficient ways to conduct oversight and promote the development of these organisations of the aeronautical industry.

1.3 Although many States have entered into bilateral agreements with a view to reducing such duplication, this continues to consume State and industry resources, and not only of the AMOs but also of the approved training organisations (ATOs). The introduction of safety management system (SMS) implementation requirements for such organisations has worsened the problem.

1.4 On the other hand, the Regional Safety Oversight Cooperation System (SRVSOP), which groups 12 Latin American States, not exempt from this reality, established a strategy within its State assistance mission that stated that the first step to avoid duplication of efforts and resources among its States was to develop common regulations based on the Standards and Recommended Practices (SARPs) contained in the Annexes to the *Convention on International Civil Aviation* (Doc 7300), called Latin American Aeronautical Regulations (LARs), to expedite a safe and efficient implementation of the processes applied by both civil aviation authorities and the industry, under one same approach.

1.5 In this sense, the LARs were developed seeking a high level of harmonisation and using the SARPs contained in the Annexes to the Convention and the analysis of regulatory models from other States with major aeronautical industries as a basis for their development and updating.

1.6 At present, the SRVSOP has issued 36 regulations that address the requirements of Annex 1 — *Personnel Licensing*, Annex 2 — *Rules of the Air*, Annex 6 — *Operation of Aircraft*, Annex 7 — *Aircraft Nationality and Registration Marks*, Annex 8 — *Airworthiness of Aircraft*, Annex 14 — *Aerodromes*, Annex 16 — *Environmental Protection*, Annex 18 — *The Safe Transport of Dangerous Goods by Air*, and Annex 19 — *Safety Management* to the Convention on International Civil Aviation. Likewise, to supplement this and for better implementation by its States and the aviation industry, there are 10 manuals, 38 advisory circulars, 4 guidance brochures on multinational certification, and 28 compliance checklists that are used by States to report progress in LAR harmonisation. This helps those States that are in the harmonisation process to address critical elements 2 (regulations) and 5 (technical guidance).

1.7 Furthermore, the SRVSOP provides training to both CAAs and the industry to address critical element 4, leaving to the States the responsibility of implementing and complying with the critical elements of implementation (CE-6, CE-7, and CE-8).

2. MULTINATIONAL CERTIFICATIONS WITHIN THE SRVSOP FRAMEWORK

2.1 Progress made by States in LAR harmonisation, currently at a global average of 73% (PEL/OPS/AIR) and with an agreed deadline of March 2017, has allowed the States to take more

ambitious steps, such as the signing of multinational technical cooperation agreements for mutual recognition of multinational certifications issued by multinational LAR inspection teams for:

- a) maintenance organisations (LAR 145);
- b) civil aviation training centres (LAR 141, 142, and 147); and
- c) aviation medical examining centres (LAR 67).

2.2 Multinational certification of maintenance organisations started in 2012 under this Agreement, which has served to foster certification and renewal activities in a multinational environment, avoid duplication of efforts, and foster strict compliance with the standards and recommended practices contained in the Annexes to the Convention on International Civil Aviation.

2.3 Regarding AMOs, four (4) maintenance organisations in Latin America have obtained the multinational certification to date:

- a) LAN Peru
- b) AEROLANE of Ecuador
- c) LAN Colombia
- d) CMR SAS of Colombia

2.4 Likewise, the SRVSOP has started the certification process of the maintenance organisation *Division Turbos SRL* of Argentina.

2.5 Regarding training centres, it is expected that the first multinational certification will be granted this year with a LAR 141 training centre of Ecuador. Other requests have been received, which will be accommodated in 2017.

3. GLOBAL RECOGNITION OF MULTINATIONAL CERTIFICATIONS

3.1 It is considered that the establishment of an international framework and the promotion of regional initiatives is a first priority to help reduce the duplication of activities concerning oversight of entities such as AMOs and ATOs, allowing for an efficient and well-organised management of oversight activities, supported by harmonised regulations based on the SARPs contained in the Annexes to the Convention. This framework would allow all States to use their resources more efficiently, reduce significantly the number of inspections, and allow the industry to conduct its activities according to a transparent and manageable oversight timetable.

3.2 Likewise, the conduction of multinational inspections under uniform assessment criteria would contribute to strengthen safety. In conclusion, it is felt that the existence of certification and oversight processes in a multinational environment would generate the following benefits for the industry and the CAAs worldwide:

For the industry

- a) Under a single process, an organisation could obtain the authorisation of other ICAO signatory States signatory to multinational agreements, thus avoiding duplication of efforts (man-hours and documentation) and achieving significant cost savings, resulting in increased profitability to be invested in safety.
- b) The organisation would be assessed and overseen under uniform criteria and procedures based on the SARPs contained in the Annexes to the Convention and on best audit practices mutually agreed among the States, thus avoiding additional and sometimes different requirements.
- c) The multinational approach would allow organisations to expand their services to aircraft of other registries, resulting in increased profits and greater presence in the aeronautical market.

For the CAA/State

- a) Promotes the development of certification and oversight activities in a multinational environment.
- b) Promotes the development of State organisations, achieving a high quality and safety standard worldwide.
- c) Optimises the competencies of government inspectors through the application of best certification and oversight practices under standard procedures.
- d) Increases effective compliance with the critical elements of the State safety system with regard to certification and oversight processes.

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