

Foreign Air Operator Validation and Surveillance Course

Bangkok, Thailand
30 June – 2 July 2009

Topics

Manual of Validation and Surveillance of Foreign Air Operators (FAO)

- ▶ Chapter 1 - General
- ▶ Chapter 2 - Validation of AOC
- ▶ Chapter 3 – Surveillance of FAO
- ▶ Appendices/Attachments

ICAO SARP

Amendment 32 to Annex 6, Part I & amendment 13 to Part III became effective on 20 November 2008

- ▶ States shall recognize as valid the AOC issued by another State, provided the AOC meets Annex 6 requirements
- ▶ 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, 13

Annex 6, Part I & Part III - AOC

| AIR OPERATOR CERTIFICATE | | |
|--|--|---|
| ³ | State of the Operator¹ Issuing Authority² | ³ |
| AOC #⁴: | Operator Name⁶ Dba Trading Name⁷ | Operational Points of Contact:⁸ Contact details, at which operational management can be contacted without undue delay, are listed in ¹¹ . |
| Expiry Date⁵: | Operator address⁹: 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 issue¹⁴: | Name and Signature¹⁵: Title: | |

Annex 6 - Amendment 32, 13

Annex 6, Part I & Part III Operations Specifications

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"/> | | |

ICAO Guidance

Doc8335 Revision – Part VI – State Responsibilities Regarding Commercial Air Transport Operations by Foreign Operators

- ▶ Recognition that the primary role for safety oversight rests with the State of the Operator
- ▶ States to establish **process** for recognition of the Air Operator Certificate of the air operator
- ▶ Manual of Validation and Surveillance of FAO provides such a process which is compliant with Annex 6 SARPs and DOC8335 Guidance

Chapter 1 - General

Requirements for recognizing as valid an AOC

- ▶ The foreign air operator has been issued an Air Operator Certificate (AOC) and associated operations specifications by the State of the Operator;
- ▶ AOC authorizes the air operator to conduct operations to [State]; and,
- ▶ The State of the Operator is capable to carry out safety oversight of the foreign air operator.

Chapter 1 - General

Air Services Agreement

- ▶ All foreign air operators must obtain an Air Services Agreement from the [State]
- ▶ This is entirely separate from the process of obtaining a validation of an air operator certificate.
- ▶ The Air Service Agreement should contains a safety clause addressing safety requirements (introduced 2001)
- ▶ [State] may authorize flights not contained in the Air Services Agreement on a case by case basis without issue of validation (e.g. Special event, emergency)

Chapter 2 – Validation Process

Validation of Foreign Air Operators (FAO) Exception

- ▶ Working Arrangements may be established between States to recognize each others AOCs without requirement for validation
- ▶ Requires some knowledge of the Foreign State's safety oversight system or review

Chapter 2 – Validation Process

Validation of Foreign Air Operators (FAO)

- ▶ Validation will require review of documentation submitted by the FAO
- ▶ In absence of significant negative findings then the validation shall be issue
- ▶ If negative findings exist then additional measures will be undertaken

Chapter 2 – Validation Process

Documentation required – Initial

- ▶ FAO application form (Appendix A)
- ▶ Copies of the Air Operator Certificate and associated operations specifications;
- ▶ Copy of the insurance certificate;
- ▶ If wet-lease aircraft - approval of CAA of the State of the Operator and identification of the operator that exercises operational control; and
- ▶ Document authorizing the specific traffic rights.



Appendix A – Foreign Air Operator Application

| | | | |
|--|--|--|-----------------|
| Application for Air Transport Operations by a Foreign Operator (To be completed by a foreign air operator for an approval to conduct operations in [State]) | | | |
| Section 1A. To be completed by the air operator | | | |
| 1. Company registered name and trading name if different. Address of company: mailing address; telephone fax; e-mail | | 2. Address of the principal place of business including: telephone; fax; and e-mail. | |
| 3. Proposed Start Date of Operations: (dd / mm / yy): | | 4. ICAO 3-letter Designator for aircraft operating agency: | |
| 5. Operational Management Personnel | | | |
| Name | Title | Telephone, fax and e-mail | |
| | | | |
| Section 1B. Type of approval requested - To be completed by the air operator, checking applicable boxes | | | |
| 6 | Air operator intends to conduct commercial flights to and from aerodromes in [State] | | |
| 7. Air Operator proposed types of operation: | | 8. Geographic areas of intended operations and proposed route structure: | |
| Passengers and Cargo Cargo Only Scheduled Operations Charter Flight Operations Dangerous Goods | | | |
| Section 1C on Page 2 to be completed by the air operator | | | |
| Signature: | | Date (dd / mm / yy): | Name and Title: |
| Section 2. To be completed by the CAA | | | |
| Evaluated by (Name and Office): | | CAA Decision: Approval granted Not approved | |
| Remarks: | | | |
| Signature of CAA representative: | | Date (dd / mm / yyy): | |



Foreign Air Operator Application (cont)

Section 1C. To be completed by the air operator

9. Provide location on board or provide separate documentation where individual aircraft nationality and registration marks are listed as part of the aircraft fleet operated within [State] territory under the air operator certificate:

Provide following information:

| Aircraft Type (make, model and series, or master series) | RVSM-3 Approval | ETOPS-3 | Noise-4 Certification (Annex 16 Ch.) | Remarks |
|---|--------------------|---------|---|---------|
| [Aircraft type 1] | | | | |
| [Aircraft type 2] | | | | |
| [Aircraft type 3] | | | | |
| [Aircraft type 4] | | | | |
| Etc. | | | | |

Attach copies of:

Air Operator Certificate and associated operations specifications;

Insurance certificate;

In case of wet-lease of aircraft: approval of CAA of the State of the Operator, with identification of the operator that exercises operational control on the aircraft; and Document authorizing the specific traffic rights, issued by [appropriate department] or resulting from a bilateral air transport agreement (if required by the State to which the operator is flying to).

Chapter 2 – Validation Process

Documentation required – Amendment

- ▶ FAO application form (Appendix A)
- ▶ A copy of the relevant CAA authority to operate the aircraft into [State], if amended;
- ▶ If wet-lease of aircraft, approval of CAA of the State of the Operator and identification of the operator that exercises operational control; and
- ▶ Copies of any amendment to the operations specifications relevant to the application.

Chapter 2 – Validation Process

Review of Documentation

- ▶ CAA personnel shall confirm receipt of all requested documents.
- ▶ Normally, certificates and licences issued or rendered valid by a Contracting State will be recognized.
- ▶ This recognition is predicated on the understanding that the requirements under which the certificates and licences were issued or rendered valid are equal to or exceed the minimum standards established by ICAO.

Note : If there is a concern about the validity of the collected documentation this concern is to be conveyed to the CAA of the applicant's State of Registry or State of the Operator as applicable.

Chapter 2 – Validation Process

Evaluation of an Application

- ▶ CAA must examine both the safety oversight capabilities and record of the State of the Operator and, if different, the State of Registry
- ▶ This to provide confidence in the validity of the certificates and licences associated with the application and in the level of oversight applied
- ▶ If required, CAA may request the State of the Operator for reports of any inspections that may have been conducted

Chapter 2 – Validation Process

Evaluation of an Application

- ▶ If required, CAA may also request access to reports of audits of the operator in question conducted by independent internationally recognized aviation audit organizations and / or by other air operators
- ▶ Such non-regulatory audits should be used in conjunction with other information such as a report from the ICAO USOAP or other inspection results to evaluate the application.

Note: ICAO has made available a Safety Oversight Audit (SOA) Secure Site internet website [<http://www.icaosoa.ca/soamain>] where USOAP reports can be accessed

Chapter 2 – Validation Process

Additional Measures

- ▶ Required if the initial review indicates significant deficiencies in the safety oversight system of the State of the Operator and, if different, the State of Registry or in the safety performance of the air operator.
- ▶ An audit of the standards maintained by an operator from another State, performed by an audit organization, using one of the internationally recognized evaluation systems may be acceptable as an additional measure.

Chapter 2 – Validation Process

Additional Measures

- ▶ CAA inspectors may also request additional documentation from the air operator that could demonstrate that deficiencies have been rectified such as audits.
- ▶ In case of unsatisfactory additional measures to rectify significant deficiencies, the application to operate by the foreign operator shall be denied and a letter forwarded to the State of the Operator and the State of Registry.

Chapter 2 – Validation Process

Validity of Validation

- ▶ The validation remains valid from the date of issue as long as the Air Operator Certificate upon which it is based remains valid, unless revoked
- ▶ The limited time period of the approval may extend beyond the validity of the operator's AOC, for example if the State of the Operator only issues AOCs of short validity period (e.g. one year) or if the AOC expires soon after the initial approval
- ▶ [State] should receive in a timely manner, documented confirmation that the AOC of the foreign operator has been renewed
- ▶ The surveillance programme will also serve the purpose of confirming that the AOC remains valid.

Chapter 2 – Validation Process

Validity of Validation

- ▶ If applicant meets all requirements CAA will issue an appropriate written validation (see Appendix B).
- ▶ The document may include additional conditions and limitations for elements not listed in the operator's AOC and its associated operations specifications but considered necessary for the safe operation within [State] territory.
- ▶ Such conditions and limitations should not conflict with the AOC and the operations specifications issued by the State of the Operator.

Appendix B – Sample Validation of Air Operator Certificate

Appendix B - Sample Validation of Air Operator Certificate

[STATE]

VALIDATION OF AIR OPERATOR CERTIFICATE

NO.

This is to certify that

[The Company Registered name and Trading name if different]

meets the requirements of [State] Civil Aviation Regulations Part XXX and may conduct commercial air transport operations into, within, or from [State] territory in accordance with the Air Operator Certificate and associated operations specifications issued by the [State of Operator] and limitations and conditions stated in this Approval.

This Validation is issued on the basis of the [State of Operator] Air Operator Certificate number ____, and remains valid from the date of issue as long as the Air Operator Certificate remains valid. Unless otherwise stated in the attached Conditions and Limitations the approvals and restrictions of the Air Operator Certificate and its associated Operations Specifications remain valid within [State], in so far as they are not repugnant to the Civil Aviation Regulations of [State]. This Approval, may be cancelled, suspended, or revoked by the Director General at any time if the conditions of the issue are not met by the foreign air operator or if the Director General determines that such action is required in the interests of aviation safety.

For the Director General of [State CAA]:

Signature:

Title:

Department:

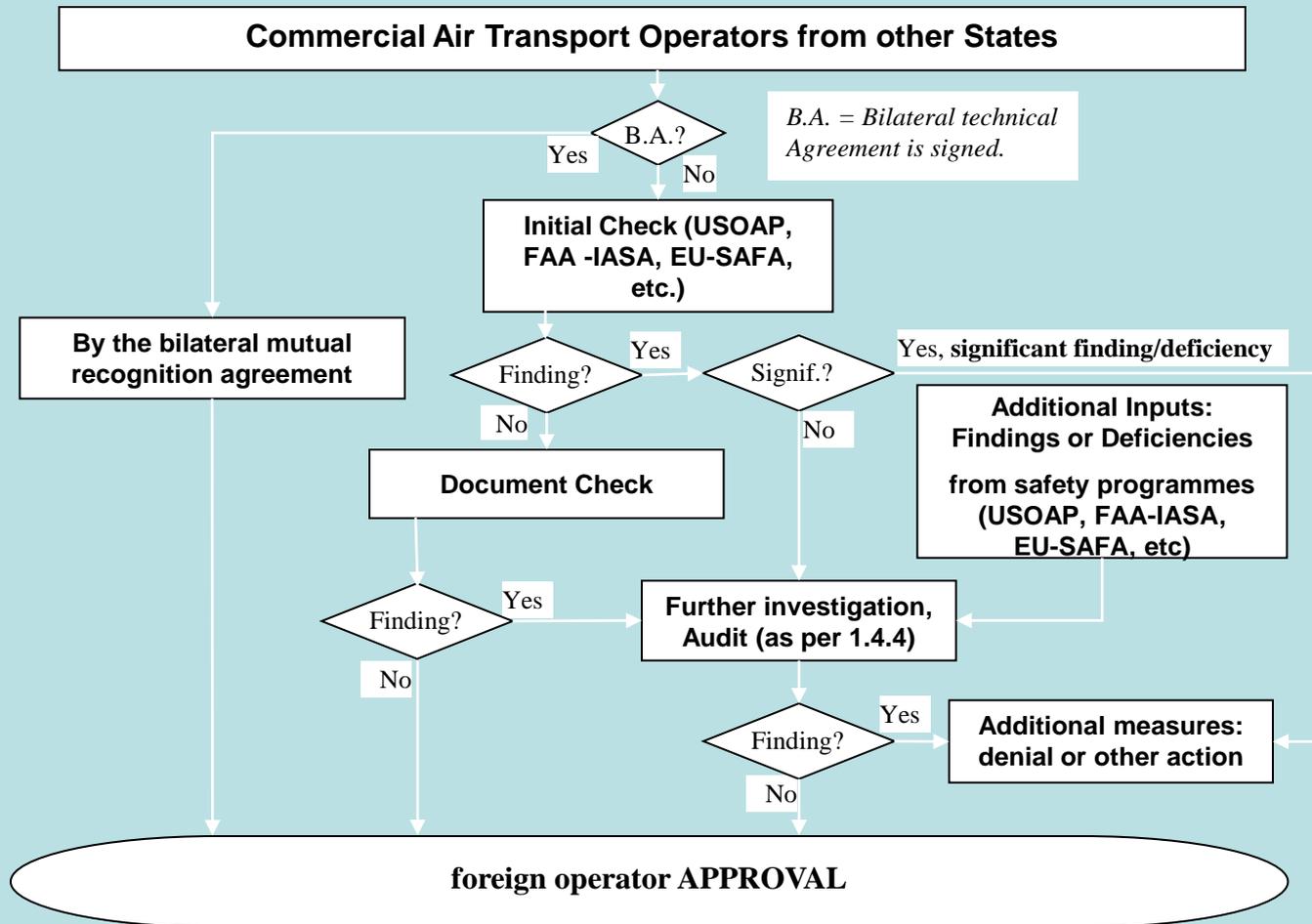
Date issued:



Conditions and Limitation for Operations into, within, or from [State] Territory

| | |
|--|---|
| Company Registered name as Stated in the approval document: | |
| Address of Principal Place of Business | |
| Mailing address: | Telephone number: Fax number: E-mail: |
| Trading name (s) if different than the Registered name stated on the Authorization, under which the operator may operate: | |
| The types of operations authorized: Passenger and Cargo Scheduled Operations Cargo only Dangerous Goods Charter Operations | |
| Conditions and limitations (if required) Note to States: Only required if the Air Operator Certificate or Operations Specification does not adequately address certain [State] specific requirements that could impact on the safety of operations. | |
| Destination airport (s) in [State] to be served: | |
| Aircraft types authorized for use : | |
| Frequency of flights: [Note to State – only required if there is requirement to track the frequency of flights] | |

Foreign Operator Initial Approval



Chapter 3 – Surveillance

Introduction

- ▶ While the State of the Operator has primary responsibility for overseeing the safety of operations of its certificate holders, CAA has responsibilities in accordance with Article 12 to the Convention - aircraft flying over or manoeuvring within its territory
- ▶ Operators will be subject to appropriate surveillance which will include regular ramp checks and documentation reviews.
- ▶ In case of significant negative findings CAA shall take appropriate measures to ensure safety

Chapter 3 – Surveillance

Inspectors

- ▶ Inspectors should be experienced and understand the difference between ramp inspections conducted on their own operators and surveillance inspections conducted on foreign operators
- ▶ The primary difference on ramp inspections carried out on FAO - standards applied to foreign operators are based primarily on international standards and not on national regulations
- ▶ Inspectors shall be sufficiency fluent in both spoken and written English language to be able to conduct the inspection For Flight Operations Inspectors this would be equivalent to capability of at least ICAO level 4

Chapter 3 – Surveillance

Training

- ▶ The inspectors shall receive special training to conduct inspections on FAO, including OJT
- ▶ Training records shall contain confirmation that the training has been completed
- ▶ Inspectors will be issued with and wear at all times inspector credentials.
- ▶ Inspectors should exercise particular tact and diplomacy during contact with representatives of various foreign government agencies they may deal with, as well as with personnel of foreign air operators.

Chapter 3 – Surveillance

Training Programme

- ▶ ICAO Convention and its Annexes 1, 6, 7, 8, 18
- ▶ Differences between ICAO standards and national regulations, which may be more detailed or restrictive;
- ▶ FAO regulations of [State]
- ▶ Diplomacy, including dealing with potential language difficulties and cultural differences.

Chapter 3 – Surveillance

Training Programme (cont)

- ▶ Sovereignty of foreign aircraft, which means that the inspector authority is limited to document, communicate and report findings
- ▶ Observing, recording and reporting procedures during inspections of foreign operators; and
- ▶ Surveillance activities which are not linked to the certification process of the operator.

Chapter 3 – Surveillance

Diplomacy Situations

- ▶ Procedures for conducting inspections of FAO differ from those used for national air operators. The following “do not” should be followed:
- ▶ Do not operate any equipment to determine whether it is working (e.g. FMS); request air operator staff to perform these function
- ▶ Do not open any access panels – request the air operator staff to perform this function

Chapter 3 – Surveillance

Diplomacy Situations

“do not” continued,

- ▶ Do not break any wire locks or seals – request air operator staff to do this
- ▶ Do not operate any test function - request air operator staff to do this
- ▶ Do not board any foreign aircraft without a representative from the air operator present

Chapter 3 – Surveillance

Diplomacy - Scenario I

- ▶ Ms. Smith an Air Safety Inspector is finishing up a ramp inspection on an Anyairline Boeing 747-300. She approaches a crew member to discuss some potential safety issues discovered in the galley of the aircraft. The crew member holds up his hand, flatly states that he doesn't speak English well, and then walks away briskly.
- ▶ Of these choices, which is the better diplomatic response for Ms. Smith at his point? Carol says

Chapter 3 – Surveillance

Diplomacy

- ① No problem. Can you please direct me then to a crew member that does speak English?
- ② That's okay. Just take this report. It says what you need to know.
- ③ I'm sorry. I didn't realize that you didn't speak English well. Please forgive me.
- ④ To herself: "Hmm... I guess I better find someone who does."
- ⑤ None of these.

Chapter 3 – Surveillance

Diplomacy - Scenario II

- ▶ You approach a foreign operator aircraft via the jet way and the co-pilot of the plane is standing outside the cockpit doorway. You explain to him that you are an FOI and that you need to conduct a standard ramp inspection on his aircraft. He asks you, somewhat defensively, "Why?" - and explains that he's not flying an aircraft registered in your State so you should not be inspecting his aircraft. You...

Chapter 3 – Surveillance

Diplomacy

- ① Assume that he's not up to speed on the requirements so you excuse yourself and enter the plane to begin your inspection anyway.
- ② Ask to speak to the pilot-in-command of the plane.
- ③ Politely explain why a ramp inspection needs to be performed, ask if he has any further questions, and then ask his permission to begin your inspection.
- ④ Excuse yourself and contact a higher authority to gain permission to begin your inspection of this aircraft.
- ⑤ None of these.

Chapter 3 – Surveillance

Diplomacy - Scenario III

- ▶ You're about to greet a recently landed foreign operator aircraft crew. Which is the best approach for you to take?

Chapter 3 – Surveillance

Diplomacy

- ① How're you doin' today? It's hot as blazes out! I'm gonna be inspecting this here bird. Mind if I begin?
- ② Hi Mr. Gonzales. Jim Peterson here. I need to begin a ramp inspection of this aircraft according to ICAO Convention, ICAO Standards and Recommended Practices, CARs 91 and 129, and Operations Specifications. Who from your crew will be my point of contact before I commence my inspection?
- ③ Hello, Mr. Gonzales. I am Fareed Ali Shah an Aviation Safety Inspector with the [State] CAA. I will be inspecting this plane. Who from your crew should I be talking with?
- ④ Do you speak English? If not, you'll need to get me someone here from your crew immediately.
- ⑤ None of these.

Chapter 3 – Surveillance

Diplomacy - Scenario IV

- ▶ In the scenario at the beginning of this section regarding incomplete aircraft and/or flight paperwork, the Air Safety Inspector should:

Chapter 3 – Surveillance

Diplomacy

- ① Diplomatically inform the flight's pilot-in-command to cease operations of the aircraft until he receives proper authority, then document, collect, and report any evidence to the proper authorities who will deal with these situations.
- ② Use all measures to prevent the aircraft from departing.
- ③ Diplomatically inform the flight's pilot-in-command that he must cease further operations of the aircraft until he receives proper authority, then document and collect any evidence but allow the pilot to depart with the aircraft as scheduled.
- ④ Diplomatically discuss with the pilot-in-command that his aircraft is in violation of the ICAO Convention, ICAO Standards and Recommended Practices, CARs 91 and 129, and Operations Specifications and recommend that he cease further operation of the aircraft.
- ⑤ None of these.

Chapter 3 – Surveillance

Diplomacy - Scenario V

- ▶ Upon greeting the crew, you are informed by the PIC that there is no time for an inspection and you must exit the plane. What do you do?

Chapter 3 – Surveillance

Diplomacy

- ① Nothing. You do as you are requested and exit the plane.
- ② You explain that the ICAO Convention, Article 16 and State CAR XXX gives you legal authority to inspect the plane and you ask to continue with the inspection.
- ③ You say nothing at this point other than you must contact the chain of command at the airport and the aircraft operator's station personnel.
- ④ None of above.

Chapter 3 – Surveillance

Pre-inspection Planning

- ▶ Inspectors should update themselves on any recent changes to SARPs and regulations;
- ▶ Confirm authorities contained in the Validation of Air Operator Certificate;
- ▶ The record of the operator's history should be examined, including records of past aircraft inspections and, in particular, those of the specific aircraft concerned in the inspection to be conducted.

Chapter 3 – Surveillance

Pre-inspection Planning

- ▶ Ramp inspections customarily involve the aircraft and its crew, line station operations, servicing and maintenance.
- ▶ Determine any issues related to customs and security
- ▶ Determination should be made of the number of inspectors and the specializations to be involved, the distribution of tasks and the time to be allocated to each task.
- ▶ It might not be possible to cover all the desired elements in the time available for a particular inspection without causing unreasonable delay to the operation.

Chapter 3 – Surveillance

Pre-inspection Planning

- ▶ CAA should apply principles of risk management to identify operations perceived to present a higher safety risk and conduct additional inspection activities aimed at those operations, which can be linked to a specific:
 - State of the Operator;
 - aircraft type;
 - nature of operations (scheduled, non-scheduled, cargo, air taxi, etc.);
 - foreign air operator; or
 - individual aircraft.
- ▶ All Foreign Air Operators shall be inspected at least once each year (to be determined by State policy and available resources)

Chapter 3 – Surveillance

Pre-inspection Planning

- ▶ Based on the CAA policy an annual inspection plan should be developed for the year to identify numbers of inspection to be conducted at all international airports
- ▶ The annual plan should allow for some special purpose inspections
- ▶ Inspectors should ensure that their credentials are current and displayed at all times when conducting an inspection

Chapter 3 – Surveillance

Inspection

- ▶ Ramp inspections conducted utilizing the Ramp Inspection Worksheets contained in Attachment I, II and/or Attachment III to Chapter 3 ([DOC 8335 checklist](#))
- ▶ Ramp inspection will be chiefly concerned with the aircraft documents and manuals, flight crew licenses, the apparent condition of the aircraft, and the presence and condition of mandatory safety equipment
- ▶ Special-purpose inspections, focused on a particular air operator, may be conducted where previous inspections have indicated a high level of non-conformances to requirements

Chapter 3 – Surveillance

Inspections

- ▶ Reports from air traffic services, airport staff and/or incident reports may also result in a requirement for special-purpose inspections.
- ▶ Ramp inspections of foreign air operators are by their nature on-the-spot assessments which can not substitute or replace safety oversight responsibilities of the State of the Operator or the State of Registry.
- ▶ Detailed guidance on the conduct of inspections of foreign operators, are described in Appendix D.

Appendix D – Guidance for Ramp Inspection

Appendix D - Guidance For Ramp Inspection

1. General

The items to be checked during a Ramp Check are summarized below:

- A - Flight Deck,
- B - Cabin / Safety,
- C - Aircraft External Condition,
- D - Cargo, and
- E - General.

2. Detailed List

The detailed list contains information on the items to be checked. For each item, guidance is provided on how to perform the check. Each item is also provided with the applicable reference in ICAO Annexes, where available. However the specific references should be checked for the complete requirements.

Note: The references to ICAO Annexes are valid as of the Amendment number indicated below:

Annex 1 to Amendment Number 168

Annex 6 to Amendment Number 32

Annex 7 to Amendment Number 5

Annex 8 to Amendment Number 100

Annex 9 to Amendment Number 20

Annex 15 to Amendment Number 34

Annex 18 to Amendment Number 9

3. Scope

It is not possible to cover all items on the list at every ramp inspection. Inspections should be planned to cover high risk items and to cover all other items over a series of inspections. It is essential that adequate records be kept and that there is complete coordination between all inspectors involved in ramp inspections of any one operator.

4. Items to be checked

Appendix D – Guidance for Ramp Inspection

| Flight Deck: General |
|--|
| <p>A 1. General Condition <u>Instructions:</u> Check cleanliness, tidiness and general condition. <u>References:</u> Nil.</p> |
| <p>A 2. Emergency Exit <u>Instructions:</u> Check if in compliance with ICAO Standards and Recommended Practices. <u>References:</u> Annex 8, 4.1.7 - Emergency landing provisions.</p> |
| <p>A 3. Equipment <u>Instructions:</u> Check for the presence of the following equipment where required:</p> <ul style="list-style-type: none"> • Two sensitive pressure altimeters with counter drumpointer or equivalent presentation (IFR operations) • Airborne collision avoidance system (ACAS); • Cockpit voice recorder (CVR) and flight data recorder (FDR); • Emergency locator transmitter (ELT); • Ground proximity warning system (GPWS); and • Where a flight management computer (FMC) is provided - valid database. <p><u>References:</u> Altimeters Annex 6, Part I, 6.9.1. c). ACAS II Annex 6, Part I, 6.18. CVR and FDR Annex 6, Part I, 6.3; and Part III, Section II, 4.3. GPWS Annex 6, Part I, 6.15. ELT Annex 6, Part I, 6.17 and Part III, Section II, 4.7. Database Annex 6, Part I, 7.4.2.</p> |

Appendix E - Levels of seriousness and related actions

| | ACTION TO BE TAKEN AFTER FINDINGS DURING A RAMP INSPECTION OF A FOREIGN OPERATOR | Action | | |
|-------------------------|--|---------------------------------|--|--|
| | | Information to pilot-in-command | Information to responsible CAA (State of the Operator and/or State of Registry) and operational management of the operator | Corrective actions |
| Seriousness of findings | Minor | Yes | No | No |
| | Significant | Yes | Yes Letter to CAA and copy to Operator's management | No |
| | Major | Yes | Yes Letter to CAA and copy to Operator's management. In case of aircraft damage affecting airworthiness, a direct communication with the State of Registry CAA will also be established and in accordance with Annex 8 the State of Registry regarding return to flight status Confirmation will be required by letter to the [State] CAA and copy to operator's management. | Yes Actions consisting of operational restrictions corrective actions before flight or at maintenance-base, grounding and/or withdrawal of validation of air operator certificate in the territory of the [State] will depend on the circumstances. |

Chapter 3 – Surveillance

Post Inspection

- ▶ Inspector action resulting from findings will depend on the seriousness of the safety finding.
- ▶ Specific action may also be needed where the State of Registry of the aircraft is different from the State of the Operator.
- ▶ Inspectors will use the information contained in Appendix E as a guide in determining the seriousness of a finding and in the course of action to be taken.
- ▶ Should a foreign air operator not resolve a major finding in a timely manner then revocation of the validation may be considered

Chapter 3 – Surveillance

Post Inspection

- ▶ If there are findings the air operator or CAA in question will be advised in writing requesting remedial action
- ▶ Depending on the seriousness, a copy to the appropriate foreign CAA of the State of the Operator and/or the State of Registry
- ▶ If a response is not received from the air operator within thirty days then the foreign CAA should be contacted directly and requested to ensure that corrective action has been taken to rectify the situation. (Attachment IV contains sample letters that will be used by inspectorate staff.)

Attachment IV – Sample Correspondence

Attachment IV – Sample Correspondence Minor Findings Sample Letter

File: 12345

XX August 2008

Mr. John Doe
Station Manager.....
XWZ Airline
Fax: 123456

Dear Mr. John Doe,

The [State CAA] conducts regular Ramp Inspections of Foreign Air Operators in [State]. These inspections are conducted under the authority of [State CAR XXX] which is in conformance with Article 16 of the ICAO Convention. The inspections are conducted using a detailed checklist which is based on certain aircraft operations Standards as contained in pertinent ICAO Annexes.

A routine Ramp Inspection was conducted on your flight XYZ123, aircraft registration X-XXXX, prior to its departure from XXX airport on [date]. Attached for your information is a copy of the report which contains minor finding (s). We would kindly request feedback on the report and that corrective action be taken by your airline within 30 days of receipt of this letter.

Yours sincerely,
[function] Civil Aviation Safety Inspector
[State]

Attachment IV – Sample Correspondence (cont)

Significant Findings Sample Letter

File: 12345

XX August 2008

Mr. John Doe
Station Manager
XWZ Airline
Fax: 123456

Dear Mr. John Doe,

The [State CAA] conducts regular Ramp Inspections of Foreign Air Operators in [State]. These inspections are conducted under the authority of [State CAR] which is in conformance with Article 16 of the ICAO Convention. The inspections are conducted using a detailed checklist which is based on certain aircraft operations Standards as contained in pertinent ICAO Annexes.

A routine Ramp Inspection was conducted on your flight XYZ123, aircraft registration X-XXXX, prior to its departure from XXX airport on [date]. Attached for your information is a copy of the report which contains significant finding(s). We would request feedback on the report and that corrective action to be taken by your airline. As you will note below we have also provided a copy of this letter to your Civil Aviation Authority, who may also wish to provide comments concerning these finding (s).

We would request a reply within 30 days of receipt of this letter.

Yours sincerely,
[function] Civil Aviation Safety Inspector
[State]
CC: Mr.
Director General
[State CAA of aircraft operator and registration if different]

Attachment IV – Sample Correspondence (cont)

Serious Findings Sample Letter

File: 12345

XX August 2008

Mr.

Director General
[Foreign CAA]

Dear Sir,

The [State CAA] conducts regular Ramp Inspections of Foreign Air Operators in [State]. These inspections are conducted under the authority of [State CAR XXX], which is in conformance with Article 16 of the ICAO Convention. The inspections are conducted using a detailed checklist which is based on certain aircraft operations Standards as contained in pertinent ICAO Annexes.

A routine Ramp Inspection was conducted on XYZ airline, aircraft registration X-XXXX, prior to its departure from XXX airport on [date]. Attached for your information is a copy of the report which contains serious finding (s). Due to the serious nature of the finding (s) we would kindly request [Foreign CAA] investigation of this matter and information concerning the corrective action that will be undertaken by the airline to prevent a re-occurrence of these finding (s). As an interim measure we will increase our surveillance of XYZ airline.

Your assistance with this matter is appreciated and we look forward to receiving the results of your investigation of this safety matter as soon as possible.

Yours sincerely,

Mr. XYZ

Director General
[State CAA]

Chapter 3 – Surveillance

Post Inspection

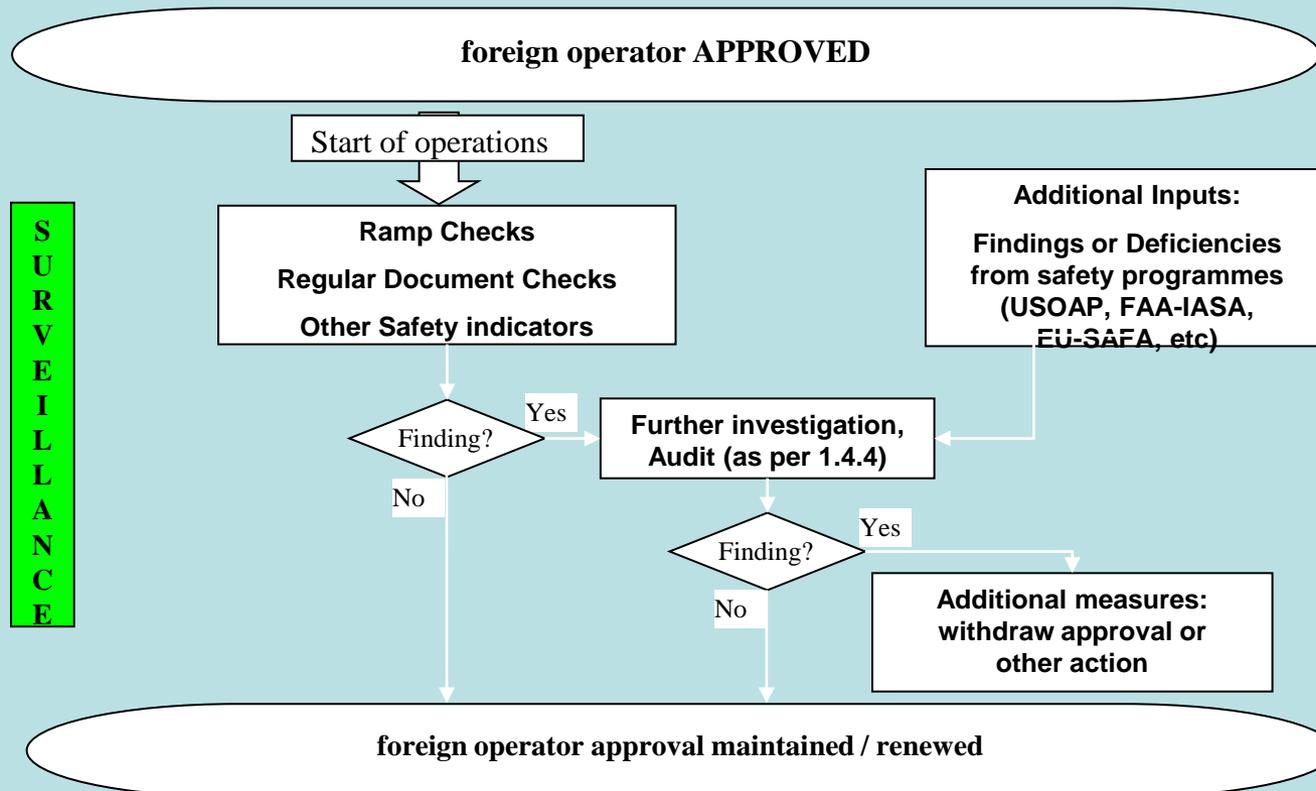
- ▶ In accordance with Article 16 of the Chicago Convention, Inspectors will not normally cause a delay to a particular flight to complete a Ramp Inspection.
- ▶ Where there is insufficient time to complete a particular inspection due to the late arrival of the aircraft or for some other reason, then another inspection should be planned
- ▶ Delays may be unavoidable where it has been determined that the aircraft has damage and is not airworthy.

Chapter 3 – Surveillance

Post Inspection

- ▶ Annex 8, Part II, allows the State to prevent a damaged foreign aircraft from resuming its flight operation on the condition that the CAA shall advise the State of Registry or State of the Operator as applicable.
- ▶ The State of Registry or State of the Operator, as applicable, will consider the airworthiness of the aircraft and prohibit the aircraft from resuming flight until it is restored to an airworthy condition or permit the aircraft to resume its flight, if considered airworthy, or permit the aircraft to conduct a non-commercial air transport operation.

Continuing Foreign Operator Surveillance



SURVEILLANCE



THANK YOU