

**[STATE CAA]**

**MANUAL OF VALIDATION AND SURVEILLANCE**

**FOR**

**COMMERCIAL AIR TRANSPORT OPERATIONS**

**BY**

**FOREIGN AIR OPERATORS**

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## Foreword

This Manual outlines [State CAA]' procedures for the validation, surveillance and resolution of safety issues, associated with commercial air transport operations by an operator from another State. The primary role in the safety oversight of any operator is that of the State of the Operator which issued the Air Operator Certificate (AOC). However, each State has a responsibility to insure that every aircraft flying over or manoeuvring within its territory shall comply with the rules and regulations relating to the flight. Because of the wide scope of operations involved and the many variables that can be encountered, it is impossible to anticipate all situations, therefore CAA personnel must exercise common sense and good judgement in the application of these policies and procedures.

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Director General,

Civil Aviation

[State CAA]

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## Record of Amendments

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# Chapter 1

## **1 General**

### **1.1 [Flight Standards Directorate or as applicable]**

#### **1.1.1 General**

Pursuant to Article [number] of the Civil Aviation Law, the Minister is responsible for the regulation and supervision of all aeronautical matters within [State]. Pursuant to Part XXX of the [State] Civil Aviation Regulations (CARs)], the [State CAA] has determined that all foreign aircraft operated in air transport operations within [State] shall be operated and maintained in accordance with ICAO Standards, as well as the terms of an Air Operator Certificate (AOC) and associated Operations Specifications issued by the State of the Operator. The Director General shall issue a formal validation of the air operator certificate, which may include additional authorizations, conditions and limitations which are intended to address unique and special requirements associated with the airspace of the State where the operations will occur. Such approvals, conditions and limitations should not conflict with the AOC and the associated operations specifications issued by the State of the Operator. The discharge of this responsibility has been delegated to the [Director, Chief as appropriate].

#### **1.1.2 Responsibilities**

The [Flight Standards Directorate or as applicable] is responsible for:

- (1) Promulgating functional direction for the regulation of foreign air operators operating in and out of [State];
- (2) Issuance of the validation of air operator certificate, establishment of foreign air operator surveillance programme and subsequently implementation of the programme;
- (3) Communicating with foreign civil aviation authorities, and related coordinating and liaising with appropriate [State] government departments and agencies;
- (4) Participating in working groups, seminars, conferences, on matters relating to international air services and the regulation thereof; and
- (5) Providing assistance, when requested, to foreign civil aviation authorities (CAAs).

### **1.2 Application of the Manual**

#### **1.2.1 Definitions**

For the purposes of this manual:

“CAA” identifies Civil Aviation Authority of [State]; and

“CAA inspector” identifies, as applicable, an operations inspector, a cabin safety inspector or an airworthiness inspector.

#### **1.2.2 Procedures**

The procedures herein shall apply to the operation of any civil aircraft for the purpose of commercial air transport operations by any air operator who’s Air Operator Certificate is issued and controlled by a civil aviation authority other than the [civil aviation authority of STATE]. Adherence to the guidance herein provided will enable CAA personnel to perform foreign air operator validation and surveillance in a uniform manner.

### **1.2.3 Guidance**

The guidance herein provided applies to all foreign commercial air operators falling within the scope of Part XXX of the Civil Aviation Regulations. Because of the broad scope of foreign air operations and the many variables involved, it is impossible to provide detailed procedures and guidance for all requirements. Therefore, CAA inspectors must have a sound knowledge of their inspection responsibilities and exercise sound judgement in applying the policy, procedures and guidance found in this manual.

### **1.3 Preparation and Distribution of the Manual**

This manual is an official [State CAA] document, available to the public upon request.

### **1.4 Manual Revisions**

Suggestions and comments for amendment of the Manual should be sent to the [Director General, Director as appropriate].

### **1.5 General Considerations**

#### **1.5.1 [Civil Aviation Regulations (CARs) or as appropriate]**

Pursuant to the authority of Part XXX of the CARs, a foreign air operator shall not operate an aircraft in commercial air transport operations in [State] contrary to the requirements of:

- (1) Part XXX;
- (2) Applicable paragraphs of Parts [STATE GENERAL OPERATING RULES];
- (3) The Validation of Air Operator Certificate; and
- (4) The rules of the State of Registry and the State of the Operator of the aircraft that give effect to the Standards and Recommended Practices contained in Annex 6, Part I and Part III, Section II, and in Annex 8 to the Chicago Convention.

#### **1.5.2 Requirements**

To recommend the issuance of a validation of air operator certificate, CAA inspectors shall ensure that:

- (1) The foreign air operator has been issued an Air Operator Certificate (AOC) and associated operations specifications by the State of the Operator in accordance with pertinent national regulations,
- (2) The AOC authorizes the air operator to conduct operations to [State] as requested by the foreign air operator; and,
- (3) Determination that the State of the Operator is capable to carry out safety oversight of the foreign air operator.

#### **1.5.3 [State] Air Services Agreement Requirements**

1.5.3.1 All foreign air operators wishing to operate an air service within [State] or into and out of [State] must obtain an Air Services Agreement from the [State]. This requirement is entirely separate from the process of obtaining ~~an~~ a validation of air operator certificate.

1.5.3.2 The Air Service Agreement may contain a safety clause addressing safety requirements that each party to an agreement would need to maintain and helps to ensure that aircraft using airspace and airports in another State are operated and

maintained in accordance with ICAO Standards. Ongoing dialogue, as well as surveillance of air operations, would be required to maintain the validity of such an agreement.

*Note: DOC 8335, Manual of Procedures for Operations Inspections, Certification and Continued Surveillance outlines the text of a model clause in Attachment VI-A.*

- 1.5.3.3 [State] may authorize flights not contained in the Air Services Agreement on a case by case basis. Such flights would be of short duration for special events, for emergency purposes, etc., and a validation of the AOC in accordance with the procedures of this manual may or may not be required depending on the circumstances. Nevertheless, the [State CAA] will determine that such operations can be conducted in a safe manner.

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## Chapter 2

### 2 Validation Air Operator Certificate

#### 2.1 General

- 2.1.1 Pursuant to Part XXX.5 of the CARs, all foreign air operators conducting air transport operations in [State] shall do so under the terms and conditions of an AOC and associated Operations Specifications issued by the State of the Operator, and Validation of AOC with additional authorizations, conditions and limitations as applicable, issued by [State Director General].
- 2.1.2 Pursuant to Article 11 of the ICAO Convention, each member state recognizes the other contracting States' right to regulate aircraft that operate in their airspace. Consequently, the foreign air operator must comply, where applicable, with the [State Civil Aviation Law and the CARs] when operating within [State]'s territory.
- 2.1.3 When evaluating an application by an operator from another State to operate within its territory, the [ State CAA] must examine both the safety oversight capabilities and record of the State of the Operator and, if different, the State of Registry, as well as the operational procedures and practices of the operator.
- 2.1.4 In the case where bilateral or multilateral agreements have been established, validations should be granted on the basis of such an agreement rather than under this manual. Such agreements should consider the provisions outlined below and should include appropriate safety provisions.
- 2.1.4 Where no bilateral or multilateral agreement exists, an administrative review of the relevant documentation as detailed below should be performed. Validation should be granted in the absence of any significant negative findings / major deficiencies.

In the case of any significant negative findings / major deficiencies, the document review may be followed by additional measures as described in 2.2.6 prior to issuing a validation.

#### 2.2 Validation Process

*Note: Appendix C contains a flow chart of the approval process as outlined below*

##### 2.2.1 Documentation Required

Foreign air operators shall be required to submit the documentation below:

- (1) Air Operator Certificate and associated operations specifications;
- (2) Insurance certificate;
- (3) 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
- (4) Document authorizing the specific traffic rights, issued by [appropriate department] or resulting from a bilateral air transport agreement ,if required, by the [State].

##### 2.2.2 Initial Application

- (1) Applicants from a contracting State to the Chicago Convention shall make application in accordance with the application contained in Appendix A.

- (2) Application requirements for applicants from a State that is not a contracting State to the Chicago Convention will be determined on a case-by-case basis.

### **2.2.3 Amendment to an Existing Validation**

Applicants requesting an amendment to an existing Validation (that is, a change in or addition to service, aircraft type, etc.) will be required to provide the following documentation:

- (1) a copy of the relevant amended CAA authority, as applicable;
- (2) a copy of the relevant CAA authority to operate the aircraft into [State], if amended;
- (3) a completed [State] Foreign Operator's Application Form;
- (4) if the aircraft is leased, documentation as outlined in section 2.4 below;
- (5) copies of any additional operations specifications relevant to the application and issued by the State of the Operator; and
- (6) any other information required by the Director General.

### **2.2.4 Review of Documentation**

[State CAA] personnel shall confirm receipt of all requested documents. Normally, certificates and licences issued or rendered valid by a contracting State to the Chicago Convention 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 any aspect of the collected documentation and the air operator is unable to provide clarification, this concern is to be conveyed to the CAA of the applicant's State of Registry or State of the Operator as applicable.*

### **2.2.5 Evaluation of an Application by a Foreign Operator**

- 2.2.5.1 When evaluating a new application by a foreign air operator [State CAA] must examine both the safety oversight capabilities and record of the State of the Operator and, if different, the State of Registry. This is necessary in order for the [State CAA], in the terms of Article 33 to the Convention, to have confidence in the validity of the certificates and licences associated with the operator, its personnel and aircraft, in the operational capabilities of the operator and in the level of oversight applied to the activities of the operator by the State of the Operator.
- 2.2.5.2 ICAO has developed a *Safety Oversight Audit (SOA) Secure Site* internet website [<http://www.icao-soa.ca/soamain>] to provide all Contracting States the ability to access safety critical information collected from Contracting States during the Universal Safety Oversight Audit Programme (USOAP) audit. This secure site contains final safety oversight audit reports including the audit findings, recommendations, State's action plan and comments, as well as the comments of the Safety Oversight Audit Section on a State's action plan in addition to all relevant information derived from the *Audit Findings and Differences Database (AFDD)*. The SOA Secure Site is also accessible through the ICAO Flight Safety Information Exchange (FSIX) website [<http://www.icao.int/fsix>].
- 2.2.5.3 [State] CAA may be able to obtain information on an operator from another State by request to the State of the Operator for reports of any inspections that may have been conducted.

2.2.5.4 [State ] 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 as code-sharing partners. 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.

## **2.2.6 Additional Measures**

2.2.6.1 Additional measures will be taken by the [State] CAA 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.

2.2.6.2 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. For example, an operator listed on the IATA Operational Safety Audit (IOSA) registry has satisfactorily undergone an IOSA audit in the last 24 months, a result that may be taken into account.

2.2.6.3 [State] CAA inspectors may also request additional documentation from the air operator that could demonstrate that deficiencies have been rectified.

2.2.6.4 In case of unsatisfactory additional measures to rectify significant negative findings / major 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, if different, with a copy to the operator's management with details of the significant findings. An air operator may provide additional supporting documentation or evidence should they have it.

## **2.3 Reserved**

## **2.4 Leased Aircraft -- Additional Requirements**

### **2.4.1 Aircraft Not Registered in State of Operator**

For those aircraft intended to be operated in [State] which are not registered by the State of Operator, [State CAA] requires evidence of conformity with oversight responsibilities of the State of Registry and the State of the Operator for each aircraft so operated.

### **2.4.2 Dry Lease**

2.4.2.1 A dry lease is understood to be the lease of an aircraft where the aircraft is operated under the AOC of the lessee. It is a lease where the aircraft is provided without a crew, operated under the custody and the operational and commercial control of the lessee using the lessee's airline designator code and traffic rights.

2.4.2.2 Where an aircraft is operated under a dry lease arrangement from the State of Registry to another state (the State of the Operator) and the registration is not changed, the applicant shall provide the [State] CAA with the following information:

- a) the aircraft type and serial number;
- b) the name and address of the registered owner;
- c) State of Registry nationality and registration marks;

- d) Certificate of Airworthiness and statement from the registered owner that the aircraft fully complies with the airworthiness requirements of the State of Registry;
- e) name, address and signature of the lessee or person responsible for operational control of the aircraft under the lease agreement, including a statement that such individual and the parties to the lease agreement fully understand their respective responsibilities under the applicable regulations;

2.4.2.3 Once satisfied that the lease agreement is a dry lease, a review of the Operations Specifications issued by the State of the Operator shall be carried out to ensure all aspects of the lease have been considered. During the evaluation of the application, the [State CAA] should ensure that the responsibilities of the State of Registry and State of Operator have been clearly defined.

### **2.4.3 Wet Lease**

2.4.3.1 A wet lease is where the aircraft is provided with a crew. In wet leases the lessor normally exercises operational control of the aircraft. A wet lease situation therefore means that an aircraft will be operated under an AOC issued by the State of the lessor.

2.4.3.2 In the rare event that there is a determination that the lessee will be the operator of a wet leased aircraft under a wet lease agreement, the [State] CAA must determine whether the lessee can effectively maintain operational control of the aircraft. In such cases, the training and supervision of the flight crew, including how they are to be integrated into the lessee's operations, become critical considerations. If it is apparent that the lessee will not be able to maintain effective operational control under the terms of the agreement, the CAA should not approve the proposed operations with a wet leased aircraft.

2.4.3.3 [State CAA] shall ensure that the wet lease operation is authorized by the State of the Operator, with identification of the operator who has operational control of the aircraft.

2.4.3.4 Some wet leasing operations, charters or sub-charters, are organized for short terms at very short notice (for example, where an operator wishes to replace an unserviceable aircraft on a particular service and is forced to contract with another operator for that service to be operated). In the case of short term wet lease, charter or sub-charter, the lessor will retain all responsibilities and operational control.

2.4.3.5 Where application is made to operate an aircraft that is wet leased, [State] CAA shall require:

- (1) That the operator from whom the applicant is leasing the aircraft hold a valid AOC (containing the required privileges) prior to the CAA processing the applicant's request; and
- (2) The documentation required by 2.4.2.2.

*Note: [State] will examine on a case by case basis whether wet lease operations will be permitted before validation of the air operator certificate is issued.*

## **2.5 Issuance or Amendment to a validation**

2.5.1 Pursuant to XXX of the [State CARs], the [Director General, Director as applicable], shall, upon determination that the applicant has met all of the safety and regulatory requirements, issue or amend the validation and the conditions and limitations as applicable.



- 2.5.2 If the [State] CAA decides to approve the service, it will issue an appropriate written validation (see Appendix “B”) to the operator. This document may include additional authorizations, 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.
- 2.5.3 These authorizations, conditions and limitations, that may be included, are intended to provide more detailed information and may address unique and special requirements associated with the airspace of [State] where the operations will occur. The issue of these authorizations, conditions and limitations is part of the State approval of the operations. Such authorizations, conditions and limitations should not conflict with the AOC and the operations specifications issued by the State of the Operator.

## **2.6 Inactive Approval Application or Amendment Request**

Once the [State CAA] staff has responded to an initial application for a validation or to a request for an amendment to an existing validation, the following periods will apply:

- (1) if no response from the applicant has been received after a period of 90 days, the [State CAA] staff will send a reminder to the applicant; and
- (2) if there is no response after 180 days (including the above 90), then the application file will be closed.

Should the applicant reapply, it will be considered a new application.

## **2.7 Records Management**

Two files are used to maintain records associated with the validation of air operator certificate:

- (1) [State #####] (the suffix numbers are controlled by Central Records): This file is opened by Central Records for material relating to an application, up to the time of approval issuance; and
- (2) [State #####] (the suffix numbers are controlled by the [Director General, Director as applicable]): This file is opened on the day that the validation is issued and is to contain all material that supports or justifies the granting of a validation. It contains the latest validation issued to the foreign air operator, justification for the validation, and copies of all superseded documents.

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## Chapter 3

### 3 Surveillance of Foreign Air Operators

#### 3.1 Introduction

3.1.1 In order to maintain a Validation of Air Operator Certificate issued by [State CAA], operators will be subject to appropriate surveillance. This includes regular ramp checks and documentation reviews. In case any significant negative finding / major deficiency is encountered during this process, [State CAA] staff shall take appropriate measures, to ensure significant negative findings / major deficiencies are rectified.

3.1.2 While the State of the Operator which issued the AOC has primary responsibility for overseeing the safety of operations of its certificate holders, [State CAA] undertakes, in accordance with Article 12 to the Convention, to ensure that every aircraft flying over or manoeuvring within its territory shall comply with ICAO and [State] requirements.

#### 3.2 Inspectors

3.2.1 All inspectors who conduct inspections of foreign aircraft must be experienced inspectors who understand the difference between ramp inspections conducted on their own operators as part of their certificate management responsibilities and surveillance inspections conducted on aircraft of foreign operators. These inspectors must be specifically trained and authorized to conduct such inspections and possess appropriate credentials identifying them as inspectors employed by [State CAA].

3.2.2 Inspections of an aircraft should be conducted by Inspectorate staff already experienced in the inspections of [State] national operators. The foreign operator's ramp inspections should be carried out in a similar manner to the ramp inspections of [State] operators, with some important differences, as the standards applied to foreign operators are based primarily on international standards and not on national regulations. Inspectors shall be fluent in both spoken and written English language. The classroom training should also be followed by On the Job Training. The inspector's training file shall be annotated to indicate that the required training has been completed and attesting to the inspector's qualifications to conduct surveillance of foreign air operators.

The inspectors shall be trained and knowledgeable in the following:

- (a) ICAO Convention and its Annexes 1, 6 and 8;
- (b) Differences between ICAO standards and national regulations, which may be more detailed or restrictive;
- (c) Diplomacy, including dealing with potential language difficulties and cultural differences;
- (d) Sovereignty of foreign aircraft, which means that the inspector authority is limited to document, communicate and report findings, except as provided below at 3.2.8.
- (e) Observing, recording and reporting procedures during inspections of foreign operators; and
- (f) Surveillance activities which are not linked to the certification process of the operator.

- 3.2.3 Inspectors should exercise particular tact and diplomacy during contact with representatives of various foreign government agencies they may deal with, as well as with representatives of foreign air operators.
- 3.2.4 Routine surveillance will be conducted on all foreign air operators by [State CAA] inspectors at each international airport during ramp inspections. All ramp inspections of aeroplanes will be conducted utilizing the Ramp Inspection Worksheets contained in Attachment I and Attachment II. The 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 cabin safety equipment.
- 3.2.3 An annual inspection plan for foreign air operators will be developed prior to each calendar year by inspectorate staff. The plan will ensure that each foreign air operator shall be inspected at least once each year. Inspections shall be conducted at each airport where foreign air operators may operate. The plan will ensure that there is consideration of inspections that may be required under 3.2.4 below.
- 3.2.4 Special-purpose inspections, based on risk assessment and focused on a particular air operator, may be conducted where previous inspections have indicated a high level of non-conformances to requirements by a particular air operator. In addition, reports from air traffic services, airport staff and/or incident reports may also result in a requirement for special-purpose inspections.
- 3.2.5 If there is any finding from an inspection, the air operator in question will be advised in writing, and depending on the seriousness, with a copy to the appropriate foreign CAA of the State of the Operator and/or the State of Registry, as applicable, advising of the safety deficiency or observation and requesting remedial action or comment as appropriate. 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. (See Appendix, Section 4 for guidance regarding notification and sample letters that will be used by inspectorate staff.)
- 3.2.6 It is to be noted that 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. Ramp inspections serve as pointers but they are not intended to, and they cannot, guarantee the airworthiness of a particular aircraft or the safety of the operator's flight operations.
- 3.2.7 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 for a subsequent flight, subject to the following section 3.2.8
- 3.2.8 Delays may be unavoidable where it has been determined that the aircraft has damage and is not airworthy. Annex 8, Part II, 3.6 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, under prescribed limiting conditions, to an aerodrome at which it will be restored to an airworthy condition.

### **3.3 Sharing of safety information**

[State CAA] will share relevant safety findings regarding a foreign operator with other Contracting States.

### **3.4 Pre-inspection planning**

- 3.4.1 Inspectors should prepare for an inspection by updating themselves on any recent changes to [State] regulations with respect to operations by operators from other States.
- 3.4.2 A check should be made of the authority for the operator to operate, and to operate the particular aircraft concerned, by consideration of its nationality and registration marks.<sup>1</sup>
- 3.4.3 The record of the operator's history in [State] should be examined, including records of past aircraft inspections and, in particular, those of the specific aircraft concerned in the inspection to be conducted, to check for any outstanding actions or recurring trends that might warrant particular attention.
- 3.4.4 Ramp inspections customarily involve the aircraft and its crew, line station operations, servicing and maintenance and the ramp and gate area condition and activity. Time constraints may apply only to the inspection of the aircraft and crew. 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.
- 3.4.5 Whilst the plan will include comprehensive inspections 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. As inspections on aircraft of any one operator may be conducted at different airports by different inspectors, the overall inspection plan will need to take this into account. Some elements should be covered at every inspection, others can be covered over a number of inspections. Thus comprehensive records must be kept of all inspections of aircraft of a particular operator in [specify State records management location or central database, as applicable] accessible to and updated by the inspectors concerned. From these records it will be possible to plan the content of inspections so that a complete inspection of the aircraft of any one operator is undertaken over [ define period for a complete inspection cycle. Normally one year].
- 3.4.6 Selection of a particular aircraft to inspect should normally be done at random, in a non-discriminatory manner. However, the [State] Inspectors shall apply principles of risk management to identify operations perceived to present a higher safety risk and, as a result, conduct additional inspection activities aimed at those operations, which can be linked to a specific:
- (a) State of the Operator;
  - (b) aircraft type;
  - (c) nature of operations (scheduled, non-scheduled, cargo, air taxi, etc.);
  - (d) foreign operator; or
  - (e) individual aircraft.

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<sup>1</sup> In the near future, data may be available from the international register of AOCs, to be established by ICAO.

### **3.5 Inspections**

Detailed guidance on the conduct of inspections of foreign operators, are described in Appendix “D”.

## Chapter 4

### **4 Action on Findings – Resolution of Safety Issues**

#### **4.1 General**

- 4.1.1 After a ramp inspection of a foreign air operator, 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.
- 4.1.2 [State CAA] staff 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 [State CAA} will consider revocation of the validation to operate to [State].

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# Appendix A -- FOREIGN AIR OPERATOR APPLICATION

## FOREIGN AIR OPERATOR APPLICATION PAGE 1 of 2

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		
Company registered name and trading name if different. Address of company: mailing address; telephone; fax; and e-mail.	Address of the principal place of business including: telephone; fax; and e-mail.	
3. Proposed Start Date of Operations: (dd/mm/yyyy):	4. ICAO 3-letter Designator for aircraft operating agency:	
5. Operational Management Personnel (Chief Executive Officer, Chief Pilot, Director Maintenance, Safety Officer etc.)		
Name	Title	Telephone, fax and e-mail
Section 1B. Type of approval requested - To be completed by the air operator, checking applicable boxes		
6 1. <input type="checkbox"/> Air operator intends to conduct commercial flights to and from aerodromes in [State]		
2. <input type="checkbox"/> Air operator intends to only conduct overflights and technical stops in [State]		
7. Air Operator proposed types of operation:	8. Geographic areas of intended operations and proposed route structure:	
<input type="checkbox"/> Passengers and Cargo <input type="checkbox"/> Cargo Only <input type="checkbox"/> Scheduled Operations <input type="checkbox"/> Charter Flight Operations <input type="checkbox"/> Dangerous Goods		
Section 1C on Page 2 to be completed by the air operator		
Signature:	Date (dd/mm/yyyy) :	Name and Title:
Section 2. To be completed by the CAA		
Evaluated by (Name and Office):	CAA Decision: <input type="checkbox"/> Approval granted <input type="checkbox"/> Not approved	
Remarks:		
Signature of CAA representative:	Date (dd/mm/yyyy):	

**FOREIGN AIR OPERATOR APPLICATION PAGE 2 of 2**

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:				
<b>Aircraft Type</b> (make, model and series, or master series)	<b>RVSM Approval</b>	<b>ETOP S</b>	<b>Noise Certification</b> (Annex 16 Ch.)	<b>Remarks</b>
[Aircraft type 1]	<input type="checkbox"/>	<input type="checkbox"/>		
[Aircraft type 2]	<input type="checkbox"/>	<input type="checkbox"/>		
[Aircraft type 3]	<input type="checkbox"/>	<input type="checkbox"/>		
[Aircraft type 4]	<input type="checkbox"/>	<input type="checkbox"/>		
Etc.	<input type="checkbox"/>	<input type="checkbox"/>		
<p>Attach copies of:</p> <p>Air Operator Certificate and associated operations specifications;</p> <p>Insurance certificate;</p> <p>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</p> <p>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).</p>				

## Appendix B – Sample Validation 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 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 Authorizations, 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:

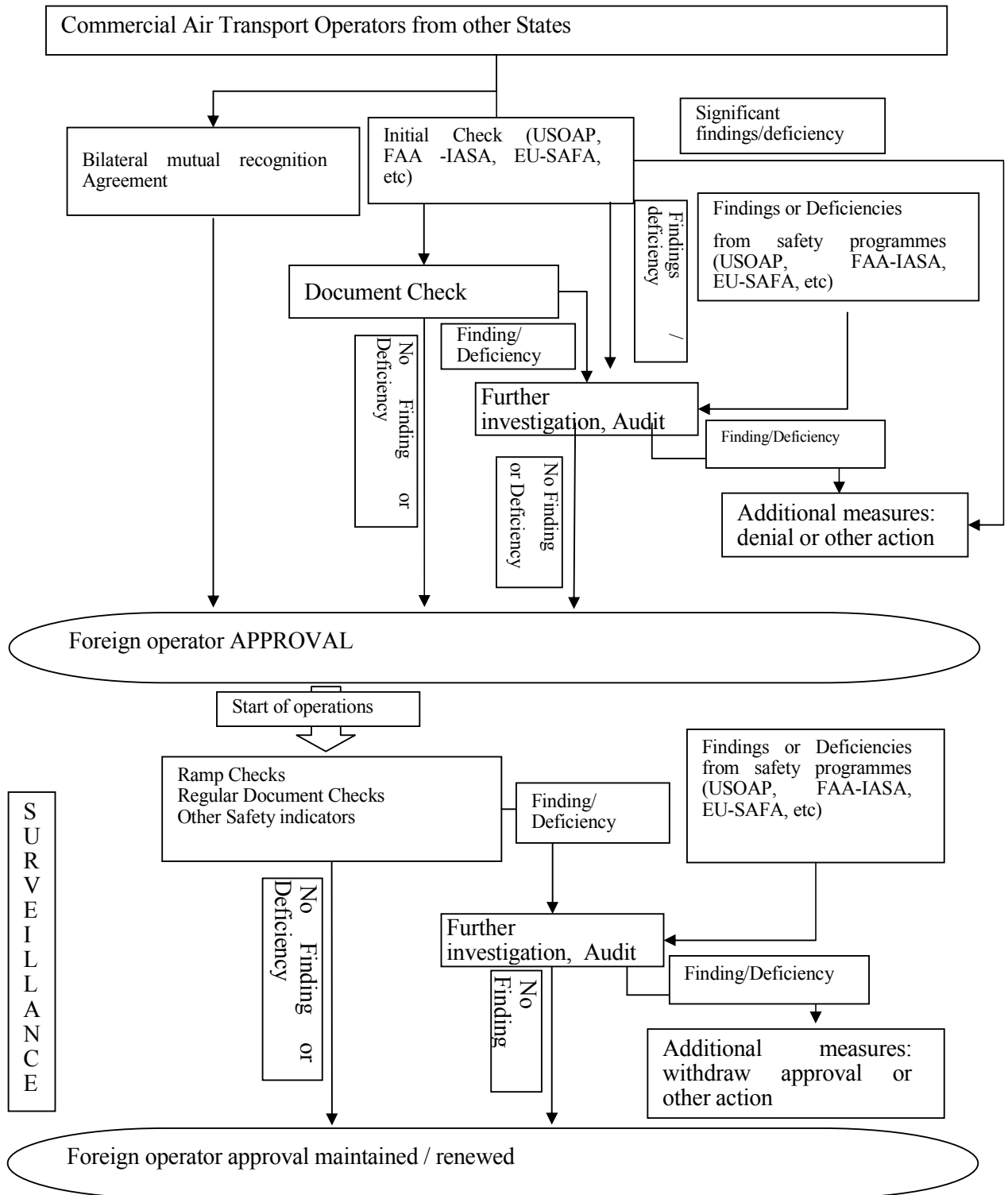
Department:

Date issued:

**AUTHORIZATIONS, CONDITIONS AND LIMITATIONS 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:  <input type="checkbox"/> Passenger and Cargo <input type="checkbox"/> Scheduled Operations <input type="checkbox"/> Cargo only <input type="checkbox"/> Dangerous Goods <input type="checkbox"/> Charter Operations	
Destination airport(s) in [State] to be served/Area(s) of operation or routes:	
Aircraft types authorized for use (If State limits the authorization to specified aircraft, the registration and serial number of each aircraft authorized):	
Frequency of flights:	

## Appendix C – Flow Chart



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## 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.

### 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

<b>Flight Deck:</b>
<b>General</b>
<p><b>A 1. General Condition</b></p> <p><u>Instructions:</u> Check cleanliness, tidiness and general condition.</p> <p><u>References:</u> Nil.</p>
<p><b>A 2. Emergency Exit</b></p> <p><u>Instructions:</u> Check if in compliance with ICAO Standards and Recommended Practices.</p> <p><u>References:</u> Annex 8, 4.1.7 - Emergency landing provisions.</p>
<p><b>A 3. Equipment</b></p> <p><u>Instructions:</u> Check for the presence of the following equipment where required:</p> <p>Two sensitive pressure altimeters with counter drumpointer or equivalent presentation (IFR operations)</p> <p>Airborne collision avoidance system (ACAS);</p> <p>Cockpit voice recorder (CVR) and flight data recorder (FDR);</p> <p>Emergency locator transmitter (ELT);</p> <p>Ground proximity warning system (GPWS); and</p> <p>Where a flight management computer (FMC) is provided - valid database.</p> <p><u>References:</u></p> <p>Altimeters Annex 6, Part I, 6.9.1. c).</p> <p>ACAS II Annex 6, Part I, 6.18.</p> <p>CVR and FDR Annex 6, Part I, 6.3; and Part III, Section II, 4.3.</p> <p>GPWS Annex 6, Part I, 6.15.</p> <p>ELT Annex 6, Part I, 6.17 and Part III, Section II, 4.7.</p> <p>Database Annex 6, Part I, 7.4.2.</p>



## Documentation

### **A 4. Manuals**

All required manuals

Instructions: Check for presence. Check if manuals are up-to-date and accepted or approved as required. Flight manual data may be included in the operations manual which may itself be in several parts, some of which are dealt with in A5, 6 and 7 below.

References:

Flight Manual - Annex 6, Part I, 6.2.3, 11.1 and Part III, Section II, 4.2.3, 9.1;

Operations Manual - Annex 6, Part I, 4.2.2, 6.2.3 and Appendix 2 and Part III, Section II, 2.2.2, 4.2.3 and Attachment H; and

Aircraft operating manual - Annex 6, Part I, 6.1.4 and Appendix 2, 2.2 and Part III, Section II, 4.1.4 and Attachment H, 2.2.

### **A 5 Checklists**

Instructions: Confirm checklists are available and up to date. Check if their content is in compliance with the requirement. Normal, non-normal and emergency checklists are sometimes combined in a '*Quick Reference Handbook*';

Check the availability of an aircraft search procedure checklist; and

Confirm availability of the checklist of emergency and safety equipment.

References:

Flight crew checklists - Annex 6, Part I, 4.2.5, 6.1.4 and Appendix 2, 2.2.2; and Part III, Section II, 2.2.5, 4.1.4 and Attachment H, 2.2.10.

Aircraft search procedure checklist - Annex 6, Part I, 13.3 and Part III, Section II, 11.1.

Checklist of emergency and safety equipment - Annex 6, Part I, Appendix 2, 2.2.10 and Part III, Attachment H, 2.2.8.

### **A 6. Route Guide**

Instructions: Check if a route guide, including charts, is available, suitable and up-to-date.

References: Annex 6, Part I, 6.2.3 and Appendix 2, 2.3.1; and Part III, Section II, 4.2.3 and Attachment H, 2.3.1.

### **A 7. Minimum Equipment List (MEL)**

Instructions: Check if the MEL is available, up-to-date and approved.

References: Annex 6, Part I, 6.1.3, Appendix 2, 2.2.9 and Attachment G; and Part III, Section II, 4.1.3, Attachment E and Attachment H, 2.2.7.

## **A 8. Documents required to be carried on board**

### **a) Certificate of registration**

Instructions: Check for presence and accuracy and format.

References: Convention on International Civil Aviation, Article 29; and Annex 7, 7.

### **b) Identification plate**

Instructions: Check presence and location.

Reference: Annex 7, 8.

### **c) Certificate of Airworthiness**

Instructions: Check that the Certificate of Airworthiness of the aircraft is on board and valid.

References: Convention on International Civil Aviation, Articles 29 and 31; Annex 8, Part II, Chapter 3.

### **d) Crew member licences**

Instructions: Check valid in: date; type rating; instrument rating; competency check; language proficiency endorsement; medical assessment; and format (see also item E 3 below).

References: Convention on International Civil Aviation, Article 29; Annex 1, 1.2.1, 1.2.5.1, 1.2.9, 2.1.3, 2.1.7 and Chapter 5; Annex 6, Part I, 9.4.4 and Part III, Section II, 7.4.4.

### **e) Journey log book or technical log and voyage report**

Instructions: Check entries up to date, validity of maintenance release. Check number of deferred defects (specify in the report where necessary). Check that defect deferrals include time limits and comply with the stated time limits. Where applicable, check compliance with the aircraft MEL.

References: Convention on International Civil Aviation, Article 29; Annex 6, Part I, 4.3.1 and 11.4; and Part III, Section II, 2.3.1 and 9.4.

### **f) Radio station licence**

Instructions: Check available and up to date.

References: Convention on International Civil Aviation, Articles 29 and 30; Annex 6, Part I, 7.1; and Part III, Section II, 5.1.

### **g) Noise certification document or statement, where applicable**

Instructions: Check available and valid.

References: Annex 6, Part I, 6.13; Part III, Section II, 4.11; and Annex 16, Volume I, Parts I and II.

### **h) Air Operator Certificate (certified true copy) and Operations Specifications (copy)**

Instructions: Check available, applicable and valid.

References: Annex 6, Part I, 4.2.1, 6.1.2, Appendix 5, 7 and Appendix 6; and Part III, Section II, 2.2.1, 4.1.2, Appendix 1, 7 and Appendix 3.

## Flight preparation

### **A 9. Operational flight plan**

Instructions: Check for presence, accuracy and signature(s), and for adequate fuel and oil reserve planning and supply on board.

References: Annex 6, Part I, 4.3.3 and Appendix 2, 2.1.16; and Part III, Section II, 2.3.3 and Attachment H, 2.1.15.

### **A 10. Mass and balance sheet**

Instructions: Check for presence of load sheet and accuracy.

References: Annex 6, Part I, 4.3.1 and Appendix 2, 2.1.14; and Part III, Section II, 2.3.1 and Attachment H, 2.1.13.

### **A 11. Aircraft performance limitations using current route, airport obstacles and runway analysis data**

Instructions: Check for availability of aircraft performance information including limitations and runway performance analysis based on current airport data.

References: Annex 6, Part I, 5.1, 5.2 and 5.3; and Part III, Section II, 3.1 and 3.2.

### **A 12. Cargo manifest and , if applicable, passenger manifest**

Instructions: Check for availability of completed cargo manifest and, if required, passenger manifest.

References: Annex 9, 2.12, 2.13 and 4.12 and Appendices 2 and 3.

### **A 13. Pre-flight inspection**

Instructions: Check for presence of pre-flight inspection forms (landing documents, air traffic service flight plan).

References: Annex 6, Part I, 4.3; and Part III, Section II, 2.3.

### **A 14. Weather reports and forecasts**

Instructions: Check for availability of weather reports and forecasts adequate for the flight.

References: Annex 6, Part I, 4.3.5.2; and Part III, Section II, 2.3.5.2.

### **A 15. NOTAM (Notice to Airman)**

Instructions: Check for availability of NOTAMs for the route of flight.

References: Annex 15, Chapter 1 – Definitions.

## Safety Equipment

### **A 16. Portable Fire Extinguishers**

Instructions: Check for presence, number, condition and expiry date.

References: Annex 6, Part I, 6.2.2 b); and Part III, Section II, 4.2.2 b).

### **A 17. Life jackets/ Flotation devices**

Instructions: Check for presence, condition and where applicable expiry date.

References: Annex 6, Part I, 6.5; and Part III, Section II, 4.3.

### **A 18. Safety Harness**

Instructions: Check for presence, condition and quantity.

References: Annex 6, Part I, 6.2.2; and Part III, Section II, 4.2.2.

### **A 19. Oxygen equipment**

Instructions: Check for presence, quantity and condition.

References: Annex 6, Part I, 4.3.8; and Part III, Section II, 2.3.8.

### **A 20. Emergency flashlight**

Instructions: Check for appropriate quantities of emergency flashlight. Check their condition if possible.

References: Annex 6, Part I, 6.10; and Part III, Section II, 4.4.2.

## B. Cabin / Safety

### **B 1. General condition**

Instructions: Check for cleanliness, tidiness and general condition.

References: Annex 8, Part III, 8.3.

### **B 2 Cabin crew seats and safety harness**

Instructions: Check for presence and compliance with the requirement.

References: Annex 6, Part I, 6.16; and Part III, Section II, 4.12.

### **B 3. First aid kit/emergency medical kit**

Instructions: Check for presence, condition, location and expiry date if available.

References: Annex 6, 6.2.2.; and Part III, Section II, 4.2.2.

### **B 4. Portable fire extinguishers**

Instructions: Check for presence, number, condition and expiry date if available.

References: Annex 6, Part I, 6.2.2; and Part III, Section II, 4.2.2.

### **B 5. Life jackets/Flotation devices**

Instructions: Check for presence, condition and expiry date as applicable.

References: Annex 6, Part I, 6.5; and Part III, Section II, 4.5.

### **B 6. Seat belts**

Instructions: Check for presence and condition.

References: Annex 6, Part I, 6.2.2; and Part III, Section II, 4.2.2.

### **B 7. Emergency exit lighting and marking, emergency flashlights**

Instructions: Check for presence of emergency exit signs, lighting and marking, and emergency flashlights (one per cabin crew member). Where possible, check condition of floor path lighting / marking and of flashlights.

References: Annex 6, Part I, 6.10; Part III, Section II, 4.4.2; and Annex 8, Part III A, 4.1.7.3 and Part IIIB, D.6.3.

### **B 8. Slides / Life Rafts and pyrotechnical distress signalling devices (as required)**

Instructions: Check bottle gauge, slide bar and slide expiry date. Check presence of life raft, when required.

References: Annex 6, Part I, 6.5 and 6.6; Part III, Section II, 4.5.and 4.6; Annex 8, Part III A, 4.1.7 (and Part III D.6.2 to D.6.4).

### **B 9. Oxygen supply - cabin crew and passengers**

Instructions: Check for presence and condition where applicable.

References: Annex 6, Part I, 4.3.8 and 6.7; and Part III, Section II, 2.3.8 and 4.8 and Section III, 2.9 and 4.5.

**B 10. Emergency Briefing Cards**

Instructions: Check for presence and accuracy.

References: Annex 6, Part I, 4.2.11.1 and 6.2.2; and Part III, Section II, 2.2.10 and Section III, 2.3.

**B 11. Cabin crew members**

Instructions: Check that the number of cabin crew is appropriate. Check whenever possible that the location of cabin crew members allows to effect a safe and expeditious evacuation of the aircraft.

References: Annex 6, Part I, 12.1; and Part III, Section II, 10.1.

**B 12. Access to emergency exits**

Instructions: Check that appropriate access to emergency exits is provided and that it is not impeded.

References: Annex 8, Part III A, 4.1.7 (and Part III D.6.2 and D.6.3).

**B 13. Safety of cabin baggage**

Instructions: Check that the crew and the passengers do not carry oversized hand baggage for the stowage capacity of the aircraft. Check proper stowage of cabin baggage.

References: Annex 6, Part I, 4.8; and Part III, Section II, 2.7.

**B 14. Seating capacity**

Instructions: Check that the number of persons boarding does not exceed the number permitted (number of seats normally, except specific circumstances).

References: Annex 6, Part I, 6.2.2; and Part III, Section II, 4.2.2.

**B 15. Security of the flight crew compartment door (if applicable)**

Instructions: Check that the flight crew compartment door, if provided, is lockable. Where applicable, check that the flight crew compartment door is penetration resistant.

References: Annex 6, Part I, 13.2.

## C. Aircraft External Condition

### C 1. General condition

Instructions: Check general condition of the airframe: apparent corrosion; cleanliness; presence of ice, snow, frost; legibility of markings, etc.

References: For markings: Annex 7, 3, 4 and 5.

### C 2. Doors and hatches

Instructions: Check for passenger and cargo door condition, external markings, seals, operating instructions and condition of hatches.

References: Nil.

### C 3. Wings and Tail

Instructions: Check wings, vertical and horizontal stabilizers, including all flight control surfaces. Check for obvious damage, corrosion, disbonding, evidence of lightning strikes, dents, looseness of fittings, missing static discharges, etc.

References: Nil.

### C 4. Wheels, brakes and tires

Instructions: Inspect for damage, wear and signs of tire under inflation.

References: Nil.

### C 5. Undercarriage

Instructions: Visual inspection. Focus on lubrication, leakage & corrosion and wear on door fittings and hinges.

References: Nil.

### C 6. Wheel well

Instructions: Visual inspection. Focus on cleanliness, leakage & corrosion.

References: Nil.

### C 7. Intake & exhaust nozzle

Instructions: Visual inspection. Focus on damage, cracking, dents and loose/missing fasteners (intake) and LPT blades (where visible), obvious damage to sensors, jet pipe nozzle, exhaust, thrust reversers, etc.

References: Nil.

### C 8. Fan blades (if applicable)

Instructions: Visual inspection. Check for foreign object damage, cracks, cuts, corrosion, erosion etc.

References: Nil.

**C 9. Propellers (if applicable)**

Instructions: Visual inspection. Check for corrosion, looseness of blades in hub, erosion, stone damage, anti/de-icing system, etc.

References: Nil.

**C 10. Previous structural repairs**

Instructions: Visual inspection. Note any previous repairs – check condition and verify compliance to standard practices.

References: Nil.

**C 11. Obvious damage**

Instructions: Visual inspection. Note unassessed and unrecorded damage including corrosion, lightning strike damage, and bird strikes etc.

References: Annex 8, Part II, 3.6.

**C 12. Leakage**

Instructions: Visual inspection: fuel, oil, hydraulic leaks. Inspect for toilet leaks at service locations.

References: Nil.



## **D. Cargo**

### **D 1. General condition of cargo compartment and containers**

Instructions: Check for cleanliness and general condition of cargo compartment and containers. Check damage to compartment liners and condition of fire protection, detection & extinguishing system (if appropriate). Check condition of container locking devices.

References: Nil.

### **D 2. Dangerous Goods**

Instructions: If dangerous goods are on board, check that the pilot has received appropriate notification, Check that the operations manual includes relevant information as required by ICAO Annex 18.

References: Annex 6, Part I, Appendix 2, 2.1.35; Part III, Attachment H, 2.1.28; and Annex 18, 9.1 and 9.2.

### **D 3. Safety of cargo on board**

Instructions: Check that loads are properly distributed and safely secured.

References: Annex 6, Part I, 4.3.1; Part III, Section II, 2.3.1.

## **E. General**

### **E 1. Additional Remarks**

Instructions: Record and report any items of significant nature that may be observed which are not covered by this guidance.

References: Nil.

### **E 2. Refuelling**

Instructions: Check that the procedures relating to refuelling with passengers on board are complied with.

References: Annex 6, Part I, 4.3.7; and Part III, Section II, 2.3.7.

### **E 3. Language for communication**

Instructions: Check that all pilots, and those flight navigators required to use the radio telephone, are fluent in the language used for radiotelephony communications or in the English language.

References: Annex 1, 1.2.9 and Annex 10, Volume II, 5.2.1.2.

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## Appendix E -- Levels of seriousness and related actions

<b>ACTIONS TO BE TAKEN AFTER FINDINGS DURING A RAMP INSPECTION OF A FOREIGN OPERATOR</b>		<b>Actions</b>		
		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
<b>Seriousness of findings</b>	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 CAA will establish conditions 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.

### Examples of findings and resulting actions

The following table is based on the ramp check guidance contained in Appendix D. It describes various findings and gives examples of levels of seriousness and resulting actions that will be utilized by [State CAA].

Item #	Seriousness:→  Item description	Minor	Significant	Major
<b>A</b>	<b>Flight Deck:  General</b>			
1	General Condition	Dirty and untidy		Large unsecured objects (eg. cargo or baggage)  Unserviceable flight crew seats
2	Emergency Exits	Not all exits are serviceable, but properly deferred in accordance with MEL provisions	Not all exits are serviceable and MEL provisions not applied	No emergency exits serviceable / no provisions in MEL for continued operation
3	Equipment: <ul style="list-style-type: none"> <li>• GPWS</li> <li>• FMC</li> <li>• ACAS/CVR/FDR/ELT</li> </ul>	Inoperative and in accordance with MEL provisions  Inoperative and in accordance with MEL provisions	Inoperative and MEL provisions not applied  FMS database recently outdated (<28 days).  Inoperative and MEL provisions not applied	Not installed  Forward looking GPWS required and not installed.  FMS database more than 28 days outdated.  Required and not installed.

A	Documentation			
4	Manuals: Flight manual		No evidence of State of Registry approval  Incomplete but performance calculations possible	Not on board and performance calculations not possible
	Operations Manual		Incomplete (see Appendix 2 of ICAO Annex 6) or not approved by State of the Operator or not the current version	Not on board
5	Checklists	Not within reach	Not readily available and used or not the current version	Not on board
6	Route Guide (Navigation charts)	Not within reach	Recently out of date ( $\leq 28$ days)  Photocopies of current charts	Significantly out of date ( $> 28$ days)  Not on board
7	Minimum Equipment List		Not on board or MMEL used, but no deferred defects  MEL content does not reflect aircraft equipment fitted  MEL not approved	Not on board or MMEL used, with deferred defects

8a)	Certificate of registration	Non-certified copy	Not on board No English translation	
8b)	Identification plate	Not installed or not able to read		
8c)	Certificate of airworthiness		Not an original or certified true copy No English translation	Not on board Out of date
8d)	Crew member licences (see also E. General – Language for communications)	Form or content not in compliance with ICAO standard	No English translation	Not valid for the type of aircraft Not on board or no proper validation from the registration authority Expired or no class 1 medical assessment
8e)	Journey Log Book or equivalent technical log	Minor defects not documented	On board but not properly filled in	Not on board or no equivalent document Maintenance release expired or not valid Defects MEL deadline expired
8f)	Radio station licence	Non-certified copy	Not on board	
8g)	Noise certificate (where applicable)	Not on board No English translation		
8h)	Air Operator Certificate	Non-certified copy	Not accurate (out of date, incorrect operation type/route, incorrect aircraft or operator, etc...) or no English translation	Not on board

9	Operational flight plan	Copy not retained on ground	Actual flight calculations but no actual documents  Lack of fuel monitoring data (arrival flight)  Fuel calculation unsatisfactory (departing flight)	No or incomplete flight preparation  Required fuel calculation not available or not updated for actual conditions
10	Mass and balance sheet and data		Incorrect but within a/c limits	Incorrect and outside operational limits or missing  Weight and balance data not available
11	Aircraft performance limitations using current route, airport obstacles and runway analysis data	Incomplete but not affecting the operation on that date (e.g. no contaminated or wet runway data but these conditions are not present)	Not current data or data validity date not available	Not available
12	Cargo manifest and, if applicable, passenger manifest		Some limited inaccuracy or missing data not affecting safety	Not available or grossly inaccurate/incomplete
13	Pre-flight inspection	Form on board but incomplete	Not performed for inbound flight	Not performed for outbound flight
14	Weather reports and forecasts	Not the latest available data but valid	Not printed but handwritten	Not valid or not available
15	NOTAM (Notice to Airman)		Some en-route relevant data missing	Not available
<b>A</b>	<b>Safety Equipment</b>			

16	Portable fire extinguishers	Not easily accessible	Expired Not properly secured	Empty or insufficient number or missing Significantly low pressure Not accessible
17	Life jackets/flotation device (if required)	Not directly accessible	Expired, as applicable	Not available for each cockpit crew member on board
18	Safety Harness		Seat belt instead of harness	Not available or serviceable for all flight crew members
19	Oxygen equipment (if required)		No direct access	Not available or serviceable for all flight crew members Oxygen quantity not sufficient
20	Emergency flashlight (night operations conducted by operator)	Only one available	Weak battery	Not in cockpit or unserviceable



<b>B</b>	<b>Safety / Cabin:</b>			
1	General Condition	Dirty, untidy and in bad condition	Loose carpet Loose or damaged floor panel Unserviceable seats (and not identified as such)	Not possible to perform normal and abnormal duties unrestricted
2	Cabin crew seats and safety harness	Harness/belt is difficult to operate	Strap or buckle worn out or damaged – item is not serviceable	For any member of the minimum required cabin crew: a seat is not available; or proper harness and seat belt not available or not serviceable
3	First aid kit/Emergency medical kit	Expired Incomplete Not at the indicated location		Not available
4	Portable fire extinguishers	Not directly accessible	Expired Not correctly secured	Empty, significantly low pressure or missing or not serviceable
5	Life jackets/ Flotation devices (if required)	Not directly accessible	Expired, as applicable	Not available for each person to be carried
6	Seat belts (passenger seats)	Strap worn or buckle worn out or damaged Not available or serviceable for all passenger seats and aircraft dispatched in accordance with MEL	Not available or serviceable for all passengers and aircraft not despatched in accordance with MEL.	Not available or not serviceable for any passenger

7	Emergency exit, lighting and marking, emergency flashlights		Some emergency exit signs out of order  Insufficient number of emergency flashlights  emergency flashlights not correctly located  emergency flashlight batteries weak or flat	Emergency facilities defects not acceptable according to MEL provisions
8	Slides/life-rafts (for long-range over water flights) and pyrotechnical distress signalling devices (as required)	Not in specified location, as established by the State of the Operator	Incorrectly installed	Insufficient number  Not serviceable
9	Oxygen Supply (cabin crew and passengers)	Insufficient quantity of oxygen or insufficient quantity of masks for passengers and crew members	Insufficient quantity of oxygen or insufficient quantity of masks for passengers and crew members, and flight performed above level 250	
10	Emergency briefing cards	No enough emergency briefing cards for all passengers	Briefing cards from another aircraft or from obviously different versions  Some information missing or incorrect	No emergency briefing cards on board

11	Cabin crew members		Cabin crew members not in specified location	Insufficient number of cabin crew members
12	Access to emergency exits			Impeded by luggage or cargo, etc Impeded by seats
13	Safety of cabin baggage			Not securely stowed
14	Seating capacity			More seats than certified capacity Insufficient serviceable seats for all passengers on board
15	Security of the flight crew compartment door (if applicable)	Door not installed or unserviceable (ref. Annex 6, 13.2)		

<b>C</b>	<b>Aircraft condition:</b>			
1	General external condition	Minor defects	The defects need not necessarily be corrected before flight (visible corrosion, marking not legible, etc.)	Safety related defect (correction required before departure) Inadequate de-icing
2	Doors and hatches	Minor defects but serviceable	Door operation instructions missing or unclear Seal slightly damaged	Unserviceable and not compatible with passenger number Seal missing or badly damaged

3	Wings and tail	Minor defects	Poor condition (damage, missing bonding strips or static discharges, play, lack of lubrication, disbanding)	Damage, corrosion, leaks or wear outside limits of MEL, SRM <sup>2</sup> , etc
4	Wheels, tires and brakes	Minor defects	Signs of under inflation Incorrect tire pressure Unusual wear and tear	Tires worn out or damaged beyond limits Brakes worn out, leaking or damaged beyond limits Damaged components or missing parts (i.e., tie bolts, heat sensors...)
5	Undercarriage	Minor defects	Significant signs of leakage, strut under-pressure, corrosion and obvious lack of lubrication	Damage, corrosion, missing parts and/or leakage outside limits
6	Wheel well	Minor defects or dirty	Signs of leakage, corrosion and obvious lack of lubrication	Damage, wide spread corrosion, leakage outside limits

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<sup>2</sup> Structural repair manual

7	Intake and exhaust nozzle	Minor defects	Damage to casing or lining  Dents and cracks in exhaust area all within limits, but not recorded in Technical Log or equivalent  Minor leaks of oil and fuel	Damage (nicks, dents, cracks, etc.) outside the MEL, AMM <sup>3</sup> , SRM, etc limits  Leakage out-of-limits
8	Fan Blades (if applicable)	Minor defects	Damage to fan blades within limits but not recorded in Technical Log or equivalent	Damage (nicks, dents, cracks, etc.) outside the MEL, AMM, SRM, etc. limits
9	Propellers (if applicable)	Minor defects	Damage to propellers within limits but not recorded in Technical Log or equivalent	Damage (nicks, dents, cracks, etc.), leakage, looseness of blades outside the MEL, AMM, SRM, etc limits
10	Previous structural repairs	Minor defects	No information about temporary repairs, doubts about old repairs, and repairs acceptable for continuation of flight	Improperly performed repairs or apparent unsatisfactory design. Damage to old repair
11	Obvious un-repaired damage	Within limits	Within limits but not recorded	Unassessed and not recorded damage affecting airworthiness
12	Leakage	Within limits	Long standing water and lavatory leaks (blue ice)	Leakage (oil, fuel, hydraulic, water) outside limits

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<sup>3</sup> Aircraft maintenance manual

<b>D</b>	<b>Cargo:</b>			
1	General condition of cargo compartment and containers	Partly defective lights  Minor defects but safe condition	Partly damaged panelling  Partly damaged containers  Defective lights  Floor locks (partly) u/s  Limited access to cargo (for combi)  Dividing net or door protection net damaged	Damaged panelling out-of-limits  Damaged containers  Structural damage out of limits  Defective or missing fire extinguishing system (where applicable)  Cargo area not used in accordance with classification  No access to cargo area (for combi)  No barrier net (combi and cargo aircraft)  No smoke barrier/curtain  Floor locks unserviceable and outside MEL limits

2	Dangerous Goods	Unable to recognize dangerous goods presented to operator for shipment	No dangerous goods regulations or references	No or incomplete information to the captain of dangerous goods carried, in contradiction to Doc. 9284 provisions.  Deficiencies: leakage, wrong packaging, label missing  Dangerous Goods not correctly secured  Loading not performed in accordance with ICAO Annex 18  Dangerous Goods carried without authorization or in contradiction to Annex 18 or Doc. 9284
3	Safety of cargo on board	Minor damage to: lashing, tie down equipment, pallet/container and/or locks	Damaged pallet, container or net	Cargo not correctly secured and/or safely distributed:  - lashing  - tie-down equipment  - pallets and containers  - locks  Load distribution/floor load limit exceeded
<b>E</b>	<b>General:</b>			
1	Additional Remarks	General findings with minor safety impact	General findings with significant safety impact	General findings with major safety impact
2	Refuelling	Cabin crew not aware of refuelling with passengers on board	No procedures in place for refuelling with passengers on board	Procedures in place but not carried out

3	Language for communications		Pilot licences with no language proficiency endorsement, in the English language or the language used in radiotelephony (except if implementation plan made available by State of issuance – until 5 March 2011)	Pilots not fluent in the English language or the language used in radiotelephony
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RAMP INSPECTION  
AIRWORTHINESS WORKSHEET

Attachment I – Airworthiness Worksheet

Date:	Aircraft make and model:	Handling Agent:
Operator:	Airframe serial no:	Maintenance Support:
State of the Operator:	Nationality and Reg. marks:	Station:
Route from:	Inbound flight no:	
Route to:		

Check  
(S/U/N)

Remarks

A	Flight Deck		
1	General condition		
2	Emergency exits		
3	Equipment (GPWS, ACAS, FMC, ELT, Cockpit door)		
7	Minimum Equipment List and deferred defect rectification		
8 a) *	Certificate of Registration		
8 b)	Identification plate		
8 c) *	Certificate of Airworthiness		
8 f) *	Radio station license		
8 g) *	Noise certification or equivalent (where applicable)		
8 h) *	Air Operator Certificate		
16	Portable Fire Extinguishers		
17	Life Jackets/flotation devices		
18	Safety Harness		
19	Oxygen equipment		
20	Emergency flashlight		
C	Aircraft External Condition		
1 *	General external condition		
2	Doors and hatches		
3 *	Wings and Tail		
4 *	Wheels, brakes and tires		
5 *	Undercarriage		
6 *	Wheel well		
7 *	Intake and exhaust nozzle		
8 *	Fan blades (if applicable)		
9 *	Propellers (if applicable)		
10	Previous structural repairs		

RAMP INSPECTION  
AIRWORTHINESS WORKSHEET

11 *	Obvious un-repaired damage		
12 *	Leakage		
D	Cargo		
1	General condition of cargo compartment and containers		
2 *	Dangerous goods		
3	Stowage of cargo on board		
E	General		
1	Additional remarks		
2	Refuelling		

Inspected by:

Report No:

Revision date 15 August

Note 1: The elements of the list that are marked with an asterisk (\*) are minimum items that should be addressed in a ramp inspection of an aircraft of an operator from another State. Time permitting, the remaining items should also be addressed to constitute a complete ramp inspection.

Note 2: If inspection is carried out as a team (airworthiness, cabin safety and flight operations), coordination between the inspectors is required to avoid duplication.

Note 3: If a cabin safety inspector is not available during the ramp inspection, the Cabin Safety checklist for cabin items is to be used by either the airworthiness inspector or the flight operations inspector as appropriate.

RAMP INSPECTION  
AIRWORTHINESS WORKSHEET

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Attachment II – Flight Operations Worksheet

Date:
Operator:
State of the Operator:
Route from:
Route to:
Inbound flight no:

Aircraft make and model:
Nationality and Reg. marks:
Airframe serial no:
Handling agent:
Station:

Capt:
F/O:
F/E or S/O
Sup/Capt:
Sup/F/O:

Check  
(S/U/N)

Remarks

A	Flight deck		
1	General condition		
2	Emergency exit		
3	Equipment (GPWS, ACAS, FMC, ELT, Cockpit door)		
Documentation			
4	Manuals		
5	Checklists		
6	Route Guide (Navigation charts)		
7	Minimum Equipment List and deferred defect rectification		
8 a) *	Certificate of Registration		
8 c) *	Certificate of Airworthiness		
8 d) *	Crew member licenses		
8 e) *	Journey logbook or equivalent technical log		
8 f) *	Radio license		
8 g)	Noise certificate or equivalent (where applicable)		
8 h) *	Air Operator Certificate		
9 *	Operational Flight Plan		
10 *	Mass and balance		
11 *	Aircraft performance limitations using current route, airport obstacles and runway analysis data		
12 *	Cargo manifest and, if applicable, passenger manifest		

RAMP INSPECTION  
 FLIGHT OPERATIONS WORKSHEET

13 *	Pre-flight inspection		
14 *	Weather reports and forecasts		
15 *	NOTAM (Notice to Airman)		
	Safety Equipment		
16	Portable fire extinguishers		
17	Life jackets/flotation devices		
18	Safety harness		
19	Oxygen equipment (if required)		
20	Emergency flashlights		
E	General		
3	English language		

Inspected by:

Report No:

Revision date 15 August 2008

# RAMP INSPECTION FLIGHT OPERATIONS WORKSHEET

Date:
Operator:
State of the Operator:
Route from:
Route to:

Aircraft make and model:
Registration mark:
Airframe serial no:
Inbound flight no:

:
Station:

Check (S/U/N)      Remarks

B	Safety/Cabin	Check (S/U/N)	Remarks
1	General Condition		
2	Cabin Crew's seats and safety harness		
3	First aid kit/Emergency Medical kit		
4	Portable Fire extinguishers		
5	Life jackets/Flotation device		
6	Passenger seat belts		
7	Emergency exit lighting and marking, emergency flashlights		
8	Slides/life-rafts (for long-range over water flights) and pyrotechnical distress signalling devices (as required)		
9	Oxygen supply (Cabin crew and passengers)		
10	Emergency Briefing cards		
11	Cabin crew members		
12	Access to emergency exits		
13	Safety of cabin baggage		
14	Seating capacity		

Inspected by:

Report No:

Revision date 15 August 2008

RAMP INSPECTION  
FLIGHT OPERATIONS WORKSHEET

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## Attachment III – Sample Correspondence

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 ]



DRAFT

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]

DRAFT

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]