

# International Aviation Safety Assessment (IASA) Program

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Federal Aviation  
Administration



# IASA Overview

- The IASA program began in 1992 with the first results provided to the public in 1994.
- Department of Transportation (DOT) requires a safety determination from the FAA as a part of the processing of economic authority for foreign air operators to fly to the U.S. or codeshare with any U.S. airline.
- The IASA program provides the FAA with a consistent and effective method for safety determinations by evaluating State compliance with ICAO Standards for civil aviation safety oversight.



# IASA US Law and Regulations

- A foreign air carrier files an application with DOT under 49 USC § 41302 - Permits of foreign air carriers. 14 CFR Parts 211 and 302 specify the requirements for issuance of these authorities.
- 14 CFR Part 129 specifies that the carrier must meet the safety standards contained in Part 1 (International Commercial Air Transport) of Annex 6 (Operations of Aircraft) to the Convention on International Civil Aviation (Chicago Convention).



# Sovereignty and Responsibility

- Continued compliance with international safety standards is an obligation for each sovereign State as a signatory to the Convention on International Civil Aviation (Chicago Convention).
- The IASA Program is conducted under the provisions of the Chicago Convention and applicable air transport agreements, specifically Article 6 of the Convention and Articles 4 and 6 of the model Agreement.
- The FAA's responsibility for correction of non-compliance with international standards by other States is limited directly to its U.S. regulatory obligations and in accordance with the Convention and air transport agreements.
- The FAA conducts all IASA activity under diplomatic consultations through the Department of State.





# Global Aviation Safety



- The model air transport agreement allows either party to, “request consultations concerning the safety standards maintained by the other party relating to... aircrews, aircraft, and operation of airlines of that party.”
- The agreement also allows either party to, “revoke, suspend, limit, or impose conditions on the operating authorizations or technical permissions of an airline where...that airline has failed to comply with the laws and regulations...”
- However, “unless immediate action is essential to prevent noncompliance...the rights established by this article shall be exercised only after consultation with the other party.”
- ICAO standards are presumptively binding on ICAO Member States as signatories to the Chicago Convention.



# IASA Federal Register and Guidance

- The IASA Program was formally established in the Federal Register, Vol. 57, No. 164, August 24, 1992
- FR Vol. 59, No. 173, September 8, 1994, FAA publicly releases IASA results.
- FR Vol. 60, No. 210, October 31, 1995, specifies technical permissions for foreign air carriers from countries with an IASA category rating.
- FR Vol. 78, No. 46, March 8, 2013, ensures that countries do not remain categorized when the results of their IASA determinations might no longer be accurate or reasonably current.
- ORDER 8430.24A defines the FAA IASA Program.



# IASA Program Goals

- Meet the statutory requirements of United States and the FAA for aviation safety.
- Meet expectations of the traveling public.
- Facilitate tangible changes in aviation safety oversight.
- Facilitate compliance with applicable ICAO standards.



# IASA Focus

- FAA assesses a State's ability to adhere to international aviation safety standards established by ICAO, specifically in:
  - Annex 1 -Personnel Licensing
  - Annex 6 -Part 1 - Operation of Aircraft - International Commercial Air Transport -Aeroplanes
  - Annex 8 -Airworthiness of Aircraft
- IASA teams utilize the eight critical elements for safety oversight in ICAO Document 9734 to determine a State's compliance with these ICAO Annexes.

*NOTE: The IASA program does not evaluate the safety compliance of any particular air carrier, nor does it address aviation security, airports, or air traffic management.*





# States Selected for an IASA

- Foreign air carrier from a State with an IASA Category 2 rating or no IASA Category files application for economic authority with DOT for service to the U.S. or for codesharing with any U.S. air carrier will be scheduled for an IASA.
- The FAA conducts an evaluation of each country with an IASA Category rating at least once a year (both Category 1 and Category 2), and those with the highest risk are identified through the IASA planning tool for a reassessment.
- U.S. Government interest in initiating an assessment.



# IASA Team and Process

- The FAA normally utilizes a four person specially trained IASA team to conduct an initial assessment or reassessment, consisting of a team lead, an operations inspector, an airworthiness inspector, and an attorney.
- The FAA team meets with the State CAA in-country and completes the IASA over a five day period.



# IASA Team and Process (con't)

- Findings of non-compliance with ICAO Standards are reviewed 65 days later during IASA final discussions.
- IASA final discussions provide the State CAA with the opportunity to provide the FAA with details of actions to correct findings of non-compliance.



# IASA Checklist: A Helpful Tool

- Assists in identifying any gaps in your system.
  - This information can be used to target communications to those with resources.
  - Specific information can focus resource requests and assist in maintaining political will.
- As a result, periodically updating and maintaining these lists can ensure awareness of what needs to be improved upon.
- Additionally, reviewing the checklist and ICAO SARPs can assist during development of new regulations and requirements and sustaining compliance.



# IASA Checklist: Helpful Tips

IASA – CE-6 - 6.1800 - Licensing, Certification, Authorization and Approval Obligations Operator's Maintenance Arrangements - Special Certification	
TEAM:	Compliance Status <input type="checkbox"/> --Satisfactory <input type="checkbox"/> --Not satisfactory <input type="checkbox"/> --Not implemented <input type="checkbox"/> --Not applicable <input type="checkbox"/> --Not Assessed

STD A6, Pt I, C4.4.7, Att D, E GM Doc 9760, Pt III, C7, 7.3, 7.3.2, 7.3.2.3; Pt IV, C5,	6.1801 Are there operators authorised to carry out extended diversion time operations (EDTO/ETOPS)? <input type="checkbox"/> Yes <input type="checkbox"/> No (A) If yes, describe the system used to authorise EDTO/ETOPS operations. (B) Describe the airworthiness inspection division's involvement in EDTO/ETOPS authorization.
Comments	

STD A6, Pt I, C4.4.2, 4.2.1.3, 4.2.1.8, 7.2.1, 7.2.10, App 5, Att E GM Doc 9365, C4, C5 Doc 9760, Pt II, C7, 7.3, 7.3.2.3	6.1802 Are there operators authorised to conduct precision approach and landing operations (All Weather Operations (AWO))? <input type="checkbox"/> Yes <input type="checkbox"/> No A) If yes, describe the system used to authorise the conduct of precision approach and landing operations (All Weather Operations (AWO)) B) Describe the airworthiness inspection division's involvement in authorising precision approach and landing operations (All Weather Operations (AWO)).
Comments	

STD A6, Pt I, C4.4.2, 4.2.1.3, 4.2.1.8, C7, 7.2, App 4, & 5, Att E GM Doc 9574, C3; Doc 9613, Vol I, Pt A, C3, 3.4, Att C; Doc 9760, Pt III, C7, 7.3, 7.3.2, 7.3.2.3	6.1803 Are there operators authorised to conduct operations in navigation areas requiring specific approvals such as: A) Performance based navigation (PBN)? <input type="checkbox"/> Yes <input type="checkbox"/> No B) Reduced vertical separation minimum (RVSM)? <input type="checkbox"/> Yes <input type="checkbox"/> No C) Minimum navigation performance specifications (MNPS) <input type="checkbox"/> Yes <input type="checkbox"/> No D) Required navigation performance (RNP)? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes to any item above, describe the system used to authorise the airworthiness aspects of approval(s) of PBN, RVSM, MNPS, and RNP operations.
Comments	

- References: ICAO standards and related documents
- Comments: Your domestic regulations/docs
- When there are changes to operations and/or regulations/requirements, this checklist can direct you to where you need to cross reference.
- Check to see if you filed differences or if additional resources/capabilities are required these can be noted.



# FAA IASA Checklist Sample Question

IASA – CE - 6 - 6.100 - Licensing, Certification, Authorization and Approval Obligations AOC Application and Inspection Prior to Certification	
TEAM:	<b>Compliance Status</b> --Satisfactory --Not satisfactory --Not implemented --Not applicable --Not Assessed
<b>STD</b> A6, Pt I, C3, 3.3.3, C4,4.1,, , 4.2.1.3,, 4.2.10,4.2.11.3, 4.2.12,4.2.3, 4.3, 4.6.1, C5, 5.2, 5.3, 5.4, C6, 6.1.3,, 6.1.4, C7, 7.2.2, 7.2.3, 7.2.4, C8, 8.7.6.4,, C9,9.3, C10,10.3, C11,11.1,, 11.5, 11.6, C12, 12.4, C13, 13, Att E. 3.3, App 2, 2.2, Att F, Att G  <b>GM</b> Doc 8335,Pt II,C6, 6.3; Doc 9625; Doc 9760, Pt III, C7, 7.3, Pt IV, C2, 2.5	<b>6.106 (For the Assessor) Does the Document Evaluation phase and certification file include items such as, but not limited to, the following:</b> <ol style="list-style-type: none"> <li>1) draft operations specifications or other documentation specifying authorisations requested</li> <li>2) description of the flight safety document system (A6, Pt I, C3, 3.3.3, Att G)</li> <li>3) operations manual (A6, Pt I, C4,4.2.3)</li> <li>4) operational control procedures,dispatch,flight following,etc.(A6, Pt I,C4, 4.1, 4.2.3, 4.3, 4.6.1)</li> <li>5) aircraft loading and/or ground handling manual (A6, Pt I, C4, 4.2.3, App 2, 2.2)</li> <li>6) passenger briefing cards (A6, Pt I, C4, 4.2.12)</li> <li>7) mass and balance control manual (A6, Pt I, C4, 4.3, C5, 5.2.7, App 2, 2.2)</li> <li>8) management personnel resumes providing qualifications and aviation experience</li> <li>9) aircraft performance manual (A6, Pt I, C5, 5.2, 5.3, 5.4)</li> <li>10) minimum equipment list (MEL) (A6, Pt I, C6,6.1.3, Att F)</li> <li>11) configuration deviation list (CDL) (A6, Pt I, C6,6.1.3)</li> <li>12) aircraft operating manual (A6, Pt I, C6, 6.1.4, App 2, 2.2)</li> <li>13) maintenance control manual (A6, Pt I, 8.2, 11.2; Doc 8335,Pt II,C6, 6.3)</li> <li>14) maintenance programme incl maintenance schedule (A6, Pt I, 8.3, 11.3, Doc 9760, Pt III, C7, 7.3)</li> <li>15) training manual for maintenance personnel (A6, Pt I, C8, 8.7.6.4)</li> <li>16) training manuals for flight crew, cabin crew, operations personnel and ground personnel (A6, Pt I, C9,9.3, C10,10.3,C12, 12.4, Att E. 3.3)</li> <li>17) Training Programmes (A6, Pt I, C9, 9.3, C10, 10.3, C12, 12.4, Att E. 3.3 q)</li> <li>18) Simulator /flight training device evaluation and approvals (A6, Pt I, C9, 9.3.2, Doc 9625)</li> <li>19) aircraft flight manuals (A6, Pt I, C11,11.1, App 2, 2.2)</li> <li>20) route guide (A6, Pt I, App 2, 2.3)</li> <li>21) dangerous goods manual (A6, Pt I, App 2, 2.1.36)</li> <li>22) aircraft search procedure checklist (A6, Pt I C13, 13.3)</li> <li>23) security programme manual (A6, Pt I, C2, 2.1.36, App 2)</li> <li>24) statement of compliance or conformance report (A6, Pt I, C4, 4.2, Att E)</li> <li>25) plan for emergency evacuation demonstration (A6, Pt I, C4, 4.2.1.3, Att E, 2.1.5, 2.2)</li> <li>26) plan for ditching demonstration (A6, Pt I, C4, 4.2.1.3, Att E, 2.1.5, 2.2)</li> <li>27) plan for demonstration flights (A6, Pt I, C4, 4.2.1.3, Att E, 2.1.5, 2.2; Doc 9760, Pt IV, C2, 2.5)</li> <li>28) special authorisations such as PBN, EDTO (ETOPS), MNPS, RVSM, CAT II &amp; III (A6, Pt I C4, 4.7, C7, 7.2.2, 7.2.3, 7.2.4)</li> <li>29) records of emergency and survival equipment carried (A6, Pt I, C11, 11.5)</li> <li>30) Flight recorder records (A6, Pt I, C11, 11.6, App 6)</li> <li>31) Fuel and oil record (A6, Pt I, C4, 4.2.10)</li> <li>32) Maintenance records (A6, Pt I, C8, 8.4)</li> <li>33) Flight time records (A6, Pt I, C4, 4.2.11.3)</li> <li>34) Flight preparation forms (A6, Pt I, C4, 4.3)</li> <li>35) Operational flight plan (A6, Pt I, C4,4.3.3.1)</li> <li>36) Pilot-in-command route and airport qualification records (A6, Pt I, C9, 9.4.3.4)</li> </ol>
Comments	

# IASA Category Ratings

- **Category 1** - Does Comply with ICAO Standards for safety oversight.
- **Category 2** - Does Not Comply with ICAO Standards for oversight
  - Existing U.S. service by foreign carriers frozen on FAA issued Operations Specifications (OpSpecs).
  - Codesharing only permitted one way (no U.S. carrier codes allowed on foreign carriers).
- **Category 2\*** - Does Not Comply with ICAO Standards for safety oversight. Cannot start service to U.S. or codeshare.



# Recent IASA Activities and Results

- Since the beginning of 2014, the FAA has conducted 13 IASAs on 13 different countries.
- These IASA activities identified a total of 149 findings of non-compliance with ICAO Standards.
- All 8 of the Critical Elements contained multiple findings but 100 of the findings were contained in 2 of the Critical Elements.





# IASA Results from 2014-2017

Critical Element	Number of Findings
<b>CE-1</b> Primary Aviation Legislation	4
<b>CE-2</b> Specific Operating Regulations	10
<b>CE-3</b> State Civil Aviation System and Safety Oversight Functions	8
<b>CE-4</b> Technical Personnel Qualification and Training	57
<b>CE-5</b> Technical Guidance, Tools and the Provision of Safety Critical Information	13
<b>CE-6</b> Licensing, Certification, Authorization, and Approval Obligations	43
<b>CE-7</b> Surveillance Obligations	7
<b>CE-8</b> Resolution of Safety Concerns	7



# Assessment Results

2/23/2017  
MILLER:R96

FAA Flight Standards Service  
International Aviation Safety Assessment (IASA) Program

COUNTRY	CATEGORY	COUNTRY	CATEGORY
Argentina	1	Japan	1
Aruba	1	Jordan	1
Australia	1	Kenya	1
Austria	1	Kuwait	1
Azerbaijan	1	Luxembourg	1
Bahamas	1	Malaysia	1
Bangladesh	2	Malta	1
Barbados	2*	Mexico	1
Belgium	1	Morocco	1
Bermuda	1	Netherlands incl. Bonaire, Saba, St Eustatius	1
Bolivia	1	New Zealand	1
Brazil	1	Nicaragua	1
Bulgaria	1	Nigeria	1
Canada	1	Norway	1
		Organization of Eastern Caribbean States - Eastern Caribbean Civil Aviation Authority members : Antigua & Barbuda, Dominica, Grenada, St. Lucia, St. Vincent and The Grenadines, St. Kitts and Nevis	1
Cabo Verde	1	Pakistan	1
Cayman Islands	1	Panama	1
Chile	1	Peru	1
China	1	Philippines	1
Colombia	1	Poland	1
Costa Rica	1	Portugal	1
Croatia	1	Qatar	1
Curacao	2	Republic of Korea	1
Czech Republic	1	Romania	1
Denmark	1	Russia	1
Dominican Republic	1	Samoa	1
Ecuador	1	Saudi Arabia	1
Egypt	1	Serbia	1
El Salvador	1	Singapore	1
Ethiopia	1	Sint Maarten	2
Fiji	1	South Africa	1
Finland	1	Spain	1
France incl. Guadeloupe, French Polynesia	1	Suriname	1
Germany	1	Sweden	1
Ghana	2	Switzerland	1
Greece	1	Taiwan	1
Guatemala	1	Thailand	2
Hong Kong	1	Trinidad & Tobago	1
Hungary	1	Turkey	1
Iceland	1	Ukraine	1
India	1	United Arab Emirates	1
Indonesia	1	United Kingdom incl. Anguilla, British Virgin Islands, Montserrat, Turks and Caicos	1
Ireland	1	Uruguay	2*
Israel	1	Uzbekistan	1
Italy	1	Venezuela	1
Jamaica	1		
Category 1 - Meets ICAO Standards		Category 2 - Does Not Meet ICAO Standards	
Note 1 - For those countries not serving the U.S. at the time of the assessment, an asterisk " * " will be added to their Category 2 determination. Note 2 - As of March 8, 2013, countries are removed from the list after four years if they do not provide air transport service to the U.S., have no code-share arrangements with U.S. air carriers, and have no significant interaction with the FAA.			



# IASA Positive Change

- Through the implementation of IASA program, the FAA has seen tangible improvements in the level of international aviation safety oversight.
- When the IASA program first began, the FAA determined that over 66% of assessed countries did not meet ICAO Standards.
- There are 90 countries with a current IASA Category rating: 83 are Category 1 while only 7 are Category 2 or 2\*.



# Current IASA Information

- The FAA provides the public with current IASA category results and the IASA checklist.
- Any change in the IASA category summary list, such as an upgrade from Category 2 to Category 1, is also provided through a press release from the FAA Office of Communications.
- More information about the IASA program, including category results for countries, is available on the FAA website.  
<http://www.faa.gov/about/initiatives/iasa>
- This is the only IASA category information provided to the public; reports are not released.



# Sustaining Compliance

- Aviation is an industry and as in any industry it is always in flux:
  - New routes, new carriers, mergers, business failures, aging aircraft, business aviation
- Oversight needs to keep up with the aviation activities in your country.
- Keeping an updated “General Information and Air Operator Complexity” can assist monitoring changes required for oversight when it comes to international operations.
- If you see significant changes, it may indicate changes in required resources/capabilities.



# Sustaining Compliance (con't)

- Political will is paramount to sustainment of IASA Category 1.
- Effective internal communication maintains resources and political will.
- Protect your investments into your oversight system.
- IASA checklist can provide a roadmap to sustainment.



# Sustaining Compliance: Key Takeaways

- Use the IASA Checklist periodically to test your country to ensure it maintains Category 1 status.
  - Review the 8 Critical Elements
- Communicate.
- Continue to hire qualified personnel and provide training.
- Maintain laws, regulations, and oversight.
- Maintain certification activities in accordance with the laws and regulations.
- Continue to keep accurate records.



# Questions

- We have several tools to assist countries and which are listed on the IASA website:
  - IASA Program and Process
  - Checklists
  - Results and Results Definitions
  - Model Civil Aviation Regulations (MCAR)
  - Model Flight Standards Inspector Training
  - Federal Register Notice – Changes to the IASA Program
- <http://www.faa.gov/about/initiatives/iasa>
- FAA International Program Division, AFS-50, 202-267-0962

