1.1 GENERAL.

1.1.1 Purpose. This section provides the Federal Aviation Administration (FAA) Aviation Safety (AVS) Flight Standards Service (FS) with policy guidance and information associated with the FAA International Aviation Safety Assessment (IASA) program.

1.1.2 Scope. This section is applicable to all FAA FS personnel with responsibilities associated with international aviation operations and foreign air carriers either conducting or desiring to conduct operations in the United States.

1.1.3 Program Tracking and Reporting Subsystem (PTRS) Activity Codes. None.

1.1.4 Regulatory References. All regulatory references in this section are found in Title 14 of the Code of Federal Regulations (14 CFR) unless otherwise indicated.

1.1.5 FAA Order 8430.24, International Aviation Safety Assessment Program. Order 8430.24 established the IASA program in 2001. Although the pertinent information it contains has been incorporated into this policy section, the order will remain effective as program protection.

1.2 BACKGROUND.

1.2.1 FAA’s IASA Program. Under the FAA’s IASA program, the FAA determines whether another country’s oversight of the country’s air carriers that operate or seek to operate to and from the United States, or codeshare with a U.S. air carrier, complies with safety standards established by the International Civil Aviation Organization (ICAO). The IASA program is administered by the International Program Division. Information on the IASA program is provided to the public on the FAA website at http://www.faa.gov/about/initiatives/iasa/.

1.2.2 IASA Program Focus. The IASA program focuses on a country’s ability, not the ability of individual air carriers, to adhere to international aviation safety standards and recommended practices contained in Annex 1 (Personnel Licensing), Annex 6 (Operation of Aircraft), and Annex 8 (Airworthiness of Aircraft) to the Convention on International Civil Aviation, also known as the Chicago Convention (ICAO Document 7300). IASA assessments determine compliance with these international standards by focusing on each critical element (CE) of an effective aviation safety oversight authority specified in ICAO Document 9734, Safety Oversight Manual. The eight CEs are:

- (CE-1) Primary Aviation Legislation.
- (CE-2) Specific Operating Regulations.
- (CE-3) State Civil Aviation System and Safety Oversight Functions.
1.2.3 IASA Program Purpose. The purpose of the IASA program is to ensure that all foreign air carriers operating to or from the United States, or codesharing with a U.S. air carrier, are properly certificated and subject to safety oversight provided by a Civil Aviation Authority (CAA) in accordance with ICAO standards. The IASA program is conducted under the provisions of the Chicago Convention and applicable air transport agreements.

1.2.4 Category Results of an IASA. The results of an IASA identify the assessed country as either Category (CAT) 1 or 2.

a) CAT 1. Countries assessed and listed as CAT 1 meet and comply with ICAO minimum international aviation safety standards for oversight of civil aviation.

b) CAT 2. Countries assessed and listed as CAT 2 do not meet the ICAO minimum international aviation safety standards to be assessed as CAT 1.

c) List of IASA Determinations. Current IASA determinations for countries included in the IASA categorization system are available on the FAA website at http://www.faa.gov/about/initiatives/iasa/media/IASAWS.xlsx.

1.2.5 Technical Permissions in the United States Based on IASA Categories. Foreign air carriers from countries with an IASA category rating have technical permissions regarding economic authority.

1.2.5.1 Foreign Air Carriers from CAT 1 Countries. Foreign air carriers from CAT 1 countries are permitted to operate into the United States and/or codeshare with U.S. air carriers in accordance with U.S. Department of Transportation (DOT) authorizations.

1.2.5.2 Foreign Air Carriers from CAT 2 Countries. Foreign air carriers from CAT 2 countries are limited to U.S. operational levels that existed at the time of the assessment.

a) Countries that have air carriers with existing operations to the United States.

1) Foreign air carriers from these countries will be permitted to continue operations at current levels under heightened FAA surveillance.

2) Expansion or changes in services to the United States by such carriers are not permitted while in CAT 2 status. New services will be permitted if operated using aircraft wet-leased from a duly authorized and properly supervised U.S. air carrier or a foreign air carrier from a CAT 1 country. The U.S. air carrier or foreign air carrier from a CAT 1 country must be authorized to serve the United States using its own aircraft.
3) Substitution of aircraft in the existing fleet is not permitted, although FS will consider requests for substitutions of like aircraft (e.g., substitution of a Boeing 757-200 for a 757-300). In such cases, an exchange for the same make and model of aircraft may be considered for maintenance purposes such as a heavy check or significant modification. In those limited cases, the particulars shall be submitted to the manager of the International Program Division for consideration and approval of such a substitution while the carrier’s authority is under a CAT 2 country.

4) FS will not normally approve additions or substitutions to the “OpSpecs” of foreign air carriers from IASA CAT 2 countries until the CAA gains or regains CAT 1 status.

b) Countries that do not have air carriers with existing operations to the United States.

1) Foreign air carriers from CAT 2 countries that seek to initiate commercial service into the United States and/or seek to codeshare with any U.S. air carrier are prohibited from initiating such services.

2) Carriers from these countries will not be permitted to commence service to the United States while in CAT 2 status. Services may be conducted if operated using aircraft wet-leased from a duly authorized and properly supervised U.S. air carrier or a foreign air carrier from a CAT 1 country. The U.S. air carrier or foreign air carrier from a CAT 1 country must be authorized to serve the United States with its own aircraft.

Note: Those countries not serving the United States at the time of the assessment are identified by an asterisk “*” added to their CAT 2 determination found on the Heightened Surveillance List (HSL).

c) Any codeshare arrangements with U.S. air carriers become a one-way codeshare, e.g., U.S. air carriers may not put their carrier code on any flight operated by foreign air carriers from CAT 2 countries.

d) Operations under part 375 would be limited to the number of operations flown to the United States within the last 12 calendar-months. The foreign air carriers provide supporting documents to the FAA International Field Office (IFO) to validate and verify the flights conducted into the United States for the previous 12 calendar-months prior to the downgrade.

1.3 IASA PROCESS REQUIREMENTS. A foreign air carrier of a sovereign State desiring to conduct foreign air transportation operations into the United States, or codeshare with a U.S. air carrier, files an application with the DOT under Title 49 of the United States Code (49 U.S.C.) § 41302, Permits of Foreign Air Carriers. Parts 211 and 302 specify the requirements for issuance of these authorities.

1.3.1 Safety Standards and Requirements. Consistent with international law, certain safety requirements for operations into the United States are prescribed by part 129, § 129.14. Part 129 specifies that the carrier must meet the safety standards contained in ICAO Annex 6, Part 1, International Commercial Air Transport—Aeroplanes.
1.3.2 **DOT Notification to the FAA.** Before the DOT issues a foreign air carrier permit, it notifies the FAA of the application and requests the FAA’s evaluation of the respective CAA’s capability for providing safety certification and continuing oversight for its international carriers.

1.4 **IASA PROCESS OVERVIEW.** The International Program Division determines the appropriate IASA category rating for a country using information collected during an in-country assessment of that country’s CAA. Other reliable sources of information on a CAA’s compliance with international standards may be considered when making a determination of safety oversight under the IASA program. Information from other reliable sources may be used to supplement the information developed during an assessment or replace the assessment altogether when making an IASA category determination of a CAA.

1.4.1 **Conducting an Assessment.** A standardized checklist is used to conduct the assessments that groups international standards into the eight CEs of safety oversight established by ICAO. The current IASA checklist is available at [http://www.faa.gov/about/initiatives/iasa/checklists/](http://www.faa.gov/about/initiatives/iasa/checklists/). An in-country assessment typically is conducted over the course of one week by a specially trained IASA team, that consists of a team leader, at least one aviation safety inspector (ASI) in operations and maintenance, and an FAA Office of the Chief Counsel (AGC) attorney.

1.4.2 **Assessment Report.** Once an in-country assessment has been completed, the IASA team returns to the United States, compiles the findings, and produces a detailed written report. The FAA provides the report to other U.S. Government officials and the CAA, details the updated status of the IASA process, and requests appropriate follow-on activities.

1.4.3 **IASA Final Discussions.** When the initial results of the assessment of a CAA’s safety oversight indicate that a country does not meet ICAO standards, the FAA formally requests IASA final discussions. IASA final discussions are meant to provide an opportunity for the CAA to present necessary actions to correct findings of noncompliance with ICAO requirements identified during the assessment activity. Final discussions may also be an opportunity to provide guidance on possibilities to reconcile items identified during the assessment.

**Note:** To achieve an IASA CAT 1 rating, a country must demonstrate that it meets the ICAO standards for each of the eight CEs. CAT 2 means that the safety oversight provided by a country’s CAA was found noncompliant in at least one of the CEs.

1.4.4 **IASA Category Results.** After the conclusion of the IASA activities, the FAA publicly releases assessment results, in accordance with Federal Register (FR) Volume 59, No. 173, September 8, 1994. The current categories for all countries with an IASA rating are published online at [http://www.faa.gov/about/initiatives/iasa/media/IASAWS.xlsx](http://www.faa.gov/about/initiatives/iasa/media/IASAWS.xlsx). The FAA also issues a public release when any change of IASA category for a country occurs.

1.4.5 **IASA CAT 1 Economic Authority and Technical Permissions.** When an assessment results in a country receiving an IASA CAT 1 rating, the International Program Division will forward a positive recommendation to the DOT. If there is a pending foreign carrier application, the DOT will issue the requested economic authority and the responsible IFO will issue operations specifications (OpSpecs) to permit the carrier to begin operations to and from the
United States. Detailed IASA category information regarding foreign air carrier economic authority and technical permissions are specified in FR Volume 60, No. 210, October 31, 1995.

1.4.6 IASA Reassessments. The FAA may periodically revisit the CAA of a country with air carriers operating into the United States and/or codesharing with U.S. air carriers to maintain full familiarity with the methods of that country’s continued compliance with ICAO provisions. The FAA may also find it necessary to reassess a country at any time if it has reason to believe that minimum ICAO standards are not being met.

1.5 ASI IASA TEAM MEMBERS. A potential ASI IASA team member must meet the following requirements:

a) Completed the following FAA training courses:
   1) FAA21000039, International Civil Aviation for Inspectors;
   2) FAA21000068, International Aviation Safety Assessment Initial;
   3) FAA18710, ICAO Endorsed Government Safety Inspector (Personnel Licensing); and

b) Nominated by management under an appropriate solicitation where required.

c) Accepted by the International Program Division as an IASA team member candidate.

1.6 AGC IASA TEAM MEMBERS. A potential AGC IASA team member must meet the following requirements:

a) Completed the following FAA training courses:
   1) FAA21000039, International Civil Aviation for Inspectors; and
   2) FAA21000068, International Aviation Safety Assessment Initial.

b) Nominated by management under an appropriate solicitation where required.

c) Accepted by the International Program Division as an IASA team member candidate.