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GOVERNMENT OF INDIA

**OFFICE OF THE DIRECTOR GENERAL OF CIVIL AVIATION**  
TECHNICAL CENTRE, OPP SAFDARJUNG AIRPORT, NEW DELHI

**CIVIL AVIATION REQUIREMENT**  
**SECTION 3 AIR TRANSPORT**  
**SERIES 'C' PART III**  
**ISSUE II, 1<sup>st</sup> JUNE 2010**

**EFFECTIVE: FORTHWITH**

File No.: AV.14027/02/2002-AT.1

**Subject: MINIMUM REQUIREMENTS FOR GRANT OF PERMIT TO OPERATE  
NON-SCHEDULED AIR TRANSPORT SERVICES.**

**1. INTRODUCTION**

Sub-rule (3) of Rule 134 of the Aircraft Rules, 1937 specifies that no air transport service, other than a scheduled air transport service or an air transport service to which the provisions of sub rule (1) or (2) of rule 134 apply, shall be operated except with the special permission of the Central Government and subject to such conditions as it may think fit to impose. In other words, permission of the government is required for operation of non-scheduled air transport services. The power, in this regard, is delegated to the Director General and to the Joint Director General of Civil Aviation, based on which the permission is given by way of issuing a Non-scheduled Operator's Permit (NSOP). This Civil Aviation Requirement contains the minimum airworthiness and operational requirements and also the procedural requirements for grant of an NSOP. In this issue of the CAR, the requirements for grant of NSOP (Passenger) and NSOP (Charter) have been amalgamated and a uniform code for operation of non-scheduled air transport services has been laid down. This CAR is issued under provisions of Rule 133A of the Aircraft Rules, 1937 and the requirements contained here are complementary to the requirements of ICAO Annex 6 Part I, as applicable to non-scheduled operations.

This CAR cancels CAR Section 3 Series 'C' Parts V and VI.

**2. APPLICABILITY AND SCOPE**

2.1 Non-scheduled air transport services may be carried out by using:

- (i) Multi engine aeroplanes;

- (ii) Single turbine engined aeroplanes having maximum seating capacity not exceeding nine seats excluding crew seats;
  - (iii) Single piston engined aeroplanes having maximum seating capacity not exceeding four seats excluding crew seats;
  - (iv) Single or multi engine helicopters;
  - (v) Seaplanes;
  - (vi) Gliders, hot air balloons, airships and Micro lights for the purpose of joy rides.
- 2.2 Single engine, turbine powered aeroplanes may be operated day/night, VFR/IFR weather conditions as per their certification and operating procedures stipulated in flight manual. Single engine piston airplanes shall not be operated at night or in Instrument Meteorological conditions. However, they may be operated under special VFR subject to the limitations contained in the type certificate.
- 2.3 Operations with single engine aeroplanes shall be conducted only on domestic sectors except for medical evacuation flights and shall be operated along such routes or within such areas for which surfaces are available which permit a safe forced landing to be executed.
- 2.4 The carriage of passengers by a non-scheduled operator's permit holder may be performed on per seat basis or by way of chartering the whole aircraft on per flight basis, or both. There is no bar on the same aircraft being used for either purpose as per the requirement of customers from time to time. The operator is also free to operate a series of flights on any sector within India by selling individual seats but will not be permitted to publish time table for such flights. Operation of revenue charters to points outside India may also be undertaken as per paragraph 9.2.
- 2.5 A non-Scheduled Operator is also allowed to operate revenue charter flights for a company within its group companies, subsidiary companies, sister concern, associated companies, own employees, including Chairman and members of the Board of Directors of the company and their family members, provided it is operated for remuneration, whether such service consists of a single flight or series of flights over any period of time.
- 2.6 The Non-Scheduled Operator's Permit holders can also undertake Aerial Work by an aircraft suitable for such work. Aerial Work means any aircraft operation undertaken for an industrial or commercial purpose or any other remunerative purpose, but does not include operation of an air transport service.
- 2.7 This CAR applies to all Non-Scheduled Operator's Permit holders including to those, who have obtained their permits prior to the coming into force of this CAR. However, they shall comply with the requirements of Para 4.2 (b) of this CAR, within 06 months of the date of effectivity of the CAR.

### **3. DEFINITIONS**

- 3.1 **'Air transport service'** means a service for the transport by air of persons, mails or any other thing, animate or inanimate, for any kind of remuneration whatsoever, whether such service consists of a single flight or series of flights;

- 3.2 **'Scheduled air transport service'** means an air transport service undertaken between the same two or more places and operated according to a published time table or with flights so regular or frequent that they constitute a recognisably systematic series, each flight being open to use by members of the public;
- 3.3 **'Non-Scheduled air transport service'** means an air transport service, other than a scheduled air transport service as defined in para 3.2 above, being operated for carriage of passengers, mail and goods, and includes charter operations.
- 3.4 **"Charter operation"** means an operation for hire and reward in which the departure time, departure location and arrival locations are specially negotiated and agreed with the customer or the customer's representative for entire aircraft. No ticket is sold to individual passenger for such operation.
- 3.5 **'Non-Scheduled Operator's Permit'** means a permit authorizing an operator to carry out non-scheduled air transport services subject to conditions as may be specified in the permit.
- 3.6 **'DGCA'** means the Directorate General of Civil Aviation.
- 3.7 **'BCAS'** means the Bureau of Civil Aviation Security.
- 3.8 **'Remuneration'** means payment or compensation received for services rendered on viable commercial terms.

#### **4. ELIGIBILITY REQUIREMENTS**

- 4.1 An NSOP shall be granted only to:
- a) a citizen of India; or
  - b) a company or a body corporate provided that:
    - i) it is registered and has its principal place of business within India;
    - ii) its chairman and at least two-thirds of its directors are citizens of India; and
    - iii) its substantial ownership and effective control is vested in Indian nationals.
- 4.2 An applicant for the grant of an NSOP shall:
- a) be in possession of at least one aircraft, either by outright purchase or on lease (without crew), which shall be registered in India and shall have a valid Certificate of Airworthiness in Normal Passenger Category.

- b) have a minimum Paid Up Capital as given below:

Fleet Strength	Minimum Paid Up Capital (Rs. in Crores)
(i) Upto 2 aeroplanes/helicopters	2.00
(ii) Between 3 and 5 aeroplanes/helicopters	5.00
(iii) Between 6 and 10 aeroplanes/ helicopters	10.00
(iv) Above 10 aeroplanes/helicopters	15.00

The applicant shall submit a certificate from the banker /chartered accountant to confirm the paid up capital of the company;

*Note: The above minimum paid-up capital requirements shall not apply to applicants proposing operations under paragraph 2.1(vi) of this CAR.*

## **5. PROCEDURAL REQUIREMENTS**

Broad guidelines for issue of an Air Operator's Certificate are contained in Air Transport Circular No. 01/2009 and the applicant is advised to go through the aforesaid Circular. Primarily the following steps shall be followed for grant of an NSOP:

### **5.1 Grant of Initial No-Objection Certificate/Import of Aircraft**

- 5.1.1 An applicant desirous of obtaining an NSOP shall first apply for an initial No-Objection Certificate (NOC). The application (eight copies) for this purpose shall be submitted to the Ministry of Civil Aviation, New Delhi in the proforma prescribed in Annexure I, along with a bank draft of Rs. 25,000 (Rupees twenty five thousand only) payable at Delhi in favour of the Pay and Accounts Office, Directorate General of Civil Aviation, Ministry of Civil Aviation, New Delhi. The applicant shall also submit along with his application the particulars of Board Members of the Company in proforma given at Annexure II and III, as applicable. The applicant should also give the type and no. of aircraft proposed to be imported/acquired for the purpose of non-scheduled operations. If the applicant has already finalized the arrangements for procurement of these aircraft, he may furnish the details as per Annexure IV.
- 5.1.2 Along with his application, an applicant for NSOP will be required to submit a project feasibility report as per Annexure V and give a declaration that he complies with the guidelines given in AIC No. 7/2008 dated 30.06.2008 on foreign direct investment in the civil aviation sector. Further, before making any change in FDI, he shall notify the same to Ministry of Civil Aviation at least one month before such change. Furnishing of wrong information in respect of any of the prescribed guidelines at any stage shall make the operator liable for suspension/cancellation of the NSOP.

- 5.1.3 After such scrutiny as is considered necessary, as regards eligibility, financial soundness, project feasibility, security clearance of Board members, etc, the applicant may be issued the initial NOC by the Ministry of Civil Aviation alongwith approval for import of aircraft, subject to any conditions that the Ministry deems fit to impose. Acquisition of aircraft by local purchase/lease within the country shall also require the approval of the Ministry of Civil Aviation. The aircraft shall meet the requirements of paragraph 7.3 of this CAR.
- 5.1.4 The NOC shall initially be valid for a period of one year and six months from the date of issue and shall stand automatically cancelled if the applicant does not take effective steps to obtain the Non-Scheduled Operator's Permit within this period. The Ministry may, however, extend the validity of the NOC for a period upto six months at a time on genuine grounds against payment of a fee of Rs. 25,000/- (Rupees twenty five thousand only) by a bank draft payable at Delhi in favour of the Pay and Accounts Office, Director General Of Civil Aviation, Ministry of Civil Aviation, New Delhi.
- 5.1.5 In case the application for initial NOC did not contain a request for acquisition of aircraft, the applicant may apply for permission for import or local acquisition of aircraft to the Ministry of Civil Aviation as per Annexure IV after the issue of initial NOC.
- 5.1.6 Based on the approval granted by the Ministry, the applicant shall apply in the proforma prescribed in Annexure IV (Part II) to the DGCA, New Delhi for the issue of NOC to import the aircraft. After such scrutiny as may be considered necessary, the DGCA may grant the applicant NOC for acquisition/import of the aircraft upon being satisfied that the applicant has achieved a reasonable level of preparedness. The operator shall be required to show his preparedness in accordance with provisions of paragraph 7 by filling the checklist given at Annexure IX. Additionally, he may also be called upon to demonstrate the same at a preparedness meeting convened by DGCA.
- 5.1.7 The NOC for import of aircraft given by DGCA shall be valid for one year or till the date of expiry of the initial NOC given by the Ministry, whichever is earlier. It may be extended on one time basis by 3 months on genuine grounds provided the initial NOC is valid. However, where the aircraft proposed to be imported is a new one with a definite delivery schedule, the validity of import permission shall be given by DGCA in accordance with the delivery schedule provided the initial NOC remains valid. If the delivery schedule goes beyond the expiry of the initial NOC, the applicant will have to apply to the Ministry of Civil Aviation for extension.
- 5.1.8 Change in the model of aircraft or replacement of an aircraft with another type of aircraft, provided the seating capacity does not exceed 10% of the seating capacity of the aircraft approved by the Ministry, may be permitted by DGCA.

5.1.9 The requirement of foreign exchange for import of aircraft shall be met by the applicants from their own resources by following rules and regulations of the Ministry of Finance and/or Reserve bank of India relating to foreign exchange.

5.1.10 The aircraft imported for NSOP purposes shall not be disposed off to a party within India intending to use it for private purposes, unless the clearance from Customs Authority is obtained.

**6. 100% Foreign Direct Investment in Helicopters Services.**

6.1 FDI up to 100% is permitted on automatic route for helicopter services. A tie up with a foreign operator is also permitted in such cases

6.2 An applicant who intends to avail of the 100 % FDI facility for helicopter operations shall indicate this fact clearly in his application for grant of initial NOC and if his proposal is approved by the Ministry of Civil Aviation he will be issued a Non Scheduled Operators Permit for helicopters only and will not be permitted to induct any fixed wing aircraft in his fleet. However, all other requirements as given in the subsequent paras, hereunder, shall be applicable for obtaining NSOP for helicopter services.

**7. PREPAREDNESS FOR IMPORT/ACQUISITION OF AIRCRAFT**

7.1 The operator shall establish an aviation organization with adequate management personnel. The organization shall have the following elements.

7.1.1 The organization shall nominate a suitable person having knowledge of aviation regulations and with adequate financial authority to act as accountable manager. Such nomination shall be made to the concerned regional office of DGCA. There shall also be an alternate accountable manager. Any change in Accountable Manager shall be with prior intimation to the concerned regional office of DGCA.

7.1.2 The organization shall have divisions depending on its scope of activity namely Engineering, Operations, Quality and Safety Divisions, etc. Such divisions will have competent persons to ensure compliance with applicable regulations.

7.1.3 The organization shall have an operations office with adequate management and operations personnel. Among the operations personnel, there shall be Operations Officer/ Flight Despatcher responsible for functions stated in para 4.6 of CAR Section 2, Series O part II & IV. The Operations Officers/Flight Despatchers will be trained and approved in accordance with CAR Section 7 Series M Part II. The organization shall have persons responsible for monitoring FDTL, and provide information to the flight crew on operational matters such as obtaining clearances, maintenance of technical and operational records, coordinating with local and other concerned ATCs and when required, initiating search and rescue. The responsibilities of various personnel in the operational organization will be enumerated in the organization's operations manual which will be approved by DGCA.

- 7.1.4 There shall be a person responsible for operational control of each flight. He shall make an operational flight plan for each flight and shall be responsible for flight follow-up.
- 7.1.5 The organization shall have in their safety division adequately qualified persons to analyse incidents, defects, carry out internal safety audits and monitor flight operations quality assurance by downloading CVR/flight data recorder information. The head of safety division shall meet the requirements of CAR Section 5, Series F, Part I.
- 7.1.6 The organization shall ensure that appropriate arrangements are made for security of the aircraft at base and also during halts at uncontrolled aerodromes.

## **7.2 Submission of Documents/Manuals**

After receipt of initial NOC from the Ministry and also the approval for import/acquisition of aircraft, the applicant shall take necessary steps for establishing the required maintenance and operational infrastructure, recruitment and training of manpower, and for preparation\approval of the operations manual and other manuals. These manuals shall be submitted for approval as follows:

Operations Manual (3 copies)	-	DGCA Hqrs. (Attn: DAT)
Flight Safety Manual (1 copy)	-	DGCA Hqrs. (Attn: DAS)
Flight Crew Training Manual	-	DGCA Hqrs. (Attn: FID)
Cabin Crew Training Manual (1 copy) (if applicable)	-	DGCA Hqrs. (Attn: Cabin Safety Division)
Maintenance Organisation Exposition/ Maintenance Control Manual (1 copy), (if required)	-	DAW (Region)
Dangerous Goods Operations Manual (if required)	-	DAW (Region)
Maintenance Programme	-	DGCA Hqrs. (Attn: DRI)
Minimum Equipment List	-	DAW (Region)
Manuals for Special Operations	-	DAW (Region)
Security Manual	-	BCAS

The above Manuals, other than the Operations Manual, shall be submitted to the respective offices, as indicated above and the Directorate of Air Transport shall be kept informed of submission of manuals by the applicant.

Note: The guidance material for preparation of above manuals is available in Civil Aviation Requirements on the respective subjects.

## **7.3 Aircraft and Airworthiness Requirements**

7.3.1 Pressurised aircraft to be imported for non-scheduled operations shall not be more than 15 years in age or shall not have completed 75 percent of its design economic life or 45,000 pressurisation cycles whichever is earlier. However, this requirement will not be applicable for Indian registered aircraft maintained in accordance with DGCA requirements.

7.3.2 For the import of unpressurised aircraft, the decision will be taken on a case-to case basis depending on a complete examination of the records and, if required, inspection of the aircraft being procured. However, DGCA would normally not allow import of more than 20 years old aircraft. This requirement will not be applicable for Indian registered aircraft maintained in accordance with DGCA requirements.

Note: Unpressurized aircraft imported for training activities shall not be permitted for carriage of passengers if such aircraft were over 20 years of age, when imported.

7.3.3 Before import of an aircraft, the applicant shall ensure that no major checks/modifications including those applicable to aging aircraft, if applicable, are due within one year/2000 hours of operation.

7.3.4 The aircraft shall be fitted with mandatory equipments as specified by DGCA from time to time.

7.3.5 The aircraft shall be maintained by an organisation approved in accordance with CAR 145, or other applicable requirements.

7.3.6 The operator shall comply with the DGCA requirements on the subject of continuing airworthiness as stipulated in CAR M or such other instructions issued by DGCA from time to time.

#### **7.4 Training**

7.4.1 The applicant shall get its pilots/engineers/cabin crew (if required) trained either at the facilities of the manufacturer or those available with other airlines in India or at training establishments approved by the DGCA. When the aircraft being inducted is first of its type in India, an officer from Airworthiness Directorate of DGCA and one Flight Operations Inspector, if the same qualification is not available in FID, will be provided the engineering maintenance training and Flying Training respectively, free of cost along with the AMEs/Pilots of the operator/maintenance organisation. The expenditure on such training will be borne by the operator.

7.4.2 The applicant should get the training programme for pilots approved by DGCA and ensure that the training is completed before the aircraft is acquired. The training programme shall include detailed initial and recurrent training requirements.

- 7.4.3 The applicant shall train its pilots, cabin crew and commercial staff in categories 9, 10, 11 and 12 as per para 8.2 of CAR Section 3, Series L, Part III, even if it does not plan to engage in carriage of dangerous goods.
- 7.4.4 If the operator intends to carry dangerous goods, he shall get a full fledged dangerous goods training programme approved from DGCA, as required under the Aircraft (Carriage of Dangerous Goods by Air) Rules, 2003, and CAR Section 3 Series L Part III. He shall also provide training to the staff in categories 6, 7,8, 9, 10, 11 and 12 as per para 8.2 of CAR Section 3, Series L, Part III.
- 7.4.5 The Operator's training programme shall include training for handling persons with disabilities or reduced mobility as required by CAR Section 3, Series M, Part I.
- 7.4.6 Training of flight dispatchers, load and trim sheet personnel and marshallers etc. must be accomplished before import of aircraft.

#### **7.5 Flight/Cabin Crew Requirements**

- 7.5.1 The applicant shall have sufficient number of pilots and cabin crew (if required) under its own employment. In case of foreign pilots, the applicant shall apply for their Security Clearance in the prescribed format. The pilots holding licences issued by other contracting States shall be permitted to fly only after obtaining Foreign Aircrew Temporary Authorisation (FATA) from DGCA.
- 7.5.2 No aircraft shall be operated under the authority of this permit, if the crew of the aircraft are not regular employees of the holder of the permit.
- 7.5.2.1 Notwithstanding the provision in para 7.5.2, cross utilization of the crew of one operator by another operator having same type of aircraft may be resorted to in the exigencies given below:
- (a) The pilot is unavailable on account of leave, training, medical or pending investigation of accident/incident;
  - (b) The pilot has left the organization without adequate notice;

7.5.2.2 The cross utilization of crew under paragraph 7.5.2.1 shall be subject to the following conditions:

- (a) The borrowing operator shall obtain NOC from the operator who is lending the services of its pilot;
- (b) The borrowing operator shall provide training to the concerned pilot regarding familiarization of company procedures and its operations manual and issue a certificate regarding the training which shall be produced on demand to DGCA's surveillance team;

- (c) The borrowing and the lending operators shall reach a mutual agreement regarding the wages and other liabilities such as insurance, medical, etc. of the concerned period;
- (d) Compliance with the FDTL regulations in respect of the concerned pilot shall be the responsibility of his parent organization who shall be held responsible for any violation in this regard besides the pilot himself;
- (e) A monthly report to DGCA (Air Transport Directorate) shall be submitted by the borrowing operator regarding cross utilization of pilots, if any, resorted to during the previous month;
- (f) No operator shall run his flights by borrowing pilots under paragraph 7.5.2.1 for more than three months;
- (g) No pilot shall operate flights under paragraph 7.5.2.1 for more than three operators including his parent organization.

#### 7.6 Pilot Qualification & Experience Requirements for Single Engined Aeroplane

The pilot operating single-engined aeroplane under the provisions of this CAR shall meet the following minimum requirements:

##### (i) For Piston Engine Aeroplanes

The pilot shall have a minimum of:

- a) Total flying experience - 500 hours
- b) Total PIC flying experience - 200 hours
- c) Total flying experience on type - 50 hours.
- d) Total PIC flying experience on type - 25 hours
- e) PIC flying experience in the last six months on type - 10 hours.

##### (ii) For Turbine Engined Aeroplane

The pilot shall have current instrument rating and a minimum of :

- a) Total flying experience - 700 hours
- b) Total PIC flying experience - 300 hours
- c) Total instrument flying experience as PIC - 100 hours
- d) Total PIC flying experience on type - 50 hours
- e) PIC flying experience in the last six months on type - 10 hours
- f) Total flying experience in night operations on the type - 10 hours

#### 7.7 Security Manual

The applicant shall prepare the security manual in accordance with Annexures VI, VI (A) and VI (B) and get the same approved by BCAS.

**7.8 Demonstration of Operational Capability**

The applicant shall conduct one or more of the following demonstrations, as may be required, to the DGCA:

- 7.8.1 A demonstration of evacuation and ditching (as applicable) of passengers and crew;

Note: Evacuation demonstration may be required when a new type of aircraft is inducted by an operator or where seating capacity higher than the certified capacity is sought.

- 7.8.2 Flight dispatch procedures, including pilot briefing, met information and preparation of operational flight plan. This demonstration may be made at the main base.

- 7.8.3 Weight and Balance control procedures, including preparation of load and trim sheets, and method of preservation of records of each flight.

- 7.8.4 Baggage screening and check-in procedures.

- 7.8.5 Monitoring of Flight duty time limitations.

- 7.8.6 Flight Operations Quality Assurance and CVR/FDR monitoring system.

- 7.8.7 A proving flight may be required by DGCA for any operator at any airfield where it is expedient in the interest of safety of operations and for convenience of handling ground operations and passengers.

- 7.8.8 An operator shall implement a safety management system acceptable to the DGCA, which as a minimum:

- a) identifies safety hazards;
- b) provides for continuous monitoring and regular assessment of the safety level achieved;
- c) ensures that remedial action necessary to maintain an acceptable level of safety takes place on a continual basis; and
- d) aims to make continuous improvement to the overall level of safety.

- 7.8.9 A safety management system shall clearly define lines of safety accountability throughout the operator's organization, including a direct accountability for safety on the part of senior management.

*Note. — Guidance on safety management systems is contained in the Safety Management Manual (SMM) (Doc 9859).*

**8. ISSUE OF PERMIT**

- 8.1 After import/ acquisition of the aircraft in accordance with the requirements of para 4.2 of this CAR, the applicant may apply to DGCA for grant of the Non-Scheduled Operator's Permit in the proforma given at Annexure VII.
- 8.2 The application shall be accompanied with all the documents listed in the proforma as given at Annexure VII including a fee of Rs.1,00,000/- (Rupees one lakh only) in the form of a demand draft payable to PAO, DGCA, MCA, New Delhi.
- 8.3 After such scrutiny as necessary and based on the satisfactory preparedness demonstrated by the applicant, DGCA shall issue the operating permit for Non-Scheduled Operations along with Operations Specifications stipulating any conditions, if considered necessary, to those applicants who meet the requirements of this CAR.

**9. REQUIREMENTS FOR CONTINUED OPERATION**

- 9.1 The operator shall have prior coordination with the concerned aerodrome operator for undertaking a flight to any aerodrome with regard to watch hours, safety and security services and suitability of the aerodrome for the type of aircraft to be used. For operation to a defence airfield, prior coordination with defence authorities will be required.
- 9.2 For operating to international destinations, permission from DGCA shall be obtained for which a notice period of one day will be required. This notice period may be waived off for medical evacuation flights, relief flights, during natural calamities and ambulance flights, in which case the name of the patient and doctor should be provided to DGCA. However, single engine aircraft will not be allowed to operate to International destinations except for medical evacuation flights.
- 9.3 The operator shall ensure that a copy of the Operations Manual is carried on board each aircraft. The operator shall operate in conformity with the provisions of the Operations Manual.
- 9.4 Flight and duty time of the crew shall be within the limits stipulated in the Aircraft Rules and the requirements laid down by DGCA.
- 9.5 The operator shall submit the flight plan of each flight with the air traffic services unit in the normal course and obtain clearance thereto well before the expected time of operation. In case of Air Defence Identification Zones (A.D.I.Z.), the additional requirement of obtaining Air Defence Clearance shall be strictly adhered to. For operation outside ATC watch hours, necessary clearances from the competent authorities for extension of watch hours shall

be taken before commencing the flight. The Pilot-in-Command of the aircraft or an authorised person like an approved flight dispatcher on the type shall obtain meteorological and ATC briefings before undertaking the flight.

- 9.6 Articles classified as dangerous goods, arms, ammunition, explosives and inflammable materials and such other articles as the Director General may decide from time to time, shall be carried only if prior approval of DGCA has been obtained for carriage of dangerous goods and the carriage is effected in accordance with the Aircraft (Carriage of dangerous goods) Rules, 2003.
- 9.7 All aircraft engaged in non-scheduled operations shall carry a route guide.
- 9.8 The applicable requirements enumerated in CAR Section 8 - Flight Operations, Series 'A' Part II shall be complied with by all non-scheduled operators.
- 9.9 Besides the above requirements, the applicant shall also ensure compliance with CAR Section 2, Series 'O' Part II – Operation of Commercial Air Transport – Aeroplanes and Part IV – Operation of Commercial Air Transport – Helicopters.

## **10. GENERAL REQUIREMENTS**

- 10.1 Any change in the Board of Directors at any time shall be intimated to the Ministry of Civil Aviation and DGCA along with the details of new chairman or director as per annexure II and III. A new Director or Chairman shall not be appointed, unless the security clearance has been obtained from the Ministry of Home Affairs through Ministry of Civil Aviation.
- 10.2 A Non-Scheduled Operators' Permit shall not be transferable.
- 10.3 A copy of the permit issued for non-scheduled operations shall be carried on board the aircraft when operating such services. The Permit shall also be displayed in the office of the chief executive of the company.
- 10.4 Prior permission of DGCA/Ministry of Civil Aviation shall be required for:
- (a) change in the name of the Company;
  - (b) change in management of the Company arising out of changes in the equity holdings of the Company;
  - (c) take over of the Company by another Company.
- 10.5 Landing and parking charges shall be payable to the owner of the airfield. For operations from defence airfields where Airports Authority of India have civil enclaves, a separate charge may be payable to the Airports Authority. The Route Navigation Facilities Charges (RNFC) shall be payable to the organisation which provides these facilities.

- 10.6 The operator shall notify to DGCA any accidents, incidents, major defects or other significant occurrences as given in Car Section 5 Series C Part I. Such information shall be provided to DGCA (Attention: Director Air safety) by the quickest means but not later than 24 hours.
- 10.7 The Operator shall file monthly traffic returns aircraft-wise as per form 'A' given at annexure X and yearly financial return as per form 'B' given at Annexure XI to DGCA (Attn: Director of Statistics). A copy of form A shall also be provided to concerned Customs authorities.
- 10.8 The operator shall also file quarterly returns on the number of hours flown by each aircraft of the fleet, defects encountered and reasons for prolonged grounding of the aircraft, if any, as per CAR, Section 2, Series C, Part 1 Para 6. Such return will be sent to local airworthiness office.
- 10.9 The non-scheduled operators shall issue passenger tickets in accordance with the provisions of the Carriage By Air Act, 1972 and any other requirements which may be prescribed by DGCA. The tickets shall stipulate the conditions of carriage including the liability of the operator which shall be the same as applicable to the scheduled air transport operators. In case of charter operation, a single document issued to the party chartering the flight containing all conditions may be treated as fulfilling this requirement
- 10.10 The operator shall maintain a current insurance for an amount adequate to cover its liability towards passengers and their baggage, crew, cargo, hull loss and third party risks in compliance with the requirements of the Carriage by Air Act, 1972, or any other applicable law.

## **11. RENEWAL**

- 11.1 Non-Scheduled Operators Permit shall be renewable by DGCA every two years against payment of a fee of Rs. 50,000 ( Rupees Fifty Thousand only) by a bank draft drawn on a scheduled bank at Delhi in favour of the PAO, DGCA, MCA, New Delhi. Application shall be submitted in prescribed format as per Annexure VIII.
- 11.2 The operator shall demonstrate continued capability to conduct the operations authorized under the operating permit.

## **12. PENAL PROVISIONS**

Degradation of the operator's capability below the required level or breach of any of the requirements of this CAR or of any provisions of Aircraft Act, 1934, Aircraft Rules, 1937, Civil Aviation Requirements, orders/ directions/ requirements issued under the said act or rules and as amended from time to time, shall render the Operating Permit liable to alteration, suspension or cancellation. Additionally, action may also be taken as per the provisions of Schedule VI of the Aircraft Rules, 1937.

*Nasim Zaidi*

(Dr. Nasim Zaidi)

Director General of Civil Aviation

**ANNEXURE I**

**APPLICATION FOR GRANT OF INITIAL NOC TO OPERATE  
NON-SCHEDULED AIR TRANSPORT SERVICES**

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**1. Applicant's details**

A. In case of an individual

- a) Name
- b) Nationality
- c) Address in India with Telephone, Telex, Fax numbers

B. In case of a company or a corporate body

- a) Name of the company/corporate body with details of registration (enclose a copy of Certificate of Incorporation).
- b) Address with telephone, telex, Fax numbers of the registered office.
- c) Address of principal office of business, including operations and maintenance bases.
- d) Full details of any other business the company are engaged in.
- e) Names and nationality of the Board of Directors.
- f) Details of the share holding of the company.
- g) Percentage share of foreign nationals or company, if any, in the capital of the company.
- h) A copy each of the certificate of incorporation and Memorandum and Articles of Association.
- i) State whether Air Transport operations is one of the objectives of your company.
- j) Details of experience in civil aviation field/activities
- k) Evidence on compliance with the guidelines issued vide AIC 07/2008, as amended from time to time.

**2. Financial resources**

- a) Authorised equity capital
- b) Subscribed equity capital
- c) Other resource (attach supporting documents such as balance sheet, bank certificates etc.)

**3. Details of Organisation**

- a) Overall set up including details of operational, management, engineering quality control set up, flight safety cell etc.
- b) Proposed maintenance facility with details of organisation, equipment and approved program. Indicate main maintenance base and operational bases.

- c) Staff strength of the proposed maintenance personnel and plans of their training.
- d) Number of flight crew with details of their licences and plans of their training for each type of aircraft in the fleet.
- e) Sources of pilots and engineers.
- f) Place(s) where the aircraft will night stop with the number of aircraft at each place.

**4. Details of aircraft proposed to be operated**

- a) Number and type of aircraft.
  - b) Whether the aircraft is to be acquired on outright purchase or lease finance or dry lease.
  - c) Name and address of Owner/Lessor for the purpose of registration of aircraft.
  - d) Passenger capacity of each type of aircraft.
  - e) Maximum all up weight
  - f) Whether the aircraft is type certified by DGCA India.
  - g) Arrangements for ground handling equipment.
5. Details of routes proposed to be operated with the type of aircraft.
6. Potential need for the proposed services
7. Projected profitability (a copy of feasibility study as given in Annexure V may be enclosed).
8. State if the applicant has at any time contravened any provision of the Aircraft Act 1934 and/or the rules made there under. If so, give details.
9. Particulars of fees, the name of the Bank (DD to be drawn on any scheduled bank in Delhi, payable to PAO, DGCA, MCA, New Delhi).
10. Statement showing compliance with the Civil Aviation Requirements (CAR Section 3 Series 'C' Part I if the aircraft are leased by the operator.
11. By what time the operations are proposed to be started
12. Other information to meet the provisions of the Aircraft Rules 1937.

13. Details of the security program filed with BCAS.

Certified that the statements made/information given in this application are true.

(Signature of the applicant/authorized signatory.)

Note : Eight copies of the application are required to be submitted to the Ministry of Civil Aviation. All copies of the application should be supported by documents wherever necessary.

**ANNEXURE II**

**INFORMATION REQUIRED FOR SECURITY CLEARANCE  
OF CHAIRMAN AND DIRECTORS OF BOARD  
(INDIAN NATIONALS)**

- 1) Name and full address of the organisation:
- 2) Name in full:
- 3) Qualification:
- 4) Father's/husband's name in full:
- 5) Date and place of birth:
- 6) Permanent address:
- 7) Present address in India:
- 8) Passport No. Date and place of issue.  
and its validity (enclose a copy of the Passport):
- 9) Present occupation:
- 10) Bankers (Details of Bank Account No.):
- 11) Any other information:

Authorised signatory of the company.

**ANNEXURE III**

**INFORMATION REQUIRED FOR SECURITY CLEARANCE OF CHAIRMAN AND  
DIRECTORS OF BOARD  
(NRI / FOREIGN NATIONALS)**

- 1) Name and full address of the organisation:
- 2) Name in full:
- 3) Qualification:
- 4) Nationality
- 5) Father's/ husband's name in full:
- 6) Date and Place of birth:
- 7) Present address in India:
- 8) Permanent Address   a) In India:  
  b) Abroad:
- 9) Present Occupation:
- 10) Passport. No. Date and Place of issue and its validity:  
(enclose a copy of the Passport):
- 11) Duration of stay abroad:
- 12) Bankers (Details of Bank Account No.):
- 13) Any other relevant information:

Authorised signatory of the company.

**APPLICATION FOR IMPORT/ACQUISITION OF AIRCRAFT  
FOR NON-SCHEDULED AIR TRANSPORT OPERATIONS**

**Part I General Information**

1. Name and Address of the operator
2. Name(s) of Directors of the firm/company. If any change in the list of Directors is made, the same should be furnished along-with address, fax no. etc.
3. Existing fleet strength, type-wise and their seating capacity
4. (a) Aircraft type, number, configuration and other technical details in respect of the aircraft proposed to be imported/acquired. (Details of aircraft to be furnished as per format given below in Part II)  
(b) Maintenance and operational base of the proposed aircraft.
5. Proposed financing pattern and aircraft lease (whether on purchase, wet lease or dry lease etc.) and purchase terms.
6. Existing Paid Up Capital.
7. Source of crew and their names.
  - (a) For existing fleet.
  - (b) For proposed fleet.
8. Arrangements for training of crew.
9. Source of engineers/technical staff and their names.
  - (a) For existing fleet
  - (b) For proposed fleet
10. Arrangements for night parking
11. Arrangements/level of readiness for maintenance of aircraft.
12. Level of readiness of security arrangements.
13. Proposed route pattern.
14. Estimates of market demand.
15. Profitability analysis.
16. Evidence on compliance with the guidelines on scheduled operations.
17. Evidence on compliance with the guidelines issued vide AIC No. 07/2008 as amended from time to time.

Note: In case of any change in information under any head from the information supplied at the time of grant of NOC. Full justification and details should be given.

Part II Details of the Aircraft

- a) Type and Make of the aircraft:
- b) Nationality and Registration of the aircraft:
- c) Year of manufacture of the aircraft:
- d) Name of manufacturer of the aircraft:
- e) Serial number of the aircraft:
- f) No. of passenger seats / Weight of cargo permissible as per type certificate of the aircraft /helicopter:
- g) Maximum certified take-off mass:
- h) Engine type mounted on aircraft
- i) Number of hours flown since new:
- j) Number of landing since new:
- k) Number of pressurisation cycles since new:
- l) Last major check done and number of hours since flown:
- m) Next major check due
- n) Name of the company from which the aircraft/helicopter is being taken on lease:
- o) Previous history of aircraft with details of any incident/accident involving structural damage:
- p) Name of the Authority and country which issued the last Certificate of Airworthiness:

**UNDERTAKING**

It is confirmed that the aircraft after registration in India shall be maintained, operated and de-registered (if required) in accordance with the Indian rules, regulations, procedures and any condition specified by DGCA India and there is no binding or limitation of any kind in this regard in the lease agreement for the acquisition of the aircraft.

(Signature of the Applicant/Authorised Signatory)

**ANNEXURE V**

**PROJECT FEASIBILITY REPORT**

- I. The applicant's project feasibility report should clearly indicate the following:-
- i) The applicant's background and credentials.
  - ii) Estimates of market demand.
  - iii) Proposed route pattern.
  - iv) Aircraft type, number and source including aircraft lease/purchase terms.
  - v) Source of crew and technical personal.
  - vi) Source and deployment of funds.
  - vii) Profitability projections.
  - viii) Details of Foreign investment/equity participation and parawise comments on AIC No. 07/2008.
  - ix) Arrangements for maintenance and training of aircraft maintenance engineers and crew.
- II. Other details should include:-
- i) Ownership pattern and proposed financial structure.
  - ii) Acceptable proof of the applicants' activity to run air transport services on a sustained basis.
  - iii) Time-frame in which the project would be operationalised, schedule of activities and time frame for each activity.

## **MODEL SECURITY PROGRAMME FOR BUSINESS AVIATION**

### **OVERVIEW**

1.1.1 The Model Security Programme for Business Aviation is a summary of an industry code of practice known as the International Standard for Business Aircraft Operations, which covers a broad range of operational processes and requires, among other items, that operators implement a security programme proportional to the threat against their personnel, aircraft and facilities.

### **ASSESSING THREAT AND VULNERABILITY**

1.1.2 The first step in developing an effective security programme is to assess the threat against the company as well as the operator's vulnerabilities. Threats may be related to the nature of the company's business, the location of its operations, its nationality, the State of aircraft Registration, a passenger's profile or the value of goods carried. Information on the various kinds of threats facing an operator comes from a variety of sources; in developing and maintaining a current threat assessment for different operational areas, the flight department manager should rely on the following resources, as appropriate:

- a) national and local security officials;
- b) national and local law enforcement officials;
- c) the company security officer, if applicable;
- d) national and international trade associations;
- e) air security assessment and intelligence service providers;
- f) local and foreign media reports; and
- g) company officials posted in foreign locations, if applicable.

1.1.3 Security professionals may provide assistance in determining and assessing the flight department's vulnerabilities.

### **PREVENTIVE SECURITY MEASURES**

1.1.4 The focus of preventive security measures is on preventing:

- a) unauthorized access to company aircraft and facilities;
- b) the introduction of unauthorized weapons or explosives to company aircraft or facilities; and

- c) the use of company aircraft to commit unlawful acts, such as the transport of illicit drugs.

1.1.5 Security measures implemented by the operator should be proportional to the threat. The procedures and training in place should lead to enhanced measures whenever the threat rises, and a reduction in measures when the threat diminishes.

1.1.6 Preventive security measures include, as appropriate:

a) global considerations:

- i) whenever possible, avoid operating in geographic areas that have an identified security risk;
- ii) implement a security programme that is specific to the location and operation;
- iii) ensure that all flight department personnel receive security programme training;
- iv) make security an integral part of all aspects of the flight department and its operation;
- v) establish a security champion role (much like the safety officer role);
- vi) maintain a security information programme; and
- vii) develop, resource, maintain, exercise, evaluate and update an Emergency Response Plan;

b) people and processes:

- i) require pre-employment screening of flight department personnel;
- ii) require that crew members display photographic identification at all times;
- iii) limit the publication of flight itineraries;
- iv) establish security threat alerting procedures, such as a code word for use by persons under duress;
- v) require an accurate and accessible passenger manifest for all trip legs;
- vi) ensure that only company personnel and authorized guests, identified in advance, are allowed to board a company aircraft;
- vii) ensure that passengers or flight department members maintain positive control of baggage; and
- viii) positively identify all baggage and match baggage to specific passengers (colour-coded baggage tags may be helpful);

c) aircraft:

- i) check lavatories, baggage compartments and all cavities for unauthorized persons or objects prior to each departure;
- ii) ensure that a flight department member is present at all times when the aircraft is being serviced (e.g. during fuelling, catering., etc.) at company facilities;
- iii) ensure that an aircraft crew member is present at all times when the aircraft is being serviced at locations away from the company aviation

- facility;
- iv) use the aircraft's security system (locks and alarms) whenever the aircraft is left unattended at non-company facilities;
- v) apply tamper-evident security tape on the doors, panels, etc. of parked aircraft;
- vi) post a guard at the aircraft whenever visiting locations where security is a concern; and
- vii) consider removing company identification from aircraft and facilities; and

d) facilities:

- i) ensure company facility perimeter security with effective fencing, lighting, gates, limited access areas and security patrols (as appropriate);
- ii) ensure that external gates and doors are kept closed and locked at all times when not in use;
- iii) require positive access control for all external gates and doors;
- iv) close hangar doors whenever the hangar is unattended;
- v) secure all key storage areas (e.g. food and liquor, parts and tools, etc.);
- vi) require an access control management system for keys and passes;
- vii) confirm the identity and authority of each passenger, vendor and visitor prior to allowing access to facilities and aircraft;
- viii) accompany all visitors away from secure areas (e.g. visitor lounge, etc.);
- ix) require photographic identification from any unfamiliar or unaccompanied visitor or vendor;
- x) post emergency numbers prominently around the facility;
- xi) ensure easy access to telephones or "panic buttons" in various facility locations (e.g. lunchroom, hangar bay, etc.); and
- xii) confirm the security status of destination facilities.

### **RESPONSIVE MEASURES**

1.1.7 In the case of a hijacking, the flight crew should attempt to assess the intent of the hijacker while following emergency procedures set out in the company's operations manual, including distress radio calls and a transponder setting that alerts air traffic controllers to the hijacking. Flight crew are also expected to adhere to the procedures promulgated in Document 7030 - *Regional Supplementary Procedures*, whether the aircraft continues on its assigned track and cruising level or is forced to deviate from them.

1.1.8 In the case of a bomb threat, the operator should first ascertain whether the threat is likely to be a hoax. If the threat is considered to be legitimate, law enforcement officials should be notified. When airborne, air traffic services should be notified of the situation and the aircraft should proceed to land so that a search may be conducted on the ground. If already on the ground, the aircraft should be moved to a designated isolated parking stand before proceeding with a search.

1.1.9 In the case of other unlawful acts, the operator should contact the

responsible law enforcement agency.

**SAMPLE SECURITY CHECKLIST**

1.1.10 Appendix VI-A provides a sample security checklist that may be adopted by aircraft operators.

**ANNEXURE VI-A**

**Sample Security Checklist**

1.1.1 This Annex provides an example of suggested checks and actions in the event of an act of unlawful interference with civil aviation, including bomb threats. In developing their checklists, operators should consult their aircraft flight manual.

1.1.2 Each destination should be assessed and rated as either a low, medium or high security risk to travellers. The following guidelines describe the progressive measures that should be invoked for each of these categories.

<b>Threat Level</b>	<b>Actions</b>	
<b>Low</b>	Door/access panels	Locked
	Emergency exits	Secured
	Aircraft perimeter	Marked/lit
	Communications	Establish lines of communication between crew and passengers
<b>Medium</b>	Parking	Avoid proximity to public rights-of-way
		Non-remote
		Well-lit
		Apply tamper-evident security tape to doors/access panels
	Engine blanks	Fitted
	Physical guarding	Use if available
	Communications	Establish lines of communication between crew and passengers
	Pre-flight	Detailed check of aircraft cavities
<b>High</b>	Risk	Refer to local representative for assessment of business risk of not travelling vs. the security risk of travelling
	Parking	Aircraft hangared
		Apply anti-tampering tape to aircraft doors and access panels
	Armed guarding	Mandatory
		Local representative approved in accordance with local guidelines on the use of force
	Communications	Establish lines of communication between crew and passengers

1.1.3 The flight department should also provide crews with local specialist assessments of the security situation in States where these are available. Crew members should contact their Operations Department to implement this advice.

**UNLAWFUL INTERFERENCE**

THE SAFETY OF PASSENGERS AND CREW IS PARAMOUNT AND THE OBJECTIVE IS TO SECURE THEIR SAFE RELEASE

When possible, carry out the following:

Transponder.....	A7500
Air traffic control.....	INFORM
Fasten seat belts .....	ON
Cabin attendants.....	BRIEF (if possible)

**GENERAL ADVICE**

**In the air:**

- i) assess the situation to try to determine the intent of the hijacker and modify the recommended response as appropriate;
- ii) comply with initial demands without prejudicing safety;
- iii) negotiate patiently (do not antagonize);
- iv) avoid actions or movements that might appear hostile;
- v) before moving any control or switch, etc., explain the reason for the action;
- vi) keep passengers calm;
- vii) consider passing information to controlling authorities;
- viii) if forced to deviate from the assigned track and cruising level:
  - a follow the procedures specified in Doc 7030; or
  - b. if no applicable regional procedures have been established, proceed at a level which differs from the cruising levels normally used for IFR flight by:
    - 150 m (500 feet) in an area where a vertical separation minimum of 300m (1,000 feet) is applied; or
    - 300 m (1,000 feet) in an area where a vertical separation minimum of 600m (2,000 feet) is applied; and
- ix) land at a suitable airfield.

**On the ground:**

- i) EXPECT THE AUTHORITIES TO TAKE CONTROL;
- ii) be guided by authorities. Do not take independent action;
- iii) make the hijacker do his own thinking;
- iv) establish the continuance of food, water, sanitary supplies, APU and battery. Transfer to a ground power unit as soon as possible. It possible, obtain an air conditioning cart;
- v) maintain hygiene. Keep door, galley and aisle clear of rubbish and equipment; and
- vi) look after passengers' health and comfort.

**BOMB THREAT ON GROUND**

Air traffic control and operations/handling agent .....ALERT

- Confirm parking area

Cabin attendant (if carried)

BRIEF

- i) passengers NOT to be told;
- ii) prepare to disembark on pilot-in-command's command (public address system);
- iii) disembarkation procedures established. Use entry door if practical;
- iv) suspicious objects should not be touched; and
- v) if taxiing, stop and disembark immediately.

Passengers.....

EVACUATE AND ASSEMBLE CLEAR OF AIRCRAFT (500 m UPWIND)

Pilot-in-command ..... ENSURE THAT AIRCRAFT IS COMPLETELY VACATED

**BOMB THREAT IN FLIGHT**

If an explosive device is expected, or a suspicious article has been found, the aircraft should be flown as normally as possible but in accordance with the following requirements:

Emergency .....DECLARE

- plan to land at the nearest suitable airfield
- consider high altitude airfield if appropriate.

Transponder.....SET A7700 if none assigned

Cabin attendant (if carried).....BRIEF

- advise that there is a bomb threat and notify senior passenger;
- organize search of cabin; and
- if bomb is found, plan to land as soon as possible (upon landing disembark by fastest means as soon as possible).

Pilots .....SEARCH                      FLIGHT                      CREW  
COMPARTMENT

Pressure controller.....MAINTAIN ALL CURRENT CABIN  
ALTITUDE

Descent ..... COMMENCE

- reduce cabin differential pressure to zero by descending aircraft to cabin altitude. Do not raise cabin altitude;
- descend without delay to below FL 100 or MSA if higher; and
- minimize manoeuvres and avoid turbulence.

Speed.....REDUCE WHEN PRACTICABLE  
Cabin....., .....DEPRESSURIZE/AIR VALVES CLOSED

- when at cabin altitude:
  - Man, Cabin Alt. Control      FULL INCREASE
  - Dump Valve                      OPEN
- leave outflow valve open for remainder of flight.

Landing Configuration .....ESTABLISH EARLY  
After landing:

- APU.....START
- Engines.....SHUT DOWN
- Lighting.....ALL ON EXCEPT LANDING LIGHTS
- Public address (given by cabin attendant or pilot)..... "IT IS IMPERATIVE TO LEAVE THE AIRCRAFT WITHOUT DELAY. KINDLY FOLLOW THE INSTRUCTIONS."

Passengers..... ASSEMBLE CLEAR OF AIRCRAFT (500 m UPWIND)

**IF SUSPICIOUS ARTICLE OR BOMB FOUND:**

- DO NOT MOVE, OPEN OR TOUCH;
- move passengers as far away as possible and instruct them to keep their heads below top of seat backs;
- obtain expert advice through air traffic control communications;
- remove any oxygen bottles and first aid kits from the immediate vicinity. Have fire extinguishers available;
- secure article in place, surround with pillows, blankets, coats and absorbent materials. Keep article dry, but wet surrounding material; and
- consider moving the article only if its position poses an immediate threat to the aircraft and expert advice recommends this course of action, in which case the article must be handled GENTLY, without changing its orientation. The article should be fastened using adhesive tape and supported with seat cushions, blankets, etc.



## **AIRCRAFT OPERATOR SECURITY PROGRAMME**

### **GENERAL**

1.1.1 All aircraft operators are subject to the laws of the State of Registry and all States into which they operate (the host State). Each aircraft operator must establish, implement and maintain an appropriate written security programme that meets the requirements of the National Civil Aviation Security Programme (NCASP) as well as any host State.

1.1.2 An aircraft operator security programme should be a clear and comprehensive document, free of legal terms or jargon, and should be readily available to staff who are responsible for implementing security measures.

1.1.3 The programme should be approved by the appropriate authority for aviation security of a host State prior to its implementation in order to ensure consistency with the NCASP. States may prefer to develop a standard aircraft operator security programme for adaptation by each aircraft operator. Amendments or variations proposed by aircraft operators, other than minor changes, should be approved by the appropriate authority for aviation security before incorporation (guidance material with regard to preventive aviation security measures for aircraft operators that may be used as the basis for aircraft operator security programme contents covered in this Appendix may be found in Chapter 4).

1.1.4 An aircraft operator security programme should incorporate the following key elements:

- a) security specific definitions, abbreviations and acronyms;
- b) a programme objective, stressing the need to meet Annex 17, NCASPs and other national and regional regulatory requirements;
- c) a reference to its legal basis, specifically, the pertinent national legislation, NCASP provisions, and other regulations;
- d) an organizational structure clearly enumerating the roles and duties of the different entities concerned with aviation security, including itself and other aircraft operators, the airport security department, law enforcement agencies, national armed forces, caterers, border control and other government agencies;
- e) a description of communication channels for exchanging security information, normally between the relevant aviation security authority and the aircraft operator;
- f) a description of security measures that serve to safeguard aircraft and their occupants and that apply to passengers, baggage, cargo, mail,

catering supplies and stores, firearms and weapons, and all other people or items subject to control;

- g) a summary of security training requirements for relevant staff members, and related certification criteria; and
- h) appendices that contain organizational diagrams, the contingency plan that covers responses to acts of unlawful interference and other important information.

1.1.5 Other useful elements that may be included in an aircraft operator security programme are:

- a) a table of contents;
- d) set performance standards, achievable through initial and recurrent training, and monitored in accordance with record-keeping requirements set out in the aircraft operator security programme and/or the aircraft operator training programme.

#### **LEGAL AUTHORITY**

1.1.12 The appropriate authority for aviation security should be empowered by national legislation to assign responsibility, through regulations, to aircraft operators for the establishment, implementation, and upkeep of their aircraft operator security programmes

#### **DEFINITIONS**

1.1.13 An aircraft operator security programme should promote a common understanding of specific words and terms by presenting a set of definitions. Examples of terms that require an explanation include appropriate authority, NCASP, airport operator, aircraft operator, airport tenant, security restricted area, baggage, background check, catering stores/supplies, and regulated agent.

#### **INTERNATIONAL OBLIGATIONS**

1.1.14 Aircraft operator security programmes should include a section that describes the international obligations that may apply to an aircraft operator, and should identify those international organizations whose work is relevant. The programmes should set out the role and structure of ICAG and other international organizations (e.g. European Civil Aviation Conference (ECAC)) whose rules and regulations may have a bearing on the company's operations.

1.1.15 The purpose of the aviation security conventions, Annex 17 and, where applicable, other relevant standards and regulations (e.g. ECAC Document 30) may also be set out in aircraft operator security programmes (guidance on an aircraft operator's international obligations under Annex 17 and aviation security conventions may be found in Document 9734 - *Oversight Manual, Part C - The Establishment and Management of a State's Aviation Security Oversight System (Restricted)*).

### **NATIONAL OBLIGATIONS**

1.1.16 Aircraft operator Security programmes should include a section that describes the national obligations and responsibilities that may apply to an aircraft operator. This section should identify the relevant aviation security authority for the State of Registration. Reference should also be made to the NCASP and other regulations. As a rule, the NCASP and national regulations will state the responsibility of the aircraft operator for developing, implementing and maintaining an aircraft operator security programme. The company's senior management will usually delegate the task of meeting this responsibility to its chief security officer, who should, among other tasks, ensure that the aircraft operator security programme:

- a) meets national legislation and NCASP requirements;
- b) is developed or modified to correct deficiencies and satisfy the operator's security needs;
- c) is reviewed and updated regularly, and at least once every 12 months; and
- d) and any updates or amendments, are approved by the appropriate authority for aviation security.

### **ROLES AND DUTIES**

1.1.17 An aircraft operator security programme should clearly indicate the duties and responsibilities of all those involved with commercial air transport operations security, to help prevent any misunderstanding concerning the role of the aircraft operator, including: its own security department and chief security officer; its crew members and other employees; airport authority management; in-flight security officers; law enforcement authority; national armed forces; government agencies; other aircraft operators, including code-sharing/alliance partners; postal authorities; regulated agents; known shippers and consignors; handling agents; and catering companies.

#### **Chief security officer**

1.1.18 An aircraft operator security programme's description of the chief security officer's duties and responsibilities should reflect the criteria described in Chapter 4.

#### **Security department**

1.1.19 An aircraft operator security programme should provide a detailed description of the aircraft operator's security department including, for example, the identity of sub-departments (e.g. operations unit, support and development section, and investigations and crime prevention unit) and a brief description of its responsibilities and authority. A complete organizational chart, including the names and telephone numbers of the chief security officer and all security department-

directors, should be included in an appendix.

1.1.20 Security department principles should also be set out, and should include:

- a) clear terms of reference based on the responsibilities of the chief security officer;
- b) a clear order of command reflected in the structure of the department;
- c) the appropriate relationship between the security department and line management (although an aircraft operator's home base requires the bulk of security resources as the majority of its assets are located there, this should not be at the expense of the necessary support which must be given to line management at other locations); and
- d) the security department's relationship to all other company departments.

#### **Description of operations**

1.1.21 An aircraft operator security programme should incorporate a description of the company's operations, both generally (i.e. the company's nationality, location of its head office and regional offices, and extent and nature of its operations) and specifically, as it pertains to the State concerned (i.e. the number of aircraft in service, volume of flights, quantity of passengers carried, and relevant code-sharing/interline arrangements).

#### **Classification of materials**

1.1.22 An aircraft operator security programme should include a statement on the classification and secure handling of sensitive information. Materials may be classified under terms such as "For Official Use Only" or "Restricted". Arrangements for protecting security-related sensitive information should also be explained, and may involve limited distribution (on a need-to-know basis) and the storage of materials in a secure location. Protection and distribution procedures should be developed for both paper-based and electronic documents.

#### **Aircraft operator security programme distribution**

1.1.23 As a restricted document, an aircraft operator security programme should be protected from unauthorized access. The document should be available in part or in whole only to those with a bona fide need to know its contents. All entities and individuals provided with copies or portions of an aircraft operator security programme should be charged with protecting the information in their possession. A distribution list should be provided as an appendix.

#### **Distribution of security documents**

1.1.24 NCASPs often specify methods for distributing security documents and

reports. Such information should also be indicated in an aircraft operator security programme, together with directives on how to distribute reports that may not be covered by the relevant NCASP, including reports on law enforcement actions or incidents, criminal records used in background checks, results of internal inspections, and security directives or information circulars issued by the appropriate authority for aviation security.

### **Communications**

1.1.25 An aircraft operator security programme should indicate how the appropriate authority for aviation security keeps the aviation industry informed of NCASP requirements, and should describe the policy for communicating with the State aviation security authority, other States, ICAO, and media outlets regarding aviation security.

## **SECURITY OF AIRCRAFT**

### **General**

1.1.26 Basic responsibility for aircraft security rests with the aircraft operator, whose principle aim is to prevent trespassing. Since the first line of defence against unauthorized access is to safeguard the airside boundary, a responsibility generally designated to the airport authority, an aircraft operator security programme must take the Airport Security Programme (ASP) into account, ensuring a coordinated effort and response. Where necessary, measures specific to an airport may be addressed in a supplemental Station Procedures Programme.

1.1.27 In most situations, several entities are responsible for the protection of aircraft, notably the airport, aircraft operator and law enforcement. This section of the aircraft operator security programme should specifically describe each entity's role and responsibilities in this regard and should indicate the communications protocol between the aircraft operator and airport, to be followed in reporting suspicious activity, the status of out-of-service aircraft, and information concerning an increased threat. The protocol also applies to communications concerning extra security for more vulnerable flights and notification provisions for special category passengers,

### **Access control**

1.1.28 An aircraft operator security programme should describe measures for protecting aircraft on the ground, which should be modelled on the procedures described in this volume.

### **Security patrols**

1.1.29 An aircraft operator security programme should describe how security patrols are utilized, and how patrolling security personnel communicate with the security control centre and local air traffic control

### **Pre-flight precautions**

1.1.30 An aircraft operator security programme should describe pre-flight precautions carried out on a regular basis, during high-threat situations, or upon request, and should cite the agencies involved and their respective tasks.

### **Threat notification**

1.1.31 An aircraft operator security programme should include procedures for responding to information which indicates that a specific aircraft may be the target of an act of unlawful interference. It should also indicate who is responsible for implementing the additional security measures considered necessary to counter the threat. An aircraft operator security programme should assign responsibility for informing the appropriate authority for aviation security of the situation in the event that threat notification originates with another source.

### **Flights under increased threat**

1.1.32 An aircraft operator security programme should highlight the procedures to be followed for specific flights facing a higher level of threat, including the use of isolated aircraft parking areas, arrangements for guarding individual aircraft, deployment of an escort during taxiing, and inspection of the areas underlying the approach and take-off paths. A parking space plan should also be appended.

### **Aircraft searches**

1.1.33 An aircraft operator security programme should spell out procedures for inspecting and searching aircraft during both routine operations and times of heightened threats, and should identify the agencies responsible for conducting a search as well as the necessity for using proper checklists, adequate lighting, and properly trained personnel supported by aircraft crew or aircraft engineering support staff. It is also important to describe the actions to be taken on discovery of suspect explosive devices, and to indicate who is responsible for making decisions about moving or evacuating aircraft and suspending airport operations.

## **TRAVEL DOCUMENTS**

1.1.34 An aircraft operator security programme should detail the check-in process, including special measures or facilities for groups or high-risk passengers, and should indicate procedures for protecting tickets, boarding passes, baggage tags and other documents.

*Note.*- With the elimination of paper tickets on 31 December 2007, this section of an aircraft operator security programme will also need to describe procedures for preventing e-ticket fraud and electronic information theft.

1.1.35 An aircraft operator security programme should indicate where, when and how identification and travel documents are checked with respect to originating, transfer and transit passengers. Where applicable, mention should be made of the authority and responsibility of handling agents under the provisions of an NCASP.

1.1.36 An aircraft operator security programme should also describe the procedures for off-airport or curb side check in of hold baggage, where applicable.

## **PASSENGERS AND CABIN BAGGAGE**

### **General**

1.1.37 An aircraft operator security programme should provide details regarding the operator's, or another entity's, responsibility for performing passenger and cabin baggage screening. Screening duties will be performed by an appropriate party appointed by the State concerned, which may be any of the following entities, and details concerning this arrangement should be set out:

- a) the airport authority;
- b) a company contracted by the State or airport;
- c) the national carrier;
- d) the national law enforcement agency; or
- e) the national armed forces.

1.1.38 The legal authority for applying security measures should be cited, and any local laws and procedures that apply in the event that a person refuses to comply with security measures or is denied boarding for any reason should be described.

1.1.39 Other aspects of passenger and cabin baggage screening should be noted, such as the law enforcement agency's responsibility (or not) to respond to a threat that arises or to perform periodic patrols of passenger screening points.

1.1.40 The aircraft operator security programme section on passenger and cabin baggage screening may be modelled on the detailed security measures described in Chapter 3. At a minimum, the following should be included in the aircraft operator security programme:

- a) the purpose of screening and searching passengers and their cabin baggage;
- b) the procedures and standards for screening and manual searches of all departing and transfer passengers and cabin baggage, including details about the service provider;
- c) a list of persons exempt from screening and searching;
- d) procedures for handling suspect passengers or cabin baggage;

- e) measures for the control of passenger flow;
- f) measures for special category passengers;
- g) measures for screening and manual searches of aircraft crew and cabin baggage;
- h) the policy on unruly passengers, including procedures for on the ground and in the air, use of restraints as a last resort, and reporting requirements;
- i) the policy on stowaways, including preventive measures and the action to take if a stowaway is found;
- j) procedures to follow if a person refuses to be manually searched;
- k) procedures to follow upon discovery of a restricted or prohibited article;
- l) procedures for the handling of confiscated items, including the related record keeping if the aircraft operator is involved in the screening process;
- m) procedures to follow upon discovery of undeclared dangerous goods; and
- n) measures for electronic and electrical items.

### **Separation of screened and unscreened passengers**

1.1.41 An aircraft operator security programme should include a description of how screened and unscreened passengers are to be kept apart, and should indicate who is responsible for ensuring such separation and what steps should be taken if screened and unscreened passenger intermingle.

### **Control of firearms and weapons**

1.1.42 An aircraft operator security programme should describe national legislation and regulations related to the carriage of weapons and firearms on board aircraft, with the relevant legal provisions appended.

1.1.43 An aircraft operator security programme should also specify the procedure for handling and transporting firearms in hold baggage or as cargo in compliance with NCASP provisions. This information should elaborate on the role of the aircraft operator and crew, and any special arrangements to be made during check in or baggage claim.

1.1.44 The national policy on the authorized carriage of firearms in the cabin of both national and foreign aircraft should be mentioned, as well as the measures in place for implementing this policy. The tasks of the agencies involved, and what is expected of aircraft operators, should be explained. Authority for the carriage of

weapons by in-flight security officers and escorts for prisoners, deportees or very important persons should be described, as well as the related procedures, including the requirement to notify the aircraft operator and pilot-in-command of the presence of an armed in-flight security officer or escort.

1.145 An aircraft operator' security programme should indicate the procedures to follow if a weapon is found during screening of passengers, baggage or cargo, as well as the procedures for transporting a weapon in the cabin or in hold baggage.

### **Diplomatic pouches and government couriers**

1.1.46 An aircraft operator security programme should explain the security control procedures that apply to diplomatic pouches and government couriers including, where applicable, specific measures for diplomatic mail in official pouches and embassy correspondence not contained in diplomatic bags. This subject may be addressed within the special category passenger section of the aircraft operator security programme.

### **Special category passengers**

1.1.47 An aircraft operator security programme should set out procedures for special category passengers, which include those with diplomatic status, government couriers with diplomatic bags, in-flight security officers, potentially disruptive persons such as deportees, passengers whose religious beliefs preclude manual searches, and passengers with reduced mobility (e.g. pregnant or disabled persons). The tasks of the agencies involved should be listed, and specific reference made to notification requirements.

### **HOLD BAGGAGE SECURITY**

1.1.48 An aircraft operator security programme should identify the entity responsible for conducting hold baggage screening, and should spell out what this responsibility entails,

1.1.49 It is up to each State to authorize an appropriate party to perform hold baggage security controls. This responsibility may be delegated to either the airport authority or a third party. However, the responsibility for maintaining the security of hold baggage being transported to an aircraft rests with the aircraft operator.

1.1.50 An aircraft operator security programme should specify the legal basis for hold baggage security measures, and the procedures to follow if a person refuses to allow their hold baggage to undergo security measures.

1.1.51 Reference should be made to the appropriate ASP provisions on hold baggage screening and the detailed security measures in Chapter 3. At a minimum, an aircraft operator security programme should include the purpose of security measures for hold baggage, and the procedures for:

- a) passenger risk assessments, through the questioning of passengers at check in, including sample questions and interview techniques, as well

as a description of the automated passenger risk assessment process, if applicable;

- b) originating and transfer hold baggage screening and manual searches, including details concerning the screening location and applicable standards, search location and applicable standards, screening equipment and the operator and service provider;
- c) the protection of hold baggage;
- d) the screening and protection of hold baggage that has been checked in at curb side or an off -airport site;
- e) the carriage of firearms and weapons, including the applicable legal provisions and regulations, acceptance process and pre-flight protection;
- f) handling suspect baggage; and
- g) unaccompanied baggage that is inadvertently separated from its owner.

### **PASSENGER/BAGGAGE RECONCILIATION**

1.1.52 An aircraft operator security programme should include a description of passenger/baggage reconciliation procedures, with specific reference to the various categories of passengers (i.e. originating, online and interline transfer, and disembarking transit passengers). The role of automation should also be covered (guidance on passenger/baggage reconciliation measures may be found in Chapter 3).

1.1.53 The description of passenger{baggage reconc\_iation procedures should include the following elements:

- a) the purpose of passenger baggage reconciliation measures;
- b) procedures for passenger baggage reconciliation, including equipment details if an automated system is utilized, baggage manifest details if relevant and the identification of no-show passengers and unaccompanied baggage; and
- c) procedures for screening unaccompanied baggage, including the applicable standard, screening location, equipment details, and information concerning the operator and service provider.

### **Mishandled baggage**

1.1.54 An aircraft operator security programme should also include a description of the procedures in place for safeguarding mishandled, unidentified and unclaimed baggage (guidance may be found in Chapter 3).

**AIRCRAFT CATERING STORES AND SUPPLIES**

1.1.55 An aircraft operator security programme should cite the legal requirement for applying security measures to aircraft catering stores and supplies, and the entity that is responsible for ensuring compliance.

1.1.56 Catering operations may either be owned by aircraft operators or function as independent contracted companies which provide catering services for several aircraft operators. In either case, the aircraft operator usually assumes responsibility for catering security or its oversight and, therefore, this subject should be adequately covered in an aircraft operator security programme (guidance on the applicable security measures may be found in Chapter 9).

1.1.57 Catering contractors should have a written security programme that meets the requirements of the aircraft operator security programme, and is available for inspection by aircraft operator security personnel. Employees and visitors to catering company facilities should comply with the programme's provisions.

1.1.58 The security of certain catering operations may be the airport's responsibility. If the catering company facility is within or bordering a restricted area, for example, the ASP may impose certain security measures upon the catering company. If deemed necessary, such details may be included in the aircraft operator Station Procedures Programme.

1.1.59 An aircraft operator security programme should describe any specific requirements for catering facilities that are located off the airport, such as the requirement for vehicles to be properly secured, and the procedure for searching a vehicle, if necessary.

1.1.60 The catering security section should include the following key elements:

- a) the purpose of security measures for aircraft catering stores and supplies;
- b) a description of security measures at the aircraft operator catering unit;
- c) a description of the security measures that apply to the dispatch and ground transport of catering stores and supplies, including the standard in effect for controlled access to prepared meals, in-company stores and delivery vehicles; and
- d) cabin crew procedures for receiving catering items at the aircraft.

1.1.61 Other catering security subjects that may be covered in an aircraft operator security programme include:

- a) known and unknown stores;

- b) physical security measures;
- c) customs bonded warehouses;
- d) tamper-evident sealed goods;
- e) catering carts and containers;
- d) the delivery of multiple loads;
- g) airside catering operations; and
- h) the receipt and validation of consignments entering security restricted areas.

### **IN-COMPANY STORES**

1.1.62 Office supplies, marketing literature, stationery, aircraft operator uniforms, engineering stores, urgent aircraft spares, and company mail are among items carried on aircraft for regular delivery to route stations, which normally constitute in-company stores, but may include supplies destined for other aircraft operators.

1.1.63 Specific security responsibilities should be assigned to staff whose duties include the handling and loading of aircraft operator stores and supplies. A description of such responsibilities should be included in an aircraft operator security programme.

### **AIRCRAFT CLEANING OPERATIONS**

1.1.64 An aircraft operator security programme should explain the purpose of security measures pertaining to aircraft cabin cleaning operations, and should provide a description of such measures (guidance may be found in Chapter 9).

### **SECURITY OF CARGO AND MAIL**

1.1.65 An aircraft operator security programme should indicate who is responsible for cargo and mail security, including screening operations. The legal authority for imposing such security measures should be specifically cited. Security measures may vary depending on whether the operator specializes in passenger transportation, all-cargo or express courier operations.

1.1.66 Operations away from home base may be handled by agents or contractors. Despite such arrangements, the aircraft operator remains responsible for the security of its cargo operations whenever it has been given this responsibility by the host State (guidance on security measures for cargo and mail may be found in Chapter 7).

1.1.67 The aircraft operator security programme section on cargo and mail security should include the following elements:

- a) the purpose of security measures for cargo and mail (including courier and express parcels) ;
- b) a description of security measures for cargo, including: the procedure for accepting a cargo consignment; the regulated agent scheme and criteria; the known consignor scheme and criteria; unknown shippers; the standard of screening and physical examination; the location of screening and physical examination; details about the operator or service provider; and a list of exemptions from security screening or physical examination;
- c) a description of security measures for courier and express parcels, including: the procedure for accepting parcels; the regulated agent scheme and criteria; the standard of screening and manual search; and details about the operator or service provider; and
- d) a description of the security measures for mail, including: the procedure for accepting mail; the regulated postal authority/administration scheme and criteria; the known consignor scheme and criteria; the standard of screening; details concerning the operator; and procedures in case of increased threat.

1.1.68 In developing the aircraft operator security programme section on cargo and mail security, consideration should be given to the following aspects: the types of cargo and mail to be subject to screening; routine testing and maintenance procedures, including steps to follow when equipment fails or becomes unserviceable; the handling and screening of suspect items; the screening of oversized articles; and the nature of consolidated consignments.

#### **Regulated agent programme**

1.1.69 States are obligated under Annex 17 to ensure that regulated agents conduct secure operations. This may be achieved through provisions in an aircraft operator security programme and regulated agent security programme.

1.1.70 Topics covered in an aircraft operator security programme may include whether there is a regulated agent programme for cargo, and should indicate who is responsible for certifying regulated agents. If there is no regulated agent programme, the aircraft operator security programme should indicate how cargo is processed and how security measures are applied.

1.1.71 In the context of the regulated agent security programme, the definition of "cargo" includes unaccompanied baggage, mail and courier and/or express parcels.

#### **Known shippers/consignors**

1.1.72 An aircraft operator security programme should describe the procedures in place for cargo and mail that is not screened, such as the requirement for an

operator to verify known shipper security certification. Known shippers and consignors may also fall within the purview of a regulated agent programme.

### **Unknown shippers**

1.1.73 Shippers unknown to the regulated agent and/or aircraft operator should be subject to increased scrutiny, including a requirement to provide proof of identity and agreement to have a consignment screened according to a prescribed method, all of which should be described in the aircraft operator security programme. Furthermore, the air transport operator will need to establish procedures for applying security controls to unknown cargo so that all consignments become known cargo before they are allowed on an aircraft.

### **Transhipments**

1.1.74 If the aircraft operator is responsible for the security of transhipped cargo (i.e. cargo to be transferred from one flight to another), the related security measures (e.g. screening arrangements, and protection from tampering during storage) should be included in the aircraft operator security programme. A summary of such measures may be provided in cases where another party is responsible for their application.

### **High value cargo**

1.1.75 The security measures for handling and protecting high value cargo stored in cargo terminals and during aircraft loading and unloading, as well as during ground transport, should be enumerated.

### **Unaccompanied baggage and/or personal effects**

1.1.76 An aircraft operator security programme should include security measures for unaccompanied baggage that is shipped as cargo, should describe the standard of screening and manual searches (usually the same as for an unknown shipper), and should provide details about the screening equipment and the operator or service provider.

### **Diplomatic mail**

1.1.77 Security procedures for the carriage of diplomatic mail should be described (guidance may be found in Section 3.4 and Chapter 7).

### **Protection of cargo and mail**

1.1.78 An aircraft operator security programme should indicate the measures in place for protecting cargo and mail. If the security of the cargo facility is the responsibility of the aircraft operator, information concerning the facility's security procedures should be provided, including details concerning the deployment of guards, and the use of patrols and closed-circuit television (CCTV) systems. If surveillance cameras are installed, the aircraft operator security programme should indicate whether they are apart from or integrated with the airport's CCTV system.

Information on building security should indicate whether it features a restricted area and whether staff are screened. It should also reveal how cargo and mail is transported to aircraft, among other things.

### **AIRCRAFT MAINTENANCE AREAS**

1.1.79 Security measures in place for aircraft maintenance areas should be indicated whenever the aircraft operator is responsible for such measures (e.g. if such areas are leased to the operator). At a minimum, a description of the maintenance area boundaries and controlled access procedures should be indicated.

### **CODE SHARING**

1.1.80 Clear lines of accountability are essential for implementing and subsequently monitoring aviation security measures for flights which are conducted under code-sharing agreements. Different arrangements, although generally compliant with Annex 17, may exist in the States of Registration of the code share partners, and such differences need to be resolved.

1.1.81 The State of Registration determines the security arrangements to be adopted by an aircraft operator under its sovereign control. Any additional security measures or different applications called for by the code-sharing partner will need to be addressed by the operators concerned, and appended to the aircraft operator security programme.

1.1.82 Code-sharing partners should have a clear line of communication regarding such matters as risk and threat assessments. Specifics about the method of communication, contact details, and so on, should be in the relevant appendix. e.g. a code-sharing operator should advise its partner any time there is a security breach or details of a heightened threat to its operation which call for additional security arrangements. The State of Registration of each code-sharing partner should also be informed of the specific threat and the additional measures proposed to counter it.

### **TRAINING**

#### **Security awareness training**

1.1.83 All staff should undergo security awareness training. Training aspects that should be noted in an aircraft operator security programme include the categories of training, designation of those responsible for providing training, methods employed (e.g. video, classroom discussion, pamphlet, etc.), specific topics, the requirement to maintain training records, provisions for recurrent training, etc.

#### **Security training**

1.1.84 An aircraft operator security programme should call for all frontline personnel, such as check-in agents, screening staff and cabin crew, to undergo

specialized training. Details about such training should be provided, including the topics covered and the number of hours. An aircraft operator security programme should also address which job positions require certification, licensing, or authorization, with the approval of the appropriate authority for aviation security or another relevant authority.

### **Recruitment and background checks**

1.1.85 Information on the aircraft operator's recruitment methods, including the use of background checks, should be provided in the aircraft operator security programme (guidance may be found in Volume II). This section should state, for example, whether any laws preclude a criminal history check and what sort of information must be provided by the job applicant.

1.1.86 Details should also be provided about the process involved in handling a job application submission, including the identity of the department responsible for processing applications. (including background checks, if applicable), and the policy on contacting former employers or character references for verification of information, among other items.

1.1.87 Procedures to be conducted after completing a background check should also be spelled out, including whether there is a requirement for records of applications to be kept on file and, if so, by whom and for how long.

### **Security training programme**

1.1.88 If the development, implementation and upkeep of an aircraft operator security training programme is required by the appropriate authority for aviation security, a copy of the training programme should be appended to an aircraft operator security programme. The foregoing descriptions may then be shortened, and references made to the training programme, where appropriate.

### **CONTINGENCY PLAN**

1.1.89 It is appropriate to publish an aircraft operator contingency plan as a stand-alone document, cross-referenced with an aircraft operator security programme for auditing purposes, or as an appendix to an aircraft operator security programme (guidance may be found in Volume V).

### **INCIDENT REPORTING**

1.1.90 An aircraft operator security programme should incorporate a description of the aircraft operator's security incident reporting procedures.

### **QUALITY CONTROL**

1.1.91 Aircraft operators may be required by a NCASP or other regulations to develop, implement and maintain a quality control programme for their security operations. In this case, a summary of quality control measures should be included in the aircraft operator security programme, with the programme itself appended. If a

State does not require a quality control programme, such measures should be comprehensively addressed in the aircraft operator security programme. Alternatively, an operator could produce a separate quality control programme and cross-reference this with the aircraft operator security programme.

### **LOCAL AIRPORT PROCEDURES**

1.1.92 Local airport responsibilities with regard to the security of aircraft operations that have not already been addressed in an aircraft operator security programme should be covered in the aircraft operator station procedures programme.

### **PROTECTION OF EXECUTIVES AND OTHER PERSONNEL**

1.1.93 Although not necessarily directly related to the prevention of unlawful acts against civil aviation, an aircraft operator security programme should address security measures for executives or crew members (and their families) who may be targeted by criminal elements during business trips or layovers. Such measures are normally based on risk assessment and threat analysis.

### **BUILDING PROTECTION**

1.1.94 Office buildings that accommodate aircraft operator executives and senior managers require protection that is commensurate with the risk and threat levels associated with the building location. Security measures for the protection of such buildings should be described in an aircraft operator security programme, whether or not they are located at the airport.

**ANNEXURE - VII**

**Request for Issue of Non-Scheduled Operator's Permit**

A copy of Letter of initial NOC issued by MOCA	
Fees for issue of permit with details of Demand Draft	
A copy of NOC issued by DGCA for import of aircraft	
List of Board of Directors	
A copy of BCAS approval of the Company's Security Manual.	
A copy of approval of the base of MRO under CAR 145, if outsourced	-----
Whether ATR of minutes of preparedness meeting submitted	
Company's Operation Manual approval	
List of trained/licenced Flight Crew/Cabin Crew (if applicable)	
Certificates of Registration of aircraft to be endorsed on the permit.	
Certificates of Airworthiness of aircraft to be endorsed on the Permit.	
Proof of requisite insurance coverage of aircraft.	
Copy of approval of Maintenance Organisation Exposition	
Aircraft Maintenance Organisation's (AMO) approval	
Approval of MEL/CDL	
Component overhaul and storage limitations (COSL)	
Approval of Load & Trim Sheet.	
CAR Compliance report by the Regional Director of Airworthiness.	
Approval of Maintenance Control Manual from the O/o DAW Region (if applicable)	
Proof of arrangement for CVR & FDR/DFDR. Readouts.	
Inspection/Demonstration report in respect of the organization/facilities of the applicant.	

**ANNEXURE - VIII  
RENEWAL OF NON-SCHEDULED OPERATOR'S PERMIT**

1.	Renewal due on	
2.	Fees for renewal DD. No and type	
3.	Registration and type of aircraft entered on the permit	
4.	C of A validity of aircraft entered on the permit	
5.	Internal Safety Audit report carried out within 30-60 days prior to renewal (duly signed on each page)	
6.	Any change in board of Directors since last renewal	
7.	Action taken or pending for violation of permit conditions	
8.	Name of foreign pilots /Engineers if employed by the Operator with validity of authorization for each Pilot/engineer	
9.	Insurance cover for the aircraft entered on the permit and its validity	
10.	Approval of organization for Maintenance of aircraft	
11.	Information regarding equity (Chartered Accountant's Certificate)	
12.	Whether monthly/yearly returns have been submitted to Statistical Division, O/o DGCA with copies to concerned Customs Authorities (Yes/No)	

**CHECKLIST FOR PREPAREDNESS MEETING FOR ISSUANCE OF  
NON-SCHEDULED OPERATOR'S PERMITS**

S/N	Requirement	Details
1.	Name Of Operator	
2.	Any change in Board of Directors since issue of NOC	
3.	<b>AOP Details, if held</b>	
a.	AOP No.	
b.	Date of initial issue	
c.	Validity	
4.	<b>Aircraft Details</b>	
d.	Type and no. of Existing Aircraft	
e.	Type and no. of Aircraft proposed	
f.	Age of proposed Aircraft (Date of Manufacture)	
g.	Mode of induction (Lease/ Outright Purchase)	
5.	<b>Details of operator's aviation organization &amp; management personnel (contact no &amp; e-mail)</b>	
a.	C.E.O.	
b.	Accountable Manager	
c.	Alternate Accountable Manager	
d.	Head Of Operations	
e.	Head of Flight Safety	
f.	Head Of Engineering	
g.	Head of Security	
h.	Quality Manager (as per CAR M, Sub part G)	
6.	<b>Manuals/ Documents</b>	
a.	Operations Manual	
b.	Flight Safety Manual	
c.	Flight Crew Training Manual	
d.	Cabin Crew Training Manual	
e.	Continuing Airworthiness Management Exposition (CAME) / Maintenance Control Manual (MCM)	
f.	Maintenance Organization Exposition (MOE), if applicable	
g.	Dangerous Goods Operations Manual, if applicable	
h.	Security Manual	
i.	SMS Manual	
j.	Manual for Special Operations	
k.	MEL	
7.	<b>Operations Division</b>	
a.	<u>Flight / Cabin Crew</u> i) P1 ii) P2 iii) Cabin Crew, if applicable	
b.	Pilot's experience for single engine operations.	

	c.	Security clearance & approval Of Foreign Pilots.	
	d.	Operations officer/ Flight Dispatcher.	
	e.	Personnel for FDTL Monitoring.	
	f.	Personnel for Load & Trim preparation	
	g.	Person responsible for operational control, flight follow-up met briefing etc.	
<b>8.</b>	<b>Maintenance Division</b>		
	a.	Status of Continuing Airworthiness Management Organization (CAMO) Approval.	
	b.	Status of Maintenance Organization Approval (as per CAR 145), if applicable.	
	c.	Name of the CAR-145 organization to whom maintenance is outsourced and whether their scope of approval covers maintenance of proposed aircraft.	
	d.	Status of approval of maintenance program	
	e.	Maintenance Personnel (category-wise) i) No. of Type Rated AMEs (category-wise) ii) No. of DGCA Approval/ Authorization holders iii) No. Company authorization holders iv) Support staff (technicians, helpers etc.)	
<b>9.</b>	<b>Flight Safety Division</b>		
	a.	Set up for CVR/DFDR Readout or arrangement with DGCA approved organization	
	b.	Persons/organization responsible for monitoring FOQA.	
<b>10.</b>	<b>Medical</b>		
	a.	Arrangement for pre-medical check for Cockpit and cabin crew	
	b.	Names of physician or contractual document, if outsourced	
	c.	Availability of alco-meter	
<b>11.</b>	<b>Security</b>		
	a.	Approval of Manual by BCAS	
	b.	Security arrangement for aircraft at; • base • transit/ night halt stations at un controlled aerodrome	
<b>12.</b>	<b>Training</b>		
	a.	Pilots	
	b.	Engineers	
	c.	Cabin crew	
	d.	Commercial Staff For Load And Trim	
	e.	Dangerous Goods	
	f.	Handling persons with disabilities/reduced mobility	
	g.	Flight Dispatchers/ Operations Officers	
	h.	Marshalls	
<b>13.</b>	<b>Demonstration of operational capability</b>		
	a.	Evacuation and ditching, as applicable	

b.	Flight Dispatch procedures including pilot briefing/ MET information & preparation of operational flight plan.	
c.	Weight & Balance control procedures,	
d.	Baggage screening & check in procedures	
e.	FDTL Monitoring	
f.	FOQA & CVR/FDR monitoring system	
g.	Proving flight, as applicable	
h.	Marshalling	

**NOTE.** All out sourced /contractual arrangements shall be supported by documentary evidences.

Annexure X

FORM-A(MONTHLY)

TRAFFIC-NON SCHEDULED OPERATOR(PERMIT HOLDER)			
Contact person for inquires		State	
Organisation Address		Operator	
Tel:		Month(s) Year 20	
Pax	E-mail		
PART-1			
		TOTAL ALL SERVICES(Passengers & Freight)	
		Classified by flight stage	
Description	Unit	Domestic	International
Aircraft Kilometers	Number		
Aircraft Departure	Number		
Aircraft Hours	Number		
Passengers Carried			
(a) Revenue	Number		
(b) Non-Revenue	Number		
Freight Tonne Carried	Number		
Passengers Kilometers Performed	Number		
Seat Kilometers Performed	Number		
Tonne Kilometers Performed			
(a) Passengers	Number		
(b) Freight	Number		
Total	Number		
Tonne Kilometers Available	Number		



**Annexure XI**

FORM - B(ANNUAL)	
TRAFFIC - NON SCHEDULED OPERATOR (PERMIT HOLDERS)	
Contact person for inquires _____	State _____
Organization Address _____	Operator _____
Tel: _____	Year Ended _____
Fax _____	Currency _____
E-mail _____	Unit _____

PART-I-PROFIT AND LOSS STATEMENT							
ACCOUNTS							AMOUNTS
1. Air Transport Operating Revenues (total)							
	1.1 Passenger Transport Revenues -----						-----
	---						
	1.2 Other Air Transport Revenues -----						
	--						
2. Air Transport Operating Expenses							-----
3. Other Operating Revenues (Net Balance)							-----
4. OPERATING RESULT (total: items 1-2,+3)							-----
5. Non-Operating Items ( Net Balance)							
6. PROFIT OR LOSS )- AFTER INCOME TAXES)							

PART 2 - BALANCE SHEET			
ASSETS	AMOUNTS	LIABILITIES	Amounts
1. Current Assets		5. Current Liabilities	-----
2. Flight Equipment ( after depreciation)		6. Other Liabilities	-----
		7. Long-term Debt	-----
3. Other Assets		8. Capital	-----
		9. Retained Earnings (balance including capital surplus)	-----
4.TOTAL ASSETS		10.TOTAL LIABILITIES	-----

**CIVIL AVIATION REQUIREMENTS  
SERIES 'C' PART III**

**SECTION 3 AIR TRANSPORT  
1<sup>ST</sup> JUNE 2010**

**Part – 3– FLEET & PERSONNEL**

Aircraft in Fleet by Type		Number of Aircraft of each Type			Size of Aircraft		Utilization of Aircraft During the Year					
Manufacturer and Model	Use/Version Code	At the beginning of Year	Change during the year		At the end of year	Number of installed Passenger Seats	Average M.T.O. weight (Tonnes)	Number of Aircraft Departures		Aircraft Hours Flown		Total Aircraft Days Available
			Acquired	Disposed of				Non-Sched. Revenue	All Flights (Total)	Non-Sched. Revenue	All Flights (Total)	
1	2	3	4	5	6	7	8	9	10	11	12	13

**PERSONNEL**

Category of Personnel I	Number of Personnel	
	Mid – Year	Year-End
1	2	3
Flight Personnel I		
Other Personnel I		
Total Personnel I		

\*\*\*\*\*