DEPARTMENT OF OPERATIONAL SUPPORT

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UNITED NATIONS SECRETARIAT
TECHNICAL AND OPERATIONAL EVALUATION CRITERIA
FOR THE PROVISION OF FLIGHT SERVICE VENDOR REGISTRATION FOR MANNED AND UNMANNED COMMERCIAL AIRCRAFT CHARTER SERVICES

Edition 4

APPROVED BY : ASG OSCM/DOS **SIGNATURE_DATE**_27 February 2022

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FOREWORD

This revision to the **Technical and Operational Evaluation Criteria (TOEC)** for Flight Service Vendor Registration of Commercial Manned and Unmanned Aircraft Charter Services has been issued by the Office of Supply Chain Management (OSCM) to provide stakeholders with an updated and easy-to-read publication. This has been prepared by incorporating responses of all United Nations stakeholders of commercial aircraft charter services.

With this revision, the United Nations Secretariat performs a paradigm shift in technical flight service vendor registration process by stepping away from a traditional compliance-based review of flight service vendor documentation towards a risk-based verification for the implementation of vendors' management system. This decision is in line with aviation industry trends and attributes to in-house lessons learnt in technical flight service vendor registration process over the past decade.

The TOEC represent United Nations standards for technical flight service vendor registration and shall not be construed as legal requirements published by a competent Civil Aviation Authority (CAA). The TOEC, in some cases, may be more restrictive than Civil Aviation Requirements due to the specific needs of the United Nations, to benefit aviation safety in the UN air transport and to limit the Organisation's exposure to potential legal, financial, reputational, and other liabilities.

NOTE: For terminology used in and applicable to the TOEC, refer to the definitions part of this document.

1 DOCUMENT CONTROL

The TOEC have been documented by the technical Vendor Registration (tVR) Unit of the Aviation Safety Section (AvSS) within the Office of Supply Chain Management (OSCM). This fourth edition supersedes the TOEC third edition issued in June 2014.

The main differences compared to the third edition are as follows:

- Addition of a risk-based approach of United Nations flight service vendor registration process.
- Adjustment of methodology and terminology to reflect the supply chain management approach.
- Expansion of tVR scope, including Single Engine Turbine (SET) airplanes and Unmanned Aircraft Systems (UAS).

When deemed necessary, tVR Unit reserves the right to publish "yellow pages" serving as quick means for temporary changes to the TOEC. Temporary changes shall be published in the form of an annex to the TOEC and shall be incorporated into the TOEC during regular revision cycle. The "yellow pages" shall be verified at the technical level and approved by the Assistant Secretary-General (ASG) for OSCM.

2 DEFINITIONS

The content of this document is based on the International Civil Aviation Organisation (ICAO) Standards and Recommended Practises (SARPs) and applicable ICAO Documents. **However, some terms have been adjusted to meet United Nations needs and shall apply to this TOEC only.**

Aerial work: A commercial aircraft operation in which an aircraft is used for specialized services such as agriculture, construction, photography, surveying, observation and patrol, search and rescue, aerial advertisement.

Aeroplane: A power-driven heavier-than-air aircraft, deriving its lift in flight chiefly from aerodynamic reactions on surfaces which remain fixed under given conditions of flight.

Aided Night Vision Imaging System (NVIS) flight: In the case of NVIS operations, that portion of a visual flight rules (VFR) flight performed at night when a crew member is using night vision goggles (NVG).

Airborne Collision Avoidance System (ACAS): ACAS is an aircraft collision avoidance system designed to reduce the incidence of mid-air collisions between aircraft.

Aircraft: Any machine that can derive support in the atmosphere from the reactions of the air other than the reactions of the air against the earth's surface.

Air Operator Certificate (AOC): A certificate authorizing an operator to carry out specified commercial air transport operations.

AOC Holder: For this document AOC Holder encompasses manned and unmanned commercial air operator and commercial single-engine turbine-powered (SET) airplane operators.

Audit: Neutral, fact-based and independent (no day-to-day involvement in the area to be audited) process of gathering verifiable evidence to determine the level and extent to which audit criteria are fulfilled.

Beyond Visual Line-of-Sight (BVLOS): When neither the Remote Pilot nor RPA observer(s) can maintain direct unaided visual contact with the RPA, the operations are considered BVLOS.

Civil Aviation Authority (CAA): Is the government statutory authority in each country that oversees the approval and regulation of civil aviation. The CAA, as a national regulator, operates within a framework established by ICAO and CAA specific national rules.

Commercial registration: Undertaken by Vendor Registration and Outreach, Enabling and Outreach Service, the commercial registration process evaluates the financial health of prospective Air Operators, and is the final step before inclusion of the Air Operators into the list of pre-qualified Air Operators, and eligibility for invitation to tenders. The commercial evaluation involves a review of the vendor's UNGM application for Level 2 registration, including audited financial statements for the past three (3) years. The commercial evaluation criteria assesses factors related to the prospective Air Operator's scale of business, profitability, leverage, liquidity and access to capital markets.

Commercial operation: Any operation of an aircraft, in return for remuneration or other valuable consideration.

Compliance: To fulfil, meet or be in accordance with regulatory requirements.

Conformity: Fulfilment of the United Nations aviation requirements set out in these TOEC or other pertinent United Nations aviation framework by the AOC Holder.

Controlled document: A document that is subject to processes that provide for the positive governance of content, revision, publication, distribution, availability and retention.

Criticality: The need of immediate attention.

Corrective Action (CA): Action to eliminate the cause of an identified non-conformity or other undesirable condition. Corrective action is taken to prevent recurrence whereas preventive action is taken to prevent occurrence in the first place.

Corrective Action Plan (CAP): The plan to close a finding or non-conformity through implementation of complete and permanent corrective action.

Corrective Action Request (CAR): Request for action to eliminate the cause of a nonconformity and to prevent recurrence.

Dangerous Goods (DG): Articles or substances which are capable of posing a risk to health, safety, property or the environment and which are shown in the list of dangerous goods in the technical instructions, or which are classified according to those instructions.

Electronic Flight Bag (EFB): An electronic information system, comprised of equipment and applications for flight crew, which allows for the storing, updating, displaying, and processing of EFB functions to support flight operations or duties.

Fatigue Risk Management System (FRMS): A data-driven means of continuously monitoring and managing fatigue-related safety risks, based upon scientific principles and knowledge as well as operational experience that aims to ensure relevant personnel are performing at adequate levels of alertness.

Finding: A documented statement based on factual evidence that describes non-conformity with United Nations aviation requirement(s).

Flight Data Analysis (FDA): A process of analysing recorded flight data to improve the safety of flight operations.

Flight Information Region (FIR): An airspace of defined dimensions within which flight information service and alerting service are provided. *ICAO Annex 11/ Doc 4444*.

Flight service vendor: For this document flight service vendor encompasses manned and unmanned commercial AOC Holders, commercial single-engine turbine-powered (SET) airplane operators.

Global Positioning System (GPS): The Global Positioning System (GPS), is a satellite-based radionavigation system that provides geolocation and time information to a GPS receiver anywhere on or near the Earth.

Ground Proximity Warning System (GPWS): GPWS is a system designed to alert pilots if their aircraft is in immediate danger of flying into the ground or an obstacle.

Helicopter: A heavier-than-air aircraft supported in flight chiefly by the reactions of the air on one or more power-driven rotors on substantially vertical axes.

Helicopter Terrain Awareness and Warning System (HTAWS): HTAWS is a computer-based system that provides the flight crew with alerts, (both aural and visual) of pending collision of the rotorcraft with the terrain.

Instrument Flight Rules (IFR): Instrument Flight Rules are rules which allow properly equipped aircraft to be flown under instrument meteorological conditions (IMC). IFR are detailed in ICAO Annex 2: Rules of the Air, Chapter 5: Instrument Flight Rules.

Non-Conformity: Non fulfilment of United Nations aviation requirement(s) set out in these TOEC or other pertinent United Nations aviation framework by the AOC Holder.

Operations Specifications (OpsSpecs): Define various conditions, limitations and special authorisations/ approvals as appropriate to the operator concerned.

Performance- Based Navigation (PBN): Operations are based on performance requirements, which are expressed in navigation specifications (Area Navigation/ RNAV specification and Required Navigation Performance/ RNP specification) in terms of accuracy, integrity, continuity, availability and functionality needed for the proposed operation in the context of a particular airspace concept.

Policy: The stated intentions and direction of an Organisation.

Program: An organized set of processes directed toward a common purpose, goal or objective.

Process: One or more actions or procedures implemented in a coordinated manner to achieve a goal or satisfy a requirement.

Procedure: An organized series of actions accomplished in a prescribed or step-by-step manner to achieve a defined result.

Remotely Piloted Aircraft (RPA): An unmanned aircraft that is piloted from a remote pilot station.

Remotely Piloted Aircraft System (RPAS): A remotely piloted aircraft, its associated remote pilot stations, the required command and control links and any other components as specified in the type design.

Risk mitigation: The process of incorporating defences or preventive controls to lower the severity and/or likelihood of a hazard and the projected consequences.

Safety: The state in which risks associated with aviation activities, related to, or in direct support of the operation of aircraft, are reduced and controlled to an acceptable level.

Safety Management System (SMS): A systematic approach to managing safety, including the necessary organizational structures, accountability, responsibilities, policies, and procedures.

Shall: A TOEC mandatory requirement that will result in a non-conformity and will need to be closed before technical registration for United Nations vendor registration can be granted, if no verifiable evidence can be produced by the vendor in the sense of "documentation" and "implementation".

Task: The formulation of action or series of actions designed to achieve a defined result.

Unmanned Aircraft (UA): An aircraft that is intended to be operated with no pilot onboard.

Unmanned Aircraft Systems (UAS): An unmanned aircraft and its associated components.

Visual Line-of-Sight (VLOS): An operation in which the pilot or UA observer maintains direct unaided visual contact with the unmanned aircraft.

3 SCOPE

In general, the process owner of United Nations vendor registration is the Enabling and Outreach Service (EOS), OSCM, DOS. Thereunder, the flight service vendor registration process is two-folded with a technical and a financial part. Technical vendor registration requirements and evaluations are handled by TVR, AvSS, OSCM, DOS; the financial aspects by EOS.

This document lays down technical criteria only for the United Nations technical flight service vendor registration for manned and unmanned commercial AOC Holders including commercial single-engine turbine-powered (SET) airplane operators.

4 PURPOSE

The TOEC lay down technical requirements and administrative procedures related to the technical flight service vendor registration of the United Nations.

The TOEC serve to support the United Nations technical flight service vendor registration entity in their assessment to determine the adequacy of a flight service vendor's operational management and aviation control systems for the suitability of the United Nations flight service bidding process for short-term and long-term air charter agreements including standby (on call) air charter agreements (SACA).

Only technically and financially cleared flight service vendors shall participate in United Nations aviation tender and bidding exercises.

Further, the TOEC provide technical guidance and to United Nations flight service vendors or vendor applicants for the technical part of United Nations flight service vendor registration process.

Among the purposes set out in the TOEC are measures to avoid duplication of work between entities of the United Nations Secretariat, to facilitate exchange of information and to contrive that a consistently high-level of aviation safety is achieved throughout the Organisation.

5 APPLICABILITY

The provisions described in this TOEC are applicable to:

a. All staff of United Nations Secretariat entities who are involved or contribute to the United Nations technical flight service vendor registration; and

b. United Nations external parties who wish to offer aviation flight services to the United Nations for hire.

6 HOW TO USE THIS TOEC

The body of this TOEC lays out general provisions as well as requirements applicable to all United Nations flight service vendors.

Specific technical vendor registration requirements are documented in the annexes. The specific technical vendor registration requirements are divided into:

a. Manned Aircraft – Annex 1

b. Single Engine Turbine (SET) Aircraft – Fixed Wing – Annex 2

c. Unmanned Aircraft Systems (UAS) – Annex 3

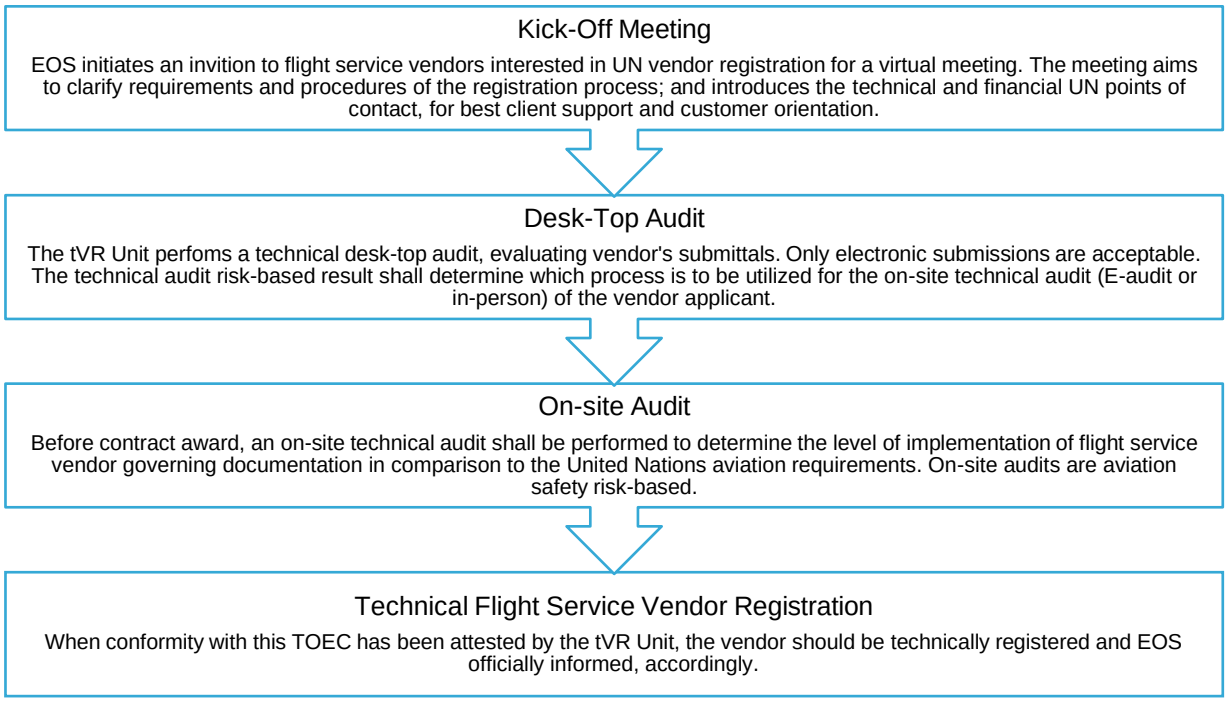
The general provisions and the specific technical requirements shall both be fulfilled for successful technical flight service vendor registration.

For example: an AOC Holder, who wishes to become a United Nations flight service vendor, offering dual engine, fixed wing aeroplanes shall comply with applicable paragraphs of the general provisions part and Annex 1.

7 METHODOLOGY - TECHNICAL REGISTRATION PROCESS

The approach in technical flight service vendor registration follows the concept of technical auditing, accomplished mainly in two phases: a desk-top audit and an on-site audit.

7.1 PHASES OF TECHNICAL VENDOR REGISTRATION



NOTE: *E-audits are the same technical audits that are performed on-site. They go over the same processes and procedures, but they utilize technology to conduct the interviews, document review, tour, sampling and more. The flight service vendor and tVR audit team shall ensure suitable technology is available for such cyber audits.*

7.2 DOCUMENTATION SUBMITTAL

All technical documentation related to flight service vendor registration shall be in English language. This is in line with Industry Best Practices. Technical documentation shall be submitted electronically. There are three (3) e-transmittal options:

a. Through Microsoft SharePoint link. The link should be workable for a minimum of six (6) weeks, or

b. Through a link provided by the AOC Holder to its server, e.g., ftp link (including log-in credentials), or

c. Email (attachment limit shall be 8 MB and exact number of emails to be received shall be communicated).

All vendor files must be in common Microsoft suite and/or PDF formats. Other compressed file formats or non-standard Microsoft suite applications are deemed insufficient and so disqualified for further consideration.

All other methods of submission of electronic data are not acceptable due to legal and cyber security reasons.

Only when a statement by the flight service vendor has been received that its submission deemed complete, tVR Unit shall commence the desk-top audit.

8 TECHNICAL REGISTRATION VALIDITY

8.1 ALL FLIGHT SERVICE VENDORS

Technical registration for all United Nations flight service vendors is valid for two (2) years, after the date of entry into the United Nations Vendors List and subject to compliance with 8.2 below, managed by the EOS.

All communications under this TOEC shall be performed in English language, only. This includes meetings and all in date-controlled manuals, certificates and approvals, controlled records, and other related documentation for United Nations technical flight service vendor registration.

8.2 CONTINUED TECHNICAL UNITED NATIONS VENDOR REGISTRATION – AOC HOLDERS

The responsibility for a safe flight operation is carried by the AOC Holder under the oversight of the respective State. Prospective vendors for United Nations manned and unmanned aircraft charter services are required to demonstrate their ability to comply with the requirements of the United Nations and have sufficient financial resources to conduct safe operations. All AOC Holders shall possess a valid Air Operator Certificate (AOC) authorizing them to conduct ICAO Instrument Flight Rules (IFR) worldwide operations with all types of aircraft, which they intend to offer for United Nations contracts. The AOC Holder must be able to demonstrate that it has sole operational and maintenance control of the offered aircraft and all crew members.

United Nations registered flight service vendors are responsible for the continued compliance with the conditions of respective Civil Aviation Authority (CAA) certification and conform to the United Nations Aviation Standards for Peacekeeping and Humanitarian Air Transport Operations (AVSTADS) and other applicable United Nations aviation requirements. The onus rests upon the AOC Holder to notify the United Nations about any change in its organisation, structure, operations, or the above-mentioned compliance.

The TOEC technically register AOC Holders and aircraft types operated, respectively. Direct lines of communications with AOC Holders are mandatory. AOC Holder's third party representatives, like law firms, consulting companies or similar entities are not accepted for United Nations technical flight service vendor registration.

8.3 ELECTRONIC SPECIAL APPROVAL COMMITTEE (E-SAC) – AOC HOLDERS

The United Nations e-SAC reviews cases related to vendors that do not meet the United Nations commercial registration criteria required for the respective level of registration.

In cases where an AOC Holder is commercially approved under such conditions, the AOC Holder shall submit items listed under "Renewal AOC Holders" of these TOEC to tVR at the end of its special approval timeframe. This is to demonstrate technical prolonged compliance with the TOEC. The onus of document submittal rests with the flight service vendor.

9 TECHNICAL RENEWAL, SUSPENSION AND REINSTATEMENT

9.1 TECHNICAL RENEWAL – AOC HOLDERS

A technically cleared and fully registered United Nations flight service vendor, who wishes to upkeep its technically cleared United Nations flight service vendor status shall apply through an email for technical renewal.

The written renewal application shall include following:

a. Copies of valid AOC Holder Licence, AOC and OpsSpecs.

b. Latest audit reports for operations and maintenance from the competent Authority.

c. AOC Holder written declaration of the continued conformance to requirements set out in this document.

The onus rests with the AOC Holder to provide the items listed above to tVR Unit no later than 30 calendar days before the expiry date of initial technical vendor registration.

The tVR has an obligation to inform the AOC Holder within 10 business days of receipt of all documentation of the status of renewal.

9.2 TECHNICAL SUSPENSION

A technical registration shall be suspended by tVR if the vendor no longer complies with the TOEC. The circumstances which might lead tVR to this course of action are too many or varied. The tVR shall inform United Nations stakeholders accordingly.

In general terms, a technical suspension shall get issued, in case the flight service vendor:

a. fails to submit corrective actions, for findings/ nonconformances issued, by the resolution dates.

b. fails to implement corrective action requests (CARs) (in the event when a flight service vendor fails to satisfy tVR CAR concerns, a final written warning shall be given to the vendor specifying a firm date by which corrective action must be taken. It shall be made clear that failure to comply with the warning requirements will result in the technical suspension as the flight service vendor), or

c. has repetitive findings, or similar findings raised in a short period of time after the previous ones have been rectified which indicate an unacceptable level of risk.

The tVR shall initiate CAR procedure with the technically suspended flight service vendor whenever applicable and inform all stakeholders accordingly.

9.3 TECHNICAL REINSTATEMENT

In order for a flight service vendor to be technically reinstated, tVR must be satisfied that the flight service vendor has successfully fulfilled and is technically compliant with these TOEC.

The technical reinstatement process may vary, pending a risk-assessment of the respective reinstatement case.

Circumstances may, however, require a technical E-audit or on-site audit to verify the implementation of corrective actions of the flight service vendor are suitable and effective, re-establishing conformance with these TOEC.

10 MANAGEMENT SYSTEM

All United Nations flight service vendors shall submit an CAA approved description of their management system as required in the respective subsections below.

10.1 MANAGEMENT SYSTEM - AOC HOLDERS

AOC Holders who wish to provide services to the United Nations shall have established, implement and maintain a management system that:

a. corresponds to the size of the organisation, to the nature and complexity of its activities, taking into account the hazards and associated risks inherent in these activities.

b. depicts the AOC Holder's management structure and organizational chart.

c. defines clearly reporting lines, personnel responsibilities and accountability throughout the organization, including individual safety responsibilities, authority and accountabilities.

d. describes the AOC Holder's safety policy and corresponding safety objectives.

e. identifies aviation safety hazards entailed by the activities of the AOC Holder, their evaluation and the management of associated risks, including taking actions to mitigate the risk and verify their effectiveness.

f. describes the AOC Holder's safety promotion program and management of change process.

g. defines incident reporting process and procedures, including mandatory reports to the respective CAA.

h. maintains personnel trained and competent to perform their tasks.

i. documents all management system key processes, including a process for making personnel aware of their responsibilities and the procedure for amending this documentation.

j. monitors compliance of the AOC Holder with the relevant requirements, including an independent quality assurance system to monitor compliance with, and adequacy of, the procedures, to ensure that all maintenance is properly performed. Compliance monitoring shall include a feedback system of findings to the accountable manager/ most senior manager to ensure effective implementation of corrective actions as necessary.

k. describes the interface procedure between the AOC Holder and the United Nations, and

l. oversight activities of sub-contractors and partners, demonstrating resumed overall responsibility of the AOC Holder.

10.2 AIR AMBULANCE SERVICES - AOC HOLDERS

AOC Holders who wish to provide air ambulance services to the United Nations shall submit additionally the following information:

a. Duties and responsibilities of company medical personnel, as applicable.

b. The AOC Holder's policy on patient baggage, including aviation security measures.

c. The AOC Holder's policy on mixing patients and passengers while on an air ambulance flight rotation, including next of kin accompanying the patient transported.

d. The AOC Holder's procedure for medical equipment loading and unloading.

e. The AOC Holder's procedures for special, intensive, and long-range flights procedures, and

f. The AOC Holder's procedures for after mission aircraft hygiene.

11 SPECIFIC REGISTRATION REQUIREMENTS

Specific technical vendor registration requirements are laid down in the annex section of these TOEC. The specific technical vendor registration requirements are divided into:

a. Manned Aircraft – Annex 1.

b. Single Engine Turbine (SET) Aircraft – Fixed Wing – Annex 2.

c. Unmanned Aircraft System (UAS) – Annex 3.

Annex 1: AOC Holders - Manned Aircraft

In addition to the requirements documented under para. 10 of this TOEC, AOC Holders offering manned services to the United Nations shall submit controlled company documentation of the following items:

1. **Formal Application Letter**, that stipulates:
    a. the full and official name of the applicant as entered in its AOC and AOC number, as issued by the State of the Operator.
    b. wherever applicable, if operations offered are performed under Article 83 *bis* Leases and Interchanges to the Convention on International Civil Aviation (the Chicago Convention), specify scope of transferred functions and which competent authority holds what oversight authorities.
    c. the AOC Holder's operational points of contact at which operational management can be contacted without undue delay, as listed in the controlled document, that shall be carried on board of all company aircraft.
    d. mailing address (P.O. Box is not accepted) and physical address of the applicant's primary operating location.
    e. contact information of the key management personnel such as the CEO/General Manager, Director of Operations, Director of Maintenance, Chief Pilot, Chief Company's Quality Manager and Chief Aviation Safety, Chief of Company Security, Chief of Crew Training, Chief of Operational Control/ Dispatch Services, and Chief of Cargo Department.
    f. indication whether any of the persons named in the formal application have served as key personnel, directors, or officers of a company where its AOC was revoked or were involved in violations of sanctions imposed by the United Nations.
    g. aircraft type(s) offered to the United Nations.
    h. the AOC Holder's type(s) of services offered to the United Nations as documented in the AOC Holder's operations specifications, approved by the competent authority, including special limitations, if applicable.
    i. confirmation to have been in business for 24 consecutive months prior to this application.
    j. indication that all services offered to be performed by the AOC Holder itself and no sub-chartered services to be offered.
    k. confirmation to be aware of the requirements of this TOEC, including the continued conformity with this TOEC, this is to include that the AOC Holder will electronically notify tVR Unit within 20 business days of any changes to the AOC Holder's organization, structure, or operation.
    l. the letter shall be signed by the accountable manager (CEO, General Manager, General Director or President of the company) who remains the main focal point for future correspondence and coordination regarding the technical registration status. AOC Holder's personnel of the company commercial department are not accepted as

communication partners when dealing with the technical and operational parts of the registration.

2. **Copies of certificates and approvals,** CAA approved and accurate documentations describing all privileges related to and relevant for performing AOC Holder flight operations, as listed below:
   a. complete AOC Holder certificate, including transport licence and operations specifications (OpsSpecs). The OpsSpecs shall stipulate authorization to provide world-wide flight operations. If the area of operation within the AOC Holder's OpsSpecs is not defined as 'worldwide' or 'with no geographical limit', the AOC Holder shall describe the boundaries of a permissible area of operation.
   b. if applicable, **Article 83 bis** agreement, documenting succinctly and clearly which functions and duties are transferred by the State of Registry to another State. Non-applicability shall be communicated to tVR Unit in writing.
   c. if applicable, EFB approval certificate issued by the competent authority. Non-applicability shall be communicated to tVR Unit in writing.
   d. if applicable, PBN specific approval from the competent authority. Non-applicability shall be communicated to tVR Unit in writing. PBN approvals shall be submitted together with the appropriate the equipment to be carried, including its operating limitations and applicable entries in the minimum equipment list (MEL).
   e. Maintenance Organisation Approval Certificate.
   f. Aircraft Certificate of Registration.
   g. Airworthiness Certificate(s) (including Airworthiness Review Certificates, if applicable).
   h. Type Certificate Data Sheet(s) of aircraft offered to the United Nations, prescribing conditions, and limitations under which the product for which the type certificate was issued, meets the airworthiness requirements of the applicable competent authority.
   i. Aircraft Noise Certification, approved by the State of Registry; if issued in a language other than English, it shall include an English translation. The attestation may be contained in any document, carried on board, approved by the State of Registry.
   j. AOC Holder's list of contractors, including synthetic training devices utilized for company training (controlled document).
   k. AOC Holder's organizational chart.
3. **Aerial Work** services offered in which an aircraft is used for specialized services such as agriculture, construction, photography, surveying, observation and patrol, search and rescue, aerial advertisement, etc. Aerial work is considered a high-risk operation in particular to third parties on the ground, due to its specific nature and the local environment in which it is conducted. Each flight operation shall be assessed by the operator against the specific nature of the activity, the environment in which it operates, and whether the activity poses a high risk to third parties on the ground. AOC Holders applying for vendor registration in the category of aerial work shall submit in addition to other TOEC requirements, a sample company risk assessment that encompasses all aspects of this paragraph.

4. The AOC Holder shall submit its company **Fatigue Risk Management (FRM) policy**, that ensures flight and cabin crew members are performing at an adequate level of alertness and for the purposes of managing its fatigue-related safety risks, the FRM System is integrated with the AOC Holder's SMS.
5. The AOC Holder shall submit the **Rescue and Fire Fighting Services (RFFS)** level(s) that deemed acceptable of aircraft offered to the United Nations using aerodromes for different United Nations destinations. The intention is that the operator will consider the available RFFS as one element of a risk assessment process conducted under their SMS, to ensure that the overall safety of the operation are maximized. This risk assessment should also include considerations of aerodrome facilities, availability, terrain, weather conditions, etc. to ensure that the most appropriate aerodrome is selected.
6. Each AOC Holder at the point of application submittal shall have been in business for the preceding consecutive 24 months and have a minimum of two (2) aircraft enlisted on its AOC.
7. Aircraft offered to the United Nations shall be **listed on one AOC,** only. This is the AOC under which the AOC Holder applies for United Nations technical vendor registration.
8. **No aircraft offered to the United Nations shall be older than 20 years** as of the first initial type certificate approval obtained by aircraft Type Certificate Holder (TCH)/ manufacturer from the applicable CAA. Orphan aircraft are not acceptable for providing United Nations flight services. An aircraft is considered "orphan" when the legal person holding the Type Certificate (TC) has ceased to exist. Pressurized passenger aircraft that exceed 20 years of age shall not be accepted for United Nations contracted flights unless the AOC Holder has implemented an aging/maintenance programme, developed by the State of Design and approved by the State of Registry.
9. If approved and authorized by CAA that postholders **perform postholder duties simultaneously for more than one AOC**, the AOC Holder applying for United Nations technical vendor registration shall provide evidence that sufficient time is available to fulfil postholder duties at the applicant's organization. Such evidence should be provided in the form of an CAA approval letter or a standard man-day analysis of duties and responsibilities of the respective postholder.
10. The AOC Holder shall commence **dual pilot IFR operations** on flight services offered to the United Nations.
11. **Freelance pilots** are not acceptable on aircraft offered to the United Nations. The United Nations reserves the right to ask for contractual terms between the pilots and the AOC Holder.
12. All flight crew members offered to the United Nations shall be prohibited from engaging in flight **operations during their legal off-duty** period while performing flight services for the United Nations.
13. The United Nations language related to aviation matters is English. Furthermore, crew members, performing flight services for the United Nations and whose duties include communication with Air Traffic Control services to complete an evaluation during company initial ground training to demonstrate a **sufficient level of English language proficiency,** in accordance with ICAO Annex 1 – Personnel Licensing provisions, that ensures effective communication during the performance of such duties.

14. The AOC Holder shall submit valid **insurance certificate(s)** of aircraft offered to the United Nations.

15. The AOC Holder shall submit valid **lease agreement(s)** (if applicable) of aircraft offered to the United Nations, shall include a clause documenting the lessee has sole unrestricted operational control over the leased aircraft. This shall include crew and maintenance aspects.

16. Equipment – the AOC Holder shall submit an equipment list of aircraft intended to be offered to the United Nations for vendor registration, attesting the following equipment and capability:

a. Dual turbine engined aircraft.

b. Dual IFR cockpit set-up.

c. Pressure-altitude reporting transponder which operates in accordance with the relevant ICAO provisions.

d. ACAS II for fixed wing and ACAS I for rotary wings. All aeroplanes of a maximum certificated take-off mass in excess of 5 700 kg or authorized to carry more than 19 passengers shall be equipped with an airborne collision avoidance system (ACAS II).

e. GPWS with forward-looking terrain avoidance function on turbine-engined aeroplanes of a maximum certificated take-off mass in excess of 5 700 kg or authorized to carry more than nine passengers.

f. HTAWS for helicopters is recommended.

g. Weather Radar.

h. Satellite (SAT) tracking capability.

i. Cockpit voice recorders (CVRs) and cockpit audio recording systems (CARS) shall not use magnetic tape or wire. All CVRs shall retain the information recorded during at least the last 2 hours of their operation.

j. Dual Emergency Locator Transmitter (ELT), one of them should be an automatic ELT, or as specified in ICAO Annex 6, part 1 or 3 respectively.

k. Dual GPS capabilities.

17. The following complete AOC Holder's **Operations Manuals (OM)** approved by the competent authority, shall be submitted:

a. OM parts covering:

i) **General/Basic**, comprising all non-type-related operational policies, instructions and procedures.

ii) Commercial air transport operations, comprising **route/role/area and aerodrome/** operating site instructions and information.

iii) **Training**, comprising all training instructions for personnel required for a safe operation.

b. The content of the OM shall reflect the requirements set out in this paragraph, as applicable, and shall not contravene the conditions contained in the operations specifications to the AOC Holder's AOC, or the list of specific approvals, as applicable.

c. The AOC Holder's OM system shall include company instructions of designation of pilot-in command for United Nations flight operations of aeroplanes and helicopters. Instructions shall include its Standard Operating Procedure (SOP) for pilot-in-command or the pilot, to whom the conduct of the flight may be delegated, shall have had initial familiarization training of the route or area to be flown and of the aerodromes, facilities and procedures to be used.

   The **experience of the route or area** to be flown for services offered to the United Nations and of the aerodrome facilities and procedures to be used should include the following:

   i) Area and route knowledge.

   ii) Aerodrome knowledge.

   iii) Prior to operating to a category "C aerodrome" in any United Nations destination portfolio, the pilot-in-command should be briefed and visit the aerodrome as an observer and/or undertake instruction in a suitable synthetic training device. The completion of the briefing, on-site visit and/or instruction should be recorded and available when arriving in United Nations field missions.

   iv) The AOC Holder when performing flight services for the United Nations, shall not assign a pilot-in-command or a co-pilot to operate at the flight controls of a type or variant of a type of aeroplanes or helicopters during take-off and landing unless that pilot has operated the flight controls during at least three (3) take-offs and landings within the preceding 90 days on the same type of aeroplane, helicopter or in a flight simulator approved for the purpose.

d. The AOC Holder shall have processes and procedures in place ensuring that all company personnel are made aware that they shall comply with the laws, and regulations and procedures of those States in which operations are conducted and that are pertinent to the performance of their duties. This shall include United Nations requirements when performing flight services for the United Nations.

e. Before performing flight services for the United Nations, the flight crew member shall have received Crew Resource Management (**CRM) training**, appropriate to his/her role, as specified in the company operations manual.

f. The AOC Holder shall have a policy of **sexual misconduct and exploitation**.

g. The AOC Holder shall have an **Emergency Response Plan (ERP)** in place, ensuring that all applicable company personnel are aware and trained in their ERP duties and responsibilities.

h. **Maintenance Control Manual**, including Aircraft Maintenance Program(s) (AMPs) of SN offered to the United Nations, and:

   i) Excerpt of the company aircraft continuing airworthiness record system listing the latest certificate of release to service of an aircraft offered to the United Nations.

   ii) The current status of Airworthiness Directives (ADs) and the latest measures mandated by the CAA in immediate reaction to a safety problem.

iii) The current status of compliance with the Aircraft Maintenance Programme (AMP) of Serial Number (SN) offered to the United Nations.

iv) The current list of deferred maintenance, and

v) The CAA approved loose equipment checklist per SN offered to the United Nations.

i. The AOC Holder shall have CAA approved **Aviation Security Program** in place, including security training. The security programme should be adapted to the type and area of operation, as well as to the aircraft operated.

j. **Environmental Protection** – the benefits of aviation also have an environmental impact. Emissions, noise, flight operations, and waste require management activities to be reduced, incorporated into recycling streams and where possible eliminated. The AOC Holder shall have processes established for:

i) environmental policy.

ii) personnel environmental training.

iii) soil and water protection.

iv) waste management, including aircraft wash down procedure, to prevent the spread of diseases, pests and weeds to other regional and rural locations, by cleaning aircraft and machinery before they leave the site.

v) fuel, oils and chemicals management.

vi) noise exposure monitoring.

vii) emergency preparedness.

18. Technically cleared United Nations flight service vendors who wish to **add an additional aircraft type** to their existing flight service vendor technical registration shall submit as applicable the following information:

a. Application letter stating the AOC Holder's intention and point of contact for this exercise.

b. CAA approved and accurate AOC and associated OpsSpecs.

c. Where applicable Article 83, EFB and PBN approvals.

d. Maintenance Organisation Approval Certificate.

e. Certificate/ Maintenance Control Organisation Approval.

f. Airworthiness Certificate(s) of aircraft offered, (including Airworthiness Review Certificates, if applicable).

g. Certificate(s) of Aircraft Registration.

h. Aircraft Noise Certificate(s).

i. Narrative of training provider/ training centre for synthetic flight training utilized for pilot training, including if it is a full type rating or transition training, only.

j. **CAA approved Operations Manual** pertinent to aircraft type operations include.

i) General/Basic, comprising all non-type-related operational policies, instructions and procedures.

ii) Aircraft type-related operational policies, instructions and procedures.

iii) Aircraft type-related route/role/area and aerodrome/ operating site instructions and information, including RFFS level(s).

iv) Aircraft type-related training, comprising training instructions for personnel required for a safe operation.

v) Maintenance Control Manual.

vi) Maintenance Program(s) per aircraft type/ SN.

vii) Insurance Certificate(s), and

viii) Lease agreement(s).

k. Applicable TOEC requirements remain in effect.

l. Adding an additional aircraft type to a technically fully cleared flight service vendor registration does not require a technical on-site audit. Only in exceptional cases an on-site technical audit may be performed.

Annex 2: AOC Holders - Single Engine Turbine (S E T) Aircraft – Fixed Wing

In addition to the requirements documented under para. 10 of this TOEC, AOC Holders offering S E T fixed wing aircraft shall comply with below requirements for AOC Holder registration:

1. S E T aeroplanes shall only be operated in conditions of Day VFR, and over such routes and diversions therefrom, that permit a safe forced landing to be executed in the event of engine failure. The AOC Holder shall take account for the offered S E T aeroplane type(s) escape route planning SOP in its Operations Manual including adequate training SOP, accordingly.
2. S E T aeroplanes shall have an engine trend monitoring system, and those aeroplanes for which the individual certificate of airworthiness is first issued on or after 1 January 2005 shall have an automatic trend monitoring system, where available.
3. S E T aeroplane operators shall have a spare part program in place, emphasizing spare tires.
4. S E T aeroplane operators shall have a robust Aircraft on Ground (AOG) program in place ascertaining operations continuity.
5. S E T aeroplane operators should be encouraged to partner with the manufacturer(s) in field maintenance and enrol in programs like on Flight Airworthiness Support Technology FAST and engine oil analysis programs.
6. S E T aeroplane operators shall have processes and procedures in place to operate S E T aeroplanes with two (2) cockpit crews, fully type and IFR rated when offering services to the United Nations.
7. S E T aeroplane operators shall have CAA approved procedures for fuelling from fuel drums and overnight parking/ aircraft tie-down, including associated training programs.
8. S E T aeroplane operators crew training program shall include processes and procedures for initial and recurrent training on certified and approved synthetic training devices. The AOC Holder's simulator training program must be CAA approved. Additionally, it must include airport and airfield familiarization training and see and avoid procedure training.

Annex 3: AOC Holders - Unmanned Aircraft System (UAS)

In addition to the requirements documented under para. 10 of this TOEC, AOC Holders offering unmanned services to the United Nations shall submit controlled company documentation, of the following items:

1. AOC Holder's Operations Manuals

The following complete AOC Holder's operations manuals approved by the competent authority where applicable, shall be submitted:

a. **General/Basic**, comprising all operational policies, instructions and procedures.

b. **Training and Qualification**, comprising all training instructions for personnel required for a safe operation. Unmanned Aircraft (UA) pilots providing services to the United Nations shall have received training under the responsibility of the AOC Holder in the areas of:

i) Air safety

ii) Airspace restrictions

iii) Aviation regulation

iv) Human performance limitations

v) Operational procedures

vi) UAS general knowledge

vii) Privacy and data protection

viii) Insurance restrictions

ix) Security

Beyond-Line-of-Sight (BLOS) remote pilots shall additionally have received training of:

i) Weather conditions,

ii) Performance of the Unmanned Aircraft, and

iii) Segregation of the overflown area.

The AOC Holder shall submit training syllabi and suitable proof of training.

2. Contingency and Emergency Procedures

UAS Operators providing services to the United Nations shall have established, implemented and maintained contingency and emergency response processes and procedures for the coordination of actions to be taken in an emergency occurring both at the aerodrome and in its immediate vicinity.

The UAS Operator shall submit its effective **Emergency Response Plan (ERP)** suitable for the operation performed, encompassing as a minimum:

a. The plan to limit any escalating effects of the emergency situation.

b. The conditions to alert the relevant authorities, organisations and the United Nations.

c. The criteria to identify an emergency situation.

d. Clear delineation of the duties of the remote pilot(s) and any other personnel in charge of duties essential to the UA operation.

e. The planned interface procedure with the United Nations, in case of a potential contract award.

f. Contingency procedures, including at least:

   i) procedures to cope with the unmanned aircraft leaving the designated 'flight geography'.

   ii) procedures to cope with persons who are not involved entering the controlled ground area.

   iii) procedures to cope with adverse operating conditions.

   iv) procedures to cope with the deterioration of external systems supporting the operation.

   v) if airspace observers are employed, the phraseology to be used.

   vi) conflict avoidance procedures with other airspace users.

g. Emergency procedures to cope with emergency situations, including at least:

   i) procedures to avoid, or at least minimise, harm to third parties in the air or on the ground.

   ii) procedures to cope with the unmanned aircraft leaving the 'operational' volume.

   iii) procedures for the emergency recovery of the unmanned aircraft.

3. Security Measures

The UAS Operators providing services to the United Nations shall have established, implemented and maintained processes and procedures to be secure from sabotage or unlawful malicious interference and unauthorised access. The UA should be stored and prepared for flight in a manner that will prevent and detect tampering and ensure the integrity of vital components. Remote pilots should be subjected, at a minimum, to the same background check standards as persons granted unescorted access to security restricted areas of airports, including background checks as per ICAO Doc 8973.

Cyber security protocols should be in place to protect in general as below:

a. Confidentiality attacks: stealing confidential data.

b. Integrity attaches: manipulation of controls to cause inefficiencies, or the disabling of alarms and fail-safe logic to mask problems.

c. Availability attacks: taking a service offline or slowing or stopping operational processes.

4. Safe Transport of Dangerous Goods by Air

Wherever applicable, all UAS Operators providing services to the United Nations shall have established, implemented and maintain processes and procedures addressing restrictions, for the carriage of munitions or implements of war and other transport of Dangerous Goods by Air.

The provisions of ICAO Annex 18 and Article 35 of the Chicago Convention are applicable to

UAS Operators providing services to the United Nations.

5. Unmanned Aircraft System AOC Holder Information

The UAS Operators shall submit the following information for each aircraft system offered to the United Nations:

UAS Operator Information		
1. Name of Operator	2. State of Operator Registry	
3. Mailing Address		
4. UN Focal Point Details	5. E-mail Address	
6. State of the Operator, Operator Certificate Number (attach copy of UAS operator certificate)	Alternative documents	
Unmanned Aircraft (UA) Information		
7. State of Registry and Aircraft Registration (attach copies of certificate of registration and certificate of airworthiness)	Airworthiness documents (attach copy)	
8. Aircraft Radio Station License Number (attach copy of aircraft radio station license)		
9. Noise certificate (attach copy of certificate)		
UAS Performance Characteristics (including appropriate units of measurement) *(Attach picture or sketch of UAS)*		
10. Type of aircraft category	11. Maximum Take-off Mass	12. Wake turbulence
13. Number and type of engine(s)	14. Dimensions (Wingspan / rotor diameter)	15. Maximum speed
16. Minimum speed	17. Cruising speed	
18. Typical and maximum climb rates	19. Typical and maximum descent rates	
20. Typical and maximum turn rates	21. Maximum aircraft endurance	
22. Other relevant performance data or information to declare (maximum operating altitude)		

23. Communications, Navigation & Surveillance (CNS) capabilities (including alternate means of communication with remote pilot station(s))

Communication (select as applicable)

CPDLC ☐ VHF ☐ UHF ☐ SATCOM ☐ HF ☐

Telephone: Landline ☐ Mobile phone ☐

Navigation (select as applicable)

DME ☐ V O R ☐ GNSS ☐ ADF ☐ ILS ☐ GBAS ☐

RNAV _____ RNP _____

Surveillance (select as applicable)

Transponder Mode(s) _____ ☐ ADS-B ☐ ADS-C ☐ ACAS ☐ Mode-S ☐

Other:

23. A. Communication with surveillance aircraft pilot

Communication (select as applicable)

CPDLC ☐ VHF ☐ UHF ☐ SATCOM ☐ HF ☐

Telephone: Landline ☐ Mobile phone ☐

Navigation (select as applicable)

DME ☐ V O R ☐ GNSS ☐ ADF ☐ ILS ☐ GBAS ☐

RNAV _____ RNP _____ RVSM ☐

Surveillance (select as applicable)

Transponder Mode(s) _____ ☐ ADS-B ☐ ADS-C ☐ ACAS ☐ Mode-S ☐

Other:

24. Detect and avoid capabilities

Operations

25. Purpose of operation	**26. Aircraft identification to be used in radiotelephony, if applicable**
27. Flight rules (select as applicable) **☐ I ☐ Y** **☐ V ☐ Z**	28. **Type of operation** (select as applicable) **☐ LOS** **☐ BLOS**
28. A. **Data Link Description LOS**	
28. B. **Data Link Description BLOS**	

29. Cruising level	
30. Wing-walker information/description	
31. Payload Description (Cameras, Multi-Payload Capability, EO/IR, radars, SIGINT, COMINT, **ELINT, etc.) 1.** **2. etc.**	
Use of Communication Capabilities	
32. ATS communications	
33. Command and control link	
34. Communications between remote pilot and UAS observer, if applicable	
35. Payload data link	
Liability and Insurance	
36. Document number of liability insurance (attach copy of liability insurance document)	
Name & Signature of Applicant: **Date:**	