



ICAO

Doc 9626

Manual on the Regulation of International Air Transport

Third Edition, 2018



Approved by and published under the authority of the Secretary General

INTERNATIONAL CIVIL AVIATION ORGANIZATION

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AMENDMENTS

Amendments are announced in the supplements to the *Products and Services Catalogue*; the Catalogue and its supplements are available on the ICAO website at www.icao.int. The space below is provided to keep a record of such amendments.

RECORD OF AMENDMENTS AND CORRIGENDA

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FOREWORD

The main purpose of this *Manual on the Regulation of International Air Transport* is to meet an ever-increasing need for a comprehensive and objective source of information about the many facets of this dynamic activity. This need was foreseen by the ICAO Assembly which, by Resolution A24-11, directed the preparation and publication of this manual.

The need for and expected usefulness of this manual is not confined to any particular State or category of State, whether small or large, whether least developed, developing, or having developed economies. Rather, it was prepared to meet the needs of all ICAO Member States.

The air transport authorities of these States may well become the most frequent users of this manual. Yet many others in these States may also find it very useful. International air transport evokes considerable interest of many people: those associated with airlines; airports and communities seeking new air services; users of air transport; air carrier labour; aircraft manufacturers; certain international organizations; people involved with aviation financing, tourism development and trade; people in academia and the communications media; and, at times, members of the general public as well. This manual is intended to also meet the needs of and be useful to these broader constituencies within ICAO Member States and, in so doing, to increase its value to air transport authorities who interact with such constituencies.

BASIC COMPOSITION OF THE MANUAL

As international air transport developed and became more complex especially since the early 1990s, so too has its regulation. Also, much new terminology evolved, often without widely accepted definitions (or with conflicting ones) and sometimes with more than one term applied to the same subject. Thus the approach taken in the preparation of this manual has been to provide clear and adequate explanations and guidance in a well ordered context. Each relatively short chapter is, in effect, a narrative composed largely of a series of definitions and explanations in a logical order of presentation derived from the topic itself.

Regulation is the giving of authoritative direction to bring about and maintain a desired degree of order. All regulation involves *regulatory process*, various patterns of activity by people interacting to establish and maintain some desired result for the subject or entities being regulated. Similarly, all regulation involves *regulatory structure*, i.e. the organizations or other entities involved and the legal framework (such as licences, regulations and agreements). Finally, all regulation involves *regulatory content*, the particular subjects being regulated (such as market access, pricing and capacity).

The process and structure of international air transport regulation have three distinct venues — national, bilateral and multilateral; therefore, each venue has been assigned a separate part in this manual, i.e. Parts I, II, and III, respectively. Regulatory content topics, which States deal with in all three venues, are in Part IV. General terminology, i.e. that which is common or supplemental to all parts of this manual, forms Part V. Appendices contain certain reference materials.

FUNCTIONS AND SCOPE OF THE MANUAL

This manual is designed to be user friendly and to serve two distinct functions. First, it can be used as an encyclopedia. Each broad regulatory topic has its own chapter or section of a chapter in the manual, written to compress essential facts into one or a few pages. The Table of Contents assists the reader to determine the location of material on broader topics (e.g. the bilateral regulatory process, traffic rights, etc., each of which may involve many related definitions and explanations). Second, this manual as a whole can be useful as a textbook for academic or other educational and training purposes.

The scope of the manual is limited to the economic aspects of international air transport regulation as distinguished from the technical aspects thereof such as those involving navigation, safety and security. Nevertheless, these other areas of regulation are not totally separable from economic regulation and can affect such matters as airline licensing, airport access and the structure of agreed routes. Although air transport regulators sometimes also regulate commercial non-transport operations, such as aerial crop dusting and surveying, as well as non-commercial flying, such as overflight and landing by private, military and State aircraft, both topics are outside the scope of this manual. The term “aviation” is often used incorrectly in lieu of the term “air transport”. While *air transport* is more specific, referring to those aspects related to the carriage by air (usually commercial air transport), *aviation* is generic and includes far more topics such as military, state and private flying, aircraft manufacturing, air navigation, non-commercial transport and specialty air services.

WHAT IS NEW IN THE THIRD EDITION

Along with the trend of globalization and liberalization, international air transport has also undergone significant changes in the last two decades. This third edition has been updated and expanded to take account of the developments in international air transport and its regulation since 2004 when the second edition was first published.

This edition includes several new topics (e.g. fair competition, consumer protection, and funding of aviation system upgrade and regulatory oversight), which are drawing increasing regulatory attention. A number of new air transport terms and definitions have been added, including some that were non-existent when the first and second editions were published (e.g. connectivity, aviation system upgrade, etc.). Additionally, many websites and e-mail addresses (primarily of air transport-related international organizations and entities) have been updated or added enabling users of the manual to access a wealth of information and vastly expand their knowledge base.

The updating of established topics, as well as the addition of new information, adds significantly to the manual's value as a user-friendly tool for those who are interested in knowing more about international air transport.

This manual both complements and supplements ICAO Doc 9587 — *Policy and Guidance Material on the Economic Regulation of International Air Transport*, which is a compendium of all the formal policies and guidance adopted by ICAO in this field (such as Assembly resolutions, Council decisions, and conclusions and recommendations of air transport conferences).

TABLE OF CONTENTS

	<i>Page</i>
PART I — National regulation.....	I-(i)
Chapter 1. Introduction to national regulation.....	I-1-1
Chapter 2. Process of national regulation.....	I-2-1
2.1 Introduction.....	I-2-1
2.2 The legislative component.....	I-2-1
2.3 The licensing component.....	I-2-2
2.4 The ad hoc authorization component	I-2-3
2.5 Comity and reciprocity	I-2-3
Chapter 3. Structure of national regulation.....	I-3-1
3.1 Introduction.....	I-3-1
3.2 The organizational component	I-3-1
3.3 The legal component.....	I-3-3
Chapter 4. Key issues of national regulatory process and structure	I-4-1
4.1 The relationship between air transport regulators and interested parties	I-4-1
4.2 The optimum location of the international air transport regulatory function	I-4-3
4.3 Good regulatory practices	I-4-5
PART II — Bilateral regulation.....	II-(i)
Chapter 1. Introduction to bilateral regulation.....	II-1-1
1.1 General.....	II-1-1
1.2 Evolution of the bilateral regulation of international air services	II-1-1
Chapter 2. Process of bilateral regulation.....	II-2-1
2.1 Introduction.....	II-2-1
2.2 Initiation of and preparation for a formal bilateral consultation	II-2-2
2.3 Consultations and negotiations: types of meetings and documents	II-2-5
2.4 Consultations and negotiations: strategic and tactical considerations	II-2-7
2.5 Conclusion, implementation, management, dispute resolution, amendment and (exceptionally) termination of an agreement.....	II-2-8

	<i>Page</i>
Chapter 3. Structure of bilateral regulation.....	II-3-1
3.1 Introduction.....	II-3-1
3.2 Basic document types	II-3-1
3.3 Typical provisions of bilateral air transport (services) agreements	II-3-2
3.4 Types of bilateral agreements on subjects closely related to air transport	II-3-5
Chapter 4. Key issues of bilateral regulatory process and structure	II-4-1
4.1 Introduction.....	II-4-1
4.2 Balancing benefits in a liberalizing environment.....	II-4-1
4.3 Shortcomings of bilateral regulatory structure	II-4-3
4.4 Bilateral relations involving groups of States	II-4-5
4.5 Application of competition laws to air transport	II-4-6
4.6 Effects of State aids and subsidies.....	II-4-7
Chapter 5. Types of international air services negotiations.....	II-5-1
 PART III — Multilateral regulation	 III-(i)
Chapter 1. Introduction to multilateral regulation	III-1-1
1.1 General.....	III-1-1
1.2 A brief history of the multilateral regulation of international air transport	III-1-2
Chapter 2. Process of multilateral regulation	III-2-1
2.1 Introduction.....	III-2-1
2.2 Formal multilateral meetings	III-2-2
2.3 Process within formal international organizations.....	III-2-4
2.4 The multilateral treaty process	III-2-4
Chapter 3. Structure of multilateral regulation	III-3-1
3.1 Introduction.....	III-3-1
3.2 Basic elements of the organizational component	III-3-1
3.3 Basic terminology of the legal component.....	III-3-2
3.4 The Chicago Conference documents	III-3-4
3.5 The Warsaw System and the Montreal Convention of 1999.....	III-3-5
3.6 Other air law instruments.....	III-3-6
3.7 Regional multilateral agreements	III-3-8

	<i>Page</i>
Chapter 4. Key issues of multilateral regulatory process and structure	III-4-1
4.1 Introduction.....	III-4-1
4.2 Why the multilateral approach?	III-4-1
4.3 Possible processes in the quest for a new multilateralism.....	III-4-3
4.4 The likely generic structural elements of a new multilateral air transport agreement	III-4-4
4.5 The general agreement on Trade in Services (GATS) and its air transport Annex.....	III-4-5
Chapter 5. International Civil Aviation Organization (ICAO).....	III-5-1
5.1 Introduction.....	III-5-1
5.2 Policy development bodies	III-5-1
5.3 Air Transport Bureau	III-5-3
5.4 ICAO policy, guidance and information	III-5-4
Chapter 6. Worldwide intergovernmental organizations	III-6-1
6.1 Organs of the United Nations	III-6-1
6.2 Specialized agencies of the United Nations	III-6-2
6.3 Other worldwide intergovernmental organizations.....	III-6-2
Chapter 7. Regional intergovernmental civil aviation organizations	III-7-1
7.1 Africa	III-7-1
7.2 Europe.....	III-7-2
7.3 Latin America and the Caribbean	III-7-2
7.4 Middle East.....	III-7-3
Chapter 8. Regional and trans-regional intergovernmental organizations and trade areas	III-8-1
8.1 Introduction.....	III-8-1
8.2 Regional intergovernmental organizations	III-8-1
8.3 Formal trans-regional groups	III-8-8
8.4 Informal trans-regional groups.....	III-8-9
Chapter 9. Major air transport industry organizations	III-9-1
9.1 International Air Transport Association (IATA)	III-9-1
9.2 Airports Council International (ACI)	III-9-2
9.3 Civil Air Navigation Services Organization (CANSO)	III-9-4
Chapter 10. Non-governmental organizations	III-10-1
10.1 Introduction.....	III-10-1
10.2 Air carrier organizations.....	III-10-1
10.3 Other aviation organizations.....	III-10-3
10.4 Other organizations interested in air transport.....	III-10-3