

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
5.001	YES	2	Has the State promulgated specific operating regulations to transpose the airworthiness-related provisions of Annexes 6 (Parts I, II and III), 7, 8 and 16 (Volumes I, II and III)?	CC Art. 12 STD A19 3.2.1.2 3.2.2 GM Doc 9734 Part A, C2 & C3 Doc 9760 Part II, 3.2	2.001 2.101	<p>2.001 (A) Describe the national aviation regulations the State has adopted, or developed and promulgated to enable the State to implement the provisions of Annexes 1, 6, and 8.</p> <p>(B) What is the formal title of the regulations and when were they promulgated?</p> <p>List all the aviation regulations related to personnel licensing, aircraft operations, and airworthiness in your response.</p> <p>2.101) Has the State established its own regulatory airworthiness requirements or has it adopted the airworthiness requirements of another State?</p> <p>What is the formal title of the airworthiness regulations?</p> <p>If the airworthiness regulations were adopted from another State, is compliance with the regulations required by legislation?</p> <p>What are the regulations specifying type certificates/related airworthiness codes from identified States of Design as the basis for acceptance?</p> <p>Does the State accept or validate type certificates (TCs) from contracting States of Design?</p> <p>Does the State ensure that when it first enters on its register, an aircraft of a particular type, for which it is not the State of Design, and issues or validates a certificate of airworthiness, it advises the State of Design that it has entered such an aircraft on its register?</p> <p>If yes, is there a technical review process and approval issued by a State, which is not the State of Design. Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response</p>	5.001	Has the State promulgated specific operating regulations to transpose the airworthiness-related provisions of Annexes 6 (Parts I, II and III), 7, 8 and 16 (Volumes I, II and III)?	<p>1) Confirm the title, date of promulgation and last amendment of all regulations related to airworthiness.</p> <p>2) Verify that the content of the regulations are consistent, sufficient and properly organized.</p> <p>3) Confirm the transposition of the airworthiness-related provisions of: Annex 6, Part I Annex 6, Part II Annex 6, Part III Annex 7 Annex 8 Annex 16, Volume I Annex 16, Volume II Annex 16, Volume III</p>
5.003	YES	2	Has the State promulgated a national code of airworthiness, or adopted and promulgated the code of airworthiness from another State, or specified in its regulations the type certificates/related airworthiness codes from identified States of Design as basis for acceptance?	STD A8 Foreword & Part I (Definitions) GM Doc 9760 Part II, 1.1.5 & 1.1.7	2.101	<p>Has the State established its own regulatory airworthiness requirements or has it adopted the airworthiness requirements of another State?</p> <p>What is the formal title of the airworthiness regulations?</p> <p>If the airworthiness regulations were adopted from another State, is compliance with the regulations required by legislation?</p> <p>What are the regulations specifying type certificates/related airworthiness codes from identified States of Design as the basis for acceptance?</p> <p>Does the State accept or validate type certificates (TCs) from contracting States of Design?</p> <p>Does the State ensure that when it first enters on its register, an aircraft of a particular type, for which it is not the State of Design, and issues or validates a certificate of airworthiness, it advises the State of Design that it has entered such an aircraft on its register?</p> <p>If yes, is there a technical review process and approval issued by a State, which is not the State of Design. Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response</p>	5.003	Has the State promulgated a national code of airworthiness, or adopted and promulgated the code of airworthiness from another State, or specified in its regulations the type certificates/related airworthiness codes from identified States of Design as basis for acceptance?	<p>Review:</p> <p>1) national code of airworthiness or 2) adopted code of airworthiness from another State or 3) regulations specifying type certificates/related airworthiness codes from identified States of Design as basis for acceptance.</p>

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5.004	YES	2	Does the State ensure the timely transposition of provisions of Annexes 6 (Parts I, II and III), 7, 8 and 16 (Volumes I, II and III) into its legal framework?	CC Arts. 12, 37 & 38 STD A15 5.2.2 A19 3.2.1.2 PANS Doc 10066 (AIM) App. 2 GM Doc 9734 Part A, C2 Doc 8126 C5 Doc 10055	2.002	Are amended and up-to-date copies of the national aviation regulations used by the State readily available to the inspectorate and users? If yes, describe how they are made available to the inspectorate and users.	5.004	Does the State ensure the timely transposition of provisions of Annexes 6 (Parts I, II and III), 7, 8 and 16 (Volumes I, II and III) into its legal framework?	1) Verify that provisions in the specific operating regulations are effected in a timely manner to reflect the latest amendments to Annexes 6 (Parts I, II and III), 7, 8 and 16 (Volumes I, II and III). 2) Confirm that: a) Differences between SARPs and the State legislation and practices are identified and notified to ICAO using the Compliance Checklist/Electronic Filing of Differences (CC/EFOD) system. Note to the auditor: States may also notify differences to ICAO using other means. b) Significant differences between SARPs/PANS/SUPPS and the State regulations and practices are identified and published in the AIP.
5.005	YES	2	Has the State implemented procedures for the amendment of its enabling airworthiness regulations and national standards?	CC Art. 37 STD A19 3.2.2 GM Doc 9734 Part A, C3	1.017	Describe the procedure for implementing amendments to Standards and Recommended Practices (SARPs) of Annexes 1, 6, and 8 and for listing and notifying the differences, if any, to ICAO.	5.005	Has the State implemented procedures for the amendment of its enabling airworthiness regulations and national standards?	1) Review documented evidence of effective implementation of procedures for the amendment of airworthiness regulations. 2) Verify that airworthiness regulations are amended in a timely manner whenever amendments to Annexes 6 (Parts I, II, and III), 7, 8 and 16 (Volumes I and II) are received. 3) Verify the action taken by the State after receipt of the last amendments. Note to the auditor: The development of these procedures is addressed in LEG PQ 1.009.
5.007	YES	2	Has the State implemented procedures for identifying and notifying differences, if any, to ICAO?	CC Arts. 37 & 38 GM Doc 9734 Part A, C3 Doc 10055	1.017	Describe the procedure for implementing amendments to Standards and Recommended Practices (SARPs) of Annexes 1, 6, and 8 and for listing and notifying the differences, if any, to ICAO.	5.007	Has the State implemented procedures for identifying and notifying differences, if any, to ICAO?	Review documented evidence of effective implementation. Note to the auditor: The development of these procedures is addressed in LEG PQ 1.025.
5.013		2	If the State has granted exemptions to airworthiness regulations, has the State implemented procedures for the granting of exemptions?	GM Doc 9734 Part A, C3 Doc 9760 Part II, 3.1.6	1.011	Does the primary aviation legislation provide for the issuance of exemptions/exceptions to the air navigation regulations and associated operating regulations? If yes, describe the procedure for the issuance of the exemption (including exceptions/deviations/extensions) with limitations. Include criteria used for the risk assessment before granting the exemption. If no, describe the CAA's process to address requests to deviate from the air navigation regulations and associated operating regulations.	5.013	If the State has granted exemptions to airworthiness regulations, has the State implemented procedures for the granting of exemptions?	Verify: a) effective implementation of procedures. b) system for recording and publishing exemptions granted. c) examples of exemptions granted in the area of airworthiness. d) criteria used for the risk assessment before granting the exemption. Notes to the auditor: 1) The legal/regulatory basis for the granting of exemptions is addressed in LEG PQ 1.027. 2) The establishment of a policy and procedures for the granting of exemptions is addressed in LEG PQ 1.028.

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									3) The term “exemptions” also includes exceptions, deviations, variations and prolonged extensions.
5.021		3	Has the State established an organizational structure for the airworthiness inspection division (AID)?	STD A6 Part I, App. 5, 3.1 Part III, App. 1, 3.1 A19 App. 1, 3.1 GM Doc 9734 Part A, C3, 3.3.1 Doc 9760 Part II, 4.7.1	3.001	3.001 Describe the organizational structure of the Civil Aviation Authority (CAA) and summarize the roles and responsibilities of each department, office, facility, and/or regional office responsible for licensing, certification, and continued surveillance. NOTE: Submission of an organizational chart would assist in answering this question.	5.021	Has the State established an organizational structure for the airworthiness inspection division (AID)?	Confirm current approved organizational structure for AID, including lines of responsibility. Submission of an organizational chart would assist in answering this question. Note to the auditor: This PQ is not linked to ORG PQ 2.010.
5.023		3	Are all the functions and responsibilities of the AID clearly defined?	STD A6 Part I, App. 5, 3.1 Part III, App. 1, 3.1 A19 App. 1, 3.2 GM Doc 9760 Part II, 4.7	3.002	Describe the roles and responsibilities (documented) of the operations and airworthiness inspection organizations as they are structured in the CAA regarding: Issuance of the air operator certificate (AOC) Specific authorizations Deficiencies Development of regulations Enforcement Provide the specific reference and any other guidance material or practice used in reference to your response.	5.023	Are all the functions and responsibilities of the AID clearly defined?	Review document detailing functions and responsibilities of the AID. - This PQ is not linked to ORG PQ 2.011.
5.027		3	Have job descriptions been developed for technical staff and key management personnel of the AID?	GM Doc 9734 Part A, C3 Doc 9760 Part II, 4.7	3.203	Have written terms of reference establishing qualifications, roles, and responsibilities been developed for technical staff? If yes, what are the policy and procedures for recruiting technical staff in compliance with the established qualifications?	5.027	Have job descriptions establishing qualifications, roles and responsibilities been developed for technical staff and key management personnel of the AID?	Verify job descriptions for AID staff, including: 1) aircraft register staff. 2) airworthiness inspectors.
5.029		3	If the State is involved in the provision of aircraft operations or maintenance of aircraft, is there a clear separation of authority between the State operating agency and the State regulatory authority?	GM Doc 9734 Part A, C2 Doc 9760 Part II, 1.1.9	Not in IASA Protocol		5.029	If the State is involved in the provision of aircraft operations or maintenance of aircraft, is there a clear separation of authority between the State operating agency and the State regulatory authority?	1) Verify separation provisions. 2) Review documented evidence of the method used to ensure separation of authority.
5.031	YES	4	Has the State established appropriate minimum qualifications and experience requirements for airworthiness inspectors?	STD A19 App. 1, 4.1 GM Doc 9734 Part A, C3 Doc 9760 Part II, 4.5.1, 4.5.3, 4.5.4 & 4.5.5.1	4.501	Describe the minimum qualifications and experience requirements for employment eligibility as a CAA airworthiness inspector. Where are airworthiness inspector employment qualifications published and how are they disseminated? Do CAA airworthiness inspectors possess technical and supervisory experience obtained in the aviation industry or in military service? Describe what aircraft maintenance engineer, mechanic, or technician, licenses and ratings are required for employment as a CAA airworthiness inspector.	5.031	Has the CAA established appropriate minimum qualifications and experience requirements for airworthiness inspectors?	Verify that criteria include: 1) relevant knowledge, background and appropriate experience related to aircraft continuing airworthiness management; 2) aeronautical licences, certificates or academic degrees commensurate with their job responsibilities; and 3) operational and technical work experience compatible with the activities they are required to certify or inspect. 4) technical and supervisory experience obtained in the aviation industry or in military service

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									Where are airworthiness inspector employment qualifications published and how are they disseminated?
5.032	YES	4	Does the State ensure that the established minimum qualification and experience requirements are met by all airworthiness inspectors?	STD A19 App. 1, 4.1 GM Doc 9734 Part A, C3 Doc 9760 Part II, 4.5.1, 4.5.3 & 4.5.4	3.203	Have written terms of reference establishing qualifications, roles, and responsibilities been developed for technical staff? If yes, what are the policy and procedures for recruiting technical staff in compliance with the established qualifications?	5.032	Does the CAA ensure that the established minimum qualification and experience requirements are met by all airworthiness inspectors?	1) Verify the policy and procedures for recruiting airworthiness inspectors in compliance with the established qualifications 2) Sample recruitment files. 3) Cross-check with established requirements.
5.033	YES	3	Does the AID have sufficient human resources to carry out its functions and mandate?	STD A6 Part I, App. 5, 3.2 Part III, App. 1, 3.2 A19 App. 1, 3.1 RP A19 App. 1, 3.2 & 3.4 GM Doc 9734 Part A, C3 Doc 9760 Part II, 4.5.1	3.201	Does the CAA use a methodology to determine its inspector staffing requirements?	5.033	Does the CAA use a methodology to determine its inspector staffing requirements? Does the AID have sufficient human resources to carry out its functions and mandate?	Verify: 1) methodology established for determining staffing needs. 2) ability to attract new airworthiness inspectors as well as existing vacancies and level of turnover in the past years. 3) ability to carry out all safety oversight related tasks, including review and revision of regulations, training of technical staff, development of guidance material, issuance of certificates, approvals, and permits, conduct of surveillance and resolution of identified safety deficiencies.
5.035		3	Have airworthiness inspectors been issued credentials to facilitate access to aircraft and aviation facilities for the purpose of inspections?	STD A6 Part I, App. 5, 1 & 3.4 Part III, App. 1, 1 & 3.4 GM Doc 9734 Part A, C3 Doc 9760 Part II, 4.5.7	3.303 1.201 B)	3.303 Are inspectors issued credentials so they can independently accomplish their certification and surveillance duties? If yes, present a sample of the credential. Provide the specific reference to the relevant regulation, and any guidance material or practice used in reference to your response. If no, what form of identification do inspectors use to accomplish their certification and surveillance duties? 1,201 B) Does the civil aviation law or civil aviation regulations require the CAA to issue inspector credentials that authorizes inspectors to independently accomplish their certification and surveillance duties? Yes No If yes, provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.	5.035	Have airworthiness inspectors been issued credentials to facilitate access to aircraft, aviation facilities, documents, personnel and records for the purpose of inspections?	Review credentials to ensure: 1) Reference to empowering legislation. (Provide the specific reference to the relevant regulation, and any guidance material) 2) Method established to control currency of credential. 3) present a sample of the credential with Inspector's photo.

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5.037		4	If the AID delegates its duties to other CAA divisions, State bodies, Contracting States, regional organizations, private agencies or individuals, have requirements for competency been established?	GM Doc 8335, Pt I, 2.2.9, 5.3 Doc 9734, Part A, C3 Doc 9760, Part II, 1.1, 1.1.12, 3.2 (j) & (k), 4.1.6 & 4.7.3 j) & Pt III, 8.7.5.4	4.506 4.601 4.602 7.004	<p>4.506 Does the CAA utilize the services of other authorities or service providers in meeting its safety oversight responsibilities?</p> <p>If yes, describe how other authorities or service providers are empowered to act on behalf of the CAA.</p> <p>4.601 Does the CAA delegate any of its oversight responsibilities to qualified persons employed by a certificate (AOC, approved maintenance organization (AMO), approved training organization (ATO)) holder?</p> <p>If yes, describe the competency requirements and process utilized by the CAA to designate these persons (e.g., flight examiners that administer proficiency checks and issue type ratings, or designated airworthiness representatives).</p> <p>4.602 If the CAA delegates any of its oversight responsibilities to qualified persons employed by a certificate holder, what are the qualifications required for a position as a person designated by the CAA?</p> <p>7.004 Does the CAA delegate any of its oversight responsibilities to persons employed by a certificate holder?</p> <p>If yes, describe the policy and procedures that are in place to ensure their qualifications and to keep these delegated persons under supervisory and technical control.</p> <p>Provide the specific citation to the relevant regulation, documentation, and any guidance material or practice used in reference to your response.</p>	5.037	If the AID delegates its duties to other CAA divisions, State bodies, Contracting States, regional organizations, private agencies or individuals employed by a certificate holder, have requirements for competency been established?	<p>1) Review competency requirements for delegated entities.</p> <p>2) Review minimum qualifications and experience requirements for individuals receiving delegation.</p> <p>3) how other authorities or service providers are empowered to act on behalf of the CAA.</p>
5.039		3	If the AID delegates its duties to other CAA divisions, State bodies, Contracting States, regional organizations, private agencies or individuals, are the delegated tasks clearly defined?	GM Doc 9734 Part A, C3 Doc 9760 Part II, 4.1	3.003	<p>3.003 Does the CAA delegate any safety oversight functions to:</p> <p>Other CAA divisions Other State bodies Regional organisation Private agencies Designated persons</p> <p>If yes to any, what is the scope of the delegation and the relationship with the Airworthiness Inspection organization(s)?</p> <p>If yes to any, what agreements, controls, and procedures exist between the CAA and other entities?</p> <p>If yes to D) or E), how does the CAA designate or delegate responsibilities to these other entities?</p> <p>If yes to D) or E), how does the CAA provide surveillance and resolve safety concerns of these other entities?</p> <p>Provide the specific reference to the relevant regulation, and any guidance material or practice used in reference to your response</p>	5.039	If the AID delegates its duties to other CAA divisions, State bodies, Contracting States, regional organizations, private agencies or individuals employed by a certificate holder, are the delegated tasks clearly defined?	<p>1) Review documentation clearly defining the delegated tasks.</p> <p>2) Verify the legal mechanism for delegation.</p>

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		7	Not in ICAO Protocol	STD A6, Pt I, 4.2.1.8, App 5, para 7. GM Doc 8335, Pt. I, C2, C3, C4, C5, C6 Pt VI, C6 Doc 10059, C8	7,001	Describe the CAA's oversight of their surveillance system that has been implemented as it pertains to the following elements: Primary Aviation Legislation (STD A6, Pt I, 4.2.1.8, and App 5, 1; GM Doc 8335, Pt I, 4.2.1.8, and App 5, 1; Doc 9734, Pt A, 3.1) Specific Operating Regulations (STD A6, Pt I, 4.2.1.8, and App 5, 2.; GM Doc 8335, Pt I, C2, C3; Doc 9734, Pt A, C3.2) State Safety Oversight System And Functions (STD A6, Pt I, 4.2.1.8, and App 5, 3.) Qualified Technical Personnel (A6, Pt I, 4.2.1.8, and App 5, 4; Doc 9734, Pt A, C3.4) Technical Guidance, Tools And Provision of Safety-Critical Information (A6, Pt I, 4.2.1.8, and App 5, 5 Doc 9734, Pt A, C3.5) Certification Obligations (A6, Pt I, 4.2.1.8, and App 5, 6; Doc 9734, Pt A, C3.6.) Continued Surveillance Obligations (A6, Pt I, 4.2.1.8, and App 5, 7; Doc 9734, Pt A, C3.7) Resolution Of Safety Issues (A6, Pt I, 4.2.1.8, and App 5, 8; Doc 9734, Pt A, 3.8.) Provide the specific citation to the relevant regulation, documentation, and any guidance material or practice used in reference to your response.	5.040	Describe the CAA's oversight of their surveillance system that has been implemented as it pertains to the following elements: Primary Aviation Legislation (STD A6, Pt I, 4.2.1.8, and App 5, 1; GM Doc 8335, Pt I, 4.2.1.8, and App 5, 1; Doc 9734, Pt A, 3.1) Specific Operating Regulations (STD A6, Pt I, 4.2.1.8, and App 5, 2.; GM Doc 8335, Pt I, C2, C3; Doc 9734, Pt A, C3.2) State Safety Oversight System And Functions (STD A6, Pt I, 4.2.1.8, and App 5, 3.) Qualified Technical Personnel (A6, Pt I, 4.2.1.8, and App 5, 4; Doc 9734, Pt A, C3.4) Technical Guidance, Tools And Provision of Safety-Critical Information (A6, Pt I, 4.2.1.8, and App 5, 5 Doc 9734, Pt A, C3.5) Certification Obligations (A6, Pt I, 4.2.1.8, and App 5, 6; Doc 9734, Pt A, C3.6.) Continued Surveillance Obligations (A6, Pt I, 4.2.1.8, and App 5, 7; Doc 9734, Pt A, C3.7) Resolution Of Safety Issues (A6, Pt I, 4.2.1.8, and App 5, 8; Doc 9734, Pt A, 3.8.) Provide the specific citation to the relevant regulation, documentation, and any guidance material or practice used in reference to your response.	
		7	Not in ICAO Protocol	STD A6, Pt I, 4.2.1.8, App 5, para 7. Doc 8335, Pt I, 5.4.4; Pt IV, & Att	7,002	7.002 (A) Describe how the CAA's ongoing surveillance plan confirms that operators continue to meet the relevant requirements for initial certification and that each air operator is functioning satisfactorily. (B) Describe the methods implemented to conduct and document the following surveillance/inspections. station facility apron/ramp en-route base facility operator's manuals 5.013 Does the CAA's technical guidance provide inspectors with the ability to utilize standardized methods to perform TECHNICAL EVALUATIONS in accordance with Annex 6, Pt I, C4, 4.2.1 and Attachment E, 4	5.042	Describe how the CAA's ongoing surveillance plan confirms that operators continue to meet the relevant requirements for initial certification and that each air operator is functioning satisfactorily.	Describe the methods implemented to conduct and document the following surveillance/inspections. station facility apron/ramp en-route base facility operator's manuals
5.041		7	Does the AID conduct surveillance of tasks delegated to other CAA divisions, State bodies, Contracting States, regional organizations, private agencies or individuals?	STD A19, App. 1, 7 GM Doc 9734 Part A, C3 Doc 9760 Part II, 4.1 & 4.4	7.004 7.009	7.004 Does the CAA delegate any of its oversight responsibilities to persons employed by an holder? If yes, describe the policy and procedures that are in place to ensure their qualifications and to keep these delegated persons under supervisory and technical control. Provide the specific citation to the relevant regulation, documentation, and any guidance material or practice used in reference to your response. 7.009 Does the CAA implement its programme and procedures for the surveillance of designated persons, delegated personnel, or persons employed by a certificate holder while acting on behalf of the CAA? If yes, describe how the CAA provides oversight of the technical	5.041	Does the AID conduct surveillance of tasks delegated to other CAA divisions, State bodies, Contracting States, regional organizations, private agencies or individuals employed by a certificate holder?	1) Review mechanism, program and/or procedures for oversight. 2) Review evidence to confirm effective implementation. 3) Maintenance of competency.

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						and regulatory competency requirements of designated personnel			
5.043		8	If deficiencies or concerns are identified in the tasks delegated to other CAA divisions, State bodies, Contracting States, regional organizations, private agencies or individuals, does the AID have a process in place for their resolution?	STD A6 Part I, App. 5, 5.2 & 8 Part III, App. 1, 5.2 & 8 A19 App. 1, 8 GM Doc 9734 Part A, C3	8.007	(A) Has the CAA implemented its procedure if deficiencies are found during an inspection or renewal of the certificate of a designee, delegated persons, or persons employed by a certificate holder while acting on behalf of the CAA? (B) Is a designee, delegated persons, or persons employed by a certificate holder while acting on behalf of the CAA, required to correct deficiencies in a reasonable period of time? If yes to (A) and/or (B), provide the specific citation to the relevant regulation, documentation, and any guidance material or practice used in reference to your	5.043	If deficiencies or concerns are identified in the tasks delegated to other CAA divisions, State bodies, Contracting States, regional organizations, private agencies or individuals employed by a certificate holder, does the AID have implemented a written procedure for their resolution?	1) Review examples of corrective actions taken to resolve concerns related to delegated tasks. 2) Is a designee, delegated persons, or persons employed by a certificate holder while acting on behalf of the CAA, required to correct deficiencies in a reasonable period of time?
5,045		3	If no AED has been established, and the State approves/accepts airworthiness engineering data (modifications, repairs), how and to whom has the airworthiness engineering responsibility been assigned?	GM Doc 9760 Part II, 4.7.1.2, 4.7.2 k), 4.7.3 e) & f)	3.401 3.402 3.403	3.401 (A) Describe the State's involvement in aviation design or manufacturing activities. (B) Has an airworthiness engineering division (AED) within the CAA been established? If yes, describe how and to whom the airworthiness engineering responsibilities have been assigned within the AED. If no, describe how and to whom the airworthiness engineering responsibilities have been assigned or delegated without an AED. Provide the specific reference to the relevant regulation, and any guidance material or practice used in reference to your response. 3.402 Have airworthiness engineering responsibilities been delegated to? Other CAA divisions Other State bodies Regional organisations Private agencies Designated engineers If yes to any, what is the scope of the delegation for airworthiness engineering responsibilities? If yes to any, what controls and procedures exist between the CAA and other entities? If yes to D) or E), how does the CAA designate or delegate responsibilities to these other entities? If yes to D) or E), how does the CAA provide surveillance and resolve safety concerns of these other entities? Provide the specific reference to the relevant regulation, and any guidance material or practice used in reference to your response	5.045	If no AED has been established, and the State approves/accepts airworthiness engineering data (modifications, repairs), how and to whom has the airworthiness engineering responsibility been assigned/ delegated?	Review organization for capability to address engineering responsibilities, if required. This PQ is not linked to ORG PQ 2.011.

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5,047		4	Has the AID developed a formal training programme detailing the type of training to be provided to airworthiness inspectors?	STD A6 Part I, App. 5, 4 Part III, App. 1, 4 A19 App. 1, 4.1 GM Doc 9683 Part 1, C6 Doc 9734 Part A, C3 Doc 9760 Part II, 4.5.5 & 4.5.6 Doc 9824 5.7	4.502 4.503	4.502 Describe the formal training policy and programme for airworthiness inspectors, to include initial, OJT, specialized, and recurrent training. 4.503 Describe training received by airworthiness inspectors in the following areas, as applicable. Initial and recurrent inspector training Technical report writing Enforcement training Manufacturer's training Specialized training (e.g., non-destructive testing (NDT), composites, etc.) Human factors New technologies Accident investigation training Quality assurance Supervisory training Accident prevention training	5,047	Has the CAA developed a formal training programme detailing the type of training to be provided to airworthiness inspectors?	1) Review contents of training programme. 2) Confirm inclusion of initial, OJT, recurrent and specialized training, as applicable, with time periods to be provided. 3) Verify specialized training for: a) Air operator certification b) Reliability monitoring c) Non-destructive testing d) Avionics e) Human factors f) Specific operational approvals (i.e. EDTO, RVSM, CAT II/III, RNP) g) Aircraft type knowledge h) Ramp inspection methods. Also verify if the following has been included Enforcement training Manufacturer's training (type training) composites New technologies Accident investigation training Quality assurance Supervisory training Accident prevention training
		4	Not in ICAO Protocol	STD A6, Pt I, 4.2.1.8 & App 5, para 4 GM Doc 9734, Pt A, 3.4.2; Doc 8335, Pt I, 6.3; Doc 9760, Pt II, 4.5, 4.5.1.1, 4.5.5 & 4.5.6	4,001	Does the Civil Aviation Authority (CAA) operate a training center to satisfy its need for qualified and trained personnel? Yes No If yes, describe what training programmes are delivered. (Note: include location, courses, personnel trained, etc.)	5,048	Does the Civil Aviation Authority (CAA) operate a training center to satisfy its need for qualified and trained personnel?	describe what training programmes are delivered. (Note: include location, courses, personnel trained, etc.)
		4	Not in ICAO Protocol	STD A6, Pt I, 4.2.1.8 & App 5, para 4 GM Doc 9734, Pt A, 3.4.2; Doc 8335, Pt I, 6.3; Doc 9760, Pt II, 4.5, 4.5.1.1, 4.5.5	4,002	If the CAA does not have a training center, describe how and where training is provided to inspectors and technical personnel?	5,049	If the CAA does not have a training center, describe how and where training is provided to inspectors and technical personnel?	
		4	Not in ICAO Protocol	STD A6, Pt I, 4.2.1.8 & App 5, para 4 GM Doc 9734, Pt A, 3.4.2; Doc 8335, Pt I, 6.3; Doc 9760, Pt II, 4.5, 4.5.1.1, 4.5.5	4,003	Does the CAA authorize foreign training centers to provide approved training to its inspectors? Yes No	5,051	Does the CAA authorize foreign training centers to provide approved training to its inspectors?	describe how the CAA approves the training provided.

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5,051	YES	4	Is the training programme appropriately implemented for airworthiness inspectors?	STD A6 Part I, App. 5, 4 Part III, App. 1, 4 A19 App. 1, 4.1 GM Doc 9734 Part A, C3 Doc 9760 Part II, 4.5.5 & 4.5.6	Not in IASA Protocol		5,051	Is the training programme appropriately implemented for airworthiness inspectors?	1) Verify if periodic training plans detailing the types of training to be provided during established period have been developed by the AID. 2) Verify that the type and frequency of training provided (initial, recurrent, specialized and OJT) are sufficient for the technical staff to acquire/maintain the required level of knowledge, skills, competence and qualifications in accordance with their assigned duties and responsibilities. if applicable verify how the CAA ensures the proper deployment of the training in accordance with their training program when it is conducted by the CAA, national, regional, and foreign institutes or schools, national or foreign airline operators
		4	Not in ICAO Protocol	STD A6, Pt I, 4.2.1.8 & App 5, para 4 GM Doc 9734, Pt A, 3.4.2; Doc 8335, Pt I, 6.3; Doc 9760, Pt II, 4.5, 4.5.1.1, 4.5.5	4,004	Has the CAA established a method for verifying the quality of training received by its inspectors and technical personnel in foreign training centers? Yes No If yes, describe how the CAA verifies the quality of the training provided	5,052	Has the CAA established a method for verifying the quality of training received by its inspectors and technical personnel in foreign training centers?	describe how the CAA verifies the quality of the training provided
		4	Not in ICAO Protocol	STD A6, Pt I, 4.2.1.8 & App 5, para 4. GM Doc 8335, Pt I, 6.3 Doc 9734, Pt A, 3.4.2; Doc 9760, Pt II, 4.5, 4.5.5 & 4.5.6	4,504	Describe the location(s) where the airworthiness inspectors receive training. (e.g., training conducted by the CAA, national, regional, and foreign institutes or schools, national or foreign airline operators).	5,053	Describe the location(s) where the airworthiness inspectors receive training. (e.g., training conducted by the CAA, national, regional, and foreign institutes or schools, national or foreign airline operators).	
5,055		4	Does the AID have a system for the maintenance of training records for its technical staff?	STD A19 App. 1, 4.2 GM Doc 9734 Part A, C3 Doc 9760 Part II, 4.5.6	4.505	Are records for airworthiness inspector training kept on file and are they available for review?	5,055	Does the AID have a system for the maintenance of training records for its technical staff?	1) Review instruction or requirement for the establishment and maintenance of training records. 2) Verify training records are systematically retained.

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5,101		5	Are the relevant ICAO documents and other technical and regulatory publications readily available to the technical and administrative staff of the AID?	GM Doc 9734 Part A, C3 Doc 9760 Part II, 4.9	5.001 5.002 5.005	5.001 Are current copies of ICAO Annexes 1, 6, and 8, and related ICAO guidance material documents available? Record revision dates for ICAO Annexes 1, 6, and 8, and related ICAO guidance material documents in comments section. 5.002 Are the applicable regulations and amendments readily available and up-to- date for use by inspectors and technical personnel of the CAA? If yes, describe the means by which inspectors and technical personnel have access to the regulations. 5.005 Does each inspector maintain or have access to a current copy of the national regulations? If yes, describe the means by which inspectors have access to the regulations.	5.101	Are the relevant ICAO documents and other technical and regulatory publications readily available to the technical and administrative staff of the AID?	Verify if relevant publications are readily available, such as: 1) Current copies of Annexes 6 (Parts I, II and III), 7, 8, 16 (Volumes I, II and III) and 19. 2) Current copies of ICAO guidance material (i.e. Doc 9734, Doc 9735, Doc 8335, Doc 9760, Doc 9859, Doc 10059, etc.). 3) describe the means by which inspectors have access to the regulations. Note to the auditor: Check for field/regional offices as well as Headquarters
5,105		5	Do airworthiness inspectors have access to up-to-date airworthiness data from the organization responsible for the type design and continuing airworthiness information to support the certificates/approvals issued for the aircraft on the State's register?	STD A8 Part II, 4.2.3 GM Doc 9760 Part II, 4.9	5.101 5.102	5.101 Is there an airworthiness technical library available for airworthiness engineering division (AED), and aircraft inspection division (AID) personnel that include copies of airworthiness directives (AD) service bulletins, etc., issued by the State of Design, State of Manufacturer, or by the airworthiness authority of any other State in which an AOC holder's aircraft is registered? If yes, describe how access to a library of appropriate and current technical information is available to the AED and AID personnel. 5.102 Does the CAA have access to airworthiness and operational data and documentation from the State of Design, State of Manufacture, and/or certification for aircraft on the registry such as, but not limited to: Aircraft flight manual Maintenance manual Structural repair manual Parts catalogue Service bulletins Master Minimum Equipment List (MMEL) Maintenance Review Board (MRB) report If yes, describe how access to a library of appropriate and current technical information is available to the AED and AID personnel	5.105	Do airworthiness inspectors have access to up-to-date airworthiness data from the organization responsible for the type design and continuing airworthiness information to support the certificates/approvals issued for the aircraft on the State's register?	Verify accessibility and currency of documents, such as: 1) Aircraft flight manual 2) Maintenance manual 3) Structural repair manual 4) Service bulletins 5) Master minimum equipment list (MMEL) 6) Maintenance review board (MRB) report 7) ADs Note to the auditor: Documents may be found in the technical library in hard/electronic copy or available via the Intranet/Internet. If access to documents is dependent on industry, airworthiness inspectors should at least have an index to confirm currency of documents.
		5	Not in ICAO Protocol	STD A6, Pt I, 4.2.1, 8.2, 8.2.3, 8.3, 9.3, App 5, 6. Att E,2,2.1 GM Doc 8335, Pt I, C5, Pt III, 3.2, Doc 9379, PT I, 3.2, Doc 9734, 3.6 Doc 9760,Pt II, 4.9.4, Pt IV, 1.2	5.015	5.015 Are current copies of the AOC/AMO/ATO certificate holder's approved/accepted manuals retained and/or available for the CAA, such as: A) Maintenance procedures manuals B) Maintenance control manuals C) Maintenance programme D) Operations manuals E) Training programmes F) Minimum equipment list	5,106	Are current copies of the AOC/AMO/ATO certificate holder's approved/accepted manuals retained and/or available for the CAA, such as: A) Maintenance procedures manuals B) Maintenance control manuals C) Maintenance programme D) Operations manuals E) Training programmes F) Minimum equipment list	

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5,121		2	Has the State promulgated regulations for the issuance of a certificate of registration?	CC Art. 19 STD A7 8 GM Doc 9760 Part III, 2.1	Not in IASA Protocol		5.121	Has the State promulgated regulations for the issuance of a certificate of registration?	1) Verify regulations. 2) Confirm that the State has defined, in its regulations on the use for the registration marks, that no combinations shall be used which might be confused with: a) the five-letter combinations used in the International Code of Signals, Part II, b) the three-letter combinations beginning with Q used in the Q Code, and c) the distress signal SOS, or other similar urgent signals, for example XXX, PAN and TTT. 3) Confirm that the regulations dictate the location, measurements and type of the nationality or common and registration marks to be used on heavier than air aircraft registered in the State.
		5	Not in ICAO Protocol	STD A6, Pt I, App 5 GM Doc 9379, Pt I, 2.9, Doc 8335 Pt I, 3.1.2.2, Doc 9734, 3.3, 3.6, Doc 9760, Pt II, 4.2 m)	5.003	5.003 Are the applicable regulations and amendments readily available and up-to- date for use by the public?	5,107	Are the applicable regulations and amendments readily available and up-to- date for use by the public?	describe the means by which the public has access to the regulations
		5	Not in ICAO Protocol	STD A6, Pt 1, 4.2.1.3, 4.2.1.6, 4.2.1.7: App 6, Att E GM Doc 8335, Pt. III	5.004	5.004 Describe a prospective commercial air transport operator's access to information regarding an application for an AOC.	5,108	Describe a prospective commercial air transport operator's access to information regarding an application for an AOC.	
		5	Not in ICAO Protocol	STD A6, Pt I, App 5 GM Doc 9379, Pt I, 2.9; Doc 9734, 3.3, 3.6; Doc 9760, Pt II, 4.9	5.006	5.006 Has the CAA developed and implemented technical guidance and procedures for use by its inspectors and technical personnel?	5,109	Has the CAA developed and implemented technical guidance and procedures for use by its inspectors and technical personnel?	describe the system of technical guidance and procedures implemented by the CAA
		5	Not in ICAO Protocol	STD A6, Pt I, App 5 GM Doc 9379, Pt I,2.9; Doc 9734, 3.3, 3.6; Doc 9760, Pt II, 4.9	5.007	5.007 Does the CAA have examples of orders, directives, and/or instructions it has issued in support of its inspector activities and available for review?	5,110	Does the CAA have examples of orders, directives, and/or instructions it has issued in support of its inspector activities and available for review?	provide provide reference location of orders, directives, and/or instructions it has issued.
		5	Not in ICAO Protocol	STD A6, Pt I, 4.2.1.8, App 5 GM Doc 8335, Pt. I, 3.2 Pt. III, 7.3; Doc 9734 Pt A, 3.9	5.008	5.008 Describe the CAA's legal methodology to refuse, withdraw, revoke, suspend or modify any operation authorised by the holder of an AOC, if it is necessary in the interest of safety to do so.	5,111	Describe the CAA's legal methodology to refuse, withdraw, revoke, suspend or modify any operation authorised by the holder of an AOC, if it is necessary in the interest of safety to do so.	

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		5	Not in ICAO Protocol	STD A6, Pt I, 4.2, 4.2.1.8, App 5 GM Doc 9379, Pt I, 2.9;Doc 9734, Pt A, 3.3, 3.6; Doc 9760, Pt II, 4.9	5.009	5.009 Does the inspector technical guidance contain policy, procedures, and standards for: A) certification B) licensing C) authorizations and approvals D) surveillance/inspections E) resolution of safety issues F) Designated/delegated personnel, or persons employed by a certificate holder	5,112	Does the inspector technical guidance contain policy, procedures, and standards for: A) certification B) licensing C) authorizations and approvals D) surveillance/inspections F) Designated/delegated personnel, or persons employed by a certificate holder 5,010 Does the inspectorate staff use a checklist when performing functions listed in the PQ above?	describe the specific technical guidance developed and implemented by the CAA. describe the specific functions for each checklist(s) developed and implemented
		5	Not in ICAO Protocol	STD A6, Pt I, 4.2.1.8, App 5 GM Doc 9379, Pt I, 2.9, Doc 9734, 3.3, 3.6, Doc 9760, Pt II, 4.9	5.010	5.010 Does the inspectorate staff use a checklist when performing functions listed in the PQ above?			
		5	Not in ICAO Protocol	STD A6, Pt I, 4.2, 4.7, 4.9, 5.4.1, 6.1.3, 7.2, 7.4, 8.2, 8.3, 8.7, 9.3 ,9.4, 10.1, 11.3 , 12.4 App 5, 6.8 Att E, 2,2.1 GM Doc 8335, Pt I, C5, Pt III, 3.2, Doc 9379, PT I, 3.2; Doc 9734, 3.6; Doc 9760, Pt II, 4.2, 4.7.1, 4.9, Pt IV, 1.2 Pt V, 2.9, 2.9.1	5.011 State Of Registry C), D)	5.011 Does the CAA's technical guidance provide inspectors with the ability to utilize standardized methods to perform APPROVAL ACTIONS in the following areas? State of Registry C) Maintenance quality assurance methodology (STD A6, Pt I, C8, 8.7.4.1) D) Mandatory maintenance tasks and intervals (STD A6, Pt I, C11, 11.3.2)	5,120	Does the CAA's technical guidance provide inspectors with the ability to utilize standardized methods to perform APPROVAL ACTIONS in the following areas? State of Registry A) Maintenance quality assurance methodology (STD A6, Pt I, C8, 8.7.4.1)	
5,125	YES	5	Have procedures been developed for the issuance of certificate of registration and for the maintenance of the aircraft register?	CC Art. 19 STD A7 7 & 8 GM Doc 9760 Part III, C2	Not in IASA Protocol		5.125	Have procedures been developed for the issuance of certificate of registration and for the maintenance of the aircraft register?	1) Verify procedures. 2) Verify that aircraft must be de-registered from previous State first. 3) Verify that procedures indicate that no combinations shall be used which might be confused with the five-letter combinations used in the International Code of Signals, Part II, the three-letter combinations beginning with Q used in the Q Code, and with the distress signal SOS, or other similar urgent signals, for example XXX, PAN and TTT.
		6	Not in ICAO Protocol	STD A6, Pt I, 4.2.1 GM Doc 8335,Pt I, 4.2.1	6.001	Does the State require commercial air operators to have an air operator certificate (AOC) issued by the State of the Operator?	5,126.	Does the State require commercial air operators to have an air operator certificate (AOC) issued by the State of the Operator?	
		6	Not in ICAO Protocol	CC Art 33 STD A6, Pt I, 4.2.2.1 GM Doc 8335,Pt VI, C2 thru C4	6.002	Does the CAA issue authorisation(s) (e.g., operations specifications, approvals, etc.) to foreign air operators that wish to operate into your State?	5,126-1	Does the CAA issue authorisation(s) (e.g., operations specifications, approvals, etc.) to foreign air operators that wish to operate into your State?	describe the system for authorising foreign operators to operate in the State

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		6	Not in ICAO Protocol	STD A6, Pt I, 4.2.1.8, App 5 GM Doc 8335, Pt I, 3.2(f); Doc 9734 Pt A, 3.8.3	6.003	(A) Does the CAA's refuse, withdraw, revoke, suspend or modify any operation authorised by the holder of an AOC, if it is necessary in the interest of safety to do so. (B) How often has this been accomplished?	5,126-2	Does the CAA's refuse, withdraw, revoke, suspend or modify any operation authorised by the holder of an AOC, if it is necessary in the interest of safety to do so. if so, How often has this been accomplished?	
		6	Not in ICAO Protocol	STD A6, Pt 1, 4.2.1.8, 4.2.1, App 5, GM Doc 8335, Pt III, C2, Att A & B, Doc 9760, Pt IV, 2.2	6.101	Describe the CAA's system of air operator certification, the issuance, and amendment of an AOC with associated operations specifications	5,126-3	Describe the CAA's system of air operator certification, the issuance, and amendment of an AOC with associated operations specifications	
		6	Not in ICAO Protocol	STD A6, Pt I, 4.2.1, 4.2.3, 4.2.8, 6.1.2, 6.1.3, 8.2, 8.3, 9.3, 9.3.1, 11.2, 11.3, 12.4 & 13.4.1, App 2, App 6 GM Doc 8335, Pt II, 2.2, 3.1.3 (c), 3.2.2, 3.2.4, 3.5, 3.2.8, 3.3, 4.3.5, 6.1.2, 6.3; Pt III,6.2; Pt V; Doc 9760, Pt III, 7.3, 7.8	6.102	Does the pre-application phase and the certification file include items such as a record of the pre-application meeting	5,126-4	Does the pre-application phase and the certification file include items such as a record of the pre-application meeting	
5,127	YES	6	Does the State maintain a current register showing for each aircraft registered the information recorded in the certificate of registration?	STD A7 7 & 8 GM Doc 9760 Part III, 2.4	Not in IASA Protocol		5.127	Does the State maintain a current register showing for each aircraft registered the information recorded in the certificate of registration?	1) Review register to confirm effective implementation of procedures. 2) Verify that the aircraft register is kept in a secure, fire-proof location or, if the register is kept electronically, that there are safeguards and backup means in place regarding protection of the electronic file. 3) Verify content by comparing with the certificate of registration shown in Figure 1 of Annex 7.
5,129		6	Is the certificate of registration, in wording and arrangement, a replica of the model shown in Annex 7?	STD A7 8 & Fig. 1 GM Doc 9760 Part III, 2.3.1	Not in IASA Protocol		5.129	Is the certificate of registration, in wording and arrangement, a replica of the model shown in Annex 7?	1) Review certificate of registration and verify certificate content, including both the wording and the arrangement. 2) If not issued in English, an English translation should be included
5,130		6	Does the State ensure that an aircraft carries an identification plate inscribed with at least its nationality or common mark and registration mark, made of fireproof metal or other fireproof material of suitable physical properties and secured to the aircraft in a prominent position near the main entrance?	STD A7 9.1 & 9.2	Not in IASA Protocol		5.130	Does the State ensure that an aircraft carries an identification plate inscribed with at least its nationality or common mark and registration mark, made of fireproof metal or other fireproof material of suitable physical properties and secured to the aircraft in a prominent position near the main entrance?	Review method, procedures and/or checklists to ensure effective implementation of the requirement

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5,143		2	If the State validates type certificates (TCs), have the associated regulations been promulgated?	STD A8 Part II, 1.4 GM Doc 9760 Part III, 4.3	2.101 D)	<p>Has the State established its own regulatory airworthiness requirements or has it adopted the airworthiness requirements of another State?</p> <p>What is the formal title of the airworthiness regulations? If the airworthiness regulations were adopted from another State, is compliance with the regulations required by legislation?</p> <p>What are the regulations specifying type certificates/related airworthiness codes from identified States of Design as the basis for acceptance?</p> <p>Does the State accept or validate type certificates (TCs) from contracting States of Design?</p> <p>Does the State ensure that when it first enters on its register, an aircraft of a particular type, for which it is not the State of Design, and issues or validates a certificate of airworthiness, it advises the State of Design that it has entered such an aircraft on its register?</p> <p>If yes, is there a technical review process and approval issued by a State, which is not the State of Design. Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.</p>	5.143	if the CAA accept or validate type certificates (TCs) from contracting States of Design, have the associated regulations been promulgated?	<p>1) Verify regulations.</p> <p>2) Validation implies a technical review and approval issued by a State, which is not the State of Design.</p> <p>Note. — If the State only accepts TCs issued by certain States of Design, this question is Not Applicable.</p>
5,145		5	Have procedures for the validation of type certificates been established?	STD A8 Part II, 1.4.2 GM Doc 9760 Part III, 4.3.6 & 4.3.7	5.103 B)	<p>If applicable, does the technical guidance for the CAA provide for the utilization of standardized methods to carry out the following duties?</p> <p>Approval of design organizations (STD A8, Pt II, 1.3.1, Note.)</p> <p>Issue/validation/acceptance of type certificates (CC Art 31, STD A8, Pt II, C1, GM Doc 9760, C2)</p> <p>Approval of production organisations (STD A8, Pt II, C2, GM 9760,Pt V,C4,)</p>	5.145	Have procedures for the validation of type certificates been established?	<p>Verify that procedures include:</p> <p>1) Review of the differences that exist between State's national airworthiness requirements and those of the State of Design, or on those requirements where the State of Registry retains exclusive approval authority under its certification system.</p> <p>2) At the completion of the type validation activity, confirm approval or acceptance of the type design by issuing own type certificate, or a letter of approval or acceptance.</p> <p>3) The certification basis by which the State of Registry grants its type design approval or acceptance should be clearly documented in the type certificate data sheet or in the approval letter</p>
5,147		6	Have the procedures for type certificate validation been implemented?	STD A8 Part II, 1.4.2 GM Doc 9760 Part III, 4.3.6 & 4.3.7	6.1801	<p>Is there a system for type certificate acceptance or validation?</p> <p>If yes, describe the system for accepting or validating type certificates.</p>	5.147	Have the procedures for type certificate validation been implemented?	Confirm effective implementation of procedures.
5,149		5	Has the AID developed procedures to ensure that aircraft type design is accepted prior to the issuance of the first certificate of airworthiness for an aircraft type?	STD A8 Part II, 3.2 GM Doc 9760 Part III, C4	Not in IASA Protocol		5.149	Has the AID developed procedures to ensure that aircraft type design is accepted prior to the issuance of the first certificate of airworthiness for an aircraft type?	<p>Acceptance of aircraft design by:</p> <p>1) Issuance of TC (see AIR protocols Part II: Design certification and production).</p> <p>2) Validation of TC issued by the State of Design.</p>

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									3) Acceptance of TC issued by State of Design.
5,151		6	Has the AID implemented the procedures to ensure that the aircraft type design is accepted prior to the issuance of the first certificate of airworthiness for an aircraft type?	STD A8 Part II, 3.2 GM Doc 9760 Part III, C4	Not in IASA Protocol		5.151	Has the AID implemented the procedures to ensure that the aircraft type design is accepted prior to the issuance of the first certificate of airworthiness for an aircraft type?	Review aircraft files to confirm effective implementation of procedures.
5,152		6	Does the State ensure that, when it first enters on its register an aircraft of a particular type for which it is not the State of Design and issues or validates a certificate of airworthiness, it advises the State of Design that it has entered such an aircraft on its register?	STD A8 Part II, 4.2.3 a) GM Doc 9760 Part II, 1.4.4 Part III, 1.2 g), 2.5.2, 9.2.2 a) & 9.3.1	2.101 E) 6.1802	2.101 Has the State established its own regulatory airworthiness requirements or has it adopted the airworthiness requirements of another State? E) Does the State ensure that when it first enters on its register, an aircraft of a particular type, for which it is not the State of Design, and issues or validates a certificate of airworthiness, it advises the State of Design that it has entered such an aircraft on its register? 6.1802) Is there a requirement when an aircraft first enters on its register an aircraft of a particular type for which it is not the State of Design and issues or validates a certificate of airworthiness, it notifies the State of Design that it has entered such an aircraft on its register? If yes, describe the process for notifying the State of Design for aircraft types first entered on the State's registry	5.152	Does the State ensure that, when it first enters on its register an aircraft of a particular type for which it is not the State of Design and issues or validates a certificate of airworthiness, it advises the State of Design that it has entered such an aircraft on its register? Describe the process for notifying the State of Design for aircraft types first entered on the State's registry.	Review examples of correspondence with the State of Design for aircraft types first entered on the State's registry
5,153		2	Has the State promulgated regulations for operations-derived equipment which are not part of the type certification of aircraft?	STD A6 Part I, C6 Part II, 2.4 & 3.6 Part III, Section II, C4 & Section III, C4	2.038 2.041 2.042 2.043 2.044 2.045 2.046	2.038 Describe the regulation that requires all turbine-engined aeroplanes be equipped with a flight data recorder (A6 Pt I, C6, 6.3.1) and cockpit voice recorder, or a cockpit audio recording system (A6 Pt I, C6, 6.3.2), as applicable to its maximum certificated take-off mass and application for type certification. 2.041 Describe the regulation that requires all aeroplanes conducting the following operations are equipped with applicable operations derived equipment for: flights over water flights over designated land areas high altitude flights 2.042 Describe the regulation that requires turbine or piston-engined aeroplanes be equipped with a ground proximity warning system (GPWS) as applicable to its maximum certificated take-off mass, passenger carrying, type certification, and/or its individual certificate of airworthiness basis. 2.043 Describe the regulation that requires an aircraft to be equipped with an emergency locator transmitter (ELT) as applicable to its passenger carrying, and/or its individual certificate of airworthiness basis. 2.044 Describe the regulation that requires the operator to operate aircraft (turbine-engine with maximum take-off weight in excess of 5,700 kg, or authorized to carry more than 19 passengers) equipped with an airborne collision avoidance system (ACAS II).	5.153	JR: Has the State promulgated regulations for operations-derived equipment which are not part of the type certification of aircraft?	Verify regulations for operations-derived equipment, as applicable: 1) FDR – Ref A6, Part I, 6.3 2) CVR - Ref A6, Part I, 6.3 3) VFR flights – Ref A6, Part I, 6.4 4) Over water operations – Ref A6, Part I, 6.5 5) Flight over designated land – Ref A6, Part 1, 6.6 6) High altitude flights - Ref A6, Part I, 6.7 & 6.12 7) Icing conditions - Ref A6, Part I, 6.8 8) GPWS - Ref A6, Part I, 6.15 9) ELT - Ref A6, Part I, 6.17 10) ACAS - Ref A6, Part I, 6.19 11) pressure-altitude reporting transponders as applicable to its individual certificate of airworthiness basis. A6 Pt I, 6.20 12) automatic landing systems, a HUD or equivalent displays, EVS, SVS or CVS, or any combination of those systems into a hybrid system A6 Pt I, 6.24

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						<p>2.045 Describe the regulation that requires all aeroplanes be equipped with a pressure-altitude reporting transponders as applicable to its individual certificate of airworthiness basis.</p> <p>2.046 Describe the regulation that requires aeroplanes are equipped with automatic landing systems, a HUD or equivalent displays, EVS, SVS or CVS, or any combination of those systems into a hybrid system, the use of such systems for the safe operation of an aeroplane.</p>			
5,154		5	Has the State developed procedures for the verification of operations-derived equipment which are not part of the type certification of aircraft?	<p>STD A6 Part I, C6 (it is inferred that the authority should develop procedures) Procedures for the inspections of the flight recorder systems are given in Appendix 8 Part II, 2.4 & 3.6 Part III, Section II, C4 & Section III, C4</p>	5.103 E)	<p>5.103 If applicable, does the technical guidance for the CAA provide for the utilization of standardized methods to carry out the following duties?</p> <p>E) Verification of operations derived equipment which are not part of the type certification of aircraft (STD A6, Pt I, C6, 6.1, 6.1.1)</p>	5.154	Has the State developed procedures for the verification of operations-derived equipment which are not part of the type certification of aircraft?	Verify procedures and/or checklists to assess compliance of operations-derived equipment, as applicable, including their installation, with the provisions of Annex 6.
5,155		6	Does the AID adhere to the developed procedures for the verification of operations-derived equipment which are not part of the type certification of aircraft?	<p>STD A6 Part I, C6 (it is inferred that the authority should develop procedures) Part II, 2.4 & 3.6 Part III, Section II, C4 & Section III, C4</p>	Not in IASA Protocol		5.155	Does the AID adhere to the developed procedures for the verification of operations-derived equipment which are not part of the type certification of aircraft?	Review examples of compliance checklists or other method to confirm effective implementation of procedures.
5,171	YES	2	Has the State promulgated a regulation for modifications and repairs to be approved and the regulations to be met for obtaining such an approval?	<p>STD A6 Part I, 8.6 Part II, 2.6.3 Part III, Section II, 6.6 & Section III, 6.4 A8 Part II, 1.3.5 GM Doc 9760 Part III, C8</p>	2.109	<p>Describe the regulation that requires the operator to have modifications and repairs on its aircraft performed in accordance with State of Registry acceptable airworthiness requirements, and the regulation that requires procedures to ensure that the substantiating data supporting compliance with the airworthiness requirements are retained.</p> <p>Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.</p>	5.171	Has the State promulgated a regulation for modifications and repairs to be approved and the regulations to be met for obtaining such an approval?	<p>Verify the regulations for the following:</p> <ol style="list-style-type: none"> 1) Applicant has comprehensive knowledge, experience and capabilities in the applicable technologies, such that in-depth analyses can be performed where required, as well as sufficient information on the type design of the aircraft involved. 2) Definition of major/minor modification/repair and different requirements for each. 3) Requires procedures to ensure that the substantiating data supporting compliance with the airworthiness requirements are retained. <p>Note. — In practice, States with limited or no engineering competence accept modifications or repairs. In this case, verify that the data are required to be agreed upon by the organization responsible for the type design/manufacture.</p>

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5,173	YES	5	As the State of Registry, has the State developed procedures for the approval of modifications and repairs?	STD A6 Part I, 8.6 Part II, 2.6.3 Part III, Section II, 6.6 & Section III, 6.4 A16 Vol. I, Part II, 1.3 GM Doc 9760 Part III, 8.6 & 8.7	5.103 D) 6,1804	5.103 If applicable, does the technical guidance for the CAA provide for the utilization of standardized methods to carry out the following duties? D) Approval of modifications and repairs (STD A6 Pt I, C8,8.6) 6.1804 Does the CAA issue a modification approval utilizing amendments or supplements to the type certificate? Yes No If yes, describe the procedures to issue a modification approval utilizing amendments or supplements for the type certificate.	5.173	As the State of Registry, has the State developed procedures for the approval of modifications and repairs?	Review procedures and verify: 1) Guidelines to determine if a modification requires an amendment to the type certificate or supplemental type certificate (STC). 2) Contact with the State of Design as part of the assessment of a repair or modification if necessary. 3) Consideration given to the compatibility between proposed design changes and other existing design changes. 4) Evaluation of impact to noise certification. 5) Evaluation of impact to mass and balance. Note. — For States with limited or no engineering competence, verify the procedure for acceptance. See note under AIR PQ 5.171
5,175	YES	6	Does the AID approve modifications and repairs in an effective and correct manner?	GM Doc 9760 Part III, 8.6 & 8.7	6.1803	6.1803 Is there a requirement for the approval of modifications and repairs? If yes, describe the system for the approval of modifications and repairs including records retention.	5.175	Does the AID approve modifications and repairs in an effective and correct manner?	1) Review examples of approved modifications and repairs to confirm that the approval was performed in a correct manner. 2) Confirm that detailed records of approved data are retained. Note.— For States with limited or no engineering competence, verify that acceptance is appropriately performed. See note under AIR PQ 5.171.
5,181		2	Do State regulations define whether the certificate of airworthiness will be renewed at set intervals or issued on a continuing basis?	STD A8 Part II, 3.2.3	6.2001	6.2001) Do CAA regulations require that a certificate of airworthiness be: renewed at set intervals? issued on a continuing basis? If yes to A) or B) above, describe the system for renewal at set intervals or issued on a continuing basis.	5.181	Do State regulations define whether the certificate of airworthiness will be renewed at set intervals or issued on a continuing basis?	Verify that the State has chosen one or the other; if issued on a continuing basis, a system for maintaining the validity of the certificate of airworthiness must be established. describe the system for renewal at set intervals or issued on a continuing basis.
5,183		5	Has the State developed procedures and checklists for the initial issuance/renewal of a certificate of airworthiness?	GM Doc 9760 Part III, C4	5.014 B) 6.1901	5.014 Does the authority's technical guidance provide inspectors with the ability to utilize standardized methods to perform their duties in the following areas? B) Issuance and renewal of certificate of airworthiness (COA) 6.1901 Does the CAA issue certificate of airworthiness (COA) for aircraft on its registry? Yes No If yes, describe the system used to issue and/or maintain the certificate of airworthiness as well as the code(s) of airworthiness adopted/used and special conditions for issue or validation of COA.	5.183	Has the State developed procedures and checklists for the initial issuance/renewal of a certificate of airworthiness?	Review procedures and verify that they include at least the following: 1) Application completed and submitted to the AID. 2) Design standards and airworthiness requirements under which the aircraft was type-certificated. 3) Review and retention of documents, such as: a) Type certificate data sheet or equivalent b) Flight manual or equivalent document c) Mass and balance report d) Approved maintenance programme e) MEL Note. — This may also be accomplished by a certification from an approved

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									organization that the aircraft is airworthy
5,185		5	Has the State developed procedures for the validation of a certificate of airworthiness?	GM Doc 9760 Part III, 4.7	6.1901	6.1901) Does the CAA issue certificate of airworthiness (COA) for aircraft on its registry? If yes, describe the system used to issue and/or maintain the certificate of airworthiness as well as the code(s) of airworthiness adopted/used and special conditions for issue or validation of COA .	5.185	Has the State developed procedures for the validation of a certificate of airworthiness?	Review procedures to verify if: 1) The State ensures that the certificate was issued in compliance with all aspects of the Chicago Convention and the provisions of the applicable Annexes. 2) The State provides a suitable statement of authorization to be carried with the original certificate. 3) The validity of the authorization shall not extend beyond the period of validity of the original certificate
5,187		6	Does the certificate of airworthiness issued by the State contain all the information required by Annex 8?	STD A8 Part II, 3.3.1, Fig. 1	Not in IASA Protocol		5.187	Does the certificate of airworthiness issued by the State contain all the information required by Annex 8?	Review certificate of airworthiness and verify inclusion of the following information: 1) State of Registry or issuing authority 2) Nationality and registration marks 3) Manufacturer and manufacturer's designation of aircraft 4) Aircraft serial number 5) Date of issuance 6) Signature of approving official 7) Expiration date or reference to statement that aircraft is being maintained under a system of continuous inspection 8) Issued in English or English translation included
5,189		6	Does the CAA keep records for every aircraft registered in the State?	GM Doc 9760 Part II, 4.9.5	6.1803 6,1901	6.1803) Is there a requirement for the approval of modifications and repairs? describe the system for the approval of modifications and repairs including records retention .	5.189	Does the CAA keep records for every aircraft registered in the State?	Review records to confirm that the following are available or retained in aircraft files: 1) records detailing applications and supporting documents for the certificates of registration and airworthiness; 2) copies of certificates issued; 3) the maintenance programme approved for the aircraft; 4) records of major modifications; and 5) other information relevant to the continuing airworthiness of the aircraft.

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5,201		2	Do State regulations require periodic mass and balance reports for all aircraft?	GM Doc 9760 Part III, 7.6	2,032 2.102 6.2002	2.102) Describe the regulations that require periodic (and current) mass and balance reports for all aircraft? Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response. 6.2002 Do CAA regulations require periodic mass and balance (weight and balance) reports for all aircraft, which require renewal of certificate of airworthiness? If yes, describe the process used to determine if the periodic mass and balance reports have been completed for all aircraft. 2.032 Describe the regulation that requires the operator to operate its aircraft within its mass limitations. Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.	5.201	Do State regulations require periodic mass and balance reports for all aircraft?	Verify regulations for inclusion of requirement and frequency. describe the process used to determine if the periodic mass and balance reports have been completed for all aircraft.
5,203		7	Does the AID verify that the mass and balance of the aircraft is checked periodically?	GM Doc 9760 Part III, 7.6.2	6.2002	6.2002) Do CAA regulations require periodic mass and balance (weight and balance) reports for all aircraft, which require renewal of certificate of airworthiness? If yes, describe the process used to determine if the periodic mass and balance reports have been completed for all aircraft.	5.203	Does the AID verify that the mass and balance of the aircraft is checked periodically?	1) Review mechanism established. 2) Review evidence to confirm effective implementation. describe the process used to determine if the periodic mass and balance reports have been completed for all aircraft.
5,204		2	Has the State promulgated regulations for air operators to maintain up-to-date and sufficient documentation concerning FDR parameter allocation, conversion equations, periodic calibration and other serviceability/maintenance information and ensure their availability to accident investigation authorities?	STD A6 Part I, 6.3; App. 8, 2.3.2	2.103	2.103) Describe the regulations that require air operators to maintain documentation concerning flight data (aircraft data) recording system parameter allocation, conversion equations, periodic calibration, and other serviceability/maintenance information. Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.	5.204	Has the State promulgated regulations for air operators to maintain up-to-date and sufficient documentation concerning FDR parameter allocation, conversion equations, periodic calibration and other serviceability/maintenance information and ensure their availability to accident investigation authorities?	Verify regulations.
5,205		7	Does the State ensure at regular intervals that its air operators maintain up-to-date and sufficient documentation concerning FDR parameter allocation, conversion equations, periodic calibration and other serviceability/maintenance information?	STD A6 Part I, 6.3 & 11.6; App. 8, 2.3.2	2.103	2.103) Describe the regulations that require air operators to maintain documentation concerning flight data (aircraft data) recording system parameter allocation, conversion equations, periodic calibration, and other serviceability/maintenance information. Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.	5.205	Does the State ensure at regular intervals that its air operators maintain up-to-date and sufficient documentation concerning FDR parameter allocation, conversion equations, periodic calibration and other serviceability/maintenance information?	1) Review surveillance programme. 2) Review inspectors procedures. 3) Sample inspection records. 4) Confirm that the documentation is sufficient to ensure that accident investigation authorities have the necessary information to read out the data in engineering units. 5) Verify during industry visit.
5,211		2	Has the State promulgated regulations for compliance with mandatory continuing airworthiness information from the State of Design?	STD A8 Part II, 4.2.3 d)	2.104	2.104) Describe the regulations that require the State, upon receipt of mandatory continuing airworthiness information from the State of Design, to adopt the mandatory information directly or assess the information received and take appropriate action. Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.	5.211	Has the State promulgated regulations for compliance with mandatory continuing airworthiness information from the State of Design?	Verify regulations for compliance requirements to ADs in the State: 1) Adopted directly. 2) CAA's letter/circular/document with reference to AD from State of Design. 3) Promulgation of a State AD.
5,215		5	Has the State established procedures for developing its own mandatory continuing airworthiness information on a product for which it is not the State of Design?	STD A8 Part II, 4.2.3 GM Doc 9760 Part III, 9.5	5.103 F)	5.103) If applicable, does the technical guidance for the CAA provide for the utilization of standardized methods to carry out the following duties? F) Developing its own mandatory continuing airworthiness information on a product for which it is not the State of Design (STD A8, Pt II, C4, 4.2.3 c; GM Doc 9760, Pt III, C9, Pt V, C6, 6.9)	5.215	Has the State established procedures for developing its own mandatory continuing airworthiness information on a product for which it is not the State of Design?	1) Guidelines for determining when additional information is necessary. 2) Coordination with the State of Design.

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5,216		8	Has the State established and implemented a system for appropriate actions upon receipt of mandatory continuing airworthiness information from the State of Design?	STD A8 Part II, 4.2.3 GM Doc 9760 Part III, 9.4 & 9.5	2.104	2.104) Describe the regulations that require the State, upon receipt of mandatory continuing airworthiness information from the State of Design, to adopt the mandatory information directly or assess the information received and take appropriate action. Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.	5.216	Has the State established and implemented a system for appropriate actions upon receipt of mandatory continuing airworthiness information from the State of Design?	1) Review system to ensure compliance with mandatory continuing airworthiness information received from the State of Design. 2) If additional mandatory continuing airworthiness information is issued or other action is taken, confirm necessary coordination with the State of Design.
5,217		8	In respect of aeroplanes over 5700 kg and helicopters over 3175 kg maximum certificated take-off mass, has the State established and implemented a system to ensure that information on faults, malfunctions, defects and other occurrences that cause or might cause adverse effect on the continuing airworthiness of the aircraft is transmitted to the organization responsible for the type design of the aircraft, engine or propeller, or to the organization responsible for the design of the modification, when applicable?	STD A8 Part II, 4.2.4.1 g) GM Doc 9760 Part III, 9.6 STD A6 Pt I, 8.5, 8.5.1, Att B; A8, Pt IIIA, 4.2, 4.2.3 (f), 4.2.4 GM Doc 9760, Pt III, 9.2.2, Pt IV, 1.2, 4.2.2.1	6.2702 6.2703 6,1505	6.2702) Has the CAA established a system whereby information on faults, malfunctions, and defects is transmitted to the organisation responsible for the design of the aircraft? Yes No If yes, describe the system used to transmit the information to the organisation responsible for the design of the aircraft. 6.2703) Has the CAA established a mandatory reporting system for the reporting of defects mentioned above? If yes, describe the system used to report mandatory information on defects 5.1505 Describe the system which requires operators of aeroplanes over 5,700 kg to monitor and assess maintenance and operational experience with respect to continuing airworthiness.	5.217	In respect of aeroplanes over 5700 kg and helicopters over 3175 kg maximum certificated take-off mass, has the State established and implemented a system to ensure that information on faults, malfunctions, defects and other occurrences that cause or might cause adverse effect on the continuing airworthiness of the aircraft is transmitted to the organization responsible for the type design of the aircraft, engine or propeller, or to the organization responsible for the design of the modification, when applicable?	1) Confirm that the established system includes the following: a) that the information shall be transmitted to the organization responsible for the type design of the aircraft; b) that whenever this information relates to an engine or propeller, such information shall be transmitted to both the organization responsible for engine or propeller type design and the organization responsible for aircraft type design; and c) that where a continuing airworthiness safety issue is associated with a modification, the information is transmitted to the organization responsible for the design of the modification. 2) Review evidence to confirm effective implementation. 3) Verify during industry visit. 4) Verify the system which requires operators of aeroplanes over 5,700 kg to monitor and assess maintenance and operational experience with respect to continuing airworthiness.
5,231		2	Do State regulations provide for the issuance of a special flight permit in the case that an aircraft is no longer airworthy but must be flown for repair?	STD A8 Part II, 3.6.3 GM Doc 9760 Part III, C5	2.105 6.2101	2.105) Describe the regulations that allow the issuance of Special Flight Approvals /Authorization/Permits to allow flights of aircraft no longer airworthy under specific conditions and/or limitations to permit the aircraft to fly a noncommercial air transport operation to an aerodrome at which it will be restored to an airworthy condition. Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response. 6.2101) Do CAA regulations provide for the circumstances under which the certificate of airworthiness shall not be in force and require that the aircraft shall not be flown during such time? Yes No If yes, describe the circumstances under which a certificate of airworthiness shall not be in force.	5.231	Do State regulations provide for the circumstances under which the certificate of airworthiness shall not be in force and require that the aircraft shall not be flown during such time? If yes, describe the circumstances under which a certificate of airworthiness shall not be in force. Do State regulations provide for the issuance of a special flight permit in the case that an aircraft is no longer airworthy but must be flown for repair?	Verify regulations.

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5,233		5	Has the State established procedures for the issuance of a special flight permit?	STD A8 Part II, 3.6.3 GM Doc 9760 Part III, C5	5.014 C)	5.014) Does the authority's technical guidance provide inspectors with the ability to utilize standardized methods to perform their duties in the following areas? C) Issuance of flight permits	5.233	Has the State established procedures for the issuance of a special flight permit?	Review procedures to determine if the following are included: 1) Confirm that the aircraft is capable of safe flight. 2) Limitations.
5,235		6	Do the special flight permits issued by the CAA contain all the pertinent information?	GM Doc 9760 Part III, 5.3	6.2102	6.2102) Does the CAA issue Special Flight Approvals /Authorizations/Permits? If yes, describe the process to authorize such flights.	5.235	Describe the process to authorize special flights (ferry flights) Do the special flight permits issued by the CAA contain all the pertinent information?	Verify process to authorize special flights is in compliance with Doc. 9760 Attachment A to Chapter 5. Review example of certificate or letter to be used for inclusion of: 1) Expiration date. 2) All essential limitations, such as non-commercial flight only, avoid areas where flights might create hazardous exposure to persons or property, etc. 3) Not valid for use in foreign airspace unless validated by the foreign CAA whose airspace will be over flown
5,241		2	If the State issues airworthiness approvals for the export of aeronautical products, have the associated requirements been promulgated?	GM Doc 9760 Part III, C6 Part V, C7	Not in IASA Protocol		5.241	If the State issues airworthiness approvals for the export of aeronautical products, have the associated requirements been promulgated?	Verify regulations addressing aeronautical products for which export approvals are issued: 1) Class I 2) Class II 3) Class III. Note. — This PQ and AIR PQs 5.243 and 5.245 are not applicable to States which choose not to issue these types of approvals.
5,243		5	If the State issues airworthiness approvals for the export of aeronautical products, have the related procedures been developed?	GM Doc 9760 Part III, C6 Part V, C7	5.103 G)	5.103) If applicable, does the technical guidance for the CAA provide for the utilization of standardized methods to carry out the following duties? G) Airworthiness approvals for the export or import of aeronautical products (STD A8, Pt II, 3.2.4, GM Doc 9760, Pt V, C7)	5.243	If the State issues airworthiness approvals for the export of aeronautical products, have the related procedures been developed?	Verify procedures include identification of additional special requirements or conditions from the CAA of the importing State.
5,245		6	If the State issues airworthiness approvals for the export of aeronautical products, does the export airworthiness approval issued include all the appropriate information?	GM Doc 9760 Part III, C6 Part V, C7	Not in IASA Protocol		5.245	If the State issues airworthiness approvals for the export of aeronautical products, does the export airworthiness approval issued include all the appropriate information?	Verify procedures include identification of additional special requirements or conditions from the CAA of the importing State.
5,251		5	Has the State developed industry guidelines for the reporting of unapproved parts to type certificate holders and regulatory agencies?	GM Doc 9760 Part III, 9.10.6	Not in IASA Protocol		5.251	Has the State developed industry guidelines for the reporting of unapproved parts to type certificate holders and regulatory agencies?	1) Review guidelines. 2) Verify that the industry is made aware of the guidelines. 3) Verify that the guidelines are publicly available to the industry.
5,253		5	Has the State developed industry guidelines for the proper usage of parts removed from an aircraft no longer in service?	GM Doc 9760 Part III, 9.10.8 & 9.10.9	Not in IASA Protocol		5.253	Has the State developed industry guidelines for the proper usage of parts removed from an aircraft no longer in service?	1) Review guidelines. 2) The guidelines should include the removal of parts from unserviceable aircraft and aircraft involved in accidents. 3) Verify that the industry is made aware of the guidelines. 4) Verify that the guidelines are publicly available to the industry

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5,255		5	Has the State developed industry guidelines for the disposal of scrapped parts?	GM Doc 9760 Part III, 9.10.10	Not in IASA Protocol		5.255	Has the State developed industry guidelines for the disposal of scrapped parts?	1) Review guidelines. 2) Verify that the industry is made aware of the guidelines. 3) Verify that the guidelines are publicly available to the industry.
5,261		2	Do State regulations require that an air operator can only operate an aircraft, if it has been maintained and released to service by an AMO or by a person or organization in accordance with procedures that are authorized by the State of Registry of the aircraft?	STD A6 Part I, 8.1.2 & 8.8.2 Part II, 2.6.1.2, 2.6.4.2 & 3.8.1.1 Part III, Section II, 6.1.2 & 6.7.2 & Section III, 6.1.2 & 6.5.2 GM Doc 9760 Part III, 7.1.2, 7.1.3, 7.1.9, 7.7.1 & 10.1	2.107 A) 6.1201 6,1102	2.107) Describe the regulation that requires the operator to maintain their aircraft in accordance with procedures acceptable to the State of Registry to ensure the: A) maintenance and release to service is accomplished by an approved organization or when the State accepts an equivalent system, the individual is licensed in accordance with Annex 1 6.1201) Do CAA regulations require that an operator can only operate an aircraft if it has been maintained and released to service by an AMO? If no, what is the equivalent system established by the CAA? 6,1102 (A) Is there a system to ensure an AOC holder operates an aeroplane maintained and released to service by an Approved Maintenance Organisation (AMO), or under an equivalent system? (B) If under an equivalent system, is there a requirement for the person signing the maintenance release to be licensed in accordance with Annex 1	5.261	Do State regulations require that an air operator can only operate an aircraft, if it has been maintained and released to service by an AMO or by a person or organization (equivalent system) in accordance with procedures that are authorized by the State of Registry of the aircraft?	1) Verify regulations. 2) Confirm the inclusion that the AMO is either approved by the State of Registry or is approved by another Contracting State and accepted by the State of Registry. 3) When maintenance is not carried out by an AMO, the maintenance release shall be completed and signed by a person appropriately licensed in accordance with Annex 1.
5,263	YES	6	Is the AID involved in the process of evaluating an air operator for the issuance of an AOC, including the operations specifications issued in conjunction with the AOC?	STD A6 Part I, 4.2.1 Part III, Section II, 2.2.1 GM A6 Part I, Att. D, 2.4 Part III, Att. D, 2.4 Doc 9760 Part II, 4.7.1.2 c) & 4.7.3 h) Part IV, C2 A6, Pt I, 4.2, 4.7, 4.9, 5.4.1,6.1.3,7.2,7.4, 8.2, 8.3, 8.7, 9.3, 9.4,10.1,11.3,12.4 App 5, Att E,2,2.1 GM Doc 8335 Pt I, C5, Pt III, 3.2, Doc 9379, PT I, 3.2, Doc 9734, 3.6 Doc 9760, Pt II, 4.2, 4.9, Pt IV, 1.2	6.103 as applicable 6.104 as applicable 6.105 as applicable 5.013	6.103) Does the formal application phase and the certification file include items such as, but not limited to, the following: ... 6.104) Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: ... 6.105) Does the operational demonstration and inspection phase and certification file include items such as, but not limited to, the following: ... 5.013 Does the CAA's technical guidance provide inspectors with the ability to utilize standardized methods to perform TECHNICAL EVALUATIONS in accordance with Annex 6, Pt I, C4, 4.2.1 and Attachment E, 4?	5.263	Is the AID involved in the process of evaluating an air operator for the issuance of an AOC, including the operations specifications issued in conjunction with the AOC?	1) Review with aircraft operations and verify established coordination arrangements and related documentation. 2) Verify AID endorsement prior to AOC issuance to confirm implementation of procedures. 3) Check AIR documents as per the following link →

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		6	Not in ICAO Protocol	STD A6 Pt I, 4.2.1, 4.2.1.5 , 4.2.1.6, 4.2.1.8, App 6, Section 6. Att E, 2.3, 3.2, 4.2 GM Doc 8335, Pt III, C7; Doc 9760, Pt IV, 1.2(g), 2.6	6.106	Does the certification file include records such as, but not limited to, the following: 1. Final preparation for the issuance of an AOC (Doc 8335, Pt III, 7.1) 2. Issuance of an AOC and the associated operations specifications (Doc 8335, Pt III, 7.2) 3. Period of validity of an AOC and the associated operations specifications (Doc 8335, Pt III, 7.3) 4. Identification of individual aircraft by nationality and registration marks (Doc 8335, Pt III, 7.4) 5. Amendments to the AOC and the operations specifications (Doc 8335, Pt III, 7.5) 6. Renewal of the AOC (Doc 8335, Pt III, 7.6)	5,264.	Does the certification file include records such as, but not limited to, the following: 1. Final preparation for the issuance of an AOC (Doc 8335, Pt III, 7.1) 2. Issuance of an AOC and the associated operations specifications (Doc 8335, Pt III, 7.2) 3. Period of validity of an AOC and the associated operations specifications (Doc 8335, Pt III, 7.3) 4. Identification of individual aircraft by nationality and registration marks (Doc 8335, Pt III, 7.4) 5. Amendments to the AOC and the operations specifications (Doc 8335, Pt III, 7.5) 6. Renewal of the AOC (Doc 8335, Pt III, 7.6)	
5,265		6	Does the State verify that the air operator employs qualified personnel to ensure that all aircraft maintenance is carried out in accordance with the maintenance control manual?	STD A6 Part I, 8.1.4 Part III, Section II, 6.1.4 A19 App. 1, 6 GM Doc 9760 Part III, 7.1.1 b) Part IV, C2	6.103, 4)	6.103) Does the formal application phase and the certification file include items such as, but not limited to, the following: 4) Management structure and key staff members (For A/W -Doc 8335, Pt III, 3.1.3, 3.2.4) (Doc 8335, Pt II, 2.2, 3.1.2)	5.265	Does the State verify that the air operator employs qualified personnel to ensure that all aircraft maintenance is carried out in accordance with the maintenance control manual?	1) Review certification process/checklists. 2) Review evidence to confirm effective implementation.
5,267		6	Does the AID review maintenance arrangements/contracts?	STD A6 Part I, 11.2 a), 2,5 Part III, Section II, 9.2 a) A19 App. 1, 6 GM Doc 9760 Part III, 7.7, , 7.7.1, 7.7.2 Part IV, 2.3.2.5 & 2.4.7.7	6.1101 6.1103 6.2202	6.1101) Is there an established system (process) to ensure that a commercial air transport operator is not certified without demonstrating maintenance arrangements consistent with the nature and extent of the operations specified? If yes, describe the procedures established by the CAA. 6.1103) Is there a system to ensure maintenance arrangements are reviewed by the CAA? If yes, describe the procedures established by the CAA. 6.2202 Does the CAA authorise subcontracting of aircraft maintenance? If yes, describe the system used to authorise such activity including how the subcontracted maintenance is properly controlled.	5.267	Does the AID review maintenance arrangements/contracts? Describe the procedures established by the CAA.	1) Review process. 2) Review evidence to confirm effective implementation. 3) Verify during industry visit.
5,281		2	Has the State promulgated a regulation for air operators to submit a maintenance control manual for review and acceptance?	STD A6 Part I, 8.2 Part III, Section II, 6.2	6.1301	Do CAA regulations require that an air operator maintenance control manual be submitted to the CAA? If yes, describe what your process is for the technical evaluation and subsequent approval or the acceptance of a maintenance control manual	5.281	Has the State promulgated a regulation for air operators to submit a maintenance control manual for review and acceptance?	1) Verify regulations. 2) Verify the inclusion that: a) Maintenance control manual shall be acceptable to the State of Registry, particularly with regard to the maintenance control of aircraft which is registered in another State; and b) The design of the manual shall observe Human Factors principles. Note. — For European Union Member States, this is addressed by the requirement for the approval of a Continuing Airworthiness Management Exposition (CAME).

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
5,283		2	Has the State promulgated regulations for the content of a maintenance control manual?	STD A6 Part I, 8.2 & 11.2 Part III, Section II, 6.2 & 9.2 GM Doc 9683 Part 1, C6 Doc 9760 Part III, 7.2 STD A6 Pt I, 8.5, 8.5.2; A8, Pt II, 4.2 GM Doc 8335, Pt II, 2.4, Doc 9760, Pt IV, 9.4, 9.9	6.1301 6,1502 2,108	6.1301 Do CAA regulations require that an air operator maintenance control manual be submitted to the CAA? If yes, describe what your process is for the technical evaluation and subsequent approval or the acceptance of a maintenance control manual 6.1502 Describe the system which requires operators of aeroplanes over 5,700 kg to obtain and assess continuing airworthiness information from the type design organisation? 2.108 Describe the regulation that requires the operator of an aeroplane over 5,700 kg maximum certificated take-off mass to: A) monitor and assess maintenance and operational experience with respect to continuing airworthiness and provide and report the information as prescribed by the State of Registry, and B) obtain and assess continuing airworthiness information and recommendations available from the organization responsible for the type design. Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.	5.283	Has the State promulgated regulations for the content of a maintenance control manual? describe what your process is for the technical evaluation and subsequent approval or the acceptance of a maintenance control manual	Verify regulations for the content of the maintenance control manual: 1) Names and duties of persons employed. 2) Reference to maintenance programme. 3) Methods for completion and retention of records. 4) Procedures for implementing mandatory continuing airworthiness action.
		5	Not in ICAO Protocol	STD A6, Pt I, 4.2.1, 8.2, 8.3, 9.3, App 5, 6. Att E,2,2.1 GM Doc 8335 Pt I, C5, Pt III, 3.2, Doc 9379, PT II, 3.2, Doc 9734, 3.6 Doc 9760, Pt II, 4.2, 4.9, Pt IV, 1.2	5.014 A)	5.014 Does the authority's technical guidance provide inspectors with the ability to utilize standardized methods to perform their duties in the following areas? A) Issuance and renewal of air operator certificate (AOC)	5,270	Does the authority's technical guidance provide inspectors with the ability to utilize standardized methods to perform their duties in the following areas? Issuance and renewal of air operator certificate (AOC)	
5,285	YES	5	Has the State developed procedures for the review and acceptance of an operator's maintenance control manual?	STD A6 Part I, 11.2; App. 5, 5.1 Part III, Section II, 9.2; App. 1, 5.1 A19 App. 1, 5.1 GM Doc 9760 Part III, 7.2 A6, Pt I, 4.2, 4.7, 4.9, 5.4.1,6.1.3,7.2,7.4, 8.2, 8.3, 8.7, 9.3, 9.4,10.1,11.3,12.4 App 5, Att E,2,2.1 GM Doc 8335 Pt I, C5, Pt III, 3.2, Doc 9379, PT I, 3.2, Doc 9734, 3.6 Doc 9760, Pt II, 4.2, 4.9, Pt IV, 1.2	5.014 D) 5,013	5.014) Does the authority's technical guidance provide inspectors with the ability to utilize standardized methods to perform their duties in the following areas? D) Review operator maintenance control manuals 5.013 Does the CAA's technical guidance provide inspectors with the ability to utilize standardized methods to perform TECHNICAL EVALUATIONS in accordance with Annex 6, Pt I, C4, 4.2.1 and Attachment E, 4?	5.285	Has the State developed procedures for the review and acceptance of an operator's maintenance control manual?	Review procedures for: 1) Inclusion of required contents. 2) Revision control. 3) Document control.
		6	Not in ICAO Protocol	STD A6 Pt I, 8.1.2 GM Doc 9760, Pt II, 1.1; Doc 8335, Pt III, C7	6.1202	How does the CAA ensure that the operator maintains control of its responsibilities with respect to the continuing airworthiness of the aircraft?	5,286.	How does the CAA ensure that the operator maintains control of its responsibilities with respect to the continuing airworthiness of the aircraft?	

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5,287	YES	6	Does the AID review and approve/accept the maintenance control manual as part of the AOC issuance process?	STD A6 Part I, 11.2 Part III, Section II, 9.2 A19 App. 1, 6 GM A6 Part I, Att. D Part III, Att. D Doc 9760 Part IV, 2.4.7.2 & 2.5.3	6.103, 1.9) 6.104, 13) 6.105 MC D&I 2)	6.103 Does the formal application phase and the certification file include items such as, but not limited to, the following: 9) Maintenance control manual 6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: 13) maintenance control manual 6.105 Does the operational demonstration and inspection phase and certification file include items such as, but not limited to, the following: Maintenance Control Demonstration and Inspection Phase 2) Maintenance control manual	5.287	Does the AID review and approve/accept the maintenance control manual as part of the AOC issuance process?	1) Review AOC issuance process. 2) Check, if up-to-date copy is kept by the AID. 3) Sample an AID approved/accepted maintenance control manual to confirm effective implementation of established requirements and procedures. 4) Does the Document Evaluation phase and certification file include the maintenance control manual? 5) Does the operational demonstration and inspection phase and certification file include the maintenance control manual?
5,301		2	Has the State promulgated regulations for maintenance programmes to be approved by the State of Registry and Human Factors principles to be observed in the design and application of maintenance programmes?	STD A6 Part I, 8.3.1 Part III, Section II, 6.3.1	2,107 2,110	2.107 Describe the regulation that requires the operator to maintain their aircraft in accordance with procedures acceptable to the State of Registry to ensure the: B) maintenance is carried out in accordance with the maintenance control manual and maintenance programme 2.110) Is there a regulatory requirement for the maintenance programme to be approved by: the State of the Operator the State of Registry If yes, describe the maintenance programme requirements for A) and B) above as applicable.	5.301	Has the State promulgated regulations for maintenance programmes to be approved by the State of Registry and Human Factors principles to be observed in the design and application of maintenance programmes?	1) Verify regulations. 2) Confirm the inclusion of leased aircraft that is registered in another State.
5,303		2	Has the State promulgated a regulation for the content of a maintenance programme?	STD A6 Part I, 11.3 Part II, 3.11.2 Part III, Section II, 9.3 GM Doc 9760 Part III, 7.3	6.1402	6.1402 Are the requirements for the content of the maintenance programme in accordance with ICAO provisions?	5.303	Has the State promulgated a regulation for the content of a maintenance programme?	Verify regulations include the following content requirements: 1) Maintenance tasks and intervals. 2) Continuing structural integrity programme, if applicable. 3) Certification maintenance requirements identified

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5,305	YES	5	Has the State developed procedures for the approval of maintenance programmes?	STD A6 Part I, 11.3; App. 5, 5.1 Part III, Section II, 9.3; App. 1, 5.1 A19 App. 1, 5.1 GM Doc 9760 Part III, 7.3 A6, Pt I, 4.2, 4.7, 4.9, 5.4.1,6.1.3,7.2,7.4, 8.2, 8.3, 8.7, 9.3, 9.4,10.1,11.3,12.4 App 5, Att E,2,2.1 GM Doc 8335 Pt I, C5, Pt III, 3.2, Doc 9379, PT I, 3.2, Doc 9734, 3.6 Doc 9760, Pt II, 4.2, 4.9, Pt IV, 1.2	5.011 SOR A) 5,013	5.011 Does the CAA's technical guidance provide inspectors with the ability to utilize standardized methods to perform APPROVAL ACTIONS in the following areas? A) Aircraft-specific maintenance programme D) Mandatory maintenance tasks and intervals (STD A6, Pt I, C11, 11.3.2) 5.013 Does the CAA's technical guidance provide inspectors with the ability to utilize standardized methods to perform TECHNICAL EVALUATIONS in accordance with Annex 6, Pt I, C4, 4.2.1 and Attachment E, 4	5.305	Has the State developed procedures for the approval of maintenance programmes?	Review procedures for approval: 1) Based on maintenance programme information made available by the State of Design or the organization responsible for the type design, and any additional applicable experience. 2) Document control.
5,307	YES	6	Does the AID review and approve maintenance programmes in accordance with established requirements and procedures?	STD A6 Part I, 11.3 Part III, Section II, 9.3 A19 App. 1, 6 GM A6 Part I, Att. D Part III, Att. D Doc 9760 Part IV, 2.4.7.3	6,103 6,104 6,105 6,1401	6.103 Does the formal application phase and the certification file include items such as, but not limited to, the following: 10) 6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: 14) 6.105 Does the operational demonstration and inspection phase and certification file include items such as, but not limited to, the following: MAINTENANCE CONTROL DEMONSTRATION AND INSPECTION PHASE (Annex 6, Part I, Attachment D) 5)"	5.307	Does the AID review and approve maintenance programmes in accordance with established requirements and procedures?	1) Verify if up-to-date copies kept by the AID. 2) Sample an AID approved maintenance programme to confirm effective implementation of established requirements and procedures. 3) Review an example of an escalation request. 4) does the state includes the maintenance programme verifications in all the phases of the certification process?
5,321		2	Has the State promulgated a regulation for operators to prepare a MEL on the basis of the MMEL for review and approval?	STD A6 Part I, 6.1.3 Part II, 3.6.1.1 Part III, Section II, 4.1.3 GM A6 Part I, Att. E Part II, Att. 3.B Part III, Att. C	2.034	2.034 Describe the regulation that requires the operator to include an minimum equipment list (MEL) (based on a master MEL), approved by the applicable State, in the operations manual. Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.	5.321	Has the State promulgated a regulation for operators to prepare a MEL on the basis of the MMEL for review and approval?	Verify regulations.

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5,323	YES	5	Has the CAA developed procedures for approving a MEL?	STD A6 Part I, 6.1.3; App. 5, 5.1 Part II, 3.6.1.1 Part III, Section II, 4.1.3; App. 1, 5.1 A19 App. 1, 5.1 GM A6 Part I, Att. E Part II, Att. 3.B Part III, Att. C Doc 9760 Part IV, 2.4.4 & 2.4.7.10 A6, Pt I, 4.2, 4.7, 4.9, 5.4.1,6.1.3,7.2,7.4, 8.2, 8.3, 8.7, 9.3, 9.4,10.1,11.3,12.4 App 5, Att E,2,2.1 GM Doc 8335 Pt I, C5, Pt III, 3.2, Doc 9379, PT I, 3.2, Doc 9734, 3.6 Doc 9760, Pt II, 4.2, 4.9, Pt IV, 1.2	5.011 SOO F) 5.013	5.011 Does the CAA's technical guidance provide inspectors with the ability to utilize standardized methods to perform APPROVAL ACTIONS in the following areas? State of Operator F) Aircraft-specific minimum equipment list (MEL) (STD A6, Pt I, C6, 6.1.3) 5.013 Does the CAA's technical guidance provide inspectors with the ability to utilize standardized methods to perform TECHNICAL EVALUATIONS in accordance with Annex 6, Pt I, C4, 4.2.1 and Attachment E, 4?	5.323	Has the CAA developed procedures for approving a MEL?	Review procedures to confirm inclusion of review and approval of airworthiness-related elements of a MEL.
		6	Not in ICAO Protocol	STD A6 Pt I, 8.5, 8.5.1, Att B; A8, Pt IIIA, 4.2, 4.2.3 (f), 4.2.4 GM Doc 9760, Pt III, 9.2.2, Pt IV, 1.2, 4.2.2.1	6.1501	Describe the system which requires operators of aeroplanes over 5,700 kg to monitor and assess maintenance and operational experience with respect to continuing airworthiness.	5,218.	Describe the system which requires operators of aeroplanes over 5,700 kg to monitor and assess maintenance and operational experience with respect to continuing airworthiness.	
5,324	YES	6	Does the AID review and approve/accept the airworthiness-related elements of a MEL?	STD A6 Part I, 6.1.3, Part III, Section II, 4.1.3 A19 App. 1, 6 GM A6 Part I, Att. E Part III, Att. C Doc 9760 Part IV, 2.4.4 & 2.4.7.10	6,103 6,104	6.103 Does the formal application phase and the certification file include items such as, but not limited to, the following: 7) Operations manual (A6, Pt I, 4.2.3, 4.2.8, 6.1.3, 9.3.1, 12.4 and 13.4.1, App 2). 6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: 10) list (MEL minimum equipment) (A6, Pt I, 6.1.3, Att E)	5.324	Does the AID review and approve/accept the airworthiness-related elements of a MEL?	1) Review examples to confirm effective implementation of the procedures. 2) Review evidence of coordination between flight operations and airworthiness. 3) does the state include the MEL verifications in all the phases of the certification process? Note to the auditor: Coordinate with OPS auditor.
5,325		2	Has the State promulgated airworthiness regulations for the approval of EDTO?	STD A6 Part I, 4.7 GM A6 Part I, Att. C Doc 9760 Part IV, C5 Doc 10085 C2 & C4	2.025 2.026 2.027	2.025 Describe the regulation that establishes requirements for operators with operations by aeroplanes with turbine engines beyond 60 minutes to an en-route alternate aerodrome including extended diversion time operations (EDTO/ETOPS). Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response. 2.026 Describe the regulation that establishes requirements for EDTO/ETOPS. Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response. 2.027 Describe the regulation that requires the operator to establish the following for operators conducting operations by aeroplanes with turbine engines beyond 60 minutes EDTO/ETOPS:	5.325	Has the State promulgated airworthiness regulations for the approval of EDTO?	Verify regulations for the following: 1) Airworthiness certification of the aircraft type specifically permits operations beyond the threshold time. 2) Maturity and reliability of the propulsion system. 3) Air operator must demonstrate the ability to maintain the level of reliability required for approval of EDTO. 4) Necessary special maintenance requirements included as part of the maintenance programme. Note to the auditor: There are no additional EDTO airworthiness or

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						Operational control and flight dispatch procedures Operating procedures Training programmes Reliability of the propulsion system Airworthiness certification for EDTO/ETOPS of the aeroplane type EDTO/ETOPS maintenance programme Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.			maintenance requirements for aeroplanes with more than two engines. EDTO may be referred to as ETOPS in some documents.
		5	Not in ICAO Protocol	STD A6, Pt I, 4.2, 4.7, 4.9, 5.4.1, 6.1.3, 7.2, 7.4, 8.2, 8.3, 8.7, 9.3, 9.4, 10.1, 11.3, 12.4 App 5, 6.8 Att E, 2,2.1 GM Doc 8335, Pt I, C5, Pt III, 3.2, Doc 9379, PT I, 3.2; Doc 9734, 3.6; Doc 9760, Pt II, 4.2, 4.7.1, 4.9, Pt IV, 1.2 Pt V, 2.9, 2.9.1 A6, Pt I, 4.2, 4.7, 4.9, 5.4.1, 6.1.3, 7.2, 7.4, 8.2, 8.3, 8.7, 9.3, 9.4, 10.1, 11.3, 12.4 App 5, Att E, 2,2.1 GM Doc 8335 Pt I, C5, Pt III, 3.2, Doc 9379, PT I, 3.2, Doc 9734, 3.6 Doc 9760, Pt II, 4.2, 4.9, Pt IV, 1.2	5.011 State Of Operator B), E), G), H) and O) 5.013	5.011 Does the CAA's technical guidance provide inspectors with the ability to utilize standardized methods to perform APPROVAL ACTIONS in the following areas? State of Operator B) Additional requirements for single pilot operations under the instrument flight rules (IFR) at night (STD A6, Pt I, C4, 4.9.1) E) Additional requirements for operations of single-engine turbine-powered aeroplanes at night and/or in instrument meteorological conditions (IMC) (STD A6, Pt I, C5, 5.4.1) G) Performance-based navigation (PBN) operations (STD A6, Pt I, C7, 7.2.2 b)) H) Minimum Navigation Performance Specifications (MNPS) operations (STD A6, Pt I, C7, 7.2.3 b)) O) Use of flight simulation training devices (STD A6, Pt I, C9, 9.3.1, Note 2 and 9.4.4, Note 1) 5.013 Does the CAA's technical guidance provide inspectors with the ability to utilize standardized methods to perform TECHNICAL EVALUATIONS in accordance with Annex 6, Pt I, C4, 4.2.1 and Attachment E, 4?	5,326	Does the CAA's technical guidance provide inspectors with the ability to utilize standardized methods to perform APPROVAL ACTIONS in the following areas? State of Operator - Additional requirements for single pilot operations under the instrument flight rules (IFR) at night (STD A6, Pt I, C4, 4.9.1) - Additional requirements for operations of single-engine turbine-powered aeroplanes at night and/or in instrument meteorological conditions (IMC) (STD A6, Pt I, C5, 5.4.1) - Performance-based navigation (PBN) operations (STD A6, Pt I, C7, 7.2.2 b)) - Minimum Navigation Performance Specifications (MNPS) operations (STD A6, Pt I, C7, 7.2.3 b)) - Use of flight simulation training devices (STD A6, Pt I, C9, 9.3.1, Note 2 and 9.4.4, Note 1)	
5,327	YES	5	Has the State established procedures for the approval/acceptance of airworthiness-related aspects of EDTO?	STD A6 Part I, App. 5, 5.1 A19 App. 1, 5.1 GM Doc 9760 Part IV, C5 Doc 10085 C2 & C4 A6, Pt I, 4.2, 4.7, 4.9, 5.4.1, 6.1.3, 7.2, 7.4, 8.2, 8.3, 8.7, 9.3, 9.4, 10.1, 11.3, 12.4 App 5, Att E, 2,2.1 GM Doc 8335 Pt I, C5, Pt III, 3.2, Doc 9379, PT I, 3.2, Doc 9734, 3.6 Doc 9760, Pt II, 4.2, 4.9, Pt IV, 1.2	5.011 SOO D) 5.103 H) 5.013	5.011 Does the CAA's technical guidance provide inspectors with the ability to utilize standardized methods to perform APPROVAL ACTIONS in the following areas? State of the Operator D) Specific extended range operations (ETOPS/EDTO) (STD A6, Pt I, C4, 4.7.1 & 4.7.2) 5.103 If applicable, does the technical guidance for the CAA provide for the utilization of standardized methods to carry out the following duties? H) Issuance of other approvals and authorizations contained in the operations specifications (e.g., RVSM, EDTO/ETOPS, RNP; AWO) (STD A6, C4, 4.2.1, & Att E, 2.5 5.013 Does the CAA's technical guidance provide inspectors with the ability to utilize standardized methods to perform TECHNICAL EVALUATIONS in accordance with Annex 6, Pt I, C4, 4.2.1 and Attachment E, 4?	5.327	Has the State established procedures for the approval/acceptance of airworthiness-related aspects of EDTO?	1) Review procedures to confirm that the items listed in PQ 5.325 are addressed. 2) Confirm that the following is addressed in an EDTO manual or maintenance control manual: a) Reference to maintenance programme, oil consumption programme and engine condition monitoring. b) Rectification of aircraft defects. c) Reliability programme. d) Propulsion system monitoring. e) Maintenance training. f) EDTO parts control. g) All EDTO requirements, including supportive programme procedures, duties and responsibilities, identified and subject to revision control. Note to the auditor: There are no additional EDTO airworthiness or maintenance requirements for aeroplanes with more than two engines. EDTO may be referred to as ETOPS in some documents.

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5,328	YES	6	Does the AID review and approve/accept airworthiness-related aspects of EDTO as part of the operations specifications?	STD A6 Part I, 4.7.1 GM Doc 9760 Part IV, 2.4.4 & C5 Doc 10085 C2 & C4	6,104 6,105 6,1601	6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: 28) special authorisations such as PBN, EDTO (ETOPS), MNPS, RVSM, CAT II & III (A6, Pt I 4.7, 7.2.2, 7.2.3, 7.2.4) 6.105 Does the operational demonstration and inspection phase and certification file include items such as, but not limited to, the following: FLIGHT OPERATIONS INSPECTION INCLUDING EVIDENCE OF DEMONSTRATION FLIGHTS (Annex 6, Part I, Attachment D) 6) Special authorisations such as EDTO (ETOPS), PBN, MNPS, Category II & III Landing Minima, NOPAC, etc. also require demonstration flights	5.328	Does the AID review and approve/accept airworthiness-related aspects of EDTO as part of the operations specifications? Does the operational demonstration and inspection phase and certification file include EDTO?	1) Review examples to confirm effective implementation of the procedures. 2) Review an example of an EDTO manual or maintenance control manual to confirm effective implementation of the items listed in PQ 5.327. 3) Review evidence of coordination between flight operations and airworthiness. Notes to the auditor: 1) There are no additional EDTO airworthiness or maintenance requirements for aeroplanes with more than two engines. EDTO may be referred to as ETOPS in some documents. 2) Coordinate with OPS auditor.
5,329		2	Has the State promulgated airworthiness regulations for RVSM approval?	STD A6 Part I, 7.2.6, 7.2.7 & 7.2.11 Part II, 2.5.2.7, 2.5.2.8 & 2.5.2.12 GM Doc 9574 C3	2.050 2.051	2.050 Describe the regulation that requires, prior to granting reduced vertical separation minimum (RVSM) approval, that the State be satisfied: A) that the vertical navigation performance capability of the aeroplane satisfies the requirements specified in Annex 6, Appendix 4; B) that the operator has instituted appropriate procedures in respect of continued airworthiness (maintenance and repair) practices and programmes; and C) that the operator has instituted appropriate flight crew procedures for operations in RVSM airspace. Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response 2.051 Describe the regulation that requires RVSM-approved operators to have procedures for: A) receiving reports of height-keeping performance issued by the monitoring agencies; B) taking immediate corrective action for individual aircraft, or aircraft type groups, identified in such reports as not complying with the height-keeping requirements for operation in airspace where RVSM is applied; C) ensuring that a minimum of two aeroplanes of each aircraft type grouping of the operator have their height-keeping performance monitored, at least once every two years or within intervals of 1,000 flight hours per aeroplane, whichever period is longer. If the operator aircraft type grouping consists of a single aeroplane, monitoring of that aeroplane shall be accomplished within the specified period; and D) ensuring that appropriate action will be taken in respect of aircraft and operators found to be operating in RVSM airspace without a valid RVSM approval. Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response	5.329	Has the State promulgated airworthiness regulations for RVSM approval?	Verify regulations for airworthiness approval, including continuing airworthiness. Verify the regulation that requires RVSM-approved operators to have procedures for: A) receiving reports of height-keeping performance issued by the monitoring agencies; B) taking immediate corrective action for individual aircraft, or aircraft type groups, identified in such reports as not complying with the height-keeping requirements for operation in airspace where RVSM is applied; C) ensuring that a minimum of two aeroplanes of each aircraft type grouping of the operator have their height-keeping performance monitored, at least once every two years or within intervals of 1,000 flight hours per aeroplane, whichever period is longer. If the operator aircraft type grouping consists of a single aeroplane, monitoring of that aeroplane shall be accomplished within the specified period; and D) ensuring that appropriate action will be taken in respect of aircraft and operators found to be operating in RVSM airspace without a valid RVSM approval.

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5,331	YES	5	Has the State developed airworthiness-related procedures for the authorization of operators to conduct operations in navigational areas requiring RVSM approval?	STD A6 Part I, 7.2.6, 7.2.7 & 7.2.11; App. 5, 5.1 Part II, 2.5.2.7, 2.5.2.8 & 2.5.2.12 A19 App. 1, 5.1 GM Doc 9574 C3 Doc 9760 Part IV, 2.4.4	5,011 SOO I) 5,103 H)	5.011 Does the CAA's technical guidance provide inspectors with the ability to utilize standardized methods to perform APPROVAL ACTIONS in the following areas? State of Operator I) Reduced Vertical Separation Minimum (RVSM) operations (STD A6, Pt I, C7, 7.2.4 b)) 5.103 If applicable, does the technical guidance for the CAA provide for the utilization of standardized methods to carry out the following duties? H) Issuance of other approvals and authorizations contained in the operations specifications (e.g., RVSM, EDTO/ETOPS, RNP; AWO) (STD A6, C4, 4.2.1, & Att E, 2.5	5.331	Has the State developed airworthiness-related procedures for the authorization of operators to conduct operations in navigational areas requiring RVSM approval?	Review procedures developed by the State to confirm that they provide sufficient guidance on the approval of operators/aircraft for RVSM operations.
5,333	YES	6	Does the AID carry out an evaluation of the airworthiness-related aspects for RVSM approval?	STD A6 Part I, 7.2.6, 7.2.7 & 7.2.11 Part II, 2.5.2.7, 2.5.2.8 & 2.5.2.12 A19 App. 1, 6 GM Doc 9574 C3 Doc 9760 Part IV, 2.4.4	6,104 6,105	6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: 28) special authorisations such as PBN, EDTO (ETOPS), MNPS, RVSM, CAT II & III (A6, Pt I 4.7, 7.2.2, 7.2.3, 7.2.4) 6.105 Does the operational demonstration and inspection phase and certification file include items such as, but not limited to, the following: FLIGHT OPERATIONS INSPECTION INCLUDING EVIDENCE OF DEMONSTRATION FLIGHTS (Annex 6, Part I, Attachment D) 6) Special authorisations such as EDTO (ETOPS), PBN, MNPS, Category II & III Landing Minima, NOPAC, etc. also require demonstration flights"	5.333	Does the AID carry out an evaluation of the airworthiness-related aspects for RVSM approval? Does the operational demonstration and inspection phase and certification file include RVSM?	Review procedures developed by the State to confirm that they provide sufficient guidance on the approval of operators/aircraft for RVSM operations.
5,334	YES	5	Has the State developed airworthiness-related procedures for the evaluation for the conduct of CAT II and III instrument approaches?	STD A6 Part I, 4.2.8.2 & 4.2.8.3 GM A6 Part I, Att. D, 2.4	5.103 H)	5.103 If applicable, does the technical guidance for the CAA provide for the utilization of standardized methods to carry out the following duties? H) Issuance of other approvals and authorizations contained in the operations specifications (e.g., RVSM, EDTO/ETOPS, RNP; AWO)	5.334	Has the State developed airworthiness-related procedures for the evaluation for the conduct of CAT II and III instrument approaches?	Review procedures to confirm inclusion of evaluation of the aircraft, equipment reliability and maintenance procedures.
		6	Not in ICAO Protocol	STD A6, Pt I, 4.2, 4.2.1.3, 4.2.1.8, 7.2, Att D, 2.2, 2.4 GM Doc 9574, C3; Doc 9613, Vol I, Pt A, 3.4, Att C; Doc 9760, Pt III, 7.3, 7.3.2, 7.3.2.3	6.1603	Are there operators authorised to conduct operations in navigation areas requiring specific approvals such as: Performance based navigation (PBN)? Minimum navigation performance specifications (MNPS)? Required navigation performance (RNP)?	5,236.	describe the system used to authorise the airworthiness aspects of approval(s) of PBN, MNPS, and RNP operations	
5,335	YES	6	Does the AID carry out an airworthiness evaluation for the conduct of CAT II and III instrument approaches?	STD A6 Part I, 4.2.8.2 & 4.2.8.3 GM A6 Part I, Att. D, 2.4	6,104 6,105 6.1602	6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: 28) special authorisations such as PBN, EDTO (ETOPS), MNPS, RVSM, CAT II & III (A6, Pt I 4.7, 7.2.2, 7.2.3, 7.2.4) 6.105 Does the operational demonstration and inspection phase and certification file include items such as, but not limited to, the following: FLIGHT OPERATIONS INSPECTION INCLUDING EVIDENCE OF DEMONSTRATION FLIGHTS (Annex 6, Part I, Attachment D) 6) Special authorisations such as EDTO (ETOPS), PBN, MNPS, Category II & III Landing Minima, NOPAC, etc. also require demonstration flights""	5.335	Does the AID carry out an airworthiness evaluation for the conduct of CAT II and III instrument approaches? and for thr conduct of precision approach and landing operations (All Weather Operations (AWO))? Does the operational demonstration and inspection phase and certification file include CAT II and III / AWO evaluation?	1) Review examples to confirm effective implementation of the procedures. 2) Review evidence of coordination between flight operations and airworthiness. 3) Describe the system used to authorise the conduct of precision approach and landing operations (CAT II AND III / AWO). 4) Describe the airworthiness inspection division's involvement in authorising precision approach and landing operations (CAT II AND III / AWO) Note to the auditor: Coordinate with OPS auditor.

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5,341		2	Has the State promulgated airworthiness regulations for the approval of leases among commercial air transport operators?	GM A6 Part I, Att. D, 2.5 Part III, Att. D, 2.5 Doc 8335 Part V	Not in IASA Protocol		5.341	Has the State promulgated airworthiness regulations for the approval of leases among commercial air transport operators?	Review regulations as they relate to airworthiness for the type of leases (dry, wet or damp).
		5	Not in ICAO Protocol	STD A6, Pt I, 4.2.1, 8.2, 8.3, 9.3, App 5, 6. Att E,2,2.1 GM Doc 8335 Pt I, C5, Pt III, 3.2, Doc 9379, PT II, 3.2, Doc 9734, 3.6 Doc 9760, Pt II, 4.2, 4.9, Pt IV, 1.2	5.014 F, I)	5.014 Does the authority's technical guidance provide inspectors with the ability to utilize standardized methods to perform their duties in the following areas? F) Review operator audit procedures I) Conduct apron inspections	5.342-4	Does the authority's technical guidance provide inspectors with the ability to utilize standardized methods to perform their duties in the following areas? A) Review operator audit procedures B) Conduct apron inspections	
5,343	YES	5	Has the CAA developed procedures, as they relate to airworthiness, for the approval of leases among commercial air transport operators?	STD A6 Part I, App. 5, 5.1 Part III, App. 1, 5.1 A19 App. 1, 5.1 GM A6 Part I, Att. D, 2.5 Part III, Att. D, 2.5 Doc 8335 Part IV, C2, 2.4 Part V Doc 9760 Part IV, C6	5,014 J)	5.014 Does the authority's technical guidance provide inspectors with the ability to utilize standardized methods to perform their duties in the following areas? J) Approve lease, charter, and/or interchange agreements	5.343	Has the CAA developed procedures, as they relate to airworthiness, for the approval of leases, charter and/or interchange agreements among commercial air transport operators?	Review approval procedures as they relate to airworthiness for the type of leases (dry, wet or damp) to include the determination of the responsibility for the signing of the maintenance release and the airworthiness of the aircraft. Note to the auditor: Coordinate with OPS auditor.
5,345	YES	6	Prior to approving an aircraft lease, does the AID ensure that the signing of the maintenance release has been considered and that the lease clearly defines who is responsible for the airworthiness of the aircraft?	STD, A19 App. 1, 6 GM A6 Part I, Att. D, 2.5 Part III, Att. D, 2.5 Doc 8335 Part V Doc 9760 Part IV, C6	6,103 6,201 6,203	6.103 Does the formal application phase and the certification file include items such as, but not limited to, the following: 5) Documents of purchase, leases, contracts or letters of intent. (Doc 8335, 3.1.3(h), 3.2.8, 6.1.2 Pt V) 6.201 Has the CAA implemented the procedures for the approval of any aircraft lease, charter, or interchange arrangements for its air operators? 6.203 Does the airworthiness division ensure that the signing of the maintenance release has been considered and that the lease clearly defines who is responsible for the airworthiness of the aircraft when approving an aircraft lease?	5.345	Prior to approving an aircraft lease, does the AID ensure that the signing of the maintenance release has been considered and that the lease clearly defines who is responsible for the airworthiness of the aircraft?	Review evidence to confirm that the following responsibilities and authority is clearly identified and the evaluation of the airworthiness-related elements of the lease are documented: 1) the signing of the maintenance release; 2) ensuring AD compliance; and 3) completion of maintenance programme tasks. Verify the process to approve the lease, charter or interchange arrangements
5,347		5	If the State has entered into any agreement under the provisions of Article 83 bis of the Chicago Convention, has the State developed guidance and procedures for the transfer and acceptance of functions and duties according to an Article 83 bis agreement with another State, as far it concerns airworthiness?	CC Art. 83 bis GM A6 Part I, Att. D, 2.5.2 Part III, Att. D, 2.5.2 Doc 8335 Part V Doc 9760 Part IV, C6 Doc 10059	6,204	6.204 Has the State ratified Article 83bis? If Yes, does the State have active 83bis agreements in place?	5.347	If the State has entered into any agreement under the provisions of Article 83 bis of the Chicago Convention, has the State developed guidance and procedures for the transfer and acceptance of functions and duties according to an Article 83 bis agreement with another State, as far it concerns airworthiness?	1) Confirm procedures for evaluation of capability of State accepting oversight duties. 2) Review guidance for the recognition of certificates of airworthiness and radio station licences.

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		6	Not in ICAO Protocol	STD A6, Pt I, 8.1; A8, Pt II, 4.2.3 GM Doc 9734, Pt A, 2.3.4, Doc 9760, Pt. III, C7	6.1104	Describe how and to what extent the airworthiness inspection division ensures maintenance aspects of the certification process are met once the AOC has been issued	5,442.	Describe how and to what extent the airworthiness inspection division ensures maintenance aspects of the certification process are met once the AOC has been issued	
5,349		6	If the State has transferred airworthiness-related safety oversight responsibilities to other States under the provisions of Article 83 bis of the Chicago Convention, does the CAA evaluate the capability of the State accepting the oversight responsibilities with respect to the airworthiness functions?	CC Art. 83 bis STD A6 Part I, 6.1.5 Part II, 2.4.18 Part III, Section II, 4.1.5 & Section III, 4.13 GM A6 Part I, Att. D, 2.5.2 Part III, Att. D, 2.5.2 Doc 8335 Part V Doc 9760 Part IV, C6 Doc 10059	6.206	6.206 Does the State carry out an assessment of the capability of the State of the Operator accepting the transfer of responsibility under 83bis agreements to ensure that its actions are consistent with the approvals and acceptances of the State of Registry and that the air operator is in compliance with State of Registry requirements? If yes, describe the process to assess the parties to the 83bis agreement.	5.349	If the State has transferred airworthiness-related safety oversight responsibilities to other States under the provisions of Article 83 bis of the Chicago Convention, does the CAA evaluate the capability of the State accepting the oversight responsibilities with respect to the airworthiness functions? describe the process to assess the parties to the 83bis agreement.	1) Review evidence of effective implementation, if applicable. 2) Review the agreement to confirm clear allocation of duties and responsibilities. 3) Confirm that both the agreement summary and the Article 83 bis agreement have been transmitted to ICAO for registration. 4) Describe the regulatory basis and the technical guidance reference(s) established by the State to permit such arrangements including 83bis agreements Note to the auditor: Coordinate with OPS auditor.
5,371		2	Has the State promulgated regulations for obtaining a maintenance organization approval?	STD A8 Part II, C6 GM Doc 9760 Part III, C10	2.106	2.106 Describe the regulations that require a maintenance organization (AMO) certification and approval process. Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.	5.371	Has the State promulgated regulations for obtaining a maintenance organization approval?	Verify that regulations include requirements on: 1) Maintenance organization's procedures manual; 2) Safety management system; 3) Maintenance procedures and quality assurance system; 4) Facilities; 5) Personnel; 6) Completion and retention of records; and 7) Issue of maintenance release.
5,373	YES	5	Has the AID developed procedures for the approval of maintenance organizations?	GM Doc 9760 Part III, 10.5 A6, Pt I, 4.2, 4.7, 4.9, 5.4.1,6.1.3,7.2,7.4, 8.2, 8.3, 8.7, 9.3, 9.4,10.1,11.3,12.4 App 5, Att E,2,2.1 GM Doc 8335 Pt I, C5, Pt III, 3.2, Doc 9379, PT I, 3.2, Doc 9734, 3.6 Doc 9760, Pt II, 4.2, 4.9, Pt IV, 1.2	5.011 SOR B) 5,014 G) 5.013 6,2201	5.011 Does the CAA's technical guidance provide inspectors with the ability to utilize standardized methods to perform APPROVAL ACTIONS in the following areas? State of Registry: B) Approved maintenance organisation (AMO) (STD A6, Pt I, C8, 8.7.1.1) 5.014 Does the authority's technical guidance provide inspectors with the ability to utilize standardized methods to perform their duties in the following areas? G) Review approved maintenance organization (AMO) procedures manuals 6.2201 Is there a requirement for the certification of an AMO? what are the procedures for the certification of an AMO? How many certified AMOs are there? 5.013 Does the CAA's technical guidance provide inspectors with the ability to utilize standardized methods to perform TECHNICAL EVALUATIONS in accordance with Annex 6, Pt I, C4, 4.2.1 and Attachment E, 4	5.373	Has the AID developed procedures for the approval of maintenance organizations?	Review procedures to verify the inclusion of the following phases: 1) Pre-application; 2) Formal application; 3) Document evaluation; 4) Demonstration and inspection; and 5) Certification. How many certified AMOs are there?

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		7	Not in ICAO Protocol	STD A6, Pt. I, 4.2.1.8, App 5, para 7 GM Doc 8335 Pt I, C5; Pt IV, C2; Doc 9734, Pt A, 3.8	7,303	7.303 Does the CAA implement its procedure used for conducting continuing certification and surveillance of approved maintenance organizations (AMOs).	5,375	7.303 Does the CAA implement its procedure used for conducting continuing certification and surveillance of approved maintenance organizations (AMOs).	
5,377	YES	6	Has the AID issued AMO certificates in accordance with the promulgated regulations and established procedures?	STD A8 Part II, 6.1 & 6.2.3 GM Doc 9760 Part III, 10.3	Not in IASA Protocol		5.377	Has the AID issued AMO certificates in accordance with the promulgated regulations and established procedures?	1) Review file(s) for the issuance of an AMO certificate to confirm adherence to regulations/procedures. 2) Verify that the AMO certificate contains at least the following: a) the issuing authority and the name, title and signature of the person issuing the certificate; b) the maintenance organization's name and registered address; c) the maintenance organization approval reference number; d) the date of current issue; e) in the case of certificates of limited duration, the expiration date; f) the scope of approval; and g) the locations of the maintenance facilities, unless the information is included in a separate document referred to in the approval certificate. Note. — Approval certificates issued before 5 November 2020 shall be amended before 5 November 2022 to ensure compliance with the above, and shall contain at least the following: a) organization's name and location; b) date of issuance and period of validity; and c) terms of approval.
5,379		6	If the State accepts, in whole or in part, a maintenance organization approval issued by another Contracting State, has the AID implemented a documented process for the recognition of such approval and successive changes?	STD A8 Part II, 6.2.6 GM Doc 9760 Part III, 10.4	6,2203	6.2203 Does the CAA validate maintenance organisation approvals granted by other States? If yes, describe the system used to validate another State's approval.	5.379	If the State accepts, in whole or in part, a maintenance organization approval issued by another Contracting State, has the AID implemented a documented process for the recognition of such approval and successive changes?	1) Review the process established to verify the inclusion of: a) a determination that the requirements of the other State, under which the approval has been issued, are equivalent to its own requirements; and b) adequate liaison with the Contracting State that initially issued the maintenance organization approval. 2) Review evidence to confirm effective implementation.
5,391		2	Has the State promulgated a regulation for a maintenance organization's procedures manual to be submitted to the regulatory authority as part of the approval process for a maintenance organization?	STD A8 Part II, 6.3	6,2301	6.2301 Do CAA regulations require that a maintenance procedures manual (MPM) be submitted to the CAA? 0Yes 0No If yes, describe the process used to ensure all regulatory requirements are addressed in the MPM.	5.391	Has the State promulgated a regulation for a maintenance organization's procedures manual to be submitted to the regulatory authority as part of the approval process for a maintenance organization?	Verify regulations.

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5,393		2	Has the State promulgated regulations for the content of a maintenance organization's procedures manual in accordance with provisions of the Annexes and ICAO Documents?	STD A8 Part II, 6.3 GM Doc 9760 Part III, C10, Att. A	Not in IASA Protocol		5,393	Has the State promulgated regulations for the content of a maintenance organization's procedures manual in accordance with provisions of the Annexes and ICAO Documents?	Verify regulations addressing: 1) General description of work authorized, 2) Description of procedures and quality or inspection system, 3) General description of facilities, 4) Names and duties of persons required, 5) Description of the procedures used to establish the competence of maintenance personnel, 6) Description of the method used for the completion and retention of maintenance records, 7) Description of the procedures for preparing maintenance release and the circumstances under which the release is to be signed, 8) Personnel authorized to sign the maintenance release and the scope of their authorization, 9) Description, when applicable, of contracted activities, 10) Description, when applicable, of the additional procedures for complying with an operator's maintenance procedures and requirements, 11) Description of the procedures for complying with the information reporting requirements, 12) Description of the procedure for receiving, assessing, amending and distributing the airworthiness data from the type design organization, and 13) Description of the procedures for implementing changes affecting the approval of the maintenance organization.
5,395		5	Has the AID developed procedures for the review of the maintenance organization's procedures manual as part of the approval process for a maintenance organization?	STD A8 Part II, 6.3 GM Doc 9760 Part III, 10.6	6,2302	6.2302 Is the AMO MPM : A) Approved? B) Accepted? If yes to A) or B) above, describe the system to approve or accept the AMO MPM. 6.2301 Do CAA regulations require that a maintenance procedures manual (MPM) be submitted to the CAA? 0Yes 0No If yes, describe the process used to ensure all regulatory requirements are addressed in the MPM.	5,395	Has the AID developed procedures for the review of the maintenance organization's procedures manual as part of the approval process for a maintenance organization?	Review procedures for inclusion of: 1) Required contents 2) Revision control 3) Document control
5,397		6	Does the AID review and approve/accept the maintenance organization's procedures manual as part of the approval process for a maintenance organization?	GM Doc 9760 Part III, 10.6	6,2302	6.2302 Is the AMO MPM : A) Approved? B) Accepted? If yes to A) or B) above, describe the system to approve or accept the AMO MPM.	5,397	Does the AID review and approve/accept the maintenance organization's procedures manual as part of the approval process for a maintenance organization?	1) Sample an approved maintenance procedures manual to confirm effective implementation of established requirements and procedures. 2) Verify, if up-to-date copy is kept by the AID. 3) Verify during industry visit that AMO and AID are working to the same version of the maintenance procedures manual.

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5,415		6	Has the AID established and implemented procedures and a checklist to ensure that the AMO has proper storage facilities and appropriate working environment for the task to be performed?	STD A8 Part II, 6.5 GM Doc 9760 Part III, 10.9.1	6,2401	6.2401 Does the CAA ensure that the AMO has facilities and working environment appropriate for the task to be performed? If yes, describe the system used to ensure the AMO has facilities and a working environment appropriate for the task to be performed?	5,415	Has the AID established and implemented procedures and a checklist to ensure that the AMO has proper storage facilities and appropriate working environment for the task to be performed?	1) Review certification inspection documents to confirm that the following points were checked: a) Adequate lighting. b) Control of the environment. c) Instrument maintenance performed in a dust-free environment. d) Proper storage facilities for parts, tools and material. e) Security of the storage conditions. f) Storage which prevents deterioration of and damage to stored items. g) Adequately ventilated and environmentally controlled storage facilities. 2) Verify during industry visit.
5,417		6	Has the AID established and implemented procedures and a checklist to ensure that the AMO has the necessary technical data, equipment, tools and material?	STD A8 Part II, 6.5.2 GM Doc 9760 Part III, 10.9.2	Not in IASA Protocol		5,417	Has the AID established and implemented procedures and a checklist to ensure that the AMO has the necessary technical data, equipment, tools and material?	1) Review certification inspection documents for confirmation. 2) Verify during industry visit.
5,419		6	Has the AID established and implemented procedures and a checklist to verify that precision measurement test equipment and/or precision tools used at AMOs are properly calibrated?	GM Doc 9760 Part III, 10.9.2	Not in IASA Protocol		5,419	Has the AID established and implemented procedures and a checklist to verify that precision measurement test equipment and/or precision tools used at AMOs are properly calibrated?	1) Review certification inspection documents for confirmation. 2) Verify during industry visit.
5,423		6	Has the AID established and implemented a mechanism to ensure that AMOs employ trained and qualified personnel to ensure compliance with the requirements and good maintenance practices?	STD A8 Part II, 6.6 GM Doc 9760 Part III, 10.10.2	6,2501	6.2501 Does the CAA ensure that the AMO employs the necessary personnel? If yes, describe the system used by the CAA to ensure the AMO employs the necessary personnel.	5,423	Has the AID established and implemented a mechanism to ensure that AMOs employ trained and qualified personnel to ensure compliance with the requirements and good maintenance practices?	1) Review documents to confirm adherence. 2) Verify during industry visit. 3) describe the system used by the CAA to ensure the AMO employs the necessary personnel.
5,425		6	Has the AID established and implemented a mechanism to ensure that AMOs establish appropriate minimum qualifications for managers, certifying staff, auditors, mechanics and specialist technicians (i.e. NDT and welding)?	STD A8 Part II, 6.6 GM Doc 9760 Part III, 10.10.2	Not in IASA Protocol		5,425	Has the AID established and implemented a mechanism to ensure that AMOs establish appropriate minimum qualifications for managers, certifying staff, auditors, mechanics and specialist technicians (i.e. NDT and welding)?	1) Review documentation to ensure appropriate minimum qualifications are established. 2) Verify implementation during industry visit.
		2	Not in ICAO Protocol	STD A6, Pt I, 8.1.2, 8.4.1(f), 8.8.1 GM Doc 8335, Pt III, 5.3, 5.3.4.2(d)(4), 5.4.3.(e), Pt IV, Att 2 (A8)(e); Doc 9760, Pt III, 4.5.4, 4.6.2.4(g), 5.5.3, 7.9, 10.9	6.2601	Do CAA regulations give the requirements for a maintenance release, the circumstances under which a maintenance release shall be made, and the persons who are authorized to sign the release?	5,269	Do CAA regulations give the requirements for a maintenance release, the circumstances under which a maintenance release shall be made, and the persons who are authorized to sign the release?	describe the system used to ensure the maintenance release is accomplished in accordance with CAA regulations
5,429		6	Has the AID established and implemented a mechanism to ensure that AMO employees receive initial and recurrent training appropriate to their assigned tasks and responsibilities?	STD A8 Part II, 6.6 GM Doc 9760 Part III, 10.10.3	6,2502	6.2502 Are AMO training programmes: A) Approved? B) Accepted? If yes to A) or B) above, describe the system to approve or accept the AMO training	5,429	Has the AID established and implemented a mechanism to ensure that AMO employees receive initial and recurrent training appropriate to their assigned tasks and responsibilities?	1) Review training requirements established in AMO documentation including knowledge and skills related to human performance, where appropriate. 2) Review evidence to confirm effective implementation. 3) Verify during industry visit.

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5,441		5	Has the AID developed a formal surveillance policy/procedure to be used by airworthiness inspectors for conducting surveillance activities of AOC holders, foreign air operators and domestic and foreign AMOs?	<p>STD A6 Part I, 4.2.1.8 & 4.2.2.2; App. 5, 5.1 & 7 Part III, Section II, 2.2.1.8 & 2.2.2.2; App. 1, 5.1 & 7 A19 App. 1, 5.1 & 7 GM Doc 8335 Part I, 2.2.3 & 5.2 Part IV & Part VI Doc 9760 Part II, 2.2.1, 4.4 & 4.7.4 Part III, 1.2 r) & s) Part IV, 1.2 i), j) & k)</p> <p>STD A6, Pt I, 8.1; A8, Pt II, 4.2.3 GM Doc 9734, Pt A, 2.3.4, Doc 9760, Pt. III, C7</p> <p>CC Art 16 STD A6, Pt I, 4.2, 4.2.1.8, App 5, Att D, 2.5 GM Doc 8335, Pt V, VI, 1.1, Doc 9626, Doc 9734, 3.3.4.4; Doc 9760, Pt. IV, 1.2, a)</p>	5.016 6,1104 6,202	<p>5,016 Describe how the technical guidance provides for the operations and airworthiness inspectorate to conduct continuing surveillance of the operations conducted by AOC holders in accordance with their associated operations specifications.</p> <p>6,1104 Describe how and to what extent the airworthiness inspection division ensures maintenance aspects of the certification process are met once the AOC has been issued</p> <p>6,202 (A) Are aircraft registered in the State operated by foreign operators? (B) Are air operators of the State authorised to use foreign-registered aircraft? if yes Describe how such operations in (A) and/or (B) have CAA oversight</p>	5,441	Has the AID developed a formal surveillance policy/procedure to be used by airworthiness inspectors for conducting surveillance activities of AOC holders, foreign air operators and domestic and foreign AMOs?	<p>Review policy/procedure and check for inclusion of:</p> <ol style="list-style-type: none"> 1) Identification of surveillance activities (inspections, audits) to be carried out for AOC holders, foreign air operators, domestic and foreign AMOs, if any. 2) Guidelines for scheduling surveillance activities. 3) Inspection/audit process. 4) Standardized checklists <p>Describe how and to what extent the airworthiness inspection division ensures maintenance aspects of the certification process are met once the AOC has been issued</p>
5,443	YES	7	Is a formal surveillance programme implemented to verify that all AOC holders comply on a continuing basis with airworthiness-related national regulations, international standards, AOCs and corresponding operations specifications?	<p>STD A6 Part I, 4.2.1.8; App. 5, 7 Part III, Section II, 2.2.1.8; App. 1, 7 A19 App. 1, 7 GM Doc 8335 Part I, 2.2.3 & 5.2 Part IV Doc 9734 Part A, C3 Doc 9760 Part II, 2.2.1, 4.4 & 4.7.4 Part III, 1.2 r) & s) Part IV, 1.2 i), j) & k)</p>	7,201 7,003 7,005 7,006 7,007	<p>7.201 Is the planned surveillance programme implemented for conducting AOC-holder inspections by the CAA's airworthiness inspectorate? 0Yes 0No If yes, describe the planned surveillance programme and the frequency of inspections</p> <p>7.003 Does the CAA's implement its surveillance programme to monitor a AOC holder's financial condition, ownership, and economic condition. (e.g., watching for unfavorable trends).</p> <p>7.005 Does the CAA implement its documented policies and procedures for surveillance/inspections? describe the manner in which the policies and procedures have been implemented below. Provide the specific citation to the relevant regulation, documentation, and any guidance material or practice used in reference to your response.</p> <p>7.006 Does the CAA implement its procedures to conduct continuing surveillance inspections of the operations of AOC holders.</p> <p>7.007 Does the CAA perform surveillance/inspections of AOC holder's facilities which are located in a foreign State</p>	5,443	Is a formal surveillance programme implemented to verify that all AOC holders comply on a continuing basis with airworthiness-related national regulations, international standards, AOCs and corresponding operations specifications?	<ol style="list-style-type: none"> 1) Review surveillance programme for previous and current year (planned and completed). 2) Inclusion of random checks on all aspects of maintenance. 3) Confirm appropriate frequency of surveillance activities (may be based on proven safety indicators or results of previous activities, such as inspections/audits). 4) Sample inspection/audit records for AOC holders. 5) Does the CAA's implement its surveillance programme to monitor a AOC holder's financial condition, ownership, and economic condition. (e.g., watching for unfavorable trends). 6) Surveillance of AOC holders facilities located in foreign States.

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5,444	YES	7	Is a formal surveillance programme implemented to verify that all AMOs comply on a continuing basis with national regulations, international standards and AMO certificates?	STD A8 Part II, 6.2.4 A19 App. 1, 7 GM Doc 9734 Part A, C3 Doc 9760 Part II, 2.2.1, 4.4 & 4.7.4 Part III, 1.2 r) & s) Part IV, 1.2 i), j) & k)	7.101 7,301 7,302 7,303 7,304	7.101 Is the planned surveillance programme implemented for conducting AOC-holder inspections by the CAA's operations inspectorate? 7.301(A) Does the CAA's airworthiness inspection division carry out inspections of maintenance organisations on an ongoing basis? If yes, describe and/or reference the procedures involved, and answer (B). (B) Is a formal schedule established for conducting these inspections? If yes, describe and/or reference the procedures involved. 7.302 Is a planned surveillance programme established for conducting these inspections? 7.303 Does the CAA implement its procedure used for conducting continuing certification and surveillance of approved maintenance organizations (AMOs) . 7.304 (A) Does the CAA implement its planned inspections of AMO facilities located in a foreign State. (B) Describe the formal procedure used for these inspections and how frequently this oversight is accomplished	5,444	Is a formal surveillance programme implemented to verify that all AMOs comply on a continuing basis with national regulations, international standards and AMO certificates?	1) Review surveillance programme for previous and current year (planned and completed). 2) Inclusion of random checks on all aspects of maintenance. 3) Confirm appropriate frequency of surveillance activities (may be based on proven safety indicators or results of previous activities, such as inspections/audits). 4) Sample inspection/audit records for domestic and AMOs in foreign States, if any. 5) For AMOs in foreign States, if tasks have been delegated to foreign authorities, check for evidence that the State has received and evaluated inspection/audit records provided by foreign authorities.
5,445	YES	8	Has the AID implemented a documented process and/or a method to track identified deficiencies, to evaluate corrective actions presented by air operators and/or AMOs and to take appropriate actions, up to and including enforcement measures, to ensure the resolution of the identified deficiencies and safety issues in a timely manner?	STD A6 Part I, App. 5, 5.2 & 8 Part III, App. 1, 5.2 & 8 A19 App. 1, 8 GM Doc 8335 Part I, 5.2 Part IV & Part VI Doc 9734 Part A, C3 Doc 9760 Part II, 4.2 k), 4.4 & 4.7.4 Part III, 1.2 t) & u) Part IV, 1.2 l) CC Art. 12, STD A1, Att C, 1,1.4, A6, Pt I, 4.2.1.8, App 5,8, Att I,1,1.4, A8, Pt II, Att to Part II, 1,1.4 GM Doc 8335, Foreword, Pt I, 3.1, 3.1.2.2, 5.2, 5.2.1; Doc 9379, Pt I, 3.5, 10.4; Doc 9734, 3.2, 3.8,3.9; Doc 9760, Pt II, 2.1, 4.4	8,001 8,002 8,005 8,006 5,009 1,103	8.001(A) Has the CAA implemented its procedure if deficiencies are found during inspection of the Civil Aviation Authority (CAA) certificated air operators certificate (AOC) holder, approved maintenance organisation (AMO), or approved training organisation (ATO)? (B) Is the CAA-certificated AOC holder, AMO, or ATO required to correct deficiencies in a reasonable period of time? If yes to (A) and/or (B), provide the specific citation to the relevant regulation, documentation, and any guidance material or practice used in reference to your response. 8.002 Has the CAA implemented its procedure if CAA-certificated AOC holder, AMO, or ATO does not correct deficiencies in a reasonable period of time. Provide the specific citation to the relevant regulation, documentation, and any guidance material or practice used in reference to your response 8.005 (A) Has the CAA implemented its procedure if deficiencies are found during an inspection of a foreign air operator? Yes No Is a foreign air operator required to correct deficiencies in a reasonable period of time? Yes No Has the CAA implemented its procedures for notifying the State of the Operator and/or State of Registry if deficiencies are found? Yes No If yes to (A), (B), and/or (C), provide the specific citation to the relevant regulation, documentation, and any guidance material or practice used in reference to your response. 8.006 Describe what action has been taken by the CAA if a foreign air operator does not correct deficiencies in a reasonable period of time. 5.009 Does the inspector technical guidance contain policy, procedures, and standards for: E) resolution of safety issues 1.103 Provide an overview of enforcement action(s) taken during the last twelve months?	5,445	Has the AID implemented a documented process and/or a method to track identified deficiencies, to evaluate corrective actions presented by air operators and/or AMOs and to take appropriate actions, up to and including enforcement measures, to ensure the resolution of the identified deficiencies and safety issues in a timely manner?	1) Sample surveillance reports and correspondence with AOC holders, foreign air operators and domestic and foreign AMOs. 2) Review process/method to track identified deficiencies. 3) Confirm deficiencies rectified in a timely manner. 4) Review examples of actions taken, such as: a) fines, b) restriction/limitation of operations, and c) suspension/revocation of certificate. Is a foreign air operator required to correct deficiencies in a reasonable period of time? Has the CAA implemented its procedures for notifying the State of the Operator and/or State of Registry if deficiencies are found? If yes to (A), (B), and/or (C), provide the specific citation to the relevant regulation, documentation, and any guidance material or practice used in reference to your response.

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5,447		7	Does the surveillance programme include ramp inspections of aircraft operated by AOC holders and foreign air operators?	<p>STD A6 Part I, 4.2.1.8 & 4.2.2.2; App. 5, 7 Part III, Section II, 2.2.1.8 & 2.2.2.2; App. 1, 7 A19 App. 1, 7 GM Doc 8335 Part IV & Part VI Doc 9760 Part II, 4.7.4 Part IV, 1.2 k)</p> <p>A6, Pt I, 4.2, 4.7, 4.9, 5.4.1,6.1.3,7.2,7.4, 8.2, 8.3, 8.7, 9.3, 9.4,10.1,11.3,12.4 App 5, Att E,2,2.1 GM Doc 8335 Pt I, C5, Pt III, 3.2, Doc 9379, PT I, 3.2, Doc 9734, 3.6 Doc 9760, Pt II, 4.2, 4.9, Pt IV, 1.2</p>	7,008 5,013	<p>7.008 (A) Does the CAA implement its programme for the surveillance of operations by foreign operators in its territory? (B) Does the CAA have a process for contacting the State of the Operator when safety concerns are detected during ramp inspections of foreign aircraft?</p> <p>5.013 Does the CAA's technical guidance provide inspectors with the ability to utilize standardized methods to perform TECHNICAL EVALUATIONS in accordance with Annex 6, Pt I, C4, 4.2.1 and Attachment E, 4?</p>	5,447	<p>Does the surveillance programme include ramp inspections of aircraft operated by AOC holders and foreign air operators? Does the CAA have a process for contacting the State of the Operator when safety concerns are detected during ramp inspections of foreign aircraft?</p>	<p>1) Review ramp inspection programme for previous and current year (planned versus completed). 2) Confirm appropriate frequency. 3) Review evidence on policy on items to be checked during ramp inspections, such as: a) Flight deck - general (e.g. condition, emergency exit, equipment); b) Flight deck - documentation (e.g. manuals, checklists, route guide, MEL, documents to be carried on board, flight deck safety equipment); c) Cabin/Safety; d) Aircraft external condition, e.g. previous structural repairs, obvious damage, leakage (e.g. apparent corrosion); e) Cargo (condition of cargo compartment and containers, dangerous goods, safety of cargo on board); and f) General (additional remarks, refuelling, language for communication).</p> <p>provide provide reference location of the guidance material or practice used to perform technical evaluations in reference to your response</p>
		6	Not in ICAO Protocol	<p>STD A8, 4.2, Pt II, 4.2 GM Doc 9760, Pt. III, C9, Pt IV, 4.2, Pt V, 6.2, 6.5, 6.9</p>	6.2701	Has the CAA established a system for the exchange and use of continuing airworthiness information?	5,22	Has the CAA established a system for the exchange and use of continuing airworthiness information?	describe the system used to exchange and use of continuing airworthiness information.
5,448		6	Does the CAA keep records of all ramp inspections of aircraft carried out, accessible to and updated by the inspectors concerned?	Doc 8335 Part IV, Att.	Not in IASA Protocol		5,448	Does the CAA keep records of all ramp inspections of aircraft carried out, accessible to and updated by the inspectors concerned?	<p>1) Check records for ramp inspections or database. 2) Verify the scope of ramp inspections performed.</p>
5,449		8	If deficiencies are identified during the conduct of ramp inspections and indicate serious safety deficiencies/concerns, does the regulatory authority take appropriate action when necessary to preserve safety?	<p>STD A6 Part I, 4.2.1.8 & 4.2.2.2; App. 5, 5.2 & 8 Part III, Section II, 2.2.1.8 & 2.2.2.2; App. 1, 5.2 & 8 A19 App. 1, 8 GM Doc 8335 Part VI, 1.3.2</p>	Not in IASA Protocol		5,449	If deficiencies are identified during the conduct of ramp inspections and indicate serious safety deficiencies/concerns, does the regulatory authority take appropriate action when necessary to preserve safety?	<p>Verify: 1) procedures to guide inspectors on actions to be taken against air operators, including level of findings (minor, significant, major). 2) examples of actions taken. 3) feedback provided to air operators and the air operator's response/proposal regarding the rectification of deficiencies/concerns. 4) examples of correspondence with the State of Registry of the aircraft.</p>

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				Doc 9760 Part II, 4.7.4.3					
5,451		7	Does the AID conduct ongoing surveillance of reliability programmes?	GM Doc 9760 Part II, 4.7.4.4 d) Part III, 7.4 Part IV, C2 & C5	Not in IASA Protocol		5,451	Does the AID conduct ongoing surveillance of reliability programmes?	Verify 1) monitoring of reliability programmes. 2) EDTO monitoring. 3) Attendance by AID at air operator's periodic meetings.
5,453		8	Does the AID initiate a special evaluation or impose special operational restrictions if information obtained from reliability monitoring indicates a degraded level of safety?	GM Doc 9760 Part II, 4.7.4.4 d) Part IV, 5.4	Not in IASA Protocol		5,453	Does the AID initiate a special evaluation or impose special operational restrictions if information obtained from reliability monitoring indicates a degraded level of safety?	Review examples of actions taken. Note. — If surveillance of reliability programmes is not conducted, this PQ is automatically Not Satisfactory.
		1	Not in ICAO Protocol	CC Art. 12, STD A1, Att C, 1,1.4, A6, Pt I, 4.2.1.8, App 5,8, Att I,1,1.4, A8, Pt II, Att to Part II, 1,1.4 GM Doc 8335, Foreword, Pt I, 3.1, 3.1.2.2, 5.2, 5.2.1; Doc 9379, Pt I, 3.5, 10.4; Doc 9734, 3.2, 3.8,3.9; Doc 9760, Pt II, 2.1, 4.4	1,102	1.102 Who is responsible for the enforcement of national aviation regulations pertaining to: Airworthiness? Operations? Personnel licensing?	5,454	Who is responsible for enforcing national aviation regulations related to airworthiness?	
		2	Not in ICAO Protocol	STD A6 Pt I, 6.25	2,047	2.047 Describe the regulation that requires operational approval of Electronic Flight Bags (EFB). Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.	5,460	Describe the regulation that requires operational approval of Electronic Flight Bags (EFB).	Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.
		2	Not in ICAO Protocol	STD A6 Pt I, 7.2.1, 7.2.2	2,048	2.048 Describe the regulation that requires an aeroplane, on operations where a navigation specification for performance-based navigation (PBN) has been prescribed, to: A) be provided with navigation equipment which will enable it to operate in accordance with the prescribed navigation specification(s); and B) be authorized by the State of the Operator for such operations. Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.	5,686	Describe the regulation that requires an aeroplane, on operations where a navigation specification for performance-based navigation (PBN) has been prescribed, to: A) be provided with navigation equipment which will enable it to operate in accordance with the prescribed navigation specification(s); and B) be authorized by the State of the Operator for such operations.	Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.

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		2	Not in ICAO Protocol	STD A6 Pt I, 11.6	2,061	2.061 Describe the regulation that requires that in the event the aeroplane becomes involved in an accident or incident, the operator ensures the preservation of all related flight recorder records, and, if necessary, the associated flight recorders, and their retention in safe custody, pending their disposition as determined in accordance with Annex 13. Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.	5,690	Describe the regulation that requires that in the event the aeroplane becomes involved in an accident or incident, the operator ensures the preservation of all related flight recorder records, and, if necessary, the associated flight recorders, and their retention in safe custody, pending their disposition as determined in accordance with Annex 13.	Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.
		2	Not in ICAO Protocol	STD A6 Pt I, 8.5; A8, Pt II, 4.2.3 & 4.2.4	2,108	2.108 Describe the regulation that requires the operator of an aeroplane over 5,700 kg maximum certificated take-off mass to: A) monitor and assess maintenance and operational experience with respect to continuing airworthiness and provide and report the information as prescribed by the State of Registry, and B) obtain and assess continuing airworthiness information and recommendations available from the organization responsible for the type design. Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.	5,691	Describe the regulation that requires the operator of an aeroplane over 5,700 kg maximum certificated take-off mass to: A) monitor and assess maintenance and operational experience with respect to continuing airworthiness and provide and report the information as prescribed by the State of Registry, and B) obtain and assess continuing airworthiness information and recommendations available from the organization responsible for the type design.	Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.
		2	Not in ICAO Protocol	STD A6 Pt I, 5.1.2, 5.4, App 3, Att H	2,111	2.111 Describe the airworthiness regulations requiring additional requirements for operations of single-engine turbine-powered aeroplanes at night and/or in Instrument Meteorological Conditions (IMC). Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.	5,692	Describe the airworthiness regulations requiring additional requirements for operations of single-engine turbine-powered aeroplanes at night and/or in Instrument Meteorological Conditions (IMC).	Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.