PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA & EASA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standarized Question (SOS Protocol)	Guidance for Review of Evidence
4.001	Yes	2	Has the State promulgated specific operating regulations to transpose the provisions of Annex 6 (Parts I, II and III)?	Refference: CC Art. 12 STD A19, 3.2.2, Appendix 1 A6 Part I, 4.2.1.8, Appendix 5 GM Doc 8335 Part I, 2.2.1 & 3.4 Doc 9734 Part A, C2 & C3	2001(a)	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.

(B) What is the formal title of the regulations and when were they promulgated?

List all the aviation regulations related to personnel licensing, aircraft operations, and airworthiness in your response. | 4.001 | a) Has the State promulgated specific operating regulations to transpose the provisions of Annex 6 (Parts I, II and III)?

b) What is the formal title of the regulations related to aircraft operations and when was promulgated? | Verify that the latest amendments of aircraft operations regulations relate to the applicable title and date of the current amendments of Parts I, II and III of Annex 6. |
4.003		2	Has the State implemented procedures for amending its enabling aircraft operations regulations?	Refference: STD A19 3.2.2 GM Doc 8335, Part I C3, Par 3.1 Doc 9734 Part A, C3, 3.2	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.	4.003	Has the State implemented procedures for amending its enabling aircraft operations regulations based on ICAO Annex 6 ?	Verify: a) implementation of procedures for amending OPS regulations. b) timely amendment of regulations following receipt of corresponding amendment to Annex 6, Parts I, II, and III. c) action taken by the State after receipt of the last amendments to Annex 6, Parts I, II and III.
4.005	Yes	2	Has the State implemented procedures for identifying and notifying differences, if any, to ICAO?	Refference: CC Arts. 37 & 38 A6, Forward Ch5 GM Doc 9734 Part A, C3, 3.2.3.2 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.	4.005	Has the State implemented procedures for identifying and notifying differences of ICAO Annex 6, if any, to ICAO?	Verify documented evidence of the effective implementation.
4.015		1	Does the State have provisions in its legislation or regulations making it mandatory for any civil aircraft under its registry or operated by its air operators to comply with interception orders from other States?	Refference: CC Art. 3 bis c) & Art. 12 STD A2, 3.8.2 A6 Part I, App. 2, 2.1.32 Part III, App. 7, 2.1.26		No FAA question	4.015	Does the State have provisions in its legislation or regulations making it mandatory for any civil aircraft under its registry or operated by its air operators to comply with interception orders from other States?	Review legislation/regulations.

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4.017		1	Has the State established requirements regarding documents to be carried on board an aircraft in compliance with Article 29 of the Chicago Convention and Annex 6, Parts I, II, and III, as applicable?	Referrence: CC Art. 29, STD A6 Part I, 6.1.2, 6.13 & 11.4 Part II, Section 2, 2.4 & 3.6 Part III, Section II, 4.1 & 9.4 A16 Vol I, Part II, 1.4 GM Doc 9734 Part A, C3 EASA SAFA Ramp A4-A14 and A20, A21	2.033 2.036 2.037	2.033 Describe the regulation that requires the operator to carry a certified true copy of the air operator certificate (AOC) and a copy of the operations specifications relevant to the aeroplane type authorized. 2.036 Describe the regulation that requires aircraft to have the prescribed instruments, equipment and flight documents installed or carried, as appropriate, in aeroplanes according to the aeroplane used and to the circumstances under which the flight is to be conducted. 2.037 Describe the regulation that requires the operator to carry the following documents on the aircraft. - Operations manual - Performance data - Current and suitable charts	4017-1	Has the State established requirements regarding documents to be carried on board an aircraft in compliance with Article 29 of the Chicago Convention and Annex 6, Parts I, II, and III, as applicable?	Verify that the required documents to be carried on board include: a) Certificate of registration, b) Certificate of airworthiness, c) Crew members' licences, d) Journey log book, e) Aircraft radio station licences, f) Passenger manifest, g) Cargo manifest, h) Certified true copy of the AOC, i) Operations specifications, and j) Document attesting noise certification, k) Aircraft Operations Manual, (the normal, abnormal and emergency procedures relating to the operation of the aircraft, details of aircraft systems and Human Factors Principles and checklists), l) Minimum Equipment List,
New		2		A6 Part I, C4, 4.2.3, C5 and C6, 6.2.3 Part I, C6, 6.1 A8, C8, 8.1	2.036	2.036 Describe the regulation that requires aircraft to have the prescribed instruments, equipment and flight documents installed or carried, as appropriate, in aeroplanes according to the aeroplane used and to the circumstances under which the flight is to be conducted.	4017-2	Has the State established requirements regarding equipment to be installed onboard an aircraft in compliance with Annex 6, Parts I, II, and III, as applicable?	Provide the specific citation to the relevant statute, regulations and any guidance material used.
4.018		1	Does the State require that a journey log book be maintained in respect of every aircraft engaged in international navigation?	Referrence: CC Art. 34 STD A6 Part I, 11.4 Part III, Section II, 9.4 EASA SAFA Ramp A21		No FAA question	4.018	Does the State require that a journey log book be maintained in respect of every aircraft engaged in international navigation?	1) Review legislation/regulations to maintain a journey log book. 2) Review examples of journey log books.
4.021		3	Has the State established an organizational structure for aircraft operations, such as a directorate/department/division/section/office for the certification of commercial air transport operations?	Referrence: STD A6 Part I; App. 5, 3.1 Part III; App. 1, 3.1 GM Doc 8335 Part I, 5.1 Doc 9734 Part A, C3, 3.3	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.	4.021	Has the State Civil Aviation Authority (CAA) established an organizational structure and summarize the roles and responsibilities of aircraft operations, such as a directorate/department/division/section /office for the certification of commercial air transport operations and continued surveillance?	1) Confirm existing approved organizational structure for the CAA and aircraft operations directorate, including lines of responsibility. 2) Confirm the inclusion of Dangerous Goods. 3) Verify that an organizational structure has been: a) established with defined lines of responsibility; b) documented; and c) approved.

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4.023	Yes	6	Has the State implemented documented procedures for coordination with other relevant areas, including personnel licensing, airworthiness, legal, financial etc., on the air operator certification processes and surveillance activities?	Referrence: STD A6 Part I, 4.2.1.8 & App. 5, 1 Part III, Section II, 2.2.1.8 & App. 1, 5.1 GM A6 Part I, Att. D B, 2.4 Part III, Att. D C, 2.4 Doc 8335 Part I, 5.1 Doc 9734 Part A, C3, 3.3		No FAA question	4.023	Has the State implemented documented procedures for coordination with other relevant areas, including personnel licensing, airworthiness, legal, financial etc., on the air operator certification processes and surveillance activities?	1) Verify that the organizational structure identifies the authority responsible for the issuance of licences, certificates, approval, authorizations and surveillance. 2) Verify that the operations inspectors manual contains processes and procedures for coordination on all certification and surveillance activities involving: a) Operations; b) Airworthiness; c) Personnel licensing; and d) Other entities, as applicable. 3) Verify implementation.
4.025	Yes	3	Does the flight operations inspection organization have sufficient human resources to carry out its functions and mandate?	Referrence: STD A6 Part I; App. 5, 3.2 Part III; App. 1, 3.2 A19 App. 1, 3.1 GM Doc 8335 Part I, 5.3 Doc 9734 Part A, C3, 3.3.2.3	3.201	Does the CAA use a methodology to determine its inspector staffing requirements?	4.025	Does the flight operations inspection organization use a methodology to determine the sufficient human resources and staffing requirements to carry out its functions and mandate?	1) Review methodology established for determining staffing needs. 2) Review ability to attract new inspectors as well as existing vacancies and level of turnover in past years. 3) Review ability to carry out all safety oversight related tasks, including: a) reviewing and revising regulations, b) training technical staff, c) developing guidance material, d) issuing approvals, e) conducting surveillance, and f) resolving identified safety concerns. 4) Consider the resources that may be required for the area of Dangerous Goods.

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4.027		3	Are all the functions and responsibilities of the flight operations inspection organization clearly defined?	Referrence: STD A6 Part I; App. 5, 3.1 Part III; App. 1, 3.1 A19; App. 1, 3.1 GM Doc 8335 Part I, C5 & C6 Doc 9734 Part A, C3	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	4.027	Are all the functions, roles and responsibilities of the flight operations inspection organization clearly defined and described (documented) as they are structured in the CAA?	Review document detailing functions and responsibilities for inclusion of the following tasks: a) Certification process of air operators, b) Issuance of AOC and operations specifications, c) Issuance of specific approvals (EDTO, PBN authorization required (AR), RVSM, AWOP, EFB, and transport of dangerous goods by air), d) Development and/or revision of specific operating regulations, e) Certification of general aviation operations, and f) Supervision of commercial air operators and legal action/information regarding deficiencies.
4.031		3	Have job descriptions been developed for technical staff and key management personnel of the: 1) Flight operations inspection organization; and 2) Authority responsible for transport of dangerous goods by air?	Referrence: STD A6 Part I, 4.2 Part III, 2.2 GM Doc 9734 Part A, C3, 3.3.1.3	3	Have written terms of reference establishing qualifications, roles, and responsibilities been developed for technical staff?	4.031	Have job descriptions been developed establishing qualifications, roles, and responsibilities for technical staff and key management personnel of the: 1) Flight operations inspection organization; and 2) Authority responsible for transport of dangerous goods by air?	Verify that job descriptions have been developed for: a) Technical staff; b) Management personnel; and c) Dangerous goods personnel.
4.033	Yes	4	Has the flight operations inspection organization established appropriate minimum qualifications for: a) flight operations inspectors; b) other operations inspectors; and c) dangerous goods inspectors?	Referrence: STD A6 Part I; App. 5, 5.3, 4 Part III; App. 1, 5.3, 4 GM Doc 8335 Part I, 5.2.2, 5.3.1 & 6.2 Doc 9734 Part A, C3, 3.4 Doc 10070, 2.2.3, 2.2.5, 2.2.6	4.401	Describe the minimum qualifications and experience requirements for employment eligibility as a CAA operations inspector. Where are operations inspector employment qualifications published and how are they disseminated? Which of the following licences and ratings are required for employment as a CAA operations inspector: Airline transport pilot Commercial pilot Aircraft type rating Other ratings such as flight operations officer/dispatcher, navigator, etc.	4.033	A. Has the CAA established appropriate minimum qualifications for employment eligibility as the following operations inspectors: a) flight operations inspectors; b) other operations inspectors; and c) dangerous goods inspectors? B. Where are operations inspector employment qualifications published and how are they disseminated? C. Which licences and ratings are required for employment as a CAA operations inspector?	Verify that minimum qualifications include: a) specified number of years in air transport operations, b) to be at least as qualified as the personnel to be inspected or supervised, and c) experience compatible with the activities that they are authorized to certify or supervise.

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4.035		3	Have operations inspectors been issued credentials to facilitate their access to facilities, aircraft, and certification and licensing documentation when carrying out inspection and enforcement duties?	Refference: STD A6 Part I; App. 5.1, 3.4 Part III; App. 1, 1 & 3.4 GM Doc 9734 Part A, C3, 3.3.2.2	3.303	Are inspectors issued credentials so they can independently accomplish their certification and surveillance duties?	4.035	Have operations inspectors been issued credentials so they can independently accomplish and facilitate their access to facilities, aircraft, and certification and licensing documentation when carrying out inspection and enforcement duties?	Review credentials to ensure that they include the following: a) reference to empowering legislation, b) methods established to control currency of credentials, and c) inspector's photo.
4.039		4	If the flight operations inspection organization delegates its duties to other divisions, other State bodies, regional organizations, private agencies or individuals (e.g. designated examiners for flight and cabin crew checks), have requirements for competency been established?	Refference: STD A6 Part I, 4.2.1.8 Part III, 2.2.1.8 GM Doc 8335 Part I, C5, 2.2.9, 5.3.2, 5.3.3 & 5.3.4 Doc 9734 Part A, C3, 3.3.3	4.408	Does the CAA utilize the services of other authorities or service providers in meeting its safety oversight responsibilities? Yes No

If yes, describe how seconded CAA inspectors are adequately trained, qualified, and supervised in carrying out their duties. | 4.039 | If the flight operations inspection organization delegates its duties to other divisions, other State bodies, regional organizations, private agencies or individuals (e.g. designated examiners for flight and cabin crew checks), have requirements for competency been established? | Verify that a) Competency requirements have been established for each delegated authority. b) Appropriate minimum qualifications and experience requirements have been established for each delegated authority c) verify how seconded CAA inspectors are adequately trained, qualified, and supervised in carrying out their duties. |
| 4.041 | | 3 | If the flight operations inspection organization delegates its duties to other entities, i.e. CAA divisions, State bodies, Contracting States, regional organizations, private agencies or individuals (e.g. designated examiners for flight and cabin crew checks), are the delegated tasks clearly defined? | Refference: STD A6 Part I, 4.2.1.8 Part III, 2.2.1.8 GM Doc 8335 Part I, 5.3 Doc 9734 Part A, 3.3.3 Doc 9734 Part B, 3.3 | 3.003 | Does the CAA delegate any safety oversight functions to: Other CAA divisions   Yes No Other State bodies   Yes No Regional organisation   Yes No Private agencies   Yes No Designated persons   Yes No

If yes to any, what is the scope of the delegation and the relationship with the Personnel Licensing, Medical, Operations, and Airworthiness Inspection organization(s)? If yes to any, what agreements, 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 | 4.041 | If the flight operations inspection organization delegates its duties to other entities, i.e. CAA divisions, State bodies, Contracting States, regional organizations, private agencies or individuals (e.g. designated examiners for flight and cabin crew checks), are the delegated tasks clearly defined? | 1) Verify relevant regulation reference for delegation and any guidance material or practice used. 2) Verify that there is documentation that clearly defines delegated tasks (e.g. letter of agreement, letter of designation of examiners, etc.). 3) Verify legal basis of each delegation. 4) Verify surveillance procedures of the entities and how safety concerns of these other entities are resolved |

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4.043		3	If the flight operations inspection organization delegates any of its inspection or supervision responsibilities (such as competency checks, route checks, instrument ratings checks, conversion checks or upgrading checks) to designated inspectors and/or examiners of an AOC holder issued by the State, has it also established and implemented a delegation procedure?	Refference: STD A6 Part I, 4.2.1.8 Part III, 2.2.1.8 GM Doc 8335 Part I, 5.3.2, 5.3.3 & 5.3.4 Doc 9734 Part A, C3, 3.3.3	3.004	Does the CAA delegate any of its oversight responsibilities to qualified persons employed by a certificate holder? Yes No If yes, describe the scope and system to keep these delegated persons under supervisory and technical control? Provide the specific reference to the relevant regulation, and any guidance material or practice used in reference to your response.	4.043	If the flight operations inspection organization delegates any of its inspection or supervision responsibilities (such as competency checks, route checks, instrument ratings checks, conversion checks or upgrading checks) to designated inspectors and/or examiners of an AOC holder issued by the State, has it also established and implemented a delegation procedure?	Review Evidence: 1) Verify that a delegation procedure has been established and includes: a) Selection criteria; b) Examinations or tests; and c) Application process. 2) Review evidence to confirm effective implementation. 3) Review the scope and system to keep these delegated persons under supervisory and technical control
4.045		3	If the flight operations inspection organization delegates any of its inspection or supervision responsibilities (such as competency checks, route checks, instrument ratings checks, conversion checks or upgrading checks) to designated inspectors and/or examiners of an AOC holder issued by the State, has it also established and implemented procedures for renewal of approval for designated examiners?	Refference: STD A6 Part I, 4.2.1.3.1, 4.2.1.8 Part III, 2.2.1.3.1, 2.2.1.8 GM Doc 8335 Part I, 5.3.3 & 5.3.4 Doc 9379, C6	3.004	Does the CAA delegate any of its oversight responsibilities to qualified persons employed by a certificate holder? Yes No If yes, describe the scope and system to keep these delegated persons under supervisory and technical control? Provide the specific reference to the relevant regulation, and any guidance material or practice used in reference to your response.	4.045	If the flight operations inspection organization delegates any of its inspection or supervision responsibilities (such as competency checks, route checks, instrument ratings checks, conversion checks or upgrading checks) to designated inspectors and/or examiners of an AOC holder issued by the State, has it also established and implemented procedures for renewal of approval for designated examiners?	1) Verify that the approval specifies the duration of the designation. 2) Verify that conditions for renewal are established and specified (e.g. minimum activity, training, etc.). 3) Review evidence to verify effective implementation of the renewal procedures for the approval of designated examiners. 4) Verify specific regulation that allows for the delegation.
4.047		7	If the flight operations inspection organization delegates any of its inspection or supervision responsibilities (such as competency checks, route checks, instrument ratings checks, conversion checks or upgrading checks) to designated inspectors and/or examiners of an AOC holder issued by the State, has it also established and implemented a surveillance system?	Refference: STD A6 Part I, 4.2, 4.2.1.3.1, 4.2.1.8 Part III, 2.2, 2.2.1.3.1, 2.2.1.8 GM Doc 8335 Part I, 5.3.3 & 5.3.4 Part IV, 2.6 Doc 9379, C6	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? Yes No If yes, describe how the CAA provides oversight of the technical and regulatory competency requirements of designated personnel.	4.047	If flight operations inspection organization delegate any of its inspection or supervision responsibilities (such as competency checks, route checks, instrument ratings checks, conversion checks or upgrading checks) to designated inspectors and/or examiners of an AOC holder issued by the State, has it also established and implemented a programme and procedures for surveillance while acting on behalf of the CAA?	Review Evidence: Verify that: a) A surveillance system has been established and is being implemented. b) The surveillance activities undertaken conform to the established system. c) The system includes on-the-job oversight activities of designated examiners.

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4.049		8	If the flight operations inspection organization delegates any of its inspection or supervision responsibilities (such as competency checks, route checks, instrument ratings checks, conversion checks or upgrading checks) to designated inspectors and/or examiners of an AOC holder issued by the State, has it also established and implemented a system to resolve deficiencies or issues related to the conduct of delegated tasks?	Referrence: STD A6 Part I; App. 5, 8 Part III; App. 1, 8 GM Doc 8335 Part I, 5.4 Doc 9734 Part A, 3.1.2, 3.4.2.4, 3.4.2.6	8.007 8.008	(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? Describe what action has been taken by the CAA if designees, delegated persons, or personnel employed by a certificate holder while acting on behalf of the CAA, do not correct deficiencies in a reasonable period of time.	4.049	Has the CAA implemented procedures 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 and required to correct deficiencies in a reasonable period of time. Describe what action are taken by the CAA if designees, delegated persons, or personnel employed by a certificate holder, do not correct deficiencies in a reasonable period of time?	1) If no surveillance is performed (see OPS 4.047), then this question cannot be satisfactory. 2) Verify that a system has been established and implemented to resolve deficiencies and issues related to the conduct of delegated tasks. 3)Provide the specific citation to the relevant regulation, documentation, and any guidance material or practice used in reference to your response. (Check regulations, procedures,and inspector guidance material). 4) Review evidence to confirm effective implementation.
4.051		4	Has the flight operations inspection organization established a formal training programme for operations inspectors and dangerous goods inspectors, which describes the type of training to be provided?	STD A6 Part I; App. 5, 4 Part III; App. 1, 4 GM Doc 8335 Part I, 6.3 Doc 9734 Part A, C3, 3.4	4.403	Describe the formal training policy and programme for operations inspectors to include initial, on-the-job training (OJT), specialized, and recurrent training.	4.051	Has the flight operations organization describe the formal training policy and programme for operations inspectors and dangerous goods inspectors which describes the type of training to be provided and included initial, on-the-job training (OJT), specialized, and recurrent training?	1) Verify that each training programme includes: a) Initial training; b) OJT; c) Recurrent training; d) Specialized training requirements; and e) Minimum duration for each type of training. 2) Confirm that specialized training is provided to: a) Ground operations inspectors, b) Flight operations inspectors, c) Cabin safety inspectors, and d) Dangerous goods inspectors

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4.053	Yes	4	Does the flight operations inspection organization establish and implement a periodic training plan detailing and prioritizing the type of training, including OJT, to be provided during a specified timeframe?	STD A6 Part I, 4.2, 4.2.1.8 & App. 5, 4 Part III, 2.2, 2.2.1.8 & App. 1, 4 GM Doc 8335 Part I, 6.3 Doc 9734 Part A, C3, 3.4	4.404 4.405 4.406	Describe training received by operations inspectors in the following areas, as applicable:
						
						Initial and recurrent inspector training
						Initial and recurrent flight training
						Technical report writing
						Enforcement training
						Human factors
						New technologies
						Accident/Incident investigation training
						Cabin safety training
						Quality assurance
						Supervisory training
						Accident prevention training
						Describe the location(s) where operations inspectors receive training (e.g., training conducted by the CAA, national, regional, and foreign institutes or schools, national or foreign airline operators).
						
						Are records for operations inspector training kept on file and are they available for review?
							4.053	a) Has the flight operations inspection organization established and implemented a periodic training plan detailing and prioritizing the type of training, including OJT?
								b)are training records kept on file for the following aereas:?
								
								Initial and recurrent inspector training
								Initial and recurrent flight training
								Technical report writing
								Enforcement training
								Human factors
								New technologies
								Accident/Incident investigation training
								Cabin safety training
								Quality assurance
								Supervisory training
								Accident prevention training
								c) Are records for operations inspector training kept on file and are they available for review?
									1) Review most recent training plan.
									
									2) Verify that the most recent training plan includes:
									  a) the location of training;
									  b) details of the type of training;
									  c) training priorities; and
									  d) timeframe of the plan.
									
									3) The training plan should outline the timetable for implementation of training programme for each staff member during a specified timeframe.
									
									4) Check training files for course certificates.
									
									5) Verify that the type and frequency of training successfully completed (i.e. initial, recurrent, specialized and OJT) are sufficient for each technical staff to acquire/maintain the required level of knowledge, skills, competence and qualifications corresponding to the assigned duties and responsibilities.
									
									6) Verify that the training is implemented appropriately for operations and dangerous goods inspectors.
									
									7) Verify that:
									  a) There is a requirement for OJT.
									  b) OJT is provided by an experienced, senior inspector.

4.059		4	Do the flight operations inspection organization and the entities responsible for the transport of dangerous goods by air have a system for maintaining training records of its technical staff?	Refference: STD A6 Part I, 4.2, 4.2.1.8 & App. 5, 4 Part III, 2.2, 2.2.1.8 & App, 1, 4 GM Doc 9734 Part A, C3, 3.4		No FAA question	4.059	Do the flight operations inspection organization and the entities responsible for the transport of dangerous goods by air have a system for maintaining training records of its technical staff?	Review Evidence: 1) Review requirements/instructions for the establishment and maintenance of training records. 2) Review the system in place. 3) Sample training records.

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4.071		5	Do operations and dangerous goods inspectors have access to up-to-date operational documentation and information to support the certificates/approvals issued?	Referrence: STD A6 Part I, 4.2, 4.2.1.8 App. 5, 5 Part III, 2.2, 2.2.1.8 App. 1, 5 GM Doc 9734 Part A, C3, 3.5		No FAA question	4.071	Do operations and dangerous goods inspectors have access to up-to-date operational documentation and information to support the certificates/approvals issued?	Review Evidence: 1) Verify accessibility of documents, such as: a) operations manual, b) aircraft flight manual, c) Master Minimum Equipment List (MMEL), d) loading manual, e) weight and balance manual, and f) dangerous goods manuals/programme. 2) Documents may be available on the Internet, in paper copies, CDs, etc. 3) In all cases, check document availability and the system used to keep them up to date.
4.073		5	Are ICAO documents and other technical publications readily available to the technical and administrative staff of the flight operations inspection organization?	Referrence: STD A6 Part I, 4.2, App 5, 5 Part III, 2.2, App 1, 5 GM Doc 9734 Part A, C3, 3.5	5.001	Are current copies of ICAO Annexes 1, 6, and 8, and related ICAO guidance material documents available?	4.073	Are ICAO documents, related guidance and technical publications readily available to all technical and administrative staff of the flight operations inspection organization?	Review Evidence: Verify accessibility of documents, such as: a) State laws and regulations, b) orders and instructions, c) current copy of Annexes 6, Parts I, II and III, 18 and the Technical Instructions for the Safe Transport of Dangerous Goods by Air (Doc 9284), and d) Copies of ICAO guidance material (i.e. Doc 8335, Doc 9376, etc.)
4.074		5	Is there technical documentation available for the technical staff of the flight operations inspection organization or another method to ensure receipt, control and distribution of the necessary technical documentation?	Referrence: STD A6 Part I, 4.2, App 5, 5 Part III, 2.2, App 1, 5 GM Doc 9734 Part A, C3, 3.5		No FAA question	4.074	Is there technical documentation available for the technical staff of the flight operations inspection organization or another method to ensure receipt, control and distribution of the necessary technical documentation?	Review Evidence: Evaluate: a) document control system, and b) method to determine currency of documents.

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4.075	Yes	5	Are operations inspectors provided with comprehensive procedures and checklists to assist them in carrying out their functions in a standardized and effective manner?	Refference: STD A6 Part I, App. 5, 5 Part III, App. 1, 5 GM Doc 8335 Part I, 3.4.2, 3.5.1 , 5.4 Doc 9734 Part A, C3, 3.5	5.006	Has the CAA developed and implemented technical guidance and procedures for use by its inspectors and technical personnel?	4.075	Has the CAA developed and implemented comprehensive technical guidance with procedures and checklists to assist operations inspectors in carrying out their functions in a standardized and effective manner?	Review Evidence: 1) Verify that procedures and checklists are available to address all procedures not addressed in other protocols: a) Operations organization; b) Operations inspectors' duties, credentials and authority; c) Certification process; d) Issuance of operations specifications; e) Guidelines on assessment of application forms; f) Guidelines on renewal, suspension and revocation of AOCs and various authorizations; g) Surveillance policies and programme; h) Quality assurance; i) Follow up on discrepancy and enforcement action; j) Safety management programme; and k) Guidelines on resolution of safety issues. 2) Verify that there is a mechanism to approve the procedures and to ensure their currency.
4.091		5	Does the flight operations inspection organization provide sufficient information (e.g. booklet, pamphlet, circular, web page, etc.) to a prospective air operator regarding the regulations and process for obtaining an AOC and the corresponding operations specifications?	Refference: STD A6 Part I, 4.2.1.3 Part III section II. App. 1 GM Doc 8335 Part III, 1.3 & 2.1 Doc 9734 Part A, C3, 3.6	5.004	Describe a prospective commercial air transport operator's access to information regarding an application for an AOC.	4.091	Does the flight operations inspection organization provide sufficient information (e.g. booklet, pamphlet, circular, web page, etc.) to a prospective air operator regarding the regulations and process for obtaining an AOC and the corresponding operations specifications?	Review Evidence: Verify that applicable pamphlets, web page, hard copies, etc. (standard information package) are available for: a) amendment to an AOC; b) amendment to operations specifications; c) authorizations or limitations; d) AOC application; or e) specific approval to transport dangerous goods.

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4.093		5	Is there a formal application form that a prospective air operator must complete and submit in order to obtain an AOC, operations specifications and/or special authorizations?	Referrence: STD A6 Part I; App. 5, 6, Att. B. Part III; App. 1, 6 GM Doc 8335 Part III, 3.1 Doc 9734 Part A, C3	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? Issuance and renewal of air operator certificate (AOC) Yes No	4.093	Does the authority's technical guidance provide inspectors a formal application form that a prospective air operator must complete and submit in order to obtain an AOC, operations specifications and/or special authorizations?	Review Evidence: Verify that applicable forms are available and ensure that they contain at least the following information: a) main base of operations; b) organizational structure; c) type of operation (passenger, cargo, etc.); d) specific approvals requested (AWOP, RVSM, PBN authorization required (AR), Dangerous Goods, EDTO, EFB, etc.) e) type of aircraft; f) arrangements for crew and ground personnel training; g) proposed routes and areas of operations, destination and alternate aerodromes; h) maintenance arrangements; and i) financial data and a business plan.

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4.101		6	As part of a preliminary assessment of an applicant's technical fitness for an AOC, is there a general review of the procedures, practices and methods adopted that are detailed in the operations manual, air operator's maintenance control manual, training manuals, etc.?	Refference: STD A6 Part I, 4.2; App. 5, 6 , Att. B. Part III, Section II, 2.2; App. 1, 6 GM A6 Part I, Att. D Part III, Att. D Doc 8335 Part III, C3, Doc 9734 Part A, C3	6.103	Does the formal application phase and the certification file include items such as, but not limited to, the following: Attachments to the formal application, including: Identification of operations specifications sought (A6 Pt I, 4.2.1.2, 4.2.1.6, 6.1.2, App 6) Schedule of events (Doc 8335, 3.1.3(b), 3.2.2) Initial statement of compliance (Doc 8335, Pt II, 3.1.3(c)) 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) Documents of purchase, leases, contracts or letters of intent. (Doc 8335, 3.1.3(h), 3.2.8, 6.1.2 Pt V) Method of control and supervision of operations (A6, Pt I, 4.2.1.3) 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). Aerodromes and areas (A6, Pt I, 4.2.8) Maintenance control manual (A6, Pt I, 8.2, 11.2; Doc 8335, Pt II, 6.3) Maintenance programme (A6, Pt I, 8.3, 11.3, Doc 9760, Pt III, 7.3) Maintenance records (A6, Pt I, 8.4, Doc 9760, Pt III, 7.8) Flight crew and ground personnel training and required facilities (A6, Pt I,9.3) Cursory review of the formal application package. (Doc 8335, Pt III, 3.3, 4.3.5) Acceptability of the formal application package. (Doc 8335, Pt III, 3.1) Record of the formal application meeting (Doc 8335, Pt III, 3.5)	4.101	As part of a preliminary assessment of an applicant's technical fitness for an AOC, is there a general review of the procedures, practices and methods adopted that are detailed in the operations manual, air operator's maintenance control manual, training manuals, etc.?	Review Evidence: 1) Verify that the certification process and procedures include an assessment of the applicants' technical fitness. 2) Verify that the operations inspectors have guidance material, manuals, checklists, etc. to use in assessing the applicants' technical fitness. 3) Verify implementation by sampling records of first meetings and letters to the applicants, showing first review of the documents submitted or asking for missing information.

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4.103		6	Is the organizational structure of an AOC applicant reviewed to ensure that: a) duties, responsibilities and authorities are clearly defined, and b) functional tasks and lines of reporting are clearly delineated and duly documented?	Reference: STD A6 Part I, 4.2.1.3 Part III, Section II, 2.2.1.3 GM Doc 8335 Part II, C2, 2.2 Part III, C5, 5.2	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)	4.103	Is the organizational structure of an AOC applicant reviewed to ensure that: a) duties, responsibilities and authorities are clearly defined, and b) functional tasks and lines of reporting are clearly delineated and duly documented?	Review Evidence: 1) Verify that applicable operations inspectors' guidance material, manuals, etc. have been established and implemented. 2) Review exchange of letters with the applicant.
4.107	Yes	6	Has the State effectively implemented procedures to grant exemptions from the regulations for an AOC to air operators, using formal procedures that take into consideration the impact to safety?	Referrence: STD A6 Part I, 4.2 Part III, 2.2 GM Doc 9734 Part A, C3		No FAA question	4.107	Has the State effectively implemented procedures to grant exemptions from the regulations for an AOC to air operators, using formal procedures that take into consideration the impact to safety?	Review Evidence: 1) Verify effective implementation of the procedures. 2) Verify that the impact on safety is considered. 3) Verify notification to foreign States if an AOC holder does not comply with Annex 6 standards. 4) Sample exemptions granted

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4.109	Yes	6	Has the flight operations inspection organization implemented a documented process for the certification of air operators that includes thorough technical evaluations that lead to approval/acceptance of required procedures, documents and operations?	Referrence: STD A6 Part I, App. 5, 6 , Att. B Part III, App. 1, 6, 3, Att. C GM A6 Part I, Att. D Part III, Att. D Doc 8335 Part III Doc 9734 Part A, C3	6.101 6.104 6.105 6.106	6.101 Describe the CAA's system of air operator certification, the issuance, and amendment of an AOC with associated operations specifications. 6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: 1) draft operations specifications or other documentation specifying authorisations requested 2) description of the flight safety document system (A6, Pt I, 3.3.3, Att G) 3) operations manual (A6, Pt I, 4.2.3) 4) operational control procedures, dispatch, flight following, etc. (A6, Pt I, 4.1, 4.2.3, 4.3, 4.6.1) 5) aircraft loading and/or ground handling manual (A6, Pt I, 4.2.3, App 2, 2.2) 6) passenger briefing cards (A6, Pt I, 4.2.12) 7) mass and balance control manual (A6, Pt I, 4.3, 5.2.7, App 2, 2.2) 8) management personnel resumes providing qualifications and aviation experience 9) aircraft performance manual (A6, Pt I, 5.2, 5.3, 5.4) 10) minimum equipment list (MEL) (A6, Pt I, 6.1.3, Att E) 11) configuration deviation list (CDL) (A6, Pt I, 6.1.3) 12) aircraft operating manual (A6, Pt I, 6.1.4, App 2, 2.2) 13) maintenance control manual (A6, Pt 1, 8.2, 11.2; Doc 8335, Pt III, 6.3) 14) maintenance programme incl maintenance schedule (A6, Pt 1, 8.3, 11.3, Doc 9760, Pt III, 7.3) 15) training manual for maintenance personnel (A6, Pt I, 8.7.6.4) 16) training manuals for flight crew, cabin crew, operations personnel and ground personnel (A6, Pt I, 9.3, 10.3, 12.4, Att E. 3.3) 17) Training Programmes (A6, Pt I, 9.3, 10.3, 12.4, 3.3 (q) 18) Simulator /flight training device evaluation and approvals (A6, Pt I, 9.3.2, Doc 9625) 19) aircraft flight manuals (A6, Pt I, 11.1, App 2, 2.2) 20) route guide (A6, Pt I, App 2, 2.3) 21) dangerous goods manual (A6, Pt I, App 2, 2.1.35) 22) aircraft search procedure checklist (A6, Pt I, 13.3) 23) security programme manual (A6, Pt I, 2.1.36, App 2) 24) statement of compliance or conformance report (A6, Pt I, 4.2, Att D, Att E) 25) plan for emergency evacuation demonstration (A6, Pt I, 4.2.1.3, Att D, 2.1.5, 2.2) 26) plan for ditching demonstration (A6, Pt I, 4.2.1.3, Att D, 2.1.5, 2.2) 27) plan for demonstration flights (A6, Pt I, 4.2.1.3, Att D, 2.1.5, 2.2; Doc 9760, Pt IV, 2.5) 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) 29) records of emergency and survival equipment carried (A6, Pt I, 11.5) 30) Flight recorder records (A6, Pt I, 11.6) 31) Fuel and oil record (A6, Pt I, 4.2.10) 32) Maintenance records (A6, Pt I, 8.4)	4.109	Has the flight operations inspection organization implemented a documented process for the certification of air operators that includes thorough technical evaluations that lead to approval/acceptance of required procedures, documents and operations?	Review Evidence: 1) Verify that operations inspectors' guidance material, manuals, checklists, etc. provide a system to keep track of every exchange with the air operators. 2) Verify filing system of the certification process. 3) Sample files.

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						33) Flight time records (A6, Pt I, 4.2.11.2) 34) Flight preparation forms (A6, Pt I, 4.3) 35) Operational flight plan (A6, Pt I, 4.3.3.1) 36) Pilot-in-command route and airport qualification records (A6, Pt I, 9.4.3.4) 6.105 Does the operational demonstration and inspection phase and certification file include items such as, but not limited to, the following: **I) ORGANISATION AND ADMINISTRATION GROUND OPERATIONS INSPECTION** 1) Mobile equipment (Doc 8335, Pt III, 5.3.3) 2) Operational control organization (A6, Pt I, 3.1.3, 3.1.4; Doc 8335, Pt III, 5.3.4) 3) Flight crew qualifications, licensing and training (A6, Pt I, 9.3.1) 4) Cabin crew competency and training (A6, Pt I, 12.4) 5) Training programmes (Doc 8335, Pt III, 5.3.7) 6) Record keeping (Doc 8335, Pt III, 5.3.8) 7) Fuel computation procedures (A6, Pt I, App 2, 2.1.12; Doc 8335, Pt III, 5.3.9) 8) Aircraft mass and balance procedures (A6, Pt I, App 2, 2.2.6; Doc 8335, Pt III, 5.3.10) 9) Emergency evacuation demonstration (Doc 8335, Pt III, 5.3.11) 10) Ditching demonstration (Doc 8335, Pt III, 5.3.12) 11) Ground inspection deficiencies (Doc 8335, Pt III, 5.3.13) 12) Fatigue risk management provisions (A6,Pt I, 4.10, App 7) **II) FLIGHT OPERATIONS INSPECTION INCLUDING EVIDENCE OF DEMONSTRATION FLIGHTS (Annex 6, Part I, Attachment D)** 1. Planning 2. Preflight inspection 3. In-flight inspection 4. Post-flight inspection 5. Flight inspection deficiencies 6. Special authorisations such as EDTO (ETOPS), PBN, MNPS, Category II & III Landing Minima, NOPAC, etc. also require demonstration flights			
4.121	Yes	6	Does the flight operations inspection organization ensure that an AOC applicant has implemented and maintains a flight safety documents system?	Referrence: STD A6 Part I, 3.3.4 6 Part III, Section II, 1.3.3 5 GM A6 Part I, Att. F D Part III, Att. F D	6.104	6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: 2) description of the flight safety document system (A6, Pt I, 3.3.3, Att G)	4.121	Does the flight operations inspection organization ensure that an AOC applicant has implemented and maintains a flight safety documents system?	Review Evidence: 1) Verify that applicable operations inspectors' guidance material, manuals, checklists, etc. have been established and implemented. 2) Sample some air operators' manuals to confirm implementation and compliance. 3) Review evidence during industry visit to confirm implementation.

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4.123		7	Does the flight operations inspection organization ensure that an AOC applicant maintains the validity of its manuals at all times?	Refference: STD A6 Part I, 4.2.3.1 Part III, Section II, 2.2.3 GM A6 Part I, Att. F D, 6.1 & 6.2 Part III, Att. E, 6.1 & 6.2	7.001 7.002	7.001 Describe the CAA's oversight of their surveillance system that has been implemented as it pertains to the following elements: e)Technical Guidance, Tools And Provision of Safety-Critical Information (A6, Pt I, 4.2.1.8 4.2.3.1, and App 5, 5 Doc 9734, Pt A, C3.5) 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. 5. operator's manuals	4.123	Does the flight operations inspection organization ensure that an AOC applicant maintains the validity of its manuals at all times?	Review Evidence: 1) Review surveillance policy and programme of air operators to verify that compliance with validity of manuals is monitored. 2) Sample completed inspection records/checklists. 3) During the industry visit, confirm effective implementation by verifying air operators' manuals.

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4.125		5	Has the flight operations inspection organization established procedures to review, accept or approve, as applicable, the contents of an applicant's operations manual, and to ensure that an operations manual is developed and structured according to provisions in Annex 6, Part I, Appendix 2?	Referrence: STD A6 Part I, 4.2.3 & App. 2, 1 Part III, Section II, 2.2.3 GM A6 Part I, Att. D-B, 2.1.2, 2.1.3, 3.3, 3.4, 4.3 & 5 Part III, App. 7, 1.1 App. 3 & 8 & Att. D-C, 2.1.2, 2.1.3, 3.3, 3.4, 4.3 & 5 Doc 8335 Part III, C4 Doc 9376 10153	5.006 5.009 5.011 5.012	5.006 Has the CAA developed and implemented technical guidance and procedures for use by its inspectors and technical personnel? Yes No If yes, describe the system of technical guidance and procedures implemented by the CAA. 5.009 Does the inspector technical guidance contain policy, procedures, and standards for: c) authorizations and approvals Yes No Yes No If yes, describe the specific technical guidance developed and implemented by the CAA. 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** a) The method of determining aerodrome operating minima (STD A6, Pt I, C4, 4.2.8.1; Doc 8335, C5, 5.3) Yes No b) Additional requirements for single pilot operations under the instrument flight rules (IFR) at night (STD A6, Pt I, C4, 4.9.1) Yes No c) Flight time, flight duty periods, and rest periods (STD A6, Pt I, C4, 4.10) Yes No d) Specific extended range operations (ETOPS/EDTO) (STD A6, Pt I, C4, 4.7.1 & 4.7.2) Yes No 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) Yes No f) Aircraft-specific minimum equipment list (MEL) (STD A6, Pt I, C6, 6.1.3) Yes No g) Performance-based navigation (PBN) operations (STD A6, Pt I, C7, 7.2.2 b)) Yes No h) Minimum Navigation Performance Specifications (MNPS) operations (STD A6, Pt I, C7, 7.2.3 b)) Yes No i) Reduced Vertical Separation Minimum (RVSM) operations (STD A6, Pt I, C7, 7.2.4 b)) Yes No j) Procedures for electronic navigation data management (STD A6, Pt I, C7, 7.4.1) Yes No k) Flight crew training programmes (STD A6, Pt I, C9, 9.3.1) Yes No l) Training in the transport of dangerous goods (A6, Pt I, C9, 9.3.1, e) & Note 5; C12, e) & Note 1; C14, 14.1 Yes No m) Aerodrome additional safety margin (STD A6, Pt I, C9, 9.4.3.3 a)) Yes No n) Pilot-in-command area, route, and aerodrome qualifications (STD A6, Pt I, C9, 9.4.3.5) Yes No o) Use of flight simulation training devices (STD A6, Pt I, C9, 9.3.1, Note 2 and 9.4.4, Note 1) Yes No p) Method of control and supervision of flight operations (STD A6, Pt I, C4, 4.2.1.3 and 10.1) Yes No q) Cabin crew training programmes (STD A6, Pt I, C12, 12.4) Yes No If yes to any item above, provide reference location of guidance for type of approval action(s) granted.	4.125	Has the flight operations inspection organization established procedures to review, accept or approve, as applicable, the contents of an applicant's operations manual, and to ensure that an operations manual is developed and structured according to provisions in Annex 6, Part I, Appendix 2?	Review Evidence: 1) Verify that procedures were established for the approval or acceptance of an air operator's operations manual. 2) Verify that the guidance material produced covers the following, as applicable: a) A statement that the operations manual complies with applicable laws, the air operator certification conditions and corresponding operations specifications; b) A list and a summarized description of the different parts of the manual, their contents, applicability and utilization; c) A statement that the operations manual contains operating instructions which must be followed by all personnel; d) A registration sheet for amendments and revisions, including dates of registration and validity; e) A list of effective pages; and f) Amendment and revision changes indicated by marks or signs in text, graphics and diagrams. 3) Verify that the operations inspectors' procedures ensure that an operations manual has the following components: a) General, b) Aircraft operating information, c) Routes and aerodromes, and d) Training.

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						5.012 Does the CAA's technical guidance provide inspectors with the ability to utilize standardized methods to perform ACCEPTANCE ACTIONS in the following areas? a) Flight data analysis programme (STD A6, Pt I, C3, 3.3 3.3.3) Yes No b) Method for obtaining aeronautical data (STD A6, Pt I, C4, 4.1, 4.1.1) Yes No c) Adequacy of the fuel and oil records (STD A6, Pt I, C4, 4.2, 4.2.10) Yes No d) Adequacy of flight time, flight duty, and rest period records (STD A6, Pt I, C4, 4.10) Yes No e) Adequacy of the aircraft maintenance log book (STD A6, Pt I, C4, 4.3, 4.3.1 a), b), and c)) Yes No f) Adequacy of the load manifest (STD A6, Pt I, C4, 4.3, 4.3.1 d), e) and f)) Yes No g) Adequacy of the operational plan (STD A6, Pt I, C4, 4.3, 4.3.1 g)) Yes No h) Method for obtaining weather data (STD A6, Pt I, C4, 4.3, 4.3.5.1 and 4.3.5.2) Yes No i) Method of compliance with carry-on baggage stowage (STD A6, Pt I, C4, 4.8) Yes No j) Aeroplane performance operating limitations (STD A6, Pt I, C5, 5.2, 5.2.4) Yes No k) Method of obtaining and applying aerodrome obstacle data (STD A6, Pt I, C5, 5.3) Yes No l) Adequacy of passenger information cards (GM Doc 8335, Pt III, C4, 4.3, 4.3.5.6.11) Yes No m) Procedures for long-range navigation (STD A6, Pt I, Appdx 2, 2.1, 2.1.4) Yes No n) Content of the journey log book (STD A6, Pt I, C11, 11.4, 11.4.1) Yes No o) Content of the security training programme (STD A6, Pt I, C13, 13.4) Yes No If yes to any item above, provide reference location of guidance for type of acceptance action.			

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4.127		5	Has the flight operations inspection organization established procedures for approval of MELs and configuration deviation lists (CDLs) which form part of the air operator's operations manual?	Refference: STD A6 Part I, 6.1.3 Part III, Section II, 4.1.3 GM A6 Part I, Att. DC, 3.3 & Att. E Part III, Att. CB, 3.3	5.006 5.009 5.011	5.006 Has the CAA developed and implemented technical guidance and procedures for use by its inspectors and technical personnel? Yes No If yes, describe the system of technical guidance and procedures implemented by the CAA. 5.009 Does the inspector technical guidance contain policy, procedures, and standards for: c) authorizations and approvals Yes No 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** f) Aircraft-specific minimum equipment list (MEL) (STD A6, Pt I, C6, 6.1.3) Yes No If yes to any item above, provide reference location of guidance for type of approval action(s) granted.	4,127	Has the flight operations inspection organization established procedures for approval of MELs and configuration deviation lists (CDLs) which form part of the air operator's operations manual?	Review Evidence: Verify procedures established for approval of MEL/CDL and for coordination between operations and airworthiness aspects.
4.129		6	Has the State promulgated regulations for AOC applicants to establish procedures to ensure that the flight manual is updated by implementing changes made mandatory or approved by the State of Registry?	Refference: STD A6 Part I, 11.1 Part III, Section II, 9.1 GM A6 Part I, Att. D B, 3.4 z) & 6 Part III, Att. D C, 3.4 r) & 6	2.031	Describe the regulation that requires the operator to: A) maintain a flight manual by implementing changes made mandatory by the State of Registry. B) operate its aircraft in compliance with the terms of the aircraft's certificate of airworthiness and the approved operating limitations contained in its flight manual. Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.	4.129	Has the State promulgated regulations for AOC applicants to establish procedures to ensure that the flight manual is updated by implementing changes made mandatory or approved by the State of Registry?	Review Evidence: Verify the establishment and implementation of: a) relevant State regulations; b) applicable certification process; and c) operations inspectors' procedures.

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4.135		6	Does the flight operations inspection organization ensure that an AOC applicant and certified air operators include, in their operations manuals, instructions for the preservation of flight recorder records and, if necessary, associated flight recorders, in safe custody pending their disposition, to the extent possible, in the event that the aeroplane becomes involved in an accident or incident?	Refference: STD A6 Part I, 6.3.4.2, 6.3.5.2.2, 11.6 & App. 8 Part III, Section II, 4.3.4.2, 4.3.4.2.2, 9.6 & App. 4 A13	6.104	Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: (30) Flight recorder records (A6, Pt I, 11.6)	4.135	Does the flight operations inspection organization ensure that an AOC applicant and certified air operators include, in their operations manuals, instructions for the preservation of flight recorder records and, if necessary, associated flight recorders, in safe custody pending their disposition, to the extent possible, in the event that the aeroplane becomes involved in an accident or incident?	Review Evidence: 1) Verify that applicable operations inspectors' guidance material, manuals, checklists, etc. have been established and implemented. 2) Sample some air operators' manuals to confirm implementation and compliance. 3) Review evidence during industry visit to confirm implementation.
4.143		6	Does the flight operations inspection organization ensure that the air operator outlines, in its operations manual, the responsibilities of operations personnel regarding the conduct of flight operations?	Refference: STD A6 Part I, 4.2.4.1 & App. 2, 2.1.1 Part III, Section II, 2.2.4.1 GM A6 Part III, App. 7-8, 2.1.1	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: I. Attachments to the formal application, including: 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: (3) operations manual (A6, Pt I, 4.2.3)	4.143	Does the flight operations inspection organization ensure that the air operator outlines, in its operations manual, the responsibilities of operations personnel regarding the conduct of flight operations?	Review Evidence: 1) Verify that applicable operations inspectors' guidance material, manuals, checklists, etc. have been established and implemented. 2) Sample some air operators' manuals to confirm implementation and compliance.
4.145		2	Has the State promulgated regulations for flight time, flight duty period, duty period and rest period limitations based on scientific principles, knowledge and operational experience?	Refference: STD A6 Part I, 4.10.1 GM A6 Part I, App. 2, 2.1.2 Part III,Section II, 2.8.1 Doc 9966 C2, C4; App. C & App. E	2.070	2.070 Describe regulations for the purpose of managing fatigue, such as flight time, flight duty period, duty period and rest period limitations; and if operators are authorized to use a Fatigue Risk Management System (FRMS) to manage fatigue, FRMS regulations. Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.	4.145	Has the State promulgated regulations for flight time, flight duty period, duty period and rest period limitations based on scientific principles, knowledge and operational experience? (Prescriptive approach)	Review Evidence: 1) Verify that prescriptive flight time, flight duty and rest period regulations have been promulgated for: a) flight crew and b) cabin crew. 2) Review the prescriptive limitation regulations and verify that they provide opportunity for sleep recovery.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA & EASA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
4.147		6	Does the flight operations inspection organization ensure that the air operator has requirements, in its operations manual, to establish flight time, flight duty period, duty and rest period limitations for flight and cabin crews, in accordance with State regulations?	Refference: STD A6 Part I, 4.10.2 & App. 2, 2.1.2 Part III, Section II, 2.2.10.2, 2.8.2, GM Doc 9966 C2, C4, C6; App. A, A1.2 & App. C, C64	5,011	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? c) Airplane Flight Manual (AFM) (STD A8, Pt II, C3, 3.4; Doc 9760, Pt V, C2, 2.9, 2.9.1) Yes No c) Flight time, flight duty periods, and rest periods (STD A6, Pt I, C4, 4.10) Yes No	4.147	Does the flight operations inspection organization ensure that the air operator has requirements, in its operations manual, to establish flight time, flight duty period, duty and rest period limitations for flight and cabin crews, in accordance with State regulations?	Review Evidence: 1) Verify that applicable operations inspectors' guidance material, manuals, checklists, etc. have been established and implemented. 2) Sample some air operators' manuals to confirm implementation and compliance.
4.149	Yes	6	Does the flight operations inspection organization ensure that the air operator outlines, in its operations manual, standard operating procedures (SOPs): 1) For each phase of flight, 2) Crew briefings for departure and approach, 3) Developed checklists as an integral part of its SOPs, and 4) Instructed and/or trained its flight and cabin crew on how to use the SOPs?	Refference: STD A6 Part I, App. 2, 2.1.2, 2.1.17, 2.1.23, 2.1.18, PANS Doc 8168 (OPS) Vol. I GM A6 Part III, App. 7-8, 2.1.1, 2.1.16, 2.1.17, 2.1.21,		No FAA question	4.149	Does the flight operations inspection organization ensure that the air operator outlines, in its operations manual, standard operating procedures (SOPs): 1) For each phase of flight, 2) Crew briefings for departure and approach, 3) Developed checklists as an integral part of its SOPs, and 4) Instructed and/or trained its flight and cabin crew on how to use the SOPs?	Review Evidence: 1) Verify that applicable operations inspectors' guidance material, manuals, checklists, etc. have been established and implemented. 2) Sample some air operators' manuals to confirm implementation and compliance.
4.151		6	Does the flight operations inspection organization ensure that the air operator outlines, in its operations manual, instructions on the clarification and acceptance of air traffic control (ATC) clearances, particularly where terrain clearance is involved?	Refference: STD A6 Part I, App. 2, 2.1.22 GM A6 Part III, App. 7-8, 2.1.20	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: I. Attachments to the formal application, including: 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: (3) operations manual (A6, Pt I, 4.2.3)	4.151	Does the flight operations inspection organization ensure that the air operator outlines, in its operations manual, instructions on the clarification and acceptance of air traffic control (ATC) clearances, particularly where terrain clearance is involved?	Review Evidence: 1) Verify that applicable operations inspectors' guidance material, manuals, checklists, etc. have been established and implemented. 2) Sample some air operators' manuals to confirm implementation and compliance.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA & EASA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standarized Question (SOS Protocol)	Guidance for Review of Evidence
4.155	Yes	6	Does the flight operations inspection organization ensure that the air operator lays down, in its operations manual, policy, instructions, procedures and training requirements on the avoidance of collisions and the use of the ACAS?	A6 Part I, App. 2, 2.1.31 PANS Doc 8168 (OPS) Vol. 3, Section 4, C3 Doc 4444 (ATM) C12 & C15	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: I. Attachments to the formal application, including: 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). 12) Flight crew and ground personnel training and required facilities (A6, Pt I,9.3) 6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: ((16) training manuals for flight crew, cabin crew, operations personnel and ground personnel (A6, Pt I, 9.3, 10.3, 12.4, Att E. 3.3) (17) Training Programmes (A6, Pt I, 9.3, 10.3, 12.4, 3.3 (q) (18) Simulator /flight training device evaluation and approvals (A6, Pt I, 9.3.2, Doc 9625)	4.155	Does the flight operations inspection organization ensure that the air operator lays down, in its operations manual, policy, instructions, procedures and training requirements on the avoidance of collisions and the use of the ACAS?	Review Evidence: 1) Verify that the approval procedures are in accordance with: a) PANS-OPS; and b) PANS-ATM. 2) Verify that applicable operations inspectors' guidance material, manuals, checklists, etc. have been established and implemented. 3) Sample some air operators' manuals to confirm implementation and compliance for procedures and training. 4) Review evidence during industry visit to confirm implementation.
4.161	Yes	6	Does the flight operations inspection organization ensure that the air operator has established a system to provide its operations staff and flight crew with aircraft operating information, including mandatory revisions?	Reference: STD A6 Part I, 6.1.4, 11.1 & App. 2, 2.2 Part III, Section II, 4.1.4, 9.1 GM A6 Part III, App. 7 8, 2.2	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: I. Attachments to the formal application, including: 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: (3) operations manual (A6, Pt I, 4.2.3)	4.161	Does the flight operations inspection organization ensure that the air operator has established a system to provide its operations staff and flight crew with aircraft operating information, including mandatory revisions?	Review Evidence: 1) Verify that applicable operations inspectors' guidance material, manuals, checklists, etc. have been established and implemented. 2) Review a sample of aircraft operating information to verify inclusion of the following: a) Organization, update and revision system; b) Certification limitations and operating limitations as indicated in the AOC and OPSPEC; c) The normal, abnormal and emergency procedures to be used by the flight crew, related checklists, crew coordination and assignment, including PBN; d) Instructions for aircraft loading; e) Data for mass and balance calculations; f) Aircraft systems, associated controls and instructions for their use; and g) Emergency evacuation procedures, including type-specific procedures, crew coordination and assignment

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA & EASA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standarized Question (SOS Protocol)	Guidance for Review of Evidence
4.165	Yes	6	Does the flight operations inspection organization ensure that the aircraft operating information include approved MEL/configuration deviation list (CDL) for the aeroplane types operated and specific operations authorized?	Reference: STD A6 Part I, 4.7, 6.1.3 & App. 2, 2.2.9 Part III, Section II, 4.1.3 GM A6 Part I, Att. C; Att. D, 3.3 & Att. E Part III, App. 7, 2.2.7; Att. C & Att. D, 3.3	5.011 6.104	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** f) Aircraft-specific minimum equipment list (MEL) (STD A6, Pt I, C6, 6.1.3) Yes No 6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: (10) minimum equipment list (MEL) (A6, Pt I, 6.1.3, Att E) (11) configuration deviation list (CDL) (A6, Pt I, 6.1.3)	4.165	Does the flight operations inspection organization ensure that the aircraft operating information include approved MEL/configuration deviation list (CDL) for the aeroplane types operated and specific operations authorized?	Review Evidence: 1) Verify implementation of the procedures to issue the initial approval and approval of subsequent amendments. 2) Verify implementation of documented coordination procedures between AIR/OPS. 3) Sample an MEL and CDL, including applicable specific operations authorized (e.g. EDTO, all weather operations, RVSM, RNP, etc.). 4) Verify that the same amendment of the MEL is used within the air operator during the industry visit.
4.171	Yes	6	Does the flight operations inspection organization ensure that an air operator has established a route guide to be used by its flight crew for each flight?	Reference: STD A6 Part I, App. 2, 2.3.1 GM A6 Part III, App. 7-8, 2.3.1 Doc 9376 Doc 10153	6.104	6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: (20) route guide (A6, Pt I, App 2, 2.3)	4.171	Does the flight operations inspection organization ensure that an air operator has established a route guide to be used by its flight crew for each flight?	Review Evidence: 1) Verify that applicable operations inspectors' guidance material, manuals, checklists, etc. have been established and implemented. 2) Sample some air operations' route guide to ensure that it contains information relating to communication facilities, navigation aids, aerodromes, instrument approaches, instrument arrivals and instrument departures, as applicable, for the operation, and such other information as the air operator may deem necessary for the proper conduct of flight operations.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA & EASA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standarized Question (SOS Protocol)	Guidance for Review of Evidence
4.181		2	Has the State promulgated regulations for the air operator to establish and maintain training programmes, as part of the flight safety documents system, which include initial, recurrent, transition (conversion), re-qualification, upgrade, recency of experience, familiarization, differences and other specialized training, as applicable?	Reference: STD A6 Part I, 4.2.1.3, 9.3, 10.3, 12.4 & App. 2, 2.4 Part III, Section II, 2.2.1.3, 7.3, 8.3 & 10.3 GM A6 Part I, Att. ~~D~~ B, 3.3 p) Part III, App. ~~7~~8, 2.4 ~~Doc 9376~~ Doc 10153	2.056 2.063	2.056 Describe the regulation that requires the operator to establish and maintain, for flight crew members, a ground and flight training programme to ensure that: a) Flight crew members are adequately trained to perform their assigned duties b) Ground and flight training facilities are provided c) Properly qualified instructors are provided d) Instruction in the use of all emergency and life-saving equipment required to be carried, and drills in the emergency evacuation of the aeroplane are provided. Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.

2.063 Describe the regulation that requires the operator to have cabin crews and other crew members complete initial and annual recurrent training programmes that include awareness on other crew members' assignments and functions in the event of an emergency. Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response. | 4.181 | Has the State promulgated regulations for the air operator to establish and maintain training programmes, as part of the flight safety documents system, which include initial, recurrent, transition (conversion), re-qualification, upgrade, recency of experience, familiarization, differences and other specialized training, as applicable? | Review Evidence: 1) Verify regulations. 2) Ensure that regulations cover all types of training, including human factors. |

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA & EASA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standarized Question (SOS Protocol)	Guidance for Review of Evidence
4.183	Yes	6	Does the flight operations inspection organization ensure that an air operator outlines, in its training programmes, not only details of the initial and recurrent flight crew training, but also transition (conversion), re-qualification, upgrade, recency of experience, familiarization, differences and other specialized training, as applicable?	Reference: STD A6 Part I, 4.2.1.3, 9.3 & App. 2, 2.4.1 Part III, Section II, 7.3 GM A6 Part I, Att. D, 3.3 Part III, App. 7, 2.4.1 Doc 8335 Part III, C5	6.104	6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: (15) training manual for maintenance personnel (A6, Pt I, 8.7.6.4) (16) training manuals for flight crew, cabin crew, operations personnel and ground personnel (A6, Pt I, 9.3, 10.3, 12.4, Att E. 3.3) (17) Training Programmes (A6, Pt I, 9.3, 10.3, 12.4, 3.3 (q)	4.183	Does the flight operations inspection organization ensure that an air operator outlines, in its training programmes, not only details of the initial and recurrent flight crew training, but also transition (conversion), re-qualification, upgrade, recency of experience, familiarization, differences and other specialized training, as applicable?	Review Evidence: 1) Verify that applicable operations inspectors' guidance material, manuals, checklists, etc. have been established and implemented. 2) Sample some air operators' manuals to confirm implementation and compliance. 3) Review evidence during industry visit to confirm implementation.
4.185		5	Has the flight operations inspection organization established procedures to verify that an air operator has outlined details of the cabin crew's safety duties and functions in the cabin crew training programme?	Reference: STD A6 Part I, 4.2.1.3, 12.4 & App. 2, 2.4.2 Part III, Section II, 10.3 GM A6 Part I, Att. D, 3.3 Part III, App. 7, 2.4.2	5.011 6.104	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** q) Cabin crew training programmes (STD A6, Pt I, C12, 12.4) Yes No If yes to any item above, provide reference location of guidance for type of approval action(s) granted. 6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: (16) training manuals for flight crew, cabin crew, operations personnel and ground personnel (A6, Pt I, 9.3, 10.3, 12.4, Att E. 3.3) (17) Training Programmes (A6, Pt I, 9.3, 10.3, 12.4, 3.3 (q)	4.185	Has the flight operations inspection organization established procedures to verify that an air operator has outlined details of the cabin crew's safety duties and functions in the cabin crew training programme?	Review Evidence: Verify inspectors' procedures to ensure that review of the cabin crew training programme is part of the procedures.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA & EASA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
4.189	Yes	6	Does the flight operations inspection organization ensure that the air operator takes into account, reviews and implements all regulations related to the contents of the operations manual, as part of the flight safety documents system, before the AOC or any specific approval is granted?	Refference: STD A6 Part I, 4.2.1.3 Part III, Section II, 2.2.1.3 GM A6 Part I, Att. D, 3.3 Part III, Att. D, 3.3 Doc 8335 Part III, C54 Doc 9376 Doc 10153	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: I. Attachments to the formal application, including: 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: (2) description of the flight safety document system (A6, Pt I, 3.3.3, Att G) (3) operations manual (A6, Pt I, 4.2.3)	4.189	Does the flight operations inspection organization ensure that the air operator takes into account, reviews and implements all regulations related to the contents of the operations manual, as part of the flight safety documents system, before the AOC or any specific approval is granted?	Review Evidence: 1) Verify inspectors' procedures for approval of operations manual. 2) Verify that the inspection phase of the certification process is performed after the review of the manuals. 3) Verify that the operations manual is reviewed before granting of the AOC or any specific approval. 4) Confirm implementation of the certification process and results of inspections before granting the AOC. 5) Sample a specific case.
4.203		6	Does the flight operations inspection organization ensure that: a) the air operator has established and maintained a flight data analysis programme, b) the flight data analysis programme is non-punitive and contains safeguards to protect the source(s) of the data?	Refference: STD A6 Part I, 3.3 Part III, Section II, 1.3 GM A13 Att. D	5.012	5.012 Does the CAA's technical guidance provide inspectors with the ability to utilize standardized methods to perform ACCEPTANCE ACTIONS in the following areas? a) Flight data analysis programme (STD A6, Pt I, C3, 3.3 3.3.3) Yes No Yes No If yes to any item above, provide reference location of guidance for type of acceptance action.	4.203	Does the flight operations inspection organization ensure that: a) the air operator has established and maintained a flight data analysis programme, b) the flight data analysis programme is non-punitive and contains safeguards to protect the source(s) of the data?	Review Evidence: 1) Verify that applicable operations inspectors' guidance material, manuals, checklists, etc. have been established and implemented. 2) Sample some air operators' manuals to confirm implementation and compliance. 3) Review evidence during industry visit to confirm implementation.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA & EASA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standarized Question (SOS Protocol)	Guidance for Review of Evidence
4.211	Yes	6	Does the flight operations inspection organization ensure that: a) the air operator provides ground and flight training facilities, simulators and/or cockpit procedure training devices (e.g. fixed-based simulator [FBS], computer based training [CBT], etc.) and syllabus materials; and b) if a separate training organization is approved to provide air operators' flight crew training, does the flight operations inspection organization ensure that the training provided and flight documentation used correctly reflect the air operators' flight safety documents system?	STD A6 Part I, 9.3.1 & 12.4 Part III, Section II, 7.3.1 & 10.3 GM Doc 8335 Part III 5.4.7 5.3.7 Doc 9376 Doc 10153 Doc 9625	6.103 6.104 6.105	6.103 Does the formal application phase and the certification file include items such as, but not limited to, the following: I. Attachments to the formal application, including: 12) Flight crew and ground personnel training and required facilities (A6, Pt I,9.3) 6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: (18) Simulator /flight training device evaluation and approvals (A6, Pt I, 9.3.2, Doc 9625) 6.105 Does the operational demonstration and inspection phase and certification file include items such as, but not limited to, the following: **ORGANISATION AND ADMINISTRATION GROUND OPERATIONS INSPECTION** 3) Flight crew qualifications, licensing and training (A6, Pt I, 9.3.1) 4) Cabin crew competency and training (A6, Pt I, 12.4) 5)Training programmes (Doc 8335, Pt III, 5.3.7)	4.211	Does the flight operations inspection organization ensure that: a) the air operator provides ground and flight training facilities, simulators and/or cockpit procedure training devices (e.g. fixed-based simulator [FBS], computer based training [CBT], etc.) and syllabus materials; and b) if a separate training organization is approved to provide air operators' flight crew training, does the flight operations inspection organization ensure that the training provided and flight documentation used correctly reflect the air operators' flight safety documents system?	Review Evidence: 1) Verify that applicable operations inspectors' guidance material, manuals, checklists, etc. have been established and implemented. 2) Sample some air operators' manuals to confirm implementation and compliance. 3) Review evidence during industry visit to confirm implementation.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA & EASA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standarized Question (SOS Protocol)	Guidance for Review of Evidence
4.221		5	Does the flight operations inspection organization: a) have procedures to verify that all applicable regulations are addressed in the flight crew training programmes; and b) thoroughly analyse and inspect these programmes before granting the AOC or any specific approval?	Refference: STD A6 Part I, 9.3 Part III, Section II, 7.3 GM A6 Part I, Att. D-B, 3.3.2 p) Doc 8335 Part III, C4 & C5 Doc 9376 Doc 10153	5.011	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** k) Flight crew training programmes (STD A6, Pt I, C9, 9.3.1) Yes No	4.221	Does the flight operations inspection organization: a) have procedures to verify that all applicable regulations are addressed in the flight crew training programmes; and b) thoroughly analyse and inspect these programmes before granting the AOC or any specific approval?	Review Evidence: Review operations inspectors' approval procedures to ensure that these are sufficiently detailed to cover all training and that the following are addressed : a) Training policies and directives; b) Administrative support of air operator; c) List of designated instructors and line check examiners; d) Comprehensive syllabi, including lesson plans for approved training; e) Procedures for the conduct of examinations and manoeuvre tolerances; f) Procedures to require that flight crew members are properly trained and examined on abnormal and emergency conditions; g) Procedures for remedial training and subsequent examination of flight crew unable to achieve or maintain required standards; and h) A process to obtain authority's approval for subsequent changes to the training manual.
4.222	Yes	7	Does the flight operations inspection organization ensure that the air operator's flight crew members, cabin crew members and flight dispatch/flight operations officers have the required training and qualifications before being scheduled to perform flight duties?	Refference: STD A6 Part I, 9.3, 10.3 & 12.4 Part III, Section II, 7.3, 8.3 & 10.3 GM A6 Part I, Att. D B, 3.3 p) Doc 8335 Part III, C4 & C5 Doc 9376 Doc 10153	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: I. Attachments to the formal application, including: 12) Flight crew and ground personnel training and required facilities (A6, Pt I,9.3) 6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: (16) training manuals for flight crew, cabin crew, operations personnel and ground personnel (A6, Pt I, 9.3, 10.3, 12.4, Att E. 3.3) (17) Training Programmes (A6, Pt I, 9.3, 10.3, 12.4, 3.3 (q)	4.222	Does the flight operations inspection organization ensure that the air operator's flight crew members, cabin crew members and flight dispatch/flight operations officers have the required training and qualifications before being scheduled to perform flight duties?	Review Evidence: 1) Review surveillance policy and programme to verify that compliance with training requirements is monitored. 2) Sample completed inspection records/checklists. 3) During the industry visit, confirm effective implementation by verifying air operators' training files.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA & EASA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standarized Question (SOS Protocol)	Guidance for Review of Evidence
4.231		6	Does the flight operations inspection organization ensure that an air operator establishes a flight dispatch/flight operations officers' training programme prior to the issuance of an AOC?	Refference: STD A6 Part I, 4.6 & 10.3 & App. 2, 2.4.3 Part III, Section II, 8.3 GM A6 Part III, App. 7 8, 2.4.3 Doc 7192 Part D-3 10106	6.104 6.105	6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: (16) training manuals for flight crew, cabin crew, operations personnel and ground personnel (A6, Pt I, 9.3, 10.3, 12.4, Att E. 3.3) (17) Training Programmes (A6, Pt I, 9.3, 10.3, 12.4, 3.3 (q) **ORGANISATION AND ADMINISTRATION GROUND OPERATIONS INSPECTION** 2) Operational control organization (A6, Pt I, 3.1.3, 3.1.4; Doc 8335, Pt III, 5.3.4) 5)Training programmes (Doc 8335, Pt III, 5.3.7)	4.231	Does the flight operations inspection organization ensure that an air operator establishes a flight dispatch/flight operations officers' training programme prior to the issuance of an AOC?	Review Evidence: 1) Verify that applicable operations inspectors' guidance material, manuals, checklists, etc. have been established and implemented. 2) Sample some air operators' manuals to confirm implementation and compliance with the following: a) Civil air law and regulations; b) Aviation instruction; c) Use of operations manual; d) Aircraft performance; e) Navigation; f) Flight planning and monitoring; g) Rules of the air, communication and air traffic management; h) Meteorology; i) Mass and balance control; j) Use of MEL/configuration deviation list (CDL); k) Transport of dangerous goods by air; l) Security procedures; m) Emergency response plan; n) Flight observation; and o) Recurrent training programme. 3) Review evidence during industry visit to confirm implementation.
4.235		7	Does the flight operations inspection organization ensure that the air operator maintains, on a recurrent basis, the knowledge, skills and qualifications of flight dispatch/flight operations officers ground instructors?	Refference: STD A6 Part I, 4.2.1.8, 4.6, C10 Part III, 2.2.1.8, 2.6 GM Doc 7192 10106 Part D-3 Doc 8335 Doc 9376 10153	6.103 6.104 6.105	6.103 Does the formal application phase and the certification file include items such as, but not limited to, the following: I. Attachments to the formal application, including: 12) Flight crew and ground personnel training and required facilities (A6, Pt I,9.3) 6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: (16) training manuals for flight crew, cabin crew, operations personnel and ground personnel (A6, Pt I, 9.3, 10.3, 12.4, Att E. 3.3) (17) Training Programmes (A6, Pt I, 9.3, 10.3, 12.4, 3.3 (q) 6.105 Does the operational demonstration and inspection phase and certification file include items such as, but not limited to, the following: **ORGANISATION AND ADMINISTRATION GROUND OPERATIONS INSPECTION** 5)Training programmes (Doc 8335, Pt III, 5.3.7)	4.235	Does the flight operations inspection organization ensure that the air operator maintains, on a recurrent basis, the knowledge, skills and qualifications of flight dispatch/flight operations officers ground instructors?	Review Evidence: 1) Verify that the surveillance programme includes surveillance of flight dispatch training. 2) Review related operations inspectors' procedures. 3) Sample training programme and records during the visit to the industry to confirm implementation.

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4.241		6	Does the flight operations inspection organization ensure that an air operator establishes a cabin crew training programme prior to the issuance of an AOC?	Refference: STD A6 Part I, 12.4 & App. 2, 2.4.2 Part III, Section II, 10.3 GM A6 Part III, App. 7 8, 2.4.2 Doc 9376 10153	6.103 6.104 6.105	6.103 Does the formal application phase and the certification file include items such as, but not limited to, the following: I. Attachments to the formal application, including: 12) Flight crew and ground personnel training and required facilities (A6, Pt I,9.3) 6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: (16) training manuals for flight crew, cabin crew, operations personnel and ground personnel (A6, Pt I, 9.3, 10.3, 12.4, Att E. 3.3) (17) Training Programmes (A6, Pt I, 9.3, 10.3, 12.4, 3.3 (q) 6.105 Does the operational demonstration and inspection phase and certification file include items such as, but not limited to, the following: **ORGANISATION AND ADMINISTRATION GROUND OPERATIONS INSPECTION** 4) Cabin crew competency and training (A6, Pt I, 12.4)	4.241	Does the flight operations inspection organization ensure that an air operator establishes a cabin crew training programme prior to the issuance of an AOC?	Review Evidence: 1) Verify that applicable operations inspectors' guidance material, manuals, checklists, etc. have been established and implemented. 2) Sample some air operators' manuals to confirm implementation and compliance with the following: a) Basic instructions on the different functions, duties and responsibilities of cabin crew members; b) Introduction to aircraft systems and limitations; c) Aircraft emergency evacuation, life safety equipment and related information to passengers; d) Cabin crew members assignment, coordination and two-way communication; e) Knowledge and skills related to the transport of dangerous goods; f) Security procedures; and g) Recurrent training programme including an examination to determine competence. 3) Review evidence during industry visit to confirm implementation.
4.243		5	Has the State established a policy and related procedures to ensure that air operators select and appoint cabin crew instructors and examiners who meet at least the appropriate minimum experience and knowledge requirements?	Refference: STD A6 Part I, C12 & App. 5, item 7, App.2, 2.4.2 Part III, Section II, C10 & App. 1, item 7, App. 8, 2.4.2 GM Doc 9376 10153	5.011	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** q) Cabin crew training programmes (STD A6, Pt I, C12, 12.4) Yes No If yes to any item above, provide reference location of guidance for type of approval action(s) granted.	4.243	Has the State established a policy and related procedures to ensure that air operators select and appoint cabin crew instructors and examiners who meet at least the appropriate minimum experience and knowledge requirements?	Review Evidence: Verify regulations or policy and/or procedure regarding the selection criteria for cabin crew who are charged with tasks as instructors or examiners (ground or in flight test).

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4.247		7	Has the flight operations inspection organization established a surveillance programme to ensure that the appointed instructors and examiners for cabin crew maintain their competency with respect to their delegated tasks?	Refference: STD A6 Part I, C12 & App. 5, item 7 Part III, Section II, C10 & App. 1, item 7.	6.103 6.104 6.105 7.004	6.103 Does the formal application phase and the certification file include items such as, but not limited to, the following: I. Attachments to the formal application, including: 12) Flight crew and ground personnel training and required facilities (A6, Pt I,9.3) 6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: (16) training manuals for flight crew, cabin crew, operations personnel and ground personnel (A6, Pt I, 9.3, 10.3, 12.4, Att E. 3.3) (17) Training Programmes (A6, Pt I, 9.3, 10.3, 12.4, 3.3 (q) 6.105 Does the operational demonstration and inspection phase and certification file include items such as, but not limited to, the following: **ORGANISATION AND ADMINISTRATION GROUND OPERATIONS INSPECTION** 5)Training programmes (Doc 8335, Pt III, 5.3.7)	4.247	Has the flight operations inspection organization established a surveillance programme to ensure that the appointed instructors and examiners for cabin crew maintain their competency with respect to their delegated tasks?	Review Evidence: 1) Check if surveillance programme includes surveillance of cabin crew training. 2) Review related operations inspectors' procedures. 3) Review surveillance policy and programme/plan to confirm maintenance of competency is addressed.
4.253		7	Does the flight operations inspection organization ensure that the air operator is managing flight and cabin crew fatigue within the prescriptive limits established by the State?	Refference: STD A6 Part I, 4.10.8 & App. 2, 2.1.2, App. 5, item 7 and App. 7 Part III, Section II, 2.2.10.3 2.8 GM Doc 9966 C4 & App. C	6.105	6.105 Does the operational demonstration and inspection phase and certification file include items such as, but not limited to, the following: **ORGANISATION AND ADMINISTRATION GROUND OPERATIONS INSPECTION** 12) Fatigue risk management provisions (A6,Pt I, 4.10, App 7)	4.253	Does the flight operations inspection organization ensure that the air operator is managing flight and cabin crew fatigue within the prescriptive limits established by the State?	Review Evidence: 1) Review surveillance policy and programme of air operators to verify that: a) fatigue is being managed with scheduling practices that: i) allow adequate sleep recovery; ii) limit periods of wakefulness; iii) accommodate circadian influences on sleep and performance; and iv) recognize the impact of workload on fatigued individuals; b) compliance with prescriptive limitation regulations is monitored; and c) fatigue is recognized as a safety hazard to be managed using existing SMS processes. 2) Sample completed inspection records/checklists for flight and cabin crews fatigue management. 3) During the industry visit, confirm effective implementation by verifying air operators' fatigue management practices.

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4.254		6	If State approves variations to the prescriptive fatigue management regulations, does it do so according to an established process?	Referrence: STD A6 Part I, 4.10.3 GM Doc 9966 C4 & App. C	6.105	6.105 Does the operational demonstration and inspection phase and certification file include items such as, but not limited to, the following: **ORGANISATION AND ADMINISTRATION GROUND OPERATIONS INSPECTION** 12) Fatigue risk management provisions (A6,Pt I, 4.10, App 7)	4.254	If State approves variations to the prescriptive fatigue management regulations, does it do so according to an established process?	Review Evidence: 1) Verify implementation of the operations inspectors' procedures to issue a variation based on: a) An assessment by the regulator of the comprehensive risk assessment provided by the operator to support their application for a variation; and b) An application that is within the definition of the "exceptional circumstances" determined by the regulator. 2) Confirm effective implementation by verifying records of variation approval. 3) Verify inclusion of the risk assessment results in the records. 4) During the industry visit, confirm effective implementation by verifying that the air operator's variation is in accordance with the approval issued by the operations organization.
4.255		2	If the State approves the use of a Fatigue Risk Management System (FRMS) allowing an operator to move outside of prescribed limits, has the State promulgated FRMS regulations?	Referrence: STD A6 Part I, 4.10.1, 4.10.5 & App. 7 GM Doc 9966 C1, C5 & App. A	2.030 2.070	2.030 Describe the regulation that requires the operator to establish procedures for managing fatigue of flight and cabin crew members. Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response. 2.070 Describe regulations for the purpose of managing fatigue, such as flight time, flight duty period, duty period and rest period limitations; and if operators are authorized to use a Fatigue Risk Management System (FRMS) to manage fatigue, FRMS regulations. Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.	4.255	If the State approves the use of a Fatigue Risk Management System (FRMS) allowing an operator to move outside of prescribed limits, has the State promulgated FRMS regulations?	Review Evidence: 1) Verify that FRMS regulations have been promulgated for pilots and for cabin crews. 2) Verify that the content of the FRMS regulations complies with the ICAO requirements.

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4.256		5	If the State authorizes air operators to use Fatigue Risk Management System (FRMS), has the flight operations inspection organization established an approval process?	Refference: STD A6 Part I, 4.10.4; App. 7 GM Doc 9966 C5 & C6	6.105	6.105 Does the operational demonstration and inspection phase and certification file include items such as, but not limited to, the following: **ORGANISATION AND ADMINISTRATION GROUND OPERATIONS INSPECTION** 12) Fatigue risk management provisions (A6,Pt I, 4.10, App 7)	4.256	If the State authorizes air operators to use Fatigue Risk Management System (FRMS), has the flight operations inspection organization established an approval process?	Review Evidence: 1) Verify that there is a documented FRMS approval process. 2) Verify that the authority requires the operator to identify maximum values for flight times and/or flight duty periods and duty periods as well as minimum values for rest periods. 3) Verify that the approval process includes the need to define a trial period. 4) Verity that the requirements for obtaining approval are available to operators.
4.257		6	If the State authorizes air operators to use the Fatigue Risk Management System (FRMS), does the flight operations inspection organization follow the established FRMS approval process?	Refference: STD A6 Part I, 4.10.2, 4.10.4, 4.10.5, 4.10.6 & App. 7 GM Doc 9966 C5 & C6	6.105	6.105 Does the operational demonstration and inspection phase and certification file include items such as, but not limited to, the following: **ORGANISATION AND ADMINISTRATION GROUND OPERATIONS INSPECTION** 12) Fatigue risk management provisions (A6, Pt I, 4.10, App 7)	4.257	If the State authorizes air operators to use the Fatigue Risk Management System (FRMS), does the flight operations inspection organization follow the established FRMS approval process?	Review Evidence: 1) Verify that the inspectors reviewed and monitored the operator's progress during the preparation and trial of the FRMS, as part of the FRMS approval process. 2) Verify that approval was granted based on: a) it being applied only in those particular operations, routes or trips defined. b) evidence that the FRMS delivered a level of safety acceptable to the regulator. 3) Verify that the authority allows operators to move outside of prescriptive limitations only under the following conditions: a) in accordance with approved variations; b) during a defined trial period of an FRMS as part of FRMS approval process; and c) in accordance with an approved FRMS. 4) Confirm effective implementation of the approval process by reviewing the FRMS approval documentation of at least one authorized air operator.
4.259		7	If the State authorizes air operators to use Fatigue Risk Management System (FRMS), does the flight operations inspection organization implement an effective FRMS surveillance programme?	Refference: STD A6 Part I, 4.10.4; App. 7 GM Doc 9966 C6	6.105	6.105 Does the operational demonstration and inspection phase and certification file include items such as, but not limited to, the following: **ORGANISATION AND ADMINISTRATION GROUND OPERATIONS INSPECTION** 12) Fatigue risk management provisions (A6,Pt I, 4.10, App 7)	4.259	If the State authorizes air operators to use Fatigue Risk Management System (FRMS), does the flight operations inspection organization implement an effective FRMS surveillance programme?	Review Evidence: 1) Verify inspectors' procedures and checklists for FRMS audit/inspection. 2) Check that records are maintained by the air operators and reviewed by the authority. 3) Review surveillance programme to ensure that air operators are visited at least once a year. 4) Verify that the State monitors the FRMS performance indicators agreed upon with the air operator. 5) Sample completed inspection

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									records/checklists to ensure that all aspects are checked.
4.260		8	If the State authorizes air operators to use Fatigue Risk Management System (FRMS), has the flight operations inspection organization established and implemented enforcement procedures in case deficiencies are identified in an FRMS?	Refference: STD A6 Part I, 4.10.8 & App. 5 GM Doc 9966 C6	6.105	6.105 Does the operational demonstration and inspection phase and certification file include items such as, but not limited to, the following: **ORGANISATION AND ADMINISTRATION GROUND OPERATIONS INSPECTION** 12) Fatigue risk management provisions (A6,Pt I, 4.10, App 7)	4.260	If the State authorizes air operators to use Fatigue Risk Management System (FRMS), has the flight operations inspection organization established and implemented enforcement procedures in case deficiencies are identified in an FRMS?	Review Evidence: 1) Verify that there are established processes allowing for different levels of actions to be taken by the authority, from warnings to withdrawal of FRMS approval. 2) Verify implementation by sampling completed inspection records to ensure that appropriate actions were taken in case deficiencies are identified.
4.261	Yes	6	Does the flight operations inspection organization ensure that the air operator has established an organizational and management system for the operational control of all flights in accordance with specific operating regulations applicable to aircraft operations with the related policies, processes, standards and procedures?	Refference: STD A6 Part I, 3.1.3, 3.1.4, 3.5, 4.1, 4.2.1.3 & 6.18 Part III, Section II, 1.1.3, 1.1.4 & 2.2.1.3 GM Doc 8335 Part III, 5.3.4?5.4.4 Doc 10084?	6.104	**Does the Document Evaluation phase and certification file include items such as, but not limited to, the following:** 4) operational control procedures, dispatch, flight following, etc. (A6, Pt I, 4.1, 4.2.3, 4.3, 4.6.1)	4.261	Does the flight operations inspection organization ensure that the air operator has established an organizational and management system for the operational control of all flights in accordance with specific operating regulations applicable to aircraft operations with the related policies, processes, standards and procedures?	Review Evidence: 1) Verify that applicable operations inspectors' guidance material, manuals, checklists, etc. have been established and implemented. 2) Sample some air operators' manuals to confirm implementation and compliance with the following: a) Establishment of operational control system including: i) aircraft tracking and location of an aeroplane in distress; and ii) risk management (assessment and mitigations) when intending to operate over or near conflict zones; b) Definition of responsibilities; c) Definition of authorities; d) Policies; e) Processes; f) Standards; and g) Procedures. 3) Verify that for the: a) Initiation; b) Continuation; c) Diversion; and d) Termination of flights, the operations manual contains the functions and responsibilities of: i) Flight crew; and ii) Flight operations officers/flight dispatchers.

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									4) Verify that the authority approves the method of control and supervision of flight operations when it is used.
4.271		6	Does the flight operations inspection organization ensure that the air operator has established policy and procedures for flight crew to record and report on: a) Routine meteorological observation during: - en-route, and - climb-out phases of the flight; and b) Special and other non-routine observations during any phase of the flight; and c) Volcanic activity?	Refference: STD A3 5.1, 5.2, 5.3, 5.5, 5.6 & 5.9 GM Doc 9376 10153		No FAA Question	4.271	Does the flight operations inspection organization ensure that the air operator has established policy and procedures for flight crew to record and report on: a) Routine meteorological observation during: - en-route, and - climb-out phases of the flight; and b) Special and other non-routine observations during any phase of the flight; and c) Volcanic activity?	Review Evidence: 1) Verify that applicable operations inspectors' guidance material, manuals, checklists, etc. have been established and implemented. 2) Sample some air operators' manuals to confirm implementation and compliance.
4.281		6	Does the flight operations inspection organization ensure that the air operator makes available to flight crew and operational personnel, at any aerodrome authorized in its AOC and corresponding operations specifications, pre-flight aeronautical information essential for the safety (e.g. Notice to Airmen (NOTAM), AIP, Aeronautical Information Circular (AIC), and Aeronautical Information Regulation and Control (AIRAC)), regularity and efficiency of air navigation?	Refference: STD A6 Part I, 4.1 & 4.3 Part III, Section II, 2.1 & 2.3 A15 86.1	No FAA question	No FAA question	4.281	Does the flight operations inspection organization ensure that the air operator makes available to flight crew and operational personnel, at any aerodrome authorized in its AOC and corresponding operations specifications, pre-flight aeronautical information essential for the safety (e.g. Notice to Airmen (NOTAM), AIP, Aeronautical Information Circular (AIC), and Aeronautical Information Regulation and Control (AIRAC)), regularity and efficiency of air navigation?	Review Evidence: 1) Verify that applicable operations inspectors' guidance material, manuals, checklists, etc. have been established and implemented. 2) Sample some air operators' manuals to confirm implementation and compliance with the following: a) Provision of pre-flight information; and b) That information provided includes i) Elements of the integrated Aeronautical Information Package; ii) Maps and charts; iii) NOTAMs; i v) AIP; v) AIC; and vi) AIRAC. 3) Review evidence during industry visit to confirm implementation.

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4.301		6	Does the flight operations inspection organization approve the method for determining aerodrome operating minima for aeroplane operators?	Referrence: STD A6 Part I, 4.2.8 & App. 2, 2.1.7 Doc 9365	5.011	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** **a) The method of determining aerodrome operating minima (STD A6, Pt I, C4, 4.2.8.1; Doc 8335, C5, 5.3) Yes No**	4.301	Does the flight operations inspection organization have technical guidance for inspectors to utilize standardized methods to perform APPROVAL ACTIONS for determining aerodrome operating minima for aeroplane operators?	Review Evidence: 1) Verify that applicable operations inspectors' guidance material, manuals, checklists, etc. have been established and implemented. 2) Sample some air operators' manuals to confirm implementation and compliance. 3) Review evidence during industry visit to confirm implementation.
4.303		6	Does the flight operations inspection organization approve the method for determining heliport operating minima for helicopter operators?	Referrence: STD A6 Part III, Section II, 2.2.8 GM A6 Part III, App. ~~7~~ 8, 2.1.6 Doc 9365	No FAA question	No FAA question	4.303	Does the flight operations inspection organization approve the method for determining heliport operating minima for helicopter operators?	Review Evidence: 1) Verify that applicable operations inspectors' guidance material, manuals, checklists, etc. have been established and implemented. 2) Sample some air operators' manuals to confirm implementation and compliance.
4.321	Yes	6	Does the flight operations inspection organization ensure that the air operator has established an organizational structure which includes the responsibilities and authority for the management of all ground handling functions prior to the issuance of an AOC?	Referrence: STD A6 Part I, 4.2.1.3; App. 2, 2.1.9 Part III, Section II, 2.2.1.3 GM A6 Part III, App. ~~7~~ 8, 2.1.8 Doc 8335 Part I, 2.2.3	6.104	**Does the Document Evaluation phase and certification file include items such as, but not limited to, the following:** **5) aircraft loading and/or ground handling manual (A6, Pt I, 4.2.3, App 2, 2.2)**	4.321	Does the flight operations inspection organization ensure during the evaluation phase and certification process, that the air operator has established an organizational structure which includes the responsibilities and authority for the management of all ground handling functions prior to the issuance of an AOC?	Review Evidence: 1) Verify implementation of operations inspectors' procedures to confirm air operator's establishment of an organizational structure for ground handling functions, with description of related responsibilities and authorities. 2) Verify implementation by checking operations manuals for: a) Ground handling structure, and b) Lines of responsibilities associated with the following, when applicable: i) Ramp operations, ii) Passenger services, iii) Baggage services, iv) Cabin services, v) Weight and balance control, vi) Ground support equipment, and vii) Fuel services.

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4.323		6	Does the flight operations inspection organization ensure that the air operator has established aircraft ground handling training requirements, subcontracting policies, handling processes, procedures and practices for all ground handling operations?	Refference: STD A6 Part I, 4.2.1.4 & App. 2, 2.1.9 Part III, Section II, 2.2.1.4 GM A6 Part III, App. 78, 2.1.8 Doc 8335 Part III, 7.6.1 4.2.1	6.104	Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: 2) description of the flight safety document system (A6, Pt I, 3.3.3, Att G) 16) training manuals for flight crew, cabin crew, operations personnel and ground personnel (A6, Pt I, 9.3, 10.3, 12.4, Att E. 3.3) 17) Training Programmes (A6, Pt I, 9.3, 10.3, 12.4, 3.3 (q)	4.323	Does the flight operations inspection organization ensure during the evaluation phase and certification process, that the air operator has established aircraft ground handling training requirements, subcontracting policies, handling processes, procedures and practices for all ground handling operations?	Review Evidence: 1) Verify implementation of the operations inspectors' procedures as part of the certification process to ensure that air operator's procedures include the following for aircraft ground handling: a) training requirements; b) subcontracting policies; c) handling processes; and d) procedures and practices for all ground handling operations. 2) Review evidence to confirm effective implementation (e.g. operations manual, weight and balance manual, handling manual and training programme for ground handlers).
4.325		7	Does the flight operations inspection organization ensure that the air operator maintains permanently its ground handling responsibility, when all or part of the functions and tasks related to ground handling services have been contracted to a service provider?	Refference: STD A6 Part I, 4.2.1.3; App. 2, 2.1.9 & App. 5, 7 Part III, Section II, 2.2.1.4 & App. 1, 7 GM A6 Part III, App. 78, 2.1.8 Doc 8335 Part III, 5.3.13 5.3.5	No FAA question	No FAA question	4.325	Does the flight operations inspection organization ensure that the air operator maintains permanently its ground handling responsibility, when all or part of the functions and tasks related to ground handling services have been contracted to a service provider?	Review Evidence: 1) Verify the surveillance policy and programme. 2) Verify that operations inspectors' procedures and checklists are used for inspection of ground handling responsibilities. 3) Review completed operations inspectors' checklists to confirm effective implementation of surveillance programme.
4.331	Yes	2	Has the State promulgated regulation on the transport of dangerous goods by air to transpose the provisions of Annex 18?	Refference: STD A18 2.2.1 A19 3.2.2 GM Doc 9284 (TI) Doc 8335 Part I, 2.2 & 3.1 Doc 9734 Part A	2.068	Describe the regulation that ensures operators with or without approval to transport dangerous goods as cargo, establish a dangerous goods training programme and dangerous goods policies and procedures in its operations manual.	4.331	Has the State promulgated regulation on the transport of dangerous goods by air to transpose the provisions of Annex 18, that ensures operators with or without approval to transport dangerous goods as cargo, establish a dangerous goods training programme, policies and procedures in its operations manual?	Review Evidence: 1) Verify dangerous goods regulations. 2) Verify if the State has incorporated the provisions of Annex 18 and the Technical Instructions (TI or Doc 9284) either directly or by reference.
4.332		2	Has the State notified ICAO of variations from the Technical Instructions (TI or Doc 9284)?	Refference: STD A18 2.5.1	No FAA question	No FAA question	4.332	Has the State notified ICAO of variations from the Technical Instructions (TI or Doc 9284)?	Review Evidence: 1) Verify the process in place for such notification. 2) If the State's policy is to be in full compliance with the TI, it is Satisfactory.

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4.333		2	Has the State implemented procedures to amend its enabling regulations in the area of dangerous goods subsequent to an Annex 18 amendment?	Referrence: CC Arts. 37 & 38 STD A19 3.2.2 GM Doc 9284 (TI) Doc 9734 Part A, C3	No FAA question	No FAA question	4.333	Has the State implemented procedures to amend its enabling regulations in the area of dangerous goods subsequent to an Annex 18 amendment?	Review Evidence: 1) Review documented evidence of the effective implementation. 2) Verify that amendments of regulations are effected in a timely manner whenever an Annex 18 amendment or Technical Instructions (TI or Doc 9284) amendment is received. 3) Verify the action taken by the State after receipt of the last amendments to Annex 18.
4.334	Yes	2	Has the State implemented procedures for identifying and notifying to ICAO differences between ICAO Standards and national regulations in the area of dangerous goods, if any?	Referrence: CC Arts. 37 & 38 STD A19 3.2.2 GM Doc 9284 (TI) Doc 9734 Part A, C3	No FAA question	No FAA question	4.334	Has the State implemented procedures for identifying and notifying to ICAO differences between ICAO Standards and national regulations in the area of dangerous goods, if any?	Review Evidence: Review documented evidence of the effective implementation of the procedures
4.335		3	Has the State designated and specified to ICAO the appropriate national authority responsible for the transport of dangerous goods by air?	Referrence: STD A18 2.7 GM Doc 9284 Supp (TI SUPP)	No FAA question	No FAA question	4.335	Has the State designated and specified to ICAO the appropriate national authority responsible for the transport of dangerous goods by air?	Review Evidence: 1) Cross-check State Aviation Activity Questionnaire (SAAQ) and confirm with ICAO. 2) Required even if State does not issue approvals for the transport of dangerous goods. 3) If multiple authorities have responsibilities, identify them individually.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA & EASA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standarized Question (SOS Protocol)	Guidance for Review of Evidence
4.337		3	Are all the functions and responsibilities of the entities/individuals responsible for dangerous goods clearly defined?	Referrence: STD A6 Part I, 4.2 Part III, 2.2 GM Doc 8335 Part I, 5.2 Doc 9734 Part A, C3	No FAA question	No FAA question	4.337	Are all the functions and responsibilities of the entities/individuals responsible for dangerous goods clearly defined?	Review Evidence: Review documents detailing functions and responsibilities for inclusion of the following tasks: a) Development and/or revision of specific regulations; b) Issuance of exemptions and approvals related to dangerous goods; c) Issuance of specific approvals to air operators to transport dangerous goods by air; d) Review of dangerous goods training programmes of all air operators; e) Review of dangerous goods procedures for all air operators; f) Review of dangerous goods training programmes for all entities on the ground involved in the transport of dangerous goods by air; g) Inspection of air operators related to dangerous goods h) Inspections of shippers and handling companies related to dangerous goods; i) Gathering dangerous goods incidents and accidents information; and j) Certification of general aviation operations.
4.343		5	Has the State established procedures to: a) Approve the dangerous goods training programme of AOC holders; and b) Grant specific approval to transport dangerous goods by air?	Referrence: STD A6 Part I; App. 5, C4 paragraph 6 Part III, Section II; App. 1, C4 paragraph 6 A18 C10 & C11 GM Doc 9284 (TI) 4.1.2 Doc 8335 Part IV III, 4.3.5.6.9, 2.8	5.011	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** l) Training in the transport of dangerous goods (A6, Pt I, C9, 9.3.1, e) & Note 5; C12, e) & Note 1; C14, 14.1 Yes No	4.343	Has the State established procedures to: a) Approve the dangerous goods training programme of AOC holders; and b) Grant specific approval to transport dangerous goods by air?	Review Evidence: Review the dangerous goods inspectors' procedures and ensure that they include: a) Review of AOC holder's dangerous goods procedures; b) Training programmes for all AOC holders, and c) On-site inspections before granting of specific approvals to applicants.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA & EASA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standarized Question (SOS Protocol)	Guidance for Review of Evidence
4.345	Yes	6	Does the State grant specific approvals for the transport of dangerous goods by air?	Refererence: STD A6 Part I, 4.2.1.3, C14, Att.G Part III, Section II, 2.2.1.3, C12, Att. G A18 2.1, 2.2 & 2.3	6.104	**Does the Document Evaluation phase and certification file include items such as, but not limited to, the following:** **21) dangerous goods manual (A6, Pt I, App 2, 2.1.35)**	4.345	Does the State grant specific approvals for the transport of dangerous goods by air?	Review Evidence: 1) Review procedures and process for granting specific approvals. 2) Review records of specific approvals for transport of dangerous goods.
4.347		6	Does the organization/individual responsible for the transport of dangerous goods by air ensure that: a) Authorized air operators have developed and use an acceptance checklist to prevent acceptance of dangerous goods for transport by air unless they are accompanied by a completed dangerous goods transport document, and b) Their marking, package, overpack or freight container have been inspected in accordance with the acceptance procedure contained in the Technical Instructions (TI or Doc 9284)?	Refererence: STD A18 8.1 & 8.2 GM Doc 9284 (TI)	6.104	**Does the Document Evaluation phase and certification file include items such as, but not limited to, the following:** **21) dangerous goods manual (A6, Pt I, App 2, 2.1.35)**	4.347	Does the organization/individual responsible for the transport of dangerous goods by air ensure that: a) Authorized air operators have developed and use an acceptance checklist to prevent acceptance of dangerous goods for transport by air unless they are accompanied by a completed dangerous goods transport document, and b) Their marking, package, overpack or freight container have been inspected in accordance with the acceptance procedure contained in the Technical Instructions (TI or Doc 9284)?	Review Evidence: 1) Review inspectors' procedures for issuance of specific approvals to transport dangerous goods. 2) Sample completed checklists used by authorized air operators.
4.349		6	Does the organization/individual responsible for the transport of dangerous goods by air ensure that authorized air operators will not load dangerous goods into the aircraft unless the appropriate loading, segregation and inspection for damage or leakage procedures are followed?	Refererence: STD A18 8.3, 8.4 & 8.7 GM Doc 9284 (TI)	6.104	**Does the Document Evaluation phase and certification file include items such as, but not limited to, the following:** **21) dangerous goods manual (A6, Pt I, App 2, 2.1.35)**	4.349	Does the organization/individual responsible for the transport of dangerous goods by air ensure that authorized air operators will not load dangerous goods into the aircraft unless the appropriate loading, segregation and inspection for damage or leakage procedures are followed?	Review Evidence: 1) Review authorization process and inspection procedures for issuance of specific approvals to transport dangerous goods. 2) Sample completed checklists or other mechanisms used by authorized air operators.
4.351		6	Does the organization/individual responsible for the transport of dangerous goods by air ensure that: a) the air operator of an aircraft in which dangerous goods are carried provides the pilot-in-command with written information (e.g. Notification to Captain or NOTOC); and b) the written information is retained on the ground and readily accessible to the aerodromes of last departure and next scheduled arrival, as specified in the Technical Instructions (TI or Doc 9284)?	Refererence: STD A6 Part I, 14.3 b)5, Att.G A6 Part III, 12.4, Att. G A18 9.1 GM Doc 9284 (TI)	6.104	**Does the Document Evaluation phase and 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: **21) dangerous goods manual (A6, Pt I, App 2, 2.1.35)**	4.351	Does the organization/individual responsible for the transport of dangerous goods by air ensure that: a) the air operator of an aircraft in which dangerous goods are carried provides the pilot-in-command with written information (e.g. Notification to Captain or NOTOC); and b) the written information is retained on the ground and readily accessible to the aerodromes of last departure and next scheduled arrival, as specified in the Technical Instructions (TI or Doc 9284)?	Review Evidence: 1) Review authorization process and inspection procedures for issuance of specific approvals to transport dangerous goods by air. 2) Sample completed checklists or other documented mechanisms used by authorized air operators.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA & EASA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standarized Question (SOS Protocol)	Guidance for Review of Evidence
4.355		6	Does the organization/individual responsible for the transport of dangerous goods by air ensure that the air operator authorized to transport dangerous goods has established in-flight procedures for emergency response for aircraft incidents involving dangerous goods?	Refference: STD A6 Part I, App. 2, 2.1.35 A18 9.1, 9.2, 9.5 & 9.6 GM A6 Part III, App. 78, 2.1.28 Doc 9284 (TI) Doc 9481? Doc 10147	6.104	**Does the Document Evaluation phase and 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: **21) dangerous goods manual (A6, Pt I, App 2, 2.1.35)**	4.355	Does the organization/individual responsible for the transport of dangerous goods by air ensure that the air operator authorized to transport dangerous goods has established in-flight procedures for emergency response for aircraft incidents involving dangerous goods?	Review Evidence: 1) Review authorization process and inspector's procedures. 2) Verify implementation of inspector's procedures. 3) Sample documented procedures in operations manual. 4) Review air operator's procedures during industry visit.
4.357		5	Has the State established procedures for the surveillance of all the air operators related to the transport of dangerous goods by air?	Refference: STD A6 Part I, App. 5, paragraph 7 Part III, App. 1, paragraph 7 A18 11.1 GM Doc 9284 Supp (TI SUPP) Part S-7, C5 C6	5.009 5.011 5.016	5.009 Does the inspector technical guidance contain policy, procedures, and standards for: **D) surveillance/inspections Yes No** If yes, describe the specific technical guidance developed and implemented by the CAA. 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 l) Training in the transport of dangerous goods (A6, Pt I, C9, 9.3.1, e) & Note 5; C12, e) & Note 1; C14, 14.1 Yes No** If yes to any item above, provide reference location of guidance for type of approval action(s) granted. **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.**	4.357	Has the State established procedures for the surveillance of all the air operators related to the transport of dangerous goods by air?	Review Evidence: 1) Verify that there is an inspection policy, which covers authorized or non-authorized air operators, national and foreign operators, with regular and random inspections. 2) Verify the inspection checklists and guidance used by the inspectors. 3) Verify that the inspections cover handling responsibilities if subcontracted to an external handling company and that the air operator provides subcontractor with appropriate documents and manuals.
4.358	Yes	6	Does the State ensure that passengers are warned as to the types of dangerous goods that they are prohibited or restricted from transporting aboard an aircraft?	Refference: STD A18 9.3 Doc 9284, Part 7, C5	6.104	**Does the Document Evaluation phase and certification file include items such as, but not limited to, the following:** **21) dangerous goods manual (A6, Pt I, App 2, 2.1.35)**	4.358	Does the State ensure that passengers are warned as to the types of dangerous goods that they are prohibited or restricted from transporting aboard an aircraft?	Check the passenger awareness system.
4.359	Yes	7	Does the organization/individual responsible for the transport of dangerous goods by air carry out regular and random inspections of all entities, except air operators, involved in the transport of dangerous goods by air to confirm compliance with Annex 18 and the Technical Instructions (TI or Doc 9284)?	Refference: STD A18 11.1 GM Doc 9284 Supp (TI SUPP) Part S-7, C5 C6	7.001	7.001 Describe the CAA's oversight of their surveillance system that has been implemented as it pertains to the following elements: **G) Continued Surveillance Obligations (A6, Pt I, 4.2.1.8, and App 5, 7; Doc 9734, Pt A, C3.7)** Provide the specific citation to the relevant regulation, documentation, and any guidance material or practice used in reference to your response.	4.359	Does the organization/individual responsible for the transport of dangerous goods by air carry out regular and random inspections of all entities, except air operators, involved in the transport of dangerous goods by air to confirm compliance with Annex 18 and the Technical Instructions (TI or Doc 9284)?	Review Evidence: 1) Sample completed dangerous goods inspection records. 2) Review if the programme implemented enables the surveillance of all entities.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA & EASA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standarized Question (SOS Protocol)	Guidance for Review of Evidence
4.360		5	Has the State established procedures related to the oversight of entities, other than air operators, established in the State and involved in the transport of dangerous goods by air to confirm compliance with dangerous goods regulations?	Referrence: STD A18 C5, C6, C7, C10 & C11	5.009	5.009 Does the inspector technical guidance contain policy, procedures, and standards for: D) surveillance/inspections Yes No If yes, describe the specific technical guidance developed and implemented by the CAA	4.360	Has the State established procedures related to the oversight of entities, other than air operators, established in the State and involved in the transport of dangerous goods by air to confirm compliance with dangerous goods regulations?	Review Evidence: 1) Verify that dangerous goods inspection procedures include a review of training programmes as well as regular and random onsite inspections of all entities established in the State as being involved in the transport of dangerous goods by air (shippers and cargo handling companies in particular). 2) Review the inspection checklists for each kind of inspection. 3) Review the inspection policy and the frequency chosen for each type of inspection.
4.361	Yes	6	Does the organization/individual responsible for the transport of dangerous goods by air ensure that the organizations or agencies, which are involved in the transport of dangerous goods by air, have established and implemented initial and recurrent dangerous goods training programmes?	Referrence: STD A18 C10 GM Doc 9284 (TI) Part 1, C4, Part 5, C1 & Part 7, C4 S5 C1	5.011 6.104 6.105	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** l) Training in the transport of dangerous goods (A6, Pt I, C9, 9.3.1, e) & Note 5; C12, e) & Note 1; C14, 14.1 Yes No If yes to any item above, provide reference location of guidance for type of approval action(s) granted. **6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following:** 16) training manuals for flight crew, cabin crew, operations personnel and ground personnel (A6, Pt I, 9.3, 10.3, 12.4, Att E. 3.3) 17) Training Programmes (A6, Pt I, 9.3, 10.3, 12.4, 3.3 (q) 21) dangerous goods manual (A6, Pt I, App 2, 2.1.35)	4.361	Does the organization/individual responsible for the transport of dangerous goods by air ensure that the organizations or agencies, which are involved in the transport of dangerous goods by air, have established and implemented initial and recurrent dangerous goods training programmes?	Review Evidence: 1) Verify that the dangerous goods inspectors have reviewed/approved the specific training programmes to be established and maintained by: a) Shippers of dangerous goods, including packers and shippers' agents; b) Agencies which perform, on behalf of the air operator, the act of accepting, handling, loading, unloading, transferring or other processing of cargo; c) Agencies located at an aerodrome which perform, on behalf of the air operator, the act of processing passengers; d) Agencies not located at an aerodrome which perform, on behalf of the air operator, the act of checking in passengers; e) Agencies other than air operators involved in processing cargo; f) Designated Postal Operators (has to be approved by State); g) Agencies engaged in the security screening of passengers and their baggage; and h) Any other person or agency performing a function on behalf of the air operator. 2) Review the files for each type of agencies. 3) Sample dangerous goods training records to confirm implementation.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA & EASA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standarized Question (SOS Protocol)	Guidance for Review of Evidence
4.363		6	Are dangerous goods training programmes of air operators reviewed and approved by the organization/individual responsible for the transport of dangerous goods by air before specific approval is granted?	STD A6 Part I, 9.3, 12.4; App. 2, 2.1.35 & 2.4 Part III Section 2 Par 1.3.5 GM A6 Part I, Att. F B, 3.3.2 q), Att. D Part III Att. C, 3.3.2 k), Att. D Doc 9376, 10153,	5.011 6.104 6.105	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** l) Training in the transport of dangerous goods (A6, Pt I, C9, 9.3.1, e) & Note 5; C12, e) & Note 1; C14, 14.1 Yes No **6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following:** personnel (A6, Pt I, 8.7.6.4) 16) training manuals for flight crew, cabin crew, operations personnel and ground personnel (A6, Pt I, 9.3, 10.3, 12.4, Att E. 3.3) 17) Training Programmes (A6, Pt I, 9.3, 10.3, 12.4, 3.3 (q) 18) Simulator /flight training device evaluation and approvals (A6, Pt I, 9.3.2, Doc 9625) 19) aircraft flight manuals (A6, Pt I, 11.1, App 2, 2.2) 20) route guide (A6, Pt I, App 2, 2.3) 21) dangerous goods manual (A6, Pt I, App 2, 2.1.35) 6.105 Does the operational demonstration and inspection phase and certification file include items such as, but not limited to, the following: **ORGANISATION AND ADMINISTRATION GROUND OPERATIONS INSPECTION** 3) Flight crew qualifications, licensing and training (A6, Pt I, 9.3.1) 4) Cabin crew competency and training (A6, Pt I, 12.4) 5)Training programmes (Doc 8335, Pt III, 5.3.7) 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	4.363	Are dangerous goods training programmes of air operators reviewed and approved by the organization/individual responsible for the transport of dangerous goods by air before specific approval is granted?	Review Evidence: 1) Review certification records. 2) Verify air operator's training programme to ensure that it covers all employees. 3) Review and sample air operator's training records to confirm implementation.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA & EASA combined	IASA PQ NUMBER		FAA IASA	SOS Checklist Number	Suggested Standarized Question (SOS Protocol)	Guidance for Review of Evidence
4.365		6	Are dangerous goods training programmes of air operators reviewed and approved by the organization/individual responsible for the transport of dangerous goods by air before specific approval is granted?	Refference: STD A6 Part I, 9.3, 12.4 Part III, Section II, 7.3 & 10.3 A18 C10 GM A6 Part I, Att. ~~D~~ B, 3.3.2 q) Part III, Att. ~~D~~ C, 3.3.2 k) Doc 9284 (TI) C4, Table 1-4	6.104	6.105	6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: **(16) training manuals for flight crew, cabin crew, operations personnel and ground personnel (A6, Pt I, 9.3, 10.3, 12.4, Att E. 3.3)** **(17) Training Programmes (A6, Pt I, 9.3, 10.3, 12.4, 3.3 (q)** **(21) dangerous goods manual (A6, Pt I, App 2, 2.1.35)** 6.105 Does the operational demonstration and inspection phase and certification file include items such as, but not limited to, the following: **ORGANISATION AND ADMINISTRATION GROUND OPERATIONS INSPECTION** **5)Training programmes (Doc 8335, Pt III, 5.3.7)**	4.365	Are dangerous goods training programmes of air operators reviewed and approved by the organization/individual responsible for the transport of dangerous goods by air before specific approval is granted?	Review Evidence: 1) Review certification records. 2) Verify air operator's training programme to ensure that it covers all employees. 3) Review and sample air operator's training records to confirm implementation.
4.366	Yes	6	Are dangerous goods procedures of air operators reviewed by the organization/individual responsible for the transport of dangerous goods by air, as part of the flight safety documents system of the air operator?	Refference: STD A18 2.4 & 8.5 GM Doc 9284 Supp (TI SUPP) Part ~~S~~-7, C4, 4.11 Doc ~~9481~~ 10147	6.104	6.105	6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: **(2) description of the flight safety document system (A6, Pt I, 3.3.3, Att G)** **(16) training manuals for flight crew, cabin crew, operations personnel and ground personnel (A6, Pt I, 9.3, 10.3, 12.4, Att E. 3.3)** **(17) Training Programmes (A6, Pt I, 9.3, 10.3, 12.4, 3.3 (q)** **(21) dangerous goods manual (A6, Pt I, App 2, 2.1.35)** 6.105 Does the operational demonstration and inspection phase and certification file include items such as, but not limited to, the following: **ORGANISATION AND ADMINISTRATION GROUND OPERATIONS INSPECTION** **5)Training programmes (Doc 8335, Pt III, 5.3.7)**	4.366	Are dangerous goods procedures of air operators reviewed by the organization/individual responsible for the transport of dangerous goods by air, as part of the flight safety documents system of the air operator?	Review Evidence: 1) Review certification records. 2) Verify implementation of dangerous goods inspectors' procedures to ensure: a) Exceptions related to passengers are covered; b) That air operators not authorized to transport dangerous goods have a policy to not transport spare parts for maintenance purposes that should be categorized as dangerous goods (Company Material [COMAT]); and c) Procedures to report incident involving undeclared dangerous goods are covered.
4.367		6	Does the flight operations inspection organization or the organization/individual responsible for the transport of dangerous goods by air ensure that dangerous goods procedures and training programmes are incorporated in either the operations manual or a separate document as part of the flight safety documents system?	STD A6 Part I, 9.3, 12.4; App. 2, 2.1.35 & 2.4 Part III Section 2 Par 1.3.5 GM A6 Part I, Att.~~F~~ B, 3.3.2 q), Att. D Part III Att. C, 3.3.2 k), Att. D Doc ~~9376~~, 10153,	6.104	6.105	6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: **(16) training manuals for flight crew, cabin crew, operations personnel and ground personnel (A6, Pt I, 9.3, 10.3, 12.4, Att E. 3.3)** **(17) Training Programmes (A6, Pt I, 9.3, 10.3, 12.4, 3.3 (q)** **(21) dangerous goods manual (A6, Pt I, App 2, 2.1.35)** 6.105 Does the operational demonstration and inspection phase and certification file include items such as, but not limited to, the following: **ORGANISATION AND ADMINISTRATION GROUND OPERATIONS INSPECTION**	4.367	Does the flight operations inspection organization or the organization/individual responsible for the transport of dangerous goods by air ensure that dangerous goods procedures and training programmes are incorporated in either the operations manual or a separate document as part of the flight safety documents system?	Review Evidence: 1) Verify regulations. 2) Review certification process and inspectors' procedures. 3) Sample operations manual or separate document as part of flight safety documents system. 4) Sample training programmes and records during the industry visit. Refference:

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						5)Training programmes (Doc 8335, Pt III, 5.3.7)			
4.369		6	Does the organization/individual responsible for the transport of dangerous goods by air ensure that the air operator has established procedures to convey information to emergency services and to appropriate authorities in the event of an incident or accident of an aircraft carrying dangerous goods?	Refference: STD A6 Part I; App. 2, 2.1.35 Part III App 8, 2.1.28 A18 9.6.2 GM Doc 9481 10147	6.104	6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: (21) dangerous goods manual (A6, Pt I, App 2, 2.1.35)	4.369	Does the organization/individual responsible for the transport of dangerous goods by air ensure that the air operator has established procedures to convey information to emergency services and to appropriate authorities in the event of an incident or accident of an aircraft carrying dangerous goods?	Review Evidence: 1) Review authorization process and inspector's procedures. 2) Sample documented procedures in operations manual. 3) Confirm knowledge of these procedures during industry visit.
4.371		8	Has the organization/individual responsible of the transport of dangerous goods by air established and implemented: a) Procedures to take appropriate actions in case of violation (e.g. enforcement and penalties), and b) A system to track identified deficiencies and to ensure timely resolution?	Refference: STD A18 11.1 & 11.3 Doc 9284 TI, Part S-5 C1 (1.6) , Part S-7 C5 C6 and C7	8.001 8.002	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)? Yes No B) Is the CAA-certificated AOC holder, AMO, or ATO required to correct deficiencies in a reasonable period of time? Yes No 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.	4.371	Has the organization/individual responsible of the transport of dangerous goods by air established and implemented: a) Procedures to take appropriate actions in case of violation (e.g. enforcement and penalties), and b) A system to track identified deficiencies and to ensure timely resolution?	Review Evidence: 1) Verify relevant regulations. 2) Review relevant guidance material or practice used. 3) Review the system to inform the entities inspected of the deficiencies detected, how their corrective action plan is assessed, etc. 4) Sample cases of discrepancies or violations and the actions taken by the State.
4.373		8	Has the State established and implemented a process for reporting dangerous goods incidents and accidents, with procedures for investigating and compiling information concerning accidents or incidents involving dangerous goods, which occur in its territory and which involve the transport of dangerous goods originating in or destined for another State?	Refference: STD A18 C12 GM Doc 9284 Supp (TI SUPP) Part S-7, C4	No FAA question	No FAA Question	4.373	Has the State established and implemented a process for reporting dangerous goods incidents and accidents, with procedures for investigating and compiling information concerning accidents or incidents involving dangerous goods, which occur in its territory and which involve the transport of dangerous goods originating in or destined for another State?	Review Evidence: 1) Review the incident reporting system (this includes undeclared, misdeclared and unintentional release of dangerous goods) in place for investigation and for compiling information. 2) See definition of dangerous goods incident. 3) Review promotion done by the State to ensure that such incidents are reported.
4.383		5	Has the State established procedures for the acceptance or approval of aircraft leasing arrangements?	Refference: STD A6 Part I, App. 5, 5.1 Part III, App. 1, 5.1 GM A6 Part I, Att. D B, 2.5 & 3.3	5014 6.201	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 Has the CAA implemented the procedures for the	4.383	Has the State established technical guidance and procedures to inspectors for the ability to utilize standardized methods to perform the acceptance or approval of aircraft leasing arrangements?	Review Evidence: 1) Verify procedures established for the type of leases allowed: a) Dry leases, b) Wet leases, or c) Damp leases. 2) Verify that procedures address as a minimum:

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA & EASA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
				Part III, Att. ~~D~~ C, 2.5 & 3.3 Doc 8335 Part V Doc 10059 Par 1.3.2 ,Par 7.3 e)i),Par 7.4 b)i), Par 10.2.2 & 10.2.3, 10.3.1		approval of any aircraft lease, charter, or interchange arrangements for its air operators?			a) Flight crew training, b) Cabin crew training, c) Operational control, d) Dispatch and flight watch, and e) Crew members scheduling. 3) Verify procedures address the following approvals as applicable: a) The method for establishing minimum flight altitudes (4.2.7.3); b) The method of determining aerodrome operating minima (4.2.8.1); c) Flight time, flight duty periods and rest periods (4.10.2a); d) EDTO (4.7); e) Aircraft-specific minimum equipment list (MEL) (6.1.3); f) Performance-based navigation operations (7.2.2 b); g) RVSM operations (7.2.6 b)); h) Procedures for electronic navigation data management (7.5.1); i) Training in the transport of dangerous goods (9.3.1) j) Pilot-in-command area, route and aerodrome qualifications (9.4.3.5); and k) Use of flight simulation training devices. 4) Verify procedures for coordination with airworthiness and licensing for related requirements.
4.384		6	Has the State implemented a process for the acceptance or approval of aircraft leasing arrangements, including coordination on airworthiness-related aspects?	Referrence: STD A6 Part I, App. 5, 5.1 Part III, App. 1, 5.1 GM A6 Part I, Att. ~~D~~ B, 2.5 & 3.3 Part III, Att. ~~D~~ C, 2.5 & 3.3 Doc 8335 Part V Doc 10059 Par 1.3.2 ,Par 7.3 e)i),Par 7.4 b)i), Par 10.2.2 & 10.2.3, 10.3.1 Doc 9626 , C 3, Par 3.11 &3.12 C8, Par. 8.6	5.014 6.201 6.203	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 6.201 Has the CAA implemented the procedures for the approval of any aircraft lease, charter, or interchange arrangements for its air operators? Yes No If yes, describe the process to approve the lease, charter or interchange arrangements. 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? Yes No If yes, describe the process to approve the lease arrangement.	4.384	Has the State established technical guidance and procedures to inspectors for the ability to utilize standardized methods to perform the acceptance or approval of aircraft leasing arrangements including coordination on airworthiness-related aspects??	Review Evidence: 1) Verify implementation of the procedures to address as a minimum: a) Flight crew training b) Cabin crew training c) Operational control d) Dispatch and flight watch e) Crew members scheduling 2) Verify implementation of procedures for the following as applicable: a) The method for establishing minimum flight altitudes (4.2.7.3); b) The method of determining aerodrome operating minima (4.2.8.1); c) Flight time, flight duty periods and rest periods (4.10.2a); d) EDTO (4.7); e) Aircraft-specific minimum equipment list (MEL) (6.1.3); f) Performance-based navigation operations (7.2.2 b); g) RVSM operations (7.2.6 b)); h) Procedures for electronic navigation data management (7.5.1); i) Training in the transport of dangerous goods (9.3.1) j) Pilot-in-command area, route and aerodrome qualifications (9.4.3.5);

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									k) Use of flight simulation training devices 3) Verify coordination on airworthiness-related aspects. **4) Verify the process to approve a lease arrangements.**
4.385		5	If the State has entered into any agreement under the provisions of Article 83 bis to the Chicago Convention, has the State established procedures for the transfer and acceptance of licensing and operations-related tasks and functions, including notification to ICAO?	Refference: CC Art. 83 bis STD A6 Part I, 6.1.5 & App. 10 Part III, Section II, 4.1.5 & App. 8 GM A6 Part I, Att. ~~D~~ B, 2.5.2 Part III, Att. ~~D~~ C, 2.5.2 Doc 100~~0~~59	6.204	Has the State ratified Article 83*bis*? Yes No	4.385	If the State has entered into any agreement under the provisions of Article 83 bis to the Chicago Convention, has the State established procedures for the transfer and acceptance of licensing and operations-related tasks and functions, including notification to ICAO?	Review Evidence: 1) Verify procedures for evaluating capability of State accepting oversight duties. 2) Verify guidance on the recognition of licences and certificates. 3) Verify that notification to ICAO of transfer agreements is included in the procedure. 4) Verify in the agreement or in another document which of the two parties has the responsibility for the notification to ICAO.
4.387		6	If the State has entered into any agreement under the provisions of Article 83 bis to the Chicago Convention as State of Registry, does the State carry out an assessment of the capability of the State of the Operator accepting the transfer?	Refference: CC Art. 83 bis STD A6 Part I, 6.1.5 & App. 10 Part III, Section II, 4.1.5 & App. 8 GM A6 Part I, Att. ~~D~~ B, 2.5.2 Part III, Att. ~~D~~ C, 2.5.2 Doc 10059	6.206	Does the State carry out an assessment of the capability of the State of the Operator accepting the transfer of responsibility under 83*bis* 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?	4.387	If the State has entered into any agreement under the provisions of Article 83 bis to the Chicago Convention as State of Registry, does the State carry out an assessment of the capability of the State of the Operator accepting the transfer and 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?	Review Evidence: 1) Verify procedures for evaluating the capability of the State accepting oversight duties to cover provisions in Annexes 1, 2 and 6. 2) Review implementation of related procedures. 3) Sample an agreement, together with its agreement summary, to confirm assessment and notification to ICAO. 4) Review the method in place to ensure that a certified true copy of the agreement summary is on board the aircraft.

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4.390	Yes	6	Has the State implemented a process to issue approvals for the transport of dangerous goods by air?	Referrence: STD A18 2.1 & 2.2 GM Doc 9284 (TI) Part 1, C3 & Doc 9284 Supp (TI SUPP) S7	6.104	6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: (21) dangerous goods manual (A6, Pt I, App 2, 2.1.35)	4.390	Has the State implemented a process to issue approvals for the transport of dangerous goods by air?	Review Evidence: 1) Review application forms and their contents. 2) Review the procedure to assess the application forms and the policy and criteria to issue approvals as State of Origin, State of Operator or State of Destination, if applicable (deviation stipulated in the Technical Instructions (TI) or Doc 9284).
4.392	Yes	6	Has the State implemented a process to grant exemptions from the provisions of the Technical Instructions for the safe transport of dangerous goods by air, when the State is the State of Origin, Operator, Transit, Overflight and Destination?	Referrence: STD A18 2.1 & 2.2 GM Doc 9284 (TI) & Doc 9284 Supp (TI SUPP)	No FAA question	No FAA question	4.392	Has the State implemented a process to grant exemptions from the provisions of the Technical Instructions for the safe transport of dangerous goods by air, when the State is the State of Origin, Operator, Transit, Overflight and Destination?	Review Evidence: 1) Review completed application forms and their contents. 2) Review the procedure to assess the application forms and the policy and criteria to grant exemptions (e.g. extreme urgency, other forms of transport inappropriate, public interest, etc.). 3) Ensure that the procedure includes determination of equivalent level of safety.
4.401		6	Does the flight operations inspection organization ensure that the air operator has established: a) policy and procedures to enable cabin crew to discreetly communicate to flight crew in the event of suspicious activity or security breaches in the passenger cabin, and b) policy and procedures with respect to flight crew compartment access?	Referrence: STD A6 Part I, 13.2	6.104	6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: (3) operations manual (A6, Pt I, 4.2.3) (23) security programme manual (A6, Pt I, 2.1.36, App 2)	4.401	Does the flight operations inspection organization ensure that the air operator has established: a) policy and procedures to enable cabin crew to discreetly communicate to flight crew in the event of suspicious activity or security breaches in the passenger cabin, and b) policy and procedures with respect to flight crew compartment access?	Review Evidence: 1) Verify State regulations. 2) Review certification process. 3) Review operations inspectors' procedures. 4) Sample operations manual or security manual to confirm implementation.
4.405		6	Does the flight operations inspection organization ensure that the air operator has, on board all its aircraft, a checklist of the procedures to be followed: a) In searching for a bomb; b) For inspecting an aircraft for concealed weapons, explosives and other dangerous devices; and c) Appropriate course of action to be taken in case a bomb or suspicious object is found?	Referrence: STD A6 Part I, 13.3 Part III, Section II, 11.1	6.104	6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: (3) operations manual (A6, Pt I, 4.2.3) (22) aircraft search procedure checklist (A6, Pt I, 13.3) (23) security programme manual (A6, Pt I, 2.1.36, App 2)	4.405	Does the flight operations inspection organization ensure that the air operator has, on board all its aircraft, a checklist of the procedures to be followed: a) In searching for a bomb; b) For inspecting an aircraft for concealed weapons, explosives and other dangerous devices; and c) Appropriate course of action to be taken in case a bomb or suspicious object is found?	Review Evidence: 1) Verify certification process and operations inspectors' procedures. 2) Sample operations manual or security manual to confirm implementation of such guidance.

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4.409		6	Does the State ensure that a security training programme for flight and cabin crew is established by the operator and approved by the State before the AOC is granted?	Refference: STD A6 Part I, 13.4 Part III, Section II, 11.2 GM A6 Part I, Att. ~~D~~ B, 4 n) Part III, Att. ~~D,~~C, 4 m)	6.104	6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: **(3) operations manual (A6, Pt I, 4.2.3)** **(16) training manuals for flight crew, cabin crew, operations personnel and ground personnel (A6, Pt I, 9.3, 10.3, 12.4, Att E. 3.3)** **(17) Training Programmes (A6, Pt I, 9.3, 10.3, 12.4, 3.3 (q)** **(23) security programme manual (A6, Pt I, 2.1.36, App 2)**	4.409	Does the State ensure that a security training programme for flight and cabin crew is established by the operator and approved by the State before the AOC is granted?	1) Review the certification process and procedures to ensure that the programme is reviewed in detail. 2) Sample security training programme to confirm that the following are addressed: a) Security of the flight crew compartment; b) Aircraft search procedure checklist; c) Determination of the seriousness of any occurrences; d) Crew communication and coordination; e) Appropriate self-defence responses; f) Use, as authorized by the State of the Operator, of non-lethal protective devices assigned to crew members; g) Understanding of behaviour of terrorists; h) Live situational training exercises regarding various threat conditions; and i) Post-flight concerns for the crew.
4.421		2	Has the State promulgated regulations and additional requirements for an air operator applying for approval to operate a single-engine turbine powered aeroplane at night and/or in Instrument Meteorological Conditions (IMC)?	Refference: STD A6 Part I, 5.1.2, 5.4 & App. 3, Att. E Part III, Section II, 3.4 & App. 2 GM ~~A6~~ ~~Part I, Att. G~~	2.029	Describe the regulation that establishes additional requirements for single pilot operations under the instrument flight rules (IFR) or at night.	4.421	Has the State promulgated regulations and additional requirements for an air operator applying for approval to operate a single-engine turbine powered aeroplane at night and/or in Instrument Meteorological Conditions (IMC)?	Review Evidence: 1) If State's requirements do not allow such operations, the PQ is "Not Applicable". 2) Verify regulations. 3) Review additional requirements, such as engine trend monitoring system, redundant electrical generating systems, radio altimeter, airborne weather radar, etc.
4.433		6	Do the AOC and associated operations specifications issued by the authority contain all the elements and follow the format/layout outlined in the relevant provisions of Annex 6?	Reference: STD A6 Part I, 4.2.1.5, 4.2.1.6, 4.2.1.7 & App. 6 Part III, Section II, 2.2.1.5, 2.2.1.6, 2.2.1.7 & App. 3 GM A6 Part I, Att. ~~D~~ B, 3.2 Part III, Att. ~~D~~C, 3.2	6.106	Does the certification file include records such as, but not limited to, the following: Final preparation for the issuance of an AOC (Doc 8335, Pt III, 7.1) **Issuance of an AOC and the associated operations specifications (Doc 8335, Pt III, 7.2)** **Period of validity of an AOC and the associated operations specifications** (Doc 8335, Pt III, 7.3) Identification of individual aircraft by nationality and registration marks (Doc 8335, Pt III, 7.4) **Amendments to the AOC and the operations specifications** (Doc 8335, Pt III, 7.5) Renewal of the AOC (Doc 8335, Pt III, 7.6)	4.433	Do the AOC and associated operations specifications issued by the authority contain all the elements and follow the format/layout outlined in the relevant provisions of Annex 6?	Review Evidence: 1) Verify certification process and operations inspectors' procedures. 2) Sample AOCs and operations specifications and verify if they contain the following: a) State of the Operator and issuing authority; b) AOC number and expiration date; c) Operator name, trading name (if different) & address; d) Date of issue and name, signature and title of authority representative; and e) the location, in a controlled document carried on board where the contact details of operational management can be found.

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									3) Verify that the AOC and operations specifications follow the layout of A6, Part I, App. 6, para. 3 or A6, Part III, App. 3, para. 3 to the Chicago Convention.
4.434		5	Has the flight operations inspection organization established procedures for the issuance of other approvals and authorizations contained in the operations specifications?	Reference: STD A6 Part I, 4.2.1.2 & 4.7 & App. 6 Part III, Section II, 2.2.1.2 & App. 3 GM A6 Part I, Att. ~~D~~ B, 2 Part III, Att. ~~D~~ C, 2 Doc 8335 Part III, C7	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** The method of determining **Specific extended range operations (ETOPS/EDTO) (STD A6, Pt I, C4, 4.7.1 & 4.7.2)** **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)) **Reduced Vertical Separation Minimum (RVSM) operations (STD A6, Pt I, C7, 7.2.4 b))** **Procedures for electronic navigation data management (STD A6, Pt I, C7, 7.4.1)**	4.434	Does the CAA provide to the flight operations inspection organization established technical guidance, procedures for the issuance of other approvals and authorizations contained in the operations specifications?	Review Evidence: 1) Review certification process and operations procedures for issuance of specific approvals: a) RVSM; b) EDTO; c) PBN authorization required (AR); and d) Other. 2) Verify the coordination with airworthiness includes: a) Documented process, including: i) inspectors' procedures ii) inspectors' guidance; iii) inspectors' checklists, and b) Defined areas of responsibility. 3) Verify operations inspectors' guidance material, procedures and checklists used in conducting applicants' safety risk assessment.
4.435	Yes	6	Does the flight operations inspection organization ensure that the air operator has taken into account, reviewed and implemented all regulations before operations specifications are granted?	Reference: STD A6 Part I, 4.2.1.2 & App.~~AIP~~ 6 Part III, Section II, 2.2.1.2 & App. 3 GM Doc 8335 Part III, C7	6.106	Does the certification file include records such as, but not limited to, the following: Final preparation for the issuance of an AOC (Doc 8335, Pt III, 7.1) Issuance of an AOC and the associated operations specifications (Doc 8335, Pt III, 7.2) Period of validity of an AOC and the associated operations specifications (Doc 8335, Pt III, 7.3) Identification of individual aircraft by nationality and registration marks (Doc 8335, Pt III, 7.4) **Amendments to the AOC and the operations specifications (Doc 8335, Pt III, 7.5)** Renewal of the AOC (Doc 8335, Pt III, 7.6)	4.435	Does the flight operations inspection organization ensure that the air operator has taken into account, reviewed and implemented all regulations before the issuance of an AOC and the associated operations specifications are granted?	Review Evidence: 1) Verify implementation of the certification process and operations inspectors' procedures. 2) Review the related air operators procedures for: a) RVSM; b) EDTO; c) PBN authorization required (AR); and d) Other. 3) Review implementation of documented coordination procedures with airworthiness. 4) Sample issued AOCs/operations specifications.

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4.437		5	Has the State established approval procedures for the conduct of CAT II and III instrument approaches?	Reference: STD A6 Part I, 4.2.8.3 Part III, Section II, 2.2.8.3 GM A6 Part I, Att. D B, 2.4 Part III, Att. D C, 2.4	6.104	Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: **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)**	4.437	Has the State established approval procedures for the conduct of CAT II and III instrument approaches?	Review Evidence: Verify procedures for approval of such operations.
4.439		6	Does the flight operations inspection organization carry out an operations evaluation for the conduct of CAT II and III instrument approaches?	Reference: STD A6 Part I, 4.2.8.3 Part III, Section II, 2.2.8.3 GM A6 Part I, Att. D B, 2.4 Part III, Att. D, C, 2.4	6.104	Does the Document Evaluation phase and certification file include items such as, but not limited to, the following: **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)**	4.439	Does the flight operations inspection organization carry out an operations evaluation for the conduct of CAT II and III instrument approaches?	Review Evidence: 1) Verify the process used, including flight crew training. 2) Review evidence to confirm effective implementation. 3) Confirm that CAT II and III instrument approach and landing operations shall not be authorized unless runway visual range (RVR) information is provided.
4.441		5	Has the flight operations inspection organization established a formal inspection policy and procedures to be used by operations inspectors for conducting inspections of AOC holders and foreign air operators?	Reference: STD A6 Part I, 4.2.1.8, 4.2.2.2 & App. 5, 4 5 & 7 Part III, Section II, 2.2.1.8, 2.2.2.2 & App. 1, 4 5 & 7 GM Doc 8335 Part IV, Part VI, C5	5.009	**Does the inspector technical guidance contain policy, procedures, and standards for:** certification Yes No licensing Yes No authorizations and approvals Yes No **surveillance/inspections Yes No** resolution of safety issues Yes No Designated/delegated personnel, or persons employed by a certificate holder Yes No	4.441	Has the flight operations inspection organization established formal technical guidance which contains an inspection policy and procedures to be used by operations inspectors for conducting inspections of AOC holders and foreign air operators?	Review Evidence: Verify policy/procedures for inclusion of: a) Identification of inspections to be carried out for AOC holders and foreign air operators; b) Guidelines for scheduling inspections and intervals between each inspection; c) Standardized checklists for inspections; and d) Inspection/audit process.
4.443	Yes	7	Is a formal surveillance programme implemented to verify that all AOC holders in the State comply, on a continuing basis, with national regulations, international standards, AOCs and corresponding operations specifications?	Reference: STD A6 Part I, 4.2.1.8 & App. 5, 4 & 7 Part III, Section II, 2.2.1.8 & App. 1, 4 & 7 GM Doc 8335 Part IV & Part VI, C5 Doc 9734 Part A, C3	7.001 7.002 7.006	**7.001 Describe the CAA's oversight of their surveillance system that has been implemented as it pertains to the following elements: a) 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) b) 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) c) State Safety Oversight System And Functions (STD A6, Pt I, 4.2.1.8, and App 5, 3.) d) Qualified Technical Personnel (A6, Pt I, 4.2.1.8, and App 5, 4; Doc 9734, Pt A, C3.4) e) 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) f) Certification Obligations (A6, Pt I, 4.2.1.8, and App 5, 6; Doc 9734, Pt A, C3.6.) g) Continued Surveillance Obligations (A6, Pt I, 4.2.1.8, and App 5, 7; Doc 9734, Pt A, C3.7) h) 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. 7.002 (A) Describe how the CAA's ongoing surveillance**	4.443	Describe how the State´s formal surveillance programme verifies that AOC´s continue to meet the relevant requirements for initial certification, on a continuing basis, with national regulations, international standards, and corresponding operations specifications of each air operator is functioning satisfactorily.	Review Evidence: 1) Verify surveillance programme for previous and current year (planned and completed). 2) Confirm appropriate frequency of inspection (may be based on proven safety indicators or results of previous inspections). 3) Sample inspection records of surveillance of air operators.

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						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. 1) station facility 2) apron/ramp 3) en-route 4) base facility 5) operator's manuals 7.006 Does the CAA implement its procedures to conduct continuing surveillance inspections of the operations of AOC holders. Yes No			
4.445		7	Does the established surveillance programme monitor the AOC holders' financial condition and any negative trends?	Reference: STD A6 Part I, 4.2.1.8, 4.2.2.2 & App. 5, 4, 5.1 & 7 Part III, Section II, 2.2.1.8, 2.2.2.2 & App. 1, 4 5.1 & 7 GM Doc 8335 Part IV, C2 Doc 9734 Part A, C3	7.003	Does the CAA's implemement its surveillance programme to monitor a AOC holder's financial condition, ownership, and economic condition. (e.g., watching for unfavorable trends).	4.445	Does the established surveillance programme monitor the AOC holders' financial condition and any negative trends?	Review Evidence: 1) Verify surveillance programme. 2) Verify monitoring procedures. 3) Sample inspections records.

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4.447		7	Does the surveillance policy and programme of the CAA include the necessary processes and procedures for coordination among its different departments or directorates (i.e. transportation, finances, legal, operations, personnel licensing, airworthiness, etc.)?	Reference: STD A6 Part I, 4.2.1.8 & App. 5,-4 5 & 7 Part III, Section II, 2.2.1.8 & App. 1, 4 5 & 7 GM Doc 8335 Part IV, C2 Doc 9734 Part A, C3	No FAA question	No FAA question	4.447	Does the surveillance policy and programme of the CAA include the necessary processes and procedures for coordination among its different departments or directorates (i.e. transportation, finances, legal, operations, personnel licensing, airworthiness, etc.)?	Review Evidence: 1) Verify that surveillance policy provides for coordination. 2) Review operations inspectors' procedures. 3) Verify surveillance programme records to confirm that all relevant aspects from other departments are reviewed (like ramp inspections).
4.448		7	Is a formal surveillance programme implemented to verify that foreign air operators comply, on a continuing basis, with international standards, AOCs and corresponding operations specifications?	Reference: STD A6 Part I, 4.2.1.8, 4.2.2 & App. 5, 4 6 & 7 Part III, Section II, 2.2.1.8, 2.2.2.2; App. 1, 4 6 & 7 GM Doc 8335 Part IV & Part VI, C5 Doc 9734 Part A, C3	7.008	7.008 (A) Does the CAA implement its programme for the surveillance of operations by foreign operators in its territory? Yes No If yes, describe below. (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? Yes No If yes, describe below.	4.448	a) Is a formal surveillance programme implemented to verify that foreign air operators comply, on a continuing basis, with international standards, AOCs and corresponding operations specifications? 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?	Review Evidence: 1) Verify surveillance programme for previous and current year (planned and completed). 2) Confirm appropriate frequency of inspection (may be based on proven safety indicators or results of previous inspections). 3) Sample inspection records of surveillance of foreign air operators.

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4.449		8	What actions are taken by the CAA if the deficiencies identified during the conduct of inspections are not rectified in a timely manner?	Reference: STD A6 Part I, 4.2.1.8 & App. 5, ~~5.2 &~~ 8 Part III, Section II, 2.2.1.8 & App. 1, ~~5.2 &~~ 8 A19, App. 1, 8 GM Doc 8335 Part IV, C3 Doc 9734 Part A, C3	8.001 8.002 8.006	**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)?** Yes No B) Is the CAA-certificated AOC holder, AMO, or ATO required to correct deficiencies in a reasonable period of time? Yes No 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. **8.006 Describe what action has been taken by the CAA if a foreign air operator does not correct deficiencies in a reasonable period of time.** Provide the specific citation to the relevant regulation, documentation, and any guidance material or practice used in reference to your response.	4.449	a) Is the CAA-certificated AOC holder, required to correct deficiencies in a reasonable period of time? b) What actions are taken by the CAA if the deficiencies identified during the conduct of inspections are not rectified in a timely manner?	Review Evidence: 1) Verify operations inspectors' procedures and enforcement procedures. 2) Verify examples of graduated actions taken, such as a) imposition of fines, b) restrictions/limitations, and c) suspension/revocation of certificate.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA & EASA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standarized Question (SOS Protocol)	Guidance for Review of Evidence
4.450	Yes	7	Does the surveillance programme include ramp inspections of aircraft operated by AOC holders and foreign air operators, based on risk?	Reference: STD A6 Part I, 4.2.2.2 & App. 5, 7 Part III, Section II, 2.2.2.2 & App. 1, 7 GM Doc 9760 Doc 8335 Part IV, Att.	7.001 7.002 7.008	**7.001 Describe the CAA's oversight of their surveillance system that has been implemented as it pertains to the following elements: g) Continued Surveillance Obligations (A6, Pt I, 4.2.1.8, and App 5, 7; Doc 9734, Pt A, C3.7)** 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. 2) apron/ramp** **7.008 (A) Does the CAA implement its programme for the surveillance of operations by foreign operators in its territory? Yes No If yes, describe below.** (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? Yes No If yes, describe below.	4.450	Does the surveillance programme include ramp inspections of aircraft operated by AOC holders and foreign air operators, based on risk?	Review Evidence: Review evidence on policy on items to be checked during ramp inspections, taking into account both high-risk items and all other items over a series of 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).
4.451		8	Has the flight operations inspection organization implemented a documented process or a system to track the deficiencies identified and to accept/validate the corrective actions taken by the air operators?	Reference: STD A6 Part I, App. 5, 5.2 & 8 Part III, Section II, 2.2.1.8; App. 1, 5.2 & 8 GM Doc 8335 Part IV, C3 Doc 9734 Part A, C3	8,002	**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.	4.451	Has the flight operations inspection organization implemented a documented process or a system to track the deficiencies identified and to accept/validate the corrective actions taken by the air operators?	Review Evidence: 1) Sample inspection reports and correspondence with the air operator. 2) Verify the system to track the deficiencies within the CAA. 3) Confirm that deficiencies are rectified in a timely manner.
4.453		8	Does the flight operations inspection organization maintain a system which monitors and records progress, including actions taken by the air operator in resolving identified safety issues, to make it possible to track past deficiencies and regulatory non-compliance?	Reference: STD A6 Part I, App. 5, 5.2 & 8 Part III, App. 1, 5.2 & 8 GM Doc 8335 Part IV, C3 Doc 9734 Part A, C3	8.001 8.002	**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)? Yes No** B) Is the CAA-certificated AOC holder, AMO, or ATO required to correct deficiencies in a reasonable period of time? Yes No 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.**	4.453	Does the flight operations inspection organization maintain a system which monitors and records progress, including actions taken by the air operator in resolving identified safety issues, to make it possible to track past deficiencies and regulatory non-compliance?	Review Evidence: 1) Review operations inspectors' procedures. 2) Review air operator's files. 3) Verify monitoring system to ensure that the CAA takes into account past deficiencies when establishing its surveillance programme and performing risk assessment.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA & EASA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standarized Question (SOS Protocol)	Guidance for Review of Evidence
						Provide the specific citation to the relevant regulation, documentation, and any guidance material or practice used in reference to your response.			
4.460		6	Does the flight operations inspection organization ensure that the air operator has established a procedure for the crew to evaluate a traveller with a suspected communicable disease, based on the presence of a fever and certain other signs or symptoms?	Reference: STD A6 Part I, 6.2.2.a) 2) A9 8.15, Note 1; 2.11 & App. 1 GM A6 Part I, Att. A, 2.2	No FAA question	No FAA question	4.460	Does the flight operations inspection organization ensure that the air operator has established a procedure for the crew to evaluate a traveller with a suspected communicable disease, based on the presence of a fever and certain other signs or symptoms?	Review Evidence: 1) Review operations inspectors' procedures to ensure that they check air operators' related procedures. 2) Confirm effective implementation by verifying that an air operator's operations manual or cabin crew manual contains related procedures. 3) Check that the procedure includes the transmission, as required, of a General Declaration form to the State authorities.
4.462		6	Does the flight operations inspection organization ensure that the air operator has established procedures for the pilot-in-command to report promptly to air traffic control (ATC) a suspected communicable disease, with transmission of the following information: a) Aircraft identification; b) Departure aerodrome; c) Destination aerodrome; d) Estimated time of arrival; e) Number of persons on board; f) Number of suspected case(s) on board; and g) Nature of the public health risk, if known?	Reference: STD A9 8.15 PANS Doc 4444 (ATM) 16.6.1	No FAA question	No FAA question	4.462	Does the flight operations inspection organization ensure that the air operator has established procedures for the pilot-in-command to report promptly to air traffic control (ATC) a suspected communicable disease, with transmission of the following information: a) Aircraft identification; b) Departure aerodrome; c) Destination aerodrome; d) Estimated time of arrival; e) Number of persons on board; f) Number of suspected case(s) on board; and g) Nature of the public health risk, if known?	Review Evidence: 1) Review operations inspectors' procedures to ensure that they check air operators' related procedures. 2) Confirm effective implementation by verifying that an air operator's operations manual has procedures for reporting suspected communicable diseases, including transmission of the following information: a) Aircraft identification; b) Departure aerodrome; c) Destination aerodrome; d) Estimated time of arrival; e) Number of persons on board; f) Number of suspected case(s) on board; and g) Nature of the public health risk, if known.