



AVS

Quality Management System

QPM #
AFS-050-004-F2.3

Revision
7.0

Title: International Aviation Safety Assessment Assessor's Checklist – State Civil Aviation System and Safety Oversight Functions – Critical Element 3

Effective Date
November 1, 2025

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IASA – CE-3 – 3.000 – State Systems and Functions General

ICAO Reference

CC = Chicago Convention; STD = Standard; GM = Guidance Material

<u>STD</u> A6, Pt I, 4.2.1.8, App 5 <u>GM</u> Doc 8335, Pt I, 5.1 Doc 9760, Pt II, 4.1 thru 4.4, 4.6 thru 4.8 Doc 9734, Pt A, 3.3	3.001 Describe the organizational structure of the Civil Aviation Authority (CAA) and describe the roles and responsibilities of each department, office, facility, and/or regional office responsible for licensing, certification, and continued surveillance. NOTE: Include an organizational chart of the Civil Aviation Authority.
Outcome	Meets ICAO Standards Does Not Meet ICAO Standards
Comments	

<u>STD</u> A6, 4.2.1.8, App 5 <u>GM</u> Doc 8335, Pt I, 5.2 Doc 9760 Pt II, 4.2 thru 4.4, 4.6 thru 4.7	3.002 Describe the documented roles and responsibilities of the operations and airworthiness inspection organizations within the CAA, specifically regarding: A) Issuance of the air operator certificates (AOCs). B) Granting specific authorizations. C) Identification and management of deficiencies D) Development of aviation regulations E) Enforcement actions Provide the specific reference and any other guidance material or practice used in reference to your response.
Outcome	Meets ICAO Standards Does Not Meet ICAO Standards
Comments	



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<p><u>STD</u> A6, 4.2.1.8, App 5 <u>GM</u> Doc 8335, Pt I, 2.2, 5.3 Doc 9379, Pt I, Ch 6, 8.8 Doc 9734, Pt A, 3.3.3 Doc 9760, Pt II, 4.1.6</p>	<p>3.003 Does the CAA delegate any safety oversight functions to:</p> <p>A) Other CAA divisions Yes No B) Other State bodies Yes No C) Regional Organizations Yes No D) Private agencies Yes No E) Designated persons Yes No</p> <p>If yes to any, describe:</p> <ol style="list-style-type: none">1) The scope of delegation, including its relationship to the Personnel Licensing, Medical, Operations, and Airworthiness Inspection organizations.2) The agreements, controls, or procedures that govern the relationship between the CAA and each delegated entity. <p>Provide the relevant regulations and any guidance material or practice used in reference to your response.</p> <p>Outcome Meets ICAO Standards Does Not Meet ICAO Standards Comments</p>
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<p><u>STD</u> A6, 4.2.1.8, App 5 <u>GM</u> Doc 8335, Pt I, 5.3.2 Doc 9379, Pt I, Ch 6; Pt II, 8.8.2(a), 8.8.4 Doc 9760, Pt II, 4.1.6</p>	<p>3.004 Does the CAA delegate any of its oversight responsibilities to qualified persons employed by a certificate holder?</p> <p>Yes No</p> <p>If yes, describe the scope and system to keep these delegated persons under supervisory and technical control?</p> <p>Outcome Meets ICAO Standards Does Not Meet ICAO Standards Comments</p>
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<u>STD</u> A1, Ch 2 thru 4 <u>GM</u> Doc 9734, Pt A, 3.7 Doc 9379, Pt I, Ch 1 thru 2 Doc 9760, Pt II, 4.7.1.2(e), 4.7.2(e)	<p>3.005 Describe the personnel licensing process, including the responsibilities of licensing personnel.</p> <p>A) Does the CAA have a dedicated licensing section? Yes No B) Or is personnel licensing integrated within the operations and airworthiness departments? Yes No</p> <p>Provide the specific reference to the relevant regulation, and any guidance material or practice used in reference to your response.</p>
Outcome	Meets ICAO Standards Does Not Meet ICAO Standards
Comments	

IASA – CE-3 – 3.100 – State Systems and Functions Other Departments and Organizations with Aviation Responsibilities	
ICAO Reference	CC = Chicago Convention; STD = Standard; GM = Guidance Material

<u>STD</u> A6, Pt I, 4.2.1.8, App 5, para 3 <u>GM</u> Doc 9379, Pt I, Ch 6 Doc 9734, Pt A, 2.3, 2.5.2, 3.3.1.3 Doc 8335, Pt I, 5.3.3	<p>3.101 A) Do civil aviation entities have overlapping responsibilities related to safety oversight? Yes No</p> <p>If yes, have procedures been established to ensure that safety oversight functions, aircraft accident and incident investigations, and any responsibility overlaps between CAA organizations have a documented procedure to ensure proper delineation of authority and responsibility among the entities? Identify and explain the procedures.</p> <p>B) Is there a conflict, perceived conflict, or potential conflict of interest among civil aviation entities. Yes No</p> <p>If yes, explain the established and documented procedures to mitigate conflict of interest issues.</p>
Outcome	Meets ICAO Standards Does Not Meet ICAO Standards
Comments	



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IASA – CE-3 – 3.200 – State Systems and Functions Staffing

ICAO Reference

CC = Chicago Convention; STD = Standard; GM = Guidance Material

<u>STD</u> A6, Pt I, 4.2.1.8, App 5, para 3, 3.2 <u>GM</u> Doc 9734, Pt A, 3.3.2.3, 3.4.2	3.201 Does the CAA use a methodology to determine its inspector staffing requirements? Yes No If yes, describe the methodology used.
Outcome	Meets ICAO Standards Does Not Meet ICAO Standards
Comments	

<u>STD</u> A6, Pt I, 4.2.1.8, App 5 <u>GM</u> Doc 9734, Pt A, 2.1, 2.5, 3.4, 3.4.2, 3.5 Doc 8335, Pt I, 2.2.8, 5.3	3.202 Does the CAA have sufficient financial resources available for recruiting technical staff? Yes No If no, how does the CAA fulfill its technical responsibilities?
Outcome	Meets ICAO Standards Does Not Meet ICAO Standards
Comments	

<u>STD</u> A6, Pt I, 4.2.1.8, App 5 <u>GM</u> Doc 9734, Pt A, 3.4 Doc 8335, Pt I, Ch 5 thru 6 Doc 9379, Pt I, 2.4 Doc 9760, Pt II, 4.5	3.203 Are there written standards establishing minimum qualifications, roles, and responsibilities for technical staff? Yes No If yes, what are the policy and procedures for recruiting technical staff in compliance with the established qualifications?
Outcome	Meets ICAO Standards Does Not Meet ICAO Standards
Comments	

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<u>STD</u> A6, Pt I, 4.2.1.8, App 5 <u>GM</u> Doc 9734, Pt A, 3.4, 3.5 Doc 8335, Pt I, 5.3, Ch 6 Doc 9379, Pt I, 2.4	3.204 What role does the CAA play in the selection and recruitment of technical staff.
Outcome	Meets ICAO Standards Does Not Meet ICAO Standards
Comments	

<u>STD</u> A6, Pt I, 4.2.1.8 <u>GM</u> Doc 8335, Pt I, 5.3.1 Doc 9734, Pt A, 3.3.2.4, 3.4	3.205 Do employment conditions within the CAA allow for the retention of adequately qualified and experienced technical staff? Yes No If yes, indicate the approximate average length of service for CAA technical personnel by department (Ops, AW, PEL). Also describe how often the CAA recruits technically qualified personnel.
Outcome	Meets ICAO Standards Does Not Meet ICAO Standards
Comments	

<u>STD</u> A6, Pt I, 4.2.1.8 <u>GM</u> Doc 8335, Pt I, 5.3.1 Doc 9734, Pt A, 3.3.2.4	3.206 How does the CAA technical staff's remuneration and conditions of service compared to that of comparable personnel in industry?
Outcome	Meets ICAO Standards Does Not Meet ICAO Standards
Comments	

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**IASA – CE-3 – 3.300 – State Systems and Functions
Resources**

ICAO Reference	CC = Chicago Convention; STD = Standard; GM = Guidance Material
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<u>STD</u> A6, Pt I, 4.2.1.8, <u>GM</u> Doc 8335, Pt I, 5.2.2, 5.3.1 Doc 9734, Pt A, 2.3.1(c), 3.4.2.3 Doc 9760, Pt II, 1.1.11, 1.2.1(b)	<p>3.301 What financial resources are available to the CAA to fulfill its staffing, training/qualifications, licensing, certification, authorization and approval, and continuing surveillance obligations?</p> <p>Describe the extent of the CAA's control of the income it generates.</p>
Outcome	Meets ICAO Standards Does Not Meet ICAO Standards
Comments	

<u>STD</u> A6, Pt I, 4.2.1.8 <u>GM</u> Doc 9734, Pt A, 3.5.7 Doc 9760, Pt II, 4.1.2	<p>3.302 Describe the various modes of travel/transportation available to inspectors to perform their functions.</p>
Outcome	Meets ICAO Standards Does Not Meet ICAO Standards
Comments	

<u>STD</u> A6, Pt I, 4.2.1.8 <u>GM</u> Doc 8335, Pt IV, 1.4; Pt VI, 5.2 Doc 9734, Pt A, 3.3.2 Doc 9760, Pt II, 4.5.1.1	<p>3.303 Are inspectors issued official credentials authorizing them to independently perform certification and surveillance functions. Yes No</p> <p>If yes, present a sample of the credential. Provide the relevant regulation and any guidance material or practice used in reference to your response.</p> <p>If no, what form of identification do inspectors use to accomplish their certification and surveillance duties?</p>
Outcome	Meets ICAO Standards Does Not Meet ICAO Standards
Comments	



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<u>STD</u> A6, Pt I, 4.2.1.8, App 5, para 3.4 <u>GM</u> Doc 9734, Pt A, 3.5.7 Doc 9379, Pt I, 2.7, 2.8	3.304 Indicate whether the following resources are available to CAA staff to support certification and continued surveillance activities. A) Adequate facilities for personnel Yes No B) Photocopiers Yes No C) Computers Yes No D) Internet Access Yes No E) Printing facilities Yes No F) Adequate telephones Yes No
Outcome	Meets ICAO Standards Does Not Meet ICAO Standards
Comments	

<u>STD</u> A6, Pt I, App 5 <u>GM</u> Doc 9379, Pt I, 2.9 Doc 9734, Pt A 3.5 Doc 9760, Pt II, 4.3, 4.9	3.305 Describe the CAA's technical guidance and procedures system.
Outcome	Meets ICAO Standards Does Not Meet ICAO Standards
Comments	

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IASA – CE-3 – 3.400 – State Systems and Functions
Airworthiness Engineering Division (AED)

ICAO Reference	CC = Chicago Convention; STD = Standard; GM = Guidance Material
<u>STD</u> A8, Pt II, 2.4 <u>GM</u> Doc 9760, Pt II, 4.6	<p>3.401 Describe:</p> <p>A) The State's involvement in aviation design or manufacturing activities. B) The establishment of an airworthiness engineering division (AED).</p> <p style="text-align: center;">Yes No</p> <p>If yes, describe how and to whom the airworthiness engineering responsibilities have been assigned within the AED.</p> <p>If no, describe how and to whom the airworthiness engineering responsibilities have been assigned or delegated without an AED.</p>
Outcome	Meets ICAO Standards Does Not Meet ICAO Standards
Comments	

<u>STD</u> A8, 2.4 <u>GM</u> Doc 9734, Pt A, 3.7 Doc 9760, Pt II, 4.1.6	<p>3.402 Have airworthiness engineering responsibilities been delegated to?</p> <p>A) Other CAA divisions Yes No B) Other State bodies Yes No C) Regional organisations Yes No D) Private agencies Yes No E) Designated engineers Yes No</p> <p>If yes to any, what is the scope of the delegation for airworthiness engineering responsibilities? If yes to any, what agreements, controls, or procedures exist between the CAA and other entities?</p>
Outcome	Meets ICAO Standards Does Not Meet ICAO Standards
Comments	