	<h1 style="text-align: center;">AVS</h1> <h2 style="text-align: center;">Quality Management System</h2>	<p style="text-align: center;">QPM # AFS-050-004-F2.7</p>	<p style="text-align: center;">Revision 7.0</p>
<p>Title: International Aviation Safety Assessment Assessor's Checklist – Surveillance Obligations – Critical Element 7</p>	<p style="text-align: center;">Effective Date: November 1, 2025</p>	<p style="text-align: right;">Page 1 of 7</p>	

The inspector will ask the State to provide evidence of planned and accomplished surveillance activities to each question, as applicable.

<p style="text-align: center;">IASA – CE – 7 - 7.000 - Surveillance Obligations Surveillance of Certificated Operators– General</p>	
ICAO Reference	CC = Chicago Convention; STD = Standard; GM = Guidance Material

<p><u>STD</u> A6, Pt I, 4.2.1.8, App 5, para 1 thru 8</p> <p><u>GM</u> Doc 8335, Pt I, Ch 2, Ch 3, Ch 5, Ch 6; Pt VI, Ch 6</p> <p>Doc 9734, Pt A, 3.1, 3.2, 3.3, 3.4, 3.5, 3.6, 3.7, 3.8</p> <p>Doc 10059, Ch 8</p>	<p>7.001 Validate the CAA's oversight of their surveillance system has been effectively implemented as it relates to the following elements:</p> <ul style="list-style-type: none"> A) Primary Aviation Legislation (A6, Pt I, 4.2.1.8, and App 5, 1; Doc 9760, Pt II, 2.2.4; Doc 9734, Pt A, 3.1) B) Specific Operating Regulations (A6, Pt I, 4.2.1.8, and App 5, 2; Doc 8335, Pt I, Ch 2, Ch 3; Doc 9760, Pt II, 2.2.4; Doc 9734, Pt A, 3.2) C) State Safety Oversight System and Functions (A6, Pt I, 4.2.1.8, and App 5, 3; Doc 9734, Pt. A, 3.3; Doc 8335, Pt 1, Ch 5) D) Qualified Technical Personnel (A6, Pt I, 4.2.1.8, and App 5, 4; Doc 9734, Pt A, 3.4; Doc 8335, Pt 1, Ch 6) 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, 3.5) F) Certification Obligations (A6, Pt I, 4.2.1.8, and App 5, 6; Doc 9734, Pt A, 3.6.) G) Continued Surveillance Obligations (A6, Pt I, 4.2.1.8, and App 5, 7; Doc 9734, Pt A, 3.7; Doc 9760, Pt II, 4.7.4.4; Doc 10059, Ch 8) H) Resolution Of Safety Issues (A6, Pt I, 4.2.1.8, and App 5, 8; Doc 9734, Pt A, 3.8.) <p>Provide the relevant regulation and guidance material.</p>
	<p style="text-align: center;">Outcome</p>
	<p style="text-align: center;">Comments</p>



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STD
A6, Pt I, 4.2.1.8, App 5,
para 7
GM
Doc 8335, Pt I, 5.4.4; Pt
IV, & Att
Doc 9760, Pt II, 4.7.4.4

7.002 Validate 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 in the following areas:

- A) Station facilities
- B) Apron/ramp
- C) En-route
- D) Base facility
- E) Operator's manuals

Outcome

Meets ICAO Standards

Does Not Meet ICAO Standards

Comments

STD
A6, Pt I, 4.2.1.8, App. 5,
para 7
GM
Doc 8335, Pt IV, 2.4

7.003 Validate the CAA has effectively implemented its surveillance program to monitor an AOC holder's financial condition, ownership, and economic condition (e.g., watching for unfavorable trends).

Outcome

Meets ICAO Standards

Does Not Meet ICAO Standards

Comments

STD
A6, Pt I, 4.2.1.8, App 5,
para 4, para 7
GM
Doc 8335, Pt I, 2.2,
2.2.9 5.3; Part IV 2.6
Doc 9760, Pt II, 4.1.5,
4.1.6, 4.4(a)

7.004 Validate the CAA's delegation process and oversight responsibilities to employees of an AOC holder and ensure these individuals are qualified and remain under supervisory and technical control.

Outcome

Meets ICAO Standards

Does Not Meet ICAO Standards

Comments



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STD
A6, Pt. I, 4.2.1.8, App 5,
para 7
GM
Doc 8335 Pt I, Ch 5
Doc 9734, Pt A, 3.7

7.005 Validate the CAA effectively implemented its documented policies and procedures for surveillance/inspections.

Outcome

Meets ICAO Standards

Does Not Meet ICAO Standards

Comments

STD
A6, Pt. I, 4.2.1.8, App 5,
para. 7
GM
Doc 8335, Pt I, Ch 5
Pt IV, Ch 2
Doc 9734, Pt A, 3.7
Doc 9760, Pt II, 4.7.4.4;
Pt IV, 2.6.4.2

7.006 Validate the CAA effectively implemented procedures to conduct continuing surveillance inspections of AOC holder operations.

Outcome

Meets ICAO Standards

Does Not Meet ICAO Standards

Comments

STD
A6, Pt. I, 4.2.1.8, App 5,
para 7
GM
Doc 8335, Pt IV, Ch 2
Doc 9734, Pt A, 3.7
Doc 9760, Pt II, 4.7.4.4

7.007 Validate the CAA performs surveillance/inspections of AOC holder's facilities which are in a foreign State.

Outcome

Meets ICAO Standards

Does Not Meet ICAO Standards

Comments

STD
A6, Pt. I, 4.2.2
A8, Pt. II, 3.6.2
GM
Doc 8335 Pt VI, Ch 5,
Ch 6
Doc 9760, Pt II, 4.4(b)


7.008 Validate the CAA has effectively implemented its program for monitoring the operations of foreign operators within its territory by ensuring there is a process in place for contacting the State of the Operator when safety concerns are identified.

Outcome

Meets ICAO Standards

Does Not Meet ICAO Standards

Comments

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<p><u>STD</u> A6, Pt. I, 4.2.1.8, App 5, para 7 <u>GM</u> Doc 8335 Pt I, 5.3.2, 5.3.4; Pt IV, 2.6 Doc 9734, Pt A, 3.7.2, 3.7.3, 3.7.4 Doc 9760, Pt II, 4.1.5, 4.1.6, 4.4(c)(1)</p>	<p>7.009 Validate that the CAA has effectively implemented its program and procedures for the surveillance of designated persons, delegated personnel, or certificate holder employees acting on its behalf, and confirm that the CAA provides oversight of the technical and regulatory competency requirements of these designated personnel.</p>
<p style="text-align: center;">Outcome</p>	<p style="text-align: center;">Meets ICAO Standards Does Not Meet ICAO Standards</p>
<p style="text-align: center;">Comments</p>	

<p>IASA – CE – 7 - 7.100 - Surveillance Obligations Surveillance of Medical Assessments</p>	
<p>ICAO Reference</p>	<p>CC = Chicago Convention; STD = Standard; GM = Guidance Material</p>

<p><u>STD</u> A1, 1.2.4.8.1, 1.2.4.9, 1.2.4.9.1, 1.2.4.11.1 <u>GM</u> Doc 9379, Pt I, 5.3.6 Doc 8984, Pt 1, 1.2.13, 1.2.14</p>	<p>7.101 Validate that the CAA performs medical assessment audits and that a formal schedule is established for conducting these audits.</p>
<p style="text-align: center;">Outcome</p>	<p style="text-align: center;">Meets ICAO Standards Does Not Meet ICAO Standards</p>
<p style="text-align: center;">Comments</p>	

<p><u>STD</u> A1, 1.2.4.5, 1.2.4.6, 1.2.4.6.1, 1.2.4.6.2 <u>GM</u> Doc 9379 Pt II, 8.1, 8.2, 8.3, 8.4 Doc 9734, Pt A, 3.6.2.1(c), 3.7</p>	<p>7.102 Validate the CAA effectively implemented a system for the supervision and control of designated medical examiners (DMEs) and describe the administrative and recording procedures.</p>
<p style="text-align: center;">Outcome</p>	<p style="text-align: center;">Meets ICAO Standards Does Not Meet ICAO Standards</p>
<p style="text-align: center;">Comments</p>	



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IASA – CE – 7 - 7.200 – Surveillance Obligations Surveillance of Aviation Training Organizations

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

STD A1, 1.2.8.2, 1.2.8.3, 1.2.8.4 & App 2, para 8, para 9 GM Doc 9379, Pt 1, App A, 2(j) Doc 9734, Pt A, 3.7 Doc 9760 Pt II, 4.4(a)	7.201 Validate that the CAA has effectively implemented its surveillance program to maintain ongoing compliance with approval regulations and documentation for approved training organizations (ATO) or AOC in-house training departments by confirming that a formal schedule is established for conducting these audits.
Outcome	Meets ICAO Standards Does Not Meet ICAO Standards
Comments	

IASA – CE – 7 - 7.300 - Surveillance Obligations Surveillance of Certificated Operators - Operations

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

STD A6, Pt. I, 4.2.1.8, App 5, 7 GM Doc 8335, Pt I, Ch 5; Pt IV, Ch 2 Doc 9734, Pt A, 3.7	7.301 Validate the CAA effectively implemented its periodic/planned surveillance program for conducting AOC-holder inspections by the CAA's operations inspectorate.
Outcome	Meets ICAO Standards Does Not Meet ICAO Standards
Comments	



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IASA – CE – 7 - 7.400 - Surveillance Obligations

Surveillance of Certificated Operators - Operator's Maintenance Arrangements

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

STD A6, Pt. I, 4.2.1.8, App 5, para 7 GM Doc 8335 Pt I, Ch 5; Pt IV, Ch 2 Doc 9734, Pt A, 3.7 Doc 9760, Pt II, 4.4	7.401 Validate the CAA effectively implemented its periodic/planned surveillance program for conducting AOC-holder inspections by the CAA's airworthiness inspectorate.
Outcome	Meets ICAO Standards Does Not Meet ICAO Standards
Comments	

IASA – CE – 7 - 7.500 – Surveillance Obligations

Surveillance of Aircraft Maintenance Organizations

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

STD A6, Pt. I, 4.2.1.8, App 5, para 7; A8, Pt VA, 7.7 GM Doc 8335 Pt IV, Ch 2 Doc 9734, Pt A, 3.7 Doc 9760, Pt II, 4.4	7.501 Validate the CAA's airworthiness inspection division carries out inspections of maintenance organizations on an ongoing basis.
Outcome	Meets ICAO Standards Does Not Meet ICAO Standards
Comments	

STD A6, Pt. I, 4.2.1.8, App 5, para 7 GM Doc 8335 Pt I, Ch 5; Pt IV, Ch 2 Doc 9734, Pt A, 3.7, 3.8	7.502 Validate the CAA effectively implemented its periodic/ planned surveillance program established for conducting AMO inspections.
Outcome	Meets ICAO Standards Does Not Meet ICAO Standards
Comments	

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STD
A6, Pt. I, 4.2.1.8, App 5,
para 7
GM
Doc 8335 Pt I, Ch 5; Pt
IV, Ch 2
Doc 9734, Pt A, 3.7,
Doc 9760, Pt II, 4.4; Pt
III, 9.3, 9.4

7.503 Validate the CAA effectively implemented its procedure for conducting continuing certification and surveillance of approved maintenance organizations (AMOs).

Outcome

Meets ICAO Standards

Does Not Meet ICAO Standards

Comments

STD
A6, Pt. I, 4.2.1.8, App 5,
para 7, A8, Pt. II, 6.2.4
GM
Doc 8335, Pt IV, Ch 2
Doc 9734, Pt A, 3.7
Doc 9760, Pt. II,
4.4(a)(c)

7.504 Validate the CAA effectively implemented its planned inspections of AMO facilities located in a foreign State.

Outcome

Meets ICAO Standards

Does Not Meet ICAO Standards

Comments