#### International Aviation Safety Assessment (IASA) Assessor’s Checklist Instructions

**General.** An IASA assessment is conducted using the following IASA Assessor’s Checklist. Using an established checklist ensures transparency and repeatable results in the conduct of assessments. The Checklist is designed to be used only by trained IASA assessors who have successfully completed IASA training and/or assessors undergoing OJT under the supervision of a trained assessor. The assessor’s checklist is also sent to the foreign Civil Aviation Authority (CAA) in advance of the assessment so they can complete the checklist prior to the assessment, and return it to the assessment team leader. This enables the team to work more efficiently by verifying the Authority’s answers to each question.

**Description.** The assessor’s checklist is a comprehensive guide, covering all elements of the State's safety oversight program, which are subject to assessment under this program. The checklist is divided into nine (9) sections including one section covering General Information and Air Operator Complexity, followed by the eight (8) critical elements of safety oversight system, as defined in ICAO Document 9734, Part A, Chapter 3, and ICAO Document 9734, Part B (as applicable).

plus one section covering General Information and Air Operator Complexity. In essence, it is a road map to guide both the IASA team and the State through a systematic verification process. In exceptional circumstances, an observation may be made that may not have been addressed in the assessor's checklist. In these circumstances, the team member will inform the team leader so that he or she may advise the State of the reason for doing so. Such observations shall be recorded in the applicable comment sectionalongsection along with their specific relevance to safety oversight.

Checklist sections:

General General Information and Air Operator Complexity

CE-1 Primary Aviation Legislation

CE-2 Specific Operating Regulations

CE-3 State Civil Aviation System and Safety Oversight Functions

CE-4 Technical Personnel Qualification and Training

CE-5 Technical Guidance, Tools, and the Provision of Safety Critical Information

CE-6 Licensing, Certification, Authorization, and Approval Obligations

CE-7 Surveillance Obligations

CE-8 Resolution of Safety Concerns

Checklist use: The checklist is designed to be used primarily by the assessors in the conduct of the assessment. Although not required, it has proven beneficial for the CAA to complete the checklist prior to the assessment and provide the completed checklist to the team leader. It would assist the team if the CAA includes hyperlinks to the applicable regulatory and technical guidance references in its responses. Questions contain expandable comment fields as needed, however in some cases questions may only require a yes/no response. The checklist is divided into sections that can be assigned to different assessor specialties during the assessment activity. Below is a table outlining which specialties should be responsible for completion of each section of the checklist.

**IASA Checklist Section Assignment**

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| **Checklist Sections:** | DESCRIPTION | **Responsible Team Member (Specialty)** |
|  | | |
| 0.000 General Information and Air Operator Complexity | | |
| 0.001 – 0.022 | General Information and Air Operator Complexity | Entire team as a group |
| CE-1 Primary Aviation Legislation | | |
| 1.001 – 1.019 | Content and Amendment Procedure | Attorney |
| 1.101 – 1.103 | Enforcement of Civil Aviation Law and Regulations |
| 1.201 – 1.203 | Empowerment of Inspectors |
| 1.101 – 1.103 | Enforcement of Civil Aviation Law and Regulations | Operations |
| 1.201 – 1.203 | Empowerment of Inspectors |
| 1.101 – 1.103 | Enforcement of Civil Aviation Law and Regulations | Airworthiness |
| 1.201 – 1.203 | Empowerment of Inspectors |
| CE-2 Specific Operating Regulations | | |
| 2.001 – 2.002 | Review of Regulations – Annex SARPS | An attorney should complete the applicable portions of this section |
| 2.002 – 2.071 | Review of Operating Regulations | An operations and airworthiness specialist should independently conduct a review of at least 10 random Standards from Annex 1, 6, and 8. |
| 2.101 – 2.111 | Review of Airworthiness Regulations | Airworthiness |
| 2.201 – 2.201 | Specific Airworthiness Regulations (AED) | Airworthiness |
| CE-3 State Civil Aviation System and Safety Oversight Functions | | |
| 3.001 – 3.005 | General | Entire team as a group |
| 3.101 – 3.101 | Other Departments and Organisations with Aviation Responsibilities |
| 3.201 – 3.206 | Staffing |
| 3.301 – 3.304 | Resources |
| 3.401 – 3.403 | Airworthiness Engineering Division (AED) |
| CE-4 Technical Personnel Qualification and Training | | |
| 4.001 – 4.004 | Personnel Training – General | Operations |
| 4.101 – 4.104 | Personnel Licensing – Theoretical Knowledge Examinations |
| 4.201 – 4.206 | Personnel Licensing – Flight Tests and Other Practical Skill Examinations |
| 4.301 – 4.304 | Personnel Licensing - Medical Examiners |
| 4.401 – 4.408 | Operations Inspectorate |
| 4.601 – 4.602 | Designated Personnel – Operations & Airworthiness |
| 4.001 – 4.004 | Personnel Training – General | Airworthiness |
| 4.101 – 4.104 | Personnel Licensing – Theoretical Knowledge Examinations |
| 4.204 – 4.206 | Personnel Licensing – Flight Tests and Other Practical Skill Examinations |
| 4.301 – 4.304 | Personnel Licensing - Medical Examiners |
| 4.501 – 4.506 | Airworthiness Inspectorate |
| 4.601 – 4.602 | Designated Personnel – Operations & Airworthiness |
| 4.701 – 4.705 | Airworthiness Engineering Division (AED) |  |

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| **CE-5** Technical Guidance, Tools, and the Provision of Safety Critical Information | | |
| 5.001 – 5.016 | Access to Technical Guidance | Operations |
| 5.201 – 5.205 | Personnel Licensing |  |
| 5.001 – 5.016 | Access to Technical Guidance | Airworthiness |
| 5.101 – 5.103 | Airworthiness Documentation |
| 5.201 – 5.205 | Personnel Licensing |  |
| CE-6 Licensing, Certification, Authorization and Approval Obligations | | |
| 6.001 – 6.003 | Air Operator Certificate (AOC) Regulatory Background | Operations |
| 6.101 – 6.106 | AOC Application and Inspection Prior to Certification |
| 6.201 – 6.206 | Aircraft Lease, Charter and Interchange Arrangements |
| 6.301 – 6.301 | Licensing - Structure and General Provisions |
| 6.401 – 6.404 | Application and Processing of Licence and/or Rating |
| 6.501 – 6.504 | Licenses Issued and Validated Directly by the CAA |
| 6.601 – 6.602 | License and Ratings Issued - Written and Oral Theoretical Knowledge Examinations |
| 6.701 – 6.702 | Licenses and Ratings Issued - Practical Demonstration and Flight Examinations |
| 6.801 – 6.802 | Licenses and Ratings Issued - Records and Specifications |
| 6.901 – 6.904 | Licenses and Ratings Issued - Approved Training Organizations (ATO) and/or Aviation Schools |
| 6.1001 – 6.1004 | Crewmember Licensing Processing of the Medical Assessment |
| 6.001 – 6.003 | Air Operator Certificate (AOC) Regulatory Background | Airworthiness |
| 6.101 – 6.106 | AOC Application and Inspection Prior to Certification |
| 6.201 – 6.206 | Aircraft Lease, Charter and Interchange Arrangements |
| 6.301 – 6.301 | Licensing - Structure and General Provisions |
| 6.401 – 6.404 | Application and Processing of Licence and/or Rating |
| 6.501 – 6.504 | Licenses Issued and Validated Directly by the CAA |
| 6.601 – 6.602 | License and Ratings Issued - Written and Oral Theoretical Knowledge Examinations |
| 6.701 – 6.702 | Licenses and Ratings Issued - Practical Demonstration and Flight Examinations |
| 6.801 – 6.802 | Licenses and Ratings Issued - Records and Specifications |
| 6.901 – 6.904 | Licenses and Ratings Issued - Approved Training Organizations (ATO) and/or Aviation Schools |
| 6.1001 – 6.1004 | Crewmember Licensing Processing of the Medical Assessment |
| 6.1101 – 6.1104 | Operator’s Maintenance Arrangements - General |
| 6.1201 – 6.1202 | Operator’s Maintenance Arrangements - Maintenance Contracting |
| 6.1301 – 6.1301 | Operator’s Maintenance Arrangements - Maintenance Control Manual |
| 6.1401 – 6.1402 | Operator’s Maintenance Arrangements - Maintenance Programme |
| 6.1501 – 6.1502 | Operator’s Maintenance Arrangements - Continuing Airworthiness Information |
| 6.1601 – 6.1603 | Operator’s Maintenance Arrangements - Special Certification |
| 6.1701 – 6.1702 | Airworthiness Engineering Division (AED) (Assess for State of Design & State of Manufacture Only) |

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| 6.1801 – 6.1804 | Certificate of Airworthiness - Amendment to Type Certificates, Supplemental Type Certificates, Approval of Modifications and Repairs |  |
| 6.1901 – 6.1901 | Certificate of Airworthiness - Issue of individual Certificate of Airworthiness |
| 6.2001 – 6.2002 | Certificate of Airworthiness - Renewal and Continuing Validity of Certificates of Airworthiness |
| 6.2101 – 6.2102 | Certificate of Airworthiness - Flight Permits |
| 6.2201 – 6.2203 | Approved Maintenance Organisations (AMO) - Approval |
| 6.2301 – 6.2302 | Approved Maintenance Organisations (AMO) - Maintenance Procedures Manual |
| 6.2401 – 6.2401 | Approved Maintenance Organisations (AMO) – Facilities |
| 6.2501 – 6.2502 | Approved Maintenance Organisations (AMO) – Personnel |
| 6.2601 – 6.2602 | Approved Maintenance Organisations (AMO) – Maintenance Release |
| 6.2701 – 6.2703 | Exchange of Continuing Airworthiness Information |
| **CE-7 Surveillance Obligations** | | |
| 7.001 – 7.009 | Surveillance of Certificated Operators – General | Operations |
| 7.101 – 7.101 | Surveillance of Certificated Operators - Operations |
| 7.401 – 7.402 | Surveillance of Medical Assessments |  |
| 7.501 – 7.501 | Surveillance of Aviation Training Organizations (ATO) |  |
| 7.001 – 7.009 | Surveillance of Certificated Operators – General | Airworthiness |
| 7.201 – 7.201 | Surveillance of Certificated Operators - Operator’s Maintenance Arrangements |
| 7.301 – 7.304 | Surveillance of Aircraft Maintenance Organisations (AMO) |
| 7.401 – 7.402 | Surveillance of Medical Assessments |  |
| 7.501 – 7.501 | Surveillance of Aviation Training Organizations (ATO) |  |
| **CE-8 Resolution of Safety Concerns** | | |
| 8.001 – 8.008 | Surveillance of Certificated Persons/Organizations – General | Operations |
| 8.001 – 8.008 | Surveillance of Certificated Persons/Organizations – General | Airworthiness |
| 8.001 – 8.008 | Surveillance of Certificated Persons/Organizations – General | Attorney |

Each checklist section identifies the ICAO SARPs, and the related guidance materials that are subject to an IASA assessment. The checklist provides the document reference and indicates if it is an Article of the Chicago Convention (CC), an ICAO Standard (STD), or guidance material (GM).

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| **IASA – CE-4 –** Technical Personnel Qualification and Training **Personnel Training – General** | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not Assessed |
| **ICAO Ref.** | ICAO references: CC = Chicago Convention; STD = Standard; GM = Guidance material. |
| **STD**  **A6, Pt I, C4, 4.2.1.8 & App 5, 4**  **GM**  **Doc 9734, Pt A,C3, 3.5.2; Doc 8335, Pt I, C6, 6.3,& ;Doc 9760, Pt II, C4, 4.5, 4.5.1.1** | 4.001 Does the Civil Aviation Authority (CAA) operate a training center to satisfy its need for qualified and trained personnel? Yes No  If yes, describe what training programmes are delivered? (Note: Include location, courses, personnel trained, etc.) |
| **Comments** |  |

The heading at the beginning of each section also allows for team member(s) completing that section to be listed, and an overall compliance status for that section to be indicated. An assessment finding that identifies lack of compliance with a regulation promulgated by the Contracting State, a provision of the Chicago Convention, or implementation of an ICAO Standard is an indication that the compliance status is unsatisfactory. An assessment finding that identifies lack of adherence to an ICAO Standard and Recommended Practice, procedure or safety-related guidance material will be recorded, but may not cause the particular section to be unsatisfactory. The section compliance status is determined by making an overall evaluation of the CAA’s compliance status in the area covered by the checklist section for inclusion in the assessment report. **Any finding will require a description and the reasons for the non-compliance and will include the ICAO reference.**

NOTE - Electronic versions of the checklist may be downloaded from the public web site:

http://www.faa.gov/about/initiatives/iasa/checklists/

ICAO publications referred to in the IASA checklists:

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| PUBLICATION | DESCRIPTION | ED. | DATE | AMEND. | DATE | CORRIG | DATE |
| Annex 1 | Personnel Licensing | 12th | July 2018 | 1-175 |  |  |  |
| Annex 6, Pt I | Operation of Aircraft | 11th | July 2018 | 1-43 |  |  |  |
| Annex 8 | Airworthiness of Aircraft | 12th | July 2018 | 1-106 |  |  |  |
| Doc 7300/9 | Convention on  International Civil Aviation | 9th | 2006 |  |  |  |  |
| Doc 8335 | Manual of Procedures for  Operations Inspection,  Certification and  Continued Surveillance | 5th | 2010 |  |  |  |  |
| Doc 8984 | Manual of Civil Aviation Medicine | 3rd | 2012 |  |  |  |  |
| Doc 9318 | Protocol  relating to an amendment to the  Convention on International Civil Aviation (Article 83 *bis*) |  | 1980 |  |  |  |  |
| Doc 9365 | Manual of All-Weather Operations | 4th | 2017 |  |  |  |  |
| Doc 9375 Vol 1 | Dangerous Goods Training Manual | 4th | 2010 |  |  |  |  |
| Doc 9379 | Manual of Procedures for Establishment and Management  of a State’s Personnel Licensing System | 2nd | 2012 |  |  |  |  |
| Doc 9574 | Manual on a 300 m (1000 ft) Vertical Separation Minimum Between FL 290 and FL 410 Inclusive | 3rd | 2012 |  |  |  |  |
| Doc 9613 | Performance-based Navigation (PBN) Manual | 4th | 2013 |  |  | 1 | 1/24/2014 |
| Doc 9626 | Manual on the Regulation of International Air Transport | 3rd | 2018 |  |  |  |  |
| Doc 9640 | Manual of Aircraft Ground De-icing /Anti-icing Operations | 3rd | 2018 |  |  |  |  |
| Doc 9734, Pt A | The Establishment and Management of a State’s Safety Oversight System | 3rd | 2017 |  |  |  |  |
| Doc 9734, Pt B | The Establishment and Management of a Regional Safety Oversight Organization | 2nd | 2011 | 1 | 9/18/2013 | 1 | 10/18/2013 |
| Doc 9760 | Airworthiness Manual | 3rd | 2014 |  |  |  |  |
| Doc 9841 | Manual on the Approval of Training Organizations | 3rd | 2018 |  |  |  |  |
| Doc 9997 | PBN Approval Manual | 2nd | 2015 |  |  |  |  |
| Doc 10011 | Manual on Aeroplane Upset Prevention | 1st | 2014 |  |  |  |  |
| Doc 10020 | Manual on EFBs | 2nd | 2018 |  |  |  |  |
| Doc 10059 | Manual on the implementation of Article 83 | 1st | 2017 |  |  | Corrig 2 | 05/31/2018 |
| Doc 10085 | Extended Diversion Time Operations (EDTO) Manual | 1st | 2017 |  |  |  |  |
| Doc 10111 | Manual on the Implementation and Use of Cabin Electronic Flight Bags | 1st | 2019 |  |  |  |  |
| Doc 10121 | Manual on Ground Handling | 1st | 2019 |  |  |  |  |

Revisions to ICAO publications referenced in the checklists are highlighted in the table above.