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| **IASA – CE-1 – 1.000 - Primary Aviation Legislation Content and Amendment Procedure** | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |
| **ICAO Ref.** | ICAO references: CC = Chicago Convention; STD = Standard; GM = Guidance material. |

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| **CC**  **Art 12, & 37**  **STD**  **A6, Pt 1, 4.2.1.8, App 5,1,1.1,**  **GM**  **Doc 9734, Pt A, Foreword, 2.2, 2.2.1, 3.2; Doc 9760, Pt II, 1.2, 1.2.1** | 1.001 Does the State specifically promulgate primary aviation legislation (civil aviation act, civil aviation code, rules of the air, etc.) to enable it to implement the provisions of the *Convention on International Civil Aviation* (*Chicago Convention*) and its Annexes? Yes No  If yes, describe the primary aviation legislation promulgated.  If no, describe how the State undertakes to keep its own regulations in these respects uniform, to the greatest possible extent, with those established from time to time under the Chicago Convention.  Enter date of initial promulgation and date of last amendment. |
| **Comments** |  |

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| **STD**  **A6, Pt 1, 4.2.1.8, App 5**  **GM**  **Doc 9734,Pt A, 3.2.5** | 1.002 Specify the highest level of government at which the primary aviation legislation was promulgated. |
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| **STD**  **A6, Pt 1, 4.2.1.8, App 5**  **GM**  **Doc 8335, Pt I, 3.1, 3.1.2.2; Doc 9734, Pt A, 3.3, 3.3.1.1** | 1.003 Describe procedures established by the Civil Aviation Authority (CAA) for the amendment of its primary aviation legislation.  Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response. |
| **Comments** |  |

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| **CC**  **Art 12, 37**  **STD**  **A6, Pt 1, 4.2.1.8, App 5,**  **GM**  **Doc 8335, Pt I, 3.1, 3.1.2.2; Doc 9734,Pt A, 3.3, 3.3.1.1** | 1.004 When was the legislation last amended/re-issued to maintain uniformity with new standards established or re-established from time to time under the Chicago Convention?  Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response. |
| **Comments** |  |

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| **CC**  **Art 12, & 37**  **STD**  **A6, Pt I, 4.2.1.8, App 5, 2,2.1**  **GM**  **Doc 8335, Foreword, Pt I, 2.2, 3.1;**  **Doc 9734, Pt A, 3.2, 3.3, 3.3.1.1; Doc 9760, Pt II, 1.2, 1.2.** | 1.005 Describe the provisions of the primary aviation legislation that provide for the introduction/adoption of national aviation regulations and the promulgation thereof.  Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response. |
| **Comments** |  |

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| **STD**  **A6, 4.2.1.8, App 5**  **GM**  **Doc 8335, Pt I, C2 & C3; Doc 9734,** **Pt A, 3.2 & 3.4** | 1.006 Describe the State’s legal basis for the establishment of the CAA in accordance with the articles of the Chicago Convention. |
| **Comments** |  |

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| **CC**  **Art 12**  **GM**  **Doc 8335, Pt I, 3.2, 3.3.2; Doc 9734, Pt A, Foreword, 3.1, 3.2.5, 3.4.1** | 1.007 Describe the provisions of the primary aviation legislation that provides for the establishment of a CAA to be headed by a Director General, or other equivalent title/position, and the grant of power to that Director General to exercise authority over civil aviation matters.  Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response. |
| **Comments** |  |

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| **CC**  **Art 12, & 37**  **STD**  **A6, Pt I, 4.2.1.8, App 5, 2,2.1**  **GM**  **Doc 8335, Foreword, Pt I, 2.2, 3.1;**  **Doc 9734, Pt A, 3.2, 3.3, 3.3.1.1; Doc 9760, Pt II, 1.2, 1.2.1** | 1.008 Describe the provisions of the primary aviation legislation that provides for the delegation of the necessary authority and the assignment of corresponding responsibility to the Director General to develop, issue, and revise operating regulations and rules (including orders/directives, and/or instructions) consistent with the provisions of the Annexes to the Chicago Convention.  Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response. |
| **Comments** |  |

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| **CC**  **Art. 16**  **GM**  **Doc 8335, Pt I, 3.1.2.1 b), 3.3.2; Doc 9734, Pt A, 3.2 & 3.8** | 1.009 Describe the provisions of the primary aviation legislation that provides delegation of sufficient legal authority to the CAA and also CAA inspectors.  Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response. |
| **Comments** |  |

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| **STD**  **A6, Pt. I, 4.2.1.8 & App 5, 4.3**  **GM**  **Doc 9379, Pt. I, C6; Doc 9734, Pt A, 2.3, 2.3.2.3, 2.4.7 b), 2.4.9 & 2.5.2; Doc 8335, Pt I, 5.3.3** | 1.010 Is there an overlap of civil aviation responsibilities among any government agencies or entities, in addition to the CAA (e.g., Ministry of Transportation, etc.)?  Yes No  If yes, explain the overlap of responsibilities, and whether any of these government agencies or entities have the authority to issue civil aviation regulations. Provide the legal citation for such authority. |
| **Comments** |  |

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| **CC**  **Art 6**  **STD**  **A6, Pt I, 4.2.1.8, App 5, 2,2.1**  **GM**  **Doc 8335, Foreword, Pt I, 2.2, 3.1,**  **Doc 9734, Pt A, 3.2, 3.3, 3.3.1.1, 3.3.7; Doc 9760, Pt II, 1.2, 1.2.1** | 1.011 Does the primary aviation legislation provide for the issuance of exemptions/exceptions to the air navigation regulations and associated operating regulations? Yes No  If yes, describe the procedure for the issuance of the exemption (including exceptions/deviations/extensions) with limitations. Include criteria used for the risk assessment before granting the exemption.  If no, describe the CAA’s process to address requests to deviate from the air navigation regulations and associated operating regulations. |
| **Comments** |  |

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| **CC**  **Art 29**  **STD**  **A6, Pt I, 4.2.1.8, App 5**  **GM**  **Doc 8335,Pt I, 3.5; Doc 9734, Pt A, 2.3, 2.3.2. 3.1, 3.2.4; Doc 9760, Pt II, 1.1, 1.1.1.7** | 1.012 Describe the provisions of the primary aviation legislation that requires commercial air transport operations to be conducted in accordance with any conditions the State may consider applicable in the interests of safety?  Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response. |
| **Comments** |  |

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| **CC**  **Art 12**  **STD**  **A1, Att C, 1,1.4, A6, Pt I, 4.2.1.8, App 5,8, Att I,1,1.4, A8, Pt II, Att to Part II, 1,1.4**  **GM**  **Doc 8335, Foreword, Pt I, 3.1, 3.1.2.2, 5.2,5.2.1; Doc 9734, Pt A, 3.9; Doc 9379, Pt I, 3.5, 10.4; Doc 9760, Pt II, 2.1, 4.4** | 1.013 Describe the provisions of the primary aviation legislation that provides for the enforcement of the air navigation regulations and associated operating regulations, and for the rules specifying any penalty to be applied in the event of violation.  Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response. |
| **Comments** |  |

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| **STD**  **A6, Pt I, 4.2.1.5 & 6, 4.2.1.8, APP 5,6,6,1**  **GM**  **Doc 8335, Pt I, 2.2, 2.2.1, 3.2** | 1.014 Describe how the CAA/Ministry determines the technical and financial capability of the operator to conduct proposed operations. |
| **Comments** |  |

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| **STD**  **A6, Pt I, 4.2.1.8, App 5,**  **GM**  **Doc 8335, Pt I, 2.2, 2.2.1, 3.2, 4.3; Doc 9760, Pt IV, 2.1.6.2** | 1.015 Describe the legal basis as to how the Director General can issue an air operator certificate and operations specifications in the interests of safety for a particular operation.  Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response. |
| **Comments** |  |

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| **STD**  **A6, Pt I, 4.2.1.8, App 5**  **GM**  **Doc 8335, Pt I, 2.2, 2.2.1, 3.2** | 1.016 Describe legal basis as to how the Director can refuse, withdraw, revoke, suspend, or amend any license, authorization, or operation authorized by the air operator certificate (AOC), if it is necessary in the interest of safety?  Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response. |
| **Comments** |  |

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| CCArt 37 & 38 **STD**  **A1, Foreword, A6, Foreword, Pt 1, 4.2.1.8, App 5, A8, Foreword**  **GM**  **Doc 8335, Pt I, 3.1, 3.1.2.2; Doc 9734,Pt A, 3.3, 3.3.1.1; Doc 9734, 3.3, 3.3.3; Doc 9379, Pt I, 3.4; Doc 9760, Pt II, 2.2.3, 4.3, Pt II, 1.2** | 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.  If the State has adopted another State’s regulations, describe the method used to outline the differences between ICAO SARPs and the adopted regulations and to notify ICAO of the differences that have been reproduced in the national regulations. |
| **Comments** |  |

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| **CC**  **Art. 12**  **GM**  **Doc 9379, Pt I, C3; Doc 9734 Pt A, 3.2 & 3.3; Doc 9760, Pt II, 4.9** | 1.018 Are the primary aviation legislation, the national aviation regulations, and the associated operating regulations and rules available to all users?  Yes No  If yes, by what methods and means are they available? |
| **Comments** |  |

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| **CC**  **Art 81, 83*bis***  **STD**  **A6 Pt I, 4.2.1.8, C3, Att E, 2.5,**  **GM**  **Doc 8335, Pt V, Doc 9318; Doc 9760, Pt IV, 2.1.3; Doc 9626; Doc 9734, Pt A, 3.3.4.4, Pt B** | 1.019 Has the State ratified Article 83*bis*? Yes No  If yes, describe how the State revised or modified the primary aviation legislation and operating regulations in order to:   1. Recognize certificates of airworthiness and/or personnel licenses issued/renewed by the State of the Operator 2. Transfer its State of Registry’s responsibilities to the State of the Operator   If the State has any agreements regarding the transfer of responsibilities from the State of Registry to the State of the Operator under the provisions of Article 83*bis* then:   1. List the countries, and provisions, with which such agreements exist. 2. Describe the process used by the State to notify and register these agreements with ICAO as specified in Doc. 7300, Art. 81, and ICAO Circular 295. |
| **Comments** |  |

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| **IASA – CE-1 – 1.100 - Primary aviation legislation Enforcement of Civil Aviation Law and Regulations** | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |
| **ICAO Ref.** | ICAO references: CC = Chicago Convention; STD = Standard; GM = Guidance material. |

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| **CC**  **Art. 12,**  **STD**  **A1, Att C, 1, 1.4, A6, Pt I, 4.2.1.8, App 5,8, Att I,1,1.4, A8, Pt II, Att to Part II, 1,1.4**  **GM**  **Doc 8335, Foreword, Pt I, 3.1, 3.1.2.2, 5.2, 5.2.1; Doc 9379,Pt I, 3.5, 10.4; Doc 9734, Pt A, 3.2, 3.8, 3.9; Doc 9760, Pt II, 2.1, 4.4** | 1.101 Who is responsible for the enforcement of the primary aviation legislation and how is enforcement implemented? |
| **Comments** |  |

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| **CC**  **Art. 12,**  **STD**  **A1, Att C, 1,1.4, A6, Pt I, 4.2.1.8, App 5,8, Att I,1,1.4, A8, Pt II, Att to Part II, 1,1.4**  **GM**  **Doc 8335, Foreword, Pt I, 3.1, 3.1.2.2, 5.2, 5.2.1; Doc 9379, Pt I, 3.5, 10.4; Doc 9734, 3.2, 3.8,3.9; Doc 9760, Pt II, 2.1, 4.4** | 1.102 Who is responsible for the enforcement of national aviation regulations pertaining to:   1. Airworthiness? 2. Operations? 3. Personnel licensing? |
| **Comments** |  |

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| **CC**  **Art. 12,**  **STD**  **A1, Att C, 1.4, A6, Pt I, 4.2.1.8, App 5,8, Att I, 1,1.4; A8, Pt II, Att to Part II, 1, 1.4**  **GM**  **Doc 8335, Foreword, Pt I, 3.1, 3.1.2.2, 5.2, 5.2.1; Doc 9379, Pt I, 3.5, 10.4; Doc 9734, 3.2, 3.8, 3.9; Doc 9760, Pt II, 2.1, 4.4** | 1.103 Provide an overview of enforcement action(s) taken during the last twelve months? |
| **Comments** |  |

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| **IASA – CE-1 - 1.200 - Primary aviation legislation Empowerment of Inspectors** | | |
| **TEAM:** | | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |
| **ICAO Ref.** | ICAO references: CC = Chicago Convention; STD = Standard; GM = Guidance material. | |

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| **CC**  **Art 16**  **STD**  **A6, App 5, 3**  **GM**  **Doc 8335 Pt IV,1.1, 1.4, Pt VI, 5.2, 5.2.1; Doc 9734, Pt A, 3.4, 3.4.2, 3.4.2.2; Doc 9760, Pt II, 4.5.1.1** | 1.201 A) Do the laws of the State provide the CAA’s inspectors with complete and uninterrupted access to an air operator’s personnel, aircraft, operations, facilities, and associated records for the purpose of certification and continued surveillance, and resolution of safety issues? Yes No   1. Does the civil aviation law or civil aviation regulations require the CAA to issue inspector credentials that authorizes inspectors to independently accomplish their certification and surveillance duties? Yes No   If yes, provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response. |
| **Comments** |  |

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| **CC Art. 33**  **GM**  **Doc 8335,Pt I, 5.2**; **Doc 9734, Pt A, 3.2,3.8, 3.9; Doc 9379, Pt II, 10.4; Doc 9760, Pt II, 4.7, 4.7.3, n), Pt IV, 5.4, 5.4.1** | 1.202 Does an inspector have the right to detain aircraft and impose prohibitions and conditions in relation to non-compliance with CAA regulations?  Yes No  If yes, describe the process used by an inspector to detain aircraft and impose prohibitions and conditions in relation to non-compliance with CAA regulations. Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response. |
| **Comments** |  |

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| **CC**  **Art 32**  **STD**  **A1, 1.2.5**  **GM**  **Doc 8335, Pt I, 5.2; Doc 9734, Pt A, 3.2, 3.8, 3.9; Doc 9379, Pt II, 10.4; Doc 9760, Pt II, 4.7, 4.7.** | 1.203 Does an inspector have the right to prohibit any person from exercising the privileges of any aviation license, certificate, or document, in relation to non-compliance with CAA regulations?  Yes No  If yes, describe the process used by an inspector to prohibit any person from exercising the privileges of any aviation license, certificate, or document in relation to non-compliance with CAA regulations. Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response. |
| **Comments** |  |