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| **IASA – CE-3 – 3.000 – State Civil Aviation System and Safety Oversight Functions 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. |

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| **STD**  **A6, Pt I, 4.2.1.8, App 5**  **GM**  **Doc 8335, Pt I, C5; Doc 9760, Pt II, C4; Doc 9734, Pt A, 3.4** | 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.  NOTE: Submission of an organizational chart would assist in answering this question. |
| **Comments** |  |

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| **STD**  **A6, 4.2.1.8, App 5**  **GM**  **Doc 8335**  **Pt I, C5; Doc 9760, Pt I, C2, Pt II, C4** | 3.002 Describe the roles and responsibilities (documented) of the operations and airworthiness inspection organizations as they are structured in the CAA regarding:   1. Issuance of the air operator certificate (AOC) 2. Specific authorizations 3. Deficiencies 4. Development of regulations 5. Enforcement   Provide the specific reference and any other guidance material or practice used in reference to your response. |
| **Comments** |  |

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| **STD**  **A6, 4.2.1.8, App 5** GMDoc 8335, Pt I, 2.2, Ch 5, 5.3; Doc 9379, Pt I, C6, 8.8; Doc 9734, Pt A, 2.4, 3.7; Doc 9760, Pt II, , 4.1, 4.1.6 | 3.003 Does the CAA delegate any safety oversight functions to:   |  |  | | --- | --- | | 1. Other CAA divisions | Yes No | | 1. Other State bodies | Yes No | | 1. Regional organisation | Yes No | | 1. Private agencies | Yes No | | 1. 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. |
| **Comments** |  |

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| **STD**  **A6, 4.2.1.8, App 5**  **GM**  **Doc 8335, Pt I, 5.3.2; Doc 9379, Pt I, C6, 8; Doc 9760, Pt II, 4.1, 4.1.6; Doc 9734, Pt B, C3** | 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. |
| **Comments** |  |

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| **STD**  **A1, C2, C3, & C4**  **GM**  **Doc 9734,** **Pt A, 3.7; Doc 9379, Pt I, C1, & C2; Doc 9760, Pt II, 4.7.1.2** | 3.005 Describe the personnel licensing process and the responsibilities of licensing personnel?   1. Does the CAA have a dedicated licensing section? Yes No 2. Does the CAA integrate personnel licensing within the operations and airworthiness departments? Yes No   Provide the specific reference to the relevant regulation, and any guidance material or practice used in reference to your response. |
| **Comments** |  |

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| **IASA – CE-3 – 3.100 – State Civil Aviation System and Safety Oversight Functions Other Departments and Organisations with Aviation Responsibilities** | |
| **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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| **STD**  **A6, Pt I, 4.2.1.8 & App 5, para 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** | 3.101 (A) Is there an overlap of responsibilities among civil aviation entities when there is more than one organization with functions related to safety oversight?  Yes No  If yes, have procedures been established to ensure that safety oversight functions, or aircraft accident and incident investigations, are covered? Do these procedures overlap responsibilities between organizations within the CAA  If yes, explain the overlap and the established and documented procedures to ensure proper delineation of authority and responsibility among the entities.  (B) Is there a conflict of interest, a perceived conflict of interest, or a potential for conflict of interest among the various civil aviation entities?  Yes No  If yes, explain the established and documented procedures to mitigate conflict of interest issues.  Provide the specific reference to the relevant regulation, and any guidance material or practice used in reference to your response. |
| **Comments** |  |

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| **IASA – CE-3 – 3.200 – State Civil Aviation System and Safety Oversight Functions** **Staffing** | |
| **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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| **STD**  **A6, Pt I, 4.2.1.8, App 5, para 3, 3.2**  **GM**  **Doc 9734, Pt A, 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. |
| **Comments** |  |

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| **STD**  **A6, Pt I, 4.2.1.8,**  **GM**  **Doc 9734, Pt A, 2.1, 2.5, 3.4, 3.4.2 & 3.5; Doc 8335, Pt I, 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? |
| **Comments** |  |

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| **STD**  **A6, Pt I, 4.2.1.8,**  **GM**  **Doc 9734, Pt A, 3.4, 3.5; Doc 8335, Pt I, C5 & C6, Doc 9379, Pt I, 2.4; Doc 9760, Pt II, 4.5** | 3.203 Have written terms of reference establishing qualifications, roles, and responsibilities been developed for technical staff?  Yes No  If yes, what are the policy and procedures for recruiting technical staff in compliance with the established qualifications? |
| **Comments** |  |

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| **STD**  **A6, Pt I, 4.2.1.8,**  **GM**  **Doc 9734, Pt A, 3.4, 3.5, Doc 8335, Pt I, C5, 5.3, & C6, Doc 9379, Pt I, 2.4** | 3.204What is the role of the CAA in the selection process and recruitment of technical staff? |
| **Comments** |  |

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| **STD**  **A6, Pt I, 4.2.1.8**  **GM**  **Doc 8335,Pt I, 5.3; Doc 9734,** **Pt A, 3.4 & 3.5, 3** | 3.205Do employment conditions within the CAA allow for the retention of adequately qualified and experienced technical staff? Yes No  If yes, what is the approximate average length of time in service for CAA technical personnel and how often does the CAA recruit technically qualified personnel? |
| **Comments** |  |

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| **STD**  **A6, Pt I, 4.2.1.8**  **GM**  **Doc 8335, Pt I, 5.3, Doc 9734,** **Pt A, 2.5.4, 3.4 & 3.5,** | 3.206 How does the CAA technical staff’s remuneration and conditions of service compare to that of comparable personnel in industry? |
| **Comments** |  |

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| **IASA – CE-3 – 3.300 – State Civil Aviation System and Safety Oversight Functions Resources** | |
| **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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| **STD**  **A6, Pt I, 4.2.1.8,**  **GM**  **Doc 8335, Pt. I, C5; Doc 9734,** **Pt A, 2.1.2, 2.5.3, 2.5.4, C3, 3.4, 3.4.2.4 & 3.5; Doc 9760, Pt II, 1.1.11** | 3.301 (A) What financial resources are available to the CAA to fulfill its staffing, training/qualifications, licensing, certification, authorization and approval, and continuing surveillance obligations?  (B) Describe the extent of the CAA’s control of the income it generates. |
| **Comments** |  |

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| **STD**  **A6, Pt I, 4.2.1.8**  **GM**  **Doc 8335, App. 5, 3.4;Doc 9734, Pt A, 3.6; Doc 9760, Pt II, 4.1, 4.1.2** | 3.302 Describe the various modes of travel/transportation available to inspectors to perform their functions. |
| **Comments** |  |

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| **STD**  **A6, Pt I, 4.2.1.8**  **GM**  **Doc 8335, Pt. IV, C5, App. 5, 3.4**  **Doc 9734, Pt A, 3.4; Doc 9760, Pt II, 4.5, 4.5.1.1** | 3.303 Are inspectors issued credentials so they can independently accomplish their certification and surveillance duties? Yes No  If yes, present a sample of the credential. Provide the specific reference to the relevant regulation, and any guidance material or practice used in reference to your response.  If no, what form of identification do inspectors use to accomplish their certification and surveillance duties? |
| **Comments** |  |

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| **STD**  **A6, Pt I, 4.2.1.8, App 5, para 3.4**  **GM**  **Doc 8335, App. 5, 3.4;**  **Doc 9734, Pt A, 3.6, Doc 9379, Pt I, 2.7, 2.8** | 3.304 Indicate the following support available to the CAA’s staff to accomplish certification and continued surveillance activities.   |  |  | | --- | --- | | 1. Adequate facilities for personnel | Yes No | | 1. Photocopiers | Yes No | | 1. Computers | Yes No | | 1. Internet Access | Yes No | | 1. Printing facilities | Yes No | | 1. Adequate telephones | Yes No | |
| **Comments** |  |

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| **IASA – CE-3 – 3.400 – State Civil Aviation System and Safety Oversight Functions** **Airworthiness Engineering Division (AED)** | |
| **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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| **STD**  **A8, C2, 2.4**  **GM**  **Doc 9760, Pt II, C4** | 3.401 (A) Describe the State’s involvement in aviation design or manufacturing activities.  (B) Has an airworthiness engineering division (AED) within the CAA been established?  Yes No  If yes, describe how and to whom the airworthiness engineering responsibilities have been assigned within the AED.  If no, describe how and to whom the airworthiness engineering responsibilities have been assigned or delegated without an AED.  Provide the specific reference to the relevant regulation, and any guidance material or practice used in reference to your response. |
| **Comments** |  |

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| STDA8, 2.4GM **Doc 9734, Pt A, 3.7; Doc 9760, Pt II, C4** | 3.402 Have airworthiness engineering responsibilities been delegated to?   |  |  | | --- | --- | | 1. Other CAA divisions | Yes No | | 1. Other State bodies | Yes No | | 1. Regional organisations | Yes No | | 1. Private agencies | Yes No | | 1. Designated engineers | Yes No |   If yes to any, what is the scope of the delegation for airworthiness engineering responsibilities?  If yes to any, what 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. |
| **Comments** |  |

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| STDA8, 2.4GM **Doc 9734, Pt A, 3.7; Doc 9760, Pt II, C4** | 3.403 What are the number and composition of the following in the AED?   |  |  | | --- | --- | | 1. Airworthiness engineers |  | | 1. Administrative personnel |  | | 1. Flight test personnel |  | |
| **Comments** |  |