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| **IASA - CE 5 - 5.000 Technical Guidance, Tools, and the Provision of Safety Critical Information Access to Technical Guidance** | |
| **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, App 5, para 5**  **GM**  **Doc 9379, Pt I, 2.9; Doc 9734,Pt A, 3.6, 3.6.1, Doc 9760, Pt II,4.9, 4.9.1** | 5.001 Are current copies of ICAO Annexes 1, 6, and 8, and related ICAO guidance material documents available? Yes No  Record revision dates for ICAO Annexes 1, 6, and 8, and related ICAO guidance material documents in comments section. |
| Comments |  |

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| **STD**  **A6, Pt I, App 5, para 5**  **GM**  **Doc 9379, Pt I, 2.9; Doc 8335, Pt I, 3.1.2.2; Doc 9734, Pt A, 3.3,3.6; Doc 9760, Pt II, 4.9, 4.9.1** | 5.002 Are the applicable regulations and amendments readily available and up-to- date for use by inspectors and technical personnel of the CAA?  Yes No  If yes, describe the means by which inspectors and technical personnel have access to the regulations. |
| Comments |  |

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| **STD**  **A6, Pt I, App 5**  **GM**  **Doc 9379, Pt I, 2.9, Doc 8335 Pt I, 3.1.2.2, Doc 9734, 3.3, 3.6, Doc 9760, Pt II, 4.2 m)** | 5.003 Are the applicable regulations and amendments readily available and up-to- date for use by the public? Yes No  If yes, describe the means by which the public has access to the regulations.  **Note:** Cross-referenced in CE-2 2.002. |
| Comments |  |

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| **STD**  **A6, Pt 1, 4.2.1.3, 4.2.1.6, 4.2.1.7: App 6, Att E**  **GM**  **Doc 8335, Pt. III** | 5.004 Describe a prospective commercial air transport operator’s access to information regarding an application for an AOC.  (Hyperlink to the relevant regulations and technical guidance if possible). |
| Comments |  |

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| **STD**  **A6, Pt I, App 5**  **GM**  **Doc 9379, Pt I, 2.9; Doc 9734, 3.3, 3.6; Doc 9760, Pt II, 4.9** | 5.005 Does each inspector maintain or have access to a current copy of the national regulations? Yes No  If yes, describe the means by which inspectors have access to the regulations.  **Note:** Cross-referenced in CE-2 2.002. |
| Comments |  |

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| **STD**  **A6, Pt I, App 5**  **GM**  **Doc 9379, Pt I, 2.9; Doc 9734, 3.3, 3.6; Doc 9760, Pt II, 4.9** | 5.006 Has the CAA developed and implemented technical guidance and procedures for use by its inspectors and technical personnel? Yes No  If yes, describe the system of technical guidance and procedures implemented by the CAA. |
| Comments |  |

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| **STD**  **A6, Pt I, App 5**  **GM**  **Doc 9379, Pt I,2.9; Doc 9734, 3.3, 3.6; Doc 9760, Pt II, 4.9** | 5.007 Does the CAA have examples of orders, directives, and/or instructions it has issued in support of its inspector activities and available for review?  Yes No  If yes, provide provide reference location of orders, directives, and/or instructions it has issued. |
| Comments |  |

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| **STD**  **A6, Pt I, 4.2.1.8, App 5**  **GM**  **Doc 8335, Pt. I, 3.2**  **Pt. III, 7.3; Doc 9734 Pt A, 3.9** | 5.008 Describe the CAA’s legal methodology to refuse, withdraw, revoke, suspend or modify any operation authorised by the holder of an AOC, if it is necessary in the interest of safety to do so. |
| **Comments** |  |

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| **STD**  **A6, Pt I, 4.2, 4.2.1.8, App 5**  **GM**  **Doc 9379, Pt I, 2.9;Doc 9734, Pt A, 3.3, 3.6; Doc 9760, Pt II, 4.9** | 5.009 Does the inspector technical guidance contain policy, procedures, and standards for:   |  |  | | --- | --- | | 1. certification | Yes No | | 1. licensing | Yes No | | 1. authorizations and approvals | Yes No | | 1. surveillance/inspections | Yes No | | 1. resolution of safety issues | Yes No | | 1. Designated/delegated personnel, or persons employed by a certificate holder | Yes No |   If yes, describe the specific technical guidance developed and implemented by the CAA. |
| Comments |  |

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| **STD**  **A6, Pt I, 4.2.1.8, App 5**  **GM**  **Doc 9379, Pt I, 2.9, Doc 9734, 3.3, 3.6, Doc 9760, Pt II, 4.9** | 5.010 Does the inspectorate staff use a checklist when performing functions listed in 5.009 above?  Yes No  If yes, describe the specific functions for each checklist(s) developed and implemented. |
| Comments |  |

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| **STD**  **A6, Pt I, 4.2, 4.7, 4.9, 5.4.1, 6.1.3, 7.2, 7.4, 8.2, 8.3, 8.7, 9.3 ,9.4, 10.1, 11.3 , 12.4 App 5, 6.8 Att E, 2,2.1**  **GM**  **Doc 8335, Pt I, C5, Pt III, 3.2, Doc 9379, PT I, 3.2; Doc 9734, 3.6;**  **Doc 9760, Pt II, 4.2, 4.7.1, 4.9, Pt IV, 1.2 Pt V, 2.9, 2.9.1** | 5.011 Does the CAA’s technical guidance provide inspectors with the ability to utilize standardized methods to perform APPROVAL ACTIONS in the following areas?   |  |  | | --- | --- | | **STATE OF REGISTRY** |  | | 1. Aircraft-specific maintenance programme (STD A6, Pt I, C8, 8.3.1; Doc 8335, C4, 4.3) | Yes No | | 1. Approved maintenance organisation (AMO) (STD A6, Pt I, C8, 8.7.1.1) | Yes No | | 1. Maintenance quality assurance methodology (STD A6, Pt I, C8, 8.7.4.1) | Yes No | | 1. Mandatory maintenance tasks and intervals (STD A6, Pt I, C11, 11.3.2) | Yes No | | **STATE OF DESIGN** |  | | 1. Configuration deviation list (CDL) (Definitions); (STD A6, Pt I, C3, 3.3) | Yes No | | 1. Master minimum equipment list (MMEL) (Definitions) (STD A6, Pt I, C3, 3.3) | Yes No | | 1. Airplane Flight Manual (AFM) (STD A8, Pt II, C3, 3.4; Doc 9760, Pt V, C2, 2.9, 2.9.1**)** | Yes No | | 1. Mandatory maintenance tasks and intervals (STD A6, Pt I, C11, 11.3.2) | Yes No | | **STATE OF THE OPERATOR** |  | | 1. The method of determining aerodrome operating minima (STD A6, Pt I, C4, 4.2.8.1; Doc 8335, C5, 5.3) | Yes No | | 1. Additional requirements for single pilot operations under the instrument flight rules (IFR) at night (STD A6, Pt I, C4, 4.9.1) | Yes No | | 1. Flight time, flight duty periods, and rest periods (STD A6, Pt I, C4, 4.10) | Yes No | | 1. Specific extended range operations (ETOPS/EDTO) (STD A6, Pt I, C4, 4.7.1 & 4.7.2) | Yes No | | 1. Additional requirements for operations of single-engine turbine-powered aeroplanes at night and/or in instrument meteorological conditions (IMC) (STD A6, Pt I, C5, 5.4.1) | Yes No | | 1. Aircraft-specific minimum equipment list (MEL) (STD A6, Pt I, C6, 6.1.3) | Yes No | | 1. Performance-based navigation (PBN) operations (STD A6, Pt I, C7, 7.2.2 b)) | Yes No | | 1. Minimum Navigation Performance Specifications (MNPS) operations (STD A6, Pt I, C7, 7.2.3 b)) | Yes No | | 1. Reduced Vertical Separation Minimum (RVSM) operations (STD A6, Pt I, C7, 7.2.4 b)) | Yes No | | 1. Procedures for electronic navigation data management (STD A6, Pt I, C7, 7.4.1) | Yes No | | 1. Flight crew training programmes (STD A6, Pt I, C9, 9.3.1) | Yes No | | 1. Training in the transport of dangerous goods (A6, Pt I, C9, 9.3.1, e) & Note 5; C12, e) & Note 1; C14, 14.1 | Yes No | | 1. Aerodrome additional safety margin (STD A6, Pt I, C9, 9.4.3.3 a)) | Yes No | | 1. Pilot-in-command area, route, and aerodrome qualifications (STD A6, Pt I, C9, 9.4.3.5) | Yes No | | 1. Use of flight simulation training devices (STD A6, Pt I, C9, 9.3.1, Note 2 and 9.4.4, Note 1) | Yes No | | 1. Method of control and supervision of flight operations (STD A6, Pt I, C4, 4.2.1.3 and 10.1) | Yes No | | 1. Cabin crew training programmes (STD A6, Pt I, C12, 12.4) | Yes No |   If yes to any item above, provide reference location of guidance for type of approval action(s) granted. |
| Comments |  |

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| **STD**  **A6, Pt I, 4.2, 4.7, 4.9, 5.4.1, 6.1.3, 7.2,7.4, 8.2,8.3,8.7, 9.3,9.4, 10.1, 11.3,12.4 App 5, Att E, 2,2.1**  **GM**  **Doc 8335**  **Pt I, C5, Pt III, 3.2, Doc 9379, PT I, 3.2,**  **Doc 9734, 3.6**  **Doc 9760, Pt II, 4.2, 4.9, Pt IV, C1, 1.2** | 5.012 Does the CAA’s technical guidance provide inspectors with the ability to utilize standardized methods to perform ACCEPTANCE ACTIONS in the following areas?   |  |  | | --- | --- | | 1. Flight data analysis programme (STD A6, Pt I, C3, 3.3 3.3.3) | Yes No | | 1. Method for obtaining aeronautical data (STD A6, Pt I, C4, 4.1, 4.1.1) | Yes No | | 1. Adequacy of the fuel and oil records (STD A6, Pt I, C4, 4.2, 4.2.10) | Yes No | | 1. Adequacy of flight time, flight duty, and rest period records (STD A6, Pt I, C4, 4.10) | Yes No | | 1. Adequacy of the aircraft maintenance log book (STD A6, Pt I, C4, 4.3, 4.3.1 a), b), and c)) | Yes No | | 1. Adequacy of the load manifest (STD A6, Pt I, C4, 4.3, 4.3.1 d), e) and f)) | Yes No | | 1. Adequacy of the operational plan (STD A6, Pt I, C4, 4.3, 4.3.1 g)) | Yes No | | 1. Method for obtaining weather data (STD A6, Pt I, C4, 4.3, 4.3.5.1 and 4.3.5.2) | Yes No | | 1. Method of compliance with carry-on baggage stowage (STD A6, Pt I, C4, 4.8) | Yes No | | 1. Aeroplane performance operating limitations (STD A6, Pt I, C5, 5.2, 5.2.4) | Yes No | | 1. Method of obtaining and applying aerodrome obstacle data (STD A6, Pt I, C5, 5.3) | Yes No | | 1. Adequacy of passenger information cards (GM Doc 8335, Pt III, C4, 4.3, 4.3.5.6.11) | Yes No | | 1. Procedures for long-range navigation (STD A6, Pt I, Appdx 2, 2.1, 2.1.4) | Yes No | | 1. Content of the journey log book (STD A6, Pt I, C11, 11.4, 11.4.1) | Yes No | | 1. Content of the security training programme (STD A6, Pt I, C13, 13.4) | Yes No |   If yes to any item above, provide reference location of guidance for type of acceptance action. |
| Comments |  |

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| **STD**  **A6, Pt I, 4.2, 4.7, 4.9, 5.4.1,6.1.3,7.2,7.4, 8.2, 8.3, 8.7, 9.3, 9.4,10.1,11.3,12.4 App 5, Att E,2,2.1**  **GM**  **Doc 8335**  **Pt I, C5, Pt III, 3.2, Doc 9379, PT I, 3.2,**  **Doc 9734, 3.6**  **Doc 9760, Pt II, 4.2, 4.9, Pt IV, 1.2** | 5.013 Does the CAA’s technical guidance provide inspectors with the ability to utilize standardized methods to perform TECHNICAL EVALUATIONS in accordance with Annex 6, Pt I, C4, 4.2.1 and Attachment E, 3.4?  Yes No  If yes, provide provide reference location of the guidance material or practice used to perform technical evaluations in reference to your response. |
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| **STD**  **A6, Pt I, 4.2.1, 8.2, 8.3, 9.3, App 5, 6. Att E,2,2.1**  **GM**  **Doc 8335**  **Pt I, C5, Pt III, 3.2, Doc 9379, PT II, 3.2,**  **Doc 9734, 3.6**  **Doc 9760, Pt II, 4.2, 4.9, Pt IV, 1.2** | 5.014 Does the authority’s technical guidance provide inspectors with the ability to utilize standardized methods to perform their duties in the following areas?   |  |  | | --- | --- | | 1. Issuance and renewal of air operator certificate (AOC) | Yes No | | 1. Issuance and renewal of certificate of airworthiness (COA) | Yes No | | 1. Issuance of flight permits | Yes No | | 1. Review operator maintenance control manuals | Yes No | | 1. Review maintenance procedures manuals | Yes No | | 1. Review operator audit procedures | Yes No | | 1. Review approved maintenance organization (AMO) procedures manuals | Yes No | | 1. Approve operations manuals | Yes No | | 1. Conduct apron inspections | Yes No | | 1. Approve lease, charter, and/or interchange agreements | Yes No |   If yes, describe the specific technical guidance established by the CAA. |
| Comments |  |

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| **STD**  **A6, Pt I, 4.2.1, 8.2, 8.2.3, 8.3, 9.3, App 5, 6. Att E,2,2.1**  **GM**  **Doc 8335, Pt I, C5, Pt III, 3.2, Doc 9379, PT I, 3.2,**  **Doc 9734, 3.6**  **Doc 9760,Pt II, 4.9.4, Pt IV, 1.2** | 5.015 Are current copies of the AOC/AMO/ATO certificate holder’s approved/accepted manuals retained and/or available for the CAA, such as:   |  |  | | --- | --- | | 1. Maintenance procedures manuals | Yes No | | 1. Maintenance control manuals | Yes No | | 1. Maintenance programme | Yes No | | 1. Operations manuals | Yes No | | 1. Training programmes | Yes No | | 1. Minimum equipment list | Yes No | |
| Comments |  |

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| **STD**  **A6, Pt. I, C4, 4.2.1.8, App 5, para 7.**  **GM**  **Doc 8335, Pt IV, C2** | 5.016 Describe how the technical guidance provides for the operations and airworthiness inspectorate to conduct continuing surveillance of the operations conducted by AOC holders in accordance with their associated operations specifications. |
| **Comments** |  |

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| **IASA - CE 5 - 5.100 Technical Guidance, Tools, and the Provision of Safety Critical Information  Airworthiness Documentation** | |
| **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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| STDA8, Pt II, 4.2.3GMDoc 9760 Pt II, 4.9; Doc 9734, 3.6 | 5.101 Is there an airworthiness technical library available for airworthiness engineering division (AED), and aircraft inspection division (AID) personnel that include copies of airworthiness directives (AD) service bulletins, etc., issued by the State of Design, State of Manufacturer, or by the airworthiness authority of any other State in which an AOC holder’s aircraft is registered? Yes No  If yes, describe how access to a library of appropriate and current technical information is available to the AED and AID personnel. |
| Comments |  |

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| STDA8, Pt II, 4.2.3GMDoc 9760 Pt II, 4.9; Doc 9734, 3.6 | 5.102 Does the CAA have access to airworthiness and operational data and documentation from the State of Design, State of Manufacture, and/or certification for aircraft on the registry such as, but not limited to:   |  |  | | --- | --- | | 1. Aircraft flight manual | Yes No | | 1. Maintenance manual | Yes No | | 1. Structural repair manual | Yes No | | 1. Parts catalogue | Yes No | | 1. Service bulletins | Yes No | | 1. Master Minimum Equipment List (MMEL) | Yes No | | 1. Maintenance Review Board (MRB) report | Yes No |   If yes, describe how access to a library of appropriate and current technical information is available to the AED and AID personnel. |
| Comments |  |

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| **CC**  **Art 31**  **STD**  **A1, 1.2.8 & App 2; A6, Pt I, C6; A6 Pt I, 8.6; A8, Pt II, C1; A8,Pt II, 1.3.1, Note.; A8,Pt II, C2; A8, Pt II, 3.2.4; Pt II, 4.2.3 c; A6, 4.2.1, & Att E, 2.5**  **GM**  **Doc 8335, Pt I, 3.5; Doc 9379, Part II 7.3; Doc 9760, C2; Doc 9760, Pt III, C9, Pt V, 6.9; Doc 9760, Pt V, C7** | 5.103 If applicable, does the technical guidance for the CAA provide for the utilization of standardized methods to carry out the following duties?   |  |  | | --- | --- | | 1. Approval of design organizations (STD A8, Pt II, 1.3.1, Note.) | Yes No | | 1. Issue/validation/acceptance of type certificates (CC Art 31, STD A8, Pt II, C1, GM Doc 9760, C2) | Yes No | | 1. Approval of production organisations (STD A8, Pt II, C2, GM 9760,Pt V,C4,) | Yes No | | 1. Approval of modifications and repairs (STD A6 Pt I, C8,8.6) | Yes No | | 1. Verification of operations derived equipment which are not part of the type certification of aircraft (STD A6, Pt I, C6, 6.1, 6.1.1) | Yes No | | 1. Developing its own mandatory continuing airworthiness information on a product for which it is not the State of Design (STD A8, Pt II, C4, 4.2.3 c; GM Doc 9760, Pt III, C9, Pt V, C6, 6.9) | Yes No | | 1. Airworthiness approvals for the export or import of aeronautical products (STD A8, Pt II, 3.2.4, GM Doc 9760, Pt V, C7) | Yes No | | 1. Issuance of other approvals and authorizations contained in the operations specifications (e.g., RVSM, EDTO/ETOPS, RNP; AWO) (STD A6, C4, 4.2.1, & Att E, 2.5 | Yes No | | 1. Approval of aviation training organizations (ATO) (STD A1,1.2.8 & App. 2, GM Doc 9379 Part II 7.3) | Yes No |   If yes, provide reference location of technical guidance available for item(s). |
| Comments |  |

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| **IASA - CE 5 - 5.200 Technical Guidance, Tools, and the Provision of Safety Critical Information  Personnel Licensing** | |
| **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**  **A1, C1**  **GM**  **Doc 8335,Pt I, C3; Doc 9734,Pt A, Pt I, 3.2, Pt II, 3.6; Doc 9379, Pt I, C3** | 5.201 Are amended and up-to-date copies of the personnel licensing regulations used by the CAA readily available to personnel licensing officers?  Yes No |
| **Comments** |  |

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| **STD**  **A6, App 5, Sect 6**  **GM**  **Doc 9734, Pt A, Pt II, 3.6** | 5.202 Has the Personnel Licensing Office issued an order, directive, and/or instruction in support of its personnel licensing activities? Yes No  If yes, describe the guidance provided in support of its personnel licensing activities. |
| **Comments** |  |

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| **STD**  **A1, 2.1, 2.1.1.3, 3.1, 3.1.1, 4.1, 4.1.1** | 5.203 Do application forms solicit information as required by ICAO Annex 1?   1. Licences and ratings for pilots? Yes No 2. Licences for flight crew members other than licences for pilots (i.e. flight engineers, flight navigators)?   Yes No   1. Licences and ratings for personnel other than flight crew members (i.e. aviation maintenance technicians, flight operations/flight dispatchers, air traffic controllers)?   Yes No  If yes, provide a sample of each application form. |
| **Comments** |  |

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| **CC**  **Art 32**  **STD**  **A1, 1.2, C2, 3, and 4**  **GM**  **Doc 9379, Pt II, C1, C2, & Att D to C2** | 5.204 What is the method established for processing applications for licenses and/or ratings for pilots, flight crew members other than pilots, and personnel other than flight crew members? Licences issued by:  (1) direct issuance  (2) conversion  (3) validation |
| **Comments** |  |

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| **CC**  **Doc 7300, Art 39B**  **STD**  **A1, 1.2.9.1, 5.1.1.2 XIII, App 1**  **GM**  **Doc 9379 Pt II, C6, Att A, B; Doc 9835** | 5.205 Describe the system for license applicants (as applicable) to demonstrate their ability to speak and understand the language used for radiotelephony communications? |
| **Comments** |  |