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| IASA – CE - 6 - 6.000 - Licensing, Certification, Authorization, and Approval Obligations Air Operator Certificate (AOC) Regulatory Background | |
| **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**  **GM**  **Doc 8335,Pt I, 4.2.1** | 6.001 Does the State require commercial air operators to have an air operator certificate (AOC) issued by the State of the Operator? Yes No |
| **Comments** |  |

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| **CC**  **Art 33**  **STD**  **A6, Pt I, 4.2.2.1**  **GM**  **Doc 8335,Pt VI, C2 thru C4** | 6.002 Does the CAA issue authorisation(s) (e.g., operations specifications, approvals, etc.) to foreign air operators that wish to operate into your State?  Yes No  If yes, describe the system for authorising foreign operators to operate in the State. |
| **Comments** |  |

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| **STD**  **A6, Pt I, 4.2.1.8, App 5**  **GM**  **Doc 8335, Pt I, 3.2(f);**  **Doc 9734 Pt A, 3.8.3** | 6.003 (A) Does the CAA’s 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.  (B) How often has this been accomplished? |
| **Comments** |  |

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| IASA – CE - 6 - 6.100 - Licensing, Certification, Authorization, and Approval Obligations AOC Application and Inspection Prior to Certification | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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| **STD**  **A6, Pt 1, 4.2.1.3; App 6, Att D, 4.1.2, 4.3.1**  **GM**  **Doc 8335,Pt III, C1 thru C7; Doc 9760, Pt II, 4.7.3 h)** | 6.101 Describe the CAA’s system of air operator certification, the issuance, and amendment of an AOC with associated operations specifications. |
| **Comments** |  |

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| **STD**  **A6, Pt 1, 4.2.1.8, 4.2.1, App 5,**  **GM**  **Doc 8335, Pt III, C2, Att A & B, Doc 9760, Pt IV, 2.2** | 6.102 Does the pre-application phase and the certification file include items such as a record of the pre-application meeting. |
| **Comments** |  |

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| **STD**  **A6, Pt I, 4.2.1, 4.2.3, 4.2.8, 6.1.2, 6.1.3, 8.2, 8.3, 9.3, 9.3.1, 11.2, 11.3, 12.4 & 13.4.1, App 2, App 6**  **GM**  **Doc 8335, Pt II, 2.2, 3.1.3 (c), 3.2.2, 3.2.4, 3.5, 3.2.8, 3.3, 4.3.5, 6.1.2, 6.3; Pt III,6.2; Pt V; Doc 9760, Pt III, 7.3, 7.8** | 6.103Does the formal application phase and the certification file include items such as, but not limited to, the following:   1. Attachments to the formal application, including:    1. Identification of operations specifications sought (A6 Pt I, 4.2.1.2, 4.2.1.6, 6.1.2, App 6)    2. Schedule of events (Doc 8335, 3.1.3(b), 3.2.2)    3. Initial statement of compliance **(**Doc 8335, Pt II, 3.1.3(c))    4. Management structure and key staff members(For A/W -Doc 8335, Pt III, 3.1.3, 3.2.4) (Doc 8335, Pt II, 2.2, 3.1.2)    5. Documents of purchase, leases, contracts or letters of intent. **(**Doc 8335, 3.1.3(h), 3.2.8, 6.1.2 Pt V)    6. Method of control and supervision of operations (A6, Pt I, 4.2.1.3)    7. Operations manual (A6, Pt I, 4.2.3, 4.2.8, 6.1.3, 9.3.1, 12.4 and 13.4.1, App 2).    8. Aerodromes and areas (A6, Pt I, 4.2.8)    9. Maintenance control manual (A6, Pt I, 8.2, 11.2; Doc 8335, Pt II, 6.3)    10. Maintenance programme (A6, Pt I, 8.3, 11.3, Doc 9760, Pt III, 7.3)    11. Maintenance records (A6, Pt I, 8.4, Doc 9760, Pt III, 7.8)    12. Flight crew and ground personnel training and required facilities **(**A6, Pt I,9.3) 2. Cursory review of the formal application package. (Doc 8335, Pt III, 3.3, 4.3.5) 3. Acceptability of the formal application package. (Doc 8335, Pt III, 3.1) 4. Record of the formal application meeting (Doc 8335, Pt III, 3.5) |
| **Comments** |  |

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| **STD**  **A6, Pt I, 3.3.3, 4.1, 4.2.1.3, , 4.2.10, 4.2.12, 4.2.3, 4.3, 4.6.1, 5.2, 5.3, 5.4, 6.1.3, , 6.1.4, 7.2.2, 7.2.3, 7.2.4, 8.7.6.4, 9.3, 10.3, 11.1, 11.5, 11.6, 12.4, C13, Att E. App 2, 2.2, Att F, Att G**  **GM**  **Doc 8335, Pt II, 6.3; Doc 9625; Doc 9760, Pt III, 7.3, Pt IV, 2.5** | 6.104 Does the Document Evaluation phase and certification file include items such as, but not limited to, the following:   1. draft operations specifications or other documentation specifying authorisations requested 2. description of the flight safety document system (A6, Pt I, 3.3.3, Att G) 3. operations manual (A6, Pt I, 4.2.3) 4. operational control procedures, dispatch, flight following, etc. (A6, Pt I, 4.1, 4.2.3, 4.3, 4.6.1) 5. aircraft loading and/or ground handling manual (A6, Pt I, 4.2.3, App 2, 2.2) 6. passenger briefing cards (A6, Pt I, 4.2.12) 7. mass and balance control manual (A6, Pt I, 4.3, 5.2.7, App 2, 2.2) 8. management personnel resumes providing qualifications and aviation experience 9. aircraft performance manual (A6, Pt I, 5.2, 5.3, 5.4) 10. minimum equipment list (MEL) (A6, Pt I, 6.1.3, Att E) 11. configuration deviation list (CDL) (A6, Pt I, 6.1.3) 12. aircraft operating manual (A6, Pt I, 6.1.4, App 2, 2.2) 13. maintenance control manual (A6, Pt 1, 8.2, 11.2; Doc 8335, Pt III, 6.3) 14. maintenance programme incl maintenance schedule **(**A6, Pt 1, 8.3, 11.3, Doc 9760, Pt III, 7.3) 15. training manual for maintenance personnel (A6, Pt I, 8.7.6.4) 16. training manuals for flight crew, cabin crew, operations personnel and ground personnel (A6, Pt I, 9.3, 10.3, 12.4, Att E. 3.3) 17. Training Programmes (A6, Pt I, 9.3, 10.3, 12.4, 3.3 (q) 18. Simulator /flight training device evaluation and approvals (A6, Pt I, 9.3.2, Doc 9625) 19. aircraft flight manuals (A6, Pt I, 11.1, App 2, 2.2) 20. route guide (A6, Pt I, App 2, 2.3) 21. dangerous goods manual (A6, Pt I, App 2, 2.1.35) 22. aircraft search procedure checklist (A6, Pt I, 13.3) 23. security programme manual (A6, Pt I, 2.1.36, App 2) 24. statement of compliance or conformance report (A6, Pt I, 4.2, Att D, Att E) 25. plan for emergency evacuation demonstration (A6, Pt I, 4.2.1.3, Att D, 2.1.5, 2.2) 26. plan for ditching demonstration (A6, Pt I, 4.2.1.3, Att D, 2.1.5, 2.2) 27. plan for demonstration flights (A6, Pt I, 4.2.1.3, Att D, 2.1.5, 2.2; Doc 9760, Pt IV, 2.5) 28. special authorisations such as PBN, EDTO (ETOPS), MNPS, RVSM, CAT II & III (A6, Pt I 4.7, 7.2.2, 7.2.3, 7.2.4) 29. records of emergency and survival equipment carried (A6, Pt I, 11.5) 30. Flight recorder records (A6, Pt I, 11.6) 31. Fuel and oil record (A6, Pt I, 4.2.10) 32. Maintenance records (A6, Pt I, 8.4) 33. Flight time records (A6, Pt I, 4.2.11.2) 34. Flight preparation forms (A6, Pt I, 4.3) 35. Operational flight plan (A6, Pt I, 4.3.3.1) 36. Pilot-in-command route and airport qualification records (A6, Pt I, 9.4.3.4) |
| **Comments** |  |

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| **STD**  **A6, Pt I, 3.1.3, 3.1.4, 4.10, 5.6.3, 9.3.1, 12.4, App 2, 2.1.12, App 2, 7, Att D**  **GM**  **Doc 8335, Pt III, 5.3.3, 5.3.4, 5.3.7, 5.3.8, 5.3.9, 5.3.10, 5.3.11, 5.3.12, 5.3.13** | 6.105 Does the operational demonstration and inspection phase and certification file include items such as, but not limited to, the following:  **ORGANISATION AND ADMINISTRATION GROUND OPERATIONS INSPECTION**   1. Mobile equipment (Doc 8335, Pt III, 5.3.3) 2. Operational control organization(A6, Pt I, 3.1.3, 3.1.4; Doc 8335, Pt III, 5.3.4) 3. Flight crew qualifications, licensing and training (A6, Pt I, 9.3.1) 4. Cabin crew competency and training (A6, Pt I, 12.4) 5. Training programmes (Doc 8335, Pt III, 5.3.7) 6. Record keeping (Doc 8335, Pt III, 5.3.8) 7. Fuel computation procedures (A6, Pt I, App 2, 2.1.12; Doc 8335, Pt III, 5.3.9) 8. Aircraft mass and balance procedures (A6, Pt I, App 2, 2.2.6; Doc 8335, Pt III, 5.3.10) 9. Emergency evacuation demonstration (Doc 8335, Pt III, 5.3.11) 10. Ditching demonstration (Doc 8335, Pt III, 5.3.12) 11. Ground inspection deficiencies (Doc 8335, Pt III, 5.3.13) 12. Fatigue risk management provisions (A6,Pt I, 4.10, App 7)   **FLIGHT OPERATIONS INSPECTION INCLUDING EVIDENCE OF DEMONSTRATION FLIGHTS (Annex 6, Part I, Attachment D)**   1. Planning 2. Preflight inspection 3. In-flight inspection 4. Post-flight inspection 5. Flight inspection deficiencies 6. Special authorisations such as EDTO (ETOPS), PBN, MNPS, Category II & III Landing Minima, NOPAC, etc. also require demonstration flights   **MAINTENANCE CONTROL DEMONSTRATION AND INSPECTION PHASE (Annex 6, Part I, Attachment D)**   1. Maintenance control organisation 2. Maintenance control manual 3. Safety management 4. Quality system 5. Maintenance programme 6. Reliability programme 7. Mass and balance programme 8. Maintenance records 9. Assessment of the operator’s arrangements for maintenance |
| **Comments** |  |

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| **STD**  **A6 Pt I, 4.2.1, 4.2.1.5 , , 4.2.1.6,4.2.1.8, App 6, Section 6. Att E, 2.3, 3.2, 4.2**  **GM**  **Doc 8335, Pt III, C7; Doc 9760, Pt IV, 1.2(g), 2.6** | 6.106 Does the certification file include records such as, but not limited to, the following:   1. Final preparation for the issuance of an AOC (Doc 8335, Pt III, 7.1) 2. Issuance of an AOC and the associated operations specifications (Doc 8335, Pt III, 7.2) 3. Period of validity of an AOC and the associated operations specifications (Doc 8335, Pt III, 7.3) 4. Identification of individual aircraft by nationality and registration marks (Doc 8335, Pt III, 7.4) 5. Amendments to the AOC and the operations specifications (Doc 8335, Pt III, 7.5) 6. Renewal of the AOC (Doc 8335, Pt III, 7.6)   Yes No  If yes, describe the process the CAA utilizes to ensure that all the requirements for certification have been met. |
| **Comments** |  |

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| IASA – CE - 6 - 6.200 - Licensing, Certification, Authorization, and Approval Obligations  Aircraft Lease, Charter, and Interchange Arrangements | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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| **STD**  **A6 Pt I, C3, note 1, C4, 4.3.1(c), Att**  **E, 2.5.2**  **GM**  **Doc 8335, Pt V, Doc**  **9760, Pt IV, C6; Doc**  **9626; Doc 9734, Pt A, 2.3.23, 2.3.24, 3.4.2, 3.6, 9.3.4** | 6.201 Has the CAA implemented the procedures for the approval of any aircraft lease, charter, or interchange arrangements for its air operators?  Yes No  If yes, describe the process to approve the lease, charter or interchange arrangements. |
| **Comments** |  |

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| **CC**  **Art 16**  **STD**  **A6, Pt I, 4.2, 4.2.1.8, App 5, Att D, 2.5**  **GM**  **Doc 8335, Pt V, VI, 1.1, Doc 9626, Doc 9734, 3.3.4.4; Doc 9760, Pt. IV, 1.2, a)** | 6.202 (A) Are aircraft registered in the State operated by foreign operators?  Yes No  (B) Are air operators of the State authorised to use foreign-registered aircraft?  Yes No  Describe how such operations in (A) and/or (B) above have CAA oversight. |
| **Comments** |  |

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| **CC**  **Art 83*bis***  **STD**  **A6 Pt I, C3, Note 1,**  **GM**  **Doc 9318; Doc 8335, Pt V, 1.17-1.23, 2.2.2, 4.2.3, Att A; Doc 9626, ICAO Cir 295** | 6.203 Does the airworthiness division ensure that the signing of the maintenance release has been considered and that the lease clearly defines who is responsible for the airworthiness of the aircraft when approving an aircraft lease?  Yes No  If yes, describe the process to approve the lease arrangement. |
| **Comments** |  |

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| **CC**  **Art 83*bis***  **GM**  **Doc 9318** | 6.204 Has the State ratified Article 83*bis*? Yes No  If Yes, does the State have active 83*bis* agreements in place? Yes No  If No, proceed to question 6.301 (questions 6.205 and 6.206 do not apply). |
| **Comments** |  |

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| **CC**  **Art 83*bis***  **STD**  **A6 Pt I, C3, Note 1,**  **GM**  **Doc 9318; Doc 8335, Pt V, 1.17-1.23, 2.2.2, 4.2.3, Att A; Doc 9626, ICAO Cir 295,** | 6.205 Describe the regulatory basis and the technical guidance reference(s) established by the State to permit such arrangements including 83*bis* agreements, if applicable. |
| **Comments** |  |

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| **CC**  **Art 83*bis***  **STD**  **A6 Pt I, C3, Note 1, Att D, 2.5.1 & 2.5.2**  **GM**  **Doc 9318; Doc 8335, Pt V** | 6.206 Does the State carry out an assessment of the capability of the State of the Operator accepting the transfer of responsibility under 83*bis* agreements to ensure that its actions are consistent with the approvals and acceptances of the State of Registry and that the air operator is in compliance with State of Registry requirements? Yes No  If yes, describe the process to assess the parties to the 83*bis* agreement. |
| **Comments** |  |

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| IASA – CE - 6 - 6.300 - Licensing, Certification, Authorization, and Approval Obligations  Licensing – Structure and General Provisions | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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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** | 6.301 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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| IASA – CE - 6 - 6.400 - Licensing, Certification, Authorization, and Approval Obligations Application and Processing of Licence and/or Rating | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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| **CC**  **Art 32**  **STD**  **A1, 1.2, C2, C3, and C4**  **GM**  **Doc 9379, Pt II, C1, C2, & Att D, E, F, G** | 6.401 Have the methods established for processing applications for licenses and/or ratings for pilots, flight crew members other than pilots, and personnel other than flight crew members been implemented? Licences issued by:  (1) direct issuance  (2) conversion  (3) validation |
| **Comments** |  |

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| **STD**  **A1, C1, 1.2, C2, 3, and 4**  **GM**  **Doc 9379, Pt I, C2** | 6.402 What are the procedures for assessing documents, evaluating experience and checking examination results in order to establish that applicants have fulfilled the requirements for the issuance of licenses or ratings? |
| **Comments** |  |

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| **CC**  **Art 32**  **STD**  **A1, 1.2, C2, C3, C4**  **GM**  **Doc 9379, Pt II, 2.2.2, 3.1, 3.2** | 6.403 At what CAA level of authority are licenses or ratings granted and signed? |
| **Comments** |  |

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| **STD**  **A1, 1.2.4.7.1, 1.2.4.9, 1.2.4.8, 1.2.4.9.1**  **GM**  **Doc 9379, Pt. I, 2.3, 2.3.4, C5 & Pt II, C8, Doc 8984, Pt V, C1, 1.2, App A** | 6.404 Is there a PEL system for the evaluation of medical reports submitted by the medical assessors. Yes No  If yes, describe the system used for the evaluation of medical examination reports, including who is responsible for the evaluation of medical examination reports. |
| **Comments** |  |

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| IASA – CE - 6 - 6.500 - Licensing, Certification, Authorization, and Approval Obligations Licenses Issued and Validated Directly by the CAA | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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| **STD**  **A1, 1 1.2.5**  **GM**  **Doc 9379, 2.3.3(f), 2.3.3, 2.3.4.2, 2.4.1.4,** | 6.501 Are personnel licenses and ratings issued by the CAA of the:   1. expiring type Yes No 2. continuing type (do not expire) Yes No   If yes to A), describe the system for renewal of the license and the validity period.  If yes to B), describe the method used to maintain the validity of the license. |
| **Comments** |  |

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| **CC**  **Art 33**  **STD**  **A1, C5,**  **GM**  **Doc 9379, Pt II, 2.2.5, 2.3.2.4** | 6.502 Do licenses issued by the CAA meet the specifications of Annex 1, chapter 5? Yes No |
| **Comments** |  |

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| **STD**  **A1, 2.1, 2.1.1.3.1 , 3.1.1.1, 4.1.2, 4.2.1.5, 4.5.2.3, 4.6.1.4, App 2, 6.4, App 3, Att B**  **GM**  **Doc 9379,Pt I, 1.2.2, 2.3.2.1, Pt II, 2.2** | 6.503 Describe the system used to determine an airman applicant’s knowledge and skill abilities prior to issuance of a license. |
| **Comments** |  |

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| **CC**  **Art 33, 39, 40**  **STD**  **A1, 1.2.2**  **GM**  **Doc 9379, Pt II, 2.3** | 6.504 Does the CAA convert or validate personnel licences of other Contracting States? Yes No  If yes, describe the system used to confirm the validity of the other Contracting State’s licence before authorization for conversion, or licence validation. |
| **Comments** |  |

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| IASA – CE - 6 - 6.600 - Licensing, Certification, Authorization, and Approval Obligations License and Ratings Issued - Written and Oral Theoretical Knowledge Examinations | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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| **GM**  **Doc 9379,Pt I, 2.2.2(a)** | 6.601 Does the CAA develop, conduct, and correct its own written and oral theoretical knowledge examinations for the issuance of licenses and ratings issued?  Yes No  If yes, describe the system used by the CAA to develop, conduct, and correct its own written and oral theoretical knowledge examinations for the issuance of licenses and ratings.  If no, describe by whom and where written examinations for the issuance of licenses and ratings are developed, conducted, and corrected. |
| **Comments** |  |

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| **STD**  **A1, 1.2, C2, C3, & C4**  **GM**  **Doc 9379,Pt I, 2.2.2; Pt II, 5.2, 5.2.3.3** | 6.602 Describe the system used by the CAA to determine an applicant’s knowledge prior to the issuance of a license (written exam and/or oral). |
| **Comments** |  |

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| IASA – CE - 6 - 6.700 - Licensing, Certification, Authorization, and Approval Obligations Licenses and Ratings Issued - Practical Demonstration and Flight Examinations | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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| **STD**  **A1, 2.1.1.3.1, 2.3.3.1.1.1, 2.3.4.1.1.1, 2.4.1.3, 2.4.3.1.2, 3.1.1.1**  **GM**  **Doc 9379, Pt I, 6.5, Pt II, 5.4** | 6.701 Do licensing officers/examiners (employed by the CAA) administer flight tests and other practical/skill examinations for licenses and/or ratings issued by the CAA? Yes No  If yes, describe the system used to administer these flight tests and other practical/skill examinations, including the ***standards*** used to determine the results of the test.  If no, describe the system and persons used to administer these flight tests and other practical/skill examinations, including the ***standards*** used to determine the results of the test. |
| **Comments** |  |

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| **CC**  **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** | 6.702 Has the system for license applicants (as applicable) to demonstrate their ability to speak and understand the language used for radiotelephony communications been implemented? |
| **Comments** |  |

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| IASA – CE - 6 - 6.800 - Licensing, Certification, Authorization, and Approval Obligations Licenses and Ratings Issued – Records and Specifications | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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| **STD**  **A1, 1.2, C2, 3, & 4**  **GM**  **Doc 9379, Pt I, 2.8, Pt II, C4, Att** | 6.801 Does the CAA maintain a personal file for each applicant and license holder, which contains all correspondence, applications, assessments, examination results, and other licensing documentation?  Yes No  If yes, who has access to those records, and how is confidentiality and security of individual records maintained? |
| **Comments** |  |

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| **STD**  **A1, C1,1.2, C2, 3, & 4**  **GM**  **Doc 9379**  **Pt I, 2.8, C4** | 6.802 Has the CAA established a system for closing and archiving personal files and records? Yes No  If yes, how are records and information archived and how is their security ensured? |
| **Comments** |  |

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| IASA – CE - 6 - 6.900 - Licensing, Certification, Authorization, and Approval Obligations Licenses and Ratings Issued – Approved Training Organizations (ATO) and/or Aviation Schools | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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| **STD**  **A1,C1,1.2, 1.2.8.2, App 2**  **GM**  **Doc 9379, Pt I, table I-3-3, App B, Pt II, 7.1.2, 7.1.3, 7.1.4** | 6.901 Is certification of an ATO or aviation school by the CAA dependent on the applicant demonstrating compliance with the requirements of ICAO Annex 1, Appendix 2? Yes No  If yes, describe the system used by the CAA to ensure compliance with the requirements of ICAO Annex 1, Appendix 2. |
| **Comments** |  |

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| **STD**  **A1, 1.2, 1.2.8, App 2, 9;**  **GM**  **Doc 9379, Pt II, 7.4** | 6.902 Do approved training organisations or aviation schools operating in the State conduct examinations and testing on behalf of the licensing authorities?  Yes No  If yes, describe the system used by the CAA to ensure control and supervision of the approved training organisations or aviation schools. |
| **Comments** |  |

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| **STD**  **A1,1.2, 1.2.8,**  **GM**  **Doc 9379,Pt II, 7.4.2; Doc 9841, C11** | 6.903 If approved training organisations or aviation schools are not available in the State, what sources are used for training and qualifying personnel for aviation duties (e.g., military, foreign training centers)? |
| **Comments** |  |

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| **STD**  **A1, 1.2, 1.2.8, App 2, 4**  **GM**  **Doc 9379, 3.1** | 6.904 Has the CAA established a method for verifying the quality of training received by its nationals in foreign training centers? Yes No  If yes, describe the system used to determine the quality of training. |
| **Comments** |  |

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| IASA – CE - 6 - 6.1000 - Licensing, Certification, Authorization, and Approval Obligations Crew member Licensing Processing of the Medical Assessment | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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| **STD**  **A1, 1.2, 1.2.4.4, 1.2.4.5, 1.2.4.5.1, 1.2.4.5.2, 1.2.4.8, C6**  **GM**  **Doc 9379, Pt II, C8; Doc 8984, Pt I, 1.2.7, 2.1.6, 2.2.1** | 6.1001 Describe the system in place to ensure the medical fitness of a license holder. |
| **Comments** |  |

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| **STD**  **A1, 1.2, 1.2.4.10; 6.2.2**  **GM**  **Doc 9379, Pt II, 8.3.13; 8.5; Doc 8984, Pt I, 2.3, 2.3.1, Pt V, App A** | 6.1002 Has the CAA established procedures for the issuance of a medical assessment in cases where the medical standards prescribed in Annex 1, Chapter 6, are not fully met (including “accredited medical conclusion” and application of the “flexibility standard”)? Yes No  If yes, describe the procedures for the issuance of a medical assessment in these cases. |
| **Comments** |  |

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| **STD**  **A1, 1.2, 1.2.4.9**  **GM**  **Doc 9379,Pt II, 8.3.13** | 6.1003 Has the State established a procedure for appealing CAA decisions regarding medical assessments? Yes No  If yes, what is the procedure? |
| **Comments** |  |

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| **STD**  **A1, 1.2, 1.2.4.6, 1.2.4.6.1, 1.2.4.6.2**  **GM**  **Doc 9379,Pt II, 8.2, 8.8.2; Doc 8984, Pt I, Pt V, C1** | 6.1004 Describe the training and designation requirements of personnel that conduct medical assessments for license holders as required by Annex 1, Chapter 1. |
| **Comments** |  |

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| IASA – CE - 6 - 6.1100 - Licensing, Certification, Authorization, and Approval Obligations Operator’s Maintenance Arrangements – General | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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| **STD**  **A6 Pt I, 4.2.1.3, 8.7.1.1, Att D, 2.2**  **GM**  **Doc 8335, Pt III, C5, C6; Doc 9760, Pt II, 4.7.3, Pt IV, 2.1.6.4** | 6.1101 Is there an established system (process) to ensure that a commercial air transport operator is not certified without demonstrating maintenance arrangements consistent with the nature and extent of the operations specified? Yes No  If yes, describe the procedures established by the CAA. |
| **Comments** |  |

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| **STD**  **A6, Pt I, 8.1.2, 8.1.3, App. 5, 6**  **GM**  **Doc 9760, Pt. III, C7** | 6.1102 (A) Is there a system to ensure an AOC holder operates an aeroplane maintained and released to service by an Approved Maintenance Organisation (AMO), or under an equivalent system? Yes No  If yes, describe the procedures established by the CAA.  (B) If under an equivalent system, is there a requirement for the person signing the maintenance release to be licensed in accordance with Annex 1?  Yes No  Provide the reference(s) in your response. |
| **Comments** |  |

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| **STD**  **A6, Pt I, 4.2.1.3, 8.3.1, 8.7.2.2, 11.2 App. 6, Att D**  **GM**  **Doc 9760, Pt. III, 7.7.2, 7.7** | 6.1103 Is there a system to ensure maintenance arrangements are reviewed by the CAA?Yes No  If yes, describe the procedures established by the CAA. |
| **Comments** |  |

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| **STD**  **A6, Pt I, 8.1; A8, Pt II, 4.2.3**  **GM**  **Doc 9734, Pt A, 2.3.4, Doc 9760, Pt. III, C7** | 6.1104 Describe how and to what extent the airworthiness inspection division ensures maintenance aspects of the certification process are met once the AOC has been issued.  Provide the specific citation to the relevant regulation, and any guidance material or practice used in reference to your response. |
| **Comments** |  |

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| **IASA – CE - 6 - 6.1200 - Licensing, Certification, Authorization, and Approval Obligations Operator’s Maintenance Arrangements - Maintenance Contracting** | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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| **STD**  **A6 Pt I, 8.1, 8.1.2, 8.7 Att E, 3.4; A8, Pt II, , 4.2.3**  **GM**  **Doc 8335, Pt III, 1.1.7; Doc 9734, Pt A, 2.3.4, 3.3.7.3.5; Doc 9760, Pt III, 4.6.1, 7.1.1, 10.1 Pt IV, 2.1.2** | 6.1201 Do CAA regulations require that an operator can only operate an aircraft if it has been maintained and released to service by an AMO? Yes No  If no, what is the equivalent system established by the CAA? |
| **Comments** |  |

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| **STD**  **A6 Pt I, 8.1.2**  **GM**  **Doc 9760, Pt II, 1.1; Doc 8335, Pt III, C7** | 6.1202 How does the CAA ensure that the operator maintains control of its responsibilities with respect to the continuing airworthiness of the aircraft? |
| **Comments** |  |

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| IASA – CE - 6 - 6.1300 - Licensing, Certification, Authorization, and Approval Obligations Operator’s Maintenance Arrangements - Maintenance Control Manual | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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| **STD**  **A6, Pt I, 8.2.4, 11.2**  **GM**  **Doc 8335, Pt I, 3.4.3; Doc 9734, Pt A, 3.2.5.2;Doc 9760, PT II, 2.3.2.7, 2.4.7.2, 2.5.3, 6.3, 7.1.1, 7.2.1** | 6.1301 Do CAA regulations require that an air operator maintenance control manual be submitted to the CAA?  Yes No  If yes, describe what your process is for the technical evaluation and subsequent approval or the acceptance of a maintenance control manual. |
| **Comments** |  |

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| **IASA – CE - 6 - 6.1400 - Licensing, Certification, Authorization, and Approval Obligations** **Operator’s Maintenance Arrangements - Maintenance Programme** | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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| **STD**  **A6 Pt I, 8.3, 11.3, Att D**  **GM**  **Doc 9760, Pt I, C2, 4.7.2. Pt III, 7.3 Pt IV, 2.5.6.1** | 6.1401 Have the requirements for the maintenance programme to be approved by the State of Registry been implemented? Yes No |
| **Comments** |  |

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| **STD**  **A6 Pt I, 8.1, A8, Pt II, 4.2.3**  **GM**  **Doc 8335, Pt III, 3.2.12, Doc 9760, Pt III, 7.3** | 6.1402 Are the requirements for the content of the maintenance programme in accordance with ICAO provisions? Yes No |
| **Comments** |  |

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| **IASA – CE - 6 - 6.1500 - Licensing, Certification, Authorization, and Approval Obligations** **Operator’s Maintenance Arrangements – Continuing Airworthiness Information** | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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| **STD**  **A6 Pt I, 8.5, 8.5.1, Att B; A8, Pt IIIA, 4.2, 4.2.3 (f), 4.2.4**  **GM**  **Doc 9760, Pt III, 9.2.2, Pt IV, 1.2, 4.2.2.1** | 6.1501 Describe the system which requires operators of aeroplanes over 5,700 kg to monitor and assess maintenance and operational experience with respect to continuing airworthiness.  Provide the reference(s) in your response. |
| **Comments** |  |

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| **STD**  **A6 Pt I, 8.5, 8.5.2;**  **A8, Pt II, 4.2**  **GM**  **Doc 8335, Pt II, 2.4, Doc 9760, Pt IV, 9.4, 9.9** | 6.1502 Describe the system which requires operators of aeroplanes over 5,700 kg to obtain and assess continuing airworthiness information from the type design organisation?  Provide the reference(s) in your response. |
| **Comments** |  |

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| **IASA – CE - 6 - 6.1600 - Licensing, Certification, Authorization, and Approval Obligations**  **Operator’s Maintenance Arrangements - Special Certification** | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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| **STD**  **A6, Pt I, 4.7, Att D, E**  **GM**  **Doc 9760, Pt III, 7.3, 7.3.2.3(d); Pt IV, 6.4** | 6.1601 Are there operators authorised to carry out extended diversion time operations (EDTO/ETOPS)? Yes No  (A) If yes, describe the system used to authorise EDTO/ETOPS operations.  (B) Describe the airworthiness inspection division’s involvement in EDTO/ETOPS authorization. |
| **Comments** |  |

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| **STD**  **A6, Pt I, 4.2, 4.2.1.3, 4.2.1.8, 4.2.8, 7.2.1, 7.2.10, App 5, Att D, 2.4**  **GM**  **Doc 9365, C4, C5**  **Doc 9760, Pt II, 7.3, 7.3.2.3** | 6.1602 Are there operators authorised to conduct precision approach and landing operations (All Weather Operations (AWO))? Yes No  A) If yes, describe the system used to authorise the conduct of precision approach and landing operations (AWO).  B) Describe the airworthiness inspection division’s involvement in authorising precision approach and landing operations (AWO)). |
| **Comments** |  |

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| **STD**  **A6, Pt I, 4.2, 4.2.1.3, 4.2.1.8,**  **7.2, Att D, 2.2, 2.4**  **GM**  **Doc 9574, C3; Doc 9613, Vol I, Pt A, 3.4, Att C; Doc 9760, Pt III, 7.3, 7.3.2, 7.3.2.3** | 6.1603 Are there operators authorised to conduct operations in navigation areas requiring specific approvals such as:   1. Performance based navigation (PBN)? Yes No 2. Reduced vertical separation minimum (RVSM)? Yes No 3. Minimum navigation performance specifications (MNPS)?   Yes No   1. Required navigation performance (RNP)? Yes No   If yes to any item above, describe the system used to authorise the airworthiness aspects of approval(s) of PBN, RVSM, MNPS, and RNP operations. |
| **Comments** |  |

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| **I**A**SA – CE - 6 - 6.1700 - Licensing, Certification, Authorization, and Approval Obligations** **Airworthiness Engineering Division (AED)**  **(Assess for State of Design & State of Manufacture Only)** | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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| **CC**  **Art 31**  **STD**  **A8, 1.5, 1.3.5**  **Doc 9760, Pt V, 2.3.4.2.1** | 6.1701 Describe the requirements and procedures established and implemented for the issuance of a type certificate or supplemental type certificate.  Provide the reference(s) in your response. |
| **Comments** |  |

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| **CC**  **Art 31**  **STD**  **A8, Doc 9760, Pt V, 2.3.4.2.1** | 6.1702 Has the State developed a method to track notifications from other Contracting States entering aircraft on their registry?  Provide the reference(s) in your response. |
| **Comments** |  |

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| **I**A**SA – CE - 6 - 6.1800 - Licensing, Certification, Authorization, and Approval Obligations**  **Certificate of Airworthiness – Type Certificates, Amendment to Type Certificates, Supplemental Type Certificates, Approval of Modifications and Repairs** | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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| **STD**  **A8, 1.4, 3.2, 4.2.3 b)**  **GM**  **Doc 9760, Pt III, 4.3, 4.7** | 6.1801 Is there a system for type certificate acceptance or validation?  Yes No  If yes, describe the system for accepting or validating type certificates. |
| **Comments** |  |

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| **STD**  **A8, Pt II, 3.2, 4.2.3.1 (a)**  **GM**  **Doc 9760, Pt III, 9.2.2.a), 9.3** | 6.1802 Is there a requirement when an aircraft first enters on its register an aircraft of a particular type for which it is not the State of Design and issues or validates a certificate of airworthiness, it notifies the State of Design that it has entered such an aircraft on its register?  Yes No  If yes, describe the process for notifying the State of Design for aircraft types first entered on the State’s registry . |
| **Comments** |  |

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| **STD**  **A6 Pt I, 8.6, App 5, Att D, A8, Pt II, 4.2.1.3, 4.2.3**  **GM**  **Doc 9760, Pt III, 1.2, 3.2.3, 3.3.1, 4.2.2, 4.4.5, 4.6.1, 4.8, 5.1, 7.1.3 , 8.6** | 6.1803 Is there a requirement for the approval of modifications and repairs?  Yes No  If yes, describe the system for the approval of modifications and repairs including records retention. |
| **Comments** |  |

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| **STD**  **A6 Pt I, Att D**  **GM**  **Doc 9760, Pt III, 8.7** | 6.1804 Does the CAA issue a modification approval utilizing amendments or supplements to the type certificate? Yes No  If yes, describe the procedures to issue a modification approval utilizing amendments or supplements for the type certificate. |
| **Comments** |  |

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| **I**A**SA – CE - 6 - 6.1900 - Licensing, Certification, Authorization, and Approval Obligations**  **Certificate of Airworthiness - Issue of Individual Certificate of Airworthiness** | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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| **CC**  **Art 31**  **STD**  **A8 Pt II, 3.2, 4.2.3,**  **GM**  **Doc 9734, Pt A, 2.3.1.2, 3.2.4.1, 3.6.1.1, Doc 9760, Pt III, 4.1** | 6.1901 Does the CAA issue certificate of airworthiness (COA) for aircraft on its registry? Yes No  If yes, describe the system used to issue and/or maintain the certificate of airworthiness as well as the code(s) of airworthiness adopted/used and special conditions for issue or validation of COA. |
| **Comments** |  |

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| **I**A**SA – CE - 6 - 6.2000 - Licensing, Certification, Authorization, and Approval Obligations**  **Certificate of Airworthiness - Renewal and Continuing Validity of Certificates of Airworthiness** | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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| **CC**  **Art 33**  **STD**  **A8 Pt II, 3.2.3**  **GM**  **Doc 9760, Pt III, 4.6** | 6.2001 Do CAA regulations require that a certificate of airworthiness be:   1. renewed at set intervals? Yes No 2. issued on a continuing basis? Yes No   If yes to A) or B) above, describe the system for renewal at set intervals or issued on a continuing basis. |
| **Comments** |  |

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| **STD**  **A6, Pt I, C5**  **GM**  **Doc 9760, Pt III, 4.6.2.4, 7.6, 7.6.2.1** | 6.2002 Do CAA regulations require periodic mass and balance (weight and balance) reports for all aircraft, which require renewal of certificate of airworthiness?  Yes No  If yes, describe the process used to determine if the periodic mass and balance reports have been completed for all aircraft. |
| **Comments** |  |

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| **I**A**SA – CE - 6 - 6.2100 - Licensing, Certification, Authorization, and Approval Obligations** **Certificate of Airworthiness - Flight Permits** | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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| **CC**  **Art 33**  **STD**  **A8 Pt II, 3.2, 3.5, 3.6.3**  **GM**  **Doc 9760, Pt. III, 4.6. 4.6.1.3** | 6.2101 Do CAA regulations provide for the circumstances under which the certificate of airworthiness shall not be in force and require that the aircraft shall not be flown during such time? Yes No  If yes, describe the circumstances under which a certificate of airworthiness shall not be in force. |
| **Comments** |  |

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| **STD**  **A8, Pt II, 3.6.3**  **GM**  **Doc 9760, Pt. III, 5.3, Att A** | 6.2102 Does the CAA issue Special Flight Approvals /Authorizations/Permits?  Yes No  If yes, describe the process to authorize such flights. |
| **Comments** |  |

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| **I**A**SA – CE - 6 - 6.2200 - Licensing, Certification, Authorization, and Approval Obligations** **Approved Maintenance Organisations (AMO) - Approval** | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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| **STD**  **A1, 4.2.2.4, A6, Pt I, 8.1, 8.7**  **GM**  **Doc 8335, Pt III, 1.1.7; Doc 9760, Pt III, 7.7, 7.7.1, C10** | 6.2201 Is there a requirement for the certification of an AMO? Yes No  If yes, what are the procedures for the certification of an AMO?  How many certified AMOs are there? (   ) |
| **Comments** |  |

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| **STD**  **A6, Pt I, 2.5**  **GM**  **Doc 9760, Pt III, 7.7, 7.7.1, 7.7.2** | 6.2202 Does the CAA authorise subcontracting of aircraft maintenance?  Yes No  If yes, describe the system used to authorise such activity including how the subcontracted maintenance is properly controlled. |
| **Comments** |  |

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| **STD**  **A8, Pt II, 6.2.6**  **GM**  **Doc 9760, Pt III, 7.7, 7.7.1.1** | 6.2203 Does the CAA validate maintenance organisation approvals granted by other States? Yes No  If yes, describe the system used to validate another State’s approval. |
| **Comments** |  |

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| **I**A**SA – CE - 6 - 6.2300 - Licensing, Certification, Authorization, and Approval Obligations** **Approved Maintenance Organisations (AMO) - Maintenance Procedures Manual** | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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| **STD**  **A6, Pt I, 8.7.2, 11.2; A8, 6.4**  **GM**  **Doc 8335, Pt I, 3.4.3; Doc 9760, Pt II, 4.7.3, 10.3** | 6.2301 Do CAA regulations require that a maintenance procedures manual (MPM) be submitted to the CAA? Yes No  If yes, describe the process used to ensure all regulatory requirements are addressed in the MPM. |
| **Comments** |  |

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| **STD**  **A6, Pt I, 8.2.1 to 8.2.4, 8.7.2, 11.2**  **GM**  **Doc 8335, Pt I, 3.4.3; Doc 9760, Pt II, 10.5.1** | 6.2302 Is the AMO MPM :   1. Approved? Yes No 2. Accepted? Yes No   If yes to A) or B) above, describe the system to approve or accept the AMO MPM. |
| **Comments** |  |

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| **I**A**SA – CE - 6 - 6.2400 - Licensing, Certification, Authorization, and Approval Obligations**  **Approved Maintenance Organisations (AMO) - Facilities** | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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| **STD**  **A6, Pt I, 8.7, 8.7.5.1**  **GM**  **Doc 9760, Pt II, 10.6** | 6.2401 Does the CAA ensure that the AMO has facilities and working environment appropriate for the task to be performed? Yes No  If yes, describe the system used to ensure the AMO has facilities and a working environment appropriate for the task to be performed? |
| **Comments** |  |

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| **I**A**SA – CE - 6 - 6.2500 - Licensing, Certification, Authorization, and Approval Obligations**  **Appproved Maintenance Organisations (AMO) – Personnel** | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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| **STD**  **A6, Pt I,C8,8.7, 8.7.6**  **GM**  **Doc 9760, Pt II, C10, 10.7** | 6.2501 Does the CAA ensure that the AMO employs the necessary personnel?  Yes No  If yes, describe the system used by the CAA to ensure the AMO employs the necessary personnel. |
| **Comments** |  |

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| **STD**  **A6, Pt I, 8.7, 8.7.6.4**  **GM**  **Doc 9760, Pt III, 10.7, 10.7.2** | 6.2502 Are AMO training programmes:   1. Approved? Yes No 2. Accepted? Yes No   If yes to A) or B) above, describe the system to approve or accept the AMO training programme. |
| **Comments** |  |

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| **I**A**SA – CE - 6 - 6.2600 - Licensing, Certification, Authorization, and Approval Obligations**  **Approved Maintenance Organisations (AMO) – Maintenance Release** | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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| **STD**  **A6, Pt I, 8.1.2, 8.4.1(f), 8.8.1**  **GM**  **Doc 8335, Pt III, 5.3, 5.3.4.2(d)(4), 5.4.3.(e), Pt IV, Att 2 (A8)(e); Doc 9760, Pt III, 4.5.4, 4.6.2.4(g), 5.5.3, 7.9, 10.9** | 6.2601 Do CAA regulations give the requirements for a maintenance release, the circumstances under which a maintenance release shall be made, and the persons who are authorized to sign the release? Yes No  If yes, describe the system used to ensure the maintenance release is accomplished in accordance with CAA regulations. |
| **Comments** |  |

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| **STD**  **A1, 4.2.2, A6 Pt I, 8.1,8.7.6**  **GM**  **Doc 9760, Pt II, 10.7** | 6.2602 Does the CAA issue aircraft maintenance engineer licences?  Yes No  If no, describe how the CAA ensures certifying staff are properly qualified. |
| **Comments** |  |

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| **I**A**SA – CE - 6 - 6.2700 - Licensing, Certification, Authorization, and Approval Obligations** **Exchange of Continuing Airworthiness Information** | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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| **STD**  **A8, 4.2, Pt II, 4.2**  **GM**  **Doc 9760, Pt. III, C9, Pt IV, 4.2, Pt V, 6.2, 6.5, 6.9** | 6.2701 Has the CAA established a system for the exchange and use of continuing airworthiness information? Yes No  If yes, describe the system used to exchange and use of continuing airworthiness information. |
| **Comments** |  |

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| **STD**  **A8, Pt II, 4.2.4, ATT**  **GM**  **Doc 9760, Pt III, C9, Pt IV, C4, 4.2, Pt V, 6.4** | 6.2702 Has the CAA established a system whereby information on faults, malfunctions, and defects is transmitted to the organisation responsible for the design of the aircraft? Yes No  If yes, describe the system used to transmit the information to the organisation responsible for the design of the aircraft. |
| **Comments** |  |

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| **STD**  **A6, Pt I, 11.2,**  **GM**  **Doc 9760, Pt. III, C9, Pt IV, 4.2, Pt V, 6.7** | 6.2703 Has the CAA established a mandatory reporting system for the reporting of defects mentioned above? Yes No  If yes, describe the system used to report mandatory information on defects. |
| **Comments** |  |