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| **IASA – CE – 7 - 7.000 - Surveillance Obligations  Surveillance of Certificated Operators – 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, para 7.**  **GM**  **Doc 8335,Pt.I, C2, C3, C4, C5, C6**  **Pt VI, C6**  **Doc 10059, C8** | 7.001 Describe the CAA’s oversight of their surveillance system that has been implemented as it pertains to the following elements:   1. Primary Aviation Legislation (STD A6, Pt I, 4.2.1.8, and App 5, 1; GM Doc 8335, Pt I, 4.2.1.8, and App 5, 1; Doc 9734, Pt A, 3.1) 2. Specific Operating Regulations (STD A6, Pt I, 4.2.1.8, and App 5, 2.; GM Doc 8335, Pt I, C2, C3; Doc 9734, Pt A, C3.2) 3. State Safety Oversight System And Functions (STD A6, Pt I, 4.2.1.8, and App 5, 3.) 4. Qualified Technical Personnel (A6, Pt I, 4.2.1.8, and App 5, 4; Doc 9734, Pt A, C3.4) 5. Technical Guidance, Tools And Provision of Safety-Critical Information (A6, Pt I, 4.2.1.8, and App 5, 5 Doc 9734, Pt A, C3.5) 6. Certification Obligations (A6, Pt I, 4.2.1.8, and App 5, 6; Doc 9734, Pt A, C3.6.) 7. Continued Surveillance Obligations (A6, Pt I, 4.2.1.8, and App 5, 7; Doc 9734, Pt A, C3.7) 8. Resolution Of Safety Issues (A6, Pt I, 4.2.1.8, and App 5, 8; Doc 9734, Pt A, 3.8.)   Provide the specific citation to the relevant regulation, documentation, and any guidance material or practice used in reference to your response. |
| **Comments** |  |

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| **STD**  **A6, Pt I, 4.2.1.8, App 5, para 7.**  **Doc 8335, Pt I, 5.4.4; Pt IV, & Att** | 7.002 (A) Describe how the CAA’s ongoing surveillance plan confirms that operators continue to meet the relevant requirements for initial certification and that each air operator is functioning satisfactorily.  (B) Describe the methods implemented to conduct and document the following surveillance/inspections.   1. station facility 2. apron/ramp 3. en-route 4. base facility 5. operator’s manuals |
| **Comments** |  |

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| **STD**  **A6, Pt I, 4.2.1.8, App. 5, para7.**  **GM**  **Doc 8335, Pt IV, C2; Doc 9734, Pt A, 3.7 & 3.8** | 7.003 Does the CAA’s implemement its surveillance programme to monitor a AOC holder’s financial condition, ownership, and economic condition.  (e.g., watching for unfavorable trends). |
| **Comments** |  |

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| **STD**  **A6, Pt I, 4.2.1.8, App 5, para 4 7.**  **GM**  **Doc 8335, Pt I, 2.2, 2.2.9; 5.3.3, 5.3.4, Part IV 2.6; Doc 9760, Pt II, 4.1.6, Doc 10059, C8** | 7.004 Does the CAA delegate any of its oversight responsibilities to persons employed by an holder?  Yes No  If yes, describe the policy and procedures that are in place to ensure their qualifications and to keep these delegated persons under supervisory and technical control.  Provide the specific citation to the relevant regulation, documentation, and any guidance material or practice used in reference to your response. |
| **Comments** |  |

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| **STD**  **A6, Pt. I, 4.2.1.8, App 5, para 7**  **GM**  **Doc 8335 Pt I, C5; Doc 9734, Pt A, 3.7 ; 3.8** | 7.005 Does the CAA implement its documented policies and procedures for surveillance/inspections?  Yes No  If yes, describe the manner in which the policies and procedures have been implemented below.  Provide the specific citation to the relevant regulation, documentation, and any guidance material or practice used in reference to your response. |
| **Comments** |  |

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| **STD**  **A6, Pt.I, 4.2.1.8, App 5, 7**  **GM**  **Doc 8335 ,Pt I, C5;**  **Pt IV, C2; Doc 9734, Pt A, 3.7** | 7.006 Does the CAA implement its procedures to conduct continuing surveillance inspections of the operations of AOC holders.  Yes No  Provide the specific citation to the relevant regulation, documentation, and any guidance material or practice used in reference to your response. |
| **Comments** |  |

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| **STD**  **A6, Pt.I, 4.2.1.8, App 5, para 7**  **GM**  **Doc 8335, Pt IV, C2, Doc 9734, Pt A, 3.7** | 7.007 Does the CAA perform surveillance/inspections of AOC holder’s facilities which are located in a foreign State.  Provide the specific citation to the relevant regulation, documentation, and any guidance material or practice used in reference to your response. |
| **Comments** |  |

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| **STD**  **A6, Pt. I, 4.2.2; A8, Pt. II, 3.6**  **GM**  **Doc 8335 Pt VI** | 7.008 (A) Does the CAA implement its programme for the surveillance of operations by foreign operators in its territory?  Yes No  If yes, describe below.  (B) Does the CAA have a process for contacting the State of the Operator when safety concerns are detected during ramp inspections of foreign aircraft?  Yes No  If yes, describe below. |
| **Comments** |  |

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| **STD**  **A6, Pt. I, 4.2.1.8, App 5, para 7**  **GM**  **Doc 8335 Pt I, 5.3.2 & Pt IV, 2.6; Doc 9734, Pt A, 3.1.2, 3.4.2.4, 3.4.2.6, 3.7.2. & 3.7.3.; Doc 9760, Pt II, 2.2.1, 2.2.4, 4.1.5, 4.1.6, 4.4, 4.7.4, Pt III, 1.2, Pt IV, 5.4** | 7.009 Does the CAA implement its programme and procedures for the surveillance of designated persons, delegated personnel, or persons employed by a certificate holder while acting on behalf of the CAA?  Yes No  If yes, describe how the CAA provides oversight of the technical and regulatory competency requirements of designated personnel. |
| **Comments** |  |

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| **IASA – CE – 7 - 7.100 - Surveillance Obligations Surveillance of Certificated Operators - Operations** | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |

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| **STD**  **A6, Pt. I, C4, 4.2.1.8, App 5**  **GM**  **Doc 8335, Pt I, C5; Pt IV, C2; Doc 9734, Pt A, 3.7, 3.8** | 7.101 Is the planned surveillance programme implemented for conducting AOC-holder inspections by the CAA’s operations inspectorate? Yes No  If yes, describe the planned surveillance programme and the frequency of inspections. |
| **Comments** |  |

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| **IASA – CE – 7 - 7.200 - Surveillance Obligations Surveillance of Certificated Operators - Operator’s Maintenance Arrangements** | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |
| **STD**  **A6, Pt. I, 4.2.1.8, App 5, para 7**  **GM**  **Doc 8335 Pt I, C5; Pt IV, C2; Doc 9734,Pt A, 3.7, 3.8** | 7.201 Is the planned surveillance programme implemented for conducting AOC-holder inspections by the CAA's airworthiness inspectorate? Yes No  If yes, describe the planned surveillance programme and the frequency of inspections. |
| **Comments** |  |

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| **IASA – CE – 7 - 7.300 – Surveillance Obligations Surveillance of Aircraft Maintenance Organisations** | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |
| **STD**  **A6, Pt. I, 4.2.1.8, App 5, para 7, A8, Pt VA, 7.7**  **GM**  **Doc 8335 Pt IV, C2, Doc 9734, Pt A, 3.8** | 7.301(A) Does the CAA’s airworthiness inspection division carry out inspections of maintenance organisations on an ongoing basis?  Yes No  If yes, describe and/or reference the procedures involved, and answer (B).  If no, skip to question 7.302.   1. Is a formal schedule established for conducting these inspections?   Yes No  If yes, describe and/or reference the procedures involved. |
| **Comments** |  |

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| **STD**  **A6, Pt. I, 4.2.1.8, App 5, para 7**  **GM**  **Doc 8335 Pt I, C5; Pt IV, C2; Doc 9734, Pt A, 3.8** | 7.302 Is a planned surveillance programme established for conducting these inspections? Yes No  If yes, describe the planned surveillance programme and the prescribed frequency of inspections. |
| **Comments** |  |

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| **STD**  **A6, Pt. I, 4.2.1.8, App 5, para 7**  **GM**  **Doc 8335**  **Pt I, C5; Pt IV, C2; Doc 9734, Pt A, 3.8** | 7.303 Does the CAA implement its procedure used for conducting continuing certification and surveillance of approved maintenance organizations (AMOs). |
| **Comments** |  |

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| **STD**  **A6, Pt. I, 4.2.1.8, App 5, para 7**  **GM**  **Doc 8335**  **Pt IV,C2, Doc 9734, Pt A, 3.8** | 7.304(A) Does the CAA implement its planned inspections of AMO facilities located in a foreign State.  (B) Describe the formal procedure used for these inspections and how frequently this oversight is accomplished. |
| **Comments** |  |

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| **IASA – CE – 7 - 7.400 - Surveillance Obligations Surveillance of Medical Assessments** | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |
| **STD**  **A1, 1.2.4.8.1, 1.2.4.9, 1.2.4.9.1, 1.2.4.11.1**  **GM**  **Doc 8984, Pt 1, 1.2.13, 1.2.14** | 7.401 (A) Does the CAA perform medical assessment audits?  Yes No  (B) If yes, is a formal schedule established for conducting these audits?  Yes No  If yes to (A), or both, provide guidance material, documents, or practice used in reference to your response. |
| **Comments** |  |

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| **STD**  **A1, 1.2.4.5, 1.2.4.6, 1.2.4.6.1, 1.2.4.6.2**  **GM**  **Doc 9379 Pt II, 8.1, 8.2, 8.3, & 8.4, 8.5; Doc 9734, A.3.8** | 7.402 Has the CAA implemented a system for the supervision and control of designated medical examiners (DMEs)?  Yes No  If yes, describe the administrative and recording procedures. |
| **Comments** |  |

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| **IASA – CE – 7 - 7.500 – Surveillance Obligations Surveillance of Aviation Training Organizations** | |
| **TEAM:** | **Compliance Status** --Satisfactory --Not satisfactory --Not implemented  --Not applicable --Not assessed |
| **STD**  **A1, 1.2.8.2, 1.2.8.3, 1.2.8.4 & App 2, para 8 and 9.**  **GM**  **Doc 9379, Pt 1, App A to Part I, 2, j), 9734 A. 3.8** | 7.501(A) Does the CAA implement its surveillance programme to ensure continuing compliance with the approval regulations and document of approved training organizations (ATO) or AOC in-house training departments?  Yes No  (B) Is a formal schedule established for conducting these audits?  Yes No  If yes to (A), or both, describe or reference the procedure for each. |
| **Comments** |  |