

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.001	YES	2	Has the State promulgated specific operating regulations to transpose the provisions of Annex 1?	CC Arts. 12 & 37 STD A19, 3.2.1.2, 3.2.2.1, Appendix 1, Section 2 A1 GM Doc 9734 Part A, C2, 2.2.2, 2.2.4 Doc 9379 Chapter 3, 3.2 Doc 8335, Pt I Chapter 3, 3.1.2.1(b) 9760, Pt II, C2, 2.2.1	2.001	2.001 (A) Describe the national aviation regulations the State has adopted, or developed and promulgated to enable the State to implement the provisions of Annexes 1, 6, and 8. (B) What is the formal title of the regulations and when were they promulgated? List all the aviation regulations related to personnel licensing, aircraft operations, and airworthiness in your response.	3.001	(a) Has the State promulgated specific operating regulations to transpose the provisions of Annex 1? (b) Mention the formal title of the regulation and list all aviation regulations related to Personnel Licensing.	Confirm the title, date of promulgation and the last amendment of all regulations related to personnel licensing: a) All licences and ratings, including remote pilot licences. i) Flight crew — private pilot — aeroplane, airship, helicopter or powered-lift; — commercial pilot — aeroplane, airship, helicopter or powered-lift; — multi-crew pilot — aeroplane; — airline transport pilot — aeroplane, helicopter or powered-lift; — glider pilot; — free balloon pilot; — flight navigator; — flight engineer; and — remote pilot — aeroplane, airship, glider, rotorcraft, powered-lift or free balloon. ii) Other personnel — aircraft maintenance (technician/engineer/mechanic); — air traffic controller; — flight operations officer/flight dispatcher; — aeronautical station operator. b) Medical assessment. c) Approval of training organizations. d) Qualification of flight simulation training devices in the State. e) Language used for radiotelephony communications (i.e. language proficiency).
3.003	YES	2	In addition to the promulgated regulations, has the Licensing Authority issued orders, directives and/or instructions in support of its personnel licensing activities?	GM Doc 9734, Part A, C3 Doc 9379 , Part I, C2, 2.9 C3, 3.2, 3.5	5.007	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? If yes, provide reference location of orders, directives, and/or instructions it has issued.	3.003	In addition to the promulgated regulations, has the Licensing Authority issued orders, directives and/or instructions in support of its personnel licensing activities?	1) Confirm the title, content and date of issuance of the last amendment to orders, directives and instructions. 2) Verify reference location of orders, directives, and/or instructions. 3) Verify approval process and enforceability.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.004	YES	2	Does the State ensure the timely transposition of provisions of Annex 1 into its legal framework?	CC Arts. 12, 37 & 38 STD A19, 3.2.1.2 3.2.2.1, Appendix 1, Section 2 A15, 5.2.2 PANS Doc 10066 , (AIM), App. 2 GM Doc 9734,Part A, C2, 2.2.3, C3, 3.2.1.3 Doc 10055	2.002	2.002 Are amended and up-to-date copies of the national aviation regulations used by the State readily available to the inspectorate and users? If yes, describe how they are made available to the inspectorate and users.	3.004	Does the State ensure the timely transposition of provisions of Annex 1 into its legal framework?	1) Verify that provisions in the specific operating regulations are effected in a timely manner to reflect the latest amendments to the related Annex. 2) Confirm that: a) the differences between SARPs and the State legislation and practices are identified and notified to ICAO using the Compliance Checklist/Electronic Filing of Differences (CC/EFOD) system; and b) significant differences between SARPs/PANS/SUPPS and the State regulations and practices are identified and published in the AIP. Note to the auditor: States may also notify differences to ICAO using other means.
3.005		2	Has the State implemented procedures for amending its specific PEL regulations, taking into consideration ICAO provisions and their amendments?	CC Art. 37 STD A19, 3.2.2, & Appendix 1 Section 2 GM Doc 9734, Part A, C3, 3.2	1.017	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.	3.005	Has the State implemented procedures for amending its specific PEL regulations, taking into consideration ICAO provisions and their amendments?	1) Review documented evidence of effective implementation of procedures for amending PEL regulations. 2) Verify that regulations are amended in a timely manner whenever amendments to the related Annex are received. 3) Verify the action taken by the State after receipt of the last amendments. Note to the auditor: The establishment of amendment procedures is addressed in LEG PQ 1.009.
3.007	YES	2	Has the State implemented procedures for identifying and notifying differences if any, to ICAO?	CC Arts. 37 & 38 GM Doc 9734, Part A, C3, 3.2.3 Doc 10055 Doc 9379, Pt I, 3.4	1.017	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.	3.007	Has the State implemented procedures for identifying and notifying differences if any, to ICAO?	Review documented evidence of effective implementation. Note to the auditor: The establishment of these procedures is addressed in LEG PQ 1.025.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.015	YES	2	Has the State implemented procedures for granting exemptions in the area of personnel licensing?	STD A19, 3.2.2 & 3.2.5 GM Doc 9734, Part A, C3, 3.2.7 Doc 9379 Part I, 3.3.3 (b)	1.011	1.011 Does the primary aviation legislation provide for the issuance of exemptions/exceptions to the air navigation regulations and associated operating regulations? 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.	3.015	If the State grants exemptions in the area of personnel licensing, has the State implemented procedures for the granting of exemptions?	1) Verify implementation of procedures for recording and publishing exemptions granted. 2) Review examples of exemptions granted in the area of personnel licensing. 3) Verify implementation of the risk assessment system before granting of exemption. Notes to the auditor: 1) The term "exemptions" also includes exceptions, deviations, variations and prolonged extensions. 2) The legal basis for the granting of exemptions is addressed in LEG PQ 1.027. 3) The establishment of a policy and procedures for granting exemptions is addressed in LEG PQ 1.028
3.101		3	Has the State established an organizational structure for personnel licensing?	STD A19, 3.2.3.1 & App. 1, 3.1 GM Doc 9734, Part A, C3, 3.3.1 Doc 9379, Part I, C1, C2	3.001	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.	3.101	Has the State established an organizational structure for personnel licensing?	Evaluate current approved organizational structure for CAA and personnel licensing office, including lines of responsibility. Note to the auditor: This PQ is not linked to ORG PQ 2.010.
3.103		3	Are the functions and responsibilities of the personnel licensing office clearly defined?	GM Doc 9379, Part I, C2 Doc 9760, Pt II, 4.7.1.2	3.001 3.005	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. 3.005 Describe the personnel licensing process and the responsibilities of licensing personnel? A) Does the CAA have a dedicated licensing section? B) Does the CAA integrate personnel licensing within the operations and	3.103	Are the functions and responsibilities of the personnel licensing office clearly defined?	1) Review the document detailing functions and responsibilities of the PEL Office. 2) Review if the CAA has a dedicated licensing section or if integrates personnel licensing within the operations and airworthiness departments

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
						airworthiness departments? 0Yes 0No Provide the specific reference to the relevant regulation, and any guidance material or practice used in reference to your response.			
3.105		3	Have job descriptions been established for technical personnel and key management personnel of the personnel licensing office?	GM Doc 9734, Part A, C3, 3.4, 3.5 Doc 9379, Part I, C2, 2.4 & App. A Doc 8335, Pt I, C5 & C6	3.203	3.203 Have written terms of reference establishing qualifications, roles, and responsibilities been developed for technical staff? If yes, what are the policy and procedures for recruiting technical staff in compliance with the established qualifications?	3.105	Have job descriptions establishing qualification, roles and responsibilities been developed for trchnical personnel and key management personnel of the Personnel Licencing office?	1) Review job descriptions for all personnel licensing staff 2) Check the job description including all tasks related to Annex 1 (e.g. licensing (incl. training, examination, regulatory and administrative) , medical, training organizations approval and surveillance).
3.109	YES	3	Does the personnel licensing office have sufficient human resources to carry out its functions and mandate?	GM Doc 9734, Part A, C2 & C3 Doc 9379, Part I, C2 A19 App. 1, 3.1	3.201	3.201 Does the CAA use a methodology to determine its inspector staffing requirements? 0Yes 0No If yes, describe the methodology used.	3.109	Does the personnel licensing office have sufficient human resources to carry out its functions and mandate?	1) Review methodology established for determining staffing needs, if available. 2) Review the ability to attract new officers as well as existing vacancies and level of turnover in the past years. 3) Review ability to carry out all safety oversight-related tasks, including: a) reviewing and revising regulations; b) training of technical staff; c) development of guidance material; d) issuance of licences and rating; e) conducting surveillance; and f) resolving identified safety concerns.
3.111		4	Has the State established appropriate minimum qualification and experience requirements for its personnel licensing staff?	GM Doc 9734, Part A, C3, 3.4, 3.5 Doc 9379, Part I, C2	3.203	3.203 Have written terms of reference establishing qualifications, roles, and responsibilities been developed for technical staff? 0Yes 0No If yes, what are the policy and procedures for recruiting technical staff in compliance with the established qualifications?	3.111	Has the State established appropriate minimum qualification and experience requirements for its personnel licensing staff?	Review qualification and experience requirements for recruitment and assignment of personnel licensing staff of the Licensing Authority depending on their responsibilities in the personnel licensing issuance process and oversight system

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.112		4	Does the State ensure that all personnel licensing staff meet the established minimum qualification and experience requirements?	GM Doc 9734, Part A, C3, 3.4, 3.5 Doc 9379 , Part I, 2.4, 2.5 & 2.6	3.203	3.203 Have written terms of reference establishing qualifications, roles, and responsibilities been developed for technical staff? 0Yes 0No If yes, what are the policy and procedures for recruiting technical staff in compliance with the established qualifications?	3.112	Does the State ensure that all personnel licensing staff meet the established minimum qualification and experience requirements?	1) Verify the policy and procedures for recruiting personnel licencing staff in compliance with the established qualifications 2) Sample recruitment files. 3) Cross-check with established requirements.
3.113		4	Is a formal training programme established that details the type of training that should be provided to personnel licensing inspectorate staff and other technical personnel?	GM Doc 9734 Part A, C3 Doc 9379 Part I, C2	4.102 4.104 4.202 4.205	4.102 Has the CAA established a training programme for its PEL officers or other PEL staff members responsible for preparing, administering, and evaluating written theoretical knowledge examinations? 0Yes 0No A) If yes, describe the programme used to train licensing personnel by the CAA. B) If no, describe the programme used to train licensing personnel by the entity responsible for the preparation, administering, and evaluating written theoretical knowledge examinations. C) If no, describe the delegation and oversight process of the responsible entity provided by the CAA to ensure that only properly trained personnel prepare, administer, and evaluate written theoretical knowledge examinations. 4.104 Has the CAA established a training program for its PEL officers or other PEL staff members responsible for preparing, administering, and evaluating oral theoretical knowledge examinations? 0Yes 0No A) If yes, describe the programme used to train licensing personnel by the CAA. B) If no, describe the programme used to train licensing personnel by the entity responsible for the preparation, administering, and evaluating oral theoretical knowledge examinations. C) If no, describe the delegation and oversight process of the responsible entity provided by the CAA to ensure that only properly trained personnel prepare, administer, and evaluate oral theoretical knowledge examinations.	3.113	Is a formal training programme established that details the type of training that should be provided to personnel licensing inspectorate staff and other technical personnel?	1) Review contents of training programme for a) each job (inspectorate staff and other technical personnel), and b) all activities (i.e. issuance of all licences, medical, training organizations approval). 2) Confirm inclusion of: a) initial, b) on-the-job, c) recurrent, and d) specialized training, with timelines to be provided, as applicable.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
						<p>4.202 Has the CAA established a training programme for its PEL officers and/or designees responsible for conducting skill tests for the issuance of flight crew licences and ratings? 0Yes 0No</p> <p>A) Describe the programme used to train and maintain qualification/proficiency of PEL officers by the CAA.</p> <p>B) Describe the programme used to train designated licensing personnel conducting skill tests for the issuance of flight crew licences and ratings.</p> <p>C) Describe the delegation and oversight process of the designated licensing personnel provided by the CAA to ensure that only properly trained, qualified, and current personnel conduct skill tests for the issuance of flight crew licences and ratings.</p> <p>4.205 Has the CAA established a training programme for its PEL officers or other PEL staff members responsible for conducting skill tests for other than flight crewmembers, such as aircraft maintenance engineer, mechanic, or technician, licenses and ratings? 0Yes 0No</p> <p>A) Describe the programme used to train licensing personnel by the CAA.</p> <p>B) Describe the programme used to train licensing personnel by the designated personnel for conducting skill tests for other than flight crew members, such as aircraft maintenance engineer, mechanic, or technician, licenses and ratings.</p> <p>C) Describe the delegation and oversight process of the designated personnel provided by the CAA to ensure that only properly trained personnel conduct skill tests for other than flight crew members, such as aircraft maintenance engineer, mechanic, or technician, licenses and ratings.</p>			

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.114		3	Have personnel licensing staff been issued credentials to facilitate access to aircraft, aviation facilities and documents for the purpose of inspections and enforcement?	GM Doc 9734 Part A, C3	3.303	3.303 Are inspectors issued credentials so they can independently accomplish their certification and surveillance duties? 0Yes 0No 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?	3.114	Have personnel licensing staff been issued credentials to facilitate access to aircraft, aviation facilities and documents for the purpose of certification, surveillance and enforcement?	Review credentials to ensure: 1) Reference to empowering legislation. 2) Method established to control currency of credential. 3) Inspector's photo. Review guidance Material or practice used related to inspectors credentials Note to the auditor: This PQ is not applicable to all personnel licensing staff; only applicable to those performing inspection and enforcement activities.
3.115		4	Has a periodic training plan been established and implemented, which details and prioritizes the type of training that will be provided to personnel licensing inspectorate staff and other technical personnel during the established period?	GM Doc 9734 Part A, C3 Doc 9379 Part I, 2.2.4	No specific IASA question addressing training plan		3.115	Has a periodic training plan been established and implemented, which details and prioritizes the type of training that will be provided to personnel licensing inspectorate staff and other technical personnel during the established period?	1) Review the most recent training plan for each inspectorate staff and other technical personnel. 2) Check training files. 3) Verify that the type and frequency of training that has been successfully completed (initial, recurrent, specialized and OJT) are sufficient for the inspectorate staff and other technical personnel to acquire/maintain the required level of knowledge, skills and qualifications in accordance with their assigned duties and responsibilities. 4) The training plan should reflect, for each inspectorate staff and other technical personnel, the schedule for implementing the training programme in the following year(s).
3.119		4	Has a system been established to maintain the training records of personnel licensing staff?	GM Doc 9379 Part I, 2.2.4	no specific PEL question 4.406-OPS 4.505-AIR 4.703-AED	4.406 Are records for operations inspector training kept on file and are they available for review? 4.505 Are records for airworthiness inspector training kept on file and are they	3.119	Has a system been established to maintain the training records of personnel licensing staff?	1) Review requirements/instructions for the establishment and maintenance of training records. 2) Verify that the system in place

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
						available for review? 4.703 Are training records for AED personnel kept on file and are they available for review?			complies with system description. 3) Verify that training records are systematically retained.
3.153		5	Are the relevant ICAO documents and other technical publications readily available to the personnel licensing inspectorate staff and other technical personnel?	GM Doc 9734, Part A, C3, 3.5 Doc 9379, Pt I, 2.9	2.002 5.001 5.002 5.005	2.002 Are amended and up-to-date copies of the national aviation regulations used by the State readily available to the inspectorate and users? 0Yes 0No If yes, describe how they are made available to the inspectorate and users. 5.001 Are current copies of ICAO Annexes 1, 6, and 8, and related ICAO guidance material documents available? 0Yes 0No Record revision dates for ICAO Annexes 1, 6, and 8, and related ICAO guidance material documents in comments section 5.002 Are the applicable regulations and amendments readily available and up-to-date for use by inspectors and technical personnel of the CAA? 0Yes 0No If yes, describe the means by which inspectors and technical personnel have access to the regulations. 5.005 Does each inspector maintain or have access to a current copy of the national regulations? 0Yes 0No If yes, describe the means by which inspectors have access to the regulations. Note: Cross-referenced in CE-2 2.002.	3.153	1) Are the relevant ICAO documents and other technical publications readily available to the personnel licensing inspectorate staff and other technical personnel? 2)How are they made available to the inspectorate and users?	1) Evaluate method to ensure receipt, control and distribution of the necessary technical documentation. 2) Evaluate method to determine currency of documents. 3) Verify accessibility of documents and that they are up to date: a) State laws and regulations b) Orders and instructions c) Current copy of Annex 1 d) Copies of ICAO guidance material (i.e. Doc 9379, Doc 9841, Doc 9625, etc.) Note to the auditor: Check for field/regional offices as well as headquarters.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.154		5	Is there a technical library available for the staff of the personnel licensing office or another method to ensure receipt, control and distribution of the necessary technical documentation?	GM Doc 9734 Part A, C3, 3.5	.5.101	<p>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</p> <p>If yes, describe how access to a library of appropriate and current technical information is available to the AED and AID personnel.</p> <p>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:</p> <p>Aircraft flight manual Yes No Maintenance manual Yes No Structural repair manual Yes No Parts catalogue Yes No Service bulletins Yes No Master Minimum Equipment List (MMEL) Yes No Maintenance Review Board (MRB) report Yes No</p> <p>If yes, describe how access to a library of appropriate and current technical information is available to the AED and AID personnel.</p>	3.154	Is there a technical library available for the staff of the personnel licensing office or another method to ensure receipt, control and distribution of the necessary technical documentation?	Evaluate: 1) document receipt, control, and distribution system; and 2) method to determine currency of documents.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.155	YES	5	Are personnel licensing staff provided with comprehensive guidance material and procedures that are sufficiently detailed to enable them to carry out their functions and responsibilities effectively?	GM Doc 9734, Part A, C3, 3.5, 3.6 Doc 9379, Part I, 2.9, Part II, C1	5.006 5.009	5.006 Has the CAA developed and implemented technical guidance and procedures for use by its inspectors and technical personnel? If yes, describe the system of technical guidance and procedures implemented by the CAA. 5.009 Does the inspector technical guidance contain policy, procedures, and standards for: A) certification B) licensing C) authorizations and approvals D) surveillance/inspections E) resolution of safety issues F) Designated/delegated personnel, or persons employed by a certificate holder If yes, describe the specific technical guidance developed and implemented by the CAA.	3.155	Are personnel licensing staff provided with comprehensive guidance material and procedures that are sufficiently detailed to enable them to carry out their functions and responsibilities effectively?	1) Review the PEL Procedures Manual, if available, or the list of procedures available. 2) Review if list includes: a) Licensing b) authorizations and approvals (if applicable) c) surveillance/inspections d) resolution of safety issues e) Designated/delegated personnel, or persons employed by a certificate holder 3) Review a) management process, and b) distribution process of the documents used to ensure that all staff use comprehensive and up-to-date documents.
3.201		5	Has the State established methods to inform applicants of the: • requirements to be met for the various licences and ratings; and • the documents to be submitted for the application process?	STD A1, 2.1, 2.1.1.3, 3.1, 3.1.1, 4.1, 4.1.1 GM Doc 9734 , Part A, C3 Doc 9379 Part I, 3.7 & 3.8	5.203	5.203 Do application forms solicit information as required by ICAO Annex 1? A) Licences and ratings for pilots? B) Licences for flight crew members other than licences for pilots (i.e. flight engineers, flight navigators)? C) Licences and ratings for personnel other than flight crew members (i.e. aviation maintenance technicians, flight operations/flight dispatchers, air traffic controllers)? If yes, provide a sample of each application form.	3.201	1) Has the State established methods to inform applicants of the: A) requirements to be met for the various licences and ratings; and B) the documents to be submitted for the application process? 2) Do application forms solicit information as required by ICAO Annex 1?	1) Review available methods for informing applicants of the different licences and ratings. 2) Review list of application forms for all types of licences, ratings or examinations. 3) Review the forms to ensure that they contain information relating to : A) Licences and ratings for pilots? B) Licences and ratings for RPAS C) Licences for flight crew members other than licences for pilots (i.e. flight engineers, flight navigators)? D) Licences and ratings for personnel other than flight crew members (i.e. aviation maintenance technicians, flight operations/flight dispatchers, air traffic controllers)? age, knowledge, experience, skills and medical information of the applicant.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.203	YES	6	Does the State implement a process for the systematic review and evaluation of submitted application forms for the issuance of licences and ratings and for examinations?	GM Doc 9734 Part A, C3 Doc 9379 Part II, 2.3, 2.4 & 2.5	5.204	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	3.203	Does the State implement a process for the systematic review and evaluation of submitted application forms for the issuance of licences and ratings and for examinations?	1) Applies to all types licences, ratings and examinations. (E.g. Pilots PPL, CPL ATPL, ATCO, etc.) 2) Review implementation of processes and procedures for the evaluation of applications for licences, ratings or examinations. 3) Review responsibilities of PEL staff in assessing documents provided by applicants (e.g. different steps, who is doing what). 4) Sample cases for review.
3.207		5	Has the State established a procedure for appealing the Licensing Authority's decisions?	GM Doc 9734 Part A, C3 Doc 9379 Part II, 8.3.9, 8.3.10 and 8.3.13	6.1003	6.1003 Has the State established a procedure for appealing CAA decisions regarding medical assessments? Yes No If yes, what is the procedure?	3.207	Has the State established a procedure for appealing the Licensing Authority's decisions?	1) Review documented description of the appeal process. 2) Review established and documented processes and procedures. 3) Review documented procedure used to inform the applicant of the appeal process.
3.208		6	Has the State implemented a procedure for appealing the Licensing Authority's decisions?	GM Doc 9734 Part A, C3 Doc 9379 Part II, 8.3.9, 8.3.10 and 8.3.13	6.1003	6.1003 Has the State established a procedure for appealing CAA decisions regarding medical assessments? Yes No If yes, what is the procedure?	3.208	Has the State implemented a procedure for appealing the Licensing Authority's decisions?	Review evidence to confirm effective implementation of the procedure that details: a) appeal process; and b) notification of appeal process to applicant.
3.253		2	Has the State promulgated regulations to ensure that privileges granted by a pilot licence, or by related ratings, are not exercised unless the holder maintains competency and meets requirements for recency of experience?	STD A1 1.2.5, GM Doc 9379 Part II, 3.2	2.003	2.003 Describe the regulations that ensure that the privileges granted by a license, or by related ratings, are not exercised unless the holder maintains competency and meets the requirements for: A) Pilot and other members of the operating crew (including recent experience) B) Aircraft maintenance (technician/engineer/mechanic) C) Flight operations officer/flight dispatcher Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.	3.253	Has the State promulgated regulations to ensure that privileges granted by a pilot licence, or by related ratings, are not exercised unless the holder maintains competency and meets requirements for recency of experience?	1) Verify regulations for all pilot licences and ratings issued, including instructor rating (e.g. list, conditions of issuance and renewal, maintenance of competency, recency of experience, etc.). 2) Provide citation, regulations and any guidance material.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.256		5	Has the State established a system to re-establish or reinstate the privileges of expired licences and ratings?	STD A1 1.2.5 GM Doc 9379 Part II, C4 & C7 C3, 3.2	6.501	6.501 Are personnel licenses and ratings issued by the CAA of the: A) expiring type Yes No B) 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.	3.256	Has the State established a system to re-establish or reinstate the privileges of expired licences and ratings?	1) Review documented requirements (e.g. number of hours of mandatory re-training, examinations, etc.) to reinstate the privileges of expired licences and ratings. 2) Review documented process and procedures to reinstate the privileges of expired licences and ratings
3.257		6	Has the State implemented a system to re-establish or reinstate the privileges of expired licences and ratings?	STD A1 1.2.5 GM Doc 9379 Part II, C4 & C7 C3, 3.2	6.501	6.501 Are personnel licenses and ratings issued by the CAA of the: A) expiring type Yes No B) 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.	3.257	Has the State implemented a system to re-establish or reinstate the privileges of expired licences and ratings?	1) Review implementation of requirements (e.g. number of hours of mandatory re-training, examinations, etc.) to reinstate the privileges of expired licences and ratings. 2) Review implementation of procedure to reinstate the privileges of expired licences and ratings. 3) Sample cases to confirm effective implementation.
3.259	YES	6	If the State issues civil licences to military pilots, has a system been implemented for a) issuing civil pilot licences and ratings; and b) granting exemptions?	STD A19 3.2.2 & 3.2.5 Appendix 1, paragraph 2, 5 and 6. GM Doc 9379 Part II, 2.5	None	No FAA question.	3.259	If the State issues civil licences to military pilots, has a system been implemented for a) issuing civil pilot licences and ratings; and b) granting exemptions?	a) issuing civil pilot licences and ratings; and b) granting exemptions? Review Evidence: 1) Review the rules and procedures followed for the conversion of military qualifications and experience to equivalent civil licences and ratings. 2) Sample cases for review to confirm effective implementation.
3.261	YES	7	Has the State systematically implemented a process for the renewal of licences and ratings?	STD A1 1.2.5 GM Doc 9379 Part II, C2 & C3	6.501	6.501 Are personnel licenses and ratings issued by the CAA of the: A) expiring type Yes No B) continuing type (do not expire) Yes No If yes to A), describe the system for renewal of the license and the validity period.	3.261	Has the State systematically implemented a process for the renewal of licences and ratings?	1) Review procedures and conditions for the renewal of licences issued 2) Review the competency requirements such as recent experience requirements, recurrent training and testing 3) Confirm effective implementation.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
						If yes to B), describe the method used to maintain the validity of the license.			
3.263		8	What action does the Licensing Authority take in the event that sufficient evidence exists to demonstrate that a pilot licence holder has not performed his/her duties in accordance with the prescribed procedures and privileges of his/her licence?	GM Doc 9734 Part A, C3, 3.8	8.003	8.003(A) Has the CAA implemented its procedure if deficiencies are found during inspection of licensed individuals/certificated persons? Yes No B) Are licensed individuals/certificated persons required to correct deficiencies in a reasonable period of time? Yes No If yes to (A) and/or (B), provide the specific citation to the relevant regulation, documentation, and any guidance material or practice used in reference to your response.	3.263	What action does the Licensing Authority take in the event that sufficient evidence exists to demonstrate that a pilot licence holder has not performed his/her duties in accordance with the prescribed procedures and privileges of his/her licence?	1) Review specific regulation related to deficiencies and enforcement 2) Review enforcement system or procedures. 3) Review timeline of responses to ensure timely response 4) Review evidence to confirm effective implementation of a graduated response system (warnings, sanctions).
3.301		6	Has the State implemented procedures for the issuance of pilot licences and ratings on the basis of foreign licences (licence conversion)?	STD A1 1.2.2 & 2.1.1 GM Doc 9379 Part II, 2.3.3 & C4, 4,2	6.401 6.504	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 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.	3.301	Has the State implemented procedures for the issuance of pilot licences and ratings on the basis of foreign licences (licence conversion)?	Review procedures implemented for the conversion of a foreign licence.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.302		2	Has the State promulgated regulations for the conversion/validation of all type of licences, except pilot licences?	STD A1 1.2.2, C3 & C4 GM Doc 9379 Part II, C2, 2.3 & C3	2.004 c&d	2.004 Describe the regulations for the issuance/conversion/validation of the following types of licenses: A) Pilot (commercial air transport operations) B) Foreign pilot C) Aircraft maintenance (technician/engineer/mechanic) D) Flight operations officer/flight dispatcher Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.	3.302	Has the State promulgated regulations for the conversion/validation of all type of licences, except pilot licences? Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.	Verify regulations, guidance material and additional requirements for conversion/validation of licences other than pilot licences.
3.303	YES	6	Has the State implemented procedures for the validation of foreign pilot licences and ratings?	GM Doc 9379 Part II, C2, 2.3 & C4	6.504 6.401	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 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.	3.303	Has the State implemented procedures for the validation of foreign pilot licences and ratings?	Review procedures implemented for the validation of a foreign licence.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.305	YES	2	Has the State promulgated regulations for the conversion/validation of the commercial pilot, multi-crew pilot and airline transport pilot licences that are used for air transport purposes?	STD A1 1.2.2, 2.1.1, App-3 & Att. B GM Doc 9379 Part I, C3, 3.1 and 3.2 Part II, C2, 2.3	2.004 a	2.004 Describe the regulations for the issuance/conversion/validation of the following types of licenses: A) Pilot (commercial air transport operations) B) Foreign pilot C) Aircraft maintenance (technician/engineer/mechanic) D) Flight operations officer/flight dispatcher Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.	3.305	Has the State promulgated regulations for the conversion/validation of the commercial pilot, multi-crew pilot and airline transport pilot licences that are used for air transport purposes?	1) Verify regulations and additional requirements for the conversion/validation of these licences. 2) Verify guidance material used by PEL officers related to conversion/validation
3.307	YES	6	Does the Licensing Authority contact the foreign licence issuing State systematically to ensure the validity of the licence to be converted or validated?	CC Art. 33 STD A1 1.2.2.2 & 1.2.2.3 GM Doc 9379 Part II, C2, 2.3	6.504	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.	3.307	Does the Licensing Authority contact the foreign licence issuing State systematically to ensure the validity of the licence to be converted or validated?	1) Review implementation of process and procedures for confirmation of the validity of the foreign licence. 2) Review evidence to confirm effective implementation for all types of licences.
3.309		6	Does the State have a system to ensure that the original licence submitted for a licence validation or conversion is in full compliance with Annex 1?	CC Art. 33 STD A1 1.2.2 GM Doc 9379 Part II, C2, 2.3	6.502 6.504	6.502 Do licenses issued by the CAA meet the specifications of Annex 1, chapter 5? Yes No 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	3.309	Does the State have a system to ensure that the original licence submitted for a licence validation or conversion is in full compliance with Annex 1?	1) Review implementation of process and procedures for confirmation of the licence's conformity with requirements of Annex 1. 2) Review evidence to confirm effective implementation for all types of licences.
3.310		6	Has the State implemented a systematic process to answer queries from other States in order to confirm the validity of the licences issued?	STD A1 1.2.2 & 1.2.5.1.2 GM Doc 9379 Part II, C2, 2.3	None.	No FAA question.	3.310	Has the State implemented a systematic process to answer queries from other States in order to confirm the validity of the licences issued?	1) Review process and procedures established and implemented for answering queries from other States. 2) Review evidence to confirm effective implementation for all types of licences.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.313		6	Have procedures been implemented for the validation/conversion of foreign licences and ratings of aircraft maintenance technicians/engineers/mechanics?	STD A1 1.2.2 & 4.1 GM Doc 9379 Part II, C2, 2.3	6.504 5.204 6.401	<p>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.</p> <p>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:</p> <p>(1) direct issuance</p> <p>(2) conversion</p> <p>(3) validation</p> <p>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:</p> <p>(1) direct issuance</p> <p>(2) conversion</p> <p>(3) validation</p>	3.313	Have procedures been implemented for the validation/conversion of foreign licences and ratings of aircraft maintenance technicians/engineers/mechanics?	<p>1) Applicable only if such validation/conversion is performed in the State.</p> <p>2) Review procedures.</p> <p>3) Review evidence to confirm effective implementation.</p>

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.315		6	Have procedures been implemented for the validation/conversion of foreign licences of flight operations officers/flight dispatchers?	STD A1 1.2.2 & 4.1, 4.6 GM Doc 9379 Part II, C2, 2.3	6.504 5.204 6.401	<p>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.</p> <p>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:</p> <p>(1) direct issuance</p> <p>(2) conversion</p> <p>(3) validation</p> <p>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:</p> <p>(1) direct issuance</p> <p>(2) conversion</p> <p>(3) validation</p>	3.315	Have procedures been implemented for the validation/conversion of foreign licences of flight operations officers/flight dispatchers?	<p>1) Applicable only if such validation/conversion is performed in the State.</p> <p>2) Review procedures.</p> <p>3) Review evidence to confirm effective implementation.</p>

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.317		6	Have procedures been implemented for the validation/conversion of foreign licences and ratings of air traffic controllers?	STD A1 1.2.2 & 4.1, 4.4, 4.5 GM Doc 9379 Part II, C2, 2.3	6.504 5.204 6.401	<p>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.</p> <p>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:</p> <p>(1) direct issuance</p> <p>(2) conversion</p> <p>(3) validation</p> <p>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:</p> <p>(1) direct issuance</p> <p>(2) conversion</p> <p>(3) validation</p>	3.317	Have procedures been implemented for the validation/conversion of foreign licences and ratings of air traffic controllers?	<p>1) Applicable only if such validation/conversion is performed in the State.</p> <p>2) Review procedures.</p> <p>3) Review evidence to confirm effective implementation.</p>

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.319	YES	6	Have procedures been established and implemented for issue/validation/conversion of foreign licences and ratings for remote pilot licences?	STD A1 1.2.1, 1.2.2, 1.2.5, 1.2.8 & C2, paragraph B 2.11 GM Doc 9379 Part II, C2, 2.3 Doc 10019	6.504 5.204 6.401	<p>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.</p> <p>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:</p> <p>(1) direct issuance</p> <p>(2) conversion</p> <p>(3) validation</p> <p>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:</p> <p>(1) direct issuance</p> <p>(2) conversion</p> <p>(3) validation</p>	3.319	Have procedures been established and implemented for issue/validation/conversion of foreign licences and ratings for remote pilot licences?	<p>1) Applicable only if such issuance/validation/conversion is performed in the State.</p> <p>2) Review procedures.</p> <p>3) Review evidence to confirm effective implementation.</p>

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.321		6	Have procedures been established and implemented for automatic validation of licences?	STD A1 1.2.2.3 & Att. C	6.504 5.204 6.401	<p>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.</p> <p>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:</p> <p>(1) direct issuance</p> <p>(2) conversion</p> <p>(3) validation</p> <p>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:</p> <p>(1) direct issuance</p> <p>(2) conversion</p> <p>(3) validation</p>	3.321	Have procedures been established and implemented for automatic validation of licences?	<p>1) Applicable only if such issue/validation/conversion is performed in the State.</p> <p>2) Review procedures.</p> <p>3) Review evidence to confirm effective implementation.</p>
3.401		2	Has the State promulgated regulations for medical examinations of applicants of various licences by medical examiners?	STD A1 1.2.4, 1.2.4.6 & C6 GM Doc 8984 Part I, C1, C2, Att. to C2 & C3 Doc 9654 Doc 9379 Part I, C2 & C5 Part II, 8.3	6.1001 2.005	<p>2.005 Describe the regulations that State flight crew members and/or air traffic controllers shall not exercise the privileges of their license(s) unless they hold a current Medical Assessment appropriate to the license held. Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.</p> <p>6.1001 Describe the system in place to ensure the medical fitness of a license holder.</p>	3.401	Has the State promulgated regulations for medical examinations of applicants of various licences by medical examiners? Do the regulations require the applicants to hold a current Medical Assessment in order to exercise the privileges of their licence(s)?	<p>1) Verify regulations regarding medical provisions for licensing, including designation of medical examiners and requirement of a medical assessor.</p> <p>2) Review regulations for the applicant to sign and furnish to medical examiners, a declaration, whose content conforms to the requirements of Annex 1.</p> <p>3) Check promulgation of latest amendments to Annex 1.</p>

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.403		3	Does the State use the services of medical assessors to evaluate reports submitted to the Licensing Authority by designated medical examiners (DME)?	STD A1 1.2.4.8, 1.2.4.9 & 1.2.4.10 GM Doc 8984 Part 1, C1, C2 & C3 Doc 9379 Part I, C2 & C5 Part II, 8.3	6.404 3.003 4.304	<p>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.</p> <p>3.003 Does the CAA delegate any safety oversight functions to: A) Other CAA divisions. Yes/No B) Other State bodies. Yes/No C) Regional organisation. Yes/No D) Private agencies. Yes/No E) Designated persons. Yes/No</p> <p>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?</p> <p>Provide the specific reference to the relevant regulation, and any guidance material or practice used in reference to your response.</p> <p>4.304 Does the CAA utilize other physicians experienced in the practice of aviation medicine to assist the CAA when necessary to evaluate medical reports submitted?</p>	3.403	Does the State use the services of medical assessors to evaluate reports submitted to the Licensing Authority by designated medical examiners (DME)? If delegated, how does the CAA designate or delegate responsibilities and how does the CAA provide surveillance and resolve safety concerns of delegated persons/entities.	<p>1) Qualifications, experience, functions and responsibility of the medical assessor must be clearly described.</p> <p>2) Alternative systems can be acceptable, but they must guarantee effective oversight of all DMEs or medical centres/facilities.</p> <p>3) Review evidence to ensure effective implementation, e.g. list of DMEs and medical assessors, audit reports of DMEs and analysis of outcomes of medical assessments.</p>

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.405	YES	6	Has the State implemented a process for the evaluation of medical reports submitted by the designated medical examiners (DME)?	STD A1 1.2.4.9, 1.2.4.9.1 GM Doc 8984 Part I, C1, Pt 1 par 1.2.13, 1.2.14 C2 & C3 Doc 9379 Part II, 8.3	6.404	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.	3.405	Has the State implemented a process for the evaluation of medical reports submitted by the designated medical examiners (DME)?	1) Verify that the process and methods in place for the evaluation of medical reports comply with Docs 8984 and 9379. 2) Review evidence to confirm effective implementation, e.g. audit reports of medical assessments and analysis of medical outcomes.
3.409		8	Has the State established the appropriate actions to be taken in case of a false declaration by an applicant to a designated medical examiner (DME)?	STD A1 1.2.4.7.1 Doc 8984 Part I, C1 Par 1.2.15	None.		3.409	Has the State established the appropriate actions to be taken in case of a false declaration by an applicant to a designated medical examiner (DME)?	1) Review procedures outlining actions to be taken. 2) Review evidence to confirm effective implementation, i.e. reports and evidence of a graduated response system (warnings, sanctions, etc. that have been issued).
3.411		6	Do designated medical examiners (DME) systematically submit signed reports to the Licensing Authority after completing the medical examination of an applicant?	STD A1 1.2.4.8 GM Doc 8984 Part 1, C1, C2 & C3 Doc 9379 Part II, 8.2, 8.3, 8.3.8 & 8.4	6.404 4.304	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. 4.304 Does the CAA utilize other physicians experienced in the practice of aviation medicine to assist the CAA when necessary to evaluate medical reports submitted?	3.411	Do designated medical examiners (DME) systematically submit signed reports to the Licensing Authority after completing the medical examination of an applicant?	1) If the medical examination is carried out by 2 or more examiners, verify that an appointed examiner is responsible for coordinating the results and signing of the report. 2) If reports are submitted electronically, verify that adequate identification of the examiner has been established. 3) Review evidence to confirm effective implementation, i.e. records of submission and acknowledgement of receipt. 4) Verify that all reports are available at the Licensing Authority for proper review and analysis by an appropriately qualified and experienced medical personnel (even if the State does not employ a medical assessor). 5) Verify that detailed medical information is available only through the medical section or medical assessor to ensure medical confidentiality.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.415	YES	7	Does the Licensing Authority perform medical assessment audits?	STD A1 1.2.4.9.1 GM Doc 8984, Part I C2, 2.3.5.3 (f) C5, 5.3.3, 5.3.6, 5.4.2, 5.4.3, C8 8,1,4, 8.2.8, 8.3.8, 8.8.4	4.303 7.401	4.303 How does the CAA ensure the continuing qualification of medical personnel conducting medical assessments? 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.	3.415	Does the Licensing Authority perform medical assessment audits?	1) The purpose of such audits is to ensure that designated medical examiners meet applicable standards for good medical practice and aeromedical risk assessment. Guidance on aeromedical risk assessment is found in the Manual of Civil Aviation Medicine (Doc 8984). 2) Confirm that audit process is established.(guidance material) a) Does the CAA ensure the continuing qualification of medical personnel conducting medical assessments? b) is there a formal schedule established for conducting these audits? 3) Review evidence to confirm effective implementation, i.e. audit reports.
3.417		7	Has the Licensing Authority implemented a system to ensure the confidentiality of medical reports and records at all times?	STD A1 1.2.4.11 GM Doc 8984 Part I C1, 1.2.16 Doc 9379 Part I, C5, 5.3.7, 5.4.7 Part II, 8.7	6.801 6.802	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? 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?	3.417	Has the Licensing Authority implemented a system to ensure the confidentiality of medical reports and records at all times?	1) Ensure the Licensing Authority checks the confidentiality system at designated medical examiners' (DME) facilities or/and medical centres. 2) Check confidentiality system of the reports kept by Licensing Authority. a) Ensure personal file of applicant/licence holder contains all correspondences, applications, assessments, examination results and other licensing documentations. b) Ensure the CAA has established a system for closing and archiving personal files and records. 3) Check the policy and procedures established to determine to what extent pertinent medical information is presented to relevant officials of the Licensing Authority (special limitations due to medical issues) and other stakeholders. 4) Review reports/complaints for any breach of medical confidentiality.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.419	YES	6	If the medical Standards prescribed in Chapter 6 of Annex 1 for a particular licence type are not fully met, has the State implemented a system for the possible issuance or renewal of the appropriate medical assessment following conditions as stipulated in Annex 1?	STD A1 1.2.4.10 GM Doc 8984 Part I C2, 2.3	6.1002	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.	3.419	If the medical Standards prescribed in Chapter 6 of Annex 1 for a particular licence type are not fully met, has the State implemented a system for the possible issuance or renewal of the appropriate medical assessment following conditions as stipulated in Annex 1?	<p>1) Confirm that the appropriate medical assessment is not issued or renewed unless the following conditions are fulfilled:</p> <ul style="list-style-type: none"> a) Accredited medical conclusion indicates that, in special circumstances, the applicant’s failure to meet any requirement, whether numerical or otherwise, is such that exercise of the privileges of the licence applied for is not likely to jeopardize flight safety. b) Relevant ability, skills and experience of the applicant and operational conditions have been given due consideration. c) The licence is endorsed with any special limitation or limitations when the safe performance of the licence holder’s duties is dependent on compliance with such limitation or limitations. <p>2) Confirm that procedures for coordination between medical assessors, other subject matter experts (SMEs) and Licensing Authority are established.</p> <p>3) Review minutes of medical review/board meetings to confirm consultation with SMEs, operations department, etc.</p> <p>4) Review reports including analysis of loss of licence due to medical reasons and trend analysis of findings of the outcome of the medical certification.</p> <p>5) Review policy, procedures and evidence of communication for the justification and outcome of the medical certification decision with the Licensing Authority, the</p>

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
									applicant and the relevant medical examiner.
3.421		5	Has the State implemented a process describing circumstances under which a medical examination may be deferred?	STD A1 1.2.5.2.6 GM Doc 8984 Doc 9379 Part II C8, Paragraph 8.4.9, 8.4.10	6.1001	6.1001 Describe the system in place to ensure the medical fitness of a license holder.	3.421	Has the State implemented a process describing circumstances under which a medical examination may be deferred?	1) Confirm that the process developed and implemented complies with the regulations. 2) If the policy formally adopted by the State is that the medical examination cannot be deferred, the PQ is "Not Applicable". 3) If deferred, review the frequency and reasons for deferral.
3.422		6	If the State authorizes its national licence holders to perform their medical examinations in a foreign State, has a system been implemented to ensure: a) the proper and valid designation of the foreign medical examiners, and b) the proper surveillance of the foreign medical examiners?	GM Doc 9379, Part I C2, 2.3.5.3, C5, Par 5.3.2 Part II, 8.1.5, 8.2, 8.3, 8.8, 8.8.3 Doc 8984 Part I C1, Par 1.2.11, 1.2.12 Part II, C8 Par 8.1.5, 8.2	6.1004	6.1004 Describe the training and designation requirements of personnel that conduct medical assessments for license holders as required by Annex 1, Chapter 1.	3.422	If the State authorizes its national licence holders to perform their medical examinations in a foreign State, has a system been implemented to ensure: a) the proper and valid designation of the foreign medical examiners, and b) the proper surveillance of the foreign medical examiners?	1) Check the system in place. 2) Check if foreign authorities are contacted or if they make available sufficient information. 3) Check the system for receiving and assessing medical reports and if said system is carried out by the foreign authority. 4) Check if there is a system to ensure that an overseas DME is properly designated, trained and in good standing with the overseas Licensing Authority. 5) Review evidence to ensure effective implementation, e.g. list of foreign DMEs and medical assessors, audit reports of DMEs and analysis of outcomes of medical assessments.
3.423		6	If the State has not established any system for assessing the medical fitness of licence applicants and licence holders, has the State implemented practices and procedures to ensure the medical fitness of an applicant (e.g. the validation of a foreign medical assessment)?	STD A1 1.2.4 GM Doc 9379 Part II, 8.3 & 8.8	6.1001	6.1001 Describe the system in place to ensure the medical fitness of a license holder.	3.423	If the State has not established any system for assessing the medical fitness of licence applicants and licence holders, has the State implemented practices and procedures to ensure the medical fitness of an applicant (e.g. the validation of a foreign medical assessment)?	1) Evaluate procedures and practices implemented for the validation or conversion of foreign medical assessments. 2) Review evidence to confirm effective implementation, e.g. number of foreign validations, States where such medical assessments are issued, analysis of loss of certification due to medical reasons and trend analysis of findings of the outcome of medical certification.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.451	YES	5	Has the State established a procedure for the designation of medical examiners and provided guidance material to them?	STD A1 1.2.4.6 GM Doc 9379 Part II, C8, 8.2 Doc 8984 Parts I, C1, Par 1.2.12, II, C2, Par 1.1.6, III & V, C1	6.1004	6.1004 Describe the training and designation requirements of personnel that conduct medical assessments for license holders as required by Annex 1, Chapter 1.	3.451	Has the State established a procedure for the designation of medical examiners and provided guidance material to them?	1) Conditions and duration of the designation. 2) Scope of authority given to a medical examiner (e.g. issuance of waivers, classes of medical assessment, etc.). 3) Guidelines provided to the medical examiners (e.g. template reports, manual for the medical assessment, etc.). 4) Methods for informing medical examiners of new medical-related provisions.
3.453	YES	6	Does the State ensure that designated medical examiners (DMEs): a) receive training in aviation medicine and have practical knowledge and experience of the conditions in which the holders of licences and ratings carry out their duties, and b) attend refresher training in aviation medicine at regular intervals?	STD A1 1.2.4.6.1 & 1.2.4.6.2 GM Doc 8984 Parts I, C1, 1.2.12, & V, C1, Doc 9379, Part I, C5, 5.3.1 Part II, 8.2, 8.2.1 & 8.3	6.1004	6.1004 Describe the training and designation requirements of personnel that conduct medical assessments for license holders as required by Annex 1, Chapter 1.	3.453	Does the State ensure that designated medical examiners (DMEs): a) receive training in aviation medicine and have practical knowledge and experience of the conditions in which the holders of licences and ratings carry out their duties, and b) attend refresher training in aviation medicine at regular intervals?	1) Review evidence to confirm effective implementation (check medical examiners' files). 2) Examples of practical knowledge and experience are: flight experience, simulator experience, on-site observation and any other hands-on experience deemed to be valid by the Licensing Authority. 3) Confirm participation in refresher trainings (training or seminar organized by the State or outside). 4) Verify intervals of 3 to 5 years for refresher training.
3.457		6	Does the State require designated medical examiners (DMEs) to demonstrate their competency in aviation medicine before designation?	STD A1 1.2.4.6.1 GM Doc 8984 Parts I & V Doc 9379, Part I, C5, 5.3.2, 5.4.2, 5.4.5 Part II, 8.2 & 8.3	6.1004	6.1004 Describe the training and designation requirements of personnel that conduct medical assessments for license holders as required by Annex 1, Chapter 1.	3.457	Does the State require designated medical examiners (DMEs) to demonstrate their competency in aviation medicine before designation?	1) Review procedures for designation. 2) Review evidence to confirm effective implementation.
3.459		7	Has the State implemented a system for the supervision and control of designated medical examiners (DME)?	STD A1 1.2.4.6.3 & 1.2.4.9.1 GM Doc 8984 Parts I & V Doc 9734 Part A, C3 Doc 9379 Part II, 8.2, 8.3 & 8.4	7.402	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.	3.459	Has the State implemented a system for the supervision and control of designated medical examiners (DME)?	1) Description of the oversight system for DMEs. 2) Verify inclusion of premises and equipment inspections. 3) Demonstration of use of latest ICAO SARPs. 4) Up-to-date refresher training. 5) Timely transmittal of reports to Licensing Authority's medical department.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
									6) Review evidence to confirm effective implementation, e.g. oversight reports, audit reports, training records, designation documentation, etc.
3.461		8	What action does the Licensing Authority take in the event that sufficient evidence exists to demonstrate that a designated medical examiner (DME) has not performed his/her duties in accordance with the prescribed procedures?	GM Doc 9734 Part A, C3	Nil.	No FAA question.	3.461	What action does the Licensing Authority take in the event that sufficient evidence exists to demonstrate that a designated medical examiner (DME) has not performed his/her duties in accordance with the prescribed procedures?	1) Review enforcement system and/or procedures. 2) Review evidence to confirm effective implementation of a graduated response system (warnings, sanctions).
3.463		6	Has the State implemented appropriate aviation-related health promotion for licence holders subject to a medical assessment?	STD A1 1.2.4.2 & 1.2.4.3 GM Doc 8984 Part I, C1, par 1.2.16 (safety management) . Doc 9859, C8 & 9	Nil.	No FAA question.	3.463	Has the State implemented appropriate aviation-related health promotion for licence holders subject to a medical assessment?	1) Verify analysis of in-flight incapacitation events and findings during medical assessments. 2) Review list of appropriate topics identified for health promotion. 3) Review evidence to confirm effective implementation, e.g. communication with stakeholders.
3.501	YES	6	If the Licensing Authority develops, conducts and/or corrects its own written and oral examinations for the issuance of all or some licences and ratings by the State, has the State implemented an appropriate and comprehensive system?	GM Doc 9379 Part II, C5	6.601	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.	3.501	If the Licensing Authority develops, conducts and/or corrects its own written and oral examinations for the issuance of all or some licences and ratings by the State, has the State implemented an appropriate and comprehensive system?	1) Check if guidance to examiners on how to prepare examinations has been developed. 2) Check if there are procedures for developing and revising questionnaires: a) By designated examiners b) By using a pool of questions c) By a system for revising and updating questions periodically. 3) Review evidence to confirm implementation for all types of exams organized (pilots, air traffic controllers, aircraft maintenance engineers, as applicable).

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.503	YES	6	If the Licensing Authority issues licences and ratings by using written and oral examinations that it did not develop and/or conduct and/or correct, has the State implemented a system to ensure the consistency and reliability of testing by the designated/delegated organizations or examiners?	GM Doc 9379 Part II, C5	6.601	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. <i>If no, describe by whom and where written examinations for the issuance of licenses and ratings are developed, conducted, and corrected.</i>	3.503	If the Licensing Authority issues licences and ratings by using written and oral examinations that it did not develop and/or conduct and/or correct, has the State implemented a system to ensure the consistency and reliability of testing by the designated/delegated organizations or examiners? 1) For each type of licence issued (pilots, air traffic controllers, aircraft maintenance engineers, as applicable), check if the written and oral exams are developed/conducted/corrected by the Licensing Authority. If not, this PQ is APPLICABLE. 2) Check that there is a formal system implemented concerning delegation for the development/conduct/correction of examinations. 3) Check that there is a system for the surveillance of delegated persons or organizations. 4) This PQ is also APPLICABLE if the State accepts results of examinations taken in a foreign State by its nationals.	
3.505		4	Has the State established appropriate minimum qualification requirements for examiners who prepare questions or assess examinations?	GM Doc 9379 Part II, 5.4	4.101 4.103	4.101 Does the CAA employ Personnel Licensing (PEL) Officers or other PEL staff members to prepare, administer, and evaluate written theoretical knowledge examinations? Yes No If yes, describe the qualifications required for employment eligibility as a CAA PEL Officer or other staff member responsible for conducting written theoretical knowledge examinations. If no, describe the entity responsible for preparation, administrating, and evaluating written theoretical knowledge examinations, and the qualifications required for licensing personnel employment eligibility with the responsible entity. If no, describe the delegation and oversight process of the responsible entity provided by the CAA. 4.103 Does the CAA employ PEL Officers	3.505	Has the State established appropriate minimum qualification requirements for examiners who prepare questions or assess examinations? 1) Verify the document/procedures detailing the knowledge and experience requirement for designation as an examiner for pilots, air traffic controllers, aircraft maintenance engineers, as applicable. 2) This PQ is also APPLICABLE for examiners if some part of the examination process is delegated. 3) Review existing examiner's records to confirm effective implementation.	

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
						<p>or other PEL staff members to prepare, administer and evaluate oral theoretical knowledge examinations? Yes No</p> <p>A) If yes, describe the qualifications required for employment eligibility as a CAA Personnel Licensing (PEL) Officer or other staff member responsible for conducting oral theoretical knowledge examinations.</p> <p>B) If no, describe the entity responsible for preparation, administrating and evaluating oral theoretical knowledge examinations, and the qualifications required for licensing personnel employment eligibility with the responsible entity.</p> <p>C) If no, describe the delegation and oversight process of the responsible entity provided by the CAA.</p>			
3.507		6	Has the State implemented a process for the designation of examiners for written and oral exams?	GM Doc 9379 Part II, 5.4	4.101 (c) 4.103 (c)	<p>4.101 Does the CAA employ Personnel Licensing (PEL) Officers or other PEL staff members to prepare, administer, and evaluate written theoretical knowledge examinations? Yes No</p> <p>A) If yes, describe the qualifications required for employment eligibility as a CAA PEL Officer or other staff member responsible for conducting written theoretical knowledge examinations.</p> <p>B) If no, describe the entity responsible for preparation, administrating, and evaluating written theoretical knowledge examinations, and the qualifications required for licensing personnel employment eligibility with the responsible entity.</p> <p>C) If no, describe the delegation and oversight process of the responsible entity provided by the CAA.</p> <p>4.103 Does the CAA employ PEL Officers or other PEL staff members to prepare, administer and evaluate oral theoretical</p>	3.507	Has the State implemented a process for the designation of examiners for written and oral exams?	<p>1) Review process for the selection, designation and appointment of these examiners for pilots, air traffic controllers, aircraft maintenance engineers, as applicable.</p> <p>2) Review list of examiners, including indication of the specialty of each examiner and the type of exam he/she is authorized to prepare and conduct.</p> <p>3) Check the implementation of the system for their designation (official letter, duration of their designation etc.).</p> <p>4) Review evidence to confirm effective implementation.</p>

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
						<p>knowledge examinations? Yes No</p> <p>A) If yes, describe the qualifications required for employment eligibility as a CAA Personnel Licensing (PEL) Officer or other staff member responsible for conducting oral theoretical knowledge examinations.</p> <p>B) If no, describe the entity responsible for preparation, administrating and evaluating oral theoretical knowledge examinations, and the qualifications required for licensing personnel employment eligibility with the responsible entity.</p> <p>C) If no, describe the delegation and oversight process of the responsible entity provided by the CAA.</p>			
3.601		6	Has the State implemented a comprehensive system for the designation of flight and practical examiners?	GM Doc 9379 Part II, 5.4	4.201 c) &d)	<p>4.201 Does the CAA employ PEL Officers or other PEL staff members to conduct skill tests for the issuance of flight crew licenses and ratings? Yes No</p> <p>A) If yes, describe the qualifications required for employment eligibility as a CAA PEL Officer or other staff member responsible for conducting skill tests for the issuance of flight crew licenses and ratings.</p> <p>B) If yes, describe the qualifications required for employment eligibility as a CAA PEL Officer or other staff member responsible for conducting skill tests for the issuance of flight crew licenses and ratings.</p> <p>C) If no, describe the entity responsible for conducting skill tests for the issuance of flight crew licenses and ratings, and the qualifications required.</p> <p>D) If no, describe the delegation and</p>	3.601	Has the State implemented a comprehensive system for the designation of flight and practical examiners?	<p>1) Verify the rules for the designation and qualifications of practical and flight examiners. (for CAA employed examiners aswell as designated examiners)</p> <p>2) Review procedures for designation.</p> <p>3) Check duration of the designation.</p> <p>4) Review evidence to confirm effective implementation for each examiner type.</p>

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
						oversight process of the responsible entity provided by the CAA.			
3.603		6	Has the Licensing Authority implemented a system to ensure that flight crew meet knowledge and skills requirements specified for issuance of relevant licences and ratings?	GM Doc 9379 Part II, C3, Attachment to C3 5.2, 5.3 5.4	6.402 6.503	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? 6.503 Describe the system used to determine an airman applicant's knowledge and skill abilities prior to issuance of a license.	3.603	Has the Licensing Authority implemented a system to ensure that flight crew meet knowledge and skills requirements specified for issuance of relevant licences and ratings?	1) Review Examination system implemented by the State for flight crew. 2) Verify that the procedures for the designation of flight examiners are systematically implemented. 3) Review evidence to confirm effective implementation.
3.605		7	Has the State implemented a system for the supervision and control of flight and practical test delivery, which ensures consistency and reliability of testing by the designated flight and practical examiners?	GM Doc 9734 Part A, C3 Doc 9379 Part II, C5, 5.3 5.4	6.701 6.902	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. 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.	3.605	Has the State implemented a system for the supervision and control of flight and practical test delivery, which ensures consistency and reliability of testing by the designated flight and practical examiners?	1) Evaluate system for supervision by the authority of the designated flight and practical examiners while performing their examiner functions. 2) Review frequency of surveillance established. (CAA employed or designated examiner) 3) Verify guidance material for examiners and/or post assessment by the Licensing Authority. 4) Review evidence to confirm effective implementation. 5) Applicable also for practical examiners for air traffic controller and aircraft maintenance engineer licences.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.607		4	How does the State ensure the maintenance of qualification and proficiency of flight and practical examiners?	GM Doc 9734 Part A, C3, 3.4 Doc 9379 Part II, 5.4	4.202	4.202 Has the CAA established a training programme for its PEL officers and/or designees responsible for conducting skill tests for the issuance of flight crew licences and ratings? Yes No Describe the programme used to train and maintain qualification/proficiency of PEL officers by the CAA. Describe the programme used to train designated licensing personnel conducting skill tests for the issuance of flight crew licences and ratings. Describe the delegation and oversight process of the designated licensing personnel provided by the CAA to ensure that only properly trained, qualified, and current personnel conduct skill tests for the issuance of flight crew licences and ratings.	3.607	How does the State ensure the maintenance of qualification and proficiency of flight and practical examiners?	1) Verify recurrent training rules for flight and practical examiners. 2) Verify conditions for renewal of designated flight and practical examiners. 3) Verify supervision done by the Licensing Authority. 4) Review evidence to confirm effective implementation.
3.609		8	What action does the Licensing Authority take in the event that sufficient evidence exists to demonstrate that a flight or practical examiner has not performed his/her duties in accordance with the prescribed procedures?	GM Doc 9734 Part A, C3, 3.8 Doc 9379 Part II, C10, 10.4	8007	8.007(A) Has the CAA implemented its procedure if deficiencies are found during an inspection or renewal of the certificate of a designee, delegated persons, or persons employed by a certificate holder while acting on behalf of the CAA? Yes No (B)Is a designee, delegated persons, or persons employed by a certificate holder while acting on behalf of the CAA, required to correct deficiencies in a reasonable period of time? Yes No If yes to (A) and/or (B), provide the specific citation to the relevant regulation, documentation, and any guidance material or practice used in reference to your response.	3.609	What action does the Licensing Authority take in the event that sufficient evidence exists to demonstrate that a flight or practical examiner has not performed his/her duties in accordance with the prescribed procedures?	1) Review specific regulation citations and procedures. 2) Review evidence to confirm effective implementation of a graduated response system and ensure required correction of deficiencies takes place in a reasonable period of time (warnings, sanctions). 3) Applicable also for practical examiners for air traffic controller and aircraft maintenance engineer licences.
3.655	YES	6	Has the State implemented a system for formally evaluating and re-evaluating the ability of:	CC Art. 39b) STD	6702	6.702 Has the system for license applicants (as applicable) to demonstrate their ability to speak and understand the	3.655	Has the State implemented a system for formally evaluating and re-evaluating the ability of:	1) Verify description and references of the system implemented to formally evaluate

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
			<p>a) aeroplane, airship, helicopter and powered-lift pilots, b) flight navigators required to use the radiotelephone, c) air traffic controllers, and d) aeronautical station operators to speak and understand the language used for radiotelephony communications at the level specified in Appendix 1 to Annex 1?</p>	<p>A1 1.2.9.1, 5.1.1.2 5.2.1 (XIII) & Att. A GM Doc 9379 Part II, C6 & Att. A & B Doc 9835</p>		<p>language used for radiotelephony communications been implemented?</p>		<p>a) aeroplane, airship, helicopter and powered-lift pilots, b) flight navigators required to use the radiotelephone, c) air traffic controllers, and d) aeronautical station operators to speak and understand the language used for radiotelephony communications at the level specified in Appendix 1 to Annex 1?</p>	<p>and/or re-evaluate all licence holders concerned by language proficiency requirements.</p> <p>2) Check the system for nominating/designating the person or organization performing the evaluation.</p> <p>3) If the evaluation is done by the authority, check the nomination of the examiners and review the content of the tests.</p> <p>4) If the evaluation is delegated to a person or another organization, check the process to formally designate this person or organization as well as the criteria and the mechanism to ensure that the examiner(s) are qualified.</p> <p>5) Review the contents of the tests.</p> <p>6) Ensure that intervals for re-evaluation conform with ICAO guidance.</p> <p>7) Check implementation of the system for endorsement of language proficiency ratings in licences.</p> <p>a) Check if the date of validity is clearly indicated on the licence.</p> <p>b) If the licence holder has been assessed at Level 4 or higher in English and another language, it should also be indicated on the licence.</p> <p>c) If a licence holder has failed to demonstrate a language proficiency of at least ICAO Operational Level (Level 4), it should also be clearly indicated on the licence.</p>

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.657	YES	7	Does the State ensure that the process and quality of the language proficiency system conform with the provisions of Annex 1 and related guidance materials?	STD & RP A1 1.2.9 GM Doc 9379 Part II, C6 Doc 9835	None or same 6.702	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?	3.657	Does the State ensure that the process and quality of the language proficiency system conform with the provisions of Annex 1 and related guidance materials?	Verify that regulations have been promulgated and related guidance have been implemented for the following, as applicable: a) Aeroplane, airship, helicopter and powered-lift pilots b) Flight navigators required to use the radiotelephone on board an aircraft c) Air traffic controllers (ATCOs) d) Aeronautical station operators e) Flight engineers f) Glider pilots g) Free balloon pilots.
3.701	YES	6	Does the State: a) maintain a personal file for each applicant and licence holder, which contains all correspondence, applications, assessments, examination results and other licensing documentation; and b) ensure that the contents of the applicant's file provide a progressive history of the applicant's qualifications and the current status of the application?	GM Doc 9379 Part I, 2.8, Part II C4, Att	6801	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?	3.701	Does the State: a) maintain a personal file for each applicant and licence holder, which contains all correspondence, applications, assessments, examination results and other licensing documentation; and b) ensure that the contents of the applicant's file provide a progressive history of the applicant's qualifications and the current status of the application?	1) Evaluate filing system. 2) Review filing procedures to confirm effective implementation.
3.703		6	Has the State implemented a system: a) to ensure confidentiality and security of individual records; and b) for closing and archiving personal files and records?	GM Doc 9379 Part I, 2.8, Part II C4, Att	6801	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?	3.703	Has the State implemented a system: a) to ensure confidentiality and security of individual records; and b) for closing and archiving personal files and records? c) ensure that only authorized individuals have access to those records?	1) Review filing procedures. 2) Evaluate system for maintaining confidentiality and control of access.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.751	YES	6	Has the State implemented procedures for the approval of aviation training organizations (TOs)?	STD A1 1.2.8 & App. 2 GM Doc 9379 Part II, 7.3,7.4 Doc 9841	6901	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.	3.751	a) Has the State implemented procedures for the approval of aviation training organizations (TOs) in accordance with ICAO Annex 1 Appendix 2? b) Do the implemented procedures ensure compliance of the applicant to ICAO Annex 1 Appendix 2?	1) Check procedures for approval of domestic and foreign TOs. 2) Check if procedures cover required pilot TOs, air traffic controller and also maintenance TOs, as needed. 3) Check training organization administered by authority, if applicable. 4) Check if the procedures also cover, among others, the approval of training programmes, review of the content of the training and procedures manual, quality assurance system, qualification of synthetic training devices.
3.753	YES	6	Has the State implemented a system to ensure the qualification and competency of the instructors of domestic approved training organizations (TOs)?	STD A1 1.2.8 & App. 2 GM Doc 9379 Part II, 7.3 & 7.4	As part of 6.901	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.	3.753	Has the State implemented a system to ensure the qualification and competency of the instructors of domestic approved training organizations (TOs)?	1) Review evidence to confirm implementation of the State's procedures to ensure the qualifications and competence of the instructional personnel of domestic TOs (for pilots, air traffic controllers, aircraft maintenance engineers, as applicable). 2) Check TOs administered by authority, if applicable.
3.755		7	If aviation training organizations (TOs) conduct examinations and testing on behalf of the Licensing Authority, has the Licensing Authority implemented a system to ensure proper surveillance of delegated tasks?	STD A1 1.2.8 GM Doc 9379 7.4, 7.6 Doc 9734 Part A, C3, 3.7	6.902	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.	3.755	If aviation training organizations (TOs) conduct examinations and testing on behalf of the Licensing Authority, has the Licensing Authority implemented a system to ensure control, supervision and proper surveillance of the ATO and delegated tasks?	1) Review legal basis of delegation and agreement between the Licensing Authority and TOs. 2) Review the methods used to prevent conflict of interest within the domestic and foreign TOs for pilots, air traffic controllers, aircraft maintenance engineers, as applicable. 3) Review effective implementation of the system used for the qualification and oversight of examiners as part of the TO approval package.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.761		6	Does the State issue a training organization's (TO) approval document, which is comprehensive and contains at least the TO's name and location, the date of issue and period of validity (where appropriate) and terms of approval?	STD A1 1.2.8 & App. 2 Doc 9379 Part II, 7.4.1.2	none		3.761	Does the State issue a training organization's (TO) approval document, which is comprehensive and contains at least the TO's name and location, the date of issue and period of validity (where appropriate) and terms of approval?	Verify approval certificate of domestic TO for pilots, air traffic controllers, aircraft maintenance engineers, as applicable.
3.763	YES	6	Does the State ensure that the approved training organization (TO) develops and publishes a training and procedures manual for the use of personnel concerned, the content of which conforms to Annex 1, Appendix 2?	STD A1 1.2.8 & App. 2 GM Doc 9841 C3 & App. A	none		3.763	Does the State ensure that the approved training organization (TO) develops and publishes a training and procedures manual for the use of personnel concerned, the content of which conforms to Annex 1, Appendix 2?	1) Review implementation of procedure or guidelines with respect to the content of the training and procedures manual for pilots, air traffic controllers, aircraft maintenance engineers, as applicable. 2) Check if the manuals of TOs are reviewed by the authority. 3) Review some of the manuals to confirm effective implementation.
3.765	YES	6	Does the process of issuing an approval to a training organization (TO) take into account pertinent aspects related to facilities, equipment, key personnel and organization, as contained in Annex 1 Appendix 2?	STD A1 1.2.8 & App. 2 GM Doc 9625 Doc 9379 Part II, C7	6901	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.	3.765	Does the process of issuing an approval to a training organization (TO) take into account pertinent aspects related to facilities, equipment, key personnel and organization, as contained in Annex 1 Appendix 2?	1) Check the implementation of the procedure for approval of TOs for pilots, air traffic controllers, aircraft maintenance engineers, as applicable. 2) Review evidence to confirm effective implementation. 3) Check if the authority reviews each of the following points: a) Facilities, working environment and installations (information, equipment, training devices and material); b) Qualification of synthetic training devices in accordance with State's regulations (Doc 9625); c) Key personnel (including instructors and examiners); d) Training records; e) Evaluation and checking; and f) Quality management system.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.767		7	Does the State implement an effective surveillance programme of the approved training organizations (TOs) to ensure continuing compliance with the approval regulations and document?	STD A1 1.2.8 & App. 2 GM Doc 9379 Part II, 7.4, 7.6, 10.3 & 10.4 Doc 9841 C2 & C10 C9	7501	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.	3.767	a) Does the State implement an effective surveillance programme of the approved training organizations (TOs) or AOC in-house training departments to ensure continuing compliance with the approval regulations and document? b) Is a formal schedule established for conducting these audits?	1) Evaluate procedures for conduct of surveillance programme of domestic and foreign approved TOs for pilots, air traffic controllers, aircraft maintenance engineers, as applicable. 2) Review methods of oversight. 3) Review surveillance programme of previous year. 4) Confirm appropriate frequency of inspections (planned or random inspections).
3.769		8	What action does the Licensing Authority take in the event that sufficient evidence exists to demonstrate that a training organization has not performed its function according to its procedures manual?	GM Doc 9379 Part II, C10 Doc 9841 C9 Doc 8335, Part IV, C3 Doc 9760, Part II 4.4 g), 4.7.4 Part III, 1.2 t) & u), Part IV I)	8.001 8.002	8.001(A) Has the CAA implemented its procedure if deficiencies are found during inspection of the Civil Aviation Authority (CAA) certificated air operators certificate (AOC) holder, approved maintenance organisation (AMO), or approved training organisation (ATO)? Yes No B) Is the CAA-certificated AOC holder, AMO, or ATO required to correct deficiencies in a reasonable period of time? Yes No If yes to (A) and/or (B), provide the specific citation to the relevant regulation, documentation, and any guidance material or practice used in reference to your response. 8.002 Has the CAA implemented its procedure if CAA-certificated AOC holder, AMO, or ATO does not correct deficiencies in a reasonable period of time. Provide the specific citation to the relevant regulation, documentation, and any guidance material or practice used in reference to your response.	3.769	What action does the Licensing Authority take in the event that sufficient evidence exists to demonstrate that a training organization or AOC or AMO in-house training department has not performed its function according to its procedures manual?	1) Review enforcement system and/or procedures for domestic and foreign TOs for pilots, air traffic controllers, aircraft maintenance engineers, as applicable. 2) Review evidence to confirm effective implementation. 3) Review if deficiencies are corrected in a reasonable period of time

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.771	YES	6	If the State authorizes foreign training organizations (TOs) to provide approved training to its licence holders for the issuance of a related licence and/or ratings, does it implement a system for the approval of foreign TOs?	STD A1 1.2.8 GM Doc 9379 Part II, 7.4.2 Doc 9841 C9, C12, C11	6.903 6.904	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)? 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.	3.771	If the State authorizes foreign training organizations (TOs) to provide approved training to its licence holders for the issuance of a related licence and/or ratings, does it implement a system for the approval of foreign TOs?	1) Review list of foreign TOs which provide training to the State's licence holders for pilots, air traffic controllers, aircraft maintenance engineers, as applicable. 2) If the State authorizes foreign TOs, verify if the State applies the same system of approval as used for TOs based in its State or does it implement a process of validation/acceptance of the approval issued by the foreign authority. Check if the same procedure used for domestic TOs is applied. 3) If there are different procedures for foreign TOs, check the validation system and the supplementary conditions established by the State for this validation (e.g. ensure the oversight capabilities of the State which issues the original approval, ask copies of the approvals for the TO and simulators, request the approved training programme to be followed by its nationals, check which examiners are used, their qualification and how oversight is conducted etc.). 4) Review evidence to confirm implementation.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.772	YES	6	Does the State implement a process to approve training programmes related to the first issuance of licences and ratings?	STD A1 1.2.8 & App. 2 GM Doc 9841 Doc 9379 Part II, C7	6.903	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)?	3.772	Does the State implement a process to approve training programmes related to the first issuance of licences and ratings?	1) Check the implementation of process for approval of training programme (in domestic or foreign TOs) for pilots, air traffic controllers, aircraft maintenance engineers, as applicable. 2) Review evidence to confirm effective implementation. 3) Check that all amendments to training programmes are approved by the authority.
3.801		2	Has the State promulgated regulations for training or licensing, as applicable, of aircraft maintenance technicians, engineers and mechanics?	STD A1 4.2	2.004 (c)	2.004 Describe the regulations for the issuance/conversion/validation of the following types of licenses: A) Pilot (commercial air transport operations) B) Foreign pilot C) Aircraft maintenance (technician/engineer/mechanic) D) Flight operations officer/flight dispatcher Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.	3.801	Has the State promulgated regulations for training or licensing, as applicable, of aircraft maintenance technicians, engineers and mechanics?	verify relevant statute, regulation, and any guidance material used
3.803		2	Do the regulations specify the conditions to be observed in exercising the privileges of an aircraft maintenance technician/engineer/mechanic licence?	STD A1 4.2	2.003 (b)	2.003 Describe the regulations that ensure that the privileges granted by a license, or by related ratings, are not exercised unless the holder maintains competency and meets the requirements for: A) Pilot and other members of the operating crew (including recent experience) B) Aircraft maintenance (technician/engineer/mechanic) C) Flight operations officer/flight dispatcher	3.803	Do the regulations specify the conditions to be observed in exercising the privileges of an aircraft maintenance technician/engineer/mechanic licence?	verify relevant statute, regulation, and any guidance material used

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
						Provide the specific citation to the relevant statute, regulation, and any guidance material used in reference to your response.			
3.805	YES	6	Has the State implemented a process for the systematic review and validation of application forms from aircraft maintenance technicians/engineers/mechanics for the issuance, renewal, validation and extension of licences and ratings?	GM Doc 9760	6.2602 6.401 6.501	<p>6.2602 Does the CAA issue aircraft maintenance engineer licences?</p> <p>Yes No</p> <p>If no, describe how the CAA ensures certifying staff are properly qualified.</p> <p>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:</p> <p>(1) direct issuance</p> <p>(2) conversion</p> <p>(3) validation</p> <p>6.501 Are personnel licenses and ratings issued by the CAA of the:</p> <p>A) expiring type Yes No</p> <p>B) continuing type (do not expire) Yes No</p> <p>If yes to A), describe the system for renewal of the license and the validity period.</p> <p>If yes to B), describe the method used to maintain the validity of the license.</p>	3.805	Has the State implemented a process for the systematic review and validation of application forms from aircraft maintenance technicians/engineers/mechanics for the issuance, renewal, validation and extension of licences and ratings?	1) Review implementation of the process and procedures. 2) Sample files to confirm implementation.
3.807		5	Have procedures been established to ensure that aircraft maintenance technicians/engineers/mechanics meet the conditions/qualifications for the type of licence applied for?	STD A1 4.2	6.402	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?	3.807	Have procedures been established to ensure that aircraft maintenance technicians/engineers/mechanics meet the conditions/qualifications for the type of licence applied for?	Review procedures to ensure they cover the validation of skills.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.809		6	Does the State prescribe on the licence or in a separate document the scope of the privileges of the aircraft maintenance technician/engineer/mechanic licence holder in terms of the complexity of the tasks related to the certification?	STD A1 4.2	6.501	6.501 Are personnel licenses and ratings issued by the CAA of the: A) expiring type Yes No B) 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.	3.809	Does the State prescribe on the licence or in a separate document the scope of the privileges of the aircraft maintenance technician/engineer/mechanic licence holder in terms of the complexity of the tasks related to the certification?	1) Review scope of privileges. 2) Verify the complexity of tasks taken into consideration. 3) Sample files to confirm implementation.
3.811		7	Has the authority implemented a surveillance system of the aircraft maintenance technician/engineer/mechanic licences issued?	GM Doc 9734 Part A, C3 Doc 9379 Part II, C10	7.001	7.001 Describe the CAA's oversight of their surveillance system that has been implemented as it pertains to the following elements: a) 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) b) 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) c) State Safety Oversight System And Functions (STD A6, Pt I, 4.2.1.8, and App 5, 3.) d) Qualified Technical Personnel (A6, Pt I, 4.2.1.8, and App 5, 4; Doc 9734, Pt A, C3.4) e) 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) f) Certification Obligations (A6, Pt I, 4.2.1.8, and App 5, 6; Doc 9734, Pt A, C3.6.) g) Continued Surveillance Obligations (A6, Pt I, 4.2.1.8, and App 5, 7; Doc 9734, Pt A, C3.7) h) Resolution Of Safety Issues (A6, Pt I, 4.2.1.8, and App 5, 8; Doc 9734, Pt A, 3.8.)	3.811	Has the authority implemented a surveillance system of the aircraft maintenance technician/engineer/mechanic licences issued?	1) Review the establishment of the surveillance process. 2) Review evidence to confirm effective implementation.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
						Provide the specific citation to the relevant regulation, documentation, and any guidance material or practice used in reference to your response.			
3.813		8	What action does the Licensing Authority take in the event that sufficient evidence exists to demonstrate that an aircraft maintenance technician/engineer/mechanic has not performed his/her duties in accordance with the prescribed procedures and privileges of his/her licence?	GM Doc 9734 Part A, C3 Doc 9379 Part II, 10.4	8.003	8.003(A) Has the CAA implemented its procedure if deficiencies are found during inspection of licensed individuals/certificated persons? Yes No B) Are licensed individuals/certificated persons required to correct deficiencies in a reasonable period of time? Yes No If yes to (A) and/or (B), provide the specific citation to the relevant regulation, documentation, and any guidance material or practice used in reference to your response.	3.813	What action does the Licensing Authority take in the event that sufficient evidence exists to demonstrate that an aircraft maintenance technician/engineer/mechanic has not performed his/her duties in accordance with the prescribed procedures and privileges of his/her licence?	1) Review relevant regulation and specific citation related to deficiencies of licenced individuals/certificated persons. 2)Review enforcement system or procedures. 3) Review if licenced individuals/certificated persons are required to correct deficiencies in a reasonable period of time. 4)Review evidence to confirm effective implementation.
3.851		2	Has the State promulgated regulations for training or licensing, as applicable, of air traffic controllers?	STD A1 4.3, 4.4 & 4.5	2.001	2.001 (A) Describe the national aviation regulations the State has adopted, or developed and promulgated to enable the State to implement the provisions of Annexes 1, 6, and 8. (B) What is the formal title of the regulations and when were they promulgated? List all the aviation regulations related to personnel licensing, aircraft operations, and airworthiness in your response.	3.851	Has the State promulgated regulations for training or licensing, as applicable, of air traffic controllers?	Verify regulations for training or licensing, as applicable, of air traffic controllers.
3.853		5	Have procedures been established: • for the issuance of air traffic controller licence and ratings; and/or • to ensure that knowledge, experience and skill requirements are met by air traffic controllers (ATCOs)?	STD A1 4.3, 4.4 & 4.5	6.401	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	3.853	Have procedures been established: • for the issuance of air traffic controller licence and ratings; and/or • to ensure that knowledge, experience and skill requirements are met by air traffic controllers (ATCOs)?	1) Review issuance procedures. 2) Unlicensed State employees may operate as ATCOs on condition that they meet the same requirements for ATCOs as outlined in Annex 1, 4.4.1. 3) Verify if the licensing process is delegated to an entity or organization outside

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
3.855	YES	6	Has the State implemented a process for the systematic review and validation of applications from air traffic controllers for the issuance, renewal, validation and extension of licences and ratings?	STD A1 4.3, 4.4 & 4.5	6.401	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	3.855	Has the State implemented a process for the systematic review and validation of applications from air traffic controllers for the issuance, renewal, validation and extension of licences and ratings?	1) Review implementation of the process and procedures. 2) Sample files to confirm implementation.
3.857	YES	7	Has the Licensing Authority implemented a surveillance system of air traffic controller licences issued?	GM Doc 9734 Part A, C3 Doc 9379 Part II, C10	7.001	7.001 Describe the CAA's oversight of their surveillance system that has been implemented as it pertains to the following elements: a) 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) b) 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) c) State Safety Oversight System And Functions (STD A6, Pt I, 4.2.1.8, and App 5, 3.) d) Qualified Technical Personnel (A6, Pt I, 4.2.1.8, and App 5, 4; Doc 9734, Pt A, C3.4) e) 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) f) Certification Obligations (A6, Pt I, 4.2.1.8, and App 5, 6; Doc 9734, Pt A, C3.6.) g) Continued Surveillance Obligations (A6, Pt I, 4.2.1.8, and App 5, 7; Doc 9734, Pt A, C3.7) h) 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	3.857	Has the Licensing Authority implemented a surveillance system of air traffic controller licences issued?	Review evidence to confirm effective implementation of the surveillance process.

PQ	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
						relevant regulation, documentation, and any guidance material or practice used in reference to your response.			
3.859		8	What action does the Licensing Authority take in the event that sufficient evidence exists to demonstrate that an air traffic controller has not performed his/her duties in accordance with the prescribed procedures and privileges of his/her licence?	GM Doc 9734 Part A, C3 Doc 9379 Part II, C10	8.003	8.003(A) Has the CAA implemented its procedure if deficiencies are found during inspection of licensed individuals/certificated persons? Yes No B) Are licensed individuals/certificated persons required to correct deficiencies in a reasonable period of time? Yes No If yes to (A) and/or (B), provide the specific citation to the relevant regulation, documentation, and any guidance material or practice used in reference to your response.	3.859	What action does the Licensing Authority take in the event that sufficient evidence exists to demonstrate that an air traffic controller has not performed his/her duties in accordance with the prescribed procedures and privileges of his/her licence?	1) Review relevant regulation and specific citation 2) Review enforcement system or procedures. 3) Review if deficiencies are required to be corrected in a reasonable period of time 4)Review evidence to confirm effective implementation.