**SUBPART GEN. GENERAL REQUIREMENTS**

**Section I. GENERAL**

***GM 1.*  ARA. GEN. 105 Definitions**

The following provides a list of acronyms used throughout this Annex :

( A ) Aeroplane

( H ) Helicopter

A / C Aircraft

ACAS Airborne Collision Avoidance System

AeMC Aero - medical Centre

ALARP as low as reasonably practicable

AMC Acceptable Means of Compliance

AME Aero - medical Examiner

APU Auxiliary Power Unit

ARA Authority Requirements for Aircrew

ATO Approved Training Organization

ATPL Airline Transport Pilot Licence

BITD Basic Instrument Training Device

bpm beats per minute

CAT category

CC Cabin Crew

cm centimetres

CPL Commercial Pilot Licence

CS Certification Specification

CS - FSTD ( A ) Certification Specifications for Aeroplane Flight Simulation Training Devices

CS - FSTD ( H ) Certification Specifications for Helicopter Flight Simulation Training Devices

dB decibel

DH Decision Height

DPATO Defined Point After Take-off

DPBL Decision Point Before Landing

EC European Community

ECG electrocardiogram

ENT ear, nose and throat

EOG electro - oculography

ETOPS Extended Range Operations with Twin - engined Aeroplanes

FANS Future Air Navigation System

FD Flight Director

FEV1 forced expiratory volume in 1 second

FFS Full Flight Simulator

FMECA failure mode, effects and criticality analysis

FMGC Flight Management and Guidance Computer

FMS Flight Management System

FNPT Flight Navigation and Procedures Trainer

FSTD Flight Simulation Training Device

FTD Flight Training Device

FTE Full Time Equivalent

ft feet

FVC forced vital capacity

GM Guidance Material

GPS Global Positioning System

HF Human Factors

Hg mercury

HUD / HUGS Head - up Display / Head - up Guidance System

Hz Herz

IATA International Air Transport Association

ICAO International Civil Aviation Organization

IGE in ground effect

ILS Instrument Landing System

IOS Instructor Operating Station

IR Implementing Rule

IR Instrument Rating

kg kilogram

LDP Landing Decision Point

LVTO Low Visibility Take - off

m metre

mm millimetre

OGE out of ground effect

ORA Organization Requirements for Aircrew

ORO Organization Requirements for Air Operations

OSD operational suitability data

QTG qualification test guide

POM proof of match

ROD Rate of Descent

RVR Runway Visual Range

TDP Take-off Decision Point

VDR validation data roadmap

***AMC 1.* ARA. GEN. 120 ( d )( 3 ) Means of Compliance**

*GENERL*

The information to be provided to other Member States following approval of an alternative means of compliance should contain a reference to the Acceptable Means of Compliance ( AMC ) to which such means of compliance provides an alternative, as well as a reference to the corresponding Implementing Rule, indicating as applicable the subparagraph(s) covered by the alternative means of compliance.

***GM 1.* ARA. GEN. 120 Means of Compliance**

*GENERL*

Alternative means of compliance used by a competent authority or by organizations under its oversight may be used by other competent authorities or organizations only if processed again in accordance with ARA.GEN.120 ( d ) and ( e ).

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**Section II. MANAGEMENT**

***AMC 1.* ARA. GEN. 200 ( a ) Management System**

*GENERAL*

a ) All of the following should be considered when deciding upon the required organizational structure :

1 ) the number of certificates, attestations, authorizations and approvals to be issued ;

2 ) the number of certified persons and organizations exercising an activity within that

Member State, including persons or organizations certified by other competent

authorities ;

3 ) the possible use of qualified entities and of resources of other competent authorities to fulfill the continuing oversight obligations ;

4 ) the level of civil aviation activity in terms of :

( i ) number and complexity of aircraft operated ;

( ii ) size and complexity of the Member State’s aviation industry ;

5 ) the potential growth of activities in the field of civil aviation.

b ) The set-up of the organizational structure should ensure that the various tasks and obligations of the competent authority do not rely solely on individuals. A continuous and undisturbed fulfillment of these tasks and obligations of the competent authority should also be guaranteed in case of illness, accident or leave of individual employees.

***GM 1.* ARA. GEN. 200 ( a ) Management System**

*GENERAL*

***a )*** The competent authority designated by each Member State should be organized in such a way that :

1 ) there is specific and effective management authority in the conduct of all relevant activities ;

2 ) the functions and processes described in the applicable requirements of CR - EC N o 216 / 20081 and its Implementing Rules and AMCs, Certification Specifications ( CSs ) and Guidance Material ( GM ) may be properly implemented ;

3 ) the competent authority’s organization and operating procedures for the implementation of the applicable requirements of CR-EC No 216 / 2008 and its Implementing Rules are properly documented and applied ;

4 ) all competent authority personnel involved in the related activities are provided with training where necessary ;

5 ) specific and effective provision is made for the communication and interface as necessary with the EASA and the competent authorities of other Member States ; *and*

6 ) all functions related to implementing the applicable requirements are adequately described.

***b )*** A general policy in respect of activities related to the applicable requirements of CR-EC No 216 / 2008 and its Implementing Rules should be developed, promoted and implemented by the manager at the highest appropriate level ; for example the manager at the top of the functional area of the competent authority that is responsible for such activities.

***c )*** Appropriate steps should be taken to ensure that the policy is known and understood by all personnel involved, and all necessary steps should be taken to implement and maintain the policy ;

***d )*** The general policy, whilst also satisfying additional national regulatory responsibilities, should in particular take into account :

1 ) the provisions of CR-EC No 216 / 2008 ;

2 ) the provisions of the applicable Implementing Rules and their AMCs, CSs and GM ;

3 ) the needs of industry ; *and*

4 ) the needs of the EASA and of the competent authority.

***e )*** The policy should define specific objectives for key elements of the organization and processes for implementing related activities, including the corresponding control procedures and the measurement of the achieved standard.

**1** *CR-EC No 216 / 2008 of the European Parliament and of the Council of 20 February 2008 on common*

*rules in the field of civil aviation and establishing a EASA, and repealing Council Directive 91 / 670 / EEC,*

*CR-EC No 1592 / 2002 and CD 2004 / 36 / EC.*

*OJ L 79, 19. 3. 2008, p. 1.*

***AMC 1.* ARA. GEN. 200 ( a )( 1 ) Management System**

*DOCUMENTED POLICIES and PROCEDURES*

a ) The various elements of the organization involved with the activities related to CR-EC No 216 / 2008 and its Implementing Rules should be documented in order to establish a reference source for the establishment and maintenance of this organization ;

b ) The documented procedures should be established in a way that facilitates their use. They should be clearly identified, kept up-to-date and made readily available to all personnel involved in the related activities ;

c ) The documented procedures should cover, as a minimum, all of the following aspects :

1 ) policy and objectives ;

2 ) organizational structure ;

3 ) responsibilities and associated authority ;

4 ) procedures and processes ;

5 ) internal and external interfaces ;

6 ) internal control procedures ;

7 ) training of personnel ;

8 ) cross - references to associated documents ;

9 ) assistance from other competent authorities or the EASA *( where required ).*

d ) It is likely that the information is held in more than one document or series of documents, and suitable cross-referencing should be provided. For example, organizational structure and job descriptions are not usually in the same documentation as the detailed working procedures. In such cases it is recommended that the documented procedures include an index of cross-references to all such other related information, and the related documentation should be readily available when required.

***AMC 1.* ARA. GEN. 200 ( a )( 2 ) Management System**

*QUALIFICATION and TRAINING - GENERAL*

a ) The GDCA should ensure appropriate and adequate training of its personnel to meet the standard that is considered necessary to perform the work. To ensure personnel remain qualified, arrangements should be made for initial and recurrent training as required ;

b ) The basic capability of the GDCA personnel is a matter of recruitment and normal management functions in selection of personnel for particular duties. Moreover, the GDCA should provide training in the basic skills as required for those duties. However, to avoid differences in understanding and interpretation, all personnel should be provided with further training specifically related to CR-EC No 216 / 2008, its Implementing Rules and related AMC’s, CS’s and GM, as well as related to the assessment of alternative means of compliance ;

c ) The GDCA may provide training through its own training organization with qualified trainers or through another qualified training source ;

d ) When training is not provided through an internal training organization, adequately experienced and qualified persons may act as trainers, provided their training skills have been assessed. If required, an individual training plan should be established covering specific training skills. Records should be kept of such training and of the assessment, as appropriate.

***AMC 2.* ARA. GEN. 200 ( a )( 2 ) Management System**

*QUALIFICATION and TRAINING - INSPECTORS*

***a )*** *Initial Training Programme :*

The initial training programme for inspectors should include, as appropriate to their role, current knowledge, experience and skills in at least all of the following :

1 ) aviation legislation organization and structure ;

2 ) the Chicago Convention, relevant ICAO Annexes and Documents ;

3 ) the applicable requirements and procedures ;

4 ) management systems, including auditing, risk assessment and reporting techniques ;

5 ) human factors principles ;

6 ) rights and obligations of inspecting personnel of the GDCA ;

7 ) “ on - the - job “ training ;

8 ) suitable technical training appropriate to the role and tasks of the inspector,

in particular for those areas requiring approvals.

***b )*** *Recurrent Training Programme :*

The recurrent training programme should reflect, at least, changes in aviation legislation and industry. The programme should also cover the specific needs of the inspectors and the GDCA.

***GM 1.* ARA. GEN. 200 ( a )( 2 ) Management System**

*SUFFICIENT PERSONNEL*

***a )*** This GM on the determination of the required personnel is limited to the performance of certification and oversight tasks, excluding personnel required to perform tasks subject to any national regulatory requirements ;

***b )*** The elements to be considered when determining required personnel and planning their availability may be divided into quantitative and qualitative elements :

*1 ) Quantitative elements :*

( i ) the estimated number of initial certificates to be issued ;

( ii ) the number of organizations certified by the GDCA ;

( iii ) the number of persons to whom the GDCA has issued a licence, certificate, rating, authorization or attestation ;

( iv ) the estimated number of persons and organizations exercising their activity within the territory of the State and established or residing in another EU Member State.

*2 ) Qualitative elements :*

( i ) the size, nature and complexity of activities of certified organizations and FSTD qualification certificate holders ( cf. AMC 1. ORA.GEN.200 ( b ) ), taking into account :

(A) privileges of the organization ;

(B) type of approval, scope of approval, multiple certification ;

(C) possible certification to industry standards ;

(D) types of aircraft / flight simulation training devices ( FSTDs ) operated ;

(E) number of personnel ; *and*

(F) organizational structure, existence of subsidiaries ;

( ii ) the safety priorities identified ;

( iii ) the results of past oversight activities, including audits, inspections and reviews, in terms of risks and regulatory compliance, taking into account :

(A) number and level of findings ;

(B) timeframe for implementation of corrective actions ; *and*

(C) maturity of management systems implemented by organizations and their ability to effectively manage safety risks, taking into account also information provided by other competent authorities related to activities in the territory of the States concerned ;

( iv ) the size and complexity of the State’s aviation industry and the potential growth of activities in the field of civil aviation, which may be an indication of the number of new applications and changes to existing certificates to be expected.

***c )*** Based on existing data from previous oversight planning cycles and taking into account the situation within State’s aviation industry, the GDCA may estimate :

1 ) the standard working time required for processing applications for new certificates

*( for persons, organizations and FSTD qualification ) ;*

2 ) the number of new certificates to be issued for each planning period ; *and*

3 ) the number of changes to existing certificates to be processed for each planning period.

***d )*** In line with the GDCA oversight policy, the following planning data should be determined specifically for each type of organization certified by the GDCA ( ( ATO ) approved training organization and aero-medical centres ( AeMC )) and for FSTD qualification certificate holders :

1 ) standard number of audits to be performed per oversight planning cycle ;

2 ) standard duration of each audit ;

3 ) standard working time for audit preparation, on-site audit, reporting and follow-up, per inspector ;

4 ) standard number of ramp and unannounced inspections to be performed ;

5 ) standard duration of inspections, including preparation, reporting and follow-up, per inspector ;

6 ) minimum number and required qualification of inspectors for each audit / inspection.

***e )*** Standard working time could be expressed either in working hours per inspector or in working days per inspector. All planning calculations should then be based on the same

unit *( hours or working days )* ;

***f )*** It is recommended to use a spreadsheet application to process data defined under *( c )*  and *( d ),* to assist in determining the total number of working hours / days per oversight planning cycle required for certification, oversight and enforcement activities. This application could also serve as a basis for implementing a system for planning the availability of personnel ;

***g )*** For each type of organization certified by the GDCA and for FSTD qualification certificate holders the number of working hours / days per planning period for each qualified inspector that may be allocated for certification, oversight and enforcement activities should be determined, taking into account :

1 ) purely administrative tasks not directly related to oversight and certification ;

2 ) training ;

3 ) participation in other projects ;

4 ) planned absence ; *and*

5 ) the need to include a reserve for unplanned tasks or unforeseeable events.

***h )*** The determination of working time available for certification, oversight and enforcement activities should also consider :

1 ) the possible use of qualified entities ; *and*

2 ) possible cooperation with other competent authorities for approvals involving more than one Member State.

***i )*** Based on the elements listed above, the GDCA should be able to :

1 ) monitor dates when audits and inspections are due and when they have been carried out ;

2 ) implement a system to plan the availability of personnel ; *and*

3 ) identify possible gaps between the number and qualification of personnel and the required volume of certification and oversight.

Care should be taken to keep planning data up-to-date in line with changes in the underlying planning assumptions, with particular focus on risk-based oversight principles.

***AMC 1.*  ARA. GEN. 210 ( d ) Management System**

*PROCEDURES AVAILABLE to the AGENCY*

a ) Copies of the procedures related to the competent authority’s management system and their amendments to be made available to the Agency for the purpose of standardization should provide at least the following information :

1 ) Regarding continuing oversight functions undertaken by the competent authority, the competent authority’s organizational structure with description of the main processes. This information should demonstrate the allocation of responsibilities within the competent authority, and that the competent authority is capable of carrying out the full range of tasks regarding the size and complexity of the Member State’s aviation industry. It should also consider overall proficiency and authorization scope of competent authority personnel ;

2 ) For personnel involved in oversight activities, the minimum professional qualification requirements and experience and principles guiding appointment ( e. g. assessment ) ;

3 ) How the following are carried out : assessing applications and evaluating compliance, issuance of certificates, performance of continuing oversight, follow-up of findings, enforcement measures and resolution of safety concerns ;

4 ) Principles of managing exemptions and derogations ;

5 ) Processes in place to disseminate applicable safety information for timely reaction to a safety problem ;

6 ) Criteria for planning continuing oversight *( oversight programme ),* including adequate management of interfaces when conducting continuing oversight *( air operations, flight crew licensing, continuing airworthiness management for example ) ;*

7 ) Outline of the initial training of newly recruited oversight personnel *( taking future activities into account ),* and the basic framework for continuation training of oversight personnel.

b ) As part of the continuous monitoring of a competent authority, the Agency may request details of the working methods used, in addition to the copy of the procedures of the competent authority’s management system *( and amendments ).* These additional details are the procedures and related guidance material describing working methods for competent authority personnel conducting oversight ;

c ) Information related to the competent authority’s management system may be submitted

in electronic format.

***GM 1.* ARA. GEN. 205 Allocation of Tasks to Qualified Entities**

*CERTIFICATION TASKS*

The tasks that may be performed by a qualified entity on behalf of the GDCA include those related to the initial certification and continuing oversight of persons and organizations as defined in this Regulation, with the exclusion of the issuance of certificates, licences, ratings or approvals.

***AMC 1.* ARA. GEN. 220 ( a ) Record - keeping**

*GENERAL*

a ) The record-keeping system should ensure that all records are accessible whenever needed within a reasonable time. These records should be organized in a way that ensures traceability and retrievability throughout the required retention period ;

b ) Records should be kept in paper form or in electronic format or a combination of both media. Records stored on microfilm or optical disc form are also acceptable. The records should remain legible and accessible throughout the required retention period. The retention period starts when the record has been created ;

c ) Paper systems should use robust material, which can withstand normal handling and filing. Computer systems should have at least one backup system, which should be updated within 24 hours of any new entry. Computer systems should include safeguards against unauthorized alteration of data ;

d ) All computer hardware used to ensure data backup should be stored in a different location from that containing the working data and in an environment that ensures they remain in good condition. When hardware - or software-changes take place, special care should be taken that all necessary data continue to be accessible at least through the full period specified in the relevant Subpart or by default in ARA.GEN.220 ( c ).

***AMC 1.* ARA. GEN. 220 ( a )( 1 ) ; ( 2 ) ; ( 3 ) Record - keeping**

*COMPETENT AUTHORITY MANAGEMENT SYSTEM*

Records related to the GDCA management system should include, as a minimum and as applicable :

a ) the documented policies and procedures ;

b ) the personnel files of GDCA personnel, with supporting documents related to training and qualifications ;

c ) the results of the GDCA internal audit and safety risk management processes, including audit findings and corrective actions ; *and*

d ) the contract(s) established with qualified entities performing certification or oversight tasks on behalf of the GDCA.

***AMC 1.* ARA. GEN. 220 ( a )( 4 ) Record - keeping**

*ORGANIZATIONS*

Records related to an organization certified by the GDCA should include, as appropriate to the type of organization :

a ) the application for an organization approval ;

b ) the documentation based on which the approval has been granted and any amendments to that documentation ;

c ) the organization approval certificate including any changes ;

d ) a copy of the continuing oversight programme listing the dates when audits are due and when such audits were carried out ;

e ) continuing oversight records including all audit and inspection records ;

f ) copies of all relevant correspondence ;

g ) details of any exemption and enforcement actions ;

h ) any report from other competent authorities relating to the oversight of the organization ;

i ) a copy of any other document approved by the GDCA.

***GM 1.* ARA. GEN. 220 ( a )( 4 ) Record - keeping**

*ORGANIZATIONS - DOCUMENTATION*

Documentation to be kept as records in support of the approval include the management system documentation, including any technical manuals, such as the Operations Manual, and Training Manual, that have been submitted with the initial application, and any amendments to these documents.

***AMC 1.* ARA. GEN. 220 ( a )( 5 ) Record - keeping**

*PERSONS*

Records related to personnel licences, certificates, ratings, authorizations or attestations issued by the GDCA should include, as a minimum :

a ) the application for a licence, certificate, rating, authorization or attestation or change to a licence, certificate, rating, authorization or attestation ;

b ) documentation in support of the application for a licence, certificate, rating, authorization or attestation or change to a licence, certificate, rating, authorization or attestation, covering as applicable :

1 ) theoretical examination(s) ;

2 ) skill test(s) ;

3 ) proficiency check(s) ; *and*

4 ) certificates attesting required experience.

c ) a copy of the licence or certificate including any changes ;

d ) all relevant correspondence or copies thereof ;

e ) details of any exemption ;

f ) details of any enforcement action(s) ; *and*

g ) any report from other competent authorities relating to personnel licences, certificates, ratings, authorizations or attestations issued by the competent authority.

***AMC 1.* ARA. GEN. 220 ( a )( 7 ) Record - keeping**

*ACTIVITIES PERFORMED in the TERRITORY of a MEMBER STATE by PERSONS or ORGANISATIONS ESTABLISHED or RESIDING in ANOTHER MEMBER STATE*

a ) Records related to the oversight of activities performed in the territory of a Member State by persons or organizations established or residing in another Member State should include, as a minimum :

1 ) oversight records including all audit and inspection records and related correspondence ;

2 ) copies of all relevant correspondence to exchange information with other competent authorities relating to the oversight of such persons / organizations ;

3 ) details of any enforcement measures and penalties ; *and*

4 ) any report from other competent authorities relating to the oversight of these persons / organizations, including any notification of evidence showing non- compliance with the applicable requirements.

b ) Records should be kept by the competent authority having performed the audit or inspection and should be made available to other competent authorities at least in the following cases :

1 ) serious incidents or accidents ;

2 ) findings through the oversight programme where organizations certified by another competent authority are involved, to determine the root cause ;

3 ) an organization being certified or having approvals in several Member States.

c ) When records are requested by another competent authority, the reason for the request should be clearly stated ;

d ) The records can be made available by sending a copy or by allowing access to them for consultation.

***GM 1.* ARA. GEN. 220 Record - keeping**

*GENERAL*

Records are required to document results achieved or to provide evidence of activities performed. Records become factual when recorded. Therefore, they are not subject to version control. Even when a new record is produced covering the same issue, the previous record remains valid.

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**Section III. Oversight, Certification and Enforcement**

***AMC 1.* ARA. GEN. 300 ( a ) ; ( b ) ; ( c ) Oversight**

*EVALUATION of APPROVED TRAINING ORGANISATIONS*

*OPERATIONAL SAFETY RISK ASSESSMENT*

As part of the initial certification or the continuing oversight of an ATO, the GDCA should normally evaluate its safety risk assessment processes related to hazards identified by the ATO as having an interface with its operations. These safety risk assessments should be identifiable processes of the ATO’s management system. As part of its continuing oversight, the GDCA should also remain satisfied as to the effectiveness of these safety risk assessments.

a ) General methodology for operational hazards.

The GDCA should establish a methodology for evaluating the safety risk assessment processes of the ATO’s management system. When related to operational hazards, the GDCA evaluation under its normal oversight process should be considered satisfactory if the ATO demonstrates its competence and capability to :

1 ) understand the hazards identified and their consequences on its operations ;

2 ) be clear on where these hazards may exceed acceptable safety risk limits ;

3 ) identify and implement mitigations including suspension of operations where mitigation cannot reduce the risk to within safety risk limits ;

4 ) develop and execute effectively, robust procedures for the preparation and the

safe operation of the flights subject to the hazards identified ;

5 ) assess the competence and currency of its staff in relation to the duties for the intended operations and implement any necessary training ; *and*

6 ) ensure sufficient numbers of qualified and competent staff for such duties.

The GDCA should take into account :

1 ) the ATO’s recorded mitigations for each unacceptable risk identified are in place ;

2 ) the operational procedures specified by the ATO with t he most significance to safety appear to be robust ; *and*

3 ) that the staff on which the ATO depends in respect of those duties necessary for the intended operations are trained and assessed as competent in the relevant procedures.

*EVALUATION of APPROVED TRAINING ORGANISATIONS’*

*VOLCANIC ASH SAFETY RISK ASSESSMENT*

In addition to the general methodology for operational hazards, the GDCA evaluation under its normal oversight process should also assess the ATO’s competence and capability to :

1 ) choose the correct information sources to use to interpret the information related to volcanic ash contamination forecast and to resolve correctly any conflicts among such sources ;

2 ) take account of all information from its type certificate holders ( TCHs ) concerning volcanic ash-related airworthiness aspects of the aircraft it operates, and the related pre-flight, in-flight and post flight precautions to be observed.

***GM 1.* ARA. GEN. 300 ( a ) ; ( b ) ; ( c ) Oversight**

*VOLCANIC ASH SAFETY RISK ASSESSMENT - ADDITIONAL GUIDANCE*

Further guidance on the assessment of an ATO volcanic ash safety risk assessment is given in ICAO Doc. 9974 *( Flight Safety and Volcanic Ash – Risk management of flight operations with known or forecast volcanic ash contamination ).*

***GM 1.* ARA. GEN. 300 ( d ) Oversight**

*ACTIVITIES within the TERRITORY of the MEMBER STATE*

a ) Activities performed in the territory of the Member State by persons or organizations established or residing in another Member State include :

1 ) activities of organizations certified by the competent authority of any other Member

State or the Agency ;

2 ) activities of persons holding a licence, certificate, rating, or attestation issued by the competent authority of any other Member State ; *and*

3 ) activities of persons making declarations to the competent authority of any other

Member State.

b ) Audits and inspections of such activities, including ramp and unannounced inspections, should be prioritized towards those areas of greater safety concern, as identified through the analysis of data on safety hazards and their consequences in operations.

***AMC 1.* ARA. GEN. 305 ( b ) Oversight Programme**

*SPECIFIC NATURE and COMPLEXITY of the ORGANISATION, RESULTS*

*of PAST OVERSIGHT*

a ) When determining the oversight programme for an organization the GDCA should consider in particular the following elements, as applicable :

1 ) the implementation by the organization of industry standards, directly relevant to the organization’s activity subject to this Regulation ;

2 ) the procedure applied for and scope of changes not requiring prior approval ;

3 ) specific approvals held by the organization ;

4 ) specific procedures implemented by the organization related to any alternative means of compliance used.

b ) For the purpose of assessing the complexity of an organization’s management system, AMC 1. ORA.GEN.200 ( b ) should be used ;

c ) Regarding results of past oversight, the GDCA should also take into account relevant results of ramp inspections of organizations it has certified that were performed in other States in accordance with ARO.RAMP.

***AMC 1.* ARA. GEN. 305 ( b )( 1 ) Oversight Programme**

*AUDIT*

a ) The oversight programme should indicate which aspects of the approval will be covered with each audit ;

b ) Part of an audit should concentrate on the organization’s compliance monitoring reports produced by the compliance monitoring personnel to determine if the organization is identifying and correcting its problems ;

c ) At the conclusion of the audit, an audit report should be completed by the auditing inspector, including all findings raised.

***AMC 2.* ARA. GEN. 305 ( b )( 1 ) Oversight Programme**

*RAMP INSPECTIONS*

When conducting a ramp inspection of aircraft used by organizations under its regulatory oversight the GDCA should, in as far as possible, comply with the requirements defined in ARO. RAMP.

***AMC 1.* ARA. GEN. 305 ( b ) ; ( c ) Oversight Programme**

*INDUSTRY STANDARDS*

a ) For organizations having demonstrated compliance with industry standards, the GDCA may adapt its oversight programme, in order to avoid duplication of specific audit items ;

b ) Demonstrated compliance with industry standards should not be considered in isolation from the other elements to be considered for the GDCA risk-based oversight ;

c ) In order to be able to credit any audits performed as part of certification in accordance with industry standards, the following should be considered :

1 ) the demonstration of compliance is based on certification auditing schemes providing for independent and systematic verification ;

2 ) the existence of an accreditation scheme and accreditation body for certification in accordance with the industry standards has been verified ;

3 ) certification audits are relevant to the requirements defined in Annex VII ( Part - ORA )

and other Annexes to this Regulation as applicable ;

4 ) the scope of such certification audits can easily be mapped against the scope of oversight in accordance with Part - ORA ;

5 ) audit results are accessible to the GDCA and open to exchange of information in accordance with Article 15 (1) of CR-EC No 216 / 2008 ; *and*

6 ) the audit planning intervals of certification audits i. a. w. industry standards are compatible with the oversight planning cycle.

***AMC 1.* ARA. GEN. 305 ( c ) Oversight Programme**

*OVERSIGHT PLANNING CYCLE*

a ) When determining the oversight planning cycle and defining the oversight programme, the GDCA should assess the risks related to the activity of each organization and adapt the oversight to the level of risk identified and to the organization’s ability to effectively manage safety risks ;

b ) The GDCA should establish a schedule of audits and inspections appropriate to each organization. The planning of audits and inspections should take into account the results of the hazard identification and risk assessment conducted and maintained by the organization as part of the organization’s management system. Inspectors should work in accordance with the schedule provided to them ;

c ) When the GDCA, having regard to an organization's safety performance, varies the frequency of an audit or inspection it should ensure that all aspects of the organization’s activity are audited and inspected within the applicable oversight planning cycle ;

d ) The section(s) of the oversight programme dealing with ramp inspections should be developed based on geographical locations, taking into account aerodrome activity, and focusing on key issues that can be inspected in the time available without unnecessarily delaying the operations.

***AMC 2.* ARA. GEN. 305 ( c ) Oversight Programme**

*OVERSIGHT PLANNING CYCLE*

a ) For each organization certified by the GDCA and each FSTD qualification certificate holder all processes should be completely audited at periods not exceeding the applicable oversight planning cycle. The beginning of the first oversight planning cycle is normally determined by the date of issue of the first certificate. If the GDCA wishes to align the oversight planning cycle with the calendar year, it should shorten the first oversight planning cycle accordingly ;

b ) The interval between two audits for a particular process should not exceed the interval of the applicable oversight planning cycle ;

c ) Audits should include at least one on-site audit within each oversight planning cycle. For organizations exercising their regular activity at more than one site, the determination of the sites to be audited should consider the results of past oversight, the volume of activity at each site, as well as main risk areas identified ;

d ) For organizations holding more than one certificate, the GDCA may define an integrated oversight schedule to include all applicable audit items. In order to avoid duplication of audits, credit may be granted for specific audit items already completed during the current oversight planning cycle, subject to four conditions :

1 ) the specific audit item should be the same for all certificates under consideration ;

2 ) there should be satisfactory evidence on record that such specific audit items were carried out and that all corrective actions have been implemented to the satisfaction of the GDCA ;

3 ) the GDCA should be satisfied that there is no reason to believe standards have deteriorated in respect of those specific audit items being granted a credit ;

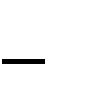
4 ) the interval between two audits for the specific item being granted a credit should not exceed the applicable oversight planning cycle.

***AMC 1.*  ARA. GEN. 305 ( d ) Oversight Programme**

*PERSONS HOLDING a LICENCE, CERTIFICATE, RATING or ATTESTATION*

The oversight of persons holding a licence, certificate, rating or attestation should normally be ensured as part of the oversight of organizations. Additionally, the GDCA should verify compliance with applicable requirements when endorsing or renewing ratings.

To properly discharge its oversight responsibilities, the GDCA should perform a certain number of unannounced verifications.

***AMC 1.* ARA. GEN. 310 ( a ) Initial Certification Procedure - Organizations**

*VERIFICATION of COMPLIANCE*

a ) In order to verify the organization’s compliance with the applicable requirements, the GDCA should conduct an audit of the organization, including interviews of personnel and inspections carried out at the organization’s facilities ;

b ) The GDCA should only conduct such audit after being satisfied that the application shows compliance with the applicable requirements ;

c ) The audit should focus on the following areas :

1 ) detailed management structure, including names and qualifications of personnel required by ORA.GEN.210 and adequacy of the organization and management structure ;

2 ) personnel :

( i ) adequacy of number and qualifications with regard to the intended terms of approval

and associated privileges ;

( ii ) validity of licences, ratings, certificates or attestations as applicable.

3 ) processes for safety risk management and compliance monitoring ;

4 ) facilities – adequacy with regard to the organization’s scope of work ;

5 ) documentation based on which the certificate should be granted

*( organization documentation as required by Part-ORA, including technical manuals, such as operations manual or training manual ).*

d ) In case of non-compliance, the applicant should be informed in writing of the corrections that are required ;

e ) In cases where an application for an organization certificate is refused, the applicant should be informed of the right of appeal as exists under national law.

***AMC 1.* ARA. GEN. 315 ( a ) Procedure for Issue, Revalidation, Renewal**

**or Change of Licences, Ratings or Certificates - Persons**

*VERIFICATION of COMPLIANCE*

a ) In order to verify that the applicant meets the requirements, the GDCA should review the application and any supporting documents submitted, for completeness and compliance with applicable requirements ;

b ) As part of the verification that the applicant meets the requirements, the GDCA should check that he / she has never held any personnel licence, certificate, rating, authorization or attestation with the same scope and in the same category issued in another State which was revoked or suspended in any other State ;

c ) The GDCA should request the applicant to make a declaration covering items *( b ).* Such declaration should include a statement that any incorrect information could disqualify the applicant from being granted a personnel licence, certificate, rating, authorization or attestation. In case of doubts, the GDCA should contact the competent authority of the another State where the applicant may have previously held any personnel licence, certificate, rating, authorization or attestation.

***AMC 1.* ARA.GEN.330 Changes – Organizations**

*GENERAL*

a ) Changes in nominated persons :

The GDCA should be informed of any changes to personnel specified in Part-ORA that may affect the certificate or terms of approval / approval schedule attached to it.

When an organization submits the name of a new nominee for any of the persons nominated as per ORA.GEN.210 (b), the GDCA should require the organization to produce a written résumé ( GDCA Form 4 ) of the proposed person's qualifications. The GDCA should reserve the right to interview the nominee or call for additional evidence of his / her suitability before deciding upon his / her acceptability ;

b ) A simple management system documentation status sheet should be maintained, which contains information on when an amendment was received by the GDCA and when it was approved ;

c ) The organization should provide each management system documentation amendment to the GDCA, including for the amendments that do not require prior approval by the GDCA. Where the amendment requires GDCA approval, the GDCA, when satisfied, should indicate its approval in writing. Where the amendment does not require prior approval, the GDCA should acknowledge receipt in writing within 10 working days ;

d ) For changes requiring prior approval, in order to verify the organization's compliance with the applicable requirements, the GDCA should conduct an audit of the organization, limited to the extent of the changes. If required for verification, the audit should include interviews and inspections carried out at the organization’s facilities.

***GM 1.* ARA. GEN. 330 Changes - Organizations**

*CHANGE of NAME of the ORGANISATION*

a ) On receipt of the application and the relevant parts of the organization’s documentation

as required by Part - ORA, the GDCA should re-issue the certificate ;

b ) A name change alone does not require the GDCA to audit the organization, unless there is evidence that other aspects of the organization have changed.

**GM 1. ARA. GEN. 350 Findings and Corrective** **Actions - Organizations**

*TRAINING*

For a Level 1 finding it may be necessary for the GDCA to ensure that further training by the organization is carried out and audited by the GDCA before the activity is resumed, dependent upon the nature of the finding.

***GM 1. - AMC 1.* ARA. GEN. 355 ( e ) Findings and Enforcement Measures – Persons**

This provision is necessary to ensure that enforcement measures will be taken also in cases where the GDCA may not act on the licence, certificate or attestation.

The type of enforcement measure will depend on the applicable national law and may include for example the payment of a fine or the prohibition from exercising.

It covers two cases :

a ) persons subject to the requirements laid down in CR-EC No 216 / 2008 and its Implementing Rules who are not required to hold a licence, certificate or attestation - for example general medical practitioners ( GMPs ) ; *and*

b ) persons who are required to hold a licence, rating, certificate or attestation, but who do not hold the appropriate licence, rating, certificate or attestation as required for the activity they perform.

*INTENTIONALLY LEFT BLANK*