



Advisory Circular

CAA-AC-GEN007

June, 2025

SURVEILLANCE OF CERTIFICATE, LICENCE, APPROVAL OR AUTHORIZATION HOLDERS

1.0 PURPOSE

- 1.1 This Advisory Circular provides direction and guidance to the operator on the methods for surveillance as required by the Civil Aviation Regulations. For purposes of this Circular, the term regulated entity means holders of a certificate, licence, approval or authorization holder.
- 1.2 Issuance of a certificate, license, approval or authorization for a regulated entity, the Authority is required under the provisions of the Civil Aviation Act, CAP394 to demonstrate compliance with the applicable regulatory requirement.
- 1.3 The continued holding of a certificate, license, approval or authorization is dependent on the Authority being satisfied that the holder of such a certificate, license, approval or authorization is capable of fulfilling the regulatory requirements for holding such a document and the entity complies with the regulations in an appropriate and continuous manner.
- 1.4 To achieve this requirement for ensuring that a certificate, license, approval or authorization meet (on a continuous basis) the regulatory requirements, the Authority undertakes continuous surveillance of the regulated entities in all aspects of their operations and activities related to the certificate, license, approval or authorization held.
- 1.5 The regulated entities are therefore obliged to undergo surveillance audit, audits and evaluations in a continuous manner in line with the Authority's Surveillance Policy and Procedures.

2.0 REFERENCES

- 2.1 The Civil Aviation Act, CAP394
- 2.2 Civil Aviation Regulations
- 2.3 Surveillance Policy

2.4 Surveillance Procedures

3.0 SURVEILLANCE OF OPERATORS

- 3.1 The surveillance process described in this manual addresses the need for ensuring that the regulated entity complies with the regulations in an appropriate and continuous manner. The Authority may, subject to its policies, determine the need to credit regulated entity performance in consideration of renewal application for a certificate, licence, approval or authorization.
- 3.2 It is important for the regulated entity to understand the clear distinction between surveillance inspections/activities and certification related activities. While both are important aspects for establishing compliance with applicable regulations, they are applied with varying need and one should not take precedence over the other
- 3.3 Certification activities are critical in demonstrating to the Authority that a prospective regulated entity meets the established requirements for the issuance of a certificate, licence, approval or authorization as the case may be. It is the process leading to determination whether to allow a regulated entity to exercise the privileges of a certificate, licence, approval or authorization.
- 3.4 Surveillance, on the other hand, is aimed at ensuring that the regulated entity continues to comply with the regulatory provisions and performance expectations established in the applicable regulations for continued exercising of the privileges of the certificate, licence, approval or authorization held.
- 3.5 Surveillance focuses on the implementation of appropriate administration, facilities or equipment continue to adhere to the standards by which they were certificated or approved, through regular inspections and audits of various aspects of their operations.

4.0 GENERAL SURVEILLANCE GUIDELINES

4.1 Types of Surveillance and Their Application

- 4.1.1 The Authority has identified three broad types of surveillance activities. These provide a general guideline on the planning and execution of surveillance. It is the policy of the Authority to utilise all the three types in execution of its mandate.
- 4.1.2 Scheduled Surveillance
 - 4.1.2.1 Planned surveillance is conducted using a classification and ranking approach; a prioritized list of regulated entities is created and used as the basis for the annual development of the CASP, which is optimized in collaboration with operational systems for regulated entities.

- (a) It is the policy of the Authority to ensure that all regulated entities receive a surveillance activity at least once within the CASP cycle (annual) or once within the lifespan of the license, certificate, approval, or authorization held (whichever is aligned to the risk profile of such entities) and at predetermined intervals based on the risk except as may be determined by the Director General.

4.1.3 Ad Hoc Surveillance/Inspection Response Activities

- 4.1.3.1 Ad hoc surveillance activities are those conducted in direct response to outside events, and which are not part of the CASP, regulatory services/audits or national aviation safety campaigns. These may be surveillance events based on response to accidents, incidents, or emerging risks in relation to a specific regulated entity or entities.

4.1.4 Special Purpose Inspections/Audits

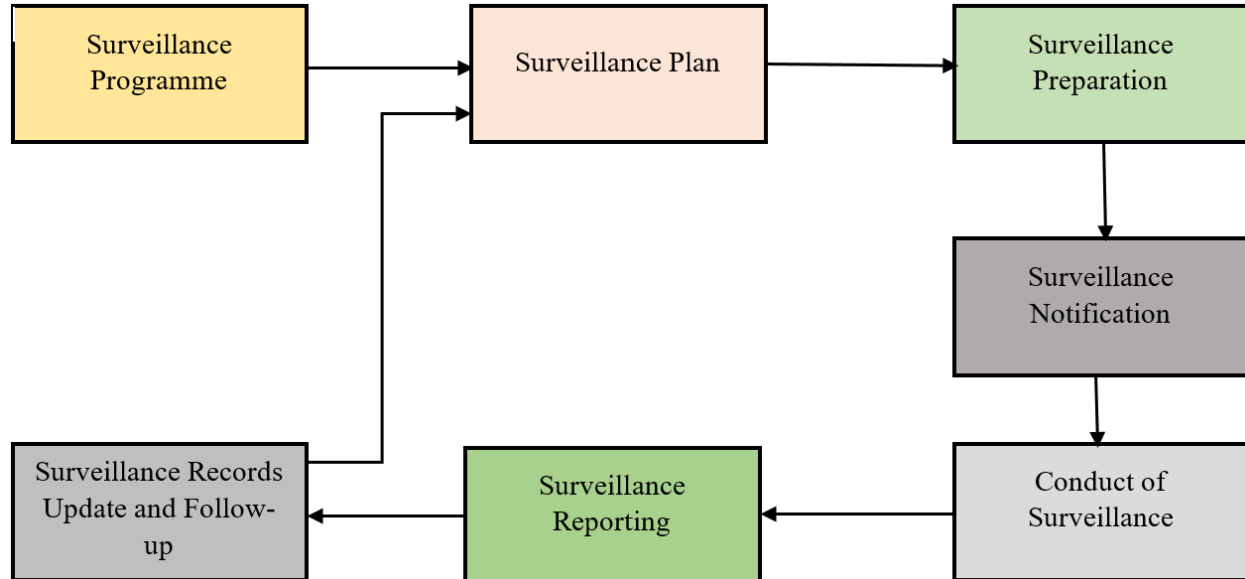
- 4.1.4.1 A special-purpose audit is one conducted to respond to special circumstances other than those requiring an initial certification audit, an additional approval audit or a surveillance audit.
- 4.1.4.2 A special-purpose audit may be convened to evaluate specific aspects of a regulated entities operations triggered by concerns of the Authority, as part of investigations (mostly for enforcement purposes), to verify information available in respect of the regulated entity or as part of safety management where voluntary reports have been received by the Authority in respect of the regulated entity or a group or category of regulated entities.
- 4.1.4.3 A Special purpose audit may be notified to the regulated entity or conducted as a surprise visit. The scope of such audits shall be determined by the trigger events for their need.

4.2 **Regulated Entity Obligations**

- 4.2.1 The Civil Aviation Act, CAP394 has established the requirements for surveillance under Section 20 (3) (b) (v) as well as places an obligation on the regulated entity to provide unhindered access to aerodromes, premises of a holder of aviation document, any aircraft wherever it may be, any aviation facilities and installations, and to any records or related documents, information and explanation that may be required.
- 4.2.2 Regulated entities are reminded to ensure that inspectors of the Authority and any designated personnel by the Authority have unhindered access to their premises, facilities, equipment, and records (documents) for purposes of surveillance.
- 4.2.3 To facilitate access by inspectors and authorized personnel, the Authority has issued credential cards which will be displayed during surveillance activity and will remain available for scrutiny by the regulated entity or their personnel. Regulated entities are invited to engage the Authority (through official communication channels) in the event that there is doubt on the authenticity of a credential.

4.3 **Surveillance Planning and Execution**

- 4.3.1 The Authority will develop an annual surveillance programme targeting each regulated entity (organizations and individuals). The annual programme shall contain scheduled surveillance activities and a system for ad hoc surveillance activities.
- 4.3.2 Determination for special purpose audits/inspections will be made subject to prevailing conditions. These may include need for surveillance as part of enforcement investigation process or any other reason as may be determined by the Director General.
- 4.3.3 The Authority employs a risk-based surveillance system which recognizes the inherent risks prevalent in a regulated entities operation as part of the system for prioritizing surveillance of regulated entities with the highest risk.
- 4.3.4 In development of surveillance programme the Authority shall employ a data-driven approach in determination of areas and regulated entities for prioritization in surveillance.
- 4.3.5 Regulated entities performance in previous surveillance activities as well as their timely resolution of identified deficiencies will be a significant factor in the development of the surveillance programmes. As a principle, regulated entities who have minimal findings and close, in a timely manner, all identified findings, will generally receive less surveillance activities compared to those with more findings and fail to resolve identified deficiencies in a timely manner. The surveillance phases are briefly described in the following section and illustrated in the diagram below:



4.4 **Communication of Intent to Inspect a Facility or Organization**

- 4.4.1 For effective management and coordination of surveillance activities, the Authority's inspector or persons charged with the responsibility for performing surveillance activities will contact the regulated entity in advance where necessary to make appropriate arrangements for inspecting or carrying out surveillance.

- 4.4.2 Where such advance notice has been made, the regulated entity will be provided with appropriate details regarding the surveillance, including intent of the inspection, the areas to be covered, and the approximate duration of the inspection.
- 4.4.3 Arrangements should be made by the regulated entity to ensure that key personnel will be present during the course of the surveillance to provide information and answer questions. The required regulated entity personnel presence will vary according to the type of inspection.

Example:

When evaluating Operational Control procedures and operations, the inspector will require almost constant contact with personnel who are responsible for each functional area. In contrast, the inspection of Flight and Duty Time records requires very little company personnel involvement except to make records available and answer any initial questions the inspector may have about the record keeping system.

Note:

For continuous surveillance inspections e.g. ramp spot checks, the regulated entity need not be notified.

- 4.4.4 After the inspection, the inspector(s) shall inform the operator of the findings as appropriate.

5.0 RESOLUTION OF SAFETY ISSUES

- 5.1 The Authority is mandated to resolve safety issues when identified to avert any undesirable outcome in operations. A process for the resolution of safety issues as well as enforcement has been established by the Authority.
- 5.2 Regulated entities are reminded to acquaint themselves with the resolution of safety issues process that follows the identification of findings and/or violations in a surveillance process.



Civil Aviation Authority