



CAAV Bulletin: 001-2016 [Effective 01 January] National Surveillance & Inspection Program Guidelines

This bulletin provides a method for publishing and amending the general surveillance, inspection and audit guidelines which will be used by the CAAV.

This bulletin will be re-issued in December of each year to—

- Update the overall national surveillance policies and procedures; and
- Establish the baseline Minimum Annual Inspection Plan for the coming year.

1.1 GENERAL

1.1.1 PURPOSE

This bulletin outlines the concepts regarding the methodologies for a comprehensive surveillance program that will be planned and executed each year to ensure a credible evaluation of the certification basis for organizations and key personnel.

1.1.2 BACKGROUND

1.1.2.1 Continuing Validation an ICAO Standard

- A. Continuing validation of the original basis for certification is required by ICAO Standards for organizations and individuals to ensure that the required standards of operation are maintained.
- B. This bulletin provides the foundation for the methodologies and minimum events by which the CAAV will continuously monitor operations conducted by the AOC holders.

1.1.2.2 A Confirmation Process

- A. The issuance of a license, certificate or other approval is not the end of the 5-step certification process. This process is occurring on a continuous basis.
- B. The CAAV-FSSD then conducts a continuing annual surveillance plan of inspections, observations and audits, both planned and ad-hoc, to confirm that the aviation community continues to meet the basis for issuance of the approvals given during the original certification.

1.1.2.3 An On-Going Validation System

- A. The guidance in this bulletin replaces the concept of a once-a-year focused audit to confirm an organization's conformance with the applicable requirements.
- B. It establishes an on-going process of surveillance methodologies to create a system that is, throughout the year, confirming that the organization or individual remains in conformance.

1.1.2.4 Safety Concerns must be Corrected

- A. If, during the inspection processes, the CAAV determines that there are safety concerns, the holder of the license, certificate or other approval must take the necessary and timely action to achieve a mutually agreed upon resolution.
- B. Correction of some of these safety concerns may require confirming re-inspections, document evaluation, satisfactory demonstrations and acceptance or approval.



1.1.2.5 Annual Re-Validation

It should be noted that, even when there are no requests for certification actions from the organization, this annual program of surveillance and inspection is, in effect, “re-validating” the aviation organizations on an annual basis.

1.1.3 STATUS OF THIS BULLETIN

1.1.3.1 Issuance

- A. This is the Version [5]2016 of this bulletin.
 - The MARI inspection guidance in the appendices should be assumed o contain fiscal (January to December) requirements).
- B. For budget planning purposes, this bulletin will be updated each June with an effectivity for January (the beginning of the fiscal year).

1.1.3.2 Expiration

The guidance in this bulletin will expire 31 December 2016, unless amended before that date.

1.1.4 FILING OF THIS BULLETIN

The official version of this bulletin is available in the Inspector Toolkit that resides on the CAAV server.

- Bulletins are currently located in the Technical Guidance Manuals folder.
- Bulletins are numbered to appear at the bottom of this folder.

- The inspectors may download this file to their computer or print the bulletin in hard-copy, but such action changes the bulletin status from an “official” copy to an “unofficial” copy.
- Revisions to the official copy of this bulletin may occur several times during the year.

1.2 DEFINITIONS & ACRONYMS USED IN THIS BULLETIN

1.2.1 DEFINITIONS

A. Where used in CAAV documents, verbal communications and the CASORT database relating to the national surveillance program, the following definitions will apply—

- 1) **Ad-Hoc.** Where used as an adjective to the terms “audit” or “inspection,” this term indicates that the inspection was not planned prior to the initiating event that resulted in the decision to conduct of the inspection.
- 2) **A-Item Inspection.** The phrase is used generically to indicate an inspection that has been assigned on an ad-hoc basis by management to an employee for accomplishment. The requirement for this inspection has been inserted into the CASORT Action database to provide for management tracking of its specific accomplishment.
- 3) **Audit, Inspect and Inspection.** The act of conforming (confirming) that records, manuals, policies, procedures, infrastructure, systems and individuals that are “approved” for use in aviation remain in compliance with the applicable regulatory requirements and relevant published safety practices.

- The terms “audit,” “inspect” and “inspection” as used in CAAV-FSSD guidance are synonymous.
- Where these synonymous terms are be used in FSSD guidance, they are considered to denote an “inspection.”



- 4) **Comprehensive.** Where used as an adjective to the terms “audit” or “inspection,” this term indicates that an inspection included all elements normally used to confirm that organization continues to comply with the applicable requirements to “hold” a certificate granted by CAAV.
- 5) **Focused.** Where used as an adjective to the terms “audit” or “inspection,” this term indicates a “special” inspection that concentrates resources to confirm the continued compliance of an organization with the approval requirements for a specific program, curriculum, fleet or other organizational element.
- 6) **M-Item Inspection.** The phrase is used generically to indicate an inspection that has been planned to occur during the certification or revalidation of an organization.
- ◆ The requirement for this inspection is inserted into the CASORT Action database by management to ensure that this inspection is completed with satisfactory results before the certification is completed.
- 7) **Monitor or Observation.** The conduct of an inspection through the methodology of monitoring the actual performance of an individual during the accomplishment of a specific task.
- 8) **No-Notice.** Where used as an adjective to the terms “audit” or “inspection,” this term indicates that the organization or individuals being inspected will not receive prior notification before the start of the inspection. The inspection may be previously planned or ad-hoc.
- 9) **Revalidation.** A structured process to re-assess an organization’s compliance with the VARs and selected critical safety programs that are approved for their use in aviation, and will include operational validation inspections.
- 10) **R-Item Inspection.** The phrase is used generically to indicate an inspection that has been planned by management, whether at the beginning or during the year, and the requirement for which has been inserted into the CASORT Action database to ensure tracking of accomplishment during a specific quarter or month of the work year.
- 11) **Surveillance.** This term indicates an on-going process of inspections employing the different methodologies described in this bulletin to provide the CAAV with confirmation that the organizations and individuals remain in a compliant status with the applicable requirements.

● A “comprehensive” inspection is the culmination of a series of smaller inspections to make this determination.

● The series of smaller inspections may be accomplished in a short period of time or spread out over months, as long as all applicable elements are confirmed during the period.

● The “focused” inspection methodology is used in situations where the FSSD has a basis to suspect the continued compliance of the organization to specific required elements.

● The methodology involves the dispatch of a team (of 2 or more) inspectors shortly after any concern arising from an inspection or investigation.

The terms “monitor” and “observation” are considered to be synonymous and may be used by CAAV-FSSD personnel to describe the same inspection method.

A “revalidation” employs a series of selected focused evaluations and inspections to make this assessment.

1.2.2 ACRONYMS

- 1) **AOC** – Air Operator Certificate
- 2) **A-Item** – Management Assigned Task
- 3) **AMO** – Approved Maintenance Organization
- 4) **ATO** – Approved Training Organization



- 5) **AWO** – All Weather Operations
- 6) **CAAV** – Civil Aviation Administration of Vietnam
- 7) **CASORT** – Civil Aviation Safety Oversight Reporting and Tracking
- 8) **DCCE** = Designated Cabin Competency Examiner
- 9) **DFDE** = Designated Flight Dispatcher Examiner
- 10) **DPE** = Designated Pilot Examiner
- 11) **EDTO** – Extended Diversion Time Operations
- 12) **FSSD** – Flight Safety Standards Department
- 13) **LVTO** – Low Visibility Takeoff
- 14) **M-Item** – Minimum Certification Event
- 15) **MARI** – Minimum Annual Required Inspections
- 16) **PBN** – Performance-Based Navigation
- 17) **PEL** – Personnel Licensing
- 18) **RNP** – Required Navigation Performance
- 19) **R-Item** – Required Inspection
- 20) **RVSM** – Required Vertical Separation Minima
- 21) **VARs** – Vietnam Aviation Regulations

1.3 COMPREHENSIVE SURVEILLANCE PLAN

1.3.1 VARIETY OF INSPECTIONS METHODOLOGIES USED

The comprehensive surveillance plan conducted by the CAAV-FSSD will include a variety of inspection methodologies, using—

- A planned program of minimum required annual inspections (R-Item Inspections) as outlined in this bulletin that is up-loaded into the CASORT database for implementation throughout the year.
- The subsequent addition of other planned R-item inspections by up-load when safety concerns and other risk factors indicate a need for such inspections.
- No-notice methodology when appropriate to situations where prior notice should not be necessary to have access to on-going operations.
- Ad-hoc methodology where the inspector is already on-site and in position to conduct other related inspections.
- Monitoring and observations methodologies to confirm that the approved policies, procedures and processes are being implemented.
- Focused inspections where there is a safety concern that requires timely assessment to confirm that the organizations' approved processes and programs continue to meet the applicable standards.
- Comprehensive inspections where the complexity and type of organization lends itself to this type of confirmation.

1.3.2 QUARTERLY CONSIDERATION OF SURVEILLANCE PROGRAM REVISION

- A. CAAV-FSSD management will evaluate the overall results of the surveillance program for each organization each quarter to consider the necessity for additional or more complex inspections to confirm that the organizations and individuals continue to meet certification standards.



- B. This evaluation process will also consider the organization or individual's recent historical data, including—
 - 1) Identified safety concerns, status of corrective actions and residual risk;
 - 2) Incident investigations and contributing factors; and
 - 3) Other identified hazards and risks associated with the specific organization's complexity and operations.
- C. Any significant safety event or unfavorable trends will also trigger additional or more complex inspections, including—
 - Focused inspections
 - Comprehensive inspections
 - Re-examinations for fitness

1.4 START WITH THE ANNUAL MARI PLAN

1.4.1 ENSURE ADEQUATE CAAV PRESENCE

- A. The CAAV will program a minimum number of inspections annually to ensure that there is adequate CAAV presence on a continuing basis where of civil aviation operations are conducted, especially where those operations involve—
 - 1) Approved (certificated) aviation organizations;
 - 2) Licensed aviation personnel; and
 - 3) Designated (authorized) persons.
- B. In June of each year CAAV-FSSD will identify the types and numbers of inspections that will be necessary to insure compliance with initial certification standards throughout the coming year. The inspections will be scheduled and conducted in a manner that validates the original certification basis of the certificate holder.

- MARI = **Minimum Required Annual Inspection**
- These are assigned using the planned event code "R" and appear in the reports as "R-items."

- The baseline recommended inspections are outlined in the appendices to this bulletin.
- Guidance for the planning, timing and accomplishment are provided in paragraph 1.9 of this bulletin.

1.4.2 SCHEDULED MONTHLY OR QUARTERLY

- A. At a minimum, these MARI inspections will be scheduled quarterly so that minimum types and numbers of inspections will occur evenly throughout the year allowing the FSSD to implement a "continuous" validation process.
- B. These minimum inspections and their timing will be up-loaded into the CASORT Action database in accordance with the instructions included in this Bulletin and the CASORT Manual.


The assignment of the R-item inspections to the inspector on a monthly basis allows the CASORT database to "prompt" the inspector with a 30-day prior notification banner.

Refer to Chapter 6 of the CASORT Manual for more detailed instructions on preparation and execution of the up-load.

1.4.3 REQUIRED ACCOMPLISHMENT OF THE BASELINE MARI PLAN


- A. Maintaining CAAV presence at each organization on a regular basis throughout the year is a key element of the MARI plan.

B. The MARI plan constitutes the baseline “minimum” presence desired. The credibility of the CAAV safety oversight program is at risk if it cannot implement a minimum plan.

	<p>No cancellation or rescheduling of “R-item” inspections should be authorized, except under strict guidelines.</p>
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C. The only basis for cancellation should be that the—

- Organization is no longer actively involved in aviation and a process has been initiated to execute a formal surrender, suspension or revocation of all authorizations.
- Aircraft is no longer operated by the organization or has been de-registered.
- Individual is no longer employed by the organization or no longer holds designation from CAAV.

	<ul style="list-style-type: none"> ● No inspector or supervisor may make a CASORT Action entry cancelling an “R” inspection. ● Only CAAV-IT is authorized to make this entry..
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D. Failure to implement the MARI inspections as planned is considered a basis for—

- 1) Demotion of a manager, supervisor and inspector; and
- 2) Adverse disciplinary action against the inspector.

1.4.4 IDENTIFIED HIGH OR MEDIUM RISK SAFETY CONCERNS

A. Additional “R-Inspections” will be generated by safety concerns given an initial risk assessment as “High” or “Medium” risk.

- Normally a follow-up inspection is accomplished shortly after the immediate resolution to confirm the necessary correction occurred and is working.

B. Management will also insert a new “R” inspection ensure that the “fix” used to mitigate and resolve the safety concern—

<p>Management will generate a new “R” inspection to assess the status of the “fix” 60-90 days after the satisfactory follow-up inspection.</p>
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- 1) Has actually corrected the concern; and
- 2) Does not have unintended consequences.

1.4.5 RISK ASSESSMENT OF UNFAVORABLE TRENDS

A. The CAAV will carefully examine any conditions that may indicate a significant deterioration in the operator’s financial conditions. The existence of any of the following conditions may generate the need for special inspections—

- 1) A pattern of safety concerns identified by CAAV inspectors or other civil aviation authorities;
- 2) Repetitive reoccurrence of the same safety concerns;
- 3) Significant lay-offs or turnovers of personnel;
- 4) Delays in meeting payroll;
- 5) Reduction of safe operating standards or evidence of cutting corners;
- 6) Decreasing standards of training;
- 7) Demands for “cash on delivery” by suppliers who formerly granted the operator credit;
- 8) Inadequate maintenance of aircraft;
- 9) Shortage of supplies and spare parts;
- 10) Curtailment or reduced frequency of revenue flights;
- 11) Sale or repossession of aircraft or other major equipment; and



- 12) Labor unrest, including actual strikes by employees or civil revolt by any persons that could impact the AOC holders ability to safely execute its responsibilities.
- B. These special inspections based on higher levels of risk will be added to the MARI plan at anytime during the year.

1.5 OPPORTUNITIES FOR ADDITIONAL INSPECTIONS

The MARI Inspection Plan is only the starting point for the national surveillance program.

1.5.1 PLANNING TO ENSURE MAXIMUM INSPECTION COVERAGE

- A. Inspectors and managers are expected to take the advantage of their presence on-site or in travel status to conduct additional inspections of Vietnam organizations.
- B. These inspections are in addition to the MARI inspections, but are contribute to provide a more extensive picture of the compliance posture of the organizations and individuals surveilled.

- The conduct of these additional inspections is critical to the on-going CAAV validation processes.
- Inspectors must be aware of and alert for these opportunities when on-site or traveling.

1.5.2 COMBINE MARI INSPECTIONS WITH OTHER INSPECTIONS

- A. The planned MARI inspection provides the budgeted opportunity for inspectors to be present (on-site) to conduct inspections.
- B. Inspectors are expected to take advantage of this positioning to conduct other related and unrelated inspections (ad-hoc or planned) that are possible due to the location and type of operations and maintenance that is occurring at that site.
 - These may be no-notice inspections.

- Managers should assist the inspectors in planning for these additional inspections.
- Consider the use of the "A=Management Assigned" feature to ensure the inspector is aware of the need for the inspection.

1.5.3 REQUIRED TRAVEL PROVIDES OPPORTUNITY FOR INSPECTIONS

- A. Required travel by inspectors, such as travel to accomplish MARI inspections, conduct investigations and attend training and seminars, should be used to conduct inspections.
- B. Where possible, inspectors positioning for MARI inspections will conduct ramp, station and in-flight inspections of Vietnam AOC holders during their transit period.
- C. Inspectors are expected to review their travel arrangements to identify the additional inspections they will be able to conduct.

- Managers should assist the inspectors in planning for these additional inspections.
- Consider the use of the "A=Management Assigned" feature to ensure the inspector is aware of the need for the inspection.

1.5.4 REQUIRED EVALUATIONS PROVIDE OPPORTUNITY FOR INSPECTIONS

- A. On-demand evaluations also put the inspector in position to conduct inspections of organizations, aircraft, individuals and records.
 - For example, when conducting a PEL skill test for a pilot graduate of an ATO, the inspector has the opportunity to also conduct and record an aircraft ramp inspection, student record inspection and even an aerodrome inspection.
 - For example, when conducting or monitoring a PEL skill test for a graduate of an ATO with maintenance ratings, the inspector has the opportunity to conduct also conduct a facilities and equipment inspection and a student record inspection.



- For example, when conducting a PEL type rating check, the inspector has the opportunity to conduct a simulator inspection, AOC or ATO student record inspection and flight documents and records inspection.
- B. Expanding the surveillance sample in these situations, if implemented, would provide more insight into the school compliance and quality and demonstrate a higher level of safety oversight than just accomplishing the primary task.

1.5.5 INVESTIGATIONS CREATE OPPORTUNITY FOR INSPECTIONS

- A. The requirements for incident notification and the subsequent mandatory investigation of the incidents by the FSSD again put the inspectors in position to conduct related inspections that contribute to the overall compliance picture of the organization.
 - For example, a reported incident of a pilot starting engines when cargo doors were open and cargo handlers were still working would initiate an incident investigation requiring a timely on-site visit. If the aircraft is still available, an aircraft inspection (flight deck, cabin and/or exterior) would be conducted.
 - For example, a reported incident of an unqualified person at the controls of an aircraft, would involve a on-site visit to crew scheduling to collect evidence of the crew names, allowing an opportunity for a spot inspection of crew flight time records and even crew training and qualification records.
- B. Investigation may also surface safety concerns, that would trigger a focused inspection of the related elements, additional inspections by the team members would result, as the assigned team of inspectors move about to assess the extent of the factors contributing to the concern.

1.6 FOCUSED & COMPREHENSIVE INSPECTIONS

1.6.1 GENERAL

- A. In addition to the guidance above, CAAV management will also make use of more detailed inspections, such as those associated with focused and comprehensive inspections. Focused and comprehensive inspections must be used sparingly in MARI context.
- B. The use of focused and comprehensive inspections generally create the need for a team of inspectors to accomplish these inspections efficiently.

1.6.2 FOCUSED INSPECTIONS

- A. Focused inspections are used to address specific elements of the organization where the FSSD has identified a safety concern which may need thorough and timely mitigation.
 - The CAAV may consider budgeting for inspection where several inspectors are present on-site at the same time conducting separate, sometime un-related inspections.
 - These situations do not meet the definition of a focused inspection, but may give the appearance that a focused inspection is occurring.
- B. The use of a focused inspection should also be considered when an organization complains about a specific inspector's findings.
 - CAAV management must first determine whether the inspector's findings were valid and should be corrected by the organization.
 - A timely focused inspection will provide management with insight into the validity of the organization's claims as opposed to the validity of the inspector's findings. It is not unusual for an organization's personnel to complain about an inspector in order to minimize the extent and validity of the inspector's findings.



1.6.3 COMPREHENSIVE INSPECTION

A. While an R-item meeting the definition of a “comprehensive inspection” may be included in the MARI program, their use should generally be confined to smaller organizations.

Comprehensive inspections will not be used as a once-a-year basis to avoid having at least a quarterly inspection presence by the CAAV.

- But, when included, it must be one of a series of scheduled inspections for that organization.

B. The use of a comprehensive inspection by a team of inspectors for a concentrated period will have a significant and disruptive impact on a large organization. As a result, the use of such inspections will be limited to justifiable situations.

C. For large organization with complex operations, comprehensive inspections should primarily be limited to situations where—

- 1) There is a serious question whether the organization continues to meet applicable minimum requirements to hold the certificate.
- 2) The MARI plan for that organization has not been properly implemented and there are noticeable holes where CAAV presence has not been on-site for surveillance.
- 3) Management has determined that the CAAV annual surveillance may have been in-effective or compromised by the inspector conduct or methodology and a “second-set of eyes” may be necessary to confirm the compliance status of the organization.

1.6.4 RE-VALIDATION PROJECTS

A. If the CAAV management and inspectors are implementing the national surveillance program on a consistent basis, it will not be necessary to conduct a re-validation of the regulatory and technical compliance of an organization.

B. When a re-validation program for a specific organization is deemed necessary, this process should not be allowed to affect the accomplishment of an existing MARI plan for the organization on the planned schedule.



The planned MARI inspections must be accomplished as scheduled to ensure the continued CAAV safety oversight presence.

1.7 ADDITIONAL INSPECTION GUIDELINES

1.7.1 PLANNED NO-NOTICE INSPECTIONS

- A. The CAAV will also plan to conduct of series of inspections on a no-notice basis to ensure that the presence of their inspectors may be expected at any place and any time that civil aviation operations are occurring.
- B. The CAAV-FSSD inspectors will also conduct and assist other inspectors in the accomplishment of unplanned, no notice inspections.
- C. All qualified inspectors will be expected to participate in inspections during the conduct of other inspector tasks associated with the certificated organizations.
- D. The assigned inspector will ensure that such inspections are being conducted on a regular basis.



1.7.2 PLANNED & UNPLANNED INSPECTIONS

- A. Inspectors are not to limit their inspection activities to MARI inspections. They are expected to take planned or unplanned opportunities to conduct inspections through the normal course of day-to-day activities with the AOC holder and their personnel.
- B. Examples of unplanned opportunities include—
 - When traveling to other airports to conduct CAAV business, inspectors will conduct in-flight inspections on Vietnam AOC holders;
 - While on location at other airports, inspectors will conduct station inspections of Vietnam AOC holders;
 - While observing proficiency checks in simulators, inspectors will evaluate the simulator readiness and capability; or
 - When conducting an enroute inspection, the inspector may also be able to conduct a ramp inspection of the cabin and emergency equipment readiness.

1.8 RESPONSIBILITIES FOR IMPLEMENTATION OF SURVEILLANCE PROGRAM

1.8.1 FSSD DIRECTOR

- A. The CAAV-FSSD Director is responsible for the establishment of the requirements and the satisfactory implementation of the national surveillance and inspection program
- B. He will ensure that the technical supervisors are tracking the accomplishment of these inspections on a weekly basis.
- C. He may authorize special inspection projects when risk assessments identify potential hazards that need detailed attention.
- D. He is the only person who can authorize the cancellation of specific MARI inspections after the plan has been uploaded to CASORT.

1.8.2 SUPERVISORS OF FSSD TECHNICAL SPECIALITY GROUPS

- A. FSSD managers and supervisors will maintain qualified inspectors in each technical discipline to conduct the surveillance and inspection tasks outlined in this bulletin.
- B. The technical supervisors are responsible for the proper planning of the MARI program for their technical specialization.
- C. The technical supervisors are responsible for determining the status of their MARI program on a weekly basis.
- D. The technical supervisors shall ensure that all of their inspectors are aware of the priorities and have a plan for the completion of the remaining unfinished inspections during the proper quarter of the year.
- E. The technical supervisors may recommend the cancellation of specific MARI inspections to the FSSD Director.
 - All cancellation recommendations will be made by the supervisor in writing with justification included.
 - The justification will be entered in the "Remarks" section of the cancelled action item.
- F. The technical supervisors shall also ensure the accomplishment of no-notice inspections designed to sample compliance during periods when MARI are not planned for the organization or individuals.
- G. The technical supervisors shall ensure that risk assessment is being conducted on an on-going basis and recommendations for special inspection projects are provided to the FSSD Director.



1.8.3 CAAV-FSSD INSPECTORS

- A. Inspectors will use the guidelines contained in this bulletin to plan MARI inspections for their assigned organization, aircraft and individuals.
- B. The MARI inspections are assigned to specific inspectors. These inspectors are responsible for ensuring the completion of these inspections on a quarterly basis.
- C. All inspectors are expected to maintain an awareness of the FSSD' unfinished MARI inspections and work with the assigned inspector to complete these inspections in a timely manner.
- D. An inspector may recommend the cancellation of an MARI inspection when the organization, aircraft or individual is no longer subject to the oversight of the CAAV.
- E. All inspectors are expected to maintain an awareness of identified hazards, perform risk assessment and recommend the need for special surveillance or inspection projects.

1.9 MARI-SPECIFIC GUIDELINES

The appendices to this bulletin outlines the minimum numbers and types of inspections that will be planned and/or each year to ensure a credible assessment of the certification basis for organizations and key personnel.

1.9.1 GUIDANCE FOR SCHEDULING THE MARI INSPECTIONS

- A. Those inspections that are planned **once annually** should be scheduled for the same quarter each year, unless other surveillance or information indicates a need for an earlier or special inspection.

Those inspections that are planned **twice annually** should be scheduled with a one quarter separation between the two quarters.
- B. Those inspections that are **four times annually** should be scheduled one per quarter, unless there is a base month requirement associated with the inspection.
- C. Where two types of aircraft are involved the scheduling should be spaced evenly by quarters through the year.
- D. The following inspections should be spaced evenly over the year—
 - Check airman proficiency checks and route checks
 - Training-in-progress inspections or airman proficiency checks
 - Maintenance-in-progress (Spot) inspections.

1.9.2 USING THE MARI PLANNING FORM

- A. The principal inspectors should use a MS Excel (or Word) table form similar to that shown as below to plan their annual minimum required inspections.

MS Excel tables are preferred because they are the medium to upload planned files to CASORT.
- B. After coordination with their supervisor, this form should be provided to the Data Quality Coordinator (DQC) for entry into an EXCEL form for table upload into the CASORT Action database.

(1) ACTION NUMBER	(2) PE	(3) INSPECTOR	(45) ACTION	(56) PLANNED DATE	(6) ORG	(7) LOCATION	(8) MMS	(9) DR#	(10) SIM#
2601A	R	ALS	P	06/30/ 2011	ODAA	PRWA	B737		



- Column (1) is used to insert the specific Action numbers for each MARI record necessary to be completed during this planned certification.
- Column (2) identifies this record as a Minimum Required Inspection Event. The “R” is used for that purpose and is critical to later identification of this record by the database.
- Column (3) is used to insert the principal inspector’s initials in each planned record.
- Column (4) is used to identify this as “P” (planned) and is entered in the “Action Taken” field of each file.
- Column (5) is used to insert the planned date of completion.
- Column (6) is used to indicate the organization which will be the same for all MARI records related to this project.
- Column (7) is used to indicate the Location ID where the event will probably occur
- Column (8) is If an aircraft make/model/series is an integral part of this specific action, that aircraft type will be entered in the appropriate field.
- Other columns may be added as necessary to plan the program.

More specific guidance on the actual planning and upload of MARI inspections can be found in Chapter 6 of the CASORT Database Instructions Manual.


1.9.3 PRINT OUT THE CAAV MINIMUM ANNUAL INSPECTION PLAN

- A. After the contents of the planning form are entered into the CASORT Action database, the DQC will print the *Reports > All Unfinished MARI Inspections* to a PDF file.
- B. From that PDF file, the DQC will then—
 - 1) Print a hard-copy of the original MARI plan for filing in the Working Binder for that organization;
 - 2) A hard-copy of the MARI plan will be provided to all inspectors for their reference; and
 - 3) The digital copy will be stored in the digital annual folder for that organization.

All inspectors are encouraged to regularly print out their personal MARI assignments by accessing, from the CASORT: *Reports >> MARI (Inspector)*.

1.9.4 UPLOADING PLANNED INSPECTIONS IN ACTION DATABASE

- A. The three most critical entries to establish an MARI record are the fields for—
 - 1) Planned event,
 - 2) Action taken and
 - 3) Date accomplished.
- B. The process for entering a single MARI record is described in the CASORT Database Instructions Manual in Chapter 6.
 - 1) *If a specific PEL license holder is to be included in the MARI*, enter that person’s name in the “PIC Number” field.
 - 2) *If a specific designee is to be included in the MARI*, enter that persons name in the “Designee Number” field.
 - 3) *If a specific maintenance technician is to be included in the MARI*, enter that person’s name in the “Maintenance Representative” field.

 Only the Data Quality Coordinator will actually upload the MARI planned events into the Action Database.



- 4) *If a specific simulator is to be included in the MARI, enter the simulator number in the “Simulator Number” field.*
- C. The alternative way to enter the data is for the Data Quality Coordinator to enter the information in multiples directly into the database table. This is only permitted by password access.

1.9.5 ACCESSING REPORTS TO UNFINISHED MARI ACCOMPLISHMENT

- A. The three available reports for determining the MARI inspections that have not yet been completed are—
 - 1) Unfinished MARI by Inspector
 - 2) Unfinished MARI by organization
 - 3) Unfinished MARI – All organizations
- B. The completion of all MARI inspections in the assigned quarter is essential to the credibility of a safety oversight organization. Each inspector should print out a—
 - 1) Unfinished MARI by Inspector report - on a regular basis to determine where he personally stands in relation to completion of his assigned inspections; and
 - 2) Unfinished MARI All organizations report — to take on inspection trips out of the office in the event an inspection opportunity occurs during the trip.
- C. The technical supervisor will print out an All Unfinished MARI report each week to maintain an awareness of the rate of completion.

All inspectors are encouraged to access these reports to determine their assigned inspections and those of other inspectors.

This could preclude the need to send another inspector on travel later to complete that particular inspection.

1.9.6 FINDING MARI RECORD ID IN PREPARATION FOR ENTRY

- A. All of these reports have been sequenced so that the RECORD ID of the MARI RECORD is located in the last column on the left margin of the printed report.
- B. Mark a line through a selected inspection on the paper copy of the report and transfer this number to your inspection notes in preparation for database entry.
- C. If you are in the office, make your entry directly into the database.
 - Go to VIEW Action RECORDS and search for the specific Record ID.

Weekly evaluations of the implementation of the MARI will be conducted by supervisors.

1.9.7 ENTERING ACCOMPLISHMENT OF THE MARI INSPECTIONS IN ACTION DATABASE

- A. Timely accomplishment and proper entry of MARI inspections is critical to the credibility of the CAAV. All inspectors should treat this as one of the highest priorities in their day-to-day accomplishment of job tasks.
- B. Follow the guidance provided in Chapter 5 of the CASORT Inspector Database Instructions Manual. After accomplishment of an MARI inspection, the record planned for that inspection must be found.

Refer to Chapter 5 of the CASORT Manual for more detailed instructions on completion of MARI (R-item) records following an inspection.

- It is very important that the proper Record ID for this inspection be located in the database.
- DO NOT OVERWRITE THE RECORD until You Have Confirmed The Record Id Number At The Top Left Of The Action Data Entry Page.



1.9.8 COMPLETION OF THE MARI ACTION ENTRY

The following table (right column) depicts completion of the planned MARI—

RECORD ID NUMBER	431	<ul style="list-style-type: none"> Go to VIEW Action RECORDS and search for the specific Record ID file. The Action inspection number must remain the same. DO NOT CHANGE. <p>DO NOT CHANGE THIS ENTRY!</p> <ul style="list-style-type: none"> If a different inspector accomplished the MARI, his initials would be inserted in the closeout record. MARI Inspections do not have a project number. The P must be OVERWRITTEN with the results of the inspection. This may be either S or F. The planned quarter date must be OVERWRITTEN with the actual date accomplished. <p>DO NOT CHANGE THE ORGANIZATION</p> <p>This location is usually NOT OVERWRITTEN with the exception of enroute or ramp inspections.</p> <p>Fill out as necessary to the actual inspection.</p> <ul style="list-style-type: none"> If a specific aircraft registration was planned, the actual inspection must be of that aircraft. If this was an enroute inspection, the destination would be entered in the closeout record. If a specific type of aircraft was planned, the actual inspection must be of that type of aircraft. <p>If a specific person's name was planned, the actual inspection must be of that person.</p> <p>If a specific person's name was planned, the actual inspection must be of that person.</p> <p>If a specific person's name was planned, the actual inspection must be of that person.</p> <p>Fill out as necessary to the actual inspection.</p> <ul style="list-style-type: none"> MARI inspections do not have a tracking number 	431
ACTION NUMBER	2601A		2601A
PLANNED EVENT	R		R
INSPECTOR	VN-RLB		VN-PLR
PROJECT NUMBER	Not Planned		Not Applicable
ACTION TAKEN	P		S or F
DATE ACCOMPLISHED	31/12/2014		01/11/2014
ORGANIZATION	A-VNAA		A-VNA
LOCATION/FROM	VVNB		VVNB
PRIMARY PEL-NUMBER			100321-ATPL, Ho Minh Tan
AIRCRAFT REGISTRATION			VN-AGE
DESTINATION	Not Planned		VVTS
AIRCRAFT MMS	B787-200		B787-200
OTHER CREW NUMBER			100683, Mai Hung
DESIGNEE NUMBER			100487-DPE, Thang
MAINTENANCE REPRESENTATIVE			Trin
MANAGEMENT REPRESENTATIVE		Oyen	
TRACKING NUMBER	Not Planned	Not Applicable	



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APPENDIX 1-A

Surveillance of Air Operators (Commercial Air Transport)

1. Guidelines - Minimum Annual Airworthiness Inspections

The following inspections will be accomplished by assigned airworthiness inspectors on each AOC holder—

3601 / 4601: Inspect Aircraft Equipment Functioning in Flight

- One (1) per quarter for each AOC holder operating aircraft configured for more than 19 passengers or more than 2500 kgs payload.
- One (1) per year for each AOC holder operating aircraft with capacity for 10-19 passengers.

3602A / 4602A: Inspect Maintenance Manual

- One (1) inspection per year for each AOC holder.

The primary document for this inspection will be the Maintenance Control Manual.

3602B / 4602B: Inspect Maintenance Program

- One (1) inspection per year for each type of aircraft operated by the organization.

3603 / 4603: Inspect Maintenance Main Base [Comprehensive]

- One (1) inspection per year for each AOC holder.

3604 / 4604: Line Station Inspection

- Two (2) per year per AOC holder in scheduled operations with passenger aircraft configured for more than 19 passengers or more than 2500 kgs payload.

3606 / 4606: Inspect Training Records

- One (1) per year for each organization.

3610C: Inspect Maintenance Reliability Program

- One (1) per year for each covered fleet.

3617C: Inspect AOC Maintenance Control

- One (1) comprehensive inspection each 6 consecutive months.

3622 / 4622: Inspect Aircraft Records

- One (1) quarterly for each type-specific aircraft fleet annually.

3622A: Inspect Aircraft Airworthiness Directive Records

- One (1) for each type-specific aircraft fleet annually.

3622G: Inspect Major Repair & Modification [Alteration] Record

- One (1) for each type-specific aircraft fleet annually.

3622L: Inspect Structures Inspection Records

- One (1) for each aircraft type (fleet) configured for more than 19 passengers or more than 2500 kgs payload..

4622L: Inspect Flight Data Recorder Records

- One (1) for each make/model/series operated by the AOC holder that is required to have a flight data recorder.

4623D: Inspect Cockpit Voice Recorder Records



- One (1) for each make/model/series operated by the AOC holder that is required to have a flight data recorder.

3623 / 4623: Inspect Aircraft on Ramp

- For AOC aircraft with capacity for 9 passengers or less: one (1) for each type (fleet) per year.
- For all other AOC aircraft: One (1) per quarter of each specific type (fleet) of aircraft.

3627 / 4627: Inspect Maintenance-In-Progress

- One (1) for each specific aircraft type every six consecutive months.

2. Minimum Annual AOC Operations Inspections

2601: Inspect Flight Crew Procedures In-Flight

- One (1) per quarter for each type (fleet) of aircraft configured for more than 19 passengers or more than 2500 kgs payload operated by the AOC holder.
- One (1) per quarter for each type (fleet) of aircraft with capacity for 10-19 passengers operated by the AOC holder.

2602: Inspect Aircraft on Ramp

- One (1) per quarter per aircraft type (fleet) for AOC holders operating aircraft configured for more than 19 passengers or more than 2500 kgs payload.
- Two (2) per year for AOC holders operating aircraft with capacity for 19 or less passengers.

2603: Inspect Pilot Proficiency

- One (1) per year for each VFR-only pilot for an AOC holder not authorised to be checked by a check airman.
- Two (2) per year for each IFR pilot for an AOC holder not authorised to be checked by a check airman.

2604: Inspect Facilities & Equipment

- One (1) each quarter for each AOC holder operating aircraft configured for more than 19 passengers or more than 2500 kgs payload.
- One (1) each 6 consecutive months for each AOC holder operating aircraft with capacity for 10 to 19 passengers.
- One (1) per year for each AOC holder (other than single pilot operators) operating aircraft configured for up to 9 passengers.

2606: Inspect Flight Preparation Records

- One (1) per quarter for each AOC holder operating aircraft configured for more than 19 passengers or more than 2500 kgs payload.
- Two (2) per year for each AOC holder operating aircraft with capacity for 19 or less passengers.

2608: Inspect Personnel Records

- One (1) per quarter for each AOC holder operating aircraft with capacity for more than 19 passengers.
- Two (2) per year for each AOC holder operating aircraft with capacity for 19 or less passengers.

2610A: Inspect Flight Crew Training-in-Progress

- One (1) for each 6 consecutive months for AOC holders of aircraft with capacity for more than 9 passengers operating in scheduled passenger service.

2611A: Inspect Simulator for AOC Holder

- One (1) per year for each simulator used by one or more AOC holders.



2612D: Inspect Flight/General Operations Manual

- One (1) comprehensive review per year for each AOC holder operating aircraft with capacity for more than 19 passengers or more than 2500 kgs payload in scheduled service.

2613A: Inspect Aircraft Type-Specific Manual, Part B

- One (1) comprehensive review per year for each aircraft type operated by an AOC holder operating aircraft with capacity for more than 19 passengers or more than 2500 kgs payload in scheduled service.

2615: Inspect Station Processes & Records

- One (1) each quarter for each AOC holder operating aircraft in passenger service capacity for more than 19 passengers or more than 2500 kgs payload

3. Minimum Annual AOC Cabin Safety Inspections

8601: Inspect Aircraft Passenger Cabin at Ramp

- One (1) per quarter per aircraft type for AOC holders operating aircraft configured for more than 19 passengers or more than 2500 kgs payload.
- Two (1) per year for AOC holders operating aircraft with capacity for 10-19 passengers.

8602A: Inspect Cabin Crew Procedures In-Flight

- One (1) per quarter for each type of aircraft configured for more than 19 passengers or more than 2500 kgs payload operated by the AOC holder.

8603A: Inspect Cabin Crew Qualification Records

- One (1) per quarter for each AOC holder operating aircraft with capacity for more than 20 passengers.

8604: Inspect Cabin Crew Member Manual

- One (1) comprehensive review each 12 consecutive months for each AOC holder of aircraft with capacity for more than 19 passengers operating in scheduled passenger service.

8607B: Inspect Cabin Crew Competency Check

- One (1) each 6 consecutive months per aircraft type operated by the AOC holder.

8608: Inspect Cabin Crew Member Emergency Drill

- One (1) emergency drill during each 12 consecutive months period for each AOC holder of aircraft with capacity for more than 19 passengers operating in scheduled passenger service.

8609: Inspect Cabin Crew Member Formal Training

- One (1) for each 6 consecutive months for AOC holders of aircraft with capacity for more than 19 passengers operating in scheduled passenger service.

8626: Inspect Passenger Service-in-Progress

- One (1) each quarter for each AOC holder operating aircraft in passenger service configured for more than 19 passengers or more than 2500 kgs payload
- One (1) for each AOC holder operating aircraft configured for 19 or less passengers.

4. Minimum Annual AOC Flight Control Safety Inspections

2603H: Inspect Flight Dispatcher Competency Check

- Four (4) competency checks (observe or administer) during each 12 consecutive months for each AOC holder authorized to use flight dispatchers



2606E: Inspect Retained Trip [Flight] Records

- Two (2) inspections each 12 consecutive months for each AOC holder

2607A: Inspect Operational Control [Dispatch] Comprehensive

- One (1) comprehensive inspection per year for each AOC holder.authorized to use flight dispatch

2608C: Inspect Flight Dispatcher Qualification Records

- Two (2) comprehensive inspections per year for each AOC holder.authorized to use flight dispatchers

2608D: Inspect Load Control Qualification Records

- Two (2) comprehensive inspections per year for each AOC holder

2609J: Inspect Flight Dispatcher Performance

- Once (1) each quarter for each AOC holder.authorized to use flight dispatchers (observe the performance of a dispatcher throughout a full shift).

2610D: Inspect Flight Dispatcher Training-in-Progress

- Two (2) for each 12 consecutive months for each AOC holder.authorised to use flight dispatchers

2612F: Inspect Flight Dispatch Procedures Manual

- One (1) comprehensive review each consecutive 12 months for each AOC holder..

2612Q: Inspect Flight Dispatcher Training Program Manual

- One (1) comprehensive review each consecutive 12 months for each AOC holder

End of Appendix 1-A



APPENDIX 1-B

SURVEILLANCE OF AOC SPECIAL OPERATIONS

Where possible, the airworthiness and operations inspectors will schedule their inspections to occur during the same time period.

1.9.9 MINIMUM RVSM INSPECTIONS

4665: Inspect RVSM Program Conformance

- One (1) comprehensive inspection for each AOC holder each 12 consecutive months.

2601E: Inspect RVSM Procedures In flight

- One (1) each 6 consecutive months for each type of aircraft RVSM approved for each AOC holder

2620: Inspect RVSM Program Conformance

- One (1) comprehensive inspection each 12 consecutive months for each AOC holder with RVSM approval.

1.9.10 MINIMUM PBN-SPECIFIC INSPECTIONS

4662: Inspect PBN (RNP) Program Conformance

- One (1) comprehensive inspection each 12 consecutive months, including all specific RNP authorizations approved for AOC holder.

2601C: Inspect PBN (RNP) Procedures In flight

- One (1) each 6 consecutive months for each type of aircraft approved for RNP-10 (or RNP-4) long range navigation operations for each AOC holder.
- One (1) each 6 consecutive months for each type of aircraft approved for RNP-APCH operations for each AOC holder.

2621: Inspect PBN (RNP) Program Conformance

- One (1) comprehensive inspection each 12 consecutive months for each AOC holder with RNP approval.

1.9.11 MINIMUM ALL-WEATHER OPERATIONS-SPECIFIC INSPECTIONS

4664: Inspect All-Weather Ops Program Conformance

- One (1) comprehensive inspection each 12 consecutive months, including all AWO authorizations approved for the AOC holder.

2601D: Inspect All Weather Operations Procedures In flight

- One (1) each 6 consecutive months for each type of aircraft approved for Category III operations for the AOC holder (may be accomplished during a proficiency check in Level D simulator.)

2622: Inspect All-Weather Operations Program Conformance

- One (1) comprehensive inspection each 12 consecutive months for each AOC holder with All-Weather Operations approval.

End of Appendix 1-B



APPENDIX 1-C

Surveillance of Approved Maintenance Organizations

3650: Inspect AMO [Comprehensive]

- One (1) for each AMO specifically approved by the CAAV to conduct maintenance and inspection of aircraft for AOC holders.

4650: Inspect AMO [Comprehensive]

- One (1) for each AMO specifically approved by the CAAV to conduct maintenance and inspection of aircraft for AOC holders.

End of Appendix 1-C



APPENDIX 1-D

Surveillance of Approved Training Organizations

1.9.12 MINIMUM MAINTENANCE INSPECTIONS

3648: Inspect ATO [Comprehensive]

- One (1) per each ATO with maintenance curriculums per each 12 months.

3648J: Inspect ATO Training-in-Progress

- One (1) for each maintenance curriculum per quarter, to include all curriculums in any 18 consecutive months for each ATO

3648D: Inspect ATO Training Facilities

- One (1) each training facility each 12 consecutive months for each ATO specifically authorized by the CAAV to conduct training of maintenance personnel.

3648L: Inspect ATO Training Records

- One (1) each 12 consecutive months for each ATO conducting maintenance training.

1.9.13 MINIMUM AVIONICS INSPECTIONS

4648: Inspect ATO [Comprehensive]

- One (1) per each ATO with avionics curriculums each 12 months.

4648J: Inspect ATO Training-in-Progress

- One (1) for each avionics curriculum per quarter, to include all curriculums in any 18 consecutive months for each ATO

4648D: Inspect ATO Training Facilities

- One (1) each training facility each 12 consecutive months for each ATO specifically authorized by the CAAV to conduct training of avionics personnel.

4648L: Inspect ATO Training Records

- One (1) each 12 consecutive months for each ATO conducting avionics training.

1.9.14 MINIMUM OPERATIONS INSPECTIONS

2618: Inspect ATO [Comprehensive]

- One (1) per each ATO with operations curriculums each 12 months.

2618G1: Inspect ATO Chief Instructor Standardization

- One (1) per ATO with operations curriculum each 12 months (may be schedule with comprehensive inspection)

2618L: Inspect ATO Records

- One (1) per each 12 months (should be schedule 6 months after comprehensive inspection)

2618J: Inspect ATO Training-in-Progress

- One (1) for each operations curriculum per quarter, to include all curriculums in any 18 consecutive months for each ATO

2611D: Inspect Simulator for ATO

- One (1) each 12 consecutive months for each approved simulator.



2611B: Inspect Training Device

- One (1) each 18 consecutive months for each approved training device.

End of Appendix 1-D



APPENDIX 1-E

Surveillance of Designees

1.9.15 OPERATIONS DESIGNEES

2636B: Inspect Designated Pilot Examiner (Monitor Work)

- One (1) for each DPE each 12 calendar months

2636G: Inspect Designated Flight Dispatcher Examiner (Monitor Work)

- One (1) for each DDFE each 12 calendar months

1.9.16 AIRWORTHINESS DESIGNEES

3676A: Inspect Designated Maintenance Examiner (Monitor Work)

- One (1) for each DME each 18 calendar months

3675B: Inspect Designated Maintenance Examiner Submitted Document

- One (1) for each DME each calendar quarter

1.9.17 MEDICAL DESIGNEES

2636E: Inspect Designated Aviation Medical Examiner (Monitor Work)

- One (1) for each DAME each 12 calendar months

2635E: Inspect Designated Aviation Medical Examiner (Submitted Document)

- One (1) for each DAME each calendar quarter

End of Appendix 1-E



APPENDIX 1-F

Dangerous Goods

1.9.18 6644A INSPECT AOC DANGEROUS GOODS [COMPREHENSIVE]

- Two (2) comprehensive dangerous goods inspections will be performed annually for each AOC holder with authorization to transport dangerous goods by air.

1.9.19 6636E INSPECT DANGEROUS GOODS TICKETING & GATE PROCEDURES

- Two (2) annually for each scheduled AOC holder of aircraft with passenger capacity of more than 9 passengers that is not authorized to transport dangerous goods by air.

1.9.20 6645A INSPECT AOC [No DG TRANSPORT] CARGO ACCEPTANCE

- Two (2) annually for each AOC holder of aircraft of with a maximum takeoff gross weight of more than 5600 kgs that is not authorized to transport dangerous goods by air.
- One (1) annually for each AOC holder of aircraft with a maximum takeoff gross weight of less than 5600 kgs that is not authorized to transport dangerous goods by air.

End of Appendix 1-F



APPENDIX 1-G

Surveillance of Foreign Operators

1630: Inspect Foreign Operator on Ramp (SAFA)

- Minimum of 6 foreign operator ramp inspections during each quarter of the year.

End of Appendix 1-G



APPENDIX 1-H

Aerial Work Operators

1.9.21 MINIMUM MAINTENANCE INSPECTIONS

3607D1: Inspect AWC Aircraft for Agricultural Operations

- One (1) for each aircraft type for each AWC authorized to conduct agricultural operations each 12 consecutive months.

3607D2: Inspect AWC Aircraft for External Load Operations

- One (1) for each aircraft type for each AWC authorized to conduct external load operations each 12 consecutive months.

3607D3: Inspect AWC Aircraft for Parachute Jumping Operations

- One (1) for each aircraft type for each AWC authorized to conduct parachute jumping operations each 12 consecutive months.

3607D4: Inspect AWC Aircraft for Banner Towing Operations

- One (1) for each aircraft type for each AWC authorized to conduct banner towing operations each 12 consecutive months.

3607D5: Inspect AWC Aircraft for Sightseeing Operations

- One (1) for each aircraft type for each AWC authorized to conduct sightseeing operations each 12 consecutive months.

1.9.22 MINIMUM OPERATIONS INSPECTIONS

2627A: Inspect AWC Agricultural Application Operations

- One (1) for each AWC holder authorized to conduct agricultural operations each 12 consecutive months.

2627B: Inspect AWC External Load Operations

- One (1) for each AWC holder authorized to conduct external load operations each 12 consecutive months.

2627C: Inspect AWC Aerial Advertising Operations

- One (1) for each AWC holder authorized to conduct aerial advertising operations each 12 consecutive months.

2627D: Inspect AWC Passenger Sightseeing Operations

- One (1) for each AWC holder authorized to conduct aerial advertising operations each 12 consecutive months.

2627E: Inspect AWC Parachute Jumping Operations

- One (1) for each AWC holder authorized to conduct aerial advertising operations each 12 consecutive months.

End of Bulletin



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