

## ASSI Policy Statement Number: 17

**Effective date of Implementation:** 20 May 2005

**ASSI File Reference:** UK/X/J/86/02 – Policy Statements

**Subject:** Qualifications of Contractors as Regulators

### Rationale:

It is common practice to employ contractors to fulfil a regulatory role. There are many benefits to this arrangement not least of which being that the local industry, in the specialist area of the contractor, may not generate sufficient work to justify direct employment of a member of staff. ICAO provides some guidance on the qualifications and experience of such individuals in the Safety Oversight Manual (Part A) from which most of the statements below have been drawn.

### Policy Statements:

Definition: 'Inspection' may also be taken to mean 'audit', as appropriate.  
Those items marked \* have been taken from ICAO Doc 9734.

1. When performing their duties the contract personnel must be kept under the supervisory and technical control of the employer.\*
2. The employer retains ultimate responsibility for the regulatory oversight of aviation within its jurisdiction.\*
3. Contracts for enforcement of inspection responsibilities and duties must be explicit in their requirements.\*
4. Contracts must explicitly state that the employer is to be notified within a specified period following an inspection of any deficiencies that are discovered during the inspection.\*
5. The employer defines the rules (or terms of reference) for inspection, sets the criteria for the reports and provides the means to inspect.\*
6. Contractors shall possess appropriate technical competency in performing certification, inspection and surveillance functions.\*
7. Contractors should possess a high degree of integrity, be impartial in carrying out their tasks, be tactful, have a good understanding of human nature and possess good communications skills.\*
8. Qualifications, experience and personal characteristics of contractors shall be verified and carefully evaluated.\*
9. Ideally, contractors should be at least as qualified as the personnel to be inspected.\*
10. Employers must determine the minimum professional qualifications and experience for its contractors ie contractors must be qualified and experienced as regulators. Furthermore, employers must provide the technical and administrative training necessary for contractors to accomplish their duties and responsibilities effectively.\*

11. Contractors must be provided with training, as required, on subjects such as:
  - applicable legal structure and requirements;
  - inspector's skills, knowledge, duties and responsibilities;
  - procedures for implementation and enforcement of requirements.\*
  
12. Contractors must be provided with credentials to allow them to carry out their duties.