

9.1 About this Part

This part alerts staff to CASA's [record management procedures](#) and describes the procedures and staff roles and responsibilities for:

- [Handling applications](#)
- [Handling correspondence.](#)

9.2 Introduction to CASA's Records Management Procedures

CASA's file management and document recording/tracking procedures are documented in the Records Management Manual (RMM).

CLI staff should familiarise themselves with the manual and are required to handle and maintain CLI records in accordance with RMM procedures.

CLI staff should refer to the checklist summarising some of the key RMM guidelines/procedures in Part A CLIC Records Management and TRIM Procedures.

9.3 Handling Applications

Each application for a Certificate of Compliance (CoC) must be placed on a registered (i.e. RMU) file for the particular carrier.

Key information contained on an application is to be entered in the CLIC computer system. There is no need to duplicate this information on CASA's TRIM system.

9.4 Handling Correspondence

9.4.1 General Correspondence

All incoming correspondence (with the exception of CLI application forms and supporting documentary evidence of insurance) is to be recorded on the **TRIM** system in accordance with CASA procedures.

CLI staff must reply to items of correspondence within the timeframes set out in CASA's service charter.

9.4.2 Letters and Documents Received from Insurers or Carriers

CLI Support Officer/Assessor

1. Examine any correspondence and/or certificates of insurance received from insurers, brokers, underwriters or air carriers, which are not associated with a current application by a carrier for a CoC, before they are placed on file.

If the documentation conveys new information about a carrier's insurance arrangements, decide what follow-up action (if any) needs to be taken to ensure a carrier's compliance with the Carriers' Liability Act. CASA may require the carrier to apply for a new CoC and perhaps submit new/additional evidence of insurance.

Such correspondence must be checked by the Senior Assessor.

2. Record whether or not the letter/document requires follow-up action
3. Sign and date each document before the document is placed on file.

Senior Assessor

1. Before they are placed on file, check correspondence and/or certificates of insurance received from insurers, brokers, underwriters or air carriers, which are not associated with a current application by a carrier for a CoC.

9.4.3 Receipt and Handling of AOCs/Operating Approvals

The procedures for checking Air Operators' Certificates and other forms of operating approval issued by CASA are covered in section 5.5.

CLI Support Officer/Assessor

1. Examine each AOC/operating approval received by the CLI Unit before the documents are placed on file. It must be checked by the Senior Assessor.
2. If you are examining a new AOC, record whether or not it requires follow-up action.
3. Sign and date each AOC before the document is placed on file.

Senior Assessor

1. Check each AOC/operating approval received by the CLI Unit before the document is placed on file. Record whether or not a new AOC requires follow-up action (if it has not already been recorded by the examining officer).
2. Sign and date each AOC before the document is placed on file.

Blank page