



Air Operator's Certificate (balloon operations)/Associated Approvals

CASR Part 131 and subsection 27 of the Civil Aviation Act (where applicable)

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Please download and complete with Adobe Acrobat. If you are using a browser to complete this form you may lose your information. Send this form and any attachments to regservices@casa.gov.au.

Purpose of this form

Use this form to apply for the initial issue of, renewal of, or to apply for approval of significant changes to an Air Operator's Certificate (AOC) for balloon transport and/or balloon flying training operations.

This form is also used to notify CASA of changes that are not significant changes (non-significant changes).

This form is also used to apply for associated approvals under regulation 91.045 or 131.035 that are available to an AOC holder conducting operations in a Part 131 aircraft.

Who is this form for?

This form is for individuals or organisations applying for any of the above authorisations or notifying CASA of changes made in accordance with the organisation's management of change processes.

Please use the Part 91 General Approval application form for Part 91 approvals (except for air display approvals), the approval to conduct air display application form or the Part 131 General approval application form for Part 131 approvals associated with a balloon PIC or specialised balloon operator.

Information needed to complete this form

You should review CASR Parts 91 and 131 (including the associated Manuals of Standards) before completing this form.

For balloon flying training, you should also review CAR Part 5 and relevant Civil Aviation Orders before completing this form.

Guidance is available in the form of AMC/GM documents, and advisory circulars. Refer to the [CASA website](#).

You must provide a Drug and Alcohol Management Plan (DAMP). If your organisation employs 10 or fewer Safety Sensitive Aviation Activity (SSAA) employees, you may be able to use the CASA Micro-business DAMP. For full details on DAMP's refer to the [CASA website](#).

After receiving a completed application form, CASA will calculate and send you a cost estimate for the processing of your application and a list of any additional supporting documents required. You will need to pay the estimate and send additional supporting documentation with your payment before any assessment of your application occurs.

Aviation Reference Number (ARN)

An ARN is required to complete this form. If you do not have an ARN, [apply now](#).

If you are applying on behalf of an organisation, you will need to have authority to act on the entity's (applicant's) behalf and be able to provide the organisation's ARN.

Contact details

It is important the contact details on the ARN profile are current. CASA uses these contact details when processing this application.

If your address, contact or other details have changed, you must update them prior to lodging this form. You can do this by [changing your details](#) on the CASA website.

Failure to provide up to date contact details to CASA could result in additional fees being charged under the *Civil Aviation (Fees) Regulations 1995* and may constitute a criminal offence.

For more information

Go to the [CASA website](#) or [contact us](#).

Part A Applicant

A1 What are the **applicant** details?

If your address, contact or other details have changed, you must update them using [changing your details](#).

Legal entity/full name

ARN

ABN/ACN (if applicable)

Phone number

Email address

A2 Is the organisation registered as a company in Australia?

No → [Go to A3](#)

Yes → [Go to A4](#)

A3 Where was the organisation incorporated?

A4 Are you proposing to operate foreign registered aircraft?

No

Yes

Note: if you answered yes, before CASA can issue an AOC, it must enter into a s.28A agreement with the NAA of the State of Registry

A5 Do you want to add or remove a **registered business name** to/from your certificate?

You can request a registered business name to be included on your certificate. The name must meet the following criteria, otherwise the certificate will be issued with only the name provided in question A1:

A5 Continued

- Its registration must be current at the time of issue of the certificate; and
- It must be registered only under the name(s) of the proposed certificate holder (as proprietor(s)) at the time of issue of the certificate(s).

No → [Go to A7](#)

Add New → [Go to A6](#)

Remove existing → [Go to A6](#)

A6 What is the **registered business name** to be added or removed?

Business name

Registration number

 Attach additional pages if required

A7 If a corporation, what are the names of **all** corporate officers in your organisation?

Refer to section 9 of the Corporations Act 2001 for meaning of corporate officer

A8 Is this application only for approvals issued under regulations 91.045 or 131.035?

No → [Go to A9](#)

Yes → [Go to E1](#)

A9 What would you like to do (select one)?

Apply for:

Initial issue of an AOC → [Go to A10](#)

Approval of significant change → [Go to A10](#)

Renewal of an AOC, → [Go to I4](#)

OR

Notify CASA of a non-significant change → [Go to D3](#)

Contact Person

A10 What are the **contact person** details?

Contact details will be used for this application only, including any questions and/or fee estimates.

Full name

Position (Agent, Secretary)

Phone number

Email address

Part B - Main Operating Bases

B1 Is the address of your **operational headquarters** where you propose to conduct operations different to your mailing address?

No → **Go to B2**

Yes → Please enter the new address below

Unit/number

Street name

Suburb

State/territory

Postcode

Country (if not Australia)

B2 Are you adding or removing any **main operating bases** where you propose to conduct or are currently conducting your operations?

Initial issue applicants must provide details of all applicable locations

B2 Continued

No → **Go to C1**

Yes **Adding** new operational base/s. Please enter the new address below

Yes **Removing** operational base/s. Please enter the address below

Unit/number

Street name

Suburb

State/territory

Postcode

Country (if not Australia)

 Attach additional pages if adding or removing multiple operating bases

Part C - Operations Key Personnel

You must ensure for each key personnel position nominated you attach evidence of the qualifications and experience for the nominated person.

If **initial issue**, please complete key personnel sections applicable to your operation.

If a **significant change** to your key personnel only complete the sections of the position(s) that are changing.

If a **significant change application that does not include a change** to your already existing key personnel please proceed to Part C4 of this application, you are not required to list your already approved personnel.

Person Authorised to carry out the responsibilities of permanent key personnel - if you wish to nominate additional personnel for your organisation who are authorised to carry out responsibilities of key personnel who are absent from their position or cannot carry out their responsibilities please attach additional pages specifying the position for the standby personnel, the full name, ARN, contact number and email address of the person nominated and evidence of qualifications and experience for each person nominated.

C1 Please provide the details of the **Chief Executive Officer**

Full name

ARN

Phone number

Email address

 Attach qualifications and experience

C2 Please provide the details of the **Head of Flying Operations**

Full name

ARN

Phone number

Email address

 Attach qualifications and experience

C3 For balloon flying training organisations, please provide the details of the **Chief flying instructor (if different from Head of Flying Operations)**

Full name

ARN

Phone number

Email address

 Attach qualifications and experience



This area has been intentionally left blank

Aircraft

C4 List the balloon class(es) you are intending to operate in balloon transport operations and/or balloon flying training operations.

If applying for approval of **significant change**, only list aircraft you want added to the AOC.

 Attach additional pages if required

Balloon class	Balloon transport	Balloon flying training

C5 Please list the area/s where you will operate your aircraft in balloon transport operations and/or balloon flying training operations:

Part D - Significant and Non-significant changes

D1 Are you making any significant changes not covered in Parts A-C of this application form?

No → **Go to D3**

Yes → **Go to D2**

D2 Please provide a summary of the changes made and the sections/pages of your exposition/operations manual where the updates have been entered.

 Attach additional pages if required

D3 Are you making any **non-significant** changes?

No → **Go to E1**

Yes → **Go to D4**

D4 Please provide a summary of the changes made and the sections/pages of your exposition/operations manual where the updates have been entered. Alternatively, if you have a change register, please submit instead of completing below.

 Attach additional pages if required

This area has been intentionally left blank

Part E - Approvals

Part 91 Approvals

E1 Are you applying for the issue or revocation of an approval under Part 91?

No ➔ [Go to E2](#)

Yes Please specify the approvals in the table below that you are applying for or seeking revocation of.

Only select those approvals you wish to add to your approval instrument, or those you wish to remove.

Part 91 Approval type		
Add	Remove	91.975 (1)(b) – Operation of foreign state aircraft Balloon class, model and registration Area of operation

This area has been intentionally left blank

Part 131 Approvals

E2 Are you applying for the issue or revocation of an approval under Part 131.035?

No ➔ **Go to F1**

Yes Please specify the approvals in the table below that you are applying for or seeking revocation of.

Only select those approvals you wish to **add** to your approval instrument, or those you wish to remove

Part 131 Approval type		
Add	Remove	131.090 (f)(ii) –Operate an aircraft where the AOC holder is not the registered operator of the aircraft.
Add	Remove	131.135 (2)(a) –Chief Executive Officer – experience Full Name of nominated person ARN <div style="background-color: #f0f0f0; padding: 5px; border: 1px solid #ccc;">  Attach qualifications and experience </div>
Add	Remove	131.145 (2)(a) – Head of Flying Operations – qualifications and experience Full Name of nominated person ARN <div style="background-color: #f0f0f0; padding: 5px; border: 1px solid #ccc;">  Attach qualifications and experience </div>
Add	Remove	131.235 (1)(c) – Enter in an agreement with another person to do an act mentioned in subregulations 131.235 (2), (4), (6) or (8) Act in relation to a cancelled authorisation Act in relation to a suspended or varied authorisation Act in relation to a pending application for an authorisation Act in relation to a refused application for an authorisation If you ticked any of the above boxes, please provide particulars of the proposed agreement and the act:

E2 Continued

Part 131 Approval type		
Add	Remove	<p>131.240 (2)(b) – Increase in maximum period for use of foreign registered Part 131 aircraft in Australian territory.</p> <p>Foreign Part 131 aircraft registration mark</p> <p>Number of days required for use (>90)</p>
Add	Remove	131.315 (1)(b) Operate a Part 131 aircraft in a balloon transport operation at night.
Add	Remove	131.320 (1)(b) Operate a Part 131 aircraft in a balloon transport operation above 10,000 ft above mean sea level.
Add	Remove	<p>131.325(2) Conduct specialised balloon operation</p> <p>Balloon Class, model and registration(s) of aircraft to be approved</p> <p>Describe nature of operation</p>
Add	Remove	131.400 (1)(b) Carry infants in a balloon transport operation.
Add	Remove	131.685 (1)(b) Operate a tethered gas balloon.
Add	Remove	<p>Part 131 MOS paragraph 20.02 (3)(c) operate a tethered Part 131 aircraft on the movement area of, or on a runway of, or within 2 NM of an aerodrome.</p> <p>Name of aerodrome</p> <p>Note: A Part 131 aircraft is a manned free balloon or a hot air airship.</p>
Add	Remove	<p>Part 131 MOS paragraph 20.02 (1) operate a tethered part 131 aircraft in such a way that crown of the aircraft exceeds 400 ft AGL.</p> <p>Note: A Part 131 aircraft is a manned free balloon or a hot air airship.</p>

Part F Exposition / Operations manual compliance matrix

F1 Is this an application for the initial issue of an AOC?

The compliance matrix should only be completed if you are applying for the initial issue of an Air Operator's certificate.

No → [Go to G1](#)

Yes → [Go to F2](#)

F2 Provide the compliance reference for documentation for issue of a balloon transport AOC.

Legislation requirements and references	Yes requirement is applicable	No requirement is not applicable	Reference (section/subsection) of exposition / operations manual that satisfies the legislative requirement
Operator's name (operating and trading), address, contact details and ABN Refer to 131.195 (1)(a)			
Address of operational headquarters, main operating bases and operational facilities Refer to 131.195 (1)(b)			
Description and diagram of organisational structure and reporting lines Refer to 131.195 (1)(c)			
If a corporation, a description of corporate structure Refer to 131.195 (1)(d)			
Additional qualifications and experience required by the operator for each key personnel Refer to 131.195 (1)(e)(i)			
Additional responsibilities of each key personnel Refer to 131.195 (1)(e)(ii)			
Name of person appointed to each of the key personnel positions Refer to 131.195 (1)(e)(iii)			
Name of each person authorised to carry out responsibilities of key personnel when the position holder is absent or cannot perform responsibilities Refer to 131.195 (1)(e)(iv)			

F2 Continued

Legislation requirements and references	Yes requirement is applicable	No requirement is not applicable	Reference (section/subsection) of exposition / operations manual that satisfies the legislative requirement
Description of how operator will manage responsibilities of key personnel who are absent from their position or cannot carry out their responsibilities Refer to 131.195 (1)(e)(v)			
Additional CEO responsibilities and accountabilities, if any, in addition to regulation 131.140 Refer to 131.195 (1)(f)			
Outline of the balloon transport operations conducted by the operator under the operator's balloon transport AOC, including the areas of operation Refer to 131.195 (1)(g)			
Details of each plan, process, procedure, program and system implemented by the operator to safely conduct and manage balloon transport operations in compliance with the civil aviation legislation Refer to 131.195 (1)(h)			
The class, model and registration mark for each Australian registered Part 131 aircraft operated under the AOC Refer to 131.195 (1)(i)			
The class, model, nationality and registration mark for each foreign registered Part 131 aircraft operated under the AOC Refer to 131.195 (1)(j)			
A description of arrangements for managing continuing airworthiness of the Part 131 aircraft operated under the AOC Refer to 131.195 (1)(k)			
A description of any leasing or other arrangements for the supply of Part 131 aircraft as the arrangements relate to the operational control or continuing airworthiness of the aircraft, or to any other safety matter Refer to 131.195 (1)(l)			

F2 Continued

Legislation requirements and references	Yes requirement is applicable	No requirement is not applicable	Reference (section/subsection) of exposition / operations manual that satisfies the legislative requirement
A description of the operators process for making changes including identifying changes that are significant changes Refer to 131.195 (1)(m)(i)			
A description of the operators process for making changes including identifying changes that are non-significant changes Refer to 131.195(1)(m)(ii)			
A description of the operators process for making changes including a description of the process for telling CASA and the operator's personnel of the changes Refer to 131.195 (1)(m)(iii)			
A description of anything else required to be approved by CASA under these Regulations for operations conducted under the AOC Refer to 131.195 (1)(n)			
Any other matter required to be included in the exposition under these Regulations Refer to 131.195 (1)(o)			

Part G – Additional Information and Authorisations

Drug and Alcohol Management Plan (DAMP)

An organisation that has an employee or contractor (including the employee of, or subcontractor for, the contractor) who performs or is available to perform Safety Sensitive Aviation Activities (SSAA) **is required to have a DAMP.**

However, if your organisation will not have more than ten (10) regular SSAA employees, you may instead use a CASA Micro-business DAMP.

Further information on DAMPs can be found on the [DAMP Home page](#). The [DAMP Micro Business information page](#) provides more information on who is eligible to use the CASA Micro-business DAMP.

G1 Are you proposing to use the CASA Micro-business DAMP because you meet the eligibility requirements?

No Please submit a copy of your DAMP manual.

Yes

Reference Library

G2 Do you comply with the Reference Library requirements in CASR 131.050?

No

Yes

Part H - Organisation and personnel history

Corporation and bankruptcy actions

If **initial issue** or a **significant change** that involves the change of key personnel, please complete the following questions, if not please proceed to question 17.

H1 Has the applicant or any of the applicants key personnel been **declared bankrupt** in Australia or a foreign country in the last 10 years?

Refer to 131.080 (3)(b)

No

Yes

H2 Has the applicant or any of the applicants key personnel been a director or held a key personnel position within an Australian or foreign corporation in the last 10 years where the corporation was charged with or convicted of any **criminal offence**?

Refer to 131.080 (3)(g)(i)

No

Yes

H3 Has the applicant or any of the applicants key personnel been a director or held a key personnel position within an Australian or foreign corporation in the last 10 years where the corporation was declared **bankrupt, insolvent** or placed in **receivership**?

Refer to 131.080 (3)(g)(ii)

No

Yes

H4 Has the applicant or any of the applicants key personnel been a director or held a key personnel position within an Australian or foreign corporation in the last 10 years where the corporation was subject to **investigation** or **comment** by any share dealings or financial affairs regulatory body?

Refer to 131.080 (3)(g)(iii)

No

Yes

H5 If you answered **yes** to **any** of questions H2 to H5, you must provide details below:

Include names, dates, charges laid, present status, and the penalty imposed.

Refer to CASR 11.055 and Aviation Transport Security Regulations 2005, Regulations 6.55 and 6.59

 Attach additional pages if required

Nominated personnel history

H6 Has any action been taken against you or any of your nominated personnel; or is any action in the process of being taken against you or any of your nominated personnel; or have you or any of your nominated personnel been refused the issue of any aviation related licence, certificate, rating, or authority by an organisation?

You are required to disclose any matters, both in Australia and Overseas, relating to the fitness of your nominated personnel to hold an authorisation. This includes matters bearing on the suitability of a nominated person to hold a nominated position.

No

Yes

H7 Have you or any of your nominated personnel ever been refused the issue of a transport related licence or certificate (e.g. pilot licence, pilot certificate, drivers licence, boating licence)?

No

Yes

H8 Do you or any of your nominated personnel have any criminal conviction or finding of guilt, which is less than ten years old, or any juvenile criminal conviction or finding of guilt, which is less than five years old?

No

Yes

H9 Is suspension or cancellation action pending in relation to any aviation licence you or any of your nominated personnel hold?

No

Yes

H10 If you answered **yes** to **any** of questions H7 to H10, you must provide details below:

Include dates, actions, charges, convictions and imprisonment in Australia and overseas.

Refer to CASR 11.055 and Aviation Transport Security Regulations 2005, Regulations 6.55 and 6.59

 Attach additional pages if required

Part I - Other matters

I1 Do you agree to the publication of details of your Air Operator's Certificate on the CASA website?

No

Yes

I2 Has your exposition/operations Manual been submitted via the Manual Authoring and Assessment Tool (MAAT)?

No

Yes

Applicant checklist

I3 Select all that apply:

If an initial issue or change to key personnel application, the required evidence of qualifications and experience for the nominated person relevant to the position are attached

If an application for the initial issue of an AOC, I have completed the compliance matrix

I have a Personnel Fatigue Management System in place

I have a Drug and Alcohol Management Plan (DAMP)

My completed exposition is attached or has been submitted via MAAT

If operating aircraft that have a lease or financial agreement, I have attached a copy for each aircraft

If other please specify

Chief Executive Officer Declaration

14 I declare:

- As the person identified in question C1, in my capacity as the appointed/proposed applicant's Chief Executive Officer, the applicant will be capable of operating in accordance with its exposition/operations manual and civil aviation legislation and will so operate.
- All statements in this application are true and correct.

I acknowledge by providing my details below and submitting this application:

- I may commit an offence under the *Criminal Code Act 1995* if I make a false or misleading statement in my application.
- We may also use your licensing information in deidentified form for aviation safety research/analysis.

Privacy

Any personal information you provide to CASA, as part of this application, is protected by the *Privacy Act 1988*.

We will use the information provided to process this application and may also use it to conduct identity/security checks. Without your consent, we may not be able to process your application.

To meet our accountability obligations, we may disclose this information:

- to other government agencies or other national aviation authorities for certain purposes, and
- to comply with court orders and other legal requirements.

For more information about how we use, disclose and protect your personal information, see our [privacy statement](#) and [privacy policy](#).

Fees

I acknowledge CASA will provide a fee estimate, which will be sent to the contact for this application.

I accept if this application is withdrawn or refused by CASA, or if CASA is unable to assess this application because I have failed to provide the required information and/or documentation, I am liable to pay CASA fees for work conducted.

- I declare and acknowledge the above matters.
- I consent to CASA using my licensing information and other personal information for the above purposes.
- I have read CASA's privacy policy and I authorise CASA to use and disclose the information it collects for this application in accordance with that policy.

Full name

Signature

Date (DD/MM/YYYY)

/ /

Role authority

15 In what capacity are you making this declaration?

CEO

Agent

If signing as agent for the CEO, a copy of a Power of Attorney must be provided.

 Attach Power of Attorney

Submitting this form to CASA



By email – attach this form and all supporting documents. Send them to regservices@casa.gov.au