Australian Government
Civil Aviation Safety Authority

Notification

End of transition SMS, FDAP, HFNTS and Safety Manager

CASR Parts 119 and 138

Download this form before you begin

Please download and complete with Adobe Acrobat. If you're 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

This form is for operators to notify CASA of any applicable end of transition changes to introduce Safety Management System (SMS), Flight Data Analysis Program (FDAP) and Human Factors Principles and Non-Technical Skills (HFNTS) to exit CASA Exemption EX73/24.

Note: Some Part 119 operators may already have a SMS accepted in writing by CASA, and a CASA approved Safety Manager (for example, as an early adaptor). Operators with an accepted SMS and approved Safety Manager should use this form to submit their changes to implement HFNTS or FDAP (if applicable).

Use this form to:

- notify CASA of your proposed Safety Manager
- Provide your proposed Part 119 exposition content associated with the implementation of SMS, FDAP and HFNTS and/or your Part 138 operations manual amendments and safety management system manual

Eligible micro-operators may be able to nominate their existing Part 119 CEO, Part 119 HOFO, Part 138 CEO or Part 138 HOO to be their Safety Manager, provided they meet the requirements of CASA EX17/26, which amends existing exemption instruments EX68/24 and EX72/24. This exemption offers flexibility beyond the usual Part 119 and 138 rules which normally only allow these key personnel to act as Safety Manager in unforeseen circumstances.

In certain circumstances, and subject to separate approval under regulation 119.025 of CASR, an air transport operator may nominate their HOFO as safety manager. Provision to apply for an approval under 119.025 is also contained in this form.

Do not use this form to notify CASA of other changes to your operation. These must be notified to CASA by application for approval of a significant change or submission of the notification of a non-significant change, as applicable.

Who is this form for?

Part 119 and Part 138 operators exiting CASA Exemption EX73/24.

Information needed to complete this form

When submitting this form, you must be satisfied that your exposition and/or safety management system manual contains appropriate procedures, as applicable, for SMS, HFNTS and FDAP that are present and suitable for their operation.

CASA's SMS webpage has links to various tools and published guidance material that may be used to develop your SMS and HFNTS exposition content and/or safety management system manual and to confirm the suitability of this material for use by your organisation.

CASA will contact you if any additional supporting documentation is required.

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

CASA will use the currently held contact, ABN and ACN details linked to your ARN profile.

If your address, contact or other details have changed, you must update them online using changing your details prior to lodging this form.

For more information

Go to the CASA website or contact us.

Operator

1 What are the **operator** details?

Your contact details must be current. Update contact details via changing your details.

Legal entity/full name

ARN

ABN/ACN (if applicable)

Phone number

Email address

2 What are you providing in this notification (select all applicable options, more than one may be selected)?

- ☐ Part 119 Air transport operator SMS procedures and proposed safety manager notification
- ☐ Part 138 Aerial work operator SMS procedures and proposed safety manager notification if required by regulation 138.140 of CASR or Chapter 5 of the Part 138 MOS to have SMS
- ☐ Part 119 Air transport operator HFNTS procedures notification
- ☐ Part 119 Air transport operator FDAP procedures notification (if required by regulation 119.195 of CASR to have FDAP)
- ☐ Request for approval under regulation 119.025 of CASR for Air transport operator HOFO to also be the safety manager (Only tick if you are a Part 119 air transport operator who is not a micro-operator and require additional approval under regulation 119.025 for your HOFO to be the safety manager)

3 Are you a micro-operator?

Only tick **Yes** if you are a Part 119 air transport and/or a Part 138 aerial work operator eligible to use the provisions of the CASA micro-operator exemption (CASA EX17/26, which amends existing exemption instruments EX68/24 and EX72/24), and intend to use these provisions.

No ☐

Yes ☐

Contact person

4 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

This area has been intentionally left blank

5 Provide the revision details of the Part 119 exposition and/or Part 138 operations manual and associated documents you are submitting with this notification.

If your procedures for SMS, HFNTS or FDAP are contained in documents other than your Part 119 exposition/Part 138 operations manual, include the details of these documents in the table below and attach a copy.

Title of manual/document	Version/revision number	Version/revision date

Provide copies

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

No ☐

Yes ☐

Specification of changes to existing Part 119 exposition and/or Part 138 operations manual relating to SMS

7 Describe your SMS procedures including any changes to your Part 119 exposition and/or Part 138 operations manual to implement SMS (please indicate page numbers and/or sections changed).

For a Part 119 operator, if part of your SMS procedures is in documents other than your exposition, provide details of these document(s) and attach a copy.

For a Part 138 operator, you are required to have a safety management system manual.

If you have a summary of changes register, and have submitted a complete exposition or operations manual, this may be submitted instead of completing below.

7 continued

Attach additional pages if required

Attach required documents

Specification of Human Factors Principles and Non-Technical Skills exposition changes (Part 119 only)

8 Describe your HFNTS procedures including any changes to your existing exposition to implement HFNTS (please indicate page numbers and/or sections changed).

If part of your HFNTS procedures is in documents other than your exposition, provide details of these document(s) and attach a copy.

If you have a summary of changes register, and have submitted a complete exposition, this may be submitted instead of completing below.

Attach additional pages if required

Attach required documents

Specification of Flight Data Analysis Program exposition changes (Only if required by regulation 119.195 of CASR to include FDAP in your SMS)

9 Describe your FDAP procedures including any changes to your existing exposition to implement FDAP (please indicate page numbers and/or sections changed).

If part of your FDAP procedures is in documents other than your exposition, provide details of these document(s) and attach a copy.

If you have a summary of changes register, and have submitted a complete exposition, this may be submitted instead of completing below.

Attach additional pages if required

Attach required documents

Notification of proposed Safety Manager details

10 What are the details of the **proposed Safety Manager**?

Full name

ARN

Phone number

Email address

The proposed safety manager has:

- ☐ Satisfactorily completed the CASA safety manager assessment module in AviationWorx.

  Attach a copy of the AviationWorx training completion certificate

- ☐ The proposed safety manager has other SMS experience and/or qualifications.

  Attach a copy of their CV showing previous experience as a safety manager

  Attach copies of other certificates or educational qualifications, or other evidence that demonstrates competency as a safety manager

- ☐ Has the nominated safety manager been refused the issue of any aviation related authorisation such as a licence, certificate, rating, or authority, or been subject to any regulatory action that has resulted in the cancellation or suspension of any aviation related authorisation such as a licence, certificate, rating, or authority?
- ☐ Has the nominated safety manager had 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 or been declared bankrupt in Australia or a foreign country in the last 10 years?
- ☐ If the proposed safety manager performs other roles in your organisation, or for another organisation including as a safety manager, provide details of those other duties.

10 continued

Attach additional pages if required

Attach required documents

Notification of proposed alternate Safety Manager details

Nomination of an alternate Safety Manager is optional and not a requirement to implement SMS.

11 If you are proposing a person to be an **alternate Safety Manager**, provide the details of the proposed alternate Safety Manager

Full name

ARN

Phone number

Email address

11 continued

The proposed safety manager has:

- ☐ Satisfactorily completed the CASA safety manager assessment module in AviationWorx.

  Attach a copy of the AviationWorx training completion certificate

- ☐ The proposed alternate safety manager has other SMS experience and/or qualifications.

  Attach a copy of their CV showing previous experience as a safety manager

  Attach copies of other certificates or educational qualifications, or other evidence that demonstrates competency as a safety manager

- ☐ Has the nominated alternate safety manager been refused the issue of any aviation related authorisation such as a licence, certificate, rating, or authority, or been subject to any regulatory action that has resulted in the cancellation or suspension of any aviation related authorisation such as a licence, certificate, rating, or authority?
- ☐ Has the nominated alternate safety manager had 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 or been declared bankrupt in Australia or a foreign country in the last 10 years?
- ☐ If the proposed alternate safety manager performs other roles in your organisation, or for another organisation including as a safety manager, provide details of those other duties.

Application for approval under regulation 119.025 of CASR for the purpose of paragraph 119.080(1)(g)(ii) of CASR

Head of Flying Operations and Safety Manager positions to be occupied by the same person (only needed if you are not a micro-operator).

12 What are the details of the person holding the **HOFO position**?

Qualifications for HOFO to be safety manager must be provided in safety manager or alternate safety manager section above

Full name

ARN

Specify number of days required

Provide the rationale for requesting this approval, and why it is required

Notification checklist

13 Select/specify attachments:

- ☐ Complete Part 119 exposition and/or Part 138 safety management system manual containing the changes to implement SMS, HFNTS and/or FDAP (as applicable) is attached or have been submitted via MAAT
- ☐ If part of the procedures to implement SMS, HFNTS or FDAP (as applicable) are also contained in other documents or manuals (other than my Part 138 safety management manual or Part 119 exposition), a copy of those documents are attached
- ☐ A copy of proposed safety manager and/or proposed alternate safety manager AviationWorx safety manager assessment module completion certificate, or other evidence of SMS experience or training (as applicable) are attached
- ☐ Other additional supporting documentation is attached

If other please specify

Declaration

14 **I declare:**

- All statements in this notice are true and correct.
- The operations manual/exposition changes, and, if applicable, the Part 138 safety management system manual, and any associated documents provided with this submission, contain appropriate information to implement the relevant requirements of Parts 119 and 138 of CASR relating to SMS, HFNTS and/or FDAP, as applicable.

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

- I may commit an offence under the *Criminal Code Act 1995* if I make a false or misleading statement in my notice.
- 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 notice, is protected by the *Privacy Act 1988*.

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

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.

Declaration continued

For more information about how we use, disclose and protect your personal information, see our privacy statement and privacy policy.

- 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 notice in accordance with that policy.

Full name

Signature

Date (DD/MM/YYYY)

/ /

Role authority

15 In what capacity are you making this declaration?

Must be either CEO or agent under a Power of Attorney of the CEO.

- ☐ CEO
- ☐ Agent under a Power of Attorney

A Power of Attorney must be provided if the person making this declaration is **not** the individual or an office holder of the entity named in question 1.

Provide Power of Attorney

Submitting this form to CASA

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