



User's Instructions

When using the Compliance Matrix, there are four columns on the right-hand side (columns D, E, F and G) for providing answers.

Some of the cells under these columns require answers, while others may not. Unshaded cells (white background) should be answered with as much detail as possible. Information included in shaded cells (grey) is not necessarily required, but may be completed if considered that the information would be of assistance to CASA assessors. This will assist with expediting the assessment process.

Cells in column D require a Y for 'yes' or an N for 'no'. This answer is required for every line with a question, not optional. However, lines with no question do not require an answer.

Cells in column E require the Source or Document name. Other than the application form, you are required to include the name of the document in this cell.

Cells in column F require specific details of the reference, that is, the section within the document cited in column E.

Cells in column G require even more specific details of the reference, namely, the paragraph or sub-section where the information can be located.

The 'Exposition Manuals' Tab should be used to provide a full listing of the Manual Suite that relates to your application. A separate column is provided should you wish to provide an abbreviation for a particular manual. eg. Operations Manual Version 2.6 = OM.

By nominating an abbreviation for particular manuals, the time spent populating the compliance matrix will be reduced.

As you fill in the Compliance Matrix, remember to save the document periodically to avoid losing your data. If you wish to print the Compliance Matrix, it has been set up to print with the header the same on each page.

Please email sport@casa.gov.au for the excel version of this spreadsheet.



Part 149 Compliance Matrix - August 2021

Read the questions below:			List the name of each document that forms the full and complete exposition of the ASAO's organisation:			
Legislation references	Sub reference	Legislation Description	Y / N	Source / Document name (Manual, Form, Website, etc.)	Document section reference	Document paragraph reference
2.1 Organisation and Personnel - APPLICATION						
CASR 149.070	(1)	Is the application in writing?				
CASR 149.070	(2)	If the ASAO is a body corporate, is it incorporated in Australia?				
Does the application include the following:						
CASR 149.070	(3)(a)	the applicant's name and contact details?				
CASR 149.070	(3)(b)	any operating or business name, established or proposed, including its ABN (if any)?				
CASR 149.070	(3)(c)	the physical address at which the person proposed to be appointed as accountable manager of the ASAO will perform their duties and responsibilities?				
if the applicant is a corporation:						
CASR 149.070	(3)(d)	the name of each of the officers of the corporation, the corporation's ACN, and the address of the corporation's registered office?				
details of the aviation administration's functions that are covered by the application, including:						
CASR 149.070	(3)(e)(i)	the kinds of aircraft (if any) that the applicant proposes to administer?				
CASR 149.070	(3)(e)(ii)	the activities that the applicant proposes to administer?				
CASR 149.070	(3)(e)(iii)	any enforcement powers that the ASAO proposes to exercise?				
is there a written undertaking from the person proposed to be appointed as accountable manager of the applicant's organisation affirming that:						
CASR 149.070	(3)(f)(i)	they are capable of operating in accordance with the applicant's exposition and the civil aviation legislation?				
CASR 149.070	(3)(f)(ii)	they will operate in accordance with the applicant's exposition and the civil aviation legislation?				
CASR 149.070	(4)(a)	Is the application accompanied by the applicant's proposed exposition?				
CASR 149.070	(4)(b)	Has the application been signed by the person proposed to be appointed as the ASAO's accountable manager?				
2.2 Organisation and Personnel - ORGANISATION STRUCTURE						
Does the exposition include:						
MOS 149.7.37	(2)(a)	The ASAO's name and contact details?				
MOS 149.7.37	(2)(b)	any operating or business name of the ASAO, including its ABN (if any)?				
MOS 149.7.37	(2)(c)	the principal physical address at which the ASAO's accountable manager performs their duties and responsibilities?				
MOS 149.7.37	(2)(d)	the name of each of the corporation's directors, executive officers, secretaries, its ACN, and the address of its registered office - if it is a corporation?				
MOS 149.7.37	(2)(d)	if not a corporation/company, the name of those persons in equivalent positions to a corporation's directors, executive officers, and secretaries?				
MOS 149.7.37	(2)(e)	a description and diagram of the ASAO's organisation showing formal reporting lines, including the formal reporting lines for each of the key personnel?				
CASR 149.195 CASR 149.075	(1) (1)(b)(i)	Does the ASAO's exposition establish a structure that can be maintained and that effectively manages its aviation administration functions, taking into account the nature and complexity of the functions that can be maintained? (resourcing, personnel, etc.)				
CASR 149.195 MOS 149.7.37	(2) (2)(i)	Does the ASAO's exposition include a description of the procedures that describe how the ASAO ensures it has enough suitably competent, qualified and trained personnel to perform its approved functions, in accordance with its exposition and the civil aviation legislation?				
CASR 149.195	(3)	How does the ASAO ensure that key personnel carry out the responsibilities of the person's position in a way that does not contravene the ASAO's exposition or Subpart 149.D?				
2.3 Organisation and Personnel - ACCOUNTABLE MANAGER						
Does the ASAO's exposition include:						
CASR 149.340 CASR 149.210	(a)(i) (1)	the qualifications and experience (if any) required for the position of accountable manager?				
CASR 149.340 CASR 149.210	(a)(ii) (1)(b)	each matter (if any) for which the position of accountable manager is responsible?				
CASR 149.340	(a)(iii)	the responsibilities of the accountable manager position under the Part 149 MOS (if any)?				
CASR 149.340	(a)(iv)	the name of the person appointed as the accountable manager?				
CASR 149.340	(a)(v)	the name of each person authorised to carry out the responsibilities of the accountable manager when the position holder is absent and/or cannot carry out the responsibilities?				
CASR 149.340	(a)(vi)	a description of how the ASAO will manage the responsibilities of the accountable manager when the appointed person is absent and/or cannot carry out the responsibilities?				
CASR 149.075 CASR 149.210	(1)(d) (1)(a)	Does the individual nominated to hold the position of accountable manager have the qualifications and experience required by the applicant's proposed exposition?				



Part 149 Compliance Matrix - August 2021

Read the questions below:			List the name of each document that forms the full and complete exposition of the ASAO's organisation:			
Legislation references	Sub reference	Legislation Description	Y / N	Source / Document name (Manual, Form, Website, etc.)	Document section reference	Document paragraph reference
CASR 149.215 MOS 149.6.36 CASR 149.075	(1) (c) (1)(b)(i)	a commitment that the accountable manager will report to CASA, in writing, as soon as practicable, and not later than seven days after becoming aware of the matter, that a person has overridden an aviation safety-related decision of a key personnel member of the ASAO?				
2.4 Organisation and Personnel - SAFETY MANAGER						
<u>Does the ASAO's exposition include:</u>						
CASR 149.340 CASR 149.210	(a)(i) (2)(a)	the qualifications and experience (if any) required for the position of safety manager?				
CASR 149.340 CASR 149.210	(a)(ii) (2)(b)	each matter (if any) for which the position of safety manager is responsible?				
CASR 149.340	(a)(ii)	the responsibilities of the safety manager position under the Part 149 MOS (if any)?				
CASR 149.340	(a)(iii)	the name of the person appointed as the safety manager?				
CASR 149.340	(a)(iv)	the name of each person authorised to carry out the responsibilities of the safety manager when the position holder is absent and/or cannot carry out the responsibilities?				
CASR 149.340	(a)(v)	a description of how the ASAO will manage the responsibilities of the safety manager when the appointed person is absent and/or cannot carry out the responsibilities?				
CASR 149.075 CASR 149.210 CASR 149.340	(1)(d) (2)(a) (a)(i)	Does the individual nominated to hold the position of safety manager have the qualifications and experience required by the applicant's proposed exposition?				
CASR 149.085 MOS 149.7.37	(f) (2)(h)	<u>assurance that the position of safety manager and any other key personnel position are only occupied by the same person simultaneously in, either:</u>				
CASR 149.085	(f)(i)	an unforeseen circumstance, and for the period specified in the ASAO's exposition? OR				
CASR 149.085	(f)(ii)	in the circumstances, and for the period, for which the ASAO holds an approval issued under regulation 149.005?				
CASR 149.215 MOS 149.6.36 CASR 149.075	(2) (c) (1)(b)(i)	a commitment that the safety manager will report to CASA, in writing, as soon as practicable, and not later than seven days after becoming aware of the matter, that a person has overridden an aviation safety-related decision of a key personnel member of the ASAO?				
2.5 Organisation and Personnel - KEY PERSONNEL						
<u>Does the ASAO's exposition include:</u>						
CASR 149.340 CASR 149.210	(a)(i) (3)(b)	the qualifications and experience (if any) required for positions of key personnel?				
CASR 149.340 CASR 149.210	(a)(ii) (3)(a)	each matter (if any) for which positions of key personnel are responsible?				
CASR 149.340	(a)(ii)	the responsibilities of key personnel positions under the Part 149 MOS (if any)?				
CASR 149.340	(a)(iii)	the name of the persons appointed as key personnel?				
CASR 149.340	(a)(iv)	the name of each person authorised to carry out the responsibilities of key personnel when the position holder is absent and/or cannot carry out the responsibilities?				
CASR 149.340	(a)(v)	a description of how the ASAO will manage the responsibilities of key personnel when the appointed person is absent and/or cannot carry out the responsibilities?				
CASR 149.075 MOS 149.5.33	(1)(c) (3)(c)	Has the ASAO nominated individuals for each of the key personnel positions required for the organisation?				
CASR 149.075 CASR 149.210 CASR 149.340	(1)(d) (1)(a) (a)(i)	Do the individuals nominated to hold key personnel positions have the qualifications and experience required by the applicant's proposed exposition?				
CASR 149.210	(3)(b)	Other than the accountable manager and the safety manager, are the key personnel's experience and qualifications commensurate with the risk associated with the ASAO's approved functions?				
<u>Does the ASAO maintain a register for each of the key personnel, including:</u>						
CASR 149.220	(1)(a)	the title of the position?				
CASR 149.220	(1)(b)	the name of the person occupying the position?				
CASR 149.220	(1)(c)	the date the person began occupying the position?				
CASR 149.220	(1)(d)	the date the person ceased to occupy the position (if applicable)?				
<u>Does the ASAO's exposition ensure that each key personnel vacancy is:</u>						
CASR 149.085 MOS 149.7.37	(d)(i) (2)(g)	notified to CASA within the period specified in the ASAO's exposition of the vacancy ?				
CASR 149.085	(d)(ii)	fill the vacancy within the period specified within the ASAO's exposition?				
CASR 149.200 CASR 149.075	(1) (1)(b)(i)	Does the ASAO's exposition provide a commitment that if the ASAO becomes aware that any of the key personnel is absent and cannot carry out, or are likely to be unable to carry out, their responsibilities for longer than 35 days, CASA will be advised of the fact within:				



Part 149 Compliance Matrix - August 2021

Read the questions below:			List the name of each document that forms the full and complete exposition of the ASAO's organisation:			
Legislation references	Sub reference	Legislation Description	Y / N	Source / Document name (Manual, Form, Website, etc.)	Document section reference	Document paragraph reference
CASR 149.200	(1)(a)	5 days after the ASAO becomes aware of the fact if there is not another person authorised to carry out responsibilities for all or part of the period?				
CASR 149.200	(1)(b)	10 days after the ASAO becomes aware of the fact if there is another person authorised to carry out the responsibilities for all or part of the period?				
CASR 149.205 CASR 149.075	(1)(b)(i)	Does the ASAO's exposition contain procedures to ensure that, before a person appointed as any of the ASAO's key personnel begins to carry out the responsibilities associated to the position, they complete any training that is necessary to familiarise them with the relevant responsibilities?				
2.6 Organisation and Personnel - OTHER PERSONNEL						
<u>Does the exposition include information for each position occupied by a person appointed by the ASAO to perform an approved function on behalf of the ASAO, including:</u>						
CASR 149.340	(b)(i)	the duties and responsibilities of each position?				
CASR 149.340	(b)(ii)	how a person will be selected, trained and authorised to perform the duties and responsibilities of the position?				
CASR 149.340	(b)(iii)	the qualifications, knowledge and experience required for the position?				
2.6 Organisation and Personnel - OTHER PERSONNEL						
CASR 149.085 CASR 149.075	e (1)(b)(i)	<u>Does the ASAO's exposition contain procedures to ensure that all of the following personnel are aware of their duties and responsibilities to comply with each provision of the civil aviation legislations that applies to the ASAO's approved functions:</u>				
CASR 149.085 CASR 149, Part 1 Definitions	(e) (a)	an employee of the ASAO?				
CASR 149, Part 1 Definitions	Personnel (b)	a person engaged by the ASAO (whether by contract or other arrangement) to provide service to the ASAO?				
CASR 149, Part 1 Definitions	Personnel (c)	an employee of a person engaged by the ASAO (whether by contract or other arrangement) to provide service to the ASAO?				
CASR 149, Part 1 Definitions	Personnel (d)	a person appointed by the ASAO to perform an approved function on behalf of the ASAO?				
MOS 149.7.37	(2)(f)	Does the ASAO's exposition include a process for the ASAO to follow in the event one of its personnel fails to carry out his/her duties or responsibilities in relation to the ASAO's approved functions?				
<u>Does the ASAO maintain a register for each person appointed to perform an approved function on behalf of the ASAO, including:</u>						
CASR 149.220	(2)(a)	the name of the person?				
CASR 149.220	(2)(b)	each approved function that the person performs on behalf of the ASAO?				
CASR 149.220	(2)(c)	the date the person began performing each function?				
CASR 149.220	(2)(d)	the date the person ceased to perform each function (if applicable)?				
2.7 Aviation Administration Functions and Facilities - FUNCTIONS						
<u>Does the ASAO's exposition:</u>						
MOS 149.7.37	(2)(r)	include a copy of each document prepared by the ASAO that contains the ASAO's rules and procedures relevant to its approved functions?				
CASR 149.340	(c)	contain a description of each of the ASAO's approved functions?				
CASR 149.340	(d)(i), (ii)	contain the procedures by which the ASAO ensures that the performance of each approved function complies with the ASAO's exposition and the civil aviation legislation?				
2.8 Aviation Admin. Functions and Facilities - FACILITIES & EQUIPMENT						
CASR 149.280 CASR 149.075	(1)(b)(i)	Does the ASAO have the facilities and equipment necessary to perform the ASAO's approved functions, including appropriate equipment to allow its personnel to perform their duties?				
2.9 Aviation Admin. Functions and Facilities - REF. LIBRARY & ASAO DOCUMENTATION						
CASR 149.350 CASR 149.075	(1) (1)(b)(i)	Does the ASAO keep the exposition in a readily accessible form?				
CASR 149.350	(1)(b)	Is the exposition readily available to members of the ASAO's personnel?				
CASR 149.350	(1)(c)	Is the exposition readily available to holders of an authorisation issued by the ASAO?				
CASR 149.350	(1)(d)	Is the exposition readily available to CASA?				
CASR 149.350	(1)(e)	Does the ASAO ensure its exposition is up to date?				
CASR 149.075 CASR 149.285 MOS 149.5.35	(1)(b)(iii) (1) (1)(a)(b) (2)(a)(b)(c)	<u>Does the ASAO ensure it provides access to reference materials relevant to the performance of the ASAO's approved functions, which include:</u>				
CASR 149.285	(1)(a)	the civil aviation legislation?				



Part 149 Compliance Matrix - August 2021

Read the questions below:			List the name of each document that forms the full and complete exposition of the ASAO's organisation:			
Legislation references	Sub reference	Legislation Description	Y / N	Source / Document name (Manual, Form, Website, etc.)	Document section reference	Document paragraph reference
CASR 149.285	(1)(b)	technical standards and practices?				
CASR 149.285	(1)(c)	technical bulletins and instructions?				
CASR 149.285	(1)(d)	manuals for equipment used by the ASAO's personnel?				
CASR 149.285 MOS 149.5.35	(1)(e) (1)(a)(b) (2)(a)(b)(c)	the other materials prescribed by the Part 149 MOS, if applicable?				
CASR 149.285 CASR 149.075	(2) (1)(b)(iii)	Does the ASAO ensure that its reference materials are readily available to:				
CASR 149.285	(2)(a)	the ASAO's personnel and the holders of authorisations from the ASAO?				
2.10 Systems and Processes - AVIATION ADMINISTRATION AND ENFORCEMENT RULES						
CASR 149.340 MOS 149.6.36	(g) (a)-(e)	Does the ASAO's exposition set out its aviation administration rules?				
CASR 149.340 MOS 149.6.36	(g) (a)-(e)	Does the ASAO's exposition set out its enforcement rules?				
CASR 149.290	(1)	Do the ASAO's aviation administration and enforcement rules include:				
CASR 149.290	(1)(a)	a process for applying for an authorisation from the ASAO to undertake an activity administered by the ASAO, including the information that must be included in the application?				
CASR 149.290 CASR 149.400	(1)(b)	the eligibility criteria for issuing an authorisation by the ASAO to undertake an activity administered by the ASAO?				
CASR 149.290	(1)(c)	the conditions that may be attached to an authorisation issued by the ASAO?				
CASR 149.290	(1)(d)	procedures related to the variation, suspension and cancellation of authorisations at the authorisation holder's request?				
CASR 149.290	(1)	Do the ASAO's aviation administration and enforcement rules include:				
CASR 149.290 CASR 149.605	(1)(e) (2)	procedures relating to the internal review of decisions made by the ASAO?				
CASR 149.290	(1)(f)(i)(ii)	if the ASAO is authorised to exercise ASAO enforcement powers, the circumstances and procedures related to when and how these powers are exercised?				
CASR 149.290	(1)(g)	procedures that require the safe conduct by authorisation holders at all times?				
CASR 149.290	(1)(h)	measures for providing an authorisation holder with preventative, corrective or remedial solutions to identified training or skills deficiencies?				
CASR 149.290	(1)(i)	any disciplinary action to be undertaken by the ASAO in relation to authorisation holders?				
CASR 149.290	(1)(j)	an effective and appropriate review process in relation to any preventative, corrective, remedial or disciplinary action undertaken by the ASAO?				
CASR 149.290 MOS 149.6.36 CASR 149.425	(1)(k) (a)	a process for ensuring that reports about the conduct of authorisation holders, as required by CASR 149.425, are submitted to CASA within the time specified in the ASAO's exposition?				
CASR 149.290 MOS 149.6.36	(1)(k) (b)	a process for ensuring that reports are submitted to CASA about applications for authorisations that fall under Part 149.430 of CASR (previously varied or cancelled authorisations)?				
CASR 149.290 MOS 149.6.36	(1)(k) (c)	rules governing how the ASAO will manage safety risks if an authorisation holder or a member of the ASAO's personnel overrides, or attempts to override, an aviation safety-related decision of a member of the ASAO's key personnel?				
CASR 149.290 MOS 149.6.36	(1)(k) (d)	a requirement to give a person who is affected by an enforcement decision written notice of the person's internal review and CASA review rights?				
CASR 149.290 MOS 149.6.36	(1)(k) (e)	a process for notifying CASA, in writing, of:				
CASR 149.290 MOS 149.6.36	(1)(k) (e)(f)	the exercise of the ASAO's enforcement powers?				
CASR 149.290 MOS 149.6.36	(1)(k) (e)(ii)	preventative, corrective, remedial or disciplinary action undertaken by the ASAO that relates to the contravention or suspected contravention by an authorisation holder of the ASAO's exposition?				
CASR 149.290 CASR 149.075	(2) (1)(b)(i)	Does the ASAO's aviation administration and enforcement rules show due regard to procedural fairness?				
CASR 149.400 MOS 149.6.36 CASR 149.075	(1) (a)-(e) (1)(b)(i)	Does the ASAO only reject an application by a person for an authorisation based solely on the eligibility criteria set out in the ASAO's administration and enforcement rules?				
CASR 149.615 CASR 149.620 CASR 149.075	(1)(b)(i)	Has the ASAO made a commitment that when notified under CASR 149.615, it will provide CASA, within 28 days after such notification, with the information and documents as required under CASR 149.620?				
2.11 Systems and Processes - COMPLIANCE AND REPORTING PROCEDURES						
CASR 149.435 CASR 149.075	(1)(2)(3)(4) (1)(b)(i)	Has the ASAO made a commitment that, unless CASA gives approval, the ASAO does not issue a new authorisation to any person who:				



Part 149 Compliance Matrix - August 2021

Read the questions below:			List the name of each document that forms the full and complete exposition of the ASAO's organisation:			
Legislation references	Sub reference	Legislation Description	Y / N	Source / Document name (Manual, Form, Website, etc.)	Document section reference	Document paragraph reference
CASR 149.435	(1)(a)-(d)	already holds an authorisation issued by the ASAO, another sport aviation body, CASA or an NAA in a foreign country, that is the same in substance as that being applied for, and the ASAO knows <u>it is currently suspended</u> under circumstances other than at the person's request?				
CASR 149.435	(2)(a)-(d)	already holds, or has held, an authorisation issued by the ASAO, another sport aviation body, CASA or an NAA in a foreign country, that is same in substance as that being applied for, and the ASAO knows the other authorisation <u>was varied</u> under circumstances other than at the person's request?				
CASR 149.435	(3)(a)-(d)	has held an authorisation issued by the ASAO, another sport aviation body, CASA or an NAA in a foreign country, that is the same in substance as that being applied for, and the ASAO knows the authorisation <u>was cancelled</u> under circumstances other than at a person's request?				
CASR 149.440 CASR 149.075	(1)(2) (1)(b)(f)	Has the ASAO made a commitment that, unless CASA gives approval, does not issue an authorisation to a person applying for an authorisation when that person already holds an authorisation that is the same in substance, and the ASAO knows there is an exclusion period in force under section 30A of the Act in relation to the person and the already-held authorisation?				
CASR 149.500 CASR 149.075	(3) (1)(b)(f)	Has the ASAO made a commitment that, if CASA cancels an authorisation issued by the ASAO under CASR Part 149.495, the ASAO will not grant the person an authorisation that is the same in substance until three (3) years after the day that cancellation takes effect?				
CASR 149.085 CASR 149.075	(1)(b)(f)	<u>Has the ASAO made a commitment to comply with:</u>				
CASR 149.085	(a)	its own exposition and the civil aviation legislation?				
CASR 149.085	(b)	any direction given to the ASAO, or obligation imposed on the ASAO, by CASA under a provision of the CASR Part 149 regulations?				
CASR 149.490	(1)(2)	a direction given to the ASAO by CASA to exercise its enforcement power in relation to the holder of the ASAO's authorisation within twenty (20) days?				
CASR 149.620	(1)(2)	regulation 149.620, which states that, within twenty-eight (28) days after receiving notice under regulation 149.615, it will provide CASA with the statement and documents set out in regulation 149.620?				
CASR 149.540	(4)	producing and/or providing CASA with the documents and/or information specified in the notice given by CASA, as required by CASR 149.540, within seven (7) days at least after the period specified in the notice?				
2.12	Systems and Processes - AIRCRAFT ADMINISTRATION PROCEDURES					
MOS 149.2.B.14	(2)	If the ASAO is approved to establish and maintain a register of aircraft, <u>does the register include:</u>				
MOS 149.B.14	(2)(a)	a description of the aircraft, including the manufacturer and the model?				
MOS 149.B.14	(2)(b)	the aircraft's construction number or serial number (if any)?				
MOS 149.B.14	(2)(c)	the unique identifier issued by the ASAO in respect of the aircraft?				
MOS 149.B.14	(2)(d)	the name and address of the owner of the aircraft?				
MOS 149.B.14	(2)(e)	the name and address of the operator of the aircraft?				
MOS 149.7.37	(2)(q)	If the ASAO is approved to establish and maintain a register of aircraft, does the exposition include a description of the procedures to both register aircraft and to publish the aircraft register?				
2.13	Systems and Processes - ASAO MoUs & AGREEMENTS					
MOS 149.7.37	(2)(k)	If the ASAO has entered into an MoU or an agreement with another ASAO to mutually ensure that the activities of the organisations would not likely have an adverse effect on the safety of air navigation, <u>does the ASAO's exposition (if required by CASA) include a copy of any document containing a description of the processes and procedures relating to:</u>				
MOS 149.7.37	(2)(k)(i)	the information sharing arrangements between the organisations?				
MOS 149.7.37	(2)(k)(ii)	the operational cooperation arrangements between the organisations?				
2.14	Systems and Processes - FATIGUE MANAGEMENT					
MOS 149.7.37	(2)(l)	Does the exposition include a description of how the ASAO manages the risk of human fatigue in the performance of the ASAO's approved functions?				
2.15	Systems and Processes - DRUG AND ALCOHOL POLICY					
MOS 149.7.37	(2)(j)	If CASA requires the ASAO to have an alcohol and other drugs policy, is it included in the exposition?				
2.16	Systems and Processes - CHANGE MGMT & RECORD KEEPING PROCESSES					
MOS 149.7.37	(2)(m)	Does the exposition include a description of the ASAO's record keeping and retention procedures?				
		<u>Does the ASAO's exposition contain:</u>				
CASR 149.340	(h)	the <u>kinds of changes</u> to the ASAO's exposition that do not require approval by CASA?				
MOS 149.37.7 CASR 149.340	(2)(o) (h)	the ASAO's <u>process for identifying a change</u> to the exposition that does not require CASA approval?				
CASR 149.340	(i)	the ASAO's <u>process for managing changes</u> to the ASAO's exposition that do not require CASA approval?				
CASR 149.340	(f)(f)	the ASAO's process for notifying the ASAO's personnel and CASA of any changes that do not require CASA approval?				



Part 149 Compliance Matrix - August 2021

Read the questions below:			List the name of each document that forms the full and complete exposition of the ASAO's organisation:			
Legislation references	Sub reference	Legislation Description	Y / N	Source / Document name (Manual, Form, Website, etc.)	Document section reference	Document paragraph reference
CASR 149.340	(i)(ii)	a respective timeframe for notifying the ASAO's personnel and CASA of any changes that do not require CASA approval?				
MOS 149.37.7 CASR 149.115	(2)(p)(i)	the ASAO's <u>process for applying</u> to CASA to obtain approval of any changes?				
MOS 149.37.7 CASR 149.115	(2)(p)(ii)	the ASAO's <u>process for notifying</u> the ASAO's personnel of any approved changes?				
CASR 149.340 CASR 149.550	(j) (1)(2)	<u>Does the exposition include a description of the procedures on how the ASAO will provide CASA, within thirty (30) days after any of the following events occur, with copies of all documents the ASAO used when performing its approved functions if:</u>				
CASR 149.550	(1)(a),(2)	the ASAO becomes incapable of complying with its obligations under the civil aviation legislation?				
CASR 149.550	(1)(b),(2)	the ASAO becomes insolvent under administration (if the ASAO is an individual)?				
CASR 149.550	(1)(c),(2)	the ASAO becomes a Chapter 5 body corporate (if the ASAO is a body corporate)?				
CASR 149.550	(1)(d),(2)	CASA cancels the certificate it issued to the ASAO?				
2.17	Systems and Processes - SAFETY MANAGEMENT SYSTEM					
CASR 149.340 CASR 149.270 MOS 149.5.33	(e) (a)(b)	<u>Does the exposition include a description of the ASAO's safety management system that:</u>				
CASR 149.270	(a)	is appropriate for the ASAO's approved functions, taking into account the nature and complexity of the functions, as well as the size of the ASAO?				
CASR 149.270 MOS 149.5.33	(b)	complies with the requirements prescribed by the Part 149 MOS Chapter 5.33?				
2.18	Systems and Processes - AUDIT AND SURVEILLANCE SYSTEM					
CASR 149.340 CASR 149.275 MOS 149.5.34	(f)	<u>Does the exposition describe the ASAO's audit and surveillance system that complies with the requirements prescribed in the Part 149 MOS, specifically:</u>				
MOS 149.5.34	(a)	is the audit and surveillance system appropriate for the ASAO's approved functions, taking into account the nature, complexity and inherent risk of the functions, as well as the size of the ASAO?				
MOS 149.5.34	(b)	does the audit and surveillance system include policies, processes and procedures for the conduct of audit and surveillance relevant to the ASAO's approved functions?				
MOS 149.5.34	(c)	does the ASAO's audit and surveillance system include a process for regular evaluation of the holder of an authorisation issued by the ASAO with respect to compliance by the holder with requirements set out in the ASAO's policies and procedures?				
		<u>Does the ASAO's audit and surveillance system include a process for evaluating, at least once every two years, the holder of each authorisation issued by the ASAO who may:</u>				
MOS 149.5.34	(d)(i)	issue authorisations on behalf of the ASAO?				
MOS 149.5.34	(d)(ii)	recommend the issue of an authorisation to the ASAO?				
MOS 149.5.34	(e)	Does the ASAO's audit and surveillance system include a process for production of the audit and surveillance records to CASA upon CASA's request?				
		<u>Does the ASAO's audit and surveillance system capture the following data related to the ASAO's approved functions, specifically on the number and kinds of:</u>				
MOS 149.5.34	(f)	members, authorisations, aircrafts, accidents, incidents, defects, and fatalities?				

