



# ACCEPTABLE MEANS OF COMPLIANCE AND GUIDANCE MATERIAL

The background features a navigation chart with various lines, numbers, and text like 'NAVIGATION', 'WAC SCALE 1:1,000,000', and 'JANOVCE'. Overlaid on this are geometric shapes in orange and blue. In the bottom right, there is a black and white image of hands writing on a document.

## Australian air transport operators—certification and management

Part 119 of CASR

<b>Date</b>	December 2021
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*An Acceptable Means of Compliance (AMC) explains how one or more requirements of the Civil Aviation Safety Regulations 1998 (CASR) for the issue of a certificate, licence, approval or other authorisation, can be met by an individual or organisation applying to the Civil Aviation Safety Authority (CASA) for the authorisation.*

*AMC are non-binding advisory documents issued by CASA which may be used by persons and organisations to achieve compliance with CASR.*

*Applicants are not required to utilise an AMC to comply with a legislative requirement but if they do, CASA will issue the authorisation to which the AMC relates.*

*AMC do not articulate the only way compliance can be achieved. Individuals and operators may, on their own initiative, propose other ways of meeting the requirements of CASR; however, any such proposal will be subject to separate assessment by CASA to determine whether the proposed methods are likely to produce the required legislative outcome.*

*Guidance material (GM) is non-binding material issued by CASA which helps to illustrate the meaning of a requirement or specification in CASR. It provides explanations of the CASR and sometimes an amplification of the policy intention underpinning the applicable provision of CASR, rather than a means of complying with it. GM should be read in conjunction with the applicable provision of CASR and AMC. GM is identified by grey shaded text.*

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## Status

This version of the AMC and GM is approved by the Branch Manager, Flight Standards.

**Note:** Changes made in the current version are annotated with change bars.

Version	Date	Details
v2.2	December 2021	Added references to additional exemptions incorporated into EX82/21 by EX147/21, and into EX87/21 by EX145/21. Updated the links to CASA's guidance material.
v2.1	November 2021	Amendments to GM 119.010 in relation to the explanation of 'reward', additional information related to alternate key persons in GM 119.090 and GM 119.115, added information regarding applicable exemptions and directions
v2.0	September 2021	Significant additions to GM 119.010 and other editorial amendments.
v1.0	November 2020	Initial AMC/GM.

Unless specified otherwise, all subregulations, regulations, Divisions, Subparts and Parts referenced in this AMC/GM are references to the *Civil Aviation Safety Regulations 1998* (CASR).

# 1 Reference material

## 1.1 Acronyms

The acronyms and abbreviations used in this AMC and GM are listed in the table below.

<b>Acronym</b>	<b>Description</b>
AIP	Aeronautical Information Publication
AMC	acceptable means of compliance
AOC	Air Operator's Certificate
the Act	<i>Civil Aviation Act 1988</i>
CAR	<i>Civil Aviation Regulations 1988</i>
CASA	Civil Aviation Safety Authority
CASR	<i>Civil Aviation Safety Regulations 1998</i>
CEO	Chief Executive Officer
CVR	cockpit voice recorder
FDAP	flight data analysis program
FDR	flight data recorder
FSTD	flight simulator training device
GM	guidance material
HF	human factors
HOFO	Head of Flying Operations
HOTC	Head of Training and Checking
NTS	non-technical skills
PIC	pilot in command
SM	Safety Manager
SMS	safety management system

## 1.2 Definitions

Terms that have specific meaning within this AMC and GM are defined in the table below. Where definitions from the civil aviation legislation have been reproduced for ease of reference, these are identified by 'grey shading'. Should there be a discrepancy between a definition given in this AMC and GM and the civil aviation legislation, the definition in the legislation prevails.

Term	Definition
air transport operation	<p>(1) An air transport operation is a passenger transport operation, a cargo transport operation or a medical transport operation, that:</p> <ul style="list-style-type: none"> <li>(a) is conducted for hire or reward; or</li> <li>(b) is prescribed by an instrument issued under regulation 201.025.</li> </ul> <p>(2) Despite subclause (1), an air transport operation does not include an aerial work operation or a balloon transport operation.</p>
cargo transport operation	<p>cargo transport operation:</p> <ul style="list-style-type: none"> <li>(a) means an operation of an aircraft that involves the carriage of cargo and crew only; but</li> <li>(b) does not include the following: <ul style="list-style-type: none"> <li>(i) an operation conducted for the carriage of the possessions of the operator or the pilot in command for the purpose of business or trade;</li> <li>(ii) a medical transport operation.</li> </ul> </li> </ul>
medical transport operation	<p>(1) A medical transport operation is an operation:</p> <ul style="list-style-type: none"> <li>(a) the primary purpose of which is to transport one or more of the following: <ul style="list-style-type: none"> <li>(i) medical patients;</li> <li>(ii) medical personnel;</li> <li>(iii) blood, tissue or organs for transfusion, grafting or transplantation; or</li> </ul> </li> <li>(b) of a kind prescribed by the Part 119 Manual of Standards for the purposes of this paragraph.</li> </ul> <p>Note: Other medical supplies (including medical equipment and medicines) might also be transported on an aircraft for a medical transport operation.</p> <p>(2) Despite subclause (1), an operation is not a medical transport operation if the operation is of a kind prescribed by the Part 119 Manual of Standards for the purposes of this subclause.</p>
passenger transport operation	<p>(1) A passenger transport operation is an operation of an aircraft that involves the carriage of passengers, whether or not cargo is also carried on the aircraft.</p> <p>(2) Despite (1), an operation is not a passenger transport operation if the operation is:</p> <ul style="list-style-type: none"> <li>(a) an operation of an aircraft with a special certificate of airworthiness; or</li> <li>(b) a cost-sharing flight; or</li> <li>(c) a medical transport operation; or</li> <li>(d) if the registered operator of an aircraft is an individual—an operation of the aircraft: <ul style="list-style-type: none"> <li>(i) that involves the carriage of that individual; and</li> <li>(ii) does not also involve the carriage of other passengers; or</li> </ul> </li> <li>(e) if the registered operator of an aircraft is an individual—an operation of the aircraft: <ul style="list-style-type: none"> <li>(i) that involves the carriage of that individual; and</li> <li>(ii) involves the carriage of other passengers; and</li> </ul> </li> </ul> <p>for which no payment or reward is made or given in relation to the carriage of the other passengers or cargo.</p>

## 1.3 References

### Legislation

Legislation is available on the Federal Register of Legislation website <https://www.legislation.gov.au/>

Document	Title
Part 119 of CASR	Australian air transport operators—certification and management
Part 121 of CASR	Australian air transport operations—larger aeroplanes
Part 133 of CASR	Australian air transport operations—rotorcraft
Part 135 of CASR	Australian air transport operations—smaller aeroplanes
CASA EX82/21	Part 119 of CASR - Supplementary Exemptions and Directions Instrument 2021
CASA EX87/21	Flight Operations Regulations - SMS, HFP&NTS and T&C Systems - Supplementary Exemptions and Directions Instrument 2021

### Advisory material

CASA's advisory materials are available at <https://www.casa.gov.au/resources-and-education/publications-and-resources/guidance-material>

Document	Title
AC 1-02	Guide to the preparation of expositions and operations manuals
AC 119-01	Safety management systems for air transport operations
AC 119-04	Flight data analysis programmes (FDAP) for air transport operations
AC 119-07	Management of change for aviation organisations
AC 119-11	Training and checking systems
AC 119-12	Non-technical skills training and assessment for air transport operations

## 1.4 Forms

CASA's forms are available at <http://www.casa.gov.au/forms>

Form number	Title
1591	Safety Management System (SMS) evaluation tool

## 2 Subpart 119.A—General

There is a Part 11 direction in force in relation to the use of Electronic Flight Bags (EFB) by Australian air transport operators. It is recommended that operators review section 5 of CASA EX82/21.

### **GM 119.005 What Part 119 is about**

Part 119 of the Civil Aviation Safety Regulations 1998 (CASR) prescribes requirements relating to the certification and management of Australian air transport operators and the Australian air transport operations they conduct.

Part 119 has applicability for operators conducting or intending to conduct Parts 121,133 or 135 operations for the transport of passengers and/or cargo, and for medical transport operations.

### **GM 119.010 Definition of Australian air transport operation**

The CASR Dictionary provides definitions for the following:

- *air transport operation*
- *passenger transport operation*
- *cargo transport operation*
- *medical transport operation.*

The definition of *air transport operation* states that an aerial work operation is not an air transport operation.

Regulation 119.010 defines what constitutes an Australian air transport operation and what is not an Australian air transport operation.

#### Hire or reward

The key criteria for an air transport operation is that it be conducted for hire or reward. In most cases, the concept of hire will be clear, so that if the operator is receiving payment to conduct the flight, that element is met.

It can be difficult however to identify if an operation is conducted for reward, though that is a broad concept. The receipt of a reward could involve, but is not limited to, any of the following:

- where the operator receives anything of value
- goodwill in the form of current or future economic benefit.

A reward need not require a profit or profit motive or the actual payment of monies.

#### Examples of a reward

If an operator is evaluating whether they are conducting an air transport operation, and the flight or operation does not clearly fit under the "hire" element of the definition of an air transport operation, then the operator will need to consider whether the operation is being conducted for a reward. It is recommended that the operator seeks independent legal advice whether the flight or the operation is being conducted for reward. Limited advice is available



from CASA via the Guidance Delivery Centre, noting that, unless comprehensive information regarding the relevant operational and financial circumstances is provided, it may not be possible for CASA to provide a definitive answer.

The following list contains general examples of operational scenarios that might be considered to be conducted for 'reward'. This list does not cover all circumstances, or all variations of a listed circumstance:

- a flight or operation where the operator (which can be a sole pilot) receives a reimbursement of expenses (any operating cost such as fuel, landing charges, maintenance)
- if the operation is for the purpose of transporting employees of the operator in the context of a business enterprise

Example: A mining company 'fly-in, fly-out' operation that is not contracted to an airline but instead operated directly by the company.

**Note:** An operation is taken not to be an air transport operation if the registered operator of an aircraft is an individual (not a company) that is carried in the aircraft, or if the individual is carried with other passengers; for which no payment or reward is made or given in relation to their or for carriage of cargo.

- if the operation is being conducted in a commercial or business context  
Example: The operator of an aircraft is a volunteer organisation that transports young persons for an 'air experience', a fee is received from these persons that contributes to the cost of the flight but the pilot does not contribute an equal share of the costs (i.e. it does not fit under the definition of *cost-sharing flight*).
- if a government entity is funded to conduct flights e.g., to carry employees of the entity or other agencies
- when a pilot is paid to conduct a flight, it is not always the case that the reward element is satisfied as this element is dependent on whether the operator (see the CASR Dictionary definition of this term) - not the pilot as an individual - is receiving a reward.

#### Which kind of air transport operations is being conducted?

The understanding of these definitions is critical, as regulation 119.050 requires a person conducting an Australian air transport operation to hold an Australian air transport air operator's certificate (AOC) that authorises Australian air transport operations. In turn, an Australian air transport operator is defined as a person who holds an Australian air transport AOC.

Whilst the definition of cargo transport operation clearly excludes a passenger transport operation, when determining whether or not a flight is a medical transport operation, or a passenger transport operation or cargo transport operation, it is important that the operator considers the **primary** purpose of the aircraft operation in determining whether a medical transport operation is being conducted.

If an air transport operation is conducted with an aircraft carrying 300 passengers and cargo and this also includes two medical patients and two medical personnel, then the primary purpose of the flight is not a medical transport operation.

However, if an air transport operation is conducted on an aircraft carrying two passengers, two medical patients and two medical personnel, then this is considered a medical transport operation as the primary purpose of the flight is the carriage of two medical patients.

Australian air transport operations can be undertaken using either:

- a. Australian registered aeroplanes or rotorcraft
- or
- b. foreign registered aeroplanes or rotorcraft.

However, it should be noted that regulation 119.260 imposes a maximum period of use of a foreign registered aircraft in Australian territory.

Importantly, while the use of a foreign registered aircraft by a foreign operator can be an Australian air transport operation, this provision is tightly defined to only operations that are conducted wholly in Australia and are not part of a flight into or out of Australia. An operation by a foreign operator using an Australian aircraft in domestic operations is not an Australian air transport operation.

The operation of foreign registered aircraft over Australian territory, or into Australia for fuel stops only, are not Australian air transport operations. Nor is the operation of foreign registered aircraft in Australia based on a CASA permission issued under section 25 or section 27A of the Act.

Foreign air transport operations, which are those conducted into and out of Australia by foreign operators, are regulated under Part 129.

#### **GM 119.015 Definitions of Australian air transport AOC and Australian air transport operator**

This regulation provides that an Australian air transport AOC is an AOC that authorises the operation of an aeroplane or rotorcraft for an Australian air transport operation.

An Air Operator's Certificate (AOC) is an authorisation granted by CASA under section 27 of the Act to conduct certain prescribed aircraft operations, including Australian air transport operations (see GM 119.030 below).

All AOCs are issued for a specified term. The AOC holder must apply for, and be issued with, a new AOC in order to continue operating after the term expires.

#### **GM 119.020 Definition of *significant change***

There is an exemption in force in relation to subparagraph (a)(viii) of this regulation relating to the kinds of aircraft changes that will constitute a mandatory significant change. It is recommended that operators review section 7 of CASA EX82/21.

There is also a direction in force in relation to Part 133 operators and the approval required before conducting an NVIS operation for the first time in a Part 133 operation. It is recommended that operators review section 6A of CASA EX82/21.

This regulation defines what a 'significant change' is for an Australian air transport operator.

All changes to the operations of an Australian air transport operator must be made using the operator's change management process. One of the outputs of implementing the change management process is a determination of whether or not a proposed change is significant for the purposes of Part 119. Significant changes must be approved by CASA before they are implemented by the operator. Other changes need not be pre-approved.

Part of the definition of significant change considers a change that requires approval by CASA under 'these Regulations'.<sup>2</sup> The term 'these Regulations' is defined in the CASR Dictionary and includes CAR.

An example of a matter that is a significant change under paragraph 119.020(c) is when an operator seeks approval for low-visibility operations. Low-visibility operations are regulated in Subdivision 91.D.4.3, with approvals issued under regulation 91.045. Where an operator is seeking a new approval, or a variation to an existing approval, then this would be considered a significant change under the provisions of Part 119<sup>3</sup>.

Subparagraph 119.020(a)(ii) states, *inter alia*, that a change in relation to the operator's key personnel is a significant change. Regulation 119.090 specifies when an application must be submitted to CASA for different kinds of significant changes. Subregulation 119.090(2) outlines that an operator must apply to CASA for approval of a change that is the permanent appointment, or the acting appointment (for a period of greater than 35 days), as any of the operator's key personnel of a person previously authorised to carry out the responsibilities of the position in a circumstance mentioned in subparagraph 119.205(1)(e)(iv) [sometimes colloquially referred to as an *alternate key person*].

Regulation 119.090 does not make it categorically clear whether or not the acting appointment of an alternate key person to fill a key person's position for a period of 35 days or less is a significant change. An alternate key person acting in the role for which they are previously authorised to carry out the responsibilities of the position for the same operator in a circumstance mentioned in subparagraph 131.195(1)(e)(iv) **is not considered to be a significant change** at all and therefore this change does not require any approval by CASA.

### **GM 119.025 Approvals by CASA for Part 119**

This regulation authorises CASA to issue approvals under Part 119, where a provision refers to a CASA approval. All approvals granted by CASA under Part 119 are subject to the procedural requirements of Part 11.

The regulation has effect so that approvals applicable to the experience levels of the Head of Flying Operations (HOFO) and Head of Training and Checking (HOTC) shall only be granted if this preserves a level of aviation safety that is at least acceptable<sup>4</sup>.

In addition to the approvals of significant changes under regulation 119.095, there are several specific CASA approvals available under regulation 119.025. These approvals are also

<sup>2</sup> See paragraph 119.020(c).

<sup>3</sup> For detailed information refer to [AC 119-07 - Management of change for aviation organisations](#).

<sup>4</sup> Refer to subregulation 11.055(1B).

considered to be a significant change.<sup>5</sup> Regulation 119.025 provides for CASA approvals in the following matters:

- subparagraph 119.080(1)(g)(ii) – approval for HOFO and Safety Manager (SM) positions to be occupied by the same person for a specified period
- subparagraph 119.080(1)(h)(ii) – approval to operate an aeroplane or rotorcraft under an AOC where the operator is not the registered operator of the aeroplane or rotorcraft
- paragraph 119.080(2)(b) – in an unforeseen circumstance, approval for the same person to occupy the position of:
  - CEO and SM, or
  - HOFO and SM.

for more than 7 consecutive days.

- paragraph 119.125(2)(a) – approval for a CEO experience level which differs from that in subregulation 119.125(3)
- paragraph 119.135(3)(a) – approval for a HOFO experience level which differs from that in subregulation 119.135(4)
- paragraph 119.145(3)(a) – approval for a HOTC experience level which differs from that in subregulation 119.145(4)
- paragraph 119.255(1)(c) – approval in respect of the matters specified in regulation 119.255 “Dealings in relation to cancelled, suspended, varied, pending or refused civil aviation authorisations”
- paragraph 119.260(2)(b) – approval to use a foreign registered aircraft in Australian territory for a period greater than 90 days.

This approval mechanism can only be used for regulations or MOS provisions that explicitly refer to regulation 119.025.

### **GM 119.030 Prescribed purpose—Australian air transport operations**

In accordance with subsection 27(9) of the Act, this regulation prescribes Australian air transport operations as operations that can only be conducted under the authority of an AOC.

### **GM 119.035 Prescribed position—safety manager**

In accordance with the definition of key personnel in subsection 28(3) of the Act, this regulation provides that an Australian air transport operator must have a SM and this person is a member of the operator’s key personnel.

For the required experience and responsibilities of the SM, refer to regulations 119.155 and 119.160.

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<sup>5</sup> Refer to paragraph 119.020(c).

It is a condition of an operator's AOC that:

- the SM is independent and not subject to undue influence from other key personnel or anyone else<sup>6</sup>
- the SM is not the same person as either of the CEO or the HOFO, except for a limited time in extenuating circumstances.<sup>7</sup>

#### **GM 119.036 Required position—head of training and checking**

In accordance with the definition of key personnel in subsection 28(3) of the Act, this regulation provides that an Australian air transport operator must have a HOTC and this person is a member of the operator's key personnel.<sup>8</sup>

#### **GM 119.040 Required material for reference library**

Section 28BH of the Act requires AOC holders to have a reference library, the minimum required contents of which are prescribed in paragraph 28BH(2)(b).

Regulation 119.040 specifies the minimum requirements for an Australian air transport operator's reference library:

- All civil aviation legislation relevant to the operator's operations.
- All parts of the AIP relevant to the operator's operations.
- If the operator conducts international operations, then the document equivalent to the AIP for each foreign country.
- All documents applicable to flight operations for each type and model of aeroplane or rotorcraft used by the operator.
- Any other documents as specified in the operator's exposition.

A reference library is permitted to be kept electronically, however, the operator must ensure it remains readily available and is kept up to date.

The HOFO is responsible for ensuring that flight crew are provided with the information and documentation necessary for them to carry out their responsibilities.<sup>9</sup>

The AOC holder is responsible for maintaining the library, including any distribution records.

#### **GM 119.045 Issue of Manual of Standards for Part 119**

This provision provides CASA the authority to issue a Part 119 MOS.

At this time, there is no Part 119 MOS as none of the MOS empowering provisions in the Part 119 regulations are required to be used. CASA has no current proposals to use the Part 119 MOS powers. Any creation of a Part 119 MOS would be subject to consultation in accordance with the requirements of Subpart 11.J.

<sup>6</sup> Refer to subparagraph 119.130(1)(b)(v).

<sup>7</sup> Refer to regulation 119.080.

<sup>8</sup> For the HOTC qualifications, experience and responsibilities, refer to regulations 119.145 and 119.150.

<sup>9</sup> Refer to paragraph 119.140(2)(b).

A MOS is a document that supports CASR by providing detailed technical material, such as technical specifications or standards.

A MOS is a legislative instrument and is subject to registration and disallowance under the *Legislation Act 2003*. Part 11 sets out procedural requirements for the issue, amendment or revocation of a MOS, including consultation requirements.

**GM 119.050 Australian air transport AOC required**

This regulation makes it an offence for a person to conduct an Australian air transport operation without an Australian air transport AOC for the operation.

**GM 119.055 Compliance with Australian air transport AOCs**

This regulation makes it an offence for the holder of an Australian air transport AOC to operate in contravention of their AOC.

An Australian air transport operator must hold an AOC that authorises the specific type of operation being conducted.

For example, an operator authorised under their AOC to conduct cargo transport operations cannot conduct passenger transport operations without applying for a change to their AOC to include passenger transport operations.

**GM 119.060 Compliance with conditions of Australian air transport AOCs**

This regulation makes it an offence for an Australian air transport operator to contravene a condition of their AOC. Regulation 119.080 outlines the ongoing conditions of an Australian air transport AOC. Conditions of general application are set out in Division 2 of Part III of the Act.

### 3 Subpart 119.B—Australian air transport AOCs

#### **GM 119.065 Application**

This regulation and Subdivision B of Division 2 of Part III of the Act collectively set out the requirements regarding applications to conduct an Australian air transport operation.

#### **GM 119.070 Conditions for issue**

In addition to the requirements of section 28 of the Act, this regulation outlines matters about which CASA must be satisfied in order to issue an AOC to an applicant. These are that:

- the applicant's proposed exposition complies with regulation 119.205
- the applicant can conduct operations safely and in accordance with their exposition and legislative/regulatory requirements
- the CEO, other key personnel, and directors of a corporate applicant each individually meet the requirements to be considered a fit and proper person
- each key person meets the stipulated qualification and experience requirements
- the applicant has suitable arrangements in place to ensure the continuing airworthiness of each aeroplane and rotorcraft proposed to operate under the applicant's AOC.

#### **GM 119.075 Approval of exposition**

This regulation provides that when CASA issues an Australian air transport AOC, the applicant's proposed exposition is taken to have been approved. This establishes the baseline document for the operator's operations. Any change to the operator's operations and exposition will be assessed as being either a significant change, or a change that is not significant, in accordance with the operator's change management process.

#### **GM 119.080 Conditions of an Australian air transport AOC**

This regulation specifies ongoing conditions of an Australian air transport AOC. These are in addition to the ongoing conditions of an AOC under section 28BA of the Act. All conditions must be complied with for the AOC to authorise operations, including subsection 28BA(2A) of the Act.

All key personnel positions required by Part 119 have regulated responsibilities. Regulations relating to key personnel responsibilities do not include offence provisions and therefore do not carry a penalty. However, compliance of key personnel with regulations relating to their responsibilities is a condition on the operator's AOC.<sup>10</sup>

Notably, this regulation constrains the ability of operators to have the SM be the same person as either the CEO or the HOFO. There is no specific regulatory limitation on the HOTC and the SM being the same person. This is discussed further below.

The regulation allows the issuance of an approval for key personnel to be combined in unforeseen circumstances and authorises CASA to issue an approval for the HOFO and SM

<sup>10</sup> Refer to paragraph 119.080(1)(b).

to be the same person. It is more likely for this approval to be considered for small/non-complex operators than for large/complex operators.

As described in GM 119.110, there is no restriction on the SM being either a part-time employee, a contracted employee, or an employee also employed in another line role (noting the limitations on the doubling up of key personnel positions).

As outlined in GM 119.160, the SM has responsibility for the day-to-day functioning of the safety management system (SMS), as distinct from the safe functioning of the flying operations. It is fundamental to the SMS concept that the SM retain a level of independence that enables them to provide advice to the CEO and other key personnel on safety management matters. In cases where an operator does not have sufficient employees with the required skills and experience to conduct all SMS functions it is acceptable to appoint an employee that satisfies the regulatory experience requirements as the SM and utilise internal/external personnel for the conduct of specialised SMS activities, such as audits or investigations. Where an operator chooses to use external provision of any SMS function, the operator should remain aware that the requirements in regulations 119.130, 119.160 and subpart 119.F remain applicable.

The size, scale and complexity of the operator and/or the operations being conducted will influence the appropriateness of part-time or contractor options. In all cases, the purpose is to achieve a sufficient level of assurance that the SM's responsibilities will be adequately fulfilled.

Where a single person assumes the roles of HOFO and SM, aspects of the management and functioning of the SMS may create a conflict of interest. Additionally, in smaller and less complex operations, the HOTC may already have been combined with the HOFO. If this were the case, then a single person could potentially be fulfilling the responsibilities of three key personnel roles.

An example of where a conflict of interest may arise is if the HOFO and the SM were the same person and an audit or investigation found that the operational procedures were deficient. Where such circumstances occur, it may be appropriate for some operators (depending on size and complexity) to have an independent, competent person review the investigation and recommendations.



## 4 Subpart 119.C—Changes relating to Australian air transport operators

Part 119 refers to changes to an operator's organisation and operations as being either 'significant' or not. Regulation 119.020 defines a 'significant change'. Subpart 119.C establishes requirements for changes made by the operator, including the requirement for all significant changes to be approved by CASA, before they are implemented by the operator. For guidance on the construction of a change management process, refer to [AC 119-07 - Management of change for aviation organisations](#).

An operator may make changes that are not significant changes without prior approval from CASA. However, an operator must have a means to ensure that notification of all changes, and a copy of the exposition detailing such changes, are provided to CASA.

### **GM 119.085 Changes of name etc.**

CASA must be notified of a change to an operator's name (including any operating or trading name), contact details or operational headquarters address (if different to the mailing address) prior to the change occurring. An operator must consider such a change against the criteria for a significant change. If it is determined not to be a significant change, the operator is still required to notify CASA prior to the change occurring.

**Note:** A change in the address of a main operating base is a significant change (see regulation 119.020).

### **GM 119.090 Application for approval of significant changes**

The matters that are deemed to be significant changes are detailed in regulation 119.020.

The concept of significant change establishes the matters for which an operator will have to:

- seek approval from CASA before making the change
- supply documented changes to their exposition to CASA as part of their change approval process
- act in accordance with their own change management process (as defined in their exposition and satisfying the requirements of Subpart 119.C).

### *Key personnel changes*

Operators can gain approval for an individual to perform the duties of a key person when they are absent from the position or cannot carry out the responsibilities. Approval of such a person is a significant change; however, the operator also gains the flexibility to continue operations without significant disruption in the case of absence of a key person. The individual is often a deputy to the key person or is known as an acting or alternate key person i.e., acting/alternate HOFO etc. Such an individual is required to be listed in the exposition<sup>11</sup>. An alternate key person acting in the role for which they are previously authorised to carry out the responsibilities of the position for the same operator in a circumstance mentioned in subparagraph 119.205(1)(e)(iv), provided it is for a period of 35

<sup>11</sup> Refer to subparagraph 119.205(1)(e)(iv).

days or less, **is not considered to be a significant change** and does not require any approval by CASA.

Many small operators do not have the numbers of personnel within their company to provide alternate key personnel from within their own personnel. Under s28 of the Act, key personnel are required to be "in the organisation". Alternate key personnel that are normally employed by a different operator can be nominated as alternate key personnel, provided that the operator nominating them as alternate key personnel outlines in their exposition how the alternate key person will be capable of fulfilling their responsibilities as a key person on short notice, particularly when they are normally familiar with a different operator's procedures and exposition. When conducting alternate key personnel duties, the person will need to have a direct relationship with the operator (whether by contract or other arrangement). Critically, the person must have the **time, and the ability**, to discharge their key personnel duties completely and comprehensively. It is highly unlikely that this can be satisfied if a key person is trying to conduct key persons duties for multiple operators at the same time. Also see GM 119.020 and 119.110.

Subregulation 119.090(2) describes the only circumstance in which an operator may change the nominated individual in a key personnel position without first receiving approval of the significant change. In this case, the new nominee must be identified in the exposition as a person authorised to carry out the responsibilities of that key person when the position holder is absent from the position or otherwise unable to carry out the responsibilities of the position.<sup>12</sup> CASA must be notified within 7 days of the change.

If an operator does not have an approved alternate person in place when a key person becomes absent from the position or cannot carry out the responsibilities, they will need to cease operations, as they would not be compliant with paragraph 119.080(1)(c) and section 28BA(2A) of the Act which require each key personnel position to be filled.

An operator is to apply for approval of a significant change using the applicable form.

Operators must clearly identify the proposed change in their exposition. Sending a new copy of the exposition to CASA without annotation of the changes is not acceptable.

Within the timeframe that is specified in the change management section of the operator's exposition, and after CASA approval of the significant change, the:

- operator would provide CASA with a new electronic copy of the entire document (exposition or subset document, such as operations manual)
- changes would be marked by change bars or otherwise be clearly identified
- document would contain the amendments marked in the amendment page
- document would advance to the next version number in accordance with the procedure specified in the change management section of the operator's exposition.

### **GM 119.095 Approval of significant changes**

Reserved.

<sup>12</sup> Refer to subparagraph 119.205(1)(e)(iv).

### **GM 119.100 Changes must be made in accordance with process in exposition**

This regulation requires an operator to conduct all change management in accordance with the process documented in their exposition. Regulation 119.205 prescribes the required content of an operator's exposition. One item that must be included is the process that an operator will follow when making significant changes as well as changes that are not significant. CASA recognises that the size and complexity of organisations varies greatly, and accordingly it does not prescribe the actual process to be followed but rather requires that an exposition describe the process applicable to the operator.

All changes must be made in accordance with the change process in the operator's exposition.

Further information is available in [AC 119-07 - Management of change for aviation organisations](#).

### **GM 119.105 CASA directions relating to exposition or key personnel**

Under the provisions of this regulation, CASA may direct an operator to:

- remove, include or vary information, procedures or instructions in their exposition
- remove a person from a key personnel position.

In all cases, the regulation requires:

- any direction to be issued in writing
- the direction to state the time within which it must be complied with.

## 5 Subpart 119.D—Organisation and personnel

### GM 119.110 Organisation and personnel

Part 119 prescribes matters that are only relevant to flight operations conducted under an Australian air transport AOC. If an organisation is also a Part 141 or Part 142 training organisation, other key personnel may be required. Similarly, if the operator is a Part 145 approved maintenance organisation, other specified managers for maintenance activities are required.

Where a combination of CASR Parts requires the appointment of the same position, an operator should ensure the responsibilities and accountabilities of the position documented in the exposition address the requirements of all relevant Parts.

Subregulation 119.110 (1) requires the operator to "maintain an organisational structure that effectively manages the operator's Australian air transport operations, taking into account the size, nature and complexity of the operations". The operator must ensure there is a sufficient number of personnel employed by the company (being either directly employed or contracted third party staff) to ensure that:

- tasks are conducted in accordance with the operator's exposition
- operational task safety is not compromised due to a lack of resources
- only suitably experienced and qualified personnel are employed to carry out tasks
- assurance is provided that proposed services are undertaken with appropriate thought given to maintaining safety and considering the complexities of the task at hand.

Depending on the size, nature and complexity of the operations, the operator's exposition may outline requirements for the use of additional (including contracted third party) staff with consideration given to:

- the method by which additional staff are employed
- any steps taken to ensure any additional staff are suitably experienced, qualified and able to perform the task(s) required.

The operator should document, in their exposition, the process it employs to regularly review and monitor the number of qualified personnel and decide whether additional staff are required to maintain safe operations. This is critical in operations with rapidly expanding services or high staff turnover.

### Safety management system

The roles, responsibilities and accountabilities of the key personnel outlined on the organisational chart must be clearly articulated with respect to the operator's safety management system (SMS). The CEO, who is often referred to as the 'accountable manager', is the person ultimately accountable under regulation 119.130 for the safety of the

operation and for the SMS. When formalising the organisation structure it is essential that the SM, as the designated key person, has direct access to the CEO.

For small, non-complex operators, there is no requirement for the SM to be employed on a full-time basis, i.e., the SM may be permanently employed but in a manner that requires less hours per week than that of a full-time employee. Alternatively, the operator may enter into a contractual arrangement with an individual or another organisation for the provision of elements of the SMS. In this scenario, the operator is still required to nominate an individual in their organisation as the key personnel position holder. Provided that the regulatory experience requirements are satisfied, and the regulatory responsibilities can be carried out, options for filling the role of SM include (but are not limited to) the following:

- experienced line pilot
- a part-time employee
- a full-time employee performs other functions in addition to that of the SM role.

Regardless of the person filling the role of SM, it is important that the operator and the person understand the responsibilities associated with holding the position.

As the manager normally assigned day-to-day responsibility for the functioning of the SMS (as distinct from the safe functioning of the operation), the SM needs to work closely with the senior management team to meet the objectives of the SMS.

All management and supervisory positions, including the SM, are expected to show leadership and have included in their responsibilities/accountabilities a requirement to:

- actively support and promote the SMS
- ensure that they, and their staff, comply with the SMS processes and procedures
- ensure resources are made available to achieve the outcomes of the SMS
- continually monitor their area of responsibility, as outlined in the SMS manual.

Managers should ensure that sufficient resources are made available to achieve the outcomes of the SMS. To achieve this, managers should:

- ensure due processes and procedures needed for safe operations are in place
- ensure sufficient resources are in place to support the SMS
- continually monitor their areas of responsibility, as outlined in the SMS manual.

Depending on the size, nature and complexity of operations, larger organisations may have additional safety responsibilities that are explicitly defined for other senior managers. For example:

- General Manager/Chief Operating Officer
- Head of Ground Services
- Head of Cabin Safety
- Head of Dangerous Goods and/or cargo
- Head of Operations
- Head of Operations for a particular aircraft type in the fleet, and/or

- Head of Customer Services.

Where this occurs, these additional positions should have a clear reporting mechanism that ensures any safety matters are reported to and managed by the SMS.

### **GM 119.115 When key personnel cannot carry out responsibilities**

This regulation imposes a requirement for an operator to advise CASA of the inability of any key personnel to carry out their responsibilities if this will continue (or is likely to continue) for more than 35 days.

An operator must advise CASA of any extended period of absence of any key personnel. Operators should be aware that the period begins from the first day of absence. The requirement to advise CASA applies to both foreseen (planned holiday or absences) and unforeseen (sickness or injury) circumstances.

As part of the required contents of the exposition, the operator must include a description of how they will manage any temporary absence, or the inability of a key person to carry out their responsibilities. The exposition must include the full name of each person authorised to act on behalf of each key person during any period of temporary absence. The procedure should specify that the operator will maintain an auditable register, providing a chronological record of each occasion that the temporary/deputy key person holds responsibility and accountability for the position. The procedure may also detail who is responsible for notifying CASA and describe a means of providing the notification.

Each temporary key person must have received familiarisation training in relation to the key person's responsibilities and accountabilities prior to carrying out the responsibilities of the position. The operator must have a means of demonstrating that familiarisation training has been provided to temporary position holders.

In the interests of safety, and to be satisfied that a temporary key person is suitable to carry out the responsibilities of the key position, CASA may issue a direction for the person to undertake an assessment, as per the requirements of the key position.

The sharing of key personnel responsibilities can be found in regulation 119.080.

#### *Alternate key person*

The regulations permit for additional personnel to act in the role of a key person. The decision to nominate alternate key persons rests with the organisation. Nominating alternate key personnel has the potential to be beneficial as it can minimise disruption in several circumstances, such as:

- an unexpected illness of the primary person
- annual leave
- duty away from home base for a short period of time
- a change in the individual's circumstances leading to their inability to manage the duties and responsibilities of their position in the organisation
- sudden resignation/retirement.

Ideally, the operator would nominate a person who has the qualifications to hold the key person position, authorised by CASA to meet the circumstances of this regulation. The nomination of an alternate person follows the same process as the primary person. Likewise, any assessment of an alternate person will follow the process applicable to the primary person.

Where an alternate person has been nominated, the operator's exposition is required to describe how this process is managed<sup>13</sup>. In developing this content, the following should be considered for inclusion:

- when the alternate person can act in place of the primary person
- how personnel are notified of a change to the position holder and the period for which the change takes effect
- ensuring that CASA is notified of a change to the position holder (as per the regulatory requirements)
- methods of communication and a formal handover process between the primary and alternate key person.

The process must ensure that the alternate does not discharge the duties and responsibilities of a key person until they assume the role. Conversely, when the alternate assumes the role of a key person, they must perform all duties and assume full responsibility for the position.

Many small operators do not have the numbers of personnel within their company to provide alternate key personnel from within their own personnel. Under s28 of the Act, key personnel are required to be "in the organisation". Alternate key personnel that are normally employed by a different operator can be nominated as alternate key personnel, provided that the operator nominating them as alternate key personnel outlines in their exposition how the alternate key person will be capable of fulfilling their responsibilities as a key person on short notice, particularly when they are normally familiar with a different operator's procedures and exposition. When conducting alternate key personnel duties, the person will need to have a direct relationship with the operator (whether by contract or other arrangement). Critically, the person must have the **time, and the ability**, to discharge their key personnel duties completely and comprehensively. It is highly unlikely that this can be satisfied if a key person is trying to conduct key persons duties for multiple operators at the same time. Also see the guidance provided in GM 119.020 and 119.090.

### **GM 119.120 Familiarisation training for key personnel**

An Australian air transport operator must ensure that, before a person appointed as any of the operator's key personnel begins to carry out the responsibilities of the position, the person has completed any training that is necessary to familiarise the person with the responsibilities. An operator must describe the conduct of this training in their exposition, including details of the training syllabus and how records of achievement are documented.

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<sup>13</sup> Refer to subparagraph 119.205(1)(e)(v).

### **GM 119.125 Chief executive officer—experience**

The Act requires the CEO to have appropriate experience in air operations. This regulation additionally requires that the CEO has sufficient relevant experience in organisational, operational, financial and people management of air operations. The regulation makes provision for an operator to seek approval for a variation in the specified experience level. Such an application would be expected to demonstrate how this variation would not have an adverse effect on the safety of air navigation.

CEO nominees must be able to demonstrate that they have a satisfactory record in the conduct or management of air operations.

The CEO sets the tone, vision, standards and culture of their organisation.

A CEO's role will vary from one organisation to another, depending on the size, culture, corporate structure and, correspondingly, the experience level required is dependent on the size and complexity of the organisation.

In smaller and less complex operations, CEOs are often more hands-on and involved with day-to-day functions, including being close to the flight operations of the organisation. In some circumstances, any combination of the roles of CEO, HOFO and HOTC will be filled by the same individual. It would therefore be necessary for the person to have a considerable amount of relevant aviation experience.

In larger organisations, CEOs typically deal primarily with very high-level strategic decisions and those that direct the company's overall growth. This correspondingly means that they will be further placed from the flight operations of the organisation, and therefore it may not be necessary for the CEO to have the same high amount of relevant aviation experience.

Specific provision is made for the issuance of an approval for unusual combinations of CEO experience that may warrant special consideration. In all cases, the requirements of subparagraph 28(1)(b)(iv) of the Act must be satisfied.

### **GM 119.130 Chief executive officer—responsibilities and accountabilities**

The CEO of an Australian air transport operator has the overall responsibility and accountability for its direction and continued operation. The regulation prescribes that the accountabilities and responsibilities ultimately rest with the CEO, but does not indicate that the CEO must perform each of these functions personally.

The safe conduct of an aviation operation depends in large part upon the experience and competence of its personnel. Part 119 regulated personnel qualifications and licences form a framework for measurement of experience and competence, but Part 119 does not regulate all personnel who may have an impact upon safety, nor all skills and experience required to conduct safe operations. While Part 119 and other CASR Parts set some minimum requirements, the CEO must ensure that all employees, regardless of their roles, are suitably trained and authorised for the tasks they perform.

An appropriate management structure for the safe conduct of an operator's authorised air transport operations will vary enormously across the scope of the air transport industry. What is appropriate for a small air transport operation conducting non-scheduled/on-demand



operations would be inappropriate for an operation conducting scheduled transcontinental or international services. The management structure may also be affected by factors outside the scope of this regulation, such as whether the operator conducts 'low cost' or 'full service' operations. However, some management structure principles are common across the breadth of the air transport sector:

- HOFO typically are a direct report to the CEO
- CEO is not permitted to also fill the role of SM (unless permitted by regulation 119.080)
- HOTC would normally report directly to the HOFO, with the option to report directly to the CEO
- SM should report directly to the CEO, or be provided with the clear ability to directly access the CEO on safety matters.

Part 119 requires the CEO to ensure that the right mix of people with the right skill sets and backgrounds are always available for the operator to safely conduct authorised air transport operations. Subparagraph 119.130(1)(a)(i) goes beyond regulations that exist in Parts 61, 64 and 66 of CASR which licence personnel and require competence and experience on strictly technical matters.

While the CEO can be supported by other employees in discharging their responsibilities, the CEO retains responsibility and accountability for the matters. The CEO cannot formally delegate their responsibilities to another person.

### **GM 119.135 Head of flying operations—qualifications and experience**

There is an exemption and direction in force in relation to this regulation relating to the HOFO requirements for operators that held a relevant AOC prior to 2 December 2021. It is recommended that operators review sections 8 and 9 of CASA EX82/21.

The HOFO must hold an amount of organisational and operational experience commensurate with the size and complexity of the organisation and its operations.

In smaller and less complex operations, the HOFO is often close to the flight operations of the organisation. In some circumstances, any combination of the roles of CEO, HOFO and HOTC can be filled by the same individual. Where this occurs, it will be necessary for the person fulfilling these combined roles to have a considerable amount of relevant aviation experience. This experience would be expected to be greater for a HOFO that is not fulfilling any additional key positions.

The HOFO is required to have a certain type of aviation qualification. The HOFO must hold either a commercial pilot licence or an air transport pilot licence where operations are single-pilot operations only, or an air transport pilot licence for all other operations.

The HOFO must have a minimum of 500 hours flight time on an aeroplane or rotorcraft used to conduct a significant proportion of the operator's Australian air transport operations, and at least six months experience in the conduct or management of air operations.

In nominating a candidate for the role of HOFO, operators should provide CASA with relevant information supporting their contention that the HOFO candidate has sufficient safety and regulatory knowledge in accordance with paragraph 119.135(1)(e).

For an operator that has a diverse operation, there are scenarios where the HOFO may not be qualified on every aircraft type or in every role/function performed under the AOC.

Examples of this are as follows:

- mixed categories - fixed and rotary wing
- mixed type rated aircraft (e.g., A330 and B737)
- mixed classes where aircraft are included under regulation 61.062.

In this case, the operator may elect to nominate, in the exposition, a management structure position with a nominated person identified as a role or type specialist for that function, to support the HOFO. The specialist manager would report to the HOFO to assist the HOFO in discharging their responsibilities. This does not remove the accountability or responsibility of the HOFO to continue to manage the specialised operations.

The regulation also permits CASA to require assessment of the HOFO candidate; however, CASA must give written notice to the individual if this assessment is required.

Prior to conducting an assessment, CASA will conduct a desktop review of any nomination. In some cases, CASA will not require any further information as the nominee may be well known due to significant experience, or possibly having had a recent assessment conducted which addresses key criteria for a HOFO.

For example, an individual may be performing as HOFO for an air transport operation and elects to transfer to another operator. In this case, CASA may consider several matters, such as, but not limited to:

- how recently the individual has been assessed
- the performance of an individual in any previous assessment
- similarities or differences between the previous organisation and the new organisation that the candidate is nominated for
- performance as HOFO in previous positions.

Any assessment will seek to confirm that the nominee has a suitable understanding of the complexities of aircraft/role operations applicable to the nominated position.

Flight assessments may be conducted in an aircraft or simulator, as specified in the notice of assessment.

When a candidate's nomination has been refused, the operator and the candidate will be advised in writing of the reasons.

#### *Floatplane operation*

For the purposes of this guidance material, floatplane means operations that require the PIC to hold the design feature endorsement "floatplane", "floating hull" or "float alighting gear".

Assessment of a HOFO candidate for an AOC authorising floatplane operations will verify the applicant's environmental awareness. This could include:

- marine operations, generally including interaction with other watercraft
- the proposed local operating environment (ocean, sea, river or lake)
- the associated hazards and nature of operations, including beach operations, amphibious operations and pontoon operations
- in-depth knowledge of the organisation's water landing area register.

If a candidate for a floatplane operation already holds a HOFO landplane approval, this will be considered as part of the assessment.

#### *HOFO qualifications after appointment*

For a HOFO to properly perform the responsibilities and duties required by CASR, the HOFO would normally maintain the qualifications held when initially appointed as a HOFO. Should a HOFO lose currency/recency, the organisation should evaluate whether effective supervision is maintained by the individual continuing in the role. While there is no regulatory requirement for the HOFO to "fly the line", it is acknowledged that first-hand experience is often maintained by those individuals who do. For the non-flying HOFO, organisations would be expected to demonstrate that they have sufficient senior individuals involved in daily flying operations who:

- are part of the organisational structure
- can provide supervision to junior members, and
- have the experience to identify items that need to be raised for attention at the HOFO or CEO level.

#### *Remotely located HOFO*

There are occasions where an operator may nominate a HOFO who will not be located at the operator's main base, but intends to exercise the privileges of their HOFO approval remotely. Experience has shown that, in the absence of onsite key personnel, the lack of guidance can contribute to the likelihood of non-compliance with statutory requirements.

The onsite presence of a HOFO is important for an operator's day-to-day operations. The HOFO can exert considerable influence on the safety of operations and support a high standard of operational matters and compliance. Achieving these objectives is challenging for a permanently remotely located HOFO.

In any situation where the candidate has other commitments inside or outside aviation, the operator must consider whether the candidate has adequate time to discharge the duties and responsibilities of a HOFO.

#### *Additional HOFO situations*

In the case of a smaller organisation, it is possible that insufficient work is available to justify full-time employment of a HOFO. This can make the task of finding a suitably qualified and

experienced candidate difficult, as many will not be prepared to accept the pay and conditions of part-time employment.

In this and other situations, an organisation may seek to employ a HOFO who is already employed in some capacity. They may be working in another flying operation, possibly even as a HOFO for another operator, or they may work in another vocation completely. While there is no regulation that prevents this occurring, organisations should be prepared to demonstrate how a suitable workload is being managed by the key person. Any such case would need to consider several factors, including (but not limited to):

- the individual's total workload
- proposed number of hours worked per week (across all employment)
- method of ensuring suitable rest periods
- method of ensuring compliance with workplace and fatigue requirements
- method of confirming that the HOFO will be available when operations are being conducted and how they will supervise such operations.

If an organisation's HOFO is engaged in employment duties for another organisation at certain times then it should be considered that the key personnel position is absent/vacant during these periods, and hence flying operations cannot be conducted. Organisations considering such arrangements should also be aware that some HOFO duties are required outside the hours of flying operations, i.e., consideration of other administrative duties is needed.

### **GM 119.140 Head of flying operations—responsibilities**

The HOFO of an Australian air transport operator has overall responsibility for the flying operations of an Australian air transport operator. The responsibilities detailed in regulation 119.140 denote/specify that the responsibility ultimately rests with the HOFO, but they do not require that the HOFO perform each of these functions personally.

In a small operation, with a steep gradient of experience and expertise, it would be expected that the HOFO would be involved in much of the detail of the responsibilities set out in regulation 119.140. However, in a large operation with a larger number of senior staff, the HOFO may be supported by senior or other staff in discharging their responsibilities.

Where an operator establishes multiple bases, there must be a system to manage day-to-day operational issues. Implementation of such a system must be documented in the operator's exposition. The approved HOFO is responsible for all operations conducted at the various bases but can be supported by other employees, including a senior base pilot at each additional base. In this case the exposition would contain:

- a senior base pilot position description, outlining the duties and training requirements of the position
- qualifications needed for appointment as a senior base pilot
- an organisational chart showing reporting lines
- a method of regular communication between senior base pilots and the HOFO

- the duties of the HOFO, including a plan for oversight of each additional base e.g., regular visits.

While the HOFO can be supported by other employees in discharging their responsibilities, the HOFO retains responsibility and accountability for the matters. The HOFO cannot formally delegate their responsibilities to another person.

*Paragraph 119.140(2)(b) – flight crew to be provided with information and documentation*

It is the responsibility of the HOFO to ensure that flight crew are provided with the information and documentation necessary to properly carry out their responsibilities.

This regulation covers all required information, including:

- aircraft operational documentation and data, including the Aircraft Flight Manual
- meteorological information for operational needs
- airways documentation
- flight planning information
- aerodrome documentation
- documentation required for international operations (if any).

This responsibility includes the necessary infrastructure (including computers, telecommunications etc.) to obtain the information/data and for it to be updated.

*Paragraph 119.140(2)(c) – proper allocation and deployment of aircraft and personnel*

It is the responsibility of the HOFO to ensure the proper allocation and deployment of aeroplanes, rotorcraft and personnel for use in operations authorised by the AOC.

There are two facets to this regulation that require consideration:

- Can the aircraft chosen to serve this route do so safely in all likely circumstances?
- Are the crew who will serve this route sufficiently qualified and experienced to safely serve this route in all likely circumstances?

Insufficient crew or aircraft capability for the task can lead to compromises in safety or operational reliability, or both.

Matters that should be considered include whether:

- the aircraft is appropriate to the task
- the aircraft has sufficient hours available until next service
- the operator can handle the possibility of this aircraft becoming unserviceable away from base
- adequate facilities are available at the destination
- sufficient qualified crew are available
- there are any duty hours limitations or fatigue issues associated with the proposed task
- suitable rest facilities are available (if needed).

*Paragraph 119.140(2)(d) – ensuring compliance with flight crew reference library requirements*

Section 28BH of the Act pertains to an operator's obligation to have a reference library and regulation 119.140 specifies additional requirements.

The holder of an AOC must maintain a reference library within the organisation, the contents of which must be readily available to all members of the operator's flight crew.

Provision of a reference library in electronic format is acceptable.

Paragraph 119.140(2)(d) essentially places responsibility on the HOFO to ensure that the operator's exposition and any information or documents required to conduct operations are available. Such documents include the AIP. This responsibility includes the necessary infrastructure (including computers, telecommunications etc.) to obtain the information/data and for it to be updated.

The operator must provide and maintain:

- at each main base, an operations library of maps, charts, flight guides and other documents required for carriage in flight, or for reference or planning purposes.
- a reference library of operational documents that is readily available to all operating crew and staff, including:
  - the operator's exposition
  - a copy of the Act and supporting regulatory documents.

The documentation must be kept in an orderly fashion and be updated regularly.

The operator must not only distribute updated operational material to flight crews and other crew members as appropriate, but also maintain records of that distribution.

Section 28BH of the Act makes it an operator's responsibility to also provide cabin crew with required documentation. Part 119 does not place that responsibility with the HOFO, and the CEO may assign the conduct of that task however they see fit.

**GM 119.145 Head of training and checking—qualifications and experience**

There are multiple exemptions and directions in force in relation to this regulation relating to the HOTC requirements for operators that held a relevant AOC prior to 2 December 2021. It is recommended that operators review sections 10, 11, 12 and 13 of CASA EX82/21.

CASA advises the industry that paragraph 119.145(6)(a) contains a minor editorial error where it refers to "the heading of training or checking's or proposed heading of training or checking's". This phrase should be "the head of training and checking's or proposed head of training and checking's" and will be corrected in a future regulation amendment.

The HOTC must hold an amount of experience commensurate to the size and complexity of the organisation. In smaller and less complex operations, the HOTC is often close to the day-to-day functions of the operator's flight operations. In some circumstances, any combination of the roles of CEO, HOFO and HOTC may be filled by the same individual. In

such circumstances it would be necessary for the person to have a considerable amount of relevant aviation experience.

In larger organisations, the HOTC is often located in a head office location and as such may be physically removed from the day-to-day conduct of the operator's flight operations. Provided sufficient levels of qualified staff are available, it would not be necessary for the HOTC to hold every qualification available in the organisation. In all cases, the HOTC will still need to hold a relevant training/checking qualification besides having sufficient aviation experience to supervise and manage the staff and functions of the organisation.

In addition, the HOTC is required to have a certain type of aviation qualification. The HOTC must hold either a commercial pilot licence or an air transport pilot licence where operations are single-pilot operations only, or an air transport pilot licence for all other operations.

Where an operator's training and checking system workload involves multiple events in several kinds of aircraft, or where there are several trainers and checkers operating, there may be a requirement for a HOTC to have relevant subject matter experience. This would facilitate their ability to determine if a candidate has met the standards specified in the operator's exposition and if the events are being conducted appropriately. In this circumstance CASA would expect the HOTC to have a suitable amount of actual training experience and, if a significant volume of checks were being undertaken, checking experience is also likely to be appropriate.

Additionally, for operators that are not continuously carrying out training and checking events, there may be no need for the HOTC to be on duty or available when training and checking is not taking place. However, the nominated HOTC would still need to fulfil the responsibilities outlined under the Act and Regulations, whether they were present or not. The operator has the responsibility for proposing any such arrangement to CASA as part of their exposition. CASA must be satisfied there are appropriate procedures to keep the HOTC informed of the conduct of training and checking operations and to enable the HOTC to effectively exercise appropriate oversight.

Under regulation 119.165 CASA can require, by written notice, additional qualifications and experience than those required by this regulation.

For complex or large operations, it is desirable that the HOTC has the following qualifications and experience:

- extensive experience as a check captain
- a command position for a type of aircraft that is used to conduct a significant proportion of the operator's Australian air transport operations
- a current instrument proficiency check on a type of aircraft that is used to conduct a significant proportion of the operator's Australian air transport operations
- a current check captain approval on a type of aircraft that is used to conduct a significant proportion of the operator's Australian air transport operations
- 1 000 hours flight time in operations substantially similar to those proposed
- 1 000 hours in command of aircraft of a type substantially similar to the type of aircraft proposed for the operator's Australian air transport operations

- 500 hours flight time as a check pilot, whilst holding approvals for activities substantially similar to those proposed for the operator's training and checking organisation. Experience as a check pilot may have been accumulated on an aircraft or simulator (but not a synthetic trainer).

The regulation does not require a HOTC to possess every Part 61 rating or endorsement relevant to the operations being conducted by the operator. Operators should note that they will need to provide CASA with relevant supporting information to show that the HOTC candidate has sufficient safety and regulatory knowledge in accordance with paragraph 119.145(1)(f).

The regulation permits CASA to require assessment of the HOTC candidate; however, CASA must give written notice to the individual if this assessment is required.

Prior to conducting an assessment, CASA will conduct a desktop review of any nomination. In some cases, CASA will not require any further information as the nominee may be well known due to significant experience, or possibly having had a recent assessment conducted, which addresses key criteria for a HOTC.

For example, an individual may be performing as HOTC for an air transport operation and elects to transfer to another operator. In this case, CASA may consider several matters, such as (but not limited to):

- how recently the individual has been assessed
- the performance of the individual in any previous assessment
- similarities or differences between the previous organisation and the new organisation that the candidate is nominated for
- performance as HOTC in previous positions.

Any assessment will seek to confirm that the nominee has a suitable understanding of the complexities of aircraft/role operations, applicable to the nominated position.

Flight assessments may be conducted in an aircraft or simulator, as specified in the notice of assessment.

When a candidate's nomination has been refused, the operator and the candidate will be advised in writing of the reasons.

#### *HOTC qualifications after appointment*

For a HOTC to properly perform the responsibilities and duties required by CASR, they would normally maintain the qualifications that they held when initially appointed as HOTC. Should a HOTC lose currency/recency, the organisation should evaluate whether effective supervision is maintained by the individual continuing in the role. While there is no regulatory requirement for the HOTC to regularly conduct check and training activities, it is acknowledged that first-hand knowledge and experience is maintained by those who do. For the non-flying HOTC (this assumes a long-term scenario), organisations would be expected to demonstrate that they have sufficient senior training and checking staff. These staff members should be involved in regular training operations that are part of the organisational



structure, supervising junior members and identifying items that need to be raised for attention at the HOTC level.

### **GM 119.150 Head of training and checking—responsibilities**

The responsibilities of the HOTC of an Australian air transport operator align very closely with some of the responsibilities of the operator's CEO. As such, the HOTC is required to regularly report to the CEO regarding the operator's compliance with training and checking matters. The HOTC must ensure that the operator's training and checking system meets the operator and legislative requirements and is effective in the conduct of its activities. The HOTC is responsible for all flight crew training and checking activities. A CEO may also choose to appoint the HOTC as the manager for other training activities, such as for cabin crew and other safety critical personnel. In some organisations this will be beneficial, as it will promote the use of common training outcomes and standards across the organisation.

As a minimum, the HOTC is responsible for the following activities:

- ensuring the operator is compliant with the legislative requirements in respect of qualifications, training and checking of the operator's flight crew
- ensuring that the HOFO is made aware of the compliance state of all crew qualifications, training and checking activities
- ensuring that training and checking of flight crew is conducted, by or for the operator, in accordance with the operator's exposition
- if using a Part 142 operator for the conduct of training or checking activities:
  - ensuring that each Part 142 contracted individual conducting training or checking is authorised under Part 61 for those applicable activities, and
  - notifying the Part 142 operator, in writing, of any change in or to the operator's exposition relating to the training and checking activities.

The HOTC has the responsibility for the training organisation of the operator. The responsibilities detailed in regulation 119.150 rest with the HOTC, but the regulation does not indicate that the HOTC must perform each of these functions personally. In a small operation with a steep gradient of experience and expertise, it would be expected that the HOTC would be involved in much of the detail of the regulation 119.150 responsibilities. However, in a large operation with a larger number of senior staff, the HOTC may be supported by senior or other staff in discharging their responsibilities.

Where an operator establishes multiple training locations, there must be a system to manage day-to-day issues across the various locations. Implementation of a system would be documented in the operator's exposition. The approved HOTC is responsible for all training operations, regardless of location. This may require the HOTC to be supported by other employees, including appointing a senior check pilot for each fleet and/or training location. In this case, the exposition would contain:

- a position description which outlines the duties and training and checking requirements of the position
- qualifications needed for appointment to the position
- an organisational chart showing reporting lines

- a method of regular communications with the HOTC
- the duties of the HOTC, including a plan for oversight of the senior check pilot.

For example, the HOTC could rely on compliance reports from a senior check pilot in giving their own compliance report to the HOFO, but this does not remove the ultimate accountability and responsibility imposed on the HOTC by regulation 119.150.

Further guidance on meeting the specific requirements listed above is provided under the headings below.

*Ensure that the operator is compliant with the legislative requirements in respect of qualifications, training and checking of the operator's flight crew*

To ensure that flight crew qualifications, training and checking are compliant with the legislative requirements, a means must be provided for the HOTC to carry out the functions required to fulfil this responsibility. This may include, but is not limited to:

- receiving information and data from the SM and the SMS – for example, incident reporting and accident data and trending information
- collecting and reviewing information obtained during internal audits of documentation, such as training records
- ensuring that continual supervision of flight and ground training and checking staff is maintained to monitor the standard of instruction provided
- receiving regular feedback and reports in relation to compliance matters from managers, supervisors or instructors assigned responsibilities for particular flight training and checking activities
- maintaining communications with personnel located in different bases, and carrying out base inspections to ensure standardisation of instruction
- receiving and reviewing feedback from checking staff regarding checking events
- reporting to the CEO and HOFO in relation to matters such as those listed above.

To ensure the proper allocation and deployment of resources, a means must also be provided for the HOTC to:

- ensure the suitability of aircraft and/or FSTDs for each of the activities
- coordinate the timely transfer of aircraft between training bases
- ensure each training location has an appropriate number of suitable personnel, through the monitoring of course scheduling and progress.

*Ensure that the HOFO is made aware of the compliance state of all crew qualifications, training and checking activities*

To ensure the HOFO receives reports on compliance requirements for personnel qualifications, currency and training, a means must be provided for the HOTC to carry out the functions required to fulfil this responsibility. This may include, but is not limited to:

- recommending upgrade training or recruitment action (when necessary) to meet training and checking qualification requirements for the conduct of a particular activity
- providing evidence of the content, completion and results of the training and checks required by the internal training and checking system and exposition.

*Ensure that training and checking of flight crew conducted by, or for, the operator is conducted in accordance with the operator's exposition*

To ensure training and checking activities are conducted in accordance with the exposition, a means must be provided for the HOTC to carry out the functions required to fulfil this responsibility. This may include, but is not limited to:

- ensuring training and checking personnel receive, or have access to, the applicable exposition sections, and are familiar with the contents prior to conducting activities
- ensuring personnel are competent in the use of any software program which may be utilised as a tool for the training system
- providing training and guidance to personnel in the use of competency-based syllabi, and providing supervision to confirm training is conducted in accordance with the syllabi and standardised procedures of the organisation
- analysing data relating to matters such as repeated training events, time taken to achieve new qualifications/upgrades, and actual progress of trainees against the course schedule.

The HOTC must have the ability to make changes to the training system processes where required, and to recommend consequential amendments to the applicable parts of the exposition.

*Using a Part 142 operator for the conduct of training or checking activities*

An operator can elect to use a contracted Part 142 operator for the conduct of training or checking activities. In this case, the HOTC remains responsible for:

- ensuring that each individual engaged by a Part 142 operator to conduct training or checking is authorised under Part 61 for those applicable activities
- telling the Part 142 operator in writing of any changes to the operator's exposition relating to training and checking activities.

To ensure personnel conducting contracted training or contracted checking are authorised under Part 61, the AOC's HOTC (and/or allocated staff) will require access to the contracted operator's exposition and a means to view the tracking functions of licences/qualifications. A means must be provided for the HOTC to carry out the functions required to fulfil this responsibility. These may include, but are not limited to:

- providing a copy of each contracting operator's exposition
- electronic access to the contractor's software systems
- use of auditing functions of the external contractor as a means of assurance

- establishing a reporting cycle and policy, which may be agreed to by each contracted operator, for communications with the HOTC, of each contracting operator (including provision of written reports)
- ensuring records of the content and results of contracted training and contracted checking are made and retained.

#### **GM 119.155 Safety manager—experience**

The conditions on an Australian air transport AOC prescribed by regulation 119.080 require the SM to be a person other than the CEO or HOFO, except in limited circumstances. Where unforeseen circumstances arise, the SM position may be held concurrently by the CEO or HOFO for a period of 7 days, or as outlined in a specific approval issued under regulation 119.025.<sup>14</sup>

As a minimum, the nominated SM must meet the experience requirements specified in the regulation 119.155.

For further information on the experience and attributes of a SM, refer to:

- specifically in relation to Part 119: [AC 119-01 - Safety management systems for air transport operations](#)
- general information on safety managers: CASA's [Safety Manager Guide](#).

#### **119.160 Safety manager—responsibilities**

The responsibilities of the SM of an Australian air transport operator align very closely with some of the responsibilities of the operator's CEO. As such, the SM will be required to report regularly to the CEO regarding the operator's compliance with safety management matters. The SM must ensure that the operator's SMS meets requirements and is effective.

For further information on the responsibilities of a SM, refer to:

- specifically in relation to Part 119: [AC 119-01 - Safety management systems for air transport operations](#)
- general information on safety managers: CASA's [Safety Manager Guide](#).

#### **GM 119.165 Key personnel—additional qualification and experience requirements**

The regulation enables CASA to issue a direction to an Australian air transport operator (or prospective operator) requiring additional qualifications or experience to that prescribed for a key personnel position under Subpart 119.D.

Because of the variation of scope of operator complexity across the breadth of Australian air transport operators, only baseline key personnel experience and qualification requirements have been placed in the regulations. For operators of above baseline size or complexity, additional key personnel experience and qualifications will be required for the operator to be capable of conducting safe operations in accordance with its exposition and for CASA to approve an exposition.

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<sup>14</sup> Refer to regulation 119.080 and associated GM.

## 6 Subpart 119.E—Training and checking for operational safety-critical personnel

There are exemptions in force in relation to the training and checking of crew members. These exemptions apply to certain operators. It is recommended that operators review Parts 6, 7, 7A, 8 and 9 of CASA EX87/21.

### **GM 119.170 Training and checking system**

See the comment regarding broad exemptions in force relating to the conduct of training and checking for Australian air transport operators at the beginning of Subpart 119.E of this AMC/GM document.

There is an exemption and direction in force in relation to subregulation 119.170(5) relating to the training and checking of operational safety-critical personnel who are not flight crew members, cabin crew members or other crew members assigned duties on board an aircraft for the flying or safety of the aircraft. It is recommended that operators review sections 14 and 15 of CASA EX82/21.

There is a Part 11 direction in force in relation to certain kinds of operators introducing, for the first time, a training and checking system. It is recommended that operators review section 17 of CASA EX82/21.

All operators conducting Australian air transport operations are required to have a training and checking system for flight crew and, if applicable, cabin crew. For further details on training and checking systems, refer to [AC 119-11 - Training and checking systems](#).

Certain operators are required to include operational safety-critical personnel in the training and checking system.<sup>15</sup>

In meeting the requirements for training and checking, an organisation may choose to use a Part 142 operator to conduct either or both of:

- Contracted checking
- Contracted training.

A Part 142 operator authorised for these activities is identifiable by this being listed on the respective AOC/Certificate.

Operators with aeroplanes or rotorcraft as specified in subregulation 119.170(6) and (7) may not use a Part 142 contractor to conduct flight crew checks.

In this case, the operator must use individuals employed by the operator to conduct any flight crew check activities.

**Note:** Regardless of the aircraft size, payload or MOPSC, all operators are permitted to use a Part 142 operator for the provision of training activities in any aircraft.

Australian air transport operators cannot use their training and checking system for other air

<sup>15</sup> Refer to subregulations 119.170(4) and (5).

transport operators unless they are authorised under Part 142 for this purpose.

Subregulation 119.170(8) is intended to provide legal certainty that in the circumstance where an Australian air transport operator also holds a Part 141 or Part 142 authorisation, the requirement of regulation 119.170 does not apply to the training or checking events conducted as part of the operator's Part 141 or Part 142 activities. This additional subregulation is necessary due to the specific definitions that underpin subregulation 119.170(1).

In developing the exposition procedures, the operator must consider the following:

- how training is conducted
- when training is conducted
- the standards expected for completion of the activity
- how records are maintained for the conduct of all training and checking activities
- processes for conducting internal audits of the training and checking system
- processes to ensure that each crew member completes the required activities
- how crew are supervised/assessed during each training/checking activity
- how the operator ensures that only crew who are qualified, recent and competent are assigned to perform duties for a flight
- the processes and training required for new crew members
- the processes and training required on a recurrent basis
- the processes that ensure standardisation amongst the operator's training and checking personnel
- determining the qualifications and experience required for an individual to conduct training and checking activities
- how the operator trains/inducts personnel as training and checking staff
- the process for development of training and assessment plans, course outlines and syllabi and course joining instructions
- how the operator addresses unsatisfactory performance
- determining the number of training/checking and support personnel required for completion of a course
- how the scheduling of staff and resources is managed
- what is required in the provision of suitable facilities and equipment
- the management of training equipment and devices
- the flight check systems for training operations
- command responsibilities
- authorisation of PIC
- carriage of passengers
- trainee performance review.

Operators may employ their training and checking staff as permanent staff members, or may engage individuals to work inside the organisation only for the purposes of conducting certain training and checking events. Where an operator engages the services of a contracted

individual, the operator must maintain auditable records of:

- the details of the person contracted
- the details of the training/checking activities covered by the contract
- the details of how the operator ensures that the individual is complying with the operator's training and checking system.

An operator may contract out their training and checking to a third party (Part 142). Use of a Part 142 contractor does not remove the responsibility for the operator to ensure that the training meets their requirements. In this circumstance, the exposition would be expected to describe how the operator is meeting their requirements to ensure that the contractor is provided the required services and how the training/checking is confirmed to be meeting the required elements.

#### *Construction of a training and checking system*

Operators can customise the system to meet their specific needs, provided that it continues to meet the regulatory requirements.

If a flight crew member only maintains their Part 61 qualification and recency requirements, this is unlikely to provide them with all the items to meet the applicable requirements of Parts 119, 121, 133 and/or 135. However, a training and checking system can elect to use elements of Part 61 (IPC/OPC/Flight review) at intervals that meet the respective air transport part requirements. Examples are suggested below:

- An operator who conducts VFR operations may elect to use the Part 61 flight review requirements and competency standards to construct the requirements of the operator proficiency check, but scheduled at intervals to meet the applicable air transport part.
- An operator who conducts IFR operations may elect to use the Part 61 instrument proficiency check requirements and competency standards to construct the requirements of the operator proficiency check, but scheduled at intervals to meet the applicable air transport part.

An operator may elect to use the provisions of Part 61 that allow for an operator training and checking system to be granted a regulation 61.040 approval to enable an alternate means of achieving the competencies reflected by Part 61. Equally, an operator may elect to outline, in their training and checking manual, how they will comply with the requirements of both Part 61 and Part 119, as well as the requirements of the applicable operational Parts 121, 133 and/or 135.

The existence of an operator training and checking system does not automatically enable the operator to gain a regulation 61.040 approval as an alternative to IPCs, OPCs etc.

### *Operational safety-critical personnel*

The definition of “operational safety-critical personnel”<sup>16</sup> covers a broad group of personnel which includes more than just flight and cabin crew.

In meeting the requirements for training and checking of operational safety-critical personnel who are not flight or cabin crew, the organisation may use either in-house trainers and checkers or contracted trainers and checkers, particularly as many of these functions may be performed by contracted parties that are not direct employees of the organisation. If contracted trainers and checkers are to be used, the CEO must be satisfied that the latest version of the operator's exposition is being referenced by the contractor for the purposes of training and checking, and that contracted personnel hold appropriate qualifications.

Those personnel other than flight and cabin crew that an operator determines to be operational safety-critical personnel must be described within the operator's exposition or operations manuals. In constructing the list of operational safety-critical personnel, operators should consider (as a minimum) any of the following for inclusion:

- rostering and scheduling staff
- personnel with functions in flight following or operations centres
- personnel that conduct the preparation of weight and balance information
- personnel with position descriptions/functions that may have an impact on the weight and balance of an aircraft
- all personnel who have direct contact with the aircraft and/or contact with flight/cabin crew
- all personnel involved in the acceptance of any passengers
- personnel responsible for the acceptance or build-up of any deadload, including baggage, dangerous goods and cargo, for an aircraft
- personnel associated with loading or unloading of an aircraft
- personnel associated with the loading/unloading of fuel onto/from an aircraft
- personnel associated with the loading of supplies/passenger amenities, including catering, onto an aircraft
- any manager/supervisor responsible for management of flight crew, cabin crew or operational safety-critical personnel
- all key personnel.

The above list should not be treated as exhaustive and each operator should consider the size, complexity and nature of their operations in determining what roles are included or excluded.

The description of training requirements to be listed in an operator's exposition, outlined above for flight crew, is also required for operational safety-critical personnel.

For further details on training and checking systems, refer to [AC 119-11 - Training and checking systems](#).

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<sup>16</sup> Refer to the CASR Dictionary.



### **GM 119.175 Program for training and assessment in human factors principles and non-technical skills**

Refer to the comment regarding broad exemptions in force relating to the conduct of training and checking for Australian air transport operators at the beginning of Subpart 119.E of this AMC/GM document.

There is a Part 11 direction in force in relation to certain kinds of operators introducing, for the first time, a human factors and non-technical skills training and assessment program. It is recommended that operators review section 17 of CASA EX82/21.

All Australian air transport operators must have a program for training personnel in human factors (HF) principles and non-technical skills (NTS). In the same way that a SMS and a training and checking system are scalable according to the size and complexity of the organisation, the HF and NTS training is also scalable.

For individuals and teams to perform effectively in safety-critical environments, they must be proficient in both technical skills (such as manipulation of aircraft controls, arming aircraft doors, marshalling, loading baggage, refuelling) and non-technical skills (such as communication, making decisions, maintaining situational awareness and managing stress). Non-technical skills are sometimes referred to as 'human factors'.

For additional information on HF and NTS, refer to [AC 119-12 - Non-technical skills training and assessment for air transport operations](#).<sup>17</sup>

### **GM 119.180 Training in human factors principles and non-technical skills for flight crew etc.**

Refer to the comment regarding broad exemptions in force relating to the conduct of training and checking for Australian air transport operators at the beginning of Subpart 119.E of this AMC/GM document.

There is a Part 11 direction in force in relation to certain kinds of operators introducing, for the first time, a human factors and non-technical skills training and assessment program. It is recommended that operators review section 17 of CASA EX82/21.

This regulation requires flight crew members, cabin crew members, air crew members, medical transport specialists and flight dispatchers to meet the exposition requirements for HF and NTS training before carrying out a duty of the person's position.

CASA, within the context of this regulation, interprets a duty to be those responsibilities related to the definition of operational safety-critical personnel. For example:

- safety-related work that involves direct contact with the physical operation of aircraft used in the operator's Australian air transport operations
- or
- operational contact with personnel who operate aircraft used in the operator's Australian air transport operations.

<sup>17</sup> Further resources are available at <https://www.casa.gov.au/safety-management/human-factors>.

**GM 119.185 Training in human factors principles and non-technical skills for other operational safety-critical personnel**

Refer to the comment regarding broad exemptions in force relating to the conduct of training and checking for Australian air transport operators at the beginning of Subpart 119.E of this AMC/GM document.

There is a Part 11 direction in force in relation to certain kinds of operators introducing, for the first time, a human factors and non-technical skills training and assessment program. It is recommended that operators review section 17 of CASA EX82/21.

The definition of "operational safety-critical personnel"<sup>18</sup> covers a broad group of personnel which includes more than just flight and cabin crew.

The intent of this regulation is to ensure that any personnel who may have an impact on the safety of an operation are appropriately trained to manage human performance and adapt to contextual changes.

Personnel other than those outlined in subregulation 119.180(2) are required to take part in and meet the requirements for HF and NTS training specified in an operator's exposition within three months of commencing employment.

To avoid confusion, this means that personnel covered by this regulation are able to carry out their duties for up to three months without meeting the requirements of the exposition.

For more information, refer to [AC 119-12 - Non-technical skills training and assessment for air transport operations](#).

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<sup>18</sup> Refer to the CASR Dictionary.

## 7 Subpart 119.F—Safety management

There are exemptions in force in relation to safety management systems and flight data analysis programs. These exemptions apply to certain operators. It is recommended that operators review Parts 2, 3 and 11 of CASA EX87/21.

This Subpart sets out the requirement for an Australian air transport operator to have an SMS and the components and elements of the system. Operators operating certain larger aeroplanes and rotorcraft are required to incorporate a flight data analysis program into their safety management system. Further information about SMS can be found in [AC 119-01 - Safety management systems for air transport operations](#), and in the CASA publication [Safety management system kit for aviation - a practical guide](#).

### **GM 119.190 Safety management system requirements**

Refer to the comment regarding broad exemptions in force relating to safety management systems and flight data analysis programs for Australian air transport operators at the beginning of Subpart 119.F of this AMC/GM document.

There is a Part 11 direction in force in relation to certain kinds of operators introducing, for the first time, a safety management system. It is recommended that operators review section 17 of CASA EX82/21.

There is a Part 11 direction in force in relation to the use of safety information by operators required to have an FDAP. It is recommended that operators review section 19 of CASA EX82/21.

CASA advises the industry that subregulation 119.190(1) contains a minor editorial error where it refers to “the operator’s Australian transport operations”. This phrase should be “the operator’s Australian air transport operations” and will be corrected in a future regulation amendment.

All Australian air transport operators must have an SMS. In the same way that a training and checking system is scalable according to the size and complexity of the organisation, the SMS is also scalable.

A large complex operator may have a detailed SMS, a large safety management team and a robust database. Smaller, less complex operators are not required to have the same resources dedicated to their SMS.

While the four foundations of an SMS are important to every system, operators have a certain amount of freedom in terms of their construction. The foundations are the following:

- safety policy and objectives
- safety risk management
- safety assurance
- safety promotion.

CASA provides three key resources to support the development of an SMS: [AC 119-01 - Safety management systems for air transport operations](#), [Form 1591 - Safety management](#)

[system \(SMS\) evaluation tool](#), and [Safety management system kit for aviation - a practical guide](#).

- [AC 119-01 - Safety management systems for air transport operations](#) provides guidance for organisations in meeting the SMS requirements in Part 119.
- [Form 1591 - Safety management system \(SMS\) evaluation tool](#) is CASA's primary tool to evaluate an organisation's SMS components and elements, and to determine the overall level of the SMS's maturity and effectiveness. It can also be highly effective as a tool used by organisations for self-examination, either prior to or periodically after SMS implementation.
- [Safety management system kit for aviation - a practical guide](#) is a set of nine booklets outlining the structure and elements of an SMS for organisations to consider when implementing and/or updating their SMS.

Organisations with existing safety management procedures and processes are encouraged to read AC 119-01 to assist in further developing their safety management system (if required). Throughout the AC there are performance markers that have been taken from CASA's Form 1591 and aligned to relevant regulations in Part 119. Further guidance can be found in [Safety management system kit for aviation - a practical guide](#).

Organisations with a mature SMS are encouraged to use Form 1591 to undertake a gap analysis of their existing procedures and processes to ensure they meet the requirements outlined in Part 119. Further guidance on this, and the performance markers used in Form 1591, can be found in AC 119-01.

Organisations who do not currently have an SMS are encouraged to read [Safety management system kit for aviation - a practical guide](#), in conjunction with AC 119-01. References to relevant booklets in the kit have been included throughout the AC.

### **GM 119.195 Flight data analysis program requirements**

Refer to the comment regarding broad exemptions in force relating to safety management systems and flight data analysis programs for Australian air transport operators at the beginning of Subpart 119.F of this AMC/GM document.

There is an exemption in force in relation to the requirements of paragraph 119.195(3)(d) relating to punitive actions taken on the basis of FDAP data and identified persons. It is recommended that operators review section 18 of CASA EX82/21.

There is a Part 11 direction in force in relation to the use of safety information by operators required to have an FDAP. It is recommended that operators review section 19 of CASA EX82/21.

Regulation 119.195 requires operators of certain larger aeroplanes and larger rotorcraft to have a flight data analysis program (FDAP).

FDAP equipment and permitted activities are separate to the CVR and FDR equipment requirements, including access to stored data. An FDAP does not, in any way, change the requirements applicable to the carriage of CVR/FDR equipment and cannot interfere with the preservation requirements for CVR/FDR data (refer to Division 91.D.8).

Where an organisation has an FDAP, regulation 119.190 requires that it is included in the SMS. An FDAP is used for the monitoring and analysis of flight operations and engineering performance data. Successful programs encourage adherence to SOPs and deter non-standard operations, consequently improving flight safety. They can also detect adverse trends in any part of the flight regime which can be mitigated by revision of SOPs, Air Traffic Control (ATC) procedures or understanding anomalies in aircraft performance.

In establishing an FDAP, the operator may consider:

- establishing agreements between the company and its workforce on how data is used and any provisions applicable to the access of that data
- appropriate data security procedures and protocols
- the capabilities of any selected equipment
- training of personnel
- how data is collected from the aircraft
- how data is analysed
- how the FDAP is used to enhance/facilitate the SMS.

For additional information, refer to [AC 119-04 - Flight data analysis programmes \(FDAP\) for air transport operations](#).

## 8 Subpart 119.G—Personnel fatigue management

This Subpart is reserved for future use. Flight crew fatigue is regulated under [Civil Aviation Order 48.1 Instrument 2019](#), guidance for which is available on the [CASA website](#).

## 9 Subpart 119.H—Expositions for Australian air transport operators

This Subpart prescribes:

- the required content of an Australian air transport operator's exposition
- the requirement for an operator to provide relevant exposition material to its personnel prior to carrying out their duties
- the requirement for the operator and operator personnel to comply with the exposition.

### **GM 119.205 Content of exposition**

There is an exemption in force in relation to subparagraph (1)(e)(iv) of this regulation relating to the naming, in the exposition, of a person who is authorised to carry out the responsibilities of a key person when the position holder is absent from the position or cannot carry out the responsibilities of the position. It is recommended that operators review section 16 of CASA EX82/21.

An exposition is a document, or set of documents, which describes how an operator will conduct its operations safely. It sets out, both for CASA and for operator personnel involved in the operation, how to comply with all applicable legislative requirements and manage the safety of the operation, as well as details of each plan, process, procedure, program and system implemented.

If structured as a set of documents, the exposition might include a "principal/primary document" which contains all the common information applicable to operator activities. Separate manuals can then be established for specific aspects of certain activities, and the associated systems and procedures applicable to those activities. These separate manuals form part of the operator exposition.

The exposition comprises both the principal document and all other operator nominated manuals. Where the exposition is comprised of other manuals/documents, the principal document must reference the other manuals and state that they form part of the exposition.

In constructing the exposition content, the operator should refer specifically to the list of items in the regulation to ensure completeness of the exposition.

For example, paragraph 119.205(1)(e) stipulates further requirements for key personnel in addition to those in Subpart 119.D.

### **GM 119.210 Compliance with exposition by operator**

This regulation requires an operator to meet the requirements of their own exposition. It is important to understand that even when something is not addressed in the legislation, or the exposition goes beyond what the legislation requires, the operator is still required to comply with the matter(s) specified in the exposition.

**GM 119.215 Providing personnel with exposition**

The operator is required to make its exposition available to all applicable personnel. This can be in an electronic format.

Operators should refer to paragraph (a) of the definition of "personnel" in the CASR Dictionary, which is quite broad. Personnel, whether directly employed or employed under contract (either direct contract or through a contract to another company), are required to be provided with the parts of the operator's exposition relevant to their duties.

**GM 119.220 Compliance with exposition by personnel**

The operator's personnel are required to comply with the operator's exposition, as it applies to them. If a member of an Australian air transport operator's personnel does not meet the requirements of the exposition as they apply to them, then both the member and the operator commit an offence. This places an onus on the operator to take steps to ensure that personnel comply with operator procedures.



## 10 Subpart 119.J—Records and documents

### **GM 119.225 Personnel training and checking records—making records**

This regulation requires an operator to make specified training and checking records for their personnel.

### **GM 119.230 Personnel training and checking records—availability of records**

This regulation requires an operator to make records made under regulation 119.225 available to the person to whom the records relate at the person's request. It also requires the operator to provide copies of the records to another Australian air transport operator if such a request is authorised in writing by the person to whom the records relate. This is to provide transparency as to the contents of records between employees and employers.

### **GM 119.235 Copies of flight crew licences and medical certificates**

This regulation requires an operator to hold copies of a flight crew member's licence and medical certificate.

### **GM 119.240 Retention periods for personnel records**

There is a direction in force in relation to certain air transport operators and the retention of historical flight crew member records. It is recommended that operators review section 6B of CASA EX82/21.

This regulation prescribes the minimum retention periods for personnel records.

The retention periods applicable to these records are only applicable from the commencement of this regulation. Where an operator chooses to access provisions in the Civil Aviation Legislation Amendment (Flight Operations—Consequential Amendments and Transitional Provisions) Regulations 2021 then the operator should retain the applicable record which would have been made prior to the commencement of regulation 119.240. For example, if an operator sought to access the provisions of regulation 202.418, the operator should at least retain the record relating to 'old' training and checking event. Regulation 202.418 provides for an operator to use a training and checking event under the previous regulations to meet the requirements of these regulations. Operators would be expected to have access to these recent records for the old event as it is not too distant and should have been retained under the provisions of the previous regulations.

### **GM 119.245 Retention periods for flight-related records**

There is a direction in force in relation to certain air transport operators and the retention of certain flight related records. It is recommended that operators review section 6B of CASA EX82/21.

This regulation prescribes the minimum retention periods for flight-related records.

The retention periods applicable to these records are only applicable from the commencement of this regulation. Operators should also review the requirements of Subdivision 202.EAA.1.15—Miscellaneous transitional provisions of the Civil Aviation

Legislation Amendment (Flight Operations—Consequential Amendments and Transitional Provisions) Regulations 2021. Subdivision 202.EAA.1.15 includes certain record keeping requirements applicable to previous regulatory requirements which existed prior to the commencement of this regulation.

Under section 12 of the *Electronic Transactions Act 1999*, an electronic copy of a document is acceptable for the purposes of retention of documents under Commonwealth law (including CASR) if the electronic form can be readily accessed for subsequent reference and the integrity of the information has remained complete and unaltered (other than endorsements or immaterial changes). Subsection 12(4) of the *Electronic Transactions Act 1999* states that if information was the subject of electronic communication the requirement to retain information is taken to be met if either the first person retains or causes another person to retain the information in electronic form. The term “electronic communication” is defined in section 5 of the *Electronic Transactions Act 1999*.

Regulation 119.245 requires the retention of certain documents for at least 3 months after the end of a flight by an Australian air transport operator. This includes flight plans, passenger lists, and weight and balance documents. It also includes authorised weather forecasts. The obligation in regulation 119.245 is for the operator to “keep” these records, which means there is an obligation for the operator to store copies of these documents whether in a physical or electronic format. If an operator is accessing weather reports using an electronic system, for example NAIPS or a similar electronic service, and they can continue to reliably access the weather reports that were used for the flight for at least 3 months after the flight, then the operator can rely on that system for the purposes of regulation 119.245 providing that the means of storage meets the requirements of the *Electronic Transactions Act 1999*.

#### **GM 119.250 Retention periods for other flight-related records**

This regulation prescribes the minimum retention periods for other flight-related records. The retention periods applicable to these records are only applicable to operations conducted on or after the commencement of this regulation.

## 11 Subpart 119.K—Miscellaneous offences

### **GM 119.255 Dealings in relation to cancelled, suspended, varied, pending or refused civil aviation authorisations**

Regulation 119.255 states that an operator must not enter into an agreement with another person or operator whose AOC is either cancelled, suspended, varied, pending or has been refused, to conduct an operation or aspects of an operation that is (or proposes to be) authorised under the AOC that is cancelled, suspended, varied, pending or refused.

This is to ensure that operators do not share or borrow the ability to perform an Australian air transport operation without the knowledge and express approval of CASA. Only those operators who hold approval under regulation 119.025 are permitted to enter into agreements to undertake the conduct of an operation, or aspect of an operation, on behalf of an operator who may no longer fulfil the requirements themselves (due to their own AOC being either cancelled, suspended, varied or pending).

### **GM 119.260 Maximum period for use of foreign registered aircraft in Australian territory**

There is a Part 121 direction in force in relation to the operation of foreign registered aircraft. It is recommended that operators review section 6 of CASA EX82/21.

This regulation limits the use of any singular foreign registered aircraft, in any Australian air transport operation conducted by an Australian air transport operator (which could include operations across multiple types of air transport operations authorised by an Australian air transport AOCs) to a total of 90 days in any rolling 12-month period. An approval power exists for CASA to allow a greater number of days, which would usually be for non-routine circumstances. This approval power is subject to regulation 11.055.

The underlying intent of this regulation is to provide for the short term use of a foreign registered aeroplane or rotorcraft during circumstances such as the operator's Australian registered aircraft undergoing maintenance such as repairs, or where the operator needs to add capacity for peak periods.

It is not intended that an Australian air transport operator should use a foreign registered aircraft in the long term unless exceptional circumstances exist.

Leases and other commercial agreements in relation to foreign aircraft operations have the potential to lead to the situation where the country of aircraft registration has limited ability to conduct adequate control and supervision of the aircraft, its operation and its maintenance.

The Australian civil aviation legislation relating to airworthiness, Part 42 and CAR Parts 4/4A/4B/4C/4D and subordinate legal instruments, do not apply to foreign registered aircraft. Foreign registered aeroplanes or rotorcraft operated by an Australian air transport operator would be regulated for their operation by CASA, but would be regulated for their maintenance by the national aviation authority (NAA) of the State of the aircraft's registration. This circumstance, whereby oversight is split between CASA and the other NAA, results in neither party having a holistic and completely transparent view of the aircraft,

its maintenance and its operation. When this period of split responsibility is extended, it can have an adverse effect on the safety of air navigation.

In the long term, Australian air transport operators should either:

- Place the foreign registered aeroplane or rotorcraft on the Australian Part 47 register, thus placing the airworthiness of the aircraft under solely Australian oversight
- or
- Obtain an AOC in the State of registry for the foreign registered aeroplane or rotorcraft and then apply for an AOC under Part 129 for a foreign air transport operation
- Arrange for Australia and the State of registry to enter into an article 83 bis agreement whereby Australia and the State of registry would agree to transfer regulatory responsibility to ensure the safe operation and maintenance of the aircraft, for example by agreeing to treat the aircraft as if it were an Australian aircraft.

Any application for an approval for a number of days greater than 90 should provide reasons why the long term options mentioned above cannot be accomplished. This information will assist CASA in determining under paragraph 11.055(1A)(e) whether granting the approval would be likely, or not be likely, to have an adverse effect on the safety of air navigation.

An Australian air transport AOC authorising foreign aircraft can also only be issued if, under section 28A of the *Civil Aviation Act 1988*, CASA has entered into agreements with:

- the authority responsible for regulating civil aviation in the country where the aircraft is registered
- if, when the application for the AOC is made, the aircraft is operating in another country under an air operator's certificate, or a document to substantially the same effect, issued by the authority responsible for regulating civil aviation in that other country (a foreign certificate)—the body that issued the foreign certificate
- the agreement must set out the areas of responsibility of the parties to the agreement in relation to the supervision of flight operations, the maintenance, and the airworthiness, of aircraft covered by the agreement.