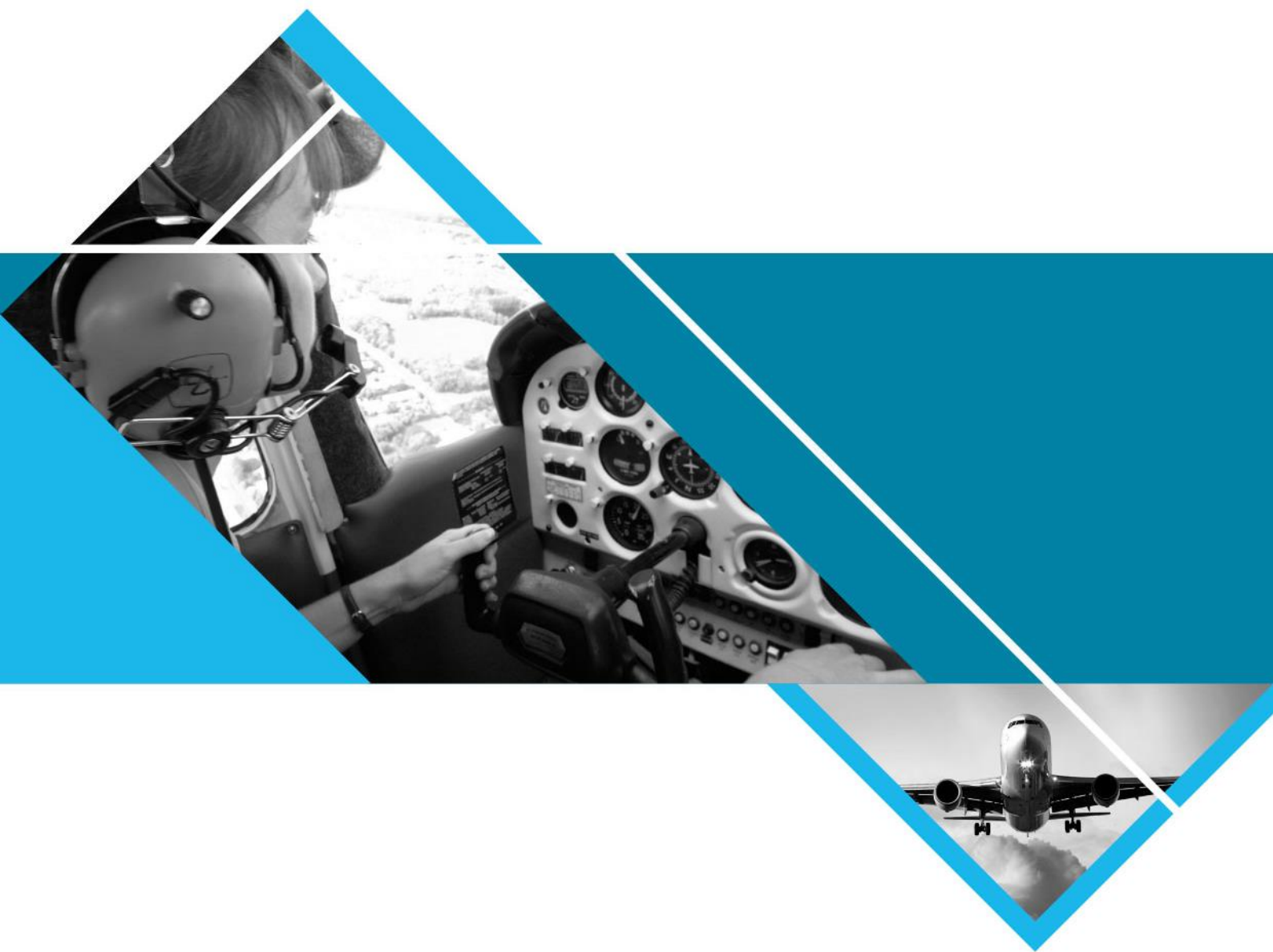




Australian Government
Civil Aviation Safety Authority



CASA Surveillance Manual

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This document contains guidance material intended to assist CASA officers, delegates and the aviation industry in understanding the operation of the aviation legislation. However, you should not rely on this document as a legal reference. Refer to the civil aviation legislation including the Civil Aviation Act 1988 (Cth), its related regulations and any other legislative instruments—to ascertain the requirements of, and the obligations imposed by or under, the law.

Preface

As a Commonwealth government authority, CASA must ensure that the decisions we make, and the processes by which we make them, are effective, efficient, fair, timely, transparent, properly documented and otherwise comply with the requirements of the law. At the same time, we are committed to ensuring that all our actions are consistent with the principles reflected in our Regulatory Philosophy.

Most of the regulatory decisions CASA makes are such that conformity with authoritative policy and established procedures will lead to the achievement of these outcomes. Frequently, however, CASA decision-makers will encounter situations in which the strict application of policy may not be appropriate. In such cases, striking a proper balance between the need for consistency and a corresponding need for flexibility, the responsible exercise of discretion is required.

In conjunction with a clear understanding of the considerations mentioned above, and a thorough knowledge of the relevant provisions of the civil aviation legislation, adherence to the procedures described in this manual will help to guide and inform the decisions you make, with a view to better ensuring the achievement of optimal outcomes in the interest of safety and fairness alike.

Chief Executive Officer and
Director of Aviation Safety

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Glossary

Acronyms and abbreviations

Acronym / abbreviation	Description
AEB	Airworthiness and Engineering Branch
ANAA	Air Navigation, Airspace and Aerodromes
AOC	Air Operator's Certificate
ARN	Aviation Reference Number
ASR	Aircraft Survey Report
ATSB	Australian Transport Safety Bureau
BO	SAP Business Objects
CAO	<i>Civil Aviation Order</i>
CAR	<i>Civil Aviation Regulations 1988</i>
CASR	<i>Civil Aviation Safety Regulations 1998</i>
CASA	Civil Aviation Safety Authority
CEP	Coordinated Enforcement Process
COA	Certificate of Approval
COM	Controlling Office Manager
CSM	CASA Surveillance Manual
DRS	Defect Reporting Service
EAP / EMPIC	Enterprise Aviation Processing - IT System
EICMS	Enforcement, Investigations and Case Management System
EVU	Enforceable Voluntary Undertaking
ICAO	International Civil Aviation Organisation
OPM	Oversight Planning and Monitoring Team (Prev NSSP)
MOS	Manual of Standards
MSM	Management System Model
NMS	National Manager Surveillance
NOP	National Oversight Plan
NSSP	National Surveillance Selection Process
POWER BI	Microsoft Business Intelligence Tool
RAAO	Recreational Aviation Administration Organisations
RFI	Surveillance Request for Information
RMS	Records Management System
RPAS	Remotely Piloted Aircraft Systems
ROD	Regulatory Oversight Division

Acronym / abbreviation	Description
RSR	Regulatory and Safety Review
SA	Safety Alert
SAR	Safety Assurance Review
SF	Safety Finding
SIC	Surveillance Information Circular
SM	Surveillance Manager
SME	Subject Matter Expert
SMS	Safety Management System
SO	Safety Observation
SRM	Surveillance Review Meeting
SPR	Surveillance Priority Review
SRD	Self-Reported Deficiency
SRI	System Risk Indicator
SRP	System Risk Profile
SSB	Safety Systems Branch
STO	Surveillance Technical Officer
STPM	Surveillance Team Planning Meeting
TMI	Temporary Management Instruction

Definitions

Term	Definition
Acquittal	Decision by CASA accepting that the remedial and corrective actions taken by the authorisation holder have satisfactorily addressed the breach
Action Plan	Means by which an authorisation holder demonstrates to CASA those actions and milestones planned to acquit an open safety finding
Aircraft Survey Report (ASR)	Document issued by CASA to the registered operator providing notice of a potential or actual aircraft defect and generally in the form of a CASR 11.245 Direction.
Authorisation Holder (AH)	A holder of a Civil Aviation Authorisation as that term is defined in section 3 of the <i>Civil Aviation Act 1988</i> i.e. “an authorisation under this Act or the regulations to undertake a particular activity (whether the authorisation is called an AOC, permission, authority, licence, certificate, rating or endorsement or is known by some other name)”
Authorisation Holder Assessment (AHA)	A consolidation of information to assist a surveillance team determine the surveillance priority of an authorisation holder
Authorisation Holder Assessment Report	A Power BI report containing a current listing of all authorisation holders within a given business area, with information regarding the most recent AHA conducted on the authorisation holder.

Term	Definition
Branch Manager (BM)	The applicable branch manager carries out non ROD surveillance responsibilities as delegated in the manual.
Breach	An infraction or violation of a legislative provision
Business Day	A day that is not a Saturday, a Sunday or a gazetted public holiday in the relevant location
CASA Surveillance Framework	The framework incorporates policies, processes, IT systems and guidance that support CASA's surveillance functions
Compliance	Actions or activities carried out and which will achieve the requirements of the legislation
Controlling Office	CASA office or branch responsible for oversight of an authorisation holder in accordance with the responsibilities in this manual.
Controlling Office Manager	CASA senior manager responsible for oversight of an authorisation holder. Also see surveillance manager
Corrective Action	Action required by an authorisation holder in response to a breach that reduces the potential of recurrence. The action must address the root cause of the deficiency that caused the breach and indicate how the effectiveness of the action will be tracked
Defect Reporting System (DRS)	A system that allows people to report to CASA and view major defects with aircraft or aircraft parts
EAP	Enterprise Aviation Processing System
Element	A part or component of an authorisation holder's systems that either together or alone contributes to the operation of that system
Enforcement	Strategies adopted by CASA to secure compliance with aviation safety standards (See Chapter 6 –Enforcement)
Evidence	Information, objects, records, documents or statements of fact used to support findings
Finding	A documented output from a surveillance event resulting from a deficiency
Formal Comment	Are used to record information of significance that may be taken into consideration in scoping future surveillance on the authorisation holder.
General Comment	Are used to capture intelligence gathered from various sources both from within and outside the organisation and are generally for information only.
Issuing Inspector	An Inspector who identifies a finding, issues the finding and who subsequently manages that finding through to acquittal
Management System Model (MSM)	A tool used to assess the effectiveness of an authorisation holder's systems and its ability to manage its safety risks and to determine probable root cause when assessing non-compliance
National Manager Surveillance (NMS)	This is the National Manager for ROD Surveillance (excluding Aerodromes and Technical Operations). For areas outside ROD these responsibilities are delegated in this manual to the applicable branch manager

Term	Definition
National Oversight Plan (NOP)	The National Oversight Plan (NOP) incorporates all of the ICAO critical elements that relate to Implementation and provides a systematic and evolving oversight picture for operators, ensuring a consistent and effective approach to aviation safety and regulatory compliance.
National Sector Campaigns	Coordinated surveillance activity focusing on multiple authorisation holders within an identified sector of the industry over a defined period of time
Non-Compliance	Has the same meaning as the term breach and can be used interchangeably
Operational Check	A surveillance event targeted at a specific activity or function used to assure compliance
Oversight	This is surveillance oversight and is limited to the procedures and responsibilities contained within this manual.
NOP Planned Surveillance	1. Planned Surveillance is driven by the risk to safety posed by AH's and is based on an assessment of a number of factors including the assessment of an AH's safety performance based on recent safety findings and reports. Planned Surveillance also aims to ensure coverage of a set scope of regulatory compliance checking over a defined period of time for each approval type.
Post-Authorisation Review (PAR)	A review conducted to ensure entry control standards are being maintained and conducted within twelve (12) to eighteen (18) months following the initial issue, depending on the type of authorisation issued
Power BI	Microsoft product providing combined live data from sky sentinel merged with other internal systems
Process Verification	Validation of an authorisation holder's procedures to verify the effectiveness of communications and interactions between various interdependent processes. Process verification is part of a systems surveillance and should confirm the 'process in practice' including outputs
Ramp Inspection	Inspection of an aircraft, including documentation, equipment and procedures associated with that operation
Regulatory Service	The assessment and/or review relating to an approval, variation, exemption or instrument. These are considered separate to a surveillance activity as they are initiated by the authorisation holder and may involve cost recovery or the payment of fees. Although not considered surveillance, the conduct of a regulatory service provides CASA with information and insight into an authorisation holder and will form a part of the broader oversight for consideration when planning surveillance
Remedial Action	Immediate action taken by an authorisation holder in response to a Finding to address the deficiency that caused the breach, and which will return performance to a compliant state
Response Activities	Activities conducted in direct response to outside events. For example, a safety report or complaint
Risk	The effect of uncertainty on objectives

Term	Definition
Risk Based Surveillance	A structured process used by CASA in the oversight of an authorisation holder's performance and when prioritising surveillance activities, focused on the effectiveness in managing their risks and is also a method by which CASA can evaluate that all activities conducted by the authorisation holder are as safe as reasonably practicable
Risk Framework	Set of interacting activities and rules for coordinating and directing Risk Management Processes (from ISO Guide 73:2009 – Risk Management)
Risk Management Process	Systematic application of management policies, procedures and practices to the tasks of communication, consulting, establishing the context, identifying, analysing, evaluating, treating, monitoring and reviewing risk
Root Cause	The fundamental breakdown or failure of a process or system which, when resolved, prevents a recurrence of the deficiency
Safety Alert (SA)	A notification used to raise an immediate safety concern regarding a serious breach by an authorisation holder and issued in conjunction with a safety finding and may be accompanied by an ASR. The issue of a safety alert is also one of the triggers that initiates the Coordinated Enforcement Process (CEP)
Safety Finding (SF)	A notice issued to an authorisation holder for the purposes of identifying a breach of a legislative provision or a provision of the authorisation holder's written procedures
Safety Observation (SO)	A notice issued to an authorisation holder to advise them: <ul style="list-style-type: none"> • of latent conditions resulting in system deficiencies that, while not constituting a legislative or procedural breach, have the potential to result in such a breach if not addressed; or • to put in place measures to mitigate potential regulatory breaches and risks to aviation safety.
Scoping	Assessing an authorisation holder's activity to establish what is to be covered in a surveillance event
Sky Sentinel	IT tool for the management of surveillance activities and information supporting the planning, conducting, analysing, monitoring and reporting phases of surveillance
Surveillance	Oversight of authorisation holders performed by CASA pursuant to section 9(1)(f) of the Civil Aviation Act 1988 (the Act)
Surveillance event	Activity by which CASA assesses the safety performance of regulated aviation activities
Surveillance event team	The team which is made up of Inspectors that may be drawn from various disciplines, who have been assigned to conduct a surveillance event. If the surveillance event is conducted by a sole Inspector, that Inspector assumes all roles and responsibilities for the execution of the surveillance event
Surveillance Information Circular	A mechanism for communicating any changes that are made to processes or procedures to the CASA surveillance community.

Term	Definition
Surveillance lead	CASA officer with the appropriate experience who is responsible for leading a surveillance team. The term also applies to a sole Inspector conducting a surveillance event
Surveillance manager (SM)	<p>The surveillance manager is responsible for oversight of authorisation holders assigned to them. This oversight is limited to the procedures and responsibilities contained within this manual.</p> <p>This generic title is to capture all the varying branch management nomenclature. Some examples are below:</p> <ul style="list-style-type: none"> • includes controlling office manager - where no surveillance manager has been appointed e.g. RPAS, Aerodromes, Sports etc • Tech Ops • CNS/ATM • MTOs • in ANAA branch this is equivalent to the team leader • in AEB this is equivalent to the manager design and manufacturing oversight • in RPAS branch this is equivalent to the manager RPAS Operations.
Surveillance Review Meetings	The SRM meets monthly and manages the surveillance planning process and reviews planned surveillance activity monthly targets.
Surveillance Team Planning Meetings	Surveillance teams from all branches of CASA that conduct surveillance activities hold meetings on a weekly or monthly basis dependent on their level of surveillance activity.
Surveillance Event Team	A team of inspectors led by a surveillance lead conducting a surveillance event
Surveillance Team	A group of inspectors led by a surveillance manager/team leader that plan and manage surveillance activities on authorisation holders oversight by their respective offices/branches
Surveillance technical officer (STO)	Surveillance technical officers are a national resource and are available to assist any branch of CASA with surveillance related services. Surveillance technical officers are available to provide surveillance teams with all the necessary tools to plan, conduct and finalise surveillance. The surveillance technical officers assist with formatting surveillance reports and findings and the administration of findings. Surveillance technical officers can provide support to surveillance teams while out in the field. Each surveillance technical officer also provides support for sky sentinel as an advanced user.
System	A group of interrelated processes that are a composite of people, procedures, materials, tools, equipment, facilities and/or software operating in a specific environment to perform a specific task, or achieve a specific purpose
Systems surveillance	Seeks to assess an authorisation holder's management system and its ability to manage operational risks. To achieve this, safety-related processes are assessed to determine they are operating in accordance with the authorisation holder's documentation and Civil Aviation legislation

Forms

Doc no.	Title
CASA-03-0202	Surveillance Manual Annex 1 - Surveillance Standards and Protocols
CASA-04-0676	Aircraft Survey Report - Front Page (Form 996)
CASA-04-0677	Aircraft Survey Report - Response Page (Form 996)
CASA-04-5675	Aircraft Survey Report – Acquittal letter
CASA-04-0592	Surveillance Planning and Scoping Development (Form 1189)
CASA-04-0602	Surveillance Event Summary of Findings (Form 1288)
CASA-04-0603	Surveillance Event Record of Conversation (Form 1289)
CASA-04-0604	Surveillance Event Timetable (Form 1290)
CASA-04-0605	Safety Finding - Further Evidence Requested (Form 1291)
CASA-04-0606	Surveillance Report Covering Letter (Form 1292)
CASA-04-5442	Surveillance Checklist – Entry/exit meeting and attendance form (combined) (Form 1296)
CASA-04-0611	Safety Observation (Form 1298)
CASA-04-0612	Safety Finding - Front Page (Form 1299)
CASA-04-0613	Safety Finding - Response Page (Form 1299)
CASA-04-0614	Safety Alert - Front Page (Form 1300)
CASA-04-0615	Safety Alert - Response Page (Form 1300)
CASA-04-0616	Surveillance Report (Form 1301)
CASA-04-0618	Safety Finding - Acquittal letter (Form 1303)
CASA-04-0619	Surveillance Notification (Form 1304)
CASA-04-0620	Surveillance Framework Amendment Submission (Form 1305)
CASA-04-0621	Surveillance Worksheet (Form 1308)
CASA-04-6307	Part 142 SIM ONLY Surveillance evaluation
CASA-04-5686	Surveillance Review Meeting (SRM) Agenda
CASA-04-5685	Surveillance Team Planning Meeting (STPM) Agenda
CASA-04-0637	Safety Finding - Extension Acceptance Letter (Form 1455)
CASA-04-0638	Safety Finding - Extension Rejection Letter (Form 1456)
CASA-04-6213	Safety Finding - Verification by CASA
CASA-04-0617	Safety Finding – Overdue Letter (Form 1302)
CASA-04-3001	Safety Finding - Response to Objection Letter (Form 1543)
CASA-04-5630	Safety Finding - Objection Peer review
CASA-04-4264	Part 145 Surveillance Information Request (Form 1481)
CASA-04-6375	Part 42 Surveillance Information Request
CASA-04-6562	Part 138 Surveillance Information Request

Doc no.	Title
CASA-04-0692	CAR 30 Surveillance Information Request (Form 1521)
CASA-04-4325	Air Operators Surveillance Information Request (Form 1524)
CASA-04-0646	Part 139 Surveillance Information Request (Form 1532)
CASA-04-4380	Part 21 Manufacturing Surveillance Information Request
CASA-04-5522	Part 147 Surveillance Information Request
CASA-04-5906	Part 141/142 Surveillance Information Request
CASA-04-5149	Desktop Risk Assessment Guide
CASA-04-0243	Dangerous Goods Manual Checklist – AOC Port Inspection (Part A only)
CASA-04-0636	Acceptance of Dangerous Goods Checklist – AOC Port Inspection (Part A only)
CASA-04-6567	Checklist (OPS.26) Dangerous goods – RAMP inspection
CASA-04-6320	Checklist (OPS.26) Ground operations - Port inspection
CASA-04-5379	Aviation Event Brief (Form 3836)
CASA-04-5380	Occurrence Brief (Form 7642)
CASA-04-5535	Surveillance CASR Part 147 Worksheet
CASA-04-5147	Surveillance Safety Management - Change Management Worksheet
CASA-04-5615	Terms of Reference (TOR) - Safety Assurance Review (SAR)
CASA-04-5562	Fatigue Surveillance Checklist
CASA-04-4261	Surveillance Report and Findings Work Instruction – Standard Wording

Revision history

Revisions to this manual are recorded below in order of most recent first.

Version no.	Date	Parts / sections	Details
5.2	May 2024	All	Amended and updates throughout
5.1	December 2022	All	Updated definitions and updated processes.
5.0	January 2022	All	Definitions, multiple forms added. Changes to titles and surveillance schedules to reflect the organisational change to a National Model
4.4	January 2021	All	<ul style="list-style-type: none"> • amend the word audit to Surveillance • manual sponsorship changes • update of Tables/figures.
		3.3.1.2	Addition of AOCD Desktop review description
		3.3.6.1	Addition of AHPI digitised set of question recommendation
		4.2.4.8	Addition on use of scheduled start dates
		4.4.4.1	Amendments to Process of Level 1 Event
		4.4.4.2	Amendments to Process Details of Level 1 Event
		4.4.5	Addition of Process for AOCD Event
		4.4.5.1	Addition of Process Details for AOCD Event
		4.4.6	Addition of Process - Prepare for AOCD Event
		4.4.7	Addition of Process Details - Prepare for AOCD Event
		4.4.8	Amendment to Accountabilities - Event preparation wording
		4.5	Amendment to working - Conduct Surveillance Event
		4.5.2	References - Addition of Form 2173
		4.5.15	Amendment to 4.5.15 - Process details - Conduct AOCD
		4.6.12	Addition of use of all fields in sky sentinel and using Remote if Desktop
		4.6.13.2	Amendment to wording
		Annex 1 All	Amend the word audit to Surveillance
		Annex 1 Section 2	Inspector responsibility for currency and competency
		Annex 1 Section 3	Addition of description regarding AHPI Questionnaire

Version no.	Date	Parts / sections	Details
		Annex 1 Section 6	Addition of Level 2 Desktop Surveillance review information and documentation list
		Annex 1 Section 7	Aircraft Ramp Inspection added. Taken from the Safety Assurance Branch Inspector Handbook
		Annex 1 Section 8.2	Reference to legislation provisions and written examples
		Annex 1 Section 12	Addition of Surveillance report and findings work instructions - Standard wording
		Annex 1 Section 13	Occurrence Management re-write of process
4.3	June 2020	Throughout manual	Addition of NSSP as primary provision of CASA scheduled surveillance events Removal of financial year update of mandatory Elements for Health Check.
		WHS for employees	Added Aurion - Employee Self Service
		Glossary	AEB, AHPI, AMTL, ANAA, COM, RPAS
		Definitions	EAP, Scoping
		Section 1	Deleted reference to Safety Systems Manual
		Section 2	<ul style="list-style-type: none"> added non-AOC holder ICAO requirement – Annex 9 clarified Response Activities in relation to other NOP pillars
		Section 3	<ul style="list-style-type: none"> added use of comment field in Sky Sentinel surveillance Planning and Scoping Form 1189 - now mandatory information about scoping and conduct for event type "desktop review" AHPI Group A every due every 6 months and 12 months for Group B and C

4.3	June 2020	Section 4	<ul style="list-style-type: none"> • note - assessment outside of NSSP • AHPI Group A every due every 6 months and 12 months for Group B and C • voluntary suspension in AHPI discussion • comment usage in sky sentinel • recording AHPI contact method (phone call or site visit) • clarification on when an AHPI is conducted • AHPI response of 'don't know' • further information about surveillance request • NSSP events are loaded annually on behalf of Regions/Branches • adding proposed dates of surveillance at approval stage • "endorse" to "recommends" • removed requirement to review Safety Finding extensions • removed all authorisation Cat 1 discussion. Altered to discussions on outstanding only. • reports can be provided at weekly team meetings • NSSP events are not to be "cancelled" • AMTL to ensure status of NSSP report is accurate • Surveillance Planning and Scoping Information Request (Form 1534) • Oversight Surveys under Forms • Updated STO responsibilities • Updated Lead Auditor/Inspector responsibilities • Use of Form 1189 • Saving to EDRMS • All attendees noted on attendance list • Changed Operational Check - to read Level 2 event • COM referral to CEP after a discontinuation • Start date is entered on sky sentinel once the event has commenced • Document Cat. reference added • Code A, B and C to ASR • Instructions to delete a Finding • Objections and process to follow • Creation of a surveillance event for safety alert • Updated section on ASRs • Report technical summary is no longer mandatory • Review time to get to AMTL/COM • Ensure scoped Elements not completed are reflected by a double asterisk
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Version no.	Date	Parts / sections	Details
			<ul style="list-style-type: none"> • Peer review if required • Update on what the surveillance report should include • AEB and Airservices requirements to CC report • Surveillance report and findings work instructions - Standard wording • Safety Finding needs to be withdrawn a new event needs to be created if another Safety Finding is being created • Safety Finding is objected and that is upheld and therefore withdrawn and a new Safety Finding is created • Actions of objection should be carried out by the Surveillance Manager as the system provides a technical log of who is actioning • Information regarding self-reported deficiencies and Enforcement
4.3	June 2020	Section 5	SAP Business Intelligence
		Annex 1	<ul style="list-style-type: none"> • AHPI Cat A 6 monthly and B and C 12 monthly • 'Selected to be reviewed' added • Clarify records management and saving to EDRMS • Do not include penalty units added to findings standardised regulatory reference • ASRs unless specified have a 365-day validity. • 'after discussion with the COM and AMTL' • ASRs updated to reflect CSM • Reference to Technical Summary removed • Added desktop to safety occurrence review • CASA may request the completion of Safety Occurrence Request for Information (Form 997) - to establish the circumstance of the occurrence, before making any further judgement - Added to table for "Minor"
4.2	July 2019	All	<p>Update of Level 2 Operational Check surveillance event types.</p> <p>Addition of Surveillance technical officer role.</p> <p>Added reference to the use of Surveillance Report Summary - Work Instruction - Standard Wording.</p>

Version no.	Date	Parts / sections	Details
4.1	June 2019	Annex 1 Manual preface	Addition of Regulatory Services and Safety Assurance Reviews (RSS SAR) and Roles and Responsibilities Addition of Work health and safety (WHS) for employees
4.0	April 2019	All	Update to include reference to the NSSP and the National Oversight Plan
4.0	April 2019	All	Update to the manual owner and sponsor
4.0	April 2019	1.4.2	Inclusion of the Service Desk form for submitting change requests
4.0	April 2019	1.4.3	Separation of Annexes 2 to 18 from the CSM
4.0	April 2019	2.3	Insertion of CASA Surveillance Policy
4.0	April 2019	4.7.18.2	Expansion on text concerning a return to activities after Voluntary Suspension
4.0	April 2019	4.7.2 4.7.4.1 4.7.6.1 4.7.9.1 / 4.7.9.2	Replacement of term "Safety Finding Rejection Letter" with "Further Evidence Requested"
4.0	April 2019	4.7.11.2	Inclusion of text clarifying the start date for extensions, once approved, to implement correction plans for a Safety Finding.
3.2	December 2017	Annex 18	Addition of table - Authorisation Type
3.1	December 2017	Annex 1 and 18	Addition on Annex 18 (DAMP) removal of DAMP form Annex 1
3.0	September 2017	All 4.5.13.2 Conduct Exit Meeting 4.5.14.2 Conduct Exit Meeting	Updated naming of findings: - NCN to Safety Finding - Observation to Safety Observation Included text for the disclosure of findings at the exit meeting
2.4	April 2017	All	Chapters and annexes revised as part of the regular review and CASA Surveillance Framework Continuous Improvement process
2.3	January 2015	All	Chapters and annexes revised as part of the regular review and CASA Surveillance Framework Continuous Improvement process
2.2	February 2014	All	Chapters and annexes revised as part of the regular review and CASA Surveillance Framework Continuous Improvement process

Version no.	Date	Parts / sections	Details
2.1	August 2013	All	Chapters and annexes revised as part of the regular review and CASA Surveillance Framework Continuous Improvement process
2.0	February 2013	All	Chapters and annexes revised as part of the regular review and CASA Surveillance Framework Continuous Improvement process
1.1	November 2012	All	Chapters and annexes revised as part of the regular review and CASA Surveillance Framework Continuous Improvement process
		Annex 2 to 16	New annexes added expanding the scope of the CSM to cover all parts of CASA with annexes aligning with individual authorisation holder types or groups of authorisation holders
1.0	July 2012	All	First issue

1 Introduction

The CASA Surveillance Manual (CSM) sets out the processes to be followed when conducting surveillance on civil aviation authorisation holders (AH). It also sets out the processes to be followed when conducting surveillance on persons or organisations who are not AH, namely:

Non-air operator's certificate (non-AOC) holders for surveillance of shippers of dangerous goods – see [Annex 9](#) and Recreational aviation administration organisations (RAAO) – see [Annex 14](#).

In this respect, and for the purposes of this manual only, a reference in this manual to an AH will include the above persons or organisations who are not AH's.

The CSM is applicable to all aspects of surveillance conducted by CASA. As the CSM is updated regularly, the electronic version published on the CASA website should always be the sole reference point. The website will also contain any relevant Temporary Management Instructions (TMI) and Surveillance Information Circulars (SIC) that may be current at the time. TMI and SIC must be read in conjunction with the published CSM.

This manual reflects surveillance management concepts and processes that allow for the prioritisation of surveillance activities on the basis of potential risk and also to determine what areas of a system should be addressed in a surveillance event. This manual also provides the processes required for the conduct of surveillance activities prioritised in accordance with the National Oversight Plan (NOP) known as planned surveillance.

Sky Sentinel and EAP, the approved IT surveillance management tools, embodies these concepts and allows CASA to apply a holistic system and risk management approach to planning, conducting, analysing, monitoring and reporting surveillance across the Australian aviation industry.

Occasionally, the word **must** is used in this manual when the action is deemed to be critical. CASA does not intend for the use of such language to add to, interpret, or relieve a duty imposed by the civil aviation legislation.

When a surveillance manager (SM) or inspector needs to make a decision that is inconsistent with the procedures contained within this manual, the decision will be raised for approval by the National Manager Surveillance (NMS).

1.1 Manual purpose

The CSM contains the processes and instructions necessary for CASA staff conducting surveillance of the aviation industry when carrying out the authority's regulatory responsibilities.

When a SM or inspector needs to make a decision that is inconsistent with the procedures contained within this manual the decision will be raised for approval by the NMS and a comment placed in sky sentinel.

The manual is structured in the following way:

1. Chapter 1 – Introduction
2. Chapter 2 – CASA's approach to surveillance
3. Chapter 3 – Methodology

4. Chapter 4 – Surveillance
5. Chapter 5 – Information capture and access.

The manual is a resource to be referred to by staff at all levels, as required. For elaboration on any of the matters contained in the manual, please contact the manager surveillance services via email at surveillance@casa.gov.au.

1.2 Manual objectives

The objectives of this manual are to provide:

- an understanding of CASA's surveillance of the aviation industry
- an understanding of CASA's systems and risk-based surveillance approach
- a description of the roles and responsibilities of CASA staff in conducting surveillance
- guidance and procedures for the surveillance model based on the six surveillance phases:
 1. AH assessment
 2. surveillance planning
 3. surveillance event preparation
 4. conduct surveillance event
 5. surveillance event reporting
 6. update system information.

1.3 Target audience

The target audience for the CSM is CASA staff involved in surveillance activities.

1.4 Document control

1.4.1 Manual sponsorship

The Executive Manager Regulatory Oversight Division (EMROD) is the sponsor of the CASA surveillance framework that incorporates the CSM and CASA's IT surveillance management tool, sky sentinel. The owner of the manual is the NMS. The surveillance services manager is responsible for ensuring the manual is accessible and up to date. For this reason, manuals should not be retained or relied upon as a printed version. An electronic version is maintained on CASA's website.

1.4.2 Manual amendment

The surveillance services team is responsible for the management and continuous improvement of the CASA surveillance framework. Suggestions for amendments should initially be discussed within work groups/teams and with controlling office surveillance management. Formalised requests for amendment should be submitted by the SM to the surveillance services team via the amend existing form/manual/policy/TMI form on the service desk portal, or submitted via e-mail to surveillance@casa.gov.au using CASA surveillance framework amendment submission [Form 1305](#).

Suggested amendments are reviewed by the surveillance services team, and then presented to the surveillance managers who, following consultation with the wider surveillance branch team members, will either accept or reject the amendment. The NMS will authorise the final publication and the outcome communicated to the submitting business area. If a proposed amendment is rejected, the reason for the rejection is provided to the representative.

1.4.3 Annexes

[Annex 1](#) - surveillance standard and protocols remain an integral part of the CASA surveillance manual (CSM). As any updates and changes to [Annex 1](#) directly affect the CSM, these are to be managed by the surveillance services team.

All other annexes, from Annex 2 to 21, are separate documents for the purposes of updating and including changes. However, the processes, systems and elements, as well as the currency guide in each annex remain part of the CSM and are actionable hereunder.

1.4.4 Temporary Management Instructions (TMI)

The purpose of Temporary Management Instructions (TMI) is to provide clarification or guidance to CASA Officers on operational policies and procedures including Inspectors and Surveillance Services staff.

TMI may be of an operational or a technical nature such as the application of a regulation or a change to a CASA exemption.

As a TMI may have the potential to affect the conduct and outcome of surveillance activities, they must be read in conjunction with the published CSM.

TMI are published in the document catalogue.

TMI are approved by the relevant branch manager.

1.4.5 Surveillance Information Circular (SIC)

The purpose of surveillance information circulars (SIC) is to provide guidance and direction to surveillance staff of any changes to surveillance specific policies and procedures, which may affect the conduct of surveillance activities.

SIC also function as temporary amendments to the CSM that are issued out of the amendment cycle. Therefore, SIC must be read in conjunction with the published CSM.

SIC are published under the surveillance section in Horace.

SIC are approved by the manager surveillance services.

SIC are administered by the surveillance services team.

2 CASA's approach to surveillance

2.1 Overview

2.1.1 Purpose

This chapter describes the overarching principles for surveillance management within CASA. The chapter details CASA's:

- surveillance obligations
- surveillance policy
- surveillance objectives
- surveillance program
- systems and risk-based approach to surveillance
- surveillance scheduling.

2.2 CASA's surveillance obligations

2.2.1 The *Civil Aviation Act 1988* requirements

CASA's key role is to conduct the safety regulation of civil air operations in Australian territory and the operation of Australian aircraft outside Australian territory. CASA is also responsible for ensuring that Australian-administered airspace is administered and used safely. The requirement for CASA to perform these roles is contained in the *Civil Aviation Act 1988* (the Act) and the Airspace Act 2007.

The main objective of the Act is to establish a regulatory framework for maintaining, enhancing, and promoting the safety of civil aviation with particular emphasis on preventing aviation accidents and incidents. The Act provides overarching and high-level obligations regarding CASA's safety and safety-related functions.

2.2.2 CASA's functions

CASA's functions are set out in section 9 of the Act. With respect to aviation industry surveillance, the Act relevantly states:

Section 9:

- (1) CASA has the function of conducting the safety regulation of the following, in accordance with this Act and the regulations:

by means that include the following:

- (f) conducting comprehensive aviation industry surveillance, including assessment of safety-related decisions taken by industry management at all levels for their impact on aviation safety.

CASA encourages the aviation industry to adopt standards higher than the minimum required by regulations.

2.3 CASA surveillance policy

The policy applies to all CASA staff engaged in, conducting, or managing surveillance activities relating to the aviation industry. Section 3 of the Civil Aviation Act 1988 defines civil aviation authorisation as meaning an authorisation under this Act or the regulations to undertake a particular activity (whether the authorisation is called an AOC, permission, authority, licence, certificate, rating or endorsement, or is known by some other name). The term AH draws reference from the meaning of civil aviation authorisation and incorporates all air operators with an authorisation under the Act (including national or foreign operators, authorised dangerous goods cargo carriers, or non-authorised dangerous goods cargo carriers).

Note: ICAO requires surveillance for the oversight of entities, other than AOC holders, who are involved in the transport of dangerous goods by air. This is captured within CASA as surveillance of non-AOC Holders (e.g., shippers of dangerous goods) under Annex 9 of the CSM).

Surveillance assesses the safety performance of the AH, as well as their ability and willingness to comply with all applicable legislative obligations.

Surveillance may be scheduled in accordance with the National Oversight Plan (NOP), or unscheduled, opportunity based, random, or targeted across all facets of the aviation industry.

The primary objective of conducting surveillance is to determine whether an AH is fulfilling their obligations under the Civil Aviation Act (1988) and Regulations.

CASA has adopted a systems and risk-based surveillance approach, using a sampling process, to assess the risk mitigation and compliance levels of AH's.

The NOP provides a risk-based approach to determine, prioritise and schedule surveillance activities.

All surveillance findings must be appropriate and proportionate to the circumstances and in accordance with the principles of procedural fairness and natural justice. Deficiencies should be provided to AH's through formal documentation.

The surveillance processes used for assessing an AH's safety performance will depend on, among other things, the nature of the AH's authorised activity and operational environment.

CASA should ensure that all surveillance processes (including associated question worksheets and forms) are not only appropriately documented and published, but that, when deployed, they are also conducted in accordance with these documented procedures.

The conduct of surveillance activities includes the acquisition of safety-related data, which may be used to support CASA's other safety-related functions as identified in the Act.

To maintain a meaningful surveillance history of an AH, data should be recorded and retained in a manner consistent with CASA's broader policies and legal obligations.

Surveillance should be conducted by appropriately qualified, trained and experienced CASA staff, authorised to carry out the task being performed.

CASA is guided by the following standards to support the surveillance program and its commitment to risk management, quality and compliance:

- ICAO Manual of Procedures for Operations Inspection, Certification and Continued Surveillance (Doc 8335, AN/879)
- ICAO Safety Oversight Manual (Doc 9734)
- ISO 31000:2018 Risk Management
- AS/ISO 19600:2015 Compliance Quality management systems.

2.4 CASA's approach to surveillance

The following diagram provides an overview of CASA's approach to surveillance.

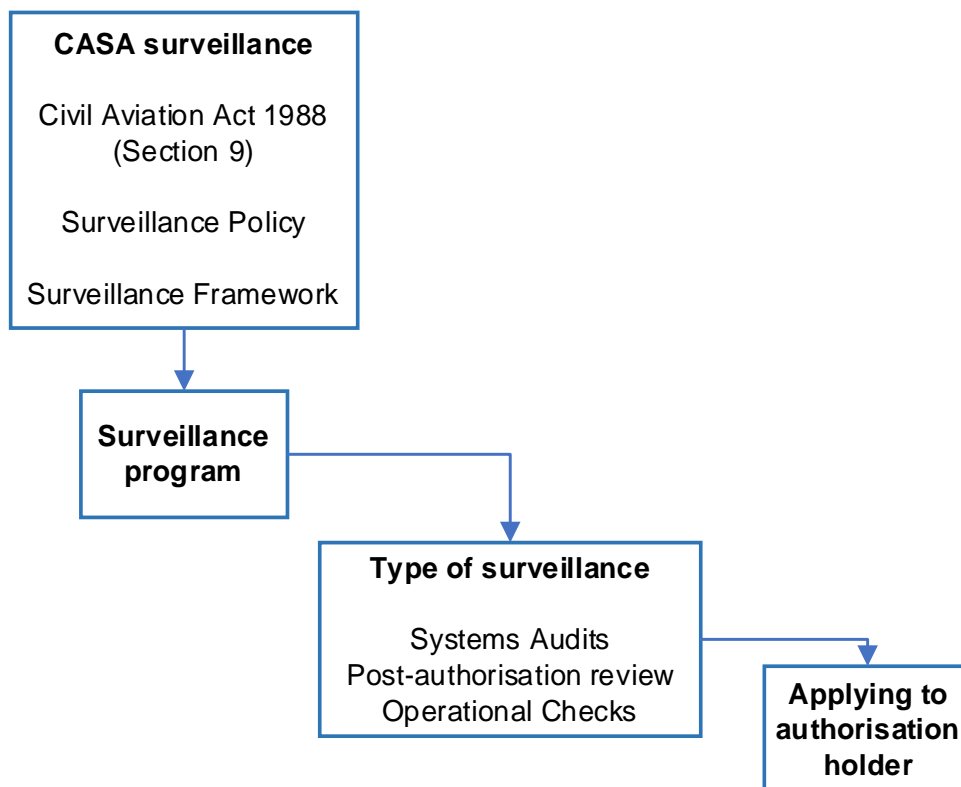


Figure 1: CASA's surveillance approach

2.5 CASA's regulatory philosophy

CASA's regulatory philosophy sets out the principles that guide and direct CASA's approach to the performance of its regulatory functions and the exercise of its regulatory powers. CASA's approach to surveillance reflects these guiding principles and extends across all aspects of CASA's engagement with the wider aviation community in conducting surveillance processes. CASA's regulatory philosophy can be found on the CASA website.

2.5.1 Key considerations for regulatory decision making

In accordance with the CASA regulatory philosophy, all CASA staff (dependent on their delegated powers) will ensure that their actions and responses are appropriate and proportionate to the circumstances and are in accordance with the principles of procedural

fairness and natural justice. (Specific processes where these key considerations must be applied are detailed in the relevant processes in Chapter 4.)

2.5.2 Use of discretion

In determining whether and how to exercise its regulatory discretion in a particular matter, CASA will have regard to the principles set out in the CASA regulatory philosophy.

2.5.3 Authorisation holder engagement

Throughout the conduct of any surveillance event, the inspector must fully engage with the AH. At all times the inspector must comply with CASA [employment conditions](#).

The inspector must engage in open dialogue with the AH when any safety issues are identified, e.g. deficiencies, potential instances of non-compliance or deviation from expected performance. Positive language should be used at all times with any observed deficiencies or potential breaches referred to in terms of potential findings.

It must be made clear to the AH that any safety issue raised during the event could foreshadow a potential surveillance finding. Exactly when, and with whom, any safety issues should be raised will depend on a variety of circumstances and is left to the inspector's discretion, drawing on their experience with, and knowledge of, the AH.

Any disagreement between the inspector and the AH during the conduct of the event must be recorded for eventual capture in the surveillance report and the relevant finding and saved in RMS. If the AH indicates disagreement with any matter raised by the inspector, the inspector must emphasise (either immediately or at the exit meeting) that, in line with procedural fairness principles, the AH has the right to object by submitting supporting evidence if a finding is subsequently issued.

2.6 National Oversight Plan

The National Oversight Plan (NOP) is a comprehensive strategy designed to address the critical elements identified by the International Civil Aviation Organization (ICAO) and meet the requirements outlined in the Civil Aviation Act. The NOP consists of six elements covering Approval, Change Management, Compliance Assurance, Reporting, Regulatory Improvement and Enforcement.

The plan provides a systematic and evolving oversight picture for authorisation holders, ensuring a consistent and effective approach to aviation safety and regulatory compliance.

2.6.1 National Oversight Plan objectives

The primary objective of the NOP is to enhance the oversight capabilities of the regulatory authority, focusing on the critical elements identified by ICAO. Authorisation holders benefit from improved safety oversight, consistent processes, and a proactive approach to addressing compliance issues. The plan fosters trust and confidence among authorisation holders, passengers, and stakeholders, while ensuring the highest standards of aviation safety.

2.6.2 National Oversight Plan key features

- **Set scope surveillance:** The NOP sets a clear scope for surveillance of authorisation holders, ensuring that all relevant areas of oversight are systematically covered with a system and risk-based approach. This approach facilitates a comprehensive understanding of an authorisation holder's activities, infrastructure, and safety practices.
- **Defined and consistent processes:** The NOP establishes well-defined processes and practices for conducting oversight activities. This consistency enables a fair and equitable approach to regulatory compliance and eliminates any ambiguity or subjective interpretation.
- **Evolving oversight picture:** The NOP recognises that oversight is an ongoing process and builds a complete oversight picture over time through regular contact points with authorisation holders, including through surveillance and regulatory services. This approach allows for a comprehensive understanding of an authorisation holder's safety performance and enables CASA to identify trends, areas for improvement, and emerging risks.
- **Enhanced safety:** By focusing on ICAO critical elements and establishing consistent oversight practices, the plan contributes to improved aviation safety. and helps identify and address potential safety risks, ensuring compliance with established regulations and industry best practices.
- **Regulatory compliance:** The NOP provides a systematic framework for monitoring and enforcing compliance with the Regulations. It enables CASA to identify non-compliance issues promptly and take appropriate actions to ensure adherence to safety regulations.
- **Stakeholder confidence:** With a robust oversight plan in place, authorisation holders, passengers, and other stakeholders can have increased confidence in the aviation industry. The plan's consistent and transparent approach fosters trust and demonstrates the commitment to safety and regulatory compliance.

2.7 Systems and risk-based approach to surveillance

CASA's systems and risk-based surveillance approach aims to encourage the development of AH's systems and to encourage and guide the aviation industry to fully understand their responsibility for safety. This is achieved by highlighting the following to industry management:

management's responsibility for safety as specified in the civil aviation legislation
deficiencies in existing safety systems with regard to applicable civil aviation legislation
areas where the AH should be doing more to reduce the potential for deficiencies.

Risk-based surveillance adopts a structured process and is used by CASA in its oversight of AH's and prioritisation of its surveillance activities based on AH's risk profiles. It focuses on an AH's effectiveness in managing its systems risks and enables targeted surveillance of high risk- areas of an AH's systems. It is also a method by which CASA can evaluate that all activities conducted by an AH are as safe as reasonably practicable.

CASA must not dictate how an AH should resolve or reduce the potential for deficiencies. The AH must be responsible for identifying the cause of the system deficiency and areas of inadequate safety risk mitigation (identified during surveillance), as well as implementing the necessary changes. The AH should internally verify changes implemented, and CASA should verify the effectiveness of these changes during future surveillance. CASA may aid an AH by providing guidance on conducting a root cause analysis and highlighting the appropriate guidance material with necessary explanation.

2.8 Surveillance scheduling

CASA's surveillance program scheduling (planned surveillance) is driven by the risk to safety posed by AH's and is based on an assessment of a number of factors. These factors include the assessment of an AH's safety performance, taking into account assessment factors indicated by a general assessment of the authorisation holder's outstanding safety findings and findings history, time since the last surveillance event, and safety-related risks specific to each AH. Based on this consolidated information, CASA has the ability to prioritise surveillance activities commensurate with resources available.

External intelligence gathered by or provided to CASA may contribute to prioritising or determining a requirement for additional surveillance.

CASA's IT surveillance management tool supports the analysis of the output of these activities to inform the subsequent surveillance schedule.

Planned surveillance is conducted using a classification and ranking approach; a prioritised list of AH's is created and used as the basis for the annual development of a CASA-wide planned surveillance schedule, which is optimised in collaboration with business areas.

Response activities are those conducted in direct response to outside events, and which are not planned surveillance events, regulatory services or national sector campaigns. These may be surveillance events based on response to incidents, accidents or emerging risks in relation to a specific AH.

Regulatory services are the assessment and/or review relating to an approval, variation, exemption or instrument. These are considered separate to a surveillance activity as they are initiated by the AH and may involve cost recovery or the payment of fees. Although not considered surveillance, the conduct of a regulatory service provides CASA with information and insight into an AH and will form a part of the broader oversight for consideration when planning surveillance.

3 Methodology

3.1 Overview

3.1.1 Purpose

The purpose of this chapter is to describe CASA's approach to surveillance of aviation AH's throughout Australia's aviation industry. This chapter describes CASA's surveillance methodology, including:

- surveillance framework overview
- management framework overview
- types of surveillance
- AH assessment
- systems risks.

3.2 Surveillance phases

The surveillance phases set a standardised method of effectively applying data-driven, risk based- principles to the conduct of surveillance. Surveillance is a continuous process, looping from AH assessment through to the finalisation of a surveillance event and management of findings. The surveillance phases are briefly described in the following section and illustrated in the diagram below.

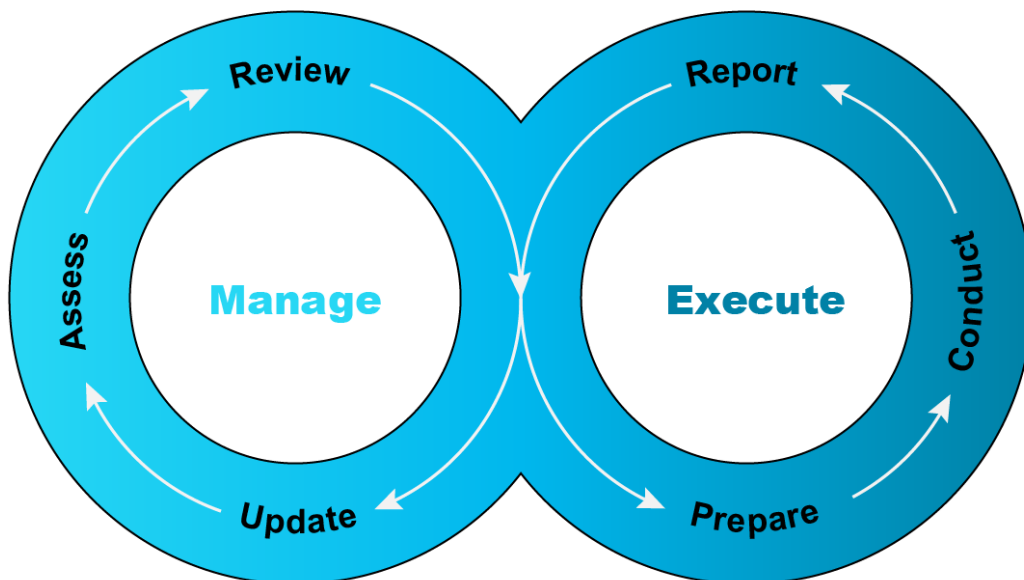


Figure 2: Surveillance cycle

3.2.1 Authorisation holder assessment (assess)

The purpose of this process is for surveillance teams to assess all available information relating to an AH's activities when considering planning for scheduled surveillance and unplanned surveillance. This assessment allows for the identification of areas of concern and the development of a surveillance event scope.

3.2.2 Surveillance review meetings (review)

This is the forum for reviewing planned, campaign and response surveillance activities, resourcing requirements, and ensuring appropriate management of Findings. Outputs from this process step is the update of surveillance plans. This is achieved through Surveillance Review Meetings (SRMs) held monthly and through weekly or monthly Surveillance Team Planning Meetings (STPMs).

For more information, see section on – Surveillance planning.

3.2.3 Surveillance event preparation (prepare)

The purpose of this process is to develop the strategies, schedules, and work plans for surveillance events, including resources, timetable etc. The output of this process is a detailed surveillance plan that outlines the approved scope and ensures the assignment of appropriate resources to a surveillance event.

For more information, see section on – Surveillance event preparation.

3.2.4 Conduct surveillance event (conduct)

The purpose of this process is to conduct the appropriate level of surveillance. The outcome of this process is the completion of an approved surveillance event, including collecting, collating and evaluating all relevant information.

For more information, see section on – Conduct surveillance event.

3.2.5 Surveillance event reporting (report)

The purpose of this process is to compile a report based on objective evidence gathered during the surveillance event. This includes deficiencies identified regarding compliance and/or safety performance. The outputs of this process are surveillance findings (safety alerts, safety findings, ASRs and safety observations), raised as applicable, and the surveillance report, which forms part of the official record of an AH's performance. Based on the report, CASA will determine any necessary interventions.

For more information, see section on – Surveillance event reporting.

3.2.6 Update system information (update)

The purpose of this process is to collect and validate a wide variety of information to inform the AH assessment phase. The output from this process step is an information package to enable analysis. This process also includes the management of surveillance findings, including the acquittal of safety findings, ASRs and safety alerts and responses to safety observations etc.

The surveillance system is updated to include the results of any surveillance event, and there is also a wide variety of information that may be entered, such as third-party intelligence etc. The general comment field is used in most instances under AH or within the surveillance event whilst the event is occurring to make brief notes.

For more information, see section on – Response to findings - update system information.

3.3 Applied surveillance methodology

3.3.1 Types of surveillance

3.3.1.1 Level 1 – surveillance event

This level of surveillance is a structured, forward-planned, larger-type surveillance event and covers:

- systems audits
- remote surveillance
- post-authorisation reviews (PAR).

Systems audits

A systems audit is surveillance based on a defined scope developed by the surveillance team to consider the specific activities conducted by an AH, ensuring their compliance with regulations and the AH's systems which are associated with the activities surveilled and should include available industry intelligence. The mandatory Surveillance Planning and Scoping Development [Form 1189](#) must be used to capture how the scope was developed and this is then saved in RMS.

While this type of surveillance event will, in many cases, be conducted by a multi-disciplinary team over multiple days, this may not always be the case as some surveillance events may be conducted by individual Inspectors.

Remote surveillance

A remote surveillance event uses a multimedia approach to validate AH compliance without physically attending onsite. Unlike a desktop review, it may involve a combination of a manual review, key personnel interview and/or site and facilities inspection using digital solutions. The surveillance team should liaise with the authorisation holder for the documentation required for the remote surveillance. A remote surveillance event can also be conducted during situations such as pandemic related lockdowns where site access is not an option.

There may be circumstances where the surveillance team cannot be satisfied that an element has been appropriately sampled whilst conducting the surveillance event, and this should be annotated in the surveillance report. If after review by the surveillance team, it is determined that an onsite activity is required, the SM should be consulted, and consideration given to raising a separate surveillance event such as a level 2 – Operational check - site inspection. Additional information can be found in [Annex 1](#).

Post-authorisation reviews

Once an initial authorisation has been issued, a Post-Authorisation Review (PAR) must be conducted to ensure entry control standards are being maintained. Depending on the type of authorisation issued, a PAR must be conducted within twelve (12) to eighteen (18) months following the initial issue. The scope of this type of surveillance must be based on the authorisation issued. These are scheduled through the NOP.

3.3.1.2 Level 2 – Surveillance event

This type of surveillance event relates to less formal interactions with AH's and may be in the form of product check of a specific section of its systems. The operational check frequently is used to verify the process in practice of the system being assessed. They are significantly shorter in duration, are generally compliance assessments and are usually, but not always, scheduled through the normal surveillance planning and approval process based on areas of concern identified by a surveillance team. The mandatory Surveillance Planning and Scoping Development [Form 1189](#) must be used to capture how the scope was developed and this is then saved in RMS.

National sector campaign surveillance

National sector campaigns are coordinated surveillance activities focusing on multiple AH's within an identified sector of the industry over a defined period of time. These are conducted using a fixed scope to focus on a particular issue.

Level 2 surveillance events include the following surveillance types:

- Campaign Events – used for national sector surveillance campaign events only
- Operational Check - Ramp check – inspection of an aircraft, including documentation, equipment and procedures associated with that operation
- Operational Check - Site inspection – an event comprised primarily of an onsite inspection of an AH's facilities, equipment, processes in practice or any other purpose other than those covered by other operational check event type
- Operational Check - En-route check – an event comprised primarily of in-aircraft observation of an AH's processes and procedures, or the surveillance component associated with an in-aircraft regulatory service task. This event type can also be used for simulators
- Operational Check - Manual review – an event comprised primarily of a review of an operational manual or suite of manuals. This event type will generally be a desktop review, but can include an on-site component if relevant
- Key personnel interview – an event comprised primarily of an onsite or offsite interview or meeting with an AH's nominated key personnel for any purpose other than to assess them for the key organisational role
- Operational Check - Desktop review – a desktop assessment of operational documents, intelligence and/or other surveillance related information CASA may have received, other than a manual review. As the name suggests this event type is conducted without an onsite component. Accordingly, the event should be scoped in order to enable review of elements that can be assessed/sampled without the surveillance team going onsite. There may be circumstances where, after review of the documentation provided, the surveillance team cannot be satisfied that an element has been appropriately sampled for the surveillance event. Under these circumstances, if

the element has been scoped but has been unable to be adequately sampled during the event, it should be annotated in the surveillance report. If after reviewing documentation it is determined that an onsite activity is required, the SM should be consulted, and consideration given to raising a separate surveillance event such as a level 2 – site inspection. Additional information can be found in [Annex 1](#).

- Operational Check - Safety meeting – an event comprised primarily of an onsite or offsite meeting, with an AH's safety staff for any purpose other than to investigate an incident or occurrence.

Unscheduled

- ATSB occurrence – desktop review – an event created as by CNS/ATM staff as a result of a report received via the ATSB occurrence management process, involving investigation, education or verification of safety management of an AH or private aircraft operator
- CIRRIIS notification – desktop review – an event created by CNS/ATM staff as a result of a report received via the CIRRIIS occurrence management process, involving assessment, education or verification of safety management of an AH.
- request from executive – an event conducted as a result of a direction from a CASA executive. This event will be of a limited scope or as directed by the executive.

Response team use only

- unscheduled - occurrence - desktop – an event comprised of a desktop review of any occurrence or intelligence related to an occurrence not captured in the ATSB/CIRRIIS occurrence management process
- unscheduled - occurrence - site visit – An event comprised of an on-site review of any occurrence or intelligence related to an occurrence not captured in the ATSB/CIRRIIS occurrence management process

Further information refer to [Annex 1](#) section on occurrence management

3.3.2 National sector campaigns - campaign surveillance

National Sector Campaigns are coordinated surveillance activities focusing on multiple AHs within an identified sector of the industry over a defined time period. These are conducted to focus on an emerging risk or a particular issue in a specific sector.

These are typically initiated by the National Manager Surveillance (NMS) who will generate a Terms of Reference (TOR) document for the SM, outlining the following details:

- sector to be surveilled
- fixed surveillance scope
- timeline.

Note: National sector campaigns must use the event type; “Level 2 – Campaign Events” . The event types of ‘Level 2 – Unscheduled - Occurrence - Desktop – Response Use Only’ and ‘Level 2 – Unscheduled - Occurrence – Site – Response use only’, must not be used.

NMS will introduce the TOR document at the next ROD Surveillance Manager’s surveillance review meeting for discussion and actioning which should include:

- appointment of a suitable SM to manage the campaign surveillance program
- review of the timeline to determine the feasibility of accomplishing the requirements in the TOR
- preliminary discussion on resource requirements
- impact on the planned surveillance schedule.

The appointed SM will plan the surveillance activities in the same way that all surveillance events are planned.. In sky sentinel on the event page must have details in the comments with square brackets i.e.

[CAMPAIGN: Year and the WHAT].

3.3.3 System risk structure

3.3.3.1 Systems and elements

Systems-based surveillance puts the focus on the system by:

- understanding all of the elements of the system
- focusing on how the elements integrate
- determining whether the system is complete or missing key components
- determining how well the AH is managing its safety-related risks
- determining whether the system achieves all compliance requirements
- determining how the system and its elements interact with other systems.

The aim of a common set of system and element descriptions is to build up the surveillance picture over time on the same authorisation type, and then to compare the data on an individual AH against all other AH's within that sector. Data can then be compared across all authorisation types to identify specific systems and elements that may be breaking down and the possible causes (see the relevant technical annex).

Taking into consideration the size and complexity of an individual AH's operation, all systems and elements must be assessed in a timely manner. As not all system risks are applicable to all AH's, the surveillance team and an inspector's judgement should be used in identifying the most appropriate system risks for which the effectiveness of an AH's control is to be assessed using the Surveillance Planning and Scoping Development [Form 1189](#) to inform this decision.

3.3.4 Risk systems attributes – Management System Model (MSM)

Systems attributes are the four related areas of the MSM by which an AH's systems risks can be assessed.

The following figure shows the external environment influences, including legislation, the company board (or other factors influencing management), and interactions with the public and customer requirements. The four systems attributes operate within the organisation to provide effective control.

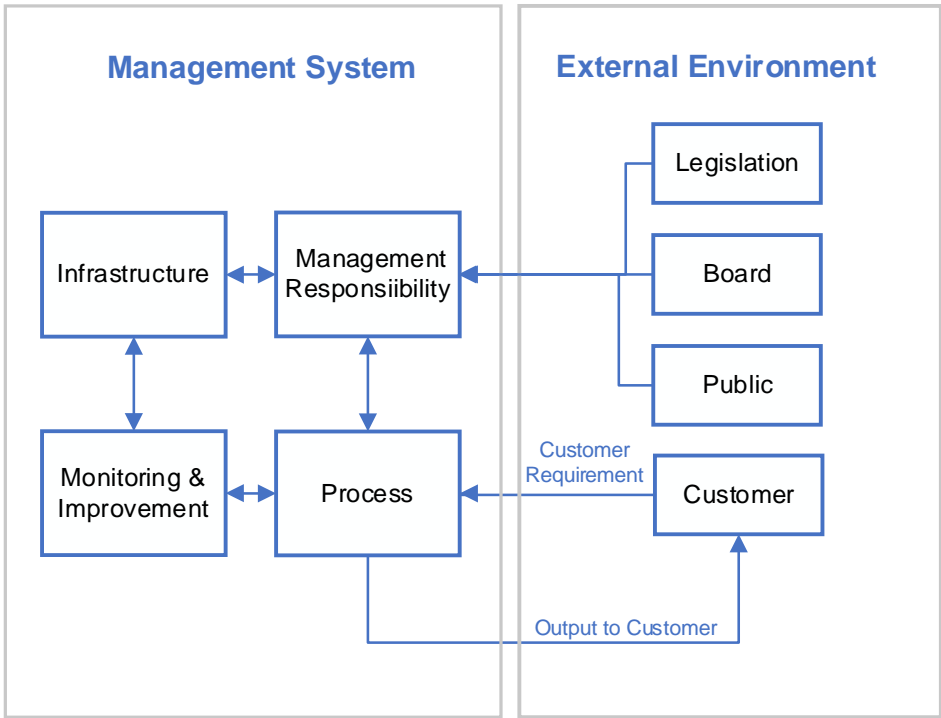


Figure 3: System attributes

The MSM systems attributes are broken down into 12 components to assist in assessment. Some components are further broken down into sub-components to facilitate a more detailed evaluation.

3.3.4.1 Systems attributes

The following table shows the systems attributes and the components/sub-components.

Table 1: System attributes – components/sub-components

System attributes	Components	Sub-components
Management	Management commitment	Policy
		Responsibility and authority
		Nominated management representative
	Planning	Objectives and safety / quality planning
		Internal communication and consultation
		Hazard identification and Risk management
	Management review	N/A
Infrastructure	Facilities	N/A
	Tools, equipment and materials	N/A
	Data, information, and records	N/A
	Personnel	N/A

System attributes	Components	Sub-components
Process in practice	Process in practice	N/A
Monitoring and improvement	Internal audit	N/A
	Internal reporting	N/A
	Investigation	N/A
	Remedial and Corrective action	Remedial Action

The following sections detail the individual systems attributes.

3.3.4.2 Management attributes

Management attributes ensure accountabilities, responsibilities and authority are defined for the processes and that management has ensured the processes (those for organisational functioning and those for monitoring and improving these) are adequately designed and implemented. Management responsibility consists of:

- management accountability
- management commitment
- planning
- management review.

Management commitment

policy: senior management should develop and communicate policy and ensure its dissemination to all levels of the organisation. Safety/quality policy should:

- include a clear declaration of commitment to safety/quality
- ensure compliance with legislation
- ensure adequate knowledge, skills and safety awareness at all levels of the organisation.

accountability and responsibility: management should ensure that accountabilities¹ and responsibilities² of personnel are appropriately defined and communicated within the organisation through:

- a clearly defined organisational chart
- clear documentation
- effective monitoring tools
- a clear climate to effectively discharge responsibilities and authority.

nominated management representative: management representative(s) should be appointed and given the accountability and responsibility (subject to CASA's approval where required by legislation).

¹ Accountable: A person is accountable to someone, like CASA; means this person is accountable for the effective performance of the process and/or the quality/safety outcomes of the process.

² Responsibility: A person is responsible for something; means this person has the legitimate power to establish a process and/or modify the process.

Planning

Effective planning should support the management commitment through designing and implementing business processes that meet assigned objectives established for the various functions and levels within the organisation. Processes should include:

- hazard identification and risk management
- change management.

Management review

Periodic review process for evaluating the effectiveness of the monitoring and improvement system.

3.3.4.3 Infrastructure

Infrastructure must be in place, including the various controls, to continuously ensure the updating and suitability in supporting the operation. Infrastructure includes four components:

facilities: all buildings and workshop facilities required for the satisfactory performance of activities authorised

tools, equipment and materials: all tools, hardware, software, materials and equipment to perform authorised activities

data, information and records: documented policies and procedures, manufacturer's data etc., either in written or pictorial form in hard copy or an electronic system. Records provide evidence of performance and/or completion of tasks. Organisational policy and procedures should be established for effective control of data, information and records.

personnel: personnel who are qualified, trained and competent to perform the processes in support of authorised activities.

3.3.4.4 Process in practice

Process in practice assesses:

- compliance
- the effectiveness of policies and procedures in supporting the processes
- the level of implementation of the policies and procedures
- the adequacy of infrastructure and its effective use in supporting the processes
- the clear identification and workings of the interrelationships and interdependencies between various processes.

To function effectively, an organisation has to identify and manage numerous linked processes:

interdependent processes: often outputs from one process form the input to the next process

process interfaces: there may be interactions between the AH's processes and those provided by external providers. The external providers might be under the same management, or externally contracted by the organisation.

CASA's surveillance methods view these processes to assess the effectiveness and the interdependencies and interactions between them. Its aim is to assess how well resources are used and managed to bring about safety/quality outcomes.

When evaluating a process, inspectors will assess the following:

- how well is the process set up?
- is the infrastructure for the process adequate?
- how well does the infrastructure support the process used?
- competence of staff involved in the process.
- how effectively do the procedures used for a particular process translate into compliance and system effectiveness?
- how well do staff understand the procedures used in the process?
- how well do they comply with the procedures?
- do staff resort to informal practices to complete the task?
- where there are interdependent processes, how well does one support the other and contribute to safe quality outcomes?
- where there are process interfaces, how well does the AH identify and manage them?

3.3.4.5 Monitoring and improvement

This attribute is at the centre of a safety/quality system. It focuses on finding problems within the system through:

- internal surveillance
- system feedback, including latent conditions through internal reporting
- finding causal factors through investigation
- taking action to remedy the problems, eradicate the causes, and remove the potential for reoccurrence through remedial and corrective actions.

As a result of reviewing and testing a number of processes, an overall assessment of the monitoring and improvement systems can be made.

Monitoring and improvement include four components:

internal audit: must be supported by senior management commitment in terms of an audit policy

internal reporting: must be supported by management policy and should aim to create a supportive atmosphere to encourage reporting of incidents, errors, defects and serve as a means of identifying process and system deficiencies.

investigations: includes internal systems used to investigate and arrive at root causes of problems

remedial and corrective action:

Remedial action: immediate action taken in response to a finding to address the deficiency that caused the breach, and which will return performance to a compliant state

Corrective action: action by an AH in response to a breach that reduces the potential of recurrence. The action must address the root cause of the deficiency that caused the breach and must include a review to ensure the action is effective.

3.3.5 Verifying processes using MSM

It is important to consider the following when verifying a process (list is not exhaustive):

- do the AH's processes help achieve compliance with relevant legislation?
- are the AH's processes sufficient to address known safety risks?

- are the procedures describing and supporting the process adequate for the performance of the process and to achieve the safety outcomes?
- are the procedures being complied with? If not, why not?
- have the interdependencies and interactions with other processes been identified and are they working effectively across all systems?
- is the available infrastructure adequate and how does it support the process?
- how does the AH monitor the performance of the process and make improvements?
- has the organisation assigned a responsible and competent person to ensure the process remains adequate and current?
- is there a competent person with the appropriate authority to change the process?
- are the people involved competent and adequately trained?
- have the materials provided for the process come from an appropriately controlled source?
- does the process achieve the intended outcome(s)?

When a deficiency is found, additional questions should be asked to assist in determining the causal factors.

3.3.6 Using the MSM

The MSM is derived from ISO9001 Quality Management System principles and is CASA's tool for understanding a system and what makes the system safe. The MSM describes what must be present in any system for that system to be safe and effective.

The MSM is used during the surveillance process in the following ways:

- preparing for surveillance
- questioning while on site
- assessing systems risk
- when acquitting a safety finding by considering whether the AH's response addresses the root cause.

Preparing for surveillance: The MSM is first used during the surveillance preparation phase. This involves reviewing the AH's documentation in light of the MSM. In reviewing the systems that the AH must have in place, the systems are considered in light of the four attributes of effective systems. These attributes drive the surveillance questions and the prompts used by the inspectors on site.

Questioning on site: While on site, when verifying an AH's processes, the surveillance questions must consider the four attributes (see section on – Systems Attributes).

Acquitting a safety finding, ASR and/or safety alert: In the acquittal process, an AH's response is assessed and accepted with the verified evidence recorded. At this stage, the relevant MSM attribute is selected in sky sentinel for data capture and reporting purposes based on the root cause analysis provided by the AH.

4 Surveillance

4.1 Overview

4.1.1 Purpose

This chapter describes CASA's systems and risk-based approach to surveillance of AH's and the methods for all surveillance event types which support the continuous performance monitoring process. The objective of this chapter is to ensure standardised, efficient and consistent monitoring of all AH's risk.

Systems and risk-based surveillance seeks to assess an AH's management system and its ability to identify and keep operational risks as low as reasonably practicable while ensuring compliance with Australian aviation legislation is maintained. Risk-based surveillance adopts a structured process and is used by CASA in its oversight of AH's and prioritisation of its surveillance activities based on AH's risk profiles. It focuses on an AH's effectiveness in managing its systems risks and enables targeted surveillance of high-risk areas of an AH's systems.

Safety-related processes are assessed to determine whether they are functioning in accordance with the AH's documented systems and any applicable civil aviation legislation.

The systems and risk-based surveillance approach focuses the AH's attention on its safety obligations, by providing a visible and understandable analysis and evaluation of the AH's systems, and the safety risks that exist in these systems, with specific emphasis on safety outcomes.

4.1.2 Surveillance process

The diagram below provides a high-level view of the surveillance process, as well as the associated chapter sections and primary responsibilities for each phase.

Note: The annual Planned Surveillance Schedule follows from Figure 4 - 4.3 onwards.

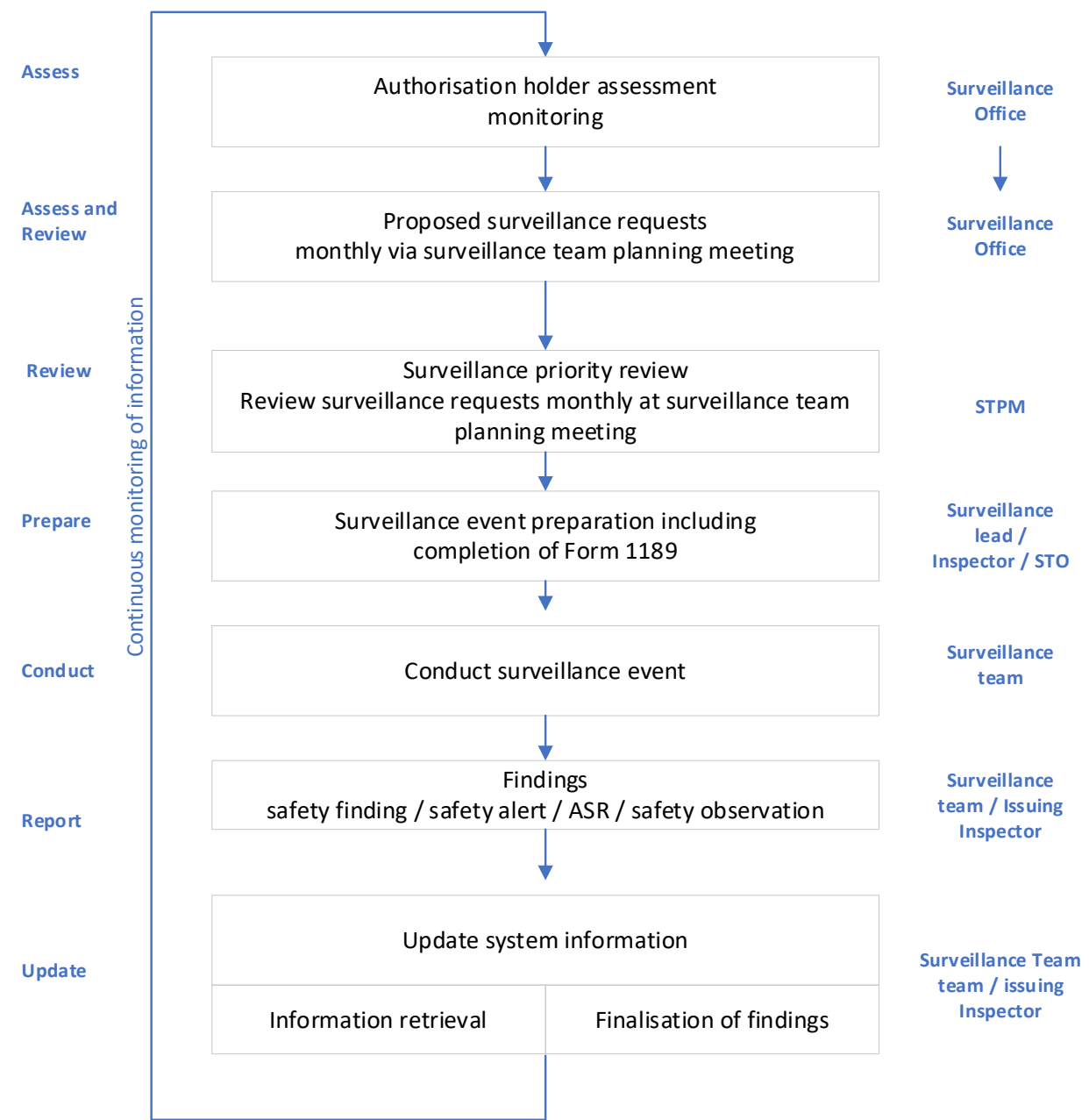


Figure 4: Surveillance process and references

4.2 Process - consider surveillance

4.2.1 Purpose

The assessment process is used in both compiling the AH list for the next financial year planned surveillance schedule or in some cases where an AH has come to the attention of a surveillance team for one of (but not limited to) the following reasons:

- unsafe behaviour/low flying report
- information provided by Inspectors conducting entry control tasks
- ATSB REPCONs
- ATSB/CIRRIIS Occurrence report
- intelligence provided by industry
- the resumption of activities after a certificate suspension.

These assessments assist surveillance teams to identify where potential areas of concern may exist in an AH's activities. Surveillance actions are then proposed to examine the areas of concern such as those listed above

The authorisation holder assessment is a surveillance team's assessment of the apparent risk to safety presented by an AH and is completed by considering the following information: (available on sky sentinel, EAP and from the authorisation holder profile Power BI reports)

- outstanding safety findings and findings history
- number of dependent permissions held
- number regulatory service interactions with CASA
- key personnel turnover
- number of operating bases
- remote operations
- size and complexity of the operation
- time since the last level 1 and level 2 surveillance event, particularly when compared to the recommended frequency specified in the NSSP Manual
- any additional surveillance intelligence about the AH and their operation.

For authorisation holders who operate across multiple locations, the surveillance team should select the most appropriate location/s to conduct surveillance based on the following factors to be determined during the scoping phase;

- The time elapsed since a location previously had surveillance conducted on it
- Whether a location has a history of regulatory breaches
- The volume of activity, or complexity of the authorised activities at a location
- Whether evidence of third party audits demonstrating compliant operations for a specific location can be provided, such as evidence of an audit conducted by CASR Part 42 organisation of a CASR Part 145 authorisation holder.

On completing the assessment process, if the team believes a response event should be carried out a recommendation for a surveillance event to be carried out should be added to the agenda for the next relevant controlling office weekly/monthly surveillance team planning meeting.

Recommendations being made to the STPM should be verified against the planned surveillance schedule to ascertain whether the subject authorisation holder appears in the upcoming planned surveillance schedule and if not, the surveillance event should be raised in sky sentinel as surveillance request.

4.2.2 Process

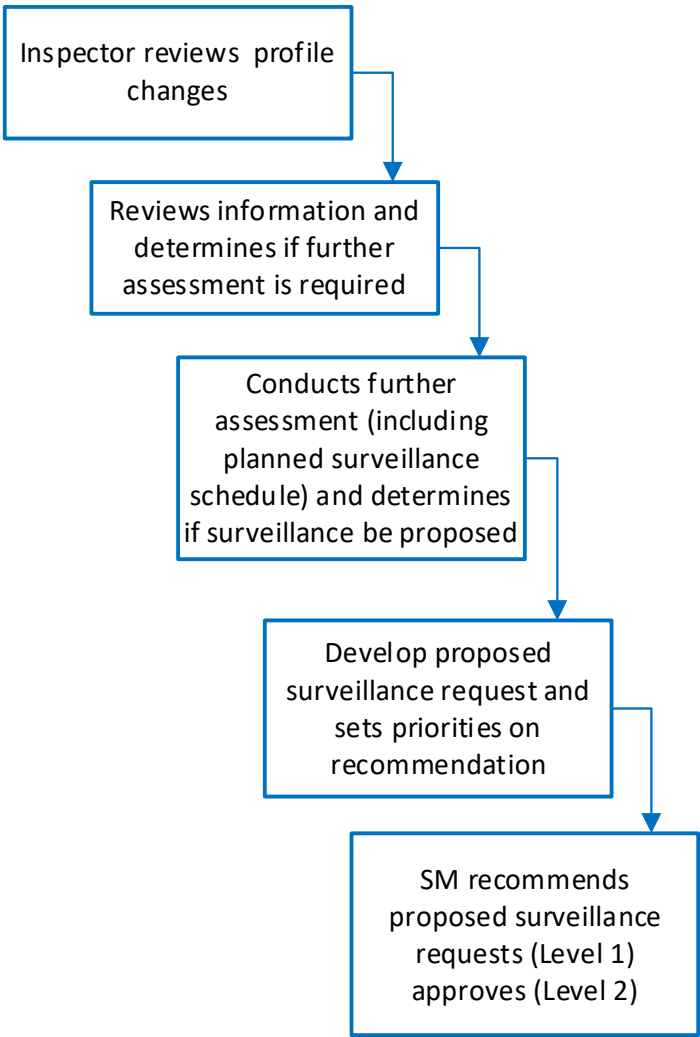


Figure 5: Surveillance team assessment of the AH for response activities

4.2.3 Conduct assessment

The key elements of the assessment phase outside of planned surveillance are set out in the following diagram and should be conducted whilst contacting the authorisation holder.

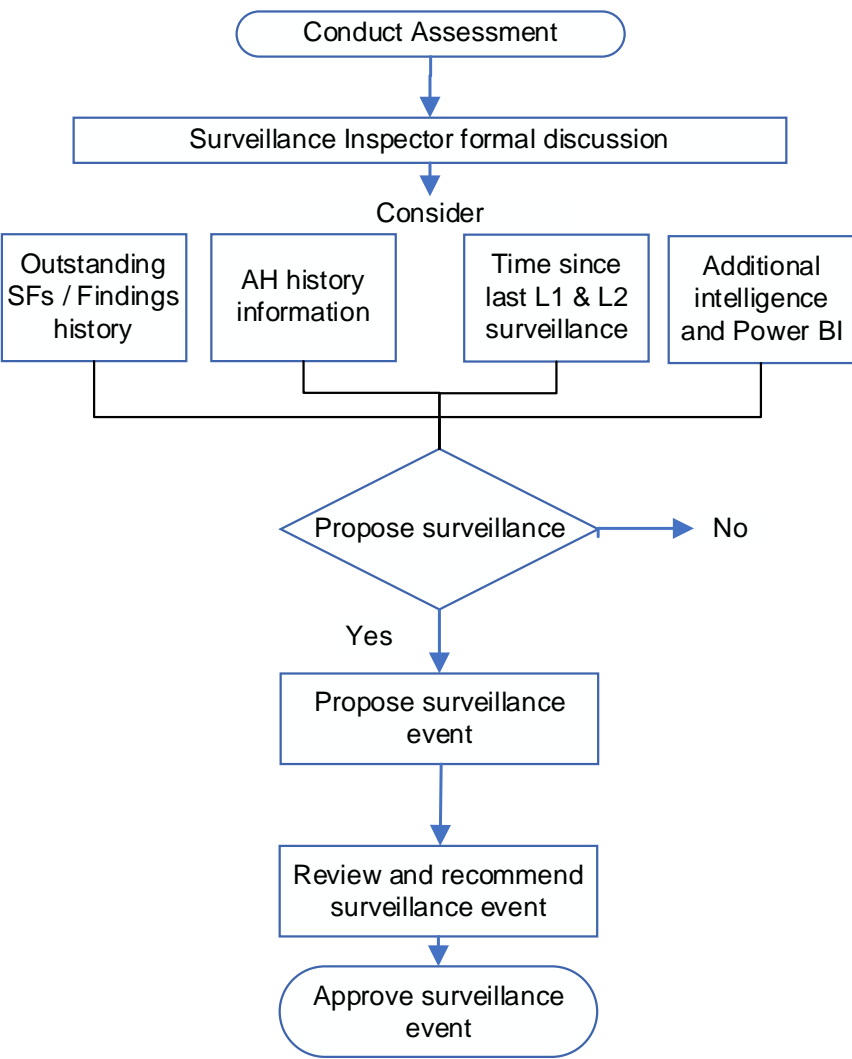


Figure 6: Surveillance assessment phases

4.2.3.1 Process - assess authorisation holder - unplanned surveillance activities

Surveillance technical officer

1. Upon request - provides the authorisation holder profile report - Power BI to the surveillance inspector for assessment and/or shows the inspector how to run the report.
2. As directed by the SM add comments in relation to the surveillance team meeting decisions to the applicable surveillance team planning meeting agenda.

Surveillance inspector

3. Review the current status of assigned AH.
4. Access the Power BI reports.
5. Assess all available information relating to the assigned AH.
6. Conduct a web search for the AH to establish whether they may be advertising for services that they do not hold a permission to conduct

Note: Formal comments should be recorded for those AHs under voluntary suspension who should be periodically contacted to confirm they seek to maintain the voluntary suspension.

4.2.3.2 Authorisation holder discussions

The discussion field in sky sentinel is used by staff to enter a comment about an AH on their sky sentinel page in the discussion field and these comments may be entered as either a formal or general comment.

General comments

Are used to capture intelligence gathered from various sources both from within and outside the organisation and are generally for information only.

As a rule, general comments are recorded after an interaction with an AH and are considered for information only. All inspectors have access to this function in sky sentinel.

These comments would not as a rule be used as information to be considered when scoping a surveillance event.

Formal comments

Are used to record information of significance that may be taken into consideration in scoping future surveillance activities.

Formal comments are a valuable source of information when scoping a surveillance event and a list of these comments appear on the authorisation holder profile Power BI report.

Formal comments are recorded in in the AH's sky sentinel page in the following (but not limited to) circumstances:

- at the completion of an interaction with the AH
- an issue identified by an inspector while conducting a regulatory service task
- the details of an unsafe behaviour/low flying report
- the details of an ATSB/CIRRIIS occurrence
- details of a REPCON
- key personnel changes

- voluntary suspension (to be done at the start of a voluntary suspension and at the expiry of each suspension period)
- a change of location
- addition of new operating ports
- addition of new aircraft types to the operation
- a change to the maintenance services provided by the organisation a change to the permitted training that it is approved to provide.
- receipt of a Prescribed Single Engine Aeroplanes (PSEA or ASEPTA) or CAMO reliability report.

Note: Details of any significant items must be added as comments in sky sentinel and also shared across the surveillance team at the next team meeting. This is done to ensure significant information is appropriately shared with team members.

4.2.3.3 Process - propose surveillance (excluding non-ROD planned surveillance)

Surveillance team:

1. Proposes a surveillance event by producing a surveillance request in sky sentinel prior to the next STPM. The surveillance request will include the event type, scheduled dates and the surveillance lead.

Note: Planned surveillance events are loaded annually on behalf of offices/branches

2. Enters details of the proposed surveillance event in sky sentinel
3. Reviews self-reported deficiencies
4. Reviews any outstanding safety findings with a verification required by CASA status and considers such safety findings for inclusion in the initial surveillance scope and review authorisation holder Power BI report using [Form 1189](#).
5. Contributes to the prioritisation process in deciding the final recommendations on surveillance requests to be proposed to the STPM for approval by the SM.

Surveillance manager:

6. Confirms that surveillance events have been proposed for all AH's that have been identified in the surveillance consideration process as warranting surveillance.
7. Confirms that all surveillance events that are to be proposed are recommended at the correct surveillance level and surveillance type with all level 1 surveillance events appropriately scoped after review of [Form 1189](#)

Surveillance technical officer:

8. Enter additional surveillance team member details and scheduled surveillance dates of the proposed surveillance event in sky sentinel at the request of the surveillance manager.

4.2.3.4 Process details - propose surveillance (excluding planned surveillance)

If there is agreement within the surveillance team (endorsed by the SM) that a surveillance event is justified, a surveillance request is completed within sky sentinel.

Surveillance events must be proposed for all AH's that have been identified in the surveillance consideration process as warranting surveillance. Surveillance teams must consider the planned surveillance schedule when proposing surveillance events.

A surveillance request is specific to an activity or business, e.g. Operational Check – Site Inspection of the AH.

Surveillance team members should not wait until the formal team meetings to propose a surveillance event and should complete a surveillance request as soon as the requirement to propose a surveillance event is decided, or a potential concern is identified.

A surveillance request includes details of:

- the scheduled surveillance date(s) allowing sufficient time to prepare for the surveillance event and write up the surveillance report
- time to be allocated (hours)
- surveillance event type (noting response events need to use specific event types)
- surveillance lead
- surveillance team members
- initial surveillance scope (system elements to be surveilled) and background behind the determination of the scope (Event File and [Form 1189](#) requested from surveillance@casa.gov.au)
- justification for proposing the surveillance event.

When selecting the surveillance scope, any outstanding safety findings from prior surveillance events with a 'verification required by CASA', status must be included in the surveillance scope as well as reviewing any self-reported deficiencies.

Note: The scheduled start/finish dates are the estimated start and finish dates of a proposed surveillance events and are important to provide forward visibility of surveillance activity.

Note: If a level 1 surveillance event is to be proposed, the scope of the proposed event must be defined in sky sentinel by selecting the appropriate systems and elements to be covered. A surveillance request may be scoped to the system risk level if considered appropriate. Use the sky sentinel surveillance scoping aid as a reference to show the system risks for which the effectiveness of an AH's control has been assessed. Additionally, taking into consideration the size and complexity of an individual AH's operation, all systems and elements must be assessed in a timely manner.

Note: The Time to be allocated (hours) entry in sky sentinel for both estimated hours and for actual surveillance hours (entered at a later stage) include the total number of hours accumulated by all surveillance team members in conducting the surveillance event. The total must include all pre-event planning and preparation, post-event analysis and production of findings up to the start of producing the surveillance report.

Depending on individual circumstances relating to the current assessment and the results of previous surveillance events, a surveillance team may propose either a level 1 or level 2 surveillance.

If a level 1 surveillance event is proposed, the scope of the event must be defined in sky sentinel by selecting the appropriate systems and elements. Additionally, taking into consideration the size and complexity of an individual AH's operation, all systems and elements must be assessed in a timely manner. The determination of the scope selected must be saved in RMS using [Form 1189](#).

It is the surveillance manager's responsibility to ensure that surveillance events are proposed for all AH's that have been identified in the surveillance consideration process as warranting surveillance. In all cases where the assessment indicates a surveillance event is required, a surveillance event must be proposed regardless of resourcing constraints at the time of the assessment. It is only in this way that the participants at the STPM can gain a true picture of all their surveillance planning requirements.

Events that are not approved by the STPM should be recorded in sky sentinel as not recommended and then closed/not approved by selecting reject and close (level 1 events) or rejected (level 2 events) with the relevant reason selected e.g. no resources with any additional comments added as appropriate and then rejected and closed. Decisions on such matters are the responsibility of the STPM and not surveillance team individual SMs.

The SM must also ensure that surveillance events are proposed at both the correct surveillance level (level 1 or level 2) and the most appropriate surveillance type selected (system audit, operational check - desktop review, operational check - site inspection etc.).

When compiling a surveillance request, particularly in assigning surveillance team members, it should be kept in mind that a surveillance event may be conducted by a sole inspector who has the appropriate qualifications, technical background and or knowledge. In addition, where a surveillance request requires SME input from outside the surveillance team, i.e. other technical specialisations or disciplines that may assist or be able to provide support, (e.g. cabin safety, dangerous goods, alcohol and other drugs, ground operations, airways and aerodromes and/or manufacturing), the requirement for this input must be discussed with the surveillance manager of the relevant technical area prior to the surveillance request being recommended to the STPM.

Note: Surveillance events not assigned through the normal planning and approval process can be initiated (level 1 or level 2) based on immediate safety concerns or emerging risk and may include:

- requests from the senior management group
- critical safety imperatives, e.g. volcanic ash
- on-site, out-of-scope observations, e.g. location specific.

Table 2: Position and accountabilities

Position	Accountabilities
Surveillance manager (SM)	<ul style="list-style-type: none"> ensures monthly or weekly STPM is conducted consider the discretionary regulatory decision-making factors set down in this manual when deciding the appropriate further action to be taken following the team discussion process on subject authorisation holders recommends, or otherwise, level 1 proposed surveillance request that are submitted to STPM confirm all resourcing, scheduling, and scoping issues for recommended proposed level 1 surveillance requests ensure all proposed level 1 surveillance requests are reviewed and recommended in sky sentinel at least three working days prior to the monthly STPM confirm surveillance events have been proposed for all AH's identified as warranting surveillance confirm proposed surveillance events are recommended at the correct surveillance level and surveillance type approve level 2 surveillance events
Surveillance team	<ul style="list-style-type: none"> participate in the regular meetings participate in the development of proposed surveillance requests for consideration at the weekly/monthly STPM input details of estimated resources, schedule and scope into the surveillance request development process actively participate in the prioritisation process in the authorisation management recommendations for surveillance to the STPM
Surveillance technical officer (STO)	<ul style="list-style-type: none"> provide authorisation holder assessment reports/Power BI if required enter formal discussion or general discussion into sky sentinel if required add comments to the STPM agenda enter details of the proposed surveillance event in sky sentinel from STPM. update event details in the STPM (if required)

4.3 Surveillance planning

4.3.1 Purpose

This section provides an overview of the surveillance planning process. This is the management level review of the surveillance requests as well as the coordinated planning and tasking of surveillance events. The function of the STPM is to approve or not approve surveillance requests outside the approved planned surveillance schedule. The group also review the planned versus achieved surveillance from the previous month and discuss the management of open findings and self-reported deficiencies. The SM chairs the STPM and must include all surveillance members from that office or representatives together with relevant representatives from technical specialisations outside of the controlling office. It may also include appropriate invited team members and subject matter experts (SMEs), including those from disciplines outside the core surveillance team.

4.3.2 Process

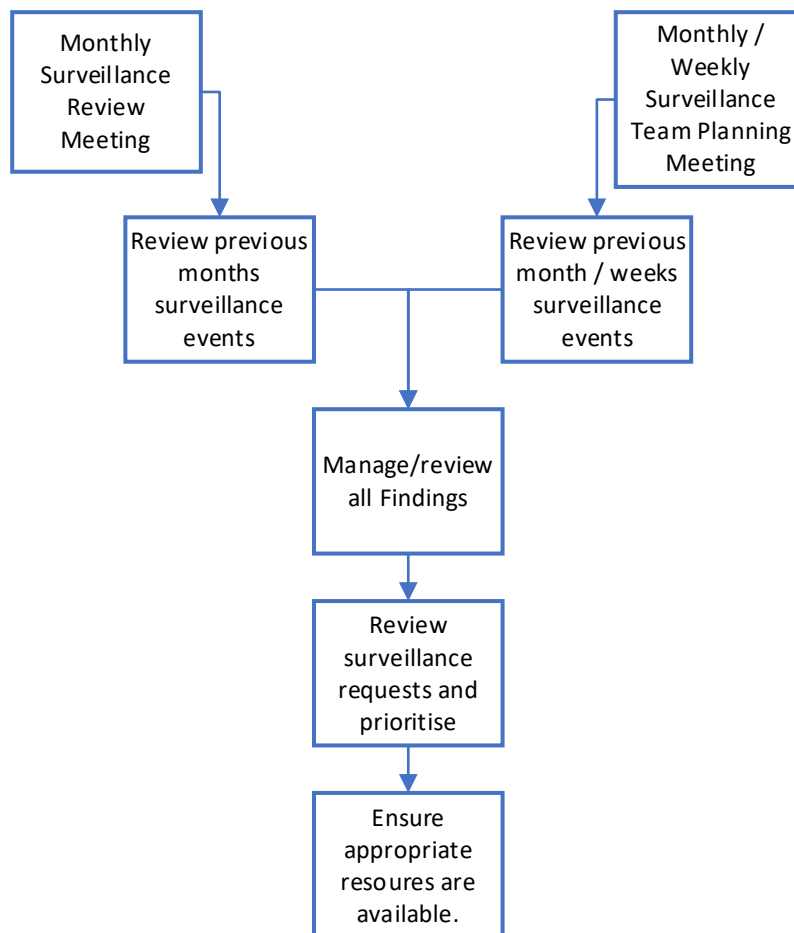


Figure 7: Review of Surveillance Requests through the SRM/STPM

4.3.3 Surveillance Review Meeting (SRM)

The SRM meets monthly and reviews planned surveillance activity monthly targets.

The SRM also ensures discusses any risks to completion of the current planned schedule and documents any limitations.

The group must also review and discuss the status of all open findings to ensure they are being effectively and actively managed.

4.3.3.1 SRM membership

The SRM is appointed and chaired by the National Manager Surveillance (NMS) and should include:

- managers or team leaders that conduct surveillance activities across CASA.
- relevant representatives from technical specialisations outside of the controlling office if required (e.g. alcohol and other drugs, dangerous goods, cabin safety, ground operations).

Note: Any absence from the group should be backfilled by an appropriate replacement if deemed necessary by the NMS. Attendance will be recorded.

Where necessary, the NMS may also request other team members and subject matter experts to temporarily join the SRM to assist in the assessment of surveillance requests.

4.3.3.2 SRM chair

The NMS chairs the SRM and they must appoint an alternative chairperson to act in this role in their absence. The chair is responsible for managing the oversight of surveillance activities across CASA.

SRM can access all relevant information at any time generated from sky sentinel data through Power BI reports, including reports on active and acquitted findings.

All decisions must be recorded for future reference in sky sentinel against the relevant AH, as well as saving any minutes taken in RMS.

4.3.3.3 SRM activities

The primary activities of the SRM are detailed as follows:

- monitor the planned surveillance schedule from the previous month, tracking the planned versus achieved
- SRM participants provide commentary on any changes to planned surveillance targets
- review outstanding surveillance findings
- evaluate response and campaign surveillance recommendations from a whole-of-CASA perspective.

4.3.4 Surveillance Team Planning Meeting (STPM)

Surveillance teams from all branches of CASA that conduct surveillance activities hold meetings on a weekly or monthly basis dependent on their level of surveillance activity, as approved by the NMS.

The purpose of these meetings is to:

- review and consider recommendations for surveillance requests put forward by the monitoring and response surveillance team and individual team members and evaluate surveillance recommendations from a whole-of-CASA perspective
- monitor planned surveillance events from the previous month, tracking the planned versus achieved
- planning and resourcing upcoming planned surveillance events and consider resourcing requests from other offices
- review surveillance report delivery schedules to ensure that reports are issued on time
- review outstanding surveillance findings
- review the status of any action plans currently in place
- review self-reported deficiencies.

4.3.5 STPM oversight

4.3.5.1 Process - STPM oversight

STPM group:

1. Downloads the following reports from the surveillance overview Power BI app:
 - a. Controlling office surveillance schedule
 - b. Open safety findings
 - c. Open ASRs
 - d. Self-reported deficiencies (SRDs)
 - e. Open surveillance reports
 - f. Overdue surveillance reports
2. Downloads the following reports from 'Surveillance Reporting' Power BI app:
 - i. Results FYTD
 - ii. NSSP schedule

Surveillance events

3. Reviews all surveillance events completed in the previous month (planned versus achieved)
4. Reviews any previously approved surveillance requests that have been subsequently changed in sky sentinel, including requests that have been:
 - a. Cancelled
 - b. Changed to a Closed/Not Approved status
 - c. Rescheduled.

Findings

5. Monitors the management of all outstanding findings and associated action plans as well as discussing, as required, any additional action that may be necessary.

Note: Requests for extension for periods greater than three (3) months are referred to the NMS - see section on Request for extension.

Prioritisation of surveillance activities

- Consider the planned surveillance schedule against other activities when prioritising surveillance.
- Consider response surveillance requests received from the monitoring and response surveillance team
- Consideration should be given to interaction between the elements of the national oversight plan whereby other activities conducted with the AH may reduce the scope or preclude the need for planned surveillance activity.
- Determine if any surveillance reprioritisation is necessary based on changed surveillance priorities, or when oversight or external information identifies concerns.
- Consider using alternative resources through requests to other offices/branches to assist in surveillance activities, as necessary.
- Consideration of geographic efficiencies, including the allocation of resources, and the consideration of consolidating the surveillance events at a geographic location.

- The CASA executive may give strategic directives in relation to planned surveillance methodology. For example, following the identification and/or definition of higher sector risks, inspectors may be directed to apply 80% of their effort to the defined high-risk areas, with the remaining 20% of effort dedicated to the lower risk areas.

Note: All oversight decisions made in the STPM should consider the discretionary regulatory decision-making considerations set down in this manual (see section on – Key considerations for regulatory making)

STPM can access all relevant information at any time generated from sky sentinel data through Power BI reports, including reports on open and acquitted findings.

All decisions must be recorded for future reference in sky sentinel against the relevant AH, as well as saving any minutes etc. taken in RMS.

Surveillance technical officer

1. Documents the STPM minutes.
2. Stores the STPM minutes in RMS.
3. Distribute the STPM minutes to the surveillance team.
4. Enters in sky sentinel any rescheduled surveillance dates or comments.
5. Check any overdue surveillance reports or surveillance events and ensure a comment is added against the event in sky sentinel

Notes: All oversight decisions made in the STPM should take into account the discretionary regulatory decision-making considerations set down in this manual (see on 2.5.1 – Key considerations for regulatory decision making).

STPM can access all relevant information at any time generated from sky sentinel data through Power BI reports, including reports on active and acquitted Findings.

All decisions must be recorded for future reference in sky sentinel against the relevant AH, as well as saving evidence in RMS.

Surveillance planning reporting

Surveillance planning reporting for the management of AH's is generated in Power BI using information from approved surveillance requests and findings pages etc. taken from sky sentinel. The STPM can review this information on a weekly/monthly basis at the STPM or at any time.

The reporting consolidates all planned proposed response surveillance events allowing for a clear understanding of resource commitments in a dynamic format.

To ensure the usefulness of this reporting information as a planning tool, when entering information into sky sentinel, include the assigned CASA staff, initial scope and proposed dates for the surveillance event.

If a surveillance event needs to be rescheduled for a previously approved event for any reason, the rescheduled dates and the reason for the rescheduling must be recorded in sky sentinel either by the STO or SM via the reschedule event function.

4.3.6 Guidance for travel for surveillance events

The following guidelines are to be followed to ensure efficient and cost-effective travel arrangements for surveillance events while maintaining operational readiness and timely on-site presence.

- Ground transport – Inspectors from the same office on the same event are expected to share taxis or hire cars unless expressly approved otherwise by their manager.
- Flight timings – Inspectors should coordinate travel so that inspectors from the same office can take the same flights to optimise cost and travel together. Where inspectors from different offices are working together on an event, arrival times at the destination airport are to be as close as possible to allow for sharing of ground transport.
- On-site arrival – Inspectors should plan to arrive on-site no later than 09:00 local time unless a different arrangement is requested by an AH and approved by the local SM.
- Timeliness of bookings - Book flights and accommodation well in advance to take advantage of best process and availability.
- Hours of travel – Travel time should normally be completed within the span of hours as specified in the relevant Employment Agreement. Any travel outside of the span of hours must be approved in advance by the SM. For travel outside the normal span of hours (including weekends) the SM shall also pre-approve any time off in lieu applicable.

4.4 Surveillance event preparation

4.4.1 Purpose

This section describes the procedures for the development of a structured surveillance event plan for an AH, initially scoped:

For scheduled surveillance events, planned surveillance scoping requirements set for each sector at the start of each financial year.

For response events, the scope is based on information received from the Monitoring and Response Team (MRS), or as directed by the SM.

The requirements will vary according to the surveillance event type, the outputs of the STPM, and the availability of necessary resources. This process also includes, where appropriate, coordination of the intended surveillance with the AH.

Thorough preparation before a surveillance event will:

- establish the basis for conducting a successful surveillance event
- confirm initial surveillance event scope
- select the appropriate question set in the relevant sector question worksheet where available
- define and plan surveillance team activities and expansion of scope using the mandatory Surveillance Planning and Scoping Development [Form 1189](#)
- provide a defined structure, including timing and dates to enable the surveillance team to meet its objectives
- ensure all decision making and planning documents are saved in RMS.

4.4.2 References

- Reports
- Systems and Elements (refer to relevant technical annex)
- previous surveillance reports
- AH documentation from RMS

Forms (Available in Document Catalogue)

- [CASA-04-0592](#) - Surveillance planning and scoping development (Form 1189)*
- [CASA-04-0604](#) - Surveillance event timetable (Form 1290)
- [CASA-04-5442](#) - Combined exit/entry agenda, attendance /checklist (Form 1296)*
- [CASA-04-0619](#) - Surveillance notification letter (Form 1304)*
- [CASA-04-4264](#) - Part 145 Surveillance request for information (Form 1481)
- [CASA-04-0692](#) - CAR 30 Surveillance request for information (Form 1521)
- [CASA-04-4325](#) - Air Operators Surveillance request for information (Form 1524)
- [CASA-04-6375](#) - Part 42 Surveillance request for information
- [CASA-04-0646](#) - Part 139 Surveillance request for information (Form 1532)
- [CASA-04-5522](#) - Part 147 Surveillance request for information
- [CASA-04-4380](#) - Part 21 Manufacturing surveillance request for information
- [CASA-04-5906](#) - Part 141/142 Surveillance request for information
- [CASA-04-6562](#) - Part 138 Surveillance request for information
- [CASA-04-0621](#) - Surveillance Worksheet Form*
- [CASA-04-5535](#) - Surveillance CASR Part 147 Worksheet
- [CASA-04-5147](#) - Safety Management System/Change Management Worksheet
- [CASA-04-5149](#) - Desktop Risk Assessment Guide.

*Generated in sky sentinel

4.4.3 Surveillance preparation

Surveillance event preparation would ideally commence at least one month or more prior to the planned surveillance, with notification of the surveillance event to the AH where required. This notification period may be reduced as appropriate with the SM approval. The SM will consider the impact on the industry participant prior to deciding on any reduced notification period.

On receipt of an automated email from sky sentinel that an event has been “recommended”, STOs will create a RMS file for the event. The surveillance team make contact with the AH to set surveillance dates, enter the dates in sky sentinel as scheduled dates enabling the STOs to send a Surveillance Notification Letter to the AH if required once the event has been approved. Once the event is approved the surveillance team will gather and review any remaining surveillance preparation documentation including completing Form 1189 in the lead up to the event.

The level of detail in surveillance documentation preparation may be reduced for a level 2 surveillance event. For example, the below are not mandatory for a level 2 surveillance event and are at the discretion of the surveillance lead:

- [CASA-04-0604](#) - Surveillance Event Timetable (Form 1290).
- [CASA-04-5442](#) - Combined Exit/Entry Agenda, Attendance/Checklist (Form 1296)

- [CASA-04-0619](#) - Surveillance Notification Letter (Form 1304)

4.4.3.1 Surveillance Preparation

Surveillance Manager

1. From STPM review “Draft” events, assign the surveillance lead and set the status in Sky Sentinel to “Requested”. Auto email is generated to Surveillance Lead and STO.

Surveillance lead

2. Contacts the AH to advise them of the upcoming surveillance event and discuss a mutually agreeable date for the surveillance event.
3. Enter confirmed dates into sky sentinel.
4. Enter contact name, position and email address in the event comments, and save. Submit event to SM as “Recommended”.

Surveillance Technical Officer

5. Ensures an RMS file has been created.
6. Alternatively within applicable RMS files
7. Conduct ASIC check and save in file.

Surveillance Manager

9. Approves event in Sky Sentinel.

Surveillance Technical Officer

10. Provides reports and administrative assistance to the surveillance lead/ inspector to support the surveillance preparation (eg Power BI App to generate authorisation holder profile reports).
11. Populate the Surveillance Planning and Scoping Development Form (Form 1189) with applicable RMS links.

Surveillance Technical Officer:

12. Drafts the surveillance notification letter ([Form 1304](#)).
13. Email the surveillance notification letter to the AH.

Note: While one month's notice should be given to the AH whenever possible, if circumstances do not allow this notification period, the notification period may be reduced when a mutually agreeable date can be arranged with the AH, and subject to approval by the SM.

Surveillance lead or inspector:

14. Using [Form 1189](#) to further scope the surveillance event and considers the following:
 - a. Review returned Surveillance Request for Information form if applicable.
 - b. Reviews any outstanding safety findings with a “Verification required by CASA” status and considers whether the associated system elements should be included in the surveillance scope and what needs to be verified during the event.
 - c. For authorisation holders who operate across multiple locations, the inspector will select the most appropriate location/s to conduct the surveillance based on the following factors to be determined during the scoping phase;

- The time elapsed since a location last had surveillance
- Whether a location has a history of regulatory breaches
- The volume of activity, or complexity of the authorised activities at a location
- Whether evidence of third party audits demonstrating compliant operations for a specific location can be provided, such as evidence of an audit conducted by CASR Part 42 organisation of a CASR Part 145 authorisation holder.

Note: The Surveillance Team must record the decision for the chosen location/s in the Form 1189

- d. Reviews the AH's findings history (including safety alerts, safety findings and ASRs) and considers the following:
 - the nature and seriousness of the breach(es)
 - any apparent trends in deficiencies observed over time
 - whether breach(es) has been finalised within prescribed timeframes
 - whether there has been a history of recurrence
 - whether the AH has shown a positive attitude towards regulatory compliance and safety, or
 - whether the acquittal processes have been problematic.
15. Assess the regulatory service interactions with the AH to establish:
 - how often has the AH submitted a regulatory service request in the past 12 months?
 - how many of the applications were for a significant change to the AH's permissions?
 - how long did the complex applications take to resolve?
 - how up to date is the AH's Exposition/Procedures Manual?

Note: *This assessment will provide valuable information on an AH because it will determine the level of oversight that CASA has on the AH from a regulatory services perspective*

16. Consider any available additional intelligence about an AH and their operation that should be taken into consideration in the decision-making process in scoping the surveillance event.
17. Review self-reported deficiencies and add to scope.
18. Carry out a web search for any adverts posted by the AH that may be advertising services that they are not permitted to provide
19. Review of any audits conducted on the AH's by entities other than CASA (third-party audits or self-audits/internal reviews) if the AH is willing to share or has shared the information.
20. Scopes additional system elements to be assessed during surveillance by adding such elements to the surveillance event page in sky sentinel whilst using the mandatory Surveillance Planning and Scoping Development ([Form 1189](#)).
21. Determines the depth of sampling required to verify each system.
22. It is mandatory to use the applicable published Surveillance Question Worksheets or Surveillance Worksheet Form ([Form 1308](#)) populated with questions relevant to the surveillance event scope for planned surveillance.
23. Plans for the surveillance event, using ([Form 1290 – see note](#)), which should include:
 - a. Entry, exit and progress meetings times and locations.

- b. Consideration of any additional workplace health and safety requirements for the onsite component of the event
- c. Key personnel to be interviewed
- d. Specific activities such as aircraft inspections, records inspections and facility inspections.
- e. Specific dates/times/locations for such interviews and activities.
- f. Transportation or other logistical details.
- g. Details of scope items (elements) to be specifically discussed at interview.

24. Ensures all documents are saved in RMS.

Note: The surveillance event timetable (Form 1290) may not be required for smaller operators.

4.4.4 Accountabilities - surveillance event preparation

Table 3: Position and accountabilities

Position	Accountabilities
National manager surveillance (NMS)	<ul style="list-style-type: none"> ensure adequate resources are provided for preparation and for the conduct of the surveillance event.
Surveillance manager (SM)	<ul style="list-style-type: none"> ensure adequate preparation is conducted by surveillance teams ensure that Surveillance events are scoped appropriately prior to approving the event in sky sentinel assists and guides in the preparation phase ensure all team members are aware of their record keeping responsibilities.
Surveillance lead	<ul style="list-style-type: none"> contacts the AH to discuss a mutually agreeable date for the surveillance event ensure AH receives a surveillance notification letter at least one month prior to the scheduled event date for level 1 events and for level 2 events if appropriate (not mandatory for level 2) review the information on the Surveillance Planning and Scoping Development Form (Form 1189) and complete the relevant sections, to show it's been reviewed determine if any additional system elements need to be added to the event scope using mandatory Surveillance Planning and Scoping Development Form (Form 1189) determine the depth of sampling required to verify each system ensure the applicable surveillance question worksheet has been added to the surveillance file in RMS consider any third-party audit results when reviewing the surveillance scope determine if there are any additional workplace health and safety requirements for the onsite component of the event ensure the surveillance is appropriately planned by developing a timetable, for all level 1 events and for level 2 events as appropriate ensure surveillance preparation is carried out by the surveillance team and assist surveillance team members where necessary consider travel requirements and share the travel plans with the surveillance team ensure the surveillance team has the necessary surveillance documentation, e.g. question worksheet etc. ensure documentation is saved in RMS.
Surveillance team member	<ul style="list-style-type: none"> review event scope ensure applicable question worksheet is located in RMS review the AH manual suite if applicable prepare a list of documentation to be provided by the AH prior to going on site (if applicable)

Position	Accountabilities
Surveillance technical officer (STO)	<ul style="list-style-type: none"> ensures an RMS file has been created and populated with relevant supporting documentation verifies with the surveillance lead whether the surveillance notification is required for the surveillance event, contact details of the AH and surveillance dates are correct and any additional forms to be sent out. drafts the Surveillance Notification Letter (Form 1304) (not mandatory for level 2) forwards Surveillance Notification Letter (Form 1304) to the AH together with the Surveillance Request for Information if applicable/appropriate compiles the information on the Surveillance Planning and Scoping Development Form (Form 1189), if appropriate provides reports and administrative assistance to the Inspector to support the surveillance preparation (using Power BI App to generate Operator Profile Reports) verifies information provided by the AH upon return of the relevant survey form and updates sky sentinel and RMS (also EAP when appropriate) as necessary.

4.5 Conduct surveillance event

4.5.1 Purpose

This section describes the process for assuring the level of the AH's compliance and its ability to control its safety risks within the scope of the surveillance event.

4.5.1.1 Conduct event

During surveillance events, an AH's systems, safety risk control and level of regulatory compliance will be examined. Evidence is gathered to verify compliance with civil aviation legislation and assess the level of control the AH exercises over its operational safety risks. The effectiveness of AH's systems will be assessed using a variety of surveillance techniques available to surveillance team members, e.g. documentation review, control effectiveness process, sampling, staff interviews and observation.

This procedure also describes how to conduct the on-site element of a surveillance event.

Note: Onsite start date - The onsite start date is the date that an event has been agreed to with an AH and is important to ensure that surveillance reporting is accurate. The onsite start date must be entered as soon as it is confirmed. If the event has been postponed or cancelled the onsite start date will need to be amended or removed.

Onsite start dates not updated correctly by the end of the month will affect monthly surveillance reporting.

Note: Onsite finish date – It is mandatory to enter the onsite finish date once the event exit meeting has been carried out.

Note: There may be occasions where the entry of the onsite finish date may be delayed subject to the approval of the Controlling Office Manager (COM).

4.5.2 References

The following materials are applicable to the conduct surveillance event phase:

Manuals

[CSM Annex 1](#) – sections on (Note taking and Interviewing) and (Gathering Evidence)

Forms (Available in the Document Catalogue)

[CASA-04-0592](#) – Surveillance Planning and Scoping Development (Form 1189)

[CASA-04-0602](#) – Surveillance Event Summary of Findings (Form 1288)

[CASA-04-0603](#) – Surveillance Event Record of Conversation (Form 1289)

[CASA-04-0604](#) – Surveillance Event Timetable (Form 1290)

[CASA-04-5442](#) - Combined Checklist, Exit/Entry Agenda/Attendance (Form 1296)

[CASA-04-0616](#) – Surveillance Report (Form 1301)*

[CASA-04-0619](#) – Surveillance Notification Letter (Form 1304)*

[CASA-04-0621](#) – Surveillance Worksheet (Form 1308)*

[CASA-04-1388](#) - Safety Management System Evaluation Tool/Guidance (Form 1291)

[CASA-04-5535](#) - Surveillance CASR Part 147 Worksheet

[CASA-04-5147](#) - Surveillance Safety Management System/Change Management Worksheet

*Generated in sky sentinel

4.5.3 Surveillance event activities

Surveillance events must include the following activities (if required):

- notification to the AH (not required for a Level 2)
- establish workplace health and safety requirements for the surveillance event
- a structured surveillance event timetable
- an entry meeting
- regular contact with the AH representative during the surveillance event, as required
- an exit meeting
- saving of all documentation and communication in RMS
- an onsite start date in sky sentinel
- an onsite finish date in sky sentinel
- a location (Remote - if a desktop)
- a list of manuals and documents and databases (e.g. Air Maestro) reviewed
- key people interviewed.

4.5.4 Surveillance event - conduct entry meeting

4.5.4.1 Process - conduct entry meeting

Entry meeting chair:

1. Conducts the meeting in accordance with the Combined Form ([Form 1296](#)) normally at the AH's premises.
2. Explains CASA's approach to AH engagement during the conduct of a surveillance event, as well as any other procedural matters that may arise during the surveillance event as appropriate.

Surveillance team members:

3. Participate in the entry meeting.
4. Record all matters of significance discussed during the meeting.
5. If there are no issues, or if any issues are not discussed, note the minutes accordingly.

4.5.4.2 Process details – conduct entry meeting

The entry meeting is normally conducted on an AH's premises, but some circumstances may require the use of a CASA office, or it is achieved remotely.

The chair (normally the surveillance lead) must conduct the entry meeting in accordance with the entry meeting agenda form. The form provides guidance, prompts and space for recording meeting minutes. The completed Combined Form ([Form 1296](#)) must be amended on the relevant surveillance file.

The purpose of the entry meeting is to finalise the logistics of the surveillance, as well as to clarify the scope, timetable, and availability of key personnel. Matters that relate to the subject of the surveillance should not form part of the entry meeting processes, but rather should be conducted as part of the subsequent surveillance activities.

To provide appropriate support to the surveillance team, and if circumstances warrant, consideration should be given to the attendance of the SM (if they are not already part of the surveillance team) at the entry meeting if it is considered appropriate and/or necessary. All attendees should be recorded in the minutes.

Recording notes/minutes

The surveillance team must record all matters of significance discussed during a surveillance entry meeting. Matters of significance could include significant changes to the organisation not identified during surveillance preparation that have either taken place or are planned, or due to the non-availability of important organisation position holders. Where issues are identified, a resolution must be agreed upon and actions recorded. This could be as simple as adjusting the surveillance timetable.

Where no issues were identified during an entry meeting, the minutes should state Discussed – no issues raised or if applicable, not discussed. No agenda items should be left unaddressed on the Combined Form ([Form 1296](#)).

Note: See [Annex 1](#) for details on note taking.

4.5.5 Surveillance event - onsite familiarisation procedure

4.5.5.1 Process - conduct onsite familiarisation

Surveillance team:

1. Carries out a tour of the AH's facility if unfamiliar with the AH's operation.
2. Identifies any changes to the AH's authorised activities since the last surveillance event.
3. Updates the applicable surveillance question worksheet or surveillance worksheet ([Form 1308](#)) for any areas requiring special attention, where appropriate.
4. Confirms AH escort where required.

4.5.5.2 Process details - conduct onsite familiarisation

If the surveillance team is not familiar with the AH, an informal on-site familiarisation tour will assist in not only developing a rapport with the AH, but also in obtaining a general appreciation of their activities. All workplace health and safety matters, identified in the entry meeting, need to be addressed at this time, including identifying the location of emergency exits and assembly areas etc.

4.5.6 Surveillance event - conduct surveillance

4.5.6.1 Process - conduct surveillance

Surveillance team members:

1. Gathers evidence to determine the effectiveness of an AH's systems.
2. Gathers objective evidence to support surveillance findings.
3. Records all evidence collected during the conduct of the surveillance in the applicable Sector specific Surveillance Question Worksheet or Surveillance Worksheet ([Form 1308](#)).
4. Keeps the surveillance lead and team informed.
5. Ensures all evidence is saved in RMS as it is collected and titled appropriately, or immediately on return to office.

Surveillance lead:

1. Leads and assists the surveillance team.
2. Chairs the relevant briefings and entry/exit meetings.
3. Escalates issues to the appropriate SM, if necessary.
4. Keeps the SM and other surveillance team members progressively informed, as necessary.

Surveillance manager:

1. Provides assistance and advice to the surveillance lead and surveillance team members.
2. Escalates issues, where required, to the NMS.

4.5.6.2 Process details - conduct surveillance

Evidence is collected while conducting a surveillance event with relevant information recorded in the applicable Surveillance Question Worksheet or Surveillance Worksheet ([Form 1308](#)) to support any associated findings.

Evidence must be:

- obtained with the consent of the AH
- and a record of where it was obtained from
- verified for correctness, completeness and indicated as a true copy where applicable
- recorded accurately and concisely
- collected in a manner that will aid in writing the surveillance report and any associated findings.
- saved in RMS.

Evidence named in accordance with Surveillance RMS titling convention:

- completed Surveillance Question Worksheets
- oral evidence – record date, time, details of conversation on Surveillance Event Record of Conversation ([Form 1289](#))
- notes taken during any surveillance event
- documents sighted during the surveillance event – always reference the document and page numbers
- copies of documents and records.
- photographs
- video recordings
- physical evidence, such as original document, records or defective parts, receipted appropriately as required.

Notes: Clear and perceptive comments in the surveillance question worksheets are recorded during the conduct of the surveillance. These worksheets must be scanned and stored in RMS for future reference and/or potential enforcement action. (See to [Annex 1](#) for further advice on note taking.)

More details about collecting evidence can be found in [Annex 1](#). Evidence of a serious contravention, including copies of documents and relevant photographs, must be obtained during the surveillance keeping in mind that evidence may be tested in the Administrative Appeals Tribunal, the Federal Court or a criminal court should enforcement action be initiated.

Root cause analysis

The aim of issuing a safety finding is to highlight process or system deficiencies, not to provide consultancy nor tell the AH what to do. It is the AH's responsibility to investigate and identify the root cause, then take corrective action to address the root cause(s).

However, the inspector should establish that the AH has a sound grasp of root cause analysis principles and assist them in the process while on the surveillance event when required.

Immediate rectification of potential breaches

It is not uncommon for AH's to immediately rectify breaches on-site at the time of the surveillance event. In such instances, the rectification must be acknowledged and recorded as a positive measure. While this immediate rectification is accepted in a positive light, the breach must still be captured as a safety finding and issued with the associated surveillance report. The safety finding should note the breach was rectified at the time. However, discretion may be used here depending on the safety impact of the breach.

4.5.7 Surveillance event – process verification procedure

4.5.7.1 Process - conduct process verification

Surveillance team:

1. Asks the AH to walk through the processes that have been nominated as part of the surveillance scope, i.e., use 'show me' to verify the process (all levels of an AH's operation scoped should be considered in sampling).
2. Confirms and verifies that supporting infrastructure is appropriate and in place
3. Examines the effectiveness of the system controls being reviewed through well considered questioning applying regulatory requirements and MSM attributes.
4. Records non-compliant responses on the applicable sector specific surveillance question worksheets or the surveillance worksheet [Form 1308](#), identifying personnel interviewed.
5. Compares actual process against documented procedures.
6. Determines what systems and/or processes have failed to be adequately controlled and continues questioning in that direction irrespective of what had previously been prepared on the surveillance worksheet. If outside the surveillance scope, it must be recorded accordingly (Refer to the User Instructions of the Worksheet).
7. Confirms and adjusts the level of sampling required to verify the process.
8. Validates areas of safety concern with the AH to ensure all aspects of the area of concern are covered before concluding process verification (verification may be covered at a periodic meeting with the AH).
9. Records non-compliances, detailing what was sampled in the comments section of the applicable sector specific surveillance question worksheets or the surveillance worksheet [Form 1308](#).
10. The completed question worksheet including the supporting evidence **applicable to regulatory breaches only** must be saved in RMS soon as possible upon collection.

Note: The surveillance question worksheets must be saved in excel format.

4.5.7.2 Process details – conduct process verification

During verification inspectors should actively confirm the process in practice including outputs.

All levels of an AH's operation must be considered in sampling of the relevant scoped items.

Note: While the responsibility for conducting root cause analysis on any documented findings rests with the AH, the issuing inspector should conduct a basic or rudimentary root cause analysis on any possible findings for themselves so that they are better able to discuss their areas of safety concern at the exit meeting. This basic analysis will also assist the inspector to assess the AH's response to ensure the response focuses on the true cause of the identified deficiency. The inspector should consult with the AH to establish their understanding of root cause analysis and advise them where that knowledge is lacking.

4.5.8 Surveillance event – periodic meetings

When the surveillance extends for more than one day, periodic meetings should be convened with the surveillance team and the AH. Due to the short time periods of a level 2 event, AH periodic meetings may not be required.

4.5.9 Surveillance event – periodic meetings (team coordination meeting)

4.5.9.1 Process - conduct team coordination meeting

Surveillance team:

1. Discusses any areas of immediate safety concern to be raised with the AH, e.g. safety alerts (see section on – Safety Alerts).
2. Discusses any areas of safety concern and any systems safety aspects and, if required, escalates the matter to the surveillance manager.
3. Agrees on any information that needs to be presented to the AH prior to the exit meeting.
4. Identifies any additional information required.
5. Shares any information gathered.
6. Ensures all information is gathered from staff, including specialist staff who may not be available for the entire surveillance event.
7. Plans further activities based on the above steps and the existing surveillance timetable.
8. Ensures meeting notes and associated documents are saved in RMS.

4.5.9.2 Process details - conduct team meeting

Surveillance team meetings are designed for surveillance events where there is more than one inspector. These meetings should take the form of a debriefing to allow members of the surveillance team to exchange information and discuss findings.

4.5.10 Surveillance event – periodic meetings (authorisation holder progress meeting)

4.5.10.1 Process – conduct authorisation holder progress meeting

Surveillance team

1. Raises any areas of immediate safety concerns with the AH after consultation with the SM.

Note: By immediately raising areas of safety concern, this may enable the AH to review and take appropriate remedial action. However, the surveillance team's primary focus should be on the surveillance as scoped and not on the AH's immediate rectification of the safety concerns.

2. Uses such meetings to engage and keep the AH informed on the surveillance progress.
3. Raises all observed deficiencies or breaches with the AH to check relevant facts and clarify any necessary points.

Note: When checking and clarifying any other such areas of concern raised, an AH may present additional information to be considered before any possible subsequent findings are formally issued; however, all evidence should still be recorded.

4. Advises of any outstanding requested information and any additional information required.
5. Discusses all matters that have been covered to date.
6. Advises any changes to the surveillance direction and/or duration.

4.5.10.2 Process details - conduct authorisation progress meeting

The purpose of these meetings is to provide communication between the surveillance team and the AH. On a periodic basis, ideally daily, the surveillance team should discuss their areas of safety concern or unresolved issues/enquiries with the AH.

4.5.11 Surveillance event - pre-exit meetings

The purpose of this meeting is for the surveillance lead and the surveillance team members to analyse the results of the event prior to the exit meeting. For level 2 surveillance events, this will be at the discretion of the surveillance team.

4.5.11.1 Process details - conduct pre-exit meeting

Surveillance team:

1. Assesses all evidence gathered during the surveillance event.
2. Drafts a brief summary of areas of safety concern for the team's final analysis of the surveillance (consolidate areas of safety concern against processes that have failed, rather than for individual breaches of the applicable civil aviation legislation.).
3. Ensures a copy of the Combined Form ([Form 1296](#)) is available.
4. Discusses results of the surveillance and records individual discipline results on the Surveillance Event Summary of Findings ([Form 1288](#)) to assist when presenting to the AH at the exit meeting.
5. Discusses the delivery of the exit meeting agenda to ensure a coordinated approach.

4.5.12 Surveillance event - exit meetings

While a level 2 event does not require a formal exit meeting and completion of the exit meeting agenda, where appropriate to the particular surveillance event type, e.g. on-site surveillance events, an exit meeting may be conducted. Inspectors must follow the procedures in the agenda as appropriate.

4.5.12.1 Process - conduct exit meeting

Surveillance lead

1. Chairs the exit meeting in accordance with the Combined Form ([Form 1296](#)).
2. Explains the subsequent processes to be followed, particularly in applying just culture principles to be followed, including procedural fairness principles whereby the AH will be given the opportunity to consider and potentially object to any findings.

Surveillance team members:

3. Participate in the exit meeting.
4. Present details of all identified deficiencies.
5. Ensure that a record of all matters of significance discussed during the meeting is made.
6. If there are no issues or none are discussed, note minutes accordingly.

4.5.12.2 Process details - conduct exit meeting

The surveillance lead chairs the exit meeting in accordance with the Exit Meeting Agenda contained on [Form 1296](#).

During the exit meeting, results identified during the surveillance event are brought to the AH's attention; however, specific findings are formulated and issued after finalisation in conjunction with the final report.

All items listed on the exit meeting agenda must be covered during the exit meeting.

Consideration should be given to the attendance of the SM at the exit meeting if it is considered appropriate and/or necessary and is then noted on attendance list.

Note: An AH may, at any time during the surveillance process, suggest some form of written proposal, which in this manual is referred to as an action plan (but may also be referred to by the AH by various names, including recovery program, action management plan etc.) to rectify issues. These issues may have been discussed during the surveillance event or may be issues that the AH has realised, while conducting the surveillance event, need to be addressed. An action plan may form part of a request for extension of time to complete the required actions associated with acquitting a safety finding (see section on request for extension).

Disclosure at exit meeting

When consulting with and providing feedback to the AH at the exit meeting, the surveillance team must provide full disclosure while being open and transparent when discussing any observed deficiencies or breaches. This process must be followed for a level 2 surveillance event regardless of whether an exit meeting is conducted or not. If there are breaches, it should be explained that finalised written findings will not be provided at the exit meeting, and discussion should focus on explaining the procedural fairness and peer-review processes that will be applied. It is, however, appropriate to advise the AH, on a provisional basis, of any potential surveillance related findings, including safety alerts, safety findings or safety observations, which have been identified and may be issued. However, it must be made clear that these provisional findings are subject to written confirmation and may change following the analysis of evidence collected and the peer-review process.

The reasons for this approach should be explained in the following terms:

- allows time to review evidence collected to confirm whether any breaches have occurred
- allows for time to consider the most appropriate action to take once the surveillance information has been assessed
- ensures the correct type of finding is used in relation to any breaches or deficiencies
- allows the opportunity for peer review of surveillance findings prior to release, ensuring standardisation of surveillance findings
- ensures observed deficiencies and breaches are properly consolidated into appropriate findings.

It must be explained that the AH will have the opportunity to consider and potentially object to any findings. It should also be made clear that no additional deficiencies or breaches will be reported on unless prior advice is given, and that the AH will be specifically contacted if any additional breaches are identified, e.g. in the review process.

The aim of issuing a safety finding is to highlight process or system deficiencies, not to provide consultancy nor tell the AH what to do. It is the AH's responsibility to investigate and identify the root cause, then take corrective action to address the root cause(s).

However, the inspector should establish that the AH has a sound grasp of root cause analysis principles and assist them in the process while on the surveillance event when required.

Note: The surveillance team should consider providing the AH with a copy of the [Safety Finding Information Brochure](#) to provide guidance on responding to findings.

In addition, the AH must be advised that the surveillance report will be produced within a maximum of twenty (20) business days from the date of the exit meeting and, if there are any delays expected, they will be notified before this time.

Note: Any breach that **may pose a risk to air safety** that has not been explicitly discussed with the AH during the conduct of the surveillance event, but which is subsequently identified post-surveillance as part of the assessment of evidence or peer-review process, must be communicated to the AH prior to the issue of the surveillance report.

Recording notes/minutes

The surveillance team must record and save in RMS all matters of significance discussed during an exit meeting. Where matters of significance are identified, they must be appropriately recorded in the exit meeting minutes. (See the see [Annex 1](#) for section on further advice on note taking.)

Matters of significance could include:

- all surveillance findings discussed during the exit meeting
- non-availability of important organisation position holders or documentation during the surveillance event, which were brought to the notice of the AH
- any problems encountered during the surveillance, e.g. failure to supply documentation
- significant views expressed by the AH regarding the surveillance
- intended changes or improvement actions as a result of findings from the surveillance event

points of disagreement between CASA and the AH, from both points of view, must be recorded in the exit meeting minutes.

Where no issues were identified during an exit meeting, the minutes should state discussed – no issues raised or if applicable - not discussed. No agenda items should be left unaddressed on [Form 1296](#). Once amended resave in RMS.

4.5.13 Discontinuing a surveillance event

4.5.13.1 Process – discontinue surveillance event

Surveillance manager

1. Decides whether a surveillance event must be ceased or suspended in consultation with the surveillance team and advise the NMS of the action.

Surveillance team member

2. May discontinue a surveillance event in a threatening situation. Informs the surveillance lead, and surveillance manager of this action at the earliest opportunity.

4.5.13.2 Process details - discontinue surveillance event

The decision to discontinue a surveillance event must be made by the relevant SM after consulting with the surveillance team. However, in threatening situations, an individual inspector may cease or suspend a surveillance event at any time. In such an event, the surveillance lead, SM and NMS must be informed at the earliest opportunity.

Events that may prevent a surveillance continuing include:

- the safety of the surveillance team is at risk
- the objective of the surveillance becomes unattainable due to access limitations, hindrance, harassment or aggressive behaviour by the AH
- non-availability of the AH key staff, or in the event enforcement action is assessed as being more appropriate.

On return to the office the surveillance lead together with the surveillance team complete [Form 3836](#) - Aviation Event brief, to be forwarded to the SM and NMS.

4.5.14 Accountabilities - conduct surveillance event

Table 4: Position and accountabilities

Position	Accountabilities
Surveillance manager	<ul style="list-style-type: none"> • decide whether a surveillance event must be discontinued (in consultation with the surveillance team) • provide assistance and advice to the surveillance lead and surveillance team members • escalate issues, where required, to the National Manager Surveillance
Surveillance lead	<ul style="list-style-type: none"> • lead and assist the surveillance team • ensure all WH&S requirements listed in Form 1189 are accounted for • chair relevant briefings and meetings, while ensuring minutes are captured • escalate issues to the appropriate surveillance manager, if necessary • keep appropriate stakeholders progressively informed • ensure a start date is entered on sky sentinel once the event has commenced • manage the acquittal of all findings
Surveillance team member	<ul style="list-style-type: none"> • gather objective evidence to support surveillance findings • keep the surveillance lead and team informed
All	<ul style="list-style-type: none"> • ensure all correspondence and documentation is saved in RMS

4.6 Surveillance event reporting

4.6.1 Purpose

This section outlines the format of a standardised official record of an AH's surveillance. The report details the outcomes of the surveillance event and agreed actions to manage identified deficiencies (if any) and associated safety risks. Following the conduct of a surveillance event and review of evidence obtained on the assessed system elements, a copy of the surveillance report is provided to the AH to inform them of their current level of compliance and any identified findings. The section also outlines the process for the management of the report and any resultant identified actions.

4.6.2 References

The following materials are applicable to the surveillance event reporting:

Reports

Systems and Elements (refer to relevant CSM annex)

Forms (Available on the CASA Document Catalogue)

[CASA-04-0676](#) – Aircraft Survey Report (form 996) (See Note)
[CASA-04-0602](#) – Surveillance Event Summary of Findings (Form 1288)
[CASA-04-0606](#) – Surveillance Report Covering Letter (Form 1292)
[CASA-04-0611](#) – Safety Observation (Form 1298) *
[CASA-04-0612](#) – Safety Finding (Form 1299) *
[CASA-04-0614](#) – Safety Alert (Form 1300)*
[CASA-04-0616](#) – Surveillance Report (Form 1301) *– (See relevant technical annex)
[CASA-04-0619](#) – Surveillance Notification Letter (Form 1304) * (Optional for level 2)
[CASA-04-0621](#) – Surveillance Worksheet (Form 1308)*
[Surveillance Report Summary – Work Instruction – Standard Wording](#)
 Operational Check resources, e.g. approved worksheets.

*Generated in sky sentinel.

Note: [CASA-04-0676 - Form 996](#) is a paper based quadruplicate form. When these forms are used the paper form number is entered onto sky sentinel as the relating reference and a copy of the paper form is saved in RMS on the surveillance event and the aircraft registration file.

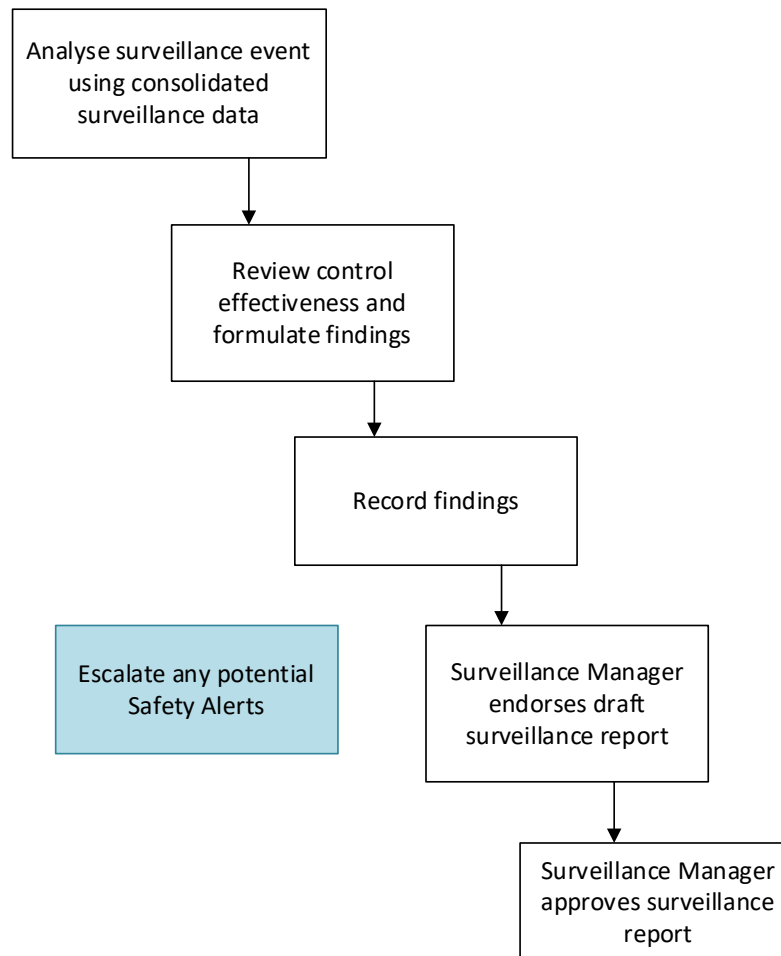


Figure 8: Developing a surveillance report

4.6.3 Reporting

The surveillance report provides an official record of the surveillance event, as well as information for CASA's own ongoing analysis and risk management. The role of the report is to give CASA enough information to be satisfied that an AH can either continue to operate in a safe and effective manner or is not operating safely and appropriate action should be taken. The report also provides context to the AH about any Findings.

The report should provide the reader with details on the dates and locations of when and where the surveillance event occurred, the reference documents used and viewed and the key people that were met with. This information is then held within sky sentinel and can provide CASA Management with the relevant AH information. The [Surveillance Report and Findings Work Instructions - Standard Wording](#) should be used when creating the report and any findings.

4.6.4 Surveillance report

The same surveillance report template is applied in developing reports for both a level 1 and level 2 surveillance event with any finding forming part of the surveillance report. A surveillance report executive summary template and associated guidance is available for specific surveillance event types. These templates are located within the [Surveillance Report and Findings Work Instruction – Standard Wording](#).

The maximum twenty-one (20) business day timeframe to produce and issue the report from the date of the exit meeting, as set out in the Surveillance Notification Letter [Form 1304](#), should only be extended in exceptional circumstances with the AH advised accordingly. The STO will monitor sky sentinel and prompt the surveillance lead to ensure the report is issued within twenty (20) business days. Sky sentinel does not have the functionality to be aware of public holidays or specific state holidays. Surveillance Teams should ensure they take these into account. A request from the SM to surveillance@casa.gov.au for an extension to cover the additional days can be enacted should the team believe they will not meet the deadline.

If a surveillance lead requires an extension to this timeframe, they must seek approval from the SM who may approve an extension up to a total of thirty (30) business days. The timeframe can only be extended beyond thirty (30) business days if approved by the NMS/BM and can only be extended for a maximum of (60) business days, with the AH kept informed accordingly and the extend selection undertaken against the report on sky sentinel with the new extension date.

If any extension to the timeframe is approved by the SM or NMS/BM, it must be recorded in the comments section of the relevant surveillance report page in Sky Sentinel and the approval email saved in RMS.

This reporting period also allows the surveillance team time to review overall surveillance event outcomes and decide whether to continue with the collaborative corrective action. Alternatively, if greater concern exists, e.g., repeated findings over previous surveillance events or significant breach(s) and an unwillingness to address the findings, the SM should consider initiating the Coordinated Enforcement Process (CEP) in accordance with section on Enforcement.

Notes: When preparing a surveillance report, it should be kept in mind that the report is a formal record of the AH's compliance. The AH and CASA may not only view this record, but also in courts and tribunals.

Construct the surveillance report from the bottom up to ensure all findings are reflected in the executive summary. A technical summary should not be completed. Use Form 1288.

All applicable fields should be completed within sky sentinel. This includes dates and locations of the surveillance event. For desktop events a location of "Remote" should be entered and will assist in reporting requirements. Key people - this should be all key people spoken to in the surveillance NOT ONLY key personnel. Reference documents that were used and viewed during the event (excluding CASA internal forms).

4.6.4.1 Process - develop and approve surveillance reports

Surveillance technical officer

1. Monitors sky sentinel and prompts the surveillance lead to ensure reports are issued within twenty (20) business days, allowing review time by the SM.

Surveillance lead

2. Discusses the overall performance of the surveillance with the surveillance team and obtains agreement from surveillance team members on the content of the surveillance report

Surveillance team member

3. Compiles surveillance data for their specific discipline area, including the applicable surveillance question worksheets or surveillance worksheet form ([Form 1308](#)), Findings and supporting evidence (safety findings, safety alerts, ASRs or safety observations must be included in the report via sky sentinel).
4. Drafts the surveillance event summary of findings ([Form 1288](#)), if applicable, comparing the current results with those from the previous surveillance to help identify system deficiencies for inclusion in the surveillance report.
5. Save evidence in RMS as per titling conventions.

Surveillance lead

6. Ensures all surveillance documentation is consolidated and, along with the surveillance report, information is entered into sky sentinel.
7. Ensures a formal comment has been entered in sky sentinel.
8. Ensures items not scoped are removed from sky sentinel by display of a double asterisk.
9. If required, ensure surveillance report is peer reviewed amongst the surveillance team.
10. Enters all surveillance report content directly into sky sentinel using a word version as a draft where necessary.
11. Ensures all tables are completed:(key people interviewed, dates and locations (remote - if desktop, documents used as standards and references (both AH documents with version and CASA references, excluding forms used in the surveillance event process)).
12. Submits report for review and approval.
13. Surveillance question worksheets for applicable parts are saved in RMS as Excel documents.

Note: Where available for the particular authorisation type, the [Surveillance Report Summary – Work Instruction – Standard Wording](#) is to be used to assist in drafting the surveillance report.

Note: Where the surveillance team that produced the surveillance report is not from the overseeing controlling office, the reviewing and approving managers from the relevant overseeing controlling office are responsible for approving the report.

Surveillance manager

1. Reviews the surveillance report, and any associated findings for quality and correctness to ensure it meets all requirements as outlined in this procedure.
2. Ensures safety findings have objective evidence correctly titled in RMS as per [Surveillance - RMS Titling Conventions](#).
3. When satisfied, marks the surveillance report as reviewed in sky sentinel, which then initiates the approval process.

Surveillance manager/Controlling office manager (COM)

4. Reviews the surveillance report, and any associated findings for clarity and conformity with CASA policies and procedures.
5. When satisfied, selects approved against the surveillance report as approved in sky sentinel, which generates a notification email to the surveillance lead and the STO that the report has been approved and is ready to be issued by the STO.

Surveillance technical officer

6. Ensures standards and policy are followed throughout the report, the style guide including grammar checks is followed and regulatory references are cross checked.

Note: Any proposed changes to findings are provided to issuing inspector, prior to amending the report.

7. Issues the surveillance report generated from sky sentinel.
8. Formats the surveillance report.
9. Confirm with the surveillance lead the email addressee/s if not already in the comments of the event
10. From the surveillance@casa.gov.au mailbox, distributes the surveillance report (PDF copy) to the AH with a covering e-mail using the surveillance report covering letter Form ([Form 1292](#)) as a template with all findings, if applicable, that have been raised as part of the surveillance event. A word version of the findings response template is also to be provided to the AH. The surveillance lead will be included in the email to the AH (by CC).
For Airservices events RegulatoryEngagement@AirservicesAustralia.com and CC current contact name, surveillance lead and TL
For Airworthiness and Engineering Branch current contact name, CC surveillance lead and BCC manager.
11. Saves the sent email in RMS.

Note: The report may be e-mailed to the AH, handed personally to the AH's accountable manager, or posted to the AH directly.

4.6.4.2 Process details - develop and approve surveillance reports

A surveillance report is used to succinctly capture information obtained during the surveillance and its analysis, which supports CASA's actions and future surveillance of an AH.

Inspectors must record findings made during the surveillance, evaluate the findings, and develop the report. This should include analysis of the AH's performance against legislation, and a review of control effectiveness during the surveillance event.

The purpose of CASA's surveillance report is not only to document the surveillance information in a logical manner, supported by facts, but also to enable decision-makers (i.e. the AH and CASA) to understand the deficiencies identified, besides allowing the AH to formulate appropriate action.

The surveillance report has a three-fold function:

- to direct the AH to address deficiencies and achieve legislative compliance
- to inform the AH of elevated safety risks and encourage the AH to act on the findings

- provide updated information to inform future assessments by the surveillance team

This includes:

- focusing future surveillance
- enforcement strategies to secure compliance
- highlighting areas to target surveillance and/or education.

Level 2 surveillance event reports are a reduced content version of a level 1 surveillance report. They should include analysis of the AH's performance against legislation. The surveillance report includes a summary and where, applicable, discipline summaries and a reference to findings. The report should be objective, clear and concise.

Note: For instructions on completing a surveillance report, see [Annex 1 – Surveillance Standards and Protocols](#) and the [Surveillance Report Summary – Work Instruction – Standard Wording](#).

4.6.5 Surveillance findings

A surveillance finding is used to highlight actual and/or potential breaches and may be issued as:

- safety alerts
- safety findings
- safety observations
- Aircraft Survey Reports (ASRs Code A, B or C).

The surveillance lead, or surveillance team member, who issues the finding, and who is subsequently responsible for managing that finding, is known as the Issuing inspector.

In line with procedural fairness principles, an AH retains the right to object to a finding by submitting supporting evidence for their objection. Once the objection has been considered by CASA, the objection is either upheld and the finding withdrawn, or the finding management process proceeds as normal. Safety finding evidence must be saved in RMS referencing the safety finding number.

Note: When conducting the post-surveillance review and analysis, if the surveillance team identifies repeated breaches of a similar nature from the review of previous surveillance events and the surveillance team is no longer satisfied that the AH is willing or able take remedial and corrective actions to address the breaches, the surveillance team, in conjunction with the surveillance manager must consider initiating the Coordinated Enforcement Process (CEP) in accordance with section on enforcement in the [Enforcement Manual](#).

Findings must not be issued to the AH at the exit meeting. Findings must be included in, and form part of the surveillance report associated with the event.

All findings must be peer reviewed by either an independent inspector with the relevant experience, or another surveillance team member (excluding those that participated on the event) when available with relevant experience to identify any potential systemic issues and ensure the requirements for the allocated finding are met, for example:

- is the finding at the appropriate level, i.e. safety observation, safety finding, ASR or safety alert?
- has the use of discretion and procedural fairness been applied in the decision-making process?

- is the finding formulated against the correct regulatory head of power for breach?
- has the regulatory reference been entered in the correct way - refer [Annex 1](#),
- does the finding clearly explain the deficiency identified?
- is there objective evidence recorded in RMS?

record the peer-review in the comments of the safety finding/s.

This peer-review process in no way questions the expertise of the inspector in identifying and issuing the finding, but rather constitutes a quality check to assure standardisation and consistency in the issuing of findings.

Note: Any finding can be deleted in sky sentinel, ensuring it is not displayed in the surveillance report. Typically, a finding would be deleted if it had been created in error, or if an incorrect finding type had been created. The issuing inspector must send a request via email detailing the reason for deletion to surveillance@casa.gov.au and the surveillance team will facilitate the deletion of the finding.

4.6.6 Safety alerts

4.6.6.1 Process - issuance and acquittal of safety alerts

Issuing inspector

1. Consults with the SM and the NMS on whether a safety alert should be issued.
2. Considers whether an Aircraft Survey Report (ASR) should be issued with the safety alert, i.e. a defect to an aircraft is found.

Issuing inspector, surveillance lead, SM and NMS

3. Discuss and categorise safety concerns and decide whether a safety alert should be issued with the NMS, particularly taking into account the discretionary scope allowed in the regulatory decision-making considerations set down in this manual (see section on – Key considerations for regulatory decision making).

National Manager Surveillance (NMS)

4. Advises LIRA manager that a safety alert is to be issued and associated details.

Issuing inspector

5. Creates a sky sentinel event
6. Compiles the safety alert using sky sentinel outputs. The safety alert [Form 1300](#) is available as a backup)
7. Before issue of safety alert ensures all evidence is saved in RMS
8. Issues the safety alert advising the AH to respond within five (5) calendar days detailing the remedial action taken.

Note: The safety alert notification includes advice that the alert takes immediate effect. However, in line with procedural fairness principles, CASA will consider any representation that the recipient makes as to whether the alert has been correctly issued. If it is subsequently decided the alert has not been correctly issued, CASA will withdraw the safety alert. During the time, any representation is being considered, restrictions on the operation of any aircraft involved or activity carried out that is subject to the breach, must stand.

9. Notifies the SM and the NMS when the safety alert is issued.

Note: If the issuing inspector is not able to establish communication to discuss the issuance of the safety alert with the NMS or the SM, and a serious safety concern continues to exist, the issuing inspector must issue the safety alert and make the appropriate notifications as soon as they are able.

National Manager Surveillance (NMS)

10. Notifies the EMROD when the safety alert is issued.
11. Initiates the CEP as set out in Chapter 4 of the Enforcement Manual via EICMS.
12. Notifies the Manager, Litigation, Investigations and Enforcement (for their information).

Surveillance lead

13. Provides support to the issuing inspector as required throughout the issuing process.

Surveillance technical officer

14. Monitors 5-day response timeframe and ensures the safety alert is entered on EAP.

Authorisation holder

15. Responds to the safety alert, detailing all actions taken.

Issuing inspector

16. Assesses the AH's response and, when satisfied, acquits the safety alert.
17. Notifies the SM and NMS that the safety alert has been acquitted.
18. Notifies the AH that the safety alert has been acquitted.

Note: If no response is received, refer immediately to the NMS to inform the coordinated enforcement process.

National Manager Surveillance (NMS)

19. Notifies the relevant EMROD and the Manager, Litigation, Investigations and Enforcement that the safety alert has been acquitted.

Note: A separate safety finding must also be issued with the surveillance report if a safety alert has been issued (as outlined in the section below). The process for dealing with the AH's response, assessment and acquittal of a safety alert, including the capture of all details in sky sentinel and on the relevant file (in RMS), is the same as that for a safety finding, see section on – Findings management.

4.6.6.2 Process details - issuance and acquittal of safety alerts

Safety alerts are issued as a result of surveillance in circumstances where it is assessed that the interests of safety will be best served by an immediate safety intervention with prompt rectification by the AH.

A safety alert must be issued as soon as possible to the person who is accountable for the AH and must be associated with a surveillance event when recorded in sky sentinel.

When a surveillance lead or inspector is considering issuing a safety alert, they must consult with the SM who consults with the NMS to assist in maintaining consistency in CASA's use of safety alerts and ensure all appropriate processes are followed. When the safety alert has been issued, the issuing inspector or surveillance lead must notify the SM who notifies NMS of

the action. The NMS advises the EMROD, initiates the CEP via EICMS, and notifies the Manager, Litigation, Investigations and Enforcement. This process is set out in the [Enforcement Manual](#). The CEP provides a forum for better informed decision-making and for discussing alternative options.

Notes: The positive safety-related benefits of a safety alert should be emphasised to the AH. It should be explained that a safety alert is a positive example of CASA working collaboratively to address an identified safety concern. When consulting with the AH on the matter, this safety intervention should be presented within a constructive context highlighting the comparative benefits of issuing a safety alert, rather than the alternative of taking serious and imminent risk, or other enforcement action. It should also be stressed that a safety alert is used when CASA is satisfied that the AH has shown a willingness to participate in the rectification of the safety concern.

For any queries in relation to this process, contact the Manager, Litigation, Investigations and Enforcement.

AH's must respond with remedial action to rectify the safety concern before continuing any activity relating to the safety alert. Any AH who refuses to provide a response must be considered for enforcement action.

Safety alerts must be supported by specific evidence to substantiate any future actions that may be required where an AH fails to respond or is unable to respond immediately to all concerns generated in a safety alert. A safety alert must also provide sufficient details for the AH to take appropriate remedial actions. The surveillance lead must make it clear to the recipient of the safety alert that immediate action to rectify the deficiency must be taken before continuing any activity conducted under the authorisation that is the subject of the deficiency.

The following is a non-exhaustive list of examples where a safety alert can be issued:

- runway surface contaminated, rendering it unsafe for any operations
- operating aircraft in contravention of an applicable Airworthiness Directive or approved system of maintenance, including scheduled maintenance not conducted by a due date, or failure to replace time-expired aircraft components
- fire station operating with insufficient supervising officers to safely maintain the level of service
- maintenance certified by persons without appropriate licences or certificates of approval
- repeated non-compliance with authorised design data for production of aircraft and/or aeronautical products
- use of unapproved parts
- flight crew operating without holding valid licences or appropriate type endorsements or ratings
- falsification of aircraft time-in-service records, or flight crew records
- carriage of cargo aircraft only dangerous goods on a passenger aircraft.

Once the issuing inspector is satisfied that the AH has undertaken the required immediate remedial action to rectify the identified safety concern, the safety alert can be acquitted, and notification made to the relevant CASA staff advising that this has occurred.

Under normal circumstances, the surveillance team member who initially identified the breach is the author of the safety alert (issuing inspector) and is also responsible for the acquittal process.

Note: A separate safety finding is also issued in relation to the breach and is issued with the surveillance report. While a safety alert is issued to raise immediate safety concerns, a separate safety finding is used so that the AH can respond to the root cause analysis and address necessary corrective action. The process to be followed in issuing and managing the subsequent safety finding is the same as that for managing all findings. Refer to CSM section on – Findings management.

4.6.7 Safety findings

4.6.7.1 Process - writing safety findings

Issuing inspector

1. Determines the type of finding based on the nature of the issue, e.g., a safety finding may be raised for a breach of any civil aviation legislation however section on key considerations for regulatory decision making should be taken into consideration in the decision-making process
2. Formulates findings using the Safety Finding [Form 1299](#) in sky sentinel, providing sufficient detail to support any possible subsequent enforcement action.
3. Documents the legislative provision that has been breached (excluding the penalty units, strict liability reference or the breach of conditions).

Note: If the breach relates to a Civil Aviation Order (CAO) or a Manual of Standards (MOS), the safety finding must reference the CAO or MOS, as well as the overarching legislation to which the CAO or MOS is linked. The CAO or MOS reference must be cited for the purpose of clarification, and the relevant section of the Act or regulation must be cited as evidence of the actual breach. If uncertain about the appropriate head of power, the inspector should contact LIRA branch.

An independent inspector or an inspector that did not participate in the surveillance event with the relevant experience: Peer reviews all Findings to ensure they meet the safety finding requirements prior to issue.

Note: Any proposed amendment to a safety finding requires notification to, and agreement by, the issuing inspector.

If it is determined a safety alert is necessary, follow procedures as detailed in section on – Safety Alerts.

Surveillance manager: Takes appropriate action to ensure that standardisation and consistency is maintained for quality and correctness exercising the discretion allowed as part of the regulatory decision-making considerations set down in this manual (see section on – Key considerations for regulatory decision making).

Surveillance lead or surveillance team member

1. Ensures all documentation is appropriately filed in RMS.
2. Ensures the controlling office conducts data entry.

Note: To delete a safety finding prior to the report approval email surveillance@casa.gov.au providing justification for deletion.

4.6.7.2 Process details - writing safety findings

A safety finding is issued to an AH to give written notice of a breach and must be responded to by the AH within twenty-one (21) calendar days (see section on – Assessment of response).

Safety findings may be issued where, as a result of surveillance, a regulatory breach has been detected. A safety finding must be peer reviewed prior to issue in order to ensure it meets the requirements for a safety finding.

Where an immediate safety concern is raised, a safety finding is issued in conjunction with a safety alert and/or an ASR. Safety findings must be associated with a surveillance event when recorded in sky sentinel and are issued to the AH with the relevant surveillance report.

While a safety finding is provided primarily as a notification of a breach, it will generally be issued in circumstances where CASA is satisfied that the AH has the willingness and the ability to take remedial and corrective action to address the breach. Where CASA is no longer satisfied that the AH is willing or able to do so (for example, as shown by repeated breaches of the same type, or where additional or new information indicates further safety issues), a safety finding will still be issued, and the matter must also be referred, for coordinated enforcement in accordance with section 6.

If a safety finding is issued to an AH, the safety finding must be raised against the legal entity holding the authorisation.

All safety findings must be supported by evidence with adequate detail of the process or system deficiencies, or their inappropriate use, and which resulted in the safety finding. This evidence must be saved in RMS and titled accordingly. Refer, [Surveillance - RMS Titling Conventions](#)

All safety findings must document the legislative provision that has been breached (head of power). Safety findings must not be issued against advisory material, which includes, but is not limited to:

- Civil Aviation Advisory Publications (CAAP)
- Advisory Circulars (AC)
- Guidance Material (GM)
- policy documents and manuals
- Acceptable Means of Compliance (AMC).

While inspectors should make every effort to consolidate safety findings as appropriate, grouping breaches within the one safety finding where possible, the detail captured in the detail of deficiency must be sufficiently granular to capture all aspects of the breach.

Note: If a breach relates to a Civil Aviation Order (CAO) or a Manual of Standards (MOS), the safety finding must reference the CAO or MOS, as well as the overarching legislation to which the CAO or MOS is linked. The CAO or MOS reference must be cited for the purpose of clarification, and the relevant section of the Act or regulation must be cited as evidence of the actual breach.

If uncertain about the appropriate head of power, the inspector should discuss this with their SM and if there is any uncertainty contact LIRA branch.

The aim of issuing a safety finding is to highlight process or system deficiencies, not to provide consultancy nor tell the AH what to do. It is the AH's responsibility to investigate and identify the root cause, then take corrective action to address the root cause(s).

While the responsibility for conducting root cause analysis on documented findings rests with the AH, the issuing inspector should form a view regarding the root cause so that, when assessing the response from the AH, the inspector can ensure the AH has focused on the most appropriate area to rectify the true cause of the non-compliance.

The response to a safety finding can either take the form of an objection to the safety finding with supporting evidence, or the provision of details of remedial, root cause and corrective action taken in returning to a compliant state. If the objection is accepted by CASA, the safety finding is withdrawn. If an objection is accepted by CASA and requires a change to the original regulatory reference that was placed against the safety finding, the safety finding is withdrawn from the original surveillance event and a new level 2 Desktop Review event must be created with the addition of the new safety finding and reference.

If an AH has not objected to the safety finding, or if the objection has not been accepted, they are required to provide a response to CASA regarding the remedial and corrective actions taken for each safety finding. Those that fail to provide such a response should be considered for referral for coordinated enforcement. Consequently, it is important to write a safety finding with sufficient detail to support enforcement action.

The information capture protocols for findings section in CSM - [Annex 1](#), describes the requirements for recording a safety finding.

Self-reported deficiencies

At any time throughout the course of the surveillance cycle, a deficiency may come to CASA's attention as result of the AH's self-auditing or continuous improvement processes. The process for dealing with self-reported deficiencies is detailed in section on – Self-reported deficiencies.

Note: Under normal circumstances, the surveillance team member who initially identified the breach is the author of the safety finding (issuing inspector) and is also responsible for the acquittal process. If the surveillance manager issues the safety finding, appropriate action needs to be taken to ensure standardisation and consistency is maintained through peer review.

4.6.8 Safety observations

4.6.8.1 Process - safety observations

Issuing inspector

Determines the type of finding based on the nature of the issue, e.g. a safety observation is used to advise an authorisation holder:

- of latent conditions resulting in system deficiencies which do not constitute a breach, but have the potential to result in a breach if not addressed; or
- to put in place measures to mitigate potential regulatory breaches and risks to aviation safety.

Formulates the finding using the Safety Observation [Form 1298](#) in sky sentinel

Surveillance team member, relevant experienced inspector

Peer reviews the safety observation prior to issue to ensure it meets the requirements for a safety observation.

Note: Any proposed amendment to a safety observation requires notification to, and agreement by, the issuing inspector.

Surveillance manager

1. Takes appropriate action to ensure that standardisation and consistency is maintained.

Surveillance lead or surveillance team member:

2. Where the office issuing the finding is not the responsible controlling office, ensures the responsible controlling office can access all documentation via Sky Sentinel for review by the controlling office SM.
3. Ensure all documentation is appropriately filed in RMS.
4. Ensure the controlling office conducts data entry.

4.6.8.2 Process details - safety observations

A safety observation is used to provide an AH with written notice of the following:

- of latent conditions resulting in system deficiencies that, while not constituting a legislative or procedural breach, have the potential to result in a breach if not addressed; or
- identified latent conditions resulting in system deficiencies that, while not constituting a breach, have the potential to result in a breach if not addressed; or
- to put in place measures to mitigate potential regulatory breaches and risks to aviation safety.

The safety observation must indicate the identified latent conditions that the issuing inspector believes has resulted in a system deficiency.

A safety observation must be peer reviewed by a member of the surveillance team, a relevantly experienced inspector or the surveillance team, prior to issue to ensure it meets the requirements for a safety observation.

The aim of issuing a safety observation is not to provide consultancy or tell the AH what to do. It is always the AH's responsibility to investigate and identify the appropriate means to address potential improvements to safety performance. In identifying any opportunity for improving safety performance, the issuing inspector must do so without providing a specific solution.

While an AH is not obligated to respond formally to a safety observation, the way in which an AH manages safety observations provides an indication of the level of maturity of their management system.

All safety observations must be associated with a surveillance event and recorded in sky sentinel. Safety observations are issued to the AH with the relevant surveillance report.

Under normal circumstances, the surveillance team member who initially made the observation is the author of the safety observation (issuing inspector) and also responsible for recording any associated responses, or any other relevant interactions with the AH.

4.6.9 Aircraft Survey Report

4.6.9.1 Process - issuance and acquittal of Code 'A' ASR's

Issuing Inspector

1. Identifies what is believed to be a serious safety-of-flight defect in an aircraft, and the Issuing inspector can verify the aircraft's airworthiness status is such that rectification must be conducted prior to further flight.
2. Immediately contacts the surveillance lead and SM who then contacts the NMS to alert them of the potential identification of a Code A ASR.

Issuing inspector, surveillance lead, surveillance manager and National Manager Surveillance

3. Discuss and categorise safety concerns and decide whether a Code A ASR should be issued with the surveillance manager and NMS particularly taking into account the discretionary scope allowed in the regulatory decision-making considerations set down in this manual (see section on – Key considerations for regulatory decision making).

Issuing inspector

4. Drafts the Code A ASR using the sky sentinel ASR [Form 996](#). Output on the event. Or uses the quadruplicate paper form.

Note: Code A ASRs must be recorded individually on separate forms to Code B and/or Code C ASR items.

If the ASR is recorded on-site using a hardcopy, the ASR must then be recorded in sky sentinel using the same ASR number as printed on the hardcopy form.

Issues the Code A ASR to the registered operator and AOC holder if applicable and the person who has control of aircraft at the time of issue. When issuing the Code A ASR, the issuing inspector must ensure the registered operator clearly understands and acknowledges the details and implications of a Code A ASR direction.

Note: Code A ASRs are legal directions and can only be issued by CASA officers holding the appropriate delegated authority under CASR 11.245.

5. Notifies the SM, surveillance@casa.gov.au and surveillance lead when the Code A ASR is issued.
6. Determines whether the AH (AOC holder / AMO) has contributed to the non-compliance and, if so, raises a safety finding against the AH.

Surveillance Technical Officer

7. On receipt of the Code A ASR – add an alert on the VH on EAP referencing the ASR. The ASR should also be attached alternatively within to both the RMS aircraft file and the registered owner's file.

Note: In the unlikely event that the issuing inspector is not able to establish communication to discuss the issuance of the Code A ASR with the NMS or the SM, and a serious safety concern continues to exist, the issuing inspector must issue the Code A ASR and make the appropriate notifications as soon as possible.

Registered operator

8. Receives the Code A ASR.
9. Immediately ceases operation of the aircraft, if directed.
10. Considers available options and either:
 - a. Accepts the finding or
 - b. Objects with supporting evidence. See process below.

Notification for information only

National Manager Surveillance

11. Notifies the manager LIRA and the EMROD, of the action being taken. Also notifies the EMROD if required if the directive relates to a Class A aircraft or an aircraft used in Air Transport Operations under CASR Parts 121, 133 and 135.

Note: The EMROD should use their discretion as to whether the matter warrants escalation to the CEO / DAS and advises accordingly.

If the Code A ASR is accepted by registered operator

Registered operator

1. Completes rectification of the defect within a self-determined timeframe that is achievable and suitable.
2. Responds to the Code A ASR within twenty-one (21) calendar days by advising details of the rectification work undertaken, or by providing an action plan to address the defect.

Issuing inspector

3. If the issuing inspector is unsure or a problematic response is received, a peer review of the response should be sought in liaison with the surveillance manager.
4. If necessary, continues to liaise with the registered operator until satisfied.

Note: If the registered operator is repeatedly unable or unwilling to provide an adequate response, or they are not willing to address the defect, the CEP must be initiated IAW section on enforcement with the NMS approval via EICMS.

5. Acquits the Code A ASR by recording the acquittal date and noting associated evidence in sky sentinel.
6. Advises surveillance@casa.gov.au that the Code A ASR has been acquitted
7. Notifies the surveillance manager and NMS that the Code 'A' ASR has been acquitted.

Surveillance Technical Officer

8. Formally advises the registered operator that the Code A ASR has been acquitted. End the Alert date on EAP.

If Code A ASR is objected to by registered operator

Note: See section on response/objection received for further details

Issuing inspector

9. Receives registered operator's objection with supporting evidence.
10. Refers objection and supporting evidence to SM with any pertinent background information.

Surveillance manager

11. Considers the objection and supporting evidence put forward and either:
 - a. Upholds the objection with the Code A ASR withdrawn by CASA, or
 - b. The Code A ASR proceeds.
12. Notifies issuing inspector of decision.

If objection to Code A ASR is accepted**Issuing inspector**

1. Notifies the registered operator of acceptance of objection.
2. Note withdrawal of Code A ASR in sky sentinel accordingly (see section on – Managing objections to findings).
3. Formally advises the registered operator that the Code A ASR has been withdrawn.
4. Considers, if necessary, the issue of a Code B or Code C ASR
5. Advises surveillance@casa.gov.au to remove the Alert on EAP.

Note: The Inspector should consider the effect on any associated safety findings.

Surveillance Technical Officer

1. Removes the alert from the VH on EAP and ensure all documentation is in RMS.

If objection to Code A ASR is NOT accepted,**Issuing inspector**

1. Notifies the registered operator of non-acceptance of objection and confirms the need for immediate cessation of operation of the aircraft - if directed, and obligation to provide recipient's response within 21 calendar days from the date of issue.

Registered operator

2. Completes rectification of the defect within the newly specified timeframe (up to twenty-one (21) calendar days).
3. Responds to the Code A ASR advising of rectification work that has been undertaken, or by providing an action plan to address the defect.

Issuing inspector

4. Assesses the registered operator's response.
5. If necessary, continues to liaise with the registered operator until satisfied.

Notes: If the registered operator is repeatedly unable or unwilling to provide an adequate response, or they are not willing to address the defect, the CEP must be initiated IAW section on enforcement.

The ASR must also be attached 'alternatively within' both the RMS Aircraft file and the registered operator's file.

6. When satisfied acquits the Code A ASR by recording acquittal and noting evidence in sky sentinel and RMS by using the edit function against the ASR in sky sentinel.
7. Formally advises the registered operator that the Code A ASR has been acquitted.

After Acquittal of Code A ASR

Surveillance manager

1. In consultation with the NMS, decides whether the EMROD should be advised of acquittal and actions accordingly.
2. Takes appropriate action to ensure that standardisation and consistency is maintained in what the ASR has been created for.

Surveillance lead or surveillance team member

3. Ensures all documentation is appropriately filed in RMS.
4. Ensures the data entry is conducted in sky sentinel and EAP in consultation with the STO.

Notes: A separate safety finding must also be issued with the surveillance report if a Code A ASR has been issued for a deficiency related to a potential systemic failure, and where there is a benefit to aviation safety through the identification of the root cause of the deficiency (as outlined in the section below).

For ASRs raised by an inspector from an office other than the overseeing controlling office, reviewers/approvers from the overseeing controlling office can access all relevant surveillance documents in sky sentinel.

While the issuing inspector is responsible for acquitting the ASR, the SM is responsible for the approval and management of the ASR.

4.6.9.2 Process - issuance and acquittal of Code B or Code C ASR's

Issuing inspector

1. Identifies an aircraft defect.
2. Determines the level of finding based on the deficiencies identified following the survey of an aircraft and/or its associated records.
3. Drafts the Code B or Code C ASR using ASR Form (Form 996) in sky sentinel or, if issued on site, using a hardcopy form.
4. Issues the Code B or Code C ASR to the registered operator, AOC holder and/or person in control of aircraft.
5. Advises surveillance@casa.gov.au to ensure that an alert is placed against the VH on EAP.
6. Determines whether the AH (AOC holder / AMO) has contributed to the non-compliance and, if so, raises a safety finding against the AH in addition to the ASR issued to the registered operator.

Notes: Code B ASRs is legal directions and can only be issued by CASA officers holding the appropriate delegated authority.

ASRs issued on site (on quadruplicate paper forms) must still be recorded in sky sentinel on return to the office referencing the paper form prepopulated number.

Surveillance Technical Officer

7. On receipt of the Code B or Code C ASR – add an alert on the VH on EAP referencing the ASR. The ASR should also be attached alternatively within to both the RMS aircraft file and the registered owner's file.

Registered operator

1. Receives Code B or Code C ASR and acknowledges receipt of the direction

Note: If neither Code B nor Code C ASR are issued on-site as a hard copy, this acknowledgement should be made by return e-mail.

2. Considers available options and either:
 - a. Accepts the Finding, or
 - b. Objects to the Code B or Code C ASR with supporting evidence.

If Code B or Code C ASR is accepted by registered operator

Registered operator

1. Completes rectification of the defect or outstanding regulatory requirement, depending on the circumstances within a self-determined timeframe that is achievable and suitable.
2. Responds to the Code B or Code C ASR within twenty-one (21) days by advising of rectification work that has been undertaken, or by providing an action plan to address the defect.

Issuing inspector

3. Monitors the ASR to ensure that a response is received by the due date
4. If no response is received by the due, contact the RO to establish when the RO intends to respond to the ASR and update the ASR comments in sky sentinel
5. Assesses the registered operator's response.
6. If necessary, continues to liaise with the registered operator until satisfied.

Note: If the registered operator is repeatedly unable or unwilling to provide an adequate response, or they are not willing to address the defect, the CEP may be initiated with the NMS approval in accordance with section on enforcement.

7. Acquits the Code B or Code C ASR by recording acquittal and noting evidence in RMS and sky sentinel by using the edit function against the ASR.

Surveillance Technical Officer

8. Formally advises the registered operator that the Code B or Code C ASR has been acquitted.
9. Removes the alert from the VH on EAP and ensure all documentation is in RMS.

If Code B or Code C ASR is objected to by registered operator

Issuing inspector

1. Receives registered operator's objection with supporting evidence.
2. Refers objection and supporting evidence to SM with any pertinent background information.

Surveillance manager

3. Considers the objection and supporting evidence put forward and either:
 - a. Upholds the objection with the Code B or Code C ASR withdrawn by CASA or
 - b. The Code B or Code C ASR proceeds
4. Notifies Issuing inspector of decision.

If objection to Code B or Code C ASR is accepted**Issuing inspector**

1. Notifies the registered operator of acceptance of objection.
2. Note the withdrawal of Code B or Code C ASR in sky sentinel accordingly (see section on – Managing objections to Findings).
3. Formally advises the registered operator that the Code B or Code C ASR has been withdrawn.
4. Advises surveillance@casa.gov.au to remove the alert on EAP.

Note: The inspector should consider the effect on any associated safety findings.

If objection to Code B or Code C ASR is NOT accepted**Issuing inspector**

1. Notifies the registered operator of non-acceptance of objection and reaffirms requirements associated with the initial issue of the ASR, and obligation to provide recipient's response within twenty-one (21) calendar days from the date of issue.

Registered operator

2. Completes rectification of the defect within the newly specified timeframe (up to twenty-one (21) calendar days).
3. Responds to the ASR advising of rectification work that has been undertaken, or by providing an action plan to address the defect.

Issuing inspector

4. Assesses the registered operator's response.
5. If necessary, continues to liaise with the registered operator until satisfied.

Note: If the registered operator is repeatedly unable or unwilling to provide an adequate response, or they are not willing to address the defect, the CEP may be initiated with the NMS approval in accordance with section on enforcement.

6. When satisfied, acquits the ASR by recording acquittal and noting evidence in sky sentinel.
7. Formally advises the registered operator that the ASR has been acquitted.

After Acquittal of Code B or Code C ASR**Surveillance manager**

1. Takes appropriate action to ensure that standardisation and consistency is maintained.

Surveillance lead or surveillance team member

2. Ensures all documentation is appropriately filed in RMS.
3. Ensures the data entry is conducted in sky sentinel and EAP in consultation with the STO.

IMPORTANT

Code B ASRs are issued for identified defects or damage that may affect the airworthiness of the aircraft with the potential requirement for an endorsement in the maintenance release under CAR 50. While a Code B ASR does not explicitly require rectification prior to further flight, the aircraft could effectively be grounded until the defect is assessed. In such circumstances, the internal notification instructions required for a Code A ASR (under heading Notification for information only) must be applied.

Notes: The issuing inspector is responsible for acquitting the ASR

Where possible, the inclusion of photographs to support the observed defect should form part of the ASR direction. Note that Sky Sentinel does not have the capability to capture and store photos accordingly, all relevant photographs are required to be appropriately titled and stored in RMS.

A separate safety finding may also be issued with the surveillance report if a Code B or Code C ASR has been issued for a deficiency related to a potential systemic failure, and where there is a benefit to aviation safety through the identification of the root cause of the deficiency.

For ASRs raised by an inspector from an office other than the overseeing controlling office, reviewers/approvers from the overseeing controlling office can access all relevant surveillance documents in sky sentinel.

4.6.9.3 Process detail - issuance and acquittal of ASR's

ASRs are only issued to the registered operator of the aircraft (see CASR 47.100) who may or may not be the AH operating the aircraft at the time the ASR is issued. The ASR notifies the registered operator of any airworthiness deficiencies identified following the survey of an aircraft and/or its associated records.

Typically, an ASR is issued to the registered operator with an associated surveillance report if the ASR is raised as part of a scheduled surveillance event. However, if the ASR is issued on-site as part of an unscheduled event, e.g., ramp check, the surveillance report does not need to be forwarded to the registered operator unless it is considered necessary.

Notes: While a surveillance report may not be forwarded to the registered operator, a surveillance event must still be created, and a surveillance report generated in sky sentinel with the summary details recorded in the executive summary section of the report.

The ASR ([Form 996](#)) can be downloaded from CASA's intranet or generated from sky sentinel. If the ASR is recorded in a hardcopy format the ASR must still be entered into sky sentinel.

ASRs are used to give a direction to a person to do something, pursuant to CASR 11.245 (Code A and Code B), or a formal notification relating to a non-compliance of an aircraft or its maintenance documentation. Copies of ASRs are kept in the aircraft RMS file in each relevant controlling office and in the relevant AH's RMS file.

Careful consideration must be given to the code applied. Detailed descriptions of ASR codes are provided in [Annex 1](#) (see section on – ASR Codes).

ASRs may be accompanied by a safety finding where there is a particular breach. If the AH (AOC holder / AMO) can be identified as contributing to the non-compliance, a safety finding must also be raised on that AH to ensure appropriate remedial and corrective action is taken. The issue of an ASR does not affect CASA's prerogative to take, at any time, such regulatory or other legal action as may be appropriate in the circumstances.

All ASRs must be recorded in sky sentinel and must be associated with a surveillance event.

If a hardcopy ASR is issued on site and the hardcopy form has a number annotated in the top right-hand corner, this number must be entered into sky sentinel as the reference of the ASR issued on-site and must be the same as the ASR number recorded in sky sentinel. If the issued hardcopy form does not show an annotated number, sky sentinel will automatically generate a discrete number when it is entered in the system.

On return to the CASA office the STO is advised of the issuance of an ASR and the details and will add a file note to EAP against the VH mark. A scanned copy of the issued ASR will also be alternatively within both the RMS aircraft file and the registered owner's file.

Acquittal of ASRs

All ASRs with the exception of Code C must be responded to by the registered operator with the response recorded in the comments field against the relevant ASR in sky sentinel. If a problematic response is received or there doubt as to the response, a peer review of the response should be sought in liaison with the surveillance manager. All ASRs must be acquitted with appropriate evidence recorded in sky sentinel.

Acquittal of all ASRs requires a registered operator to advise CASA within twenty-one (21) calendar days of the action taken or being taken to address the identified defect(s).

Under normal circumstances, the issuing inspector who initially identified the breach is the author of the ASR and also responsible for the acquittal process.

Physical verification of ASRs prior to acquittal is not generally required unless the Issuing Inspector has reason to believe verification is necessary.

Under normal circumstances, the inspector who initially issued the ASR is responsible for the acquittal process. The SM must select an alternative inspector who will take responsibility for verifying action taken and the acquittal process if the issuing inspector is unavailable.

Use the edit function on the ASR in sky sentinel to acquit.

Timeframes

Code A ASRs: Requires prior to further flight action to be taken, effectively grounding the aircraft until the defect or damage is rectified and the registered operator has notified the issuing inspector. No specific timeframe is set by CASA for completion of the defect rectification. The timeframe is self-determined by the registered operator and is dependent on what is achievable and suitable on a case-by-case basis. However, the registered operator must respond within twenty-one (21) calendar days, advising details of the rectification work undertaken or by providing an action plan to address the defect.

Code B and Code C ASRs: The registered operator should respond within twenty-one (21) calendar days, indicating the rectification action undertaken. Once the response is received and the inspector is satisfied the required action has been completed, the issuing inspector can acquit the ASR in sky sentinel and notify the registered operator.

The ASR is then acquitted in sky sentinel using the edit function on the deficiency line.

ASR example defects

CODE A

engine not making take-off power as specified in data, i.e. flight manual/maintenance manual
structural component has a visible crack, such as propeller, lift strut, undercarriage leg
damage sustained that may affect the structural integrity of the aircraft
required equipment specified in CASR 91.095 or the flight manual is damaged or missing, e.g. airspeed indicator damaged or missing.

CODE B

fuel leak is identified; however, further investigation may determine the fuel leak is within allowable limits
aircraft returned to service as an IFR aircraft, but equipment later found to be unserviceable. In this circumstance, the Inspector recognises the aircraft could continue to be operated VFR with the equipment defective; however, with rectification, it could return to IFR operation.

CODE C

Code C items may include any equipment referred to in:

- the CASRs
- the MOS
- the CARs
- the CAOs
- a company maintenance requirement
- the type certification documents
- the applicable maintenance requirements.
- a direction issued pursuant to CAR 38(1) i.e. airworthiness directives (ADs) or a previous ASR.

Note: For further information on ASRs see [Annex 1](#) to the CASA Surveillance Manual.

Reissue of an ASR after 365 calendar days pursuant to 11.250 of the CASR 1998

Code A and Code B ASRs are directions issued by CASA under reg. 11.245 of CASR 1998. Relevantly, reg. 11.250 specifies the following period of effect of any direction issued under reg. 11.245.

11.250 Period of effect of direction

A direction under regulation 11.245 ceases to be in force:

- if it specifies a day on which it ceases to be in force - on the specified day; or
- if it does not specify a day for that purpose - 1 year after the day it commences.

Although in most instances' satisfactory acquittal of Code A and Code B ASRs would have taken place within a 1-year period from date of issue, circumstances may dictate otherwise - such as long-term maintenance of the aircraft, or storage associated with inactivity. In those instances' consideration as to the need to either reissue a new ASR for a further period of time, or for other action to take place that may be deemed necessary, such as suspension or cancellation of the aircraft certificate of airworthiness. The surveillance manager of the oversighting office of the aircraft shall be responsible for making such determination in

consultation with the NMS. This may also involve input from the inspector who issued the ASR, if considered necessary. If the requirement is to issue another ASR, the process should be repeated.

4.6.10 Accountabilities - surveillance event reporting

Table 5: Position and accountabilities

Position	Accountabilities
National manager surveillance (NMS)/Branch Manager	<ul style="list-style-type: none"> • Notify the relevant EMROD of any safety alerts and subsequent acquittal • Discuss and categorise safety concerns relating to an AH to decide whether a safety alert or Code A ASRs should be issued exercising the discretion allowed as part of the regulatory decision-making considerations set down in this manual • Notify the Manager, Litigation, Investigations and Enforcement of any safety alerts and subsequent acquittal • Approve matters for referral to coordinated enforcement as necessary within the requirements of this manual • Approve extensions to the timeframe for providing the surveillance report beyond thirty (30) business days.
Surveillance manager (SM)	<ul style="list-style-type: none"> • Approve Surveillance Reports and associated findings • Ensure surveillance reports are issued within the required twenty (20) business days within the requirements of this manual • Refer matters to the NMS for coordinated enforcement as necessary within the requirements of this manual • Ensure standardisation and consistency of surveillance reports and findings for quality and correctness while meeting all procedural requirements, exercising the discretion allowed as part of the regulatory decision-making considerations set down in this manual • Discuss and categorise safety concerns to decide whether safety alerts or Code A ASRs should be issued, exercising the discretion allowed as part of the regulatory decision-making considerations set down in this manual • Approve extensions to the timeframe for providing the surveillance report beyond twenty (20) business days up to thirty (30) business days.

Position	Accountabilities
Surveillance lead	<ul style="list-style-type: none"> • Consolidate surveillance information • Review findings, or ensure such reviews are completed to ensure findings meet requirements for quality and consistency prior to issue • Ensure production of the surveillance report and associated findings is to standards and in line with instructions in this manual • Ensure the surveillance report is distributed by the STO to the AH within the stipulated twenty (20) business day timeframe • Discuss and categorise safety concerns to decide whether safety alerts or Code A ASRs should be issued • Provide support to Issuing Inspector as required throughout the findings issuing process • Ensure all relevant documentation is appropriately filed in RMS. • Manage acquittal of findings.
Issuing inspector	<ul style="list-style-type: none"> • Consult with SM on whether safety alerts should be issued • Raise findings • Issue the safety alert advising the AH to respond within five (5) calendar days, detailing the immediate remedial action to be taken • Notify the SM of safety alert issue and subsequent acquittal • Ensure all relevant documentation is appropriately filed in RMS.
Surveillance team member	<ul style="list-style-type: none"> • Collate and pass all relevant surveillance information to the surveillance lead • Peer-review findings to ensure they meet requirements prior to issue • Assist in compiling and reviewing the surveillance report, including discipline summaries if relevant • Enter report data into sky sentinel • Ensure all relevant documentation is appropriately filed in RMS. If relevant, as a team, analyse all surveillance event evidence
Surveillance Technical Officer (STO)	<ul style="list-style-type: none"> • Monitors sky sentinel and reminds the surveillance lead to ensure reports are issued within twenty (20) business days. • Formats the surveillance report • Distributes the surveillance report, using the centralised surveillance mailbox, to the AH with a covering e-mail • Ensure all relevant documentation is appropriately filed in RMS.

4.7 Response to findings - update system information

4.7.1 Purpose

This section has three areas – information retrieval, response to findings and finalisation. As discussed in section on – Surveillance Phases, the update system Information section is the point at which the process loops back in its continuum. This section provides direction on collecting relevant information based on its importance, relevance, completeness, quality and

verifiability, and the finalisation phase where the surveillance event is completed in a timely and effective manner, including the management of surveillance findings.

4.7.2 References

The following materials are applicable to the update system information – finalisation phase

Reports

Systems and Elements (refer to relevant technical annex)

Forms (Available on the Document Catalogue)

- [CASA-04-0605](#) – Further Evidence Requested Letter (Form 1291)*
- [CASA-04-0617](#) – Safety Finding Overdue Letter (Form 1302)*
- [CASA-04-0618](#) – Safety Finding Acquittal Letter (Form 1303)*
- [CASA-04-0637](#) – Safety Finding Extension Acceptance Letter (Form 1455)*
- [CASA-04-0638](#) – Safety Finding Extension Rejection Letter (Form 1456)
- [CASA-04-3001](#) – Safety Finding Response to Objection Letter (Form 1543)

*Generated in Sky Sentinel

4.7.3 Process

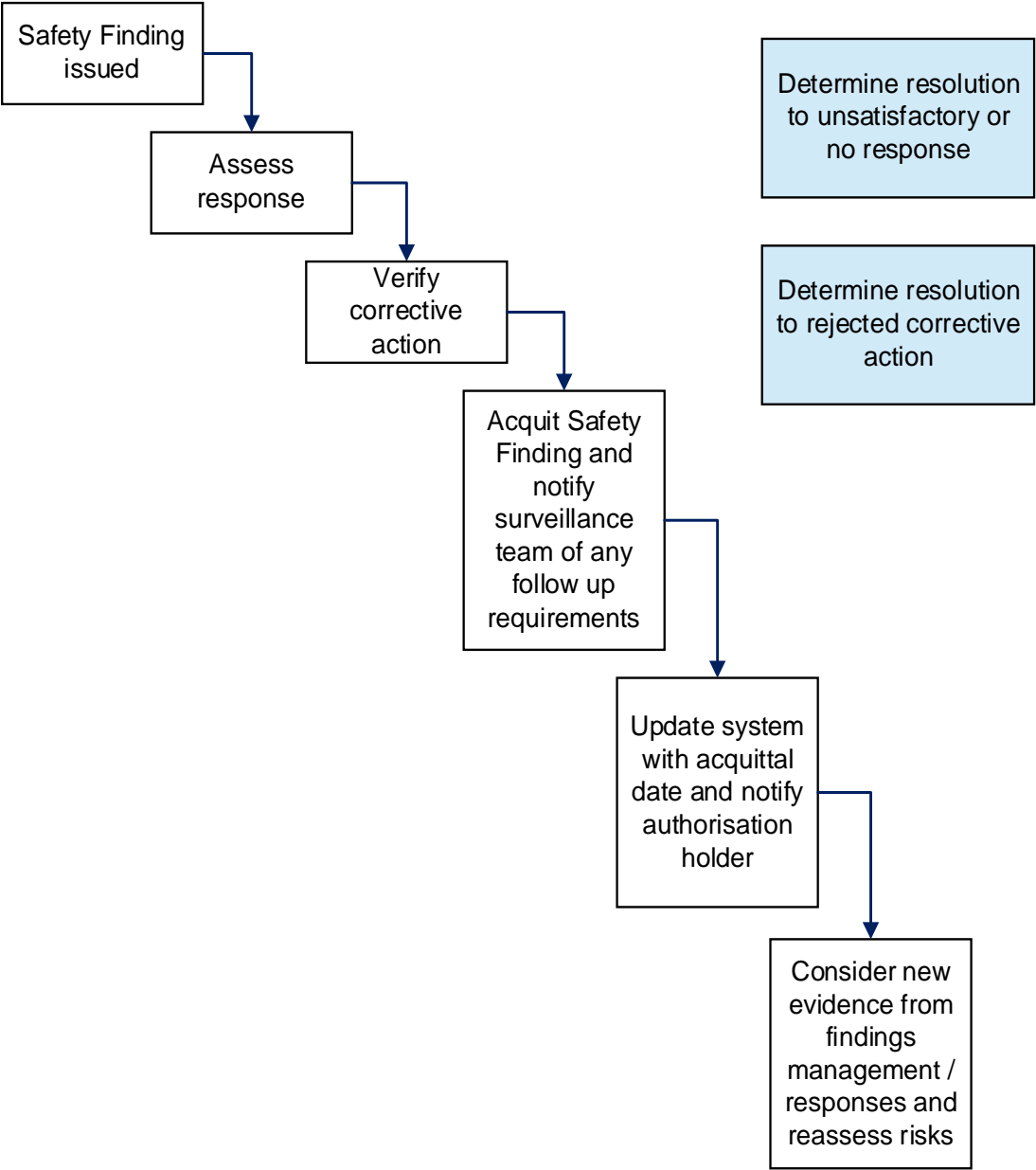


Figure 9: Manage safety findings (SFs)

4.7.4 Findings management

It is the responsibility of surveillance services to process any responses to safety findings and other findings when a response is received to update sky sentinel, provide to the issuing inspector and to ensure adequate records are maintained. However, other offices acting on behalf of a surveillance team may issue findings. It is the role of the issuing inspector, who initially identified the breach during the surveillance event, to issue the finding and then continue to manage the finding to its finalisation. This should be done in conjunction with the STO and is overseen by the surveillance lead.

The surveillance manager and the STO can provide more information on open findings, as required, to the SRM on safety findings and ASRs, which are accessible through Power BI. Information can also be viewed at any time from sky sentinel to determine overdue safety findings and ASRs. Overdue safety findings are managed and followed up by the controlling office through sky sentinel. Safety observations can also be viewed through sky sentinel.

In the ongoing management of findings, surveillance managers should at all times exercise discretion on how to apply the regulatory decision-making considerations set down in this manual (see section on – Key considerations for regulatory decision making), e.g. how any follow-up action should be applied.

Throughout the finding's management process for safety findings, the relevant status must be set manually in sky sentinel, with the user prompted to provide the necessary associated details. Details of available finding status options in sky sentinel are described as follows:

response received – the option selected when AH has specifically responded to the relevant finding.

action plan – selected when the AH response is in the form of an action plan which sets out multiple milestone dates for completion of any remedial action, root cause analysis or corrective action working towards acquittal.

extension of time – the option selected when an AH's request for additional time to address outstanding remedial action, root cause analysis or corrective action is approved in line with the requirements set down in section on – Request for extension. To be approved by the SM.

further evidence requested – the status selected when the issuing inspector is not satisfied with any aspect of the acquittal evidence provided by the AH, and further evidence is sought.

verification required by CASA – selected when the AH's response has adequately addressed all response elements with no additional evidence required; however, the evidence provided has not yet been verified by CASA with the finding remaining as outstanding.

objection – this status option must be selected when the AH submits an objection to the finding with supporting evidence (see section on – Managing objections to Findings).

Objections should be peer reviewed using Form [CASA-04-5630](#).

withdrawn – selected when an objection is lodged and accepted, and the subject Finding is withdrawn by CASA.

acquitted – the option selected for when all finding response elements are accepted by the issuing inspector after supporting evidence is received and verified.

The following are actions and are not shown as a status change

enforcement action – the option selected when the relevant finding is the subject of current enforcement action, including coordinated enforcement.

no response received – a no response received letter is sent to the AH after the twenty-one (21) days response period has passed with no response from the AH. The status remains at Issued and the safety finding due date amended but remains overdue. A comment must be made in the SF comments to reflect a no Response received letter has been sent to the AH.

downgrade to observation - this status is selected when an objection to a safety finding has been objected and the decision has been made by the surveillance manager to downgrade it to a safety observation.

Safety finding management

The following diagram shows the standard scenarios that are likely to arise in managing a safety finding after it is issued. Throughout the following sections, the detail of this diagram will expand to show details of the key process steps and specific requirements for each scenario.

4.7.5 Response/Objection received

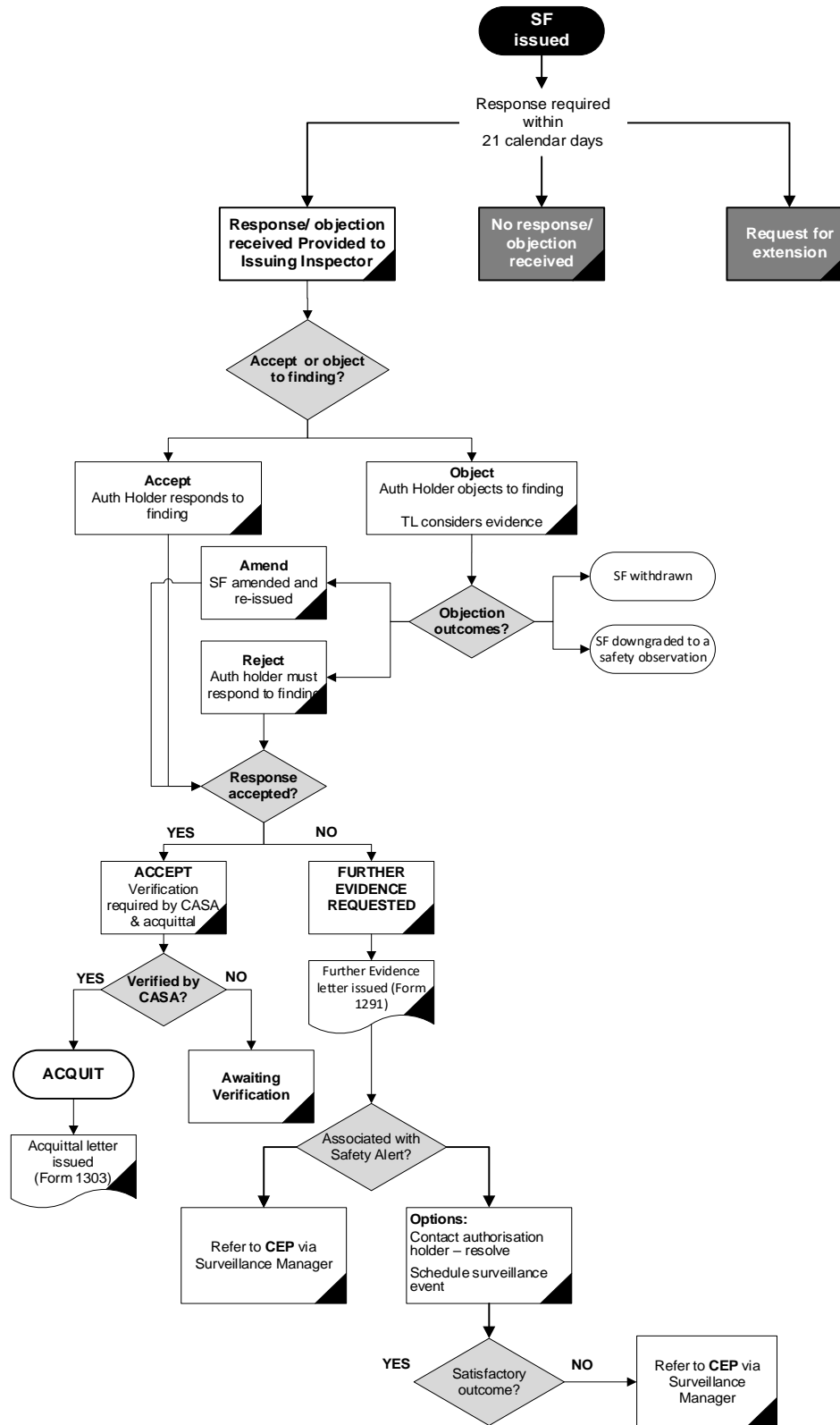


Figure 10: Safety Finding (SF) Response/Objection process

4.7.5.1 Process - managing objections to findings

Objection peer review process

Surveillance technical officer:

1. Enters email into sky sentinel as an objection - excluding the decision field - with the details from the AH. Assign to SM.

Surveillance manager

2. On receipt of the automatic notification of an objection in sky sentinel then reviews the objection to ensure.
 - a) There is objective evidence to support the finding
 - b) All CSM processes have been followed in the issuing the finding
 - c) That the finding was discussed at the exit meeting and there is evidence to support this discussion
 - d) That CASAs regulatory philosophy is taken into consideration before deciding the next steps
 - e) there is supporting evidence from the AH.
3. If there is no evidence to support the objection and all of the points above have been considered, the SM may reject the objection.
4. If there is supporting evidence, refer to the process below.

Issuing inspector

5. On receipt of the objection notification regarding a safety finding.
6. If the objection has not been captured in sky sentinel notify the STO of the objection.
7. To ensure the objection is reviewed independently within CASA, the issuing inspector cannot review the objection

Surveillance manager

8. If the SM determines the operator has provided sufficient evidence to support the withdrawal, reissue or downgrade of a safety finding, then the SM may proceed with that decision and complete Form 1543. If the objection is not accepted, assigns an independent office to review the objection, safety finding and evidence from the event.

Assigned (independent) surveillance manager and reviewing inspector

9. Peer review by using form [CASA-04-5630](#). Considers the objection and supporting evidence put forward and recommends to either:
 - a. Withdraw finding – objection upheld, and the safety finding withdrawn.
 - b. Downgrade finding – safety finding downgraded to a safety observation with the safety finding withdrawn, and new safety observation created approved and issued.
 - c. Reject objection – the safety finding proceeds with the SM rejecting the objection and then the issuing inspector setting a new due date in sky sentinel for the response, selecting an appropriate date for response that must not be more than fourteen (14) calendar days from the date of the further evidence requested notification. This changes the status to further evidence requested.
 - d. Amend finding – the safety finding is to be amended and then re-issued, with the amendment completed by the issuing inspector, once approved to

do so, by the SM. An additional twenty-one (21) calendar days is allowed for a response to the re-issued safety finding.

10. Send completed peer review to the independent SM, original SM and issuing inspector.
11. Capture any action taken in RMS and sky sentinel by selecting the applicable decision status.

Surveillance manager and issuing inspector

12. Completed peer review form returned for discussion on the outcome.

Surveillance Manager

13. Drafts the response to objection letter [Form 1543](#) with the relevant details including the reasons the objection is accepted or rejected.
14. Electronically signs the [Form 1543](#).
15. Forwards the signed [Form 1543](#) to Surveillance services.

Surveillance technical officer

16. Ensures the reasons for the rejection are clearly articulated in the form.
17. Notifies the AH of the outcome using [Form 1543](#) signed by the surveillance manager.
18. Capture all documents in RMS and sky sentinel.

Note: Clear and open communication with the AH must continue throughout the assessment process

Note: In the event that the rejection of the objection may become contentious, the Surveillance Manager should advise the applicable Branch Manager or the NMS that they are about issue a rejection letter.

4.7.5.2 Process details - managing objections to findings

Objections are considered and approved by the SM. The objection period (twenty-one (21) calendar days) is the same as the standard finding response period. Objection responses are sent from the STO to the issuing inspector and SM. An objection must go through a peer review process.

Under procedural fairness principles, an AH has the right to object to a safety finding. It is expected that the AH will receive the safety finding and will consider the details of the deficiency identified as a breach. If they do not agree with the deficiency details as presented; they have the opportunity to submit an objection within the twenty-one (21) calendar days response period. The supporting evidence must specifically address and/or challenge the deficiency detailed in the safety finding, providing enough evidence for the independent SM to consider and make a decision on the objection. The decision must be completed via the peer review process. The decision on the objection must be made by the SM, not the issuing inspector, to ensure the procedural fairness principles and process transparency is maintained. The issuing inspector can provide specific background information, if not already in the system.

In considering the objection, the SM must exercise discretion in line with the regulatory decision-making considerations set down in this manual (see section on key considerations for regulatory decision making). The SM may find it necessary to contact the AH on any

aspect of the objection and, if considered necessary or appropriate, the AH may be invited to clarify any matter to assist the decision-making process.

Once a decision is made, the issuing inspector is advised, and the AH is informed. (See objection options detailed in section on – Managing objections to findings).

Safety observation objections – In some circumstances, the AH may disagree with the identified deficiency, or to put in place measures to identify a potential risk to aviation safety detailed in the safety observation. In this case, the AH may elect to submit an objection. Such an objection must be treated the same as a safety finding and, if it is upheld, the safety observation must be withdrawn and duly noted in sky sentinel. [Form 1543](#) - Response to objection letter should be used to advise the AH.

Objection outcome – withdraw finding

If an objection is upheld and the SM approves the withdrawal of the finding, the finding is withdrawn by selecting the withdraw finding status option in sky sentinel. The reason the objection is accepted must be captured in sky sentinel against the finding being withdrawn. This should include details of the supporting evidence provided by the AH, or the reference from the RMS where the evidence is saved.

A withdrawn finding can still be accessed in sky sentinel.

If an objection is upheld and the SM approves the withdrawal of the finding, but the finding is required to be re-issued a new safety finding created using the incorrect regulation objection category and amend finding status. [Form 1543](#) - Response to objection letter should be used to advise the AH.

Objection – downgrade Safety finding to a safety observation

An outcome of an objection could be the downgrading of a safety finding to a safety observation. This would apply in circumstances where the SM, after assessing the objection evidence, decides that, while no actual breach has occurred, a system deficiency still existed, or potential risk to aviation safety still exists. Once the downgrade finding option is selected in sky sentinel, the safety finding is withdrawn, and a new safety observation is created for completion, approval and issue. [Form 1543](#) - Response to objection letter should be used to advise the AH.

Objection – rejected

Where an SM rejects an objection is rejected by the SM after assessment of supporting evidence, the AH is notified accordingly. The finding status will remain as Issued with a response status of objection and the reason being reject objection and the due date will remain unchanged.

When using the further evidence selection of the safety finding a revised response due date can be set issuing inspector, to a maximum of fourteen (14) calendar days from the date of the further evidence requested notification. The appropriate sections of sky sentinel will need to be updated by the SM. This changes the status to further evidence requested.

Objection – amended finding

An objection may also result in the finding being amended and then re-issued. Amendments to the finding are completed by the issuing inspector, once approved to do so, by the SM. The STO are notified to re-issue that finding and amend finding letter to the AH.

An additional twenty-one (21) calendar days from the date of notification is allowed for a response to the re-issued finding. [Form 1543](#) - Response to objection letter should be used to advise the AH.

4.7.5.3 Process - Response to safety finding

Authorisation holder

Within the specified twenty-one (21) calendar day timeframe, considers available options and either:

- accepts the safety finding by responding with details of all actions taken to return to a compliant state, root cause analysis and corrective actions taken; or
- objects to the safety finding with supporting evidence.

Issuing inspector/ Surveillance technical officer

On receipt of a response or objection from the AH regarding a safety finding:

1. If the AH accepts the safety finding, select response received status in sky sentinel with appropriate date and notes:
 - a. Finding advise the issuing inspector by email with the response received or
 - b. The issuing inspector has twenty-one (21) calendar days to review the response and advise the AH whether the response is accepted or rejected
 - c. If the AH objects to the safety finding, select objection status in sky sentinel with appropriate date and notes excluding the decision field
2. If the AH objects to the safety finding, select objection status in sky sentinel with appropriate date and notes excluding the decision field:
 - a. Advise the issuing inspector and SM of the objection
 - b. Surveillance manager to follow the managing objections to findings section.
 - c. Capture receipt of the response/objection and any administrative action taken in RMS and sky sentinel.
3. Monitors open safety findings in sky sentinel to ensure response or objection is received within twenty-one (21) calendar days:
 - a. Notify the SM if safety findings are overdue.
4. Ensures all AH responses received in the surveillance@casa.gov.au mailbox is registered in RMS.

4.7.5.4 Process details - response to safety finding

While it is a requirement that a formal response or objection to a safety finding be received from the AH within twenty-one (21) calendar days (see section on – Process Details – Writing safety findings), it is not uncommon in the ongoing management of a safety finding that, after receipt of the initial response, verification and acquittal will involve multiple interactions with

the AH. This is particularly relevant in cases involving requests for extension supported by acceptable documented action plans that include timeframes and milestones.

IMPORTANT: To be read in conjunction with section on – Request for extension, particularly noting when action plans must be referred to the CEP.

Any subsequent responses/notifications of a substantial nature, particularly if required to satisfy action plan milestones, must be managed by selecting the appropriate status in sky sentinel (see section on Findings Management) and setting due dates. When an action plan is submitted, the action plan status option is selected in sky sentinel and saved which then allows for multiple milestone dates to be added. All milestone dates and response-received dates set in sky sentinel must be accompanied by the justification and details of the response.

Note: Safety observation - While there is no obligation to respond to safety observations, CASA considers that providing a meaningful response to a safety observation is indicative of an enhanced level of organisational maturity.

Note: Safety alert - While the process for received responses detailed above generally applies to all finding types, a response to a safety alert must include proof of remedial action being taken to rectify the safety concerns before continuing any related activity. An AH who fails to respond to a safety alert within five (5) calendar days must be considered for enforcement action (For more information, see section on– Process Details – Issuance and Acquittal of Safety Alerts).

4.7.6 Assessment of response

4.7.6.1 Process - assess response

Surveillance manager

1. Decides who is responsible for assessing a safety finding in circumstances where the issuing inspector is unavailable. The issuing inspector cannot be changed on sky sentinel.

If safety finding accepted authorisation holder

Surveillance technical officer

2. Receives AH response of acceptance of safety finding and enters this as a response received in sky sentinel and forward email to issuing inspector.

Issuing inspector

3. Receives email from STO re AH response of acceptance of safety finding.
4. Assesses the response within twenty-one (21) calendar days of receiving the response by reviewing against the criteria.
5. Selects the acquitted status in sky sentinel.
6. Adds the MSM attribute and appropriate responses/comments in the finding response fields within the relevant safety finding page in sky sentinel.
7. Provide email advice to STO who will email the AH Finding acquittal letter and verify the status has been set to acquitted by the Issuing Inspector.

If Safety finding objected to by authorisation holder

8. Issuing inspector and SM receives via surveillance@casa.gov.au the AH's objection with supporting evidence.
9. Refers the objection and supporting evidence to the SM with any pertinent background information.

4.7.6.2 Finding process details - assess response

Under normal circumstances, the surveillance team member who initially identified the breach is the author of the safety finding (issuing inspector) and responsible for assessing the response. The SM must decide who is responsible for assessing a safety finding if the issuing inspector is unavailable. The issuing inspector cannot be changed on sky sentinel.

Any safety finding must be responded to by the AH within twenty-one (21) calendar days. No change in the original due date can be granted for any reason as it is critically important that the AH returns to a compliant state as soon as possible.

The response to a safety finding must take the form of either an initial response indicating acceptance of the safety finding (response to remedial action / root cause analysis / corrective action), or an objection to the safety finding including supporting evidence. If it is an objection, see section managing objection to findings process.

The initial response to a safety finding from the AH must include advice covering the following requirements:

- the remedial action that has been taken to return to a compliant state
- the root cause analysis that has been completed
- the corrective action that has been completed.

Note: If the remedial and/or corrective action has not yet been taken at the time of the initial response, the required course of action is for the AH to submit a request for extension of time to undertake and/or implement any necessary outstanding remedial and/or corrective action.

IMPORTANT: To be read in conjunction with section on – Request for extension.

The response must provide evidence to satisfy the issuing inspector that the AH:

- has returned to a compliant state and
- is actively working towards implementing the corrective action to mitigate potential recurrence of the identified deficiency.

Note: If a significant change to the AH's activities is required to address the corrective action to the Safety Finding; a significant change application must be processed through REGSERVICES@casa.gov.au

While it is understood that completion of the required corrective action may not be achievable within the twenty-one (21) calendar day timeframe for large organisations, or where the corrective action is complex, the expectation is that the AH will (within the above-mentioned timeframe) request an extension to undertake and/or implement all necessary action. For complex matters, it is likely that such a request will take the form of an action plan detailing all significant milestone dates, with actions to be taken against such dates.

(IMPORTANT: To be read in conjunction with section on – Request for extension)

Status options in sky sentinel available to the issuing inspector when assessing a response include:

- response received

Note: May be entered by the STO in the absence of the issuing inspector.

- no response received
- action plan
- extension of time

Note: Only to be selected when request for extension is submitted by AH (see section on – Request for extension). SM approval email saved in RMS. or, when a reject objection is selected, then an extension of time is provided to the AH.

- further evidence requested
- verification required
- objection
- enforcement action
- acquitted.

Assessment of remedial action is reviewed against the following criteria:

- did the AH state the remedial action taken to remedy the identified breach?
- did the remedial action adequately provide a short-term treatment for the identified deficiency?
- has sufficient and conclusive evidence been provided to satisfy the inspector that all requirements have been met and the AH has returned to a compliant state?

Assess the adequacy of the corrective action taken by considering:

- have the root causes been identified?
- are the corrective actions necessary to address the breach and, if so, was it performed?
- when will the corrective action be completed?
- is there sufficient validation of the response to acquit the safety finding?
- is there any flow-on effect that could impact on other processes? If so, has this impact been considered?
- has the corrective action been implemented in all relevant areas of the AH's organisation?
- what monitoring system has been implemented to track the effectiveness of the corrective action?

Note: If a significant change to the AH's activities is required to address the corrective action to the Safety Finding; a significant change application must be processed through REGSERVICES@casa.gov.au

If there is uncertainty, the CEP must be considered in accordance with section on enforcement.

Verification required means the AH's response has adequately addressed each of the response elements, namely remedial action, root cause and corrective action, but this has not yet been verified. Verification in this context means evidence providing a high degree of assurance that the intended outcomes were accomplished, and verification has been

scheduled for follow-up by CASA. Such findings are recorded in sky sentinel as having a status of Verification required by CASA.

Verification Required should only be used where a further site visit is required, not for manual updates. If a manual is required to be updated, then Further Evidence Requested should be selected and the finding remains open.

If a further site visit is required, then the inspector needs to decide in conjunction with the SM if that needs to be done immediately. If the finding is not of a serious safety concern, then the finding can be acquitted, and a formal comment placed in sky sentinel that verification should be conducted at the next surveillance event.

4.7.6.3 Finding process details – response assessed as Verification required by CASA

Surveillance manager/Issuing Inspector

After consideration of the response and evidence from the AH, discussion on when the safety finding can be verified so that a future event can be planned if required.

Issuing Inspector

1. On sky sentinel against the safety finding number – Add response Information selects from the Status drop down “Verification required by CASA” and a new date is entered.

Email to STO for Verification required letter to be sent to the authorisation holder.

Surveillance technical officer

2. In consultation with the issuing inspector, notifies the AH in writing of the resulting status from their finding response. (CASA-04-6213 - optional).
3. Ensures the safety finding has the status of “Verification required by CASA” and email to the AH, with supporting finalisation documentation, is saved to the appropriate RMS file.

Surveillance manager/Issuing Inspector

4. Actively monitors the safety finding to ensure it is verified in a reasonable timeframe.

However, consideration should be given to acquitting the safety finding and adding a comment to AH's file in sky sentinel that verification is to be carried out at the next surveillance event.

Note: This status is not appropriate if any additional evidence is required from the AH.

perspective, that the AH not only understands why the breach occurred, but also acted to reduce the chance of reoccurrence.

Note: Should the decision be made that the safety finding status is “Verification required” the issuing Inspector emails to STO to provide the AH with a Verification required letter.

4.7.7 Acquittal process for safety findings

Notes: Safety alerts. The process for acquittal of a safety alert is detailed in section on – Process – Issuance and Acquittal of Safety Alerts.

ASR. The process for Acquittal of ASRs is detailed in section on – Process – Issuance and Acquittal of Code A ASRs, and section on – Process details – ASRs.

4.7.7.1 Process - acquittal process for safety findings

Surveillance manager

1. Decides who should be responsible for verifying and acquitting a safety finding when the issuing inspector is unavailable.

Issuing inspector (or other Inspector): Following assessment and acceptance of the safety findings response.

2. Within sky sentinel on the safety finding page select add response information. Do not select the previously entered response received. From the finding response pop up enter the details and select status field of: acquitted.
3. Records the verification evidence and action taken in the relevant comments box in sky sentinel. (MSM attribute. remedial action, root cause analysis and corrective action.

Note: If appropriate, the RMS file reference, where details of the verified evidence details are recorded, should be entered in sky sentinel in the CASA Reference box. The RMS reference should be the document that contains the information regarding the specific safety finding response. Alternatively, details of the relevant response can be entered directly into sky sentinel and supported by an RMS reference.

4. Selects the appropriate MSM component in sky sentinel, for data capture and reporting purposes, based on the root cause analysis provided by the AH (safety findings and safety alerts only).
5. Records the acquittal of the safety finding in sky sentinel by noting the acquittal date with supporting comments. Advises STO of acquittal.

Surveillance technical officer

6. In consultation with the issuing inspector, notifies the AH in writing of the acquittal of the safety finding (safety finding Acquittal Letter [Form 1303](#)) (optional).
7. Ensures the acquitted safety finding email to the AH, with supporting finalisation documentation, is saved to the appropriate RMS file.

Issuing inspector (or other inspector)

8. Creates a proposed surveillance request in sky sentinel for follow-up surveillance if deemed necessary.

Note: Safety alert - A safety alert can be acquitted once the issuing inspector is satisfied the AH has undertaken the required immediate remedial action to rectify the identified safety concern (For more information, see section on– Process Details – Issuance and Acquittal of Safety Alerts).

4.7.7.2 Process details - acquittal process

Under normal circumstances, the surveillance team member who initially identified the breach is the author of the safety finding (issuing inspector) and also responsible for the acquittal

process. The SM must select an alternative inspector who will take responsibility for verifying action taken and the acquittal process if the issuing inspector is unavailable. The issuing inspector cannot be changed on sky sentinel.

Management of safety finding – acquittal

Once a response has been accepted (see section on – Process Details – Assess response: Verification Required and acquittal), it may be considered for acquittal.

Note: If a significant change to the AH's activities is required to address the corrective action to the Safety Finding; a significant change application must be processed through REGSERVICES@casa.gov.au

On occasions, a safety finding response may require the surveillance team to monitor the corrective action over time. This is particularly the case in circumstances involving larger organisations, changes in complex systems, the development of supporting procedures and documentation, or when training large numbers of personnel. This must be assessed on a case-by-case basis.

A safety finding must only be acquitted when the issuing inspector and/or SM is satisfied that the AH has addressed the remedial and corrective actions with all rectification action carried out within the agreed timeframe.

The issuing inspector must also not acquit the safety finding unless they have verified evidence that the remedial, and corrective actions have been satisfied. In doing so, the following principles must be considered:

the response provides satisfactory explanation and physical evidence that the remedial action taken removes all immediate threats to safe operations, while providing adequate and effective compliant short-term treatment

the response is supported by evidence of not only a credible investigation by the AH, but also a root cause analysis process, resulting in findings that clearly and unambiguously identify the causal factor(s) that contributed to the deficiency. However, it is a requirement that the surveillance team discuss the root causes of findings at the exit meeting, so if the AH has difficulty here, it indicates more discussion and guidance is required by the issuing inspector.

the response provides satisfactory explanation and physical evidence that the corrective action, already taken, will effectively eliminate or minimise any repeat of the deficiencies that led to the breach.

Note: If a significant change to the AH's activities is required to address the corrective action to the Safety Finding; a significant change application must be processed through REGSERVICES@casa.gov.au

Satisfactory evidence – Safety finding verification, based purely on a proposed plan of corrective action, is not adequate for acquittal. Evidence must be direct and specific, rather than circumstantial. Unequivocal proof must be secured by way of material evidence, such as:

- documentation, e.g. manual amendments
- acquisition of hardware or software
- acquisition of plant or material
- addition of qualified staff
- observed behavioural changes, changes of procedures
- observed rectification of material damage or deficiencies.

Failure to verify – If the issuing inspector becomes aware an AH is unable to provide satisfactory evidence, or if corrective action cannot be verified, then the procedures for unsatisfactory response must be followed.

If the issuing inspector deems it necessary to follow up the verification at a future date before acquitting, this must be entered as a formal comment in sky sentinel.

Verification evidence and a record of all actions taken must be recorded in the comments box for the relevant safety finding in sky sentinel. The recorded verification evidence must reflect the complexity of the rectification activities undertaken by the AH. The appropriate MSM component must also be selected at this time in sky sentinel for data capture and reporting purposes. The component selected must be based on the root cause analysis information provided by the AH.

Noting the effective acquittal date in sky sentinel formally records the safety finding as acquitted.

Notes: In line with the regulatory philosophy principles, a SM may apply discretion in accepting root cause analysis and corrective action provided in response to a safety finding where it is considered that there is no identifiable safety benefit to be realised by pursuing additional information. Remedial actions must still be of a satisfactory standard, ensuring a return to a compliant state.

If an AH is subject to current enforcement action, any safety finding relating to the activity that is the subject of that enforcement action must not be acquitted unless LIRA Division has been advised prior to the acquittal. Any such matters should be discussed with the Manager Litigation, Investigations and Enforcement.

By the time enforcement action is commenced, the AH will, most likely, be outside the time specified by CASA for response to the safety finding.

However, in most cases, it is anticipated that an AH will continue to address the subject of the outstanding safety finding during the enforcement process as a measure of its willingness and ability to do so. Nevertheless, where administrative action in the form of a show cause notice has commenced, the timeframe for response to the matters raised in the notice (including outstanding safety findings) will be dictated by the timeframe set out in the show cause notice for a response.

4.7.8 Unsatisfactory response

4.7.8.1 Process - unsatisfactory response

Surveillance technical officer

9. Following consultation with the issuing/nominated inspector, who can provide additional details for the authorisation holder, advises the AH in writing (Further Evidence Requested Letter - [Form 1291](#)) setting a revised due date of fourteen (14) calendar days from the date of safety finding response due date in which to satisfy remedial, root cause analysis and corrective action requirements.

Surveillance manager

2. Determines the appropriate option, e.g.:
 - b. Contact the AH's representative to determine a way of resolution.
 - c. Schedule an additional surveillance event to verify the current situation.

Note: This option may depend on when the next surveillance is scheduled, the availability of resources, and may generate further safety findings.

3. Select further evidence requested as the new status in sky sentinel and enter the new due date.
4. Documents all communication and actions/inactions in sufficient detail in sky sentinel and/or RMS to support any possible enforcement action.
5. Ensures all actions taken are entered appropriately as a comment in the relevant sky sentinel safety finding page.
6. Reviews the progress and considers available options regularly and, if the issue persists:
 - a. Contacts the AH to determine a resolution, or
 - b. Proposes a new surveillance event request through sky sentinel.
7. If the AH is repeatedly unable or unwilling to provide an adequate response, or it is clear they are not frankly and openly addressing the deficiencies raised, alerts the NMS.
8. NMS: Initiates action to refer the safety finding to the CEP in accordance with section on enforcement.

4.7.8.2 Process detail - unsatisfactory response

An unsatisfactory response means that some or all elements of the response failed to satisfy the issuing inspector that the safety finding had been appropriately addressed. The AH must be advised in writing (Further Evidence Requested Letter - [Form 1291](#)), including the reasons the response was rejected and setting a revised due date (a maximum of fourteen (14) calendar days from the date of the letter) to respond with satisfactory remedial, root cause analysis and corrective action.

Until satisfactory remedial and corrective actions have been provided and verified, the safety finding must not be acquitted.

The response to a safety finding may be unsatisfactory if:

- corrective actions have not addressed the root cause of the deficiency
- documented evidence is not sufficient
- the response is not understood.

At all stages, the level and/or adequacy of the response must be documented in sky sentinel, i.e. the status of the acquittal process as the AH may not have responded in full.

Note: Safety alert - In circumstances where a safety finding is associated with a safety alert and the AH has failed to adequately respond, the NMS must be alerted, and the CEP considered in accordance with section on enforcement

ASR – If the registered operator fails to adequately respond to a Code A or Code B ASR, the NMS must be alerted, and the CEP initiated, following the processes as detailed above for safety alerts.

If the AH does not provide an adequate response, contact the AH's representative who is accountable to determine a way of resolution. Document all communication and retain in the appropriate RMS file, scheduling an additional surveillance event to verify the current situation may be required.

Note: This option may depend on when the next surveillance is scheduled, the availability of resources and may generate further safety findings.

4.7.9 No response received

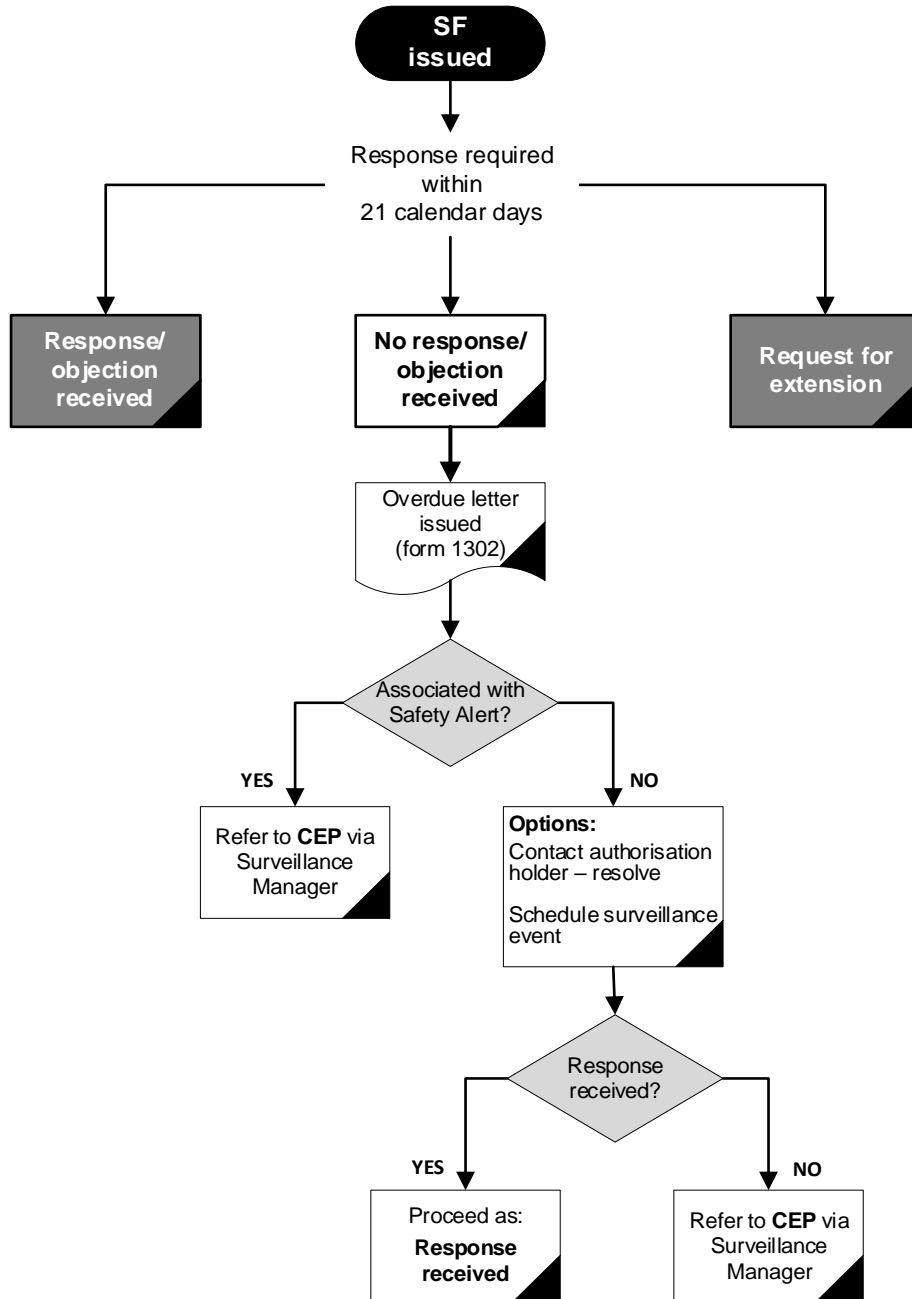


Figure 11: No response to issued safety findings (SF) process

4.7.9.1 Process - No response received

Surveillance technical officer

1. Following consultation with the issuing/nominated inspector, issues a safety finding reminder letter (safety finding overdue letter - [Form 1302](#)).
2. Add a comment in sky sentinel, overdue letter sent.

Issuing Inspector/Surveillance Lead

3. Determines the appropriate option, e.g.:
 - a. Contact the AH's representative to determine a way of resolution
 - b. Schedule an additional surveillance event to verify the current situation.

Note: This option may depend on when the next surveillance is scheduled, the availability of resources, and may generate further safety findings.

4. Documents all communication and actions/inactions in sufficient detail in sky sentinel and/or RMS to support any possible enforcement action.
5. Ensures all actions taken are entered appropriately as a comment in the relevant sky sentinel safety finding page. The status remains at issued but will revert to overdue once new date is arrived at.
6. Reviews progress and options regularly and, if the issue persists, discuss options with the SM.
7. Option: to provide an extension of time to the AH to respond.
8. If AH fails to respond after being reminded of their responsibilities, alerts the NMS.

National Manager Surveillance

9. Initiates action to refer the safety finding to the CEP in accordance with section on enforcement.

4.7.9.2 Process details - No response received

A response must be received within the specified timeframes. If no response is received, a safety finding reminder letter (safety finding overdue letter - [Form 1302](#)).

Notes: Safety alert - In circumstances where a safety finding is associated with a safety alert and the AH has failed to respond, the NMS must be alerted, and the CEP initiated in accordance with section on Enforcement

ASR - If the registered operator fails to respond to either a Code A or Code B ASR, the NMS must be alerted, and the CEP initiated following the process as detailed above for safety alerts. If no due date was provided on the ASR it is in force 365 days after the direction was issued (CASR 11.245).

If the AH fails to respond, the following options must be considered. One or several options can be considered and/or actioned:

contact the AH's representative who is accountable to determine a way of resolution.
Document all communication and retain on the appropriate RMS file escalate to SM review.

Note: This option may depend on when the next surveillance is scheduled, the availability of resources and may generate further safety findings.

If the AH fails to respond after being reminded of their responsibilities, the NMS must be alerted, and the CEP initiated in accordance with section on enforcement.

Note: Any request for an extension of time received during the fourteen (14) calendar day response period, and made subsequent to a reminder letter, must be dealt with by the SM on a case-by-case basis as per the processes set out in section on – request for extension.

4.7.10 Request for extension

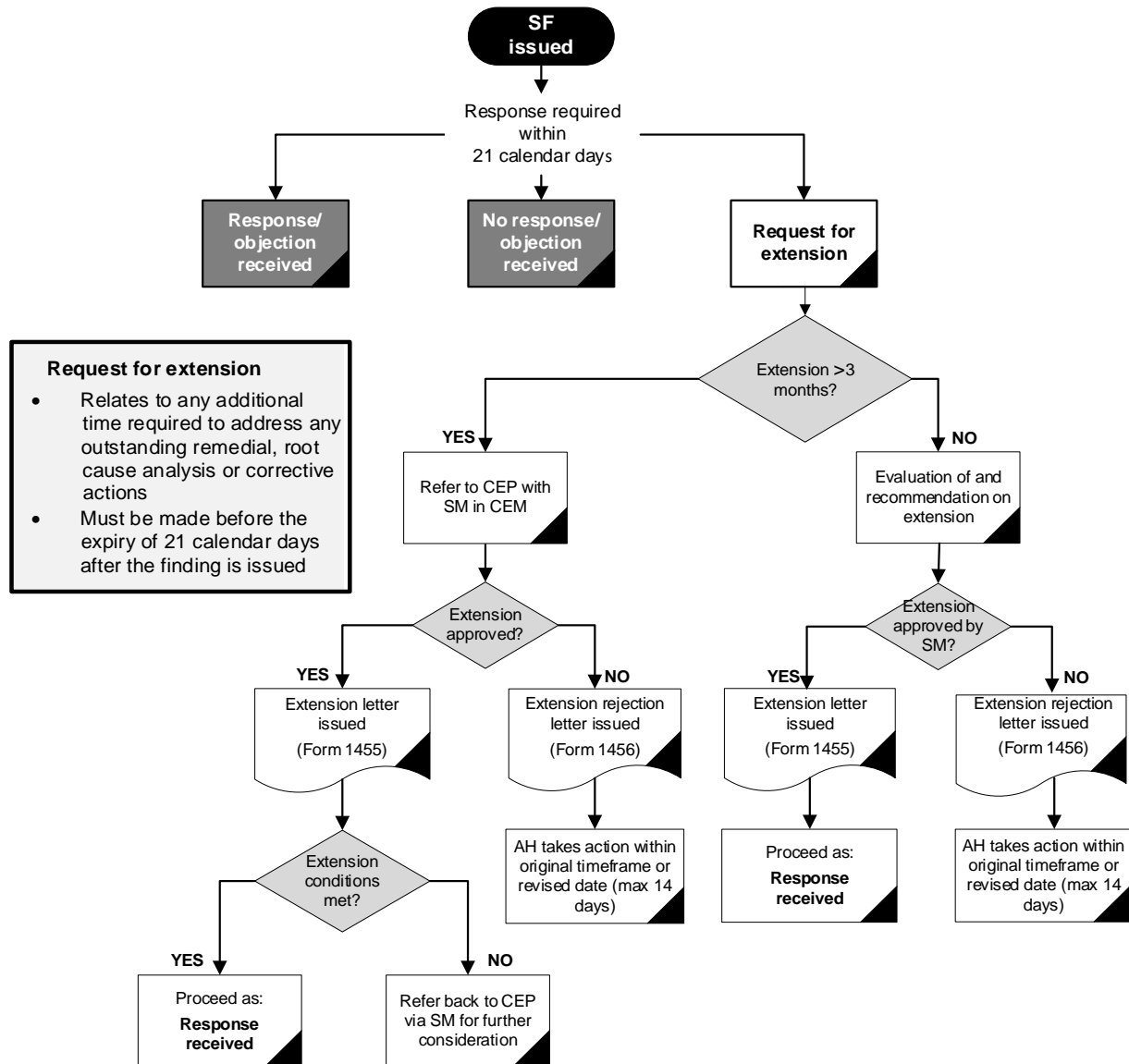


Figure 82: Requested Extension Period

4.7.10.1 Process - request for extension (Not for SF on an Action Plan)

Receipt and evaluation of requests

Surveillance technical officer

1. Received the AH's request for extension.
2. Enters a response received into sky sentinel and forwards email to Surveillance Manager and issuing inspector.

Issuing inspector

1. Receives the AH's request for extension to complete any outstanding remedial, root cause analysis or corrective actions.

Note: A request for extension can occur at any stage in the finding's management process. This process applies when the AH submits a request for any additional time required to address outstanding remedial action, corrective action or root cause analysis.

2. Notifies the SM of the request and any other supporting documentation, e.g. action plan, submitted by the AH.
3. Evaluates the request, considering the following:
 - a. Whether the extension being sought is for a period greater than three months (if so, the matter requires referral to the NMS for approval)
 - b. Whether the AH has shown a capacity and willingness to satisfactorily complete the actions within the specified timeframe.

Requests for extension less than three months

Refers the request to the SM for approval or otherwise.

Surveillance manager

4. After considering the matter, approves or rejects the extension request for periods less than three (3) months, or decides on whether the request should be referred to the CEP for any reason IAW section on enforcement.
5. Records the decision of acceptance or non-acceptance in the comments field for the relevant safety finding in sky sentinel.
6. Advises surveillance@casa.gov.au of outcome.

Surveillance Technical Officer

Updates Sky Sentinel with the date agreed/provided by the SM. Draft [Form 1455](#) - safety finding extension acceptance with the date agreed. Send to AH.

Requests for extension greater than three months

Refers extension request to the NMS/Branch Manager.

Note: Specific reasons for rejection, from the NMS/BM, must be provided for inclusion in the response to the AH and recorded in sky sentinel.

Response to authorisation holder and follow-up action

Surveillance technical officer

7. Depending on whether the NMS, decides to accept or reject the request, in consultation with the SM issues one of the following letters:
 - a. safety finding – Extension acceptance letter ([Form 1455](#)) notifying the AH of the acceptance of the request for extension, including details of revised due dates. Use the add response information selection to change the status of the safety finding to extension of time and enter the new due date and then enters details of the justification for the extension in sky sentinel; or
 - b. safety finding – Extension Rejection letter ([Form 1456](#)) notifying the AH of the non-acceptance of the request, the reason why the request was rejected, and the requirement to either meet the original timeframe, or setting a revised due date.
 - c. Save email to AH in RMS

Note: The AH must be advised of the rejection in writing (Form 1456 above). A maximum of fourteen (14) calendar days from the initial due date can be granted to enable the AH to respond with details of satisfactory remedial, root cause analysis and corrective action taken to meet the requirements of the safety finding.

Issuing inspector

8. Monitors and follows up on agreed milestones, records in sky sentinel all significant responses received, and regularly reports to the surveillance lead on the progress.

Surveillance manager

9. Manages the monitoring and reporting process.

Note: If any deviations from an accepted action plan occur, including any variation from specified timeframes or milestones and unsatisfactory progress etc., the CEP must be considered in accordance with section on enforcement.

4.7.10.2 Process details - request of extension

Receipt and evaluation of requests

An AH is required to address the remedial action, root cause and corrective actions to satisfy the requirements of a safety finding. An AH may request an extension of time beyond the specified timeframe (twenty-one (21) calendar days) to address any outstanding remedial, root cause analysis or corrective action. A request for an extension can occur at any stage in the findings management process, with the process detailed above applied to any extension.

The request must provide justification for the extension, including the following elements:

- details of what has already been done (up to the point of requesting the extension) to rectify the breach
- the reason further time is required to complete the actions
- an action plan that will satisfy the requirements of the safety finding that must include:
 - clearly identified actions to be taken
 - timeframes/milestones for each action or implementation phase
- an explanation of how safety risks will be addressed in the interim period of the extension.

The process for considering and approving an extension depends on the extent and nature of the request. No set timeframes are established for the length of time an extension can be granted, with each request considered on a case-by-case basis. However, before granting an extension, CASA needs to be satisfied, based on the information provided by the AH, that it is reasonable to expect that the action to be taken cannot be completed within the twenty-one (21) calendar-day period, but will be completed within the agreed timeframe.

Requests for extension less than three months

Requests for extension for periods less than three (3) months are evaluated by the controlling office in consultation with the issuing inspector.

Evaluation of the extension request must consider the following:

the complexity of the request and whether it should be recommended for referral to the CEP to ensure safety will not be compromised by the delay in the AH's response
whether the AH has shown a capacity and willingness to satisfactorily complete the actions within the specified timeframe.

The request is then referred to the SM who considers the request, and then either approves or rejects the request.

While the extension request may be for a period less than three (3) months, the surveillance manager may still refer the request to the NMS in accordance with section on enforcement for referral to the CEP at any stage. This would be particularly relevant if the request is of a complex nature, or if there are any safety concerns that may result from a delay in the AH's response.

In assessing the complexity of the request and whether it should be referred to the CEP, the surveillance manager should exercise their discretion in deciding whether a matter is referred or not. In cases of a more complex nature, except where a decision on the facts is made not to refer the matter, the reasons for that decision must be recorded in sky sentinel, including confirmation that safety will not be compromised by the delay in the AH's response. Those reasons will need to address:

whether the proposed action covers all the issues
whether the milestones (where there are a number of actions proposed) are realistic and have sufficient detail to be assessable
whether a person could be exposed to a serious safety risk while the issues are being addressed.

Requests for extension greater than three months

If the extension being sought is for a period greater than three (3) months, the NMS or applicable Branch Manager must approve the request.

All requests for extension referred to the NMS or applicable Branch Manager must be supported by an action plan including details of action(s) to be taken with detailed milestones and justification for the extension

Action Plan

Action plans of over three months are used where it is reasonable that the AH cannot meet shorter timeframes to institute a corrective action and where there is no immediate risk to aviation safety.

The action plan is developed by the AH in consultation with the SM and the issuing inspector and must be documented in RMS. The action plan can only be used for managing the AH back into compliance, it is not to be used for perceived improvements outside of regulatory requirements.

The SM or inspector may provide guidance such as a compliance matrix to assist the AH to meet the requirements of an approved action plan.

Examples of action plan may be, but are not limited to:

- where a significant rewrite of procedures is required where no other breaches of legislation are identified e.g., what they are currently doing is compliant but is not reflected in the manual
- where their manual requires updates for changes in legislation but where the AH is otherwise already compliant with those changes
- where the AH may have to undertake significant capital works over an extended period of time to address the corrective action for a finding.
- where the AH is approved to undertake certain activities but does not currently have the necessary data, people or tooling and equipment e.g. component overhaul where their approved person has resigned - NOTE: this does NOT apply to key personnel
- where corrective action will take time to develop e.g., training course needs to be developed and delivered

An action plan for greater than three months must include:

- that the remedial actions are effective
- that the proposed action covers all the issues
- the reason further time is required to complete the actions
- whether the milestones are realistic and have sufficient detail to be assessable
- clearly identified actions to be taken timeframes/milestones for each action or implementation phase
- details of what has already been done (up to the point of requesting the extension) to rectify the breach
- whether a person could be exposed to a serious safety risk while the issues are being addressed.
- an explanation of how safety risks will be addressed in the interim period of the extension.

In the ongoing management of extensions, particularly for those that extend over a lengthy period and involve an action plan, it is important to ensure the plan directly addresses the breaches identified in the safety finding and will, when implemented, fully satisfy the specific requirements for all associated safety findings. The plan's milestones must also specifically align with the relevant safety finding and be recorded as such in the relevant safety finding page in sky sentinel. Even in situations where administrative action, voluntary conditions or an Enforceable Voluntary Undertaking (EVU) are in place, specific breaches identified in safety findings must still be managed individually. The voluntary conditions, EVU or show cause notice requirements should specifically address the issues raised in the safety findings and any milestones set in managing the safety findings through to acquittal.

Response to authorisation holder and follow-up action

Depending on the decision, one of the following letters is issued to the AH:

- safety finding – Extension Acceptance letter ([Form 1455](#)) notifying the AH of the acceptance of the request for extension, including details of the revised due date, or
- safety finding – Extension Rejection letter ([Form 1456](#)) notifying the AH of the non-acceptance of the request for extension, including the reason the request was rejected, as well as any requirement to either meet the original timeframe or setting a revised due date.

If the extension request is rejected the AH must be advised in writing ([Form 1456](#)). A maximum of fourteen (14) calendar days (in addition to the original twenty-one (21) calendar day response deadline), can be granted to enable the AH to respond with details of remedial, root cause analysis and corrective action taken to satisfy the requirements of the safety finding.

Should the request for an extension be accepted (to ensure the AH satisfies any outstanding remedial, root cause analysis or corrective actions within an appropriate timeframe), the start date for the safety finding approved extension will commence at the end of the twenty-one (21) calendar day period (from the original due date of the finding).

That said, each request for an extension is analysed on a case-by-case basis. In situations where involvement with coordinated enforcement or other parties exceeds the twenty-one (21) calendar day period, then it is at the discretion of the NMS to set the commencement date for the extension. This is to be documented in sky sentinel and the AH's RMS file.

If the approved extension results in a new due date, the date must be recorded in sky sentinel. If multiple milestones are established, as each milestone is successfully completed, the next milestone date is entered. All new due dates entered into sky sentinel must include supporting details. Response date(s) must also be recorded in sky sentinel with appropriate details.

If an extension is approved, it must be made clear to the AH that the granting of an extension and/or the acceptance of an action plan, whether referred to the CEP or not, does not preclude CASA from taking enforcement action, in the interest of aviation safety, if it is considered necessary, or if there is any deviation from an agreed action plan.

Any request for a variation to an accepted action plan, including a change to the specified timeframes or milestones that had previously been referred to the CEP, must be considered through the CEP.

Notes: An AH may, at any time during the surveillance process, submit some form of written proposal, which in this manual is referred to as an action plan (but may also be referred to by the AH by various names, including recovery program, action management plan etc.) to rectify issues that have been discussed generally during the surveillance event, or which they realise, as a result of the conduct of the surveillance event, need to be addressed.

For further information on dealing with such proposals, see the Enforcement Manual – section on What matters must be referred to CEP.

4.7.10.3 Finding process - closure of a safety finding without acquittal

Surveillance manager

1. Records closure in sky sentinel.
2. Completes the reason for the closure (mandatory).

4.7.10.4 Process details - closure of a safety finding without acquittal

A safety finding can only be closed without acquittal if either the regulatory head of power for the finding is no longer in force or if the AH is no longer operating, i.e. their authorisation has been suspended, surrendered or cancelled.

Note: If a safety finding is the subject of an objection that is upheld, the safety finding will be moved to a withdrawn status in sky sentinel rather than closed.

4.7.11 Information retrieval

Updating system information is a continuous process. The information retrieval process remains constantly active and may continue independently of a surveillance event and vice versa. The initiation of the AH assessment is routinely triggered by an update to system information.

4.7.11.1 Process – retrieve information

Surveillance team

1. Collects any relevant information to assist effective AH assessment.

4.7.11.2 Process details – retrieve information

During this phase, information needed by the surveillance team to inform the AH assessment is collected and entered as a comment in the authorisation holder assessment – current results page in sky sentinel.

All information gathered in this phase from standardised data warehouse reports, or any local intelligence should be recorded appropriately in sky sentinel as a comment.

4.7.12 Self-reported deficiencies (SRD)

Authorisation holder

1. Reports to CASA a deficiency, as a result of its self-auditing or continuous improvement processes, which would constitute a regulatory breach.
 - a. Non ROD – SRDs should be sent to surveillance@casa.gov.au by the AH. Where this has not happened the inspector that receives the information should forward to surveillance@casa.gov.au or
 - b. ROD – Office SRDs should be sent to response.surveillance@casa.gov.au by the AH. Where this has not happened the inspector that receives the information should request that it is done.

Note: SRDs cannot be accepted by phone or word of mouth

Non – ROD surveillance teams

If not already provided, requests the AH to submit details of remedial action and corrective action taken, or to be taken, to rectify the breach.

1. The assigned inspector evaluates the remedial and corrective action taken, or to be taken.
2. Captures full details of the self-reported deficiency and action taken in sky sentinel and in RMS in the Safety Compliance – Investigations file.
3. Depending on whether the action taken is satisfactory or not, either:
 - a. Notifies the AH of acceptance, or
 - b. Contacts the AH and engages with the AH, as necessary, to achieve the desired compliance outcome
4. Records all discussions and actions as required in RMS, with appropriate notes captured in sky sentinel
5. Enters the details of the follow-up actions
 - a. **Monitor** - this means the assigned inspector will monitor the corrective actions.
 - b. **Review at next event** - this means the SRD should be reviewed and added to the next event.

Note: SRDs with a status of “Review at next event” and “Monitor” are not be automatically added to the scope of the next event if the event is an IT pre-loaded event for planned surveillance. Please check the Authorisation Holder Profile Report for open SRD details.

- c. **No Further Action** - this means it has been assessed and should now be verified.
- d. **Verified** - this means it has been assessed, has a verified date and is closed
- e. **Other** - do not use.

If no further action or verified by CASA, amend the SRD details as a status of verified, date verified and justification.

Note: No safety finding is issued by CASA as a result of a self-reported deficiency.

Note: A date must be entered for the SRD to be ‘closed’.

Monitoring and response surveillance (MRS)

MRS Team

If not already provided, requests the AH to submit details of remedial action and corrective action taken, or to be taken, to rectify the breach.

1. Evaluates the remedial and corrective action taken, or to be taken.
2. Captures full details of the self-reported deficiency, including entering the system element and action taken in Sky Sentinel and RMS.
3. Notifies the AH that their report has been accepted as a SRD
4. Selects ‘No Further Action’
5. Enters the date verified; then

6. Assigns to the Surveillance Manager overseeing the AH in the 'Responsible Inspector' field.

Notes: The SRD must have a "Date Verified entered" which will remove the SRD from the Surveillance Overview report as being an outstanding SRD.

"No Further Action" means the remedial and corrective actions have been accepted.

Surveillance Manager (SM) MRS

7. Ensures the remedial and corrective actions are reviewed at the next scheduled surveillance event where appropriate, depending on the safety implications of the breach.

Note: All SRDs will still appear on the Authorisation Holder Profile Report and must be taken into consideration when scoping the next surveillance event.

8. Records all discussions and actions as required in RMS, with appropriate notes captured in sky sentinel

Note: No safety finding is issued by CASA as a result of a self-reported deficiency.

4.7.12.1 Process details - self-reported deficiencies

At any time during the course of the surveillance cycle, a deficiency or other information may come to CASA's attention as a result of the AH's self-auditing, or its own continuous improvement processes. Such self-reporting should be encouraged and may be accepted by inspectors as an indication of a mature or maturing operation. CASA should determine, however, on the merits of an individual case if a self-reported deficiency is accepted in this manner. For example, consideration should extend to the seriousness of the breach, whether it was deliberate or fraudulent, and whether it has been adequately addressed by the AH.

The details of such self-reporting or information provision must be captured in RMS and sky sentinel.

If the self-reported deficiency constitutes a regulatory breach, no safety finding is issued by CASA; however, the surveillance team must engage with the AH to achieve a satisfactory outcome, following the principles set down in section on – AH engagement.

An SRD can only be accepted by email. This is because the AH must supply their remedial and corrective actions to remedy the breach. Some corrective actions may take some time and will then need to be reviewed at the next scheduled surveillance event.

However, particular attention needs to be taken to remedial actions, and the seriousness of the deficiency.

Where a self-reported deficiency results in the surveillance team determining that the initiation of the enforcement process warrants consideration, the NMS should be consulted. After consideration of Subpart 13K of CASR 1998 – Aviation Self Reporting Scheme, if the NMS believes that the breach is of such a serious nature the coordinated enforcement process must be initiated in accordance with section on enforcement.

AH's should be encouraged to continually share any ongoing progress with CASA, with the details captured in RMS and sky sentinel with progress monitored in subsequent surveillance events.

4.7.13 Information sources

The following is a non-exhaustive list of information sources that can be accessed to support the assessment of a factor:

- formal comments recorded in sky sentinel
- completed Surveillance Request for Information forms
- regulatory history – findings (safety findings)
- past surveillance reports and findings (safety findings and safety observations)
- EAP information
- DRS information
- regulatory service activity
- information gathered by the AH
- external information gathered from industry or other government agencies
- enforcement action
- past accident/incident history
- action plans provided by the AH.

A large portion of this information is available to both the surveillance team and surveillance team via the Data Warehouse using the Power BI application.

4.7.14 Issue of new authorisation and Post-Authorisation Review (PAR)

4.7.14.1 Process - issue of new authorisation and post-authorisation review

Surveillance manager or surveillance technical officer:

1. Receives notification of the approval of a new authorisation.
2. Records the details of the new authorisation in sky sentinel.

Note: If the new authorisation is issued to an AH that is not already in sky sentinel, new AH details must also be recorded in liaison with the SM.

Surveillance technical officer

1. Records details of the responsible surveillance team in sky sentinel.
2. Advises the OPM team of the new Authorisation.

4.7.14.2 Process details - issue of new authorisation and post-authorisation review

Notification of an authorisation approval triggers the recording of the new authorisation in sky sentinel for ongoing surveillance monitoring. A surveillance team must also be assigned and recorded in sky sentinel at this time, as well as new AH details if necessary.

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A post-authorisation review is conducted to check compliance with the applicable regulatory requirements are being met in the form of a level 1 surveillance event, post-authorisation review utilising a fixed scope. Depending on the authorisation type issued, this type of surveillance must be conducted within twelve (12) to eighteen (18) months following the initial

issue. The scope of a post-authorisation review must be based on the authorisation type issued.

4.7.15 Voluntary suspension of authorisation

4.7.15.1 Process - voluntary suspension of authorisation

Surveillance Services

1. Receives written request from the Accountable manager of the AH to suspend authorisation.
2. The STO actions the request in sky sentinel and EAP IAW the STO Procedures Manual
3. An expiry date for the suspension must be entered in EAP and sky sentinel
4. An alert must be entered in EAP to ensure that Surveillance is contacted if the AH applies to remove the suspension
5. One month prior to the suspension ending a system generated alert email will be sent to Surveillance Services.
6. Upon receipt of the email, Surveillance Services notifies the applicable Surveillance Manager of the impending suspension expiry and the AH is contacted with regards to future requirements.

Surveillance team

1. Contacts the Authorisation Holder to establish what their future intentions are with the authorisation.

4.7.15.2 Process details - voluntary suspension of authorisation

Legislation allows for holders of authorisations to temporarily suspend their authorisation by submitting a request in writing to CASA. Receiving such a request triggers the application of the voluntary suspension flag in sky sentinel and EAP for that authorisation.

The STO processing the request must verify that the request is valid prior to it being actioned, in consultation with the surveillance manager. Advice should be sought from the Manager Litigation, Investigations and Enforcement in LIRA branch if they are unsure so that such requests for suspension may be assessed to meet the legislative requirements.

Note:

All Authorisation Holders should have their certificates suspended until the expiry date of their current permission. CAR 30 Certificate holders should have their certificates suspended for 12 months.

Surveillance teams contact the AH and make a record of that contact in sky sentinel one month prior to the suspension ending.

Surveillance teams should consider whether a surveillance event should be conducted at the end of the suspension period.

Should an AH under voluntary suspension wish to return to operations, then the SM together with the NMS should manage any and all related outstanding, including closed safety findings. The AH should advise their CASA representative of the date they wish to re-commence operations and consult the process for managing safety findings outlined in section on managing safety findings of the CASA Surveillance Manual. An appropriate corrective action

plan for any outstanding safety findings should be presented. A proposal of a surveillance event should also be considered.

The Surveillance Manager should also ensure that the AH meets all of the current regulatory requirements to recommence operations under their permission.

This approach aims to guarantee that AH's ceasing voluntary suspension are in a state of compliance when operations re-commence. At any stage, advice may be sought from the LIRA branch to ensure that legislative requirements are met.

4.7.16 Accountabilities - update system information

Table 6: Position and accountabilities

Position	Accountabilities
National manager surveillance (NMS)	<ul style="list-style-type: none"> Notify the Manager Litigation, Investigations and Enforcement about a safety alert when no response has been received within the specified timeframe Refer matters for coordinated enforcement as necessary within the requirements of the manual
Surveillance manager	<ul style="list-style-type: none"> Ensure surveillance reports are actioned when received through sky sentinel Ensure approved processes are in place to follow-up and acquit Findings Exercise discretion on how to apply the regulatory decision-making considerations set down in this manual (see section on – Key considerations for regulatory decision making) Enforcement Assign responsibility for peer review for objections to SF Assign responsibility for a new AH to a SM and team Participate in collaborative decision-making process for more complex requests for extensions for safety findings Assist issuing inspector in finalisation of a surveillance event to follow-up and acquit findings.
Issuing inspector	<ul style="list-style-type: none"> Ensure surveillance reports are actioned within appropriate timeframes. Follow up and acquit finding Notify the SM if no response is received in the case of a safety alert Ensure that the safety finding follow-up data is provided to the relevant action officer and is entered into sky sentinel Accept requests for an extension for safety findings and notify SM and controlling office Notify AH as to whether requests for extension are accepted or not accepted for safety findings Monitor milestones on safety finding extensions and report to surveillance team

Position	Accountabilities
Surveillance team members	<ul style="list-style-type: none"> Consider conducting a follow-up control effectiveness review of any systems risks that may have changed sufficiently to constitute a change in the mitigated systems risk rating Assist issuing inspector in finalisation of a surveillance event to follow-up and acquit findings Exercise discretion on how to apply the regulatory decision-making considerations set down in this manual (see section on – Key considerations for regulatory decision making) issuing inspector Finding
Surveillance team	<ul style="list-style-type: none"> Collect relevant information to assist in assessment and record in sky sentinel Conduct a review of the new AH
Surveillance technical officer (STO)	<ul style="list-style-type: none"> Provide education to surveillance teams on RMS, Power BI, sky sentinel Action auto-generated emails from sky sentinel in a timely manner Issue surveillance reports in a timely manner with proofing and editing completed. Add response correspondence to sky sentinel when received Assist with S32 requests Ensure job aids and forms are up to date Monitor sky sentinel for surveillance reports/events timing Monitor sky sentinel and issue applicable letters for SF Ensure status is correct on surveillance events Ensure status is correct on safety findings Provide Power BI reports on request Action requests that come through the surveillance mailbox Provide relevant forms and documentation on events files Update EAP for ASR alert (commence and Acquittal dates)
Controlling office	<ul style="list-style-type: none"> Record details of the new AH and responsible surveillance team in sky sentinel Evaluate and approve requests for extension for safety findings of a straightforward nature in consultation with the issuing inspector Refer requests for extension for safety findings to Manager, Litigation, Investigations and Enforcement for more complex requests, and participate in collaborative decision-making process

5 Monitoring and Response Surveillance (MRS)

5.1.1 Intelligence Data Management (IDM)

Intelligence Data Management (IDM) refers to how CASA manages intelligence it becomes aware of. This intelligence is managed by the MRS team in accordance with this section.

5.1.2 Intelligence data sources

Intelligence Data received by CASA is via multiple sources. These sources include, but are not limited to:

- ATSB/CIRRIIS reports
- AH safety reports
- Internal CASA correspondence
- Investigation reports (ATSB/NTSB/AAIB etc)
- Non-significant changes
- Reliability reports
- REPCONS
- Self-reported deficiencies
- Defect Reports processed through the CASA Defect Reporting System
- Unsafe Behaviour and Low Flying Aircraft reports.

Due to the variations in data sources, all the intelligence is entered into a centrally managed spreadsheet, accessible by all SMs, to ensure consistency in the management of reports and for the analysis of safety trends.

It is important that all intelligence received by CASA is reviewed by the MRS team to assess any impact on the current scheduled surveillance and regulatory services tasks or the operations of another division of CASA. Where it is determined the intelligence may impact another division the MRS team will email the relevant manager to ensure they are aware of the intelligence and any potential impact.

Once the intelligence is received the MRS team will determine if follow up action is required.

Deciding if a follow-up event is required is determined taking into account the following factors:

- consider carrying out a web search for any adverts posted by the AH that may be advertising services that they are not permitted to provide
- any additional surveillance intelligence about the AH and their operation
- enforcement history
- outstanding safety findings and findings history
- the severity of the occurrence being reported
- time since the last level 1 or level 2 surveillance event, particularly when compared to the recommended frequency specified in the NSSP manual.

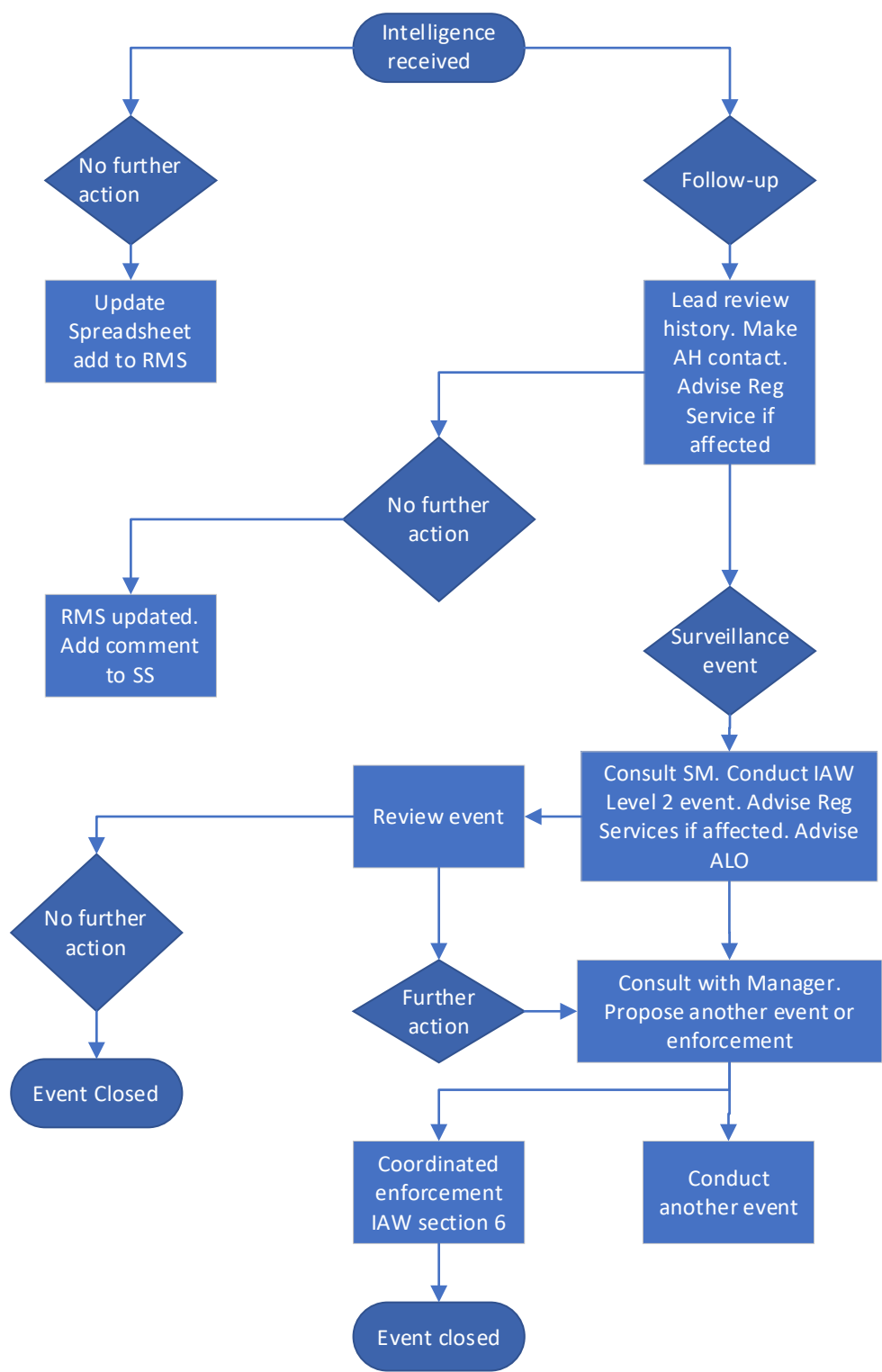


Figure 93: Intelligence process

5.1.3 Process intelligence received

1. Intelligence reviewed by team.
2. Decide, no further action or follow-up.
3. No further action:
 - a. Up-date spreadsheet, check intelligence is in RMS if required.

Note: ATSB/CIRRIS data automatically populates AH Power BI report.

4. Follow-up:
 - a. Allocate lead
 - b. Review surveillance history
 - c. Review current regulatory services tasks
 - d. Make initial contact by phone call or sending a form 997 or 998 to the individual or organisation involved
 - e. Ensure a record of conversation (Form 1289) is completed at the conclusion of the phone call
 - f. Advise regulatory services if intelligence impacts current tasks
 - g. Advise relevant SM if intelligence impacts current or up-coming surveillance event.
5. Review information received by phone call or form returned:
 - h. Decide – no further action (NFA) or level 2.
6. If no further action:
 - a. Place comment for AH in RMS reference
7. If level 2 recommended: Note if level 2 is raised for ATSB report ALO needs to be notified:
 - a. Review surveillance history
 - b. Review regulatory services history including current tasks
 - c. Advise regulatory services if proposed action affects current tasks
 - d. Raise level 2 for authorisation holder, only use below for MRS events:
 - i. Level 2 – Unscheduled – Occurrence – Desktop
 - ii. Level 2 – Unscheduled – Occurrence - Site.
 - e. Scope event using form 1189
 - f. Consult with relevant SM for resources and timing of event
 - g. Scheduled surveillance conduct event where MRS cannot.
8. Review result of level 2:
 - a. Decide no further action, another event, or coordinated enforcement.
9. In consultation with relevant SM:
 - a. Propose another event
 - b. Recommend coordinated enforcement.
10. If coordinated enforcement recommended:
 - a. Advise NMS of recommendation

- b. Initiate coordinated enforcement
- c. Take other action as recommended.

Note: See [Annex 1](#) section on occurrence management for further details.

6 Enforcement in surveillance

6.1 Overview

6.1.1 Purpose

The purpose of this chapter is to describe CASA's approach and procedures to enforcement procedures of aviation AH's throughout Australia's aviation industry.

In accordance with the regulatory philosophy, CASA will not utilise its discretionary powers to vary or suspend a civil aviation authorisation for punitive or disciplinary purposes, but only for purposes reasonably calculated to achieve specified safety-related objectives, including the protection of persons and property pending the satisfactory demonstration by the person whose privileges have been, or are to be, varied or suspended, that the shortcomings or deficiencies giving rise to CASA's action have been effectively addressed.

Before enforcement is recommended, factors to be considered in the Enforcement Manual must be reviewed.

6.2 Process

The diagram below provides a high-level view of the surveillance Enforcement process.

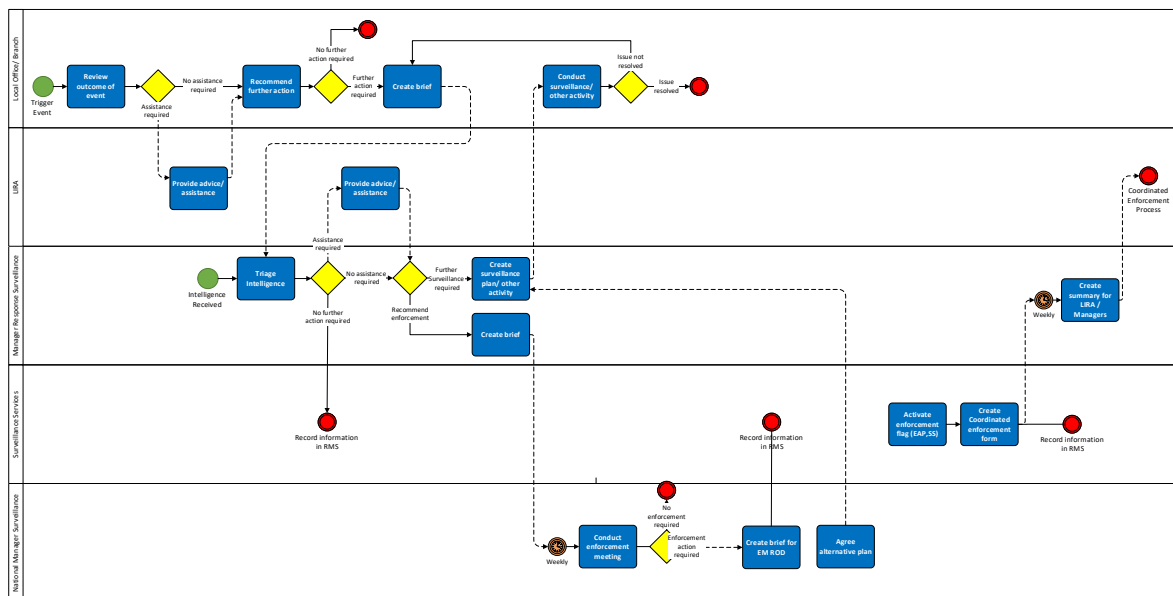


Figure 14: Surveillance enforcement process

6.2.1 Process - entry into enforcement

Surveillance manager

1. Review outcome of the event taking into consideration the CASA Regulatory Philosophy the CSM and Enforcement Manual.
2. Surveillance manager completes appropriate forms Coordinated Enforcement Referral – Non RPAS [CASA-04-5575](#); or
3. Coordinated Enforcement Referral - RPAS [CASA-04-5577](#).
4. RPAS forms are emailed to investigations@casa.gov.au
5. Non-RPAS forms are emailed to Monitoring and Response Surveillance at response.surveillance@casa.gov.au.

Manager Monitoring and Response Surveillance

1. Triage intelligence.
2. Conduct weekly meetings with NMS.

National Manager, Surveillance

1. Recommends further surveillance.
2. Recommends coordinated enforcement.

Manager Monitoring and Response Surveillance

1. Enforcement recommended.
2. Forward referral form to Investigations, referring manager, Surveillance and NMS.
3. Recommend further surveillance.
4. Complete enforcement non-referral form and email to Investigations and the referring manager
5. Contact local office/branch with decision for further surveillance.

Monitoring and Response - Surveillance technical officers

When enforcement recommended.

1. Activate enforcement flag in sky sentinel and via the Alert function in EAP
2. Record information in RMS.

6.2.2 Process detail - entry into enforcement

Entry into enforcement is required where any of the following situations occur:

- a. Any matter which appears to involve a serious or deliberate contravention of the aviation legislation with a potential to affect safety
- b. Any matter in which it is proposed to issue a formal counselling notice to an industry participant
- c. Any matter in which it is proposed to issue an AIN to an industry participant
- d. Any matter referred to CASA by a state, territory or commonwealth law enforcement
- e. agency seeking the issue of an AIN or other specified compliance or enforcement action (e.g., the issue of a counselling notice)
- f. Any matter in which serious questions arise as to the suitability of an applicant for a civil aviation authorisation or appointment, to be issued with that

- authorisation or appointment –including questions of whether the applicant is a fit and proper person to hold the relevant authorisation or appointment
- g. Any matter in which an authorisation holder engages lawyers to dispute surveillance findings or raise questions about the holder's compliance obligations under the aviation legislation (only required if the situation cannot be resolved by the SM)
 - h. Any matter involving the issue of a safety alert to an authorisation holder
 - i. Any matter involving the alleged falsification of records required to be kept under the aviation regulatory framework
 - j. Any matter in which, following surveillance or otherwise, it is proposed that the authorisation holder be the subject of a corrective/management action plan, however, so described.
 - k. Any matter where, in order to determine whether non-compliance has occurred, CASA will be required to resolve complex factual issues which may require the skills of an Investigator
 - l. Any other regulatory contravention in respect of which it is considered possible that it may be necessary to exercise CASA's enforcement powers.

The AH's response to the safety finding is unsatisfactory in circumstances where:

- m. The AH is repeatedly unable or unwilling to provide an adequate response, despite reminders of their responsibilities, or it is clear the AH is not frankly and openly addressing the deficiencies raised.
- n. There has been no response from the AH following the issue of a safety finding (see section on No response received)
- o. The period of a request for extension is for a period greater than three (3) months and an action plan has been proposed by the AH (see section on request for extension)
- p. The requirements of an agreed action plan have not been met

When initiating referral to enforcement the surveillance manager of all AH's oversighted by the Regulatory Oversight Division (ROD) will provide a brief to the Monitoring and Response Surveillance Manager (MRSM) using Form [CASA-04-5575](#) Coordinated Enforcement Referral – Non RPAS in support of the enforcement action. The MRSM presents the form to the NMS at the weekly enforcement meeting. The MRSM will then initiate action to refer the matter to the CEP once clearance has been received to do so by the NMS.

Where the NMS does not support the enforcement action the MRSM will complete the Form 811, Coordinated Enforcement Non-Referral Form and forward to LIRA Investigations and the referring manager.

Note: Just because a matter has been referred to coordinated enforcement that does not mean LIRA will automatically accept the referral.

If LIRA accept the referral an investigator may be assigned. Once that is done a meeting must be held between the assigned investigator, the relevant SM and inspector within two weeks where practicable.

If an AH has been referred to coordinated enforcement and that action is ongoing, and further information becomes known involving that AH, then the SM will email Investigations and the

assigned Investigator the additional information rather than re-refer using another referral form.

In circumstances where the enforcement action requires a facts and circumstances document to be issued, the SM and the relevant inspector will assist the investigator or lawyer in drafting that document.

If an AH is subject to current enforcement action, any safety finding relating to the activity that is the subject of that enforcement action must not be acquitted unless LIRA branch has been advised prior to the acquittal. Any such matters should be discussed with the NMS and Manager Litigation, Investigations and Enforcement.

In circumstances where a safety finding is associated with a safety alert and the AH has failed to respond, the NMS must be alerted, and entry into enforcement initiated.

The CEM provides a forum for better decision-making and for discussing alternative options for dealing with the issue. The SM should ensure that they are fully briefed on any referral from them before the CEM including reviewing the CEM agenda to see where each case is currently. (For any queries in relation to this process, contact the Manager, Litigation, Investigations and Enforcement).

Enforcement flag

It is important that all CASA staff members involved in surveillance and regulatory services activities are aware of any current enforcement action, and so the enforcement flag must be activated as an “Alert” in EAP and adding the “Under Enforcement” tag to the UID in sky sentinel this will be done by the MRS STO, upon notification, advice when an AH is referred to the CEP. Knowledge of the current enforcement status is important throughout all surveillance phases; however, it is particularly important when assessing a safety finding for acquittal. The enforcement flag is removed if the referral does not progress, following advice from LIRA Division, or if the action plan is accepted by the CEM and the request for extension is approved.

Notes: If an AH is subject to current enforcement action, any safety finding relating to the activity that is the subject of that enforcement action must not be acquitted unless the matter has been discussed with LIRA prior to it being acquitted. Any such cases should be discussed with the Manager Litigation, Investigations and Enforcement. By the time that enforcement action is commenced, the AH will most likely be outside the time provided by CASA for response to the safety finding.

In most cases, it is anticipated that an AH will continue to address the subject of the outstanding safety finding during the enforcement process, as a measure of its willingness and ability to do so. However, where administrative action in the form of a show cause notice has commenced, the timeframe for response to the matters raised in that notice (including outstanding safety findings) will be dictated by the timeframe set out in the show cause notice for a response.

7 Information capture and access

7.1 Overview

7.1.1 Purpose

This chapter defines the management of information in relation to the capture and assessment of surveillance information. It also outlines the purpose of the information captured, request of analysis of information, and the release of information and associated protocols.

7.1.2 References

Manuals/policies

- Information Security Manual
- Information Management Manual
- Protective Security Manual.

7.2 Safety analysis information support

The SSB supports all relevant divisions by providing safety analysis information to enhance decision-making through the identification of existing and emerging risks.

SSB works within the safety analysis framework to:

- assist in deciding what additional facts are needed
- ascertain factors underlying safety deficiencies
- assist in reaching valid conclusions.

7.2.1 Safety information

CASA's Power Business Intelligence (BI) program enables access to important safety data, allowing centralised access to corporate information stored within the system.

BI provides EAP certificate information at the individual operator level with information for most AH's.

Guidance material on accessing and using BI is available on CASA's Intranet at: [How to User Guide - Surveillance Power BI Reports](#)

Power BI reports are available for EAP, delegates, ATSB and CIRRIS and sky sentinel data.

There are many options available for most reports including the ability to download previously prepared reports or customise search fields to access more specific information.

7.2.2 Ongoing information capture and sharing

Throughout all phases of the surveillance process and on an ongoing basis, inspectors and staff should be mindful of the importance of capturing and recording full details of all interactions with AH's, as well as providing the reasoning behind all decisions and assessments made during the process. All such recorded information must be evidence based, factual and justifiable within the scope of an individual's responsibilities and logged as

a general comment in sky sentinel. Capturing and recording this information is important when reviewing previous events, or if the matter is referred to CEP.

Any information collected regarding aviation activities should be made available to the surveillance manager. The nature of the information will determine the method by which it is communicated (verbally, e-mail etc.).

The surveillance manager will consider the following when determining what to do with that information:

- effect on aviation safety
- effect on the existing safety risks associated with the AH
- relevant and applicable legal requirements
- who needs to be aware of the information?
- the most effective way of communicating the information.

7.2.3 Information quality control

Surveillance managers must periodically review their information quality to ensure surveillance information is complete, consistent, valid, and correct/accurate. This includes the ongoing review of safety findings, systems risk results and surveillance reports.

Surveillance managers must ensure all information relevant to their assigned AH's is entered into sky sentinel, including performing periodic reviews of work being undertaken by teams to ensure the highest information quality possible. The information contained in sky sentinel must not be altered to change or manipulate the surveillance work programs for the controlling offices. Any identified errors with data stored must be rectified by the information asset delegate. Contact Group Transformation Team for details of information delegates and custodians. Information in the surveillance tool is used extensively for Safety Performance Analysis and national surveillance prioritisation.

7.2.4 Information elements

Each information element can be checked using some or all of the following measures:

completeness – all applicable fields contain the correct information. At this point, no assessment is made regarding the content of the field, only that the information has been entered

consistency – records are checked for consistency with other information guidance, i.e. correct values are used for word pictures and in a consistent manner between Inspectoral team members

validity – during information entry, appropriate and relevant peer-review processes have occurred ensuring consistency and standardisation

correctness/accuracy – sky sentinel fields may contain information that meets completeness, consistency and validity criteria, but can still be incorrect. Regular review of surveillance information by surveillance managers and team members is a key step in correcting obvious typing errors, as well as identifying missing or incorrect information. Answering the following questions may be helpful in ascertaining information quality:

- Are the surveillance team members using the surveillance tool?
- Are timely entries being made?
- Is the surveillance information complete, consistent, valid and accurate?

- Are all surveillance records current for new AH's?
- Are all comments entered in a way that makes the intent readable, meaningful, useful, and understandable?