



Australian Government
Civil Aviation Safety Authority

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CASA Surveillance Manual Annex 10 - Delegates and Authorised persons Authorisation holders

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Acknowledgement of Country

The Civil Aviation Safety Authority (CASA) respectfully acknowledges the Traditional Custodians of the lands on which our offices are located and their continuing connection to land, water and community, and pays respect to Elders past, present and emerging.

Inside front cover artwork: James Baban.

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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.

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Introduction

This annex is an integral part of the CASA Surveillance Manual (CSM), which should be referenced at all times. To allow for more frequent revisions, this annex can be updated independent of the CSM and other annexes. The process of updating this annex requires verification and approval from its owners and sponsors.

Revision history

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

Table 1. Revision history

Version number	Date	Parts and sections	Details
6.1	August 2024	2	Added surveillance intervals
		3	Added multi-year surveillance
		Throughout	Removed Health Check references
6.0	April 2022	Section 4.3	Removed of superseded reg references
5.0	December 2019	Nil change	Health Check mandatory element section not requiring update in this annex
4.0	April 2019	Inclusion of Introduction and Revision history.	These inclusions allow for updates and revisions independent of the CSM and other annexes.
		Section 1 - Para 4	Information on delegates concerning the use of AHPI tools. Removed manufacturing authorised persons

1 Overview

This annex provides instructions for conducting surveillance of non-CASA officers (industry) who hold delegations and/or authorisations, issued by CASA, to exercise regulatory powers. This includes some 'approvals' which are not more appropriately covered elsewhere, specifically approvals under CASR 139.320 to conduct aerodrome safety inspections.

There is a broad range of regulations, against which CASA appoints persons to exercise powers under those regulations, across several technical disciplines. Consequently, responsibility for the surveillance of industry delegates is allocated across CASA offices, to best align with appropriate geographic location and/or technical inspectorate staff.

While Delegate Management is not responsible for the ongoing direct management of industry delegates, it monitors and analyses certain delegate activities (particularly in the airworthiness area) and may suggest and/or conduct special surveillance activities, with engagement of the responsible overseeing office, based on identified areas of concern.

This annex provides guidelines for conducting surveillance for all independent delegates and authorised persons including, but not limited to, technical airworthiness delegates, (aerodrome safety inspectors, dangerous goods delegates and training delegates).

Delegates and authorised persons associated with, or restricted to, working under a holder of an authorisation such as an AOC or Part 145, must be assessed under the authorisation holder's systems and are not covered in this annex.

This annex contains information relating to the following

- Surveillance intervals
- Multi-year surveillance
- Systems and elements for Delegates and Authorised Persons Authorisation Holders
- Surveillance currency guide
- Information sources.

Note: Surveillance of FERs whose delegation is either limited to students of a particular flying training organisation or is in force only while they are directly employed by the flying training organisation, are covered by this annex.

2 Surveillance Intervals

Table 2. Surveillance intervals by Group

Group	Certificate/ Part	Activities (in priority order)	Period (Y)	No. of events	Cycle (M)	Scope coverage
Delegate						
AW-H	Delegate		3	1	36	All

3 Multi-year surveillance

The multi-year National Oversight Plan (NOP) surveillance schedule has the following elements to ensure a consistent and repeatable approach to surveillance strategy.

Each authorisation holder is assigned to a group to ensure a consistent oversight approach to similar operators. Where an authorisation holder holds multiple certificates within the same 'discipline' (i.e. Flight Operations or Airworthiness), one will be determined as primary and will drive the timing requirements for that authorisation holder. This will generally be the certificate with the lowest 'cycle' (i.e. highest frequency of events required).

Each group has an oversight period of between 3 and 5 years to ensure a consistent level of oversight over a set period of time. This oversight period may be aligned with the validity period of a certificate where practical.

Each group has a number of events and a cycle assigned to ensure that a consistent number of events are carried out in each group over the oversight period.

Each group has defined scope coverage to be achieved during the oversight period to ensure consistency in the areas assessed for compliance. Scope is defined as either;

Core = only core scope to be assessed within oversight period, at each planned event.

Extended = an extended set of scope to be assessed within oversight period – core scope to be assessed at each event, and extended scope to be divided between planned events within period. This means that some areas will not be subject to surveillance.

All Applicable = all applicable scope to be assessed within oversight period – core scope to be assessed at each event, and all applicable remaining scope to be divided between planned events within period. Applicable scope may be determined by part or by individual operator based on activities carried out or on an assessment of the operator / legislative part.

Groups, cycles and scope coverage has been determined by the risk profile of each certificate

A Post Authorisation Review (PAR) will also be carried out on all new operators within 12-18 months after approval.

4 Systems and Elements: Delegates and Authorised Persons

The audit technique involves assessing the documented system, comparing it against the actual system processes. The system is assessed for compliance and sampling conducted as appropriate. The assessment of the system and its risks is achieved by a questioning technique using the four attributes (12 components) of the Management System Model (MSM), see CSM sections on System attributes – Management System Model and section on Systems attributes (table).

The CASA description of Delegate Management consists of 1 systems and 3 elements

Table 3. Systems and elements

Systems	Elements
Delegates and Authorised Persons	Operating standards
	Data and documents
	Delegate/Authorised person activity

Table 4. Systems and elements

System: Delegates and Authorised Persons	
Element: Operating standards	
<p>The Operating Standards element ensures safe operations and defines how processes and procedures are maintained to ensure the delegate or authorised person maintains the required qualifications, experience, approvals/certification and recency (as applicable) in relation to the regulatory powers conferred to them. The delegate/authorised person must have a system in place that ensures they keep abreast of contemporary CASA policy, procedures and regulations, and should detail how the duties and tasks are performed. The delegate/authorised person must have a system in place to record, report and otherwise account for the workload for managing and performing the duties and tasks to ensure they are carried out in accordance with the prescribed standards and procedures (as applicable).</p>	
Prompts	
Access to current data via mailing list, internet access, technical library and/or customer supplied data relevant to the scope of the Instrument	Familiar with the scope and powers conferred in the instrument and any changes to relevant legislation, CASA policy, procedures and guidance material
Maintain contemporary knowledge and skills. Recent training (including regulatory) or attend seminars, conferences relevant to the instrument scope and powers	Qualifications match requirements of the privileges, responsibilities and scope of the instrument
Currency and recency, where applicable	Certification, where applicable
What process is there to review the delegate's/authorised person's exercise of regulatory powers to verify decisions meet the operating standards?	Other activities the holder performs which impacts their workload. Consider other CASA and/or National Airworthiness Authority (NAA) permissions, other roles and functions within the organisation, and what assistance/support the delegate or authorised person has available
Element: Data and documents	
<p>This element addresses all technical data, design drawings, regulatory documentation, guidance material and the policy and procedures used by the delegate/authorised person in the course of exercising the delegate's/authorised person's powers under their instrument.</p>	
Prompts	
All required data and documents identified and complete	Availability/Adequacy/Currency of data and documents used for the job. Amendment service/subscriptions in place
Data and documents maintained and secure	Procedures support the scope of the instrument; comply with legislation and CASA policy and guidance
Records are maintained as specified under the instrument/legislation	Processes to ensure the person exercises powers, under the instrument, independently to the preparation of the technical assessment document process (as applicable)

System: Delegates and Authorised Persons continued	
Element: Data and documents continued	
Reporting as required under the instrument/legislation	Procedures are current, approved/accepted. Any changes are properly approved/accepted
Test results complete, maintained and secured (as applicable)	DAMP documentation
Element: Delegate/Authorised Person Activity	
This element addresses all delegate/authorised person activities undertaken in exercising the conferred regulatory powers under their respective instruments.	
Prompts	
Review Instrument for the scope of the permission and validity period	Certification, as applicable
Activity statements to ensure all technical activities have been recorded and the statements have been submitted to CASA in accordance with the instruments requirements	Instrument holder acts with independence and not under 'dictation'. Decisions based on safety and no undue influence, duress or commercial pressures
Compliance with legislative, policy and procedural requirements	Level of activity (too high/not high enough). Workload and effects on decision making and thorough practices
All relevant data taken into consideration. Not influenced by irrelevant information	Consideration of relevant guidance material
Job package accurate and complete	Human factors
Activity reports to CASA as required by his/her instrument	Reviews decisions and work packages

5 Surveillance currency guide: Delegates and Authorised Persons Authorisation Holders

Table 5. Surveillance currency guide

Surveillance level	Type	Elements
Level 1	Systems audit	Systems, risks and compliance
	Post-authorisation review	Entry control elements
Level 2	Operational check	E.g., Manual review, Observation of specific activity

Note: Surveillance intervals are determined by the National Surveillance Selection Process (NSSP). Refer to the NSSP planned surveillance schedule for further information regarding surveillance intervals.

5.1 Airworthiness Delegates (not including design approval)

Airworthiness powers and functions which are delegated to industry are usually limited to the following (although others may be delegated from time to time in order to meet particular needs):

Instrument of Appointment as an Authorised Person under CAR 6 or CASR 201.001:

- **CAR 29A** - Conduct welding examinations
- **CAR 42M** - Approve a system of maintenance for an aircraft
- **CAR 42R** - Approve a change to a system of maintenance for an aircraft
- **CAR 42ZC(7)** - Authorise a person to carry out maintenance on Class A aircraft
- **CAR 262AP(5)** - Authorise operations of experimental category aircraft over built-up area
- **CAR 262AP(6)** - Authorise operations of experimental category aircraft other than by day and under Visual Flight Rules (VFR)
- **CASR 21.176** - Issue certain certificates of airworthiness
- **CASR 21.195A** - Issue an experimental certificate
- **CASR 21.200** - Issue a special flight permit
- **CASR 21.324** - Issue an export certificate of airworthiness.

Instrument of Delegation under CASR 11.260

- **CAR 37** - Approve a defect as a permissible unserviceability
- **CAR 42ZC(6)** - Approve a person to carry out maintenance on aircraft, components or materials.

5.2 Aerodromes approvals

Aerodromes powers and functions which are approved to industry are usually limited to the following:

'Approved persons' appointed under CASR 139.320:

- **CASR 139.315** - Conduct aerodrome safety inspections at registered aerodromes
- **CASR 139.345** - Conduct aerodrome safety inspections at certain other aerodromes.

6 Information sources

All airworthiness industry delegates are required to enter details of their activities in the Delegate Management Notification System (DMNS) before commencement and on completion. This provides a complete and current standardised data set via the Power BI reports to support surveillance activities conducted on these delegates. Information about activities related to a delegate who is associated with another permission holder may be available as a result of surveillance activities conducted on that permission holder.

The following is a non-exhaustive list of information sources that can be accessed to support the assessment of an authorisation holder:

- surveys
- third-party audits
- regulatory history, findings
- past surveillance reports and findings
- EAP information
- Regulatory service activity
- information gathered by the authorisation holder
- external information gathered from industry or other government agencies
- Enforcement action
- past accident/incident history

A large portion of this information is available to CASA staff via the Data Warehouse using the Power BI application.

Note: For advice on where and how to access required information, refer to CSM Chapter on Information Capture and Access.