Annex 12

Part 173 Instrument Flight Procedure Design Authorisation Holders

Introduction

This annex is an integral part of the CASA Surveillance Manual (CSM), which should be always referenced. 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, as well as from Coordination and Safety Systems (CSS). An updated version can only be published once CSS has finalised the format, with the latest revision history data included in the revision table.

Revision history

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

Version Nº.	Date	Parts / sections	Details
6.0	November 2022	All	Sixth issue Update to CSM reference
5.0	December 2019	Section 2.1	Change of where to locate Health Check mandatory elements
4.0	April 2019	Inclusion of Introduction and Revision history.	These inclusions allow for updates and revisions independent of the CSM and other annexes.
4.0	April 2019	Section 2.1	Removal of recommended Health Check timeframes.
4.0	April 2019	Section 3	Removal of recommended surveillance intervals.
4.0	April 2019	Section 4	Addition of third-party audits.

1 Overview

This Annex provides instructions for conducting surveillance of CASR Part 173 Instrument Flight Procedure Design and contains information relating to the following:

- Systems and Elements
- Systems and Elements – Health Checks
- Surveillance Currency Guide
- Information Sources.

2 Systems and Elements: Instrument Flight Procedure Design Authorisation Holders

Note: The term 'authorisation holder', as used in this annexe, refers to a procedure design certificate holder or procedure design authorisation holder, as appropriate.

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 is achieved by a questioning technique using the four attributes (12 components) of the Management System Model (MSM), see the CSM on System attributes – Management System Model and Systems attributes (table).

The CASA description of an Instrument Flight Procedure Design (IFPD) authorisation holder consists of four systems incorporating eight elements.

Table 1: Systems and Elements

Systems	Elements
Administration	IFPD Operations
	Tooling and Equipment
	Data and Documents
Personnel	Personnel Standards
Design Activity	**System level only**
Safety Management	Safety Policy and Objectives
	Safety Risk Management
	Safety Assurance
	Safety Promotion

Table 2: Administration Elements

SYSTEM: Administration	
ELEMENT: IFPD Operations	
The IFPD Operations element addresses the systems and processes that an authorisation holder must have to ensure the services and or products it provides meets regulatory standards and addresses the systems that ensure the authorisation holder contains and controls its operations to those authorised. This is primarily achieved using a properly structured organisation with appropriate processes. Appropriate key personnel are a key link in ensuring procedure design not only meet the required Standards but have appropriate quality assurance. An example of key personnel includes the Chief Designer.	
Prompts:	
Organisation structure	Supervisory personnel
Operational staff	Appropriate communication channels
Appropriate key personnel	Operations limited to those authorised
Appropriate facilities	Operations controlled to those authorised.
Consistency of policy	Certificate/exemption conditions met
Operations manual	Certificate variation
Design standards	Transfer/withdrawal of maintenance responsibilities
ELEMENT: Tooling and Equipment	
The tooling and equipment element consists of the systems that make up the control of aspects associated with any tooling and equipment utilised in the production of the authorisation holder's product or provision of a service. The documented system should address but is not limited to all tooling and equipment held, used or contracted by the organisation for the purpose of designing and publishing instrument flight procedures.	
Prompts:	
Availability/Adequacy	Maintenance
Identification	Validation/Acceptance
Data integrity	Training
Contractual arrangements	Operation
ELEMENT: Data and Documents	
The data and documents element addresses all technical data, design drawings, regulatory documentation and quality/procedures manuals used while producing and publishing instrument flight procedures.	
Prompts:	
Availability	Identification
Storage/Security	Handling
Document control	Change management

SYSTEM: Administration	
Currency (documents, charts, data)	Back up of data
Records management	Verification
Validation	Operations manual
Design standards	Personnel records

Table 3: Personnel Elements

SYSTEM: Personnel	
ELEMENT: Personnel Standards	
The IFPD authorisation holder is required to establish and maintain an appropriate organisation, with sound and effective management structure. The standards of personnel, including third party providers is required to be documented detailing induction training, periodic recurrent training/checking and any required training for new criteria. A process for dealing with unsatisfactory performance should also be documented.	
Prompts:	
Basic criteria training	Proficiency program
Induction/OJT training	Poor performance aspects
Recurrent training program	Training and performance
Checking and training	Supervisors
Chief Designer	Acting Chief Designer
DAMP education and testing	

Table 4: Design Activity

SYSTEM: Design Activity	
Note: The Design activity system has no smaller elements associated with it. It addresses the systems and processes that apply to the outputs of the authorisation holder. Documented processes should exist but not be limited to individual or collective design activities undertaken.	
Prompts:	
Design standards met	Validation
Publication	Operations manual followed
Supervision	Task assignment
Verification	Issue reporting
Sub-contracting	Records and documentation
Procedure withdrawal	Procedure maintenance

Table 5: Safety Management Elements

SYSTEM: Safety Management	
ELEMENT: Safety Policy and Objectives	
The element contains the systems and processes that ensure effective governance to support the safety management system are in place, this will include processes for the review and update of the authorisation holder's management and commitment (through Safety Policy, Just Culture and Safety Objectives), the appointment of key personnel, the accountabilities of management, immediate corrective action, and SMS documentation.	
Prompts:	
Management commitment and responsibility – safety policy	Appointment of key personnel
Management commitment and responsibility – just culture	Relevant third-party relationships and interactions
Management commitment and responsibility – safety objectives	Immediate corrective action
Safety accountabilities of managers	SMS documentation
ELEMENT: Safety Risk Management	
This element contains the systems and processes to ensure investigation, and analysis, of the safety risks associated with identified hazards resulting in the implementation of effective safety risk controls.	
Prompts:	
Hazard identification processes - reactive	Risk assessment and mitigation
Hazard identification processes - proactive	DAMP supervision
ELEMENT: Safety Assurance	
This element contains the systems and processes for setting, recording and evaluating system performance, conformance with regulations and company procedures, a process for the conduct of internal safety investigations, effectively manage change across the aviation activities conducted and drive continuous improvement of the SMS.	
Prompts:	
Safety performance monitoring and assessment – system performance	Internal safety investigation
Safety performance monitoring and assessment – assurance	Management of change
Safety performance monitoring and assessment – flight data analysis (if applicable)	Continuous improvement of SMS
DAMP supervision	

SYSTEM: Safety Management	
ELEMENT: Safety Promotion	
This element contains the systems and processes for ensuring personnel are appropriately trained, are aware of the SMS to a degree commensurate with their positions that conveys safety-critical information, explains why particular safety actions are taken, and explains why safety procedures are introduced or changed must be evident.	
Prompts:	
Training and education	Safety communication
DAMP education and testing	

2.1 Health Check

Health Check mandatory elements are available on the CASA Intranet. Details of the current mandatory elements for each authorisation type are published separately to the CASA website.

3 Surveillance Currency Guide: Instrument Flight Procedure Design Authorisation Holders

Surveillance level	Type	Elements
Level 1	Systems Audit	Systems and Compliance
	Health Check	Specific Elements and Compliance
	Post-authorisation Review	Entry Control Elements
Level 2	Operational Check	E.g. Flight Deck Observation, Ramp check

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.

4 Information Sources

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

- past Surveillance Reports in Sky Sentinel
- surveys
- third-party audits
- regulatory history, findings (Safety Findings and Safety Observations)
- past Surveillance Reports and findings (Safety Findings and Safety Observations)
- 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
- risk management plans provided by the authorisation holder.

A large portion of this information is available to the surveillance team and authorisation management team via the Data Warehouse using the PowerBI application.

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