CASA Surveillance Manual Annex 13 - Manufacturing Organisations

March 2025

Acknowledgement of Country

The Civil Aviation Safety Authority (CASA) respectfully acknowledges the Traditional Custodians of the lands on which our offices are located and the places to which we travel for work. We also acknowledge the Traditional Custodians' continuing connection to land, water and community. We pay our respects to Elders, past and present.

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.

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Revision history

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

Table 1.   Revision history

Version number	Date	Parts and sections	Details
6.0	March 2025	All	New template and removal of outdated information
		Section 3	Removal of health check references
5.0	July 2021	Section 2	Added Quality to Safety Management System title
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 2.1	Removal of recommended Health Check timeframes.
		Section 3	Removal of recommended surveillance intervals.
		Section 4	Addition of third-party audits.

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1   Overview

This annex provides instructions for conducting surveillance of CASR Part 21 Manufacturing organisations and contains information relating to the following:

- Systems and elements
- Surveillance currency guide
- Information sources.

2 Systems and elements: Manufacturing organisations

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 CSM Sections on System attributes – Management System Model and Systems attributes (table).

The CASA description of a Manufacturing Organisation authorisation holder consists of four systems incorporating 15 elements.

Table 1.   Systems and elements

Systems	Elements
Manufacturing operations	Manufacturing administration
	Tooling and equipment
	Supplier control
	Data and documents
Personnel	Personnel standards
Activity	Certification and release
	Storage and distribution
	Material review
	Manufacturing activity
Quality and safety management	Quality policy and objectives
	Quality assurance
	Safety policy and objectives
	Safety risk management
	Safety assurance
	Safety promotion

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Table 2.   Manufacturing operations elements

System: Manufacturing operations	
Element: Manufacturing administration	
The Manufacturing administration 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 through the use of a properly structured organisation with appropriate communication channels. Appropriate key personnel are a key link in ensuring ATS operations are not only contained but are appropriate controlled. Examples include the Senior Supervisor (however named) and Safety Officer.	
Prompts	
Organisation structure	Supervisory personnel
Operational staff	Appropriate communication channels
Appropriate key personnel	Operations contained to those authorised
Appropriate facilities	Operations controlled to those authorised.
Consistency of policy	DAMP supervision
Element: Tooling and equipment	
This 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. The documented system should address, but is not limited to, all tooling and equipment held, used, contracted, loaned or borrowed by the organisation for the purpose of manufacturing aircraft or aircraft components.	
Prompts	
Availability/adequacy	Parts pooling
Identification	Calibration
Protection and storage	Maintenance
Borrowing/lending arrangements	Contracting
Disposal	Testing

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Manufacturing operations elements continued

System: Manufacturing operations	
Element: Supplier control	
This element describes the systems that make up the control of materials and products received from external suppliers. The documented system should address acquisition, storage and handling of all parts, components, materials, and consumable goods used, kept, loaned, or borrowed in the course of manufacturing aircraft or aircraft component maintenance.	
Prompts	
Purchasing	Receipt
Storage	Handling
Borrowing/lending	Dispatch/issue
Quarantine/rejection	Traceability
Element: Data and documents	
This element addresses all technical data, design drawings; regulatory documentation and quality/procedures manuals used in the course of manufacturing aircraft or aircraft components.	
Prompts	
Availability	Identification
Storage	Handling
Document control	Change management
Borrowing/Lending	Back up of data
Records management	DAMP documentation

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Table 3.   Personnel elements

System: Personnel	
Element: Personnel standards	
The manufacturing 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 (if applicable) and any required upgrade training. A process for dealing with unsatisfactory performance should also be documented.	
Prompts	
Induction training	Recurrent checking program
Upgrade training	Poor performance aspects
Recurrent training program	Training and performance
Checking and training	Qualifications
Licensing	DAMP education and testing
DAMP supervision	

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Table 4.   Activity elements

System: Activity	
Element: Certification and release	
This element addresses the systems and processes that ensure proper release of products is obtained. Documented process should exist but not be limited to supervision, certification, release and internal audit.	
Prompts	
Supervision	Initial certification
Non-conformity	Final certification
Product release	Internal audit
Supervision	Housekeeping (work in progress control and cleanliness)
Element: Storage and distribution	
This element contains the systems and processes associated with the storage and distribution of items being prepared for freight forwarding. This includes the acquisition, storage and handling of all items and consumable goods used, kept, loaned, or borrowed in the course of carrying out the manufacture of products.	
Prompts	
Identification	Tracking
Quarantine	Shelf life
Purchasing	Receipt
Dispatch	
Element: Material review	
This element contains the systems and processes associated with the review of material likely to be re-used in manufacturing items. This includes but is not limited to the Material Review Board (MRB), correct MRB representation and record keeping.	
Prompts	
MRB representation	MRB exists
MRB utilised	Documentation
Decisions recorded correctly	

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Activity elements continued

System: Activity
Element: Manufacturing activity
This element addresses the systems and processes that apply to the outputs of the manufacturing authorisation holder. Documented process should exist but not be limited to individually or collective manufacturing activity undertaken, including general and specialised activities.

Prompts	
Current data	Current standards
Contractors	Supervision
Specialised data	Obsolete or conflicting data
Interpretation of data	Conformance to procedures

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Table 5.   Quality and safety management elements

System: Quality and safety management
Element: Quality policy and objectives
The element contains the systems and processes that ensure effective governance to support the quality system are in place, this will include processes for the review and update of the authorisation holder's management and commitment (through quality policy and objectives), the appointment of key personnel, the accountabilities of management and quality documentation.

Prompts

Management commitment and responsibility – quality policy	Management commitment and responsibility – communication of policy
Appointment of key personnel	Quality system is adopted by personnel
Quality accountabilities of managers	

Element: Quality 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 quality investigations, effectively manage change across the activities conducted and drive continuous improvement of the quality system.

Prompts

Quality performance monitoring and assessment – system performance	Quality performance monitoring and assessment – assurance
Internal investigation	Management of change
Safety performance monitoring and assessment	Continuous improvement of quality system

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System: Quality and safety management continued

Element: Safety policy and objectives
This element contains the systems and processes that ensure effective governance to support the safety management system is in place including 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, the Emergency Response Plan and SMS documentation.

Prompts	
Management commitment and responsibility – safety policy	Management commitment and responsibility – just culture
Appointment of key personnel	Relevant third-party relationships and interactions
Management commitment and responsibility – safety objectives	Coordination of emergency response plan
Safety accountabilities of managers	SMS documentation

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	

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3 Surveillance currency guide: Manufacturing organisations

Table 6. **Surveillance currency guide**

Surveillance level	Type	Elements
Level 1	System audit	System and compliance
	Post-authorisation review	Entry control elements
Level 2	Operational check	Selected elements of the Production/Fabrication Inspection System (FIS/PIS Check)

> Note: Surveillance intervals are determined by the National Oversight Plan (NOP). Refer to the NOP surveillance schedule for further information regarding surveillance intervals.

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4   Information sources

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

- surveys
- third-party audits
- regulatory history, findings
- related surveillance reports i.e. CAR30/CASR Part 145 and CASR Part 42
- EAP information
- Defect Report Service (DRS)
- Regulatory service activity
- information gathered by the authorisation holder
- external information gathered from industry or other government agencies including foreign NAAs
- enforcement action
- industry report and information received during workshops and seminars
- past accident/Incident history
- risk management plans provided by the authorisation holder
- information received from CASA Authorised Persons.

Most of this information is available to CASA staff via the PowerBI application.

> Note: For advice on where and how to access required information, refer to CSM chapter on information capture and access.

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