



## **Annex 14**

# **Recreational Aviation Administration Organisations (RAAO) – Controlled Airspace Exemption (CTA EX) and Sport Aviation Bodies (SAB)**



## 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, 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         | August 2022   | Section 1, 2, 2.1, 3 and 4                      | Inclusion of CTA Ex and ASAO Systems and elements with Overview updated and Part 149 included |
| 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.    |
| 4.0         | April 2019    | Section 3                                       | Removal of recommended surveillance intervals.  |
| 4.0         | April 2019    | Section 4                                       | Addition of third-party audits.   |



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## 1 Overview

This Annex provides instructions for conducting surveillance of Sport Aviation Bodies (SABs), and sport aviation flight training school (FTS) who conduct operations under a Controlled Airspace Exemptions (CTA Ex). The Annex contains information relating to the following:

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



## 2 Systems and Elements: SAB

**Note:** Due to the nature of this authorisation there are limited Level 1 events undertaken on a SAB, no Systems and Elements are required at this stage.



### 3 Controlled Airspace Exemptions (CTA Ex) - Systems and Elements

Table 1: Systems and Elements for CTA Ex

| Systems                      | Elements   |
|------------------------------|--|
| Organisation and Personnel   | Facilities   |
|                              | Personnel Qualifications   |
|                              | Instructor flight proficiency checks/reviews   |
|                              | Syllabi  |
| Aircraft                     | Certification  |
|                              | Maintenance  |
|                              | Transponder and Instrument calibration   |
|                              | Modification   |
| Flight Training Requirements | Solo Training Flights  |
|                              | First Solo (training) Flight   |
|                              | Subsequent Solo (training) Flights within Aerodrome Traffic Area                                   |
|                              | Solo training flights that transition between Class D and G airspace (incl. cross country flights) |
|                              | Private Hire (training) Flights  |
|                              | Initial Private Hire Flight as PIC   |
|                              | Subsequent Private Hire Flights as PIC   |
|                              | Examination / Testing  |
| Record Keeping and Reporting | Student Pilot Training Records   |
|                              | Written Flight Authorisations  |
|                              | Pilot / Instructor Qualifications  |
|                              | Incidents, Accidents and Airspace Occurrences  |
|                              | Retention and Storage of Data, Information and Records   |
| Change Management            | Internal Change  |
|                              | External Change  |
| Safety Management            | Safety Policy and Objectives   |
|                              | Safety Risk Management   |
|                              | Safety Assurance   |
|                              | Safety Promotion   |



### 3.1 CTA EX – Systems and Elements

Table 2: Organisation and Personnel Elements

|  |  |
|--|--|
| <b>SYSTEM: Organisation and Personnel</b>  |  |
| <b>ELEMENT: Facilities</b>   |  |
| This element contains the requirements for the FTS to meet the RAAus criteria and to ensure adequate resources are available to meet regulatory and safety objectives. |  |
| <b>Prompts</b>   |  |
| Suitable for size and scope - meets RAAus minima   | FTS ownership - Individual, Body corporate               |
| RAAus audits - site audit v. self-assessment – freq.   | Organisational hierarchy                                 |
| Resources - computers, documents library, etc.   |  |
| <b>ELEMENT: Personnel Qualifications</b>   |  |
| This element contains the requirements for the personnel to be suitably qualified before exercising the privileges of their role.                                      |  |
| <b>Prompts</b>   |  |
| CFI - RAAus approval   | Licences - Part 61 with access to CTA                    |
| Examiner limitations   | Endorsements   |
| Medicals   | Expiry date tracking - qualifications, memberships, etc. |
| Memberships  |  |
| <b>ELEMENT: Instructor flight proficiency checks/reviews</b>   |  |
| This element contains the requirements for the personnel to be suitably proficient before exercising the privileges of their role.                                     |  |
| <b>Prompts</b>   |  |
| Flight reviews - Part 61   | Recency – Inst. 90 days, Senior Instructor 12 months     |
| Instructor flight reviews - RAAus  | Expiry date tracking process - flight reviews            |
| <b>ELEMENT: Syllabi</b>  |  |
| This element contains the requirements for the FTS to apply consistent and approved flight training standards.   |  |
| <b>Prompts</b>   |  |
| Flight training syllabus followed - RAAus or Part 61   | Flight radio syllabus - RAAus and Part 61 compliant      |



|  |                                  |
|--|----------------------------------|
| <b>SYSTEM: Organisation and Personnel</b>        |                                  |
| <b>ELEMENT: Syllabi</b>                          |                                  |
| Controlled aerodrome syllabus developed - 61 MOS | Endorsement syllabi              |
| Controlled airspace syllabus developed - 61 MOS  | Elements unique to the aerodrome |

Table 3: Aircraft Elements

|   |   |
|---|---|
| <b>SYSTEM: Aircraft</b>   |   |
| <b>ELEMENT: Certification</b>   |   |
| This element contains the requirements for the FTS to have suitably certificated and registered aeroplanes for use as flight training aircraft in accordance with the RAAus Technical Manual. |   |
| <b>Prompts</b>  |   |
| Type Certificated   | Flight permit                             |
| Light Sport Aircraft (LSA)  | Current listing with ASAO                 |
| Certificate of Airworthiness  |   |
| <b>ELEMENT: Maintenance</b>   |   |
| This element contains the requirements for the FTS to have suitably maintained aeroplanes for use as flight training aircraft in accordance with the RAAus Technical Manual.                  |   |
| <b>Prompts</b>  |   |
| Maintenance record logbook  | Release to service documentation          |
| Maintenance schedule (Manufacturer / RAAus / CASA system)   | Major defect - aircraft grounding process |
| Maintenance manuals   | Maintainer qualifications                 |
| Service Bulletins, Instructions and Letters   | Maintenance interval tracking process     |
| Airworthiness Directives  | RAAus Technical Manual                    |
| <b>ELEMENT: Transponder and Instrument calibration</b>  |   |
| This element contains the requirements for the FTS to ensure that flight training aircraft instruments and radios are suitably tested and calibrated for use in controlled airspace.          |   |
| <b>Prompts</b>  |   |
| CAO 100.5   | Maintenance interval tracking process     |
| Transponder and encoder serviceability  | Record keeping                            |
| ADS-B - Identifier convention   | Radio serviceability                      |
| Instrument tolerances and calibration   |   |
| <b>ELEMENT: Modification</b>  |   |
| This element contains the requirements for the FTS to ensure that any modifications to flight training aircraft comply with the requirements of the RAAus Technical Manual.                   |   |





|  |                        |
|--|------------------------|
| <b>SYSTEM: Aircraft</b>                            |                        |
| <b>Prompts</b>                                     |                        |
| Modification approval appropriate to certification | Qualified repairer     |
| LSA - Manufacturer                                 | Record of modification |
| Type Certificated - Manufacturer/21M/ASAO scheme   |                        |

Table 4: Flight Training Requirements Elements

|  |   |
|--|---|
| <b>SYSTEM: Flight Training Requirements</b>  |   |
| <b>ELEMENT: Solo Training Flight</b>   |   |
| This element contains the requirements for the FTS to ensure that flight training meets the syllabi requirements of RAAus, Part 61 and the CASA Approval for trainee pilots.   |   |
| <b>Prompts</b>   |   |
| Syllabus completed and assessed  | Flight assessment undertaken by SI or CFI             |
| CTA, CTR, C3 (MOS 61) elements completed and assessed  | Competencies achieved and recorded (RAAus and MOS 61) |
| <b>ELEMENT: First Solo (training) Flight</b>   |   |
| This element contains the requirements for the FTS to ensure the conditions and directions of the CASA Approval for operation at a controlled aerodrome and in controlled airspace are met prior to a student undertaking a first solo flight.                           |   |
| <b>Prompts</b>   |   |
| Authorisation process. Pre-solo checklist utilised?  | Medical   |
| CFI written verification of competence entered in student logbook  | RAAus Membership / Certificate valid                  |
| CTA, CTR, C3 competence entered in student logbook   | Copy of documentation and logbook entries retained    |
| Radio endorsement/licence held   | First solo parameters / limitations briefed           |
| <b>ELEMENT: Subsequent Solo (training) Flights within Aerodrome Traffic Area</b>   |   |
| This element contains the requirements for the FTS to ensure the conditions and directions of the CASA Approval for subsequent solo flights at a controlled aerodrome and in controlled airspace are met prior to a student undertaking a relevant solo training flight. |   |
| <b>Prompts</b>   |   |
| CFI written authorisation entered and retained in FTS records  | RAAus Membership / Certificate valid                  |
| <b>ELEMENT: Subsequent Solo (training) Flights within Aerodrome Traffic Area</b>   |   |
| Medical Certificate  | Subsequent solo parameters / limitations briefed      |



|   |  |
|---|--|
| <b>SYSTEM: Flight Training Requirements</b>   |  |
| <b>ELEMENT: Solo training flights that transition between Class D and G airspace (incl. cross country flights)</b>  |  |
| This element contains the requirements for the FTS to ensure the conditions and directions of the CASA Approval for flights that transition between Class D and Class G airspace are met prior to a student undertaking a relevant solo training flight.                          |  |
| <b>Prompts</b>  |  |
| Practical training performed by SI or CFI   | CFI written authorisation entered and retained in FTS records    |
| Additional CTA competencies completed   | CTA, CTR, C3 competence entered in student logbook               |
| Cross country syllabus (as required)  | Radio endorsement/licence held                                   |
| <b>ELEMENT: Solo training flights that transition between Class D and G airspace (incl. cross country flights)</b>  |  |
| CFI written verification of competence entered in student logbook   | RAAus Membership / Certificate valid                             |
| Medical Certificate   |  |
| <b>ELEMENT: Private Hire (training) Flights</b>   |  |
| This element contains the requirements for the FTS to ensure that flight training meets the syllabi requirements of RAAus, Part 61 and the CASA Approval for the hire of FTS aeroplanes.  |  |
| <b>Prompts</b>  |  |
| Practical training at the aerodrome performed by SI or CFI  | CFI assessed at least one transition between classes of airspace |
| CTA, CTR, C3 (MOS 61) elements completed and assessed   | Competencies assessed and recorded                               |
| <b>ELEMENT: Initial Private Hire Flight as PIC</b>  |  |
| This element contains the requirements for the FTS to ensure the conditions and directions of the CASA Approval for operation at a controlled aerodrome and in controlled airspace are met prior to an RAAus pilot certificate holder undertaking an initial private hire flight. |  |
| <b>Prompts</b>  |  |
| Authorisation process. Private hire checklist utilised?   | Medical  |
| CFI written authorisation entered in pilot logbook  | RAAus Membership / Certificate valid                             |
| CTA, CTR, C3 competence entered in pilot logbook  | Copy of documentation and logbook entries retained               |
| Radio endorsement/licence held  |  |
| <b>ELEMENT: Subsequent Private Hire Flights as PIC</b>  |  |
| This element contains the requirements for the FTS to ensure that subsequent private hire flights are compliant and authorised by the CFI.  |  |



| <b>SYSTEM: Flight Training Requirements</b>  |  |
|--|--|
| <b>Prompts</b>   |  |
| CFI written authorisation entered and retained in FTS records  | RAAus Membership / Certificate valid             |
| Medical  |  |
| <b>ELEMENT: Examination / Testing</b>  |  |
| This element contains the requirements for the FTS to ensure that written examinations, flight assessments and flight tests are satisfactorily completed and recorded. |  |
| <b>Prompts</b>   |  |
| Pre-solo Air legislation exam  | Cross Country exam                               |
| Aerodrome specific questions   | CTA, CTR, C3 (MOS 61) assessment                 |
| <b>ELEMENT: Examination / Testing</b>  |  |
| Human Factors exam   | Pilot Certificate flight test                    |
| Radio exam   | Private hire flight assessment undertaken by CFI |
| BAK exam   | Cross Country flight test                        |
| Air Legislation exam   |  |

Table 5: Record Keeping and Reporting Elements

| <b>SYSTEM: Record Keeping and Reporting</b>  |  |
|--|--|
| <b>ELEMENT: Student Pilot Training Records</b>   |  |
| This element contains the requirements for the FTS to create and maintain student training progress records and to retain copies/evidence of documents that demonstrate compliance with RAAus, Part 61 and the CASA Approval requirements. |  |
| <b>Prompts</b>   |  |
| Progress records created and updated   | Medical Certificates                       |
| Syllabus requirements  | Memberships                                |
| CTA, CTR, C3 (MOS 61) training inclusions  | Exam results                               |
| Competency assessments   | Flight tests                               |
| <b>ELEMENT: Written Flight Authorisations</b>  |  |
| This element contains the requirements for the FTS to retain copies/evidence of documents that demonstrate that the CFI has issued written authorisations for relevant flights in accordance with the CASA Approval.                       |  |
| <b>ELEMENT: Written Flight Authorisations</b>  |  |
| <b>Prompts</b>   |  |
| Solo training flight authorisations from pilot logbook   | Pre-solo and first private hire checklists |



|  |  |
|--|--|
| <b>SYSTEM: Record Keeping and Reporting</b>  |  |
| Solo and Private hire flight authorisations (held in FTS records)  | Practical training at the aerodrome                        |
| CTA, CTR, C3 (MOS 61) competency assessments   | At least one transition between classes of airspace by CFI |
| <b>ELEMENT: Pilot / Instructor Qualifications</b>  |  |
| This element contains the requirements for the FTS to retain copies/evidence of documents that demonstrate management of expiring dates of authorisations held by students, pilots and instructors.                      |  |
| <b>Prompts</b>   |  |
| RAAus membership   | Instructor renewals  |
| Pilot Certificate  | Logbook entries (Instructor and Examiner)                  |
| Medical  | Pilot Licence  |
| ASIC   | Flight reviews   |
| <b>ELEMENT: Incidents, Accidents and Airspace Occurrences</b>  |  |
| This element contains the requirements for the FTS to have in place a process for the reporting of incidents, accidents and occurrences which includes a method of retaining copies/evidence of the documents generated. |  |
| <b>Prompts</b>   |  |
| Process for recording and reporting  | Copies retained  |
| <b>ELEMENT: Retention and Storage of Data, Information and Records</b>   |  |
| This element contains the requirements for the FTS to consider data, information and record retention options.   |  |
| <b>Prompts</b>   |  |
| Method of record keeping (paper/electronic)  | Backups / Redundancy                                       |
| Storage solutions  | Retention period   |



Table 6: Change Management Elements

|   |   |
|---|---|
| <b>SYSTEM: Change Management</b>  |   |
| <b>ELEMENT: Internal Change</b>   |   |
| This element contains the systems and processes to identify and ensure continuity of business and safety systems during times of internal change. |   |
| <b>Prompts</b>  |   |
| Change of CFI   | Change of FTS ownership                       |
| Introduction/change of DCFI   | Introduction of new aircraft types            |
| Change of Instructors   |   |
| <b>ELEMENT: External Change</b>   |   |
| This element contains the systems and processes to identify and ensure continuity of business and safety systems during times of external change. |   |
| <b>Prompts</b>  |   |
| CASA regulatory change  | Change to airspace/aerodrome procedures (LOA) |
| Change to RAAus manuals/procedures  |   |

Table 7: Safety Management Elements

|   |                        |
|---|------------------------|
| <b>SYSTEM: Safety Management</b>  |                        |
| <b>ELEMENT: Safety Assurance</b>  |                        |
| This element contains the systems and processes for setting, recording and evaluating system performance, conformance with regulations and company procedures, a process for conducting internal safety investigations, effectively managing change across the aviation activities conducted and driving continuous improvement of the SMS. |                        |
| <b>Prompts</b>  |                        |
| System performance  | Investigations         |
| Assurance (including continuous review of procedures based on regulations)  | Management of change   |
| Data analysis programs (including flight data analysis, FOQA, FDAP, FDM, MOQA, reliability programs etc)  | Continuous improvement |
| <b>ELEMENT: Safety Policy and Objectives</b>  |                        |
| This element contains the systems and processes that ensure effective governance to support the safety management that is in place, including processes for the review and update of the authorisation holder's management and commitment.  |                        |



|  |  |
|--|--|
| <b>SYSTEM: Safety Management</b>   |  |
| <b>Prompts</b>   |  |
| <b>ELEMENT: Safety Policy and Objectives</b>   |  |
| Safety and/or quality policy   | Key personnel                              |
| Just culture   | Third party relationships and interactions |
| Safety objectives  | Emergency response plan                    |
| Safety accountabilities of managers  | Safety and/or quality documentation        |
| <b>ELEMENT: Safety Promotion</b>   |  |
| This element contains the systems and processes for ensuring personnel are appropriately trained and are aware of the SMS to a degree commensurate with their positions, safety-critical information is conveyed, explains why particular safety actions are taken and explains why safety procedures are introduced or changed must be evident. |  |
| <b>Prompts</b>   |  |
| Training and education   | Safety promotion and communication         |
| <b>ELEMENT: Safety Risk Management</b>   |  |
| This element contains the systems and processes to ensure analysis of the safety risks associated with identified hazards resulting in the implementation of effective safety risk controls.   |  |
| <b>Prompts</b>   |  |
| Hazard identification processes - reactive   | Risk assessment and mitigation             |
| Hazard identification processes - proactive  |  |



## 4 Approved Self-Administering Organisations (ASAO) Systems and Elements

Table 8: Systems and Elements for ASAO

| Systems                           | Elements  |
|-----------------------------------|---|
| <b>Organisation and Personnel</b> | Key Personnel   |
|                                   | Induction and Training of Key Personnel                       |
|                                   | Vacancy or Absence  |
|                                   | Memorandum of Understanding with like ASAOs (MoU)             |
|                                   | Human Fatigue   |
|                                   | Alcohol and Other Drugs (if required)                         |
|                                   | Facilities, Record Keeping, Retention and Reference Materials |
| <b>Administration</b>             | Flight Operations (Pilot Authorisations)                      |
|                                   | Flight Operations (FTS Administration)                        |
|                                   | Airworthiness Activities (Maintainer Authorisations)          |
|                                   | Airworthiness Organisations (AO)                              |
|                                   | Airworthiness Training  |
|                                   | Airworthiness Standards and Assessments etc.                  |
|                                   | ASAO Listing of Aircraft                                      |
|                                   | Parachute Descents  |
|                                   | Parachuting Operators (other than training organisations)     |
|                                   | Operating an Aircraft for Parachute Descents                  |
|                                   | Parachute Training Organisations (TO)                         |
|                                   | Parachute Airworthiness                                       |
|                                   | Airworthiness of a Glider Tow Release Mechanism               |
| <b>Enforcement</b>                | Investigations / Reviews                                      |
|                                   | Exercise of Enforcement Powers                                |
|                                   | Preventative, Corrective and Remedial Actions                 |
|                                   | Internal Reviews  |
| <b>Audit and Surveillance</b>     | Audit and Surveillance System                                 |
|                                   | Evaluation of Authorisation Holders                           |



| Systems                  | Elements                     |
|--------------------------|------------------------------|
| <b>Change Management</b> | Management of Change Process |
|                          | ASAO Specific Change List    |
|                          | Risk Assessments             |
|                          | Stakeholder Engagement       |
|                          | Ongoing Reviews              |
| <b>Safety Management</b> | Safety Policy and Objectives |
|                          | Safety Risk Management       |
|                          | Safety Assurance             |
|                          | Safety Promotion             |

#### 4.1 Approved Self-Administering Organisations – ASAO – Systems and Elements

Table 9: Organisation and Personnel Elements

| <b>SYSTEM: Organisation and Personnel</b>  |  |
|--|--|
| <b>ELEMENT: Key Personnel</b>  |  |
| The authorisation holder is required to establish and maintain an appropriate organisation, with a sound and effective management structure. The standards of personnel, including third-party providers is required to be documented detailing qualifications and any required induction training. Personnel Standards are a vital element required to maintain safe operations through the establishment of an appropriate set of systems (where applicable) and a system for dealing with unacceptable performance. |  |
| <b>Prompts</b>   |  |
| Organisational Structure   | Personnel register maintained              |
| Sufficient key personnel/appointed persons   | Managing Safety Manager position           |
| Qualifications and experience  | Reporting to CASA in certain circumstances |
| <b>ELEMENT: Induction and Training of Key Personnel</b>  |  |
| This element is designed to ensure an ASAO’s key personnel are appropriately trained to undertake the duties associated with the ASAO’s approved functions.  |  |
| <b>Prompts</b>   |  |
| Training/induction tailored to the role  | Monitoring of performance                  |
| Records  |  |
| <b>ELEMENT: Vacancy or Absence</b>   |  |
| This element to audit compliance with the reporting and management of vacancies or absences as per the regulation and the ASAO’s exposition.   |  |





|  |  |
|--|--|
| <b>SYSTEM: Organisation and Personnel</b>  |  |
| <b>Prompts</b>   |  |
| Records  | Period of time for a position to be filled         |
| Vacancy reporting  | Process for filling key personnel vacancies        |
| Absentee reporting   |  |
| <b>ELEMENT: Memorandum of Understanding with like ASAOs (MoU)</b>  |  |
| ASAOs administering functions that relate to the same type of aircraft are required to enter into MoUs to ensure a consistent standard including sharing of information. |  |
| <b>Prompts</b>   |  |
| Currency/applicability   | Information sharing arrangements                   |
| Reporting  | Operational cooperation arrangements               |
| Records  |  |
| <b>ELEMENT: Human Fatigue</b>  |  |
| An ASAO is required to manage the effect of human fatigue for their personnel as safe operations rely on proactive management of fatigue risks and hazards.              |  |
| <b>Prompts</b>   |  |
| Hazard management  | Mechanism to prevent adverse effects               |
| SMS integration  | Mechanisms to identify and rectify effects         |
| Risk management of performance   |  |
| <b>ELEMENT: Alcohol and other Drugs (if required)</b>  |  |
| ASAO's personnel should not under the influence of alcohol or other drugs while undertaking the performance of their duties.   |  |
| <b>Prompts</b>   |  |
| Policy   | Mechanisms to identify and rectify                 |
| Management procedures  |  |
| <b>ELEMENT: Facilities, Record Keeping, Retention and Reference Materials</b>  |  |
| This element ensures that an ASAO has appropriate facilities, maintains an up-to-date reference library and manages the storage of records.                              |  |
| <b>Prompts - 149.285, MOS 149.35</b>   |  |
| Facilities and equipment   | Access to up-to-date copies of reference materials |
| Method of retaining records – electronic/paper   | Backups  |



Table 10: Administration Elements

|  |   |
|--|---|
| <b>SYSTEM: Administration</b>  |   |
| <b>ELEMENT: Flight Operations (Pilot Authorisations)</b>   |   |
| This element contains the systems and processes to ensure the establishment and management of procedures necessary for safe conduct of flight operations in an aircraft, including authorising individuals to perform a duty essential to the operation. |   |
| <b>Prompts - MOS 149.19 and 149.20</b>   |   |
| Procedures for safe operation of aircraft  | Process of assessing existing/like authorisations |
| Conducting flight training in the aircraft   | Process of issuing pilot authorisations           |
| Procedures for the conduct of flight tests   | Authorising endorsements & ratings                |
| Procedures for the conduct of flight reviews   | Authorising pilot instructors                     |
| Procedures for flight testing aircraft   | Authorising pilot examiners                       |
| Conduct of aeronautical knowledge training   |   |
| <b>ELEMENT: Flight Operations (FTS Administration)</b>   |   |
| This element contains the systems and processes required to administer a person that conducts flight training or flight tests in an ASAO administered aircraft.  |   |
| <b>Prompts - MOS 149.21</b>  |   |
| Assessing an FTS's facilities and personnel  | Process of issuing FTS authorisations             |
| Assessing an FTS's procedures and practices  | Authorising conduct of flight training            |
| Assessing an FTS authorisation holder  | Authorisation to conduct flight tests             |
| Approving aeronautical examinations  | Authorise aeronautical knowledge training         |
| Procedures for the conduct of FTS reviews  |   |
| <b>ELEMENT: Airworthiness Activities (Maintainer Authorisations)</b>   |   |
| This element contains the systems and processes required to administer a person that conducts an airworthiness activity in relation to an ASAO administered aircraft, including issuing an authorisation to carry out an airworthiness activity.         |   |
| <b>Prompts - MOS 149.16</b>  |   |
| Procedures for assessing competency  | Process of issuing maintainer authorisations      |
| Modification and repair schedules  | Process of issuing weighing authorisations        |
| Weight control procedures  | Process of issuing aircraft flight permits        |
| Special flight permit scheme   | Levels and limitations applied to authorisations  |
| Keeping of airworthiness records requirements  | Procedures for the conduct of maintainer reviews  |
| Process of assessing existing/like authorisations  |   |



|   |   |
|---|---|
| <b>SYSTEM: Administration</b>   |   |
| <b>ELEMENT: Airworthiness Organisations (AO)</b>  |   |
| This element contains the systems and processes required to administer a person that provides an airworthiness service in relation to an ASAO administered aircraft, including issuing an authorisation to carry out a commercial service relating to the airworthiness of an ASAO administered aircraft. |   |
| <b>Prompts</b>  |   |
| Assessing an AO's facilities and personnel  | Process of issuing AO authorisations            |
| Assessing an AO's procedures and practices  | Managing maintainer authorisation holders       |
| Assessing an AO authorisation holder  | Procedures for the conduct of AO reviews        |
| <b>ELEMENT: Airworthiness Training</b>  |   |
| This element contains the systems and processes required to administer a person who conducts airworthiness training in relation to an ASAO administered aircraft, including issuing an authorisation as a Part 149 airworthiness trainer and assessor.  |   |
| <b>Prompts - MOS 149.18</b>   |   |
| Assessing a trainer's facilities and personnel  | Process of issuing trainer authorisations       |
| Assessing a trainer's procedures and practices  | Process of assessing training content           |
| Assessing a trainer authorisation holder  | Procedures for the conduct of trainer reviews   |
| <b>ELEMENT: Airworthiness Standards and Assessments etc.</b>  |   |
| This element contains the systems and processes required to administer an ASAO administered aircraft by setting design, manufacturing and maintenance standards and/or, assessing whether an aircraft design meets an airworthiness standard the ASAO has set for the aircraft.                           |   |
| <b>Prompts - MOS 149.15</b>   |   |
| Setting design and manufacturing standards  | Process for certification of an aircraft design |
| Setting maintenance standards   | Assessing an aircraft meets a MOS description   |
| Assessing whether an aircraft meets a standard  |   |
| <b>ELEMENT: ASAO Listing of Aircraft</b>  |   |
| This element contains the systems and processes required to administer a relevant aircraft by establishing and maintaining a register with sufficient information to enable identification of the aircraft, the aircraft's owner and operator.  |   |
| <b>Prompts</b>  |   |
| Register established and maintained   | Identifier unique to the ASAO                   |
| Description of aircraft   | Name and address of owner                       |
| Serial/construction number  | Name and address of operator                    |
| <b>ELEMENT: Parachute Descents</b>  |   |
| The ASAO is required to establish and maintain the procedures necessary to ensure the safe conduct of parachute descents, including authorising individuals to perform a duty essential to the operation.   |   |



|  |   |
|--|---|
| <b>SYSTEM: Administration</b>  |   |
| <b>ELEMENT: Parachute Descents</b>   |   |
| <b>Prompts - MOS 149.23 and 149.24</b>   |   |
| Procedures for safe conduct of parachute descents  | Process of assessing existing/like authorisations |
| Conducting parachute training during descent   | Process of issuing parachutist authorisations     |
| Procedures for the conduct of assessments  | Authorising endorsements & ratings                |
| Procedures for the conduct of reviews  | Authorising instructors                           |
| Conduct of aeronautical knowledge training   | Authorising examiners                             |
| <b>ELEMENT: Parachuting Operators (other than training organisations)</b>  |   |
| This element contains the systems and processes required to administer a person who carries on a business or undertaking that provides services or equipment to a parachutist. |   |
| <b>Prompts - MOS 149.25</b>  |   |
| Assessing an operator's business   | Process of assessing existing/like authorisations |
| Process of issuing an authorisation to an operator   | Procedures for the conduct of reviews             |
| <b>ELEMENT: Operating an Aircraft for Parachute Descents</b>   |   |
| This element contains the systems and processes required to administer the operation of an aircraft to facilitate a parachute descent.   |   |
| <b>Prompts - MOS 149.27</b>  |   |
| Procedures for facilitating a parachute descent  | Process of assessing existing/like authorisations |
| Conducting jump pilot training during flight   | Process of issuing jump pilot authorisations      |
| Procedures for the conduct of assessments  | Authorising a person as a jump pilot trainer      |
| Procedures for the conduct of reviews  |   |
| <b>ELEMENT: Parachute Training Organisations (TO)</b>  |   |
| This element contains the systems and processes required to administer a person that conducts parachute training.  |   |
| <b>Prompts - MOS 149.27</b>  |   |
| Assessing a TO's facilities and personnel  | Process of issuing TO authorisations              |
| Assessing a TO's procedures and practices  | Authorising conduct of parachute training         |
| Assessing a TO authorisation holder  | Authorisation to conduct candidate assessments    |
| Procedures for the conduct of TO reviews   |   |



|   |  |
|---|--|
| <b>SYSTEM: Administration</b>   |  |
| <b>ELEMENT: Parachute Airworthiness</b>   |  |
| This element contains the systems and processes required to administer the airworthiness of a parachute, including authorising individuals to undertake airworthiness activities.   |  |
| <b>Prompts - MOS 149.28</b>   |  |
| Procedures for parachute airworthiness training   | Process of issuing airworthiness authorisations  |
| Keeping of airworthiness records requirements   | Levels and limitations applied to authorisations |
| Process of assessing existing/like authorisations   | Procedures for the conduct of reviews            |
| <b>ELEMENT: Airworthiness of a Glider Tow Release Mechanism</b>   |  |
| This element contains the systems and processes required to administer the airworthiness of a tow release used in the towing system of an aircraft operated to tow a glider, including authorising persons to carry out maintenance on the tow release. |  |
| <b>Prompts</b>  |  |
| Procedures for the airworthiness of a tow release   | Levels and limitations applied to authorisations |
| Factory authorisation/limitations of maintenance  | Procedures for the conduct of reviews            |
| Process of issuing airworthiness authorisations   |  |

Table 11: Enforcement Elements

|  |  |
|--|--|
| <b>SYSTEM: Enforcement</b>   |  |
| <b>ELEMENT: Investigations / reviews</b>   |  |
| This element contains the systems and processes to ensure effective outcomes are achieved from investigating and/or reviewing the ASAO's or an authorisation holder's conduct. |  |
| <b>Prompts</b>   |  |
| Process for conducting investigations  | Integration with SMS                               |
| Assessment of risk/prioritisation  | Review of procedures for effectiveness             |
| <b>ELEMENT: Exercise of enforcement powers</b>   |  |
| This element contains the systems and processes to ensure the ASAO exercises enforcement powers in accordance with the ASAO's exposition.                                      |  |
| <b>Prompts</b>   |  |
| Records of actions and outcomes  | Managing an overridden safety-related decision     |
| Reporting authorisation holder conduct to CASA   | Natural justice and procedural fairness applied    |
| Reporting of conduct by non-authorisation holders  | Reporting of applications in certain circumstances |
| <b>ELEMENT: Preventative, corrective and remedial actions</b>  |  |



|  |   |
|--|---|
| <b>SYSTEM: Enforcement</b>   |   |
| This element contains the systems and processes required to ensure that the preventative, corrective, remedial or disciplinary actions undertaken by the ASAO relate to the contravention by an authorisation holder of the ASAO's exposition. |   |
| <b>Prompts</b>   |   |
| Action appropriate to investigation outcomes   | Reporting of corrective actions to CASA |
| Record retained in authorisation holder's file   |   |
| <b>ELEMENT: Internal Reviews</b>   |   |
| This element contains the systems and processes to ensure the ASAO undertakes internal reviews of ASAO decisions in accordance with the ASAO's exposition.   |   |
| <b>Prompts</b>   |   |
| Record of review advice provided to member   | Information provided to CASA            |

Table 12: Audit and Surveillance Elements

|  |   |
|--|---|
| <b>SYSTEM: Audit and Surveillance</b>  |   |
| <b>ELEMENT: Audit and surveillance System</b>  |   |
| This element contains the systems and processes to ensure the ASAO conducts audit and surveillance in accordance with the ASAO's exposition. |   |
| <b>Prompts - MOS 149.34</b>  |   |
| Appropriate to the ASAO's approved functions   | Records available to CASA upon request          |
| Includes policies, processes and procedures  | Capture of data related to functions            |
| <b>ELEMENT: Evaluation of authorisation holders</b>  |   |
| This element contains the systems and processes to ensure the ASAO conducts regular evaluation of authorisation holders.                     |   |
| <b>Prompts - MOS 149.34</b>  |   |
| Reviews conducted within Exposition timeframes   | Evaluation of persons that issue authorisations |
| Evaluation timeframes are appropriate  | Evaluation of persons that recommend for issue  |
| Evaluation process fit for purpose   |   |



Table 13: Change Management Elements

|   |  |
|---|--|
| <b>SYSTEM: Management of Change</b>   |  |
| <b>ELEMENT: Management of change process</b>  |  |
| This element contains the systems and processes to ensure the ASAO applies a transparent process to manage changes to the ASAO's exposition.  |  |
| <b>Prompts</b>  |  |
| Integrated with SMS safety assurance system   | Change process appropriate and followed    |
| Process for identifying a change  | Change register maintained                 |
| Identified change proposer and approver   |  |
| <b>ELEMENT: ASAO Specific Change List</b>   |  |
| This element contains the systems and processes to ensure the ASAO maintains a list of specific changes that do not require CASA approval, within the ASAO's exposition.  |  |
| <b>Prompts</b>  |  |
| ASAO specific change list within scope  | Records of changes to the list retained    |
| <b>ELEMENT: Risk Assessments</b>  |  |
| This element contains the systems and processes to ensure the ASAO conducts comprehensive assessments of risks to the safety of air navigation when making a change to the ASAO's exposition.                                 |  |
| <b>Prompts</b>  |  |
| Robust safety risk analysis undertaken  | Records of hazards and outcomes retained   |
| Risk controls implemented   |  |
| <b>ELEMENT: Stakeholder engagement</b>  |  |
| This element contains the systems and processes to ensure the ASAO undertakes comprehensive stakeholder engagement to drive decision making before a change is made to the ASAO's exposition.                                 |  |
| <b>Prompts</b>  |  |
| Stakeholders identified and engaged   | Records of engagement retained             |
| Notification of changes sent to personnel & CASA  |  |
| <b>ELEMENT: Ongoing Reviews</b>   |  |
| This element contains the systems and processes to ensure the ASAO undertakes ongoing reviews of their processes and standards including any changes in order to measure their effectiveness on the safety of air navigation. |  |
| <b>Prompts</b>  |  |
| Implemented changes monitored for effectiveness   | Continuous improvement & assurance process |



Table 14: Safety Management Elements

|  |  |
|--|--|
| <b>SYSTEM: Safety Management</b>   |  |
| <b>ELEMENT: Safety Assurance</b>   |  |
| This element contains the systems and processes for setting, recording and evaluating system performance, conformance with regulations and company procedures, a process for conducting internal safety investigations, effectively managing change across the aviation activities conducted and driving continuous improvement of the SMS.      |  |
| <b>Prompts</b>   |  |
| System performance   | Investigations                             |
| Assurance (including continuous review of procedures based on regulations)   | Management of change                       |
| Data analysis programs (including flight data analysis, FOQA, FDAP, FDM, MOQA, reliability programs etc)   | Continuous improvement                     |
| <b>ELEMENT: Safety Policy and Objectives</b>   |  |
| This element contains the systems and processes that ensure effective governance to support the safety management that is in place, including processes for the review and update of the authorisation holder's management and commitment.   |  |
| <b>Prompts</b>   |  |
| Safety and/or quality policy   | Key personnel                              |
| Just culture   | Third party relationships and interactions |
| Safety objectives  | Emergency response plan                    |
| Safety accountabilities of managers  | Safety and/or quality documentation        |
| <b>ELEMENT: Safety Promotion</b>   |  |
| This element contains the systems and processes for ensuring personnel are appropriately trained and are aware of the SMS to a degree commensurate with their positions, safety-critical information is conveyed, explains why particular safety actions are taken and explains why safety procedures are introduced or changed must be evident. |  |
| <b>Prompts</b>   |  |
| Training and education   | Safety promotion and communication         |
| <b>ELEMENT: Safety Risk Management</b>   |  |
| This element contains the systems and processes to ensure analysis of the safety risks associated with identified hazards resulting in the implementation of effective safety risk controls.   |  |
| <b>Prompts</b>   |  |
| Hazard identification processes - reactive   | Risk assessment and mitigation             |
| Hazard identification processes - proactive  |  |





## 5 Health Check

**Note:** Health Checks are not conducted on RAOs, CTA Ex or ASAO.



## 6 Surveillance Currency Guide

### 6.1 RAAO

| Surveillance level | Type              | Elements                                |
|--------------------|-------------------|---|
| Level 1            | Systems Audit     |   |
|                    | Health Check      | Specific Elements, Risks and Compliance |
| Level 2            | Operational Check | E.g., Aircraft inspection, Ramp check   |

### 6.2 CTA EX

| Surveillance level | Type                      | Elements                                |
|--------------------|---------------------------|---|
| Level 1            | Systems Audit             | Systems, Risks and Compliance           |
|                    | Health Check              | Specific Elements, Risks and Compliance |
|                    | Post-authorisation Review | Entry Control Elements                  |
| Level 2            | Operational Check         | E.g., Aircraft inspection, Ramp check   |

### 6.3 ASAO

| Surveillance level | Type                      | Elements                                |
|--------------------|---------------------------|---|
| Level 1            | Systems Audit             | Systems, Risks and Compliance           |
|                    | Health Check              | Specific Elements, Risks and Compliance |
|                    | Post-authorisation Review | Entry Control Elements                  |
| Level 2            | Operational Check         | E.g., Aircraft inspection, 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.



## 7 Information Sources

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

- surveys
- regulatory history, findings (Safety Findings and Safety Observations)
- third-party audits
- past Surveillance Reports and findings (Safety Findings and Safety Observations)
- EAP information
- Defect Report Service (DRS)
- information gathered by the RAAO

**Note:** CASA can request information from an RAAO as per CAR CASR MOS 149.540.

- Enforcement action
- past accident/incident history
- risk management plans provided by the authorisation holder
- accident/incident reports
- ASIRs
- meetings with RAAO members
- Ramp Checks
- various RAAO newsletters and magazines
- CASA Hotline complaints and other complaints
- surveillance activities of Instrument holders and exemption holders.

A large portion of this information is available to the surveillance team and authorisation management team 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.