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CASA Surveillance Manual Annex 17 - Part 175 Aeronautical Information Management 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 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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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
5.2	June 2025	All	Update on new template Removal of Health Check event type
5.1	January 2023	Section 2	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.
		Section 2.1	Removal of recommended Health Check timeframes.
		Section 3	Removal of recommended surveillance intervals.
		Section 4	Addition of third-party audits.

1 Overview

This annex provides instructions for conducting surveillance of CASR Part 175 Aeronautical Information Management Authorisation Holders – Aeronautical Information Service (AIS) providers and Data Service Providers (DSP) and contains information relating to the following:

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

2 Systems and elements: Aeronautical Information Management authorisation holders

Note: The term ‘authorisation holder’ as used in this annex refers to an Aeronautical Information Service certificate holder and/or authorisation holder or a Data Services certificate holder and/or 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 of the Management System Model (MSM), see CSM Sections on System attributes – Management System Model and Systems attributes (table).

The CASA system description of an Aeronautical Information Service (AIS) authorisation holder or Data Services authorisation holder consists of four systems incorporating 11 elements.

Table 2. Systems and elements

Systems	Elements
AIS and data services	Administration
	Tooling and equipment
	Data and documents
Personnel	Personnel standards
Operations, product and publication	Data exchange and document format
	Aeronautical information package and aeronautical products
	NOTAM, NAIPS and briefing services
Safety management	Safety policy and objectives
	Safety risk management
	Safety assurance
	Safety promotion

Table 3. AIS and data services elements

System: AIS and data services	
Element: Administration	
<p>The administration element addresses the systems and processes that an authorisation holder must have to ensure the services and/or products it provides meet regulatory standards and address the systems that ensure the authorisation holder contains and controls its operations to those authorised. This is primarily achieved by way of a properly structured organisation with appropriate processes. Appropriate key personnel are a key link in ensuring information and data product not only meets the required standards but has appropriate quality assurance. An example of key personnel includes the accountable manager.</p>	
Prompts	
Organisational requirements and structure	Supervisory personnel
Operational staff	Appropriate communication channels
Appropriate key personnel	Operations limited to those authorised
Appropriate facilities	Operations controlled to those authorised
Security of facilities	Certificate/exemption conditions met
Exposition document compliance	Certificate variation
Licence agreements	Accountable manager/annual review
Element: Tooling and equipment	
<p>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 producing and publishing aeronautical information and data used in air navigation.</p>	
Prompts	
Availability/adequacy	Facilities, equipment, data and information
Identification and maintenance	Validation/acceptance
Data integrity	Training
Contractual arrangements	Operation

AIS and data services elements continued

Element: Data and documents	
The data and documents element addresses all technical data, regulatory documentation and quality/procedures manuals used in the course of producing and publishing aeronautical information and data used in air navigation.	
Prompts	
Availability	Identification
Storage/security	Handling
Document control	Change management
Currency (update of documents, charts, data)	Back up of data
Retention period and records management	Verification of data
Reference material	Exposition documentation
Development and publication standards	Personnel records

Table 4. Personnel elements

System: Personnel	
Element: Personnel standards	
<p>The AIS or Data Services 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, are required to be documented detailing induction training, periodic recurrent training/checking and any required training for new standards and systems. A process for dealing with unsatisfactory performance should also be documented.</p>	
Prompts	
Basic training	Proficiency program
Induction/OJT training	Poor performance aspects
Recurrent training program	Training and performance
Checking and training	Supervisors
Key personnel	Organisational requirements
Staffing levels	

Table 5. Operations, product and publication elements

System: Operations, product and publication	
Element: Data exchange and document format	
The Data Exchange and document format element addresses the systems and processes that apply to the outputs of the authorisation holder. Documented processes should exist, but not be limited to, individually or collective product and publication activities undertaken.	
Prompts	
Product standards, specifications, conventions, and work practice protocols met	Effective dates and validity of aeronautical data, information and charts
Publication standards, specifications, conventions and work practice protocols met	Operations manuals and reference material
Supervision	Standards for aeronautical data processing system
Data verification and integrity of data	Issue reporting
Sub-contracting and third-party agreements	Records and documentation
Information and/or data withdrawal	Storage and security of aeronautical data and aeronautical information
Changes to authorised data service activities	Changes to AIS
Correction and notification of errors and omissions	
Element: Aeronautical information package and aeronautical products	
The Aeronautical Information Package and Aeronautical Products element addresses the systems and processes that apply to the outputs of the authorisation holder. Documented processes should exist, but not be limited to, individually or collective product and publication activities undertaken.	
Prompts	
Product standards, specifications, conventions, and work practice protocols met	Effective dates and validity of aeronautical data, information and charts
Publication standards, specifications, conventions and work practice protocols met	Operations manuals and reference material
Supervision	Correction and notification of errors and omissions
Data verification and integrity of data	Issue reporting
Sub-contracting and third-party agreements	Retention period for aeronautical data and records
Information and/or data withdrawal	Storage and security of aeronautical data and aeronautical information
Standards for aeronautical data processing system	Aerodromes not covered by Part 139
Timing of effective dates and distribution	Giving data product specifications

Operations, product and publication elements continued

System: Operations, production and publication elements	
Element: NOTAM, NAIPS and briefing services	
The NAIPS, NOTAM and briefing services element addresses the systems and processes that apply to the outputs of the authorisation holder. Documented processes should exist, but not be limited to, individually or collective product, service and publication activities undertaken.	
Prompts	
Product standards, specifications, conventions, and work practice protocols met	Effective dates and validity of aeronautical data, information and charts
Publication standards, specifications, conventions and work practice protocols met	Operations manuals and reference material
Supervision	Correction and notification of errors and omissions
Data verification and integrity of data	Issue reporting
Sub-contracting and third-party agreements	Retention period for aeronautical data and records
Information and/or data withdrawal	Storage and security of aeronautical data and aeronautical information
NOTAM service	Briefing service and NAIPS
Post-flight information service	

Table 6. Safety management elements

System: Safety management	
Element: Safety policy and objectives	
This element contains the systems and processes that ensure effective governance to support the safety management system that is in place. This will include processes for the review and update of the authorisation holder's management practices and affirmation of 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
Quality Management System	SMS review
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	Contingency plan
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
Contingency plan	Quality assurance system

Safety management elements continued

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

3 Surveillance currency guide: Aeronautical Information Management authorisation holders

Table 7. Surveillance currency guide

Surveillance level	Type	Elements
Level 1	Systems audit	Systems and compliance
	Post-authorisation review	Specific elements and compliance
		Entry control elements
Level 2	Operational check	e.g. Specific elements, risks and compliance

Note: Surveillance intervals are determined by the National Oversight Plan (NOP). Refer to the NOP 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 and Findings
- Surveys
- Third-party audits
- Regulatory history
- 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.

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

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