



Under *Civil Aviation Order 48.1 Instrument 2019* (CAO 48.1) Appendix 7 clause 1, an operator may apply to CASA for a Fatigue Risk Management System (FRMS) implementation approval for all or part of its operations.

The information below is provided to assist you to complete the application for a FRMS approval, renewal or change. In making an application for an approval, renewal or change, you will need to carefully read this document, the FRMS Handbook and the relevant guidance materials provided on the CASA website.

**Note:** For the purposes of the transition requirements of CAO 48.1(2019) submission of this form meets the requirements of section 5AB of the CAO.

## About this form and the application process

### The application and assessment process - TRIAL

#### 1. Preliminary Processes

Prior to submitting this form, you should notify your overseeing CASA office you are considering applying for an FRMS approval. Your CASA office will arrange a pre-application meeting to help you understand the application process and the requirements to obtain an FRMS approval.

Before attending the pre-application meeting, CASA expects you to have considered in detail whether your operation can be conducted under CAO 48.1 Appendix 1-6, with or without a minor variation, and have identified areas where this is not possible or practicable.

The pre-application meeting is a no-fee, voluntary process. Attendance at a pre-application meeting is not a requirement under the legislation but is strongly recommended.

An operator who participates in a pre-application meeting will be advised of the relevant options of operating under CAO 48.1 to the prescriptive appendices (Appendix 1-6); or to the prescriptive appendices with a minor variation; or to an FRMS (Appendix 7).

The operator will also receive advice on the processes and expectations for assessment of an FRMS application, be able to discuss timeframes and any circumstances which may impact on the application process and have the opportunity to ask relevant questions.

Following the pre-application meeting, the operator will be in a better position to make an informed decision about whether to proceed with an FRMS application.

#### 2. Formal application to CASA for a trial FRMS approval

To apply for CASA's approval of a FRMS, you must complete this form and submit it with the required supporting documentation to the CASA Permissions Issue section via the email address listed below.

The required supporting documents to be submitted for the TRIAL approval application are as follows:

- a completed FRMS Gap Analysis Form (the form is available from CASA's website)
- a safety case establishing how you will identify and manage all relevant fatigue risks
- an FRMS Implementation Plan
- FRMS Manual
- Form 817 detailing where you achieve compliance with all applicable criteria/requirements (the form is available from CASA website).

These documents must collectively address the requirements of CAO 48.1, namely up-to-date identification, description, and records of the following:

- the personnel accountabilities, responsibilities, and authorities for effective implementation of the FRMS, including the FRMS Manager
- the mechanisms for ongoing involvement in fatigue risk management of management, FCMs, and all other relevant personnel
- the FRMS training programs, training requirements and records of attendance at training
- scheduled and actual flight times, and duty periods and off-duty periods with significant deviations and reasons for deviations noted
- the FRMS outputs, including findings from collected data, and recommendations and actions taken.



CASA will provide you with an estimate of costs (if applicable) and advice on the completeness of your application including whether any other supporting documentation may be required. You will need to send the required payment (if applicable) and the supporting documents before CASA can commence the assessment of your application. Information on the estimate process is provided below.

### 3. Assessment for the issue of a trial FRMS implementation approval

CASA will assess your application in accordance with the legislation and the policies and procedures described in the FRMS Handbook.

The success of your application is highly dependent on the nature of your proposed operation and quality of your application. It is in your interests to provide a comprehensive submission including:

- a thorough gap analysis identifying supporting systems, individuals and processes already in place, and what components will need to be added to meet the requirements for an FRMS
- an FRMS Implementation Plan informed by the gap analysis showing how and when the organisation will put into place or enhance any incomplete components
- a safety case which clearly articulates how the FRMS will manage the fatigue risks of your operation,
- a manual which details all required aspects of the FRMS
- the Form 817 showing where in your manual or in any supporting document you achieve compliance with the legislation provisions and requirements; and
- relevant evidence to support any claims made in your application documents.

In order for CASA to make an informed decision about your application, you will need to facilitate the assessment processes by making requested documents and records available; ensuring relevant personnel are available to respond to questions and be interviewed if necessary; attending meetings with CASA as requested; providing access to systems where necessary; and by responding to questions in a timely and complete manner.

In order for CASA to issue the approval, you must satisfy CASA in relation to a number of matters as detailed in the various sections of CAO 48.1 Appendix 7. The policies and procedures for the standards to be achieved and the supporting evidence which will need to be provided are outlined in the FRMS Handbook.

When CASA is satisfied about the matters documented in CAO 48.1 Appendix 7, CASA can issue an approval which will allow you to operate according to the processes and procedures prescribed in your proposed FRMS for the trial period of up to 24 months.

Should any fee be applicable to the assessment, at any time during the assessment of your application, CASA may provide you an updated estimate of costs to cover additional time that may be required to assess your proposed FRMS.

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### The application and assessment process – FULL Implementation Approval

During the trial, CASA will monitor and review your FRMS and the implementation of the required processes and will assess these against the criteria outlined in CAO 48.1 Appendix 7. CASA will provide advice if any amendment is required.

You may apply for a full FRMS implementation approval after you have held a trial FRMS implementation approval for at least 12 consecutive months by the submission of an application for a full Fatigue Risk Management System Implementation approval.

In order for CASA to issue the approval you must satisfy CASA in relation to a number of matters as detailed in the various sections of CAO 48.1 Appendix 7. As part of this you must provide evidence to demonstrate the FRMS is delivering the safety outcomes expected when the trial FRMS implementation approval was given. You must also satisfy CASA by providing evidence the FRMS is capable of delivering continuous improvement in the delivery of safety outcomes.

You should discuss your intention to apply for full FRMS implementation approval with your overseeing office in order that CASA can ensure the availability of the appropriate resources to conduct the assessment. Following your advice to the overseeing office of your intentions, CASA will advise you what evidence (data and reports) is



required to be provided in support of your application.

To formally apply for CASA's approval of an FRMS, you must complete this form and submit the form with the required supporting documentation as advised by CASA to Permissions Issue.

When CASA is satisfied about the matters documented in CAO 48.1 Appendix 7, CASA can issue an approval which will allow you to operate according to the processes and procedures prescribed in your proposed FRMS.

If CASA decides not to issue a full FRMS implementation approval, you may apply again to CASA for a trial FRMS implementation approval. CASA may extend the duration of the trial approval by issuing a new trial approval, if CASA considers that aviation safety requires a longer trial period before a full FRMS implementation approval.

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## Significant Change

The following areas require the application of change management procedures in accordance with clause 7 of Appendix 7 of CAO 48.1 as the changes are 'significant changes.'

- any increase in the maximum flight times, flight duty periods and duty periods
- any decrease in the minimum off duty periods
- any other change to any element of the FRMS that does not maintain or improve, or is not likely to maintain or improve, aviation safety.

In addition, Appendix 7 of CAO 48.1 requires that:

- The AOC holder must not make a significant change to any element of the FRMS unless an application to make the change is approved in writing by CASA; and
- The application for approval of a significant change must:
  - (a) be in writing; and
  - (b) set out the change; and
  - (c) be accompanied by a copy of the part of the AOC holder's FRMS documentation affected by the change, clearly identifying the change.

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## Non-Significant Changes

Appendix 7 of CAO 48.1 requires that a change to the FRMS that is not a significant change must be:

- (a) made in accordance with the FRMS change management procedures; and
- (b) notified in writing to CASA within the following period after the change is made:
  - (i) 7 days
  - (ii) either:
    - (A) if an AOC holder's approved SMS amendment process under Part 82 of the CAOs has a different CASA notification period for SMS amendments — the period specified in the process; or
    - (B) if an AOC holder's exposition change process under the Regulations has a different CASA notification period for non-significant changes — the period specified in the process.

An operator who holds an FRM approval may only amend their FRMS in accordance with the 'significant/not significant' change provisions, and can achieve compliance with the relevant notification requirements by completion of the appropriate sections of this form as noted below.

## Estimate of Costs

If applicable, CASA will send you an estimate of costs to process your application. An estimate assumes the applicant will provide a reasonable standard of documentation necessary to support the application.

In accordance with the relevant fee waiver policy, transitioning operators seeking FRMS approval to continue existing operations on a 'like for like' basis (but who operate pursuant to a "industry" fatigue exemption or similar), will not be charged fees. However, any variation of scope requested during transition will incur fees under the *Civil Aviation (Fees) Regulations 1995*. New operators applying for an FRMS approval will be charged the applicable fees under the *Civil Aviation (Fees) Regulations 1995*.



An estimate is valid for 30 days from the date the estimate is sent. If we have not received your payment and any supporting documents required within 30 days, your job may be closed and your application returned to you. Where payment of the estimate is made outside the 30-day limit, CASA will review the estimate to ensure its continued validity.

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### Withdrawal of Application

You can withdraw your application in writing at any time however, if applicable, you will be charged for time spent on the assessment of your application up to the date of withdrawal. Refer to *Estimate of Cost* section of the Guidelines. We will send you an invoice or a refund as applicable.

### Other information

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#### Use of an Agent

You may by law appoint an agent to complete and sign the application on your behalf and to negotiate with CASA in relation to all matters necessary to complete your application.

If you wish to authorise an agent to act on your behalf, CASA requires that the agent be appointed under a Power of Attorney. The Power of Attorney must be executed and signed by all applicants or in the case of a company by a Director of that company.

CASA will not recognise any other method for the appointment of an agent for the purposes of signing application forms. CASA may deal with the nominated agent in ALL matters relating to your application. This means that you will be taken to have received any communication about your application sent to the agent as if they were sent to you personally. CASA will consider the authority of the agent to have ceased once the approval has been issued.

### Submitting your Application Form

**Please note - you do not need to print and submit this guidance.**

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Submit your application to CASA's Permissions Issue team by email, or post.

By email: [regservices@casa.gov.au](mailto:regservices@casa.gov.au)

By post: CASA Client Services Centre  
GPO Box 2005  
Canberra ACT 2601

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**Part A – Details of Air Operator’s Certificate (AOC) Holder**

If you are filling in the form by hand, print neatly with a black or blue ballpoint pen. It is in your interest to ensure that the information you provide is both accurate and complete. It is an offence to make false declaration.

Questions marked with an asterisk (\*) are mandatory and must be completed.

**A1** AOC Holder’s Details

Provide the details in this section as they appear on your current AOC.

Name of AOC holder(s)*			
ACN or ARBN*		ARN*	
Phone*		Email*	
AOC Number*			

**A1.2** Changes to main contact details

Have your main contact details changed since the last time you applied for a CASA authorisation? *	Yes <input type="checkbox"/> > Provide details below	No <input type="checkbox"/> > Go to <b>A1.3</b>
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Street				
Suburb		State		Postcode
Phone (business hours)			Fax	
Phone (after hours)			Mobile	
Email				

**A1.3** I am applying for the following (select ONE option only):

> a trial FRMS implementation approval, for all or part of the AOC’s operations (complete Parts B and D); OR

> a full FRMS implementation approval, for all or part of the AOC’s operations (CASA will provide advice on the required documents to be provided) (complete Part D)

> Significant Change (You will receive an Estimate of Costs – complete Parts C and D)

> Non -Significant Change (This notification is not chargeable – Provide amended FRMS manual within 7 days after that change is made) NOTE: If your FRMS Manager has changed complete Parts C1, C2 and D

> Renewal (You will receive an Estimate of Costs) - complete Part D

> Renewal with Changes (You will receive an Estimate of Costs – complete Parts C and D)

**Part B – Supporting Documents for TRIAL**

I have attached the following supporting documents (see section 2 of the guidance for this form):

> completed FRMS Gap Analysis

> safety case

> FRMS implementation plan

> FRMS Manual

> Form 817



**Part C – Details of Significant Change**

> I have attached the amended FRMS documentation and all relevant supporting information.

**Details of FRMS Manager and Nominated Contact Person**

**C1** FRMS Manager or the person performing this role at the time of the submission of this application.

Name in full*		ARN	
Email			
Phone (business hours)*		Mobile	Fax

**C2** Experience of FRMS Manager

> I have attached the qualifications, work experience and relevant knowledge (including any other CASA approvals held) of the nominated person mentioned in C1.

**C3** Nominated contact person if different from above.

Name in full*		ARN	
Email			
Phone (business hours)*		Mobile	Fax



**Part D – Applicant Declaration**

I / We declare that the information provided in and with this Form is true and correct.  
*Please note that giving false or misleading information is an offence under Chapter 7, Part 7.4 of the Criminal Code Act 1995 (see in particular s.136.1 and 137.1 of the Criminal Code).*

I am signing this section as:

> The individual(s) named as AOC holders in A1

> The Directors of the company(s) named in A1

> The agent appointed under a Power of Attorney

If I am signing this application as an agent, I declare that I have obtained the necessary Power of Attorney authorising me to sign on behalf of the AOC holder(s).

Name*		Signature*		Date	
Name		Signature		Date	

You must provide the name/s and signature/s for CASA to accept this application.

**What to do now**

Email or post the complete set of documents to Permissions Issue (Brisbane) at one of the below

Post	CASA Client Service Centre GPO Box 2005 Canberra ACT 2601
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Email	<a href="mailto:regservices@casa.gov.au">regservices@casa.gov.au</a>
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After reviewing your application, you will be advised if CASA requires the submission of any additional documents or information to support your application.

**This completes your application for a FRMS**

The relevant CASA Regional Office will contact you to discuss your application.