



Part 141 - Technical Assessor Handbook

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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.

Preface

As a Commonwealth government authority, CASA must ensure that the decisions we make, and the processes by which we make them, are effective, efficient, fair, timely, transparent, properly documented and otherwise comply with the requirements of the law. At the same time, we are committed to ensuring that all of our actions are consistent with the principles reflected in our Regulatory Philosophy.

Most of the regulatory decisions CASA makes are such that conformity with authoritative policy and established procedures will lead to the achievement of these outcomes. Frequently, however, CASA decision-makers will encounter situations in which the strict application of policy may not be appropriate. In such cases, striking a proper balance between the need for consistency and a corresponding need for flexibility, the responsible exercise of discretion is required.

In conjunction with a clear understanding of the considerations mentioned above, and a thorough knowledge of the relevant provisions of the civil aviation legislation, adherence to the procedures described in this manual will help to guide and inform the decisions you make, with a view to better ensuring the achievement of optimal outcomes in the interest of safety and fairness alike.

Pip Spence
Chief Executive Officer and
Director of Aviation Safety

Work Health and Safety (WHS) for Employees

All CASA workers (including contractors) have legal duties under the WHS legislation. Your duty as a worker includes taking reasonable care of your own health and safety and ensuring that nothing you do (or omit) causes harm to others. You must comply so far as reasonably practicable with any reasonable instruction given to you by CASA and you must co-operate with any reasonable WHS policy or procedure. Your duty of care is proportionate to the control you can exercise over your work activities and work environment.

Different roles in CASA bring different hazards which, if not managed effectively, may create a safety risk. For example, working airside, working outdoors, driving long distances, or dealing with client aggression.

The management of health and safety is integrated into how we conduct our daily work e.g. use of personal protective equipment, training and our work protocols. The WHS Risk Register and Safe Work Practices document identified risks and their management. However, if you identify something that poses an unacceptable risk, you should not place yourself or others at risk of injury; ensure that you discuss the risk with your supervisor as soon as practicable and (if necessary) [report the hazard](#) in ESS. Continuous improvement of our health and safety management system is essential to keeping everyone safe at work.

For further information go to the [WHS Horace page](#) or contact WHS@casa.gov.au.

Table of Contents

Preface	3
Work Health and Safety (WHS) for Employees	4
Table of Contents	5
Glossary	9
References	10
Revision History	12
Part A Introduction to this Handbook	13
A1 About this Handbook	13
A1.1 Purpose of this Handbook	13
A1.2 What this Handbook Covers	13
A1.3 Who is this Handbook for?	13
A1.4 When to use this Handbook	13
A1.5 How to use this Handbook and Worksheet	15
A1.6 What this Handbook Does Not Cover	16
A1.7 Where to go for Further Assistance	16
A2 Part 141 Overview	16
A2.1 Part 141 Flight Training	16
A2.2 Operations Manual	16
A2.3 Relationship with existing operations manuals	16
A2.4 Relationship with other CASA legislation	17
A3 CASR Part 141 Policy Statements	17
A3.1 General	17
Part B Assessment Process	18
B1 Objective of the Assessment	18
B2 Assessment Overview	18
B2.1 Preliminary and Application Requirements	18
B2.2 CASR Part 141 Desktop Assessment Process	18
B2.3 Approvals, Limitations and Conditions	18
B3 Subsequent assessments in response to the operator changes	19
B4 Guidance for Assessment of Operator Procedures and Processes	19
Part C Technical Assessment Criteria	21
C1 Organisational and Personnel	21
C1.1 Applicant Information	21
C1.1.1 Name	21
C1.1.2 Contact details	21

C1.1.3	Operational headquarters and training bases	21
C1.2	Organisation	22
C1.2.1	Description and diagram	22
C1.2.2	Organisational structure	23
C1.2.3	Chain of command	25
C1.3	Corporate Structure	25
C1.4	Safety Policy	26
C1.5	Key Personnel	26
C1.5.1	General	27
C1.5.2	Fitness and propriety	27
C1.5.3	Temporary absence	28
C1.5.4	Familiarisation or induction training	29
C1.6	Chief Executive Officer	30
C1.6.1	Applicant who is an individual	30
C1.6.2	Additional qualifications and experience	30
C1.6.3	Responsibilities	31
C1.6.4	Additional responsibilities and accountabilities	35
C1.6.5	Direction to undertake an examination, interview or training	36
C1.7	Head of Operations	37
C1.7.1	Qualifications	37
C1.7.2	Additional qualifications and experience	39
C1.7.3	Responsibilities	39
C1.7.4	Additional responsibilities	45
C1.7.5	Direction to undertake an examination, interview or training	46
C1.8	Other Personnel	49
C1.8.1	Personnel number, qualification and experience	49
C1.8.2	Responsibilities	50
C2	Activities and Facilities	51
C2.1	Authorised Part 141 Flight Training	51
C2.2	Other Operations	51
C2.3	Aircraft	52
C2.3.1	Aircraft details	52
C2.3.2	Turbine-engine aircraft	52
C2.3.3	Foreign registered aircraft	53
C2.4	Flight Simulation Training Devices	53
C2.4.1	Description of Devices	54

C2.4.2	Qualification or approval	54
C2.5	Facilities	56
C2.5.1	Description	57
C2.5.2	Suitability	57
C2.5.3	Reference Library	59
C3	Processes	60
C3.1	Part 141 Flight Training	60
C3.1.1	Procedures for conduct and management of training	61
C3.1.2	Minimum qualifications and experience	69
C3.1.3	Command responsibility	69
C3.1.4	Instructors- authorisation under Part 61	69
C3.1.5	Pilot in command - authorisation under Part 61	69
C3.1.6	Student pilot competency -first solo	69
C3.1.7	Approval of solo training flights - other than student pilots	70
C3.1.8	Carriage of passengers	71
C3.1.9	Flight training areas	71
C3.1.10	Low flying training areas	72
C3.1.11	Flight test recommendation	72
C3.1.12	Competency of personnel using FSTDs	73
C3.1.13	Training records	73
C3.1.14	Access to records	73
C3.1.15	Availability of records	74
C3.1.16	Checklists	74
C3.1.17	Identifying and addressing deficiencies in training	74
C3.1.18	Instructor standardisation and proficiency	78
C3.1.19	Training in human factors principals and non-technical skills	80
C3.2	Change Management	82
C3.2.1	Significant changes	82
C3.2.2	Changes to the permanent appointment of key personnel	84
C3.2.3	Changes that are not significant changes	84
C3.2.4	Changes to name and address	85
C3.2.5	Changes directed by CASA	85
C3.3	Fatigue Management	86
C3.3.1	Fatigue management	86
C3.3.2	Fatigue risk management system manual	86
C3.4	Quality System	87

C3.4.1	General	87
C3.4.2	Correct operation of the device	87
C3.4.3	Correct maintenance of the device	87
C3.4.4	Quality system inclusions	88
C3.5	Dangerous Goods Manual	93
C3.6	Drug and Alcohol Management Plan	93
C3.7	Additional matters to be approved or prescribed	94
C3.7.1	Other matters to be approved by CASA	94
C3.7.2	Matters prescribed under regulation 141.040	94
C4	Appendices	95
C4.1	Other Documents	95
Appendix 1	Guide to CASR Part 141 Sample Operations Manual	96
Appendix 2	CASR Part 141 Technical Assessor Worksheet	97
Appendix 3	Procedures for issuing an approval under regulation 141.035 of the CASR	98
	General Overview	98
	General Procedures	101

Glossary

Acronyms and Abbreviations

Acronym / Abbreviation	Description
CASA	Civil Aviation Safety Authority
AC	Advisory Circular
AOC	Air Operators Certificate
ARN	Aviation Reference Number
CAAP	Civil Aviation Advisory Publication
CAO	Civil Aviation Order
CAR	Civil Aviation Regulations 1988
CASR	Civil Aviation Regulations 1998
DAMP	Drug and Alcohol Management Plan
FOI	Flight Operations Inspector
FSB	Flight Safety Branch
FSTD	Flight Simulator Training Device
FTO	Flight Training Operator
HF & NTS	Human Factors & Non-Technical Skills
MOS	Manual of Standards
QTG	Qualification Test Guide
SLA	Service Level Agreement
SMS	Safety Management System
SOM	Sample Operations Manual
STOM	Synthetic Trainer Operations Manual
TAH	Technical Assessor Handbook
VFR	Visual Flight Rules

Definitions

Term	Definition
Technical Assessor	For the purposes of this handbook, the term refers to a CASA FOI who is suitably qualified, trained and experienced in undertaking an assessment of Part 141 requirements.
Technical Assessor Worksheet:	A Microsoft Excel spreadsheet, containing various sorting and filtering functionality, for recording outcomes and decisions to legislative assessment questions.

References

Legislation and Guidance Material

Document type	Title
Regulation	<i>Civil Aviation Act 1988 (the ACT)</i>
Regulation	Part 60 of the Civil Aviation Safety Regulations 1998 (CASR)
Regulation	Part 61 of the Civil Aviation Safety Regulations 1998 (CASR)
Regulation	Part 141 of the Civil Aviation Safety Regulations 1998 (CASR)
Regulation	Part 142 of the Civil Aviation Safety Regulations 1998 (CASR)
Manual of Standards	Part 60 Manual of Standards (MOS)
Manual of Standards	Part 61 Manual of Standards (MOS)
Regulation	Civil Aviation Order CAO 48.1 Flight Time Limitations
Regulation	Civil Aviation Advisory Publication (CAAP) 92-1(1): Guidelines for aeroplane landing area
Regulation	Civil Aviation Advisory Publication (CAAP) 92-2(2): Guidelines for the establishment and operation of onshore Helicopter Landing Sites
Regulation	Civil Aviation Advisory Publication (CAAP) SMS-3(1): Non-technical skills training and assessment for regular public transport operations
Guidance	Advisory Circular (AC) 60-1(0): Flight Simulator Evaluations
Guidance	Advisory Circular (AC) 60-2: Flight Simulator Approvals
Guidance	Advisory Circular (AC) 60-3(0): Validation Tests-Guidance Material
Guidance	Advisory Circular (AC) 60-4(0): Flight Training Devices
Manual	Operational Standards and Requirements-Approved Synthetic Trainers (FSD2)
Handbook	Fatigue Risk Management System Handbook
Handbook	Approved testing Officer Manual / Flight Examiner Handbook

Forms

Form number	Title
Form 141-001	Application for CASR Part 141 Flight Training Certificate
Form 4	Form 4 - Nominated Personnel

Key Words

This handbook, and its associated worksheet, uses the following key words to convey requirement levels. This section defines those key words as they should be interpreted in the handbook and worksheet.

Term	Definition
Must	Used to define an obligation. The term is used to convey the regulatory requirements. 'Must' is used sparingly in the things for consideration section in Part C of the handbook to reiterate legislative requirements.
Should	Used to signify a recommendation. The term is typically used in the things for consideration section in Part C of the handbook to denote those items that CASA recommends an assessor considers in making a decision regarding the quality and suitability of an application.
May	Used to signify something that is permitted, but not required. The term is frequently used in the things for consideration section in Part C of the handbook to provide options and examples of how an applicant may demonstrate compliance with the regulatory requirements.

Revision History

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

Version no.	Date	Parts/Sections	Details
2.3	June 2021	All parts	Remove all references to transition activities and CAR Part 5 approvals and embed the requirements of TMI 2016-002
2.2	September 2017	C1.6	Minor amendment to with the repeal of Paragraph 141.120 (1)(e) from regulations
2.1	October 2016	C2.5 (a) & (b)	Amendments to the policy on locations
2.1	September 2016	APPENDIX 4	Procedures for issuing an approval under regulation 141.035 of the CASR
2.1	September 2016	C1.7.5	Direction to undertake an examination, interview or training
2.0	Mar 2016	Part A, B & Appendices	Amendments to incorporate information about the Part 141 Sample Operations Manual (SOM) and the SOM Guide
1.0	August 2014	Initial issue	All

Part A Introduction to this Handbook

A1 About this Handbook

A1.1 Purpose of this Handbook

CASA has developed this handbook, in conjunction with its associated worksheet, to provide a consistent assessment method for CASA technical assessors to assess Part 141 applications for compliance with the *Civil Aviation Safety Regulations 1998 (CASR)*.

CASA does not expect its technical assessors to interpret legislation; this handbook provides the necessary information relating to CASA standards, interpretations and explanations of the law. CASA does, however, expect that its assessors will apply reasonable and professional judgment in using this handbook during an assessment of legislative requirements.

Using this handbook ensures a standardised assessment outcome in a manner consistent with CASA legislation and policy.

A1.2 What this Handbook Covers

This handbook and its associated worksheet only cover the technical aspects of assessing an entry control application.

The handbook includes the process and assessment elements for assessing an application for a Part 141 certificate. The worksheet articulates the standardised assessment criteria via a series of legislative questions.

This handbook has been developed in parts for ease of use by the assessor. Part A includes introductory and policy information, Part B includes information on the assessment process and Part C describes the things for consideration which correspond to the assessment questions in the associated assessor worksheet.

A1.3 Who is this Handbook for?

The primary audience for this handbook is suitably qualified CASA officers who conduct entry control assessments of CASR Part 141 operations manuals.

This handbook may also be used or referenced by CASA delegates who exercise powers under Part 141 of CASR, to issue a Part 141 certificate.

For the purposes of this handbook, CASA staff conducting Part 141 assessments are referred to as Technical Assessors.

A1.4 When to use this Handbook

CASA publishes a Part 141 Sample Operations Manual (SOM) to assist operators within a certain scope to produce a conforming operations manual for compliance with Part 141. Applicants may choose to adopt the SOM with minimal revision and submit it as the basis of their manual. The Part 141 SOM Guide (referenced as Appendix 2 of this handbook) contains information on the rationale behind each SOM provision and gives details of where applicants should insert or amend SOM material to customise their manual.

The Part 141 SOM has been developed to meet the requirements described in CASR 141.260 (and other relevant regulations) for a FTO that conducts Part 141 flying training and operates with up to 10 regular safety sensitive employees.

Note: The delineation of 10 safety sensitive employees is intended to be consistent with the provisions for the CASA Micro-business DAMP provisions. That is, if the Micro-business DMAP provision applies to particular operator, then they are considered within the scope of the Part 141 SOM.

Note: The Part 141 SOM is constructed based on “Sample Aviation” – a fictitious organisation that operates fixed wing, piston aircraft and they are not the registered operator of the aircraft. The Part 141 guide expands more on the scope and the requirement to include other material where required by regulations that apply to the differences from “Sample Aviation”.

Notwithstanding the above, a non-complex operator with more than 10 regular safety sensitive employees may still utilise the Part 141 SOM as a template for their operations manual, however, it is likely that additional procedural material would be required where the template is used out of scope. In such cases, additional procedural material may be required to describe persons who actually perform procedures if they are delegated i.e. a description of procedures to meet the requirements of CASR reg 141.260 (k).

For an operator within scope of the SOM the assessment process will be abbreviated as the content of the SOM already meets the requirements of the Assessment Worksheet. The only areas requiring assessment in this style of manual will be operator populated mandated content such as unique identification and details such as facilities and location. In this instance, it may not be necessary to refer to this handbook apart from reviewing the process mapping and policy statements.

Should an applicant choose to submit a manual that is either significantly amended or a major departure from the format and content of the SOM, the handbook will enable the assessor to determine whether operator generated or amended content meets the regulatory requirements. If, after review of the handbook guidance, the assessor still cannot make a proper assessment as to the suitability of the material, they are required to escalate their concerns to their Manager for approval before feedback or requests for further information are made to the applicant.

Operator amendment to the Part 141 SOM and CASA acceptance

The SOM contains three broad classes of content as described in the SOM Guide. Operator adoption, amendment and submission of this content is to be dealt with using the following methodologies:

1. SOM content demonstrating a means of compliance with Part 141:
 - (a) Unaltered SOM content that is adopted by an FTO conforming with the scope of the Part 141 SOM, will be accepted by CASA.
 - (b) SOM content that has been amended by an operator will be reviewed for compliance, consistency and accuracy with the relevant Part 141 provision, and if suitable, will be accepted.
2. Areas of the Part 141 SOM where content is required to be inserted by the operator will be reviewed for consistency and accuracy, e.g. contact or aircraft details.
3. SOM content relating to CASA legislation not contained in Part 141 (described as “Standard Practice” in the guide):
 - a) Unaltered SOM content that is adopted by a FTO conforming to the scope of the Part 141 SOM will be accepted.

4. SOM content that has been amended or developed by the operator will be reviewed to determine whether it is an acceptable means of compliance with the relevant regulatory provision, and if suitable, will be accepted.

Where an operator has amended sections of the Part 141 SOM, the assessor will use the Part 141 SOM Guide to identify the intent and scope of the SOM material to assess the suitability of the operators' amendments. This TAH may also be consulted for further advice on current CASA policy.

Additional material may be required to demonstrate compliance with Part 141 for FTOs not covered by the scope of the Part 141 SOM. When considering any requirement for additional content from an operator, an assessor must consult with the Certificate Team Manager (CTM) prior to communicating any such requirement with the applicant.

A CTM is then to ensure any requirement for additional material can be, and is, justified with regard to the size and scope of the proposed operation. That is, it is reasonable to believe that it is not possible to determine whether the operator would comply with their regulatory responsibilities without including such additional material.

The assessor worksheet is to be used to document the assessment process. The assessor is to indicate where material is acceptable, unacceptable, whether more information is required, where a site visit is required, or an interview and/or assessment flight is required to assess a Key person.

A1.5 How to use this Handbook and Worksheet

This TAH is to be used in conjunction with the associated Technical Assessor Worksheet (referenced in Appendix 1 to this handbook), which is the primary tool for undertaking a technical assessment to determine compliance with CASA legislative requirements.

Reference to the handbook would not normally be required for applicants within the scope of the TMI who submit unaltered SOM based manuals.

The worksheet is a Microsoft Excel document with various functionalities and sheet TABs, one of which is the User Instructions which should be read prior to commencing an assessment. If there is more than one assessor, the findings from each assessor must be consolidated onto one worksheet, ideally before feedback or requests for further information are conveyed to the applicant.

The regulatory questions in the worksheet form the assessment criteria that an assessor must consider in determining if an applicant's operations manual complies with legislation, and whether the applicant can conduct the proposed Part 141 flight training safely and in accordance with their operations manual. This handbook expands on those questions by providing an understanding of the question (through things for consideration).

The worksheet is to be used to undertake a standardised and unified entry control assessment of an application for a Part 141 certificate; and to document an auditable record of the decisions and rationale against each of the assessment questions. Use the legislation, policy and philosophy statements contained in this handbook to thoroughly understand the legislative requirements; thereby aiding a standardised decision-making process.

Assessors are required to document their decisions and actions on the worksheet to create an auditable record of the assessment process. The completed assessor worksheet is to be stored in the CASA records management system and referred to in the SFR to the delegate.

A1.6 What this Handbook Does Not Cover

This handbook does not cover how an assessor will make a decision about whether CASA should issue a Part 141 certificate. It assumes that technical assessors are suitably qualified, trained and experienced in assessing the quality of an application for the purposes of ensuring satisfactory compliance.

Although this handbook provides guidance information, the ultimate decision must be made by the assessor as to whether the information presented is suitable, complies with relevant legislation and does not impose safety concerns.

The systems that surround the technical aspects of assessing an entry control application are not covered in this handbook and are the responsibility of other CASA divisions; this includes the administrative tasks for receipt of an application and issue of a final permission, or ongoing surveillance activities.

A1.7 Where to go for Further Assistance

To obtain further assistance with any of the information contained within this handbook and associated appendices, contact the Manager Flight Crew Licencing Standards, Flight Standards Branch, Aviation Group.

A2 Part 141 Overview

This section provides an overview of CASR Part 141 including background information regarding the regulatory framework and the assessment process and a series of policy statements in relation to undertaking the assessment.

A2.1 Part 141 Flight Training

Part 141 flight training is training conducted in an aircraft or flight simulation training device as defined in CASR 141.015 and an operator requires Part 141 authorisation to conduct this training. CASR 141.260 outlines the material that must be in an operator, operations manual. CASA will issue an authorisation if satisfied that the matters referred to in CASR 141.060 have been complied with and that the applicant can carry out the proposed activities safely.

A2.2 Operations Manual

For a Part 141 operator, the term operations manual means a set of documents in relation to the operator that are approved by CASA under regulation 141.065 of CASR; or if the set of documents is changed under regulation 141.080, 141.090 or 141.100 of CASR or the process mentioned in regulation 141.095 of CASR, the set of documents as changed.

A2.3 Relationship with existing operations manuals

AOC holders with existing Flying Training approvals transitioning to Part 141 are required to submit an operations manual for approval to be issued with a Part 141 authorisation. The TMI associated with this handbook outlines how assessors are to deal with existing operators' Operations Manuals.

A2.4 Relationship with other CASA legislation

Operations manuals submitted in support of a Part 141 authorisation may include aircraft operating information and other material that does not relate to Part 141. In these instances, existing assessment protocols will be employed.

A3 CASR Part 141 Policy Statements

A3.1 General

- This handbook and its associated worksheet are internal CASA assessment tools for a technical assessor to use in undertaking an assessment for compliance against Part 141 of CASR
- It is CASA policy that this handbook be the primary reference when assessing compliance Part 141 CASR
- The questions in the assessor worksheet are the minimum requirements that an assessor must consider before making a recommendation to a CASA delegate regarding the issue of a Part 141 certificate. Each question in the worksheet must be assessed and the technical assessor must include detailed comments/rationale of their decisions made
- Whilst some questions in the assessment worksheet may appear to be a simple yes/no response, CASA expects its technical assessors to undertake a qualitative assessment for each question, having regard to the suitability of procedures and practices that enable an applicant to conduct their operations safely and in accordance with the legislation
- An operator who conforms to the scope of the Sample Operations Manual and who submits the SOM unaltered will be accepted by CASA as compliant to the requirements of Part 141.

Part B Assessment Process

B1 Objective of the Assessment

The objective of this assessment process is to undertake a qualitative assessment of an applicant's operations manual to ensure the applicant has suitable policy, processes and practices to control their organisation and conduct their proposed Part 141 flight training safely and in accordance with aviation regulatory requirements.

B2 Assessment Overview

This section provides a high level overview of the logical flow and assessment elements involved in the technical assessment of a Part 141 application.

Assessment elements for a Part 141 assessment typically involve verification of the applicant's claims through a range of activities, including:

- desktop assessment of the documentation provided
- assessment of key personnel
- site inspection of facilities.

B2.1 Preliminary and Application Requirements

An applicant must apply to CASA for authorisation to conduct Part 141 flight training.

It is the applicant's responsibility to submit a complete application using a form approved by CASA and in accordance with any prescribed CASA requirements.

Depending on the complexity of the organisation and its proposed activities, an applicant may be required to attend a preliminary application meeting with a CASA regional office, prior to the commencement of the technical assessment.

Any such arrangements will be made by the Client Service Centre, Stakeholder Engagement or Regulatory Oversight Division, as necessary.

B2.2 CASR Part 141 Desktop Assessment Process

In many instances, the assessment may appear to merely require a simple 'yes' or 'no' in response to a worksheet question. However, in accordance with regulation 141.060 of CASR, CASA must be satisfied that an applicant's organisation has 'suitable procedures and practices to control the organisation and ensure activities can be conducted safely'. To assess suitability, an assessor is to first be aware of the current or proposed scope of operations and is then obliged to make a qualitative assessment of the applicant's policies, procedures and processes, detailing and rationalising the assessment outcomes against each assessment question in the assessor worksheet. Assessors are encouraged to assess the 'workability' of proposed methodology.

B2.3 Approvals, Limitations and Conditions

Before finalising an assessment of a Part 141 application, the technical assessor must determine any limitations or conditions (in relation to the activities) for the certificate; having regard to the nature of the proposed activities and the applicant's ability to conduct the

activities safely. An example of this could be where a technical training specialist is employed.

Once determined, the technical assessor should ensure that all decisions, conditions and limitations are recorded in the Part 141 Assessment Worksheet.

The technical assessor is also required to comply with any specific instructions issued by Client Services Centre or Regulatory Services Branch in relation to preparing a recommendation, or other requirements, for the issue of a Part 141 certificate.

B3 Subsequent assessments in response to the operator changes

All operations manual changes must be advised to CASA, however in accordance with CASR 141.085, only significant changes require prior approval. For processes and procedures, the assessor will use the worksheet and handbook to assess the change. If the change involves key personnel, the assessor will determine if assessments of these persons are required.

The technical assessor is also required to comply with any specific instructions issued by Client Services Centre or Regulatory Services Branch in relation to preparing a recommendation, or other requirements, for the issue of a Part 141 certificate.

B4 Guidance for Assessment of Operator Procedures and Processes

In relation to Key Person responsibilities, these would normally be discharged through a person carrying out a formally documented series of procedures or processes that contribute to obtaining the compliance outcome. Part 141 uses the term 'ensuring' for responsibilities assigned to key personnel. This term is to be interpreted as 'to make sure it occurs'. The assessor is not to take this to mean that the key person must actually carry out the action personally. It is acceptable for an appropriately trained and qualified delegate or a third party to actually carry out the function, provided oversight of the process is maintained by the key person responsible.

The applicants' operations manual needs to only contain enough detail for the assessor to determine if a process or procedure will be likely to achieve a satisfactory outcome, given the nature of the applicant's current or proposed activities. Typically, such detail would include a description of the process or action, including any forms or documents such as reports etc. that are generated in the process. This means the applicant is to indicate responsibility for the task, what it is, when it is to be carried out and what record is to be made.

In a small organisation it may be that the chief executive officer and/or the head of operations carry out most duties personally to fulfil their responsibilities. However for a larger, more complex or geographically dispersed organisation it may be appropriate for a delegate or contractor to carry out some functions. The applicant will need to make clear who will actually carry out the process, if it may be delegated, and if so, how this delegation is controlled and satisfactory oversight achieved.

The timing of processes such as regular reviews, audits or monitoring activities, should be scheduled frequently enough to capture representative samples of the operators functions. Variations in size and scale of the activities and the tempo of operations will require different schedules for different operators.

A system should exist to enable the chief executive officer, as the key person responsible for overall compliance of the operator, to ensure the results or outcomes of the operator's processes and procedures fulfil this requirement.

Part C Technical Assessment Criteria

C1 Organisational and Personnel

This part of the assessment evaluates the information an applicant must include in an operations manual, relating to its organisation, organisational structure and personnel details.

C1.1 Applicant Information

References



CASR: 141.260(1)

Introduction

To provide for identification and future communication between the operator and CASA, the operations manual must include the name, address and contact details of the applicant.

Things for consideration

The following information may be of value in determining if the applicant has included the required information in the operations manual.

C1.1.1 Name

- Check that the legal name of the applicant, trading names and ABN (if any) mentioned in the application, are included in the operations manual.

C1.1.2 Contact details

- Check that the contact details mentioned in the application are included in the operations manual
- The contact information should include:
 - the applicant's postal address, primary phone number, email address and fax number
 - the phone numbers and email addresses for the key personnel
 - the phone numbers and email address for the manager/senior base pilot (if any) at each training base.

C1.1.3 Operational headquarters and training bases

- Check that the physical address of the applicant's operational headquarters, as mentioned in the application, is included in the operations manual.
- Check that the physical address and phone number/s for each training base, as mentioned in the application, are included in the operations manual.

C1.2 Organisation

References



CASR: 141.105, 141.260(1)(c)

Introduction

An applicant must demonstrate that its organisation is suitable to ensure that training can be conducted safely, having regard to the nature of the training.

An operations manual must include a description and diagram of the applicant's organisational structure. This information will assist in determining the suitability of the organisation to effectively manage the safe conduct of training.

Things for Consideration

The following information may be of value in determining if the applicant has adequately described the structure of its organisation within its operations manual and whether the applicant's organisational structure takes into account relevant matters, including those set out in sub regulation *141.105(1)* of CASR.

C1.2.1 Description and diagram

The extent of detail required for the description and diagram will vary according to the size and complexity of the organisation.

a) Description

- The description should be sufficient in detail to provide a clear understanding of how the organisation is structured
- The description should identify the position of key personnel in the structure and indicate the positions that the key personnel must report to
- Position titles for key personnel, managers, supervisors and instructors having responsibility for particular Part 141 flight training should be described
- If the applicant has chosen to use position titles for key personnel that are different to those used in CASR Part 141, the description should identify the equivalent regulatory titles
- It may be acceptable for smaller organisations to appoint a single person to the key personnel positions of chief executive officer and head of operations. The acceptability of dual appointment is dependent on the capacity of that person to effectively fulfil both roles. This may be appropriate in very small non-complex organisations conducting, for example, only infrequent training for RPL and PPL or other very limited frequency training
- To ensure that each managerial position has an acceptable span of control the number of managerial positions should be appropriate to the size and scope of the proposed operations. While the applicant must determine the level of responsibility for each management position, ideally each management position should have no more than 7-9 direct reports

- The description should indicate the chain of command throughout the organisation. The chain of command represents the reporting structure of the organisation and must be appropriate to ensure adequate supervision of training. Considerations relevant to assessing the organisational chain of command are described in section C1.2.3 of this handbook
- The chief executive officer should be positioned under a board of directors (if applicable) at the pinnacle of the organisational hierarchy, demonstrating the overall responsibility and accountability of the position
- For the chain of command to be effective, delegated responsibility and accountability should rest with persons holding qualifications and experience relevant to the position.

b) Diagram

- The diagram should correspond with the applicant's description of their organisation and provide an accurate visual representation of the structure.
- The diagram should be clear and depict the management and reporting structure of the organisation, including:
 - all key personnel positions
 - the formal reporting lines for each of the key personnel
 - reporting lines for management/supervisory personnel within each department, leading to the respective head of that department
 - reporting lines for instructors appointed by the head of operations to have responsibility for particular Part 141 flight training.

C1.2.2 Organisational structure

To effectively manage the proposed training, the applicant's organisational structure must take into account the following matters mentioned in regulation 141.105 of CASR:

a) Nature and complexity of activities

- An applicant intending to conduct multiple kinds of training may choose to structure the organisation into sub units with dedicated responsibility for each kind of training
- An organisational structure supporting occasional training for commercial licences, instrument ratings and instructor ratings, and employing only a few instructors, may be effective without subdivision. However, another operator conducting the same kind of training but with a much higher rate of training and employing a large number of instructors is likely to require separate sections, units or departments, for each kind of training
- For example, an instrument rating training department responsible for training in both single and multi-engine aircraft may be managed more effectively if further subdivided into separate sections for the different kinds of aircraft.

b) Numbers and kinds of aircraft and flight stimulation training devices used

- If the applicant's fleet is large and contains multiple types the applicant may choose to appoint individual fleet training managers responsible for aircraft and FSTDs of a particular type. This may include the incorporation of separate departments into the applicant's organisational structure.

c) Numbers and locations of training bases used

- If the applicant intends to establish remote training bases, the applicant's organisational structure should provide appropriate supervision of training at each location
- An organisation with remote training bases must demonstrate how the head of operations will maintain effective supervision and operational control over personnel and course participants at each training base. Evidence may include the establishment of regular communication and reporting channels between each base
- The head of operations may delegate some of the duties associated with their responsibilities (but not the responsibilities themselves) to an appropriate person to act on their behalf. In this situation, and particularly where any additional training bases are remote, a senior base instructor/manager with a direct reporting line to the head of operations should be nominated at each base. Details of such appointments should be provided in the description of the applicant's organisational structure
- Reporting lines between the head of operations and supervisory personnel at each base should be clearly defined in the applicant's organisational structure.

d) Number of personnel

- When direct supervision of personnel by the head of operations is not feasible due to the number or location of personnel, the applicant may appoint additional managers or supervisors to provide direct supervision on behalf of the head of operations
- The number and nature of management and supervisory positions should be appropriate to the number of the applicant's personnel. Considerations relevant to span of control for each management position are discussed in section C1.2.3 of this handbook
- The applicant may choose to appoint senior instructors to provide supervision and mentoring of junior instructors. Such appointments should be described in the organisational structure
- The number of direct reports for each supervisory position may depend on whether direct or indirect supervision of instructors is required. The scope of the supervisory positions should be described
- As an applicant is required to provide training and checking for its personnel, a separate section may be established to fulfil training and checking requirements
- An applicant may also appoint a manager for internal training and checking to oversight the conduct and management of training and checking.

e) Number of course participants

- The applicant should demonstrate that a suitable number of instructors will be engaged, as necessary to ensure the safe conduct of the proposed training
- The number of instructors should take into account the maximum number of course participants over a realistically foreseeable period of time. Considerations relevant to the number of qualified and experienced personnel are discussed in section C1.8.1 of this handbook.

C1.2.3 Chain of command

- The organisational structure should reflect the organisation's chain of command, and reporting structure of the organisation. The chain of command must be appropriate to ensure that training can be conducted safely
- The applicant's chief executive officer should be positioned at the pinnacle of the organisational hierarchy, demonstrating the overall responsibility and accountability of the position
- The applicant should demonstrate that clearly defined reporting and communication lines exist between key personnel, management, supervisors and other personnel
- Flight instructors should report directly, or indirectly, through sub-ordinate supervisors to the head of operations
- An organisational structure that incorporates departments and branches should show that the reporting lines for each branch manager lead to the manager of the associated department, and reporting lines for instructors lead to the associated branch manager
- To ensure that each managerial position has a suitable span of control, the applicant's organisational structure should demonstrate that the number of managerial positions is appropriate to the size and scope of the proposed operations. Whilst it is for the applicant to determine the level of responsibility for each management position, managers or supervisors should not have more than 7-9 direct reports
- For the chain of command to be effective, the delegation of responsibility and accountability should rest with persons holding qualifications and experience that are relevant to the position. Considerations relating to personnel qualifications and experience are described in the individual key personnel sections of this handbook (sections C1.6 and C1.7) and section C1.8, for other personnel.

C1.3 Corporate Structure

References



CASR: 141.060(2)(e), 141.260(1)(d)

Introduction

If an applicant is a corporation, the operations manual must include a description of the corporate structure. Information about the corporate structure will assist in determining the suitability of a corporate applicant to conduct the proposed training.

A description of the corporate structure should also identify those parts of the corporation not related to the Part 141 organisation. For example, the corporation may include other businesses such as a maintenance organisation, aircraft sales or businesses not related to aviation.

Things for Consideration

The following information may be of value in determining if the applicant has provided an adequate description of their corporate structure within the operations manual.

- The description should identify all components of the corporation including those not related to aviation

- Relationships with entities holding CASA authorisations should be disclosed. For example, an authorisation under Part 145 of CASR to provide aircraft maintenance
- The degree of detail should be sufficient to determine all functions of the corporation and inter-relationships
- The reporting structure of the corporation should be described
- Ownership interests and company office holders should be disclosed
- The description should indicate whether the corporation is a charity, trust, government entity or a publicly listed company
- A diagram of the corporate structure may support the description to provide a visual representation and understanding of the corporate structure.

C1.4 Safety Policy

References



CASR: 141.060(1)(ma)

Introduction

An applicant's operations manual must include a safety policy. The policy should reflect the applicant's commitment to maintain policies and practices conducive to safe operations.

Things for Consideration

The following information may be of value in determining if the applicant has described a suitable safety policy.

- The policy should highlight an appropriate attitude to safety and set a clear strategic direction and culture for the applicant to follow in order to conduct training safely.
- The applicant's safety policy should:
 - highlight the organisation structures, policies and processes in place to systematically manage safety
 - include a clear statement about the provision of the necessary resources for the implementation and maintenance of the safety policy
 - include safety reporting procedures
 - clearly articulate which behaviours are unacceptable in relation to the organisation's aviation activities
 - describe the circumstances under which disciplinary action will and will not apply
 - be endorsed by the chief executive officer of the organisation
 - be communicated, with visible endorsement, throughout the organisation
 - be periodically reviewed to ensure it remains relevant and appropriate to the organisation and the conduct of the authorised Part 141 training.

C1.5 Key Personnel

References



CASR: 141.020, 141.060, Subpart 141.D, 141.260(1)(e)

Introduction

Regulation 141.020 of CASR defines 'key personnel' as persons holding or carrying out the responsibilities of the following positions:

- chief executive officer
- head of operations.

This section of the handbook includes considerations that are common to each of the key personnel positions. Considerations specific to a key personnel position are described in the respective sections of this handbook.

Key personnel have regulatory responsibilities and are accountable for the safe and compliant operation of the Part 141 operator. CASA must be satisfied the appointees are fit and proper for appointment, have appropriate qualifications and are capable of satisfactorily discharging their duties and responsibilities.

Things for Consideration

The following information may be of value in assessing the regulatory requirements which are common to each of the applicant's key personnel.

C1.5.1 General

- Each of the key personnel positions must be filled.
- The full name of each key personnel appointee must be documented in the operations manual.
- Position titles different to the regulatory titles should be accompanied by an explanation indicating equivalent regulatory titles.

C1.5.2 Fitness and propriety

- CASA must be satisfied that each of the proposed key personnel are fit and proper persons to be appointed to the position.
- In assessing fitness and propriety, CASA may take into account the following matters mentioned in subregulation 11.055(4) of CASR:
 - the applicant's record of compliance with regulatory requirements (in Australia or elsewhere) relating to aviation safety and other transport safety
 - the applicant's demonstrated attitude towards compliance with regulatory requirements (in Australia or elsewhere) relating to aviation safety and other transport safety
 - the applicant's experience (if any) in aviation
 - the applicant's knowledge of the regulatory requirements applicable to civil aviation in Australia
 - the applicant's history (if any) of serious behavioural problems

- any conviction (other than a spent conviction, within the meaning of Part VIIC of the Crimes Act 1914) of the applicant (in Australia or elsewhere) for a transport safety offence
- any evidence held by CASA that the applicant has contravened:
 - o the Act or these Regulations
 - o a law of another country relating to aviation safety
 - o another law (of Australia or of another country) relating to transport safety.
- To determine a person's competence and capability to hold a position, CASA must also have regard to:
 - whether the person satisfies the relevant aviation training and competency requirements for the position
 - whether the person has the experience to perform the function and meet the responsibilities required by the position
 - whether the person has adequate time to perform the function and meet the responsibilities associated with the position.
- Specific considerations in relation to the qualifications for key personnel, and the assessment of key personnel nominees, are discussed in each of the key personnel sections of this handbook (sections C1.6 and C1.7).

C1.5.3 Temporary absence

- An applicant must have procedures, described in the operations manual, to manage the absence of a key person, or the inability of a key person to carry out their responsibilities.
- The procedures should address both planned and unforeseen absences.
- The operations manual may include the full name of each person nominated as the standby key person who will be authorised to act on behalf of each substantive key person when absent.
- More than one person may be nominated as a standby for each key personnel position.
- Under regulation 141.110, an applicant must have a procedure described in the operations manual, for notifying CASA of a key person's inability to carry out their responsibilities for a period of greater than 30 days. The applicant must demonstrate that notification will be provided to CASA:
 - within 24 hours of the time that the applicant becomes aware of the absence, if there is not another person authorised to carry out the responsibilities for all or part of the period of absence. That is, when a standby key person whose name is included in the operations manual, is not available to assume responsibility.
 - within 3 days of the time that the applicant becomes aware of the absence, if there is another person authorised to carry out the responsibilities for all or part of the period of absence. That is, a person nominated as a standby key person, in the applicant's operations manual.
- The applicant's procedures should nominate a person or position responsible for notifying CASA of a key person's inability to carry out their responsibilities.

- The applicant's procedures should include a process for retaining an auditable record of each occasion a standby key person holds responsibility and accountability for the substantive position holder.
- Standby key personnel should have equivalent or similar qualifications and experience required for the key personnel position.
- Each standby key person must have received familiarisation training for the key person's responsibilities and accountabilities, prior to carrying out the responsibilities of the position. Considerations in relation to familiarisation training are described in section C1.5.4 of this handbook.
- In the interests of safety, and to be satisfied that a standby key person is suitable to carry out the responsibilities of the key position on a temporary basis, CASA may issue a direction for the person to undertake an examination, or be interviewed by CASA, or complete a stated training course. The direction must be issued in writing. Considerations for assessment of key personnel are described in sections C1.6 and C1.7 of this handbook. These considerations may also be applicable to the assessment of nominees for standby key personnel.

C1.5.4 Familiarisation or induction training

- An applicant must have a means for ensuring familiarisation training is provided to all key personnel, prior to carrying out their responsibilities.
- Standby key personnel must also receive familiarisation training prior to carrying out any responsibilities of the position.
- A description of the conduct, management and instructional objectives of the familiarisation training should be documented in the applicant's operations manual.
- The familiarisation training must include all matters necessary to familiarise the person with the responsibilities and accountabilities of the position. In addition to the responsibilities and accountabilities, the training should include the following instructional objectives:
 - the scope of the applicant's authorisation
 - the company structure, governance and management policies
 - the applicant's processes and procedures to support the duties associated with the responsibilities
 - the reporting requirements for key personnel and other management, and the duties and responsibilities of all personnel
 - the legislative framework governing civil aviation
 - the applicant's systems
 - the safety policy and culture
 - key risks and risk management strategies
 - familiarisation with the operations manual, and the processes and procedures described therein
 - relevant internal procedures and approval processes
- The applicant's process for conducting familiarisation training should include details of who will deliver the training for each key person. For example, the chief executive officer may provide the training for the head of operations.

- The procedures should require auditable record keeping of the satisfactory completion of familiarisation training by each

C1.6 Chief Executive Officer

References



CASR: 141.060, 141.120, 141.125, 141.155, 141.260(1)(e)&(f)

Introduction

The chief executive officer is responsible for overseeing the strategic direction and policies of the organisation, as set by the company directors (if applicable).

If the Part 141 operator is an individual, the chief executive officer (who must be the Part 141 certificate holder) has overall responsibility and accountability for the safety of the operation and the standards of training.

CASA must be satisfied that the person appointed as chief executive officer is capable of discharging their responsibilities and ensuring compliance with the requirements of the operator's operations manual and civil aviation legislation.

Part 141 does not specify qualifications and experience for chief executive officers. However, under regulation 141.155, CASA may direct any key personnel to have nominated qualifications and experience.

An applicant may also prescribe additional qualifications, experience and responsibilities for the position.

Things for Consideration

The following information may be of value in determining if the person nominated as chief executive officer is suitable to meet the requirements of Part 141.

C1.6.1 Applicant who is an individual

- If the applicant is an individual, the individual must provide written evidence that they will be the chief executive officer. Such evidence may be a declaration, made within the Part 141 application form, which verifies the applicant is, or proposes to be, the chief executive officer.
- An applicant who is an individual (and chief executive officer) must be a fit and proper person under regulation 141.060(1)(i)(i) to be appointed as chief executive officer. Considerations relevant to assessing fitness and propriety are described in section C1.5.2 of this handbook.

C1.6.2 Additional qualifications and experience

- An applicant may specify qualifications and experience for the chief executive officer position. These must be documented in the applicant's operations manual.
- CASA may, under regulation 141.155 of CASR, issue a direction for a chief executive officer to hold stated qualifications and experience.
- In determining if qualifications and experience are required, CASA must have regard to, but is not limited in considering, the matters mentioned in subregulation 141.155(4)

- which include the nature and complexity of the activities, and the leadership, management and standards-setting skills required by the chief executive officer for the activities.

- Any such direction from CASA for additional qualifications and experience must be made in writing to the applicant.
- The applicant should provide evidence that the chief executive officer holds the qualifications and experience.

C1.6.3 Responsibilities

- While the chief executive officer may assign duties to other personnel, the chief executive officer retains responsibility and accountability for the matters specified in regulation 141.120 of CASR, and any additional responsibilities required by the applicant.
- An applicant should provide a well prepared organisation with the finance, resources and documented processes necessary to support the chief executive officer in discharging their responsibilities.
- The applicant's processes should be comprised of a series of procedures or actions that contribute to the desired outcome. Each documented procedure should address:
 - what must be done
 - who should do it
 - when it must be done
 - where it must be done
 - how it must be done
 - which documentation must be used (e.g. manuals, instructions, forms)
 - how the procedure is to be monitored and, if required, improved
- All processes and procedures should be documented in the applicant's operations manual to enable the chief executive officer (either appointed permanently or temporarily) to effectively manage the responsibilities for which the position is accountable.

a) **Sufficient suitability experienced, qualified and competent personnel**

- To ensure the applicant has sufficient experienced, qualified and competent personnel, a means must be provided for the chief executive officer to carry out the functions required to fulfil this responsibility. These may include, but are not limited to:
 - minimum qualification and experience levels are set above the regulatory requirements
 - management reviews of staffing levels and qualifications are regularly conducted
 - recruitment action is undertaken in a planned manner to maintain an appropriate ratio of instructors to course participants
 - recruitment records and evidence of qualifications and experience are retained
 - all personnel are suitably trained and authorised to perform their assigned tasks
 - proficiency checks are conducted and, when necessary, continuation training is provided to maintain competency levels.

- While the chief executive officer holds the ultimate responsibility for ensuring the applicant has sufficient suitable personnel, the head of operations may be more qualified to recruit instructors.

b) Suitable management structure

- To ensure the applicant has a suitable management structure, a means must be provided for the chief executive officer to carry out the functions required to fulfil this responsibility. These may include, but are not limited to:
 - periodic monitoring, review and modification of the management structure as necessary, to ensure it remains appropriate and relevant to the scope and nature of the training
 - established position descriptions for each management position that clearly articulate the duties, responsibilities and accountabilities of the position.

c) Adequate financing and resourcing

- To ensure that adequate financing and resources are available for the safe conduct of the training, the applicant must ensure the chief executive officer has the authority to approve or obtain funding. Where the finances of the organisation are controlled by a board of directors, CASA must be satisfied that the board has provided the chief executive officer with this authority.
- The chief executive officer's authority to approve or obtain funding must be sufficient to enable the chief executive officer to carry out the functions necessary to fulfil the responsibility. This includes, but is not limited to:
 - planning for financing and resources necessary for the safe conduct of the training
 - where the finances of the organisation are controlled by a board of directors, the board should provide the chief executive officer with sufficient authority to obtain funding for:
 - o ensuring activities are carried out in accordance with the operations manual
 - o maintaining and upgrading personnel qualifications as required, including but not limited to, making the necessary resources available for conducting standardisation and proficiency flights, flight tests and proficiency checks, staff mentoring and development
 - o maintenance of aircraft and FSTDs in accordance with legislative requirements
 - o facilities appropriate to the proposed activities and the number of course participants.

d) Set and maintain standards for training

- The chief executive officer holds responsibility and accountability for the overall standard of the training.
- To ensure the applicant sets and maintains standards for the training in accordance with the operations manual, a means must be provided for the chief executive officer to carry out the functions required to fulfil this responsibility. These may include, but are not limited to:
 - reviewing syllabuses to ensure continued compliance with the Part 61 MOS

- regular monitoring of training against the requirements of the operations manual, to ensure the training is carried out in accordance with prescribed procedures and practices
- regular reporting and communication between the chief executive officer, the head of operations and the instructors, to enable the chief executive officer to receive feedback on course participant progress and standards of instruction
- improving training standards when required (e.g. reviewing and amending course content, remedial training for instructors).

e) **Compliance with civil aviation legislation**

- To ensure the applicant complies with civil aviation legislation, a means must be provided for the chief executive officer to carry out the functions required to fulfil this responsibility. These may include, but are not limited to:
 - ensuring the head of operations provides regular reports on compliance issues
 - implementation of remedial actions, to ensure findings of non-compliance identified through either internal audit, CASA surveillance or third party audit, are adequately addressed.

f) **Ensure understanding of safety policy**

- To ensure all personnel understand the applicant's safety policy, a means must be provided for the chief executive officer to carry out the functions required to fulfil this responsibility. These may include, but are not limited to:
 - familiarisation with the safety policy is included as an objective of induction training for all personnel
 - knowledge of the safety policy is checked as part of proficiency checking of instructors
 - instructor standardisation meetings are used to compare the performance of the organisation against the safety policy
 - instructor standardisation meetings include a session for analysing the findings of aviation accident reports in comparison with the operator's safety policy.

g) **Identifying and addressing deficiencies in training**

- To ensure the applicant has processes for identifying and addressing deficiencies in training, a means must be provided for the chief executive officer to carry out the functions required to fulfil this responsibility. These may include, but are not limited to:
 - a program of regular internal audit of training to determine:
 - o compliance with syllabuses
 - o compliance with the applicant's procedures and instructions for making and keeping flight training records
 - adequate procedures for reviewing:
 - o findings of the internal audit of training
 - o summative training assessments
 - o training reports prepared by the head of operations.

h) **Implementation and management of quality system**

- To ensure the applicant implements and manages a quality system, a means must be provided for the chief executive officer to carry out the functions required to fulfil this responsibility. These may include, but are not limited to:
 - a quality system must be documented in the applicant’s operations manual
 - the operations manual includes instructions to ensure the documentation and operation of the quality system is reviewed periodically by the chief executive officer
 - the chief executive officer has responsibility for ensuring a regular program of internal audit of the quality system is implemented and maintained.
- i) Arrangement for the supply of turbine-engined aircraft**
- To ensure the applicant advises CASA of the arrangements and any safety implications relating to the supply of each turbine-engined aircraft, a means must be provided for the chief executive officer to carry out the functions required to fulfil these responsibilities. These may include, but are not limited to:
 - a form of notification to CASA setting out relevant details of the arrangement, together with a copy of any lease documentation
 - monitoring activities conducted in turbine aircraft, through regular reports from the head of operations about the operation of the aircraft and any potential or known threat to safety
 - notifying CASA in writing as soon as becoming aware of any known or potential threats to safety resulting from the arrangement for the supply of the aircraft
 - notifying CASA in writing as soon as becoming aware that a provision of civil aviation legislation, or the law of the country in which the aircraft is registered, will be contravened.
- j) Compliance with laws of each foreign country where training is conducted**
- To ensure the applicant complies with any foreign aviation safety laws, a means must be provided for the chief executive officer to carry out the functions required to fulfil this responsibility. These may include, but are not limited to:
 - appointment of a project officer or responsible person to manage the international operation and report to the chief executive officer on matters of safety and compliance
 - ensuring instructors are trained and briefed about host country rules, regulations and procedures, and that relevant legislation is made available prior to commencement of operations within the country
 - having standard operating procedures for compliance with the civil aviation requirements of the host country and any conditions specified on an international authorisation
 - if foreign registered aircraft are used to conduct Part 141 activities, knowledge of the licensing requirements applicable to the State of aircraft registration.
- k) Maintenance of foreign registered aircraft in accordance with laws of the foreign country**
- To ensure the applicant maintains each foreign registered aircraft in accordance with the foreign country’s laws, a means must be provided for the chief executive officer to

carry out the functions required to fulfil this responsibility. These may include, but are not limited to:

- establishment of a system for managing the maintenance and continuing airworthiness applicable to the laws of the foreign country in which the aircraft is registered. The system may include appointing a maintenance controller to control the maintenance of the aircraft, and should include:
 - o how scheduled and unscheduled maintenance will be controlled
 - o where the maintenance will be carried out
 - o how compliance with the airworthiness requirements of the foreign country will be complied with, including any airworthiness directives and service bulletins.
- Considerations in relation to the restrictions under Part 141 on the use of foreign registered aircraft within Australian territory are described in section C2.3.3 of this handbook.

l) Monitor and manage operations manual for continuous improvement

- To ensure the operations manual is monitored and managed for continuous improvement, a means must be provided for the chief executive officer to carry out the functions required to fulfil this responsibility. These may include, but are not limited to:
 - a schedule for reviewing the operations manual to ensure compliance with Part 141 requirements is established
 - a means to ensure personnel are encouraged to make suggestions for improvements to the operations manual is established
 - the applicant has a procedure for correcting deficiencies within the operations manual in accordance with the applicant's change management procedures
 - the applicant has a procedure to ensure amendments to the operations manual will not contradict other parts of the manual or legislative requirements

m) Ensure key personnel satisfactorily carry out responsibilities

- To ensure that key personnel carry out their responsibilities to a satisfactory standard, a means must be provided for the chief executive officer to carry out the functions required to fulfil this responsibility. These may include, but are not limited to:
 - ensuring key personnel undertake familiarisation training prior to carrying out their duties
 - ensuring the responsibilities and accountabilities of each key personnel position are documented in the operations manual
 - establishment of regular reporting and communication by key personnel
 - conduct of regular key personnel performance reviews
 - remedial training when required
- Considerations relevant to familiarisation training for key personnel are described in section C1.5.4 of this handbook.

C1.6.4 Additional responsibilities and accountabilities

- An operations manual must include each matter for which the chief executive officer is accountable, other than those required under regulation 141.120 of CASR.

- Additional responsibilities and duties required by the applicant must not conflict with or distract from the responsibilities required under regulation 141.120 of CASR. For example, if the chief executive officer is also an instructor and is expected to spend a significant proportion of time away from the key personnel role, the additional duties must not interfere with the chief executive officer's ability to meet the regulatory responsibilities and accountabilities of the chief executive officer position.
- If the chief executive officer has business interests beyond the Part 141 operation, an assessment should be made to determine if the additional responsibilities would adversely affect the person's ability to discharge the responsibilities under Part 141.
- If an applicant nominates a chief executive officer who resides overseas or whose location of residence precludes attendance at the primary operating base of the applicant, the applicant must describe how the chief executive officer will manage the responsibilities and accountabilities of the position. These details should be described in the operations manual. Consideration must be given to the organisation's reporting structure, the experience and qualifications of personnel assigned to support the chief executive officer, and the duties of these personnel.
- The applicant should provide a means to ensure that the chief executive officer is contactable, accessible and available to meet with CASA when necessary.

C1.6.5 Direction to undertake an examination, interview or training

- In the interests of safety, and to be satisfied that the nominee for chief executive officer is suitable for the position, CASA may issue a direction in writing to the nominee to:
 - undertake an examination
 - be interviewed by CASA
 - complete a stated training course
- An interview and examination may be appropriate to determine the suitability of a nominee for chief executive officer. This may apply to nominees without experience as a chief executive officer or without executive experience in aviation.
- A nominee who has previously undertaken an examination or interview and deemed a suitable chief executive officer in a similar operation, may not require a further CASA examination or interview.
- During an interview and/or examination, a nominee must demonstrate adequate knowledge and understanding of the accountabilities and responsibilities of the position. An interview may also include questions to determine if the nominee:
 - demonstrates an understanding of aviation legislation, having regard to the Part 141 training to be covered by the authorisation
 - has an understanding of the roles and responsibilities of all key personnel positions
 - has the capacity to maintain effective oversight of key personnel and management positions
 - is conversant with corporate policy for internal and external communication and consultation
 - understands their responsibilities for communication of operational and safety related matters to CASA

- demonstrates an understanding of how standards are to be monitored and maintained
- displays an ability to exercise due care and diligence, taking into account:
 - o how the chief executive officer will apply risk management policies to mitigate operational and compliance risks
 - o how the chief executive officer will ensure ongoing operational compliance
 - o how the chief executive officer will ensure communication systems adequately provide information to and from relevant parties.

C1.7 Head of Operations

References



CASR: 141.125, 141.130, 141.155

Introduction

The head of operations is responsible for the safe management of the applicant's authorised Part 141 training and must meet the qualification requirements of regulation 141.125 of CASR.

CASA will take into account past experience including management, operational, training and regulator experience.

In the interest of safety, CASA may direct the head of operations to hold stated qualifications and experience.

The head of operations is obliged to discharge the responsibilities required under regulation 141.130 of CASR. An applicant may prescribe additional responsibilities and accountabilities for the position.

Section C1.7.5 describes the practical assessment requirements for a person nominating as a head of operations.

Things for Consideration

The following information may be of value in determining if the person nominated as head of operations is suitable to meet the requirements of Part 141.

C1.7.1 Qualifications

a) Holder of an instructor Rating or relevant training endorsements

- A head of operations must hold an instructor rating **or** be approved under regulation 141.035 of CASR to be head of operations.
- If holding an instructor rating, the rating must be endorsed with a grade one endorsement, or endorsements relevant to all training proposed by the applicant.
- The head of operations for a Part 141 operator need only hold a commercial pilot licence.
- The operations manual should describe the process for recruitment and appointment to the position.

b) Approval to be head of operations

- If the proposed head of operations is unable to satisfy the qualification requirements under subregulation 141.125(1) of CASR, the applicant may apply to CASA for approval under regulation 141.035 of CASR.
- An application for approval should include alternative qualifications or competencies to achieve an equivalent level of capability to the requirements under subregulation 141.125(1) of CASR. The application may also include a detailed safety case describing mitigation strategies.
- The following may be considered in assessing an application for approval:
 - the nature and complexity of the Part 141 flight training proposed by the applicant. In particular:
 - o the number and kinds of aircraft and FSTDs
 - o the number and location of training bases
 - o the number of personnel
 - o the number of course participants
 - unless the applicant is proposing to conduct a very small non-complex operation, a head of operations who does not holding an instructor rating should have some management or supervisory experience
 - if the nominee for head of operations in a very small non-complex operation lacks supervisory experience, adequate supervision may be achieved through a mentoring arrangement with a chief executive officer who has appropriate supervisory experience
 - a head of operations lacking relevant operational experience may be supported by experienced personnel capable of providing operational advice. In those circumstances, an applicant may nominate a senior instructor to provide specialist advice and cover specific training. In this case:
 - o the senior instructor should be subject to a similar assessment process as a head of operations, and be expected to meet the relevant standard required for the head of operations
 - o the senior instructor's duties, responsibilities and reporting lines should be clearly documented in the applicant's operations manual
 - o the senior instructor should report directly to the head of operations
 - o an approval under regulation 141.035 of CASR to be head of operations may be subject to a condition stating that specified kinds of training must be supervised by the named senior instructor
 - a nominee without flight instructional experience may offer other appropriate qualifications and experience in other areas of education
 - the supporting infrastructure, including:
 - o documented reporting requirements
 - o the experience and qualifications of personnel available to support the head of operations
 - o the applicant's processes and procedures described within the operations manual
 - the following documentation:

- o the nominee's pilot log book
 - the nominee's flight crew licence and medical certificate
- o the nominee's curriculum vitae and employment history
- o any CASA records relating to the nominee, such as:
 - compliance history
 - enforcement history obtained through the Investigations Branch of the Legal Affairs Regulatory Policy and International Strategy Branch (LARPIS)

C1.7.2 Additional qualifications and experience

- An applicant may elect to set mandatory and/or desirable qualifications and experience for the head of operations position.
- Additional qualifications and experience for the head of operations must be described in the applicant's operations manual.
- CASA may issue a direction for the head of operations to hold qualifications and experience in addition to those required under regulation 141.125 of CASR. Such a direction may be made to ensure the nominee has the experience, qualifications and knowledge appropriate to the size, scale and complexity of the proposed operation. For example, if the applicant proposes to introduce a new aircraft type, CASA may require the head of operations to be qualified on the aircraft type.
- In determining if additional qualifications and experience are required, CASA must consider, but is not limited in considering, the matters mentioned in regulation 141.105 of CASR, including:
 - the nature and complexity of the training
 - the number and kinds of aircraft
 - the number and location of bases
 - the number of personnel and proposed rate of training
- Any direction for additional qualifications and experience must be made in writing to the applicant.
- The applicant should provide evidence that the head of operations has the additional qualifications and experience required by the applicant or by CASA.

C1.7.3 Responsibilities

- The head of operations is responsible for safely managing the Part 141 flight training.
- If training is conducted at more than one location, the head of operations may delegate supervisory responsibilities and duties to a senior base pilot.
- Although responsibilities may be delegated, the head of operations retains responsibility and accountability for the matters specified in regulation 141.130 of CASR, and any additional responsibilities required by the applicant.
- To monitor and support the performance of personnel, a head of operations may conduct a program of scheduled and non-scheduled visits for supervision and internal audit.
- To support the head of operations (either permanently or temporarily appointed) in effectively managing the responsibilities of the position, an applicant must describe, in the operations manual, all processes and procedures for the conduct and management

of training. Considerations relevant to the conduct and management of training are described in Part C3 of this handbook.

- For clarity and repeatability, each of the processes should be comprised of a series of procedures or actions contributing to the desired outcome, and should address:
 - what must be done
 - who should do it
 - when it must be done
 - where it must be done
 - how it must be done
 - which documentation must be used (e.g. manuals, instructions, forms etc)
 - how the procedure is to be monitored and improved if required.

a) **Safely manage training**

- The primary responsibility of the head of operations is to safely manage the authorised Part 141 training. This may be accomplished to a large extent, by a head of operations who satisfactorily meets the regulated responsibilities under subregulation 141.130(2) of CASR.
- An operations manual should describe communication and reporting requirements for supervisory personnel at remote bases.
- A head of operations should have a detailed program of review and audit of all aspects of Part 141 training.

b) **Ensure understanding of safety policy**

- To ensure all personnel understand the applicant's safety policy, a means must be provided for the head of operations to carry out the functions required to fulfil this responsibility. These may include, but are not limited to:
 - familiarisation with the safety policy is included as an objective of induction training for all personnel
 - knowledge of the safety policy is checked as part of proficiency checking of instructors
 - instructor standardisation meetings are used to compare the performance of the organisation against the safety policy
 - instructor standardisation meetings include a session for analysing and comparing the findings of aviation accident reports against the operator's safety policy.

c) **Monitor, maintain and report on compliance**

- To ensure the head of operations monitors, maintains and reports to the chief executive officer on the applicant's compliance with legislation and the operations manual, a means must be provided for the head of operations to carry out the functions required to fulfil this responsibility. These may include, but are not limited to:
 - regular internal audit of regulatory compliance
 - review of regulatory obligations
 - observation of instructional briefings
 - instructional flights to review progress of course participants

- standardisation program
- hazard reporting procedures
- schemes for suggesting improvements
- regular feedback and reports from managers and supervisors
- remote base inspections
- feedback from examiners and CASA regarding flight test outcomes
- requirements for reporting to the chief executive officer.

d) Set and maintain standards in accordance with the operations manual

- To ensure standards are set and maintained in accordance with the operations manual, a means must be provided for the head of operations to carry out the functions required to fulfil this responsibility. These may include, but are not limited to:
 - periodic review of the competency standards described in company training syllabuses
 - comprehensive induction training for instructors
 - mentoring and supervision of instructors to assist in achieving standardisation of instruction in accordance with the operations manual
 - instructor standardisation program
 - monitoring student standards through surveillance of the activities, including:
 - o regular audits of training records
 - o conducting progress checks
 - o receipt of flight test feedback from examiners and CASA.
 - remedial training for instructors following an unsatisfactory standardisation and proficiency check
 - the timely provision of operational and safety sensitive material to personnel.

e) Training conducted in accordance with competency principles

- To ensure training is systematically conducted in accordance with the principles of competency based training, a means must be provided for the head of operations to carry out the functions required to fulfil this responsibility. These may include, but are not limited to:
 - review of syllabuses and lesson plans for conformance with competency principles
 - a systematic means for scheduling courses
 - monitoring the scheduling of training and participant progress
 - policies and procedures for formative and summative assessment
 - timely intervention for substandard performance
 - training and guidance to instructors in the use of competency based syllabuses and lesson plans
 - ensuring personnel are competent in the use of software programs for course administration
 - recording and analysis of data relating to:
 - o repeated lessons

- o time taken to achieve first solo flights
 - o actual student progress against the course schedule.
 - The head of operations must be capable of making changes for improvement of processes when required and making consequential amendments to the operations manual.
- f) Identify and address deficiencies in training outcomes**
- The head of operations is responsible for implementing and managing the applicant's processes for identifying and addressing deficiencies in training outcomes.
 - The following processes for identifying and addressing deficiencies in training outcomes should be described in the applicant's operations manual:
 - auditing the training
 - promoting the continual improvement of training
 - evaluating training outcomes from pre-flight test assessments and post-flight test feedback
 - regularly assessing the suitability of the operator's facilities and resources for training
 - recommending changes to the abovementioned changes
 - Considerations in relation to the processes for identifying and addressing deficiencies in training outcomes are described in section C3.1.17 of this handbook.
- g) Proper deployment of personnel, aircraft and FSTDs**
- To ensure proper deployment of personnel, aircraft and/or FSTDs required for training, a means must be provided for the head of operations to carry out the functions required to fulfil this responsibility. These may include, but are not limited to:
 - accurate forecasting of requirements for personnel and resources
 - adjusting numbers of personnel and resources to suit forecast requirements
 - recommendations for acquisition of new personnel and resources
 - forecasting the unavailability of resources due to scheduled maintenance
 - forecasting the unavailability of personnel due to planned leave
 - arranging replacements for unavailable resources
- h) Providing personnel with necessary information and documentation**
- The following are suggested as means for an applicant to support the head of operations in meeting their responsibility for providing personnel with the information and documentation necessary to carry out their responsibilities – including the parts of the operations manual relevant to their assigned tasks:
 - procedures to ensure relevant parts of the operations manual are provided to all Part 141 personnel, before commencement of duties
 - procedures to ensure amendments to the operations manual are distributed to personnel without delay
 - maintaining a record of distribution of the operations manual and amendments
 - procedures to ensure the timely distribution of AIP publications required for training

- procedures to ensure up-to-date flight manuals and checklists are located in aircraft and FSTD
- access to operational information such as NOTAMs, weather reports and forecasts
- timely communication to personnel of changes to company procedures and manuals.

i) Management of training

- The head of operations is responsible for ensuring the applicant has information, procedures and instructions for:
 - developing and maintaining a training plan and syllabus for each kind of training
 - o refer to section *C3.1.1(a)* for considerations relevant to developing training plans
 - o an applicant may elect to use a standard course syllabus developed by CASA, or may elect to design their own syllabuses. Refer to section *C3.1.1(c)* for considerations relevant to developing syllabuses.
 - determining the competency of course participants
 - o refer to section *C3.1.1(b)* for considerations relevant to developing competency assessment plans.
 - managing underperformance of course participants
 - o refer to section *C3.1.1(d)* for considerations relevant to procedures when a standard is not met.
 - supervision of course participants when receiving training
 - o refer to sections *C3.1.1(e)*, *C3.1.6* and *C3.1.7* for considerations relevant to procedures for approval of solo flights
 - o refer to section *C3.1.1(f)* for considerations relevant to procedures for supervision of student pilot solo flight.
 - planning, delivering and reviewing the training
 - o refer to section *C3.1* for considerations relevant to procedures for planning, delivering and reviewing training.
 - monitoring the progress of course participants against clearly defined knowledge and flight standards
 - o refer to section *C3.1.1(b)* and *C3.1.13* for considerations relevant to procedures for monitoring the progress of course participants.
 - maintaining records of the results of training and assessments
 - o refer to section *C3.1.13* for considerations relevant to procedures for maintaining records of training.
 - ensuring the operator has facilities and resources to provide the training
 - o refer to sections *C2.3*, *C2.4* and *C2.5* for considerations relevant to ensuring the provision of facilities and resources for training.
 - maintaining the training facilities and resources
 - o an applicant should have policy and procedures for personnel to report on the condition and adequacy of facilities, and for the head of operations to review and replace deficient equipment.

- Additionally, a head of operations is responsible for ensuring the operator has information, procedures and instructions for:
 - effective monitoring of training, including:
 - o regular review of formative assessments documented in training records
 - o regular review of participant progress against the syllabus.
 - ensuring each instructor is authorised under Part 61 to conduct the training
 - o procedures to control the scheduling of dual flights subject to complying with required qualifications and recency.
 - ensuring each instructor has met the requirements in the operations manual for training in human factors principles and non-technical skills
 - o procedures to ensure instructors satisfactorily complete the training before commencing duties under Part 141.
 - ensuring each instructor has an understanding of the use of syllabuses
 - ensuring each instructor is effectively supervised
 - o refer to section C3.1.1(i) for considerations relevant to procedures for supervision instructors.
 - ensuring each instructor complies with the operations manual
 - o regular review of training records
 - o inclusion of checks of knowledge of instructions and procedures described in the operations manual, during proficiency checks.

j) Flight simulation training devices

- The head of operations is responsible for ensuring the correct operation and maintenance of FSTDs, and for ensuring FSTDs are used only in accordance with the operations manual.
- Considerations in relation to the operation and maintenance of FSTDs and the Quality System are described in section C3.4 of this handbook.
- FSTD defects must be managed to mitigate the risks of negative training.

k) Flight simulation training devices qualified in accordance with legislation

- To ensure FSTDs are qualified in accordance with relevant legislation, a means must be provided for the head of operations to carry out the functions required to fulfil this responsibility. These may include, but are not limited to:
 - assuring the initial evaluation and qualification of each device by CASA, and providing sufficient notice to CASA to ensure that, prior to the expiry of the device's approval, a fidelity check is conducted and a new certificate is issued
 - ensuring any upgrades of specification, equipment or visuals are approved by CASA
 - ensuring CASA is advised of the relocation of any device, and a fidelity check is conducted prior to the device being used for the activities
 - ensuring that any qualification standards prescribed by CASA (under a legislative instrument) are complied with, or that the device complies with the qualification standards of the national aviation authority of a recognised foreign State (if applicable).

- Considerations relevant to the qualification and requalification of FSTDs are described in section C2.4.2 of this handbook.

l) Instructor standardisation and proficiency checks

- The head of operations is responsible for ensuring each instructor holds a valid standardisation and proficiency check.
- To assist the head of operations in meeting this responsibility, the applicant should provide procedures in the operations manual for:
 - maintaining up to date records of the currency of each instructor's qualifications
 - ensuring instructors are only scheduled to conduct training for which they are authorised
 - making resources available for the timely conduct of proficiency checks
- Additional considerations relevant to standardisation and proficiency checks are described in section C3.1.18 of this handbook.

m) Fatigue risk management system

- If an applicant has a fatigue risk management system, the head of operations is responsible for managing the maintenance and continuous improvement of the system.
- An approved system should include requirements and mandatory procedures for internal audit, management review and revision of the system.
- Unless an approved system specifies otherwise, the head of operations retains responsibility for the system.

n) Dangerous goods manual

- If required to maintain a dangerous goods manual, the head of operations is responsible developing, managing and maintaining the manual.
- The following policies and procedures are suggested as means for an applicant to support the head of operations in meeting responsibilities for developing, managing and maintaining a dangerous goods manual:
 - a dangerous goods manual may be contained within an operations manual or may be a separate manual
 - the manual should be a controlled document
 - the applicant should ensure the head of operations subscribes to a mailing list for advice of amendments to regulatory legislation and CASA publications, such as CASR Part 92 – consignment and carriage of dangerous goods
 - amendments to CASR Part 92 relevant to the applicant's operations, must be reviewed, and procedures for compliance developed and described in the dangerous goods manual
 - the applicant should have a process for review by the head of operations, of procedures for compliance with CASR Part 92.

C1.7.4 Additional responsibilities

- Additional responsibilities of the head of operations, which are required by the applicant, should not conflict with or distract from the responsibilities under regulation 141.130 of CASR.

- A determination should be made as to whether any involvement in other activities unrelated to Part 141, are likely to interfere with the ability of the head of operations to discharge the responsibilities under Part 141.

C1.7.5 Direction to undertake an examination, interview or training

a) General Assessment Considerations

- Under subregulation 141.155(3) CASA may, in the interests of safety, direct a person proposed as head of operations to:
 - undertake an examination
 - be interviewed by CASA
 - complete a training course.
- The intention of this regulation is for CASA to evaluate the level of risk related to the appointment of a particular HOO in the particular circumstances, and undertake assessment and direct training where the level of risk is elevated above that acceptable to CASA.
- A direction to undertake a training course would normally follow an unsuccessful assessment by CASA prior to any further assessment by CASA.
- When determining whether to issue such a direction, CASA must consider the matters set out in subregulation 141.155(4) of CASR. A direction must be issued in writing.
- For example: A direction under subregulation 141.155(3) of CASR may be appropriate for nominees who have not previously been appointed as head of operations, or where the proposed operation is significantly different to previously held appointments as head of operations.
- 'Significantly different' may be illustrated for example, from a change in responsibilities involving single to multi-engine aircraft, piston to turbine aircraft, VFR to IFR training, small to large student numbers, simple to more complex environments etc.
- Therefore, a nominee who has been previously assessed as suitable for appointment as head of operations in a similar operation will not require CASA examination or interview for the present application.

b) Where directed in writing - Interview and examination

- If an interview is deemed necessary, the agenda should be relevant to the proposed Part 141 activities. Interview questions and the anticipated responses must be pre-planned. As a measure of validity, any proposed interview or examination questions and the associated answers, must be independently peer reviewed by another Inspector prior to use.
- An interview or examination would normally not extend beyond a 90 minute assessment for either an interview or an examination.
- The nominee may provide documentation and reference material, such as:
 - the current publication of the:
 - o Civil Aviation Act 1988
 - o Civil Aviation Regulations 1988
 - o Civil Aviation Safety Regulations 1998
 - o Civil Aviation Advisory Publications (if referenced in the operations manual)

- o Civil Aviation Orders
 - o Aeronautical Information Publications
 - o Part 61 Manual of Standards.
- the applicant's operations manual, including flight training syllabuses and training record proformas
- aircraft flight manuals.
- The examination should, where relevant, consist of scenario based questions relating to:
 - the structure of the applicant's organisation and proposed activities
 - legislative requirements pertaining to the proposed training, including CASR Part 61 and the Part 61 MOS
 - privileges and limitations of a pilot instructor rating, particularly relating to the head of operations position
 - the organisation's reporting structure, and the methods for liaison with the chief executive officer
 - responsibilities of the position under Part 141 and any additional responsibilities proposed by the applicant for the position - as detailed in the operations manual
 - how the responsibilities of the position are to be managed when associated duties are delegated to other personnel
 - change management
 - the operations manual and supporting manuals such as:
 - o the drug and alcohol management plan
 - o the dangerous goods manual (if required).
 - authorisation of solo training flights
 - training records management
 - procedures for assessing and reporting underperforming course participants
 - the fuel policy
 - direct and indirect supervision of instructors
 - supervision of student pilots and other course participants.
- To demonstrate suitability, the proposed head of operations should have:
 - a satisfactory knowledge of the processes and procedures contained in the applicant's operations manual
 - an awareness of relevant legislation and ability to apply the legislation to given situations
 - a capability of implementing, managing and auditing the applicant's systems to confirm compliance with the requirements of the operations manual. This may include knowledge of:
 - o the audit system to be used
 - o the audit methodology to be used
 - o the reporting and recording system to be used
 - o the remedial actions.

The interview process may consist of:

- an oral or written examination of regulatory knowledge
 - an oral or written examination of aeronautical knowledge
 - an instructional briefing assessment
 - a flight assessment
 - a debriefing.
 - A post-assessment debriefing may include discussion of:
 - particular responsibilities or regulatory aspects
 - the role of head of operations in the chain of regulatory responsibility
 - CASA surveillance
 - maintaining communications with CASA.
- c) Where directed in writing - Assessment of briefing skills and flight assessment**
- Where an assessment of briefing skills and / or a flight assessment take place, this assessment would normally be conducted as an Instructor Rating Proficiency Check as described by the CASA Flight Examiner Handbook.
 - The sequences selected during the Instructor Rating Proficiency Check should be the most complex training sequences available to the operator for which the head of operations is qualified to perform.

C1.8 Other Personnel

References



CASR: 141.060(1)(e), 141.260(1)(g), 141.260(1)(i)

Introduction

CASA must be satisfied that an applicant has appointed a sufficient number of suitably qualified and competent personnel to ensure the training can be conducted safely. The expected level of qualifications and experience will vary according to the scope and complexity of the training activities.

Things for Consideration

The following information may be of value in determining if the applicant has appointed a sufficient number of suitably qualified and competent personnel for the safe conduct of the training, and whether the responsibilities of personnel under Part 141 (other than key personnel) have been adequately described within the operations manual.

C1.8.1 Personnel number, qualification and experience

- When assessing if an applicant has engaged an appropriate number of instructors, consideration should be given to:
 - the proposed number of course participants
 - the number of aircraft and/or FSTDs to be used
 - the number of instructors qualified to fly the aircraft, or qualified to use the FSTDs
 - the projected aircraft/simulator hours to be flown, and the theory subjects to be delivered
 - the employment basis of instructors - full time, part time or casual.
- The ratio of instructors to course participants should be sufficient to enable effective supervision of course participants. The ratio will vary for each training activity, depending on factors such as:
 - course duration
 - planned hours to be flown each day
 - the number of aircraft and FSTDs
 - the phase of training (e.g. during early training phases, the ratio may be higher than during advanced cross country training)
 - contingencies, such as adverse weather and aircraft unserviceabilities.
- The applicant must have a sufficient number of management/supervisory positions to effectively supervise and monitor the standard of instruction. For example, if an operator employs instructors with grade 3 and grade 2 training endorsements, a sufficient number of instructors holding a grade 1 training endorsement must be available to provide direct and indirect supervision.
- Instructors must be appropriately qualified under, and meet the validity and recency requirements of Part 61 of CASR, for the training they are assigned to conduct.

- Theory instruction should be provided by instructors holding appropriate qualifications and experience for each subject to be taught.
- If the applicant has appointed instructors to management/supervisory positions, consideration should be given to limitations on scheduled flight time, to ensure an appropriate balance between flying and managerial duties.
- If operations other than those under Part 141 are to be conducted, an applicant should have policy to avoid conflict of duty across the operation.
- An applicant should have a process for regular review of the numbers of personnel required for safe and effective training.

C1.8.2 Responsibilities

a) Instructors

- The operations manual must include the name of instructors appointed by the head of operations to have responsibility for particular Part 141 flight training – such as instrument rating training or commercial licence training.
- Each of the supervisory positions to be included in the operations manual, should be accompanied by a description of the:
 - position title
 - responsibilities
 - accountabilities
 - duties.
- The operations manual should describe how the head of operations will supervise and communicate with instructors holding responsibility for particular training.

b) Other personnel

- Under subregulation 141.260(1)(i), an operations manual must include a description of the responsibilities of personnel under the regulations, other than key personnel.
- For example, subregulation 141.160(3) requires an operator to keep up to date records of the distribution of operational documents to personnel. A description of responsibilities for complying with this requirement must be included in the operations manual. A job description and duty statement should also be included.

C2 Activities and Facilities

This part of the handbook relates to assessing:

- the applicant's description of the proposed training
- existing authorisations
- requirements related to the facilities to be used in the conduct of the training.

C2.1 Authorised Part 141 Flight Training

References



CASR: 141.015, 141.260(1)(j)

Introduction

An applicant's operations manual must include a description of the Part 141 flight training proposed to be conducted.

Things for Consideration

The following information may be of value in determining if the applicant has adequately described, within their operations manual, the Part 141 flight training the applicant proposes to conduct.

- The operations manual must state the licences, operational ratings and endorsements, flight reviews and differences training the applicant intends to provide training for.
- Training for the grant of design feature or flight activity endorsements under Part 61 does not require authorisation under Part 141, and an operator may conduct this training if the instructor providing the training is appropriately qualified.

C2.2 Other Operations

References



CASR: 141.260(1)(q)

Introduction

The operations manual must provide a description of any operations, in addition to the authorised Part 141 training conducted or proposed to be conducted, by the applicant.

CASA must consider these 'other operations' to ensure personnel who hold shared responsibilities across the operations of the organisation, are capable of meeting their responsibilities under Part 141.

Things for Consideration

The following information may be of value in determining if the applicant has adequately described, within their operations manual, operations under other parts of CASR.

- Examples of other operations to be detailed in the operations manual, may include:

- Aerial work (future CASR 138 aerial work)
- Air transport operations (future CASR 133/135 air transport small aircraft)

C2.3 Aircraft

References



CASR: 141.260(1)(l), 141.315

Introduction

An operations manual must include information about aircraft flown for Part 141 training. The information will assist CASA in determining if the applicant can safely conduct the proposed training.

Things for Consideration

The following information may be of value in determining if the applicant has adequately identified and described the aircraft used for Part 141 training.

C2.3.1 Aircraft details

- The applicant's operations manual must describe the kind and registration mark of each Australian registered aircraft, and the kind of aircraft, nationality and registration mark for each foreign registered aircraft, used for Part 141 training.

C2.3.2 Turbine-engine aircraft

- A description of any leasing or other arrangements for the supply of any turbine-engined aircraft must be included in an applicant's operations manual, as well as a description of the way any turbine-engined aircraft are managed and maintained, and the way continuing airworthiness is assured.

a) Leasing or other supply arrangements

- Descriptions of the arrangements for the supply of turbine-engined aircraft should include the details of any leasing agreement, financing arrangement or whether the aircraft is supplied by a third party.
- Aircraft leasing may be arranged in various ways - some with potential safety implications, particularly if an aircraft registered in a foreign country is to be operated in Australia by an Australian operator.
- A review of the terms of an aircraft lease should identify any conditions, limitations or penalties that could be detrimental to the safe operation of a particular aircraft. A copy of any applicable aircraft lease may be requested from the applicant, if considered necessary. The arrangements for the operational control of the leased aircraft, aircraft maintenance and continuing airworthiness, should be assessed.
- Refer to [Volume 2, Chapter 14.0 of the AOC Handbook](#) for considerations applicable to reviewing an aircraft lease.

b) Management, maintenance & continuing airworthiness

- The applicant's operations manual must include a description of how the maintenance and continuing airworthiness of any turbine-engined aircraft will be managed.
- The description should indicate whether maintenance of the aircraft is required under an approved system of maintenance (class A aircraft) or a maintenance schedule (class B aircraft).
- If a maintenance schedule (class B aircraft) is applicable, the operations manual should also indicate whether the schedule is the manufacturer's schedule or the CASA maintenance schedule for the aircraft.
- If the aircraft is also operated under an AOC for air transport operations, the operations manual should state that the aircraft is subject to the continuing airworthiness requirements of CASR Part 42.

C2.3.3 Foreign registered aircraft

- The applicant must describe a procedure for ensuring that any foreign registered aircraft is not operated in Australian territory in excess of 90 days within a 12 month period. The description should indicate who is responsible for managing compliance, and how the operation of the aircraft will be monitored.
- A 90 day period under subregulation 141.315(1) refers to 90 days in total, rather than 90 consecutive days.
- If an applicant holds an approval under regulation 141.035 to operate a foreign registered aircraft in excess of 90 days, the applicant's operations manual should include a procedure to ensure compliance with the approval.
- The applicant must ensure personnel operating foreign registered aircraft are authorised to do so.

C2.4 Flight Simulation Training Devices

References



CASR: 141.260(1)(n), 141.205

Introduction

If conducting Part 141 training in FSTDs, an applicant's operations manual must include information about the FSTDs used for training. The information must indicate the purpose (as described in Part 61 of CASR) for which each device will be used.

An applicant must also have a quality system to ensure the correct operation and maintenance of each device. Considerations in relation to assessing the quality system are described in section C3.4 of this handbook.

Each of the applicant's FSTDs must be qualified or approved, as prescribed by the legislation relevant to the device. The operations manual must describe how the applicant will ensure the continued approval or qualification under the applicable legislation.

The information will assist CASA in determining if the applicant is able to safely conduct the proposed training.

Things for Consideration

The following information may be of value in determining if the applicant has provided the required information about flight simulation training devices to be used for training, including their purpose under Part 61, and the way the continued approval or qualification of each device will be assured.

C2.4.1 Description of Devices

- The description of devices should include:
 - the manufacturer's name and the model of each device
 - the aircraft type the device has been built to simulate
 - the category of the device
 - the credits for which the device is approved
 - an overview of each device's systems and capabilities.
- The description should include certificates such as:
 - the Flight Simulator Qualification Certificate
 - the Flight Training Device Qualification Certificate
 - the Synthetic Trainer Certificate.
- Certificates should be attached as annexes to the operations manual.
- The description must include the purpose under CASR Part 61, for which each device will be used. For example, if the applicant intends using the device to accrue aeronautical experience for the issue of private and commercial pilot licences, this must be described in the operations manual and applicable number of hours and lesson content should be included in the relevant training plans and syllabuses.
- The applicant must ensure that instructors are competent to conduct assigned activities in a FSTD, prior to the activity is conducted. Considerations for assessing instructors to conduct activities in FSTDs are included in section C3.1.12 of this handbook.

C2.4.2 Qualification or approval

- Initial evaluation and qualification of new CASR Part 60 devices is conducted by the Airworthiness and Engineering Branch and the Flight Standards Branch (FSB). FSB has responsibility for the oversight of domestic and internationally located flight simulators and flight training devices approved under CASR Part 60.
- The initial evaluation, qualification and oversight of synthetic trainers, approved under CAO 45.0, is managed as follows:
 - FSB, in collaboration with the appropriate regional office, has responsibility for conducting the initial evaluation and qualification of any new synthetic trainer wishing to meet Category C approval
 - CASA's regional offices have responsibility for the oversight of domestically located synthetic trainers. FSB will provide technical advice to the regional offices as required. For information regarding the inspection of synthetic trainers, refer to Operational Standards and Requirements—Approved Synthetic Trainers (FSD2), version 1.5: November 2010

- FSB has responsibility for internationally located synthetic trainers approved under CAO 45.0.
- The operations manual must include a description of the applicant's procedures to ensure the initial and ongoing qualification/approval of each FSTD. The description should include, or make reference to a supplementary manual or documentation that provides:
 - a record of the initial qualification/approval of the FSTD
 - a procedure to manage recurrent fidelity checks, including the person responsible for ensuring the checks are completed within the required timeframe
 - a procedure to manage a known or suspected deficiency in the realism or accuracy of the device, including the tests and calibration procedures required to establish the nature of the deficiency (the applicant may include references to other documentation such as the quality system manual for qualified flight simulators and qualified flight training devices, or the Synthetic Trainer Operations Manual (STOM) for synthetic trainers approved under CAO 45.0 (synthetic trainers)
 - a method for recording and reporting deficiencies
 - a means for determining if a deficiency will suspend the qualification or approval of the device (e.g. a minimum equipment list that includes the deficiency)
 - the procedure for the requalification or re-approval of the device following relocation.
- The applicant's procedures and instructions must set out the requirements for the operation of each FSTD. These procedures may be contained within a supplementary manual to which the operations manual refers, for example the quality system manual or STOM. These procedures and instructions must be complied with in order to ensure the continuing qualification or approval of each device.
- Further information in relation to the qualification or approval of FSTDs may be obtained from the following documents¹:
 - CASR Part 60—Synthetic Training Devices
 - Part 60 Manual of Standards—Synthetic Training Devices, which contains flight simulator criteria and standards for validation, functions and subjective tests
 - AC 60-1(0)—Flight Simulator Evaluations, which provides guidance on the content, process and proformas relevant to Part 60 FSTD evaluations
 - AC 60-2(2)—Flight Simulator Approvals, provides guidance on the type and quality of information to be included in an application to CASA, and incorporates a list of the States for which CASA currently recognises Flight Simulator Qualification Certificates
 - AC 60-4(0)—Flight Training Devices, which provides advice on the application method and information requirements for Part 60 FSTD approval
 - Operational Standards and Requirements—Approved Synthetic Trainers (FSD2), which contains the requirements for the approval of synthetic trainers

¹ Locations, version details and links for these listed documents are available in *section A3* of this handbook.

- Form 0248—Approved Synthetic Trainer Standards, which details the standards required for approved synthetic trainers. These standards are set out as a checklist which may be used as the ‘accreditation test guide’.

C2.5 Facilities

References



CASR: 141.060(1)(f), 141.260(1)(p)

Introduction

For the issue of a Part 141 Certificate, CASA must be satisfied under regulation 141.060 of CASR, that all facilities are sufficient and suitable to conduct the activities safely.

As described by regulation 141.025 of CASR, a change to the location and operation of a training base (including the opening or closing) is considered a significant change and must be approved by CASA.

Facilities may be considered as either (a) those where regular training is conducted, or (b) facilities that are used on a temporary basis. This handbook refers to facilities used regularly as a ‘training base’ and those used on a temporary basis, as a ‘temporary location’.

a) Facilities considered ‘Training Bases’ – Regular Training Locations

The applicant’s operations manual must include a description of the main operating facilities (training bases) to be used by the applicant in the conduct of the proposed training. A training base may be considered as a facility where any of the following generally applies:

- regular training is conducted
- a person is assigned as the person responsible for day-to-day operations at that site
- permanent training and support facilities are maintained on site by the operator
- the operators training aircraft are ordinarily based there

Addition of a training base is a significant change which will require CASA assessment.

b) Facilities that are not considered ‘Training Bases’ (Temporary Locations)

In addition to a training base, other facilities remote from a training base may also be used by Part 141 operators on a temporary or non-routine basis.

If use of temporary locations is planned, the applicant’s operations manual must include relevant operational procedures for the use of the temporary location to allow CASA to be satisfied that training at these ‘temporary locations’ can be conducted safely.

The inclusion of such procedures is not considered a significant change as such procedures are not described within regulation 141.025 of the CASR. However, if such procedures are not considered satisfactory, in the interests of aviation safety CASA may direct variation or removal of those procedures as described within regulation 141.100 of the CASR. It is expected the procedures must ensure consideration of the aspects listed below under C2.5.2 – Suitability.

Administrative procedures when operator changes locations

Information on training locations or bases is no longer printed on a Part 141 certificate or Part 142 authorisation on the AOC. However, operators are still required to follow the significant and non-significant change process. Noting that CASA must approve a significant change before it occurs.

Things for Consideration

The following information may be of value in determining if the applicant has suitable and sufficient facilities to ensure the safe conduct of the proposed activities. It should be noted that not all Part 141 flying training requires each of the considerations listed below. For example examination areas may not be relevant to flying training where examinations are not undertaken by the operator. Consideration should be given to the actual proposed flying training activities and ensuring appropriate facilities are available to support those particular operations.

C2.5.1 Description

- The applicant's operations manual must include a description of the training base(s) to be used for conducting the Part 141 training.
- 'Facilities' may be taken to mean all essential assets used for training, including buildings and special purpose rooms such as briefing rooms or crew rooms and training aids.
- Considerations relevant to assessing the applicant's aircraft and FSTDs are contained in the corresponding sections C2.3 and C2.4 of this handbook.

C2.5.2 Suitability

a) Inspection of premises (Training Bases)

- **Certificate Issue** - For CASA to be satisfied with regards to regulation 141.060 of the CASR, CASA shall conduct an on-site inspection of all proposed training bases.
- **Significant Change** - For CASA to approve a significant change that involves the addition of a training base (for an existing Part 141 operator), CASA shall normally conduct an on-site inspection, however, CASA may be satisfied through the provision of electronic, video or photographic evidence, where appropriate. For example, the requirement to inspect a training base may be waived at the discretion of the Inspector when, within the preceding 12 months, the proposed premises and facilities were inspected for a substantially similar operation, and found suitable.

b) Briefing rooms

- Briefing rooms should:
 - be of a number and size appropriate to the number of course participants
 - have provision for adequate climate control (heating and/or cooling)
 - have lighting (natural or artificial) that is suitable for the size of the room
 - be located and constructed so that outside disturbances and distractions do not interfere with the training
 - be separate from administrative and recreational areas
 - be adequately furnished and equipped for briefings.

c) Instructional aids

- The applicant's instructional aids should include:
 - suitably sized smart boards, whiteboards or chalkboards to assist in the delivery of briefings. Computer assisted training aids are encouraged, however are not mandatory
 - training aids such as aircraft models, panel posters, cockpit cut-outs and reference books relevant to the activities
 - briefing précis.

d) Flight planning area

- The applicant should have an area, separate from classroom and recreational areas, to facilitate flight planning by participants.
- A suitable flight planning area should:
 - provide ready access to flight planning materials such as the AIP, weather reports/forecasts and NOTAM
 - provide facilities for submission of flight notifications
 - include current revisions of maps and charts which may be relevant to the area of operation
 - display detailed maps depicting flight training and low flying training areas.

e) Examination areas

- The applicant should have a room which is free from noise or other distractions available for the conduct of examinations. A briefing room may be used as an examination room, provided sufficient other briefing rooms are available for use in any other activities.
- An area for the secure storage of examination material should be provided for examination papers and completed exams. The secure storage should have access limited to the head of operations and the conducting officers. Access limitations should be documented in the applicant's operations manual.
- The examination area should include furniture and equipment adequate for the conduct of examinations.

f) Tarmac areas

- When applicable, the design of the applicant's premises should:
 - provide for safe access to the tarmac and aircraft parking area by course participants
 - include appropriate access controls to allow course participants access to aerodrome restricted areas, when required.
- The applicant should have procedures to ensure that course participants are aware of precautions to observe around aircraft whilst on the tarmac area.

g) **Aerodrome**

- The aerodromes used for flight training should be suitable for the purpose. To be considered suitable generally the following applies:
 - the aerodromes must meet the specifications in CAAP 92-1(1) or 92-2(2) for the type of activities being conducted²
 - the runways, taxiways and parking areas must be suitable for the proposed activities
 - the aerodrome operator or control service (if any) should allow the proposed activities
 - a satisfactory reporting mechanism should be in place for aerodromes that are not registered or certified, which ensures that aerodrome serviceability or availability matters are referred by the aerodrome owner to the applicant.
- Considerations relevant to flight training areas and training area maps are included in section C3.1 of this handbook.

C2.5.3 Reference Library

- An applicant must maintain a reference library. The library may be a physical library or may be an electronic library. The applicant's operations manual must describe a means for ensuring the reference library is kept up to date and readily available to the applicant's personnel.
- An operations manual should identify, through position titles, the personnel responsible for maintaining the reference library.
- The library must include:
 - civil aviation legislation relevant to the Part 141 flight training
 - relevant parts of the AIP
 - aircraft flight manuals and/or operating handbooks
 - manuals for the operation and maintenance of FSTD
 - relevant advisory circulars and guidance material
 - the applicant's operations manual.
- An operations manual may contain a list of the material that is included in the reference library.

Electronic libraries

- If an applicant intends to maintain all or part of the reference library in digital form, the applicant must demonstrate how access to the digital library is provided to all personnel. The applicant may meet this requirement by providing personnel with access to the CASA website (which contains links to all current and relevant aviation legislation on the ComLaw website), or by providing direct access to the ComLaw website.
- The CASA website or the ComLaw website should be available to personnel at all times when access to the legislation, for the purpose of fulfilling their duties, is

² Locations, version details and links to CAAP 92-1(1) and 92-2(2) are available in section A3 of this handbook

required. The applicant may choose to provide access to websites at some locations, and to provide hard copies of legislation at other locations.

- The applicant should describe how personnel may access legislation via the CASA website or ComLaw website.
- To demonstrate how the accessibility requirements will be met in the event that the CASA website or ComLaw website are unable to be accessed, the following may be considered to be reasonable methods for controlling such situations:
 - the applicant's procedures for providing access to personnel include 'downloading' the up-to-date legislation from the ComLaw website onto a computer or computer network that is maintained by the applicant
 - the applicant provides access to the legislation by way of 'hard copies' printed from the ComLaw website.
- If the applicant downloads legislation onto a computer or computer network, the applicant's procedures should verify that the downloaded legislation is controlled by means of regular updates to incorporate legislative changes.
- Whether or not downloaded or printed legislation is updated with sufficient regularity will depend on the circumstances. However, given that recent legislative changes can be readily identified on the CASA website, the applicant should demonstrate that legislation will be updated with little delay.
- The applicant should describe how it will ensure that outdated versions of legislation are rendered inaccessible.

C3 Processes

This part of the assessment evaluates the applicant's processes for managing compliance with the requirements of CASR Part 141 and ensuring the training can be conducted safely.

C3.1 Part 141 Flight Training

References



CASR: 141.175, 141.180, 141.205, 141.210, 141.260, 141.275, 141.280, 141.290, 141.295, 141.300, 141.305, 141.306

Introduction

The applicant must demonstrate that they can conduct and manage the proposed Part 141 flight training safely, and in accordance with civil aviation legislation.

Things for Consideration

The following information may be of value in determining if the applicant has met the requirements of Part 141 in relation to the conduct and management of training, including the supervision of instructors and course participants. In the paragraphs below, text headed with the title 'mandatory' outlines procedures required for all Part 141 operators. Text titled 'optional' indicate items that may be required, having regard to the size and scope of the authorisation holders' proposed activities. Text in italics labelled 'advice' indicates items that may assist in achieving a higher standard of compliance.

C3.1.1 Procedures for conduct and management of training

An operations manual must include a description of procedures by which the applicant proposes to conduct and manage the training. The processes should be coordinated and designed to produce standardised training outcomes.

The description should include information, procedures and instructions relating to the flight operations of all types of aircraft proposed to be operated, as are necessary to ensure the safe conduct of the flight operations. The extent of the material required is dependent on the number of types and complexity of each aircraft model operated, for reference, the material included in the CASA Part 141 SOM is acceptable for a modest fleet of simple piston powered single and multi-engine aircraft. More diverse fleets may require more complex documentation and processes.

Effective training management should include processes³ for:

Mandatory

- management of training records
- determination and provision of resources for completion of training
- scheduling of instructional staff and resources
- instructional standardisation and supervision
- management of examinations and tests
- participant performance review
- management of flight training areas and low flying training areas
- establishment and maintenance of flight check systems for training operations
- authorisation of pilot in command
- supervision of student pilot solo flight
- carriage of passengers

Optional

- development of training and assessment plans and syllabuses (if the authorisation holder elects to develop their own material – not required if standard CASA syllabuses and plans are used)
- production of joining instructions if large numbers of course participants are inducted formally – not required for smaller
- protocols for relationships and behaviour with course participants
- graduation administration
- Each process should, if feasible and applicable, be comprised of a series of procedures or actions that contribute to the desired outcome. The procedures should be documented in the operations manual, and should address:
 - what must be done
 - who should do it
 - when
 - where

³ Some considerations relevant to the processes in this list are described in the numbered headings subsequent to this list.

- how it must be done
- which documentation must be used
- monitoring the operation and output of the procedure.

a) **The CASA Sample Syllabus Material**

- CASR 141.260(j) requires that the operations manual contain training plans and syllabuses for the flight training to be conducted by the applicant. Besides verification of the presence of such material, CASA must conduct a qualitative assessment of it.
- CASA has supplied sample syllabuses on the CASA website to assist applicants with syllabus development.
- Where an operator generated syllabus is provided to CASA, a 100% analysis / review of the material is not required. In this instance an assessor shall conduct an assessment by sampling 'elements' that are most relevant or safety critical for each qualification (e.g. C4.2 Manage fuel system and A4 Land Aeroplane for the recreational pilot licence) and then evaluating compliance with the Part 141 training requirements. If errors are identified further sampling should take place.
- The assessor must ensure that the requirements of Part 61 for the granting of the authorisation are met, e.g. mandatory hours.
- When assessing syllabuses that either differ substantially from the sample syllabuses or do not correspond to any sample syllabuses, the guidance of C3.1.1, as it relates to syllabuses, is to be followed. However, the sample syllabuses may still be useful to the assessor as examples of a means of compliance. Consider, for example, a syllabus in the context of its pre-solo training and assessment requirements. CASR 141.305 requires that an operator assesses a trainee as competent to conduct solo flight but does not specify the competencies. Therefore the assessor can use the pre-solo competencies described in the equivalent sample syllabus as a basis for comparison. Submissions that do not require these basic pre-solo competencies should be referred back to the applicant for further explanation.

b) **Competency-based Training and Assessment**

- Competency standards define the skills and knowledge required to attain an authorisation. Schedule 1 of the Part 61 MOS provides a summary of the standards for flight competency and aeronautical knowledge that are applicable to Part 61 authorisations.
- Under Part 61, an applicant for a flight crew licence, rating or endorsement must have received flight training in, and have been assessed as competent against, each of the flight competency standards mentioned in the Part 61 MOS for the particular licence, rating or endorsement.
- A syllabus of flight training for a Part 61 licence, rating or endorsement must be competency based – by satisfying each of the flight competency standards specified in the Part 61 MOS for the particular authorisation.
- These flight competency standards, contained within Schedule 2 of the MOS, are described within units of competency which each represent a discrete function.
- Flight training syllabuses and competency assessments must take into account all components of a unit of competency, namely:

- the elements (which provide further detail to the various functions which must be carried out)
- the performance criteria (which are evaluative statements contained within each element of competency, specifying what is to be assessed)
- the range of variables (which add definition to the performance criteria by elaborating on critical or significant aspects of the unit of competency, and also detail contexts and conditions that should be applied)
- the underpinning knowledge (which describe specific knowledge applicable to a unit of competency).

c) Training plans

- An applicant's operations manual must include training plans for the flight training. This plan may be part of a syllabus of training. CASA
- A training plan should be prepared for each proposed course of training.
- A training plan provides details of:
 - what training will take place
 - the competencies that need to be achieved
 - how the training will be scheduled and delivered
 - how the training will be assessed (assessment plan)
- Training plans should outline a strategy for the transfer of skills, knowledge and behaviours to course participants in a clear, logical and systematic manner.
- The successful completion of training will depend on the quality of the training plan developed. An applicant should demonstrate the capability for preparing training plans via a plan preparation process.
- Optional: A process for developing training plans should address:
 - personnel responsible for the preparation
 - course development responsibilities
 - regulatory requirements for the qualification (e.g. Part 61 MOS)
 - participant demographic, prior learning and training needs analysis
 - identification of units and elements of competency
 - identification of standards
 - selection of course phases and objectives
 - allocation of training lessons and periods to address the prescribed units and elements of competency (the planned rate of delivery and course progression should be set to accommodate learning by a person of average intelligence)
 - modes of delivery and training techniques (e.g. individual, group, self-paced, aircraft or FSTD, lectures, guided group discussion, supervised practice)
 - sequencing of theory and practical training periods
 - training material
 - progressive review and examination of competency
 - remedial training policy
 - training plan validation.

- As training for the grant of all Part 61 licences, ratings and endorsements is competency based, each course must be designed in accordance with the units of the relevant competency standard as specified in Schedule 1 of the Part 61 MOS.
- Course planning should consider the elements within each unit of competency. The elements of knowledge for each qualification are described at Appendix 3 to the MOS, while elements of competency (skill) are described in Appendix 2 to the MOS.
- An applicant should ensure that personnel appointed to develop the training plans for each course have appropriate expertise in flight instruction, course design and management.
- With reference to the units and elements required for the course, each training plan should demonstrate that the applicant has considered:
 - the division of the course into phases, based on the appropriate grouping of similar material
 - the number of lessons required for each element - the duration of lessons related to knowledge training should be limited to approximately 45 minutes. However, the duration of flight training periods is more variable due to factors such as the type of training (e.g. ab initio or advanced training), the type of operation or aircraft type
 - the sequencing of lessons to ensure the logical development of knowledge and skills
 - the coordination of theory and flight training to ensure the delivery of theory training is timed to optimise flight training
 - provision for contingencies such as unexpected weather or operational restrictions.
- Planning should include a process for listing all lessons and periods in chronological order to form a 'program of instruction' for the course.
- The planning process should determine, and the plan should describe, the resources required for delivery of each course - including the minimum qualifications and experience for instructional and examining personnel to be engaged to conduct the course.
- The facilities to be used for all training activities must be described in an operations manual. As specification of resources required to conduct a course should be determined during the planning process, a description of course facilities and equipment may be included in the training plan.
- The level of detail for the facilities should be sufficient to identify items essential to the conduct of each course, these may include:
 - briefing rooms (air conditioned and free of noise distraction)
 - briefing aids
 - a flight preparation office with internet access
 - amenities
 - aircraft/FSTDs
 - operational publications.
- An applicant should describe a procurement process to ensure the timely acquisition of all facilities and equipment necessary for the conduct of each training course.

d) **Assessment plans**

- Competency based training should also include assessment of competency. Assessment is the process of reviewing evidence of the trainee's performance against the standards of the Part 61 MOS, which are expressed as performance criteria and knowledge standards for each unit and element of competency.
- An assessment plan for each course of training should be documented in detail.
- The plan should be based on obtaining evidence of competency in knowledge, through the results of reviews and examinations, and evidence of competency in skills through the recorded observation of instructors.
- Evidence should reflect task skills, management skills, contingency skills and the ability to apply skills and knowledge in new circumstances.
- During flight training, each assessment plan should provide for continuous (formative) assessment, and for periodic (summative) assessment at predetermined milestones - such as phase or course completion.
- The operations manual should provide guidance to instructors to ensure formative assessments are made consistently as a participant progresses and becomes more competent with each element.
- The operations manual should provide policy and procedure for summative assessments, including flight tests and examinations of knowledge.
- Sufficient summative assessment should be planned throughout the course to verify formative assessment.
- Summative assessments of both skill and knowledge should be conducted at the conclusion of course phases or stages of training.
- Guidance to instructors and examiners should be provided in the operations manual to ensure correct implementation of the assessment plan.
- When relevant, an assessment plan should include assessment of student pilots for competency to conduct first time solo flights in the circuit, training area, cross country and at night.
- Pre solo assessments must include assessment of competency in skill, knowledge and the general standard for proficiency in the English language.
- As assessment planning is an integral part of the development of a training course, a process for preparation of assessment plans should be described.
- The process for preparation of assessment plans should address:
 - personnel responsible for preparation
 - plan development responsibilities
 - regulatory requirements for the qualification (e.g. CASR Part 61)
 - identification of standards (e.g. Part 61 MOS)
 - formative assessment policy and practice
 - summative assessment policy and practice (including compliance with regulation 141.305 of CASR, in relation to assessment of competency for certain solo flights)
 - record keeping
 - planning validation.

e) Course syllabuses

- An applicant's operations manual must include syllabuses for flight training.
- An applicant's syllabuses may be in the CASA provided format or in their own format.
- A detailed syllabus should be prepared for each proposed course of training.
- A syllabus may contain, but is not limited to:
 - the course description and structure
 - the objectives and learning outcomes
 - a detailed program of the course
 - a summary of topics to be covered in a course
 - the assessment details, such as marking and standards to be met.
- As competency is achieved through the transfer of knowledge, skills and behaviours from the instructor to the participant, a syllabus should describe the sequence of transfer of knowledge and skills in terms of course lessons or periods.
- For each knowledge lesson, a syllabus should list the elements of knowledge as specified in the training plan, together with related topics and specific content described in the Part 61 MOS.
- For each flight lesson, a syllabus should list the elements of performance together with related performance criteria described in the Part 61 MOS.
- An operations manual should describe a process for the preparation of course syllabuses.
- The process for the preparation of course syllabuses may include:
 - personnel responsible for preparation
 - responsibilities
 - regulatory requirements for the qualification (e.g. Part 61 MOS)
 - review of the training plan
 - allocation of specific content or performance criteria to each lesson identified in the training plan
 - lesson plans for each period
 - validation.
- For each flight training lesson, a syllabus should include time allocated for:
 - flight training briefings, including underpinning knowledge
 - private study periods for participant preparation
 - pre-flight briefing
 - flight lesson
 - debriefing

f) Procedures when standard is not met

- An applicant's operations manual must include a process to be followed when a standard is not met during training.
- The process should include a means to ensure that when conducting an assessment, an instructor keeps records when competencies have not been demonstrated, and recommends further training.
- The operations manual should include a process for remedial training to address deficiencies identified in an assessment report.
- The process should include provisions to ensure that further assessment may only be made on recommendation by a senior instructor, when the retraining plan has been completed.
- The re-training plan and records should be included in the participant's training file.
- Provision should also be made for re-examination in accordance with any knowledge deficiency report resulting from a CASA aeronautical knowledge examination. A means to control the re-examination process should be detailed in the operations manual.

g) Approval of solo flight

- Policy and process for approval or authorisation of solo flights conducted by course participants should be included in an applicant's operations manual.
- The process should ensure that, before giving approval for a solo flight, the responsible flight instructor is satisfied that:
 - the solo pilot holds and carries a class 1 or 2 medical certificate or exemption
 - the solo pilot is medically fit to conduct the flight
 - the training objectives of the flight and the limitations on the conduct of the flight, have been provided orally and (preferably) in writing to the solo pilot, and entered by the instructor in designated parts of the flight training record
 - training records indicate the solo pilot has completed training for the flight, as specified in the applicant's Part 141 operations manual, and has been assessed and certified as competent by a flight instructor to conduct the flight
 - recent experience requirements as required by regulation 61.115 of CASR have been met
 - actual and forecast weather conditions are suitable
 - the aircraft is serviceable and fuel state is appropriate.
- The approval of a solo flight, including terms and conditions, must be discussed with the solo pilot during the pre-flight briefing and authenticated on the training record by the signature of the responsible instructor.
- Provision should be made for the solo pilot to acknowledge the terms and conditions of the approval (e.g. by countersigning the document).

h) Supervision of student pilot solo flight

- An applicant's operations manual must describe a means for ensuring, in accordance with regulation 61.112 of CASR, that when a person not holding a pilot licence (a student pilot) is authorised to pilot an aircraft in command, the flight is approved and supervised by a Part 141 flight instructor who is authorised for the purpose by the operator.

- The process must meet the following minimum standard of supervision prescribed by sub regulation 61.112(3) of CASR:
 - the instructor must provide guidance to the student pilot in relation to the flight
 - the solo pilot holds and carries a class 1 or 2 medical certificate or exemption and there is no condition on the medical certificate which would preclude solo flight (eg a “with safety pilot” condition)
 - during the flight, the instructor must be:
 - o at the aerodrome of departure or flying within 15 nm of the departure aerodrome
 - o contactable during the flight by radio or other electronic means.
- The process should include provision for active monitoring of each solo flight by a Part 141 flight instructor. As well as active monitoring, the supervising instructor should provide flight following, operational control and the rendering of assistance if necessary.
- For solo circuit operations, the applicant should ensure that a competent instructor is assigned to visually monitor circuit operations. The supervising instructor may be provided with two-way radio communication with circuit aircraft for the purpose of exercising operational control over solo flights, if necessary.
- For training area and navigation solo flight operations, an applicant should ensure that an instructor is assigned to monitor radio frequencies when possible, and to provide assistance if necessary and maintain a search and rescue watch.

i) Supervision of part 141 participants

- An applicant’s operations manual must include procedures for the supervision of persons participating in Part 141 training.
- The operations manual should describe the duties and responsibilities of Part 141 personnel for ensuring course participants are supervised to an extent necessary to avoid incidents and accidents.

j) Approval of dual instructional flights

- Policy for the approval of dual instructional flights should be described in an applicant’s operations manual.
- Dual instructional flights conducted in accordance with the course syllabus or course program may be deemed to have approval by virtue of a published daily flight training program. Some activities such as helicopter touch down auto-rotations or low flying may require specific approval.
- The policy for dual flights should provide that during dual flight time, the flight instructor must be the pilot in command.

k) Supervision of instructors

- The performance of instructional activities must be closely supervised to ensure flight safety and quality of product. The applicant’s policy and process for the appointment of supervisory personnel, as well as the scope and limitations of responsibility of each supervisory position, should be described in an operations manual.
- The process should include formalising of appointments through letters of appointment, contracts or amendments to the operations manual.

C3.1.2 Minimum qualifications and experience

- An operations manual should describe the minimum qualifications and experience for personnel conducting training activities.
- As regulation 141.175 of CASR requires instructors conducting authorised training to be authorised to do so under CASR Part 61, the minimum qualifications established by the applicant must be at least those required under CASR Part 61.
- The minimum experience should be at least sufficient to safely and competently conduct each kind of training.
- The specification of criteria for qualifications and experience should be evident as part of the planning process and be included in the training plan for each kind of training course.

C3.1.3 Command responsibility

- An applicant's operations manual must describe policy for command responsibility during flight.
- For other than sole occupant flights, the operations manual should include a means for identifying and recording the name of the pilot in command of the aircraft. Any command responsibilities, in addition to those required under civil aviation law, may also be recorded.
- The policy for command responsibility should specify that during dual flight time, the flight instructor is to be the pilot in command.

C3.1.4 Instructors- authorisation under Part 61

- An operations manual must describe a process to ensure that all applicable qualification and recency requirements of CASR Part 61 are met by personnel undertaking Part 141 training.
- Common industry practice is to employ a software recording/monitoring/alerting program for renewable qualifications and recency, which forms an integral part of the crew scheduling process.
- The operations manual must also describe a process for ensuring an instructor is not rostered to conduct training in an FSTD, unless the applicant's means for managing the status of qualifications indicates all qualification and competency requirements have been met.

C3.1.5 Pilot in command - authorisation under Part 61

- An operations manual must describe a process to ensure that instructors and course participants are appropriately authorised as pilot in command to undertake authorised Part 141 activities.
- The requirement should be initially addressed during the course planning process, however the ultimate responsibility for compliance should be met by the applicant's processes for crew scheduling and flight authorisation/approval.

C3.1.6 Student pilot competency -first solo

- For the purposes of the CASR, the term 'student pilot' refers to persons who are receiving flight training prior to holding a pilot licence.

- An applicant must describe a process in the operations manual for complying with the requirements of:
 - regulation 141.305 of CASR (completion of training and assessment of competency for certain solo flights), relating to solo flights by student pilots for the first time in the circuit, training area, cross country or at night
 - regulation 141.306 of CASR (appropriate briefing and capability to conduct certain solo flights etc).
- The process employed by the applicant should include:
 - a statement of relevant responsibilities and accountabilities
 - a means of confirming the solo pilot has an ARN
 - methods to verify completion of prescribed training for the solo flight
 - a method to verify that a student pilot meets the dual instrument time requirements of regulation 141.305(3)(c)
 - standards and methods for assessing competence of the student pilot to conduct the solo flight
 - sufficient guidance and instruction for assessors to ensure valid assessments are made and recorded
 - an assessment and certification that the student pilot is capable of conducting the solo flight safely
 - a means of ensuring a student pilot meets the general English language proficiency standard, or has completed an approved course of training in English language proficiency
 - instructions for approval of solo flight
 - a means to ensure that flights are only conducted under the Visual Flight Rules (VFR) and in accordance with the instructor's approval
 - instructions for pre-flight briefing of solo pilots, including the terms and conditions of the approval of the solo flight
 - provision for the solo pilot to acknowledge the terms and conditions of the approval (e.g by countersigning the document)
 - record keeping.

C3.1.7 Approval of solo training flights - other than student pilots

- An applicant's operations manual must describe a process complying with the requirements of regulation 141.305 of CASR (completion of training and assessment of competency for certain solo flights) in relation to course participants other than student pilots, when receiving training for a rating or endorsement and conducting a solo flight at night for the first time (e.g. the holder of a commercial pilot licence receiving training for the grant of a night VFR rating).
- The process must also ensure compliance with regulation 141.306 of CASR (appropriate briefing and capability to conduct certain solo flights etc), in relation to the conduct of any solo flight for the first time.
- The process employed by the applicant should include:
 - a statement of responsibilities and accountabilities
 - a means of confirming the solo pilot has an ARN

- methods to verify completion of prescribed training for the solo flight
- a method to verify that the pilot receiving training for a recreational navigation endorsement meets the dual instrument time requirements of regulation 141.305(6)(b)
- standards and methods for assessing competence of the pilot to conduct the solo flight
- assessors should be provided with sufficient guidance and instruction to ensure valid assessments are made and recorded
- assessment and certification that the pilot is capable of conducting the solo flight safely
- instructions for approval of solo flight
- a means to ensure that flights are only conducted under the VFR and in accordance with the instructor's approval
- instructions for pre-flight briefing of solo pilots
- the briefing should include the terms and conditions of the approval of the solo flight
- provision for the solo pilot to acknowledge the terms and conditions of the approval (e.g. by countersigning the document)

C3.1.8 Carriage of passengers

- An applicant must have a means for ensuring that passengers are not carried during student pilot operations, including dual training flights. Subregulation 61.113(2) of CASR provides that a student pilot is not authorised to pilot an aircraft carrying passengers. 'Pilot' means 'to manipulate the flight controls of an aircraft during flight' or 'to occupy a flight control seat in an aircraft in flight'.
- An applicant must include a means for ensuring passengers are not carried in aircraft when conducting the following operations:
 - simulated system failures affecting aircraft performance or handling
 - low flying.
- The applicant must describe a means to ensure that authorisation for the carriage of passengers, in aircraft conducting Part 141 training, will not be permitted unless the pilot in command is authorised under CASR Part 61 to fly the aircraft as pilot in command with a passenger on board. This requirement may be applicable in circumstances when the holder of an RPL, who is participating in licence training, may seek to carry more than one passenger.

C3.1.9 Flight training areas

- Each flight training area used to conduct Part 141 training must be described in the applicant's operations manual.
- The description should identify designated areas or describe the lateral and vertical boundaries and the kind of flight training permitted in the area.
- As well as including descriptions in an operations manual, an applicant should have a process for managing training areas. The process should provide for the safe establishment, promulgation and review of each flight training area, with an emphasis

placed on ensuring that information about flight training areas is disseminated to all relevant personnel.

- An applicant should demonstrate that they have considered the following in the establishment of a flight training area:
 - the location and size of the area compared to the type of training and the maximum number of aircraft planned to use the area
 - minimum utilisation of airspace over populous or sensitive areas.
- Training areas should be depicted on a 1:100,000 or larger scale topographical map, prominently displayed in the training facility. Noise sensitive areas, obstacles such as towers and powerlines and proximity to controlled airspace, should be clearly marked.
- The boundaries of a day VFR training area should be readily identifiable by prominent landmarks, rather than distances from the departure aerodrome such as DME arcs.
- When a training area does not include the departure aerodrome, entry and exit paths to the training area should be identified.
- The management process should include procedures for a safety review of training areas at unfamiliar locations, prior to the conduct of flight training.

C3.1.10 Low flying training areas

- An applicant must have a process for determining suitable low flying training areas, if required for Part 141 training.
- The process should provide for the safe establishment, promulgation and review of each low flying training area.
- An area proposed for low flying training should be subject to an inflight assessment conducted from a safe height above obstacles.
- The proposed area should be free from high risk obstacles (such as power lines or cables) and should not be located over livestock.
- The review process should include regular aerial inspections of low flying areas, to monitor obstacles and hazards.
- Management positions responsible for the process should be included in the process.
- An applicant must have a means to ensure that low flying training is conducted only over a flight training area approved by CASA.

C3.1.11 Flight test recommendation

- When a participant is required to demonstrate a required level of skill for a summative assessment, an operations manual should include a process for planning and conducting the assessment.
- The operations manual must describe procedures for ensuring a person recommended for a flight test meets the flight test prerequisites specified under regulation 61.235 of CASR.
- The procedures may provide for an initial check of the prerequisites, by a flight instructor, before final verification and certification.
- The head of operations, or another person named in the operations manual, must certify that an applicant for a licence or a rating has met the prescribed eligibility requirements.

- The process may include a checklist of prerequisites with provision for verification and certification.
- The applicant must have a means to ensure that, if requesting a flight examiner to conduct a flight test, suitable facilities, records and resources are available to the examiner.

C3.1.12 Competency of personnel using FSTDs

- If conducting training in an FSTD, an applicant must describe a means for ensuring instructors have been assessed as competent to conduct the activity in the device.
- An applicant's means for compliance should ensure simulator instructors are not rostered for Part 141 activities in FSTD, unless assessed as competent for the particular training activity. Common industry practice is to employ a software program for recording/alerting about renewable qualifications, recency and other regulatory requirements, as part of the flight crew rostering process.

C3.1.13 Training records

- An applicant's operations manual must include an auditable process for ensuring secure and confidential training record keeping. The operations manual should include templates of training and assessment forms, and guidance to instructors and examiners for the correct completion of training records.
- An operations manual must include a means to ensure that a record is made within 7 days of a person's participation in a Part 141 training session.
- Training records must include a description and assessment of the person's performance, including areas of weakness, and should be comprehensive with enough information to enable other instructors to efficiently continue the training.
- A training record should detail:
 - participant name/ARN
 - lesson number and activities to be conducted
 - briefings completed
 - assessments and supporting evidence
 - certification, by an instructor, of achievement of competency in each element
 - remedial training
 - flight time
 - Instructor/participant sign-off.
- Training records should certify end of phase competence and suitability for progression to the next phase.
- An applicant should have a process of internal audit to check for compliant operation of the record management process, and to verify the accuracy and completeness of training records.
- An applicant must provide a documented means for giving a copy of a flight training record to the person to whom it relates, within seven days of completion of the record.

C3.1.14 Access to records

- An operations manual must describe procedures for ensuring instructors have access to the records of course participants, prior to conducting a Part 141 training.

- The procedures should ensure the security and confidentiality of the records.

C3.1.15 Availability of records

- An applicant must have a process for providing, within seven days, a copy of a training record to another Part 141 operator when requested.
- The process:
 - should only respond to written requests from an authorised representative of the requesting operator (the request should be authenticated)
 - may provide for date stamping of a request
 - must ensure the transfer of a record is subject to the written authorisation from the person to who the record relates
 - should ensure the security and confidentiality of the records
 - should ensure the original records are retained.

C3.1.16 Checklists

- Aircraft operating checklists applicable to training, as well as instructions and circumstances for use, must be included in an operations manual.

C3.1.17 Identifying and addressing deficiencies in training

- An applicant's operations manual must describe how deficiencies in training outcomes will be identified and addressed.
- Training outcomes may include those derived from summative assessments prescribed in the syllabus, and pre-flight test assessments and flight tests conducted by examiners for grant of a qualification.
- The applicant's process for identifying training outcome deficiencies should ensure all sub-standard performances are recorded and reported for analysis.
- Reported deficiencies should be promptly analysed, evaluated and categorised according to cause. The process should include:
 - review of candidate training records
 - identifying if sub-standard performance during the assessment is reflected in the records of training
 - establishing if underperformance during training or the assessment is due to incorrect instructional techniques or other organisational deficiencies
 - formulating and implementing remedial action through the change management process.
- Appropriate corrective action should be determined and implemented.
- The applicant must provide processes for:
 - auditing the training
 - promoting continual improvement of training
 - regularly assessing the suitability of facilities and resources for training
 - recommending changes to the abovementioned processes.

a) Auditing training

- The applicant must provide a process for auditing the Part 141 training in order to confirm that all processes continue to ensure the training is conducted in a planned, systematic and compliant manner.
- The process for auditing should be described in detail in the operations manual, and include:
 - a statement of the scope for each scheduled audit
 - how audits are to be planned, conducted and documented
 - how evidence is to be collected and analysed
 - how non-compliances are to be recorded
 - how findings are to be reported
 - how findings will contribute to the continuous improvement of the training
 - how feedback is to be provided and received
 - surveillance activities (e.g. monitoring the conduct of individual theory and flight lessons).
- The scope of audits should include verification that:
 - the training is conducted in accordance with the applicant's written procedures, contained within the operations manual, including:
 - o review of training records and course syllabuses to identify any patterns of training deficiencies
 - o review of records of instructor standardisation and proficiency checks, and personnel qualifications
 - o review of training outcomes, including pass rates, post-flight test feedback from examiners, and average hours required to achieve a qualification and reviewing theory examination outcomes.
 - the training is conducted in compliance with relevant civil aviation legislation
 - the training is conducted to the highest possible standard and the desired outcomes are being achieved
 - the applicant's written procedures are relevant to the training and are adequate to ensure ongoing compliance.
- The applicant should provide evidence to verify that at the completion of each audit, an audit report will be prepared and retained. Audit reports should include:
 - a description of the audit findings and observations (e.g. non-compliances or change recommendations)
 - evidence to support audit findings and observations
 - required follow up and corrective actions
 - a plan for the implementation of corrective and preventative actions
 - a schedule and timeframe for the follow up and closure of corrective and preventative actions.
- The applicant should describe a means to verify that, following each audit, the applicant's written procedures and course syllabuses will be assessed and improved where necessary, in order to address any identified patterns of training deficiencies.
- An operations manual should identify personnel within the organisation who have the training, experience, responsibility and authority for:

- managing the applicant's audit program
 - carrying out internal audits at each of the applicant's training bases
 - identifying and recording any audit findings or deficiencies, and providing evidence in support of these findings or deficiencies
 - analysing the root cause of a finding or deficiency
 - developing and recommending corrective and preventative actions
 - conducting management reviews to ensure corrective and preventative actions are addressed within an acceptable timeframe.
- To support the effectiveness of the audit program, the applicant should provide a means for personnel conducting internal audits to:
 - maintain independence so as not to be subject to undue influence
 - report directly to the chief executive officer.
 - The number of audits required will vary dependent upon the size of the organisation and the scope of the training. The applicant's schedule for internal audits should ensure that all aspects relating to the conduct of the activities are audited within a 12 month period.
 - The applicant's internal audit schedule should allow sufficient flexibility to enable the conduct of unscheduled audits when required.
 - The applicant may require personnel involved in the conduct of internal audits to have received auditor training.

b) Continuous improvement process

- An applicant's operations manual must describe a means for promoting continual improvement of training, and may include:
 - formal annual review of training activities
 - feedback methods to determine whether the continuous improvement process is effective, including:
 - o internal audits
 - o regular internal and external (third party) safety surveys
 - o evaluation of individual performance to verify responsibilities
 - o tracking changes to ensure they are relevant and effective.
 - reviewing and following up on feedback to ensure issues are effectively addressed
 - communicating incorporated improvements to all personnel
 - monitoring and evaluating improvements for ongoing effectiveness.

c) Evaluating training outcomes from flight tests

- An applicant's operations manual must describe a process for evaluating training outcomes of pre-flight test assessments and post-flight test feedback from examiners.
- The process should include procedures and instructions for conducting pre-flight test assessments of candidates for a test, including:
 - nominating suitable assessors
 - defining the scope of the test
 - assessment methods

- reporting performance of candidate
 - identifying sub-standard performance
 - making recommendations.
 - The process must also include an evaluation of the findings of the assessment, including:
 - review of candidate training records
 - identifying if sub-standard performance during the assessment is reflected in the records of training
 - establishing if underperformance during training or the assessment is due to incorrect instructional techniques or other organisational deficiencies
 - formulating and implementing remedial action through the change management process.
 - The process should also include procedures and instructions for receiving and reviewing the advice from the flight examiner, as well as the result of the flight test and the reasons for any failure in an element of the test, including:
 - identifying if sub-standard performance is reflected in the records of training
 - establishing if sub-standard performance during training or the flight test is due to incorrect instructional techniques or other organisational deficiencies
 - formulating and implementing remedial action through the change management process.
- d) Assessing suitability of facilities and resources**
- An applicant's operations manual must describe a process for regular review of the suitability of facilities and resources for conducting training.
 - Facilities and resources to be assessed may include:
 - the range of qualifications and experience of instructors
 - the type and number of aircraft and avionics fitment
 - briefing facilities
 - training précis and publications.
 - The process should include procedures and instructions for identifying and procuring replacement items.

e) Recommending changes

- An applicant's operations manual must describe a process for recommending changes to the processes for identifying and addressing deficiencies in training outcomes.
- The manual should document responsibilities.
- The process must be consistent with the operator's change management process.

C3.1.18 Instructor standardisation and proficiency

- Standardisation of training personnel is essential for maintaining safe and effective flight instruction. Policy and processes for standardisation should be described in the operations manual.
- The process for standardisation of training personnel should include:
 - policy
 - management responsibility
 - procedures for setting and recording instructional standards
 - procedures for establishing and conducting a detailed program of standardisation to ensure consistent instructional content and methods.
- Standardisation of instructors should be verified through a standardisation and proficiency check required under regulation 141.185 of CASR.
- The scope of checking should be sufficient to establish competence to perform any assigned Part 141 instructional task according to the operator's published requirements.
- An applicant should have a process to ensure records are kept of each standardisation check, including:
 - the specific objectives of each check
 - descriptions and assessments of performance
 - a pass or fail result.
- The procedures should ensure that non-standard practices or knowledge deficiencies noted during the check are debriefed, recorded and subject to remedial training as determined by the head of operations or delegate.

a) Validity

- Regulation 141.190 of CASR prescribes the requirements for a valid check. An applicant's operations manual must describe a process for ensuring instructors hold valid standardisation and proficiency checks for the operator.
- The process must ensure personnel are not rostered for authorised training unless holding a valid check. Standard industry practice is to employ a software recording/monitoring/alerting program for renewable qualifications, recency and other regulatory requirements, as part of the crew rostering process.
- The process for ensuring instructors hold valid standardisation and proficiency checks should address:
 - frequency of checking (not less than prescribed under regulation 141.190 of CASR)
 - scheduling of checks to ensure compliance with regulation 141.190 of CASR

- policy for determining that both the competency and standardisation of checks is relevant to the training an instructor has been engaged to conduct
- recording performance
- remedial action.
- The process must ensure standardisation and proficiency checks are only conducted by the head of operations or a delegate.

b) Content

- An applicant's operations manual must describe a process for managing the content of standardisation and proficiency checks.
- The process must ensure the content of each check addresses the competencies necessary to conduct the training an instructor has been engaged to conduct, and must address instructional standardisation and instructional proficiency.
- An applicant should describe a policy for instructional standardisation, with objectives of ensuring instruction is consistent with standard operating policy and procedures. For example, an operator may require a standardised instructional sequence for demonstrating the effects of aircraft controls, or a standardised method for teaching forced landing.
- The procedures should ensure the minimum instructional standard includes an ability to deliver briefings and flight instruction to at least the standards under the Part 61 MOS.
- Checks should be based on demonstrations of representative lessons selected from company syllabuses, and should include demonstrations of:
 - a flight lesson briefing (long briefing)
 - pre-flight briefing
 - flight/simulator lesson
 - administrative requirements for the selected lesson.
- The process must ensure proficiency is assessed against the standards of the Part 61 MOS for flight instructor ratings and endorsements.
- Management of the content of standardisation and proficiency checks should include:
 - determination of knowledge and competency requirements for each instructor to complete their duties
 - a means for selecting different cross sections of knowledge and competencies for each check
 - procedures for designing the conduct of the check
 - procedures for preparing an assessment plan
 - scheduling the conduct of a check to ensure compliance with regulation 141.190 of CASR (relating to validity periods)
 - recording and reporting procedures
 - a means for recommending remedial training.

c) Conduct

- A check may only be carried out by the head of operations or a person authorised by the head of operations. An applicant's operations manual must describe a process for

authorising persons to conduct Part 141 instructor standardisation and proficiency checks.

- The process for authorising persons to conduct checks should include:
 - selection criteria
 - training
 - a duty and responsibility statement
 - monitoring and review of performance.

C3.1.19 Training in human factors principals and non-technical skills

- The primary objective of human factors training within a Part 141 organisation is to give instructors an understanding of relevant human factors hazards and how and why errors (theirs and their students) may be committed during Part 141 training. This knowledge can then be used to develop non-technical skills to minimise the potential for errors and/or to limit any consequences.
- Human factors training for a Part 141 organisation should not be something radically new, and may initially appear to cover many safety principles and practices which are already incorporated within operations. However these practices are often both informal and inconsistent in application. In describing and explaining the underlying human factors principles applicable to certain practices within an organisation, HF&NTS training can ensure that Part 141 flight training is carried out in a more consistent and professional manner, such that aircraft are operated and students are trained with a higher level of safety.

a) Course Design and Development

- An operator may choose to develop an internal training program or contract a third party training provider.
- If the organisation has designed and developed their HF&NTS course internally, the development process should ensure that personnel experienced or qualified in human factors were involved in developing the content of the course.
- If training has been contracted to a third party training provider, the Part 141 operator should still ensure appropriately trained and competent staff are employed in relation to HF&NTS course design and delivery.
- If an operator has followed the guidance given in CAAP SMS 3(1) for the design and development of their HF&NTS training course, have the specific influences that will be present in the flying training environment been addressed?

b) Course Objectives

- The objectives of the applicant's HF&NTS training program should include:
 - improved safety during Part 141 training, through:
 - o decreased organisational exposure to risk, by:
 - improved human factors hazard identification
 - reduced errors
 - increased capture and correction of errors.
- The learning outcomes of the HF&NTS training should provide the course participant with:

- knowledge of potential human factors influences and hazards
- non-technical skills to reduce the potential for error, improve their ability to identify hazards and to identify and correct their errors earlier
- an ability to portray expected safety related behaviours associated with how the organisation manages human performance and error, including:
 - o influencing people's attitudes away from simply 'accepting' human factors related hazards and risks
 - o influencing individual and organisational behaviour in response to human factors hazards and risks to consistently apply new or existing controls.

c) **Course Structure and Content**

- Though not an exhaustive list the following are examples of specific areas of focus that may be seen within a Part 141 HF&NTS course:
 - Communication and anticipation of communication difficulties associated with students and novice performance. For example, heavy student workload and low level of knowledge of 'jargon' and standard aviation phraseology.
 - Workload management and information processing, with a focus on the influence of instructor workload (associated with teaching) on accurately and effectively processing available information and maintaining awareness of potential internal and external flight safety hazards.
 - Teamwork, with a focus on the difficulties of establishing coordination of actions and associated positive team behaviours with students - especially during early lessons.
 - Decision making, this may include influences on decisions such as the pressure to allow students to be exposed to learning opportunities while maintaining adequate safety margins. For example, approach to stall and stall recovery - when to assume control.

d) **Delivery and Assessment of Training**

- The training delivery and assessment procedures for the HF&NTS course must be documented in the organisation's operations manual.
- The operations manual should describe the rationale for selection of facilitators, including the selection criteria for appointment. The quality of facilitation is crucial to ensuring the course is effective in delivering real improvements in human performance and a reduction in the number and consequence of errors within the operation. A suitable selection criteria may include:
 - qualifications and/or experience in training delivery
 - experience in the aviation work environment
 - an appropriate level of knowledge in human factors, or an ability and means to ensure an adequate level of understanding of the course material.
- The delivery and assessment procedures should describe how the assessment and evaluation processes will adequately identify achievement of required attitude, knowledge or skill development by personnel. Examples of methods include:
 - written exam for evaluating knowledge

- interaction and facilitator assessment of personnel's attitude to human factors principles and non-technical skills
- observation for skill development.
- The operations manual should describe explicit procedural controls to ensure that no instructors carry out Part 141 training before completing the organisation's HF&NTS training. Such a control may be ensuring that personnel complete the HF&NTS training as part of their induction training, which is completed before commencement of duties. The operator may also require the head of operations, as part of their responsibilities, to approve the instructor's completion of the training prior to personnel commencing Part 141 training.

C3.2 Change Management

References



CASR: Subpart 141.C

Introduction

A change management process should provide a structured framework for managing most of the aspects of change. Adherence to an appropriate process minimises the inherent risks of change, enhances effectiveness, and will provide a means for compliance with Subpart 141.C of CASR.

CASR Part 141 refers to changes as either 'significant changes' or 'changes that are not significant changes'.

Regulation 141.025 of CASR defines significant changes and Subpart 141.C of CASR makes requirements for those changes, including requesting formal approval of the change by CASA – prior to the change taking place.

An applicant is entitled to make changes that are not significant changes without prior approval from CASA. However, an applicant must have a means to ensure that notification of all changes, together with a copy of the operations manual detailing the changes, are received by CASA.

An exception is a change to the applicant's name (including any operating or trading name), contact details and operational headquarters address (if different to the mailing address). An applicant is required to amend the operations manual to reflect the changes and give CASA written notice and a copy of the amended part of the operations manual - before making those changes.

Things for Consideration

The following information may be of value in determining if the applicant has met the requirements of subpart 141.C of CASR (changes).

C3.2.1 Significant changes

- An applicant's operations manual must describe a process for identifying, managing and applying to CASA for approval of significant changes.

a) Identification

- An applicant's change management process must include a reliable means for ensuring all proposed changes are identified, captured by the system and classified as significant or not significant.
- Significant changes, as defined by regulation 141.025 of CASR, should be clearly identified and recorded in the system. For example, a change to the operator's responsibilities for the head of operations should be identified as a significant change under regulation 141.025(a)(v) (change to the qualifications, experience and responsibilities of key personnel).
- Regulation 141.025(c) of the CASR, also defines a significant change as a change in relation to the matters specified in that provision (mostly references to manuals), that does not maintain or improve (or is not likely to maintain or improve) aviation safety. In addition to the above matters, the operations manual must describe a change process for those matters in regulation 141.025(c) and describe:
 - the safety impact of a change
 - whether that change will reduce or improve safety
 - how that assessment was made
 - what data or information was used in that assessment
 - how it was documented.

b) Management and application for CASA approval

- The applicant must have a means to ensure that significant changes are not implemented until CASA has approved the change. There are two exceptions that relate to the permanent appointment of key personnel on occasions when substantive key personnel are absent or unable to carry out the responsibilities. Considerations relating to the permanent appointment of key personnel are described in section C3.2.2 of this handbook.
- An applicant's operations manual must include a process for making changes, and should describe:
 - how changes are initiated and assessed
 - how unexpected changes are managed
 - the process for developing a case for the change
 - risk assessment and planning processes, including:
 - o implementing change in an incremental manner to minimise potential adverse effects (if necessary)
 - o ensuring use of resources will not impact on operational safety
 - o ensuring communication and consultation takes place with all key stakeholders.
 - preparation of a plan
 - a process for applying in writing to CASA for approval, including:
 - o how the significant change will be set out in the application
 - o ensuring a copy of the affected part of the operations manual, identifying the change, will accompany the application
 - o authorisation of the application by the chief executive officer.

- implementation of the change
- ongoing monitoring and review of the change.
- The applicant should provide a means for ensuring awareness training for all personnel, including induction and key personnel familiarisation training, will include training on significant changes.
- The process for making changes must include a means to ensure changes are incorporated into the operations manual, and should address:
 - version control
 - archiving previous versions of the operations manual
 - notifying personnel of the updates to the operations manual.
- An applicant may nominate a person or a change management committee as responsible for managing the changes. Persons responsible should be nominated in the operations manual.
- CASA must approve a change if satisfied that the applicant can continue to meet the conditions of issue for the certificate.

C3.2.2 Changes to the permanent appointment of key personnel

- An applicant's process for managing changes to the permanent appointment of key personnel must be described in an operations manual.
- The change management process should include suitable procedures for making application to CASA for approval and subsequent amendment of the operations manual, in accordance with the appropriate timeframes prescribed in regulation 141.085 of CASR. The applicant's procedures should ensure that:
 - if the applicant permanently appoints a person who has previously been authorised to carry out the responsibilities of the position, the applicant applies to CASA for approval within 7 days after making the change
 - if the applicant permanently appoints a person who has not previously been authorised to carry out the responsibilities of the position, the applicant applies to CASA for approval within 3 days after making the change.

C3.2.3 Changes that are not significant changes

- Regulation 141.025 of CASR defines certain changes as 'significant changes'. Changes not meeting that definition are referred to as 'not significant changes'. An applicant's operations manual must describe a means for identifying, managing and notifying CASA of, changes that are not significant changes.
- a) Identification**
- An applicant's change management process must include a reliable means for ensuring all proposed changes are identified, captured and classified as significant or not significant.
- b) Management**
- An applicant's operations manual must include a process for managing change, including changes that are not significant. The system must describe:
 - how changes are initiated and assessed
 - how unexpected changes are managed.

- the process for developing a case for the change
- risk assessment and planning processes, including:
 - o implementing change in an incremental manner to minimise potential adverse effects (if necessary)
 - o ensuring use of resources will not impact on operational safety
 - o ensuring communication and consultation takes place with all key stakeholders.
- preparation of a plan
- implementation of the change
- notification to CASA of a change to the operations manual
- ongoing monitoring and review of the change.
- The applicant should provide a means for ensuring awareness training for all personnel, including induction and key personnel familiarisation training, will include training regarding changes that are not significant changes.
- The applicant's change management process must include means to ensure applicable changes are incorporated into the operations manual, and should address:
 - version control
 - archiving previous versions of the operations manual
 - notifying personnel of the updates to the operations manual.
- An applicant may nominate a person or change management committee as responsible for managing the process. Persons responsible must be nominated in the operations manual.
- Under regulation 141.260(1)(s) of CASR, an applicant must have a means for advising CASA of changes that are not significant changes, together with providing a copy of the revised operations manual to CASA.

C3.2.4 Changes to name and address

- A change to the applicant's name (including any operating or trading name), contact details and operational headquarters address (if different to the mailing address) must be approved by CASA. The applicant's operations manual must include a procedure to ensure that, prior to the change taking place, the applicant:
 - amends the operations manual to reflect the changes
 - provides CASA with a written notice of the changes and a copy of the amended operations manual identifying the changes.

C3.2.5 Changes directed by CASA

- In the interests of safety, CASA may direct an operator to change their operations manual. The direction may relate to:
 - the removal, inclusion or variation of information, procedures or instructions
 - the removal of a person from a key personnel position.
- An applicant's process for managing change must include provision for changes directed by CASA. The system must provide evidence that the applicant will comply with any conditions imposed by CASA, such as time limitations.

C3.3 Fatigue Management

References



CASR: 141.260(1)(o)

Introduction

Under a revision to CAO 48, introduced in April 2013, operators and flight crew must share the responsibility to manage fatigue. The revision adopts a tiered approach to managing fatigue, ranging from prescriptive requirements, to a mix of prescriptive and managed, to a fully developed fatigue risk management system.

The tiered structure will allow operators to choose how they manage fatigue in their organisations based on their operating environment and needs. Refer to the CASA fatigue management toolkit for further information.

Things for Consideration

The following information may be of value in determining if the applicant has met the requirements of regulation 141.260(1)(o) of CASR in relation to the inclusion, in the operations manual, of a description of the way an applicant intends to manage the risk of fatigue in personnel.

C3.3.1 Fatigue management

- An operations manual must include a description of the way an applicant proposes to manage the risk of fatigue in Part 141 personnel.
- Refer to the CASA CAO 48.1 Instrument 2019 Appendices 1-6 Technical Assessor Handbook and Worksheet and CAAP 48-1 for considerations relevant to assessing the suitability of the applicant's policy for managing personnel fatigue.

C3.3.2 Fatigue risk management system manual

- If an applicant elects to employ a FRMS, an operations manual must include the applicant's fatigue risk management system manual.
- Refer to The Fatigue Risk Management Handbook for guidance in developing a fatigue risk management system manual.

C3.4 Quality System

References



CASR: 141.225(1)(r), 141.260(1)(n)(ia)

Introduction

Under Subpart 141.G an applicant must have a quality system if conducting training in flight simulation training devices. The system must ensure the correct operation and maintenance of the device.

Things for Consideration

The following information may be of value in determining if the applicant has met the requirements for a quality system.

C3.4.1 General

- If conducting training in a flight simulation training device, an applicant must have a quality system described in the operations manual.
- The chief executive officer is responsible for ensuring the operator implements and manages the quality system.

C3.4.2 Correct operation of the device

- The Part 141 head of operations is responsible for ensuring the correct operation of FSTDs.
- The system must ensure training is conducted in a planned and systematic manner, and that deficiencies in training outcomes are identified and addressed.
- The quality system must describe:
 - the approved operating procedures for the device
 - all procedures and practices for conducting training in flight simulation training devices
 - a means to ensure operating checklists for the device are permanently displayed in the pilot and instructor stations of the device
 - a procedure to ensure that, before using the device, each instructor meets the qualification requirements specified for the device. For example, an instructor using a synthetic training device must meet the qualification requirements under Operational Standards and Requirements Approved Synthetic Trainers - FSD -2.
- Correct operation of the device by instructors may be assessed as part of the annual standardisation and proficiency check for instructors.

C3.4.3 Correct maintenance of the device

- The head of operations is responsible for ensuring the correct maintenance of FSTDs.
- The quality system must describe the applicant's procedures to ensure the initial and ongoing qualification and approval of each FSTD, and should include:
 - a record of the initial qualification and approval of the FSTD

- a procedure to manage recurrent fidelity checks, including the nomination of personnel responsible for ensuring the checks are completed before due dates
- a method for recording and reporting deficiencies
- a procedure to manage known or suspected deficiencies in the realism or accuracy of the device, including the tests and calibration procedures required to establish the nature of the deficiency (the applicant may include references to other documentation such as the CASR Part 60 quality system manual for qualified flight simulators and qualified flight training devices, or the Synthetic Trainer Operations Manual (STOM) for synthetic trainers approved under CAO 45.0
- a means for determining if a deficiency will suspend the qualification or approval of the device (e.g. a minimum equipment list that includes the deficiency)
- the procedure for the requalification or re-approval of the device following relocation.

C3.4.4 Quality system inclusions

- A quality system must also include:
 - a quality policy
 - management responsibility
 - document control
 - resource allocation
 - quality procedures
 - a process for internal audit.
- The policies and processes described in a quality system will vary according to the kind of FSTDs and proposed use by the operator. A quality system must be appropriate to the size and scale of the training activities.
- Most small non-complex Part 141 operators may use only synthetic trainers as a supplement to the use of aircraft for training.

a) Quality policy

- Management's commitment to and responsibility for quality should be expressed in a series of statements in the applicant's quality policy.
- The policy should demonstrate that the quality system is endorsed at the highest level of management within the applicant's organisation.
- The quality policy should define the applicant's quality objectives for the operation and maintenance of FSTDs.
- The applicant's quality objectives for the operation of flight simulation training devices should refer to:
 - maintaining compliance with the required technical and legislative requirements
 - achieving the applicant's targets for reliability and availability of each FSTD.
- The quality policy should highlight how the applicant intends to meet the stated quality objectives.
- The applicant should demonstrate how the quality policy will be communicated to personnel.

b) Management responsibility

- The chief executive officer is responsible for ensuring the implementation and management of the quality system, and for ensuring adequate finances, resources and personnel are in place to support the quality system.
- Quality system responsibilities, accountabilities and processes should be documented in the operations manual.

c) Document control

- In relation to flight simulators, the applicant must provide verification that, in accordance with regulation 60.095 of CASR, the following documents relating to each particular FSTD shall be retained until at least 3 years after the device is decommissioned:
 - the master Qualification Test Guide (QTG)
 - modification records
 - quality system records
 - the results of all validation tests mentioned in the master QTG, and all functions and subjective tests.
- The quality system should describe the requirements for the retention of documentation such as:
 - technical logs
 - update history
 - other system records (e.g. audit schedules, quality inspection and audit reports, responses to findings, corrective and preventative action reports, follow-up and closure reports and management evaluation reports).
- The applicant must provide a means to ensure that the quality system and related documentation is up to date and made accessible to personnel involved in the operation and maintenance of FSTDs.

d) Resource allocation

- The chief executive officer is responsible for allocating sufficient resources for the proper operation of the quality system and internal audit program.
- An applicant should provide a means for ensuring that personnel who are assigned duties for managing the quality system receive training which covers:
 - an introduction to the quality system
 - quality management principles
 - audit techniques
 - reporting and recording methods
 - how the quality system supports continuous improvement within the organisation.
- The applicant must ensure that instructors are competent to conduct training in a FSTD, prior to the training being conducted.

e) Quality procedures

- The quality system must include procedures to ensure the correct operation and maintenance of the applicant's FSTDs.

- The applicant's quality system should include procedures for the day to day operation of each device. For example:
 - daily functional pre-flight checks
 - defect reporting, follow up investigation and rectification
 - notification to personnel of defects
 - the use of tracking mechanisms
 - equipment calibration, software and hardware control, and spares handling
 - monitoring compliance with the required technical standards
 - ensuring that each device is maintained in accordance with the requirements of CASR Part 60 or other relevant publications
 - ensuring that preventative maintenance is carried out in accordance with the manufacturer's published schedules
 - ensuring compliance with airworthiness directives issued for the particular aircraft being simulated
 - ensuring notifications received from the original equipment manufacturer regarding routine improvements to systems and procedural changes (e.g. manufacturer service bulletins and advisory material) are reviewed and, if necessary, incorporated into standard operating procedures and training syllabuses
 - configuration management, which ensures:
 - o the continued integrity of the equipment and software of each FSTD
 - o that each device is maintained in a configuration that accurately represents the aircraft being simulated (e.g. control of training loads, updates to visual models, navigation aids etc.).
 - ensuring the review of device modifications to determine any potential effect on the characteristics of the device
 - the conduct of validation tests and functions and subjective tests
 - monitoring compliance with the procedures of the quality system
 - reporting to CASA in relation to:
 - o changes in the characteristics of a device
 - o a significant non-compliance or major failure of a device
 - o the deactivation or relocation of a device
 - o a major safety issue associated with the installation of a device.
- The quality system may also include procedures to ensure the safety of operation of the device, including:
 - safety briefing requirements
 - actions to be taken in the event of a fire or smoke detection
 - actions to be taken in the event of electrical, mechanical, hydraulic and pneumatic hazards.
- The quality system should include procedures to produce and review performance measures, usually referred to as metrics, for monitoring FSTD reliability and serviceability. The applicant should demonstrate how these metrics will be used as a

tool for measuring the system's effectiveness against the quality objectives. Metrics may be used to track:

- FSTD availability
 - defects
 - open defects
 - defect closure rates
 - training session disruption rates
 - training session compliance rating.
- The applicant should provide a means for personnel to provide feedback in relation to the quality system and its effectiveness, and for this feedback to be reviewed and acted upon when required.

f) **Internal audit**

- To monitor and assess compliance with the procedures of the quality system, the quality system must include a process of internal audit.
- The audit process should provide confirmation that the following objectives have been met:
 - each flight simulation training device is operated and maintained to the highest standard
 - the required technical standards for each flight simulation training device are met
 - the applicant's procedures and relevant civil aviation legislation are complied with by all personnel
 - the applicant's written procedures are relevant and adequate to ensure ongoing compliance.
- The audit process described in the quality system should include:
 - a statement of the scope for each scheduled audit
 - how internal audits are to be planned, conducted and documented
 - how evidence is to be collected and analysed
 - how non-compliances are to be recorded
 - how findings are to be reported
 - how feedback is to be provided and received.
- The quality system should identify personnel within the organisation who have the training, experience, responsibility and authority for:
 - managing the internal audit program
 - carrying out internal audits at each of the applicant's training bases
 - identifying and recording any audit findings or deficiencies, and providing evidence in support of these findings or deficiencies
 - analysing the root cause of a finding or deficiency
 - developing and recommending corrective and preventative actions
 - conducting management reviews to ensure corrective and preventative actions are addressed within an acceptable timeframe.

- To support the effectiveness of the quality system, the applicant should provide a means for personnel conducting internal audits to:
 - maintain independence so as not to be subject to undue influence
 - report directly to the chief executive officer.
- The number of audits required will vary according to the size of the organisation, the number of FSTDs utilised and the scope of the authorised activities. The applicant's schedule for internal audits should ensure that all aspects of the operation are audited within a 12 month period.
- The objectives of the internal audit process should confirm:
 - whether the applicant's quality objectives remain relevant to the operation
 - compliance with the applicant's quality procedures, and the effectiveness of these procedures
 - the effectiveness of the corrective action program
 - the qualification level and technical status of each device
 - device configuration management, including airworthiness directives issued for the particular aircraft being simulated
 - completed documentation, such as validation tests mentioned in the master qualification test guide for the device
 - completed records relating to all functions and subjective tests conducted within the current (and planned) training program (or equivalent sample approved by CASA)
 - defect deferral rates
 - technical log sheets, maintenance records and configuration control records
 - the suitability of the applicant's quality documentation, such as standard forms, logs and checklists
 - the effectiveness and suitability of personnel training.
- The conduct of subjective tests (fly-outs) for each device may be included as part of the applicant's internal audit program, to assist in confirming the continued suitability of each FSTD. The applicant's procedures should ensure that, during subjective testing, the assigned instructor:
 - holds the relevant aircraft type rating
 - is current on the aircraft type
 - is familiar with the operation of the flight simulation training device.
- The quality system should ensure that, at the completion of each audit, an audit report will be prepared and retained. Audit reports should include:
 - a description of the audit findings and observations (e.g. non-compliances or change recommendations)
 - evidence in support of audit findings and observations
 - required follow up and corrective actions
 - a plan for the implementation of corrective and preventative actions
 - a schedule and timeframe for the follow up and closure of corrective and preventative actions.
- The applicant's internal audit schedule may include unscheduled audits.

- The applicant should provide a means for the head of operations to report to the chief executive officer in relation to audit findings.
- The applicant may require personnel involved in the conduct of internal audits to have received internal quality auditor training.

C3.5 Dangerous Goods Manual

References



CASR: Part 99

Introduction

CASR Part 92 prescribes the minimum safety requirements for the consignment and carriage of dangerous goods by air. If required by CASR Part 92 to have a dangerous goods manual, an applicant must include the manual in their operations manual.

Things for Consideration

The following information may be of value in determining if the applicant has met the requirements of regulation 141.260(1)(r) of CASR in relation to the inclusion of a dangerous goods manual in an operations manual.

- The applicant's dangerous goods manual may be included as a document separate to the operations manual. If separate, the manual must include:
 - the legal authority for the manual
 - a statement of relationship to the Part 141 operations manual.
- Refer to current CASA policy in relation to assessment of a dangerous goods manual against relevant legislation.

C3.6 Drug and Alcohol Management Plan

References



CASR: Part 99

Introduction

CASR Part 99 requires the development of Drug and Alcohol Management Plans (DAMPs) covering persons involved in safety sensitive aviation activities. If required by CASR Part 99 to have a drug and alcohol management plan, an applicant must include their DAMP in their application.

Things for Consideration

The following information may be of value in determining if the applicant has met the requirements of CASR Part 99 in relation to the inclusion of a DAMP in their application.

Refer to current CASA policy in relation to assessment of a DAMP against relevant legislation.

C3.7 Additional matters to be approved or prescribed

References



CASR: 141.260(1)(t)&(u)

Introduction

Regulation 141.260(1)(t) of CASR requires the applicant to include, in their operations manual, any other matter required to be approved by CASA under these regulations.

Regulation 141.260(1)(u) of CASR requires the applicant to include, in their operations manual, any matters prescribed by a legislative instrument that CASA considers to be necessary in the interest safety.

Things for Consideration

The following information may be of value in determining if the applicant has met the requirements of subregulations 141.260(1)(t) and 141.260(1)(u) of CASR.

C3.7.1 Other matters to be approved by CASA

- Matters that may require CASA approval under regulation 141.035 of CASR, include:
 - regulation 141.050 of CASR – if not holding a Part 141 certificate, a person must hold an approval under regulation 141.035 of CASR to conduct Part 141 flight training
 - regulation 141.125(1)(b) of CASR – approval to be head of operations.
- An operations manual must include a description of these matters if an approval is required.

C3.7.2 Matters prescribed under regulation 141.040

- An operations manual must include matters prescribed by a legislative instrument, as required under regulation 141.040 of CASR.
- This provision is applicable if information, in addition to that currently required under CASR Part 141, is considered by CASA to be necessary in the interest of safety.

C4 Appendices

C4.1 Other Documents

In this section of an operations manual, an applicant may include a list of other documents provided in support of the application. Other documents may include system forms or other proformas mentioned in the operations manual. If not included as appendices under this part, the other documents must be included in relevant parts of the operations manual.

Appendix 1 **Guide to CASR Part 141 Sample Operations Manual**

The Guide to CASR Part 141 Sample Operations Manual (SOM) is an appendix to this handbook. It is published with this technical assessor handbook and the CASR Part 141 SOM on the CASA website suite of manuals.

[CASR Part 141 Sample Operations Manual \(SOM\)](#)

Appendix 2 CASR Part 141 Technical Assessor Worksheet

The following Technical Assessor Worksheet is an appendix of this handbook:

[CASR Part 141 – Technical Assessor Worksheet](#)

Appendix 3 Procedures for issuing an approval under regulation 141.035 of the CASR

General Overview

References



CASR: 141.015, 141.035, 11.035, 11.040, 11.050, 11.055

Introduction

As described in regulation 141.050 of the CASR, flying training that is prescribed in regulation 141.015 of the CASR (Part 141 flying training) requires a person to hold either (a) a Part 141 certificate that authorises the person to conduct the training, or (b) an approval under regulation 141.035 to conduct the training.

The purpose of this appendix is to describe the CASA policy and procedures in relation to the issuing of an approval under regulation 141.035.

The purpose of an approval under regulation 141.035

Under normal circumstances, to conduct Part 141 flying training a person must hold a Part 141 certificate that authorises the flying training (and/or a Part 61 Instructor Rating and the relevant training endorsement). An approval under regulation 141.035 is only an efficient and appropriate alternative to a Part 141 Certificate and/or Instructor Rating during the following circumstances:

- (a) Purpose 1 - to facilitate Part 141 flying training that was not conducted routinely prior to 1 September 2014 (i.e. a new activity) and meets each of the attributes listed below, i.e. Part 141 flying training that is:
 - temporary in nature – meaning the training is reasonably unlikely to be repeated in the foreseeable future
 - short term – the training takes place during a defined and limited period
 - unique or exclusive – the training is of some specialist nature.
- (b) Purpose 2 - to facilitate the approval of Part 141 flying training that is conducted by operators who hold a flying training approval from another NAA (that CASA considers is an equivalent approval) and additionally, if CASA is satisfied the training outcomes will meet all requirements for grant of the Part 61 authorisation.

Note: For any other circumstance CASA would require the equivalent entry control process for the grant of a Part 61/141 authorisation and therefore it is appropriate a more enduring authorisation is warranted on conclusion of entry control (i.e. a Part 141 Certificate and/or a Part 61 qualification).

An approval under regulation 141.035 is also the mechanism by which CASA may approve the Head of Operations of a Part 141 flying training organisation (FTO) who does not meet the regulatory requirements of regulation 141.125(1)(a)(ii). Inspectors should refer to section C1.7 for information.

An approval for any variation of a Part 141 Certificate, (e.g. the addition of a new Part 141 flying training activity) shall be in accordance standard entry control procedures..

General Requirements for issuing an approval under regulation 141.035

For an approval under regulation 141.035 to be issued for a particular Part 141 flying training activity, the regulation that applies to the activity must specifically make reference to the holder of such an approval. (E.g. regulation 61.195(2) of the CASR).

As described by regulation 141.035 of the CASR, to issue the approval the following applies:

- (a) CASA must be satisfied with regards to regulation 11.055 of the CASR, and
- (b) As described within regulation 11.055(1B)(b) – CASA may only grant the authorisation if doing so would not be likely to have an adverse effect on the safety of air navigation.

In making this consideration regarding the effect on the safety of air navigation, amongst other things, CASA may take into account (NB: the list below is an abbreviated list only, taken from the regulations):

- the applicants experience in aviation
- the applicant’s knowledge of the regulatory requirements
- record of compliance or evidence of regulatory non-compliance
- demonstrated attitude towards compliance
- (c) Additionally, regulations 11.035, 11.040 and 11.050 of the CASR also apply to the grant of an approval under CASR 141.035. As such the below list describes common considerations that may also apply (NB: the list below is an abbreviated list only, taken from the regulations):
 - an applicant may be required to undertake an interview or test
 - an applicant may be required to provide additional information or documentation.

Specific procedures for each purpose

Anyone who held an approval for flight training under CAR Part 5 should have transitioned to a CASR Part 141 approval. These approvals should not be issued under CASR 141.035 as a substitute for a Certificate after the end of the transition period.

Purpose 1 - Instructions for issuing an approval under regulation 141.035 to facilitate short term flying training that is temporary in nature.

The circumstances surrounding the consideration of such an approval could be training that is essentially one-off, for example training in a kind of aircraft that is unique, in an activity that is conducted by a very limited number of participants, where there are limited persons qualified on the kind of aircraft, or where extremely limited demand occurs.

In addition to the general considerations of CASR 11.055, in this case the Inspector shall assess the application’s attributes listed below:

- **Experience** - The Inspector must:
 - determine that applicant has the qualifications to conduct the activity
 - review the applicant’s logbook to determine that the applicant has sufficient recent experience to conduct the proposed activity safely
- **Knowledge** - See interview or test

- **Record of compliance** - The Inspector may:
 - make enquiries to ascertain any demonstrated history or evidence of an attitude to compliance that may be relevant to the authorisation requested.
- **Information or documentation** - The Inspector must conduct a review of the documented procedures for conduct and management of Part 141 flying training. The Inspector must verify that the applicant has provided information *to satisfy compliance with regards to the following sections* of the Part 141 Technical Assessors Handbook as relevant:
 - C2.4 – suitability and qualifications of any FSTD
 - C2.5 – suitable facilities are available
 - C3.1.1 - suitable processes exist for the management of training including training plan, assessment plan and course syllabus (Part 61 Manual of Standards)
 - C3.1.6 & C3.1.7 - if solo flight is contemplated, the relevant processes as described in the Part 141 Technical Assessor Handbook
 - C3.1.9 & C3.1.10 - suitable areas for training
 - C3.1.11 - flight test recommendation / certification procedures
 - C3.1.17 – procedures for dealing with underperformance or a failed test
 - C3.1.13 - training records.

In all circumstances, the inspector shall review the application with regard to the specific training contemplated, the situation or location where it will be conducted, the kind of aircraft to be used, and the experience and qualifications of the instructor, with a view to ensuring the activity does not reduce the level of safety below what is acceptable.

- **Interview or test** - The Inspector may:
 - consider an conducting an interview to make an assessment of the person's knowledge of the regulatory requirements that are relevant to the training
 - consider conducting a Flight Instructor proficiency check for a relevant training endorsement. This will depend upon whether CASA has been involved in any of the applicant's past checking relating to the training approval that is being requested and the nature of the particular training. In this case, the test (proficiency check) shall be in accordance with the Flight Examiner Handbook.

Depending upon the nature of the approval requested, it may not be possible to carry out practical tests. In this instance the past record of the authorisation holder and the person will be taken into account when deciding to grant the approval.

The approval should have an expiry date sufficient to allow the conduct of the proposed training including some allowance for contingencies.

Purpose 2 - Instructions for issuing an approval under regulation 141.035 to facilitate approval of operators who hold equivalent NAA approvals.

In this case the Inspector shall seek guidance from the Manager Flight Testing Office upon receipt of the application.

General Procedures

Determining syllabus acceptability

A CASA Inspector is not required to observe the conduct of a proposed course of training for the purpose of issuing an approval under regulation 141.035. Where subsequently determined appropriate, any surveillance of flying training activities shall be initiated and conducted in accordance with the CASA Surveillance Manual.

Granting an approval under regulation 141.035 for the purposes of regulation 61.195(2)(b)(ii)

An approval may be granted under regulation 141.035 for the purposes of regulation 61.195(2)(b)(ii) (i.e. an approval to provide training for a licence, rating or endorsement) where the person is not the holder of the relevant training endorsement. The person should:

- have sufficient experience conducting the particular activity that the training is for
- where relevant, have completed training acceptable to CASA considering the privileges of the approval, the applicant's experience and the safety of air navigation
- meet the requirements of regulation 61.1185(4) (i.e. PMI or equivalent)
- have completed the aeronautical knowledge examination for the flight instructor rating
- have completed an assessment by CASA (or a person acceptable to CASA) that is equivalent to an instructor rating proficiency check as described in the Part 61 Manual of Standards and the Flight Examiner Handbook. This assessment shall ensure the most safety critical aspects of the training are examined.

Note: The issue of an approval under regulation 141.035 for the purposes of regulation 61.195(2)(b)(ii) is not standard practice and should be applied where circumstances restrict the Part 141 flying training being conducted by the holder of the relevant training endorsement.

Note: The expiry date shall reflect the duration of the flying training activity given the activity is unique and of a short term nature.

Assessment documentation requirements

The documentation listed below is mandatory for all applications and assessments of an approval under regulation 141.035 and shall be stored in RM8.

- If not already captured by Client Service Centre, the application
- Supporting documentation providing evidence of experience, knowledge, records of compliance, information and documentation and records of interview or test

An application for an approval under regulation 141.035 may be in the form of an email setting out the matters required in this appendix.

Issue of Approval

A person holding the appropriate delegation may issue the approval using the standard template after meeting any peer review requirements.