Australian Government
Civil Aviation Safety Authority

Air Operator's Certificate Process Manual

July 2025

Acknowledgement of Country

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

Artwork: James Baban.

This document becomes an uncontrolled document when printed. Refer to the CASA website for the current version.

This document contains guidance material intended to assist CASA officers, delegates and the aviation industry in understanding the operation of the aviation legislation. However, you should not rely on this document as a legal reference. Refer to the civil aviation legislation including the *Civil Aviation Act 1988* (Cth), its related regulations and any other legislative instruments—to ascertain the requirements of, and the obligations imposed by or under, the law.

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References

Acronyms

The acronyms and abbreviations used in this manual are listed in the table below.

Table 1.   Acronyms

Acronym and abbreviation	Description
ANTR	Air Navigation, Transformation and Risk
AOC	Air Operator's Certificate
AWI	Airworthiness Inspector
CAA	*Civil Aviation Act 1988*
CAAP	Civil Aviation Advisory Publication
CAO	Civil Aviation Order
CAR	*Civil Aviation Regulations 1988*
CASA	Civil Aviation Safety Authority
CASR	*Civil Aviation Safety Regulations 1998*
ECC	Entry Control Co-ordination
NM	National Manager
ROD	Regulatory Oversight Division
RSB	Regulatory Services Branch
RSM	Regulatory Services Manager
RSO	Regulatory Services Officer
SMS	Safety management system
SPL	Special Purpose Lane

Definitions

Terms that have specific meaning within this manual are defined in the table below.

Table 2.   Definitions

Term	Definition
air operator's certificate	Also referred to in this manual as AOC. Under section 27 of the *Civil Aviation Act 1988,* an AOC is a permission issued by CASA allowing a person, or a body with legal personality, to conduct activities such as Air Transport and Aerial Application activities. Consequently, operating these activities without an AOC is illegal and is punishable by law.
AOC operator	A legal entity (a natural person or a body with legal personality) who holds an Air Operator's Certificate.

Term	Definition
Applicant	A legal entity (a person or organisation) applying for an Air Operator's Certificate.
Application	This refers to the application for an Air Operator's Certificate and all supporting documentation sent to CASA.
Civil Aviation Act 1988	Also referred to as 'The Act' in this manual.
Civil Aviation Advisory Publications	Also referred to in this Manual as CAAP. CAAPs are advisory in nature and provide guidance and information in a designated subject area or show a method acceptable to an authorised person or CASA for complying with a related Civil Aviation Regulation. CAAPs should always be read in conjunction with the referenced regulations.
CASA delegate	A CASA officer who has the authority to make all decisions to issue, vary, refuse, suspend or cancel an Air Operator's Certificate under section 28 of the *Civil Aviation Act 1988.*
CASA inspector	A CASA officer who conducts the assessment to ensure that the applicant has satisfactorily met the requirements set by legislation for the issue of an air operator's certificate
CASA operations	Within the process maps, references to CASA operations refer to the regulatory services staff and members of the project team who undertake assessment and related activities.
CASE manager	The CASE manager is responsible for managing the overall assessment process and in particular the coordination of the project team members in the *Assessment Phase*. The CASE manager is also responsible for monitoring and reviewing the progress of the assessment including the assessment cost.
CASA project team	This is a group of CASA staff responsible for assessing an application for an AOC. The size of the CASA Project Team is determined by the scope and complexity of the AOC application. In some cases, the team could be comprised of only one CASA Inspector.
CASA office	Relevant CASA Managers with responsibility for effective management of their team located at a CASA office, ensuring that they achieve required performance through standardisation of operations, consistent application of processes and efficient use of resources.
CASA team leader	A CASA officer who is responsible for task allocations, resource management and consistent application of processes within their team. The Team Leader liaises with CASE Managers and the relevant CASA Manager to ensure adequate resources are available for assessments.
entry control coordination	CASA's single point of contact for regulatory services. ECC processes applications, provides information to Applicants and receives payments. It registers tracks and monitors compliance with service delivery standards.
estimate of costs	Also referred to as 'estimate' in this manual.
exposition	Refers to the operators document suite however so named. This includes titles such as Operations Manuals or may include a suite of subsidiary manuals.
initial issue	The first issue of an AOC to a particular applicant.
ROD national manager	Reporting to the Executive Manager, Regulatory Oversight Division, relevant ROD National Managers with oversight of Regulatory Services Managers within the Regulatory Services Branch. (Note: ROD also has National Managers that do not oversight Regulatory Services Managers).

Term	Definition
Regulatory services manager	Reporting to the relevant National Manager, , the Regulatory Services Manager ensures that the local assessment team achieves standardisation through the consistent application of processes and efficient use of resources.
Regulatory services officer	A staff member working in the entry control co-ordination section.
Renewal of an AOC or subsequent issue of an AOC	The issue of an AOC: • to the holder of an expiring AOC • which contains no changes to the authorisations of the expiring AOC.
Variations/significant changes	The approval of changes to an AOC applied for either: • with a request for subsequent issue of an expiring AOC • in a request unrelated to AOC expiry.

Revision history

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

Table 3.   Revision history

Version number	Date	Parts and sections	Details
2.1	July 2025	All	Template update and administrative changes including organisational update
2.0	May 2023	All	Minor organisational updates
1.1	November 2016	All	Formatted into new template
1.0	October 2012	All	First issue

Introduction

Purpose

The purpose of this manual is to provide CASA staff and industry with a national standard procedure for processing an issue, variation, renewal, or cancellation of an Air Operator's Certificate (AOC) including its subordinate permissions.

By adhering to the work steps outlined in this manual, a standard approach consistent with regulatory requirements will be created and maintained when issuing, varying, renewing, or cancelling an AOC.

Scope of the manual

This manual sets out the process to issue, change, renew or cancel an Air Operator's Certificate (AOC) for the following activities:

CASR Part 119 Air Transport Operations including,

- Part 121 Larger Aeroplane Air Transport,

- Part 133 Rotorcraft Air Transport, and

- Part 135 Smaller Aeroplane Air Transport.

CASR Part 137 - Aerial Application Operations (Aeroplane only)

The manual covers the process from Enquiry Phase to Certificate Issue.

Where to start

What do you want to do?

Apply for an Initial AOC

- If yes go to *1.1 Enquiry.*

Vary your existing AOC

- If yes go to *1.1 Enquiry.*

Renew your existing AOC

- If yes go to *1.2 Application.*

Cancel your AOC

- If yes go to *2 Cancelling an Air Operator's Certificate.*

Apply for other AOC-related CASA Approvals and Exemptions

- If yes go to *3 Other AOC-related CASA Approvals and Exemptions.*

How to use this manual

This manual describes the high-level processes relating to the Air Operator's Certificate. To understand the rationale behind the processes described in this manual, the reader must refer to the relevant Protocol documents and the relevant AOC Application Forms.

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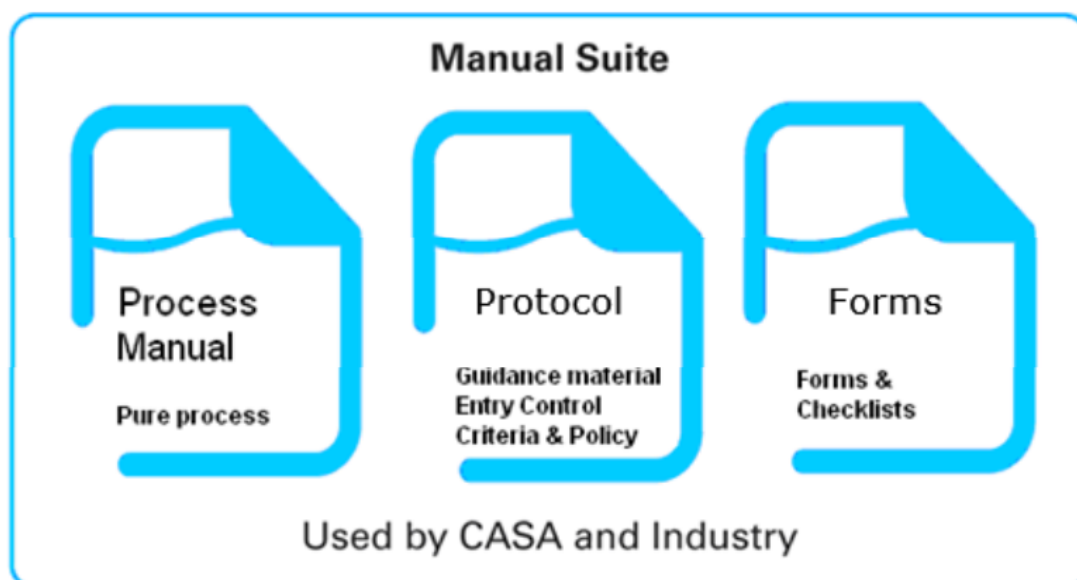
Figure 1.   air operator certificate protocol suite and associated process manual

Manual structure

The sections in the Manual outlining the AOC processes contain the following:

Overview	Describes what information the section covers
Purpose	Explains why the process is necessary
Context	Describes the context of the process [and outcomes] with regard to regulations
References	Lists any CASA information either related or being referred to by the section
Process map	Visually describes the flow of activities of a process, may also refer to sub or other processes
Process steps	Identifies the workflow steps contained in the activities shown in the process maps.

Manual legend

The following manual legend provides a brief description of the types of process shapes used in the process maps.

Process Map legend

	Role - used to show the group responsible for the actions detailed in the process steps
	Process step - used to show action oriented steps in the process workflow
	Drill down process step - used to show that a lower level process flow chart exists
	Decision box - used when a decision exists in the process work-flow, resulting in two or more alternative courses of action
	Proceed to box - used to indicate when you need to move to another process map
	Participant box - used to indicate when the applicant is to participate in a process
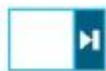
Figure 2.   process map legend

1 Air Operator's Certification Process

Overview of the AOC process

The AOC certification process contains four phases:

1. Enquiry
2. Application
3. Assessment
4. Certification.

This manual describes each phase using process maps. Where applicable complex process steps are broken down further (green boxes).
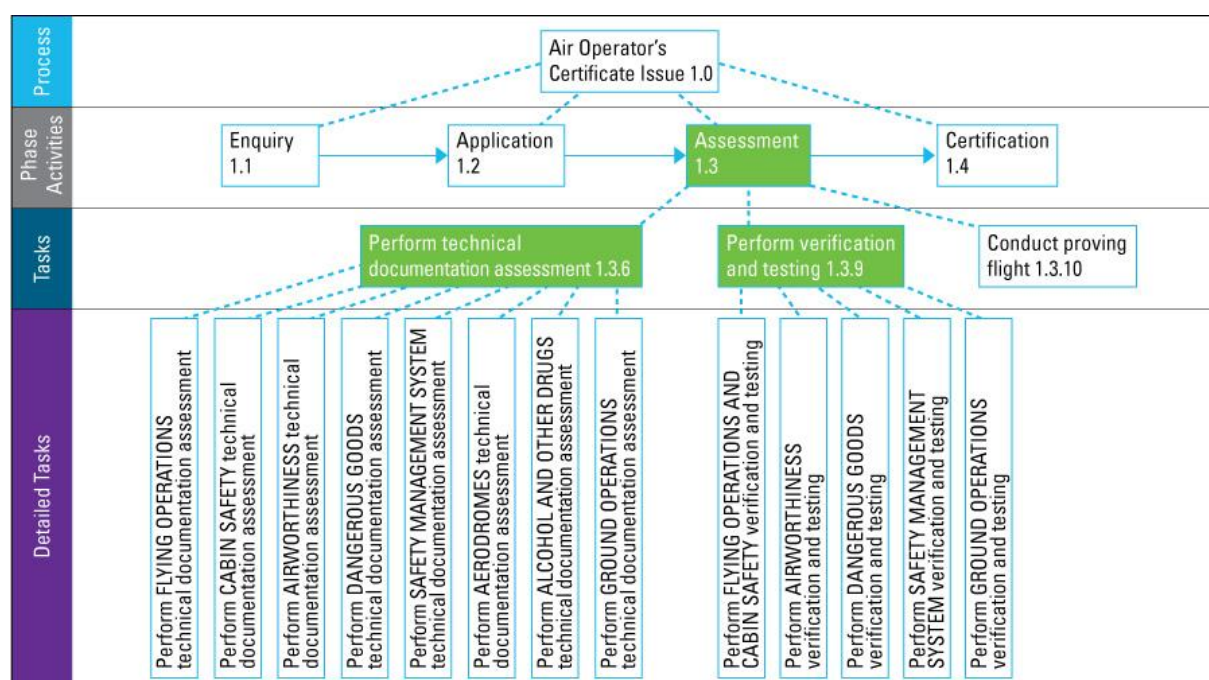
Figure 3. AOC process hierarchy

The AOC process covers the following scenarios:

- Initial issue of an Air Operator's Certificate (also referred to in this Manual as 'initial issue')

- Subsequent issue with no changes (also referred to in this Manual as 'renewal')

- Changing an AOC (also referred to as a 'variation' or 'significant change').

1.1 Enquiry

Purpose

The *Enquiry Phase* provides applicants with information on the steps necessary to apply for an Air Operator's Certificate.

It also:

- enables applicants to view all the information they require for their application for an Air Operator's Certificate

- directs where an Applicant can find the relevant AOC application form, which is needed to apply for an Air Operator's Certificate.

Content

Section 27 of the [Civil Aviation Act 1988](#) (the Act) states, among other things, that an AOC is required for certain activities including Air Transport operations) for aircraft flying into, or out of, Australian territory; or aircraft flying in Australian territory; or Australian aircraft flying outside Australian territory.

The *Enquiry Phase* is an opportunity to educate and guide applicants in submitting a quality application and supporting documentation, thus reducing the quality assurance effort necessary in the *Application Phase.*

References

The following guidance material is applicable to this section:

Protocols

AOC Application Form
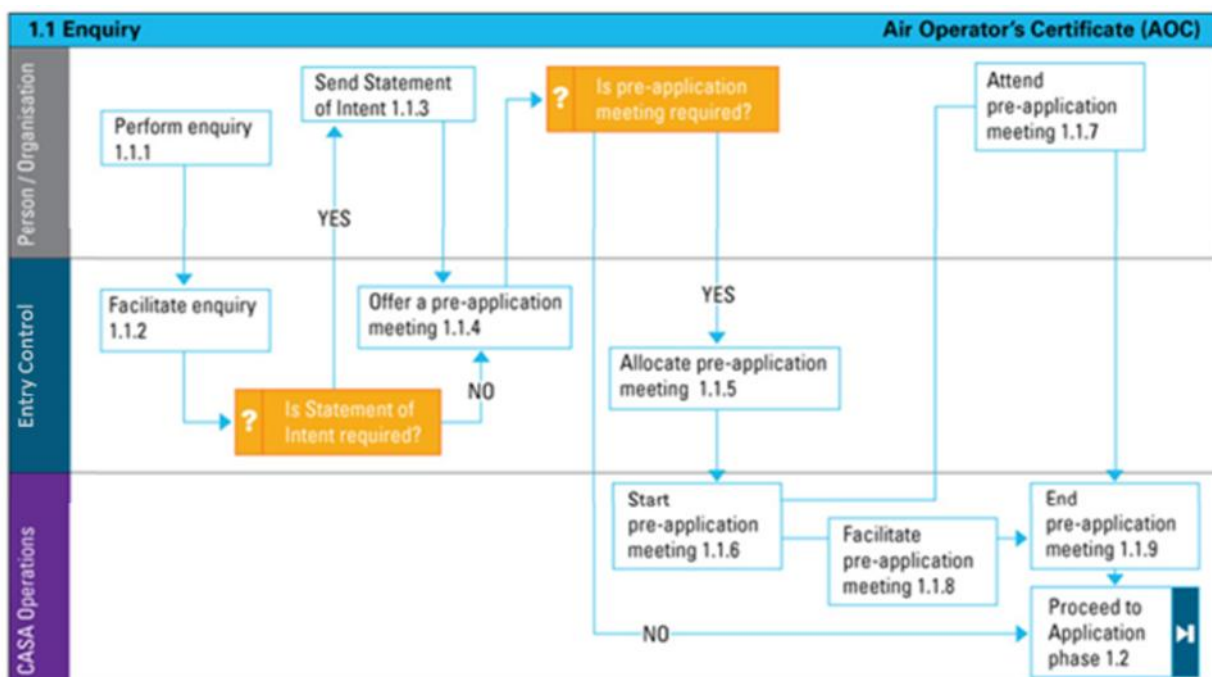
Process map

Figure 4.   Level 1.1 – enquiry process map

Process steps

1.1.1   Perform enquiry

The Applicant will:

1.   Make initial contact with ECC in regard to applying for an AOC.

2.   Go to *1.1.2 Facilitate enquiry*.

1.1.2   Facilitate enquiry

ECC will:

1.   Offer non-technical advice as required.

2.   Direct the Applicant to relevant forms and guidance material.

3.   Advise Local State Regulatory Services Manager (RSM) of the enquiry and handover.

1.1.3   Offer pre-application meeting

RSB will:

1. Determine whether a pre-application meeting is required based on the information that has been received from the Applicant.

2. Recommend a pre-application meeting if the Applicant is unsure or the application appears complex.

> **Note:**
>
> A pre-application meeting is required for an initial issue of any AOC or for the addition of complex operations.
>
> CASA or the Applicant may request a pre-application meeting for other application types.
>
> No pre-application meeting is necessary for an application to renew an expiring AOC or certain applications to vary an AOC. *Protocols*

Is a pre-application meeting required?

CASA advises the Applicant if a pre-application meeting is required.

- If no proceed to *1.2 Application.*
- If yes go to *1.1.4 Allocate pre-application meeting.*

1.1.4   Allocate pre-application meeting

The RSM will:

1. Review the details of any information submitted by the Applicant.

2. Identify the scope of the pre-application meeting,

3. If applicable nominate a CASE Manager for the task.

4. Request a dedicated RSO to attend, take Minutes and create an RMS file.

5. Advise the relevant National Manager (NM), of the intended application.

> **Note:**
>
> Dependent on the size, scope, complexity of the intended application, for some operators the NM will be involved in arranging, scheduling and conduct of the pre-application meeting.

The CASE Manager will:

1. 1.Schedule the pre-application meeting with the applicant.

2. Advise the Applicant of the date and time.

3. The CASE Manager will Chair and conduct the meeting together with any technical stream leads. The NM and RSM may also attend as required.

4. Go to *1.1.6 Start pre-application meeting*.

1.1.5   Start pre-application meeting

The CASE Manager will:

1. Prepare any guidance material to be provided to the Applicant.

2. Advise the Applicant on any information they need to provide for the pre-application meeting.

3. Go to *1.1.6 Attend pre-application meeting.*

1.1.6   Attend pre-application meeting

The Applicant must:

1. Prepare any information required by CASA for the pre-application meeting but will be advised to provide a DRAFT timeline/project plan as a minimum.

2. Prepare questions on any areas of the certification process where clarification is required.

3. Attend the meeting.

4. Go to *1.1.7 Facilitate pre-application meeting*.

1.1.7   Facilitate pre-application meeting

The CASE Manager will:

1. Conduct the meeting.

2. Ensure the Applicant understands the requirements of the application process

3. Provide an appreciation of the certification process that will ensue and provide realistic timeframes.

4. Ensure that the applicant understands that an application will not be accepted without the exposition, manuals, identified subordinate approvals and exemptions, project plan and forms required for the application. Clarify that applications are required to be 'full, complete and appropriate' or they will be refused pending a complete application being received.

5. Discuss methods to submit large size document including use of methods such as 'ShareFile' if required.

6. Ensure that the RSO takes minutes of the pre-application meeting.

7. Go to *1.1.8 End pre-application meeting*.

1.1.8   End pre-application meeting

The RSO will:

1. Prepare and finalise minutes of the pre-application meeting.

2. Distribute the minutes to all attendees.

3. Keep a record of the minutes on the applicant's file.

4. Co-ordinate any subsequent pre-application meetings with applicant prior to formal application submission.

5. If required, provide a ShareFile link to the applicant to accommodate large size documents

6. Proceed to *1.2 Application*.

1.2   Application

Purpose

The purpose of the Application Phase is to:

*   assess a submitted application for completeness and administrative correctness, including checking supporting documentation such as exposition and key personnel list have been included in the application

*   create an estimate based on the application requirements

*   allocate the application to the appropriate RSM or CASE Manager for assessment.

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Context

To be granted an AOC, a person or organisation must submit an application for an AOC in a form approved by CASA (Section 27AA of the Act) and if required, submit documentation including manuals and other information, in writing, required by CASA to consider the application.

CASA may refuse to consider an application, or to consider it further, until the Applicant complies with all the requirements (Section 27AF of the Act).

The *Civil Aviation (Fees) Regulations 1995* has prescribed a fee payable at an hourly rate to be paid for the processing and issue of an AOC. The process to estimate the cost is described in this *Application Phase*. CASA is under no obligation to assess the application until the prescribed fee is paid by the Applicant (Section 97 of the Act).

Centralised project process

1. An application will not be accepted without the exposition, manuals, list of requested subordinate approvals, any requested exemptions, project plan and forms required for the application. Applications are required to be 'full, complete and appropriate' or will be refused pending a complete application being received.

2. Once pre-application discussions are complete and the applicant has advised their readiness to submit a full and complete application, a submission will be required. This may require the provision of a Share File link by CASA to the applicant to accommodate large file size documents.

3. The formal submission will be received by ECC and the RSM/CASE Manager and will be reviewed for completeness.

References

The following guidance material is applicable to this section:

Protocols

AOC Application Form
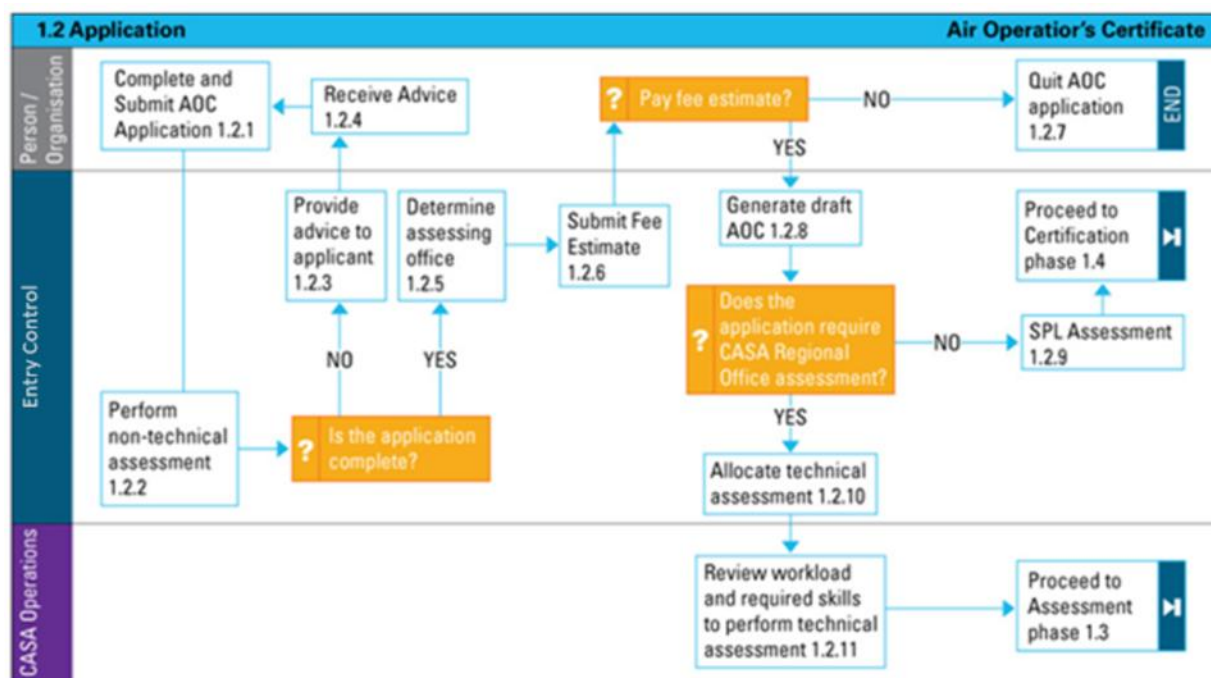
Process map

Figure 5.   Level 1.2 – application process map

Process steps

1.2.1   Complete and submit AOC application

The Applicant must:

1.   Complete the relevant AOC Application Form.

2.   Provide all required supporting documentation including

   a.   Completed application form

   b.   Complete exposition

   c.   Project/Change Management plan, and

   d.   List of requested approvals and/or Exemptions if applicable.

3.   Send the signed AOC Application Form, together with all required supporting documentation, to ECC.

4.   Go to *1.2.2 Perform non-technical assessment*.

1.2.2   Perform non-technical assessment

ECC will:

1.   Receive the application and supporting documentation and acknowledge receipt via email.

2.   Review the application for completeness.

3.   Forward the application to the nominated RSM or CASE Manager.

Is the Application complete?

Applications for initial issue AOC or significant change variations are not considered complete without the relevant application form, Complete Exposition, Project/Change Management Plan, and a list of required approvals/exemptions as applicable.

RSM or CASE Manager will ensure the application form is complete and correct.

- If no go to *1.2.3 Provide advice to Applicant*.
- If yes go to *1.2.5 Establish the project team*.

1.2.3   Provide advice to Applicant

ECC will:

1. Obtain written advice from the RSM/CASE Manager on any deficiencies in the submission.
2. Provide the written advice to the Applicant regarding the deficiencies and request the Applicant addresses the deficiencies before the next submission is made.
3. Go to *1.2.4 Receive advice*.

1.2.4   Receive advice

The Applicant will:

1. Provide required information to CASA if they wish to continue with their application.
2. Go to *1.2.1 Complete and Submit AOC Application*.

1.2.5   Establish the project team

The RSM or CASE Manager will establish the project team by selecting the following personnel:

1. FOI Stream Lead (if required),
2. AWI Stream Lead (if required)
3. Inspectors from the national pool based on required expertise and availability.
4. RSO
5. Go to *1.2.6 Formal acceptance meeting*.

Responsibilities

The NM is responsible for ensuring that issues are escalated when necessary.

The CASE Manager is responsible for managing the customer relationship including:

- meetings,
- progress reporting to the NM (Senior Manager) and EM.

The FOI Stream Lead is responsible for:

- Managing the flight operations tasks including exemptions and approvals, peer review, and quality control and assurance.
- Co-ordinating the team FOI's and assisting with the assessment tasks.

The AWI Stream Lead is responsible for:

- Managing the airworthiness tasks including exemptions and approvals, peer review, and quality control and assurance.
- Co-ordinating the team AWIs and assisting with the assessment tasks.

The Regulatory Services Officer (RSO) is responsible for:

- Managing EAP CASE tasks in the relevant CASA system,

- Managing the estimate process, and

- Updating files in RMS.

1.2.6   Formal acceptance meeting

The RSM or CASE Manager will:

1. Arrange a Formal Acceptance meeting with the applicant to discuss the details of the full application and to provide CASA's acceptance of the submission. The applicants list of approvals will be discussed in this meeting to ensure that the applicant has capturing all items necessary in order for CASA to provide an estimate.

2. Go to *1.2.7 Submit fee estimate*.

1.2.7   Submit fee estimate

The RSM or CASE Manager will:

1. Create an estimate with input from the project team including stream leads and nominated inspectors

2. Ensure that estimates in excess of $10,000 are itemised for the applicant.

3. Ensure that Regular Project Meetings are built into the estimate.

4. Provide that estimate to the RSO.

The RSO will:

1. Send an estimate letter to the Applicant. The estimate letter will include the estimate amount and, if applicable a list of further documentation required.

> **Note:**
>
> Though under no obligation to do so, ECC sends a reminder letter at a pre-determined period to all AOC holders with expiring AOCs. The reminder letter includes an application form pre-completed with the AOC holder's details and advice on the costs to renew the AOC. If a reminder letter has been sent, this work step is not required for AOC renewals with no change.

Pay fee estimate?

For the process to continue, the Applicant must pay the estimate AND provide any further documentation required by CASA.

- If no go to *1.2.8 Quit AOC application.*

- If yes go to *1.2.9 Generate draft AOC.*

1.2.8   Quit AOC application

ECC will:

1. Cancel the estimate and application if the Applicant has not made any payment and/or submitted requested documents unless an extension has been issued.

2. End AOC Process.

The Applicant may:

1. Withdraw the application.

> **Note:**
>
> The Applicant must withdraw the application in writing.

1.2.9   Generate draft AOC

ECC will:

1. Receive receipt of payment from Accounts Receivable.
2. Review additional information supplied by the Applicant.
3. Draft the AOC.

> **Note:**
>
> Unless otherwise indicated by the RSM, these simple changes to an AOC may be processed by use of the SPL assessment:
>
> - changing, adding or deleting a trading name
> - removing an authorisation
> - removing a location
> - cancellations of certificates at the holder's request
> - renewal of AOCs.
>
> For applications to be processed by ECC, advice will be sought from the assessing inspector on any issues that may prevent the delegate from issuing the certificate.

Does the application require Regulatory Services assessment?

ECC will determine the relevant RSM to assess the application.

- If no go to *1.2.10 SPL assessment.*
- If yes go to *1.2.11 Allocate technical assessment.*

1.2.10   SPL assessment

ECC will:

1. Assess the change to the AOC including:
   a. changing, adding or deleting a trading name
   b. removing an authorisation
   c. renewal of AOCs.
2. Go to *1.4 Certification*.

1.2.11   Allocate technical assessment

ECC will:

1. Review the job descriptions and application in CASE jobs
2. Allocate the job to the RSM.
3. Go to *1.2.12 Review workload and required skills to perform technical assessment*.

1.2.12 Review workload and required skills to perform technical assessment

The RSM will:

1. Accept the job and allocate a CASE manager or inspector as required.

2. Determine if the Regulatory Services Team has the resources to assess the application.

3. Proceed to *1.3 Assessment*.

1.3 Assessment

Purpose

The purpose of the Assessment Phase is to:

- establish whether the operations proposed in the AOC application meet the safety and regulatory requirements for the issue of an Air Operator's Certificate

- verify all the evidence provided by the Applicant to support their application.

Context

CASA can only issue an AOC if it is satisfied the Applicant has complied with, or is capable of complying with, the provisions of the *Civil Aviation Act 1988* (the Act), *Civil Aviation Regulations 1988* (CAR), *Civil Aviation Safety Regulations 1998* (CASR), *Civil Aviation Orders* (CAOs) and the Manuals of Standards (MOS)that relate to safety (Section 28 of the Act). This includes, but is not limited to:

- the suitability of the organisation to safely conduct the activities authorised by the AOC

- the qualifications and competence of its personnel

- sufficient facilities

- suitability of procedures and practices to control the organisation to enable the AOC operations to be conducted safely.

References

The following guidance material is applicable to this section:

Protocols

AOC Application Form
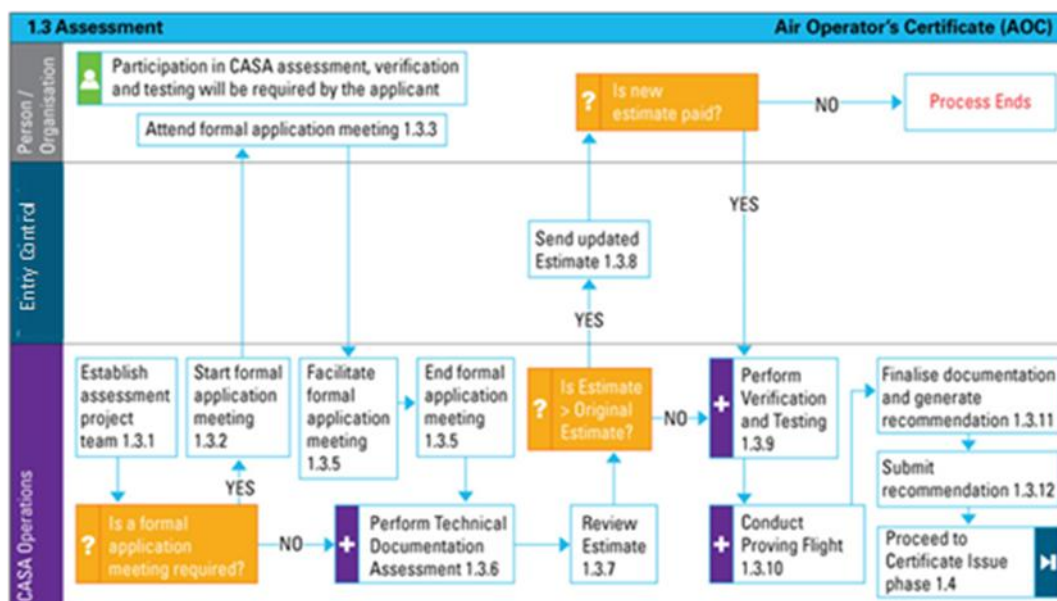
Process map

Figure 6. **Level 1.3 – assessment process map**

Process steps

1.3.1 Establish assessment project team

The relevant ROD NM must ensure:

1. A CASE manager is appointed.

2. The CASE Manager must:

   a. assemble staff required to assess the application.

> **Note:**
>
> The CASA Project Team may have already been established at the *Enquiry Phase* to conduct the pre-application meeting.

The Applicant must:

1. Prepare a project plan and submit to CASA.

The CASA Project Team will:

1. Create a project plan.

2. Advise ECC of the assessment schedule.

> **Note:**
>
> The Applicant will be required to participate during the assessment.

Protocols

Is a formal application meeting required?

The CASE Manage will determine whether a formal application meeting is required based on the scope of the proposed operation. They will liaise with the Applicant to determine if they wish to have a formal application meeting.

- If no go to *1.3.6 Perform technical documentation assessment.*
- If yes go to *1.3.2 Start formal application meeting.*

1.3.2   Start formal application meeting

The CASE Manager must:

1. Arrange a suitable time and location for the formal application meeting with the Applicant.
2. Provide the Applicant with a draft agenda for the formal application meeting.
3. Provide the Applicant with a list of documentation required for the formal application meeting.
4. Go to *1.3.3 Attend formal application meeting*.

1.3.3   Attend formal application meeting

The Applicant must:

1. Attend the formal application meeting.
2. Confirm the Applicant's Project Plan.
3. Ensure all necessary documentation as stipulated by CASA is brought to the meeting.
4. Discuss scope and complexity of the proposed operation.
5. Go to *1.3.4 Facilitate formal application meeting*.

1.3.4   Facilitate formal application meeting

The CASA Project Team will:

1. Facilitate the formal application meeting, in accordance with the set agenda and required documentation.
2. Review the Project Plan and discuss with the Applicant.
3. Go to *1.3.5 End formal application meeting*.

1.3.5   End formal application meeting

The CASA Project Team will:

1. Close the formal application meeting.
2. Advise the Applicant of the final Project Plan and any action items.
3. Confirm the assessment schedule with ECC.
4. Proceed to *1.3.6 Perform technical documentation assessment*.

1.3.6   Perform technical documentation assessment

Purpose

This phase establishes whether the documentation provided by the Applicant is complete and suitable for the proposed operations and meets the safety and legislative requirements applicable to the operations proposed in the AOC application.

Context

CASA can only issue an AOC if it is satisfied with the suitability of the application and information provided in the exposition and all other supporting documentation.

All documentation is assessed for suitability and mandatory content before an AOC can be issued. Relevant documents and manuals must be evaluated before Verification and Testing can begin.

Under subsection 27AC(1)(c) of the Act, CASA may request information or documents that it reasonably requires to properly consider the application. Section 28(1)(b)(vi) of the Act states that the delegate must be satisfied that 'the organisation has suitable procedures and practices to ensure that operations can be conducted safely'.

References

The following guidance material is applicable to this section:

Protocols

AOC Application Form

Process map

Figure 7.   Level 1.3.6 – technical documentation assessment process map

Process steps

1.3.6.1   Start technical documentation assessment

The CASA Project Team member must:

1. Gather all documents required for the technical documentation assessment and conduct the following technical documentation assessments:

> **Note:**
>
> These assessments can be done in any order as long as ALL the processes are completed.

Flying Operations	Proceed to: *1.3.6.2 Perform flying operations technical documentation assessment*
Cabin Safety	Proceed to: *1.3.6.3 Perform cabin safety technical documentation assessment*
Airworthiness	Proceed to: *1.3.6.4 Perform airworthiness technical documentation assessment*
Dangerous Goods	Proceed to: *1.3.6.5 Perform dangerous goods technical documentation assessment*
Perform Safety Management System	Proceed to: *1.3.6.6 Perform safety management system technical documentation assessment*
Aerodromes	Proceed to: *1.3.6.7 Perform aerodromes technical documentation assessment*
Alcohol and Other Drugs	Proceed to: *1.3.6.8 Perform alcohol and other drugs technical documentation assessment*
Ground Operations	Proceed to: *1.3.6.9 Perform ground operations technical documentation assessment*

Is the documentation satisfactory?

The CASA Project Team Member must ensure the quality and completeness of all documentation is satisfactory.

- If no go to *1.3.6.10 Provide advice to Applicant.*

- If yes go to *1.3 Assessment (step 1.3.7).*

1.3.6.2   Perform flying operations technical documentation assessment

Purpose

The purpose of this phase is to assess if:

- the exposition addresses all items necessary to ensure operations can be conducted safely

- all matters required to be addressed have been included, and the procedures and practices described in the manual comply with the various legislative requirements

- anything written within the exposition conflicts with material in the Flight Manual

- Key Personnel have the appropriate qualifications, history and capability.

Context

Section 28(1)(b)(vi) of the Act specifies that the delegate must be satisfied the organisation has suitable procedures and practices to ensure the proposed operations can be conducted or carried out safely.

Section 28 of the Act requires that an AOC be issued only if CASA is satisfied that the key personnel in the organisation have appropriate experience in air operations. The four 'key personnel' are described in the Act. They are the Chief Executive Officer, Head of Flying Operations, Head of Training and Checking Organisation and Safety Manager.

References

The following guidance material is applicable to this section:

Protocols

AOC Application Form
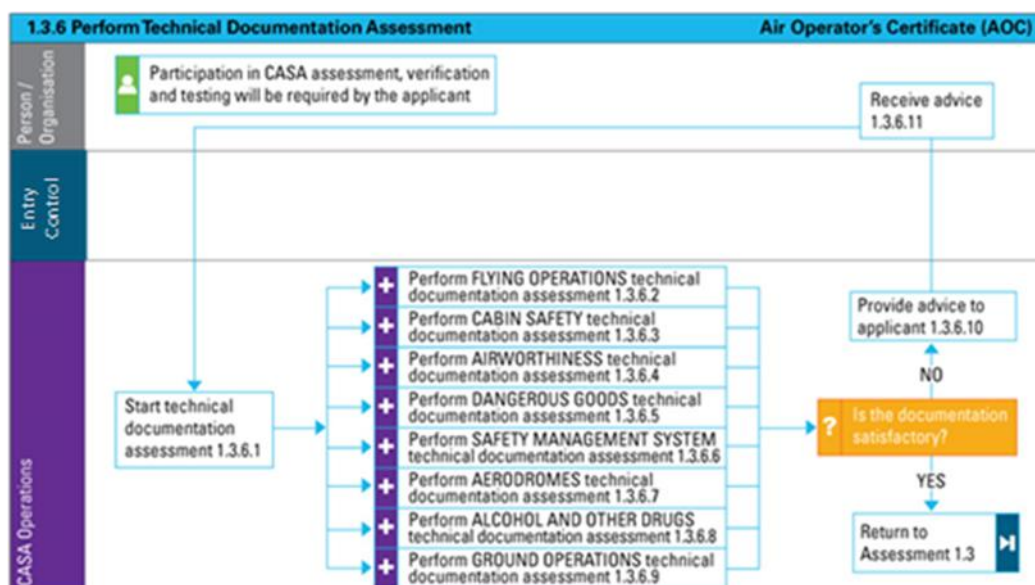
Process map

Figure 8.   Level 1.3.6.2 – flying operations technical documentation assessment process map

Process steps

1.3.6.2.1   Start technical documentation assessment

The CASA Project Team Member must:

1.   Gather all documents required for the technical documentation assessment.

2.   Go to *1.3.6.2.2 Assess documentation.*

1.3.6.2.2   Assess documentation

The CASA Project Team Member must:

1.   Assess compliance statement.

2.   Assess exposition.

3.   Assess flight manual.

4.   Assess other information required to support the application.

Protocols

Is the documentation satisfactory?

The CASA Project Team Member will:

- Appraise the Flying Operations sections of the exposition, together with supporting documentation as a complete package.
- Determine if flying operations technical documentation is satisfactory based on completed checklists.
- If no go to *1.3.6.2.3 Provide advice to Applicant.*
- If yes go to *1.3.6.2.5 Assess key personnel.*

1.3.6.2.3   Provide advice to Applicant

The CASA Project Team Member must:

1. Liaise with the Applicant to address any deficiencies that have been found. Deficiencies must be confirmed to the Applicant in writing.
2. Go to *1.3.6.2.4 Respond to CASA.*

1.3.6.2.4   Respond to CASA

The Applicant will:

1. Address the deficiencies cited by CASA.
2. Provide required documentation or advice to CASA in a timely manner.
3. Go to *1.3.6.2.2 Assess documentation*.

1.3.6.2.5   Assess key personnel

The CASA Project Team Member will:

1. Review and assess the organisational structure, the positions and responsibilities of personnel within the organisation against the proposed scope of operations.
2. Assess qualifications, history and capability of the Chief Executive Officer.
3. Assess qualifications, history and capability of the Head of Flying Operations.
4. Assess qualifications, history and capability of the Head of Training and Checking.
5. Assess qualifications, history and capability of any other required personnel.

Protocols

Are the assessment criteria met?

The CASA Project Team Member will determine if the Chief Executive Officer, Head of Flying Operations, Head of Training and Checking and any other personnel satisfy the documentation assessment criteria.

1. If no go to *1.3.6.2.6 Provide advice to Applicant*.
2. If yes return to *1.3.6 Perform technical documentation assessment (step 1.3.6.3).*

1.3.6.2.6   Provide advice to Applicant

The CASA Project Team Member must:

1. Liaise with the Applicant to address any deficiencies that have been found. Deficiencies must be confirmed to the Applicant in writing.

2. Go to *1.3.6.2.7 Respond to CASA*.

1.3.6.2.7   Respond to CASA

The Applicant will:

1. Address the deficiencies cited by CASA.

2. Provide required documentation or advice to CASA in a timely manner.

3. Go to *1.3.6.2.5 Assess key personnel*.

1.3.6.3   Perform cabin safety technical documentation assessment

Purpose

The purpose of this phase is to assess if:

- the cabin safety documentation submitted to support the application addresses all items necessary to ensure operations can be conducted safely

- Cabin Safety personnel have the appropriate qualifications, history and capability.

Context

Part 119 of CASR requires the Exposition to contain all instructions and necessary information for cabin crew to perform their duties. An operator should ensure that all personnel assigned to, or directly involved in, ground and flight operations:

- are properly instructed

- have demonstrated their abilities in their duties

- are aware of their responsibilities and the relationship of such duties to the operation as a whole.

References

The following guidance material is applicable to this section:

Protocols

Protocol Worksheets
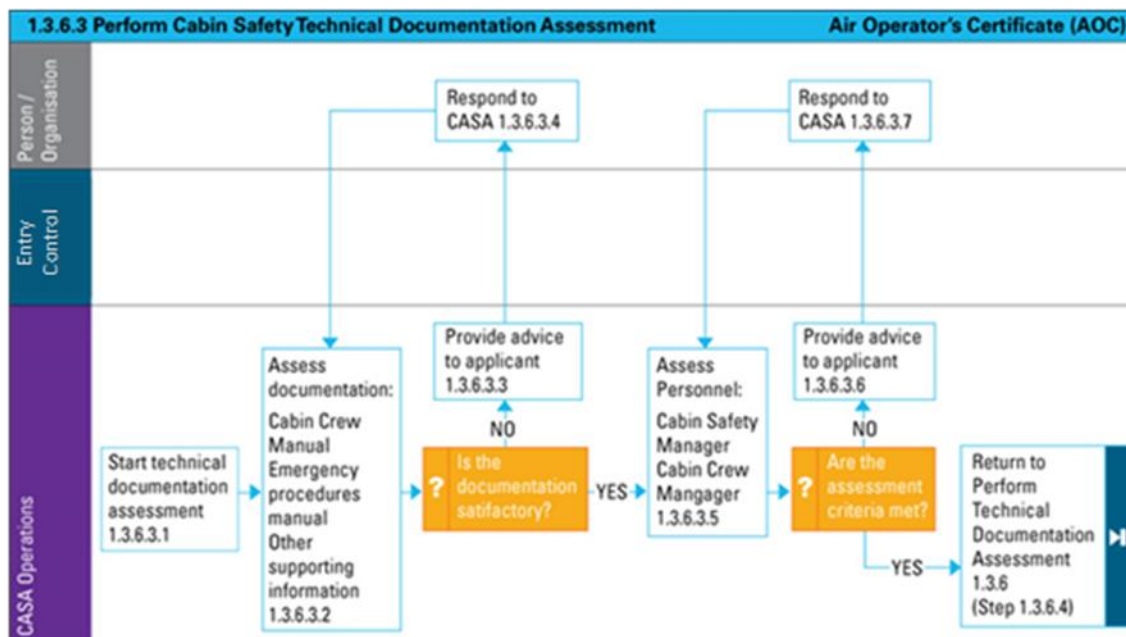
Process map

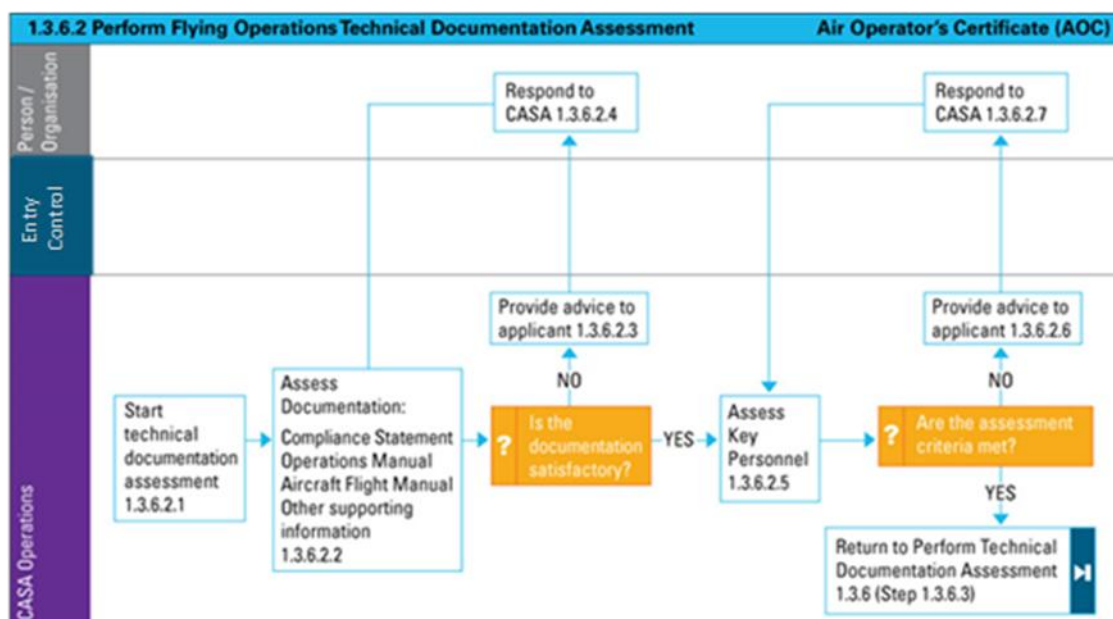**Figure 9.   Level 1.3.6.3 – cabin safety technical documentation assessment process map**

Process steps

1.3.6.3.1   Start technical documentation assessment

The CASA Project Team Member must:

1. Gather all documents required for the technical assessment.

2. Go to *1.3.6.3.2 Assess documentation*.

1.3.6.3.2   Assess documentation

The CASA Project Team Member must:

1. Assess the Cabin Crew Manual.

2. Assess Emergency Procedures Manual.

3. Assess any other supporting documentation required.

> **Is the documentation satisfactory?**
>
> The CASA Project Team Member will:
>
> - Assess the Cabin Crew Manual and Emergency Procedures Manual together with supporting documentation as a complete package.
>
> - Determine if Cabin Safety documentation is satisfactory based on completed checklists.
>
> - If no go to *1.3.6.3.3 Provide advice to Applicant*.
>
> - If yes go to *1.3.6.3.5 Assess personnel.*

1.3.6.3.3   Provide advice to Applicant

The CASA Project Team Member must:

1. Liaise with the Applicant to address any deficiencies that have been found. Deficiencies must be confirmed to the Applicant in writing.

2. Go to *1.3.6.3.4 Respond to CASA.*

1.3.6.3.4   Respond to CASA

The Applicant will:

1. Address the deficiencies cited by CASA.

2. Provide required documentation or advice to CASA in a timely manner.

3. Go to *1.3.6.3.2 Assess documentation.*

1.3.6.3.5   Assess personnel

The CASA Project Team Member will:

1. Assess qualifications, history and capability of the Cabin Safety Manager.

2. Assess qualifications, history and capability of the Cabin Crew Manager.

3. Assess qualifications, history and capability of other required personnel.

> **Are the assessment criteria met?**
>
> The CASA Project Team Member will determine if the Cabin Safety Manager and Cabin Crew Manager satisfy the documentation assessment criteria.
>
> - If no go to *1.3.6.3.6 Provide advice to Applicant.*
> - If yes return to *1.3.6 Perform technical desktop assessment (step 1.3.6.4).*

1.3.6.3.6   Provide advice to Applicant

The CASA Project Team Member must:

1. Liaise with the Applicant to address any deficiencies that have been found. Deficiencies must be confirmed to the Applicant in writing.

2. Go to *1.3.6.3.7 Respond to CASA.*

1.3.6.3.7   Respond to CASA

The Applicant will:

1. Address the deficiencies cited by CASA.

2. Provide required documentation or advice to CASA in a timely manner.

3. Go to *1.3.6.3.5 Assess personnel.*

1.3.6.4   Perform airworthiness technical documentation assessment

Purpose

This phase ensures the manual addresses all items necessary to ensure:

- the required airworthiness and maintenance control of the aircraft
- the manual complies with the various legislative requirements and does not conflict with material in the Flight Manual. In other words, not only has the form and content of the manual been assessed, but the meaning has also been evaluated.

Context

To recommend the issue of an AOC, CASA must be satisfied that the Applicant has provided evidence to show that all the airworthiness requirements pertaining to the aircraft and the operations to be covered by the AOC have been met. Such evidence will include, but is not limited to the following:

- airworthiness aspects of the organisation are appropriately managed and controlled
- aircraft airworthiness, maintenance and control
- the nomination of a suitable persons to key positions
- appropriate System of Maintenance (SoM)
- Minimum Equipment List (MEL) and Maintenance Control Manual (MCM), if required.

References

The following guidance material is applicable to this section:

Protocols

Protocol worksheets
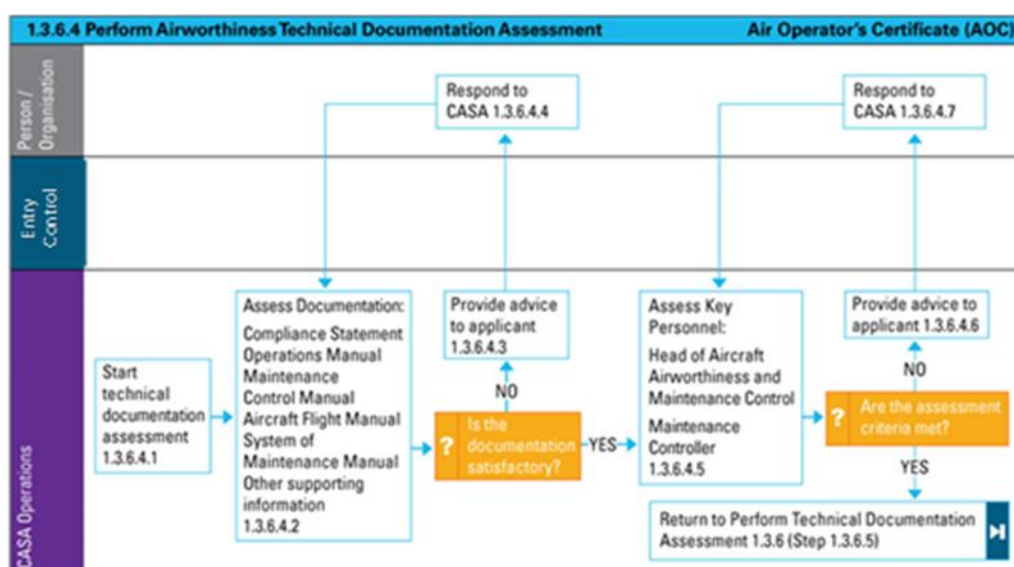
Process map

Figure 10.   Level 1.3.6.4 – airworthiness technical documentation assessment process map

Process

1.3.6.4.1   Start technical documentation assessment

The CASA Project Team Member must:

1.   Gather all documents required for the technical assessment.
2.   Go to *1.3.6.4.2 Assess documentation*.

1.3.6.4.2   Assess documentation

The CASA Project Team Member must:

1.   Assess the Compliance Statement.
2.   Assess Exposition.

3. Assess Maintenance Control Manual.

4. Assess Aircraft Flight Manual.

5. Assess System of Maintenance Manual.

6. Assess other supporting information.

Protocols

Protocol worksheets

Is the document satisfactory

The CASA Project Team Member will:

- Assess the Compliance Statement, Exposition, Maintenance Control Manual, Aircraft Flight Manual, System of Maintenance Manual, together with supporting documentation as a complete package.

- Determine if Airworthiness technical documentation is satisfactory based on completed checklists.

- If no go to *1.3.6.4.3 Provide advice to Applicant.*

- If yes go to *1.3.6.4.5 Assess key personnel.*

1.3.6.4.3 Provide advice to Applicant

The CASA Project Team Member must:

1. Liaise with the Applicant to address any deficiencies that have been found. Deficiencies must be confirmed to the Applicant in writing.

2. Go to *1.3.6.4.4 Respond to CASA*.

1.3.6.4.4 Respond to CASA

The Applicant will:

1. Address the deficiencies cited by CASA.

2. Provide required documentation or advice to CASA in a timely manner.

3. Go to *1.3.6.4.2 Assess documentation*.

1.3.6.4.5 Assess personnel

The CASA Project Team Member will:

1. Review and assess the organisational structure, the positions and responsibilities of personnel within the organisation against the proposed scope of operations.

2. Assess qualifications, history and capability of the *Chief Executive Officer*.

3. Assess suitability of the person delegated to the position (however named), performing the functions of a Head of Maintenance within the organisation.

4. Assess qualifications, history and capability of any key positions required for the Part 42 Continuing Airworthiness organisation. (if applicable)

5. Assess qualifications, history and capability of the *Maintenance Controller (if applicable).*

Protocols

Protocol worksheets

Are the assessment criteria met?

The CASA Project Team Member will determine if the nominated personnel satisfy the documentation assessment criteria.

- If no go to *1.3.6.4.6 Provide advice to Applicant.*
- If yes return to *1.3.6 Perform technical documentation assessment (step 1.3.6.5).*

1.3.6.4.6   Provide advice to Applicant

The CASA Project Team Member must:

1. Liaise with the Applicant to address any deficiencies that have been found. Deficiencies must be confirmed to the Applicant in writing.

2. Go to *1.3.6.4.7 Respond to CASA*.

1.3.6.4.7   Respond to CASA

The Applicant will:

1. Address the deficiencies cited by CASA.

2. Provide required documentation or advice to CASA in a timely manner.

3. Go to *1.3.6.4.5 Assess key personnel*.

1.3.6.5   Perform dangerous goods technical documentation assessment

Purpose

This assessment verifies the Applicant has adequate documented procedures and policies for handling dangerous good to the level that satisfies CASA.

Context

Section 23 of the Act specifies that an aircraft must not carry dangerous goods except in accordance with the regulations, subject to the conditions to which the regulations permit, or in accordance with the *Aviation Transport Safety Regulations 2005* and subject to the conditions the regulations permit, or with the written permission of CASA and in accordance with any conditions specified in the permission.

CASR 92.045 requires an Australian aircraft operator's dangerous goods manual to set out the procedures and instructions for the handling and carriage of dangerous goods on the operator's aircraft; or specify where those procedures and instructions can be found. It also specifies that the operator must have, and must use, an appropriate amendment system to keep all the copies of the manual up to date.

References

Protocols

Protocol worksheets
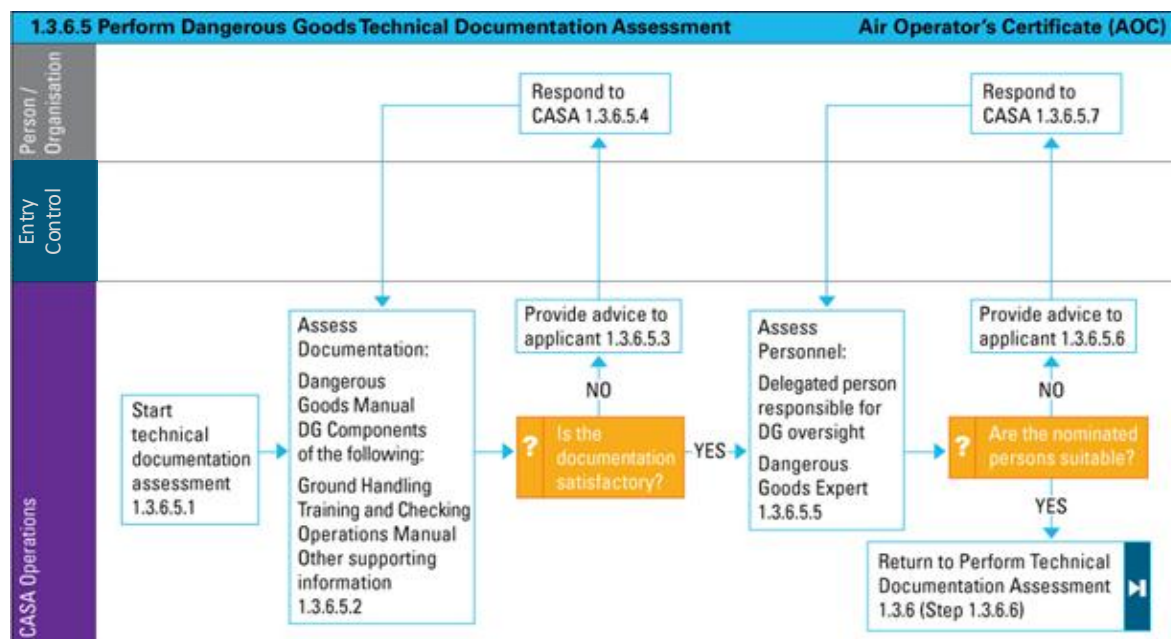
Process map

Figure 11.   Level 1.3.6.5 – dangerous goods technical documentation assessment process map

Process steps

1.3.6.5.1   Start technical documentation assessment

The CASA Project Team Member must:

1.   Gather all documents required for the technical documentation assessment.

2.   Go to *1.3.6.5.2 Assess documentation*.

1.3.6.5.2   Assess documentation

The CASA Project Team Member must:

1.   Assess the Dangerous Goods Manual.

2.   Assess the dangerous goods component of the following:

   a.   Ground Handling

   b.   Training and checking

   c.   Exposition.

3.   Assess other supporting information.

📄   **Protocols**

📄   **Protocol worksheets**

Is the documentation satisfactory?

The CASA Project Team Member will assess appropriate documentation.

•   If no go to *1.3.6.5.3 Provide advice to Applicant.*

•   If yes go to *1.3.6.5.5 Assess personnel.*

1.3.6.5.3   Provide advice to Applicant

The CASA Project Team Member must:

1. Liaise with the Applicant to address any deficiencies that have been found. Deficiencies must be confirmed to the Applicant in writing.

2. Go to *1.3.6.5.4 Respond to CASA.*

1.3.6.5.4   Respond to CASA

The Applicant will:

1. Address the deficiencies cited by CASA.

2. Provide required documentation or advice to CASA in a timely manner.

3. Go to *1.3.6.5.2 Assess documentation*.

1.3.6.5.5   Assess personnel

The CASA Project Team Member will:

1. Assess suitability of the person delegated to the position (however named) responsible for the oversight of the Dangerous Goods functions within the organisation e.g. *Dangerous Goods Manager*.

2. Assess qualifications, history and capability of the *Dangerous Goods Expert*.

📄   **Protocols**

📄   **Protocol worksheets**

> ### Are the nominated persons suitable?
>
> The CASA Project Team Member will determine if the nominated persons satisfy the documentation assessment criteria.
>
> * If no go to *1.3.6.5.6 Provide advice to Applicant.*
> * If yes go to *1.3.6 Perform technical documentation assessment (step 1.3.6.6).*

1.3.6.5.6   Respond to CASA

The Applicant will:

1. Address the deficiencies cited by CASA.

2. Provide required documentation or advice to CASA in a timely manner.

3. Go to *1.3.6.5.5 Assess personnel*.

1.3.6.6   Perform safety management system technical documentation assessment

Purpose

This assessment verifies the Applicant has a systematic, explicit and comprehensive process for identifying hazards and the risks they bring, and for minimising those hazards.

Context

The International Civil Aviation Organisation's (ICAO's) Annex 19 promotes a common approach to Safety Management across aviation domains; both for States and for organisations. Part 119 of CASR requires

Air Transport operators to establish and maintain an appropriate organisation, with a sound and effective management structure that uses a safety management system approved by CASA. CASA must be satisfied that the elements of the Applicant's Safety Management System are suitable for the operation.

References

The following guidance material is applicable to this section.

Protocols

Protocol worksheets
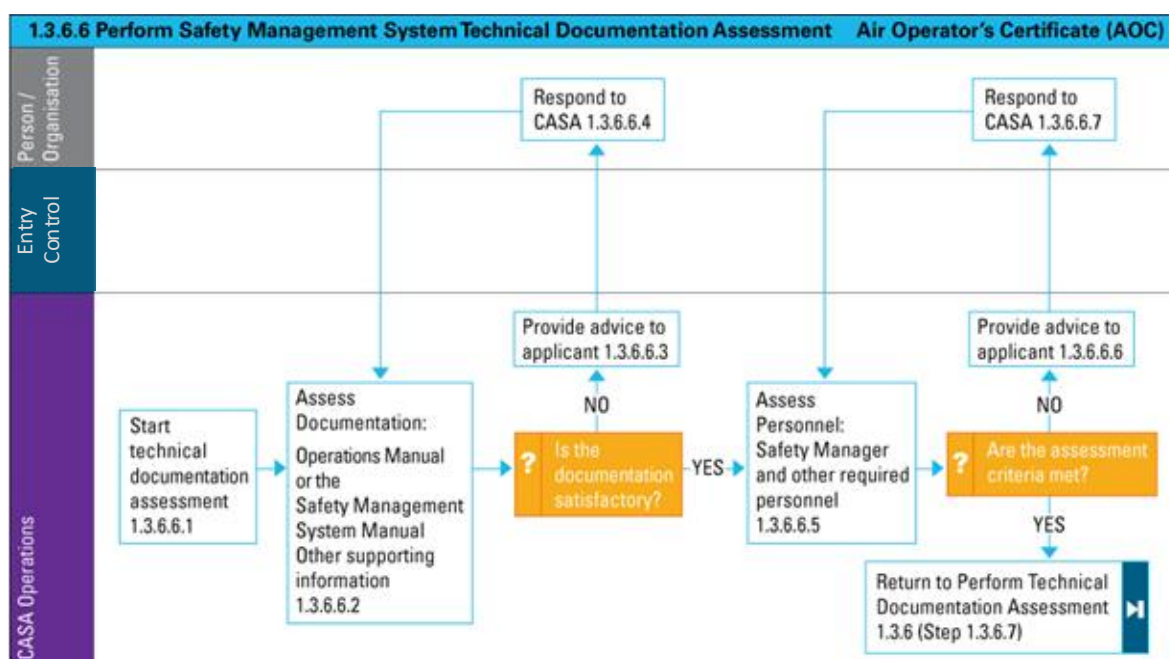
Process map

Figure 12.   Level 1.3.6.6 – SMS technical documentation assessment process map

Process steps

1.3.6.6.1   Start technical documentation assessment

The CASA Project Team Member must:

1. Gather all documents required for the assigned technical documentation assessment.

2. Go to *1.3.6.6.2 Assess documentation*.

1.3.6.6.2   Assess documentation

The CASA Project Team Member must:

1. Assess the Safety Management System (SMS) element of the Exposition and the Safety Systems Manual (if separate to the Exposition).

2. Assess other supporting documentation.

Is the documentation satisfactory?

The CASA Project Team member will:

1. Assess the SMS element of the Exposition SMS documents, together with supporting documentation, as a complete package.

2. Determine if Safety Management System documentation is satisfactory based on the assessment outcomes.

- If no go to *1.3.6.6.3 Provide advice to Applicant*.

- If yes go to *1.3.6.6.5 Assess personnel.*

1.3.6.6.3   Provide advice to Applicant

The CASA Project Team Member must:

1. Liaise with the Applicant to address any deficiencies that have been found. Deficiencies must be confirmed to the Applicant in writing.

2. Go to *1.3.6.6.4 Respond to CASA*.

1.3.6.6.4   Respond to CASA

The Applicant will:

1. Address the deficiencies cited by CASA.

2. Provide required documentation or advice to CASA in a timely manner.

3. Go to *1.3.6.6.2 Assess documentation*.

1.3.6.6.5   Assess key personnel

The CASA Project Team Member will:

1. Review and assess the organisational structure, the positions and responsibilities of personnel within the organisation against the proposed scope of operations.

2. Assess qualifications, history and capability of the *Chief Executive Officer*.

3. Assess qualifications, history, capability and suitability of the *Safety Manager.*

Are the nominated persons suitable?

The CASA Project Team Member will determine if the nominated personnel satisfy the documentation assessment criteria.

- If no go to *1.3.6.6.6 Provide advice to Applicant.*

- If yes return to *1.3.6 Perform technical documentation assessment (step 1.3.6.7).*

1.3.6.6.6   Provide advice to Applicant

The CASA Project Team Member must:

1. Liaise with the Applicant to address any deficiencies that have been found. Deficiencies must be confirmed to the Applicant in writing.

2. Go to *1.3.6.6.7 Respond to CASA.*

1.3.6.6.7   Respond to CASA

The Applicant will:

1. Address the deficiencies cited by CASA.

2. Provide required documentation or advice to CASA in a timely manner.

3. Go to *1.3.6.6.5 Assess key personnel*.

1.3.6.7   Perform aerodromes technical documentation assessment

Purpose

This phase verifies if the Applicant has procedures and policies in place to manage and mitigate safety issues and risks relating to aircraft operations and nominated ports.

Context

CASA must be satisfied that the aerodrome (port) is suitable for the landing and take-off of the type of aircraft operated under an AOC.

References

The following guidance material is applicable to this section.

Air Navigation, Airspace and Aerodromes Forms

Process map
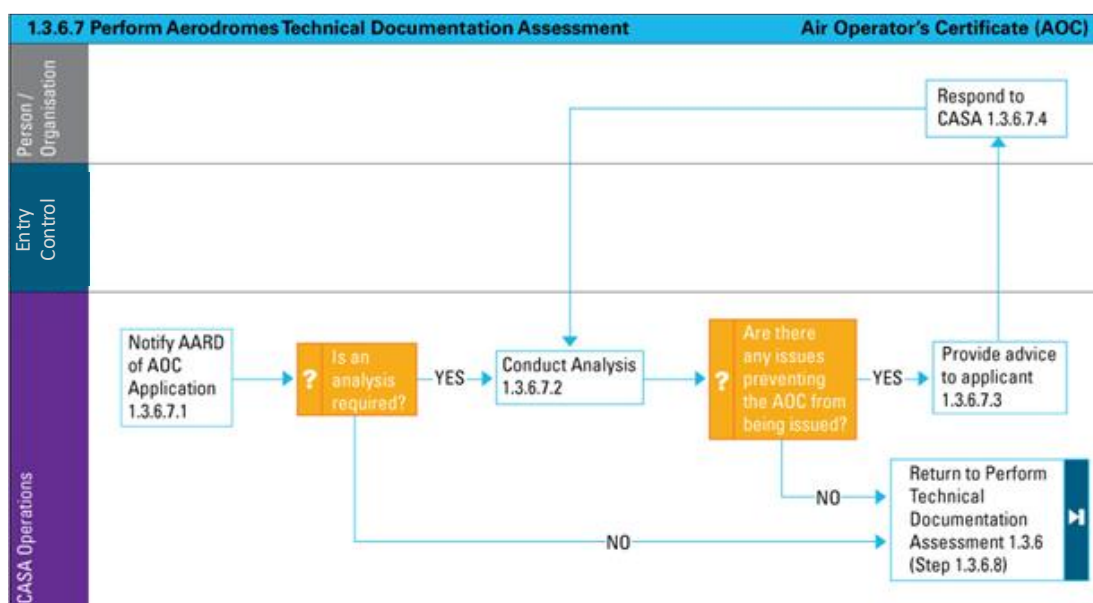
Figure 13.   Level 1.3.6.7 – aerodromes technical documentation assessment process map

Process steps

1.3.6.7.1   Notify ANTR of AOC application

The CASA Project Team will:

1. Send Air Navigation, Transformation and Risk (ANTR) division supporting information and data on proposed aircraft operations including nominated ports.

> **Note:**
>
> Detailed list of the supporting information / data is contained in the Protocols.

Is an analysis required?

The ANTR will determine if a detailed analysis is required on proposed aircraft operations and nominated ports based on the received information.

- If no return to *1.3.6 Perform technical documentation assessment (step 1.3.6.8).*
- If yes go to *1.3.6.7.2 Conduct analysis.*

1.3.6.7.2   Conduct analysis

The ANTR will:

1. Conduct a further analysis on the proposed aircraft operations and nominated ports to determine if risks and issues pertaining to airspace, aerodromes, airways design and ARFFS are appropriately managed and mitigated.

> **Note:**
>
> ANTR may request additional materials such as documentation relating to the Applicant's port inspections, SMS and/or safety case.

Are there any issues or risks preventing the AOC from being issued?

The ANTR will decide whether there are any unmanaged issues or inadequately mitigated risks relating to aircraft operations and nominated ports that may prevent the AOC from being issued.

- If no return to *1.3.6 Perform technical documentation assessment (step 1.3.6.8).*
- If yes go to *1.3.6.7.3 Provide advice to Applicant.*

1.3.6.7.3   Provide advice to Applicant

The ANTR must:

1. Document the deficiencies in the management / mitigation of issues and risks relating to aircraft operations into the nominated ports.

2. Send documented deficiencies to the Applicant and copy in the CASE Manager.

3. Go to *1.3.6.7.4 Respond to CASA.*

1.3.6.7.4   Respond to CASA

The Applicant will:

1. Address the deficiencies cited by CASA.

2. Provide required documentation or advice to CASA in a timely manner.

> **Note:**
>
> Detailed list of the supporting information / data is contained in the Protocols.

3. Go to *1.3.6.7.2 Conduct analysis.*

1.3.6.8   Perform alcohol and other drugs technical documentation assessment

Purpose

The purpose of this assessment is to assess if the Applicant has effective policies and strategies to address the risks of inappropriate drug and alcohol use by safety-sensitive employees.

Context

Section 34 of the Act specifies that the regulations may make provision for and in relation to the development, implementation and enforcement of drug and alcohol management plans covering persons who perform, or are available to perform, safety-sensitive aviation activities.

Under Part 99.030 of the CASRs, an Air Operator's Certificate holder is required to develop a Drugs and Alcohol Management Plan which complies with the regulations.

References

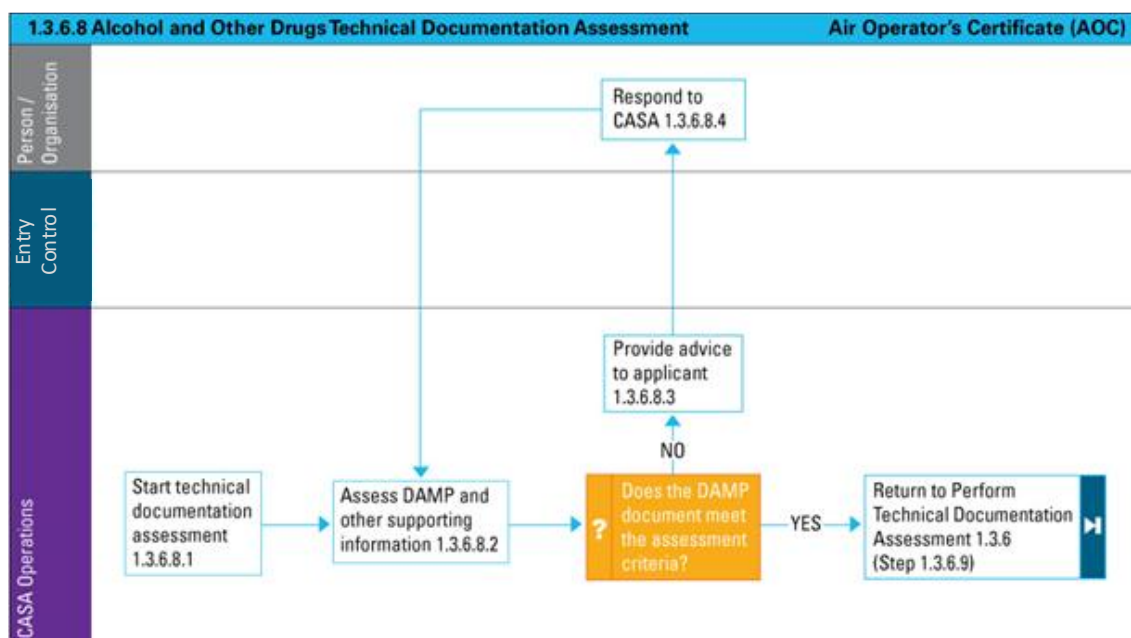The following guidance material is applicable to this section:

   Protocols

   Alcohol and Other Drugs Forms

Process map

Figure 14.   Level 1.3.6.8 – alcohol and other drugs technical documentation assessment process map

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Process steps

1.3.6.8.1 Start technical documentation assessment

The CASA Project Team Member must:

1. Gather all documents required for the technical documentation assessment.

2. Go to *1.3.6.8.2 Assess DAMP and other supporting information.*

1.3.6.8.2 Assess DAMP and other supporting information

The CASA Project Team Member will:

1. Assess the Drug and Alcohol Management Plan Policy.

2. Assess the Drug and Alcohol Education Program.

3. Assess the Drug and Alcohol Testing Program.

4. Assess the Drug and Alcohol Response Program.

5. Assess other AOD supporting information.

> **Note:**
>
> Detailed list of the supporting information / data is contained in the Protocols.

Do the DAMP and other supporting documentation meet the assessment criteria?

The CASA Project Team Member will determine if the DAMP document meets the assessment criteria.

- If no go to *1.3.6.8.3 Provide advice to Applicant.*

- If yes return to *1.3.6 Perform technical desktop assessment (step 1.3.6.9).*

1.3.6.8.3 Provide advice to Applicant

The CASA Project Team Member must:

1. Liaise with the Applicant to address any deficiencies that have been found. Deficiencies must be confirmed to the Applicant in writing.

2. Go to *1.3.6.8.4 Respond to CASA.*

1.3.6.8.4 Respond to CASA

The Applicant will:

1. Address the deficiencies cited by CASA.

2. Provide required documentation or advice to CASA in a timely manner.

3. Go to *1.3.6.8.2 Assess DAMP and other supporting information.*

1.3.6.9 Perform ground operations technical documentation assessment

Purpose

The purpose of this phase is to verify that there is appropriate management, training, control and safe application of these activities, and that the operator, given the fleet and the operations proposed, can

conduct ground handling activities relating to aircraft safely, and within the requirements of the applicable legislation.

The assessment includes verifying that the operator has policies and processes in place to effectively monitor and oversight any external service provider contracted to perform the ground handling functions on their behalf.

Context

Section 28 of the Act states that the organisation must have a sufficient number of suitably qualified and competent employees to conduct of carry out the AOC operations safely.

References

The following guidance material is applicable to this section:

Protocols

Protocol worksheets
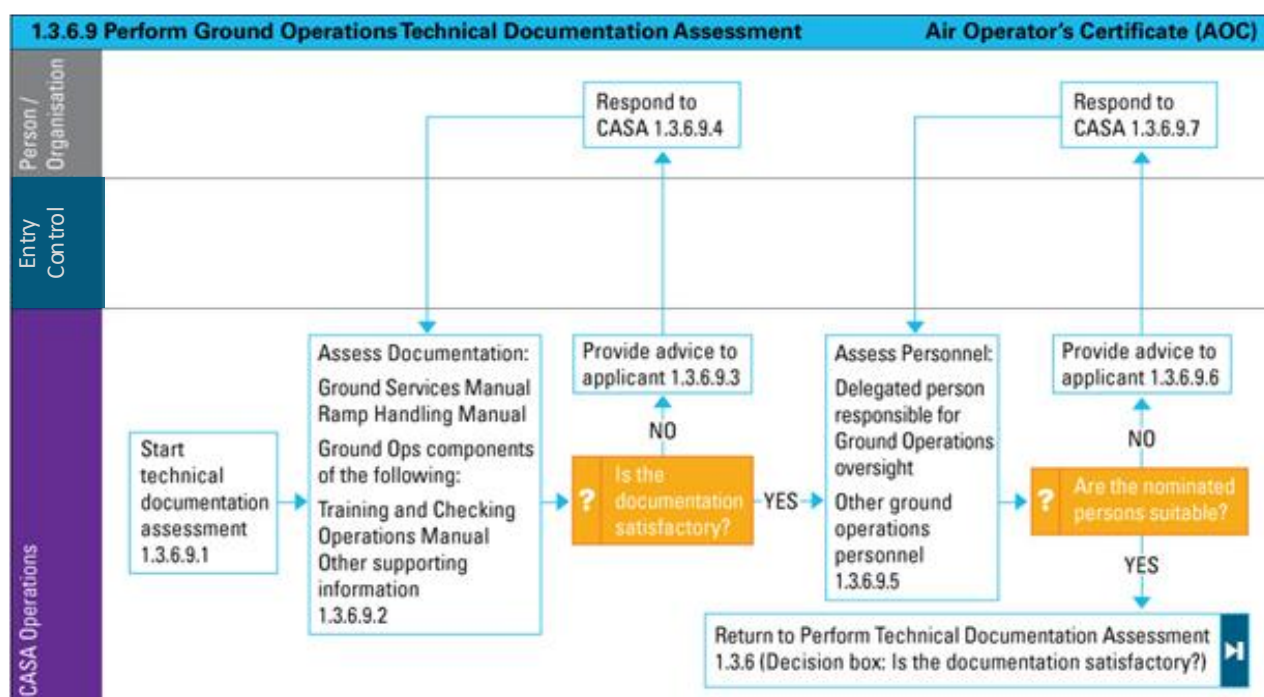
Process map

Figure 15.   Level 1.3.6.9 – ground operations technical documentation assessment process map

Process steps

1.3.6.9.1   Start technical documentation assessment

The CASA Project Team Member must:

1.   Gather all documents required for the technical documentation assessment.

1.3.6.9.2   Assess documentation

The CASA Project Team Member must:

1.   Assess Ground Handling Manual.

2.   Assess Passenger Services Manual.

3. Assess Ground Handling Training Manual.

4. Assess the ground operations component of the following, as required:

    a. Exposition

    b. Load Control Manual including weight and balance

    c. Aircraft Loading Manual

    d. Management Policy and Procedures Manual

    e. Safety Systems Manual.

5. Assess other supporting information.

Is the documentation satisfactory?

The CASA Project Team Member will assess appropriate documentation.

- If no go to *1.3.6.9.3 Provide advice to Applicant.*
- If yes go to *1.3.6.9.5 Assess personnel.*

1.3.6.9.3 Provide advice to Applicant

The CASA Project Team Member must:

1. Liaise with the Applicant to address any deficiencies that have been found. Deficiencies must be confirmed to the Applicant in writing.

2. Go to *1.3.6.9.4 Respond to CASA.*

1.3.6.9.4 Respond to CASA

The Applicant will:

1. Address the deficiencies cited by CASA.

2. Provide required documentation or advice to CASA in a timely manner.

3. Go to *1.3.6.9.2 Assess documentation.*

1.3.6.9.5 Assess personnel

The CASA Project Team Member will:

1. Assess suitability of the person delegated to the position (however named), responsible for the oversight of the ground operation functions within the organisation e.g. *Ground Operations Manager*.

2. Assess qualifications, history and capability of the other required ground personnel.

Are the nominated persons suitable?

The CASA Project Team Member will determine if the nominated persons satisfy the documentation assessment criteria.

- If no go to *1.3.6.9.6 Provide advice to Applicant.*
- If yes return to *1.3.6 Perform technical documentation assessment.*

1.3.6.9.6 Provide advice to Applicant

The CASA Project Team Member must:

1. Liaise with the Applicant to address any deficiencies that have been found. Deficiencies must be confirmed to the Applicant in writing.

2.   Go to *1.3.6.6.7 Respond to CASA*.

1.3.6.9.7   Respond to CASA

The Applicant will:

1.   Address the deficiencies cited by CASA.

2.   Provide required documentation or advice to CASA in a timely manner.

3.   Go to *1.3.6.9.5 Assess personnel*.

1.3.7   Review estimate

The CASE Manager will:

1.   Review the original estimate hours against the actual hours taken to perform the Technical Desktop Assessment.

> **Note:**
>
> The Applicant will be required to participate during the assessment.

Is the revised estimate greater than the original estimate?

The CASE Manager will determine whether a formal application meeting is required based on the scope of the proposed operation. They will liaise with the Applicant to determine if they wish to have a formal application meeting.

- If no proceed to *1.3.9 Perform verification and testing.*
- If yes go to *1.3.8 Send updated estimate.*

1.3.8   Send updated estimate

ECC will:

1.   Send an updated estimate to the Applicant.

Is new estimate paid?

The Applicant must decide whether they would like to continue with the process by accepting and paying the revised estimate.

- If no **AOC Process Ends.**
- If yes proceed to *1.3.9 Perform verification and testing.*

1.3.9   Perform verification and testing

Purpose

Verification and testing serve two functions:

- to satisfy CASA the facilities, equipment, services, operations and persons conform to the Applicant's exposition to ensure compliance with the legislative requirement for the AOC issue
- to provide evidence for the granting of other specific approvals related to the AOC.

Context

Section 27AC (2) of the Act allows CASA to give a written notice to the Applicant for an AOC to permit an authorised officer to carry out an inspection or test that is reasonably required by CASA to properly consider an AOC application. Inspections and tests could include any of the following items:

- any aircraft covered by the application
- any aeronautical product that is a part of, or that relates to, any aircraft
- any personnel, facilities, procedures or practices used, or proposed to be used, for a purpose covered by the application.

References

The following guidance material is applicable to this section:

Protocols

Protocol worksheets
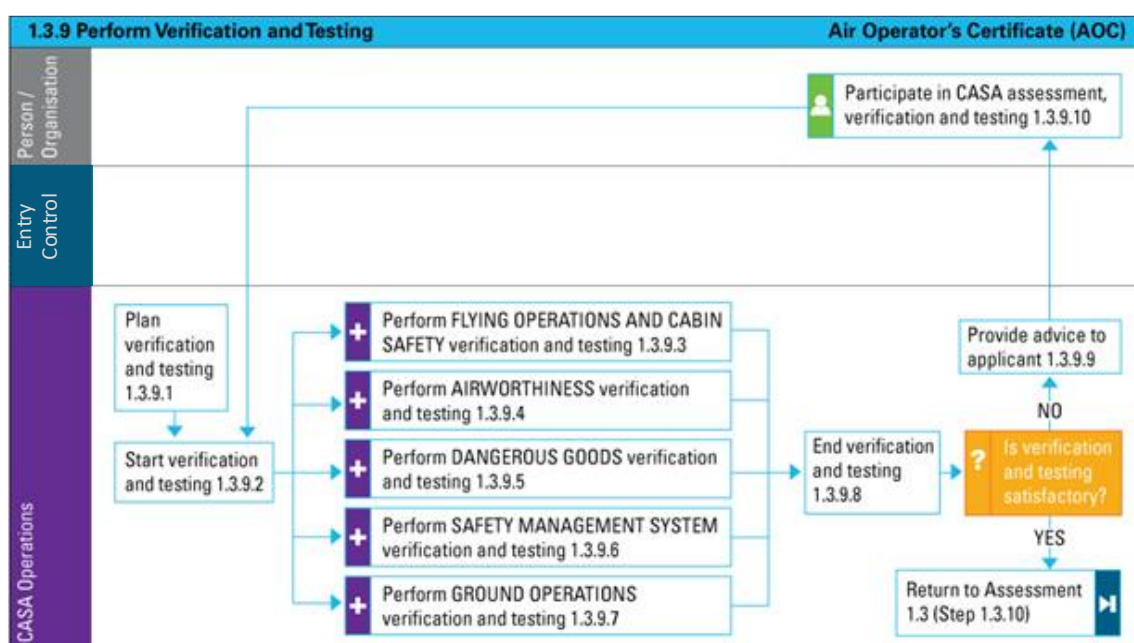
Process map

Figure 16. Level 1.3.9 – verification and testing process map

Process steps

1.3.9.1 Plan verification and testing

The CASE Manager will:

1. Task the project team with the verification and testing assessment.
2. Define any expectations of the inspection activity.
3. Provide an overview of the activities.
4. Go to *1.3.9.2 Start verification and testing*.

1.3.9.2 Start verification and testing

The CASA Project team member will:

1. Arrange appointments with Applicant.

Flying Operations and Cabin Safety	Proceed to: *1.3.9.3 Perform Flying Operations and Cabin Safety Verification and Testing*
Airworthiness	Proceed to: *1.3.9.4 Perform airworthiness verification and testing*
Dangerous Goods	Proceed to: *1.3.9.5 Perform dangerous goods verification and testing*
Perform Safety Management System	Proceed to: *1.3.9.6 Perform safety management system verification and testing*
Ground Operations	Proceed to: *1.3.9.7 Perform Ground Operations Verification and Testing*

2. Once all the assessments are complete, go to *1.3.9.8 End verification and testing.*

1.3.9.3   Perform Flying Operations and Cabin Safety Verification and Testing

Purpose

The purpose of this section is to describe how CASA will confirm that the operator will be able to comply with the policies and procedures described in their Exposition.

Context

Under paragraph 28(1)(b) of the Act, an Applicant must, in part, satisfy CASA that:

- operations can be conducted safely having regard to the nature of the AOC operations
- the organisation's chain of command is appropriate
- key personnel have appropriate experience in air operations
- the organisation has a sufficient number of suitably qualified and competent employees
- the facilities are suitable
- organisation has suitable procedures and practices.

An operator needs to ensure all personnel involved in ground and flight operations, are properly instructed and have demonstrated their abilities in their particular duties and are aware of their responsibilities and the relationship of such duties to the operation as a whole.

References

The following guidance material is applicable to this section:

Protocols

Protocol worksheets

Process map

Figure 17.   Level 1.3.9.3 – flying operations and cabin safety verification and testing process map

Process steps

1.3.9.3.1   Conduct capability assessments on Flying Ops key personnel

The CASE Manager will:

1.   Liaise with the project team to schedule verification and testing activities.

The CASA Project Team will:

1.   Create scenarios for Key Personnel responses.

2.   Create pertinent examination questions according to these scenarios.

3.   If required, conduct a capability assessment on the key person.

4.   Go to *1.3.9.3.2 Conduct capability assessments on Cabin Safety Personnel*.

1.3.9.3.2   Conduct capability assessments on Cabin Safety Personnel

The CASE Manager will:

1.   Liaise with the project team to schedule Verification and Testing activities.

The CASA Project Team will:

1.   Create scenarios.

2.   Create pertinent examination questions according to these scenarios.

3.   If required, conduct a capability assessment.

4.   Go to *1.3.9.3.3 Verify Exposition and supporting information and conduct system assessments*.

1.3.9.3.3   Verify Exposition and supporting information and conduct system assessments

The CASA Project Team Member must:

1.   Verify that all policies and procedures covered in the exposition and supporting documentation are in place or will be implemented.

2. Go to *1.3.9.3.4 Verify Cabin Safety manuals and supporting information and conduct system assessments.*

1.3.9.3.4 Verify Cabin Safety manuals and supporting information and conduct system assessments

The CASA Project Team Member must:

1. Verify that policies and procedures in the Manuals and supporting documentation are in place or have been implemented.

Do the key Personnel, Manuals and supporting documentation meet the verification criteria?

- If no go to *1.3.9.3.5 Provide advice to Applicant.*

- If yes return to *1.3.9 Verification and testing (step 1.3.9.4).*

1.3.9.3.5 Provide advice to Applicant

The CASA Project Team Member must:

1. Liaise with the Applicant to address any deficiencies that have been found. Deficiencies must be confirmed to the Applicant in writing.

2. Go to *1.3.9.3.6 Respond to CASA.*

1.3.9.3.6 Respond to CASA

The Applicant will:

1. Address the deficiencies cited by CASA.

2. Provide required documentation or advice to CASA in a timely manner.

3. Go to *1.3.9.3.1 Conduct capability assessments on Flying Ops key personnel.*

1.3.9.4 Perform airworthiness verification and testing

Purpose

The purpose of this section is to describe how CASA will confirm that the operator will be able to comply with the policies and procedures described in their Exposition.

Context

For an AOC to be issued, the Applicant must also satisfy CASA that all the airworthiness requirements pertaining to the aircraft and operation have been met. This includes providing evidence of the airworthiness of aircraft, control of continuing airworthiness, that the aircraft is properly equipped, and that safety systems are in place to ensure the conduct of safe operations.

References

The following guidance material is applicable to this section

Protocols

Protocol Worksheets
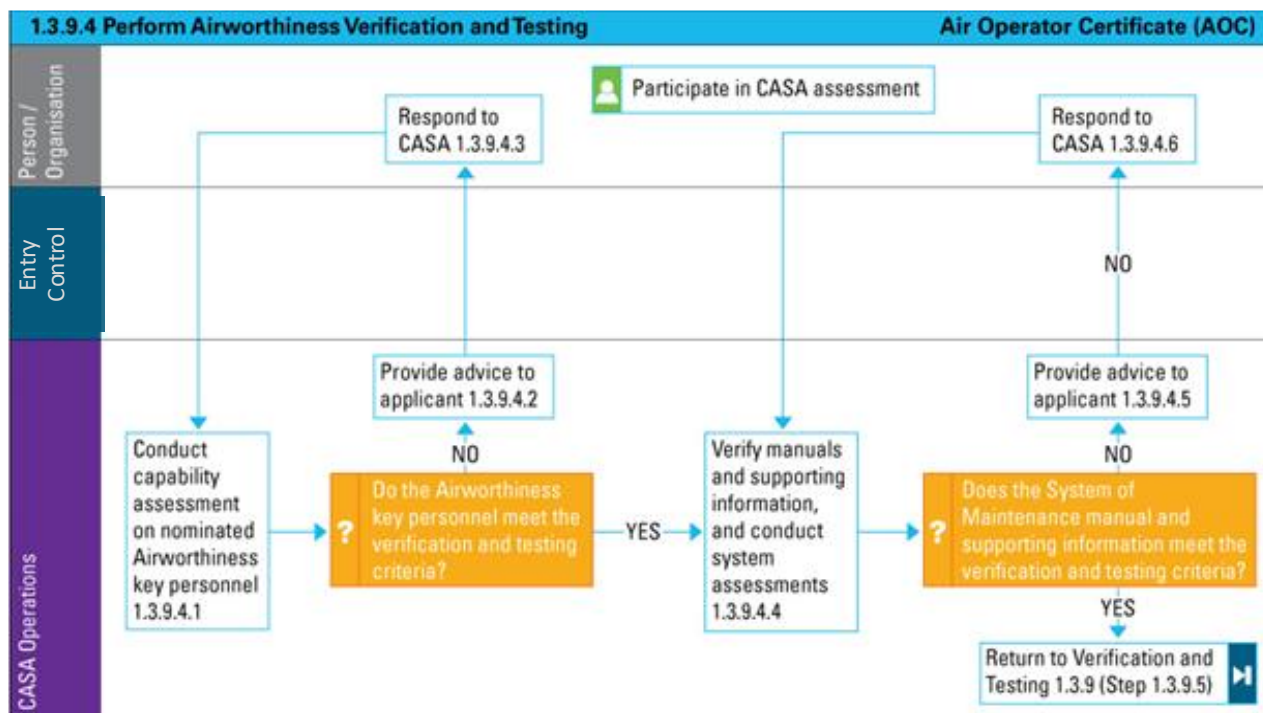
Process map

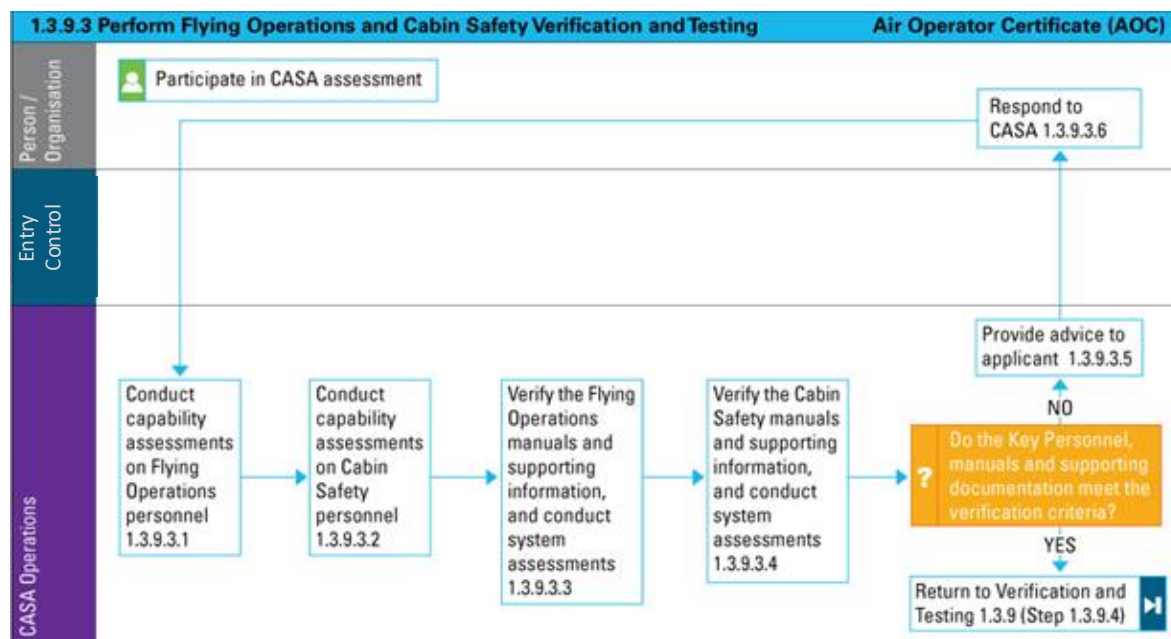**Figure 18.   Level 1.3.9.4 – airworthiness verification and testing process map**

Process steps

1.3.9.4.1   Conduct capability assessments Airworthiness key personnel

The CASE Manager will:

1.   Liaise with the project team to schedule verification and testing activities.

The CASA Project Team must:

1.   Create scenarios for key personnel responses.

2.   Create pertinent examination questions according to those scenarios.

3.   Conduct a capability assessment on the key person.

Do the Airworthiness personnel meet the verification and testing criteria, including Part 42 personnel if required?

- If no go to *1.3.9.4.2 Provide advice to Applicant.*

- If yes go to *1.3.9.4.4 Verify manuals and supporting information, and conduct systems assessments.*

1.3.9.4.2   Provide advice to Applicant

The CASA Project Team Member must:

1.   Liaise with the Applicant to address any deficiencies that have been found. Deficiencies must be confirmed to the Applicant in writing.

2.   Go to *1.3.9.4.3 Respond to CASA.*

1.3.9.4.3   Respond to CASA

The Applicant will:

1. Address the deficiencies cited by CASA.

2. Provide required documentation or advice to CASA in a timely manner.

3. Go to *1.3.9.4.1 Conduct capability assessments Airworthiness personnel*.

1.3.9.4.4   Verify manuals and supporting information, and conduct systems assessments

The CASA Project Team Member must:

1. Verify the details outlined in the manuals and supporting documentation are in place and implemented.

2. Test processes and procedures identified in the manuals.

Does the Exposition and supporting information meet the verification and testing criteria?

The CASA Project Team Member must check the following:

1. Does the Exposition meet the assessment criteria?

2. Does the Compliance Statement meet the assessment criteria?

3. Does the supporting information meet the assessment criteria?

- If no go to *1.3.9.4.5 Provide advice to Applicant.*

- If yes return to *1.3.9 Verification and testing (step 1.3.9.5).*

1.3.9.4.5   Provide advice to Applicant

The CASA Project Team Member must:

1. Liaise with the Applicant to address any deficiencies that have been found. Deficiencies must be confirmed to the Applicant in writing.

2. Go to *1.3.9.4.6 Respond to CASA.*

1.3.9.4.6   Respond to CASA

The Applicant will:

1. Address the deficiencies cited by CASA.

2. Provide required documentation or advice to CASA in a timely manner.

3. Go to *1.3.9.4.4 Verify manuals and supporting information, and conduct systems assessments*.

1.3.9.5   Perform dangerous goods verification and testing

Purpose

The purpose of this section is to validate the Dangerous Goods technical documentation content against what has been implemented and to test the systems documented in the Dangerous Goods manual.

Context

Where the operator intends to carry dangerous goods, inspections of the facilities and procedures will be necessary. The procedures to be assessed will include acceptance, examination, storage, loading, notification to crew and in-flight emergencies.

References

The following guidance material is applicable to this section:

Protocols

Protocol Worksheets
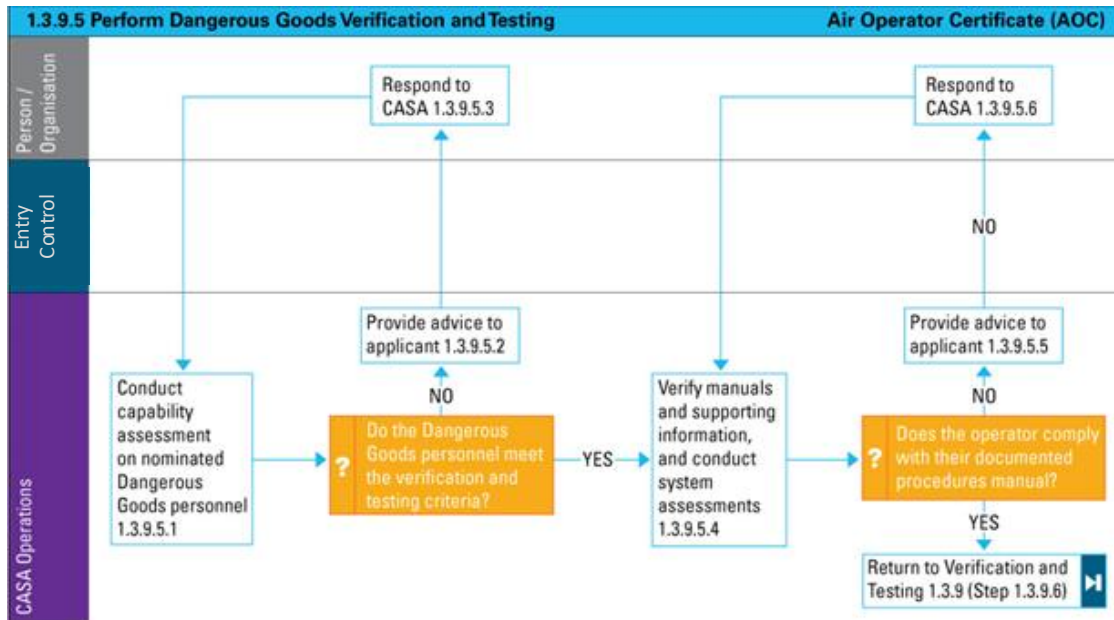
Process map

Figure 19. **Level 1.3.9.5 – dangerous goods verification and testing process map**

Process steps

1.3.9.5.1   Conduct capability assessments on Dangerous Goods personnel

The CASE Manager will:

1. Liaise with the project team to schedule verification and testing activities.

The CASA Project Team Member must:

1. Prepare scenarios, including examination questions, to assess the person delegated to the position (however named), responsible for the oversight of the Dangerous Goods functions within the organisation e.g. *Dangerous Goods Manager*.

2. Conduct a capability assessment on the nominated person/s

Do the Dangerous Goods personnel meet the verification and testing criteria?

The CASA Project Team Member must check that the nominated persons meet the assessment criteria.

- If no go to *1.3.9.5.2 Provide advice to Applicant.*

- If yes go to *1.3.9.5.4 Verify manuals and supporting information, and conduct systems assessments.*

1.3.9.5.2   Provide advice to Applicant

The CASA Project Team Member must:

1. Liaise with the Applicant to address any deficiencies that have been found. Deficiencies must be confirmed to the Applicant in writing.

2. Go to *1.3.9.5.3 Respond to CASA.*

1.3.9.5.3   Respond to CASA

The Applicant will:

1. Address the deficiencies cited by CASA.

2. Provide required documentation or advice to CASA in a timely manner.

3. Go to *1.3.9.5.1 Conduct capability assessments on Dangerous Goods key personnel*.

1.3.9.5.4   Verify manuals and supporting information, and conduct systems assessments

The CASA Project Team Member must:

1. Verify that systems, equipment, facilities and other safety requirements covered in the Manuals and supporting documentation are in place or have been implemented.

> **Does the operator comply with their documented procedures?**
> - If no go to *1.3.9.5.5 Provide advice to Applicant.*
> - If yes return to *1.3.9 Perform verification and testing (step 1.3.9.6).*

1.3.9.5.5   Provide advice to Applicant

The CASA Project Team Member must:

1. Liaise with the Applicant to address any deficiencies that have been found. Deficiencies must be confirmed to the Applicant in writing.

2. Go to *1.3.9.5.6 Respond to CASA.*

1.3.9.5.6   Respond to CASA

The Applicant will:

1. Address the deficiencies cited by CASA.

2. Provide required documentation or advice to CASA in a timely manner.

3. Go to *1.3.9.5.4 Verify manuals and supporting information, and conduct systems assessments*.

1.3.9.6   Perform safety management system verification and testing

Purpose

The purpose of this section is to validate the Safety Management System technical documentation content against what has been implemented and to test the systems documented in the Safety Management Manual.

Context

An AOC operator is required to establish and maintain an appropriate organisation, with a sound and effective management structure, that uses a safety management system. CASA ensures safety management systems outlined in the operator's exposition are in place and have been implemented.

References

The following guidance material is applicable to this section:

Protocols

Protocol Worksheets

Process map

Figure 20.   Level 1.3.9.6 – SMS verification and testing process map

Process steps

1.3.9.6.1   Conduct capability assessments on nominated SMS personnel

The CASE Manager will:

1.   Liaise with the project team to schedule verification and testing activities.

The CASA Project Team must:

1.   Prepare scenarios, including examination questions, to assess the person nominated to perform the functions of a Safety Manager (however named) within the organisation.

2.   Conduct a key person assessment on the nominated person/s.

Do the SMS personnel meet verification and testing criteria?

The CASA Project Team Member must check that the nominated personnel meet the assessment criteria?

- If no go to *1.3.9.6.2 Provide advice to Applicant.*

- If yes return to *1.3.9.6.4 Verify manuals and supporting information, and conduct system assessments.*

1.3.9.6.2   Provide advice to Applicant

The CASA Project Team Member must:

1. Liaise with the Applicant to address any deficiencies that have been found. Deficiencies must be confirmed to the Applicant in writing.

2. Go to *1.3.9.6.3 Respond to CASA*.

1.3.9.6.3   Respond to CASA

The Applicant will:

1. Address the deficiencies cited by CASA.

2. Provide required documentation or advice to CASA in a timely manner.

3. Go to *1.3.9.6.1 Conduct capability assessments on nominated SMS personnel*.

1.3.9.6.4   Verify manuals and supporting information, and conduct system assessments

The CASA Project Team Member must:

1. Verify safety management systems and other safety requirements identified in the Manuals and supporting documentation, are in place or have been implemented

Has the safety management system met the verification and testing criteria?

The CASA Project Team Member must check that the safety management systems are in place, or have been implemented according to the implementation plan agreed with CASA, and the operator complies with their documented procedures?

- If no go to *1.3.9.6.5 Provide advice to Applicant.*

- If yes return to *1.3.9 Perform verification and testing (step 1.3.9.7).*

1.3.9.6.5   Provide advice to Applicant

The CASA Project Team Member must:

1. Liaise with the Applicant to address any deficiencies that have been found. Deficiencies must be confirmed to the Applicant in writing.

2. Go to *1.3.9.6.6 Respond to CASA*.

1.3.9.6.6   Respond to CASA

The Applicant will:

1. Address the deficiencies cited by CASA.

2. Provide required documentation or advice to CASA in a timely manner.

3. Go to *1.3.9.6.4 Verify manuals and supporting information, and conduct system assessments.*

1.3.9.7   Perform Ground Operations Verification and Testing

Purpose

The purpose of this section is to validate the Ground Operations technical documentation content against what has been implemented and to test the systems documented in the relevant manuals.

Context

For an AOC to be issued, the Applicant must also satisfy CASA that all the requirements pertaining to the ground operations have been met. This shall include all functions that have been outsourced as well as any system-based applications that have been implemented, including the production of necessary loading documentation and instruction.

References

The following guidance material is applicable to this section:
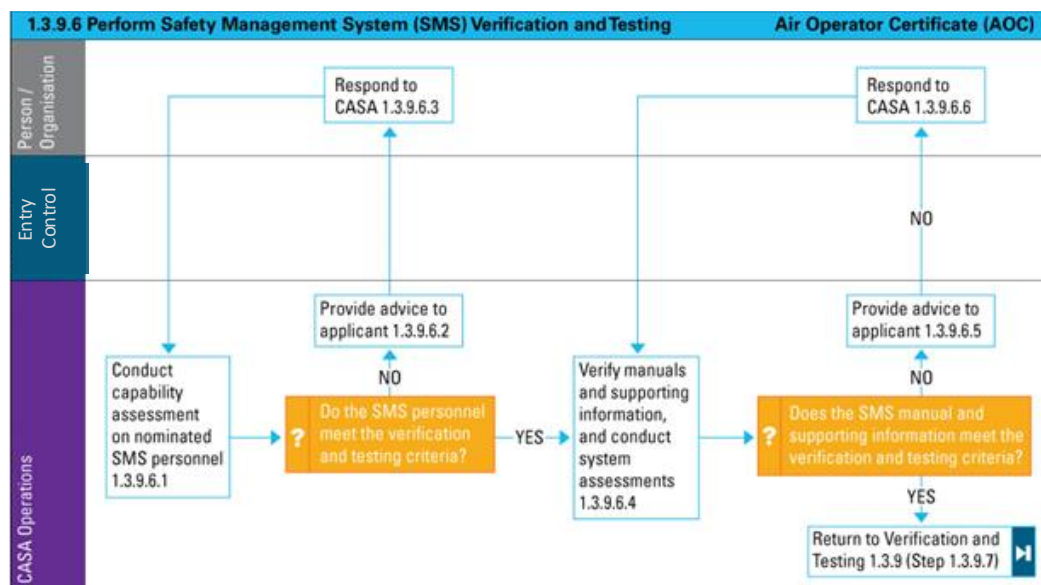
Protocols

Protocol Worksheets
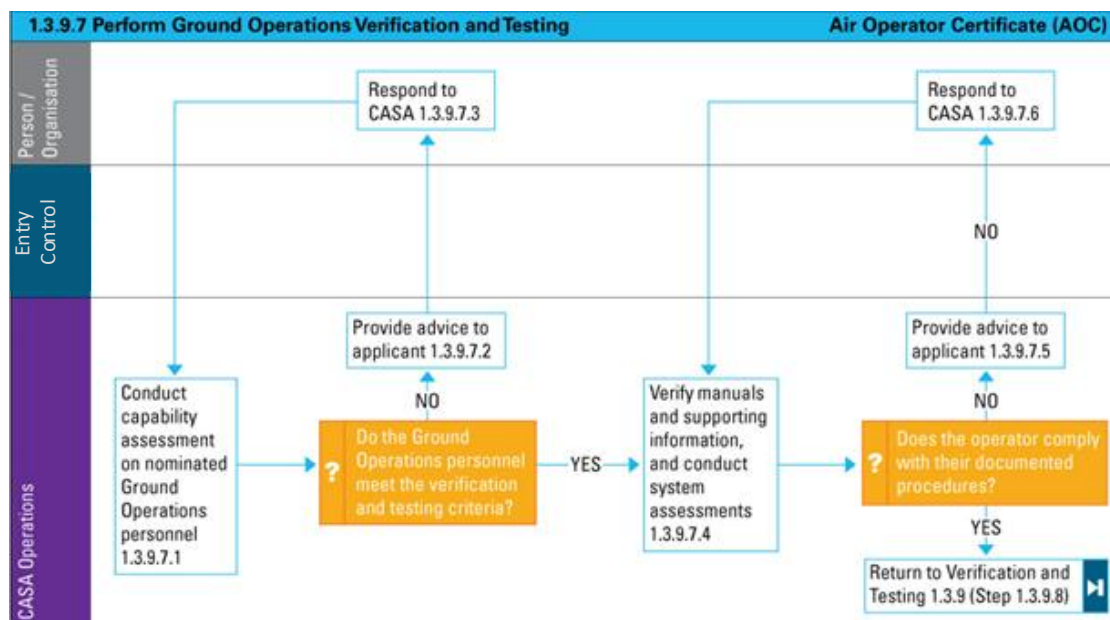
Process map

Figure 21.   Level 1.3.9.7 – ground operations verification and testing process map

Process steps

1.3.9.7.1   Conduct capability assessments on nominated Ground Operations personnel

The CASE Manager will:

1.   Liaise with the project team to schedule verification and testing activities.

The CASA Project Team must:

1.   Create scenarios for personnel responses.

2.   Create pertinent examination questions according to those scenarios.

3.   Conduct a capability assessment on the key person/s.

> **Do the Ground Operations personnel meet the verification and testing criteria?**
>
> The CASA Project Team Member must check that the nominated persons meet the assessment criteria.
>
> - If no go to *1.3.9.7.2 Provide advice to Applicant.*
> - If yes go to *1.3.9.7.4 Verify manuals and supporting information, and conduct system assessments.*

1.3.9.7.2   Provide advice to Applicant

The CASA Project Team Member must:

1. Liaise with the Applicant to address any deficiencies that have been found. Deficiencies must be confirmed to the Applicant in writing.

2. Go to *1.3.9.7.3 Respond to CASA.*

1.3.9.7.3   Respond to CASA

The Applicant will:

1. Address the deficiencies cited by CASA.

2. Provide required documentation or advice to CASA in a timely manner.

3. Go to *1.3.9.7.1 Conduct capability assessments on nominated Ground Operations personnel*.

1.3.9.7.4   Verify manuals and supporting information, and conduct system assessments

The CASA Project Team Member must:

1. Verify that systems, equipment, facilities and other safety requirements covered in the Manuals and supporting documentation are in place or have been implemented.

> **Does the operator comply with their documented procedures relevant to ground operations?**
>
> - If no go to *1.3.9.7.5 Provide advice to Applicant.*
> - If yes return to *1.3.9 Perform verification and testing (step 1.3.9.8).*

1.3.9.7.5   Provide advice to Applicant

The CASA Project Team Member must:

1. Liaise with the Applicant to address any deficiencies that have been found. Deficiencies must be confirmed to the Applicant in writing.

2. Go to *1.3.9.7.6 Respond to CASA.*

1.3.9.7.6   Respond to CASA

The Applicant will:

1. Address the deficiencies cited by CASA.

2. Provide required documentation or advice to CASA in a timely manner.

3. Go to *1.3.9.7.4 Verify manuals and supporting information, and conduct system assessments*.

1.3.9.8   End verification and testing

The CASE Manager will:

1. Finalise verification and testing with the CASA Project Team.

> **Is verification and testing satisfactory?**
>
> CASA Project Team Member will determine if verification and testing is satisfactory based on completed checklists. Compile a report to confirm inspector outcomes.
>
> - If no go to *1.3.9.9 Provide advice to Applicant.*
> - If yes return to *1.3 Assessment (step 1.3.10).*

1.3.9.9   Provide advice to Applicant

The CASA Project Team must:

1. Liaise with the Applicant to address any deficiencies that have been found. Deficiencies must be confirmed to the Applicant in writing.

2. Advise the Applicant, in writing, that the job may be suspended until the deficiencies are addressed.

3. Go to *1.3.9.10 Respond to CASA.*

1.3.9.10   Respond to CASA

The Applicant will:

1. Address the deficiencies cited by CASA.

2. Provide required documentation or advice to CASA in a timely manner.

3. Go to *1.3.9.2 Start verification and testing.*

1.3.10   Conduct proving flights

Purpose

The proving flight will verify if the AOC Applicant operates in accordance with their documented processes and procedures that were provided to CASA for assessment. The AOC Applicant will demonstrate their ability to implement these processes and procedures to CASA's satisfaction.

This section of the manual outlines the process to conduct and assess a proving flight.

Context

Section 27AD allows CASA to require an Applicant to conduct proving flights or carry out other aircraft tests or demonstrations of procedures to assess whether the Applicant can safely conduct the operations covered by the AOC application.

References

The following guidance material is applicable to this section:

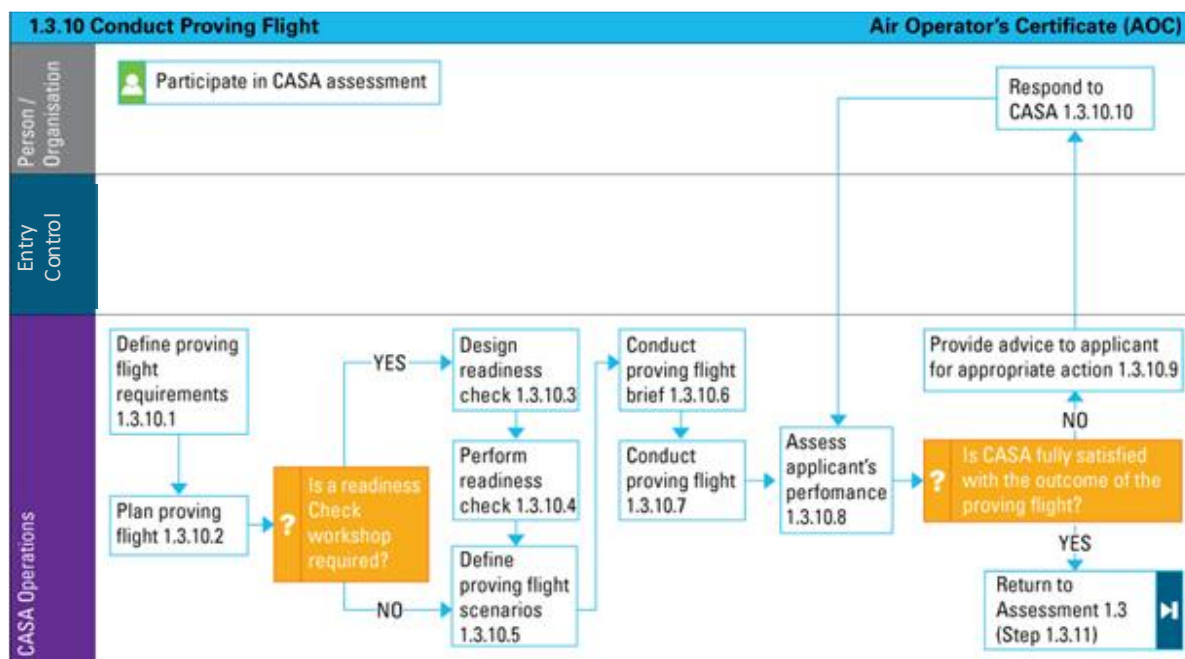**Protocols**

Protocol Worksheets

Process map

Figure 22. Level 1.3.10 – conduct proving flight process map

Process steps

1.3.10.1   Define proving flight requirements

The CASE Manager must:

1. Notify the Applicant of the requirements and details for the conduct of a proving flight.

2. Request that the Applicant nominates a preferred date.

3. Go to *1.3.10.2 Plan proving flight.*

1.3.10.2   Plan proving flight

The Project Team will:

1. Determine if the Applicant's proposed date is suitable with regard to:

    a. CASA internal resource availability

    b. the Applicant's readiness to undertake the proving flight

    c. the Applicant satisfying the emergency evacuation demonstration (as required)

    d. the Applicant satisfying the documentation and operational evaluation assessment.

2. Discuss and confirm the date for the proving flight with the Applicant.

> **Is a readiness check workshop required?**
>
> The CASE Manager must decide if the conduct of a readiness check workshop prior to the Proving Flight is required.
>
> *   If no go to *1.3.10.5 Design proving flight scenarios.*
> *   If yes go to *1.3.10.3 Design readiness check.*

1.3.10.3   Design readiness check

The CASE Manager must task the project team to:

1. Create workshop scenarios that include the areas to be checked.

2. Discuss and confirm with the Applicant, a suitable time and location for the workshop.

3. Provide the Applicant with a draft agenda for the workshop meeting.

4. Provide the Applicant with a list of documentation that is required at the workshop meeting.

5. Brief all CASA participants on their roles during the readiness check.

6. Go to *1.3.10.4 Perform readiness check.*

1.3.10.4   Perform readiness check

The CASA Project Team will:

1. Facilitate the workshop in accordance with the agenda and required documentation.

2. Go to *1.3.10.5 Design proving flight scenarios.*

1.3.10.5   Design proving flight scenarios

The CASE Manager will:

1. Finalise the proving flight team.

2. Satisfy international departure formalities e.g. passport, visas and security arrangements (as required).

3. Conduct an internal briefing to ensure the proving flight team understand their roles, responsibilities and coordinated scenarios.

The CASA Project Team must:

1. Prepare scenarios for the proving flight based on the assessment checklist items.

2. Attend the internal briefing.

> **Note:**
>
> The purpose of this meeting is to coordinate inspection activities to ensure that all necessary checks are accomplished with minimum disruption to the operation.

3. Go to *1.3.10.6 Conduct Proving Flight Briefing*

1.3.10.6   Conduct Proving Flight Briefing

The CASA Project Team must:

1. Provide the Applicant with a written notice which must clearly describe the scope of the proving flight.

2. Conduct the briefing with the Applicant prior to proving flight to address expectations (consideration should be given to the crew duty period involved).

> **Note:**
>
> The purpose of this meeting is to ensure that the Applicant's staff are fully aware of the CASA Project Team's intentions and the objectives to be achieved during the proving flight(s).

3. Go to *1.3.10.7 Conduct proving flight.*

1.3.10.7   Conduct proving flight

The Project Team must:

1. Conduct scenarios in accordance with the proving flight plan.

2. Observe activities and record findings.

1.3.10.8   Assess Applicant's performance

The Project Team must:

1. Meet to collate the results of the proving flight.

2. Assess the results and determine if:

    a. another proving flight is required

    b. any areas of deficiencies can be addressed without further proving flights

    c. the result was satisfactory.

Is CASA fully satisfied with the outcome of the proving flight?

The CASA Project Team must determine if all aspects of the proving flight were satisfactory. A proving flight cannot be deemed fully satisfactory if there are deficiencies found, whether or not these deficiencies require another proving flight to be conducted.

- If no go to *1.3.10.9 Provide advice to Applicant.*

- If yes go to *1.3 Assessment (step 1.3.11).*

1.3.10.9   Provide advice to Applicant

The Project Team must:

1. Meet to discuss the deficiencies found during the proving flight.

2. Discuss the required action required from the Applicant to address the deficiencies.

3. Meet and advise the Applicant of the result and discuss the deficiencies.

4. Discuss a satisfactory resolution to the deficiencies.

5. If the resolution requires the conduct of another proving flight, provide the reasons CASA requires a further proving flight.

6. Go to *1.3.10.10 Respond to CASA.*

1.3.10.10 Respond to CASA

The Applicant must:

1. Address the reasons to CASA's satisfaction.

2. If a further proving flight is required, advise CASA when they are ready to conduct another proving flight.

    a. If a proving flight is required, go to *1.3.10.5 Design proving flight scenarios*.

    b. If a further proving flight is NOT required, go to *1.3.10.8 Assess Applicant's performance*.

3. Once verification and testing are complete, go to *1.3.11 Finalise documentation and generate recommendation.*

4. Once Proving Flight is complete, go to *1.3.11 Finalise documentation and generate recommendation*.

1.3.11   Finalise documentation and generate recommendation

The CASE Manager will:

1. Ensure all necessary checklists are completed and signed by the respective CASA Project Team Member.

2. Finalise time recording and calculate total chargeable hours spent in processing the AOC application.

---

3. Complete the OPS worksheet or draft a Standard Form Recommendation (SFR) as required.

4. Review draft AOC against what has been applied for and assessed as being capable of complying with the AOC requirements.

5. Advise the Applicant of the final assessment outcomes and recommendation.

6. Submit all documents to the RSM for review or peer review (if required).

7. Complete all record management requirements.

The RSM will:

1. Review the assessment documentation.

2. Submit to the Delegate for their consideration and decision as appropriate.

3. Go to *1.3.12 Submit recommendation*.

1.3.12   Submit recommendation

The Delegate will:

1. Review, sign and complete the OPS worksheet or SFR and other supporting documents, including the estimate builder to ECC for processing.

2. Go to *1.4 Certification*.

1.4   Certification

Purpose

The purpose of the Certification Phase is to:

- finalise an application for Delegate approval
- issue of the AOC to the Applicant, if approved.

Context

If a person applies to CASA for an AOC, CASA must issue the AOC if CASA is satisfied the Applicant has complied with or is capable of complying with, the safety rules; and is satisfied about the matters in relation to the Applicant's organisation, as outlined in Section 28 of the Civil Aviation Act 1988.

References

The following guidance material is applicable to this section:
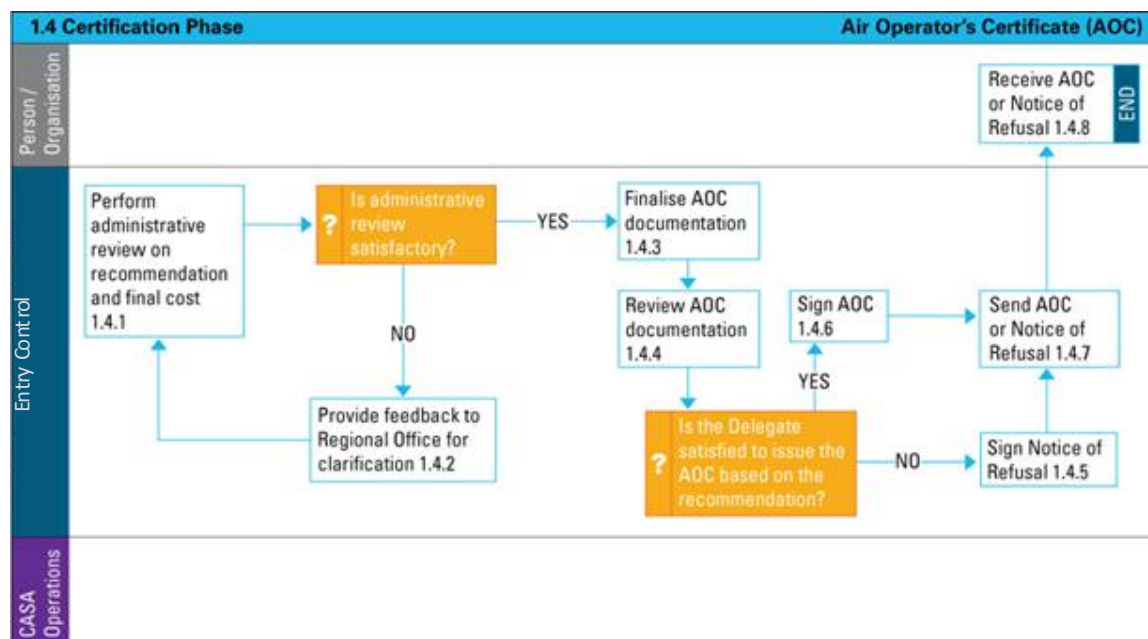
Protocols

Protocol Worksheets

Process map

Figure 23. Level 1.4 – certification phase process map

Process steps

1.4.1 Perform administrative review on recommendation and final cost

ECC must:

1. Review the recommendation, using the AOC application, to ensure the worksheet or SFR is reflecting what was applied for and the recommendation outlines CASA's decision to issue or not issue the authorisations requested.

2. Ensure all necessary details in the recommendation are complete.

Is administrative review satisfactory?

ECC must review the AOC Instruction Sheet to ensure all appropriate checklist items have been checked.

- If no go to *1.4.2 Provide feedback to the Assessing Inspector for clarification.*

- If yes go to *1.4.3 Perform administrative review on recommendation and final cost.*

1.4.2 Provide feedback to the Assessing Inspector for clarification

ECC will:

1. Advise the assessing inspector of the issues.

The Assessing Inspector will:

1. Provide clarification and address issues as required.

2. Go to *1.4.1 Perform administrative review on recommendation and final cost*.

1.4.3   Finalise AOC documentation

ECC will:

1.   Prepare the AOC or Notice of Refusal along with all required information for the CASA Delegate to sign.

2.   Submit to CASA Delegate.

> **Note:**
>
> The Notice of Refusal must contain a statement advising the Applicant of their rights to appeal CASA's decision and the time limits for lodging an appeal with the Administrative Appeals Tribunal (AAT).

1.4.4   Review AOC documentation

> **Note:**
>
> The CASA Delegate must be satisfied the proposed activities, as outlined in the application and supporting documentation, meet all the safety and legislative requirements.

The CASA Delegate must:

1.   Review Worksheets/SFR, final AOC and other supporting documents.

2.   Be satisfied that the Applicant has met the requirements for the issue of an AOC.

> **Is the CASA Delegate satisfied to issue the AOC based on the recommendation?**
>
> The CASA Delegate must be satisfied the Applicant meets all requirements before granting the AOC.
>
> - If no go to *1.4.5 Sign Notice of Refusal to issue the AOC.*
> - If yes go to *1.4.6 Sign AOC.*

1.4.5   Sign Notice of Refusal to issue the AOC

The CASA Delegate will:

1.   Discuss the issues and CASA's planned course of action with the assessing RSM.

2.   Sign the Notice of Refusal to Issue the AOC, account reconciliation and other documents.

3.   Go to *1.4.7 Send AOC or Notice of Refusal*.

1.4.6   Sign AOC

The CASA Delegate must:

1.   Sign the AOC, account reconciliation and other documents requiring delegate's signature.

2.   Go to *1.4.7 Send AOC or Notice of Refusal*.

1.4.7   Send AOC or Notice of Refusal

ECC must:

1.   Send the AOC or Notice of Refusal to Issue AOC, and other relevant documents to the Applicant.

2.   Provide a copy of the AOC or Notice of Refusal to Issue AOC to the RSM.

3.   Perform other administrative tasks required to close the job.

4. Go to *1.4.8 Receive AOC or Notice of Refusal*.

1.4.8   Receive AOC or Notice of Refusal

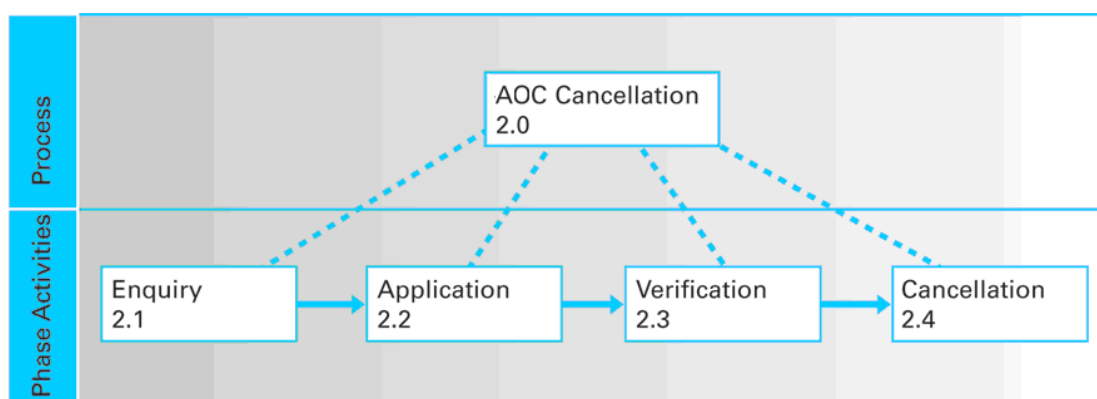1. The Applicant will receive AOC or Notice of Refusal to Issue AOC.

End of Process.

2 Cancelling an Air Operator's Certificate

Overview of the AOC Cancellation Process

The AOC cancellation process comprises four phases:

1. Enquiry
2. Application
3. Verification
4. Cancellation.

This manual describes each phase using process maps.

Figure 24.   Level 2 – AOC cancellation process map

The Cancellation process provides AOC holders information on the circumstances under which an AOC can be cancelled. In conjunction with the Enforcement Manual, information in this section will give visibility on the steps CASA takes to cancel an Air Operator's Certificate in the following circumstances:

- certificate holder's request
- result of an enforcement action.

2.1 Cancellations at the AOC holder's request

Purpose

The purpose of this process is to provide AOC holder's information on the process CASA undertakes to cancel an AOC at the request of the AOC holder.

Context

Section 27(3) of the Act specifies if a holder of an AOC makes a request in writing to CASA for the revocation of the AOC, CASA must cancel the AOC.

References

The following guidance material is applicable to this section:

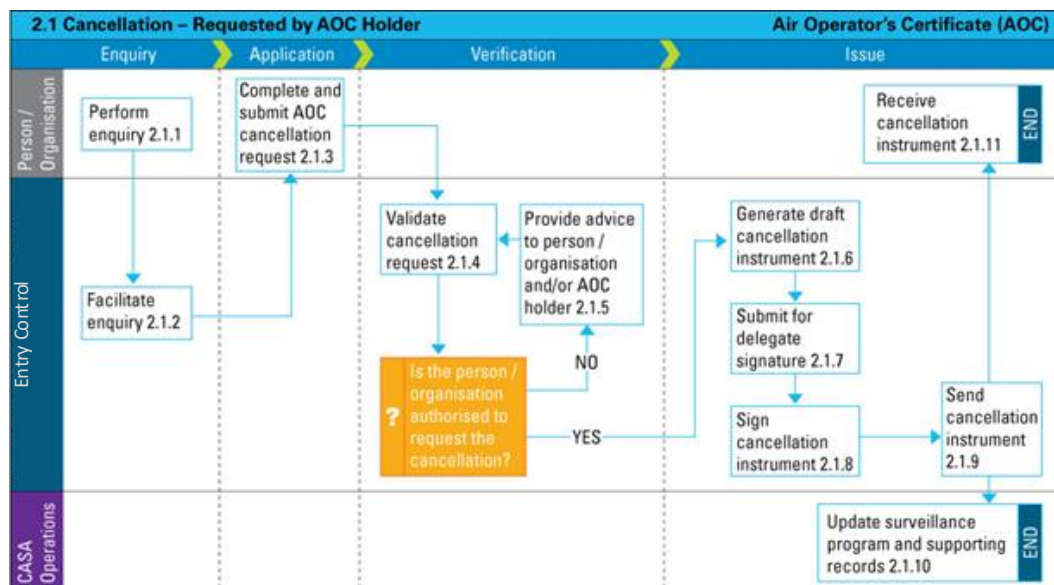**Regulatory Services Procedures Manual**

ECC Forms

Process map

Figure 25.   Level 2.1 – AOC cancellation requested by AOC holder process map

Process steps

2.1.1   Perform enquiry

The Operator must:

1. Contact ECC in regard to cancelling an AOC, if they are unsure of the process.

2. Go to *2.1.2 Facilitate enquiry*.

2.1.2   Facilitate enquiry

ECC will:

1. Offer advice on the cancellation process as required.

2.1.3   Complete and submit AOC cancellation request

The Operator must:

1. Complete and send a cancellation request to CASA.

2. Go to *2.1.4 Validate cancellation request*.

2.1.4   Validate cancellation request

ECC will:

1. Review the request to cancel.

2. Send the request to Surveillance Branch to confirm that no matters would prevent the operators request or cancellation.

3. Ensure that the person requesting the cancellation is the AOC Holder, or in the case of an organisation, is a person who holds an authority to request a cancellation.

> **Is the person/organisation authorised to request the cancellation?**
>
> ECC must ensure that the person/organisation is authorised to request the cancellation.
> - If no go to *2.1.5 Provide advice to person/organisation and/or AOC holder*.
> - If yes go to *2.1.6 Generate draft cancellation instrument.*

2.1.5   Provide advice to person/organisation and/or AOC holder

ECC will:

1.   Contact the certificate holder and request for proof of authority to request cancellation.

2.   Go to *2.1.4 Validate cancellation request*.

2.1.6   Generate draft cancellation instrument

ECC will:

1.   Create the instrument to cancel AOC.

2.   Go to *2.1.7 Submit for delegate signature*.

2.1.7   Submit for delegate signature

ECC will:

1.   Package all administrative information, including the draft instrument of cancellation, and submit to the CASA delegate for signature.

2.   Go to *2.1.8 Sign cancellation instrument*.

2.1.8   Sign cancellation instrument

The ECC Delegate must:

1.   Sign cancellation instrument.

2.   Go to *2.1.9 Send cancellation instrument*.

2.1.9   Send cancellation instrument

ECC will:

1.   Send cancellation instrument to the operator.

2.   Notify the relevant RSM of the cancellation.

3.   Notify Safety Systems Office.

4.   Notify Surveillance Branch

5.   Perform other administrative tasks required to close the job.

6.   Go to *2.1.10 Update surveillance program and supporting records*.

2.1.10   Update surveillance program and supporting records

The Surveillance Branch will:

1.   Update surveillance program and other supporting records pertaining to the AOC activities.

2.   Go to *2.1.11 Receive cancellation instrument*.

2.1.11 Receive cancellation instrument

The Operator will:

1. Receive cancellation instrument.

End of Process.

2.2 Cancellations as a result of CASA action

CASA may, following unsuccessful attempts to secure compliance from a certificate holder, decide to initiate administrative action against the Air Operator's Certificate. Such administrative action is carried out in accordance with the CASA Enforcement Manual.

Administrative tasks associated with a cancellation of an AOC as a result of CASA Action are handled by the Client Services Centre, e.g. updating operator's AOC record.

3   Other AOC related CASA Approvals and Exemptions

Overview of the approvals and exemptions process

This generic process for the issue of approvals and exemptions comprises four phases:

1. Enquiry
2. Application
3. Assessment
4. Issue.

This manual describes each phase by using process maps.

The subordinate permission process provides AOC holders with information on the circumstances under which permissions, approvals and exemptions tied to an Air Operator's Certificate are processed. This generic RSM process covers all applications for AOC subordinate permissions not tied to an AOC application.

Purpose

The purpose of this process is to provide information to AOC applicants on the process CASA undertakes to issue an approval or an exemption tied to an Air Operator's Certificate.

Context

CASA assesses and issues a wide range of approvals, permissions or exemptions in relation to an Air Operator's Certificate. Assessing and issuing these approvals, permissions or exemptions are required by the relevant provision in the Civil Aviation Act 1988, Civil Aviation Regulations 1988 or Civil Aviation Orders.

References

The following guidance material is applicable to this section.

Please refer to the CASA guidance material relevant to the permission applied for.

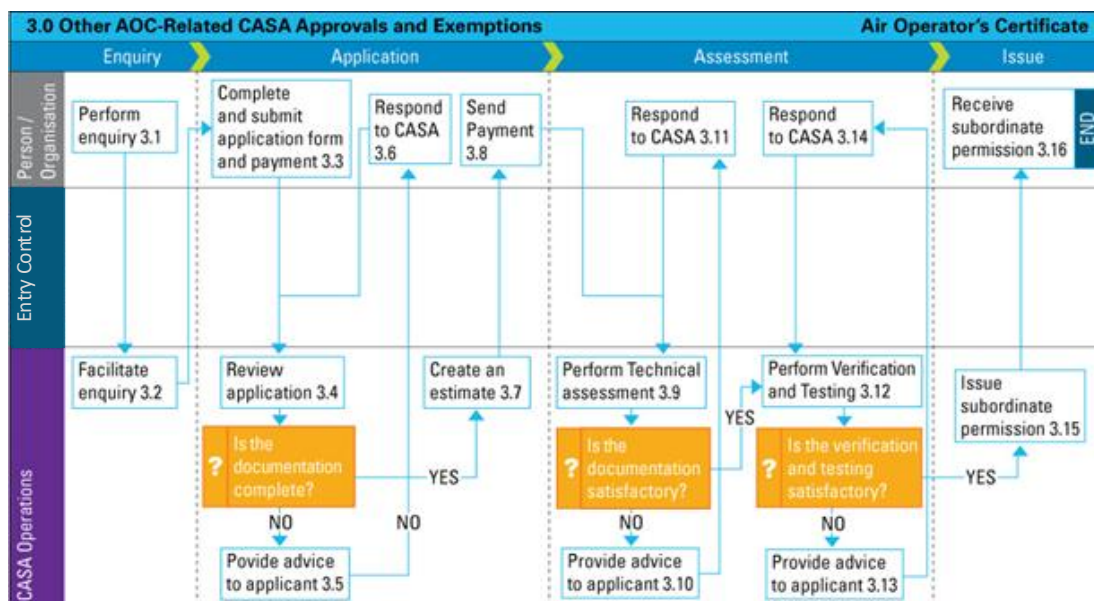**Please refer to the CASA forms relevant to the permission applied for.**

Process map

Figure 26. **Level 3 – other AOC related CASA approvals process map**

Process steps

3.1   Perform enquiry

The Applicant will:

1. Make initial contact with ECC in regard to applying for an approval or an exemption.

2. Go to *3.2 Facilitate enquiry*.

3.2   Facilitate enquiry

ECC will:

1. Offer advice as required on requirements and associated cost.

2. Direct the Applicant to the relevant forms and guidance material.

> **Note:**
>
> If required, ECC will discuss with the local RSM to provide an estimate of costs to the Applicant at this stage or when the application is received.

3. Go to *3.3 Complete and submit application.*

3.3   Complete and submit application

The Applicant must:

1. Apply to CASA using appropriate form when available.

2. Go to *3.4 Review application*.

3.4   Review application

ECC will:

1. Receive the application and supporting documentation and acknowledge receipt via email.

2. Review the application for completeness.

> **Is the Application complete?**
>
> ECC will ensure the application, including the required supporting information, are complete.
>
> - If no go to *3.5 Provide advice to Applicant.*
> - If yes go to *3.7 Create an estimate.*

3.5 Provide advice to Applicant

ECC must:

1. Liaise with the Applicant to address any deficiencies that have been found. Deficiencies must be confirmed to the Applicant in writing.

2. Go to *3.6 Respond to CASA*.

3.6 Respond to CASA

The Applicant must:

1. Address the deficiencies cited by CASA.

2. Provide required documentation or advice to CASA in a timely manner.

3. Go to *3.4 Review application*.

3.7 Create an estimate

ECC must:

1. Create an estimate and send an estimate letter to the Applicant. The estimate letter includes the estimate amount and, if applicable, a list of further documentation required.

3.8 Payment

The Applicant must:

1. Send payment to CASA.

ECC will:

1. Receive receipt of the payment from Accounts Receivable

2. Review additional information supplied by the Applicant.

3. Cancel the estimate and application if the Applicant has not made any payment and/or submitted requested documents unless an extension has been issued

End AOC Process.

3.9 Perform technical assessment

> **Note:**
>
> The Applicant may be required to participate during the Technical Documentation Assessment.

The NM must:

1. Determine if the RSM has the technical expertise within the assessment team to assess the application.
2. Direct the RSM to determine the workload and availability of technical staff to assess the application.
3. Discuss with the RSM if external resources are required to assess the application.
4. Appoint a CASE Manager.

The CASE Manager must:

1. Assemble the assessment team required to assess the application.

The CASA Project Team will:

1. Create a project plan.
2. Contact the Applicant to advise of the assessment schedule.
3. Start technical documentation assessment.

The CASA Project Team Member must:

1. Gather all documents required for the technical documentation assessment.

> **Is the documentation satisfactory?**
>
> The CASA Project Team Member must ensure that the quality and completeness of all documentation is satisfactory.
>
> - If no go to *3.10 Provide advice to Applicant.*
> - If yes go to *3.12 Perform verification and testing.*

3.10   Provide advice to Applicant

The CASA Project Team Member must:

1. Liaise with the Applicant to address any deficiencies that have been found. Deficiencies must be confirmed to the Applicant in writing.

3.11   Respond to CASA

The Applicant will:

1. Address the deficiencies cited by CASA.
2. Provide required documentation or advice to CASA in a timely manner.
3. Go to *3.9 Perform technical assessment*.

3.12   Perform verification and testing

The CASA Project Team Member will:

1. Review the results of the technical assessment to determine if verification and testing is required.
2. If required, prepare all materials, including checklists, required for verification and testing.
3. Contact Applicant to schedule verification and testing.
4. Conduct verification and testing. Verification and testing may involve any one or a combination of the following:
   a. sighting evidence of compliance with the requirements
   b. testing the suitability, conformity and appropriateness of the submission. This includes testing or interviewing personnel according to performance criteria.

> **Is verification and testing satisfactory?**
>
> CASA must be satisfied with the integrity of the information submitted with the application.
>
> - If no go to *3.13 Provide advice to Applicant.*
> - If yes go to *3.15 Issue Instrument of Approval.*

3.13   Provide advice to Applicant

The CASA Project Team Member must:

1. Liaise with the Applicant to address any deficiencies that have been found. Deficiencies must be confirmed to the Applicant in writing.

2. Go to *3.14 Respond to CASA.*

3.14   Respond to CASA

The Applicant will:

1. Address the deficiencies cited by CASA.

2. Provide required documentation or advice to CASA in a timely manner.

3. Go to *3.12 Perform verification and testing* (step 4).

3.15   Issue Instrument of Approval

The CASE Manager will:

1. Finalise any other documents to complete the assessment.

2. Finalise time recording and calculate total chargeable hours spent in processing the AOC application.

3. Complete the Protocol worksheet or Draft Standard Form Recommendation (SFR) and/or draft Instrument of Approval.

4. Advise the Applicant of the final assessment outcomes and recommendation.

5. Submit all documents to the RSM for review.

6. Complete all record management requirements.

The RSM will:

1. Review the assessment documentation, SFR (if applicable) and draft Instrument of Approval.

2. Submit documentation to the CASA Delegate for review and sign-off as appropriate.

The CASA Delegate will:

1. Review the recommendation to ensure the Protocol Worksheet or Standard Form Recommendation (SFR) recommendation outlines CASA's decision to grant or not grant the authorisations requested, and/or the draft Instrument of Approval is reflecting what was applied for.

2. Ensure all necessary details in the recommendation are complete.

3. Sign the Instrument of Approval, if satisfied

> **Note:**
>
> The CASA Delegate must be satisfied that the Applicant meets all the safety and legislative requirements for the particular approval applied for.

4. Sign the Notice of Refusal, if the Applicant has not met all the safety and legislative requirements for the approval applied for.

5. Sign account reconciliation and other documents as required.

ECC will:

1. Send the Instrument of Approval or Notice of Refusal to Issue, and other relevant documents, to the Applicant.

2. Where a signed Instrument of Approval affects the details on the AOC, request ECC to re-issue the AOC. The request must include advice on the following:

   a. that payment for the re-issue of the AOC has been received.

   b. that the Instrument of Approval has been attached to the relevant CASA database.

3. Perform other administrative tasks required to close the job.

3.16   Receive Instrument of Approval or Notice of Refusal

The Applicant will:

1. Receive Instrument of Approval or Notice of Refusal to Issue.

End of Process.