



# Certificate of Approval Handbook

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## Glossary

### Acronyms and abbreviations

Acronym / abbreviation	Description
AAC	Airworthiness Advisory Circular
AC	Advisory Circular
ACN	Australian Company Number
Act	Civil Aviation Act 1988 as amended
AD	Airworthiness Directive (issued under CASR)
ARN	Aviation Reference Number (a CASA- derived number)
PSEA	Prescribed Single Engine Aeroplane
AWB	Airworthiness Bulletin
AWI	Airworthiness Inspector, referred to as CASA Inspector in this Handbook
CAAP	Civil Aviation Advisory Publication
CAO	Civil Aviation Order
CAR	Civil Aviation Regulations 1988
CASR	Civil Aviation Safety Regulations 1998
ECCT	Entry Control and Coordination Team
Air Transport - Large Aircraft	CASR Part 121
ICAO	International Civil Aviation Organisation
Air Transport - smaller aircraft	CASR Part 135
MCM	Maintenance Control Manual
MDR	Major Defect Report
MITCOM	Manufactured in the course of maintenance
NATA	National Association of Testing Authorities
SFR	Standard Form Recommendation – an internal CASA process
SPL	Special Purpose Lane
STC	Supplemental Type Certificate
TC	Type Certificate

## Definitions

Within this Handbook, the term COA Applicant is used to describe someone who is applying for a COA (whether it is for an initial issue, variation, renewal, or cancellation). Once a COA has been issued, in line with the regulations and other advisory publications, the organisation is referred to as a COA Holder or an Aircraft Maintenance Organisation (AMO).

Term	Definition
Applicant	A legal entity (a person or an organisation) applying for a Certificate of Approval – also referred to as the proposed certificate holder in this Handbook.
Accountable Manager	The accountable manager is, the certificate of approval holder or person nominated by the legal entity holding the certificate of approval, who has been given corporate authority for ensuring that all maintenance required, can be financed and carried out to the standards required by the regulations.
CASA Project Manager	A role assigned to a CASA Officer who is responsible for managing the overall assessment process and, in particular, the coordination of the project team members tasked to assess a COA application.
CASA Project Team	A group of CASA Inspectors responsible for assessing an application for a COA. The size of the CASA Project Team is usually determined by the scope and complexity of the COA application. In some cases, the team could be comprised of only one CASA Inspector.
National Manager	<p>The National Manager Regulatory Services leads and manages the technical teams that are geographically dispersed across the CASA Local Office network. The National Manager (NM) role forms part of the Regulatory Oversight Division's (RO) leadership team and is accountable for the provision of regulatory services to the aviation industry.</p> <p>The National Manager (RS) is accountable for ensuring that regulatory assessment functions are conducted in accordance with the Civil Aviation Act and that the Branch achieves required performance through standardisation and consistent application of processes and efficient use of resources.</p>
Local Office	The location of the CASA assessment team responsible for assessing the COA applications according to the procedures outlined in this COA Process Manual and the COA Handbook and advising the CASA delegate of the recommended action in relation to an application.
Regulatory Service Manager (RSM)	A CASA Team Manager who is responsible for task allocations, resource management and consistent application of processes within their team of CASA Inspectors. The Regulatory Service Manager liaises between CASA Project Managers and the National Manager to ensure adequate resources are available for assessments.
Certificate of Approval (COA)	An approval issued by CASA, authorising a legal entity (person or organisation) to conduct activities under CAR 30.

COA Holder	A legal entity who holds a Certificate of Approval under CAR 30.
Entry Control and Coordination Team (ECCT)	CASA's single point of contact for regulatory services under the direction of Regulatory Oversight Division. This team processes applications, provides information to Applicants and receives payments. It registers, tracks and monitors service delivery and in most cases, issues the final permissions or certificates.
Local Assessment team	The regulatory service team conducting the operational assessment of the application.
Delegate	A CASA officer who has the authority, for the purposes of this Handbook, to make a decision to grant, vary, refuse, suspend or cancel a Certificate of Approval under CAR 30.
Entry Control	Common term used to describe the process to assess an entrant, or Applicant, for the purposes of issuing a permission to undertake a particular aviation activity.
Inspector	A CASA officer who conducts the assessment to ensure that an applicant has satisfactorily met the requirements set by legislation for the issue of a Certificate of Approval.
Legal entity	A natural person or an organisation having legal personality, capable of enjoying and being subject to legal rights and duties established under relevant state or Commonwealth law.
Permission	General term used to describe all civil aviation authorisations issued by CASA, that authorise a person or organisation to undertake a particular aviation-related activity. Includes all licences, permits, approvals, authorisations, certificates, exemptions and delegations.

## Revision history

Amendments/revisions of this Handbook are recorded below in order of most recent first.

Version No.	Date	Parts/Sections	Details
3.0	May 2023	All	Content Review and Update
2.1	February 2017	9.2.11	Alternate maintenance data wording added.
2.0	September 2016	All	Complete Revision.
1.0	March 2011	All	New handbook.

# 1 Introduction

A person engaged, or intending to engage, in any stage of distribution or maintenance of aircraft, aircraft components or aircraft materials, referred to in Regulation 30(1) of the Civil Aviation Regulation 1988 (CAR), may apply to CASA for a Certificate of Approval (COA) in respect of those activities.

The COA Handbook is part of the COA Manual Suite which provides Applicants with information on how to obtain a Certificate of Approval for certain activities outlined in Regulation 30 of CAR 1988. It also provides existing certificate holders with information on how to maintain their certificate or vary their existing COA.

The COA Handbook supports the COA Process Manual, which outlines the steps CASA and the Applicant need to take to process an application for a COA.

This Handbook must be used in conjunction with information provided in the CAAP 30-4.

This Handbook is subject to a continuous improvement program and as such is under continuous development and review. Submissions for change/suggested amendments, can be submitted as per the Continuous Improvement Process.

## 1.1 Purpose of the handbook

The purpose of this Handbook is to provide CASA staff with standard entry control requirements for the processing of an application for a Grant of, or Change to, a Certificate of Approval. It provides an explanation of the COA issue and change process and guidance on the requirements which must be met in order to obtain, change and maintain a Certificate of Approval.

The Handbook, together with the other documents in the COA Manual Suite, aims to establish transparency in CASA decision-making processes.

The guidance information contained in this Handbook applies to all maintenance organisations, and is to be applied as appropriate, given due consideration for the size and complexity of the organisation.

## 1.2 Who this handbook is for

This Handbook is for the use of both CASA staff and persons or organisations applying for, or holding a Certificate of Approval.

## 1.3 What this handbook covers

This Handbook sets out the guidance information for the granting of or change to, a Certificate of Approval covering any of the following activities:

- The distribution and maintenance of aircraft, aircraft components and aircraft materials.

The Handbook provides:

- The legislative or policy framework which supports the process
- Detailed guidance material to support completion of a work step
- Best practice where applicable.

The Handbook sets out the criteria CASA would expect an Applicant to meet to obtain a COA. Meeting these criteria should ensure that the Applicant will have the systems, including procedures, equipment and staff necessary, to ensure that aviation safety is not compromised, thus satisfying government, CASA and public expectation.

In developing this Handbook, the following were considered:

- The Civil Aviation Act 1988
- Civil Aviation Regulation (CAR) 30
- Other relevant Commonwealth Legislation
- CAAPs
- CASA policies and procedures
- Input from CASA staff
- Experience and knowledge of the Handbook's development team.

By adhering to the Handbook's procedures, a standard and unified approach consistent with regulatory requirements will be maintained when granting or changing a Certificate of Approval.

## 1.4 Reserved

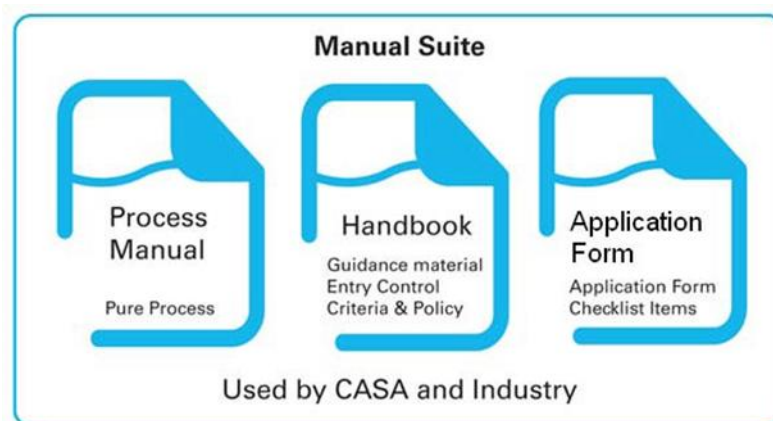
Reserved.

## 1.5 The structure of the handbook

### 1.5.1 The COA manual suite

This COA Handbook is part of the COA Manual Suite that provides guidance on applying for, granting and maintaining a COA. The Suite consists of the following, as shown in the diagram below:

- This Handbook
- The COA Process Manual
- The COA Application Form.



The Handbook deals with the detailed information on the requirements with which the Applicant must comply to apply for and obtain a COA, and the legislative requirements, the assessment criteria and policies CASA applies, to assess and grant a COA.

The Handbook aligns with and supports the COA Process Manual by providing detailed explanations on the requirements outlined in the process work steps. Information in the

Handbook is organised under headings that correspond to line elements in the Part M Assessment section of the Application Form 019.

The COA Process Manual sets out the process that the Applicant and CASA must follow from enquiry to assessment and granting of a COA. It is designed as a fast, quick-reference mechanism that standardises how CASA Inspectors carry out the assessment activities. It also outlines the points of interaction between CASA and the aviation industry in the conduct of these activities. The full version of the Certificate of Approval Process Manual is available on the CASA website.

The COA Application Forms allow an applicant to submit an application for an initial issue, renewal or a change to an existing Certificate of Approval, and CASA to assess that application. COA Application Form 019, which applies to an application for an initial issue of or a variation to an existing COA, is a document which consolidates the COA Application Form and the assessment checklists.

### **1.5.2 The handbook content structure**

Each chapter, with the exception of the first four chapters, is laid out as follows:

1. Introduction
2. Entry Control Requirements
3. Documentation Review
4. Verification and Testing
5. References.

### **1.5.3 Where to get further information/assistance**

To obtain further assistance with any of the information contained within this Handbook, contact the Regulatory Services team on 131 757 or visit the CASA website at [www.casa.gov.au](http://www.casa.gov.au).

## 2 Certificate of approval overview

### 2.1 What is a certificate of approval?

A Certificate of Approval is a permission granted by CASA to allow persons to engage in the distribution or maintenance of aircraft, aircraft components or aircraft materials.

### 2.2 Who Needs a certificate of approval?

Any person or organisation intending to engage in maintenance of aircraft, aircraft components or aircraft materials, must have a Certificate of Approval before they can conduct any of these activities.

People or organisations intending to engage in distribution may also apply for a Certificate of Approval.

### 2.3 Who may apply for a certificate of approval?

Any legal entity, capable of enjoying and being subject to legal rights and responsibilities may apply for a COA. This includes:

- A natural person or a group of natural persons
- An incorporated company or association, or a group thereof
- A body corporate or politic created by statute.

CASA requirements on legal identity checks are set out in detail in Section 4.4.4 of this Handbook.

### 2.4 Types of authorisation

The following types of authorisation can be approved under a Certificate of Approval:

- Maintenance of Aircraft
- Maintenance of Aircraft Airframe Components
- Maintenance of Aircraft Engine Components or Engine sub-assemblies or Engine sub-components
- Maintenance of Components – Propellers
- Maintenance of Aircraft Electrical Components
- Maintenance of Aircraft Instrument Components
- Maintenance of Aircraft Radio Components
- Specialised Maintenance of Aircraft Materials
- Specialised Maintenance of Tasks on Aircraft and/or Components
- Distribution of aviation products



## 2.5 The COA processes

### 2.5.1 Certification

The COA approval process consists of four main phases: Enquiry, Application, Assessment and Certification. Detailed information regarding these phases is discussed in Chapter 4 of this Handbook.

### 2.5.2 Suspension or cancellation at the request of the COA holder

CASA must suspend or cancel a COA under CASR 11.130 if the COA holder provides a written request. There is no specified form for the suspension or cancellation of a COA.

The written request to suspend or cancel must be signed by all the holders named on the COA. In respect of an organisation, the request must be signed by a director of that organisation or his/her authorised agent.

### 2.5.3 Cancellation, suspension or variation as a result of enforcement action

It is the responsibility of the COA Holder to ensure the conduct of activities authorised by the COA continues to comply with legislative requirements.

CASA may take enforcement action to limit, constrain or prevent a COA Holder, who is demonstrably unable and/or unwilling to comply with specified legislative requirements, from continuing to conduct the COA activities.

CAR 269 (1) provides that CASA may, by notice in writing served on the COA holder, cancel, suspend or vary the certificate where CASA is satisfied the grounds stipulated in CAR 269(1)(a) to (e) exists.

The administrative actions in relation to this are carried out in accordance with the CASA Enforcement Manual and Coordinated Enforcement Policy.

The process involving administrative action is coordinated by CASA Legal, International & Regulatory affairs Division. If a certificate is cancelled, suspended or varied as a result of enforcement action, a job still needs to be raised by the Entry Control and Coordination team to include details of the action in the database.

## 3 Legislation and regulations

A range of legislative and regulatory requirements govern the issue of a Certificate of Approval (COA). For the issue of a COA, CASA must be satisfied the Applicant will be able to carry out activities in a satisfactory manner, including the ability to comply with relevant legislation.

### 3.1 Hierarchy of legislative requirements

The Head of Power for all CASA operations is the Civil Aviation Act 1988.

The following is a list of the hierarchy of legislation and advisory materials that are relevant to Certificates of Approval:

- Civil Aviation Act 1988
- Civil Aviation Regulations (CAR) 1988 and Civil Aviation Safety Regulations (CASR) 1998
- Civil Aviation Orders (CAO)
- Manual of Standards (MOS)
- Other instruments such as:
  - Airworthiness Directives (AD)
- Advisory Information including:
  - Civil Aviation Advisory Publications (CAAP)
  - Advisory Circulars (AC)
  - CASA Policy
  - Legislation and regulations applying to COA

The following sets out the primary regulatory requirements relevant to a Certificate of Approval. Other related guidance material may be referenced within chapters of the Handbook.

#### 3.1.1 Civil Aviation Act 1988

- Section 11 - Australia, as a contracting state to ICAO, has an obligation to ensure that functions carried out in Australia are performed in accordance with international agreements. The Civil Aviation Act 1988, section 11 refers to these requirements.
- Section 31 – Under this section of the Act, all decisions to refuse to grant, vary, suspend or cancel the Certificate of Approval are reviewable by the Administrative Appeals Tribunal.
- Section 97 - If a fee is prescribed for the granting of a Certificate of Approval, the Certificate should not be granted until the fee is paid.

#### 3.1.2 Civil Aviation Safety Regulation 1998

- CASR 11.130 – Suspension or cancellation of authorisation

### 3.1.3 Civil Aviation Regulations 1988

- CAR 2(1) - Interpretations
- CAR 30(1) - Defines who may apply for a Certificate of Approval
- CAR 30(2) - Defines what must be submitted with the application
- CAR 30(2A) - States that CASA must grant a Certificate of Approval if satisfied that the Applicant is able to carry out the activities as stated in the application in a satisfactory manner
- CAR 30(2B) - States the matters which CASA must have regard to in forming the satisfaction required under CAR 30(2A)
- CAR 30(2C) - Sets out the statutory conditions to which a Certificate of Approval is subject once it has been issued
- CAR 30(2D) - States what is to be included in the statement describing the system of quality control
- CAR 30(3) - Allows CASA to grant a Certificate of Approval subject to conditions
- CAR 30(3A) - Penalty clause in support of conditions imposed by CAR 30(3)
- CAR 30(4) - Regulatory rights of access to authorised person for inspection
- CAR 30(4A) - Penalty clause in support of CAR 30(4)
- CAR 30(5-6) - Requirements for authorised person to produce identity card for inspection
- CAR 30A(1-4) - States requirements for changes to Certificate of Approval
- CAR 30B(1-3) - Describes notice of events to be given
- CAR 32 - Provides for a period of operation of a Certificate of Approval
- CAR 42W - States requirement for the installation and use of aircraft components in maintenance – Australian aircraft in Australian territory
- CAR 42ZC - States requirement for the holding of a Certificate of Approval in order to perform maintenance of Australian aircraft in Australia
- CAR 42ZE – Sets out the manner in which maintenance performed under a CAR 30 Certificate of Approval is to be certified
- CAR 264 - Refusal to grant a Certificate of Approval
- CAR 267 - Describes requirements for variation to the Certificate at the request of the holder
- CAR 269 - Empower CASA to vary, cancel or suspend a Certificate of Approval if any condition of the Certificate is breached
- CAR 270 & 272A - Describe the effects of any decision on the Certificate holder
- CAR 282(1-5) - Defines the penalty for offences in relation to the Certificate of Approval
- CAR 305 – Grants authorized CASA officers access to premises for the purposes of inspecting maintenance activities and records and specifies the penalty for obstruction of and/or interference with CASA officers during this process

### **3.1.4 Civil Aviation Orders**

- CAO 100.5 – General Requirements in Maintenance of all Australian Aircraft
- CAO 100.16 – Administration & Procedure – Distribution and Rejection of Aircraft Components and Aircraft Materials
- CAO 104.0 – Certificates of Approval

### **3.1.5 Civil Aviation Advisory Publications**

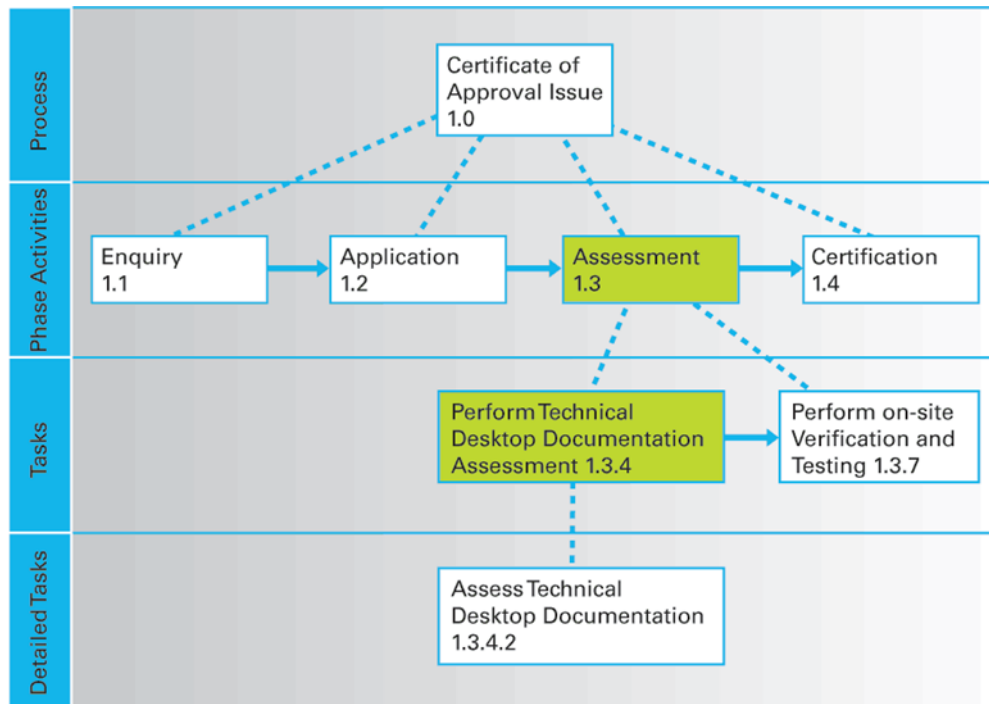
- CAAP 30-3 – Approved Maintenance Organisation – Limited category aircraft
- CAAP 30-4 – Certificate of Approval – Maintenance Organisation

### **3.1.6 Advisory Circular**

- AC 21-35: Calibration – Inspection and Test Equipment
- AC 66-3: Engine Ground Run Training and Assessment

## 4 COA certification process

The following diagrams show the overall process for obtaining a COA.



### 4.1 CASA responsibilities

CASA's responsibilities in relation to the COA application are to:

- Assess the application and all supporting documentation, as received from the Applicant, to determine whether it is satisfied the Applicant is able to carry out the proposed activities to be conducted under the certificate.
- Perform an assessment in accordance with this Handbook, the COA Process Manual and the COA Application Forms, including consideration of the matters set out in CAR 30 (2B) and the conditions to which a certificate is subject, as set out in CAR 30 (2C). The assessment process includes consideration of information provided by the Applicant and verification of the information provided.
- Manage the COA application process within CASA, applying acceptable project management principles and practices.
- Observe Occupational Health and Safety policies.
- Inform the Applicant of the names of the CASA officers who will be working on the assessment.

## 4.2 Applicant's responsibilities

The Applicant's responsibilities in relation to the COA are to:

- Be familiar with the regulatory requirements that apply to the COA Holder as outlined in Chapter 3 of this Handbook.
- Understand CASA's policy requirement as outlined in the Handbook.
- Establish an organisation with the resources and procedures to meet the legislative and safety requirements and CASA policies.
- Project manage the COA application within their business and provide a single point of contact for CASA.
- Provide a completed COA application form and the supporting information required by CASA to undertake their assessment for the COA.
- Make available elements of their organisation for CASA to verify the information provided in the application and supporting documentation.
- Participate in the assessment of the COA where the CASA Inspector requires them to do so, and ensure the facility is in a ready state for inspection.

Where the assessment identifies a risk to the satisfactory conduct of the COA activities for which no guidance has been provided in the Handbook, or the COA Application Forms, it will be the Applicant's responsibility to address that risk to CASA's satisfaction. The CASA Inspector will provide guidance on the additional requirements the Applicant must comply with in order to address the identified risk to CASA satisfaction.

## 4.3 Enquiry

The Guidance Delivery Centre is the first point of contact for guidance on how to apply for a COA.

The Enquiry Phase is an opportunity to educate and guide Applicants in submitting a quality application and supporting documentation.

### 4.3.1 Pre-application meeting

#### 4.3.1.1 When is it required?

A pre-application meeting is conducted by CASA to help the Applicant understand the certification process and the requirements to obtain a Certificate of Approval.

A pre-application meeting is highly recommended for the initial issue of a COA and for applications to add complex activities.

#### 4.3.1.2 Who determines if a pre-application meeting is required?

CASA determines if a pre-application meeting is required. However, the Applicant may also request a pre-application meeting with CASA through the Regulatory Services team.

### 4.3.2 What is covered in the pre-application meeting?

The pre-application meeting, chaired by the CASA Regulatory Service Manager should be attended by the Applicant, or the representatives of the Applicant.

The conduct of the meeting must give due consideration to the Applicant's capabilities and expertise. The general guidelines provided in this section are intended to assist in the conduct of the meeting.

The following are some of the items that must be included in the agenda for discussion at the pre-application meeting:

1. Verification of information provided by the Applicants.
2. The proposed activities:
  - a. This should be discussed in detail. It is essential that the CASA Assessment Team fully understands the nature of the intended activities, so they can provide the Applicant with appropriate guidance to support the submission of an application. It is also important for the Applicants to understand the safety and legal requirements of the proposed activities.
3. The proposed management structure, and qualifications and experience of the personnel required to conduct the activities.
4. The certification process:
  - a. The Applicant must be made aware of the certification process, and the roles and responsibilities of CASA and the Applicant during the certification process.
  - b. The Applicant should also be advised of possible situations that may cause delays and the suspension of the certification process, e.g., insufficient or unsatisfactory documents, unsatisfactory inspections or demonstrations, and/or payment delays.
  - c. The Applicant must clearly understand that all documentation should be full and complete prior to submission and the application will not be formally accepted until an appropriate application has been received. A Project Plan is required to be submitted with the application. Delay by the Applicant in responding to CASA feedback will adversely impact on the time taken to complete the assessment phase and may result in the cancellation of the application.
5. Documentation, and verification and testing requirements:
  - a. The Applicant must have a clear understanding of what constitutes a complete application and that the facilities need to be in a ready state for on-site inspection and testing, should CASA determine if necessary.
6. CASA cost recovery policies:
  - a. The Applicant must clearly understand the distinction between the provision of advice on CASA requirements, which is free, and the provision of assessments, checks, inspections, and consultancy advice, all of which attract the payment of a fee.

CASA will take minutes of the meeting. The minutes will be distributed to all participants.

## 4.4 Application

The Regulatory Services team will review the COA application and supporting documentation, create an estimate of costs and identify the Local Office who will conduct the assessment.

For more information on the Application process, refer to the COA Process Manual.

### 4.4.1 Types of application

The Civil Aviation Regulations provides for three types of COA application. These are:

- CAR 30 - Grant or Issue of a COA
- CAR 30A - Change to a COA. (CAR 267 also provides for variation of certificates and approvals, however, applications to 'vary' a COA will be processed as a request for 'change' under CAR 30A)
- CASR 11.130 - Suspension or Cancellation of authorisation.

Each application must meet the requirements stated in Civil Aviation Regulations 1988 (CARs).

There are some differences to the legislative provisions which are applicable and, in addition, CASA policy allows the application process to be varied according to the type and complexity of the application.

#### 4.4.1.1 Initial issue

For the Initial Issue, the Applicant must make an application that meets the criteria listed in CAR 30 (2). The application must be made on the COA Application Form 019, following the instructions accompanying that form.

CASA will verify the legal identities of the Applicants for all applications for an initial issue of a COA. Refer to 4.4.4.

#### 4.4.1.2 Renewal or subsequent issue

Where a COA is about to expire, the holder of the certificate may apply under CAR 30 for another certificate. When the application is for a COA that authorises the same activities as the expiring certificate, it is referred to as an application for renewal or the subsequent issue of a COA.

The CASA form for a COA renewal is COA Application Form 692 – Application for a Subsequent Issue of a COA without changes.

The criteria for renewal of a COA are the same as for initial issue and are listed in CAR 30. However, given that information has previously been submitted to and assessed by CASA during the previous certification process, the application form for a renewal is more simplified and streamlined. Given that there is no change to the existing authorisations covered in the expiring COA, CASA has also streamlined the assessment process for renewals.

The renewal application must be submitted with sufficient time to allow CASA to complete the assessment prior to the expiry date of the current certificate.

COA Application Form 692 may be used to apply for the renewal of a certificate that has expired no more than three months prior to the application. However, in all cases where the certificate has expired or in other circumstances, CASA reserves the right to:

- Require the COA holder to submit a comprehensive application using COA Application Form 019 and supporting documentation, where additional information is required.



- Where necessary perform an assessment as for an initial issue to ascertain that the holder continues to meet the requirements of CAR 30. This may substantially increase the processing cost of the COA application.

#### **4.4.1.3 Request for changes to the COA at the time of renewal**

If the COA holder wishes to apply for renewal of their certificate with changes to the authorisations, they may be asked, depending on the change requested, to apply for a COA variation using the COA Application Form 019. CASA will discuss with the Applicant the timeframes required to process the change request in view of the expiry date of the current COA.

#### **4.4.1.4 Variation**

The application must be made on the COA Application Form 019, following the instructions accompanying that form. If the Applicant wishes to remove activities or locations to their current COA, they also need to complete COA Application Form 019.

Applications for variation to an existing COA must be made and assessed according to the criteria in CAR 30A. Applications for variation to a COA that is to be renewed following expiry are made and assessed according to the criteria in CAR 30.

Notice of events: In accordance with Civil Aviation Order 100.5, the holder of an existing COA must notify CASA in writing about certain events that might occur in relation to the COA. Some of the events for which notification must be provided may also be matters which are the subject of limitations or conditions specified in the COA. For example, changes to a location where COA activities are performed.

The requirement in the Civil Aviation Order to notify CASA of certain changes does not permit a COA Holder to exceed the limits of the authorisations stated in the COA or to contravene any conditions included in the COA. Therefore, if a COA Holder wishes or needs to make changes to his/her capabilities that would exceed a current COA limitation or condition, then he or she will need to submit a COA 'variation' application on the COA Application Form 019. The application will need to be approved before the change is incorporated into activities conducted under the COA.

Where a COA variation application is for a change for which a notification to CASA must be made under Civil Aviation Order 100.5, the variation application will be accepted also as the required notification.

### **4.4.2 The COA application form and supporting documents**

CAR 30(2) specifies that an application for a Certificate of Approval must be in writing and must provide the information and evidence required by the relevant legislation.

The application must be complete when submitted to CASA. The following forms are the CASA approved forms for applying for a Certificate of Approval:

- Form 019 - Application for initial issue of or a variation to add authorisations to an existing COA.
- Form 692 – Application for a Subsequent Issue of a COA without changes - for COA renewals.

The Application form, once filled out correctly, along with all supporting documentation that is required for a COA application, addresses the documentation requirements of CAR 30.

#### 4.4.3 Accuracy, completeness and quality of information

All information submitted by the Applicant will be used to assess if the Applicant should be granted a COA and if the COA should be granted with operating conditions. An incomplete, poorly prepared or inaccurate application may:

- Raise doubts about the Applicant's ability to control the operation
- Result in delays
- Add to the cost of the application
- Result in CASA's refusal to issue the COA.

CASA may suspend the application at any time pending the Applicant submitting complete, accurate and/or quality documentation. CASA will advise the Applicant of any job suspension.

#### 4.4.4 Legal entity

The law requires that the COA holder must be a natural person or have legal personality (capable of enjoying and being subject to legal rights and duties) that is:

- A natural person
- A group of natural persons
- An incorporated company or association
- A group of incorporated companies or association
- Body corporate or politic created by statute.

If the Applicant does not meet the above criteria, the application will not be accepted.

The Regulatory Services team will verify the identity of the COA Applicants according to its processes.

##### 4.4.4.1 Individuals

If the Applicant is an individual, CASA will require proof of ID, address and contact details, and an Aviation Reference Number (ARN), if CASA has previously issued one. If an applicant does not have an ARN, one will be issued by the Client Services Centre in accordance with their procedures.

For electronic applications, CASA will require the Applicant to present proof of ID documentation during the assessment process.

##### 4.4.4.2 Organisations

If the Applicant is an organisation, CASA will require the name of the organisation as it is registered in the Australian Securities and Investments Commission (ASIC), the organisation's Australian Company Number (ACN) or ARBN, and the ARN (if previously issued by CASA). If an applicant does not have an ARN, one will be issued by the Client Services Centre in accordance with their procedures.

Under the Corporations Act 2001, every company in Australia has been issued a unique, nine-digit number, an Australian Company Number (ACN), which must be shown on a range of documents. The purpose of the ACN is to ensure adequate identification of companies when transacting business.

For organisations, a confirmed search of the organisation's details with the ASIC is sufficient proof of identification.

#### 4.4.4.3 Changes to Legal Entity Name

A Certificate of Approval is not transferrable.

A change to the COA by removing one of the COA holders or adding another legal entity as a COA holder requires an application for an initial issue of a COA.

A change of name of the COA holder in circumstances where the underlying legal entity remains the same does not affect the validity of the COA. A request to vary the COA under this circumstance only requires an application for a COA Variation.

If an organisation has changed its name but has retained the ACN / ARBN as reflected on the current COA, then the organisation has not changed its legal identity. A request to vary the COA under this circumstance only requires an application for a COA Variation.

If the ACN has changed, then the new organisation is a legal entity that is different and separate to that of the organisation named in the COA. CASA must treat the change request as an initial issue application for a COA.

Should the COA holder request the issue of a new COA in the new name, CASA will require evidence of the name change.

#### 4.4.5 Cost recovery

CASA is required by law to charge for the time it has spent assessing the COA application.

Section 97 of the Civil Aviation Act requires the Applicant to pay the fees prescribed in the granting of the Certificate of Approval. The fees are prescribed in the Civil Aviation (Fees) Regulation 1998 and may alter during the processing period. Should this be the case, the Client Services Centre will inform the Applicant.

##### 4.4.5.1 Estimate

On the basis of the information provided in the COA application form and its supporting documentation, CASA will provide an estimate of the costs of processing the COA. The estimate is based on the time required to process the application at the hourly rate prescribed in the Civil Aviation (Fees) Regulations.

The estimate is calculated in good faith on the basis that an Applicant has reasonable knowledge of the requirements of the Act, CARs and other requirements, as applicable to the nature of the authorisation being requested. The estimate is also calculated on the basis that the Applicant will provide an acceptable standard of documentation necessary to support the application.

The estimate covers the assessment of the application, including any administrative costs associated with the assessment, and the processing and issue of the COA. It may also include any direct costs CASA has incurred in undertaking the service, e.g. business name checks. For COAs authorising foreign maintenance locations, the estimate will include airfares and all other associated costs. For additional information on fees and charges, please refer to CASA cost recovery policies.

##### 4.4.5.2 Estimate letter

The Regulatory Services team will send a letter advising the estimated cost and the payment required before CASA will start the assessment of the COA application.

The estimate letter will also advise on the validity period of the estimate.

The required payment for CASA services must be received by CASA before the application can be assessed.

CASA may cancel a COA application job if it has not received the required payment and any other documents required to support the application within the period prescribed in the estimate letter.

Where payment is made outside the prescribed period, CASA will review the estimate to ensure its continued validity.

#### **4.4.5.3 Adjustments to the estimated cost**

The actual cost to the Applicant may vary from the original estimate, as a result of differences in the actual hours required to perform the service or due to the following:

- Extended assessment times due to the unsatisfactory quality of the documentation submitted to support the application, delays by the Applicant in responding to CASA's request for documentation, and/or failure to meet the requirements of the verification and testing
- If it becomes apparent at any stage of the process that the total cost will significantly exceed the estimated cost, CASA will contact the Applicant in writing providing the Applicant with the opportunity to reject the additional cost and withdraw the application.
- The Applicant is required to pay the additional amount required before CASA can proceed with the processing of the application.

#### **4.4.5.4 Cost review process**

CASA is committed to charging fairly and consistently for regulatory services. However, if for some reason the Applicant believes either the initial estimate of costs or the final total payment requested for a service is incorrect, they can ask the CASA Regulatory Services team to review the costs.

If unsatisfied with the result of this review, the Applicant may request that the query be escalated to CASA management for consideration.

#### **4.4.5.5 Withdrawal of the COA application**

The Applicant may withdraw their application at any time by notifying the Regulatory Services team in writing. The time CASA spent in processing the application up to the time of receipt of the withdrawal notice will be calculated and charged accordingly.

#### **4.4.5.6 Cost recovery on job closure and/or refusal to issue COA**

The Civil Aviation (Fees) Regulations 1998 do not exempt the Applicant from paying the costs incurred by CASA if the COA is refused, or the job is closed due to lack of requirements or response from the Applicant.

## **4.5 Assessment**

The principal CARs relating to the granting of or a change to a Certificate of Approval are outlined in Chapter 3 of this Handbook.

The primary aim of the assessment is to verify all the evidence provided by the Applicant to support their application and to establish if the proposed activities in the COA can be carried out in a satisfactory manner, having regard for the matters set out in CAR 30 (2B).

In assessing whether activities can be carried out in a satisfactory manner, the inspector should take into account:

- Requirements of legislation and legislative instruments
- Safety related guidance material including material published by:

- CASA or other NAAs
- Aircraft, component, and material manufacturers
- Industry or national standards.

The assessment is carried out in two phases:

- Documentation assessment
- Verification and testing.

#### **4.5.1 Project management**

CASA assessment of a COA application must be treated as a project. It means CASA assessment must have a formalised and structured method of managing the certification activities. The activities must have specifically defined outputs that are to be delivered according to a set schedule agreed to by CASA and the Applicant via the submitted Project Plan and there must be clear definition of roles and responsibilities of everyone involved.

An effective project plan will ensure the effective use of CASA resources.

There are essentially two projects in the processing of a COA application:

1. The Applicant's management of the process.
2. CASA's management of the process.

Both of these projects are managed collaboratively in order to achieve certification of the intended activities. It is important that the roles and responsibilities of both CASA and the Applicant are clearly understood.

#### **4.5.2 Guidelines for the project teams**

It is in the best interest of CASA and the Applicant to ensure that the assessment of the COA application is conducted as smoothly and expeditiously as possible. The following must be observed:

- The CASA assessment Team and the Applicant must maintain ongoing contact to keep abreast of changes that impact the project.
- Inadequacies must be documented and communicated to the Applicant at the earliest possible stage.
- The Applicant must inform CASA of any changes to the schedule of meeting the requirements, addressing deficiencies, or submitting for the verification and testing phase. CASA must remind the Applicant that schedule changes can affect completion of necessary reviews and result in delays.
- Much of the communication between the CASA Inspector and the Applicant will be informal and verbal. Team members must ensure that any commitments or deficiencies are notified and confirmed in writing in a timely manner.
- CASA Project Manager must keep the CASA Regulatory Service Manager informed of significant developments. The CASA Regulatory Service Manager may in turn, wish to discuss key elements with the National Manager, Regulatory Service prior to their approval.

Disputes should be arbitrated expeditiously. Where an agreement cannot be reached between a CASA Inspector(s) and the Applicant, the matter, along with recommendations, should be documented and referred to the Regulatory Service Manager.

### 4.5.3 Documentation assessment

The CASA Inspector must assess the documentation submitted by the Applicant for completeness, adequacy, accuracy, quality and adherence to the requirements of CAR30 applicable to the proposed activities. The documentation includes the COA application form 019, the documented System of Quality Control/Procedures Manual and all other information required to support the application.

Detailed information on CASA requirements relevant to documentation assessment are outlined in succeeding chapters.

Following the document assessment, the CASA Inspector will document any deficiencies in a file note and provide advice to the Applicant in writing, of any required changes. Should there be a significant number of deficiencies the submission may be returned to the Applicant and the assessment process suspended. When satisfied, the CASA Inspector will complete the relevant section of the COA Application Form 019.

### 4.5.4 Verification and testing

The verification and testing phase of the assessment assists CASA to decide if it is satisfied under CAR 30(2A) to grant the COA and ensures that CASA has exercised due diligence in the assessment process. Verification and testing applies to each of the matters to which CASA must have regard, as set out in CAR 30 (2B), and may include:

- Verifying the integrity of information that has been provided by the applicant
- Acquiring further details and information that has not been described in the written application or supporting documents
- Testing and/or observing demonstrations of the applicant's processes.

Verification and testing may be achieved through various means including:

- Site visits to conduct inspections and demonstrations
- Inspections and demonstrations carried out via other methods, including multi-media, technical or photographic materials that provide sufficient evidence
- Obtaining independent documents that support the applicant's information
- Interviewing staff and associated personnel
- Researching factual and source information.

Despite the reasons stated above for conducting verification and testing, this may not be required in all circumstances. Examples of situations where specific verification and testing may not be necessary include:

- Where it is considered reasonable and justifiable to accept the information provided by the applicant
- Where the nature of the information is negligible risk
- Where the applicant has already provided independent information or documents that represent adequate verification
- Where the information is already known to CASA or has already been verified during previous CASA inspections or surveillance.

Further guidance on CASA's requirements for verification and testing are outlined in succeeding chapters.

Following verification and testing, the CASA Inspector will document any deficiencies in a file note and provide advice to the Applicant in writing of any required changes. The job may be



suspended if there are significant deficiencies identified. When satisfied, the CASA Inspector will complete the relevant section of the COA Application Form 019.

#### **4.5.5 Job suspension**

CASA will suspend the processing of a COA application under the following circumstances:

- CASA is yet to receive payment following an estimate sent to the Applicant.
- CASA is unable to undertake any further work until Applicant provides required information, or addresses deficiencies found during the document evaluation and/or verification and testing.
- On Applicant's request.

Suspending a job can be undertaken by the Regulatory Services team. However, instructions to suspend usually come from the CASA Regulatory Service Manager.

CASA will notify the Applicant when a job has been suspended. Jobs that have been suspended for 90 days may be closed by CASA. CASA will send the Applicant a written notification, providing an opportunity to submit required documentation, before making a final decision to refuse the issue of a COA and/or close the job and return the application.

#### **4.5.6 Job cancellation**

The Applicant may request in writing to cancel their application at any time.

Actioning a cancellation request cannot be undertaken if the request is received in any other form. CASA will reconcile the Applicant's account and send an invoice or refund accordingly.

#### **4.5.7 Applicant unlikely to satisfy requirements**

If it becomes clear that an Applicant is unlikely to satisfy the requirements for granting a COA, it is important that the Applicant be notified immediately of the deficiencies and be given the opportunity to address the deficiencies. The notification must be given in writing by the CASA Regulatory Service Manager, Refusal to further consider an application.

Refusal to further consider an application is a serious matter, which may involve significant financial cost to the Applicant and involve CASA in litigation. Under Section 31 of the Civil Aviation Act 1988, the decision may be subject to a review. Consequently, such decisions must be carefully considered and fully documented.

In the event a refusal is likely to be made, CASA Regulatory Service Manager, National Manager, Regulatory Services, Legal Services Division, and the Executive Manager, ROD must be informed immediately; for the purpose of making them aware of the issue and to seek guidance on the matter. This must be done prior to any advice to the applicant of CASA's intended action. A formal refusal must be articulated via a Statement of Reasons to identify the reasons that prevent the continuation of the assessment and subsequent issue of the approval. The Statement of reasons must be created with the assistance of LIRA.

### **4.6 Certification**

CAR 30(2A) specifies that CASA must grant a Certificate of Approval, covering the activities applied for in the COA application, if satisfied the Applicant is able to carry out the activities in a satisfactory manner.

On completion of the assessment, the CASA Project Manager must provide a Standard Form Recommendation (SFR) to the CASA delegate summarising the details of the application and findings of the assessment, and recommending a course of action based on this information.

Where a Regulatory Service Manager undertakes the COA assessment, the recommendation is to be peer reviewed and approved by a relevant team member, independent of the assessment process.

The CASA Regulatory Service Manager will provide a recommendation to the CASA delegate to either issue the COA, not issue the COA, or issue the COA with specific conditions. If the SFR recommends something other than what the Applicant has applied for, the SFR must contain sufficient detail to inform the Delegate and justify the recommendation to the Applicant.

The delegate must review the recommendation and make a decision to issue or not issue the COA. The delegate must be satisfied under CAR 30, that the activities outlined in the draft COA can be carried out in a safe and satisfactory manner before the COA can be issued.

#### **4.6.1 Being legally satisfied**

Reaching the level of satisfaction required to grant a COA under CAR 30 is essentially a 5 step process:

1. Identify the relevant facts.
2. Assess the identified relevant facts against the applicable statutory criteria.
3. Form the required opinion and make decision:
  - a. The opinion must be one that a reasonable person could form having regard to the applicable statutory requirement or criteria.
  - b. The delegate must not confer power on herself or himself by creatively misconstruing legislative requirements.
  - c. The delegate must not unreasonably exercise their power in an arbitrary or extravagant manner.
  - d. The opinion formed must not be influenced by consideration of irrelevant material. Rather the opinion should account for all relevant facts.
  - e. The delegate must not impose an excessively high standard in assessing the available facts and evidence. The delegate's decision should be made in accordance with the standard of proof applying in civil proceedings at common law. This is referred to as the 'on balance of probabilities', which requires the delegate to be satisfied that it is, on balance, more probable than not that the Applicant meets the applicable statutory criteria. The delegate should not apply the criminal code standard, 'beyond reasonable doubt'.
4. Check the conclusion, ask yourself 'are there reasonable grounds for forming the decision, do the facts satisfy the statutory requirements.
5. Record the reasons for forming the necessary satisfaction.

#### **4.6.2 Continued Validity of Approval**

Once a COA has been issued, the COA Applicant is referred to as the COA Holder. The term COA Holder is often used interchangeably with the term Aircraft Maintenance Organisation. After the initial issue, the COA Holder is required to maintain their organisation to the same, or higher standard, as when the initial application was approved.

To ensure the COA Holder continues to meet the requirements of the COA, CASA will confirm, by means of scheduled and special purpose audits, the organisation complies with both its documented procedures and the regulatory requirements.



The continued validity of the COA is dependent upon the COA Holder conducting their activities according to the approved system of quality control and their procedures.

## 5 System of Quality Control/Procedures Manual

### 5.1 Introduction

Each COA Applicant or holder is required to have a system of quality control, which includes written procedures. The guidance provided in this Handbook is applicable to the procedures, whether documented as part of a procedures manual or written into the system of quality control. The requirements for the creation of written procedures are outlined further in this chapter. Where the term 'procedures manual' is used, this is taken also as a reference to the documented system of quality control.

COA Applicants or holders who undertake maintenance of Class A aircraft must present their procedures in the form of a procedures manual.

The documented procedures or procedures manual should be acceptable to CASA. They should contain the quality control procedures the organisation has in place, to ensure all work carried out is and will continue to be, consistently compliant with the regulatory requirements.

#### 5.1.1 Writing the procedures

Before writing a procedure, the writer should conceptually or physically walk through the steps to be taken to achieve the desired outcome. Once this has been achieved, the writer can document the steps in a logical sequence.

A flow chart may assist with the process of writing the procedures. The flow chart may be included within a written procedure.

A well-written procedure clearly outlines how to conduct a systematic series of actions to achieve the required result. It includes the following information:

- The WHAT – A clear description of the objective of the procedure
- The WHO – Details of the authorised and responsible person for the activity and a deputy or contingency plan
- The WHY – The reason for the procedure or an instruction about the desired outcome, including the regulatory requirements which must be adhered to
- The WHERE – This is about environmental damage protection and safety considerations and includes the location of the activities
- The WHEN – This outlines details of the logical sequence from start to finish, of the process and/or when a particular procedure needs to be conducted
- The HOW – This must clearly outline the steps to be taken to ensure the desired outcome.

Procedures consist of tasks and sub tasks, as required and should ensure that potential hazards are identified and how they can be avoided.

Adequate procedures consider the following:

- Format and layout of the manual
- Compliance with regulatory requirements
- Support of company policy
- Clarity, completeness and adequacy of information to prevent the likelihood of error.

It should address all requirements to support the conduct of all the activities and clearly explain how each person is to perform his/her function.

Well-written procedures are likely to result in consistent, effective quality outcomes.

## 5.2 Entry control requirements

The specific procedures required for each part of the organisation and its activities are covered in the individual chapters of this Handbook. This chapter only provides information for the administrative content in the procedures manual.

For procedures relating to the following topics, go to their applicable chapter within the Handbook:

- Personnel
- Locations and Facilities
- Tools and Equipment
- Maintenance Data and Information
- Maintenance Activity
- Contracting
- Stores Control
- Internal Audit.

### 5.2.1 Manual structure

Procedures are to flow in a logical sequence. The most effective procedures are usually simple and contain only the information necessary for accomplishing that procedure. Procedures should preferably be described in a sequential step-by-step format rather than a narrative format.

The layout of Part M of the COA Application Form 019 may be used as a basis for the structure of the procedures manual.

### 5.2.2 Manual requirements

Provided the documented procedures or procedures manual is identified as that required by regulation 30 of CAR 1988:

- The documented procedures or the manual may be titled as the certificate holder desires
- If the COA holder is also an AOC holder the procedures manual should not be combined with the maintenance control manual.

#### 5.2.2.1 Introduction section

The Introduction Section should contain:

- A statement identifying the holder's identity including:
  - Legal Name
  - Holder's registered address
  - Postal address
- The purpose of the manual, including scope of work.
- A general statement on the contents of the manual.
- Details on who has responsibility for the manual and how that is managed.
- A statement on the Applicant's philosophy regarding the operation of the organisation (corporate commitment by the Accountable Manager).

- A statement that all personnel are required to follow procedures contained in the manual.
- Administrative procedures for notifying CASA of any change that will affect the approval, including:
  - The holder's identity (legal entity)
  - The holder's place of business or location where activities relating to the certificate are carried out
  - The holder's registered office address
  - The postal address to which communications may be sent
  - Application for variations to the certificate.

### **5.2.2.2 A Table of Contents**

This part should show each subject and its specific location within the manual.

### **5.2.2.3 A List of Effective Pages**

This list is used to control the revision of each page in the manual. Each page of the manual should be listed with the original or current revision date, as appropriate. The list of effective pages should be revised at each revision.

Page numbering and date/revision status

Each page of the documented procedures or manual should be identified with:

- The organisation legal entity name to which the Certificate will be issued
- The original or revision date, as appropriate
- The section and page number.

### **5.2.2.4 Amendment Revision Status (page)**

This page should be used to record each revision when it is placed in the manual. It should have a provision for recording the revision number, date inserted, reason for the revision and page numbers affected.

### **5.2.2.5 A list of abbreviations, acronyms & definitions**

The manual should include a full list of abbreviations and acronyms and their definitions, so it is clear to all personnel what is meant by these within the manual.

#### 5.2.2.6 A documented amendment procedure for the manual

The Applicant's system for revising procedures must include the following:

- A procedure for submitting to CASA, for review, those revisions requiring prior acceptance or approval (for example an approval of a system of certification, or acceptance of a change to the manual)
- A procedure for submitting to CASA for review any revision which requires CASA approval prior to its distribution e.g. an alternate system of certification
- A procedure for distributing revisions, including the identification of the person responsible for distributing each revision and steps to ensure each manual holder receives each revision
- The identification of each particular change in the text of each page. This may be by a vertical change bar or other method
- A procedure for maintaining a distribution list (This can be controlled by name and/or position)
- The identity of the person/position with authority and responsibility for controlling and updating the documented procedures or procedures manual
- The Manual Control Section which must contain procedures to control the original issue of the manual and subsequent revisions.

The manual must include procedures for:

- Ensuring all staff are advised of any changes to procedures that may affect their duties
- Ensuring all staff understand the system of quality control, as applicable to their duties, e.g. recording staff acknowledgement of having read and understood the system of quality control, including applicable amendments.

#### 5.2.2.7 Manual Availability and Currency

The COA Applicant must make available, copies of the manual for all staff and contractors and ensure these manuals are current.

### 5.2.3 Documentation Review

The CASA Inspector will review the procedures manual to ensure it contains:

- Written procedures as identified in the COA Application Form 019, based on the information provided in the Handbook
- Adequate procedures for the size and scope of the organisation and its activities
- Procedures which are internally consistent. Information that is grammatically correct and contains proper punctuation where it affects the intent of the procedure
- Information which can be practically applied and is within compliance requirements.

The CASA Inspector will process and record the assessment stage, as per the procedures at Section 4.5.

### 5.2.4 Verification and testing

During the Documentation review, the CASA Inspector must read through the procedures and system of quality control, to ensure it is complete and meets the requirements of CAR 30. When verifying applicant claims, the CASA Inspector must ensure the Applicant has established compliance of the facilities and other resources needed with the documented procedures of the system of quality control. These procedures must be complied with by the Applicant, as far as is possible, prior to approval and have been conducted in accordance with those documented procedures.

The verification of procedures and the system of quality control is done in conjunction with the verification and testing of all other areas of the Applicant's organisation, including verification of information provided by the Applicant in supporting documents or statements.

The CASA Inspector will process and record the assessment stage as per the procedures at Section 4.5.

### 5.3 Other references

- Australian Standards ISO 9000 to ISO 9004 provides guidance for the content of the system of quality control.
- Generic information on writing procedures may be accessed using the Internet.

## 6 Personnel

### 6.1 Introduction

Qualified management, technical and administrative personnel within an appropriate organisational structure are essential to ensure quality control and safety within the maintenance organisation.

### 6.2 Entry control requirements

#### 6.2.1 Description of the organisational structure

This is a description of the organisational structure. For example, an organisation chart showing:

- The complete structure of the organisation including management
- The title of all positions including management, supervisory and certifying personnel, as appropriate, explaining the chain of responsibility
- The separation between maintenance and quality departments
- The communication lines between all positions.

#### 6.2.2 Description of the duties and responsibilities

This is a description of the duties and responsibilities of the positions in the organisation, not limited to:

- Accountable Manager
- Appointed Persons
- Licensed/Certifying Personnel
- Resources for quality control
- Unlicensed personnel.

#### Accountable Manager

The Accountable Manager (however they are named) is ultimately responsible for the provision of infrastructure and for controlling the activities approved on the Certificate of Approval. The responsibilities of the Accountable Manager can be delegated to one or more appointed personnel depending on the size of the organisation.

The Accountable Manager is responsible for:

- Providing an adequate size and type of facility to support all of the maintenance activities approved for the aircraft and components on the Certificate of Approval
- Authorising appropriately qualified staff for specific functions: for example, Appointed Persons to conduct maintenance on components
- Providing all the necessary tooling and test equipment to support the activities of the Certificate of Approval
- Monitoring and auditing of the organisation's compliance with regulatory requirements and its documented procedures
- Applying for any exemption required by the COA and for ensuring compliance with any conditions which apply to any such exemption

- All liaisons with CASA, including responding to CASA for any discrepancies found during surveillance.

The Accountable Manager is responsible for ensuring:

- The adequacy of the documented procedures in meeting the regulatory requirements and in reflecting the scope of the certificate
- All aircraft maintenance carried out by the COA Applicant is carried out, in accordance with, the standards specified in the documented procedures and the regulations
- All work on aircraft components is carried out, in accordance with, the standards specified in the documented procedures and the regulations
- All necessary data is available to staff when required
- All maintenance records are kept, in accordance with, the documented procedures, and the records are retained for the required periods
- Compliance with any computer control requirements, where, the computer is used as an aid to aircraft maintenance or certification
- All activities for the procurement, storage and distribution of, aircraft components, parts and aircraft materials, are carried out in accordance with the standards specified in the documented procedures and regulations
- Corrective actions, in respect of any deficiencies revealed during compliance with the above paragraphs, are carried out
- Any corrective action resulting from any audit activity is fully actioned in a timely manner
- Records for licensed and appointed persons are current
- Any findings raised by CASA are correctly actioned in the agreed time frame
- All personnel meet the initial and ongoing training and qualification criteria defined in the documented procedures and the regulations
- The holder of the certificate of approval must ensure each person employed by, or working under an arrangement with, the holder receives adequate training in:
  - the work performed by the person for the purposes of the activities covered by the certificate
  - the use of any equipment used in connection with that work.
- The CASA System of Certification is nominated in the procedures manual and documentation reflects this, or if not, a generated System of Certification is approved and documented in the procedures manual
- Only appropriately licensed and authorised personnel may certify aircraft and component maintenance
- Other responsibilities as applicable to the organisation and its activities.



## Appointed Persons

Responsibilities of an appointed person should include:

- A description of the activities the person is responsible to control: for example:
  - Aircraft Maintenance activities
  - Workshop and component maintenance activities
  - Procurement and storage of aircraft components and aircraft materials activities
  - Quality assurance activities
  - Training activities
  - Personnel authorisation
  - Data and records management activities
  - Liaison with the authority.

## Licensed/Certifying Personnel

The responsibilities of the licensed and certifying personnel will include exercising their role within the limitations of their license/authorisation.

## Resources for quality control

Personnel assigned to this role are responsible for implementing and maintaining the system of quality control, including all quality activities. This may include Accountable Manager, quality manager and any staff assigned to quality management.

## Unlicensed personnel

Unlicensed personnel must operate within their position descriptions and under supervision and within the procedures relating to their role.

*A description of the qualifications and experience required for all positions*

This is an outline for each position identified in their organisational structure and a general or specific description of the relevant qualifications and experience. For example, may include academic, trade, training or experiential details.

*Procedure for appointing a person or position, to control activities including temporary appointments due to staff absence*

To comply with CAR 30(2D)(c), the Accountable Manager may appoint certain qualified staff to control various activities within the organisation, for example the Stores Manager, Chief Engineer or Component Shop Manager.

The procedures for designating and controlling the Applicant's appointed persons should be established and should include:

- The method of recording scope and limitations of the limitations of the appointment
- The method of notifying each appointed person of the scope of their authorisation
- The method of determining the minimum experience, training and competency requirements for appointed persons
- The method of recording the experience and training of appointed persons
- The method of identifying each appointed person
- A procedure for ensuring the duties and responsibilities of supervisory and certifying personnel are taken over by others in their absence.

*A register of persons appointed to or employed in positions in the organisation including positions that control activities under the certificate*

This register should detail all persons appointed by the Accountable Manager to be in control of and responsible for all, or any, of the activities approved on the Certificate of Approval. The details of the appointed persons which should be recorded in this register are:

- Name or position of the appointee
- Date of the appointment
- Contact information of the appointee
- Location of the appointment; and
- Responsibilities and limitations of the appointee.

Where any of the information listed above is held in other records there need only be a reference to those records.

*Procedure describing how contractors are selected, controlled, managed and authorised to perform activities for the organisation*

For guidance, refer to Chapter 11 – Contracting.

*A register of contractors and the activities they are contracted to perform*

This is the document that contains information relating to the contractors who have been assessed as suitable to conduct maintenance under an arrangement as outlined in Chapter 11 – Contracting.

The procedure manual may reference the register as part of the procedure for controlling contractors.

*Procedures covering training including identifying training needs and the delivery of training*

Regulation 30 of CAR 1988 requires the COA Applicant to have a system to ensure each person employed, or working under arrangement, receives adequate training. This includes initial and continuation training for staff. The training is not necessarily required to lead to the issue of an aircraft engineer licence or other technical qualifications. It is however expected that each individual employee will receive adequate training for their role. The training of staff may be carried out by the COA, contracted to an external training body or a combination of these options.

Training will need to address at least the following subjects:

- Aircraft technical training where applicable
- Training in the COA holder's procedures
- Training for staff involved in internal audit
- Participation in an Operators CAR214 training program.

The procedure should address the need for refresher training as appropriate.

For the management of issues relating to alcohol and other drugs (AOD), COA holders are required to have developed and implemented a Drug and Alcohol Management Plan (DAMP) before their first day of operation. For further information and guidance on CASR Part 99, refer to [www.casa.gov.au/aod](http://www.casa.gov.au/aod).

It is recommended that procedures be established to assess personnel for their fitness to perform their duties, e.g. visual acuity and fatigue. For further information and guidance in this area refer to the latest Commonwealth, States, Territory or Local Government OH&S legislation.

*Procedures for keeping records of training and qualifications, and continuing validity of staff qualifications*

The Applicant must have procedures to record:

- Assessment of training needs
- Training provided and the training results
- Qualifications held.

Procedures should also monitor:

- Expiry of required qualifications
- Due date for refresher/recurrency training.

*List / Details of the qualifications of staff or contractors appointed to control activities or to certify for maintenance activity except where already included in applicable registers*

This is provided as an attachment to the application and should provide evidence of the qualifications of appointed staff that would justify their appointment to the position.

A COA Applicant must demonstrate that their organisation has sufficient staff to complete all its planned maintenance activities for each location. A method of achieving this would be using a labour-hour plan to illustrate the sufficiency of adequately qualified staff. Labour hours dedicated to quality activities must also be considered when assessing staffing requirements.

### **6.2.3 Documentation review**

The CASA Inspector must review the procedures manual to ensure it contains:

- Written procedures as specified in the COA Application Form 019, based on the information provided in the Handbook
- Adequate procedures for the size and scope of the organisation and its activities
- Procedures which are internally consistent. Information that is grammatically correct and contain proper punctuation where it affects the intent of the procedure
- Information which can be practically applied and is within compliance requirements

The CASA Inspector must ensure the adequacy of the qualifications and experience of the Accountable Manager, appointed persons, supervising and certifying staff.

The CASA Inspector must ensure nominated personnel have suitable compliance or other history relative to the duties of their position.

The CASA Inspector will process and record the assessment stage as per the procedures at Section 4.5.

### **6.2.4 Verification and testing**

During the Documentation review, the Inspector must read through the procedures and system of quality control to ensure they are complete and meet the requirements of CAR 30. When verifying and testing, the CASA Inspector must ensure the COA Applicant has the facilities and other resources necessary to comply with the documented procedures of the system of quality control, and as far as is possible for an Applicant to comply prior to approval, has complied with the documented procedures.

The CASA Inspector must ensure, via sampling or interviewing, that:

- The qualifications and experience of personnel are valid for the required positions
- The training records are appropriate

- The nominated personnel are available for the required activities.

The CASA Inspector must verify that the Applicant has or has access to, sufficient qualified personnel to cover all of the organisation's activities and has or has access to, sufficient personnel in relation to the volume and type of work to be performed for each location.

Where the history of the Applicant or any proposed supervisor indicates they may not have such competency, the Inspector must advise the Applicant in writing, stating the reason for rejection.

The CASA Inspector will process and record the assessment stage as per the procedures at Section 4.5.

### 6.3 Other references

- CASA's licensing framework
- CAAP 30-4 Certificate of Approval – Maintenance Organisations

## 7 Locations and Facilities

### 7.1 Introduction

The Applicant must have facilities that are appropriate for carrying out the proposed maintenance activities.

### 7.2 Entry control requirements

#### Register of locations

The Applicant must establish and maintain a register of locations where activities are to be performed. This should cover the main base and other maintenance locations, including limitations of the activities that can be performed at each location.

#### Tenure arrangements

Evidence of Lease agreements or occupancy arrangements must be provided with the application for each location. Evidence must be in a written format and may not necessarily be a lease agreement.

#### Floor plan

A floor plan of each location should be submitted with the COA Application Form 019 as evidence that the facilities are suitable for the maintenance activities covered by the COA. These could be in the form of council plans, sketches or other detailed documents, provided they show detail such as:

- Dimensions
- Internal layout clearly identifying intended purpose
- Door position, height and widths
- Ceiling height
- Site plan
- Position of fixed equipment (for example, compressor, cleaning bays or sheet metal equipment).

Where facilities plans are not included in the Procedures Manual, the applicant should have a procedure to ensure changes to facilities remain suitable for the authorized scope of maintenance.

#### A procedure for the use of temporary locations

CASA may approve COA activities to be conducted at temporary locations, a one off or short term location at which a specific activity/s will be carried out and where there is no established facility, staff or tooling etc. (e.g. an engine change at a remote location where the aircraft has become unserviceable).

If the application includes the request to use temporary locations, the procedures on how those locations are managed must be included. The temporary locations procedures should consider the following relevant to the type of maintenance proposed:

- Facility availability
- Environment conditions
- Data availability
- Tooling and Equipment availability
- Personnel availability.

A procedure for maintaining a register of temporary locations. The procedure should outline how the register of temporary locations will be maintained.

### **Mobile facilities**

A mobile facility is where the organisation's main business is located at a temporary location, utilising a mobile facility.

Where an Applicant has indicated that mobile facilities will be used, the guidance contained under Temporary Locations will apply.

### **Adequate facilities for all planned maintenance activities**

The Applicant's premises need to be of suitable size, construction and layout to permit the maintenance activity to be carried out.

Buildings and areas shared with other organisations or persons should have provision to ensure that each organisation's activities and administration do not interfere with those of the other.

To prevent contamination, the premises need to be kept in a clean and tidy condition. This should include the provision of suitable floors and may require dust locks, air-conditioning or extractor fans, commensurate with the level of cleanliness required for that particular activity.

There should be appropriate provisions to conduct the administrative functions for the permissions applied for. This should include offices, desks and seats situated in well-lit areas, and equipment, such as computers and printers, to satisfactorily conduct any required administrative function.

An appropriate amount of shelving, cupboards and an archive facility should be provided, for the storage and protection of data and documents. This includes segregation for controlled and uncontrolled data. If the data or documents are stored electronically then the appropriate electronic hardware is to be provided, including backup and power failure protection equipment. Procedures should be in place to ensure electronic records and data remain readable when any future hardware and software are introduced.

In the case of activities such as maintenance of special aircraft materials, composite structures or sensitive components requiring application of special environmental conditions, such conditions must be observed. These special conditions are usually identified within the approved maintenance data. Where no such special conditions exist, a national or international standard should be observed. In certain cases, CASA may also develop and promulgate these standards.

Clean rooms must be provided for component and specialist maintenance activities where required. For example, aircraft gyro overhaul would require specific levels of cleanliness.

Accommodation should be provided for:

- The work to be carried out including disassembly, cleaning, inspection, re-assembly and testing
- Required equipment, including hand tools, machine tools and associated benches, trays and work stands. Appropriate storage for tooling and equipment should be provided: This should include shelving, cupboards and a quarantine facility
- The administrative support of work including the management of quality, planning, technical records and airworthiness data.

To avoid contamination or damage of aircraft, aircraft components, aircraft materials, equipment or processes segregation is required. For example:

- Machine tools
- Battery charging for Nickel Cadmium and Lead Acid
- Fabric work
- Composite structure maintenance or manufacture
- Painting or spraying
- Plating
- Non-destructive testing (NDT)
- Grit or bead blasting
- Hazardous Substances
- Cleaning.

### **Adequate Lighting**

Lighting needs to be of such a standard that the quality of work is not impaired. Any special lighting requirements specified by an aircraft or component manufacturer should be observed.

### **Environmental Protection**

The facility must be to a standard that provides an environment that:

- Is appropriate to the weather conditions that prevail when the maintenance is carried out
- Allows maintenance to be carried out at a comfortable temperature
- Has adequate ventilation to ensure that the ability of the staff to carry out maintenance is not impaired and that contamination of the aircraft, components and aircraft materials does not occur
- Has no undue noise distraction
- Has workshops and bays which provide adequate protection against work area contamination
- Protects against dust and impurities.



### **Suitable exclusion of hazardous activity**

Segregation and ventilation, as necessary, should be provided to ensure that the ability of the staff to carry out maintenance is not impaired and that contamination of the aircraft, components and aircraft materials do not occur.

The Applicant must consider all hazardous materials that would be used in the proposed maintenance activity, and determine if the procedures and facilities adequately cater for protection of personnel, aircraft components, materials and the environment. These hazardous materials are usually identified within the approved maintenance data. Where no such special conditions exist, a national or international standard should be observed. In certain cases, CASA may also develop and promulgate these standards.

### **Suitable maintenance administration facilities**

The Applicant must provide office accommodation and facilities for the management of planned maintenance services and for the administration and certification aspects of the maintenance activities. The facilities provided must be to a standard to enable the employees to perform their duties without distraction.

### **Adequate facilities for stores administration**

There should be appropriate provisions to facilitate the conduct of the administrative functions required to support the permissions applied for. This should include provision for offices, desks and seats situated in well lit areas, and equipment, such as computers and printers, sufficient to satisfactorily conduct any required administrative function. See further guidance in Chapter 12 – Stores Control.

### **Adequate secure storage facility for the keeping of aircraft parts & components**

The Applicant must provide storage facilities for aeronautical products which:

- Segregate serviceable aeronautical products from unserviceable aeronautical products
- Comply with manufacturer's instructions for keeping the products in a serviceable condition
- Provide an appropriate level of security to prevent unauthorised access to the storage facilities.

See further guidance in Chapter 12 – Stores Control.

### **Secure isolation of defective parts and equipment**

The Applicant must provide quarantine procedures and facilities.

See further guidance in Chapter 8 – Tools and Equipment or Chapter 12 – Stores Control.

### **Adequate storage facility for the keeping of tooling & equipment**

The Applicant must provide storage facilities for equipment and tools, which:

- Segregate serviceable equipment and tools from unserviceable equipment and tools
- Comply with manufacturer's instructions for keeping the equipment and tools in a serviceable condition
- Provide an appropriate level of security to prevent unauthorised access to the storage facilities.

See further guidance in Chapter 8 – Tooling and Equipment.

Adequate storage facility for the keeping of data & documents An appropriate amount of shelving, cupboards and archive facility should be provided for the storage and protection of data and documents. This includes segregation for controlled and uncontrolled data. If the data or documents are stored electronically then the appropriate electronic hardware is to be provided, including backup and power failure protection equipment. Procedures should be in place to ensure electronic records and data remain readable when any future hardware and software are introduced.

See further guidance in Chapter 9 – Maintenance Data and Records.

### **Adequate storage facility for hazardous and/or flammable materials**

All aircraft materials of a flammable nature, such as dope, thinners, paint, etc., should be kept in a suitable flammable liquids storage facility.

#### **7.2.1 Documentation Review**

The CASA Inspector must review the procedures manual to ensure it contains:

- Written procedures as specified in the COA Application Form 019, based on the information provided in the Handbook
- Adequate procedures for the size and scope of the organisation and its activities
- Procedures which are internally consistent. Information that is grammatically correct and contains proper punctuation where it affects the intent of the procedure
- Information which can be practically applied and is within compliance requirements.

The CASA Inspector must ensure:

- The documents securing the Applicant's tenure at its facilities are valid and appropriate
- Facilities are adequate in size and capabilities to support the proposed activities
- Facilities conform to manufacturer's requirements if applicable.

The CASA Inspector will process and record the assessment stage as per the procedures at Section 4.5.

#### **7.2.2 Verification and Testing**

During the Documentation review, the Inspector must read through the procedures and review the additional documentation provided, describing the Applicant's facilities. When verifying and testing, the CASA Inspector must verify the existence and adequacy of the facilities at all locations to ensure they satisfy and support the proposed activities.

The CASA Inspector must ensure that:

- The Applicant's premises:
  - Are of suitable size and construction
  - Meet aircraft or components manufacturers' standards and requirements, and provide protection from the elements
  - Segregate activities where such a need exists
  - Have sufficient functional equipment, both fixed and mobile, and services such as electricity, water and compressed air to support the activities
- The Applicant can maintain clean and tidy premises.

The organisation must be able to keep dust and foreign matter which may affect the quality of work and operation of components to a minimum. For example:

- For the maintenance of composite materials and components, special provisions have been made for the environmental control of temperature and humidity
- The Applicant's line maintenance facilities and equipment are suitable
- Premises shared with other organisations or persons must have provision to ensure that each organisation's activities and administration are isolated from, and do not interfere with, those of the other organisation(s).

**Note:** It is not the responsibility of the CASA Inspector to ensure compliance with state and local authority ordinances. CASA

CASA Inspectors may draw an Applicant's attention to any potentially applicable state or local authority requirements, however, CASA inspectors must not provide specific advice about the applicability of those requirements to the Applicant's proposed activities.

The CASA Inspector will process and record the assessment stage as per the procedures at Section 4.5.

### 7.3 Other references

- United Kingdom Civil Aircraft Airworthiness Information & Procedures Leaflet Book 1 Leaflet D-30 (Clean Rooms)– CAP 562
- Appendix A – General Tools and Equipment List
- AS/NZS 1680 as applicable
- CAAP 30-4 Certificates of Approval – Maintenance Organisations

## 8 Tools and Equipment

### 8.1 Introduction

The Applicant must have tooling and equipment appropriate, serviceable and available for carrying out proposed maintenance activities.

### 8.2 Entry control requirement

Procedure for identifying the tooling and equipment requirements for planned activities, including the periodic review of the requirements.

A procedure should be provided to review the requirements for tooling and equipment, at all locations. It should include strategic level planning for new or changing customer / contract requirements, and task level planning in relation to daily activities.

This procedure should include:

- Ground Support Equipment including all aircraft servicing and handling equipment for the range of aircraft maintained
- Test equipment necessary to measure, calibrate, or test an aircraft, aircraft system or aircraft component
- Access equipment, Inspection platforms, and Aircraft servicing docks to properly maintain the aircraft, aircraft component or aircraft material
- The manufacturer's recommended tools and equipment, and the machinery, tooling and test apparatus necessary to enable the functions of the activity to be maintained to a satisfactory regulatory standard.

#### 8.2.1 Procedures for the acquisition, storage, handling & identification of tooling & equipment

Procedures to ensure that when required tooling and equipment are obtained, appropriate identification, storage and maintenance requirements are established for the item.

Procedures for identifying and controlling the maintenance and calibration requirements for tooling & equipment

The tooling and equipment must be calibrated and tested such that values indicated or represented by the tooling or equipment are traceable back to the applicable standard. For further guidance in relation to calibrations standards see AC 21-35. The COA Applicant may establish procedures and capability for the internal calibration of specific tooling and equipment. Alternatively, calibration of specific tooling and equipment may be provided by appropriately qualified third party service providers.

**8.2.2 Procedures should include:**

- A register and a record of calibrations and maintenance for all tools and equipment as applicable
- Inspection, service or calibration periods. These should be as recommended by the equipment manufacturer except where an organisation can show, by statistical means, that a different period is appropriate in particular circumstances. Refer to information in CAAP 30-4 and AC 21-35 for interval extensions.
- How calibration correction data is conveyed to the user of the tooling or equipment, e.g. the use of placards or tags attached to the item it represents
- Monitoring of and actioning due requirements
- Recording of calibration and maintenance history
- Periodic maintenance of workshop and ground support equipment. For example Hydraulic test rigs, jacks etc.

Procedures for assessing suitability of calibration providers: Refer to guidance for determining the suitability of a calibration facility provided in AC 21-35.

Refer also to applicable guidance in Chapter 11 – Contracting.

**8.2.3 Procedures for internal calibration of specific tooling and equipment**

Where the Applicant proposes to perform in-house calibration, procedures must be established to meet all previous guidance, and in addition, must include procedures for:

- Retention and storage of master equipment and records and their traceability to acceptable national standards
- Ensuring that personnel conducting calibration are trained and capable to perform the task
- Ensuring availability and currency of relevant manuals for the specific test equipment calibrated
- Ensuring availability of equipment; manufacturer's required test equipment or equivalent
- How the calibration process is accomplished and recorded
- Retention of calibration records.

**8.2.4 Procedures for ensuring, identifying and controlling borrowed tooling and equipment**

If applicable, a procedure must be provided for accepting and rejecting borrowed tooling and equipment.

The procedure must include:

- Details on how the Applicant will establish that the tools or equipment are serviceable and calibrated to acceptable standards and by an acceptable organisation before use. For further guidance in relation to calibration standards and acceptable organisations see AC 21-35.
- Means of recording details of the use of borrowed tools or equipment.

### **8.2.5 Procedures for the management of staff and contractor owned tooling and equipment, if applicable**

The Applicant's procedures for the control of tooling and equipment should address the requirements of tools or equipment owned by staff and contractors. Where such use is permitted, the tools must be included in the Applicant's tool control system.

### **8.2.6 Procedures for handling superseded or damaged tooling & equipment**

A procedure is to be provided to handle superseded or damaged tooling and equipment with particular emphasis on the prevention of the inadvertent use. This should also include procedures for:

- Identification of the item
- Quarantine segregation
- Restoration or scrapping
- Review of previous maintenance that may have been affected by tooling serviceability.

### **8.2.7 Procedures for alerting staff to new tooling & equipment and for identifying and providing any associated training**

Procedures must include:

- Identification of training requirements for new tooling or equipment
- Detailed records of personnel training including refresher training for staff using the tooling and equipment should be provided.

### **8.2.8 A list of tooling and equipment held at each location**

The list must demonstrate that required tooling or equipment is available in respect of the types of aircraft, component, or materials to be covered by the application and the types of maintenance proposed.

The Applicant must demonstrate the adequacy of available tooling and equipment by providing an evaluation of the manufacturer's requirements for tooling and equipment applicable to the authorisations applied for.

### **8.2.9 Evidence of availability of tooling & equipment that is to be borrowed**

If there is an arrangement with another organisation to hire or borrow tools and equipment, a letter of agreement, memorandum of understanding, or other document confirming the availability of the items should be provided with the application.

### 8.3 Documentation review

The CASA Inspector must review the procedures manual to ensure it contains:

- Written procedures as specified in COA Application Form 019, based on the information provided in the Handbook
- Adequate procedures for the size and scope of the organisation and its activities
- Procedures which are internally consistent.
- Information that is grammatically correct and contains proper punctuation where it affects the intent of the procedure
- Information which can be practically applied and is within compliance requirements.

The CASA Inspector must ensure:

- The tooling and equipment list indicates the organisation has the necessary tooling available for the maintenance activities proposed at each location
- The Applicant has provided acceptable evidence of the availability of the tooling and equipment they propose to borrow
- Appropriate tools are held by sampling the maintenance data.

The CASA Inspector will process and record the assessment stage as per the procedures at Section 4.5.

### 8.4 Verification and testing

During the Documentation review, the Inspector must read through the procedures and review the additional documentation provided relating to tools and equipment. When verifying and testing, the CASA Inspector must verify the existence of the tooling and equipment at all locations to ensure these adequately support the proposed activities.

Where required, CASA may verify the availability of tools and equipment which are proposed to be borrowed.

The CASA Inspector must ensure via sampling that the tool and equipment control has been appropriately implemented. This includes verifying and testing that:

- Storage arrangements are adequate
- Calibration has been carried out to acceptable standards
- Maintenance requirements are established and documented.

Appendix A provides possible tooling requirements as an aid to the Inspector for possible tooling requirements.

The CASA Inspector will process and record the assessment stage as per the procedures at Section 4.5.

### 8.5 Other references

- Manufacturer's Data
- Appendix A – General Tools and Equipment List
- AC 21-35 Calibration of Inspection and Test Equipment
- CAAP 30-4 Certificates of Approval – Maintenance Organisations



## 9 Maintenance Data and Information

### 9.1 Introduction

An organisation must hold, or have access to, copies of all relevant airworthiness data necessary to maintain the types of aircraft or aircraft components for which it is approved. This should include applicable data issued by CASA, any other relevant National Airworthiness Authority, the Type Certificate holder, Supplemental Type Certificate holders, CAR 35/36 authorised persons, CASR Part 21M authorised person or other applicable Approved data (for example, ATSOA).

Airworthiness information may be available through various sources (e.g. ownership, leasing or sharing arrangements), accessible through relevant websites or supplied by another person (i.e. an aircraft owner). Where information is subject to any loan agreement, evidence of the arrangement that gives the COA Applicant access to such information must be available.

### 9.2 Entry control requirements

#### 9.2.1 Procedure for identifying the maintenance data & information requirements for the planned activities at all locations

Prior to maintenance commencing at any location, the COA holder must ensure all necessary data is available for the maintenance.

An organisation's maintenance staff must have all relevant airworthiness data required to carry out their activities readily available to them.

A procedure should be provided to review the requirements for maintenance data and information at all locations. It should also include strategic level planning for new or changing customer / contract requirements, and task level planning in relation to daily activities.

#### 9.2.2 A procedure for the acquisition and storage of required data & information

This pertains to procedures to ensure that when required data and information is obtained; appropriate identification, storage and revision requirements are established for it.

Data in hardcopy or in electronic format requires secure storage to ensure it is not tampered with or exposed to environmental elements.

For data intended to be transported to other permanent or temporary locations, or on loan, additional provisioning to maintain its integrity while in transit is required.

Storage for controlled and uncontrolled data must be segregated to ensure uncontrolled data is not used in error. The status of uncontrolled and non-approved data is required to be clearly and prominently identified.

Where data is borrowed, a procedure must specify what type of contractual agreement will be in place, and how currency and appropriateness of maintenance data is ensured.

#### 9.2.3 Procedure or provision for staff access to the maintenance data & documents

Controlled data must be readily available to staff at all times when work is being performed and a suitable environment must be available for review of the data.

Where electronic data is used, the number of computer terminals or viewing systems must be adequate for the number of staff required to use such systems.



#### **9.2.4 Procedures to ensure currency and amendment of maintenance data & information held**

The objective of a controlled data procedure is to ensure that before data is used for any maintenance activity, the Applicant has ensured that:

- It is the correct data for the purpose and
- It is the latest version available.

There must be a documented procedure to control the amendment and distribution of the controlled data. Where an amendment service is available, it should be subscribed to, so that all amendments are received, assessed, and incorporated as necessary. A procedure must be in place to periodically verify the status of documents and data.

An Applicant may have an agreement with another party to borrow data. Where such an agreement exists, the assessment process should ensure:

- The agreement between two parties is formalised in writing by a current owner/proprietor/senior manager of that organisation
- Procedures address how the data can be accessed at all times when necessary during the progress of the maintenance work
- Procedures address how the currency of data can be verified
- Procedures to record the application of all borrowed data are maintained for the purpose of auditing and traceability.

#### **9.2.5 Procedures for managing electronic data & documents with regard to security, currency, and access**

The objective of an electronic data management procedure is to ensure that before data is used for any maintenance activity, the Applicant has ensured that:

- It is the correct data for the purpose
- It is the latest version available.

In addition, procedures must address access requirements particular to electronic formats. These may include:

- Sufficient computer terminals
- Login and password distribution and control
- Access to data on the internet (in relation to internet access/coverage) or other medium such as CDs
- Provision for printing pages, when necessary
- Control of printed documents/data.

#### **9.2.6 Management, handling & storage of modification or repair design data**

Management of this data is to ensure current, applicable maintenance data is used when performing any maintenance including modifications and repairs.

Drawings and modification data is often in the form of standalone documents and drawings, e.g. Supplemental Type Certificate (STC) or CAR 35 / CASR Part 21 approvals, and therefore may also require the provisioning of a dedicated storage cabinet and cataloguing system.

### 9.2.7 Procedures for handling superseded data & documents

This is a procedure for clearly identifying, storing and defining the use of superseded data and documents. Where superseded data and documents are kept for reference purposes, they must not be used for aircraft maintenance purposes. As per the procedures for controlled data, all information used for maintenance purposes must be checked for validity and currency prior to its use.

### 9.2.8 Procedures for handling uncontrolled or copied data & documents

This refers to a procedure to clearly identify to an end user the status of data as an uncontrolled document.

Uncontrolled data can be in hardcopy and electronic formats and must be identified as uncontrolled data.

### 9.2.9 Procedures for making staff aware of document or data changes

This is a procedure to alert staff when amendments or updates to data may have an effect on the work they are carrying out..

### 9.2.10 Procedures for translation of foreign data

Where applicable to the organisation, the manual should contain a procedure which ensures all data which is not provided in English has been correctly translated and certified by qualified organisations.

### 9.2.11 Procedures for the approval of Alternate Maintenance Data

If there is a requirement for a certificate of approval holder to develop and use maintenance data that requires approval under CAR2A, the manual will include instruction on how the data is developed, submitted to CASA for approval and subsequently controlled as approved maintenance data.

**Note:** Refer to Airworthiness and Engineering Branch Procedures Manual Section 3.6 for the CASA process for the approval of data under CAR2A

### 9.2.12 A list of data and information available at each location

The list must demonstrate that required data and information is available in respect to the types of aircraft, component, or materials to be covered by the application and the types of maintenance proposed.

### 9.2.13 Evidence of the availability of maintenance data that is to be borrowed

If there is an arrangement with another organisation to hire or borrow data and information, a letter of agreement, memorandum of understanding, or other document confirming the availability of the items should be provided with the application.

## 9.3 Documentation review

The CASA Inspector must review the procedures manual to ensure it contains:

- Written procedures as specified in COA Application Form 019, based on the information provided in the Handbook
- Adequate procedures for the size and scope of the organisation and its activities
- Procedures which are internally consistent

- Information that is grammatically correct and contains proper punctuation where it affects the intent of the procedure
- Information which can be practically applied and is within compliance requirements.

The CASA Inspector must ensure:

- The data and information list indicates the Applicant's organisation has the necessary data available for the maintenance activities proposed at each location
- The Applicant has provided acceptable evidence of the availability of the data and information they propose to borrow.

The CASA Inspector will process and record the assessment stage as per the procedures at Section 4.5.

## 9.4 Verification and testing

During the Documentation review, the CASA Inspector must read through the procedures and review the additional documentation provided relating to data and information. When verifying and testing, the CASA Inspector must verify the existence of the data and information at all locations to ensure these adequately support the proposed activities.

Where required, CASA may verify the availability of data and information which are proposed to be borrowed.

The CASA Inspector must ensure via sampling, data and information control has been appropriately implemented as described in the Applicant's procedures. This includes verifying or testing that:

- Storage arrangements are adequate for manuals, drawings and other data
- Suitable access has been provided to hardcopy and electronic data
- Amendment and currency control is in place
- Provisions are in place for the segregation of superseded and uncontrolled data.

The CASA Inspector will process and record the assessment stage as per the procedures at Section 4.5.

## 9.5 Other references

- CAAP 30-4 Certificates of Approval – Maintenance Organisations
- CAO 100.5 General Requirements in Respect Of Maintenance of Australian Aircraft (re: Approval of certain maintenance data)

## 10 Maintenance Activity

### 10.1 Introduction

Maintenance activities intended to be carried out by a COA Applicant, require procedures relating to planning, conducting and documenting work carried out. The procedure must contain all of the information necessary to ensure that completed work meets all airworthiness requirements.

Maintenance Activity procedures have a direct interrelationship with all other procedures contained within the organisations system of quality control. The procedures relating to Personnel, Locations and Facilities, Tooling and Equipment and Stores Control have a direct link to the Maintenance Activity procedures and are an integral part of the procedural build.

### 10.2 Entry control requirements

This refers to, production planning including forecasting maintenance work, to ensure availability of employees, tools, equipment, maintenance data and facilities to carry out the maintenance.

The Applicant must have procedures to ensure that they will have resources sufficient and appropriate for the complexity of the maintenance activities the Applicant's organisation intends to perform.

The production planning procedure must include:

- Forecasting of maintenance work to ensure availability of employees, tools, equipment, maintenance data and facilities to carry out the maintenance
- Communication information about progress of maintenance when there is a shift change or a change in individual employees performing a maintenance task.

Consideration must be given when planning maintenance tasks, scheduling shifts or maintenance teams, to ensure maintenance can be completed safely within the limitations of human performance.

#### 10.2.1 Customer communications and contractual agreements

This refers to a procedure to formalise agreements between the Applicant and the customer/operator in relation to the work to be carried out.

#### 10.2.2 Recording of required tasks

This refers to a procedure to formalise the process of raising a job and recording in the organisation's documents the work that has been agreed. This may commonly involve use of a job register and the generation of work packages.

#### 10.2.3 Capability assessment

The procedure must ensure that proposed maintenance tasks are within the scope and limitations of the Certificate of Approval. The procedure must take into account production planning implications.

#### 10.2.4 Receipt of aircraft or components requiring maintenance

This refers to a procedure to accept and handover the aircraft to the maintenance organisation. This may involve gathering information, obtaining work packs, log books or documentation relating to the maintenance activity.

### **10.2.5 Assigned job coordinator and work team, including identification of the persons or class of persons responsible for signing the maintenance release (refer to Instrument 147/11)**

The procedure must identify the organisation's process for determining and assigning job coordinator/s and work teams. The procedure must describe to staff the persons or class of persons that are expected to be responsible for various functions, and where applicable, the procedures must reflect the regulatory requirements.

### **10.2.6 The duties of persons in the assigned work team**

The composition of the team and their responsibilities must be recorded. The procedure must describe how this is achieved and how members are made aware of their responsibilities.

### **10.2.7 Contracting maintenance staff**

For guidance on the required procedures, refer to Chapter 11- Contracting.

### **10.2.8 Referral of work to subcontractors**

Refer to chapter 11 - Contracting for guidance on required procedures.

### **10.2.9 Research and production of work packages and associated documentation**

This is a procedure that outlines how to research the scope of the work, and the assembly of appropriate forms, into the finalised work package for the maintenance activity. The procedure must outline how checklists and forms provided by other sources (e.g. manufacturers) should be used within the work package.

### **10.2.10 Management of work packages including the certification stages of maintenance**

The forms used in the work package should be formatted to satisfy the requirements of the system of certification.

### **10.2.11 Identifying the system of certification**

The organisation must nominate and document the system of certification to be used for the completion of maintenance. Refer CAR 42ZE.

If the Applicant wishes to develop its own system of certification, it must be submitted to CASA with a request for its approval.

### **10.2.12 Use of approved and serviceable tooling and equipment**

Refer to Chapter 8 – Tooling and Equipment.

A procedure may be required to specify the tools and equipment to be used during the maintenance activity and how it may need to be recorded. Additionally, the procedure may need to specify how tools are accounted for at the completion of a maintenance activity.

Tools and equipment must be controlled so that their location is always known. There should be a procedure to ensure that at shift changes, or when aircraft leaves the organisation, all tools and equipment are accounted for.

### **10.2.13 Handling of parts & components for removal and installation**

This is a procedure for recording which parts are used and removed, and for identifying which forms/tags are utilised in their disposition and where the records for these are stored.

#### **10.2.14 Inspection procedures**

Procedures relating to documenting the required work and generating the associated work package are described above. The organisation may wish to have additional procedures reflecting company policies for control or administration of work.

#### **10.2.15 Repair procedures**

The organisation's procedures must state how the organisation manages repairs to aircraft and aircraft components, to ensure they are done in accordance with approved data.

#### **10.2.16 Modification procedures**

The organisation's procedures must state how the organisation manages modifications to aircraft and aircraft components to ensure they are done in accordance with approved data.

#### **10.2.17 Use of approved maintenance data**

Approved Maintenance data is to be used for all maintenance activities.

Refer to Chapter 9 – Maintenance Data and Information.

#### **10.2.18 Managing additional work or defects arising**

The organisation's procedures must include a description of the forms and processes used for recording defects. The procedure should include information on how to liaise with the coordinator/manager in relation to implications, including resources for rectification.

#### **10.2.19 Staff supervision**

The documented procedure must include how unlicensed staff are to be supervised while carrying out maintenance activities.

#### **10.2.20 Shift changes and task handover procedures**

This refers to a procedure for the communication of information to employees about the progress of maintenance when there is a shift changeover, or change of individual employees performing a maintenance task.

#### **10.2.21 Manufacturing in the course of maintenance (MITCOM)**

Refer to guidance in CAAP 30-4.

#### **10.2.22 Engine ground running including taxiing of the aircraft**

This refers to a procedure to control ground running and taxiing, and to control ground running authorisations and taxiing approval.

#### **10.2.23 Defect deferral procedures**

This refers to procedures which ensure defects are not deferred inappropriately.

#### **10.2.24 Incomplete jobs storage protection contingency plans**

This refers to procedures for managing work in progress and protection of aircraft or components during periods of delay or extended maintenance periods.

#### **10.2.25 Maintenance certification procedures**

Procedures must include instructions for use of the forms utilised to support and comply with the system of certification.

**10.2.26 Issuing release documentation procedures**

Procedures must include instructions for the use of the maintenance release and Authorised Release Certificate (ARC).

**10.2.27 Aircraft and component dispatch or return procedures**

This is a procedure to handover the aircraft or dispatch the component to the customer. This may involve returning log books and/or release documentation with the aircraft or component.

**10.2.28 Procedures specific to maintenance of aircraft components including system certification and release of components**

In relation to component maintenance activities, unless the Applicant can demonstrate how their certification procedures satisfy the requirements of the CASA system of certification (Schedule 6), then the Applicant must develop their own system of certification for approval.

The procedure must address requirements specific to component maintenance, including:

- Management and design of work packages
- Company authorisations or appointments
- Release documentation.

**10.2.29 Procedures specific to maintenance of Non-type certificated historical or ex-military aircraft, if applicable**

For guidance on the requirements associated with maintenance of aircraft in this category refer to CAAP 30-3 Approved Maintenance Organisation – Limited Category Aircraft.

Identification of all forms used for maintenance activity, description of their use and procedures for completing them. Procedures must identify all forms and instructions used for the maintenance activities. It should include form samples and the following:

- Forms and instructions to ensure compliance with the system of certification including:
  - Certification for stages of maintenance
  - Co-ordination certification within and across categories
- Forms and instructions relating to recording job requirements and progress, e.g. worksheets.
- Forms and instructions for recording parts used.
- Forms and instructions on the management and identification of serviceable and unserviceable parts.
- Forms and instructions relating to shift hand over.

**10.2.30 Procedure for retention & security of maintenance records**

This refers to procedures that ensure aircraft records are secured and protected from loss or damage. As applicable, the procedures must also support or comply with legislative requirements for retention of documents.

**10.2.31 Procedure relating to the performance and conduct of maintenance on Class A aircraft/PSEA**

Where the Applicant intends to maintain Class A aircraft/PSEA, they must have procedures that include the following:

- Liaison with the Maintenance Controller including



- Work tasks
- Management of the operators work pack and forms
- Defect reporting and investigation
- Defect deferral or MEL use
- Use of customer supplied parts
- Use of customer supplied data
- Access to relevant sections of the Maintenance Control Manual and System of Maintenance
- Participation in an Operators CAR214 training program.

#### **10.2.32 Defect reporting procedures**

This is a procedure which describes how the organisation will comply with regulatory requirements in relation to reporting defects to the Registered Operator and to CASA; including the investigation process where applicable. Refer to CAR 51 and CAAP51-1.

#### **10.2.33 Procedures for care and protection from damage or contamination of aircraft and components**

These may form part of the procedures that are established for:

- Stores control
- Handling of aircraft or components during maintenance activity
- Delays to work in progress.



### 10.3 Documentation review

The CASA Inspector must review the procedures manual to ensure it contains:

- Written procedures as specified in the COA Application Form 019, based on the information provided in the Handbook
- Adequate procedures for the size and scope of the organisation and its activities
- Procedures which are internally consistent. Information that is grammatically correct and contains proper punctuation where it affects the intent of the procedure
- Information which can be practically applied and is within compliance requirements.

The CASA Inspector must ensure:

- That the maintenance activity procedures inter-relate appropriately with all other sections of the manual.
- That when applied, these procedures will ensure that maintenance activity is carried out in a safe manner.
- The forms and instructions developed by the Applicant will satisfy the written procedures, the objectives of the system of certification and other regulatory requirements.
- Where a person has submitted a system of certification for approval, that this is assessed for approval under CAR 42ZG.

The CASA Inspector will process and record the assessment stage as per the procedures at Section 4.5.

### 10.4 Verification and testing

During the Documentation review, the Inspector must read through the procedures and review the additional documentation provided. When verifying and testing, the assessing CASA Inspector should have the Applicant demonstrate the system, e.g. have the Applicant explain and demonstrate the procedures for raising work packages for maintenance activities.

The CASA Inspector must:

- Ensure all paperwork described in the system of quality control is available
- Ensure the provision for storage of documentation is in line with the written procedures.

It is not uncommon that during the verification phase anomalies, or irregularities, will be revealed in the system and if this is the case, corrections should be made prior to progressing with the application. The benefit of the verification phase to the Applicant is the opportunity to test the system and identify where improvements can be made for safety or efficiency reasons.

The verification of maintenance activity documentation will not be an isolated event, as it will also be part of the verification process for data, tooling, equipment, stores, personnel and facilities.

The CASA Inspector will process and record the assessment stage as per the procedures at Section 4.5.

### 10.5 Other references

CAAP 30-4 Certificate of Approval – Maintenance Organisations

- CAAP 51-1 Defect Reports
- CAO 100.16 Administration and procedure – distribution and rejection of aircraft components and aircraft materials
- AC 66-3 Engine Ground Run Training and Assessment
- CAO 100.5 General Requirements in Respect Of Maintenance of Australian Aircraft.

## 11 Contracting

### 11.1 Introduction

This chapter provides guidance to COA Applicant's on the use of external organisations, or people, to provide maintenance services to the Certificate of Approval (COA) Applicant's organisation.

As part of its system of quality control, the Applicant must have procedures to control the use of, and the working arrangements with, an external maintenance provider. The term contracting is not in the legislation. However, the Macquarie dictionary defines a contract as an agreement between two or more parties for the doing or not doing of some definite thing. In this Handbook, the use of external maintenance providers is referred to as contracting.

A contract could be considered to exist in any of the following circumstances:

- The performing of maintenance by a holder of a Certificate of Approval at the request of the Applicant.
- The performing of maintenance by the holder of an independent maintenance authority at the request of the Applicant (e.g. authorities for weight control, non-destructive testing, welding etc)
- The performing of maintenance by an organisation without a COA at the request of the COA Applicant.

Work performed by a contractor may consist of all stages of maintenance, or a stage of maintenance, when a part is manufactured in the course of maintenance (MITCOM).

This maintenance must be supervised, to the extent necessary, by an organisation holding a valid COA issued under CAR 30 that covers the particular maintenance activity. This organisation holding a valid COA is referred to in the Handbook as the supervising COA.

Under a contracting arrangement, the supervising COA is ultimately responsible for:

- Ensuring that all work is adequately supervised
- Ensuring work is carried out in accordance with approved data and that the Applicant's system of quality control adequately covers the activity.

### 11.2 Entry control requirements

The following general responsibilities apply when work is contracted to another COA organisation. The COA Applicant must have procedures for controlling the selection and use of such contractors including procedures to ensure that:

- The contractor has a valid and appropriate COA
- The work required of the contractor is clearly documented
- The supervising COA verifies that required work was carried out and certified.

The following general responsibilities apply when work is contracted to an external holder of an Airworthiness Authority. The COA Applicant must have procedures to control the selection and use of such contractors including procedures to ensure the organisation's quality control procedures are complied with, in regard to work performed by the contractor, including the procedures relating to:

- Control over staff qualifications and training
- Use of facilities, tooling and equipment
- Use of approved maintenance data
- Use of parts and materials
- Certification for maintenance.

The following general responsibilities apply when work is contracted to an organisation that does not hold a COA:

- A COA Applicant may contract maintenance to a non- certificated organisation provided the work is within the scope of the contracting organisation's COA
- The COA Applicant must have documented procedures to adequately control all contracted activities
- The supervising COA system of quality control is extended to include the contractor for the maintenance.

The contractor's facilities, personnel, and tooling utilised in work under the supervising COA, must meet the requirements of CAR 30;

- A COA Applicant does not need to have its own facilities to carry out all maintenance that it wishes to contract. It does need to have its own expertise to confirm that the contractor meets the necessary standards and that all maintenance can be carried out to the approved maintenance data
- The extent of contracting is limited by the activities authorised on the Applicant's certificate of approval, in- house expertise and documented procedures
- The Applicant should limit contracted work to those stages of maintenance where the suitability of the work performed can be verified by post inspection, measurement, test or other means
- Depending on the complexity of the contracted work, the Applicant may need to detail the extent of each organisation's responsibilities in a written contract
- When satisfied that the subcontracted work complies with all requirements of the applicable approved data, the supervising COA must certify for the maintenance in accordance with the organisation's system of certification for completion of maintenance. These certifications are to be retained as a record of the maintenance process as required by CAR 50C (1)
- The supervising COA is responsible for all maintenance carried out by the contractor. Failure to control a contractor may put its certificate of approval at risk.

### 11.3 Documentation review

The CASA Inspector must review the procedures manual to ensure it contains:

- Written procedures as specified in the COA Application Form 019, based on the information provided in the Handbook
- Adequate procedures for the size and scope of the organisation and its activities
- Procedures which are internally consistent. Information that is grammatically correct and contains proper punctuation where it affects the intent of the procedure
- Information which can be practically applied and is within compliance requirements.

The CASA Inspector must ensure:

- The Applicant's system of quality control adequately addresses the intended extent and complexity of work to be carried out in the course of a maintenance by contractors
- The Applicant's system of quality control adequately addresses the intended extent of MITCOM to be carried out by contractors.

If the Applicant does not intend to engage contractors, this must be stated in the quality control process document.

The CASA Inspector will process and record the assessment stage as per the procedures at Section 4.5.

## 11.4 Verification and testing

During the Documentation review, the Inspector must read through the procedures and review the additional documentation provided. During verification and testing, the CASA Inspector must ensure that:

- The Applicant has a sound understanding of the extent of work carried out by contractors, particularly:
  - The approved data requirement
  - The responsibilities of all parties
  - The extent of supervision required and
  - The certification requirement
- The Applicant's system of quality control is adequate for the intended activities
- In relation to necessary capability that is provided by a contractor, the arrangements for work to be carried out by the contractor are documented and include the following details:
  - The extent of work
  - The approved data requirement
  - The responsibilities of all parties
  - The extent of supervision required, and
  - The certification requirement

These verification actions apply to the initial issue of a Certificate of Approval. In the case of a variation application, the Inspector must determine if existing arrangements are satisfactory for any change in the authorised activities or if there is a need for a revision.

The CASA Inspector will process and record the assessment stage as per the procedures at Section 4.5.

## 11.5 Other references

- CAAP 30-4 Certificate of Approval – Maintenance Organisations

## 12 Stores control

### 12.1 Introduction

Stores control applies to all handling of aircraft spare parts during maintenance activity, and is a key component in the assessment of a Certificate of Approval. Procedures for stores control must be contained within the system of quality control or procedures manual of the Applicant.

The Applicant's premises must be of suitable size, construction and layout to permit stores control activity to be carried out effectively. This requirement includes the need to have separate storage spaces and procedures for different types of aircraft parts, components and materials.

### 12.2 Entry control requirements

Procedures for the use and handling of aircraft components and materials at each location including:

#### 12.2.1 Assessment and selection of suppliers

This is a procedure that describes how suppliers are evaluated and selected. It should also describe how selected suppliers are recorded and communicated to staff.

#### 12.2.2 Ordering / purchasing procedures

This relates to procedures that describe how the organisation carries out ordering of parts. This may include procedures relating to:

- Authority for ordering
- Use of approved maintenance data to correctly identify ordered parts
- Forms and paperwork used for ordering and instructions for their use.

#### 12.2.3 Incoming goods procedures, inspections and documentation

This relates to procedures for receiving parts, including:

- The title of the person who is authorised to perform parts receiving
- Where and when the inspection takes place
- Ensuring the part is authentic and is the one that was ordered
- Identifying the part to ensure traceability
- Ensuring required documents accompany the part (e.g. Authorised Release Certificate or equivalent Log cards, service history)
- Inspection of parts for obvious anomalies or physical damage
- A description of where the part may be sent following inwards receipting, and the records required. (e.g. storage or immediate use)
- Forms and paperwork used for goods receiving and instructions for their use.

#### **12.2.4 Rejection or quarantine procedures, including unapproved parts and suspected unapproved parts**

These include:

- Procedures to ensure that defective, damaged or suspected unapproved parts are identified, segregated and quarantined. The process needs to be applied both at receipt of goods and during the subsequent handling of parts
- Procedures to address reasons for rejection of parts including but not limited to:
  - Physical damage
  - Unserviceability
  - Manufacturing defects
  - Suspected unapproved parts
  - Missing documentation
  - Authenticity or misrepresented parts
  - Procedures for further investigation and reporting defective parts to CASA and to the supplier.

#### **12.2.5 Procedures to record origin and destination (place or aircraft) of components and materials**

This relates to procedures which ensure that parts handled by the organisation can be traced from source to destination. This includes during periods of storage, release from storage, and final release to service.

#### **12.2.6 Procedures for storing components and materials and providing for special storage needs of each part. E.g. Shock sensitive, perishable, Electrostatic Sensitive Devices (ESD) etc.**

The manual must have procedures for identifying the storage needs particular to each item on entry to stores, which may need to consider the following things:

- Manufacturer's special instructions for storage
- Perishable goods
- Electrostatic Sensitive Devices (ESD) components
- Shock-sensitive components
- Environmentally-sensitive goods or components, e.g. UV, heat, dust or humidity sensitive goods
- Composite components
- Flexible items (to ensure the continuing integrity and shape)
- Proximity contamination.

### **12.2.7 Procedures for maintenance control of components held in storage, e.g. Shelf life, Airworthiness Directives (AD)/Service Bulletins (SB) applicability, or recurring requirements applicable to storage**

This refers to procedures for identifying components that may be subject to maintenance requirements during storage, and may include:

- Identification and tagging
- Shelf life limits and tracking
- Protection of parts from dust, moisture and other contaminants
- Climate control, as necessary
- Inhibiting and preservation
- Control and implementation of the storage maintenance requirements.

### **12.2.8 Determining shelf life and actions for shelf-life expired stores or goods**

This is a procedure for identifying shelf life, if any, from manufacturer or vendor information and the stores control system to ensure expired items are not made available for use.

### **12.2.9 Use of customer supplied parts**

- Procedures for allocating areas for storage for customer supplied parts
- Procedure for ensuring parts are not damaged prior to use
- Procedure for ensuring adequate release information is held.

### **12.2.10 Transfer or shipping of stores**

This refers to a procedure for adequately packaging and freighting stores items to other locations.

### **12.2.11 Handling & storage of dangerous goods**

This is a procedure for identifying dangerous goods within the organisation and for appropriately dealing with the handling and storage of them, including training requirements.

### **12.2.12 Segregation of volatile or corrosive materials**

This refers to a procedure for identifying volatile and corrosive materials and making provisions for storage including:

- Leakage control
- Segregation
- Temperature and humidity control
- Ventilation
- Security.

### **12.2.13 Accepting returned components including parts returned from borrower**

This refers to procedures that ensure returned parts are subject to stores control as mentioned above in relation to Incoming Good Procedures, and procedures to record Origin and Destination (traceability).



#### 12.2.14 Management of stores documentation including protection for stores records

The manual must include procedures for record-keeping suitable to the organisation.

The method of record-keeping must achieve its intended purpose and may include computer systems or other suitable methods.

Where a computer system is used for stores control, it must include a suitable means of back-up or hard copy should be retained to ensure traceability of components and materials.

### 12.3 Documentation review

The CASA Inspector must review the procedures manual to ensure it contains:

- Written procedures as specified in the COA Application Form 019, based on the information provided in the Handbook
- Adequate procedures for the size and scope of the organisation and its activities
- Procedures which are internally consistent. Information that is grammatically correct and contains proper punctuation where it affects the intent of the procedure
- Information which can be practically applied and is within compliance requirements.

The CASA Inspector must ensure:

- The Applicant's system of quality control adequately addresses the control of stores
- The forms and instructions developed by the Applicant will satisfy the written procedures for the control of stores
- Where the Applicant has specific dangerous goods handling procedures, the CASA Inspector may need to seek specialist advice.

The CASA Inspector will process and record the assessment stage as per the procedures at Section 4.5.

### 12.4 Verification and testing

During the Documentation review, the Inspector must read through the procedures and review the additional documentation provided.

The CASA Inspector must ensure that control of stores has been appropriately implemented as described in their procedures. This includes verifying or testing that:

- The storage facilities are suitable for the storage of all the aircraft parts, components and materials
- There is provision for quarantine, special storage, segregation and stores record keeping.

When on-site the assessing CASA Inspector should have the Applicant demonstrate their stores control system. For example:

- Have the Applicant explain and demonstrate the procedures for inwards, storage and outwards good receipt
- Have the Applicant demonstrate the storage maintenance and shelf-life control process and confirm via sampling
- Ensure all paperwork described in the system of quality control is available.

These verification actions apply to the initial issue of a Certificate of Approval. In the case of a variation application, the CASA Inspector must determine if existing arrangements are satisfactory for any proposed change in the authorised activities or if there is a need for a revision.

The CASA Inspector will process and record the assessment stage as per the procedures at Section 4.5.

### 12.5 Other references

- AC 20-03 Identification and management of aeronautical products
- CAO 100.16 – Administration & Procedure – Distribution and Rejection of Aircraft Components and Aircraft Materials
- CAAP 30-4 Certificate of Approval – Maintenance Organisations
- UK CAP562 Civil Aircraft Airworthiness Information and Procedures

## 13 Internal Audit

### 13.1 Introduction

This chapter provides guidance on an acceptable means of compliance with the requirement in CAR 30(2D)(f) for a description of the audit system applying to a system of quality control. The internal audit requirements for a Certificate of Approval are to be included as part of the organisation's system of quality control.

### 13.2 Entry control requirements

An adequate written procedure in place for the periodic auditing of data & documents, tooling & equipment, personnel, stores, facilities and maintenance activities.

The Applicant must document a process which addresses the following matters regardless of the complexity of the organisation:

- Why the audit is required
- Identify who may authorise the audit e.g. the position within the organisation
- Identify the locations to be audited
- A plan that sets out the level and frequency of the audit cycle
- Identify who may carry out an audit e.g. trained, independent, a third party etc
- Identify the standard of auditor training required
- Identify the objectives to be assessed by sample inspections
- Identify the forms to be used in the audit
- Identify how findings are communicated to management
- A requirement for management evaluation of audit findings
- Identify how necessary changes are to be implemented and who is responsible
- Identify the documents to be kept as a record of the audit process
- Identify how the period audit records are to be retained
- Periodic review of the effectiveness of the system of quality control
- Others as applicable.

#### 13.2.1 A planned audit and audit schedule of the data & documents, tooling & equipment, personnel, stores, facilities and maintenance activities

An audit schedule must be documented that takes into consideration the status and importance of the processes and areas to be audited, as well as the results of previous audits. The audit criteria, scope, frequency and methods shall be defined.

The audit plan must clearly state whether an audit is to be carried out as a single event or as a series of scheduled events within a set time frame. An acceptable time frame for the review and sampling of all activities is 12 months. The Applicant should ensure that there is a procedure in place for modifying the audit schedule if required.

A compliance audit of all internal procedures outlined in the documented system of quality control / procedures manual. An audit should, as a minimum, sample the following objectives to a depth applicable to the complexity of the organisation while taking into account the activities authorised:

- Adequacy of facilities
- Adequacy of staff e.g. qualifications and number
- Adequacy of procedures
- Control of regulatory, manufacturers and design data
- Control of the maintenance and calibration of tooling and equipment
- Control of stores and distribution
- Control of maintenance activity
- Compliance with regulatory requirements
- Compliance with management requirements and specified procedures
- Control of contractors and suppliers
- The system of quality control for effectiveness and regulatory compliance
- Others as applicable.

The collective scope of an appropriate audit plan covers all company procedures in relation to how the organization conducts activities in relation to its certificate and checks both:

- Compliance of the procedures with current regulatory requirements and Certificate of Approval entry requirements
- Ensures that, via sampling the documented company procedures are being adhered to.

#### **13.2.2 A planned audit and audit schedule of the procedures for the control of contractors and suppliers working under an arrangement**

This is an audit of contractors who are working under an arrangement with the Applicant, to ensure that, where applicable, they have complied with agreements and procedures.

#### **13.2.3 A procedure to engage a qualified independent auditor to perform each audit**

The selection of auditors and the conduct of audits shall ensure objectivity and impartiality of the audit process. Auditors must not audit their own work or areas of responsibility.

All staff involved in the audit process should receive training appropriate to their role and responsibility, considering the complexity of the organisation.

#### **13.2.4 A procedure for recording and retention of internal audits and audit results**

This refers to a procedure to record and retain:

- Audit schedule
- Audit checklists
- Audit findings
- Audit reports.

### **13.2.5 A procedure ensuring a periodic management review of findings and action plan for rectification, including a review of the effectiveness of the System of Quality Control / Procedures Manual**

The Accountable Manager must review audit records and results to ensure:

- Any necessary corrections and corrective actions are taken, without undue delay
- The systemic/root causes have been identified and addressed
- The continuing adequacy of the audit schedule.

### **13.2.6 A procedure for acquitting audit findings**

This refers to a procedure for:

- Tracking audit findings to ensure timely action
- Assess findings to determine necessary corrective actions, including:
  - Immediate rectification
  - Identification of Root Cause
  - Action taken to prevent reoccurrence
- Assign responsibility for corrective actions
- Carry out and record corrective actions
- Sign off or review by the Accountable Manager.

## **13.3 Documentation review**

The CASA Inspector must review the procedures manual to ensure it contains:

- Written procedures as specified in the COA Application Form 019, based on the information provided in the Handbook
- Adequate procedures for the size and scope of the organisation and its activities
- Procedures which are internally consistent. Information that is grammatically correct and contains proper punctuation where it affects the intent of the procedure
- Information which can be practically applied and is within compliance requirements.

The CASA Inspector must ensure:

- The forms and instructions developed by the Applicant will satisfy the written procedures of the audit system.

The CASA Inspector will process and record the assessment stage as per the procedures at Section 4.5.

### 13.4 Verification and testing

During the Documentation review, the CASA Inspector must read through the procedures and review the additional documentation provided.

During the verification and testing, the CASA Inspector must ensure that the audit system has been appropriately implemented as described in the Applicant's procedures. This includes verifying or testing that:

- An audit plan or schedule has been developed and is available.
- Auditor training has been provided or at least identified.

Until the internal audit system is put into action, it is difficult to verify its complete adequacy. However, any resources needed to carry out internal audits (forms, audit plan etc.) which have not already been assessed during the documentation assessment phase, should be assessed during the verification and testing phase.

The CASA Inspector will process and record the assessment stage as per the procedures at Section 4.5.

### 13.5 Other references

- ISO 9001:2015 Internal Audit
- CAAP 30-4 Certificate of Approval – Maintenance Organisations.

## Appendix A - General tools and equipment list

This document is provided to aid CASA assessment. The list below is not in all cases intended to indicate essential requirements, but to aid the person performing the assessment in addressing the requirements of CAR 30.

Research should be undertaken with each application to determine what items are fundamental and to ensure that the applicant has the necessary fundamentals to satisfactorily carry out the tasks for which he/she has applied.

The diverse maintenance activities are such that it is impractical to produce a comprehensive list and because a fundamental item is not on this list does not imply that there is no requirement for the item.

The scope and size of the applicant's proposed organisation will determine the applicability of the items listed below. The list below is not absolute.

If used to aid the assessment of the COA Application, please attach this checklist to the COA Application.

Manufacture and maintenance of aircraft	Required?	Suitable, sufficient, available?
<b>General</b>		
Adequate towing facilities		
Ground support:		
Oxygen charging trolleys		
Engine oil charging rigs		
Hydraulic rigs		
Electrical ground power		
Compressed air source (engine starting)		
Ramp handling equipment (Check its serviceability status (battery terminal protection, engine exhaust system and so on)		
HP air/nitrogen regulator, oleo adaptor		
Breathing oxygen refill regulator		
Compressor, regulators, water traps, hoses etc		
Cleaning equipment and cleaning area		
Lubrication - oil cans, grease guns, pumps and storage		
Spray paint equipment		
Jacks, trestles, benches, stands, hoists etc.		
Machinery - lathe, drill press, grinder, belt sander, guillotine, metal shears, sheetmetal folder etc		
Wing and fuselage fixture jigs		
Aircraft levelling and alignment tools - trammels, plumb-bobs, spirit levels etc.		

<b>Manufacture and maintenance of aircraft</b>	<b>Required?</b>	<b>Suitable, sufficient, available?</b>
Scales, spring balance		
General hand-held tools - air drills, tension wrenches, cable tensiometers, micrometers etc.		
Riveting equipment		
Rigging tools, inclinometers, control surface balancing equipment etc.		
Wheel balancer, tyre pressure gauge		
Spark plug cleaner and tester		
Cylinder leak down or compression tester		
Timing lights and indicator plates		
HT lead tester		
Pressure gauges and hoses - fuel, propeller etc.		
Manufacturers' specific tools and equipment		
Inspection Aids - mirrors, magnifying glass		
Lights - portable inspection, torches		
NDT inspection equipment?		
<b>Helicopters</b>		
Main/tail rotors tracking device		
Balancing equipment.		
Wood and Fabric		
General hand-held tools - clamps, saws etc.		
Fabric tester		
Acceptable heat source (fabric tensioning)		
Fabric repair tools - various.		
<b>Fibre-reinforced Plastics</b>		
General hand-held tools		
Resin/accelerator dispensing equipment		
Wet and dry bulb thermometer (humidity measurement)		
Accurate thermometer		
Vacuum source (pressure application)		
Lay-up table and jigs		
Storage racks (for materials)		
Humidity control		



<b>Manufacture and maintenance of aircraft</b>	<b>Required?</b>	<b>Suitable, sufficient, available?</b>
Autoclave		
<b>Electrical, Instrument and Radio</b>		
Battery charger, hydrometer (located in suitable area)		
Instrument calibration equipment		
Pitot/static leak tester		
Hand-bearing compass		
Electrical plugs/sockets assembly and crimping tools, wire strippers		
Measuring and testing equipment - megger, multi-tester, bonding tester, accurate voltmeters and ammeters, digital devices, etc.		
Soldering equipment		
Radio simulators - Nav, Com, ILS, MLS, Marker, Transponder, DME, etc.		
<b>GENERAL AND MAJOR AIRCRAFT COMPONENTS</b>		
<b>Generic Tools and Equipment</b>		
HP air/nitrogen regulator		
Breathing oxygen refill regulator		
Compressor, regulators, water traps, hoses, etc.		
Cleaning equipment and cleaning area		
Lubrication — oil cans, grease guns, pumps and storage		
Spray paint equipment		
Jacks, trestles, benches, stands, hoists, etc.		
Machinery - lathe, drill press, grinder, belt sander etc.		
Guillotine, metal shears, sheetmetal folder		
Scales, spring balance		
General hand-held tools - air drills, tension wrenches, cable tensiometers, micrometers etc.		
Riveting equipment		
Rigging tools, inclinometers, control surface balancing equipment etc.		
Wheel balancer, tyre pressure gauge		
Manufacturer's specific tools and equipment		
Inspection aids - mirrors, magnifying glass		
<b>Lights - portable inspection, torches</b>		

<b>Manufacture and maintenance of aircraft</b>	<b>Required?</b>	<b>Suitable, sufficient, available?</b>
General hand-held tools - air drills, tension wrenches, cable tensiometers, micrometers etc.		
Riveting equipment		
Rigging tools, inclinometers, control surface balancing equipment etc.		
Wheel balancer, tyre pressure gauge		
Manufacturer's specific tools and equipment		
Inspection aids - mirrors, magnifying glass		
Lights - portable inspection, torches		
Surface plate		
Calibration of Tools and Equipment		
Check that all tools and equipment requiring calibration are nominated by the proposed calibration system.		
<b>MANUFACTURE AND MAINTENANCE OF AIRCRAFT COMPONENTS AND MATERIALS</b>	<b>Required?</b>	<b>Suitable and Available?</b>
<b>PISTON ENGINES</b>		
<b>Engine test run equipment:</b>		
Test stand		
Design		
Exhaust stacks		
Test clubs (calibrated)		
Approved flight propellers modified for test		
Air scoops		
Instruments (calibrated)		
Test data		
Recording system		
Cylinder leak down or compression tester		
Engine oil measuring equipment		
Timing lights and indicator plates		
HT lead tester		
Spark plug cleaner and tester		
Cleaning equipment, cleaning baths		
Hoist		
Check segregated areas available for engine disassembly,		

Manufacture and maintenance of aircraft	Required?	Suitable, sufficient, available?
cleaning and assembly, with a dust-free, preferably air-conditioned, assembly area		
Check provision for technical data storage and usage within the assembly area.		
<b>General tools and equipment:</b>		
Pushrod housing removal and assembly tools		
Valve spring compression tester		
Piston ring expander and compressor		
Piston pin remover		
Bearing puller(s)		
Helicoil replacement tools		
Cylinder hones etc.		
Crankshaft alignment equipment - dial gauges, vee blocks & surface plate		
Conrod alignment fixtures		
<b>Valve guide - reamers, replacement equipment etc.</b>		
Machinery - valve grinding etc.		
Valve seat reconditioning & replacement equipment		
Cylinder heating oven		
Processes available for plating, etching etc.		
NDT facilities		
<b>Turbochargers</b>		
Turbocharger:		
• Pressure and temperature measuring equipment		
• Rotor balancing equipment		
<b>GAS TURBINE ENGINES (as per manufacturer's list of required tools and equipment)</b>		
<b>PROPELLERS</b>		
<b>Tools and Equipment</b>		
Pressure gauge		
Blade twisting bars and fittings		
Blade cold rolling machine		

Manufacture and maintenance of aircraft	Required?	Suitable, sufficient, available?
<b>Note:</b> Check propeller manufacturer's calibration status and test report for this item		
Hub spring compressors		
Assembly surface table		
Precision measuring equipment		
Optical comparator (blade shank profile gauge)		
Suitable hoses and fittings with provisions for blanking		
Balancing equipment		
<b>Test Stands or Rigs (Note: test stand or rigs must meet the minimum test requirements detailed in the approved data for the propeller)</b>		
Piston engine propellers test bench		
Gas turbine engine propellers test bench		
<b>MISCELLANEOUS AIRFRAME AND ENGINE COMPONENTS</b>		
<b>Generic Tool and Equipment List</b>		
Test Stands or Rigs <b>Note:</b> Test stand or rigs must meet the minimum test requirements detailed in the approved data for the component		
<b>AVIONICS</b>		
<b>Generic Tool and Equipment List</b>		
General Hand-held Tools		
Crimpers - general duty, special purpose, heavy duty, wire strippers etc.		
Instrument screwdrivers etc.		
Soldering equipment - general duty, heavy duty, surface mounted devices etc.		
Degauser		
Testing and Measuring Equipment		
Megger(s) - 250 Volt, 500 Volt, accurate ammeters and voltmeters, RMS voltmeter, heavy duty ammeters, bonding tester etc.		
Electronic multimeter(s)		
Digital devices test equipment		
Regulated power supplies		

Manufacture and maintenance of aircraft	Required?	Suitable, sufficient, available?
Wheatstone bridge, decade resistance box etc.		
Oscilloscope(s)		
Automatic test equipment		
Rotor balancing equipment		
Electrical Components		
Bench Test Equipment:		
Magnetos		
Alternators		
Generators		
Starter motors		
Propeller feathering pump motors		
Hydraulic pump motors		
Voltage regulators		
Growler (for armatures)		
Battery chargers - lead acid, nickel cadmium		
Hydrometer(s)		
High rate discharge tester		
<b>Instrument Components</b>		
Bench Test Equipment:		
Regulated vacuum and pressure source (general instruments)		
Regulated vacuum and pressure source (pitot/static instruments)		
Vacuum chamber		
VSI test equipment		
Manometer		
Sub-standard barometer		
Sub-standard pressure instrument(s)		
Dead weight tester		
Gyro tilt tables (displacement and rate)		
Autopilot test equipment		
Inertial navigation units test equipment		
Flight management systems test equipment		
Tachometer/synchrophaser systems test equipment		
Vacuum pump test equipment		

Manufacture and maintenance of aircraft	Required?	Suitable, sufficient, available?
<b>Radio Components</b>		
Bench Test Equipment:		
• NAV		
• COM		
• NAV/COM		
• LS		
• MLS		
• Marker beacon		
• DME		
• Transponder etc.		
• HF signal generator		
• VHF signal generator		
• Audio oscillator(s)		
• Frequency counter		
• Wattmeter		
• GPS		
• Weather radar		
• Dummy load(s) etc.		
• ADF		
<b>Accommodation and Amenities</b>		
Dedicated Purpose Work Areas		
Clean Room:		
• Filtered environmental air		
• Air conditioning/heating		
• Humidity controlled environmental air		
• Environmental monitoring		
• Personnel protective clothing.		
ESD Work Station:		
• Conductive and earthed bench tops		
• Conductive and earthed floor		
• Personnel earthed wrist straps		
• Electrically isolated soldering irons		
• Personnel protective clothing		

Manufacture and maintenance of aircraft	Required?	Suitable, sufficient, available?
Laminar flow bench(s)		
RF Shielded Workroom.		
<b>COMPOSITE STRUCTURE AND COMPONENTS</b>		
<b>Tools and Equipment</b>	<b>Yes</b>	
General hand-held tools - scissors (general and serrated [pinking shears])		
knives, orbital sander, etc.		
Resin/Accelerator dispensing equipment		
Wet and dry bulb thermometer (humidity measurement)		
Accurate thermometer		
Vacuum source (pressure application)		
Lay-up table and jigs		
Autoclave		
<b>Accommodation and Amenities</b>		
Work Shop:		
Temperature controlled		
Humidity controlled.		
Temperature and humidity monitoring readily accessible to all employees		
Adequate ventilation		
Storage racks (for materials)		
<b>TESTING OF PRESSURE CYLINDERS</b>		
<b>General</b>		
<ul style="list-style-type: none"> <li>The testing of all pressure cylinders is legislated under state and federal law. Australian Standards publications describe testing procedures that are required for all cylinders, whether they are in aircraft or not.</li> <li>Australian Standards provide AS2337 approval for testing stations and inspection personnel.</li> <li>If an organisation holds accreditation with Australian Standards, then it can be expected that the contents of the system of quality control required by CAR 30(20) will be substantially met by the Organisation.</li> </ul>		
Does the applicant hold sufficient approved data to satisfactorily carry out the task?		
Australian Standard AS2030		
USA Compressed Gas Association Pamphlet C-8		

Manufacture and maintenance of aircraft	Required?	Suitable, sufficient, available?
Test Stands or Rigs (Note: The test stands or rigs must meet the minimum requirements detailed in the application data for the pressure cylinder)		
<b>NON-STRUCTURAL SHEET METAL COMPONENTS AND HOSES</b>		
Data	Yes	
Does the applicant hold sufficient approved data to satisfactorily carry out the task:		
Locally approved drawings and specifications containing:		
Material specifications		
Material processes		
Fits and tolerances		
<b>Tools and equipment requirements</b>		
Environmental considerations?		
Manufacturers' repair, parts and maintenance manuals containing the above?		
Supplemental Type Certificate data containing the above?		
Tools and Equipment		
Sheetmetal Components:		
Jigs		
Equipment necessary for fabricating jigs or additional tools and equipment as required by approved data		
Tools and equipment necessary for carrying out any special processes required by approved data?		
<b>Hoses</b>		
Hose crimping tools		
A source of hydraulic pressure with a capacity necessary to pressure test all hoses which are proposed to be maintained or fabricated		
Applied pressure gauge		
Blanking of all test lines		
Tools and equipment required to permanently mark all hoses with the required information after manufacture or maintenance?		