

Certificate of Approval Process Manual

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Approval Tier	Three
Approver	Branch Manager Airworthiness & Engineering
Sponsor	Manager Continued Operational Safety
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This is an internal CASA policy manual. It contains guidance material intended to assist CASA officers and delegates in carrying out their regulatory responsibilities and is available to the public for information purposes only.

You should not rely on this manual as a legal reference. Refer to the civil aviation legislation—including the Civil Aviation Act 1988 (Cth), its related regulations and any other legislative instruments—to ascertain the requirements of, and the obligations imposed by or under, the law.

Preface

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

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

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

Chief Executive Officer and
Director of Aviation Safety

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Glossary

Acronyms and abbreviations

Acronym / abbreviation	Description
CAAP	Civil Aviation Advisory Publication
CASA	<i>Civil Aviation Safety Authority</i>
CASR	<i>Civil Aviation Safety Regulation 1998</i>
CAR	Civil Aviation Regulation 1988
COA	Certificate of Approval
SPL	Special Purpose Lane

Definitions

Term	Definition
Application	This refers to the application for a Certificate of Approval and all supporting documentation sent to CASA.
Certificate of Approval	An approval issued by CASA under CAR 30 authorising a person or organisation to engage in any stage of the design, distribution or maintenance of aircraft, aircraft components or aircraft materials.
Civil Aviation Act 1988	Also referred to as 'The Act' in this manual.
Civil Aviation Advisory Publications	Also referred to in this manual as CAAP. CAAPs are advisory in nature and provide guidance and information in a designated subject area, or show a method acceptable to an authorised person or CASA for complying with a related Civil Aviation Regulation. CAAPs should always be read in conjunction with the referenced regulations.
Civil Aviation Regulations 1988	Also referred to as 'CAR' or 'the regulations' in this manual.
Estimate of Costs	Also referred to as 'Estimate' in this manual.
Initial Issue of a COA	The first issue of a COA to a particular applicant.
Renewal or Subsequent Issue of a COA	The reissue of an initial COA: <ul style="list-style-type: none"> to the holder of an expiring initial issued COA which contains no changes to the authorizations of the expiring COA.
Variations	The approval of changes to a COA which is comprised of either the addition or removal of current maintenance capability.

Revision history

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

Version No.	Date	Parts/Sections	Details
3.0	May 2023	All	Third issue
2.0	September 2016	All	Second issue.
1.0	March 2011	All	First issue.

1. Where to start

What do you want to do?

1. Apply for an Initial COA.
2. Go to 1.1 - Enquiry.

Variation of your existing COA

1. Go to 1.1 - Enquiry.

Renew your existing COA

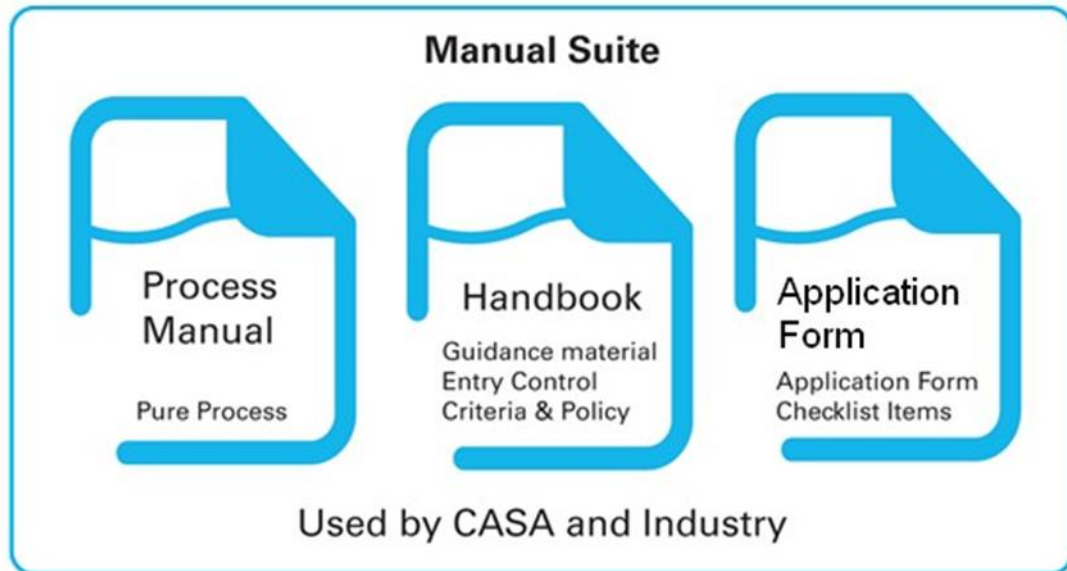
1. Go to 1.2 - Application.

Cancel your COA

1. Go to 2.1 - Cancellation.

2. How to use this Manual

This manual describes the process pertaining to the Certificate of Approval. To understand the processes described in this manual, the reader must also refer to the COA Handbook and COA Application Form 019.



3. Manual Legend

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

Process Map legend



Role - used to show the group responsible for the actions detailed in the process steps



Process step - used to show action oriented steps in the process workflow



Drill down process step - used to show that a lower level process flow chart exists



Decision box - used when a decision exists in the process work-flow, resulting in two or more alternative courses of action



Proceed to box - used to indicate when you need to move to another process map



Participant box - used to indicate when the applicant is to participate in a process

4. Definition of Roles

4.1 Applicant

A legal entity (a natural person or organisation) applying for a Certificate of Approval, also referred to as the proposed certificate holder in this manual. Refer to the Handbook to see who may apply for a Certificate of Approval.

4.2 CASA Regulatory Services team

The CASA regulatory services team is comprised of the CASA Regulatory Services Manager (RSM) and CASA Inspectors. The teams are located in CASA's Local State Offices.

A CASA Regulatory Services Manager is responsible for resource management and consistent application of processes within their team of CASA Inspectors. Regulatory Service Manager will liaise between CASA Project Managers and CASA National Managers to ensure that adequate resources are available for assessments.

4.3 CASA Regulatory Service Manager (RSM)

A CASA officer who has the authority to make a decision to grant, vary, refuse, suspend or cancel a Certificate of Approval under CAR 30.

4.4 CASA Inspector

A CASA officer who conducts the assessment, to ensure that an applicant is able to carry out the activities in a satisfactory manner (CAR 30 (2A)).

4.5 CASA Project Manager

The CASA Project Manager is responsible for managing the overall certification process and in particular, the coordination of the project team members in the assessment phase. The CASA Project Manager is also responsible for monitoring and reviewing the progress of the assessment including the assessment cost.

4.6 CASA Project Team

The CASA Inspectors responsible for assessing an application for a COA. The size of the CASA Project Team will be determined by the scope and complexity of the COA application and could be comprised of only one CASA Inspector in some cases.

4.7 CASA Local Office

The CASA Local Office plays a crucial part in the COA application process. It conducts the operational assessment of the application according to the procedures outlined in this manual and the guidance provided in the Handbook.

On completion of the assessment, the CASA Local Office Regulatory Service Manager advises the delegate of the recommended action in relation to an application.

4.8 CASA National Manager

The CASA National Manager has overall responsibility for effective management of CASA's regulatory service operational assessment teams, ensuring that they achieve required performance through standardisation of operations, consistent application of processes and efficient use of resources.

4.9 COA Holder

A legal entity who holds a Certificate of Approval under CAR 30.

4.10 Entry Control Coordination team

The Entry Control Coordination team offers a single point of contact for regulatory services under the direction of the CASA Regulatory oversight division. The team processes applications, provides information to applicants and receives payments. The team registers, tracks and monitors service delivery in conjunction with the CASA Inspectors and, issues the final permissions or certificates.

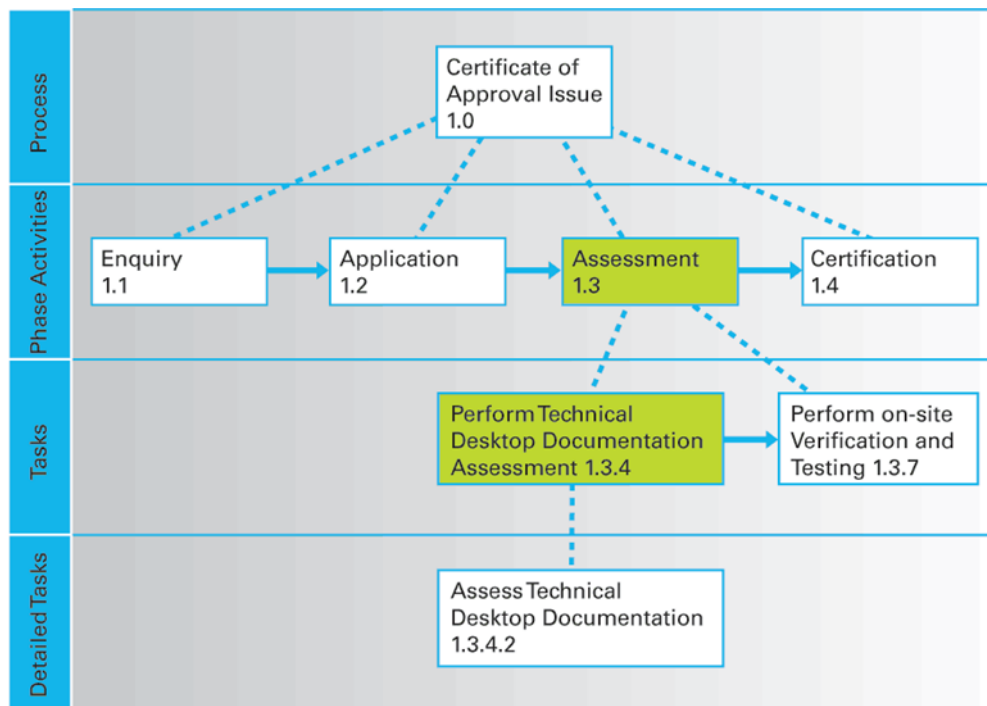
5. Certificate of Approval Issue Process

5.1 Overview of the Certificate of Approval Process

The Certificate of Approval (COA) issue process comprises four phases:

- Enquiry
- Application
- Assessment
- Certification.

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



The COA approval process covers the following scenarios:

- Initial grant of a Certificate of Approval (also referred to in this manual as 'initial issue')
- Subsequent issue with no changes (also referred to in this Manual as 'renewal')
- Changing a COA (also referred to in this Manual as a 'variation').

5.2 Enquiry

5.2.1 Purpose

The Enquiry phase provides applicants with information on the steps necessary to apply for a Certificate of Approval. It also:

- enables applicants to view all the information they will need to provide CASA with their application for a Certificate of Approval

- directs where an applicant can find the relevant COA Application Form, which they will need to apply for a Certificate of Approval.

5.2.2 Context

CAR 30 specifies a person engaged, or intending to engage, in any stage of distribution, and / or maintenance of aircraft, aircraft components or aircraft materials, may apply to CASA for a Certificate of Approval in respect of those activities.

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

5.2.3 References

The following guidance material is applicable to the Enquiry phase:



Handbook

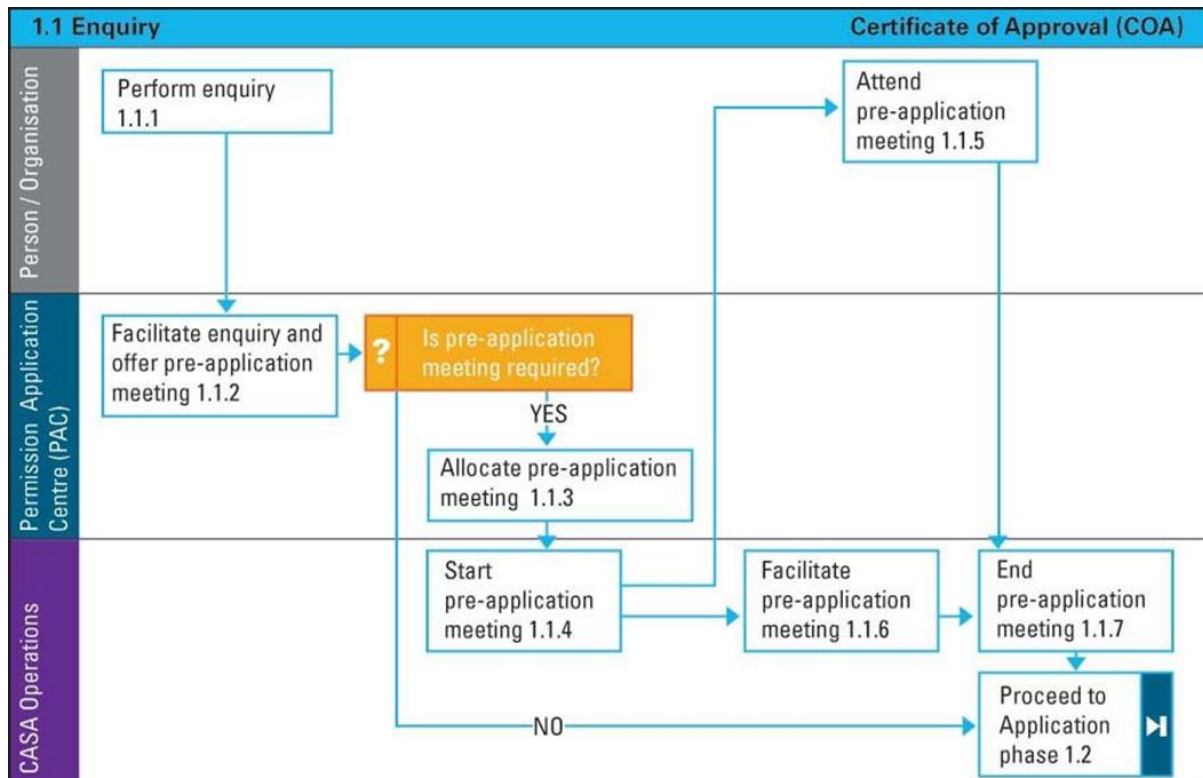
- Chapter 2 - Certificate of Approval Overview Chapter 4 - COA Certification Process.



COA Application Form

- Form 019 (for Initial Issue of or a Variation to add authorisations to a COA)
- Form 692 Application for a Subsequent Issue of a COA without changes (for COA renewals).

5.3 Process map



5.4 Process steps

Enquiry

5.4.1 Perform Enquiry

The Applicant will:

- make initial contact with Entry Control Coordination in regards to applying for a COA.

Go to 1.1.2 Facilitate enquiry and offer pre-application meeting.

5.4.2 Facilitate enquiry and offer pre-application meeting

Entry Control Coordination will:

- Offer non-technical advice as required
- Direct the Applicant to relevant forms and guidance material
- Offer a pre-application meeting if required
- Recommend a pre-application meeting if the Applicant is unsure or the application appears complex.



Note: CASA or the Applicant may request a pre-application meeting for initial issues and complex variations. No pre-application meeting is necessary for an application to renew an expiring COA or certain applications to vary a COA. Please refer to Handbook for guidance.



COA Application Form

- Form 019 (for Initial Issue of or a Variation to add authorisations to a COA)
- Form 692 Application for a Subsequent Issue of a COA without changes (for COA renewals).



Handbook

- Chapter 4 - COA Certification Process.



Is a pre-application meeting required?

CASA liaises with the Applicant as to whether a pre-application meeting is required:

- If no, go to 1.2 Application.
- If yes, go to 1.1.3 Allocate pre-application meeting.

5.4.3 Allocate pre-application meeting

Entry Control Coordination will:

- Contact the relevant CASA Local Office team to confirm application details.

The CASA Regulatory Service Manager will:

1. Review details of any information submitted by the applicant.
2. Identify the requirements of the pre-application meeting, e.g. who (areas of discipline) needs to attend the meeting, availability of CASA staff etc.
3. Form a project team to conduct the pre-application meeting. The project team could be comprised of one inspector.

4. Schedule the pre-application meeting.
5. Advise the applicant of the schedule and venue.
6. Go to 1.1.4 - Start pre-application meeting

5.4.4 Start pre-application meeting

The CASA Project Team will:

1. Prepare any guidance information material to be provided to the applicant.
2. Advise applicant on any information that they need to provide for the pre-application meeting.
3. Go to 1.1.5 Attend pre-application meeting

5.4.5 Attend pre-application meeting

The Applicant must:

1. Prepare any information that may be required by CASA for the pre-application meeting.
2. Prepare questions on any areas of the certification process where clarification is required.
3. Attend the meeting.
4. Go to 1.1.6 - Facilitate pre-application meeting

5.4.6 Facilitate pre-application meeting

The CASA Project Team will:

1. Conduct the meeting.
2. Ensure that the CASA Project Team and the applicant understand all facets and requirements of the certification process and has an appreciation of the costs and resources that could be involved.
3. Take minutes of the pre-application meeting.
4. Go to 1.1.7 End pre-application meeting

5.4.7 End pre-application meeting.

The CASA Project Manager will:

1. Prepare and finalise minutes of the pre-application meeting.
2. Distribute the minutes to all attendees.
3. Keep a record of the minutes on file.
4. Go to 1.2 - Application.

5.5 Application

5.5.1 Purpose

The purpose of the Application phase is to:

- Assess a submitted application for completeness and administrative correctness. This may include checking supporting documentation such as floor plans and appropriate lists such as personnel, data, equipment and tooling list etc, have been included in the application.
- Create an estimate of costs based on the application requirements.
- Allocate the application to the appropriate CASA Regional Office for assessment.

5.5.2 Context

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.

CASA requires an application to be fully completed when applying for a Certificate of Approval with all accompanying documentation.

Failure to do so is cause for rejection.

Section 97 of the Act also requires the applicant to pay the fees prescribed for the grant of the Certificate of Approval.

An administrative quality assurance exercise is vital in the COA process. This ensures all required information submitted by the Applicant is complete.

5.5.3 References

The following guidance material is applicable to the Application phase:



Handbook

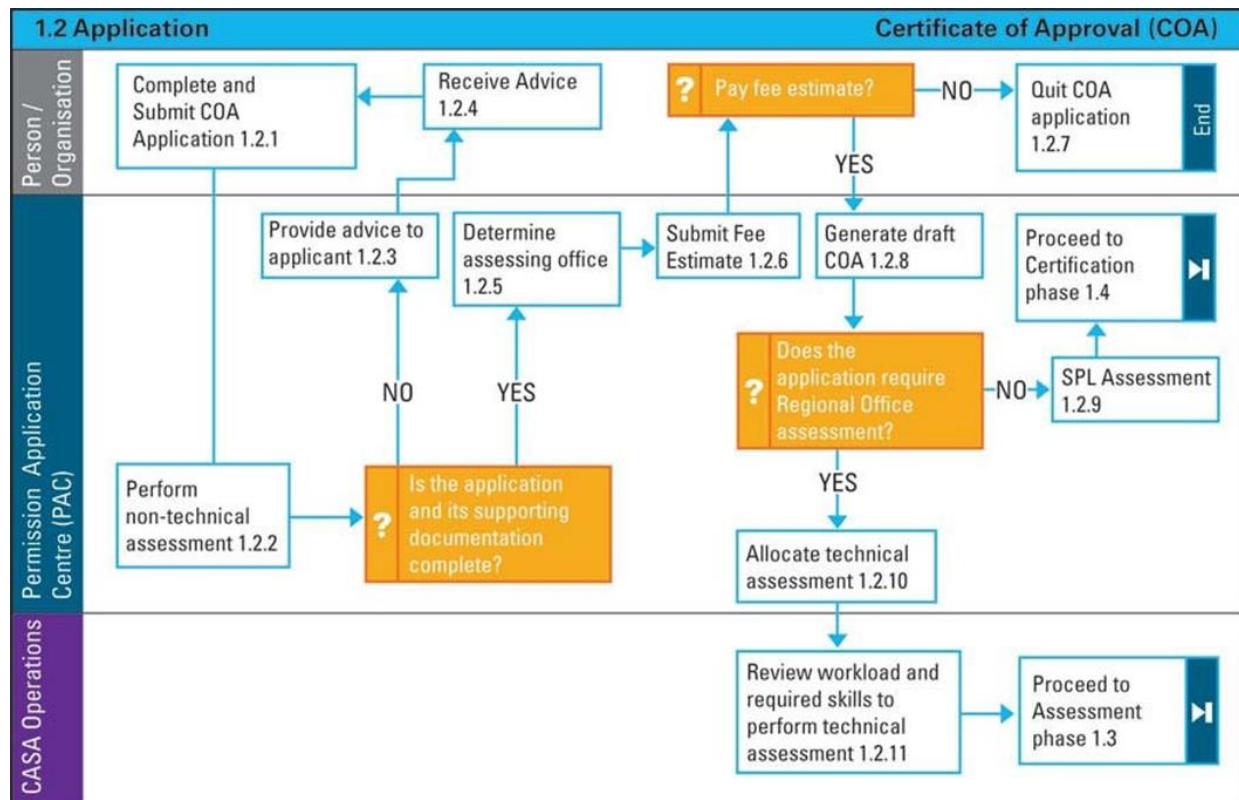
- Chapter 4 - COA Certification Process.



COA Application Form

- Form 019 (for Initial Issue of or a Variation to add authorisations to a COA).
- Form 692 Application for a Subsequent Issue of a COA without changes (for COA renewals).

5.6 Process map



5.7 Process steps

Application

5.7.1 Complete and Submit COA Application

The Applicant must:

1. Complete the application.
2. Provide all required supporting documentation such as personnel data, equipment, tooling list, locations and facility plans.
3. Send the signed application, together with all required supporting documentation to CASA.
4. Go to 1.2.2 Perform non-technical assessment

5.7.2 Perform non-technical assessment

Entry Control Coordination team will:

1. Receive application and supporting documentation and acknowledge receipt via email.
2. Use relevant COA Instruction Sheet to aid the review of the application for completeness.

3. Ensure all required supporting information, including specified manuals, has been included with the application using the COA Instruction Sheet and the COA Document Matrix as a guide.



Is the application and its supporting documentation complete?

The Regulatory Service (assessment) team will ensure all specified manuals have been received and all required supporting information has been included with the application.

- If no, go to 1.2.3 Provide advice to Applicant.
- If yes, go to 1.2.5 Determine assessing office.

5.7.3 Provide advice to Applicant

The Regulatory Service (assessment) team will:

1. Advise the Applicant of the deficiencies and request Applicant to address the deficiencies before an estimate can be made.
2. Go to 1.2.4 Receive Advice.

5.7.4 Receive Advice

The Applicant will:

1. Provide the required information or documentation to CASA if they wish to continue with their application.
2. Go to 1.2.1 Complete and Submit COA Application.

5.7.5 Determine assessing office

Entry Control Coordination team will:

1. Determine which CASA Local Office the application will be allocated to based on the main location of the applicant.
2. Go to 1.2.6 Submit Fee Estimate

5.7.6 Submit Fee Estimate

Entry Control Coordination team will:

1. Update status of the CASE job to pending estimate details for the Estimate Review Panel to provide hours in daily meeting. The estimate is returned to the Entry Control Coordination team. The estimate letter is then sent to the applicant by Entry Control Coordination team.



Note: Though under no obligation to do so, Entry Control Coordination may send a reminder letter at a pre-determined period to all COA holders with expiring COAs. The reminder letter includes an application form and advice on the costs to renew the COA. If a reminder letter has been sent, this work step is not required.



Pay fee estimate?

For the process to continue, the Applicant must pay the fee required by CASA.

- If no, go to 1.2.7 Quit COA Application.
- If yes, go to 1.2.8 Generate draft COA.

5.7.7 Cancellation of COA Application due to Non Receipt of Payment

Entry Control Coordination Team will:

1. Send a reminder to the Applicant offering a 30-day extension on the estimate and/or submission of documents, when payment and/or documents are not received after 30 days.
2. Cancel the estimate and application if the Applicant has not made any payment after the 30-day extension.
3. Return submitted application and supporting documents to the Applicant.
4. COA Process ends.

The Applicant may:

5. Withdraw the application.



Note: The Applicant must withdraw the application in writing.

5.7.8 Generate draft COA

Entry Control Coordination Team will:

1. Receipt the payment.
2. Draft the COA.
3. For applications that can be processed by the Entry Control Coordination team through SPL procedures, send an email to the CASA regulatory service manager requesting confirmation that the application will be processed by the Entry Control Coordination Team. (Refer 1.2.9)

The CASA Local Office will:

4. Review the COA application and all other supporting documents.
5. Advise Entry Control Coordination team if the application can be processed by ECCT or if the application needs to be processed by a CASA inspector.



Note: Unless otherwise indicated by the CASA inspector, these simple changes to the COAs may be processed by Entry Control Coordination team:

- Removing the name of a deceased individual where multiple entities hold the COA
- Changing, adding or deleting a trading name
- Removing an activity
- Removing a location
- Changes to a documented approved location address where there is no change to the physical address
- Cancellations of certificates at the holder's request
- Renewal of COAs.

For applications to be processed by Entry Control Coordination team, the CASA Local office inspector must provide advice on any issues that may prevent the delegate from granting the certificate.



Does the application require CASA Local Office regulatory service assessment?

The Entry Control Coordination team will determine the relevant CASA Local Office Regulatory Service Manager to allocate the application.

- If no, go to 1.2.9 SPL Assessment.
- If yes, go to 1.2.10 Allocate technical assessment.

5.7.9 SPL Assessment

Entry Control Coordination team will:

1. Assess changes to a COA including:
 - a. Removing the name of a deceased individual where multiple entities hold the COA.
 - b. Changing, adding or deleting a trading name.
 - c. Removing an activity.
 - d. Removing a location.
 - e. Changes to a documented approved location address where there is no change to the physical address.
 - f. Cancellations of certificates at the holder's request.
 - g. Renewal of COAs.
2. Go to 1.4 Certification.

5.7.10 Allocate technical assessment

Entry Control Coordination team will:

1. Review advice provided by CASA Local Office as per paragraph 1.2.8 (e).
2. Attach the application and supporting documentation in CASA's record management system.
3. Allocate the job to the CASA Regulatory Service Manager
4. Go to 1.2.11 Review workload and required skills to perform technical assessment

5.7.11 Review workload and required skills to perform technical assessment

The CASA Regulatory Service manager will:

1. Accept the job and allocate an Inspector.
2. Determine if the team has the technical expertise to assess the application.
3. Determine the workload and availability of technical staff to assess the application.
4. Proceed to 1.3 Assessment.

5.8 Assessment

5.8.1 Purpose

The purpose of the assessment phase is to:

- Establish if the activities proposed in the COA application meet the safety and regulatory requirements for the granting of a Certificate of Approval.
- Verify all the evidence provided by the Applicant to support their application.

5.8.2 Context

CAR 30(2B) specifies that CASA must have regard to certain items in deciding whether it is satisfied the Applicant can safely carry out the activities applied for in the COA application. This includes, but is not limited to the qualifications and experience of the Applicant and key personnel, their procedures / quality manual, facilities, data and equipment etc.

The first part of the Assessment Phase ensures information provided by the Applicant is not only complete and accurate, but also satisfies the legislative and safety requirements applicable to the scope of activities outlined in the COA application. The second part of this phase verifies that what is being stated is being implemented by the Applicant.

5.8.3 References

The following documents are applicable to the Assessment Phase:



Handbook

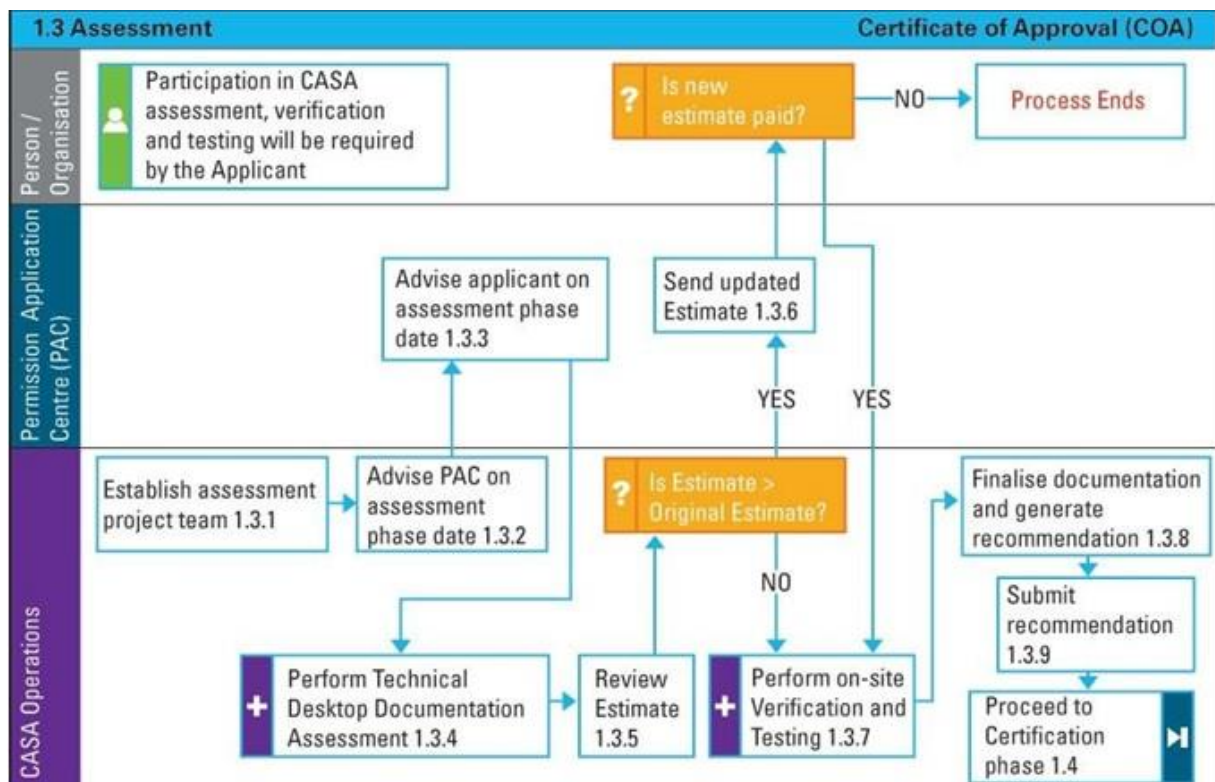
- 4.5.3



COA Application Form

- Form 019 (for Initial Issue of or a Variation to add authorisations to a COA)

5.9 Process map



5.10 Process steps

Assessment

5.10.1 Establish assessment project team

The CASA Local Office Regulatory Service Manager will:

1. Assign a CASA Project Manager

The CASA Project Manager must:

2. Assemble technical staff required to assess the application.



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

The CASA Project Team will:

3. Create a project plan.
4. Go to 1.3.2 Advise applicant of the assessment schedule.

5.10.2 Advise Entry Control Coordination Team of assessment schedule

The CASA Project Manager will:

1. Advise Entry Control Coordination team of the assessment schedule.
2. Go to 1.3.3 Advise Applicant of assessment schedule

5.10.3 Advise Applicant of assessment schedule

1. Contact the Applicant to advise of the schedule dates.
2. Proceed to 1.3.4 at Page 30 - Perform Documentation Assessment

5.10.4 Review Estimate

The CASA Project Manager will:

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



Is the revised estimate greater than the original?

The CASA Project Manager must determine the estimate of hours to complete the assessment, and advise Entry Control Coordination Team if a revised estimate is required.

- If no, proceed to 1.3.7 Perform Verification and Testing.
- If yes, go to 1.3.6 Send updated Estimate.

5.10.5 Send updated Estimate

Entry Control Coordination Centre will:

1. Send an updated estimate to the Applicant



Accept and pay revised estimate?

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

- If no, Process Ends.
- If yes, proceed to 1.3.7 Perform Verification and Testing.

2. Proceed to 1.3.7 at Page 43 - Perform Verification and Testing

5.10.6 Finalise documentation and generate recommendation

The CASA Project Manager will:

1. Finalise Part M of the COA Application Form 019 and any other documents to complete the assessment.
2. Finalise time recording and calculate total chargeable hours spent in processing the COA application.
3. Review draft of COA against what has been applied for and assessed as being capable of complying with the COA requirements.
4. Draft Standard Form Recommendation (SFR).
5. Advise the Applicant of the final assessment outcomes and recommendation.
6. Submit all documents to the CASA Manager Regulatory Service Manager for review.
7. Complete all record management requirements.

The CASA Local Office Regulatory Service Manager will:

1. Review the assessment documentation and the SFR.
2. Submit to CASA National Manager, Regulatory Service for sign-off.
3. Go to 1.3.9 Submit recommendation

5.10.7 Submit recommendation

The CASA National Manager Regulatory Services will:

1. Review, sign and submit the SFR and other supporting documents to Entry Control Coordination Team for processing
2. Go to 1.4 Certification

5.11 Perform Documentation Assessment

5.11.1 Purpose

The purpose of this phase is to review the application and supporting documentation for:

- Completeness
- Capability
- Accuracy
- Integrity.

5.11.2 Context

CAR 30(2B) requires that CASA must have regard to certain items in deciding whether it is satisfied the Applicant can safely carry out the activities as stated in the COA application. This includes documentation submitted by the Applicant outlining how the proposed operation will be carried out safely and satisfactorily.

The assessment of the Procedures / Quality manual and supporting information is a technical quality assurance assessment to determine CASA's satisfaction with the information being supplied.

5.11.3 References

The following documents are applicable to the Technical Documentation Assessment Phase:

- Appendix A – General Tools and Equipment List



Handbook

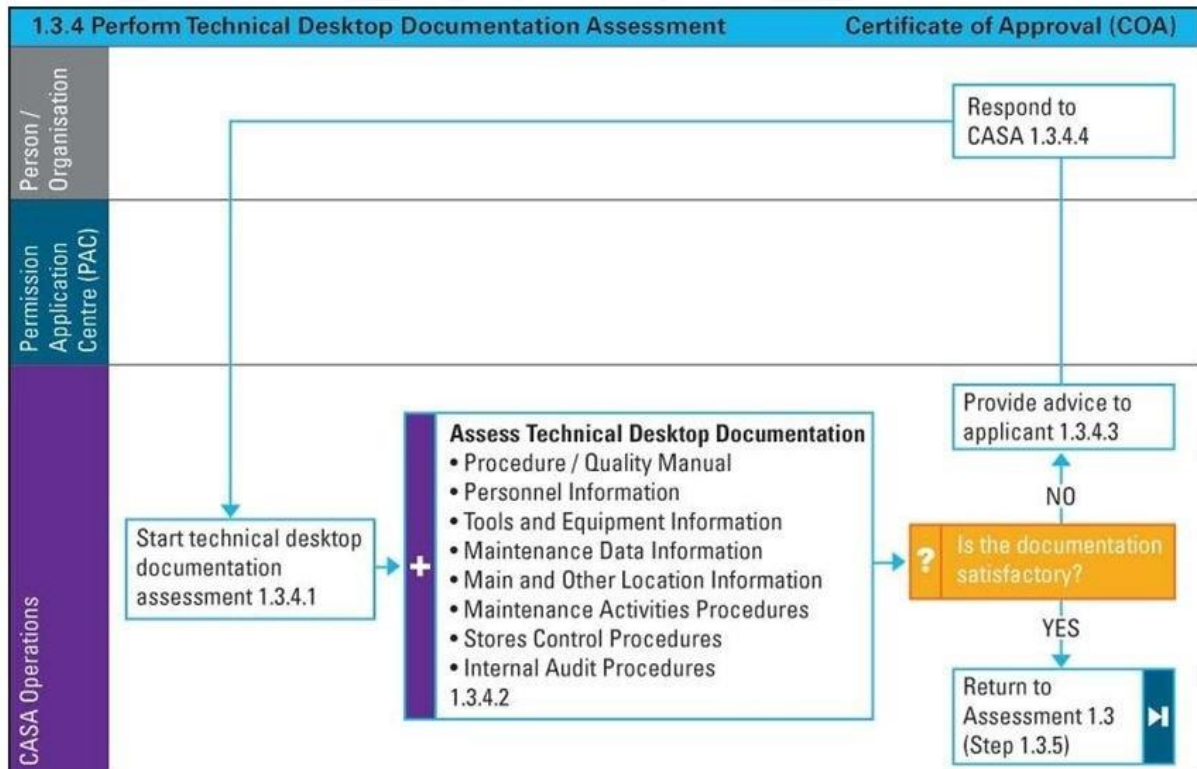
- 4.5.3



COA Application Form

- Form 019 (for Initial Issue of or a Variation to add authorisations to a COA)

5.12 Process map



5.13 Process steps

Perform Assessment

5.13.1 Start documentation assessment

The CASA Regulatory Service Inspector must:

1. Gather all documents required for the assessment. Proceed to 1.3.4.2 Assess Documentation

5.13.2 Assess documentation



Is the documentation satisfactory?

The CASA Regulatory Service Inspector must ensure the quality and completeness of all documentation is satisfactory.

- If no, go to 1.3.4.3 Provide advice to Applicant
- If yes, go to 1.3 Assessment.

5.13.3 Provide advice to Applicant

The CASA Regulatory Service Inspector will:

1. Request the Applicant to address any deficiencies. Go to 1.3.4.4 Respond to CASA.

5.13.4 Respond to CASA

The Applicant will:

1. Provide the required information or documentation to CASA in a timely manner.
2. Go to 1.3.4.1 Start documentation assessment.

5.14 Assess documentation

5.14.1 Purpose

The purpose of this phase is to assess the documentation which includes:

- System of Quality Control /Procedures Manual
- Personnel Information
- Tools and Equipment Information
- Maintenance Data Information
- Main and Other Location Information
- Maintenance Activities Procedures
- Stores Control Procedures
- Internal Audit Procedures.

5.14.2 Context

CAR 30(2B) (e) requires that CASA must have regard to the Applicant's System of Quality Control Manual, and if required under CAR 30(2) (c), their Procedures Manual. These manuals may be combined.

The System of Quality Control / Procedures Manual and all supporting information supplied along with it are owned by the Applicant. The Manual is used by the Applicant to ensure conformance with regulatory requirements in relation to the proposed activities.

5.14.3 References

The following documents and information are applicable to the Assess Documentation:



Handbook

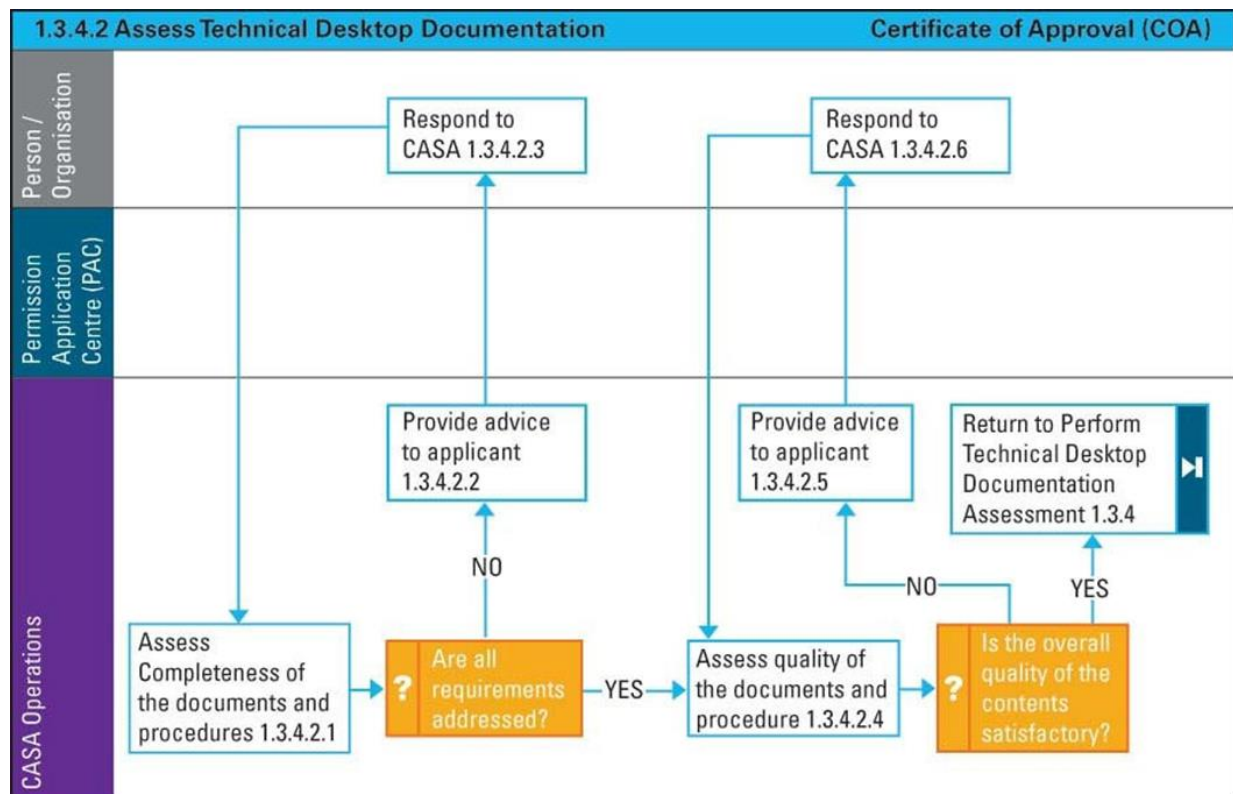
- 4.5.3



COA Application Form

- Form 019 (for Initial Issue of or a Variation to add authorisations to a COA)

5.15 Process map



5.16 Process steps

Assess documentation

5.16.1 Assess completeness and quality of the document content and procedures



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

The CASA Regulatory Service Inspector must:

1. System of Quality Control /Procedures Manual.
2. Review the System of Quality Control / Procedures Manual for completeness.
3. Annotate any areas of the System of Quality Control / Procedures Manual that require clarification.
4. Identify any missing areas that need to be covered in the manual.
5. Assess the quality of the contents of the System of Quality Control / Procedures Manual to ensure it addresses the requirements of all activities proposed in the COA application.



Handbook

- Chapter 5 – System of Quality Control / Procedures Manual



COA Application Form

- Form 019 (for Initial Issue of or a Variation to add authorisations to a COA)

Personnel:

1. Review Personnel Data to ensure the required personnel are available to control or perform the proposed activities and sufficient information on their skills, qualifications and experience have been provided. This includes access to contracted personnel, where required.
2. Review and assess the positions and responsibilities of personnel within the organisation against the proposed activities.
3. Assess the suitability of the personnel listed in the organisation's structure.



Handbook

- Chapter 6 –Personnel



COA Application Form

- Form 019 – Part M2 – Assessment (Personnel)

Locations and Facilities:

1. For the proposed locations, review and ensure that sufficient information has been provided for each proposed location where maintenance activities will occur. This includes ownership or lease details, building and/or floor plans.

2. Review all supporting information in relation to the proposed premises for the scope of activities stated in the COA application.
3. Ensure that there is enough information to satisfy CASA that the premises are satisfactory for the proposed maintenance activities.



Handbook

- Chapter 7 - Locations and Facilities



COA Application Form

- Form 019 – Part M3 – Assessment (Locations and facilities)

Tools and Equipment:

1. Ensure that there is a general tooling list containing all tooling and equipment held/owned, a register of tooling and equipment requiring calibration or maintenance control.
2. Ensure that tools and equipment are available and accessible when required.
3. Ensure that tools and equipment are appropriate and sufficient to carry out the proposed activities.
4. Where tooling is borrowed, ensure documented arrangements are in place and the procedures cover the recording and controlling of the tooling/equipment.



Handbook

- Chapter 8 – Tools and Equipment



COA Application Form

- Form 019 – Part M4 – Assessment (Tools and equipment)

Maintenance Data and Information:

1. Ensure that there is a list of all technical and regulatory data held/owned.
2. Ensure that maintenance data is always available during the specific activity being carried out.
3. Where data is borrowed, ensure documented arrangements are in place; and
4. The documented procedures describing these arrangements are recorded and controlled.



Handbook

- Chapter 9 – Maintenance Data and Information



COA Application Form

- Form 019 – Part M5 – Assessment (Approved maintenance data and maintenance records)

Maintenance activity:

1. Ensure complete documentation for Maintenance Activities has been provided.

2. Assess the procedures for each Maintenance Activity to ensure that they include procedures for quality control and documentation.



Handbook

- Chapter 10 – Maintenance activity



COA Application Form

- Form 019 – Part M6 – Assessment (Maintenance activity)

Contracting:

1. Ensure complete documentation for the use and control of contractors has been provided.
2. Assess Contracting procedures adequately to ensure the selection, approval, currency and review of contractors.



Handbook

- Chapter 11 – Contracting



COA Application Form

- Form 019 – Part M9– Assessment (Contracting)



Note: Form 019 Assessment (Contracting) has not yet been developed.

Stores Control:

1. Ensure complete documentation for Stores Control has been provided.
2. Assess Stores Control to ensure that they include procedures for quality control and associated documentation for traceability.



Handbook

- Chapter 12 – Stores Control – Contracting



COA Application Form

- COA Application Form 019 – Part M7 - Assessment (Stores control)

Internal Audit:

1. Ensure complete documentation process for Internal Audit has been provided.
2. Assess the procedures for Internal Audit including the documents associated with the audit system applying to the system of quality control.



Handbook

- Chapter 13 – Internal Audit



COA Application Form

- COA Application Form 019 – Part M8 – Assessment (Internal audit)



Are all the requirements addressed?

The CASA Regulatory Service Inspector must ensure that all requirements are addressed.

- If no go to 1.3.4.2.2 Provide advice to Applicant.

5.16.2 Provide advice to Applicant

The CASA Regulatory Service Inspector must:

1. Liaise with the Applicant to address any deficiencies that have been found.
2. Deficiencies must be confirmed to the Applicant in writing.
3. Go to 1.3.4.2.3 Respond to CASA.

5.16.3 Respond to CASA

The Applicant will:

1. Address the deficiencies cited by CASA.
2. Provide required documentation or advice to CASA in a timely manner.
3. Go to 1.3.4.2.1 Assess completeness and quality of the documents and procedures.

5.17 Perform Verification and Testing

5.17.1 Purpose

The purpose of this process is to:

- Assess that the information supplied by the Applicant is appropriate for the proposed activities in their COA application
- Verify the integrity of the stated information.

5.17.2 Context

In deciding whether it is satisfied that the Applicant is able to carry out the proposed activities in a satisfactory manner, CASA must have regard to certain matters as outlined in CAR 30(2B). To inform its decision, CASA conducts verification and testing which may include, but is not limited to:

- Inspection and validation of the documented processes or systems used to conduct maintenance on any aircraft, aircraft component or aircraft material
- Tests that CASA considers necessary
- Sighting of evidence of qualifications and competence of the Applicant, the Applicant's employees, facilities and equipment.

5.17.3 References

The following documents are applicable to this process:



Handbook

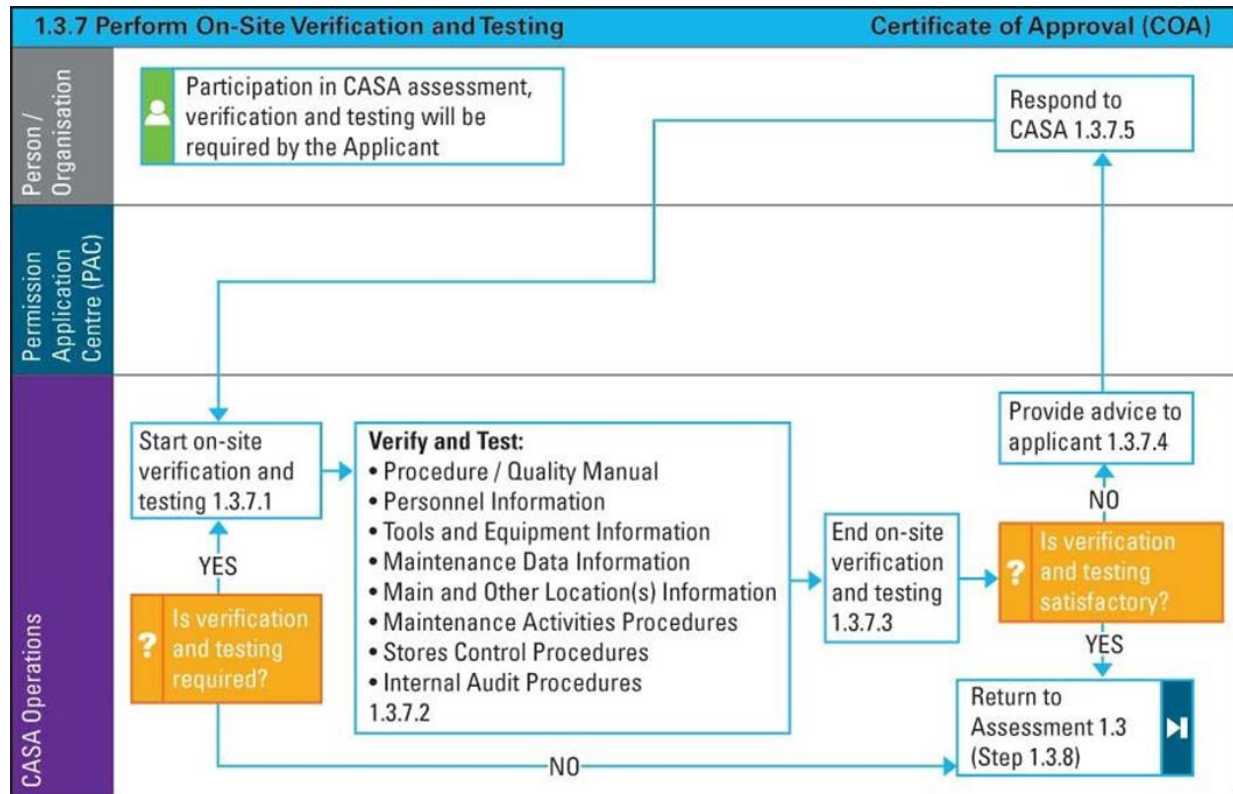
- 4.5.4



COA Application Form

- COA Application Form 019

5.18 Process map



5.19 Process steps

Perform verification and testing



Is verification and testing required?

The CASA Inspector will review the results of the desktop assessment to determine if verification and testing are required.

- If No, record justification for not conducting verification and testing. Go to 1. 4 Certification
- If yes, go to 1.3.7.1 Start verification and testing.

5.19.1 Start verification and testing

The CASA Regulatory Service Inspector must:

1. Prepare all materials including checklists required for testing and verification.
2. Contact Applicant to schedule verification and testing. Go to 1.3.7.2 Verify and test.

5.19.2 Verify and test



Note: These can be done in any order as long as ALL the steps are complete.

The CASA Regulatory Service Inspector must:

1. Verify all appointed personnel are aware of their roles and responsibilities.
2. Validate tools and equipment against the Tools and Equipment List.

3. Test that procedures for utilising tools and equipment are suitable for the maintenance activity.
4. Check the availability and integrity of the Maintenance Data as stated in the Maintenance Data list.
5. Verify data amendment services.
6. Verify facilities for conformity with the plans that were submitted with the application.
7. Verify that the other locations conform with information submitted with the application.
8. Verify that facility is appropriate, satisfactory and meets the standards for the maintenance activities.
9. Verify Maintenance Activities procedures are ready and available for implementation.
10. Verify Maintenance procedures including the procedures for the system of quality control.
11. Verify Stores Control procedures via demonstration to ensure they meet the regulatory requirements.
12. Verify Internal Audit procedures are ready and available for implementation. Go to 1.3.7.3 End verification and testing.

5.19.3 End verification and testing

The CASA Regulatory Service Inspector must:

1. Finalise the COA Application Form 019 and any other documents to complete the verification and testing phase.



Is verification and testing satisfactory?

CASA must be satisfied with the integrity of the information submitted with a COA application.

- If No, record justification for not conducting verification and testing. Go to 1. 4 Certification.
- If yes, go to 1.3.7.1 Start verification and testing.

5.19.4 Provide advice to Applicant

The CASA Regulatory Service Inspector will:

1. Provide Applicant with a documented statement of deficiencies.
2. Advise the Applicant of any further actions that may be required and that the application may be suspended pending rectification of deficiencies.
3. Go to 1.3.7.5 Respond to CASA

5.19.5 Respond to CASA

The Applicant will:

1. Address the deficiencies cited by CASA.
2. Provide advice to CASA in a timely manner. Go to 1.3.7.1 Start verification and testing.

5.20 Certification

5.20.1 Purpose

The purpose of the Certification phase is to:

- Finalise an application for Delegate approval.
- Issue the COA to the Applicant, if approved.

5.20.2 Context

CAR 30(2A) specifies 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.

5.20.3 References

The following documents are applicable to the Certification phase:



Handbook

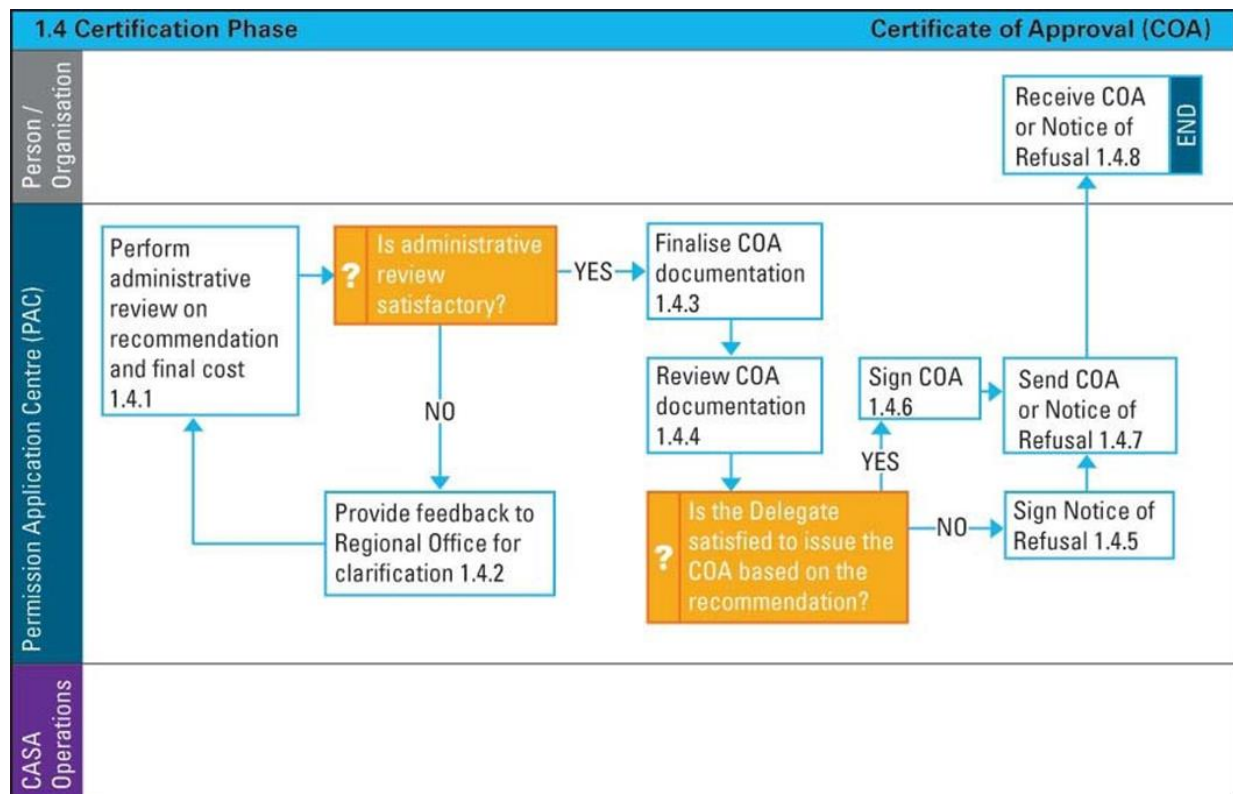
- Chapter 4 - COA Certification Process



COA Application Form

- Form 019 (for Initial Issue of or a Variation to add authorisations to a COA)
- Form 692 Application for a Subsequent Issue of a COA without changes (for COA renewals)

5.21 Process map



5.22 Process steps

Certification

5.22.1 Perform administrative review on recommendation and final cost

The Project Manager will:

1. Ensure all assessed documentation is complete and accurate.
2. Finalise all costs in the Estimator Builder.
3. Electronically file all relevant documents and correspondence.
4. Preview the final Draft Certificate.
5. Provide the Applicant with a copy of the Draft Certificate for validation of permissions applied for.
6. Review Standard Form Recommendation (SFR) and forward to Regulatory Service Manager for review.
7. SFR to be forwarded to the National Manager RS for final review before submission to Entry Control Coordination Team.

Entry Control Coordination Team must:

1. Review the recommendation, using the COA application, to ensure the (SFR) is reflecting what was applied for and/or the recommendation outlines CASA's decision to grant or not grant the authorisations requested.
2. Ensure all necessary details in the recommendation are complete.



Is administrative review satisfactory?

Entry Control Coordination Team must review the COA Instruction Sheet to ensure all appropriate checklist items have been checked.

- If no, go to 1.4.2 Provide feedback to CASA Local Office for clarification.
- If yes, go to 1.4.3 Finalise COA documentation.

5.22.2 Provide feedback to CASA Local Office for clarification

Entry Control Coordination Team will:

1. Advise the assessing CASA Local Office of the issues.

The CASA Local Office will:

2. Provide clarification and address issues as required.
3. Go to 1.4.1 Perform administrative review on recommendation and final cost.

5.22.3 Finalise COA documentation

Entry Control Coordination Team will:

1. Prepare the COA or Notice of Refusal along with all admin info for CASA.
2. Delegate to sign, using the COA Instruction Sheet as a guide. The package will include accounts reconciliation, SFR and cover letter.

3. Submit to CASA Delegate.



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

The CASA Delegate must:

1. Review the following documents - SFR, draft COA and other supporting documents.
2. Be satisfied that the Applicant has met the requirements for the issue of a COA.



Is the CASA Delegate satisfied to grant the COA based on the recommendation?

The CASA Delegate must be satisfied the Applicant meets all requirements before granting the COA.

- If no, go to 1.4.5 Sign Notice of Refusal to issue the COA
- If yes, go to 1.4.6 Sign COA.

5.22.4 Sign Notice of Refusal to issue the COA

The CASA Delegate will:

1. Discuss the issues and CASA's planned course of action with the assessing CASA Local Office.
2. Sign Notice of Refusal to Issue the COA, account reconciliation and other documents.
3. Go to 1.4.7 Send COA or Refusal

5.22.5 Sign COA

The CASA Delegate must:

1. Sign the Certificate of Approval, account reconciliation and other documents requiring delegate's signature.
2. Go to 1.4.7 Send COA or Refusal

5.22.6 Send COA or Refusal

Entry Control Coordination team must:

1. Send the COA or Notice of Refusal to Issue COA, and other relevant documents to the Applicant.
2. Provide a copy of the COA or Notice of Refusal to Issue COA to the CASA Local Office.
3. Perform other administrative tasks required to close the job. Go to 1.4.8 Receive COA or Refusal.

5.22.7 Receive COA or Refusal

1. The Applicant will receive COA or Notice of Refusal to Issue COA.
2. End Process.

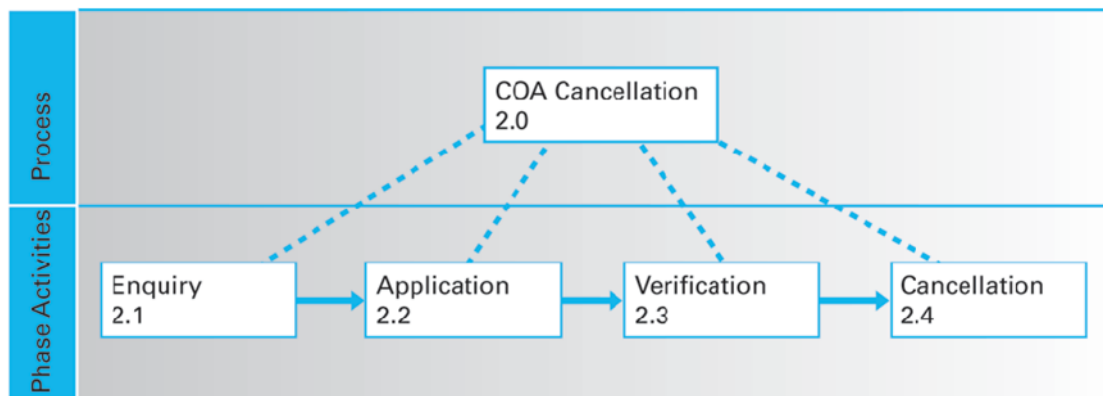
6. Suspending or Cancelling a Certificate of Approval

6.1 Overview of the COA Suspension or Cancellation Process

The COA cancellation process comprises four phases:

- Enquiry
- Application
- Verification
- Suspension / Cancellation.

This manual describes each phase using process maps.



The Suspension or Cancellation process provides COA holders with information on the circumstances under which a COA can be cancelled. In conjunction with the Enforcement Manual, information in this section will give visibility on the steps CASA takes to suspend or cancel a Certificate of Approval:

- At the certificate holder's request
- As a result of an enforcement action.

6.2 Suspension or Cancellation at the request of the COA holder

6.2.1 Purpose

The purpose of this process is to:

- Provide COA holders information on the process CASA undertakes to suspend or cancel a COA at the request of the COA holder.

6.2.2 Context

CASR 11.130 specifies that if a certificate holder advises CASA they no longer wish to hold the licence, certificate or authority, CASA shall suspend or cancel the licence, certificate or authority.

6.2.3 References

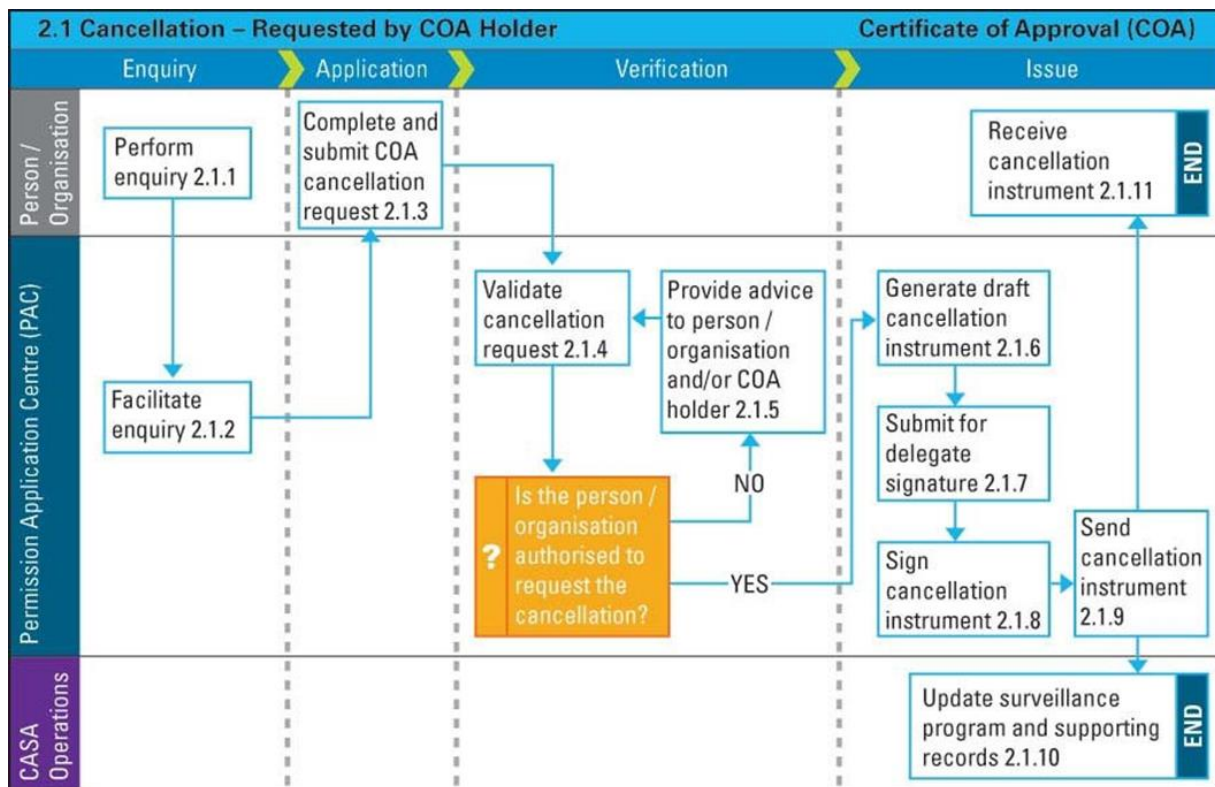
The following documents are applicable to Suspension or Cancellation at the request of the COA holder:



Handbook

- Chapter 2 – Certificate of Approval Overview

6.3 Process map



6.4 Process steps

Suspension or Cancellation

6.4.1 Perform enquiry

The COA Holder must:

1. Contact Entry Control Coordination Team in regard to suspending or cancelling a COA if they are unsure of the process.
2. Go to 2.1.2 Facilitate enquiry

6.4.2 Facilitate enquiry

Surveillance Team will:

1. Offer advice on the suspension or cancellation process as required.
2. Go to 2.1.3 Complete and submit COA suspension or cancellation request

6.4.3 Complete and submit COA suspension or cancellation request

The COA Holder must:

1. Complete and send a CAO suspension or cancellation request to CASA.
2. Go to 2.1.4 Validate Suspension or Cancellation Request.

6.4.4 Validate Suspension or Cancellation Request

Surveillance will:

1. Review the request to suspend or cancel using the Instruction Sheet for COA Suspension or Cancellation as a guide.
2. Ensure that the person requesting the suspension or cancellation is the COA Holder, or in the case of an organisation, is a person who holds an authority to request a suspension or cancellation.



Is the person/organisation authorised to request the suspension or cancellation?

Entry Control Coordination team must ensure that the person/organisation is authorised to request the suspension or cancellation.

- If no, go to 2.1.5 Provide advice to person/organisation and/or COA holder
- If yes, go to 2.1.6 Generate draft suspension or cancellation instrument

6.4.5 Provide advice to person/organisation and/or COA holder

Surveillance will:

1. Contact the certificate holder and request proof of authority to request suspension or cancellation.
2. Go to 2.1.4 Validate Suspension or Cancellation Request.

6.4.6 Generate draft suspension or cancellation instrument

Surveillance will:

1. Create the instrument to suspend or cancel COA.
2. Go to 2.1.7 Submit for delegate signature.

6.4.7 Submit for delegate signature

Surveillance will:

1. Package all administrative information including the draft instrument of suspension or cancellation and submit to the CASA Delegate for signature, using the COA Instruction Sheet as a guide.
2. Go to 2.1.8 Sign suspension or cancellation instrument.

6.4.8 Sign suspension or cancellation instrument

The CASA Delegate must:

1. Sign suspension or cancellation instrument.
2. Go to 2.1.9 Send suspension or cancellation instrument.

6.4.9 Send suspension or cancellation instrument

Surveillance will:

1. Send suspension or cancellation instrument to the COA Holder.
2. Notify the relevant CASA Regional Office of the suspension or cancellation.
3. Perform other administrative tasks required to close the job.
4. Go to 2.1.10 Update surveillance program and supporting records

Update surveillance program and supporting records

The CASA Surveillance will:

1. Update surveillance program and other supporting records pertaining to the COA activities.
2. Go to 2.1.11 Receive suspension or cancellation instrument

Receive suspension or cancellation instrument

The COA Holder will:

1. Receive suspension or cancellation instrument.
2. End of process.

7. Cancellation, suspension or variation as a result of enforcement action

7.1 Purpose

The section provides COA holders information on the process CASA undertakes to cancel, suspend or vary a COA as a result of an enforcement action.

7.2 Context

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. CASA may also suspend a certificate pursuant to Section 30DC of the Act if the holder poses a serious and imminent risk to air safety. Administrative action is carried out in accordance with the CASA Enforcement Manual and Coordinated Enforcement Policy.

7.3 References

The following references are applicable:

- CASA Enforcement Manual
- Coordinated Enforcement Policy

7.4 Process

The process involving administrative action is co-ordinated by CASA Legal Services Branch. If a certificate is cancelled, suspended or varied, a job still needs to be raised by Entry Control Coordination team, to include details of the action in the database.