



# **Annex 21 to CSM Surveillance Manual Part 141 (Certificate only) and Part 142 (Simulator only)**

**Note:** Authorisation Holders that conduct something other than training only should be guided by Annex 3 – Flight Operations.

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## Introduction

This annex is an integral part of the CASA Surveillance Manual (CSM), which should be referenced at all times. To allow for more frequent revisions, this annex can be updated independent of the CSM and other annexes. The process of updating this annex requires verification and approval from its owners and sponsors, as well as from Coordination and Safety Systems (CSS). An updated version can only be published once CSS has finalised the format, with the latest revision history data included in the revision table.

## Revision history

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

Version no.	Date	Parts / sections	Details
1.1	October 2022		Addition of Aircraft - Airworthiness Assurance Additional of Training - FSTD Removal of Training Management - FSTD
1.0	December 2021	All	Initial Issue

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# 1 Overview

This Annex provides instructions for conducting surveillance of Part 141 Operating Certificate Operators and Part 142 B Certificate Simulator Operators only

CASR Part 141 (recreational, private and commercial pilot flying training other than some integrated courses)

CASR Part 142 Simulator Operators (integrated and multi-crew flying training and contracted recurrent training and checking).

The Annex contains information relating to the following:

- Systems and Elements
- Systems and Elements – Health Checks
- Surveillance Currency Guide
- Information Sources.

## 2 Systems and Elements: Part 141 and Part 142

The audit technique involves assessing the documented system and comparing it against the actual system processes. The system is assessed for compliance and sampling conducted as appropriate. The assessment of the system and its risks is achieved by a questioning technique using the four attributes (12 components) of Management System Model (MSM), see CSM Sections 3.3.3 System attributes – Management System Model and Section 3.3.3.1 – Systems attributes (table). The CASA description of a Part 141 or Part 142 consists of four systems incorporating 15 elements.

**Table 1: System and Elements**

<b>Systems</b>	<b>Elements</b>
<b>Operational Personnel</b>	Operational Standards
	Personnel Standards
	Fatigue Management
	Fatigue Risk Management System (FRMS)
<b>Operations</b>	Operational Support Systems
	Authorised activities
	Fuel Policy
<b>Aircraft</b>	Maintenance System
	Airworthiness Control
	Line Servicing
	Airworthiness Assurance
<b>Training</b>	Training Management
	Training Infrastructure
	Qualifications and authorisations (instructor, examiner and support staff)
	Flight Testing
	Theory Examination
	Flight Simulator Training Devices (FSTD)

Table 2: Operational Personnel Elements

<b>SYSTEM: Operational Personnel</b>	
<b>ELEMENT: Operational Standards</b>	
Operational Standards are a vital element of the system required to maintain safe operations through the establishment of an appropriate set of systems (includes an appropriate organisational structure) to accommodate induction, check to line, upgrade training (where applicable) .	
<b>Prompts</b>	
CEO	Quality assurance personnel
Head of Operations	Ground crew
Quality manager	Operational support and admin staff
Maintenance controller	Flight examiners
Flight instructors	Ground instructors
<b>ELEMENT: Personnel Standards</b>	
Personnel Standards are a vital element of the system required to maintain safe operations through the establishment of an appropriate set of systems (where applicable) and a system for dealing with unacceptable performance. The standards of personnel, including third-party providers is required to be documented detailing qualifications, training and any other requirements.	
<b>Prompts:</b>	
Induction training procedures	Remedial training procedures
Standardisation and proficiency procedures	Quality assurance personnel
Personnel licensing requirements	Key personnel responsibilities

**ELEMENT: Fatigue Management (Flight Crew) - CAO 48.1 Appendices 1-6**

The Fatigue Management element is designed to audit compliance with CAO 48.1 Appendices 1 to 6 and minor variation approvals. Safe operations rely on proactive management of fatigue risks and hazards

**Prompts**

Roster production	Fatigue management
Records and Reports	Fatigue training
Fatigue hazard and identification and mitigation processes	Enhanced obligations (Appendices 2-6) (Part 141 only)
FCM fatigue monitoring	Minor Variation conditions
Sleep opportunity assurance	Appendix selection
Sustenance	

**ELEMENT: Fatigue Risk Management System (FRMS) - CAO 48.1 Appendix 7**

An FRMS approval allows an operator to establish bespoke fatigue limits in excess of those allowable under another appendix to CAO 48.1. fatigue hazard identification, mitigation, monitoring, assurance and promotion procedures all form the basis of an effective risk management system for safe operations.

**Prompts**

Change management procedures	Practical operating procedures
FCM fatigue monitoring	Hazard identification, risk assessment and mitigation procedures
Data acquisition and analysis	Safety Assurance procedures
Use of Biomathematical Model	Safety promotion procedures
Fatigue Training	Records and Reports
Sustenance	

**Table 3: Operations Elements**

<b>SYSTEM: Operations</b>	
<b>ELEMENT: Operational Support Systems</b>	
This element contains the authorisation holder's systems and processes that support the conduct of Part 141 and Part 142 Operations. The authorisation holder system to provide crews/students with the published data and procedures necessary to achieve compliance with performance requirements.	
<b>Prompts</b>	
Provision of Performance data	Flight planning and preparation
Training aerodromes and associated training areas	Charts (training area, low flying area, aerobatic area)
Operational library	Records management
Training aids	Training programming
Record storage and archive	Scheduling practices
<b>ELEMENT: Authorised Activities</b>	
The AOC Operations element addresses the systems that ensure the authorisation holder contains its operations to those authorised by legislation.	
<b>Prompts</b>	
Authorised scope of activities	Certificate or approval conditions
<b>ELEMENT: Fuel Policy</b>	
This element addresses the current or proposed policy the authorisation holder has in place to comply with the requirements of CAR 234 and associated amendments. This is achieved through a review of the relevant sections of the authorisation holder's Operations Manual or separately submitted fuel policy.	
<b>Prompts</b>	
Aircraft specific fuel data	In-flight fuel management
Fuel planning requirements	Variable fuel requirements
Fuel reserves	Fuel policy risk assessment
Supplementary fuel	



**Table 4: Aircraft Elements**

<b>SYSTEM: Aircraft</b>	
<b>ELEMENT: Maintenance System</b>	
This element contains the systems and processes for identifying “what” maintenance activities are required to be done as well as “when” the maintenance activities are to be completed.	
<b>Prompts</b>	
Aircraft specialised operations	Safety equipment
Reliability program	Minimum Equipment List (MEL)/Configuration Deviation List (CDL)
Maintenance release/Technical log	
<b>ELEMENT: Airworthiness Control</b>	
This element contains the systems and processes for achieving the “how” maintenance activities are conducted and “who” completes the maintenance activities.	
<b>Prompts</b>	
System of certification	Contractual arrangements
Defect information	Operational equipment
Airworthiness directions	MEL/CDL deferred maintenance
Maintenance control manual (Class A aircraft)	Aircraft cross hire
<b>ELEMENT: Line Servicing</b>	
This element contains the systems and processes for ensuring the appropriate activities are conducted to ensure the aircraft is serviced for flight.	
<b>Prompts</b>	
Line maintenance	Replenishing
Pilot maintenance	Authorised maintenance support equipment
Configuration control	Cleaning
Fuelling	Towing
<b>ELEMENT: Airworthiness Assurance</b>	
This element contains the systems and processes for ensuring the aircraft is Airworthy and fit for service. This is accomplished primarily through the authorisation holder's internal audit processes and closes the loop on the maintenance system.	
<b>Prompts</b>	
Audit	Aircraft
Maintenance	Locations
Aircraft documentation	

**Table 5: Training Elements**

<b>SYSTEM: Training</b>	
<b>ELEMENT: Training Management</b>	
This element contains the authorisation holder's systems and processes for the management of training.	
<b>Prompt</b>	
Training prerequisites	Training syllabus
Training plan	Training delivery
Training assessment	Training system performance
Remedial training	Change management process
Training records management	Internal audit
Continuous improvement	Recommendation and/or issue of authorisations (internally)
Flight school students	Training flights authorisation
	Temporary locations
<b>ELEMENT: Training Infrastructure</b>	
This element describes the suitability of the authorisation holder's infrastructure to support the delivery of the Part 141 and 142 training operations.	
<b>Prompt</b>	
Aircraft suitability for purpose	Facilities and equipment
Flight simulation training devices	Briefing rooms
Classrooms	Exam facilities and security
Temporary locations	
<b>ELEMENT: Qualifications and authorisations (instructor, examiner and support staff)</b>	
This element contains the authorisation holder's systems and processes to manage the instructional and examining standards (includes HF/NTS, key personnel training etc.).	
<b>Prompts</b>	
Competency management	Personnel training records
Recency	Instructor standardisation and proficiency
Licensing	HF/NTS
Induction	

<b>ELEMENT: Flight Testing</b>	
This element contains the authorisation holder's systems and processes for the conduct of flight tests and assessments.	
<b>Prompts</b>	
Recommendations and prerequisites	Competency
Management of candidate's assessments	Flight test notification
Appropriate assessment devices	Construct of the assessment exercise
Exam bank management	
<b>ELEMENT: Theory Examination</b>	
This element describes the systems that make up the control of all systems associated with the conduct of examinations of students under the control of the authorisation holder. In some circumstances this may be extended to staff who are required to undertake periodic examinations. The documented system should account, but is not limited to, the control of personnel supervising examinations and undertaking examinations, conduct of practical tests and assessments and control and issue of certificates. The exam structure should ensure that the relevant syllabus items are covered, that the marking key is appropriate, with multiple choice answers, that the distractors are reasonably realistic; that where a computer-generated question paper is used that there are processes to prevent the same questions recurring.	
<b>Prompts</b>	
Organisation of examinations	Examination facilities
Exam structure	Coverage of syllabus, marking key
Conduct	Basic/Type practical assessments
Inappropriate practices	Alternate locations
Examination assessment, including processes to manage examination failure	Measures to detect/prevent cheating or inappropriate collaboration
Issue of certificates	Compliance with regulatory standards
<b>ELEMENT: Flight Simulator Testing Devices</b>	
This element contains the authorisation holder's systems and processes for FSTDs	
<b>Prompts</b>	
Quality System (FSTD only)	

## 2.1 Health Check

Health check mandatory elements are available on the CASA Intranet. Details of the current mandatory elements for each authorisation type are published separately to the CASA website.

## 3 Surveillance Currency Guide: Part 141 (Certificate only) and Part 142 (Certificate Simulator only)

Table 6: Surveillance Currency Guide

Surveillance level	Type	Elements
Level 1	Systems Audit	Systems, Risks and Compliance
	Health Check	Specific Elements, Risks and Compliance
	Post-authorisation Review	Entry Control Elements
Level 2	Operational Check	E.g. Flight Deck Observation, Ramp check

**Note:** Surveillance intervals are determined by the National Surveillance Selection Process (NSSP). Refer to the NSSP planned surveillance schedule for further information regarding surveillance intervals.

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## 4 Information Sources

The following is a non-exhaustive list of information sources that can be accessed to support the assessment of an authorisation holder:

- surveys
- third-party audits
- regulatory history, findings (Safety Findings and Safety Observations)
- past Surveillance Reports and findings (Safety Findings and Safety Observations)
- EAP information
- Defect Report Service (DRS)
- Regulatory Service activity
- information gathered by the authorisation holder
- external information gathered from industry or other government agencies
- Enforcement action
- past accident/incident history
- risk management plans provided by the authorisation holder.

A large portion of this information is available to the surveillance team and authorisation management team via the Data Warehouse using the Power BI application.

**Note:** For advice on where and how to access required information refer to CSM Chapter on – Information Capture and Access.