



PROTOCOL

(OPS.10) Key personnel assessment

May 2025



Acknowledgement of Country

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

Artwork: James Baban.

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1. Purpose

This protocol is for the assessment of nominated key personnel under Subpart 119.D—Organisation and personnel, Subpart 137.C—Operator certification and supervision, Division 138.B.4—Organisation and personnel, Subpart 141.D—Organisation and personnel and Subpart 142.D — Organisation and personnel of the *Civil Aviation Safety Regulations 1998* (CASR).

Operators must maintain an organisational structure that effectively manages air operations. CASA may require key personnel to undertake an assessment and/or a training course to be considered suitable for the role. This protocol has been developed to ensure standardisation of the assessment process.

2. Concept and philosophy

The organisational structure, whether conducting air transport or aerial work operations, will depend on the size, nature and complexity of operations. The operator must ensure there is enough personnel employed by the operator (either directly employed or contracted third party staff) to ensure that:

- tasks are conducted in accordance with the operator's exposition/operations manual
- operational task safety is not compromised due to a lack of resources
- only suitably experienced and qualified personnel are employed to carry out tasks
- the proposed services will be undertaken with safely, with appropriate consideration given to the complexities of the tasks.

As head of the organisational structure, the Chief Executive Officer (CEO) has overall accountability for ensuring operations are conducted safely. Other key personnel within the organisation must possess the required qualifications and experience to support the CEO.

Section 28 of the *Civil Aviation Act 1988* (the Act), which is applicable to Part 119, 137 and 142 operations, defines key personnel as:

- the chief executive officer
- the head of the flying operations part of the organisation
- the head of the aircraft airworthiness and maintenance control part (if any) of the organisation
- the head of the training and checking part (if any) of the organisation
- any other position prescribed by the regulations – regulation 119.035 prescribes the safety manager as key personnel.

Subpart 137.C of CASR requires the following key personnel:

- the chief executive officer
- the head of the flying operations part of the organisation
- the head of aeroplane maintenance control.

Division 138.B.4 of CASR requires the following key personnel:

- the chief executive officer
- the head of operations part of the organisation
- the head of the training and checking (where the operator is required by regulation 138.125 to have a training and checking system)
- the safety manager (where the operator is required by regulation 138.140 to have a safety management system).

Subpart 141.D of CASR requires the following key personnel:

- the chief executive officer
- the head of operations.

Subpart 142.D of CASR requires the following key personnel:

- the chief executive officer
- the head of operations
- the safety manager (where the operator conducts activities in an aircraft)
- the quality assurance manager (where the operator only conducts activities in flight simulator training devices).

Unless required by other regulations (e.g. Part 42 of CASR), operators under Parts 119, 138, 141 and 142 do not require a head of airworthiness and maintenance position as a key personnel position. Where an operator does not specifically nominate a person responsible for the airworthiness and maintenance, then this responsibility would jointly be considered part of the CEO and Head of Flying Operations (HOFO)/Head of Operations (HOO) responsibilities, under their requirements to ensure compliance with civil aviation legislation.

For Part 137 operators, inspectors should use the Protocol (OPS.13) Managing continuing airworthiness for the assessment of the head of aeroplane maintenance control.

3. Process

All administration tasks should follow standard regulatory service administration procedures (as applicable), in addition to the following:

- a. Air transport operators will submit an application to CASA for nomination of key personnel under regulation 119.020 using the Air Operator's Certificate / Associated Approvals form (CASA-04-5515)
- b. Aerial work operators will submit an application to CASA for nomination of key personnel under regulation 138.012, using the Aerial Work Operations form (CASA-04-5505) .
- c. Part 137 operators must submit their operations manual for approval when nominating key personnel, using the Air Operators Certificate (Aerial Application Operations) form (CASA-04-5643).
- d. Flight training operators will submit an application to CASA for nomination of key personnel under regulation 141.025 and/or 142.030, using the Flight Training Operator Certificate Application form (CASA-04-5389).
- e. Regservices will create a case in EAP to be assigned to a CASA inspector.
- f. Regservices and the inspector should confirm that an EAP stop alert is not active.
- g. All associated CASA staff must be knowledgeable of, and competent with, Principle (OPS.10) Key personnel assessment, which provides details for the complete assessment of the nominated person.
- h. The relevant sections of Worksheet (OPS.10) must be completed by the CASA inspector and saved into RMS, including:
 - i. the assessment summary
 - ii. the approval data sheet.
- i. If an in-aircraft flight test is required, the inspector must:
 - i. conduct the flight test in accordance with the requirements contained in the [Flying Qualification & Training Handbook \(FQTH\)](#)
 - ii. at the completion of the flight test, notify the nominee and operator of the outcome. If a nominee is found not suitable, CASA will advise the nominee and the operator in writing with justification
 - iii. if required, issue an approval under regulation 121.010 to conduct a Part 121 proficiency check.
- j. If an approval under regulations 119.025, 138.025, 141.035 or 142.040 is required, the inspector must complete the relevant section of the approval data sheet.
- k. To issue a significant change recommendation, the inspector must complete the relevant section on the approval data sheet and provide the revision details for the exposition/operations manual.
- l. If the application is for the replacement of a key personnel position, the inspector must advise regservices which person to make inactive.

- m. The inspector must complete EAP in accordance with the EAP OAS Case Management - Regulatory Oversight Division (ROD) handbook (CASA-03-5501).

The assessment must be endorsed by an independent person, see section 3.1 of this Protocol.

3.1 Recommendation endorsement

All recommendations must be endorsed by a separate person, normally a Manager Regulatory Services, prior to the delegate issuing the authorisation.

The Manager Regulatory Services may assign the endorsement to another inspector.

The role of the endorser is to:

- ensure all sections of the worksheets have been completed
- the assessment summary page has been completed
- the approval data sheet has been completed
- all worksheets and relevant documents have been filed in RMS
- the "Assessment" section of EAP has been fulfilled
- the "Create recommendation" section of EAP has been fulfilled

If satisfied the endorser will complete the "Endorse recommendation" section of EAP and forward the task to the delegate.

If the assessing inspector holds the delegation for the authorisation, they can issue the authorisation.

4. List of supplements

Only the following supplements may be used in support of this protocol. The most recently approved versions will be found on the CASA intranet website. Approved forms are located on CASA's external website.

- [Principle \(OPS.10\) Key personnel assessment](#)
- [Worksheet \(OPS.10\) Key Personnel Assessment – Chief executive officer](#)
- [Worksheet \(OPS.10\) Key Personnel Assessment – Head of flying operations or head of operations](#)
- [Worksheet \(OPS.10\) Key Personnel Assessment – Head of training and checking](#)
- [Worksheet \(OPS.10\) Key Personnel Assessment – Safety manager](#)
- [Worksheet \(OPS.10\) Key personnel assessment – Quality assurance manager](#)
- [Worksheet \(OPS.10\) Key Personnel Assessment – Record of interview.](#)

5. Scope

This Protocol considers the assessment of individuals nominated as key personnel under Subpart 119.D, Subpart 137.C, Division 138.B.4, Subpart 141.D and Subpart 142.D of CASR. This Protocol must also be used to assess a person authorised to carry out responsibilities of a key person if the position holder is absent from the position or cannot carry out the responsibilities of the position. The nomination of key personnel is a significant change under regulation 119.020, 138.012, 141.025 and 142.030 of CASR.

6. Competency requirements

To conduct the assessment, inspectors must have successfully completed the foundation training and advanced regulatory assessment training programs.

- observe a key personnel assessment, including interview
- conduct 2 key personnel assessments, including an interview, under the observation of a qualified inspector
- if an inflight assessment is required, meet the competency requirements in Protocol (OPS.21) Check pilot assessment.

7. Associated legislation

Table 1. Legislation associated with this protocol

Document	Title
Part 119 of CASR	Australian air transport operators—certification and management
Part 137 of CASR	Aerial application operations—other than rotorcraft
Part 138 of CASR	Aerial work operations
Part 141 of CASR	Recreational, private and commercial pilot flight training, other than certain integrated training courses
Part 142 of CASR	Integrated and multi-crew pilot flight training, contracted training and contracted checking

8. Guidance references

Table 2. Guidance material relevant to this protocol

Document	Title
AC 1-01	Understanding the legislative framework
AC 11-04	Approvals under CASR Parts 91,103,119,121,129,131,132,133,135,138 and 149 (including MOS)
AC 119-01	Safety management systems for air transport operations
AMC/GM Part 119	Subpart 119.D—Organisational personnel
AMC/GM Part 138	Division 138.B.4—Organisational personnel
Part 141 handbook	Part 141 Technical Assessor Handbook
Part 142 handbook	Part 142 Technical Assessor Handbook

9. Revision history

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

Table 3. Revision history table

Version No.	Date	Parts/Sections	Details
1.3	May 2025	3.1	New section 3.1 added
1.2	October 2023	Part 3 and 8	Content moved to new template. Process section (Part 3) updated to reflect current process and include additional process to remove key personnel. Additional guidance reference added (Part 8).
1.1	December 2022	Various	Added Part 141 and Part 142 key personnel. Amended the assessment process and supplements. Minor editorial changes.
1.0	May 2022	All	First release