



WORKSHEET

(OPS.10) Key personnel assessment – chief executive officer

Nominee name	Nominee ARN	EAP case number	File reference
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Instructions

1. Use this worksheet for the assessment of a chief executive officer (CEO) nomination.
1. All sections below should be completed.
2. Unless otherwise stated, the legislation reference refers to the *Civil Aviation Safety Regulation 1998* (CASR).
3. Use this worksheet in conjunction with the record of interview template.
4. The compliant column is used to record evidence that supports an assessment of *present* and *suitable* for the operation. Select a response from the drop down list. There are four available responses: **Yes** / **No** / **MI** (more information) / **N/A** (not applicable). Yes indicates that both present and suitable have been satisfied and the element is compliant with the rule.
5. For guidance on specific aspects of each question, refer to the respective section in the principle document as identified in the principle reference column.
6. The assessment summary must be completed by the assigned inspector. By selecting satisfied or not satisfied, the inspector is taken to have signed the worksheet.
7. Where required, the approval data sheet must be completed by the assigned inspector. Regservices will use this information to prepare approvals for the delegate.

2 Chief executive officer – desktop assessment

Legislation reference	Principle reference	Question	Compliant?	Inspector comments
119.125 137.060(1) 138.085 141.120 142.175	2.1	Does the nominee hold the highest position in the organisation? Note: if the operator is an individual—the individual must be the CEO.		
119.070(1)(e)(i), (3) 138.040(1)(h)(i), (3) 141.060(1)(i), (3) 142.110(3) 11.055(4)	2.1.1	Is the nominee a fit and proper person?		
119.125(2)(a)	2.1.2	If operator holds an approval under regulation 119.025, does the nominee have the experience mentioned in that approval?		
119.125(3)(a) 142.175	2.1.4 3.1	Does the nominee have sufficient relevant experience in organisational, operational, financial and people management of air operations?		
119.125(3)(b)	2.1.4 3.2	Does the nominee have a satisfactory record in the conduct or management of air operations?		

Legislation reference	Principle reference	Question	Compliant?	Inspector comments
119.120 138.080 141.115 142.170	2.1.3	Has the nominee completed familiarisation training?		
119.165(3)(c) 138.120(3)(c) 141.115(3)(c) 142.215(3)(c)	3.16	If directed by CASA to undertake a training course for the role, has the nominee completed the training?		
119.165(3)(a)(b) 138.120(a)(b) 141.115(3) 142.215(3)	3.16	If directed by CASA to undertake an assessment, has the nominee demonstrated their suitability for the role?		

3 Chief executive officer – suitability assessment

Legislation reference	Principle reference	Question	Compliant?	Inspector comments
119.130(1) 138.085(1) 141.120(1)		Does the nominee demonstrated sufficient knowledge and understanding to:		
119.130(1)(a)(i) 138.085(1)(a)(i) 141.120(1)(a)(i) 142.180(1)(a)(i)	3.3	ensure sufficient suitably experienced, qualified and competent personnel?		
119.130(1)(a)(ii) 138.085(1)(a)(ii) 141.120(1)(a)(ii) 142.180(1)(a)(ii)	3.4	ensure a suitable management structure?		
119.130(1)(a)(iii) 138.085(1)(a)(iii) 141.120(1)(a)(iii) 142.180(1)(a)(iii)	3.5	ensure the operator is adequately financed and resourced?		
119.130(1)(b)(i) 138.085(1)(b)(ii) 141.120(1)(b)(ii) 142.180(1)(b)(ii)	3.6	ensure the operator complies with the civil aviation legislation?		

Legislation reference	Principle reference	Question	Compliant?	Inspector comments
119.130(1)(b)(ii) 141.120(1)(c)(iii) 142.180(1)(c)(vi)	3.7	ensure the operator complies with the aviation safety laws of each foreign country (if any) where the operator conducts Australian air operations?		
119.130(1)(b)(iii) 138.085(1)(c)(i) 142.180(1)(c)(i)	3.8	implement and manage the operator's safety management system?		
119.130(1)(b)(iv) 138.085(1)(b)(iv) 141.120(1)(ca) 142.180(1)(c)(ii)	3.8	ensure that all of the operator's personnel understand the operator's safety policy?		
119.130(1)(b)(v) 138.085(1)(c)(ii) 142.180(1)(c)(iii)	3.8	implement an organisational structure that ensures that the safety manager is independent and not subject to undue influence?		
119.130(1)(b)(vi) 141.120(1)(b)(i) 142.180(1)(b)(i)	3.9	set and maintain standards for flight and ground operations?		
119.130(1)(b)(vii) 141.120(1)(c)(i)(ii) 142.180(1)(c)(iv)	3.10	tell CASA if the operator becomes aware that a leasing, financing or other arrangement for the supply of an aeroplane or rotorcraft that may affect the operator's safe conduct of the operator's Australian air operations?		

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Legislation reference	Principle reference	Question	Compliant?	Inspector comments
119.130(1)(b)(viii) 141.120(1)(c)(ii) 142.180(1)(c)(v)	3.10	tell CASA if the operator becomes aware that an arrangement mentioned in the line above (subparagraph (vii)) may contravene a provision of the civil aviation legislation or the law of the country in which the aeroplane or rotorcraft is registered?		
119.130(1)(b)(ix) 138.085(1)(b)(iii) 141.120(1)(c)(iv) 142.180(1)(c)(viii)	3.11	for each foreign registered aircraft (if any) used in the operator's Australian operations, ensure the aircraft is maintained in accordance with the law of the country in which the aircraft is registered (subject to any applicable 83 bis agreement)?		
119.130(1)(c) 138.085(1)(d) 142.180(1)(e)	3.12	establish and regularly review the operator's safety performance indicators and targets?		
119.130(1)(d) 138.085(1)(e) 142.180(1)(f)	3.13	ensure that the operator's exposition/operations manual is monitored and managed for continuous improvement?		
119.130(1)(e)	3.14	ensure that training and checking of the operator's operational safety-critical personnel (other than flight crew) conducted by or for the operator is conducted in accordance with the operator's exposition?		
119.130(1)(f) 138.085(1)(f) 141.120(1)(g) 142.180(1)(g)	3.15	ensure that key personnel satisfactorily carry out the responsibilities of their positions in accordance with the operator's exposition/operations manual and the civil aviation legislation?		

Assessment summary

Nominee name		Nominee ARN		EAP case number		File reference	
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This worksheet verifies the application for the approval of a chief executive officer for the above-named applicant has been assessed in accordance with the current revision of Protocol (OPS.10).

Inspector name		Title		Date	
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Assessment

The nominee has been assessed in accordance with the requirements mentioned in:

- ☐ Subpart 119.D
 ☐ Subpart 137.C
 ☐ Division 138.B.4
 ☐ Subpart 141.D
 ☐ Subpart 142.D

Inspector

- ☐ I am satisfied the nominee is suitable for the role as chief executive officer.

☐ I am not satisfied the nominee is suitable for the role as chief executive officer.

Reason for recommendation

Approval data sheet

Operator name		Operator ARN		EAP case number		File reference	
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CEO assessed for: ☐ Substantive position ☐ Alternate position

Tick the relevant boxes for the approvals.

☐ Significant change recommendation

(1) The proposed significant change(s) to the exposition/operations manual have been assessed in accordance with the requirements mentioned in:

☐ paragraph 119.205(1)(m) ☐ paragraph 138.155(1)(m) ☐ paragraph 141.260(1)(s) ☐ paragraph 142.340(1)(t)

Inspector

☐ I recommend the significant change.

☐ I do not recommend the significant change.

Exposition/operations manual revision reference

Title	Version	Date	RMS reference number

Note: Regservices requires this information to create the EMAN in RMS.

☐ Remove key personnel

Name	ARN

☐ Reclassify key personnel to alternate

Name	ARN

☐ Part 137: Approval of amendment to operations manual or schedule of differences

(1) The proposed operations manual amendment has been assessed in accordance with the requirements mentioned in Subpart 137.C.

Inspector

☐ The amendment under regulation 137.080, 137.085 or 137.090 as applicable can be approved.

☐ I do not recommend the amendment.

Operations manual revision reference

Title	Version	Date	RMS reference number
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Note: Regservices requires this information to create the EMAN in RMS.

☐ Part 119: Chief executive officer (CEO) – experience

(1) For paragraph 119.125(2)(a), the operator's CEO can be approved to have the following experience:

CEO name	CEO ARN
CEO experience	

(2) The approval under subsection (1) is subject to the following conditions (if required):

☐ Part 119: Chief executive Officer (CEO) and safety manager (SM) key personnel positions to be occupied by the same person in unforeseen circumstances

(1) For paragraph 119.080(1)(f)(i), the operator can be approved for the positions of CEO and SM to be occupied by the same person in unforeseen circumstances, but on condition it is the person listed in subsection (2).

(2) The position of CEO and SM may be occupied by:

Name of person	ARN of person
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(3) The approval under subsections (1) and (2) is subject to the following conditions (if required):

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☐ Part 138: Chief executive officer (CEO) and head of training and checking (HOTC) key personnel positions to be occupied by the same person

(1) For paragraph 138.050(1)(f)(i), the operator can be approved for the positions of CEO and HOTC to be occupied by the same person, but on condition it is the person listed in subsection (2).

(2) The position of CEO and HOTC may be occupied by:

Name of person	ARN of person
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(3) The approval under subsections (1) and (2) is subject to the following conditions (if required):

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☐ Part 138: Chief executive officer (CEO) and safety manager (SM) key personnel positions to be occupied by the same person in unforeseen circumstances

(1) For paragraph 138.050(1)(g)(i), the operator can be approved for the positions of CEO and SM to be occupied by the same person in unforeseen circumstances, but on condition it is the person listed in subsection (2).

(2) The position of CEO and SM may be occupied by:

Name of person	ARN of person
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(3) The approval under subsections (1) and (2) is subject to the following conditions (if required):

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☐ Part 142: Chief executive officer (CEO) and safety manager (SM) key personnel positions to be occupied by the same person in unforeseen circumstances

(1) For paragraph 142.100(1)(f)(i), the operator can be approved for the positions of CEO and SM to be occupied by the same person in unforeseen circumstances, but on condition it is the person listed in subsection (2).

(2) The position of CEO and SM may be occupied by:

Name of person	ARN of person
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(3) The approval under subsections (1) and (2) is subject to the following conditions (if required):

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