



WORKSHEET

(OPS.10) Key personnel assessment – head of flying operations or head of operations

Nominee name	Nominee ARN	EAP case number	File reference
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Instructions

1. Use this worksheet for the assessment of a head of flying operations (HOFO) or head of operations (HOO) nominee.
2. All sections below should be completed.
3. Unless otherwise stated, the legislation reference refers to the Civil Aviation Safety Regulation 1998 (CASR).
4. Use this worksheet in conjunction with the record of interview template.
5. 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.
6. For guidance on specific aspects of each question, refer to the respective section in the principle document as identified in the principle reference column.
7. 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.
8. 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 Head of flying operations or head of operations – desktop assessment

Legislation reference	Principle reference	Question	Compliant?	Inspector comments
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?		
119.135(1)-(4) 137.070 (3)(4) 138.090(1)-(4) 141.125(1)-(4) 142.185(2)	4.1	Does the nominee have the qualifications and experience required by the regulations?		
119.135(3)(a) 138.090(2)(a) 141.125(1)(b) 142.185(1)(b)	2.1.2 4.1.2 4.1.3	If the operator holds an approval under regulation 119.025 , 138.025, 141.035 or 142.040, does the nominee have the qualifications and experience mentioned in the approval?		
119.135(1)(d) 138.090(1)(d) 142.185(2)(e)	4.2 2.1.4	Does the nominee have a satisfactory record in the conduct or management of air operations?		

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Legislation reference	Principle reference	Question	Compliant?	Inspector comments
119.135(1)(e) 137.065(2)(b) 138.090(1)(e) 141.125(2) 142.185(2)(f)	4.3	Does the nominee have sufficient safety and regulatory knowledge to enable the operator to conduct air operations safely and in accordance with the operator's exposition/operations manual and the civil aviation legislation?		
119.120 138.080 141.115 142.170	2.1.3	Has the nominee completed familiarisation training?		
138.505 91.D.11 MOS 138.23.10(1)(a)	4.5	For Part 138 operators that do not require a training and check system, will the HOO be conducting training and checking activities?		
137.065 (2)(i) 137.240	4.4	For Part 137 operators will the HOFO be conducting training and checking activities?		
119.165(3)(c) 138.120(3)(c) 141.155(3)(c) 142.215(3)(c)	4.15	If directed by CASA to undertake a training course for the role, has the nominee completed the training?		

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Legislation reference	Principle reference	Question	Compliant?	Inspector comments
119.135(5) 119.165(3)(a)(b) 138.090(5) 138.120(3)(a)(b) 141.125(3) 142.185(6)	4.15	If directed by CASA to undertake an assessment, has the nominee demonstrated their suitability for the role?		

4 Head of flying operations or head of operations – suitability assessment

Legislation reference	Principle reference	Question	Compliant?	Inspector comments
119.140(1) 137.065(2) 138.095(1) 141.130(1) 142.190(1)		Does the nominee have sufficient knowledge and understanding to:		
119.140(2)(a) 137.065(2)(a) 138.095(2)(a) 141.130(2)(b) 142.190(2)(a) 142.190(2)(o)	4.6	ensure the operator's compliance with the provisions of the civil aviation legislation and the operator's exposition/operations manual that relates to flying operations, while monitoring, maintaining, and reporting to the chief executive officer on such compliance?		
119.140(2)(b)	4.7	ensure that the operator's flight crew are provided with the information and documentation necessary to properly carry out their responsibilities?		
137.065(2)(a) 138.095(2)(e) 141.130(2)(f) 142.190(2)(g)	4.7	ensure that the operator's personnel are provided with the information and documentation necessary to properly carry out their responsibilities?		

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Legislation reference	Principle reference	Question	Compliant?	Inspector comments
119.140(2)(a) 137.065(2)(h) 138.095(2)(b) 141.130(2)(c) 142.190(2)(b)	4.8	set and maintain operating standards in accordance with the operations manual?		
119.140(2)(a) 137.065(2)(a) 138.095(2)(c) 141.130(2)(d) 142.180(1)(b)(ii) 142.190(2)(a)	4.9	develop, manage and maintain the dangerous goods manual (if any)?		
119.140(2)(c) 137.065(2)(j) 138.095(2)(d) 141.130(2)(e) 142.190(2)(f)	4.10	ensure the proper allocation and deployment of aircraft and personnel for use in the operations?		
119.140(2)(d) 137.065(2)(g) 142.190(2)(t)	4.11	ensure that the operator complies with section 28BH (reference library) of the Act in relation to flight crew?		
137.065(2)(c)		arranging rosters for the pilots employed to carry out application operations		

Legislation reference	Principle reference	Question	Compliant?	Inspector comments
138.095(2)(f) 141.130(2)(m) 142.190(2)(e)	4.12	manage the maintenance and continuous improvement of the operator's fatigue risk management system (if any)?		
138.095(2)(g) 141.130(2)(m)	4.13	ensure the operator's personnel understand the operator's safety policy?		
138.095(2)(h)	4.14	if the operator is required to have a training and checking system—ensure that training and checking of the operator's operational safety critical personnel (other than flight crew) is conducted in accordance with the operator's operations manual?		

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 head of flying operations and/or head of operations 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 head of flying operations and/or head of operations.

☐ I am not satisfied the nominee is suitable for the role as head of flying operations and/or head of operations.

Reason for recommendation

Approval data sheet

Operator name		Operator ARN		EAP case number		File reference	
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HOFO/HOO 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	
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Note: Regservices requires this information to create the EMAN in RMS.

☐

Remove key personnel

Name		ARN	
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☐

Reclassify key personnel to alternate

Name		ARN	
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☐ 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: Head of flying operations (HOFO) – qualifications and experience

(1) For paragraph 119.135(3)(a), the operator's HOFO can be approved to have the following experience:

HOFO name	HOFO ARN
HOFO experience	

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

☐ Part 119: Head of flying operations (HOFO) and safety manager (SM) key personnel positions to be occupied by the same person in unforeseen circumstances

(1) For paragraph 119.080(1)(g)(i), the operator can be approved for the positions of HOFO 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 HOFO 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: Head of operations (HOO) – qualifications and experience

(1) For paragraph 138.090(2)(a), the operator's HOO can be approved to have the following experience:

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

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☐ Part 138: Head of operations (HOO) and head of training and checking (HOTC) key personnel positions to be occupied by the same person

(1) For subregulation 138.050(1)(f)(ii), the operator can be approved for the position of HOO and HOTC to be occupied by the same person, but on condition it is the person as listed in paragraph (2).

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

Name of person	ARN of person

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

☐ Part 138: Head of operations (HOO) and safety manager (SM) key personnel positions to be occupied by the same person in unforeseen circumstances

(1) For paragraph 138.050(1)(g)(ii), the operator can be approved for the positions of HOO 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 HOO and SM may be occupied by:

Name of person	ARN of person

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

☐ Part 141: Head of operations (HOO) – qualifications

(1) For paragraph 141.125(1)(b), the operator's HOO can be approved to have the following qualifications:

HOO name		HOO ARN	
HOO qualifications			

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

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☐ Part 142: Head of operations (HOO) – qualifications and experience

(1) For paragraph 142.185(1)(b), the operator's HOO can be approved to have the following qualifications and experience:

HOO name		HOO ARN	
HOO qualifications and experience			

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

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☐ Part 142: Head of operations (HOO) and safety manager (SM) key personnel positions to be occupied by the same person in unforeseen circumstances

(1) For paragraph 142.100(1)(g)(i), the operator can be approved for the positions of HOO 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 HOO 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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