



RECORD OF INTERVIEW

(OPS.10) Key personnel

EAP case number		RMS file number		Interview date	
Interview chair					
Interview panel					

Instructions

1. The interview should be planned to take no longer than 2 hours.
2. Not all questions need to be answered. The questions are generic and it is up to the inspector to determine what questions are relevant to the assessment.
3. The inspector may add follow up questions, or questions to address matters that are specialist in nature.
4. Unless otherwise stated, the legislation reference refers to the *Civil Aviation Safety Regulation 1998 (CASR)*.

Part A – Nominee details

Nominee name		Nominee ARN		Key personnel position	
Operator name				Operator ARN	

Part B – Interview introduction

Interview introduction	Notes
Introduce the CASA interview panel	
Outline the purpose/scope of the interview	

Interview introduction	Notes
Tell us about your aviation experience	
Follow-up questions	

Part C – Interview questions

The rating column is used to record the outcome for the element being assessed. Select a response from the drop down list. The response is either: **S** (satisfactory) or **U** (unsatisfactory). A space is also provided to record the nominee's responses.

1. Responsibilities and accountabilities

Question	Nominee's response	Rating
<p>Subpart 119.D, Subpart 137.C, Division 138.B.4, Subpart 141.D and Subpart 142.D detail the responsibilities and accountabilities of key personnel. In each case, key personnel are accountable to both the operator and CASA for ensuring their responsibilities are carried out.</p> <ol style="list-style-type: none"> 1. Briefly describe what your accountabilities and responsibilities are under the regulations. 2. Briefly discuss how you intend to ensure that your obligations are met. 3. Briefly discuss the certificate holder's corporate policy concerning management of change and your responsibilities as key personnel within the process. <p>Intent/Expectation The answer to this question should provide CASA with satisfactory evidence that the nominee and organisation have adequate processes and resources in place to ensure long term maintenance and planning in these crucial areas of maintaining safe operations.</p>		

2. Understanding Australian aviation legislation

Question	Nominee's response	Rating
<p>1. Briefly describe the role of CASA.</p> <p>2. Describe the aviation legislation framework and how CASA's advisory material and guidance relates to that.</p> <p>Intent/Expectation The applicant should be able to identify CASA's role as a safety regulator and briefly discuss the hierarchy of legislation and its relationship to ICAO standards, as follows:</p> <ul style="list-style-type: none"> • <i>Civil Aviation Act 1988</i> • <i>Civil Aviation Safety Regulations 1998</i> • Manual of Standards • Exemptions. <p>The applicant should understand the relationship between different levels of legislation and the difference between legislation and guidance material, such as advisory circulars, acceptable means of compliance and guidance material applicable to their role.</p>		

3. Organisation and structure

Question	Nominee's response	Rating
<ol style="list-style-type: none">1. Describe the organisational structure that will support the conduct of operations by your organisation.2. Who are the key personnel within this structure and how do you propose to interact with them?3. If the nominee is for the position of CEO, describe your relationship with the board of the organisation. <p>Intent/Expectation This question is designed to allow the applicant to discuss the overall company structure and should provide CASA with evidence that the applicant knows and understands the chain of command, including:</p> <ul style="list-style-type: none">• reporting lines• their accountability• responsibilities and authority within the organisation.		

4. Role of key personnel

Question	Nominee's response	Rating
<ol style="list-style-type: none"> 1. For each of the key personnel that have been identified within the organisational structure, identify their individual roles and responsibilities, and discuss their levels of authority with respect to these positions. 2. How were you prepared for your key personnel role within your organisation (e.g. familiarisation training)? <p>Intent/Expectation The answer to this question should satisfy CASA that the nominee understands the role of persons who have been accepted or approved by CASA as a key person within the organisational structure. This question also explores whether these persons have the support and authority that is necessary for them to effectively perform their roles. The nominee should also have a good understanding of the familiarisation training requirement for key personnel.</p>		

5. Communication strategy

Question	Nominee's response	Rating
<ol style="list-style-type: none">1. Briefly discuss the corporate policy that addresses how communication and consultation will occur between the CEO and key positions within the organisational structure.2. Briefly discuss how the performance of this requirement will be measured by the organisation. <p>Intent/Expectation This is an opportunity for the nominee to discuss how the CEO is kept abreast of any regulatory and compliance matters that may impact on operations, as well as how information will be communicated to key persons.</p>		

6. Continuing airworthiness

Question	Nominee's response	Rating
<p>Applicable to the CEO/HOFO/HOO only.</p> <p>1. Briefly discuss how your organisation will ensure the continuing airworthiness of each aircraft your organisation operates.</p> <p>Intent/Expectation Regulations 119.070(1)(f) and 138.155(1)(k) require an operator to have arrangements in place for managing the airworthiness of the aircraft. Depending on the aircraft and nature of operations, airworthiness can be managed by a CASR Part 42 continuing airworthiness management organisation or under regulation 42 of the <i>Civil Aviation Regulations 1988</i> (CAR). In either case, the responsible person should be able describe who in the organisation is responsible for the planning and conduct of the required aircraft maintenance.</p>		

7. Safety management systems

Question	Nominee's response	Rating
<p>This question is only relevant to an organisation that requires a safety management system (SMS).</p> <ol style="list-style-type: none"> 1. Briefly discuss the SMS within the organisation. 2. Identify your role and responsibilities within the SMS, and identify where these are documented. 3. Briefly describe how your organisation will measure the effectiveness of the SMS. 4. Identify how your performance will be measured with respect to the performance of the SMS. <p>Intent/Expectation The responses should demonstrate that the nominee has an understanding of the organisation's SMS. The nominee should describe how the SMS is integrated across the organisation and how the organisation's approach to SMS forms part of everyday business decisions. The nominee should understand how the management of change process is integrated into the SMS.</p>		

8. Quality assurance management systems

Question	Nominee's response	Rating
<p>This question is only relevant to a Part 142 flight training organisation (FTO) that requires a quality assurance management system (QAMS).</p> <ol style="list-style-type: none"> 1. Briefly discuss the QAMS within the organisation. 2. Identify your role and responsibilities within the QAMS and identify where these are documented. 3. Briefly describe how your organisation will measure the effectiveness of the QAMS. 4. Identify how your performance will be measured with respect to the performance of the QAMS. <p>Intent/Expectation The responses should demonstrate that the nominee has an understanding of the organisation's QAMS. The nominee should describe how the QAMS is integrated across the organisation and how the organisation's approach to QAMS forms part of everyday business decisions. The nominee should understand how the management of change process is integrated into the QAMS.</p>		

9. Risk management

Question	Nominee's response	Rating
<ol style="list-style-type: none"> 1. Briefly discuss the organisation's corporate policy concerning risk management. 2. Briefly discuss your role and responsibilities with respect to the corporate risk management policy. 3. Briefly discuss how risk management protocols will be used for the treatment of operational and compliance risks. 4. Briefly discuss how you will measure the performance of senior managers with respect to the corporate policy on risk management. 5. Identify how your performance will be measured with respect to oversight of the corporate risk management strategy. <p>Intent/Expectation If the operator requires an SMS, risk management will be integrated into the SMS. The response should demonstrate the nominee understands and endorses the organisation's risk management protocols. The nominee should identify the need for the organisation's culture and risk management policies to be aligned and ensure the organisation meets its requirements for legal and regulatory compliance. The nominee should also be able to discuss how resources are allocated to ensure the effectiveness and appropriate application of the corporate policy.</p>		

10. Communications with CASA

Question	Nominee's response	Rating
<ol style="list-style-type: none"> 1. What previous experience have you had in dealing with CASA? 2. How do you propose to ensure that effective communications exist between yourself and CASA? 3. Briefly outline your corporate policy concerning communication and notifications to CASA. <p>Intent/Expectation The response should indicate the nominee's attitude towards CASA. It should also detail when and under what circumstances the nominee will contact CASA, such as:</p> <ul style="list-style-type: none"> • significant events affecting operations • changes to key personnel or organisational structure • proposed changes to operations that may impact corporate risk. 		

11. Reporting safety concerns

Question	Nominee's response	Rating
<ol style="list-style-type: none"> 1. Briefly describe the process where a manager or staff member can bring a serious safety or compliance matter to your attention. 2. Briefly describe the process where a manager or staff member can bring a serious safety or compliance matter to the attention of CASA. 3. Describe the policy that the organisation has in place to protect managers and staff members from incrimination and/or disciplinary action if they report safety or compliance related matters. <p>Intent/Expectation This response should demonstrate the applicant's willingness and ability to communicate effectively at appropriate levels with other industry participants.</p>		

Additional questions

The inspector can use this section for additional questions.

Question	Nominee's response	Rating

Part D – Assessment scenario

The inspector should use this section to create a scenario to test the nominee’s knowledge in practice. Scenarios should be realistic and designed to allow the nominee to put their regulatory knowledge into practice.

For example

A scenario could be that one of the operator’s aircraft has declared an emergency. Describe how you would manage this event.
In this case the nominee should be able to describe the operator’s emergency response plan and how it is activated.

Question	Nominee's response	Rating

Part E – Outcome of assessment

Inspector's comments

If unsatisfactory, note areas of deficiencies and identify additional training requirements.