



## PRINCIPLE

# (DEL.01) Managing aircraft design approval-related authorised persons



### Acknowledgement of Country

The Civil Aviation Safety Authority (CASA) respectfully acknowledges the Traditional Custodians of the lands on which our offices are located and their continuing connection to land, water and community, and pays respect to Elders past, present and emerging.

Inside front cover artwork: James Baban.

© Civil Aviation Safety Authority

All material presented in this Guidance document is provided under a Creative Commons Attribution 4.0 International licence, with the exception of the Commonwealth Coat of Arms (the terms of use for the Coat of Arms are available from the [It's an Honour website](#)). The details of the relevant licence conditions are available on the Creative Commons website, as is the full legal code for the CC BY 4.0 license.



Attribution

Material obtained from this document is to be attributed to CASA as:

© Civil Aviation Safety Authority 2024.

# Contents

<b>Terminology</b>	<b>7</b>
Acronyms and abbreviations	7
Definitions	8
<b>1. Using this document</b>	<b>11</b>
1.1 General	11
1.2 An explanation of terms	11
1.3 Amendments	11
<b>2. Introduction</b>	<b>12</b>
2.1 Overview	12
2.2 Managing aircraft design approval-related authorised persons	12
2.2.1 Regulatory basis	12
2.2.2 Key principles	12
2.2.3 External delegate/authorised persons' management framework	13
2.2.4 Design and Manufacturing Oversight section activities	14
2.2.5 Capability Support Team activities	15
2.3 Further advice and support	15
2.3.1 Capability Support Team	15
2.3.2 Design and Manufacturing Oversight section	16
<b>3. CASA roles and responsibilities</b>	<b>17</b>
3.1 Overview – Management and oversight functions	17
3.2 Design and Manufacturing Oversight section	17
3.3 Manager, design and manufacturing oversight (appointing delegate)	17
3.4 Regulatory services officer	18
3.5 Surveillance technical officer	18
3.6 Certification engineer (project manager)	18
3.7 Surveillance manager	19
3.8 Branch manager airworthiness and engineering branch	19
3.9 Training Branch	19
3.10 Legal, International and Regulatory Affairs Division	19
3.11 Capability Support Team	19
3.12 Risk Oversight Section	20
<b>4. Training – Recurrent training</b>	<b>21</b>
4.1 Overview	21
4.2 External delegate and authorised person module	21
4.3 Recurrent training process	21
4.3.1 Overview	21
4.3.2 Sending a training renewal notification to applicant	22
4.3.3 Managing and completing applicant renewal training	23
<b>5. Reporting – Authorised person activity</b>	<b>24</b>
5.1 Overview	24
5.2 Authorised persons' reporting	24
5.3 Surveillance activity data	24
5.4 Completion of External delegate and authorised person module	25

<b>6.</b>	<b>Surveillance and enforcement</b>	<b>26</b>
6.1	Overview	26
6.2	Oversight	26
6.2.1	Oversight objectives	26
6.2.2	Oversight tools	27
6.2.3	Measuring performance	27
6.2.4	Managing performance	28
6.3	Surveillance	28
6.4	Enforcement	28
<b>7.</b>	<b>Entry control – Renewal application process</b>	<b>30</b>
7.1	Overview	30
7.2	Submitting an application for renewal	31
7.2.1	Send renewal notice	31
7.2.2	Renewal application administration and processing	32
7.3	Reviewing and assessing an application for renewal	32
7.3.1	Review application	33
7.3.2	Provide estimate and process payment	33
7.3.3	Assess and evaluate application and supporting documents	33
7.4	Re-appointing an authorised person	35
7.4.1	Prepare and re-issue instrument	35
7.4.2	Notify Surveillance	35
7.4.3	Finalise entry control	36
<b>8.</b>	<b>Entry control – Variation process (CASA-initiated)</b>	<b>37</b>
8.1	Overview	37
8.2	Set up project team and EAP case	38
8.2.1	Set up project team	38
8.2.2	Record and allocate EAP case	38
8.3	Assess documentation	39
8.3.1	Request and review documentation	39
8.3.2	Determine recommendation	39
8.4	Review planned action and issues	39
8.4.1	Review planned action	39
8.4.2	Meet with authorised person	39
8.5	Prepare and issue IOA	40
8.5.1	Draft IOA details	40
8.5.2	Review draft IOA and SFR	40
8.5.3	Finalise entry control	40
<b>9.</b>	<b>Entry control – Variation application process (authorised persons)</b>	<b>41</b>
9.1	Overview	41
9.2	Submitting an application for variation	43
9.2.1	Variation application administration and processing	43
9.3	Reviewing and assessing an application for variation	43
9.3.1	Review application	44
9.3.2	Provide estimate and process payment	44
9.3.3	Assess and evaluate application and supporting documents	44
9.4	Preparing and issuing IOA	46

9.4.1	Prepare and issue instrument	47
9.4.2	Notify Surveillance	47
9.4.3	Finalise entry control	47
<b>10.</b>	<b>Exit control – Cancellation process (CASA-initiated)</b>	<b>48</b>
10.1	Overview	48
10.2	Initiating and reviewing a cancellation request	49
10.2.1	Request cancellation	49
10.2.2	Cancellation application administration and processing	50
10.2.3	Review and assess cancellation	50
10.3	Preparing and endorsing a recommendation	51
10.3.1	Prepare recommendation	51
10.3.2	Endorse and issue recommendation	51
10.4	Managing the response and cancellation	52
10.4.1	Manage authorised person response	52
10.4.2	Finalise cancellation	52
<b>11.</b>	<b>Exit control – Cancellation process (voluntary surrender)</b>	<b>53</b>
11.1	Overview	53
11.2	Initiating and reviewing a cancellation request	54
11.2.1	Request cancellation	54
11.2.2	Cancellation application administration and processing	54
11.2.3	Review cancellation request	54
11.3	Preparing and endorsing a recommendation	55
11.3.1	Prepare recommendation	55
11.3.2	Endorse and issue recommendation	55
11.4	Managing the cancellation	55
11.4.1	Finalise cancellation	55
<b>12.</b>	<b>Bi-annual review process</b>	<b>56</b>
12.1	Overview	56
12.2	The bi-annual review process	56
12.2.1	Initiating a bi-annual review	56
12.2.2	Conducting a needs assessment	57
12.2.3	Conducting a risk assessment	57
12.2.4	Creating an action plan	58
12.2.5	Conducting a quality assurance review	59
<b>13.</b>	<b>Risk assessment</b>	<b>60</b>
13.1	Overview	60
13.2	Responsibilities	60
13.2.1	Branch manager airworthiness and engineering	60
13.2.2	Design Management Oversight section staff	60
13.3	Design Management Oversight section-specific practices for risk assessment	61
13.3.1	Conducting a risk assessment	61
13.3.2	Risk register	61
13.3.3	Risk champion	61
<b>14.</b>	<b>Quality assurance</b>	<b>63</b>
14.1	Overview	63

14.2	Record keeping	63
14.2.1	Standards	63
14.2.2	Quality assurance reviews	63
<b>15.</b>	<b>Reporting – Design and Manufacturing Oversight section data</b>	<b>64</b>
15.1	Overview	64
15.2	Reporting to the CST	64
15.2.1	Responsibilities	64
15.2.2	Authorised persons' data	64
<b>16.</b>	<b>Revision history</b>	<b>66</b>

# Terminology

## Acronyms and abbreviations

Table 1. List of acronyms and abbreviations

Acronym/abbreviation	Description
AC	advisory circular
AD	airworthiness directive
AEB	Airworthiness and Engineering Branch
AFM	aircraft flight manual
APMA	Australian parts manufacturer approval
ATSO	Australian technical standard order
CAAP	civil aviation advisory publication
CAO	Civil Aviation Order
CAR	<i>Civil Aviation Regulations 1988</i>
CASA	Civil Aviation Safety Authority
CASR	<i>Civil Aviation Safety Regulations 1998</i>
CASS	CASA Aviation Safety System
CDL	configuration deviation list
CE	certification engineer
CMR	certification maintenance requirements
CRM	CASA risk management
CST	Capability Support Team
DAPM	design approval procedures manual
DMO	Design and Manufacturing Oversight
EAP	Enterprise Aviation Processing (system)
ECC	Entry Control Coordination
EICMS	Enforcement and Investigations Case Management System
EDAP	external delegate/authorised persons
IOA	instrument of appointment
LIRA	Legal, International, and Regulatory Affairs

Acronym/abbreviation	Description
MDMO	manager, design and manufacturing oversight
NSSP	National Surveillance Selection Process
PC	production certificate
PM	project manager (certification engineer)
PU	permissible unserviceabilities
RBU	responsible business unit
ROS	Risk Oversight Section
RSO	regulatory services officer
RTO	recognised training organisation
SFR	standard form of recommendation
STO	surveillance technical officer
TC	type certificate
TCDS	type certificate technical data sheets

## Definitions

**Table 2. List of definitions**

Term	Definition
acquittal	Decision by CASA accepting that the remedial and corrective actions taken by the authorisation holder have satisfactorily addressed the breach.
action plan	A plan developed by the responsible business units (RBUs) to address the identified gaps and needs. The action plan outlines what resources are required, who is responsible for each aspect of the plan and the timeline for implementation.
applicant	A person who applies to CASA for: <ul style="list-style-type: none"> <li>a. a delegation under CASR 11.260 (1A), or</li> <li>b. an appointment as an authorised person under CASR 201.001.</li> </ul>
appointing delegate	The CASA delegate who may delegate to a person a power of CASA under CASR 11.260 (1A) or who may appoint a person to be an authorised person under CASR 201.001. The appointing delegate for this principle document is the manager, design and manufacturing oversight (MDMO).
authorised persons	A person, or the persons included in a class of persons, who has been appointed by CASA under regulation 201.001 to be an authorised person in relation to one or more of the following: <ul style="list-style-type: none"> <li>a. CASR</li> </ul>



Term	Definition
	<ul style="list-style-type: none"> <li>b. a particular provision of CASR</li> <li>c. CAR</li> <li>d. a particular provision of CAR.</li> </ul> <p>An authorised person's appointment is subject to the conditions stated in an instrument of appointment (IOA).</p>
AviationWorx	CASA's online learning and interactive management system for eLearning and seminars.
bi-annual review	A formal evaluation of the management of CASA's external delegates and authorised persons, conducted by the DMO section twice a year. It provides an opportunity to perform an analysis of the external delegate/authorised persons' (EDAP) lifecycle, conduct a needs and risk assessment, quality assurance review and report on findings.
Capability Support Team (CST)	The CASA team responsible for the centralised support and coordination (governance) of specific activities related to CASA's management of the EDAP lifecycle.
CASA delegate	<p>A CASA officer who has been delegated a power of CASA under:</p> <ul style="list-style-type: none"> <li>a. section 94(1) or 94(2) of the CAA Act; or</li> <li>b. CASR 11.260(1).</li> </ul>
External delegate and authorised person (EDAP) module	The mandatory training module that covers the roles and responsibilities, obligations and legislative requirements of an external delegate or authorised person. The EDAP module must be completed by an EDAP prior to exercising any CASA powers under a new delegation or appointment and must be repeated for any renewal of a delegation or appointment.
individuals	Natural persons (human beings including operating as sole traders).
instrument holder	A person, or the persons included in a class of persons, that holds either an IOA or an IOD.
modification	A change to the design of an aircraft or aeronautical product which is not a repair. May be any one or a combination of a physical design change, or a change to an operating envelope, performance, operating characteristics, limitations or instructions for continuing airworthiness (ICA).
National Surveillance Selection Process (NSSP)	A systematic, national approach to prioritising and scheduling planned surveillance events across a financial year. The NSSP uses data from CASA systems and input from operational areas to prioritise external delegates and authorised persons by classifying them into one of 3 groups (A, B or C). This determines the appropriate oversight strategy for each authorisation holder. Inspectors from the Regulatory Oversight Division (ROD) concentrate on identified key focus areas when conducting oversight activities.
needs assessment	An analysis conducted by the DMO section that identifies and evaluates the specific requirements, gaps or challenges to ensure the needs of the DMO reflect their current EDAP resources.
permissible unserviceability	Defects in Australian aircraft that have been assessed and approved as being acceptable for safe operation. Both the CAR and CASR regulatory suites may provide for the approval of a defect as a PU.

Term	Definition
quality assurance review	An internal quality assurance check conducted by the CST into the DMO section's compliance with the requirements under Section 12 in this principle document.
repair	In the context of this principle, a design change to an aircraft or aeronautical product intended to restore it to an airworthy condition after it has suffered a defect.
responsible business units (RBUs)	CASA business units (e.g. DMO section) that are responsible for their respective EDAP approval and management activities under the EDAP management framework.
risk assessment	Provides the identification, evaluation and prioritisation of potential risks in order to make informed decisions on how to manage or mitigate them. Conducted by the DMO section and supported by the Risk Oversight Section (ROS), as part of its bi-annual review of its EDAP approval and management activities under the EDAP management framework.
supplemental type certificate (STC)	In the Dictionary (Part 1 – Definitions) of CASR: 'means a supplemental type certificate issued under regulation 21.113A.'
technical data	The data that describes and shows compliance of a design. Also refer to meaning of technical data (for design authorised persons) in regulation 21.008 of CASR.

# 1. Using this document

## 1.1 General

This principle document expands on the underlying concepts and principles in [Protocol \(DEL.01\) Appointing and managing aircraft design approval-related authorised persons](#) and provides guidance on the CASA functions, processes, activities and systems to be applied when supporting, overseeing and managing aircraft design approval-related authorised persons.

This document provides a level of detail that would enable a:

- common understanding of the associated principles and elements
- consistent and standardised approach to all actions undertaken.

## 1.2 An explanation of terms

### Must

When this document states a requirement as a 'must', the term will reference a mandatory compliance with that requirement. The requirement may only be departed from in circumstances where the departure is:

- in relation to a legislative requirement, where the legislation provides an exemption, or the legislation in question is varied to allow for the departure; and
- in all other circumstances, after seeking advice or consultation with a relevant supervisor or CASA stakeholder, determined to be reasonable and justified.

### Should

The use of the term 'should' reflects a requirement that CASA considers is best practice and should be satisfied to grant an appointment. Other terms that denote compliance as being discretionary include 'should' and 'have regard to'. For example, some legislative provisions do not express criteria to be met for the issue of an appointment. In such a case, it is open to CASA to identify what requirements should be met. Any actions taken under this Principle that departs from a mandatory or discretionary requirement should be recorded in writing.

### May

The term 'may' will signify something that is permitted but not required through legislation or deemed important for approval. The term is used to provide options, alternate methods or examples.

## 1.3 Amendments

This principle document is owned and maintained by the manager, design and manufacturing oversight (MDMO). While it is formally reviewed every 3 years, interim updates may be required through continuous improvement activities. The responsibility for the:

- aircraft design approval-related operational processes in this principle document resides with the branch manager airworthiness and engineering branch (AEB) and manager, design and manufacturing oversight (MDMO).
- support and coordination (governance) processes in this principle document resides with the national manager, transformation and manager transformation delivery and capability support.

## 2. Introduction

### 2.1 Overview

CASA appoints individuals<sup>1</sup> who are not CASA officers to exercise CASA's aircraft design approval-related powers or powers specified in the legislation. These individuals are appointed by way of an instrument of appointment (IOA) and are then referred to as authorised persons. This principle:

- describes the integrated elements and activities associated with the oversight and management of CASA's aircraft design approval-related authorised persons after they are appointed
- applies to the CASA Design and Manufacturing Oversight (DMO) section as the responsible business unit (RBU)

Refer to [Principle \(DEL.01\) Appointing aircraft design approval-related authorised persons](#) for details of the integrated elements and activities associated with the initial assessment and appointment of CASA's aircraft design approval-related authorised persons.

## 2.2 Managing aircraft design approval-related authorised persons

### 2.2.1 Regulatory basis

**Note:** Persons formally appointed by the CASA Director of Aviation Safety (DAS) (or their delegate) under regulation 201.001 of CASR to do certain things under the regulations generally or, more commonly, in relation to a particular provision of CASR or CAR, are appointed as authorised persons. Authorised persons are not delegates.

When appointing individuals as authorised persons to perform design approval-related activities for aircraft or aeronautical products or alterations to aircraft or aeronautical products, CASA may do so subject to conditions and appointment criteria. These requirements impose limitations on the manner in which the authorised person may exercise the particular power or function being given to them. The conditions are imposed under subregulation 201.001(2), Part 21 and Subpart 21.M of CASR.

For more information, refer to:

- [Principle \(DEL.01\) Appointing aircraft design approval-related authorised persons](#)
- [Principle \(ORG.004\) Capability support for CASA's external delegates and authorised persons.](#)

### 2.2.2 Key principles

When individuals are appointed as an authorised person, they are subject to regulations, CASA standards and ongoing oversight and review. There are subsequently key principles that need to be understood and considered by the DMO section when managing aircraft design approval-related authorised persons.

<sup>1</sup> 'Individuals' (i.e. 'natural persons' (human beings including operating as sole traders) apply to CASA for appointment to exercise CASA's powers or powers specified in the legislation). On appointment, they are referred to as an 'authorised person'. The term 'aircraft design approval-related authorised person' is used throughout this document for consistency.

### 2.2.2.1 Oversight

As an RBU, the DMO section is responsible for, monitoring an authorised person's aircraft design approval-related activities to assure they are performing their functions in accordance with the conditions of their appointment and relevant regulations, policies and procedures. Oversight constitutes the DMO section's monitoring and review of authorised persons and comparison of their performance to stated expectations (in accordance with the guidelines and processes detailed in Section 6.2 in this principle document).

### 2.2.2.2 Renewal

Authorised persons are responsible for submitting an application to CASA for the renewal (re-issue) of their aircraft design approval-related IOA. Renewal of an authorisation is assessed by the DMO section on a case by case basis and is subject to meeting relevant requirements (in accordance with the guidelines and processes detailed at Section 7 in this principle document). Approval of a renewal may be subject to the DMO's needs assessment.

The key difference between a renewal application and an initial application is that the applicant's history of exercising powers under their IOA (i.e. surveillance activity outcomes) must be considered when assessing the renewal application.

### 2.2.2.3 Variations

CASA may vary an authorised person's IOA at any stage and for any reason subject to any relevant information or guidelines and the processes detailed at Section 8 in this principle document. For example, surveillance may indicate that the speciality and scope of an IOA is not substantiated by the authorised person's documentation and currency of capabilities.

Authorised persons may also apply to CASA to request variations to specific elements of their existing IOA. For example, an authorised person may request an addition of an engineering specialisation.

### 2.2.2.4 Cancellation/revocation

The DMO section may cancel (revoke) an authorisation if it determines that the appointment is no longer valid or needed in accordance with the circumstances listed at Section 10 in this principle document. The DMO section should consult with LIRA before revoking an appointment for misconduct or for any other reason. An authorised person who is found guilty of misconduct will, in general, not be eligible for re-appointment. This process is managed and actioned through the CASA coordinated enforcement process (as per the processes documented in the [CASA Enforcement Manual](#) and [CASA Surveillance Manual](#)).

## 2.2.3 External delegate/authorised persons' management framework

The External delegate/authorised persons' (EDAP) management framework provides all RBUs with the requirements for the management and oversight of activities related to all of CASA's EDAP. These activities are implemented through a sequence of consistent process stages, in what the framework describes as the EDAP lifecycle.

For the DMO section, the stages of the EDAP lifecycle also include the standard set of (RBU) lower-level operational activities that all aircraft design approval-related authorised persons move through, from the time of application, assessment and granting of an authorisation (entry) until such time as the authorised person ceases to hold such authorisations and exits the lifecycle (exit).

For information on the:

- EDAP management framework and CASA officer responsibilities and activities, refer to [Principle \(ORG.004\) Capability support for CASA's external delegates and authorised persons](#)
- DMO section's lower-level operational (assessment and appointment) activities within the EDAP management framework (such as entry control) related to the submission and assessment of an initial application and appointment of authorised persons, refer to [Principle \(DEL.01\) Appointing aircraft design approval-related authorised persons](#).

## 2.2.4 Design and Manufacturing Oversight section activities

Through each of the EDAP lifecycle stages, in addition to lower-level operational (assessment and appointment) activities, the DMO section also performs:

- lower-level operational management and oversight activities (at Table 3) such as surveillance and enforcement, related to the management and oversight of aircraft design approval-related authorised persons after they are appointed.

**For example**, through the exercising appointments stage of the EDAP lifecycle, the DMO section conducts activities related to the support, oversight and surveillance of aircraft design approval-related authorised persons. These activities primarily include enforcement and monitoring and performance measurement to ensure the authorised persons meet their legislative obligations.

- other activities (at Table 4) such as risk assessments, which are not directly associated with the EDAP lifecycle but are required to support the lifecycle-associated governance and reporting activities.

**For example**, to support the lifecycle-associated governance and reporting activities, the DMO section also conducts bowtie risk assessments to manage operational level risks associated with the various functions and activities for their aircraft design approval-related authorised persons.

The specific aircraft design approval-related operational (management and oversight) policies and procedures for the DMO section's implementation of these standard activities, are detailed in this principle document in the relevant sections listed at Tables 3 and 4.

### 2.2.4.1 Management and oversight activities

The DMO section's operational (RBU) functions, activities and supporting systems, standards and resources associated with the oversight and management of CASA's aircraft design approval-related authorised persons are described in this principle document in the relevant sections listed at Table 3.

**Table 3. The DMO section's operational management and oversight activities**

Activity	Description	Section
Training	Activities related to competency requirements and CASA renewal/recurrent training in the EDAP module, undertaken by the applicant in support and continuation of CASA's determination to re-issue or not re-issue the instruments being sought.	3
Surveillance and Enforcement	Activities related to oversight and surveillance of authorised persons, including enforcement and monitoring and measuring performance to ensure legislative obligations are being met.	6
Reporting	Activities for ensuring that design approval-specific data is collected on authorised persons, and then transformed by the CST into actionable insights to facilitate accountability, improvement and communication.	15
Quality Assurance	Activities (managed through the CST bi-annual review process) for ensuring that obligations are met in relation to CASA's Quality Assurance (QA) system and standards (e.g. record keeping).	14
Exit Control	Activities related to the cessation of an authorised persons' appointments—whether by choice, circumstance, or CASA's direction to do so.	10 and 11

### 2.2.4.2 Governance and reporting activities

The other DMO section activities such as risk assessments, which are not directly associated with the EDAP lifecycle but are required to support the lifecycle-associated governance and reporting activities, are described in this principle document in the relevant sections listed at Table 4.

**Table 4. The DMO's activities that support EDAP lifecycle governance and reporting activities**

Activity	Description	Section
Risk Assessment	The DMO section owns and manages operational-level risks associated with managing aircraft design approval-related authorised persons. The DMO section undertakes risk assessments, with support and guidance from the Risk Oversight Section (ROS), to manage these risks.	13
Bi-annual Review	The DMO section is required to conduct a bi-annual review, which is a formal evaluation of the DMO's management of authorised persons conducted every 6 months. The review provides an opportunity to perform an analysis of the EDAP lifecycle, conduct a needs and risk assessment and report on findings.	12

### 2.2.5 Capability Support Team activities

The Capability Support team (CST) in the Air Navigation, Transformation and Risk (ANTR) Division provides the centralised support and coordination (governance) function for the DMO section, as the section authorises and manages aircraft design approval-related authorised persons through the stages of the EDAP lifecycle. The CST's governance function aims to complement established DMO section operations and enables the DMO section to focus on their operational activities, such as entry control, surveillance and enforcement.

A description of the CST's specific roles and responsibilities and the guidance and support they provide to the DMO section and the other RBUs is detailed in:

- [Protocol \(ORG.004\) Capability support and guidelines for managing and overseeing CASA's external delegates and authorised persons](#)
- [Principle \(ORG.004\) Capability support for CASA's external delegates and authorised persons.](#)

## 2.3 Further advice and support

### 2.3.1 Capability Support Team

Contact the CST for further advice and support or to submit an enquiry or continuous improvement related to the EDAP management framework, lifecycle and supporting elements. Key subject areas include:

- CST guidelines, policies and procedures
- the EDAP consolidated register and reporting
- quality assurance, risk management and record keeping
- the bi-annual review process
- the CASA EDAP module.

To submit an enquiry or continuous improvement to the CST, use the [Submit an Enquiry to the Capability Support Team](#) link on the [Air Navigation, Transformation and Risk Division](#) page in Horace.

### 2.3.2 Design and Manufacturing Oversight section

To obtain further assistance with any of the DMO section aircraft design approval-related operational processes and information detailed in this principle document, contact the manager, design management oversight (MDMO) (approving delegate).

**Note:** The DMO section remains as the primary contact for all matters relating to their aircraft design approval-related authorised persons.



## 3. CASA roles and responsibilities

### 3.1 Overview – Management and oversight functions

This section includes details of the specific roles and responsibilities of the DMO section and other supporting CASA staff performing activities through the EDAP lifecycle related to the ongoing oversight and management of authorised persons after they are appointed.

Refer to [Principle \(DEL.01\) Appointing aircraft design approval-related authorised persons](#) for details of the specific roles and responsibilities of the DMO section and supporting CASA staff performing activities through the EDAP lifecycle related to the initial assessment and appointment of authorised persons.

### 3.2 Design and Manufacturing Oversight section

The Design and Manufacturing Oversight (DMO) section is responsible for the oversight of all design and production approval holders, including:

- ongoing surveillance of design organisations and design IOA (authorised persons)
- ongoing surveillance of production organisations including:
  - Australian parts manufacturer approval (APMA)
  - Australian technical standard order (ATSO) authorisation
  - process approvals and production certificates.
- managing and overseeing aircraft-design-related operational activities conducted by authorised persons as they participate in the EDAP lifecycle after appointment
- managing other activities such as risk assessments, which are not directly associated with the EDAP lifecycle but are required to support the lifecycle-associated governance and reporting activities
- ensuring these DMO section-specific operational management and oversight activities are conducted in accordance with:
  - the regulations, CASA policies, and any guidelines that have been published by the CST
  - any aircraft design approval-specific policies, guidelines, and procedures.
- identifying and implementing aircraft design approval-specific policies and guidelines for the ongoing management and oversight of authorised persons after they are appointed, if needed
- documenting the relevant policies, guidelines, and procedures to adequately describe the how, whom, what, why, where, and when associated with managing and overseeing the aircraft design approval-related activities conducted by authorised persons as they participate in the EDAP lifecycle.

### 3.3 Manager, design and manufacturing oversight (appointing delegate)

Also known as the appointing delegate, the manager, design and manufacturing oversight (MDMO) is responsible for:

- managing the whole EDAP lifecycle associated with design approvals
- consulting with the branch manager AEB on IOA processing for renewals and variations
- assigning a certification engineer (CE) as project manager (PM)
- authorising the issuing of a variation or renewal of an IOA and executing the IOA as the appointing delegate

- implementing the oversight and management processes set out in this principle document
- preparing an authorised person's cancellation recommendations and authorising cancellation letters
- reviewing cancellation requests and assigning a CE
- authorising notices of proposed action.

### 3.4 Regulatory services officer

**Note:** Administrative support is provided from the pool of regulatory services officers (RSO) from the Regulatory Oversight Division (ROD). RSO's are not part of the AEB organisation structure, however they contribute to AEB's function with critical business support activities. While the same RSO is typically assigned and dedicated to AEB for consistency and familiarity, the broader RSO pool may be accessed for peak workload or RSO absence.

The regulatory services officer (RSO) is responsible for:

- creating new EAP cases for renewals and variations and recording (entry control) applications for authorised persons in the Records Management System (RMS) and EAP
- assigning renewal and variation applications (EAP cases) to the MDMO to review and authorise
- sending acknowledgement notifications and requests to applicants regarding their renewal and variation application
- sending notifications of application rejections to applicants and recording rejection details (in RMS, EAP and the Regulatory Fee Estimator)
- sending application (fee) cost estimates to applicants and recording payments and cost recovery
- sending notifications to applicants to issue IOA renewals and variations, notifying the surveillance technical officer (STO) and finalising entry control
- issuing cancellation letters and notices of proposed action to authorised persons.

### 3.5 Surveillance technical officer

The surveillance technical officer (STO) is responsible for:

- preparing documentation in RMS and Power BI for National Surveillance Selection Process (NSSP) surveillance events
- notifying MDMO of NSSP surveillance events
- formatting surveillance reports and findings after they have been reviewed by the MDMO and approved by the branch manager AEB
- issuing surveillance reports and findings to authorised persons (Sky Sentinel and RMS data)
- recording authorised person responses to surveillance reports and findings (Sky Sentinel and RMS)
- issuing acquittals to authorised persons (Sky Sentinel and RMS).

### 3.6 Certification engineer (project manager)

For each of the IOA processing tasks, a designated certification engineer (CE) is nominated as the project manager (PM) and is responsible for:

- meeting CASA service delivery expectations
- ensuring that cost recovery regulations are complied with for each task
- providing renewal and variation application (fee) cost estimates to the RSO

- assessing renewal and variation applications (experience, surveillance activity and documentation) and consulting the MDMO as required
- conducting application interviews
- finalising assessments and recommending issue of the IOA for renewals and variations to the MDMO (appointing delegate)
- generating the draft IOA in EAP
- assigning EAP cases for initial issue, renewals and variations to the MDMO to review and authorise
- preparing for and conducting surveillance events
- recording findings of surveillance events and drafting surveillance reports
- assessing responses from authorised persons to surveillance findings and acquitting findings
- preparing cancellation recommendations, letters and notices from authorised persons for the MDMO.

### 3.7 Surveillance manager

The surveillance manager (SM) is responsible for recommending approval of surveillance reports and findings to the branch manager airworthiness and engineering branch (AEB).

**Note:** For aircraft design approval-related authorised persons, the MDMO also performs the approval function as the SM.

### 3.8 Branch manager airworthiness and engineering branch

The branch manager (BM) airworthiness and engineering branch (AEB) is responsible for approving surveillance reports and findings in Sky Sentinel.

### 3.9 Training Branch

The Training Branch is responsible for recording and processing course enrolments for applicant's in CLASS and AviationWorx for the CASA EDAP module.

### 3.10 Legal, International and Regulatory Affairs Division

The Legal, International and Regulatory Affairs Division (LIRA) Division is responsible for:

- advising on enforcement action
- providing advice related to an authorised person's performance of their duties, specifically compliance with legislative frameworks other than technical CASRs framework
- managing and updating the legal content for the EDAP module.

### 3.11 Capability Support Team

The Capability Support Team (CST) is responsible for:

- overseeing records and performing regular data integrity checks to ensure completion of the CASA EDAP module by authorised persons
- initiating the DMO section's completion of the bi-annual review process

- conducting the quality assurance review as part of the bi-annual review process and approving and assigning any identified corrective actions
- facilitating, documenting and reporting on risk assessments completed by the DMO section.

## 3.12 Risk Oversight Section

The Risk Oversight Section (ROS) is responsible for:

- providing risk management advice and support to the DMO section in relation to the management of authorised persons
- assisting the DMO section with bowtie risk assessments for the bi-annual review
- developing mechanisms to ensure CASA assesses and manages risks related to EDAP appropriately.

## 4. Training – Recurrent training

### 4.1 Overview

This section describes the DMO section's activities and requirements related to mandatory recurrent (renewal) training in the CASA EDAP module undertaken by aircraft design approval-related authorised persons in support and continuation of CASA's determination to renew their appointment.



Authorised persons re-applying to CASA for the renewal of their appointment to exercise aircraft design approval-related powers as an authorised person must complete and show evidence that they have completed recurrent (refresher) training in the CASA EDAP module in AviationWorx.

### 4.2 External delegate and authorised person module

At the time of application and assessment for the renewal of an appointment, an applicant must have completed the CASA EDAP module training to satisfy CASA training recurrency requirements. The applicant must complete the training module every 2 years and prior to attending any required (initial issue) application interviews.

**Note:** It is CASA policy that all aircraft design approval-related authorised persons maintain currency of skills, through attendance of recurrent training during the lifecycle of each instrument issued.

Completing the training module every 2 years ensures that aircraft design approval-related authorised persons continue to maintain their foundational knowledge and awareness of the current legal and legislative requirements and the scope, obligations, and limitations of their delegation.

For more information on the initial training application process, refer to Section 8 in [Principle \(DEL.01\) Appointing aircraft design approval-related authorised persons](#).

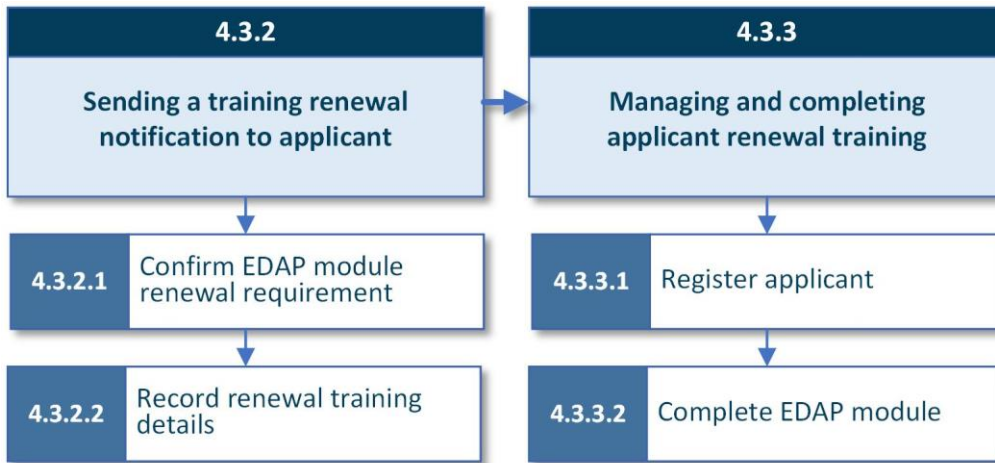
### 4.3 Recurrent training process

#### 4.3.1 Overview

This section describes the DMO section's training activities related to mandatory (renewal) recurrent (legal) training in the External delegate and authorised person (EDAP) module undertaken by aircraft design approval-related authorised persons in support and continuation of CASA's determination to re-issue their IOA. The recurrent training process includes the following sequence of lower-level operational activities (at Figure 1) that incorporate the key steps the:

- certification engineer (PM) performs to
  - confirm that the applicant has completed their recurrency (renewal training) in the CASA EDAP module

- send a reminder notification email to the applicant to complete the CASA EDAP module training (if not completed)
- update RMS training records.
- applicant performs to enrol and complete the training module
- Training Branch performs to process renewal applications for training.



**Figure 1. Recurrent training process for re-appointment to exercise aircraft design approval-related IOA**

The recurrent training process incorporates:

- **4.3.2 – Sending a training renewal notification to applicant:** The steps performed to send a renewal notification to the applicant confirming the requirement to renew their mandatory legal training in the CASA EDAP module.
- **4.3.3 – Managing and completing applicant renewal training:** The steps the Training Branch performs to register the applicant (as required) in the CASA EDAP module and the applicant completes the renewal training in AviationWorx.

When an application to renew an appointment to exercise aircraft design approval-related powers as an authorised person is received, the RSO creates a new EAP case in the EAP system and assigns the application to the MDMO for an initial review. The MDMO then assigns the application to a PM (certification engineer).

## 4.3.2 Sending a training renewal notification to applicant

### 4.3.2.1 Confirm EDAP module renewal requirement

The PM (certification engineer) performs the following steps when they receive an EAP case notification from the MDMO to review a renewal application.

Step	Action
1.	<p>Conduct a preliminary review of the application and the applicant's qualifications and experience and process the application as per Section 7.3.1.</p> <p>As part of this review, confirm that the applicant has completed their recurrency (renewal training) in the CASA EDAP module.</p>

Step	Action
	<p><b>Note:</b> The CASA AviationWorx system sends out an automatic renewal notification to authorised persons (based on a set system renewal period and notification date) to confirm the requirement to complete their recurrency training in the CASA EDAP module.</p>

2. If the applicant has:
  - not completed their required recurrency training, send a reminder notification email to the applicant (cc. the Training Branch at [training.admin@casa.gov.au](mailto:training.admin@casa.gov.au)) with:
    - a link to the CASA EDAP module in AviationWorx
    - instructions for access and completion of the training module
    - confirmation of the next steps in the renewal application process when the applicant has completed the training module.
  - completed their required recurrency training, go to step 3.

#### 4.3.2.2 Record renewal training details

The PM performs the following steps to record the renewal training details for the applicant.

Step	Action
3.	Add the relevant training details when preparing the SFR (including the date the renewal training notification email was sent to the applicant).
4.	Upload the following to the applicant's RMS folder: <ul style="list-style-type: none"> <li>• a copy of the renewal notification email</li> <li>• a copy of the completion (PDF) certificate for the recurrency training (if provided as part of the application).</li> </ul>

### 4.3.3 Managing and completing applicant renewal training

#### 4.3.3.1 Register applicant

The Training Branch performs the following steps to register applicants to support their application to renew their appointment as an aircraft design approval-related authorised person.

Step	Action
1.	If required, access the CLASS system and enrol the applicant in the CASA EDAP module.
2.	Send an acknowledgement email to the applicant with: <ul style="list-style-type: none"> <li>• confirmation of their course registration details</li> <li>• AviationWorx account and access details to commence the renewal training.</li> </ul>

#### 4.3.3.2 Complete EDAP module

All applicants perform the following steps to complete the CASA EDAP module to support their application for renewal of their appointment to exercise CASA aircraft design approval-related powers.

Step	Action
3.	Access AviationWorx using account details and complete the mandatory recurrency training in the CASA EDAP module.
4.	On successful completion of the training, the applicant receives a formal certificate of completion (they can print as a PDF) and provides this to the PM to support their renewal application.



## 5. Reporting – Authorised person activity

### 5.1 Overview

This section includes the DMO section's activities and requirements related to capturing and reporting the activity data of authorised persons exercising CASA's aircraft design approval-related powers.



### 5.2 Authorised persons' reporting

**Note:** Organisations with authorised persons exercising aircraft design approval-related powers must provide an annual activity report (Excel or PDF) to the DMO section with details of the activity they have performed during the year exercising these powers.

The annual activity reports are received at [airworthiness@casa.gov.au](mailto:airworthiness@casa.gov.au) and stored in RMS by the RSO. The CE reviews the activity reports when preparing for surveillance events.

The DMO section then monitors the authorised person's activity at the surveillance event by observing the activity to assure they use correct procedures and satisfactory techniques or methods.

**Note:** If the DMO section becomes aware of an issue through the authorised person's activity, they may initiate a Level 2 surveillance activity (i.e. product check of a specific section of an authorised person's systems) and request specific samples of work. However, this would be the only review between (more structured and forward-planned) Level 1 surveillance visits.

### 5.3 Surveillance activity data

The DMO section conducts surveillance to check authorised persons are complying with the relevant regulations or their procedures.

All application requests for an initial appointment and a renewal as an aircraft design approval-related authorised person are received, assigned, tracked and processed by regulatory services officers (RSOs) in the Entry Control and Coordination (ECC) team from the Regulatory Oversight Division (ROD) (acting as DMO administrative support through the application process).

After the RSO has issued an IOA to an authorised person, they notify the surveillance technical officer (STO) who accesses the Sky Sentinel system and records details of the authorised person and the relevant IOA (including any specific conditions or limitations) as part of the National Surveillance Selection Process (NSSP).



**Note:** Sky Sentinel does not record individuals when they are listed on an IOA addressed to an organisation. In this situation, Surveillance will only need to add an organisation (in the case of an entirely new IOA) or update the IOA revision number (in the case of a revised IOA) due to a new individual being added to it.

The NSSP then uses data from Sky Sentinel and input from the DMO section to prioritise authorised persons. New surveillance events can then be initiated for an authorised person based on planning in the NSSP annual planned surveillance schedule and planning meetings.

Collecting and reporting on data in this way provides ongoing information about how authorised persons are exercising their powers or functions at any given time, as well as building a complete historical picture of authorised person activity. This allows the DMO section to effectively target authorised person training and surveillance activities and identify significant safety-related trends and risk factors in this area.

For more information on surveillance activities and data, refer to Annex 7 in the [CASA Surveillance Manual](#).

## 5.4 Completion of External delegate and authorised person module

Before and every 2 years during their appointment, authorised persons are required to complete the CASA EDAP module. The CST in conjunction with the DMO section, is responsible for overseeing records related to completion of the training module, with a key focus on maintaining the necessary data in the EDAP consolidated register for:

- initial completion of the training
- completion of required recurrency or renewal training (every 2 years).

When an authorised person completes the mandatory training module, the CST coordinator:

- obtains the training outcome report from the CLASS system and exports the Excel report
- accesses the EDAP consolidated register and:
  - changes the authorised person's training status to 'Completed'
  - enters the specific date the training module was completed.

This process then enables the CST and DMO section to perform regular data integrity checks to ensure all entries in the EDAP consolidated register and training are complete.

**Note:** This continuous training approach guarantees that authorised persons maintain current legal knowledge and provides transparency of training completion. For more details, refer to [Work Instruction \(ORG.004\) Updating the external delegates and authorised persons' consolidated register](#).

## 6. Surveillance and enforcement

### 6.1 Overview

This section describes the DMO section's general approach to surveillance and enforcement activities that ensure existing aircraft design approval-related authorised persons continue to meet their legislative obligations.



Surveillance (oversight) and enforcement are critical components of managing and overseeing authorised persons as they move through the EDAP lifecycle and exercise CASA's aircraft design approval-related powers or powers specified in the legislation. Such processes:

- ensure that CASA has visibility and transparency of the powers that are being exercised on its behalf by authorised persons
- provide insight into the effectiveness of such activities
- provide an opportunity for CASA to identify risks, threats, and issues that may be arising as a result of such activities
- develop a record of activities that may be considered in relation to ongoing authorisations or new authorisation being granted.

**Note:** Refer to the [National Surveillance Selection Process \(NSSP\) Manual](#) for surveillance frequency and the [CASA Surveillance Manual](#) for processes.

### 6.2 Oversight

This section provides information and guidance for the DMO section's oversight (surveillance and monitoring) of aircraft design approval-related authorised persons. The ability to provide adequate oversight depends on balancing the level of CASA staffing to workload and the number of authorised persons to provide more than a minimum degree of monitoring.

The DMO section is responsible for monitoring and tracking an authorised person's activities to provide a level of assurance on the performance of their assigned authorised functions in accordance with the appropriate regulations, policies and procedures.

#### 6.2.1 Oversight objectives

Oversight provides monitoring and tracking of an authorised person's performance of their assigned authorised functions (in accordance with the appropriate regulations, policies and procedures) and is designed to:

- assure that the authorised person has:
  - obtained and maintains all guidance material necessary to perform the authorised function(s)
  - direct communication to appropriate authorities within CASA, including the assigned overseeing person/ area

- assure that the authorised person is performing within the scope of their authorised function(s)
- verify that the authorised person has:
  - attended any mandatory training
  - ongoing activities to justify continuance of the IOA
  - appropriately recorded and reported activities in relation to the exercise of their authorisation.
- emphasise that the authorised person should seek CASA's assistance in relation to any concerns connected with their authorised function(s).

### 6.2.2 Oversight tools

CASA uses the following tools in performing oversight functions.

**Table 5. Oversight tools**

Tool	Description
Coaching	Analyse the quality of the authorised person's work to include recognising good performance and identifying possible corrective actions.
Communication and documentation	Maintain proper communication and documentation with authorised persons. These are essential in identifying, monitoring and evaluating performance expectations. It is also important in identifying and solving problems, as well as taking necessary corrective action.
Policy and guidance material	Ensure that authorised persons have been given instructions on how to obtain all policy and guidance material necessary to perform their authorised functions.

**Note:** Given the nature of design-related authorisations, the DMO section try not to get too involved in developing an authorised person's own processes and 'coaching' etc. Although the DMO section assesses the authorised person's processes, they are not the 'designer' and if the authorised person can't develop an appropriate process on their own, then they lack the understanding necessary to hold a design approval-related authorisation.

### 6.2.3 Measuring performance

When performing oversight activities, the following measures should be used for authorised persons:

**Table 6. Oversight performance measures**

Measure	Criteria
Technical	<p>The authorised person:</p> <ul style="list-style-type: none"> <li>• displays:           <ul style="list-style-type: none"> <li>– expertise, competence and proficiency when conducting authorised activities</li> <li>– an expert level of knowledge and skill</li> </ul> </li> <li>• uses appropriate terminology and the correct equipment</li> <li>• applies appropriate standards</li> <li>• interprets results with precision.</li> </ul>

Measure	Criteria
Administrative	<p>The authorised person is able to:</p> <ul style="list-style-type: none"> <li>• demonstrate the accurate completion and issue of appropriate documentation</li> <li>• understand and follow established procedures</li> <li>• comply with all regulations and directives.</li> </ul>
Professional	<p>The authorised person:</p> <ul style="list-style-type: none"> <li>• displays a cooperative attitude</li> <li>• demonstrates a high degree of integrity, responsibility and professionalism.</li> </ul>

## 6.2.4 Managing performance

### 6.2.4.1 Meetings

The CASA Surveillance Manual (CSM) does not require the DMO section to interview every authorised person during a surveillance visit. The CE will assess a sample of the work performed by the organisation they are visiting, which may or may not include work carried out by every authorised person listed on the IOA for that organisation. Also, some authorised persons for that organisation may reside interstate and not even be present during the surveillance visit.

For more information and processes, refer to the [CASA Surveillance Manual](#).

### 6.2.4.2 Reports

For more information on activity reporting requirements for authorised persons, refer to Section 5.2.

## 6.3 Surveillance

The certification engineer (CE) in the DMO section prepares for and conducts surveillance to assure authorised persons are complying with the regulations and following their procedures. The CE performs this by checking the authorised person's systems, products and processes, looking at documents and manuals, and examining other available data and intelligence.

The CE may not meet every authorised person under the IOA when they conduct a surveillance visit unless necessary to do so for a particular surveillance event. The CE may discuss findings with the chief engineer, head of design or similar position.

When the CE has completed the surveillance activity, they conduct an exit meeting to discuss all findings and review the results.

For an organisation, the meeting will be conducted with whoever attends the exit meeting—so for a given issue, the authorised person concerned may or may not be at that meeting.

For more information, refer to the [National Surveillance Selection Process \(NSSP\) Manual](#) for surveillance frequency and the [CASA Surveillance Manual](#) for processes.

## 6.4 Enforcement

The *Civil Aviation Act 1988* (the Act) places responsibility on CASA to conduct the safety regulation of civil air operations in Australian territory and the operation of Australian aircraft outside Australian territory, by

means that include 'developing effective enforcement strategies to secure compliance with aviation safety standards' (s.9(1)(d)). This is a core regulatory function and one to which Australia is bound to give effect in accordance with its obligations under the Chicago Convention.

The CASA [Enforcement Manual](#), in combination with the [CASA Surveillance Manual](#) and [Regulatory Philosophy](#), sets out the enforcement strategies developed by CASA to discharge the functions imposed on it by s.9(1)(d) of the Act.

CASA uses enforcement action, where necessary, to:

- compel a person to comply with legislative requirements
- prevent a person from exercising certain aviation privileges on safety grounds
- limit, constrain or prevent someone who is demonstrably unable or unwilling to follow the rules from exercising their aviation privileges.

Enforcement as it relates to the DMO section's authorised persons is currently conducted in accordance with the above CASA manuals.

The process to be followed for the revocation of an authorisation is the same as for any enforcement action taken against the holder of an external delegation or authorisation as set out in CASA's Enforcement Manual.

## 7. Entry control – Renewal application process

### 7.1 Overview

This section describes the DMO section's entry control activities related to an authorised person applying for and being considered and assessed by DMO for a renewal (re-issue) of their appointment to exercise aircraft design approval-related powers.



Refer to Section 7 in [Principle \(DEL.01\) Appointing aircraft design approval-related authorised persons](#) for details of the DMO section's activities related to managing an initial application for appointment to exercise aircraft design approval-related powers.

Renewal is required every 2 years and comprises processes related to the DMO section's review and assessment for the ongoing renewal (re-issue) of an existing IOA. The renewal process includes an assessment of the authorised person's surveillance activity.

**Note:** The issue of an IOA is at the discretion of CASA and will be considered on a case-by-case basis. An authorisation is a privilege, not a right, and not every qualified industry applicant will be granted an authorisation.

The scope of the re-issued IOA will depend on the applicant's continued qualifications and in certain cases, employment arrangements. As the expiration date of an existing authorised person's IOA approaches, they may apply for a renewal.

**Note:** An authorised person is responsible for submitting an application to CASA for the renewal of their IOA at least one month prior to the expiry date.

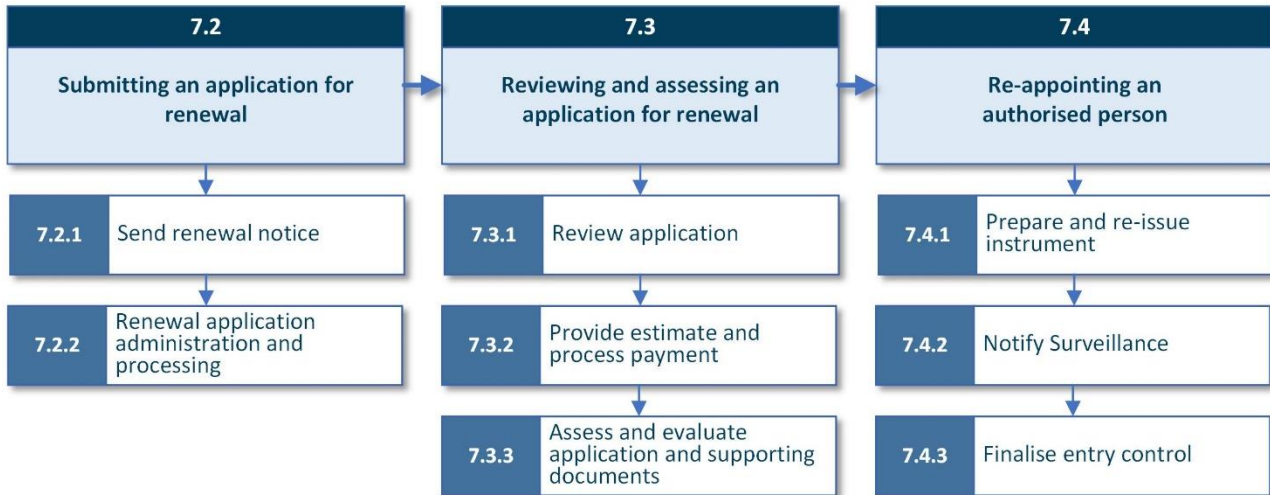
For a renewal application, the applicant's history of exercising powers under their IOA (i.e. their surveillance activity) must be considered. A renewal doesn't require the reassessment of an authorised person's qualifications and experience—It primarily considers if any adverse issues have been identified.

Following the application for renewal, the authorised person's activity data is provided to the DMO section. On renewal, the authorised person should continue to satisfy the initial appointment criteria.

**Note:** CASA may revoke an IOA if it determines that the appointment is not warranted.

The application renewal process includes the following sequence of operational activities (at Figure 3) that incorporate the key steps:

- an authorised person performs to prepare and submit their application for renewal (re-issue) of their re-appointment to exercise aircraft design approval-related powers
- the DMO section performs to record, review and assess the application and approve renewal of an appointment.



**Figure 2. Application process for renewal of an appointment to exercise aircraft design approval-related powers**

The application process for renewal of an appointment to exercise aircraft design approval-related powers incorporates:

- **7.2 – Submitting an application for renewal:** The process the RSO performs to send a reminder notice to an authorised person confirming their IOA is due for renewal, to follow-up and manage the notice, and the renewal submission process
- **7.3 – Reviewing and assessing an application for renewal:** The review and assessment process the DMO section performs to evaluate the application for renewal in support of CASA's determination to re-issue or not re-issue the IOA being sought.
- **7.4 – Re-appointing an authorised person:** The process the DMO section performs to manage the approval or rejection and re-issue the IOA to the applicant.

## 7.2 Submitting an application for renewal

### 7.2.1 Send renewal notice

The RSO performs the following steps to send a renewal notice to an authorised person as a reminder to apply for a renewal (re-issue) of their appointment to exercise aircraft design approval-related powers.

Step	Action
1.	Approximately 90 days prior to an IOA expiring, send a reminder notice to the authorised person confirming that their instrument is due for renewal in the near future.
<b>Note:</b> The responsibility to request a renewal lies with the authorised person. While CASA has implemented a process to assist, ultimate responsibility lies with the authorised person.	



Step	Action
2.	<p>If, approximately 30 days prior to the instrument expiring, an application for renewal has:</p> <ul style="list-style-type: none"> <li>not been received from the authorised person, contact them via a telephone call as an additional follow-up reminder</li> <li>been received, go to Section 7.3.</li> </ul>
3.	<p>If an application for renewal has:</p> <ul style="list-style-type: none"> <li>not been received from an authorised person and processed prior to the expiry date, send them a formal letter confirming that: <ul style="list-style-type: none"> <li>their IOA has expired</li> <li>they are not permitted to exercise any delegated powers contained in the expired IOA.</li> </ul> </li> <li>been received, go to Section 7.3.</li> </ul>

**Note:** An authorisation that has expired is not renewable without re-application.

## 7.2.2 Renewal application administration and processing

All application requests to renew an appointment as an aircraft design-related authorised person are received, assigned, tracked and processed by regulatory services officers (RSOs) in the Entry Control and Coordination (ECC) team from the Regulatory Oversight Division (ROD) (acting as DMO administrative support through the IOA renewal application process). To ensure consistency, all CASA personnel involved in the application process follow standard administrative processes through a regulatory services (regservices) task workflow, in the EAP system.

**Note:** For detailed EAP procedures, refer to the [EAP OAS Case Management - Airworthiness and Engineering Branch \(AEB\) Handbook](#) and [Principle \(DEL.01\) Appointing aircraft design approval-related authorised persons](#).

## 7.3 Reviewing and assessing an application for renewal

When a renewal application is received, the RSO creates a new EAP Case (task number) in EAP and assigns the application to the MDMO for an initial review.

The review and assessment process includes the sequence of DMO section activities performed to review and evaluate an application for renewal of an appointment to exercise CASA aircraft design approval-related powers. The process enables the DMO section to review an authorised person's continuing surveillance activity and training and supports CASA's determination to recommend renewal of appointment, variation or refusal. The review and assessment process for a renewal incorporates:

- **7.3.1 – Review application:** The steps performed to review the application for renewal and supplied supporting documentation to ensure that all necessary information has been provided to CASA.
- **7.3.2 – Provide estimate and process payment:** The steps performed to confirm the cost estimate, advise the applicant and process and record the applicant's payment.
- **7.3.3 – Assess and evaluate application and supporting documents:** The steps performed to assess and evaluate the application and supporting documentation and suitability of the applicant and determine if there is a need to re-issue the requested IOA.



### 7.3.1 Review application

The project manager (PM) (certification engineer) performs the following steps when they receive a new EAP case notification from the RSO to review an application for renewal.

Step	Action
1.	Confirm the applicant has provided all required information and supporting documents and: <ul style="list-style-type: none"> <li>review their history of exercising powers under their IOA (i.e. surveillance activity outcomes) to check if any adverse issues have been identified</li> <li>check if their EDAP training is current.</li> </ul>
2.	If the applicant is not currently qualified to hold an IOA, discuss possible refusal of the application with the MDMO and inform the applicant of the outcome (as per Section 7.3.3.1, step 3).

### 7.3.2 Provide estimate and process payment

The PM performs the following steps to determine an initial cost estimate for an application for renewal.

Step	Action
1.	Based on the information provided in the application form and supporting documentation, determine an initial estimate of the costs (fee) of processing the application for an IOA. The cost estimate is based on the time required to process the application at the hourly rate prescribed in the <i>Civil Aviation (Fees) Regulations</i> . Also refer to <a href="#">Principle (DEL.01) Appointing aircraft design approval-related authorised persons</a> .
2.	Forward the initial cost estimate (as hours) to the RSO.

The RSO sends the cost estimate to the applicant and processes payment as per Section 6.2.7.3 in Principle (DEL.01) Appointing aircraft design approval-related authorised persons and the [EAP OAS Case Management - Airworthiness and Engineering Branch \(AEB\) Handbook](#). When payment (or a purchase order) is received, the RSO advises the PM (certification engineer).

### 7.3.3 Assess and evaluate application and supporting documents

#### 7.3.3.1 Assess application

The PM performs the following steps to assess a new application and supporting documents.

Step	Action
1.	Review the: <ul style="list-style-type: none"> <li>application for current training (as detailed in the appointment criteria for the specific IOA).</li> <li>scheduled surveillance and activity reports.</li> </ul> Request the updated DAPM (if required) from the applicant.
2.	Assess the applicant's submitted DAPM updates against the relevant document criteria. Request specialist input as required. If the DAPM or surveillance and activity reports are: <ul style="list-style-type: none"> <li>not acceptable, go to step 4 to prepare a standard form of recommendation (SFR) for the MDMO to advise and discuss if refusal of the renewal application is warranted.</li> <li>acceptable, go to Section 7.3.3.2 to finalise assessment and prepare recommendation.</li> </ul>
3.	Prepare an SFR for the MDMO regarding the assessment of the DAPM and surveillance and activity reports to confirm a possible recommendation to refuse the application.
4.	Discuss the SFR and options with the MDMO to confirm appropriate actions.

Step	Action
5.	<p>If the appropriate action is:</p> <ul style="list-style-type: none"> <li>to refuse the application: <ul style="list-style-type: none"> <li>inform applicant of the decision by email (cc. RSO)</li> <li>advise RSO by email to close the EAP case (task) and refund balance for cost estimate.</li> </ul> </li> <li>accept the application, proceed to Section 7.3.3.2 to finalise assessment and prepare recommendation.</li> </ul> <p>The MDMO can also perform this step.</p>

The RSO finalises the EAP case and processes the refund of the cost estimate as per the [EAP OAS Case Management - Airworthiness and Engineering Branch \(AEB\) Handbook](#).

### 7.3.3.2 Finalise assessment and prepare recommendation

The PM performs the following steps to finalise the assessment and prepare a recommendation.

Step	Action
6.	Prepare a report with a final recommendation for the renewal application.
7.	Prepare the final Standard form of recommendation (SFR) using the standard format.
8.	Draft the IOA if the recommendation is to issue the instrument.
9.	<p>Upload the following documents to RMS:</p> <ul style="list-style-type: none"> <li>SFR</li> </ul> <p>Assign the EAP case to the MDMO (appointing delegate) for review with the RMS reference.</p>

Refer to the [EAP OAS Case Management - Airworthiness and Engineering Branch \(AEB\) Handbook](#).

### 7.3.3.3 Approve recommendation

The MDMO (appointing delegate) performs the following steps to review and approve the PM's recommendation.

Step	Action
10.	Review PM's recommendation report, SFR and draft IOA.
11.	Consult with PM if edits are required, and subsequently incorporated.
12.	Approve recommendation, sign the SFR and upload the documents to RMS.
13.	<p>If application for IOA is</p> <ul style="list-style-type: none"> <li>approved: <ul style="list-style-type: none"> <li>approve the IOA within EAP</li> <li>forward the case to the RSO (cc. PM) with instructions to finalise cost recovery and re-issue the IOA</li> <li>go to Section 7.4</li> </ul> </li> <li>refused, go to step 12.</li> </ul>

The PM performs the following steps to refuse the application.

Step	Action
14.	Send letter/email to the applicant advising them of refusal to re-issue an IOA.

## 7.4 Re-appointing an authorised person

The final re-appointment process includes the sequence of activities the DMO section performs to prepare and re-issue the IOA to the applicant and manage the renewal of their appointment as an aircraft design approval-related authorised person. The process for appointment to exercise aircraft design approval-related IOA incorporates:

- **7.4.1 – Prepare and issue instrument:** The steps performed by the RSO to prepare and re-issue the final IOA to the applicant.
- **7.4.2 – Notify Surveillance:** The steps performed to notify Surveillance and add the authorised person's details to the National Surveillance Selection Process (NSSP) to manage ongoing surveillance events.
- **7.4.3 – Finalise entry control:** The steps performed by the RSO to finalise the entry control, renewal application process and close the EAP case for the application.

### 7.4.1 Prepare and re-issue instrument

The PM performs the following steps to prepare and re-issue the IOA renewal.

Step	Action
1.	<p>Prepare the final IOA certificate for the EAP case file, incorporating any changes recommended by the MDMO/PM during their final assessment of the renewal application.</p> <p>The instrument serves as a certificate of authority and should provide a detailed description of the authorised person's authorities, limitations and associated expiration.</p>

The RSO performs the following steps to re-issue the IOA renewal.

Step	Action
2.	<p>Send an email to the applicant with:</p> <ul style="list-style-type: none"> <li>• the final IOA (certificate)</li> <li>• a statement of reason(s) for any variation to the original application.</li> </ul>

### 7.4.2 Notify Surveillance

The RSO performs the following steps to notify Surveillance when the IOA has been re-issued and the authorised person appointed.

Step	Action
1.	<p>Notify Surveillance if an IOA has been re-issued.</p> <p>Send an e-mail to <a href="mailto:surveillance@casa.gov.au">surveillance@casa.gov.au</a> with the case number, job type, RMS reference and (if applicable) safety finding number.</p>

The surveillance technical officer (STO) performs the following steps when they are notified that an IOA has been re-issued and authorised person appointed.

Step	Action
2.	<p>Access the Sky Sentinel system and enter details of the authorised person and the relevant IOA (and any specific conditions or limitations).</p> <div style="border: 1px solid black; padding: 10px; margin-top: 10px;"> <p><b>Note:</b> Sky Sentinel does not record individuals when they are listed on an IOA addressed to an organisation. In this situation, Surveillance will only need to add an</p> </div>

Step	Action
	<p>organisation (in the case of an entirely new IOA) or update the IOA revision number (in the case of a revised IOA) due to a new individual being added to it.</p> <p>New surveillance events can then be initiated for an authorised person based on planning in the NSSP annual planned surveillance schedule and planning meetings.</p> <p>For more information, refer to the <a href="#">National Surveillance Selection Process (NSSP) Manual</a> and <a href="#">CASA Surveillance Manual</a>.</p>

### 7.4.3 Finalise entry control

The RSO performs the following steps to finalise the renewal appointment process.

Step	Action
1.	Update the CASA web delegate search engine to include the new authorised person or design organisation (ADO) that they work for (subject to agreement from the authorised person/ADO).
2.	Finalise the EAP case as per procedures in the <a href="#">EAP OAS Case Management - Airworthiness and Engineering Branch (AEB) Handbook</a> .

## 8. Entry control – Variation process (CASA-initiated)

### 8.1 Overview

This section describes the DMO section's entry control activities related to CASA's requirement to initiate changes (variation) to an appointment to exercise aircraft design approval-related powers.



Refer to Section 7 Entry control – Initial application process in [Principle \(DEL.01\) Appointing aircraft design approval-related authorised persons](#) for details of the DMO section's activities related to managing an initial application for appointment to exercise aircraft design approval-related powers.

#### Variations initiated by CASA

The DMO section initiates variations to an existing IOA to address specific changes in circumstances. CASA may initiate changes to an IOA when:

- the approvals by the authorised person indicate inadequate competence in the speciality and scope of the IOA
- the speciality and scope of the IOA cannot be substantiated by the authorised person's documentation and currency of capabilities
- there is lack of cooperation and transparency by the authorised person while carrying out surveillance functions
- there are any changes to the regulations or technical updates that require revised training or additional qualifications etc.

CASA may initiate IOA variations, noting that the exercise of authorisations by the authorised person is a function under the CASA regulations. CASA usually initiates variations as a result of findings from the authorised person surveillance process or an incident/accident. As far as practicable, CASA will strive to work cooperatively with the authorised persons, noting that they are performing a CASA function, and all CASA actions must be guided by the notion of 'procedural fairness'.

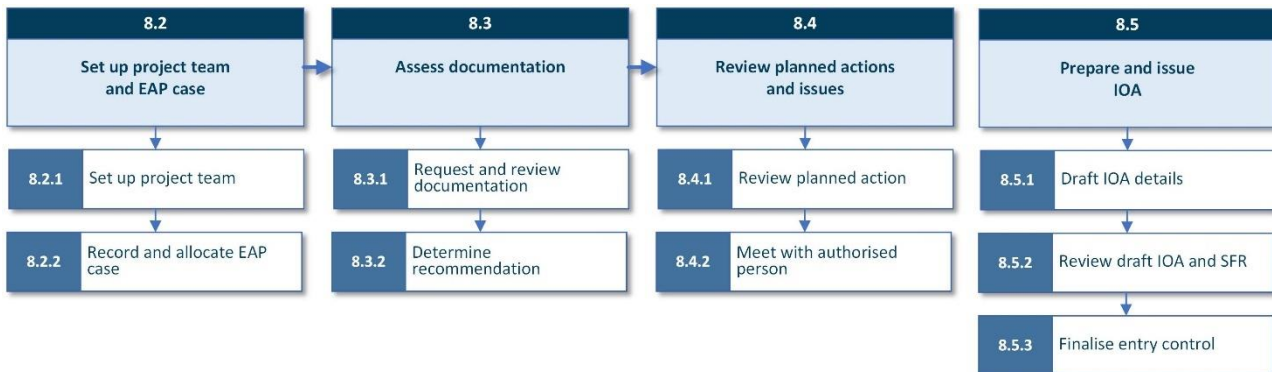
**Note:** Procedures in the [CASA Enforcement Manual](#), [CASA Surveillance Manual](#) and the coordinated enforcement process are followed for the final outcome of IOA variation.

Following the issue of IOA variation, the surveillance program for the authorised person must be reviewed and the risks re-assessed.

## Variation process

The CASA-initiated variation process includes the following sequence of operational activities (at Figure 4) that incorporate the key steps the:

- the DMO section performs to set up a project team to review, assess and manage the changes (through planned actions and issues) and prepare and issue the revised IOA to the authorised person
- authorised person performs to meet with the MDMO, review the IOA details (and planned actions and supporting documentation) and respond to any issues.



**Figure 3. CASA-initiated process for variation to an existing IOA**

The CASA variation process for a variation to an existing IOA incorporates:

- 8.2 – Set up project team and EAP case:** The process the DMO section performs to establish a new project team to review and manage the variation and record a new case in the EAP system.
- 8.3 – Assess documentation:** The review and assessment process the new DMO section project team performs to review and evaluate the documentation, make a recommendation regarding the variation and advise the authorised person.
- 8.4 – Review planned actions and issues:** The process the authorised person performs to review the planned actions and issues and meet with the MDMO (if required).
- 8.5 – Prepare and issue IOA:** The process the PM and MDMO perform to prepare the SFR, draft, review and edit the IOA and issue the IOA to the authorised person.

## 8.2 Set up project team and EAP case

### 8.2.1 Set up project team

The MDMO (appointing delegate) performs the following steps.

Step	Action
1.	Form a new project team comprising: <ul style="list-style-type: none"> <li>CASA staff from relevant engineering specialty and/or</li> <li>project manager (PM) (certification engineer).</li> </ul>
2.	Advise the RSO to set up a new EAP case.

### 8.2.2 Record and allocate EAP case

When the DMO section initiates variations to an existing IOD, the RSO creates a new EAP Case (task number) in EAP and assigns the application to the MDMO.

**Note:** For more information on using the EAP system, refer to the [EAP OAS Case Management - Airworthiness and Engineering Branch \(AEB\) Handbook](#) and Section 6.2.7 in [Principle \(DEL.01\) Appointing aircraft design approval-related authorised persons](#).

## 8.3 Assess documentation

### 8.3.1 Request and review documentation

The MDMO and PM perform the following steps.

Step	Action
1.	The MDMO organises a meeting of the new project team to review and discuss the variation. A staff member from a relevant engineering specialty may be allocated (as required).
2.	The PM requests documentation from the authorised person (if required).
	<p><b>Note:</b> The scope and speciality of the IOA may not be currently substantiated by the authorised person's documentation and currency of capabilities.</p>
3.	The MDMO and PM review and assess the documentation to determine variations.

### 8.3.2 Determine recommendation

The MDMO performs the following steps.

Step	Action
1.	At the completion of the documentation review and assessment, confirm a recommendation: <ul style="list-style-type: none"> <li>regarding the scope of the variation</li> <li>as planned actions for the authorised person.</li> </ul>
2.	Contact the authorised person and: <ul style="list-style-type: none"> <li>inform them of the planned actions</li> <li>forward the supporting documentation.</li> </ul>

## 8.4 Review planned action and issues

### 8.4.1 Review planned action

The authorised person performs the following steps.

Step	Action
1.	Review planned action and supporting documentation.
2.	Return a response to the MDMO within 4 weeks.

### 8.4.2 Meet with authorised person

The MDMO performs the following steps.

Step	Action
1.	Meet with the authorised person (if required) to address the issues.

## 8.5 Prepare and issue IOA

### 8.5.1 Draft IOA details

The PM performs the following steps.

Step	Action
1.	Draft details of the IOA (in consultation with the MDMO) incorporating the required variations.

The MDMO performs the following steps.

Step	Action
2.	Forward the draft IOA details (with variations) to the authorised person for review and comments. The authorised person should return a response to the MDMO within 4 weeks.
3.	Inform the authorised person of the appeal procedures.
4.	Address any comments provided by the authorised person.

### 8.5.2 Review draft IOA and SFR

The PM performs the following steps.

Step	Action
1.	Prepare draft IOA in EAP and SFR.
2.	Submit SFR to the MDMO through RMS.

The MDMO (appointing delegate) performs the following steps.

Step	Action
3.	Review draft IOA in EAP and SFR.
4.	Liaise with the PM regarding any edits, if required.
5.	Sign the SFR and upload to RMS.
6.	Assign task in EAP to RSO with instructions to issue IOA to the authorised person.

### 8.5.3 Finalise entry control

The PM or MDMO performs the following steps.

Step	Action
1.	Advise the RSO to finalise the EAP case.

The RSO performs the following steps.

Step	Action
2.	Finalise EAP case as per EAP procedures in the <a href="#">EAP OAS Case Management - Airworthiness and Engineering Branch (AEB) Handbook</a> .



## 9. Entry control – Variation application process (authorised persons)

### 9.1 Overview

This section describes the DMO section's entry control activities related to an authorised person applying for and being considered and assessed by CASA for a change (variation) to an existing IOA.



Refer to:

- Section 7 in [Principle \(DEL.01\) Appointing aircraft design approval-related authorised persons](#) for details of DMO activities related to managing an initial application for appointment to exercise aircraft design approval-related powers.
- Section 8 in this principle document for the DMO section's entry control activities related to CASA's initiation of variations to an appointment to exercise aircraft design approval-related powers.

### Variations initiated by an authorised person

Variation comprises processes related to the DMO section's review and assessment when an authorised person requests specific changes to their existing IOA to amend specific elements. Variations to an IOA can include:

- addition of an authorised person
- removal of an authorised person
- name change to the business or the IOA holder
- change to scope
- addition of speciality
- change to limitations
- addition of another authorisation.

The variation of the IOA:

- will depend on the applicant's qualifications, experience, and in certain cases, employment arrangements
- is at the discretion of the DMO section and will be considered on a case-by-case basis.

Table 7 includes a summary of the specific assessment requirements to be applied to the variation application process based on the type of variation the authorised person is requesting.

**Table 7. Assessment of variations to IOAs based on variation type**

Type of variation (change)	Resume required?	Samples of work required?	Interview to be conducted?
Addition of person	Yes	Yes	Yes
Removal of person	No	No	No
Name change to the business	No	No	No
Change to scope	Yes	Yes	PM (certification engineer) to decide in consultation with MDMO.
Addition of speciality	Yes	Yes	PM (certification engineer) to decide in consultation with MDMO.
Change to limitations	Yes	Yes	PM (certification engineer) to decide in consultation with MDMO.
Addition of another authorisation	Yes	Yes	PM (certification engineer) to decide in consultation with MDMO.

**Note:** In some cases, the candidates may hold an IOA with one organisation and then move over to another. In this case, formal assessment may not be required, provided there is no change in the scope of authorised functions.

## Variation process

The variation application process includes the following sequence of operational activities (at Figure 5) that incorporate the key steps:

- an authorised person performs to prepare and submit their application for variation to an existing IOA
- the DMO section performs to record, review and assess the application and approve the variation.

**Figure 4. Application process for variation to an existing IOA**

The variation application process for a change to an existing IOA to increase its scope incorporates:

- **9.2 – Submitting an application for variation:** The submission process through which an authorised person completes and submits an application form and required supporting documents (as evidence) to CASA to seek approval for a variation.
- **9.3 – Reviewing and assessing an application for variation:** The review and assessment process the DMO section performs to evaluate the application for variation in support of CASA's determination to issue, limit or not issue the variation to the IOA being sought.
- **9.4 – Preparing and issuing IOA:** The process the DMO section performs to manage the approval or rejection of the variation, issue the IOA certificate to the applicant and inform CASA Surveillance.

## 9.2 Submitting an application for variation

### 9.2.1 Variation application administration and processing

All application requests from an aircraft design-related authorised person for variation to an existing IOA are received, assigned, tracked and processed by regulatory services officers (RSOs) in the Entry Control and Coordination (ECC) team from the Regulatory Oversight Division (ROD) (acting as DMO administrative support through the IOA application process).

To ensure consistency, all CASA personnel involved in the application process follow standard administrative processes through a regulatory services (regservices) task workflow, in the Enterprise Aviation Processing (EAP) system.

**Note:** For detailed EAP procedures, refer to the [EAP OAS Case Management - Airworthiness and Engineering Branch \(AEB\) Handbook](#). Also refer to Section 6.2.7 in [Principle \(DEL.01\) Appointing aircraft design approval-related authorised persons](#), for details of application administration and processing.

## 9.3 Reviewing and assessing an application for variation

When an application for a variation is received, the RSO creates a new EAP Case (task number) in EAP and assigns the application to the MDMO for an initial review. The review and assessment process includes the sequence of activities performed to review and evaluate an application from an authorised person for variation to an existing IOA. The process enables the DMO section to review and recommend or refuse variation. The review and assessment process incorporates:

- **9.3.1 – Review application:** The steps performed to review the application and supplied supporting documentation for the variation to ensure that all necessary information has been provided to CASA.
- **9.3.2 – Provide estimate and process payment:** The steps performed to confirm the cost estimate, advise the applicant and process and record the applicant's payment.
- **9.3.3 – Assess and evaluate application and supporting documents:** The steps performed to assess and evaluate the application and supporting documentation and suitability of the applicant (including conducting interviews if required) and determine if there is a need for the requested IOA.

### 9.3.1 Review application

The MDMO performs the following steps when they receive a new EAP case notification from the RSO to review a new application for a variation.

Step	Action
1.	Confirm if the applicant has provided all required information and supporting documents.
2.	Forward the application to an assigned project manager (PM) (certification engineer).

### 9.3.2 Provide estimate and process payment

The PM performs the following steps to determine an initial cost estimate for an application.

Step	Action
1.	Based on the information provided in the application form and supporting documentation, determine an initial estimate of the costs (fee) of processing the application for an IOA. The cost estimate is based on the time required to process the application at the hourly rate prescribed in the <i>Civil Aviation (Fees) Regulations</i> .
2.	Forward the final cost estimate (as hours) to the RSO.

The RSO sends the cost estimate to the applicant and processes payment as per Section 6.2.7.3 in [Principle \(DEL.01\) Appointing aircraft design-related authorised persons](#) and the [EAP OAS Case Management - Airworthiness and Engineering Branch \(AEB\) Handbook](#). When payment (or a purchase order) is received, the RSO assigns the case to the PM.

### 9.3.3 Assess and evaluate application and supporting documents

#### 9.3.3.1 Assess application

The PM performs the following steps to assess an application and supporting documents for a variation.

Step	Action
1.	Review the application for general qualifications, experience and training to ensure the applicant has the appropriate qualifications, knowledge and experience, as detailed in the appointment criteria for the specific IOA. Request the draft DAPM and samples of work from the applicant (if required for the level of variation requested).
2.	Assess the applicant's submitted DAPM and samples of work against the relevant document criteria. Request specialist input as required. If the draft DAPM and samples of work are: <ul style="list-style-type: none"> <li>not acceptable, proceed to step 3 to prepare a standard form of recommendation (SFR) for the MDMO to advise and discuss if refusal of the variation application is warranted.</li> <li>acceptable, proceed to step 6 to prepare for interview.</li> </ul>
3.	Prepare an SFR for the MDMO regarding the assessment of the DAPM and samples of work to confirm a possible recommendation to refuse the application.
4.	Discuss the SFR and options with the MDMO to confirm appropriate actions.

Step	Action
5.	<p>If the appropriate action is:</p> <ul style="list-style-type: none"> <li>to refuse the application: <ul style="list-style-type: none"> <li>inform applicant of the decision by email (cc. RSO)</li> <li>advise RSO by email to close the EAP case (task) and refund balance for cost estimate.</li> </ul> </li> </ul> <p>The MDMO can also perform this step.</p> <div style="border: 1px solid black; padding: 10px; margin-top: 10px;"> <p>The RSO finalises the EAP case and processes the refund of the cost estimate as per the <a href="#">EAP OAS Case Management - Airworthiness and Engineering Branch (AEB) Handbook</a> and <a href="#">Principle (DEL.01) Appointing aircraft design approval-related authorised persons</a>.</p> </div>

### 9.3.3.2 Prepare for and conduct interview

The PM performs the following steps to prepare for and conduct an interview (if required).

Step	Action
6.	Determine if an interview is required for the level of variation requested.
7.	<p>If an interview:</p> <ul style="list-style-type: none"> <li>is required, discuss selection of the interview panel with the MDMO and go to step 6.</li> <li>is not required, go to Section 9.3.3.3.</li> </ul>
8.	Liaise with the applicant and panel to determine a date for the interview.
9.	Send the interview questions to the applicant before the interview.
10.	Advise applicant of any required changes to their DAPM.
11.	<p>Conduct the interview by:</p> <ul style="list-style-type: none"> <li>following the interview format and guidelines in Annex A and Section 6.2.4 in <a href="#">Principle (DEL.01) Appointing aircraft design approval-related authorised persons</a></li> <li>recording comments and assessments.</li> </ul> <div style="border: 1px solid black; padding: 10px; margin-top: 10px;"> <p><b>Note:</b> It is critical that an authorised person is intimately familiar with the scope, limits and conditions stated on the IOA and has appropriate qualifications, knowledge and experience.</p> </div>
12.	Advise the applicant of required changes to DAPM, if not done previously.

### 9.3.3.3 Finalise assessment and prepare recommendation

The PM performs the following steps to finalise the assessment and prepare a recommendation.

Step	Action
13.	Prepare a report with a final recommendation for the application in consultation with the interview panel (and MDMO).
14.	Prepare the Standard form of recommendation (SFR) using the standard format.
15.	Draft the IOA in EAP if the recommendation is to issue the instrument.
16.	<p>Upload the SFR to RMS.</p> <p>Assign the EAP case to the MDMO (appointing delegate) for review with the RMS reference (as per EAP procedure).</p>

### 9.3.3.4 Approve recommendation

The MDMO performs the following steps to review and approve the PM's recommendation.

Step	Action
17.	Review PM's recommendation report, SFR and draft IOA in EAP.
18.	Consult with PM if edits are required, and subsequently incorporated.
19.	Approve recommendation, sign the SFR and upload the documents to RMS.
20.	If application for IOA is <ul style="list-style-type: none"> <li>approved:               <ul style="list-style-type: none"> <li>assign task in EAP to RSO/Administration with instructions to finalise cost recovery and issue the instrument</li> <li>go to step 22.</li> </ul> </li> <li>refused, go to step 21.</li> </ul>

The PM performs the following steps to refuse the application.

Step	Action
21.	Send letter/email to applicant advising them of refusal to issue an IOA.

### 9.3.3.5 Finalise entry control

The PM performs the following steps to finalise the EAP case.

Step	Action
22.	Enter the total final hours into the relevant section of the Regulatory Fee Estimator and provide final cost estimate to the RSO.

The RSO performs the following steps to finalise the EAP case.

Step	Action
23.	Reconcile the final cost estimate as per procedures in the <a href="#">EAP OAS Case Management - Airworthiness and Engineering Branch (AEB) Handbook</a> (i.e. If there is a difference between the actual costs incurred in assessing the application against the initial estimated costs).

## 9.4 Preparing and issuing IOA

The final process includes the sequence of activities the DMO section performs to prepare and issue the IOA (with variations) to the applicant, notify CASA surveillance and finalise entry control. The process for preparing and issuing an IOA to an authorised person with variations incorporates:

- **9.4.1 – Prepare and issue instrument:** The steps performed to prepare and issue the final IOA (with variations) to the applicant.
- **9.4.2 – Notify Surveillance:** The steps performed to notify Surveillance and add the variation details for the authorised person to the National Surveillance Selection Process (NSSP) to manage ongoing surveillance events.
- **9.4.3 – Finalise entry control:** The steps performed to finalise the initial entry control, application process and close the EAP case for the variation application.

### 9.4.1 Prepare and issue instrument

The RSO performs the following steps to prepare and issue the final IOA.

Step	Action
1.	Prepare the final IOA certificate for the EAP case file, incorporating any changes recommended by the MDMO/PM during their final assessment of the application.
2.	Send an email to the applicant with: <ul style="list-style-type: none"> <li>the final IOA (certificate)</li> <li>a statement of reason(s) for any variation to the original application.</li> </ul>

### 9.4.2 Notify Surveillance

The RSO performs the following steps to notify Surveillance when the IOA has been issued with variations.

**Note:** Although Surveillance is notified, most variations won't change any surveillance activities and there will rarely be any need to notify them.

Step	Action
1.	Notify Surveillance if: <ul style="list-style-type: none"> <li>an IOA has been re-issued with variations</li> <li>an application for an appointment is being cancelled due to no payment within 30 days</li> <li>the application is linked to a safety finding.</li> </ul> Send an e-mail to <a href="mailto:surveillance@casa.gov.au">surveillance@casa.gov.au</a> with the case number, job type, RMS reference and (if applicable) safety finding number.

The STO performs the following steps when they are notified that an IOA with variations has been issued to an authorised person.

Step	Action
2.	Access the Sky Sentinel system and enter details of the authorised person and the relevant IOA (and any specific conditions or limitations with the variations). New surveillance events can then be initiated for an authorised person based on planning in the NSSP annual planned surveillance schedule and planning meetings.

For more information, refer to the [National Surveillance Selection Process \(NSSP\) Manual](#) and [CASA Surveillance Manual](#).

### 9.4.3 Finalise entry control

The RSO performs the following steps to finalise the variation process.

Step	Action
1.	Finalise the EAP case as per procedures in the <a href="#">EAP OAS Case Management - Airworthiness and Engineering Branch (AEB) Handbook</a> .



# 10. Exit control – Cancellation process (CASA-initiated)

## 10.1 Overview

This section describes the DMO section's activities related to CASA's cancellation (revocation) of an authorised person's IOA.



### Circumstances that warrant cancellation

CASA may cancel (revoke) powers, for a variety of reasons including legislative changes, changes to industry needs, and as an outcome of enforcement processes. The following are some of the circumstances which may warrant CASA's revocation of or refusal to re-issue an aircraft design approval-related IOA:

- the authorised person is deceased
- the authorised person retires or changes employment – typically applies to an authorised person who works for a company and their instrument is tied with that company
- lack of care, judgement or integrity – when CASA finds the authorised person has not demonstrated the care, judgement or integrity necessary to exercise the delegation properly
- unsatisfactory performance – when CASA finds that the authorised person has not properly exercised or satisfactorily performed the duties of the authorisation.
- any other appropriate reason – any other reason considered appropriate by CASA.

Evidence of some of the above circumstances could have surfaced through an incident, an accident, a scheduled surveillance, field officer input, a special surveillance event or whistle-blower information.

An authorised person may also request (voluntary) cancellation of their appointment as an IOA. For more information on the supporting the DMO section's activities for a voluntary cancellation, refer to Section 11.

### Determining when to cancel

When determining whether to revoke (or recommend revocation of) an IOA based on performance-related issues, the DMO section may want to consider options to aid in improving the authorised person's performance to a satisfactory level. These options include:

- counselling them
- providing training
- recommending they obtain additional training
- closely monitoring their work activities for a determined amount of time
- reducing the authorised areas/functions.

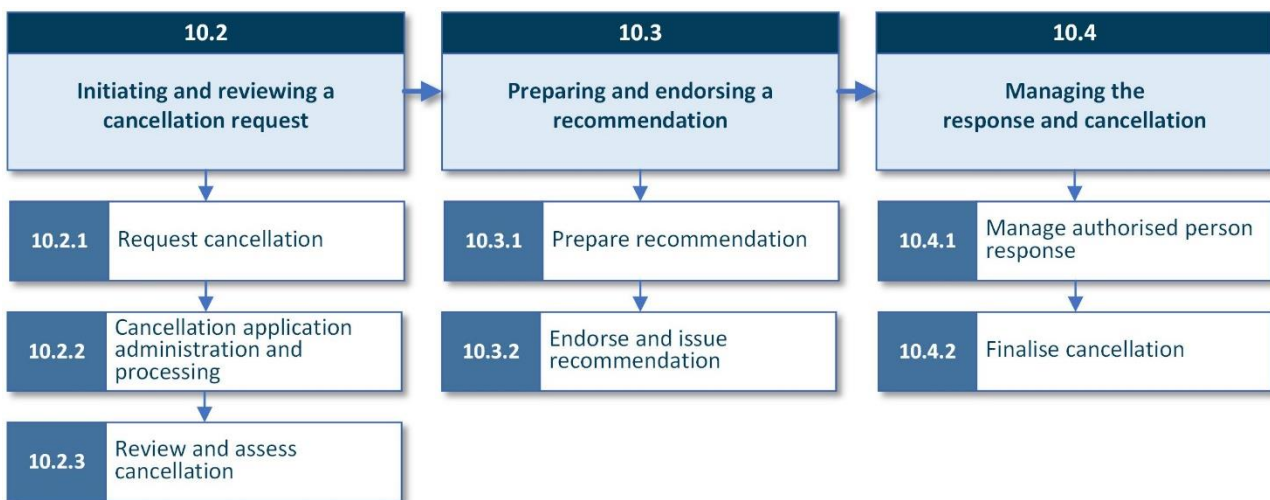


If the DMO section determines that the authorised person has not improved to CASA's satisfaction, then the IOA will be revoked (or a recommendation made for revocation). Authorised persons who have IOAs revoked based on misconduct will in general not be reappointed. Misconduct is taken to be when an authorised person deliberately contravenes the regulations or exercises their powers with reckless disregard for safety. When such circumstances prevail, and an aircraft design approval-related authorised person ceases participation in the EDAP lifecycle, the DMO section must ensure that the relevant exit control processes are undertaken.

## Cancellation process

The cancellation (revocation) process for an authorised person's IOA includes the following sequence of operational activities (at Figure 6) that incorporate the key steps:

- the DMO section performs to initiate, review, prepare, endorse and manage a cancellation
- an authorised person performs to respond to a notice of proposed action
- RSO perform to manage the cancellation request through its lifecycle.



**Figure 5. CASA-initiated IOA cancellation process**

The CASA-initiated cancellation process for an authorised person's IOA incorporates:

- 10.2 – Initiating and reviewing a cancellation request:** The process through which the MDMO requests a cancellation of an authorised person's IOA, the RSO sets up a new EAP case and the MDMO reviews the available information for the authorised person.
- 10.3 – Preparing and endorsing a recommendation:** The process the DMO section performs to prepare and endorse the final recommendation and issue the notice of proposed action.
- 10.4 – Managing the response and cancellation:** The process the DMO section performs to inform the authorised person, manage the response and finalise the EAP case and IOA cancellation.

## 10.2 Initiating and reviewing a cancellation request

### 10.2.1 Request cancellation

The MDMO performs the following steps.

Step	Action
1.	Confirm initial requirement for cancellation of an authorised person's IOA (based on the specific circumstances that warrant CASA's revocation). For example, the request for cancellation may be based on an accident or scheduled surveillance event.

Step	Action
2.	Send an email to the regulatory services officer (RSO) to: <ul style="list-style-type: none"> <li>initiate a request for cancellation</li> <li>set up EAP case.</li> </ul>

## 10.2.2 Cancellation application administration and processing

When an application for a cancellation is received, the RSO creates a new EAP Case (task number) in EAP and assigns the application to the MDMO for an initial review. All requests for cancellation of an aircraft design-related authorised person's IOA are received, assigned, tracked and processed by RSOs in the ECC team from ROD (acting as DMO administrative support through the IOA application process). To ensure consistency, all CASA personnel involved in the application process follow standard administrative processes through a regulatory services (regservices) task workflow, in the EAP system.

**Note:** For detailed EAP procedures, refer to the [EAP OAS Case Management - Airworthiness and Engineering Branch \(AEB\) Handbook](#). Also refer to Section 6.2.7 in [Principle \(DEL.01\) Appointing aircraft design approval-related authorised persons](#).

## 10.2.3 Review and assess cancellation

The MDMO performs the following steps.

Step	Action
1.	Review all available information and documentation related to the specific circumstances for the authorised person. This includes: <ul style="list-style-type: none"> <li>past surveillance reports</li> <li>incident or accident reports.</li> </ul>
2.	If there: <ul style="list-style-type: none"> <li>is a case to proceed with the cancellation, continue to step 4.</li> <li>not a case to proceed with the cancellation, finalise the request and inform RSO.</li> </ul>
3.	Allocate and forward the EAP case to a PM (certification engineer).

The PM performs the following steps.

Step	Action
4.	Refer the matter (together with MDMO) through the Enforcement and Investigations Case Management System (EICMS) to LIRA for a coordinated enforcement discussion regarding the basis of cancelling the IOA.

For more information, refer to the [Enforcement and Investigations Case Management System \(EICMS\) Procedures and User Guide](#).

LIRA perform the following steps.

Step	Action
5.	Assess the specific circumstances and documentation to determine a recommendation to continue or stop cancellation of the authorised person's IOA (based on regulatory conditions).
6.	Allocate and forward the legal recommendation to the PM.

## 10.3 Preparing and endorsing a recommendation

### 10.3.1 Prepare recommendation

The PM performs the following steps.

Step	Action
1.	Together with MDMO, review and follow legal recommendations from LIRA and devise a plan for proceeding with the specific circumstances.
2.	Draft: <ul style="list-style-type: none"> <li>an SFR and an amended IOA in EAP (in the case of an authorised person being removed from an IOA).</li> <li>a notice of proposed action.</li> </ul>
3.	Allocate and forward the SFR and notice of proposed action to the MDMO (appointing delegate) for review and endorsement.

### 10.3.2 Endorse and issue recommendation

The MDMO performs the following steps.

Step	Action
1.	Review the SFR, draft IOA (if applicable) and notice of proposed action.
2.	Liaise with the PM for any edits.
3.	Authorise and sign the SFR and notice of proposed action (indicating the date a response will be required (e.g. 21 calendar days)).
4.	Allocate and forward notice of proposed action to the RSO.

The RSO performs the following steps.

Step	Action
5.	Email the notice of proposed action to the authorised person and include the date by which a response is required. <div style="border: 1px solid black; padding: 10px; margin-top: 10px;"> <p><b>Note:</b> In line with procedural fairness principles, an authorised person retains the right to object to a finding by submitting supporting evidence for their objection. Once the objection has been considered by CASA, the objection is either upheld and the finding withdrawn, or the finding management process proceeds as normal.</p> </div>
6.	The authorised person reviews the recommendations. If they decide: <ul style="list-style-type: none"> <li>to address and respond to the cancellation, go to Section 10.4</li> <li>not to address and respond to the cancellation, the process is now complete.</li> </ul>

## 10.4 Managing the response and cancellation

### 10.4.1 Manage authorised person response

The RSO performs the following steps.

Step	Action
1.	Record the response from the authorised person in EAP and RMS.
2.	Allocate and forward the case and response from the authorised person to the PM.

The PM performs the following steps.

Step	Action
3.	In consultation with the MDMO and LIRA, consider the response from the authorised person and address any issues.
4.	If the final decision is to: <ul style="list-style-type: none"> <li>cancel the IOA, go to step 5</li> <li>cease proceedings, inform the authorised person of decision by email. The process is now complete.</li> </ul>
5.	Prepare initial cancellation letter
6.	Allocate and forward the case and cancellation letter to the MDMO to authorise.

The MDMO (in consultation with LIRA) performs the following steps.

Step	Action
7.	Draft the final cancellation (of IOA) letter and forward to LIRA for approval. Alternatively, request that LIRA draft the final letter.
8.	Allocate and forward the case and final cancellation letter to the RSO.

### 10.4.2 Finalise cancellation

The RSO performs the following steps.

Step	Action
1.	Email the final cancellation letter to the authorised person.
2.	Record final cancellation status, file notes and details in EAP. Upload a scanned copy of the cancellation letter and emails to the parent folder in RMS (IOA file held by the DMO section to store all emails and supporting documents).
3.	Notify Surveillance: <ul style="list-style-type: none"> <li>an IOA is being cancelled (or amended, in the case an authorised person is being removed from an IOA)</li> <li>regarding the specific circumstances that led to the cancellation (e.g. safety event).</li> </ul> Email <a href="mailto:surveillance@casa.gov.au">surveillance@casa.gov.au</a> with the case number, job type, RMS reference and (if applicable) safety finding number.
4.	Finalise EAP case as per the <a href="#">EAP OAS Case Management - Airworthiness and Engineering Branch (AEB) Handbook</a> .

# 11. Exit control – Cancellation process (voluntary surrender)

## 11.1 Overview

This section describes the DMO section's activities related to an authorised person's (or the relevant organisation's) request for cancellation (voluntary surrender) of their IOA.



### Voluntary surrender of an instrument

The authorised person may decide:

- they no longer wish to exercise the powers with which they have been appointed and/or
- not to renew their instrument once expired.

**Note:** A voluntary surrender does not preclude the individual from applying for another authorisation in the future. If an authorised person has been suspended with a pending termination for cause action, they may not submit a voluntary surrender.

The cancellation (revocation) process for an authorised person's request for voluntary surrender of their IOA includes the following sequence of operational activities (at Figure 7) that incorporate the key steps:

- an authorised person performs to request the cancellation
- the DMO section performs to review, prepare, endorse and manage a cancellation
- RSO perform to manage the cancellation request through its lifecycle.

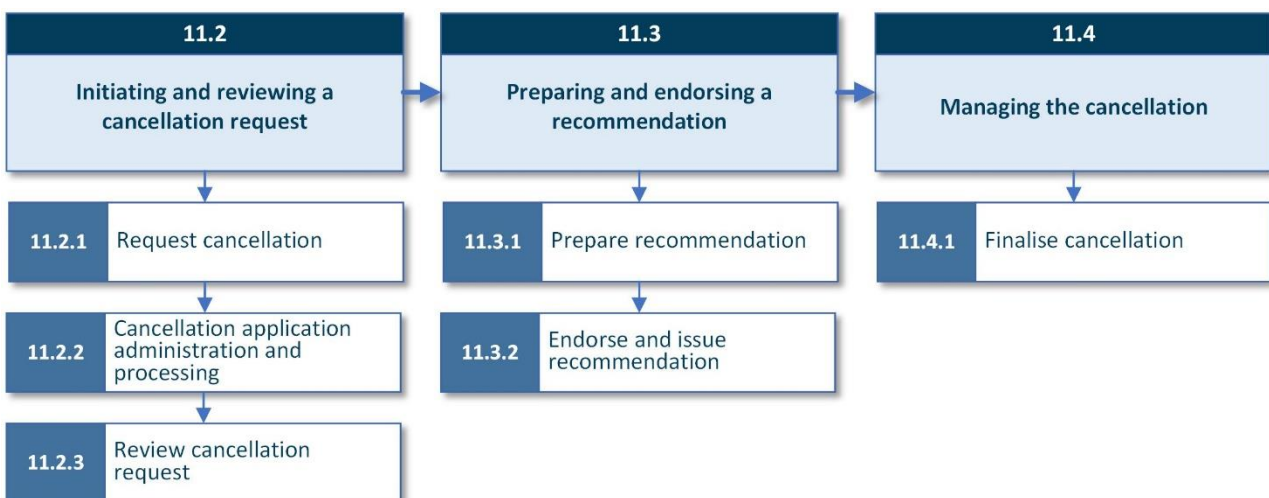


Figure 6. Cancellation process for the voluntary surrender of an IOA

The cancellation process for an authorised person's voluntary request to cancel their IOA incorporates:

- **11.2 – Initiating and reviewing a cancellation request:** The process through which the authorised person requests a cancellation of their IOA, the RSO sets up a new EAP case and the MDMO reviews the available information for the authorised person.
- **11.3 – Preparing and endorsing a recommendation:** The process the DMO section performs to prepare and endorse the final recommendation and issue the notice of proposed action.
- **11.4 – Managing the cancellation:** The process the DMO section performs to inform the authorised person, manage the response and finalise the EAP case and IOA cancellation.

## 11.2 Initiating and reviewing a cancellation request

### 11.2.1 Request cancellation

The authorised person performs the following steps.

Step	Action
1.	Send an email to the regulatory services officer (RSO) at <a href="mailto:airworthiness@casa.gov.au">airworthiness@casa.gov.au</a> to initiate a request for cancellation, stating the specific reasons for the request.

### 11.2.2 Cancellation application administration and processing

When an application for a cancellation is received, the RSO creates a new EAP Case (task number) in EAP and assigns the application to the MDMO for an initial review.

All requests for cancellation of an aircraft design-related authorised person's IOA are received, assigned, tracked and processed by RSOs in the ECC team from ROD (acting as DMO administrative support through the IOA application process). To ensure consistency, all CASA personnel involved in the application process follow standard administrative processes through a regulatory services (regservices) task workflow, in the EAP system.

**Note:** For detailed EAP procedures, refer to the [EAP OAS Case Management - Airworthiness and Engineering Branch \(AEB\) Handbook](#). Also refer to Section 6.2.7 in [Principle \(DEL.01\) Appointing aircraft design approval-related authorised persons](#), for details of application administration and processing.

### 11.2.3 Review cancellation request

The MDMO performs the following steps.

Step	Action
1.	Conduct a preliminary review of the request.
2.	Forward the application to an assigned project manager (PM) (certification engineer).

## 11.3 Preparing and endorsing a recommendation

### 11.3.1 Prepare recommendation

The PM performs the following steps.

Step	Action
1.	Draft: <ul style="list-style-type: none"> <li>• an SFR</li> <li>• a revised IOA (if only one authorised person is being removed from a multi-person IOA)</li> <li>• IOA cancellation letter</li> </ul>
2.	Allocate and forward the SFR and cancellation letter to the MDMO (appointing delegate) for review and endorsement.

### 11.3.2 Endorse and issue recommendation

The MDMO performs the following steps.

Step	Action
1.	Review the SFR, endorse the cancellation request and draft a cancellation letter.
2.	Liaise with the PM for any edits.
3.	Authorise and sign the SFR and cancellation letter.
4.	Approve the IOA in EAP (if applicable).
5.	Allocate and forward the SFR and notice of proposed action to the RSO.

The RSO performs the following steps.

Step	Action
6.	Email the cancellation letter to the authorised person.
7.	Provide a revised IOA to the prime organisation or individual (when only one authorised person is being removed from the IOA).

## 11.4 Managing the cancellation

### 11.4.1 Finalise cancellation

The RSO performs the following steps.

Step	Action
1.	Email the final cancellation letter to the authorised person.
2.	<ul style="list-style-type: none"> <li>• Record final cancellation status, file notes and details in EAP.</li> <li>• Upload a scanned copy of the cancellation letter and emails to the parent folder in RMS (IOA file held by the DMO section to store all emails and supporting documents).</li> </ul>
3.	Notify Surveillance: <ul style="list-style-type: none"> <li>• an IOA is being cancelled</li> <li>• regarding the specific circumstances of the request that led to the cancellation.</li> </ul> Email <a href="mailto:surveillance@casa.gov.au">surveillance@casa.gov.au</a> with the case number, job type, RMS reference.
4.	Finalise EAP case as per the <a href="#">EAP OAS Case Management - Airworthiness and Engineering Branch (AEB) Handbook</a> .



# 12. Bi-annual review process

## 12.1 Overview

This section describes the DMO section's activities related to the formal evaluation of the section's management of CASA's aircraft design approval-related authorised persons.



The bi-annual review provides the DMO section and CST with an opportunity to perform an analysis of the management of aircraft design approval-related authorised persons and the EDAP lifecycle, by:

- conducting a:
  - needs assessment
  - risk assessment
  - quality assurance review.
- creating an action plan.

**Note:** The DMO section are required to conduct a bi-annual review.

Following this process every 6 months provides an opportunity to:

- identify, document and evaluate specific requirements, risks, gaps and challenges
- monitor activities to support quality assurance, risk-based decision-making, continuous improvement, and an evidence-based approach
- ensure the needs of the DMO section reflect the current state of authorised persons and resources
- prioritise actions by their potential impacts, urgency, and available resources
- report on all findings to provide transparency.

## 12.2 The bi-annual review process

The process for the bi-annual review is detailed in Work Instruction (ORG.004) Bi-annual review for the Capability Support Team. This includes the steps for conducting a needs assessment, risk assessment and quality assurance review.

### 12.2.1 Initiating a bi-annual review

The bi-annual review is triggered by the CST and conducted by the DMO section every 6 months (in April and October) in alignment with CST reporting obligations and as recommended by the Monitor and Review process in the [CASA Risk Management Manual](#).



The CST coordinator sends a notification email to the MDMO with:

- a request for the DMO section to undertake their needs and risk assessment
- a due date for the DMO section's delivery of the final assessment results and action plan (aligned with the bi-annual review cycle) to the CST
- actions for the DMO section to perform if they cannot meet the due dates (this may include providing an alternate date).

### 12.2.2 Conducting a needs assessment

As part of the bi-annual review, the DMO section must conduct a needs assessment to identify and evaluate the specific requirements, gaps or challenges and ensure the section's needs reflect the current state of authorised persons and resources.

The DMO section performs the following steps to conduct a needs assessment when the MDMO receives a notification from the CST coordinator to initiate a bi-annual review.

Step	Action
1.	Collect data required for the assessment.
2.	Conduct a needs assessment to identify specific needs.
3.	Send a notification email to the CST coordinator when the needs assessment is completed.
4.	Capture the results of the needs assessment and include with the results of the risk assessment (at Section 12.2.3) in a new action plan (at Section 12.2.4).

The findings of the needs assessment are prioritised by their potential impact, urgency, and available resources and included in an action plan with the results of the risk assessment.

The analysis includes:

- **gap analysis** to assess the differences or 'gaps' between the authorised persons' current state and the desired future state (goals and benchmarks).
- **needs identification** using the outcome of the gap analysis to identify and define the specific requirements, desires, or deficiencies. Once the needs are identified, they can be prioritised and addressed through appropriate strategies or solutions.
- **needs prioritisation** by ranking the identified needs based on their importance, urgency, or impact. By prioritising needs, the focus will be addressing the most critical issues first and make efficient use of available resources.

The action plan should outline what resources are required, who is responsible for each aspect of the plan and the timeline for implementation.

### 12.2.3 Conducting a risk assessment

Risk assessments provide the identification, evaluation and prioritisation of potential risks or hazards to make informed decisions on how to manage or mitigate them.

The DMO section performs the following steps to conduct a risk assessment when the MDMO receives a notification from the CST coordinator to initiate a bi-annual review.

Step	Action
1.	Send a notification email to the CST coordinator to confirm the DMO section is ready to undertake a risk assessment: <ul style="list-style-type: none"> <li>• after reporting the outcome of the needs assessment to the CST coordinator</li> <li>• when the DMO section is ready to conduct a risk assessment.</li> </ul>

The CST coordinator:

- coordinates a bowtie risk assessment with the DMO section and Risk Oversight Section (ROS)
- sends a notification email to the DMO section (when ready) requesting the section commence their bowtie assessment.

Step	Action
2.	Conduct the bowtie risk assessment in collaboration with the Risk team.
3.	Sends a notification email to the CST coordinator when risk assessment is completed.
4.	Reviews controls (to manage any risks) with the Risk team.
5.	Capture the results of the risk assessment and include with the results of the needs assessment (from Section 12.2.2) in a new action plan (at Section 12.2.4).

**Note:** For more information on conducting a risk assessment, refer to Section 14 in this principle document, the [Risk Management Policy \(CRM\) Policy](#) and the [Risk Management \(CRM\) Manual](#).

## 12.2.4 Creating an action plan

The DMO section creates an action plan to capture any identified gaps, risks and needs and the planned approach required to address, implement and manage. The plan ensures the DMO section's specific needs reflect the current state of authorised persons and resources.

The DMO section performs the required steps to create an action plan following the needs and risk assessments.

Step	Action
1.	Create a new action plan based on the results of the needs assessment and risk assessment. The action plan should: <ul style="list-style-type: none"> <li>• identify and evaluate the specific requirements, gaps or challenges (needs)</li> <li>• prioritise findings by their potential impact, urgency, and available resources</li> <li>• outline the steps, controls, resources, responsibility and timeline required to address identified risks and needs and implement the plan.</li> </ul>
2.	Share the action plan with the CST coordinator and report the outcome of the needs and risk assessments.

Once the action plan has been implemented, the DMO section should:

- **monitor progress** – continuously track and assess the progress of the plan
- **evaluate results** – evaluate the effectiveness of the plan in meeting the identified needs
- **adjust and improve** – make necessary adjustments and improvements based on the evaluation
- **communicate** – keep stakeholders informed about progress and outcomes
- **document** – maintain records and documentation throughout the process.

## 12.2.5 Conducting a quality assurance review

Quality assurance reviews (checks) enable the CST to assess the DMO section's compliance with CASA's record management standards and procedures and ensure that any deviations or issues are identified and addressed. The CST coordinator coordinates, plans and schedules the quality assurance review in line with the bi-annual reviews. This also involves obtaining and preparing a Quality Assurance Review Checklist for the DMO section's review.

The DMO section should ensure they are prepared:

- for the review and have the necessary documentation and checklists
- to provide access to their relevant records and documentation.

The CST coordinator performs the following steps to conduct a quality assurance review.

Step	Action
1.	<p>Ensure the DMO section is prepared:</p> <ul style="list-style-type: none"> <li>• for the review and has the necessary documentation and checklists</li> <li>• to provide access to their relevant records and documentation.</li> </ul>
2.	<p>Conduct the quality assurance review using a Quality Assurance Checklist and criteria to ensure the DMO section's:</p> <ol style="list-style-type: none"> <li>a. compliance with CASA's:               <ol style="list-style-type: none"> <li>i. Information Management Manual</li> <li>ii. records management standards, policies, procedures and regulatory requirements</li> </ol> </li> <li>b. information and records align with CST requirements for undertaking its responsibilities</li> <li>c. documentation is current and aligns with the bi-annual review cycle</li> <li>d. progress in delivering records management strategies outlined in the organisation's plans.</li> </ol> <p>Also ensure any exceptions, such as security breaches or lost documents, are documented.</p>
3.	<p>Record the results of the review in the CST EDAP consolidated register, including:</p> <ul style="list-style-type: none"> <li>• any non-compliance, identified issues and exceptions</li> <li>• feedback and recommendations for improvement (corrective actions) to the DMO section</li> <li>• the specific plan and steps required to address and achieve compliance.</li> </ul> <div style="border: 1px solid black; padding: 10px; margin-top: 10px;"> <p>The CST manager is responsible for approving and assigning any identified corrective actions to responsible parties. Follow-up quality assurance reviews are then conducted to verify the implementation of the corrective actions and track improvements.</p> </div>

## 13. Risk assessment

## 13.1 Overview

This section describes the DMO section's activities related to managing operational level risks associated with the various operational functions and activities for aircraft design approval-related authorised persons.



Risk assessments provide the identification, evaluation and prioritisation of potential risks or hazards to make informed decisions on how to manage or mitigate them. The branch manager AEB owns and manages operational level risks associated with the various operational functions and activities for the DMO section and the oversight of aircraft design approval-related authorised persons.

To manage these risks, the DMO section undertakes risk assessments:

- with support and guidance from the [Risk Oversight Section](#) (ROS)
- in accordance with:
  - CASA's risk management framework
  - the CST's risk management process guidelines set in Principle (ORG.004) CASA guidelines for business units that manage and oversee external delegates/ authorised persons.

The CST facilitates, documents, and reports on risk assessments conducted by the DMO section. The CST's responsibilities include scheduling, and communication, ensuring a streamlined and effective risk assessment process.

## 13.2 Responsibilities

### 13.2.1 Branch manager airworthiness and engineering

The branch manager AEB owns and manages operational level risks associated with the various operational functions and activities for aircraft design approval-related authorised persons. The branch manager AEB (in collaboration with the MDMO) is responsible for:

- monitoring controls and implementing additional treatments
- ensuring that appropriate risk management practices are integrated into aircraft design approval-related business activity.

### 13.2.2 Design Management Oversight section staff

All DMO section staff associated with these operational functions and activities for aircraft design approval-related authorised persons, must be familiar with CASA's risk management (CRM) policy. In accordance with this policy:

- management of risk is the responsibility of all DMO section staff
- risk management activities are to be based on the best available information
- all risks are to be assessed in accordance with a standard methodology
- an emphasis is placed on continual improvement in risk management through the review and subsequent modification of processes, systems, resources, capability, and skills.

## 13.3 Design Management Oversight section-specific practices for risk assessment

### 13.3.1 Conducting a risk assessment

#### 13.3.1.1 Standards

The DMO section must assess and manage risks in accordance with the 8 steps described by the CRM Manual, with additional consideration of the Risk Management Process documented in Principle (ORG.004) Guidelines for managing and overseeing external delegates and authorised persons.

All aircraft design approval-related risk assessment and risk management practices, should, unless otherwise stated, be conducted in accordance with CASA's standard processes, including:

- the CASA:
  - [Risk Management Policy \(CRM\) Policy](#)
  - [Risk Management \(CRM\) Manual](#)
- any other documentation that is referenced within the CRM Policy or CRM Manual.

#### 13.3.1.2 Bowtie risk assessment

CASA uses Bow-tie XP software to conduct a bowtie risk analysis. Where required, ROS will facilitate the assessment. The bowtie analysis adequately addresses all known hazards, although the continuity of controls to minimise all known risks/hazards is highly dependent on the following factors:

- Relevant initial/recurrent training and mentoring for authorised persons
- A more standardised approach to the oversight of authorised persons
- Adequate staffing levels/structure of the DMO section
- Consultation prior to implementing any changes that may affect authorised persons.

For more information on conducting a risk assessment as part of the bi-annual review process, refer to Section 12.2.312.2.3.

### 13.3.2 Risk register

All risks identified within the DMO section related to the management of aircraft design approval-related authorised persons are to be documented in the DMO section risk register.

While ROS are responsible for the maintenance and administration of the risk register, the AEB section risk and control owners (as assigned) are responsible for providing updates to their respective risks and ensuring that risk reviews are completed within the assigned review period.

**Note:** Details on the procedures and use of the CASA aviation safety risk register are included in the CRM Manual.

### 13.3.3 Risk champion

The AEB Division risk champion is responsible to support the branch/division (and DMO section) with CASA and aviation safety risk management requirements. One of their roles is to support a positive organisational approach to risk management.

The risk champion:

- supports the identification and reporting of risk with the branch/division

- supports the branch/divisional management in the conduct of risk assessments, risk workshops and other risk related activities
- supports their branch/divisional management in the recording and maintenance of risks in the appropriate risk register
- liaises and proactively engages other staff in their respective branch/division to collect and share risk data
- communicates the CASA risk management policy to staff
- supports and promotes a positive risk culture within CASA
- contributes (in a review capacity) to the development of the risk management framework.

# 14. Quality assurance

## 14.1 Overview

This section describes the DMO section's activities related to ensuring that obligations are met in relation to CASA's Quality Assurance (QA) system and standards (e.g. record keeping).



## 14.2 Record keeping

### 14.2.1 Standards

The DMO section's record keeping philosophy and standards are aligned with CASA's Information Management requirements documented in CASA's [Information Management Manual](#).

All relevant communications (supporting documents and emails) through the IOA application process (regservices task workflow) and when managing aircraft design approval-related authorised persons, are to be stored in the CASA Records Management System (RMS). [How we manage information and records](#) in Horace outlines this process. All subsequent documents and emails are filed and referenced using the task number in the *subject* line.

All communications between CASA personnel and industry are stored in RMS, whether a regservices task or a general enquiry. If contact with industry was verbal, an email summarising the discussion should be forwarded to the contact person's email address and recorded in RMS.

Any phone calls made by any CASA officer to the applicant or other parties pertinent to the application may also be logged as a file note in the EAP Case. The following details may be recorded:

- nature of call
- to whom the call was made or received
- actions resulting from the call
- staff member who handled the call
- time and date of call.

### 14.2.2 Quality assurance reviews

Quality assurance reviews (checks) are conducted by the CST as part of the bi-annual review process (every 6 months) and enable the CST to assess the DMO section's compliance with CASA's record management standards and procedures and ensure that any deviations or issues are identified and addressed.

For more information on conducting quality assurance reviews as part of the bi-annual review process, refer to Section 12.2.512.2.3.

# 15. Reporting – Design and Manufacturing Oversight section data

## 15.1 Overview

This section describes the DMO section's activities related to ensuring that section-specific data is collected on authorised persons, and then transformed by the CST into actionable insights to facilitate accountability, improvement and communication.



## 15.2 Reporting to the CST

### 15.2.1 Responsibilities

In accordance with Principle (ORG.004) Guidelines for managing and overseeing external delegates and authorised persons, the DMO section will ensure:

- the section meets its reporting obligations to the CST
- data and information is transparent and accessible to stakeholders
- the reports offer insights and data analysis that aid in informed decision-making
- objectives are measured to confirm they are being met and responsibilities fulfilled
- important information is communicated to stakeholders
- potential risks are identified and managed, allowing for proactive risk management
- defects and areas where quality can be improved are identified and improved.

### 15.2.2 Authorised persons' data

The DMO section, in conjunction with the CST, collect, review and consolidate current details of appointed authorised persons who hold aircraft design approval-related authorisations. Current details of authorised persons are:

- captured and amended by the DMO section using the DMO (RBU) submission spreadsheet
- transferred by the CST to a manual register spreadsheet
- generated by the CST into the Power BI – Delegate report and the EDAP consolidated register.

The DMO section:

- reviews, validates and updates the DMO (RBU) submission spreadsheet
- reviews and validates the details of authorised persons in the final EDAP consolidated register.



**Note:** Each version of the DMO (RBU) submission spreadsheet completed by the DMO section is not changed by the CST before it is archived. This provides a continuous audit trail of the DMO section's authorised persons' details, and the amendments captured during each review.

Following this CST process:

- reduces repetition of data entry and minimises the amount of time and effort required to collate details of authorised persons
- enables efficient, central maintenance of details of authorised persons collected from the DMO section
- improves the CST's reporting and monitoring functions to inform decisions regarding aircraft design approval-related authorised persons.

For more details, refer to [Work Instruction \(ORG.004\) Updating the external delegates and authorised persons' consolidated register](#).

**Note:** From time-to-time, the CST may also request certain information from the DMO section to satisfy any reporting or information requests that have been made (such as by CASA's executive).

## 16. Revision history

Amendments/revisions for this principle are recorded below in order of the most recent first.

**Table 8. Revision history table**

Version No.	Date	Parts / Sections	Details
1.0	October 2024	All	First issue