

OFFICIAL



Australian Government
Civil Aviation Safety Authority

AIRWORTHINESS PROTOCOL

(AIM.05) - Alternate means of compliance (AMOC) and exclusions from an airworthiness directive

September 2024

OFFICIAL



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 2023.

1 Purpose

Airworthiness Directives (ADs) are legislative instruments used to require industry to take specific action to address an unsafe condition in an aircraft or aeronautical product. An unsafe condition is a condition which, if not corrected, is reasonably expected to result in one or more serious injuries.

While the AD requires a particular means of compliance, it may be possible to address the unsafe condition through other means. In such cases, CASA can approve an AMOC to the AD if the means of compliance are assessed as addressing the unsafe condition to at least an equivalent level of safety.

In some cases, an aircraft will be included in the applicability of an AD, but the unsafe condition cannot develop. In these cases, CASA can approve an exclusion of the aircraft from the AD.

2 Concept and philosophy

An AMOC or exclusion can only be approved if the risk of the identified unsafe condition is mitigated to an equivalent level of safety as that provided by the AD or the unsafe condition cannot develop. All approvals must include some degree of technical justification, typically provided from the type certificate holder or a CASR Part 21 approved organisation or person.

Applications that require an engineering review should initially be processed by Airworthiness and Engineering Branch (AEB). In some cases where a precedent can be established, subsequent applications for equivalent scenarios can be assessed and approved by a competent airworthiness inspector.

CASR 39.004(5) allows for the approval of an alternate method of compliance or for an aircraft to be excluded from an AD if a prior modification or repair can be shown to render the unsafe condition as non-existent and cannot develop. In such cases, previous modifications or repairs should be deemed as being an alternate means of compliance as opposed to the aircraft being excluded. The reason for this philosophy is to retain integrity of the aircraft records which shows that the aircraft has been modified in a manner which addresses the unsafe condition as opposed to the records showing that the aircraft is not applicable. This part of the philosophy should not add any extra burden of cost or time to the applicant as the process for an approval or exclusion should be the same.

3 Process

1. All persons assessing an application for an AMOC, or exclusion must be knowledgeable, familiar and competent with Airworthiness Principle (AIM.05) - Alternate Means of Compliance (AMOC) and Exclusions from an Airworthiness Directive.
2. Application Form CASA-04-4607 must be completed in full by the applicant prior to the initiation of a formal assessment.
3. Worksheet (AIM.05) provides the detailed steps for the complete assessment of an AMOC or exclusion. For an AMOC or exclusion approval, all steps must be confirmed by a competent Airworthiness Inspector, Airworthiness Engineer or delegate of CASA as satisfactory.
4. The approval of an AMOC or exclusion is provided by a person with current delegated power under regulation 39.004(2) of the Civil Aviation Safety Regulations 1998.
5. Worksheet (AIM.05) provides the detailed steps for the complete assessment of an AMOC or exclusion. All steps must be confirmed by a competent person as satisfactory (or otherwise) providing a complete history and evidence of compliance with CASAs requirements.
6. Following approval, Instrument Template (AIM.05) must be used for formal notification of the approval to the applicant.

4 List of supplements

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

- a. Airworthiness Principle (AIM.05) - Alternate Means of Compliance (AMOC) and Exclusions from an Airworthiness Directive.
- b. Worksheet (AIM.05) - Alternate Means of Compliance (AMOC) and Exclusions from an Airworthiness Directive.
- c. Instrument (AIM.05) - Alternate Means of Compliance (AMOC) or Exclusions from an Airworthiness Directive.
- d. Form CASA-04-4607 - Alternate Means of Compliance/Exclusion from Airworthiness Directive or exclusion from Part 90 provision

5 Scope

This protocol covers the technical aspects for assessing and approving an AMOC or an Exclusion against an Airworthiness Directive for an Australian aircraft under regulation 39.004 of CASR 1998.

Assessment of unsafe conditions and the administration of Airworthiness Directives are addressed in protocols AIM.02 and AIM.03 respectively.

6 References

6.1 Associated legislation

Table 1. Legislation associated with this protocol

Document	Title
CASR 39.004	Approvals and exclusions in relation to airworthiness directives

6.2 ICAO references

Table 2. ICAO references applicable to this protocol

Document	Title
Standards	<ul style="list-style-type: none"> Annex 8 Part II, Section 4.2.3
Guidance material	<ul style="list-style-type: none"> Doc 9670 Part III, section 9.4 & 9.5
Protocol questions	<ul style="list-style-type: none"> AIR 5.211 (CE-2) AIR 5.215 (CE-5) AIR 5.216 (CE-8)

7 Revision history

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

Table 3. Revision history table

Version No.	Date	Parts/Sections	Details
1.1	October 2022	All	Administrative review only
1.0	May 2020	All	First issue