

## **Certificates of Airworthiness Manual**

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This document contains guidance material intended to assist CASA officers, delegates and the aviation industry in understanding the operation of the aviation legislation. However, you should not rely on this document as a legal reference. Refer to the civil aviation legislation including the Civil Aviation Act 1988 (Cth), its related regulations and any other legislative instruments—to ascertain the requirements of, and the obligations imposed by or under, the law.

## Preface

As a Commonwealth government authority, CASA must ensure that the decisions we make, and the processes by which we make them, are effective, efficient, fair, timely, transparent, properly documented and otherwise comply with the requirements of the law. At the same time, we are committed to ensuring that all of our actions are consistent with the principles reflected in our Regulatory Philosophy.

Most of the regulatory decisions CASA makes are such that conformity with authoritative policy and established procedures will lead to the achievement of these outcomes. Frequently, however, CASA decision-makers will encounter situations in which the strict application of policy may not be appropriate. In such cases, striking a proper balance between the need for consistency and a corresponding need for flexibility, the responsible exercise of discretion is required.

In conjunction with a clear understanding of the considerations mentioned above, and a thorough knowledge of the relevant provisions of the civil aviation legislation, adherence to the procedures described in this manual will help to guide and inform the decisions you make, with a view to better ensuring the achievement of optimal outcomes in the interest of safety and fairness alike.

Shane Carmody  
Chief Executive Officer and  
Director of Aviation Safety

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# Glossary

## Acronyms and abbreviations

Acronym / abbreviation	Description
ABAA	Amateur Built Aircraft Acceptance
AC	Advisory Circular
ACR	Aircraft Register
AD	Airworthiness Directive
AFM	Aircraft Flight Manual
AEB	Airworthiness Engineering Branch
ASR	Aircraft Survey Report
AWI	Airworthiness Inspector
CofA	Certificate of Airworthiness
CoR	Certificate of Registration
CAO	Civil Aviation Order
CAR	<i>Civil Aviation Regulations 1988</i>
CASA	Civil Aviation Safety Authority
CASR	<i>Civil Aviation Safety Regulations 1998</i>
CMT	Certificate Management Team
EDRMS	Electronic Document and Records Management System
FOM	First of Model
FOT	First of Type
GFA	Gliding Federation of Australia
ICA	Instructions for Continuing Airworthiness
ICAO	International Civil Aviation Organisation
LSA	Light Sports Aircraft
NAA	National Aviation Authority
NPRM	Notice of Proposed Rule Making
POH	Pilot Operating Handbook
SFP	Special Flight Permit
STC	Supplemental Type Certificate
TC	Type Certificate
TAC	Type Acceptance Certificate
TACDS	Type Acceptance Certificate Data Sheet
TCDS	Type Certificate Data Sheet

## Definitions

Term	Definition
Aircraft flight manual (AFM)	A manual that is part of the certification basis of the aircraft, containing the operating limitations within which the aircraft is considered airworthy, and any other information required for the safe operation of the aircraft, including all amendments and supplements for that manual. (Source, CASR Dictionary Part 2 Section 37 modified)
Amateur Built Aircraft Acceptance (ABAA)	An Amateur Built Aircraft Acceptance means a document given by CASA or an authorised person as a type approval for an amateur-built aircraft. (Source, CASR Dictionary Part 1 modified)
Airworthiness directive (AD)	(a) an Australian airworthiness directive; or (b) a foreign state of design airworthiness directive issued on or after 1 October 2009; or (c) for a model of aircraft that is first registered in Australia on or after 1 October 2009—a foreign state of design airworthiness directive issued before 1 October 2009 for that model or for an aeronautical product that is part of, or used in, that model. (Source, CASR 39.001A)
Airworthiness tag/release note (includes Class I engines and propellers)	In relation to a Class II product: a statement to the effect that the product meets the requirements applicable to it under CASR 21.331; or In relation to a Class III product: a statement to the effect that the product meets the requirements applicable to it under CASR 21.333.
Amateur-built aircraft	An aircraft of which the major portion has been fabricated and assembled by persons who undertook the construction project solely for their own education or recreation. (Source, CASR Dictionary Part 1, CASR 21.191(g) modified)
Certificate of airworthiness	A standard certificate of airworthiness or a special certificate of airworthiness. (Source, CASR Dictionary Part 1)
Class I product	A Class I product is a complete aircraft, aircraft engine, or propeller, that: (a) has been type certificated in accordance with the regulations and for which civil specifications or type certificate data sheets have been issued; or (b) is identical to a type certificated product specified in (a) in all respects except as is otherwise acceptable to the national aviation authority of the importing state. (Source, CASR 21.321(2)(a) modified)

Term	Definition
Class II product	A Class II product is a major component of a Class I product (for example, wings, fuselages, empennage assemblies, landing gears, power transmissions and control surfaces), the failure of which would jeopardise the safety of a Class I product; or any part, material, or appliance, approved and manufactured under an ATSO in the “C” series. (Source, CASR 21.321(2)(b) modified)
Contracting State	A foreign country that is a party to the Chicago Convention. (Source, subsection 3 (1) of the <i>Civil Aviation Act 1988</i> )
Ex-armed forces aircraft	(a) a version of an aircraft that has been manufactured in accordance with the requirements of, and accepted for use by, an armed force of any country (whether or not it has been used by such a force); or (b) a particular aircraft: (i) to which paragraph (a) does not apply; and (ii) that has been operated by an armed force of any country. (Source, regulation 132.010 of CASR)
Experimental certificate	An experimental certificate issued under CASR 21.195A. (Source, CASR Dictionary Part 1)
Export airworthiness approval	(a) for a Class I product—an export certificate of airworthiness or an authorised release certificate; and (b) for a Class II or Class III product—an authorised release certificate. (Source, CASR Dictionary Part 1)
Export certificate of airworthiness	For a Class 1 product, means a certificate to the effect that the aircraft meets the requirements referred to in CASR 21.329. (Source, CASR Dictionary Part 1 modified)
Foreign type certificate	A certificate for an aircraft, aircraft engine or propeller that is issued by the national aviation authority of a foreign country and is equivalent to a type certificate, but does not include a certificate for the aircraft, aircraft engine or propeller that is issued by the national aviation authority of a foreign country solely on the basis of a certificate for the aircraft, aircraft engine or propeller that is issued by the national aviation authority of another country and is equivalent to a type certificate. (Source, CASR 21.041 modified)
Kit-built aircraft	An aircraft in the primary category that meets the criteria of CASR 21.024(1)(a) and that was assembled by a person from a kit manufactured by the holder of a production certificate for that kit, without the supervision and quality control of the production certificate holder under CASR 21.184(1). (Source, CASR Dictionary Part 1, CASR 21.191(h) modified)
Major change	A major change is one that may have an appreciable effect on the weight, balance, structural strength, reliability, operational characteristics, or other characteristics affecting the airworthiness of an aircraft, aircraft engine or propeller. (Source, CASR Dictionary Part 1, CASR 21.093 modified)

Term	Definition
Market survey	The use of aircraft for purposes of conducting market surveys, sales demonstrations, and customer crew training only as provided in CASR 21.195 in relation to an experimental certificate. (Source, CASR 21.191(f) modified)
Minor change	A minor change is one that has no appreciable effect on the weight, balance, structural strength, reliability, operational characteristics, or other characteristics affecting the airworthiness of an aircraft, aircraft engine or propeller. (Source, CASR Dictionary Part 1, CASR 21.093 modified)
National Aviation Authority (NAA)	National aviation authority, for a foreign country: (a) means the authority that is responsible for regulating civil aviation in the country; and (b) includes: (i) the national airworthiness authority for the country; and (ii) if EASA carries out functions on behalf of the country—EASA; and (iii) for China, for matters relating to Hong Kong—the Civil Aviation Department of Hong Kong. (Source, CASR Dictionary Part 1)
Production certificate	A production certificate issued under CASR 21.134. (Source, CASR Dictionary Part 1, CASR 21.134)
Provisional certificate of airworthiness	A Class I or Class II provisional certificate of airworthiness. (Source, CASR Dictionary Part 1)
Recognised country	Recognised country means any of the following: (a) Canada; (b) France; (c) Germany; (d) Netherlands; (e) New Zealand; (f) United Kingdom; (g) United States of America. and also includes a reference to EASA, whether or not EASA is performing a function on behalf of a recognised country. (Source, CASR Dictionary Part 1, CASR 21.010A and 21.010B modified)
Research and development	Testing new aircraft design concepts, new aircraft equipment, new aircraft installations, new aircraft operating techniques, or new uses for aircraft in relation to an experimental certificate. (Source, CASR 21.191 modified)
Special certificate of airworthiness	(a) a certificate of airworthiness issued for: (i) an aircraft type certificated in the primary, intermediate or restricted category; or (ii) an aircraft in the limited category; or (iii) an amateur-built aircraft accepted under an ABAA; or (iv) a light sport aircraft covered by regulation 21.186; or (b) a provisional certificate of airworthiness; or (c) an experimental certificate. (Source, CASR Dictionary Part 1, CASR 21.175 modified)



<b>Term</b>	<b>Definition</b>
Special class	Special classes of aircraft (airships and other non-conventional aircraft), including the engines and propellers installed thereon, for which airworthiness standards have not been prescribed in the Regulations. (Source, CASR Dictionary Part 1, CASR 21.017(2) modified)
Special flight permit	A special flight permit issued under CASR 21.200. (Source, CASR Dictionary Part 1)
Special purpose operation	In relation to the issue of a certificate of airworthiness in the limited category, are operation listed in CASR 21.189(3). (Source, CASR 21.189 modified)
Standard certificate of airworthiness	A certificate of airworthiness issued for: (a) an aircraft type certificated in the normal, utility, acrobatic, commuter, or transport category; or (b) a manned free balloon; or (c) an aircraft in a special class of aircraft. (Source, CASR Dictionary Part 1, CASR 21.175 modified)
State of design	The State having jurisdiction over the organization responsible for the type design. (Source, CASR Dictionary Part 1, Annex 8 to the Chicago Convention)
Type acceptance certificate	A type acceptance certificate issued for imported aircraft certificated by the national aviation authority of a recognised country under CASR 21.029A. (Source, CASA Dictionary Part 1 and CASR 21.029A modified)
Type certificate	A type certificate, or foreign type certificate, for an aircraft, aircraft engine or propeller, includes a reference to the type design, the operating limitations, the type certificate data sheet, the applicable airworthiness standards with which the certificate records compliance, and any other conditions or limitations prescribed for the aircraft, aircraft engine or propeller under the CASR. (Source, CASA Dictionary Part 1 and CASR 21.041(2) modified)
Type certificate holder	The person or entity that holds and owns the certificate for an aircraft that has been issued by a NAA to certify that an aircraft type design has been determined to meet the applicable national airworthiness design code established under ICAO Annex 8. (Source, Annex 8 to the Chicago Convention)

Term	Definition
Type design	<p>The set of data and information necessary to define an aeronautical product type for the purpose of airworthiness determination to any later aeronautical product of the same type:</p> <ul style="list-style-type: none"> <li>(a) drawings and specifications contained in technical data approved for the aircraft, aircraft engine or propeller, and a list of those drawings and specifications</li> <li>(b) information on dimensions, materials, and processes necessary to define the structural strength of the aircraft, aircraft engine or propeller</li> <li>(c) airworthiness limitations section of the instructions for continued airworthiness</li> <li>(d) operating limitations and other information necessary for the safe operation of the aircraft, aircraft engine or propeller.</li> </ul> <p>(Source, ICAO Airworthiness Manual 9760, CASR 21.031 modified)</p>
Weight control officer	<p>A person holding an airworthiness authority issued under paragraph of CAR 33B(1)(e) to weigh aircraft and determine the centre of gravity of each aircraft for the purpose of determining requirements to control the centre of gravity during operation.</p> <p>(Source, CAR 33B(1)(e) and CAO 100.7 modified)</p>

## Revision history

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

Version No.	Date	Parts/Sections	Details
5.1	July 2017	Chapter 2	Amended eligibility of ex-armed forces aircraft for certain types of experimental certificates.
5.0	October 2016	All	Version 5.0 incorporates a complete rewrite of all content including regulatory references, organisational structures, forms and realignment of the procedures with regulatory requirements. Information not directly relevant to the procedures is removed.
4.1	November 2010	Table of Contents	Added Preface.
4.0	November 2009	All	Version 4.0 introduces a complete review of all regulatory and technical references to all chapters. In addition, a separate Special Flight Permit (SFP) manual has been created with associated procedures removed from this manual. Where appropriate, references to specific parts of the SFP manual have been added into this manual.
		Forms	All referenced forms have been reviewed for consistency with this manual and updated to reflect current legislative requirements.
3.5	September 2009	All	Updated approving manager
		Chapter 2	Added references to Aircraft Noise Certificate and updated addresses in Section 2.2.2 and Section 2.2.6
		Chapter 6	Added Contents of a Noise Certificate (Section 6.2.5)
		Form 933	Updated address
3.4	January 2006	Chapter 2	Added reference to Light Sports Aircraft in: Section 2.1.1 – under 2nd bullet point; Section 2.2.2 – last paragraph; Section 2.2.5 – last bullet point Section 2.2.6 – last bullet point.
		Chapter 3	Added new section 3.7 – Issuing Special Certificates of Airworthiness for Light Sports Aircraft.

Version No.	Date	Parts/Sections	Details
		Forms	Introduced four new forms: (LSA = Light Sports Aircraft) Form 681 – LSA Statement of Compliance Form 682 – Application for Special Certificate of Airworthiness or Experimental Certificate for LSA Form 683 – Production LSA Special C of A Checklist Form 684 – Experimental LSA Experimental Certificate Checklist.
3.3	August 2003	Chapter 3	Section 3.6.4, last subparagraph changed to reflect deletion of requirement to add a number to the Export CoA Form (Form 723), when completing it.
		Chapter 6	Section 6.2.4, Sample Form 723 updated.
		Form 723	Form 723 updated.
		Form 397	Form 397 updated.
3.2	December 2000	Part 1	Section 1.4: reference to 'Flight Manual' adjusted to 'Aircraft Flight Manual'.
		Part 2	Section 2.2.2: adjusted to remove forms 'not in use'. Section 2.2.3: step 9 of the flowchart adjusted to cross-refer to part 5. Flight Manual Management. Section 2.2.9: reference to 'Flight Manual' adjusted to 'Aircraft Flight Manual'. Section 2.2.12: text deleted—section now cross refers to part 5. Flight Manual Management. Section 2.2.16: row for 'Aircraft Flight Manual' added to table. Section 2.2.20: Note before step 2 deleted and step 2 changed. 2.1.1, 2.2.2, 2.2.7, 2.2.15 and 2.2.20: cross references to sample Certificates of Airworthiness and a sample Special Flight Permit in Part 6 added.

<b>Version No.</b>	<b>Date</b>	<b>Parts/Sections</b>	<b>Details</b>
		Part 3	Section 3.2.4: step 8 changed. Section 3.4.2: text under the heading 'Flight Manual' now refers to part 5. Flight Manual Management. Section 3.5.3: 'Required Documentation' changed—requirement for flight manuals removed. Section 3.6.4: bullet points under the heading 'Flight Manual' changed. Section 3.6.1: cross-reference to the sample Export Certificate of Airworthiness in Part 6 added.
		Part 6	Title changed to '6. Sample Documents' to accommodate sample Certificates of Airworthiness (Standard, Special and Export) and a sample Special Flight Permit.
3.1	December 1999	Part 2	Section 2.2.3: deleted references to CAO 101, CAR 22 and 22A (revoked). Section 2.2.6: deleted references to Car 24(2)(a) and CAR 25(1)(a) (revoked) replaced with references to CASR 21.2A, 21.176 & 21.195A. Section 2.2.14: deleted reference to CAO 105,106,107 Section 2.2.16: deleted reference to CAR 22
		Part 4	Sections 4.1.1 and 4.1.2 deleted reference to CAR 26, replaced with references to CASR 21.181, 21.195B, 21.217
3.0	June 1999	All	Manual converted for online delivery on the website
	October 1999	Part 5	Addition of Part 5. Flight Manual Management
2.0	September 1998	All	New version under the new title <i>Certificates of Airworthiness and Special Flight Permits Procedures Manual</i>
1.0	May 1996	All	New manual titled <i>Certificate of Airworthiness Procedures Manual</i>

# 1. Introduction to Certificates of Airworthiness

## 1.1 Purpose and Background

### 1.1.1 Purpose of the Manual

The purpose of the manual is to describe the procedures for the issuing of certificates of airworthiness (CofA) by CASA officers. The procedures described in this manual encompass all CofA issued under the *Civil Aviation Safety Regulations 1998* (CASR), including standard and special CofA (issued under CASR Part 21 Subpart H and I) and export CofA (CASR Part 21 Subpart L).

The manual is applicable to CASA employees only. Industry-authorized persons are required to meet the requirements in the *Industry Delegates Management Manual*. However, this manual may assist those industry-authorized persons to establish and maintain their own relevant procedures to meet the requirements of the *Industry Delegates Management Manual*. The flow chart in Figure 4 of Annex B is specifically included for industry-authorized persons.

### 1.1.2 Background – International Obligations

As a signatory to the *Convention on International Civil Aviation 1944* (Chicago Convention) Australia is expected to uphold the airworthiness requirements set out in the several Articles of the Convention. In particular, Article 31 states:

*Every aircraft engaged in international navigation shall be provided with a Certificate of Airworthiness issued or rendered valid by the state in which it is registered.*

Part II of Annex 8 (Airworthiness of Aircraft) to the Convention requires:

*3.2.1 A Certificate of Airworthiness shall be issued by a Contracting State on the basis of satisfactory evidence that the aircraft complies with the design aspects of the appropriate airworthiness requirements.*

### 1.1.3 Background – Legislative Basis

The requirements for airworthiness and operational standards that Australian aircraft must comply with are set out in the *Civil Aviation Act 1988* (the Act), *Civil Aviation Regulations 1988* (CARs) and the *Civil Aviation Safety Regulations 1988* (CASRs).

Section 20AA of the Act states:

*An Australian aircraft is not to commence a flight unless a certificate of airworthiness under the Civil Aviation Safety Regulations is in force in respect of the aircraft; or the Civil Aviation Regulations authorise the flight without the certificate.*

### 1.1.4 Purpose of CofA

A CofA demonstrates an aircraft complies with the applicable airworthiness requirements.

Under the CASR all aircraft require a CofA unless operated under a special flight permit.

There are two classifications of CofA:

- Standard CofA
- Special CofA.

Standard CofA are issued to aircraft that conform to a type design (demonstrated by the existence of a type certificate) and are in a condition for safe operations. Standard CofA may be issued in the following categories:

- transport
- normal
- utility
- acrobatic
- commuter
- manned free balloons.

Standard CofA are issued under CASR 21.176. Refer to Figure 1 for more details.

For further information about standard CofA see Advisory Circular (AC) 21-2 *Standard Certificates of Airworthiness*.

Special CofA are issued to aircraft that do not satisfy the criteria for a standard CofA, except for an export CofA. Special CofA may be issued in the following categories:

- primary
- intermediate
- restricted
- limited
- amateur (accepted under an ABAA)
- LSA
- provisional CofA
- experimental certificate.

Special CofA are issued under CASR 21.176 except provisional certificates which are issued under 21.216 and experimental certificates which are issued under 21.195A. Refer to Figure 2 for more details.

For further information about special CofA see AC 21-3 *Special Certificates of Airworthiness - Overview* and further ACs referenced within.

An export CofA is the term given to an export approval for a Class I product, and is considered a CofA for the purposes of this manual but is neither a standard nor special CofA. Export CofA are issued under CASR 21.324.

For more information about export CofA see AC - 21-17 *Export Airworthiness Approvals*.

# STANDARD

## Certificates of Airworthiness

Classification 21.175 – issued under 21.176

### 1. Transport

*Part 25/29 Airworthiness standards:  
FAR 25/29, CS-25/29*

- › Aeroplane
  - » Generally >5700kg
  - » Multi-engine
- › Rotorcraft
  - » Category A or B
  - » Generally >/≤ 9071kg
  - » Single or Twin engine

### 2. Commuter

*Part 23 Airworthiness standards: FAR 23, CS-23*

- › ≤ 19 pax
- › ≤ 8618kg
- › Multi-engine aeroplanes
- › Non-aerobatic

### 3. Normal

*Part 23/27 Airworthiness standards:  
FAR 23/27, CS-23/27, CS-VLA*

- › Aeroplane
  - » ≤ 9 pax
  - » ≤ 5700kg
  - » ASEPTA FAR23 ≥ Amdt 28
- › Rotorcraft
  - » ≤ 2750 amdt 37 – ≤ 3175
  - » multi-engine may qualify for Transport Category A
- › Non-aerobatic

### 4. Utility

*Part 22/23 Airworthiness standards: CS-22, FAR 23*

- › Sailplane (including powered)
  - » ≤ 2 pax
  - » ≤ 750/850kg
- › Aeroplane
  - » ≤ 9 pax
  - » ≤ 5700kg
- › Limited aerobatics
- › Increased structural load & dive speed than normal category
- › Aeroplanes, sailplanes & powered sailplanes

### 5. Acrobatic

*Part 22/23 Airworthiness standards: CS-22, FAR 23*

- › Sailplane (including powered)
  - » ≤ 2 pax
  - » ≤ 750/850kg
- › Aeroplane
  - » ≤ 9 pax
  - » ≤ 5700kg
- › Aerobatic

### 6. Manned free balloons

*Part 31 Airworthiness standards:  
FAR 31, CS-31HB, CS-31GB, (CAO 101.54, BCAR 31)*

- › Non-powered, lighter than air
- › Hot air or gas

### 7. Special Class

e.g. Airship, Tiltrotor

Figure 1: Standard Certificates of Airworthiness



# SPECIAL Certificates of Airworthiness

Classification 21.175 – issued under 21.176

## 1. Primary 21.184

*262AQ operating limitations*

- › Of simple design used for pleasure & personal use
- › ≤ 61kts stall
- › ≤ 1225/1530Kg (seaplanes)
- › ≤ 4 seats
- › unpressurised

## 2. Intermediate 21.184A

*262AR operating limitations*

- › Unique Australian
- › Extension of primary
- › Unpressurised
- › ≤ 61kts stall
- › ≤ 4 seats
- › ≤ 1750kg
- › Certain aerial work commercial ops

## 3. Restricted 21.185

*262AL operating limitations*

- › Special purpose ops for hire/reward e.g. Ag, water bombing, ex-military
- › Standard COA but modified for special purpose
- › No pax or cargo for hire or reward

## 4. Limited 21.189

*Part 132 Limited category aircraft (max 6)*

*262AN approved organisations*

- › Unique Australian
- › Historical/ex-military adventure flying
- › Exhibition
- › Mock combat
- › Replica aircraft
- › Parachute dropping
- › Hazardous recreation
- › Aerobatic flights, aerobatic training

## 5. Experimental 21.191-195B

*262AP(5) – over built up area*

*262AP(6) – other than day VFR*

- › Certificate not a CoA
- › Research & development
- › Showing compliance with Regs(flight testing)
- › Training applicant’s flight crew
- › Exhibition, airshow, productions–TV etc.
- › Air racing
- › Market surveys/demonstration
- › Operating amateur built
- › Kits built without PC supervision
- › Private ops of prototype
- › LSA

## 6. Light Sport Aircraft 21.186

*262APA operating limitations*

- › Simple, low performance for sport/recreation, training, glider towing
- › ≤ 600/650Kg (floats)
- › ≤ 45 kt stall. Max 2 seats
- › If powered; single/piston/propeller
- › Eg: fixed wing, powered parachutes, weight shift, gliders, balloons, gyro
- › Special CoA for production A/C
- › Experimental for Kit & non-compliant

## 7. Amateur built 21.190

*CAO 101.28 certification requirements*

- › Under an ABAA
- › > 50% built by the person for recreation/ education
- › ≤ 61kts stall
- › ≤ 1500Kg
- › ≤ 4 seats

## 8. Provisional Subpart 21.1

*262AO operating limitations*

- › Follows from provisional type

Figure 2: Special Certificates of Airworthiness

## 1.2 Responsibilities for CofA

### 1.2.1 Introduction

There are five stakeholder groups involved in the issue of a CofA:

- Industry applicants
- CASA Region Offices
- CASA Aircraft Registrar
- CASA Airworthiness Engineering Branch (AEB)
- CASA Delegate Management Unit.

Stakeholder responsibilities in broad terms are described in the following sections. Procedures for the issuing of a CofA and the responsibility of each stakeholder are described in section 2.

### 1.2.2 Industry Applicants

The applicant is responsible for:

- applying on the appropriate form
- paying the necessary regulatory service fee
- supplying the necessary instructions for continuing airworthiness (ICA) for the aircraft
- preparing the aircraft for inspection
- facilitating inspection of the aircraft by CASA and
- rectifying any deficiencies found.

### 1.2.3 CASA Region Office

The CASA Region Office is responsible for:

- receiving the application
- assigning the relevant Airworthiness Inspector (AWI) to action the ask
- accepting payment from the applicant
- assessing the ICA provided against the applicable airworthiness requirements
- conducting a physical inspection to ensure conformity of the aircraft with the ICA
- establishing any conditions that may apply to the CofA (if any), and
- issuing the CofA and forwarding the necessary documentation to the CASA Aircraft Registrar.

Typically, Region Offices hold the required delegation to issue all classifications and categories of CofA under CASR. However, this may vary from location to location depending on operational needs.

**Note:** Region Offices are also responsible for the oversight of industry delegates. This is outside of the scope of this manual.

### 1.2.4 CASA Aircraft Registrar

The CASA Aircraft Registrar is responsible for:

- registering aircraft upon receipt of an application for registration
- receiving the CofA data package from the CASA Region office
- registering the CofA package on the aircraft file in the CASA enterprise document management system and
- cancelling or amending aircraft registrations on request.

**Note:** Cancellation of an aircraft's registration invalidates an aircraft's CofA.

**Note:** Change to an aircraft's registration mark invalidates the CofA in the sense that the CoA will be referring to a different aircraft by mark – the CofA must be reissued to reflect the new registration mark.

### 1.2.5 CASA Airworthiness Engineering Branch

AEB is responsible for CASA airworthiness policy making in relation to all aspects of CofA. This includes CASR Part 21 through to Part 35, associated advisory material and management of this procedures manual.

Personnel within AEB hold the required delegations to issue all classifications and categories of CofA under CASR. By convention however, the branch generally only issues experimental certificates for the purposes of research and development and showing of compliance. In such cases, the branch processes a CofA in the same manner as a Region Office. Where the branch receives applications for other purposes or categories of CofA, these will typically be forwarded to the local Region Office for processing.

AEB supports Region Offices by providing type certificates, type acceptance certificates, certificates of type approval and other technical advice in non-standard circumstances, such as information on ABAA.

### 1.2.6 CASA Delegate Management Unit

The Delegate Management Unit is responsible for:

- checklists and forms associated with this manual
- provision of CofA training to CASA and industry delegates in conjunction with CASA Regulatory Technical Training
- content of the Industry Delegate Management Manual
- entry control procedures of industry delegates
- management of delegate management notification system.

## 2. Procedure for Issuing Certificates of Airworthiness

### 2.1 What this section contains

This section provides the staged process for issuing a CofA. CofA are issued according to the following process flow chart.

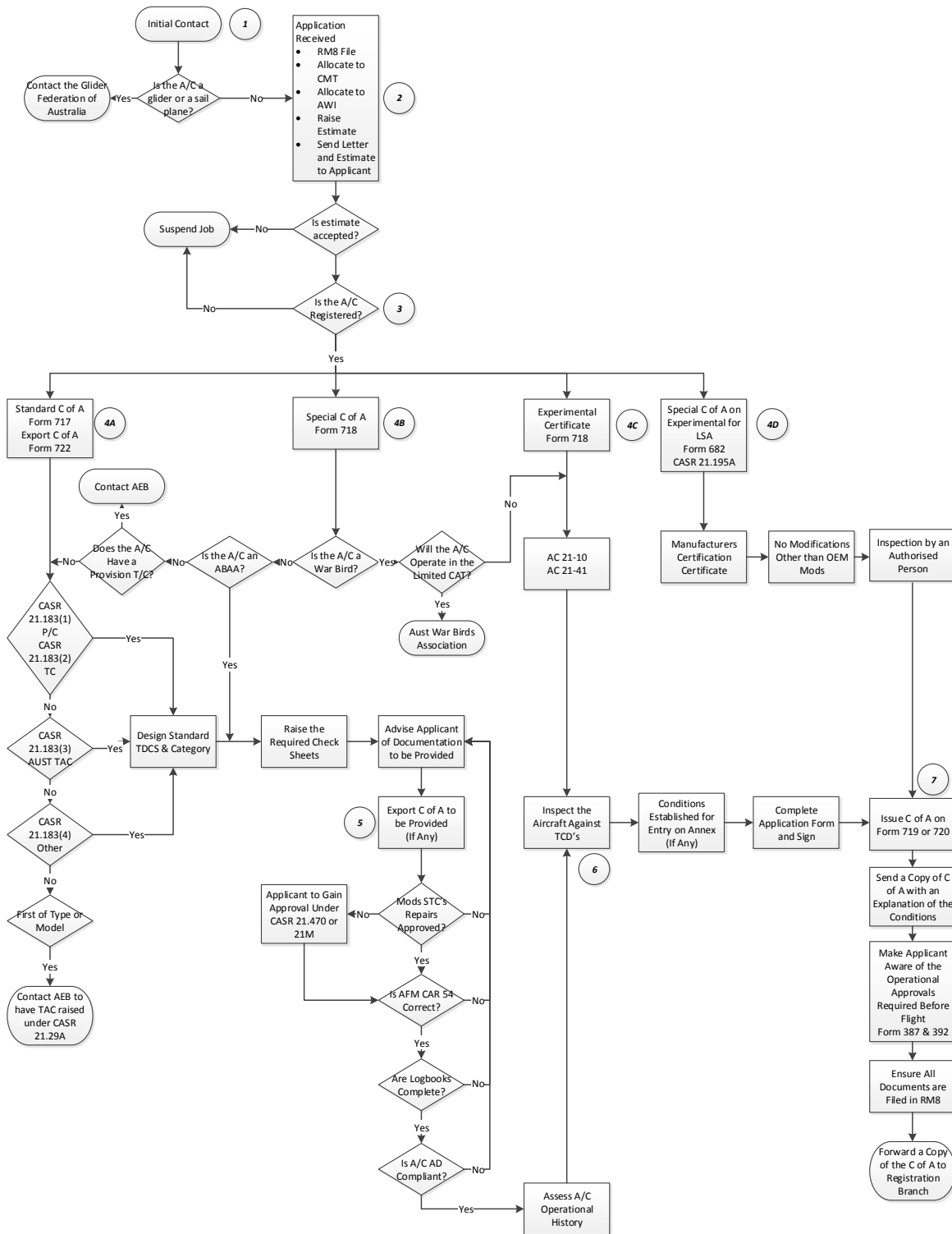


Figure 3: Process for issuing a CofA

## 2.2 Stage 1: Initial Contact

### 2.2.1 Initial Contact Guidelines

An applicant may apply to a Region Office to issue a CofA, Special CofA or an export CofA.

1. At the initial contact, the AWI should:
  - obtain contact information from the potential applicant
  - advise the applicant how to make an application
  - if the application is for a glider or sailplane, advise the applicant to approach the Gliding Federation of Australia (GFA).

## 2.3 Stage 2: Application

The applicant must submit the appropriate application for the task to the Region Office.

**Note:** Refer applicants to the CASA ACs for guidance on completing Form 717 – *Application for Issue of a Standard Certificate of Airworthiness*, Form 718 – *Application for Issue of a Special Certificate of Airworthiness* and Form 722 – *Application for issue of an Export Certificate of Airworthiness*.

### 2.3.1 Receipt of Application—Region Office Procedure

*Administration Officer*

1. When the application is received, create the Electronic Document Records Management System (EDRMS) file and allocate task to a Certificate Management Team (CMT).

*Certificate Team Manager*

1. If your Region Office is the controlling Region Office, assign an AWI to the application.

*Airworthiness Inspector*

1. After receiving the EDRMS reference containing the application, confirm that:
  - the Certificate of Registration (CoR) holder or a corporate official of the company authorised by law has signed the application form
  - all the required details are provided on the application form
  - all the required and recommended documentation has been submitted.

**Note:** CASA ACs provide guidance on the required and recommended documentation.

2. Send the applicant a formal estimate of the fee in line with the CASA cost recovery guidelines.
3. No further action is to be completed on this task until confirmation of payment has been made.

## 2.4 Stage 3: Registration

### *Airworthiness Inspector*

1. Ensure the aircraft has a valid CoR, if not suspend the task.
2. Determine which approval the applicant is seeking:
  - Standard CofA or Export CofA
  - Special CofA, or
  - Experimental Certificate.

## 2.5 Stage 4A and 4B: CofA and Export CofA Eligibility

### 2.5.1 Determine Eligibility Criteria

#### *Airworthiness Inspector*

- Does the aircraft have an Australian Type certificate (TC)?
- If yes, determine the design standard and operational category from the TC (CASR 21.183(1) or (2)).
- If no TC for the type or model been issued, has there been an Australian Type Acceptance Certificate (TAC) issued?
- If yes, determine the design standard and operational category from the TAC (CASR 21.183(3)).
- If no TAC has been issued, check that the type or model has previously been issued a CofA in the category applied for.
- If yes, determine the design standard (CASR 21.183(4)).

**Note:** AEB should be contacted for guidance in relation to an application for an aircraft under CASR 21.183(4).

- If the aircraft complies with one of the above criteria it is a first of type (FOT) or first of model (FOM). The applicant is to be advised that the aircraft must be issued a TAC under CASR 21.29A before any further work can be performed.
- If the aircraft is a FOT/FOM, AEB will contact the state of design and advise that the type or model has entered service in Australia.
- The CASRs do not require an Export CofA for the importation of aircraft into Australia. However, an applicant for the issue of an Australian CofA for an imported aircraft should be encouraged to obtain and supply an Export CofA or an equivalent document.
- The Export CofA or equivalent document should have been issued by the NAA. If this document is not available, the process for assessing the aircraft for CofA can still proceed.

## 2.5.2 Issuing of an Export CofA

The application is made using Form 722 - *Application for Issue of an Export Certificate of Airworthiness*. The documents to be submitted are referred to in this application form. Guidance for the issuing of the export certificate is detailed in the AC.

### *Airworthiness Inspector*

1. The AWI will follow the same processes as that of issuing a standard CofA.
2. The AWI must list on the export airworthiness approval, as exceptions, the requirements that are not met and the differences in configuration, if any, e.g. temporary ferry fuel systems and other installations for the delivery flight.

**Note:** An Export CofA does not constitute authority to operate the aircraft (CASR 21.325(2)). A Standard or Special CofA, or a SFP, is required if the aircraft is to be flown to the destination.

3. The AWI must certify the exporter's compliance with any special requirements of the importing country, including special conditions and/or additional conditions specified by the NAA of the importing country, unless a written statement is obtained from the NAA of the importing country and submitted with the application for export airworthiness approval, that the NAA will accept the deviation.

### **Compliance as at the date of issue**

The date of issue for an export airworthiness approval is the date the product was inspected by the AWI and found to comply with the pertinent requirements. An export airworthiness approval means that **as of the date of issue**, the product covered was found airworthy and in compliance with the applicable requirements.

### **Exporting LSA from Australia**

LSA being exported from Australia are not eligible for an export CofA.

## 2.6 Stage 4C: Experimental CofA Eligibility

### 2.6.1 Determine Eligibility Criteria

#### **Background**

Special CofA, which include experimental certificates, are issued to permit the operation of aircraft that do not meet the requirements of Annex 8 of the Chicago Convention – 'Airworthiness of Aircraft' or because of certain modifications that do not conform to their TCs, but are capable of safe operations under defined operating conditions and purposes.

Under CASR 21.191, CASA can issue experimental certificates to allow specific operations of aircraft which are not by their nature type certificated or have certain unapproved modifications embodied.

An ex-armed forces aircraft that has not been extensively modified for air racing and that has not been issued with a limited category CofA may be issued with an experimental certificate for the purpose of air racing but only for the duration necessary to participate in the specific event nominated by the applicant.



An ex-armed forces aircraft that has not been issued with a limited category CofA may be issued with an experimental certificate for the purpose of exhibition but only for the duration necessary to participate in the specific event nominated by the applicant.

**Note:** Under CASR 21.195B, CASA may specify an expiry date on an experimental certificate that is issued for exhibition or air racing. The owner/operator of an experimental aircraft is responsible for taking care to minimise safety risks and to be satisfied that the aircraft is reasonably capable to carry out flights without damage or injury to the aircraft and its occupants or to other property or persons whether in the air or on the ground or water.

If an aircraft is operating on a special CofA and the flight involves operations in the airspace of foreign countries, the operator of the aircraft must obtain special flight approvals from the appropriate authorities of each of those countries prior to undertaking the flight in their airspace.

### 2.6.2 Registration and Marking

Prior to application for issue of the experimental certificate, the aircraft must be registered.

In addition to the nationality and aircraft registration marks, as required by CASR Part 45, the following markings are also required:

- the aircraft registration identification plate must be attached to an accessible location near an entrance, where applicable
- the aircraft data plate with specific information imprinted on it must be fixed to the aircraft
- the word 'EXPERIMENTAL' must be displayed on the aircraft near each entrance to the cabin or cockpit in letters not less than 5 cm or more than 15 cm in height (CASR 45.125 refers).

For other than single seat aircraft, a warning placard must be displayed in the cabin or cockpit at a location in full view of all passengers, with the wording from CAR 262AP.

### 2.6.3 Issue of an Experimental Certificate

Prior to the issue of an experimental certificate, the AWI may require an inspection of the aircraft. The applicant should facilitate this on the understanding that such an inspection would only be required to resolve issues associated with the imposition of conditions or operational limitations necessary in the interests of other airspace users, and persons on the ground or water in consideration of the intended purpose(s). The inspection could be carried out by the relevant AWI, or by another entity, for example, an approved maintenance organisation or a Licensed Aircraft Maintenance Engineer, as directed by the authorised person or CASA officer.

### 2.6.4 Experimental Certificate Risk Assessment Requirements

The operation of experimental aircraft, especially those flown during the test phases of developmental or modification projects, can, by its very nature, involve elevated levels of risk.



## 2.6.5 Operating Conditions and Limitations

Conditions for operation of an aircraft for which a special CofA has been issued are included on the Annex to the certificate. They should be designed to fit the specific purpose(s) and situations that apply to the aircraft. The operating conditions that may be prescribed are found in the applicability chart in the relevant AC. CASA may impose any additional conditions as considered necessary in the interests of safety of other airspace users, and persons on the ground or water as per CASR 11.056. CASA should review each operating condition imposed, with the applicant, to ensure that they are fully understood by the applicant.

## 2.7 Stage 4D: Application for Special CofA for LSA

Application for a special CofA for an LSA should be made to a holder of an appropriate instrument of appointment using Form 682 - *Application for Special Certificate of Airworthiness or Experimental Certificate for Light Sports Aircraft*.

### 2.7.1 Issue of Special CofA for Production LSA

Production LSA are aircraft that have been manufactured solely by the aircraft manufacturer and delivered to the owner in a fly away condition. Aircraft can be manufactured in Australia or be imported from an ICAO signatory country.

For an AWI, the administrative processes for the issue of a CofA for other aircraft apply to the issue of a CofA for a LSA.

#### *Airworthiness Inspector*

Prior to the issue of a special CofA for a production LSA, the AWI must:

1. Obtain from the applicant the manufacturers CASA Form 681 Light Sport Aircraft Statement of Compliance.
2. Confirm the manufacturer has certified compliance with the requirements of a “qualified manufacturer” as specified in CASR 21.172.
3. Confirm the applicant has copies of the documents listed in CASR 21.186(1)(b)(ii).
4. Inspect the aircraft to ensure it is in a condition for safe operation.

**Ref:** CASR 21.186(2)

5. Confirm the aircraft complies with all safety directions (or like requirements) issued by the manufacturer, any airworthiness directive (AD) applicable to the aircraft, all applicable “GENERAL” and “EQUIPMENT” series Australian ADs and, if the aircraft is fitted with a certificated engine/propeller, all ADs issued against such certificated products.

**Ref:** CASR 21.172

6. Confirm any modifications or repairs to the aircraft have been approved by the manufacturer. An aircraft that incorporates modifications/repairs not approved by the manufacturer is not eligible for a special CofA under CASR 21.186 but is eligible for an experimental certificate.

**Ref:** CASR 21.186(1)(b)(ii)

7. For used aircraft, confirm that all maintenance has been carried out in accordance with the manufacturer's requirements and has been properly certified under the Australian regulations or, in the case of an imported aircraft, in accordance with the requirements of the exporting country.

**Ref:** CASR 21.186

8. For imported aircraft, verify the written information required by CASR 21.186(1)(b)(iii) has been provided.

9. Confirm the warning placard specified in CAR 262APA(2) has been fixed to the aircraft.

10. Once the AWI is satisfied the aircraft complies with the requirements for issue of a special CofA – light sport aircraft, the certificate can be issued.

**Ref:** CASR 21.186(1)(b)(iii)

11. If the Special CofA is subject to any conditions, such conditions shall also be listed on the annex.

**Ref:** CAR 262APA(2)

12. Forward a copy of the special CofA, the manufacturer's statement of compliance and the CofA checklist to the CASA Aircraft Registrar.

## 2.8 Stage 5: Documentation

### 2.8.1 Log Book Guidelines

The aircraft CoR holder is responsible for ensuring that:

- each part of a log book or approved alternative is completed according to the document instructions
- lifed components are properly recorded in the appropriate parts of the log book or approved alternative for the aircraft.

#### *Airworthiness Inspector*

1. Raise the relevant checklists to the aircraft type and category being assessed. Checklists are detailed in Appendix A to this manual.

2. Obtain a certificate number.

**Note:** Each Region Office currently has different procedures for issuing certificate numbers.

3. Request the applicant to provide the following records for assessment:

- Logs books (if applicable)
- AFM, however described
- AD compliance list
- details of modifications
- details of all repairs (dent and buckle charts etc.)
- details of STCs fitted

- Weight and Balance data sheet
- establish the electrical load capability of the aircraft
- cabin layout plan
- emergency equipment listing.

The documents provided are to be assessed for accuracy and completeness. Any discrepancy found is to be worked through with the applicant.

Details regarding previous operators of the aircraft, previous countries in which the aircraft was operated and details of all structural repairs to the aircraft, not carried out in accordance with the manufacturer's approved data should be reviewed. Any modification/repair that does not conform to the requirements detailed under CASR 21.470 must be assessed and approved by a CASR 21.M Authorised Person or A&EB.

## 2.8.2 Export CofA (Imported Aircraft) Guidelines

### Aircraft Imported into Australia

- The CASRs do not require an Export CofA for the importation of aircraft into Australia. However if an Export CofA, or an equivalent document, is not available then a written statement should be obtained from the aircraft manufacturer, or from a maintenance organisation with an appropriate approval for the type, notifying that all applicable state of design ADs have been complied with and the aircraft conforms to the type design.
- While this document is a source of information on the aircraft's history, it does not negate the need for the assessing person to review and complete all checks and assessment of the aircraft.

## 2.8.3 Export CofA (Imported Aircraft)—Region Office Procedure

### *Airworthiness Inspector*

1. Obtain a copy of the export CofA, or equivalent document or written statement, and review the claims made in this document.

## 2.9 Stage 6: Inspection of Aircraft

The AWI must inspect the aircraft and will advise the applicant to have the aircraft available for the inspection at a time and place suitable for this to be carried out. This inspection may require the removal of panels and equipment for access. The AWI should request the applicant to have the aircraft prepared for this inspection.

The AWI's inspection of the aircraft, for the issue of a standard CofA, is to confirm that the aircraft's physical condition is acceptable and is in a condition for safe operation. Photographs may be used to provide evidence that the aircraft meets its type design for the inspection.

### 2.9.1 Bona Fides of the Aircraft

The AWI must confirm that the aircraft is the one referred to in the paperwork provided by the applicant. This is achieved by physically checking the aircraft data plate against the information provided.

Items to be inspected are as follows in Table 1.

Table 1: Mandatory Inspection Items

Item	Legislation and Standards	Requirements
Aircraft data plate	CASR Part 45.D & MOS CASR Part 21.182	Installed and confirms aircraft details
Registration Marking	CASR Part 45.B CASR Part 45 MOS	Markings applied
Fire-proof plate	CASR Part 45.D CASR Part 45 MOS	Plate installed
Aircraft Flight Manual	CAR 54 TCDS	Applicable version for aircraft
Placards	Airworthiness Directives TCDS Maintenance Manual AFM/POH Modifications STCs LOPA	All applicable placards installed
Aircraft/engine/propeller airworthiness requirements	TCDS or TACDS or CTADS or ABAA as applicable	Check for conformity to published standards and valid amendment status
Weight and Balance	CAO 100.7 Section 3	Current Weight and Balance data sheet supplied.
Repairs/modifications and STCs	Conform to the requirements of CASR 21.470	Check the aircraft conforms to the data provided by the applicant.
FOT/FOM	CASR 21.29A	Ensure access to ICAs and AFM updates are available
Balloon Envelope, Burner and Basket	TCDS	As required

**Note:** The AWI should ensure that there are no exclusions/waivers or exemptions that may be applicable to the aircraft and have an effect on the assessment.

If there are any repairs or modifications without any approved documentary evidence identified during the inspection, or any other inconsistencies, the task should be suspended until such time such time as the condition is rectified.

The AWI must also assess the aircraft against the operational requirements to ensure the applicant is aware of any additional responsibilities prior to operating the aircraft. Table 2 provides a list of the requirements needed to operate an aircraft.

Other considerations that may affect the operation of the aircraft are life limited parts, traceability of aeronautical products, approved documentation, maintenance programs, airworthiness limitations items and certification maintenance requirements.

Table 2: Operational Requirements

Item	Legislation and Standards	Requirements
Aircraft Noise certification	<i>Air Navigation Act 1984</i> Air Navigation (Aircraft noise) Regulations.	Applicant must ensure conformity to the Act.
Aircraft Emissions Certification	<i>Air Navigation Act 1920</i> Air Navigation (Aircraft Emissions) Regulations	Applicant must ensure conformity to the Act.
Documents to be carried in Australian aircraft	CAR 139	Inform applicant of documents to be carried on board
Oxygen	CAO 20.4	
Emergency Equipment	CAO 20.11	
Other maintenance requirements	CASR Part 90 Part 90 MOS	
Basic Operational Requirements	CAO 20.18	
Aircraft instruments equipment and flight documents	AIP GEN 1.5	
Equipment VFR or IFR flight	CAR 174A & 177	
ADS-B	CAO 20.18	
Ground Proximity Warning	CAO 20.18	
RVSM	CAR DIV 5	
External lighting	CAR DIV 4	

**Note:** It is standard practice to assess the operational requirements and installed equipment for the intended operational role of the aircraft concurrently with the airworthiness assessment of the aircraft even though it may not be required for the issue of the CofA.

## 2.9.2 Maintenance Requirements—Region Office Procedure

### *Airworthiness Inspector*

1. Ensure that the regulatory requirements have been complied with for the cases of CofA mentioned in the guidelines below.
  - The CASRs specifically require maintenance to have been carried out for the issue of a CofA for certain cases under CASR 21.183(4) as follows:
    - Standard CofA for Other aircraft — the aircraft must:
      - comply with any applicable airworthiness directives issued by Australia and the state of design and
      - have been inspected for the issue of a maintenance release.

- The completion of an inspection for a maintenance release is a sound basis for establishing whether the aircraft is in condition for safe operation. The inspection for a maintenance release must be carried out by a Certificate of Approval holder approved to carry out maintenance on the type of aircraft involved.

### Conditions Applied to a Certificate

The AWI is permitted under CASR 11.056 to place any conditions on the issue of a CofA considered necessary in the interests of aviation safety. This may include operational limitations. Any condition will be in writing and attached as an Annex to the CofA.

**Note:** The CASA ACs have a number of suggested conditions that may be applied dependent on the purpose of the certificate.

### Multiple Airworthiness Certification

If a multiple airworthiness certificate has been applied for (category requested), for example in regard to the restricted category multiple certification, then the AWI will have ensured that all the requirements for restricted category operation were checked during the CofA inspection. In addition, ensuring the conversion from one category to the other by removing or adding equipment can be undertaken using simple mechanical means. The applicant may have to perform demonstrations in this respect to the satisfaction of the AWI.

This sub-process will be completed when the special CofA in the restricted category is issued concurrently with the standard CofA (refer to AC 21-6 *Restricted Category Aircraft - Certification*). A similar process applies for other multiple airworthiness certifications.

### Completion of the application process

The AWI must complete and sign all applications, checklists and certificates being issued, including assigning the certificate registration number.

**Note:** Annex 8 to the Chicago Convention (para 3.3.1) requires a CofA to contain certain information to be laid out in a particular manner. Form 719 - *Standard Certificate of Airworthiness* contains the necessary information and layout.

### 2.9.3 Provisional CofA

A provisional certificate may be issued for an aircraft that has not as yet been granted a TC but there is an expectation that one will be granted. The AWI processing an application for a provisional Special CofA must contact AEB before proceeding with the task. Once AEB have confirmed this is acceptable then the provisional CofA can be processed in the same manner as a standard CofA.

### 2.9.4 Special CofA for Limited Category

A special CofA for an aircraft may be issued in the limited category under CASR 21.189 If the applicant has an ex-military aircraft and seeks a special CofA in the limited category they should be directed to the Australian Warbirds Association. If there are any issues or any other scenarios contact AEB.

### 2.9.5 Manned Free Balloon

A manned free balloon consists of three components:

1. Envelope
2. Burner system and
3. Basket.

#### Requirements for Balloon Identifications

- The manufacturer's identification data is usually engraved on the crown ring of the balloon.
- A fire proof metal plate must be attached to the envelope.

#### Balloon Inspection

The balloon must be inspected in its complete state.

If no test inflation has been entered/certified in the balloon's log book, the inspection must include an inflation to ensure that the control cords are installed correctly and there are no obvious flaws in the balloon.

The inspection for issue of a CofA should include the presence/fitment of the thermal indicator.

**Note:** Only approved combinations of the three components (envelope, burner system and basket) may be fitted to a balloon. If the envelope is interchanged, the balloon is regarded as a new aircraft and, consequently, the CofA must be reissued.

### 2.9.6 Applications for a Special CofA for an ABAA

#### Applications Required

Two separate applications are required for each amateur-built aircraft accepted under an ABAA:

- the first application is for an experimental certificate for the purpose of test flying to show compliance
- the second application is for the Special Certificate of Airworthiness in the amateur built (ABAA) category.

### 2.9.7 Issuing the CofA for Amateur-built Aircraft accepted under an ABAA

#### Region Office Procedure

*Airworthiness Inspector*

1. An aircraft built under the ABAA does not meet any CASR type design requirements and will therefore not have a CASA TC or Type Certificate Data Sheet (TCDS).
2. On receipt of the file, contact A&EB and request the applicable ABAA for the aircraft in question.
3. Contact the builder and confirm:
  - the location of the aircraft and
  - that the aircraft is ready for a CofA inspection by CASA personnel.



4. Inspect the builder's records to confirm that approval to construct the aircraft was granted.
5. Conduct a final inspection, during which you must confirm that inspections at all stages during construction have been completed.
6. For aircraft requiring welding processes, confirm certification by a person holding an appropriate CASA Welding Authority.
7. Confirm that any variations from the ABAA and modifications — including any modifications resulting from the flight test — have been carried out in accordance with approved data.
8. Confirm that an experimental certificate for the purpose of 'show compliance' was issued for the flight test and obtain a copy of the certified final Flight Test Evaluation Report from the builder.
9. Advise the CoR holder that there is no CASA requirement for an AFM, and that the information to operate the aircraft is the responsibility of the CoR holder.
10. Issue the CofA, making sure that if the certificate is issued subject to conditions that an Annex stating the conditions is also issued with the CofA.

## 2.10 Stage 7: Issue the CofA

### 2.10.1 Issuing the CofA—Region Office Procedure

#### *Airworthiness Inspector*

1. Complete the CofA and annex where applicable, ensuring that all the details are correct and that the certificate is issued in the correct category designations and purpose.
2. Prior to sending the applicant the signed CofA, the AWI must ensure that any conditions are explained to the applicant and they understand these conditions.
3. Send the signed CofA, including Annexes where applicable, and any other associated documents to the applicant.
4. Ensure the applicant is made aware that the issuing of the CofA does not constitute a permission to operate the aircraft. The AWI must explain to the applicant the additional operational requirements as detailed in Table 2 of this manual

#### *Administration Guidelines*

- All documentation relating to the CofA must be placed on the appropriate EDRMS file in accordance with CASA procedures and policies (refer CASA's Information Management Manual).
- Copies of all documents relating to the issuing of a certificate are to be sent to the CASA Aircraft Registrar at [aircraftregistrar@casa.gov.au](mailto:aircraftregistrar@casa.gov.au) within seven days of completion. This may be accomplished by sending the appropriate electronic link.



## 3. Suspension/Cancellation of CofA

### 3.1 Introduction

#### 3.1.1 About this Section

This part provides the procedure:

- for suspending or cancelling a CofA
- for reinstating a CofA
- to use when the CoR has been cancelled or suspended
- to use when replacing a lost CofA.

#### 3.1.2 Responsibility for Suspending/Cancelling a CofA

The Region Office AWI, with delegation to exercise powers under CASR 21.181, 21.195B or 21.217, as relevant, who has reasonable grounds for believing that the safety of an Australian aircraft is in doubt, or who is satisfied that it is not safe to fly an Australian aircraft, is responsible for the suspension/cancellation of the CofA.

**Ref:** CASR 21.181, 21.195B and 21.217

Suspension/cancellation of a CofA should be done in consultation with the Region Manager responsible for the Region Office holding the aircraft file and conducted in accordance with CASA's coordinated enforcement process; refer CASA's Enforcement Manual.

## 3.2 Suspension/Cancellation of CofA Guidelines

### 3.2.1 Cancellation Guidelines

Cancellation of a CofA takes place when it has been established that:

- the aircraft has major structural issues or
- the aircraft has been destroyed or
- the situation is such that the aircraft is unlikely to fly again without major restoration.

### 3.2.2 Suspension Guidelines

Suspension of a CofA takes place:

- in cases of major non-compliance with the certification basis on which the CofA was issued or
- if there are a number of major defects on the aircraft that collectively could result in the safety of the aircraft being in doubt or
- if the aircraft's documentation is not at the correct status or has been falsified or
- in any other circumstances that cannot be corrected by normal procedures — that is, issue of a Class A aircraft survey report.

### 3.2.3 Reinstatement of a CofA after Suspension Guidelines

A suspension of a CofA may be revoked when the delegate is satisfied that the conditions that resulted in suspension no longer exist.

### 3.2.4 Issue of a CofA after Cancellation Guidelines

When a CofA has been cancelled the CoR holder must make a new application for issue of the CofA.

### 3.2.5 Issue a CofA after Suspension/Cancellation of a CoR

On suspension of the CoR, the CofA stops being in force:

- if the CoR is not suspended for an airworthiness-related requirement, the CofA can be considered to be reinstated on the lifting of the CoR suspension
- if the CoR is suspended for an airworthiness-related requirement, the information in 3.3.2 'Reinstating a Certificate of Airworthiness after Suspension' applies
- if the CoR is cancelled, the CofA is automatically cancelled. A new CoR and CofA is required.

## 3.3 Procedure for Suspension/Cancellation of a CofA

### 3.3.1 Suspending/Cancelling a CofA

*Airworthiness Inspector*

1. On becoming aware of a condition that could result in concerns about the safety of an aircraft (as specified in section 3.2 'Suspension/Cancellation of Certificates of Airworthiness Guidelines'), investigate the matter.
2. If satisfied that it would be more appropriate to suspend/cancel the CofA rather than take normal ASR action:
  - formally notify (in writing) the CoR holder and operator, if different from the CoR holder, advising him/her of the circumstances that resulted in the suspension/cancellation
  - in the notification, advise the CoR holder of what actions will be required to reinstate the CofA, if it is suspended.

### 3.3.2 Reinstating a CofA after Suspension

*Airworthiness Inspector*

1. If, after suspension of a CofA, the delegate is satisfied that the conditions that resulted in the suspension no longer exist, the AWI is to advise the CoR holder in writing that the suspension has been lifted.

### 3.3.3 Issuing a CofA after Cancellation

#### *Airworthiness Inspector*

1. The AWI treats the application as a normal application for a CofA:
  - using the procedures described in Chapter 2 'Processing Certificates of Airworthiness' and
  - giving special consideration to the reason for the cancellation.

### 3.3.4 Replacing Lost CofAs

#### **Replacing Lost CofA Guidelines**

Whenever a CoR holder becomes aware that the CofA for the aircraft is lost, he/she must make a formal request to CASA, accompanied by a statutory declaration, stating that the certificate is lost and that every attempt has been made to locate the certificate.

#### **Replacing Lost CofA—Region Office Procedure**

#### *Airworthiness Inspector*

The AWI of a Region Office will:

1. Advise the applicant of the fee in line with CASA's cost recovery guidelines.
2. Confirm receipt of payment prior to starting the task.
3. On receipt of the formal request and the statutory declaration, issue a replacement CofA (if holding a CASR 11.115 delegation).
4. Make sure that the covering letter to the CoR holder states that the CofA has been issued to replace the lost CofA dated {quote the date}.
5. Provide the date and details of the replacement document in the new CofA Annex.
6. Ensure that copies of all documents relating to the issuing of a certificate are to be sent the CASA Aircraft Registrar at [aircraftregistrar@casa.gov.au](mailto:aircraftregistrar@casa.gov.au) within seven days of completion. This may be accomplished by sending the appropriate electronic link.

## Appendix A. Forms

Form No.	Title
369	Certificate of Airworthiness Checklist 01A Aircraft Details - Manned Free Balloons Only
371	Certificate of Airworthiness Checklist 01B Aircraft Details - All Amateur-built Aircraft
372	Certificate of Airworthiness Checklist 02 Control Document
384	Certificate of Airworthiness Checklist 03 Amateur Built (ABAA) Category Aeroplanes
386	Certificate of Airworthiness Checklist 04 Aeroplanes with a maximum weight not exceeding 450 kilograms
387	Certificate of Airworthiness Checklist 05 Equipment Standards
388	Certificate of Airworthiness Checklist 07 Airworthiness Directive—Aircraft
389	Certificate of Airworthiness Checklist 06 Airworthiness Directives—Engines
390	Certificate of Airworthiness Checklist 08 Airworthiness Directives—Equipment
391	Certificate of Airworthiness Checklist 09 Process Control and Specifications
392	Certificate of Airworthiness Checklist 10 Operational Civil Aviation Orders
393	Certificate of Airworthiness Checklist 11A Aircraft Consolidated Checklist - Other than Manned Free Balloons and Amateur-built Aircraft
396	Certificate of Airworthiness Checklist 12 Certificate of Airworthiness Control Document
397	Certificate of Airworthiness Checklist 13 Export Certificate of Airworthiness Control Document
681	Light Sport Aircraft Statement of Compliance
682	Application for Special Certificate of Airworthiness or Experimental Certificate for Light Sports Aircraft
683	Certificate of Airworthiness Checklist – Production Light Sports Aircraft Special
684	Checklist – Experimental Light Sports Aircraft Experimental Certificate
717	Application for Issue of a Standard Certificate of Airworthiness
718	Application for Issue of a Special Certificate of Airworthiness
719	Standard Certificate of Airworthiness
720	Special Certificate of Airworthiness
722	Application for Issue of an Export Certificate of Airworthiness
723	Export Certificate of Airworthiness
767	Certificate of Airworthiness Checklist 01 Aircraft Details - Aircraft other than Manned Free Balloons and Amateur-built Aircraft
850	Certificate of Airworthiness Checklist 11B Aircraft Consolidated Checklist - Manned Balloons
851	Certificate of Airworthiness Checklist 11C Aircraft Consolidated Checklist - Amateur-built Aircraft

## Appendix B. Industry Flow Chart

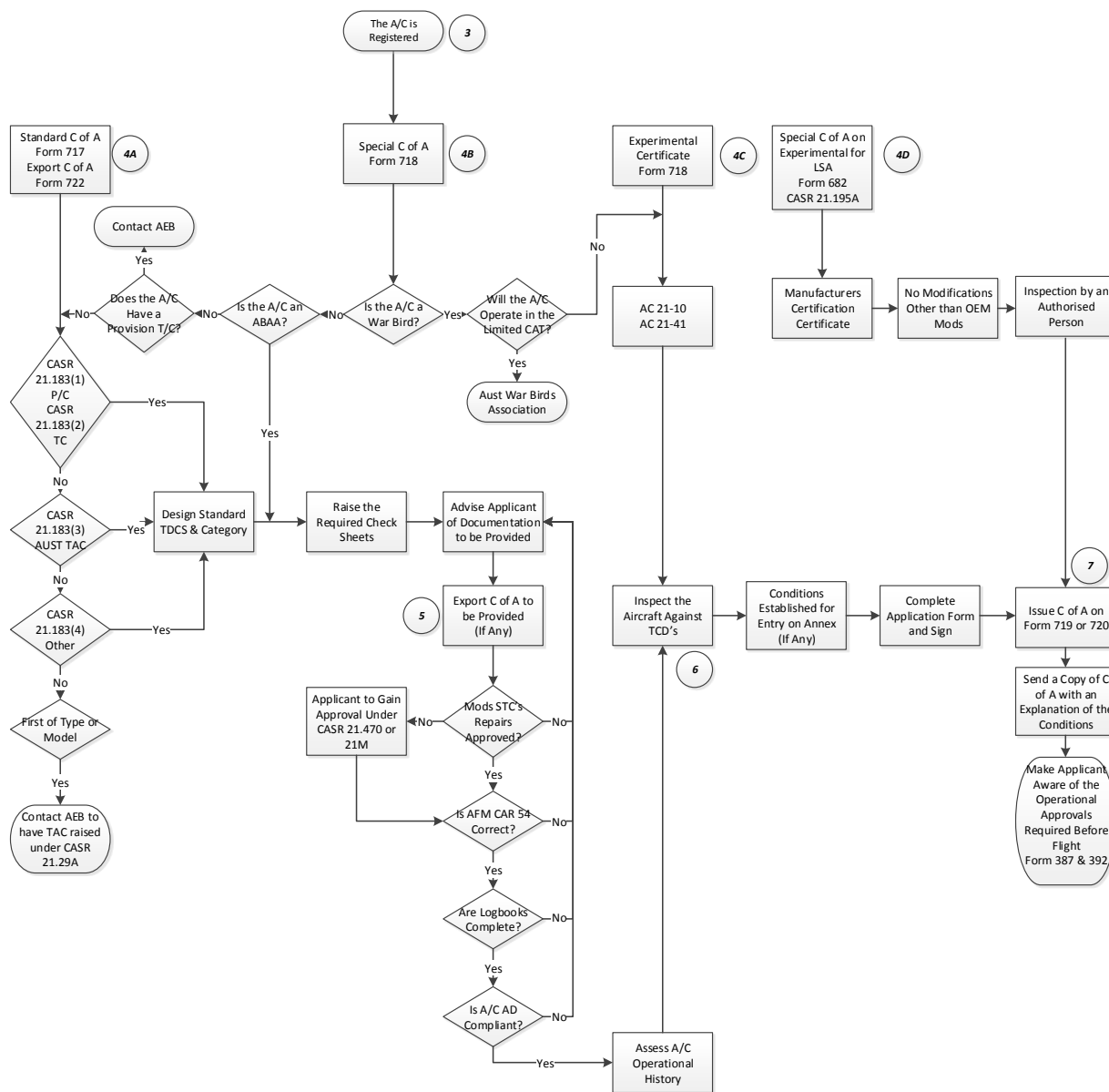


Figure 4: Industry Flow Chart

**Note:** This flow chart is based on Figure 3: Process for issuing a CofA, with CASA-specific administrative processes removed. It has been included to assist industry-authorized persons develop their own processes to meet the requirements for issuing CofA as required by the *Industry Delegates Management Manual*. Use of Figure 4 by industry-authorized persons is at their own discretion.