



FOR Transition 2 December 2022 Safety Management System Implementation Plan

Parts 119, 121, 133, 135 and 138 of CASR



Download this form before you begin

Please download and complete with Adobe Acrobat. If you're using a browser to complete this form you may lose your information. Send this form and any attachments to regservices@casa.gov.au.

Purpose of this form

Use this form, to submit to CASA, the safety management system implementation plan as part of the transition to Parts 119, 121, 133, 135, and 138 of CASR, specifically, to ensure compliance with sections 8 and 18 of *CASA EX87/21 – Flight Operations Regulations – SMS, HFP&NTS and T&C Systems – Supplementary Exemptions and Directions Instrument 2021*.

Who is this form for?

This form is for operators taking advantage of the SMS exemptions in Part 2 or Part 4 of CASA EX87/21.

Group 1 - An operator conducting operations under Part 119 who before 2 December 2021:

- (a) held an AOC, or was an early applicant for either an AOC or AOC variation, that:
 - i. authorised charter operations, or aerial work (air ambulance) operations
 - ii. did not authorise regular public transport operations
 - iii. did not authorise part 142 activities in an aircraft.
- (b) was not the subject of a direction under regulation 11.245 of CASR to have an SMS.

Group 2 - An operator who holds, or has been deemed to hold by the flight operations regulations transitional rules, an aerial work certificate under Part 138 and who is conducting any of the following:

- (a) aerial work operations transporting marine pilots
- (b) operations in either:
 - i. multi engine transport category rotorcraft with a maximum take off weight of more than 3,175 kg
 - ii. multi engine aeroplanes with a maximum take off weight of more than 5,700 kg
 - iii. turbine engine aeroplanes (other than turbine engine propeller driven aeroplanes).
- (c) operations prescribed by Chapter 5 of the Part 138 Manual of Standards (MOS).

An SMS for an operator in group 1 must encompass all their operations conducted under Part 119.

An SMS for an operator in group 2 must encompass all their operations conducted under Part 138, not just the operations that triggered the requirement to have an SMS.

An SMS for an operator who is in both groups must encompass all their operations conducted under both Parts 119 and 138.

Recommended reading

CASA recommends you review the latest revisions of:

- Parts 119, 121, 133, 135, and 138 of CASR (as applicable)
- Subpart 119.D & 119.F of CASR
- Division 138.B.6 of CASR
- Any specific risk related rules in the Parts 121, 133, 135, and 138 of the MOS (as applicable)
- AC 1-03 – Transitioning to the flight operations regulations
- AC 119-01 – Safety management systems for air transport operations (also relevant to aerial work only operators who must have an SMS).

Aviation Reference Number (ARN)

An ARN is required to complete this form.

If you are the applicant and you do not have an ARN, [apply now](#).

If you are applying on behalf of an organisation, you will need to have authority to act on the entity's (applicant's) behalf and be able to provide the organisation's ARN.

Contact details

It is important the contact details on the ARN profile are current. CASA uses these contact details when processing this application.

If your address, contact or other details have changed, you must update them online using [changing your details](#) prior to lodging this form.

Failure to provide up to date contact details to CASA could result in additional fees being charged under the *Civil Aviation (Fees) Regulations 1995* and may constitute a criminal offence.

Privacy

Any personal information you provide to CASA is protected by the *Privacy Act 1988*. CASA can only collect, use and disclose that information in accordance with that Act.

CASA will use the information collected in this form for purposes associated with performing its functions under civil aviation legislation and other Australian laws.

For full details on how CASA collects, protects and uses personal information, please refer to [CASA's Privacy Statement](#).

For more information

Go to the [CASA website](#) or [contact us](#).

Applicant

1 What are the **operator** details?

Your contact details must be current. Update your contact details via [changing your details](#).

Legal entity/full name

ARN

ABN/ACN (if applicable)

AOC number

CASA unique reference number

Phone number

Email address

2 Are you the **primary contact person** for this submission?

No → [Go to 3](#)

Yes → [Go to 4](#)

Contact person

3 What are the **contact person** details?

Contact details will be used for this application only, including any questions and/or fee estimates.

Full name

Position (Agent, Secretary)

Phone number

Email address

Safety Manager

4 Did your organisation hold a safety manager approval prior to 2 December 2021?

No → **Go to 6**

Yes

5 Is the currently approved safety manager for your organisation continuing in this position for the purposes of Part 119.D or 138.B.4?

No

Yes → **Go to 7**

6 Are you nominating a person to be the safety manager for your organisation?

No → **Go to 9**

Yes Provide details below

Nomination of a safety manager is not a requirement for this submission, however if you have a proposed nominee for the position, their details can be entered here.

Full name

ARN


Phone number

Email address

7 Does your nominated **safety manager** hold a current CASA approval as the safety manager for this entity?

No


Yes → **Go to 9**

 **Attach a copy of the current CASA approval**

8 Has your nominated **safety manager** previously held a safety manager approval?

No

Yes

 **Attach a copy of the current CASA approval**

9 Are you the holder of a certificate that authorises air transport operations?

No → **Go to 11**

Yes

10 What air transport operations is the certificate holder conducting under Part 119?

Part 121—Australian air transport operations—larger aeroplanes

Part 133—Australian air transport operations—rotorcraft

Part 135—Australian air transport operations—smaller aeroplanes

Part 138 Aerial work certificate holders

11 Are you a Part 138 aerial work certificate holder who conducts any of the operations listed below? Select all that apply.

No

Yes

Transporting marine pilots

Multi engine transport category rotorcraft with a maximum take off weight of more than 3,175 kg

Multi engine aeroplanes with a maximum take off weight of more than 5,700 kg

Turbine engine aeroplanes, other than turbine engine propeller driven aeroplanes

Operations prescribed by Chapter 5 of the Part 138 Manual of Standards.

Submission checklist

12 Select all that are attached:

Copy of current CASA approval for safety manager nominee (if applicable)

Copy of previously held CASA approval for safety manager nominee (if applicable)

SMS implementation plan

Other - additional supporting documentation attached. Please specify (list) additional documentation provided:

Declaration

By signing the Declaration, you indicate to CASA that you have read the guidelines, completed the application in full.

This application must be signed by:

- the individual applicant, or
- the Managing Director, company Director(s) or Chief Executive Officer if a company, or
- an agent appointed by a Power of Attorney

13 I (We) declare that:

- I am authorised to make this submission and hold the role indicated below.
- All statements in this submission are true and correct and I have read and understood all provisions of the *Civil Aviation Safety Regulations 1998* which are relevant to this submission.
- I understand CASA will use the currently held ARN details to process this submission and it is my responsibility to ensure all ARN details are correct prior to lodgment of this form.
- I consent to CASA using and disclosing my personal information in accordance with [CASA's Privacy Statement](#) including, exchanging the information with Commonwealth, State and Territory government agencies.
- I have attached all required documentation specified in the submission checklist.
- I acknowledge that to knowingly make a false or misleading statement in this submission is an offence against the *Criminal Code Act 1995*.

Full name

Signature

Date (DD/MM/YYYY)

/ /

In what capacity are you making this declaration?

For example: Self, Agent under a Power of Attorney

If signing as agent for the CEO or individual applicant, a copy of a Power of Attorney must be provided.



Attach Power of Attorney

Submitting this form to CASA



By email – send this form with all supporting documents attached to regservices@casa.gov.au.