

Part 140 Compliance Matrix

The Rule references in this compliance matrix have been extracted from the Civil Aviation Rules system as the minimum compliance requirements for an applicant for the issue or renewal of a Part 140 Aviation Security Service Organisation Certificate.

A completed compliance matrix must be submitted by the applicant for both initial certification and renewal. Additionally, the certificate holder should maintain an up-to-date compliance matrix to assist with on-going compliance and to support certificate amendment requests.

The purpose of the matrix is to speed up the certification process, ensure every applicable rule requirement has been addressed in the exposition and reduce the cost of certification by the quick location of required policies or procedures in the applicant's exposition manual suite.

All rules have to be complied with, but not every rule has to be addressed in the exposition. At least the following Rules must be included unless they are not applicable to the operation, in which case they should be annotated N/A. The intention of this matrix is to assist rather than instruct the applicant in an initial application or request for renewal. If, for your operation, compliance is required with a rule not listed in the matrix, please add it to the list and identify the exposition reference.

This matrix needs to be completed by every applicant for a Part 140 Aviation Security Service Organisation Certificate and show the exposition pages and paragraph numbers that satisfy the rules in the *Manual References / Applicant's Comments* column. Where the applicant does not meet the rule requirement or deems it not applicable, an explanation should be given in this column. **Please note ticks (ü) are not acceptable.**

The completed matrix should accompany the exposition documents and preferably be included as a component of the exposition. The applicant may submit a completed matrix in a different format as long as it includes all the rule references identified below; however, there may be additional processing time required by the CAA in cross-referencing requirements.

General Manual Layout and Distribution

Manual binder: Can the manual be amended easily? (Three- or four-ring binders are preferred: two-ring binders are not recommended as the pages are too easily torn). If permanently bound, do you intend to re-issue at every amendment? This may inhibit frequency of needed amendments.

Electronic exposition: Is the matrix included as part of the file(s)/disc? If so, is it up to date? Have you considered the methods for distributing to the CAA and how you will manage amendments?

Applicant:

Participant ID:

Manuals Submitted:

Rev.:

Dated:

	Applicant's Comments	CAA Comments (for CAA use only)
Rule Compliance Matrix		
Company Statement page, signed by the Chief Executive		
List of Effective Pages		
Record of Amendments		
Distribution List & copies to be numbered		
Contents Page		
Definitions & Abbreviations (not mandatory)		
On every page, headers and/or footers to include: (a) Company name (b) Name of the manual (c) Effective revision and date of the page (d) Page number		
Index (not mandatory but desirable)		

Rule Reference	Manual References / Applicant's Comments	CAA Review & Comments (for CAA use only)
140.61 Exposition		
140.61(a)(1)(i)-(ii) <i>CE statement</i>		
140.61(a)(2) [140.51(a)(1)&(2)] <i>List of senior persons</i>		
140.61(a)(3) [140.51(a)(1)&(2)] <i>Duties and responsibilities</i>		
140.61(a)(4) <i>Organisation chart</i>		
140.61(a)(5) <i>Locations and facilities</i>		
140.61(a)(6) [140.51(a)(3)] <i>Staffing structure</i>		
140.61(a)(7) <i>details of services</i>		
140.61(a)(8) [App. A22] <i>Scope of medical examination and method of assessment of fitness</i>		
Procedures 140.61(a)(9)(i)-(iv)	<i>For all exposition-based procedures use 140.53, 140.55, 140.57 and 140.59 sections below</i>	
140.61(a)(10) <i>Control of exposition</i>		
140.61(a)(11) <i>Security incidents</i>	<i>Refer Part 12 Occurrence Reporting section below</i>	
140.61(a)(12) <i>Detection of DG</i>		

140.103 <i>Changes to exposition</i>		
140.51 Personnel Requirements		
140.51(b)(1)(i)-(v) <i>Assessing ability</i>		
140.51(b)(2) <i>Designate aviation security officers</i>		
140.51(b)(3) <i>Training and maintaining competence</i>		
140.51(b)(4) <i>Written authorisation</i>		
140.53 Operations Procedures		
140.53(a) <i>Procedures to comply with App. A</i>		
140.53(b) <i>Procedures to comply with App. A.12(d)</i>		
<i>Refer to Appendix A of the rule for full details of the procedures required. If your organisation demonstrates compliance with this section of the rule in a separate manual or suite of manuals, provide the general references of the(se) manual(s) in the rows above.</i>		
140.55 Documentation Control Procedures		
140.55(a) <i>Availability of documentation</i>		
140.55(b)(1)-(4) <i>Documentation includes</i>		
140.55(c)(1) <i>Reviewed and approved</i>		
140.55(c)(2) <i>Availability at locations</i>		

140.55(c)(3) <i>Removal of obsolete documents</i>		
140.55(c)(4) <i>Changes reviewed and approved</i>		
140.55(c)(5) <i>Identification of revision status</i>		
140.55(c)(6) <i>exposition amended</i>		
140.55(d) <i>Exposition at each location</i>		
140.57 Records		
140.57(a) <i>Control procedures</i>		
140.57(b)(1) <i>Register of aviation security officers</i>		
140.57(b)(2)(i) <i>Legible and permanent</i>		
140.57(b)(2)(ii) <i>Retention period</i>		
140.57(b)(2)(iii) <i>Retention period</i>		
140.59 Internal Quality Assurance		
140.59(b)(1) <i>Security policy and procedures</i>		
140.59(b)(2) <i>Quality indicators</i>		
140.59(b)(3) <i>Corrective action</i>		
140.59(b)(4)		

<i>Preventive action</i>		
140.59(b)(5) <i>Audit programme</i>		
140.59(b)(6) <i>Management review</i>		
140.59(b)(7) <i>Access to CEO</i>		
140.59(c) <i>Understood and implemented</i>		
Corrective action		
140.59(d)(1) <i>Existing problems corrected</i>		
140.59(d)(2) <i>Follow up</i>		
140.59(d)(3) <i>Review of effectiveness</i>		
Preventive action		
140.59(e)(1) <i>Potential problems corrected</i>		
140.59(e)(2) <i>Follow up</i>		
140.59(e)(3) <i>Procedure amended</i>		
140.59(e)(4) <i>Review of effectiveness</i>		
Audit Programme		
140.59(f)(1) <i>Frequency and location</i>		
140.59(f)(2) <i>Independent trained auditors</i>		
140.59(f)(3)		

<i>Audit report</i>		
140.59(f)(4) <i>Preventive and corrective actions</i>		
140.59(f)(5) <i>Follow up</i>		
Management Review		
140.59(g)(1) <i>Frequency</i>		
140.59(g)(2) <i>Responsibility</i>		
140.59(g)(3) <i>Evaluation and recording of results</i>		
Part 12 Occurrence Reporting		
12.55(a)(5) <i>Notification of security incident</i>		
12.55(d)(5) [App A(e)] <i>Required information</i>		
12.57(a)(1) <i>Provide details</i>		
12.57(b)(1)-(3) <i>Means of providing details</i>		
12.59(1) <i>Conduct investigation</i>		
12.59(2)(i)-(iii) <i>Submit report to CAA</i>		
12.59(3) <i>Preventative action</i>		
List any other rules complied with:		

CAA Use

Assessed By:

Work Request:

Date received: DD / MM / YYYY Date accepted: DD / MM / YYYY

This matrix was established using the following Rule Part amendment statuses

12	Accidents, Incidents, and Statistics	Amendment 7	10 November 2011
140	Aviation Security Service Organisation Certification	Amendment 6	16 January 2013

Other rules or advisory circulars referred to during the assessment by Inspector