

Part 149 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 149 Aviation Recreation Organisation Certificate.

A completed compliance matrix must be submitted by the applicant for both initial certification and for 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 149 Aviation Recreation Organisation Certificate and show the exposition page 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 (✓) 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 binders: 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)
149.65 Exposition		
149.65(a)(1)(i) <i>CE statement</i>		
149.65(a)(1)(ii) <i>CE statement</i>		
149.65(a)(2) [149.51(a)(1)-(3)] <i>List of senior persons</i>		
149.65(a)(3) [149.51(a)(1)-(3)] <i>Duties and responsibilities</i>		
149.65(a)(4) <i>Organisation chart</i>		
149.65(a)(5) <i>Activities</i>		
149.65(a)(6) <i>Principal locations</i>		
149.65(a)(7) <i>Facilities</i>	<i>For all exposition-based facility requirements use 149.53 section below</i>	
Procedures 149.65(a)(8)(i)-(vii)	<i>For all exposition-based procedures use 149.51, 149.55, 149.57, 149.59, 149.61 and 149.63 sections below</i>	
149.65(a)(9) <i>Control of exposition</i>		
149.103 <i>Changes to organisation</i>		
149.51 Personnel Requirements		
149.51(a)(4) <i>Sufficient personnel</i>		
149.51(b)(1) <i>Assessing and maintaining</i>		

<i>competence</i>		
149.51(b)(2) <i>Exercise of delegation</i>		
149.51(b)(3) <i>Written authorisation</i>		
149.53 Facility Requirements		
149.53 <i>Appropriate facilities and resources</i>		
149.55 Documentation		
149.55(a) <i>Availability of documentation [incl. Human Factors]</i>		
149.55(b) <i>Procedure to control and amend</i>		
149.57 Records		
149.57(a) <i>Control procedures</i>		
149.57(b)(1) <i>QA records as per 149.63</i>		
149.57(b)(2) <i>Personnel records</i>		
149.57(b)(3) <i>Certificates and ratings</i>		
149.57(b)(4) <i>Legible</i>		
149.57(b)(5) <i>Retention period</i>		
149.59 Personnel Certification Procedures		
149.59(a)(1) <i>Competency</i>		

<i>assessment</i>		
149.59(a)(2) <i>Issue of certificates and ratings</i>		
149.59(a)(3) <i>Reviewing and maintaining competency</i>		
149.59(b) <i>Procedures to satisfy s.8, 9 & 10 of Act</i>		
149.61 Aviation Events		
149.61 <i>Compliance with Part 91</i>		
149.63 Internal Quality Assurance		
149.63(b)(1) <i>Safety policy and procedures</i>		
149.63(b)(2) <i>Quality indicators</i>		
149.63(b)(3) <i>Corrective action</i>		
149.63(b)(4) <i>Preventive action</i>		
149.63(b)(5) <i>Audit programme</i>		
149.63(b)(6) <i>Management review</i>		
149.63(c) <i>Understood and implemented</i>		
Corrective action 149.63(d)(1) <i>Existing problems corrected</i>		

149.63(d)(2) <i>Follow up</i>		
149.63(d)(3) <i>Procedure amended</i>		
149.63(d)(4) <i>Review of effectiveness</i>		
Preventive action 149.63(e)(1) <i>Potential problems corrected</i>		
149.63(e)(2) <i>Follow up</i>		
149.63(e)(3) <i>Procedure amended</i>		
149.63(e)(4) <i>Review of effectiveness</i>		
Audit Programme 149.63(f)(1) <i>Frequency and location</i>		
149.63(f)(2) <i>Independent trained auditors</i>		
149.63(f)(3) <i>Audit report</i>		
149.63(f)(4) <i>Preventive and corrective actions</i>		
149.63(f)(5) <i>Follow up</i>		
Management Review 149.63(g)(1) <i>Frequency</i>		
149.63(g)(2) <i>Responsibility</i>		
149.63(g)(3)		

Evaluation and recording of results		
149.63(h) Access to CEO		
Part 12 Occurrence Reporting		
12.51(a) Notification of accident		
12.51(b)(1)-(14) Details of notification		
12.53(a)(1)-(2) Provide details		
12.53(b)-(c) Flight crew member statement		
12.55(b)(1)-(2) Notification of incident		
12.55(c) Notification of airspace or bird incident		
12.55(d)(1)-(9) Required information		
12.57(a)(2)-(3) Provide details		
12.57(b)(1)-(3) Means of providing details		
12.101 Access to aircraft		
12.103(a) Preservation of records		
12.105 Retention of defective products and components		
List any other rules complied with:		

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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
149	Aviation Recreation Organisation Certification	Amendment 1	30 August 2007

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