

**Application requirements and instructions for completing the form**

- a) Refer to [AC100-1](#) Section 3 for the requirements of an Implementation Plan.
- b) Please ensure all documents are enclosed. The application will not be processed until all of the required documents have been received.
- c) Dates relating to the Implementation are:

	Group 1	Group 2
New Organisational Certificate applicants Implementation Plan to be submitted	At time of application	
Current Organisational Certificate Holders Implementation Plan to be submitted by	30 July 2016	30 July 2018
Date for Implementation, no later than	1 February 2018	1 February 2021

- d) An Implementation Plan is to:
  - include a proposed date for implementation
  - outline how the organisation plans to implement the system for safety management
- e) Further notes and instructions are included in the grey margins of this form and in the SMS Implementation Plan - acceptable means of compliance & guidance material; and SMS Implementation Plan and Date for Implementation Timeline diagram on pages 3 and 4
- f) Note: The CAA Standard Rate hourly charge applies for the assessment and approval of the Implementation Plan.

**1. Organisation Details**

<b>CAA Participant Number</b> (if known)		<b>Companies Office No.</b>	
<b>Legal Name of Organisation</b>			
<b>Trading name</b> (if any)			
<b>Implementation Plan relates to Organisational Certificate(s)</b>			

Only fill this part of the section if changes are being made or you are a new applicant.

**Address for Service**

The Civil Aviation Act, s8, requires applicants to provide an address for service in New Zealand (i.e. a physical address, not a P.O. Box) and to promptly notify the Director of any changes.

**Postal Address**

(if different from Address for Service)

<b>Post Code</b>	<b>Post Code</b>
<b>Tel</b>	
<b>Email</b>	

**Your reference**

**Details of the person who may be contacted for further information**

<b>Name</b>		<b>Position</b>	
<b>Tel</b>		<b>Mobile</b>	
		<b>Email</b>	

## 2. Implementation Plan

Implementation Plan is made up of the following documents


## 3. Proposed Date for Implementation

Proposed Date for Implementation is

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## 4. Senior Person

Senior Person for Safety Management is proposed to be

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Current Position within organisation

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## 5. Declaration by Chief Executive

*The provision of false information or failure to disclose information relevant to the grant or holding of an aviation document constitutes an offence under Section 49 of the Civil Aviation Act 1990 and is subject, in the case of an individual to imprisonment for a term not exceeding 12 months or a fine not exceeding \$10,000, and in the case of a body corporate, to a maximum fine of \$50,000.*

This application and the statements that follow are made for and on behalf of the organisation identified above.

With regards the size of the organisation, the nature and complexity of the activities undertaken, and the hazards and associated risks inherent in the activities, I endorse the attached Implementation Plan which I consider to be appropriate, achievable, and adequately resourced.

The proposed Date for Implementation is considered realistic.

I will advise the CAA of any material change to the Implementation Plan.

I certify that I am empowered by the organisation to ensure that all activities undertaken by the organisation can be financed and carried out in accordance with the requirements of the Civil Aviation Act 1990 and the Civil Aviation Rules.

I declare that to the best of my knowledge and belief the statements made and the information supplied in this application and the attachments are complete and correct.

Full Name of Chief Executive

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Participant Number

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Signature

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Date of application

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## 6. Applicant's Checklist – please take the time to check and complete this section

**Please ensure all documents are enclosed.**

*Applications which are incomplete or lacking any required documents will not be processed.*

- |   |                          |
|---|--------------------------|
| 1. Reference has been made to <a href="#">AC100-1</a> Section 3 SMS Implementation Plan for acceptable means of compliance and guidance material – refer page 3 below | <input type="checkbox"/> |
| 2. All sections of the form completed   | <input type="checkbox"/> |
| 3. Implementation Plan attached to application  | <input type="checkbox"/> |
| 4. Additional attachments enclosed as per this list:  | <input type="checkbox"/> |

**Submit the completed application along with implementation plan and supporting documentation to:**

**Civil Aviation Authority, PO Box 3555, Wellington 6140, New Zealand**

## **SMS Implementation Plan - acceptable means of compliance & guidance material**

Reference should be made to [AC100-1](#) Section 3 Implementing an SMS

Section 3.1.2 is provided below on this form as a summary for the content of the plan

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### **AC100-1 Section 3.1.2 Implementation plan**

#### ***Content of the Plan***

The implementation plan is a roadmap describing how the organisation intends to implement processes that meet the requirements of Part 100 and associated organisation certification rules. Therefore, the implementation plan should be a strategy for managing SMS implementation including adequate resourcing and realistic timeline. Like any business change, SMS implementation will require some level of investment to address training, documentation changes, development time and possibly system tools to manage data streams and assist with analysis. The changes that are necessary to implement SMS should be managed in a structured way to ensure that there is an awareness of impacts and potential consequences, and that these are managed appropriately.

The implementation plan need not be complex. However, there should be sufficient detail to ensure that the organisation has identified how it will meet the overall objective of successfully implementing a SMS. This means that each element is present and suitable in the context of the activities the organisation undertakes.

The implementation plan should be developed in consultation with the chief executive and individuals who are responsible for functions within the organisation. Application Form CAA 24100/01 includes a declaration by the chief executive that the plan is appropriate, achievable, and adequately resourced in addition to a proposed date for implementation.

The implementation plan should be documented in a format that is appropriate to the content and complexity, and should address the following—

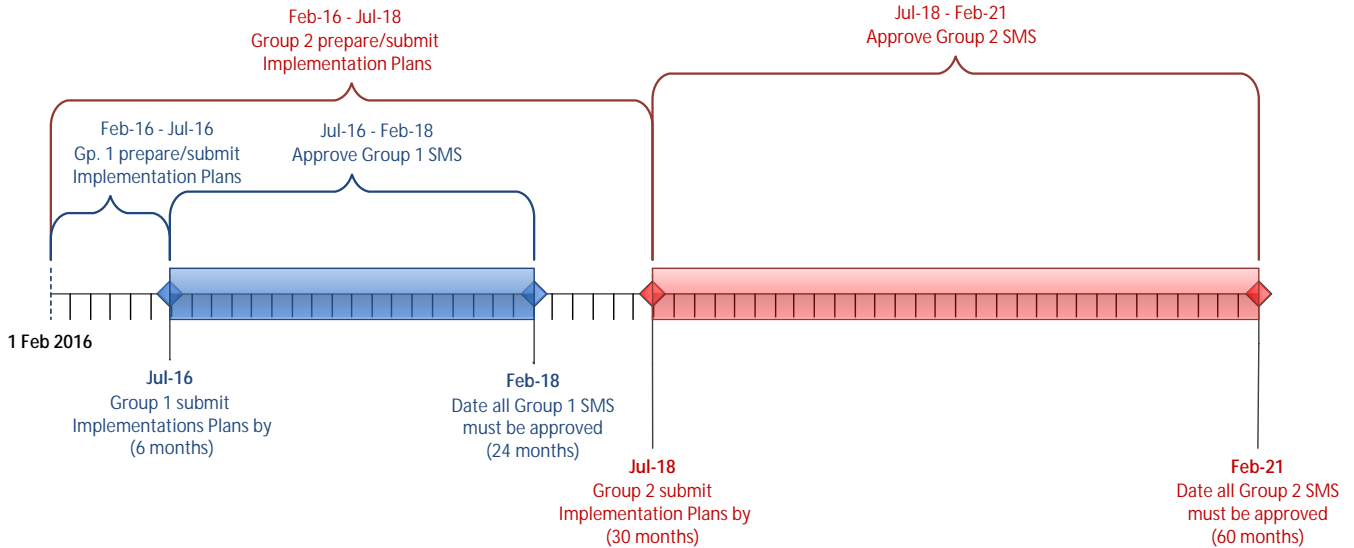
- the tasks identified during the gap analysis process, consistent with the requirements of the size of the organisation and the complexity of its products or services
- timelines and milestones for each task or group of tasks from the planning stage, to the entire implementation of SMS
- for a phased implementation approach (e.g. ICAO Doc. 9859, Chapter 5 – Phased Implementation Approach), the tasks are sorted according to the phase allocation of their related elements
- information as to who is responsible for completion of the identified task or group of tasks, including overall governance for the implementation plan
- a process identified whereby the status and performance of the SMS implementation plan is regularly monitored, and steps taken to mitigate substandard performance
- information showing how coordination of integrating safety related third party contractors and suppliers without an SMS, into the scope of the organisation's SMS
- resource requirements
- risk management associated with implementation of SMS.

# SMS Implementation Plan and Date for Implementation Timeline

Rule effective 1 February 2016 - refer applicable organisational certification rule transition provisions

- Group 1**
- Part 119/121 and 125
  - Part 145 (supporting Part 121 and 125 air operators)
  - Part 139 (international operations)
  - Part 171
  - Part 172
  - Part 173
  - Part 174
  - Part 175

- Group 2**
- Part 115
  - Part 119/135
  - Part 137
  - Part 139 (not serving international operations)
  - Part 141
  - Part 145 (supporting other than Part 121 and 125 air operators)
  - Part 146
  - Part 147
  - Part 148



- Considerations when setting Date for Implementation as part of approval of the organisation's Implementation Plan:**
- the capability of the organisation
  - the complexity of the organisation
  - the risks inherent in the activities of the organisation
  - the date of any certificate renewal
  - any resource or scheduling impacts on the organisation or the Authority or both
  - the date for implementation must not be later than:
    - 1 Feb 2018 (Group 1)
    - 1 Feb 2021 (Group 2)