# Part 141 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 141 Aviation Training 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. As a minimum, the following Rules shall 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 141 Aviation Training Organisation Certificate and show the exposition pages and paragraph numbers that satisfy the rules in the *Manual References / Applicant’s Comments* column. **All information should be typed in the spaces provided.**  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 CASA 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 CASA and how you will manage amendments?

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| **Applicant:**  |       | **Client ID:** |  |  |  |
| **Manuals Submitted:** |       | **Rev.:** |       | **Dated:** |       |

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|  | **Manual References/Applicant’s Comments** | **CASA Comments (for CASA use only)** |
| Rule Compliance Matrix |       |       |
| Company Statement page, signed by the Chief Executive |       |       |
| List of Effective Pages |       |       |
| Record of Amendments |       |       |
| Record of Revisions |       |       |
| Distribution List & copies to be numbered |       |       |
| Contents Page |       |       |
| Definitions & Abbreviations (not mandatory) |       |       |
| On every page, headers and/or footers to include: |       |       |
| 1. Company name
 |
| 1. Name of the manual
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| 1. Effective revision and date of the page
 |
| 1. Page number
 |
| Index (not mandatory but desirable) |       |       |

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| **Rule Reference** | **Manual References / Applicant’s Comments** | **CASA Review & Comments (for CASA use only)** |
| **141.65 Exposition** |
| 141.65(a)(1)(i)*CE statement* |       |       |
| 141-65(a)(1)(ii)*CE statement* |       |       |
| 141.65(a)(2) [141.51(a)(1)&(2)]*List of senior persons* |       |       |
| 141.65(a)(3) [141.51(a)(1)&(2)]*Duties and responsibilities* |       |       |
| 141.65(a)(4)*Organisation chart* |       |       |
| 141.65(a)(5) List ofCourses & Assessments conducted by ATO |       |       |
| 141.65(a)(6) *Location of Training* |       |       |
| 141.65(a)(7)*Course outline & Curriculum for each training course and assessment conducted by ATO* |       |       |
| **Procedures**141.65(8)(ii)-(v) | For all Exposition-based procedures use 141.55, 141.57, 141.59, 141.61 & 141.63 sections below. |
| 141.65(8)(i)[141.51(b)] Competence assessed and maintained |       |       |
| 141.65(a)(9)*Control, Amend & Distribute Exposition*  |       |       |
| 141.101(5) Notification of change to address for service |  |  |
| 141.103*Notification of Changes to organization* |       |       |
| **141.51 Personnel Requirements** |
| 141.51(a)(1)-(2)CEO & Senior Persons |       |       |
| 141.51(a)(3)*Sufficient Personnel to plan, conduct & supervise training courses and assessments* |       |       |
| 141.51(b)Senior Persons Responsibilities appropriate to ATO Org Structure |       |       |
| 141.51(c) Instructors Qualifications/Experience greater than the level to be taught or assessed |       |       |
| 141.51(d) Initial and on-going Assessments and Maintenance of Instructor Competence |       |       |
| **141.53 Facility Requirements** |
| 141.53*Facilities & Resources appropriate to training& assessments conducted* |       |       |
| **141.55 Documentation Control** |
| 141.55(a)Availability of relevant technical standards and practices documentation necessary for the provision of training and assessments of ATO |       |       |
| 141.55(b)(1)All docs reviewed and authorised prior to use |       |       |
| 141.55(b)(2)*Availability at locations* |       |       |
| 141.55(b)(3)*obsolete documentation promptly removed* |       |       |
| 141.55(b)(4)*Doc changes reviewed and authorized* |       |       |
| **141.57 Training Courses and Assessments** |
| 141.57(a) Control Procedures for conducting training courses and assessments |       |       |
| 141.57(b)(1)*Course meets syllabus requirements* |       |       |
| 141.57(b)(2)*Assessments meets syllabus requirements* |       |       |
| **141.59 Records** |
| 141.59(a)*Control Procedures to identify, collect, index, maintain, store and dispose of ATO records* |       |       |
| 141.59(b)(1)*Trainer Detailed Records* |       |       |
| 141.59(b)(2)*Trainee detailed Records* |       |       |
| 141.59(b)(3)*Management review records* |       |       |
| 141.59(b)(4)*Accurate and legible* |       |       |
| 141.59(b)(5)*Records retention 5 year period* |       |       |
| **141.61 Safety Management Systems -Refer CAR Part 100 and AC 100-1 for details** |
| **141.63 Quality Management Systems -Refer CAR Part 100 and AC 100-1 for details** |
| Notes:The following courses or assessments can currently be done without seeking specific approval:* Any pilot license training – PPL or CPL
* Any instructor training
* Instrument rating training -ground and air

The following training courses and assessments presently requires approval:

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| Training Courses | Comments | Assessments  | Comments |
| P1-Pilot type rating-specific to type | Aeroplanes above 5700kg; multi-engined helicopters over 1500kgs | A1-PPL demonstration flight test to recommend issue |  |
| P2-Pilot licence training(a/c & helicopter) | Applicable only for reduced hour courses | A2-CPL demonstration flight test to recommend issue |  |
| P3-Flight instructor-instructional techniques course Cats ‘C’ & ‘D’’ |  | A3-ATPL flight test |  |
| P5-Basic Gas Turbine rating |  | A4-Flight Instructor rating-initial issue | Only available under DCA’s delegation |
| P6- Flight Simulators-specific to type |  | A5-Instrument rating | -additional aid-continued competency-multi-engine |
| P7-Cat II & III approaches |  | A6-Instructor rating-currency test, Cat A, Cat B, Cat C |  |
| P8-Aerobatic flight |  | A7 -Instructor rating-additional privileges: -aerobatic,-night,spinning, instrument,-Multi-engine |  |
| P9-ETOPS |  | A8-Operational competency | 121/125/135/136  |
| P10-Agricultural rating |  | A9-Aerobatic flight training |  |
| E1-Engineer type rating training |  | A10-Agricultural rating |  |
| E2-Engineer licence training |  | A11-Helicopter winching, rappelling | Human sling load |
| E3-Flight engineer type rating |  |  |  |
| E4-Flight Engineer licence training |  |  |  |
| M1-Dangerous goods |  |  |  |
| M3-Human Factors |  |  |  |
| M6-Crew Training 121/125/135 /AQP | As applicable |  |  |
| M7-Cabin Crew Training | As applicable |  |  |

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| **RESTRICTED AVIATION TRAINING ORGANIZATION** |
| **141.151 Certification** |
| 141.151(a)(1)*Sufficient personnel* |       |       |
| 141.151(a)(2)*Qualification and Experience* |       |       |
| *141.151(a)(3)**Facilities and Resources* |       |       |
| 141.151(a)(4)*Procedures* |       |       |
| 141.151(a)(5)*Documentation* |       |       |
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| **141.155 Records** |
| 141.155(a) Maintain Records |       |       |
| 141.155(b)(1)Trainer Records |       |       |
| 141.155(b)(2)Trainee Records |       |       |
| 141.155(b)(3)Legible |       |       |
| 141.155(b)(4)Retention period -5 years |       |       |
| **Reserved** |
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| **List any other rules complied with:** |
|  |       |       |

CASA Use Only

Assessed By:            Work Request:      Date received:      . Date accepted:      .

This matrix was established using the following Rule Part amendment statuses

|  |  |  |  |
| --- | --- | --- | --- |
| 12 | Accidents, Incidents, and Statistics | Amendment 6 | 02 Nov 2021 |
| 100141 | SMS/QMSAviation Training Organization Certificate | Amendment 2Amendment 3 | 04 May 202403 Nov 2023 |
|  |  |  |  |
| Other rules or advisory circulars referred to during the assessment by Inspector |
|       |       |       |       |