



Reference:

The Rule references in this compliance matrix have been extracted from the Civil Aviation Rules Part 100 as the minimum compliance requirements for an applicant for the issue or renewal of CARs Parts 109, 119, 139, 140, 144, 145, 146, 148, 171, 172, 173, 174, 175.

Instructions:

A completed compliance matrix must be submitted by the applicant both for 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 help speed up the certification process, ensure every applicable rule requirement has been addressed in the exposition, and reduce the cost of certification by allowing the quick location of required policies or procedures in the applicant's exposition manual suite.

All requirements of Part 100 have to be complied with, but not every part of the rule has to be addressed in the exposition. At least the required parts must be included unless they are not applicable to the operation, in which case they should be annotated as such. The intention of this matrix is to assist rather than instruct the applicant in their 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 must be completed by every applicant for this Rule Part *[Type here]* for Certification 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 (✓) 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

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?

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 the frequency of needed amendments.

Note: *This matrix satisfies Rule Part 100 Safety & Quality Management System requirements.*

Applicant:	
Participate ID:	
Manual Submitted:	
Rev:	
Dated:	



Documentation	Applicant's Comments	CASA Comments (for CASA use only)		
		Accepted		Comments
		Yes	No	
Rule Compliance Matrix (addendum)		<input type="checkbox"/>	<input type="checkbox"/>	
Company Statement page, signed by the Chief Executive		<input type="checkbox"/>	<input type="checkbox"/>	
List of Effective Pages		<input type="checkbox"/>	<input type="checkbox"/>	
Record of Amendments		<input type="checkbox"/>	<input type="checkbox"/>	
Distribution List & copies to be numbered		<input type="checkbox"/>	<input type="checkbox"/>	
Table of Contents Page		<input type="checkbox"/>	<input type="checkbox"/>	
Definitions & Abbreviations (not mandatory)		<input type="checkbox"/>	<input type="checkbox"/>	
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		<input type="checkbox"/>	<input type="checkbox"/>	
Index (not mandatory but desirable)		<input type="checkbox"/>	<input type="checkbox"/>	

Safety & Quality Management System	Manual References / Applicant's Comments	CASA Review & Comments (for CASA only)		
		Complied		Comments
		Yes	No	
Subpart B: Safety Management System				
Establishment of a Safety Management System				
100.51		Current SMS Manual		
Safety Policy				
100.53(a) <i>Safety Policy</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.53(b) <i>Commitment to Safety Policy and responsibility for risk management</i>		<input type="checkbox"/>	<input type="checkbox"/>	



Safety Objectives				
100.55(a) <i>Safety Objectives</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.55(b) <i>Safety Objectives – safety targets and safety performance indicators</i>		<input type="checkbox"/>	<input type="checkbox"/>	
Roles, Responsibilities and Authorities				
100.57(a)(1) <i>Organisation’s structure/chart and lines of reporting</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.57(a)(2) <i>Position description and roles, responsibilities and authorities</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.57(b) <i>Manager(s) responsible for emergency response plan</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.57(a)(3) <i>Key safety positions and qualification and experience standards</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.57(a)(4) <i>Safety group</i>		<input type="checkbox"/>	<input type="checkbox"/>	
Hazard identification				
100.59(a) <i>Hazard identification procedures;</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.59(b)(1) <i>include regular systematic appraisal</i> <ul style="list-style-type: none"> • <i>to assess the level of safety and</i> • <i>to identify safety improvements</i> 		<input type="checkbox"/>	<input type="checkbox"/>	
100.59(b)(2) <i>include employee reporting of potential safety risks</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.59(c) <i>include obligation for the senior person responsible for the SMS to reply in writing</i>		<input type="checkbox"/>	<input type="checkbox"/>	
Risk Management				
100.61(a) <i>Risk management procedures;</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.61(b)(1) <i>include identification of key personnel to involve in risk management process</i> 100.61(b)(2) <i>include processes for assessing the level of risk</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.61(b)(3) <i>include identification and application of risk mitigators</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.61(b)(4) <i>include arrangements for follow-up on the effectiveness of mitigators</i>		<input type="checkbox"/>	<input type="checkbox"/>	
Interfaces				
100.63(a) <i>Procedures for managing the interfaces;</i>		<input type="checkbox"/>	<input type="checkbox"/>	



100.63(b)(1) <i>to identify external service providers</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.63(b)(2) <i>to define the boundaries of each interface arrangement</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.63(b)(3) <i>to identify the means by which each interface is reviewed</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.63(b)(4) <i>to identify the scope of data or service provided across the interface</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.63(b)(5) <i>to include procedures for identifying potential hazards and applying mitigators</i>		<input type="checkbox"/>	<input type="checkbox"/>	
Change Management				
100.65(a) <i>Procedures for managing changes;</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.65(b)(1) <i>to define the operation in sufficient detail to provide a baseline for evaluating change</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.65(b)(2) <i>include processes for identifying changes to the organisation and to the operation</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.65(b)(3) <i>include procedures for applying risk analysis and risk mitigation to changes</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.65(b)(4) <i>to describe the safety management arrangements for implementing changes and on-going safety monitoring</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.65(b)(5) <i>to identify the means by which all person affected by a change are notified during the development and implementation of the change</i>		<input type="checkbox"/>	<input type="checkbox"/>	
Internal Communication and Consultation				
100.67(a) (1) <i>procedures for communicating to all bases and personnel (information or feedback) about;</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.67(a)(1)(i) <i>safety issues</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.67(a)(1)(ii) <i>hazard reports</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.67(a)(1)(iii) <i>corrective and preventive actions</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.67(a)(1)(iv) <i>the performance of the SMS</i>		<input type="checkbox"/>	<input type="checkbox"/>	



100.67(a)(1)(v) <i>safety systems training</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.67(a)(1)(vi) <i>safety promotion</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.67(a)(2) <i>procedures for personnel to report, notify or bring to management's attention any information, concern, advice, or suggestion to safety matter(s);</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.67(b) <i>include a confidential reporting system with appropriate protections</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.67(a)(3) <i>accident prevention programme</i>		<input type="checkbox"/>	<input type="checkbox"/>	
Accident and Incident Recording, Reporting and Investigation				
100.69(a) <i>procedures for recording, reporting investigating and analysing accidents, serious incidents and incidents;</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.69(b)(1) <i>to include Part 12 obligation/requirements</i>	Refer to Part 12 below			
Part 12 Occurrence Reporting				
12.51(b)(1-14) <i>Notification of accident</i>		<input type="checkbox"/>	<input type="checkbox"/>	
12.53(a)(b) & (c) <i>Means of reporting by the PIC as soon as practicable</i>		<input type="checkbox"/>	<input type="checkbox"/>	
12.55(a)(1)(4)(5) <i>Notification of incident</i>		<input type="checkbox"/>	<input type="checkbox"/>	
12.55(d)(5) [App A(b)(d)(h)] <i>Required information</i>		<input type="checkbox"/>	<input type="checkbox"/>	
12.57(a)(1-3) <i>Provider of incident</i>		<input type="checkbox"/>	<input type="checkbox"/>	
12.57(b)(1)-(2) <i>Means of providing report</i>		<input type="checkbox"/>	<input type="checkbox"/>	
12.59(a)(1) <i>Conduct investigation</i>		<input type="checkbox"/>	<input type="checkbox"/>	
12.59(a)(2)(i)-(ii) <i>Submit report to CASA</i>		<input type="checkbox"/>	<input type="checkbox"/>	



12.59(3) <i>Prevention action taken</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.69(b)(2) <i>to have the objective of improving the level of safety</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.69(b)(3) <i>to provide for confidential reporting</i>		<input type="checkbox"/>	<input type="checkbox"/>	
Emergency response procedures				
100.71(a) <i>Applicability</i>	<i>Part 119, Part 139 or Part 140</i>			
100.71(a)(1) <i>Emergency response procedures;</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.71(a)(2) <i>to identify potential accident, incident and emergency situations</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.71(a)(3) <i>to provide for the due response from appropriate authorities in sovereign States (for international operations if applicable)</i>		<input type="checkbox"/>	<input type="checkbox"/>	
Safety Management System Training				
100.73(a) <i>procedures for training personnel on the SMS;</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.73(b) <i>include induction and recurrency training</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.73(c)(1) 100.73(d) <i>induction training – provide knowledge and understanding of the safety policy at the level consistent with the person’s role in the organisation</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.73(c)(2) <i>induction training – provide managers and supervisors with a knowledge of the objectives of the safety system at the level consistent with the person’s role in the organisation</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.73(e) <i>Responsible person for SMS must ensure recurrency training is planned, properly resourced and sufficiently comprehensive for the role of the personnel being trained.</i>		<input type="checkbox"/>	<input type="checkbox"/>	
Flight Data Analysis Programme				
<i>For 119 Operator, operating aircraft with MTOW >27, 000 kg</i>				
100.75(a) <i>establish a flight data analysis programme;</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.75(b)(1) <i>must regularly record and analyse the operational flight data of individual and aggregated operations</i>		<input type="checkbox"/>	<input type="checkbox"/>	



100.75(b)(2) <i>be integrated into the safety performance monitoring and measuring processes</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.75(b)(3)(i) <i>provided by the holder of the current air operator certificate</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.75(b)(3)(ii) <i>provided by the external service provider (satisfied by the Director)</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.75(b)(4)(i) <i>ensure that the identity of a person who reports data to the programme is protected from disclosure</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.75(b)(4)(ii) <i>ensure that no punitive action may be taken by the holder of the air operator certificate against a person who reports data</i>		<input type="checkbox"/>	<input type="checkbox"/>	
Safety Performance Monitoring and Measurement				
100.77(a) <i>processes for monitoring and measuring safety performance;</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.77(a)(1) <i>in regard to safety objectives</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.77(a)(2) <i>in regard to safety targets and safety performance indicators</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.77(a)(3) <i>in regard to the operation of safety group</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.77(a)(4) <i>in regard hazard identification and reporting</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.77(a)(5) <i>in regard to risk assessments</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.77(a)(6) <i>in regard to management of interfaces</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.77(a)(7) <i>in regard to change management</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.77(a)(8) <i>in regard to communication requirements</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.77(a)(9) <i>in regard to accident and incident investigating and reporting</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.77(a)(10) <i>in regard to training requirements</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.77(a)(11) <i>in regard to flight data analysis programme (if applicable)</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.77(b) <i>Safety group to monitor and measure (100.77(a)(1-11) to ensure continuous improvement of SMS</i>		<input type="checkbox"/>	<input type="checkbox"/>	



Subpart C: Quality Management System				
Establishment of a Quality Management System		Current QMS Manual		
100.101(b)(1) 100.103(a)(1) <i>Audit programme with authorised areas to be audited(location)</i>		<input type="checkbox"/>	<input type="checkbox"/>	
Procedures 100.101(b)(2)(i-v)	<i>For all exposition-based procedures use 100.103, 100.105, 100.107, 100.109, 100.111 and 100.113 sections below</i>			
Procedures 100.101(b)(2)(vi) <i>Communicating quality information</i>		<input type="checkbox"/>	<input type="checkbox"/>	
Audits				
100.103(a)(2) 100.103(c)(1) <i>Assessing the level of risk to determine compliance data if to extend beyond 12 month audit frequency</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.103(a)(3)(i) 100.103(b) <i>Procedures for appointing auditors plus qualifications and training standards and independency requirement</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.103(a)(3)(ii) <i>Procedures for conducting internal audits</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.103(a)(3)(iii) <i>Procedures for auditing suppliers/contractors</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.103(a)(3)(iv) <i>Procedures for processing audit findings and corrective and preventive actions</i>		<input type="checkbox"/>	<input type="checkbox"/>	
Management Review				
100.105 <i>Process for management review</i>		<input type="checkbox"/>	<input type="checkbox"/>	
Continuous improvement				
100.107(a) <i>Plans and management procedures for continuous improvement to include;</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.107(b)(1) <i>Establishment, monitoring and reporting of quality indicators</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.107(b)(2) <i>Monitoring of audit results</i>		<input type="checkbox"/>	<input type="checkbox"/>	



100.107(b)(3) <i>Follow-up of corrective actions</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.107(b)(4) <i>Follow-up of preventive actions</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.107(b)(5) <i>Management reviews</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.107(b)(6) 100.109(a) <i>Identification and analysis of the root causes of non-compliances with the Civil Aviation Act and the Civil Aviation Rules and no blame is to be attributed to a person for an error or non-compliance</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.107(b)(7) <i>Quality improvement projects (if applicable)</i>		<input type="checkbox"/>	<input type="checkbox"/>	
Error and non-compliance management procedures				
100.109(b) <i>Apply error and non-compliance management procedures under a just culture and provide training to all staff on the application of just culture.</i>		<input type="checkbox"/>	<input type="checkbox"/>	
Document control				
100.111(A) <i>Document control procedures must ensure;</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.111(b)(1) <i>Document authorised for use</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.111(b)(2) <i>Document regular reviewed and updated</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.111(b)(3) <i>Document readily available to personnel</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.111(c) For the purpose of this rule, document means any manual, procedural note, instruction, worksheet, list or checklist, in any form, that is required to be used by personnel within the organisation to ensure functions are performed in a consistently safe manner and in compliance with the requirements of the quality management system.				
Record control				
100.113(A) <i>Procedures for record control must ensure;</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.113(B)(1) <i>All records are maintained in a form that provides Consistent evidence of compliance</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.113(B)(2) <i>All Records Are Completed Accurately And Fully</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.113(B)(3) <i>All records are retained for the period required by the applicable rule</i>		<input type="checkbox"/>	<input type="checkbox"/>	
100.113(c) For the purpose of this rule, a record is a means of providing permanent evidence that the requirements of the Civil Aviation rules and the operator's exposition have been complied with and required activities have been carried out				



CASA Use

Manual Registered: Yes No

Assessed By: _____

Date received: _____ Date completed: _____ Dated accepted: _____

This matrix was established using the following Rule Part amendment statuses

100	Safety Management System	Amendment 1	1 May 2017
12	Accidents, Incidents, and Statistics	Amendment 6	2 November 2021

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

AC 100-1	Safety Management System	Issue 2	1 May 2017
AC 12-1	Accidents, Incidents, and Statistics	Issue 3	15 January 2018