



Part 146 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 146 Aircraft Design Organisation Certificate.

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 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 146 Aircraft Design 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 (✓) are not acceptable.**

The completed matrix should accompany the exposition documents and preferably be included as a component of the exposition manual suite. 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 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 CASA and how you will manage amendments?



Applicant Name:

**Applicant's
DOC Number:**

Manuals Submitted:

Rev.:

Dated:

	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		
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	CASA Review & Comments (for CASA use only)
Subpart A – General		
Requirement for Certificate 146.5 <i>A person shall not exercise the privileges in 146.11 except under the authority of and in accordance with the provision of an aircraft Design Organization Certificate issued under this Part</i>		
Application for Certificate 146.7(1) <i>Exposition as required by 146.53(b)(2); and</i>		
146.7(2) <i>Such further particulars as may be required by the Director</i>		
Issue of Certificate 146.9(a) An applicant is entitled to a Design Organization Certificate if the Director is satisfied that: 146.9(a)(1) <i>The applicant meets the requirements of Subparts B; and</i>		
146.9(a)(2) <i>The applicant's senior person required by 146.53(b)(3) are fit and proper persons; and</i>		
146.9(a)(3) <i>The granting of the certificate is not contrary to the interests of aviation safety</i>		
146.9(b) <i>The Director may impose conditions and limitations on a design organization certificate</i>		



Rule reference	Manual References / Applicant's Comments	CASA Review & Comments (for CASA use only)
<i>issued under this Part</i>		
Privileges of Certificate Holder 146.11(1) <i>Rating D1 for the development of design changes for products and their components</i>		
146.11(2) <i>Rating D1 for the development of design changes for appliances</i>		
Duration of Certificate 146.13(a) <i>A Design Organization Certificate may be granted or renewed for a period of up to five years</i>		
146.13(b) <i>A Design Organization Certificate remains in force until it expires or is suspended or revoked by the Director</i>		
146.13(c) <i>The holder of a Design Organization Certificate that expires or is revoked must immediately surrender the Certificate to the Director</i>		
Notification of Ceasing Design 146.15 <i>The hold of a Design Organization Certificate who ceases to offer design services must notify the Director in writing within 30 days of the date of cessation and request revocation of the Design</i>		



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<i>Organization Certificate</i>		
Renewal of Certificate 146.17(a) <i>An application for the renewal of a Design Organization Certificate must be made by the holder of a Design Organization Certificate on Form CAA 146/01</i>		
146.17(b) <i>The application must be submitted to the Director by the application renewal date specified on the certificate or, if no such date is specified, not less than 30 days before the certificate expires</i>		
Subpart B - Acceptance of Foreign Design Organizations		
Acceptable Foreign Certification 146.53(a) <i>Authorities accepted by the Director for the issue of a Design Organization Certificate</i>		
<i>An applicant for a Design Organization Certificate to be issued under paragraph (a) must provide the Director with:</i> 146.53(b)(1) <i>A copy of the Foreign Design Organization Certificate; and</i>		
146.53(b)(2) <i>A copy of the exposition required by the Foreign Authority; and</i>		
146.53(b)(3) <i>The names of the Chief Executive and those senior</i>		



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persons who have responsibility for dealing directly with the Director on the following matters: 146.53(b)(3)(i) <i>Design Control</i>		
146.53(b)(3)(ii) <i>Inspection and Testing</i>		
146.53(b)(3)(iii) <i>Internal Quality and Safety Management System</i>		
146.53(b)(4) <i>Any information the Director may require regarding continuing validity of the Foreign Certificate</i>		
146.53(c) <i>The Director may impose conditions and limitations on a Design Organization Certificate issued under paragraph (a)</i>		
Subpart D - Operating Requirements		
Continued Compliance 146.201(a) A holder of a Design Organization Certificate must: 146.201(a)(1) <i>Hold at least one complete and current copy of its exposition at each work location specified in its exposition; and</i>		
146.201(a)(2) <i>Comply with all procedures and systems detailed in its exposition; and</i>		



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146.201(a)(3) <i>Make each applicable part of the exposition available to personnel who require those parts to carry out their duties; and</i>		
146.201(a)(4) <i>Determine that each design or design change approved complies with the applicable airworthiness requirements, has no unsafe features, and is fit for embodiment; and</i>		
146.201(a)(5) <i>Make records available to the Director upon request; and</i>		
146.201(a)(6) <i>Comply with any limitations or conditions prescribed by the Director on the certificate</i>		
146.201(b) <i>For continued compliance of a Design Organization Certificate issued under Subpart B, the Foreign Design Certificate accepted by the Director must be valid</i>		
Changes to Certificate Holder's Organization 146.203(a) <i>The certificate holder must provide the Director with a copy of each amendment to its exposition as soon as practicable after it has incorporated into the exposition</i>		
146.203(b) Where the certificate holder proposes to make change to any		



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<p>of the following, the Director § must be notified in writing as soon as practicable. 146.203(b)(1) <i>The Chief Executive</i></p>		
<p>146.203(b)(2) <i>The senior person required by 146.53(b)(3)</i></p>		
<p>146.203(b)(3) <i>The design activities the holder undertakes</i></p>		
<p>146.203(b)(4) <i>The locations at which work is carried out</i></p>		
<p>146.203(c) <i>The Director may prescribe conditions under which a certificate holder may operate during or following any of the changes specified in paragraph (b)</i></p>		
<p>146.203(d) <i>A certificate holder must comply with the conditions prescribed under paragraph (c)</i></p>		
<p>146.203(e) <i>The certificate holder must promulgate in a form acceptable to the Director any information or procedures additional to the material contained in the exposition which the Director may consider necessary</i></p>		
<p>Safety Audits and Inspections 146.205 <i>The Director may require the</i></p>		



Rule reference	Manual References / Applicant's Comments	CASA Review & Comments (for CASA use only)
<i>holder of a Design Organization to provide copies of reports of audits and inspection carried out by, or on behalf of, a Foreign Authority as a condition of continuing validity of a Foreign Design Organization Certification</i>		
Part 12 Occurrence Reporting		
12.55(a)(4) <i>Notification of defect Incident</i>		
12.55(d)(2) [App A(b)] <i>Notification of Defect Incident, refer Appendix A(b)</i>		
12.57(a)(1) <i>Details of incident for Holder of a Certificate</i>		
12.57(b)(1)-(2) <i>Form CAA005 OR by other means Acceptable to the Director</i>		
12.59(a)(1) <i>Conducting the Investigation to identify the facts(Subject to section 248(3) of the Act)</i>		
12.59(a)(2)(i)-(ii) <i>Report on Form CAA 005</i>		
12.59 (3) <i>Advise the Authority of any actions Taken.</i>		
List any other rules complied with:		

CASA Use



Assessed By:

Work Request:

Date received:

This matrix was established using the following Rule Part amendment statuses

12	Accidents, Incidents, and Statistics	Amendment 2	01 April 2015
146	Design Organisation Certification	Amendment 1	01 January 2011
146	Design Organisation Certification	Amendment 2	01 February 2018

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