

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 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 allowing the quick location of required policies or procedures in the applicant's exposition manual suite.

All Civil Aviation rules have to be complied with, but not every rule has to be addressed in the exposition. At least the listed rules 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 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. 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 (ü) 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.

Transitional Provisions

Some of the rule references shown are affected by the Transitional Provisions shown in Part 141.201. These are annotated with the letters '**TP**'. Reference should be made to this rule part to determine if these are to be included.

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 CAA 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 document contains two matrices: one for standard aviation training organisation certificates and the other for restricted aviation training organisation certificates.

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: <ul style="list-style-type: none"> (a) Company name (b) Name of the manual (c) Effective revision and date of the page (d) Page number | | |
| Index (not mandatory but desirable) | | |

| Standard Aviation Training Organisation | | |
|---|--|--|
| Rule reference | Manual References / Applicant's Comments | CAA Review & Comments (for CAA use only) |
| 141.63 Exposition | | |
| 141.63(a)(1)(i) <i>CE statement</i> | | |
| 141.63(a)(1)(ii) <i>CE statement</i> | | |
| 141.63(a)(1A)(i) TP [100.3(b)] <i>SMS documentation</i> | | |
| 141.63(a)(1A)(ii) TP <i>SMS implementation plan</i> | | |
| 141.63(a)(2) [141.51(a)(1)&(2)] TP <i>List of senior persons</i> | | |
| 141.63(a)(3)(i) <i>Responsibility to deal with CAA</i> | | |
| 141.63(a)(3)(ii) TP <i>Responsibilities for safety management</i> | | |
| 141.63(a)(4) <i>Organisation chart</i> | | |
| 141.63(a)(4A) TP <i>Lines of safety responsibility</i> | | |
| 141.63(a)(5) <i>Courses & assessments</i> | | |

The following courses or assessments can currently be done without seeking specific approval, as they are covered by CAR Part 61:

- Any pilot licence training – RPL, PPL or CPL;
- Any instructor training;
- Instrument rating training – ground and air

- Aircraft Type Ratings – Aeroplanes and single engine helicopters under 5,700kg.

The following training courses and assessments require approval:

| Training Courses | | Comments | Assessments | Comments | |
|------------------|---|--|-------------|---|--|
| P1 | Pilot type rating – specific to type | Aeroplanes over 5700kg; multi-engined helicopters; single-engined helicopters over 1500kgs | A1 | PPL demonstration flight test to recommend issue | Only available under DCA's delegation |
| P2 | Pilot license training (a/c & helicopter) | Applicable only for reduced hours courses | A2 | CPL demonstration flight test to recommend issue | |
| P3 | Flight instructor – instructional techniques course Cats “C” & “D” | | A3 | ATPL Flight test | Only available under DCA's delegation |
| P5 | Basic gas turbine rating | | A4 | Flight instructor rating – initial issue | |
| 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 – Category A – Category B – Category C | Instrument demonstration applicable to Category D only. Multi-engine only available under DCA's delegation. |
| P8 | Aerobatic flight rating | | A7 | Instructor rating – additional privileges – Aerobatic – Night – Spinning – Instrument – Multi-engine | |
| P9 | ETOPS | Under development | A8 | Operational Competency – Parts 121/125/135 operations | |
| P10 | Agricultural rating | | A9 | Aerobatic flight rating | |
| P11 | Agricultural chemical rating | | A10 | Agricultural rating | |
| M1 | Dangerous goods | | A11 | Helicopter winching, rappelling & human sling load. | |
| M2 | Reserved | | | | |
| M3 | Human factors | | | | |
| M4 | Reserved | | | | |
| M6 | Flight crew training – 121/125/135 – AQP Part 102 – Unmanned Operations - RPAS | As applicable | | | |
| M7 | Cabin crew training | As applicable | | | |
| ATS | Air Traffic Services Training – Air Traffic Control Assistant/Basic Induction – Aerodrome Control | | | | |

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| <ul style="list-style-type: none"> - Approach Control – Non-Radar (Procedural) - Radar control ATC - Area Control – Non-Radar (Procedural) | | | |
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| Rule reference | Manual References / Applicant's Comments | CAA Review & Comments (for CAA use only) |
|--|--|--|
| 141.63(a)(6) <i>Locations</i> | | |
| 141.63(a)(7) <i>Course outline & curriculum</i> | | |
| Procedures 141.63(a)(8)(i) [141.51(b)] <i>Competence assessed & maintained</i> | | |
| 141.63(a)(8)(ii)-(v) | <i>For all exposition-based procedures use 100.3, 141.55, 141.59 and 145.61 sections below</i> | |
| 141.63(a)(9) <i>Control of exposition</i> | | |
| 141.103 <i>Changes to organisation</i> | | |
| 141.51 Personnel Requirements | | |
| 141.51(a)(3) <i>Sufficient personnel</i> | | |
| 141.53 Facility Requirements | | |
| 141.53 <i>Facilities & resources</i> | | |
| 141.55 Documentation Control | | |
| 141.55(a) <i>Availability of documentation</i> | | |
| 141.55(b)(1) <i>Reviewed and authorised</i> | | |

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| 141.55(b)(2) <i>Availability at locations</i> | | |
| 141.55(b)(3) <i>Removal of obsolete data</i> | | |
| 141.55(b)(4) <i>Changes reviewed and authorised</i> | | |
| 141.57 Training Courses and Assessments | | |
| 141.57(b)(1) <i>Courses meet syllabus requirements</i> | | |
| 141.57(b)(2) <i>Assessments meet syllabus requirements</i> | | |
| 141.57(b)(3) <i>Qualifications & experience</i> | | |
| 141.59 Records | | |
| 141.59(a) <i>Control procedures</i> | | |
| 141.59(b)(1) <i>Trainer records</i> | | |
| 141.59(c) <i>Details required</i> | | |
| 141.59(b)(2) <i>Trainee records</i> | | |
| 141.59(d)(1)-(7) <i>Details required</i> | | |
| 141.59(b)(3) <i>QA review</i> | | |
| 141.59(e)(1) | | |

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| Accurate and legible | | |
| 141.59(e)(2) Retention period | | |
| 100.3 Safety Management | | |
| 141.61 TP System for Safety Management | | |
| 100.3(a)(1) TP Safety policy | | |
| 100.3(a)(2) TP Risk management process | | |
| 100.3(a)(3)(i) TP Hazard etc. reporting | | |
| 100.3(a)(3)(ii) TP Safety goals and measures | | |
| 100.3(a)(3)(iii) TP Quality assurance | | |
| 100.3(a)(4) TP Safety training | | |
| 100.3(b) TP Documentation | | |
| 100.3(c) TP Adequacy of SMS for the organisation | | |
| 141.203 Internal Quality Assurance | | |
| 141.203(b)(1) TP Safety policy | | |
| 141.203(b)(2) TP Quality indicators | | |

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| 141.203(b)(3) TP <i>Corrective action</i> | | |
| 141.203(b)(4) TP <i>Preventative action</i> | | |
| 141.203(b)(5) TP <i>Internal audit programme</i> | | |
| 141.203(b)(6) TP <i>Management review</i> | | |
| 141.203(c) TP <i>Implemented and understood</i> | | |
| 141.203(d)(1) TP <i>Existing problems corrected</i> | | |
| 141.203(d)(2) TP <i>Follow up</i> | | |
| 141.203(d)(3) TP <i>Measure effectiveness</i> | | |
| 141.203(e)(1) TP <i>Potential problems corrected</i> | | |
| 141.203(e)(2) TP <i>Follow up</i> | | |
| 141.203(e)(3) TP <i>Procedure amended</i> | | |
| 141.203(e)(4) TP <i>Measure effectiveness</i> | | |
| 141.203(f)(1) TP <i>Frequency and location</i> | | |
| 141.203(f)(2) TP <i>Independent trained</i> | | |

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| auditors | | |
| 141.203(f)(3) TP Audit report | | |
| 141.203(f)(4) TP Preventive and corrective actions | | |
| 141.203(f)(5) TP Follow up | | |
| 141.203(g)(1) TP Frequency | | |
| 141.203(g)(2) TP Responsibility | | |
| 141.203(g)(3) TP Evaluation and recording of results | | |
| 141.203(h) TP Access to CEO | | |
| List any other rules complied with: | | |
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| Restricted Aviation Training Organisation | | |
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| 141.151 Certification | | |
| 141.151(a)(1) Sufficient personnel | | |
| 141.151(a)(2) Qualifications & experience | | |
| 141.151(a)(3) Facilities & resources | | |
| 141.151(a)(4) | | |

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| <i>Documentation</i> | | |
| 141.151(a)(5) <i>Procedures</i> | | |
| 141.155 Records | | |
| 141.155(a) <i>Maintain records</i> | | |
| 141.155(b)(1) <i>Trainer records</i> | | |
| 141.155(b)(2) <i>Trainee records</i> | | |
| 141.155(b)(3) <i>Legible</i> | | |
| 141.155(b)(4) <i>Retention period</i> | | |
| List any other rules complied with: | | |
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| Part 12 Occurrence Reporting (applicable to both standard and restricted certificates) | | |
| 12.51(a) <i>Notification of accident</i> | | |
| 12.51(b)(1)-(14) <i>Details of notification</i> | | |
| 12.53(a)(1)-(2) <i>Provide details</i> | | |
| 12.53(b)-(c) <i>Flight crew member statement</i> | | |
| 12.55(b)(1)-(2) <i>Notification of incident</i> | | |
| 12.55(c) <i>Notification of airspace or bird incident</i> | | |

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| 12.55(d)(1)-(9) <i>Required information</i> | | |
| 12.57(a)(2)-(3) <i>Provide details</i> | | |
| 12.57(b)(1)-(3) <i>Means of providing details</i> | | |
| 12.101 <i>Access to aircraft</i> | | |
| 12.103(a) <i>Preservation of records</i> | | |
| 12.105 <i>Retention of defective products and components</i> | | |

CAA Use Only:

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 9 | 24 September 2015 |
| 100 | Safety Management | Amendment 1 | 01 February 2016 |
| 141 | Training Organisation Certification | Amendment 4 | 01 February 2016 |

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