

Subpart B — Certification Requirements

175.51 Personnel Requirements

(a) Each applicant for the grant of an aeronautical information service certificate shall engage, employ or contract:

- (1) a senior person identified as the Chief Executive, who has the authority within the applicant's organisation to ensure that each aeronautical information service listed in their exposition—
 - (i) can be financed and is provided to meet operational requirements; and
 - (ii) is provided in accordance with the requirements prescribed by this Part;
- (2) a senior person or group of senior persons who are responsible for ensuring that the applicant's organisation complies with the requirements of this Part. Such nominated person or persons shall be ultimately responsible to the Chief Executive;
- (3) sufficient personnel to collect, collate, check, coordinate, edit, and publish aeronautical information for the aeronautical information services listed in the applicant's exposition.

(b) The applicant shall —

- (1) establish a procedure to initially assess the competence of those personnel authorised by the applicant to check, edit, and publish aeronautical information for the aeronautical information services listed in their exposition; and
- (2) establish a procedure to maintain the competence of those authorised personnel; and
- (3) provide those authorised personnel with written evidence of the scope of their authorisation.

Subpart B — Certification Requirements

175.51 Personnel Requirements

(a) An applicant for the grant of an aeronautical information service certificate must employ, contract, or otherwise engage—

- (1) a senior person identified as the chief executive who has the authority within the organisation to ensure that every aeronautical information service listed in the applicant's exposition—
 - (i) can be financed and is provided to meet operational requirements; and
 - (ii) is provided in accordance with the requirements prescribed by this Part; and
- (2) a senior person or persons ultimately responsible to the chief executive who are responsible for—
 - (i) ensuring that the organisation complies with its exposition; and
 - (ii) the system for safety management required under rule 175.67; and
- (3) sufficient personnel to collect, collate, check, coordinate, edit, and publish aeronautical information for the aeronautical information services listed in the applicant's exposition.

(aa) The senior person required by paragraph (a)(2)(ii) must be able to demonstrate competency and experience relevant to the management of safety systems and the activities of the certificate holder.

(b) The applicant must —

- (1) establish a procedure for initially assessing the competence of personnel authorised by the applicant to check, edit, and publish aeronautical information for the aeronautical information services listed in the exposition; and
- (2) establish a procedure to maintain the competence of those authorised personnel; and
- (3) provide those authorised personnel with written evidence of the scope of their authorisation.

175.65 Records

- (a) Each applicant for the grant of an aeronautical information service certificate shall establish procedures to identify, collect, index, store, maintain and dispose of the records that are necessary for the aeronautical information services listed in their exposition.
- (b) The procedures shall ensure that —
- (1) there are records enabling all incoming and outgoing aeronautical information to be readily identified by serial number and date, and that supplementary information can be similarly verified and, where necessary, authenticated; and
 - (2) there is a record of each person who is authorised by the applicant to check, edit, and publish aeronautical information; and
 - (3) there is a record of each occurrence of error correction under the procedures required by 175.63; and
 - (4) there is a record of each internal quality assurance review of the applicant's organisation carried out under the procedures required by 175.67; and
 - (5) all records are legible and of a permanent nature; and
 - (6) all records are retained for at least 5 years except NOTAM, AIP Supplements and Aeronautical Information Circulars, which need only be retained for 30 days after cancellation.

175.67 Internal Quality Assurance

- (a) Each applicant for the grant of an aeronautical information service certificate shall establish internal quality assurance procedures to ensure compliance with, and the adequacy of, the procedures required by this Part.
- (b) The procedures shall specify —
- (1) the level of quality that the applicant intends to achieve; and
 - (2) the level and frequency of internal reviews; and
 - (3) the person or persons responsible for carrying out the internal reviews; and
 - (4) how the findings of the internal reviews are to be recorded and reported to the Chief Executive; and

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- (b) The procedures must ensure that—
- (1) there are records enabling all incoming and outgoing aeronautical information to be readily identified by serial number and date, and that supplementary information can be similarly verified and, where necessary, authenticated; and
 - (2) there is a record of each person who is authorised by the applicant to check, edit, and publish aeronautical information; and
 - (3) there is a record of each occurrence of error correction under the procedures required by rule 175.63; and
 - (4) [revoked]
 - (5) all records are legible and of a permanent nature; and
 - (6) all records are retained for at least 5 years except NOTAM, AIP Supplements and Aeronautical Information Circulars, which need only be retained for 30 days after cancellation.

175.67 Safety management

An applicant for the grant of an aeronautical information service certificate must establish, implement, and maintain a system for safety management in accordance with rule 100.3.

- (5) how quality indicators such as error reports, incidents, and complaints are incorporated into the internal quality assurance procedures; and
- (6) the senior person's responsibilities for analysis and overview of the internal reviews; and
- (7) the means for rectifying any deficiencies found during an internal review; and
- (8) the documentation requirements for all aspects of the review.

(c) The senior person who has the responsibility for internal quality assurance shall have direct access to the Chief Executive on matters affecting the adequacy, accuracy, timeliness, format, and dissemination of the published aeronautical information.

175.69 Organisation Exposition

(a) An applicant for the grant of an aeronautical information service certificate shall provide the Director with an exposition containing —

- (1) a statement signed by the Chief Executive on behalf of the applicant's organisation confirming that —
 - (i) the exposition and any included manuals define the organisation and demonstrate its means and methods for ensuring ongoing compliance with this Part; and
 - (ii) the exposition and any included manuals will be complied with at all times; and
- (2) the titles and names of the senior person or persons required by 175.51(a)(1) and (2); and
- (3) the duties and responsibilities of the senior persons specified in paragraph (a)(2) including matters for which they have responsibility to deal directly with the Director or the Authority on behalf of the organisation; and

175.69 Aeronautical information service organisation exposition

(a) An applicant for the grant of an aeronautical information service certificate must provide the Director with an exposition that contains—

- (1) a statement signed by the chief executive on behalf of the applicant's organisation confirming that the exposition and any included manuals—
 - (i) define the organisation and demonstrate its means and methods for ensuring ongoing compliance with the this Part; and
 - (ii) are to be complied with at all times; and
- (1A) in relation to the system for safety management required by rule 175.67,—
 - (i) all of the documentation required by rule 100.3(b); and
 - (ii) for an applicant that is not applying for a renewal of an information aeronautical service certificate, an implementation plan that describes how the system for safety management will be implemented; and
- (2) the titles and names of the senior person or persons required by rules 175.51(a)(1) and (2); and
- (3) the duties and responsibilities of the senior person or persons required by rules 175.51(a)(1) and (2) including—
 - (i) matters for which they have responsibility to deal directly with the Director

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| | or the Authority on behalf of the organisation; and |
| (4) an organisation chart showing lines of responsibility of the senior persons specified in paragraph (a)(2); and | (4) an organisation chart showing lines of responsibility of the senior person or persons referred to in rules 175.51(a)(1) and (2); and |
| (5) a summary of the applicant's staffing structure for each aeronautical information service listed under paragraph (a)(6); and | (5) a summary of the staffing structure for each aeronautical information service listed under paragraph (a)(6); and |
| | (5A) information identifying the lines of safety responsibility within the organisation; and |
| (6) a list of the aeronautical information services to be covered by the certificate; and | (6) a list of the aeronautical information services to be covered by the certificate; and |
| (7) for a pre-flight information service, details of the area, aerodromes and air routes required by 175.55; and | (7) for a pre-flight information service, details of the area, aerodromes and air routes required by rule 175.55; and |
| (8) the location and address details of the applicable offices required by 175.103(b)(1) and 175.105(1); and | (8) the location and address details of the applicable offices required by rules 175.103(b)(1) and 175.105(1); and |
| (9) details of the applicant's format and standards required by 175.57(a)(1) for their published aeronautical information; and | (9) details of the applicant's format and standards required by rule 175.57(a)(1) for their published aeronautical information; and |
| (10) details of the applicant's procedures required by — | (10) details of the applicant's procedures regarding— |
| (i) regarding the competence of personnel; and | (i) the competence of personnel; and |
| (ii) regarding the control of documentation; and | (ii) the control of documentation; and |
| (iii) regarding the collection of information; and | (iii) the collection of information; and |
| (iv) regarding the publication of aeronautical information; and | (iv) the publication of aeronautical information; and |
| (v) regarding the correction of errors in published information; and | (v) the correction of errors in published information; and |
| (vi) regarding the identification, collection, indexing, storage, maintenance, and disposal of records; and | (vi) the identification, collection, indexing, storage, maintenance, and disposal of records; and |
| (vii) regarding internal quality assurance; and | (vii) [revoked] |
| (11) procedures to control, amend and distribute the exposition. | (11) procedures to control, amend and distribute the exposition. |

(b) The applicant's exposition must be acceptable to the Director.

Subpart C — Operating Requirements

175.109 Changes to Certificate Holder's Organisation

(a) Each holder of an aeronautical information service certificate shall ensure that their exposition is amended so as to remain a current description of the holder's organisation and services.

(b) The certificate holder shall ensure that any amendments made to the holder's exposition meet the applicable requirements of this Part and comply with the amendment procedures contained in the holder's exposition.

(c) The certificate holder shall provide the Director with a copy of each amendment to the holder's exposition as soon as practicable after its incorporation into the exposition.

(d) Where a certificate holder proposes to make a change to any of the following, prior notification to and acceptance by the Director is required:

- (1) the Chief Executive;
- (2) the listed senior persons;
- (3) the aeronautical information services provided by the holder;
- (4) the format and standards for the aeronautical information published under the authority of their certificate.

(e) The Director may prescribe conditions under which a certificate holder may operate during or following any of the changes specified in paragraph (d).

(f) A certificate holder shall comply with any conditions prescribed under paragraph (e).

(g) Where any of the changes referred to in this rule requires an amendment to the certificate, the certificate holder shall forward the certificate to the Director as soon as practicable.

(h) The certificate holder shall make such amendments to the holder's exposition as the

(b) The applicant's exposition must be acceptable to the Director.

Subpart C — Operating Requirements

175.109 Changes to certificate holder's organisation

(a) A holder of an aeronautical information service certificate must ensure that the holder's exposition is amended so as to remain a current description of the holder's organisation and services.

(b) The certificate holder must ensure that any amendment made to its exposition meets the applicable requirements of this Part and complies with the amendment procedures contained in its exposition.

(c) The certificate holder must forward to the Director for retention a copy of each amendment to its exposition as soon as practicable after the amendment is incorporated into its exposition; and

(d) Before a certificate holder changes any of the following, prior acceptance by the Director is required:

- (1) the chief executive;
- (2) the listed senior persons;
- (3) the aeronautical information services provided by the holder;
- (4) the format and standards for the aeronautical information published under the authority of their certificate.
- (5) the system for safety management, if the change is a material change;

(e) The Director may impose conditions under which a certificate holder must operate during or following any of the changes specified in paragraph (d).

(f) A certificate holder must comply with any condition imposed by the Director under paragraph (e).

(g) If any change referred to in this rule requires an amendment to the certificate, the certificate holder must forward the certificate to the Director for endorsement of the change as soon as practicable.

(h) The certificate holder shall make such amendments to its exposition as the Director

Director may consider necessary in the interests of aviation safety.

175.111 Safety Inspections and Audits

(a) The Director may in writing require the holder of an aeronautical information service certificate to undergo or carry out such inspections and audits of the holder's offices, facilities, documents, and records as the Director considers necessary in the interests of civil aviation safety and security in accordance with section 15 of the Act.

(b) The Director may require the holder of an aeronautical information service certificate to provide such information as the Director considers relevant to the inspection or audit.

may consider necessary in the interests of aviation safety.

175.111 Revoked

Subpart G — Transition Provisions

175.301 Transition for aeronautical information service certificate holders and applicants

(a) This rule applies to each—

- (1) aeronautical information service certificate holder;
- (2) aeronautical information service certificate applicant.

(b) Before 1 February 2018, an organisation to which this rule applies—

- (1) is not required to comply with—
 - (i) rule 175.51(a)(2)(ii), if instead of a senior person responsible for the system for safety management, the organisation has a senior person responsible for internal quality assurance;
 - (ii) rule 175.67, if instead of establishing, implementing, and maintaining the system for safety management, the organisation has established an internal quality assurance system that complies with rule 175.303;
 - (iii) rule 175.69(a)(1A);
 - (iv) rule 175.69(a)(3)(ii);
 - (v) rule 175.69(a)(5A); but
- (2) by 30 July 2016 must submit to the Director with the accompanying completed CAA form an implementation plan that—

- (i) includes a proposed date for implementation of the system for safety management; and
 - (ii) outlines how the organisation plans to implement the system for safety management required under rule 175.67.
- (c) The Director will, if acceptable—
 - (1) approve the organisation's implementation plan; and
 - (2) set the date for implementation of the system for safety management.
- (d) To avoid doubt, the date for implementation is the date the Director approves the system for safety management.
- (e) In setting the date under rule 175.301(c)(2), the Director must have regard to the following:
 - (1) the capability of the organisation;
 - (2) the complexity of the organisation;
 - (3) the risks inherent in the activities of the organisation;
 - (4) the date of any certificate renewal;
 - (5) any resource or scheduling impacts on the organisation or the Authority or both;
 - (6) the date for implementation must not be later than 1 February 2018.
- (f) If the organisation is an applicant for an aeronautical information service certificate it must submit its application for such a certificate together with the plan for implementation of the system for safety management.
- (g) This rule expires on 1 February 2018.

175.303 Transitional internal quality assurance for aeronautical information service certificate holders and applicants

The internal quality assurance system required by rule 175.301(b)(1)(ii) must be established to ensure the organisation's compliance with, and the adequacy of, the procedures required by this Part.

- (a) The procedures must specify —
 - (1) the level of quality that the applicant intends to achieve; and
 - (2) the level and frequency of internal reviews; and
 - (3) the person or persons responsible for carrying out the internal reviews; and
 - (4) how the findings of the internal reviews are to be recorded and reported to the chief executive; and
 - (5) how quality indicators such as error reports, incidents, and complaints are incorporated into the internal quality assurance procedures; and
 - (6) the senior person's responsibilities for analysis and overview of the internal reviews; and
 - (7) the means for rectifying any deficiencies found during an internal review; and
 - (8) the documentation requirements for all aspects of the review.
- (b) The senior person who has the responsibility for internal quality assurance must have direct access to the chief executive on matters affecting the adequacy, accuracy, timeliness, format, and dissemination of the published aeronautical information.
- (c) This rule expires on 1 February 2018.