

## ANNEX C

# **Maintenance organisation policies for organisations that provide maintenance for aircraft in air transport operation under Parts 133 and 135**

## **Maintenance organisation policies for organisations that provide maintenance for aircraft in air transport operation under Parts 133 and 135**

### **Purpose of this Annex**

Annex 3 to the sets out the policies for the initial approval and continuation of the approval of an organisation that will be able to carry out maintenance on aircraft and aeronautical products for aircraft that are authorised to operate under Parts 133 and 135 of CASR.

### **Application of proposed policies in this document**

The proposed policies in this document apply to the following persons:

- (a) the applicant for the maintenance organisation approval;
- (b) the holder of the maintenance organisation approval.

## **Section A Preliminary**

### **A.01 Meaning of terms used in this document**

- (1) In this document:  
*human factors principles*, in relation to maintenance, means principles that deal with the interaction between human performance and various aspects of maintenance that are applied to improve safety of air navigation.
- (2) *human performance*, in relation to maintenance, means the human capabilities and limitations that have an effect on the safety of air navigation, such as fitness, health, stress, fatigue, drugs and alcohol, and work environment.

## **Section B Approval of a maintenance organisation**

### **B.01 Applying for approval**

- (1) A person (the applicant) will be able to apply to CASA for a maintenance organisation approval.
- (2) The application must include:
  - (a) a copy of the applicant's proposed procedures manual; and
  - (b) the proposed scope of the approval as per subclause (3) and (4); and
  - (c) information to demonstrate that the applicant has or has access to relevant resources required under Appendix 1 to carry out maintenance covered by the proposed scope of approval including:
    - (i) personnel;
    - (ii) facilities;
    - (iii) tools and equipment;
    - (iv) instructions for continuing airworthiness.
- (3) The applicant must apply for a scope of approval in terms of:
  - (a) if the applicant intends to carry out maintenance on non-type rated aircraft with a piston engine:
    - (i) the class of aircraft (aeroplane or rotorcraft);
    - (ii) the extent of maintenance;
    - (iii) the locations of maintenance;

- (b) if the applicant intends to carry out maintenance on type rated aircraft or aircraft with a turbine engine;
    - (i) the aircraft type;
    - (ii) the extent of maintenance;
    - (iii) the locations of maintenance.
  - (c) if the applicant intends to carry out maintenance on an aeronautical product, other than an engine and propeller:
    - (i) the kind of aeronautical product;
    - (ii) the extent of maintenance;
    - (iii) the locations maintenance;
  - (d) if the applicant intends to carry out maintenance on a piston engine:
    - (i) the extent of maintenance;
    - (ii) the locations maintenance;
  - (e) if the applicant intends to carry out maintenance on turbine engine:
    - (i) the engine type;
    - (ii) the extent of maintenance;
    - (iii) the locations maintenance;
  - (f) if the applicant intends to carry out maintenance on a propeller:
    - (i) the propeller type;
    - (ii) the extent of maintenance;
    - (iii) the locations maintenance.
- (4) If the applicant intends to carry out a kind of maintenance (such as welding and non-destructive testing) that is not restricted to a class of aircraft, an aircraft type or a kind of aeronautical product, the applicant must apply for a scope of approval in terms of:
- (a) the kind of maintenance the applicant intends to carry out;
  - (b) whether the maintenance will be carried out on an aircraft or an aeronautical product.

## **B.02 Issuing approval**

- (1) CASA will approve an applicant as a maintenance organisation if CASA is satisfied that the applicant complies with the requirements of Appendix 1 and any other applicable requirements of the legislation for the issue of an approval.
- (2) CASA will issue an approval certificate in an approved form setting out the approved scope of the approval in terms of the scope defined in subclause B.01(3) and (4).

## **B.03 Continuation of the approval**

Continued validity of maintenance organisation approval will depend upon the organisation remaining in compliance with the requirements of Appendix 1, any other applicable requirements of the legislation and the organisation's procedure manual.

## **Section C Scope of approval**

### **C.01 Privileges of a maintenance organisation**

A maintenance organisation may:

- (a) carry out maintenance on aircraft and aeronautical products that the organisation is approved to carry out at a location;

- (b) carry out maintenance on aircraft and aeronautical products that the organisation is approved to carry out at a location that is not approved subject to any conditions or limitation in clause C.03;
- (c) issue a certificate of release to service for an aircraft and an aeronautical product in relation to maintenance carried out on the aircraft and aeronautical product;
- (d) fabricate parts for aircraft and aeronautical products on which the organisation carries out maintenance.
- (e) change maintenance data for any maintenance the organisation is approved to carry out on aircraft and aeronautical products.

### **C.02 Approval subject to conditions**

A maintenance organisation must at all times comply with, and must ensure that its personnel comply with:

- (a) the organisation's procedures manual; and
- (b) the limitations and conditions of the approval certificate; and
- (c) applicable legislation.

### **C.03 Location of maintenance**

- (1) With the exception mentioned in subclause (2) and (3), a maintenance organisation will only be able to carry out maintenance on an aircraft or an aeronautical product at a location if the organisation is approved to carry out the maintenance on the aircraft or the aeronautical product at the location.
- (2) A maintenance organisation will be able to carry out maintenance at a location that the organisation is not approved for carrying out the maintenance (*temporary location*) if:
  - (a) the maintenance is unscheduled maintenance that is carried out to rectify a defect on an aircraft; and
  - (b) the maintenance organisation has access to relevant facilities and resources at the location, that meet the requirements of the legislation.
- (3) If due to unforeseen circumstances, a maintenance organisation is required to carry out scheduled maintenance at a location at which the organisation is not approved to carry out the maintenance, the organisation must notify CASA in writing of its decision to carry out the maintenance at the location at least 3 days before the planned date of maintenance.
- (4) Before a maintenance organisation carries out scheduled maintenance at an unapproved location, the organisation must carry out an assessment of the suitability of the facility at the location for carrying out of the maintenance.
- (5) A maintenance organisation must keep copies of the assessment carried out in accordance with subclause (4), for 2 years after the organisation carries out the maintenance.
- (6) A notification sent by a maintenance organisation to CASA in accordance with subclause (3) must include the following information:
  - (a) the extent of maintenance;
  - (b) the date of the planned maintenance;
  - (c) the location in terms of the address of the facility where the maintenance will be carried out;
  - (d) identify the aircraft or aeronautical product on which the maintenance will be carried out;
  - (e) the circumstances under which the maintenance will have to be carried out;
  - (f) a copy of the assessment.

## **Section D Changes to the organisation**

### **D.01 Significant change to an organisation**

A significant change, in relation to a maintenance organisation, means any of the following changes:

- (a) a change to the name of the organisation's legal entity;
- (b) a change to the organisation's existing scope of approval;
- (c) addition or removal of a maintenance facility;
- (d) a change of individual holding the position of accountable manager in the organisation; or
- (e) any change to the organisation's facilities, equipment, tools, certifying employees or other resources that could adversely affect the organisation's ability to carry out maintenance that it is approved to carry out.

### **D.02 Application for approval of significant changes**

- 4.2.1 If a maintenance organisation proposes to make a significant change to the organisation, the organisation must apply to CASA for approval of the change;
- 4.2.2 The application must:
  - (a) set out the proposed change;
  - (b) include a copy of the part of the manual affected by the change, showing the change.
- 4.2.3 If the change is a change to the management personnel mentioned in paragraph D.01(d) and the organisation was not able to apply for an approval for the change before the change took place, the organisation must apply within 7 days after making the change.

### **D.03 Actions in relation to unforeseen significant changes**

- 4.3.1 If the change is an unforeseen change to the organisation mentioned in paragraph D.01(e), the organisation must notify CASA of the change within 3 days of the change taking place.
- 4.3.2 If the change is not expected to be permanent, the organisation must cease to carry out any specific maintenance that the organisation is not able to carry out properly due to the change.
- 4.3.3 If the change is expected to be permanent, the organisation must:
  - (a) cease to carry out any specific maintenance that the organisation is not able to carry out properly due to the change; and
  - (b) apply to CASA for a change to its scope of approval to the extent necessary based on its inability to carry out any specific maintenance.

## **Section E Additional privileges of a maintenance organisation**

### **E.01 Fabrication in course of maintenance**

- (1) The maintenance organisation may fabricate parts, in accordance with the requirements of the legislation, for an aircraft on which it is carrying out maintenance.
- (2) The organisation must have the appropriate technical capabilities such as facilities, tools, equipment and competent persons for the fabrication process.

*Note: The policy for the circumstances under which a part may be fabricated how it must be fabricated by a maintenance organisation is included in Annex 2 subsection E.5.*

**E.02 Changing maintenance data**

- (1) The maintenance organisation may change maintenance data under the following circumstances:
  - (a) to allow maintenance to be carried out in a more practical or efficient manner;
  - (b) maintenance data cannot be complied with because of inconsistency in the data;
  - (c) to allow use of substitute tools and equipment.
- (2) If the maintenance organisation wants to change maintenance data, the organisation must produce changed data in writing and must ensure:
  - (a) the changed data provides for the same maintenance outcome that is intended by the original data;
  - (b) the change is purely procedural and does not change any limits, inspection or test parameters mentioned in the original maintenance data;
  - (c) the changed data is clearly identified as data changed by the maintenance organisation;
  - (d) the change to data is approved by an individual who has been authorised by the maintenance organisation for this purpose.
- (3) The individual approving the changed data must ensure:
  - (a) the data is changed in accordance with the requirement of subclause (2);
  - (b) the changed data provides for safe maintenance practice, serviceable aeronautical products and airworthy aircraft.

## Appendix 1

### Requirements to be met by the organisation for the issue and continuation of the approval

Reference: Subclause B.01(2), Clause B.02 and B.03

#### 1 Procedures manual

- 1.1 A maintenance organisation must have a procedures manual that includes process and procedures to:
- (a) ensure maintenance carried out by individuals on behalf of the organisation is carried out in accordance with the requirements of the legislation while considering human factors and human performance limitation; and
  - (b) ensure the organisation complies with requirements of the legislation at all times.
- 1.2 The procedures manual must include:
- (a) the maintenance organisation's name, registered address and contact details;
  - (b) a description of the maintenance organisation's scope of approval specific to each location;
  - (c) a brief description of the organisation's facilities at each location;
  - (d) a reference to the register of locations;
  - (e) an organisation chart showing the organisation's structure and chains of responsibility of positions within the organisation;
  - (f) the names of personnel nominated to the following positions:
    - (i) accountable manager;
    - (ii) responsible manager;
    - (iii) head of quality;
    - (iv) head of safety;
  - (g) the responsibilities of all positions identified in the organisational structure;
  - (h) a reference to the certification authorisation register;
  - (i) a reference to the register of sub-contractors;
  - (j) the safety management system or a description of how the manual integrates a safety management system;
  - (k) procedures for amending the manual;
  - (l) a statement signed by the accountable manager confirming that the manual and associated procedures establish compliance to the relevant requirements of the legislation.
- 1.3 The maintenance organisation must amend the manual as and when necessary to ensure information in the manual remains up to date and continues to provide compliance with the legislation.
- 1.4 The maintenance organisation must provide the manual and subsequent amendment of the manual to all the personnel of the organisation and to CASA;

#### 2 Facilities

- 2.1 The maintenance organisation must provide appropriate facilities at each location that are suitable for carrying out the maintenance that the organisation is approved to carry out at the location. The facilities must:
- (a) protect aircraft and aeronautical products from contamination during maintenance; and

- (b) if applicable, provide environmental conditions specified in the applicable maintenance data for carrying out the maintenance; and
  - (c) allow maintenance to be carried out in environment that does not adversely affect human performance. This includes provision of:
    - (i) environmental and temperature control;
    - (ii) adequate level of lighting; and
    - (iii) protection from excessive noise.
- 2.2 The maintenance organisation must provide accommodation for the management and other personnel that is suitable for performing their duties and for maintenance personnel to complete maintenance records. The accommodation must be of a standard that will allow them to perform their duties without undue distraction or discomfort.
- 2.3 The maintenance organisation must provide storage facilities to ensure secure storage of:
  - (a) aeronautical products and materials; and
  - (b) tooling and equipment and;
  - (c) maintenance records.The storage facilities must protect the stored items from damage and deterioration.
- 2.4 The maintenance organisation must ensure storage facilities allow for segregation of serviceable and unserviceable:
  - (a) aeronautical products; and
  - (b) tools and equipment.

### **3 Tools and Equipment**

- 3.1 The maintenance organisation must have or have access to all tools and equipment necessary for carrying out the maintenance that the organisation is approved to carry out.
- 3.2 The maintenance organisation must ensure that tools and equipment are maintained in proper working order and stored appropriately to prevent damage and deterioration.
- 3.3 The maintenance organisation must ensure measuring and testing equipment that requires calibration is controlled and calibrated at appropriate intervals to ensure serviceability and accuracy considering:
  - (a) the equipment manufacturer's recommendations; and
  - (b) applicable national standards; and
  - (c) the extent of use and reliability of the item.
- 3.4 The maintenance organisation must keep all documents that substantiate the calibration status of equipment.
- 3.5 If the maintenance organisation becomes aware that any tool or equipment, that was not properly calibrated, was used to carry out maintenance on an aircraft or aeronautical product, the organisation must consider the effect of the maintenance on the aircraft or the aeronautical product and take action to address any safety concerns.
- 3.6 The maintenance organisation must ensure that equipment or tools which belong to an employee or which are provide by another person, comply with the maintenance organisation's procedures for maintenance and calibration for these.
- 3.7 If the maintenance organisation proposes to use any tool or equipment other than that is specified in the maintenance data for the maintenance, the maintenance organisation must ensure:
  - (a) that the substitute tool or equipment has been evaluated and determined to perform its functions to at least the same standard as the specified tooling or equipment; and



(b) the substitute tool or equipment can be used without the need to change the maintenance procedure in the maintenance data;

3.8 The approval for use of substitute tools or equipment must be given by the relevant responsible manager.

#### **4 Instructions for continuing airworthiness**

4.1 The maintenance organisation must have access to all applicable instructions for continuing airworthiness for maintenance that the organisation is approved to carry out.

4.2 The maintenance organisation must ensure that the instructions for continuing airworthiness are current and applicable to the maintenance being carried out and this obligation extends to any data that is provided by another person.

4.3 The instructions for continuing airworthiness must be available to the maintenance personnel at the time they carry out the maintenance and at any other time they need it.

4.4 The maintenance organisation must ensure that any inaccurate, inappropriate, incomplete or ambiguous maintenance data is not used to carry out maintenance and that the person responsible for publishing the data is notified to amend the data.

#### **5 Personnel – general**

5.1 The maintenance organisation must have sufficient personnel to plan, carry out, supervise and certify for the planned level of maintenance taking into account human performance limitations.

5.2 The maintenance organisation must re-assess its ability to perform the planned maintenance if there is a significant reduction to the numbers of personnel.

5.3 The maintenance organisation must ensure personnel that are required under subsection 5.1 are competent to perform the tasks they are required to perform.

#### **6 Management personnel**

6.1 The maintenance organisation must nominate an accountable manager who has the ultimate authority and responsibility for ensuring that the organisation:

(a) has adequate resources to carry out maintenance to the standards required by the legislation; and

(b) complies with:

(i) the organisation's procedures manual; and

(ii) the limitations and conditions of the approval certificate; and

(iii) applicable legislation.

6.2 The accountable manager must have:

(a) a comprehensive understanding of his or her obligation under the legislation; and

(b) a general understanding of the legislation related to continuing airworthiness of aircraft and aeronautical products; and

(c) a general understanding of the organisation's procedures manual.

6.3 The maintenance organisation must nominate one or more appropriately qualified responsible managers with the responsibility for controlling the activities of the organisation that are assigned to the position, to ensure that the activities are carried out according to:

(a) the organisation's procedures manual; and

(b) the limitations and conditions of the approval certificate; and

(c) applicable legislation.

- 6.4 The responsible managers required under subsection 6.3 must report to the accountable manager in relation to their responsibility.
- 6.5 The responsible managers required under subsection 6.3 must have:
- (a) a comprehensive understanding of continuing airworthiness legislation that relate to their responsibilities; and
  - (b) a comprehensive understanding of the process and procedures in the organisation's procedures manual that relates to their responsibilities; and
  - (c) experience in the maintenance of aircraft or aeronautical products as applicable to their area of responsibility.
- 6.6 The maintenance organisation must nominate an appropriately qualified individual as head of quality with the responsibility for:
- (a) managing the organisation's compliance monitoring system, and
  - (b) ensuring that the individual who performs internal audits of the organisation is:
    - (i) competent to perform audits; and
    - (ii) independent of the activities being audited.
- 6.7 The head of quality must report to the accountable manager in relation to their responsibility and ensure that the accountable manager is properly informed of matters relating to non-compliance.
- 6.8 The maintenance organisation must nominate an appropriately qualified individual as head of safety with responsibility for managing the organisation's safety management system.
- 6.9 The head of safety must report to the accountable manager in relation to their responsibility and ensure that the accountable manager is properly informed of any safety concerns.
- 6.10 One individual may fill several or all of the management personnel positions provided the individual meets the qualification requirements for the relevant positions as mentioned in this subsection and is able to fulfil the responsibilities of each position considering the size and complexity of the organisation.

## **7 Certification authorisation**

- 7.1 The maintenance organisation must issue certification authorisation to individuals who, on behalf of the organisation:
- (a) perform maintenance certification for maintenance carried out on aircraft or aeronautical products; or
  - (b) issue certificates of release to service for aircraft or aeronautical products;
- 7.2 The maintenance organisation must ensure the certification authorisation is issued on behalf of the organisation by a responsible manager of the organisation or the individual who holds the position of head of quality.
- 7.3 Before a maintenance organisation issues a certification authorisation for an activity mentioned in subsection 7.1, the organisation must assess the competency of the individual to exercise the privileges of the certification authorisation.
- 7.4 When assessing the competency of an individual for the issue of a certification authorisation, the maintenance organisation must consider the individual's qualifications, training and experience that are relevant and must ensure that the individual meets the following minimum standards:
- (a) the individual must be at least 21 years of age;
  - (b) the individual must have at least 6 months of relevant aircraft or aeronautical product maintenance experience in the 2-year period preceding the issue of the certification authorisation;

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- (c) for a certification authorisation to issue a certificate of release to service for aircraft in relation to maintenance carried out on the aircraft, the individual must hold an aircraft engineer licence with relevant privilege.
- (d) for a certification authorisation to perform maintenance certification for maintenance carried out on an aircraft, other than welding and non-destructive testing which falls outside the scope of an aircraft engineer licence, the individual must hold an aircraft engineer licence with relevant privilege;
- (e) for a certification authorisation to perform maintenance certification for maintenance carried out on an aircraft that a pilot licence holder is authorised to carry out, the individual must hold a category B1 or B2 aircraft engineer licence and must be trained by the maintenance organisation for the maintenance;
- (f) for a certification authorisation to perform verification of critical control system maintenance carried out on an aircraft, the individual must hold:
  - (i) an aircraft engineer licence that allows the individual to perform maintenance certification for critical control system maintenance on an aircraft having a control system of similar technology and construction; or
  - (ii) an aircraft engineer licence provided the individual has been trained by the maintenance organisation to perform verification of the aircraft control system and has been assessed for the competency;
- (g) for a certification authorisation to perform maintenance certification for non-destructive testing carried out on an aircraft or aeronautical product, the individual must hold:
  - (i) an applicable authorisation issued by CASA; or
  - (ii) an applicable aviation industry qualification for non-destructive testing.
- (h) for a certification authorisation to certify for a welding task for an aircraft or aeronautical product, the individual must hold:
  - (i) an applicable CASA welding authority; or
  - (ii) an applicable aviation industry qualification for welding.

7.5 If the maintenance organisation is unable to comply with paragraphs 7.4(c) and (d) in relation to certification authorisation for a type rated aircraft, for reason beyond the control of the organisation (for example unavailability of type training for the aircraft, or unavailability of appropriately licenced personnel), the organisation will be able to authorise an individual under the following circumstances.

- (a) the individual being authorised holds an aircraft engineer licence on an aircraft of similar size and complexity;
- (b) the privilege to perform maintenance certification under the authorisation does not exceed the individual's privilege under the licence he or she holds;
- (c) the aircraft structure, system or engine, to which the privilege to perform maintenance certification under the authorisation relates, is similar in technology and construction to the aircraft structure, system or engine to which the privilege of the licence relates;
- (d) the individual has been trained or will be trained by the organisation to a level that is appropriate for the scope of their privilege under the authorisation;
- (e) the organisation has asked CASA in writing setting out:
  - (i) the reason for not being able to comply with paragraphs 7.4(c) and (d); and
  - (ii) details of the level of training provided or to be provided to the individual;
- (f) CASA is satisfied of the matters mentioned under sub-paragraphs 7.5(e) (i) and (ii).

7.6 The maintenance organisation must ensure that any certification authorisation is issued for a

period not exceeding 2 years, and that any qualifications that are the basis for the issue of the authorisation remain valid for the duration.

- 7.7 The maintenance organisation must keep a copy of each certification authorisation that the organisation has issued to an individual, and records of the assessment carried out under subsection 7.3. along with any substantiating document, for 2 years after the individual ceases to hold the certification authorisation.
- 7.8 The certification authorisation must be issued to the individual in writing and must include the following information:
- (a) the name of the authorised individual;
  - (b) the scope of the authorisation;
  - (c) reference number for the authorisation;
  - (d) the date of issue and expiry of the authorisation.
- 7.9 The maintenance organisation must have a certification authorisation register that contains the following information about each certification authorisation that the organisation has issued:
- (a) the name of the authorised individual;
  - (b) the scope of the authorisation;
  - (c) the authorisation reference number;
  - (d) the date of issue and expiry of the authorisation.

## **8 Training**

- 8.1 The maintenance organisation must assess training needs of all the organisation's personnel and ensure that they are trained as required under this section.
- 8.2 The maintenance organisation must provide necessary training to all personnel on the relevant processes and procedures included in the manual which relate to the responsibilities of the personnel.
- 8.3 The maintenance organisation must provide necessary training to maintenance personnel in the following areas:
- (a) technical training relating to aircraft and aeronautical product maintenance to ensure competency of personnel carrying out maintenance on aircraft or aeronautical products;
  - (b) training on use of equipment and tooling;
  - (c) training on aircraft ground handling and servicing;
  - (d) human factors and human performance issues;
- 8.4 The maintenance organisation must provide recurrent training to the maintenance personnel on the matters mentioned in subsection 8.3 at intervals determined by the organisation based on the need.
- 8.5 The maintenance organisation must keep records of training provided to its personnel for 2 years after the personnel are no longer employed by the organisation in the position for which they were trained.

## **9 Handling and control of aeronautical products**

- 9.1 The maintenance organisation must ensure that aeronautical products are protected from damage or deterioration during handling, shipping or storage.
- 9.2 The maintenance organisation must ensure that all incoming aeronautical products and associated documents are assessed to establish that the identity and condition of the aeronautical product is consistent with information mentioned in the documents.

- 9.3 The maintenance organisation must ensure that all aeronautical products under the possession of the organisation are classified based on their serviceability status and are labelled, segregated and stored as per this section and any other relevant requirements of the legislation.
- 9.4 If the status of an aeronautical product (in terms of its serviceability and traceability etc.) cannot be established, it must be segregated from other aeronautical products until the status of the aeronautical product is established.
- 9.5 The maintenance organisation must keep all documents that substantiate that an aeronautical product is serviceable, for:
- (a) if the aeronautical product is under the possession of the maintenance organisation – the duration it has possession of the product; or
  - (b) if the aeronautical product is fitted to an aircraft or aeronautical product – 2 years after the product is fitted.

## **10 Use of worksheets for maintenance**

- 10.1 The maintenance organisation must require the use of worksheets for:
- (a) recording maintenance; and
  - (b) establishing progress and status of maintenance.
- 10.2 The worksheets must allow recording of all information that is required to be recorded in a maintenance record.
- 10.3 The maintenance organisation must ensure a maintenance task is divided into stages using a worksheet which would allow separately recording maintenance for each stage if:
- (a) the maintenance task is complex or extensive; or
  - (b) there is change of personnel during the maintenance.
- 10.4 If a maintenance task is divided into stages as per subsection 10.3, the maintenance organisation must ensure that the maintenance data for the task is transcribed onto the worksheet or that the worksheet refers to the maintenance data for each stage of maintenance.
- 10.5 The maintenance organisation must ensure worksheets completed during maintenance are identified with unique identification and accounted for.

## **11 Contracting maintenance**

- 11.1 Contracting maintenance by a maintenance organisation means entering into an arrangement with another appropriately authorised person (a maintenance organisation or individual) that requires the person to:
- (a) carry out maintenance on an aircraft and aeronautical product; and
  - (b) issue a certificate of release to service for the aircraft and aeronautical product in relation to the maintenance.
- 11.2 The maintenance organisation contracting the maintenance must verify that the contracted person holds the appropriate approval to carry out the maintenance on the aircraft or aeronautical product.
- 11.3 If the contracted person carries out the maintenance at the facility of the organisation that has contracted the maintenance, the organisation which has contracted the maintenance must facilitate carrying out of the maintenance and must take responsibility for the associated maintenance for which the contracted person is not responsible.
- 11.4 The maintenance organisation contracting the maintenance must ensure that the person contracted to carry out the maintenance has issued a certificate of release to service for the aircraft and aeronautical product in relation to the maintenance.

## **12 Sub-contracting maintenance**

- 12.1 Subcontracting maintenance by a maintenance organisation means entering into an arrangement with another person (individual or organisation) who does not hold an authorisation to:
- (a) carry out the maintenance on an aircraft and aeronautical product; and
  - (b) issue certificate of release to service for the aircraft and aeronautical product in relation to the maintenance.
- 12.2 The maintenance organisation may subcontract a person to carry out maintenance on an aircraft and aeronautical product provided:
- (a) the maintenance organisation's scope of approval covers the maintenance;
  - (b) the subcontracted person has been assessed by the maintenance organisation and has been found to have the appropriate personnel, facility, tools, equipment and access to data required under the legislation to carry out the maintenance;
  - (c) the subcontracted person is listed in the register required under subsection 12.3 as a subcontractor;
  - (d) the maintenance organisation ensures that the maintenance is carried out by competent personnel in an appropriate facility, using tools, equipment and data that are required under the legislation to carry out the maintenance;
  - (e) maintenance is carried out under the control and supervision of the maintenance organisation using procedures set out in the organisation's manual;
  - (f) maintenance certification for the maintenance is carried out by an individual authorised by the maintenance organisation and on the worksheet of the organisation.
- 12.3 The maintenance organisation must have a register of sub-contractors.

## **13 Register of locations**

- 13.1 A maintenance organisation must have a register of locations that includes a list of all the locations the organisation is approved to carry out the maintenance along with following information:
- (a) the location in terms of the address of the facility;
  - (b) a floor plan showing the layout of the facility;
  - (c) the scope of maintenance that the organisation is approved to carry out at the location;
  - (d) the date the location was approved.
- 13.2 A maintenance organisation must include in the register of locations a separate list of unapproved locations where maintenance has been carried out in the past 2 years. The list must include the following information:
- (a) a brief description of the maintenance;
  - (b) the location in terms of the address where the maintenance was carried out;
  - (c) identify the aircraft or aeronautical product on which the maintenance was carried out;
  - (d) the date the maintenance was carried out;
  - (e) whether the maintenance was scheduled or unscheduled maintenance.

## **14 Compliance monitoring**

- 14.1 The maintenance organisation must carry out independent audits to monitor:
- (a) the organisation's compliance with the requirements of the legislation and its procedures manual; and
  - (b) the adequacy of the organisation's process and procedures in ensuring compliance with requirements of the legislation; and
  - (c) the standard of maintenance being carried out under the organisation's scope of approval meets the requirements of legislation.

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- 14.2 The audit must be carried out in accordance with a documented plan which ensures all items to be audited under subsection 14.1 are audited once every 12 months.
- 14.3 The maintenance organisation must ensure all audit findings are recorded and:
- (a) reported to;
    - (i) the accountable manager; and
    - (ii) the responsible manager who is responsible for the process and procedures to which the finding relates or is responsible for complying with a requirement to which the finding relates.
- 14.4 The maintenance organisation must ensure:
- (a) corrective and preventative actions are implemented for any deficiencies identified in the audit findings; and
  - (b) feedback is provided to the person responsible for compliance monitoring about the corrective and preventative action implemented.
- 14.5 The audits must be carried out by individuals who are independent of the items being audited and who:
- (a) have comprehensive knowledge of the maintenance organisation's procedure manual; and
  - (b) have knowledge of the legislation applicable to maintenance of aircraft and aeronautical products; and
  - (c) have:
    - (i) successfully completed a course in quality audit which is at least equivalent to the type of course required for a person to gain certification as a lead auditor; or
    - (ii) 3 years' experience in performing audits of an organisation's process and procedures.
- 14.6 The maintenance organisation must keep records containing the following information in relation to the audit:
- (a) the scope and contents of the audit;
  - (b) when the audit was carried out;
  - (c) the identity of each individual performing the audit;
  - (d) the findings of the audit;
  - (e) details of preventive and corrective actions implemented for any deficiencies identified in the findings of the audit.
- 14.7 The records mentioned in subsection 14.6 must be kept for at least 2 years from the date the audit was conducted.

## **15 Safety management system**

- 15.1 The maintenance organisation must have a safety management system comprising relevant elements of a safety management system that are appropriate:
- (a) to the size and complexity of organisation; and
  - (b) the scope of the maintenance organisation's approval.
- 15.2 The maintenance organisation will be able to integrate common elements of the safety management system with another system such as quality system.
- Note: CASA will provide guidance and acceptable means of compliance for a safety management system for a maintenance organisation.

## **16 Human Factors**

- 16.1 The maintenance organisation must implement maintenance practices that are consistent with human factors principles and human performance limitations taking into account the requirements of this Section and any other requirements of the legislation that applies to the performance of the maintenance.

- 16.2 The maintenance organisation must consider human performance limitations when planning and scheduling maintenance to ensure maintenance can be completed without undue haste and within the limitations of human performance.
- 16.3 The maintenance organisation must ensure that an employee does not perform maintenance if the employee's capacity to perform the maintenance is significantly impaired.
- 16.4 The maintenance organisation must ensure that there is communication of information about the progress and status of maintenance, when there is change of personnel carrying out particular maintenance.

**17 Retention of records**

- 17.1 The maintenance organisation must keep all records that must be kept under the legislation for the duration mentioned in the legislation.
- 17.2 The records must be kept in a manner to allow the record to be:
  - (a) easily accessible and readable; and
  - (b) protected from unintended alteration; and
  - (c) protected from damage and deterioration.