

## 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 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 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 must 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. 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.

## Transition Provisions

Some of the rule references shown are affected by the Transitional Provisions shown in Part 146.151. These are annotated with the letters '**TP**'. Reference should be made to the rule part to determine if these are to be included.

**Applicant:**

**CAA participant  
number:**

**Manuals submitted:**

**Revision:**

**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: (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	CAA comments (for CAA use only)
<b>146.67 Exposition</b>		
146.67(a)(1)(i) <i>CE statement</i>		
146.67(a)(1)(ii) <i>CE statement</i>		
146.67(a)(1A)(i) <b>TP</b> [100.3(b)] <i>SMS documentation</i>		
146.67(a)(1A)(ii) <b>TP</b> <i>SMS implementation plan</i>		
146.67(a)(2) [146.51(a)(1)-(3)] <b>TP</b> <i>List of senior persons</i>		
146.67(a)(3)(i) [146.51(a)(1)-(3)] <i>Responsibility to deal with CAA</i>		
146.67(a)(3)(ii) <b>TP</b> [146.51(a)(1)-(3)] <i>Responsibilities for safety management</i>		
146.67(a)(4) <i>Organisation chart</i>		
146.67(a)(4A) <b>TP</b> <i>Lines of safety responsibility</i>		
146.67(a)(5) <i>Locations and facilities</i>		

Rule reference	Manual references / applicant's comments	CAA comments (for CAA use only)
146.67(a)(6) <i>Environmental conditions</i>		
146.67(a)(7) [146.51(a)(5)] <i>Staffing structure</i>		
146.67(a)(8) <i>Scope of work</i>		
146.67(a)(9) <i>Design control system</i>		
146.67(a)(10) <i>Authorisations to other persons</i>		
<b>Procedures</b> 146.67(a)(11)(i)-(xiii)	<i>For all exposition-based procedures use 146.51, 146.55, 146.59, 146.61, 146.63 and 146.65 sections below</i>	
146.67(a)(12) <i>Control of exposition</i>		
146.105 <i>Changes to organisation</i>		
<b>146.51 Competency</b>		
146.51(b)(1) <i>Assessing and maintaining competence</i>		
146.51(b)(2) <i>Written authorisation</i>		
<b>146.53 Facility requirements</b>		
146.53(b)(1) <i>Office</i>		

Rule reference	Manual references / applicant's comments	CAA comments (for CAA use only)
146.53(b)(2) <i>Storage</i>		
146.53(c) <i>Environmental requirements</i>		
<b>146.55 Equipment, tools and data</b>		
146.55(1) <i>Access to equipment, tools, and data</i>		
146.55(2)(i) <i>Control and calibration</i>		
146.55(2)(ii) <i>Control and confirmation of data</i>		
<b>146.57 Design control system</b>		
146.57(a)(1) <i>Confirmation of data</i>		
<b>Subcontractors</b> 146.57(a)(2)(i) <i>Each activity identified</i>		
146.57(a)(2)(ii) <i>Each activity complies with exposition</i>		
146.57(a)(3) <i>Design issued with statement of compliance</i>		
146.57(a)(4) <i>Design approved by delegation holder</i>		

Rule reference	Manual references / applicant's comments	CAA comments (for CAA use only)
<b>146.59 Design control procedures</b>		
146.59(a) <i>Availability of documentation</i>		
<b>Drawings</b> 146.59(b)(1) <i>Control of drawing system</i>		
146.59(b)(2) <i>Produce, check and control drawings</i>		
<b>Compliance</b> 146.59(b)(3) <i>Test and inspect specimens</i>		
146.59(b)(4) <i>Produce, check and control reports</i>		
146.59(b)(5) <i>Issue of statements of compliance</i>		
<b>Design changes</b> 146.59(b)(6) <i>Issue of design change approvals</i>		
146.59(b)(7)(i) <i>Delegation holder complies with App A</i>		

Rule reference	Manual references / applicant's comments	CAA comments (for CAA use only)
146.59(b)(7)(ii) <i>Copy of design change approval to CAA</i>		
<b>Document control</b> 146.59(b)(8)(i) <i>Reviewed and authorised</i>		
146.59(b)(8)(ii) <i>Availability at locations</i>		
146.59(b)(8)(iii) <i>Removal of obsolete documentation</i>		
146.59(b)(8)(iv) <i>Changes reviewed and authorised</i>		
146.59(b)(8)(v) <i>Identification to ensure only relevant documentation is used</i>		
146.59(b)(9) <i>Availability to the Director</i>		
<b>146.61 Continued airworthiness</b>		
146.61(a)(1)(i) <i>Advise manufacturer</i>		
146.61(a)(1)(ii) <i>Advise persons who receive design</i>		
146.61(a)(2) <i>Advise the CAA [ref Part 12 below]</i>		

Rule reference	Manual references / applicant's comments	CAA comments (for CAA use only)
146.61(b)(1) <i>Provide ICAs to purchasers</i>		
146.61(b)(2) <i>Instructions availability</i>		
146.61(b)(3) <i>Inform owners</i>		
<b>146.63 Records</b>		
146.63(a) <i>Control procedures</i>		
146.63(b)(1) <i>Personnel records</i>		
146.63(b)(2) <i>Designs and design changes</i>		
146.63(b)(3) <i>Drawings, tests, analyses and reports</i>		
146.63(b)(4) <i>Confirmation of design reference data</i>		
146.63(b)(5) <i>Calibration</i>		
146.63(b)(6)(i) <i>Legible and permanent</i>		
146.63(b)(6)(ii) <i>Retention period</i>		
<b>146.153 Internal quality assurance</b>		



Rule reference	Manual references / applicant's comments	CAA comments (for CAA use only)
146.153(b)(1) <b>TP</b> <i>Safety policy and procedures</i>		
146.153(b)(2) <b>TP</b> <i>Quality indicators</i>		
146.153(b)(3) <b>TP</b> <i>Corrective action</i>		
146.153(b)(4) <b>TP</b> <i>Preventive action</i>		
146.153(b)(5) <b>TP</b> <i>Audit programme</i>		
146.153(b)(6) <b>TP</b> <i>Management review</i>		
146.153(c) <b>TP</b> <i>Understood and implemented</i>		
<b>Corrective action</b> 146.153(d)(1) <b>TP</b> <i>Existing problems corrected</i>		
146.153(d)(2) <b>TP</b> <i>Follow up</i>		
146.153(d)(3) <b>TP</b> <i>Procedure amended</i>		
146.153(d)(4) <b>TP</b> <i>Review of effectiveness</i>		
<b>Preventive action</b>		

Rule reference	Manual references / applicant's comments	CAA comments (for CAA use only)
146.153(e)(1) <b>TP</b> <i>Potential problems corrected</i>		
146.153(e)(2) <b>TP</b> <i>Follow up</i>		
146.153(e)(3) <b>TP</b> <i>Procedure amended</i>		
146.153(e)(4) <b>TP</b> <i>Review of effectiveness</i>		
<b>Audit programme</b> 146.153(f)(1) <b>TP</b> <i>Frequency and location</i>		
146.153(f)(2) <b>TP</b> <i>Independent trained auditors</i>		
146.153(f)(3) <b>TP</b> <i>Audit report</i>		
146.153(f)(4) <b>TP</b> <i>Preventive and corrective actions</i>		
146.153(f)(5) <b>TP</b> <i>Follow up</i>		
<b>Management review</b> 146.153(g)(1) <b>TP</b> <i>Frequency</i>		
146.153(g)(2) <b>TP</b> <i>Responsibility</i>		
146.153(g)(3) <b>TP</b> <i>Evaluation and recording of results</i>		

Rule reference	Manual references / applicant's comments	CAA comments (for CAA use only)
146.153(h) <b>TP</b> <i>Access to CEO</i>		
<b>146.65 Safety management</b> <b>[100.3]</b>		
146.65 <b>TP</b> <i>System for safety management</i>		
100.3(a)(1) <b>TP</b> <i>Safety policy</i>		
100.3(a)(2) <b>TP</b> <i>Risk management</i>		
100.3(a)(3)(i) <b>TP</b> <i>Hazard reporting etc.</i>		
100.3(a)(3)(ii) <b>TP</b> <i>Safety goals</i>		
100.3(a)(3)(iii) <b>TP</b> <i>Quality assurance programme</i>		
100.3(a)(4) <b>TP</b> <i>Safety training</i>		
100.3(b) <b>TP</b> <i>SMS documentation</i>		
100.3(c) <b>TP</b> <i>Adequacy of SMS</i>		
<b>List any other rules complied with:</b>		

**Part 12 Accidents, Incidents, and Statistics**

**Subpart B - Notification, Investigation, and Reporting of Occurrences**

Rule reference	Manual references / applicant's comments	CAA comments (for CAA use only)
<p>12.51 &amp; 12.53 <i>Notification of accident</i> <i>The exposition must clearly outline the process on how you notify the CAA of any accident involving an aircraft, if the pilot-in-command is fatally or seriously injured, or if the aircraft is missing.</i> 12.51 <i>Notify as soon as practicable.</i> 12.53 <i>Submitting CA005 form; or by a means acceptable to the CAA within 10 days of the accident.</i></p>		
<p>12.55 &amp; 12.57 <i>Notification of incident</i> <i>The exposition must describe the process you will undertake to notify the CAA of serious incident or an immediate hazard that would impact safety of an aircraft operation.</i> 12.55 <i>Notify as soon as practicable.</i> 12.57 <i>Submitting CA005 or CA005D form; or by a means acceptable to the CAA within 14 days of the incident.</i></p>		
<p>12.59 <i>Investigation and reporting</i> <i>The exposition must have a clear description of your internal investigation process and submit a report to the CAA within 90 days.</i></p>		

**Part 12 Accidents, Incidents, and Statistics**

**Subpart C – Preservation of Aircraft, its Contents, and Records**

Rule reference	Manual references / applicant's comments	CAA comments (for CAA use only)
<p>12.101</p> <p><i>Access to aircraft involved in an accident</i></p> <p><i>The exposition must have a clear process on how you ensure no person interfere with the scene of the aircraft involved in an accident.</i></p>		
<p>12.103</p> <p><i>Preservation of records</i></p> <p><i>The exposition must include process on how you preserve all records for at least 14 days after the serious accident or incident.</i></p>		
<p>12.105</p> <p><i>Retention of defective products and components</i></p> <p><i>The exposition must have a description on your obligation to submit a defect incident report (CA005D) and the process on how to retain defective product or component for at least 14 days after submitting the report.</i></p>		

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 11	01 December 2020
100	Safety Management	Amendment 1	1 February 2016
146	Design Organisation Certification	Amendment 4	10 March 2017

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

**Development status control:**

Revision	Date	Status	Reason for amendment
6	01/12/2023	Final	Updated Part 12 Subpart B and Subpart C – Notification, Investigation, and Reporting of Occurrences and Preservation of Aircraft, its Contents and Records Updated amendment history General formatting updates