# 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 for both initial certification and 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 applicable 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 matrix list in the space provided at the end of the matrix 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 (✓) 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.

**General manual layout and distribution**

Can the manual be amended easily?

Electronic exposition: preferred option.

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

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| **Applicant:**  |       | **CAA participant number:** |       |  |  |
| **Manuals submitted:** |       | **Revision:** |       | **Dated:** | Click or tap to enter a date. |

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|  | **Manual references / applicant’s comments** | **CAA comments (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: |       |       |
| 1. Company name
 |
| 1. Name of the manual
 |
| 1. Effective revision and date of the page
 |
| 1. Page number
 |
| Index (not mandatory but desirable) |       |       |

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| **Standard aviation training organisation** |
| **Rule reference** | **Manual references / applicant’s comments** | **CAA comments (CAA use only)** |
| **141.63 Exposition** |
| 141.63(a)(1)(i)*CE statement* |       |       |
| 141.63(a)(1)(ii) *CE statement* |       |       |
| 141.63(a)(1A)(i)[100.3(b)]*SMS documentation* |       |       |
| 141.63(a)(1A)(ii)*SMS implementation plan*  |       |       |
| 141.63(a)(2) [141.51(a)(1)&(2)]*List of senior persons* |       |       |
| 141.63(a)(3)(i)*Responsibility to deal with CAA* |       |       |
| 141.63(a)(3)(ii)*Responsibilities for safety management* |       |       |
| 141.63(a)(4) *Organisation chart* |       |       |
| 141.63(a)(4A)*Lines of safety responsibility* |       |       |
| 141.63(a)(5) *Courses & assessments* |       |       |

The following courses or assessments can currently be conducted under CAR Part 61, without requiring CAR Part 141 certification:

* Any pilot licence training – PPL or CPL
* Any instructor flight training
* Instrument rating training – ground and air
* Aircraft Type Ratings – Aeroplanes and single engine helicopters under 5,700kg.

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|  | **Standard aviation training organisation** |
| The following training courses require approval: |
| **Training courses** | **Manual references / applicant’s comments** | **CAA comments (CAA use only)** |
| P1 | Pilot type rating – specific to type *Aeroplanes over 5700kg; multi-engined helicopters; single-engined helicopters over 1500kgs* |       |       |
| P2 | Pilot license training - (aircraft & helicopter)*Applicable only for reduced hours courses* |       |       |
| P3 | Flight instructor*instructional techniques course Cats “C” & “D”* |       |       |
| P5 | Basic gas turbine rating |       |       |
| P6 | Flight simulators – specific to type |       |       |
| P7 | Cat II & III approaches |       |       |
| P8 | Aerobatic flight rating |       |       |
| P9 | ETOPS | Under development | Under development |
| P10 | Agricultural rating |       |       |
| P11 | Agricultural chemical rating |       |       |
| P12 | Robinson safety awareness |       |       |
| P13 | Examiner Theory Course |       |       |

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|  | **Standard aviation training organisation** |
| The following training courses require approval: |
| **Training courses** | **Manual references / applicant’s comments** | **CAA comments (CAA use only)** |
| M1 | Dangerous goods |       |       |
| M2 | Reserved |       |       |
| M3 | Human factors |       |       |
| M4  | Reserved |       |       |
| M6 | Flight crew training – 121/125/135 – AQPPart 102 – Unmanned Operations - RPAS | As applicable | As applicable |
| M7 | Cabin crew training | As applicable | As applicable |
| ATS | Air Traffic Services Training– *Air Traffic Control Assistant/Basic* Induction– *Aerodrome Control**– Approach Control – Non-Radar (Procedural)**– Radar control ATC**– Area Control – Non-Radar (Procedural)* |       |       |

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|  | **Standard aviation training organisation** |
| The following assessments require approval: |
| **Assessments** | **Manual references / applicant’s comments** | **CAA comments (CAA use only)** |
| A1 | PPL demonstration flight test to recommend issue | Only available under DCA’s delegation | Only available under DCA’s delegation |
| A2 | CPL demonstration flight test to recommend issue | Only available under DCA’s delegation | Only available under DCA’s delegation |
| A3 | ATPL Flight test | Only available under DCA’s delegation | Only available under DCA’s delegation |
| A4 | Flight instructor rating *Initial issue* |  |  |
| A5 | Instrument rating * *Additional aid*
* *Continued competency*

*Multi-engine* | Instrument demonstration applicable to Category D only. Multi-engine only available under DCA’s delegation. | Instrument demonstration applicable to Category D only. Multi-engine only available under DCA’s delegation. |
| A6 | Instructor rating - currency test*– Category B– Category C* |       |       |
| A7 | Instructor rating – additional privileges– *Aerobatic– Night– Spinning– Instrument– Multi-engine* |       |       |
| A8 | Operational Competency– *Parts 121/125/135 operations* |       |       |
| A9 | Aerobatic flight rating |       |       |
| A10 | Agricultural rating |       |       |
| A11 | Helicopter winching, rappelling & human sling load |       |       |

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| **Rule reference** | **Manual references / applicant’s comments** | **CAA comments (CAA use only)** |
| 141.63(a)(6) *Locations* |       |       |
| 141.63(a)(7) *Course outline & curriculum* |       |       |
| **Procedures**141.63(a)(8)(i) [141.51(b)]*Competence assessed & maintained*  |       |       |
| 141.63(a)(8)(ii)-(v)  | *For all exposition-based procedures use 100.3, 141.55, 141.59 and 145.61 sections below* |
| 141.63(a)(9) *Control of exposition*  |       |       |
| 141.103*Changes to organisation* |       |       |
| **141.51 Personnel requirements** | **Manual references / applicant’s comments** | **CAA comments (CAA use only)** |
| 141.51(a)(3) *Sufficient personnel* |       |       |
| **141.53 Facility requirements** | **Manual references / applicant’s comments** | **CAA comments (CAA use only)** |
| 141.53*Facilities & resources* |       |       |
| **141.55 Documentation control** | **Manual references / applicant’s comments** | **CAA comments (CAA use only)** |
| 141.55(a) *Availability of documentation* |       |       |
| 141.55(b)(1) *Reviewed and authorised* |       |       |
| 141.55(b)(2) *Availability at locations* |       |       |
| 141.55(b)(3) *Removal of obsolete data* |       |       |
| 141.55(b)(4) *Changes reviewed and authorised* |       |       |
| **141.57 Training courses and assessments** | **Manual references / applicant’s comments** | **CAA comments (CAA use only)** |
| 141.57(b)(1) *Courses meet syllabus requirements* |       |       |
| 141.57(b)(2) *Assessments meet syllabus requirements* |       |       |
| 141.57(b)(3)*Qualifications & experience* |       |       |
| **141.59 Records** | **Manual references / applicant’s comments** | **CAA comments (CAA use only)** |
| 141.59(a) *Control procedures* |       |       |
| 141.59(b)(1) *Trainer records* |       |       |
| 141.59(c)*Details required* |       |       |
| 141.59(b)(2) *Trainee records* |       |       |
| 141.59(d)(1)-(7)*Details required* |       |       |
| 141.59(b)(3) *QA review* |       |       |
| 141.59(e)(1)*Accurate and legible* |       |       |
| 141.59(e)(2)*Retention period* |       |       |
| **100.3 Safety management** | **Manual references / applicant’s comments** | **CAA comments (CAA use only)** |
| 141.61*System for safety management*  |       |       |
| 100.3(a)(1)*Safety policy* |       |       |
| 100.3(a)(2)*Risk management process* |       |       |
| 100.3(a)(3)(i)*Hazard etc. reporting* |       |       |
| 100.3(a)(3)(ii)*Safety goals and measures* |       |       |
| 100.3(a)(3)(iii)*Quality assurance* |       |       |
| 100.3(a)(4)*Safety training* |       |       |
| 100.3(b)*Documentation* |       |       |
| 100.3(c) *Suitability of safety management system for the organisation* |       |       |
| **List any other rules complied with:** | **Manual references / applicant’s comments** | **CAA comments (CAA use only)** |
|       |       |       |
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| **Restricted aviation training organisation** |
| **141.151 Certification** | **Manual references / applicant’s comments** | **CAA comments (CAA use only)** |
| 141.151(a)(1) *Sufficient personnel* |       |       |
| 141.151(a)(2) *Qualifications & experience* |       |       |
| 141.151(a)(3) *Facilities & resources* |       |       |
| 141.151(a)(4)*Documentation* |       |       |
| 141.151(a)(5) *Procedures* |       |       |
| **141.155 Records** | **Manual references / applicant’s comments** | **CAA comments (CAA use only)** |
| 141.155(a) *Maintain records* |       |       |
| 141.155(b)(1) *Trainer records* |       |       |
| 141.155(b)(2) *Trainee records* |       |       |
| 141.155(b)(3)*Legible* |       |       |
| 141.155(b)(4) *Retention period* |       |       |
| **List any other rules complied with:** | **Manual references / applicant’s comments** | **CAA comments (CAA use only)** |
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| **Part 12 Accidents, Incidents, and Statistics****Subpart B - Notification, investigation, and reporting of occurrences** |
| **Rule reference** | **Manual reference / applicant’s comments** | **CAA comments (for CAA use only)** |
| 12.51 & 12.53 Notification of accident 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.12.51 Notify as soon as practicable. 12.53 Submitting CA005 form; or by a means acceptable to the CAA within 10 days of the accident.  |       |       |
| 12.55 & 12.57 Notification of incident 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. 12.55 Notify as soon as practicable.12.57 Submitting CA005 or CA005D form; or by a means acceptable to the CAA within 14 days of the incident. |       |       |
| 12.59 Investigation and reporting The exposition must have a clear description of your internal investigation process and submit a report to the CAA within 90 days.  |       |       |
| **Subpart C – Preservation of Aircraft, its Contents, and Records** |
| **Rule reference** | **Manual reference / applicant’s comments** | **CAA comments (for CAA use only)** |
| 12.101 Access to aircraft involved in an accident The exposition must have a clear process on how you ensure no person interfere with the scene of the aircraft involved in an accident.  |       |       |
| 12.103 Preservation of records The exposition must include process on how you preserve all records for at least 14 days after the serious accident or incident.  |       |       |

**CAA use only:**

Assessed by:

Work request:

Date received: DD / MM / YYYY Date accepted: DD / MM / YYYY

This matrix was established using the following Part amendment statuses

|  |  |  |  |
| --- | --- | --- | --- |
| 12100 | Accidents, Incidents, and StatisticsSafety Management | Amendment 11Amendment 1 | 01 December 202001 February 2016 |
| 141 | Training Organisation Certification | Amendment 5 | 10 March 2017 |
|  |  |  |  |
| Other rules or advisory circulars referred to during the assessment by Inspector |
|       |       |       |       |

**Development status control:**

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| --- | --- | --- | --- |
| Version | Date | Status | Reason for amendment |
| 7 | 08/04/2021 | Final | Development status control table inserted Transitional Provision removed (pages 1, 3 & 7)141.203 rules removedPart 12 and Part 141 Amendment numbers updatedRev number and date updated - Rev 7: April 2021 |
| 8 | 06/03/2023 | Final | Format changes - approval for training and assessment100.3(c) – wording changed ‘adequacy’ to ‘suitability’ Removal of RPL (page 4)Rev number and date updated – Rev 8: March 2023 |
| 9 | 01/12/2023 | Final | General formatting updates Part 12 section updatedRev number and date updated – Rev 9: December 2023 |