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|  | Part 137 agricultural – compliance matrix  Use this compliance matrix to make sure you comply with [Civil Aviation Rules](https://www.aviation.govt.nz/rules/) for applications to issue or renew a Part 137 agricultural aircraft operator certificate. |

# You must email us this compliance matrix with your application for certificate issue or renewal

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| Email us this completed compliance matrix (in editable format not PDF) with your application for certificate issue or renewal to [certification@caa.govt.nz](mailto:certification@caa.govt.nz) |

# About your compliance matrix and our assessment

|  |  |
| --- | --- |
| * You’re responsible for compliance with Civil Aviation Rules * This compliance matrix has the **minimum** **safety management requirements** for an agricultural aircraft operator * Click on the field areas and type (they expand as you type) * To add rows to the tables in this form copy and paste the last row | CAA’s compliance matrices are a guide to minimum compliance requirements  They speed up, and reduce the cost of, the certification assessment by making it easier for us to…   * find the procedures and information in your safety management documentation * assess your application   It’s important to keep your rule matrices up-to-date to assist ongoing compliance and support your certificate renewal and amendment applications |

# Your organisation’s details

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Organisation’s name |  | CAA ID no. |  | Date | Click or tap to enter a date. |

# Proposed safety management documentation submitted with this compliance matrix

| Section name (if one document) or document name (if separate documents) | Abbreviation (abbrev.) | Version no. | Dated |
| --- | --- | --- | --- |
|  |  |  | Click or tap to enter a date. |
|  |  |  | Click or tap to enter a date. |
|  |  |  | Click or tap to enter a date. |
|  |  |  | Click or tap to enter a date. |
|  |  |  | Click or tap to enter a date. |

# Confirm your safety management documentation meets document control requirements

| **Procedures to control, amend, and distribute your safety management documentation** | **You complete**  Section/document complies?  Yes or No. If no, explain why | **CAA use only**  Safety management documentation sampled and any issues organisation must address (Inspector adds initials and date) |
| --- | --- | --- |
| List of effective pages (for document control and management) |  |  |
| Revision/amendment description table (to give context to the change) |  |  |
| Contents page |  |  |
| Header or footer on **every page** must have your organisation’s name, exposition or document name, effective revision no. and date, and page no. |  |  |

# You must address the rules below where they apply to your operation

If this compliance matrix is emailed to us with an application for certificate **renewal**, highlight or Track Change this compliance matrix the proposed amendments and any changes since the issue of your last certificate.

| **Rule** | **You complete**  Section or document name abbrev. and reference or heading (If the rule is not met or doesn’t apply, explain why) | **CAA use only**  Safety management documentation sampled and any issues organisation must address (Inspector adds initials and date) |
| --- | --- | --- |
| **Part** **137.155 Safety management** | | |
| **Subpart D Commercial Operations - General** | | |
| 137.160 Agricultural aircraft operator safety management documentation | | |
| 137.160(a)(1)(i) [100.3(b)] Documentation of safety mgmt procedures |  |  |
| 137.160(a)(2) Senior persons |  |  |
| 137.160(a)(3) Lines of safety responsibility |  |  |
| 137.160(b)(1) Ongoing compliance |  |  |
| 137.160(b)(2) Compliance with Part 100 |  |  |
| **Part 100 Safety management** | | |
| Subpart 100.3 System for safety management | | |
| 100.3(a)(1) Safety management safety policy |  |  |
| 100.3(a)(2) Risk management process |  |  |
| 100.3(a)(3)(i) Hazard, incident and accident reporting, analysis and actions. Also refer to Part 12 Subpart B |  |  |
| 100.3(a)(3)(ii) Goals and measures for the improvement of aviation safety |  |  |
| 100.3(a)(3)(iii) Quality assurance programme |  |  |
| 100.3(a)(4) Safety training |  |  |
| 100.3(c) Scalability of safety management |  |  |
| List any other rules complied with: | | |
|  |  |  |
|  |  |  |

**CAA use only**

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| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Case number |  | Date assessment completed | | Click or tap to enter a date. | | Inspector’s initials |  | |
| Inspector(s) who assessed compliance matrix | | | | | | | | |
| Name | | | Initials | | Name | | | Initials |
|  | | |  | |  | | |  |
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| Other rules or advisory circulars referred to during the assessment by the CAA inspector: | | |
| Reference | Reference | Reference | | Reference | Reference |
|  |  |  | |  |  |

Development status control

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| --- | --- | --- | --- |
| This compliance matrix was established using the following Parts: | | | |
| Part | Name | Amendment no. | Effective date | Part | Name | Amendment no. | Effective date |
| 100 | Safety Management | Initial issue | 5 April 2025 | 137 | Agricultural Aircraft Operations | Amendment 1 | 5 April 2025 |

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| Revision | 2 | Date | 06/09/2022 | Status | Final |  |
| Form name changed from ‘compliance matrix’ to ‘rule checklist’, instructions redrafted, table headings changed, hyperlink to rules added | | | | | | |

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| Revision | 3 | Date | 05/04/2025 | Status | Final |  |
| Updated to reflect the Civil Aviation Act 2023; document name changed to align with CAA’s operational policy naming conventions, including switching from ‘rule checklist’ to ‘compliance matrix’; corrections to business system terminology eg, a work request is now a case number | | | | | | |