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|  | Part 137 agricultural – compliance matrixUse 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 |

# 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 requirementsThey 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. |
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|       |       |       | 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 |