

## 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 (ü) 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.

## General Manual Layout and Distribution

Electronic exposition: Is the matrix included as part of the file(s)/disc? If so, is it up to date? Have you considered the methods for distributing to the CAA and how you will manage amendments?

Manual binders: Can the manual be amended easily? (Three- or four-ring binders are preferred: two-ring binders are not recommended as the pages are too easily torn). If permanently bound, do you intend to re-issue at every amendment? This may inhibit frequency of needed amendments.

**Applicant:**

**Participant ID:**

**Manuals Submitted:**

**Rev.:**

**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: <ul style="list-style-type: none"> <li>(a) Company name</li> <li>(b) Name of the manual</li> <li>(c) Effective revision and date of the page</li> <li>(d) Page number</li> </ul>		
Index (not mandatory but desirable)		

Rule reference	Manual References / Applicant's Comments	CAA Review & 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>		
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>		
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,</i>		

<i>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>		
<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</i>		

specimens		
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>		
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>		
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>		

146.153 Internal Quality Assurance		
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> 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>		
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>		

Hazard reporting etc.		
100.3(a)(3)(ii) <b>TP</b> Safety goals		
100.3(a)(3)(iii) <b>TP</b> Quality assurance programme		
100.3(a)(4) <b>TP</b> Safety training		
100.3(b) <b>TP</b> SMS documentation		
100.3(c) <b>TP</b> Adequacy of SMS		
<b>Part 12 Occurrence Reporting</b>		
12.55(a)(4) Notification of defect incident		
12.55(d)(2) [App A(b)] Required information		
12.57(a)(1) Provide details		
12.57(b)(1)-(3) Means of providing details		
12.59(1) Conduct investigation		
12.59(2)(i)-(iii) Submit report to CAA		
12.59(3) Preventative action		
12.105 Retention of defective products and components		
<b>List any other rules complied with:</b>		

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CAA Use

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 10	30 October 2017
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