

Subpart B — Standard Certification Requirements**141.51 Personnel requirements**

(a) Each applicant for the grant of a standard aviation training organisation certificate shall engage, employ or contract:

- (1) a senior person identified as the Chief Executive who has the authority within the applicant's organisation to ensure that all training courses and assessments conducted by the organisation can be financed and carried out in accordance with the requirements prescribed by this Part;
- (2) a senior person or group of senior persons who are responsible for ensuring that the applicant's organisation complies with the requirements of this Part. Such nominated person or persons shall be ultimately responsible to the Chief Executive;
- (3) sufficient personnel to plan, conduct, and supervise the training courses and assessments listed in the applicant's exposition.

(b) The applicant shall establish a procedure for initially assessing, and a procedure for maintaining, the competence of those personnel conducting the training courses and assessments listed in the applicant's exposition.

141.61 Internal quality assurance

(a) Each applicant for the grant of an aviation training organisation certificate shall establish an internal quality assurance system to ensure compliance with, and the adequacy of, the procedures required by this Part.

(b) The internal quality assurance system shall include—

- (1) a safety policy and safety policy procedures that are relevant to the applicant's organisational goals and the expectations and needs of its customers; and
- (2) a procedure to ensure quality indicators, including defect and incident reports, and

Subpart B — Certification Requirements**141.51 Personnel requirements**

(a) An applicant for the grant of a standard aviation training organisation certificate must employ, contract, or otherwise engage:

- (1) a senior person identified as the chief executive who has the authority within the applicant's organisation to ensure that every training course and assessment conducted by the organisation can be financed and carried out in accordance with the requirements and standards prescribed by this Part;
- (2) a senior person or persons ultimately responsible to the chief executive who are responsible for—
 - (i) ensuring that the applicant's organisation complies with the requirements of this Part; and
 - (ii) the system for safety management; and
- (3) sufficient personnel to plan, conduct, and supervise the training courses and assessments listed in the applicant's exposition.

(aa) The senior person required by paragraph (a)(2)(ii) must be able to demonstrate competency and experience relevant to the management of safety systems and the activities of the certificate holder.

(b) The applicant must establish a procedure for initially assessing, and a procedure for maintaining, the competence of those personnel conducting the training courses and assessments listed in the applicant's exposition.

141.61 Safety management

An applicant for the grant of a standard aviation training organisation certificate must establish, implement, and maintain a system for safety management in accordance with rule 100.3.

- personnel and customer feedback, are monitored to identify existing problems or potential causes of problems within the system; and
- (3) a procedure for corrective action to ensure existing problems that have been identified within the system are corrected; and
 - (4) a procedure for preventive action to ensure that potential causes of problems that have been identified within the system are remedied; and
 - (5) an internal audit programme to audit the applicant's organisation for conformity with the procedures in its exposition and achievement of the goals set in its safety policy; and
 - (6) management review procedures, which shall include the use of statistical analysis, to ensure the continuing suitability and effectiveness of the internal quality assurance system in satisfying the requirements of this Part.
- (c) The safety policy procedures shall ensure that the safety policy is understood, implemented, and maintained at all levels of the organisation.
- (d) The procedure for corrective action shall specify how—
- (1) to correct an existing problem; and
 - (2) to follow up a corrective action to ensure the action is effective; and
 - (3) management will measure the effectiveness of any corrective action taken.
- (e) The procedure for preventive action shall specify how—
- (1) to correct a potential problem; and
 - (2) to follow up a preventive action to ensure the action is effective; and
 - (3) to amend any procedure required by this Part as a result of a preventive action; and
 - (4) management will measure the effectiveness of any preventive action taken.
- (f) The internal quality audit programme shall—
- (1) specify the frequency and location of the audits taking into account the nature of

the activity to be audited; and

- (2) ensure audits are performed by trained auditing personnel who are independent of those having direct responsibility for the activity being audited; and
 - (3) ensure the results of audits are reported to the personnel responsible for the activity being audited and the manager responsible for internal audits; and
 - (4) require preventive or corrective action to be taken by the personnel responsible for the activity being audited if problems are found by the audit; and
 - (5) ensure follow up audits to review the effectiveness of any preventive or corrective action taken.
- (g) The procedure for management review shall—
- (1) specify the frequency of management reviews of the quality assurance system taking into account the need for the continuing effectiveness of the system; and
 - (2) identify the responsible manager who shall review the quality assurance system; and
 - (3) ensure the results of the review are evaluated and recorded.
- (h) The senior person who has the responsibility for internal quality assurance shall have direct access to the Chief Executive on matters affecting safety.

141.63 Organisation exposition

- (a) An applicant for the grant of a standard aviation training organisation certificate must provide the Director with an exposition which must contain—
- (1) a statement signed by the chief executive on behalf of the applicant's organisation confirming that the exposition and any included manuals—
 - (i) define the organisation and demonstrate its means and methods for ensuring ongoing compliance with this Part; and
 - (ii) will be complied with at all times; and

141.63 Standard aviation training organisation exposition

- (a) An applicant for the grant of a standard aviation training organisation certificate must provide the Director with an exposition which must contain—
- (1) a statement signed by the chief executive on behalf of the applicant's organisation confirming that the exposition and any included manuals—
 - (i) define the organisation and demonstrate its means and methods for ensuring ongoing compliance with this Part; and
 - (ii) are to be complied with at all times; and
 - (1A) in relation to the system for safety management required by rule 141.61,—
 - (iii) all of the documentation required by rule 100.3(b); and

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| <p>(2) the titles and names of the senior person or persons required by rules 141.51 (a)(1) and (2); and</p> <p>(3) the duties and responsibilities of the senior person or persons specified in paragraph (a)(2), including matters for which they have responsibility to deal directly with the Director or the Authority on behalf of the organisation; and</p> <p>(4) an organisation chart showing lines of responsibility of the senior persons specified in paragraph (a)(2); and</p> <p>(5) a list of the training courses and assessments to be covered by the certificate; and</p> <p>(6) the locations at which each training course or assessment will be conducted; and</p> <p>(7) the course outline and the curriculum for each of the training courses and assessments to be conducted by the organisation; and</p> <p>(8) details of the applicant's procedures required by—</p> <ul style="list-style-type: none"> (i) rule 141.51(b) regarding the competence of personnel; and (ii) rule 141.55(b) regarding the control of documentation; and (iii) rule 141.57(b) regarding training courses and assessments; and (iv) rule 141.59(b) regarding records; and (v) rule 141.61(b) regarding internal quality assurance; and <p>(9) procedures for controlling, amending and distributing the exposition.</p> | <p>(iv) for an applicant that is not applying for a renewal of a standard aviation training organisation certificate, an implementation plan that describes how the system for safety management will be implemented; and</p> <p>(2) the titles and names of the senior person or persons required by rules 141.51(a)(1) and (2); and</p> <p>(3) the duties and responsibilities of the senior person or persons required by rules 141.51(a)(1) and (2), including—</p> <ul style="list-style-type: none"> (i) matters for which they have responsibility to deal directly with the Director or the Authority on behalf of the organisation; and (ii) responsibilities for safety management; and <p>(4) an organisation chart showing lines of responsibility of the senior person or persons referred to in paragraph (a)(2); and</p> <p>(4A) information identifying the lines of safety responsibility within the organisation; and</p> <p>(5) a list of the training courses and assessments to be covered by the certificate; and</p> <p>(6) the locations at which each training course or assessment will be conducted; and</p> <p>(7) the course outline and the curriculum for each of the training courses and assessments to be conducted by the organisation; and</p> <p>(8) details of the applicant's procedures required by—</p> <ul style="list-style-type: none"> (i) rule 141.51(b) regarding the competence of personnel; and (ii) rule 141.55(b) regarding the control of documentation; and (iii) rule 141.57(b) regarding training courses and assessments; and (iv) rule 141.59(b) regarding records; and (v) [revoked] <p>(9) procedures for controlling, amending and distributing the exposition.</p> |
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(b) The applicant's exposition must be acceptable to the Director.

Subpart C — Standard Operating Requirements

141.103 Changes to certificate holder's organisation

(a) Each holder of a standard aviation training organisation certificate shall ensure that their exposition is amended so as to remain a current description of the holder's organisation.

(b) The certificate holder shall ensure that any amendments made to the holder's exposition meet the applicable requirements of this Part and comply with the amendment procedures contained in the holder's exposition.

(c) The certificate holder shall provide the Director with a copy of each amendment to the holder's exposition as soon as practicable after its incorporation into the exposition.

(d) Where a certificate holder proposes to make a change to any of the following, prior notification to and acceptance by the Director is required:

- (1) the Chief Executive;
- (2) the listed senior persons;
- (3) the locations at which training courses or assessments may be carried out;
- (4) the training courses or assessments for which the certificate is granted.

(e) The Director may prescribe conditions under which a certificate holder may operate during or following any of the changes specified in paragraph (d).

(f) A certificate holder shall comply with any conditions prescribed under paragraph (e).

(g) Where any of the changes referred to in this rule require an amendment to the certificate, the certificate holder shall forward the certificate to the Director as soon as practicable.

(h) The certificate holder shall make such amendments to the holder's exposition as the Director may consider necessary in the interests of aviation safety.

(b) The applicant's exposition must be acceptable to the Director.

Subpart C — Standard Operating Requirements

141.103 Changes to certificate holder's organisation

(a) A holder of a standard aviation training organisation certificate must ensure that the exposition is amended so as to remain a current description of the holder's organisation.

(b) The certificate holder must ensure that any amendment made to the holder's exposition meets the applicable requirements of this Part and complies with the amendment procedures contained in its exposition.

(c) The certificate holder must forward to the Director for retention a copy of each amendment to its exposition as soon as practicable after the amendment is incorporated into its exposition.

(d) Before a certificate holder changes any of the following, prior acceptance by the Director is required:

- (1) the chief executive;
- (2) the listed senior persons;
- (3) the locations at which training courses or assessments may be carried out;
- (4) the training courses or assessments for which the certificate is granted;
- (5) the system for safety management, if the change is a material change.

(e) The Director may impose conditions under which a certificate holder must operate during or following any of the changes specified in paragraph (d).

(f) A certificate holder must comply with any condition imposed by the Director under paragraph (e).

(g) If any change referred to in this rule requires an amendment to the certificate, the certificate holder must forward the certificate to the Director for endorsement of the change as soon as practicable.

(h) A certificate holder must make such amendments to the holder's exposition as the Director may consider necessary in the interests of aviation safety.

Subpart E — Transitional Provisions**141.201 Transition for standard aviation training organisation certificate holders and applicants**

- (a) This rule applies to each—
 - (1) standard aviation training organisation certificate holder;
 - (2) standard aviation training organisation certificate applicant.
- (b) Before 1 February 2021, an organisation to which this rule applies—
 - (1) is not required to comply with—
 - (i) rule 141.51(a)(2)(ii), if instead of a senior person responsible for the system for safety management, the organisation has a senior person responsible for internal quality assurance;
 - (ii) rule 141.61, if instead of establishing, implementing, and maintaining the system for safety management, the organisation has established an internal quality assurance system that complies with rule 141.203;
 - (iii) rule 141.63(a)(1A);
 - (iv) rule 141.63(a)(3)(ii);
 - (v) rule 141.63(a)(4A); but
 - (2) By 30 July 2018 must submit to the Director with the accompanying completed CAA form an implementation plan that—
 - (i) includes a proposed date for implementation of the system for safety management; and
 - (ii) outlines how the organisation plans to implement the system for safety management required under rule 141.61.
- (c) The Director will, if acceptable—
 - (1) approve the organisation's implementation plan; and

- (2) set the date for implementation of the system for safety management.
- (d) To avoid doubt, the date for implementation is the date the Director approves the system for safety management.
- (e) In setting the date under rule 141.201(c)(2), the Director must have regard to the following:
 - (1) the capability of the organisation:
 - (2) the complexity of the organisation:
 - (3) the risks inherent in the activities of the organisation:
 - (4) the date of any certificate renewal:
 - (5) any resource or scheduling impacts on the organisation or the Authority or both:
 - (6) the date for implementation must not be later than 1 February 2021.
- (f) If the organisation is an applicant for a standard aviation training organisation certificate it must submit its application for such a certificate together with the plan for implementation of the system for safety management.
- (g) This rule expires on 1 February 2021.

141.203 Transitional internal quality assurance for standard aviation training organisation certificate holders and applicants

- (a) The internal quality assurance system required by rule 141.201(b)(1)(ii) must be established to ensure the organisation's compliance with, and the adequacy of, the procedures required by this Part.
- (b) The internal quality assurance system must include—
 - (1) a safety policy and safety policy procedures that are relevant to the applicant's organisational goals and the expectations and needs of its customers; and
 - (2) a procedure to ensure quality indicators, including defect and incident reports, and personnel and customer feedback, are monitored to identify existing problems or potential causes of problems within the system; and
 - (3) a procedure for corrective action to ensure existing problems that have been

- identified within the system are corrected; and
 - (4) a procedure for preventive action to ensure that potential causes of problems that have been identified within the system are remedied; and
 - (5) an internal audit programme to audit the applicant's organisation for conformity with the procedures in its exposition and achievement of the goals set in its safety policy; and
 - (6) management review procedures, which must include the use of statistical analysis, to ensure the continuing suitability and effectiveness of the internal quality assurance system in satisfying the requirements of this Part.
- (c) The safety policy procedures must ensure that the safety policy is understood, implemented, and maintained at all levels of the organisation.
- (d) The procedure for corrective action must specify how—
- (1) to correct an existing problem; and
 - (2) to follow up a corrective action to ensure the action is effective; and
 - (3) management will measure the effectiveness of any corrective action taken.
- (e) The procedure for preventive action must specify how—
- (1) to correct a potential problem; and
 - (2) to follow up a preventive action to ensure the action is effective; and
 - (3) to amend any procedure required by this Part as a result of a preventive action; and
 - (4) management will measure the effectiveness of any preventive action taken.
- (f) The internal quality audit programme must—
- (1) specify the frequency and location of the audits taking into account the nature of the activity to be audited; and
 - (2) ensure audits are performed by trained auditing personnel who are independent of those having direct responsibility for the activity being audited; and

- (3) ensure the results of audits are reported to the personnel responsible for the activity being audited and the manager responsible for internal audits; and
 - (4) require preventive or corrective action to be taken by the personnel responsible for the activity being audited if problems are found by the audit; and
 - (5) ensure follow up audits to review the effectiveness of any preventive or corrective action taken.
- (g) The procedure for management review must—
- (1) specify the frequency of management reviews of the quality assurance system taking into account the need for the continuing effectiveness of the system; and
 - (2) identify the manager who is responsible for the review of the quality assurance system; and
 - (3) ensure the results of the review are evaluated and recorded.
- (h) The senior person who has the responsibility for internal quality assurance must have direct access to the chief executive on matters affecting safety.
- (i) This rule expires on 1 February 2021.**