

Chapter 5—Systems and procedures

33 Requirements for safety management system

- (1) This section is:
 - (a) made for paragraph 149.270(b) of CASR; and
 - (b) prescribes requirements for an ASAO's safety management system.

Systematic approach etc.

- (2) The safety management system must:
 - (a) use a systematic approach to managing aviation safety; and
 - (b) set out the organisational structures, key personnel accountabilities, and policies and procedures for conducting and overseeing each of the ASAO's approved functions.

Safety policy and objectives

- (3) The safety management system must describe the ASAO's safety policy and objectives, including in relation to:
 - (a) managing the ASAO's commitment to, and responsibility for, aviation safety; and
 - (b) aviation safety accountabilities; and
 - (c) the appointment of key personnel; and
 - (d) the safety management system implementation plan; and
 - (e) relevant third party relationships and interactions; and
 - (f) coordination of an emergency response plan; and
 - (g) safety management system documentation.

Human factors principles

- (4) The safety management system must describe how the ASAO will integrate human factors principles into the safety management system, including in relation to the matters in paragraphs (3)(a) to (g).

Safety risk management

- (5) The safety management system must describe the ASAO's safety risk management process, including its:
 - (a) hazard identification processes; and
 - (b) risk assessment and mitigation processes.

Safety assurance system

- (6) The safety management system must describe the ASAO's safety assurance system, including:
 - (a) safety performance monitoring and measurement; and

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- (b) internal safety investigation; and
- (c) change management; and
- (d) continuous improvement of the safety management system.

Safety promotion

- (7) The safety management system must describe the ASAO's safety training and promotion system dealing with:
 - (a) training and education; and
 - (b) safety communication.

34 Requirements for audit and surveillance system

For the purposes of regulation 149.275 of CASR, the requirements for an ASAO's audit and surveillance system are as follows:

- (a) it must be appropriate for the ASAO's approved functions, taking into account the nature, complexity and inherent risk of the functions, and the size of the ASAO;
- (b) it must include policies, processes and procedures for the conduct of audit and surveillance relevant to the ASAO's approved functions;
- (c) it must include a process for regular evaluation of the holder of an authorisation issued by the ASAO with respect to compliance by the holder with the requirements set out in the ASAO's policies and procedures;
- (d) it must include a process for evaluation of:
 - (i) the holder of an authorisation issued by the ASAO who may issue an authorisation on behalf of the ASAO; and
 - (ii) the holder of an authorisation issued by the ASAO who may recommend, to the ASAO, the issue of an authorisation;with respect to compliance by the holder with the requirements set out in the ASAO's procedures manual at least once in every 2 year period;
- (e) it must include a process for production of the ASAO's audit and surveillance records to CASA upon CASA's request;
- (f) it must require the capture of data on the number, and kinds, of members, authorisations, aircraft, accidents, incidents, defects and fatalities related to the ASAO's approved functions.

35 Reference materials for administered Part 149 aircraft

- (1) For the purposes of paragraph 149.285(1)(e) of CASR, the materials mentioned in subsection (2) are prescribed for an ASAO that administers an aircraft:
 - (a) under section 14; or
 - (b) under section 19 (other than an aircraft mentioned in subparagraph 7(2)(c)(iii) or (iv) or section 11).

- (2) For subsection (1), the materials are:
- (a) if there is a flight manual for the aircraft—the flight manual; and
 - (b) if there is a handbook for the aircraft—the handbook; and
 - (c) if there is a maintenance manual for the aircraft—the maintenance manual.

Note: See regulation 149.285 of CASR for other reference materials, relevant to the performance of an ASAO's functions, that an ASAO must provide access to.