Part 149 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 149 Aviation Recreation Organisation Certificate.

A completed compliance matrix must be submitted by the applicant for both 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 the quick location of required policies or procedures in the applicant's exposition manual suite.

All rules have to be complied with, but not every rule has to be addressed in the exposition. At least the following Rules must be included unless they are not applicable to the operation, in which case they should be annotated N/A. 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 needs to be completed by every applicant for a Part 149 Aviation Recreation Organisation Certificate and show the exposition page 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 (✓) 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.

General Manual Layout and Distribution

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.

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?

Applicant:	Recreational Aircraft Association of NZ (RAANZ)	**Participant ID:**	
Manuals Submitted:	RAANZ Policy and Procedures Manual	**Rev.:**	**Dated:**

- (RAANZ-Admin) Administrative Procedures & Regulatory Compliance
- (RAANZ-Ops) Field Operations

ref revision date   August 04 2015

ref revision date   October 14 2015

	Applicant's Comments	**CAA Comments (for CAA use only)**
Rule Compliance Matrix	This document	
Company Statement page, signed by the Chief Executive	(RAANZ-Admin) 6.3 Chief Executive Statement	
List of Effective Pages	The two documents comprising the P&P Manual (RAANZ-Admin and RAANZ-Ops) are each a single HTML file (effectively a single 'page') carrying a Revision Date. There are no separate individual pages.	
Record of Amendments	(RAANZ-Admin) 3 Manual Version Also a full amendment record (text changes. Additions, deletions) can be viewed by clicking on the **history** link at the top right of each webpage.	

Distribution List & copies to be numbered	(RAANZ-Admin) 2 Manual Control
	
	    2.5 Distribution
	    2.6 Controlled copies	

Contents Page	(RAANZ-Admin) Contents section (RAANZ-Ops) Contents section	
Definitions & Abbreviations (not mandatory)	(RAANZ-Admin) Definitions	
On every page, headers and/or footers to include: (a) Company name	Viewed online the HTML 'page' is headed with the organisation name, manual	

(b)	Name of the manual	name, and revision date. As a single HTML 'page' there is no page numbering.	
(c)	Effective revision and date of the page		
(d)	Page number	When printed out this information is shown on the first page.	
Index (not mandatory but desirable)		There is no structured index, as the HTML file can be searched using standard browser search functions. **Hotlinks** also assist navigation through the manual.	

Rule Reference	Manual References / Applicant's Comments	CAA Review & Comments (for CAA use only)
149.65 Exposition		
149.65(a)(1)(i) *CE statement*	(RAANZ-Admin) 6.3 Chief Executive Statement	
149.65(a)(1)(ii) *CE statement*	(RAANZ-Admin) 6.3 Chief Executive Statement	
149.65(a)(2) [149.51(a)(1)-(3)] *List of senior persons*	(RAANZ-Admin) 6.7.1.1 which points to current Senior Persons at RAANZ website/Contact RAANZ/Exec Directory	
149.65(a)(3) [149.51(a)(1)-(3)] *Duties and responsibilities*	(RAANZ-Admin) 6.7.2 Chief Executive Officer (RAANZ-Admin) 6.7.3 Internal Systems Auditor (RAANZ-Admin) 6.7.5 Administration Officer (RAANZ-Admin) 6.7.6 Operations Officer (RAANZ-Admin) 6.7.7 Technical Officer (RAANZ-Admin) 6.7.8 Medical Advisor (RAANZ-Admin) 6.7.9 Helicopter Officer	
149.65(a)(4) *Organisation chart*	(RAANZ-Admin) 7.7 Organisation Chart	
149.65(a)(5) *Activities*	(RAANZ-Admin) 7.4 Certificated Activities	
149.65(a)(6) *Principal locations*	(RAANZ-Admin) 6.5 Head Office (RAANZ-Admin) 6.6 Area of Operations RAANZ website/Contact RAANZ/Exec Directory	
149.65(a)(7) *Facilities*	For all exposition-based facility requirements use 149.53 section below	
Procedures 149.65(a)(8)(i)-(vii)	For all exposition-based procedures use 149.51, 149.55, 149.57, 149.59, 149.61 and 149.63 sections below	
149.65(a)(9) *Control of exposition*	(RAANZ-Admin) 2.7 Manual Release Dates	
149.103 *Changes to organisation*	(RAANZ-Admin) 7.9 Changes to the Organisation	
149.51 Personnel Requirements		

149.51(a)(4) *Sufficient personnel*	(RAANZ-Admin) 7.7 Organisation Chart CEO- overall responsibility/delegation holder Admin Officer- issue Pilot Certificates and Ratings Tech Officer- modification approvals Ops Officer- training and operational standards Auditor- QA and SMS Medical Advisor- GP advice Helicopter Officer- helicopter standards	
149.51(b)(1) *Assessing and maintaining competence*	(RAANZ-Admin) 8.2 Internal Competence Review	
149.51(b)(2) *Exercise of delegation*	(RAANZ-Admin) 9 Administration Procedures	
149.51(b)(3) *Written authorisation*	(RAANZ-Admin) 10.7 Personnel File	
149.53 Facility Requirements		
149.53 *Appropriate facilities and resources*	(RAANZ-Admin) 7.10 Facilities	
149.55 Documentation		
149.55(a) *Availability of documentation [incl. Human Factors]*	Relevant equipment manuals, technical standards and practices, technical bulletins and instructions, legislation etc are available via the internet. In general printed copies are not held, to ensure current versions are downlaoded as requireed.	
149.55(b) *Procedure to control and amend*	(RAANZ-Admin) 7.11 Document Control	
149.57 Records		
149.57(a) *Control procedures*	(RAANZ-Admin) 9 Administration Procedures	
149.57(b)(1) *QA records as per 149.63*	(RAANZ-Admin) 8 Internal Audit Procedures (RAANZ-Admin) 9.10 Quality Assurance Action Procedure	

149.57(b)(2) *Personnel records*	(RAANZ-Admin) 8.2 Internal Competence Review	
149.57(b)(3) *Certificates and ratings*	(RAANZ-Admin) 10.2 Member Database Also all emailed and printed forms are archived and traceable via member's database contact history	
149.57(b)(4) *Legible*	(RAANZ-Admin) 10.2 Member Database Also all emailed and printed forms are archived and traceable via member's database contact history	
149.57(b)(5) *Retention period*	(RAANZ-Admin) 10.2 Member Database Also all emailed and printed forms are archived and traceable via member's database contact history. These records are permanently retained.	
149.59 Personnel Certification Procedures		
149.59(a)(1) *Competency assessment*	Via BFR checkflights and certificate issue Certificate and Membership Validation (CMV) Form RAANZ website/Instructors/Online CMV forms	
149.59(a)(2) *Issue of certificates and ratings*	(RAANZ-Admin) 9.8 Certificate Issue	
149.59(a)(3) *Reviewing and maintaining competence*	Via BFR checkflights and certificate renewal Certificate and Membership Validation (CMV) Form RAANZ website/Instructors/Online CMV forms	
149.59(b) *Procedures to satisfy s.8, 9 & 10 of Act*	RAANZ website/Forms/Medical RAANZ website/Forms/Fit & Proper	
149.61 Aviation Events		
149.61 *Compliance with Part 91*	RAANZ does not hold authority to organise aviation events	
149.63 Internal Quality Assurance		
149.63(b)(1) *Safety policy and procedures*	(RAANZ-Admin) 6.4 Safety Policy	

149.63(b)(2) *Quality indicators*	(RAANZ-Admin) 8.3 Conformity to Safety Policy	
149.63(b)(3) *Corrective action*	(RAANZ-Admin) 8.4 Management Review	
149.63(b)(4) *Preventive action*	(RAANZ-Admin) 8.4 Management Review	
149.63(b)(5) *Audit programme*	(RAANZ-Admin) 8.3 Conformity to Safety Policy (RAANZ-Admin) 8.1 Calendar	
149.63(b)(6) *Management review*	(RAANZ-Admin) 8.4 Management Review	
149.63(c) *Understood and implemented*	(RAANZ-Admin) 8.4 Management Review	
Corrective action 149.63(d)(1) *Existing problems corrected*	(RAANZ-Admin) 9.10 Quality Assurance Action Procedure	
149.63(d)(2) *Follow up*	(RAANZ-Admin) 9.10 Quality Assurance Action Procedure	
149.63(d)(3) *Procedure amended*	(RAANZ-Admin) 9.10 Quality Assurance Action Procedure	
149.63(d)(4) *Review of effectiveness*	(RAANZ-Admin) 9.10 Quality Assurance Action Procedure	
Preventive action 149.63(e)(1) *Potential problems corrected*	(RAANZ-Admin) 9.10 Quality Assurance Action Procedure	
149.63(e)(2) *Follow up*	(RAANZ-Admin) 9.10 Quality Assurance Action Procedure	
149.63(e)(3) *Procedure amended*	(RAANZ-Admin) 9.10 Quality Assurance Action Procedure	
149.63(e)(4) *Review of effectiveness*	(RAANZ-Admin) 9.10 Quality Assurance Action Procedure	
Audit Programme 149.63(f)(1) *Frequency and location*	(RAANZ-Admin) 8.1 Calendar	

149.63(f)(2) *Independent trained auditors*	(RAANZ-Admin) 6.7.3 Auditor	
149.63(f)(3) *Audit report*	(RAANZ-Admin) 8 Internal Audit Procedures	
149.63(f)(4) *Preventive and corrective actions*	(RAANZ-Admin) 9.10 Quality Assurance Action Procedure	
149.63(f)(5) *Follow up*	(RAANZ-Admin) 8.4 Management Review	
Management Review 149.63(g)(1) *Frequency*	(RAANZ-Admin) 8.4 Management Review	
149.63(g)(2) *Responsibility*	(RAANZ-Admin) 8.4 Management Review	
149.63(g)(3) *Evaluation and recording of results*	(RAANZ-Admin) 8.4 Management Review	
149.63(h) *Access to CEO*	(RAANZ-Admin) 6.7.3.1 Internal Systems Auditor	
Part 12 Occurrence Reporting		
12.51(a) *Notification of accident*	(RAANZ-Ops) 3.1 Accidents and Incidents	
12.51(b)(1)-(14) *Details of notification*	(RAANZ-Ops) 3.1 Accidents and Incidents	
12.53(a)(1)-(2) *Provide details*	(RAANZ-Ops) 3.1 Accidents and Incidents	
12.53(b)-(c) *Flight crew member statement*	(RAANZ-Ops) 3.1 Accidents and Incidents	
12.55(b)(1)-(2) *Notification of incident*	(RAANZ-Ops) 3.1 Accidents and Incidents Incident Report form	
12.55(c) *Notification of airspace or bird incident*	(RAANZ-Ops) 3.1 Accidents and Incidents Incident Report form	

12.55(d)(1)-(9) *Required information*	(RAANZ-Ops) 3.1 Accidents and Incidents Incident Report form	
12.57(a)(2)-(3) *Provide details*	(RAANZ-Ops) 3.1 Accidents and Incidents Incident Report form	
12.57(b)(1)-(3) *Means of providing details*	(RAANZ-Ops) 3.1 Accidents and Incidents Incident Report form	
12.101 *Access to aircraft*	(RAANZ-Ops) 3.1 Accidents and Incidents	
12.103(a) *Preservation of records*	(RAANZ-Ops) 3.1 Accidents and Incidents	
12.105 *Retention of defective products and components*	(RAANZ-Ops) 3.1 Accidents and Incidents	
List any other rules complied with:		

CAA Use

Assessed By:

Work Request:

Date received: DD / MM / YYYYDate accepted: DD / MM / YYYY

This matrix was established using the following Rule Part amendment statuses

12	Accidents, Incidents, and Statistics	Amendment 7	10 November 2011
149	Aviation Recreation Organisation Certification	Amendment 1	30 August 2007

Other rules or advisory circulars referred to during the assessment by Inspector