



## Part 137 Compliance Matrix - SMS

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 137 Agricultural Aircraft Operators Certificate (AAOC) in relation to the Safety Management System (SMS) content of rule Parts 100 and 137.

Certificate holders must submit a completed compliance matrix when applying for SMS certification. Additionally, the certificate holder should maintain an up-to-date compliance matrix to assist with on-going compliance and to support certificate amendment requests where applicable.

The purpose of the matrix is to speed up the certification process, by helping to ensure that every applicable rule requirement has been addressed in the documented processes / manual, and to potentially reduce the cost of certification by allowing the quick location of required policies or procedures in the manual.

**All Civil Aviation rules have to be complied with**, but not every rule has to be addressed within the manual. 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 a certification application. If for your operation, compliance is required with a rule not listed in the matrix, please add it to the list and identify the processes reference.

This matrix must be completed by every applicant for approval of an SMS under a Part 137 AAOC, and should show the manual 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 (✓) are not acceptable.**

The completed matrix should accompany the manual and preferably be included as a component of that manual. 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

Reference should be made to the transitional provisions shown in Part 137.301 when completing this form.

### General Manual Layout and Distribution

Electronic manual: 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 binder: 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:**

**Documents  
Submitted:**

**Rev.:**

**Dated:** [Click here to enter a date.](#)

|   | Applicant's Comments | CAA Comments (for CAA use only) |
|---|----------------------|---------------------------------|
| Rule Compliance Matrix  |                      |                                 |
| 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:<br>(a) Company name<br>(b) Name of the manual<br>(c) Effective revision and date of the page<br>(d) Page number |                      |                                 |
| Index (not mandatory but desirable)   |                      |                                 |



| Rule reference   | Manual References / Applicant's Comments | CAA Review & Comments (for CAA use only) |
|--|--|--|
| <b>SMS 137.155 &amp; Part 100</b>  |  |  |
| 137.160(a)(1)(i)<br>[100.3(b)]<br><i>Documentation of SMS procedures</i>   |  |  |
| 137.160(a)(2)<br><i>Senior persons</i>   |  |  |
| 137.160(a)(3)<br><i>Lines of safety responsibility</i>   |  |  |
| 137.160(b)(1)<br><i>Ongoing compliance</i>   |  |  |
| 137.160(b)(2)<br><i>Compliance with part 100</i>   |  |  |
| 100.3(a)(1)<br><i>SMS Safety Policy</i>  |  |  |
| 100.3(a)(2)<br><i>Risk management process</i>  |  |  |
| 100.3(a)(3)(i)<br><i>Hazard, incident and accident reporting, analysis and actions. Refer also CAR 12 Subpart B.</i> |  |  |
| 100.3(a)(3)(ii)<br><i>Goals and measures for the improvement of aviation safety</i>                                  |  |  |



| Rule reference                                       | Manual References / Applicant's Comments | CAA Review & Comments (for CAA use only) |
|--|--|--|
| 100.3(a)(3)(iii)<br><i>Quality assurance program</i> |  |  |
| 100.3(a)(4)<br><i>Safety training</i>                |  |  |
| 100.3(c)<br><i>Scalability of SMS</i>                |  |  |
| <b>List any other rules complied with:</b>           |  |  |
|  |  |  |

CAA Use

Assessed By:

Work Request:

Date received: [Click here to enter a date.](#)

Date accepted: [Click here to enter a date.](#)

This matrix was established using the following Rule Part amendment statuses

|     |                                  |             |                  |
|-----|----------------------------------|-------------|------------------|
| 100 | Safety Management                | Amendment 0 | 12 June 2019     |
| 137 | Agricultural Aircraft Operations | Amendment 2 | 04 February 2021 |

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