



Part 102 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 102 Unmanned Aircraft Operator 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.

Please note that Part 102.21(a)(1) requires an applicant for Part 102 certification to also comply with the relevant parts of Part 101. Therefore a Part 101 matrix will also be required to accompany the Part 102 application.

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 matrix list in the space provided at the end of the matrix and identify the exposition reference.

This matrix needs to be completed by every applicant for a Part 102 Unmanned Aircraft Operator 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 (✓) 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 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.

The exposition shall have page numbering and date of issue on each page. The List of Effective Pages (LEP) is the main control document for exposition content. As you need to identify specific sections of the exposition to show compliance against each required clause of the rule, paragraphs should be numbered and related to each section.

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:

Participant ID:

Manuals Submitted:

Rev.:

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

	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 and copies to be numbered		
Contents Page		
Definitions and Abbreviations (not mandatory)		
On every page, headers and/or footers to include: (a) Company name (b) Name of the manual (c) Effective revision and date of the page (d) Page number		
Index (not mandatory but desirable)		



Rule reference	Manual References / Applicant's Comments	CAA Review and Comments (for CAA use only)
102.11 Exposition		
102.11(a) An applicant for an unmanned aircraft operator certificate must provide the Director with an exposition that is acceptable to the Director.		
102.11(b) The exposition must address the following matters, having regard to the nature, degree and risk of the intended operation :--		
102.11(b)(1) the identification of a person who will have primary responsibility for the operation; and		
102.11(b)(2) the identification of any person who is to have or is likely to have control over the exercise of the privileges under the certificate; and		
102.11(b)(3) details of the physical locations to be used in the operation; and		
102.11(b)(4) a hazard register that :—		
102.11(b)(4)(i) identifies the known and likely hazards to people, property and other aircraft of the proposed operation; and		



Rule reference	Manual References / Applicant's Comments	CAA Review and Comments (for CAA use only)
102.11(b)(4)(ii) for each of the hazards identified, includes an assessment of the associated risks; and		
102.11(b)(4)(iii) includes a description of the measures that can be implemented to mitigate or manage the risk; and		
102.11(b)(5) procedures for reporting information to the Civil Aviation Authority; and		
102.11(b)(6) operating requirements for personnel licensing, qualifications, training and competency including pilot and support crew qualifications, training or medical requirements; and		
102.11(b)(7) details of the number and specifications of the aircraft to be used, including any identification system used on the aircraft (for example colour schemes, unique identification numbers, markings); and		
102.11(b)(8) details of the control system to be used to pilot the aircraft; and		
102.11(b)(9) procedures for the maintenance of aircraft and measures to ensure continued airworthiness; and		



Rule reference	Manual References / Applicant's Comments	CAA Review and Comments (for CAA use only)
102.11(b)(10) inflight procedures, including minimum distances from persons or property; and		
102.11(b)(11) procedures for handling cargo or dropping items, if such operations are intended; and		
102.11(b)(12) initial airworthiness standards that must be met; and		
102.11(b)(13) procedures for controlling, amending and distributing the exposition; and		
102.11(b)(14) any other approvals that are required to conduct the proposed operation.		
102.23 Changes to exposition		
102.23(a) Each holder of an unmanned aircraft operator certificate must—		
102.23(a)(1) ensure that the exposition is amended—		
102.23(a)(1)(i) so that it remains a current description of the certificate holder's operation; and		
102.23(a)(1)(ii) to ensure continued compliance with any Civil Aviation Rules that have been adopted under rule 102.11(c); and		



Rule reference	Manual References / Applicant's Comments	CAA Review and Comments (for CAA use only)
102.23(a)(2) provide the Director with a copy of each amendment to the exposition as soon as practicable after the amendment is incorporated into the exposition; and		
102.23(a)(3) make such amendments to the exposition as the Director considers necessary in the interests of aviation safety		
102.23(b) If a holder of an unmanned aircraft operator certificate proposes to change any of the following, prior acceptance by the Director is required:		
102.23(b)(1) the identification of any person who is to have or is likely to have control over the exercise of the privileges under the certificate:		
102.23(b)(2) the identification of locations from which the certificate holder conducts unmanned aircraft operations		
List any other rules complied with:		



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

102	Unmanned Aircraft Operator Certification	Amendment 0	12 June 2019
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Other rules or advisory circulars referred to during the assessment by Inspector