I, SHANE PATRICK CARMODY, Director of Aviation Safety, on behalf of CASA, make this instrument under regulation 5, subregulations 5.14 (1) and 5.17 (3), regulation 5.18 and subregulations 5.20 (1) and 5.23 (1) of the *Civil Aviation Regulations 1988*.

**[Signed S. Carmody]**

Shane Carmody  
Director of Aviation Safety

12 August 2019

Civil Aviation Order 40.7 Amendment Instrument 2019 (No. 1)

1 Name of instrument

This instrument is the *Civil Aviation Order 40.7 Amendment Instrument 2019 (No. 1).*

2 Commencement

This instrument commences on 1 September 2019.

3 Amendment of Civil Aviation Order 40.7

Schedule 1 amends Civil Aviation Order 40.7 – Aircraft endorsements (balloons) and flight instructor (balloons) ratings.

Schedule 1 Amendments

[1] Subsection 2

substitute

2 Definitions

2.1 In this Order, unless the contrary intention appears:

(a) words and phrases have the same meaning as in Part 5 of CAR; and

(b) a reference to a regulation 5, or to a subregulation or paragraph within a regulation 5, is a reference to that provision as it appears in CAR.

2.2 In this Order:

***ABTO*** means for approved balloon testing officer.

***AOC*** means Air Operator’s Certificate.

***CAR*** means the *Civil Aviation Regulations 1988*.

***CASR*** means the *Civil Aviation Safety Regulations 1998*.

***Class 1*** has the same meaning as in regulation 5.01.

***Class 1 (R) endorsement*** means a restricted Class 1 balloon endorsement.

***Class 1 (U) endorsement*** means an unrestricted Class 1 balloon endorsement.

***Class 2*** has the same meaning as in regulation 5.01.

***Class 2 (R) endorsement*** means a restricted Class 2 balloon endorsement.

***Class 2 (U) endorsement*** means an unrestricted Class 2 balloon endorsement.

***Class 3*** has the same meaning as in regulation 5.01.

***examiner*** means a CASA FOI or an ABTO who may conduct a commercial pilot (balloon) licence flight test in accordance with regulation 5.147.

***FOI*** stands for flying operations inspector.

***overseas balloon endorsement*** means a qualification (whether it is called an endorsement, rating or authority, or is known by some other name) that:

(a) authorises the holder of the qualification to fly a particular class of balloon; and

(b) was issued by the overseas national aviation authority.

*Note*   National aviation authority is defined in the CASR Dictionary.

***PICUS***(short for pilot in command under supervision) has the same meaning as in regulation 5.40.

2.3 An overseas balloon endorsement ***is at least the equivalent of***a particular class of balloon endorsement if it authorises the holder of the overseas balloon endorsement to fly, as pilot in command in an aerial work operation or a charter operation, a balloon that meets the description of the particular class of balloon as set out in Table 5.01 in CAR.

[2] Subsection 12

substitute

4 Class 1 balloon endorsement

4.1 Subject to subsections 7 and 9, for subregulation 5.23 (1), CASA directs that the requirements in this subsection must be met for the issue of a Class 1 balloon endorsement.

Eligibility

4.2 The person seeking the endorsement (the ***applicant***) must:

(a) be qualified to hold a commercial pilot (balloon) licence in accordance with subregulation 5.138 (1) of CAR; and

(b) have a logbook that may be endorsed for a Class 1 balloon by the person conducting the flight test, using CASA Form 214 (as in force or existence from time to time).

*Note*   Under regulation 5.147, the flight test required in order to be qualified to hold a commercial pilot (balloon) licence is conducted by a CASA FOI or an ABTO, in this instrument referred to as an ***examiner***.

Class 1 (R) endorsement

4.3 For regulation 11.068 of CASR, an initial Class 1 balloon endorsement is subject to the condition that it is a Class 1 (R) endorsement until the restriction mentioned in paragraph 4.4 is removed in accordance with paragraph 4.6.

4.4 For paragraph 4.3, the restriction is that holder of the Class 1 (R) endorsement (the ***endorsement holder***) must not, as pilot in command, operate a Class 1 balloon carrying more than 7 people (including the holder) in a balloon AOC operation.

4.5 If an applicant satisfies the requirements of paragraph 4.2, then the examiner who conducted the flight test must endorse the logbook with a Class 1 (R) endorsement by:

(a) applying the relevant Class 1 (R) sticky label from the completed CASA Form 214 and sending the top copy to CASA for its records; and

(b) recording in the logbook the name, ARN and signature of the examiner.

Removal of restriction

4.6 For paragraph 4.3, the restriction mentioned in paragraph 4.4 is removed from the holder’s Class 1 (R) endorsement only if the following requirements are complied with:

(a) the endorsement holder must be authorised, in accordance with regulation 5.141, to fly the balloon type that he or she proposes to fly (the ***balloon type***);

(b) the endorsement holder must have completed at least 5 hours (involving at least 5 take-offs and landings) as PICUS in the balloon type, specifically in AOC operations carrying 7 or more people, with 1 of the following as pilot in command (***PIC***):

(i) the chief pilot of the balloon AOC holder;

(ii) the holder of a flight instructor (balloon) rating;

(c) the PIC mentioned in sub-subparagraph (b) (i) or (ii) must:

(i) hold a Class 1 (U) endorsement; and

(ii) be authorised in the balloon type; and

(iii) have at least 25 hours’ experience flying a balloon whose envelope volume is equal to or greater than that of the balloon being flown;

(d) the endorsement holder must have completed a proficiency check flight as PICUS in the balloon type in AOC operations with:

(i) a PIC mentioned in subparagraph (b) who is qualified in accordance with subparagraph (c); or

(ii) an examiner who satisfies the requirements mentioned in sub‑subparagraphs (c) (i), (ii) and (iii);

(e) the proficiency check flight mentioned in paragraph (d) must involve:

(i) balloon flight time of at least 1 hour; and

(ii) at least 1 balloon inflation and 1 balloon deflation;

(f) at the end of the proficiency check flight, the person who was the PIC for subparagraph (d) (the ***recommender***) must:

(i) determine if the endorsement holder is competent to fly 7 or more passengers in an AOC operation; and

(ii) if the endorsement holder is competent, recommend, through an entry in the applicant’s logbook, that he or she be endorsed with a Class 1 (U) endorsement by an examiner.

*Note*   But an actual endorsement only takes effect when **the label from Form 214** has been affixed to the applicant’s logbook by an examiner under paragraph 4.10.

Class 1 (U) endorsement

4.7 For sub-subparagraph 4.6 (f) (ii), the recommendation must be in the following form:

[*Name of endorsement holder [logbook holder] and ARN*] is recommended to be endorsed to fly a Class 1 balloon with 7 or more passengers subject to the limitations of the balloon type.

[*Signature of recommender and date.*]

[*Printed name of recommender and ARN.*]

[*Qualifications of recommender — delete those not applicable below.*]

[*Examiner (Approved Balloon Testing Officer or CASA FOI).*]

[*Flight Instructor (Balloon) holder.*]

[*Chief Pilot of [Name the Balloon AOC holder].*]

4.8 The recommender must complete a proficiency check flight report.

*Note*   A proficiency check flight report using the Balloon Flight Review form in Appendix E to CAAP 5.81-1(1) is an acceptable means of compliance.

4.9 A copy of the proficiency check flight report must be retained in safe custody by:

(a) the logbook holder; and

(b) the chief pilot of the AOC holder.

4.10 Within 14 days after making the recommendation mentioned in paragraph 4.7, the recommender must give a copy of the proficiency check flight report and the applicant’s logbook to an examiner who, if satisfied, must endorse the logbook with the Class 1 (U) endorsement by:

(a) applying the relevant Class 1 (U) sticky label from the completed CASA Form 214 and sending the top copy to CASA for its records; and

(b) recording in the logbook the name, ARN, date and signature of the examiner.

*Note 1*   The endorsement only takes effect when the label has been affixed to the endorsement holder’s logbook by an examiner.

*Note 2*An examiner who conducts the proficiency check flight for subparagraph 4.6 (d) may be both the recommender and the examiner for paragraph 4.10.

5 Class 2 balloon endorsement

5.1 Subject to subsections 8 and 9, for subregulation 5.23 (1), CASA directs that the requirements in this subsection must be met for the issue of a Class 2 balloon endorsement.

Eligibility

5.2 The person seeking the endorsement (the ***applicant***) must:

(a) hold a Class 1 (U) endorsement in accordance with subsection 4; and

(b) have at least 175 hours as PIC of any Class 1 balloon; and

(c) have at least 80 hours as PIC in balloon charter flights; and

(d) pass a proficiency check flight, in a Class 2 balloon of the type for which the applicant is seeking a Class 2 balloon endorsement (the ***proficiency check flight***), conducted by 1 of the following who holds a Class 2 (U) endorsement:

(i) an examiner;

(ii) if an examiner is not available — the holder of a flight instructor (balloon) rating approved in writing by CASA to conduct Class 2 balloon endorsement proficiency check flights; and

*Note*   Flight time as PICUS does not constitute flight time as PIC.

(e) have a logbook that may be endorsed for a Class 2 balloon by 1 of the following using CASA Form 214 (as in force or existence from time to time):

(i) an examiner, who conducted the proficiency check flight;

(ii) another examiner, provided that he or she has received the following from the examiner or the flight instructor (balloon) who conducted the proficiency check flight:

1. a written recommendation to make the endorsement;
2. a proficiency check flight report;
3. the applicant’s logbook.

Class 2 (R) endorsement

5.3 For regulation 11.068 of CASR, a Class 2 balloon endorsement is subject to the condition that it is a Class 2 (R) endorsement until the restriction mentioned in paragraph 5.4 is removed in accordance with paragraph 5.6.

5.4 For paragraph 5.3, the restriction is that the holder of the Class 2 (R) endorsement (the ***endorsement holder***) must not fly a Class 2 balloon with an envelope volume that is greater than 400 000 cubic feet in an AOC operation.

5.5 If an applicant satisfies the requirements of paragraph 5.2, then, subject to paragraph 5.6, the examiner who conducted the proficiency check flight must endorse the logbook with a Class 2 (R) endorsement by:

(a) applying the relevant Class 2 (R) sticky label from the completed CASA Form 214 and sending the top copy to CASA for its records; and

(b) recording in the logbook the name, ARN, date and signature of the examiner.

5.6 If:

(a) an applicant satisfies the requirements of paragraph 5.2; and

(b) the proficiency check flight was conducted by a flight instructor (balloon) in accordance with sub-subparagraph 5.2 (d) (ii);

then:

(c) the flight instructor (balloon) must recommend, through an entry in the applicant’s logbook, that he or she be endorsed for a Class 2 (R) endorsement by an examiner; and

(d) an examiner, having been provided with the documents mentioned in sub‑subparagraph 5.2 (e) (ii), must, if satisfied, endorse the logbook with a Class 2 (R) endorsement as if subparagraphs 5.5 (a) and (b) applied.

Removal of restriction

5.7 For paragraph 5.3, the restriction mentioned in paragraph 5.4 is removed from the endorsement holder’s Class 2 (R) endorsement only if the following requirements are complied with:

(a) the endorsement holder must be authorised, in accordance with regulation 5.141, to fly the balloon type that he or she proposes to fly (the ***balloon type***);

(b) the endorsement holder must have completed at least 5 hours (involving at least 5 take-offs and landings) as PICUS in the balloon type in AOC operations with 1 of the following as PIC:

(i) the chief pilot of the AOC holder for the AOC operations;

(ii) the holder of a flight instructor (balloon) rating;

(c) the PIC mentioned in sub-subparagraph (b) (i) or (ii) must:

(i) hold an unrestricted Class 2 balloon endorsement; and

(ii) be authorised in the balloon type; and

(iii) have at least 25 hours’ experience flying a balloon whose envelope volume is equal to or greater than that of the balloon type;

(d) the endorsement holder must have completed a proficiency check flight as PICUS in the balloon type in AOC operations with:

(i) a PIC mentioned in subparagraph (b) who is qualified in accordance with subparagraph (c); or

(ii) an examiner who satisfies the requirements mentioned in sub‑subparagraphs (c) (i), (ii) and (iii);

(e) the proficiency check flight mentioned in paragraph (d) must involve:

(i) balloon flight time of at least 1 hour; and

(ii) at least 1 balloon inflation and 1 balloon deflation;

(f) at the end of the proficiency check flight, the person who was the PIC for subparagraph (d) (the ***recommender***) must:

(i) determine if the endorsement holder is competent to fly the balloon type with an envelope volume that is greater than 400 000 cubic feet in an AOC operation; and

(ii) if the endorsement holder is competent, recommend, through an entry in the holder’s logbook, that he or she be endorsed with a Class 2 (U) endorsement by an examiner.

*Note*   But an actual endorsement only takes effect when **the label from Form 214** has been affixed to the applicant’s logbook by an examiner under subsection 5.11.

Class 2 (U) endorsement

5.8 For subparagraph 5.7 (f), the recommendation must be in the following form:

[*Name of endorsement holder [logbook holder] and ARN*] is recommended to be endorsed to fly a Class 2 balloon with an envelope volume that is greater than 400 000 cubic feet in an AOC operation, subject to the limitations of the balloon type.

[*Signature of recommender and date.*]

[*Printed name of recommender and ARN.*]

[*Qualifications of recommender — delete those not applicable below.*]

[*Examiner (Approved Balloon Testing Officer (ABTO) or CASA FOI).*]

[*Flight Instructor (Balloon) holder.*]

[*Chief Pilot of [Name the Balloon AOC holder].*]

5.9 The recommender must complete a proficiency check flight report.

*Note*   A proficiency check flight report using the balloon flight review form in Appendix E to CAAP 5.81-1(1) is an acceptable means of compliance.

5.10 A copy of the flight report must be retained in safe custody by:

(a) the logbook holder; and

(b) the chief pilot of the AOC holder.

5.11 Within 14 days after making the recommendation mentioned in paragraph 5.6, the recommender must give a copy of the proficiency check flight report and the applicant’s logbook to an examiner who, if satisfied, must endorse the logbook by:

(a) applying the relevant Class 2 (U) sticky label from the completed CASA Form 214 and sending the top copy to CASA for its records; and

(b) recording in the logbook the name, ARN, date and signature of the examiner.

*Note 1*   The endorsement only takes effect when the label has been affixed to the endorsement holder’s logbook by an examiner.

*Note 2*An examiner who conducts the proficiency check flight for subparagraph 5.7 (d) may be both a recommender and the examiner for paragraph 5.11.

6 Class 3 gas balloon endorsement

6.1 For subregulation 5.23 (1), CASA directs that the requirements in this subsection must be met for the issue of a Class 3 gas balloon endorsement.

6.2 CASA may issue a Class 3 gas balloon endorsement only after assessing that the applicant’s detailed safety case, which must be submitted with the applicant’s application, is satisfactory for aviation safety.

*Note*   Gas balloons are generally small and carry no more than 2 persons. They are not currently in use for charter operations in Australia and training is not available. In the event that there is a requirement for gas balloon endorsements in the future, it is likely that Civil Aviation Order (***CAO***) 40.7 would be amended to specifically address that contingency.

7 Overseas balloon endorsement for restricted or unrestricted Class 1 balloon endorsement

7.1 For subregulation 5.23 (1), CASA directs that the requirements in this subsection must be met for the issue of a Class 1 (R) endorsement or a Class 1 (U) endorsement (as the case requires) to the holder of an overseas balloon endorsement on or after 1 September 2019.

7.2 The person seeking the particular endorsement (the ***applicant***) must:

(a) hold an overseas balloon endorsement that is at least the equivalent of a Class 1 (R) endorsement or a Class 1 (U) endorsement (as the case requires) (the ***relevant overseas balloon endorsement***); and

(b) be qualified to hold a commercial pilot (balloon) licence in accordance with subregulation 5.138 (2) of CAR; and

*Note*   Under regulation 5.147, the flight test required in order to be qualified to hold a commercial pilot (balloon) licence is conducted by an examiner who applies the label from the completed CASA Form 214 and sends the top copy to CASA for its records.

(c) have an ARN, and a logbook that is capable of being endorsed.

7.3 If an applicant satisfies the requirements of paragraph 7.2, then the examiner who conducted the flight test must endorse the logbook:

(a) with a Class 1 (U) endorsement as if paragraph 4.6 applied — if the person’s logbook contains persuasive evidence that the person’s relevant overseas balloon endorsement authorises the person to operate the equivalent of a Class 1 balloon carrying more than 7 people (including the person) in a balloon operation that is an AOC operation or equivalent; or

(b) with a Class 1 (R) endorsement — if subparagraph (a) is not the case.

7.4 For paragraph 7.3, the endorsement by the examiner must be by:

(a) applying the relevant Class 1 (R) or Class 1 (U) sticky label from the completed CASA Form 214 and sending the top copy to CASA for its records; and

(b) recording in the logbook the name, ARN, date and signature of the examiner.

7.5 A person who is issued with a Class 1 (R) endorsement may have the restriction removed only if paragraphs 4.6 to 4.10 are complied with as if they applied to, and for, the person.

8 Overseas balloon endorsement for restricted or unrestricted Class 2 balloon endorsement

8.1 For subregulation 5.23 (1), CASA directs that the requirements in this subsection must be met for the issue of a Class 2 (R) endorsement or a Class 2 (U) endorsement (as the case requires) to the holder of an overseas balloon endorsement on or after 1 September 2019.

8.2 The person seeking the particular endorsement (the ***applicant***) must:

(a) hold an overseas balloon endorsement that is at least the equivalent of a Class 2 (R) endorsement or a Class 2 (U) endorsement (as the case requires) (the ***relevant overseas balloon endorsement***); and

(b) have persuasive logbook evidence of at least 175 hours as PIC of any Class 1 balloon or equivalent; and

(c) have persuasive logbook evidence of at least 80 hours as PIC on balloon passenger charter flights; and

(d) have passed a commercial pilot (balloon) licence flight test in accordance with regulation 5.147; and

*Note*   Under regulation 5.147, the flight test is conducted by an examiner who applies the label from the completed CASA Form 214 and sends the top copy to CASA for its records.

(e) have passed a commercial pilot (balloon) licence theory examination; and

(f) have an ARN, and a logbook that is capable of being endorsed.

8.3 If an applicant satisfies the requirements of paragraph 8.2, then the examiner who conducted the flight test must endorse the logbook:

(a) with:

(i) a Class 2 (U) endorsement as if paragraph 5.6 applied — if the person’s logbook contains persuasive evidence that the person’s relevant overseas balloon endorsement authorises the person to operate a Class 2 balloon or equivalent, with an envelope volume that is greater than 400 000 cubic feet, in a balloon operation that is an AOC operation or equivalent; and

(ii) on the basis of the Class 2 (U) endorsement under sub-subparagraph (i) — with a Class 1 (U) endorsement, if not already so endorsed; or

(b) with:

(i) a Class 2 (R) endorsement — if sub-subparagraph (a) (i) is not the case; and

(ii) on the basis of the Class 2 (R) endorsement under sub-subparagraph (i) — with a Class 1 (U) endorsement, if not already so endorsed.

8.4 For paragraph 8.3, the endorsement by the examiner must be by:

(a) applying the relevant Class 2 (R) or Class 2 (U) sticky label from the completed CASA Form 214 and sending the top copy to CASA for its records; and

(b) recording the relevant Class 1 (U) endorsement on the Form; and

(c) recording in the logbook the name, ARN, date and signature of the examiner.

8.5 A person who is issued with a Class 2 (R) endorsement may have the restriction removed only if paragraphs 5.7 to 5.11 are complied with as if they applied to, and for, the person.

9 Transitional application of subsections 4, 5 and 6

9.1 A person, who on or after 1 September 2019 applies for the issue of an initial Class 1 balloon endorsement, is entitled to be issued with the endorsement if:

(a) the endorsement would be the first balloon endorsement that the person has held (a ***first endorsement***); and

(b) the requirements of subsection 4 are satisfied by, and for, the person.

9.2 A person (a ***grandfathered person***) who, immediately before 1 September 2019 (the ***commencement***) holds a class of balloon endorsement (an ***old endorsement***) issued under subsection 12 of CAO 40.7, as in force immediately before the commencement (***subsection 12***), is taken to hold the balloon endorsement mentioned in Table 9.3 as if the endorsement had been issued under subsection 4, 5, 6, 7 or 8, as the case may be (a ***new endorsement***).

9.3 For paragraph 9.3, for an old endorsement mentioned in a row of column 1 of Table 9.2, the new endorsement is that mentioned in the same row in column 2.

Table 9.3 New for old endorsements of grandfathered persons

|  |  |
| --- | --- |
| **Old endorsement** | **New endorsement** |
| Class 1 endorsement issued before 1 September 2014 | Class 1 (R) |
| Class 2 endorsement issued before 1 September 2014 | Class 1 (U) |
| Class 3 endorsement issued before 1 September 2014 | Class 2 (R) |
| Class 4 endorsement issued before 1 September 2014 | Class 2 (U) |
| Class 1 endorsement issued on or after 1 September 2014 | Class 1 (U) |
| Class 2 endorsement issued on or after 1 September 2014 | Class 2 (U) |

9.4 Subsection 4, 5, 6, 7 or 8, as the case may be, applies to the holder of any endorsement issued or held in accordance with this subsection (a ***transitional endorsement***) for any issue of a class of balloon endorsement for which the transitional endorsement was, at any time, a prerequisite.

[3] Sub-subparagraph 16.2 (a) (ii)

omit

10 hours

insert

5 hours

[4] After subparagraph 16.5 (b)

insert

(ba) to conduct a proficiency check flight for a class of balloon endorsement, provided the holder holds the same class of balloon endorsement without restriction; and