CAAT
The Civil Aviation Authority of Thailand

AIR OPERATOR SURVEILLANCE PACKAGE 2025

1. AUDIT SCOPE

1. INTRODUCTION

CAAT adheres to practices that promote the highest aviation safety standards. We are committed to providing all the resources needed to implement the safety policy and requirements in order to meet or exceed all applicable ICAO regulations and recommendations.

The conduct of continuing surveillance of the operator is one of CAAT's major responsibilities to continuously determine that the AOC remains valid. To enable the achievement of such purpose, an annual surveillance program has been implemented to ensure a re-evaluation of the operator's organization, management effectiveness and control, facilities, equipment, aircraft maintenance, operational control and supervision, maintenance of flight and cabin crew standards, passenger and cargo safety procedures, operational and personnel records, training, company manuals including applicable regulatory compliance.

All safety oversight activity with respect to each operator was carefully planned to cover as many aspects of an operation as possible under a specific period of time. Our Inspections were planned on the basis of a risk assessment exercise so that aspects of the operation that involve the greatest risk receives more frequent attention.

Throughout all phases of the surveillance programme, the standards of capability and competence should equal or exceed that required at the time of original certification of the operator. CAAT inspectors conducting surveillance and related inspections are required to carry out such activities in a thorough manner and require the operator to convincingly demonstrate that operations are being conducted in accordance with the AOC and associated operations specifications, the operator's manuals and appropriate CAAT regulations.

CAAT safety oversight programme package provides a comprehensive and conclusive guideline to ensure a proper assessment of an operator's continuing competence, record of compliance and overall capability throughout all the audit scopes as described in the following section.
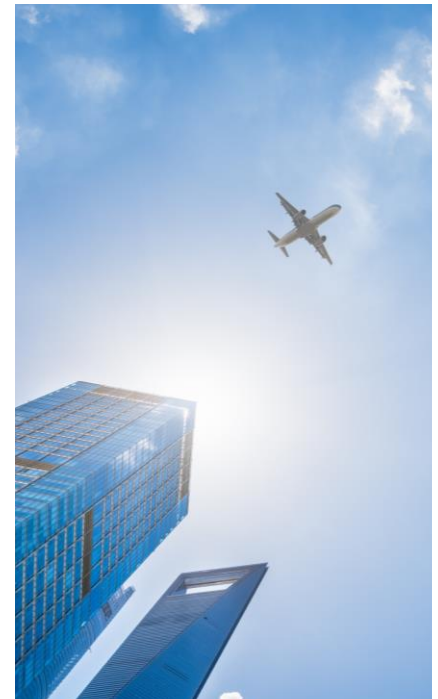
2. AUDIT TYPE

- Main Base Audit (MBA-A, MBA-B, MBA -C, Safety)

- En-Route Inspection (ENF, ENC, R)

- Station Audit (LG, DG-LSA, AIR-LSA)

- Inspection of Training Program with Simulator (ITP)

- Special Inspection (SPEC)

- No-Notice Inspection

MAIN BASE AUDIT

The Main Base Audit consists of four groups as follow:

MBA-A
MBA-A includes the following areas of inspection:
1. Organizational Competence (O)
2. Safety Management System (SMS)
3. Quality Management System (QMS)
4. Flight Crew Training Records (TR-FC)
5. Cabin Safety Main Base Audit (CMBA)
6. Dangerous Goods Main Base Audit (DMBA)
7. Airworthiness and Aircraft Engineering Main Base Audit (AMBA)

MBA-B
MBA-B includes the following areas of inspection:
1. Flight Operations Officer Training Records (TR-FOO)
2. Returned Flight Documentation (OFR)
3. Flight Safety Documentation System (FSDS)
4. Flight Time Limitation Records (FTL)

MBA-C
MBA-C includes the following areas of inspection:
1. Operational Control (OC)
2. Main Base, Ground Facilities and Systems (MG)
3. Ramp Inspection (R)

Safety Audit
Safety Audit includes the following areas of inspection:
1. Flight Data Analysis Program (FDA) (If applicable)
2. Safety Cases

> *** See details of each main base inspection in the scope section ***

EN-ROUTE INSPECTION

En-route inspection is to ensure the effectiveness of preflight preparation, in-flight procedures and post flight activities, including emergency equipment and documentation, as required by approved operations manual by the direct observation and evaluation of operations conducted in both cockpit and cabin. The en-route activities may include ramp inspections which will be conducted on both interior (flight crew compartment, cabin interior) and exterior of the aircraft.

The En-Route Inspection is categorized into three groups as follows:

1. In-flight Cockpit Inspection (ENF)
2. In-flight Cabin Inspection (ENC)
3. Ramp Inspection (R)

STATION AUDIT

Station Inspection is to assess effectiveness of ground operation activities and to verify serviceable condition of facilities and equipment, related documents, passengers and baggage handling procedures, and competency of staffs including subcontractor. The station inspection consists of three groups as follows:

Station, Ground Facilities and Systems (LG)
Additional from details mentioned above in Station Audit, Flight Operations Line Station Facility Inspections will focus on flight preparation (e.g. mass, balance & performance computation and flight planning etc.), airside safety operations (e.g. aircraft movement, aircraft servicing etc.)

Dangerous Goods Line Station Audit (DG-LSA)
Dangerous Goods Line Station Facility Inspections will emphasize on dangerous goods operations at passenger facilities, operation practices and dangerous goods handling process and safe transport of dangerous goods (if applicable).

Airworthiness Line Station Audit (AIR-LSA)
AIR Line Station Audit is to assess the operator arrangement of servicing the aircraft operations and its subcontractor activities at the airport to ensure the safety of the aircraft along with operation practices, handling process and aircraft arrival and/or departure required to be observed.

INSPECTION OF TRAINING PROGRAM WITH SIMULATOR (ITP)

Inspection of Training Program with Simulator (ITP) will ensure that operator will deliver simulator training according to approved training manual.

SPECIAL AUDIT

Special audits (or inspections) may be scheduled during the period at the discretion of the assigned surveillance team for a special purpose if required. Such inspections may be necessary where a serious safety deficiency exists or documented information indicates that part or parts of an air operator's operation are conducted in a manner that is not in accordance with regulatory requirements.

NO-NOTICE INSPECTION

No-notice inspections are intended to ascertain whether the internal control system is working effectively and the safety standards are continuously maintained as per the AOC requirements. It may be scheduled internally within CAAT during the period at the discretion of the assigned surveillance team if required. Such inspections may be necessary where a serious safety deficiency exists or documented information indicates that part or parts of an air operator's operation are conducted in a manner that is not in accordance with regulatory requirements. The nature of no-notice inspection conduct is the same as other inspection, but only without prior notice to the operator. In circumstances where the no-notice inspection is required, the Flight Operations Standards Manager and the Director General must be informed of the inspection as soon as possible prior to the conduct.

Organizational Competence (O)

The Organizational Competence is an audit methodology to assess the suitability and competence of the Management System. It incorporates both organizational and individual assessment as follows:

- The suitability organizational structure;
- The individual management personnel competence;
- The systems used by management to control safety of the operation;
- The effectiveness of the organization in taking and communicating decisions and control actions that are designed to improve safety of the operating environment; and
- The safety culture of the organization.

Safety Management System (SMS)

Safety Management System inspection will ensure that the operator has an effective SMS in place, according to SMS framework elements, and accepted Safety Management Manual.

Quality Management System (QMS)

Quality Management System inspection is to ensure that the operator has established an effective quality assurance system to monitor compliances with applicable regulatory requirements, standards, and procedures to ensure safe operation.

Training and Qualification Records (TR)

Training and Qualification Records inspection will ensure that the operator has maintained records of the qualification and training for each personnel, which complied with regulations and approved operations manual. The Training and Qualification Records inspection consists of two groups as follows:

- Flight Crew Training Records (TR-FC)
- Flight Operations Officer Training Records (TR-FOO)

Cabin Safety Main Base Audit (CMBA)

Cabin Safety Main Base Audit includes audits on the management relevant to cabin crew and cabin crew training program, cabin crew training, training records, and the documents consisting of safety instructions and manuals relevant to the operation of cabin crew.

Dangerous Goods Main Base Audit (DMBA)

Dangerous Goods Main Base Audit is to ensure the suitability and compliances of the operator's dangerous goods policy and procedures, training, passenger terminal facilities, cargo facilities, ground handling facilities, shipping facilities, quality assurance and reporting system of dangerous goods and their subcontractor activities.

Airworthiness and Aircraft Engineering Main Base Audit (AMBA)

Airworthiness and Aircraft Engineering Main Base Audits (AMBA) is to ensure operators' compliance with their internally established procedures and current Thai Civil Aviation Regulation which includes Quality Management System, Airworthiness Directive Management, manual evaluation related to aircraft maintenance activity, personnel record and qualification, maintenance review, aircraft status (if applicable) and finally maintenance facility. It also comprises of store management activity such as aircraft spare part, consumable material, receiving aircraft part and/or consumable inspection process, tool/equipment involving special tool, record of calibration etc.

Returned Flight Documentation (OFR)

Returned Flight Document inspection is to allow inspectors to evaluate return flight documents package, and to reconstruct a particular flight or a series of flights by the operational flight plan, maintenance release, loading and mass documents, weather documents, and other related flight information.

Flight Safety Document System (FSDS)

Flight Safety Document System inspection is to review the flight safety document system to ensure that the operator has established a flight safety documents system (FSDS) for utilization as a guidance for operational personnel, as part of its safety management system. The FSDS shall be consistent with regulations, manufacturer requirements and Human Factors principles.

Flight Time Limitation Records (FTL)

Flight Time Limitation Records Inspection is to ensure that the operator manages fatigue through the establishment of flight time, flight duty period, duty period and rest period limitations that are within the limits prescribed, and maintains records for all of its flight and cabin crew.

Operational Control (OC)

Operational Control Inspection is to ensure that the operator has established and determined adequacy of operational control procedures for safe operations which is in accordance with CAAT requirements and regulations, including competency of staffs based on their role and responsible as described in operation manual.

Main Base, Ground Facilities and Systems (MG)

Main Base, Ground Facilities and Systems Inspection is to ensure that the operator has arranged effective ground operations and facilities at principal base of operations to ensure the safe servicing and loading of its flights. Station facility operations are defined as those which support activities and service required to originate, turn around, or terminate a flight. The inspection includes both the operations and the facilities required to conduct them.

Ramp Inspection (R)

Ramp Inspection is to allow inspectors to observe and evaluate the routine methods and procedures used by an operator's personnel during the period immediately before or after a flight and to determine the operator's compliance with regulations and safe operating practices.

Flight Data Analysis Program (FDA)

Flight data analysis program inspection is to ensure that their flight data analysis program, as a part of safety management system, is non-punitive, contain adequate safeguards to protect the source(s) of the data and being a closed loop system by assessing as follows:

- The identification of any deviations from SOPs or areas of risk and measure current safety margins;
- The estimation of the level of severity, to assess the risks and to determine which are or may become unacceptable;
- The risk mitigation to provide remedial action once an unacceptable risk, either actually present or predicted by trending, has been identified;
- The effectiveness of any remedial action.

Safety Cases

The inspector will conduct the audit based on operator occurrence reports (specifically on significant mandatory report that has been sent to CAAT), the inspector will assess and follow up the effectiveness of SMS and procedures related to the occurrence report.

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2. INSPECTION CHECKLISTS

Activities	List of Surveillance Checklists	Inspectors
MBA-A		
Check O	Organizational Competence	FOI, OMI, AWI
Check SMS	Safety Management System	OMI
Check QMS	Quality Management System	OMI
Check TR-FC	Flight Crew Training Records	FOI
Check CMBA	In-flight Cabin Inspection Cabin Crew Manager Cabin Crew Training Manager Cabin Crew Training Record Cabin Crew Training and Facilities	CSI
Check DMBA	Dangerous Goods Site Audit (For DG Approval Operator) Dangerous Goods Site Audit (For Non-DG Approval Operator)	DGI
Check AMBA	AOC Base Inspection Checklist	AWI
MBA-B		
Check TR-FOO	Flight Operations Officer Training Records	FOI
Check OFR	Returned Flight Documentation	FOI
Check FSDS	Flight Safety Documentation System	OMI
Check FTL	Flight Time Limitations Records	OMI
MBA-C		
Check OC	Operational Control	FOI
Check MG	Station, Ground Facilities and Systems	FOI, OMI
EN-ROUTE INSPECTION		
Check ENF	Air Operator In-flight Cockpit Inspection	FOI
Check ENC	In-flight Cabin Inspection Passenger Safety Card	CSI
Check R	Ramp Inspection	FOI
STATION INSPECTION		
Check LG	Station, Ground Facilities and Systems	FOI, OMI
Check DG-LSA	Dangerous Goods Site Audit (For DG Approval Operator) Dangerous Goods Site Audit (For Non-DG Approval Operator)	DGI
Check AIR-LSA	Line Station and Facility Inspection Checklist	AWI
SAFETY AUDIT		
Check SMS	Safety Management System	OMI
Check FDA	Flight Data Analysis Program	FOI, OMI
INSPECTION OF TRAINING PROGRAM WITH SIMULATOR (ITP)		
Check ITP	Flight Crew Training	FOI
EMERGENCY EVACUATION AND DITCHING DEMONSTRATION		
Emergency Evacuation and Ditching Demonstration	OPS-Emergency Evacuation and Ditching Demonstration	FOI, CSI

3. REQUIRED REFERENCE DOCUMENT

- Operation Manual
- Aircraft Flight Manual
- Emergency Manual
- Flight Operation Officer or Dispatcher Manual
- Cabin Crew Manual
- Dangerous Goods Manual
- Safety Management Manual
- Quality Assurance Manual
- Training Manual (Flight Crew, Cabin Crew, Ground Staff, Dispatcher)
- Aircraft Maintenance Program
- General Maintenance Manual
- Minimum Equipment List
- Other Manuals as Required by The Competent Official

4. TRANSPORTATION AND ACCOMMODATION

- ประกาศซักซ้อมความเข้าใจ เรื่อง ค่าใช้จ่ายในการตรวจสอบผู้ถือหรือผู้ได้รับใบรับรองผู้ดำเนินการ
  เดินอากาศที่ได้รับยกเว้นค่าธรรมเนียมใบรับรองผู้ดำเนินการเดินอากาศ ลงวันที่ 26 กุมภาพันธ์ 2562

5. PERSONAL PROTECTION EQUIPMENT

Inspectors with access to tarmac areas are required to wear non-sparking fully covered footwear. Additionally, it is a requirement that Inspectors request hearing protection and high visibility vests if working around aircraft and ground equipment.

6. SECURITY PASS / FLIGHT DECK APPROVAL

CAAT Inspectors may need related security passes to conduct their inspections. The operator is required to assist and facilitate such process to obtain the passes/approval prior to the planned activities.

7. OFFICE EQUIPMENT AND STATIONARY

The operator is to provide a room that secures privacy for CAAT audit team meeting every day of the activities. The room is to be equipped with a wi-fi internet access, a printer, and a data projector for use by the team for the duration of the on-site audit.

8. SURVEY / ELECTRONIC FEEDBACK FORM

https://forms.office.
com/r/3wr2TNWPZh

Your feedback is valuable to us. In order to improve the quality of our surveillance and the performance of our Inspectors, the operator is required to provide CAAT with post audit survey response within 7 days after audit closing date. Simply scan the QR code or follow the link here to share your comments and suggestions on the inspection conduct and the Inspector performing the inspection in each area (POI, FOI, OMI, CSI, DGI and AWI).

A list of survey questions is provided for your information in Appendix D. The result will be treated strictly confidential and will be submitted directly to the Flight Operations Manager and the Director General. The receipt of survey response will be treated as a part of audit completion.
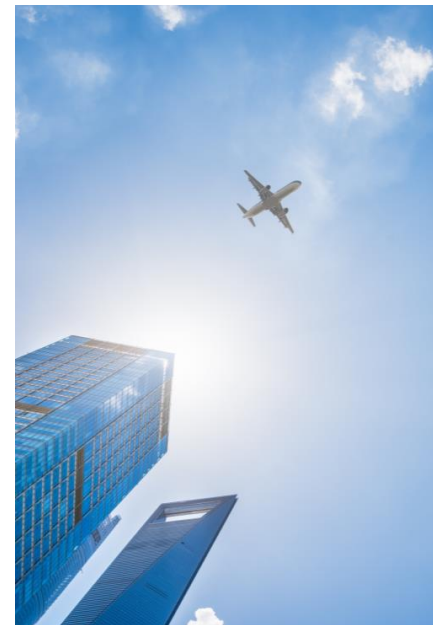
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9. STANDARD AUDIT PROTOCOL

WHEN A SURVEILLANCE AUDIT IS PLANNED, CAAT SHALL:

Surveillance Plan of Year 2025													
Month		Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
CAAT Oversight Programme	FOI			MBA-A SAFETY		ENF-A330	ITP-A330	MBA-B MBA-C					
	OMI		LG	MBA-A SAFETY		SPEC		MBA-B MBA-C		LG			
	CSI			MBA-A		ENC-A330							
	DGI			MBA-A			DG-LSA					DG-LSA	
	AWI												

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Coordinate with the
operator to propose
audit dates
      │
      ▼
Send the audit
notification to the
operator
      │
      ▼
Ensure all required
documents are up to
date in FOSD
      │
      ▼
Confirm audit
formalities
      │
      ▼
Inspections Conduct
      │
      ▼
Present non-conformity        →    Non-conformity finding
finding                            becomes the audit
                                   report
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Principal Operations Inspector (POI)

The POIs shall serve as the primary spokesperson for CAAT throughout the surveillance process. They must thoroughly co-ordinate all surveillance matters with all other inspectors assigned to the project and shall bear full responsibility for ensuring that all job functions are completed.

All correspondence, both to and from the applicant, shall be coordinated with the POI to ensure that CAAT and the air operator are kept fully informed of the current status of the audit activities.

For the notification of surveillance activities, the POI is required to ensure that contacts to the operator are made at least 2 months prior to the planned period to seek mutual agreement on the exact dates of audit activities. Formal communications are to be made primarily via CAAT letter and/or email 1 month before the agreed audit dates.
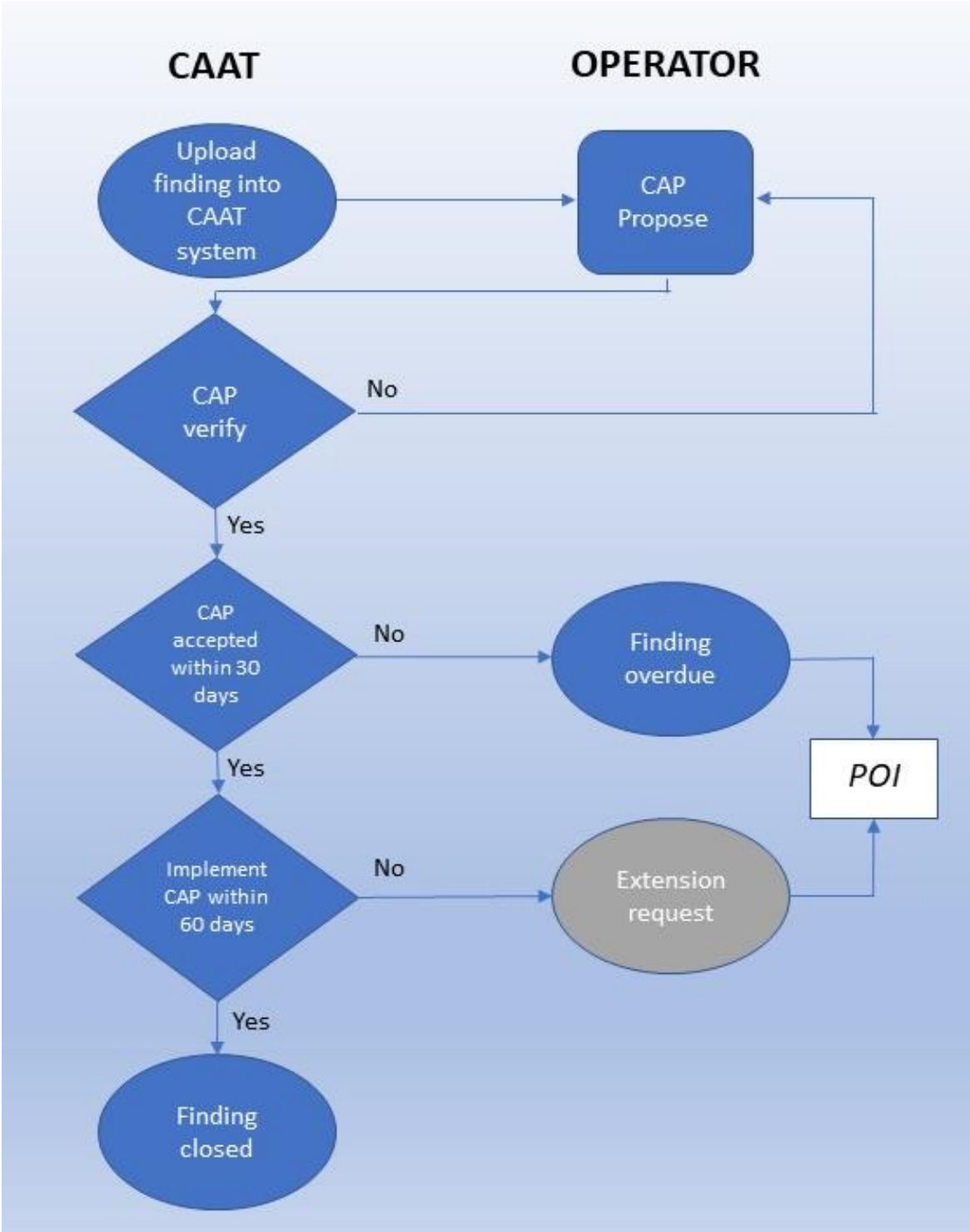
Level 1 finding shall be issued when any significant Non-Compliance is detected with the applicable requirements, with the organization's procedures and manuals or with the terms of an approval, certificate, specialized operation authorization or with the content of a declaration *which lowers safety or seriously endangers flight safety.* Operator is required to take immediate corrective action within **3 days.**

Note: In case the "immediate" actions taken by the operator, when appropriate and accepted, can allow CAAT inspector to:

- *Close the Level 1 finding if the operator has demonstrated implementation of acceptable corrections and corrective actions.*
- *Re-categorize the Level 1 finding to become a Level 2 finding if the "immediate" actions implemented by the operator enable restore an acceptable level of compliance. These actions shall not be less than the implementation of corrections and the insurance that the Non-Compliance extent is clearly identified and that all non-compliant items are isolated (containment).*
- *The Level 1 finding shall be closed and a Level 2 finding shall be created. Level 1 finding shall mention in the reason for closure that a Level 2 finding was created to address the implementation of corrective actions and the reference of the Level 2 finding shall also be mentioned. The Level 2 finding created shall mention the reference of the Level 1 finding of origin and recall that it only intends to address the corrective actions as acceptable corrections were already implemented to close the Level 1 finding.*

WHEN A LEVEL 2 FINDING IS ISSUED, CAAT SHALL FOLLOW THESE STEPS:

Level 2 finding shall be issued by CAAT when a non-compliance is detected against the operator's procedures or manuals, applicable regulations and requirements, the terms of an approval or a certificate, specific approvals, or with the contents of a declaration which could lower safety or seriously hazards flight safety.
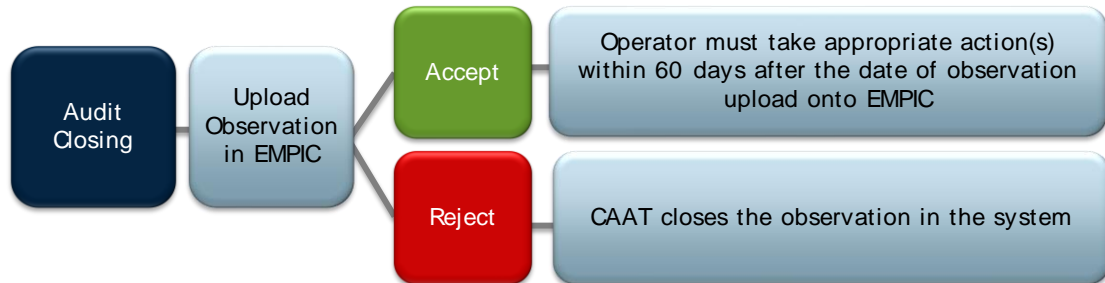
Corrective Action Plan addressing safety deficiencies shall be submitted 30 days after the findings have been uploaded.

------- Maximum number of CAP proposal : 3 times per each finding -------
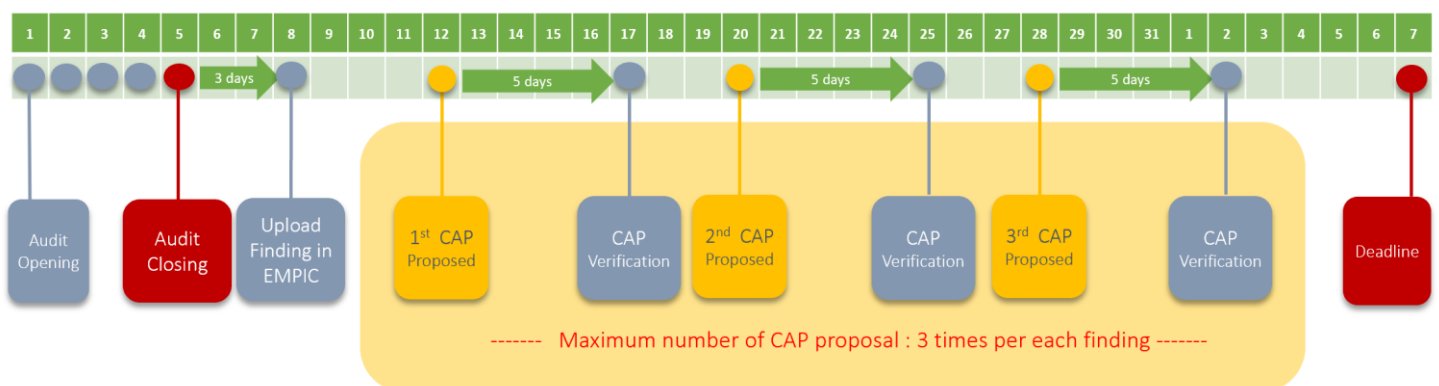
Time frame of the CAP implementation shall be established, proposed and completed by an operator within 60 days from the findings have been uploaded.

Should an operator require an extension for CAP implementation, a formal request letter shall be submitted to CAAT.

If accepted CAPs could not be implemented within the agreed time frame, the finding shall be classified as OVERDUE.

WHEN AN OBSERVATION IS ISSUED, CAAT SHALL FOLLOW THESE STEPS:

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Audit          Upload              Accept          Operator must take appropriate action(s)
Closing     Observation                            within 60 days after the date of observation
             in EMPIC                                          upload onto EMPIC

                                     Reject         CAAT closes the observation in the system
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Observations are recommendations providing opportunities for improvement. The management system that may be weak, cumbersome, redundant, overly complex, or in some other manner, may, in the opinion of the auditor, offer an opportunity for an organization to improve its current practice. An observation is not subject to any corrective actions unless the operator decides to improve. It is not required to report to CAAT on the implementation of actions further to an observation and CAAT will not monitor the implementation of these actions.

STEP 1

Corrective Action Plan is a step-by-step plan of action developed to eliminate the root causes to prevent the recurrence of the non-compliance. Therefore, the operator should address the following items:

- <u>Root Cause</u>: A factor that caused a non-compliance.
- <u>Correction</u>: Action to eliminate a detected non-compliance or non-conformity.
- <u>Corrective Action</u>: Action to eliminate the cause of a detected non-compliance and to prevent a recurrence.

STEP 2

Closing Action is to ensure that the defined Corrective Action Plan is implemented by attaching relevant evidence.