



PERSONNEL LICENSING DEPARTMENT

COMPLIANCE CHECK FORM FOR APPROVAL OF RECORD KEEPING MANUAL

Name of Organisation:

By signing below, I, as an authorised person of NAME OF THE ATO, hereby confirm that the information given on this form are entirely true, accurate, and complete.

Signature

(NAME Last-Name)

Date: DD MONTH YYYY

Official Use Only

Verification Result: Accept Reject

This compliance check form has been verified by:

signature

Name – Last-Name

Date performed: DD MONTH YYYY

Instructions

- 1) ATO is to conduct a self-assessment as part of its compliance check by providing manual references into the 'Compliance checked by ATO'.
- 2) Each check list item shall be assessed and given a result either '**Satisfactory-(S)**', '**Unsatisfactory- (U)**' or '**N/A**'
 - (a) '**Satisfactory**' shall be given if the ATO is able to provide valid contents and details that comply with the requirements.
 - (b) '**Unsatisfactory**' shall be given if the ATO is provide insufficient contents/details that comply with the requirement as well as impractical/non-realistic process or procedures that do not reflect an actual context and operations of the ATO.
 - (c) '**N/A**' shall be given to indicate when information in a certain table cell is not provided, either because it does not apply to a particular case in question or because the answer is not available



No	Item	Regulatory Requirement	Compliance checked by ATO		References <i>Eg. Section 1, Part 4, No. 5 Organisational Structure, p. xx</i>	CAAT Officials Use only		
			Yes	No		S	U	Remark(s)
			0	Title of manual Table of contents List of effective pages Distribution list		Manual Format		
1	Record Keeping Regulatory requirements	[ACAAT-ATO-B.E.2562-appendix 5]						
2	Details of process/procedures to retain sufficient records of current trainees, graduated trainees, and instructors	Minimum requirement is five years. [ACAAT-ATO-B.E.2562-appendix 5, 1.1]						
3	Details of process/procedures to maintain records and back-up system in case of unanticipated or disastrous events	[ACAAT-ATO-B.E.2562-appendix 5, 1.2]						
4	Details of process/procedures of assessable security system to assess to personal profiles and training records of instructional personnel and trainees?	[ACAAT-ATO-B.E.2562-appendix 5, 1.3]						
5	Details of responsibility of a person/function to check and maintain records	CAAT-ATO.B.E.2662, Appendix 5						
6	Process/procedures to keep records of trainees (1) Full name of each trainee (2) Copy of Personnel Licence and Medical Certificate	CAAT-ATO.B.E.2662, Appendix 2, Part1, Section 2, 2.2-2.4						



	<ul style="list-style-type: none"> (3) Copy of transcripts (4) Course name and aircraft type used in flight training (5) Pre-training qualifications (6) Duration of training (7) Date of completion of training, date of graduation, or date of transfer to another organization (8) Results attained in each phase of training and names of instructors (9) Training progress in each phase (10) Release date of knowledge test results for theoretical and practical (flight) training, including the names of personnel conducting the tests (11) Additional training hours in case of failing the test 	[ACAAT-ATO-B.E.2562-appendix 5, 2.1-2.11]					
7	<p>Process/procedures to keep and disseminate records of ATO's records.</p> <ul style="list-style-type: none"> (1) Management personnel profiles (2) Instructors (both part-time and full-time) profiles; (3) Staff members' profiles. (4) Training and examination records (5) Internal audit reports (6) External documents (7) Any documents related to ATO's maintenance programme. 	<p>CAAT-ATO.B.E.2662, Clause 13(7)</p> <p><i>Note: Profile include: CV, Educational/training certificates, training records, and employment contract.</i></p>					
8	Details of the following procedures:	CAAT-ATO.B.E.2662,					

	<ul style="list-style-type: none"> a) Procedures for pre-test qualifications; b) Procedures for Re-writing knowledge tests; c) Procedure for Test results and records of results; d) Procedure for Skill progress checks and skill tests; e) Procedures for knowledge progress test and knowledge test including types of examination, and passing requirements for knowledge tests; f) Test analysis, review, and administration (applicable to theoretical knowledge tests); g) Procedures to issue a graduated certificate and transcripts? 	<p><i>Appendix 2, Part 1, Section 3, 3.1 (5).</i> <i>ระเบียบสำนักงานการบินพลเรือนแห่งประเทศไทย ว่าด้วยการทดสอบความรู้ภาคทฤษฎีและภาคปฏิบัติ ด้านการเดินอากาศ พ.ศ. 2562</i></p>						
9	<p>Details of policies and procedures to the efficiency of training, as follows:</p> <ul style="list-style-type: none"> a) Systems and procedures for obtaining feedback from trainees; b) Efficiency or competency standards of each phase of training to ensure compliance with the standards; c) Responsibilities of instructors in relation to safety; d) Procedures for correcting defects that contribute to an unsatisfactory level of knowledge process; e) Instructor replacement procedure; f) Maximum number of times of instructor replacement; 	<p><i>CAAT-ATO.B.E.2662, Appendix 2, Part 1, Section 3, 3.1(6).</i></p>						



	<ul style="list-style-type: none"> g) Training suspension procedures; h) student disciplinary policy and have records of implementation (if any)? 						
10	<p>Details of Records Keeping Procedures as follows</p> <ul style="list-style-type: none"> a) Records of training attendance; b) Records of training of each trainee; c) Records of qualifications and training of staff members; d) Personnel who are responsible for examining and recording the background of each trainee; e) <i>Standards of records;</i> f) <i>List of personal training records (ATO's Staff members);</i> g) <i>Safety maintenance of the records and all relevant document?</i> 	<p>CAAT-ATO.B.E.2662, Appendix 2, Part 1, Section 4 Records</p>					
11	<p>Sample of the following documents in the Appendix section?</p> <ul style="list-style-type: none"> a) Sample progress tests; b) Sample logs, test results and records of results; c) Sample of a graduated training certificate? 	<p>CAAT-ATO.B.E.2662, Appendix 2, Section 7, Appendices</p>					
12	<p>Operational Policies and Procedures included in relation to aircraft training:</p> <ul style="list-style-type: none"> a) Approval of flight; b) Responsibilities of PIC; c) Procedures concerning flight plans; d) Carriage of passengers; 	<p>CAAT-ATO.B.E.2662, Appendix 2, Part 2, Section 1, 1.2 (1)-(8) CAAT-GM 2019, GENERAL</p>					



	<ul style="list-style-type: none"> e) Operational control system; f) Report of safety risks, accident and incidents; g) Determination of flight time limitation and duty period for flying staff and trainees; h) Minimum rest period for flying staff and trainees. 	<p><i>AVIATION REQUIREMENTS, Part 1</i></p>					
13	<p>Aircraft Operation information:</p> <ul style="list-style-type: none"> a) Copy of C of R, C of A, and operating limitations; b) Aircraft operations, consisting of: <ul style="list-style-type: none"> (1) Aircraft performance limitations; (2) Checklists; (3) Standard operating procedures; (4) Aircraft maintenance procedures; (5) Baggage loading recommendations; (6) Fuelling procedures; (7) Emergency procedures? 	<p><i>CAAT-ATO.B.E.2662, Appendix 2, Part 2, Section 2, 2.1 - 2.2.</i> <i>CAAT-GM 2019, GENERAL AVIATION REQUIREMENTS, Part 1</i></p>					
14	<p>Details regarding the Routes as follows</p> <ul style="list-style-type: none"> a) Flight performance criteria; b) Flight planning procedures, consisting of: <ul style="list-style-type: none"> (1) Fuelling calculation; (2) Safe attitude for flight operations; (3) Emergency planning; (4) Navigation equipment; 	<p><i>CAAT-ATO.B.E.2662, Appendix 2, Part 2, Section 3, 3.1, 3.2 (1)-(4), 3.3, 3.4, and 3.5</i> <i>CAAT-GM 2019, GENERAL AVIATION</i></p>					



	<ul style="list-style-type: none"> c) Weather minima, both in the daytime and night time, and flight operations in VFR and IFR conditions; d) Training routes and practice areas? 	<p><i>REQUIREMENTS, Part 1</i></p>						
15	<p>Details regarding the Flight Safety Training Policies as follows:</p> <ul style="list-style-type: none"> a) Weather limitation; b) Maximum daily, weekly and monthly hours of training for practical training, theoretical knowledge training and flight simulation training; c) Limitations on the training period of trainees; d) Maximum flight time for each trainee, both in the daytime and night time; e) Maximum number of flights for each trainee, both in the daytime and night time; f) Minimum rest period during training? 	<p><i>CAAT-ATO.B.E.2662, Appendix 2, Part 2, Section 4, 4.3(1)-(6). CAAT- Flight Time and Flight Duty Period Limitation B.E. 2559</i></p>						