

THE CIVIL AVIATION AUTHORITY OF THAILAND FOREIGN TRAINING ORGANISATION AND COURSES AUDIT CHECKLIST - FTO						
Name of Training Organisation:		<i>To be filled by an ATO</i>				
Address:		<i>To be filled by an ATO</i>				
Type of Organisation:	FTO	ATO Certificate No.:	<i>To be filled by an ATO</i>	Expiry Date:	<i>To be filled by an ATO</i>	
Course Approval:	<i>To be filled by ATO as described on certificate</i> 1) XXX 2) XXX 3) XXX					
Accountable Manager	<i>To be filled by an ATO</i>			Contact Information Email: Tel:	<i>To be filled by an ATO</i>	
Type of Audit	Initial Certification	Planned Surveillance	Date of Inspection / Audit	<i>To be filled by an ATO</i>		
	Renewal Certification	Unplanned Inspection				
FOR ORGANISATION			FOR CAAT OFFICIALS			
By signing below, I, as an authorised person of ( <i>Name of ATO</i> ) hereby confirm that the information given on the self-assessment as well as the document attached herewith the checklist are entirely true, accurate, and complete. If it appears that any submitted information or document found to be untrue, false or obscure, I admit that CAAT has an authorization to suspend or revoke the Approval Certification, or refuse to accept any learning outcomes from my ATO.  _____ ( <i>Name Surname</i> ) Date:			No	Position	Name – Last Name	Signature
			1.	Lead Auditor		
			2.	Auditor		
			3.	Auditor		
			4.	Auditor		

Reference: Notification of CAAT; on the Certification of Aviation Training Organization and Courses B.E. 2562

Section 3: Certificate of Foreign Training Organizations and Courses. Clause 24. “The applicant who intends to apply for certificate of a foreign training organization or certificate of a foreign training course that the foreign civil aviation authority has approved shall submit the application to the Director General in accordance with the form attached hereto; whereby the provisions in Section 1 and Section 2 shall apply mutatis mutandis.”

**Instructions**

- 1) Inspector(s) shall mark “X” in either S or U column:
  - a. ‘S’ refers to satisfactory level. It shall be given if the ATO is able to provide valid documents, reliable records of implementation and demonstrate a sound knowledge if interview of relevant personnel are performed. Also, all sub-items must be satisfied.
  - b. ‘U’ refers to unsatisfactory level. It shall be given if any actions found not to be compliance with CAAT rules and regulations or not to be conformed to any ATO’s documentations as well as any actions being done without evidence of records.
- 2) ‘N/A’ shall be given in the ‘Remark Column’ 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

**SECTION 0: GENERAL INFORMATION OF THE ATO**

No	Key Positions	Name-Last Name	Date of Appointment
1	Accountable executive		
2	Head of Training		
3	Instructional service manager		
4	Quality manager		
5	Maintenance manager		
6	Safety manager		
X	XXX		

No	Approved Manual	Issue	Revision	Date of Approval
1	TPM	01	00	DD MMM YYYY
2				
3				
4				
5				

Training Devices    Total Aircrafts = XX    Total Simulators = XX

No.	Training Device(s)	Type	Qualification	Registration No.	C of R no.	Aircraft Serial Number	C of A Certificate	C of A Expiry Date	Permission to used Private Aircraft Operating License	Permission to used Private Aircraft Operating License Valid until
1										
2										
3										
4										
5										

No.	Training Device(s)	Type	FSTD Qualification	Sim Certificate No.	Primary reference document	Serial Number	Expiry Date
1							
2							
3							
4							
5							

**SECTION 1: ORGANISATION & STAFFING IMPLEMENTATION**

Date of Audit:

NO.	Check List Item	Compliance References by ATO	Ref: Regulatory Requirements	CAAT USE ONLY		
				S	U	Remarks
1	Does the ATO have an appropriate organizational structure?		CAAT-ATO.B.E.2562, Clause 5(7)			
2	Has the ATO employed the following positions in conform with the employment policy stated in TPM? a) Accountable Executive; b) Head of Training; c) Instructional Services Manager; d) Quality Manager; e) Maintenance Manager; f) Safety Manager; and g) Chief of Theoretical/Practical (Simulator and Flight) Instructors; and h) Instructional Personnel, which consist of theoretical and practical instructors?	a) b) c) d) e) f) g) h)	CAAT-ATO.B.E.2562, Clause 5(7), (a)-(h)			
3	Has the ATO employed appropriate number of practical and theoretical instructors relevant to the courses provided?		CAAT-ATO.B.E.2562, Clause 21.			
4	Has the ATO provided a staff training programme for all staff members as stated in TPM?		CAAT-ATO.B.E.2562, Appendix 2, Part 1, Section 2			
5	Has the ATO provided training for instructional personnel including: a) Standardized/initial training programme (both practical and theoretical trainings) for the instructors prior to perform their tasks as an instructor; b) Continuation Training/Proficiency checks and Upgrade training (if any); and c) Maintenance of competency	a) b) c)	CAAT-ATO.B.E.2562, Appendix 2, Part 1, Section 2 <b>Note:</b> Training programme for Instructional Personnel should be included in TPM, the training should consist of theoretical and practical knowledge and skills.			
6	Does the ATO have policy/procedures to control quality of outsourcing/part-time instructors and have records of implementation?		CAAT-ATO.B.E.2562, Appendix 4, 4			
7	Does the ATO have a function to monitor compliance with the applicable regulatory requirement and any additional requirements by the ATO?		CAAT-ATO.B.E.2562, Clause 13(2)			

NO.	Check List Item	Compliance References by ATO	Ref: Regulatory Requirements	CAAT USE ONLY		
				S	U	Remarks
General Comments:						

SECTION 2: TRAINING AND PROCEDURES

Date of Audit:

NO.	Check List Item	Compliance References by ATO	Ref: Regulatory Requirements	CAAT USE ONLY		
				S	U	Remarks
1	Does the ATO have an approved, up-to-date amended TPM?		CAAT-ATO.B.E.2562, Clause 13(4)			
2	Has the ATO documented any changes/amendments of its TPM?		CAAT-ATO.B.E.2562, Appendix 2, Part1, Section 1, 1.3(2)			
3	Has the ATO made any changes correctly as recorded in the Documentation Amendment Record?		CAAT-ATO.B.E.2562, Appendix 2, Part1, Section 1, 1.3(2)			
4	Has the ATO distributed updated TPMs to all parties listed in the distribution list?		CAAT-ATO.B.E.2562, Clause13(6) CAAT-ATO.B.E.2562, Appendix 2, Part1, Section 1, 1.3(3)			
5	Have the ATO implemented the following procedures as stated in the TPM? a) Procedures for verify qualifications of trainee before test; 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? h) Procedure or guideline for record pilot log book	a) b) c) d) e) f) g) h)	CAAT-ATO.B.E.2562, Appendix 2, Part 1, Section 3, 3.1 (5)  Rules of CAAT on Theoretical and Practical Examination of Air Navigation B.E. 2562			

6	<p>Have the ATO implemented the policies and procedures regarding efficiency of training, which include details as follows:</p> <ul style="list-style-type: none"> <li>a) Procedures for coordinating with personnel who are responsible for training</li> <li>b) Requirements on reporting and reference documents</li> <li>c) Systems and procedures for obtaining feedback from trainees;</li> <li>d) Efficiency or competency standards of each phase of training to ensure compliance with the standards;</li> <li>e) Responsibilities of instructors and trainee with related to safety;</li> <li>f) Procedures for correcting defects that contribute to an unsatisfactory level of knowledge process;</li> <li>g) Instructor replacement procedure;</li> <li>h) Maximum number of times of instructor replacement;</li> <li>i) Training suspension procedures;</li> <li>j) Student disciplinary policy and have records of implementation (if any)?</li> </ul>	<ul style="list-style-type: none"> <li>a)</li> <li>b)</li> <li>c)</li> <li>d)</li> <li>e)</li> <li>f)</li> <li>g)</li> <li>h)</li> <li>i)</li> <li>j)</li> </ul>	<p>CAAT-ATO.B.E.2562, Appendix 2, Part 1, Section 3, 3.1(6)</p>			
7	<p>Have the ATO implemented the flight operations procedures as stated in the TPM? (for aircraft training ATO)</p> <ul style="list-style-type: none"> <li>a) Approval of flight;</li> <li>b) Responsibilities of PIC;</li> <li>c) Procedures concerning (ATS) flight plans;</li> <li>d) Carriage of passengers;</li> <li>e) Operational control system;</li> <li>f) Report of safety risks, accident and incidents; <u>Aircraft Operating Information</u></li> <li>g) Certificate of Registry, Certificate of Airworthiness and Operating Limitation</li> <li>h) Aircraft performance limitations;</li> <li>i) Checklists (for Pilot and Maintenance);</li> <li>j) Standard operating procedures;</li> <li>k) Aircraft maintenance procedures;</li> <li>l) Baggage loading recommendations;</li> <li>m) Fuelling procedures <u>Routes</u></li> <li>n) Performance Criteria</li> <li>o) Flight planning procedures, consisting of:           <ul style="list-style-type: none"> <li>(1) Fuel quantity calculation;</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>a)</li> <li>b)</li> <li>c)</li> <li>d)</li> <li>e)</li> <li>f)</li> <li>g)</li> <li>h)</li> <li>i)</li> <li>j)</li> <li>k)</li> <li>l)</li> <li>m)</li> <li>n)</li> <li>o-1)</li> </ul>	<p>CAAT-ATO.B.E.2562, Appendix 2, Part 2, Section 1, 1.2 (1)-(8)</p> <p>CAAT-ATO.B.E.2562, Appendix 2, Part 2, Section 3, 3.1, 3.2 (1)-(4), 3.3, 3.4, and 3.5</p> <p>CAAT-GM 2019, GENERAL AVIATION REQUIREMENTS, Part 1</p> <p>CAAT-ATO.B.E.2562, Appendix 2, Part 2, Section 4, 4.3(1) -(6)</p> <p>CAAT-Flight Time and Flight Duty Period Limitation B.E. 2559</p> <p>This item must be assessed by SME (Flight)</p>			

	(2) Safe attitude for flight/En-route operations; (3) Emergency planning (e.g. distress, unforeseen situation); (4) Navigation equipment; p) Training routes and practice areas q) Weather minima, both in the daytime and night time, and flight operations in VFR and IFR conditions for training with Instructor; r) Weather minima for trainee <u>Flight Training Plan</u> s) Weather limitation; t) Maximum daily, weekly and monthly hours of training for practical training, theoretical knowledge training and flight simulation training; u) Limitations on the training period of trainees; v) Maximum flight time for each trainee, both in the daytime and night time; w) Maximum number of flights for each trainee, both in the daytime and night time; x) Minimum rest period during training	o-2) o-3) o-4) p) q) r) s) t) u) v) w) x)	* Evidence of implementation must be available * Interview and Demonstration may be required to perform during the audit.			
8	Does the ATO has stated and implemented that DCPs are strictly adhere to the CAAT policy and guidelines and will not conducting a Test/Check on a trainee whom Examiner has trained 25% or more which is subject to the Test/Check		Pilot Examiner Manual (CAAT-PEL-PEM)			
<b>General Comments:</b>						



**SECTION 3: STANDARDS OF TRAINING**

Date of Audit:

NO.	Check List Item	Compliance References by ATO	Ref: Regulatory Requirements	CAAT USE ONLY		
				S	U	Remarks
1	Does the ATO have all offered Course Manuals?		CAAT-ATO.B.E.2562, Clause 18(1)-(2)			
2	Does the ATO have standards of UPRT training syllabus under courses as required course(s) by CAAT, and the training is in accordance with the UPRT- GM prescribed by CAAT? [*Courses required for UPRT: CPL, MPL, ATPL, TR]		CAAT-ATO.B.E.2562, Clause 19(2) ACAAT-UPRT 2019 CAAT-PEL-GM 01 (UPRT Guidance Material 2019)			
3	Is the ATO able to demonstrate a sound quality of theoretical training delivery? a) Adequate training materials provided for both instructors and trainees; b) Instructor' performance c) Appropriate and effective equipment used for delivering theoretical training	a) b) c)	CAAT-ATO.B.E.2562, Clause 13(3) – (4)			
4	Is the ATO able to demonstrate a sound quality of FSTD training delivery? a) Appropriate equipment used for the practical lesson; b) Suitable and safe training environment provided; c) Instructor' performance in relation to: (1) Determination of competency standards and minimum experience required, including activities that must be completed before proceeding to the next phase of training (2) an appropriate flight planning procedure; (3) appropriate pre flight briefings procedures with technical and non-technical threats and errors management; (4) appropriate post flight briefings procedures with technical and non-technical threats and errors management	a) b) c-1) c-2) c-3) c-4)	CAAT-ATO.B.E.2562, Clause 13(3) – (4)  CAAT-ATO.B.E.2562, Appendix 2, Part 1, Section 3, 3.2 (1)			



**SECTION 4: FACILITIES, TOOLS, EQUIPMENT & TRAINING DEVICES**

Date of Audit:

NO.	Check List Item	Compliance References by ATO	Ref: Regulatory Requirements	CAAT USE ONLY		
				S	U	Remarks
1	Does the ATO display the valid ATO Certificate and Training Specifications in a place that is clearly visible to the public, at the Main Base specified in the Certificate.		<i>CAAT-ATO.B.E.2562, Clause 13(5)</i>			
2	Does the ATO provide suitable facilities and area for: a) office/working areas for instructors and staff members? b) study room, examination room and reference facilities/library		<i>CAAT-ATO.B.E.2562, Appendix 6</i>			
3	Does the ATO have adequate storage and secured areas for storage of documents/records, personal information, and training information?		<i>CAAT-ATO.B.E.2562, Appendix 6</i>			
4	Does the ATO provide suitable classrooms with proper equipment for delivering effective theoretical training for current student's population size? (e.g. blackboard / flipchart / marker / overhead projector / Enough tables / chairs / Size of tables, quality of furniture, working space)		<i>CAAT-ATO.B.E.2562, Appendix 6</i>			
5	Are adequate and suitable training materials available for both instructors and students as stated in TPM? (e.g. Textbooks, PowerPoint Slides, handouts, self-study materials, and demonstration equipment)		<i>CAAT-ATO.B.E.2562, Appendix 6</i>			
6	Does the ATO provide suitable facilities and essential information for conduct and operate effective practical flight training with safety? (e.g. Aircraft Checklists / Briefing checklist / Flight log / Weather information / Aircraft status / NOTAM / Radio / Emergency Equipment/ Enroute Chart / Flight status monitoring / Map Wind chart / Approach chart/ Mass & Balance )		<i>CAAT-ATO.B.E.2562, Clause 20</i>			

7	<p>Does the ATO provide suitable practical training areas that are designed and equipped with all essential facilities consisting of:</p> <ul style="list-style-type: none"> <li>a) Operational areas, planning areas, and briefing rooms;</li> <li>b) Areas for simulation training (e.g.: dry run/on-ground practice);</li> <li>c) Parking areas that are appropriate for the training aircrafts;</li> <li>d) Workshops, aircraft hangars and facilities;</li> <li>e) Spare parts, parts, tools, and equipment storage areas</li> </ul>	<ul style="list-style-type: none"> <li>a)</li> <li>b)</li> <li>c)</li> <li>d)</li> <li>e)</li> </ul>	<p>CAAT-ATO.B.E.2562, Appendix 6</p>			
8	<p>Are at least the following facilities, tools and equipment available at the ATO;</p> <ul style="list-style-type: none"> <li>a) Adequate facilities, tools and equipment to control flying operations;</li> <li>b) Reference learning materials;</li> <li>c) Training equipment adequacy to the courses being conducted;</li> <li>d) Suitable demonstration equipment to support the theoretical knowledge instructions; and</li> <li>e) Relevant current CAAT rules and regulations?</li> </ul>	<ul style="list-style-type: none"> <li>a)</li> <li>b)</li> <li>c)</li> <li>d)</li> <li>e)</li> </ul>	<p>CAAT-ATO.B.E.2562, Appendix 6</p>			
9	<p>Are the following valid documents and equipment required for practical training devices available:</p> <p><u>Aircraft</u></p> <ul style="list-style-type: none"> <li>a) Lists of aircrafts used for training</li> <li>b) Associated documents [C of A/ C of R/ Radio Certificate/Private Aircraft Operating License]</li> <li>c) Items required on board the aircraft by law and regulations</li> <li>d) ELT installation documentations</li> <li>e) Records of release to service documents by AMEL, who have a valid license, appropriate class and rating;</li> </ul> <p><u>Simulator</u></p> <ul style="list-style-type: none"> <li>f) Simulator Qualification Approval Certificate</li> <li>g) Records of service documents</li> </ul>	<ul style="list-style-type: none"> <li>a)</li> <li>b)</li> <li>c)</li> <li>d)</li> <li>e)</li> </ul>	<p>CAAT-ATO.B.E.2562, Appendix 6</p> <p>Air Nav Act B.E.2562 section 16</p> <p>GENERAL-AVIATION-REQUIREMENT-GA-P1A.303</p>			

10	Has the ATO established procedures for keeping and maintaining the information of each type of training devices as follows: a) Appropriate class and rating; b) Simulator/Aircraft manual(s); c) Procedural manual/SOP for staff; d) Service Bulletin; e) Calibration/validity control; f) Conditions storage/shelf life; g) Maintenance programme; h) Safety requirement	a) b) c) d) e) f) g) h)	CAAT-ATO.B.E.2562, Clause 18(d) CAAT (ENG-01) AIRCRAFT MAINTENANCE SCHEDULES AND PROGRAMME CAAT-ATO.B.E.2562, Appendix 6, 3.1			
11	Have the ATO regularly implemented maintenance plan to ensure the operational efficiency of training devices?		CAAT-ATO.B.E.2562, Appendix 6,3.1			
12	Does the ATO have records of aircraft concerning: a) Aircraft logbook/technical logs b) Maintenance records c) Usage records of component/parts - refer to manufacturer approved parts and supplied by CAAT approved supplier	a) b) c)	CAAT-ATO.B.E.2562, Appendix 2, Part 2, Section 2			
13	Does the ATO use proper airport/airfield with: a) Proper runway(s) that allows training aircraft to make a normal take-off or landing within the performance limits of all to the aircraft used; b) Adequate runway electrical light when relevant; c) Wind direction indicator visible at ground level from ends of each runway or at appropriate holding points	a) b) c)	CAAT-ATO.B.E.2562, Clause 20			
<b>General Comments:</b>						

**SECTION 5: RECORD KEEPING**

Date of Audit:

NO.	Check List Item	Compliance References by ATO	Ref: Regulatory Requirements	CAAT USE ONLY		
				S	U	Remarks
1	Does the ATO have an approved Record Keeping Manual or detailed Record keeping contents?		<i>CAAT-ATO.B.E.2562, Clause 6(8)</i>			
2	Does the ATO have procedures for security of records, security system and accessibility?		<i>CAAT-ATO.B.E.2562, Appendix 5</i>			
3	Has the ATO appointed responsible person(s) for checking and maintaining records?		<i>CAAT-ATO.B.E.2562, Appendix 5</i>			
4	Are the following records recorded properly as stated in the ATO's record keeping policies/procedures? a) Full name of trainee; b) Copy of Personnel License and Medical certificate; c) Copy of transcripts; d) Course name and aircraft type used in flight training; e) Pre-training qualifications; f) Duration of training; g) Date of completion of training; h) Date of graduation or date of transfer to another ATO; i) Results attained in each phase of training and names of instructors; j) Training progress results in each phase; k) Release date of knowledge test results for theoretical and practical trainings including the names of personnel conducting the tests; l) Additional training hours in case of failing the tests m) Pilot log book	<i>a) b) c) d) e) f) g) h) i) j) k) l) m)</i>	<i>CAAT-ATO.B.E.2562, Appendix 5, 2.11</i>  <i>Note: The pilot log book cannot be used in lieu of the records of trainees.</i>			

5	Have the ATO implemented its retention and dissemination policy?		CAAT-ATO.B.E.2562, Clause 13 (2), (4), and (7)			
6	Does the ATO keep valid and current documents of staff members per requirements by the ATO and CAAT; a) License; b) Ratings; c) Medical certificates; d) Training records.	a) b) c) d)	CAAT-ATO.B.E.2562, Clause 13(2), (7)			
7	Are records of flight time and flight duty period limitation of instructors and trainees available and in conform with the ATO's policy stated in the TPM?		CAAT-ATO.B.E.2562, Clause 13(2)			
<b>General Comments:</b>						

**SECTION 6: QUALITY MANAGEMENT SYSTEM**

Date of Audit:

NO.	Check List Item	Compliance References by ATO	Ref: Regulatory Requirements	CAAT USE ONLY		
				S	U	Remarks
1	Does the ATO have an approved Quality Management Manual by CAAT?		CAAT-ATO.B.E.2562, Clause 6(7)			
2	Is Training Policies of the ATO included in QA manual and communicated within the ATO?		CAAT-ATO.B.E.2562, Appendix 4			
3	Is the Quality Manager able to demonstrate a sound knowledge and understanding of the ATO's quality management system?		CAAT-ATO.B.E.2562, Clause 5 (7), Clause 13 (1), (2), and (4)			
4	Has the ATO provided training to all staff members, in relation to its ATO's quality management system?		CAAT-ATO.B.E.2562, Clause 13 (2), and (4)			
5	Has the ATO provided relevant and appropriate trainings to personnel who perform the role of quality auditor(s)?		CAAT-ATO.B.E.2562, Clause 13 (2), and (4)			
6	Has the ATO established a document control system and effectively implemented it for at least the following documentations a) SMS; b) QMS; c) Record Keeping; and d) Approved Training Course Manuals?	a) b) c) d)	CAAT-ATO.B.E.2562, Clause 13 (2), and (4)			
7	Does the ATO have quality internal audit procedures, corrective/preventive action procedures, monitoring process of corrective actions, and internal audit periodic plan?		CAAT-ATO.B.E.2562, Clause 13 (2), and (4)			
8	Has the ATO properly implemented its quality assurance system and is able to provide the following evidence: a) Conformity of training policy; b) Effective assessment and testing methods; c) Effectiveness of document control system; d) Effectiveness of its Record Keeping Implementation including (1) personnel qualifications and training and (2) training devices and equipment qualifications; and e) Monitoring system to comply with CAAT rules and regulations?	a) b) c) d) e)	CAAT-ATO.B.E.2562, Clause 5 (6)			



NO.	Check List Item	Compliance References by ATO	Ref: Regulatory Requirements	CAAT USE ONLY		
				S	U	Remarks
9	Has the ATO implemented Quality Management System properly?		<i>CAAT-ATO.B.E.2562, Clause 5 (6)</i>			
<b>General Comments:</b>						

**SECTION 7: SAFETY MANAGEMENT SYSTEM**

Date of Audit:

NO.	Check List Item	Compliance References by ATO	Ref: Regulatory Requirements	CAAT USE ONLY		
				S	U	Remark(s)
SMS Component 1 Safety Policy and Objectives						
1	The ATO issued a Safety Policy and endorsed by the AE.		CAAT-GUIDANCE MATERIAL FOR Safety Management System (SMS) Rev.01 ANNEX 19 Appendix 2 DOC9859, Section 9.3			
2	The safety policy is relevant to the scope and complexity of the organization's operations.		ANNEX 19 Section 4.1, Appendix 2 DOC9859, Section 9.3 <i>Note: The safety policy should be periodic reviewed by senior management or the safety committee (ANNEX 19 Appendix 2)</i>			
3	There is evidence that the safety policy is communicated to all employees with the intent that they are made aware of their individual safety obligations.		CAAT-GUIDANCE MATERIAL FOR Safety Management System (SMS) Rev.01 ANNEX 19 Appendix 2 DOC9859, Section 9.3			
4	There is a safety committee (or equivalent mechanism) that reviews the SMS and its safety performance.		CAAT-GUIDANCE MATERIAL FOR Safety Management System (SMS) Rev.01 ANNEX 19 Appendix 2 DOC9859, Section 9.3			
5	The safety committee is chaired by the Accountable Executive or (for very large organizations) by an appropriately assigned deputy, duly substantiated in the SMS manual.		CAAT-GUIDANCE MATERIAL FOR Safety Management System (SMS) Rev.01 DOC9859, Section 9.3			
6	The safety committee includes relevant operational or departmental heads as applicable.		CAAT-GUIDANCE MATERIAL FOR Safety Management System (SMS) Rev.01 DOC9859, Section 9.3			

NO.	Check List Item	Compliance References by ATO	Ref: Regulatory Requirements	CAAT USE ONLY		
				S	U	Remark(s)
7	There is a safety action groups that work in conjunction with the safety committee (large/complex organizations as appropriate).		CAAT-GUIDANCE MATERIAL FOR Safety Management System (SMS) Rev.01 DOC9859, Section 9.3			
8	The ATO appointed: a qualified person who is responsible for the implementation and maintenance of the SMS (Safety Manager).		CAAT-ATO.B.E.2562, Appendix 3 ANNEX 19 Appendix 2 DOC9859, Section 9.3			
9	The Safety Manager does not hold other responsibilities that may conflict or impair his/her role as Safety Manager.		CAAT-GUIDANCE MATERIAL FOR Safety Management System (SMS) Rev.01 ANNEX 19 Appendix 2			
10	The Safety Manager has direct access or reporting to the Accountable Executive concerning the implementation and operation of the SMS.		CAAT-GUIDANCE MATERIAL FOR Safety Management System (SMS) Rev.01 DOC9859, Section 9.3			
11	The ATO have an Emergency Response Plan (ERP) that addresses possible or likely emergency/crisis scenarios relating to the organization's aviation service deliveries.		CAAT-GUIDANCE MATERIAL FOR Safety Management System (SMS) Rev.01 ANNEX 19 Appendix 2 DOC9859, Section 9.3			
12	The ATO implemented its ERP as planned and recorded drills or exercise with respect to the ERP.		CAAT-GUIDANCE MATERIAL FOR Safety Management System (SMS) Rev.01 DOC9859, Section 9.3			
13	The ERP addresses relevant integration with external customer or subcontractor organizations where applicable.		CAAT-GUIDANCE MATERIAL FOR Safety Management System (SMS) Rev.01 DOC9859, Section 9.3			
14	There is a SMS manual accepted by the CAAT.		CAAT-ATO.B.E.2562, Clause 5(6) ANNEX 19 Appendix 2			
15	Records of safety committee/SAG meeting (or equivalent) minutes are maintained.		CAAT-GUIDANCE MATERIAL FOR Safety Management System (SMS) Rev.01 DOC9859, Section 9.3			

NO.	Check List Item	Compliance References by ATO	Ref: Regulatory Requirements	CAAT USE ONLY		
				S	U	Remark(s)
16	Records pertaining to identified or reported hazards/threats are maintained.		CAAT-GUIDANCE MATERIAL FOR Safety Management System (SMS) Rev.01 DOC9859, Section 9.3			
17	Records are maintained pertaining to safety risk assessments performed.		CAAT-GUIDANCE MATERIAL FOR Safety Management System (SMS) Rev.01 DOC9859, Section 9.3			
18	There is evidence of procedures for periodic review of the SMS document and supporting documentation to ensure their continuing relevance.		CAAT-ATO.B.E.2562, Clause 13(6)			
SMS Component 2 Safety Risk Management						
19	There is a mandatory and voluntary occurrence reporting system to systematically collect and gather safety data and safety information retrieved from report and occurrence analysis, including all other related safety data and information.		CAAT REQUIREMENT NO.22/2562 ON "REPORTING OF CIVIL AVIATION OCCURRENCE" clause 15			
20	The reporting system is confidential and has provisions to protect the reporter's identity.		CAAT REQUIREMENT NO.22/2562 ON "REPORTING OF CIVIL AVIATION OCCURRENCE" clause 16			
21	The ATO implemented the procedure to submit initial report for mandatory occurrence which is the occurrence relating to own operation or is an acknowledged occurrence from own operation and submit to the CAAT. <ul style="list-style-type: none"> <li>- within 72 hours from the time acknowledged for an occurrence.</li> <li>- within 24 hours from the time acknowledged for accident or serious incident.</li> </ul>		CAAT REQUIREMENT NO.22/2562 ON "REPORTING OF CIVIL AVIATION OCCURRENCE" clause 5			

NO.	Check List Item	Compliance References by ATO	Ref: Regulatory Requirements	CAAT USE ONLY		
				S	U	Remark(s)
22	The ATO implemented the procedures to investigate facts and perform occurrence analysis to identify hazard and assess safety risk from the occurrence.		CAAT REQUIREMENT NO.22/2562 ON "REPORTING OF CIVIL AVIATION OCCURRENCE" clause 6(1)			
23	The ATO established risk control measures, which is a preventive action or corrective action, to reduce risk as deemed appropriate by evaluating the results from occurrence analysis.		CAAT REQUIREMENT NO.22/2562 ON "REPORTING OF CIVIL AVIATION OCCURRENCE" clause 6(2)			
24	The ATO coordinated with other Civil Aviation Organizations or Operators related with the occurrence for necessary data or cooperate to perform occurrence analysis together where applicable.		CAAT REQUIREMENT NO.22/2562 ON "REPORTING OF CIVIL AVIATION OCCURRENCE" clause 7			
25	The ATO implemented the procedure to prepare a final report and submit it to the CAAT within 60 days from the date which the CAAT receives such initial report of mandatory occurrence that has gone through procedures of investigate facts and occurrence analysis and it appears that there is a significant risk affecting safety in its own operation or there is a significant aviation safety risk from its own operation.		CAAT REQUIREMENT NO.22/2562 ON "REPORTING OF CIVIL AVIATION OCCURRENCE" clause 8			
26	The ATO perform operation in accordance with risk management standards appearing in the mandatory occurrence report.		CAAT REQUIREMENT NO.22/2562 ON "REPORTING OF CIVIL AVIATION OCCURRENCE" clause 13			

27	<p>Notification and reporting of occurrence are implemented through the channel as per forms and particulars specified by the CAAT.</p> <ul style="list-style-type: none"> <li>a) Reporting of occurrences and related data shall be submitted to the CAAT via e-mail (safetyreport@caat.or.th) or through the CAAT's website.</li> <li>b) English is used as a primary language when submitting report to the CAAT. However, the supporting documents for occurrences reporting can be kept in source language without translation except that there is a request for translation from the CAAT.</li> <li>c) PDF Form "Approved Training Organization".</li> </ul>		<p><i>CAAT REQUIREMENT NO.22/2562 ON "REPORTING OF CIVIL AVIATION OCCURRENCE" clause 17, appendix b</i></p>			
28	<p>There is a procedure to review hazards from reporting system, audits and surveys as well as relevant industry service for risk mitigation where applicable.</p>		<p><i>CAAT-GUIDANCE MATERIAL FOR Safety Management System (SMS) Rev.01 DOC9859, Section 9.3</i></p> <p><i>Note: Completed risk assessment and mitigation should be approved by an appropriate level of management.</i></p>			
SMS Component 3 Safety Assurance						
29	<p>The ATO identified SPIs for measuring and monitoring the organization's safety performance.</p>		<p><i>CAAT-GUIDANCE MATERIAL FOR Safety Management System (SMS) Rev.01 ANNEX 19 Appendix 2 DOC9859, Section 9.3</i></p> <p><i>Note: Alert and/or target level should be set with the SPI where appropriate and procedure for corrective or follow-up action to be taken when targets are not achieved and/or alert levels are breached should be established.</i></p>			
30	<p>SPI relevant to the organization's safety policy as well as safety objectives/goals.</p>		<p><i>CAAT-GUIDANCE MATERIAL FOR Safety Management System (SMS) Rev.01 ANNEX 19 Appendix 2</i></p>			

			<i>DOC9859, Section 9.3</i>			
31	SPI are reviewed by the safety committee for trending, alert levels that have been exceeded and target achievement where applicable.		<i>CAAT-GUIDANCE MATERIAL FOR Safety Management System (SMS) Rev.01 DOC9859, Section 9.3</i>			
32	There is a procedure for review of following relevant existing aviation (including HIRM records) whenever there are pertinent changes; a) facilities and equipment related to safety. b) operations and processes related to safety.		<i>CAAT-GUIDANCE MATERIAL FOR Safety Management System (SMS) Rev.01</i>			
33	There is a procedure for review of following new aviation safety-related for hazards/risks (including HIRM records) before they are commissioned; a) facilities and equipment related to safety. b) operations and processes related to safety.		<i>CAAT-GUIDANCE MATERIAL FOR Safety Management System (SMS) Rev.01 ANNEX 19 Appendix 2 DOC9859, Section 9.3</i>			
34	There is evidence that an internal SMS audit/assessment has been planned and carried out. a) The SMS audit plan covers the SMS roles/inputs of contractors where applicable. b) There is a follow-up procedure to address audit corrective actions.		<i>CAAT-GUIDANCE MATERIAL FOR Safety Management System (SMS) Rev.01 ANNEX 19 Appendix 2 DOC9859, Section 9.3</i>			

SMS Component 4 Safety promotion					
35	<p>There is evidence that all personnel involved in SMS operations have undergone appropriate SMS training or familiarization. Initial safety training should consider, as a minimum, the following:</p> <ul style="list-style-type: none"> <li>a) organizational safety policies and safety objectives;</li> <li>b) organizational roles and responsibilities related to safety;</li> <li>c) basic safety risk management principles;</li> <li>d) safety reporting systems;</li> <li>e) the organization's SMS processes and procedures; and</li> <li>f) human factors.</li> </ul> <p>The scope of the safety training programme shall be appropriate to each individual's involvement in the SMS.            Remark: The training programme should include initial and recurrent training requirements to maintain competencies.</p>		<p><i>CAAT-GUIDANCE MATERIAL FOR Safety Management System (SMS) Rev.01 ANNEX 19 Appendix 2 DOC9859, Section 9.3</i></p>		
36	<p>There is evidence of a safety (SMS) publication, circular or channel for communicating safety and SMS matters to employees and external users/contractors .</p>		<p><i>CAAT-GUIDANCE MATERIAL FOR Safety Management System (SMS) Rev.01 ANNEX 19 Appendix 2 DOC9859, Section 9.3</i></p>		
General Comments :					



INITIAL SURVEILLANCE REPORT

Category	Description
Level 1	<p>A level 1 finding shall be issued by the competent authority when any significant noncompliance 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. Timescale for corrective action is recommended as immediate to 3 days.</p> <p><u>The level 1 findings shall include:</u></p> <ul style="list-style-type: none"> <li>- failure to give the competent authority access to the facilities of the organization or failure to furnish document or evident in accordance with Air Navigation Act section 15/25;</li> <li>- obtaining or maintaining the validity of the organization certificate or specialized operation authorization by falsification of submitted documentary evidence ;</li> <li>- evidence of malpractice or fraudulent use of the organization certificate or specialized operation authorization ;</li> <li>- the lack of an accountable manager.</li> </ul>
Level 2	<p>A level 2 finding shall be issued by the competent authority when any 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 hazard flight safety which is not classified as level one, timescale for corrective action is recommended as up to 3 months (depending on nature of finding);</p>
Observation	<p>An observation is opportunity for improvement which is minor gap, mostly documented and implemented. 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 status. An observation is not subject to any corrective actions unless its accepted by auditee for improvement.</p>

**Deficiencies**

Overall, there are.....items found unsatisfactory, indicated in the table below.

No.	Section	Findings	Observation
1	Organization and Staffing Implementation		
2	Training and Operations Procedures		
3	Standards of Training		
4	Facilities, Tools, Equipment and Training Devices		
5	Record Keeping		
6	Quality Management System		
7	Safety Management System		
<b>Total</b>			

The **official findings** will be issued in the form of Non-Compliance Forms (NCF) along with an official audit report, the organization is required to complete the NCFs and return them with supporting documents within the given time stated on the NCFs. The follow-up actions are also written in the official audit report.

QA Manager:  
Date:

Lead Auditor:  
Date: