

## CHECKLIST FOR PHASE IV (INSPECTION PHASE) ACCEPTANCE

For Approval of Approved Training Organization in accordance with TCAR PEL Part ORA

### Instructions

Please check the boxes for the items below, complete the required information in the blank fields, and ensure this checklist is signed by the PEL Manager, Head of TO, and Principal Inspector. In the Remarks box, specify any restrictions, constraints, limitations, or rationale, as applicable. For the filling methodology, refer to the CAAT-PEL-RDMSP Manual.

In case of termination or incompleteness of Section 3, managerial personnel may provide a recommendation for further action in Section 4 of this checklist.

1. GENERAL			
Name of ATO			
ATO's Point of Contact Name		Email	
EMPIC Surveillance Activities No.	XXXXX-XXXXX	Remarks	
Inspection Date	DD//MM/YYYY		
Audit Report No.	XXXXX-XXXXX		
No	Position	Name – Last Name	Signature
1.	PEL Manager		
2.	Head of TO		
3.	Principal Inspector (PI)		
Phase Completion Date			DD//MM/YYYY
*The phase completion date is the date when the inspector has completed all items in accordance with Section 5, 5.1.5, 1 of the PEL Procedural Manual: Issuance of Approved Training Organization (ATO) Certificate.			

2. PROCEDURES VERIFICATION			
<i>Refer to PEL Procedural Manual Section 5, 5.1.5, 1. ISSUANCE OF APPROVED TRAINING ORGANIZATION (ATO) CERTIFICATE</i>			
No.	Verification of Action Taken	Completed	Remark(s)
1	Send the self-evaluation checklist to applicant	<input type="checkbox"/>	
2	Issue invoice for inspection fee (via FAD)	<input type="checkbox"/>	
3	Send formal letter and audit notification	<input type="checkbox"/>	
4	(If applicable) Perform on-site inspection	<input type="checkbox"/>	
5	Issue Audit Report	<input type="checkbox"/>	
6	(If any) Issue findings via EMPIC System	<input type="checkbox"/>	
7	(If manual amendment is required) Grant Manual Revision Approval / Approval Letter	<input type="checkbox"/>	
8	(If applicable) Send finding's closing action acceptance letter	<input type="checkbox"/>	
9	Store documents in official system (DRMS)	<input type="checkbox"/>	
10	Along with this Checklist, Draft and attach phase completion letter for Manager Approval	<input type="checkbox"/>	
11	(If Applicable) Terminate applicant after 2 times finding rejection (Inform by email or letter)	<input type="checkbox"/>	

3. DOCUMENTS VERIFICATION					
<i>Refer to Record-Keeping and Document Management System Procedure, 2.4.1 and PEL Procedural Manual Section 5, 5.1.5, 1.</i>					
No.	Documents Verified	S	U	N/A	Remark(s)
1	Audit Permission Letter	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2	Audit Notification and Audit Schedule	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3	Receipt of Audit Fee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4	Audit Checklist	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5	Audit Report	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6	Evidence of Closing All Noncompliance Findings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

4. IN CASE OF TERMINATION OR INCOMPLETION OF SECTION 3 (IF APPLICABLE)	
Further Action Required	
Head of TO's Comment	
PEL Manager's Comment	