

3. STANDARDS DEVELOPMENT

3.1 ICAO SARPs Management Procedure

3.1.1 Objective

To establish standards and procedure for management of ICAO state letter and relating matters.

3.1.2 Reference

CAAT-LEG-SAM Manual for ICAO SARPs Management and Development of Legal Framework for Regulatory Oversight

3.1.3 Definition and Acronyms

<i>Term</i>	Definition
<i>Focal Point</i>	The Department nominated by the Director General to be responsible for receipt and distribution of State Letters via the ICAO electronic distribution system including sending Thailand's response to ICAO.
<i>ICAO</i>	International Civil Aviation Organization
<i>PEL</i>	Personnel Licensing Department
<i>SARPs</i>	Standards and Recommended Practices to the ICAO Annexes
<i>SP</i>	Standards Development Division

3.1.4 Responsibility

<i>Manager of PEL:</i>	Responsible in scope of overseeing PEL functions, verifying and approving the document concerning ICAO SARPs Management Procedure
<i>Head of SP:</i>	Responsible in scope of delegating tasks, supervising delegated task, and verifying the work before proposing to PEL Manager
<i>SP Officer:</i>	Responsible in scope of studying and completing the process relating to ICAO SARPs Management Procedure as prescribed in CAAT-LEG-SAM Manual for ICAO SARPs Management and Development of Legal Framework for Regulatory Oversight
<i>Concerned Division (in PEL):</i>	Support PEL in relevant scope

3.1.5 Procedure

Procedures relating to ICAO SARPs Management are prescribed in following document:

Management of ICAO State Letter	Refer to CAAT-LEG-SAM Manual for ICAO SARPs Management and Development of Legal Framework for Regulatory Oversight
Notification and Publication of Differences	

3.1.6 Record Management

Refer to CAAT-PEL-RDMSP: Record-Keeping and Document Management System Procedure

3.1.7 Appendix

N/A

3.2 Development and Amendment of Regulations Procedure

3.2.1 Objective

To establish standards and procedure for developing regulations effectively

3.2.2 Reference

CAAT-LEG-CARD คู่มือปฏิบัติงานการพัฒนากฎระเบียบด้านการบินพลเรือน

3.2.3 Definition and Acronyms

<i>Term</i>	Definition
<i>DG</i>	Director General of the Civil Aviation Authority of Thailand
<i>ICAO</i>	International Civil Aviation Organization
<i>LEG</i>	Legal Department
<i>PEL</i>	Personnel Licensing Department
<i>SARPs</i>	Standards and Recommended Practices to the ICAO Annexes
<i>SP</i>	Standards Development Division

3.2.4 Responsibility

<i>Manager of PEL:</i>	Responsible in scope of overseeing PEL functions, verifying and approving a draft of regulation
<i>Head of SP:</i>	Responsible in scope of delegating tasks, supervising delegated task, and verifying a draft of regulation before proposing to PEL Manager
<i>SP Officer:</i>	Responsible in scope of drafting regulation before proposing to PEL Manager and inform relevant personnel once the regulation is official
<i>Concerned Division (in PEL):</i>	Support PEL in relevant scopes

3.2.5 Procedure

No.	Detail	Time	Responsible person	Remark
1.	Identify and verifies source/rationale in developing/amending regulation	1 day	Head of SP	PEL CE-2 Plan as approved by DG
2.	Studies related standards, analyze impact and prepare rational criterion in drafting regulation	37 days	Head of SP	Checklist PEL-SP-CK-001 is used in this stage
3.	Drafts or amends regulations	30 days	SP Officer	Duration may be prolonged due to the nature of task
4.	Prepare and arranges meeting with stakeholders and other related departments	3 days	SP Officer	
5.	Submits the draft	1 day	SP Officer	
6.	Verifies the draft then Authorizes the letter	1 day	Head of SP	
7.	Verifies and approves the letter	1 day	Manager of PEL	
8.	Reviews the draft and Propose to DG for approval of principle of the draft		LEG	
9.	Arranges meeting with stakeholders and other related departments	15 days	Manager of PEL	
10.	Summarizes the meetings and amend the draft when deemed appropriate	7 days	SP Officer	
11.	Authorizes the letter of the final draft	1 day	Head of SP	
12.	Approves the letter of the final draft to LEG	1 day	Manager of PEL	

Remark: Once a regulation is official, SP officer will inform PEL officials and relevant personnel and etc. in appropriate manner and record the response of their acknowledgement.

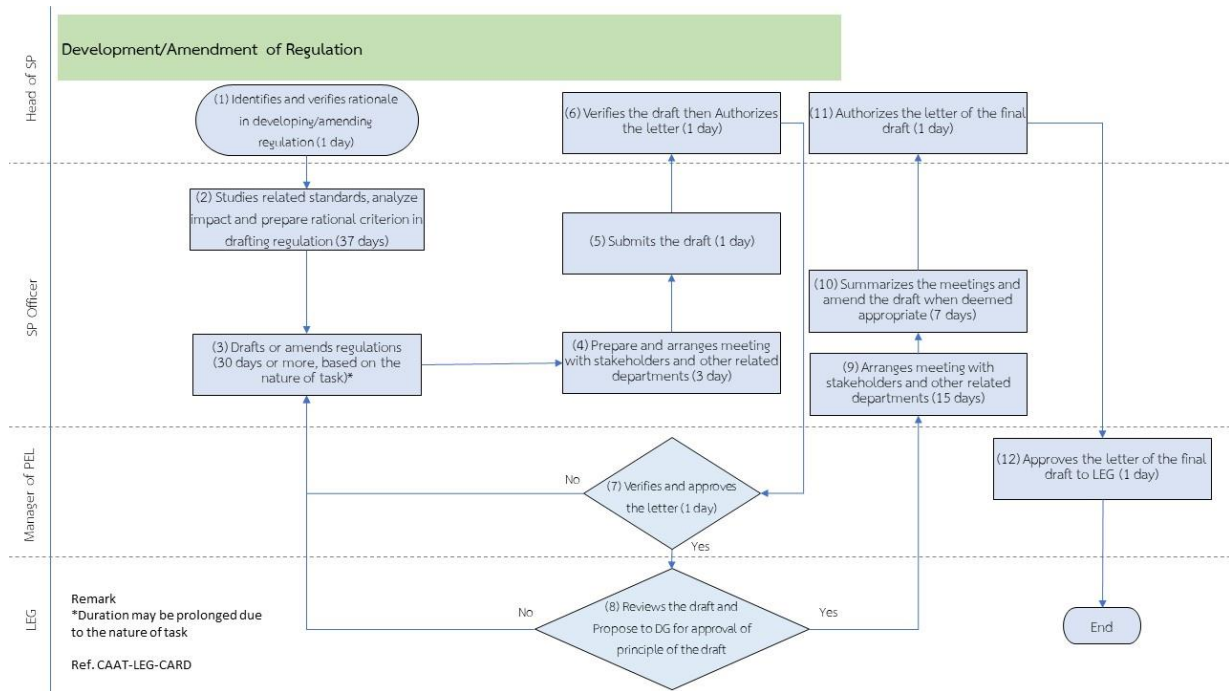
3.2.6 Record Management

Refer to CAAT-PEL-RDMSP: Record-Keeping and Document Management System Procedure

3.2.7 Appendix

Appendix A: Workflow for Regulation Development and Amendment

APPENDIX A: WORKFLOW FOR DEVELOPMENT/AMENDMENT OF REGULATION



3.3 Development and Amendment of Controlled Documents Procedure

3.3.1 Objective

To establish standards and procedure for developing PEL technical documents

3.3.2 Reference

CAAT-QAD-DMSP Document Management System Procedure

3.3.3 Definition and Acronyms

<i>Term</i>	Definition
<i>CAAT</i>	The Civil Aviation Authority
<i>DRMS</i>	Document and Records Management System
<i>GM:</i>	Guidance Material
<i>PEL</i>	Personnel Licensing Department
<i>SARPs</i>	Standards and Recommended Practices to the ICAO Annexes
<i>SP</i>	Standards Division
<i>Controlled Document</i>	Manual, Procedure, Guidance Material, Form, Checklist relating to regulatory function which required by CAAT or a standard organization to be controlled and maintained the integrity of the document's content through revisions.

3.3.4 Responsibility

<i>Manager of PEL:</i>	Responsible in scope of overseeing PEL functions, verifying and approving a draft of technical document
<i>Head of SP:</i>	Responsible in scope of delegating tasks, supervising delegated task, and verifying a draft of technical document before proposing to PEL Manager
<i>SP Officer/Document Controller:</i>	Responsible in scope of maintaining the document master list, posting new and revised documents or records on the DRMS, inform CAAT personnel relevant to the document once the document is official and other scopes as specified in CAAT-QAD-DMSP Document Management System Procedure
<i>Custodian:</i>	Responsible in scope of creating, modification, reviewing and submitting the document.
<i>Concerned Division (in PEL):</i>	Support PEL in relevant scopes and inform all concerned personnel which responsible for those functions to know (For document that is specifically used in particular concerned group, for instance, Examiner)

3.3.5 Procedure

- a) Controlled documents (Manual/Procedures/GM/Form/Checklist etc.) relating to the regulatory functions will be developed and amended by Custodian with support from concerned divisions:

1. DEVELOPMENT/AMENDMENT OF CONTROLLED DOCUMENT (DIRECTOR GENERAL APPROVAL)

No.	Detail	Time	Responsible person	Remark
1.	Review standard practices and draft the document	5-30 days*	Custodian	* Duration may vary depending upon the complexity
2.	Review and format the draft to ensure the document management system compliance	1-2 Days*	SP Officer	* Duration may vary depending upon the complexity
3.	Propose the draft	1 day	SP Officer	
4.	Review and verify the draft	1-2 days*	Head of SP	* Duration may vary depending upon the complexity
5.	Submit the draft in DRMS	1 day	SP Officer	
6.	Manager of PEL review and verify the draft in DRMS	1-2 days*	Manager of PEL	* Duration may vary depending upon the complexity
7.	QAD review and verify document on DRMS		QAD	
8.	Print out the Final draft (verified by QAD) and Proposal form (generated by DRMS) and propose to DG for an approval	1 day	SP Officer	
9.	Review and approve the draft	3 days	Director General of CAAT	
10.	Upload the approved document on DRMS and update Master List	1 day	SP Officer	
11.	Inform relevant personnel, departments and etc. in appropriate manner for their acknowledgement	1 day	SP Officer	- CAAT personnel relevant to the document will be notified of the approved document

No.	Detail	Time	Responsible person	Remark
				<p>in Email or other appropriate manners and those CAAT personnel shall response for their acknowledgement</p> <ul style="list-style-type: none"> - For any controlled document that is specifically used in particular concerned group (for instance, Examiner), the custodian or officer in the relevant division responsible for that function shall inform all concerned personnel which responsible for those functions to know

2. DEVELOPMENT/AMENDMENT OF CONTROLLED DOCUMENT (DEPARTMENTAL MANUAL/PROCEDURE/FORM/CHECKLIST) (MANAGER APPROVAL)

No.	Detail	Time	Responsible person	Remark
1.	Review standard practices and draft the document	5-30 days*	Custodian	* Duration may vary depending upon the complexity
2.	Review and format the draft to ensure the document management system compliance	1-2 Days*	SP Officer	* Duration may vary depending upon the complexity
3.	Propose the draft	1 day	SP Officer	
4.	Review and verify the draft	1-2 days*	Head of SP	* Duration may vary depending upon the complexity
5.	Review and verify the draft	1-2 days*	Manager of PEL	* Duration may vary depending upon the complexity
6.	Submit the approved document on DRMS to QAD for verification	1 day	SP Officer	
7.	QAD verification on approved document on DRMS		QAD	
8.	Upload the approved document on DRMS and update Master List	1 day	SP Officer	
9.	Inform relevant personnel, departments and etc. in appropriate manner for their acknowledgement	1 day	SP Officer	<ul style="list-style-type: none"> - CAAT personnel relevant to the document will be notified of the approved document in Email or other appropriate manners and those CAAT personnel shall response for their acknowledgement - For any controlled document that is specifically used in

No.	Detail	Time	Responsible person	Remark
				<p>particular concerned group (for instance, Examiner), the custodian or officer in the relevant division responsible for that function shall inform all concerned personnel which responsible for those functions to know</p>

3. DEVELOPMENT/AMENDMENT OF CONTROLLED DOCUMENT (APPENDIX TO REGULATION)

No.	Detail	Time	Responsible person	Remark
1.	Review standard practices and draft the document	5-30 days*	Custodian	* Duration may vary depending upon the complexity
2.	Review and format the draft to ensure the document management system compliance	1-2 Days*	SP Officer	* Duration may vary depending upon the complexity
3.	Propose the draft	1 day	SP Officer	
4.	Review and verify the draft	1-2 days*	Head of SP	* Duration may vary depending upon the complexity
5.	Submit the draft in DRMS	1 day	SP Officer	
6.	Manager of PEL review and verify the draft in DRMS	1-2 days*	Manager of PEL	* Duration may vary depending upon the complexity
7.	QAD review and verify document on DRMS		QAD	
8.	Print out the Final draft (verified by QAD) and Proposal form (generated by DRMS) and propose to LEG	1 day	SP Officer	
9.	LEG review and propose to DG for approval		LEG	
10.	Review and approve the draft	3 days	Director General of CAAT	
11.	Upload the approved document on DRMS and update Master List	1 day	SP Officer	
12.	Inform relevant personnel, departments and etc. in appropriate manner for their acknowledgement	1 day	SP Officer	- CAAT personnel relevant to the document will be notified of the approved document in Email or other appropriate manners and those

No.	Detail	Time	Responsible person	Remark
				CAAT personnel shall response for their acknowledgement - For any controlled document that is specifically used in particular concerned group (for instance, Examiner), the custodian or officer in the relevant division responsible for that function shall inform all concerned personnel which responsible for those functions to know

- b) Manuals and Procedures relating to the operators and service provider organizations will be developed and amended by the respective operators and service providers and submitted to the concerned Division for approval. The concerned Division will evaluate the Manuals and Procedures whether they are in line with prevailing regulations. If they are found appropriate, the head of the concerned Department shall forward such Manuals and Procedures to the PEL Manager for approval.

3.3.6 Record Management

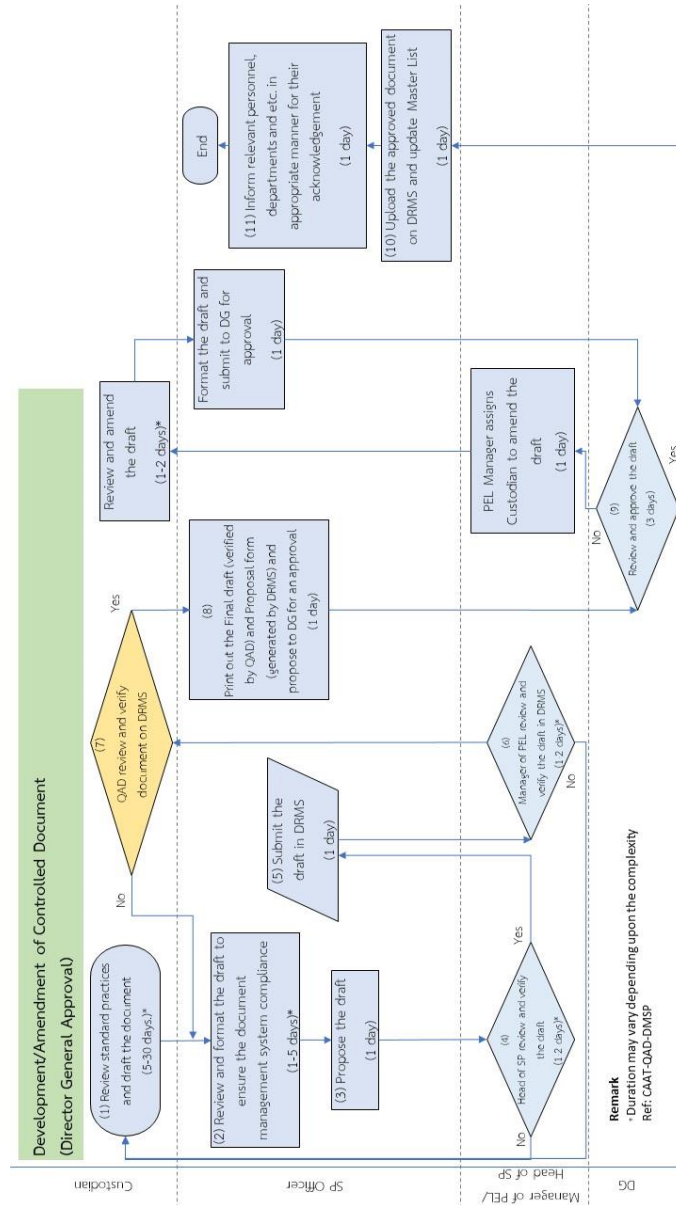
Refer to CAAT-PEL-RDMSP: Record-Keeping and Document Management System Procedure

3.3.7 Appendix

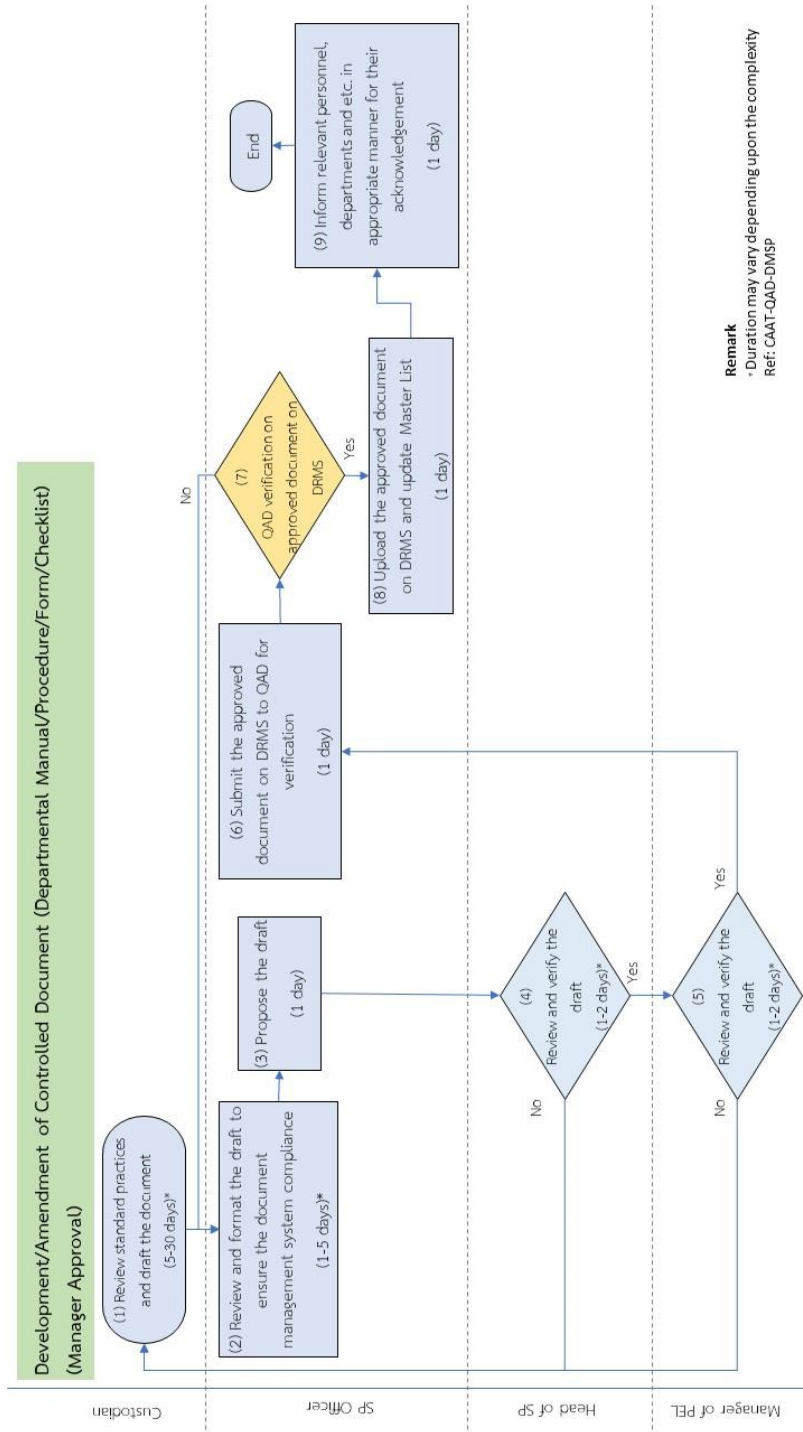
Appendix A: Workflow for Development/Amendment of Controlled Document

APPENDIX A: WORKFLOW FOR DEVELOPMENT/AMENDMENT OF CONTROLLED DOCUMENT

I. Workflow for Development/Amendment of Controlled Document (DG Approval)



II. Workflow for Development/Amendment of Controlled Document (Manager Approval)



III. Workflow for Development/Amendment of Controlled Document (Appendix to Regulation)

