

**ATTACHMENT A**

**Prospective Operator’s or Maintenance Organization’s Pre-Assessment Statement**

**PRE-ASSESSMENT STATEMENT**

(To be completed by an applicant for an air operator certificate (AOC) or for approval as an approved maintenance organization (AMO). See Attachment B to this Part for instructions on completion of this statement.)

Section 1A. To be completed by applicants	
1. Company registered name and Trading name if different. Address of Company, Mailing Address, telephone; fax and e-mail.	2. Address of the principle place of business, including telephone, fax and e-mail.  Secondary business address:  Type of operation:
3. Name and address of the applicant’s legal representative:	4. Proposed start-up date:
5. Request designator for aircraft operating agency in order of preference: a) _____ b) _____ c) _____	

6. Management and key staff personnel		
Name	Title	Telephone, fax and e-mail



**Section 1B. Proposals for maintenance  
 (to be completed by applicant as appropriate)**

7.	<input type="checkbox"/> Air operator intends to perform its maintenance as an AMO (complete 7 and 9). <input type="checkbox"/> Air operator intends to arrange for maintenance and inspections of aircraft and associated equipment to be performed by others (complete 7 and 12). <input type="checkbox"/> Air operator intends to perform maintenance under an equivalent system (complete 7 and 12). <input type="checkbox"/> AMO (complete 8).	
8. Air operator proposed types of operation:		9. AMO proposed ratings:
<input type="checkbox"/> Passengers and cargo <input type="checkbox"/> Cargo only <input type="checkbox"/> Scheduled operations <input type="checkbox"/> Charter flight operations		<input type="checkbox"/> Airframe <input type="checkbox"/> Powerplant <input type="checkbox"/> Propeller <input type="checkbox"/> Computers <input type="checkbox"/> Instruments <input type="checkbox"/> Accessory <input type="checkbox"/> Specialized

<input type="checkbox"/> Other _____	<input type="checkbox"/> Avionics	service
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**Section 1C. To be completed by applicants**

10. Aircraft data provide a copy of the lease agreement for all leased aircraft		11. Geographic area (s) of intended operations and proposed route structure:
a) Number of aircraft by type and model . Aircraft nationality and registration marks where available.	b) Number of passengers' seats and/or cargo payload capacity.	

**Section 1D. To be completed by all applicants**

12. Additional information that provides a better understanding of the proposed operation or business (attach additional sheets, if necessary)
13. Proposed training aircraft and/or flight simulation training device

**Section 1E.** The signature and the information contained in this form denote an intent to apply for an AOC and/or approval as a maintenance organization, as appropriate.

Type of organization:

Signature:

Date: (day/month/year)

Name and title:

**Section 1F. To be completed by all applicants**

Name and contact details of person within the operator's head office with overall responsibility for the carriage of dangerous goods by air.

Name:..... Address:.....  
 Job title:.....  
 Telephone:.....  
 FAX:.....  
 E-mail:.....

Name of ground handling Agent in THAILAND:

Name and contact details of ground handling agent and/or other agents with responsibility for handling of dangerous goods on behalf of operator:

Name:..... Address:.....  
 Job title:.....  
 Telephone:.....  
 FAX:.....  
 E-mail:.....

**Section 2. To be completed by CAAT**

Received by (name and office):		Date received (day/month/year):
Date forwarded to CAAT (day/month/year):	For: <input type="checkbox"/> Action <input type="checkbox"/> Information only	
Remarks:		

**Section 3. To be completed by CAAT**

Received by:	<i>Pre-Application number:</i>
Date (day/month/year):	
Local office assigned responsibility for designation of the CAAT project manager and the certification team:	Date forwarded to local office for initiation of the formal certification or approval process : (date/month/year):

**ATTACHMENT B**

Instructions for the completion of the Prospective Operator's or Maintenance Organization's Pre-Assessment Statement as set out in Attachment A.

Section 1A. To be completed by applicants

Item: 1 Enter the official name and mailing address, telephone, fax and e-mail address of the company. Include any other name under which business is conducted if different from the official company name.

Item: 2 This address shall be the physical location where the primary activities are based. It is where the offices of management required by legislation are located. If the address is the same as under item 1, enter "same". Include secondary business addresses and identify the type of operation conducted at such addresses.

Item: 3 The names, titles, telephone numbers and other contact details of application's legal representative.

Item: 4 Enter the estimated date when operations or services are intended to commence.

Item: 5 This information will be used to assign a company identification number, known as a designator for aircraft operating agency. You may indicate up to three, three-letter identifiers, such as ABC, XYZ. If all choices have already been allocated to other operators or maintenance organizations, another identifier will be allocated.

Item: 6 Enter the names, titles, telephone numbers and other contact details of management and key staff personnel.

Section 1B. Proposals for maintenance (to be completed by applicant as appropriate)

Item: 7 Indicate whether the applicant air operator intends to perform maintenance as an AMO or intends to contract out all or part of its maintenance, or perform its maintenance using an equivalent system.

Item: 8 The proposed type of air operation will be indicated. Check all applicable boxes.

Item: 9 The proposed maintenance organization ratings will be indicated. Check all applicable boxes.

Section 1C. To be completed by applicants

Item: 10 Data for all aircraft to be used to be provided. Provide a copy of the lease agreement for all leased aircraft.

Item: 10(a) Indicate number and types of aircraft by make, model and series, and indicate individual aircraft nationality and registration marks.

Item: 10(b) Number of passenger seats and/or cargo payload capacity.

Item: 11 Indicate geographic area(s) of intended operation and proposed route structure.

Section 1D. To be completed by all applicants

Item: 12 Provide any information that would assist CAAT personnel in understanding the type and scope of the operation or business to be performed by the applicant. If an air operator intends to contract out maintenance and inspection of its aircraft and/or associated equipment, identify the AMO selected and list the maintenance and inspections that the contracting organization will perform. Provide copies of all maintenance contracts where applicable.

Item: 13 For air operator applicants, identify the type of aircraft and/or flight simulation training devices, including flight simulators, to be used and the training to be provided. For maintenance organization applicants, identify the types of aircraft to be maintained and in addition identify the training that the quality assurance staff, certifying staff and other maintenance staff will receive based on the ratings requested.

Section 1E. To be completed by all applicants.

Signature of the pre-assessment statement by the accountable manager denotes an intent to seek certification as an air operator or approval as a maintenance organization.

Section 1F. To be completed by all applicants.

1. Enter the name and contact details of person within the operator's head office with overall responsibility for the carriage of dangerous goods by air.
2. Enter the Name and contact details of ground handling agent and/or other agents with responsibility for handling of dangerous goods on behalf of operator. (If available)

Section 2. The application is to be forwarded by the receiving office to the Authority with all

available information and a recommendation on the action to be taken.

Section 3. Where certification or approval action is to be continued, CAAT will designate a PM and a certification team.





**ATTACHMENT C**

1. The attachments that need to accompany the formal application letter are:
  - (a) The identification of the operation specifications sought, with information on how associated conditions will be met, as described in Attachment B;
  - (b) The schedule of events in the certification process with appropriate events addressed and target dates;
  - (c) An initial statement of compliance or detailed description of how the applicant intends to show compliance with each provision of the air navigation regulations;
  - (d) The Management Structure and key staff members including, functional tasks, lines of reporting-authority-accountabilities, titles, names, backgrounds, qualifications and experience, with regulatory requirements satisfied;
  - (e) The details of the SMS framework;
  - (f) A list of designated destination and alternate aerodromes for scheduled services, areas of operation for non-scheduled services and bases for operations, as appropriate to the intended operations;
  - (g) A list of aircraft to be operated;
  - (h) Documents of purchase, leases, contracts or letters of intent;
  - (i) Arrangements for crew and ground personnel training and qualification and the facilities and equipment required and available;
  - (j) The Operations Manual, properly structure on Parts A, B, C and D;
  - (k) The General Maintenance Manual (GMM);
  - (l) Details of the method of control and supervision of operations to be used; and
  - (m) The status of the assessment of financial, economic and legal matters by CAAT Economic Regulation Department as parts of Air Operator License (AOL) issuance process;
  - (n) The detail of the Quality Management System; and
  - (o) Complete checklists CAAT-OPS-CLFOI-301 and CAAT-OPS-CLOMI-302.
2. Application Packages and Attachments to The Formal Application
  - 2.1 Identification of desired Operations Specifications, the Authority approves special authorizations that are enabled through the Authority regulations by the issuance of Operations Specifications. The list of authorizations, conditions and limitations as

outlined in this appendix shall be utilized. The applicant shall identify the desired Operations Specifications appropriate to the intended operation for each aircraft model in the operator's fleet, identified by aircraft make, model and series. The issuance of each Operations Specification shall be subject to the applicant meet the Authority regulations and requirements. Each Operations Specification will also be subject to the air operator satisfying, on an ongoing basis, conditions that are established for their use. While some conditions for these approvals may be contained in the specific approvals and remarks portion of the Operations Specifications, detailed conditions will be contained in the Operations Manual. The conditions contained in the Operations Manual will include the training, qualifications, equipment requirements and procedures, as applicable, under which the special authorization can be utilized.

- 2.2 Schedule of Events. The schedule of events is a key document that lists items, activities, programmes, aircraft and facility acquisitions that will be made ready for inspection by the CAAT before certification. The schedule shall include date(s):
- (a) When crew members and maintenance personnel will commence training;
  - (b) When maintenance facilities will be ready for inspection;
  - (c) When each of the required manuals will be ready for evaluation;
  - (d) When the aircraft will be ready for inspection;
  - (e) When terminal facilities will be ready for inspection;
  - (f) When demonstration flights are planned; and
  - (g) The proposed assessments of training staff and other person subject to the Authority approval. The dates shall be logical in sequence and provide time for review, inspection and approval of each item.

The overall plan is to be kept under constant review and amendment to maintain control of the certification process.

- 2.3 Initial Statement of Compliance. The initial statement of compliance shall be a complete list of all the Authority regulations applicable to the proposed operation. Each regulation or sub-part shall be accompanied by a brief description or a reference to a manual or other document. The description or reference shall describe the method of compliance in each case. The method of compliance may not be finalized at the time of the formal application, in which case a date shall be given by which the final information will be provided. The purpose of the statement of compliance is to ensure that the applicant has addressed all regulatory requirements. It aids the Authority Certification Team to assess where the regulatory requirements have been addressed in the applicant's manuals, programmes and procedures.
- 2.4 Management structure and key staff members. The Authority Certification Team shall review the Organizational Structure of an applicant for an AOC to ensure that duties, responsibilities and authorities are clearly defined and that clear delineation of functional tasks and lines of reporting have been established and documented. The Authority regulations establish basic management positions and the qualifications for these positions, with some variation in the requirement dependent upon the complexity of the proposed operation.

The requirements cover the following positions:

- (a) Accountable Manager;
- (b) Head of Flight Operations;
- (c) Head of Engineering;
- (d) Head of Safety;
- (e) Head of Quality;
- (f) Head of Training; and
- (g) Head of Ground Handling, etc.

The list shall include the management positions, the names of the individuals involved and their qualifications and relevant management experience and, where appropriate, their licenses, ratings and aviation experience. The applicant shall provide the application FORM 4 for each required management positions. The CAAT may approve positions or number of positions, other than those listed, if the applicant is able to show that it can perform the operation with the highest degree of safety under the

direction of fewer or different categories of management personnel.

2.5 Safety Management Systems (SMS). The details of the applicant's SMS Framework include:

2.5.1 Safety Policy and Objective:

2.5.1.1 Management commitment;

2.5.1.2 Safety accountability and responsibilities;

2.5.1.3 Appointment of key safety personal;

2.5.1.4 Coordination of Emergency Response Planning; and

2.5.1.5 SMS documentation.

2.5.2. Safety Risk Management:

2.5.2.1 Hazard identification; and

2.5.2.2 Safety risk assessment and mitigation.

2.5.3. Safety Assurance

2.5.3.1 Safety Performance Monitoring and Measurement;

2.5.3.2 The Management of Change;

2.5.3.3 Continuous Improvement of the SMS;

2.5.4. Safety Promotion

2.5.4.1 Training and Education; and

2.5.4.2 Safety Communication.

The applicant shall identify the Accountable Executive who, irrespective of other functions is accountable on behalf of the organization for the implementation and maintenance of an effective SMS, signing operator's safety policy and ensuring the provision of the necessary resources for its implementation. CAAT shall ensure that the air operator has nominated a post holder responsible for the implementation and maintenance of the air operator's Safety Management System and his/her functions and responsibilities are clearly defined and documented in the Flight Safety Documents System.

- 2.6 Aerodromes and Areas. A list shall be provided with the destination and alternate aerodromes designated for proposed scheduled operations and areas of operation for non-scheduled operations.
- 2.7 Aircraft to be operated. A list of the aircraft to be operated shall be provided, with the make, model, series and the nationality and registration marks for each aircraft and details of the origin and source for each aircraft, if these details are known. It is possible that the details for individual aircraft may not yet be available, in which case, evidence shall be provided as described in 2.8 below.
- 2.8 Documents of purchase, leases, contracts or letters of intent. These documents shall provide evidence that the applicant is actively procuring aircraft, facilities and services appropriate to the operation proposed. If formal contracts are not completed, letters or other documents showing preliminary agreements or intent shall be provided. These documents may relate to aircraft, station facilities and services, weather reporting, communications facilities, maintenance, aeronautical charts and publications, aerodrome analysis and obstruction data, outsourced training and training facilities.
- 2.9 Crew and ground personnel training and required facilities. Details of the facilities required and available for training company personnel and of the training programme with dates for commencement and completion of the initial programme shall be provided. Training will include: human performance, threat and error management for flight crew, maintenance technicians and flight dispatchers, the transport of dangerous goods, and security. Specific attention should be paid, as applicable to the crew member position, to company procedures indoctrination; emergency equipment drills; aircraft ground training; flight simulators and other flight simulation training devices; and aircraft flight training. All these aspects shall cover both initial and recurrent training.
- 2.10 Operations Manual. The Operations Manual, which shall be in accordance with AOCR Chapter 2 and Appendix K, shall be provided and organized with the following structure:
- (a) General;
  - (b) Aircraft Operating Information;
  - (c) Area, Route and Aerodrome; and

(d) Training.

The Operations Manual shall set out the applicant's general policies, the duties and responsibilities of personnel, operational control policy and procedures, and the instructions and information necessary to permit flight and ground personnel to perform their duties with a high degree of safety and may include the operator SMS detailed framework implementation (as alternative to issue a separate SMS manual). The size as well as the number of volumes of the Operations Manual will depend upon the size and complexity of the proposed operations. CAAT shall ensure that an applicant prepares its Operations Manual in accordance with CAAT requirements using the Forms CAAT-OPS-CLFOI-301.

- 2.11 The General Maintenance Manual (GMM) shall describe the administrative arrangements between the applicant and the Approved Maintenance Organization (AMO) and shall define the procedures to use, the duties and responsibilities of operations and maintenance personnel and the instructions and information to permit maintenance and operational personnel involved to perform their duties with a high degree of safety.
- 2.12 Maintenance programme. This programme, including a maintenance schedule, will detail the maintenance requirements for individual aircraft.
- 2.13 Method of control and supervision of operations. This shall set out the applicant's proposals for control and supervision of operations including dispatch, flight watch or flight following and communication procedures.
- 2.14 Assessment of financial, economic and legal matters are parts of Air Operator License (AOL) issuance process. The status of the assessment of financial, economic and legal matters shall be clearly identified in the AOL formal application package since a successful outcome of this assessment is essential to the issuance of an AOC.
- 2.15 Specific Approval for the safe transport of dangerous goods by air shall be granted by the Authority upon receiving application from an air operator and who has met the Authority requirements.