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|  **Statement of Compliance – Chapter 1:**  **Application for Air Operator Certificate** |
| The line items referenced in this compliance matrix have been derived from CAAT as the minimum maintenance compliance requirements for an application for the Initial application, renewal and variation existing of an AOC.A completed statement of compliance must be submitted by the applicant for Initial application, renewal and variation existing. Additionally, the certificate holder should maintain an up-to-date compliance matrix to assist with on-going compliance and to support certificate amendment requests. The purpose of the statement of compliance is to speed up the certification process, ensure every applicable requirement has been addressed in the exposition and reduce the cost of certification by the quick location of required policies or procedures in the applicant’s exposition manual suite.**All requirements have to be complied with**, but not every requirement has to be addressed in the exposition. At least the following Requirements must be included unless they are not applicable to the operation, in which case they should be annotated N/A. The intention of this statement of compliance is to assist rather than instruct the applicant in an Initial application, renewal and variation existing. If for your operation, compliance is required with a Regulation not listed in the statement of compliance, please add it to the list and identify the exposition reference.This statement of compliance needs to be completed by every applicant for an AOC and show the exposition pages and paragraph numbers that satisfy CAATRequirements in the ***Manual References / Applicant’s Comments*** column. Where the applicant does not meet the CAAT Requirement or deems it not applicable, an explanation should be given in this column. **Please note that ticks ( √ ) are not acceptable.**The completed statement of compliance should accompany the exposition documents and preferably be included as a component of the exposition. The applicant may submit a completed statement of compliance in a different format as long as it includes all the Requirements references identified below; however, there may be additional processing time required by the CAAT in cross-referencing requirements.**General Manual Layout**Electronic exposition: Is the statement of compliance included as part of the file(s)/disc? If so, is it up to date? Have you considered the methods for distributing to the CAAT and how you will manage amendments? |

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| --- |
| **Details of Applicant / AOC holder(s)** |
| **Instruction:** The operator shall indicate the references in the Operations Manual where the requirements are met. |
| **Name of Applicant / AOC holder(s):**  |  |
| **Date of Submission:** |  |
| **List of Manuals Submitted:**  |
| **Administration and Control of Manual** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
| A statement that the manual complies with all applicable regulations and with the terms and conditions of the applicable air operator certificate (AOC). |  |  |
| Explanations and definitions of terms and words needed for the use of the manual. |  |  |
| Details of the person(s) responsible for the issuance and insertion of amendments and revisions. |  |  |
| A record of amendments and revisions with insertion dates and effective dates. |  |  |
| A statement that handwritten amendments and revisions are not permitted, except in situations requiring immediate amendment or revision in the interest of safety. |  |  |
| A list of effective pages or paragraphs. |  |  |
| A description of the distribution system for the manuals, amendments and revisions. |  |  |
| On every page, headers and/or footers to include:1. Company name
2. Name of the manual
3. Effective revision and date of the page
4. page number
 |  |  |
| Index (not mandatory but desirable) |  |  |

| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
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| **1 INITIAL APPLICATION FOR AOC** |
| 1.1 The application for, and grant of, an AOC is a complicated process involving much effort and detailed work by both the applicant and the Authority. Hence, an applicant should contact the Authority as far in advance as possible, and submit all required manuals and documents, at least 90 days before the anticipated start of operations. The time taken to process an application will depend on the completeness of the information submitted and the progress the applicant makes in demonstrating an adequate organisation, method of control and supervision of flight operations, training programme and maintenance arrangements consistent with the nature and extent of the operations specified. Nevertheless, no undertaking can be given for an AOC to be granted within any requested timeframe. |  |
| 1.2 A 5-phase process for systematic handling of all AOC applications has been adopted. The 5 phases are explained briefly below: |  |
| 1. **Pre-application discussion phase**

 This phase commences when a prospective applicant makes his initial inquiries regarding application for an AOC. A preliminary discussion is held whereby basic information and general certification requirements are discussed, and an application form (see Appendix A for the application form) is provided when the applicant desires to continue with the AOC application. When the information is sufficient including the financial status, a pre-application meeting is arranged, at which the applicants’ key management and staff will meet with the Authority to discuss the plans and specific aspects of the proposed operation. |  |  |
| 1. **Formal application phase**

 This phase begins when the applicant submits the completed form and required manuals and exposition documents to the Authority. This phase shall commence at least 90 days before the desired start of revenue operations. After preliminary review to verify that the applicant has submitted the required information and attachments, a formal application meeting with the applicant’s management team will be arranged where detailed examination of all aspects of proposed aircraft types and their operations, management structure, ground and flight crew structure and training, premises, equipment, etc. will be conducted. The applicant’s proposed schedule of events for submissions, inspections and training of the Authority’s officers on the proposed aircraft type(s) (at the applicant’s expense) will be examined and agreed by both parties to guide the subsequent phases. |  |  |
| 1. **Document evaluation phase**

 A thorough evaluation of all the manuals, documents and attachments etc. that are required by regulations to be submitted to support an AOC application will begin in this phase. This is to ensure that all documentation meets the required standards and requirements. All manuals and documents submitted will also be retained by the Authority during the currency of an AOC (see Chapter 2). |  |  |
| 1. **Applicant’s demonstration and Authority’s evaluation phase**

 An applicant is required to demonstrate his ability to comply with regulations and safe operating practices before actual revenue operations can begin. This is to ensure that the applicant has an adequate organisation, method of control and supervision of flight operations, training programme as well as ground handling1 and maintenance arrangement that are consistent with the nature and extent of operations specified. These may include emergency evacuation demonstration, ditching demonstration, one or more proving flights over proposed routes. Where actual performance of activities (maintenance and ground handling and the use of dummy loads where appropriate) and operations, are observed and evaluated by the Authority. All operations must be performed in accordance with applicant’s documents and manuals as reviewed in the previous phase. However, the Authority may require additional time or additional proving flights to validate the ability and overall safe operations before concluding this phase. On completion of the demonstration and evaluation phase, the Authority will normally call for a meeting with the applicant to review the results or any findings to be resolved before the Certification phase. ***Note:*** *Guideline for Emergency Evacuation Demonstration and Ditching Demonstration can be found in paragraph 13 of this chapter.* |  |  |
| 1. **Certification phase**

 After all documentation has been assessed to be complete including both operational and financial capability, the demonstration phase has been completed satisfactorily, and the applicant is assessed to be competent, the AOC will be issued with the corresponding operations specifications (containing authorisations, limitations and provisions specific to each applicant) to enable the applicant to commence revenue operations. |  |  |
| 1 Ground handling includes services that are necessary for an aircraft’s arrival at, and departure from, an airport, other than air traffic services. |  |
| 1.3 If any significant deficiency is revealed at any stage of the evaluation process and the deficiency cannot be resolved by the interaction between the Authority and the applicant, the Authority will advise the applicant in writing of the nature of the deficiency and the actions required. The application will not be processed until the deficiency is resolved. |  |

| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
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| **2 DOCUMENTS TO BE SUBMITTED** |
| 2.1 The following documents must be submitted to the Authority together with the completed form: |  |
| 1. Operations Manual
 |  |  |
| 1. Aircraft Flight Manual
 |  |  |
| 1. General Maintenance Manual - GMM;
 |  |  |
| 1. Aircraft Maintenance Program Manual
 |  |  |
| 1. Minimum Equipment List
 |  |  |
| 1. Training Manual (Flight crew, Cabin Crew, Dispatcher and Ground staff)
 |  |  |
| 1. Dangerous Goods Manual (if applicable)
 |  |  |
| 1. Security Manual
 |  |  |
| 1. Safety Management Manual
 |  |  |
| 1. Emergency Manual
 |  |  |
| 1. Flight Operations Officer or Dispatcher Manual
 |  |  |
| 1. Cabin Crew Manual
 |  |  |
| 1. Quality Assurance Manual
 |  |  |
| 1. Other manual if CAAT required such as the Ground Handling / Services Manual
 |  |  |

| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
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| **3 FORM OF AIR OPERATOR CERTIFICATE AND OPERATIONS SPECIFICATIONS** |
| 3.1 Air Operator Certificate is normally valid for not more than 2 years for initial issue. Thereafter, it may be renewed for not more than 5 years subject to the satisfaction of the Authority. The type(s) of aircraft that may be flown and the associated specific approvals are specified in the operations specifications. |  |  |
| 3.2 See Appendix A for a copy of the AOC, operations specifications and the associated forms. |  |  |

| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
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| **4 APPLICATION FOR THE RENEWAL OF AN AOC** |
| 4.1 The period of validity of an AOC will not be extended. |  |  |
| 4.2 Holders of AOC must apply for the renewal of an AOC using form (see Appendix A), including any other forms or documents may be required, at least 60 days before the expiry date of the current AOC. |  |  |
| 4.3 The audit and routine inspection results will be used to assess whether the operator can continue to hold an AOC. |  |  |

| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
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| **5 VARIATION TO EXISTING AOC** |
| 5.1 If the holder of an AOC wishes to add new aircraft (same make/model) or apply for the variation of its certificate (e. g. inclusion of new aircraft type, adding specific approval destination or extension of routes or changes in Operations Specifications) the holder of the AOC shall complete the Application for an AOC Variation with full details of the requested amendments and submit all required manuals and documents at least 45 days in advance. However, the AOC holder is advised to give as much notice as possible. No undertaking can be given that an application will be dealt with within any requested timeframe. Variation to the AOC also includes apply or changes to the following**:** |  |
| 1. Change in particular of organisation;
 |  |  |
| 1. Change in management personnel;
 |  |  |
| 1. Inclusion of New Aircraft Type;
 |  |  |
| 1. Adding New Aircraft (Same make/model).
 |  |  |
| 1. Change in area of operation;
 |  |  |
| 1. Change in aircraft maintenance; and
 |  |  |
| 1. Change in specific approval such as EDTO/ETOPS, RVSM, EFB, DG, PBN, PBCS, AWO etc. and
 |  |  |
| 1. De-Registration aircraft
 |  |  |
| ***Note:*** *Justification of the suitability of a person to become chief executive officer will be required.* |  |  |
| 5.2 On receipt of application for an AOC variation, demonstration or special inspection may be conducted which include the observation of a proving flight. After all documentation is complete and upon satisfactory completion of any special inspection, the relevant amended page of the AOC or the operations specifications will be sent to the operator as approval for the requested variation to the AOC. |  |
| 5.3 In case of introduction of the new aircraft type in the company, which the Authority does not have type-rated officer or have type-rated officer but not adequately meet the overall number of such aircraft type, the AOC holder shall provide aircraft type training for the new aircraft type to the Authority’s officers, at the expense of the AOC holder. |  |

| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
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| **6 ROUTINE LIAISON AND INSPECTION** |
| 6.1 To determine continued competence and compliance by the operator with the applicable requirements, the operator shall permit access by Authorised Officers to its premises, aircraft, equipment and documents, including those handling agents appointed by the operator. |  |  |
| 6.2 All Authorised Officers are authorised to be on-board the operator’s aircraft, including its flight deck, during normal aircraft operations. Arrangements for such flights will normally be made in advance, but Authorised Officers may also board the aircraft without prior notice to conduct unscheduled inspection. For identifications, all Authorised Officers will carry a credential card which will be produced on request. |  |  |
| 6.3 The Authority shall not pay any fee or fare to the operator in the respect of the carriage of an Authorised Officer on duty in the operator’s aircraft or the aircraft of other airlines. The cost of the passenger ticket including all applicable taxes and fees purchased by the Authority for the Authorised Officer to perform duties outside CAAT shall be borne by the operator. Alternatively, the operator may, subject to agreement of the Authority, issue a confirmed commercial passenger ticket where all applicable taxes and fees have been paid for. For the purpose of this sub-paragraph, a “subject to load” ticket is not acceptable to the Authority. When circumstances require Authorised Officers to travel on freighter flights, he/she shall be listed as a passenger in the passenger manifest. A confirmed seat outside the flight deck will be acceptable. When AOC is granted, the applicant is subject to continuing surveillance to ensure that the operator remains competent to undertake the safe operation. The cost of the AOC surveillance, other than main base inspection, including any ground transportation, air tickets, hotel accommodations and any expense paid by the Authority for the Authorised Officer to perform duties outside CAAT shall be borne by the operator. |  |  |
| 6.4 Operators will be visited from time to time by Authorised Officers. The primary purpose of their visits will be to observe the operations of the AOC holder. This will include the training and testing and qualifications of the operating staff and agents/contractors of the AOC holder. |  |  |
| 6.5 The Authorised Officers are also empowered to inspect the licenses of the flight crew and aircraft maintenance engineers, and records of the AOC holder and their agents. |  |  |

| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
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| **7 MANAGEMENT AND EXECUTIVE STAFF** |
| 7.1 A sound and effective management structure is essential. It is particularly important that the operational management should have proper status in the organisation and be in suitably experienced and competent hands. The duties and responsibilities of managers, senior executives and designated representatives in charge of operational control must be clearly defined in writing, and chains of responsibility firmly established. Authorities are clearly defined with functional tasks and lines of responsibility clearly delineated and documented in the flight safety documents system. The number and nature of the appointments may vary with the size and complexity of the organisation and its operations. However, the structure and composition of the management must be adequate and properly matched to the operating network and commitments. The operator shall maintain personnel trained and competent to perform their tasks. |  |  |
| **Personnel** |  |
| 7.2 The Chief Executive Officer (who shall be the accountable manager) of the operator, taking into consideration the complexity and nature of the operations, shall nominate the following persons for the Authority's acceptance: |  |
| 1. **Head of Flight Operations** -He/she should have relevant qualifications and management experience working in an airline or equivalent organisation
 |  |  |
| 1. **Head of Engineering** - He/she should have experience working in an engineering capacity in an airline or equivalent organisation.
 |  |  |
| 1. **Head of Safety** - He/she should have operational experience working in an airline or equivalent organization on aviation safety management, and he/she should have sound technical background to understand the systems that support operations or the product/service provided.
 |  |  |
| 1. **Head of Quality** - He/she should have operational experience working in an airline or equivalent organization on quality management, and he/she should have sound technical background to understand the systems that support operations or the product/service provided.

***Note:*** *(Organisational setup for head of quality is detailed in Appendix Q, paragraph 2.3)* |  |  |
| 1. **Head of Training** - He/ she should hold an ATPL and appropriate ratings for at least one of the aircrafts used by the operator. He/she should also have extensive experience as an Instructor pilot.
 |  |  |
| 1. **Head of Ground Operations** - He/ she should have experience or knowledge in ground handling services. Where maintenance and other ground handling functions is performed by a contractor and not directly by the operator, a senior person employed by the operator should be nominated to co-ordinate arrangements and to provide continuous liaison with the maintenance contractor on airworthiness matters and ground handling matters.
 |  |  |
| 7.3 These nominated persons shall be conversant with the Thai Ministerial Regulations, the Air Operator Certificate Requirements, the CAAT Airworthiness Requirements and the relevant Annexes to the Chicago Convention and have adequate qualifications and experience for the duties concerned. |  |  |
| 7.4 The Authority may, depending on the type of operations, require the operator to nominate additional persons to ensure the safety of the operations or allow for a nominated person to take on more than one role. |  |  |
| **7.5 Quality Management System** |  |
| 7.5.1 The operator shall establish a quality management system with the objective of compliance monitoring and designated Head of Quality to monitor the compliance with, and adequacy of, procedures required to ensure safe operational practices and airworthy aircraft. The compliance monitoring shall include a direct feedback system to the accountable manager to ensure corrective action as necessary. The requirements for the quality management system and compliance monitoring are detailed in Appendix Q. The specific requirements for the Engineering and Maintenance quality system are detailed in Chapter 9 of this document. |  |  |
| 7.6 The positions held by key personnel will be listed in each Air Operator Certificate. |  |  |

| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
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| **8 DECISIONS OF THE AUTHORITY** |
| 8.1 Pursuant to the Thailand RCAB 85, the Authority may refuse to grant or renew an AOC. |  |  |
| 8.2 If, during the currency of an AOC, the Authority ceases to be satisfied that the holder is competent, the Authority may suspend, revoke or vary the AOC. The holder would normally be given at least one month’s notice of the intention to take such action and will be notified in writing to take such action, but provision is made for immediate suspension, revocation or variation if the Authority determines that it is necessary in the interests of the safety of flight operations. |  |  |
| 8.3 If an operator ceases operations for which the AOC was issued, or if the Authority revokes or suspends the AOC, the AOC is to be returned to the Authority within 7 days. |  |  |

| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
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| **9 AIRCRAFT LEASING ARRANGEMENTS** |
| 9.1 The operator shall seek the Authority’s approval before engaging in aircraft operational lease arrangements (i.e. dry/wet/damp leases). |  |  |
| 9.2 Approval for any operational lease arrangement will only be granted provided the parties have identified all the necessary responsibilities arising from the lease arrangement and the parties involved in the lease arrangement can demonstrate sufficient knowledge and adequate resources to fulfil their roles and responsibilities with regard to the continuing airworthiness and operational control of the aircraft for the duration of the lease. |  |  |

| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
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| **10 OPERATIONAL CERTIFICATION AND SUPERVISION** |
| 10.1 The operator shall not engage in commercial air transport operations unless in possession of a valid air operator certificate issued by the Authority. |  |  |
| 10.2 The operator shall develop policies and procedures for third parties that perform work on its behalf. |  |  |

| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
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| **11 SAFETY MANAGEMENT** |
| 11.1 An operator shall implement a safety management system acceptable to the State of the Operator that, as a minimum that is based on ICAO doc 9859 and Guidance Material for SMS: |  |
| 1. Identifies safety hazards;
 |  |  |
| 1. Ensures that remedial action necessary to maintain an acceptable level of safety is implemented;
 |  |  |
| 1. Provides for continuous monitoring and regular assessment of the safety level achieved;
 |  |  |
| 1. Aims to make continuous improvement to the overall level of safety; and
 |  |  |
| 1. The operator shall notify Safety Performance Indicators (SPI) with respective alert/target levels to the Authority.
 |  |  |
| 11.2 A safety management system shall clearly define lines of safety accountability throughout the operator’s organisation, including a direct accountability for safety on the part of senior management. |  |  |
| 11.3 An operator of an aeroplane of a certificated take-off mass in excess of 27,000 kg shall establish and maintain a flight data analysis programme as part of its safety management system. ***Note****: An operator may contract the operation of a flight data analysis programme to another party while retaining overall responsibility for the maintenance of such a programme.* |  |  |
| 11.4 A flight data analysis programme shall contain adequate safeguards to protect the source(s) of the data in accordance with Appendix 3 to Annex 19.***Note****: Guidance on the establishment of flight data analysis programmes is included in the Manual on Flight Data Analysis Programmes (FDAP) (Doc 10000).* |  |  |
| 11.5 An operator shall establish a flight safety documents system, for the use and guidance of operational personnel, as part of its safety management system in accordance with Appendix K.***Note:*** *Guidance on the development and organisation of a flight safety documents system is provided in ICAO Annex 6 Part I, Attachment F (Tenth edition – July 2016).* |  |  |
| 11.6 The operator shall not use recordings or transcripts of CVR, CARS, Class A AIR and Class A AIRS for purposes other than the investigation of an accident or incident as per Annex 13, except where the recordings or transcripts are:1. Related to a safety-related event identified in the context of a safety management system; are restricted to the relevant portions of a de-identified transcript of the recording; and are subject to the protections accorded by Annex 19;
2. Sought for use in criminal proceedings not related to an event involving an accident or incident investigation and are subject to the protections accorded by Annex 19; or
3. Used for inspections of flight recorder systems.

***Note:*** *Provisions on the protection of safety data, safety information and related sources are contained in Appendix 3 to Annex 19. When an investigation under Annex 13 is instituted, investigation records are subject to the protections accorded by Annex 13.* |  |  |
| 11.7 The use of recordings or transcripts of FDR, ADRS as well as Class B and Class C AIR and AIRS for purposes other than the investigation of an accident or incident as per Annex 13 shall not be allowed, except where the recordings or transcripts are subject to the protections accorded by Annex 19 and are:1. Used by the operator for airworthiness or maintenance purposes;
2. Used by the operator in the operation of a flight data analysis programme as part of its safety management system;
3. Sought for use in proceedings not related to an event involving an accident or incident investigation;
4. De-identified; or
5. Disclosed under secure procedures.

***Note:*** *Provisions on the protection of safety data, safety information and related sources are contained in Appendix 3 to Annex 19.* |  |  |
| 11.8 In order to decide whether or not to operate into airspace forecast to be, or aerodromes known to be, contaminated with volcanic ash, the operator should have in place an identifiable safety risk assessment within its SMS. ***Note****: Guidance on the risk management of flight operations with known or forecast volcanic ash contamination is provided in ICAO Doc 9974 – Flight Safety and Volcanic Ash. Procedures recommended for use by pilots whose aircraft inadvertently encounter a volcanic ash cloud and for post-flight reporting can be found in ICAO Doc 9691 – Manual on Volcanic Ash, Radioactive Material and Toxic Chemical Clouds.* |  |  |

| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
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| **12 EXEMPTIONS, PERMISSIONS AND APPROVALS** |
| 12.1 Exemptions, Permissions and Approvals issued by the CAAT are usually valid for a finite period and have a notified expiry date. The AOC Holders are responsible for ensuring that any Exemptions, Permissions and Approvals remain valid, and should apply for re-validation well before time expiry. |  |  |
| 12.2 Compliance with requirements is not optional. Occasionally, however, particularly in the area of aerodrome infrastructure, there might be instances where there are insurmountable geographical or other physical problems. When there are appropriate, robust and documented regulatory mechanisms in place, and when not in conflict with the ICAO Annexes, the objective of a specific SARP, or a good accepted safety practice, it may be possible to resolve a discrepancy or shortcoming by the imposition of limiting conditions or compensatory measures/controls. However, it is important not to imply that exemptions /exceptions be used to overcome an unpopular requirement or that compliance with a requirement is optional. The use of such mechanisms must be regarded as the exception, not the norm. |  |  |
| 12.3 Furthermore, any exception should only be granted on the basis of the robust rationale. Therefore, risk analysis or aeronautical study techniques should be developed, as part of a Safety Management System (SMS), at the appropriate level. In such exceptional cases, the responsibility for justifying, either qualitatively or quantitatively, an alternative means of compliance lies with the operator, before approval is sought from the CAAT. Furthermore, the operator must regularly review any exceptions with a view to removing the need for an exception where possible, as well as check the validity and robustness of any mitigating measures in place. The CAAT must also assess, before granting an exemption or exception, whether the exemptions or exceptions would lead to differences from SARPs. |  |  |
| 12.4 Operations conducted under the conditions of an Exemption, Permission or Approval that has lapsed, are in breach of the law. |  |  |

| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
| --- | --- | --- |
| **13 EMERGENCY EVACUATION DEMONSTRATION AND DITCHING DEMONSTRATION** |
|  An AOC applicant is required to demonstrate his ability to comply with regulations and safe operating practices before actual revenue operations can begin. An evacuation demonstration is required for each aircraft type with a seating capacity of more than 44 seats. This is to ensure that the applicant has an adequate organisation, method of control and supervision of flight operations, training programme as well as ground handling and maintenance arrangement that are consistent with the nature and extent of operations specified. These may include emergency evacuation demonstration, ditching demonstration, one or more proving flights where actual performance of activities (maintenance and ground handling and the use of dummy loads where appropriate) and operations, are observed and evaluated by the Authority. All operations must be performed in accordance with applicant’s documents and manuals as reviewed in the previous phase. However, the Authority may require additional time or additional proving flights to validate the ability and overall safe operations before concluding this phase. On completion of the demonstration and evaluation phase, the Authority will normally call for a meeting with the applicant to review the results or any findings to be resolved before the certification phase. |  |  |
| **13.1** **Evaluation of Passenger Evacuation Capability/Emergency Evacuation Demonstrations** |  |  |
| 13.1.1 Aircraft certification specifications/standards require that before an aircraft type and model can be used in commercial air transport passenger-carrying operations an actual full capacity emergency evacuation demonstration has been conducted to check the suitability of the emergency equipment and to determine the maximum number of persons on board. All passengers must be evacuated from the aircraft within 90 seconds or less using 50 percent of the available doors. |  |  |
| 13.1.2 Engineering analysis and historical data can be used to validate other passenger seating configurations. Prior to the import of an aircraft into Thailand and Certificate of Airworthiness issuance, an interior inspection shall be conducted to ensure conformity to an approved interior configuration, emergency and safety equipment, and that there is documentation to confirm that the full capacity emergency evacuation has been completed satisfactorily. |  |  |
| 13.1.3 For issuance of an AOC or variation to an AOC, the applicant is required to establish, to the satisfaction of the Authority, procedures to be followed, assignment of duties, qualifications of crew members and equipment to be used that will permit an emergency evacuation in 90 seconds or less, of the maximum number of persons, including crew members, authorized to be carried on each type of aircraft used in commercial air transport operations. |  |  |
| 13.1.4 Emergency evacuation training and competency requirements for crew members are established in Chapter 6 of this document. As part of the document evaluation, the Authority will determine that the applicant has established a training programme that ensures that crew members are competent in executing those safety duties and functions to be performed in the event of an emergency evacuation demonstration order to verify the adequacy of aircraft emergency procedures, crew member emergency evacuation training and emergency equipment. |  |  |
| 13.1.5 Unless reliable analytical methods or previous demonstrations by the aircraft manufacturer or other operators of the same type and model of aircraft are available to satisfy the Authority of the applicant's emergency evacuation capability, the certification inspection should require a partial evacuation demonstration in order to verify the adequacy of aircraft emergency procedures, crew member emergency evacuation training and emergency equipment. |  |  |
| 13.1.6 In this demonstration, full complement of crew members is required to carry out the procedures for an emergency evacuation, including opening 50 percent of emergency exit door and successfully deploying the escape slide at those exits within 15 seconds or less. Specific points to be noted during an evacuation demonstration are:1. The adherence by crew members to the execution of assigned duties and responsibilities both in the aircraft and on the ground;
2. The location of each crew member during the evacuation;
3. The effectiveness of the Pilot-in-Command in the exercise of command responsibilities;
4. The succession of command in the event of casualties;
5. The effectiveness of crew members in performing their assigned evacuation duties; and
6. The shortcomings, deficiencies or delays encountered.
 |  |  |
| 13.1.7 In making their report on the demonstration, the Authority will record the following from the time each phase of the evacuation demonstration begins:1. Time to open each approved exit door;
2. Time to deploy and inflate Emergency Evacuation Slides;
 |  |  |
| 13.1.8 If the applicant cannot satisfactorily demonstrate emergency evacuation for each particular type, model and configuration of aircraft within the time limit specified by the Authority, the applicant should be required to take steps to correct the deficiency which could include the following:1. Revising evacuation procedures;
2. Improving crew training;
3. Modifying or changing the equipment used;
4. Changing the passenger compartment arrangement; and
5. Reducing total passenger seating capacity.
 |  |  |
| **13.2 Evaluation of Passenger Ditching Capability/Ditching Demonstration** |  |  |
| 13.2.1 An operator intending to use an aircraft in extended flights overwater is required to demonstrate to the Authority that the aircraft has the ability and equipment to carry out emergency ditching procedures. The aircraft documentation shall be reviewed to ensure that an aircraft intended to be used for extended flights overwater has an airworthiness certification covering ditching. If the aircraft is not certificated for ditching, extended flights over water will not be authorized. |  |  |
| 13.2.2 Ditching training and competency requirements for crew members are established in Chapter 6 of this document. The applicant shall establish a training programme that ensures that crew members are competent in executing those safety duties and functions to be performed in the event of a situation requiring ditching. |  |  |
| 13.2.3 Unless data from reliable analytical methods or from previous demonstrations by the aircraft manufacturer or other operators of the same type and model of aircraft is available to satisfy the Authority that the applicant's procedures, equipment and training for a ditching situation are adequate, the applicant will be required to provide a simulated ditching demonstration during the operational inspection phase of the certification process for each aircraft type, model and configuration which will be operated on extended flights over water. The purpose of the demonstration is to evaluate the operator's ability to safely prepare passengers, airplane, and ditching equipment for a planned water landing. |  |  |
| 13.2.4 The following are specific points to be noted and evaluated during a simulated ditching demonstration:1. Was adequate preparation of the passengers and aircraft for a premeditated ditching conducted?
2. Were there adequate items of emergency equipment, i.e. life rafts, inflatable slides, life jackets, medical kits, first aid kits and emergency locator transmitter (ELT), carried on board in sufficient number?
3. Was emergency equipment properly stowed and could it be readily removed or ejected from the aircraft in the time specified?
4. Were means provided and utilized to prevent emergency equipment from drifting away from survivors?
5. Did slides, life jackets and life rafts inflate fully within acceptable time limits; did the slides deploy properly; and did other emergency equipment function properly?
6. Were the emergency exits to be utilized selected, and could such exits be opened readily?
7. Were emergency procedures and related checklists adequate, and were they properly used by the crew members?
8. Was the crew properly trained?
9. Were crew members familiar with and did they adhere to the timely execution of their assigned duties and responsibilities?
10. Could crew members, using available emergency equipment and following the procedures outlined in the operations manual, facilitate the evacuation of the aircraft under the critical conditions expected during the short period of time the aircraft would remain afloat?
11. Were adequate safety precautions followed by the crew members to prevent possible injury to passengers or themselves?
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| 13.2.5 In the observation of the demonstration, to assist in the assessment of the ditching demonstration, the following data will be recorded:1. Time from start of the simulated ditching demonstration until each exit door or emergency exit to be utilized was opened;
2. Time when each life raft was launched;
3. Time required to inflate each life raft; and
4. Time when life rafts were boarded by all passengers and crew members.
 |  |  |
| 13.2.6 Any deficiencies identified during the evaluation conducted by the Authority’s certification team or noted during the ditching demonstration regarding the evacuation procedures or related emergency equipment, such as inflatable slides, emergency exits and life rafts, are to be rectified by the applicant. This may require additional evaluation or demonstrations before these emergency procedures can be considered acceptable by the Authority’s certification team. |  |  |

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| **Applicant / AOC Holder(s) Declaration** |
| I declare the information given in this submission is true in every respect. |
| Signature | Name | Position in company | Date (Day / Month / Year) |

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| **CAAT Assessment Use** |
| **CAAT’s Comments, Notes and Recommendations:**  |
| Date received | Assessed by (Name/Signature) | CAAT Inspector Function | Assessment Date (Day / Month / Year) |