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| **Statement of Compliance – Chapter 5: Organisation and Facilities** |
| 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):**  | Click or tap here to enter text. |
| **Date of Submission:** | Click or tap here to enter text. |
| **List of Manuals Submitted:** Click or tap here to enter text. |
| **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). | Click or tap here to enter text. | Click or tap here to enter text. |
| Explanations and definitions of terms and words needed for the use of the manual. | Click or tap here to enter text. | Click or tap here to enter text. |
| Details of the person(s) responsible for the issuance and insertion of amendments and revisions. | Click or tap here to enter text. | Click or tap here to enter text. |
| A record of amendments and revisions with insertion dates and effective dates. | Click or tap here to enter text. | Click or tap here to enter text. |
| A statement that handwritten amendments and revisions are not permitted, except in situations requiring immediate amendment or revision in the interest of safety. | Click or tap here to enter text. | Click or tap here to enter text. |
| A list of effective pages or paragraphs. | Click or tap here to enter text. | Click or tap here to enter text. |
| A description of the distribution system for the manuals, amendments and revisions. | Click or tap here to enter text. | Click or tap here to enter text. |
| 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
 | Click or tap here to enter text. | Click or tap here to enter text. |
| Index (not mandatory but desirable) |  | Click or tap here to enter text. |

| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
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| **1 MANAGEMENT AND EXECUTIVE STAFF** |
| 1.1 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. The number and nature of the appointments may vary with the size and complexity of the organisation. An excess of managers can lead to fragmentation of responsibility and control, and to as much difficulty and inefficiency as a shortage -and a lowering of operational standards can as easily result. In general, the appointment of deputies for managerial posts should be kept to a minimum and particular care should be taken in defining their functions and responsibilities. Before an AOC can be granted, the Authority must be satisfied that the management organisation of the operator is adequate and properly matched to the operating network and commitments. | Click or tap here to enter text. | Click or tap here to enter text. |
| 1.2 The positions held by key personnel will be listed in each Air Operator Certificate, and it will be a condition of the Certificate that the Authority shall be given advance notice of any intended change in appointments or functions. | Click or tap here to enter text. | Click or tap here to enter text. |
| 1.3 The operator shall appoint an accountable manager, who has the authority for ensuring that all activities can be financed and carried out in accordance with the applicable requirements. The accountable manager shall be responsible for establishing and maintaining an effective management system | Click or tap here to enter text. | Click or tap here to enter text. |
| 1.4 A person or group of persons shall be nominated by the operator, with the responsibility of ensuring that the operator remains in compliance with the applicable requirements. Such person(s) shall be ultimately responsible to the accountable manager. | Click or tap here to enter text. | Click or tap here to enter text. |
| 1.5 The operator shall have sufficient qualified personnel for the planned tasks and activities to be performed in accordance with the applicable requirements. | Click or tap here to enter text. | Click or tap here to enter text. |
| 1.6 The operator shall maintain appropriate experience, qualification and training records to show compliance with the aforementioned tasks and activities in paragraph 1.5. | Click or tap here to enter text. | Click or tap here to enter text. |
| 1.7 The operator shall ensure that all personnel are aware of the applicable laws, regulations and procedures relevant to the exercise of their duties. | Click or tap here to enter text. | Click or tap here to enter text. |
| 1.8 The person may hold more than one of the nominated posts if such an arrangement is considered suitable and properly matched to the scale and scope of the operation:1. The acceptability of a single person holding several posts, possibly in combination with being the accountable manager, should depend upon the nature and scale of the operation. The two main areas of concern should be competence and an individual’s capacity to meet his/her responsibilities;
2. As regards competence in different areas of responsibility, there should not be any difference from the requirements applicable to persons holding only one post;
3. The capacity of an individual to meet his/her responsibilities should primarily be dependent upon the scale of the operation. However, the complexity of the organisation or of the operation may prevent, or limit, combinations of posts which may be acceptable in other circumstances;
4. In most circumstances, the responsibilities of a nominated person should rest with a single individual. However, in the area of ground operations, it may be acceptable for responsibilities to be split, provided that the responsibilities of each individual concerned are clearly defined.
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| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
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| **2 ADEQUACY AND SUPERVISION OF PERSONNEL** |
| 2.1 Adequacy and Competency of Personnel |
| 2.1.1 The operator shall employ sufficient personnel for the planned ground and flight operations. | Click or tap here to enter text. | Click or tap here to enter text. |
| 2.1.2 All personnel assigned to, or directly involved in, ground and flight operations shall:1. Be properly trained;
2. Demonstrate their capabilities in the performance of their assigned duties; and
3. Be aware of their responsibilities and the relationship of their duties to

 the operation as a whole. | Click or tap here to enter text. | Click or tap here to enter text. |
| 2.2 Supervision of Personnel |
| 2.2.1 The operator shall appoint a sufficient number of personnel supervisors, taking into account the structure of the operator’s organisation and the number of personnel employed. | Click or tap here to enter text. | Click or tap here to enter text. |
| 2.2.2 The duties and responsibilities of these supervisors shall be defined, and any other necessary arrangements shall be made to ensure that they can discharge their supervisory responsibilities. | Click or tap here to enter text. | Click or tap here to enter text. |
| 2.2.3 The supervision of crew members and personnel involved in the operation shall be exercised by individuals with adequate experience and the skills to ensure the attainment of the standards specified in the operations manual. | Click or tap here to enter text. | Click or tap here to enter text. |
| 2.3 Aircraft Crew |  |  |
| 2.3.1 It will be necessary for operators to satisfy the Authority they have a sufficient number of aircraft crew for the operations to be undertaken. The adequacy of the aircraft crew will not be assessed against a set formula, as there will clearly be a wide variation in requirements according to particular circumstances, though it will be expected that even if only one aircraft is to be operated a minimum of two properly qualified aircraft crews will be employed. In certain cases, where the volume of work undertaken is small the normal requirement concerning the number of aircraft crew employed may be relaxed. It is important, that all grades of aircraft crew should be employed full-time under a suitable service contract. The employment of part time or "freelance" aircraft crew will not be acceptable except in exceptional circumstances and with the approval of the Authority. | Click or tap here to enter text. | Click or tap here to enter text. |
| 2.3.2 Flights over routes for which a flight navigator is required will not normally be permitted unless the operator has the full-time services of a sufficient number of fully qualified and licensed Flight Navigators. If the operations are on a very small scale, one navigator may be sufficient. If the introduction of advanced pilot operated navigation aids is considered to render the carriage of a licensed Flight Navigator unnecessary for a particular route, then application to operate such a route without a licensed Flight Navigator may be submitted to the Authority and will be considered on its merits. | Click or tap here to enter text. | Click or tap here to enter text. |
| 2.3.3 Suitable arrangements must be made for the supervision of all grades of aircraft crew by persons having the experience and qualities necessary to ensure the maintenance of high professional standards. This will necessitate such appointments as Chief Pilot, Flight or Fleet Manager and in the larger organisations - Chief Navigator, Chief Flight Engineer and Chief Cabin Crew. The duties and responsibilities of these officials should be carefully defined, and their line flying commitments suitably restricted in order that they may have sufficient time for their managerial functions. | Click or tap here to enter text. | Click or tap here to enter text. |
| 2.3.4 Operators must ensure that their crew shall NOT exercise the privileges of their licences at any time when they are aware or have been told by competent medical authority, of any decrease in their medical fitness which might render them unable to safely exercise those privileges. Such decrease in fitness shall be reported immediately to the Authority. | Click or tap here to enter text. | Click or tap here to enter text. |
| 2.4 Ground Staff |
| 2.4.1 The number of staffs needed will depend primarily upon the nature and the scale of the operator’s operation. The operations and traffic departments, in particular, shall be adequately staffed with trained personnel who have a complete understanding of the nature of their duties and responsibilities. Operators shall provide any further training that may be necessary from time to time (e.g. when new types of aircraft are acquired) and the arrangements in this connection will be taken into account in the consideration of applications for the variation of Certificates. | Click or tap here to enter text. | Click or tap here to enter text. |

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| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
| **3 FACILITIES** |
| 3.1 The nature and scale of office services required - administrative staff and office equipment etc. - should be related to the numbers of executive and other staff employed. It is particularly important that office services are sufficient to ensure that operational instructions and information of all kinds are produced and circulated to all concerned without delay. | Click or tap here to enter text. | Click or tap here to enter text. |
| 3.2 In cases where the provisions of printing facilities for manuals, manual amendments and other necessary documentation is not warranted by the size of the company, the operator must show that he/she has efficient alternative arrangements. | Click or tap here to enter text. | Click or tap here to enter text. |
| 3.3 The operator should make use of appropriate ground handling facilities to ensure the safe handling of its flights, arrange operational support facilities at the operating base, appropriate for the area and type of operation and ensure that the available working space at each operating base is sufficient for personnel whose actions may affect the safety of flight operations. | Click or tap here to enter text. | Click or tap here to enter text. |
| 3.4 Consideration shall be given to the needs of ground staff, personnel concerned with operational control, the storage and display of essential records and flight planning by crews. | Click or tap here to enter text. | Click or tap here to enter text. |

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| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
| **4 ACCOMMODATION** |
| 4.1 Office space at each operating base/line station must be sufficient to provide a suitable working environment for the operating staff employed. Adequate provision must be made for the traffic staff, for operational planning, for the storage and display of essential records, and for flight planning by flight crew. If flight planning facilities for flight crew are provided by the airport authority, handling agents, the space provided by the operator can normally be reduced, but it is essential that reasonable accommodation should be made available for aircraft crew to use before and between flights. | Click or tap here to enter text. | Click or tap here to enter text. |

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| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
| **5 OPERATIONS LIBRARIES** |
| 5.1 At each operating base/line station the operator should maintain an adequate and appropriate library of maps, charts, flight guides, operations manuals and other documents needed for reference and planning purposes, and for carriage in flight. The library should be kept in an orderly fashion and responsibility for its maintenance clearly defined. | Click or tap here to enter text. | Click or tap here to enter text. |
| 5.2 Maps, charts, and flight guides held should cover the whole of the region for which the operator is, or wishes to be, certificated. | Click or tap here to enter text. | Click or tap here to enter text. |
| 5.3 Arrangements should be made for the amendment of manuals, flight guides etc., and for bringing the amendments to the notice of aircraft crews and other operating staff concerned. A record should be kept of the distribution of manuals and amendments. | Click or tap here to enter text. | Click or tap here to enter text. |

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| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
| **6 AIRCRAFT LIBRARY AND NAVIGATION BAG** |
| 6.1 There shall be an effective system to ensure that aircraft are provided with an adequate and updated library of manuals, maps and charts, flight guides checklists and other necessary documents, including data in electronic form, supported by an efficient amendment service. Content lists should be provided for making up the aircraft library and navigation bag, and aircraft drill cards should include an item requiring libraries and navigation bags to be checked before departure. | Click or tap here to enter text. | Click or tap here to enter text. |

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| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
| **7 FLIGHT STAFF INSTRUCTIONS** |
| 7.1 Flight manuals, operations manuals, and other standing instructions must be supplemented by a systematic procedure for bringing urgent or purely temporary information to the notice of aircraft crews. This should be achieved by a numbered series of flight staff instructions or crew notices issued by or under the direct authority of a senior operations official. When the issue of such a temporary instruction entails amendment of a standing instruction, the amendment should be made without undue delay and periodical checklists should be issued to show which of the temporary instructions are current. Full use should be made of these instructions to bring significant Aeronautical Information Circulars, NOTAM, changes in aerodrome operating minima, etc. to the attention of aircraft crew. | Click or tap here to enter text. | Click or tap here to enter text. |

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| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
| **8 REGULATIONS AND AERONAUTICAL INFORMATION** |
| 8.1 All flight crew, and other operating staff who may be concerned, should have access at their normal operating base to:1. Thailand AIP;
2. The Thailand Regulatory Requirement currently in force and any amendments thereto;
3. NOTAM; in particular affecting facilities over the routes, destination, enroute alternates and diversion;
4. Aeronautical Information Circulars; and
5. Flight rules of the State of the Aerodrome and the requirement to comply with these rules.
 | Click or tap here to enter text. | Click or tap here to enter text. |
| 8.2 Where this information is readily available to crew in an Aeronautical Information Service unit, it may not be necessary for the operator to duplicate the service, but it is nevertheless his responsibility to ensure that the information is available. | Click or tap here to enter text. | Click or tap here to enter text. |
| 8.3 If the normal operating base/line station is abroad, the local Aeronautical Information Publication, NOTAM and appropriate manuals shall be provided. This will be agreed with the Authority. | Click or tap here to enter text. | Click or tap here to enter text. |
| 8.4 Operators shall ensure that all employees when abroad know that they must comply with the laws, regulations and procedures of those States in which operations are conducted. | Click or tap here to enter text. | Click or tap here to enter text. |

| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
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| **9 OCCURRENCE AND FLIGHT SAFETY REPORTS** |
| 9.1 Responsibility for co-ordinating action on occurrence reports, mandatory or otherwise, and for initiating any necessary investigations should be assigned to a suitably qualified senior officer with clearly defined authority and status. Reports should be made to the Authority or local civil aviation authority through this officer by email (safetyreport@caat.or.th) or Thailand’s Aviation Safety Occurrence Reporting Portal ([www.caat.or.th/occurrence](http://www.caat.or.th/occurrence)), in accordance with the timelines set out in The Civil Aviation Authority of Thailand Requirement No.22 on “Reporting of Civil Aviation Occurrences”. | Click or tap here to enter text. | Click or tap here to enter text. |
| 9.2 Particular care should be taken to ensure that the originators of flight safety reports are informed of the action taken, and where it would be useful in the interest of safety the circumstances of the incident should be made generally known within the operator’s organisation. | Click or tap here to enter text. | Click or tap here to enter text. |

| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
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| **10 SAFETY MANAGEMENT SYSTEM** |
| 10.1 The operator shall implement a safety management system acceptable to the Authority that is based on the ICAO Doc 9859 Safety Management Manual and:1. Identifies safety hazards and assesses, controls and mitigates risks;
2. Ensures the implementation of remedial actions necessary to maintain the agreed safety performance;
3. Provides for continuous monitoring and regular assessment of the safety performance achieved;
4. Aims to make continuous improvement to the overall safety performance of the safety management system; and
5. Identifies quality management system and emergency response planning.
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| 10.2 The framework for the implementation and maintenance of a safety management system should include, as a minimum, the following 4 components and 12 elements:**1 Safety Policy and Objectives**1.1 Management Commitment and Responsibility1.2 Safety Accountabilities1.3 Appointment of Key Safety Personnel1.4 Coordination of Emergency Response Planning1.5 SMS Documentation**2 Safety Risk Management**2.1 Hazard Identification2.2 Safety Risk Assessment and Mitigation Processes**3 Safety Assurance**3.1 Safety Performance Monitoring and Measurement3.2 Management of Change3.3 Continuous Improvement of the SMS**4 Safety Promotion**4.1 Training and Education4.2 Safety Communication***Note: -*** *Guidance for the Safety Management Manual can be found in the Safety* Management *Manual (Doc9859).* | Click or tap here to enter text. | Click or tap here to enter text. |
| 10.3 A safety management system shall clearly define lines of safety accountability throughout the organisation, including direct accountability for safety on the part of senior management. | Click or tap here to enter text. | Click or tap here to enter text. |
| 10.4 Training and Communication on Safety |
| 10.4.1 Training1. All personnel should receive safety training as appropriate for their safety responsibilities.
2. The emergency response plan training and exercise should provide to the responding personnel as appropriate to their responsibilities, roles and actions for the various agencies and personnel involved in dealing with specific emergencies.
3. Recurrent training for safety and emergency response plan (ERP) should be provided on a regular basis. The coordination of ERP should be exercised as part of the periodic testing of ERP.
4. Adequate records of all safety training provided should be kept.
 | Click or tap here to enter text. | Click or tap here to enter text. |
| 10.4.2 Communication |
| 10.4.2.1 The operator should establish communication about safety matters that:1. Ensures that all personnel are aware of the safety management activities as appropriate for their safety responsibilities;
2. Conveys safety critical information, especially relating to assessed risks and analyzed hazards;
3. Explains why particular actions are taken; and
4. Explains why safety procedures are introduced or changed.
 | Click or tap here to enter text. | Click or tap here to enter text. |
| 10.4.2.2 Regular meetings with personnel where information, actions and procedures are discussed may be used to communicate safety matters. | Click or tap here to enter text. | Click or tap here to enter text. |
| 10.5 Flight Data Analysis Program The operator shall establish and maintain a flight data analysis program as part of its safety management system. The flight data analysis program shall be non-punitive and contain adequate safeguards to protect the source(s) of the data | Click or tap here to enter text. | Click or tap here to enter text. |
| 10.6 Flight Safety Documents System |  |
| 10.6.1 The operator shall establish a flight safety documents system, for the use and guidance of operational personnel, as part of its safety management system. | Click or tap here to enter text. | Click or tap here to enter text. |
| 10.6.2 The development of a flight safety documents system is a complete process, and changes to each document compromising the system may affect the entire system. The operational documents are to be consistent with each other, and consistent with current regulations, manufacturer requirements, and Human Factors principles. It is also necessary to ensure consistency across departments as well as consistency in application. Hence, the emphasis on an integrated approach, based on the notion of the operational documents as a complete system. | Click or tap here to enter text. | Click or tap here to enter text. |
| 10.6.3 The guideline is provided in Appendix K and it addresses the major aspects of the operator’s flight safety documents system development process. The guidelines are based not only upon scientific research, but also upon current best industry practices, with an emphasis on a high degree of operational relevance. | Click or tap here to enter text. | Click or tap here to enter text. |

| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
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| **11 FLIGHT PREPARATION AND OPERATIONAL FLIGHT PLANS** |
| 11.1 Flight Preparation |  |
| 11.1.1 A flight shall not be commenced until flight preparation forms have been completed certifying that the Pilot-in-Command is satisfied that:1. The aeroplane is airworthy and the appropriate certificates (i.e. airworthiness, registration) are on board the aeroplane;
2. The instruments and equipment for the particular type of operation to be undertaken, are installed;
3. A maintenance release as prescribed in Chapter 9, paragraph 7.5.2 has been issued in respect of the aeroplane;
4. The mass of the aeroplane and centre of gravity location are such that the flight can be conducted safely, taking into account the flight conditions expected;
5. Any load carried is properly distributed and safely secured;
6. A check has been completed indicating that the operating limitations of Chapter 5 can be complied with for the flight to be undertaken; and
7. The Standards of paragraph 11.3 relating to operational flight planning have been complied with.
 | Click or tap here to enter text. | Click or tap here to enter text. |
| 11.1.2 A flight to be operated in known or expected icing conditions shall not be commenced unless the aeroplane is certificated and equipped to cope such conditions. A flight to be planned or expected to operate in suspected or known ground icing conditions shall not take off unless the aeroplane has been inspected for icing and, if necessary, has been given appropriate de-icing/anti-icing treatment. Accumulation of ice or other naturally occurring contaminants shall be removed so that the aeroplane is kept in an airworthy condition prior to take-off.Note: - Guidance material is given in the Manual of Aircraft Ground De-icing/Anti-icing Operations (Doc 9640) | Click or tap here to enter text. | Click or tap here to enter text. |
| 11.2 ATS Flight Plans |  |
| 11.2.1 The operator shall complete and file to the appropriate ATS unit an ATS flight plan for each intended flight. Such ATS flight plan shall be approved and signed by the Pilot-in-Command, and, where applicable, the flight operations officer/flight dispatcher. A copy shall be kept by the operator or designated agent. | Click or tap here to enter text. | Click or tap here to enter text. |
| 11.2.2 Operational instructions involving a change in the ATS flight plan shall, when practicable, be coordinated with the appropriate ATS unit before transmission to the aeroplane.Note: - When the above coordination has not been possible, operational instructions do not relieve a pilot of the responsibility for obtaining an appropriate clearance from an ATS unit, if applicable, before making a change in flight plan. | Click or tap here to enter text. | Click or tap here to enter text. |
| 11.3 Operational Flight Plans |  |
| 11.3.1 The operator shall complete an operational flight plan for each intended flight, and supply for the use of the flight crew operational flight plan forms or prepared flight plan/logs to be used on all flights. The operational flight plan is the operator’s plan for the safe conduct of the flight based on considerations of aircraft performance, other operating limitations and relevant expected conditions on the route to be followed and at the aerodromes (or heliports, as appropriate) concerned. The operational flight plan shall be approved and signed by the Pilot-in-Command, and where applicable, the flight operations officer/flight dispatcher. A copy of the operational flight plan shall be filed with the operator or a designated agent, and left on record in a suitable place at the point of departure. The following entries should be provided for:1. Name of flight deck crew;
2. Flight number (or other designation), date, aircraft type and registration;
3. Names of reporting and turning points together with coding and frequencies of radio aids;
4. Tracks and Distances;
5. Flight times between reporting and turning points;
6. ETA, revised ETA and ATA at each reporting and turning point;
7. Minimum Safe Altitude for each stage of the flight;
8. Altimeter settings at points of departure and destination;
9. Cleared cruising altitudes or flight levels;
10. Destination alternate aerodrome and en route alternate aerodromes for extended range operations by aeroplanes with two engines (ETOPS);
11. EDTO; RVSM; MNPS; RNP; RNAV
12. Information from meteorological broadcasts;
13. A brief and simple statement of the fuel requirement and the manner in which it was computed (e.g. Three figures - fuel to destination, fuel for diversion and holding, fuel for contingencies and total fuel - would suffice);
14. If not maintained separately, a fuel log in which to record in-flight fuel checks;
15. Space for noting ATC clearances; and
16. Taxi, airborne, landing and engine-off times.
 | Click or tap here to enter text. | Click or tap here to enter text. |
| 11.3.2 Operators should ensure that the forms are properly completed for each flight and retained for a period of at least three months. | Click or tap here to enter text. | Click or tap here to enter text. |
| 11.3.3 For scheduled journeys it is desirable that operators should use a prepared navigational flight plan on which tracks, distances, minimum safe altitudes, etc. are printed. Special precautions will be necessary, of course, to ensure that amendments are incorporated as they become effective. | Click or tap here to enter text. | Click or tap here to enter text. |
| 11.4 Journey Log Book |  |
| 11.4.1 Particulars of the aircraft, its crew and each journey shall be retained for each flight, or series of flights, in the form of a journey log, or equivalent. | Click or tap here to enter text. | Click or tap here to enter text. |
| 11.4.2 “Journey log or equivalent” means that the required information may be recorded in documentation other than a log book, such as the operational flight plan or the aircraft technical log. | Click or tap here to enter text. | Click or tap here to enter text. |
| 11.4.3 The aircraft journey log, or equivalent, should include the following items, where applicable:1. Aircraft nationality and registration;
2. Date;
3. Name(s) of crew member(s);
4. Duty assignments of crew member(s);
5. Place of departure;
6. Place of arrival;
7. Time of departure;
8. Time of arrival;
9. Hours of flight;
10. Nature of flight (scheduled or non-scheduled);
11. Incidents, observations, if any;
12. Signature of person in charge.
 | Click or tap here to enter text. | Click or tap here to enter text. |
| 11.4.4 Entries in the journey log book should be made currently and in ink or indelible pencil. The information, or parts thereof, may be recorded in a form other than on printed paper. Accessibility, usability and reliability should be assured and completed journey log book should be retained to provide a continuous record of the last six months’ operations. | Click or tap here to enter text. | Click or tap here to enter text. |
| 11.5 Voyage Reports/Records |  |
| 11.5.1 The Operator shall maintain a Report/Record for all flights undertaken. The Voyage Report/Record shall be completed by the Pilot-in-Command of the flight and retained by the operator for a period of at least 6 months. The Voyage Report/Record shall include the following information:1. Names of all crew, their duty assignments and in-flight rest times (as applicable);
2. Details of the flight undertaken, such as date, flight number; and
3. Significant times of the flight such as pushback, taxi, take off, landing and chocks on.

Note: - All times shall be in UTC. | Click or tap here to enter text. | Click or tap here to enter text. |
| 11.5.2 The Voyage Report/Record shall be signed by the Pilot-in-Command of the flight who shall be responsible for the accuracy of the data entered thereon. All entries shall be made in indelible ink or indelible pencil. | Click or tap here to enter text. | Click or tap here to enter text. |
| 11.6 Records of Emergency and Survival Equipment Carried |
| 11.6.1 The operator shall have available for immediate communication to rescue co-ordination centres lists containing information on the emergency and equipment carried on board any of their aircraft engaged in international air navigation. The information shall include, as applicable, the number, color and type of life rafts and pyrotechnics, details of emergency medical supplies, water supplies and the type and frequencies of the emergency portable radio equipment. | Click or tap here to enter text. | Click or tap here to enter text. |

| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
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| **12 PILOT-IN-COMMAND'S FLIGHT BREIF** |
| 12.1 For flights on routes not normally flown, Pilots-in-Command must be provided with a suitable brief, a copy of which should be retained by the operator for at least three months. The brief should include guidance on the schedule to be maintained and on all operational aspects of the voyage not fully covered in the operations manual - including in particular details of the routes to be flown, specific aerodrome operating minima for all aerodromes (including alternates) likely to be used, and details of the navigation and terrain clearance procedures to be used. | Click or tap here to enter text. | Click or tap here to enter text. |

| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
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| **13 NAVIGATION** |
| 13.1 Operators will be expected to supply, for the use of flight crews, navigation flight plan forms or prepared flight plan/logs to be used on all flights, except those sectors flown both regularly and of less than 45 minutes duration in Visual Meteorological Conditions (VMC) within a radius of 50 nm of the aerodrome and helicopter flights on-shore in VMC. The following entries in particular should be provided for: 1. Names of flight crew;
2. Flight number or other designation, date, aircraft type and registration;
3. Names of reporting and turning points together with coding and frequencies of radio aids; latitude and longitude should be included, if use is to be made of navigation systems;
4. Tracks and distances between reporting and turning points; tracks should be magnetic, unless true or grid are more appropriate to the nature of the flight, and designated magnetic, true or grid as required;
5. Route winds where appropriate;
6. Flight times between reporting and turning points;
7. ETA, revised ETA and ATA at each reporting and turning point;
8. Minimum safe altitude for each stage of the flight;
9. Cleared cruising altitudes or flight levels;
10. A brief and simple statement of the fuel requirement and the manner in which it was computed e.g. Sector fuel, alternate fuel, contingency fuel and holding fuel, all shown separately;
11. Altimeter settings at point of departure and destination;
12. Airfield information used in performance calculations;
13. Information from meteorological broadcasts;
14. If not maintained separately, a fuel log in which to record the in-flight fuel checks;
15. Space for noting ATC clearances; and
16. Taxi, airborne, landing and engine-off times.
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| 13.2 Operators should ensure that the forms are properly completed for each flight. | Click or tap here to enter text. | Click or tap here to enter text. |
| 13.3 Operators should ensure that detailed instructions are specified on procedures to be adopted in setting up navigation systems. Such information should include:1. Initialisation procedures;
2. Comparison of standard routes against flight plans;
3. Insertion of random routes;
4. Cross-checking of random route waypoints, tracks and distances;
5. Accuracy checks prior to entering areas where on-board navigation equipment cannot be monitored by external sources;
6. Gross navigation error checks;
7. Checks to be carried out after re-programming in flight; and
8. Procedures to be followed in the event of navigation system failures.
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| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
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| **14 GROUND HANDLING OPERATIONS** |  |
| 14.1 The operator shall establish an organisational structure which includes the safety accountability, authorities and responsibilities of management and non-management personnel that perform functions relevant to the safety and/or security of ground handling operations. The organisational structure shall also specify:1. The levels of management with the authority to make decisions regarding risk tolerability with respect to the safety and/or security of ground handling operations;
2. Responsibilities for ensuring ground handling operations are conducted in accordance with applicable regulations and standards of the Operator;
3. Lines of accountability throughout ground handling operations, including direct accountability for safety and/or security on the part of ground handling operations senior management.
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| 14.2 The line of responsibilities should be clearly defined for ground handling operations functions associated with, but not limited to, the following:1. Ramp Operations;
2. Passenger Handling;
3. Baggage Handling;
4. Cabin services;
5. Weight and balance control;
6. Ground support equipment;
7. Fuel services; and
8. Dangerous Goods.
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| 14.3 The Operator shall have a process or procedure for the delegation of duties within the management system for ground handling operations that ensures managerial continuity is maintained when operational managers including, if applicable, post holders are unable to carry out work duties. | Click or tap here to enter text. | Click or tap here to enter text. |
| 14.4 The Operator shall have a communication system that enables an effective exchange of information relevant to the conduct of ground handling operations throughout the management system for ground handling operations and in areas where ground handling operations are conducted. | Click or tap here to enter text. | Click or tap here to enter text. |
| 14.5 The Operator shall ensure operational positions within the scope of ground handling operations are filled by personnel on the basis of knowledge, skills, training and experience appropriate for the position. | Click or tap here to enter text. | Click or tap here to enter text. |
| 14.6 Ground handling operation instructions. As applicable to the operation: |  |
| 14.6.1 Aircraft, passengers and cargo handling procedures related to safety.  A description of the handling procedures to be used when allocating seats, embarking and disembarking passengers and when loading and unloading the aircraft. Further procedures, aimed at achieving safety whilst the aircraft is on the ramp, should also be given. Handling procedures should include:1. Ramp Operations
2. Operation of aircraft doors;
3. Loading and securing of items in the aircraft;
4. Documents and forms for aircraft handling;
5. Special loads and classification of load compartments;
6. Safety on the aerodrome/operating site, including fire prevention and safety in blast and suction areas;
7. Start-up, ramp departure and arrival procedures, including, for aircraft, push-back and towing operations; and
8. Security on ramp.
9. Passenger Handling
10. Special categories of passengers, including children/infants, persons with reduced mobility, inadmissible passengers, deportees and persons in custody.
11. Baggage Handling
12. Permissible size and weight of hand baggage; and
13. Baggage transferring to/from aircraft and sorting areas.
14. Cabin services
15. Weight and balance controls
16. Weight and balance controls are detailed in Chapter 3, Aircraft Loading
17. Ground support equipment
18. Positioning of ground equipment; and
19. Servicing of aircraft.
20. Fuel services, Fuelling procedures. A description of fuelling procedures, including:
21. Safety precautions during refuelling and defueling including when an auxiliary power unit is in operation or when rotors are running or when an engine is or engines are running and the prop-brakes are on;
22. Refuelling and defueling when passengers are embarking, on board or disembarking; and
23. Precautions to be taken to avoid mixing fuels.
24. Dangerous Goods
25. Acceptance;
26. Dangerous goods transport document;
27. Provision of information;
28. Loading and Stowage;
29. Inspection for damage and leakage;
30. Securing of dangerous goods cargo loads;
31. Removal of contamination; and
32. Reporting of dangerous goods accident, incident and occurrences.
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| 14.6.2 Procedures for the refusal of embarkation. Procedures to ensure that persons who appear to be intoxicated, or who demonstrate by manner or physical indications that they are under the influence of drugs, are refused embarkation. This does not apply to medical patients under proper care. | Click or tap here to enter text. | Click or tap here to enter text. |
| 14.6.3 De-icing and anti-icing on the ground A description of the de-icing and anti-icing policy and procedures for aircraft on the ground should include descriptions of the types and effects of icing and other contaminants on aircraft whilst stationary, during ground movements and during take-off. | Click or tap here to enter text. | Click or tap here to enter text. |
| 14.6.4 Ground Handling Operations with Passengers on board in the absence of flight crew members, whenever passengers are embarking, on board or disembarking in the absence of flight crew members, the operator should:1. Establish procedures to alert the aerodrome services in the event of ground emergency or urgent need; and
2. Ensure that at least one person on board the aircraft is qualified to apply these procedures and ensure proper coordination between the aircraft and the aerodrome services.
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| 14.7 Operational Manuals for Ground Handling Operations |
| 14.7.1 The operator shall describe in its Operations Manual, which may be issued in separate parts, the operational policies, processes, procedures and other information necessary for ground handling personnel to perform their duties and be in compliance with applicable regulations, laws, rules and standards of the operator. | Click or tap here to enter text. | Click or tap here to enter text. |
| 14.7.2 The operator shall ensure the current edition of the Operations Manual is available in a usable format at each location where ground handling operations are conducted. | Click or tap here to enter text. | Click or tap here to enter text. |
| 14.8 Quality Control of Service Provided / Contracted / Outsourced Operations and Products |
| 14.8.1 The operator shall maintain permanently its ground handling operations responsibility when all or part of the functions and tasks related to ground handling operations services have been contracted to a service provider. | Click or tap here to enter text. | Click or tap here to enter text. |
| 14.8.2 A written agreement should exist between the operator and the contracted organisation clearly defining the contracted activities and the applicable requirements. | Click or tap here to enter text. | Click or tap here to enter text. |
| 14.8.3 The contracted safety-related activities relevant to the agreement should be included in the operator's safety management and compliance monitoring programs. | Click or tap here to enter text. | Click or tap here to enter text. |
| 14.8.4 The ultimate responsibility for the product or service provided by external organisations should always remain with the operator. | Click or tap here to enter text. | Click or tap here to enter text. |
| 14.9 Training and Qualification |
| 14.9.1 The operator shall establish aircraft ground handling training requirements, handling processes, procedures and practices for all ground handling operations.  | Click or tap here to enter text. | Click or tap here to enter text. |
| 14.9.2 The Operator shall have a process to ensure personnel that perform operational duties in functions within the scope of ground handling operations for the Operator, to include personnel of external service providers. | Click or tap here to enter text. | Click or tap here to enter text. |
| 14.9.3 The Operator shall have a process to ensure completion of required training by personnel that perform operational duties in functions within the scope of ground handling operations for the Operator is recorded and such records are retained. | Click or tap here to enter text. | Click or tap here to enter text. |

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| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
| **15 OPERATIONAL CONTROL** |  |
| 15.1 The operators shall establish the operational control system in accordance with the Appendix O of this document. | Click or tap here to enter text. | Click or tap here to enter text. |

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| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
| **16 TRAINING ON HUMAN FACTORS AND CREW RESOURCE MANAGEMENT** |  |
| 16.1 The operator shall establish and implement a human factor and crew resource management training program for all operating staff. These training programs shall be regularly reviewed and updated, as appropriate, to keep abreast of industry standards. Operating staff is defined in the Authority Regulatory Requirements as the employees and agents employed by the operator, whether or not as members of the crew of the aircraft, to ensure that the flights of the aircraft are conducted in a safe manner. | Click or tap here to enter text. | Click or tap here to enter text. |
| 16.2 The training shall include, but should not be limited to, the following topics:1. Communications.
2. Situational awareness.
3. Problem-solving / decision-making / judgement.
4. Leadership / following.
5. Stress management.
6. Critique.
7. Interpersonal skills.
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| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
| **17 RESCUE AND FIRE FIGHTING SERVICE** |  |
| 17.1 The operator of an aeroplane shall, as part of its safety management system, assess the level of Rescue and Fire Fighting Service (RFFS) protection available at aerodrome(s) specified in the operational flight plan to ensure that an acceptable level of protection is available for the aeroplane intended to be used. | Click or tap here to enter text. | Click or tap here to enter text. |
| 17.2 Information related to the level of RFFS protection that is deemed acceptable by the operator shall be contained in the operations manual. | Click or tap here to enter text. | Click or tap here to enter text. |

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| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
| **18 FLIGHT OPERATIONS WITH KNOWN OR FORECASTED VOLCANIC ASH CONTAMINATION** |  |
| 18.1 For operation into airspace or aerodrome that is forecasted or known to be contaminated with volcanic ash, the operator shall have, for the guidance of its flight dispatch and operational control and in-flight management, documented procedures and safety risk assessment processes within its safety management system accepted by the Authority.*Note 1:- Guidance on the risk management of flight operations in known or forecasted volcanic ash contamination can be found in the Flight Safety and Volcanic Ash (Doc 9974)**Note2: - Procedures recommended for use by pilots whose aircraft have inadvertently encountered a volcanic ash cloud and for post-flight reporting can be found in the Volcanic Ash, Radioactive Material and Toxic Chemical Clouds Manual (Doc 9691).* | Click or tap here to enter text. | Click or tap here to enter text. |

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| **CAAT Requirement** | **Manual References / Applicant’s Comments** | **CAAT Notes** |
| **19 ARRANGEMENTS FOR ENGINEERING AND MAINTENANCE SUPPORT** |  |
| 19.1 Dangerous Goods for Engineering/Store staff Awareness of requirements by staff responsible for shipping replacements for equipment of the operator and training where applicable Whether or not operators hold dangerous goods approval shall establish appropriate procedures to ensure that aircraft spares and supplies are transported in accordance with the Technical Instructions, whether by the company’s own Engineering Stores, or by other contractors.  Operators shall ensure their Engineering/Stores staff are aware of requirements in respect of replacements or unserviceable items and keep their record as a receiving and shipping platform as follows;1. Aircraft spares and consumables that are dangerous goods have been identified as such.
2. Aircraft spares and consumables that are dangerous goods after being removed from aircraft are identified as such.

 Any such dangerous goods articles or substances are only shipped in compliance with the ICAO Technical Instructions. An operator that ships aircraft spares meet the criteria of dangerous goods must comply with the shipper’s responsibilities states in ICAO Technical Instruction (TI).  Maintenance stores/engineering staff of the operator have received dangerous goods training commensurate with their responsibilities.  An operator not holding a permanent approval to non-carry dangerous goods shall not ship or transport their aircraft spare parts containing dangerous goods on board an aircraft. | Click or tap here to enter text. | Click or tap here to enter text. |

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| **Applicant / AOC Holder(s) Declaration** |
| I declare the information given in this submission is true in every respect. |
| Signature | Click or tap here to enter text.Name | Click or tap here to enter text.Position in company | Choose an item.Date (Day / Month / Year) |

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| **CAAT Assessment Use** |
| **CAAT’s Comments, Notes and Recommendations:** Click or tap here to enter text. |
| Click or tap to enter a date.Date received | Click or tap here to enter text.Assessed by (Name/Signature) | Click or tap here to enter text.CAAT Inspector Function | Click or tap to enter a date.Assessment Date (Day / Month / Year) |