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| **CAAT**<br>สำนักงานการบินพลเรือนแห่งประเทศไทย<br>The Civil Aviation Authority of Thailand | Checklist Number: _____OPS-CLOMI-403_____<br>Checklist Name: _____OPS – Quality Management System_____<br>Applicability: _____<br>Location: _____ Date: _____ |

| No | Subject | Reference | S | U | N/A | Comment |
|---|---|---|---|---|---|---|
| 1 | **Organization of Compliance Monitoring** | | | | | |
| 1.1 | General | | | | | |
| 1.1.1 | Is the compliance monitoring function structured according to the size of the organization and the complexity of the activities to be monitored?<br><br>(a)  Quality System organization chart<br>(b)  Lines of responsibilities and coordination process<br>(c)  Number of quality personnel?<br>(d)  Are all areas in the organization covered?<br>(e)  Ultimate responsibility for the effectiveness of the compliance monitoring function, even for subcontractors?<br>(f)  Who is responsible for monitoring compliance with the relevant CAAT requirements and other applicable regulations?<br>(g)  Reporting lines of auditors | AOCR Iss.02 Rev.01 Ch.1 Item 7.5, App. Q Item 1.1 | | | | |
| 1.1.2 | **Quality Management Organization Structure**<br><br>Does the current structure reflect what is written in the relevant manual(s)? | AOCR Iss.02 Rev.01 Ch. 1 Item 7.5, App. Q Item 2 | | | | |
| 1.1.3 | **Head of Quality/ Quality Manager**<br><br>Does the Head of Quality/ Quality Manager ensure that the compliance monitoring program is properly implemented, maintained and continually reviewed and improved. | AOCR Iss.02 Rev.01 App. Q Item 2.2 | | | | |
| 1.1.4 | Does/is the Head of Quality/ Quality Manager:<br><br>(a) Have direct access to the accountable manager<br>(b) Able to demonstrate relevant knowledge, background and appropriate experience related to the activities of the operator, including knowledge in quality management system and experience in compliance monitoring; and<br>(c) Have relevant knowledge and understanding of regulatory requirements.<br>(d) Have access to all parts of the operator, and as necessary, any contracted operator. | AOCR Iss.02 Rev.01 App. Q Item 2.3 | | | | |
| 1.1.5 | **Is there a compliance monitoring programme describing:**<br>(a) Schedule of the monitoring programme;<br>(b) Audit Procedures;<br>(c) Reporting Procedures;<br>(d) Follow-up and corrective action procedures; and | AOCR Iss.02 Rev.01 Ch. 1 Item 7.5, App. Q Item 1.1, 1.2, 2.8 (b) (v) | | | | |

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| | (e) Recording System<br>(f) Contracting/outsourcing control process | | | | | |
| 1.1.6 | Does the operator monitor compliance with the procedures they have designed to ensure safe activities? As a minimum, and where appropriate, do they monitor compliance with:<br>(a) Privileges of the operator;<br>(b) Manuals, logs, and records;<br>(c) Training standards; and<br>(d) Management system procedures.<br><br>Does the compliance monitoring system include a direct feedback system of findings to the accountable manager? | AOCR Iss.02 Rev.01 App. Q Item 1.2 | | | | |
| 1.1.7 | Does the operator monitor compliance with the operational procedures they have designed to ensure safe operations, airworthy aircraft, and the serviceability of both operational and safety equipment?<br><br>Where appropriate, the following should be covered as minimum;<br>(a) Operational Procedures;<br>(b) Flight Safety Procedures;<br>(c) Operational Control and Supervision;<br>(d) Aircraft Performance;<br>(e) All-Weather Operations;<br>(f) Communications and Navigational Equipment and Practices;<br>(g) Mass and Balance, And Aircraft Loading;<br>(h) Instruments and Safety Equipment;<br>(i) Ground Operations;<br>(j) Flight and Duty Time Limitations, Rest Requirements, And Scheduling;<br>(k) Aircraft Maintenance/Operations Interface;<br>(l) Use of The MEL;<br>(m) Flight Crew;<br>(n) Cabin Crew;<br>(o) Flight Operations Officer / Flight Dispatcher<br>(p) Dangerous Goods;<br>(q) Security;<br>(r) Safety Management System<br>(s) Flight Safety Documentation System; And<br>(t) Contracting / Outsourcing Control | AOCR Iss.02 Rev.01 App. Q Item 1.2, 2.9 | | | | |
| 1.1.8 | **Independence of Compliance Monitoring Functions**<br><br>Have the independence of the compliance monitoring functions been established by ensuring that audits and inspections are carried out by | AOCR Iss.02 Rev.01 App. Q Item 2.5 | | | | |

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| | personnel who are not responsible for the function, procedure, or products being audited? | | | | | |
| 1.1.9 | Auditors<br><br>(a) Does the operator appropriately appoint the auditor based on his/her knowledge, background and experience related to the audited activities?<br>(b) Does the operator ensure the auditor has knowledge and experience in compliance monitoring?<br>(c) Does the operator have adequate supply of auditors covering all area?<br>(d) Does the operator maintain auditor list showing names, their areas of competences and the relevant training (level and currency)?<br>(e) Are the auditors independent from the area(s) they audit? | AOCR Iss.02 Rev.01 App. Q Item 1.1, 2.5 | | | | |
| 1.1.10 | External Auditors<br><br>In case external personnel is used to perform compliance audits or inspections:<br>(a) Any such audits or inspections are performed under the responsibility of the Head of Quality/ Quality Manager; and<br>(b) Do external personnel have relevant knowledge, background, and experience as appropriate to the activities being audited or inspected. | AOCR Iss.02 Rev.01 App. Q Item 2.6 | | | | |
| 2 | **Effectiveness of Compliance Monitoring System** | | | | | |
| 2.1 | **Audit Schedule** | | | | | |
| 2.1.1 | Has the operator published an audit schedule in accordance with its published procedures?<br>(a) Period/frequency of audit<br>(b) Follow-up audits<br>(c) Outstations, subcontractors (including wet lease) audits<br>(d) Coverage of areas not covered in the previous schedule | AOCR Iss.02 Rev.01 App. Q Item 2.8 (b) (vi) (1) | | | | |
| 2.1.2 | Does the audit schedule adequately cover all required areas?<br>(a) List of items/areas to be audited?<br>(b) How audit frequency/cycles are established (considering specific areas or activities) | AOCR Iss.02 Rev.01 App. Q Item 1.1 (b), 2.8 (b) (vi) (1) | | | | |
| 2.1.3 | Has the operator achieved the planned audits & inspections? | AOCR Iss.02 Rev.01 App. Q Item 1.1 (b), 2.8 (b) (vi) (1) | | | | |
| 2.2 | **Audits and Inspections** | | | | | |
| 2.2.1 | Are audits and inspections supported by suitable guidance and checklists? | AOCR Iss.02 Rev.01 App. Q Item 1.1 (b), 2.8 (b) | | | | |
| 2.2.2 | Is the scope of each audit/inspection adequate for the subject area? | AOCR Iss.02 Rev.01 | | | | |

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| | | App. Q Item 1.1 (b), 2.8 (b) (vi) (1) | | | | |
| 2.2.3 | Are audits & inspections recorded fully in a defined reporting format/form? | AOCR Iss.02 Rev.01 App. Q Item 2.8 (b) (vi) (5) | | | | |
| 2.2.4 | Are reports completed within a suitable and defined timescale? | AOCR Iss.02 Rev.01 App. Q Item 2.7, 2.8 (b) (vi) (3) | | | | |
| 2.2.5 | Is there a system for classifying and reporting non-conformities, in terms of seriousness/severity? | AOCR Iss.02 Rev.01 App. Q Item 2.7, 2.8 (b) (vi) (2),(3) | | | | |
| 2.3 | **Follow-up** | | | | | |
| 2.3.1 | How are audit & inspection reports processed? | AOCR Iss.02 Rev.01 App. Q Item 2.7, 2.8 (b) (vi) (3), (4) | | | | |
| 2.3.2 | How is the root cause of non-conformity determined? | AOCR Iss.02 Rev.01 App. Q Item 2.7, 2.8 (b) (vi) (3), (4) | | | | |
| 2.3.3 | How are non-conformities assigned for corrective and preventative action? | AOCR Iss.02 Rev.01 App. Q Item 2.7, 2.8 (b) (vi) (3), (4) | | | | |
| 2.3.4 | How is the Accountable Manager made aware of the status of non-conformities? | AOCR Iss.02 Rev.01 Ch.1 7.5, App. Q Intro., Item 2.3 (a) | | | | |
| 2.3.5 | Are non-conformities being closed within the defined time-scales? | AOCR Iss.02 Rev.01 App. Q Item 2.2, 2.7 | | | | |
| 2.3.6 | Are corrective and preventative actions adequate? How is effectiveness measured? | AOCR Iss.02 Rev.01 App. Q Item 2.2, 2.7 | | | | |
| 2.3.7 | Does the system incorporate non-conformities identified by: (a) the Safety Management System? (b) the CAAT? (c) foreign ramp inspections? (d) external contractors? | AOCR Iss.02 Rev.01 App. Q Item 1.1, 2.1 | | | | |
| 2.4 | **Management Evaluation** | | | | | |
| 2.4.1 | How does the Accountable Manager evaluate the output of the Quality system? | AOCR Iss.02 Rev.01 App. Q Item 2.7, 2.8 (b) (ix) | | | | |
| 2.4.2 | Are evaluation meetings scheduled, achieved & fully attended by key managers including the Accountable Manager? | AOCR Iss.02 Rev.01 App. Q Item 2.7, 2.8 (b) (ix) | | | | |
| 2.4.3 | Are compliance trends identified and discussed? | AOCR Iss.02 Rev.01 App. Q Item 2.7, 2.8 (b) (ix) | | | | |
| 2.4.4 | Are the meetings recorded/minuted? What do the records/minutes indicate about the effectiveness of management evaluation? | AOCR Iss.02 Rev.01 App. Q Item 2.7, 2.8 (b) (ix) | | | | |

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| 2.4.5 | Do the meetings result in agreed and enforceable actions by key managers? | AOCR Iss.02 Rev.01 App. Q Item 2.7, 2.8 (b) (ix) | | | | |
| 2.5 | **Quality System Training** | | | | | |
| 2.5.1 | **Quality Training for Staffs**<br><br>(a) Correct and thorough training?<br>(b) Personnel involved in compliance monitoring functions receive training on the task(s)?<br>(c) Is time provided to train all personnel involved in the Quality Management System and for briefing the remainder of the personnel<br>(d) Are the allocation of time and resources governed by the volume and complexity of the activities? | AOCR Iss.02 Rev.01 App. Q Item 2.8 (c) | | | | |
| 2.5.2 | Training On-the-Job | AOCR Iss.02 Rev.01 App. Q Item 2.8 (c) | | | | |
| 2.5.3 | Training for Quality Auditors | AOCR Iss.02 Rev.01 App. Q Item 2.8 (c) | | | | |
| 2.5.4 | Training for Quality Staff | AOCR Iss.02 Rev.01 App. Q Item 2.8 (c) | | | | |
| 2.5.5 | Quality Communication (e.g. quarterly quality newsletters, quality reports) | AOCR Iss.02 Rev.01 App. Q Item 2.8 (c) | | | | |
| 2.5.6 | Preservation of Records | AOCR Iss.02 Rev.01 App. Q Item 2.8 (b), (c) | | | | |
| 2.6 | **Records Control** | | | | | |
| 2.6.1 | Records Control Process and Procedures | AOCR Iss.02 Rev.01 App. Q Item 1.1, 1.2, 2.8 (b) (vi) (5) | | | | |
| 2.6.2 | Quality Inspection of Records | AOCR Iss.02 Rev.01 App. Q Item 1.1, 1.2, 2.8 (b) (vi) (5) | | | | |
| 2.6.3 | Disposition of Records | AOCR Iss.02 Rev.01 App. Q Item 1.1, 1.2, 2.8 (b) (vi) (5) | | | | |
| 2.6.4 | Back-up of Electronic Records | AOCR Iss.02 Rev.01 App. Q Item 1.1, 1.2, 2.8 (b) (vi) (5) | | | | |
| 2.6.5 | Preservation of Records | AOCR Iss.02 Rev.01 App. Q Item 1.1, 1.2, 2.8 (b) (vi) (5) | | | | |
| 2.7 | **Outsourcing Control** | | | | | |
| 2.7.1 | Outsourcing Control Process | AOCR Iss.02 Rev.01 App. Q Item 1.1, 1.2, 2.8 (b) (vi) (6), 2.9 (t) | | | | |
| 2.7.2 | Preservation of Records | AOCR Iss.02 Rev.01 App. Q Item 1.1, 1.2, 2.8 (b) (vi) (5), 2.8 (b) (vi) (6) | | | | |

S = Satisfied

U= Unsatisfied

N/A= Not Applicable

Comment= Description the detail of compliance or Non Compliance or other information

Inspector Name:......................................................................................

(.............................................................................)

Position:................................................................................................

Completed on:.......................................................................................