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| --- |
| **THE CIVIL AVIATION AUTHORITY OF THAILAND****TRAINING ORGANISATION AUDIT CHECKLIST - ATCTO** |
| **Name of Training Organisation:** | ***Fill by ATO*** |
| **Address:**  | ***Fill by ATO*** |
| **Type of Organisation:** | **ATCTO** | **ATO certificate no:** | ***Fill by ATO*** | **Expiry Date:** | ***Fill by ATO*** |
| **Course Approval:**  | ***1.Aerodrome Control Rating******2.Approach Control Procedural Rating******3.Approach Control Surveillance Rating******4.Area Control Procedural Rating******5.Area Control Surveillance Rating*** |  |
| **Accountable Manager** | ***Fill by ATO*** | **Email:** **Tel:** | ***Fill by ATO*** |
| **Type of Audit**  |  | Initial Certification |  | Planned Surveillance | **Date of Inspection / Audit** |  |
|  | Renewal Certification |  | Unplanned Inspection |
| **FOR ORGANISATION** | **FOR CAAT OFFCIALS** |
| By signing below, I, as an authorised person of ***Fill by ATO*** hereby confirm that the information given on the self-assessment as well as the document attached herewith the checklist are entirely true, accurate, and complete. If it appears that any submitted information or document found to be untrue, false or obscure, I admit that CAAT has an authorization to suspend or revoke the Approval Certification, or refuse to accept any learning outcomes from my ATCTO. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(***Fill by ATO***) **Date:**  |

|  |  |  |  |
| --- | --- | --- | --- |
| **No** | **Position** | **Name – Last Name** | **Signature** |
| 1. | Lead Auditor  |  |  |
| 2. | Auditor |  |  |
| 3. | Auditor |  |  |
| 4. | Auditor |  |  |

**Date:**  |

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| **Instructions**1. **‘Yes’** refers to satisfactory level. It shall be given if the ATO is able to provide valid documents, reliable records of implementation and demonstrate a sound knowledge if interview of relevant personnel are performed. Also, all sub-items must be satisfied.
2. **‘No’** shall be given if any actions found not to be compliance with CAAT rules and regulations or not to be conformed to any ATO’s documentations as well as any actions being done without evidence of records.
 |

**SECTION 0: GENERAL INFORMATION OF THE ATO**

| No | Key Positions | Name-Last Name | Date of Appointment |
| --- | --- | --- | --- |
| 1 | Accountable Manager | ***Fill by ATO*** | ***Fill by ATO*** |
| 2 | Director of Aeronautical Services Training Division | ***Fill by ATO*** | ***Fill by ATO*** |
| 3 | Quality Manager  | ***Fill by ATO*** | ***Fill by ATO*** |
| 4 | Instructor | ***Fill by ATO*** | ***Fill by ATO*** |
| 5 | Instructor | ***Fill by ATO*** | ***Fill by ATO*** |

| No | Course Approval  | Date of Approval |
| --- | --- | --- |
| 1 | ***Fill by ATO*** | ***Fill by ATO*** |
| 2 | ***Fill by ATO*** | ***Fill by ATO*** |
| 3 | ***Fill by ATO*** | ***Fill by ATO*** |
| 4 | ***Fill by ATO*** | ***Fill by ATO*** |
| 5 | ***Fill by ATO*** | ***Fill by ATO*** |
| 6 | ***Fill by ATO*** | ***Fill by ATO*** |
| 7 | ***Fill by ATO*** | ***Fill by ATO*** |
| 8 | ***Fill by ATO*** | ***Fill by ATO*** |

| No | Title of controlled Document  | Current Issue no. | Date of Approval |
| --- | --- | --- | --- |
| 1 | ***Fill by ATO*** | ***Fill by ATO*** | ***Fill by ATO*** |
| 2 | ***Fill by ATO*** | ***Fill by ATO*** | ***Fill by ATO*** |
| 3 | ***Fill by ATO*** | ***Fill by ATO*** | ***Fill by ATO*** |
| 4 | ***Fill by ATO*** | ***Fill by ATO*** | ***Fill by ATO*** |
| 5 | ***Fill by ATO*** | ***Fill by ATO*** | ***Fill by ATO*** |
| 6 | ***Fill by ATO*** | ***Fill by ATO*** | ***Fill by ATO*** |
| 7 | ***Fill by ATO*** | ***Fill by ATO*** | ***Fill by ATO*** |
| 8 | ***Fill by ATO*** | ***Fill by ATO*** | ***Fill by ATO*** |
| 9 | ***Fill by ATO*** | ***Fill by ATO*** | ***Fill by ATO*** |
| 10 | ***Fill by ATO*** | ***Fill by ATO*** | ***Fill by ATO*** |

| No | Training Device(s) | Registration No and Type/Serial Number | Qualification | Sim Certificate no. and Expiry Date |
| --- | --- | --- | --- | --- |
| 1 | Simulator | ***Fill by ATO*** |  ***Fill by ATO*** | ***Fill by ATO*** |
| 2 |  |  |  |  |

**SECTION 1: ORGANISATION & STAFFING IMPLEMENTATION**

**Date of Audit: Day 1,**

| **NO.** | **Check List Item** | **Ref: Regulatory Requirements**  | **Compliance Reference*****Eg. Section 1, Part 4, No. 5 Organisational Structure, p. xx*** | **CAAT USE ONLY** |
| --- | --- | --- | --- | --- |
| **Yes** | **No** | **Remarks** |
| 1 Op | Does the ATO have an appropriate organisational structure?  | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 5(4)* |  |  |  | N/A |
| 2 | Has the ATO described clear responsibility and accountability of key personnel? i.e. Management positions, instructors, examiners etc.  | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 5(4); Clause 6(2), (3), (4); Clause 12(3)* |  |  |  | N/A |
| 3 | Has the ATO employed sufficient qualified personnel for the planned tasks and activities to be performed in accordance with the applicable requirement?  | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 6(3)* |  |  |  | N/A |
| 4 | Has the ATO employed qualified practical and theoretical instructors relevant to the courses provided? | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 6 (4); Clause 12(9);**Notification of CAAT; Approval of Air Traffic Control Training Course B.E. 2559, Clause 5(4);**Notification of CAAT; Approval of Air Traffic Control Training Course B.E. 2559, Clause 6(3)* |  |  |  | N/A |
| 5 | Has the ATO established a procedure to maintain competence of the instructors?   | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 6 (4); Clause 12 (3), (9).*  |  |  |  | N/A |
| 6 | Has the ATO controlled training quality?  | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 6 (3)* |  |  |  | N/A |
| 7 | Does the ATO have a function to monitor compliance with the applicable regulatory requirement and any additional requirements by the ATO? | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 12 (5)* |  |  |  | N/A |
| **General Comments:** |

**SECTION 2: TRAINING PROCEDURES**

**Date of Audit:**

| **NO.** | **Check List Item** | **Ref: Regulatory Requirements**  | **Reference*****Eg. Section 1, Part 4, No. 5 Organisational Structure, p. xx*** | **CAAT USE ONLY** |
| --- | --- | --- | --- | --- |
| **Yes** | **No** | **Remarks** |
| 1 | Does the ATO have an approved, up-to-date amended TPM?  | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 5; Clause 12 (3)* |  |  |  |  |
| 2 | Has the ATO documented any changes/amendments of its TPM?  | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 5; Clause 12 (3)* |  |  |  |  |
| 3 | Has the ATO made any changes correctly as recorded in the Documentation Amendment Record?  | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 5; Clause 12 (3)* |  |  |  |  |
| 4 | Has the ATO distributed updated TPMs to all parties listed in the distribution list? | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 5; Clause 12 (3)* |  |  |  |  |
| 5 | Does the ATO have all offered Course Manuals? | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 6(5)* |  |  |  |  |

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| 6 | Do the training plans indicate basic training/rating training, comprising of the subjects prescribed in the CAAT-ATCC B.E.2559, Course Content?  | *Notification of CAAT; Approval of Air Traffic Control Training Course B.E. 2559, Course Content** *See lists of subject.*
 |  |  |  |  |
| 7 | Have the ATO provided training in accordance with the approved courses?  | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 6(5);* *Notification of CAAT; Approval of Air Traffic Control Training Course B.E. 2559, Clause 5(2); (3), (4); Clause 6 (2)**\*Evidence required:* *1) Lesson plan;**2) Objective of the course;**3) Qualifications of Trainees**4) Qualifications of Instructors**5) Evidence of ATC Simulator use if any.* |  |  |  |  |
| 8 | Has the ATO detailed evaluation requirements for examinations and assessment and implemented accordingly?  | *Notification of CAAT; Approval of Air Traffic Control Training Course B.E. 2559, Clause 6(2)*1. *Attendance not less than 80%*
2. *Passing examination not less than 70%*
 |  |  |  |  |

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| 9 | Have the ATO issued Graduated Certificate and Transcripts as prescribed in the *CAAT-ATCO.B.E.2559, Clause 13?*  | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 13(1), (2)* |  |  |  |  |
| **General Comments:** |

**SECTION 3: STANDARDS OF TRAINING**

**Date of Audit:**

| **NO.** | **Check List Item** | **Ref: Regulatory Requirements**  | **Reference*****Eg. Section 1, Part 4, No. 5 Organisational Structure, p. xx*** | **CAAT USE ONLY** |
| --- | --- | --- | --- | --- |
| **Yes** | **No** | **Remarks** |
| 1 | Is the ATO able to demonstrate a sound quality of theoretical training delivery? 1. Adequate training materials provided for both instructors and trainees;
2. Instructor’ performance
3. Appropriate and effective equipment used for delivering theoretical training
 | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 12* |  |  |  |  |
| 2 | Is the ATO able to demonstrate a sound quality of Simulation training delivery? 1. Appropriate equipment used for the practical lesson;
2. Suitable and safe training environment provided;
3. Instructor’ performance in relation to:
4. an appropriate pre-planning procedure;
5. appropriate pre and post practical briefings procedures that include both technical and non-technical threats and errors management;
 | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 12* |  |  |  |  |
| **General Comments:** |

**SECTION 4: FACILITIES, TOOLS, EQUIPMENT & TRAINING DEVICES**

**Date of Audit:**

| **NO.** | **Check List Item** | **Ref: Regulatory Requirements**  | **Reference*****Eg. Section 1, Part 4, No. 5 Organisational Structure, p. xx*** | **CAAT USE ONLY** |
| --- | --- | --- | --- | --- |
| **Yes** | **NO** | **Remarks** |
| 1 | Do all the facilities, tools, equipment and simulators have the same capacities and configuration as prescribed in the ATO Certificate -Training Specification?  | *Notification of CAAT; Approval of Air Traffic Control Training Course B.E. 2559, Clause 6(4);**Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 12(3)* |  |  |  |  |
| 2 | Does the ATO provide suitable office/working areas for instructors and staff members? | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 5(4)* |  |  |  |  |
| 3 | Does the ATO have adequate storage areas including secure areas for storage of documents, personal information, and training information?  | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 6(7)**Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 12(3)*  |  |  |  |  |

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| 4 | Does the ATO provide suitable classrooms with equipment for delivering theoretical training for current student’s population size? *e.g. blackboard / flipchart / marker /overhead projector/Enough tables/chairs*/*Size of tables, quality of furniture, working space.*  | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Appendix 6.* |  |  |  |  |
| 5 | Does the ATO provide suitable practical training areas that are designed and equipped with all essential facilities consisting of:1. Descriptions of ATC Simulators;
2. Operational areas, planning areas, and briefing rooms;
3. Areas for simulation training;
 | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Appendix 6.* |  |  |  |  |
| 6 | Are the ATC Simulator Certificate(s) valid?  | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Appendix 6.*  |  |  |  |  |
| 7 | Has the ATO established procedures for keeping and maintaining the qualifications of the ATC Simulator(s) as follows:1. Simulator/Aircraft manual(s);
2. Procedural manual/SOP for staff;
3. Maintenance programme;
4. Safety requirement.
 | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 6(7); Clause 12(14).*  |  |  |  |  |
| **General Comments** |

**SECTION 5: RECORD KEEPING**

**Date of Audit: Day 2, 9th June 2020**

| **NO.** | **Check List Item** | **Ref: Regulatory Requirements**  | **Reference*****Eg. Section 1, Part 4, No. 5 Organisational Structure, p. xx*** | **CAAT USE ONLY** |
| --- | --- | --- | --- | --- |
| **Yes** | **No** | **Remarks** |
| 1 | Does the ATO have Record Keeping policy/procedures?  | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 6(7); Clause 12(3);*  |  |  |  |  |
| 2 | Are the following records recorded properly as required by *CAAT-ATCO B.E.2559, Clause 6?* 1. Full name of trainee;
2. Copy of transcripts and graduated certificates;
3. Course name;
4. Pre-training qualifications;
5. Duration of training;
6. Date of completion of training;
7. Date of graduation or date of transfer to another ATO;
8. Results attained in each phase of training and names of instructors;
9. Training progress results in each phase;
10. Additional training hours in case of failing the tests;
11. Instructors and Examiners’ profiles and training records;
12. Records of ATC Simulators’ maintenance
 | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 12(8), (9), (14)* *\*Minimum requirement for keeping records are two years.* |  |  |  |  |
| **General comments** |

**SECTION 6: QUALITY MANAGEMENT SYSTEM**

**Date of Audit:**

| **NO.** | **Check List Item** | **Ref: Regulatory Requirements**  | **Reference*****Eg. Section 1, Part 4, No. 5 Organisational Structure, p. xx*** | **CAAT USE ONLY** |
| --- | --- | --- | --- | --- |
| **Yes** | **No** | **Remark(s)** |
| 1 | Does the ATO have an approved Quality Management Manual by CAAT?  | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 6(6) and Clause 12* |  |  |  |  |
| 2 | Is Training Policies of the ATO included in QA manual and communicated within the ATO? | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 6(6) and Clause 12* |  |  |  |  |
| 3 | Is the Quality Manager able to demonstrate a sound knowledge and understanding of the ATO’s quality management system? | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 6(6) and Clause 12* |  |  |  |  |
| 4 | Has the ATO provided training to all staff members, in relation to its ATO’s quality management system?  | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 6(6) and Clause 12* |  |  |  |  |

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| --- | --- | --- | --- | --- | --- | --- |
| 5 | Has the ATO provided relevant and appropriate trainings to personnel who perform the role of quality auditor(s)?  | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 6(6) and Clause 12* |  |  |  |  |
| 6 | Has the ATO established a document control system and effectively implemented it for at least the following documentations 1. SMS (if applicable);
2. QMS;
3. Record Keeping (if applicable); and
4. Approved Training Course Manuals?
 | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 6(6) and Clause 12* |  |  |  |  |
| 7 | Does the ATO have quality internal audit procedures, corrective/preventive action procedures, monitoring process of corrective actions, and internal audit periodic plan?  | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 6(6) and Clause 12* |  |  |  |  |
| 8 | Has the ATO implemented its quality assurance system and is able to provide the following evidence: 1. Conformity of training policy;
2. Effective assessment and testing methods;
3. Effectiveness of document control system;
4. Effectiveness of its Record Keeping Implementation including (1) personnel qualifications and training and (2) training devices and equipment qualifications; and
5. Monitoring system to comply with CAAT rules and regulations?
 | *Notification of CAAT; Approval of Air Traffic Control Training Organization B.E. 2559, Clause 6(6) and Clause 12* |  |  |  |  |
| **General Comments:** |

|  |
| --- |
| **INITIAL SURVEILLANCE REPORT** |
|  |
|  | **Category** | **Description** |  |
|  | Level 1 | A level 1 finding shall be issued when any significant noncompliance is detected with the applicable requirements of CAAT Regulations and its Implementing Rules, with the organisation’s procedures and manuals or with the terms of an approval or certificate which lowers safety or seriously hazards flight safety. Timescale for corrective action is recommended as immediate to 3 days.The level 1 findings shall include: (1) failure to give CAAT access to the organisation’s facilities during normal operating hours and/or after an official written request; (2) obtaining or maintaining the validity of the organisation certificate by falsification of submitted documentary evidence; (3) evidence of malpractice or fraudulent use of the organisation certificate; and(4) the lack of an accountable manager. |  |
|  | Level 2 | A level 2 finding shall be issued when any non-compliance is detected with the applicable requirements of CAAT Regulations and its Implementing Rules, with the organisation’s procedures and manuals or with the terms of an approval or certificate which could lower safety or hazard flight safety. Timescale for corrective action is recommended as up to 3 months  |  |
|  | Observation | An observation is opportunity for improvement which is minor gap, mostly documented and implemented. The management system that may be weak, cumbersome, redundant, overly complex, or in some other manner, may, in the opinion of the auditor, offer an opportunity for an organisation to improve its current status. For internal quality audit, an observation is not subject to any corrective actions. |  |
| **Deficiencies** Overall, there are…**13**…items found unsatisfactory, indicated in the table below. |  |
|  |
|  | **No.** | **Section** | **Findings** | **In Part (Observation)** |  |
|  | 1 | Organisation and Staffing Implementation |  |  |  |
|  | 2 | Training Procedures |  |  |  |
|  | 3 | Standards of Training |  |  |  |
|  | 4 | Facilities, Tools, Equipment and Training Devices |  |  |  |
|  | 5 | Record Keeping |  |  |  |
|  | 6 | Quality Management System |  |  |  |
|  | **Total** |  |  |  |
|  The ***official findings*** will be issued in the form of Non-Compliance Forms (NCF) along with an official audit report, the organisation is required to complete the NCFs and return them with supporting documents within the given time stated on the NCFs. The follow-up actions are also written in the official audit report. |  |
| QA Manager: Date:  | Team Leader Inspector:Date:  |