|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **THE CIVIL AVIATION AUTHORITY OF THAILAND**  **AUDIT CHECKLIST FOR MTO APPROVAL** | | | | | | | | | | | |
| **Name of Training Organisation:** | | | | ***To be filled by an ATO*** | | | | | | | |
| **Address:** | ***To be filled by an ATO*** | | | | | | | | | | |
| **Type of Organisation:** | | **MTO** | | | **ATO Certificate No.:** | | | ***To be filled by an ATO*** | | **Expiry Date:** | ***To be filled by an ATO*** |
| **Course Approval:** | | ***To be filled by an ATO***   1. ***X*** 2. ***X*** | | | | | | | | | |
| **Accountable Manager** | | ***To be filled by an ATO*** | | | | | | | | **Contact Information**  **Email:**  **Tel:** | ***To be filled by an ATO*** |
| **Type of Audit** | |  | Initial Certification | | |  | Planned Surveillance | | | **Date of Inspection / Audit** |  |
|  | Renewal Certification | | |  | Unplanned Inspection | | |
| **FOR ORGANISATION** | | | | | | | | | **FOR CAAT OFFICIALS** | | |
| By signing below, I, as an authorised person of **Name of ATO** hereby confirm that the information given on the self-assessment and the document attached herewith the checklist are entirely true, accurate, and complete. Suppose it appears that any submitted information or document found to be untrue, false or obscure. In that case, I admit that CAAT has an authorisation to suspend or revoke the Approval Certification or refuse to accept any learning outcomes from my ATO.    \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  **(NAME) Date: DD MMM YYYY** | | | | | | | | | |  |  |  |  | | --- | --- | --- | --- | | **No** | **Position** | **Name – Last Name** | **Signature** | | 1. | Lead Auditor |  |  | | 2. | Auditor |  |  | | 3. | Auditor |  |  | | 4. | Auditor |  |  | | 5. |  |  |  |   **Date: DD MMM YYYY** | | |

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| --- |
| **Instructions**  Each checklist item shall be assessed and given a result either **‘Satisfactory-(S)’ or ‘Unsatisfactory- (U)’** by marking “X”   1. **‘S’** refers to a satisfactory level. It shall be given if the ATO is able to provide valid documents, reliable records of implementation and demonstrate sound knowledge if an interview of relevant personnel is performed. Also, all sub-items must be satisfied. 2. **‘U’** refers to an unsatisfactory level. It shall be given if any actions found not to comply with CAAT rules and regulations or not to be conformed to any ATO’s documentation as well as any activities 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* |  |  |
| 2 |  |  |  |
| 3 |  |  |  |
| 4 |  |  |  |
| 5 |  |  |  |
| 6 |  |  |  |

|  |  |  |
| --- | --- | --- |
| No | Course Approval | Date of Approval |
| 1 |  |  |
| 2 |  |  |
| 3 |  |  |
| 4 |  |  |
| 5 |  |  |
| 6 |  |  |

| No | Title of Controlled Document | Current Issue No. | Date of Approval |
| --- | --- | --- | --- |
| 1 |  |  |  |
| 2 |  |  |  |
| 3 |  |  |  |
| 4 |  |  |  |
| 5 |  |  |  |
| 6 |  |  |  |

|  |  |
| --- | --- |
| No | Details of the location and facilities of the ATO, i.e. documents, classrooms, training facilities, media and equipment used for conducting training, as documented in the TPM |
| 1 |  |
| 2 |  |
| 3 |  |

**SECTION 1: ORGANISATION & STAFFING IMPLEMENTATION**

**Date of Audit:**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **NO.** | **Check List Item** | **Ref: Regulatory Requirements** | **CAAT USE ONLY** | | |
| **S** | **U** | **Remarks** |
| 1 | Does the ATO have an appropriate organisational structure? | A-DCA-MTO B.E. 2551 Clause 4(5)(a), Clause 11(2), Clause 5(f) |  |  |  |
| 2 | Has the ATO described clear responsibility and accountability of key personnel? i.e. Management positions, instructors, examiners etc. | A-DCA-MTO B.E. 2551 Clause 4(5)(b),(c), Clause 11(1); (2), Clause 5(2); (3) |  |  |  |
| 3 | Has the ATO employed sufficient qualified personnel for the planned tasks and activities to be performed in accordance with the applicable requirement? | A-DCA-MTO B.E. 2551 Clause 4(5)(b),(c), Clause 11(1); (2), Clause 5(2); (3) |  |  |  |
| 4 | Has the ATO employed qualified practical and theoretical instructors relevant to the courses provided? | A-DCA-MTO B.E. 2551 Clause 4(5)(c), Clause 11(2), Clause 5(3); (4) |  |  |  |
| 5 | Has the ATO established a procedure to maintain competence of the instructors? | A-DCA-MTO B.E. 2551 Clause 4(5)(c), Clause 11(2), Clause 5(3); (4) |  |  |  |
| 6 | Has the ATO controlled training quality? | A-DCA-MTO B.E. 2551 Clause 10(4) |  |  |  |
| 7 | Does the ATO have a function to monitor compliance with the applicable regulatory requirement and any additional requirements by the ATO? | A-DCA-MTO B.E. 2551 Clause 10(4), Clause 11(1) – (10), Clause 5(6) |  |  |  |
| **General Comments:** | | | | | |

**SECTION 2: TRAINING PROCEDURES**

**Date of Audit:**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **NO.** | **Check List Item** | **Ref: Regulatory Requirements** | **CAAT USE ONLY** | | |
| **S** | **U** | **Remarks** |
| 1 | Does the ATO have an approved, up-to-date amended TPM? | A-DCA-MTO B.E. 2551 Clause 4(5)(d), Clause 11(2); (5), Clause 5(1)(d) |  |  |  |
| 2 | Has the ATO documented any changes/amendments of its TPM? | A-DCA-MTO B.E. 2551 Clause 4(5)(d), Clause 11(5), Clause 5(1)(d) |  |  |  |
| 3 | Has the ATO made any changes correctly as recorded in the Documentation Amendment Record? | A-DCA-MTO B.E. 2551 Clause 4(5)(d), Clause 11(5), Clause 5(1)(d) |  |  |  |
| 4 | Has the ATO distributed updated TPMs to all parties listed in the distribution list? | A-DCA-MTO B.E. 2551 Clause 4(5)(d), Clause 11(6), Clause 5(1)(e) |  |  |  |
| 5 | Does the ATO have all offered Course Manuals? | A-DCA-MTO B.E. 2551 Clause 4(5)(d), Clause 11(2), Clause 5(5) |  |  |  |
| 6 | Do the training plans indicate basic training/rating training, comprising with what prescribed in the A-DCA-MTO B.E. 2551 Clause 9(1)-(6)? | A-DCA-MTO B.E. 2551 Clause 4(5)(d), Clause 11(2), Clause 5(5), Clause 9(1) -(6).  ICAO DOC 7192 |  |  |  |
| 7 | Have the ATO provided training in accordance with the approved courses? | A-DCA-MTO B.E. 2551 Clause 4(5)(d), Clause 11(2); (7), Clause 5(5), Clause 12. |  |  |  |
| 8 | Has the ATO detailed evaluation requirements for examinations and assessment and implemented accordingly? | A-DCA-MTO B.E. 2551 Clause 4(5)(d), Clause 11(2); (7), Clause 5(5), Clause 9(1) -(6), Clause 12. |  |  |  |
| 9 | Have the ATO issued Graduated Certificate and Transcripts as prescribed in the A-DCA-MTO B.E. 2551 Clause 13*?* | A-DCA-MTO B.E. 2551 Clause 13 (1) – (2) |  |  |  |
| **General Comments:** | | | | | |

**SECTION 3: STANDARDS OF TRAINING**

**Date of Audit:**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **NO.** | **Check List Item** | **Ref: Regulatory Requirements** | **CAAT USE ONLY** | | |
| **S** | **U** | **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 | A-DCA-MTO B.E. 2551 Clause 4(5)(d), Clause 11(2), Clause 5(1)(g); (5); (7), Clause 9 (5) |  |  |  |
| 2 | Is the ATO able to demonstrate a sound quality of practical training delivery?   1. Adequate training materials provided for both instructors and trainees; 2. Instructor’ performance; 3. Appropriate and effective equipment used for delivering practical training | A-DCA-MTO B.E. 2551 Clause 4(5)(d), Clause 11(2), Clause 5(1)(g); (5); (7), Clause 9 (5) |  |  |  |
| **General Comments:** | | | | | |

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

**Date of Audit: Day 2:**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **NO.** | **Check List Item** | **Ref: Regulatory Requirements** | **CAAT USE ONLY** | | |
| **S** | **U** | **Remarks** |
| 1 | Do all the facilities, tools, equipment and simulators have the same capacities and configuration as prescribed in the ATO Certificate -Training Specification? | A-DCA-MTO B.E. 2551 Clause 4(3); (5)(d), Clause 11(2), Clause 5(1)(g); (5); (7), Clause 9 (5). |  |  |  |
| 2 | Does the ATO provide suitable office/working areas for instructors and staff members? | A-DCA-MTO B.E. 2551 Clause 4(3); (5)(d), Clause 11(2), Clause 5(1)(g); (5); (7), Clause 9 (5). |  |  |  |
| 3 | Does the ATO have adequate storage areas including secure areas for storage of documents, personal information, and training information? | A-DCA-MTO B.E. 2551 Clause 4(3); (5)(d), Clause 11(2), Clause 5(1)(g); (5); (7), Clause 9 (5), Clause 11(7) – (8), Clause 12 |  |  |  |
| 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* | A-DCA-MTO B.E. 2551 Clause 4(3); (5)(d), Clause 11(2), Clause 5(1)(g); (5); (7), Clause 9 (5). |  |  |  |
| 5 | Does the ATO provide suitable practical training areas that are designed and equipped with all essential facilities for the approved course? | A-DCA-MTO B.E. 2551 Clause 4(3); (5)(d), Clause 11(2), Clause 5(1)(g); (5); (7), Clause 9 (5). |  |  |  |
| **General Comments** | | | | | |

**SECTION 5: RECORD KEEPING**

**Date of Audit:**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **NO.** | **Check List Item** | **Ref: Regulatory Requirements** | **CAAT USE ONLY** | | |
| **S** | **U** | **Remarks** |
| 1 | Does the ATO have Record-Keeping policy/procedures? | A-DCA-MTO B.E. 2551 Clause 4(5)(d), Clause 11(2); (7); (8), Clause 5(1)(6) |  |  |  |
| 2 | Are the following records appropriately recorded as required by A-DCA-MTO B.E. 2551 Clause 12(1) – (10)?   1. Full name of the trainee; 2. Copy of transcripts; 3. Pre-training qualifications; 4. Name of training course; 5. Duration of training; 6. Date of graduation or date of transfer to another ATO; 7. Evaluation results in each stage of the training and names of the instructors; 8. Progress of each stage of training 9. The date on which the results of the theoretical and practical examinations are announced, and the names of the instructors; and 10. Number of additional training hours (in the case that the trainee fails the examinations) | A-DCA-MTO B.E. 2551 Clause 12(1) – (10) |  |  |  |
| **General comments** | | | | | |

**SECTION 6: QUALITY MANAGEMENT SYSTEM**

**Date of Audit:**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **NO.** | **Check List Item** | **Ref: Regulatory Requirements** | **CAAT USE ONLY** | | |
| **S** | **U** | **Remark(s)** |
| 1 | Does the TPM include Quality Management section? | A-DCA-MTO B.E. 2551 Clause 4(5)(d), Clause 11(2), Clause 5(6) |  |  |  |
| 2 | Is the Quality Manager able to demonstrate a sound knowledge and understanding of the ATO’s quality management system? | A-DCA-MTO B.E. 2551 Clause 4(5)(c); (d), Clause 11(2), Clause 5(3); (6) |  |  |  |
| 3 | Does the ATO have quality internal audit procedures, corrective/preventive action procedures, the monitoring process of disciplinary actions, and an internal audit periodic plan? | A-DCA-MTO B.E. 2551 Clause 4(5)(c); (d), Clause 11(2), Clause 5(3); (6) |  |  |  |
| 4 | Has the ATO properly implemented its quality assurance system and can 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? | A-DCA-MTO B.E. 2551 Clause 4(5)(c); (d), Clause 11(2), Clause 5(3); (6) |  |  |  |
| **General Comments:** | | | | | |

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| **INITIAL SURVEILLANCE REPORT** | | | | | | | | |
|  | | | | | | | | |
|  | **Category** | | **Description** | | | | |  |
|  | Level 1 | | A level 1 finding shall be issued when any significant 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 lowers safety or seriously hazards flight safety. The 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 regular 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. The timescale for corrective action is recommended as up to 3 months | | | | |  |
|  | Observation | | An observation is an opportunity for improvement, which is a 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 an internal quality audit, observation is not subject to any corrective actions. | | | | |  |
| **Deficiencies** | | |  | |  | | |  |
| Overall, there are……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: | | | | |