
FLIGHT OPERATIONS INSPECTOR MANUAL (FOIM) VOLUME II

CAAT-OPS-FOIM2

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Approved By



Veera Cheevaidarakul

Head of Air Operator Certification Division

Acting Manager of Flight Operations Standards Department

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0 INTRODUCTION

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0.3 Record of Revision

This version of the Flight Operation Inspector manual is an issue no. 05 revision no. 00.

The valid pages are listed in the List of Effective Pages distributed with every revision.

| Issue | Revision | Effective Date | Revised By |
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| 01 | 00 | 1-Aug-2013 | TDCA |
| 02 | 00 | 14-Oct-2016 | Voravuth V. |
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| 03 | 01 | 3-Sep-2017 | Voravuth V. |
| 04 | 00 | 20-Dec-2018 | Preeda Y. |
| 05 | 00 | 25-Feb-2022 | Veera C. |

0.4 Revision Highlights

| Area of Changed | Amendment Summary |
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0.5 Distribution List

| Type of Document | Distributed To |
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| Original Hard Copy | Flight Operations Standards Department Manager |
| Electronic Document | OPS Staff / QAD |

0.6 Administration

0.6.1 Control of Manual

Document and Records Management System (DRMS) is developed to ensure full alignment of all records and amendments to it. The respective Department Manager shall ensure that this manual contains legible and accurate information. Whereas, QAD shall ensure that this manual is presented in a format that meets corporate standards and is available in DRMS.

0.6.2 Amendment and Revision

Whenever there is a significant change, new manual issuance is required. Minor amendments shall be issued in the form of revision with effective pages being reviewed not later than the effective date. A vertical black line is required on the left-hand side of the page identifying the change of this revision.

Significant changes are extensive revisions necessitating a complete re-issuance when involving significant changes in organization, responsibility, guidelines, policy or procedures including a substantial format change.

Minor changes have affected some contents in the provision, the revision can be made to the corresponding page.

The manual custodian shall record the details of revision and indicate their name with initial last name in the Records of Revision.

0.6.3 Users' Feedback

All concerned personnel shall be familiar with the contents of this manual, at least as these pertain to their duties, and to adhere at all times to the policies, processes and procedures laid down in this manual. Any deviations or feedback should be reported to Flights Operations Standards Department.

0.7 List of Associated Documents

There are some associated documents in the provision of this manual, as listed below:

| Document Reference No. | Name of Document | Applicable to |
|------------------------|--|--|
| CAAT-QAD-DMSP | Document Management System Procedures | All CAAT staff |
| CAAT-OPS-OPSM | Flight Operations Standards Department Manual (OPSM) | All OPS staff |
| CAAT-OPS-DGIM | Dangerous Goods Inspector Manual (DGIM) | DG Division staff |
| CAAT-OPS-CSIM | Cabin Safety Inspector Manual (CSIM) | CS Division staff |
| CAAT-OPS-FOIM1 | Flight Operations Inspector Manual (FOIM) Volume I | All OPS staff |
| CAAT-OPS-FOIM3 | Flight Operations Inspector Manual (FOIM) Volume III | All OPS staff and relevant (CAAT Certification Team) |

0.8 Definitions and Acronyms

Refer to Flight Operations Inspector Manual Volume I, paragraph 0.8

1 RESPONSIBILITY OF THE STATE

1.1 Nature of The Responsibilities of the State

As a signatory to the ICAO Convention on International Civil Aviation, Thailand has an obligation to promulgate regulations and standards in accordance with the ICAO Standards and Recommended Practices (SARPs) as outlined in the ICAO Annexes. In this regard, the Air Navigation Act of Thailand authorized the Director General of the Civil Aviation Authority of Thailand (DGCA) to issue and amend regulations, orders and procedures in the interest of safety. The DGCA may also authorize the performance by any officer, employee or administrative unit under the Director's jurisdiction of any function under CAAT Regulations.

1.2 Discharge of State Responsibilities

In order to discharge its responsibility, Thailand has enacted the relevant Air Navigation Act that provides for the development and promulgation of Civil Aviation Requirements and Manuals, consistent with ICAO Annexes. The State regulatory system enables the DGCA to maintain continuing regulation and oversight of the activities of air operators without unduly inhibiting the operator's effective direction and control of the organization. While ICAO Annex 6 requirements are applicable to international commercial air transport, in the interest of consistency and to ensure an equivalent level of safety for all air transport operations, the Thai Civil Aviation Regulations and these policies and procedures are applicable as well for domestic commercial air transport operations.

An essential element in the regulatory system is the certification of air operators. The requirement that an operator shall check an AOC issued by the DGCA in order to engage in commercial air transport operations is contained in Air Operator Certificate Requirements document. The system for both the initial inspection and certification and the continued safety oversight of air operators is outlined in Volume II and III.

In order to assess the competence of an air operator to provide a safe and regular service, the DGCA or his representative(s) will investigate the proposed operation, covering at least the organization, staffing, equipment, proposed routes and level and type of service and finances. The issuance of an AOC by the DGCA will be dependent upon the operator demonstrating an adequate organization, method of control and supervision of flight operations, training programme, as well as ground handling, maintenance management and maintenance arrangements, consistent with the nature and extent of the operations specified. If the operator is found competent, an AOC will be issued, together with operations specifications, detailing the commercial air transport operations authorized. Subsequent to the issuance of an AOC, the DGCA will continue to monitor the operation through a systematic program of safety oversight inspections.

Through the issuance of an AOC, the associated operations specifications and the subsequent continuing safety oversight, the DGCA will be able to ensure the protection of public interest and will be able to exercise indirect influence and control without encroaching upon the direct responsibility of the operator for the safety of the operation. The granting of an AOC by the DGCA establishes that the operator has met the criteria for an acceptable operation and that the operator is capable of providing a safe commercial air transport service.

There may be some circumstances where compliance with requirements may not be feasible by the approval holder because of various constraints. When the DGCA grants exemptions from the regulations for an AOC to air operators if necessary, he shall ensure that these exemptions have been issued using formal procedures that take into consideration, the impact to safety and shall not at any time be below the ICAO Standards for the operations.

CAAT has developed and implemented a formal inspection policy and procedures to be used by operations inspectors or the inspections of AOC holders and foreign air operators.

- a) The inspection, surveillance, policy and procedures in Volume III and its checklists shall be used for inspecting Thai Air Operators.
- b) Foreign Air Operators Surveillance Manual of CAAT and its associated checklists shall be used for the surveillance and inspection of Foreign Air Operators operating into and out of Thailand.

2 AIR OPERATOR CERTIFICATE (AOC)

2.1 General

The AOC provides the basis for CAAT to regulate the activities of operators and the means for the DGCA to authorize an air operator to commence operations and to exercise the continued safety oversight of the operator.

The AOC and the associated operations specifications are briefly introduced in this chapter. Detailed requirements and guidance for the AOC and the operations specifications can be found in subsequent chapters.

The AOC and the associated operations specifications issued to an air operator by the DGCA are also intended to provide a basis for another State to authorize operations in its territory by that air operator, as the requirements under which the certificate is issued will be at least equal to the applicable Standards specified in Annex 6, Part I and Part III, Section II.

2.2 The AOC

The ICAO Annex 6 specified that aircraft engaged in commercial operations are required to carry a certified true copy of the AOC (refer to paragraph 2.5 of this document) and a copy of the associated operations specifications relevant to the aircraft type. The AOC certifies that the operator is authorized to perform commercial air transport operations, as defined in the associated operations specifications, in accordance with the Operations Manual (OM) and the Air Operator Certificate Requirements (AOCR) of Thailand.

The information on the AOC shows Thailand as the State of the Operator, the identity of the responsible office of CAAT and the certificate number with its expiration date. It also shows the name of the operator and any other trading name relevant to the particular certificate, with the address of the operator's principal place of business. In addition, the certificate indicates the location in the operator's documentation containing the contact details of the operator's operational management. Finally, it shows the date of issuance of the certificate and the name and signature of the CAAT official responsible for its issuance.

The contact details where operational management can be contacted without undue delay for issues related to flight operations, airworthiness, flight and cabin crew competency, dangerous goods and other matters, as appropriate, are required to be provided onboard the aircraft and shall include names, telephone and fax numbers, with country codes and e-mail addresses.

The period of validity of an AOC in Thailand is normally five years, but it may be shortened for initial issuance or when CAAT deem appropriate.

2.3 Operations Specifications

The operations specifications associated with an AOC are an integral part of the authorization under which an operator conducts operations.

The specifications identify the State of Thailand and CAAT office involved, the number of the associated AOC, the name of the operator, the date of issuance and the signature of the CAAT official responsible for its issuance and show the make, model and series (or master series) of the aircraft, the type of operation and the geographical areas in which operations are authorized.

The specifications cover all aspects of the operation and include special limitations, conditions and authorizations with criteria as appropriate. Detailed conditions applicable to Operations Specifications may also be approved by the DGCA in the operations manual.

2.4 List of Authorized Aircraft for Specific Approval

The List of Authorized Aircraft for Specific Approval is issued in associated with each Operations Specification for each aircraft model to declare the Specific Approvals for which the operator is authorized.

The List identifies the number of the associated AOC, the name of the operator, the number and revision of the Operations Specification which the list attached to, the number and the date of issuance, aircraft make, model, series, registration and MSN of the aircraft and the specific approvals which authorized for each aircraft.

The List is subjected to be revised and re-issued in case of the list of authorized aircraft changed or the granted specific approvals change.

2.5 Certified True Copy of the AOC

Each aircraft must have onboard a certified true copy of the AOC and a copy of the Operations Specifications relevant to the aircraft type, issued in conjunction with the certificate. The certification statement shall attest that the copy is a true copy of the original and shall be signed and display an official CAAT stamp. The certification statement shall be permanently affixed to the copy by placing it on the first page of the document itself. The certification statement is as follows:

I hereby certify that the attached is a true copy of [AOC Holder Name]
 Air Operator Certificate,
 issued at Thailand on DD MMM YYYY by CAAT.

(xxxxxxxxxx)
 Flight Operations Inspector
 Signed at CAAT on DD MMMM YYYY

Figure: Certified True Copy of the AOC

3 CERTIFICATION PROCEDURES – GENERAL

3.1 Introduction

The purpose of an AOC is to certify that specified commercial air transport operations are authorized by the DGCA and are in conformance with applicable regulations. The procedures contained in this manual will be utilized by CAAT Inspectors for the issuance of an AOC and the continuing safety oversight and inspection by the DGCA of the operations conducted in accordance with the AOC and the related operations specifications.

During the certification process, the DGCA is to be satisfied that the applicant, who will have the ultimate responsibility for the safety of the operation, is eligible for the issuance of an AOC and has the ability and competence both to conduct safe and efficient operations and to comply with applicable regulations. The DGCA, in addition to assessing the ability and competence of the applicant, will also endeavour to guide the applicant in organizational and procedural matters which will result in a safe and economically successful operation. Thus, if the objectives of both CAAT and the applicant are achieved in the certification process, they will have commenced their shared responsibility for safety, regularity and efficiency of operations, which will, in turn, enhance the public confidence in the operations conducted by the applicant as an operator and holder of an AOC.

To be eligible for an AOC an applicant must be certified for operating at least one aircraft that is not wet-leased. Applicants that plan to operate only wet-leased aircraft cannot satisfy the certification procedures of CAAT. CAAT shall revoke or suspend the AOC of an organization that operates only Wet-Leased aircraft during a period longer than 6 months. This period is aimed at the case of operators of a single aircraft that needs repairs, modifications or a long maintenance check.

CAAT shall ensure that the entity responsible for the issuance of licenses, certificates, approval, authorizations and surveillance are well-coordinated and be involved in the process of evaluating an operator for the issuance of an AOC. CAAT has established and documented procedures for coordination on certification, licensing and approval activities with other relevant areas such as airworthiness of aircraft, dangerous goods transportation, aviation security and/or personnel licensing in Volume II and III of this manual.

At the commencement of the certification process, OPS Manager will appoint Flight Operation Inspector as the Principal Operations Inspector (POI) and assign inspectors to compose a core group of experts such as flight operations, operation management, cabin safety, and dangerous goods who will be involved in the AOC application evaluation process. POI, as a Project Manager and Team Leader, will coordinate with Airworthiness and Aircraft Engineering Department (AIR), Aviation Security and Facilitation Standards Departments (SFD), Personnel Licensing Department (PEL), and Economic Regulation Department (ERD) to establish a certification team consisting of qualified and experienced inspectors of the necessary specializations, such as airworthiness, and security.

The certification process shall be documented with all documents and checklists used to be completed, signed and dated and appropriately filed. All findings or discrepancies noted during the inspections and evaluations must be notified to the applicant in writing. The applicant should address all findings and discrepancies to the satisfaction of CAAT before the issue of the AOC.

The applicant will be informed that the POI will be the project manager responsible for coordinating all aspects of the certification process and will be the focal point for dealing with all matters between the applicant and CAAT. The safety oversight workload of POI and certification team members will need to be adjusted in order that enough time is provided for the certification of a new air operator.

Since each operation may differ significantly in complexity and scope, the POI and the certification team have considerable latitude in taking decisions and making recommendations during the certification process. The ultimate recommendation by POI and decision by CAAT regarding the certification and awarding of an AOC are to be based on the determination of whether or not the applicant meets CAAT's requirements and is adequately equipped and capable of conducting the proposed operation safely and efficiently.

Upon receiving an application for an AOC, CAAT will commence the certification process of an AOC in accordance with the provisions of this manual. Inspectors will conduct joint inspections and submit their reports/checklists to POI. In the event that separate inspections are carried out due to unforeseen circumstances, a follow-up internal meeting with all inspectors concerned will be carried out to ensure proper coordination. Each phase of the process will be completed similarly. Inspectors shall use the checklists as included in the FOIM.

The certification documentation of the applicant e.g. technical evaluations, that lead to approval/acceptance of required procedures, documents and operations will be filed in the applications folder. For each of the certification phases, the POI will ensure that every exchange with the applicant will be properly filed and tracked.

3.2 Certification Procedure

The procedure for the application and granting of an AOC by the DGCA will be organized in phases and will take the following sequence:

- a) Pre-Application Phase;
- b) Formal Application Phase;
- c) Document Evaluation Phase;
- d) Demonstration and Inspection Phase; and
- e) Certification Phase.

Each of these phases is briefly introduced below and each will be dealt with in greater detail in the succeeding chapters of this manual.

All flight operations, airworthiness, and other areas concerned (e.g. Operations Management, Dangerous Goods, Cabin Safety, Security) inspectors and the members

of the AOC certification team should attend the applicable Pre- and Post- Meeting of each certification phase. The POI shall chair the related meetings and ensure that all meeting agendas and contents are disseminated to all concerned members.

3.3 Pre-Application Phase

- a) A prospective operator who intends to apply for an AOC shall enter into preliminary discussions with CAAT and will be provided with complete information concerning the type of operations which may be authorized, the data to be provided by the applicant and the procedures which will be followed in the processing of the application. The applicant must have, in this Pre-Application Phase, a clear understanding of the form, content and documents required for the formal application. The applicant shall also be informed of the means to acquire CAAT regulations and related Guidance Material (GM).
- b) The concerned unit of CAAT will advise the prospective operator on the approximate period that will be required to conduct the certification process, subsequent to the receipt of a complete and properly executed application. This advice is of particular importance in the case of new operators so that such applicants may avoid undue financial outlays during the certification period.
- c) In those cases where an applicant's organization is in the formative stage, and the applicant has little or no operating experience, the applicant shall be advised that it may not be possible to judge the organization's operating competency until a sufficient period of operational proving, including proving flight operations, have been carried out and that the overall period required to reach a final decision on the application may be protracted and considerable financial outlays unavoidable.
- d) The importance of a thorough and careful preliminary assessment of the application cannot be overemphasized. The more thoroughly the applicant's competence is established at this stage, the less likelihood there will be of having serious problems in the Document Evaluation and The Demonstration and Inspection Phases preceding certification or during subsequent operations. Analysis of the application will indicate either that it is acceptable on a preliminary basis or that it is unacceptable.
- e) If the application is acceptable to the DGCA based on the preliminary assessment, the applicant should be encouraged to proceed with preparations for the commencement of operations on the basis that an AOC will be issued subject to the satisfactory completion of the remainder of the certification procedure.
- f) The Pre-Application Phase will also include a parallel assessment of the financial, economic and legal status of the applicant and the proposed operation. The financial viability of the operations which will be assessed by the Economic Regulation Department (ERD) may be the most critical factor

in deciding on whether or not an AOC should be awarded. The determination of the financial resources of the applicant is usually based on the condition or other requirements imposed upon the applicant's Air Operating License (AOL) and other relative economic Regulations.

3.4 Formal Application Phase

- a) Upon completion of the assessment concerning the financial, economic and legal aspects of the application and after any deficiencies have been corrected, a provisional determination shall be made regarding the general feasibility of the operation. If the operation is found to be provisionally acceptable, the second phase of the certification process, the formal application phase, can be undertaken.
- b) The formal application for an AOC, accompanied by the required documentation, shall be submitted in the manner prescribed in Chapter 5 of this manual.
- c) The submission of a formal application is interpreted by the DGCA to mean that the applicant is aware of the regulations applicable to the proposed operation, is prepared to show the method of compliance and is prepared for an in-depth evaluation, demonstration and inspection related to the required manuals, training programmes, operational and maintenance facilities, aircraft, support equipment, record keeping, dangerous goods programme, security programme, Flight Crew, Cabin Crew, and Key Management Personnel, including the functioning of the administrative and operational organization.

3.5 Document Evaluation Phase

- a) The Document Evaluation Phase involves the detailed examination of all documentation and manuals provided by the applicant to establish that every aspect required by the regulations is included and adequately covered. The applicant shall ensure that he will maintain the validity of its manuals at all times and update his manuals accordingly whenever there is an amendment to existing regulations by updating their Compliance Checklist.
- b) In order to facilitate this phase of the certification process, the applicant shall coordinate all aspects of the development of the required documentation with the CAAT certification team, prior to submission of the formal application.
- c) In addition to mandatory documents, CAAT Certification Team shall ensure that the Air Operator has established in its Operations Manual, Standard Operating Procedures (SOP) for each phase of flight. Procedures for the approval are contained in FOIM Volume III Part 1, Chapter 1.
- d) CAAT Certification Team shall ensure that an Air Operator has established in its Training Programmes the details of the Initial and Recurrent Flight

Crew Training. Procedures for the approval of Air Operator Training Programs are contained in FOIM Volume III Part 1, Chapter 3.

3.6 Demonstration and Inspection Phase

- a) Inspections in this phase will involve base and station facility inspections, an inspection of the Operational Control and supervision facilities and inspection of training programmes and training facilities.
- b) Demonstrations will involve demonstration of the Operational Control system and shall involve demonstration flights.
- c) CAAT has established a documented process for the certification of Air Operators that includes a thorough technical evaluation that leads to approval/acceptance of required procedures, documents and operations. The process includes a list of Checklists in FOIM Volume II and III that must be completed by the Certification Team of CAAT prior to the issuance, renewal or revalidation of an AOC or Operations Specifications.
- d) During this phase, CAAT Certification Team shall ensure that the air operator provides ground and flight training facilities, and where applicable - simulators and/or cockpit procedure training devices (Fixed Base Simulators (FBS), Computer Based Training (CBT), etc.) and syllabus material.
- e) Documents that arrive with the aircraft e.g. AFM may be approved at this stage.

3.7 Certification Phase

- a) The Certification Phase is the conclusion of the certification process when POI has determined that all certification requirements, both operational and economic, have been completed satisfactorily and that the operator will comply with the applicable regulations and is fully capable of fulfilling its responsibilities and conducting safe and efficient operations.
- b) The culmination of this phase is the issuance of the AOC and its associated Operations Specifications under the authority of which the operation will be conducted.
- c) After the issuance of an AOC, CAAT will be responsible for continued surveillance and for conducting periodic inspections as contained in FOIM Volume II Chapter 11, to ensure the operator's continued compliance with Thai Civil Aviation Regulations, Authorizations, Limitations and Provisions of its AOC and operations Specifications. These periodic inspections are components of a continuing safety oversight programme.
- d) Final recommendation for the issue or denial of an AOC or Operations Specifications is subject to the agreement of all Flight Operations Inspectors, Operations Management Inspectors, Airworthiness Inspectors and Inspectors from other areas concerned (e.g. Dangerous Goods, Cabin Safety, Security).

3.8 Certification Document and Records

- a) CAAT uses the CAAT system as a primary tool for AOC certification. Relevant certification documents, for example, application packages, manuals, correspondence will be maintained electronically on the CAAT system Database. The active master list and the current version of operator approved or accepted manuals will be maintained electronically on Flight Operations Standards Database (FOSD). Inspection and audit checklists supporting AOC certification and surveillance procedures in Volume II and III of this manual are registered in the CAAT system and will be generated for each inspection or audit online. Non-conformity reports (finding raised) of each inspection/audit will also be raised on the CAAT system and will directly notify the applicant or operator. CAAT system will also serve as a system to track the deficiencies identified and to accept/validate the corrective actions taken by the air operators.
- b) All records shall be maintained as long as relevant AOC is not terminated. Records shall be traceable and prevented from theft, fire and flood. OPS Manager is responsible for overseeing the maintenance of AOC certification records.

3.9 Fees for Aviation Regulatory Services

A fee imposed by the Civil Aviation Authority of Thailand Regulations and Announcement for the processing and consideration of an application to issue certificates, licenses, permits and other approval for the grant or issue of the authorization. The fee for aviation regulatory services is divided into three (3) stages, which are as follows:

- a. Application Fee;
- b. Audit/Inspection Fee; and
- c. Certification Fee

POI and OPS Manager shall process the tariff information with the respective fee to the Financial Accounting and Budgeting Department (FAB) according to The Announcement of the Civil Aviation Authority of Thailand on the certificate's fees issued under the authority of the Civil Aviation Authority of Thailand.

4 PRE-APPLICATION PHASE

Purpose: This procedure describes the procedure of Phase 1 Pre-Application Phase

Reference 1 ICAO Doc 8335, Part III Chapter 2 Pre-Application Phase

Reference 2 Regulation of Civil Aviation Board (RCAB) No85 and 86

Reference 3 Air Operator Certificate Requirements and FOIM Volume III

Responsibilities

- a) Flight Operations Standards Manager (OPS Manager) is responsible for the overall AOC administration program
- b) Principal Operations Inspector (POI) acts as a team leader of responsible operator AOC inspection/certification, all phases, including coordination with other department inspectors and required resources allocation.
- c) All relevant managers, such as Airworthiness and Engineering Manager (AIR) and Security Department Manager (SFD), Approved Training Organization and Personnel Licensing Department (PEL), and Economic Regulation Department (ERD) is responsible for any activities relevant to AOC certification process coordination with OPS manager and Principal Operations Inspector (POI).
- d) FOI/AWI/DGI/CSI/OMI/AVSEC each authorized inspector will perform inspections in compliance with CAAT regulations/requirements and the operator's approved/accepted manuals. He/she shall report to the respective POI.

4.1 Initial Inquiry and CAAT Response

- a) The Pre-Application Phase commences with the applicant making an initial inquiry by intention letter, telephone call or personal visit to the CAAT office.
- b) CAAT staff shall advise the applicant to thoroughly review the CAAT regulations and requirements, directive and advisory materials and provide guidance concerning personnel, facilities, equipment and technical data requirements and an explanation of the certification process, in the standard information package for applicants for an AOC.
- c) The standard information package includes a form for the prospective operator's pre-assessment statement (POPS) to be completed by the applicant and an advisory pamphlet containing: a description of the application process for obtaining an AOC; an introduction to the specific CAAT regulations; guidance on the evaluation of an applicant for certification; guidance on the issuance of an AOC and associated operations specifications; and, instructions for completing the pre-assessment statement form. Any other CAAT directive or advisory material necessary for the certification process will also be provided.

- d) The purpose of the POPS is to establish the intent of the applicant to continue with the process for certification and to thereby enable CAAT to commit resources and plan the certification process.
- e) The POPS form and instructions for its completion are provided in the application forms (CAAT-OPS-AOCFM-101, CAAT-OPS-AOCFM-102).

4.2 Completed Prospective Operator's Pre-Assessment Statement (POPS)

- a) Once a completed POPS is received, CAAT will appoint a Principal Operations Inspector (POI) and a Certification Team consisting of appropriately qualified Flight Operations, Cabin Safety, Dangerous Goods, Operations Management, Airworthiness, and Security inspectors.
- b) The POI shall have an appropriate training course on Air Operator Certification and Surveillance, including On the Job Training and should have previous experience in the certification of an Air Operator as appropriate. A person with extensive inspector experience should be designated as the POI by OPS Manager.
- c) The POI shall serve as the primary spokesperson for CAAT throughout the certification process. Consequently, the POI must thoroughly coordinate all certification matters with all other specialists assigned to the certification project. The POI shall be responsible for ensuring that all certification job functions are completed. All correspondence, both to and from the applicant, shall be coordinated with the POI. The POI shall ensure that CAAT and the air operator staff involved with the certification project are kept fully informed of the current status of the certification. Form Pre-Application Phase (OPS-AOCFM-111) will be used as a guide for the conduct of these status meetings. The POI must notify CAAT management of any information that may significantly affect or delay the certification project.
- d) CAAT certification team will conduct a review of the applicant's pre-assessment statement and if the information provided is considered acceptable, the POI will schedule a pre-application meeting with the applicant. The invitation letter shall be issued to invite an applicant for the pre-application phase meeting.

4.3 Introduction of Pre-Application Meeting

The purpose of the Pre-Application meeting is to confirm the information provided in the Pre-Assessment statement to determine whether or not the applicant has sufficient knowledge of the appropriate CAAT regulations and requirements and to confirm, for the applicant, the expectations of CAAT.

To clarify the scope and scale of the intended operation; make the applicant aware of CAAT procedures involved in processing an application, and answer any questions the applicant may have. One of the first questions to be answered is whether the projected activities require the grant of an AOC; i.e. whether they include commercial operations.

The applicant's attention should be drawn to the requirements of AOCR, including relevant announcements and Guidance Materials. This requires the Operations Manual to contain all instructions necessary for staff to carry out their functions and present these in a readily usable form.

It should be made clear to the applicant (particularly if he intends to engage in ad hoc charter operations) that CAAT will only be able to determine continuing satisfaction with an AOC holder's ability to secure safe operations, and so permit the AOC to remain valid at each annual review, if regular satisfactory flight inspections can be achieved. One flight inspection per year for each significantly different type will be the normal minimum frequency, and the applicant may need to provide a simulated CAT III flight if required.

A meeting should be arranged by POI and will be attended by the assigned certification team, a representative from the relevant CAAT department and the key management personnel of the applicant. The applicant should be prepared to discuss, in general terms, all aspects of the proposed operations.

The applicant will be provided with an overview of the certification process and made aware of the applicant's responsibility for financial, economic and legal matters, and for the necessary assessment of the applicant's financial resources and ability to support the proposed operations. The financial, economic and legal assessments must be commenced early since an AOC shall not be granted without a satisfactory assessment of these aspects from the appropriate certified institution/ individual.

The POI and the certification team shall prepare an application package for delivery at the Pre-Application Meeting. This package should be more detailed than the standard information package described in paragraph 4.1 item (c) above and designed to assist the applicant in the preparation of a formal application for certification. This application package shall contain: the advisory pamphlet already discussed; a list of the documents that shall be provided with the formal application; a schedule of events in the certification process (CAAT-OPS-AOCFM-107); an example of the type of operations specifications associated with an AOC; and, any other information that may be helpful. The required documents shall be discussed in detail at the pre-application meeting to provide the applicant with as much assistance as possible.

After the Pre-Application meeting, the certification team will evaluate the results of the meeting. Should the Certification Team consider that the applicant is not ready to make a formal application, advice shall be given on further preparation and another Pre-Application meeting shall be scheduled or the applicant may be advised to withdraw the intent to apply for certification.

Should the Certification Team establish that the information provided in the Pre-Application statement is satisfactory and that the applicant has a clear understanding of the certification process, the applicant shall then be invited to prepare and proceed with a formal application, as outlined in Chapter 5 of this volume.

Pre-Application Phase is referred to the Form Pre-Application Phase (OPS-AOCFM-111) and Pre-Application meeting job aids guidance is referred to in paragraph 4.4 of this chapter.

4.4 Pre-Application Phase Meeting Guidance

4.4.1 Introduction

Experience in processing AOC applications suggests that for the majority of applicants many inspector hours are wasted due to lack of planning and preparation by the applicant, unfamiliarity with the application process and lack of project management skills.

The Pre-Application meeting is seen as a cost-effective way of seeking to avoid a proportion of the wasted resources by helping the applicant to prepare and manage the application.

4.4.2 Suggested Guidance

It should be recognized that applicants may have a wide range of capabilities and expertise, and the meeting should be adapted to recognize and accommodate these. The meeting should be divided into certification phases and action to be taken as follows:

a) Phase 1: Pre-application

The applicant should be asked to briefly outline the proposed operation in terms of:

- i) Aircraft Make, Model, Series and number of aircraft;
- ii) Proposed Area of Operation
- iii) Location of Head Office, Operating Bases, Maintenance Organizations and Training;
- iv) Facilities;
- v) Ownership of the company;
- vi) Proposed Organizational Structure;
- vii) Expected Qualifications and Experience of Key Personnel;

- viii) Other pertinent information (e.g. accelerated ETOPS/EDTO requested)

b) Phase 2: Formal application

The applicant should be taken through the application process as it will apply to them. The fact that the application is a project should be stressed, and they should be advised to appoint an Application Project Manager, who will be the applicant's primary point of contact for all AOC matters. The applicants should be advised that their handling of the application process will form part of the assessment of organizational competence.

The completion of the Application Form should be described. The importance of the description of the proposed management structure should be emphasized, and the requirement for an organigram and related responsibilities of each major post stressed. The information is best presented as an attachment in the form of the relevant draft Operations Manual pages.

The purpose and completion of the Application for Nomination for Air Operator Personnel Form (CAAT-OPS-AOCFM-106) should be described and the Organisational Competency Checklist (CAAT-OPS-CLGEN-401) process outlined. The minimum levels of knowledge and experience prescribed by Thailand Regulations for the various nominated persons should be covered.

The roles of the CAAT certification team should be described, making clear that they are not consultants who will assist the applicant to produce submissions, but assessors of the material submitted.

The AWI representative will outline the maintenance section of the form. He will also confirm the type and provenance of the proposed aircraft and ensure that the applicant is aware of any attendant requirements (e.g. ageing aircraft, imported aircraft, etc.)

The requirements for operations and maintenance quality systems should be covered, and the requirements for Quality Manager(s) outlined.

The requirements of the National Civil Aviation Security Programme for the applicant Aviation Security programme should be described by the designated representative from the Aviation Security and Facilitation Standards Department (SFD).

The fact that the Economic Regulation Department (ERD) will be working in parallel regarding the evaluation of the financial capability should be mentioned.

The various factors affecting the timescales involved should be made clear to the applicant, with particular reference to those aspects under his control that could lead to delays. The applicant should be encouraged to submit the formal application as far in advance of the intended start date as possible.

c) Phase 3: Document Evaluation

Operations Manual (OM)

The importance of the Operations Manual submission in the overall assessment should be stressed. The OM demonstrates to CAAT that the applicant has considered how to comply with all the relevant requirements and produced appropriate guidance for his staff. The compliance checklist should be completed by the applicant's staff, and the accountable manager designate should be aware of its contents.

The MEL should be allocated sufficient resources. It should be confirmed that the applicant is aware of the sources of information for this task. (e.g. MMEL)

The OM should identify the Post-Holder responsible for training. The standards of any training carried out on behalf of the applicant by another organization or individual must be monitored and controlled by the applicant. The scope of any previous training to be accepted must be agreed with the POI. The training program according to OM Part D is not allowed to conduct prior to the approval of OM Part D. If simulators are to be used, the need for Approvals should be described. If the aircraft is the first of its type on the Thai register, the applicant will be expected to arrange and pay for a type rating for an FOI.

The applicant should be advised that if there is a difficulty in meeting a particular requirement, it may be possible to apply for permission or exemption that allows an alternative means of compliance to be used, provided that equivalent levels of safety can be demonstrated.

The Operations Manual approval/acceptance process should be described, and the best method for communication and submitting material should be discussed.

The applicant should be reminded that their proposed operation will be subject to legislative requirements outside the jurisdiction of CAAT. Examples include:

- Individual State Licensing
- National Civil Aviation Security Programme (NCASP)

The Document evaluation guidance is described in Chapter 6 of this volume.

d) Phase 4: Demonstration

The inspections required should be outlined, and the purpose and scope of the proving flight should be described refer to Chapter 7 of this volume.

e) Phase 5: Certification

The documentation associated with the AOC should be outlined to the applicant using blank forms or prepared examples. The purpose and function of the Operational specification approval document should be described, together with the significance of the various entries. The first issue will be valid for not more than 2 years. The various standard and other applicable documents should be described.

The Certification guidance is described in Chapter 8 of this volume.

4.4.3 Required Materials

- Sample AOC and Operations Specifications
- Operations Manual Checklists
- Specific Approvals Checklists
- Presentation to facilitate the meeting (If applicable)

4.4.4 Meeting Result Consideration

a) Management

- i) Ownership of the company (Thailand Nationals)
- ii) Project Manager appointed (Point of contact)

b) Operations Manuals

- i) OM acceptance/approval process; and
- ii) Timescales following receipt of a complete set of acceptable manuals.

c) AOC and Operations Approval

- i) Format of AOC and Operations Specifications;
- ii) AOC Name;
- iii) Area(s) of Operation;
- iv) Management and Key staff personnel; and
- v) Operations Specifications details. e.g. AWO, ETOPS, MNPS, RVSM, DG, RNP/RNAV, etc.

d) Training

- i) Identification of Training Organization.
- ii) Training not to start before OM Part D approval. (Also SOPs)
- iii) Acceptance of third-party training and trainers.
- iv) CAAT observation of training.
- v) Transfer of training.
- vi) Simulator Training (Flight Crew and Flight Operations Officer/Flight Dispatch).

e) Miscellaneous

f) Quality System (Outline requirements)

g) Threshold hours.

- i) FOI type rating course (For new applicant)
- ii) Applicable checks (C, G, etc. as required)
- iii) Demonstration flight (Purpose)
- iv) Financial involvement (parallel process)
- v) Maintenance system (Parallel process)
- vi) Operational Processes (FTL, Rostering, Crewing, Communications etc.)

4.5 Pre-Application Phase Forms and Checklists

The following list shall be carried out as inspection guidance to ensure the completion of Pre-Application Phase activities.

| No. | Form/Checklist code | Form/Checklist Name | Inspection by |
|--|---------------------|--|---------------|
| Phase 1 - Pre-Application Phase | | | |
| 1 | OPS-AOCFM-111 | Pre-Application Phase | POI |
| 2 | CAAT-OPS-AOCFM-101 | Application for Air Operator Certificate | POI |
| 3 | CAAT-OPS-AOCFM-102 | Application for Operations Specification | POI |

4.6 Procedure Summary

The procedure below lists the sequence of actions and persons responsible for processing an AOC application in the Pre-Application Phase. In addition to the records listed in the procedure, the POI shall maintain continuously a record of progress.

| Responsible person | Action(s) | Record |
|-----------------------------------|---|--------------------|
| Applicant | Notifies CAAT of intention to apply for an AOC by submitting POPs | Applicant Internal |
| OPS Manager | Assigns a POI and Certification team member to the application | Note of Action |
| POI | Set up the Certification team, coordinate with certification team members (includes team members from relevant departments such as AIR, ERD, SFD and/or PEL as applicable) and all other specialists assigned to the certification project | Note of Action |
| POI and Certification team member | <ul style="list-style-type: none"> Conduct an internal meeting with the certifications Team to review the Applicant's Pre-Assessment Statement Issues an invitation letter to invite an applicant for the Pre-Application Phase meeting | Note of Action |
| POI and Certification team member | Holds Pre-Application Phase meeting and complete activities which detailed in paragraph 4.4 Pre-Application Phase Meeting Guidance | Note of Action |
| POI | Complete the Form Pre-Application Phase (OPS-AOCFM-111) | CAAT system |
| POI and Certification team member | Store all documents in the CAAT system | CAAT system |

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5 FORMAL APPLICATION PHASE

Purpose: This procedure describes the procedure of AOC certification Phase 2 – Formal Application Phase

Reference 1: ICAO Doc 8335, Part III Chapter 3 Formal Application Phase

Reference 2: Regulation of Civil Aviation Board (RCAB) No.85 and 86

Reference 3: Air Operator Certificate Requirements (AOCR) and relevant FOIM Volume III

Reference 4: The Announcement of the Civil Aviation Authority of Thailand on the certificate's fees issued under the authority of the Civil Aviation Authority of Thailand, B.E. 2561

Responsibilities

- a) Flight Operations Standards Manager (OPS Manager) is responsible for the overall AOC administration program.
- b) Principal Operations Inspector (POI) acts as a team leader of responsible operator AOC inspection/certification, all phases, including coordination with other department inspectors and required resources allocation.
- c) FOI/AWI/DGI/CSI/OMI/AVSEC Inspectors; each authorized inspector will be assigned to perform each operator inspection in compliance with CAAT regulations/requirements and the operator's approved/accepted manuals he/she shall report to the respective POI.

5.1 Formal Application Package

The formal application for certification will be an application letter with attachments containing the information required by CAAT comprising a formal application package. The development of the application letter and its attached documents should have been coordinated with the CAAT certification team subsequent to the Pre-Application meeting. Such coordination, between the personnel of the applicant and the CAAT certification team, will improve the quality of the application package and facilitate the later document evaluation process.

The application letter shall be signed by the applicant's Accountable Executive and shall contain at least the following information:

- a) A statement that the application serves as a formal application for an AOC;
- b) The name and address of the applicant;
- c) The location and address of the applicant's principal of the business and the main base of operations;

- d) A description of the applicant's business organisation and corporate structure, names and addresses of those entities and individuals having a major financial interest;
- e) The name and address of the applicant's legal representative;
- f) The identity of Key Management Personnel:
 - i) Accountable Manager;
 - ii) Head of Flight Operations;
 - iii) Head of Engineering;
 - iv) Head of Safety;
 - v) Head of Quality;
 - vi) Head of Training; and
 - vii) Head of Ground Handling.

The nature of the proposed operations: passenger/cargo, day or night, Visual Flight Rules (VFR) or Instrument Flight Rules (IFR), whether or not dangerous goods are to be transported; and

- g) The desired date for the operation to commence.

The attachments that need to accompany the formal application letter are:

- a) The identification of the Operation Specifications sought with information on how associated conditions will be met, as described in paragraph 5.2.1 below;
- b) The Schedule of Events in the certification process with appropriate events addressed and target dates;
- c) An initial Statement of Compliance (SOC) or detailed description of how the applicant intends to show compliance with each provision of the air navigation regulations;
- d) The management structure and key staff members including, functional tasks, lines of reporting-authority-accountabilities, titles, names, backgrounds, qualifications and experience, with regulatory requirements satisfied;
- e) The details of the Safety Management System;
- f) A list of designated destination and alternate aerodromes for scheduled services, areas of operation for non-scheduled services and bases for operations, as appropriate to the intended operations;
- g) A list of aircraft(s) to be operated;
- h) Documents of Purchase, Leases, Contracts or Letters of Intent;

- i) Arrangements for crew and ground personnel training and qualification, facilities and equipment required and available;
- j) The Operations Manual, properly structure on parts A, B, C and D;
- k) The General Maintenance Manual (GMM);
- l) Details of the method of control and supervision of operations to be used;
- m) Complete forms: CAAT-OPS-AOCFM-103, 104, 105, 106 and 107;
- n) The detail of the Quality Management System;
- o) The detail of the Flight Safety Document System.

A more detailed description of some of these attachments is provided in 5.2.

5.2 Application Package and Attachments to The Formal Application

5.2.1 Identification of desired Operations Specifications

CAAT approves special authorizations that are enabled through CAAT regulations by the issuance of Operations Specifications. The list of authorizations, conditions and limitations as outlined in AOCR Appendix A shall be utilized. The applicant shall identify the desired operations specifications appropriate to the intended operation for each aircraft model in the operator's fleet, identified by aircraft make, model and series. The applicant shall complete the Application for Operations Specification (CAAT-OPS-AOCFM-102) and submit it to CAAT.

The issuance of each Operation Specification shall be subject to the applicant meeting CAAT regulations and requirements. Each Operations Specification will also be subject to the Air Operator satisfying, on an ongoing basis, conditions that are established for their use. While some conditions for these approvals may be contained in the Specific Approvals and remarks portion of the Operations Specifications, detailed conditions will be contained in the operations manual. The conditions contained in the Operations Manual will include the training, qualifications, equipment requirements and procedures, as applicable, under which the special authorisation can be utilized.

5.2.2 Schedule of Events .

The schedule of events is a key document that lists items, activities, programmes, aircraft and facility acquisitions that will be made ready for inspection by CAAT before certification. The schedule shall include date(s):

- a) When crew members and maintenance personnel will commence training;
- b) When maintenance facilities will be ready for inspection;
- c) When each of the required manuals will be ready for evaluation;
- d) When the aircraft will be ready for inspection;
- e) When terminal facilities will be ready for inspection;
- f) When emergency evacuation, ditching demonstration and demonstration flights are planned; and
- g) The proposed assessments of training staff and other persons subject to CAAT's approval. The dates shall be logical in sequence and provide time for review, inspection and approval of each item.

The applicant shall complete the Application for Schedule of Event Form (SOE) (CAAT-OPS-AOCFM-107) and submit it to CAAT. The overall plan is to be kept under constant review and amendment to maintain control of the certification process.

5.2.3 Initial Statement of Compliance .

The initial statement of compliance shall be a complete list of all CAAT regulations applicable to the proposed operation. Each regulation or sub-part shall be accompanied by a brief description or a reference to a manual or other documents. The description or reference shall describe the method of compliance in each case. The method of compliance may not be finalized at the time of the formal application, in which case a date shall be given by which the final information will be provided. The purpose of the statement of compliance is to ensure that the applicant has addressed all regulatory requirements. The applicant shall complete the Statement of Compliance Chapter 1 to Chapter 13 (CAAT-OPS-SOC-101 to 113) and submit it to CAAT. It aids CAAT Certification Team to assess where the regulatory requirements have been addressed in the applicant's manuals, programmes and procedures.

5.2.4 Management Structure and Key Staff Members .

CAAT Certification Team shall review the Organizational Structure of an applicant for an AOC to ensure that duties, responsibilities and authorities are clearly defined and that a clear delineation of functional tasks and lines of reporting has been established and documented. CAAT regulations establish basic management positions and the qualifications for these positions, with some variation in the requirement depending upon the complexity of the proposed operation.

The requirements cover the following positions:

- a) Accountable Manager;
- b) Head of Flight Operations;
- c) Head of Engineering;
- d) Head of Safety;
- e) Head of Quality;
- f) Head of Training; and
- g) Head of Ground Handling.

The list shall include the management positions, the names of the individuals involved and their qualifications and relevant management experience and, where appropriate, their licenses, ratings and aviation experience. The applicant shall complete the Application for Nomination for Air Operator Personnel Form (CAAT-OPS-AOCFM-106) for each required management position and submit it for CAAT's acceptance.

CAAT may approve positions or number of positions, other than those listed if the applicant can show that it can operate with the highest degree of safety under the direction of fewer or different categories of management personnel.

5.2.5 Safety Management Systems (SMS)

- a) The applicant shall complete the Application for Organisation Management System (CAAT-OPS-AOCFM-105) and submit it to CAAT. The details of the applicant's SMS Framework include:
 - i) Safety Policy and Objective
 - Management commitment
 - Safety accountability and responsibilities
 - Appointment of key safety personal
 - Coordination of emergency response planning
 - SMS documentation
 - ii) Safety Risk Management
 - Hazard Identification
 - Safety Risk Assessment and Mitigation
 - iii) Safety Assurance
 - Safety Performance Monitoring and Measurement
 - The Management of Change
 - Continuous Improvement of the SMS
 - iv) Safety Promotion

- Training and Education
- Safety Communication

5.2.6 Accountable Manager

The applicant shall identify the accountable executive who, irrespective of other functions is accountable on behalf of the organization for the implementation and maintenance of an effective SMS, signing the operator's safety policy and ensuring the provision of the necessary resources for its implementation. CAAT shall assess the Application for Nomination for Air Operator Personnel Form (CAAT-OPS-AOCFM-106) for Head of Safety to ensure that the air operator has nominated a post holder responsible for the implementation and maintenance of the air operator's Safety Management System and his/her functions and responsibilities are clearly defined and documented in the Flight Safety Documents System.

5.2.7 Aerodromes and Areas

A list shall be provided with the destination and alternate aerodromes designated for proposed scheduled operations and areas of operation for non-scheduled operations.

5.2.8 Aircraft to Be Operated

A list of the aircraft to be operated shall be provided, with the make, model, series and the nationality and registration marks for each aircraft and details of the origin and source for each aircraft, if these details are known. It is possible that the details for individual aircraft may not yet be available, in which case, evidence shall be provided as described in paragraph 5.2.9 below.

5.2.9 Documents of Purchase, Leases, Contracts or Letters of Intent

These documents shall provide evidence that the applicant is actively procuring aircraft, facilities and services appropriate to the operation proposed. If formal contracts are not completed, letters or other documents showing preliminary agreements or intent shall be provided. These documents may relate to aircraft, station facilities and services, weather reporting, communications facilities, maintenance, aeronautical charts and publications, aerodrome analysis and obstruction data, outsourced training and training facilities.

5.2.10 Crew and Ground Personnel Training and Required Facilities

Details of the facilities required and available for training company personnel and of the training programme with dates for commencement and completion of the initial training programme shall be provided. Training will include human performance, threat and error management for flight crew, cabin crew, maintenance technicians and flight dispatchers, ground operations personnel, the transport of dangerous goods, and security. Specific attention should be paid, as applicable to the crew member position, to company procedures indoctrination; emergency equipment

drills; aircraft ground training; flight simulators and other flight simulation training devices; and aircraft flight training. All these aspects shall cover both initial and recurrent training.

5.2.11 Operations Manual

The Operations Manual, which shall be in accordance with AOCR Chapter 2 and Appendix B, shall be provided and organized with the following structure:

- a) General
- b) Aircraft operating information
- c) Area, route and aerodrome
- d) Training

The Operation Manual shall set out the applicant's general policies, the duties and responsibilities of personnel, operational control policy and procedures, and the instructions and information necessary to permit flight and ground personnel to perform their duties with a high degree of safety and may include the operator SMS detailed framework implementation (as an alternative to issuing a separate SMS manual). The size, as well as the number of volumes of the Operations Manual, will depend upon the size and complexity of the proposed operations. CAAT shall ensure that an applicant prepares its Operations Manual in accordance with CAAT requirements using the Form Organization and Contents of an Operations Manual (CAAT-OPS-AOCFM-103) and Operations Manual Critical Element (CAAT-OPS-AOCFM-104)

5.2.12 General Maintenance Manual (GMM)

The General Maintenance Manual (GMM) shall describe the administrative arrangements between the applicant and the Approved Maintenance Organization (AMO) and shall define the procedures to use, the duties and responsibilities of operations and maintenance personnel and the instructions and information to permit maintenance and operational personnel involved to perform their duties with a high degree of safety.

5.2.13 Maintenance Programme

This programme, including a maintenance schedule, will detail the maintenance requirements for individual aircraft.

5.2.14 Method of Control and Supervision of Operations

This shall set out the applicant's proposals for control and supervision of operations including dispatch, flight watch or flight following and communication procedures.

5.2.15 Assessment of financial

Assessment of financial, economic and legal matters are part of the Air Operator License (AOL) issuance process. The status of the assessment of financial, economic

and legal matters shall be identified in the AOL formal application package since a successful outcome of this assessment is essential to the issuance of an AOC.

5.2.16 Dangerous Goods

Specific authorization for the safe transport of dangerous goods by air shall be granted by CAAT Dangerous Goods Division upon receiving the application from an applicant who has met the requirements of CAAT's Dangerous Goods Requirements.

5.2.17 Quality Management System Manual

Quality Management System Manual, describing systems and procedures in use in the Air Operator. AOCR Appendix Q and Standard of ISO 9001:2015 can be used as guidance on Quality Management Systems. As a minimum, The operator shall:

- a) Develop documented procedures (for control of documents, control of records, internal audit, control of nonconforming products, corrective action, and preventive action) describing how the service carries out its works. Flow charts may be used to describe the core and support processes. Procedures should be reviewed continuously and staff should be trained to implement them.
- b) Prepare and publish the Quality Management Systems Manual describing the overall system in broad terms. Keep it simple and distribute it to clients and co-operators, all employees, and suppliers. The quality manual must include the description of the system to control document.
- c) Launch the QMS and continually audit and improve it.
- d) Establish review mechanisms to verify whether the Service is complying with all requirements set by the Standard.
- e) Establish corrective as well as preventive action systems to prevent problems from recurring, as well as a system to measure customer/co-operator satisfaction, process effectiveness, and product conformity.

The applicant shall complete the Application for Organisation Management System (CAAT-OPS-AOCFM-105) and submit it to CAAT.

5.3 Cursory Review of the Formal Application Package

CAAT Certification Team will make a cursory review of the formal application package to check that the required attachments have been presented, that these attachments address the required information and that the documentation is of appropriate quality, including, but not limited to:

- a) Application for Air Operator Certificate (CAAT-OPS-AOCFM-101)
- b) Application for Operations Specification (CAAT-OPS-AOCFM-102)

- c) Assessment of Organization and Contents of an Operations Manual (CAAT-OPS-AOCFM-103)
- d) Assessment of Operations Manual Critical Element (CAAT-OPS-AOCFM-104)
- e) Assessment of Organisation Management System (CAAT-OPS-AOCFM-105)
- f) Application for Nomination for Air Operator Personnel Form (CAAT-OPS-AOCFM-106)
- g) Assessment of Schedule of Events (CAAT-OPS-AOCFM-107)
- h) Statement of Compliance Chapter 1 to 13 (CAAT-OPS-SOC-101 to CAAT-OPS-SOC-113)
- i) Operations manuals as required by The Regulation of Civil Aviation Board (RCAB) No. 85 and AOCR.

However, the cursory review of the required Operations Manual and GMM, as well as other safety-related manuals of the applicant, shall be extended to the procedures for the distribution, amendment and use of the documents. Are the manuals easy to revise? Does the system allow personnel to determine the revision status of the manual? Is the date of the last revision on each page? Does the manual reference have appropriate CAAT regulations?

In the case of the Operations Manual, the cursory review shall also extend to the form CAAT-OPS-AOCFM-103, CAAT-OPS-AOCFM-104 and CAAT-OPS-AOCFM-105 submitted by the applicant and the need to address the required subjects as outlined in AOCR Chapter 2, including at least:

- Operations Administration and Supervision;
- Safety Management System;
- Quality Management System;
- Flight Safety Document System;
- Policy and Procedures regarding Flight Operations and Fuel Quantities;
- Minimum Flight Altitudes;
- Aerodrome or Heliport Operating Minima
- Rules to limit Flight Time and Flight Duty Periods and for the provision of adequate rest periods for Flight and Cabin Crew Members;
- Aircraft Performance;
- Route Guide;
- Procedures for Search and Rescue;
- instructions for the carriage of Dangerous Goods and emergency response activities in the event of a dangerous goods incident;

- Navigation Instructions;
- Communications Instructions;
- Initial and Recurrent Training Programmes;
- Ground Handling and Operations Management System;
- Security Procedures and Instructions.

In the case of the GMM, where leased aircraft not registered in Thailand are proposed to be used, the cursory review shall extend to the required contents noting that the manual is required to be acceptable to CAAT and the State of Registry of the aircraft.

During the cursory review, POI will ensure that any needed specialized expert on the certification team, to deal with a specific authorization and mainly with airworthiness components of the AOC, will be incorporated to be the certification team.

5.4 Acceptability of The Formal Application

If the Formal Application Package is incomplete or otherwise unacceptable, CAAT Certification Team shall inform the applicant, providing details of the deficiencies and advice on the resubmission of the formal application.

After an internal meeting for preparation and the completion of coordination with the relevant departments such as AIR, SFD, PEL, and ERD, if the information in the formal application package is considered acceptable by the certification team, the POI will schedule a formal application meeting with the applicant. The certification team shall prepare the Formal acceptance letter and send an invitation to invite an applicant for the Formal Application Phase meeting.

Form AOC Formal Application Phase (OPS-AOCFM-121) shall be utilized and completed to confirm the acceptability of the Formal Application package.

5.5 Formal application meeting

A Formal Application meeting shall be conducted between CAAT POI, the certification team includes team members from relevant departments such as AIR, SFD, PEL, ERD and all other specialists assigned to the certification project as applicable and all the key management personnel of the applicant, to resolve any questions on the part of either CAAT or the applicant, to establish a common understanding on the future procedure for the application process.

In particular, the Formal Application Phase meeting shall confirm that the management background information satisfies regulatory requirements; it shall address any errors or omissions in the application package, resolve any scheduling date conflicts and agree on a process for revising event dates, reinforce the communication and working relationships between CAAT certification team and applicant personnel and, finally, determine the acceptability of the formal application package. It shall be understood that acceptance of the Formal Application package by the POI does not constitute acceptance or approval of any of the

attachments which will be subjected to a later in-depth review. The identification of significant discrepancies during the in-depth review may require further meetings between appropriate members of the CAAT certification team and the applicant personnel.

The formal application meeting conclusions/decisions shall be recorded through consistent and detailed minutes.

After the Formal Application meeting and subject to successful acceptance of the application package, CAAT POI shall provide the applicant with a letter acknowledging receipt and acceptance of the formal application. (Formal Acceptance Letter).

5.6 Formal Application Phase Forms and Checklists

The following list shall be carried out as guidance to confirm the acceptability of the application package provided by the applicant and to ensure the completion of Formal Application Phase activities.

| No. | Form/Checklist code | Form/Checklist Name | Inspection by |
|---|-------------------------|--|---------------|
| Phase 2 - Formal Application Phase | | | |
| 1 | CAAT-OPS-AOCFM-101 | Application for Air Operator Certificate | POI |
| 2 | CAAT-OPS-AOCFM-102 | Application for Operations Specification | POI |
| 3 | CAAT-OPS-AOCFM-103 | Organization and Contents of an Operations Manual | FOI |
| 4 | CAAT-OPS-AOCFM-104 | Operations Manual Critical Element | FOI |
| 5 | CAAT-OPS-AOCFM-105 | Organisation Management System | OMI |
| 6 | CAAT-OPS-AOCFM-106 | Application for Nomination for Air Operator Personnel Form | FOI/OMI/AWI |
| 7 | CAAT-OPS-AOCFM-107 | Application for Schedule of Events | FOI |
| 8 | CAAT-OPS-SOC-101 to 113 | Statement of Compliance Chapter 1 to Chapter 13 | ASI-OPS/AWI |
| 9 | OPS-AOCFM-121 | AOC Formal Application Phase | POI |

5.7 Procedure Summary

The procedure below lists the sequence of actions and persons responsible for processing an AOC application in the Formal application phase. In addition to the records listed in the procedure, the POI shall maintain continuously a record of progress.

| Responsible person | Action(s) | Record |
|-----------------------------------|--|--------------------|
| POI | Prepare tariff information and process for the application fee | CAAT System |
| OPS Manager | Review tariff information and release to FAB | CAAT System |
| Applicant | Proceed Application Payment Process | CAAT System |
| Applicant | <ul style="list-style-type: none"> Completes AOC Formal Application package Submits Formal Application package with Operations Manual and all supporting documentation | Applicant Internal |
| POI and Certification team member | <ul style="list-style-type: none"> Receives AOC Formal Application package Performs cursory review of the submitted Formal Application package | Note of Action |
| POI and Certification team member | <ul style="list-style-type: none"> Conduct an internal meeting for preparation Ensure completeness and correctness of the submitted Formal Application package Issue the Formal Acceptance letter Send an invitation to invite an applicant for the Formal Application Phase meeting Conduct Formal Application meeting | Note of Action |
| POI | <ul style="list-style-type: none"> Complete Form AOC Formal Application Phase (OPS-AOCFM-121) Forwards all Continuing Airworthiness documentation to Airworthiness Inspector Forwards all Equipment Compliance documentation to Airworthiness Inspector Forwards all Cabin Safety related documentation to CSI Forwards all Dangerous Goods related documentation to DGI Forwards all Security related documentation to Aviation Security Inspector <i>*Specific handling process refer to SFD instruction.</i> Forwards all QMS, SMS, ERP, FSDS, Flight Time Limitation, and related documentation to Operation Management Inspector (OMI) | CAAT System |

| Responsible person | Action(s) | Record |
|-----------------------------------|--|-------------|
| POI and Certification team member | Store all documents in the CAAT system | CAAT system |

5.8 Record

All records, as per paragraph 5.7 Procedure Summary, shall be maintained with the AOC certification package as long as the relevant AOC is not terminated. Records shall be traceable and prevented from theft, fire and flood. OPS Manager is responsible for overseeing the maintenance of AOC certification records.

6 DOCUMENT EVALUATION

Purpose: This procedure describes the procedure of Phase 3 Document Evaluation Phase

Reference:

1. ICAO Doc 8335, Part III Chapter 4 Document Evaluation Phase
2. Regulation of Civil Aviation Board (RCAB) No.85 and 86
3. Air Operator Certificate Requirements and relevant FOIM Volume III

Responsibilities

1. Flight Operations Standards Manager (OPS Manager) is responsible for the overall AOC administration program
2. Project Manager or Principal Operations Inspector (POI) acts be as a team leader of responsible operator AOC inspection/certification, all phases, including coordination with other department inspectors and required resources allocation.
3. FOI/AWI/DGI/CSI/OMI/AVSEC; each authorized inspector will perform inspections in compliance with CAAT regulations/requirements and the operator's approved/accepted manuals. He/she shall report to the respective POI.

6.1 General

After the formal application has been accepted, the CAAT certification team led by POI will commence a thorough evaluation of all the documents and manuals that are required by the regulations to be submitted to CAAT. CAAT should endeavour to complete these evaluations following the schedule of events prepared by the applicant and agreed upon at the formal application meeting. If a document or manual is incomplete or deficient, or if noncompliance with regulations or safe operating practices is detected, corrective action(s) will be required.

Documents or manuals that are satisfactory will be approved or accepted, as required by the regulations. Approval shall be indicated by a signed document. Acceptance of material that does not require formal approval shall be confirmed by letter.

The complexity of the information that needs to be addressed in the applicant's documents and manuals depends upon the complexity of the proposed operation.

If a separate training organization is approved to provide air operator's crew training, CAAT Certification Team shall ensure that the training provided and flight documentation used correctly reflect the air operator's Flight Safety Documentation System.

6.2 Documents and Manuals to be Evaluated

The following is a list of the documents and manuals that shall be provided by the applicant and evaluated by the CAAT Certification Team during this phase.

- a) Draft Operations Specifications (submitted application for Operations Specification, CAAT-OPS-AOCFM-102);
- b) Statement of Compliance CAAT-OPS-SOC-101 to CAAT-OPS-SOC-113 (together with accepted CAAT-OPS-AOCFM-103, CAAT-OPS-AOCFM-104, and CAAT-OPS-AOCFM-105);
- c) Management Personnel Resumes providing qualifications and aviation experience;
- d) Aircraft Flight Manuals (AFM);
- e) Operations Manual (individual manuals and items listed below form part of the Operations Manual):
 - i) Aircraft Operating Manual/Flight Crew Operating Manual;
 - ii) Minimum Equipment List/ Configuration Deviation List (MEL/CDL);
 - iii) Aircraft Performance Manual;
 - iv) Mass and Balance Control Manual;
 - v) Aircraft Loading and Handling Manual or Ground Handling and Operations Manual;
 - vi) Route Guide;
 - vii) Training Manuals for Flight Crew, Cabin Crew, Operations Personnel and Ground Personnel;
 - viii) Cabin Crew Manual and/or relevant manuals
 - ix) Dangerous Goods Manual (if applicable, i.e. for applicants not intending to transport dangerous goods, a training programme shall be mentioned for all concerned on the identification and non-acceptance of Dangerous Goods);
 - x) Passenger Safety Cards;
 - xi) Aircraft Search Procedure Checklist;
 - xii) Operational Control Procedures, Dispatch, Flight Following, etc.
- f) Safety Management System Manual;
- g) Flight Safety Document System Manual (The applicant may include a document in the Quality Management System or Safety Management System Manual, as applicable);
- h) Quality Management System Manual;

- i) Security Programme Manual;
- j) Emergency Manual;
- k) General Maintenance Manual (GMM);
- l) Maintenance Programme including maintenance schedule;
- m) Training Manual for maintenance personnel;
- n) Plan for demonstration flights as applicable;

All manuals are to be provided with procedures for the development, control and distribution of each manual, the means to keep the manual up to date and the means for the publication and distribution of amendments. Those procedures shall be developed considering external and internal sources of information that induce the changes in the operations manuals. Therefore, operators must plan regular updates based on the cycle of revisions implemented by external sources, for example, the AIRAC cycle of 28 days for aeronautical publications; the calendar of national regulations amendments; the manufactures of regular revisions of Flight Crew Operating Manuals and Flight Crew Training Manuals. Nevertheless, also it has to be considered a procedure to address those not scheduled amendments, urgently introduced by safety reasons or recommendations (Services Bulletins, ADs, Engineering Operational bulletins, etc.)

Manuals will require appropriate revision and amendment when new requirements, operations or equipment are introduced. CAAT shall ensure that an applicant for an AOC will maintain the validity of its manuals all the time.

6.3 Evaluation of The Documents

6.3.1 Draft Operations Specifications. (CAAT-OPS-AOCFM-102)

Operations Specifications form part of the AOC. CAAT standard operations Specifications will have been given to the applicant at the Pre-Application meeting and a list of desired Operations Specifications identified by the applicant to form the draft Operations Specifications. CAAT-OPS-AOCFM-102 will be provided to the applicant and will be edited by the applicant and CAAT Certification Team to add necessary Authorizations, Conditions and Limitations to produce Operations Specifications appropriate to the applicant's intended operations. Information and detailed conditions (such as training, qualifications, equipment requirements and procedures under which each special authorization may be utilized) shall be available in the Operations Manual. Subsequent amendments to the Operations Specifications can be initiated later by the Air Operator or CAAT Certification Team as required by changing circumstances.

6.3.2 Statement of Compliance. (CAAT-OPS-SOC-101 to CAAT-OPS-SOC-113)

The Certification Team will evaluate the Statement of Compliance, the purpose of which is to ensure that the applicant has met all regulatory requirements applicable to the proposed operations. The statement also indicates to the Certification Team where the regulatory requirements have been addressed in the applicant's manuals,

programmes and procedures. The final Statement of Compliance needs to be completed by the Air Operator and accepted by CAAT prior to issuance of the Air Operator Certificate (AOC).

6.3.3 Management Personnel Resume Providing Qualifications and Aviation Experience. (CAAT-OPS-AOCFM-106)

The list shall include the management positions, the names of the individuals involved and their qualifications and relevant management experience and their licenses, ratings and aviation experience. The list of management personnel and associate CAAT-OPS-AOCFM-106 shall be completed by the Air Operator and accepted by CAAT prior to issuance of the Air Operator Certificate (AOC).

6.3.4 Aircraft Flight Manuals

Flight Manuals are required to be provided specific to individual aircraft and are subject to the control of the State of Registry. Arrangements for the administration control and amendment of copies of the Flight Manuals shall be examined together with the means for providing aircraft performance and limitations information to the Flight Crew. The Flight Manual shall contain at least the information required by CAAT regulations.

6.3.5 Operations Manuals

The Operations Manual is how the applicant intends to control all aspects of the intended operation. Its structure consists of four parts:

- a) A General Section;
- b) Aircraft Operating Information;
- c) Areas, Routes and Aerodromes; and
- d) Training.

The arrangements for the administration and control of the Operations Manual shall have already been evaluated during the cursory review in the formal Application Phase of the certification process. Detailed procedures for the review and approval of the Operations Manual are contained in Volume 3, Chapter 1 Operations Manual Inspection of this manual. CAAT shall ensure that all regulations on the contents of the Operations Manual, as part of the Flight Safety Documentation System, are taken into account, reviewed and implemented by the Air Operator before granting the AOC or any specific approval. The Operations Manual of the applicant shall be scrutinized for its contents by using the forms CAAT-OPS-AOCFM-103 and CAAT-OPS-AOCFM-104.

6.3.6 Safety Management Systems (SMS) Manual

An SMS manual is required and documents all aspects of the SMS, including the statement of safety policy and objectives, which clearly describes the safety accountabilities and emergency response planning; the safety risk management, which includes hazard identification processes and risk assessment and mitigation processes; the safety assurance, including safety performance monitoring with an

investigation capability; and safety promotion and training. Description of the Flight Safety Document System shall be established. Detailed procedures for the conducting of the SMS manual review are contained in Volume III Part I Chapter 5 Air Operator SMS Manual Acceptance of this manual.

6.3.7 Manuals or Other Items

Manuals or other items which may be included in the operations manual and which require an evaluation are given in 6.3.7.1 to 6.3.7.13 Detailed procedures for the conducting of operations manual review are contained in FOIM Volume 3 Part 1 Chapter 1, as noted below.

6.3.7.1 Aircraft Operating Manuals (AOM)

Aircraft Operating Manuals for each type of aircraft to be operated are required by CAAT. These manuals are required to contain normal, abnormal and emergency procedures, details of the aircraft systems and the checklists to be used. Detailed procedures for the review and approval of an AOM are contained in Volume III Part I Chapter 1 para 1.4.2 of this manual.

6.3.7.2 Minimum Equipment List (MEL)

A MEL is required for each type and model of aircraft to be operated, which provides for the operation of the aircraft, subject to specified conditions, with particular equipment inoperative. This list prepared by the applicant in conformity with, or more restrictive than, the Master Minimum Equipment List (MMEL) approved by the State of Design for the aircraft type, is tailored to the applicant's aircraft and installed equipment. Detailed procedures for the review and approval of a MEL are contained in FOIM Volume III Part I Chapter 2 Approval of MEL/CDL and AFM.

6.3.7.3 Configuration Deviation List (CDL)

A CDL for each aircraft type and model may be established by the organization responsible for the type design and approved by the State of Design to provide for the commencement of a flight without specified external parts. Detailed procedures for the review and approval of a CDL are contained in FOIM Volume III Part I Chapter 2 Approval of MEL/CDL and AFM.

6.3.7.4 Aircraft Performance Manual.

These manuals are required for each type and model of aircraft to be operated.

6.3.7.5 Mass and Balance Control Manual.

The manual provides for a system to obtain, maintain and distribute to operational personnel information on the mass and balance of each aircraft operated and the means to keep this information up to date. Detailed procedures for the review and approval of a mass and balance control manual are contained in FOIM Volume III Part I Chapter 1 Para 1.4 Specification Operations Manual Inspection Areas, 1.4.2.11 Mass and Balance.

6.3.7.6 Ground Operations Manual/Ground Handling Manual

This manual contains procedures and limitations for servicing, fueling, loading and unloading, preflight preparation and post-flight securing, applicable to the aircraft type and model. The manual shall include ground handling staff initial and recurrent training programme. Detailed procedures for the review and approval of a Ground Operations Manual are contained in FOIM Volume III Part 3 Chapter 15 Ground Operations Organisation and Management System.

6.3.7.7 Training Manuals

Training Manuals for Flight Crew, Cabin Crew, Flight Operations Officers/Flight Dispatch, Ground Personnel and Maintenance Personnel. Training Manuals are required for all operational, maintenance and ground personnel. These shall cover all aspects of initial and recurrent training and conversion and upgrading training. Detailed procedures for the review and approval of training manuals are contained in FOIM Volume III Part I Chapter 3 Training Programme.

6.3.7.8 Route Guide.

This is required to ensure that the flight crew and personnel responsible for operational control have the necessary information for communications, navigation aids, aerodromes/heliports, instrument procedures for departure, en-route and arrival during the conduct of the particular operation. Detailed procedures for the review and approval of a route guide are contained in FOIM Volume III Part I Chapter 1

6.3.7.9 Dangerous Goods Manual

All applicants will require a manual containing procedures for the handling of dangerous goods, emergency response to dangerous goods incidents and the training of personnel. The details required will depend upon the intended status of the applicant concerning the transport of dangerous goods. If a declaration has been made that dangerous goods will be carried as cargo, the applicant will require comprehensive material on the control, loading and carriage of dangerous goods and response to dangerous goods incidents and emergencies. If it is not intended to transport dangerous goods as cargo, the applicant will still need to cover dangerous items that form part of the normal aircraft equipment, dangerous items that are permitted to be carried by passengers and dangerous items that may be carried in the form of company material. Dangerous Goods Division (DG) as part of the CAAT certification team responsible for the transport of dangerous goods by air shall verify that the Dangerous Goods Manual meets Dangerous Goods Handling Requirements. Detailed procedures for the review and approval of the manual of the dangerous good are contained in the CAAT Dangerous Goods Inspection Manual (DGIM).

6.3.7.10 Passenger Safety Cards

Passenger Safety Cards need to be provided to supplement oral briefings and be particular to the type and model of aircraft and the specific safety and emergency equipment in use. The Passenger Safety Card shall be reviewed to ensure it meets

the requirements as stated in AOCR Chapter 7 paragraph 3.2 Passenger Safety Cards.

6.3.7.11 Aircraft Search Procedure Checklist

The checklist needs to be carried on board and describes the procedures to be followed in searching for a bomb in case of suspected sabotage and for inspecting aircraft for concealed weapons, explosives or other dangerous devices when a well-founded suspicion exists that the aircraft may be the object of an act of unlawful interference. The checklist shall be supported by guidance on the appropriate course of action to be taken should a bomb or suspicious object be found and information on the least risk bomb location specific to the aircraft. The aircraft search procedures checklist shall be reviewed to ensure it meets the AOCR Chapter 2 paragraph 8.8 Aeroplane Search Procedure Checklist.

6.3.7.12 Operational Control Procedures

Dispatch, Flight Following, etc. The manual is required to contain the details of the applicant's operational control procedures and procedures for dispatch and flight following. It shall cover procedures for use in emergencies and all communication procedures. Detailed procedures for the review and approval of operational control procedures are contained in FOIM Volume III Part 1 Chapter 1 Para 1.4 Specification Operations Manual Inspection Areas and AOCR Appendix O.

6.3.7.13 Flight Time and Flight Duty Periods

Procedures for limiting the flight time and flight duty periods and providing adequate rest periods for Flight and Cabin Crew Members. These procedures are included in the Operations Manual and shall be by CAAT regulations. Detailed procedures for the review and approval of a flight time, flight duty periods and rest periods are contained in FOIM Volume III Part 1 Chapter 1 Para 1.4 Specification Operations Manual Inspection Areas and AOCR Appendix C.

6.3.8 Security Programme Manual

The manual shall describe the operator security programme, which shall meet the requirements of the National Civil Aviation Security Programme of CAAT. The manual shall include the security procedures applicable to the type of operations. Procedures for the review of the security manual are not contained in this manual as this review will be completed by the Aviation Security and Facilitation Standards Department (SFD) of CAAT.

6.3.9 General Maintenance Manual.

This manual sets out the applicant's intentions and procedures concerning maintaining the airworthiness of the aircraft used, during their operational life. This applies whether or not the applicant for an AOC also intends to apply for approval as an AMO or intends to contract out maintenance to an AMO. Detailed procedures for the review of GMM are contained in Airworthiness & Aircraft Engineering Department Handbook.

6.3.10 Maintenance Programme

Maintenance Programme, including maintenance schedule. A Maintenance Programme, approved by CAAT, is required for individual aircraft, taking into account the requirements of the type design authority. Detailed procedures for the review of maintenance programmes are contained in Airworthiness & Aircraft Engineering Handbook. The maintenance programme will require the approval of the State of Registry when the aircraft is not registered in Thailand.

6.3.11 Flight Operations Officer/Flight Dispatch Manual

This manual sets out the guidelines for the Flight Dispatcher/Flight Operations Officer to follow the AOCR Chapter 2 item 3.2 and Appendix O for the smooth operation of flights. It details the duties and responsibilities of the Flight Operations Officer/Flight Dispatcher and the procedures to follow for the safe release of a flight. The Inspector shall use CAAT-OPS-CLFOI-303 when accepting an applicant's Flight Operations Officer/Flight Dispatch Manual.

6.3.12 Quality Management System (QMS) Manual

The applicant must have management and quality assurance procedures which will ensure compliance with, and adequacy of, procedures required in AOCR Appendix Q to ensure safe operational practices and airworthy aircraft. The quality system shall include a quality assurance programme that contains procedures designed to verify that all operations are being conducted by all applicable requirements, standards and procedures. The Inspector shall use CAAT-OPS-CLOMI-305 when granting and accepting for applicant's Quality Management Manual. The detailed procedures for the review and acceptance of the Quality Management manual are contained in FOIM Volume III Part 1 Chapter 6.

6.3.13 Flight Safety Document System (FSDS)

The applicant shall establish a flight safety documents system and organised according to the AOCR Appendix K, the requirements criteria are essential for providing easy access to information required for flight and ground operations contained in the various operational documents comprising the system, as well as to manage the distribution and revision of operational documents. The detailed procedures for the review and acceptance of the Flight Safety Document System are contained in FOIM Volume III Part 2 Chapter 11.

6.3.14 Plan for demonstration flights.

Where CAAT has determined that demonstration flights are required, a plan for these demonstration flights shall be prepared so that the applicant can demonstrate the ability to operate and maintain aircraft and conduct the type of operation specified. The determination by CAAT as to whether or not demonstration flights will be required, and if such flights are required, their number and type, will depend on CAAT's assessment of the capabilities of the operational and maintenance systems established by the applicant.

The following factors will be considered when determining the demonstration flight requirement.

- a) To what extent is the new aircraft substantially different from an aircraft previously flown by the applicant (such as changing from turboprop to turbojet, unpressurized to the pressurized, or narrow body to wide body);
- b) To what extent is the applicant's route structure affected by the request (for example, inauguration of international routes and use of special areas of operation);
- c) What is the experience level of personnel involved in the operation (for example, flight and cabin crewmembers' previous experience in the operation of this type of aircraft);
- d) How does the applicant propose to conduct the proving flights (for example, a few long-range versus several short-range flights); and
- e) What level of management experience exists in the company with this type or similar type or make of aircraft?

6.4 Document Evaluation Phase Forms and Checklists

The following list shall be carried out as inspection guidance to confirm the acceptability of the documents provided by the applicant and to ensure the completion of the Document Evaluation Phase activities.

| No. | Form/Checklist Code | Form/Checklist Name | Inspection by |
|--|---------------------|---|---------------|
| Phase 3 - Document Evaluation Phase | | | |
| 1 | OPS-CLFOI-301 | OPS - Organisation, Contents and Critical Elements of the Operations Manual | FOI |
| 2 | OPS-CLFOI-302 | OPS - Flight Operations Officer Training Manual | FOI |
| 3 | OPS-CLFOI-303 | OPS - Flight Operations Officer Manual Inspection | FOI |
| 4 | OPS-CLFOI-305 | OPS-AIR - MEL - Minimum Equipment List | FOI/AWI |
| 5 | OPS-CLFOI-306 | OPS - Helicopter Main AOC | FOI |
| 6 | OPS-CLFOI-307 | OPS - Flight Crew Training | FOI |
| 7 | OPS-CLFOI-308 | OPS - Standard Operating Procedures Manual | FOI |
| 8 | OPS-CLFOI-309 | OPS - Helicopter Emergency Medical Services (HEMS) Approval | FOI |
| 9 | OPS-CLOMI-301 | OPS - Safety Management System | OMI |
| 10 | OPS-CLOMI-302 | OPS - Flight Safety Documentation System | OMI |
| 11 | OPS-CLOMI-303 | OPS - Emergency Manual | OMI |

| No. | Form/Checklist Code | Form/Checklist Name | Inspection by |
|-----|------------------------------------|---|---------------------------------|
| 12 | OPS-CLOMI-304 | OPS - Ground Operations Manual | FOI/DGI/OMI |
| 13 | OPS-CLOMI-305 | OPS - Quality Management Manual | OMI |
| 14 | OPS-CLOMI-306 | OPS - Air Operator Flight Time and Duty Limitations | OMI |
| 15 | OPS-CLCSI-301 | OPS - Cabin Crew Training Programme | CSI |
| 16 | OPS-CLCSI-302 | OPS - Cabin Crew Manual | CSI |
| 17 | OPS-CLCSI-303 | OPS-Passenger Safety Cards | CSI |
| 18 | OPS-CLDGI-301 | OPS - Operation Manual's Dangerous Goods Segment | DGI |
| 19 | OPS-CLDGI-302 | OPS - Dangerous Goods Manual | DGI |
| 20 | OPS-SOC-101 to CAAT-OPS-SOC-113 | Statement of Compliance Ch.1 to Ch.13 | POI/FOI/Respective Inspector |
| 21 | OPS-AOCFM-131 | Document Evaluation Phase | POI |

Table 1 Forms and Checklists

Where operations approval list showing special approvals for which the operator is applying, following specific approval and operational approval checklists shall be used for OM check. Refer to FOIM Volume III Part 5 for specific evaluation procedures.

| No | Form/Checklist Code | Form/Checklist Name | Inspection By |
|----|---------------------|---|---------------|
| 1 | CAAT-OPS-CLSPA-301 | OPS-AIR - MNPS - Minimum Navigation Performance System | FOI/AWI |
| 2 | CAAT-OPS-CLSPA-302 | OPS-AIR - ADS-B - Automatic Dependent Surveillance-Broadcast | FOI/AWI |
| 3 | CAAT-OPS-CLSPA-303 | OPS-AIR - EFB - Electronic Flight Bag | FOI/AWI |
| 4 | CAAT-OPS-CLSPA-304 | OPS - EFB PM - Electronic Flight Bag Policy and Procedure Manual | FOI |
| 5 | CAAT-OPS-CLSPA-305 | OPS-AIR-EDTO - Extended Diversion Time Operations | FOI/AWI |
| 6 | CAAT-OPS-CLSPA-306 | OPS-AIR - RVSM - Reduced Vertical Separation Minima or Minimum | FOI/AWI |
| 7 | CAAT-OPS-CLSPA-307 | OPS-AIR - LVO - Low Visibility Operations | FOI/AWI |
| 8 | CAAT-OPS-CLSPA-308 | OPS-AIR - PBN - Performance Based Navigation | FOI/AWI |
| 9 | CAAT-OPS-CLSPA-309 | OPS-AIR - CPDLC - Datalink (ADS-C and CPDLC) | FOI/AWI |
| 10 | CAAT-OPS-CLSPA-310 | OPS-AIR - PBCS - Performance-Based Communication and Surveillance | FOI/AWI |

Table 2 Special Approval Forms and Checklists

6.5 Procedure Summary

The procedure below lists the sequence of actions and persons responsible for processing an AOC application in the Document Evaluation Phase. In addition to the records listed in the procedure, the PM/POI shall maintain continuously a record of progress.

| Responsible Person | Action(s) | Record |
|---------------------|--|---|
| POI | <p>After application packages were reviewed and confirmed for completeness in Phase 2, POI shall distribute AOC documentation to Certification Team (FOI, OMI, CSI, DGI, AWI, SFD, etc.) as applicable.</p> <ul style="list-style-type: none"> • Forwards all Continuing Airworthiness documentation to Airworthiness Inspector • Forwards all Equipment Compliance documentation to Airworthiness Inspector • Forwards all Cabin Safety related documentation to CSI • Forwards all Dangerous Goods related documentation to DGI • Forwards all QMS, SMS, FSDS, Flight Time Limitation, and related documentation to Operation Management Inspector (OMI) • Ensures submission of all security-related documentation directly to Aviation Security Inspector <i>(POI should coordinate with the Aviation Security and Facilitation Standards Department (SFD) to confirm receipt of the applicant's Security Documentation submitted directly to the SFD's email - sfd_os@caat.or.th)</i> | CAAT System |
| POI or assigned FOI | Review draft operations specifications. (CAAT-OPS-AOCFM-102) and Statement of compliance (CAAT-OPS-SOC-101 to CAAT-OPS-SOC-113). In case of special approval is required (LVO, EDTO/ETOPS, RVSM, PBN, EFB, etc.), POI shall define the inspection and checklist necessary and advise the Certification Team. | Note of Action |
| All Inspectors | Assess the consistency of management personnel in operation manuals associated with CAAT-OPS-AOCFM-106 and advise Certification Team. | Note of Action |
| FOI | Completes Phase 3 checklists as detailed in table 1 | CAAT System with associated findings and corrective actions |
| FOI in | <ul style="list-style-type: none"> • Completes Phase 3 checklist as detailed in table 6.4 (CAAT-OPS-CLFOI-305: Minimum Equipment List) | CAAT System |

| Responsible Person | Action(s) | Record |
|-----------------------|--|---|
| coordination with AWI | <ul style="list-style-type: none"> In case of special approval required (LVO, EDTO/ETOPS, RVSM, PBN, EFB, etc.), complete checklists as detailed in table 2 | with associated findings and corrective actions |
| OMI | Completes Phase 3 checklists as detailed in table 1 | CAAT System with associated findings and corrective actions |
| CSI | Completes Phase 3 checklists as detailed in table 1 | CAAT System with associated findings and corrective actions |
| DGI | Completes Phase 3 checklists as detailed in table 1 | CAAT System with associated findings and corrective actions |
| AWI | <ul style="list-style-type: none"> Completes Phase 3 checklists related to continuing airworthiness compliance processes. Verify equipment compliance regulations process special approvals. | Note of Action AIR Internal |
| AVSEC Inspector | Review Security Programme and complete related checklist. | CAAT System |
| All Inspectors | <ul style="list-style-type: none"> Raise non-conformity. Inform the applicant and POI | CAAT System with associated findings and corrective actions |
| Applicant | <ul style="list-style-type: none"> Addresses non-conformity as applicable Submits corrective actions to POI or associated inspector and amended manual | CAAT System with associated findings and corrective actions |
| POI/assigned | <ul style="list-style-type: none"> Review corrective actions and handle the submission of amended manual | CAAT System |

| Responsible Person | Action(s) | Record |
|-----------------------------------|---|-------------|
| inspectors | <ul style="list-style-type: none"> Consider/approve the request for commencement of training (where applicable – in conjunction with OPS Manager) Liaise with the operator (where applicable) Liaise with POI Write report (as agreed with POI) Process the Manual approval/acceptance | |
| Applicant | Upload the final version of the approved and accepted submitted manuals to the CAAT system (FOSD) | CAAT System |
| POI/assigned inspectors | Review and accept all manuals in the CAAT system (FOSD) | CAAT System |
| POI | <ul style="list-style-type: none"> Complete Form Document Evaluation Phase (OPS-AOCFM-131) Process the closure of Phase 3 report to OPS Manager | CAAT System |
| OPS Manager | Approve/reject closure of Phase 3 report and notify POI | CAAT System |
| POI and Certification Team member | Store all documents in the CAAT system | CAAT system |

7 DEMONSTRATION AND INSPECTION PHASE

Purpose: This chapter describes the fundamental of the Demonstration and Inspection Phase but is not limited to the role and responsibility of inspectors in each inspection area.

Reference 1 ICAO Doc 8335, Part III Chapter 5 Operational Demonstration and Inspection

Reference 2 Air Operator Certificate Requirements and FOIM Volume III

Reference 3: The Announcement of the Civil Aviation Authority of Thailand on the certificate's fees issued under the authority of the Civil Aviation Authority of Thailand, B.E. 2561

Responsibilities

- a) Flight Operations Standards Manager (OPS Manager) is responsible for the overall AOC administration program.
- b) Principal Operations Inspector (POI) acts as a team leader of responsible operator AOC inspection/certification, all phases, including coordination with other department inspectors and required resources allocation.
- c) FOI/AWI/DGI/CSI/OMI/AVSEC each authorized inspector shall conduct the inspections to ensure the compliance of operations with relevant regulations/requirements and operators approved/accepted manuals and report to respective POI.

7.1 General

- a) CAAT regulations require an applicant to demonstrate the ability to comply with regulations and safe operating practices before beginning revenue operations. These demonstrations will include the actual performance of activities and/or operations while being observed by inspectors of the certification team. This will also involve on-site evaluations of aircraft maintenance equipment and support facilities. During these demonstrations and inspections, CAAT evaluates the effectiveness of the policies, methods, procedures and instructions as described in the manuals and other documents developed by the applicant. During this phase, emphasis should be placed on the applicant's management effectiveness. Deficiencies shall be brought to the attention of the applicant, and corrective action shall be taken before an AOC issuance.
- b) The preliminary assessment of the application, as described in FOIM Volume II Chapters 5 and 6, should provide CAAT with a general appreciation of the scope of the proposed operation and the potential ability of the applicant to conduct it safely. However, before authorizing the issuance of the AOC, CAAT will need to thoroughly investigate the operating ability of the

applicant. This important and more detailed phase of the investigation and assessment will require the applicant to demonstrate thorough, day-to-day administrative and operational capabilities, including, in some cases, proving flights over proposed or similar routes, the adequacy of facilities, equipment, operating procedures and practices, and the competence of administrative, flight and ground personnel. Demonstration flights may include any aspect to be covered by a special authorization in the operations specifications which will be associated with the AOC when issued. Training or positioning flights observed by a CAAT inspector may be credited towards meeting demonstration flight requirements. Emergency evacuation and ditching demonstrations may also be required during this phase of the investigation of the applicant's capabilities.

- c) Inspections in this phase will involve Main-base and Sub-base station facility inspections, an inspection of the operational control, ground operations organisation and management system, supervision facilities and inspection of training programmes and training facilities. Demonstrations will involve demonstration of the operational control system, emergency evacuation and ditching demonstrations, and may involve demonstration flights. The operational aspects demonstration and inspection phase shall encompass all aspects of the proposed operation. However, such matters as the inspection of the passenger services organization, though necessary, is not covered in this manual.
- d) Precise details of inspections will be determined by many factors, such as the nature, scope and geographical areas of operations, the type of airborne and ground equipment to be used and the method of operational control and supervision. Many of the inspections required for initial certification or addition of a new aircraft type will subsequently be conducted as part of the CAAT surveillance programme. For ease of reference the detailed procedures, including job aids/checklist are contained in FOIM Volume II and Volume III.
- e) It will also be necessary to ascertain that facilities located in other States, which are to be utilized, are adequate. As CAAT licences are fully compliant with ICAO Annex 1 requirements, they are acceptable to other States where operations will take place.
- f) CAAT shall ensure that the air operator has established and implemented Quality Management System and Safety Management System.
- g) CAAT shall ensure that the air operator of an aeroplane of a certificated take-off mass above 27,000 kg has established and maintained a Flight Data Analysis Program as part of its Safety Management System.
- h) CAAT shall ensure that the Flight Data Analysis Program is non-punitive and contains safeguards to protect the source(s) of the data.

Notes:

- i) Guidance on Flight Data Analysis Programmes is contained in the ICAO Manual of Flight Data Analysis Programmes (FDAP) (Doc 10000).
- ii) Legal guidance for the protection of information from safety data collection and processing systems is contained in ICAO Annex 19, Appendix 3.
- i) Both dangerous goods carriers and non-dangerous goods carriers shall ensure compliance with appropriated regulatory requirements and the Dangerous Goods Inspection Manual (DGIM).
- j) Operational demonstration and inspection (Phase 4) is comprised of 2 stages as the following description;
 - i) Phase 4.1 On-Site Inspection
 - Discussions with the post holders will be required at a time and dates suitable to the individuals and will address their duties and responsibilities.
 - The management system as described in with the particular emphasis on the following:
 - Organization and accountabilities (Nominated Persons and Safety Manager, Safety Review Board (SRB);
 - Safety Policy;
 - Safety Action Group;
 - Safety Risk Management (Hazard Identification Processes, Risk Assessment and Mitigation Processes);
 - Communication on Safety Matters;
 - Handling of mandatory occurrence reports and air safety reports;
 - Completion of the compliance monitoring programme;
 - Compliance monitoring follow up and corrective action procedures;
 - Control of the Operations Manual;
 - Planning, recording and monitoring of recurrent training for flight crew;
 - Planning and monitoring of the management relevant to Cabin Crew operations, Cabin Crew training, cabin crew training facilities, training records, and the documents consisting of safety instructions and manuals relevant to the operations of cabin crew;

- Procedures for monitoring compliance with the company FTL scheme;
- Capture of regulatory information and implementation of safety notice recommendations.
- Operations Control;
- Ground Operations Station Facilities and Management System inspection at applicant's main base;
- Ramp Inspection at applicant's main base.

Documentation

Documentation to be sampled will include but not limited to:

- Occurrence reports (ASRs/MORs);
- Hazard identification and Risk assessments;
- Minutes of the Management meetings;
- Flight Time Limitations records;
- Training records;
- Returned flight documentation;
- Compliance monitoring records and reports.
- Master control of documents and information related operations.

Note: Items concerned the dangerous goods will be referred to CAAT dangerous goods inspection manual.

ii) Phase 4.2 Demonstration flight

- It is the in-flight demonstration phase to assess that could be performed following required regulatory standards. Detailed demonstration flight procedures are outlined in FOIM Volume III Part IV Chapter 20.
- Detailed procedures for the conducting of Ground Operations Station Facilities and Management System inspection at the applicant's sub-base are outlined in FOIM Volume III Part III Chapter 15.
- Ramp Inspection.

- k) If unsatisfactory conditions are noted by CAAT Certification Team during Demonstration and Inspection phase and require corrective action from an applicant, CAAT may consider an additional inspection to ensure all deficiencies affecting the safety of the operation has been effectively corrected and resolved prior to issue an AOC and its associated Operations Specifications.

7.2 Phase 4.1 On-Site Audit and Inspection Scheme

Following audit scheme are inspected in Phase 4.1 On-Site Inspection;

7.2.1 Organisation and Administration

During the operational demonstration and inspection phase, the applicant's organizational structure, managerial style, direction and philosophy will be evaluated to ensure that necessary and proper control can be exercised over the proposed operation. A sound and effective management structure are essential; the operational management must have proper status in the applicant's organization and be in suitably experienced and competent hands. Through discussions with key management personnel and observation, the CAAT certification team will evaluate the appropriateness of the management structure and determine whether or not clear lines of authority and specific duties and responsibilities of subordinate elements and individuals are established. These duties and responsibilities need to be clearly outlined in the applicant's operations and General Maintenance Manual (GMM) and other company documents. It should also be determined that acceptable processes are established for conveying company procedures and operating instructions to the personnel involved to keep them appropriately informed at all times. The authorities, tasks, responsibilities and relationships of each position need to be clearly understood and followed by the individuals occupying these positions.

At all levels, the applicant's personnel must be thoroughly integrated into the operation and be made fully aware of the channels of communication to be used in the course of their work and of the limits of their authority and responsibility.

The applicant's staffing level needs to be evaluated to determine whether necessary functions. The number and nature of personnel will vary with the size and complexity of the organization. Through a sampling questioning process, the CAAT certification team will determine whether or not management personnel are qualified, experienced and competent to perform their assigned duties.

Experience has shown that the quality of an operation is directly related to the standards maintained by its management. Competent management usually results in safe operations. An excess of managers can lead to fragmentation of responsibility and control and as much difficulty and inefficiency as a shortage. Either case can result in a lowering of operational standards. Thus, the evaluation of an applicant's organization is a very significant phase of the certification inspection process. Once it has been determined that the applicant's organization is adequately staffed and managed, a detailed examination of the organization shall be initiated, and the suitability and use of the associated operations manual and GMM shall be assessed.

The authority shall ensure that, as part of a preliminary assessment of the applicant's technical fitness for the processing of an AOC, there is coordination between the areas of Operations (OPS), Airworthiness (AIR) and other areas concerned in the process.

Detailed outlines to assess the organizational competence is contained in FOIM Volume III Part II Chapter 7.

OPS-Organisational Competence Checklist (CAAT-OPS-CLGEN-401) shall be applied to this inspection area.

7.2.2 Ground Operations Organisation and Management

7.2.2.1 General

The purpose of this phase of the certification inspection is to ascertain, through on-site inspections, the adequacy and suitability of the applicant's management system, staffing, training programme, ground equipment, facilities, safety communication, and procedures to conduct the operations specified in the application.

The inspection of maintenance and engineering facilities and procedures is part of the inspection that will be carried out separately by airworthiness inspectors who are part of the CAAT certification team. This aspect is covered in detail in Airworthiness and Engineering Department Handbook.

Detailed procedures for the conducting of evaluating the ground operations organisation and management system, training management, safety communication, facilities and control other than maintenance facilities are contained in FOIM Volume III Part III Chapter 15.

CAAT shall ensure that the air operator has established an organisational structure that includes the responsibility and authority for the management of all ground handling and operation functions prior to the issuance of an AOC.

CAAT shall ensure that the air operator has developed ground handling and operation training requirements, sub-contracting policies, handling processes, procedures and practices for all ground handling and operations. For training requirements, subcontracting policies, handling processes, procedures and practices for all ground handling and operations, refer to AOCR Chapter 2 paragraph 19.3 and Chapter 5 paragraph 14.

OPS – Ground Operations Station Facilities and Management System at main-base Checklist (CAAT-OPS-CLOMI-405) shall be applied specifically in this inspection scheme at the applicant's main operating base.

7.2.3 Operational Control Organisation

Evaluation of the overall effectiveness of an operational control organization should include a thorough analysis reference to Annex 6, Part I, and Part III, Section II and AOCR Appendix O.

Detailed procedures for the conducting of Operational Control Inspection are contained in FOIM Volume III Part III Chapter 12.

OPS-Flight Operations Officer Training Records checklist (CAAT-OPS-CLFOI-404) and OPS-Operational Control checklist (CAAT-OPS-CLFOI-405) shall be applied specifically to this inspection scheme.

7.2.4 Flight Crew Qualifications, Licensing and Training

CAAT inspectors shall determine that the applicant has established procedures and training programmes to ensure that flight crew qualifications meet the requirements of CAAT Regulations and that personnel are duly licensed and hold appropriate and valid ratings following CAAT PEL Requirements. Detailed inspection procedures are outlined in FOIM Volume III Part I Chapter 3.

OPS-Flight Crew Training Records checklist (CAAT-OPS-CLFOI-401) and OPS-Flight Crew Training checklist (CAAT-OPS-CLFOI-402) shall be applied specifically in this inspection scheme.

7.2.5 Record Keeping

Under CAAT Regulations, operators are required to maintain certain records on the conduct of the operations for a specified period. The primary objective of the inspection of operations and flight records is to ensure that operators comply with established procedures and appropriate regulations. The procedures for record-keeping need to be evaluated as part of the certification inspection process to indicate how records will be kept and whether or not such recording will be conducted in compliance with relevant regulations.

Detailed inspection procedures are outlined in FOIM Volume III Part III Chapter 13. OPS-Returned Flight Documentation checklist (CAAT-OPS-CLFOI-403) shall be applied to this inspection scheme.

7.2.6 Ground Inspection Deficiencies

Unsatisfactory conditions noted by the CAAT certification team during the ground inspection need to be brought to the attention of the applicant for corrective action. The opportunity shall be provided for the applicant to remedy any deficiencies affecting the safety of the operation before the commencement of any flight operations inspection. All discrepancies and items of non-compliance need to be corrected or resolved, with acceptable records of the corrective actions taken being kept, to the satisfaction of the CAAT certification team prior to the inauguration of commercial service.

OPS - Ramp Inspection checklist (CAAT-OPS-CLFOI-422) shall be applied to this inspection scheme.

7.3 Emergency Evacuation and Ditching Demonstration

For issuance of an AOC or variation to an AOC, the applicant is required to establish, to the satisfaction of the CAAT, procedures to be followed, assignment of duties, qualifications of crew members and equipment to be used.

Emergency evacuation training and competency requirements for crew members are established in AOIC Chapter 4 and Chapter 6. As part of the document evaluation, CAAT inspectors will determine that the applicant has established a training programme to ensure that crew members are competent in executing those safety duties and functions to be performed in the event of an emergency evacuation.

Detailed inspection procedures related to training programme approval and monitoring are outlined in FOIM Volume III Part I Chapter 3.

Subsequently, engineering analysis and historical data can be used to validate other passenger seating configurations. Prior to the import of an aircraft into Thailand and issue of a Certificate of Airworthiness, the Airworthiness and Engineering Department will conduct an interior inspection to ensure conformity to an approved interior configuration, emergency and safety equipment, and that there is documentation to confirm that the full capacity emergency evacuation has been completed satisfactorily. The Type Certification Data Sheet (TCDS) and Aircraft Flight Manual (AFM) will normally provide this information and The CAAT uses and checks Type Certificate Data Sheet indicating certification basis of 14 CFR 25.801 and 25.803 (CS 25.801 and 25.803) as a source of documents of a previous demonstration of ditching and evacuation by the aircraft manufacturer.

If reliable analytical methods or previous demonstrations by the aircraft manufacturer or other operators of the same type and model of aircraft are available to satisfy the Authority of the applicant's emergency evacuation capability, a partial evacuation demonstration (without slide inflation) is required in the certification inspection to verify the adequacy of applicant's emergency procedures and crew competency in an emergency evacuation.

If reliable analytical methods or previous demonstrations by the aircraft manufacturer or other operators of the same type and model of aircraft are not available to satisfy the Authority of the applicant's emergency evacuation capability, a full evacuation demonstration is required.

OPS - Type Certification Data Sheet (OPS-CLFOI-406), OPS – Partial Emergency Evacuation and Ditching Demonstration checklist (OPS-CLCSI-406), and OPS - Emergency Evacuation and Ditching Demonstration Report (OPS-AOCFM-142) shall be applied to this scheme.

7.4 Ramp Inspection

The purpose of ramp inspections is to perform on-the-spot assessments of aircraft on the ramp to check compliance with the applicable standards and requirements for the type of operation. The inspection covers a check of operations, equipment and documentation of the following areas;

- a) Flight deck
- b) Cabin safety
- c) Aircraft external condition and relevant aircraft documents
- d) Cargo
- e) General

For ramp inspections, CAAT may consider conducting this activity in Phase 4.2 Demonstration Flight. Detailed ramp inspection procedures are outlined in FOIM Volume III Part III Chapter 17. OPS-Ramp Inspection Checklist (CAAT-OPS-CLFOI-422)

and OPS - In-flight Cabin Inspections checklist (CAAT-OPS-CLCSI-405) shall be applied to this scheme.

7.5 Demonstration Flight(s)

Following audit schemes are inspected in Phase 4.2 Demonstration Flight;

- a) Phase 4.2 Demonstration flight is not limited to only in-flight cockpit inspection by Flight Operations Inspector (FOI) but also in-flight cabin inspections by Cabin Safety Inspector (CSI) and Ground Operations Station Facilities and Management System inspection at applicant's sub-base station by Operations Management Inspector (OMI).
 - The primary objective of inflight cockpit inspections is to observe and evaluate the in-flight operations of a certificate holder within the total operational environment of the air transportation system. Inflight inspections are an effective method of accomplishing air transportation surveillance objectives and responsibilities. These inspections provide CAAT with an opportunity to assess elements of the aviation system that are both internal and external to an operator.
 - The primary objective of inflight cabin inspections are conducted to assess the effectiveness of cabin safety procedures in–AOC Recertification phase 4.2 or AOC Surveillance (In-flight Cabin Inspections) by the direct observation and evaluation of operations conducted in the aircraft cabin. In-flight cabin inspections provide CAAT Cabin Safety Inspectors with information concerning the effectiveness of cabin crew training programmes, operator procedures, the condition and maintenance of aircraft safety and emergency equipment and furnishings.
- b) The primary objective of Ground Operations Station Facilities and Management System inspection at sub-base station is to ensure appropriate arrangements for ground handling and operation management, facilities and systems at each aerodrome for maintaining the safe servicing of its flights.
- c) Prior to certification, it may be necessary, particularly in the case of new operators, to carry out a series of inspections in the course of the flight. Such inspection flights provide an opportunity for the applicant to demonstrate the ability to carry out the proposed operations following applicable regulations. Passengers shall not be carried during inspection flights before certification and observer personnel on board the aircraft shall be kept to a minimum. However, it is generally desirable for the applicant to have onboard company personnel who can take decisions and make commitments on behalf of the applicant concerning action to correct deficiencies.

- d) The determination by CAAT as to whether or not demonstration flights will be required, and if such flights are required, their number and type, will depend on the CAAT certification team's assessment of the capabilities of the operational and maintenance systems established by the applicant. All demonstration flights are to be conducted using the methods and procedures proposed by the applicant in the formal application package (FOIM Volume II Chapter 5).
- e) Detailed demonstration flight procedures are outlined in FOIM Volume III Part IV Chapter 2. OPS - In-flight Cabin Inspections checklist (CAAT-OPS-CLCSI-405) and OPS-Air Operator In-flight Cockpit Inspection checklist (CAAT-OPS-CLFOI-421) shall be applied to this scheme.
- f) FOIM Volume III Part III Chapter 15 outlines detailed procedures for inspecting Ground Handling and Operations at the applicant's sub-base and OPS – Ground Operations Station Facilities and Management System at sub-base Checklist (CAAT-OPS-CLOMI-406) shall be applied specifically in this inspection scheme.

7.6 Demonstration and Inspection Phase Maintenance Control Aspects

7.6.1 General

As part of the requirements described in 7.6.1 and 7.6.2, the applicant (Air Operator) is required to demonstrate that an organization with the necessary qualified staff, equipment and facilities is set up and responsible for ensuring that the aircraft remains in airworthy condition for the duration of their operational life. This is also referred to as managing the continuing airworthiness of the aircraft.

In the case of an applicant seeking authority to operate leased aircraft registered in a different State, suitable arrangements must be made between CAAT and the State of Registry regarding responsibility for the continuing airworthiness of the aircraft. (See FOIM Volume II Chapter 12 for details of the Leasing of Aircraft.)

Further detailed guidance on the maintenance control aspects of air operator certification, as well as approval of the GMM and the preparation of maintenance-related operations specifications associated with an AOC, is contained in Airworthiness and Engineering Department Handbook.

7.6.2 Maintenance Control Organization

CAAT Airworthiness inspector shall determine that the structure of the applicant's maintenance control organization is set forth, clearly delineating duties and responsibilities for all key personnel including the manager(s) for engineering and maintenance. The names of all incumbents shall be listed. The details of the organizational structure shall be included as a part of the GMM and, if necessary, also promulgated separately.

7.6.3 General Maintenance Manual (GMM)

Thai Civil Aviation Regulations require the applicant to prepare a detailed GMM for the use and guidance of maintenance organization personnel. This manual needs to be acceptable to the DGCA and, if different, to the State of Registry. The operator needs to ensure that the GMM is revised as necessary to keep the information contained therein up to date. Copies of all revisions will be furnished promptly to all organizations or persons to whom the manual has been issued. Accordingly, one of the first steps in the maintenance inspection is a thorough analysis of the GMM, the correction of any discrepancies and the tentative acceptance by the CAAT inspector. During the maintenance control inspection, the PM, assisted by qualified CAAT airworthiness inspectors, shall determine that the major provisions of the GMM are being followed in practice.

The specifications identify the State of Thailand and CAAT office involved, the number of the associated AOC, the name of the operator, the date of issuance and the signature of the CAAT official responsible for its issuance and show the make, model and series (or master series) of the aircraft, the type of operation and the geographical areas in which operations are authorized.

The details and the number of volumes of the GMM will vary depending upon the type, complexity and number of aircraft involved. Detailed inspection procedures are outlined in Airworthiness Manual.

7.7 Demonstration and Inspection Phase Forms and Checklists

Following lists shall be carried out as inspection guidance for the Demonstration and Inspection phase to confirm compliance with regulations and safe operating practices by evaluating the effectiveness of the policies, methods, procedures and instructions implementation as described in the manuals and other documents developed by the applicant.

| No. | Form/Checklist code | Form/Checklist Name | Inspection By |
|---|---------------------|---|---------------|
| AOC Phase 4.1 On-site Inspection Phase | | | |
| 1 | CAAT-OPS-CLGEN-401 | OPS-Organisational Competence | FOI/OMI/AWI |
| 2 | CAAT-OPS-CLGEN-402 | OPS-Flight Data Analysis Program | FOI/OMI |
| 3 | CAAT-OPS-CLFOI-401 | OPS-Flight Crew Training Records | FOI |
| 4 | CAAT-OPS-CLFOI-402 | OPS-Flight Crew Training | FOI |
| 5 | CAAT-OPS-CLFOI-403 | OPS-Returned Flight Documentation | FOI |
| 6 | CAAT-OPS-CLFOI-404 | OPS-Flight Operations Officer Training Records | FOI |
| 7 | CAAT-OPS-CLFOI-405 | OPS - Operational Control | FOI |
| 8 | CAAT-OPS-CLFOI-406 | OPS - Type Certificate Data Sheet | FOI |
| 9 | CAAT-OPS-CLFOI-422 | OPS-Ramp Inspection | FOI |
| 10 | CAAT-OPS-CLCSI-401 | OPS-Cabin Crew Manager | CSI |
| 11 | CAAT-OPS-CLCSI-402 | OPS-Cabin Crew Training Manager | CSI |
| 12 | CAAT-OPS-CLCSI-403 | OPS-Cabin Crew Training Record | CSI |
| 13 | CAAT-OPS-CLCSI-404 | OPS-Cabin Crew Training and Facilities | CSI |
| 14 | CAAT-OPS-CLCSI-405 | OPS-In-flight Cabin Inspections | CSI |
| 15 | CAAT-OPS-CLCSI-406 | OPS-Emergency Evacuation and Ditching Demonstration Checklist | FOI/CSI |
| 16 | CAAT-OPS-CLCSI-407 | OPS-Emergency Evacuation and Ditching Capability Checklist | FOI/CSI |
| 17 | CAAT-OPS-CLOMI-401 | OPS-Safety Management System | OMI |
| 18 | CAAT-OPS-CLOMI-402 | Reserved | OMI |
| 19 | CAAT-OPS-CLOMI-403 | OPS-Quality Management System | OMI |
| 20 | CAAT-OPS-CLOMI-404 | OPS-Flight Time Limitations Records | OMI |
| 21 | CAAT-OPS-CLOMI-405 | OPS-Ground Operations Station Facilities and Management System at Main-Base | OMI |
| 22 | CAAT-OPS-CLOMI-302 | OPS-Flight Safety Documentation System | OMI |
| AOC Phase 4.2 – Demonstration Phase | | | |
| 1 | CAAT-OPS-CLFOI-421 | Air Operator In-flight Cockpit Inspection | FOI |
| 2 | CAAT-OPS-CLCSI-405 | OPS-In-flight Cabin Inspections | CSI |
| 3 | CAAT-OPS-CLOMI-406 | OPS-Ground Operations Station Facilities and Management System at Sub-Base | FOI/OMI |
| AOC Administrative Form | | | |
| 1 | OPS-AOCFM-141 | Demonstration and Inspection Phase | POI |

7.8 Procedure Summary

The procedure below lists the sequence of actions and persons responsible for processing an AOC application. In addition to the records listed in the procedure, the PM/POI shall maintain continuously a record of progress.

| Responsible Person | Action(s) | Record |
|-----------------------------------|---|----------------|
| POI and Certification team member | <ul style="list-style-type: none"> Schedules and notifies to CAAT certification team and applicant for the plan of On-site Inspection (Phase 4.1) Conduct Pre-audit meetings. Coordinate inspections with relevant inspector AIR, SFD or PEL if applicable. Manage assigned checklist in CAAT oversight system Issue an audit notification | CAAT System |
| POI | Prepare tariff information and process for the Phase 4.1 Inspection fee | CAAT System |
| OPS Manager | Review tariff information and release to FAB | CAAT System |
| Applicant | Proceed Application Payment Process | CAAT System |
| POI | Send an audit notification to the applicant | CAAT System |
| POI and Certification team member | <ul style="list-style-type: none"> Conduct an Open Meeting Perform on-site audit and inspection Phase 4.1 by reference of assigned checklists Complete checklists Raise non-conformity Conduct Close Meeting | CAAT System |
| Applicant | Submit CAP and evidence references | CAAT System |
| POI and Certification team member | Perform post-audit activities until all non-conformance items are closed | CAAT System |
| POI and Certification team member | <ul style="list-style-type: none"> Conduct internal meeting for Phase 4.2 preparation Schedule the plan for Demonstration Flight (Phase 4.2) | Note of action |
| POI | Prepare tariff information and process for the Phase 4.2 Inspection fee | CAAT System |
| OPS Manager | Review tariff information and release to FAB | CAAT System |

| | | |
|-----------------------------------|---|--------------------|
| Applicant | <ul style="list-style-type: none"> Proceed Application Payment Process | CAAT System |
| POI | <ul style="list-style-type: none"> Submit audit notification of phase 4.2 to an applicant | Note of action |
| FOI/ CSI/ OMI/AWI | <ul style="list-style-type: none"> Perform demonstration flight audit and inspection Phase 4.2 by reference of assigned Checklists Complete checklists Raise non-conformity and inform POI and applicant | CAAT System |
| Applicant | Submit CAP and evidence references | CAAT System |
| FOI/ CSI/ OMI/AWI | Perform post-audit activities until all non-conformance items are closed | CAAT System |
| Applicant | Submit operations manuals for approval and acceptance | Applicant Internal |
| FOI/ CSI/ OMI/AWI | Process the Manual approval/acceptance | CAAT System |
| POI and Certification team member | Review completeness of Phase 4.2 | CAAT System |
| POI | Prepare document and inform CAAT management and applicant for the completeness of Demonstration and Inspection Phase (Phase 4.1 and 4.2) and the readiness of Certification Phase | Note of action |
| POI | Complete form Demonstration and Inspection Phase (OPS-AOCFM-141) | CAAT System |
| POI and Certification team member | Store all relevant documents of the Demonstration and Inspection Phase | CAAT System |

8 CERTIFICATION PHASE

Purpose:

This procedure describes the procedure of the AOC Phase 5 Certification Phase.

Reference:

1. ICAO Doc 8335 Part III, Chapter 7 Certification Phase
2. Air Operator Certificate Requirements and FOIM Volume III
3. The Announcement of the Civil Aviation Authority of Thailand on the certificate's fees issued under the authority of the Civil Aviation Authority of Thailand, B.E. 2561

Responsibilities

1. Flight Operations Standards Manager (OPS Manager) is responsible for the overall AOC administration programme.
2. Principal Operations Inspector (POI) acts as a team leader of responsible operator AOC inspection/certification, all phases, including coordination with other department inspectors and required resources allocation.
3. FOI/AWI/DGI/CSI/OMI/AVSEC each authorized inspector shall conduct the inspections to ensure the compliance of operations with relevant regulations/requirements and operator's approved/accepted manuals and report to respective POI.

8.1 Final preparation for the issuance of an AOC / Completion Process

- a) Principal Operations Inspector (POI) will notify the applicant of all discrepancies or non-conformities that need to be resolved before an AOC and its associated operations specifications can be issued.
- b) The POI and CAAT certification Team shall ensure that all discrepancies or non-conformities arising from the previous phase are properly closed. When the evaluation has been completed and no significant non-conformities remain, arrangements should be made for the appropriate AOC document. CAAT shall not grant an AOC and its associated Operations Specifications with the remaining outstanding discrepancies or non-conformities, all are required to be closed prior to the Certification Phase.
- c) Should there is any subsequent revision to the operator's manual following the inspection and demonstration, the applicant shall submit final revisions of the manuals and final Statement of Compliance for CAAT approval/acceptance prior conclusion of this phase. When the certification team review the manuals for CAAT approval/acceptance, Certification Team should check against the non-conformities that all of the evidence in the record has been included in the manuals and statement of compliance has

been revised to ensure that the regulatory requirements have been addressed in the applicant's manuals, programmes and procedures.

- d) The POI and CAAT Certification Team shall ensure that all the requirements for certification have been met and also to have determined that the applicant is fully capable of fulfilling all the responsibilities incumbent in the conduct of the proposed operations and of complying with the applicable laws and regulations, and the provisions of the certificate and operations specifications.
- e) The AOC certification package should be completed, confirming that there have been no objections from the Certification Team and relevant department involved in the certification process. POI shall ensure that the Flight Operations and Airworthiness Coordination Form which controls by Airworthiness and Engineering Department has been correctly completed and signed by POI and AWI. This form covers the special approvals. The special approval categories signed off on the form must be identical to the categories and put in the Application for Air Operator Certificate (CAAT-OPS-AOCFM-101) and Application for Operations Specification (CAAT-OPS-AOCFM-102).

AOC Package Verification Form (OPS-QCFM-501) shall be used to confirm the correctness and completeness of documents and information contained in the AOC certification package, all discrepancies or non-conformities are addressed and closed.

- f) POI will coordinate with Economic Regulation Department (ERD) to confirm whether the applicant was satisfied with CAAT economic and financial assessment and has a valid Air Operator License (AOL). The objective of the economic and financial assessment is to verify that the applicant has the financial resources to conduct its planned operations, including resources for the disruptions that can be reasonably expected in daily operations. An AOC shall not be issued unless the applicant possesses a valid AOL.
- g) POI will coordinate with AOC Certification Division (CT) or Helicopter Division (HL) (as applicable), Cabin Safety Division (CS), and Dangerous Goods Division (DG) within Flight Operations Standards Department (OPS) and also coordinate with Airworthiness and Aircraft Engineering Department (AIR) and Aviation Security and Facilitation Standards Department (SFD) to prepare a surveillance plan in the respective area. The detailed procedures and generic examples of surveillance plans are provided in FOIM Volume II Chapter 11 Continuing Safety Oversight - Surveillance.
- h) POI will prepare a draft Air Operator Certificate (AOC) with Operations Specifications (OPS SPECS), List of Authorized Aircraft for Specific Approval and any relevant approvals and/or exemptions in the terms requested by the applicant, or such other terms as having been agreed since the original application was lodged and confirmed in writing by the operator. Draft AOC

with OPS SPECS will be submitted to CT or HL (as applicable) and OPS Manager for review. The head of CT or HL and OPS Manager review the drafts and make any changes as necessary.

- i) The POI will provide a report with appropriate recommendations on the issuance or denial of an AOC to the DGCA. The report shall include the following information:
 - i) In the case of a recommendation on the issuance of the AOC:
 - Confirmation that the Air Operator has been certificated following the policy and procedures as contained in the FOIM Volume II and III;
 - Listing of the applicable job aids/checklists that have been completed to confirm that the air operator complies with CAAT regulations and related guidance materials, and applicable cross-references;
 - Confirmation that AOL is issued and CAAT is satisfied that the operator has the financial resources to conduct its planned operations;
 - Signature of the POI and the name and title of each team member who assisted in the certification project;
 - Recommendation for the AOC to be issued.
 - ii) In the case of a recommendation on denial of an AOC:
 - Listing of the incomplete applicable job aids/checklists which the applicant is unable to comply with the applicable standards and requirements;
 - Details of certification requirements which the air operator has failed to achieve;
 - Signature of the poi and the name and title of each team member who assisted in the certification project; and
 - Recommendation on denial of an AOC.
- j) Certification Meeting with the applicant will be conducted to review the overall certification process and result and to inform the applicant of the oversight programme. The meeting should preferably be chaired by DGCA or his delegate.

8.2 Issuance of an AOC and The Associated Operations Specifications

- a) Assuming that there are no outstanding queries, OPS Manager will endorse the certification package and submit DGCA or the person so authorized by the DGCA to sign the AOC and Operations Specifications and any approval documents, as appropriate. AOCs should be signed in blue ink with a red CAAT stamp to avoid forgery by the use of a copier.

- b) CAAT shall assign an AOC number and determine the date of issuance. The format and the content required for an Air Operator Certificate are provided in Appendix A to the AOCR. The format, content and further guidance on the content for the associated operations specifications are provided in the AOCR Appendix A. The AOC and associated authorizations, conditions and limitations, issued by the authority shall contain all the elements identified in the AOCR. The AOC issued by the authority shall be complemented with operations specifications which contain authorizations, conditions and limitations to be complied with by the air operator.
- c) Certification Phase Job Aid OPS-AOCFM-151 Certification Phase Form shall be utilized and completed to confirm before recommending the issuance of the AOC and associated operations specification.

8.3 Refusal/Denial to Issue an AOC

- a) Where, at any stage of the process, the applicant for an AOC fails to demonstrate compliance with the requirements, the CAAT inspector should offer advice and guidance to assist in achieving compliance. Such advice must be limited to helping the applicant in understanding the requirements and, where applicable, using the inspectors' experience to point the applicant towards best practices for safe and practical compliance. It is not the inspectors' responsibility to write the operator's documentation or to do anything which absolves the applicant from his responsibilities as a prospective AOC holder. CAAT inspectors should also bear in mind that CAAT resources are finite and a disproportionate amount of inspector time should not be spent on a single applicant.
- b) Where the POI is concerned that an AOC application is not progressing at a reasonable pace, he should seek advice from OPS Manager. OPS Manager may consider calling a meeting with the POI and the applicant to discuss the matter and make clear to the applicant what is required from him, and within what timescale. OPS Manager should not normally permit an AOC application process to continue beyond 24 months.
- c) If the applicant continues to fail to demonstrate compliance, the POI should notify OPS Manager. OPS Manager shall decide the course of action from three main options:
 - Instruct the POI to continue with the application. In this case, the applicant shall be informed in writing of a final and limited timescale for completion.
 - Inform the applicant that the AOC application is cancelled. The applicant shall be informed that he has the right to submit a new application, but that it will not be processed until the applicant can demonstrate that he has addressed the shortcoming of the first application.

- Inform the applicant that CAAT refuses to issue an AOC. This decision results from a serious failure to demonstrate compliance which normally reflects a failure of management capability.
- d) In the event of cancellation or refusal, CAAT shall notify the applicant in writing, giving a clear explanation of the reasons supported by documentary evidence from audits and inspections.

8.4 Period of Validity of an AOC and The Associated Operations Specifications

General Air Operator Certificate is normally valid for not more than 2 years for the initial issue. Thereafter, it may be renewed for not more than 5 years subject to the satisfaction of CAAT. The type(s) of aircraft that may be flown and the associated operational approvals are specified in the operations specifications.

- a) In general, an AOC or any portion of an AOC issued by CAAT remains valid until:
 - i) CAAT amends, suspends, revokes or otherwise terminates the certificate;
 - ii) The AOC holder surrenders the certificate to CAAT;
 - iii) The AOC holder did not operate more than 6 months continuously from receiving of AOC or suspend operation more than 1 year continuously;
 - iv) The expiry date, as applicable.

8.5 Identification of Individual Aircraft by Nationality and Registration Marks

Operations specifications include designation of the make, model and series (or master series) of the aircraft that is to be used. Details of the aircraft type should be following the ICAO standard (Doc 8643).

By the standard format for the Operations Specifications, the identification of individual aircraft is not included. It is essential that information on the identification of individual aircraft, used by an operator for a particular operation, is maintained up to date and documented in the Operations Manual.

8.6 Amendments to the AOC and the Operations Specifications

Any subsequent changes to the operation specified or to the equipment approved for use may necessitate amendments to the Operations Specifications, and so to the Operations Manual. It is appropriate that an AOC will itself be a very basic document and that all aspects of the operation that might be the subject of certification changes would be dealt with in the associated Operations Specifications which would evolve with the operations.

The process for the amendment of Operations Specifications will be similar to the original certification process, with the exception that in many cases it will be far less complex, dependent upon the subject of the change that necessitates the

amendment. Where changes involve new types of operation, new geographical areas or new aircraft, the appropriate level of complexity will have to be applied to the process. Detailed procedures for AOC variation and amendment to AOC and/or OPS SPECS are outlined in FOIM Volume II Chapter 10 Variation to Existing Air Operator Certificate.

8.7 Renewal of an AOC

The continued validity of an AOC is dependent upon an operator maintaining the requirements for an adequate organization, method of control and supervision of flight operations, training programme as well as ground handling and operations and maintenance arrangements consistent with the nature and extent of the operations specified in the AOC and the associated Operations Specifications, under the supervision of CAAT. Detailed procedures for AOC renewal are outlined in FOIM Volume II Chapter 9.

8.8 Certification Phase Forms and Checklists

Following lists shall be carried out as inspection guidance for the Certification phase to confirm the acceptability of ability to comply with regulations and safe operating practices by evaluating the effectiveness of the policies, methods, procedures and instructions as described in the manuals and other documents developed by the applicant.

| No. | Form/Checklist code | Form/Checklist Name | Inspection By |
|-----|---|---|---------------|
| 1 | OPS-AOCFM-151 | Certification Phase | POI |
| 2 | OPS-QCFM-501 | AOC Package Verification Form | POI |
| 3 | CAAT-OPS-SOC-101 to CAAT-OPS-SOC-113 | Final Statement of Compliance Ch.1 to Ch.13 | POI |

8.9 Procedure Summary

The procedure below lists the sequence of actions and persons responsible for processing an AOC application. In addition to the records listed in the procedure, the POI shall maintain continuously a record of progress.

| Responsible Person | Action(s) | Record |
|----------------------------|--|-----------------|
| POI and Certification Team | <ul style="list-style-type: none"> notify the applicant of all discrepancies or non-conformity that need to be resolved before an AOC and OPS SPECS can be issued. Conduct an internal meeting | Note of Action |
| POI | Prepare tariff information and process for the Certification fee | CAAT System |
| OPS Manager | Review tariff information and release to FAB | CAAT System |
| Applicant | Proceed Certification Payment Process | CAAT System |
| POI | <ul style="list-style-type: none"> Confirms the following items are completed: <ul style="list-style-type: none"> - All discrepancies or non-conformities are closed. - All manuals including MEL are approved/accepted. - Equivalent compliance is verified. - Special approvals processes are completed. - Organizational competence, AM and Post Holders are accepted. - Airworthiness requirements are satisfied - Confirmation of the objection from the certification team and relevant department is noted | Notes of Action |

| | | |
|-----------------------------------|---|-------------------|
| | <ul style="list-style-type: none"> - Coordination form is correctly completed and signed - Confirmation on financial fitness and AOL issuance are noted - All Statements of Compliance is satisfied. • Completes form Certification Phase (OPS-AOCFM-151) • Prepares Audit Report • Prepare draft AOC document and Ops Spec. • Coordinate with CT/HL, CS, DG (within OPS) as well as AIR and SFD to set up the surveillance plan • Submit draft surveillance to OPS Manager for review • Verifies and confirms completeness and correctness of AOC Certification Package by AOC Package Verification Form (OPS-QCFM-501) | |
| OPS Manager | Verifies the AOC certification package and all relevant documents and proceed to DGCA | Notes of Action |
| DGCA or his delegate | Grant an AOC and associate Operations Specification | AOC and OPS SPECS |
| POI | Prepare invitation letter for Certification Meeting | Notes of Action |
| POI and Certification Team member | Conduct Certification Meeting with the applicant to review overall certification process and result and provide the oversight programme. The meeting should preferably be chaired by DGCA or his delegate | Notes of Action |
| POI and Certification team member | Store all relevant documents of the AOC certification process | CAAT System |

8.10 AOC Certification Package

Upon the completion of phases 1-4, is completed, POI, assisted by the certification team, shall prepare a set of files to record all of the AOC certification activity from Phase 1 to Phase 5. The AOC Certification Record Files must be standards for all AOCs. The guidance provided in OPS Handbook and AOC Package Verification Form (OPS-QCFM-501) should be used when arranging the AOC certification package.

9 RENEWAL OF AOC AND DG PERMIT

Purpose:

This chapter guides the AOC/DG renewal process to an existing Air Operator Certificate (AOC) and/or Dangerous Goods (DG) Permit.

Reference:

1. ICAO Doc 8335, Part III Chapter 7
2. ICAO Doc 8335, Part IV Continuing Safety Oversight of the Operator by the State of the Operator
3. Air Operator Certificate Requirements (AOCR)
4. Regulation of Civil Aviation Board (RCAB) No.85 and 86
5. The Announcement of the Civil Aviation Authority of Thailand on the certificate's fees issued under the authority of the Civil Aviation Authority of Thailand, B.E. 2561
6. The Regulations of the Civil Aviation Authority of Thailand on the certificate's fees issued under the authority of the Civil Aviation Authority of Thailand, B.E. 2561
7. The Civil Aviation Authority of Thailand Notification on Criteria and Conditions for Permission to Send or Carry Dangerous Goods or Animals with Aircraft, B.E. 2558
8. Annex 18 to the Convention on International Civil Aviation, The Safe Transport of Dangerous Goods (AN18)
9. ICAO Technical Instructions for the Safe Transport of Dangerous Goods by Air (ICAO TI) and supplement
10. RCAAT No.4 - Regulations of the Civil Aviation Authority of Thailand No.4 Transport of Dangerous Goods by Air B.E.2559
11. Emergency Response Guidance for Aircraft Incidents Involving Dangerous Goods (Doc 9481)
12. FOIM Volume II and FOIM Volume III
13. Dangerous Goods Inspector Manual (DGIM)

Responsibilities

1. Flight Operations Standards Manager (OPS Manager) is responsible for the overall AOC administration programme.
2. The Principal Operations Inspector (POI) is a team leader of responsible operator AOC inspection/certification, all phases, including coordination with other department inspectors and required resources allocation.

3. FOI/AWI/DGI/CSI/OMI/AVSEC each authorized inspector shall conduct the inspections to ensure the compliance of operations with relevant regulations/requirements and CAAT approved/accepted manuals and report to respective POI/FOI and OPS Manager.

9.1 General

- a) The continued validity of an Air Operator Certificate (AOC) is dependent upon an operator maintaining the requirements for an adequate organization, method of control and supervision of flight operations, training programme as well as ground handling and maintenance arrangements consistent with the nature and extent of the operations specified in the AOC and the associated operations specifications, under the supervision of CAAT.
- b) CAAT will conduct continuing surveillance of the Air Operator and thus continuously determine that the Air Operator Certificate (AOC) and/or Dangerous Goods (DG) permit remain valid. Procedures for the establishment and implementation of an annual surveillance plan are outlined in FOIM Volume II Chapter 11 for Continuing Safety Oversight - Surveillance.
- c) The Air Operator needs to apply for renewal of the AOC and/or DG Permit prior to the expiration date. The authorized operation that the Air Operator intends to apply for renewal of the AOC and/or DG Permit shall be the existing and active specific approval that is being granted.
 - i) The application for an Air Operator Certificate (AOC) renewal should be submitted at least 120 days before the AOC's expiration date.
 - ii) The application for the renewal of Dangerous Goods (DG) permits should be submitted at least 90 days before the permit's expiration date.
- d) CAAT continues to exercise surveillance, such renewal does not involve a complete recertification procedure and thus will not be an onerous or prolonged process.

9.2 Fees for Aviation Regulatory Services

A fee imposed by the Civil Aviation Authority of Thailand Regulations and Announcement for the processing and consideration of an application to issue certificates, licenses, permits, and other approval for the grant or issue of the authorization.

The fee for aviation regulatory services is divided into three (3) stages, which are as follows:

- a) Application Fee;
- b) Audit/Inspection Fee; and
- c) Certification Fee

Note: The renewal of the Dangerous Goods Permit did not require an application fee.

9.3 Team Members

Renewal Certification Team consist of a Principal Operations Inspector (POI) and/or assigned Flight Operations Inspector (FOI) as a Project Manager, and as applicable, Cabin Safety Inspector (CSI), Operations Management Inspector (OMI), Dangerous Goods Inspector (DGI), Airworthiness Inspector (AWI), Security Inspector (AVSEC) and the Economic Regulatory Officer from The Economic Regulation Department (ERD) as applicable to form a Renewal Certification Team to begin the renewal process.

9.4 The Renewal Process

There are four (4) phases in the AOC and/or DG renewal process. Each phase is described in sufficient detail to provide a general understanding of the entire renewal process. The four phases are:

- a) Formal Application Phase
- b) Document Evaluation Phase
- c) Demonstration and Inspection Phase
- d) Renewal Certification Phase

In some cases, the guidance and suggested sequence of events in this chapter may not be entirely appropriate. In such situations, the CAAT and the operator would proceed in a manner that considers existing conditions and circumstances.

The renewal to Air Operator Certificate and/or Dangerous Goods Permit will require aligning their documents in line with the CAAT Regulations and will be subjected to the four-phase renewal process as detailed in this chapter. However, as specified in parts of this chapter, the operator may be exempted from certain processes, particularly in the demonstration and inspection phase, if the CAAT deems the operator complies with the requirements.

9.5 Formal Application Phase

The operator should apply for renewal of the air operator certificate and/or dangerous goods permit form (CAAT-OPS-AOCFM-403) as far in advance as possible, along with an intention letter to apply for renewal certificates through the CAAT System with the required form, documents, and operations manual for the formal application by at least the following;

- a) Documents for the renewal of an Air Operator's Certificate
 - i) Copy of the existing AOC;
 - ii) Copy of the existing Operation Specifications and List of Authorized Aircraft for Specific Approval;
 - iii) Copy of the existing Air Certificate License (AOL);

- iv) List of Controlled documents and manuals;
- v) Statement of Compliance Chapter 1 to 13 (CAAT-OPS-SOC-101 to CAAT-OPS-SOC-113 and/or CAAT-OPS-SOC-151);
- vi) The status of the implementation of the corrective action(s) regarding the existing outstanding findings (if applicable); and
- vii) Document of security requirements (manuals, training etc.)
- b) Documents for the renewal of Dangerous Goods Permit
 - i) Copy of the existing AOC;
 - ii) Copy of the existing Operation Specifications and List of Authorized Aircraft for Specific Approval;
 - iii) Copy of the existing Dangerous Goods Permit;
 - iv) Dangerous Goods Manual; and
 - v) Dangerous Goods Training Programme.
- c) Amendments to the manual and/or information under Article 3(15) of Civil Aviation Board Regulation No. 85 on Air Operator Certificate (if applicable)
 - i) CAAT-OPS-AOCFM-204 Proposal of Manual Amendment Form; and
 - ii) Operator's Manuals and/or Documents which require to amend

POI and the Certification Team will review the application and submitted documents to ensure that the required information and attachments are included. If the formal application documents package is successful, POI should issue an acceptance of the package letter to the operator; if there are omissions or errors, the application and documents should be returned to the operator with an explanation of the reasons for its return.

Note:

- a) *Temporary Revision (TR) in Operations Manuals will be deemed invalid, and the applicant should incorporate them into Operations Manuals before submitting the amended manual to CAAT for evaluation and acceptance/approval during the Document Evaluation Phase.*
- b) *CAAT reserves the right to reject an application if the operator fails to complete and submit all required documents within 30 days.*

9.6 Coordination Procedure during the Formal Application Phase

- a) Coordination with the Economic Regulation Department (ERD)

POI should coordinate with the Economic Regulation Department (ERD) by submitting OPS-AOCFM-161 (Coordination Form - Assessment of General, Legal and Economic Status Checklist) along with a copy of form CAAT-OPS-AOCFM-403, Section 3 (Application for Renewal of Air Operator Certificate and/or Dangerous Goods Permit) for a financial assessment of the organization's operating competency in financial health status to ensure the operator has sufficient financial resources to obtain all required equipment,

facilities, and manpower and be able to fully support operations, as marginal or severely limited resources frequently have an adverse effect on safety and efficiency.

- b) Coordination with the Aviation Security and Facilitation Standards Department (SFD)

POI should coordinate with the Aviation Security and Facilitation Standards Department (SFD) for inspector delegation and confirm receiving of the applicant's Security Documentation that submitted directly to the SFD.

- c) Coordination with the Airworthiness and Aircraft Engineering Department (AIR)

POI should coordinate with the Airworthiness and Aircraft Engineering Department (AIR) for inspector delegation.

Before proceeding to the next phase, POI and certification team should ensure the documents for completeness by using the AOC Renewal Job Aid Form OPS-AOCFM-402 in the section Formal Application Phase to confirm completion.

9.7 Document Evaluation Phase

- a) In the Document Evaluation Phase, CAAT has the opportunity to review the entire operations manuals of the operator to ensure that they accurately reflect the current structure and systems, and are following rule requirements.
- b) Following the formal application package's acceptance, the operator may intend to submit their revised operations manual for evaluation; normally, these documents should be submitted during the Formal Application Phase, but if not, the schedule of events should clearly state when each specific document/manual will be submitted.
- c) The certification team should begin a thorough evaluation of all the manuals and documents and make effort to complete these evaluations in accordance with the agreed-upon schedule of events.
- d) POI and the certification team should review and ensure that company manuals are in accordance with regulatory regulations and reflect the company's actual situation at the time, safe operating practices, granted operations specifications (Ops Spec), and Authorization Conditions/Limitations.

The following references, but not limited to, are to be used in evaluating the submitted manuals:

- i) CAAT-OPS-AOCFM-204 Manual Amendment Proposal Form; or
- ii) Statement of Compliance (SOCs) Chapters 1 to 13 (CAAT-OPS-SOC-101 to CAAT-OPS-SOC-113 and/or CAAT-OPS-SOC-151) as applicable to amend manuals; or
- iii) Applicable Checklist in CAAT System.

- e) If a manual or document is incomplete or deficient, or if non-compliance with the regulations or procedures does not reflect a safe operating practice, the manual or document shall be returned to the operator for corrective action, until the evaluation is satisfactory, at which point the manuals and documents should be approved or accepted, as required by the Regulations before proceeding to the Demonstration and Inspection phase.
- f) Before proceeding to the next phase, POI and certification team should ensure the documents for completeness by using the AOC Renewal Job Aid Form OPS-AOCFM-402 in the section Document Evaluation Phase to confirm completion.

Note:

- a) *CAAT reserves the right to reject an application if the operator fails to submit the CAP(s) and the Implementation response within the agreed-upon time frame.*
- b) *CAAT reserves the right to reject an application if the operator fails to complete and submit amended company manuals within 15 days of the agreed time frame.*

9.8 Demonstration and Inspection Phase

CAAT has the authority and responsibility to exercise continuing safety oversight of the operator regularly to ensure that accepted safety practices and proper procedures for promoting safety in operations are maintained. The results of the operator's previous oversight programme can be used to evaluate the operator's safety and compliance performance.

To achieve the safety and compliance objective, the following criteria, but not limited to, should be used to conduct an analytical method and assess the operator's safety and compliance performance in order to determine whether the Demonstration and Inspection Phase is required:

- a) For an AOC Renewal Assessment
 - i) POI and the certification team should review the most recent Risk-Based Assessment results, including a review of historical data (audit reports, compliance history, organisational changes, occurrences, etc.) This review will enable POI and the certification team to determine a more complete picture of the operator, which will help to focus certification efforts and assist with decision-making.
 - ii) Using the analytical method in a) i), POI and the certification team can determine whether the entire scope of the surveillance activities was carried out and completed throughout the surveillance cycle ^{a)} as indicated in risk-based surveillance planning.
 - iii) To commence the Demonstration and Inspection Phases, POI and the certification team should be aware of the incomplete surveillance scope and some aspects that require close monitoring to ensure their continued safe operations.
- b) For a DG Permit Renewal Assessment

The Dangerous Goods Main Base Audit (DMBA) have been carried out and completed within 6 months;

- c) If the Demonstration and Inspection Phase is required, the effectiveness of the operator's management of the policies, methods, and procedures described in the operator's manuals and other documents should be highlighted during this phase. Non-compliance or deficiencies will be brought to the attention of the operator and corrective action shall be taken completed before a renewal certificate is issued.
- d) Before proceeding to the next phase, POI and certification team should ensure the documents for completeness by using the AOC Renewal Job Aid Form OPS-AOCFM-402 in section Demonstration and Inspection Phase to confirm completion.

Note:

- a) *The conclusion of the Surveillance cycle and activities following Risk-Based Analysis can be found in Chapter 9 of the Flight Operations Standards Department Manual (OPSM).*
- b) *CAAT reserves the right to reject an application if the operator fails to submit the CAP(s) and the Implementation response within the agreed-upon time frame.*

9.9 Renewal Certification Phase

- a) POI and the Certification Team shall ensure that all discrepancies or non-conformities arising from the previous phase are closed. When the evaluation has been completed and no significant non-conformities remain, arrangements should be made for the appropriate AOC and/or DG renewal document to be raised.
- b) Should there is any subsequent revision to the operator's manual following the inspection and demonstration, the operator shall submit a final revision of the manuals and a final statement of compliance (SOCs) for CAAT approval prior conclusion of this phase. When POI and the certification team review the manuals for CAAT approval, POI and the renewal certification team should check against the non-conformities that all of the evidence in the record has been included in the manuals and statement of compliance has been revised to ensure that the regulatory requirements have been addressed in the operator's manuals, programmes and procedures.
- c) POI and the Certification Team will prepare an Air Operator Certificate (AOC) and its corresponding Operation Specifications (Ops Spec) and limitations, Dangerous Goods Permit (DG) (if applicable), which contain authorizations, limitations and provisions specific to an operator's operation. The operator shall acknowledge receipt of these documents.
- d) The CAAT is responsible for conducting periodic inspections of the certificate holder's operation to ensure continued compliance and safe operating practices.
- e) Before completing the renewal certification process, POI and certification team should ensure that there are no issues with the issuance of renewal

certificates to the applicant and complete the AOC Renewal Job Aid Form OPS-AOCFM-402 in the Renewal Certification Phase to confirm completion.

Note: CAAT reserves the right to reject an application if the operator fails to complete and submit required documents for the certification package within 10 days.

9.10 Issue and Continued Validity of an AOC and/or DG Permit

An AOC and/or DG Permit will not be granted to an operator, and that AOC should not be renewed unless the operator has demonstrated to CAAT that he or she is capable of:

- a) Establish and maintain an adequate organization.;
- b) Implement and sustain a quality management system and a safety management system in accordance with CAAT Regulations and Requirements;
- c) Comply with required training programmes; and
- d) Comply with maintenance requirements, consistent with the nature and extent of the operations specified, including the relevant items prescribed in Airworthiness and Aircraft Engineering Regulations and Requirements.

9.11 Checklists and Forms Summary

Applications and Forms shall be utilized to confirm maintaining an adequate organization, systematic system and compliance with the existing CAAT regulations.

| NO | Form code | Form Name | Inspection By |
|----|--|---|--------------------------------------|
| 1 | OPS-AOCFM-161 | Coordination Form - Assessment of General, Legal and Economic Status Checklist | Economic Regulation Department (ERD) |
| 2 | OPS-AOCFM-402 | AOC Renewal/DG Permit Renewal Job Aid | POI and Certification Team |
| 3 | CAAT-OPS-AOCFM-403 | Application for Renewal of Air Operator Certificate and/or Dangerous Goods Permit | POI and Certification Team |
| 4 | CAAT-OPS-SOC-101 to CAAT-OPS-SOC-113 and/or CAAT-OPS-SOC-151 | Statement of Compliance Chapter 1 to 13 and/or Statement of Compliance HEMS | POI and Certification Team |

The following checklists shall be used as inspection guidance to confirm compliance with regulations and safe operating practices by evaluating the effectiveness of the policies, methods, procedures, and instructions as described in the operator's manuals and other documents.

| NO | Checklist code | Checklist Name | Inspection By |
|------------------------------------|---------------------------------------|----------------|----------------------------|
| Document Evaluation Phase | | | |
| 1 | Reference to FOIM Volume II Chapter 6 | | POI and Certification Team |
| Demonstration and Inspection Phase | | | |
| 2 | Reference to FOIM Volume II Chapter 7 | | POI and Certification Team |

9.12 Procedure Summary

The procedure below lists the sequence of actions and persons responsible for processing the renewal of AOC and/or DG Permit. In addition to the records listed in the procedure, the POI shall maintain continuously a record of progress.

| Person Responsible | Action | Record |
|---------------------------------|--|--------------------------------|
| Formal Application Phase | | |
| Operator | Complete and submits; <ul style="list-style-type: none"> • Application for Renewal to an Air Operator Certificate; • Application for Renewal to Dangerous Goods Permit (<i>if applicable</i>); • Amendments to the manual and/or information (<i>if applicable</i>); • Statement of compliance (SOCs). | Application |
| OPS Manager | <ul style="list-style-type: none"> • Review the AOC/DG Renewal application package submitted through the CAAT System and notify the assigned POI and delegated inspector of the task. | CAAT System |
| POI and Certification Team | <ul style="list-style-type: none"> • Coordinate with the Airworthiness and Aircraft Engineering Department (AIR) for inspector delegation. • Coordinate with the Aviation Security and Facilitation Standards Department (SFD) for inspector delegation and confirm receiving of the applicant's Security Documentation that submitted directly to the SFD's email sfd_os@caat.or.th. • Coordinate with the Economic Regulation Department (ERD) by submitting OPS-AOCFM-161 (Coordination Form - Assessment of General, Legal and Economic Status Checklist) along with a copy of the form CAAT-OPS-AOCFM-403, Section 3 (Application for Renewal of Air Operator Certificate and/or Dangerous Goods Permit). | Internal Coordination |
| POI and Certification Team | <ul style="list-style-type: none"> • Arrange a meeting with certification team members. • Forwards documents to certification team members. | Note of Action |
| POI / Assigned Inspectors | <ul style="list-style-type: none"> • Prepare the tariff information for the application fee to the Financial Accounting and Budgeting Department (FAB). | CAAT System |
| Operator | <ul style="list-style-type: none"> • Complete the application payment process within the time frame specified. | CAAT System |
| POI | <ul style="list-style-type: none"> • Ensure that the payment process has been completed. | CAAT System |
| POI and Certification Team | <ul style="list-style-type: none"> • The reviews application package and relevant documents for completeness. • Issue application acceptance letter. | Note of Action |
| OPS Manager | <ul style="list-style-type: none"> • Review the application acceptance letter. | Note of Action |
| POI and Certification Team | <ul style="list-style-type: none"> • Inform the operator to collect the application package acceptance letter. • Completed Job-Aid Form OPS-AOCFM-402, as the applicable phase. • Store all relevant documentation. | Note of Action and CAAT System |

| Person Responsible | Action | Record |
|---|---|--------------------------------|
| Document Evaluation Phase | | |
| POI and Certification Team | <ul style="list-style-type: none"> Evaluate and ensure the compliance of company manuals with current regulations as applicable assigned Forms and Checklists. | CAAT System |
| POI and Certification Team | <ul style="list-style-type: none"> Complete checklists. Raise non-conformity. Inform the operator and POI of the outcomes. | CAAT System |
| Operator | <ul style="list-style-type: none"> Submit Corrective Action (CAP) and implementation of the corrective action (Closing Action) to CAAT. | CAAT System |
| POI and Certification Team | <ul style="list-style-type: none"> Review Corrective Action (CAP) and implementation of the corrective action (Closing Action) for closure of non-conformity. If the submitted Corrective Action (CAP) and implementation of the corrective action (Closing Action) from the operator are not satisfied, the inspector may reject and ask for resubmitted of revised Corrective Action (CAP) and implementation of the corrective action (Closing Action) and more evidence references. | CAAT System |
| Operator | <ul style="list-style-type: none"> Submits amended manual to POI or associated inspector. | CAAT System |
| POI / Assigned Inspectors | <ul style="list-style-type: none"> Proceed with the manual approve/accept letter process for the Director-General to approve/accept the amended manual(s). | Note of Action |
| POI / Assigned Inspectors | <ul style="list-style-type: none"> Inform the readiness of manual approval/accept a letter to the operator. | Note of Action |
| POI and Certification Team | <ul style="list-style-type: none"> Completed Job-Aid Form OPS-AOCFM-402, as the applicable phase. Store all relevant documentation. | Note of Action and CAAT System |
| Demonstration and Inspection Phase | | |
| POI and Certification Team | <ul style="list-style-type: none"> Conduct an analytical method and assess the operator's safety and compliance performance in order to determine whether the Demonstration and Inspection Phase is required. If required, the purpose date of the Inspection/Audit would be scheduled. | Note of Action |
| POI / Assigned Inspectors | <ul style="list-style-type: none"> Prepare the tariff information for the audit/inspection fee to the Financial Accounting and Budgeting Department (FAB). | CAAT System |
| Operator | <ul style="list-style-type: none"> Complete the audit/inspection payment process within the time frame specified. | CAAT System |

| Person Responsible | Action | Record |
|------------------------------------|---|--------------------------------|
| POI | <ul style="list-style-type: none"> Ensure that the payment process has been completed. | CAAT System |
| POI and Certification Team | <ul style="list-style-type: none"> Conduct the Audit Preparation meeting to discuss the audit schedule, audit criteria, roles and responsibilities, and document preparations before commencing the Demonstration and Inspection phase. Issue and notify the Inspection/Audit Notification for Demonstration and Inspection Phase to the operator. | Note of Action |
| POI and Certification Team | <ul style="list-style-type: none"> Perform inspection as applicable assigned Checklists. | Note of Action |
| POI and Certification Team | <ul style="list-style-type: none"> Complete checklists. Raise non-conformity. Inform the operator and POI of the audit outcomes. | CAAT System |
| Operator | <ul style="list-style-type: none"> Submit Corrective Action (CAP) and implementation of the corrective action (Closing Action) to CAAT. | CAAT System |
| POI and Certification Team | <ul style="list-style-type: none"> Review Corrective Action (CAP) and implementation of the corrective action (Closing Action) for closure of non-conformity. If the submitted Corrective Action (CAP) and implementation of the corrective action (Closing Action) from the operator are not satisfied, the inspector may reject and ask for resubmitted or revised Corrective Action (CAP) and implementation of the corrective action (Closing Action) and more evidence references. | CAAT System |
| Operator | <ul style="list-style-type: none"> Submits amended manual to POI or associated inspector (<i>if applicable</i>) | CAAT System |
| POI / Assigned Inspectors | <ul style="list-style-type: none"> Proceed with the manual approve/accept letter process for the Director-General to approve/accept the amended manual(s). | Note of Action |
| POI / Assigned Inspectors | <ul style="list-style-type: none"> Inform the readiness of manual approval/accept a letter to the operator. | Note of Action |
| POI and Certification Team | <ul style="list-style-type: none"> Completed Job-Aid Form OPS-AOCFM-402, as the applicable phase. Store all relevant documentation | Note of Action and CAAT System |
| Renewal Certification Phase | | |
| POI / Assigned Inspectors | <ul style="list-style-type: none"> Prepare the tariff information for the certification fee to the Financial Accounting and Budgeting Department (FAB). | CAAT System |
| Operator | <ul style="list-style-type: none"> Complete the certification payment process within the time frame specified. | CAAT System |

| Person Responsible | Action | Record |
|----------------------------|---|--|
| POI | <ul style="list-style-type: none"> Ensure that the payment process has been completed. | CAAT System |
| POI / Assigned Inspectors | <ul style="list-style-type: none"> Inform the applicant to submit the applicable Final Statement of Compliance (SOCs) if it is imperative to update the recent applicant manuals revision which has been approved/accepted in the Document Evaluation phase or Demonstration and Inspection phase. | Note of Action |
| Operator | <ul style="list-style-type: none"> Submit the applicable Final Statement of Compliance (SOCs) | CAAT System |
| POI and Certification Team | <ul style="list-style-type: none"> Conduct an internal meeting with the certification team to assign and prepare at least the following documentation for the renewal certification package: <ul style="list-style-type: none"> a) Draft of an Air Operator Certificate (AOC); b) Draft of the Operations Specifications and List of Authorized Aircraft for Specific Approval; c) Draft of the Dangerous Goods Permit (if applicable); d) The OPS-AOCFM-161 coordination form, which was completed by the Economic Regulation Department (ERD) during the formal application phase; e) The AWI completed a coordination form (controlled by the Airworthiness and Aircraft Engineering Department); f) Completion and correctness of the submitted Final Statement of Compliance (SOCs); and g) Completed the AOC Renewal Job Aid Form OPS-AOCFM-402, Phase 1-3. If the renewal certification package's prepared and reviewed documentation is correct and complete, then submit the completed certification package to OPS Manager. | Note of Action |
| OPS Manager | <ul style="list-style-type: none"> Review the correctness of the proposed renewal certificates and certification packages. Verify renewal certificates and packages, as required. Propose the renewal certificates and renewal certification packages for DGCA signature | Note of Action |
| DGCA or his delegate | <ul style="list-style-type: none"> Granting the proposed renewal certificates and renewal certification packages. | AOC and OPS SPECS/DG Permit <i>(as applicable)</i> |
| POI and Certification Team | <ul style="list-style-type: none"> Completed Job-Aid Form OPS-AOCFM-402, for renewal certification phase. Store all relevant documentation, then the renewal certification process is completed. | Note of Action and CAAT System |

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10 VARIATIONS TO EXISTING AIR OPERATOR CERTIFICATE

Purpose:

This chapter guides the variation procedure to the approval Air Operator Certificate (AOC) and/or Operations Specifications (Ops Spec) which will result in the re-issuance of the Operator Certificate Authorization.

Reference:

1. ICAO Annex 6 Operation of Aircraft Part 1 International Commercial Air Transport
2. ICAO Doc 8335-AN/879, Manual of Procedures for Operations Inspection, Certification and Continued Surveillance
3. Air Operator Certificate Requirements (AOCR)
4. Helicopter Operations Requirements (HOR)
5. Regulation of Civil Aviation Board (RCAB) No.85 and 86
6. The Announcement of the Civil Aviation Authority of Thailand on the certificate's fees issued under the authority of the Civil Aviation Authority of Thailand, B.E. 2561
7. The Regulations of the Civil Aviation Authority of Thailand on the certificate's fees issued under the authority of the Civil Aviation Authority of Thailand, B.E. 2561
8. The Civil Aviation Authority of Thailand Notification on Criteria and Conditions for Permission to Send or Carry Dangerous Goods or Animals with Aircraft, B.E. 2558
9. Annex 18 to the Convention on International Civil Aviation, The Safe Transport of Dangerous Goods (AN18)
10. ICAO Technical Instructions for the Safe Transport of Dangerous Goods by Air (ICAO TI) and supplement
11. RCAAT No.4- Regulations of the Civil Aviation Authority of Thailand No.4 Transport of Dangerous Goods by Air B.E.2559
12. Emergency Response Guidance for Aircraft Incidents Involving Dangerous Goods (Doc 9481)
13. FOIM Volume II and FOIM Volume III
14. Dangerous Goods Inspector Manual (DGIM) and Cabin Safety Inspector Manual (CSIM)

Responsibilities

- a) Flight Operations Standards Manager (OPS Manager) is responsible for the overall AOC administration programme.
- b) The Principal Operations Inspector (POI) acts as a team leader of responsible AOC inspection/certification, all phases, including coordination with other department inspectors and required resources allocation.
- c) FOI/AWI/DGI/CSI/OMI/AVSEC each authorized inspector shall conduct the inspections to ensure the compliance of operations with relevant regulations/requirements and CAAT approved/accepted manuals and report to respective POI/FOI and OPS Manager.

10.1 General

Any subsequent changes to the operation specified or to the equipment approved for use will necessitate amendments to the operations specifications. An AOC will itself be a very basic document and all aspects of the operation that might be the subject of change would be dealt with in the associated operations specifications such that changes involve re-issue of the minimum documentation.

The process for the amendment of operations specifications will be similar to the original certification process, with the exception that in many cases it will be far less complex, dependent upon the subject of the change that necessitates the amendment.

The application for the amendment shall be submitted with full details of the requested amendments, all required manuals and documents at least 45 days, before the date of intended operation.

10.2 Fees for Aviation Regulatory Services

A fee imposed by the Civil Aviation Authority of Thailand Regulations and Announcement for the processing and consideration of an application to issue certificates, licenses, permits and other approval for the grant or issue of the authorization. The fee for aviation regulatory services is divided into three (3) stages, which are as follows:

- a) Application Fee;
- b) Audit/Inspection Fee; and
- c) Certification Fee

Note: The application fee is not required for the variations process.

10.3 Team Members

Variation Team consist of Principal Operations Inspector (POI) or assigned Flight Operations Inspector (FOI) as a Project Manager, and as applicable, Cabin Safety Inspector (CSI), Operations Management Inspector (OMI), Dangerous Goods Inspector (DGI), Airworthiness Inspector (AWI), Security Inspector (AVSEC) and the

Economic Regulatory Officer from The Economic Regulation Department (ERD) (*if it deems necessary*) to form a variation team to begin the variation process.

10.4 Variation Scheme

The holder of an AOC issued in accordance with AOCR or HOR as applicable who wishes to alter any of the various schemes listed below shall apply for a variation to an air operator certificate (CAAT-OPS-AOCFM-201). A variation application to the existing AOC or Operations Specifications is required for any of the following reasons.

- a) Change or Adding in particular of the organization;
- b) Change in management personnel;
- c) Adding New Aircraft (Same make/Model/Authorization within the current Operations Specifications);
- d) De-registration of aircraft with effect on the authorization of aircraft listed in the current Operations Specifications;
- e) Inclusion of New Aircraft Type;
- f) Authorized Area of Operations change;
- g) Authorized Type of Operation change; and
- h) Specific Operations Approval/Authorization.

10.5 Classification of Variation Types

CAAT classifies the variation process into two (2) categories, with the following list of variations types;

10.5.1 Minor Variation

- i) A process for a minor variation to the operator may only require a desk-top review of manual amendments and/or an interview session to assess the competency of the nominated post holder candidate.
- ii) Normally, a demonstration and inspection phase is not required, however, this is at the discretion of the POI and respective inspector. The CAAT reserves the right to conduct an on-site inspection and demonstration flight if they deem this appropriate for the particular variation requested and the past performance of the operator.

| Category of Variation: Minor Variation | |
|--|--|
| No. | Types of Minor Variation |
| 1 | Change or Adding in particular of the organization |
| 2 | Change in management personnel |

| | |
|---|--|
| 3 | Adding New Aircraft (Same make/Model/Authorization within the current Operations Specifications) |
| 4 | De-registration of aircraft with effect on the authorization of aircraft listed in the current Operations Specifications |

10.5.2 Major Variation

Amendment involving major operations such as approvals or authorizations of Operations Specifications e.g. dangerous goods authorization, PBN authorizations etc., will require the operator to undergo a process as described in the Pre-Preliminary Assessment Phase, Preliminary Assessment Phase, Document Evaluation Phase, and Demonstration and Inspection Phase, Certification Phase, before approval/authorization.

| Category of Variation: Major Variation | |
|--|---|
| No. | Types of Major Variation |
| 1 | Inclusion of New Aircraft Type |
| 2 | Authorized Area of Operations change |
| 3 | Authorized Type of Operation change |
| 4 | Specific Operations Approval/Authorization (EDTO/ETOPS, RVSM, EFB, PBN, PBCS, AWO, ADS-B, CPDLC/ADS-C, MNPS, HEMS and DG etc.) |

10.6 The Variation Process

There are five (5) phases in the variation process. Each phase is described in sufficient detail to provide a general understanding of the entire variation process. The five phases are:

- Pre-Preliminary Assessment Phase
- Preliminary Assessment Phase
- Document Evaluation Phase
- Demonstration and Inspection Phase
- Certification Phase

In some cases, the guidance and suggested sequence of events in this chapter may not be entirely appropriate. In such situations, CAAT and the operator would proceed in a manner that considers existing conditions and circumstances.

The variation to air operator certificate or the operations specifications will require aligning their documentations in line with CAAT Regulations and will be subjected to the five-phase variation process as detailed in this chapter. However, as specified in parts of this chapter, the operator may be exempted from certain processes, particularly in the demonstration and inspection phase, if CAAT deems the operator complies with the requirements.

Note: *The process of variation of AOC or the Operations Specifications may be complex or less complex, depending on the nature of the amendment.*

10.6.1 Pre-Preliminary Assessment Phase

- a) An operator shall submit a variation application form (Variation to an Air Operator Certificate: CAAT-OPS-AOCFM-201), along with an intention letter to apply for variation process through the CAAT System with the completed information as appropriate to reflect the requested change(s) by at least the following documents;
 - i) Intention letter to apply for the change of the Certificate;
 - ii) Application for Variation to an Air Operator Certificate (CAAT-OPS-AOCFM 201);
 - iii) The Company Management of Change (MOC) Assessment; and
 - iv) Application for Nomination for Air Operator Personnel (CAAT-OPS-AOCFM-106) (applicable to minor variations - a change in management personnel).
- b) If a change to the air operator certificate or the operations specifications affects the current procedure in the operator's manual, the following application and document, as applicable to reflect the requested change (s), should also be submitted to CAAT;
 - i) Statement of Compliance Chapter 1 to 13 (CAAT-OPS-SOC-101 to CAAT-OPS-SOC-113 and/or CAAT-OPS-SOC-151);
 - ii) CAAT-OPS-AOCFM-204 Proposal of Manual Amendment Form; and
 - iii) Applicable manuals and/or documents updated to reflect the requested change(s).
- c) At this phase, the operator may be invited to meet briefly with the POI and respective inspector to discuss the variation process. The Pre-Preliminary Assessment Phase meeting's purpose is to confirm the information on the documentation and to provide the operator with critical certification information. It is recommended that the operator's key management and staff from the operator attend these meetings and be prepared to discuss in general terms the plans and specific aspects of the proposed operation, and the specific requirements, depending on the subject of the change that necessitates the amendment.

10.6.2 Preliminary Assessment Phase

POI and the Variation Team will review the application and submitted documents to ensure that the required information and attachments are included.

If the application and documents package is successful, POI should notify the operator of its acceptance; if there are omissions or errors, the application and documents should be returned to the operator with an explanation of the reasons for its return.

Before proceeding to the next phase, POI and variation team should ensure that all relevant documents are completed and recorded in the CAAT System.

Note: CAAT reserves the right to reject an application if the operator fails to complete and submit all required documents within 30 days.

10.6.3 Document Evaluation Phase

- a) Following the application and documentation, the operator may intend to submit their revised operations manual for evaluation; normally, these documents should be submitted during the Pre-Preliminary Phase, but if not, the schedule of events should clearly state when each specific document/manual will be submitted.
- b) The variation team should begin a thorough evaluation of all the manuals and documents and make an effort to complete these evaluations according to the agreed-upon schedule of events.
- c) POI and the variation team should review and ensure that company manuals are in accordance with regulatory regulations and reflect the company's actual situation at the time, safe operating practices, granted operations specifications (Ops Spec), and Authorization Conditions/Limitations.

The following references, but not limited to, are to be used in evaluating the submitted manuals:

- i) CAAT-OPS-AOCFM-204 Manual Amendment Proposal Form; or
 - ii) Statement of Compliance (SOCs) Chapters 1 to 13 (CAAT-OPS-SOC-101 to CAAT-OPS-SOC-113 and/or CAAT-OPS-SOC-151) as applicable to amend manuals; or
 - iii) Applicable Checklist in CAAT System.
- d) If a manual or document is incomplete or deficient, or if non-compliance with the regulations or procedures does not reflect a safe operating practice, the manual or document shall be returned to the operator for corrective action, until the evaluation is satisfactory, at which point the manuals and documents should be approved or accepted, as required by, the Regulations before proceeding to the Demonstration and Inspection phase.
 - e) Before proceeding to the next phase, POI and variation team should ensure that all relevant documents are completed and recorded in the CAAT System.

Note:

- a) CAAT reserves the right to reject an application if the operator fails to submit the CAP(s) and the Implementation response within the agreed-upon time frame.
- b) CAAT reserves the right to reject an application if the operator fails to complete and submit amended company manuals within 15 days of the agreed time frame.

10.6.4 Demonstration and Inspection Phase

- a) Based on the variation category and type if the Demonstration and Inspection Phase is required, the effectiveness of the operator's management of the policies, methods, and procedures described in the operator's manuals and other documents should be highlighted during this phase.
- b) Non-compliance or deficiencies will be brought to the attention of the operator and corrective action shall be taken completed before a certificate is issued.
- c) Before proceeding to the next phase, POI and variation team should ensure that all relevant documents are completed and recorded in the CAAT System.

Note: CAAT reserves the right to reject an application if the operator fails to submit the CAP(s) and the Implementation response within the agreed-upon time frame.

10.6.5 Certification Phase

- a) POI and the variation team shall ensure that all discrepancies or non-conformities arising from the previous phase are closed. When the evaluation has been completed and no significant non-conformities remain, arrangements should be made for the appropriate variation document to an AOC or Operations Specifications.
- b) Should there is any subsequent revision to the operator's manual following the inspection and demonstration, the operator shall submit a final revision of the manuals and final statement of compliance (SOCs) for CAAT approval prior conclusion of this phase. When POI and the variation team review the manuals for CAAT approval, POI and the variation team should check against the non-conformities that all of the evidence in the record has been included in the manuals and statement of compliance has been revised to ensure that the regulatory requirements have been addressed in the operator's manuals, programmes and procedures.
- c) POI and the variation team will prepare an Air Operator Certificate (AOC) and its corresponding operation specifications and limitations, Dangerous Goods Permit (if applicable), which contain authorizations, limitations and provisions specific to an operator's operation. The operator shall acknowledge receipt of these documents.
- d) Before completing the certification process, POI and variation team should ensure that all relevant documents are completed and recorded in the CAAT System.

Note:

- a) *If the certification package does not require the operator to submit the final statement of compliance (SOCs), and the operator does not complete and submit the required documents for the certification package within 30 days, CAAT reserves the right to reject the application.*
- b) *CAAT reserves the right to reject the application if the operator fails to complete and submit the final statement of compliance (SOCs) and other required documents for the certification package within 45 days.*

10.6.6 Issue, Variation of an AOC or Operation Specifications

An operator will not be granted a variation to an AOC or Operations Specifications unless the following conditions are met:

The operator can demonstrate the ability to:

- a) Establish and maintain an adequate organization.
- b) Establish and maintain a systematic quality and safety management system.
- c) Comply with the existing CAAT regulations of the related variation purpose.
- d) Aircraft operated have a standard Certificate of Airworthiness issued in accordance with CAAT regulations laying down implementing rules for the airworthiness and environmental certification of aircraft and related products, parts and appliances, as well as for the certification of design and production organizations.
- e) The maintenance system has been approved by CAAT in accordance with CAAT Regulation (GMM and Maintenance Programme).

10.7 Methods and Practices

10.7.1 Change or Adding in Particular of the Organization

a) Operator Name Change

For operator name change variation, all Documents, manuals, Certificates affected by the change shall be submitted with the new name.

b) Operator Location Change or Adding Address and/or Operational Base.

- For operator address and/or operational base change or adding, all documents, manuals, certificates affected by the change submitted with the new address, and
- An organization and infrastructure inspection will be carried out to determine if the new facilities meet the CAAT requirements.

10.7.2 Change in Management Personnel

- a) Assessing the competence of the Accountable Manager and other nominated managers is a key part of variation acceptance. The guidance that applies to assessment for change in management personnel is described in FOIM Volume III Part II Chapter 1 Organizational Competence.
- b) A change of management personnel has required the operator to apply for the Application for Variation to an Air Operator Certificate (CAAT-OPS-AOCFM-201), Application for Nomination for Air Operator Personnel Form (CAAT-OPS-AOCFM-106), and supporting documents such as resume, etc.
- c) The assigned Inspector should schedule an interview with the nominated post holder candidate to assess their competency, suitability, knowledge of any organisational or rule changes, their awareness of risk, and their attitude towards safety for posting the applied function, as well as to notify the POI and company of the interview result.

***Note:** Justification on the suitability of the nominated post holder during the acceptance interview by the responsible inspector is required.*

10.7.3 Adding New Aircraft (Same Make/Model/Authorization within the current Operations Specifications)

For adding new aircraft (Same Make/Model/Authorization within the current Operations Specifications), The following evaluations should be carried out;

a) Flight Crew

- AOCR Chapter 4 and ACAAT: Flight Crew training Programme and HOR Appendix C should be applied to determine the requirement for differences training when aircraft and the existing AOC holder's fleet of this make and model and changing equipment or procedures on variants currently operated. This evaluation should

be made without regard for the segregation indicated between certain groupings of variants in AOCR where it is indicated that no differences training is required.

- b) Evaluations performed with coordination with the Airworthiness and Engineering Departments (AIR)
 - List of differences provided by air operator for differences between aircraft and the existing AOC holder's fleet of this make and model;
 - Aircraft eligibility for all special operation as in AOC operations specifications;
 - Operator's evaluation and arrangement of all technical documents from Type Certificate (TC) holder for additional aircraft such as Aircraft Flight Manual (AFM), Aircraft Maintenance Manual (AMM), and Weight and Balance Manual (WBM), etc.;
 - Revision of concerned manual to reflect the impact of the additional aircraft such as OM (A), OM (B), OM (D), GMM, MEL, MP, etc.; and
 - Adequacy of personnel (Flight operations and Maintenance) to support the additional aircraft.
- c) Cabin Crew
AOCR Chapter 6 and Appendix E should be used as a guideline to determine the extent of the training.
- d) Maintenance
 - Refer to the Airworthiness and Engineering Department (AIR) procedure.

10.7.4 De-registration of aircraft with effect on the authorization of aircraft listed in the current Operations Specifications

- a) The Airworthiness and Engineering Department (AIR) performs the variation process for aircraft de-registration.
- b) POI/FOI should collaborate with AWI to evaluate the revision of concerned manuals which are affected by aircraft de-registration, such as OM (A), OM (B), OM (C), and OM (D) etc.
- c) POI/FOI should collaborate with AWI to update the authorization of aircraft listed in the current Operations Specifications that will be affected by aircraft de-registration.

10.7.5 Inclusion of New Aircraft Type

At least the following manuals and documents related to the inclusion of New Aircraft Types should be evaluated in the Document Evaluation Phase.

| No | Description | Evaluated By |
|----|---|------------------------------|
| 1 | Operations Manuals A (OM-A) | FOI and Respective Inspector |
| 2 | Operations Manuals B (OM-B) | FOI |
| 3 | Operations Manuals C (OM-C) | FOI |
| 4 | Operations Manuals D (OM-D) | FOI and Respective Inspector |
| 5 | Standard Operation Procedure (SOP) | FOI |
| 6 | Aircraft Flight Manual (AFM) / Rotorcraft Flight Manual (RFM) | FOI |
| 7 | Quick Reference Handbook (QRH) | FOI |
| 8 | Flight Dispatch Manual (FDM) | FOI |
| 9 | Ground Operations Manual (GOM) | FOI, OMI and DGI |
| 10 | Mass & Balance or Load Control Manual | FOI and Respective Inspector |
| 11 | Cabin Crew Manual (CCM) | CSI |
| 12 | Passenger Safety Cards | CSI |
| 13 | General Maintenance Manual (GMM) | AWI |
| 14 | Minimum Equipment List (MEL) | FOI and AWI |
| 15 | Flight Safety Document System (FSDS) | OMI |
| 16 | Flight Time Limitations Scheme (FTL) (<i>if applicable</i>) | OMI |

The operating procedures shall have at least addressed the following:

a) Flight Crew

▪ Training

The Operations Manual Part D shall be amended to include the new aircraft type and submitted for approval. If the flight crew is intended to operate more than one type their training and checking shall conform to AOCR and HOR as applicable, and all necessary training shall be done for the new aircraft type.

▪ Flight Crew Rostering

Evaluate the procedure for controlling, planning, and scheduling flight duty with a qualified flight crew and restricted duty for the addition of new aircraft types.

i) Flight Safety Document System

- Evaluate the procedure to be organized according to criteria that are essential for providing easy access to information required for flight and ground operations contained in the system's various operational

documents, as well as managing the distribution and revision of operational documents.

- ii) Simulator
 - The simulator chosen for the training shall be compatible with the cockpit configuration and equipment of the specific aircraft being acquired.
- iii) Cabin Crew
 - AOCR Chapter 6 and Appendix E should be used as a guideline to determine the extent of the training.
- iv) Maintenance
 - Refer to the Airworthiness and Engineering Department (AIR) procedure.

10.7.6 Authorized Area of Operations Change

Variation for the authorized area of operation is applicable for;

- a) Non-scheduled operator changing area of operations.
- b) Schedule operator adding a new route, if the new route is outside the authorized area of operations.

For the authorized area of operations change, the operator's procedures shall address at least the following:

- i) The adequacy of the operational control and maintenance arrangements within the proposed area of operations.
- ii) The operations manual shall be modified to reflect any required changes.
- iii) The general suitability of the aircraft to be used, in particular:
 - The performance capability of the aircraft.
 - The need for any special equipment.
 - The aircraft systems and the level of redundancy of those systems in regards to extremes of weather and climate.
 - The need for any additional dispatch restrictions about the MEL, and flight follow up requirements.
- iv) Any special training required for exposure to weather or climatic conditions likely to be encountered, and compliance with special rules (e.g. MNPS, EDTO/ETOPS, and RNAV).
- v) Any non-standard ATC requirements such as new phraseology, altitude clearances in meters, the different measurements for altimeter settings, wind speed, visibility.

- vi) Navigation and communication facilities are available over the routes proposed and the associated equipment of the aircraft.
- vii) The adequacy of aerodromes within the proposed area and the availability of current maps, charts, and associated documents or equivalent data.
- viii) The availability of adequate search and rescue facilities and the need to carry special survival equipment and the need for training in its use.
- ix) Evaluation procedure in accordance with the operator's quality and safety management system.
- x) Maintenance
 - Refer to the Airworthiness and Engineering Department (AIR) procedure.

10.7.7 Authorized Type of Operation Change

Variation for the authorized type of operation is applicable for;

- i) Change from Cargo to passenger operation, or changing from passenger to cargo operations.
- ii) Adding cargo operations (cargo aeroplane) to passenger operations.
- iii) Adding passenger operations (passenger aeroplane) to cargo operations.

For item i) – iii) of the authorized type of the change above, the operator procedures should be evaluated at least the following;

- Evaluation procedure in accordance with the operator's quality and safety management system.
- The operator procedures shall address at least the following;
 - Organization Structure for Ground Operations Department and Cargo Operations Staff duties and responsibilities.
 - Training on ground handling operations such as Load planner, Load control, Station Supervisor, Station Manager etc.
 - Handling agent qualification on cargo handling operations to ground staff personal and external service provider (*if applicable*).
 - Stores and customs.
 - Ground Equipment such as ULDs, Forklift, High loaders, Dollies, Cats etc.

- Documents subject to amendments such as OM-A, OM-D, CCTM, CCM, GOM, DGM, LCM and QAM etc.
- iv) Changing from non-schedule to scheduled operations.
 - The operating procedures shall address at least the following;
 - The adequacy of the implemented method of “Operational Control”, and if any modifications are needed to include the schedule operations.
 - The operation manual shall be modified to reflect any required changes.
 - The general suitability of the aircraft to be used, in particular:
 - The performance capability of the aircraft.
 - The need for any special equipment.
 - The aircraft systems and the level of redundancy of those systems in regards to extremes of weather and climate.
 - The need for any additional dispatch restrictions concerning the MEL, and flight follow up requirements.
 - Any special training is required for exposure to new weather/climatic conditions or special rules. (e.g. MNPS, EDTO, RNAV)
 - Any non-standard ATC requirements such as New Phraseology, altitude clearances in meters, the different measurements for altimeter settings, wind speed, visibility.
 - Navigation and communication facilities are available over the routes proposed and the associated equipment of the aircraft.
 - The adequacy of aerodromes within the proposed area and the availability of current maps, charts, and associated documents or equivalent data.
 - The availability of adequate search and rescue facilities and the need to carry special survival equipment and the need for training in its use.
 - Evaluation procedure in accordance with the operator's quality and safety management system.
 - Maintenance - Refer to the Airworthiness and Engineering Department (AIR) procedure.

10.7.8 Specific Operations Approval/Authorization

Variation to specific operations authorization, for example, EDTO/ETOPS, RVSM, EFB, PBN, PBCS, AWO, ADS-B, CPDLC/ADS-C, MNPS, HEMS and DG etc., the procedure is detailed in FOIM Volume III Part V Specific Approval and Operational Approval.

Note: The procedure for authorization of a non-dangerous goods carrier to a dangerous goods carrier is detailed in the DGIM.

10.8 Checklist and Form Summary

Application and Form shall be utilized to confirm maintaining an adequate organization, systematic system and compliance with the existing CAAT regulations.

| NO | Form code | Form Name | Inspection By |
|----|--|---|----------------------------|
| 1 | CAAT-OPS-AOCFM-201 | Application for Variation to an Air Operator Certificate | POI and Variation Team |
| 2 | CAAT-OPS-AOCFM-106 | Application for Nomination for Air Operator Personnel Form | POI and Assigned Inspector |
| 3 | CAAT-OPS-SOC-101 to CAAT-OPS-SOC-113 and/or CAAT-OPS-SOC-151 | Statement of Compliance Chapter 1 to 13 and/or Statement of Compliance HEMS | POI and Variation Team |
| 4 | CAAT-OPS-AOCFM-204 | Proposal of Manual Amendment Form | POI and Variation Team |
| 5 | The Company Management of Change (MOC) Assessment | | POI and Variation Team |
| 6 | Applicable manuals and/or documents updated to reflect the requested change(s) | | POI and Variation Team |

The following checklists shall be used as inspection guidance to confirm compliance with regulations and safe operating practices by evaluating the effectiveness of the policies, methods, procedures, and instructions as described in the operator's manuals and other documents.

| NO | Checklist code | Checklist Name | Inspection By |
|------------------------------------|---------------------------------------|----------------|------------------------|
| Document Evaluation Phase | | | |
| 1 | Reference to FOIM Volume II Chapter 6 | | POI and Variation Team |
| Demonstration and Inspection Phase | | | |
| 2 | Reference to FOIM Volume II Chapter 7 | | POI and Variation Team |

10.9 Procedure Summary

The procedure below lists the sequence of actions and persons responsible for processing the variation of AOC or Operations Specifications. In addition to the records listed in the procedure, the POI shall maintain continuously a record of progress.

| Person Responsible | Action | Record |
|---|--|-------------|
| Pre – Preliminary Assessment Phase | | |
| Operator | Complete and submits; <ul style="list-style-type: none"> Application for a variation to an Air Operator Certificate or Operations Specifications | Application |

| | | |
|-------------------------------------|---|-----------------------|
| | <ul style="list-style-type: none"> The Company Management of Change (MOC) Assessment (<i>as applicable to requested change</i>) Application for Nomination for Air Operator Personnel Form (<i>as applicable to requested change</i>) Amendments to the manual and/or information (<i>as applicable to requested change</i>) Statement of compliance (SOCs) (<i>as applicable to requested change</i>) | |
| OPS Manager | <ul style="list-style-type: none"> Review the application package submitted through the CAAT System and notify the assigned POI and delegated inspector of the task. | CAAT System |
| POI and Variation Team | <ul style="list-style-type: none"> Conduct Pre-preliminary assessment meeting with the applicant (<i>if required</i>) | Note of Action |
| Preliminary Assessment Phase | | |
| POI and Variation Team | <ul style="list-style-type: none"> Coordinate with the Airworthiness and Aircraft Engineering Department (AIR) for inspector delegation. Coordinate with the Aviation Security and Facilitation Standards Department (SFD) for inspector delegation and confirm receiving of the applicant's Security Documentation that submitted directly to the SFD's email sfd_os@caat.or.th (<i>as applicable to requested change</i>) Coordinate with the Economic Regulation Department (ERD) (<i>as applicable to requested change</i>) | Internal Coordination |
| POI and Variation Team | <ul style="list-style-type: none"> Arrange a meeting with variation team members. Forwards documents to variation team members. | Note of Action |
| POI and Variation Team | <ul style="list-style-type: none"> The reviews application package and relevant documents for completeness. Notify the acceptance package to the operator. | Note of Action |
| POI / Assigned Inspectors | <ul style="list-style-type: none"> Store all relevant documentation | CAAT System |
| Document Evaluation Phase | | |
| POI and Variation Team | <ul style="list-style-type: none"> Evaluate and ensure the compliance of company manuals with current regulations as applicable assigned Forms and Checklists. | CAAT System |
| POI and Variation Team | <ul style="list-style-type: none"> Complete checklists. Raise non-conformity. Inform the operator and POI of the outcomes. | CAAT System |
| Operator | <ul style="list-style-type: none"> Submit Corrective Action (CAP) and implementation of the corrective action (Closing Action) to CAAT. | CAAT System |

| | | |
|---|---|----------------|
| POI and Variation Team | <ul style="list-style-type: none"> Review Corrective Action (CAP) and implementation of the corrective action (Closing Action) for closure of non-conformity. If the submitted Corrective Action (CAP) and implementation of the corrective action (Closing Action) from the operator are not satisfied, the inspector may reject and ask for resubmitted of revised Corrective Action (CAP) and implementation of the corrective action (Closing Action) and more evidence references. | CAAT System |
| Operator | <ul style="list-style-type: none"> Submits amended manual to POI or associated inspector. | CAAT System |
| POI / Assigned Inspectors | <ul style="list-style-type: none"> Proceed with the manual approve/accept letter process for the Director-General to approve/accept the amended manual(s). | Note of Action |
| POI / Assigned Inspectors | <ul style="list-style-type: none"> Inform the readiness of manual approval/accept a letter to the operator. | Note of Action |
| POI and Variation Team | <ul style="list-style-type: none"> Store all relevant documentation. | CAAT System |
| Demonstration and Inspection Phase | | |
| POI and Variation Team | <ul style="list-style-type: none"> If required, the purpose date of the Inspection/Audit would be scheduled. | Note of Action |
| POI / Assigned Inspectors | <ul style="list-style-type: none"> Prepare the tariff information for the audit/inspection fee to the Financial Accounting and Budgeting Department (FAB). | CAAT System |
| Operator | <ul style="list-style-type: none"> Complete the audit/inspection payment process within the time frame specified. | CAAT System |
| POI | <ul style="list-style-type: none"> Ensure that the payment process has been completed. | CAAT System |
| POI and Variation Team | <ul style="list-style-type: none"> Conduct the Audit Preparation meeting to discuss the audit schedule, audit criteria, roles and responsibilities, and document preparations before commencing the Demonstration and Inspection phase. Issue and notify the Inspection/Audit Notification for Demonstration and Inspection Phase to the operator. | Note of Action |
| POI and Variation Team | <ul style="list-style-type: none"> Perform inspection as applicable assigned Checklists. | Note of Action |
| POI and Variation Team | <ul style="list-style-type: none"> Complete checklists Raise non-conformity Inform the operator and POI of the audit outcomes. | CAAT System |
| Operator | <ul style="list-style-type: none"> Submit Corrective Action (CAP) and implementation of the corrective action (Closing Action) to CAAT. | CAAT System |
| POI and Variation Team | <ul style="list-style-type: none"> Review Corrective Action (CAP) and implementation of the corrective action (Closing Action) for closure of non-conformity. If the submitted Corrective Action (CAP) and implementation of the corrective action (Closing Action) from the operator are not satisfied, the inspector may reject and ask for resubmitted of revised | CAAT System |

| | | |
|----------------------------|---|----------------|
| | Corrective Action (CAP) and implementation of the corrective action (Closing Action) and more evidence references. | |
| Operator | <ul style="list-style-type: none"> Submits amended manual to POI or associated inspector <i>(if applicable)</i> | CAAT System |
| POI / Assigned Inspectors | <ul style="list-style-type: none"> Proceed with the manual approve/accept letter process for the Director-General to approve/accept the amended manual(s). | Note of Action |
| POI / Assigned Inspectors | <ul style="list-style-type: none"> Inform the readiness of manual approval/accept a letter to the applicant. | Note of Action |
| POI / Assigned Inspectors | <ul style="list-style-type: none"> Store all relevant documentation. | CAAT System |
| Certification Phase | | |
| POI / Assigned Inspectors | <ul style="list-style-type: none"> Prepare the tariff information for the certification fee to the Financial Accounting and Budgeting Department (FAB). <i>(as applicable to the requested change)</i> | CAAT System |
| Operator | <ul style="list-style-type: none"> Complete the certification payment process within the time frame specified. | CAAT System |
| POI | <ul style="list-style-type: none"> Ensure that the payment process has been completed. | CAAT System |
| POI / Assigned Inspectors | <ul style="list-style-type: none"> Inform the applicant to submit the applicable Final Statement of Compliance (SOCs) if it is imperative to update the recent applicant manuals revision which has been approved/accepted in the Document Evaluation phase or Demonstration and Inspection phase. | Note of Action |
| Operator | <ul style="list-style-type: none"> Submit the applicable Final Statement of Compliance (SOCs) <i>(as applicable to requested change)</i> | CAAT System |
| POI and Variation Team | <ul style="list-style-type: none"> Conduct an internal meeting with the variation team to assign and prepare at least the following documentation; <ul style="list-style-type: none"> a) Certificates that were affected by the requested change. b) The AWI completed a coordination form (controlled by the Airworthiness and Aircraft Engineering Department) as applicable to the requested change. c) Completion and correctness of the submitted Final Statement of Compliance (SOCs). If the documentation that has been prepared and reviewed is correct and complete, submit the completed certification package to the OPS Manager. | Note of Action |
| OPS Manager | <ul style="list-style-type: none"> Review the correctness of the proposed certificates and certification packages. Verify certificates and packages, as required. Propose the certificates and renewal certification packages for DGCA signature. | Note of Action |

| | | |
|---------------------------|--|---|
| DGCA or his delegate | <ul style="list-style-type: none"> Granting the proposed certificates and certification packages. | AOC and OPS SPECS/DG Permit (as applicable) |
| POI / Assigned Inspectors | <ul style="list-style-type: none"> Store all relevant documentation. | CAAT System |

11 CONTINUING SAFETY OVERSIGHT - SURVEILLANCE

Purpose This chapter defines the responsibilities and describes the objective and process of the continuing safety oversight activities by the Civil Aviation Authority of Thailand (CAAT)

Reference

1. ICAO Annex 6 Part I, Section 4.2.1
2. ICAO Doc 8335, Part IV, Continuing Safety Oversight of the Operator by the State of the Operator.
3. ICAO Air Operator Certification and Surveillance Handbook
4. Regulation of Civil Aviation Board (RCAB) No.85 and 86
5. Air Operator Certificate Requirements and relevant FOIM Volume 2 and 3
6. Flight Operations Standards Department Manual (OPSM) Chapter 9: Risk-Based Methodology and Surveillance Planning
7. CAAT-QAG-AUP: Audit Procedure
8. CAAT-QAG-IAH: Inspector Authorization Handbook

Definition N/A

Responsibilities

1. Flight Operations Standards Manager (OPS Manager); is responsible for the overall AOC administration program.
2. Project Manager or Principal Operations Inspector (POI); acts as a team leader of responsible operator AOC inspection/certification, all phases, including coordination with other department inspectors and required resources allocation.
3. FOI/AWI/DGI/CSI/OMI/AVSEC; each authorized inspector shall conduct the inspections to ensure the compliance of operations with relevant regulations/requirements and approved/accepted manuals and report to respective POI.

11.1 Surveillance Policy

Continuing safety oversight of the air operator by CAAT is inherent in the system of certification. It is essential to ensure that the required standard of operation is maintained to provide a safe and reliable commercial air transport service to the public.

CAAT inspectors have the authority and responsibility for exercising continuing safety oversight of commercial air transport operations to ensure that accepted safety practices and proper procedures for the promotion of safety in operations are maintained. To achieve this objective, the CAAT will establish an annual risk-based

surveillance plan for continuously monitoring operations conducted by each operator.

Such surveillance may result in the revision of operations specifications or the temporary suspension of an AOC and, in an extreme case, may result in the revocation of an AOC.

Required surveillance and the related inspections are planned and proposed by relevant divisions within Flight Operation Standards Department (OPS) under the supervision of the Flight Operations Standards Department Manager (OPS Manager). The surveillance and the related inspections are conducted by inspectors responsible for the standard of conduct of a specific operator's operation. All inspectors authorized to conduct safety oversight will have credentials identifying them as inspectors appointed by the CAAT. The credentials also identify the legislation under which they are empowered to inspect.

Surveillance is to be conducted continuously and will include regular and random inspections of all aspects of the operation. The areas to be covered in the surveillance activities over a period of time will be similar to those examined during the original certification process. They will include at least a re-evaluation of the operator's organization, management effectiveness and control, facilities, equipment, ground operations, ground handling, aircraft maintenance, operational control and supervision, flight and duty time records, maintenance of flight and cabin crew standards, passenger and cargo safety procedures, Safety Management System (SMS), Quality Management System (QMS), Flight safety document system (FSDS), dangerous goods procedures, operational and personnel records, training, company manuals, and record of compliance with the provisions of the AOC the associated operations specifications and pertinent operating regulations. The financial viability of the operator will be confirmed by coordination with the Economic Regulation Department (ERD).

All safety oversight activity concerning a particular operator will be risk-based and carefully planned as it will not be possible to cover all aspects of an operation during every inspection. Inspections shall also be planned based on a risk assessment exercise so that aspects of the operation that involve the greatest risk should receive more frequent attention. Where an air operator has established a Safety Management System (SMS) that has been assessed as effective and is achieving the agreed to performance measures, then safety oversight activity from the CAAT for that air operator may be reduced.

11.2 Objectives of Surveillance Programme

During the certification process, the CAAT inspector will have determined the methods, systems or procedures that the operator intended to use to ensure compliance with the applicable regulations, the AOC and its associated operations specifications and the operator's operations manual. A prime objective of the surveillance programme is to confirm that such methods, systems or procedures are being followed and are effective in the demonstration of operator compliance and achievement of safety objectives. The surveillance programme aims to confirm that

an AOC operator remains competent to undertake the safe operation of the aircraft throughout its AOC region.

The objective of the surveillance programme is also to provide the CAAT, through a risk-based oversight surveillance programme, with an accurate, real-time and comprehensive evaluation of the safety status of the air transportation system.

As part of the Surveillance Programme, regulatory audits are planned in which inspectors are part of the CAAT Inspector Team. This surveillance programme objective is accomplished by CAAT inspectors performing the following:

- (a) Determining each Air Operator's compliance with regulatory requirements and safe operating practices.
- (b) Detecting changes as they occur in the operational environment.
- (c) Detecting the need for regulatory, managerial and operational changes.
- (d) Measuring the effectiveness of previous corrective actions.

11.3 Surveillance Programme

In the first few months of new operations, CAAT inspectors shall be particularly alert to any irregular procedures, evidence of inadequate facilities or equipment, or indications that management control of the operation may be ineffective. They shall also carefully examine any information that may indicate a significant deterioration in the operator's financial condition and coordinate with the Economic Regulation Department (ERD) to verify the financial viability of the operator. Examples of trends that may indicate problems in an operator's financial condition are:

- (a) Significant lay-offs or turnover of personnel;
- (b) Delays in meeting payroll;
- (c) Increase in the incident/accident rate;
- (d) Reduction of safe operating standards;
- (e) Decreasing standards of training;
- (f) Withdrawal of credit by suppliers;
- (g) Inadequate maintenance of aircraft, as indicated by inspectors' maintenance findings, increases in the number of grounded aircraft events, uses of MEL/CDL, maintenance-related flight delays, etc.;
- (h) Shortage of supplies and spare parts;
- (i) Curtailment or reduced frequency of revenue flights; and
- (j) Sale or repossession of aircraft or other major equipment items.

When possible, financial difficulties are identified, CAAT inspectors will increase technical surveillance of the operation with particular emphasis on the maintenance of safety standards.

Aircraft leases and contractual arrangements entered into by the Operator for training, etc. need to be thoroughly reviewed and a determination made of whether these arrangements are producing satisfactory results as far as the maintenance of safety standards and regulatory compliance are concerned.

The operator's training programme must be closely monitored during oversight to ensure that the training standards, which were demonstrated when the programme was initially approved, are being maintained. If there are indications that the training provided is not achieving the desired training objectives, or has resulted in a high failure rate on various tests or examinations, CAAT inspectors need to make certain that the operator revises the training programme to ensure that trainees will reach the required level of competence.

The performance of flight crew authorized as Designated Check Pilots needs to be observed and evaluated during the surveillance programme. This evaluation should be conducted, where possible, by a familiar with the specific type of aircraft utilized by the operator.

The oversight function will be accomplished continually, planned and performed at specified times or intervals such that all significant aspects of the operator's procedures and practices are evaluated within 24 months. CAAT shall ensure that surveillance programmes are commensurate with the scale and scope of the operator's activities.

The safety oversight programme of an operator shall:

- (a) Establish that the operator has conducted, and is likely to continue to conduct, operations following good operating practices, the AOC's operations specifications, operations manual and in all respects in compliance with Thai regulations;
- (b) Ensure that all changes in the applicable operating regulations and rules, in any amendments to the AOC or associated operations specifications, or otherwise any improvements in operating procedures, are put into practice and reflected in appropriate amendments to the operations manual;
- (c) Ensure that the operator maintains the validity of its manuals at all times;
- (d) Keep the CAAT informed of the competency, current operating practices and record of compliance of the operator, including service providers to whom the operator may have outsourced services;
- (e) Allow CAAT to recommend regulatory or policy changes if the safety oversight inspections indicate such action would result in improvements in operating safety standards in general; and
- (f) Establish whether the exercise of the privileges of an AOC and the associated operations specifications by a particular operator should be continued, made the subject of further operating limitations, or be suspended or revoked.

The surveillance programme is tailored to the individual needs of a specific operator and is agreed between the POI, each responsible division, Flight Operations Standards Department Manager (OPS Manager) in coordination with Airworthiness and Engineering Department Manager (AIR Manager). In formulating the programme, OPS will take into consideration the operator's performance over the previous year and the views of area specialist inspectors for organizational structural management, operational control, flight operations, an assessment of an air operator SMS, QMS and FSDS, cabin safety, dangerous goods etc. as appropriate, and propose a structured surveillance programme comprising several individual audits and/or inspections to achieve the desired result. In respective of operator size, the minimum level of oversight to be planned up to the 24-month cycle shall be following paragraph 11.5 General Frequency of Audits/Inspections.

Other audits or inspections can be scheduled, or added during the oversight period. Much depends on the size and complexity of the operation, the operator's previous performance and the risks identified with the operator. At the discretion of the OPS Manager, the POI, Principal Maintenance Inspector (PMI) and relevant Inspector may be required to complete an assessment tools outlined in Flight Operations Standards Department Manual (OPSM) Chapter 9: Risk-Based Methodology and Surveillance Planning

11.4 Planning and Executing Surveillance Programme

For surveillance programmes to be effective, they must be carefully planned and executed. Planning and executing any type of surveillance programme will be down into four phases:

- **Phase One.** Developing a risk-based surveillance plan by determining the types of inspections necessary and the frequency of those inspections.
- **Phase Two.** Accomplishing the surveillance plan by conducting the inspections.
- **Phase Three.** Analyzing surveillance data gathered from inspection reports and related information from other sources.
- **Phase Four.** Resolution of Safety Deficiencies.

11.4.1 Phase One – Developing a risk-based surveillance plan

Flight Operations Standards Department Manual (OPSM) Chapter 9 Risk-based methodology and surveillance planning shall be used as a reference for developing of surveillance plan. Responsibility for the development of the annual operations surveillance programme rests with the OPS Inspector and under the supervision of the Flight Operations Standards Department Manager (OPS Manager). The surveillance programme shall recognize the need to conduct routine and ongoing surveillance and shall anticipate the possibility of special emphasis surveillance as a result of certain risk indicators such as accidents, incidents, repeated violations of Thai Civil Aviation Regulations and evidence of financial problems.

When planning a surveillance programme, the OPS Manager, POI and relevant Inspector must identify the programme objectives, evaluate the resources available and determine the specific types and numbers of inspections to be conducted in support of that programme. Numbers of inspections will be established taking into consideration the current operating environment which the CAAT oversees, such as number of aircraft and variety of aircraft types, number of crew members, routes, number and geographic location of transit stations, the volume of training being conducted and the assessment of risk as mention above. An operator's history of compliance with regulations and cooperation with the inspectorate may also be considered when developing a surveillance programme. In summary, the aspects of the operation or operator that involve the greatest risk will receive more frequent attention.

11.4.2 Phase Two – Conducting surveillance plan inspections

During the conduct of the surveillance plan inspections, accurate and qualitative inspection reporting is essential. The quality and standardization of inspection reporting require the use of inspection checklists.

11.4.3 Phase Three – Analyzing surveillance data.

When deficiencies are observed in the course of the safety oversight programme for a particular operator, the clause shall be determined, prompt action taken to rectify the deficiency and appropriate follow-up initiated to determine the effectiveness of the corrective action.

Additional inspections shall be planned and conducted whenever problems in particular areas are repeated. Evaluation of inspection results is a key phase of any surveillance programme. The primary purpose of evaluating surveillance data is to identify trends as well as deficiencies that are not associated with an apparent trend. This evaluation of inspection results is also important in terms of redefining and implementing subsequent surveillance objectives and inspection activity. Additionally, other related information from incidents, accidents, enforcement actions and other sources may provide valuable trend information which may relate to the operator's safety and compliance status.

For each air operator, summary information collected under the surveillance programme will be gathered and maintained current. In coordination with other departments such as Airworthiness (AIR), Personnel Licensing (PEL), Aviation Safety Management Department (SMD) and Economic Regulation Department (ERD) etc.

The Flight Operations Standards Department Manager or as applicable will evaluate the surveillance data on an annual basis and amend the surveillance programme as required.

11.4.4 Phase Four – Resolution of safety deficiencies.

The Flight Operations Standards Department Manager or as applicable must use good judgment when determining the most effective course of action to be taken as a result of unsatisfactory inspection findings. The appropriate course of action often

depends on many factors. Various options which may be considered are informal discussion with the operator; formal written request for corrective action; withdrawal of CAAT approval for a program, manual, or document; and initiation of an investigation leading to formal enforcement action. Corrective action that an operator takes independently of the CAAT should be taken into account.

A filing system is in place to monitor and record progress on the action taken by air operators in resolving identified safety issues for tracking past deficiencies and regulatory non-compliance. Such information would be used for developing the surveillance programme and adjusted based on risk assessment.

Should the safety oversight programme and related inspection reports reveal that an operator has failed to meet or is unable to meet or maintain the required standards for certification or the conditions specified in the AOC and its associated operations specifications, the CAAT inspector responsible for that air operator is to advise the operator of the deficiency observed and the air operator will be responsible to develop a corrective action plan which will following paragraph 11.9 “Findings and Corrective Actions” in this chapter. If an operator does not correct a deficiency as required, the Flight Operations Standards Department Manager shall inform the DGCA and, if necessary, recommend that the AOC and its associated operations specifications be restricted, temporarily suspend or permanently suspend and revocation following the procedures and Thai Civil Aviation Regulations or Laws. When an AOC is suspended or revoked for any reason, the operator is required to promptly return the AOC to the CAAT and in the event of a foreign air operator, the State of the Air Operator should be informed immediately and request for the status of actions taken.

11.5 General Frequency of Audits/Inspections

While the surveillance programme will be adjusted based on an assessment of risk and the numbers of the various types of inspections that should be accomplished are outlined in Flight Operations Standards Department Manual (OPSM) Chapter 9 Risk-based methodology and surveillance planning. Considering inspector resources and the demand for certification activities, additional inspections will be completed in areas of higher risk. CAAT shall ensure that surveillance programmes are commensurate with the scale and scope of the operator’s activities and risk profiles and ensure that the minimum number of inspections and oversight is accomplished within 24 months.

11.5.1 Audit Type

11.5.1.1 Main Base Audit

The Main Base Audit consists of four groups as follow:

- (a) MBA-A includes the following areas of inspection:
 - (i) Organizational Structural Management (O). Organizational Structural Management is an audit methodology to assess the suitability and competence of the Management System.

It incorporates both organizational and individual assessment as follows:

- The suitability of organizational structure;
 - The individual management personnel competence;
 - The systems used by management to control the safety of the operation;
 - The effectiveness of the organization in taking and communicating decisions and control actions that are designed to improve the safety of the operating environment; and
 - The safety culture of the organization.
- (ii) Safety Management System (SMS). Safety Management System inspection will ensure that the operator has an effective SMS in place, according to SMS framework elements, and accepted Safety Management Manual.
- (iii) Quality Management System (QMS). Quality Management System inspection is to ensure that the operator has established an effective quality assurance system to monitor compliances with applicable regulatory requirements, standards, procedures and accepted Quality Assurance Manual to ensure safe operation.
- (iv) Training and Qualification Records Inspection for Flight Crew (TR-FC). Training and Qualification Records inspection will ensure that the operator has maintained records of the qualification and training for each personnel, which complied with regulations and approved operations manual.
- (v) Cabin Safety Main Base Audit (CMBA) Cabin Safety Main Base Audit includes audits on the management relevant to Cabin Crew operations and Cabin Crew training, Cabin Crew training and facilities, training records and the documents consisting of safety instructions and manuals relevant to the operations of the cabin crew.
- (vi) Dangerous Goods Main Base Audit (DMBA). Dangerous Goods Main Base Audit is to ensure the suitability and compliances of the operator's dangerous goods policy and procedures, training, passenger terminal facilities, cargo facilities, ground handling facilities, shipping facilities, quality assurance and reporting system of dangerous goods and their subcontractor activities.
- (vii) Airworthiness and Aircraft Engineering Main Base Audit (AMBA). Airworthiness and Aircraft Engineering Main Base

Audits (AMBA) is to ensure operators' compliance with their internally established procedures and current Thai Civil Aviation Regulation which includes Quality Management System, Airworthiness Directive Management, manual evaluation related to aircraft maintenance activity, personnel record and qualification, maintenance review, aircraft status (if applicable) and finally maintenance facility. It also comprises store management activity such as aircraft spare parts, consumable material, receiving aircraft parts and/or consumable inspection process, tool/equipment involving special tools, the record of calibration etc.

(b) MBA-B includes the following areas of inspection:

- (i) Training and Qualification Records Inspection for Flight Dispatcher (TR-FOO). Training and Qualification Records inspection will ensure that the operator has maintained records of the qualification and training for each personnel, which complied with regulations and approved operations manual.
- (ii) Operations and Flight (trip) Records (OFR). Operation and Flight (Trip) Records Inspection (OFR) is to allow inspectors to evaluate return flight documents package and to reconstruct a particular flight or a series of flights by the operational flight plan, maintenance release, loading and mass documents, weather documents, and other related flight information.
- (iii) Flight Safety Document System (FSDS). Flight Safety Document System inspection is to review the flight safety document system to ensure that the operator has established a flight safety documents system (FSDS) for utilization as guidance for operational personnel, as part of its safety management system. The FSDS shall be consistent with regulations, manufacturer requirements and Human Factors principles.
- (iv) Flight and Duty Time Records Inspection (FTL). Fatigue Management Records Inspection is to ensure that the operator manages fatigue through the establishment of flight time, flight duty period, duty period and rest period limitations that are within the limits prescribed, and maintains records for all of its flight and cabin crew.

(c) MBA-C includes the following areas of inspection:

- (i) Operational Control (OC)

Operational Control Inspection is to ensure that the operator has established and determined the adequacy of operational control procedures for safe operations which are following

CAAT requirements and regulations, including competency of staff based on their role and responsibilities as described in the operation manual.

(ii) Ground Operations Station Facilities and Management System at main- base (MG)

The inspection is conducted at the operator's main base is to ensure that the operator has arranged effective ground handling and operations at the principal base of operations are safe servicing of its flights, including support activities and services required to originate, turn around, or terminate a flight. The inspection includes ground operations organisation and management, emergency response, safety communication, training management and ensuring the ground operations activities effectiveness of the equipment, services, procedures and personnel.

(d) Safety Audit includes the following areas of inspection:

(i) Flight Data Analysis Program (FDAP) (If applicable)

Flight data analysis program inspection is to ensure that their flight data analysis program, as a part of the safety management system, is non-punitive, contain adequate safeguards to protect the source(s) of the data and is a closed-loop system by assessing as follows:

- The identification of any deviations from SOPs or areas of risk and measure current safety margins;
- The estimation of the level of severity, to assess the risks and to determine which are or may become unacceptable;
- The risk mitigation to provide remedial action once an unacceptable risk, either present or predicted by trending, has been identified;
- The effectiveness of any remedial action.

(ii) Safety Case

The inspector will conduct the audit based on operator occurrence reports (specifically on a significant mandatory report that has been sent to CAAT), the inspector will assess and follow up the effectiveness of SMS and procedures related to the occurrence report.

11.5.1.2 En-Route Inspection

En-Route inspection is to ensure the effectiveness of preflight preparation, in-flight procedures and post-flight activities, including safety and emergency equipment and

documentation, as required by the accepted operations manual by the direct observation and evaluation of operations conducted in both cockpit and cabin. The en-route activities may include ramp inspections which will be conducted on both interiors (flight crew compartment, cabin interior) and exterior of the aircraft.

The En-Route Inspection is categorized into three groups as follows:

- In-flight Cockpit Inspection (ENF)
- In-flight Cabin Inspection (ENC)
- Ramp Inspection (R)

11.5.1.3 Station Audit

Station Inspection is to assess the effectiveness of ground operations activities and to verify serviceable condition of facilities and equipment, related documents, passengers and baggage handling procedures, and competency of staff including subcontractors. The station inspection consists of three groups as follows:

- (a) Ground Operations Station Facilities and Management System at sub-base (LG)

Additional information in Station Audit, the inspection is conducted at the operator's sub-base and will be the focus on the coordination process of ground operations-related functions and flight preparation (e.g. mass, balance & performance computation and flight planning etc.), airside safety operations (e.g. aircraft movement, aircraft servicing etc.), and station documentation. The inspections should be conducted when actual departure or arrival operations are in progress, to assess the operation of the station and the effectiveness of the equipment, services, procedures and personnel utilized.

- (b) Dangerous Goods Line Station Audit (DG-LSA)

Dangerous Goods Line Station Facility Inspections will emphasize dangerous goods operations at passenger facilities, operation practices and dangerous goods handling process and safe transport of dangerous goods (if applicable).

- (c) Airworthiness Line Station Audit (AIR-LSA)

AIR Line Station Audit is to assess the operator arrangement of servicing the aircraft operations and its subcontractor activities at the airport to ensure the safety of the aircraft along with operation practices, handling process and aircraft arrival and/or departure required to be observed.

- (d) Inspection of Training Program with Simulator (ITP)

Inspection of Training Program with Simulator will ensure that operator will deliver simulator training according to the approved training manual.

- (e) Special Inspection

Special audits (or inspections) may be scheduled during the period at the discretion of the assigned surveillance team for a special purpose if required. Such inspections may be necessary where a serious safety deficiency exists or documented information indicates that part or parts of an air operator's operation are conducted in a manner that is not in accordance with regulatory requirements.

11.5.1.4 No-Notice Inspection

No-notice inspections are intended to ascertain whether the internal control system is working effectively and the safety standards are continuously maintained as per the AOC requirements. It may be scheduled internally within CAAT during the period at the discretion of the assigned surveillance team if required. Such inspections may be necessary where a serious safety deficiency exists or documented information indicates that part or parts of an air operator's operation are conducted in a manner that is not in accordance with regulatory requirements. The nature of no-notice inspection conduct is the same as other inspections, but only without prior notice to the operator. In circumstances where the no-notice inspection is required, the Flight Operations Standards Manager and the Director General must be informed of the inspection as soon as possible before the conduct.

11.6 Annual review

11.6.1 Performance Review Meeting

The Performance Review meeting will be held between the OPS Manager, the POI or FOI and the CAAT oversight team. The meeting should normally take place once annually before the establishment of a Surveillance Programme to provide a summary of the audit and outline operator responsibilities arising from any performance during the oversight period and will be discussed as will the surveillance programme for the forthcoming year.

The purpose of the meeting is as follows:

- Review the performance of the operator and ongoing issues.
- Agree on the surveillance programme for the next surveillance period.
- Agree on the agenda for the Summary of Surveillance Report Meeting with the operator.
- Formally review and record the outcomes of the operator's internal administration and oversight activities.
- Prepare the Summary of Surveillance Report

All members of the oversight team should attend the Performance Review meeting. As a minimum, the OPS Manager and the assigned POI should be present. Irrespective of whether or not other Inspectors are in attendance they are expected to provide the POI with input to the Summary of Surveillance Report and the proposed surveillance programme for the next oversight period

11.6.2 Surveillance Report Meeting

Surveillance Report Meeting, a meeting between the OPS Manager, the POI, FOI and oversight team, the Accountable Manager and the relevant Department manager of the AOC holder may be arranged to discuss the Surveillance Report which is the summary of the operator's performance and/or any significant safety concerns during the oversight period and to advise them of the surveillance programme for the forthcoming year.

The meeting should be planned to occur as close as practicable to the Performance Review meeting. It should be emphasized that this is a 'two-way' meeting intended to allow the operator to provide feedback and an opportunity to discuss issues of significance. Minutes of the meeting shall be kept and shared with the operator

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12 LEASING

Purpose

This chapter guides the leasing Aircraft certification.

Reference

1. ICAO Doc 8335 Part V,
2. Regulation of Civil Aviation Board (RCAB) No.85 item 3 and 7,
3. ADCA Wet lease and Code sharing of the air operator issued May 14, 2009
4. AOCR Chapter 1 Paragraph 9

Definition

1. Lessee – means the party to which the aircraft is leased
2. Lessor – means the party from which the aircraft is leased
3. Dry lease – means the lease of an aircraft without crew, operated under the AOC of the lessee (custody and the operational and commercial control of the lessee) using the lessee's airline designator code and traffic rights.
4. Wet lease – means a lease of an aircraft crew, operated under the AOC of the lessor, with commercial control of the lessee and using the lessee's airline designator code and traffic rights.

Note:

Wet Lease may be the lease of an aircraft with at least the Flight Crew, while other scenarios may be the lease of an aircraft with at least one crew member, or the lease of an aircraft with an entire aircraft crew (Flight and Cabin Crew members)

Damp lease – means a wet-lease of an aircraft where the aircraft is operated under the AOC of the lessor, with the flight crew and possibly part of the cabin crew being provided by the lessor, and part or all of the cabin crew provided by the lessee.

Responsibilities

1. CAAT Director General (DGCA); is responsible for ensuring that every aircraft on the CAAT registry comply with the detailed technical and safety regulations promulgated by CAAT.
2. Flight Operations Standards Manager (OPS); is responsible for the overall AOC administration program
3. All relevant manager, such as Airworthiness and Engineering Manager (AIR) and Security Department Manager (SFD); is responsible for AOC certification and amendment process coordination with the OPS manager and Principal Operations Inspector (POI).
4. FOI/AWI/DGI/CSI/OMI/AVSEC; each authorized inspector or expert will perform inspections in compliance with CAAT regulations/requirements

and the operator's approved/accepted manuals. He/she shall report to the respective POI.

12.1 GENERAL

AOCR Chapter 1 Paragraph 9 requires that the operator shall seek CAAT approval before engaging in aircraft operating lease arrangements (i.e. dry/wet/damp leases). Approval for any operational lease arrangement will only be granted provided the parties have identified all the necessary responsibilities arising from the lease arrangement and the parties involved in the lease arrangement can demonstrate sufficient knowledge and adequate resources to fulfil their roles and responsibilities concerning the continuing airworthiness and operational control of the aircraft for the duration of the lease.

CAAT does not permit the lease of foreign registered aircraft by Thai air operators as there are several legal and practical operational problems in the certification of an operator proposing to utilize leased aircraft, or when an operator, in possession of an AOC, proposes to act as a lessor or lessee or otherwise cooperate with another operator. Therefore, the leased aircraft will need to be Thai registered and be under CAAT oversight responsibility.

In recent years, the practice of leasing aircraft has come into wide usage. Many leases involve aircraft owned by individuals or companies that are registered in one State and leased to operators from another State.

Unless suitable arrangements are made between the States involved, a lease may create complex legal, safety, enforcement and practical problems for either the State of Registry of the aircraft or the State of the Operator or both of these States. These problems arise because of possible uncertainty concerning which party is responsible for the safe operation and airworthiness of the aircraft, and uncertainty concerning the regulations of which states are applicable. The relevant authorities are responsible for resolving such uncertainties before a lease takes effect. The determination of responsibilities is a factual issue that depends upon the terms of the lease or other agreements. Determining which party to a lease is responsible for the operational control and airworthiness will in turn clarify the regulations of which State will apply, and what oversight responsibilities a particular State has for the operation of a leased aircraft. In some instances, the oversight responsibilities of the State of Registry and the State of the Operator may overlap. Some leases run for a long term while others are for short periods to cover temporary requirements.

In addition to the problems presented to CAAT, questions also arise concerning what steps can be taken to protect the financial interests and the assets of the lessor. This relates primarily to whether the laws and regulations of the State of Registry and its surveillance capabilities are adequate to cover the interests of the lessor in situations where the lessee, the operator of the aircraft, is from another State. Where the State of Registry and the State of the Operator are adequately carrying out their responsibilities for safety oversight, these actions should tend to protect the lessor's interests in a leased aircraft.

In Thailand, CAAT is responsible for ensuring that every aircraft on the CAAT registry comply with the detailed technical and safety regulations promulgated by CAAT, wherever such aircraft may be operated. However, where Thai registered aircraft are operated under a lease arrangement outside of Thailand it will be difficult for CAAT to properly carry out safety oversight, particularly in international commercial air transport. These responsibilities in turn create serious surveillance and enforcement problems for Thailand because these leased aircraft are frequently operated in distant areas where CAAT personnel from Thailand would find it difficult to conduct safety inspections. Compliance with the pertinent safety standards and regulations of Thailand may therefore diminish. Violations of regulations may occur by design or from ignorance and be unknown to CAAT. As a result, it is unlikely that enforcement action would be taken concerning such leased aircraft.

12.2 Dry lease procedures

Under most dry lease agreements, the lessee, who provides the crew, is the accountable party who exercises operational control over the aircraft with all the attendant responsibilities. If the lessee does not have operational control of the leased aircraft under the lease agreement, the responsible authority needs to carefully evaluate the arrangements to ensure that the operation can be conducted with an adequate level of safety following the applicable regulations.

When an applicant for an AOC, or an existing operator, wishes to use dry leased aircraft, the applicant or operator shall provide CAAT with the following information:

- a) the aircraft Type, Model and Serial Number;
- b) the name and address of the registered owner;
- c) State of Registry, nationality and registration marks;
- d) certificate of airworthiness and statement from the registered owner that the aircraft fully complies with the airworthiness requirements of the State of Registry;
- e) name, address and signature of lessee or person responsible for operational control of the aircraft under the lease agreement, including a statement that such individual and the parties to the lease agreement fully understand their respective responsibilities under the applicable regulations;
- f) copy of the lease agreement or description of lease provisions;
- g) duration of the lease; and
- h) areas of operation.

CAAT inspectors will review the application, and contact other competent authorities as necessary to verify accuracy and completeness. CAAT will determine to which party to the lease agreement is responsible for the conduct of the operation. In making this determination, CAAT will consider the responsibilities of the parties under the lease agreement for:

- a) Flight crew member licensing and training;
- b) Cabin crew member training;
- c) Airworthiness of the aircraft and the performance of maintenance;
- d) Operational control, including dispatch and flight following;
- e) Scheduling of flight crew and cabin crew members; and
- f) Signing the maintenance release.

12.3 Dry lease of aircraft registered in Thailand

This is a lease arrangement determined to be a dry lease to an operator of Thailand, involving an aircraft registered in another State that possesses a valid certificate of airworthiness issued by the State of Registry. If the dry lease arrangement is acceptable to Thailand, the operations specifications and the operations manual of the lessee shall be amended to provide at least the following data:

- a) Names of the parties to the lease agreement and the duration thereof;
- b) Nationality and registration marks of each aircraft involved in the agreement;
- c) Type of aircraft to be used;
- d) Areas of operation; and
- e) Regulations applicable to the operation.

Note: The operations specifications would provide the data requested in c) and d). Information in a), b) and e) can be provided in the operations manual

12.4 Dry lease of aircraft registered in other states

Thailand has not ratified 83 bis and has no regulations to permit any Thai operator to use a dry lease of aircraft registered in other states.

12.5 Wet Lease

12.5.1 General

In Wet Leases, the lessor normally exercises operational control of the aircraft. A Wet Lease situation, therefore, means that an aircraft will be operated under an AOC issued by the State of the lessor. In this case, the State of the Operator may also be the State of Registry of the leased aircraft.

The terms of a Wet Lease agreement are important since they may obscure the true relationship between, and the obligations of, the parties to the agreement. Additional information may be needed by the authorities concerned. The actual lease arrangements and other relevant information need to be examined by the respective authorities responsible for monitoring the operation of the wet-leased aircraft. The final determination of responsibility for the exercise of operational

control will depend upon a careful examination of all the factors in the particular situation.

Where both parties to a Wet Lease agreement hold AOCs, serious factual questions arise concerning which party, the lessor or the lessee, is responsible for the operation and compliance with the applicable safety regulations. The responsible authority or authorities, if the lessor and lessee are from different States, need to resolve such questions before operations involving the use of the wet-leased aircraft can be commenced.

12.6 Determination of Responsibility for Operational Control and Safety

The decision as to whether the lessor or the lessee is responsible for the safety of the operation will be made by CAAT. Consultation and coordination with counterparts from the State of the Operator of the lessor of the aircraft, who is assigned to work with the lessor, are most important in this decision process. The decision to be made is whether the aircraft should be operated under the lessor's AOC and associated operations specifications, or whether it should be operated under the authority of the lessee.

In Thailand, if a party, the lessor, leases an aircraft to another and also provides the flight crew, maintenance and fuel for the aircraft, the lessor of the aircraft is regarded as the operator. If the lessor makes a charge for the use of the aircraft and related service, the operation of the aircraft will be subject to the applicable regulations of the State of the Operator of the lessor. Operational control of the aircraft may be the responsibility of the lessor even though the lease may be characterized in terms similar to those of a Dry Lease, expressly stating that services such as flight following, communications and weather information, are to be performed by the lessee.

In the rare event that there is a determination that the lessee will be the operator of a wet-leased aircraft under a Wet Lease agreement, CAAT needs to determine whether the lessee can effectively maintain operational control of the aircraft. In such cases, the training and supervision of the flight crew, including how they are to be integrated into the lessee's operations, become critical considerations. If it is apparent that the lessee will not be able to maintain effective operational control under the terms of the agreement, CAAT will require that those terms be modified, otherwise, he will not approve the proposed wet lease.

In these circumstances, the lessee's Cabin Crew will need to receive additional training, under the approved training programme of the lessor, concerning their emergency duties on the particular aircraft. In addition, they may not know the requirements of the lessor's State of the Operator concerning Flight and Duty Time Limitations and the provision of rest periods, and to the performance of their duties and responsibilities aboard the wet-leased aircraft. These aspects need also to be taken into account.

12.7 Short-Term Wet Lease, Charter or Sub-Charter

Some wet-leasing operations, charters or sub-charters are organized for short terms at very short notice, for example, where an operator wishes to replace an unserviceable aircraft on a particular service and is forced to contract with another operator for that service to be operated.

To facilitate operations and such leases, information on the need for this type of arrangement and the possible lessors should be sought by CAAT from the concerned operators such that appropriate arrangements could be put in place to enable approval for an actual Short-Term Wet Lease or charter to be given very quickly.

In the case of a Short-Term Wet Lease, charter or sub-charter, the lessor will retain all responsibilities and operational control.

Note: Further information is available in the ICAO Manual on the Regulation of International Air Transport (Doc 9626) and in the ICAO circulars Guidance on the Implementation of Article 83 bis of the Convention on International Civil Aviation (Cir 295) and Implications of Airline Code sharing (Cir 269).

12.8 Damp Lease

A damp lease is generally understood to be a wet-lease of an aircraft where the aircraft is operated under the AOC of the lessor, with the flight crew and possibly part of the cabin crew being provided by the lessor and part or all of the cabin crew is provided by the lessee. In such a case, the State of the Operator should ensure that both the flight and cabin crew are trained to use common communications and emergency procedures and that the cabin crew receives appropriate training.

This is in view that practical safety problems develop in damp lease operations when the lessor provides only the flight crew while the lessee provides the cabin crew. In such cases, the Cabin Crew, employed by the lessee, will not be familiar with the aircraft, associated emergency equipment and the emergency procedures used by the flight crew.

In these circumstances, the lessee's Cabin Crew will need to receive additional training, under the approved training programme of the lessor, concerning their emergency duties on the particular aircraft. In addition, they may not know the requirements of the State of the lessor concerning flight and duty time limitations and the provision of rest periods, and to the performance of their duties and responsibilities aboard the wet-leased aircraft. These aspects need also to be taken into account.

12.9 Approval for Leased Aircraft Checklist

The Approval for lease aircraft checklist shall be used for verification of compliance to existing CAAT Requirements.

12.10 Procedures Summary

The procedure below lists the sequence of actions and persons responsible for processing an Approval for Leased Aircraft. In addition to the records listed in the procedure, the POI shall maintain continuously a record of progress.

| Person | Responsible | Action Record |
|------------------------|--|--------------------------------|
| Operator | Notifies CAAT of intention to apply for an Approval for Leased Aircraft | Operator Internal |
| OPS Manager | <ul style="list-style-type: none"> Review the document and notify/coordinate with AIR Assigns a POI or delegated inspector to perform. | Note of Action |
| AIR Manger | Assigns an AIR Staff to perform certification in airworthiness aspects | Note of Action |
| POI | <ul style="list-style-type: none"> Review intention letter and related documents Complete the CAAT-OPS-CLGEN-301 Approval For Leased Aircraft Checklist | CAAT System |
| AIR Manager | Notify OPS of additional detail of leasing in Letter Approval to Operator | Note of Action |
| POI | <ul style="list-style-type: none"> When the following items are completed <ul style="list-style-type: none"> Operation requirements satisfied Airworthiness requirements satisfied Equivalent compliance verified Operation manuals (All parts including CCM and CCTM) accepted/approved Lease agreement verified OPS-LEASE Checklist satisfied Prepare AOC document Prepare Letter Approval to Operator | Note of Action |
| OPS Manager | <ul style="list-style-type: none"> Review AOC documentation and verify operator documentation, as required Submit AOC documentation for DGCA signature | Note of Action |
| DGAC or his delegation | <ul style="list-style-type: none"> Sign the Letter Approval to Operator | Letter of Approval to Operator |
| POI | <ul style="list-style-type: none"> notify the applicant of the approval | Letter of Approval to Operator |

12.11Record

All records, as per Item.10.6 Procedure Summary, shall be maintained as long as relevant approval is not terminated. Records shall be traceable and prevented from theft, fire and flood.

OPS Manager is responsible for AOC certification records maintaining.

An approval statement can be used to specify wet-lease approval on the Letter Approval to Operator.

“Wet Lease (AIRCRAFT LEASING OPERATIONS):

1. The holder of this Certificate shall conduct all operations authorized under the terms of the lease agreement between (airline) and (airline) dated _____ following the provisions of The Civil Aviation Authority of Thailand operating regulations and rules and these operations specifications. Such operations are authorized over the routes and areas
2. specified in these operations specifications. Such operations shall be conducted with (type aeroplane) aircraft nationality and registration mark (callsign), (airline lessor) shall be responsible for the operational control of such flights.
3. All engineering responsibility, maintenance and repair of (type aeroplane) aircraft nationality and registration mark (callsign) will be accomplished by (airline lessor)
4. This authorization remains in effect until _____ or until surrendered, suspended, revoked or otherwise terminated by the Director General of the Civil Aviation Authority of Thailand.”