



สำนักงานการบินพลเรือนแห่งประเทศไทย  
The Civil Aviation Authority of Thailand

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# FLIGHT OPERATIONS INSPECTOR MANUAL (FOIM) VOLUME II (TCARs)

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Flight Operations Standards Department Manager 12

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## FOREWORD

The Air Operator Certificate (AOC) issuance adheres to the regulations outlined in ICAO Annex 6, Part I, and Part III and the CAAT-related requirements. The CAAT grants the AOC contingent upon the applicant demonstrating satisfactory capability to undertake the type of operations for the Civil Aviation Authority of Thailand (CAAT). To assess the operator's competence, the CAAT conducts a comprehensive evaluation of the proposed operation, including organisation, staffing, equipment and facilities, proposed routes, service levels, and financial considerations.

The approval of an AOC relies on the applicant showcasing a well-organised structure, effective control and supervision of flight operations, appropriate training programmes, and ground handling and maintenance, aligning with the specified nature and scope of the operation.

The certification team of inspectors of CAAT is responsible for conducting the required evaluations to ensure the applicant's capability to meet the actual and potential obligations in establishing and maintaining the safe operation of air services before issuing the AOC. Hence, all Inspectors involved in the certification process of the issuance of an AOC shall be guided by the requirements stipulated in this manual.

In compliance with the applicant's requirements and after evaluation by CAAT, the applicant would be issued an AOC, setting forth the operational authorisation and limitations to carry out the specified commercial air transport operations.

After issuing an AOC, CAAT would continue to monitor the operations through a systematic procedure of surveillance and inspections.

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### 0.3 Record of Revision

This version of the Flight Operations Inspector Manual Volume II (TFOIM - TCAR OPS) is issue no. 02, revision no. 00. The valid pages are listed in the List of Effective Pages distributed with every revision.

Issue	Revision	Effective Date	Revised By
02	00	13 May 2025	Veera C.
02	01	19-Jun-2026	Veera C.

## 0.4 Revision of Highlights

Area of Change	Amendment Summary
Chapter 0	<p><b>Chapter 0.7 List of Associated Document</b></p> <ul style="list-style-type: none"> <li>- Added the List of Associated Documents</li> </ul>
Chapter 1	<p><b>Chapter 1.1 Purpose of AOC</b></p> <ul style="list-style-type: none"> <li>- Amended item 4) TCAR OPS reference to ORO.GEN.210</li> <li>- Amended item 14) correction typo 'severe' and remove duplicated wording</li> </ul>
Chapter 2	<p><b>Chapter 2.2 Discharge of State Responsibilities</b></p> <p>Amended wording to update regulation name.</p>
Chapter 3	<p><b>Chapter 3.2 Policy</b></p> <ul style="list-style-type: none"> <li>- Amended item (b) the statement for "CAT applicant must have minimum 2 aircraft, all registered in Thailand..."</li> <li>- Moved the content of Pursuant to RCAAT No.26 Clause 16 to detail under item (g)</li> </ul>
Chapter 4	<p><b>Chapter 4 Overview of the Certification Process</b></p> <ul style="list-style-type: none"> <li>- Amended and added statement related to aircraft wet lease</li> </ul> <p><b>Chapter 4.3 Fees for Aviation Regulatory Services</b></p> <ul style="list-style-type: none"> <li>- Amended department name of "Financial and Accounting Department (FAD)"</li> </ul>
Chapter 5	<p><b>Chapter 5 Responsibilities</b></p> <ul style="list-style-type: none"> <li>- Removed "SMO(AG)"</li> </ul> <p><b>Chapter 5.1 Initial Management System Assessment (IMSA)</b></p> <ul style="list-style-type: none"> <li>- Amended to align statement "before the completion of formal application phase (Phase 2)."</li> </ul> <p><b>Chapter 5.2.2 Desktop Assessment</b></p>

	<ul style="list-style-type: none"> <li>- Amended item (b) wording of “OMI (Operations Management Inspector)”</li> <li>- Removed item (f) SMO-AG (Aviation Safety Standards Group)</li> </ul> <p><b>Chapter 5.2.6 Acceptance Letter to the Applicant</b></p> <ul style="list-style-type: none"> <li>- Amended wording to “before the issuance of formal acceptance letter.”</li> </ul> <p><b>Chapter 5.3 Forms and Checklists Summary (Management System Assessment)</b></p> <ul style="list-style-type: none"> <li>- Amended item 2 from “SMO (AG)” to “OMI”</li> <li>- Amended item 3 removed “SMO (AG)”</li> </ul>
Chapter 7	<p><b>Chapter 7 Formal Application Phase</b></p> <ul style="list-style-type: none"> <li>- Added reference item “14. Thailand Civil Aviation Regulation - Air Operations Part Commercial Seaplane Operations (TCAR OPS Part - SEA)”</li> </ul> <p><b>Chapter 7.1 General</b></p> <ul style="list-style-type: none"> <li>- Amended wording form “should” to “shall”</li> </ul> <p><b>Chapter 7.1.2 Formal Application’s Documentation</b></p> <ul style="list-style-type: none"> <li>- Amended item (d) compliance list number from “106” to “107”</li> <li>- Amended name of form CAAT-OPS-TDFM-106 “Nomination for Air Operator Personnel”</li> </ul> <p><b>Chapter 7.1.5 Compliance List</b></p> <ul style="list-style-type: none"> <li>- Amended item compliance list number from “106” to “107”</li> </ul> <p><b>Chapter 7.5 Forms and Checklists Summary (Formal Application Phase)</b></p> <ul style="list-style-type: none"> <li>- Amended wording "Application for Air Operator Certificate" for the initial certification process.</li> <li>- Added item no.11 CAAT-OPS-TCCL-107 Compliance List for Aeroplane AOC Part SEA</li> <li>- Amended item no.12 name of form CAAT-OPS-TDFM-106 “Nomination for Air Operator Personnel”</li> </ul>
Chapter 8	<p><b>Chapter 8 Document Evaluation</b></p> <ul style="list-style-type: none"> <li>- Added reference items no.15 and 16</li> </ul>

	<ul style="list-style-type: none"> <li>- Amended wording “Applicant” to “Operator”</li> </ul> <p><b>Chapter 8.4.2 Safety Management System Manual</b></p> <ul style="list-style-type: none"> <li>- Change the responsibility from SMO to OPS and reference of inspection.</li> </ul> <p><b>Chapter 8.4.6 Dangerous Goods Manual</b></p> <ul style="list-style-type: none"> <li>- Removed wording “regulations” from title of item and contents</li> </ul> <p><b>Chapter 8.4.7 Safety Briefing Card</b></p> <ul style="list-style-type: none"> <li>- Removed wording “Passenger” from the section title and content</li> </ul> <p><b>Chapter 8.4.8 Rules Limiting the Flight Time and Flight Duty Periods Scheme</b></p> <ul style="list-style-type: none"> <li>- Amended title of item to “Flight Time Limitation and Specification Scheme”</li> </ul> <p><b>Chapter 8.4.20 Training Manuals</b></p> <ul style="list-style-type: none"> <li>- Added “TCAR OPS Part - SEA, Subpart ORS, Subpart FC, Subpart SCC, Subpart FTLS, and Subpart GOS”</li> </ul> <p><b>Chapter 8.6 Forms and Checklists Summary</b></p> <ul style="list-style-type: none"> <li>- Added item 9 checklist OPS-TCSPA-314 SET IMC</li> <li>- Added item 17 checklist OPS-TCOMI-306-3 IFTSS for Seaplane Operations</li> <li>- Added item 18 checklist OPS-TCOMI-308 SEA Ground Operations Manual</li> <li>- Added item 27 checklist OPS-TCSEA-301 OPS - Organisation, Contents and Critical Elements of the Operations</li> <li>- Added item 34 CAAT-OPS-TCCL-107 Compliance List for Aeroplane AOC Part SEA</li> </ul> <p><b>Chapter 8.7 Procedure Summary</b></p> <ul style="list-style-type: none"> <li>- Added statement “within 7 days after manual acceptance/approval”</li> <li>- Amended compliance list number from “106” to “107”</li> </ul>
Chapter 9	<b>Chapter 9 Demonstation and Inspection</b>

	<ul style="list-style-type: none"> <li>- Added the list of Reference no.17, 18</li> </ul> <p><b>Chapter 9.1 General</b></p> <ul style="list-style-type: none"> <li>- Amended wording “ETOP” to “EDTO”</li> </ul> <p><b>Chapter 9.3.3 Organisation Structure, Management and Administration</b></p> <ul style="list-style-type: none"> <li>- Added paragraph “For SEA operations refer to TCAR OPS Part - SEA, Subpart GOS - Organisation Requirements for Seaplane Operaitons”</li> </ul> <p><b>Chapter 9.3.5 Ground Operations Organisation and Management</b></p> <ul style="list-style-type: none"> <li>- Item (a) Amended procedure on inspection of ground operations organization by add clause “prior to the issuance of an AOC</li> <li>- Item (b) Added wording “Ground Handling” and amended wording from “dangerous goods awareness” to “dangerous goods training”</li> <li>- Item (j) Added wording “policies”</li> <li>- Added paragraph “For SEA operations refer to TCAR OPS Part - SEA, Subpart GOS - Organisation Requirements for Seaplane Operations”</li> </ul> <p><b>Chapter 9.3.7 Training Programme</b></p> <ul style="list-style-type: none"> <li>- Amended by moving content of the note to under item (b)</li> </ul> <p><b>Chapter 9.3.9 Record Keeping</b></p> <ul style="list-style-type: none"> <li>- Amended Item (a) General, 2). Add “x) Seaplane Cabin Coordinator”</li> </ul> <p><b>Chapter 9.7 Forms and Checklist Summary</b></p> <ul style="list-style-type: none"> <li>- Removed “SMO(AG)” in item 1</li> <li>- Added item 16 checklist OPS-TCOMI-404-3 OPS - IFTSS Implementation for Seaplane Operations</li> <li>- Added item 17 checklist OPS - Ground Handling Operations Inspection - Main Base</li> <li>- Added item 20 checklist OPS-TCOMI-411 OPS - Initial Approval of IFTSS for Seaplane Operations</li> <li>- Added item 21 checklist OPS-TCOMI-412 OPS - SEA Ground Handling Operations Inspection</li> </ul>
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	<p><b>Chapter 9.8 Procedures Summary</b></p> <ul style="list-style-type: none"> <li>- Added statement under FOSD System Upload “within 7 days after manual acceptance/approval”</li> </ul>
<p>Chapter 10</p>	<p><b>Chapter 10.3 Final Preparation for the Issuance of an AOC</b></p> <ul style="list-style-type: none"> <li>- Added statement “which will be approved by the DGCA”</li> </ul> <p><b>Chapter 10.6 Period of Validity of an AOC and the Associated Operations Specifications</b></p> <ul style="list-style-type: none"> <li>- Amended valid period of AOC from 2 year to 5 year</li> </ul> <p><b>Chapter 10.8 Forms and Checklists Summary (Certification Phase)</b></p> <ul style="list-style-type: none"> <li>- Amended item 5 the wording from Helicopter to “Aeroplane”</li> <li>- Added item 9 checklist CAAT-OPS-TCCL-107 Compliance List for Aeroplane AOC Part SEA</li> </ul> <p><b>Chapter 10.9 Procedure Summary</b></p> <ul style="list-style-type: none"> <li>- Added step in the AOC Certification Package Preparation for coordination with AIR and/or Aviation Security as applicable.</li> </ul>
<p>Chapter 11</p>	<p><b>Chapter 11 Purpose</b></p> <ul style="list-style-type: none"> <li>- Removed statement “and/or Dangerous Goods (DG) Authorisation”</li> </ul> <p><b>Chapter 11.1 General</b></p> <ul style="list-style-type: none"> <li>- Item (c) removed statement of item (ii) “The authorized operator...”</li> </ul> <p><b>Chapter 11.2 Fees for Aviation Regulatory Services</b></p> <ul style="list-style-type: none"> <li>- Amended the wording from “Regarding to” to “In accordance with”</li> </ul> <p><b>Chapter 11.5 Phase 1: Formal Application Phase</b></p> <ul style="list-style-type: none"> <li>- Amended item iii) correct to “Air Operating License”</li> <li>- Added wording in item (a), vi) “Part SEA”</li> <li>- Added item “v. CAAT-OPS-TCCL-107 (TCAR OPS Part SEA) for SEA”</li> </ul> <p><b>Chapter 11.6 Phase 2: Document Assessment Phase</b></p> <ul style="list-style-type: none"> <li>- Amended form name CAAT-OPS-TCFM-201 “Proposed Change to an AOC (PCA)”</li> <li>- Added wording in item (d), (ii) “Part SEA”</li> </ul>

	<ul style="list-style-type: none"> <li>- Added new item in ii) “CAAT-OPS-TCCL-107 (TCAR OPS Part SEA) for SEA”</li> </ul> <p><b>Chapter 11.7 Phase 3: Inspection and Demonstration Assessment Phase</b></p> <ul style="list-style-type: none"> <li>- Amended item iii) update to new methodology of Main Base for inspection</li> </ul> <p><b>Chapter 11.9 Safety assessment of the approval requirement</b></p> <ul style="list-style-type: none"> <li>- Removed statement “and Dangerous Goods Operating License”</li> </ul> <p><b>Chapter 11.10 Forms and Checklists Summary</b></p> <ul style="list-style-type: none"> <li>- Added item no. 11 CAAT-OPS-TCCL-107 Compliance List for Aeroplane AOC Part SEA</li> </ul> <p><b>Chapter 11.11 Procedures Summary</b></p> <ul style="list-style-type: none"> <li>- Amended the wording “Financial and Accounting Department (FAD)”</li> </ul>
<p>Chapter 12</p>	<p><b>Chapter 12.2 Fees for Aviation Regulatory Services</b></p> <ul style="list-style-type: none"> <li>- Amended the wording from “Regarding to” to “In accordance with”</li> <li>- Removed the note related to application fee and table of applicable fee</li> </ul> <p><b>Chapter 12.3 Team Members</b></p> <ul style="list-style-type: none"> <li>- Removed “Aviation Safety Management and Standards Assurance Office (SMO)”</li> </ul> <p><b>Chapter 12.5.1 Changes Requiring Prior Approval (CR)</b></p> <ul style="list-style-type: none"> <li>- Amended Table 1 Lists of Amendment and Revision (Changes) Requiring Prior Approval</li> <li>- Added wording “(if applicable)” in item (c) Phase 3</li> </ul> <p><b>Chapter 12.5.1.1 Application Phase</b></p> <ul style="list-style-type: none"> <li>- Amended item (a) and item no.1 CAAT-OPS-TCFM-201 “Proposed Change to an AOC (PCA)”</li> <li>- Amended item (a) and item no.9 form CAAT-OPS-TDFM-106 “Nomination for Air Operator Personnel”</li> <li>- Added “Part SEA” in item 2.</li> </ul>

	<ul style="list-style-type: none"> <li>- Added “(for the entire manual)” in item 3 Draft of the proposed documentation to be changed</li> <li>- Amended item no.6 the wording MOC to “Risk Assessment” and added the wording “(upon request)”</li> <li>- Added wording “along with Dangerous Goods Manual and Dangerous Goods Training Programmed” in item 7</li> <li>- Amended item (b) the wording “Document Assessment Phase”</li> </ul> <p><b>Chapter 12.5.1.2 Document Assessment Phase</b></p> <ul style="list-style-type: none"> <li>- Added “CAAT-OPS-TCCL-107 (TCAR OPS Part SEA) for Aeroplane AOC Part SEA ” in item ii.</li> <li>- Added Note: CAAT reserves the right to reject an application</li> </ul> <p><b>Chapter 12.5.1.3 Inspection and Demonstration Assessment Phase</b></p> <ul style="list-style-type: none"> <li>- Removed the wording “taken” in item (c)</li> </ul> <p><b>Chapter 12.5.1.4 Certification Phase</b></p> <ul style="list-style-type: none"> <li>- Added “Release of Documentation (RoD)<sup>2</sup>” item (c)</li> <li>- Added Note 2 – ‘Release of Documentation (RoD)’</li> </ul> <p><b>Chapter 12.5.2 Changes Not Requiring Prior Approval (CN)</b></p> <ul style="list-style-type: none"> <li>- Amended item no.1 CAAT-OPS-TCFM-201 “Proposed Change to an AOC (PCA)</li> <li>- Amended the timeframe for CN to 10 days and updated the content to clarify policy applicable to CN.</li> <li>- Amended the wording from “assessment” to “verification”</li> <li>- Amended the wording from “acknowledgment” to “a Verification email”</li> <li>- Amended the wording “accepted by the CAAT” to “Verified by the CAAT”</li> <li>- Added Table 2- List of Change NOT Requiring Prior Approval – Details of Notification</li> </ul> <p><b>Chapter 12.5.3 Minimum Submission Timeframes for Changes</b></p> <ul style="list-style-type: none"> <li>- Amended the submission timeframe for CN to at least 10 days</li> </ul>
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	<p><b>Chapter 12.5.4 Summary Table (for Changes to an AOC Holder)</b></p> <ul style="list-style-type: none"> <li>- Amended the detail of CN in the Summary Table.</li> <li>- Amended the submission timeframe for CN to at least 10 days in the table and Note item 2.</li> <li>- Amended Note the wording “acknowledgement” to “Verification email”</li> <li>- Added wording “RoD”</li> </ul> <p><b>Chapter 12.6 Forms and Checklists Summary</b></p> <ul style="list-style-type: none"> <li>- Amended item no.1, 2, 7 added the wording “(if applicable)”</li> <li>- Amended item no.4 added form code CAAT-OPS-TCCL-107</li> <li>- Amended item no.5 form CAAT-OPS-TDFM-106 “Nomination for Air Operator Personnel”</li> <li>- Amended item no.7 CAAT-OPS-TCFM-201 “Proposed Change to an AOC (PCA)”</li> </ul> <p><b>Chapter 12.7 Procedures Summary for Changes Requiring Approval Process (CR)</b></p> <ul style="list-style-type: none"> <li>- Amended form name CAAT-OPS-TCFM-201 “Proposed Change to an AOC (PCA)”</li> <li>- Amended item no.4 added the wording Part CC, and Part SEA</li> <li>- Added statements related to the change requires an amendment to the AOC and/or OPS SPEC and applicable forms.</li> <li>- Amended item no.7 the wording MOC to “Risk Assessment” and added the wording “(upon request)”</li> <li>- Amended item no.10 name of form CAAT-OPS-TDFM-106 “Nomination for Air Operator Personnel”</li> <li>- Amended wording from “applicant” to “operator”</li> <li>- Amended the wording “Financial and Accounting Department (FAD)”</li> <li>- Amended procedure in Phase 2 by removing the steps for uploading and accepting document in the FOSD system.</li> </ul>
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	<ul style="list-style-type: none"> <li>- Amended procedure in Phase 2 for sending email acceptance draft manual for inspection (if Phase 3 is required)</li> <li>- Amended procedure in Phase 3 of verification the proposed corrective action and inform operator once all finding have been closed</li> <li>- Amended Phase 4 for issuance certification</li> </ul> <p><b>Chapter 12.8 Procedures Summary for Changes Not Requiring Approval Process (CN)</b></p> <ul style="list-style-type: none"> <li>- Amended the general content related to the CN process.</li> <li>- Amended form name CAAT-OPS-TCFM-201 “Proposed Change to an AOC (PCA)”</li> <li>- Amended Phase 2 of procedure related to Document Evaluation, issuance RoD, and Verification email</li> <li>- Removed Note 1 due to duplicate content.</li> </ul> <p><b>Chapter 12.9 Coordination with AIR</b></p> <ul style="list-style-type: none"> <li>- Added new section 12.9 Coordination with AIR</li> </ul>
<p>Chapter 13</p>	<p><b>Chapter 13 CONTINUING SAFETY OVERSIGHT – SURVEILLANCE</b></p> <ul style="list-style-type: none"> <li>- Added reference in item 10. CAAT-SMO-NCP and 11. CAAT-LEG-ENF</li> </ul> <p><b>Chapter 13.1 Surveillance Policy</b></p> <ul style="list-style-type: none"> <li>- Added statement related to identify a serious safety concern and safety oversight activities.</li> </ul> <p><b>Chapter 13.3 Surveillance Programme</b></p> <ul style="list-style-type: none"> <li>- Removed “Aviation Safety Management and Standards Assurance Office (SMO)”</li> </ul> <p><b>Chapter 13.4.1 Phase One – Developing a Risk-Based Surveillance Plan</b></p> <ul style="list-style-type: none"> <li>- Added the statement The surveillance programme, “approved by the DGCA”</li> </ul> <p><b>Chapter 13.4.3 Phase Three – Analyzing Surveillance Data</b></p> <ul style="list-style-type: none"> <li>- Amended the SFD department’s name</li> <li>- Added new bullet for SMO</li> </ul> <p><b>Chapter 13.5.1 Audit Type</b></p>

	<ul style="list-style-type: none"> <li>- Added new content in section 13.5.1 for Scheduled Audit and Non-Scheduled Audit.</li> </ul> <p><b>Chapter 13.5.1.1 Main Base Audit</b></p> <ul style="list-style-type: none"> <li>- Amended content of surveillance area to align with current procedure.</li> </ul> <p><b>Chapter 13.5.1.5 Special Audit (SPEC)</b></p> <ul style="list-style-type: none"> <li>- Amended section number and cross reference to 13.5.1.4</li> </ul> <p><b>Chapter 13.5.1.7 No-Notice Inspection</b></p> <ul style="list-style-type: none"> <li>- Removed section of No-Notice and revise for adding statement into chapter 13.9</li> </ul> <p><b>Chapter 13.9 Procedures Summary</b></p> <ul style="list-style-type: none"> <li>- Added contents in summary procedure related to coordination between difference department, action when serious safety concern is identified, and non-compliance.</li> </ul>
<p>Chapter 14</p>	<p><b>Chapter 14 Responsibilities</b></p> <ul style="list-style-type: none"> <li>- Amended the wording “Airworthiness and Aircraft Engineering Department Manager (AIR)”</li> </ul> <p><b>Chapter 14.1 General</b></p> <ul style="list-style-type: none"> <li>- Amended and added statement related to aircraft leasing</li> </ul> <p><b>Chapter 14.3 Dry lease-in of aircraft registered in Thailand</b></p> <ul style="list-style-type: none"> <li>- Amended the title of section and statement related to dry lease-in of aircraft registered in Thailand.</li> </ul> <p><b>Chapter 14.4 Dry lease-in of aircraft registered in other states</b></p> <ul style="list-style-type: none"> <li>- Amended the title of section and statement related to dry lease-in of aircraft registered in other states.</li> </ul>

**0.5 Distribution List**

Type of Document	Distributed To
Electronic Document	OPS Manager
Electronic Document	OPS Staff
Electronic Document	Aviation Safety Management and Standards Assurance Office

## **0.6 Administration**

### **0.6.1 Control of Manual**

The Flight Operations Standards Department (OPS) is responsible for ensuring that this manual is updated as required and maintaining its contents.

### **0.6.2 Amendment and Revision**

Whenever there is a significant change, a new procedure is required. Minor amendments shall be issued as revisions, with effective pages reviewed no later than the effective date. A vertical black line is required on the left-hand side of the page to identify the change of this revision.

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

**Minor changes** affect 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 the initial last name in the Records of Revision.

### **0.6.3 Users Feedback**

If there is any recommendation for improvement with this manual, your valuable feedback should be provided to the Air Operator Certification Division (CT) by sending an email to ops\_ct@caat.or.th

## 0.7 List of Associated Documents

Document Reference No.	Name of Document	Applicable to
ICAO Doc 8335	Manual of Procedures for Operations Inspection, Certification and Continued Surveillance.	All OPS staff and relevant
ICAO Doc 9376	Preparation of an Operations Manual	All OPS staff and relevant
TCAR-OPS	Thailand Civil Aviation Regulation— Air Operations	All OPS staff and relevant
CAAT-SMO-DMSP	Document Management System Procedures	All CAAT staff
CAAT-OPS-OPSM	Flight Operations Standards Department Manual (OPSM)	All OPS staff
CAAT-OPS-TDGIM	Dangerous Goods Inspection Manual (TDGIM)	DG Division staff
CAAT-OPS-TCSIM	Cabin Safety Inspection Manual (TCSIM)	CS Division staff
CAAT-OPS-TFOIM-VOL1	Flight Operations Inspection Manual (TFOIM) Volume I	All OPS staff and relevant (CAAT Certification Team)
CAAT-OPS-TFOIM-VOL3	Flight Operations Inspection Manual (TFOIM) Volume III	All OPS staff and relevant (CAAT Certification Team)
CAAT-SMO-NCP	Non-Compliance Management Procedure	All CAAT staff
CAAT-LEG-ENF	Aviation Enforcement Manual	All CAAT staff
CAAT-LEG-EXE	Exemption Policy and Procedure Manual	All CAAT staff
CAAT-OPS-GAIM	General Aviation Inspector Manual	General Aviation Inspector

## **0.8 Definitions and Acronyms**

Refer to Flight Operations Inspector Manual Volume I, paragraph 0.8

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## 1 INTRODUCTION

In accordance with Sections 41/112, 41/115, and 41/117 of the Air Navigation Act (14th Amendment), B.E. 2562, the Director-General possesses the authority to establish regulations governing the criteria for the issuance of the Air Operator Certificate (AOC). These regulations aim to certify that applicants can conduct air operations safely and effectively. The Director-General will grant an AOC to entities intending to operate by demonstrating compliance with safety management standards for commercial air transportation and meeting or exceeding the minimum standards specified in the issued regulations.

The application, issuance, change authorisation, and renewal processes for the AOC and the format of the certificate and its specific approval are subject to the regulations set forth by the Director General. Holders of the Air Operator Certificate are obligated to carry out their operations safely and fulfill other responsibilities in accordance with the criteria, requirements, conditions, and privileges granted as per the regulations issued by the Director General.

With this authority, the Director General issues regulations on aircraft operations, detailed in Regulation No. 26 of the Civil Aviation Authority of Thailand on the Air Operator Certificate and Regulation No.27 of the Civil Aviation Authority of Thailand on the Operation of Air Operator Certificate Holders.

### 1.1 Purpose of AOC

- (a) The purpose of an AOC is to certify that specified commercial air transport operations are authorized by CAAT and are to be conducted in compliance with applicable regulations and rules.
- (b) The CAAT issues the AOC in two parts, the AOC itself and the associated operations specifications (OPS SPEC) that specify the nature and scope of operations authorized together with relevant conditions and limitations (e.g. EDTO, RNP, RVSM, LVO, MNPS,)
- (c) The CAAT is authorized to suspend or cancel an AOC if one or more of the conditions stipulated therein is breached or not maintained to the same level as demonstrated at the initial certification.
- (d) Prior to issuing an AOC, the CAAT needs to be satisfied that the operator conforms to all the requirements of relevant rules, requirements and associated guidance published by the CAAT and that:
  - 1) The aircraft shall meet the appropriate standards of airworthiness and operational requirements, thereby equipped with all mandatory items for communication, navigation, surveillance and safety and emergency equipment in accordance with the applicable Civil Aviation Requirements published by the CAAT, for safe, secure, efficient and regular operations of proposed services.
  - 2) The operator shall provide adequate servicing and maintenance of the aircraft and establish an effective system of maintenance control for this purpose.

- 3) The operator shall provide an effective means of operational control of the aircraft that intends to operate. This should include the policies and procedures covering the type of operations, the pre-departure functions, the dispatch functions, flight following, dual responsibility if any, continuation of flight, termination or En-route diversion of flight.
- 4) The organisational structure, staffing and administrative facilities in the areas such as operations, maintenance and/or all other associated areas of the operator are appropriate and the nominees for the Designated Post Holders including the key personnel shall have adequate experience and required qualifications and are acceptable to and approved by the CAAT as specified in ORO.AOC.135 and ORO.GEN.210.
- 5) Crew members and all other personnel required for the operation of aircraft (e.g. Dispatches, ground handling staff) are qualified and trained as per published requirements and are available in sufficient numbers to carry out operations.
- 6) The operations organisation of the operator has their Flight Time Limitation (FTL) Scheme approved as per the limitations for flight time, flight duty periods, duty periods and rest periods for fatigue management of flight crew and cabin crew members as given in the relevant TCAR OPS.
- 7) All required training and checking programs, instructors and training infrastructure including training and checking facilities (local, in-house outsourced and abroad) simulators, and any other synthetic devices have the approval of CAAT, where applicable.
- 8) Type(s) of aircraft are approved for the proposed operations and are suitable for the proposed operations and they are available in sufficient numbers.
- 9) Facilities and ancillary services required for the proposed operations have been organised to ensure safe, secure, efficient and regular operation.
- 10) An effective management system is in place.
- 11) Document management and Flight safety documents system are in place.
- 12) Flight data analysis programme & system of preservation of data is in place.
- 13) Air operator makes available to flight crew and operational personnel, at all aerodromes authorized in its AOC and corresponding operations specifications, information contained in the AIP, AIC, pre-flight aeronautical information, including dissemination of weather data and NOTAMS for the safety, regularity and efficiency of air navigation.
- 14) Policy and procedures for the flight crew to record and report on routine meteorological observation during En-route and climb-out phases of the flight and special and other non-routine observations such as severe turbulence, thunderstorms, volcanic ash, severe mountain waves, severe icing, heavy dust storms during any phase of the flight are established;

- 15) Operational requirements concerning Ground handling, Passenger handling and public safety, provision of operational information to the crewmembers, arrangements of proposed fuel policy, flight and cabin crew scheduling, operations support services, operational loading and load control, take-off and landing minima of the operator are in place.
- 16) Installations, equipment and staff facilities associated with the main base and stations are adequate for the proposed operation.
- 17) Requirements related to the transportation of Dangerous Goods by air are adhered to and documented.
- 18) Maintenance requirements concerning technical data, fueling, maintenance facilities, weight and balance, aircraft servicing, spares holding, stores control, MEL, CDL, maintenance release, accomplishment and control of airworthiness directives, maintenance systems, time-in-service, maintenance records, maintenance contractual agreements and Defects reporting system of the operator are adhered and documented.
- 19) Any other element identified as a requirement during the certification process is in place and is sufficient to ensure the conduct of operation with the type(s) of aircraft to be operated.

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## **2 RESPONSIBILITIES OF THE STATE**

### **2.1 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 authorised 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 authority of any function under CAAT (Civil Aviation Authority of Thailand) Regulations.

### **2.2 Discharge of State Responsibilities**

To discharge its responsibility, Thailand has enacted the relevant Air Navigation Act, which provides for the development and promulgation of the 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 organisation. 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 holds an AOC (Air Operator Certificate) issued by the DGCA to engage in commercial air transport operations is in the Thailand Civil Aviation Regulation – Air Operations (TCAR OPS). The system for the initial inspection and certification and continued safety oversight of air operators is outlined in Volume II and III.

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 organisation, 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 adequate organisation, 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 authorised. After issuing 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 can provide 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.

## 3 AIR OPERATOR CERTIFICATE

### 3.1 General

The AOC (Air Operator Certificate) provides the basis for CAAT (Civil Aviation Authority of Thailand) 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, which can be found in subsequent chapters as detailed requirements and guidance.

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.

### 3.2 Policy

- (a) The issue of an AOC Certificate (AOC) or Operations Specifications (OPS SPEC) in respect of an operator shall be approved by the Director General of the Civil Aviation Authority of Thailand.
- (b) The aviation activities shall be clearly defined as per TCAR-OPS. For scheduled CAT, the applicant must have minimum of 2 aircraft, all registered in Thailand, for the initial application. The age of aircraft shall not exceed the maximum limits prescribed by applicable regulations.
- (c) All flight operational and airworthiness managerial appointments, manuals, documents and facilities shall be accepted/approved by the CAAT.
- (d) All applicants for AOC and OPS SPEC initial and renewal shall undergo financial fitness/competence by the relevant Department of CAAT.
- (e) Ownership of the aircraft shall be legally established for inclusion on the Certificate of Registration as prescribed by applicable airworthiness requirements.
- (f) Maintenance organisations or Continuing Airworthiness Management organisations intended for use by the applicant or AOC/OPS SPEC holder shall be certified by the CAAT as prescribed by applicable airworthiness requirements.
- (g) Operators for an AOC and OPS SPEC shall allow the CAAT to examine all safety aspects of the proposed organisation as laid down in the Civil Aviation Regulation including TCAR-OPS and related requirements. This examination should also include surveillance of the operator to ensure continued operating competence.

Pursuant to RCAAT No.26 Clause 16;

When the CAAT ascertains that the AOC holder has committed any of the following infractions, the CAAT is authorized to conduct inspections, and inform the AOC holder to revise documents, or implement corrective measures within a specified period:

- 1) Violating, or non-compliance with, operating regulations.
- 2) Violating, or non-compliance with, manuals or information certified by the DGCA.
- 3) Violating, or non-adherence to, air navigation laws.

- 4) Violating, or non-compliance with, safety protocols and procedures as decreed by the DGCA.
  - 5) Unauthorized alterations to manuals or information previously certified by the DGCA.
- (h) An applicant for an initial AOC and OPS SPEC must complete the entire certification process within the timeframe established in the Service Level Agreement (SLA) approved by DGCA, unless otherwise authorized. Should the applicant fail to meet the stipulated deadline, the application will be terminated, requiring a complete resubmission. Furthermore, the CAAT will reject any initial AOC or OPS SPEC application that remains inactive or demonstrates insufficient progress for a period exceeding 30 days.
- (i) AOCs and OPS SPEC issued are non-transferable.
- (j) Suspension of an AOC

Pursuant to Air Navigation Act B.E 2497 Section 41/120

When it appears that any Air Operator performs any of the following acts, the DGCA is authorized to suspend its AOC:

- 1) violating or not complying with the conditions specified in the AOC or in the OPS SPEC and operating conditions that cause or may cause harm to air navigation;
- 2) violating or not complying with the duty of the AOC holder as prescribed in this Act;
- 3) it is found that the AOC holder is unable to perform the operation safely;
- 4) not complying with any regulations, criteria, rules or any other requirements prescribed by the DGCA

Pursuant to RCAAT No.26 Clause 17

- 1) The AOC holder may temporarily suspend their air operations when such action is deemed necessary, subject to the approval of the DGCA. The AOC Holder is entitled to request a suspension of air operations for a term not exceeding six (6) months within a single application. Successive suspensions are permissible, provided that the total duration does not surpass two consecutive terms.
- 2) For suspensions that extend beyond 3 months, should the AOC Holder wish to recommence air operations, the CAAT will conduct a safety audit/inspection before authorizing the resumption of services to ensure the AOC Holder's ability to maintain its capability to continue operations in accordance with their approved operations manuals, and compliance with regulations and safe operating practices.

**Note:** For suspensions of less than 3 months, a safety audit/inspection may also be conducted if deemed necessary by the POI and/or the inspector(s) depending on areas of concern and associated safety risk.

- 3) Any suspension that exceeds the durations outlined in the preceding paragraph without just cause shall be considered an unauthorized cessation of service, warranting the revocation of the AOC by virtue of ANA Section 41/121 and RCAAT No.26 Clause 17.

(k) Revocation of an AOC

Pursuant to Air Navigation Act B.E 2497 Section 41/121

DGCA is authorized to revoke an AOC when an AOC holder:

- 1) violating or not complying with the conditions specified in the AOC or in the OPS Specs and operating conditions that causing serious harm to air navigation
- 2) its AOC was suspended for more than two time within the period of two years;
- 3) ceases its operation in whole or in part without permission;
- 4) unable to conduct its operation within the period of six months from the date of being granted the AOC;
- 5) ceases its operation continuously for a period of more than one year without any appropriate reason.

When the DGCA ordered the revocation of an AOC, the holder shall return the AOC to the CAAT within seven days as from the date of its recognition of such order.

### 3.3 AOC Certificate (AOC)

The ICAO Annex 6 specified that aircraft engaged in commercial operations shall carry a certified true copy of the AOC 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 Thailand Civil Aviation Regulation—Air Operations (TCAR-OPS)

The information on the AOC shows Thailand as the state of the operator, the identity of the responsible office of CAAT, the certificate number with its expiration date, the name of the operator, and any other trading name relevant to the certificate, including the address of the operator's principal place of business. The AOC certificate also indicates the location in the operator's documentation containing the contact details of the operator's operational management. Finally, the issuance of the certificate shows the date of issuance and the name, along with there of the CAAT official responsible.

The contact details where operational management can be contacted without undue delay for issues related to flight operations, airworthiness, crew competency, ground handling operations, 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 deemed appropriate by the CAAT.

### 3.4 Operations Specifications (OPS SPEC)

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

The operations 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. The make, model, and series (or master series) of the aircraft, the type of operation and the geographical areas are also indicated in specifications.

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

### 3.5 List of Authorized Aircraft for Specific Approval

The List of Authorized Aircraft for Specific Approval is issued in association 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 of Authorized Aircraft for Specific Approval is subject to revision and re-issuance in the event of changes to the list of authorized aircraft or the granted specific approvals.

### 3.6 Certified True Copy of the AOC

Onboard each aircraft, a certified true copy of the AOC, a copy of the Operations Specifications, and the List of Authorized Aircraft for Specific Approval corresponding to the aircraft type, issued in conjunction with the certificate, shall be made available. The certified true copy shall bear the signature and an official CAAT stamp endorsing the certification statement, as in the example below.

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.

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

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## 4 OVERVIEW OF THE CERTIFICATION PROCESS

Throughout the certification process, the CAAT (Civil Aviation Authority of Thailand) aims to ensure that the applicant, who has the ultimate responsibility for the operation's safety, is eligible for an AOC issuance. The CAAT assesses the applicant's ability and competence to conduct operations safely and efficiently while adhering to relevant regulations. Additionally, the CAAT provides guidance to the applicant on organisational and procedural aspects, fostering both safety and economic success in the 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 the safety, regularity, and efficiency of operations, which will, in turn, enhance public confidence in the operations conducted by the applicant as an operator and holder of an AOC.

To be eligible for the issuance and continued validity of an Air Operator Certificate (AOC), an air operator shall operate at least one aircraft under its own AOC bearing Thai nationality and registration marks, of which the operator is either the owner or the lessee having exclusive possession under a dry lease arrangement. The operation of an aircraft bearing foreign nationality and registration marks under a dry lease arrangement shall not be permitted.

An air operator may operate additional or replacement aircraft under a wet lease arrangement only with prior written approval from the Ministry of Transport and approval by CAAT.

An air operator shall not rely solely on wet-leased aircraft for the conduct of its operations. Where the operator ceases to operate any aircraft under its own AOC and relies solely on wet-leased aircraft, such circumstance shall be subject to the requirements governing temporary cessation of operations.

CAAT shall ensure that the entity responsible for issuing licenses, certificates, approvals, authorisations, and surveillance is well-coordinated and involved in 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 the airworthiness of aircraft, dangerous goods transportation, aviation security and/or personnel licensing in TFOIM Volume II and Volume III.

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 certification 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), Aviation Safety Management and Standards Assurance Office (SMO), 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 relevant documents and checklists completed, signed, dated, and properly filed. Any findings or discrepancies identified during

inspections and evaluations will be communicated to the applicant. The applicant shall address and rectify all findings and discrepancies to the satisfaction of CAAT before issuing the AOC.

The applicant will receive notification that the Principal Operations Inspector (POI) will serve as the project manager responsible for coordinating all facets of the certification process. The POI will act as the primary contact for communication between the applicant and CAAT. Adjustments to the safety oversight workload of the POI and certification team members will be made to ensure sufficient time is allocated for the certification of the new air operator.

Given the potential variations in complexity and scope among different operations, the Principal Operations Inspector (POI) and the certification team possess discretion in decision-making and recommendations throughout the certification process. The final recommendation from the POI and the decision by the certification team regarding the certification and issuance of an Air Operator Certificate (AOC) depend on the assessment of whether the applicant fulfils CAAT's requirements and possesses the necessary capabilities to conduct the proposed operation safely and efficiently.

Upon receipt of an Air Operator Certificate (AOC), CAAT initiates the AOC certification process following the guidelines outlined in this manual. Inspectors conduct joint inspections and submit their reports and checklists to the Principal Operations Inspector (POI). If unforeseen circumstances lead to separate inspections, a subsequent internal meeting involving all concerned inspectors is conducted to ensure effective coordination. Each phase of the process follows a consistent approach. Inspectors are required to use the checklists during the AOC certification process.

Documentation related to the certification process, including technical evaluations and approvals or acceptance of required procedures, documents, and operations, will be filed in the CAAT computerized system. Throughout each certification phase, POI is responsible for ensuring that all interactions with the applicant are appropriately documented, filed, and tracked.

The procedure for the application and granting of an Air Operator Certificate (AOC) by the Civil Aviation Authority of Thailand (CAAT) will be organised in the sequence as the following procedure:

- (a) Initial Management System Assessment (if applicable)
- (b) Pre-application
- (c) Formal application
- (d) Document evaluation
- (e) Inspection and demonstration; and
- (f) Certification/Authorisation

**Note:** An initial management system assessment is required for the AOC certification process only if the application is submitted in accordance with the details outlined in item 4.1.

## 4.1 Initial Management System Assessment

Clause 5 of CAAT Requirement No. 26 on the 'Air Operator Certificate' stipulates the following:

" Eligibility for the submission of an application for an Air Operator Certificate (AOC) is confined to Thai juristic persons that have been conferred a civil aviation business license for commercial air transportation. In instances where a qualified entity has initiated an application for the civil aviation business license for commercial air transportation and concurrently seeks to apply for an AOC, the Director retains the discretion to permit the AOC application, contingent upon the applicant's demonstration of a Management System."

Prior to the initial AOC certification of the organisation process, it is imperative to comprehend the criteria and the process for evaluating the management system of applicants to demonstrate readiness before advancing to the Air Operator Certificate (AOC) Certification Process, conducted in parallel with the Air Operator License (AOL) approval process.

The CAAT will ensure that all requisite enablers for a functioning management system are in place at the commencement of operations. **During this assessment, before proceeding to the AOC certification process**, the initial evaluation of the management system assessment can be conducted through a desktop review, interviews with key personnel, and facility visits. This provides an opportunity for the CAAT to advise and guide the organisation on its management system implementation and supports standardized implementation.

### 4.1.1 Pre-application

A prospective applicant intending to apply for an Air Operator Certificate (AOC) shall initiate preliminary discussions with the Civil Aviation Authority of Thailand (CAAT). During these discussions, the applicant will receive comprehensive information about the types of operations that may be authorised, the necessary data to be provided, and the procedures involved in processing the application. The applicant should understand the related regulations, required forms and applications, and necessary documents for the formal application (Phase 2). Additionally, the applicant shall be informed of the means to acquire CAAT regulations and related Guidance Material (GM).

The CAAT will provide an estimate of the time required to complete the certification process after receiving a thorough and correctly filled application, along with all the necessary documents. This information is crucial, especially for new operators, as it helps the applicant plan and manage their financial resources efficiently throughout the certification period.

Applicants whose organisations are still in the formative stage and have limited or no operating experience will be informed that assessing the organisation's operating competency may not be feasible until a significant period of operational proving, including proving flight operations, has been completed. Additionally, the applicant will be advised that reaching a final decision on the application may take an extended and protracted period, and considerable financial commitments may be unavoidable.

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.

The pre-application phase should include a parallel assessment of the financial, economic, and legal status of the applicant and the proposed operation.

During the Pre-Application Phase, a concurrent evaluation of the applicant's financial, economic, and legal standing will be conducted alongside the Air Operator License (AOL) approval process. The financial viability of the operations which will be assessed by the Economic Regulation Department (ERD) may be the most critical factor in the decision in which an AOC should be awarded. The determination of the applicant's financial resources is usually based on the condition or other requirements imposed on the applicant's Air Operating License (AOL) and other relative economic Regulations.

#### **4.1.2 Formal Application**

The formal application for an AOC, accompanied by the required documentation, shall be submitted along with the comprehensive application, including the required fees, and supporting documents for the intended operation. The CAAT will then make a formal assessment of the completeness of the applicant's proposal and invite the applicant to a Formal Application meeting where the details relating to the certification process will be formally discussed.

Upon completing the assessment concerning the financial, economic, and legal aspects of the AOC application and after correcting any deficiencies,

#### **4.1.3 Document Evaluation**

The Document Evaluation Phase involves 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 the validity of its manuals. Also, the manuals and compliance Checklist shall be updated to existing regulations.

To facilitate this phase of the certification process, the applicant shall coordinate all aspects of the development of the required documentation with the certification team, in addition to mandatory documents, the certification team shall ensure that the applicant has established in its operations manual Part A to part D, and Standard Operating Procedures (SOP) for each phase of flight. The procedures for the approval are contained in TFOIM Volume III.

## 4.2 Inspection and Demonstration

During this phase, the applicant needs to demonstrate to the CAAT that they can conduct the proposed operations following the procedures detailed in the documents and manuals reviewed during the previous phase, utilizing the personnel, facilities, and equipment identified in the formal application.

Aircraft, maintenance facilities, and arrangements will be inspected. Training facilities, programmes, and personnel will be evaluated. The company's organisational structure, channels of communication, and delegation of responsibility will be subjected to detailed examination to ensure that the company has sufficient resources, effective arrangements, and control to satisfy its obligations.

Facilities for flight operations, ground handling operations, and services for passenger, baggage, and cargo handling, including dangerous goods, and security arrangements would be evaluated. Flight crew, cabin crew, operations and maintenance staff, flight operations officers, designated examiners, and load control personnel will also be assessed. If the CAAT is satisfied with the arrangements, it will conduct proving flights to one or more destinations for its intended operations.

This phase may reveal the need for operational changes, which may require the applicant to make amendments to the documents originally submitted. All elements shall be satisfactorily completed before proceeding to the certification phase. During this phase, administrative action to formally approve the aircraft, facilities, and procedures specified in the Operations Manual, Training, and Checking Organisation will also be undertaken.

### 4.2.1 Certification/Authorisation

The Certification Phase is the conclusion of the certification process. At this stage, the Principal Operations Inspector (POI) and the certification team assess that all certification requirements, encompassing operational, economic, and Air Operator License (AOL) approval, have been satisfactorily fulfilled. The operator is deemed ready to comply with applicable regulations and conduct safe and efficient operations.

The issuance of the AOC and its associated operations specifications under the authority of which the operation will be conducted.

After the issuance of an AOC, CAAT will be responsible for continued surveillance and conducting periodic inspections as contained in TFOIM Volume II to ensure the operator's continued compliance with CAAT Regulations, Requirements, Authorisations, Limitations, and Provisions of its AOC and Operations Specifications. The final recommendation for the issue or denial of an AOC and operations specifications is subject to the agreement of all flight operations inspectors, operations management inspectors, airworthiness inspectors, and concerned inspectors (e.g., dangerous goods, cabin safety, security).

### 4.3 Fees for Aviation Regulatory Services

For the processing and evaluation of applications leading to the issuance of certificates, licences, permits, and other approvals, a fee is necessary, as stated in 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.

The fee structure for aviation regulatory services involves three (3) stages:

- (a) Application Fee
- (b) Audit/Inspection Fee
- (c) Certification/Authorisation Fee

The Principal Operations Inspector (POI) and OPS Manager are responsible for providing tariff information, along with the corresponding fees, to the Financial and Accounting Department (FAD). This process aligns with the Announcement of the Civil Aviation Authority of Thailand regarding the fees for certificates issued under its authority.

## 5 INITIAL MANAGEMENT SYSTEM ASSESSMENT

### Purpose

CAAT will ensure that all necessary components for a functional management system (MS) are established before the commencement of operations. During this Management System Assessment phase, an initial evaluation of the management system will be conducted for any applicant who has submitted their AOL application and is awaiting approval, prior to proceeding with the AOC Initial Certification Process.

### Reference

1. ICAO Annex 6, Operation of Aircraft
2. ICAO Doc 8335, Part III Chapter 1 – General
3. ICAO Doc 9859 Safety Management Manual (SMM)
4. Regulation of The Civil Aviation Authority of Thailand No.26 on Air Operator Certificate
5. Thailand Civil Aviation Regulation - Air Operations (TCAR-OPS)
6. Guidance Material - Initial Management System Assessment (IMSA)
7. Flight Operation Inspector Manual (TFOIM) Volume III

### Responsibilities

1. The Flight Operations Standards Manager (OPS Manager) is responsible for the overall AOC administration programme.
2. The 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 resource allocation.
3. It is the responsibility of every authorized inspector designated under FOI/AWI/OMI/CSI/DGI/SFD(AVSEC), and ERD as applicable to carry out audits or inspections in strict adherence to CAAT regulations, requirements, and other relevant guidance materials. These inspectors shall communicate their findings or observations to the Principal Operations Inspector (POI).

## 5.1 Initial Management System Assessment (IMSA)

Prior to the initial AOC certification of the organisation process, it is imperative to comprehend the criteria and the process for evaluating the management system of applicants to demonstrate readiness before advancing to the Air Operator License (AOL) approval process conducted in parallel with the Air Operator Certificate (AOC) Certification Process.

**It is important to note** that this IMSA process could take place at the same time after AOL Application had been submitted to ERD which is considered as the stage prior to commencement of pre-application phase (Phase 1) and, potentially, the formal application phase (Phase 2), depending upon the ERD's progress in assessing the financial, economic, and legal status of the applicant and their proposed operation.

However, the financial assessment process shall be satisfied by ERD and AOL shall be granted to the AOC Applicant before the completion of formal application phase (Phase 2) with the next phase which is Document Evaluation (Phase 3).

### **Note:**

This process is applicable exclusively to applicants intending to initiate the AOC certification process before obtaining approval for the Air Operator's License (AOL).

## 5.2 Assessment Process and Procedure

During this assessment process, CAAT will review the applicant's management system (MS) to verify that it meets the required standards and regulations. This assessment includes evaluating the effectiveness and completeness of the safety management system (SMS), compliance monitoring system (CMS), and other essential components of the management system.

The purpose of this evaluation is to ensure that the applicant has established a robust management system that can effectively manage safety and compliance within the organisation.

Once CAAT confirms that all necessary components are in place and are functioning effectively, the applicant can proceed with the AOC certification process. This initial evaluation of the management system is crucial for ensuring the safety and compliance of the operator's operations.

The process of evaluating the readiness of the organisation's Management System (MS) should include:

- (a) Desktop Assessment
- (b) Interview with key personnel
- (c) Facility Visit

### 5.2.1 CAAT Meeting

The assessment process schedule shall be predetermined by the certification team, under the POI's responsibility. Therefore, it is essential to arrange a meeting to establish the schedule before commencing this process.

During this meeting, the certification team, led by the POI, will discuss and plan the timeline for conducting the assessment activities. This includes setting deadlines for document reviews, interviews, facility visits, and other assessment tasks. The team will consider factors such as the complexity of the operation, the availability of key personnel, and any regulatory requirements or deadlines.

By establishing a predetermined schedule, the certification team can ensure that the assessment process progresses efficiently and effectively. It also allows the applicant to prepare accordingly and provides clarity on the timeline for completing the assessment and achieving certification.

### 5.2.2 Desktop Assessment

This desktop assessment is intended to evaluate the relevant Management System Documentation, such as OM-A, SMS, CMM, ERP, etc. The assessment will utilize the MS assessment tool, which will be used to document details, evidence, and any identified deficiencies during the assessment process.

The POI is responsible for assigning the relevant inspectors for the desktop assessment. This may include inspectors but is not limited to:

- (a) FOI (Flight Operations Inspector),
- (b) OMI (Operations Management Inspector),
- (c) CSI (Cabin Safety Inspector),
- (d) DGI (Dangerous Goods Inspector), and
- (e) AWI (Airworthiness Inspector) etc.

Therefore, a pre-assessment meeting should be arranged among these inspectors to coordinate the assessment activities and ensure consistency in the evaluation process.

**Note:**

The CAAT oversight computerized system (EMPIC) may be utilized as a tool for the assessment and recording of relevant evidence found during the desktop assessment. This ensures that all assessment data are accurately recorded and easily accessible for review and analysis.

### 5.2.3 Interviews with Key Personnel

The following key personnel are integral to driving the Management System of the organisation, as mandated by ORO.GEN.200:

(a) **Accountable Manager (AM):**

An accountable manager (AM) is a person who holds responsibility with the ability to ensure that all activities are appropriately funded and carried out in a manner that is in accordance with the requirements that are applicable.

(b) **Safety Manager (SM):**

The Safety Manager, responsible for monitoring the organisation's safety management, plays a key role in identifying and mitigating safety hazards.

(c) **Compliance Monitoring Manager (CMM):**

The Compliance Monitoring Manager is responsible for overseeing the organisation's adherence to regulatory standards and ensuring that all operational activities adhere to the rules and regulations.

These key personnel shall demonstrate competency in their respective roles. CAAT will conduct interviews with them to assess their competence as outlined in ORO.GEN.200 and ORO.AOC.135.

### 5.2.4 Facility Visit

Before considering a visit to the applicant's facility, the Economic Regulation Department (ERD) will coordinate with OPS, and the POI will coordinate with the certification team to plan the visit.

The objective of these facility visits is to identify safety issues and establish safety objectives that cannot be thoroughly addressed prior to the commencement of the AOC certification process. Assessors from the CAAT can provide advice on implementing the Management System (MS) in accordance with the requirements outlined in ORO.GEN.215 and ORO.AOC.140.

### 5.2.5 Assessment of the Management System and Report Conclusion

The organisation's management system shall undergo a prescribed management system assessment process and procedures to determine its acceptability.

The POI, responsible for leading the Certification Team, should conduct a meeting after this assessment is completed. During this meeting, the POI and certification team should compile a summary report detailing the assessment results, including deficiencies from the Management System Assessment Tool and supporting evidence.

**Note:**

- a) Any deficiencies discovered during the assessment should be documented in the report. This documentation serves as evidence of the applicant's preparedness to address identified issues.
- b) The summary report should be stored in the CAAT system as part of the AOC Certification documentation.

### 5.2.6 Acceptance Letter to the Applicant

Upon POI responsibility, the Certification Team should communicate to the applicant the outcome of the assessment, which indicates the readiness of the organisation's management system, along with a detailed report.

If the outcome complies with the specified requirements and is considered satisfactory, the applicant will be notified through an official acceptance letter that the AOC certification process can commence.

**Note:**

- (a) The acceptance letter of IMSA process to be proceeded with further AOC Certification Phase can be issued once coordination with the Economic Regulation Department (ERD) is completed.
- (b) The ERD shall be satisfied with the assessment of the financial, economic, and legal status of the applicant and the proposed operation before the issuance of formal acceptance letter.
- (c) An acceptance letter should be stored in the CAAT system as part of the AOC Certification documentation.
- (d) Applicants who have already obtained the AOL during the assessment process are required to initiate the AOC certification without delay.

### 5.2.7 Refusal of the Application

The CAAT maintains the authorisation to decline an application if the applicant cannot demonstrate a management system that meets standardized requirements and reflects the organisation's progress appropriately.

During the correction of assessments or submission of additional documentation, the applicant can propose corrections 2 times. Each correction period should not exceed 5 working days after receiving the CAAT notification.

Failure to fulfill assessment requirements within the specified timeframe will result in application rejection. The subsequent application request can be submitted at least 20 working days after the last unsuccessful assessment.

### 5.3 Forms and Checklists Summary (Management System Assessment)

The following list shall be carried out as assessment tools to confirm the acceptability of the documents provided by the applicant and to ensure the completion of the Management System Assessment.

No.	Form/Checklist Code	Form/Checklist Name	Assessment by
<b>Initial Management System Assessment</b>			
1	<b>CAAT-OPS-TCFM-108</b>	Management System Assessment for Compliance Monitoring System (CMS)	OMI
2	<b>CAAT-OPS-TCFM-109</b>	Management System Assessment for Safety Monitoring System (SMS)	OMI
3	<b>CAAT-OPS-TCFM-110</b>	Management Personnel Assessment	POI, FOI, OMI, CSI, DGI, AWI and as applicable

LEGEND			
	Form		Checklist
			Compliance List

## 5.4 Procedures Summary

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

Responsible Person	Action(s)	Record
Applicant	<b>Application for IMSA</b> The applicant has already applied for an Air Operator License (AOL) and would like to apply for an Air Operator Certificate (AOC) simultaneously.	Note of Action
POI	<b>CAAT Meeting with Applicant</b> After receiving the application, it is the POI responsibility to schedule a meeting with the certification team. This meeting is to discuss the process for assessing the management system and reviewing the applicant profile, along with the intended operations.	Note of Action
POI	The POI should invite the applicant to attend the meeting. This facilitates a mutual understanding between the CAAT and the applicant regarding the management system assessment process.	Note of Action
Related Inspector	<b>Management System Assessment</b> The inspector responsible for the assessment utilizes the following list as a tool for assessing the applicant's management system: a) <b>CAAT-OPS-TCFM-108:</b> Management System Assessment for Compliance Monitoring System (CMS) b) <b>CAAT-OPS-TCFM-109:</b> Management System Assessment for Safety Management System (SMS)	CAAT System
POI and Certification Team	<b>Interviews with Key Personnel</b> Once the assessment of the Compliance Monitoring System (CMS) and Safety Management System (SMS) has been satisfactorily completed, scheduled interviews with the applicant's key personnel shall be conducted. The results of these interviews will be recorded in: a) <b>CAAT-OPS-TCFM-110:</b> Management Personnel Assessment	CAAT System
POI and Certification Team	<b>Facility Visit</b> Before considering a visit to the applicant's facility, the Economic Regulation Department (ERD) will coordinate with OPS, and the POI will coordinate with the certification team to plan the visit in accordance with the requirements outlined in ORO.GEN.215 and ORO.AOC.140. This visit serves to ensure compliance with regulatory standards and gather any additional relevant information.	CAAT System

Responsible Person	Action(s)	Record
POI and Certification Team	<p><b>Summary Report</b></p> <p>Following the assessment process, a meeting of the Certification Team under the POI's direction is required. This meeting's purpose is to compile a summary report detailing the overall evaluation results. In this report, the deficiencies from the management system assessment and the evidence gathered during the assessment process should be documented.</p>	CAAT System
POI	<p><b>Official Acceptance Letter for IMSA Application</b></p> <p>After the Certification Team, under the responsibility of the POI, has completed the initial management system assessment process and detailed summary report, the outcome of the assessment, indicating the readiness of the organisation's management system, should be communicated to the applicant.</p> <p>If the result aligns with the requirements specified and is deemed satisfactory, an '<b>Official Acceptance Letter</b>' will be issued to inform the applicant to commence the AOC certification process.</p>	Note of Action

## 5.5 Records

All records, as outlined in paragraph 5.4 Procedure Summary, should be maintained within the AOC certification package. The OPS Manager is responsible for overseeing the maintenance of AOC certification records.

## 6 PRE-APPLICATION PHASE

### Purpose

The pre-application phase begins with the applicant submitting an initial inquiry through letter. Before applying for an AOC, the applicant should initially make an inquiry with the CAAT. This enables the CAAT to give initial guidance to the applicant on the AOC application process and any required forms and documents. Preparing and understanding these forms prior to their official submission can help expedite the AOC application process.

### Reference

1. ICAO Annex 6 Operation of Aircraft
2. ICAO Doc 8335, Part III Chapter 2 Pre-Application Phase
3. Requirement of The Civil Aviation Authority of Thailand No.92 on Air Operator Certificate Re-certification, for Air Operations Holding an AOC according to Clause 19 of the Regulation of Civil Aviation Authority No. 26 on Air Operator Certificate.
4. Regulation of The Civil Aviation Authority of Thailand No.26 on Air Operator Certificate
5. Regulation of The Civil Aviation Authority of Thailand No.27 on Operations of the Air Operator
6. Thailand Civil Aviation Regulation - Air Operations (TCAR-OPS)
7. Flight Operation Inspector Manual (TFOIM) Volume I and Volume III

### Responsibilities

1. The Flight Operations Standards Manager (OPS Manager) is responsible for the overall AOC administration programme.
2. The 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 resource allocation.
3. It is the responsibility of every authorized inspector designated under FOI/AWI/OMI/CSI/DGI/SMO(AG) and SFD(AVSEC), and Personnel Licensing (PEL) as applicable to carry out audits or inspections in strict adherence to CAAT regulations, requirements, and other relevant guidance materials. These inspectors shall communicate their findings or observations to the Principal Operations Inspector (POI).

### 6.1 General

To comply with TCAR-OPS Part ORO.GEN.115 - Application for an AOC, during the pre-application phase, the applicant should meet with CAAT to discuss its initial plans and the viability of different proposals. It is essential that the applicant has, in this pre-application phase, a clear understanding of the form, content and documents required for the formal application.

The purpose of the pre-application phase is to confirm the information provided in the pre-application statement to determine whether the applicant has sufficient knowledge of the appropriate regulations and requirements and to confirm, for the applicant, the expectations of the CAAT.

The pre-application phase should be attended by the CAAT inspectors from Flight Operations Standards (OPS), Airworthiness and Aircraft Engineering (AIR), Aviation Security and Facilitation Standards (AVSEC), Aviation Safety Standards (SMO), Economic Regulation (ERD), and Personnel Licensing (PEL). This meeting will be held at the CAAT office or other location if agreed upon. At least the nominated person, either the Accountable Manager, Flight Operations nominee, Safety Manager, or Compliance Monitoring Manager/Focal, be “in principle” accepted prior to the commencement of this phase.

During this phase, it is also important that the applicant understands the approximate period that will be required to conduct the certification process, after the receipt of a complete and formal application. This element is of particular importance so that the applicant may avoid undue financial expenditure during the certification period, when the applicant has little or no operating experience leading the CAAT to conduct a sufficient period of operational proving, including proving flight operations, to judge the organisation’s operating competency.

## 6.2 Initial Inquiry for the Pre-Application

The pre-application phase will take place prior to the formal AOC and OPS SPEC application. The applicant should contact the CAAT through e-mail [caataoc@caat.or.th](mailto:caataoc@caat.or.th) and [ops\\_ct@caat.or.th](mailto:ops_ct@caat.or.th)

The applicant needs ensured access to sufficient financial resources to obtain all the required equipment, facilities and manpower and to fully support operations in the early stages when revenues are difficult to predict and may, in any case, be very low. Marginal or severely limited resources frequently result in an adverse effect on safety and efficiency; experience indicates that operators tend to take shortcuts on such vital matters as required maintenance, acquisition of adequate spare parts, training of personnel and other similar matters with safety implications.

During this phase, the CAAT will provide the applicant with the following information:

- (a) Application procedures including applicable forms;
- (b) Documents required;
- (c) General operating and airworthiness advice;
- (d) Approval requirements from other authorities;
- (e) Regulatory feasibility;
- (f) CAAT fees and payment conditions; and
- (g) CAAT-related systems for the AOC Certification Process such as EMPIC, and Flight Operations Standards Database (FOSD), etc.

### 6.3 CAAT Response to the Applicant's Initial Inquiry

After CAAT receives the initial request for the AOC process, the following steps will be considered and acted upon:

- a) The Flight Operations Standards Manager (OPS Manager) will appoint a Principal Operations Inspector (POI) and an AOC certification team comprising qualified and experienced inspectors in various areas such as flight operations inspector, cabin safety inspector, operation management inspector, and dangerous goods inspector. In addition, inspectors from other departments, including the Airworthiness and Aircraft Engineering Department (AIR), Aviation Security and Facilitation Standards Department (SFD), Aviation Safety Management and Standards Assurance Office (SMO), Economic Regulation Department (ERD), and Personnel Licensing (PEL) will participate in the certification team. The qualifications required for an operations inspector are detailed in TFOIM Volume I.
- b) To facilitate comprehension during the certification process, the POI and certification team should extend an invitation to the applicant for a **pre-application meeting**. During this meeting, the applicant should be advised to thoroughly review the CAAT regulations, requirements, and advisory materials. Additionally, guidance should be provided regarding personnel, facilities, equipment, technical data requirements, and an explanation of the certification process. The standard Pre-application Statement of Intent and documentation for AOC applicants should also be provided to ensure clarity and consistency throughout the certification process.

### 6.4 Pre-Application Meeting

The pre-application meeting aims to provide the standard Pre-application Statement of Intent and documentation and deliver essential certification details to the applicant. Key management and staff, including the Accountable Manager, nominated persons from Flight Operations, Safety Manager, or Compliance Monitoring Manager, should participate in these meetings.

The applicant should be prepared to discuss the general plans and specific aspects of the proposed operation. Engaging in comprehensive discussions about all facets of the proposed operation and the specific certification requirements can prevent potential issues and ensure a smoother certification process.

**The pre-application statement of intent and documentation** should be addressed to the Director General of the CAAT. It should be in the form of a letter from the applicant and should contain the following as applicable:

- (a) Letter of intent;
- (b) Type of operation;
- (c) Type(s) of aircraft;
- (d) Area(s) of operation;
- (e) Route structure and traffic potential;
- (f) Nature of aircraft and/or simulator training programme;
- (g) Location of main base and other facilities (administrative, maintenance and operational);
- (h) Aircraft owned or leased;

- (i) Type and duration of the lease agreement (as applicable);
- (j) Management organisation structure and qualifications of the accountable manager (AM) nominated persons for flight operations, crew members training, ground operations, aviation security, compliance monitoring (quality assurance), safety management system (SMS) and the continuing airworthiness, if available.  
 Names of the nominated persons should be submitted via the application prior to the formal application meeting (Phase 2);
- (k) Description and structure of organisation (can be part of letter of intent)
- (l) Proposed company trading name and corporate body sponsor;
- (m) Approximate date of commencement; and
- (n) A statement certifying that the owner, Accountable Manager and all the nominated persons do not have records of arrests, convictions or incarcerations and are free from liens, civil suits, civil judgment and bankruptcy

### 6.5 Preliminary Assessment

After the pre-application meeting, the certification team should evaluate the applicant's readiness. Evaluation of the pre-application assessment will indicate either that it is acceptable on a preliminary basis or that it is unacceptable.

If in the latter case, the deficiencies are such that they can be rectified, the applicant may be given a reasonable opportunity to resubmit its pre-application; otherwise, the applicant will be advised to withdraw the intent to apply for an initial AOC Application.

If the certification team considers the applicant ready for the formal application phase, the Principal Operations Inspector (POI) should direct them to request a CAAT EMPIC account. This account will facilitate the certification process through the CAAT oversight system, enabling the certification process to proceed accordingly.

### 6.6 Forms and Checklists Summary (Pre-Application Phase)

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

No.	Form/Checklist code	Form/Checklist Name	Inspection by
<b>Phase 1 - Pre-Application Phase</b>			
1	<b>CAAT-OPS-TCFM-101</b>	Application for Air Operator Certificate	POI
2	<b>CAAT-OPS-TCFM-102</b>	Application for Operations Specification	POI
3	<b>OPS-TCFM-111</b>	Pre Application Phase	POI
4	<b>Other Documents</b>	Related pre-application statement of intent and documentation, as described in paragraph 6.4.	POI and Certification Team

LEGEND		
Form	Checklist	Compliance List

## 6.7 Procedures 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 continuously maintain a record of progress.

Responsible person	Action(s)	Record
Applicant	<b>Initial Inquiry</b> <ul style="list-style-type: none"> <li>Notifies CAAT of the intention to apply for an AOC initial certificate by submitting an intention letter and relevant documents.</li> </ul>	Applicant Internal
OPS Manager	<b>POI and Certification Team Assignment</b> <ul style="list-style-type: none"> <li>Assign a POI and the certification process team.</li> </ul>	Note of Action
POI	<b>Certification Team Coordination</b> <ul style="list-style-type: none"> <li>Coordinate with inspector team (includes team members from relevant departments such as AIR, ERD, SFD, SMO and PEL (as applicable)).</li> </ul>	Note of Action
POI	<b>Invitation Letter to Pre-Application Meeting</b> <ul style="list-style-type: none"> <li>Issues an invitation letter to invite the applicant to the Pre-Application meeting.</li> </ul>	CAAT System
POI and Certification Team	<b>Pre-Application Meeting</b> <ul style="list-style-type: none"> <li>Conduct the pre-application meeting and complete activities which are detailed in paragraph 6.4 of this chapter.</li> </ul>	Note of Action
POI and Certification Team	<b>Preliminary Assessment</b> <ul style="list-style-type: none"> <li>POI and Certification Team conduct the Preliminary assessment to the statement of intent and documentation.</li> </ul>	CAAT System
POI	<b>EMPIC Account</b> <ul style="list-style-type: none"> <li>Coordinate with the CT Division to create the applicant's CAAT EMPIC account.</li> </ul>	CAAT System
POI	<b>Complete Form OPS-TCFM-111</b> <ul style="list-style-type: none"> <li>Complete the Form: Pre-Application Phase (OPS-TCFM-111 Pre Application Phase)</li> </ul>	Note of Action
POI	<ul style="list-style-type: none"> <li>Store all documents in the CAAT System</li> </ul>	CAAT System

## 6.8 Records

All records, as outlined in paragraph 6.7 Procedure Summary, should be maintained within the AOC certification package. The OPS Manager is responsible for overseeing the maintenance of AOC certification records.

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## 7 FORMAL APPLICATION PHASE

### Purpose

The Formal Application Phase ensures that the prospective air operator is prepared properly and capable of meeting all regulatory and safety requirements. This phase aims to verify the completeness and accuracy of the operator's documentation, assess compliance and readiness, and establish the structure for the subsequent detailed evaluations and inspections. This chapter will describe the Formal Application Phase procedure.

### Reference

1. ICAO Annex 6 Operation of Aircraft
2. ICAO Doc 8335 Part III Chapter 3 - Formal Application Phase
3. ICAO Doc 9859 Safety Management Manual (SMM)
4. ICAO Annex 18 to the Convention on International Civil Aviation, The Safe Transport of Dangerous Goods (AN18)
5. ICAO Doc 9481, Emergency Response Guidance for Aircraft Incidents Involving Dangerous Goods
6. ICAO Doc 9284, Technical Instructions for the Safe Transport of Dangerous Goods by Air (ICAO TI) and supplement
7. Requirement of The Civil Aviation Authority of Thailand No. 68 Application for and issuance of permission for operating Dangerous Goods and Prohibited or Special Handling Items
8. Requirement of The Civil Aviation Authority of Thailand No. 73 on the Operations regarding the Transport of Dangerous Goods and Prohibited or Special Handling Items
9. Regulation of The Civil Aviation Authority of Thailand No.26 on Air Operator Certificate
10. Regulation of The Civil Aviation Authority of Thailand No.27 on Operations of the Air Operator
11. Thailand Civil Aviation Regulation - Air Operations (TCAR-OPS)
12. Flight Operation Inspector Manual (TFOIM) Volume I and Volume III
13. 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.

### Responsibilities

1. The Flight Operations Standards Manager (OPS Manager) is responsible for the overall AOC administration programme.
2. The 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 resource allocation.
3. It is the responsibility of every authorized inspector designated under FOI/AWI/OMI/CSI/DGI/SMO(AG) and SFD (AVSEC) as applicable to carry out audits or inspections in strict adherence to CAAT regulations, requirements, and other relevant guidance materials. These inspectors shall communicate their findings or observations to the Principal Operations Inspector (POI).

## 7.1 General

The formal application phase commences when the applicant submits a formal application in accordance with ORO.AOC.100, ORO.DEC.100, and ORO.SPO.100 for AOC and OPS SPEC. The application for the initial issue of an AOC and OPS SPEC shall be submitted no later than 180 days before the intended start date of flight operation.

### 7.1.1 Application Fees

Before commencing the formal application phase, the applicant shall submit the application fee. Additional details regarding fees can be found in 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.

### 7.1.2 Formal Application's Documentation

The submission of a formal application means that the applicant is aware of the regulations and rules applicable to the proposed operation and it is prepared to show the method of compliance and prepared for an in-depth evaluation, demonstration and inspection related to the required manuals, training programs, operational and maintenance facilities, aircraft, support equipment, record keeping, dangerous goods programme, security programme, flight crew, cabin crew, ground personal, and key management personnel, including the functioning of the administrative and operational organisation.

**The formal application phase will start with the submission of the following documents:**

- (a) Application for Air Operator Certificate (CAAT-OPS-TCFM-101);
- (b) Application for Operations Specification (CAAT-OPS-TCFM-102);
- (c) Application for Dangerous Goods Operating License (Thai Air Operator) (CAAT-OPS-TDGFM-402), if applicable;
- (d) The operations and airworthiness manuals will be submitted through the EMPIC system, along with compliance lists from CAAT-OPS-TCCL-101 to CAAT-OPS-TCCL-107;
- (e) Nomination for Air Operator Personnel Form and associated qualification documents (CAAT-OPS-TCFM-106) will be submitted via EMPIC following the TCAR-OPS Requirements defined in ORO.GEN.130 and ORO.GEN.135;
- (f) The application for Organisation and Contents of an Operations Manual (CAAT-OPS-TCFM-103) submitted;
- (g) Information of arrangements for training, qualification, facilities submitted;
- (h) Instructor and examiner information will be submitted;
- (i) Aircraft, facility, and services information will be submitted;
- (j) Schedule of Events (SOE) (CAAT-OPS-TCFM-107) will be submitted;
- (k) Information of CAMO, AMO, ATO and Simulator approval as per AIR and PEL Regulations, if applicable; and
- (l) Application for three letter ICAO Designation and Radio Telephony Call Sign for operator who intends to conduct international commercial operations as applicable.
- (m) Copy of contracts and lease agreements, such as aircraft lease, including all services agreements, as applicable.

### 7.1.3 Schedule of Events (SOE)

The Schedule of Events is a list of items, activities, aircraft, and/or facility acquisitions which the applicant, as applicable, should accomplish or make ready, and the dates on which they will be ready for CAAT inspection. The list should include, but is not limited to, the following and the dates on which they will take place:

- (a) Flight crew and cabin crew members' training;
- (b) Maintenance personnel training;
- (c) Ground handling staff, dispatcher training;
- (d) Dangerous Goods Training;
- (e) Aviation Security Training;
- (f) When all facilities will be ready for CAAT inspection;
- (g) When ATO, flight simulator, continuing airworthiness management including maintenance facilities and aircraft with related certificates will be ready for inspection;
- (h) Emergency evacuation and ditching demonstrations;
- (i) When proving flight(s) will begin;
- (j) When proposed operations will begin; and
- (k) The dates of proposed assessments of training staff and other persons subject to CAAT approval. The dates should be logical in sequence and provide time for CAAT review, inspection, and approval of each item.

The plan is to be kept under constant review by the applicant to maintain control of the certification/authorisation process.

### 7.1.4 Operations Manual

Operators subject to the scope of Part-ORO shall fulfil the requirements of ORO.MLR.100. Following are the manuals and procedures required for submission prior to the formal application phase start:

- (a) Part A: General/Basic;
- (b) Part B: Aircraft Operating Matters;
- (c) Part C: CAT Operations, comprising route/role/area and aerodrome/operating site instructions and information;
- (d) Part D: Training;
- (e) Maintenance Organisation Exposition and Continuing Airworthiness Maintenance manual, if applicable.
- (f) Dangerous Goods and Weapons (relevant parts to be incorporated in Operations Manual Part A);
- (g) Flight crew and cabin crew Standard and Emergency Operating Procedures Manual;
- (h) MEL;
- (i) Operators Security Programme (may be incorporated in Operations Manual dependent upon aircraft inventory);
- (j) General Maintenance Manual;
- (k) Maintenance Programme; and
- (l) Other related to the applicable requirements.

The above manuals are to be submitted through the EMPIC system. Information should be presented in a clear and unambiguous English text and/or graphics in a format that allows highlights and comments to be made.

Content of the manuals is subject to the CAAT assessment and the elements/subjects that require specific approvals by the CAAT are found in TCAR-OPS, and related CAAT requirements.

ORO.MLR.100 and the accompanying Acceptable Means of Compliance (AMCs) and Guidance Materials (GMs) and ORO.MLR.101 prescribe the main structure of the Operations Manual and contain a comprehensive detailed and structured list of all items to be covered.

To facilitate comparability and usability of the Operations Manuals by personnel, applicants should not deviate from the numbering system used. If there are sections which, because of the nature of the operations, do not apply, the applicant still maintains the numbering system and inserts “Not applicable.”

The contents of the operations manual may not be varied without the CAAT’s consent. At the operator's discretion, additional material may be included for information and guidance and such additional material will not require approval.

A copy of the relevant part of the Operations Manual such as the internal Standard Operating Procedure (SOP) that is related to the content and reflects the requirement shall be available to each operating crew member employed by the operator and a full electronic copy to be provided to and retained by the CAAT.

The electronic copy of the Operations Manual may be made available to crew members and operational staff, provided the operator ensures all personnel have appropriate access devices (personal computers, laptops, or other CAAT-approved electronic means). Operators remain responsible for ensuring that all required personnel maintain reliable access to these electronic documents at all times.

#### **7.1.5 Compliance List**

The Compliance List refers to operations manual material referenced to the TCAR-OPS applicable to the type of operation the applicant is proposing, and other applicable references.

The applicant should provide a brief, narrative description, or a reference to a specific section of the applicant's manual or other document which describes how each applicable regulation will be complied with. This compliance list should be signed by the appropriate accountable manager using the forms CAAT-OPS-TCCL-101 to CAAT-OPS-TCCL-107.

The method of compliance may not be finalized at the time of the formal application, in which case a date should be given by which the final information will be provided. The compliance list ensures that the applicant has addressed all regulatory requirements. It aids the CAAT to assess where the regulatory requirements have been addressed in the applicant’s manuals, programs, and procedures.

### 7.1.6 Management/Nominated Personnel Qualification

(a) General

The Management system and the personnel of operators covered under the scope of Part-ORO shall be subjected to the requirements as stated in:

- 1) ORO.GEN.200
- 2) ORO.GEN.210
- 3) ORO.AOC.135
- 4) ORO.SPO.100

The application for nominated personnel including Accountable Manager (AM) is via the EMPIC. The application form CAAT-OPS-TCFM-106 is to be completed and should include a brief resume containing information on the individual qualifications, certificates, ratings, and experience.

If the applicants are advised that a lack of technical management appointments during the application process will delay the process. The CAAT should assess the applicants' qualifications and experience and managerial ability. A knowledge test in the form of an interview test may be conducted before the Accountable Manager (AM) and nominated personnel are accepted. If the AM or any of the nominated personnel does not meet expectations, his/her acceptance will be rejected.

(b) Expected Qualifications and Level of Experience

The qualifications and level of experience of nominated personnel and key operational staff will vary according to the scope and size of the proposed operations. Key operational staff shall understand Human Factors and Human Performance limitations besides any other requirements set by the relevant rule.

(c) Aircraft, Facilities, and Services

1) General

These documents should provide evidence that the applicant will have available aircraft, facilities, and support services to conduct the type of operation proposed and the airport's suitability. The evidence may be proof of purchase, formal contracts, or lease agreements. If formal purchase, lease, or contract agreements have not been completed, letters showing agreement between the contracting parties will suffice until formal contracts or agreements are available. Aircraft ownership details must be authenticated (power of attorney). Documents showing details of the insurance of the aircraft, its occupants and third parties are also required.

2) 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.

3) Documents of Purchase, Leases, Contracts or Letters of Intent

These documents 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.

4) 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) 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.

6) Aircraft Equipment

The aircraft equipment shall meet the applicable airworthiness requirements.

## 7.2 Cursory Review of the Formal Application's Documentation

The CAAT certification team will conduct a cursory review of the Formal Application's Documents to ensure that all required information has been presented, that the quality of these documents is appropriate, and that they are completed.

### **7.3 Acceptability of the Formal Application**

If the Formal Application Documents are incomplete or deemed unacceptable, the POI will notify the applicant, detailing the deficiencies and providing guidance on resubmitting the formal documentation.

The POI should conduct an internal meeting to verify the completeness of all aspects of the certification team's concerns and ensure coordination with relevant inspectors such as AIR, SFD, PEL, SMO, and ERD.

Upon concluding that all information in the formal application document is considered acceptable, the POI will schedule a formal application meeting with the certification team and the applicant. The POI will then prepare the Formal Acceptance Letter and send an invitation to the applicant for the Formal Application Phase meeting.

### **7.4 Formal Application Meeting**

A formal application meeting will be conducted between the applicant, and the POI and the certification team, which will include team members from relevant departments such as AIR, SFD, PEL, ERD, SMO, and any other specialists assigned to the certification project as appropriate.

The meeting allows the applicant's key management personnel to resolve any questions raised by either CAAT or the applicant and establish a mutual understanding of the AOC application processes.

In particular, the Formal Application meeting should confirm that the management background information satisfies regulatory requirements; it should address any errors or omissions in the formal application documents; resolve any scheduling date conflicts and agree on a process for revising event dates; reinforce the communication and working relationships between the certification team and applicant personnel; and, finally, determine the acceptability of the formal application.

It should be noted that CAAT's acceptance of the formal application phase does not imply acceptance or approval of any of the attachments, which will be subject to a subsequent in-depth review. The formal application meeting's conclusions/decisions should be recorded in consistent and detailed minutes.

After the formal application meeting, and subject to successful acceptance of the application package, POI will send the applicant a letter confirming receipt and acceptance of the formal application (formal acceptance letter).

## 7.5 Forms and Checklists Summary (Formal Application Phase)

The following list will be used as guidance to confirm the acceptability of the applicant's application document and to ensure that the Formal Application Phase is completed.

No.	Form/Checklist code	Form/Checklist Name	Inspection by
<b>Phase 2 - Formal Application Phase</b>			
1	<b>CAAT-OPS-TCFM-101</b>	Application for Air Operator Certificate (for the initial certification process.) <b>Note:</b> If there is any change from pre-application phase.	POI
2	<b>CAAT-OPS-TCFM-102</b>	Application for Operations Specification	POI
3	<b>CAAT-OPS-TCFM-103</b>	Organisation and Contents of an Operations Manual	POI and Certification Team
4	<b>CAAT-OPS-TDGM-402</b>	Application for Dangerous Goods Operating License (Thai Air Operator) (If applicable)	POI and DGI
5	<b>CAAT-OPS-TCCL-101</b>	Compliance List for Aeroplane and Helicopter TCAR OPS Part ORO	POI and Certification Team
6	<b>CAAT-OPS-TCCL-102</b>	Compliance List for Aeroplane and Helicopter TCAR OPS Part CAT	POI and Certification Team
7	<b>CAAT-OPS-TCCL-103</b>	Compliance List for Airplane and Helicopter TCAR OPS Part SPA	POI and relevant certification Team
8	<b>CAAT-OPS-TCCL-104</b>	Compliance List for Aeroplanes AOC TCAR OPS Part IDE.A	POI and relevant certification Team
9	<b>CAAT-OPS-TCCL-105</b>	Compliance List for Helicopter AOC TCAR OPS Part CAT.IDE.H <b>Note:</b> Applicable only for Helicopter Operations	POI and relevant certification Team
10	<b>CAAT-OPS-TCCL-106</b>	Compliance List for Aeroplane AOC Part CC	POI and relevant certification Team
11	<b>CAAT-OPS-TCCL-107</b>	Compliance List for Aeroplane AOC Part SEA	POI and relevant certification Team
12	<b>CAAT-OPS-TCFM-106</b>	Nomination for Air Operator Personnel Form	POI and relevant certification Team
13	<b>CAAT-OPS-TCFM-107</b>	Schedule of Event Form (SOE)	POI and relevant certification Team
14	<b>OPS-TCFM-121</b>	AOC Formal Application Phase	POI

LEGEND		
Form	Checklist	Compliance List

## 7.6 Procedures Summary

The following procedure outlines the steps for the inspector in charge of processing an AOC application during the Formal Application Phase. In addition to the records specified in the procedure, POI should maintain a continuous record of progress.

Responsible person	Action(s)	Record
POI	<b>Payment Process</b> <ul style="list-style-type: none"> <li>Prepare tariff information and process for the application fee to the applicant.</li> </ul>	CAAT System
OPS Manager	<ul style="list-style-type: none"> <li>Review tariff information and release to FAD</li> </ul>	CAAT System
Applicant	<ul style="list-style-type: none"> <li>Proceed with Payment Process</li> </ul>	CAAT System
Applicant	<b>Documents Submission: AOC Formal Application</b> <ul style="list-style-type: none"> <li>Submit the AOC Formal Application Documents.  <b>Note:</b> Submits Formal Application's Document with Operations Manual and all supporting documentation.</li> </ul>	CAAT System
POI and Certification Team	<b>Cursory Review</b> <ul style="list-style-type: none"> <li>CAAT receives AOC Formal Application's Document.</li> <li>Perform cursory review of the submitted Formal Application Documents.</li> </ul>	Note of Action
POI and Certification Team	<b>Internal Meeting</b> <ul style="list-style-type: none"> <li>POI and Certification Team conduct an internal meeting to conclude.</li> <li>Ensure completeness and correctness of the submitted Formal Application's Document.</li> <li>Issue the Formal Acceptance letter.</li> </ul> <b>Invitation Letter to Formal Application Meeting</b> <ul style="list-style-type: none"> <li>Send an invitation to invite the applicant to the Formal Application meeting</li> </ul> <b>Formal Application Meeting</b> <ul style="list-style-type: none"> <li>Conduct Formal Application meeting with applicant.</li> </ul>	Note of Action
POI	<b>Ensure Completion of Phase</b> <ul style="list-style-type: none"> <li>Ensure that Phase 2 is completed and report to the OPS Manager on the readiness for the next phase</li> </ul>	CAAT System
OPS Manager	<b>Phase Closure</b> <ul style="list-style-type: none"> <li>Consider whether to approve or reject the closure of phase 2 and notify the POI accordingly.</li> </ul>	CAAT System
POI	<b>Complete Form OPS-TCFM-121</b>	Note of Action

Responsible person	Action(s)	Record
	<ul style="list-style-type: none"> <li>▪ Complete the Form: OPS-TCFM-121 AOC Formal Application Phase</li> </ul>	
POI and Certification Team	<ul style="list-style-type: none"> <li>▪ Store all documents in the CAAT system</li> </ul>	CAAT system

## 7.7 Records

All records, as outlined in paragraph 7.6 Procedure Summary, should be maintained within the AOC certification package for the duration of the relevant AOC's validity. The OPS Manager is responsible for overseeing the maintenance of AOC certification records.

## 8 DOCUMENT EVALUATION

### Purpose

The purpose of the Document Evaluation is to ensure that the prospective air operator's documentation is comprehensive, accurate, and compliant with all regulatory and safety standards. This phase aims to verify the applicant's preparedness for safe operations, assess their organisational capability, and lay the groundwork for the practical demonstrations and inspections that follow. This chapter describes the procedures for Phase 3: Document Evaluation Phase.

### Reference

1. ICAO Annex 6 Operation of Aircraft
2. ICAO Doc 8335, Part III Chapter 4 - Document Evaluation Phase
3. ICAO Doc 9859 Safety Management Manual (SMM)
4. ICAO Annex 18 to the Convention on International Civil Aviation, The Safe Transport of Dangerous Goods (AN18)
5. ICAO Doc 9481, Emergency Response Guidance for Aircraft Incidents Involving Dangerous Goods
6. ICAO Doc 9284, Technical Instructions for the Safe Transport of Dangerous Goods by Air (ICAO TI) and Supplement
7. Requirement of The Civil Aviation Authority of Thailand No. 68 Application for and issuance of permission for operating Dangerous Goods and Prohibited or Special Handling Items
8. Requirement of The Civil Aviation Authority of Thailand No. 73 on the Operations regarding the Transport of Dangerous Goods and Prohibited or Special Handling Items
9. Regulation of The Civil Aviation Authority of Thailand No.26 on Air Operator Certificate
10. Regulation of The Civil Aviation Authority of Thailand No.27 on Operations of the Air Operator
11. Thailand Civil Aviation Regulations - Air Operations (TCAR-OPS)
12. Flight Operation Inspector Manual (TFOIM) Volume I and Volume III
13. Related CAAT Guidance Materials
14. CAAT-SMO-AUP: Audit Procedure
15. CAAT-SMO-IAAP: Inspector Appointment Authorisation Procedure
16. CAAT-SMO-NCP: Non-Compliance Management Procedures
17. CAAT-OPS-OPSM: Flight Operations Standards Department Manual

### Responsibilities

1. The Flight Operations Standards Manager (OPS Manager) is responsible for the overall AOC administration programme.
2. The Principal Operations Inspector (POI) acts as a team leader of responsible applicant AOC inspection/certification, all phases, including coordination with other department inspectors and required resource allocation.
3. It is the responsibility of every authorized inspector designated under FOI/AWI/OMI/CSI/DGI/SMO(AG) and SFD(AVSEC) as applicable to carry out audits or

inspections in strict adherence to CAAT regulations, requirements, and other relevant guidance materials.

These inspectors shall communicate their findings or observations to the Principal Operations Inspector (POI).

### **8.1 General**

After the formal application is accepted, the certification team led by POI will start evaluating all submitted documents and operation manuals required by the regulations to be submitted to CAAT. The operations manual review may, depending on the operation's size and complexity, be conducted on the whole manual or different parts at different times with different experts.

The document evaluation phase involves detailed study of the manuals and other documents on their contents and compliance. The evaluation will give the CAAT an insight into the applicant's technical fitness for the type of operations proposed by the applicant. The applicants are reminded to submit documents which reflect their actual operation and aircraft; any incomplete or deficient documentation will affect the application completion date.

The set of documents and manuals should be complete and shall satisfy CAAT's requirements before the inspection phase can begin. However, the review of documents and manuals will continue until the certification phase. Indeed, the inspection phase may reveal the need for some operational changes, which in turn requires amendment of those documents and manuals.

### **8.2 Compliance List**

The CAAT will evaluate the compliance list, the purpose of which is to ensure that the applicant has met all regulatory requirements applicable to the proposed operation. The compliance list also indicates to the CAAT where the regulatory requirements have been addressed in the applicant's manuals, programs, and procedures.

The final compliance list should be completed and accepted by the CAAT before the inspection and demonstration phase begins.

### **8.3 Management/Nominated Persons' Qualification**

The related evaluation document should include the management positions, the names of the individuals involved and their qualifications, relevant management experience and their licences, ratings, and aviation experience.

### **8.4 Operations Manual**

The operations manual is how the applicant intends to control all aspects of the intended operation. The arrangements for the administration and control of the operations manual should have already been evaluated during the cursory review in the formal application phase of the certification process.

Prior to initiating the inspection and demonstration phase, a detailed review of the operations manual will be completed by the CAAT. The operations manual should provide, in a clear and concise manner, the necessary policy guidance and instructions to the applicant's personnel on how operations are to be conducted. The operations manual

should not contain information that is not relevant to the proposed operations. Thus, at the outset, determination should be made as to the adequacy of the operations manual. The subsequent inspections and demonstration phase will determine the applicant's organisation's capability to effectively carry out the policies and instructions in the operations manual.

An adequate operation manual should at least:

- (a) implement the applicable regulations including any specified mandatory material and not conflict with the regulations of any other State where operations will be conducted;
- (b) provide clear, complete, and detailed operating instructions, policies, and procedures so that operational staff, i.e., crew members and ground operations, loading, maintenance, operational control, and administrative personnel, are fully informed of what is required of them. Through the proper use of this material, it will be expected that such personnel perform their duties to a high degree of precision, thus resulting in safe and efficient operations. Procedures should be effective, represent sound safety philosophy and be capable of being accomplished;
- (c) make provisions for revision to ensure that the information contained therein is kept up to date;
- (d) present the necessary guidance and instructions to personnel in a suitable and convenient format. It should be ascertained that the applicant has provided the required instructions following the guidance provided regarding the form and content of these documents; and
- (e) outline standardized procedures for all crew member functions and other operational personnel.

In connection with the detailed review of the operations manual, the CAAT will ascertain that effective procedures have been established by the applicant for the revision, distribution, and use of the operations manual.

Each manual should be numbered and issued according to a specific distribution list, and each holder made responsible for its prompt and accurate update. The distribution list should contain all operations personnel and others requiring the information therein for proper performance of their duties. Those parts of the manual required to be carried on board each aircraft should be designed for convenient use and all parts should permit ready and accurate reference.

#### **8.4.1 Compliance Monitoring System (CMS) Manual**

The applicant shall have compliance monitoring procedures which will ensure compliance with, and adequacy of, procedures required in ORO.GEN.200, ORO.GEN.205, ORO.GEN.210, ORO.GEN.215, and ORO.GEN.220 to ensure safe operational practices and airworthy aircraft.

The compliance monitoring procedures should include a compliance monitoring programme that contains procedures designed to verify that all operations are being conducted by all applicable requirements, standards, and procedures.

The evaluation shall verify that the CMS Manual includes the following key elements:

- (a) An organizational structure and the independence of the compliance monitoring function;

- (b) The qualification and competence requirements for compliance monitoring personnel;
- (c) Defined scope, frequency, and methodology of the compliance monitoring programme, ensuring coverage of all operational areas;
- (d) Documented procedures for audit planning, execution, reporting, and follow-up findings;
- (e) Processes for identifying non-compliances, implementing corrective and preventive actions, and verifying their effectiveness;
- (f) Integration of compliance monitoring outcomes into the operator's safety risk management systems;
- (g) The mechanism to ensure continuous improvement and regulatory oversight readiness.

Detailed procedures for evaluating the compliance monitoring manual are described in TFOIM Volume III Part 2, Chapter 6.

#### 8.4.2 Safety management system (SMS) Manual

The applicant shall establish and maintain a Safety Management System (SMS) Manual that documents all elements of the organization's SMS in accordance with TCAR OPS ORO.GEN.200 requirements. The evaluation shall focus on verifying that the documented SMS is:

- (a) **Present** – The required elements exist and are described in the manual;
- (b) **Suitable** – The documented procedures are appropriate to the size, nature, and complexity of the operation.

The SMS Manual shall include the following components:

- (a) A safety policy and clearly defined safety objectives, including designation of the safety accountabilities and emergency response planning;
- (b) Safety risk management processes, including hazard identification, risk assessment, and mitigation processes;
- (c) Safety assurance processes for safety performance monitoring, internal investigations, and continuous improvement;
- (d) Safety promotion elements include safety training, communication, and promotion of a just culture.

Further guidance assessing the compliance and performance of Civil Aviation Organization's SMS is provided in the Safety Management System Assessment Tool (SMAT), published by the Aviation Safety Standards Group (AG). The SMAT applies the PSOE model—Present, Suitable, Operating, and Effective—to evaluate the readiness and effectiveness of the operator's SMS.

Detailed procedures for assessing the SMS implementation are described in TFOIM Volume III Part 2, Chapter 6.

#### 8.4.3 Emergency Response Plan (ERP) Manual

The applicant shall establish and maintain an Emergency Response Plan (ERP) Manual in accordance with TCAR OPS ORO.GEN.200, demonstrating the capability to manage emergencies effectively, minimize operational disruption, and ensure the safety and well-being of passengers, crew, personnel, and stakeholders.

The ERP Manual should reflect the structure, scope, and content appropriate to the nature and complexity of the applicant's operations. The evaluation shall verify that the ERP includes, at a minimum:

- (a) Defined roles, responsibilities, and chain of command during emergency situations;
- (b) Notification procedures and internal/external communication protocols, including coordination with local authorities;
- (c) Emergency scenarios (e.g., aircraft accident, medical incident, hijack, security threat) and specific response procedures;
- (d) Family assistance and public information management, including designated spokespersons and media strategy;
- (e) Emergency records and documentation control procedures;
- (f) A documented ERP training/exercise programme, including review and improvement mechanisms.

The evaluation should be conducted in accordance with the CAAT-GM-OPS-ERP, which provides detailed guidance for both operators and inspectors regarding ERP content, implementation expectations, and assessment criteria.

Detailed procedures for assessing the implementation of the Emergency Response Plan are provided in TFOIM Volume III, Part 2.

#### **8.4.4 Documentation Management System including Flight Safety Document System (DMS/FSDS)**

The applicant shall establish and maintain a Documentation Management System (DMS), which includes a Flight Safety Document System (FSDS), in accordance with TCAR OPS ORO.GEN.200. The system should ensure that operational documents are controlled, current, clearly structured, and easily accessible to all relevant flight and ground personnel, in support of safe and effective operations. The evaluation should verify that the DMS/FSDS includes, at a minimum:

- (a) A documented system for the development, control, revision, and distribution of operational manuals and safety-related documents;
- (b) Procedures for document approval and version control, with defined responsibilities and tracking of revisions and effective dates;
- (c) Accessibility of up-to-date documents at all relevant operational locations;
- (d) Integration of safety-critical documents (e.g. Operations Manuals, MEL, FTL schemes, emergency procedures) in a user-friendly and logically structured format;
- (e) Measures to ensure consistency, clarity, and alignment between documents across departments.

The system shall also meet the requirements of ORO.MLR.100, ensuring that all operational documents are controlled, current, and available at all locations where they are required for operational use.

Detailed procedures for assessing the implementation of the Management System, including the Flight Safety Document System, are provided in TFOIM Volume III, Part II, Chapter 6.2.

#### 8.4.5 Ground Operations Manual/Ground Handling Manual

The applicant shall establish and maintain a Ground Handling Manual or Ground Operations Manual that defines procedures, responsibilities, and limitations applicable to all ground handling activities, in accordance with the aircraft type, scope of operation, and applicable regulatory requirements. The manual shall comply with TCAR OPS, the relevant provisions of the CAAT Guidance Material for Ground Operations. The evaluation should verify that the manual includes, at a minimum:

- (a) Defined roles and responsibilities for ground operations personnel, including load controllers, and ground service coordinators;
- (b) Ground handling procedures for aircraft servicing, fueling, loading/unloading, towing, and post-flight securing, tailored to each aircraft type and model;
- (c) Human Factors considerations, such as fatigue, communication, workload management, and situational awareness, addressed in both procedures and training;
- (d) Job-specific training programmes for ground handling personnel, including initial, recurrent, and emergency procedure training, as well as Human Factors and equipment safety;
- (e) Pre-flight and post-flight procedures, including turnaround coordination and readiness checks;
- (f) Specific procedures for refuelling with passengers embarking on board, or disembarking, ensuring:
  - (i) Supervision by qualified personnel capable of initiating evacuation.
  - (ii) Two-way communication between ground operations personnel and qualified onboard personnel.
- (g) Ramp safety measures, including foreign object debris (FOD) prevention, safe equipment operation, visibility during low light conditions, and protection from jet blast or propeller;
- (h) Oversight and control of contracted ground handling service providers, including formal agreements, responsibility definitions, and performance monitoring procedures;
- (i) Ground handling documentation structure, clearly referencing its alignment within the operator's overall Operations Manual System and version control practices;
- (j) Integration with the Safety Management System (SMS), particularly in:
  - (i) Hazard identification and risk assessment related to ground operations;
  - (ii) Ground occurrence reporting and investigation;
  - (iii) Safety performance monitoring and continuous improvement mechanisms.

The manual shall demonstrate that the ground handling arrangements are adequate and appropriate to support the safe conduct of operations, and sufficient to meet the certification requirements for initial or continued AOC approval. Detailed procedures for assessing the implementation of Ground Handling Operations are provided in TFOIM Volume III, Part II, Chapter 8.

#### **8.4.6 Dangerous Goods Manual**

All applicants are required to provide a manual that includes procedures for handling dangerous goods, responding to dangerous goods incidents, and training personnel. The level of detail required will depend on the applicant's intended involvement in the transport of dangerous goods.

The Dangerous Goods Standards Division (DG), as part of the certification team responsible for overseeing the transport of dangerous goods by air, shall verify that the Dangerous Goods Manual complies with the Dangerous Goods Requirements.

Detailed procedures for the review and approval of the Dangerous Goods Manual are provided in the CAAT Dangerous Goods Inspection Manual (TDGIM).

#### **8.4.7 Safety Briefing Card**

Safety Briefing 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 Safety Briefing card reference from the reliable manufacturer materials/documents and actual aircraft figures and applicable procedures to ensure it meets the requirements as stated in CAT.OP.MPA.170.

#### **8.4.8 Flight Time Limitation and Specification Scheme**

The applicant shall include in Operations Manual (OM) Part A, Chapter 7 a documented scheme to control the flight time, flight duty periods (FDP), duty periods, and rest requirements in accordance with TCAR OPS Subpart FTL or Subpart FTLS, depending on the type of operation. The scheme shall clearly reflect the applicable limits, conditions, and responsibilities necessary to manage crew fatigue and ensure operational safety.

In all cases, the scheme shall define procedures for managing both flying and non-flying duties—such as ground training, simulator sessions, emergency drill practice, management, and administrative tasks—particularly with respect to calculating rest and the commencement of subsequent flight duties.

Responsibility shall be clearly defined for issuing instructions and making decisions related to FDPs, rest periods, and the application of fatigue-related discretion. The scheme shall also describe the process for recording, reviewing, and reporting when the pilot-in-command exercises discretionary authority to extend a duty period or reduce a rest period, in accordance with the applicable regulatory framework.

The scheme shall be tailored to the nature and complexity of the operation and shall be approved by CAAT prior to the issuance or change of the Air Operator Certificate.

The detailed procedures for assessing and approving the Rules Limiting the Flight Time and Flight Duty Periods Scheme are described in TFOIM Volume III, Part II, Chapter 9.

#### **8.4.9 Flight Data Monitoring (FDM) Manual**

The applicant shall establish and maintain a Flight Data Monitoring (FDM) programme in accordance with TCAR OPS ORO.AOC.130, which shall be integrated into the operator's management system and proportionate to the size, complexity, and nature of its operations.

The FDM Manual shall describe the structure, scope, and processes of the programme, including:

- (a) Integration of the FDM programme within the operator's safety management system (SMS);
- (b) Objectives of the programme, such as proactive identification of operational risks and monitoring safety trends;
- (c) Methodology for data collection, analysis, storage, and use, including sampling rates, event thresholds, and trending tools;
- (d) Roles and responsibilities of personnel involved in FDM, including safety, technical, and data protection functions;
- (e) Use of FDM data in safety investigations, internal reporting, and continuous improvement activities;
- (f) Processes for feedback to operational departments and line personnel, while maintaining confidentiality;
- (g) Non-punitive policy and adequate safeguards to protect data sources, in accordance with ORO.AOC.130(c);
- (h) Assurance that FDM data will not be used for disciplinary or enforcement purposes except in cases of criminal intent or intentional disregard for safety.

The manual shall be tailored to the type and scale of operation, and demonstrate the operator's capacity to collect, interpret, and act on flight data in a way that supports proactive safety management. The system and procedures should be operationally feasible and resourced with qualified personnel and appropriate tools. The detailed procedures for assessing the Flight Data Monitoring (FDM) implementation are described in TFOIM Volume III, Part II, Chapter 7.

#### **8.4.10 Flight Operations Officer/Flight Dispatch Manual**

This manual sets out the guidelines for the Flight Dispatcher/Flight Operations Officer to follow the Subpart FOO/FD - Flight Operations Officer/Flight Dispatcher 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 detailed procedures for evaluating the Flight Operations Officer/Flight Dispatch manual are described in TFOIM Volume III Part 2, Chapter 4.

#### **8.4.11 Operational Control Procedures**

Dispatch, Flight Following, etc. The manual should contain the details of the applicant's operational control procedures and procedures for dispatch and flight following. It should cover procedures for use in emergencies and all communication procedures. The detailed procedures for evaluating the Operational Control Procedures are described in TFOIM Volume III Part 3, Chapter 10

#### **8.4.12 Aircraft Flight Manuals**

Part B of the Operations Manual constitutes aeroplane operating matters (type-related) and Standard Operating Procedures (SOP). Material produced by the operator in Part B of the Operations Manual may be supplemented with or substituted by applicable parts of the Aircraft Flight Manual with the appropriate control/referencing or, where such a document exists, by an Aircraft Operating Manual produced by the manufacturer of the Aircraft.

In the case of performance class B aeroplanes, it is acceptable that a “Pilot Operating Handbook” (POH) or equivalent document is used as Part B of the Operations Manual, provided that the POH covers the necessary items. Part B shall also contain information and instructions relating to:

- (a) The identification of the aircraft.
- (b) The Standard Operating Procedures and limitations of the aircraft.
- (c) The performance and loading of the aircraft.
- (d) Emergency and supplementary procedures.

Aircraft Flight Manuals are required to be provided specifically 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 Aircraft Flight Manuals shall be examined together with the means for providing aircraft performance and limitations information to the Flight Crew.

Aircraft operating manuals for each type of aircraft to be operated are required to contain normal, abnormal, and emergency procedures, details of the aircraft systems and the checklists to be used.

They should also cover aircraft performance and operating limitations as stated in Part CAT and Part SPA.

#### **8.4.13 Aircraft Operating Manuals (AOM)**

Aircraft Operating Manuals for each type of aircraft to be operated are required by CAAT. These manuals should contain normal, abnormal, and emergency procedures, details of the aircraft systems and the checklists to be used. The detailed procedures for evaluating the Aircraft Operating Manuals (AOM) are described in TFOIM Volume III Part 1, Chapter 2.

#### **8.4.14 Minimum Equipment List (MEL)**

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. The detailed procedures for evaluating the Minimum Equipment List (MEL) are described in TFOIM Volume III Part 1, Chapter 2.

#### **8.4.15 Configuration Deviation List (CDL)**

A CDL for each aircraft type and model may be established by the organisation responsible for the type design and approved by the State of Design to provide for the commencement of a flight without specified external parts. The detailed procedures for evaluating the Configuration Deviation List (CDL) are described in TFOIM Volume III Part 1, Chapter 2.

#### **8.4.16 Aircraft Performance Manual**

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

#### **8.4.17 Mass and Balance Control Manual**

The manual provides 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. The detailed procedures for evaluating the Mass and Balance Control manual are described in TFOIM Volume III Part 1, Chapter 1.

#### **8.4.18 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.

#### **8.4.19 Route Guide**

The Route and Aerodrome instructions and information shall cover relevant items in accordance with Subpart B of Part-CAT, and Part SPO as applicable. 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. The detailed procedures for evaluating the Route Guide are described in TFOIM Volume III Part 1, Chapter 1.

#### 8.4.20 Training Manuals

Training Manuals for Flight Crew, Cabin Crew, Flight Operations Officers/Flight Dispatch, Ground Personnel and Maintenance Personnel. The CAAT should determine that the applicant has established a training programme to ensure that the requirements of TCAR OPS Part CC, TCAR OPS Part-ORO Subpart GEN, Subpart FC, Subpart CC, Subpart FOO/FD, Subpart TC, TCAR OPS Part - SEA, Subpart ORS, Subpart FC, Subpart SCC, Subpart FTLS, and Subpart GOS and other applicable requirements are met, covering all aspects of initial and recurrent training, conversion, upgrading training. Detailed procedures for evaluating the Training Manuals in each training aspect are described in TFOIM Volume III Part 1, Chapter 3.

**Note:** Depending on the size and complexity of the operation, the Training Manual may be a standalone document or incorporated in the Operations Manual.

#### 8.4.21 Security Programme Manual

The manual shall describe the applicant's security programme, which shall meet the requirements of the National Civil Aviation Security Programme of the 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 the CAAT.

#### 8.4.22 General Maintenance Manual or Continuing Airworthiness Management Exposition

This manual describes the applicant's intentions and procedures for maintaining the airworthiness of the aircraft used during its operational life. This applies whether the applicant for an AOC intends to apply for approval as an AMO or contract maintenance to an AMO. The Airworthiness and Aircraft Engineering Department Operations Manual contains detailed procedures for evaluating GMM.

#### 8.4.23 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 programs are contained in the Airworthiness & Aircraft Engineering Operations Manual. The maintenance programme will require the approval of the State of Registry when the aircraft is not registered in Thailand.

#### 8.4.24 Plans for Demonstrations Which Require Evaluation

##### a) Plan for emergency evacuation demonstration

The applicant needs to have a plan for demonstrating aircraft evacuation. Evacuation demonstrations carried out by the aircraft manufacturer or other operator for the same type and model of aircraft may be considered by the CAAT when a decision is made on the actual demonstration required. A description of the emergency equipment installed on the aircraft needs to be attached to the plan.

The detailed procedures for the emergency evacuation demonstration are described in TFOIM Volume III Part 4, Chapter 15 and the Emergency Evacuation and Ditching Demonstration Guidelines (CAAT-GL-OPS-EVAC).

b) Plan for ditching demonstration

Where over-water flights are included in the proposed operation, the applicant needs to have a plan to demonstrate ditching equipment and the ability to carry out ditching procedures including the preparation of passengers, aircraft, and ditching equipment. The detailed procedures for the ditching demonstration are described in TFOIM Volume III Part 4, Chapter 15.

### 8.5 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 specified type of operation. The determination by CAAT as to whether 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 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 specific 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 a company with this type or similar type or make of aircraft?

## 8.6 Forms and Checklists Summary (Document Evaluation Phase)

The following list will be used as guidance to confirm the acceptability of the applicant's document and to ensure that the Document Evaluation Phase is completed.






No.	Form/Checklist Code	Form/Checklist Name	Inspection by
<b>Phase 3 - Document Evaluation Phase</b>			
1	<b>OPS-TCFOI-301</b>	OPS - Organisation, Contents and Critical Elements of the Operations Manual	FOI
2	<b>OPS-TCFOI-302</b>	OPS - Flight Operations Officer Training Programme	FOI
3	<b>OPS-TCFOI-303</b>	OPS - Flight Operations Officer Manual	FOI
4	<b>OPS-TCFOI-305</b>	OPS-AIR - MEL - Minimum Equipment List	FOI/AWI
5	<b>OPS-TCFOI-306</b>	OPS - Helicopter Main AOC	FOI
6	<b>OPS-TCFOI-307</b>	OPS - Flight Crew Training Programme	FOI
7	<b>OPS-TCFOI-308</b>	OPS - Standard Operating Procedures Manual	FOI
8	<b>OPS-TCSPA-312</b>	OPS – AIR – HEMS-Helicopter Emergency Medical Service Operations	FOI
9	<b>OPS-TCSPA-314</b>	OPS-AIR-Single-Engined Turbine Aeroplane Operations at Night or Instrument Meteorological Conditions (SET-IMC)	FOI
10	<b>OPS-TCOMI-301</b>	OPS - Flight Data Monitoring (FDM) Programme	OMI
11	<b>OPS-TCOMI-302</b>	OPS - Document Management and Flight Safety Documents System Manual Evaluation	OMI
12	<b>OPS-TCOMI-303</b>	OPS - Emergency Response Manual	OMI
13	<b>OPS-TCOMI-304</b>	OPS - Ground Operations Manual Checklist	OMI
14	<b>OPS-TCOMI-305</b>	OPS - Compliance Management System Manual	OMI
15	<b>OPS-TCOMI-306-1</b>	OPS - Approval of Individual Flight Time Specification Scheme (IFTSS)	OMI
16	<b>OPS-TCOMI-306-2</b>	OPS - Approval of Individual Flight Time Specification Scheme (IFTSS)	OMI
17	<b>OPS-TCOMI-306-3</b>	OPS - Approval of Individual Flight Time Specification Scheme (IFTSS) for Seaplane Operations	OMI
18	<b>OPS-TCOMI-308</b>	OPS - SEA Ground Operations Manual Checklist	OMI
19	<b>OPS-TCCSI-301</b>	OPS - Cabin Crew Training Programme	CSI
20	<b>OPS-TCCSI-302</b>	OPS - Cabin Crew Manual	CSI
21	<b>OPS-TCCSI-303</b>	OPS - Safety Briefing Card	CSI
22	<b>OPS-TCDGI-301</b>	OPS – Operations Manual Dangerous Goods Segment (Thai Air Operator)	DGI
23	<b>OPS-TCOMA-301</b>	Compliance Checklist OM Part A	FOI
24	<b>OPS-TCOMA-302</b>	Compliance Checklist OM Part B	FOI
25	<b>OPS-TCOMA-303</b>	Compliance Checklist OM Part C	FOI
26	<b>OPS-TCOMA-304</b>	Compliance Checklist OM Part D	FOI

No.	Form/Checklist Code	Form/Checklist Name	Inspection by
<b>Phase 3 - Document Evaluation Phase</b>			
27	<b>OPS-TCSEA-301</b>	OPS - Organisation, Contents and Critical Elements of the Operations	FOI
28	<b>CAAT-OPS-TCCL-101</b>	Compliance List for Aeroplane and Helicopter TCAR OPS Part ORO	POI and Certification Team
29	<b>CAAT-OPS-TCCL-102</b>	Compliance List for Aeroplane and Helicopter TCAR OPS Part CAT	POI and Certification Team
30	<b>CAAT-OPS-TCCL-103</b>	Compliance List for Aeroplane and Helicopter TCAR OPS Part SPA	POI/FOI
31	<b>CAAT-OPS-TCCL-104</b>	Compliance List for Aeroplane AOC TCAR OPS Part CAT.IDE.A	POI/FOI/CSI
32	<b>CAAT-OPS-TCCL-105</b>	Compliance List for Helicopter AOC TCAR OPS Part CAT.IDE.H	POI/FOI
33	<b>CAAT-OPS-TCCL-106</b>	Compliance List for Aeroplane AOC Part CC	CSI
34	<b>CAAT-OPS-TCCL-107</b>	Compliance List for Aeroplane AOC Part SEA	FOI
35	<b>OPS-TCFM-131</b>	Document Evaluation Phase	POI

Where operations approval list showing special approvals for which the applicant is applying, the following specific approval checklists shall be used for document evaluation. Refer to TFOIM Volume III Part 5 for specific evaluation procedures.

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

No	Form/Checklist Code	Form/Checklist Name	Inspection By
11	<b>OPS-TCSPA-311</b>	OPS- AIR - RNP AR APCH - Required Navigation Performance - Authorisation Required Approach	FOI/AWI
12	<b>OPS-TCSPA-312</b>	OPS- AIR - HEMS-Helicopter Emergency Medical Service Operations	FOI/AWI
13	<b>OPS-TCSPA-313</b>	OPS- AIR - HOFO-Helicopter Offshore Operations	FOI/AWI

LEGEND		
	Form	
	Checklist	
	Compliance List	

### 8.7 Procedures Summary

The following procedure outlines the steps for the inspector in charge of processing an AOC application during the document evaluation phase. In addition to the records specified in the procedure, POI should maintain a continuous record of progress.

Responsible Person	Action(s)	Record
POI	<p><b>Document Evaluation</b></p> <ul style="list-style-type: none"> <li>After reviewing and confirming the formal application documents, the operation manual is included in the submitted document. The POI should distribute formal application documents to the certification team (FOI, OMI, CSI, DGI, AWI, SFD, SMO(AG)), as needed.</li> </ul> <p>Furthermore, POI should coordinate with the Aviation Security and Facilitation Standards Department (SFD) to confirm receipt of the applicant's Security Documentation and ensure that all security-related documentation is submitted directly to the Aviation Security Inspector via the SFD's email address, <a href="mailto:sfd_os@caat.or.th">sfd_os@caat.or.th</a></p>	Note of Action
POI and Certification Team	<ul style="list-style-type: none"> <li>Review the compliance list (<b>CAAT-OPS-TCCL-101 to CAAT-OPS-TCCL-107</b>) and associated applicable operation manuals.</li> </ul> <p>If special approval is required (LVO, EDTO/ETOPS, RVSM, PBN, EFB, etc.), the POI shall define the inspection and checklist requirements and advise the Certification Team.</p>	CAAT System
POI and Certification Team	<ul style="list-style-type: none"> <li>Assess the consistency of management personnel and qualifications in operation manuals with associated documents.</li> </ul>	Note of Action
POI and Certification Team	<ul style="list-style-type: none"> <li>Completes the document evaluation phase by evaluating checklists within the specified time, which may include the specific approval checklists.</li> </ul>	CAAT System
AVSEC Inspector	<ul style="list-style-type: none"> <li>Review Security Programme and complete related checklist.</li> </ul>	CAAT System
POI and Certification Team	<p><b>Non-Compliance Management</b></p> <ul style="list-style-type: none"> <li>Raise the non-compliance(s) and notify the applicant and POI through the applicable CAAT communication system.</li> </ul>	CAAT System with associated findings and corrective actions
Applicant	<ul style="list-style-type: none"> <li>Addresses non-compliance(s).</li> <li>Submits corrective actions to the POI or inspector and amends the manual as applicable.</li> </ul>	CAAT System with associated findings and corrective actions
POI and Certification Team	<ul style="list-style-type: none"> <li>Review submitted corrective actions and handle the resubmission of the operation manual.</li> </ul>	CAAT System
POI / Assigned Inspectors	<ul style="list-style-type: none"> <li>Proceed with:               <ul style="list-style-type: none"> <li>(List of Approval (LoA)) for the Director-General to approve the contents of the operations manuals.</li> </ul> </li> </ul>	Note of Action

Responsible Person	Action(s)	Record
Applicant	<b>FOSD System Upload</b> <ul style="list-style-type: none"> <li>Upload the final version of the operation manuals to the CAAT's FOSD system within 7 days after manual acceptance/approval.</li> </ul>	CAAT System
POI	<ul style="list-style-type: none"> <li>Review and accept all manuals in the CAAT's FOSD system.</li> </ul> <b>Ensure Completion of Phase</b> <ul style="list-style-type: none"> <li>Ensure all preparations are complete for the next phase and the closure of the document evaluation phase, then report to the OPS Manager.</li> </ul>	CAAT System
OPS Manager	<b>Phase Closure</b> <ul style="list-style-type: none"> <li>Consider whether to approve or reject the closure of the document evaluation phase and notify the POI accordingly.</li> </ul>	CAAT System
POI	<b>Complete Form OPS-TCFM-131</b> <ul style="list-style-type: none"> <li>Complete the form: OPS-TCFM-131 Document Evaluation Phase</li> </ul>	Note of Action
POI and Certification Team	<ul style="list-style-type: none"> <li>Store all documents in the CAAT system</li> </ul>	CAAT System

### 8.8 Records

All records, as outlined in paragraph 8.7 Procedure Summary, should be maintained within the AOC certification package for the duration of the relevant AOC's validity. The OPS Manager is responsible for overseeing the maintenance of AOC certification records.

## 9 DEMONSTRATION AND INSPECTION

### Purpose

The Inspection and Demonstration Phase conducts a thorough and practical evaluation of the prospective air operator's ability to comply with regulatory requirements and ensure safe operations.

This phase involves assessing operational capability, personnel competency, equipment, facilities, and management system procedures through inspections and demonstrations. The aim is to confirm that the operator is ready for certification and capable of sustaining high safety and operational standards.

### Reference

1. ICAO Annex 6 Operation of Aircraft
2. ICAO Doc 8335, Part III Chapter 5 – Operational Demonstration and Inspection
3. ICAO Doc 9859 Safety Management Manual (SMM)
4. ICAO Annex 18 to the Convention on International Civil Aviation, The Safe Transport of Dangerous Goods (AN18)
5. ICAO Doc 9481, Emergency Response Guidance for Aircraft Incidents Involving Dangerous Goods
6. ICAO Doc 9284, Technical Instructions for the Safe Transport of Dangerous Goods by Air (ICAO TI) and Supplement
7. Requirement of The Civil Aviation Authority of Thailand No. 68 Application for and issuance of permission for operating Dangerous Goods and Prohibited or Special Handling Items
8. Requirement of The Civil Aviation Authority of Thailand No. 73 on the Operations regarding the Transport of Dangerous Goods and Prohibited or Special Handling Items
9. Regulation of The Civil Aviation Authority of Thailand No.26 on Air Operator Certificate
10. Regulation of The Civil Aviation Authority of Thailand No.27 on Operations of the Air Operator
11. Thailand Civil Aviation Regulation – Air Operations (TCAR-OPS)
12. Flight Operation Inspector Manual (TFOIM) Volume I and Volume III
13. Related CAAT Guidance Material
14. 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.
15. CAAT-SMO-AUP: Audit Procedure
16. CAAT-SMO-IAAP: Inspector Appointment Authorisation Procedure
17. CAAT-SMO-NCP: Non-Compliance Management Procedures
18. CAAT-OPS-OPSM: Flight Operations Standards Department Manual

### Responsibilities

1. The Flight Operations Standards Manager (OPS Manager) is responsible for the overall AOC administration programme.

2. The 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 resource allocation.
3. It is the responsibility of every authorised inspector designated under FOI/AWI/OMI/CSI/DGI/SMO(AG) and SFD(AVSEC) as applicable to carry out audits or inspections in strict adherence to CAAT regulations, requirements, and other relevant guidance materials. These inspectors shall communicate their findings or observations to the Principal Operations Inspector (POI).

## 9.1 General

'Inspection' is a part of the Inspection and Demonstration Phase in which the physical facilities and equipment proposed for use by the applicant are assessed for suitability at the Main Base and Stations. Depending on the complexity and scale of operations, the applicant may be required to demonstrate its ability to comply with regulations and safe operating practices before actual revenue operations can begin.

'Demonstration' is a part of the Inspection and Demonstration Phase to prove that the applicant has adequate organisation, method of control and supervision of flight operations, training programs that are consistent with the nature and extent of operations specified including ground handling and operations (TCAR-OPS and related CAAT GMs), continuing airworthiness management and maintenance arrangement (applicable airworthiness requirements), security measures, and handling of Dangerous Goods.

Demonstration flights may include any aspect covered by a special authorisation in the operations specifications 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, where applicable, will also be required during this phase to the applicant's capabilities. These demonstrations will include actual performance of activities and/or operations while being observed by the certification team. This will also involve on-site evaluations of aircraft maintenance equipment and support facilities, particularly if the applicant needs approval for a special operation such as EDTO, LVO or RVSM (TCAR OPS Part SPA).

The applicant shall satisfy the CAAT that sufficient qualified personnel are employed and that such personnel are employed on a full-time basis where appropriate. Staff that require specific authorisation will be assessed, and proving flights may be conducted.

It will also be necessary to ascertain those 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 among other requirements, the applicant should provide adequate facilities and equipment to allow the staff to perform their duties related to the conduct of operations in accordance with regulations and manuals, and in a safe manner.

All observations of unsatisfactory items or conditions during the operational inspection and demonstration phase will be raised as non-conformity. This should be recorded in the EMPIC system along with the corrective action(s) taken.

## 9.2 Inspection Fee

Before commencing the inspection and demonstration phase, the applicant shall submit the inspection fee. Additional details regarding fees can be found in 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.

### 9.3 On-Site Audit and Inspection

#### 9.3.1 General

The purpose of this phase is to identify, through on-site audits and inspections, the adequacy and suitability of the applicant's management, staffing, training program, ground equipment, facilities, and procedures to conduct the operations specified in the application. CAAT will refer to this phase as "**Phase 4.1,**" which audits and inspects the following audit schemes.

- (a) status of operations management;
- (b) conformity with the relevant part of the Operations Manual;
- (c) qualifications/experience of key individuals;
- (d) administrative infrastructure;
- (e) adequacy of staff (including sufficient number), facilities, and equipment;
- (f) communications;
- (g) office support;
- (h) rostering;
- (i) rights of access etc.

#### 9.3.2 Facilities

This inspection should be designed to determine whether the facilities to be utilized by the applicant at the main base, including those located in other stations, are properly equipped; are adequate for the operation to be conducted. Such an inspection would include administrative staff and operations personnel offices, passenger service areas, cargo storage, and handling buildings etc.

#### 9.3.3 Organisation Structure, Management and Administration

During the inspection phase, the applicant's organisational 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 is essential and should have proper status in the applicant's organisation and be in suitably experienced and competent hands.

Through discussions with key management personnel and observation, the certification team will evaluate the appropriateness of the management structure and determine whether 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 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 always informed.

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 should be fully integrated into the operation and made fully aware of the channels of communication to be used in 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 organisation. Through a sampling questioning process, the certification team will determine whether management personnel are qualified, experienced, and competent to perform their assigned duties.

Experience has shown that the quality of an operation is 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 organisation is a significant phase of the certification inspection process.

Once it has been determined that the applicant's organisation is adequately staffed and managed, a detailed examination of the organisation shall be initiated, and the suitability and use of the associated operations manual shall be assessed.

The CAAT should ensure that, as part of an evaluation of the applicant's technical fitness for the processing of an AOC, there is coordination between the areas of Flight Operations (OPS), Airworthiness (AIR) and other areas concerned in the process.

For SEA operations refer to TCAR OPS Part - SEA, Subpart ORS - Organisation Requirements for Seaplane Operations.

Detailed outlines to assess the organisational competence is contained in TFOIM Volume III Part II Chapter 5.

#### **9.3.4 Organisation of Operational Control**

Evaluation of the overall effectiveness of the organisation for operational control should include a thorough assessment of the following factors:

- (a) The applicant should establish and maintain a method of control and supervision of flight operations approved by the CAAT. Responsibility for operational control can be delegated only to the pilot-in-command even if the approved method of control and supervision of flight operations requires the use of flight dispatcher personnel.
- (b) The operations manual should specify the responsibilities and functions assigned to flight dispatchers. The actual responsibilities assigned are part of the approved method of control and supervision of flight operations.
- (c) The responsibilities of a flight dispatcher include the provision of assistance to the pilot-in-command in flight preparation; completion of operational and ATS flight plans; liaison with the air traffic, meteorological and communication services; and the provision to the pilot-in-command during flight of information necessary for the safe and efficient conduct of the flight.

Flight dispatchers should also be responsible for monitoring the progress of each flight under their authority and for advising the pilot-in-command of company requirements for cancellation, re-routing, or re-planning, should it not be possible to operate as originally planned. In connection with the foregoing, the pilot-in-command is the person responsible for the flight's safety.

(d) In evaluating the structure, responsibilities, and performance of the operational control organisation, it should be remembered that:

- 1) rapidly improving communications capabilities and advances in weather forecasting and reporting in some areas have brought about a trend towards consolidation and centralization of operational control facilities;
- 2) availability of computerized or stored flight plans and fuel load determination and the use of direct pilot/operations control center communications have facilitated the performance of the operational control of flights; and
- 3) the pilot-in-command may, in many cases, have more up-to-date information and may be in a better position to evaluate evolving flight conditions than personnel in a distantly located operations control center.

Items such as the type of operation, geographical scope, and size should all be considered in relation to the level of support required. The following guidelines are provided to assist the CAAT in assessing the applicant's adequacy of operational control.

a) Staffing

The applicant should demonstrate that:

- 1) the operational control center is staffed with sufficient personnel to competently handle the assigned workload;
- 2) the applicant observes the daily duty time limitations prescribed;
- 3) the applicant is not using flight dispatchers to perform other functions such as that of clerks and maintenance officers, to the detriment of the primary function; and
- 4) the conditions at the operational control center facilities such as space, temperature, lighting, noise level and controlled access are adequate for carrying out dispatch and operational control responsibilities.

b) Communications

The applicant should demonstrate that:

- 1) the communications facilities meet the requirements of the proposed operation;
- 2) the procedures to be used to notify flights regarding hazardous conditions relating to aerodromes or navigation aids, etc., are adequate;
- 3) notices to airmen (NOTAMs) will be made available to flight crew personnel in a timely manner;
- 4) emergency communications procedures and facilities are adequate;
- 5) flight dispatchers are able to establish rapid and reliable voice communications with the flight crew are adequate;

- 6) communications between the operational control center and appropriate ATS facilities are adequate;
- 7) air-ground communications and point-to-point circuits used for flight safety messages are adequate and are free of congestion to ensure rapid and reliable communications throughout the geographical area of operations;
- 8) flight dispatchers are familiar with all facets of operations within their geographical areas of responsibility and are properly authorized and qualified in the use of all communications channels required by the approved method of control and supervision of flight operations;
- 9) the necessary emphasis is placed on the timely receipt of messages both in the aircraft and at the operational control center or En-route stations; and
- 10) facilities for the communication of weather information to En-route stations and to aircraft are adequate.

c) Meteorology

The applicant should demonstrate that:

- 1) if the applicant has established a meteorological department, it will be provided with adequate staff and facilities;
- 2) adequate procedures have been established to ensure the availability of weather forecasts and reports needed by the applicant for flight planning purposes;
- 3) particular attention is given to the level of knowledge possessed by individual flight dispatchers with respect to meteorology in general and to the weather conditions in the area with which they are concerned;
- 4) means are in place whereby the pilots and the flight dispatchers are provided with timely information pertaining to clear air turbulence, thunderstorms, icing conditions and volcanic ash, as well as to the best routes and altitudes for avoiding such occurrences;
- 5) particular attention is given to procedures to be employed by operational control for disseminating information pertaining to clear air turbulence, thunderstorms, volcanic ash, icing conditions and other significant weather phenomena;
- 6) necessary procedures have been established for providing adequate weather information to the pilot-in-command at En-route stops; and
- 7) the adequacy of the procedures to be employed throughout the applicant's system with respect to in-flight meteorological reporting.

d) Procedures

The applicant should demonstrate that:

- 1) Particular attention is given to the exercise of responsibility by pilots-in-command and flight dispatchers in their analysis of all factors pertaining to the flight. In this context, the applicant should demonstrate that the flight dispatchers will be able to perform their functions in accordance with the terms of the applicable operating instructions and procedures. It is

emphasized again that the flight dispatcher is responsible for assisting the pilot-in-command in the pre-flight planning, and authorisation of delay and release of flights, in accordance with the approved method of control and supervision of flight operations;

- 2) procedures have been established to ensure that flight dispatchers are adequately trained and informed on important aspects of flight planning such as weather forecasts and reports, fuel requirements, aerodrome limitations, NOTAM, navigation equipment, navigation facilities, ATM procedures and aircraft performance data;
  - 3) the adequacy of procedures and methods to be used to comply with requirements concerning aircraft performance, i.e., the computation of the mass of the aircraft and the center of gravity location, critical speeds, climb gradients, runway, and obstacle clearance limitations;
  - 4) procedures for the release of a flight are established, which will ensure that the aircraft and its load are in conformity with the relevant flight release documents, e.g., aircraft maintenance release, MEL, CDL, aircraft mass and balance form and manifest; and
  - 5) The procedures to be used for flight monitoring are adequate and meet the applicable requirements.
- e) Operational and ATS flight plans
- The applicant should demonstrate:
- 1) the adequacy of the data to be included in the operational flight plans; and
  - 2) adequate policy regarding operational and ATS flight plans to determine compliance with appropriate rules.
- f) Operations and Dispatch center
- The applicant should demonstrate:
- 1) library appropriate to operation;
  - 2) document amendment status;
  - 3) adequate accommodation and storage facilities;
  - 4) adequate communication and/or distribution facilities;
  - 5) officer in charge - duties/training/qualifications.
- g) Crew Scheduling (If applicable)
- The applicant should demonstrate:
- 1) ease of access during scheduled operational hours;
  - 2) practicality of use;
  - 3) coverage of all relevant staff;
  - 4) accuracy;
  - 5) validity and compliance.

Evaluation of the overall effectiveness of an organisation for operational control should include a thorough analysis reference to Annex 6 Part I, Part III Section II and TCAR OPS Part ORO Subpart FOO/FD.

Detailed procedures for conducting Operational Control Inspection are detailed in TFOIM Volume III Part III Chapter 10.

### 9.3.5 Ground Operations Organisation and Management

The purpose of assessing the implementation of Ground Operations Organisation and Management at operator's main base to ensure the adequacy, suitability, and operational readiness of the applicant's ground handling system is in practice. The inspection shall verify that the operator has established and implemented the aircraft ground handling training requirements, subcontracting policies, handling processes, procedures and practices for all ground handling operations to support the scope of operations authorized in the AOC.

CAAT shall ensure that the operator's ground operations system is established and functioning in accordance with TCAR OPS ORO.GEN.200, ORO.GEN.205, and the guidance outlined in CAAT Guidance Material for Ground Operations, and that operational activities reflect the procedures described in the approved manuals. The inspection shall verify the following:

- (a) The establishment of an organizational structure for ground handling functions, with description of related responsibilities and authorities which is not limited to clearly defines line of responsibility, accountability and delegation of duties for management of all ground handling functions, including the nomination of responsible supervisors and postholders prior to the issuance of an AOC.
- (b) Safety communication and reporting systems are implemented to enable internal and external coordination, including hazard identification, operational communications, and coordination between ground personnel and crew members.
- (c) Ground Handling Training programmes for ground personnel are operational, with records confirming initial, recurrent, and job-specific training (e.g., human factors, GSE operation, emergency response, dangerous goods training)
- (d) Facilities and work areas are appropriate, adequately equipped, and maintained in a safe and functional condition to support daily ground operations.
- (e) Documentation and records are up to date and accessible, including operations manuals, GSE inspection logs, aircraft handling checklists, and load documentation.
- (f) Ramp operations and airside practices are carried out safely and in accordance with procedures, including aircraft towing, marshalling, fueling (including refueling with passengers onboard), de-icing (if applicable), and aircraft door operations.
- (g) Ground support equipment (GSE) is correctly operated, maintained, and parked, with pre-use inspections and serviceability control in place.
- (h) Passenger and baggage handling procedures are observed, including the handling of special categories of passengers, embarkation refusal processes, and verification of baggage weight and load limits.
- (i) Emergency response procedures applicable to ground operations are understood by personnel and integrated with the ERP, including roles during fueling, fire, or medical incidents on the ramp.
- (j) For subcontracted policies ground handling providers, oversight is evidenced through contracts, interface procedures, training coordination, and inclusion in the operator's

compliance monitoring and safety management system in accordance with ORO.GEN.205.

For SEA operations refer to TCAR OPS Part - SEA, Subpart GOS - Organisation Requirements for Seaplane Operations.

Detailed procedures for assessing the implementation of Ground Operations Organisation and Management are provided in FOIM Volume III, Part II, Chapter 8.

### **9.3.6 Ground Support Equipment (GSE)**

The operator shall ensure that all Ground Support Equipment (GSE) used in ground operations is adequate, suitable, and maintained in a safe and serviceable condition to support the intended type and scope of operations. During the inspection, CAAT shall verify the implementation of procedures related to the management, operation, and oversight of GSE.

The inspection shall place primary emphasis on the suitability and safety aspects of the following equipment categories, as applicable to the operator's ground handling activities:

- (a) Ground power units (GPUs), air start units, and air conditioning units;
- (b) Oxygen and compressed gas servicing equipment;
- (c) Aircraft towing vehicles, pushback tractors, and tow bars;
- (d) Passenger stairs, belt loaders, and catering trucks;
- (e) Baggage and cargo handling equipment, trolleys, and dollies;
- (f) Lavatory servicing units and potable water trucks;
- (g) De-icing/anti-icing vehicles (if applicable);
- (h) Other GSE is used for aircraft turnaround and ramp activities.

Where applicable, the operator may utilize third-party audits (e.g., fuel quality audits, de-icing audits, ground handling safety reviews) conducted by recognized organizations. Such audits may be accepted by CAAT to support the verification of GSE operational compliance, provided the operator demonstrates that audit findings are reviewed, tracked, and closed.

Detailed procedures for assessing the implementation and control of Ground Support Equipment are provided in FOIM Volume III, Part II, Chapter 8

### **9.3.7 Training Programme**

The training programme should be described in detail either in the operations manual or in a training manual which, whilst it will form part of the operations manual, will be issued as a separate manual. Depending on the scope and complexity of the proposed operation, the training programme required by TCAR-OPS, may be carried out under the direct control of the applicant, or conducted by other training facilities under contract to the applicant, or a combination thereof. In any case, the CAAT will need to assess and inspect all phases of the applicant's ground and flight training programme. This assessment and inspection should permit a determination as to whether the training methods, syllabi, training aids/devices, training standards, related facilities and record keeping are adequate. The qualifications of ground and flight instructor personnel should be established, and their effectiveness evaluated.

Factors to be considered in the assessment and inspection of an applicant's training programme are:

- (a) the completeness of the training syllabus and adequacy of facilities, aids, equipment, and related training materials. These items should satisfactorily provide for the training required and be used to achieve the desired training standards and objectives. Particular attention should be given to the availability of approved flight simulation training devices appropriate to the flight training syllabus;
- (b) the adequacy and effectiveness of the visual training systems that use computer- based instructions, slides, videos, and/or films for presenting instructions on aircraft systems, aerodrome qualifications and other related subjects;
- (c) the existence of provisions to obtain the necessary training material and to instruct personnel whenever new types of operations, new aircraft and/or equipment, or new or revised maintenance methods or procedures are introduced;
- (d) the competency of the applicant's instructors and training supervisors ;
- (e) the competency of personnel designated as examiners, to whom the CAAT intends to delegate responsibility for type ratings, instrument ratings and pilot proficiency checks; and
- (f) the competency of training and checking personnel of training organisations to which the applicant intends to contract training.

In assessing the scope, quality, and effectiveness of the training programme, the CAAT should observe actual training or instruction being given so that it can be determined that:

- (a) the applicant adheres to the prescribed syllabus;
- (b) the applicant's ground and flight instructors are competent; and
- (c) training personnel can recognize and appropriately deal with weak or unsatisfactory trainees.

During the inspection of the training programme, the applicant's plan for the maintenance of pilot qualifications, for conversion and pilot upgrading, should also be reviewed to ensure that:

- (a) the training and associated qualification checks are carried out in a conscientious manner by properly qualified and authorized personnel;
- (b) in flight training, no maneuvers that might result in an accident is prescribed, considering the aircraft involved and the experience and qualifications of the pilot in training and of the instructor;

**Note:** Hazardous flight maneuvers required to be performed should be carried out in an approved flight simulation training device rather than in actual flight.

- (c) initial and recurrent training and checking is conducted in a systematic manner and in accordance with the training syllabus, without undue reliance upon the individual skill or preferences of the instructor; and
- (d) simulation of abnormal or emergency situations is not permitted when passengers or cargo are carried.

### 9.3.8 Qualification and Training

(a) Flight crew qualifications, licensing, and training

The CAAT should determine that the applicant has established procedures and training programme to ensure that flight crew qualifications meet the requirements of applicable TCAR-OPS, and those personnel are duly licensed and hold appropriate and valid ratings. Detailed inspection procedures are outlined in TFOIM Volume III Part I Chapter 3.

(b) Cabin crew competency and training

The CAAT should also determine that the applicant has established a training programme to ensure that cabin crew members are competent in executing those safety duties and functions to be performed in the event of an emergency including a situation requiring emergency evacuation. Detailed inspection procedures are outlined in TFOIM Volume III Part 1 Chapter 3.

(c) Operational Staff competency and training

The CAAT should ensure that operational staff's competency and training are in place to ensure that all personnel involved in the applicant's operations are trained, qualified, and capable of carrying out their duties safely and effectively. This includes verifying qualifications, evaluating training programs, determining competency, and reviewing training records. Detailed inspection procedures are outlined in TFOIM Volume III Part 1 Chapter 3.

### 9.3.9 Record Keeping

(a) General

During the review of records to be maintained by the applicant, the following factors should be taken into consideration:

- 1) In accordance with TCAR-OPS, an applicant should maintain certain records on the conduct of the operations for a specified period. The main objective of the inspection of operations and flight records is to ensure the operator lies with established procedures and appropriate regulations. The procedures for record keeping need to be evaluated as part of the certification inspection process to indicate the manner in which records will be kept and whether such recording will be conducted in compliance with relevant regulations.
- 2) The review should cover at least the proposals for the maintenance of records for the following as applicable:
  - i) flight crew members;
  - ii) cabin crew members;
  - iii) cabin crew instructors;
  - iv) ground personnel;
  - v) flight operations officers/flight dispatchers;

- vi) flight time, flight duty periods, duty period and rest period of flight crew and cabin crew.
  - vii) operational flight planning;
  - viii) operational control; and
  - ix) management system related documents.
  - x) seaplane cabin coordinator
- 3) Procedures for record keeping should be examined for:
- i) potential accuracy and care in preparation;
  - ii) classification and effectiveness of the filing system;
  - iii) completeness of coverage
  - iv) compliance with required recording periods; and
  - v) security of access to records and protection from disasters.

(b) Flight crew, cabin crew and flight dispatcher records

An inspection should be conducted prior to the commencement of operations and should include a review of flight, cabin crew and flight dispatcher records to determine that the qualifications of crew members are current, including initial training, and recurrent training, flight time, duty period, flight duty period and rest period limitations. In addition, the proposals should cover the recording of reports when the pilot-in-command uses discretion to extend duty or reduce rest periods. For example, the flight crew record should consist of:

- 1) flight and duty time;
- 2) license and medical validity;
- 3) type endorsement validity;
- 4) recency;
- 5) route and aerodrome competency;
- 6) training:
  - i) initial;
  - ii) conversion;
  - iii) aircraft;
  - iv) simulator;
  - v) emergency procedures;
  - vi) dangerous goods regulations;
  - vii) specific approvals;
  - viii) ACAS;
  - ix) CRM; and
  - x) others as applicable.

(c) Operational flight planning records

This part of the inspection should cover the procedures for the keeping of records relating to individual flights to ensure that:

- 1) an operational flight plan will be completed and retained;
- 2) the operational flight plan provides for all the information required by the operations manual;

- 3) flight preparation forms will be completed and recorded;
- 4) oil and fuel records will be kept; and
- 5) the following aircraft documents are maintained:
  - i) maintenance
  - ii) fuel consumption
  - iii) load control
  - iv) Autoland
  - v) navigation accuracy log

(d) Operational control records

The proposals for operational control system records should be checked to ensure that:

- 1) an operational control log will be maintained and that all operational control duties will be adequately documented; and
- 2) all flights will be planned and conducted with the active participation of the flight dispatcher on duty in accordance with the procedures laid down in the operations manual if the approved method of control and supervision of flight operations requires the use of flight dispatcher personnel.

(e) Fuel computation procedures

The objective of this inspection is to determine whether the applicant's aircraft will be dispatched with adequate fuel loads calculated in accordance with statutory regulations and the policy set forth in the operations manual.

To make this determination, the fuel computation policy and sample operational flight plans for flights to be dispatched from different bases on routes and route sectors calling for wide differences in fuel requirements and including sectors on which aircraft fuel capacity is critical, should be examined and the fuel to be carried validated against expected aircraft performance, with appropriate corrections for wind conditions and flight levels en-route.

The fuel policy should consider the additional fuel necessary to proceed to an adequate aerodrome in the event of failure of one engine or loss of pressurization, at the most critical point, while en-route, whichever is higher.

(f) Aircraft mass and balance procedures

This part of the inspection is to ascertain that aircraft will be safely and correctly loaded in accordance with:

- 1) the requirements for the computation of aircraft mass and balance in the operations manual;
- 2) regulations restricting mass to meet aircraft performance requirements;
- 3) mass and center of gravity limitations as specified in the aircraft flight manual and the operations manual;
- 4) limitations on deck and bulkhead loading as specified in the aircraft flight manual and the operations manual; and
- 5) limitations in respect of the transport of dangerous goods as specified in the applicable regulation.

The inspection will include verification of:

- 1) adequate working facilities;
- 2) equipment and documents;
- 3) load control system;
- 4) trained and approved staff;
- 5) communications adequate and effective:
  - i) to/from flight planning area;
  - ii) to/from loaders;
- 6) security of items being loaded/unloaded;
- 7) cargo restraint devices in use;
- 8) carriage of live animals;
- 9) dangerous goods requirements understood and in use; and
- 10) last minute change procedures.

In addition to the foregoing, the CAAT will examine the system and methods whereby aircraft mass is checked and maintained to ensure that mass fluctuations due to modifications and other causes are fully considered and that the mass statement is accurate in compliance with ORO.GEN.220 Record-keeping.

#### **9.4 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 ORO.CC.125. As part of the document evaluation, the certification team 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 TFOIM 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 (AIR) 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.

FOIM Volume III Part IV: Chapter 15 and the Emergency Evacuation and Ditching Demonstration Guidelines (CAAT-GL-OPS-EVAC) provides detailed procedures on Emergency Evacuation and Ditching Demonstration.

## 9.5 Demonstration Flight(s)

### 9.5.1 General

Following the inspection phase (Phase 4.1) in the previous section, the demonstration phase, which the CAAT refers to as "**Phase 4.2,**" This phase is part of the inspection programme prior to certification or authorisation. It may be necessary, particularly for new operators, to conduct a series of inspections during flight. Such inspection flights allow the applicant to demonstrate their ability to carry out the proposed operations in accordance with the applicable regulations.

Passengers should not be carried during inspection flights prior to certification or authorisation and observer personnel on board the aircraft should be kept to a minimum. However, it is desirable for the applicant to have on board company personnel who can take decisions and make commitments on behalf of the applicant concerning action to correct deficiencies.

All demonstration flights should comply with the methods and procedures proposed by the applicant in the formal application documents (Phase 2). CAAT will determine the number and type of inspection based on its assessment of the capabilities of the applicant's operational and maintenance systems.

The demonstration flight includes the in-flight cockpit inspection by Flight Operations Inspector (FOI) but also in-flight cabin inspections by Cabin Safety Inspector (CSI).

- (a) The main objective of in-flight cockpit inspections is to observe and evaluate the in-flight operations of a certificate holder within the air transportation system's total operational environment. In-flight cockpit 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.
- (b) The primary objective of in-flight cabin inspections is to assess the effectiveness of cabin safety procedures 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 programme, operator procedures, the condition and maintenance of aircraft safety and emergency equipment and furnishings.

FOIM Volume III Part IV Chapter 16 provides detailed demonstration flight procedures. The following checklists are applicable:

- OPS - Ramp Cabin Safety and In-flight Cabin Inspections Checklist (OPS-TCCSI-421), and
- OPS - Air - Operator In-flight Cockpit Inspection Checklist (OPS-TCFOI-421)

### 9.5.2 Planning

The applicant and the CAAT should plan well in advance for the conduct of the flight operations inspection programme. All concerned parties need to have a clear understanding and agreement as to what needs to be accomplished by the applicant to show compliance with the applicable operating regulations and rules.

General objectives for pre-certification to inspection flights should include the determination of the adequacy of:

- (a) in-flight procedures laid down in the operations manual and compliance with those procedures;
- (b) the facilities and equipment provided to the flight crew to conduct the flight safely and in accordance with regulations;
- (c) the support provided by the operational control system to the flight crew;
- (d) the general provision made for ground handling of the aircraft and assisting the flight crew to carry out their duties at all aerodromes utilized by the applicant along the routes; and
- (e) the availability and functionality of en-route facilities necessary to conduct operations safely and in compliance with regulatory standards.

### 9.5.3 Pre-flight Inspection

The pre-flight procedures followed by the crew members and the assistance provided by the ground organisation during the pre-flight phase should be observed for compliance with the operations manual. These procedures relate to the following:

- (a) meteorological and route briefing, provision of NOTAMs;
- (b) filing of the ATS flight plan;
- (c) flight planning;
- (d) fuel computation;
- (e) measures taken by the pilot-in-command concerning the:
  - 1) airworthiness of the aircraft, including the maintenance release, and use of the MEL and, if available, the CDL;
  - 2) complement of instruments and equipment required to be on board;
  - 3) preparation of the operational flight plan;
  - 4) fuel required and the fuel and oil on board the aircraft;
  - 5) mass of the aircraft and the center of gravity location;
  - 6) capability to comply with the aircraft mass and performance limitations, climb gradient and obstacle clearance requirements;
  - 7) correct calculation of critical speeds ( $V_1$ ,  $V_r$ ,  $V_2$ , etc.) appropriate to the runway and take-off conditions;
  - 8) security of the load and its correct distribution;

- 9) information concerning dangerous goods;
  - 10) completion and signing of the operational flight plan and the aircraft mass and balance form;
  - 11) carriage of the required publications and manuals, e.g., aircraft operating manual, aircraft flight manual, route guide, MEL and CDL, if available, and their correct amendment; and
  - 12) carriage on board required documents or appropriate copies of documents, e.g., certificate of registration, certificate of airworthiness, crew licenses, aircraft radio license, journey log or technical log, and noise certification attestation. When commercial air transport operations commence, after issuance of an AOC, this list will include the AOC and its associated operations specifications, and passenger and/or cargo manifests as appropriate.
- (f) boarding of all crew including personnel more than the minimum crew and their briefing on the location and use of emergency equipment, no smoking signs, use of seat belts, location and use of emergency exits, etc.;
- (g) external and internal aircraft inspection by flight crew and cabin inspection by cabin crew;
- (h) procedures preparatory for radio and navigation equipment setting, including data entry in flight management avionics, if available;
- (i) procedures for inertial equipment initializing and cross-checking;
- (j) flight deck preparation and procedures and use of checklists; and
- (k) crew coordination.

During the pre-flight, the general aircraft conditions will be verified:

- (a) Flight deck equipment (adequate/functional)
- 1) GPWS
  - 2) ACAS II
  - 3) altitude alert
  - 4) navigation equipment
  - 5) communication equipment
  - 6) fire extinguisher, crash axe, gloves, portable oxygen unit
  - 7) crew oxygen mask stowage, smoke goggles
  - 8) accessibility of controls needed in emergency drills
  - 9) jump seat operation
  - 10) crew seat adjustments
- (b) Cabin Equipment
- 1) passenger safety information cards
  - 2) signs: visibility, ambiguity, exit operation
  - 3) supplemental oxygen: numbers, locations
  - 4) fire extinguishers
  - 5) therapeutic oxygen
  - 6) first aid
  - 7) life jackets, flotation cushions

- 8) life rafts, emergency locator beacons
  - 9) public address system
  - 10) cargo tie downs and restraints (if applicable)
- (c) Manuals, checklist, and documents
- 1) normal and emergency checklists
  - 2) operations manuals
  - 3) flight planning and dispatch documents

#### 9.5.4 In-flight Inspection

(a) Flight Deck

Prior to take-off, the CAAT will observe the following:

- 1) procedures preparatory to starting engines;
- 2) engine start-up procedures;
- 3) proper communication and coordination with the ground crew regarding:
  - i) engine start-up procedures;
  - ii) removal of chocks; and
  - iii) push back and ground towing, if so required, prior to taxiing.
- 4) taxiing and use of aerodrome chart;
- 5) use of checklists;
- 6) acceptance and recording of air traffic control (ATC) clearance; and
- 7) briefing of the flight crew for take-off, departure, and initial climb, including use of navigation aids.

During the flight, the CAAT will check the following items:

- 1) compliance with rules of the air;
- 2) flight crew knowledge of:
  - i) aircraft limitations;
  - ii) aircraft normal and emergency procedures;
  - iii) aircraft systems and equipment; and
  - iv) cruise control;
- 3) adequacy of flight deck procedures;
- 4) crew discipline, coordination, and vigilance;
- 5) altitude control and procedures for altitude/level change;
- 6) the operations manual, including the aircraft operating manual, to confirm that it will meet requirements that may arise during flight;
- 7) use of flight deck security procedures;
- 8) competence of crew members, including the language proficiency of flight crew members in the language used for radiotelephony communications;
- 9) flight crew use of company frequencies and operational control of the flight;
- 10) use of En-route and terminal navigation facilities;
- 11) pilot knowledge of routes and aerodromes, including departure contingency procedures;

- 12) adequacy of weather information and environmental data provided and their use by the flight crew;
- 13) use of air/ground communications;
- 14) use of navigation procedures and equipment;
- 15) use of checklists for each phase of flight;
- 16) adherence to ATC clearances and to changes to clearances;
- 17) compliance with meteorological reporting procedures and with procedures for reporting hazardous flight conditions;
- 18) use and availability of flight documents, whether these are provided electronically or as hard copies. Special notice should be taken of the manner in which the maps and charts contained in the route guide section of the operations manual are used in flight and in the conduct of departure, arrival, approach and missed approach procedures;
- 19) adequacy and use of breathing oxygen in flight;
- 20) flight crew use of safety harnesses;
- 21) use of passenger cabin “no-smoking” and “seat belt” signs;
- 22) general compliance with the regulations of the State of the Operator and other States concerned with the operation;
- 23) flight crew management of the flight, including human performance, threat and error management and decision-making, and proficiency in the manual and automatic control of the aircraft in all phases of flight;
- 24) conduct of flight crew arrival, approach, and landing briefing;
- 25) adherence to aerodrome/heliport operating minima; and
- 26) conduct of approach and landing procedures, after landing procedures, taxi and shut-down procedures and use of appropriate checklists.

(b) Cabin Compartment

During the in-flight cabin inspection, the CAAT will observe the procedures used by the cabin crew for passenger briefing on:

- 1) stowage of hand baggage;
- 2) observing the “no-smoking” signs;
- 3) how and when to use seat belts;
- 4) when seat backs are required be in the full upright position;
- 5) procedures for donning oxygen masks and restrictions during use of oxygen;
- 6) emergency procedures including the location and use of emergency exits;
- 7) location and use of life jackets;
- 8) restrictions on the use of toilets;
- 9) location and content of passenger safety briefing cards.
- 10) Special Categories passenger briefing (if applicable);
- 11) Location of Emergency floor lighting systems; and
- 12) Use, restriction and stowage of Portable Electronic Devices (PEDs)

Cabin crew members should provide for take-off and landing, forward or rearward-facing seats equipped with safety harnesses and that such seats are near floor level and other emergency exits.

The CAAT should question cabin crew regarding their familiarity with the location and use of various types of emergency equipment, i.e., life rafts, ELT, emergency medical kits, kits for suspected communicable diseases, and first aid kits, and with their specific duties the event of an emergency such as a ditching or an emergency evacuation. This discussion with the cabin crew members allows the CAAT to assess their training's effectiveness. The performance of cabin crew will be evaluated concerning their effectiveness in performing their assigned duties and the fulfillment of their responsibilities for requiring passengers to comply with their instructions and the applicable regulations.

### 9.5.5 Post-flight Inspection

The following should be observed:

- (a) use of appropriate after shut-down checklists;
- (b) completion by the pilot-in-command of the journey logbook or technical log and the reporting of any aircraft unserviceability;
- (c) availability and, if necessary, completion of appropriate reports regarding incidents, near misses, bird strikes, lightning strikes, volcanic ash encounters or ingestion and any other unusual occurrences of operational significance;
- (d) where a stopover is scheduled for crew rest, the adequacy of the accommodation provided and the actual rest period available; and
- (e) where the stop is an intermediate stop, the arrangements are made to assist the crew in the preparation for the next stage of the flight.

### 9.5.6 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) General Inspection;
- (b) Aircraft external condition and relevant aircraft documents;
- (c) Aircraft interior condition and relevant aircraft documents; and
- (d) Cargo etc.

CAAT may consider conducting ramp inspections during Phase 4.1 and/or 4.2 Demonstration Flight. TFOIM Volume III Part III Chapter 13 provides detailed ramp inspection procedures. The following checklists are applicable:

- OPS - Ramp Cabin Safety and In-flight Cabin Inspections Checklist (OPS-TCCSI-421), and
- OPS - Air - Operator In-flight Cockpit Inspection Checklist (OPS-TCFOI-421)

### 9.5.7 Ground Handling Operations – Line Station

The purpose of the Ground Handling Operations for operators' line station inspection is to verify that the applicant has established appropriate arrangements for ground handling operations, oversight, facilities, and systems at line station where it intends to operate. This ensures that services at line stations are conducted safely and in accordance with the approved procedures and regulatory requirements.

The inspection shall be conducted by the assigned Operations Management Inspector (OMI) and Flight Operations Inspector (FOI) and shall assess whether ground handling activities are being carried out effectively to support safe aircraft turnaround, flight preparation, and regulatory compliance at the station. CAAT shall verify that:

- (a) The line station has an appointed station manager or ground operations supervisor, with defined responsibilities and authority;
- (b) Station personnel and subcontracted staff are trained and competent in their assigned duties, and have received appropriate training, including human factors and emergency procedures;
- (c) The station has access to the current Emergency Response Plan (ERP), contact lists, and local coordination procedures, and designated personnel are trained and familiar with their roles in emergency scenarios;
- (d) Safety communication and reporting systems are in place, enabling timely transmission of safety-related information, hazard reporting, and coordination with the operator's main base or safety management personnel;
- (e) Documentation and operational records are maintained and available on-site, including operations manuals, training records, GSE logs, load sheets, and applicable regulatory references;
- (f) Procedures for ramp safety, passenger and baggage handling, fueling, aircraft dispatch, and communication with crew members are implemented in accordance with the operator's manuals;
- (g) Ground Support Equipment (GSE) is inspected, maintained, marked as serviceable or unserviceable, and used in accordance with the operator's procedures. GSE operators are properly trained and authorized;
- (h) Refueling procedures are applied in accordance with safety protocols, including appropriate supervision when passengers are on board and communication with the crew members;
- (i) If applicable, de-icing and anti-icing procedures are clearly defined, coordinated, and verified by qualified personnel;
- (j) The station is included in the operator's compliance monitoring programme, with evidence of audits, safety observations, and corrective action follow-up for ground handling activities;
- (k) Ground handling services are provided by either the operator's personnel or an approved service provider, under documented agreements;
- (l) Subcontracted service providers at the line station are subject to regular performance oversight by the operator, in line with ORO.GEN.205.

This inspection confirms that the operator's line station arrangements are consistent with the procedures approved during AOC certification and support continued compliance with TCAR OPS and CAAT requirements.

Additional reference for inspecting Ground Handling Operations at line stations are provided in FOIM Volume III, Part II, Chapter 8.

### 9.5.8 Inspection and Demonstration Deficiencies

Unsatisfactory conditions identified by the CAAT during any phase of phases 4.1 and 4.2 shall be brought to the applicant's attention for corrective action.

**0.2.2 The applicant should be given the opportunity to correct any deficiencies that affect the operation's safety. All discrepancies and non-compliance items should be corrected or resolved, with acceptable records of corrective actions maintained to the CAAT's satisfaction.**

Some examples of deficiencies requiring corrective action are:

- (a) flight crew member not trained, e.g., assistance from applicant supervisors or a CAAT inspector required;
- (b) flight crew member not familiar with aircraft, systems, procedures, or performance;
- (c) cabin crew member not trained in emergency evacuation procedures or in the use of emergency equipment or not familiar with the location of that equipment;
- (d) numerous aircraft deficiencies and/or system malfunctions;
- (e) inadequate mass and balance or load control;
- (f) unsatisfactory operational control, e.g., improper flight planning and flight release procedures;
- (g) unacceptable maintenance procedures or practices; and
- (h) improper aircraft servicing and ground handling procedures.

## 9.6 Inspection and Demonstration Phase Maintenance Control Aspects

### 9.6.1 General

As part of the certification requirement, the applicant is required to demonstrate that an organisation with the necessary qualified staff, equipment and facilities is set up and responsible for ensuring that the aircraft remain 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 TFOIM Volume II Chapter 14 for details of the Leasing of Aircraft.)

Further detailed guidance on the maintenance control aspects of air operator certification, and the approval of the Maintenance Control Manual (MCM), which is also known as a General Maintenance Manual (GMM) or the Continuing Airworthiness Management Exposition (CAME), as applicable, and the preparation of maintenance-related operations

specifications associated with an AOC, are contained in Airworthiness and Engineering Department Operations Manual.

### **9.6.2 Maintenance Control Organisation**

CAAT Airworthiness inspector shall determine that the structure of the applicant's maintenance control organisation 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 organisational structure shall be included as a part of the GMM and, if necessary, also promulgated separately.

### **9.6.3 General Maintenance Manual (GMM)**

The CAAT regulations require the applicant to prepare a detailed GMM for the use and guidance of maintenance organisation 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 organisations 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 the Airworthiness Manual.

## 9.7 Forms and Checklists Summary (Demonstration and Inspection Phase)

Following list 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
<b>AOC Phase 4.1 On-site Inspection Phase</b>			
1	<b>OPS-TCGEN-401</b>	OPS-Organisational Competence	POI/FOI/OMI/AWI and CSI/DGI as applicable
2	<b>OPS-TCFOI-401</b>	OPS-Flight Crew Training Records	FOI
3	<b>OPS-TCFOI-402</b>	OPS-Flight Crew Training	FOI
4	<b>OPS-TCFOI-403</b>	OPS - Returned Flight Documentation (TCAR)	FOI
5	<b>OPS-TCFOI-404</b>	OPS-Flight Operations Officer Training Records	FOI
6	<b>OPS-TCFOI-405</b>	OPS-Operational Control Organisation	FOI
7	<b>OPS-TCFOI-406</b>	OPS-Type Certificate Data Sheet	FOI
8	<b>OPS-TCCSI-401</b>	OPS-Cabin Crew Management	CSI
9	<b>OPS-TCCSI-402</b>	OPS-Cabin Crew Training Management	CSI
10	<b>OPS-TCCSI-403</b>	OPS-Cabin Crew Training and Records	CSI
11	<b>OPS-TCCSI-421</b>	OPS - Ramp Cabin Safety and In-flight Cabin Inspections	CSI
12	<b>OPS-TCCSI-404</b>	OPS-Partial Emergency Evacuation and Ditching Demonstration Checklist	FOI/CSI
13	<b>OPS-TCOMI-401</b>	OPS - Document Management and Flight Safety Documents System Implementation	OMI
14	<b>OPS-TCOMI-402</b>	OPS - Flight Data Monitoring (FDM) Programme Implementation	OMI
15	<b>OPS-TCOMI-403</b>	OPS - Compliance Monitoring System Implementation	OMI
16	<b>OPS-TCOMI-404-3</b>	OPS - IFTSS Implementation for Seaplane Operations	OMI
17	<b>OPS-TCOMI-405</b>	OPS - Ground Handling Operations Inspection - Main Base	OMI
18	<b>OPS-TCOMI-407</b>	OPS - Emergency Response Plan Implementation	OMI

No.	Form/Checklist code	Form/Checklist Name	Inspection By
<b>AOC Phase 4.1 On-site Inspection Phase</b>			
19	<b>OPS-TCOMI-408</b>	OPS - Initial Approval of IFTSS	OMI
20	<b>OPS-TCOMI-411</b>	OPS - Initial Approval of IFTSS for Seaplane Operations	OMI
21	<b>OPS-TCOMI-412</b>	OPS - SEA Ground Handling Operations Inspection	OMI
22	<b>OPS-TCDGI-401</b>	OPS - Dangerous Goods Audit (For DG Authorisation Thai Air Operator)	DGI
23	<b>OPS-TCDGI-402</b>	OPS - Dangerous Goods Audit (For Non DG Authorisation Thai Air Operator)	DGI
<b>AOC Phase 4.2 – Demonstration Phase</b>			
1	<b>OPS-TCFOI-421</b>	OPS-Air Operator In-flight Cockpit Inspection	FOI
2	<b>OPS-TCFOI-421-1</b>	OPS - Air Operator Seaplane In-flight Cockpit Inspection	FOI
3	<b>OPS-TCCSI-421</b>	OPS - Ramp Cabin Safety and In-flight Cabin Inspections	CSI
4	<b>OPS-TCFOI-422</b>	OPS-Ramp Inspection	FOI/CSI
5	<b>OPS-TCOMI-406</b>	OPS-Ground Handling Operations Inspection Line Station	FOI/OMI
<b>AOC Phase 4</b>			
1	<b>OPS-TCFM-141</b>	Demonstration and Inspection Phase	POI

LEGEND		
Form	Checklist	Compliance List

## 9.8 Procedures Summary

The following procedure outlines the steps for the inspector in charge of processing an AOC application during the inspection and demonstration phase. In addition to the records specified in the procedure, POI should maintain a continuous record of progress.

Responsible Person	Action(s)	Record
<b>Inspection Phase (Phase 4.1)</b>		
POI and Certification Team	<ul style="list-style-type: none"> <li>▪ Schedules and notifies to the certification team and applicant for the plan of On-site Audit and Inspection (Phase 4.1)</li> <li>▪ Coordinate with relevant inspectors (AIR, SFD, SMO(AG), if applicable, and arrange internal pre-audit meetings with the certification team.</li> <li>▪ POI Manage assigned checklist in CAAT oversight system</li> </ul>	CAAT System
POI	<p><b>Payment Process</b></p> <ul style="list-style-type: none"> <li>▪ Prepare tariff information and process for the Phase 4.1 Inspection fee (Audit fee).</li> </ul>	CAAT System
OPS Manager	<ul style="list-style-type: none"> <li>▪ Review tariff information and release to FAD</li> </ul>	CAAT System
Applicant	<ul style="list-style-type: none"> <li>▪ Proceed with the Payment Process</li> </ul>	CAAT System
POI	<p><b>Audit Notification</b></p> <ul style="list-style-type: none"> <li>▪ POI issues an audit notification and sends it to the applicants.</li> </ul>	Note of Action
POI and Certification Team	<p><b>Conduct On-Site Audit and Inspection</b></p> <ul style="list-style-type: none"> <li>▪ Perform on-site audit and inspection Phase 4.1 by reference of assigned checklists</li> <li>▪ Complete checklists</li> </ul> <p><b>Non-Compliance Management</b></p> <ul style="list-style-type: none"> <li>▪ Raise the non-compliance(s) and notify the applicant and POI through the applicable CAAT communication system</li> </ul>	CAAT System with associated findings and corrective actions
Applicant	<ul style="list-style-type: none"> <li>▪ Submit Correction, Root Cause Analysis, Corrective Action Plan and Corrective Action Implementation within agreed timeframe.</li> </ul>	CAAT System with associated findings and corrective actions

POI and Certification Team	<ul style="list-style-type: none"> <li>Review Correction, Root Cause Analysis, Corrective Action Plan and Corrective Action Implementation for closure of non-compliance.</li> <li>If the submitted Correction, Root Cause Analysis, Corrective Action Plan, and Corrective Action Implementation from the operator are not satisfactory, the inspector may reject them and ask for resubmission with more efficient and evidential references.</li> </ul>	CAAT System
Applicant	<ul style="list-style-type: none"> <li>Submits amended manual to POI or associated inspector.</li> </ul>	CAAT System
POI / Assigned Inspectors	<ul style="list-style-type: none"> <li>Proceed with:               <ul style="list-style-type: none"> <li>(List of Approval (LoA)) for the Director-General to approve the contents of the operations manuals.</li> </ul> </li> </ul>	Note of Action
Applicant	<b>FOSD System Upload</b> <ul style="list-style-type: none"> <li>Upload the final version of the operation manuals to the CAAT's FOSD system within 7 days after manual acceptance/approval.</li> </ul>	CAAT System
POI	<ul style="list-style-type: none"> <li>Review and accept all manuals in the CAAT's FOSD system.</li> </ul>	CAAT System
POI	<b>Ensure Completion of Phase</b> <ul style="list-style-type: none"> <li>Ensure that Phase 4.1 is completed and report to the OPS Manager on the readiness for the next phase.</li> </ul>	CAAT System
OPS Manager	<b>Phase Closure</b> <ul style="list-style-type: none"> <li>Consider whether to approve or reject the closure of phase 4.1 and notify the POI accordingly.</li> </ul>	CAAT System
POI and Certification Team	<b>Complete Form OPS-TCFM-141 – Phase 4.1 Section</b> <ul style="list-style-type: none"> <li>Complete the Form: OPS-TCFM-141 Demonstration and Inspection Phase- Phase 4.1 section)</li> </ul>	Note of Action
POI and Certification Team	<ul style="list-style-type: none"> <li>Store all documents in the CAAT system</li> </ul>	CAAT System
<b>Demonstration Phase (Phase 4.2)</b>		
POI Certification Team and Applicant	<b>Preparation Meeting for Demonstration Phase</b> <ul style="list-style-type: none"> <li>Conduct the preparation meetings for Demonstration Phase.</li> <li>Schedule the plan for Demonstration Flight</li> </ul>	Note of Action
POI	<b>Payment Process</b> <ul style="list-style-type: none"> <li>Prepare tariff information and process for the Phase 4.2 Inspection fee</li> </ul>	CAAT System
OPS Manager	<ul style="list-style-type: none"> <li>Review tariff information and release to FAD</li> </ul>	CAAT System
Applicant	<ul style="list-style-type: none"> <li>Proceed with Payment Process</li> </ul>	CAAT System

POI	<ul style="list-style-type: none"> <li>POI issues an audit notification and sends it to the applicants.</li> </ul>	Note of Action
POI/CSI/ OMI/AWI	<p><b>Conduct Demonstration</b></p> <ul style="list-style-type: none"> <li>Perform inspection Phase 4.2 by reference of assigned checklists.</li> <li>Complete checklists.</li> </ul> <p><b>Non-Compliance Management</b></p> <ul style="list-style-type: none"> <li>Raise the non-compliance(s) and notify the applicant and POI through the applicable CAAT communication system</li> </ul>	CAAT System with associated findings and corrective actions
Applicant	<ul style="list-style-type: none"> <li>Submit Correction, Root Cause Analysis, Corrective Action Plan and Corrective Action Implementation within agreed timeframe.</li> </ul>	CAAT System with associated findings and corrective actions
POI and Certification Team	<ul style="list-style-type: none"> <li>Review Correction, Root Cause Analysis, Corrective Action Plan and Corrective Action Implementation for closure of non-compliance.</li> <li>If the submitted Correction, Root Cause Analysis, Corrective Action Plan, and Corrective Action Implementation from the operator are not satisfactory, the inspector may reject them and ask for resubmission with more efficient and evidential references.</li> <li>Consider the approval process. According to ORO.GEN.115 and ORO.GEN.130</li> </ul>	CAAT System
POI / Assigned Inspectors	<ul style="list-style-type: none"> <li>Proceed with:           <ul style="list-style-type: none"> <li>(List of Approval (LoA)) for the Director-General to approve the contents of the operations manuals.</li> </ul> </li> </ul>	Note of Action
Applicant	<p><b>FOSD System Upload</b></p> <p>Upload the final version of the operation manuals to the CAAT's FOSD system.</p>	CAAT System
POI	Review and accept all manuals in the CAAT's FOSD system.	CAAT System
POI	<p><b>Ensure Completion of Phase</b></p> <ul style="list-style-type: none"> <li>Ensure that Phase 4.2 is completed and report to the OPS Manager on the readiness for the next phase</li> </ul>	CAAT System
OPS Manager	<p><b>Phase Closure</b></p> <ul style="list-style-type: none"> <li>Consider whether to approve or reject the closure of phase 4.2 and notify the POI accordingly.</li> </ul>	CAAT System
POI and Certification Team	<p><b>Complete Form OPS-TCFM-141 – Phase 4.2 Section</b></p> <ul style="list-style-type: none"> <li>Ensure all actions/documents are completed for the phase</li> <li>Complete the Form: OPS-TCFM-141 Demonstration and Inspection Phase - Phase 4.2 section)</li> </ul>	Note of Action
POI and Certification Team	<ul style="list-style-type: none"> <li>Store all documents in the CAAT system</li> </ul>	CAAT System

## **9.9 Records**

All records, as outlined in paragraph 9.8 Procedure Summary, should be maintained within the AOC certification package for the duration of the relevant AOC's validity. The OPS Manager is responsible for overseeing the maintenance of AOC certification records.

## 10 CERTIFICATION PHASE

### Purpose

The objective of the Certification Phase is to ensure that the applicant is compliant with all regulatory and safety standards, ready to begin operations, and capable of maintaining high operational and safety standards. This phase concludes with the formal issuance of the Air Operator Certificate, which confirms the operator's legal and regulatory authority to conduct commercial air transport operations.

### Reference

1. ICAO Annex 6 Operation of Aircraft
2. ICAO Doc 8335 Part III, Chapter 7 - Certification Phase
3. ICAO Doc 9859 Safety Management Manual (SMM)
4. ICAO Annex 18 to the Convention on International Civil Aviation, The Safe Transport of Dangerous Goods (AN18)
5. ICAO Doc 9481, Emergency Response Guidance for Aircraft Incidents Involving Dangerous Goods
6. ICAO Doc 9284, Technical Instructions for the Safe Transport of Dangerous Goods by Air (ICAO TI) and supplement
7. Requirement of The Civil Aviation Authority of Thailand No. 68 Application for and issuance of permission for operating Dangerous Goods and Prohibited or Special Handling Items
8. Requirement of The Civil Aviation Authority of Thailand No. 73 on the Operations regarding the Transport of Dangerous Goods and Prohibited or Special Handling Items
9. Regulation of The Civil Aviation Authority of Thailand No.26 on Air Operator Certificate
10. Regulation of The Civil Aviation Authority of Thailand No.27 on Operations of the Air Operator
11. Thailand Civil Aviation Regulation - Air Operations (TCAR-OPS)
12. Flight Operation Inspector Manual (TFOIM) Volume I
13. 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

### Responsibilities

1. The Flight Operations Standards Manager (OPS Manager) is responsible for the overall AOC administration programme.
2. The 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 resource allocation.
3. It is the responsibility of every authorised inspector designated under FOI/AWI/OMI/CSI/DGI/SMO(AG) and SFD(AVSEC) as applicable to carry out audits or inspections in strict adherence to CAAT regulations, requirements, and other relevant guidance materials. These inspectors shall communicate their findings or observations to the Principal Operations Inspector (POI).

## 10.1 General

The certification phase follows the satisfactory completion of all the previous phases. It begins when the CAAT takes the necessary administrative action to issue the AOC and the associated operations specifications (OPS SPEC), after assurance that the applicant will comply with the applicable requirements and is fully capable of fulfilling its responsibilities and conducting a safe and efficient operation.

An AOC will be issued once the applicant has completed an economic and financial assessment and received Air Operator License (AOL) approval. The Economic Regulation Department (ERD) is responsible for ensuring that the applicant possesses the necessary financial resources to conduct its planned operations, including adequate resources to handle expected disruptions in daily operations.

## 10.2 Certificate Fee

Before commencing the certification phase, the applicant shall submit the certificate fee. Additional details regarding fees can be found in 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.

## 10.3 Final Preparation for the Issuance of an AOC

- (a) 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) POI and 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 (OPS SPEC), and Dangerous Goods Operating License (if applicable), with the remaining outstanding discrepancies or non-conformities, all are required to be closed prior to the Certification Phase.
- (c) If the operator's manual requires revisions after inspection and demonstration, the applicant should submit the final revisions and compliance list before the phase finishes. When the certification team reviews the manuals, it should check against the non-conformities that all the evidence in the record is included in the manuals and that the compliance list has been revised to ensure that the regulatory requirements have been addressed in the applicant's manuals, programmes, processes, and procedures.
- (d) POI and certification team shall ensure that all the requirements for certification have been met and 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 departments involved in the certification process. POI shall ensure that the Flight Operations, Airworthiness, and related inter-departmental coordination have been completed.

- (f) POI will coordinate with the 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 economic and financial assessment's objective is to verify that the applicant has the financial resources to conduct its planned operations, including those for the disruptions that can be expected in daily operations.
- (g) POI will coordinate with AOC Certification Division (CT), Flight Operation Inspector Division (FO), Operation Management Inspector Division (OM), Cabin Safety Division (CS), and Dangerous Goods Standards Division (DG) within Flight Operations Standards Department (OPS) and coordinate with Airworthiness and Aircraft Engineering Department (AIR) and Aviation Security to prepare a surveillance programme in the respective areas which will be approved by the DGCA. Detailed procedures and generic examples of surveillance plans are provided in TFOIM Volume II Chapter 13 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, Dangerous Goods Operating License (DGL) (if applicable) 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, and DGL (if applicable) will be submitted to the OPS Manager for review.
- (i) POI will provide a report with appropriate recommendations on the issuance or denial of an AOC to the DGCA.
- (j) In the case of a recommendation on the issuance of the AOC, the report shall include the following information:
  - 1) Confirmation that the Air Operator has been certificated following the policy and procedures as contained in the TFOIM Volume II and III;
  - 2) Listing of the applicable checklists that have been completed to confirm that the air operator complies with CAAT regulations and related guidance materials, and applicable cross-references;
  - 3) Confirmation that CAAT is satisfied that the operator has the financial resources to conduct its planned operations;
  - 4) Signature of the POI and the name and title of each team member who assisted in the certification project;
  - 5) Recommendation for the AOC to be issued.
- (k) In the case of a recommendation on denial of an AOC:
  - 1) Listing of the incomplete applicable job aids/checklists which the applicant is unable to comply with the applicable standards and requirements;
  - 2) Details of certification requirements which the air operator has failed to achieve;
  - 3) Signature of the POI and the name and title of each team member who assisted in the certification project; and
  - 4) Recommendation on denial of an AOC.

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.

#### 10.4 Issuance of an AOC and the Associated Operations Specifications

- (a) Assuming there are no outstanding queries, OPS Manager will endorse the certification package and submit it to DGCA, or the person 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 using 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 and the associated operations specifications are provided in RCAAT no.26. The AOC and associated authorisations, conditions, and limitations, issued by the authority shall contain all the elements identified in the TCAR OPS part ORO. The AOC issued by the authority shall be complemented with operations specifications which contain authorisations, conditions, and limitations to be complied with by the air operator.

#### 10.5 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 shall 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 consider that CAAT resources are finite, and a disproportionate amount of inspector time should not be spent on a single applicant.
- (b) Where 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 on the course of action from three main options:
  - 1) 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.
  - 2) Inform the applicant that the AOC application is cancelled. The applicant should 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 shortcomings of the first application.
  - 3) 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.

## **10.6 Period of Validity of an AOC and the Associated Operations Specifications**

The Air Operator Certificate is normally valid for not more than 5 years for the initial issue. The type(s) of aircraft that may be flown and the associated operational approvals are specified in the operations specifications.

In general, an AOC or any portion of an AOC issued by CAAT remains valid until:

- (a) CAAT amends, suspends, revokes, or otherwise terminates the certificate;
- (b) The AOC holder surrenders the certificate to CAAT;
- (c) The AOC holder did not operate more than 6 months continuously from receiving of AOC or suspend operation more than 1 year continuously;
- (d) The expiry date, as applicable.

## **10.7 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. 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.

### 10.8 Forms and Checklists Summary (Certification Phase)

Following lists shall be carried out as 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	CAAT-OPS-TCFM-151	Air Operator Certificate	POI
2	CAAT-OPS-TCFM-152	Operations Specifications	POI
3	CAAT-OPS-TCCL-101	Compliance List for Aeroplane and Helicopter for TCAR OPS Part ORO	POI and Certification Team
4	CAAT-OPS-TCCL-102	Compliance List for Aeroplane and Helicopter TCAR OPS Part CAT	POI and Certification Team
5	CAAT-OPS-TCCL-103	Compliance List for Aeroplane and Helicopter TCAR OPS Part SPA	POI/FOI
6	CAAT-OPS-TCCL-104	Compliance List for Aeroplane AOC TCAR OPS Part CAT.IDE.A	POI/FOI/CSI
7	CAAT-OPS-TCCL-105	Compliance List for Helicopter AOC TCAR OPS Part CAT.IDE.H	POI/FOI
8	CAAT-OPS-TCCL-106	Compliance List for Aeroplane AOC Part CC	CSI
9	CAAT-OPS-TCCL-107	Compliance List for Aeroplane AOC Part SEA	FOI
10	OPS-TCFM-151	AOC Certification Phase	POI and Certification Team

LEGEND		
Form	Checklist	Compliance List

## 10.9 Procedures 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 continuously maintain a record of progress.

Responsible Person	Action(s)	Record
POI and Certification Team	<b>Internal Meeting</b> <ul style="list-style-type: none"> <li>▪ Conduct an internal meeting to ensure that all concerns of the certification team have been addressed, including confirming the details for AOC and OPS SPEC approval. The information to be considered includes:               <ol style="list-style-type: none"> <li>(1) All discrepancies or non-conformities are closed</li> <li>(2) All manuals including MEL are approved</li> <li>(3) All compliance lists are updated and verified</li> <li>(4) Special approval processes are completed</li> <li>(5) Organisational competence, AM and Nominated Holders are accepted</li> <li>(6) Airworthiness requirements are satisfied</li> <li>(7) Confirmation on financial fitness assessment with approved AOL</li> <li>(8) Coordinate with CT, FO, OM, CS, DG (within OPS) and AIR to set up the surveillance programme</li> </ol> </li> </ul>	Note of Action
POI	<b>Payment Process</b> <ul style="list-style-type: none"> <li>▪ Prepare tariff information and process for the Certification fee</li> </ul>	CAAT System
OPS Manager	<ul style="list-style-type: none"> <li>▪ Review tariff information and release to FAD</li> </ul>	CAAT System
Applicant	<ul style="list-style-type: none"> <li>▪ Proceed with Payment Process</li> </ul>	CAAT System
POI	<b>AOC Certification Package Preparation</b> <ul style="list-style-type: none"> <li>▪ Coordination with AIR and/or Aviation Security as applicable</li> <li>▪ Submit the AOC Certification package for OPS Manager review, which includes:               <ul style="list-style-type: none"> <li>- Draft of Air Operator Certificate (AOC);</li> <li>- Draft of Operations Specifications (OPS SPEC);</li> <li>- Draft of Dangerous Goods Operating License (if applicable);</li> <li>- Draft of Surveillance Programme;</li> </ul> </li> </ul>	Note of Action
OPS Manager	<ul style="list-style-type: none"> <li>▪ Verifies the AOC certification package and all relevant documents and proceed to DGCA</li> </ul>	Note of Action
DGCA or his delegate	<b>AOC Certification Package Approval by DGCA</b> <ul style="list-style-type: none"> <li>▪ Grant an AOC and Operations Specification</li> </ul>	AOC and OPS SPECs

Responsible Person	Action(s)	Record
POI	<b>Invitation Letter to Certification Meeting</b> <ul style="list-style-type: none"> <li>Prepare an invitation letter for Certification Meeting</li> </ul>	Note of Action
POI and Certification Team	<b>Certification Meeting</b> <ul style="list-style-type: none"> <li>Conduct Certification Meeting with the applicant to review overall certification process and result and provide the oversight programme.</li> <li>The meeting should preferably be chaired by DGCA or his delegate.</li> </ul>	Note of Action
POI and Certification Team	<b>Complete Form OPS-TCFM-151</b> <ul style="list-style-type: none"> <li>Complete the Form: AOC Certification Phase (OPS-TCFM-151)</li> </ul>	Note of Action
POI and Certification Team	<ul style="list-style-type: none"> <li>Store all relevant documents of the AOC certification process</li> </ul>	CAAT System

### 10.10 AOC Certification Package

When phases 1-4 are completed, POI, with assistance from the certification team, will produce a set of files to record all AOC certification activity from Phase 1 to Phase 5. The AOC Certification Record Files should be standardized for all AOCs.

## 11 CONTINUED VALIDITY OF AN AOC

### Purpose:

This chapter guides the process for Air Operator Certificate (AOC) to continue the validity.

### References:

1. ICAO Annex 6 Operation of Aircraft Part 1 International Commercial Air Transport
2. ICAO Annex 18 to the Convention on International Civil Aviation, The Safe Transport of Dangerous Goods (AN18)
3. ICAO Doc 8335, Part III: Chapter 7 - Certification Phase
4. ICAO Doc 8335, Part IV: Surveillance of the Operator by the State of the Operator
5. ICAO Doc 9481, Emergency Response Guidance for Aircraft Incidents Involving Dangerous Goods
6. ICAO Doc 9284, Technical Instructions for the Safe Transport of Dangerous Goods by Air (ICAO TI) and supplement
7. Requirement of The Civil Aviation Authority of Thailand No. 68 Application for and issuance of permission for operating Dangerous Goods and Prohibited or Special Handling Items
8. Requirement of the Civil Aviation Authority of Thailand No. 73 on the Operations regarding the Transport of Dangerous Goods and Prohibited or Special Handling Items
9. Regulation of The Civil Aviation Authority of Thailand No.26 on Air Operator Certificate
10. Regulation of The Civil Aviation Authority of Thailand No.27 on Operations of the Air Operator
11. Thailand Civil Aviation Regulation - Air Operations (TCAR OPS)
12. 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
13. 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 with Amendment No.2 (B.E.2560) and No. 3 (B.E.2561)
14. Flight Operations Standards Department Manual (OPSM)
15. Flight Operation Inspector Manual Volume II (TFOIM II) and Flight Operation Inspector Manual Volume III (TFOIM III)
16. Dangerous Goods Inspection Manual (TDGIM)
17. Cabin Safety Inspection Manual (TCSIM)

### 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 for AOC inspection/certification, all phases, including coordination with other department inspectors and required resources allocation.
3. FOI/CSI/OMI/DGI/AWI/AVSEC each authorised inspector shall conduct the inspections to ensure the compliance of operations with relevant regulations/requirements and manual approval (prior approval) and report to respective POI/FOI and OPS Manager.

## 11.1 General

- (a) The continued validity of an Air Operator Certificate (AOC) is dependent upon an operator maintaining the requirements for an adequate organisation, 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.

Ensuring adherence to Chapter 4/1 of the Air Navigation Act B.E 2497, along with its air operations prerequisites and the TCAR, while considering the stipulations concerning findings management as outlined in ORO.GEN.150.

The operator is granted access to the CAAT, as defined in ORO.GEN.140, to assess ongoing compliance with the provisions of the Air Navigation Act B.E 2497 and the TCAR. Additionally, the certificate must not be surrendered, revoked, or expired.

- (b) CAAT will conduct continuing surveillance of the Air Operator and thus continuously determine that the Air Operator Certificate (AOC) remain valid. Procedures for the establishment and implementation of an annual surveillance plan are outlined in TFOIM II Chapter 13 for Continuing Safety Oversight - Surveillance.
- (c) The Air Operator needs to apply for the Continuing Validity of an AOC before the expiration date. The authorised operation for which the Air Operator intends to apply for the Continuing Validity of an AOC shall be the existing and active specific approval that has been granted.
- (i) The application for Continuing Validity of an Air Operator Certificate (AOC) with Dangerous Goods Authorisation should be submitted at least 150 days before the AOC's expiration date.
  - (ii) The certification shall be issued no more than 45 days before the expiration of the original certification, with continuous effect from the original certification.
  - (iii) The certificate is valid for five (5) years

## 11.2 Fees for Aviation Regulatory Services

In accordance with 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, a fee imposed by these announcements to issue certificates, licenses, permits, and other approval for the grant or issue of the authorisation.

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

## 11.3 Team Members

The inspection team may comprise aviation safety inspectors and related departments, as outlined below:

- Principal Operations Inspector (POI) as a Project Manager
- Flight Operations Inspector (FOI)
- Cabin Safety Inspector (CSI)
- Operations Management Inspector (OMI)
- Dangerous Goods Inspector (DGI)
- Airworthiness Inspector (AWI)
- Security Inspector (AVSEC)
- Aviation Safety Management and Standards Assurance Office (SMO); and
- The Economic Regulatory Officer from the Economic Regulation Department (ERD)  
*(if deemed necessary)*

## 11.4 The Continued Validity Process

There are four (4) phases in the Continued Validity of an AOC. Each phase is described in sufficient detail to provide a general understanding of the entire continuing validity process. The four phases are:

- Phase 1: Formal Application Phase
- Phase 2: Document Assessment Phase
- Phase 3: Inspection and Demonstration Assessment Phase
- Phase 4: 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 continued validity to Air Operator Certificate will require aligning their documents in line with CAAT Regulations and will be subjected to the four-phase continuing validity process as detailed in this chapter. However, as specified in parts of this chapter, particularly in the

Inspection and Demonstration Assessment phase, discretion may be exercised by the inspector, if CAAT deems the operator comply with the requirements or base on the appropriateness of the changes request for approval.

### 11.5 Phase 1: Formal Application Phase

The applicant shall submit an intention letter and the application form (CAAT-OPS-TCFM-403) and CAAT-OPS-TDGFM-402 Application for Dangerous Goods Operating License (if applicable), with the following supporting documents for continuing validity certificates. The application package shall be submitted through the CAAT System.

- (a) Documents for the continuing validity of an Air Operator's Certificate
  - i) Copy of the existing AOC;
  - ii) Copy of the existing Operations Specifications and Attachment to Operations and Specifications;
  - iii) Copy of the existing Air Operating License (AOL);
  - iv) Copy of Dangerous Goods Operating License (if applicable)
  - v) List of controlled documents and manuals;
  - vi) Compliance List Part ORO, Part CAT, Part SPA, Part IDE, and Part SEA
    - i. CAAT-OPS-TCCL-101 to CAAT-OPS-TCCL-103 (TCAR OPS Part ORO, Part CAT, Part SPA) for Aeroplane and Helicopter
    - ii. CAAT-OPS-TCCL-104 (TCAR OPS Part IDE.A) for Aeroplane AOC
    - iii. CAAT-OPS-TCCL-105 (TCAR OPS Part CAT.IDE.H) for Helicopter AOC
    - iv. CAAT-OPS-TCCL-106 (TCAR OPS Part CC) for Aeroplane AOC
    - v. CAAT-OPS-TCCL-107 (TCAR OPS Part SEA) for SEA
  - vii) The status of the implementation of the corrective action(s) regarding the existing outstanding findings (if applicable); and
  - viii) Document of security requirements (manuals, training etc.)
- (b) Amendments to the manual and/or information under Regulation of the Civil Aviation Authority of Thailand No. 26 (RCAAT No.26) on the Air Operator Certificate (*if applicable*)
  - i) CAAT-OPS-TCFM-201 Proposed Change to an AOC (PCA) and
  - ii) Operator's Manuals and/or Documents that requires amendment

POI and Certification team will review and assess the application including submitted documents to verify their completeness and accuracy. If the formal application documents package is successful, POI will issue the formal application acceptance letter to the applicant.

However, if any omissions or errors are identified, the POI and inspection team shall notify the operator for correction or for providing additional support documents.

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

*The application and documents will be returned to the operator, accompanied by an explanation of the reasons for the return.*

### **Coordination Procedure of Formal Application Phase**

#### **(a) Coordination with the Economic Regulation Department (ERD)**

POI should coordinate with the Economic Regulation Department (ERD) by submitting OPS-TCFM-161 (Coordination Form - Assessment of General, Legal and Economic Status Checklist) along with a copy of form CAAT-OPS-TCFM-403, Section 3 (Application for Continuing Validity of Air Operator Certificate and/or Dangerous Goods Authorisation) for a financial assessment of the organisation's operating competency in financial health status to ensure the applicant 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 must record pertinent details and store associated documents in the EMPIC system.

## 11.6 Phase 2: Document Assessment Phase

- (a) In the Document Assessment Phase, CAAT has the opportunity to review and assess the entire operations manuals of the applicant to ensure that they accurately reflect the current structure and systems and comply with CAAT requirements.
- (b) Following the formal application package's acceptance, the applicant may intend to submit their revised operations manual for assessment; 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 assessment of the submitted manuals and documents and make effort to complete these assessments in accordance with the agreed-upon schedule of events.
- (d) POI and Certification team shall review and ensure that company manuals are in accordance with regulatory requirements and reflect the company's current situation at the time, safe operating practices, granted Operations Specifications (OPS SPEC), and Authorisation/Condition Limitation.

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

- i) CAAT-OPS-TCFM-201 Proposed Change to an AOC (PCA)
- ii) Compliance List Part ORO, Part CAT, Part SPA, Part IDE, and Part SEA
  - CAAT-OPS-TCCL-101 to CAAT-OPS-TCCL-103 (TCAR OPS Part ORO, Part CAT, Part SPA) for Aeroplane and Helicopter AOC
  - CAAT-OPS-TCCL-104 (TCAR OPS Part IDE.A): for Aeroplane AOC
  - CAAT-OPS-TCCL-105 (TCAR OPS Part CAT.IDE.H): for Helicopter AOC
  - CAAT-OPS-TCCL-106 (TCAR OPS Part CC) for Aeroplane AOC
  - CAAT-OPS-TCCL-107 (TCAR OPS Part SEA) for SEA
- iii) Applicable Checklist in CAAT System.
- (e) If the manual or document is found to be incomplete, inadequate, or non-compliant with regulations, and if it fails to reflect safe operating practices, it is imperative to notify the deficiencies to operator for their correction. The assessment shall continue until satisfactory compliance is achieved. The manual or document must be approved as required by the regulations prior commencing the Inspection and Demonstration Assessment Phase.
- (f) Before proceeding to the next phase, POI and Certification team must record pertinent details and store associated documents in the EMPIC system.

**Note:** CAAT reserves the right to reject an application if the operator fails to correct and submit amended contents within the agreed time frame.

### 11.7 Phase 3: Inspection and Demonstration Assessment Phase

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

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

(a) For Continuing Validity Assessment of AOC

- i) POI and Certification team shall 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 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 Certification team can determine whether the entire scope of the surveillance activities was carried out and completed throughout the surveillance cycle <sup>a)</sup> as indicated in risk-based surveillance planning.
- iii) To commence the Inspection and Demonstration Assessment Phases, POI and Certification team shall be aware of the incomplete surveillance scope and some aspects that require close monitoring to ensure their continued safe operations. If the surveillance scope is incomplete, the surveillance cycle shall be at least 24 months which includes Main Bases Audit A and B for inspection.

(b) For Continuing Validity Assessment of DG Authorisation

Conducting the Dangerous Goods Main Base Audit (DMBA) is required.

- (c) If the Inspection and Demonstration Assessment Phase is required, the effectiveness of the operator's management of the policies, methods, and procedures described in the applicant's manuals and other documents shall be highlighted during this phase. Any non-compliance or deficiencies shall be brought to the attention of the applicant and corrective action shall be taken completed before the certificate is issued.
- (d) Before proceeding to the next phase, POI and Certification team shall record pertinent details and store associated documents in the EMPIC system.

**Note:**

1. *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 (CAAT-OPS-OPSM).*
2. *CAAT reserves the right to reject an application if the operator fails to submit the CAP(s) and the CAP implementation response within the agreed-upon time frame.*

### 11.8 Phase 4: Certification Phase

- (a) POI and the inspection team shall ensure that all discrepancies or non-compliance arising from the previous phase are completely closed. When the assessment has been completed and no significant non-compliance remain, arrangements should be made for the approval letter or the appropriate changes document to an AOC.
- (b) Should there is any subsequent revision to the operator's manual following the inspection and demonstration assessment, the operator shall submit a final revision of the manuals and final compliance list for CAAT approval prior to the conclusion of this phase. When POI and the inspector team review the manuals for CAAT approval, POI and the inspector team must check against the non-compliance that all of the evidence in the record have been included in the manuals and compliance list has been revised to ensure that the regulatory requirements have been addressed in the operator's manuals, programmes and procedures.
- (c) POI and Certification team will prepare the approval letter and relevant document such as an Air Operator Certificate (AOC) and its corresponding Operations Specifications and Attachment to Operations Specifications, Dangerous Goods Operating License (if applicable), which contain authorisations, limitations and provisions specific to an operator's operation.
- (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 proceeding to the next phase, POI and Certification team record pertinent details and store associated documents in the EMPIC system.

### 11.9 Safety assessment of the approval requirement

An AOC will not be granted to an operator, and that AOC should not be renewed unless the operator has demonstrated to CAAT that they are capable of:

- (a) Establish and maintain an adequate organisation;
- (b) Implement and sustain a Compliance Monitoring 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 applicable airworthiness requirements.

### 11.10 Forms and Checklists Summary

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

No	Form code	Form Name	Inspection By
1	<b>OPS-TCFM-161</b>	Coordination Form - Assessment of General, Legal and Economic Status Checklist	Economic Regulation Department (ERD)
2	<b>CAAT-OPS-TCFM-403</b>	The Continued Validity to Air Operator Certificate	POI and Inspection Team
3	<b>CAAT-OPS-TDGFM-402</b>	Application for Dangerous Goods Operating License (Thai Air Operator)	POI and Inspection Team
4	<b>CAAT-OPS-TCFM-201</b>	Proposed Change to an AOC (PCA)	POI and Certification Team
5	<b>CAAT-OPS-TCCL-101</b>	Compliance List for Aeroplane and Helicopter TCAR OPS Part ORO	POI and Inspection Team
6	<b>CAAT-OPS-TCCL-102</b>	Compliance List for Aeroplane and Helicopter TCAR OPS Part CAT	POI and Inspection Team
7	<b>CAAT-OPS-TCCL-103</b>	Compliance List for Aeroplane and Helicopter TCAR OPS Part SPA	POI and Inspection Team
8	<b>CAAT-OPS-TCCL-104</b>	Compliance List for Aeroplane AOC TCAR OPS Part CAT.IDE.A	POI and Inspection Team
9	<b>CAAT-OPS-TCCL-105</b>	Compliance List for Helicopter AOC TCAR OPS Part CAT.IDE.H	POI and Inspection Team
10	<b>CAAT-OPS-TCCL-106</b>	Compliance List for Aeroplane AOC Part CC	CSI
11	<b>CAAT-OPS-TCCL-107</b>	Compliance List for Aeroplane AOC Part SEA	POI and Inspection 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 applicant's manuals and other documents.

NO	Checklist code	Checklist Name	Inspection By
<b>Document Assessment Phase</b>			
1		<b>Refer to TFOIM Volume II Chapter 8</b>	POI and Certification Team
<b>Inspection and Demonstration Assessment Phase</b>			
2		<b>Refer to TFOIM Volume II Chapter 9</b>	POI and Certification Team

LEGEND		
Form	Checklist	Compliance List

### 11.11 Procedures Summary

The procedures as below are listing the sequence of persons responsible, action and record for processing the Continued Validity of an AOC and/or DG Authorisation which POI shall maintain the continuous progress.

Responsible Person(s)	Action	Record
<b>Phase 1: Formal Application Phase</b>		
Applicant	<b>Application for Continued Validity of an AOC</b> Completes and submits; <ul style="list-style-type: none"> <li>▪ Application for Continued Validity of an AOC;</li> <li>▪ Application for Dangerous Goods Operating License (Thai Air Operator) <i>(if applicable)</i>;</li> <li>▪ Amendments to the manual and/or information <i>(if applicable)</i>;</li> <li>▪ The required documents in item 11.5</li> </ul>	Application
OPS Manager	<b>POI and Certification Team Assignment</b> <ul style="list-style-type: none"> <li>▪ Review the Continued Validity of an AOC application package submitted through the CAAT System and assigned to respective POI and certification team.</li> </ul>	CAAT System
POI and Certification Team	<b>Certification Team Coordination</b> <ul style="list-style-type: none"> <li>▪ Coordinate with the Airworthiness and Aircraft Engineering Department (AIR) for inspector delegation.</li> <li>▪ 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 <code>sfd_os@caat.or.th</code>.</li> <li>▪ Coordinate with the Economic Regulation Department (ERD) by submitting <b>OPS-TCFM-161</b> (Coordination Form - Assessment of General, Legal and Economic Status Checklist) along with a copy of the form <b>CAAT-OPS-TCFM-403</b>, Section 3 (Application for Continued Validity of an AOC).</li> </ul>	Internal Coordination
POI and Certification Team	<b>Internal Meeting</b> <ul style="list-style-type: none"> <li>▪ Arrange an internal meeting with certification team members.</li> </ul>	Note of Action
POI / Assigned Inspectors	<b>Payment Process</b> <ul style="list-style-type: none"> <li>▪ Prepare the tariff information for the application fee to the Financial and Accounting Department (FAD)</li> </ul>	CAAT System
Applicant	<ul style="list-style-type: none"> <li>▪ Complete the application payment process within the specified time frame.</li> </ul>	CAAT System

Responsible Person(s)	Action	Record
POI	<ul style="list-style-type: none"> <li>Ensure that the payment process has been completed.</li> </ul>	CAAT System
POI and Certification Team	<p><b>Application Package Review</b></p> <ul style="list-style-type: none"> <li>Review application packages and relevant documents for completeness.</li> </ul> <p><b>Application Acceptance Letter</b></p> <ul style="list-style-type: none"> <li>Prepare application acceptance letter.</li> </ul>	Note of Action
OPS Manager	<ul style="list-style-type: none"> <li>Review the application acceptance letter.</li> </ul>	Note of Action
DGCA or his delegation	<ul style="list-style-type: none"> <li>Grant the proposed acceptance letter.</li> </ul>	Note of Action
POI and Certification Team	<ul style="list-style-type: none"> <li>Inform the applicant to collect the application acceptance letter.</li> <li>Store and record all information and relevant documentation in CAAT system.</li> </ul>	Note of Action and CAAT System
<b>Phase 2: Document Assessment Phase</b>		
POI and Certification Team	<p><b>Document Assessment</b></p> <ul style="list-style-type: none"> <li>Assess and ensure that company manuals and training programs comply with current regulations.</li> </ul>	CAAT System
POI and Certification Team	<p><b>Non-Compliance Management</b></p> <ul style="list-style-type: none"> <li>Complete checklists (as applicable)</li> <li>Raise non-compliance(s) and notify the applicant and POI through the applicable CAAT communication system.</li> </ul>	CAAT System
Applicant	<ul style="list-style-type: none"> <li>Addresses non-compliance(s).</li> <li>Submits corrective actions to the POI or inspector and amends the manual as applicable.</li> </ul>	CAAT System
POI and Certification Team	<ul style="list-style-type: none"> <li>Review submitted corrective actions and handle the resubmission of the operations manual.</li> </ul>	CAAT System
POI / Assigned Inspectors	<ul style="list-style-type: none"> <li>Consider the approval process in accordance with ORO.GEN.130. Proceed with: <ul style="list-style-type: none"> <li>(List of Approval (LoA)) for the Director-General to approve the changes requiring approval.</li> </ul> </li> </ul>	Note of Action
POI / Assigned Inspectors	<ul style="list-style-type: none"> <li>Inform the readiness of LoA to the operator.</li> </ul>	Note of Action
Applicant	<p><b>FOSD System Upload</b></p> <ul style="list-style-type: none"> <li>Upload the final version of the operation manuals to the CAAT's FOSD system.</li> </ul>	CAAT System

Responsible Person(s)	Action	Record
POI	<ul style="list-style-type: none"> <li>Review and accept all manuals in the CAAT's FOSS system.</li> </ul>	CAAT System
POI and Certification Team	<ul style="list-style-type: none"> <li>Store and record all information and relevant documentation in CAAT system.</li> </ul>	Note of Action and CAAT System
<b>Phase 3: Inspection and Demonstration Assessment Phase</b>		
POI and Certification Team	<p><b>Safety and Compliance Performance Analysis</b></p> <ul style="list-style-type: none"> <li>Conduct an analysis on the results of the applicant's previous oversight programme to evaluate the applicant's safety and compliance performance, and to determine whether the Inspection and Demonstration Assessment Phase is required.</li> <li>If required, the purpose date of the audit/inspection shall be scheduled.</li> </ul>	Note of Action
POI / Inspectors	<p><b>Payment Process</b></p> <ul style="list-style-type: none"> <li>Prepare the tariff information for the audit/inspection fee to the Financial and Accounting Department (FAD)</li> </ul>	CAAT System
Applicant	<ul style="list-style-type: none"> <li>Complete the audit/inspection payment process within the specified time frame.</li> </ul>	CAAT System
POI	<ul style="list-style-type: none"> <li>Ensure that the payment process has been completed.</li> </ul>	CAAT System
POI and Certification Team	<p><b>Audit/Inspection Preparation Meeting</b></p> <ul style="list-style-type: none"> <li>Conduct the audit/inspection preparation meeting to discuss the audit schedule, audit criteria, roles and responsibilities, and document preparations before commencing the Inspection and Demonstration Assessment phase.</li> <li>Issue and notify the audit/inspection notification to the applicant for Inspection and Demonstration Assessment Phase.</li> </ul>	Note of Action
POI and Certification Team	<p><b>Audit/Inspection</b></p> <ul style="list-style-type: none"> <li>Perform audit/inspection</li> </ul>	Note of Action
POI and Certification Team	<ul style="list-style-type: none"> <li>Complete checklists (as applicable)</li> </ul> <p><b>Non-Compliance Management</b></p> <ul style="list-style-type: none"> <li>Raise non-compliance(s) and notify the applicant and POI through the applicable CAAT communication system.</li> </ul>	CAAT System
Applicant	<ul style="list-style-type: none"> <li>Submit Correction, Root Cause Analysis, Corrective Action Plan and Corrective Action Implementation within agreed timeframe.</li> </ul>	CAAT System
POI and Certification Team	<ul style="list-style-type: none"> <li>Review Correction, Root Cause Analysis, Corrective Action Plan and Corrective Action Implementation for closure of non-compliance.</li> </ul>	CAAT System

Responsible Person(s)	Action	Record
	<ul style="list-style-type: none"> <li>If the submitted Correction, Root Cause Analysis, Corrective Action Plan, and Corrective Action Implementation from the operator are not satisfactory, the inspector may reject them and ask for resubmission with more efficient and evidential references.</li> </ul>	
Operator	<ul style="list-style-type: none"> <li>Submits amended manual to POI or associated inspector.</li> </ul>	CAAT System
POI / Inspectors	<ul style="list-style-type: none"> <li>Consider the approval process in accordance with ORO.GEN.130. Proceed with:               <ul style="list-style-type: none"> <li>(List of Approval (LoA)) for the Director-General to approve the changes requiring approval</li> </ul> </li> </ul>	Note of Action
POI / Inspectors	<ul style="list-style-type: none"> <li>Inform the readiness of LoA to the operator.</li> </ul>	Note of Action
Applicant	<p><b>FOSD System Upload</b></p> <ul style="list-style-type: none"> <li>Upload the final version of the operation manuals to the CAAT's FOSD system.</li> </ul>	CAAT System
POI	<ul style="list-style-type: none"> <li>Review and accept all manuals in the CAAT's FOSD system.</li> </ul>	CAAT System
POI and Certification Team	<ul style="list-style-type: none"> <li>Store and record all information and relevant documentation in CAAT system.</li> </ul>	Note of Action and CAAT System
<b>Phase 4: Certification Phase</b>		
POI / Inspectors	<p><b>Payment Process</b></p> <ul style="list-style-type: none"> <li>Prepare the tariff information for the certification fee to the Financial and Accounting Department (FAD).</li> </ul>	CAAT System
Applicant	<ul style="list-style-type: none"> <li>Complete the certification payment process within the specified time frame.</li> </ul>	CAAT System
POI	<ul style="list-style-type: none"> <li>Ensure that the payment process has been completed.</li> </ul>	CAAT System
POI / Inspectors	<p><b>Final Compliance List</b></p> <ul style="list-style-type: none"> <li>Inform the applicant to submit the applicable Final Compliance List (TCCLs) which reflects the approved manual or document from previous phase.</li> </ul>	Note of Action
Applicant	<ul style="list-style-type: none"> <li>Submit the Final Compliance List (TCCLs) (as applicable to requested change)</li> </ul>	CAAT System

Responsible Person(s)	Action	Record
POI and Certification Team	<p><b>Internal Meeting</b></p> <ul style="list-style-type: none"> <li>▪ Conduct an internal meeting with the certification team to assign and prepare at least the following documentation:               <ul style="list-style-type: none"> <li>(a) Draft of an Air Operator Certificate (AOC);</li> <li>(b) Draft of the Operations Specifications and Attachment to OPS SPEC</li> <li>(c) Draft of the Dangerous Goods Operating License (if applicable);</li> <li>(d) The <b>OPS-TCFM-161</b> Coordination Form, which was completed by the Economic Regulation Department (ERD) during the formal application phase;</li> <li>(e) Completion and correctness of the compliance list;</li> </ul> </li> </ul> <p><b>Continued Validity of an AOC Approval Package Preparation</b></p> <ul style="list-style-type: none"> <li>▪ If the documentation has been prepared and reviewed documentation is correctness and completeness, then submit the completed certification package to OPS Manager.</li> </ul>	Note of Action
OPS Manager	<ul style="list-style-type: none"> <li>▪ Review and verify the correctness of the proposed approval packages.</li> <li>▪ Propose the certificates and packages for DGCA approval</li> </ul>	Note of Action
DGCA or his Delegation	<p><b>Continued Validity of an AOC Approval Package Approval by DGCA</b></p> <ul style="list-style-type: none"> <li>▪ Grant the proposed approval package:               <ul style="list-style-type: none"> <li>- Air Operator Certificate (AOC) (as applicable)</li> <li>- Operations Specifications (OPS Spec) (as applicable)</li> <li>- Dangerous Goods Operating License (if applicable)</li> </ul> </li> </ul>	AOC and OPS SPECs/DG Authorisation <i>(as applicable)</i>
POI and Certification Team	<ul style="list-style-type: none"> <li>▪ Store and record all information and relevant documentation in CAAT system.</li> </ul>	Note of Action and CAAT System

## 12 CHANGES RELATED TO AN AOC HOLDER

### Purpose:

This chapter outlines the process for obtaining prior approval for changes related to an AOC holder as required by TCAR OPS Part ORO.GEN.130, ORO.MLR.100, Part SEA.ORS.125 and for other changes requiring prior approval, which may impact the Air Operator Certificate (AOC), operations specifications, or the operator's management system.

### Reference:

1. ICAO Annex 6 Operation of Aircraft Part 1 International Commercial Air Transport
2. ICAO Annex 18 to the Convention on International Civil Aviation, The Safe Transport of Dangerous Goods (AN18)
3. ICAO Doc 8335 Manual of Procedures for Operations Inspection, Certification and Continued Surveillance
4. ICAO Doc 9481 Emergency Response Guidance for Aircraft Incidents Involving Dangerous Goods
5. ICAO Doc 9284 Technical Instructions for the Safe Transport of Dangerous Goods by Air (ICAO TI) and supplement
6. Requirement of The Civil Aviation Authority of Thailand No. 68 Application for and issuance of permission for operating Dangerous Goods and Prohibited or Special Handling Items
7. Requirement of the Civil Aviation Authority of Thailand No. 73 on the Operations regarding the Transport of Dangerous Goods and Prohibited or Special Handling Items
8. Regulation of The Civil Aviation Authority of Thailand No.26 on Air Operator Certificate
9. Regulation of The Civil Aviation Authority of Thailand No.27 on Operations of the Air Operator
10. Thailand Civil Aviation Regulations – Air Operations (TCAR OPS)
11. 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
12. 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 with Amendment No.2 (B.E.2560) and No. 3 (B.E.2561)
13. Flight Operations Standard Department Manual (OPSM)
14. Flight Operation Inspector Manual Volume II (TFOIM II) and Flight Operation Inspector Manual Volume III (TFOIM III)
15. Dangerous Goods Inspection Manual (TDGIM)
16. Cabin Safety Inspection Manual (TCSIM)

### 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 manuals approval (prior approval) and report to respective POI/FOI and OPS Manager.

## 12.1 General

In accordance with TCAR OPS Part ORO.GEN.130 and other relevant elements, any changes affecting the certificate's scope, operations specifications, or components of the operator's management system requiring prior approval from the CAAT shall follow the Changes Requiring Approval Process. Conversely, any changes that do not require prior approval must be appropriately managed and notified to the CAAT, following the procedures outlined in the operator's manual approved by the CAAT.

Additionally, operators are required to submit applications for the amendment of an Air Operator Certificate (AOC) within the specified timeframe, as required by AMC1.ORO.GEN.130. The submission of such applications should be directed to the CAAT.

## 12.2 Fees for Aviation Regulatory Services

In accordance with 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, a fee imposed by these announcements to issue certificates, licenses, permits and other approval for the grant or issue of the authorisation.

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

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

## 12.3 Team Members

The inspection team may comprise aviation safety inspectors and related departments, as outlined below:

- Principal Operations Inspector (POI) as a Project Manager
- Flight Operations Inspector (FOI);
- 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 deemed necessary*).

## 12.4 Changes Scheme

All modifications and amendments after initial certification of policies, processes, personnel or documentation as applicable by the type of operations shall in principle be considered as a change. The operator's change process shall ensure continued compliance.

In alignment with TCAR OPS GM1 ORO.GEN.130 (a) & (b), which defines the list of changes related to an AOC holder affecting the AOC certificate, operations specifications, or the operator's management system, and other amendments and revision as listed in Table 1, are required to obtain prior approval from the CAAT before implementation.

## 12.5 Classification of Changes

Changes related to an AOC holder and/or amendment and revision are classified into two types, as follows:

- (a) Changes Requiring Prior Approval (CR)
- (b) Changes Not Requiring Prior Approval (CN)

### **Difference between Approval / Non-approval Changes**

CAAT has adopted a risk-based methodology in order to ascertain the verification of compliance for changes, distinguishing between changes that require prior approval and those that do not.

For changes requiring approval, the authority must verify compliance before they are being approved and released for implementation by the organization, whereas non-approvals may be verified for compliance by the authority subsequent to implementation by the operator.

A compliance verification of a change may include:

- an assessment of the changed process(es)/situation
- an evaluation of continued compliance of changed documentation
- an assessment of the transition into operation phase (e.g. ensure safe operation during the implementation of a change including life cycle management as applicable)
- audits and/or inspections

Approval of a change by the CAAT will only be granted once all items requiring approval have been thoroughly assessed and proven to be in compliance, and the transition into operation has been demonstrated to meet acceptable safety standards.

### 12.5.1 Changes Requiring Prior Approval (CR)

For any changes or revision of documents requiring prior approval from the CAAT, as listed in Table 1, the operator shall submit the application and provide any relevant documentation to the CAAT via the CAAT Oversight System for obtaining an approval issued by the CAAT. The operator must adhere to the application timeframe outlined in AMC1 ORO.GEN.130 (a)-(c) to enable the CAAT to assess continued compliance with applicable requirements.

**Table 1- Lists of Amendment and Revision (Changes) Requiring Prior Approval**

Reference	Title and Subject	Remark Applicable
<b>Part ORO.GEN - General Requirement</b>		
ORO.GEN.110 (j)	Dangerous Goods training programmes	
ORO.GEN.120 (d)	Implementation of alternative means of compliance: AMOC	
ORO.GEN.130 (a)	Change affecting the scope of the AOC or the Operation Specification	Change related to AOC and/or OPS SPEC
ORO.GEN.130 (c)	Procedure for the management of changes not requiring prior approval.	
ORO.GEN.200 (a)(1)(i)	Lines of responsibilities and accountabilities;	
ORO.GEN.200 (a)(1)(ii)	Safety policy	
ORO.GEN.210 (a)	Accountable Manager (AM)	Required form CAAT-OPS-TCFM-106
ORO.GEN.310 (b)(c)	Use of aircraft listed on an AOC for NCC and/or SPO operations – transfer of operational control	
<b>Part ORO.AOC - Air Operator Certification</b>		
ORO.AOC.110 (b)	Wet lease-in;	
ORO.AOC.110 (c)	Dry lease-in;	Change related to OPS SPEC
ORO.AOC.110 (d)	Dry lease-out;	Change related to OPS SPEC
ORO.AOC.120	Approvals to provide cabin crew training and to issue cabin crew initial training certificate	Change related to OPS SPEC
<b>Part ORO.MLR - Manual, Logs and Records</b>		
ORO.MLR.105 (b)	Minimum equipment list and any amendment;	
ORO.MLR.105 (j)	Operation of an aircraft with inoperative instruments, items of equipment or functions outside the constraints of the MEL but within the MMEL;	
<b>Part ORO.FC - Flight Crew</b>		
ORO.FC.145 (c)	Training and checking programme incl. syllabi and the use of individual FSTD <ul style="list-style-type: none"> <li>• Crew resource management (CRM) training [ORO.FC.115, ORO.FC.215]</li> <li>• Operator conversion training [ORO.FC.120, ORO.FC.220]</li> <li>• Differences training and familiarisation training [ORO.FC.130, ORO.FC.230]</li> </ul>	

Reference	Title and Subject	Remark Applicable
	<ul style="list-style-type: none"> <li>• Recurrent training and checking [ORO.FC.130, ORO.FC.230]</li> <li>• Pilot qualification to operate in either pilot's seat – Aeroplane: RHS [ORO.FC.135, ORO.FC.235]</li> <li>• Pilot qualification to operate in either pilot's seat – Helicopter: RHS [ORO.FC.135, ORO.FC.236]</li> <li>• Operation on more than one type or variant [ORO.FC.140, ORO.FC.240]</li> <li>• Single-pilot operations under IFR or at night [ORO.FC.202]</li> <li>• Command course [ORO.FC.205]</li> <li>• Other flight crew training and checking programmes [e.g. Line Training Captain, Line Check Captain, CRM Instructor Training, etc.]</li> </ul>	
<b>ORO.FC.231</b>	Evidence-based training	
<b>ORO.FC.240 (a)</b>	Procedures or operational restrictions for operation on more than one type or variant	
<b>ORO.FC.A.245 (b)</b>	Alternative training and qualification programme (ATQP) Flight Crew Training and Qualification Proficiency	
<b>ORO.FC.A.245 (e)</b>	Extension of the validity periods of the checks in ORO.FC.230 (after 2 years of operating with ATQP)	
<b>Part ORO.CC - Cabin Crew</b>		
<b>ORO.CC.100 (d)</b>	Non-commercial operation with MOPSC >19, without Cabin Crew	
<b>ORO.CC.215 (a)</b>	Training and checking programmes and related documentation incl. syllabi <ul style="list-style-type: none"> <li>• Initial training course [ORO.CC.120]</li> <li>• Aircraft type specific training and operator conversion training [ORO.CC.125]</li> <li>• Differences training [ORO.CC.130]</li> <li>• Familiarisation [ORO.CC.135]</li> <li>• Recurrent training [ORO.CC.140]</li> <li>• Refresher training [ORO.CC.145]</li> <li>• Senior cabin crew member [ORO.CC.200 (c)]</li> <li>• Single cabin crew member operations - (c) additional training elements [ORO.CC.255 (c)]</li> </ul>	
<b>ORO.CC.250 (a)</b>	Assignment to operate on four aircraft types	
<b>Part ORO.FOO/FD - Flight Operations Officer/Flight Dispatcher</b>		
<b>ORO.FOO/FD.131 (a)</b>	Training and checking programmes and related documentation incl. syllabi <ul style="list-style-type: none"> <li>• Initial training programme [ORO.FOO/FD.100]</li> <li>• Operator Conversion (Operator-Specific) training [ORO.FOO/FD.110]</li> <li>• Differences training and Familiarisation training [ORO.FOO/FD.115]</li> <li>• Recurrent training and checking [ORO.FOO/FD.120]</li> <li>• New route/destination training [ORO.FOO/FD.125]</li> </ul>	

Reference	Title and Subject	Remark Applicable
	<ul style="list-style-type: none"> <li>Other FOO/FD training and checking programmes</li> </ul>	
<b>Part ORO.FTL/FTLS - Flight and Duty Time Limitations and Rest Requirements</b>		
ORO.FTL.125 ORO.FTLS.125	Flight time specification schemes, including any related to FRM	
<b>Part CAT - Commercial Air Transport</b>		
CAT.GEN.MPA.155	Carriage of weapons of war and munitions of war	
CAT.GEN.MPA.200	Transport of dangerous goods	
CAT.OP.MPA.110 (d)	Method used by the operator to establish aerodrome operating minima	
CAT.OP.MPA.115 (a), (b)	(a) Approval for a particular approach not flown as stabilised approach; (b) Approach flight technique other than Continuous Descent Final Approach (CDFA)	
CAT.OP.MPA.140(a)(2)	Maximum distance from an adequate aerodrome for two-engined aeroplanes without an ETOPS/EDTO Approval (Approval for up to 180 min)	
CAT.OP.MPA.145 (b)	Method for establishing minimum flight altitudes	
CAT.OP.MPA.180 (c)	Fuel/energy scheme – aeroplane	
CAT.OP.MPA.190	Fuel/energy scheme – helicopter	
CAT.OP.MPA.182 (d)(2)	Use of an isolated aerodrome as destination aerodrome. <i>Note: Use of an isolated aerodrome is prohibited in revenue flights</i>	
CAT.OP.MPA.200 (c)	Special refuelling or defuelling of the aircraft	
CAT.OP.MPA.270 (b)	Procedures to descend below specified minimum flight altitude	
CAT.OP.MPA.312 (c)	EFVS 200 operations	
CAT.OP.MPA.320 (d)	Application of lower landing mass - for a lower category	
CAT.POL.A.240	Approval of operations with increased bank angles	
CAT.POL.A.245	Approval of steep approach operations (4.5 degrees or more)	
CAT.POL.A.250	Approval of short landing operations	
CAT.POL.A.255	Approval of reduced required landing distance operations	
CAT.POL.H.225	Helicopter operations to/from public interest site	
CAT.POL.H.305	Helicopter operations without an assured safe forced landing capability	
CAT.POL.H.420	Helicopter operations over a hostile environment	
CAT.POL.MAB.100 (f)	Use of standard masses for other load items than passenger and checked baggage	
<b>Part SPA - Operations requiring Specific Approval (SPA)</b>		
SPA.PBN.100	PBN operational Approval (RNP AR APCH, RNP 0.3 (H))	Change related to OPS SPEC
SPA.MNPS.100	MNPS operational approval (NAT HLA)	
SPA.RVSM.100	RVSM operational approval	
SPA.LVO.100 (a)	Low Visibility Operations – Take off	
SPA.LVO.100 (b)	Low Visibility Operations – Approach	
SPA.LVO.100 (c)	Low Visibility Operations – Operations with operational credits	

Reference	Title and Subject	Remark Applicable
SPA.EDTO.100	EDTO operational approval	
SPA.DG.100	Approval to transport dangerous goods	
SPA.NVIS.100	NVIS – Night Vision Imaging System operations	
SPA.HHO.100	HHO – Helicopter Hoist Operations	
SPA.HEMS.100	HEMS – Helicopter Emergency Medical Service Operations	
SPA.HOFO.105	HOFO – Helicopter Offshore Operations	
SPA.SET-IMC.105	SET-IMC operations approval	
SPA.EFB.100 (a)	Use of electronic flight bags (EFB)	
SPA.EFB.100 (b)	Use of type B EFB application	
SPA.PINS-VFR	PINS – Helicopter Point-in-Space (PinS) approaches and departure with reduced VFR minima	
<b>TCAR OPS Part – SEA</b>		
<b>Part SEA.ORS - Organisation Requirements for seaplane operations</b>		
SEA.ORS.125 (a)(1)	Change affecting the scope of the AOC or the Operation Specification	
SEA.ORS.125 (b)(4)	Procedure for the management of changes not requiring prior approval.	
SEA.ORS.200 (a)(1)	Lines of responsibilities and accountabilities;	
SEA.ORS.200 (a)(2)	Safety policy	
<b>Part SEA.AOS - Variation of an AOC's Operations Specification</b>		
SEA.AOS.160 (a)	Seaplane Cabin Coordinator Training	
<b>Part SEA.MLR - Manual, Logs and Records</b>		
SEA.MLR.105 (b)	Minimum equipment list and any amendment	
SEA.MLR.105 (j)	Operation of an aircraft with inoperative instruments, items of equipment or functions outside the constraints of the MEL but within the MMEL;	
<b>Part SEA.FC - Flight Crew</b>		
SEA.FC.145 (c)	<p>Training and checking programmes incl. syllabi and the use of individual FSTD or in-aircraft training</p> <ul style="list-style-type: none"> <li>• Crew resource management (CRM) training [SEA.FC.115, SEA.FC.215]</li> <li>• Operator conversion training [SEA.FC.120, SEA.FC.220]</li> <li>• Differences and familiarisation training [SEA.FC.125]</li> <li>• Recurrent training and checking [SEA.FC.130, SEA.FC.230]</li> <li>• Pilot qualification to operate in either pilot's seat – Seaplane: RHS [SEA.FC.135]</li> <li>• Operation on more than one type or variant [SEA.FC.140, SEA.FC.240]</li> <li>• Command course [SEA.FC.205]</li> <li>• Other flight crew training and checking programmes [e.g. Line Training Captain, Line Check Captain, CRM Instructor Training, etc.]</li> </ul>	
SEA.FC.240 (a)	Procedures or operational restrictions for operation on more than one type or variant	

Reference	Title and Subject	Remark Applicable
<b>Part SEA.FTLS - Flight and Duty Time Limitations and Rest Requirements</b>		
<b>SEA.FTLS.125 (b)</b>	Flight time specification schemes, including any related to FRM	
<b>Part SEA.CSO – Commercial Seaplane Operations</b>		
<b>SEA.CSO.141</b>	Use of electronic flight bags (EFB)	
<b>SEA.CSO.OP.145 (b)</b>	Method for establishing minimum flight altitudes	
<b>SEA.CSO.OP.150 (a)</b>	Fuel policy	
<b>SEA.CSO.OP.270 (b)</b>	Procedures to descend below specified minimum flight altitude	

### Changes Requiring Prior Approval Process

All changes requiring prior approval from the CAAT shall be approved by the CAAT before implementation. An approval will be evidenced by the signature of the Director General, or a delegated person of the approving official, the issuance of a document or certificate, or some other formal action taken by the CAAT.

There are four (4) phases in the Changes Requiring Prior Approval Process. Each phase is described in sufficient detail to provide a general understanding of the entire prior approval process. The four phases are:

- (a) Phase 1: Application Phase
- (b) Phase 2: Document Assessment Phase
- (c) Phase 3: Inspection and Demonstration Assessment Phase (if applicable)
- (d) Phase 4: 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 changes related to an AOC holder and/or amendment and revision requiring prior approval will require aligning their documentations in line with CAAT Regulations and will be subjected to the four-phase prior approval process as detailed in this chapter. However, as specified in parts of this chapter, particularly in the demonstration and inspection assessment phase, discretion may be exercised by the inspector, if CAAT deems the operator complies with the requirements or base on the appropriateness of the changes request for approval.

**Note:** *The Changes Requiring Prior Approval Process for Amendment and Revision (Changes) requiring prior approval that affects the AOC, the Operations Specifications or manual may be complex or less complex, depending on the nature of the amendment.*

### 12.5.1.1 Application Phase

- (a) Operators are required to submit the CAAT-OPS-TCFM-201 Proposed Change to an AOC (PCA), and CAAT-OPS-TDGFM-402 Application for Dangerous Goods Operating License (Thai Air Operator), and CAAT-OPS-TCFM-106 Nomination for Air Operator Personnel (as applicable), accompanied by an intention letter requesting the desire to apply for changes through the CAAT System. The submission should include the necessary completed information to accurately represent the requested change(s), which includes the following documents at a minimum:

#### **Document Submission to CAAT**

1. **CAAT-OPS-TCFM-201:** Proposed Change to an AOC (PCA);
2. **Compliance List** Part ORO, Part CAT, Part SPA, Part IDE, Part SEA (as applicable to the requested changes)

If the change requires an amendment to the Operations Manual(s), the following are required:

3. **Draft of the proposed documentation to be changed**, such as Operations Manual (for the entire manual) or relevant documents;
4. **Summary of changes**<sup>1</sup> together with the chapter/section/item references (as applicable)

Additionally, the following documents are necessary depending on the type of change requiring prior approval.

5. If the changes are related to amendments to the information in the OPS SPEC, submission of CAAT-OPS-TCFM-102: Application for Operations Specification, together with the required supporting documents, is required.
6. Risk Assessment documentation, including the associated mitigation measures (upon request);
7. If the operator wishes to request a change related to the specific approval for Dangerous Goods, submission of the CAAT-OPS-TDGFM-402: Application for Dangerous Goods Operating License (Thai Air Operator) along with Dangerous Goods Manual and Dangerous Goods Training Programme are required.
8. Manufacturer/OEM documents or technical documents (e.g., AFM, MMEL, OSD, etc.) to demonstrate compliance with regulatory requirements (if applicable);
9. CAAT-OPS-TCFM-106 Nomination for Air Operator Personnel (required for changes in management personnel);
10. CAAT-OPS-TCFM-107 Schedule of event (if applicable); and
11. Any other documentation specified by CAAT.

**Note 1 – ‘Summary of Changes’-** The extent of modifications in a document revision denotes or pertains to all chapters and sections that have been removed, altered, and newly introduced in this revision. This may also be referred to as 'change log'.

Note: This information may be provided in any form upon agreement with CAAT (e.g. within the operator’s tool; as a separate list etc.)

- (b) Following the application and documentation, the operator may intend to submit their revised operations manual for assessment; normally, these documents should be submitted during the Document Assessment Phase, but if not, the schedule of events should clearly state when each specific document/manual will be submitted.
- (c) POI and inspection team will review and check the completeness of application and submitted documents to ensure that the required information and attachments are included.

If the submission of the application package is complete and successful, the POI should notify the operator of its acceptance.

However, if any omissions or errors are identified, the POI and inspection team shall notify the operator for correction or for providing additional support documents.

***Note:*** CAAT reserves the right to reject an application if the operator fails to complete and submit all required documents within 30 days from the date of notification. The application and documents will be returned to the operator, accompanied by an explanation of the reasons for the return.

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

### 12.5.1.2 Document Assessment Phase

- (a) The inspection team is required to initiate a comprehensive assessment of all manuals and documents to adhere to the agreed-upon schedule of events.
- (b) POI and the inspection team is required to review and ensure that company manuals are in accordance with regulatory requirements and reflect the company's current situation at the time, safe operating practices, operations specifications (Ops Spec) granted, and Authorisation, Conditions, and Limitations.

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

- i) CAAT-OPS-TCFM-201: Proposed Change to an AOC (PCA);
- ii) Compliance List Part ORO, Part CAT, Part SPA, and Part IDE
  - CAAT-OPS-TCCL-101 to CAAT-OPS-TCCL-103 (TCAR OPS Part ORO, Part CAT) for Aeroplane and Helicopter AOC
  - CAAT-OPS-TCCL-104 (TCAR OPS Part IDE.A): for Aeroplane AOC
  - CAAT-OPS-TCCL-105 (TCAR OPS Part CAT.IDE.H): for Helicopter AOC
  - CAAT-OPS-TCCL-106 (TCAR OPS Part CC) for Aeroplane AOC
  - CAAT-OPS-TCCL-107 (TCAR OPS Part SEA) for Aeroplane AOC Part SEA
- iii) Applicable Checklist(s)
- (c) If the manual or document is found to be incomplete, inadequate, non-compliant with regulations, or fails to reflect safe operating practices, the operator will be notified on the deficiencies for their correction. The assessment will continue until compliance is achieved and is considered satisfactory by the CAAT. The contents of the manual or document must be approved as required by the regulation prior to commencing the Inspection and Demonstration Assessment Phase.
- (d) Before proceeding to the next phase, POI and the inspection team must verify that all pertinent documents are completed and recorded in the CAAT system before proceeding to the next phase.

**Note:** CAAT reserves the right to reject an application if the operator fails to correct and submit amended contents within agreed time frame.

### 12.5.1.3 Inspection and Demonstration Assessment Phase

- (a) Based on the changes category and type, if the Inspection and Demonstration Assessment 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 shall be highlighted during this phase.
- (b) For the request of specific approval for Dangerous Goods, the demonstration and inspection phase is required to assess the operator's facilities, capabilities, training and overall readiness to transport dangerous goods by air safely and in compliance with CAAT regulations.
- (c) Non-compliance or deficiencies shall be brought to the attention of the operator and corrective action shall be completed before a certificate is issued.
- (d) POI and the inspection team must verify that all pertinent documents are completed and recorded in the CAAT system before proceeding to the next phase.

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

#### 12.5.1.4 Certification Phase

- (a) POI and the inspection team shall ensure that all discrepancies or non-compliance arising from the previous phase are completely closed. When the assessment has been completed and no significant non-compliance remains, arrangements should be made for the approval letter and the appropriate changes document to an AOC or Operations Specifications, as applicable.
- (b) Should there be any subsequent revision to the operator's manual following the inspection and demonstration assessment, the operator shall submit a final revision of the manuals and final compliance list for CAAT approval prior to the conclusion of this phase. When the POI and the inspection team review the manuals for CAAT approval, POI and the inspection team must check against the non-compliance that all the evidence have been addressed in the manuals and the relevant compliance list(s) have been revised to ensure that the regulatory requirements have been addressed in the operator's manuals, programmes and procedures.
- (c) POI and the inspection team will prepare the **List of Approval (LoA)<sup>1</sup>, Release of Documentation (RoD)<sup>2</sup>** and relevant documents such as an Air Operator Certificate (AOC) and its corresponding Operations Specifications and Attachment to Operations and Specifications, Dangerous Goods Operating License (If Applicable), which contain authorisations, limitations and provisions specific to an operator's operation.

The List of Approval (LoA), AOC and its corresponding OPS Specs shall be granted by the DGCA.

POI and the inspection team must verify that all pertinent documents are completed and recorded in the CAAT system.

**Note 1 – 'List of Approvals (LoA)'**- Formal approvals are granted through the issuance of a LoA. The LoA comprehensively enumerates all the approvals currently possessed by the recipient.

The LoA encompasses the dates of both the initial granting and the most recent alteration of an approval. In the event that a process or content that necessitates prior approval is newly granted, modified, or revoked, the LoA will be revised accordingly.

It should be noted, however, that the LoA is not considered to be part of the Operations Manual (OM), but rather an autonomous document serving as substantiating evidence.

**Note 2 – 'Release of Documentation (RoD)'** – A Release of the Document (RoD) will be provided by the CAAT to confirm that CAAT has acknowledged of receipt. It does not imply approval of any manuals or documentation. It remains the responsibility of the operator to ensure full compliance with applicable regulations, and to amend the manuals or documentation accordingly if any non-compliance is identified.

A RoD may be issued for each publication change that enters into force (e.g. OM, MEL, or other controlled document revisions). The RoD is provided in electronic (.PDF) format and serves as evidence that CAAT has formally acknowledged of receipt.

The RoD may be incorporated as part of the Operations Manual (OM) or as a standalone document. The operator shall ensure that the RoD is made available to flight crew members through the document distribution system from the effective date of the revision. The RoD may serve as supporting evidence during any inspections, including ramp inspections.

#### **12.5.1.5 Safety assessment of the approval requirement**

An operator shall not be granted the changes related to an AOC holder and/or amendment and revision require prior approval unless the following conditions are met:

The operator can demonstrate the ability to:

- (a) Establish and maintain an adequate organisation.
- (b) Establish and maintain a systematic compliance monitoring and safety management system.
- (c) Comply with the existing CAAT regulations for the related change 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 organisations.

The maintenance system has been approved by CAAT in accordance with CAAT Regulation (GMM and Maintenance Programme).

### 12.5.2 Changes NOT Requiring Prior Approval (CN)

Any changes or revisions in documentation not explicitly listed in Table 1, but not limited to these, are to be categorized as changes that do not require prior approval. Nevertheless, these amendments or revisions shall be submitted to the CAAT via the CAAT Oversight System for assessment, accompanied by at least the following documentation;

#### Document Submission to CAAT

1. **CAAT-OPS-TCFM-201: Proposed Change to an AOC (PCA); and**

If the change requires an amendment to the Operations Manual(s), the following are required:

2. **Draft of the documentation** to be changed with the notification.
3. **Summary of Changes<sup>1</sup>** together with the chapter/section/item references (as applicable)

**Note 1 – ‘Summary of Changes’-** The extent of modifications in a document revision denotes or pertains to all chapters and sections that have been removed, altered, and newly introduced in this revision. This may also be referred to as 'change log'.

Note: This information may be provided in any form upon agreement with CAAT (e.g. within the operator’s tool; as a separate list etc.)

The CAAT has established a protocol for the systematic management of such changes. Changes not requiring prior approval must still be submitted to the CAAT via the Oversight System along with the required documentation. The designated inspector conducts a cursory review to verify correct classification of the submission, following which a Release of Documentation (RoD) is issued by the CAAT as a mandatory acknowledgement of receipt.

The inspector shall be given a period of 10 days from the date of document submission conduct a detailed compliance evaluation of the submitted documentation. If no objections or prohibitions are raised by the CAAT within this stipulated timeframe, the operator is authorized to implement the change without awaiting a Verification email from the CAAT.

The CAAT reserves authority to direct the operator at any time to immediately amend or revise the relevant procedures accordingly if non-compliances or safety risk considerations are identified.

The two phases of the Changes Not Requiring Prior Approval include:

- Phase 1: Notification Phase
- Phase 2: Document Assessment and Acknowledgement Phase

This procedure is designed to ensure that the changes remain compliant with regulatory requirements and are verified by the CAAT, thereby maintaining consistency in the list of documentation held by the operator and the CAAT.

In some cases, certain changes that are categorized as not requiring prior approval may still require notification to CAAT prior to implementation in order to determine continued compliance, as specified in Table 2.

The submission of additional documents may be required (e.g., a written résumé of the proposed person’s qualifications). CAAT reserves the right to conduct interviews or inspections and to request further evidence to ensure safety and suitability before the change is implemented. For detailed procedures on Changes NOT Requiring Approval, refer to item 12.8.

**Table 2- Lists of Changes NOT Requiring Prior Approval – Details of Notification**

Reference	Title and Subject	Remark Applicable
<b>General Requirements (ORO.GEN)</b>		
<b>ORO.GEN.200/210 (b)</b>	Nominated persons; Safety Manager; Compliance Monitoring Manager	
<b>ORO.AOC.110 (e)</b>	Wet lease-out	
<b>Technical Crew in HEMS, HHO or NVIS Operations (ORO.TC)</b>		
<b>ORO.TC.110</b>	Training and Checking	

**Note:** For changes in management personnel related to the Continuing Airworthiness Management Organization (CAMO), the application and approval process shall be submitted to CAAT AIR, and in parallel, notify to OPS by submission the relevant document in accordance with 12.5.2 Changes Not Requiring Prior Approval (CN) The interview evaluation by the Airworthiness Inspector (AWI) and OPS Inspector the may be conducted at the same time, where applicable.

### 12.5.3 Minimum Submission Timeframes for Changes

Criteria	Submission Timeframe
<b>CAAT Submission for Changes Requiring Prior Approval (CR)</b>	<ul style="list-style-type: none"> <li>▪ Submit revised manual/document as draft <b>at least 30 days</b> before the date of the intended changes</li> <li>▪ In case of unforeseen changes: inform CAAT <b>at the earliest opportunity</b></li> <li>▪ For planned change of an Accountable Manager, Inform CAAT <b>at least 20 days</b> before the date of the proposed change</li> </ul>
<b>CAAT Submission for Changes Not Requiring Prior Approval (CN)</b>	<ul style="list-style-type: none"> <li>▪ Submit revised manual/document as draft <b>at least 10 days</b> before the date of the intended changes</li> <li>▪ In case of unforeseen changes: inform CAAT <b>at the earliest opportunity</b></li> <li>▪ For planned change of a Nominated Person, Safety Manager, and Compliance Monitoring Manager (if applicable) Inform CAAT <b>at least 20 days</b> before the date of the proposed change</li> </ul>

**12.5.4 Summary Table (for changes to an AOC Holder)**

Change Process	Code	Submission (Days before Intended Change)	CAAT Oversight	Certification	Certification Fee	Authorization
Changes Requiring Approval	CR	30 (See Note 1)	Approval	LoA	Yes	1. DGCA 2. OPS Manager
Changes <u>Not</u> Requiring Approval	CN	10 (See Note 1)	Acceptance (See Note 2)	Verification email	No	1. OPS Manager

**Note:**

1. For details on submission timeframe, refer to Item 12.5.3. Timeframe may vary depending on circumstances (change in nominated postholder, unforeseen, etc.)
2. If no objections or prohibitions are raised by the CAAT within 10 days, the operator is authorized to implement the change without awaiting a Verification email from the CAAT.

## 12.6 Forms and Checklists Summary

The following forms shall be utilized, as applicable to the change, to confirm maintenance of an adequate organization, systematic processes, and compliance with existing CAAT regulations.

No	Form code	Form Name	Inspection By
1	CAAT-OPS-TCFM-101	Application for Air Operator Certificate (if applicable)	POI and Inspection Team
2	CAAT-OPS-TCFM-102	Application for Operations Specifications (if applicable)	POI and Assigned Inspector
3	CAAT-OPS-TDGM-402	Application for Dangerous Goods Operating License (Thai Air Operator) (if applicable)	POI and Assigned Inspector
4	CAAT-OPS-TCCL-101 to CAAT-OPS-TCCL-107	Compliance List for Aeroplane and Helicopter TCAR OPS (CAAT-OPS-TCCL-101 to CAAT-OPS-TCCL-107) as applicable to the change;	POI and Inspection Team
5	CAAT-OPS-TCFM-106	Nomination for Air Operator Personnel (if applicable)	POI and Inspection Team ( <i>if applicable</i> )
6	CAAT-OPS-TCFM-107	Schedule of Event Form (if applicable)	POI and Inspection Team ( <i>if applicable</i> )
7	CAAT-OPS-TCFM-201	Proposed Change to an AOC (PCA)	POI and Inspection 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 relevant documents.

No	Checklist code	Checklist Name	Inspection By
<b>Document Evaluation Phase</b>			
1		Refer to TFOIM Volume II Chapter 8	POI and Variation Team
<b>Demonstration and Inspection Phase</b>			
2		Refer to TFOIM Volume II Chapter 9	POI and Variation Team

LEGEND		
Form	Checklist	Compliance List

## 12.7 Procedures Summary for Changes Requiring Approval Process (CR)

The procedure below lists the sequence of actions and persons responsible for processing the changes related to an AOC holder and/or amendment or revision require prior approval. In addition to the records listed in the procedure, the POI shall continuously maintain a record of progress.

Responsible Person(s)	Action	Record
<b>Phase 1: Application Phase</b>		
Operator	<p><b>Application for Change Requiring Approval</b></p> <ul style="list-style-type: none"> <li>▪ Complete and submits;               <ol style="list-style-type: none"> <li>1. <b>CAAT-OPS-TCFM-201:</b> Proposed Change to an AOC (PCA)</li> </ol> <p>If the change requires an amendment to the AOC and/or OPS SPEC the following form are required:</p> <ol style="list-style-type: none"> <li>2. <b>CAAT-OPS-TCFM-101:</b> Application for Changes to an Air Operator Certificate (If applicable)</li> <li>3. <b>CAAT-OPS-TCFM-102:</b> Application for Operations Specifications (If applicable)</li> <li>4. <b>Compliance List</b> Part ORO, Part CAT, Part SPA, Part IDE, Part CC, and Part SEA (as applicable to the requested changes)</li> </ol> <p>If the change requires an amendment to the Operations Manual(s), the following are required:</p> <ol style="list-style-type: none"> <li>5. <b>Draft of the proposed documentation to be changed</b>, such as Operations Manual or relevant documents;</li> <li>6. <b>Summary of changes</b> together with the chapter/section/item references (as applicable)</li> </ol> <p>Additionally, the following documents are necessary depending on the type of change requiring prior approval.</p> <ol style="list-style-type: none"> <li>7. <b>Risk Assessment documentation</b>, including the associated risk assessment and mitigation measures (upon request);</li> <li>8. CAAT-OPS-TDGM-402 , Application for Dangerous Goods Operating License (Thai Air Operator) (if applicable)</li> <li>9. Manufacturer/OEM documents or technical documents (e.g., AFM, MMEL, OSD, etc.) to demonstrate compliance with regulatory requirements (if applicable);</li> <li>10. CAAT-OPS-TCFM-106 Nomination for Air Operator Personnel (required for changes in management personnel);</li> <li>11. CAAT-OPS-TCFM-107 Schedule of event (if applicable); and</li> <li>12. Any other documentation specified by CAAT.</li> </ol> </li> </ul>	
OPS Manager	<p><b>POI and Certification Team Assignment</b></p> <ul style="list-style-type: none"> <li>▪ Review the application package submitted through the CAAT System and assign respective POI and inspection team.</li> </ul>	CAAT System

Responsible Person(s)	Action	Record
POI and Inspection Team	<b>Inspection Team Initial Coordination</b> <ul style="list-style-type: none"> <li>Coordinate with the Airworthiness and Aircraft Engineering Department (AIR) for inspector delegation.</li> <li>Coordinate with Aviation Safety Management and Standards Assurance Office (SMO) (as applicable to requested change)</li> <li>Coordinate with the Aviation Security and Facilitation Standards Department (SFD) for inspector delegation and confirm receiving of the operator's Security Documentation that submitted directly to the SFD's email <a href="mailto:sfd_os@caat.or.th">sfd_os@caat.or.th</a> (as applicable to requested change)</li> <li>Coordinate with the Economic Regulation Department (ERD) (as applicable to requested change)</li> </ul>	Internal Coordination
POI and Inspection Team	<b>Internal Meeting</b> <ul style="list-style-type: none"> <li>Arrange an internal meeting with inspection team members.</li> </ul>	Note of Action
POI and Inspection Team	<b>POI and Inspection Team Assignment</b> <ul style="list-style-type: none"> <li>Reviews application package and relevant documents for completeness.</li> </ul>	Note of Action
POI / Inspectors	<ul style="list-style-type: none"> <li>Store all relevant documentation</li> </ul>	CAAT System
<b>Phase 2: Document Assessment Phase</b>		
POI and Inspection Team	<b>Document Assessment</b> <ul style="list-style-type: none"> <li>Assess and ensure the compliance of company manuals and training programs (as applicable) with current regulations as applicable.</li> </ul>	CAAT System
POI and Inspection Team	<ul style="list-style-type: none"> <li>Complete checklists (as applicable)</li> </ul> <b>Non-Compliance Management</b> <ul style="list-style-type: none"> <li>Raise non-compliance(s) and notify the operator and POI through the applicable CAAT communication system.</li> </ul>	CAAT System
Operator	<ul style="list-style-type: none"> <li>Addresses non-compliance(s).</li> <li>Submits corrective actions to the POI or inspector and amends the manual as applicable.</li> </ul>	CAAT System
POI and Inspection Team	<ul style="list-style-type: none"> <li>Review submitted corrective actions and handle the resubmission of the operations manual.</li> </ul>	CAAT System
POI / Inspectors	<ul style="list-style-type: none"> <li>Consider the approval process in accordance with ORO.GEN.130.</li> <li>Proceed with sending email via CAAT system for acceptance the draft of manual/document for inspection (if Phase 3 is required)</li> </ul>	Note of Action
POI and Inspection Team	<ul style="list-style-type: none"> <li>Store all relevant documentation.</li> </ul>	CAAT System

Responsible Person(s)	Action	Record
<b>Phase 3: Inspection and Demonstration Assessment Phase</b>		
POI and Inspection Team	<ul style="list-style-type: none"> <li>If required, the purpose date of the audit/inspection would be scheduled.</li> </ul>	Note of Action
POI / Inspectors	<b>Payment Process</b> <ul style="list-style-type: none"> <li>Prepare the tariff information for the audit/inspection fee to the Financial and Accounting Department (FAD).</li> </ul>	CAAT System
Operator	<ul style="list-style-type: none"> <li>Complete the inspection payment process within the time frame specified.</li> </ul>	CAAT System
POI	<ul style="list-style-type: none"> <li>Ensure that the payment process has been completed.</li> </ul>	CAAT System
POI and Inspection Team	<b>Audit/Inspection Preparation Meeting</b> <ul style="list-style-type: none"> <li>Conduct the audit/inspection preparation meeting to discuss the audit schedule, audit criteria, roles and responsibilities, and document preparations before commencing.</li> <li>Issue and notify the audit/inspection notification to the operator.</li> </ul>	Note of Action
POI and Inspection Team	<b>Audit/Inspection</b> <ul style="list-style-type: none"> <li>Perform audit/inspection as applicable using the respective Checklists.</li> </ul>	Note of Action
POI and Inspection Team	<ul style="list-style-type: none"> <li>Complete checklists (as applicable)</li> </ul> <b>Non-Compliance Management</b> <ul style="list-style-type: none"> <li>Raise non-compliance(s) and notify the operator and POI through the applicable CAAT communication system.</li> </ul>	CAAT System
Operator	<ul style="list-style-type: none"> <li>Submit Correction, Root Cause Analysis, Corrective Action Plan and Corrective Action Implementation within agreed timeframe.</li> </ul>	CAAT System
POI and Inspection Team	<ul style="list-style-type: none"> <li>Review Correction, Root Cause Analysis, Corrective Action Plan and Corrective Action Implementation for closure of non-compliance.</li> <li>If the submitted Correction, Root Cause Analysis, Corrective Action Plan, and Corrective Action Implementation from the operator are not satisfactory, the inspector may reject them and ask for resubmission with more efficient and evidential references.</li> </ul>	CAAT System
Operator	<ul style="list-style-type: none"> <li>Submits amended manual to POI or associated inspector.</li> </ul>	CAAT System
POI / Inspectors	<ul style="list-style-type: none"> <li>Verify the proposed corrective actions and the associated manual amendments.</li> <li>Inform the operator once all findings have been satisfactorily closed.</li> </ul>	Note of Action
<b>Phase 4: Certification Phase</b>		

Responsible Person(s)	Action	Record
POI / Inspectors	<b>Payment Process</b> <ul style="list-style-type: none"> <li>▪ Prepare the tariff information for the certification fee to the Financial and Accounting Department (FAD). <i>(as applicable to the requested change)</i></li> </ul>	CAAT System
Operator	<ul style="list-style-type: none"> <li>▪ Complete the certification payment process within the time frame specified.</li> </ul>	CAAT System
POI	<ul style="list-style-type: none"> <li>▪ Ensure that the payment process has been completed.</li> </ul>	CAAT System
POI / Inspectors	<b>Final Compliance List</b> <ul style="list-style-type: none"> <li>▪ Inform the applicant to submit the applicable Final Compliance List which reflects the approved manual or document from previous phase.</li> </ul>	Note of Action
Operator	<ul style="list-style-type: none"> <li>▪ Submit the Final Compliance List <i>(as applicable to requested change)</i></li> </ul>	CAAT System
POI and Inspection Team	<b>Internal Meeting</b> <ul style="list-style-type: none"> <li>▪ Conduct an internal meeting with the inspection team to assign and prepare at least the following documentation;               <ol style="list-style-type: none"> <li>a) Approval letter and applicable certificate that were affected by the requested change.</li> <li>b) Completion and correctness of the submitted Final Compliance List.</li> </ol> </li> <li>▪ If the documentation that has been prepared and reviewed is correct and complete, submit the completed certification package/approval letter to the OPS Manager.</li> </ul>	Note of Action
OPS Manager	<ul style="list-style-type: none"> <li>▪ Review and verify the correctness of the proposed approval package.</li> <li>▪ Propose the packages for DGCA approval.</li> </ul>	Note of Action
DGCA or his delegation	<b>Certification</b> <ul style="list-style-type: none"> <li>▪ Grant the proposed approval package:               <ul style="list-style-type: none"> <li>- Release of Documentations (RoD)</li> <li>- List of Approval (LoA)</li> <li>- Air Operator Certificate (AOC) (as applicable)</li> <li>- Operations Specifications (OPS Spec) (as applicable)</li> <li>- Dangerous Goods Operating License (DGL) (as applicable)</li> </ul> </li> </ul>	Note of Action
Operator	<b>FOSD System Upload</b> Upload the final version of the operation manuals to the CAAT's FOSS system.	CAAT System
POI / Inspectors	<ul style="list-style-type: none"> <li>▪ Review and accept all manuals in the CAAT's FOSS system.</li> <li>▪ Store all relevant documentation.</li> </ul>	CAAT System

## 12.8 Procedures Summary for Changes NOT Requiring Approval Process (CN)

The CAAT has established a protocol for managing changes systematically. Changes not requiring prior approval must still be submitted to the Oversight System with required documentation. The following table shows the different process steps and its formality

Responsible Person(s)	Action	Record
<b>Phase 1: Notification Phase</b>		
Operator	<b>Notification of the Change</b> Complete and submits; 1. <b>CAAT-OPS-TCFM-201</b> Proposed Change to an AOC (PCA); and If the change requires an amendment to the Operations Manual(s), the following are required: 2. <b>Draft of the documentation</b> to be changed with the notification. 3. <b>Summary of the changes</b> together with the chapter/section/item references (as applicable)	Notification
OPS Manager	<b>POI and Inspection Team Assignment</b> <ul style="list-style-type: none"> <li>▪ Review the proposed notification package submitted through the CAAT System and assign respective POI and inspection team.</li> </ul>	CAAT System
POI and Inspection Team	<b>Inspection Team Coordination</b> <ul style="list-style-type: none"> <li>▪ Coordinate with the Airworthiness and Aircraft Engineering Department (AIR) for inspector delegation (as applicable to notified change)</li> <li>▪ Coordinate with the Aviation Security and Facilitation Standards Department (SFD) for inspector delegation and confirm receiving of the operator's Security Documentation that submitted directly to the SFD's email <a href="mailto:sfd_os@caat.or.th">sfd_os@caat.or.th</a> (as applicable to notified change)</li> <li>▪ Coordinate with the Economic Regulation Department (ERD) (as applicable to the notified change)</li> </ul>	Internal Coordination
POI and Inspection Team	<ul style="list-style-type: none"> <li>▪ Reviews notification package and relevant documents for completeness.</li> </ul>	Note of Action
POI / Inspectors	<ul style="list-style-type: none"> <li>▪ Store all relevant documentation</li> </ul>	CAAT System
<b>Phase 2: Document Assessment and Acknowledgement Phase</b>		
POI and Inspection Team	<b>Document Assessment</b> <ul style="list-style-type: none"> <li>▪ Conduct a cursory review of the submitted documentation to verify that the proposed change has been correctly classified as CN  <b>Note:</b> If the inspector determines that the change has been incorrectly classified by the operator, where a submission classified as CN contains changes CR, the submission shall be</li> </ul>	CAAT System

Responsible Person(s)	Action	Record
	rejected. The inspector shall notify the operator of the rejection and provide the reasons.	
POI and Inspection Team	<p><b>Acknowledgement</b> If notification package is correct and complete, <b>Release of Documentation (RoD)</b> as an acknowledge of receipt is sent by the POI or Inspectors to the operator.</p> <p><b>Note:</b> The RoD confirms acknowledgement of receipt only. It does not imply approval or acceptance of any manuals or documentation.</p>	CAAT System
<b>Document Evaluation</b>		
POI and Inspection Team	<p><b>Document Evaluation</b></p> <ul style="list-style-type: none"> <li>▪ Conduct a detailed compliance evaluation of the submitted documentation. This item remains incomplete until a verification email is issued to the operator.</li> <li>▪ If no objection or if no non-compliance is identified;               <ul style="list-style-type: none"> <li>(a) The POI/Inspectors proceed to a verification email step; or</li> <li>(b) 10-days from the date of document submission, operator proceeds to the FOSD System upload step without awaiting a verification email.</li> </ul> </li> </ul>	
POI and Inspection Team	<p><b>Non-Compliance Management</b></p> <ul style="list-style-type: none"> <li>▪ If non-compliance(s) is identified, notify or raise finding(s) to the operator.               <ul style="list-style-type: none"> <li>(a) <b>If non-compliance is found within the 10-day period:</b> notify the issue, the operator must correct before implementation.</li> <li>(b) <b>If non-compliance is found after the 10-day period:</b> the finding is raised as a Level 1 or Level 2 finding in the CAAT system. The operator must correct and submit a new CN.</li> </ul> </li> </ul>	CAAT System
Operator	<ul style="list-style-type: none"> <li>▪ Addresses non-compliance(s).</li> <li>▪ Submits corrective actions to the POI/inspector and amends the manual(s) as applicable.</li> </ul>	CAAT System
POI and Inspection Team	<ul style="list-style-type: none"> <li>▪ Review and verify submitted corrective actions and handle the resubmission of the operations manual.</li> </ul>	CAAT System
POI / Inspectors	<p><b>Verification Email</b></p> <ul style="list-style-type: none"> <li>▪ If the manual/documentation is correct and complete, a verification email is sent by the POI / Inspectors to the operator.</li> </ul>	CAAT System
POI and Inspection Team	Re-issue the Release of Documentation (RoD), if required.	CAAT System
Operator	<p><b>FOSD System Upload</b> Upload the final version of the operation manuals to the CAAT's FOSD system.</p>	CAAT System

Responsible Person(s)	Action	Record
POI	Review and accept all manuals in the CAAT's FOSD system.	CAAT System

**Note 1:** Inspectors may conduct the compliance evaluation at any point within the same surveillance year under the following rationale:

- (a) The operator bears full responsibility for maintaining compliance with all applicable requirements under procedures approved by CAAT.
- (b) For Changes NOT Requiring Prior Approval (CN) — the operator notifies CAAT before implementation, and CAAT verifies compliance through subsequent review.
- (c) A cursory review for items requiring prior approval is already conducted in Phase 2 before the RoD is issued.
- (d) This approach allows CAAT to allocate resources and manage inspector workload flexibly and efficiently across the surveillance cycle.

### 12.9 Coordination with AIR

In accordance with TCAR-OPS Part ORO.GEN.130, any change related to the AOC shall be processed for approval or acceptance under the OPS procedure by the assigned POI and/or respective OPS Inspectors.

Coordination between the AOC and CAMO domains is required to ensure proper issuance of certificates and completion of the relevant approval or acceptance processes.

This section describes the internal coordination process between OPS and AIR for changes related to the AOC, to ensure alignment between CAMO and AOC procedures and instructions.

#### 12.9.1 Application related to operational approval requires coordination with continuing airworthiness aspects.

The approval requires specific coordination between OPS' POI and AWI for initial application or any change are the following list:

- (a) Reduced Vertical Separation Minima (RVSM) (See TFOIM Vol.III Ch.17)
- (b) Minimum Navigation Performance Specifications (MNPS) / High Level Airspace (HLA) (See TFOIM Vol.III Ch.21)
- (c) Low Visibility Operations (LVO) (See TFOIM Vol.III Ch.19)
- (d) Electronic flight bag (EFB) (See TFOIM Vol.III Ch.23)
- (e) Performance-Based Navigation (PBN) (See TFOIM Vol.III Ch.18)
- (f) Extended-range Twin-engine Operations Performance Standards (ETOPS) / Extended Diversion Time Operations (EDTO) (See TFOIM Vol.III Ch.20)
- (g) Night Vision Imaging Systems (NVIS)
- (h) Helicopter Hoist Operations (HHO)
- (i) Helicopter Emergency Medical Services (HEMS) (See TFOIM Vol.III Ch. 24)
- (j) Helicopter Offshore Operations (HOFO) (See TFOIM Vol.III Ch. 26)
- (k) Single-Engined Turbine aeroplanes in Instrument Metrological Conditions (SET-IMC)

For other AOC approvals or changes described above, specific communication and/or coordination may be required and organized on dedicated topics in which both the OPS Inspector and the AWI are involved, including but not limited to the following:

- Add/Change of Principal Place of Business
- Additional locations of the operator
- Change of AOC lines of responsibilities
- Approval of leasing agreements (*See TFOIM Vol.II Ch. 14*)
- Change of Accountable Manager <sup>Note</sup>
- Change of Compliance Monitoring Manager <sup>Note</sup>
- Change of Nominated Person Continuing Airworthiness <sup>Note</sup>
- Change of Safety Manager (when common to both domains) <sup>Note</sup>
- Change of Operator Safety Policy
- Changes affecting the integrated Management System (policy/objectives, safety risk management, compliance management) (*See TFOIM Vol.III Ch.6*)
- Exemptions
- AltMoC(s)
- Approval of the procedure for the use of aircraft included in an AOC by other operators for NCC, NCO and SPO
- Minimum Equipment List (MEL) approval / Change of MEL procedure (*See TFOIM Vol.III Ch.2 for more details*)
- Non-EDTO approval
- Reduced required landing distance operations approval
- A/C Phase-in approval, including Part-26 applicable items
- A/C Phase-out
- Change of operational region
- Exit permit (flying out of own territory)

**Note:**

Management personnel (e.g., Accountable Manager, Safety Manager, etc.) who hold roles in both the AOC and CAMO domains. The interview evaluation by the OPS Inspector and the AWI may be conducted at the same time.

## 13 CONTINUING SAFETY OVERSIGHT – SURVEILLANCE

### Purpose

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

### Reference

1. ICAO Annex 6 Operation of Aircraft Part 1 International Commercial Air Transport Part I, Section 4.2.1
2. ICAO Annex 18 to the Convention on International Civil Aviation, The Safe Transport of Dangerous Goods (AN18)
3. ICAO Doc 8335, Part IV, Surveillance of the Operator by the State of the Operator.
4. ICAO Doc 9481, Emergency Response Guidance for Aircraft Incidents Involving Dangerous Goods
5. ICAO Doc 9284, Technical Instructions for the Safe Transport of Dangerous Goods by Air (ICAO TI) and supplement
6. Requirement of The Civil Aviation Authority of Thailand No. 68 Application for and issuance of permission for operating Dangerous Goods and Prohibited or Special Handling Items
7. Requirement of the Civil Aviation Authority of Thailand No. 73 on the Operations regarding the Transport of Dangerous Goods and Prohibited or Special Handling Items
8. ICAO Air Operator Certification and Surveillance Handbook
9. Regulation of The Civil Aviation Authority of Thailand No.26 on Air Operator Certificate
10. CAAT-SMO-NCP: Non-Compliance Management Procedure
11. CAAT-LEG-ENF: Aviation Enforcement Manual
12. Regulation of The Civil Aviation Authority of Thailand No.27 on Operations of the Air Operator
13. Thailand Civil Aviation Regulation - Air Operations (TCAR OPS)
14. Flight Operation Inspector Manual Volume II (TFOIM II) and Flight Operation Inspector Manual Volume III (TFOIM III)
15. Dangerous Goods Inspection Manual (TDGIM)
16. Flight Operations Standards Department Manual (OPSM) Chapter 9: Risk- Based Methodology and Surveillance Planning
17. CAAT-SMO-AUP: Audit Procedure
18. CAAT-SMO-IAAP: Inspector Appointment Authorisation Procedure

### Definition

N/A

### Responsibilities

1. Flight Operations Standards Manager (OPS Manager); is responsible for the overall AOC administration program.
2. Principal Operations Inspector (POI) as a Project Manager; 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; each authorized inspector shall conduct the inspections to ensure the compliance of operations with relevant regulations/requirements and manual approval (prior approval) and report to respective POI.

### 13.1 Surveillance Policy

Surveillance 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.

When inspectors identify a serious safety concern that require immediate action(s) during oversight activities, such concerns shall be addressed immediately using the enforcement procedures established in the CAAT Aviation Enforcement Manual (CAAT-LEG-ENF), which may include aircraft detention to prevent continued unsafe operations, immediate suspension of relevant certificates or authorizations, and mandatory notification to both the Flight Operations Standards Department Manager and the Legal Office detailing the specific safety deficiencies and enforcement actions taken, with such notifications executed as soon as practicable to ensure proper coordination and regulatory compliance.

For non-compliances found during oversight activities that do not necessitate any immediate enforcement action, these will be addressed according to the Non-Compliance Management Procedure detailed in the Flight Operations Standards Department Manual (CAAT-OPS-OPSM).

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 authorised to conduct surveillance shall 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 operator's operations. 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 assessment of the following aspects;

- Organisation
- Management System including Safety Management System, Compliance Monitoring System, Emergency Response Plan, Flight Data Monitoring Programme Implementation, and Document Management and Flight Safety Documents System Implementation;
- Facilities;
- Equipment;
- Aircraft maintenance;

- Operational control, and supervision;
- Flight and duty time limitations;
- Flight and cabin crew standards;
- Use of MEL;
- Ground Handling Operations including Passenger, Baggage, GSE, and contracted activities;
- Cargo Safety procedures;
- Transport of Dangerous Goods by air both authorized and non-authorized operators;
- Security procedure;
- Contracted Organisation and personnel records;
- Training;
- Company manuals;
- Financial viability, and
- Record of compliance with the provisions of the AOC, the associated operations specifications and pertinent operating regulations and rules.

**Note:**

1. The financial viability of the operator will be confirmed by coordination with the Economic Regulation Department (ERD).
2. Security procedures will be regulated by Aviation Security and Facilitation Standards Department (SFD).

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.

The inspection shall be planned based on a risk assessment methodology so that aspects of the operation that involve the greatest risk should receive more frequent attention. If the operator has implemented a Safety Management System (SMS) that has been evaluated as effective and met the agreed-upon performance criteria, the regulatory oversight by the CAAT for that operator may be reduced.

To enable safety inspectors to conduct effective safety oversight activities and maintain regulatory oversight, CAAT facilitates all inspectors with the required resources, such as transportation and accommodation. Inspectors will coordinate with the relevant departments, including FAD (Financial and Accounting Department) on the required resources (refer to the Regulations of the CAAT Board of Commissioner Re: Travel Expenses for Official Duties B.E. 2566 (2023) for details.) In addition to the importance of being equipped with the required resources, CAAT inspectors shall also coordinate with the relevant departments including but may not be limited to LEG, PEL, AIR, SFD and ERD, as relevant, for the necessary processes and procedures for coordination.

### **13.2 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. The primary 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 designated 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.

### 13.3 Surveillance Programme

From the first few months of new operation and throughout ongoing safety oversight (surveillance), 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 financial difficulties are identified, CAAT inspectors will increase technical surveillance of the operation with emphasis on maintaining safety standards.

Aircraft leases and contractual arrangements entered 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 an inspector familiar with the specific type of aircraft utilized by the operator.

The oversight function will be accomplished continuingly, 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 surveillance 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 Civil Aviation 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 contracted organisation 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 organisational structural management, operational control, flight operations, an assessment of an air operator's management system including Safety Management System (SMS), Compliance Monitoring System (CMS), Emergency Response Plan (ERP), Flight Data Monitoring (FDM) Programme, and Document Management and Flight Safety Documents System Implementation (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 respect of operator size, the minimum level of oversight to be planned up to the 24-month cycle shall be following paragraph 13.5 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 Inspectors may be required to complete an assessment tool outlined in Flight Operations Standards Department Manual (OPSM) Chapter 9: Risk-Based Methodology and Surveillance Planning.

### 13.4 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.

#### 13.4.1 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 surveillance plans. 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, approved by the DGCA, 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 mentioned 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.

#### 13.4.2 Phase Two – Conducting Surveillance Plan Inspections

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

#### 13.4.3 Phase Three – Analyzing Surveillance Data.

When deficiencies are discovered in the surveillance programme for a particular operator, the cause 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 main purpose of evaluating surveillance data is to identify trends and deficiencies not associated with an apparent trend. This evaluation of inspection results is also important in 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, including but not limited to the following:

- Airworthiness and Aircraft Engineering Department (AIR)
- Personnel Licensing Department (PEL)
- Aviation Security and Facilitation Standards Department (SFD)
- Aviation Safety Management and Standards Assurance Office (SMO)
- Economic Regulation Department (ERD)

#### **13.4.4 Phase Four – Resolution of Safety Deficiencies.**

The Flight Operations Standards Department Manager or Inspector must use good judgment when determining the most effective course of action due to 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 considered.

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 surveillance 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 follow Flight Operations Standards Department Manual (OPSM) Chapter 8.6: Non-Compliance Management. If an operator does not correct a deficiency as required, the Flight Operations Standards Department Manager shall inform the DGCA and, if necessary, it is recommended 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.

### 13.5 General Frequency of Audits/Inspections

The surveillance program 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.

#### 13.5.1 Audit Type

This section establishes the standardized types for Air Operator Certificate (AOC) holder surveillance activities. Surveillance audits/inspections are conducted through scheduled and non-scheduled inspections to ensure comprehensive oversight:

- (a) Scheduled Audits/Inspections:** The Flight Operations Standards Department (OPS) develops systematic surveillance plans utilizing the risk-based assessment procedures specified in Chapter 9 of the Flight Operations Standards Department Manual (OPSM). These audits/inspections follow predetermined schedules based on operator risk profiles, operational complexity, and regulatory compliance performance history.
- (b) Non-Scheduled Audits/Inspections:** Reactive audits/inspections are initiated in response to identified safety concerns, reportable safety occurrences, or significant noncompliance findings from previous surveillance activities. OPS may conduct additional targeted audits/inspections by selecting the most appropriate audits/inspections type to address the specific circumstances, ensuring timely intervention when safety risks emerge outside the scheduled surveillance cycle. In the case where a non-scheduled inspection involves a Ramp Inspection, the inspection should be conducted in coordination with an Airworthiness Inspector to ensure a comprehensive evaluation of both operational and airworthiness compliance.

The above audit types may be conducted as no-notice inspections to ascertain whether the internal control system is working effectively and whether the operator's operational and safety standards are continuously maintained as per the relevant requirements. It may be scheduled internally within CAAT according to the scheduled plan or 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 when documented information indicates that 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 no-notice inspection is required, the Flight Operations Standards Department Manager and the Director General (if required) must be informed of the inspection as soon as possible before the conduct. No-notice inspections may deviate from the standard notification process outlined in the procedure summary of this chapter.

### 13.5.1.1 Main Base Audit

The Main Base Audit consists of three types as follows:

(a) **Main Base Audit 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. Evaluation of whether the current organizational hierarchy supports safe, efficient, and compliant operations;
- The individual management personnel competence. Assessment of the qualifications, experience, and effectiveness of key management personnel in fulfilling their regulatory and operational responsibilities;
- The systems used by management to control the safety of the operation. Review of the systems and processes used by management to monitor, manage, and enhance operational safety.;
- 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) **Flight Data Monitoring (FDM).** (If applicable)

Flight Data Monitoring 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.

(iv) **Compliance Monitoring System (CMS).**

Compliance Monitoring System (CMS) is to ensure that the operator has established an effective compliance monitoring programme. Compliance monitoring function should enable the operator to monitor compliance with the relevant requirements of TCAR OPS Part ORO and other applicable TCAR OPS Parts.

**(v) 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.

**(vi) 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.

**(vii) Cabin Safety Main Base Audit (CMBA)**

Cabin Safety Main Base Audit is to ensure compliances of Cabin Crew Management, Cabin Crew Training Management and Cabin Crew Training and Records including Cabin Crew Instructor. The objective is to assess the continuity of cabin safety related areas of the air operator and to ensure that accepted cabin safety related practices and proper procedures for the promotion of cabin safety operations are maintained.

**(viii) Dangerous Goods Main Base Audit (DMBA).**

The Dangerous Goods Main Base Audit is conducted to ensure the suitability and compliance of the air operator's dangerous goods policies and procedures, including training programs, passenger terminal facilities, dangerous goods acceptance processes, cargo facilities, ground handling facilities, shipping facilities for spare parts, hazard identification and risk assessment in dangerous goods, reporting system and the compliance monitoring. The audit covers both authorized and non-authorized air operators and includes a review of subcontracted handling responsibilities to ensure that, when services are outsourced to an external handling company, the air operator provides the subcontractor with the appropriate documents and manuals to ensure compliance with applicable regulations.

**(ix) Airworthiness and Aircraft Engineering Base Audit (ABA)**

Airworthiness and Aircraft Engineering Base Audits (ABA) is to ensure operators' compliance with their internally established procedures and current Thai regulations and applicable airworthiness requirements which includes Compliance Monitoring System (CMS), 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 activities 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) **Main Base Audit B (MBA-B)** includes the following areas of inspection:

(i) **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.

(ii) **Operational Control (OC)**

Operational Control (OC) 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.

(iii) **Ramp Inspection (R)**

Ramp Inspection (R) enable inspectors to observe and assess the standard procedures, manual and documentation, aircraft equipment's and instruments, flight crew compartment, cabin interior, aircraft exterior, and cargo and loading employed by an operator before or after a flight, ensuring compliance with regulations and safe operating practices.

(iv) **Flight Safety Document System (FSDS)**

Flight Safety Document System (FSDS) 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 factor principles.

(v) **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 its flight crews.

(vi) **Ground Handling Operations Inspection - Main Base (MG)**

The inspection is conducted at the operator's primary base to verify the effectiveness and safety of ground handling operations. This assessment evaluates the organizational structure—specifically responsibility, accountability, and the management system—alongside emergency response, safety communication, and training of ground personnel. Additionally, the inspection ensures that subcontracted activities, equipment, procedures, and personnel are sufficient to safely support flight origination, turnaround, and termination.

### 13.5.1.2 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)

Note: Ramp Inspection (R) is included in ENF and ENC inspections, and may be conducted separately.

### 13.5.1.3 Station Audit

Station Audit is to assess the effectiveness of ground handling operations including cargo operations and dangerous goods acceptance activities and to verify the serviceability and condition of facilities and equipment, related documents, passengers, baggage handling, ground service equipment procedures, and competency of staff including ground handling service providers (GHSA). 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 line stations and will be the focus on the coordination process of ground handling operations-related functions, airside safety operations (e.g., aircraft movement, aircraft servicing etc.), management system and documentations which are responsible for assessment by OMI and in charge by FOI on some components which is not limited to mass & balance, fuel, de-icing & anti-icing procedures. The inspection is to ensure that the air operator maintains permanently its ground handling responsibility, when all or part of the functions and tasks related to ground handling services have been contracted to a service provider. 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)

The Dangerous Goods Line Station Audit is conducted to evaluate the effectiveness and compliance of dangerous goods operations at line stations of the air operator. These inspections place emphasis on:

- Operations involving dangerous goods at passenger terminal facilities
- Emergency response procedures and Reporting system
- Training records of personnel involved in dangerous goods handling
- The overall process for handling and accepting dangerous goods
- The transport of COMAT containing dangerous goods (if applicable)

The scope of the inspection includes both the air operator and any contracted organizations involved in the handling or transport of dangerous goods, to ensure full compliance with applicable regulations and standards.

**(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.

**13.5.1.4 Inspection of Training Programme (ITP)**

Inspection of the Training Programme is not limited to Simulator Training, but includes training in aircraft or classroom training to ensure that the operator delivers simulator training according to the approved training manual.

**13.5.1.5 Special Audit (SPEC)**

Special audits (or inspections) may be arranged at the discretion of the designated CAAT surveillance team for specific purposes if deemed necessary. These inspections, as outlined in sections 13.5.1.1 to 13.5.1.4, may be conducted in cases where a significant safety issue is identified or documented evidence that an air operator's operations are not in compliance with regulatory requirements and standards.

**13.6 Surveillance Plan Follow-Up**

In cases where the air operator surveillance plan for the year cannot be executed as scheduled due to the unavailability of auditees or unforeseen circumstances, resulting in the cancellation or postponement of the audit, the OPS manager must be informed of the reasons by the Principal Operations Inspector (POI) and the inspection team. They should reconsider rescheduling audit activities within the calendar year to ensure the effectiveness of the surveillance programme.

OPS Department shall continuously monitor the progress of the surveillance programme.

**13.7 Surveillance Meeting with the Operator**

When required, a surveillance meeting between the OPS Manager, the POI, FOI, surveillance team, and the Accountable Manager and relevant Department manager of the AOC holder may be arranged to discuss the surveillance report. This report summarizes the operator's previous performance and/or any significant safety concerns during the oversight period and advises them of the surveillance programme for the forthcoming year.

The meeting should emphasize that this is a 'two-way' meeting intended to allow the operator to provide feedback and discuss issues of significance. For such events, minutes of the meeting should be kept and shared with the operator.

### 13.8 Forms and Checklists Summary






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.	Activities	Checklist code	Name	Inspection by
1.	Audit preparation	<b>OPS-TCFM-305</b>	Audit Preparation Checklist	POI
2.	Check O	<b>OPS-TCGEN-401</b>	Organisational Competence	FOI/OMI/AWI
3.	SMS	<b>SMO-CLSMS-001</b>	SMS Assessment Tools for Air Operator	SMO (AG)
4.	ERP	<b>OPS-TCOMI-407</b>	Emergency Response Plan Implementation Inspection	OMI
5.	CMS	<b>OPS-TCOMI-403</b>	Compliance Monitoring System Implementation	OMI
6.	TR-FC	<b>OPS-TCFOI-401</b>	Flight Crew Training Records	FOI
7.	CMBA	<b>OPS-TCCSI-401</b>	Cabin Crew Management	CSI
8.		<b>OPS-TCCSI-402</b>	Cabin Crew Training Management	CSI
9.		<b>OPS-TCCSI-403</b>	Cabin Crew Training and Records	CSI
10.	DMBA	<b>OPS-TCDGI-401</b>	OPS - Dangerous Goods Audit (For DG Authorization Thai Air Operator)	DGI
11.		<b>OPS-TCDGI-402</b>	OPS - Dangerous Goods Audit (For Non DG Authorization Thai Air Operator)	DGI
12.	DG-LSA	<b>OPS-TCDGI-403</b>	OPS - Dangerous Goods Line Station Checklist (DG-LSA)	DGI
13.	ABA and AIR-LSA	<b>AIR-CL-SUR-SM-300</b>	AOC Base Inspection Checklist	AWI
14.	TR-FOO	<b>OPS-TCFOI-404</b>	Flight Operations Officer Training Records	FOI
15.	OFR	<b>OPS-TCFOI-403</b>	Returned Flight Documentation (TCAR)	FOI
16.	FSDS	<b>OPS-TCOMI-401</b>	Document Management and Flight Safety Documents System Implementation	OMI
17.	FTL	<b>OPS-TCOMI-404</b>	Implementation of Individual Flight Time Specification Scheme	OMI
18.	OC	<b>OPS-TCFOI-405</b>	Operational Control Organisation	FOI
19.	MG	<b>OPS-TCOMI-405</b>	Ground Handling Operations Inspection - Main Base	OMI
20.	ENF	<b>OPS-TCFOI-421</b>	Air Operator In-flight Cockpit Inspection	FOI
21.	ENC	<b>OPS-TCCSI-421</b>	Ramp Cabin Safety and In-flight Cabin Inspections	CSI
22.	R	<b>OPS-TCFOI-422</b>	Ramp Inspection	FOI
23.	LG	<b>OPS-TCOMI-406</b>	Ground Handling Operations Inspection - Line Station	FOI/OMI

No.	Activities	Checklist code	Name	Inspection by
24.	FDM	<b>OPS-TCOMI-402</b>	Flight Data Monitoring (FDM) Programme Implementation	FOI/OMI
25.	ITP	<b>OPS-TCFOI-402</b>	Flight Crew Training	FOI

The form shall be utilized to confirm maintaining and adequate organisation, systematic system, and compliance with existing CAAT regulations

No.	Form code	Name	Inspection by
1.	<b>CAAT-OPS-TCFM-301</b>	Audit and Inspection Schedule (MBA, SAFETY)	POI and Inspection Team
2.	<b>CAAT-OPS-TCFM-302</b>	Audit and Inspection Schedule (Enroute and Station Audit)	POI and Inspection Team
3.	<b>CAAT-OPS-TCFM-303</b>	Audit and Inspection Schedule (ITP)	POI and Inspection Team

LEGEND		
	Form	
	Checklist	
	Compliance List	

### 13.9 Procedures Summary

The procedure below lists the sequence of actions and persons responsible for Continuing Safety Oversight - Surveillance. In addition to the records listed in the procedure, the POI and inspection team shall continuously maintain a record of progress.

Responsible Person(s)	Actions	Records
POI and Inspection Team	<p><b>Internal Meeting</b></p> <ul style="list-style-type: none"> <li>- Arrange an internal meeting for pre-audit preparation to discuss the type and scope of audit, documentation, roles, and responsibilities along with confirming the date of inspection in accordance with Air Operator Surveillance Plan Year</li> <li>- Complete audit preparation checklist</li> <li>- Propose the audit date to operator</li> </ul>	Note of action
POI and Inspection Team	<p><b>Surveillance Preparation</b></p> <ul style="list-style-type: none"> <li>- Prepare surveillance activities in the CAAT system</li> <li>- Complete the audit and inspection schedule and notification letter</li> <li>- Coordination among different departments for the required resources, as applicable (transportation, finance, legal, airworthiness, personnel licensing)</li> </ul>	Note of action
POI and Inspection Team	<p><b>Surveillance Audit Notification</b></p> <ul style="list-style-type: none"> <li>- Notify audit and inspection schedule and notification letter to operator</li> </ul>	Note of action
POI and Inspection Team	<p><b>Surveillance Activities</b></p> <ul style="list-style-type: none"> <li>- Perform the surveillance activities in accordance with audit and inspection schedule</li> <li>- When a serious safety concern requiring immediate action(s) is identified, the POI and Inspection Team are authorized to take immediate and appropriate action(s) to prohibit or limit activities (such as aircraft detention) and inform OPS manager and legal office as soon as practicable. For the enforcement procedure, refer to CAAT Aviation Enforcement Manual</li> <li>- Provide the summary audit report (if applicable)</li> <li>- Complete checklist(s)</li> </ul> <p><b>Management of Non-Compliance</b></p> <ul style="list-style-type: none"> <li>- For non-compliances found during oversight activities that do not necessitate any immediate enforcement action, these will be addressed according to the Non-Compliance Management Procedure detailed in the Flight Operations Standards Department Manual (CAAT-OPS-OPSM)</li> <li>- Notify the non-compliance to the operator (if any) and report to POI</li> </ul>	CAAT System
Operator	<ul style="list-style-type: none"> <li>- Submit correction, Root Cause Analysis, Corrective Action Plan and Corrective Action Implementation within the prescribed</li> </ul>	CAAT System

Responsible Person(s)	Actions	Records
	timeframe in accordance with the Non-Compliance Levels and Resolution Time Frames defined in CAAT-OPS-OPSM (Flight Operations Standards Department Manual).	
POI and Inspection Team	<ul style="list-style-type: none"> <li>- Review Correction, Root Cause Analysis, Corrective Action Plan and Corrective Action Implementation for closure of non-compliance.</li> <li>- If the submitted Correction, Root Cause Analysis, Corrective Action Plan, and Corrective Action Implementation from the operator are not satisfactory, the inspector may reject them and ask for resubmission with more efficient and evidential references.</li> </ul>	CAAT System
POI and Inspection Team	<p><b>Record Surveillance Status</b></p> <ul style="list-style-type: none"> <li>- Record the surveillance activities status</li> </ul>	OL Log ( <i>Refer to OPSM Ch.5 Item 5.4</i> )
POI and Inspection Team	<ul style="list-style-type: none"> <li>- Store all relevant documentation</li> </ul>	CAAT System

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## 14 LEASING

### Purpose

This chapter provides guidance on the certification of leased aircrafts.

### Reference

1. ICAO Doc 8335 Part V,
2. Notification of the Civil Aviation Authority of Thailand on Air Operations Standards for the Air Operator (Thailand Civil Aviation Regulation - Air Operations (TCAR OPS))
3. ADCA Wet lease and Code sharing of the air operator issued May 14, 2009
4. TCAR OPS ORO.AOC. 110 Leasing Agreement

### 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 – 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. Part or all of the cabin crew is provided by the lessee. In such 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.*

### 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 Aircraft Engineering Department Manager (AIR), Aviation Security and Facilitation Standards Department Manager (SFD) and Economic Regulation Department (ERD); 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.

## 14.1 GENERAL

TCAR OPS ORO.AOC.110 requires CAAT approval prior to any aircraft lease-in arrangement. Wet lease-in approval is subject to the foreign operator holding a valid AOC issued in accordance with ICAO Annex 6, demonstrating safety standards equivalent to the applicable requirements of Thailand and TCAR OPS, and the aircraft holding a valid standard Certificate of Airworthiness issued in accordance with ICAO Annex 8. Dry lease-in of a foreign-registered aircraft is not permitted. Dry lease-out arrangements require prior approval by CAAT, while wet lease-out arrangements are subject to prior notification to CAAT.

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.

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.

## 14.2 Dry lease procedures

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.

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) 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;
- (e) copy of the lease agreement or description of lease provisions;
- (f) duration of the lease.

CAAT inspectors will review the application and provide surveillance according to normal surveillance plan of AOC.

## 14.3 Dry lease-in of aircraft registered in Thailand

This is a lease arrangement determined to be a dry lease-in of an aircraft registered in Thailand. The operator shall have exclusive possession of the aircraft under the lease agreement. The Certificate of Registration shall identify the lessee as the person having possession of the aircraft.

Any such lease arrangement shall be subject to prior approval by CAAT. Upon approval, the operations specifications and operations manual of the lessee shall be amended, as appropriate, to include the leased aircraft.

#### **14.4 Dry lease-in of aircraft registered in other states**

CAAT does not permit a Thai air operator to operate an aircraft bearing foreign nationality and registration marks under a dry lease arrangement. An aircraft acquired under a dry lease arrangement shall be entered in the Thai Aircraft Register and issued Thai nationality and registration marks before it may be operated under a Thai AOC.

#### **14.5 Wet Lease**

##### **14.5.1 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.

#### **14.6 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.

### **Wet Lease Out**

When notifying the CAAT, the operator intending to wet lease-out an aircraft should provide CAAT with the following information:

- (a) the aircraft type, registration markings and serial number;
- (b) the name and address of the lessee;
- (c) a copy of the lease agreement or description of the lease provisions, except financial arrangements; and
- (d) the duration of the lease agreement.

### **14.7 Short-Term Wet Lease, Charter or Sub-Charter**

Some wet-leasing operations, charters or sub-charters are organised 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).

## **14.8 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.

## **14.9 Approval for Leased Aircraft Checklist**

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

### 14.10 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 continuously maintain a record of progress.

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

### 14.11 Records

All records 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 maintaining AOC certification records.

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 (Airline Lessor) Authority 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 authorisation remains in effect until \_\_\_\_\_ or until surrendered, suspended, revoked or otherwise terminated by the Director General of the Civil Aviation Authority of Thailand.