

Applicant's Information					
Name of Organization:					
ATO certificate no.: <u>ATCTO-XXXX</u> <i>(For initial certification, TBA shall be indicated.)</i>		Expiry Date: <u>DD - MMM - YYYY</u> <i>(For initial certification, TBA shall be indicated.)</i>		Coordinator Name:	
				Email:	
Address of Audited Site		☐ Main base ☐ Other base(s) Address:			
Applicant's declaration and acceptance of the General Conditions					
By signing below, I, as an authorised person of <u>(ATCTO name)</u> hereby confirm that I have the legal capacity to submit this checklist to CAAT and that the information given on the self-assessment as well as the document attached herewith the checklist are entirely true, accurate, and complete. In case of any applicable fees, I acknowledge that I have read and understood the General Conditions and Terms of Payment according to relevant CAAT's Rules and Regulations and agree to abide by them. I declare to be aware that inspection fees, certificate fees, as well as all relevant applicable charges must be paid whether or not the application is successful and that they might not be refundable. Moreover, I declare that I am aware of the consequences of non-payment. If it appears that any submitted information or document found to be untrue, false or obscure, I admit that CAAT has an authorization to suspend or revoke the Approval Certification, or refuse to accept any learning outcomes from my ATCTO.					
Name - Last Name:		Signature:		Date: <u>DD - MMM - YYYY</u>	
CAAT Officials Use only					
Reference No. <i>(Organisation official letter no. or EMPIC REQUEST No. as applicable)</i>		Date of Inspection / Audit: <u>DD - MMM - YYYY</u>		Financial (If applicable)	
Type of Audit: ☐ Initial Certification ☐ Planned Surveillance ☐ Re-Certification ☐ Renewal Certification ☐ Unplanned Surveillance ☐ Other, please specify		☐ Invoice No..... Date:..... ☐ Receipt No..... Date:.....		Verification result: ☐ Accept <i>(Continue to next step)</i> ☐ To be followed up	
Audit Team	No.	Name - Last Name	Position	Credential I.D.	Signature
	1		Lead Auditor		
	2				
	3				

Please add rows for additional audit team members if needed

Abbreviation and Description: (Ref. CAAT-PEL-RDMSP Record-Keeping and Document Management System Procedure)

S = Satisfactory	shall be given when the ATO is able to provide or demonstrate adequate of CAAT regulatory compliant evidence, reliable records of implementation and demonstrate a sound knowledge if interview of relevant personnel are performed. Also, all sub-items must be satisfied.				
U = Unsatisfactory	shall be given when any actions found not to be in compliance with CAAT rules and regulations or not to be conformed to any applicant 's documentation as well as any actions being done without evidence of records.				
N/A = Not Applicable	shall be given when information in a certain table cell is not provided, because it does not apply to a particular case in question.				
TBA = To Be Announced	shall be given when a specific detail, like the date, time, or location, is yet to be determined and will be communicated later. It signifies that while the event is planned, certain specifics are still pending.				
ATCTO	Air Traffic Control Training Organisation	STD	Synthetic Training Device	OJTI	On-the-Job Training Instructor
ATO	Approved Training Organisation	STDI	Synthetic Training Device Instructor	DATCA	Designated Air Traffic Controller Assessor

Instructions: (Ref. CAAT-PEL-RDMSP Record-Keeping and Document Management System Procedure)

- (1) The ATO must **Fill in all blanks** on the cover page and fill in the list in section 0, please duplicate the row of each table to add further information
- (2) In section 1-7, in columns **“Compliance checked by ATO”** please tick;
 - “**Yes**” if all requirements are met *and* valid documented evidence is available. Please provide a reference for each item, including the **Manual Name, Chapter/Section, and Page Number** that supports your compliance answer).
 - “**No**” if any requirement is not met or evidence is missing. Please also provide an explanation in the Reference/ Remark column.
 - “**N/A**” if the item does not apply to your ATO. Please also provide an explanation in the Reference/ Remark column.
- (3) Under the **“CAAT USE ONLY”** columns, the inspector shall fill with S or U or N/A, with additional comments as deemed appropriate.
- (4) In **“General Comments”** of each section, section 1-7, auditor must complete: if there are any observations, or clarifications that do not affect compliance but may require improvement, they should be described here; if there are no comments or observations, write “None” to clearly indicate that the section has been reviewed.
- (5) The item with a check box shall be marked using either "X" or "✓" as appropriate.
- (6) The checklist may be filled in either by writing or printing, in a legible manner. All fields/items shall be completed. In fields/items for which there is no answer or is not used, mark a horizontal straight line or enter “N/A” or shaded with a reason.
- (7) The full name of the relevant person shall be indicated in BLOCK CAPITAL LETTERS, e.g. JOHN DOE. The date, where necessary, shall be indicated in DD-MMM-YYYY (C.E.), e.g. 04-JUL-2025.
- (8) Once this form has been completed by the applicant, please have it submitted to CAAT as directed.

Reference:

1. Requirement of the Civil Aviation Authority of Thailand No. 78 on the Approved Air Traffic Control Training Organisation (TCAR PEL Part ATCO.OR and Cover Regulation to TCAR PEL Part ATCO.OR), as amended
2. Notification of the Civil Aviation Authority of Thailand on AMC/GM to TCAR PEL Part ATCO.OR, as amended
3. Requirement of the Civil Aviation Authority of Thailand No. 102 on the Air Traffic Controller Licence (TCAR PEL Part ATCO and Cover Regulation to TCAR PEL Part ATCO), as amended
4. Notification of the Civil Aviation Authority of Thailand on AMC/GM to TCAR PEL Part ATCO, as amended

SECTION 0: GENERAL INFORMATION OF THE ATO

0.1 List of Key personnel (ATCO.OR.B.001 (c) (3), ATCO.OR.C.001, ATCO.OR.C.010)			
No	Key Positions	Name-Last Name	Date of Appointment
0.1.1	Accountable Manager (AM)	<i>Filled by ATO</i>	<i>Filled by ATO</i>
0.1.2	Compliance Monitoring Manager (CMM)	<i>Filled by ATO</i>	<i>Filled by ATO</i>
0.1.3	Head of training (HT)	<i>Filled by ATO</i>	<i>Filled by ATO</i>
0.1.4	Safety Manager (SM)	<i>Filled by ATO</i>	<i>Filled by ATO</i>

Please add rows for additional key personnel if needed.

0.2 List of Instructional personnel applicable for Audited Site (ATCO.OR.C.010)						
No	Name-Last Name	Term of Employment		Type of Instructor		
		Full-Time	Part-Time	Theoretical	OJTI	STDI
0.2.1	<i>Name - Last name of the instructional personnel</i>	☐	☐	☐	<i>OJTI-xxxx</i>	<i>STDI-xxxx</i>

Please add rows for additional instructional personnel if needed.

0.3 List of Course approval applicable for Audited Site (ATCO.OR.B.001, ATCO.OR.D.001)				
No	Course Approval	Issue	Revision	Date of Approval
0.3.1	<i>Filled by ATO</i>	<i>Filled by ATO</i>	<i>Filled by ATO</i>	<i>Filled by ATO</i>

Please add rows for additional training courses if needed.

0.4 List of Manual approval applicable for Audited Site (ATCO.OR.C.001)				
No	Title of Manual	Issue	Revision	Date of Approval
0.4.1	<i>TPM</i>	<i>Filled by ATO</i>	<i>Filled by ATO</i>	<i>Filled by ATO</i>

Please add rows for additional manuals if needed.

0.5 List of Simulator approval applicable for Audited Site (ATCO.OR.C.015)						
No	STD Certificate no.	Location (with specific room)	Qualification			Expiry Date
			Aerodrome Control	Approach Control (APP, APS)	Area Control (ACP, ACS)	
0.5.1	<i>STD-xxx</i>	<i>Filled by ATO</i>	☐	☐	☐	<i>Filled by ATO</i>

Please add rows for additional STDs if needed.

SECTION 1: ORGANISATION & STAFFING IMPLEMENTATION						
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO		CAAT USE ONLY	
			Self-checked	Reference/ Remark	Result	Remarks
1.1	Has the ATO established, implemented and maintained a management system including an up-to-date organisational structure with clearly defined lines of responsibility and accountability, including direct safety accountability of the Accountable Manager?	ATCO.OR.C.001 ATCO.OR.C.001(a)	Choose an item.	<i>filled by ATO</i>	Choose an item.	
1.2	Has the ATO appointed a qualified Accountable Manager (AM) ?	ATCO.OR.C.010(a)	Choose an item.	<i>filled by ATO</i>	Choose an item.	
1.3	Has the ATO appointed a qualified Head of Training (HT) who fulfils all regulatory responsibilities related to training management and oversight? - formally appointed and accountable to the Accountable Manager - extensive experience instructing all types of ATC training - demonstrates sound managerial capability - has overall responsibility for ensuring effective integration of all training - supervises the progress of trainees - responsible for coordinating and delegating contact with CAAT on training-related matters	ATCO.OR.C.010(b) GM1 ATCO.OR.C.010(b);(c) (b) GM1 ATCO.OR.C.010(b);(c) (c) (1)-(4)	Choose an item.	<i>filled by ATO</i>	Choose an item.	
1.4	Has the ATO appointed a Chief Training Instructor / Unit Responsible Training Officer , reporting to the Head of Training (HT), who possesses extensive ATC instructional experience and sound managerial capability, and who is responsible within the scope delegated by the HT for ensuring effective training delivery and supervision of trainees' progress?	GM1 ATCO.OR.C.010(b);(c) (a) GM1 ATCO.OR.C.010(b);(c) (d) (1)-(3)	Choose an item.	<i>filled by ATO</i>	Choose an item.	
1.5	Has the ATO established, implemented, and maintained a management system to define activities with associated competence requirements, and to ensure that personnel assigned to these activities are trained, competent, and maintain their competence through appropriate initial and	ATCO.OR.C.001(e) AMC1 ATCO.OR.C.001(d) (a)-(c)	Choose an item.	<i>filled by ATO</i>	Choose an item.	

SECTION 1: ORGANISATION & STAFFING IMPLEMENTATION						
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO		CAAT USE ONLY	
			Self-checked	Reference/ Remark	Result	Remarks
	recurrent training, including maintaining applicable licences, currency, and accreditations?					
1.6	Has the ATO established and implemented a system to ensure and demonstrate that all theoretical instructors , including non-permanent instructors, are appropriately qualified in accordance with Part-ATCO, Subpart C, including holding appropriate professional or ATC qualifications and demonstrating adequate instructional skills?	AMC1 ATCO.OR.C.001(d) (d) ATCO.D.001	Choose an item.	<i>filled by ATO</i>	Choose an item.	
1.7	Has the ATO established and implemented a system to ensure and demonstrate that all practical instructors — including non-permanent instructors — are qualified in accordance with Part-ATCO, Subpart C? Specifically, does this system ensure that each instructor: 1. Hold or has held (in case of STDI), an appropriate ATC licence with the relevant rating. 2. Where an STDI provides pre-OJT training, holds or has held the relevant unit endorsement; and 3. Possesses a valid OJTI or STDI certificate?	AMC1 ATCO.OR.C.001(d) (d) ATCO.D.005, ATCO.D.015, ATCO.D.030, ATCO.D.035	Choose an item.	<i>filled by ATO</i>	Choose an item.	
1.8	Has the organisation established and implemented the procedures to ensure that the holder of OJTI and STDI certificate comply with the following disciplinary procedures: (1) Must not perform duties during the period of which the Personnel Licence and/or the OTJI Certificate is expired or invalid. (2) Must not be under the influence of alcohol, drugs, or any other stimulant or sedative substances while performing duties. (3) Must not record training progress or fill in the content, or add to, takes from or otherwise alters the training transcript of a Student Air Traffic Controller and Air Traffic Controller in such a way that falsifies the transcript. and	ATCO.C.005(d)	Choose an item.	<i>filled by ATO</i>	Choose an item.	

SECTION 1: ORGANISATION & STAFFING IMPLEMENTATION						
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO		CAAT USE ONLY	
			Self-checked	Reference/ Remark	Result	Remarks
	(4) Shall carry the OJT/ STDI certificates while performing duties at all times in order to be inspected by the Competent Official at any time?					
1.9	Has the organisation established and implemented the procedures to ensure that the holder of OJT certificate only exercise the privileges of the certificate if they have: (1) exercised for at least two years the privilege of the rating they will instruct in. (2) exercised for an immediately preceding period of at least six months the privilege of the valid unit endorsement, in which instruction will be given. (3) practised instructional skills in those procedures in which it is intended to provide instruction?	ATCO.C.010(b)	Choose an item.	<i>filled by ATO</i>	Choose an item.	
1.10	Has the organisation established and implemented the procedures to ensure that the holder of STDI certificate only exercise the privileges of the certificate if they have: (1) at least two years' experience in the rating they will instruct in. (2) demonstrated knowledge of current operational practices. (3) practised instructional techniques in those procedures in which it is intended to provide instruction?	ATCO.C.030(b)	Choose an item.	<i>filled by ATO</i>	Choose an item.	
1.11	Can the ATO demonstrate that their assessors hold an assessor certificate ?	ATCO.OR.C.001(e) AMC1 ATCO.OR.C.001(d) (f)	Choose an item.	<i>filled by ATO</i>	Choose an item.	
1.12	Has the ATO established and implemented a procedure to maintain competence of the theoretical instructors ?	ATCO.OR.C.010(e)	Choose an item.	<i>filled by ATO</i>	Choose an item.	
1.13	Can the ATO demonstrate that practical instructors and assessors successfully complete appropriate refresher training and maintain current operational knowledge in order to revalidate their respective endorsements?	ATCO.OR.C.001(e) AMC1 ATCO.OR.C.001(d) (g) ATCO.OR.C.010(f) ATCO.D.020, ATCO.D.040	Choose an item.	<i>filled by ATO</i>	Choose an item.	
1.14	Does the ATO have sufficient qualified personnel for the planned tasks and activities?	ATCO.OR.C.010(c)	Choose an item.	<i>filled by ATO</i>	Choose an item.	

SECTION 1: ORGANISATION & STAFFING IMPLEMENTATION						
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO		CAAT USE ONLY	
			Self-checked	Reference/ Remark	Result	Remarks
1.15	Does the ATO have a function to monitor compliance of the ATO with the relevant requirements?	ATCO.OR.C.001(g)	Choose an item.	<i>filled by ATO</i>	Choose an item.	
1.16	Is the management system proportionate to the size and complexity of the organisation and its activities?	ATCO.OR.C.001(h)	Choose an item.	<i>filled by ATO</i>	Choose an item.	
1.17	For ATO granted the privilege to provide unit and continuation training , can they ensure that they: (1) hold a certificate for the provision of the air traffic control service; or (2) have concluded a specific agreement with the ATC provider?	ATCO.OR.B.010(b)	Choose an item.	<i>filled by ATO</i>	Choose an item.	
1.18	Is the training organisation's certificate , together with the Training Specification, displayed in a clearly visible and accessible location at the training premises specified in the certificate?	ATCO.OR.B.010 ATCO.OR.B.020	Choose an item.	<i>filled by ATO</i>	Choose an item.	
General Comments:						

SECTION 2: TRAINING AND PROCEDURES						
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO		CAAT USE ONLY	
			Self-checked	Reference/ Remark	Result	Remarks
2.1	Has the organisation prepared, organised and maintained the most updated version of its Training and Procedures Manual (TPM) , consisting of at least the following items: (1) Section 1: General Provisions; (2) Section 2: Name and qualifications of the Accountable Manager; (3) Section 3: Name list and qualifications detailed of the personnel who have been appointed to undertake the responsibilities pertaining to the planning, operations, and supervision of the training; (4) Section 4: Procedures for maintaining the competence of the instructors; (5) Section 5: Content of Training plan; (6) Section 6: Compliance Monitoring System; (7) Section 7: Safety Management System (as applicable); (8) Section 8: Record-Keeping System; and (9) Section 9: Facilities of the Organization with respect to information, documents, and materials used in training?	ATCO.D.005(f)	Choose an item.	<i>filled by ATO</i>	Choose an item.	
2.2	Has the ATO distributed its updated TPM to all parties listed in the distribution list with a method to ensure that all listed parties have actually received the updated version?	ATCO.OR.C.001	Choose an item.	<i>filled by ATO</i>	Choose an item.	
2.3	For the ATO providing initial training , does it include: (i) basic training; (ii) rating training which comprises of the subjects at least one of the following: - Aerodrome Control Visual Rating - ADV. - Aerodrome Control Instrument Rating for Tower - ADI (TWR). - Approach Control Procedural Rating - APP. - Area Control Procedural Rating - ACP. - Approach Control Surveillance Rating - APS.	ATCO.D.005(a) (1) ATCO.D.010(a) (2)	Choose an item.	<i>filled by ATO</i>	Choose an item.	

SECTION 2: TRAINING AND PROCEDURES						
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO		CAAT USE ONLY	
			Self-checked	Reference/ Remark	Result	Remarks
	Area Control Surveillance Rating - ACS?					
2.4	As applicable, has the organisation established the initial training plan containing at least: (a) the composition of the initial training course (b) the structure of the initial training (c) the process for the conduct of the initial training course(s); (d) the training methods; (e) minimum and maximum duration of the initial training course(s); (f) process for adapting the initial training course(s) to take due account of a successfully completed basic training course; (g) processes for examinations and assessments as well as performance objectives; (h) training personnel qualifications, roles and responsibilities; (i) process for early termination of training; (j) the appeal process; (k) identification of records to be kept specific to initial training; (l) process and reasons for reviewing and amending the initial training plan and its submission to CAAT. The review of the initial training plan shall take place at least once every three years?	ATCO.D.015	Choose an item.	<i>filled by ATO</i>	Choose an item.	
2.5	When initial training is provided as an integrated course, has the organisation implemented a clear distinction between the examinations and assessments for (1) basic training; and (2) each rating training?	ATCO.D.020	Choose an item.	<i>filled by ATO</i>	Choose an item.	
2.6	Do the basic training courses delivered by the ATO include appropriate theoretical examinations and performance assessments, and can the ATO demonstrate that these are conducted in accordance with approved standards, including a minimum theoretical pass mark of not less than 75% and assessment of performance objectives using a part-task trainer or simulator, as applicable?	ATCO.D.025(a)-(c)	Choose an item.	<i>filled by ATO</i>	Choose an item.	

SECTION 2: TRAINING AND PROCEDURES						
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO		CAAT USE ONLY	
			Self-checked	Reference/ Remark	Result	Remarks
2.7	Do the rating training courses provided by the ATO include appropriate theoretical examinations and performance assessments, and can the ATO demonstrate that: • A minimum theoretical pass mark of not less than 75% is applied. • Assessment(s) are based on the rating training performance objectives described in ATCO.D.040; and • Are performance objectives assessed using an appropriate simulator?	ATCO.D.035(a)-(d) ATCO.D.040	Choose an item.	<i>filled by ATO</i>	Choose an item.	
2.8	Has the ATO established and implemented a unit training plan as approved by CAAT, which contains at least: (1) ratings and endorsements for which the training is conducted. (2) the structure of the unit training. (3) the list of unit endorsement course(s) according to ATCO.D.060. (4) the process for the conduct of a unit endorsement course. (5) the training methods. (6) the minimum duration of the unit endorsement course(s). (7) process for adapting the unit endorsement course(s) to take due account of the acquired ratings and/or rating endorsements and experience of applicants, when relevant. (8) processes for demonstrating theoretical knowledge and understanding according to ATCO.D.065, including the number, frequency and type of, as well as pass marks for examinations, which shall be a minimum of 75 % of the marks allocated to these examinations. (9) processes for the assessment according to ATCO.D.070, including the number and frequency of assessments. (10) training personnel qualifications, roles and responsibilities. (11) process for early termination of training.	ATCO.D.055(a)-(b)	Choose an item.	<i>filled by ATO</i>	Choose an item.	

SECTION 2: TRAINING AND PROCEDURES						
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO		CAAT USE ONLY	
			Self-checked	Reference/ Remark	Result	Remarks
	(12) the appeal process. (13) identification of records to be kept specific to the unit training. (14) a list of identified abnormal and emergency situations specific for each unit endorsement. (15) process and reasons for reviewing and amending the unit training plan and its submission to CAAT. The review of the unit training plan shall take place at least once every three years.					
2.9	The unit endorsement course provided by the ATO, does it contain: • A transition training phase and an on-the-job training phase. (either separately or integrated) • define the syllabus and the performance objectives in accordance with ATCO.D.045(c) and shall be conducted in accordance with unit training plan • Unit endorsement courses that include training for rating endorsement(s) according to ATCO.B.015 shall be supplemented with additional training that allows for the acquisition of the concerned rating endorsement skills.	ATCO.D.060	Choose an item.	<i>filled by ATO</i>	Choose an item.	
2.10	Has the organisation established and implemented the procedures for theoretical knowledge examinations?	ATCO.D.065	Choose an item.	<i>filled by ATO</i>	Choose an item.	
2.11	For the organisation providing continuation training , does it include: (i) refresher training; (ii) when relevant, conversion training?	ATCO.D.005(a) (3) ATCO.D.075	Choose an item.	<i>filled by ATO</i>	Choose an item.	
2.12	As applicable, has the conversion training course(s) been approved by CAAT including the determination of: (1) the appropriate training method for and duration of the course, taking into account the nature and extent of the change; and	ATCO.D.085(a), (c)	Choose an item.	<i>filled by ATO</i>	Choose an item.	

SECTION 2: TRAINING AND PROCEDURES						
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO		CAAT USE ONLY	
			Self-checked	Reference/ Remark	Result	Remarks
	(2) the examination and/or assessment methods for the conversion training?					
2.13	In case the organisation has developed and provided training of practical instructors , have the training courses and assessment methods been approved CAAT consisting of: (1) a practical instructional techniques course for OJTI and/or STDI, including an assessment; (2) a refresher training course on practical instructional skills; (3) a method(s) for assessing the competence of practical instructors?	ATCO.D.090	Choose an item.	<i>filled by ATO</i>	Choose an item.	
2.14	In case the organisation has developed and provided training of assessors , have the training courses and assessment methods been approved CAAT consisting of: (1) an assessor training course, including an assessment; (2) a refresher training course on assessment skills; (3) a method(s) for assessing the competence of assessors?	ATCO.D.095	Choose an item.	<i>filled by ATO</i>	Choose an item.	
2.15	Has the organisation established and implemented the procedures to ensure that a student air traffic controller is authorised to provide air traffic control services in accordance with the rating(s) and rating endorsement(s) contained in their licence under the supervision of an on-the-job training instructor (OJTI)?	ATCO.B.001(a)	Choose an item.	<i>filled by ATO</i>	Choose an item.	
2.16	Does the training organisation make available to the applicant his/her results of examinations and assessments?	ATCO.OR.D.005(a)	Choose an item.	<i>filled by ATO</i>	Choose an item.	
2.17	Upon successful completion of initial training, or of rating training for the issue of an additional rating, does the training organisation issue a Graduation Certificate with the following details: (1) Name and Certificate Number of the Organisation (2) Full name of the graduate (3) Name of the training course	ATCO.OR.D.005(b) R2CAAT No.78 Clause 17	Choose an item.	<i>filled by ATO</i>	Choose an item.	

SECTION 2: TRAINING AND PROCEDURES						
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO		CAAT USE ONLY	
			Self-checked	Reference/ Remark	Result	Remarks
	(4) Graduation date (5) Name of the person authorized to sign on behalf of the Organisation					
General Comments:						

SECTION 3: FOR THEORETICAL TRAINING - <i>Standards of Training and Facilities, Tools & Equipment</i>						
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO		CAAT USE ONLY	
			Self-checked	Reference/ Remark	Result	Remarks
3.1	Can the organisation ensure the granting of access to any person authorised by or acting on behalf of CAAT to the relevant premises in order to examine the facilities and any other materials pertinent to the execution of the tasks of CAAT?	ATCO.OR.B.025	Choose an item.	<i>filled by ATO</i>	Choose an item.	
3.2	Has the organisation provided facilities that are adequate and appropriate to the size and scope of its intended operations, in an environment conducive to learning, to support the management and delivery of theoretical training, including: (1) Classrooms (2) Office space for managerial, administrative and training staff. (3) Library facilities. (4) Storage areas (including secure areas for training and personnel records)?	ATCO.OR.C.015(a) AMC1 ATCO.OR.C.015(a) (a) AMC1 ATCO.OR.C.015(a) (b) GM1 ATCO.OR.C.015(a) (a)	Choose an item.	<i>filled by ATO</i>	Choose an item.	
3.3	Is the ATO able to demonstrate effective theoretical training delivery, including instructor credibility, effective presentation techniques, adherence to approved course documentation, maintenance of training realism, and proper time management?	R2CAAT No.78 Clause 20(2), (4) ATCO.OR.C.001(e) ATCO.OR.C.010(d)	Choose an item.	<i>filled by ATO</i>	Choose an item.	
General Comments:						

SECTION 4: FOR PRACTICAL TRAINING - <i>Standards of Training and Facilities, Tools, Equipment & Training Devices</i>						
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO		CAAT USE ONLY	
			Self-checked	Reference/ Remark	Result	Remarks
4.1	Can the organisation ensure the granting of access to any person authorised by or acting on behalf of CAAT to the relevant premises in order to examine the facilities and any other materials pertinent to the execution of the tasks of CAAT?	ATCO.OR.B.025	Choose an item.	<i>filled by ATO</i>	Choose an item.	
4.2	Has the organisation provided and maintained access to facilities that are adequate and appropriate to the size and scope of its intended operations, in an environment conducive to learning, to support the performance and management of all planned tasks and activities, including sufficient training areas: (1) Rooms for briefing and debriefing and (2) Suitably equipped rooms for practical training?	ATCO.OR.C.015(a) AMC1 ATCO.OR.C.015(a) (a) GM1 ATCO.OR.C.015(a) (b)	Choose an item.	<i>filled by ATO</i>	Choose an item.	
4.3	Does the ATO ensure that the synthetic training devices (STD) used for training comply with applicable specifications and are appropriate for the intended training tasks?	ATCO.OR.C.015(b) AMC1 ATCO.OR.C.015(b)	Choose an item.	<i>filled by ATO</i>	Choose an item.	
4.4	Is the ATO able to demonstrate a desirable quality of practical training (STD) delivery?	R2CAAT No.78 Clause 20(2), (4) ATCO.OR.C.015(a) ATCO.OR.C.015(b)	Choose an item.	<i>filled by ATO</i>	Choose an item.	
4.5	During on-the-job training (OJT) conducted in an operational environment, can the ATO demonstrate that OJT is delivered in a controlled and effective manner, including ensuring that the instructor has access to the same operational information as the trainee and has the capability to intervene immediately when necessary?	R2CAAT No.78 Clause 20(2), (4) ATCO.OR.C.015(c)	Choose an item.	<i>filled by ATO</i>	Choose an item.	
General Comments:						

SECTION 5: RECORD KEEPING						
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO		CAAT USE ONLY	
			Self-checked	Reference/ Remark	Result	Remarks
5.1	Has the ATO established, implemented and maintained a documented management system and record-keeping system to ensure effective document control, monitoring, amendment, traceability, and personnel awareness of responsibilities? The system should ensure, as applicable: a) Document Control and Review b) Document register/ Master index that lists all policies, processes and procedures. c) Includes as a minimum the following: (1) master record index. (2) training provider certificate. (3) management structure. (4) staff role profiles including accountabilities and responsibilities. (5) training manuals, plans and courses. (6) evidence of regulatory compliance. (7) change control process. (8) safety management manual. (9) course design documents. (10) instructor/ assessor qualification and competence records?	ATCO.OR.C.001(f) <i>AMC1 ATCO.OR.C.001(e)</i>	Choose an item.	<i>filled by ATO</i>	Choose an item.	
5.2	Has the ATO established and maintained records of instructors and assessors to demonstrate their qualifications, competence, and the subjects they are authorised to teach or assess? Records should include, as applicable: - Personal information - Professional qualifications and competence records - Instructional techniques assessment records - Subjects authorised to teach or assess - Refresher training records - Assessment reports	ATCO.OR.C.010(d), ATCO.OR.C.020(b) <i>AMC1 ATCO.OR.C.020(a);(b)</i>				

SECTION 5: RECORD KEEPING						
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO		CAAT USE ONLY	
			Self-checked	Reference/ Remark	Result	Remarks
	- Instructional and/or assessment time records					
5.3	Has the ATO established and maintained detailed training records for each person undertaking or having undertaken training to demonstrate that all course requirements have been met? Records should include, as applicable: - Personal information - Details of training received (including start date) - Examination and assessment results - Detailed and regular progress reports - Certificate of completion of training courses	ATCO.OR.C.020(a) AMC1 ATCO.OR.C.020(a);(b)				
5.4	Has the ATO established procedures for the retention, archiving, protection and submission of training records? The system shall ensure that: a) Records are retained for at least 5 years - after completion of training, and - after an instructor or assessor ceases to perform duties b) The archiving process and record format are defined in the management system c) Records are stored securely	ATCO.OR.C.020(c)(d)(e)				
5.3	Can the ATO ensure the granting of access to any person authorised by or acting on behalf of CAAT to the relevant premises in order to examine the required records, data, procedures and any other materials pertinent to the execution of the tasks of CAAT?	ATCO.OR.B.025	Choose an item.	<i>filled by ATO</i>	Choose an item.	
General comments:						

SECTION 6: COMPLIANCE MONITORING SYSTEM (CMS) (ATCO.OR.C.001)						
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO		CAAT USE ONLY	
			Self-checked	Reference/ Remark	Result	Remarks
6.1	Has the ATO established, implemented and maintained a compliance monitoring system to ensure that all training activities comply with applicable regulatory requirements and the organisation's procedures? The system should include a feedback mechanism to the Accountable Manager to ensure effective implementation of corrective actions and continuous improvement of the management system.	ATCO.OR.C.001(g) AMC1 ATCO.OR.C.001(f) AMC2 ATCO.OR.C.001(f)	Choose an item.	<i>filled by ATO</i>	Choose an item.	
6.2	Is the compliance monitoring system proportionate to the size and complexity of the ATO and its activities?	ATCO.OR.C.001(h)	Choose an item.	<i>filled by ATO</i>	Choose an item.	
6.3	Does the ATO conduct training activities within the scope and privileges defined in the terms of approval attached to the ATO certificate?	ATCO.OR.B.010(a)	Choose an item.	<i>filled by ATO</i>	Choose an item.	
6.4	Has the ATO established and implemented procedures to identify, assess and manage changes affecting its certificate, terms of approval, organisation, management system or training activities? The procedures shall ensure that: - changes requiring prior approval are submitted to CAAT before implementation. - changes not requiring prior approval are managed through the organisation's internal procedures and notified CAAT. - unforeseen changes affecting approved elements are notified to CAAT without delay; and CAAT is notified when relevant activities are ceased.	ATCO.OR.B.015	Choose an item.	<i>filled by ATO</i>	Choose an item.	
6.5	In case the ATO has received notification of findings issued by CAAT, Does the ATO implement corrective actions within the agreed timeframe and demonstrate implementation effectiveness to the satisfaction of CAAT?	ATCO.OR.B.030	Choose an item.	<i>filled by ATO</i>	Choose an item.	
6.6	When contracting or purchasing any part of its activities, does the organisation ensure that:	ATCO.OR.C.005 AMC1 ATCO.OR.C.005	Choose an item.	<i>filled by ATO</i>	Choose an item.	

SECTION 6: COMPLIANCE MONITORING SYSTEM (CMS) (ATCO.OR.C.001)						
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO		CAAT USE ONLY	
			Self-checked	Reference/ Remark	Result	Remarks
	(a) the contracted or purchased activity complies with all applicable regulatory requirements; and (b) CAAT is granted access to the contracted organisation as necessary to determine continued compliance? <i>The ATO should:</i> - define the scope of contracted activities in written agreement. - ensure that contracted safety-related activities relevant to the agreement are included in ATO's compliance monitoring programme. - ensure that the contracted organisation has the necessary authorisation or approval when required, and commands the resources and competence to undertake the task					
General Comments:						

SECTION 7: SAFETY MANAGEMENT SYSTEM (SMS) (ATCO.OR.C.001)						
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO		CAAT USE ONLY	
			Self-checked	Reference/ Remark	Result	Remarks
7.1	Has the ATO established, implemented and maintained a Safety Management System (SMS) for conducting ATC training in a live air traffic control environment, and is the SMS suitable and proportionate to the size, nature and complexity of the organisation and its activities?	ATCO.OR.C.001(d) ATCO.OR.C.001(h)	Choose an item.	<i>filled by ATO</i>	Choose an item.	
7.2	Has the ATO established, implemented and maintained a Safety Policy that: - is endorsed by the AM. - identifies safety as the highest ATO priority. - includes commitments required by AMC1 ATCO.OR.C.001(b)(c) - is communicated throughout the ATO. - incorporates safety reporting and just culture principles. - enhance and embed safety culture and safety awareness. - is periodically reviewed to ensure continued relevance?	ATCO.OR.C.001(b) AMC1 ATCO.OR.C.001(b) (a) AMC1 ATCO.OR.C.001(b) (b) AMC1 ATCO.OR.C.001(b) (c) AMC1 ATCO.OR.C.001(b) (d) AMC1 ATCO.OR.C.001(b) (e) AMC1 ATCO.OR.C.001(b) (f) AMC1 ATCO.OR.C.001(b) (g)	Choose an item.	<i>filled by ATO</i>	Choose an item.	
7.3	Does the ATO identify aviation safety hazards associated with its training activities, evaluate the associated risks, and implement risk mitigation measures, including verification of their effectiveness?	ATCO.OR.C.001(c)	Choose an item.	<i>filled by ATO</i>	Choose an item.	
7.4	Does the ATO have established processes and procedures for occurrence reporting related to training activities? The process shall ensure that: a) The ATO reports to CAAT, and to any other organisation required by the State of the Operator, any accident, serious incident, or occurrence resulting from training activities. b) Reports are submitted as soon as practicable and within 72 hours after the training organisation identifies the condition, unless exceptional circumstances prevent this. c) Where relevant, the ATO produces a follow-up report describing the actions intended to prevent similar occurrences in the future.	ATCO.OR.B.040	Choose an item.	<i>filled by ATO</i>	Choose an item.	

SECTION 7: SAFETY MANAGEMENT SYSTEM (SMS) (ATCO.OR.C.001)						
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO		CAAT USE ONLY	
			Self-checked	Reference/ Remark	Result	Remarks
	d) Reports are submitted in the form and manner established by CAAT and contain all relevant and pertinent information known to the organisation.					
7.5	In case a change is introduced within the ATO, how does the ATO ensure that the change does not adversely affect safety?	ATCO.OR.B.015	Choose an item.	<i>filled by ATO</i>	Choose an item.	
7.6	Does the ATO implement safety measures mandated by CAAT in response to identified safety problems?	ATCO.OR.B.035	Choose an item.	<i>filled by ATO</i>	Choose an item.	
General Comments:						

INITIAL SURVEILLANCE REPORT

Category	Description
Level 1	A level 1 finding shall be issued when any significant noncompliance is detected with the applicable requirements of CAAT Regulations and its Implementing Rules, with the organisation's procedures and manuals or with the terms of an approval or certificate which lowers safety or seriously hazards flight safety. Timescale for corrective action is recommended as immediate to 3 days. <u>The level 1 findings shall include:</u> (1) failure to give CAAT access to the organisation's facilities during normal operating hours and/or after an official written request; (2) obtaining or maintaining the validity of the organisation certificate by falsification of submitted documentary evidence; (3) evidence of malpractice or fraudulent use of the organisation certificate; and (4) the lack of an accountable manager.
Level 2	A level 2 finding shall be issued when any non-compliance is detected with the applicable requirements of CAAT Regulations and its Implementing Rules, with the organisation's procedures and manuals or with the terms of an approval or certificate which could lower safety or hazard flight safety. Timescale for corrective action is recommended as up to 3 months
Observation	An observation is opportunity for improvement which is minor gap, mostly documented and implemented. The management system that may be weak, cumbersome, redundant, overly complex, or in some other manner, may, in the opinion of the auditor, offer an opportunity for an organisation to improve its current status. For internal quality audit, an observation is not subject to any corrective actions.

Deficiencies Overall, there are.....items found unsatisfactory, indicated in the table below.

No.	Section	Findings		In Part (Observation)
		Lv.1	Lv.2	
1	ORGANISATION & STAFFING IMPLEMENTATION			
2	TRAINING AND PROCEDURES			
3	FOR THEORETICAL TRAINING - Standards of Training and Facilities, Tools & Equipment			
4	FOR PRACTICAL TRAINING - Standards of Training and Facilities, Tools, Equipment & Training Devices			
5	RECORD KEEPING			
6	COMPLIANCE MONITORING SYSTEM (CMS)			
7	SAFETY MANAGEMENT SYSTEM (SMS)			
Total				

The **official findings** will be issued in the form of Non-Compliance Forms (NCF) along with an official audit report, the organisation is required to complete the NCFs and return them with supporting documents within the given time stated on the NCFs. The follow-up actions are also written in the official audit report.

Compliance Monitoring Manager:
Date:

Team Leader Inspector:
Date: