

Applicant's Information					
Name of Organization:					
FOOTO certificate no.: <i>FOOTO-XXXX</i> (For initial certification, TBA shall be indicated.)		Expiry Date: <i>DD – MMM – YYYY</i> (For initial certification, TBA shall be indicated.)		Coordinator Name: Email:	
Address of Audited Site	Main base:				
	Other base(s):				
Applicant's declaration and acceptance of the General Conditions					
By signing below, I, as an authorised representative of (<i>FOOTO name</i>), hereby confirm that I have the legal capacity and authority to submit this checklist to the Civil Aviation Authority of Thailand (CAAT), and that the information provided in this self-assessment, as well as all documents attached hereto, are true, accurate, and complete. Where applicable, I acknowledge that I have read and understood the General Conditions and Terms of Payment in accordance with the relevant CAAT rules and regulations, and agree to comply with them. I further declare that I am aware that inspection fees, certificate fees, and all other applicable charges must be paid regardless of whether the application is approved, and that such fees may be non-refundable. I also acknowledge that I am aware of the consequences of non-payment. Furthermore, I declare that, should any information or document submitted be found to be untrue, false, misleading, or incomplete, CAAT is authorised to suspend or revoke the Approval Certificate and/or refuse to recognise any training or learning outcomes issued by my FOOTO.					
Name - Last Name: _____		Signature: _____		Date: <i>DD – MMM – YYYY</i>	
CAAT Officials Use only					
Reference No. (Organisation official letter no. or EMPIC REQUEST No. as applicable)		Date of Inspection / Audit: <i>DD – MMM – YYYY</i>		Financial (If applicable) ☐ Invoice No..... Date:..... ☐ Receipt No..... Date:.....	
Type of Audit:	☐ Initial Certification ☐ Planned Surveillance ☐ Re-Certification ☐ Renewal Certification ☐ Unplanned Surveillance ☐ Other, please specify				
Method of Audit:	☐ On-Site ☐ Online / Virtual ☐ Self-Assessment (Document) ☐ Other, please specify				
Audit Team	No.	Name - Last Name	Position	Credential I.D.	Signature
	1		Lead Auditor		
	2				
	3				
	4				
	5				

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.
N/R = Not Reviewed	shall be applied where the information contained in a specific table cell has not been reviewed or inspected for the purposes of a particular inspection event.
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.
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 <i>and</i> 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 select S or U, with additional comments as deemed appropriate. In cases where the status is “Not Applicable (N/A)” or “Not Reviewed (N/R)”, the option “S” shall be selected, and the relevant notation “N/A” or “N/R”, as applicable, shall be clearly indicated in the Remarks column for each respective case. (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. Regulation of the Civil Aviation Authority of Thailand No. 24 on the Qualifications of Personnel Applicants (RCAAT No.24) 2. Regulation of the Civil Aviation Authority of Thailand No. 32 on the Qualifications of Personnel Disciplines (RCAAT No.32) 3. Requirement of the Civil Aviation Authority of Thailand No. 76 Part Approved Flight Operations Officer/Flight Dispatcher Training Organisation (TCAR PEL Part FOO/FD.OR and Cover Regulation to TCAR PEL Part FOO/FD.OR), as amended 4. Notification of the Civil Aviation Authority of Thailand on AMC/GM to TCAR PEL Part FOO/FD.OR, as amended 5. Requirement of the Civil Aviation Authority of Thailand No.121 on the Flight Operations Officer/Flight Dispatcher Licensing (TCAR PEL Part FOO/FD and Cover Regulation to TCAR PEL Part FOO/FD), as amended 6. Notification of the Civil Aviation Authority of Thailand on AMC/GM to TCAR PEL Part FOO/FD, as amended 7. Doc 9841 Manual on the Approval of Training Organizations, 3rd Edition, 2018 8. Doc 9868 PANS-TRG, 3rd Edition, 2020 9. Doc 10106 Manual on Flight Operations Officers/Flight Dispatchers Competency-based Training and Assessment, 1st Edition, 2021 10. Doc 10097 Training Instructors Guide, 1st edition, 2021	

SECTION 0: GENERAL INFORMATION OF THE ATO

0.1 List of Key personnel			
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	Head of training (HT)	<i>Filled by ATO</i>	<i>Filled by ATO</i>
0.1.3	Compliance Monitoring Manager (CMM)	<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					
No	Name-Last Name	Term of Employment		Type of Instructor	
		Full-Time	Part-Time	Theoretical	Practical
0.2.1	Name - Last name of the instructional personnel	☐	☐	☐	☐

Please add rows for additional Instructional personnel if needed.

0.3 List of Course approval applicable for Audited Site				
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 Management Manual approval applicable for Audited Site				
No	Title of Manual	Issue	Revision	Date of Approval
0.4.1	<i>Organization Management Manual (OMM)</i>	<i>Filled by ATO</i>	<i>Filled by ATO</i>	<i>Filled by ATO</i>
0.4.1	<i>Training Manual (TM)</i>			

Please add rows for additional manuals if needed.

SECTION 1: ORGANISATION & MANAGEMENT									
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO				CAAT USE ONLY		
			Yes	No	N/A	Reference/ Remark	S	U	Remarks
1.1	Has the organisation established and maintained an organisational structure and management system proportionate to the size and complexity of its activities, with clearly defined lines of responsibility and accountability throughout the organisation?	FOO/FD.OR.010	☐	☐	☐		☐	☐	
1.2	Has the organisation prepared and maintained an up-to-date Organisation Management Manual (OMM) describing the organisation's structure, policies, responsibilities, management system, compliance monitoring arrangements and procedures for contracted activities?	FOO/FD.OR.015 FOO/FD.OR.020 Doc 10106 Chapter 5 Topic 5.7	☐	☐	☐		☐	☐	
1.3	Is the organisation's approval certificate and associated training specification displayed in a clearly visible location at the approved training premises, including Main Base?	FOO/FD.OR.050(5)	☐	☐	☐		☐	☐	
1.4	Has the organisation formally appointed suitably qualified and Authority-accepted key management personnel , including the Accountable Manager, Head of Training and Compliance Monitoring Manager , with clearly defined responsibilities and authority to ensure compliance with applicable requirements?	FOO/FD.OR.010(7)(a), (b), (d) FOO/FD.OR.050(2) Doc 10106 Chapter 5 Topic 5.7	☐	☐	☐		☐	☐	
1.5	Does the organisation demonstrate that sufficient , suitably qualified and competent personnel are available and assigned to perform the planned activities in accordance with the approved procedures and applicable requirements?	FOO/FD.OR.010	☐	☐	☐		☐	☐	
1.6	Does the organisation maintain procedures to manage organisational or operational changes , including the review, control and communication of changes affecting policies, procedures, training programmes, equipment and operational practices to ensure continued standardisation of training delivery?	FOO/FD.OR.050(1) Doc 9841, Chapter 3, Clause 3.8 Topic 3.8.2	☐	☐	☐		☐	☐	
1.7	Does the organisation maintain procedures to identify organisational changes that require prior approval from the Authority and ensure that CAAT is notified and provided with	FOO/FD.OR.050(1)	☐	☐	☐		☐	☐	

SECTION 1: ORGANISATION & MANAGEMENT									
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO				CAAT USE ONLY		
			Yes	No	N/A	Reference/ Remark	S	U	Remarks
	the relevant supporting documentation before such changes are implemented?								
1.8	Does the organisation maintain procedures to identify organisational or management changes that must be notified to CAAT , and ensure that such changes, including changes to the Accountable Manager and other nominated persons, are reported within the applicable regulatory timeframes ? <i>*Note: Verify that notifications to CAAT are made within the regulatory timeframes (e.g. seven days for changes to the Accountable Manager and fourteen days for other organisational changes).</i>	FOO/FD.OR.050(10) FOO/FD.OR.050(11)	☐	☐	☐		☐	☐	
1.9	Where outsourced training activities or contracted external providers are utilised, has the organisation ensured that formal agreements , defined responsibilities , and operational oversight arrangements are established, and that the organisation retains full regulatory accountability ?	FOO/FD.OR.050(1), (2)	☐	☐	☐		☐	☐	
1.10	Does the organisation ensure that authorised representatives of CAAT are granted access to relevant premises, records, data, procedures and other materials necessary for the performance of regulatory oversight tasks?	FOO/FD.OR.050(8) FOO/FD.OR.055(1),(2)	☐	☐	☐		☐	☐	
General Comments:									

SECTION 2: TRAINING PROGRAMME DESIGN									
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO				CAAT USE ONLY		
			Yes	No	N/A	Reference/ Remark	S	U	Remarks
2.1	Has the organisation prepared and maintained an up-to-date Training Manual (TM) describing the training policy, training standards, instructional arrangements, assessment standards, training materials, and limitations such as class size and instructor-to-trainee ratios, and ensured that the manual is distributed and accessible to relevant personnel?	FOO/FD.OR.015 FOO/FD.OR.020 FOO/FD.OR.050(6) Doc 10106 Chapter 5 Topic 5.7 Doc 9841, Chapter 4, Clause 4.2	☐	☐	☐		☐	☐	
2.2	Does the organisation provide training courses within the scope of its approval, including Flight Operations Officers/Flight Dispatchers Course and Refresher Training for Renewal of Flight Operations Officers/ Flight Dispatchers Licence?	FOO/FD.OR.070	☐	☐	☐		☐	☐	
2.3	Is the training programme used by the organisation identical to the programme approved by the Authority? <i>*Note: To check training programme design compliance: course design document, syllabus, lesson structure, training hours, course content.</i>	FOO/FD.OR.050(3)	☐	☐	☐		☐	☐	
2.4	For course approval , has the organisation prepared and maintained course documentation including a training plan , course design document , lesson plans, and a course timetable describing objectives, entry requirements, training methods, course content, training hours, instructional materials and trainee evaluation methods?	FOO/FD.OR.070(2)	☐	☐	☐		☐	☐	
2.5	Has the organisation prepared and maintained a course manual containing, as applicable, entry qualifications, details of personnel responsible for training, training locations, and training equipment and facilities?	FOO/FD.OR.070(3)	☐	☐	☐		☐	☐	
2.6	Does the course syllabus contain details as prescribed in relevant regulation covering the following subject : (1) Air law (2) Aircraft general knowledge (3) Flight performance calculation, planning procedures and loading (4) Human performance	RCAAT No.24 Clause 5(19) FOO/FD.040 Doc 10106 Appendix A	☐	☐	☐		☐	☐	

SECTION 2: TRAINING PROGRAMME DESIGN									
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO				CAAT USE ONLY		
			Yes	No	N/A	Reference/ Remark	S	U	Remarks
	(5) Meteorology (6) Navigation (7) Operational procedures (8) Principles of flight (9) Radio communication?								
2.7	Does the approved training programme define the methods of trainee evaluation , including the types of knowledge and practical assessments, examination formats, pass standards, and arrangements for remedial training and retesting where applicable?	FOO/FD.OR.050(3), (4) FOO/FD.OR.070(2) FOO/FD.OR.075 FOO/FD.OR.085 Doc 9841, Appendix A, Part I, Section 3, Clause 3.1	☐	☐	☐		☐	☐	
2.8	Does the organisation define the maximum trainee intake and training capacity for each course, taking into account available instructional, facilities and operational resources?	FOO/FD.OR.010 (3) FOO/FD.OR.050	☐	☐	☐		☐	☐	
2.9	Has the organisation established and maintained procedures for course development and programme revision , including document control where applicable, to ensure that approved training remains current and compliant with applicable requirements?	FOO/FD.OR.070(4)	☐	☐	☐		☐	☐	
General Comments:									

SECTION 3: TRAINING METHOD COMPLIANCE									
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO				CAAT USE ONLY		
			Yes	No	N/A	Reference/ Remark	S	U	Remarks
3.1	Is training conducted in accordance with the training methodology approved by the Authority and documented in the approved manuals, and is this methodology communicated to instructors and consistently applied in practice?	FOO/FD.OR.085(2) FOO/FD.OR.075 Doc 10106 Chapter 5	☐	☐	☐		☐	☐	
3.2	Is training delivered in accordance with the approved training methodology and lesson plans , including coverage of defined learning objectives and instructional sequence? <i>*Note: To check training methodology compliance: lesson plan, instructor delivery, learning objective coverage, teaching sequence.</i>	FOO/FD.OR.085(2) FOO/FD.OR.075 Doc 10106 Chapter 5	☐	☐	☐		☐	☐	
3.3	Do instructors deliver training in accordance with the approved instructional procedures and lesson structures , and does the organisation ensure consistent application of the approved training methodology across instructors and course intakes?	FOO/FD.OR.085(2) FOO/FD.OR.075 Doc 10106 Chapter 5	☐	☐	☐		☐	☐	
3.4	Does the training programme ensure that trainees actively participate in training activities and perform the operational tasks required by the approved programme under appropriate instructor supervision, and supported by evidence demonstrating completion?	FOO/FD.OR.085(2) FOO/FD.OR.075 Doc 10106 Chapter 5	☐	☐	☐		☐	☐	
3.5	Are trainee assessments conducted in accordance with the approved assessment procedures , including the use of approved assessment formats , the recording of assessment decisions at trainee level, and the application of reassessment procedures where required?	FOO/FD.OR.085(2) FOO/FD.OR.075 Doc 10106 Chapter 5	☐	☐	☐		☐	☐	
3.6	Where deviations from the approved training methodology occur, are such deviations recorded , appropriately authorised where required, subject to corrective action , and supported by evidence demonstrating restoration of compliance?	FOO/FD.OR.085(2) FOO/FD.OR.090	☐	☐	☐		☐	☐	
3.7	Is the training environment suitable for conducting operational exercises, including the provision of relevant operational data sources necessary to support realistic training activities where required?	FOO/FD.OR.085(2) FOO/FD.OR.075	☐	☐	☐		☐	☐	

SECTION 3: TRAINING METHOD COMPLIANCE									
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO				CAAT USE ONLY		
			Yes	No	N/A	Reference/ Remark	S	U	Remarks
3.8	During training delivery, are instructors able to identify trainee learning difficulties and provide appropriate instructional support , and where training sessions are interrupted or incomplete, does the organisation ensure that training requirements are rescheduled and fully completed?	FOO/FD.OR.085(2) FOO/FD.OR.075	☐	☐	☐		☐	☐	
3.9	Where a competency-based training programme is approved, are competency assessments conducted as required, and is trainee progression through the defined competencies documented and verified prior to course completion?	FOO/FD.OR.085(2) FOO/FD.OR.075 Doc 10106 Chapter 5	☐	☐	☐		☐	☐	
General Comments:									

SECTION 4: INSTRUCTOR SYSTEM & QUALIFICATION									
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO				CAAT USE ONLY		
			Yes	No	N/A	Reference/ Remark	S	U	Remarks
4.1	Has the organisation established and implemented procedures to ensure that all instructors , including non-permanent instructors, are appropriately qualified in accordance with TCAR PEL Part FOO/FD, including subject knowledge, instructional competence, and where applicable appropriate operational experience as a licensed Flight Operations Officer/Flight Dispatcher?	FOO/FD.OR.010 FOO/FD.OR.075 FOO/FD.060	☐	☐	☐		☐	☐	
4.2	Are personnel responsible for training, including course directors and instructors , formally designated , appropriately qualified and experienced in accordance with regulatory requirements?	FOO/FD.OR.010(7) FOO/FD.OR.085(2)	☐	☐	☐		☐	☐	
4.3	Are instructor roles and responsibilities clearly defined and communicated , including responsibilities for conducting training in accordance with approved manuals, complying with organisational procedures, and maintaining required training records?	FOO/FD.OR.010(7) FOO/FD.OR.085(2)	☐	☐	☐		☐	☐	
4.4	Does the organisation provide initial briefing for newly appointed instructors and conduct periodic instructor standardisation activities, including communication of changes to training or examination procedures, with records of such activities maintained ?	FOO/FD.OR.010(7) FOO/FD.OR.085(2)	☐	☐	☐		☐	☐	
4.5	Are instructors competent to deliver training and assess trainee performance effectively, including the ability to apply instructional techniques, design and supervise exercises, evaluate trainee performance objectively, and provide appropriate feedback ?	FOO/FD.OR.050(3) FOO/FD.OR.075 Doc 10097 Appendix A Doc 10106 Chapter 5 Clause 5.8	☐	☐	☐		☐	☐	
4.6	Does the organisation monitor instructor performance during training activities and ensure that any identified performance deficiencies are addressed through appropriate management action?	FOO/FD.OR.010(7) FOO/FD.OR.085(2)	☐	☐	☐		☐	☐	
4.7	Does the organisation ensure that instructors remain current in relevant operational and regulatory requirements and maintain	FOO/FD.OR.010(7) FOO/FD.OR.050(3)	☐	☐	☐		☐	☐	

SECTION 4: INSTRUCTOR SYSTEM & QUALIFICATION									
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO				CAAT USE ONLY		
			Yes	No	N/A	Reference/ Remark	S	U	Remarks
	professional competence through appropriate development activities?	FOO/FD.OR.075 FOO/FD.OR.085(2) Doc 10097 Appendix A							
4.8	Does the organisation ensure that sufficient instructors are available to support the approved training programme, including appropriate workload allocation and arrangements to maintain training continuity where instructors are unavailable?	FOO/FD.OR.010(7) FOO/FD.OR.085(2)	☐	☐	☐		☐	☐	
4.9	Where guest or contract instructors are used, does the organisation apply the same qualification, authorisation, briefing and oversight requirements as for permanent instructors?	FOO/FD.OR.010(7) FOO/FD.OR.085(2)	☐	☐	☐		☐	☐	
4.10	Where instructors hold a FOO/FD licence , does the organisation ensure compliance with applicable disciplinary provisions prescribed by the Authority?	FOO/FD.OR.050(2) RCAAT No.32 Clause 5-11, 14-15	☐	☐	☐		☐	☐	
General Comments:									

SECTION 5: TRAINING FACILITIES, TOOLS & EQUIPMENT									
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO				CAAT USE ONLY		
			Yes	No	N/A	Reference/ Remark	S	U	Remarks
5.1	Has the organisation provided adequate facilities to support the approved training activities, including suitable classrooms , examination rooms, office space for managerial and instructional staff, reference or library facilities, and secure storage for training and personnel records, with premises appropriate to the size and scope of the training programmes, and clearly displayed and accessible emergency evacuation procedures?	FOO/FD.OR.010(4), (5) FOO/FD.OR.080 Doc 9841, Chapter 6, Clause 6.1	☐	☐	☐		☐	☐	
5.2	Does the organisation provide a training environment that enables trainees to perform operational planning and dispatch tasks under realistic working conditions, including where applicable simulation of an operational control environment?	FOO/FD.OR.085	☐	☐	☐		☐	☐	
5.3	Do training personnel and trainees have access to current operational and regulatory reference materials , including aeronautical information, meteorological data and performance documentation, and are such materials controlled to ensure currency?	FOO/FD.OR.010(5) FOO/FD.OR.085	☐	☐	☐		☐	☐	
5.4	Does the organisation provide adequate computer systems and operationally representative planning tools to support flight planning and dispatch activities, including access to relevant operational data sources and arrangements for system backup and data protection ?	FOO/FD.OR.010(5) FOO/FD.OR.085	☐	☐	☐		☐	☐	
5.5	Does the organisation ensure that appropriate communication facilities are available to support the performance of operational coordination tasks during training, including dispatcher-pilot communication and, where applicable, data-link or operational message-handling systems?	FOO/FD.OR.010(5) FOO/FD.OR.085	☐	☐	☐		☐	☐	
5.6	Does the organisation ensure the security and integrity of examination facilities , materials and electronic systems, including measures to prevent unauthorised access to	FOO/FD.OR.010(5) FOO/FD.OR.085	☐	☐	☐		☐	☐	

SECTION 5: TRAINING FACILITIES, TOOLS & EQUIPMENT									
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO				CAAT USE ONLY		
			Yes	No	N/A	Reference/ Remark	S	U	Remarks
	examination rooms, secure storage and control of examination content, and protection of electronic examination platforms from unauthorised use?								
5.7	Does the organisation ensure the continued serviceability of training equipment, including arrangements for maintenance , documented defect reporting procedures, and controls to prevent the use of unserviceable equipment?	FOO/FD.OR.010(5) FOO/FD.OR.085	☐	☐	☐		☐	☐	
5.8	Does the organisation maintain contingency arrangements to ensure continuity of training in the event of failure or unavailability of critical training systems, facilities or operational resources?	FOO/FD.OR.010(5) FOO/FD.OR.085	☐	☐	☐		☐	☐	
General Comments:									

SECTION 6: TRAINING DELIVERY & STUDENT MANAGEMENT									
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO				CAAT USE ONLY		
			Yes	No	N/A	Reference/ Remark	S	U	Remarks
6.1	Does the organisation ensure that trainees are admitted to training only after verification and documentation of eligibility in accordance with the entry requirements of the approved programme, including confirmation of identity and qualifications?	FOO/FD.OR.080 FOO/FD.OR.085	☐	☐	☐		☐	☐	
6.2	Does the organisation ensure that the commencement of each training course is formally controlled and documented , including confirmation of trainee enrolment, assignment to the approved programme, designation of responsible instructors, and formal recording of the course start?	FOO/FD.OR.080 FOO/FD.OR.085	☐	☐	☐		☐	☐	
6.3	Does the organisation ensure that training delivery follows the Authority-approved training programme , including adherence to the approved syllabus, course schedule and instructional materials, with appropriate control and authorisation of any deviations ? <i>*Note: To check training operational control: course schedule, syllabus adherence, class records, programme deviation.</i>	FOO/FD.OR.080 FOO/FD.OR.085	☐	☐	☐		☐	☐	
6.4	Does the organisation monitor and record trainee attendance and participation in training activities, including recording absences and implementing documented arrangements for required make-up training where applicable?	FOO/FD.OR.080 FOO/FD.OR.085	☐	☐	☐		☐	☐	
6.5	Does the organisation monitor trainee performance and progress throughout the course, inform trainees of their progress, and take appropriate corrective or instructional action where performance does not meet course requirements?	FOO/FD.OR.080 FOO/FD.OR.085	☐	☐	☐		☐	☐	
6.6	Does the organisation ensure that trainee conduct is formally controlled through documented disciplinary rules and procedures contained in the approved manuals, that such requirements are communicated to trainees, implemented where necessary during training, and that disciplinary actions are appropriately documented ?	FOO/FD.OR.085	☐	☐	☐		☐	☐	

SECTION 6: TRAINING DELIVERY & STUDENT MANAGEMENT									
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO				CAAT USE ONLY		
			Yes	No	N/A	Reference/ Remark	S	U	Remarks
6.7	Has the organisation established and implemented procedures for trainee evaluation , including test eligibility conditions, remedial training and retest arrangements, conduct of knowledge and practical assessments, defined pass standards, control of examination materials, administration of examinations under secure conditions, and documentation of examination results and irregularities?	FOO/FD.OR.050(3), (4) FOO/FD.OR.085 Doc 9841, Appendix A, Part I, Section 3, Clause 3.1	☐	☐	☐		☐	☐	
6.8	Does the organisation maintain procedures to control interruptions to trainee training, including documentation of interruptions, authorised decisions for return to training and provision of additional training where necessary?	FOO/FD.OR.080 FOO/FD.OR.085	☐	☐	☐		☐	☐	
6.9	Does the organisation ensure that course completion is formally verified prior to graduation , including confirmation that all programme requirements have been met, documentation of the completion decision, and retention of the relevant completion documentation?	FOO/FD.OR.080 FOO/FD.OR.085	☐	☐	☐		☐	☐	
6.10	Upon successful completion of training, does the organisation issue a graduation or course completion certificate containing the required details, including: (1) Name and Certificate Number of the Organisation (2) Full name of the graduate (3) Name of the training course (4) Date of completion of training (5) Name of the person authorized to sign on behalf of the Organisation	FOO/FD.OR.045	☐	☐	☐		☐	☐	
General Comments:									

SECTION 7: DOCUMENTATION & RECORD MANAGEMENT SYSTEM									
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO				CAAT USE ONLY		
			Yes	No	N/A	Reference/ Remark	S	U	Remarks
7.1	Has the organisation established and implemented a documented system for the control of organisational and training documentation , including procedures for document revision, approval, distribution and communication of amendments?	FOO/FD.OR.010(6) FOO/FD.OR.020 FOO/FD.OR.050(4)	☐	☐	☐		☐	☐	
7.2	Has the organisation designated responsible personnel to manage document control and record keeping activities?	FOO/FD.OR.010(6) FOO/FD.OR.050(4)	☐	☐	☐		☐	☐	
7.3	Does the organisation ensure that all controlled manuals , including the OMM, TM and Course Manuals, are current, subject to version control and distributed to authorised personnel with confirmation of receipt ?	FOO/FD.OR.020 FOO/FD.OR.050 FOO/FD.OR.070 FOO/FD.OR.090	☐	☐	☐		☐	☐	
7.4	Where amendments to Authority-approved documents are required, does the organisation ensure that such changes are submitted to the Authority for approval where applicable, and that only approved revisions are implemented?	FOO/FD.OR.050(6)	☐	☐	☐		☐	☐	
7.5	Does the record keeping system for Trainee Records include as a minimum the following: (1) Full name / ID / Licence number (if applicable); (2) Entry qualification & eligibility evidence; (3) Course enrolled (initial / refresher); (4) Training start & completion dates; (5) Attendance records; (6) Training progress records; (7) Final training outcome (pass/fail/withdrawn)?	FOO/FD.OR.010(6) FOO/FD.OR.050(4) Doc 9841, Chapter 8 Doc 10106 Chapter 5	☐	☐	☐		☐	☐	
7.6	Does the record keeping system for Assessment & Examination Records include as a minimum the following: (1) Written test results; (2) Practical / scenario assessment results; (3) Competency assessment records; (4) Examiner / assessor name & signature;	FOO/FD.OR.010(6) FOO/FD.OR.050(4) Doc 9841, Chapter 8 Doc 10106 Chapter 5 Clause 5.4-5.7	☐	☐	☐		☐	☐	

SECTION 7: DOCUMENTATION & RECORD MANAGEMENT SYSTEM									
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO				CAAT USE ONLY		
			Yes	No	N/A	Reference/ Remark	S	U	Remarks
	(5) Date of assessment; (6) Re-test records (if applicable); (7) Final competency decision?								
7.7	Does the record keeping system for Instructor Records include as a minimum the following: (1) Instructor identity; (2) Qualifications & licences (if applicable); (3) Teaching certificates (TTT / Teaching & Learning); (4) Experience records; (5) Standardisation / recurrent training; (6) Instructor authorisation status?	FOO/FD.OR.010(6) FOO/FD.OR.050(4) Doc 9841, Chapter 8 Doc 10106 Chapter 5 Clause 5.8	☐	☐	☐		☐	☐	
7.8	Does the record keeping system for Course & Training Records include as a minimum the following: (1) Approved course syllabus; (2) Training materials used; (3) Training schedule / timetable; (4) Training method (classroom / simulation / CBT); (5) Changes or amendments to course?	FOO/FD.OR.010(6) FOO/FD.OR.050(4) Doc 9841, Chapter 8 Doc 10106 Chapter 5	☐	☐	☐		☐	☐	
7.9	Does the record keeping system for Examination & Test Administration Records include as a minimum the following: (1) Examination papers / question banks; (2) Answer keys; (3) Invigilation records; (4) Examination security measures; (5) Incident / irregularity reports (as applicable)?	FOO/FD.OR.010(6) FOO/FD.OR.050(4) Doc 9841, Chapter 8 Doc 10106 Chapter 5	☐	☐	☐		☐	☐	
7.10	Does the record keeping system for Examination & Test Administration Records include as a minimum the following: (1) Internal audit records; (2) Compliance monitoring reports; (3) Corrective action records; (4) Management review minutes;	FOO/FD.OR.010(6) FOO/FD.OR.050(4) Doc 9841, Chapter 8 Doc 10106 Chapter 5	☐	☐	☐		☐	☐	

SECTION 7: DOCUMENTATION & RECORD MANAGEMENT SYSTEM									
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO				CAAT USE ONLY		
			Yes	No	N/A	Reference/ Remark	S	U	Remarks
	(5) Training effectiveness evaluations?								
7.11	Does the record keeping system for Certification & Approval Records include as a minimum the following: (1) FOOTO approval certificate; (2) Scope of approval; (3) CAAT audit / inspection reports; (4) Correspondence with CAAT; (5) Findings & closure records?	FOO/FD.OR.010(6) FOO/FD.OR.050(4) Doc 9841, Chapter 8 Doc 10106 Chapter 5	☐	☐	☐		☐	☐	
7.12	Does the organisation ensure that training records are retained for the required period (minimum five years where applicable), protected against loss or unauthorised access, safeguarded through appropriate access control and backup measures, readily retrievable for inspection, and submitted to the Authority where required within the specified timeframe?	FOO/FD.OR.010(6) FOO/FD.OR.050(4), (7) Doc 9841, Chapter 8 Doc 10106 Chapter 5	☐	☐	☐		☐	☐	
General comments:									

SECTION 8: COMPLIANCE MONITORING SYSTEM (CMS)									
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO				CAAT USE ONLY		
			Yes	No	N/A	Reference/ Remark	S	U	Remark(s)
8.1	Has the organisation established and maintained a compliance monitoring system that demonstrates the commitment of the Accountable Manager to maintaining required training standards and ensures that organisational activities comply with applicable regulations and approved procedures?	FOO/FD.OR.050(1) Doc 9841, Chapter 4 Clause 4.2 Doc 10106, Chapter 5, Clause 5.11	☐	☐	☐		☐	☐	
8.2	Has the organisation designated a Compliance Monitoring Manager (CMM) responsible for monitoring organisational activities to ensure compliance with applicable regulations and approved procedures, with direct access to the Accountable Manager and unrestricted access to organisational areas and functions necessary to perform the monitoring tasks?	FOO/FD.OR.050 Doc 9841, Appendix B, Section 2, Clause 2.3 Doc 10106, Chapter 5, Clause 5.7	☐	☐	☐		☐	☐	
8.3	Has the organisation designated sufficient personnel responsible for compliance monitoring activities, including auditors and lead auditors , with clearly defined responsibilities , appropriate qualifications , and training in quality assurance principles, audit techniques, organisation's approved manuals and applicable organisational procedures?	FOO/FD.OR.010(7) FOO/FD.OR.050 Doc 9841, Appendix B, Section 13 & Section 21, Clause 21.1	☐	☐	☐		☐	☐	
8.4	Does the organisation maintain a compliance monitoring programme that schedules internal audits covering all training activities and organisational functions, allows additional audits where negative trends are identified, and ensures audits are conducted using defined procedures with findings recorded and reported to management?	FOO/FD.OR.050 Doc 9841, Appendix B, Section 12, Clause 12.2, Section 15	☐	☐	☐		☐	☐	
8.5	Where outsourced training activities or contracted external providers are utilised, does the organisation ensure that such activities are subject to periodic monitoring or audit under the compliance monitoring system, and that the Authority is granted access to the contracted organisation to verify continued compliance with applicable requirements?	FOO/FD.OR.050(1), (2), (8) FOO/FD.OR.055(1),(2)	☐	☐	☐		☐	☐	
8.6	Are compliance monitoring findings classified according to severity and managed through a defined corrective action process that assigns responsibility, establishes target completion dates, verifies	FOO/FD.OR.050(9) Doc 9841, Appendix B, Section 16	☐	☐	☐		☐	☐	

SECTION 8: COMPLIANCE MONITORING SYSTEM (CMS)									
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO				CAAT USE ONLY		
			Yes	No	N/A	Reference/ Remark	S	U	Remark(s)
	implementation and closure, and analyses repeated findings to identify potential systemic causes?								
8.7	Does management periodically review compliance monitoring results , analyse trends in findings, ensure that improvement actions are decided and followed up, and provide procedures for escalation of significant compliance issues including notification to the Authority where required?	FOO/FD.OR.050	☐	☐	☐		☐	☐	
General Comments:									

SECTION 9: Training Effectiveness & Continuous Improvement									
NO.	Check List Item	Regulatory Requirements	Compliance checked by ATO				CAAT USE ONLY		
			Yes	No	N/A	Reference/ Remark	S	U	Remark(s)
9.1	Has the organisation established and implemented policies and procedures for monitoring and improving training effectiveness , including reporting arrangements, feedback mechanisms, trainee progress monitoring and corrective action processes?	FOO/FD.OR.050 FOO/FD.OR.075 FOO/FD.OR.085 Doc 9841, Appendix A, Part I, Section 3, Clause 3.1	☐	☐	☐		☐	☐	
9.2	Does the organisation monitor training effectiveness by reviewing trainee performance outcomes , including examination results and pass or failure trends, in order to identify weaknesses in training delivery?	FOO/FD.OR.050	☐	☐	☐		☐	☐	
9.3	Does the organisation collect and review feedback from instructors and trainees , ensure that significant concerns are analysed, and use such feedback to improve training materials, instructional methods and training delivery where necessary?	FOO/FD.OR.050(1)	☐	☐	☐		☐	☐	
9.4	Does the organisation periodically review training programmes, training materials and operational information sources to ensure their continued relevance, accuracy and effectiveness, and document the conclusions of such reviews?	FOO/FD.OR.050(1)	☐	☐	☐		☐	☐	
9.5	Does the organisation analyse training outcomes and other available feedback, including operational feedback on graduates where available, to identify systemic training deficiencies and implement tracked improvement actions to enhance training effectiveness?	FOO/FD.OR.050(1)	☐	☐	☐		☐	☐	
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 (OBS)	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 areitems found unsatisfactory, indicated in the table below.

No.	Section	Findings			Observation
		Level 1	Level 2	Total	
1	ORGANISATION & MANAGEMENT				
2	TRAINING PROGRAMME DESIGN				
3	TRAINING METHOD COMPLIANCE				
4	INSTRUCTOR SYSTEM & QUALIFICATION				
5	TRAINING FACILITIES, TOOLS & EQUIPMENT				
6	TRAINING DELIVERY & STUDENT MANAGEMENT				
7	DOCUMENTATION & RECORD MANAGEMENT SYSTEM				
8	COMPLIANCE MONITORING SYSTEM (CMS)				
9	TRAINING EFFECTIVENESS & CONTINUOUS IMPROVEMENT				
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: DD-MMM-YYYY	Team Leader Inspector: Date: DD-MMM-YYYY
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