



สำนักงานการบินพลเรือนแห่งประเทศไทย
The Civil Aviation Authority of Thailand

AIR OPERATOR CERTIFICATION GUIDELINES

CAAT-GL-OPS-AOC

Issue: 01

Revision:00

Date: 03 Aug 2026

Air Chief Marshal

Approved by



Manat Chavanaprayoon

Director General of the Civil Aviation Authority of Thailand

Intentionally Left Blank

Acronym/Abbreviation	Full Term
2FA	Two-Factor Authentication
AFM	Aircraft Flight Manual
AIR	Airworthiness and Aircraft Engineering Department
AMC	Acceptable Means of Compliance
ANA	Air Navigation Act B.E. 2497 (1954) and its amendments
AOC	Air Operator Certificate
AOL	Air Operating License (also referred to as the Civil Air Operating License (CAOL))
AMO	Approved Maintenance Organisation
ATO	Approved Training Organisation
AVSEC	Aviation Security
AWI	Airworthiness Inspector
CAP	Corrective Action Plan
CAT	Commercial Air Transport
CAAT	Civil Aviation Authority of Thailand
CAMO	Continuing Airworthiness Management Organisation
CMBA	Cabin Safety Main Base Audit
CMS	Compliance Monitoring System
CN	Change Not Requiring Prior Approval
CofA	Certificate of Airworthiness
CR	Change Requiring Prior Approval
CSI	Cabin Safety Inspector
CT	AOC Certification Division
DGCA	Director General of the Civil Aviation Authority of Thailand
DGI	Dangerous Goods Inspector
DGL	Dangerous Goods Operating License
DG-LSA	Dangerous Goods Line Station Audit
DMBA	Dangerous Goods Main Base Audit
EAD	Emergency Airworthiness Directive
EFB	Electronic Flight Bag
EMPIC	CAAT's Safety Oversight System
ENC	In-flight Cabin Inspection
ENF	In-flight Cockpit Inspection
ERD	Economic Regulation Department
ERP	Emergency Response Plan

Issue:01, Revision 00
Effective Date 03-Aug-2026

Acronym/Abbreviation	Full Term
RoD	Release of Documentation
SFD	Aviation Security and Facilitation Standards Department
SLA	Service Level Agreement
SMO	Safety Management and Standards Assurance Office
SOE	Schedule of Events
SPEC	Special Inspection
SR	Standard Revision
TCAR-AIR	Thailand Civil Aviation Regulation – Airworthiness
TCAR-OPS	Thailand Civil Aviation Regulation — Air Operations
TFOIM	Flight Operations Inspector Manual
TR	Temporary Revision
UR	Urgent Revision

Record of Amendments

Issue	Revision	Date	Area of Change	Amendment Summary
01	00	03 Aug 2026	Initial Issue	-

Table of Contents

Acronyms and Abbreviations	3
Record of Amendments	6
Table of Contents	7
0. INTRODUCTION	9
0.1 Purpose and Scope	9
0.2 Applicability	9
0.3 How to use this Guideline	10
0.4 The Principal Operations Inspector (POI)	10
1. THE AIR OPERATOR CERTIFICATE (AOC)	11
1.1 Regulatory Basis	11
1.2 The Air Operating License (AOL)	11
1.3 The AOC Package	11
1.4 Validity	12
1.4.1 Relationship Between the AOL and the AOC	13
1.5 Obligations as an AOC Holder (Operators)	14
1.6 CAAT's Authority Over AOC Holders	15
1.7 Voluntary Suspension of Operations vs. Suspension of the AOC	17
1.7.1 Voluntary Suspension of Operations	17
1.7.2 Suspension of the AOC	17
1.7.3 Related: Suspension of the Air Operating License (AOL)	17
2. INITIAL AOC CERTIFICATION	21
2.1 Overview and Regulatory Basis	21
2.2 IMSA — Initial Management System Assessment (Pre-Phase)	22
2.3 Phase 1 — Pre-Application Phase	24
2.4 Phase 2 — Formal Application Phase	27
2.5 Phase 3 — Document Evaluation Phase	31
2.6 Phase 4 — Demonstration and Inspection Phase	34
2.7 Phase 5 — Certification Phase	40
3. CHANGES TO AN AOC HOLDER	43
3.1 Regulatory Basis and Scope	43
3.2 Changes Requiring Prior Approval (CR)	48
3.3 Changes Not Requiring Prior Approval (CN)	55
3.4 Standard and Temporary Revisions	62
3.4.1 Standard Revision (SR)	62
3.4.2 Temporary Revision (TR)	62
3.5 Document Preparation Requirements	66
3.5.1 Compliance List	66
3.5.2 Draft of Operations Manuals and Documents	66
3.5.3 Summary of Changes	68
4. AOC RENEWAL (CONTINUED VALIDITY)	69
4.1 Regulatory Basis	69
4.2 Critical Deadlines	69
4.3 The Four-Phase Renewal Process	70
5. CONTINUING SAFETY SURVEILLANCE	73
5.1 Regulatory Basis	73
5.2 Overview	73
5.3 Surveillance Programme	74
5.3.1 Types of Surveillance Activity	75

5.4	Operator Requirements During Surveillance	76
5.5	Findings — Classification and Response	77
5.5.1	How to respond to a finding:	79
5.5.2	Requesting an Extension (L2 findings — CAP Implementation only).....	80
5.5.3	Overdue Findings.....	81
5.6	Post-Audit Feedback	82
6.	MANUAL AND DOCUMENT MANAGEMENT	87
6.1	Regulatory Basis.....	87
6.2	Document Approval and Release	87
6.3	FOSD — Flight Operations Standards Database	87
6.3.1	Account Setup for FOSD.....	88
6.3.2	Access Rights FOSD.....	88
6.3.3	Timeline for Uploading to FOSD.....	88
6.4	Submitting Manual Amendments through EMPIC.....	89
7.	OTHER PROCESSES.....	93
7.1	Air Operating License (AOL).....	93
7.1.1	Regulatory basis	93
7.1.2	AOL process overview	93
7.1.3	AOL validity and renewal.....	93
7.2	EMPIC — The CAAT Oversight System.....	96
7.2.1	Account setup for EMPIC	96
7.2.2	Key functions in EMPIC.....	97
7.2.3	Managing the EMPIC account effectively	97
7.3	Fees — Summary Table	99
7.4	Exemptions.....	100
8.	APPENDIX A — REFERENCE LINKS.....	103
9.	APPENDIX B — LIST OF CHANGES REQUIRING PRIOR CAAT APPROVAL (CR).....	105
10.	APPENDIX C — LIST OF CN CHANGES REQUIRING NOTIFICATION BEFORE IMPLEMENTATION.....	109
11.	APPENDIX D — DOCUMENTATION	111
11.1	List of Approvals (LoA) - Sample.....	111
11.2	Release of Documentation (RoD) - Sample	113
12.	APPENDIX E — INSTRUCTIONS FOR COMPLETING THE PCA FORM (CAAT-OPS-TCFM-201).....	115
12.1	Instructions of application form.....	115
12.1.1	PCA Form — Proposed Change to an AOC.....	115
12.1.2	PART 1 - GENERAL INFORMATION	115
12.1.3	PART 2 — SPECIFICATION OF CHANGE	118
12.1.4	PART 3 - REQUIRED DETAILS FOR CR.....	119

0. INTRODUCTION

0.1 Purpose and Scope

This Guideline is published by the Flight Operations Standards Department (OPS) of the Civil Aviation Authority of Thailand (CAAT). It is intended to serve as a concise, practical, and scenario-based reference for prospective applicants seeking an Air Operator Certificate (AOC) and for current AOC holders on the key processes and requirements that apply throughout the AOC lifecycle.

This Guideline covers the full spectrum of AOC-related processes administered by CAAT, including initial certification, changes to an AOC holder, AOC renewal, continuing safety surveillance, manual and document management, and other related administrative matters. It translates applicable regulatory requirements and CAAT's established procedures into concise, operator-oriented guidance to support compliance and facilitate effective engagement with CAAT at every stage.

The publication of this Guideline reflects CAAT's commitment to open and transparent communication with the aviation industry. By providing clear, accessible, and up-to-date guidance on its processes and requirements, CAAT aims to reduce administrative uncertainty, support operators in meeting their regulatory obligations, and foster a constructive regulatory relationship built on mutual understanding.

CAAT welcomes feedback from operators and applicants on the content of this Guideline and will incorporate confirmed improvements in subsequent revisions. Feedback may be submitted via the [online feedback form](#) (QR Code provided), or by email to ops_ct@caat.or.th.



This Guideline *supplements* — *but does not replace* — the applicable legislation, regulations, and CAAT's internal procedures and manuals. Where discrepancies exist, the applicable legislation, regulations, and CAAT's internal manuals and procedures shall prevail. The relevant regulations governing AOC certification and air operator operations in Thailand are available on the CAAT website at:



<https://www.caat.or.th/certificates-licenses/air-operator/regulations-aoc/>

0.2 Applicability

This Guideline applies to all prospective applicants seeking an Air Operator Certificate (AOC) from the Civil Aviation Authority of Thailand, and to all current AOC holders conducting Commercial Air Transport (CAT) operations under Thai-issued AOCs. It covers the full AOC lifecycle — from initial certification through changes, renewal, surveillance, and other processes — as administered by CAAT under applicable Thai civil aviation regulations.

0.3 How to use this Guideline

Each chapter covers one process or topic and is structured consistently:

- **Regulatory basis** — the laws and regulations that govern the process.
- **Process summary** — key steps, what CAAT does, what the applicant/operator must do.
- **Key requirements**, deadlines, and fees (as applicable)
- **Guidance for Applicants / Operators** — practical advice, recommendations, and common issues to avoid.
- **Scenarios** — common actual situations and guidance on how to handle them.
- **References** — applicable regulations, guidance materials, inspector manuals, and relevant forms.

For detailed procedural steps, inspection checklists, and internal CAAT workflows, refer to the Flight Operations Inspector Manual (TFOIM), which is available on the CAAT Website.

0.4 The Principal Operations Inspector (POI)

The POI is a CAAT Flight Operations Inspector designated as the **project manager for the applicant/operator**. The POI leads the certification or assessment team, coordinates with all relevant CAAT departments, serves as an applicant/operator's primary point of contact for all AOC-related matters, and is responsible for maintaining the official record of all interactions in [EMPIC](#) throughout every process.

- **For operators**, contact the POI before taking any action that may affect the AOC, Operations Specifications (OPS SPEC), or any document certified by the DGCA. While specialized contact addresses are provided below for technical inquiries, the POI remains the primary point of contact and must be kept informed throughout the process.
- **For initial AOC Applicant**, before a POI is formally assigned, applicants are highly advised to study this GL to familiarize themselves with the requirements. For any remaining initial inquiries prior to commencing the formal AOC certification process, the AOC Certification Division (OPS/CT) can provide the necessary assistance or redirect the matters to the appropriate functions.

Department / Division	Email / Contact
AOC Certification Division (OPS/CT)	ops_ct@caat.or.th
Flight Operations Inspection Division (OPS/FO)	ops_fo@caat.or.th
Operations Management Inspection Division (OPS/OM)	ops_om@caat.or.th
Cabin Safety Division (OPS/CS)	ops_cs@caat.or.th
Dangerous Goods Division (OPS/DG)	ops_dg@caat.or.th
Airworthiness and Aircraft Engineering Department (AIR)	air-ao@caat.or.th
Personnel Licensing Department (PEL)	pel@caat.or.th
Aviation Security and Facilitation Standards Department (SFD)	sfd_os@caat.or.th
Economic Regulation Department (ERD) — on the AOL	erd.ol@caat.or.th

More information is available on the CAAT Website in the following link:

<https://www.caat.or.th/certificates-licenses/air-operator/air-operator-certificate/aoc-application/>

1. THE AIR OPERATOR CERTIFICATE (AOC)

1.1 Regulatory Basis

The requirement to hold an AOC before conducting commercial air transport operations in Thailand is established under the Air Navigation Act B.E. 2497 (ANA), Section 41/113. No person may use an aircraft for commercial air transport without an AOC issued by the Director General (DGCA).

Eligibility criteria and certification authority derive from ANA Sections 41/112, 41/114, and 41/115.

The detailed requirements for the AOC lifecycle are set out in RCAAT No. 26 (Regulation on Air Operator Certificate) and RCAAT No. 27 (Regulation on Operations of the Air Operator).

Thailand's requirements are aligned with ICAO Annex 6 Parts I and III, and apply equally to international and domestic commercial air transport operations.

1.2 The Air Operating License (AOL)

An Air Operating License (AOL) — the Civil Aviation Business License for Commercial Air Transportation — is a prerequisite for holding an AOC (RCAAT No. 26 Clause 5; ANA Section 41/114). The AOL is issued by the Minister of Transport following Civil Aviation Board approval, and is managed by the Economic Regulation Department (ERD) of CAAT. The AOL is valid for up to 10 years.

Operators must maintain a valid AOL throughout the life of their AOC. If the AOL is suspended, the AOC becomes temporarily invalid; if the AOL expires following an order not to renew it, becomes unusable, or is revoked, the AOC is rendered invalid.

For detailed guidance on the AOL application, renewal, and related processes, see [Chapter 7, Section 7.1](#).

1.3 The AOC Package

CAAT issues an AOC package comprising the Air Operator Certificate (AOC), the Operations Specifications (OPS SPEC), and any associated attachments, as described below. (RCAAT No. 26 Appendix; TCAR-OPS ORO.AOC.100, ORO.AOC.105; CAT.GEN.MPA.180(5),(6)):

- **Air Operator Certificate (AOC):** The certificate itself. States the operator's name, principal place of business, certificate number, expiry date, and the location in the operator's documentation containing operational management contact details (names, telephone/fax numbers with country codes, and email addresses for flight operations, airworthiness, crew competency, ground handling, dangerous goods, and other matters).
- **Operations Specifications (OPS SPEC) and Attachment:** Defines the specific scope, conditions, and limitations of the authorisation. Includes aircraft makes, models, and series; types of operation (passenger/cargo/other); areas of operation (domestic/international by region); all Specific Approvals held; and any special limitations. The Attachment to the OPS SPEC forms an integral part of the authorisation.

A certified true copy of the AOC, the Operations Specifications and the associated attachments relevant to the aircraft type shall be carried on each flight. Certified true copies bear the signature of a CAAT official and an official CAAT stamp. To request a certified true copy, contact your assigned POI.

1.4 Validity

- **Initial issue:** Valid for five (5) years from the date of the DGCA's signature on the Certificate
RCAAT No. 26 Clause 11
- **Renewal:** Valid for five (5) years, retaining the original effective date of certification, subject to the operator's continued compliance with the applicable CAAT requirements.
RCAAT No. 26 Clause 12

The validity or exercise of the privileges of an AOC may be affected before its stated expiry date in any of the following circumstances:

- **CAAT suspends the AOC**
ANA Section 41/120
- **CAAT revokes the AOC**; upon revocation, the AOC shall be returned to CAAT without delay
ANA Section 41/121; TCAR OPS ORO.GEN.135
- **The holder does not commence operations within six (6) months from the date of initial AOC issuance**, which constitutes grounds for revocation
ANA Section 41/121(4)
- **The holder ceases operations continuously for more than one (1) year without appropriate reason**, which constitutes grounds for revocation
ANA Section 41/121(5)
- **The holder's AOL is suspended**, in which case the AOC becomes temporarily invalid
RCAAT No. 26 Clause 18
- **The holder's AOL expires** following an order of the Minister not to renew it, becomes unusable, or is revoked, in which case the AOC is rendered invalid
RCAAT No. 26 Clause 18
- **The holder surrenders the AOC to CAAT**; upon surrender, the AOC shall be returned to CAAT without delay
TCAR OPS ORO.GEN.135

See [Chapter 4](#) for renewal timing and preparation.

1.4.1 Relationship Between the AOL and the AOC

The AOL and AOC are governed by separate legislation and separate authorities, but their validity is interdependent. Table 1-1 summarises how a change in the status of one instrument affects the other.

Table 1-1: Relationship Between the AOL and the AOC

Aspect	AOL (Air Operating License)	AOC (Air Operator Certificate)
Purpose	Authorises the business right to operate commercial air transport, based on qualifications, financial standing, and ownership suitability. (RCAB No. 97)	Certifies the applicant's qualifications and capability to conduct commercial air transport operations safely and efficiently. (RCAAT No. 26)
Authority	Minister of Transport , on Civil Aviation Board approval (ERD)	DGCA , The Civil Aviation Authority of Thailand
Validity	Up to 10 years (scheduled CAT) Up to 5 years (non-scheduled CAT) (RCAB No. 97 Clauses 28, 56)	5 years , both initial issue and renewal (RCAAT No. 26 Clauses 11–12)
Renewal window	120–180 days before AOL expiry (RCAB No. 97 Clause 42)	At least 150 days before AOC expiry (RCAAT No. 26 Clause 12)
Non-commencement	AOC must be obtained and operations begun within 1 year , or AOL is void (RCAB No. 97 Clause 27, 45(2))	Operations must begin within 6 months , or AOC may be invalidated (ANA Section 41/121(4))
AOL suspended >> AOC	If AOL Suspended	AOC temporarily invalid. Operations may resume after the AOL suspension ends and the applicable CAAT requirements for resumption are satisfied. (RCAAT No. 26 Clause 18)
AOL expires (non-renewed), becomes unusable, or is revoked >> AOC	If AOL Expired; If AOL Becomes unusable; or If AOL Revoked	AOC rendered invalid (RCAAT No. 26 Clause 18)
AOC suspended >> AOL	Minister may suspend the AOL (RCAB No. 97 Clause 49(1))	If AOC Suspended
AOC suspended more than twice within 2 years >> AOL	Minister may revoke the AOL (RCAB No. 97 Clause 50(2))	If AOC Suspended more than twice
AOC revoked >> AOL	Minister may revoke the AOL (RCAB No. 97 Clause 50(3))	If AOC Revoked
AOC reactivated >> AOL	Resumes once the AOC is reactivated and the Minister orders resumption (RCAB No. 97 Clause 49, para. 2)	AOC Reactivated

For the AOL application, renewal, and related administrative procedures, see [Chapter 7, Item 7.1](#).

1.5 Obligations as an AOC Holder (Operators)

Holding an AOC is a continuing commitment. Under RCAAT No. 26 Clause 15 and TCAR-OPS ORO.GEN.110:

- Conduct operations strictly in accordance with the OPS SPEC, Operations Manual, and all documents and manuals certified by the DGCA.
ANA Section 41/117; RCAAT No. 26 Clause 15(1)
- Grant CAAT access at any time to the operator's facilities, aircraft, documents, records, data, procedures and other material relevant to the activities subject to certification and oversight.
ANA Section 41/119; RCAAT No. 26 Clause 15(2); TCAR OPS ORO.GEN.140
- Maintain all qualifications, personnel, facilities, equipment, and systems at the level demonstrated at certification.
RCAAT No. 26 Clause 15(3), referencing Clause 6
- Notify CAAT of, or obtain prior approval for, all changes that affect the AOC, OPS SPEC, or any certified document
RCAAT No. 26 Clause 13; TCAR-OPS ORO.GEN.130
- Comply with all CAAT regulations and additional standards promulgated by the DGCA
RCAAT No. 26 Clause 15(4)

1.6 CAAT's Authority Over AOC Holders

CAAT exercises authority over AOC applicants and holders at every stage of the AOC lifecycle, from initial application through to suspension and revocation. The following summarises the principal authorities:

- **AOC Issuance:**

The DGCA is the sole authority for issuing an AOC and the associated OPS SPEC. Issuance is conditional upon the applicant satisfying all certification requirements. The DGCA may impose conditions and limitations on the AOC and OPS SPEC as appropriate to the scope of the operator's authorisation. Where an applicant fails to demonstrate compliance with the applicable requirements, CAAT may decline to issue the AOC and will notify the applicant in writing with the basis for the decision.

ANA Section 41/113; RCAAT No. 26 Clauses 6, 8 and 10–11

- **AOC Renewal:**

The DGCA has authority to renew an AOC upon application, subject to the operator continuing to satisfy all applicable requirements. Renewal is not automatic — it requires an evaluation of the operator's continued compliance and operational capability.

RCAAT No. 26 Clause 12, Criteria in Clauses 7–9

- **OPS SPEC Amendment:**

The DGCA may amend the OPS SPEC and Attachment, or direct rectification of specific operational details or manual contents, where necessary for operational safety. The DGCA may also amend or revise details in the AOC itself under this authority.

ANA Section 41/118; RCAAT No. 26 Clause 14

- **Corrective Action:**

Where non-compliance is identified, CAAT may direct the operator to undergo inspections, revise documents, or implement corrective measures within a specified period. Applies where the AOC holder has violated operating regulations, manuals certified by the DGCA, air navigation laws, or safety protocols, or has made unauthorised alterations to certified documents.

RCAAT No. 26 Clause 16

- **Surveillance and Inspection:**

CAAT officials, aviation inspectors, and competent officials are authorised to access the operator's premises, aircraft, and records for inspection in accordance with the applicable legal requirements and surveillance procedures. Surveillance activities may be announced or unannounced, as applicable. The operator is obliged to permit such access and to cooperate fully. Obstruction or refusal to permit access constitutes a violation of the AOC holder's obligations and may result in enforcement action.

ANA Section 41/119; RCAAT No. 26 Clause 15(2); TCAR OPS ORO.GEN.140

- **AOC Suspension:**

Where the holder violates AOC conditions in a manner causing or potentially causing harm to air navigation; fails to comply with duties under the Act; is found unable to operate safely; or fails to comply with any regulation or requirement.

ANA Section 41/120

- **AOC Revocation:**

Where violations cause serious harm to air navigation; the AOC has been suspended more than twice in two years; the holder ceases operations without permission; the holder fails to commence operations within 6 months of AOC issuance; or the holder ceases operations continuously for more than 1 year without cause.

ANA Section 41/121

Note: CAAT's oversight activities — including inspections, audits, and document reviews — are verification mechanisms. They do not guarantee full compliance and do not reduce the operator's independent obligation to ensure compliance at all times.

RCAAT No. 26 Clause 15(1); TCAR-OPS ORO.GEN.110

1.7 Voluntary Suspension of Operations vs. Suspension of the AOC

Voluntary suspension of operations and suspension of the AOC are distinct actions under the regulatory framework, with different triggers, different initiating authorities, and different consequences. Operators should not treat them as equivalent.

1.7.1 Voluntary Suspension of Operations

An AOC holder may request to temporarily suspend its air operations when necessary, subject to approval by the DGCA. A single application may cover a term of up to 6 months; successive suspensions are permitted, provided the cumulative duration does not exceed two consecutive terms. This is an operator-initiated action — the AOC itself remains valid throughout an approved voluntary suspension. It is the exercise of the AOC's privileges that is paused, not the certificate's legal status.

Where the suspension extends beyond 3 months, CAAT will conduct a safety standards inspection before authorizing resumption of operations, to confirm the operator's continued capability to operate safely and in accordance with its approved manuals.

Should the suspension extend beyond the permitted duration without just cause, it is treated as an unauthorized cessation of service, which constitutes grounds for AOC revocation under ANA Section 41/121.

RCAAT No. 26 Clause 17

1.7.2 Suspension of the AOC

This is a separate, CAAT-initiated action. The DGCA may suspend an AOC where the holder violates the conditions of the AOC or OPS SPEC, fails to comply with its duties, is found unable to operate safely, or fails to comply with applicable regulations, criteria, or requirements. Unlike voluntary suspension, this reflects a regulatory finding, not an operator election.

ANA Section 41/120

1.7.3 Related: Suspension of the Air Operating License (AOL)

During the suspension of the AOL, the AOC becomes temporarily invalid. Air operations may resume only after the AOL suspension has ended and the applicable CAAT requirements for resumption have been satisfied.

RCAAT No. 26 Clause 18

Table 1-2: Voluntary Suspension of Operations vs. Suspension of the AOC

Aspect	Voluntary Suspension of Operations	Suspension of the AOC
Initiated by	AOC holder (request)	DGCA (regulatory action)
Legal basis	RCAAT No. 26, Clause 17	ANA Section 41/120
Trigger	Operator's own election to pause operations	The AOC may be suspended where the holder: ▪ fails to comply with the conditions specified in the AOC or OPS SPEC, ▪ fails to comply with its duties prescribed under the Act, ▪ is found unable to operate safely, or ▪ fails to comply with any regulations, criteria, rules or any other requirements prescribed by the DGCA
Duration per term	Up to 6 months per application	Set out in the DGCA's suspension order
Number of terms permitted	Up to two consecutive terms	
Cumulative duration limit	12 months	
Effect on AOC validity	AOC remains valid; only the exercise of privileges is paused	AOC validity itself is suspended
Path to revocation	Exceeds permitted duration without just cause (ANA Section 41/121, RCAAT No. 26 Clause 17)	Suspended more than twice within a two-year period (ANA Section 41/121(2))

Note: Unlike voluntary suspension, ANA Section 41/120 does not prescribe a fixed duration or number of terms for a DGCA-imposed suspension — the duration and any conditions for resumption are set by the DGCA in the suspension order itself.

✓ **Guidance for Applicants / Operators**

- (a) **If a discrepancy is found in the AOC or OPS SPEC after issuance, report it to the POI immediately.** Correction requires a CR change process — see [Chapter 3](#).
- (b) **Keep operational management contact details onboard current at all times.** These must include names, telephone and fax numbers (with country codes), and email addresses for all key operational areas (flight operations, airworthiness, crew competency, ground handling, dangerous goods). These details must allow contact without undue delay.
- (c) **Monitor AOL status actively.** If the AOL is at risk of lapsing, suspension, or revocation, notify the POI immediately. The consequences for the AOC are immediate and severe.
- (d) **Establish a compliance monitoring calendar from day one of operations.** The CMS should be generating internal audit findings from the start — do not wait for CAAT to identify issues before the internal quality system finds them.

Scenario	What happens / What to do
(a) AOL Suspension The AOL has been suspended	The AOC becomes temporarily invalid under RCAAT No. 26 Clause 18. The operator must cease commercial operations immediately and notify the POI. Resume only after the AOL suspension is lifted and CAAT has confirmed the AOC is reactivated.
(b) Voluntary Suspension of Operations The Operator plans to pause operations for a while. What does the Operator need to do?	Submit a request for CAAT approval before stopping operations. Each request covers up to six (6) months, for a maximum of two (2) consecutive terms (12 months total). The AOC remains valid throughout — only the Operator's operations are paused. If the suspension exceeds 3 months, CAAT will conduct a safety inspection before the Operator resumes flying. (RCAAT No. 26 Clause 17)

References:

- ICAO Annex 6, Operation of Aircraft, Parts I and III
- Air Navigation Act B.E. 2497 (ANA), Sections 41/112–41/121
- Regulation of the Civil Aviation Board No. 97 on Granting Licensing to Civil Aviation Business: Commercial Air Transport and Aerial Work (RCAB No. 97)
- Regulation of the Civil Aviation Authority of Thailand No. 26 on Air Operator Certificate (RCAAT No. 26)
- Regulation of the Civil Aviation Authority of Thailand No. 27 on Operations of the Air Operator (RCAAT No. 27)
- Thailand Civil Aviation Regulation – Air Operations (TCAR-OPS)

2. INITIAL AOC CERTIFICATION

2.1 Overview and Regulatory Basis

No commercial air transport operations may be conducted in Thailand without a valid AOC (ANA Section 41/113). The initial certification process ensures that a prospective operator demonstrates the organisation, personnel, facilities, documentation, and operational capability necessary to conduct such operations safely and in sustained compliance with applicable regulations. The process follows ICAO Doc 8335 and is structured into five sequential phases, each of which must be satisfactorily completed before the next begins. An Initial Management System Assessment (IMSA) may precede Phase 1 where the AOL has not yet been obtained.

- IMSA (if AOL not yet held)
- Phase 1: Pre-Application
- Phase 2: Formal Application
- Phase 3: Document Evaluation
- Phase 4: Demonstration & Inspection
- Phase 5: Certification

The OPS Manager will assign a Principal Operations Inspector (POI) who leads the multidisciplinary certification team (OPS, AIR, SFD, SMO, ERD, PEL as applicable) and is the applicant's primary point of contact throughout. All documentation and interactions are recorded in EMPIC.

Note: The certification process is a significant financial and organisational undertaking that is consistently underestimated. Applications that remain inactive or show insufficient progress for more than 30 days will be rejected.

Applicable Fees

Fee Stage	Timing
Application Fee	Before Phase 2 commences
Audit/Inspection Expense	Before Phase 4.1 commences, and before Phase 4.2 commences
Certification Fee	During Phase 5, before AOC issuance

Detailed procedures and instructions for the AOC initial certification process are available from the following sources:

- **Flight Operations Inspector Manual Volume II (TFOIM Vol. II):** Detailed procedures and instructions for the AOC initial certification process — available at: <https://www.caat.or.th/certificates-licenses/air-operator/manual/>
- **Initial AOC Certification — Forms, Checklists, and Further Information:** Applicable forms, checklists, and further details on the certification process — available for download at: <https://www.caat.or.th/certificates-licenses/air-operator/air-operator-certificate/aoc-application/>

2.2 IMSA — Initial Management System Assessment (Pre-Phase)

The IMSA is a preliminary assessment conducted by CAAT for applicants who have submitted an AOL application and wish to begin the AOC certification process simultaneously, before the AOL has been granted. It is not required for applicants who already hold a valid AOL — such applicants proceed directly to Phase 1 (Pre-Application).

The IMSA evaluates the readiness of the applicant's management system through a desktop review, interviews with key personnel, and a facility visit. Phase 1 (Pre-Application) may commence on satisfactory completion of the IMSA, or earlier if the AOL is granted while the IMSA is still in progress. The ERD's financial, economic, and legal assessment runs in parallel; the AOL must be granted before the Formal Application Phase (Phase 2) is completed, so that the applicant can progress to the Document Evaluation Phase (Phase 3).

Detailed procedures and instructions for the IMSA process are set out in the Flight Operations Inspector Manual Volume II (TFOIM Vol. II), available at <https://www.caat.or.th/certificates-licenses/air-operator/manual/>

The applicable guidance material is available at <https://www.caat.or.th/certificates-licenses/air-operator/guidance-guideline/tcar/>

✓ Guidance for Applicants / Operators

- (a) **Prepare the Accountable Manager, Safety Manager, Compliance Monitoring Manager for substantive competency interviews.** They must be able to explain: their individual roles and responsibilities; how the SMS and CMS function and interact; how hazards are identified, assessed, and mitigated; and how the organisation will monitor its own compliance once operations commence. Inability to demonstrate adequate understanding of these matters may lead CAAT to conclude that the organisation is not yet ready to proceed to the next stage of the certification process.
- (b) **If any of the three key posts (Accountable Manager, Safety Manager, Compliance Monitoring Manager) are unfilled or filled by nominees who lack the required qualifications or experience,** address this before requesting the IMSA — not during it.
- (c) **Prepare Management System documentation, such as OM-A, SMM, CMS, OMM etc., for desktop review**
- (d) **Each of the two correction opportunities must be used substantively.** Prepare the response carefully, addressing root causes rather than symptoms. There is no third chance.
- (e) **Phase 1 of the Initial AOC Certification Process may commence upon either the granting of the AOL or the satisfactory completion of the IMSA, whichever occurs first.** If the AOL is granted while the IMSA is still in progress, Phase 1 commences immediately and the IMSA need not be completed. If the AOL has not yet been granted, satisfactory completion of the IMSA allows Phase 1 to commence.

Scenario	What happens / What to do
(a) SMS Implementation Requirement at IMSA Stage Does the operator need to fully implement the SMS at this stage?	The IMSA does not require the SMS to be fully implemented across the organisation yet, but the organisation should have a documented SMS implementation plan. Key personnel must be able to explain how the documented system will function in practice.
(b) AM Fails IMSA Competency Interview The operator's Accountable Manager fails the IMSA competency interview	The IMSA cannot close satisfactorily. Additional preparation is required. The Accountable Manager must pass a competency interview before IMSA can close.
(c) IMSA Desktop Assessment — Correction Rounds CAAT raises deficiencies in the desktop assessment — The operator has 2 correction rounds	Address all identified deficiencies thoroughly in the first correction. Two correction rounds are available; if both are exhausted without a satisfactory outcome, CAAT will refuse the application. A new application may not be submitted until at least 20 working days after the last unsuccessful assessment.

References:

- ICAO Doc 9859, Safety Management Manual (SMM)
- Regulation of the Civil Aviation Authority of Thailand No. 26 on Air Operator Certificate (RCAAT No. 26), Clause 5
- Thailand Civil Aviation Regulation – Air Operations (TCAR-OPS)
- Flight Operations Inspector Manual Volume II (TFOIM Vol. II), Chapter 5
- CAAT-GM-OPS-IMSA Guidance Material Initial Management System Assessment (IMSA)

2.3 Phase 1 — Pre-Application Phase

Regulatory basis

Phase 1 is governed by RCAAT No. 26 and TCAR-OPS ORO.GEN.115. Its purpose is to assess the applicant's preliminary readiness to apply, provide regulatory guidance, and identify concerns before significant financial commitments are made. At minimum, one of the following must be 'in principle' accepted by CAAT before Phase 1 can close: Accountable Manager, and nominated persons.

How to initiate

Submit a written letter of intent to CAAT, addressed to the DGCA. The OPS Manager assigns a POI and forms the certification team. The POI issues an invitation to the Pre-Application Meeting. CAAT will also provide information on: application procedures, required documents, regulatory feasibility, fee structures, and CAAT systems (EMPIC, FOSD).

Pre-Application Statement of Intent

The letter must include, as applicable, but is not limited to, the following:

- Letter of intent;
- Type of operation; aircraft type(s); area(s) of operation; route structure and traffic potential; and continuing airworthiness and maintenance arrangement.
- Nature of training programme;
- Location of main base and other facilities (administrative, maintenance, operational).
- Aircraft ownership or lease status; type and duration of lease (if applicable).
- Management organisation structure and qualifications of accountable manager and nominees for: flight operations, crew training, ground operations, aviation security, compliance monitoring, SMS, and continuing airworthiness.
- Proposed trading name and corporate sponsor; approximate intended commencement date.
- Declaration that the owner, accountable manager, and all nominees are free from criminal records, liens, civil suits, civil judgments, and bankruptcy.

Pre-Application Meeting

Attended by inspectors from OPS, AIR, SFD, ERD, and PEL as applicable. The meeting confirms the Statement of Intent, provides guidance on requirements, identifies deficiencies, and assesses readiness to proceed. The accountable manager must attend personally.

Preliminary Assessment and EMPIC account

Following the meeting, the POI assesses readiness. If satisfactory, CAAT creates the applicant's EMPIC account. All subsequent submissions are made through EMPIC. If deficiencies are fundamental, the applicant may be advised to withdraw.

Financial Assessment

ERD assesses the applicant's financial, economic, and legal standing. For new entrants, this assessment runs concurrently with the Pre-Application Phase. Where the applicant already holds an AOL, ERD's financial assessment will have been completed as part of that process, and CAAT will verify continued financial standing during the AOC process.

✓ Guidance for Applicants / Operators

- (a) **Contact CAAT at the earliest possible stage** — before any major financial commitment. The Pre-Application Phase exists to help the applicant understand what is required before the applicant invests significant resources.
- (b) **The accountable manager must attend the Pre-Application Meeting personally.** CAAT forms an early assessment of the accountable manager's understanding of their role at this meeting. Many downstream problems can be identified and addressed here, rather than discovered in Phase 4.
- (c) **Prepare a conservative and realistic financial model.** Demonstrate that the organisation has sufficient resources to complete the certification period and sustain operations through the early months when revenues are low. CAAT will probe financial resilience.
- (d) **Applicants with no prior operating experience should factor in a significant operational proving period before certification can be completed.** This may add months to the process and require additional financial resources. Plan for this proactively.
- (e) **Avoid entering into irrevocable aircraft acquisition, leasing, facility-construction, recruitment or other major commercial commitments before CAAT has confirmed the proposed certification basis and scope.** Any commitment made before such confirmation remains at the applicant's commercial risk.
- (f) **The sequence in this Guideline may be adjusted where the operator's circumstances are unusual. CAAT will advise on any adaptations.** However, certification will not be granted until all applicable Thai aviation law and regulatory requirements are demonstrably met.

Scenario	What happens / What to do
(a) Skipping the Pre-Application Meeting The operator wants to go straight to Phase 2 without attending the Pre-Application Meeting	Not possible. The Pre-Application Meeting is a required step in CAAT's AOC certification process
(b) AM Fails Qualification The operator's nominated accountable manager does not meet the qualification requirements	CAAT will advise at the meeting. Phase 1 cannot close until an accountable manager who meets ORO.AOC.135 and ORO.GEN.210 is 'in principle' accepted. Identify and prepare a suitable candidate before the meeting.
(c) New Organisation with No Operating Experience The operator's organisation is brand new with no operating experience	CAAT will inform the applicant that a significant period of operational proving may be required before a certification decision can be made. Plan the resources and timelines around this from the outset.

References:

- Regulation of the Civil Aviation Authority of Thailand No. 26 on Air Operator Certificate (RCAAT No. 26)
- Thailand Civil Aviation Regulation – Air Operations (TCAR-OPS)

2.4 Phase 2 — Formal Application Phase

Regulatory basis

The Formal Application Phase is governed by RCAAT No. 26, Clauses 6 and 7, TCAR-OPS ORO.AOC.100, ORO.GEN.115. Submission signifies that the applicant is fully aware of applicable regulations and is ready for detailed evaluation. The formal application must be submitted no later than 180 days before the intended start of operations.

Applicable fees

The application fee is payable before Phase 2 commences, in accordance with [applicable CAAT requirements](#).

Required documentation — submit through EMPIC

- **CAAT-OPS-TCFM-101:** Application for Air Operator Certificate
- **CAAT-OPS-TCFM-102:** Application for Operations Specifications
- **CAAT-OPS-TCFM-103:** Organisation and Contents of an Operations Manual
- **CAAT-OPS-TCFM-106:** Nomination for Air Operator Personnel (all nominees, with CVs and qualification evidence)
- **CAAT-OPS-TCFM-107:** Schedule of Events (SOE)
- **Draft Operations Manual Parts A, B, C, D;** flight crew and cabin crew standard and emergency operating procedures manual; flight crew and cabin crew training manual; ground operations manual; Minimum Equipment List (MEL); Security Programme; and associated continuing airworthiness management procedures.
- **Compliance Lists CAAT-OPS-TCCL-101 to 107 as applicable** (signed by accountable manager)
- **Aircraft, facility, and services evidence: purchase/draft lease agreements, insurance, proof of aircraft ownership authentication**
- **Other relevant certificates (e.g. CAMO, AMO, ATO, and FSTD approvals),** as applicable
- **CAAT-OPS-TDGFM-402:** Application for Dangerous Goods Operating License (if applicable)
- **Application for ICAO three-letter designation and/or radiotelephony (R/T) call sign** (for international operations)
- **Copies of all contracts and service agreements**

Note: Mandatory documents that cannot be uploaded to EMPIC must be formally submitted at the CAAT office. The Security Programme must be submitted to the Aviation Security and Facilitation Standards Department (SFD) for review.

Schedule of Events (SOE)

The SOE is the applicant's master certification timeline (CAAT-OPS-TCFM-107). It must list all items, activities, and acquisitions with dates by which each will be ready. Required dates include: crew training; maintenance training; ground handling and dispatcher training; dangerous goods training; security training; facility readiness; ATO/simulator/AMO readiness; emergency evacuation/ditching demonstrations; proving flights; and proposed operations commencement. Dates must be logically sequenced to allow adequate CAAT review time between each item.

Management personnel assessment

All nominees are assessed against TCAR-OPS ORO.GEN.200, ORO.GEN.210, and ORO.AOC.135. Competency interviews may be conducted.

Cursory review, acceptance, and next steps

The POI conducts a cursory review of the submitted documentation. If complete, a Formal Application Meeting is held — the accountable manager, compliance monitoring manager, and nominated persons must attend. Following a successful meeting, the POI issues an Application Acceptance Letter (authorised by the DGCA or delegate), confirming formal commencement of the certification process and progression to Phase 3 (Document Evaluation). This acceptance does not constitute approval of any individual manual or document — each will undergo detailed evaluation in Phase 3.

If the documentation is found incomplete or deficient at cursory review, the POI will notify the applicant, detailing the deficiencies and providing guidance on correction. The application and supporting documents are returned to the operator with an explanation of the reasons. The operator should correct all identified deficiencies and resubmit as soon as possible. An application that remains inactive or shows insufficient progress for more than 30 days will be rejected. Where the applicant fails to meet the timeframe established by CAAT for completion of the certification process, the application will be terminated and a complete resubmission will be required.

✓ Guidance for Applicants / Operators

- (a) **Conduct an internal self-audit of the documentation package against the Compliance Lists (CAAT-OPS-TCCL-101 to 107) before submission.** These lists mirror exactly what CAAT will evaluate in Phase 3. Addressing gaps proactively avoids extended Phase 3 review cycles.
- (b) **Develop the Schedule of Events (SOE) realistically.** Sequence dates logically: crew training cannot begin before relevant manual sections are submitted; proving flights cannot be scheduled before training and inspection phases are complete. An overoptimistic SOE creates misaligned expectations and is a common source of friction.
- (c) **Every nominated person will be assessed** — not just the Accountable Manager. If any nominated person does not meet the required qualifications or competency standards, the application cannot proceed. Ensure all nominees understand their regulatory obligations before submission.
- (d) **Plan commercial operations launch date conservatively.** Phase 4 inspection and proving flights can take longer than expected, especially if findings are raised. Avoid committing to commercial slot times or commercial contracts until Phase 5 is complete.
- (e) **If the proposed CAMO, AMO, or ATO does not yet hold CAAT approval, factor in the time to obtain those approvals.** The SOE cannot show inspection readiness for items that depend on unapproved organisations.

Scenario	What happens / What to do
(a) Incomplete Application The operator's application is returned as incomplete	Correct all deficiencies immediately. An application inactive for more than 30 days will be rejected.
(b) Manuals in Early Draft Some manuals are still in early draft at submission	At minimum, draft versions must be submitted in sufficient completeness for cursory review. Skeleton or placeholder manuals will not be accepted. The more complete the submission, the faster Phase 3 will be.
(c) Nominated Person Departs A nominated person leaves the organisation between Phase 1 and Phase 2	Submit CAAT-OPS-TCFM-106 with the replacement nominee's details as soon as possible.
(d) Aircraft Type Not Yet Confirmed The applicant has not yet confirmed the aircraft type	Confirm the aircraft type as early as possible. The aircraft-specific manuals (e.g. OM-B, MEL, type-specific training) depend on a confirmed type, and in Phase 3 these sections cannot close until the type is confirmed and the documentation is submitted. Confirming early keeps these manuals moving and avoids delaying Phase 3 closure.

References:

- Regulation of the Civil Aviation Authority of Thailand No. 26 on Air Operator Certificate (RCAAT No. 26)
- Thailand Civil Aviation Regulation – Air Operations (TCAR-OPS)
- Application fee: Announcement of the Civil Aviation Authority of Thailand on Certificate Fees, B.E. 2561

2.5 Phase 3 — Document Evaluation Phase

Regulatory basis

The Document Evaluation Phase is governed by RCAAT No. 26, TCAR OPS ORO.MLR.100, together with the other applicable provisions of TCAR OPS. Its purpose is to verify that the applicant's operations manual system and supporting documentation are complete, accurate, internally consistent and compliant with the applicable requirements.

Before progressing to Phase 4, the applicant shall have submitted all required manuals and documents and resolved any matters necessary to demonstrate that the documentation is sufficiently complete and compliant to support the planned demonstrations and inspections. Documents requiring prior approval shall have received the applicable approval, while other documents shall have been assessed in accordance with their respective regulatory status and the applicable certification procedures.

Assessment process

The POI distributes documentation to specialist inspectors (FOI, OMI, CSI, DGI, AWI, and AVSEC) for evaluation against TCAR-OPS requirements and compliance lists. CAAT verifies that each manual: complies with applicable TCAR-OPS requirements and Acceptable Means of Compliance (AMCs); accurately reflects the applicant's current organisation and systems; is consistent with safe operating practices and proposed OPS SPEC; and addresses all compliance list items. Security documentation must be submitted directly to SFD at sfd_os@caat.or.th. Where Specific Approvals are requested, additional evaluation criteria apply.

Non-compliance management

Non-compliances are raised through EMPIC. For each finding, the applicant must submit within the agreed timeframe the Closing Action (CAP implementation evidence). Unsatisfactory CAPs are rejected and must be resubmitted. Assessment cycles continue until full compliance is achieved. CAAT reserves the right to reject an application if corrections are not submitted within the agreed timeframe.

Approval, acceptance, and FOSD upload

Manuals requiring DGCA approval are processed under a List of Approvals (LoA). Approved and accepted manuals are released under a Release of Documentation (RoD). The applicant must upload final approved/accepted versions to FOSD within the timeframe stipulated by CAAT. The POI reviews and confirms all manuals in FOSD before Phase 3 is closed.

Note: Responsibility for the accuracy and completeness of all company documents and manuals rests with the Accountable Manager and accepted Nominated Persons — at all times and regardless of CAAT approval status.

✓ Guidance for Applicants / Operators

- (a) **Phase 3 is the longest and most demanding phase for most first-time applicants.** Operators who submit complete, internally consistent, and regulation-referenced documentation from the outset experience significantly fewer review cycles. Operators who submit drafts expecting CAAT to identify all issues will experience extended timelines.
- (b) **Appoint a dedicated document control focal point who monitors EMPIC daily, manages submission tracking, and coordinates internal responses to findings.** Missed EMPIC notifications are a common avoidable source of delay.
- (c) **All cross-references within and between manuals must be accurate and consistent.** A reference in OM Part A to a procedure in OM Part D that does not exist, or that is numbered incorrectly, will generate a finding.
- (d) **The training-related manuals should be submitted at the earliest opportunity.** Their approval is required before staff training may commence, and training must be sufficiently advanced for crew competency and training records to be assessed during the Phase 4 inspection and for crew to perform the required demonstrations and proving flights.
- (e) **Do not submit manuals with blank sections, placeholder text, or references to pending approvals.** Every section must be complete and substantive at submission.
- (f) **Begin Phase 4 preparations (crew training, facility readiness, simulator bookings) in parallel with Phase 3 —** the Schedule of Events (SOE) should already be driving this. Waiting for Phase 3 to close before starting Phase 4 preparations unnecessarily extends the overall timeline.
- (g) **The security programme is reviewed independently by SFD.** Submit it to sfd_os@caat.or.th at the same time as the EMPIC submission. A delayed security submission can delay Phase 3 closure even if all other manuals are approved.

Scenario	What happens / What to do
(a) CAAT Finding on Operations Manual CAAT raises a finding on the operator's Operations Manual	Submit Correction, RCA, CAP, and evidence through EMPIC within the specified timeframe. CAPs that correct the symptom without identifying the root cause will be rejected.
(b) Manual References an ATO/AMO Without Approval The operator's manual references an ATO or AMO whose approval is not yet in place	Those manual sections cannot be closed in Phase 3 until the referenced approval is confirmed. Coordinate external approval timelines with the SOE.
(c) Significant Rewrite Required CAAT requires a significant rewrite of a section	Work with the assigned inspector to fully understand the requirement before rewriting. Seek clarification from the inspector if the finding is unclear.
(d) Uploading Manuals to FOSD Before Approval The operator wants to upload its manuals to FOSD before approval is issued	Upload only after the formal LoA or RoD is issued — upload the approved/accepted version. Do not upload draft versions to FOSD.
(e) Aircraft-Related Manuals Not Finalised Aircraft-related manuals (<i>e.g. Aircraft Operating Manual, MEL, Aircraft Performance Manual, Mass and Balance Control Manual</i>) are not finalised in accordance with the actual aircraft to be operated	These manuals cannot be approved until their content matches the specific aircraft type, model, and registration confirmed for operation. In accordance with Item 2.5, all required manuals must be approved or accepted before Phase 4 can commence — this cannot happen while aircraft-related manuals remain generic or unmatched to the confirmed aircraft. Confirm final aircraft details as early as possible in the Schedule of Events and align manual development accordingly, noting that individual aircraft details may not be available at Formal Application and must be finalised before Phase 3 can close.

References:

- Regulation of the Civil Aviation Authority of Thailand No. 26 on Air Operator Certificate (RCAAT No. 26)
- Thailand Civil Aviation Regulation – Air Operations (TCAR-OPS)

2.6 Phase 4 — Demonstration and Inspection Phase

Regulatory basis

Phase 4 is governed by TCAR-OPS, RCAAT No. 26. It verifies that the applicant can operate safely in practice — not merely in documentation. The final recommendation to issue or deny the AOC requires agreement from all inspectors.

Applicable fees

The audit/inspection fee is payable before Phase 4 commences, in accordance with [applicable CAAT requirements](#).

Phase 4.1 — On-site Audit and Inspection

An Audit/Inspection Preparation Meeting is held in advance. An Audit/Inspection Notification is issued. The on-site audit covers, at minimum:

- **Organisational competence** — management structure, SMS, CMS, communication, delegation.
- **Flight crew training and qualification** — records, facilities, simulators, instructor/examiner qualifications, training programme compliance.
- **Cabin crew and cabin crew training management** — training records, CRM, safety procedures. records, facilities, instructor/evaluator qualifications, training programme compliance.
- **Operational control and supervision** — dispatch, control centre, flight documentation.
- **Ground handling and station facilities** — ramp, weight and balance, fuelling, main base and outstations.
- **Document management and flight safety documents system.**
- **Flight Data Monitoring (FDM) programme** implementation (if applicable).
- **Continuing airworthiness** — aircraft airworthiness and readiness, continuing airworthiness and maintenance compliance. Operational demonstrations (Phase 4.2) cannot be initiated when the continuing airworthiness management system for an aircraft type has not yet been established or approved. The AOC should at least successfully pass the CAMO demonstration and inspection phase with the applicable aircraft type and scope of work.
- **Dangerous Goods** — programme, training, documentation, facilities (if DGL is sought).
- **Emergency Response Plan** implementation.
- **Flight and Duty Time Limitations and Rest Requirements** — Initial Approval of Individual Flight Time Specification Scheme.

Emergency Evacuation and Ditching Demonstration

For the issuance of an AOC or changes related to an AOC, applicants and operators are required to demonstrate to CAAT that their cabin crew are competent and their procedures are adequate to conduct an emergency evacuation within the specified time limits, and, where applicable, to prepare the aircraft and occupants for a planned water landing. The demonstration evaluates the operator's emergency training programme, crew competency, evacuation and ditching procedures, and the reliability of safety and emergency equipment on board. Depending on the aircraft type, operational history, and circumstances, CAAT may require a full-scale evacuation demonstration, a partial evacuation demonstration (without slide inflation), or a simulated ditching demonstration (without slide/raft inflation).

For detailed guidance, refer to the Emergency Evacuation and Ditching Demonstration Guidelines (CAAT-GL-OPS-EVAC), which can be accessed on the CAAT website at:

<https://www.caat.or.th/certificates-licenses/air-operator/guidance-guideline/tcar/>



Phase 4.2 — Demonstration (Proving) Flights

The emergency evacuation and ditching demonstration must be completed and all findings closed before proving flights begin. The proving flight plan is prepared by the applicant and approved by CAAT. The CAAT team (FOI, CSI, OMI, AWI, and additional specialists as applicable) observe operations under normal revenue-equivalent conditions. No paying passengers. Company officials with decision-making authority must be onboard. CAAT may introduce simulated scenarios.



Phase 4.2 — Ground Handling Operations – Line Station Inspection

The Line Station Inspection will be conducted by CAAT team at the destination station, proposed by the applicant, to verify that the applicant has established appropriate arrangements for ground handling operations, oversight, facilities, and systems at the 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. For some check items that cannot be verified during Phase 4.1, ground handling and station facilities inspection may be conducted at this phase.

Finding Management in Phase 4

All Phase 4 non-compliances must be fully resolved and closed before Phase 5 commences. CAAT will not proceed to certification with any open findings.

✓ Guidance for Applicants / Operators

- (a) **Phase 4 evaluates actual operations** — inspectors observe what the applicant does, not what the manuals say. The most common finding is a gap between documented procedure and actual practice. Conduct thorough internal audits of the applicant's own operations before CAAT arrives.
- (b) **Ensure the accountable manager and all nominated persons are present throughout the inspection period.** CAAT specifically assesses whether management understands and actively oversees their systems. Absence during key inspection activities will generate concerns.
- (c) **All records — training, maintenance, ground handling, operational documentation — must be current, accurately maintained, and immediately retrievable.** Inspectors will request records with minimal notice.
- (d) **For the evacuation/ditching demonstration:** All crew members must know their roles without prompting. Findings from the demonstration that are not closed will delay the start of proving flights.
- (e) **For proving flights:** All operational control procedures must be fully functional before the flight. Every aspect must mirror revenue operations — from pre-departure dispatch through to post-flight procedures. During the proving flight, CAAT inspectors may introduce simulated abnormal and emergency situations to evaluate the crew's and operator's ability to respond. Be prepared to respond to these scenarios using your approved procedures. Any deficiency identified during the flight must be corrected before commencement of revenue operations.
Route Selection: The proving flight should be conducted on a proposed en-route operation that adequately demonstrates the operator's ability to conduct its intended commercial operations. The selected route(s) should enable CAAT to assess all relevant operational functions, facilities, procedures, and personnel associated with the proposed operation, including any Specific Approval(s) being sought (e.g. PBN, RVSM, CAT II/III, EDTO/ETOPS, AWO, RNAV, RNP, or other applicable approvals).
- (f) **For Line Station Inspection:** the applicant shall ensure that all operational arrangements are in place and ready for inspection at the proposed station, including, but not limited to, subcontracted activities and associated agreements (where applicable), personnel training, equipment, and facilities.
- (g) **Respond to all Phase 4 findings promptly with complete, substantive CAPs.** A finding closed with a thorough root cause analysis (RCA) and effective corrective action demonstrates organisational maturity. A finding closed superficially raises concerns that may escalate to Phase 5.

Scenario	What happens / What to do
(a) Finding During On-Site Inspection A finding is raised during the on-site inspection	Submit Correction, RCA, CAP, and evidence through EMPIC within the specified timeframe. All Phase 4 findings must be closed before Phase 5 can start.
(b) AM Unavailable During Inspection The accountable manager is unavailable during a key inspection day	Reschedule to ensure accountable manager presence. CAAT will note the absence and it will affect the overall competency assessment.
(c) Procedural Gap in Proving Flights Proving flights reveal a procedural gap	Findings will be raised. Amend the relevant documentation, retrain staff, and provide evidence of corrective action. Phase 5 cannot begin while findings are open.
(d) Adding a Route in Phase 4 The operator wants to add an additional route during Phase 4	Route additions require a separate CR change and cannot be informally incorporated during Phase 4.

References:

- Regulation of the Civil Aviation Authority of Thailand No. 26 on Air Operator Certificate (RCAAT No. 26)
- Thailand Civil Aviation Regulation – Air Operations (TCAR-OPS), Parts ORO, CAT, SPA
- Flight Operations Inspector Manual Volume II (TFOIM Vol. II), Chapter 9

2.7 Phase 5 — Certification Phase

Regulatory basis

Phase 5 concludes the initial certification process, governed by RCAAT No. 26 Clauses 8, 10–11. The POI and team confirm all requirements — operational, economic, and AOL — are satisfied and all findings are closed. The certification package is reviewed by the OPS Manager and submitted to the DGCA. The certification fee is payable before final actions are completed.

Applicable fee

The certification fee is payable before final actions are completed and before the AOC and associated documents are issued.

Documents issued

- **AOC:** Valid for 5 years from the date of initial issuance.
RCAAT No. 26 Clause 11
- **OPS SPEC and Attachment to Operations Specifications:** Defining authorised aircraft, areas of operation, and Specific Approvals.
RCAAT No. 26 Clause 10
- **DGL:** Issued concurrently (where applicable)

Certification Meeting

A meeting is held with the applicant. CAAT briefs the applicant on: the conditions and scope of the applicant's AOC and OPS SPEC; the post-certification surveillance programme; ongoing compliance obligations; and the process for managing future changes. This is the applicant's opportunity to seek clarification on any aspect of the AOC or OPS SPEC before operations begin.

If the application is refused or cancelled

CAAT inspectors will provide guidance throughout to assist in achieving compliance. If the application is not progressing at a reasonable pace, the OPS Manager may call a meeting and set a final timescale. If compliance cannot be demonstrated after guidance, the OPS Manager may:

- (a) allow the application to continue with a final limited timescale;
- (b) cancel the application; or
- (c) refuse to issue the AOC where the failure reflects a fundamental management capability deficit. CAAT will notify the applicant in writing with evidence from audits and inspections.

Post-certification obligations

From day one of AOC validity, CAAT's surveillance programme applies. Periodic main base, ramp, en-route, and specialist inspections will be conducted. [Chapter 5](#) of this Guideline provides further detail on surveillance and finding management.

✓ **Guidance for Applicants / Operators**

- (a) **Before the Certification Meeting, read the draft AOC and OPS SPEC carefully.** Verify every detail — operator name, aircraft types, areas of operation, Specific Approvals, and conditions. Discrepancies are far simpler to correct before issuance than after.
- (b) **Ensure the accountable manager attends the Certification Meeting.** This is a substantive briefing on regulatory obligations, not an administrative sign-off.
- (c) **Plan commercial start date before AOC expiry risk date.** The AOC may become invalid if operations have not commenced within 6 months of initial issuance. If commercial launch is expected to be delayed, discuss with the POI before the deadline.
- (d) **The compliance monitoring calendar should begin generating internal audit findings from the first day of operations.** The same standards demonstrated during Phase 4 must be maintained every day.
- (e) **Operators are required to carry a certified true copy of the AOC, a copy of the Operations Specifications, and the List of Authorised Aircraft for Specific Approval** onboard each aircraft in their fleet. The certified true copy bears the signature of a CAAT official and an official CAAT stamp. To obtain certified true copies, contact your assigned POI — one copy is required per aircraft.

Scenario	What happens / What to do
(a) AOC Issued Before Operator Is Commercially Ready The operator's AOC will be issued before the operator is commercially ready	Plan to commence within 6 months. If this is not feasible, discuss with the POI immediately and before the 6-month mark.
(b) Incorrect Detail on OPS SPEC at Issuance A detail on the operator's OPS SPEC is wrong at issuance	Report to the POI before signing. Corrections after issuance require a CR change process.
(c) Approaching 6-Month Non-Commencement Deadline The operator is approaching the 6-month deadline without having commenced revenue operations	Contact the POI immediately. The 6-month non-commencement provision under ANA Section 41/121(4) may apply.

References:

- Air Navigation Act B.E. 2497 (ANA), Sections 41/112–41/115 and 41/117
- Regulation of the Civil Aviation Authority of Thailand No. 26 on Air Operator Certificate (RCAAT No. 26)
- Flight Operations Inspector Manual Volume II (TFOIM Vol. II), Chapter 10
- Application fee: Announcement of the Civil Aviation Authority of Thailand on Certificate Fees, B.E. 2561

3. CHANGES TO AN AOC HOLDER

3.1 Regulatory Basis and Scope

Any modification or amendment — to the organisation, personnel, operations, documentation, or management system — that occurs after initial AOC issue and affects or may affect the conditions under which the AOC or OPS SPEC was granted is a change. All changes must be managed under RCAAT No. 26 Clause 13 and TCAR-OPS ORO.GEN.130. The types of changes that affect the AOC, OPS SPEC, or the operator's management system are defined in GM1 ORO.GEN.130(a) and (b). The operator's change management process must ensure continued compliance at all times. Changes must be managed proactively and disclosed to CAAT, as applicable, in accordance with the applicable requirements, rather than being implemented first and reported afterwards.

Two categories

- **CR — Changes Requiring Prior Approval:** Must be approved by CAAT before implementation. 4-phase process. Evidenced by an updated List of Approvals (LoA).
- **CN — Changes NOT Requiring Prior Approval:** Must be notified to CAAT but do not require prior approval. 2-phase process (Notification + Document Assessment). No certification fee.

Note:

- (1) If uncertain whether a change is CR or CN, ask the POI before proceeding. Implementing a CR change without prior CAAT approval is a regulatory violation under RCAAT No. 26 Clause 16 and TCAR-OPS ORO.GEN.130.
- (2) Where a single change contains both CR and CN items, the operator must submit two separate applications and run both processes in parallel. The operator may not implement any part of the change until CAAT approval has been granted for the CR component.

Tracking and Managing Changes

As part of its management of change, the Operator should establish an internal system to track all changes — both CR and CN — from submission through to implementation. This tracking should be monitored under the Operator's compliance monitoring process, recording for each change its submission date, CAAT's approval or acceptance as applicable to the change, and the actual implementation date.

The means of tracking is flexible and may be designed by the Operator to suit its organisation; what matters is that changes are managed proactively, implemented only once authorised, and kept accurately recorded, current, and coordinated across the document management system and responsible personnel so that they remain traceable for surveillance purposes.

Document Approval and Release

CAAT captures the approval and acceptance status of an operator's manuals and documents certified by the DGCA, in accordance with ORO.GEN.130:

- **List of Approvals (LoA):** A formal document signed and issued by the DGCA that lists all approvals currently held by the operator, including the date of initial approval and the date of the most recent amendment. The LoA is revised whenever a process or content requiring prior approval is newly granted, amended, or revoked. It is not required to be part of the Operations Manual and may be maintained as a standalone document, provided it is readily accessible as evidence of formal approval. The LoA is issued in electronic (.PDF) format. The operator must ensure that the LoA is made available to relevant personnel through the document distribution system from the effective date of the revision.

[\(See Appendix D for sample LoA\)](#)

- **Release of Documentation (RoD):** A document issued by CAAT as an acknowledgement that CAAT has received a submission. An RoD may be issued for each publication change that enters into force, including revisions to the OM, MEL, or other controlled documents.
 - **For a CR change,** the RoD is issued alongside the updated LoA upon completion of the full evaluation.
 - **For a CN change,** the RoD is issued within 10 days of submission.

In all cases, the RoD is a mandatory acknowledgement of receipt only — it does not, by itself, constitute a finding of compliance with applicable regulations, and does not relieve the operator of its responsibility to ensure compliance at all times. The RoD may be incorporated into the Operations Manual or maintained as a standalone document. The RoD is issued in electronic (.PDF) format. The operator should ensure that the RoD is made available to relevant personnel through the document distribution system from the effective date of the revision. The RoD may serve as supporting evidence during inspections, including ramp inspections.

[\(See Appendix D for sample RoD\)](#)

Applicable Fees

Pursuant to the [applicable CAAT requirements](#), fees are imposed for changes related to an AOC holder. The applicable fees comprise the following stages:

- (a) Audit/Inspection Fee; and
- (b) Certification Fee

List of Required Documents

- (a) The following forms and checklists shall be utilized, as applicable to the change, for the operator's submission to the CAAT.

Table 3-1: List of Required Documents for Changes to an AOC

No.	Document	Document Name	CR: Change Requiring Approval	CN: Change NOT Requiring Approval
1	CAAT-OPS-TCFM-201	Proposed Change to an AOC (PCA)	✓	✓
2	Operator-provided	Draft of Operations Manual/Document	✓	✓
3	Operator-provided	Summary of Changes	✓ (1)	✓ (1)
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;	(2)	-
5	CAAT-OPS-TCFM-102	Application for Operations Specifications	(3)	-
6	CAAT-OPS-TDGFM-402	Application for Dangerous Goods Operating License (Thai Air Operator) (if applicable)	(4)	-
7	CAAT-OPS-TCFM-106	Nomination for Air Operator Personnel	(5)	(5)
8	CAAT-OPS-TCFM-107	Schedule of Event Form	(6)	-
9	Operator-provided	Risk assessment documentation;	(6)	(6)
10	Operator-provided	Manufacturer/OEM documents or technical documents (e.g., AFM, MMEL, OSD, etc.)	(6)	(6)

✓ = Mandatory Document for all cases

(#) = See Description of applicability below

Description of applicability:

- (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, or newly introduced in that revision. This information may be provided in any form upon agreement with CAAT (e.g. within the operator's tool or as a separate list etc.) For more details, see [Item 3.5.3](#).
- (2) The compliance list, with references, shall be submitted as applicable to the scope or part related to the change. For more details, see [Item 3.5.1](#).
- (3) Applicable in the case of an initial AOC application and any changes related to amendments to the Operations Specifications (OPS SPEC).
- (4) Applicable in the case of an initial application and any change to specific approval for Dangerous Goods Operating License (DGL: Thai Air Operator) along with required supporting documents.
- (5) Applicable in the case of a change in Nominated/Management Personnel.
- (6) This document may be required depending on the type of change or upon the inspector's request.

Note: For instructions on completing the PCA Form (CAAT-OPS-TCFM-201), see [Appendix E](#).

- (b) Together with the application form(s) and documentation, the operator may intend to submit their revised operations manual for assessment. Normally, the documents listed in Table 3-1 should be submitted during the Application Phase. If not submitted at that time, the schedule of events shall clearly state when each specific document or manual will be submitted.
- (c) CAAT will review and check the completeness of application and submitted documents to ensure that the required information and attachments are included. If any omissions or incomplete information are identified, CAAT reserves the right to reject the change proposal package, whether for changes requiring prior approval or changes not requiring prior approval. The application and supporting documents will be returned to the operator, accompanied by an explanation of the reasons for the return.
- (d) CAAT may issue Level 1 or Level 2 findings where non-compliance is identified. Depending on the nature and safety significance of the matter, CAAT may separately amend, limit, suspend or revoke an approval, privilege, Operations Specification or certificate in accordance with the applicable legal authority.

Summary of CR and CN Processes

Table 3-2: Summary of CR and CN Processes

Process	Changes Requiring Approval (CR)	Changes Not Requiring Approval (CN)
Submission Application	▪ 30 days - Before intended change - For planned change of an Accountable Manager (AMC1 ORO.GEN.130) ▪ Unforeseen or emergency changes notify CAAT at the earliest opportunity with safety justification.	▪ 10 days Before intended change ▪ 20 days For planned change Nominated person, Safety Manager, Compliance Monitoring Manager (AMC1 ORO.GEN.130) ▪ Unforeseen or emergency changes notify CAAT at the earliest opportunity with safety justification.
Assessment timeframe	Subject to the type and complexity of the change(s).	▪ 10 days From the date of document submission.
CAAT recognition	Approval	Acceptance
Certification / Verification	List of Approvals (LoA)	Verification Email
Effective Date	Upon receipt of the LoA, the operator shall proceed with implementation as per the proposed effective date.	If no objection is raised within 10 days , the operator is authorised to implement the change as per the proposed effective date without awaiting a response (verification email) from the CAAT.

Quick Links

- ✓ The applicable forms are available for download at:
<https://www.caat.or.th/certificates-licenses/air-operator/air-operator-certificate/>

3.2 Changes Requiring Prior Approval (CR)

Certain changes to the AOC, Operations Specifications, or the operator's management system require prior CAAT approval before implementation, in accordance with [ORO.GEN.130](#). These changes are subject to the CR process, and a List of Approvals (LoA) signed by the DGCA must be obtained before the change is implemented.

Refer to [Appendix B](#) — List of Changes Requiring Prior CAAT Approval (CR) for the complete list. Where an operator is uncertain whether a proposed change falls within the CR category, the assigned POI should be consulted.

Submission Requirements (AMC1 ORO.GEN.130)

For required documents, refer to [Table 3-1](#). For a summary of submission timeframes, CAAT recognition, certification, and authorization, refer to [Table 3-2](#).

Four-phase CR process

- **Phase 1 — Application**

Submit through EMPIC the CAAT-OPS-TCFM-201 Proposed Change to an AOC (PCA), accompanied by an intention letter requesting to apply for the change, together with the documents identified for the CR process in [Table 3-1](#). The submission must include the completed information necessary to accurately represent the requested change(s).

- **Phase 2 — Document Assessment**

CAAT assesses the submitted manuals, documents, and attachments for compliance with the applicable regulations. Assessment commences only when CAAT has received a complete submission. Where the submission is incorrect or insufficient, all or the relevant part will be returned for correction or completion; failure to provide supporting documentation within a reasonable timeframe may result in the change process being discontinued.

- **Phase 3 — Demonstration and Inspection (if applicable)**

Where required by the nature of the change, the operator shall demonstrate its ability to comply with the applicable regulations and safe operating practices, through inspection, proving flights, or evaluation of the relevant organisation. Discretion may be exercised by the inspector, and this phase may be reduced or waived where CAAT deems it appropriate to the change requested.

- **Phase 4 — Certification**

Upon satisfactory completion of all assessments, CAAT grants the change, evidenced by an updated List of Approvals (LoA). Where the change affects the AOC or OPS SPEC, the relevant amended page of the Air Operator Certificate (AOC) or the corresponding Operations Specifications (OPS SPEC) is also issued. The change may not be implemented until the LoA has been issued.

Complexity scales with the nature of the change — simple documentary amendments may complete quickly; new aircraft types or Specific Approvals may require the full process demonstration and inspection.

Changes Affecting Airworthiness

Before submitting a CR application (or CN notification), the operator should assess whether the planned change also affects the airworthiness of the aircraft. The following questions should be considered:

- (a) Does the change affect CAMO certificate? For example (list is not exhaustive):
 - Change to CAMO Postholder
 - Change to nominated personnel who also nominated personnel for compliance monitoring, safety management of CAMO
 - Change to facility, or locations
 - Change to corporate safety policy
 - Change to integrated management system
 - New aircraft type
- (b) Does the operational change require the availability of a specific aircraft system that is not currently installed or certified?
- (c) Does the operational change require aircraft installation and/or modification?
- (d) Does the change, addition, or removal of operational procedures in the Operations Manual affect any continuing airworthiness management procedures or aircraft approved configurations?

If the answer to any of the above is yes, the operator must initiate the applicable airworthiness process through CAAT AIR before or in parallel with the OPS submission, as appropriate. The airworthiness approval process is conducted independently by CAAT AIR.

Applicable fees

The fee for LoA is payable before Phase 4 commences, in accordance with [applicable CAAT requirements](#).

Required documentation for CR submission (through EMPIC)

See [Table 3-1](#) for required documentation

Safety assessment criteria

CAAT will not grant a CR approval unless the operator can demonstrate:

- (a) an adequate organisation;
- (b) a systematic CMS and SMS;
- (c) compliance with regulations relevant to the change; and
- (d) aircraft with valid CofA and an approved maintenance system.

✓ Guidance for Applicants / Operators

- (a) **Plan all changes well in advance.** The 30-day minimum is for straightforward changes; for complex changes involving new aircraft types or Specific Approvals, it may require 90–180 days or more. Discuss the change plan with the POI early.
- (b) **Never implement a CR change before receiving the updated LoA or other formal approval from CAAT.** Operating under an unapproved change is a regulatory violation regardless of the belief that the change is safe.
- (c) **When submitting a CR application, describe clearly what the change is, why it is being made, and how it affects existing systems, procedures, and documentation.** Providing comprehensive details upfront eliminates the need for further clarification and expedites the review process.
- (d) **For planned personnel changes (e.g. new Accountable Manager):** notify CAAT at least 20 days before the change, and earlier if the incoming nominee will need time to prepare for a competency interview.
- (e) **If risk assessment is required, the operator may use its SMS Risk Assessment or Management of Change (MoC) process to assess the safety risks associated with the proposed change before submission.** A well-prepared risk assessment with appropriate mitigation measures can facilitate and expedite CAAT's review and approval process.
- (f) **Where a change has been driven by a regulatory amendment, make this explicit in the application.** Reference the specific TCAR-OPS clause being addressed. CAAT will prioritise regulatory compliance changes.
- (g) **Carrying a current copy of the LoA on board.** The LoA is the formal evidence of the approvals granted to the Operator by CAAT, and carrying it on board serves as a means of substantiating those approvals during inspections, including ramp inspections. Ensure the copy carried is the most recent LoA issued by CAAT.

Scenario	What happens / What to do
(a) Adding Same Make/Model Aircraft The operator wants to add another aircraft of a type already in its fleet (same make/model)	Still CR — submit at least 30 days before entry into service. The scope of evaluation depends on the difference from existing types. If the addition requires changes to the MEL or other manuals, select those items separately in Part 2 of the PCA form — selecting "Adding New Aircraft" does not automatically include or flag any MEL or manual changes. Discuss with the POI early.
(b) AM Resigning Immediately The operator's accountable manager is resigning with immediate effect	The operator shall maintain continuous accountable-management coverage and shall apply to CAAT for the proposed change within the required timeframe. Submit CAAT-OPS-TCFM-106 for the replacement without delay.
(c) Adding EDTO/ETOPS The operator wants to add EDTO/ETOPS capability	Full CR 4-phase process. Aircraft airworthiness, training, maintenance procedures, and OPS SPEC all require amendment. Begin planning at least 180 days before the intended first EDTO flight.
(d) Change Implemented Before Notification The operator implemented a change before notifying CAAT	Contact the POI immediately and fully disclose. Early voluntary disclosure and cooperative resolution is treated significantly more favourably than non-disclosure discovered through surveillance.
(e) CAAT-Initiated OPS SPEC Amendment CAAT amends the OPS SPEC without the operator's request	Under RCAAT No. 26 Clause 14, the DGCA may amend the OPS SPEC for safety reasons. CAAT will notify the operator in writing. Comply with the amended OPS SPEC immediately.
(f) Change Across Multiple Fleets A change applies across multiple fleets	Where a single change is applicable to all aircraft across the operator's entire fleet — for example, adopting a new EFB application used by all aircraft in the company — the operator may submit a single PCA Form. Select "Applicable for entire fleet" in the form and identify all affected aircraft types. <i>Example: An operator with A320 and ATR fleets intends to change the EFB application system used across all aircraft. The operator submits one PCA Form, specifying the proposed change and listing both aircraft types.</i>
(g) Multiple Simultaneous Changes Several distinct changes are needed at the same time, or the same change applies to different fleets with different approval scopes	Where the operator requires multiple distinct changes at once, or where the same type of change applies to different fleets but with different approval scopes, a separate PCA Form must be submitted for each. <i>Example 1: An operator intends to add ETOPS approval to the B787 fleet and update the MEL for the A320 fleet at the same time.</i> - These are two unrelated changes affecting different aircraft types. - The operator submits two separate PCA Forms — one for each change. <i>Example 2: An operator intends to add LVO capability to two fleets at the same time.</i>

Scenario	What happens / What to do
	▪ <i>The B737 fleet is proposed for LVO CAT II; the A330 fleet is proposed for LVO CAT III.</i> ▪ <i>CAT II and CAT III carry different regulatory requirements, different minima, and different crew qualification standards — they are separate approvals.</i> ▪ <i>The operator submits two separate PCA Forms — one for each fleet.</i>
(h) Dual TCAR-OPS/TCAR-AIR Approval The change requires approval under both TCAR-OPS and TCAR-AIR	Where a change requires prior approval under both TCAR-OPS and the applicable Airworthiness regulations, the operator submits the application to CAAT AIR in accordance with the AIR requirement and, in parallel, submits a PCA to CAAT OPS through EMPIC. The two evaluation processes are conducted simultaneously. Approval must be obtained from both sides before the change is implemented. <i>Example: An operator intends to add a Low Visibility Operations (LVO) CAT II capability.</i> ▪ <i>This requires both an OPS approval (SPA.LVO.100) and an airworthiness verification that the aircraft is appropriately equipped and certified.</i> ▪ <i>The operator submits the PCA to CAAT OPS and the airworthiness application to CAAT AIR at the same time.</i> ▪ <i>CAAT OPS and CAAT AIR coordinate the evaluation internally.</i> ▪ <i>The operator may not implement until both approvals have been received.</i> Note: For certain changes — such as specific approvals involving aircraft equipment or configuration — the airworthiness aspects must be satisfied before the operational approval can be concluded. In such cases, CAAT will advise the operator accordingly. For inquiries related to the CAAT AIR process or to confirm whether a specific change requires AIR approval, contact your designated Airworthiness Inspector.
(i) Mixed CR/CN Classification The change is a CR under TCAR-AIR but a CN under TCAR-OPS (or vice versa)	Where a change is a CR under one regulation but a CN under another, the operator submits in parallel to both OPS and AIR. It may only be implemented once approval is obtained under the regulation classifying it as CR. <i>Example: Change of Compliance Monitoring Manager, where prior approval is required under Airworthiness regulations but the change is CN under TCAR-OPS.</i> ▪ <i>The operator submits the application to CAAT AIR in accordance with the applicable Airworthiness regulations, and simultaneously notifies CAAT OPS by submitting the relevant documents through EMPIC in accordance with the CN process.</i> ▪ <i>Once CAAT AIR has received the application and CAAT OPS has received the CN notification, the responsible AIR and OPS inspectors coordinate and arrange an interview session with the Compliance Monitoring Manager.</i> ▪ <i>The Compliance Monitoring Manager is interviewed by the AIR Inspector; the OPS Inspector may participate in or observe the interview at the same time.</i>

Scenario	What happens / What to do
	Upon completion of the evaluation, approval is granted by CAAT AIR and the change is acknowledged by CAAT OPS. The operator may implement only after CAAT AIR approval has been received. <i>Note: This commonly arises for the Compliance Monitoring Manager, Safety Manager, and CAMO post holder, where the change is a CR under TCAR-AIR but a CN under TCAR-OPS.</i>
(j) Finding on Prior LoA-Approved Procedure CAAT approved the contents in an LoA, but a finding is later raised against procedures approved under a previous LoA. Is this legal?	Yes. Responsibility for ensuring that the operator's procedures comply with applicable regulations rests with the operator at all times, regardless of which LoA is currently in effect. The LoA confirms only that the content submitted was assessed and found compliant at the time that approval was granted — it does not exempt the operator from surveillance covering the period the previous LoA was in force, and does not cure a deficiency that was carried forward unchanged into the current version.
(k) Finding Outside LoA Scope CAAT approved the contents in the LoA, but a finding is raised against procedures that are not part of the LoA. Is this legal?	Yes. The operator's responsibility for compliance extends to its entire operation, not only to the items listed in the LoA. The LoA lists only the specific items that required and received prior approval — it does not define or limit the boundary of CAAT's surveillance. Any procedure, whether or not it appears on the LoA, remains subject to surveillance against the AOC, OPS SPEC, and applicable regulations.
(l) Regulation Changed After LoA Approval The applicable regulation, AMC, or GM changes after a procedure was approved under the LoA, and CAAT raises a finding without the operator having changed anything. Is this legal?	Yes. The operator remains responsible for maintaining compliance with all applicable requirements at all times, including where those requirements are amended after an approval was granted. An approval does not remain valid indefinitely simply because the content was compliant when it was assessed. Where a subsequent regulatory change affects a previously approved procedure, the operator is responsible for identifying the impact and implementing the necessary update, whether or not CAAT has specifically requested it.
(m) Different Inspector Raises Finding A different inspector conducts the surveillance than the one who processed the earlier CR approval. Can that inspector raise a finding on the same content?	Yes. Approvals and findings are acts of CAAT, not of the individual inspector. Any authorised inspector may raise a finding based on the current assessment of compliance, regardless of who was involved in an earlier approval.
(n) Incomplete or Unacceptable PCA Submission The PCA form or supporting documents submitted are incomplete, incorrect, or unacceptable. What happens?	CAAT reviews the submission via EMPIC for completeness. Incomplete or omitted information may result in rejection, with the package returned through EMPIC along with the reasons. The operator shall correct the deficiencies and resubmit through EMPIC.

References:

- Regulation of the Civil Aviation Authority of Thailand No. 26 on Air Operator Certificate (RCAAT No. 26)
- Thailand Civil Aviation Regulation – Air Operations (TCAR-OPS)
- Flight Operations Inspector Manual Volume II (TFOIM Vol. II), Chapter 12

3.3 Changes Not Requiring Prior Approval (CN)

What qualifies as CN

Any change not identified as requiring prior approval in the CR list in Appendix B is classified as a CN. CN changes do not require prior CAAT approval before implementation; however, they must be notified and managed by the operator in accordance with its CAAT-approved procedure for changes not requiring prior approval. Following notification, CAAT may, at any time, review the change and may require amendments where non-compliance or safety concerns are identified, including after implementation (RCAAT No. 26 Clause 16; TCAR-OPS ORO.GEN.130(c)).

Certain CN changes, although not requiring prior approval, must be notified to CAAT before implementation in accordance with the applicable requirements and the operator's approved procedure. These changes are listed in [Appendix C](#) (TCAR OPS ORO.GEN.130(c); ORO.MLR.100(g)(1))

Process — 2 phases

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

Submission Requirements (AMC1 ORO.GEN.130)

For required documents, refer to [Table 3-1](#). For a summary of submission timeframes, CAAT recognition, certification, and authorization, refer to [Table 3-2](#).

Note: For planned changes to a Nominated Person, Safety Manager, or Compliance Monitoring Manager — although these are CN changes — CAAT must be notified at least 20 days before the proposed change date, so that any competency interview or further evidence can be arranged before implementation. For unforeseen changes, notify CAAT at the earliest opportunity.

Implementation

Upon submission of a complete CN package, CAAT will conduct a cursory review and issue a Release of Documentation (RoD) as a mandatory acknowledgement of receipt. Depending on the nature of the change and the assigned inspector's assessment, the RoD may be issued following a cursory review for completeness, or following a verification of the submitted documentation. CAAT's target timeframe for issuing the RoD is 10 days from the date of submission.

The operator shall not implement the change until one of the following conditions is met:

- (a) **A verification email** is received from CAAT through EMPIC confirming the acceptability of the submitted documentation — the operator is authorised to implement immediately upon receipt;
- or*
- (b) **10 days have passed from the date of submission with no objection raised by CAAT**, where Day 1 is the day following the date of submission — the operator is authorised to implement from Day 11 onwards.

Where the inspector completes the verification early and has no objection, the RoD and the verification email may be issued together within the 10 days. The operator may receive them at the same time and may then implement on receipt under condition (a), without waiting for Day 11.

If no RoD has been received by Day 11, the operator is authorised to implement the change but should follow up with the assigned inspector to obtain the RoD, as it may be required to facilitate ramp and other inspections.

Note: The RoD confirms acknowledgement of receipt only. It does not constitute a finding of compliance with applicable regulations. CAAT retains authority to evaluate submitted documentation at any time following issuance of the RoD and to direct corrective action accordingly.

Operator's Responsibility for Compliance

The **responsibility for ensuring that all documentation changes are compliant with applicable regulations rests at all times with the operator.** This responsibility is not transferred or reduced by the CN process, by the issuance of an RoD, or by the passage of the 10-day period from the date of submission.

The CN process reflects CAAT's risk-based approach to oversight, under which non-prior approval changes may be verified for compliance subsequent to implementation. This does not mean that implementation precedes compliance — it means that the operator is trusted to ensure compliance before implementing, and CAAT retains the authority to verify that trust at any time thereafter.

Before implementing any CN change, the operator should be satisfied that the revised documentation accurately reflects applicable regulatory requirements, does not encroach upon or affect any item classified as requiring prior approval, is consistent across the full documentation set, and has been effectively communicated to and understood by the operational personnel concerned. Where a change affects multiple manuals or chapters, all affected documents must be updated consistently and concurrently.

CAAT may conduct a compliance evaluation of submitted CN documentation at any time following issuance of the RoD. Where non-compliance is identified — whether before or after implementation — the operator will be directed to take corrective action without delay, and a new CN submission will be required. Continued compliance with all applicable regulations at all times remains the operator's obligation.

TCAR-OPS ORO.GEN.130; RCAAT No. 26 Clause 15, 16

✓ **Guidance for Applicants / Operators**

- (a) Do not use the CN process to make changes that are in substance CR changes.** The classification is determined by the regulatory nature of the change. If the procedure or content being amended is listed in Appendix B, it requires prior approval regardless of how minor the change appears.
- (b) Submit CN changes at least 10 days before the intended implementation date.** This allows sufficient CAAT review time and accommodates any requests for additional information within the 10-day window.
- (c) Maintain a comprehensive internal change log tracking every CN submission — submission date, the 10-day window expiry, date of RoD receipt, date of verification email receipt (if any), and the implementation date.** This log is relevant during surveillance.
- (d) One submission per revision cycle through EMPIC.** Where a single revision covers multiple CN changes, all applicable items should be identified on the PCA form within that submission.

Scenario	What happens / What to do
(a) CR or CN Uncertainty The operator is unsure whether a manual amendment is CR or CN	Check against Appendix B. If the content being amended is listed, it is CR. If not, it is CN. When genuinely in doubt, ask the POI before submitting.
(b) RoD Issued Day 5 CAAT issues an RoD on Day 5. Can the operator implement?	No, not on the RoD alone. The RoD is acknowledgement of receipt only. Wait for a condition (a) verification email or condition (b) Day 11. <u>Note:</u> Where the verification email is issued together with the RoD, the operator is authorised to implement on receipt.
(c) No RoD by Day 11 The operator has not received an RoD by Day 11. What should the operator do?	The operator is authorised to implement, as the 10 days have passed with no objection. Follow up with the assigned inspector to obtain the RoD, as RoD should be implemented to facilitate ramp inspections.
(d) RoD Received, No Verification Email The operator has received the RoD but no verification email. Day 11 has arrived. Can the operator implement?	Yes. The 10 days have elapsed with no objection raised — condition (b) is met. The operator is authorised to implement.
(e) Verification Email on Day 7 The operator has already received the RoD, and then receives a verification email on day 7. Can the operator implement immediately?	Yes. Receipt of the verification email satisfies condition (a). The operator is authorised to implement immediately upon receipt.

Scenario	What happens / What to do
(f) CR Item Inside CN Submission The operator's CN submission includes a CR item. What happens?	The submission is rejected via EMPIC during the cursory review. Separate the CR item, process it under the CR procedure, and resubmit the CN without it.
(g) Combined CN/CR Submission Can the operator submit a CN and a CR together in one EMPIC submission?	No. CR and CN must be submitted separately through their respective processes. Mixing them will result in rejection of the CN submission.
(h) Missing Summary of Changes The operator's Summary of Changes is missing from the submission. What happens?	The submission is incomplete and may be returned. Resubmit with all required documents including the PCA Form, draft documentation, and revision summary.
(i) CAAT Objection Before Implementation CAAT raises an objection on Day 8. The operator has not yet implemented. What should the operator do?	Do not implement. Address the objection as directed by the inspector.
(j) CAAT Objection After Implementation CAAT raises an objection after the operator has already implemented a CN change.	Contact the assigned inspector immediately. Cooperate fully. A Level 1 or Level 2 finding will be raised. The operator must correct the finding and submit a new CN.
(k) Non-Compliance Found After RoD Inspector finds non-compliance months after the RoD. What happens?	A Level 1 or Level 2 finding is raised in the EMPIC case worksheet. The operator must rectify and submit a new CN. A new RoD will be issued upon satisfactory resolution.
(l) Resubmission After Rectifying a Finding After rectifying a finding, does the operator resubmit the same CN case?	No. The operator must submit a new CN. This triggers a new Phase 1 and Phase 2, and a new RoD will be issued against the new submission.
(m) New RoD After Clean Evaluation The inspector's evaluation found no issues. Does the operator need a new RoD?	No. If no rectifications are required, the original RoD may be retained. The inspector will issue a verification email to close the case.
(n) Unforeseen Change, No 10-Day Lead Time	Inform CAAT at the earliest opportunity. The 10-day advance submission requirement does not apply rigidly to genuinely unforeseen changes.

Scenario	What happens / What to do
The operator has an unforeseen change with no 10-day lead time. What should the operator do?	
(o) RoD as Part of Operations Manual Is the RoD part of the operator's Operations Manual?	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.
(p) Submitting the CN Procedure Itself as CN Can the procedure for managing CN changes itself be submitted as a CN?	No. The operator's procedure for managing CN changes (ORO.GEN.130(c)) is a CR item. It requires prior approval before it can be implemented or amended.
(q) CN Submission Fee Does the operator need to pay a fee for a CN?	No. CN changes do not require a certification fee.
(r) Dual AOC/CAMO Postholder The operator's nominated postholder holds responsibilities in both the AOC and CAMO domains.	The operator's nominated postholder holds responsibilities in both the AOC and CAMO domains: Submit the application to both OPS and AIR in accordance with their respective requirements, including CAAT-OPS-TCFM-106 for the OPS submission. Where applicable, the competency interview may be conducted jointly by the OPS Inspector and the Airworthiness Inspector (AWI) at the same time.
(s) RoD During Ramp Check A foreign ramp inspector asks about an RoD during a ramp check. What does it confirm?	The RoD is issued by CAAT under the change management procedures established in TCAR-OPS ORO.GEN.130 and RCAAT No. 26. It confirms that the documentation change has been submitted to and recorded by the Civil Aviation Authority of Thailand, and that CAAT's oversight process is actively applied to the submitted documentation.
(t) Post-Implementation Non-Compliance Under Condition (b) The operator implemented under condition (b) on Day 11. CAAT later finds non-compliance. Is the operator at risk?	Yes. Implementing under condition (b) does not exempt the operator from compliance. CAAT retains full authority to find non-compliance and direct corrective action after implementation.
(u) Finding Raised After Verification Email A verification email was received for a CN change, and a finding is later raised on the implemented	Yes. The operator's responsibility for maintaining compliance is not discharged by receipt of a verification email. The verification email confirms only that the submitted documentation was reviewed and found acceptable at the time of review, and closes the CN case administratively — it does not guarantee continuing compliance and does not exempt the

Scenario	What happens / What to do
change during surveillance. Is this legal?	implemented change from surveillance. CAAT may evaluate the compliance of an implemented CN change at any point in the surveillance cycle, whether or not a verification email was issued for it. (TCAR-OPS ORO.GEN.130; RCAAT No. 26 Clause 16)
(v) Disputing a Finding by Citing Prior Approval The operator disputes a finding solely on the ground that the procedure was "already approved" or "already no-objected." Is this a valid basis to reject the finding?	No. The responsibility for ensuring compliance with applicable regulations rests with the operator at all times, and is not discharged, transferred, or diminished by a prior approval, acceptance, or non-objection. Prior approval or non-objection confirms only that the content submitted was assessed as compliant at that time — it is not a defence against a properly substantiated finding, and citing it alone does not relieve the operator of its obligation to correct the deficiency. (TCAR-OPS ORO.GEN.130; RCAAT No. 26 Clause 16)

References:

- Air Navigation Act B.E. 2497 (ANA), Section 41/119
- Regulation of the Civil Aviation Authority of Thailand No. 26 on Air Operator Certificate (RCAAT No. 26)
- Thailand Civil Aviation Regulation – Air Operations (TCAR-OPS)
- Flight Operations Inspector Manual Volume II (TFOIM Vol. II), Chapter 12

3.4 Standard and Temporary Revisions

Where a manual amendment affects individual pages or chapters rather than the manual in its entirety, the change shall be effected through a revision. Two revision types are recognised under this Guideline — the Standard Revision (SR) and the Temporary Revision (TR) — and all manual revisions shall be processed through one of these two channels. Where immediate implementation is required in the interest of safety, an Urgent Revision (UR) process may be invoked; however, a UR does not constitute an independent revision type. It is an expedited submission pathway that precedes and leads into either an SR or TR, as appropriate to the nature and duration of the change.

3.4.1 Standard Revision (SR)

Definition

A Standard Revision is a permanent change and is not time-limited. It follows the normal CR or CN process depending on the content affected, and must be submitted to CAAT through EMPIC within the applicable timeframes.

3.4.2 Temporary Revision (TR)

Definition

A Temporary Revision is a time-limited change published as an addition to the current effective revision of a manual or document. It is processed in the same way as a Standard Revision, but the revised content is valid for a defined period only and must not remain in effect beyond 180 calendar days. Before expiry, the operator must either withdraw the temporary content or incorporate it permanently through a Standard Revision, depending on the circumstances at the time.

When to Use

Temporary revisions should be used when:

- The change is required for a limited period only, including where the information is temporary in nature;
- The change supports temporary operational conditions;
- The amendment is expected to expire, be replaced, or become invalid after a defined period;
- The operator intends to revert to the original process or issue a later permanent revision.

How to Submit a TR

The operator shall submit TRs through EMPIC in accordance with the SR process. The submission and approval process follows the same requirements as SRs, except that TRs shall include additional temporary identification and time-limited control measures.

- (a) **For TRs related to Changes Requiring Prior Approval**, the operator shall obtain CAAT approval prior to implementation. The TR shall not be implemented until the applicable approval has been granted and the corresponding LoA has been received from CAAT. For full details on the CR process, see [Item 3.2](#).
- (b) **For TRs related to Changes Not Requiring Prior Approval**, the operator shall proceed with implementation in accordance with the CN process. For full details on the CN process, see [Item 3.3](#).

Identification and Control for TR

Operators must maintain systematic controls to ensure TR content is clearly distinguishable from permanent content and that expired TRs are promptly removed. As a minimum, operators should maintain a Record of Temporary Revisions containing at least:

- TR control number;
- Chapter / Section;
- Effective Date;
- Expiry Date;
- Subject / Title;
- Purpose of Change.

TR pages should be clearly marked and placed in front of or within the affected section. Acceptable marking methods include:

- distinctive formatting, yellow pages, coloured labels, etc.; or
- a "**TEMPORARY REVISION**" marking; and
- for electronic document systems — bookmarks, headers or footers, revision banners, hyperlinks (where applicable), or file naming conventions.

Each TR shall be uniquely identified to ensure traceability and avoid confusion with permanent revisions. Human factors considerations shall be applied when designing and issuing Temporary Revisions to minimise the risk of operational personnel misidentifying or overlooking temporary content. The operator shall ensure that only the latest active TR is available and accessible to operational personnel. Where TR content becomes permanent, it shall be incorporated into the next normal SR.

Cancelled or expired TRs must be promptly removed from all controlled copies, electronic systems, and operational distribution platforms. Records of the following must be retained in accordance with the operator's document control procedure:

- issuance and distribution;
- acknowledgement;
- cancellation; and
- incorporation into permanent revisions.

Urgent Revision (UR) — For Use Only When Immediately Required in the Interest of Safety

Definition

An Urgent Revision (UR) is not an independent revision type. It is an expedited submission pathway used exclusively when immediate implementation is required in the interest of safety. A UR must ultimately take the form of either an SR or a TR — the operator must identify and declare at the time of submission whether the urgent change is permanent (SR) or time-limited (TR).

When to Use

An Urgent Revision shall be used when immediate implementation is necessary due to safety, including but not limited to:

- Immediate implementation is necessary to maintain safety;
- A serious hazard or risk has been identified;
- The authority requires immediate compliance;
- Delayed implementation could adversely affect safety or regulatory compliance.
- Operational restrictions or limitations affecting safety;
- Corrective action to address a non-compliance/event that seriously hazards flight safety must be implemented immediately following audit findings or occurrence investigation.

How to Submit a UR

The UR shall be submitted to the assigned POI and concerned inspector via email for immediate review and acknowledgement which must include the extract pages or relevant sections of the manual amendment, simultaneously with the EMPIC submission in accordance with the normal SR or TR process.

The email should comply with the following:

- the extract pages or relevant sections of the manual amendment shall be presented in the operator's approved manual page format; unformatted or informal text will not be accepted;
- the subject title should be clearly identifiable and prominently beginning with "**URGENT REVISION**";
- the revision status should be clearly identified as either a Standard Revision (SR) or a Temporary Revision (TR, time-limited);
- the safety and/or compliance justification, including the operational necessity and proposed risk mitigation measures, should be clearly explained to enable the inspector to understand the associated safety impact;
- the proposed effective date or implementation date should be specified; and
- any necessary arrangements or concerns, including the issuance of an RoD where applicable, should be raised with the inspector in advance.

Inspector's Right to Decline a UR Request

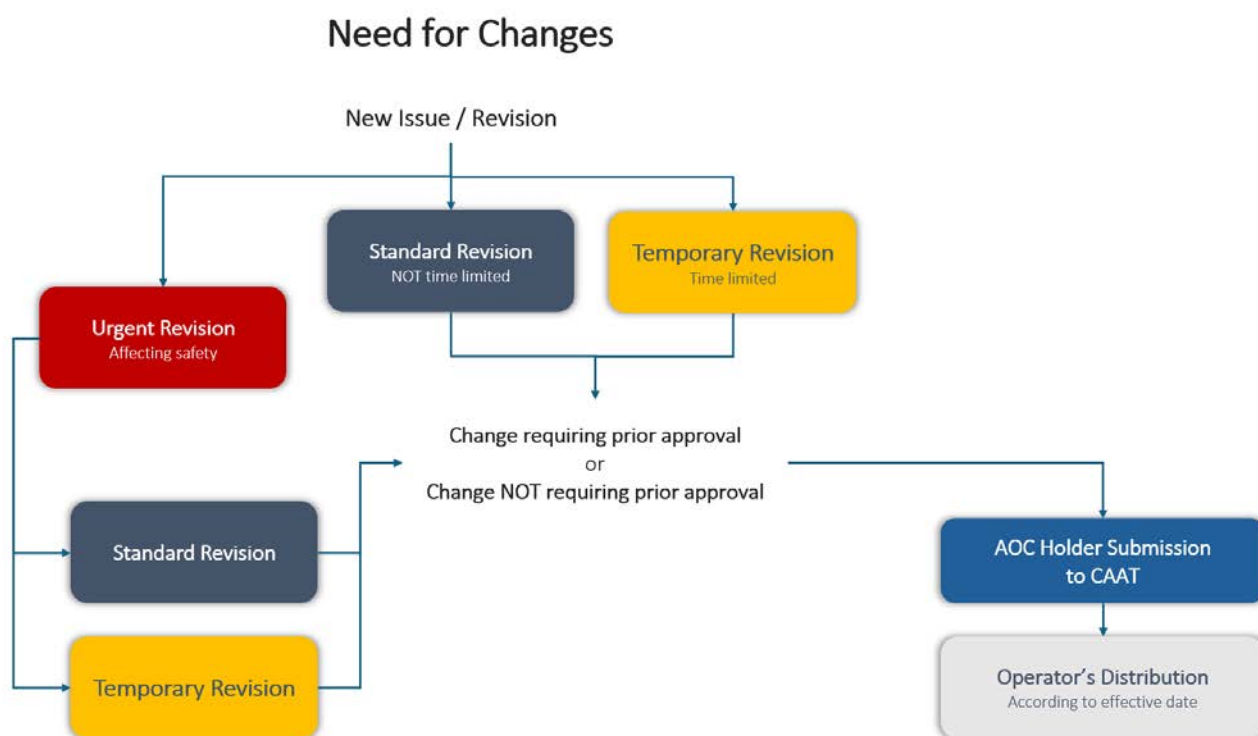
The assigned POI or inspector reserves the right to assess whether a submitted UR request meets the criteria under "When to Use" above. If the change does not constitute a genuine safety urgency, the inspector may decline to issue the acknowledgement email and shall notify the operator to process the change through the normal SR or TR pathway instead. No UR may be implemented unless the revision is required in the interest of safety, any required approval has been applied for, and an acknowledgement has been issued. Once these conditions are met, the operator may publish and implement the UR immediately in accordance with TCAR OPS ORO.MLR.100(h).

- (a) For **URs related to Changes Requiring Prior Approval**, the operator is authorised to publish and implement the urgent revision upon CAAT's email acknowledgement, and shall simultaneously submit the UR request through EMPIC. The change shall thereafter be processed in accordance with the CR process. For full details on the CR process, [Item 3.2](#).
- (b) For **URs related to Changes Not Requiring Prior Approval**, the operator is authorised to proceed with immediate implementation upon CAAT's email acknowledgement, and shall simultaneously submit through EMPIC. The change shall thereafter be processed in accordance with the CN process. For full details on the CN process, see [Item 3.3](#).

Examples — Temporary Revision and Urgent Revision

The following examples illustrate the distinction between a Temporary Revision and an Urgent Revision. Operators should use these as a practical reference when determining the appropriate revision type for a given situation.

Temporary Revision (Planned / Routine)	Urgent Revision (Safety-Critical / Immediate)
Updating the standard passenger weights table following the completion and approval of a scheduled passenger mass survey.	Manufacturer issues an Emergency Airworthiness Directive (EAD) restricting a specific flap setting; OM-B limitations are amended immediately.
Modifying the standard galley stowage plan for non-essential catering supplies (assuming no impact on weight and balance limitations).	An immediate change to the arming/disarming sequence of a specific aircraft door due to a mechanical vulnerability identified by the OEM.
Reordering the sequence of theoretical knowledge modules in the annual recurrent ground school syllabus to improve classroom flow.	The OEM issues an Operations Engineering Bulletin (OEB) changing a memory item; an immediate TR mandates a mandatory briefing for all pilots prior to their next sector.
Updating the standard aircraft turnaround time chart for ground handlers.	Immediate suspension of refuelling with passengers onboard following a ground equipment fire.



3.5 Document Preparation Requirements

The following requirements apply to all manual and document submissions to CAAT, whether for CR or CN changes.

3.5.1 Compliance List

The Compliance List is an assessment tool used to verify that the operator's manuals comply with applicable TCAR-OPS regulations. The operator is responsible for maintaining the compliance list current and aligned with the relevant operations manuals at all times.

The compliance list should be regularly reviewed and updated whenever the manuals are revised, regardless of whether the revision is CR or CN. When submitting a revised compliance list together with a CR submission, updated references in the compliance list should be clearly identified — for example, by using revision bars or highlighting — to indicate which entries have changed.

The compliance list shall be submitted to CAAT as part of a CR submission (as applicable to the scope of the change) and may also be submitted with CN submissions or upon CAAT's request.

3.5.2 Draft of Operations Manuals and Documents

For any change, whether requiring prior approval or not requiring prior approval, it is essential that the operator clearly indicates which content is affected by the change.

The operator is responsible for establishing a document management procedure for the revision of documents to facilitate adding, removing, or modifying content in the proposed operations manuals or related documents. This process should support effective compliance evaluation by both the operator and CAAT inspectors. The following practices are recommended but not limited to:

- (a) Changed content should be clearly marked and recognisable in the operations manual, for example by using revision bars in the margin adjacent to the changed text.
- (b) Where a manual contains both content requiring prior approval and content not requiring prior approval, the respective sections should be distinguishable so that the scope of the approval is clear.
- (c) The operator should establish a document management process to ensure sufficient time for internal documentation updates after approval has been granted by CAAT. This should occur before the change becomes effective, allowing adequate time for distribution to relevant personnel and transition to implementation.
- (d) Once the change process has been completed, the operator shall upload the final version of the operations manual in PDF format to FOSD after receiving the List of Approvals (for CR changes), or within the timeframe stipulated by CAAT (for CN changes).
- (e) Each chapter or section of the Operations Manual should include a reference to the applicable regulatory basis — identifying the specific TCAR-OPS provision (IR, AMC, or national law equivalent) that the content is intended to satisfy. These references may be included directly within the relevant section or maintained as a separate reference list, provided the linkage between manual content and its applicable regulatory requirement remains clear and verifiable.

The regulatory reference accompanying each chapter or section of the Operations Manual demonstrates the linkage between that specific content and its corresponding regulatory basis (IR / AMC / National Law) *e.g. OM-A 8.1.1 Minimum Flight Altitude >> Ref. CAT.OP.MPA.145*

Example:

8.1.1 Minimum Flight Altitude

CAT.OP.MPA.145, AMC1 CAT.OP.MPA.145(a), GM1 CAT.OP.MPA.145(a)

ABC Airways utilizes OM Part-C, specifically the JEPPESEN Airway Manual publication, to obtain detailed information regarding minimum flight altitudes...

Note: This information may be provided in any suitable form, such as within the operator's internal tool or as a separate list.

3.5.3 Summary of Changes

When proposing any amendment or revision to an Operations Manual or other controlled operational document, the operator shall submit a Summary of Changes together with the submission package to the CAAT.

The Summary of Changes shall clearly identify all modifications introduced in the proposed revision, including contents that are:

- (a) Newly added;
- (b) Revised or amended;
- (c) Relocated or subject to major restructuring; or
- (d) Removed from the previously approved or accepted version.

The Summary of Changes may be provided in any format acceptable to CAAT, including as a separate list or within the operator's internal document management tool. As a minimum, it should contain:

- (a) Document name;
- (b) Issue/Revision number;
- (c) Reference to the chapter, section, paragraph, appendix, or page affected;
- (d) Description of Change (brief and clear description summarizing nature of the change); and
- (e) Purpose of Change (brief and clear purpose of the change)

In special cases where the nature or extent of a proposed revision requires closer review, the assigned inspector may request a more detailed Summary of Changes and/or a change comparison to support the assessment.

Example – Summary of Changes:

ABC AIRWAYS

OPERATIONS MANUAL PART A

Chapter 0 Summary of Changes

Chapter: 0

Page: 0-2

Iss. / Rev.: 01 / 05

Date: 12 Sep 2026

0.2.5

Summary of Changes

Chapter	Page	Description of Change	Purpose of Change
1	1-3	Section 1.2.4 revised Organization Chart	To align with the current organizational structure.
2	2-1	Section 2.2 revised name of Compliance Monitoring Manager	To update the name of the newly appointed Compliance Monitoring Manager.
5	5-3 to 5-5	Section 5.3 added new section "Air Safety Reporting Procedure"	To add a new procedure to align with the updated Safety Reporting System.
7	7-10 to 7-15	Section 7.6.3 item (a) removed procedure of Hard Copy Document Retention	To remove obsolete and invalid procedures.
8	8-5 to 8-6	Section 8.4 revised general statement.	To comply with SPA.LVO.100 requirements.
9	9-20	Section 9.5 item (b)(vi) relocated content of Annual Document Review to section 10.2	Editorial restructuring of the content in Chapter 9.
10	10-2 to 10-3	Section 10.2 added content of Annual Document Review	Editorial restructuring of the content in Chapter 10.

4. AOC RENEWAL (CONTINUED VALIDITY)

4.1 Regulatory Basis

The requirement to renew the AOC to maintain continued validity is established under [RCAAT No. 26 Clause 12](#). AOC Renewal is a full reassessment of the operator's continued capability — not an administrative renewal. It follows a four-phase process and is generally less intensive than initial certification for operators with a strong compliance record.

Warning: The Air Operator remains responsible for monitoring the AOC expiry date and submitting the renewal application within the prescribed timeframe. Failure to renew the AOC before expiry may result in the cessation of commercial air transport operations.

Quick Links

- ✓ Detailed procedures and instructions for the AOC renewal process are set out in The Flight Operations Inspector Manual Volume II (TFOIM Vol. II), available at:
<https://www.caat.or.th/certificates-licenses/air-operator/manual/>
- ✓ The applicable forms and checklists are available for download at:
<https://www.caat.or.th/certificates-licenses/air-operator/air-operator-certificate/aoc-dg-renewal/>

4.2 Critical Deadlines

Scenario	Deadline
AOC Renewal	Apply at least 150 days before AOC expiry
New AOC issuance timing	New AOC issued no more than 45 days before expiry of existing AOC. It retains the original certification effective date. (RCAAT No. 26 Clause 12)
If process cannot complete before expiry	Where a timely renewal application has reached Phase 4 — Certification, but the renewed AOC cannot be issued before expiry, the DGCA will issue a written notice permitting continued use of the existing AOC until the renewed AOC is issued or the application is refused. (RCAAT No. 26 Clause 12)

4.3 The Four-Phase Renewal Process

- Phase 1: Formal Application
- Phase 2: Document Assessment
- Phase 3: Demonstration and Inspection
- Phase 4: Certification

Phase 1 — Formal Application

Submit through EMPIC with the [application fee](#). Required documents include:

- **CAAT-OPS-TCFM-403: Application for Continued Validity to an AOC**
- **Copies of existing AOC, OPS SPEC and Attachment, and AOL**
- **Copy of DGL (if applicable); CAAT-OPS-TDGFM-402 (if DGL renewal is sought)**
- **List of all controlled documents and manuals**
- **Completed Compliance Lists (CAAT-OPS-TCCL-101 to 107)**
- **Status of any outstanding findings from surveillance**
- **Security documentation; PCA Form and draft amended manuals (if amendments required)**

CAAT coordinates internally with ERD, SFD, and AIR. The POI reviews the application for completeness and issues an Application Acceptance Letter upon satisfactory review.

Phase 2 — Document Assessment

CAAT assesses the entire manual system for compliance with current regulations, accuracy relative to current operations, and consistency with the OPS SPEC. Manuals that have not been updated since the last renewal will generate significant findings. The same finding management process applies as in initial certification (see Item 2.5).

Phase 3 — Demonstration and Inspection

On-site inspection covers at minimum:

- (1) Facilities and Infrastructure;
- (2) Training and Checking;
- (3) Operational Control and Supervision;
- (4) Station Facilities;
- (5) Document Management and Record-Keeping;
- (6) Continuing Airworthiness;
- (7) Ramp Inspections;
- (8) In-Flight Inspections.

Phase 3 may be reduced at CAAT's discretion for operators with strong compliance records. The audit/inspection fee is payable before Phase 3 commences.

Phase 4 — Certification

Upon satisfactory completion and payment of the certification fee, CAAT issues the new AOC (valid for 5 years), revised OPS SPEC and Attachment, and renewed DGL (if applicable). A certification meeting is held.

Applicable Fees

Refer to [Chapter 7, Item 7.3](#).

✓ Guidance for Applicants / Operators

- (a) **Begin renewal preparations approximately 6 months before the AOC expiry date — earlier for complex operations or operators with outstanding findings.** The formal application must reach CAAT at least 150 days before expiry.
- (b) **Conduct a comprehensive self-audit of the entire manual system well before submitting the renewal application — ideally around 6 months beforehand, and in any case before the 150-day application deadline.** All manuals must be current and compliant with the latest version of TCAR-OPS. Manuals last revised 2–3 years ago without subsequent update may generate findings.
- (c) **Close all outstanding surveillance findings before applying.** Open findings are disclosed in Phase 1 and reviewed as part of the overall assessment. They do not automatically block renewal but must be resolved before Phase 4 closes.
- (d) **Review the OPS SPEC before applying.** Ensure it accurately reflects the current fleet, routes, and Specific Approvals. Process any required CR changes before the renewal application — do not expect to 'bundle' them into renewal.
- (e) **Use the renewal period to refresh the entire management team's understanding of their regulatory obligations.** Inspectors may assess management knowledge and engagement during Phase 3.
- (f) **Pay all applicable fees on time.** Late payment suspends the relevant phase and delays the overall process.

Scenario	What happens / What to do
(a) Unresolved Findings at Application The operator has unresolved surveillance findings at the time of application	Disclose all open findings. They are reviewed in Phase 1. Address as many as possible before application.
(b) Manuals Not Updated in 2–3 Years The operator’s manuals have not been updated in 2–3 years	Update all manuals before Phase 2. Outdated or incomplete manuals may significantly extend the renewal timeline..
(c) Adding a New Aircraft Type During Renewal The operator wants to add a new aircraft type as part of renewal	This is a separate CR change. Process it in parallel but as a separate track.
(d) AOC May Expire During Phase 3 The operator’s AOC may expire while Phase 3 is still in progress	If the operator anticipates that its AOC may expire before renewal reaches the Certification Phase, it must contact the POI immediately and well before expiry. Interim continuation can be issued only after the renewal reaches the Certification Phase. The operator must not assume authority to continue operations after expiry unless CAAT has issued the required written notice.
(e) Renewal Not Yet Applied Near Expiry The AOC expiry date is approaching, and the operator has not yet applied for renewal	Apply immediately. The longer the delay is, the greater the risk that the process cannot be completed before expiry. Contact the POI.

References:

- Air Navigation Act B.E. 2497 (ANA), Sections 41/112–41/117
- Regulation of the Civil Aviation Authority of Thailand No. 26 on Air Operator Certificate (RCAAT No. 26)
- Thailand Civil Aviation Regulation – Air Operations (TCAR-OPS)
- Flight Operations Inspector Manual Volume II (TFOIM Vol. II), Chapter 11
- Application fee: Announcement of the Civil Aviation Authority of Thailand on Certificate Fees. B.E. 2561

5. CONTINUING SAFETY SURVEILLANCE

5.1 Regulatory Basis

Continuing safety oversight is a fundamental obligation of Thailand as an ICAO Contracting State (ICAO Annex 6). CAAT exercises oversight through systematic surveillance. The authority for CAAT officials and inspectors to conduct surveillance derives from ANA Section 41/119 and 67/4. The operator's obligation to permit access derives from RCAAT No. 26 Clause 15(2) and ORO.GEN.140. The authority to direct corrective action derives from RCAAT No. 26 Clause 16. Suspension and revocation authorities are established under ANA Sections 41/120 and 41/121. The conduct of surveillance is governed by CAAT's internal policies — refer to the CAAT Surveillance Protocol.

Surveillance is not punitive — it is a verification mechanism. Operators who maintain a strong compliance culture experience surveillance as a straightforward and constructive interaction. Operators who operate beyond the boundaries of their approved manuals typically experience surveillance as difficult and consequential.

5.2 Overview

Surveillance is conducted on a continuous basis and encompasses scheduled and unscheduled inspections across all aspects of an operator's operations. The areas covered correspond to those examined during the original certification process, including at a minimum: organisation; management systems (including SMS, CMS, ERP, FDM, and FSDS); facilities and equipment; aircraft maintenance; operational control and supervision; flight and duty time limitations; flight and cabin crew standards; ground handling operations; dangerous goods; training; company manuals; financial viability; and compliance with the AOC, its associated Operations Specifications, and applicable regulations.

CAAT uses a risk-based approach to surveillance frequency and intensity. Operators with strong compliance records typically experience less intensive oversight. Non-compliances, open findings, or safety incidents may trigger additional unscheduled inspections.

Note 1: Financial viability is assessed in coordination with the Economic Regulation Department (ERD).

Note 2: Security procedures are regulated by the Aviation Security and Facilitation Standards Department (SFD).

Quick Links

- ✓ Detailed procedures and instructions for the continuing safety surveillance programme are set out in the Flight Operations Inspector Manual Volume II (TFOIM Vol. II), available at <https://www.caat.or.th/certificates-licenses/air-operator/manual/>.
- ✓ The applicable forms and checklists are available for download at: <https://www.caat.or.th/certificates-licenses/air-operator/annual-aoc-inspection/>

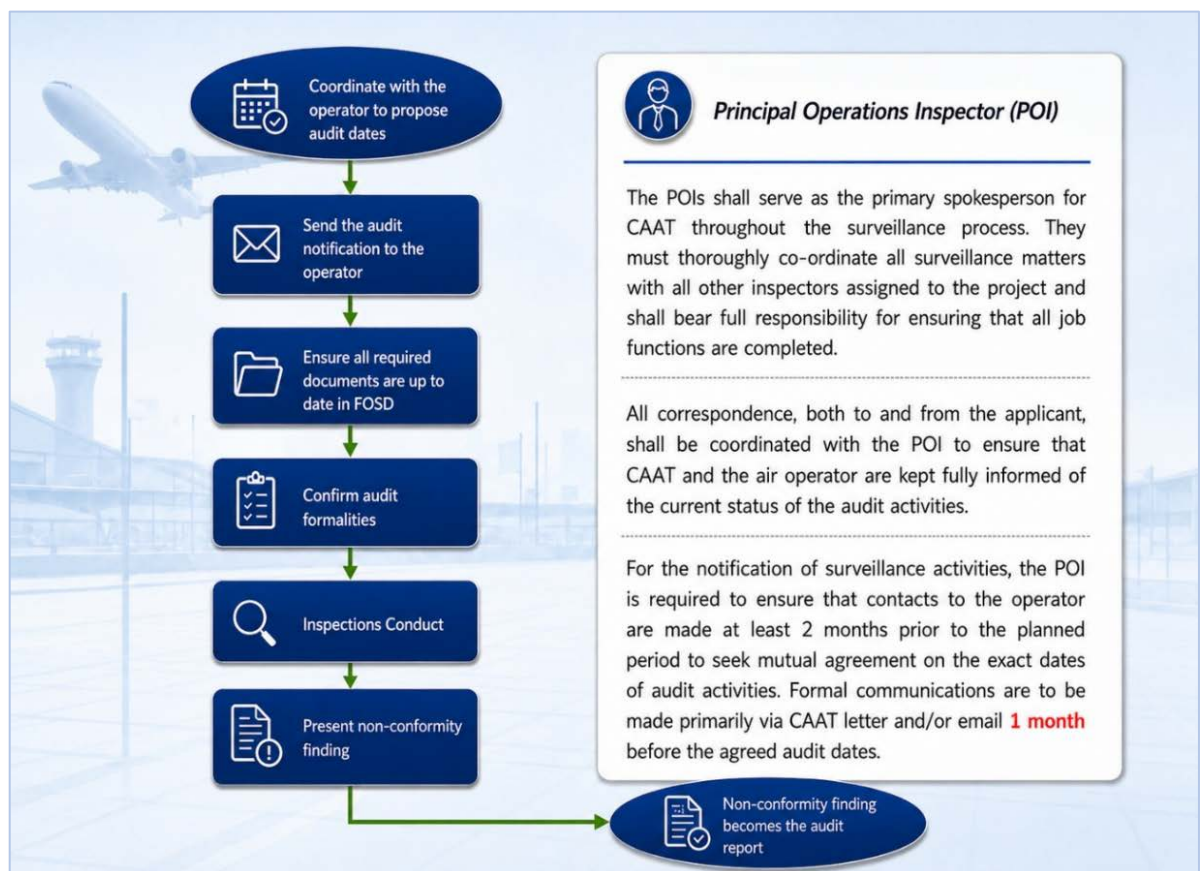
5.3 Surveillance Programme

CAAT establishes an annual risk-based surveillance programme for each AOC holder. The programme is developed by the POI and inspection team under the supervision of the OPS Manager, verified by the OPS Manager, and approved by the DGCA.

Inspection frequency and scope are determined by the **operator's risk profile, safety performance, compliance history, and scale of operations**, with the surveillance cycle ranging from 12 to 24 months. In particular, where an operator's SMS has been evaluated by CAAT as effective and meeting agreed performance criteria, the frequency of oversight activities may be adjusted accordingly.

Prior to the start of each surveillance year, CAAT will communicate the approved programme to the operator through an Air Operator Surveillance Package, which sets out the audit type and scope, inspection checklists, required reference documents, CAAT inspection team details, and operator contact and logistical requirements.

Prior to the commencement of each scheduled audit, the POI coordinates with the operator to propose and agree on audit dates, with initial contact made at least 2 months before the planned period. Formal written notification is issued at least 1 month before the agreed audit dates. The POI serves as CAAT's primary spokesperson throughout the surveillance process, coordinates all inspection activities across the multidisciplinary team, and ensures that all correspondence between CAAT and the operator is maintained through the POI. The POI is also responsible for ensuring that all operator manuals in FOSD are current before inspection activities commence.



Note: Risk-Based Surveillance results are used as an internal CAAT planning mechanism to determine the frequency and scope of surveillance activities. They support the categorisation and prioritisation of operators under CAAT's risk-based surveillance methodology. Operators are informed of the scope and frequency of their approved surveillance programme; however, the underlying internal risk assessment and results are managed in accordance with CAAT's applicable internal procedures.

5.3.1 Types of Surveillance Activity

The surveillance programme for each AOC comprises the following types of activities:

(a) Main Base Audit (MBA) is the primary scheduled audit conducted at the operator's main base. It consists of two groups:

- **MBA-A** covers:
 - Organisational Structural Management (O);
 - Flight Crew Training Records (TR-FC);
 - Flight Operations Officer Training Records (TR-FOO);
 - Safety Management System (SMS);
 - Compliance Monitoring System (CMS);
 - Flight Data Monitoring (FDM);
 - Emergency Response Plan (ERP);
 - Cabin Safety Main Base Audit (CMBA);
 - Dangerous Goods Main Base Audit (DMBA); and
 - Continuing airworthiness management Audit (CMA) or CAMO Audit.
- **MBA-B** covers:
 - Operations and Flight Records (OFR);
 - Operational Control (OC);
 - Ramp Inspection (R);
 - Ground Station Facilities and Systems — Main Base (MG);
 - Flight Safety Document System (FSDS); and
 - Flight and Duty Time Records (FTL).

(b) En-Route Inspection is conducted to verify the effectiveness of pre-flight preparation, in-flight procedures, and post-flight activities by direct observation in both cockpit and cabin. It comprises of:

- In-flight Cockpit Inspection (ENF) and
- In-flight Cabin Inspection (ENC).

Ramp Inspection (R) is included within ENF and ENC and may also be conducted separately.

- (c) **Station Inspection** is conducted at the operator's line stations to assess the effectiveness of ground handling operations, facilities, equipment, documentation, and the competency of staff including ground handling service providers. It comprises the:
 - Ground Station Facilities and Systems - Line Station (LG),
 - Dangerous Goods Line Station Audit (DG-LSA), and
 - the Airworthiness Line Station Audit (AIR-LSA).
- (d) **Inspection of Training Programme with Simulator (ITP)** verifies that the operator delivers training — including simulator, aircraft, and classroom training — in accordance with the approved training manual.
- (e) **Special Inspection (SPEC)** may be scheduled at any time at the discretion of the assigned surveillance team where a specific safety concern or operational circumstance requires additional oversight outside the planned programme.
- (f) **No-Notice Inspection** may be conducted without prior notification to the operator where necessary to verify that internal control systems are functioning effectively and that operational and safety standards are being continuously maintained. The OPS Manager and, where required, the DGCA shall be informed as soon as practicable before the inspection is conducted.

5.4 Operator Requirements During Surveillance

- **Inspector Credentials and Access:** All CAAT inspectors authorised to conduct surveillance carry official credentials identifying them as inspectors appointed by CAAT, including the legislative basis for their authority, an expiry date, and a current photograph. Operators are required to facilitate inspector access to all relevant areas, personnel, and documentation, and must not obstruct the performance of the Competent Official or Aviation Inspector.
ANA Section 65/1, 67/1, 67/3, 67/4, 41/119; RCAAT No. 26 Clause 15(2); ORO.GEN.140
- **Security Pass and Flight Deck Approval:** Where inspectors require security passes or flight deck access approval, the operator is required to assist and facilitate the process prior to the planned activities.
ANA Section 41/119; RCAAT No. 26 Clause 15(2)
- **Office Facilities:** The operator is requested to provide a private meeting room for the CAAT audit team for each day of on-site activities. The room should be equipped with Wi-Fi internet access, a printer, and a projector.
- **Personal Protective Equipment:** When inspectors access tarmac or ramp areas, operators are requested to provide hearing protection and high-visibility vests. Inspectors are required to wear non-sparking, fully covered footwear in such areas.
- **Reference Documents:** The operator shall ensure that all approved manuals and relevant operational documents are made available to the inspection team upon request during the audit.

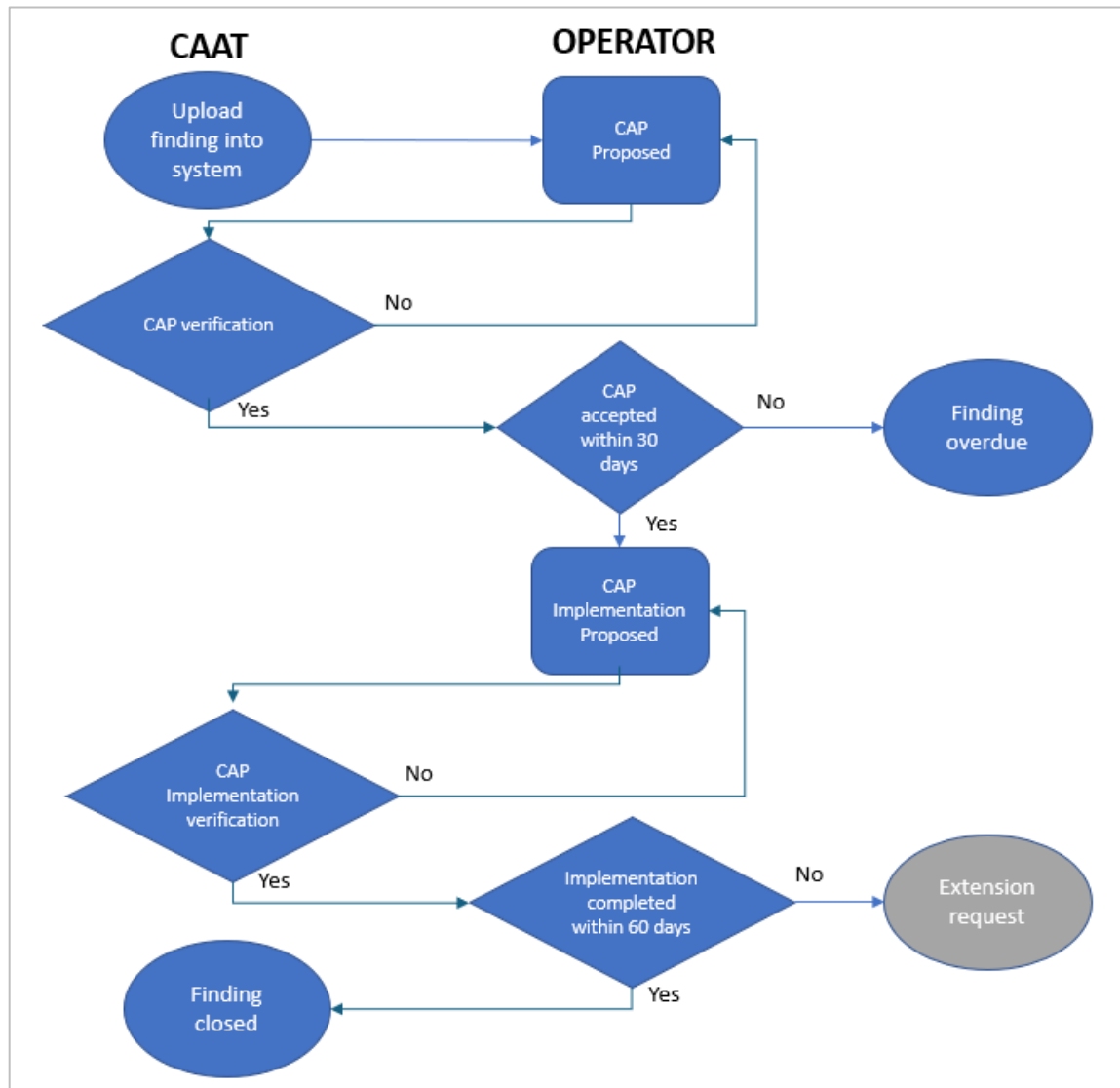
ANA Section 65/1, 67/1, 67/3, 67/4, 41/119; RCAAT No. 26 Clause 15(2); ORO.GEN.140

ANA Section 41/119; RCAAT No. 26 Clause 15(2)

ANA Section 65/1, 41/119 (5)-(6); RCAAT No. 26 Clause 15(2), 16; ORO.GEN.140

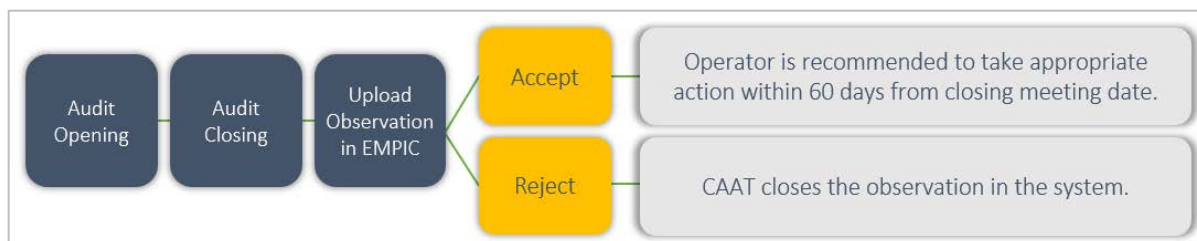
5.5 Findings — Classification and Response

The following diagram illustrates the finding management cycle from finding issuance through CAP proposal, verification, and closure or escalation.



Level	Definition	Response Requirement
Level 1 (L1)	Non-compliance that seriously hazards flight safety or seriously compromises CAAT's oversight capabilities.	Immediate correction required. CAP must be submitted within 3 days of issuance. Failure to close may result in AOC suspension proceedings.
Level 2 (L2)	Non-compliance that could lower safety or compromise oversight but does not immediately and seriously hazard flight safety.	Submit Correction, RCA, CAP, and Closing Action within 30 days of issuance. Implementation must be completed within a total of 60 days . Extensions possible in exceptional circumstances with DGCA notification, not to exceed a further 60 days.
Observation (OBS)	Recommendation for improvement — not a non-compliance.	No mandatory corrective action. No obligation to report back to CAAT. At operator's discretion to implement.

Where an Observation is issued, the operator may accept or reject it. If accepted, the operator should take appropriate action within 60 days of the observation being uploaded to EMPIC. If rejected, the operator notifies CAAT and CAAT closes the observation in the system. There is no obligation to report the outcome to CAAT, and CAAT will not monitor implementation of actions taken in response to an observation.



5.5.1 How to respond to a finding:

Responding to a finding requires two steps, both of which must be completed within the applicable timeframes.

Step 1 — Corrective Action Plan (CAP)

Submit the CAP through EMPIC, addressing all three of the following elements:

- **Correction:** The immediate action taken to eliminate the detected non-compliance (e.g. withdrawing a non-compliant document, retraining the relevant individual).
- **Root Cause:** The underlying systemic factor that caused the non-compliance — not the symptom.
- **Corrective Action:** Actions taken to eliminate the root cause and prevent recurrence.

Step 2 — Closing Action (Evidence)

Submit documented proof that the corrective action has been implemented and is effective.

CAAT Review Timeframe and Submission Planning

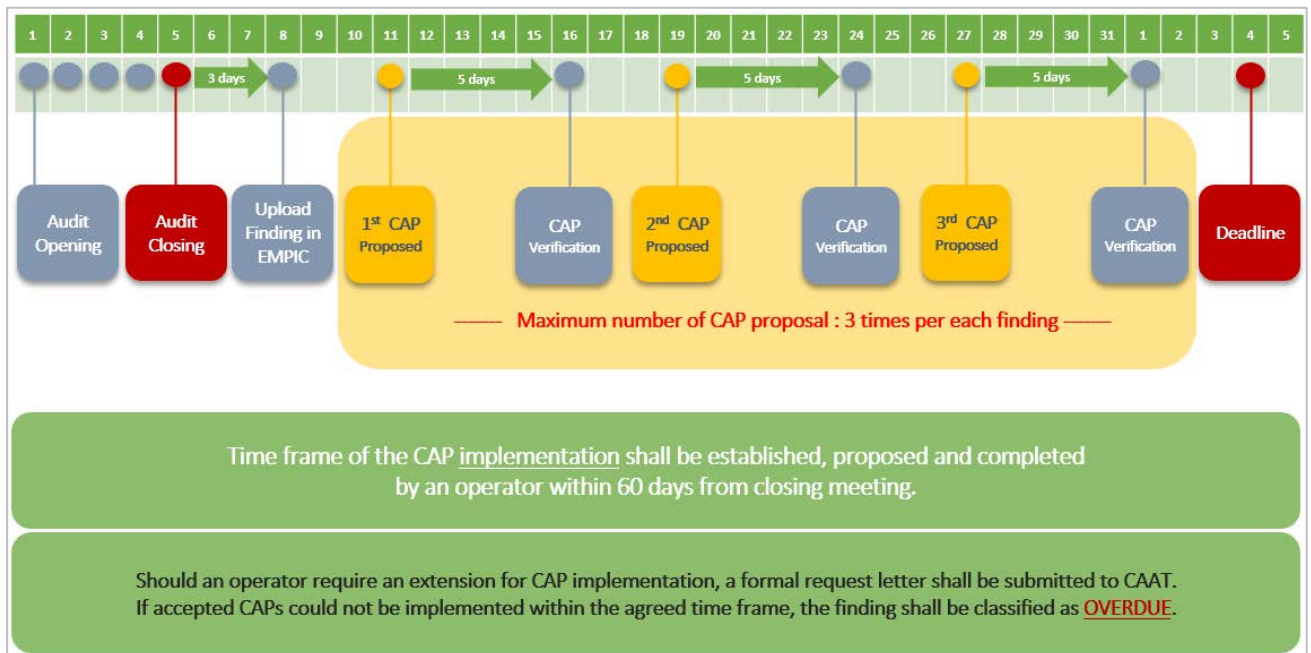
- **CAP Submission and Acceptance**

CAAT inspectors operate under a Service Level Agreement (SLA) that allows 5 days to review and assess each submitted CAP. Where a submission is unsatisfactory, additional responses, revised corrective actions, or further supporting evidence may be required, and the CAP must be resubmitted, subject to a maximum of 3 submission attempts. Operators should therefore **plan ahead** and allow sufficient time for inspector review, resubmission, and reassessment before the 30-day deadline. A CAP submitted within the final 5 days may not be capable of being accepted within the deadline if further clarification, revision, or evidence is required. Operators are strongly advised to submit the CAP well in advance, allowing at least one week before the deadline as a minimum buffer.

- **Finding Closure**

The same consideration applies to the closure of the finding, as additional clarification, revised closure evidence, or further supporting documentation may be required before CAAT can confirm satisfactory implementation and close the finding. Operators are therefore strongly advised to submit closure evidence well in advance, allowing at least one week before the applicable deadline as a minimum buffer. Where a Level 2 finding remains unclosed within the required timeframe, CAAT may escalate it to a Level 1 finding and, where necessary, consider enforcement action. Persistent non-compliance may lead to proceedings for the suspension or revocation of the AOC.

The diagram below illustrates the 30-day CAP submission window, the three permitted submission attempts within that window, and the 60-day implementation period. The deadline shown marks the point at which a finding becomes overdue if CAP submission or implementation has not been completed.



5.5.2 Requesting an Extension (L2 findings — CAP Implementation only)

Where an operator is unable to complete CAP implementation within the 60-day implementation period, an extension may be requested subject to the following conditions:

- The CAP submission deadline of 30 days remains non-extendable. Late CAP submissions are automatically considered overdue.
- The formal extension request must be submitted to CAAT before the existing implementation deadline expires.
- The request must be duly justified and accompanied by an updated implementation plan with acceptable evidence of progress.
- Extensions are granted in the following standard structure only:
 - **one single extension of 60 days**, or
 - **two extensions of 30 days** each.

In both cases the total extension period does not exceed 60 days, and the maximum total resolution period from finding issuance is 120 days.

- In exceptional circumstances, a period beyond 120 days may be granted only where the DGCA has been informed and where actions are in place to mitigate the risks arising from the ongoing non-compliance.

5.5.3 Overdue Findings

A finding is considered overdue when any of the following occur:

- The CAP is not submitted within 30 days of issuance; or
- The third CAP submission attempt is unsatisfactory; or
- CAP implementation is not completed within 60 days and no formal extension request has been made; or
- CAP implementation is not completed within the approved extended timeframe.

Where a finding becomes overdue, CAAT will initiate two-way communication with the operator to discuss the status and reason for delay. If no satisfactory explanation is provided, the OPS Manager and DGCA will be informed. CAAT may escalate a Level 2 finding to Level 1 and consider further enforcement action. If after the allowable extensions the CAP is still not fully implemented, escalation to Level 1 and enforcement action will be considered.

Persistent non-compliance may lead to AOC suspension or revocation proceedings. Additionally, overdue findings are recorded and count significantly towards CAAT's risk-based assessment of the operator, which directly influences the frequency and intensity of future surveillance activities.

RCAAT No. 26 Clauses 16; ANA Sections 41/120 and 41/121.

5.6 Post-Audit Feedback

Following the conclusion of each surveillance activity, CAAT invites operators to provide feedback on the conduct of the inspection and the performance of the inspection team. Operators are requested to submit a response through the Post Audit Feedback Survey using the QR code or link available at the CAAT website. The survey may cover all inspectors involved in the activity, including the POI, FOI, OMI, CSI, DGI and AWI.

Responses are submitted directly to the Flight Operations Standards Department Manager and are treated as confidential. Operators are encouraged to complete the survey following the surveillance activity.

The feedback supports the continual improvement of CAAT's surveillance processes and does not affect the technical outcome of the audit or inspection.



The **Post-Audit Survey Form** is available on the CAAT website at

https://www.caat.or.th/certificate_license/161149/

✓ Guidance for Applicants / Operators

- (a) **Treat every CAAT finding as an opportunity to improve — not as an accusation.** Inspectors who see an organisation that acknowledges findings constructively, identifies root causes rigorously, and implements effective corrective actions view this as evidence of a healthy safety culture.
- (b) **Never delay a CAP because the operator disagrees with the finding.** The time to discuss or challenge a finding is at the closing meeting, before the finding is accepted. If the operator disagrees with the finding, how a finding is stated or classified, raise it with the inspection team then, and seek clarification until the basis of the finding is clear. Once a finding has been accepted, it must be addressed within the specified timeframe.
- (c) **Root cause analysis (RCA) is the element that most commonly determines whether a CAP is accepted or rejected. 'Retrained the individual' is a correction, not a root cause.** Identify why the non-compliance occurred at a systemic level — for example, a procedural gap, inadequate training design, a supervision failure, or a document control breakdown. Operators may use any recognised RCA method (such as 5 Whys, Fishbone/Ishikawa, or HFACS) suited to the nature of the finding.
- (d) **Use the CMS proactively.** If the operator's internal auditors find a non-compliance before CAAT does, there is opportunity to address it and close it internally — addressing it and closing it internally with appropriate RCA and corrective action is a positive indicator.
- (e) **Brief all staff on their obligations under RCAAT No. 26 Clause 15(2):** they must permit and cooperate fully with CAAT officials conducting inspections. Obstruction or non-cooperation is itself a regulatory violation.
- (f) **For ramp inspections: ensure all flight crew and cabin crew carry their licenses and have immediate access to operational documents.** Communicate to them on how to cooperate with ramp inspection teams professionally and constructively.
- (g) **Do not wait until the final days of the applicable deadline to submit a CAP or closure evidence. CAAT inspectors require 5 days to assess each submission.** Further clarification, revision, or supporting evidence may be required before the CAP is accepted or the finding is closed. Submit at least one week before the applicable deadline to allow sufficient review and reassessment time.
- (h) **The 30-day CAP submission deadline is non-extendable.** If the CAP is submitted late for any reason — including disagreement with the finding, internal delays, or staffing issues — it will automatically be considered overdue. There is no provision to request an extension on CAP submission. Extensions apply to CAP implementation only.
- (i) **Plan the implementation timeline from day one.** If the operator anticipates that implementation will require more than 60 days, submit the extension request before the implementation deadline expires — not after. An extension request submitted after the deadline has passed will not be considered. Factor in the time needed to gather evidence for the Closing Action, as implementation is not considered complete until acceptable evidence is submitted.
- (j) **Extensions are not automatic.** Each extension request must be duly justified and accompanied by an updated implementation plan with acceptable evidence of progress. Requesting an extension without credible justification will not be approved and the finding will move toward overdue status.

✓ Guidance for Applicants / Operators

(k) Overdue findings may have consequences beyond the individual finding. They are recorded and may contribute to CAAT's risk-based assessment of the operator. A pattern of overdue findings may result in a higher risk classification, increased surveillance frequency or intensity, and closer scrutiny across relevant audit areas. Operators should therefore submit a complete, well-reasoned and adequately supported CAP within the specified timeframe. Where additional time is genuinely required, an extension request should be submitted before the due date in accordance with the applicable procedure.

(l) Maintain open and proactive communication with the POI and/or inspection team throughout the CAP process. Inspectors are available to provide guidance on whether the operator's proposed root cause analysis and corrective actions are on the right track — before the operator formally submits. A CAP that has been discussed informally with the POI prior to submission is far less likely to be rejected. Do not treat the inspector relationship as adversarial. Operators who engage constructively with their inspection team consistently achieve faster finding closure and stronger compliance outcomes.

Scenario	What happens / What to do
(a) Unannounced Ramp Inspection CAAT arrives for an unannounced ramp inspection	Cooperate fully and immediately. Do not delay or obstruct. Ensure crew present required documents. Report the inspection to the POI promptly.
(b) Level 1 Finding A Level 1 finding is raised	Engage the accountable manager and POI within hours. Implement the correction immediately. The operator's RCA and CAP must follow as quickly as possible — days, not weeks. Do not wait for formal written notification before acting.
(c) Operator Believes Finding Is Factually Incorrect The operator receives a finding which the operator believes is factually incorrect	Use the closing/debriefing meeting to present the position and cite the relevant regulatory basis. If common ground is not reached, raise the matter formally in writing to the OPS Manager. Submit the CAP within the specified timeframe regardless — withholding a CAP pending a dispute will be treated as non-response.
(d) CAP Rejected The operator's submitted CAP is rejected	Ask the inspector what additional information or evidence is required. A rejected CAP means the root cause has not been adequately identified or the corrective action is insufficient to prevent recurrence.
(e) CAP Implementation Delayed The operator's CAP implementation is taking longer than expected	Submit a formal extension request to the POI before the implementation deadline expires — not after. Include a revised implementation plan with evidence of progress to date. Late extension requests will not be considered.
(f) Uncertain RCA Adequacy The operator is unsure whether the root cause analysis is adequate	Contact the POI before submitting. Inspectors can provide informal guidance on whether the analysis is on the right track. An informally discussed CAP is far less likely to be rejected.
(g) Requesting Finding Extension The operator wants to request an extension	Extensions apply to CAP implementation only — not CAP submission. Submit the extension request before the current deadline, with justification and an updated implementation plan. The standard structure is one extension of 60 days, or two extensions of 30 days each.
(h) Overdue Finding A finding goes overdue	Contact the POI immediately. Overdue findings trigger escalation to OPS Manager and DGCA, risk of L2-to-L1 escalation, enforcement consideration, and a significant negative impact on the operator's risk classification and future surveillance intensity. Act before it reaches this point.
(i) New Finding on Previously Unexamined Item Is it possible for CAAT to raise a finding in a subsequent surveillance cycle for an item that was not raised — or not examined — in a previous surveillance cycle?	Yes. The operator remains responsible for maintaining compliance with all applicable requirements at all times, regardless of what was or was not examined in a previous cycle. Surveillance is risk-based, and not every aspect of an operation can be covered in every inspection — an item not selected, or not found deficient, in one cycle is not thereby cleared for future cycles. CAAT may raise a finding on any aspect of the operator's compliance in any subsequent surveillance cycle.

References:

- Air Navigation Act B.E. 2497 (ANA), Sections 41/119, 41/120, 41/121
- Regulation of the Civil Aviation Authority of Thailand No. 26 on Air Operator Certificate (RCAAT No. 26)
- Thailand Civil Aviation Regulation – Air Operations (TCAR-OPS)
- Flight Operations Inspector Manual Volume II (TFOIM Vol. II), Chapters 4 and 13

6. MANUAL AND DOCUMENT MANAGEMENT

6.1 Regulatory Basis

The obligation to maintain a comprehensive, accurate, and regulation-compliant operations manual system is established under TCAR-OPS ORO.MLR.100 and ORO.GEN.130. RCAAT No. 26 Clause 15(1) requires operators to conduct operations in accordance with their OPS SPEC and all documents certified by the DGCA. RCAAT No. 26 Clause 16 empowers CAAT to direct revision of documents where an infraction under Clause 16(1)–(5) is identified, including non-compliance with manuals or information certified by the Director (Clause 16(2)). RCAAT No. 26 Clause 16(5) explicitly prohibits unauthorised alterations to certified documents and manuals.

The operator's manual system is not a static set of documents — it is a living system that must be maintained and kept current with the operator's actual operations, applicable regulations, and OPS SPEC conditions at all times.

6.2 Document Approval and Release

Following document evaluation, CAAT captures the status of an operator's approved manuals and documents certified by the DGCA through the List of Approvals (LoA) and the Release of Documentation (RoD), issued in accordance with ORO.GEN.130. The LoA evidences formal approval; the RoD acknowledges receipt of a submission and is not, by itself, a finding of compliance.

The definitions of these instruments, and the full approval and implementation process for CR and CN changes — including how and when the LoA and RoD are issued and when an operator is authorised to implement a change — are set out in [Chapter 3](#) (Changes to an AOC Holder).

6.3 FOSD — Flight Operations Standards Database

FOSD is the database used to maintain the current controlled versions of operators' manuals and, where applicable, the associated LoAs. The current version of each manual must be maintained in FOSD at all times.

The operator must upload the final released version of each manual to FOSD within the timeframe stipulated by CAAT following each approval or acceptance. All manuals in FOSD must reflect the operator's current organisation and systems, comply with applicable regulations, and be consistent with OPS SPEC conditions.

- The POI reviews and sets each uploaded manual to 'active' status.
- Manuals in FOSD must be consistent with the versions the operator's operational personnel are actually using.

Quick Links

- ✓ The FOSD portal is accessible at <https://portal.caat.or.th/ops/index.php>
- ✓ The FOSD Manual (for AOC) is accessible at <https://www.caat.or.th/204162/>

6.3.1 Account Setup for FOSD

Phase / Scenario		What the Operator Does	What CAAT Does
Initial	New FOSD account required	- Submit the request by email to thaiaocmanual@caat.or.th and provide the following information - Full name - Position - Contact email address - Required Access Right (select from the list below) <u>Note:</u> If a shared departmental email address is used, the personal information of the person responsible for the account must still be provided.	- Review the submission. If the submission is complete, create the FOSD account and send a confirmation email to the requester containing the login password to the provided contact email address; or - Returns for re-submission if additional information is required.
Variation	Existing FOSD user needs to be changed or replaced	Submit the request by email to thaiaocmanual@caat.or.th specifying the required change the user accounts (<i>e.g., change from Mr. A to Mr. B</i>)	- Review the submission. If the submission is complete, create the FOSD account and send a confirmation email to the requester containing the login password to the provided contact email address; or - Returns for re-submission if additional information is required.

6.3.2 Access Rights FOSD

Each operator is allocated a maximum of three (3) user accounts. Access rights may be assigned to each account according to the user's role and responsibilities. The available access rights are as follows:

- **Manual TCAR:** Allows the user to review TCAR Manual records.
- **Submit Manual TCAR:** Allows the user to submit Operations Manuals under TCAR OPS Regulations.
- **Commander's Discretion Report:** Allows the user to submit and review reports relating to commander's discretionary decisions, such as Flight Duty Period (FDP) extensions, Reduced Rest, etc.
- **Safety Performance Indicator and Targets:** Allows the user to provide and manage information on Safety Performance Indicators and Targets.

6.3.3 Timeline for Uploading to FOSD

The operator must upload the following documents to FOSD within the timeframes below:

Document	Upload Deadline	Trigger Event
List of Approvals (LoA)	Within 7 days	From the date of receipt of the LoA
Operations Manual	Within 7 days	From the effective date of the Operations Manual

6.4 Submitting Manual Amendments through EMPIC

All manual revisions — whether CR or CN — must be submitted through EMPIC. Required documents for each submission (refer to [Chapter 3](#) for details).

Document control requirements (TCAR-OPS ORO.MLR.100 and associated AMCs)

Each manual must include:

- (a) document identification and title;
- (b) version/issue and revision numbers;
- (c) effective date;
- (d) Record of Revision (RoR);
- (e) and List of Effective Pages (LEP) where applicable.

Information should be in clear, unambiguous English text and/or graphics.

Quick Links

- ✓ For submitting manual amendments through EMPIC, detailed instructions are available on the CAAT website at:
<https://www.caat.or.th/certificates-licenses/air-operator/aoc-document-manual-revision/>

✓ Guidance for Applicants / Operators

- (a) **Treat the Operations Manual system as the controlled basis for the operator's activities.** Procedures required to be documented shall be contained in the applicable controlled manual, programme, checklist or referenced document and shall be followed in practice. A material inconsistency between controlled documentation and actual operations may constitute non-compliance.
- (b) **Establish a disciplined internal document control process.** Assign a dedicated manual controller with authority over version management. Ensure there is no risk of operational personnel using superseded manual versions.
- (c) **Never make amendments to certified manuals without submitting them through EMPIC as either CR or CN.** Unauthorised alterations are specifically prohibited under RCAAT No. 26 Clause 16(5) and constitute a regulatory violation independent of the content of the amendment.
- (d) **Review all manuals for currency at least annually and always before any renewal application.** Pay particular attention to references to specific TCAR-OPS clauses — regulatory amendments require corresponding manual updates.
- (e) **Read each LoA and RoD carefully upon receipt.** Understand the exact scope of what has been approved/accepted, any conditions attached, and whether any further actions are required.
- (f) **If the operator discovers a safety-critical error in a certified manual, notify the POI immediately and take interim operational measures.** Do not wait for the formal revision cycle.

Scenario	What happens / What to do
(a) Urgent Procedure Amendment Due to Safety Issue The operator needs to urgently amend an approved procedure due to a safety issue	Contact the POI immediately. Safety-driven CR changes can be expedited. Clearly document the safety justification and submit through EMPIC concurrently.
(b) Manual Does Not Reflect Current Operations The operator's approved manual does not reflect how we currently operate	This is a serious compliance issue — the operator's operations are either non-compliant or the manual is wrong. Determine which is true and address both immediately. This is also likely to be found during surveillance.
(c) Wrong Version Uploaded to FOSD The operator uploaded the wrong version to FOSD	Contact the POI immediately. Do not delete or replace without CAAT guidance. Submit the correct version separately and document the error.
(d) CAAT-Directed Amendment CAAT directs amendment of the operator's manual under RCAAT No. 26 Clause 14	Acknowledge promptly and comply within the specified timeframe. Failure to do so is an additional regulatory violation. If the timeframe is unworkable, request an extension with justification before the deadline.

References:

- Regulation of the Civil Aviation Authority of Thailand No. 26 on Air Operator Certificate (RCAAT No. 26)
- Thailand Civil Aviation Regulation – Air Operations (TCAR-OPS)

Intentionally Left Blank

7. OTHER PROCESSES

7.1 Air Operating License (AOL)

7.1.1 Regulatory basis

The AOL (Civil Aviation Business License for Commercial Air Transportation) is required under Regulation of the Civil Aviation Board No. 97 (RCAB No. 97) and is a prerequisite for holding an AOC (RCAAT No. 26 Clause 5; ANA Section 41/114). It is issued by the Minister of Transport following Civil Aviation Board approval. The AOL is managed by the Economic Regulation Department (ERD) of CAAT under the oversight of the Committee on Scrutiny of Civil Aviation Business Licensing.

7.1.2 AOL process overview

- **Submission:** The applicant submits the AOL application with: corporate registration documents; shareholder lists; organisational structure; business plan; financial statements and evidence; aircraft information; maintenance plans; personnel qualifications; insurance documentation; route plans; and contingency plans.
- **Preliminary Inspection:** CAAT conducts a preliminary review of completeness, qualifications, capital, and organisational structure. If deficiencies are found, the applicant has up to 60 days to correct and resubmit.
- **Committee Scrutiny:** The Committee assesses: correctness of qualifications; management capability; financial and operational plans; compliance history; Thai national ownership and effective control; market demand and operational feasibility; and readiness to comply with applicable laws and conditions.
- **Civil Aviation Board Approval:** If the Committee finds the applicant suitable, it submits a recommendation to the Civil Aviation Board for approval and for the Minister to issue the license.
- **License Issuance:** The DGCA proposes the AOL to the Minister of Transport, who issues it with applicable conditions.

7.1.3 AOL validity and renewal

The AOL is valid for up to 10 years (RCAB No. 97 Clause 28). Renewal applications must be submitted no earlier than 180 days and no later than 120 days before the expiry of the existing license (RCAB No. 97 Clause 42). Renewal applies the same scrutiny criteria as the initial application, taking into account the applicant's operational history.

Warning: If the AOL is suspended, the AOC becomes temporarily invalid; if the AOL expires, becomes unusable, or is revoked, the AOC is rendered invalid. The operator must cease commercial operations immediately and notify the POI. Do not resume operations until the AOL suspension is lifted and CAAT confirms the AOC is reactivated.

Quick Links

- ✓ Information on the Air Operator License (AOL) is available on the CAAT website at <https://www.caat.or.th/certificates-licenses/airlines/thai-airlines/aviation-license-holders/>

Contact ERD for all AOL matters: erd.ol@caat.or.th

✓ Guidance for Applicants / Operators

- (a) **Manage the AOL and AOC renewal timelines in parallel.** Do not allow the operator's AOL to lapse through inattention. Diarise AOL expiry date separately and initiate renewal between 120 and 180 days before expiry.
- (b) **The AOL renewal scrutiny process includes a review of the operator's operational history and compliance record.** Operators with a strong compliance record and stable financial standing typically experience a more straightforward renewal. Prepare updated financial statements and evidence of continued compliance.
- (c) **If there are any changes to the operator's corporate structure, shareholder composition, or effective control since the last AOL was issued, notify ERD immediately.** Changes affecting Thai national ownership or effective control may require Committee review before the change can be implemented.
- (d) **Brief the accountable manager on the AOL renewal timeline and documentation requirements well in advance.** Financial statements must be current and properly audited — last-minute preparation of financial evidence delays the renewal.
- (e) **Verify that any aircraft to be acquired meets the applicable acquisition criteria before committing to purchase or lease.** The criteria — covering aircraft type, number of engines, size and weight, age, and the minimum number of aircraft — are prescribed under RCAB No. 97 (as amended by RCAB No. 105) and vary according to the category of operation applied for. These criteria form part of ERD's assessment for the AOL, so confirm eligibility against RCAB No. 97 and RCAB No. 105 directly.

Scenario	What happens / What to do
(a) AOL Nearing Expiry During AOC Renewal The operator's AOL is approaching expiry while AOC renewal is underway	Manage both simultaneously. Submit the AOL renewal to ERD between 120–180 days before AOL expiry. Brief the POI on the status of both processes. An AOL lapse during renewal directly jeopardises the AOC.
(b) AOL Renewal Delayed Past Expiry The operator's AOL renewal is delayed beyond the expiry date	Contact ERD and the POI immediately. Interim operation is protected only if the renewal application was submitted within the 120–180 day window — the operator may then continue operating pending a decision on the renewal. If not submitted within that window, the AOL is treated as lapsed, and the operator must submit an application for a new AOL, not a renewal, restarting the full AOL scrutiny process.
(c) Shareholder Change Affects Thai Ownership Percentage A shareholder change affects Thai ownership percentage	Notify ERD immediately. This may constitute a material change requiring Committee review. Do not implement the shareholder change without ERD guidance if it affects the ownership threshold.

References:

- Air Navigation Act B.E. 2497 (ANA), Sections 41/112–41/114
- Regulation of the Civil Aviation Board No. 97 Re: Granting Licensing to Civil Aviation Business: Commercial Air Transport and Aerial Work (RCAB No. 97)
- Regulation of the Civil Aviation Board No. 105 Re: Granting Licensing to Civil Aviation Business: Commercial Air Transport and Aerial Work (No. 4) (RCAB No. 105)
- Regulation of the Civil Aviation Authority of Thailand No. 26 on Air Operator Certificate (RCAAT No. 26)

7.2 EMPIC — The CAAT Oversight System

EMPIC is CAAT's centralised safety oversight and certification management platform, used for submitting AOC-related applications and notifications, managing manual submissions, documentation and findings, tracking certification progress, recording interactions between operators and CAAT, and processing applicable fee payments. These activities are generally processed through EMPIC unless another method is specified by the applicable requirement, procedure or CAAT instruction.

7.2.1 Account setup for EMPIC

An active EMPIC account is a prerequisite for the commencement of Phase 2 of any AOC process.

Phase / Scenario		What the Operator Does	What CAAT Does
Initial	New EMPIC account required (Phase 1 complete)	Submit registration request via https://www.caat.or.th/caat-empic/	Reviews submission; if complete, creates web user accounts and issues Customer ID and activation email. Returns for re-submission if additional information is required.
Variation	Existing web user needs to be changed or replaced	- Submit request via https://www.caat.or.th/caat-empic/ - AND - - Send an email to ops_ct@caat.or.th detailing the required updates to web user accounts (<i>e.g., change from Mr. A to Mr. B</i>)	- Reviews submission; if complete, updates web user accounts and issues Customer ID and activation email. - Returns for re-submission if additional information is required.

The Contact Person

Where an operator wishes to designate a contact person to communicate on behalf of the Head of Quality/Compliance, the contact person should be identified when submitting the account request to CAAT by entering "Contact Person" in the surname field of the submission form (see sample below).

To update the Contact Person — whether a new appointment or replacement — the Operator shall follow the same process as Variation (see table above), with the email to ops_ct@caat.or.th specifying the appointment or replacement and the individual(s) involved (e.g., change from Mr. A to Mr. B).

Authorised Person

Primary Authorised Person

Title (EN) : *

Miss

First Name (EN) : *

XXXX

Last Name (EN) : *

YYYY (Contact Person)

Email : *

Country Code : *

Please select

Phone Number : *

ID card/ Passport of Attorney : *

เลือกไฟล์ ไม่ได้เลือกไฟล์ใด

+ AUTHORISED PERSON

Note: Each operator is allocated a maximum of five (5) web user accounts to maintain system security and integrity. Requests for additional accounts beyond this limit are considered only in exceptional cases of operational necessity and are subject to CAAT review and acceptance. Operators with such requirements should consult their assigned POI.

For technical assistance, contact: empicsupport@caat.or.th

7.2.2 Key functions in EMPIC

- Submission and processing of AOC, Operations Specifications and related certification applications, amendments and notifications
- Management of initial certification, renewal and other certification activities
- Submission and processing of changes related to an AOC
- Submission of manual revisions, including the PCA Form and supporting documents.
- Management of surveillance activities
- Receiving, reviewing and responding to CAAT findings within the required timeframes
- Payment of applicable fees
- Monitoring the status of applications, certification and surveillance activities, submissions, findings and outstanding actions
- Accessing and maintaining the operator's certification, surveillance and associated correspondence records.

7.2.3 Managing the EMPIC account effectively

- Plan submissions and finding responses well in advance and avoid relying on last-minute action. EMPIC may be subject to scheduled maintenance, temporary system downtime, or periods of high usage (e.g., near regulatory deadlines), which may result in delays or interruptions to submission, review, or approval processing.
- Monitor EMPIC regularly and respond to finding notifications promptly. Do not rely solely on email notifications — check EMPIC directly.
- Keep the contact details and nominated email address in EMPIC current. Missed notifications due to outdated contact details are not a valid basis for late CAP submissions.
- When a web user needs to be changed or replaced, submit the request to CAAT promptly — do not wait until the departing user's account has already been deactivated or the incoming user urgently requires access.

Note: Account access issues must be resolved immediately — do not allow access problems to persist until an urgent submission is due. Contact empicsupport@caat.or.th promptly if any access or system issue arises.

Quick Links

✓ **EMPIC — Access and Further Information**

The following EMPIC resources are available to support account registration, system access, manual submissions, findings management and other related tasks:

- EMPIC Information, Registration, and Web User Guide :
<https://www.caat.or.th/caat-empic/>
- EMPIC Login:
<https://service.caat.or.th/webclient/index>
- Instructions for Air Operators (manual submissions, findings submission and handling, and other tasks):
<https://www.caat.or.th/certificates-licenses/air-operator/aoc-document-manual-revision/>
- Two-Factor Authentication: 2FA:
<https://www.caat.or.th/caat-media/190776/>

7.3 Fees — Summary Table

Process	Application Fee	Audit/Inspection Expense	Certification Fee
Initial Certification	Yes — before Phase 2 commences	Yes — before Phase 4.1 commences, and before Phase 4.2 commences	Yes — before an AOC is issued and Phase 5 closes
Renewal	Yes — before Phase 1 closes	Yes — before Phase 3 commences	Yes — before a renewed AOC is issued and Phase 4 closes
IMSA (if applicable)	No specific IMSA fee	No	No
CR Change — Prior Approval	No	Yes — before Phase 3 (if applicable)	Yes — the applicable certification fee applies
CN Change — Notification	No	No	No

Note: Certification fees may be subject to change.

Fee references:

- Application and certification/authorisation fees: Announcement of CAAT on Certificate Fees issued under CAAT authority, B.E. 2561.
- Audit and inspection expenses: Rule of the Civil Aviation Authority of Thailand on Expenses for the Processes under Section 5/1 of the Air Navigation Act B.E. 2497 (No. 5), B.E. 2565.

Applicable fees and expenses shall be paid through the payment channel and within the timeframe specified in EMPIC, the relevant invoice, or other CAAT instruction. Failure to complete payment may delay or prevent further processing. Any entitlement to a refund is determined in accordance with the applicable law, fee instrument and payment conditions.

7.4 Exemptions

Where an air operator determines that compliance with a specific requirement of the Air Navigation Act B.E. 2497 or regulations issued thereunder is not achievable, a formal exemption may be sought from the DGCA. The legal basis for an exemption depends on the requirement from which relief is sought and may arise under ANA Section 15/14 or another applicable provision. The applicant shall identify the specific legal or regulatory provision from which the exemption is requested and demonstrate, on a case-by-case basis, that the proposed alternative provides a level of safety equivalent to, or greater than, that intended by the existing requirement.

Quick Links

- ✓ Full details of the exemption policy, application requirements, procedures, prescribed forms, and processing timelines are published and maintained by CAAT on the CAAT website at <https://www.caat.or.th/certificates-licenses/air-operator/exemption-request/>

Air operators seeking exemption from TCAR-OPS requirements are encouraged to review this resource and engage their POI before preparing an application. There is currently no charge associated with the processing of an exemption request.

✓ Guidance for Applicants / Operators
(a) Engage with the POI before preparing an exemption application. A well-structured application with a clear safety case and supporting evidence provides the best prospect of approval.
(b) Allow adequate time. An exemption application should normally be submitted at least 90 working days before the requested effective date. A later submission may be considered only where justified by exceptional or urgent circumstances and does not guarantee that a decision can be issued by the requested date.
(c) Do not submit exemption requests as a substitute for compliance where compliance is achievable. CAAT applies a rigorous equivalence standard.
(d) Carry the Exemption Document during any operation conducted under the exemption.
(e) Review the conditions and mitigation measures of any exemption regularly, particularly when significant changes to operations are proposed.

Scenario	What happens / What to do
(a) Applying for an Exemption The operator needs to apply for an exemption from a TCAR-OPS requirement	Contact the POI and prepare a full application using the prescribed form. Identify the specific provision, provide a complete safety case with supporting evidence, and submit at least 90 working days in advance.
(b) Exemption is Expiring The operator's exemption is about to expire and the operator still cannot comply	Apply for an extension before expiry, explaining why compliance remains not feasible and providing evidence of the operator's review of conditions. <u>Note</u>: a maximum of two extensions may be granted.
(c) Obligations After Exemption Granted The operator's exemption was granted — what are the operator's obligations?	Comply with all terms, conditions, and limitations in the Exemption Document. Carry the document during operations. Review conditions regularly. Notify the POI of any significant operational changes.
(d) Aircraft Transfer/Sale Under an Exemption The operator has transferred or sold an aircraft covered by an exemption	The exemption ceases upon transfer. The new operator must apply separately.

Note: The above guidance is provided for general reference. Air operators should always consult the current procedures published on the CAAT website before submitting an application.

References:

- Air Navigation Act B.E. 2497, Sections 15/14
- CAAT Exemption Policy and Procedure Manual (CAAT-LEG-EXE)
- Regulation of the Civil Aviation Authority of Thailand No. 26 on Air Operator Certificate (RCAAT No. 26)
- Regulation of the Civil Aviation Board No. 97 Re: Granting Licensing to Civil Aviation Business: Commercial Air Transport and Aerial Work (RCAB No. 97)

8. APPENDIX A — REFERENCE LINKS

This Appendix consolidates links to relevant resources concerning AOC certification, continued validity of an AOC, changes to an AOC, and other related information published by CAAT.

Please note that web addresses are subject to change. Should any link become unavailable or return an error, operators are advised to navigate directly to the CAAT website at www.caat.or.th to locate the most current version of the relevant resource.

Operators and applicants are also requested to notify CAAT of any broken or unavailable links by contacting ops_ct@caat.or.th, so that the necessary corrections may be incorporated in the subsequent revision of this GL.

Topic	Link
A1: Regulations Applicable to OPS	https://www.caat.or.th/certificates-licenses/air-operator/regulations-aoc/
A2: Air Operating License (AOL)	https://www.caat.or.th/certificates-licenses/airlines/thai-airlines/aviation-license-holders/
A3: EMPIC — Account Registration and Information	https://www.caat.or.th/caat-empic/
A4: Initial Management System Assessment (IMSA)	https://www.caat.or.th/certificates-licenses/air-operator/guidance-guidline/tcar/
A5: Initial AOC Certification	https://www.caat.or.th/certificates-licenses/air-operator/air-operator-certificate/aoc-application/
A6: Continued Validity of an AOC	https://www.caat.or.th/certificates-licenses/air-operator/air-operator-certificate/aoc-dg-renewal/
A7: Changes to an AOC	https://www.caat.or.th/certificates-licenses/air-operator/air-operator-certificate/
A8: EMPIC - Submit Manual Amendments	https://www.caat.or.th/certificates-licenses/air-operator/aoc-document-manual-revision/
A9: Continuing Safety Oversight - Surveillance	https://www.caat.or.th/certificates-licenses/air-operator/annual-aoc-inspection/
A10: Checklists - Document Evaluation Phase and Special Approvals	https://www.caat.or.th/certificate_license/192554/
A11: Checklists - AOC Surveillance Inspection	https://www.caat.or.th/certificate_license/192446/
A12: Post Audit Feedback Survey	https://www.caat.or.th/certificate_license/161149/

Topic	Link
A13: Exemptions	https://www.caat.or.th/certificates-licenses/air-operator/exemption-request/
A14: CAAT – OPS Department Manuals	https://www.caat.or.th/certificates-licenses/air-operator/manual/
A15: Guidelines (GL)	https://www.caat.or.th/certificates-licenses/air-operator/guidance-guidline/tcar/
A16: Emergency Evacuation and Ditching Demonstration Guidelines (CAAT-GL-OPS-EVAC)	https://www.caat.or.th/certificates-licenses/air-operator/guidance-guidline/tcar/
A17: FOSD Portal	https://portal.caat.or.th/ops/index.php

9. APPENDIX B — LIST OF CHANGES REQUIRING PRIOR CAAT APPROVAL (CR)

The following is the list of changes requiring prior CAAT approval before implementation, in accordance with ORO.GEN.130. Any change falling within this list must be submitted and approved through the CR process, and a List of Approvals (LoA) signed by the DGCA must be obtained before the change is implemented.

Consult the assigned POI if the operator is uncertain whether a proposed change falls within the CR category.

Reference	Title and Subject	Remark Applicable
Part ORO.GEN - General Requirement		
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	
Part ORO.AOC - Air Operator Certification		
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.110 (e)	Wet lease-out	
ORO.AOC.120	Approvals to provide cabin crew training and to issue cabin crew initial training certificate	Change related to OPS SPEC
Part ORO.MLR - Manual, Logs and Records		
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;	
Part ORO.FC - Flight Crew		
ORO.FC.145 (c)	Training and checking programme incl. syllabi and the use of individual FSTD ▪ Crew resource management (CRM) training [ORO.FC.115, ORO.FC.215] ▪ Operator conversion training [ORO.FC.120, ORO.FC.220] ▪ Differences training and familiarisation training [ORO.FC.125] ▪ Recurrent training and checking [ORO.FC.130, ORO.FC.230] ▪ Pilot qualification to operate in either pilot's seat – Aeroplane: RHS [ORO.FC.135, ORO.FC.235] ▪ Pilot qualification to operate in either pilot's seat – Helicopter: RHS [ORO.FC.135, ORO.FC.236] ▪ Operation on more than one type or variant [ORO.FC.140, ORO.FC.240] ▪ Single-pilot operations under IFR or at night [ORO.FC.202] ▪ Command course [ORO.FC.205] ▪ Other flight crew training and checking programmes [e.g. Line Training Captain, Line Check Captain, CRM Instructor Training, etc.]	
ORO.FC.231	Evidence-based training	
ORO.FC.240 (a)	Procedures or operational restrictions for operation on more than one type or variant	
ORO.FC.A.245 (b)	Alternative training and qualification programme (ATQP) Flight Crew Training and Qualification Proficiency	

Reference	Title and Subject	Remark Applicable
ORO.FC.A.245 (e)	Extension of the validity periods of the checks in ORO.FC.230 (after 2 years of operating with ATQP)	
Part ORO.CC - Cabin Crew		
ORO.CC.100 (d)	Non-commercial operation with MOPSC >19, without Cabin Crew	
ORO.CC.215 (a)	Training and checking programmes and related documentation incl. syllabi - Initial training course [ORO.CC.120] - Aircraft type specific training and operator conversion training [ORO.CC.125] - Differences training [ORO.CC.130] - Familiarisation [ORO.CC.135] - Recurrent training [ORO.CC.140] - Refresher training [ORO.CC.145] - Senior cabin crew member [ORO.CC.200 (c)] - Single cabin crew member operations - (c) additional training elements [ORO.CC.255 (c)]	
ORO.CC.250 (a)	Assignment to operate on four aircraft types	
Part ORO.FOO/FD - Flight Operations Officer/Flight Dispatcher		
ORO.FOO/FD.131 (a)	Training and checking programmes and related documentation incl. syllabi - Initial training programme [ORO.FOO/FD.100] - Operator Conversion (Operator-Specific) training [ORO.FOO/FD.110] - Differences training and Familiarisation training [ORO.FOO/FD.115] - Recurrent training and checking [ORO.FOO/FD.120] - New route/destination training [ORO.FOO/FD.125] - Other FOO/FD training and checking programmes	
Part ORO.FTL/FTLS - Flight and Duty Time Limitations and Rest Requirements		
ORO.FTL.125 ORO.FTLS.125	Flight time specification schemes, including any related to FRM	
Part CAT - Commercial Air Transport		
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)	Approval for a particular approach not flown as stabilised approach; 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	

Reference	Title and Subject	Remark Applicable
CAT.POL.MAB.100 (f)	Use of standard masses for other load items than passenger and checked baggage	
Part SPA - Operations requiring Specific Approval (SPA)		
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	
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.HERMS.100	HERMS – 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.100	PINS – Helicopter Point-in-Space (PinS) approaches and departure with reduced VFR minima	
Part CC – Cabin Crew		
CC.TRA.220	Initial training course and examination	
Appendix 1 to Part CC	Initial training course - TRAINING PROGRAMME	
Appendix 2 to Part CC	Examination for Issuance of a cabin crew initial training certificate	
TCAR-OPS Part – SEA		
Part SEA.ORS - Organisation Requirements for seaplane operations		
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	
Part SEA.AOS - Variation of an AOC's Operations Specification		
SEA.AOS.160 (a)	Seaplane Cabin Coordinator Training	
Part SEA.MLR - Manual, Logs and Records		
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;	
Part SEA.FC - Flight Crew		
SEA.FC.145 (c)	Training and checking programmes incl. syllabi and the use of individual FSTD or in-aircraft training ▪ Crew resource management (CRM) training [SEA.FC.115, SEA.FC.215] ▪ Operator conversion training [SEA.FC.120, SEA.FC.220] ▪ Differences and familiarisation training [SEA.FC.125] ▪ Recurrent training and checking [SEA.FC.130, SEA.FC.230] ▪ Pilot qualification to operate in either pilot's seat – Seaplane: RHS [SEA.FC.135] ▪ Operation on more than one type or variant [SEA.FC.140, SEA.FC.240] ▪ Command course [SEA.FC.205] ▪ Other flight crew training and checking programmes [e.g. Line Training Captain, Line Check Captain, CRM Instructor Training, etc.]	

Reference	Title and Subject	Remark Applicable
SEA.FC.240 (a)	Procedures or operational restrictions for operation on more than one type or variant	
Part SEA.FTLS - Flight and Duty Time Limitations and Rest Requirements		
SEA.FTLS.125 (b)	Flight time specification schemes, including any related to FRM	
Part SEA.CSO – Commercial Seaplane Operations		
SEA.CSO.141	Use of electronic flight bags (EFB)	
SEA.CSO.OP.145 (b)	Method for establishing minimum flight altitudes	
SEA.CSO.OP.150 (a)	Fuel policy	
SEA.CSO.OP.270 (b)	Procedures to descend below specified minimum flight altitude	

Note: The classifications in this Appendix are based on the applicable TCAR OPS provisions. Operators shall review the current regulations, AMC/GM, CAAT procedures and their approved change-management procedure before classifying a proposed change. Where this list conflicts with a subsequently amended requirement or procedure, the current requirement or procedure shall prevail.

10. APPENDIX C — LIST OF CN CHANGES REQUIRING NOTIFICATION BEFORE IMPLEMENTATION

The following changes are classified as CN but must still be notified to CAAT before implementation so that continued compliance can be confirmed. CAAT may request further evidence, or conduct an interview or inspection, before the change is implemented.

Reference	Title and Subject	Remark Applicable
General Requirements (ORO.GEN)		
ORO.GEN.200/210 (b)	Nominated persons; Safety Manager; Compliance Monitoring Manager	Required form CAAT-OPS-TCFM-106
Technical Crew in HEMS, HHO or NVIS Operations (ORO.TC)		
ORO.TC.110	Training and Checking	

Note:

1. The classifications in this Appendix are based on the applicable TCAR OPS provisions. Operators shall review the current regulations, AMC/GM, CAAT procedures and their approved change-management procedure before classifying a proposed change. Where this list conflicts with a subsequently amended requirement or procedure, the current requirement or procedure shall prevail.
2. For changes in management personnel related to the Continuing Airworthiness Management Organisation (CAMO), the application and approval process shall be submitted to CAAT AIR, and in parallel, notify to OPS by submitting the relevant document in accordance with the CN process. The interview by the Airworthiness Inspector (AWI) and OPS Inspector may be conducted at the same time, where applicable.

Intentionally Left Blank

11. APPENDIX D — DOCUMENTATION

11.1 List of Approvals (LoA) - Sample



The Civil Aviation Authority of Thailand

List of Approvals

Aeroplane & Helicopter

Name of Organisation:	ABC Airways
Certificate:	AOC001-LOA-26-001
Date of Approval:	3 December 2026

The following approvals are valid for certificate of the organization listed above. The validity for the various aircraft registrations is indicated in the attachment to the operations specification (OPS SPEC) or the list of specific approval, as applicable. This list supersedes all previously issued approvals.

Reference	Regulations Approval	Date of initial	Date of Revision	Manual Ref.
Part ORO.GEN - General Requirement				
ORO.GEN.110 (j)	Dangerous Goods training programmes	22 June 2026	10 August 2026	DGM Ch.3.2
ORO.GEN.120 (d)	Implementation of alternative means of compliance: AMOC	N/A	N/A	N/A
ORO.GEN.130 (a)	Affecting the scope of the AOC or the Operation Specification;	22 June 2026	10 August 2026	AOC001
ORO.GEN.130 (c)	Procedure for the management of changes not requiring prior approval.	22 June 2026	6 October 2026	CMM Ch.7.5
ORO.GEN.200 (a)(1)(i)	Lines of responsibilities and accountabilities;	22 June 2026	3 December 2026	OM-A Ch.1, OMM Ch.1
ORO.GEN.200 (a)(1)(ii)	Safety policy	22 June 2026	3 December 2026	OM-A 3.2, SMSM 1.2
ORO.GEN.210 (a)	Accountable Manager (AM)	22 June 2026		OM-A Ch.1.2
ORO.GEN.310 (b)(c)	Use of aircraft listed on an AOC for NCC and/or SPO operations – transfer of operational control	N/A	N/A	N/A
Part ORO.AOC - Air Operator Certification				
ORO.AOC.110	(b) Wet lease-in;	N/A	N/A	N/A
ORO.AOC.110	(c) Dry lease-in;	22 June 2026	10 August 2026	OM-B 0.5
ORO.AOC.110	(d) Dry lease-out;	N/A	N/A	N/A
ORO.AOC.110	(e) Wet lease-out	N/A	N/A	N/A
ORO.AOC.120	Approvals to provide cabin crew training and to issue cabin crew initial training certificate	22 June 2026	6 October 2026	CCTM 1.1
Part ORO.MLR - Manual, Logs and Records				
ORO.MLR.105 (b)	Minimum equipment list and any amendment;	22 June 2026	10 August 2026	MEL B737-800 Iss.03 Rev.02 MEL A320 Iss.02 Rev.01

Example of LoA - List of Approvals (Page 1)

Reference	Regulations Approval	Date of initial	Date of Revision	Manual Ref.
SPALVO.100 (c)	Low Visibility Operations – Operations with operational credits	22 June 2026	23 October 2026	OM-A 8.4
SPAEDTO.100	EDTO operational approval	N/A	N/A	N/A
SPADG.100	Approval to transport dangerous goods	22 June 2026	22 June 2026	OM-A Ch.9, DGM 1.1
SPANVIS.100	NVIS – Night Vision Imaging System operations	N/A	N/A	N/A
SPAHHO.100	HHO – Helicopter Hoist Operations	N/A	N/A	N/A
SPAHEMS.100	HEMS – Helicopter Emergency Medical Service Operations	N/A	N/A	N/A
SPAHOFO.105	HOFO – Helicopter Offshore Operations	N/A	N/A	N/A
SPASET-IMC.100	SET-IMC operations approval	N/A	N/A	N/A
SPAEFB.100 (a)	Use of electronic flight bags (EFB)	22 June 2026	14 August 2026	OM-A 8.9
SPAEFB.100 (b)	Use of type B EFB application	22 June 2026	14 August 2026	OM-A 8.9.5
SPAPINS-VFR.100	PINS – Helicopter Point-in-Space (PinS) approaches and departure with reduced VFR minima	N/A	N/A	N/A

THE CAAT HEREBY CONFIRMS THE VALIDITY OF THIS LIST OF APPROVALS


Veera Cheevaidarakul
Flight Operations Standards Department Manager (12)
For Director General the Civil Aviation Authority of Thailand
Date of Approval: 3 December 2026

Example of LoA - List of Approvals (Last page)

11.2 Release of Documentation (RoD) - Sample

 สำนักงานการบินพลเรือนแห่งประเทศไทย The Civil Aviation Authority of Thailand	222 Soi Vibhavadi Rangsit 28, Vibhavadi Rangsit Rd., Chatuchak, Chatuchak, Bangkok, 10900 THAILAND
Release of Documentation	
Name of Organisation:	ABC Airways
Date of Issue:	22 June 2026
The CAAT herewith releases the following document:	
Document Name:	Operations Manual Part A (OM-A)
Amendment No.:	Issue 01 Revision 02
This document is issued solely to confirm that CAAT has acknowledged receipt; it does not, by itself, imply approval or acceptance 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.	
 Veera Cheevaidarakul Flight Operations Standards Department Manager (12) For Director General the Civil Aviation Authority of Thailand Date: 22 June 2026	

Example of RoD – Release of Documentation (Page 1)

Intentionally Left Blank

12. APPENDIX E — INSTRUCTIONS FOR COMPLETING THE PCA FORM (CAAT-OPS-TCFM-201)

12.1 Instructions of application form

12.1.1 PCA Form – Proposed Change to an AOC

Form Structure

- **Part 1 - General Information.** This part contains the following sections:
 - Organization Information
 - Description of the Change
 - Aircraft / Fleet
 - Administration for Document Revision
- **Part 2 - Specification of Change.** This part contains the following sections:
 - Change Requiring Prior Approval (CR)
 - Change NOT Requiring Prior Approval (CN) - Details of Notification
- **Part 3 - Required Details for CR**

Note: Where a section of the form allows for multiple entries (e.g., Aircraft/Fleet under Part 1), click the  insert row icon at the end of the section to add an additional row. Repeat this step for each additional item to be included. Do not manually copy and paste rows — this may break the form's structure.

12.1.2 PART 1 - GENERAL INFORMATION

Part 1 contains company contact details and general information related to the change.

- (a) Section: **Organization Information** → Entries are free text explaining the organisation's details.

Organization Information			
Name of the Organization:	Enter name of organization	AOC No.:	AOC.XXX
Name of Contact Person:	Enter name of contact person	Position:	Enter position
Company address:	Enter company address		
Email:	Enter email address		
Telephone:	Enter telephone number	Mobile:	Enter mobile number

- (b) Section: **Description of the Change**

Description of the Change	
Briefly specify the change	
1. e.g., Adding new aircraft HS-XXX.../Request for Specific Approval of.../Amendment procedure of... etc.	
Type of Revision:	☐ Standard Revision ☐ Temporary Revision
Classification of Change:	☐ Changes Requiring Prior Approval (CR) ☐ Changes NOT Requiring Prior Approval (CN)
Submission date:	Click to enter a date.
Proposed effective date:	Click to enter a date.
Note: Changes requiring prior approval by CAAT shall become effective only upon the operator's receipt of the duly signed approval documentation from CAAT.	

- (1) **Description of Change** → Insert text briefly explaining the specific change.
- (2) **Type of Revision and Classification of Change** → Select the checkbox for Type of Revision and Classification of Change
Note: A separate PCA form must be separately submitted for each CR and CN
- (3) **Submission date and Proposed effective date** → Enter the submission date and the proposed effective date for the change.

(c) Section: **Aircraft / Fleet**

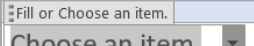
Aircraft / Fleet				
4	Aircraft Category:	☐ Aeroplane ☐ Helicopter ☐ Seaplane		
5	Aircraft	☐ Entire fleet of aircraft ☐ One or more aircraft ☐ Not applicable		
	Applicability:	☐ Change is related to aircraft airworthiness		
If the change concerns entire aircraft fleet and one or more specific aircraft, please complete the following section.				
6	Aircraft type / variant	Registration	MSN No.	Change
	Enter A/C type/variant	Enter 'HS-XXX' or an item Choose	Enter MSN 'XXXXX'	Select scope of change

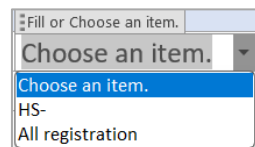
Note: Click the  icon at the end of the table to insert additional rows if more space is required.

- (4) **Aircraft Category** → Select aircraft category operated under the AOC.
- (5) **Aircraft Applicability**

- **Entire fleet of aircraft** → Select this box if the changes apply to all aircraft or all types within the operator's fleet as per the current Attachment to the Operations Specifications (OPS SPEC). Aircraft details are required in the next section.
- **One or more aircraft** → Select this box if the changes apply only to certain aircraft or a subset of the fleet. Aircraft details are required in the next section.
- **Not applicable** → Select this box if the change is not related to aircraft or flight operations procedures, equipment, or maintenance. If selected, the aircraft details section may be skipped.
- **Change is related to aircraft airworthiness** → Select this box if the change involves continuing airworthiness management, aircraft equipment, aircraft systems, maintenance programs, or the addition/removal of aircraft, etc.
Note: If this box is selected, the operator must also submit an application in accordance with the respective Airworthiness requirements and contact the CAAT Airworthiness focal point.

(6) Aircraft Details

- **Aircraft type / variant** → Specify the aircraft type and variant (e.g., B737-400, A320-200).
 - **Registration** → Select the option from the dropdown list.
 - **'HS-'**
Select this option and enter the aircraft registration in the text box if the change applies to *“One or more aircraft”*. The text box allows for free-text entry (e.g. HS-ABC).
 - **'All registrations'**
Select this option if the change applies to the *“Entire fleet of aircraft”*. CAAT will refer to operator’s aircraft information base on the current Attachment to OPS SPEC.
- 
- A screenshot of a software interface showing a dropdown menu. The menu is open, displaying two options: 'HS-' and 'All registration'. The 'HS-' option is currently selected and highlighted in blue. Above the dropdown, there is a text input field with the placeholder text 'Fill or Choose an item.' and a small search icon. The dropdown itself has a title bar that says 'Choose an item.' with a downward arrow icon on the right.



- **MSN No.** → Select the option from the dropdown list;
 - **'MSN:'**
 Select this option and enter MSN if the change applies to "One or more aircraft". The text box allows for free-text entry (e.g. MSN: 4789)
 - **'All Serial Number'**
 Select this option if the change applies to "Entire fleet of aircraft", the application shall apply to all aircraft MSNs. CAAT will refer to operator's aircraft information base on the current Attachment to OPS SPEC.
- **Change** → Select the option from the dropdown list;
 - **'Specific approval (SPA)'**
 Select this option if the change involves SPA, e.g. an initial SPA application, amendment to the OPS SPEC and its attachment related to SPA etc.
 - **'Adding New Aircraft (Same Make/Model)'**
 Select this option if the change involves adding an aircraft of a type that already exists in the current fleet.
 - **'Removal of Aircraft'**
 Select this option if the change involves removing an aircraft from the fleet.
 - **'Inclusion of New Aircraft Type'**
 Select this option if the change involves adding a new aircraft type to the fleet.
 - **'Change procedures (Excluding SPA)'**
 Select this option if the change involves any procedural changes that are not related to SPA. This includes revising generic operational/ground/flight policies and procedures which may related to an aircraft operations, MEL, including any updates according to manufacturer requirements/bulletin/circular, etc.

(d) Section: Administration for Document Revision

- (7) **CR** → Select the checkbox to confirm the documents for *Changes Requiring Approval* are enclosed with this application.
- (8) **CN** → Select the checkbox to confirm the documents for *Changes NOT Requiring Approval* are enclosed with this application.

Administration for Document Revision											
Please select and enclose the following information covering the entire scope of the change:											
7	Change Requiring Prior Approval (CR) ☐ Compliance List Part ORO, CAT, SPA, IDE, CC, SEA (as applicable to the requested changes) ☐ Operations Manual/document revision(s) ☐ Summary of changes ☐ Risk Assessment (upon request) ☐ Other Applicable forms or required documents (depending on the type of change) (e.g., DG application, OEM documents, etc.).	8	Change NOT Requiring Prior Approval (CN) ☐ Operations Manual/document revision(s) ☐ Summary of changes ☐ Other required documents (depending on the type of Change)								
Enter the names of all documents enclosed with this application.											
9	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #f2f2f2;"> <th style="width: 5%;">No.</th> <th style="width: 60%;">Operations Manual / Document Revision / Other required Doc.</th> <th style="width: 20%;">Issue</th> <th style="width: 15%;">Revision</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">Enter No.</td> <td style="text-align: center;">e.g. 'Operations Manual Part A (OM-A)'</td> <td style="text-align: center;">'XX' or Issue date 'DD-MMM-YY' for OEM manual</td> <td style="text-align: center;">'XX' or Rev. date 'DD-MMM-YY' for OEM manual</td> </tr> </tbody> </table>			No.	Operations Manual / Document Revision / Other required Doc.	Issue	Revision	Enter No.	e.g. 'Operations Manual Part A (OM-A)'	'XX' or Issue date 'DD-MMM-YY' for OEM manual	'XX' or Rev. date 'DD-MMM-YY' for OEM manual
No.	Operations Manual / Document Revision / Other required Doc.	Issue	Revision								
Enter No.	e.g. 'Operations Manual Part A (OM-A)'	'XX' or Issue date 'DD-MMM-YY' for OEM manual	'XX' or Rev. date 'DD-MMM-YY' for OEM manual								
Note: Click the icon at the end of the table to insert additional rows if more space is required.											

- (9) **Document List** → Enter the names of all documents enclosed with this application, including the issue and/or revision number, as appropriate. For OEM manual, the Issue/Revision field may instead be completed with the date of issue or the date of revision.

12.1.3 PART 2 – SPECIFICATION OF CHANGE

a) Section: **Change Requiring Prior Approval (CR)**

Changes Requiring Prior Approval (CR)			
Reference	Subject	Manual Reference	Required Details
Part ORO.GEN - General Requirement			
☐ ORO.GEN.110 (j)	Dangerous Goods training programmes Please select the current DG authorization. ☐ Authorized Air Operator ☐ Unauthorized Air Operator	Enter manual reference e.g. OM-A Ch. xx.xx	-
☐ ORO.GEN.120 (d)	Implementation of alternative means of compliance: AMoC	Enter manual reference	Click for details
☐ ORO.GEN.130 (a)	Change affecting the scope of the AOC or the Operation Specification;	Enter manual reference	Click for details Form CAAT-OPS-TCFM-102
☐ ORO.GEN.130 (c)	Procedure for the management of changes not requiring prior approval.	Enter manual reference	-
☐ ORO.GEN.200 (a)(1)(i)	Lines of responsibilities and accountabilities;	Enter manual reference	-
☐ ORO.GEN.200 (a)(1)(ii)	Safety policy	Enter manual reference	-
☐ ORO.GEN.210 (a)	Accountable Manager (AM)	Enter manual reference	Click for details 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	Enter manual reference	-

- (10) **Reference** → Select the checkbox for each item applicable to the proposed change.
- (11) **Subject** → A description of the TCAR OPS item requiring prior approval.
- (12) **Manual Reference** → Enter the manual reference where the change has been made.
 (e.g. OM-A 8.1.2, GOM 1.2)
- (13) **Required Details** → If a link Click for details appears in the *Required Details* column, click the link (or press Ctrl + Click) to navigate to the relevant section and complete the additional information.

b) Section: **Change NOT Requiring Prior Approval (CN) – Details of Notification**

Under TCAR OPS, certain CNs require notification to CAAT before the change is implemented; however, these changes are not subject to prior approval. Complete the following section and submit it to the CAAT through the same process used for changes requiring approval.

Changes NOT Requiring Prior Approval (CN) – Details of Notification			
Reference	Subject	Manual Reference	Required details
Part ORO.GEN - General Requirement			
☐ ORO.GEN.200/210 (b)	Nominated persons; Safety Manager; Compliance Monitoring Manager		Click for details Form CAAT-OPS-TCFM-106
Part ORO.TC - Technical Crew in HEMS, HHO or NVIS Operations			
☐ ORO.TC.110	Training and Checking		-

12.1.4 PART 3 - REQUIRED DETAILS FOR CR

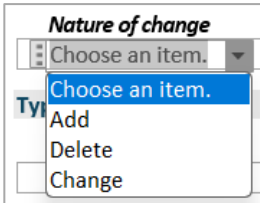
Complete this section by providing the additional details required for the proposed CR when the link in the 'Required Details' column directs you to the relevant section for the change.

Required Details for CR

In the further details section, please Click the  icon at the end of the table to insert additional rows if more space is required.

ORO.GEN.120 (d) Implementation of Alternative means of compliance (AMoC)			
14	Nature of change Choose an item Click here to enter text	Type of AMoC Choose an item Click here to enter text	Existing CAAT AMOC Ref. No. (if Applicable) Click here to enter text.
Remarks: Click here to enter text.			
Back to CR section			

ORO.GEN.130 (a) Change affecting the scope of the certificate or the operations specification SEA.ORS.125 (a)(1) Change affecting the scope of the certificate or the operations specification (For Seaplane)									
Administrative Topic									
15	Nature of change Choose an item Choose an item Click here to enter text	Administrative Topic Choose an item Click here to enter text	16 Details / Remarks						
Type of Operations									
<table style="width: 100%;"> <tr> <td style="width: 15%;">Nature of change</td> <td style="width: 45%;">Type of Operations</td> <td style="width: 40%;">Details / Remarks</td> </tr> <tr> <td>Choose an item</td> <td>Choose an item Click here to enter text</td> <td></td> </tr> </table>				Nature of change	Type of Operations	Details / Remarks	Choose an item	Choose an item Click here to enter text	
Nature of change	Type of Operations	Details / Remarks							
Choose an item	Choose an item Click here to enter text								
Area of Operations									
<table style="width: 100%;"> <tr> <td style="width: 15%;">Nature of change</td> <td style="width: 45%;">Area of Operations</td> <td style="width: 40%;">Details / Remarks</td> </tr> <tr> <td>Choose an item</td> <td>Choose an item Click here to enter text</td> <td></td> </tr> </table>				Nature of change	Area of Operations	Details / Remarks	Choose an item	Choose an item Click here to enter text	
Nature of change	Area of Operations	Details / Remarks							
Choose an item	Choose an item Click here to enter text								
Special Limitations									
<table style="width: 100%;"> <tr> <td style="width: 60%;">Nature of change</td> <td style="width: 40%;">Details / Remarks</td> </tr> <tr> <td>Choose an item Click here to enter text.</td> <td></td> </tr> </table>				Nature of change	Details / Remarks	Choose an item Click here to enter text.			
Nature of change	Details / Remarks								
Choose an item Click here to enter text.									
Other changes affecting AOC, OPS SPEC and/or attachment to the OPS SPEC									
<table style="width: 100%;"> <tr> <td style="width: 60%;">Nature of change</td> <td style="width: 40%;">Details / Remarks</td> </tr> <tr> <td>Choose an item. Click here to enter text.</td> <td></td> </tr> </table>				Nature of change	Details / Remarks	Choose an item. Click here to enter text.			
Nature of change	Details / Remarks								
Choose an item. Click here to enter text.									
Remarks: Click here to enter text.									
Back to CR section									

- (14) **Reference** → The TCAR OPS reference applicable to the proposed CR, as indicated by the link from Part 2
- (15) **Nature of Change** → Select the applicable nature of change from the dropdown list.
- **‘Add’**
To add new content or procedures.
 - **‘Delete’**
To delete or remove existing content or procedures.
 - **‘Change’**
To revise or amend existing content or procedures.
- 
- (16) **Details / Remark** → Enter brief details of the proposed change in free text.
- (17) **Remark** → Enter any additional remarks, if applicable.

Nature of change

Choose an item.

Choose an item.

Add

Delete

Change