

THE CIVIL AVIATION AUTHORITY OF THAILAND									
LANGUAGE PROFICIENCY TESTING CENTRE AUDIT CHECKLIST - ELPT									
Name of Training Organisation:		<i>To be filled by an ELPT</i>							
Address:		<i>To be filled by an ELPT</i>							
Type of Organisation:	<i>ELPT</i>	ELPT certificate no:		<i>To be filled by an ELPT</i>		Expiry Date:		<i>To be filled by an ELPT</i>	
Testing Authorisation	<i>Pilots</i>		<i>ATC</i>						
Accountable Manager	<i>To be filled by an ELPT</i>					Contact information Email: Tel:		<i>To be filled by an ELPT</i>	
®Type of Audit	Initial Certification		Planned Surveillance		Date of Inspection / Audit				
	Renewal Certification		Unplanned Inspection						
FOR ORGANISATION					FOR CAAT OFFICIALS				
By signing below, I, as an authorised person of <i>Name of ELPT</i> hereby confirm that the information given on the self-assessment as well as the document attached herewith the checklist are entirely true, accurate, and complete. If it appears that any submitted information or document found to be untrue, false or obscure, I admit that CAAT has an authorisation to suspend or revoke the Approval Certification, or refuse to accept any learning outcomes from my ATO. _____ (NAME) Date: <i>DD MMM YYYY</i>					No	Position	Name – Last Name	Signature	
					1.	Lead Auditor			
					2.	Auditor			
					3.	Auditor			
					4.	Auditor			
					5.				
					Date: <i>DD MMM YYYY</i>				

Instructions

Each check list item shall be assessed and given a result either ‘Satisfactory-(S)’ or ‘Unsatisfactory- (U)’ by marking “X”

- (1) ‘S’ refers to satisfactory level. It shall be given if the ATO is able to provide valid documents, reliable records of implementation and demonstrate a sound knowledge if interview of relevant personnel are performed. Also, all sub-items must be satisfied.
- (2) ‘U’ refers to unsatisfactory level. It shall be given if any actions found not to be compliance with CAAT rules and regulations or not to be conformed to any ATO’s documentations as well as any actions being done without evidence of records.

SECTION 0: GENERAL INFORMATION OF THE ATO

No	Key Positions	Name-Last Name	Date of Appointment
1	<i>Accountable Manager</i>		
2			
3			
4			
5			
6			

No	Designated Examiner	Authorisation	Certificate no.	Expiry date
1	<i>Name – Last Name</i>	<i>Interlocutor and Rater</i>		
2				
3				

No	Title of controlled Document	Current Issue no.	Date of Approval
1	<i>Testing Manual Procedures</i>		
2			
3			

No	Type of Test	Test Code/Title	Test Group	Effective Date
1	<i>ATPL Pilot</i>	<i>Test vol.01</i>	<i>ATPL holders</i>	<i>DD MMM YYYY</i>

2				
3				
4				

SECTION 1: ORGANISATIONAL INFORMATION AND INFRASTRUCTURE

Date of Audit:

NO.	Check List Item	Ref: Regulatory Requirements	CAAT USE ONLY		
			S	U	Remark(s)
1	Has an aviation language testing service centre provided clear information about its organisation and its relationships with other organisations?	ACAAT-LPC B.E. 2556 Clause 4(2)(a) – (c). Reg-CAAT-LPC B.E. 25561 Clause 5(3); (5); Clause 13(1); (11) ICAO DOC 9835, Appendix C			
2	If a testing service centre is also a training provider, is there a clear and documented separation between the two activities?	ACAAT-LPC B.E. 2556 Clause 4(2)(a) – (c). Reg-CAAT-LPC B.E. 25561 Clause 5(3); (5); Clause 13(1); (11) ICAO DOC 9835, Appendix C			
3	Does the testing service centre employ sufficient numbers of qualified interlocutors and raters to administer the required tests?	ACAAT-LPC B.E. 2556 Clause 4(2)(c) – (d); (4) Reg-CAAT-LPC B.E. 25561 Clause 5(4); (6); Clause 13(1); (10); (11) ICAO DOC 9835, Appendix C			
4	Has the ELPT appropriately established and managed a quality system to ensure compliances with CAAT rules and regulations and the Language Proficiency Testing Procedure Manual of the TSP.	ACAAT-LPC B.E. 2556 Clause 4(2)(a) 1). Reg-CAAT-LPC B.E. 25561 Clause 5(3); Clause 13(1); ICAO DOC 9835, Appendix C			
General Comments:					

SECTION 2: TEST DESIGN AND CONSTRUCT

Date of Audit:

NO.	Check List Item	Ref: Regulatory Requirements	CAAT USE ONLY		
			S	U	Remarks
1	Is the test is designed to assess speaking and listening proficiency in accordance with each component of the ICAO Language Proficiency Rating Scale and the holistic descriptors in Annex 1?	ACAAT-LPC B.E. 2556 Clause 4(c), Reg-CAAT-LPC B.E. 25561 clause 13(3), ICAO DOC 9835, Appendix C			
2	Is a definition of the test purpose that describes both the aims of the test and the target population accessible to all decision-makers?	Reg-CAAT-LPC B.E. 25561 clause 13(2), ICAO DOC 9835, Appendix C			
3	Is a description of and rationale for test construct and how it corresponds to the ICAO language proficiency requirements accessible to all decision-makers in plain, layperson language?	Reg-CAAT-LPC B.E. 25561 clause 13(2), ICAO DOC 9835, Appendix C			
4	Does the test comply with principles of good practice and a code of ethics as described in Chapter 6 of ICAO Doc 9835?	ACAAT-LPC B.E. 2556 Clause 4(b), Reg-CAAT-LPC B.E. 25561 clause 13(1), ICAO DOC 9835, Appendix C			
5	Does the test focus on discrete-point items, on grammar explicitly or on discrete vocabulary items?	ACAAT-LPC B.E. 2556 Clause 4(c) Reg-CAAT-LPC B.E. 25561 clause 13(3), ICAO DOC 9835, Appendix C			
6	Is a specific listening section with individual items included?	ACAAT-LPC B.E. 2556 Clause 4(c), Reg-CAAT-LPC B.E. 25561 clause 13(3); ICAO DOC 9835, Appendix C			
7	Does the test include voice-only interaction?	ACAAT-LPC B.E. 2556 Clause 4(c), Reg-CAAT-LPC B.E. 25561 clause 13(1), ICAO DOC 9835, Appendix C			
8	Is the test is specific to aviation operations?	ACAAT-LPC B.E. 2556 Clause 4(c), Reg-CAAT-LPC B.E. 25561 clause 13(1), ICAO DOC 9835, Appendix C			
9	Does the test assess plain language proficiency in an aviation context?	ACAAT-LPC B.E. 2556 Clause 4(c), Reg-CAAT-LPC B.E. 25561 clause 13(1), ICAO DOC 9835, Appendix C			
10	Does the test avoid items that are designed to elicit highly technical or very context-specific language?	Reg-CAAT-LPC B.E. 25561 clause 13(1), ICAO DOC 9835, Appendix C			
11	Is the final score for each test-taker the lowest of the scores in each of the six ICAO language proficiency skills?	ACAAT-LPC B.E. 2556 Clause 4(d);(e), Reg-CAAT-LPC B.E. 25561 clause 13(1); (4), ICAO DOC 9835, Appendix C			

SECTION 3: TEST VALIDITY AND RELIABILITY

Date of Audit:

NO.	Check List Item	Ref: Regulatory Requirements	CAAT USE ONLY		
			S	U	Remarks
1	Is a statement of evidence for test validity and reliability accessible to all decision-makers in plain, layperson language?	ACAAT-LPC B.E. 2556 Claus 4; (2)(a)1); (3)(c), Reg-CAAT-LPC B.E. 25561 clause 13(1), ICAO DOC 9835, Appendix C			
2	Is a description of the development process that includes the following information accessible to all decision-makers: a) a summary of the development calendar? b) a report on each development phase?	ACAAT-LPC B.E. 2556 Clause 4; (2)(a)1); (3)(c), Reg-CAAT-LPC B.E. 25561 clause 13(1), ICAO DOC 9835, Appendix C			
3	Is an appraisal of the expected test washback effect on training accessible to decision-makers?	ACAAT-LPC B.E. 2556 Clause 4; (2)(a)1); (3)(c), Reg-CAAT-LPC B.E. 25561 clause 13(1), ICAO DOC 9835, Appendix C			
General Comments:					

SECTION 4: RATING

Date of Audit:

NO.	Check List Item	Ref: Regulatory Requirements	CAAT USE ONLY		
			S	U	Remarks
1	Is the rating process documented?	ACAAT-LPC B.E. 2556 Clause 4; (3)(b), Reg-CAAT-LPC B.E. 25561 clause 13(1), ICAO DOC 9835, Appendix C			
2	To complete licensing requirements, do at least two raters participate in the rating of tests, with a third expert rater consulted in case of divergent scores?	ACAAT-LPC B.E. 2556 Clause 4; (3)(e), Reg-CAAT-LPC B.E. 25561 clause 13(1), ICAO DOC 9835, Appendix C			
3	Are initial and recurrent rater training documented?	ACAAT-LPC B.E. 2556 Clause 4; (3)(b); (f), Reg-CAAT-LPC B.E. 25561 clause 13(1), ICAO DOC 9835, Appendix C			
4	If rating is conducted using new technology, including speech recognition technology, is the correspondence of such rating to human rating, on all aspects of the Rating Scale, clearly demonstrated in layperson language?	ACAAT-LPC B.E. 2556 Clause 4; (3)(b); (f); (4), Reg-CAAT-LPC B.E. 25561 clause 13(1), ICAO DOC 9835, Appendix C			
General Comments:					

SECTION 5 TEST ADMINISTRATION AND SECURITY

Date of Audit:

NO.	Check List Item	Ref: Regulatory Requirements	CAAT USE ONLY		
			S	U	Remarks
1	Is a complete sample of the test published	ACAAT-LPC B.E. 2556 Clause 4; (2)(a)1); (3)(d). Reg-CAAT-LPC B.E. 25561 clause 5(5);(7), Clause 13(1), ICAO DOC 9835, Appendix C			
2	Is the test rating process documented, including instructions on the extent and nature of evidence that raters should collect?	ACAAT-LPC B.E. 2556 Clause 4(3)(c), Reg- CAAT-LPC B.E. 25561 clause 5(3); Clause 13(1), ICAO DOC 9835, Appendix C			
3	Are the test instructions to the test-taker, the test administration team and test raters clearly documented?	ACAAT-LPC B.E. 2556 Clause 4(3)(a)-(e) Reg-CAAT-LPC B.E. 25561 clause 5(1); Clause 13(1) ICAO DOC 9835, Appendix C			
4	Are the requirements for equipment, human resources and facilities necessary for the test included in the instructions?	ACAAT-LPC B.E. 2556 Clause 4(2)(h); (3)(a)-(e). Reg-CAAT-LPC B.E. 25561 clause 5(3); (5); Clause 13(9) ICAO DOC 9835, Appendix C			
5	Is the testing location moderately comfortable, private and quiet?	ACAAT-LPC B.E. 2556 Clause 4(2)(h); (3)(a)-(e). Reg-CAAT-LPC B.E. 25561 clause 5(3); (5); Clause 13(9) ICAO DOC 9835, Appendix C			
6	Is a full description of test administration policies and procedures available to all decision-makers? Does it include the followings: a) policies and procedures for retaking the test? b) score reporting procedures? c) record-keeping arrangements? d) Plans for quality control, test maintenance and ongoing test development? e) purchasing conditions?	ACAAT-LPC B.E. 2556 Clause 4(3)(a)-(e). Reg-CAAT-LPC B.E. 25561 clause 5(3); (5); Clause 13(1) - (4). ICAO DOC 9835, Appendix C			

NO.	Check List Item	Ref: Regulatory Requirements	CAAT USE ONLY		
			S	U	Remarks
7	Has a documented appeals process been established and made available to test-takers and decision-makers at the beginning of the testing process?	ACAAT-LPC B.E. 2556 Clause 4(3)(a)-(e). Reg-CAAT-LPC B.E. 25561 clause 5(3); (5); Clause 13(1) ICAO DOC 9835, Appendix C			
8	Is a documented policy for all aspects of test security accessible to all decision-makers?	ACAAT-LPC B.E. 2556 Clause 4(3)(c). Reg-CAAT-LPC B.E. 25561 clause 5(3); (5); Clause 13(11) ICAO DOC 9835, Appendix C			
<u>General Comments</u>					

SECTION 6: RECORD-KEEPING

Date of Audit:

NO.	Check List Item	Ref: Regulatory Requirements	CAAT USE ONLY		
			S	U	Remarks
1	Is the record-keeping process adequate for the scope of the testing and documented?	ACAAT-LPC B.E. 2556 Clause 4(3)(c); (f). Reg-CAAT-LPC B.E. 25561 clause 5(3); (5); Clause 13(1); (11) ICAO DOC 9835, Appendix C			
2	Are evaluation sheets and supporting documentation filed for a predetermined and documentation filed for a predetermined and documented period of sufficient duration to ensure that rating decisions can no longer be appealed?	ACAAT-LPC B.E. 2556 Clause 4(3)(c); (f). Reg-CAAT-LPC B.E. 25561 clause 5(3); (5); Clause 13(1); (11) ICAO DOC 9835, Appendix C			
3	Is the score-reporting process documented, and are scores retained for the duration of the license?	ACAAT-LPC B.E. 2556 Clause 4(3)(c); (f). Reg-CAAT-LPC B.E. 25561 clause 5(3); (5); Clause 13(1); (11) ICAO DOC 9835, Appendix C			
4	Are testing results held in strict confidence and released only to test-takers, their sponsors or employers, and CAAT, unless test-takers provide written permission to release their results to another person or organisation?	ACAAT-LPC B.E. 2556 Clause 4(3)(c); (f). Reg-CAAT-LPC B.E. 25561 Clause 5(3); (5); Clause 13(1); (11) ICAO DOC 9835, Appendix C			
5	Has the TSP sent testing results to the test takers within 10 days?	Reg-CAAT-LPC B.E. 25561 Clause 5(3); (5); Clause 12(4);			
General comments					

INITIAL SURVEILLANCE REPORT

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

Deficiencies

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

No.	Section	Findings	In Part (Observation)
1	ORGANISATION AND INFRASTRUCTURE		
2	TEST DESIGN AND CONSTRUCT		
3	TEST VALIDITY AND RELIABILITY		
4	RATING		
5	TEST ADMINISTRATION AND SECURITY		
6	RECORD KEEPING		
Total			

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

QA Manager:

Date:

Team Leader Inspector:

Date: