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### 1. Certification Procedures for Air Navigation Service Providers

Reference:  
 (1) พ.ร.บ.การเดินอากาศ ฉบับที่ 14 พ.ศ. 2562 มาตรา 15/18 และ 64  
 (อัตราค่าธรรมเนียมขั้ว พ.ร.บ. การเดินอากาศ พ.ศ. 2497 ซึ่งแก้ไขเพิ่มเติมโดย พ.ร.บ. การเดินอากาศ ฉบับ 11 พ.ศ. 2551)  
 (2) ข้อกักตุน กพท. ฉบับที่ 25 ว่าด้วยการขอและออกใบรับรองบริการทางเดินอากาศ  
 (3) ระเบียบ กพท. ว่าด้วยค่าใช้จ่ายในการดำเนินการตามความในมาตรา 5/1 แห่ง พ.ร.บ. การเดินอากาศ พ.ศ. 2497 (ฉบับที่ 5) พ.ศ. 2565  
 ผู้มีอำนาจ: ผู้อำนวยการ สำนักงานการบินพลเรือน ระยะเวลาดำเนินงาน : 68 วัน (ระยะเวลาดำเนินงานไม่รวมระยะเวลาการแก้ไขข้อบกพร่อง ถ้ามี)



**Remark:** \* Whenever application does not meet the requirements established in CAAT Regulations, CAAT will require that the interested party correct it within a period of ten (10) business days, otherwise the application will be dismissed.  
 \*\* The holder of air navigation services certificate who wishes to renew the certificate, shall submit the accordance with the attachment of this requirement to the Director General of CAAT at least one hundred and twenty days before expiration of the certificate together with the copy of air navigation services certificate and document pursuant to Clause 7 of R2CAAT 25.

## 1.1 Initial Enquiries Regarding Application and Certification Process

CAAT certificate must be obtained by a prospective Air Navigation Service Provider (ANSP) before any service can be delivered. The ANS Certificate is issued under R2CAAT 25.

Potential ANSP should contact CAAT regarding an application and certification process. CAAT will dispatch information pack containing

- a) Guidance material(s) for certification including the application process
- b) Application form (CAAT-ANS-CER-100)
- c) Copy of the Regulations

CAAT may arrange a face-to-face meeting with the potential ANSP to clarify any issue in the process and to understand the defined requirements and obligations of the provider.

*Note 1: The main triggers or inputs which start the whole process are:*

- The initial application for an ANSP's certification;
- The application for the renewal of the ANSP's certificate. In the case of the renewal and modification, the same process as the initial certification can be applied.

*Note 2: In the case of loss or damage of the Certification, submit the Application for Replacement of Air Navigation Services Certificate form attached to the R2CAAT 25.*

## 1.2 Application for Certification

Applications must be formalised using a standard form model (included in Appendix A) and must contain a description of all the services applied for.

The Director General of CAAT will provide written acknowledgement of the receipt of the application within a period of no more than 15 business days. If the application does not meet the requirements established in CAAT Regulations, the CAAT will require that the interested party correct it within a period of 10 business days, otherwise the application will be dismissed.

## 1.3 Assessment Process

As part of the certification process, the CAAT will verify that the applicant has the sufficient mechanisms to comply with the applicable requirements.

The standards and procedures under which any ANS is to be provided must be at least in accordance with the following:

- a) The Civil Aviation Authority Regulations
- b) The standards in the Manuals of Standard
- c) The standards in ICAO Annexs

The applicant must provide documentary proof of compliance with the requirements of the regulations, standards and procedures.

The process for the verification of compliance with the requirements for certification has two different phases:

**a) Assessment of the documentation and the application received by the CAAT:**

Upon reception of the application form, Compliance Matrices and supporting documentation (see Part 3), CAAT will review them against the regulations for compliance.

In making application for approval, an applicant must clearly indicate which of the services the application covers and ensure that has the organisational structure, facilities and equipment, qualified personnel, and co-ordination interfaces necessary to provision of the nominated services.

The applicant is also required to provide CAAT with a copy of their proposed operations manual. This initially forms the basis of the submission for application assessment. The operations manual may vary depending upon the type of service and its complexity.

CAAT will inform the applicant to where errors or identified discrepancies are noted against the relevant documents provided (CAAT-ANS-CER-105) contain in Appendix W. The applicant will correct and resubmit to CAAT with amended documentation. This process of review continues until a sufficient level of compliance in the Compliance Matrices is achieved. However, CAAT may reject or suspend the certification process if the applicant cannot meet a sufficient level of compliance within a specific time.

CAAT may request the applicant to submit other related documents for further review and assessment.

Once the application and documents assessment meet sufficient level of compliance with the requirement of the CAAT Regulations. CAAT will provide invoice for the on-site/remote inspections/audits fee to applicant. The applicant must make the payment within date specified in the invoice. The applicant will complete the payment within date specified in the invoice and notify CAAT for the payment.

The Certification process will not be continued until the on-site/remote inspections/audits fee payment is completed within date specified in the invoice.

#### **b) On-site inspections/audits of the premises/facilities of the functional units**

On the basis of the assessment of the documentation, the CAAT will prepare an Inspection/Audit Plan to verify compliance with the certification requirements. The audit plan will identify the service provider unit(s) and/or dependencies that are affected. The audit plan will be authorised by the Director General of CAAT.

The scope of the Inspection/Audit Plan for certification of each Air Navigation Service provider under the regulation will cover at least 10% of the units and/or premises concerned. Without limiting the foregoing percentages, the CAAT will conduct at least one audit activity for each type of unit/premises of the service provider.

On completion of the assessment process, an Assessment Report will be produced, The audit report shall be prepared by the Team Leader and sent to audited organisation within 10 working days of the closed meeting accompanied by non-compliance form if any. The Assessment Report will contain any outstanding finding from the inspections/audits and from the document review process which has not been resolved. Such outstanding findings will only be those considered to be type level 2 or observations.

### **1.4 Treatment of Non-Compliances**

The applicant shall be responsible for determining and initiating the actions needed to correct the non-compliance findings or to correct the causes of non-compliance with corrective actions.

Corrective actions and any subsequent follow-up audits should be completed by the applicant within a time period agreed by the CAAT.

If the audits/inspections determine that the certification process cannot be completed due to insufficient resources within the applicant's organization or due to non-compliance with the requirements, the Director General of CAAT is entitled to suspend the certification process in any of its phases.

Where the corrective action plan is acceptable, the formal letter will be forwarded to auditee for the result of CAP together with the follow-up audit checklist, for the purpose of follow-up.

*Note: If an onsite follow-up audit is required, CAAT will send the invoice for the follow-up audit fee to applicant. The applicant must make the payment within date specified in the invoice*

## 1.5 Issuance of the Certificate

Once the initial certification process has been completed, CAAT will send the invoice for the certification fee to applicant. The applicant must make the payment within date specified in the invoice. The applicant will complete the payment within date specified in the invoice. and notify CAAT for the payment. CAAT will issue a certification with certification report enclosed.

The certification issuance is the final process of the ANS Certification. The certificates will be finalised and signed by the Director General of CAAT who will makes the final decision on the certification and the conditions attached to it based on the Certification Report. This certificate will take the form of the template contained in Appendix U.

**A certificate cannot be issued with an open level 1 non-compliance finding.**

Therefore, CAAT may reject or suspend the certification process.

## 1.6 Continued Surveillance of Certificate Holders

CAAT will proactively ensure that certificate holders continue to meet the established requirements and function at the level of competency and safety required by CAAT to undertake an aviation related activity for which they have been certified through a surveillance programme.

## 1.7 Authorisation of Certified ANSPs at a New Location

Where a certified Air Navigation Service provider (ANSP) intends to provide Air Traffic Service (ATS) at a new location, (usually an aerodrome), the ANSP must be authorised for the provision of such services.

The authorisation requires the successful completion of pre-authorisation audit. When the certified ANSP can demonstrate that the Notification of the Civil Aviation Authority of Thailand on the Specification of the juristic person, validity and other duties of the Air Navigation Services certification holder Item 6 (13) and relevant items of CAAT-ANS-MOSATS have been fully implemented at the new location. The new authorisation will be issued.

The pre-authorisation audit will include a review of the ANSP's management system documentation, training documentation, local operating procedures and engineering arrangements, as applicable to the unit where the new services will be provided.