

**55th CONFERENCE OF
DIRECTORS GENERAL OF CIVIL AVIATION
ASIA AND PACIFIC REGION**

*Denarau Island, Nadi, Fiji
22 — 26 October 2018*

AGENDA ITEM 1: THEME TOPIC

**JOURNEY FROM REMOVAL OF ICAO SIGNIFICANT SAFETY
CONCERNS TOWARDS BECOMING INTERNATIONALLY
RECOGNISED**

Presented by Thailand

INFORMATION PAPER

SUMMARY

This Information Paper provides a brief overview of the Civil Aviation Authority of Thailand (CAAT)'s journey in Regulatory Capacity Building and is offered to Asia Pacific States at the 55th DGCA Conference as a model for consideration to support the unprecedented air traffic growth forecast in Asia Pacific.

CAAT humbly offers visibility of our journey to date from the severe consequences of an ICAO Significant Safety Concern to a new beginning and future for Civil Aviation in the Kingdom of Thailand.

CAAT welcomes the continued support of ICAO, international organisations and foremost your continued support as Member States of the Asia Pacific Region.

JOURNEY FROM REMOVAL OF ICAO SIGNIFICANT SAFETY CONCERNS TOWARDS BECOMING INTERNATIONALLY RECOGNISED

1. INTRODUCTION

1.1 Thailand has a long history in aviation going back to 1911. It has been a major aviation player in the region since the early 1950s. It has been the location of the ICAO Asia and Pacific (APAC) Regional Office in Bangkok since 1955. Aviation plays a crucial part in the economic and social development of Thailand.

1.2 However, in January 2015, an ICAO USOAP CMA Audit of the Kingdom of Thailand led to some Significant Safety Concern (SSC) related to Aircraft Operations which called for Air Operator Certificates (AOCs) to be issued through a comprehensive, structured and documented certification process. The SSC was followed by the US FAA downgrading Thailand from a “Category 1” to a “Category 2” rating. Other countries followed suit, adding further restrictions flying into their countries.

1.3 In response to the ICAO SSC, Thailand decided to reform its safety oversight arrangements. The original Department of Civil Aviation (DCA) was split into two organisations: The Civil Aviation Authority of Thailand (CAAT) and Department of Airports. The DCA responsibilities for aircraft accident investigation and aircraft search and rescue were also transferred to Office of the Permanent Secretary of the Ministry of Transport.

1.4 Commencing in May 2016, in collaboration with the UK Civil Aviation Authority (UK CAA), CAAT undertook a structured programme for the Recertification of the existing International AOCs. Moreover, CAAT/UK CAA with the support of ICAO Asia Pacific Regional Office worked systematically in preparing for an ICAO Coordinated Validation Mission which resulted in the removal of the SSC in October 2017.

1.5 With the commitment to sustainability followed the SSC removal, CAAT introduced changes to primary legislation and the formation of a new organisational structure which would ensure sustainability of regulatory oversight. CAAT has been working in close collaboration with representatives from European Aviation Safety Agency (EASA). 7 EASA experts were appointed as assistant managers of Safety and Security related Departments. Their roles are focused on mentoring and coaching the senior management team of the respective Department. CAAT also entered into technical support arrangements in the areas of Airworthiness and Flight Operations and Personal Licensing with the French Civil Aviation Authority (DGAC) and Japan Civil Aviation Bureau (JCAB).

1.6 The following Sections in this Information Paper provide a brief overview of CAAT’s journey in Regulatory Capacity Building and are offered to Asia Pacific States at the 55th DGCA Conference as an illustration for the Region and a model for consideration to support the unprecedented air traffic growth forecast. CAAT humbly offer visibility of our journey to date and welcome your continued support as Member States of the Asia Pacific Region.

2. PRIMARY LEGISLATION

2.1 The restructuring of civil aviation was achieved through the Royal Decree B.E. 2558 (2015) on the Amendment of the Air Navigation Act B.E. 2497 (1954) and the Royal Decree B.E. 2558 (2015) on the Civil Aviation Authority of Thailand. The two primary legislations were enacted in order to improve the structures and authorities of relevant civil aviation organisations to be in compliance with international standards.

2.2 Further amendment of the Air Navigation Act was prepared to facilitate the effective implementation of ICAO SARPS. It is scheduled to be considered by the National Legislative Assembly in November 2018. In the meantime, the UK CAA has been assigned to develop a new framework of Regulations and Inspector's Manuals, Procedures and Guidance Material which are compliant with ICAO SARPS, harmonised with EASA, when appropriate, and aligned to the requirements of the Thailand Aviation industry to provide future sustainability and a robust regulatory framework.

3. DEVELOPING CAPABILITY IN HUMAN RESOURCES

3.1 CAAT Staff engaged in the original International Recertification programme were supported by Peer to Peer Training with UK CAA Inspector's both in the Classroom and OJT in Flight Operations, Dangerous Goods, Cabin Safety and Airworthiness. Cooperate Training Manuals were developed with individual Training Needs Analysis supporting staff growth, development and competence and ultimately Inspector Accreditation, overseen by CAAT Quality Assurance Department, providing sustainability and autonomy for CAAT inspectors.

3.2 Thailand's commitment to sustainability and creation of a legacy for the future is dependent on investment in CAAT resources - recruitment, training/retraining and retention. A new organizational structure endorsed by the CAAT Board and reflecting international regulatory standards is being implemented through a managed programme of transition. The organisation created will ultimately extend to more than 500 people to cope with size of the industry.

4. SAFETY OVERSIGHT IT SYSTEMS

4.1 Recognising the importance of technological advancement in Regulatory capacity development, CAAT set upon a strategy to transform paper-based systems to undertake Oversight and Surveillance based on cutting edge IT System. The first stage in this evolution involved the fast track introduction of a centralised management system to support the International Recertification of AOCs. The system provided a full Risk Based Oversight Regulator System containing a simple intuitive user interface which was entirely paperless. The System supported the Peer to Peer engagement, Training development and providing a Portal for Regulations, Manuals, Procedures and Checklists. Automated Inspections were then assigned to manage the identification, management and closure of Findings attributable to the AOC Recertification Programme.

4.3 In parallel with the fast track solution, CAAT commissioned UK CAA to undertake a detailed evaluation of the strategic business needs of the Authority to inform the specification for a Safety Oversight IT System. The review identified the ideal Target Operating Model (TOM) for the authority as well as proposing a set of future technical, business and data architecture for the Authority consistent with the TOM. This specification was used to develop a Terms of Reference for Thailand's Procurement process which is currently underway for a Safety Oversight IT System. A full evaluation of software providers has been undertaken and CAAT are planning a phased programme of implementation over a two-year period to ensure system sustainability.

5. ICAO COMPLIANCE & CRITICAL ELEMENT EFFECTIVE IMPLEMENTATION

5.1 The ICAO Universal Safety Oversight Audit Programme (USOAP) Comprehensive Systems Approach (CSA) Audit of the civil aviation system of Thailand conducted in 2005 generated an Overall Effective Implementation of 79.76% for the eight Critical Elements of the States's safety oversight system. This reduced to 34.20% following the USOAP Continuous Monitoring (CSM) Audit in 2015. Following this audit, an SSC regarding the certification process for the issuance of Air Operator Certificates and the authorisation for transport of Dangerous Goods.

5.2 In September 2017, ICAO conducted an ICAO Coordinated Validation mission on Thailand which determined that sufficient progress had been made to remove the Significant Safety Concern. The ICAO Audit Team reviewed the progress in addressing 86 Protocol Questions in the areas of OPS and AIR (the scope of the Audit excluded the other 6 Critical Elements). This assessment resulted in the Overall Effective Implementation increasing to 41.11%.

5.3 In successfully addressing the Protocol Questions for the ICVM, Thailand's effective implementation for Flight Operations increased from 10.22% to 38.69%. In the area of Airworthiness, effective implementation was raised from 61.98% to 76.03%.

5.4 Thailand is now preparing for a Full ICVM scheduled by ICAO for May 2019 to independently assess progress on CAAT's Regulatory Capacity Building Programme. This will be preceded by an ICAO Readiness assessment for ICVM in early 2019.

5.5 CAAT continues to acknowledge the support, direction and guidance provided by ICAO HQ and ICAO APAC in Regulatory Capacity Development. CAAT acknowledges that the active participation in ICAO fora and other international meetings, training, seminars, workshops and events has been instrumental in advancing civil aviation in the Kingdom of Thailand.

6. ACTION BY THE CONFERENCE

6.1 CAAT respectfully requests the acknowledgement of the 55th DGCA Conference of Thailand's journey towards regulatory sustainability which seeks to embrace the commitments in the Asia Pacific Ministerial Conference and support the Global Aviation Safety Plan (GASP).

6.2 The Conference is invited to note the information in this Paper.

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