

<b>Visit Type</b>	Recertification Audit 3/3					
<b>Date</b>	12/6/2022	<b>Visit Number</b>	NVQ74434	<b>Auditor</b>		PHAM THANH TRUONG (PTT)
<b>Client</b>	Air Traffic Flow Management Center – Branch of Vietnam Air Traffic Management Co					

### Management System Audit Report

<b>Certificate Numbers</b>	NVQ74434					
<b>Visit Number:</b>	NVQ74434		<b>Audit Date</b>	12/6/2022		
<b>Standard(s):</b>	ISO9001:2015		<b>Visit Type:</b>	Recertification Audit 3/3		
<b>Visit Period:</b>	<b>Stage 1</b>	<b>Stage 2</b>	<b>Year 1 Surv</b>	<b>Year 2 Surv</b>	<b>Year 3 Recert</b>	<b>Transition</b>
	✗	✗	✗	✗	✓	✗
<b>Client:</b>	Air Traffic Flow Management Center – Branch of Vietnam Air Traffic Management Corporation – Company limited					

<b>Contact Details:</b>	Ms. Nguyen Thuy Hoa - 0904 546 919			
<b>Address 1:</b>	Building B – Vietnam Air Traffic Management Corporation and ATCC Building, No. 5/200, Nguyen Son Street, Bo De Ward, Long Bien District, Hanoi City, Vietnam  Hanoi  Vietnam	<b>Email:</b>	<a href="mailto:hoanguyen.hn@gmail.com">hoanguyen.hn@gmail.com</a>	
<b>Address 2:</b>				
<b>Address 3:</b>				
<b>City:</b>			<b>Telephone:</b>	(+84) 24 38721698
<b>State/Province/County:</b>				
<b>Postcode / Zip Code:</b>				
<b>Country:</b>				

<b>Representative</b>	Mr. Chu Minh Duoc - Deputy General Director			
	<b>Fulltime</b>	<b>Part-time</b>	<b>Temporary</b>	<b>Contractors</b>
<b>Number of staff in scope</b>	242	0	0	0
<b>Location (s) visited:</b>	Building B – Vietnam Air Traffic Management Corporation and ATCC Building, No. 5/200, Nguyen Son Street, Bo De Ward, Long Bien District, Hanoi City, Vietnam			

<b>Lead Auditor:</b>	PHAM THANH TRUONG (PTT)	<b>Additional Auditor (s):</b>	NGUYEN PHUONG DUNG (NPD) NINH THI XUAN (NTX)
<b>Lead Auditor Initials</b>	PT		

## Management System Audit Report

<b>Scope of Certificate (s):</b>	Issuing, amending and canceling flight permits as authorized by the Civil Aviation Authority of Vietnam; Seasonal flight operation plan and daily flight operation plan; Deploying special flight operation assurance plan; Monitoring and managing flight permit data and flight operation plans; Ability training, periodic training, recovery, reclassification and advanced training for air traffic personnel (notification, flight coordination, air traffic flow management); aviation surveillance navigation information (AFTN/AMHS network operation, recording equipment maintenance operation)
<b>Date of Manual</b>	Quality Management System Manual Version 2.0 according to Decision No. 1406/QD-QLLKL dated December 5, 2022
<b>SoA:</b>	* Enter version of SoA - this is for ISO27001 only

Is a new certificate required to be issued after this audit?

Yes

### The objectives of the audit:

- ❖ To confirm that the management system conforms with the requirements of the auditing standard and any statutory, regulatory and contractual requirements that are applicable;
- ❖ To confirm that the organisation has effectively implemented the planned management system;
- ❖ To confirm that the management system is meeting its specified objectives

**Audit Plan***The timing of this audit cycle*

Auditor	Date	Time	Criteria/Process
PTT	06.12.2022	08h30-08h45	Opening meeting
PTT	06.12.2022	08h45-09h15	<b>Top Management</b> 4.1. Understand the context of organization 5. Leadership 6. Planning 10. Improvement
PTT	06.12.2022	09h15-10h45	<b>ISO Board, Quality - Safety Department</b> 4.2. 4.2 Understanding the Needs and Expectations of Interested Parties 4.3. Scope of certification 4.4. Quality management system and process 6. Planning 7.1 Resources
			9.1 Monitoring, measurement, analysis and evaluation 9.2. Internal audit 9.3. Management review 10.2 Nonconformity and corrective
PTT	06.12.2022	10h45-11h30	<b>Planning Department</b> 8.1 Operational planning and control 8.2 Requirements for products and services 8.4 Control of externally provided processes, products and services
			<b>Technical Assurance Center</b>
NTX	06.12.2022	08h45-09h00	<b>Top Management</b>
NTX	06.12.2022	09h00-10h30	<b>IT Team</b> 7.1 Resources 8.5 Production and service provision
NTX	06.12.2022	10h30-11h30	<b>Information Team</b> 8.1 Operational planning and control 8.5 Production and service provision 8.7 Control of nonconforming outputs 9.1 Monitoring, measurement, analysis and evaluation 10.2 Nonconformity and corrective
			<b>Flight Coordination and Air Traffic Flow Management Center</b>
NPD	06.12.2022	08h45-9h00	<b>Top Management</b>
			<b>Flight Coordination Notification</b>

**Audit Plan***The timing of this audit cycle*

Auditor	Date	Time	Criteria/Process
NPD	06.12.2022	09h00-10h30	8.1 Operational planning and control 8.2 Requirements for products and services 8.5 Production and service provision 8.7 Control of nonconforming outputs 9.1 Monitoring, measurement, analysis and evaluation 10.2 Nonconformity and corrective
NPD	06.12.2022	10h30-11h30	<b>Flight Permit – Flight Plan Team</b> 8.1 Operational planning and control 8.2 Requirements for products and services 8.5 Production and service provision 8.7 Control of nonconforming outputs 9.1 Monitoring, measurement, analysis and evaluation 10.2 Nonconformity and corrective
Break		11h30-13h30	
NTX	06.12.2022	13h30-14h30	<b>Department of Labor - Personnel Organization</b> 7.2 Competence
PTT	06.12.2022	13h30-14h30	<b>ATFM Operations Department</b> 8.1 Operational planning and control 8.2.1 Customer communication 8.5 Production and service provision 8.6 Release of products and services 8.7 Control of nonconforming outputs 9.1 Monitoring, measurement, analysis and evaluation
PTT NTX	06.12.2022	14h30-15h30	<b>Technical Department</b> 8.1 Operational planning and control 8.2.1 Customer communication 8.5 Production and service provision 8.6 Release of products and services 8.7 Control of nonconforming outputs 9.1 Monitoring, measurement, analysis and evaluation
NPD	06.12.2022	13h30-14h30	<b>Back Office, Finance Department</b> 7.1 Resources 8.5 Production and service provision
			<b>Electro-mechanical Team</b>

**Audit Plan***The timing of this audit cycle*

Auditor	Date	Time	Criteria/Process
NPD	06.12.2022	14h30-15h30	8.1 Operational planning and control 8.5 Production and service provision 8.7 Control of nonconforming outputs 9.1 Monitoring, measurement, analysis and evaluation 10.2 Nonconformity and corrective
PTT NTX NPD	06.12.2022	15h30-16h00	Write audit report
			Closing meeting – Report audit findings

**Scope of the audit**

The objective of the audit is to assess the intent, implementation, operation and effectiveness (if any) of the management system (s) to demonstrate compliance with relevant standards and other related business requirements . This audit covers the processes identified in the visit plan and within the three-year program. The verification will be carried out at the place (s) indicated in the visit plan

<b>Scope Revision required?</b>	<b>No</b>
<b>Details (if yes)</b>	
<b>If used, is the use of the accreditation mark correct?</b>	<b>Not Applicable</b>

<b>Report prepared by:</b>	PHAM THANH TRUONG
<b>Position:</b>	LEAD AUDITOR
<b>Date of the next visit:</b>	12/6/2023

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**Note:**

This form is for use where there have been no significant changes to the Client's system and no significant changes in operations, applicable legislation or other requirements. Where such changes have occurred, a Stage 1 and Stage 2 audit should be conducted. The scope of this visit will therefore have to be altered on the visits database and new audit forms produced.

**NCR's from Previous visit**

NCR Ref	Audit Findings	Root Cause of NCR and clients proposed actions	NCR's from Previous visit	Verification Comment	Verification Status
PT-MIN-001	(PTT) Phạm vi áp dụng tuyên bố trong Sổ tay chất lượng chưa điều chỉnh phù hợp sau tách TT cảnh báo thời tiết;	Nguyên nhân cốt lõi: - Sau khi có Quyết định tách Trung tâm CBTT, BCĐ ISO Trung tâm QLLKL đã rà soát các tài liệu liên quan và thực hiện công tác điều chỉnh. - Sổ tay chất lượng đã được tu chỉnh và lấy ý kiến của các đơn vị trong Trung tâm QLLKL, tuy nhiên BCĐ ISO cần điều chỉnh lại một số nội dung trong Sổ tay chất lượng nên chưa kịp ban hành Hành động khắc phục: P- Xây dựng kế hoạch khắc phục: Lập Kế hoạch bổ sung các nội dung		HĐKP đã được kiểm tra và đạt yêu cầu	Actions checked - NCR closed

PT-MIN-002	<p>Quy chế tổ chức và HD của TT QL LKL số 2695/QĐ-QLB ngày 25/7/2016 và QĐ ngày 4/10/2017 số 1075/QĐ-QLLKL</p> <p>Về quy định tổ chức và hoạt động của các phòng, TT thuộc TT QL LKL thời điểm đánh giá chưa có cập nhật sau các sự kiện tách TT cảnh báo thời tiết và tách phòng nghiệp vụ thành Kỹ thuật và nghiệp vụ ATFM</p> <p>(LBN) Quy chế làm việc của văn phòng TT QL LKL ngày 14/02/2017, số 28/VP</p> <p>Quy định chức năng nhiệm vụ của tổ Hành chính quản trị thuộc Văn phòng là: Theo dõi, quản lý, vận hành, duy trì chế độ kiểm tra thường xuyên hệ thống cấp thoát nước, hệ thống điện dân dụng thuộc phạm vi thẩm quyền tại các khu vực làm việc của trung tâm, đề xuất phương án sửa chữa bảo dưỡng định kỳ với các hệ thống cấp thoát nước, điện dân dụng, trang thiết bị,...Thực tế Văn phòng cho biết chỉ có nhiệm vụ kiểm tra</p>	<p>Nguyên nhân cốt lõi:</p> <p>Lãnh đạo Trung tâm QLLKL đã giao cho bộ phận chuyên môn thực hiện rà soát, điều chỉnh lại chức năng, nhiệm vụ của các phòng tham mưu, giúp việc. Tuy nhiên đến thời điểm đánh giá thì chưa kịp ban hành do mất nhiều thời gian lấy ý kiến của các đơn vị và hoàn thiện</p> <p>Hành động khắc phục:</p> <p>P- Xây dựng kế hoạch khắc phục:</p> <p>Giao phòng TCCB-LĐ khẩn trương thực hiện việc hoàn thiện các nội dung lấy ý kiến của các đơn vị và thực hiện thủ tục ban hành Quy định hoạt động của các phòng tham mưu, giúp việc trong tháng 11/2021</p>		HĐKP đã được kiểm tra và đạt yêu cầu	Actions checked - NCR closed
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PT-MIN-003	Chương 6 Sổ tay chất lượng có quy định về phương thức đánh giá rủi ro chất lượng nhưng chưa quy định về hồ sơ của hoạt động này. Tại thời điểm đánh giá không có hồ sơ đánh giá rủi ro chất lượng để chứng minh	Nguyên nhân cốt lõi: Trung tâm QLLKL có đánh giá rủi ro chất lượng tại các lần Xem xét lãnh đạo, tuy nhiên hồ sơ đánh giá rủi ro không được ghi chép lại Hành động khắc phục: P- Xây dựng kế hoạch khắc phục: BCĐ ISO phân công phòng AT-CL: - Rà soát và thực hiện tổng hợp nội dung đánh giá rủi ro của các năm. - Thực hiện công tác đánh giá và quản lý rủi ro hàng năm theo hướng dẫn trong Sổ tay chất lượng. D- Các biện pháp thực hiện khắc phục - Căn cứ nội dung trong Chương 6 Sổ tay chất lượng, thực hiện đánh giá rủi ro trong các năm từ 2020-nay. - Lập hồ sơ theo dõi cụ thể và có báo		HĐKP đã được kiểm tra và đạt yêu cầu	Actions checked - NCR closed
PT-MIN-004	(LBN) Văn Phòng Tại thời điểm đánh giá Văn phòng TT QL LKL chưa đưa ra được hồ sơ Mục tiêu chất lượng, kế hoạch và báo cáo theo dõi kết quả thực hiện Mục tiêu chất lượng của Văn phòng	Nguyên nhân cốt lõi: Đã có hồ sơ đầy đủ, tuy nhiên tại thời điểm kiểm tra, cá nhân phụ trách vắng mặt nên người tiếp đoàn đánh giá chưa tìm đủ hồ sơ để trình. Hành động khắc phục: P- Xây dựng kế hoạch khắc phục: Chuyển lại đoàn đánh giá hồ sơ có đầy đủ chữ ký.		HĐKP đã được kiểm tra và đạt yêu cầu	Actions checked - NCR closed
PT-MIN-005	(NTX) TT BDKT Chưa thực hiện tuân thủ quy trình Kiểm soát hồ sơ như: - Chưa lập danh mục hồ sơ chất lượng năm 2021 theo BMQLL-KSHS-01 - Chưa lập Mục lục hồ sơ theo BMQLL-KSHS-01 VD: Hồ sơ quản lý thiết bị đo lường.	Nguyên nhân cốt lõi: - Danh mục hồ sơ năm 2021 bị thất lạc tại thời điểm kiểm tra (do đồng chí phụ trách nghỉ sinh và bàn giao chưa đầy đủ). - Hồ sơ quản lý thiết bị đo lường có quá ít đầu mục nên Trung tâm BDKT không lập danh mục Hành động khắc phục: P- Xây dựng kế hoạch khắc phục: - In và ký lại danh mục hồ sơ năm 2021. - Bộ phận Thông tin Lập danh mục hồ sơ		HĐKP đã được kiểm tra và đạt yêu cầu	Actions checked - NCR closed

PT-MIN-006	<p>(PTT) Nhận thay các đơn vị được tách riêng từ phòng nghiệp vụ theo Nghị quyết 66/NQ-HĐTV vào tháng 6/2021 đến thời điểm đánh giá còn thiếu các quy trình/tài liệu hướng dẫn thực hiện nghiệp vụ liên quan đến nhiệm vụ chủ trì. Ví dụ:</p> <p>1. Phòng nghiệp vụ ATFM chưa xác định được, hoặc chưa có các tài liệu quy trình hướng dẫn nghiệp vụ liên quan đến chức năng quản lý khai thác luồng, phương thức khai thác phép bay ...</p> <p>2. Phòng Kỹ thuật: chưa có các tài liệu quy trình hướng dẫn nghiệp vụ liên quan đến chức năng: chỉ đạo nghiệp vụ, kiểm tra giá sát đơn vị cơ sở về chuyên môn</p>	<p>Nguyên nhân cốt lõi: Phòng Nghiệp vụ ATFM, Phòng Kỹ thuật mới thành lập do tách phòng Nghiệp vụ cũ (từ tháng 06/2021) vì vậy chưa xây dựng một số quy trình, hướng dẫn liên quan đến nghiệp vụ chủ trì.</p> <p>Hành động khắc phục: P- Xây dựng kế hoạch khắc phục: - Xây dựng dự thảo một số quy trình chuyên môn mà Phòng chủ trì và dự thảo phân công nhiệm vụ các vị trí của phòng trong tháng 12/2021. - Các bộ phận tại các phòng trên rà soát, điều chỉnh các Quy trình liên quan.</p>		HĐKP đã được kiểm tra và đạt yêu cầu	Actions checked - NCR closed
PT-MIN-007	<p>(PTT) Trung tâm chưa có quy định cụ thể về đầu mối, phương thức, kênh, hồ sơ thu thập phản hồi của các bên được phục vụ về chất lượng dịch vụ cung cấp để đánh giá mức độ thỏa mãn. Do vậy việc đánh giá chưa có số liệu chứng minh</p>	<p>Nguyên nhân cốt lõi: Đầu mối, các kênh thu thập phản hồi về chất lượng dịch vụ cung cấp được thể hiện qua các văn bản hiệp đồng giữa Trung tâm QLLKL và các bên liên quan.</p> <p>Hành động khắc phục: P- Xây dựng kế hoạch khắc phục: - BCĐ ISO phân công bộ phận xây dựng kênh thu thập thông tin tổng hợp về dịch vụ Trung tâm QLLKL cung cấp. - Căn cứ Quy định tổ chức và hoạt động của các phòng tham mưu, giúp việc của Trung tâm QLLKL phân công Văn phòng tổ chức việc tổng hợp, thu thập thông tin phản hồi từ các đơn vị liên quan. - Thông báo cho các đơn vị trong Trung tâm QLLKL để công bố cho các bên liên quan được biết</p>		HĐKP đã được kiểm tra và đạt yêu cầu	Actions checked - NCR closed

**Executive Summary**

<b>Certification Status</b>	Recommend	certification upon receipt of acceptable corrective action plan
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**Nonconformity summary**

Status	Total
Major	0
Minor	0
OFI	7

**Report Summary \***

Note: Recommendation to the requirements of the standard(s) are subject to the compliance review of this report

In 2022, flight operations have recovered, but the impacts of the covid-19 pandemic could linger on resources for deployment of the System. Vietnam Air Traffic Management Corporation (VATM) has also issued a decision on integration of the management system of the Corporation to be completed in 2022. However, Air Traffic Flow Management Center (ATFMC) has continued to maintain the quality management system according to ISO9001:2015 with the attention of the top management and the advisory and control efforts of the Quality - Safety Department, and has strengthened the organization and issued the updated regulations on functions and duties accordingly as well as a plan to integrate documents of the Quality Management System in accordance with the VATM's regulations.

The re-certification audit was conducted in accordance with the procedures of the Certification Body, the audit program and achieved the planned objectives. The lead auditor recommends DAS-UK Certification Body to consider renewing the certificate of Quality Management System in accordance with ISO 9001:2015 for the Air Traffic Flow Management Center.

Audit team  
organization

Representative of audited

Pham Thanh Truong Nguyen Phuong Dung Ninh Thi Xuan

Lead Auditor: PHAM THANH TRUONG (PTT)

**Third Year Assessment - Review Report**

Company Name: Air Traffic Flow Management Center – Branch of Vietnam Air Traffic Management Corporation – Company limited Cert No: NVQ74434	Enter Information
Last triennial review date	12/2/2019
Number of assessments carried out in last three (3) years	3
Number of assessments planned in last three (3) years	3
Number of Major non-conformities raised in three (3) year period	0
Number of Minor non-conformities raised in three (3) year period	11
Number of customer complaints received by SNR about the client during the last three (3) years	0
<b>Changes for number of employees</b>	
Number of employees in initial audit / previous recertification	240
Current number of employees	242
<b>Has the company responded to corrective action requirements (4 to 6 working weeks) in a timely manner? (Detail the occasions when they have not responded on time)</b>	
Yes	
<b>Are there any areas within the company's management system that repeatedly caused non-compliance with the standard? (e.g. Internal Audit, Management Review etc.)</b>	
None	
<b>Summary of Analysis</b>	
The QMS found being maintained in an effective manner.	
Reviewed by: PHAM THANH TRUONG (PTT)	
Date of Review: 06/12/2022	

**Participants****Opening Meeting**

06/12/2022

*Enter the NAMES of the participants for the opening and closing meeting*

Opening Meeting	Closing Meeting
Chu Minh Duoc	Chu Minh Duoc
Dang Hai Hong	Dang Hai Hong
Nguyen Thuy Hoa	Nguyen Thuy Hoa
Trinh Minh Giang	Trinh Minh Giang
Nguyen Minh Tuan	Nguyen Minh Tuan
Nguyen Manh Quan	Nguyen Manh Quan
Nguyen Quang Hung	Nguyen Quang Hung
Pham Xuan Thanh	Pham Xuan Thanh
Phung Thanh Tuan	Phung Thanh Tuan
Pham Van Hoi	Pham Van Hoi
Do Van Chinh	Do Van Chinh
Dang Ha Van Anh	Dang Ha Van Anh

**Key staff visited**

Name	Position/Title
Chu Minh Duoc	Deputy Director
Dang Hai Hong	Head of Quality - Safety Department
Nguyen Thuy Hoa	Quality - Safety Department - Quality Team
Trinh Minh Giang	Department of Labor and Personnel Organization
Nguyen Minh Tuan	Deputy Head of Quality - Safety Department
Nguyen Manh Quan	Quality - Safety Department - Person in charge of Safe
Nguyen Quang Hung	Head of Technical Department
Pham Xuan Thanh	Head of ATFM Operations Department
Phung Thanh Tuan	Head of Finance Department
Pham Van Hoi	Deputy head of Technical Assurance Center
Do Van Chinh	Head of ATFM Center
Dang Ha Van Anh	Deputy head of Planning Department

## Summary of nonconformities

This is a summary of all non-conformities raised during the audit

### Major Nonconformities

Standards	Criteria	Audit Findings	Compliance	Ref

### Minor Nonconformities

Standards	Criteria	Audit Findings	Compliance	Ref

### Opportunities for Improvement

Standards	Criteria	Audit Findings	Compliance	Ref
ISO9001;	6.1 - Actions to address risks and opportunities	ISO Board: The risk assessment process is drafted - however the Dossier of quality risk review in 2022 has not been updated - The Center's quality system is in the transition period to integrate with the Corporation's management system and wait for further directions. The implementation and operations of the Technical Assurance Center and the Technical Department have not yet had risk identification to ensure requirements such as equipment maintenance and repair, system licensing, etc.	OFI	PT-OFI-001
ISO9001;	6.2 - Objectives and planning to achieve them	The Technical Assurance Center and the Technical Department should consider ensuring measurability, for example, at the Technical Assurance Center: To ensure the exploitation, operation, maintenance and repair of systems, technical equipment must comply with the approved exploitation procedures, regulations and manuals.	OFI	PT-OFI-002
ISO9001;	7.5 - Documented information	ATFM Center: - Departments have made a list of external documents according to BM-KSTL-03 but need to fully updated as required by the Decree No. 96/2021 ND-CP dated November 2, 2021 regarding controlling special flights, special compartments, Vietnam Civil Aviation Law No. 66/2006/QH11 dated June 29, 2006. - The Air Traffic Flow Coordination Center does not annually submit the application for granting, amending and canceling the civil flight permit to the Secretariat Department (Center Back Office) for permanent storage according to step 5 of the Air Traffic Flow Management Process QTQLL - PBAY/DPL issued for the 4th time on July 7, 2022. The list of quality management records BMQLL-KSHS-01 has not been established at the Technical Department The coding records/documents at the Center should be reviewed to comply with the requirements of the form BMQLL-KSHS-02 prescribed	OFI	PT-OFI-003

ISO9001;	7.1.3 - Infrastructure	The equipment management list of the Electromechanical Team of the Technical Assurance Center should include the time for periodic maintenance and repair of equipment for management.	OFI	PT-OFI-004
ISO9001;	8.2.1 - Communication with the customer	Air Traffic Flow Coordination Center: flight permit/ unscheduled departure/ arrival flight plan reconciliation logbook of requires confirmation of the licensee, such as obtaining flight permits from flight licensing agencies - Ministry of Defense No. 207 on November 3, 2022	OFI	PT-OFI-005
ISO9001;	8.5 - Production and service provision	Flight Coordination and Air Traffic Flow Management Center: General logbook of incorrect/ misaligned, excess/ missing domestic and international flight information according to BMQLL-CSDLB/DPL-01 not yet certified by the reviewer, false information handlers, redundant information handlers.	OFI	PT-OFI-006
ISO9001;	8.5.1 - Control of production and service provision	ATFM Operations Department: Procedure for developing flight coordination in the field of flight coordination assurance issued according to Decision No. 839 dated August 17, 2021, stipulating the time of record keeping is not consistent with the requirements of Decision No. 5369/QD-QLB dated December 3, 2020 regarding regulations on records and archives of VATM  The procedure for developing flight coordination in the field of flight coordination assurance QTQLL-VBHD/NVATFM issued the 3rd time according to Decision No. 839 dated August 17, 2021 has not yet been followed: making a report on coordination document planning within 3 days, Approval: 01 day, developing draft coordination document: 20 days, submission for comments: 10 days, finalizing: 5 days, ... however as per Report No. 1000/TTr-NVATFM dated October 11, 2022 up to now the draft coordination document has not been released.	OFI	PT-OFI-007

## Corrective Actions and Opportunities for Improvement Report

*No Major Non-conformities have been raised during this audit*

## **Corrective Actions and Opportunities for Improvement Report**

*No Minor Non-conformities have been raised during this audit*

### Corrective Actions and Opportunities for Improvement Report

*A determination on actions to be taken to address the issues is to be completed*

<b>NCR Ref</b>	PT-OFI-001
<b>Auditor Notes</b>	
<b>Standard(s)</b>	ISO9001;
<b>Audit Criteria</b>	6.1 - Actions to address risks and opportunities
<b>Audit Findings</b>	<p>ISO Board: The risk assessment process is drafted - however the Dossier of quality risk review in 2022 has not been updated - The Center's quality system is in the transition period to integrate with the Corporation's management system and wait for further directions.</p> <p>The implementation and operations of the Technical Assurance Center and the Technical Department have not yet had risk identification to ensure requirements such as equipment maintenance and repair, system licensing, etc.</p>
<b>Category</b>	<b>OFI</b>
<b>NCR Response, NCR status and root cause of NCR and clients proposed actions</b>	Information to be completed by client within the eCMS

### Corrective Actions and Opportunities for Improvement Report

*A determination on actions to be taken to address the issues is to be completed*

<b>NCR Ref</b>	PT-OFI-002
<b>Auditor Notes</b>	
<b>Standard(s)</b>	ISO9001;
<b>Audit Criteria</b>	6.2 - Objectives and planning to achieve them
<b>Audit Findings</b>	The Technical Assurance Center and the Technical Department should consider ensuring measurability, for example, at the Technical Assurance Center: To ensure the exploitation, operation, maintenance and repair of systems, technical equipment must comply with the approved exploitation procedures, regulations and manuals.
<b>Category</b>	<b>OFI</b>
<b>NCR Response, NCR status and root cause of NCR and clients proposed actions</b>	Information to be completed by client within the eCMS

### Corrective Actions and Opportunities for Improvement Report

*A determination on actions to be taken to address the issues is to be completed*

<b>NCR Ref</b>	PT-OFI-003
<b>Auditor Notes</b>	
<b>Standard(s)</b>	ISO9001;
<b>Audit Criteria</b>	7.5 - Documented information
<b>Audit Findings</b>	<p>ATFM Center:</p> <ul style="list-style-type: none"> <li>- Departments have made a list of external documents according to BM-KSTL-03 but need to fully updated as required by the Decree No. 96/2021 ND-CP dated November 2, 2021 regarding controlling special flights, special compartments, Vietnam Civil Aviation Law No. 66/2006/QH11 dated June 29, 2006.</li> <li>- The Air Traffic Flow Coordination Center does not annually submit the application for granting, amending and canceling the civil flight permit to the Secretariat Department (Center Back Office) for permanent storage according to step 5 of the Air Traffic Flow Management Process QTQLL - PBAY/DPL issued for the 4th time on July 7, 2022.</li> </ul> <p>The list of quality management records BMQLL-KSHS-01 has not been established at the Technical Department</p> <p>The coding records/documents at the Center should be reviewed to comply with the requirements of the form BMQLL-KSHS-02 prescribed</p>
<b>Category</b>	<b>OFI</b>
<b>NCR Response, NCR status and root cause of NCR and clients proposed actions</b>	Information to be completed by client within the eCMS

### Corrective Actions and Opportunities for Improvement Report

*A determination on actions to be taken to address the issues is to be completed*

<b>NCR Ref</b>	PT-OFI-004
<b>Auditor Notes</b>	
<b>Standard(s)</b>	ISO9001;
<b>Audit Criteria</b>	7.1.3 - Infrastructure
<b>Audit Findings</b>	The equipment management list of the Electromechanical Team of the Technical Assurance Center should include the time for periodic maintenance and repair of equipment for management.
<b>Category</b>	OFI
<b>NCR Response, NCR status and root cause of NCR and clients proposed actions</b>	Information to be completed by client within the eCMS

### Corrective Actions and Opportunities for Improvement Report

*A determination on actions to be taken to address the issues is to be completed*

<b>NCR Ref</b>	PT-OFI-005
<b>Auditor Notes</b>	
<b>Standard(s)</b>	ISO9001;
<b>Audit Criteria</b>	8.2.1 - Communication with the customer
<b>Audit Findings</b>	Air Traffic Flow Coordination Center: flight permit/ unscheduled departure/ arrival flight plan reconciliation logbook of requires confirmation of the licensee, such as obtaining flight permits from flight licensing agencies - Ministry of Defense No. 207 on November 3, 2022
<b>Category</b>	<b>OFI</b>
<b>NCR Response, NCR status and root cause of NCR and clients proposed actions</b>	Information to be completed by client within the eCMS

### Corrective Actions and Opportunities for Improvement Report

*A determination on actions to be taken to address the issues is to be completed*

<b>NCR Ref</b>	PT-OFI-006
<b>Auditor Notes</b>	
<b>Standard(s)</b>	ISO9001;
<b>Audit Criteria</b>	8.5 - Production and service provision
<b>Audit Findings</b>	Flight Coordination and Air Traffic Flow Management Center: General logbook of incorrect/ misaligned, excess/ missing domestic and international flight information according to BMQLL-CSDLB/DPL-01 not yet certified by the reviewer, false information handlers, redundant information handlers.
<b>Category</b>	<b>OFI</b>
<b>NCR Response, NCR status and root cause of NCR and clients proposed actions</b>	Information to be completed by client within the eCMS

### Corrective Actions and Opportunities for Improvement Report

*A determination on actions to be taken to address the issues is to be completed*

<b>NCR Ref</b>	PT-OFI-007
<b>Auditor Notes</b>	
<b>Standard(s)</b>	ISO9001;
<b>Audit Criteria</b>	8.5.1 - Control of production and service provision
<b>Audit Findings</b>	<p>ATFM Operations Department:  Procedure for developing flight coordination in the field of flight coordination assurance issued according to Decision No. 839 dated August 17, 2021, stipulating the time of record keeping is not consistent with the requirements of Decision No. 5369/QD-QLB dated December 3, 2020 regarding regulations on records and archives of VATM</p> <p>The procedure for developing flight coordination in the field of flight coordination assurance QTQLL-VBHD/NVATFM issued the 3rd time according to Decision No. 839 dated August 17, 2021 has not yet been followed: making a report on coordination document planning within 3 days, Approval: 01 day, developing draft coordination document: 20 days, submission for comments: 10 days, finalizing: 5 days, ... however as per Report No. 1000/TTr-NVATFM dated October 11, 2022 up to now the draft coordination document has not been released.</p>
<b>Category</b>	<b>OFI</b>
<b>NCR Response, NCR status and root cause of NCR and clients proposed actions</b>	Information to be completed by client within the eCMS