

**ORDER**

3120.4G  
w/ chg. 1

**FAA ORDER 3120.4G w/ CHG 1**  
**Effective Dates: 02/01/87 -**

# **AIR TRAFFIC TRAINING**



June 1, 1986

**DEPARTMENT OF TRANSPORTATION**  
**FEDERAL AVIATION ADMINISTRATION**

Distribution: ZAT-312 (ALL)

Initiated By: ATR-100



**CHANGE**

U.S. DEPARTMENT OF TRANSPORTATION  
FEDERAL AVIATION ADMINISTRATION

3120.4G CHG 1

12/16/86

SUBJ: AIR TRAFFIC TRAINING

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1. PURPOSE. This change transmits revised pages for Order 3120.4G, Air Traffic Training.
2. EFFECTIVE DATE. This change is effective February 1, 1987.
3. EXPLANATION OF CHANGES. The significant changes are listed below. If more information is desired, contact ATR-100.
  - a. 400. THE TRAINING REQUIREMENT. Incorporates the provisions of Notice 3120.80, and corrects the reference in subparagraph b(4).
  - b. 421. TRAINING DEVELOPMENT. Incorporates the provisions of Notice 3120.80.
  - c. 422. REFRESHER TRAINING. Incorporates the provisions of Notice 3120.80.
  - d. 700. GENERAL (Technical Appraisal Program (TAP)--En Route.) Corrects the reference.
  - e. Appendix 1. INSTRUCTIONS FOR TRAINING AND PROFICIENCY RECORD (FAA FORM 3120-1) ENTRIES. Conveys instructions for recording training and certification entries in FAA Form 3120-1.
  - f. Appendix 2. EN ROUTE REFRESHER TRAINING. Establishes guidance for developing training requirements pertaining to automation shutdowns in en route facilities.
4. DISPOSITION OF TRANSMITTAL. Retain this transmittal until superseded by a new basic order.

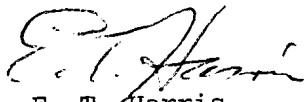
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## PAGE CONTROL CHART

DELETE PAGES DATED	INSERT PAGES DATED
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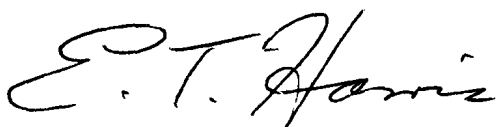
## AIR TRAFFIC TRAINING

3120.4G

### FOREWORD

The Federal Aviation Act of 1958 empowers the Administrator to provide the necessary facilities and personnel for the regulation and the protection of air traffic and for the training of employees to perform this function. This handbook contains

criteria for planning, conducting, and administering the training of Air Traffic personnel who operate the air traffic system based on the requirements necessary to maintain a proficient Air Traffic staff.



Edward T. Harris  
Director, Air Traffic Plans and  
Requirements Service



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# Chapter 1. GENERAL

## Section 1. INTRODUCTION

### 1. PURPOSE

This order conveys instructions, standards, and guidance for Air Traffic managers in the administration of Air Traffic training.

### 2. DISTRIBUTION

This order is distributed to selected offices in the Federal Aviation Administration (FAA) Headquarters, Regional Headquarters, FAA Technical Center, the Mike Monroney Aeronautical Center, all Air Traffic Field Offices, the FAA Academy, all International Aviation Field Offices, and interested members of the aviation public.

### 3. CANCELLATION

Air Traffic Training Handbook, FAA Order 3120.4F, and GENOT's 4/183, 3/95, 3/4, 2/92, and 2/77 are canceled. In addition, all waivers previously granted for deviation from Order 3120.4F are canceled upon the effective date of this order.

### 4. EXPLANATION OF CHANGES

This handbook has been extensively revised and reorganized based on field input to improve its utility. There are also several major policy changes as well as numerous editorial changes (EC). Because of this, each paragraph is listed and briefly discussed below.

- a. 1. PURPOSE — Adds instructions for dealing with conflict with other directives.
- b. 2. DISTRIBUTION — EC.
- c. 3. CANCELLATION — EC.
- d. 4. EXPLANATION OF CHANGES — Rewritten.
- e. 5. EFFECTIVE DATE — Date changed to 6/1/86.
- f. 6. AUTHORITY — Changed from "criteria" (rescinded). Rewritten to describe role of the Secretary of Transportation.
- g. 7. RESPONSIBILITY AND DELEGATION OF AUTHORITY — Describes National Air Traffic responsibility and authority in training.

### h. 8. DEFINITIONS AND WORD USAGE —

(1) Consolidates definitions from other paragraphs.

(2) Adds definitions for Computer-Based Instruction, Operational Position Standards, Training Administrator, Air Traffic, Instructional Program Guide, and Tape Talk Program.

(3) Deletes definitions for Government and non-Government out-of-agency training.

i. 120. POLICY — Old paragraphs 58-59. No change.

j. 130. RAPCON OR RATCF TRAINING — Old paragraph 65. No change.

k. 200. IDENTIFICATION OF TRAINING REQUIREMENTS — Incorporates parts of old paragraphs 16 and 30 to clarify national responsibilities.

l. 220. NATIONAL SUPPORT — Adds new policies.

m. 221. REGIONAL SUPPORT — Old paragraph 25b, EC.

n. 222. FAA ACADEMY SUPPORT — Old paragraphs 40-42 with EC's.

o. 230. ADMINISTRATION — New. Requires full use of training resources.

p. 231. TRAINING COURSE POLICY — New. Refers to FAA Order 3000.6 for guidance.

q. 232. INSTRUCTIONAL PROGRAM GUIDE — New. Describes role of the IPG.

r. 233. TRAINING EVALUATION — Old paragraph 30. Rewritten, EC.

s. 300. GENERAL — Old paragraph 75. Rewritten to describe general supervisory responsibilities.

t. 301. AIR TRAFFIC MANAGER — Old paragraph 78. Rewritten. Adds new responsibilities.

u. 302. TRAINING ADMINISTRATOR — Old paragraph 77. Rewritten. Adds new responsibilities.

v. 303. FACILITY TRAINING STAFF — New. Establishes staff responsibilities.

w. 304. AREA MANAGER — Old paragraph 79. Adds new responsibilities.

**x.** 305. AREA SUPERVISOR — Old paragraph 78. Adds new responsibilities.

**y.** 306. OJT INSTRUCTOR — New. Describes teaching role of the OJT instructor.

**z.** 307. DEVELOPMENTAL SPECIALIST — New. Describes learning role of developmentals.

**aa.** 400. THE TRAINING REQUIREMENT — Old paragraph 100. Rewritten to incorporate provisions of FAA Notice 3120.72.

**bb.** 420. THE TRAINING REQUIREMENT — Old paragraph 115. Rewritten; rescinds 40 hours proficiency requirement, and replaces with locally developed proficiency training programs.

**cc.** 421. TRAINING DEVELOPMENT — Old paragraph 116. Rewritten to describe training development methods.

**dd.** 422. REFRESHER TRAINING — Old paragraph 117. Rewritten; rescinds 16 hours requirement, and conveys new required subject matter areas.

**ee.** 423. SUPPLEMENTAL TRAINING — Old paragraph 118. Rewritten for simplification.

**ff.** 424. REMEDIAL TRAINING — Old paragraph 119. Rewritten for simplification.

**gg.** 500. POLICY — Old paragraph 140. Rewritten to incorporate FAA Notice 3120.75.

501. APPLICATION — (See paragraph 500)

502. REQUIREMENTS — (See paragraph 500)

503. DIFFERENTIALS — (See paragraph 500)

**hh.** 600. GENERAL — Old paragraph 150. Rewritten. Provides instruction for entries in training records.

**ii.** 601. REQUIREMENTS — Old paragraph 151. Rewritten. Adds provisions for personnel who have not been certified for more than 1 year.

**jj.** 700. GENERAL — Old paragraph 125. No change.

**kk.** 720. OVER-THE-SHOULDER PERFORMANCE EVALUATION — Old paragraph 135. No change. Old paragraph 136, deleted.

**ll.** 800-1299. — New Chapters 8-12 added, reserved.

**mm.** 1300. POLICY — Old paragraph 160. Rewritten for clarity.

**nn.** 1301. RESPONSIBILITIES — Old paragraph 160a. Rewritten for clarity. Adds Academy instructions.

**oo.** 1320. TRAINING RECORDS AND REPORTS — Old paragraph 160b. Rewritten for clarity.

**pp.** 1321. RECORDING TRAINING — Old paragraph 162. Rewritten for clarity.

**qq.** 1322. DISPOSITION OF RECORDS AND REPORTS — New. Describes procedures for records and reports disposition.

**rr.** 1323. FORMS AVAILABILITY — Old paragraph 163. No change.

**ss.** Appendix 1. INSTRUCTIONS FOR COMPLETING FAA FORM 3120-1 — New. Reserved.

**tt.** Appendix 2. REFRESHER TRAINING — Reserved; being rewritten.

**uu.** Appendices 3 and 4. — Old Appendices 1 and 2. No change.

## 5. EFFECTIVE DATE

This order is effective June 1, 1986.

## 6. AUTHORITY

The Federal Aviation Act of 1958, as amended by the Department of Transportation Act of 1967, authorizes the Secretary of Transportation to provide necessary facilities and personnel for the protection and regulation of air traffic. The Secretary of Transportation is further authorized and directed to prescribe air traffic rules and regulations governing the flight of aircraft, for the navigation, protection, and identification of aircraft, for the protection of persons and property on the ground, and for the efficient utilization of the navigable airspace including rules as to safe altitudes of flight and rules for the prevention of collision between aircraft, between aircraft and land or water vehicles, and between aircraft and airborne objects. Also, the Secretary of Transportation is empowered to conduct a school or schools for the purpose of training employees in those subjects necessary for the proper performance of all authorized functions of the Federal Aviation Administration.

## 7. RESPONSIBILITY AND DELEGATION OF AUTHORITY

As directed by the Associate Administrator for Air Traffic (AAT-1), the Director of the Air Traffic Plans and Requirements Service (ATR-1) is responsible for Air Traffic training. By order of the Director, all persons involved in Air Traffic training shall comply with this order. The Manager, System Plans and Programs Division (ATR-100), is delegated authority in all matters related to the training programs and policies described in this order. Supplemental changes and requests for waivers to programs and policies transmitted by this order must receive prior approval, through written requests to ATR-100. If a conflict arises

between the contents of this order and other FAA issuances, managers shall request clarification from ATR-100 through their Air Traffic division. The FAA Academy should request any needed clarification from ATR-100.

## 8. WORD USAGE AND DEFINITIONS

### a. Word Usage.

(1) *Shall* is used when an application of a procedure is mandatory.

(2) *Shall not* means prohibited.

(3) *Should* means recommended.

(4) *May* means permitted.

(5) *Will* is used only to indicate futurity and is never to be used to indicate a requirement.

### b. Definitions

(1) *Air Traffic*. This term refers to the Headquarters Air Traffic organization.

(2) *Centralized Training*. Agency training conducted at a location other than the participant's regularly assigned facility; i.e., FAA Academy, Management Training School, etc.

(3) *Classroom Training*. Instructional presentations or programmed self-study units administered away from operating positions.

(4) *Computer-Based Instruction (CBI)*. An instructional delivery method using interactive computer technology. (See FAA Order 3020.1.)

(5) *Cooperative Education Training Program*. A work/study program which provides students with training and work experiences in conjunction with related study at a university or college which prepares them for entry into developmental training. (See Chapter 9.)

(6) *Correspondence Study*. A program conducted primarily by self-paced lesson plans. It is designed to complement other agency training programs; e.g., advanced training on new systems, refresher training, and supplementary instructions for on-the-job training programs. It is also used as an integral part of individual career progression plans. (FAA Order 3110.2.)

(7) *Currency*. Meeting the prescribed minimum time requirements which are prerequisite to maintaining proficiency. (See Chapter 5.)

(8) *Facility Training*. Training conducted at the employee's regularly assigned duty location.

(9) *Instructional Program Guide (IPG)*. A document which outlines required course content for certain National Air Traffic Training Programs. (See Chapter 2, Paragraph 232.)

(10) *Laboratory Training*. Training conducted by use of job simulation techniques; i.e., nonradar, DYSIM/ETG.

(11) *On-the-Job Training (OJT)*. Training conducted at a worksite by the supervisor or designee (certified OJT instructor) providing direct experience in the work environment in which the employee will be performing.

(12) *Operational Position Standards*. The uniform method of position operation which requires standardization of instruction, certification, performance, and evaluation.

(13) *Out-of-Agency Training (OAT)*. Training which is conducted, contracted for, or otherwise obtained from sources other than the FAA for agency or agency-controlled personnel. (See FAA Order 3000.6.)

(14) *Predevelopmental Training Program*. A training program which is designed to prepare predevelopmental specialists to enter developmental training. (See Chapter 9.)

(15) *Proficiency*. Knowing, understanding, and applying air traffic procedures in a safe, orderly, and expeditious manner.

(16) *Proficiency Training*. Proficiency training is a combination of refresher, supplemental, and remedial training conducted to maintain and update the knowledge and skills necessary to apply air traffic procedures in a safe, orderly, and expeditious manner.

(17) *Qualification Training*. Training conducted for the purpose of developing the knowledge and skills required to qualify specialists for certification on positions of operation within an air traffic facility. (See Chapter 8.)

(18) *Self-Study*. A training situation wherein the study/learning is accomplished by the individual.

(19) *Tape Talk Program*. Refresher training utilizing tape recorders/voice-activated equipment for recording controllers in live traffic situations to improve performance.

(20) *Training Administrator*. The individual authorized by FAA Orders 1100.123/126/146 or designated (in writing) by the facility Air Traffic manager who serves as the facility training man-

ager. This could be the assistant manager for training, training specialist, area supervisor, full performance level controller, or other specialist.

9-119. RESERVED

## **Section 2. TRAINING OF NON-FAA PERSONNEL**

### **120. POLICY**

Orientation or familiarization training may be provided at facilities to persons not employed by the agency, provided agency budgetary requirements are met. The scope of such training will be based upon the requirements of individuals or groups requesting this training, consistent with

the workload and security restrictions which may exist. Training of non-FAA personnel will be provided in accordance with agency agreements or memoranda of understanding. (See FAA Order 3000.6.)

### **121-129. RESERVED**

### Section 3. TRAINING AT FAA/DOD FACILITIES

#### 130. RAPCON OR RATCF TRAINING

It is of national interest that military radar controllers have diversified radar training in order to become more fully qualified for further assignments. Military personnel assigned to jointly staffed RAPCON or RATCF facilities are to be provided training on the radar control positions under FAA supervision.

a. To participate in radar control training, military personnel must possess an appropriate certificate (AC Form 8060-1, FAA Form 7220-1, or AC Form 8080-2). Participants are expected to qualify

in the same manner as FAA personnel. To remain current and proficient, military personnel must meet FAA requirements.

b. Such training shall be documented in the Training and Proficiency Record, FAA Form 3120-1. All military participants who have successfully completed the training program shall receive appropriate FAA certificates and ratings and are qualified to be assigned to control positions under general supervision.

**131-199. RESERVED**



## **Chapter 2. ADMINISTRATION OF TRAINING REQUIREMENTS**

### **Section 1. NATIONAL TRAINING REQUIREMENTS**

#### **200. IDENTIFICATION OF TRAINING REQUIREMENTS**

a. The Office of Personnel and Technical Training, Air Traffic, regional offices, and field facilities with the support of the FAA Academy are responsible for a continuing review of air traffic control specialist job functions and training requirements. Noted changes in specialist job functions shall be forwarded to Air Traffic.

b. The identification of National Air Traffic Training requirements is the responsibility of the Office of Personnel and Technical Training, Air Traffic, regional offices, and field facilities with the support of the FAA Academy. It is recognized that national requirements represent a common need; therefore, it is important to provide a means to identify, document, and communicate such requirements for consideration nationally.

c. The following steps shall be followed in the establishment of requirements for new Air Traffic training programs, courses, materials, equipment, etc., or modification of any of these to meet identified training requirements:

(1) Air Traffic personnel shall give continuing consideration to the identification of new training requirements as described above. Any requirement

thus identified shall be transmitted in the form of a training proposal through established administrative channels to Air Traffic. The Training Handbook, FAA Order 3000.6, prescribes the appropriate format and requirements for development of training proposals.

(2) Regional Air Traffic divisions shall review the proposal and make appropriate recommendations.

(3) Air Traffic shall review training proposals in light of possible National Air Traffic Training application. If necessary, Air Traffic may request through the Office of Personnel and Technical Training that the FAA Academy Air Traffic Branch (AAC-930) provide staff assistance.

(4) Air Traffic in conjunction with the Office of Personnel and Technical Training shall take appropriate action to establish training programs designed to satisfy identified requirements.

d. Any changes to equipment and/or procedures shall require training of the personnel who will be using the equipment/procedures. Such training shall be completed prior to utilization of any change to equipment and/or procedures.

**201-219. RESERVED**

## Section 2. TRAINING SUPPORT

### 220. NATIONAL SUPPORT

The Manager, System Plans and Programs Division (ATR-100), shall obtain support from the Office of Personnel and Technical Training for the pertinent features of training as required. These features specify parts of the planning, conduct, and administration of Air Traffic training and include the development, production, and distribution of training proficiency criteria and written examination materials.

a. The Office of Personnel and Technical Training provides support for Air Traffic training through:

- (1) FAA Headquarters,
- (2) FAA Management Training School,
- (3) FAA Executive School,
- (4) FAA Academy, or
- (5) Any school or institution working under contract with the Office of Personnel and Technical Training.

b. If training support is not available through the sources listed above, ATR-100 may coordinate to obtain support through:

- (1) An Air Traffic facility,
- (2) Regional offices,
- (3) FAA Headquarters, or
- (4) Any school or institution working under contract with Air Traffic.

### 221. REGIONAL SUPPORT

Regions shall administer training programs to meet operational requirements and facilitate normal career progression of Air Traffic personnel consistent with the national training program. Air Traffic division managers are responsible for implementation and evaluation of the Air Traffic training program in their respective regions.

### 222. FAA ACADEMY SUPPORT

a. National Program. The FAA Academy Air Traffic Branch (AAC-930) supports the administration of National Air Traffic Training Programs by performing the following functions:

- (1) Developing course control documents.
- (2) Developing and conducting courses of instruction to meet operational needs identified by Air Traffic.
- (3) Providing professional advice and assistance to aid field facilities in planning, developing, and standardizing Air Traffic training programs

and courses as well as developing objectives and schedules related to Air Traffic training.

(4) Developing methods for evaluation of personnel performance and progress in Air Traffic training programs.

(5) Developing and updating standardized training procedures and materials for Air Traffic facility training programs.

(6) Recommending prerequisites for admission to Air Traffic training courses.

(7) Assisting in the evaluation of ongoing training programs as required.

b. Field Training Program Support. The Academy Air Traffic Branch (AAC-930) provides the following support, as jointly approved by Air Traffic and the Office of Personnel and Technical Training:

(1) Developmental Training.

(a) Developing and distributing IPG's and instructional materials (lesson plans, visual aids, handouts, etc.) for each option of the National Air Traffic Training Program.

(b) Developing and distributing written examinations.

(c) Developing and distributing training manuals to support National Air Traffic Training Programs. These may be in any of three forms, as follows, and may be distributed in either hardcopy or CBI format.

(i) Reference Manuals providing information designed to broaden concepts of a subject and make required information taught in formal training courses easier to understand.

(ii) Correspondence study manuals providing training or information which can be learned on a self-study basis.

(iii) Programmed learning manuals providing more detailed training than correspondence study on subject matter for which it is impractical to provide formal classroom instruction.

(2) Proficiency Training.

(a) Developing and distributing self-study materials which may be in any of three forms described in b(1)(c) above or in other forms, such as refresher units, designed to meet the specific objectives.

(b) Developing and distributing instructional materials in special training projects to satisfy immediate Air Traffic requirements.

(c) Administering special prototype programs in selected Air Traffic facilities.

(d) Developing and distributing the appraisal instruments used in the field-conducted phases of the National Air Traffic Training Program.

(3) Review Function. As requested, reviewing reports and records, onsite visits, reviewing the training accomplished at Air Traffic facilities, and providing Air Traffic with appropriate reports describing the adequacy and effectiveness in meeting Air Traffic training requirements. These reports should include recommendations to improve the training programs.

c. Control Tower Operator Certification. The Academy Air Traffic Branch (AAC-930) prepares the Control Tower Operator (CTO) examination under the direction of Air Traffic and administers the certification program in cooperation with the Aeronautical Center Airman Certification Branch. (FAA Order 7220.1.)

d. Tower Visibility Observation Certification. The Meteorological Coordinator and Training Consultant (AAC-909) administers the tower visibility

observation certification program for all FAA and FAA-contract tower employees and maintains accountability for each certificate issued.

e. Radar ATC Qualification Examination. This examination shall be administered in accordance with the appropriate IPG. Specialists who do not attend academy training shall be administered an academy-prepared examination during initial radar training.

f. En Route Flight Advisory Service (EFAS) Recertification Examination. The Air Traffic Branch (AAC-930) prepares and administers the EFAS recertification examination for flight service specialists in the field. (FAA Order 7110.51D.)

g. Radar Remote Weather Display System (RRWDS) Certification Examination. The Air Traffic Branch (AAC-930) prepares and distributes to regional Training Program Management Officers a RRWDS certification examination to be administered to flight service specialists in the field.

**223-229. RESERVED**

### **Section 3. TRAINING PROGRAM CONDUCT**

#### **230. ADMINISTRATION**

Training programs shall be planned so that available training resources are fully utilized.

#### **231. TRAINING COURSE POLICY**

All training courses for national, regional, or facility use must be developed and administered in conformance with the guidance contained in FAA Order 3000.6, Training, as well as specific directives associated with the various training programs.

#### **232. INSTRUCTIONAL PROGRAM GUIDES (IPG)**

These guides, which govern the predevelopmental, the Cooperative Education, and the three qualification training programs, assure a standardized training program. The IPG for each program transmits National Air Traffic Training requirements. They are developed by the Office of Person-

nel and Technical Training and the FAA Academy. These documents establish an orderly course structure and provide guidance in administering the respective training programs at the Academy and in the field facilities. All personnel involved in the development or administration of Air Traffic training programs are required to maintain a comprehensive working knowledge of these documents. Additional IPG's may be developed for current or new training programs as required.

#### **233. TRAINING EVALUATION**

Air Traffic and the Office of Personnel and Technical Training are responsible for program guidance, operational effectiveness, and evaluation of Air Traffic training. Guidelines, procedures, and standards for evaluation are contained in FAA Orders 3000.6 and 7010.1

#### **234-299. RESERVED**

## Chapter 3. TRAINING RESPONSIBILITIES

### Section 1. FACILITIES

#### 300. GENERAL

The development and administration of Air Traffic training at the facility level is the responsibility of facility personnel as outlined in this section. The training curricula shall conform to the IPG or appropriate national and regional directives and policy statements. All personnel involved in Air Traffic training shall maintain a comprehensive working knowledge of the procedures and guidelines outlined in this order, the appropriate IPG, and the applicable national, regional, and local training directives.

#### 301. AIR TRAFFIC MANAGER

The Air Traffic manager shall ensure that:

a. A training program is established and conducted in accordance with appropriate directives and IPG's.

b. Training is organized, supervised, and administered. Such training shall be described in a facility training directive.

c. Training is conducted only when a training requirement exists to meet planned agency needs.

d. Where authorized, an assistant manager for training is selected and assigned.

e. Where not authorized, an individual is designated (in writing) to serve as the focal point for training. However, the Air Traffic manager retains responsibility.

f. Employees entering qualification training receive adequate facility orientation, are thoroughly briefed on training requirements prior to entering training, and are aware of their responsibilities as listed in paragraph 307 of this order.

g. Required OJT progress reports are executed, reviewed, and acted upon in accordance with FAA policies described in this order, the appropriate IPG, and FAA Order 3330.30. This includes making determinations regarding continuation or termination of training for individuals.

h. National Air Traffic Training Tracking Reports are submitted as required. (FAA Order 3120.22.)

i. Training and Proficiency Records (FAA Form 3120-1) are maintained in an accurate and timely manner. (See Appendix 1.)

j. Resource requirements necessary to conduct the facility training program are submitted to the regional Air Traffic division manager.

#### 302. TRAINING ADMINISTRATOR

The training administrator shall:

a. Develop and maintain a staff of training specialists.

(1) Retention of specialists for training positions shall be contingent upon successful completion of an instructor course approved by Air Traffic and the Office of Personnel and Technical Training. Personnel who have served as academy instructors are excluded from this requirement.

(2) When more than one specialist is assigned, not more than 50 percent of these specialists should be assigned on a permanent basis. Temporary assignments to training staff positions should be of a time period sufficient to permit personnel to adapt to the instructional situation, actively participate in the facility training program, and if warranted, gain career progression experience.

b. Plan, direct, and manage all facility training programs.

c. Manage, conduct, and evaluate classroom training.

d. Arrange for the development of local course materials, visual aids, and control problems to supplement nationally distributed materials.

e. Arrange for the evaluation of training progress of all facility personnel.

f. Maintain training records in accordance with Chapter 13 and Appendix 1 of this order.

g. Maintain close communication with supervisors and OJT instructors regarding qualification and full performance level controller training.

#### 303. FACILITY TRAINING STAFF

The training staff shall:

a. Organize and conduct classroom training.

b. Prepare and maintain training reference materials, tests, special briefings, and lesson plans as required to satisfy facility training requirements.

c. Provide qualification training materials for developmental specialists and Air Traffic Assistants upon entry into training.

d. Develop, validate, administer, and evaluate lab problems as appropriate.

e. Develop and conduct proficiency training as appropriate.

f. Evaluate training progress of specialists, and assist in the evaluation of OJT instructors.

### 304. AREA MANAGER

The area manager shall:

a. Maintain close communication with the training administrator and subordinate supervisors regarding developmental and full performance level controller training.

b. Review written training progress reports.

c. Ensure that area supervisors complete the actions listed in paragraph 305.

### 305. AREA SUPERVISOR

The area supervisors shall:

a. Direct the training effort of employees under their supervision. As a minimum, a monthly written OJT progress report shall be executed and discussed with all developmentals under their supervision as to their strengths and weaknesses. Included in this shall be specific training required to overcome identified weaknesses.

b. Assign and monitor on-the-job training activities.

c. Identify, recommend, coordinate, and schedule proficiency training.

d. Perform position certification, OJT instructor certification and evaluation, and ensure that specialists meet all requirements. This shall be accomplished through personal observation of the employee's performance by the first-level supervisor. This also includes making the certification signature entry in the employee's Training and Proficiency Record, FAA Form 3120-1, Section III.

e. Counsel subordinates concerning performance requirements on positions of operation, and certify their ability to operate those positions independently.

f. Ensure that the OJT instructor is given time to prepare the OJT training report and provide performance feedback to the student. To accomplish this, allow the OJT instructor and student at

least a 15 minute session together on the date the training occurs.

g. Determine satisfactory/unsatisfactory progress in OJT training, and take appropriate action.

h. Ensure that traffic situations during the sector/position qualification evaluation are representative of the workload condition normally encountered at the sector/position.

i. Ensure that all qualification training time logged on the position is included in the total number of hours recorded on the OJT progress report.

### 306. OJT INSTRUCTOR

The primary responsibility of the OJT instructor is to provide training in a manner that will prepare the specialist to successfully complete the training program. Emphasis should be placed on teaching the specialist everything required for position certification. Evaluations and determinations regarding continuation of training are the responsibility of management, not the OJT instructor. OJT instructors shall:

a. Provide position OJT in accordance with the course content described in the appropriate IPG and national, regional, and facility training directives.

b. Be familiar with the training developmentals receive prior to entering OJT.

c. Use the appropriate methods (lecture/discussions, demonstration/performance) in providing OJT.

d. Provide feedback on performance to the developmental which identifies strengths and prescribes specific remedies to improve performance.

e. On the date the training occurs, complete separate training forms for each position worked during OJT sessions in accordance with instructions contained in the appropriate IPG. This includes discussion of the forms with the developmental.

f. Perform no other duties while conducting OJT.

g. Provide OJT to only one developmental at a time.

h. Be certified as prescribed in paragraph 400 of this order.

i. Maintain close communication with the first-level supervisor regarding developmental progress/problem areas.

j. Ensure that documentation is properly completed.

**307. DEVELOPMENTAL SPECIALIST**

The developmental specialist must exhibit a sincere desire to learn and be receptive to constructive criticism. In addition, developmentals shall:

- a. Review training objective.
- b. Make efforts to complete training requirements as soon as possible.
- c. Engage in OJT on positions of operation only when under the direct supervision of a qualified instructor.
- d. Review, discuss, and sign OJT training reports when completed. (The developmental's signature

does not necessarily imply agreement with the report.)

- e. Take full advantage of every opportunity for OJT and self-study periods.
- f. Engage in OJT only when formally assigned to that phase of training.
- g. Advise their instructor/supervisor immediately of any extenuating circumstance(s) which might impact training progress.

**308-399. RESERVED**





## Chapter 4. FACILITY TRAINING — GENERAL

### Section 1. QUALIFICATION TRAINING

#### 400. THE TRAINING REQUIREMENT

##### a. Air Traffic Control Specialists.

(1) Each air traffic control specialist shall complete the qualification training assigned and be certified to perform associated operational duties within the time specifications as outlined in the IPG. Hours specified in the IPG may be reduced by the Air Traffic manager by the facility training directive.

(2) Instruction shall be provided consistent with the types of air traffic services provided by the facility.

(3) To the extent possible, traffic situations encountered should become progressively more complex.

(4) Development training/qualification requirements for promotion are the duties and responsibilities contained in the position descriptions for the next higher grade. (See Appendices 3 and 4.)

(5) During the training process, individuals will have been exposed, through actual or simulated conditions, to situations which could be encountered after attaining full performance level status including heavy traffic conditions. It is not, however, a requirement that such situations be encountered during the position qualification evaluation.

(6) Failure of a specialist to pass all training requirements for position certification may be the

basis for separation from the ATCS occupation. (FAA Order 3330.30.)

##### b. On-the-Job Training Instructors shall:

(1) Be certified and current on the position/sector on which training is being conducted.

(2) Have accumulated at least 30 working hours following certification on the position/sector on which OJT is to be given.

(3) Have completed OJT Techniques for ATCS (Course 05561). Up to until 1 year following the effective date of this change, any previously approved OJT course satisfies this requirement.

(4) Be certified by a supervisor to perform OJT based on observation of the specialist's performance on the position of operation. Initial certification for each position shall be noted in Section III of the employee's Training and Proficiency Record (FAA Form 3120-1).

(5) Be evaluated by the first-level supervisor or training staff member within 30 days of assignment and every 6 months thereafter in performance of OJT instructor duties. Standards for this evaluation are listed under paragraph 306, OJT Instructor. The evaluation shall be documented in Section VI of the employee's Training and Proficiency Record (FAA Form 3120-1).

**401-419. RESERVED**

## Section 2. PROFICIENCY TRAINING

### 420. THE TRAINING REQUIREMENT

Proficiency training is required for operational personnel to maintain and upgrade the knowledge and skills necessary to apply air traffic procedures in a safe, orderly, and expeditious manner. Each facility shall establish in writing an annual proficiency training program for all developmentals qualified on one or more positions, qualified ATA's, full performance level controllers, and first-level supervisors. In addition, proficiency training shall include all mandatory briefing items distributed by headquarters/regional offices/facilities. The purpose of this requirement is to ensure that appropriate proficiency training is available to those who need to improve knowledge/skill levels. The written program shall be available for review by Air Traffic and other appropriate FAA personnel.

**Note.**—It is emphasized that proficiency training needs will differ from facility to facility and, therefore, should be tailored to meet identified requirements.

### 421. TRAINING DEVELOPMENT

The development of proficiency training shall be based on, but not limited to, the following types of performance measurements:

- a. Over-the-shoulder evaluations.
- b. Written/CBI tests.
- c. Annual performance rating.
- d. Observed performance.

### 422. REFRESHER TRAINING

Each facility shall develop and administer an annual refresher training program. Supervisors shall stress that the training described in this paragraph is for proficiency improvement, not performance evaluation.

a. This program shall include, but is not limited to, training on the following topics:

- (1) Unusual situations, such as weather affecting flight, aircraft equipment failure, hijacking, and other types of emergencies.
- (2) Seldom used procedures, such as transitioning to and applying nonradar separation, and procedures for special flight handling.
- (3) Traffic and safety advisories.
- (4) Areas identified as needing reinforcement.

b. Those facilities with simulation training capability; i.e., ETG, DYSIM, shall include at least 2 hours simulator training on the topics identified in paragraph 422a.

c. First-level supervisors shall:

(1) Use tape recorders/voice-activated equipment to review tapes and select samples for the tape talk program.

(2) Arrange for the equipment and the time for the controllers to accomplish the tape talks.

(3) Conduct the tape talk program every 6 months for all controllers who are certified on one or more positions of operation.

(4) Stress that the tape talk is for proficiency training, not for performance evaluation.

(5) Ensure that tape talk sessions are logged in Section V of FAA Form 3120-1 as refresher training.

d. Specialists and their first-level supervisors shall receive training quarterly in lost aircraft orientation.

e. Terminal personnel required to maintain radar proficiency shall receive training every 6 months on techniques of transitioning to and applying nonradar procedures. This training should be based on facility contingency plans dealing with loss of radar.

f. All certified tower visibility observers shall receive, at least annually, refresher training in tower visibility procedures. Record in FAA Form 3120-1.

g. En route personnel required to maintain radar proficiency shall receive the following refresher training every 6 months.

(1) Satisfactory demonstration of the steps in transitioning from RDP/EARTS to the primary backup system and vice versa.

(2) Review control procedures associated with operation in the primary backup mode; i.e., letters of agreement, handoffs, beacon code assignment, facility directives, and transition checklists.

### 423. SUPPLEMENTAL TRAINING

Supplemental training is conducted when changes occur pertaining to new/revised procedures, regulations, or equipment. Operational personnel shall complete training prior to the utilization of such equipment.

### 424. REMEDIAL TRAINING

Remedial training is conducted to correct specific operational deficiencies. Emphasis shall be on the positive aspects of the training. When an employee is to be given remedial training, notification shall be in writing regarding subject areas to

be covered and the reasons therefore. Remedial training shall be confined to those subject areas. The methods and contents will be tailored to individual requirements and may vary from laborato-

ry problems to personalized instruction. Supervisors shall determine the method that will be most effective.

**425-499. RESERVED**



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## **Chapter 5. FAMILIARIZATION/CURRENCY REQUIREMENT**

### **Section 1. TERMINAL/EN ROUTE/FLIGHT SERVICE STATION**

#### **500. POLICY**

It shall be the responsibility of the employees identified in paragraph 501 to adhere to the requirements of this section. It is emphasized that currency does not necessarily imply proficiency. Proficiency is determined through the various performance evaluation methods.

#### **501. APPLICATION**

a. Facility managers, assistant managers, area managers, and staff specialists, who as a condition of employment are not required to maintain currency, shall maintain familiarity with operating positions to perform their required duties in an efficient manner.

b. First-level supervisors (including facility managers who also serve as first-level supervisors), traffic management coordinators, ATCS's, developmental specialists, and air traffic assistants are required to maintain currency in order to perform their duties.

#### **502. REQUIREMENTS**

a. Familiarization. As a minimum, nonoperational personnel (see paragraph 501a) shall observe

control room operations within their facility for 2 hours each week.

b. Currency. To maintain currency, personnel shall rotate through all positions on which they are certified each calendar month. Additionally, they shall meet the following minimum time requirements on control positions or operational positions, as appropriate, each calendar month:

(1) Radar cab: 8 hours cab and 8 hours radar. If certified in only one area of operation (cab or radar), a total of 16 hours.

(2) All other facilities: 16 hours.

(3) ASR approach (where published): three each calendar quarter, one of which must be no gyro. Radar simulation may be used to satisfy these requirements.

#### **503. DIFFERENTIAL**

To qualify for currency differential as outlined in the Air Traffic Control Revitalization Act, personnel shall be certified and maintain currency on at least two positions excluding clearance delivery and flight data positions.

#### **504-599. RESERVED**



## Chapter 6. RECERTIFICATION

### Section 1. TERMINAL/EN ROUTE/FLIGHT SERVICE STATION

#### 600. GENERAL

Personnel who fail to meet the currency requirements prescribed in Chapter 5, Section 1, and those restricted from working an operational position shall be recertified prior to the resumption of operational duties. (FAA Order 7210.3.) Removal from an operational position, any subsequent training, and recertification shall be recorded in the employee's Training and Proficiency Record (FAA Form 3120-1) as described in Appendix 1. Recertification is required under two circumstances.

**a. Nonoperational:** This circumstance involves loss of currency as a result of a nonoperational absence; i.e., detail, temporary duty assignment, collateral duty, etc. Any training conducted shall be entered in Section III of FAA Form 3120-1.

**b. Operational:** This circumstance results from unsatisfactory performance observed by the supervisor during routine daily observations or as a part of the over-the-shoulder process or when it is determined that a controller is found to have contributed to an operational deviation/error. Concise data relating to the performance review or the deviation/error and subsequent recertification shall be entered in Section VI of FAA Form 3120-1. Any associated training administered prior to recertification shall be entered in Section V as remedial training. (See FAA Order 7210.3, paragraph 548.)

#### 601. REQUIREMENTS

Prior to recertification, personnel shall be administered all required proficiency training in accordance with Chapter 4, Section 2 of this order. The percentages described below are of the facility's authorized training hours or the maximum number of training hours described in the IPG whichever is less. If removal from an operational

position is a result of performance review, remedial training is required.

**a.** First-level supervisors shall ensure that all prerequisites have been met prior to performing the recertification.

**b.** Recertification may be accomplished by individual position or a single action covering multiple positions at the discretion of the Air Traffic manager.

**c.** Personnel who have not worked an operational position for 120 days or less may at the discretion of the Air Traffic manager or the assistant manager for training be recertified and returned to operational duties without additional training; they may receive classroom/laboratory/OJT not to exceed 25 percent of the qualification training hours prescribed prior to recertification evaluation.

**d.** Personnel who have not worked an operational position for more than 120 days but less than 1 year shall receive classroom/laboratory/OJT not to exceed 50 percent of the qualification training hours prescribed prior to the recertification evaluation.

**e.** Personnel who have not worked in an operational position for 1 year or more shall receive classroom/laboratory/OJT not to exceed 100 percent of the qualification training hours prescribed prior to recertification evaluation.

**f.** To be recertified a person must demonstrate, under direct supervision, the ability to satisfactorily perform relevant operational duties during normal workload conditions.

**g.** If recertification is not achieved, the Air Traffic manager shall initiate action in accordance with FAA Order 3330.30 or other appropriate agency directives.

#### 602-699. RESERVED





## **Chapter 7. APPRAISAL PROGRAM**

### **Section 1. TECHNICAL APPRAISAL PROGRAM (TAP) — EN ROUTE/TERMINAL**

#### **700. GENERAL**

The TAP is an appraisal instrument to determine the proficiency of those who are current on one or more positions of operation. Each en route

and terminal facility shall comply with TAP administration as described in FAA Order 3430.4. |

#### **701-719. RESERVED**

## **Section 2. TECHNICAL PERFORMANCE APPRAISAL PROGRAM (TPAP) — FSS**

### **720. OVER-THE-SHOULDER PERFORMANCE EVALUATION**

The over-the-shoulder performance evaluation is a means of determining if the specialist/first-level supervisor (excluding facility managers) is capable of performing the required job functions as outlined in the National FSS Training Program.

a. The over-the-shoulder performance evaluation shall be administered at least every 6 months.

b. The performance evaluation shall be administered at an operational position under moderate or greater traffic conditions. The period covered by

the evaluation shall be of such duration as to provide a reliable sample of performance. Only his/her immediate supervisor shall determine whether a specialist/first-level supervisor successfully completes the semiannual over-the-shoulder proficiency check.

c. The performance evaluation process is outlined in the IPG.

d. Evaluation items having local application may be developed by the facility.

**721-799. RESERVED**

## **Chapter 8. NATIONAL DEVELOPMENTAL AIR TRAFFIC TRAINING PROGRAMS**

### **Section 1. EN ROUTE (FAA Order 3120.18)**

**800-819. RESERVED**

**Section 2. TERMINAL (FAA Order 3120.18)**

**820-829. RESERVED**

**Section 3. FLIGHT SERVICE STATION (FAA Order 3120.15)**

**830-899. RESERVED**



## **Chapter 9. SPECIAL EMPHASIS PROGRAMS**

### **Section 1. PREDEVELOPMENTAL PROGRAM (FAA Order 3120.17)**

**900-919. RESERVED**

**Section 2. COOPERATIVE EDUCATION PROGRAM (FAA Order 3120.13)**

**920-999. RESERVED**



## **Chapter 10. SUPERVISORY/STAFF TRAINING**

**(FAA Order 3110.14, FAA Course Catalog)**

**1000-1099. RESERVED**



## **Chapter 11. SELF-DEVELOPMENT TRAINING**

**(FAA Orders 3110.2 and 3110.15, FAA Course Catalog)**

**1100-1199. RESERVED**



## **Chapter 12. COMPUTER-BASED INSTRUCTION**

**(FAA Order 3020.1)**

**1200-1299. RESERVED**



## Chapter 13. TRAINING AND PROFICIENCY RECORDS AND REPORTS

### Section 1. FAA FORM 3120-1, TRAINING AND PROFICIENCY RECORD

#### 1300. POLICY

a. Recording Training. A Training and Proficiency Record, FAA Form 3120-1, shall be prepared for each air traffic control specialist and will be maintained as a permanent part of the employee's training file. It shall be used to record the results and the completion of training requirements for each qualification course, proficiency training, and other agency-approved courses. Employment data as well as air traffic certificates and ratings shall also be documented in the record. The guidance contained in Appendix 1 of this order shall be followed in making entries on FAA Form 3120-1. The Training and Proficiency Record is governed by the provisions of the Privacy Act of 1977.

b. Reportable Training. For reporting purposes, the terms "student/trainee/developmental" apply

to anyone receiving training at the specialist, instructor, or supervisory level.

#### 1301. RESPONSIBILITIES

a. The facility manager or designated representative shall be responsible for initiating and maintaining the Training and Proficiency Record.

b. Upon completion of centralized training course, the organization providing the course shall provide a detailed record of each specialist's performance and achievement to the facility for inclusion in the Training and Proficiency Record.

**Note.**—At the FAA Academy, the Air Traffic Branch (AAC-930) shall operate as a field facility for the purposes of this directive in relationship to the Training and Proficiency Record management and administration.

#### 1302-1319. RESERVED

## Section 2. TRAINING REPORTS

### 1320. TRAINING RECORDS AND REPORTS

A training report shall be completed on the appropriate FAA training form each time a specialist engages in on-the-job or laboratory training. Reports reflecting certifications shall contain the original signature of the certifying official. Specific instructions regarding completion of training reports are contained in the IPG.

### 1321. RECORDING TRAINING

a. Entries on training reports shall be sufficiently detailed to support appropriate administrative actions; i.e., promotions, awards, dismissals, reassignments, litigations, etc.

b. All training shall be entered in FAA Form 3120-1 as soon as possible, but in no case later than 30 days following the month in which training is completed. Certification signature shall be that of the certifying official. A signature stamp may be used by the certifying official.

c. In completing FAA Form 3120-1 enter only the required specific data. All information must be verified by the specialist initialing in the space provided or signing the approved appendix on monthly proficiency training indicating that he/she received the training indicated on the form.

**Note.**—A Xerox or other reproduction of FAA Form 3120-1.5, Proficiency Training, may be used in lieu of individual entries in each employee's FAA Form 3120-1. When this is used, the employee's signature shall be original and not a reproduction. The following statement shall be on the form where the employee's signature is to be placed. "I certify that I have received the above proficiency training for

\_\_\_\_\_  
(month)

\_\_\_\_\_  
(year)

\_\_\_\_\_  
(Specialist's Signature)

\_\_\_\_\_  
(Supervisor's Signature)

d. At those terminal facilities without published surveillance approach procedures, enter the notation "Surveillance approaches not conducted in this facility" following the radar phase entry in Section III of each individual training record.

### 1322. DISPOSITION OF RECORDS AND REPORTS

a. Training reports may be disposed of upon completion of each qualification course. Exception: Reports reflecting position certification and all

graded examinations required by the IPG shall be retained for 1 year after the employee is facility rated.

b. In the event of a termination of employment due to a training failure, retain all training records at the facility for a period of 1 year. After 1 year, if appropriate, handle in accordance with FAA Order 1350.15. (Procedures for record disposition may vary from region to region. Therefore, reference should be made to regional supplements regarding this process.)

c. Upon termination of employment, except for training failures, FAA Form 3120-1 shall be forwarded to the regional Human Resources Management division.

d. The regional Air Traffic division may require retention of records beyond the periods specified above due to special circumstances; i.e., litigation, appeals, etc. In these cases, facilities shall comply with Air Traffic division guidance.

### 1323. FORM AVAILABILITY

Extra pages have been added to the revised form which should cover a specialist's entire training history with the FAA. If additional copies of the record or pages are needed, they may be ordered from the FAA Depot at the Aeronautical Center.

a. FAA Form 3120-1, Training Proficiency Record (NSN: 0052-00-077-8002; unit of issue: book).

#### b. Replacement Pages:

(1) FAA Form 3120-1.3, Qualification Training (continuation sheet) (NSN: 0052-00-863-7000; unit of issue: sheet).

(2) FAA Form 3120-1.5, Proficiency Training (continuation sheet) (NSN: 0052-00-863-8000; unit of issue: sheet).

(3) FAA Form 3120-1.6, Technical Appraisal (continuation sheet) (NSN: 0052-00-863-9000; unit of issue: sheet).

(4) FAA Form 3120-1.7, Management and other Training (continuation sheet) (NSN: 0052-00-864-0000; unit of issue: sheet).

(5) FAA Form 3120-1.8, Liaison Familiarization Travel (continuation sheet) (NSN: 052-00-864-1000; unit of issue: sheet).



# APPENDIX 1

## INSTRUCTIONS FOR COMPLETING FAA FORM 3120-1, TRAINING AND PROFICIENCY RECORD

### FAA FORM 3120-1

**a.** This appendix conveys instructions for recording training and certification entries in FAA Form 3120-1, "Training and Proficiency Record."

(1) Air Traffic managers shall ensure that training record entries conform to the requirements of this appendix. These requirements apply to all training occurring on or after the effective date of this appendix. The requirements described herein are not retroactive.

(2) Training, certification, recertification, technical performance appraisal, and operational error information shall be recorded in this record. Other data, such as temporary details, currency maintenance, awards, disciplinary actions, collateral duties, participation on committees, copies of training and other certificates, etc., should be maintained in working-level personnel records.

(3) All entries, except for the employee's initials, shall be recorded no later than 30 calendar days following the month in which the training was completed. Employees shall initial for training received within 30 calendar days of the date that training was recorded. By initialing, the employee acknowledges that the training recorded has been provided. Operating initials shall be used.

(4) The certification signature for position qualification (Section III) and technical appraisal

(Section VI) shall be that of the supervisor who performed the position certification/appraisal.

(5) The certification signature for any classroom training conducted, including briefings, indicates that the entry is correct. Therefore, the certification signature for classroom training entries may be that of the facility's Air Traffic staff or the supervisory personnel who have knowledge that the training was conducted.

(6) Training record entries shall be complete and accurate. Entries shall be typed or written in ink. Do not erase or otherwise obliterate entries. If it is necessary to change an entry, line out the incorrect entry and insert the correct information. Employees shall initial such changes if they had initialed the erroneous entry. The person making the change shall initial the new entry.

(7) A signature stamp may be used by the certifying official or supervisor as an aid to reduce workload. Signature stamps may only be used by the person whose signature is on the stamp.

(8) Each training entry shall have a separate signature and set of initials.

**b.** Following are section-by-section examples and explanations of training record entries. The examples shown in Sections III, VI, and VIII of FAA Form 3120-1 are superseded by those contained in this appendix.

## Section I, Employment Data.

Section—I  
EMPLOYMENT DATA

EMPLOYEE'S NAME Erica S. <del>Smith</del> Gardner 12/26/85			A EA			DATE EOD WITH FAA 1/2/82			B				
FACILITY C			EOD D		EMPL. INIT. E		FACILITY C			EOD D		EMPL. INIT. E	
ZDV ARTCC II			4/1/82		EA								
MLC FSS III			4/2/84		EA								
MCI ATCT IV			5/1/84		EA								

**Block A.** Enter the employee's full payroll name. In the event of a legal name change, such as for marriage or other reason, put a single line through the old name and insert the new name and the date of the entry in this block. Do not obliterate the old name as it may be necessary to refer to this name at a later time. The employee must initial next to the name change as described in Block E below.

**Block B.** Enter the date the employee entered on duty with the FAA. Do not use the employee's service computation date. The entry in this block

is made only at the employee's first facility of assignment.

**Block C.** Enter the facility's three-letter identifier, type, and level.

**Block D.** Enter the date the employee was officially assigned to the facility. Use the effective date shown on the official Notification of Personnel Action.

**Block E.** The employee must initial in this block within 30 days of the date of the entry.

**Section IIA, Air Traffic Certificates.**

This section is for certificates which are required for the performance of air traffic duties and which are not specific to a particular location or

area of operation. Do not enter pilot or flight inspection certificate information, etc. Data in this section should not be confused with ratings, which are described in the next section.

**Section—II A**  
**AIR TRAFFIC CERTIFICATES**

CERTIFICATE TITLE A	CERTIFICATE NUMBER B	DATE ISSUED C	EMPL D INIT.
Control Tower Operator	447612340	4/15/84	EA
Pilot Weather Briefing Certificate	68359	10/15/84	EA
NOAA/FAA Agreement TWR Visibility Cert	157-34-2232	10/19/86	EA
ATCS Certificate	N/A	11/16/85	EA

PAGE 1 —

**Block A.** Enter the title or the official abbreviation of the certificate.

**Block B.** Enter the certificate number. If no number is associated with the certificate, enter "N/A."

**Block C.** Enter the date of issuance as shown on the certificate.

**Block D.** See Section I, Block E, for instructions.

**Section IIB, Air Traffic Ratings.**

The entries in this section relate to specific facility ratings, not to certificates. Ratings describe facility operational functions and are required for employees to perform the full range of duties asso-

ciated with a particular area of specialization or facility. The use of the term *Facility* or *Area* indicates that the employee has successfully completed all the requirements of the CTO and/or ATCS certification for that facility or area.

**Section—II B**  
**AIR TRAFFIC RATINGS**

RATING	A	FACILITY	B	DATE ISSUED	C	EMPLD INIT.
Facility		MLC FSS		10/4/84		EA
Departure West		ZDV ARTCC		7/1/85		EA
Facility		MCI ATCT		3/3/86		EA
East Area		ZAU ARTCC		3/12/86		EA
East Area - Rating Suspended		ZAU ARTCC		7/10/86		EA
East Area		ZAU ARTCC		10/16/86		EA

PAGE II —

*Block A.* Enter the title of the rating or the rating suspended.

*Block B.* Enter the facility's three-letter identifier and type.

*Block C.* Enter the effective date of the rating or the suspension.

*Block D.* See Section I, Block E, for instructions.

### Section III, Qualification Training.

Initial qualification training requirements are described in the Flight Service, the Terminal, and the En Route Instructional Program Guides (IPG). Training relating to position qualification shall be recorded in this section. In addition, OJT instructor certification, either by position or for all positions in the facility or area, shall be entered in this section. Course numbers shall be used to indicate qualification training; do not use phase numbers. Also, facilities must indicate the position on which qualification has taken place if multiple positions are involved (examples are not shown). For

Academy initial courses, use the following numbers:

Screening, Placement, and Training Program — Course 50330

Terminal Follow-on Training — Course 50023

En Route Follow-on Training — Course 50130

Flight Service Station — Course 50220

For terminal facilities, training shall be recorded indicating classroom, laboratory, and/or on-the-job training hours. For en route and FSS, enter the number of hours required to complete each course.

Terminal

#### Section—III QUALIFICATION TRAINING

PHASE OF TRAINING	A	B	C	D	E	F	G	H	I
	FAC. IDENT.	DATE STARTED	NO. OF AUTH. HOURS	EMPL. INIT.	DATE COM. PLETED	HOURS	EMPL. INIT.	CERTIFICATION SIGNATURE	
50020	AAC	1/2/84	/	EA	4/25/84	/	EA	Mike Oppen	
55026 Classroom	MCI	5/1/84	160	EA	7/3/84	140	EA	Mike Oppen	
55026 OJT	MCI	7/1/84	80	EA	10/9/84	51	EA	Mike Oppen	
55027 Classroom	MCI	5/1/84	20	EA	7/3/84	10	EA	Mike Oppen	
55027 OJT	MCI	7/9/84	70	EA	8/1/84	32	EA	Mike Oppen	
55028 Classroom	MCI	7/9/84	120	EA	8/22/84	120	EA	Mike Oppen	
55028 OJT	MCI	8/27/84	60	EA	9/15/84	51	EA	Mike Oppen	
55029 Classroom	MCI	7/9/84	120	EA	8/22/84	120	EA	Mike Oppen	
55029 OJT	MCI	8/7/84	120	EA	2/7/85	101	EA	Mike Oppen	
55025	AAC	4/1/85	/	EA	4/24/85	/	EA	Mike Oppen	
55030 Classroom	MCI	5/3/85	100	EA	6/20/85	100	EA	Mike Oppen	
55030 Lab	MCI	1/5/86	30	EA	3/3/86	30	EA	Mike Oppen	
55031 Classroom	MCI	5/3/85	150	EA	6/20/85	150	EA	Mike Oppen	
55031 OJT	MCI	6/24/85	600	EA	3/3/86	522	EA	Mike Oppen	
Recertification - due to loss of currency - Radar Positions									
55031 Classroom	MCI	9/4/86	20	EA	9/7/86	20	EA	Mike Oppen	
55031 OJT	MCI	9/10/86	300	EA	9/27/86	53	EA	Mike Oppen	
OJT Inst. FD/CD	MCI				8/6/86		EA	Mike Oppen	

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## Section III, Continued

En Route

Section—III  
QUALIFICATION TRAINING

PHASE OF TRAINING	A FAC. IDENT.	B DATE STARTED	C NO. OF AUTH. HOURS	D EMPL. INIT.	E DATE COMPLETED	F HOURS	G EMPL. INIT.	H CERTIFICATION SIGNATURE
50330	AAC	1/2/82	/	EA	4/4/82	/	EA	Bell Black
55125	ZDV	4/1/82	320	EA	6/9/82	320	EA	Bell Black
55126	ZDV	6/12/82	80	EA	7/5/82	80	EA	Bell Black
55127	ZDV	7/9/82	320	EA	9/15/82	261	EA	Bell Black
55128 VIIIA	ZDV	9/21/82	160	EA	1/10/83	160	EA	Bell Black
55129	ZDV	1/20/83	240	EA	3/25/83	187	EA	Bell Black
55130	ZDV	4/1/83	320	EA	8/5/83	210	EA	Bell Black
50125	AAC	9/1/83	/	EA	9/25/83	/	EA	Bell Black
55131	ZDV	11/1/84	80	EA	12/1/84	80	EA	Bell Black
55132	ZDV	11/8/84	480	EA	3/14/85	256	EA	Bell Black
55133	ZDV	4/27/85	480	EA	7/1/85	311	EA	Bell Black
55128	ZAU	5/1/86	160	EA	5/19/86	57	EA	Walter Gardner
55129	ZAU	5/19/86	240	EA	7/15/86	121	EA	Walter Gardner
55130	ZAU	7/18/86	320	EA	9/2/86	153	EA	Walter Gardner
55131	ZAU	9/12/86	80	EA	9/26/86	80	EA	Walter Gardner
55132	ZAU	10/5/86	480	EA	12/9/86	251	EA	Walter Gardner
55133 W	ZAU	1/7-86	480	EA	3/12/86	217	EA	Walter Gardner
OJT Inst. East Area	ZAU				4/15/86		EA	Walter Gardner
Recertification - due to loss of currency - East Area								
55129	ZAU		120	EA	9/10/86	39	EA	Walter Gardner
55130	ZAU		160	EA	9/21/86	57	EA	Walter Gardner
55132	ZAU		240	EA	9/30/86	41	EA	Walter Gardner
55133	ZAU		240	EA	10/9/86	47	EA	Walter Gardner

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## Section III, Continued

## Flight Service

## Section—III

## QUALIFICATION TRAINING

A	B	C	D	E	F	G	H	I
PHASE OF TRAINING	FAC. IDENT.	DATE STARTED	NO. OF AUTH. HOURS	EMPL. INIT.	DATE COMPLETED	HOURS	EMPL. INIT.	CERTIFICATION SIGNATURE
50220	AAC	1/2/84	/	EA	3/27/84	/	EA	Thomas Doss
55225	MLC	4/2/84	120	EA	5/15/84	120	EA	Thomas Doss
55226	MLC	5/16/84	100	EA	7/2/84	81	EA	Thomas Doss
55227	MLC	5/16/84	140	EA	7/30/84	99	EA	Thomas Doss
55228	MLC	5/31/84	100	EA	7/15/84	57	EA	Thomas Doss
55229	MLC	6/15/84	140	EA	8/4/84	95	EA	Thomas Doss
55230	MLC	7/30/84	240	EA	9/15/84	160	EA	Thomas Doss
55231	MLC	7/30/84	220	EA	10/4/84	151	EA	Thomas Doss
50201	AAC	10/8/84	/	EA	12/4/84	/	EA	Thomas Doss
OJT Inst-Inflight	MLC				12/30/84		EA	Thomas Doss
OJT Inst-All Psns	MLC				6/5/85		EA	Thomas Doss

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**Block A.** Enter the course number (refer to the appropriate IPG). For terminal field training, indicate whether the training was classroom, laboratory, and/or OJT.

**Block B.** Enter "AAC" if Academy conducted. Enter the three-letter facility identifier if facility conducted.

**Block C.** Enter the date the employee began training in this course.

**Block D.** Enter the number of hours authorized to complete this course. The number of hours entered shall not exceed those indicated in the appropriate IPG. The hours allowed shall be derived from the IPG, or if lower, from the facility training directive. No entry is required for Academy-conducted training.

**Blocks E and H.** See Section I, Block E, for instructions.

**Block F.** Enter the date the employee successfully completed, withdrew from, received an incomplete in, or failed this training course. (If the employee did not successfully complete the training, enter "W" for withdrawal, "I" for incomplete, or "F" for failure in Block A. Also, indicate the position involved.) It is important that this information be accurately logged. Refer to FAA Order 3120.22, National Air Traffic Training Tracking System, for further guidance regarding this requirement.

**Block G.** Enter the actual number of clock hours, to the nearest tenth of an hour, the employee used in this portion of the training program.

**Block I.** The certifying official shall sign or use a signature stamp in this block.

### Section IV, Equipment Certification.

Only equipment training which specifically requires a certification examination; e.g., BRITE, Radar Qualification examination, etc., shall be entered in this section. Other equipment training which is associated with position certification, such as communications, lighting systems, recording, and other ATC equipment, shall not be logged in this section. Such equipment training is consid-

ered to be part of the qualification process, and no need exists to separately record certification thereon. Refer to the appropriate IPG for equipment certification requirements. If equipment training is provided due to facilities' receiving new equipment (other than that requiring a certification examination), include this as supplemental training in Section V.

#### Section—IV

#### EQUIPMENT CERTIFICATION

DATE <sup>A</sup>	EQUIPMENT <sup>B</sup>	FAC. IDENT. <sup>C</sup>	CERTIFICATION SIGNATURE <sup>D</sup>	EMPL. INIT. <sup>E</sup>
5/1/85	BRITE II -	DFW	Mike Oppen	EA

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**Block A.** Enter the date of the equipment certification indicated on the appropriate certificate examination.

**Block B.** Specify the type of equipment.

**Block C.** Enter the three-letter facility identifier.

**Block D.** The certifying official shall sign or use a signature stamp in this block.

**Block E.** See Section I, Block E, for instructions.



### Section V, Proficiency Training (Refresher, Supplemental, Remedial).

Entries in this section shall specifically describe the training provided. Refer to Chapter 4, Section 2, for the type of training to be entered in this section. Air Traffic managers are authorized to use

coded entries in this section if a corresponding facility master sheet is maintained which specifically describes the training provided. This master sheet shall be attached to the employee's training record and forwarded to the receiving facility in the event the employee is transferred.

#### Section—V PROFICIENCY TRAINING (Refresher, Supplemental, Remedial)

DATE <sup>A</sup>	MAJOR SUBJECT AREAS <sup>B</sup>	TYPE <sup>C</sup> 1/	DATE COM- PLETED <sup>D</sup>	HOURS <sup>E</sup>	CERTIFICATION SIGNATURE <sup>F</sup>	EMPL INIT. <sup>G</sup>
1/15/85	Wake Turbulance - Film	1	1/10/85	.5	Mike Cord	EA
2/1/85	Refresher Unit - Radar Vectoring Techniques	1	1/21/85	1.5	Mike Cord	EA
2/1/85	Tower Visibility	1	1/22/85	CBI	Mike Cord	EA
3/10/85	Aircraft Characteristics-Climb Rates, Verticle Sep, STDS	3	3/3/85	2	Mike Cord	EA
4/1/85	Refresher Unit - Nonradar Procedures	1	3/15/85	2.5	Mike Cord	EA
5/1/85	Tape Talk	1	4/10/85	1.2	Mike Cord	EA
6/22/85	Review: Radar Vector Procedures Affect of Temperature on Climb Rates, Coordination Procedures (Facility SOP on Position Relief Briefings				Mike Cord	EA
		3	6/15/85	8		EA
6/22/86	ETG Lab Problems 2, 8, 11, 21, 22, 23, 24, 25	3	6/21/86	16	Thomas Dars	EA
6/23/86	NAS FY-87 Goals	2	6/23/86	4	Thomas Dars	EA
6/30/86	Lost Aircraft Orientation	1	6/30/86	2	Thomas Dars	EA
7/1/86	Pilot Weather Briefing	1	7/1/86	2	Thomas Dars	EA
8/3/86	Annual Tower Visibility Review	1	7/3/86	.5	Thomas Dars	EA
1/TRAINING TYPE CODE      1—Refresher      2—Supplemental      3—Remedial						

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**Block A.** Enter the date the training is entered in FAA Form 3120-1.

**Block B.** Specifically describe or use a coded entry for refresher or supplemental training. EX-CEPTION: Coded entries for remedial training shall not be used. Remedial training entries shall specifically describe the training conducted.

**Block C.** Indicate the type of training by number: 1=Refresher; 2=Supplemental; 3=Remedial.

**Block D.** Enter the date the training was completed.

**Block E.** Indicate the number of actual training hours to the nearest tenth of an hour. If training is conducted via CBI, enter "CBI."

**Block F.** The certifying official shall sign or use a signature stamp in this block.

**Block G.** See Section I, Block E, for instructions.

**Section VI, Technical Appraisal.**

The technical appraisal for all options shall include specific data regarding operational errors and employee performance during the periodic

over-the-shoulder (OTS) performance checks required by Air Traffic directives. Also, the OJT instructor evaluation described in paragraph 400b(5) shall be entered in this section.

**Section—VI****TECHNICAL APPRAISAL****Part A—OVER-THE-SHOULDER TRAINING REVIEW**

DATE COM- PLETED	OVER-THE-SHOULDER/ <del>EXTENDED</del>	B	DATE DIS- CUSSED	SUPERVISOR/EPDS SIGNATURE	EMPL INIT.
9/1/85	Arrival East - Satisfactory OTS		9/1/85	<i>Maxwell Miles</i>	EA
3/2/86	Departure West - Unsatisfactory OTS		3/2/85	<i>Maxwell Miles</i>	EA
3/4/86	Departure West - Satisfactory/Recertified		3/4/86	<i>Maxwell Miles</i>	EA
6/1/86	Operational Error ELP - ATCT-1 Loss of Horizontal Separation - Aircraft within .5 Miles of each other at same Altitude - Arrival West Position		6/1/86	<i>Maxwell Miles</i>	EA
6/25/86	Arrival West - Satisfactory/Recertified		6/25/86	<i>Maxwell Miles</i>	EA
9/25/86	OTS OJT Instructor East Arrival		9/25/86	<i>Maxwell Miles</i>	EA

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**EN ROUTE/TERMINAL:**

**Block A.** Enter the date shown on the appraisal form.

**Block B.** Enter the position on which the appraisal took place, the type appraisal; e.g., over-the-shoulder, OJT instructor evaluation, etc., and the result (satisfactory or unsatisfactory). If the result is unsatisfactory, recertification is required

prior to the resumption of operational or OJT duties. Indicate recertification if appropriate.

**Block C.** Enter the date the appraisal was discussed with the employee.

**Block D.** The person who conducted the appraisal must sign or use a signature stamp.

**Block E.** See Section I, Block E, for instructions.

Section—VI  
**TECHNICAL APPRAISAL**

**FOR FSS  
USE ONLY**

<b>Part B—I. OVER-THE-SHOULDER PERFORMANCE TEST</b>			
DATE <sup>A</sup>	PERFORMANCE TEST TITLE <sup>B</sup>	EMPL. <sup>C</sup> INIT.	SUPERVISOR'S SIGNATURE <sup>D</sup>
9/1/85	Inflight - Satisfactory OTS	EA	Thomas Darr
9/4/85	Preflight - Satisfactory OTS	EA	Thomas Darr
9/4/85	Flight Data - Satisfactory OTS	EA	Thomas Darr
9/5/85	Typewrite/Data Commun. - Satisfactory <sup>OTS</sup>	EA	Thomas Darr
9/6/85	OTS OJT Eval. Broadcast - Satisfactory	EA	Thomas Darr

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**FSS:**

*Block A.* Enter the date shown on the appraisal form.

*Block B.* Enter the appropriate performance test title; e.g., inflight, OJT instructor evaluation, and the results (satisfactory or unsatisfactory).

*Block C.* See Section I, Block E, for instructions.

*Block D.* The person who conducted the appraisal must sign or use a signature stamp.

**Section VII, Management and Other Training.**

All management and other agency-approved training not previously listed shall be entered in this section. This includes, but is not limited to, automation and other technical training, corre-

spondence, college, out-of-agency, and instructor training courses. Only training which was completed during employment with FAA shall be recorded in this section.

**Section—VII**  
**MANAGEMENT AND OTHER TRAINING**

A DATE	B COURSE	C LOCATION	D HOURS	E EMPL. INIT.
5/5/83	ARTS IIIA for DSS 53010	FAA Academy	240	EA
6/12/84	14002 Fundamentals of Supervision	Correspondance Course	150	EA
11/19/84	Aviation - A Global History	Princeton University	3 Qtr	EA
6/12/85	Weather Satellite Data Interpretation 50206	FAA Academy	32	EA
9/8/85	10501 Facility Instrucotr Training	FAA Academy	80	EA

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**Block A.** Enter the date the training was completed.

**Block B.** Enter the course title and the FAA course number, if applicable, as described on the training certificate, transcript, or other official course document. Refer to the FAA Catalog of Training Courses for this information. Unless specified in FAA directives or other transmittals, only courses of 8 hours or more shall be recorded in this section.

**Block C.** Enter the location where the training was conducted; i.e., Academy, university name, facility, regional office, etc.

**Block D.** Enter the number of hours indicated in the FAA Course Catalog. If not contained in the catalog, use the hours in the course description document. **EXCEPTION:** For college/university courses, enter the number of quarter or semester credit-hours attained.

**Block E.** See Section I, Block E, for instructions.

**Section VIII, Liaison and Familiarization Travel.**

Refer to FAA Order 7210.3, Facility Operation and Administration, Chapter 7, for policy and guidance regarding this program.

**Section—VIII****LIAISON FAMILIARIZATION TRAVEL**

CARRIER/FLT. NO. A	EMPLOYEE DUTY STATUS B	TRIP DATES C FROM — TO	EMPL D INIT
UA / 232	<input checked="" type="checkbox"/> DUTY <input type="checkbox"/> NONDUTY	10/1/84 TO 10/4/84	EA
FL / 121	<input type="checkbox"/> DUTY <input checked="" type="checkbox"/> NONDUTY	11/2/84 TO 11/10/84	EA
Private / C150	<input checked="" type="checkbox"/> DUTY <input type="checkbox"/> NONDUTY	5/5/85 TO 5/5/85	EA
Auto / STL FSS	<input checked="" type="checkbox"/> DUTY <input type="checkbox"/> NONDUTY	6/4/85 TO 6/4/85	EA
/	<input type="checkbox"/> DUTY <input type="checkbox"/> NONDUTY	TO	
/	<input type="checkbox"/> DUTY <input type="checkbox"/> NONDUTY	TO	
/	<input type="checkbox"/> DUTY <input type="checkbox"/> NONDUTY	TO	

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**Block A.** Enter the carrier's name and flight number or type conveyance. If the trip included familiarization at a destination, indicate the location.

**Block B.** Enter whether the travel was duty or nonduty.

**Block C.** Enter the travel dates.

**Block D.** See Section I, Block E, for instructions.



## APPENDIX 2

### EN ROUTE REFRESHER TRAINING

**a.** This Appendix establishes guidance for developing training requirements pertaining to scheduled and unplanned automation shutdowns in en route facilities. All Air Traffic personnel who are required to maintain proficiency shall receive the following refresher training (refer to FAA Order 7110.85). This training shall be logged in the employee's Training and Proficiency Record, FAA Form 3120-1.

**b.** Every 6 months the employee shall correctly demonstrate the steps of transitioning from the primary mode to the backup system (DARC, E-DARC, broadband) and vice versa. This may be accomplished on a nonoperational position or under laboratory conditions by:

- (1) Displaying (quick look) a live sector using the primary mode.
- (2) Insuring that the correct map is available for the sector to be used.
- (3) Obtaining CID/AID and strip numbers on all active and proposed traffic for the sector.
- (4) Requesting strips for all aircraft using the above information and sequencing the strips in the appropriate bay/s.
- (5) Following all the required items on the radar controller transitional checklist.

**c.** Annually, the specialists shall:

- (1) Complete a review of the following:
  - (a) The functions of all the equipment controls associated with operating the backup system.
  - (b) The control procedures peculiar to operation in the backup system mode; i.e., handoffs,

beacon code assignments, letters of agreement, facility directives, etc.

(c) The video map alignment check procedures including the identity and the location of permanent echoes if broadband is available to be used.

(d) The transitional checklist.

(e) The area specialization map.

(2) Correctly label a map of the assigned area of specialization identifying airways, jet routes, intersections, NAVAID's, center and sector boundaries, and permanent echoes utilized for video map alignment check if broadband is available to be used.

(3) Correctly complete one simulated control problem on transitioning from the primary mode to and operating in the backup system and vice versa. This problem shall include, as a minimum, the following:

(a) Reposition the PVD from the vertical to the horizontal position and vice versa if required.

(b) Transition from the primary mode to the simulated backup mode.

(c) Use of the radar controller checklist.

(d) Use of shrimp boats if required.

(e) Vector aircraft.

(f) Assign beacon codes.

(g) Operate in the simulated backup system mode for 15 minutes.

(h) Transition from the simulated backup system mode to the primary mode.

(i) Reidentify aircraft.





## APPENDIX 3

### EN ROUTE TRAINING/QUALIFICATION REQUIREMENTS

To be promoted to the grades listed under each facility level, the developmental controller shall satisfy the requirement shown to the left of each

grade and all other legal and regulatory requirements.

	Facility Level		
	Level I	Level II	Level III
Predevelopmental Program or Entry Grade Requirements	7	7	7
Perform Assistant Controller Duties	9	9	9
Perform Radar Associated/Nonradar Controller Duties on 2 Sectors <sup>1</sup>	11	11	11
Perform Radar Controller Duties on 2 Sectors	—	12	12
Perform Radar Controller Duties on 4 Sectors	—	—	13
Perform Radar Controller Duties on all Sectors	12	13	14

<sup>1</sup> Qualification on remaining sectors may be completed after promotion, but before starting Phase XI.



## APPENDIX 4

### FLIGHT SERVICE STATION TRAINING/QUALIFICATION REQUIREMENTS

To be promoted to the grades listed under each facility level, the developmental controller shall satisfy the requirement shown to the left of each

grade and all other legal and regulatory requirements.

	Facility Level		
	Level I	Level II	Level III
Predevelopmental Program or Entry Grade Requirements	7	7	7
Weather Observer*, Teletype*, Broadcast, Flight Data, Preflight	—	9	9
Weather Observer*, Teletype*, Broadcast, Flight Data, Inflight	9	—	—
Inflight	—	10	11

\* Where applicable.





