Model Civil Aviation Regulations

**[STATE]**

**Part 3 – Approved Training Organisations**

**VERSION 2.11**

**November 2022**

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AMENDMENTS

| **Location** | **Date** | **Description** |
| --- | --- | --- |
| Introduction | 09/2011 | Deleted “flight” from training organisations as ICAO Annex 1 approved training organisations now extend to air traffic and maintenance licence training. Added ICAO reference to indicate updates had been made to ICAO Annex 1, Amendment 170 |
| Introduction | 11/2014 | Updated Amendment version of ICAO Annex 1 used |
| Introduction | 11/2019 | Updated text to include RPAS and ICAO Annex amendment version |
| Introduction | 11/2020 | Updated Amendment version of ICAO Annex 1 (used Amendment 176) |
| Introduction | 11/2022 | Deleted applicability date in first paragraph and updated the ICAO Annex 1 amendment number and ICAO Doc 9868 version and amendment number |
| Table of Contents | 11/2013 | Added new 3CFR.1.1.4 and 3.2.1.21 |
| Table of Contents | 11/2019 | Editorials made throughout to match editorials in the regulatory text: 3.3.4.2 added text for RPAS |
| 3.1.1.1(a) | 09/2011 | Deleted the word “general” from the sentence |
| 3.1.1.1 | 11/2019 | Edited for clarification |
| 3.1.1.2(a) (3) | 09/2011 | Changed the wording of the definition to reflect ICAO Annex 1 change |
| 3.1.1.2(a) | 09/2011 | Added definitions: Alternate Means of Compliance; alternative means of compliance; competency based training and assessment; quality management; quality system; special curricula; training programme |
| 3.1.1.2(a) | 05/2010 | Added definition: Safety Management System |
| 3.1.1.2(a) | 05/2010 | Added definition: State Safety Programme |
| 3.1.1.2(a) | 09/2011 | Added definition: Special Approved Curricula |
| 3.1.1.2 | 11/2014 | Moved definitions to MCAR Part 1 |
| 3.1.1.2 | 11/2019 | Edited for clarification |
| 3.1.1.3 | 09/2011 | Added abbreviation of QA for quality assurance, and MPL for multi-crew pilot licence |
| 3.1.1.3 | 11/2019 | abbreviations updated |
| 3.1.1.4 | 11/2013 | Added new paragraph for exemption authority |
| 3.1.1.4 | 11/2019 | Edited for clarification |
| 3.2 | 11/2019 | Title edited for clarification |
| 3.2.1.2 | 05/2010 | Added (d) (e) and reference and note |
| 3.2.1.2 | 11/2011 | Deleted note; added new text |
| 3.2.1.2 | 11/2019 | Edited for clarification throughout; new 3.2.1.2(a)(3) and renumbered original (3) to (4) |
| 3.2.1.3(e) | 11/2013 | Added reference to SMS requirements |
| 3.2.1.3 | 11/2011 | Added authority signature to 3.2.1.3(c)(5) |
| 3.2.1.3 | 11/2019 | Edited for clarification throughout; new 3.2.1.3 (c )(3) and renumbered rest of list; new text for (c )(4), new (e) and (f) |
| 3.2.1.4 | 11/2019 | Edited for clarification throughout |
| 3.2.1.5(a) | 11/2011 | Changed “on” to “in” |
| 3.2.1.5(c) | 11/2011 | (4) Revised requirements for information about proposed training location(s);  (7) Added “quality assurance”  (9) Added SMS  (10) Added “statement of compliance” |
| 3.2.1.5 | 11/2019 | Edited for clarification throughout, 3.2.1.5(c )(7) added text for RPAS |
| 3.2.1.5(c)(6) | 11/2022 | Deleted applicability date |
| 3.2.1.6 | 11/2019 | Edited for clarification throughout |
| 3.2.1.7 | 09/2011 | Made the dates more specific in (a)(1) and (2) and (b). |
| 3.2.1.7 | 11/2019 | Edited for clarification throughout |
| 3.2.1.8 | 11/2019 | Edited for clarification throughout |
| 3.2.1.9 | 09/2011 | Now “Inspection” |
| 3.2.1.9 | 11/2019 | Edited for clarification throughout |
| 3.2.1.10 | 09/2011 | Now “Suspension and Revocation” |
| 3.2.1.10 | 11/2019 | Edited for clarification throughout |
| 3.2.1.11 through 3.2.1.20 | 09/2011 | Renumbered subsequent paragraphs accordingly |
| 3.2.1.11 | 11/2019 | Edited for clarification throughout |
| 3.2.1.12 | 11/2013 | Revised text in (c) for clarification |
| 3.2.1.12 | 11/2019 | Edited for clarification throughout |
| 3.2.1.13 | 11/2019 | Edited for clarification throughout |
| 3.2.1.13 | 11/2019 | Edited for clarification throughout |
| 3.2.1.14 | 11/2019 | Edited for clarification throughout |
| 3.2.1.15 | 11/2019 | Edited for clarification throughout |
| 3.2.1.16 | 11/2019 | Edited for clarification throughout |
| 3.2.1.17 | 11/2019 | Edited for clarification throughout |
| 3.2.1.18 | 11/2019 | Edited for clarification throughout |
| 3.2.1.19 | 11/2019 | Edited for clarification throughout |
| 3.2.1.20 | 11/2013 | Revised per new ICAO Annex 19 |
| 3.2.1.20 | 11/2019 | Edited for clarification throughout |
| 3.2.1.21 | 11/2013 | New paragraph added for outsourcing |
| 3.2.1.13 | 09/2011 | In the note, changed flight simulator to flight simulation training devices |
| 3.2.1.17 | 09/2011 | Revised to include quality assurance. Added text to indicate that the outline for an ATO quality assurance and quality system is contained in IS: 3.2.1.17 |
| 3.2.1.8 | 11/2011 | 3.2.1.8(a) added a requirement for description of facilities |
| 3.2.1.19 | 11/2012 | Corrected typographical error |
| 3.2.1.20 | 05/2010 | Added new subsection to reflect ICAO Annex 1 requirements for an ATO safety management system |
| 3.3.1 | 11/2019 | Edited for clarification |
| 3.3.2 | 11/2019 | Title edited for clarification |
| 3.3.2.1 (13) | 09/2011 | Changed instructor course from “synthetic flight training” to “flight simulation training” |
| 3.3.2.1 | 11/2019 | Edited for clarification throughout; new 3.3.2.1(16)(17)(18) for RPAS training courses |
| 3.3.2.1(a)(16), (17), (18) | 11/2022 | Deleted applicability dates |
| 3.3.2.2 | 09/2011 | Totally revised to reflect training course content and approval |
| 3.3.2.2 | 11/2012 | Changed applicant submission requirement from 1 copy to 2 copies |
| 3.3.2.2 | 11/2019 | Edited for clarification throughout; 3.3.2.2.(c) (1) added text for internet based training; 3.3.2.2 (c )(6) added text for RPAS |
| 3.3.2.2.(c)(6) | 11/2022 | Deleted applicability date |
| 3.3.2.3 | 09/2011 | New to reflect approval of special curricula |
| 3.3.2.3 | 11/2012 | Changed wording in (a) and (b) to reflect minimum hours for a licence in MCAR Part 2 |
| 3.3.2.3 | 11/2019 | Edited for clarification throughout |
| 3.3.3 | 11/2019 | Edited for clarification to title and throughout |
| 3.3.4 | 11/2019 | Title edited for clarification |
| 3.3.4.1 | 11/2019 | Edited for clarification throughout |
| 3.3.4.2 | 11/2019 | Edits for clarification to title and throughout (a); new (b) added for RPAS |
| 3.3.4.2(b) | 11/2022 | Deleted applicability date |
| 3.3.4.3 | 11/2011 | Added a new (c) for maintenance of FSTDs |
| 3.3.4.3(b) | 11/2012 | Corrected typographical error |
| 3.3.4.3 | 11/2019 | Edits for clarification throughout; new text added to (a)(1) and (b)(2) for RPAS |
| 3.3.4.3(a)(1) | 11/2022 | Deleted applicability date |
| 3.3.4.3(b)(2) | 11/2022 | Deleted applicability date |
| 3.3.4.4 | 11/2012 | Corrected typographical error |
| 3.3.4.4(a) | 11/2011 | Spelling – changed “airport” to “aerodrome” |
| 3.3.4.4 | 11/2019 | Edits for clarification throughout; changed must to shall in (c) and (d) |
| 3.3.5 | 09/2011 | Deleted 3.3.5.1 general as redundant and renumbered sections |
| 3.3.5 | 11/2019 | Edits for clarification in the title |
| 3.3.5.1 (d) (e) | 09/2011 | Formerly 3.3.5.2 (d)(e). In (d) inserted words “by the ATO” to denote responsibility; In (e) renumbered IS reference to reflect new renumbering |
| 3.3.5.1 | 11/2019 | Edits for clarification to title and throughout; specific new language added to (b) |
| 3.3.5.2 | 09/2011 | (a)(6) changed evaluator to examiner; (b) deleted evaluator |
| 3.3.5.2 | 11/2019 | Edits for clarification throughout |
| 3.3.5.2(e) | 11/2022 | Edited to remove gender-specific pronouns |
| 3.3.5.3 | 11/2019 | Edits for clarification throughout |
| 3.3.5.4 | 11/2012 | Editorial for clarification. In (d), inserted “MCAR” |
| 3.3.5.4 | 11/2019 | Edited for clarification throughout; (a)(1)(2)(3)(5) changed must to shall |
| 3.3.5.5 | 11/2019 | Changed title; clarified (a)(1); changed proficiency to skill in (a)(2) and (3) |
| 3.3.5.6 | 09/2011 | Deleted (b) reference to the IS |
| 3.3.5.6 | 11/2019 | Changed title; edited for clarification throughout |
| 3.4 | 09/2011 | Took stand-alone (a) under 3.4 and added it to a new 3.4.1 General and renumbered subsections |
| 3.4 | 11/2019 | Changed title for clarification |
| 3.4.1 | 11/2019 | Edited for clarification |
| 3.4.2 | 11/2019 | Edited title for clarification |
| 3.4.2.1 | 11/2019 | Edited for clarification throughout; new (a)(6) to address RPAS |
| 3.4.2.2 | 09/2011 | Totally revised to reflect training course content and approval |
| 3.4.2.2 | 11/2019 | Edited for clarification throughout: (a)(1) changed to require 2 manuals |
| 3.4.2.3 (a) | 11/2012 | Corrected language to reflect minimum hours for a licence in MCAR Part 2 |
| 3.4.2.3 | 09/2011 | New to reflect approval of special curricula |
| 3.4.2.3 | 11/2012 | Corrected language to reflect minimum hours for a licence in MCAR Part 2 |
| 3.4.2.3(b)(3) | 11/2012 | Corrected language to reflect theoretical knowledge and practical training |
| 3.4.3 | 11/2019 | Edits for clarification to title and throughout; change in (a) (1) to required personnel |
| 3.4.4 | 11/2019 | Expanded the title and requirements in (a); added new (1) and renumbered rest of list; renumbered (7) adds RPAS requirements; clarified equipment in (b) and (c); clarified applicant or ATO certificate holder in (d), (e) and (f) |
| 3.4.4(a)(7) | 11/2022 | Deleted applicability date |
| 3.4.5 | 09/2011 | Formerly 3.4.4: Deleted stand-alone (a) under 3.4.4 as redundant; renumbered sections |
| 3.4.5.1 (d) (e) | 09/2011 | Formerly 3.4.4.2 (d)(e). In (d) inserted words “by the ATO” to denote responsibility; In (e) renumbered IS reference to reflect new renumbering |
| 3.4.5.1 | 11/2019 | In (a) changed training manual to ATO procedures manual, which also caused changes in (c), (d) and (e); item (b) totally replaced with new text |
| 3.4.5.2 | 09/2011 | (a)(6) changed evaluator to examiner; (b) deleted evaluator |
| 3.4.5.2 | 11/2019 | In (b) changed staff to personnel, made editorials; made clarifying updates to (c), (d), and (e) |
| 3.4.5.3 | 11/2019 | In (b) changed must to shall; (b)(6) changed Head of Training to Director of Training |
| 3.4.5.4 | 11/2012 | In (d), added “MCAR” for clarification. |
| 3.4.5.4 | 11/2019 | Reworded title for consistency with other paragraphs; rewrote (a) and (a)(1) and changed must to shall in (2), (3) and (4); other rewording in (4); clarifying text added to (d); clarifying text changes and changed must to shall in (f) |
| 3.4.5.5 | 11/2019 | Title revised for consistency with other paragraphs; practical test changed to skill test |
| 3.4.5.6 | 09/2011 | Deleted (b) reference to the IS |
| 3.4.5.6 | 11/2019 | Title revised for consistency; clarification and editorials to (a) |
| IS 3.2.1.3 | 11/2012 | Corrected typographical error |
| IS 3.2.1.3 | 11/2011 | Added to ATO certificate lines for printed name and title of CAA official; added language to the effective date of the certificate |
| IS 3.2.1.3 | 11/2013 | Updated ATO certificate form |
| IS 3.2.1.3 | 11/2019 | Edited for clarification to title and throughout text of certificate; added new (a) for editorial consistency |
| IS 3.2.1.17 | 09/2011 | Added new paragraphs to the quality system based on updated ICAO Doc 9841 |
| IS 3.2.1.17 | 11/2012 | Deleted unnecessary text from the following paragraphs:  Paragraph 1.1; Paragraph 2.2; Paragraph 17.1; Paragraph 18.1(c);  Paragraph 18.2 |
| IS 3.2.1.17 | 11/2019 | Edited for clarification to title and throughout text; (a) changed to (b); new text added to item 10; 14.4 new (a) added and remaining items re-lettered accordingly |
| IS 3.2.1.19 | 05/2010 | Added new subsection |
| IS 3.3.3 | 11/2012 | Inserted “MCAR” for clarification to the following paragraphs: (h); (i); (j); (l); (m); (p); (q) |
| IS 3.3.3 | 11/2019 | Title reworded; editorials throughout and renumbering of (c) through (f) as editorial to 1-5 and moved under (b); new (b)(6) to address RPAS; former (g) re-lettered to (c ) and (h) renumbered to (c ) 1; new (c ) 2 added for RPAS; former (j) re-lettered to (d); former (k), (l), (m) re-lettered to (e)(1)(2); former (n)(o)(p) re-lettered to (f)(1)(2); former (q) re-lettered to (g); former (r) re-lettered to (h) |
| IS 3.3.3(b) | 11/2022 | Deleted applicability date |
| IS 3.3.3(b)(3), (5) | 11/2022 | Deleted applicability date |
| IS 3.3.3(c)(1), (2) | 11/2022 | Deleted applicability date |
| IS 3.3.3(d) | 11/2022 | Deleted applicability date |
| IS 3.3.5.1 | 09/2011 | Renumbered from IS 3.3.4.2 and replaced the entire contents to reflect new ICAO guidance |
| IS 3.3.5.1 | 11/2012 | Deleted unnecessary text and updated the following paragraphs: 1.7; 1.9(c); 2.2; 2.3 |
| IS 3.3.5.1 | 11/2019 | Title and (a) reworded for editorial consistency; edits for clarification throughout; 9.3 - text added to address RPAS; 12.1 and 12.2 new text added for RPAS |
| IS 3.3.5.1(a) | 11/2022 | Deleted applicability dates in 9.3(a) and (b), 12.1(e), and 12.2 |
| IS 3.3.5.6 | 09/2011 | Deleted the inspection checklist which is including in inspector handbook guidance in the ICAO GSI course on ATO |
| IS 3.4.5.1 | 09/2011 | Renumbered from IS 3.4.4.2 and replaced the entire contents to reflect new ICAO guidance |
| IS 3.4.5.1 | 11/2012 | Deleted unnecessary text and updated the following paragraphs: 1.9(c); 2.2 |
| IS 3.4.5.1 | 11/2019 | Title and (a) reworded for editorial consistency |
| IS 3.4.5.6 | 09/2011 | Deleted the inspection checklist which is included in inspector handbook guidance in the ICAO GSI course on ATO |

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Introduction

Part 3 of the Model Civil Aviation Regulations (MCARs) prescribes the regulatory requirements for the certification and administration of approved training organisations (ATOs) and addresses other areas of airman training. The use of an ATO for the training and qualification of airmen is common in modern aviation, most particularly as operators upgrade their aircraft inventory and airmen transition to operating new aircraft. ATOs will also be used for the training and qualification of remotely piloted aircraft systems (RPAS) and remote pilots (RPs) as operators add them to their inventory and airmen transition to operating various types of RPAS.

The interrelation of the ATO requirements of this part and the licensing and certification requirements of Part 2 of these regulations is plain. Even if [STATE] will not have an ATO located in the country, the requirements for ATO operation do apply to the requirements for adequate training for qualification for a [STATE] certification. Thus, [STATE] citizens who receive training from a foreign ATO shall be trained by an ATO meeting [STATE] requirements. This situation will be encountered when a [STATE] air operator certificate (AOC) holder, such as a national airline, is part of a regional consortium with AOC holders from other Contracting States in the region, and the consortium has established an ATO in only one of the regional Contracting States. The regulations set forth in this part allow for this situation.

Civil aviation authorities (CAAs) are responsible for the development and periodic updating of training requirements for personnel licence holders as technology advances. Specific training curricula are not included in this part because such curricula can be more easily updated through approval by the Authority.

This part uses the Standards and Recommended Practices (SARPs) in International Civil Aviation Organization (ICAO) Annex 1 to the Convention on International Civil Aviation (Chicago Convention), *Personnel Licensing*, and relies heavily upon sections from Title 14 of the United States (U.S.) Code of Federal Regulations (14 CFR) and, in earlier versions of the MCARs, the concepts from the Joint Aviation Requirements – Flight Crew Licensing (JAR-FCL) and JAR 147/European Union Aviation Safety Agency (EASA) 147. This part is based on ICAO Annex 1, Amendment 178; ICAO Doc 9841, *Manual on the Approval of Training Organizations*, Third Edition (2018); and ICAO Doc 9868, *Procedures for Air Navigation Services – Training (PANS-TRG)*, Amendment 7, Third Edition (2020).

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## Part 3 – Approved Training Organisations

## General

#### Applicability

1. This part prescribes the requirements for issuing approvals to organisations for the training of aviation personnel and prescribes the general operating rules for an ATO.

#### Definitions

1. Definitions are contained in Part 1 of these regulations.

#### Abbreviations

1. The following abbreviations are used in this part:
2. **AMT** **–** aviation maintenance technician
3. **ATO** **–** approved training organisation
4. **CFI** **–** chief flight instructor
5. **CGI –** chief ground instructor
6. **CPL** **–** commercial pilot licence
7. **CRM** **–** crew resource management
8. **FE** **–** flight engineer
9. **FI –** flight instructor
10. **FSTD –** flight simulation training device
11. **GI –** ground instructor
12. **ICAO –** International Civil Aviation Organization
13. **IFR –** instrument flight rules
14. **IR –** instrument rating
15. **IS –** Implementing Standards
16. **PIC** **–** pilot-in-command
17. **PDCA –** plan-do-check-act
18. **RPA –** remotely piloted aircraft
19. **RPAS –** remotely piloted aircraft systems
20. **SMS –** safety management system

#### Exemption Authority

1. The Authority may, upon consideration of the circumstances of a particular training organisation, issue to that training organisation an exemption providing relief from specified sections of this part, provided that the Authority finds that the circumstances presented warrant the exemption and that a level of safety will be maintained equal to that provided by the rule from which the exemption is sought.
2. The Authority may terminate or amend an exemption at any time.
3. A request for exemption shall be made in accordance with the requirements of Part 1 of these regulations.
4. Each training organisation that receives an exemption shall have a means of notifying the appropriate management and personnel of the exemption.

## Certification of a Training Organisation and Continued Validity of the Certificate

#### Applicability

1. This subpart prescribes the requirements for the certification of a training organisation and the continued validity of the ATO certificate issued by [STATE].

#### General

1. The Authority may approve an ATO to provide the following:
2. Any training activity that leads towards the issuance of a licence, rating, authorisation, or approval under these regulations;
3. Training services necessary for an operator to meet the requirements of Part 9 of these regulations;
4. Training services necessary for a maintenance organisation to meet the requirements of Part 6 of these regulations;
5. Special curricula training designed to meet:
   * + 1. Qualification-based training requirements, including those deemed acceptable through the approval of an “alternative means of compliance” mechanism; or
       2. Competency-based training and assessment requirements; or
       3. Those training requirements deemed acceptable through the approval of an “alternative means of compliance” mechanism.
6. No person may operate as an ATO without, or in violation of, an ATO certificate and the training specifications issued under this part.

ICAO Annex 1: 1.2.8.1; 1.2.8.2; Appendix 2: 1.1

14 CFR 141.19; 142.5(a); 142.27; 147.3

#### ATO Certificate

1. The ATO certificate issued to a training organisation by [STATE] will consist of two documents:
2. A one-page certificate for public display signed by the Authority; and
3. Training specifications signed by the accountable manager and the Authority.
4. An ATO shall conduct only the training, checking, and testing, or part thereof, for which it is rated and that is within the limitations placed in its training specifications.
5. The certificate issued to an ATO by [STATE] will contain the following items and will be issued on a form and in a manner as prescribed in IS 3.2.1.3:
6. The certificate number specifically assigned to the ATO;
7. The name and location (principal business address) of the ATO;
8. The certification Statement of Authority
9. Rating(s) relating to the course(s) to be taught;
10. The period of validity;
11. The date of issue; and
12. The signature, printed name, and title of the appropriate Authority.
13. The training specifications issued to an ATO by [STATE] will specify training programme requirements and authorise the conduct of training, checking, and testing with any limitations thereof, and will contain:
14. The certificate number specifically assigned to the ATO;
15. The type of training authorised, including approved courses;
16. The authorisations for the ATO, including limitations and approvals;
17. The name and address of any satellite training centres and the approved training offered at each location;
18. The facilities and equipment required to conduct the authorised training;
19. The personnel required to perform the applicable duties under this part;
20. The signatures of the accountable manager and the Authority;
21. The date of issue or revision; and
22. Any other items the Authority may require or allow.
23. The ATO shall display its ATO certificate in a place accessible to the public in the principal place of business of the training organisation.
24. The certificate and training specifications issued to an ATO shall be available on the premises for inspection by the public and the Authority.

ICAO Annex 1, Appendix 2: 1.2

ICAO Doc 9841: 2.2.1

14 CFR 141.3; 142.5; 147.3

FAA Order 8900.1, Volume 2, Chapter 1, Section 4, Figure 2-5A

#### Advertising

1. No training organisation may advertise as an ATO certificated under this part until the Authority has issued an ATO certificate and associated training specifications to that organisation.
2. No ATO may make, either orally or in writing, any statement about itself that is false or is designed to mislead any person.
3. Whenever the advertising of a training organisation indicates that it is certificated under this part, the advertisement shall clearly state the ATO certificate number.

14 CFR 147.45

#### Application for an ATO Certificate

1. An application for an ATO certificate shall be made on a form and in a manner prescribed by the Authority.
2. Each applicant shall submit an application for initial issue of an ATO certificate at least 120 calendar days before the beginning of any proposed training or 90 days before effecting an amendment to any approved training, unless a shorter filing period is approved by the Authority.
3. An application shall include:
4. A statement showing that the minimum qualification requirements for each management position are met or exceeded;
5. A statement acknowledging that the organisation shall notify the Authority within 10 working days of any change made in the assignment of persons in the required management positions;
6. The proposed training specifications requested by the organisation;
7. The proposed location of each training facility and any satellite ATOs;
8. The proposed courses to be taught at each location;
9. The equipment at each location, including FSTDs and training aircraft; any aerodromes or sites to be used; and any remote pilot stations and training RPA;
10. Two copies of the proposed ATO Procedures Manual;
11. Two copies of each proposed training course curriculum, including syllabi, outlines, courseware, procedures, and documentation to support the curriculum for which approval is sought;
12. Documentation of the quality system;
13. A statement of the maximum number of students the organisation expects to teach at any one time;
14. Documentation of the SMS required by Part 1 of these regulations;
15. A Statement of Compliance with all applicable regulations for the proposed training, including pertinent subparts and each relevant section of the regulation, which shall be identified and accompanied by a brief description; and
16. Any additional information the Authority requires the applicant to submit.

ICAO Annex 1, Appendix 2: 2.1

ICAO Doc 9841, Chapter 4

14 CFR 141.13; 142.11; 147. 5

#### Issuance of an ATO Certificate

1. The issue of an ATO certificate by [STATE] shall be dependent upon the training organisation demonstrating compliance with the requirements of this part, the relevant safety management requirements of Part 1 of these regulations, and any additional information required by the Authority.
2. The Authority may issue an ATO certificate if, after investigation, the Authority finds that the applicant:
3. Meets the requirements of this part for the holder of an ATO certificate; and
4. Is properly and adequately equipped to perform the training for which it seeks approval.

Note: If, under the Civil Aviation Safety Act, as amended, any fees are to be prescribed by the Authority for the ATO certification process, that requirement shall be set forth in this part.

ICAO Annex 1, Appendix 2: 1.1

14 CFR 142.5(b); 147.5

#### Duration and Renewal of an ATO Certificate

1. An ATO certificate, or any portion of an ATO certificate, issued to an ATO located either inside or outside [STATE] is effective from the date of issue until:
2. The last day of the 12th month after the date on which the certificate was initially issued, subject to satisfactory compliance with the requirements of this part; or
3. The last day of the 24th month after the date on which the certificate was renewed, subject to satisfactory compliance with the requirements of this part; or
4. The ATO surrenders the certificate to the Authority; or
5. The Authority suspends or revokes the certificate.
6. The holder of an ATO certificate that has expired, has been surrendered, or has been suspended or revoked by the Authority shall return the certificate and training specifications to the Authority within 5 working days of expiration, surrender, or receipt from the Authority of notice of suspension or revocation.
7. An ATO that applies for a renewal of its certificate in [STATE] shall submit its request for renewal no later than 90 days before the ATO’s current certificate expires. If a request for renewal is not made within this period, the ATO shall follow the certification procedures for initial issuance as prescribed by the Authority.

14 CFR 141.17; 142.7; 147.7

#### Continued Validity of an ATO Certificate

1. Unless the ATO certificate has previously been surrendered, superseded, suspended, or revoked, or has expired by virtue of exceeding any expiration date that may be specified in the certificate, the continued validity of the ATO certificate issued by [STATE] shall be dependent upon:
2. The ATO remaining in compliance with the requirements of this part, the relevant safety management requirements of Part 1 of these regulations, and any additional information required by the Authority;
3. The Authority being granted access to the ATO’s facilities to determine continued compliance with the requirements of this part; and
4. The payment of any charges prescribed by the Authority.

ICAO Annex 1, Appendix 2: 1.1; 8

14 CFR 141.21; 142.29; 147.43

#### Authority to Inspect

1. The Authority may, at any time, inspect an ATO on the ATO’s premises to determine the organisation’s continuing compliance with the requirements of this part.
2. Inspections will be conducted at least annually.
3. After an inspection is conducted, the ATO will be notified, in writing, of any deficiencies identified during the inspection.
4. Inspections will also be performed on an applicant for, or the holder of, an ATO certificate held outside the authorising Contracting State. This inspection may be delegated to the Authority of the State where the ATO is located, provided an arrangement exists.

ICAO Annex 1, Appendix 2: 8

14 CFR 141.21; 142.29; 147.43

JAR-FCL1/2/4.055 Appendix 1a and 2: paragraph 9

#### Suspension or Revocation of an ATO Certificate

1. The Authority may suspend or revoke an ATO certificate if it is established that the ATO has not met, or no longer meets, the requirements of this part.

14 CFR 141.17; 142.7; 147.7

JAR-FCL 1/2/4.010; JAR 147.120

#### Changes to the ATO and ATO Certificate Amendments

1. To enable the Authority to determine continued compliance with the requirements of this part, the ATO shall provide written notification to the Authority for approval at least 90 days prior to a change to any of the following:
2. The name of the organisation;
3. The location of the organisation;
4. The facilities, equipment, or personnel that may affect the ATO rating(s) issued;
5. The rating(s) held by the organisation, whether granted by the Authority or held through an ATO certification issued by another Contracting State;
6. Additional locations of the organisation;
7. Items in the ATO Procedures Manual, including the syllabi and curricula;
8. The accountable manager; or
9. The list of management personnel as described in the ATO Procedures Manual.
10. The Authority will amend the certificate if the ATO notifies the Authority of a change in:
11. Location, facilities, or equipment;
12. Additional locations of the organisation;
13. Rating(s) issued, including deletions;
14. Items in the ATO Procedures Manual, including the syllabi and curricula;
15. The name of the organisation with same ownership; or
16. Ownership.
17. The Authority may amend the certificate if the ATO notifies the Authority of a change in:
18. The accountable manager;
19. The list of management personnel as described in the ATO Procedures Manual; or
20. Other items in the ATO Procedures Manual, including the syllabi and curricula.
21. When the Authority issues an amendment to an ATO’s certificate because of new ownership of the ATO, the Authority will assign a new certificate number to the amended certificate.
22. The Authority may:
23. Prescribe, in writing, the conditions under which the ATO shall continue to operate during any period of implementation of the changes noted in paragraph 3.2.1.11(a) of this subsection; and
24. Hold the ATO certificate in abeyance if the Authority determines that approval of amendments to the ATO certificate may be delayed; the Authority will notify the ATO, in writing, of the reasons for any such delay.
25. If changes are made by the ATO to the items listed in paragraph 3.2.1.11(a) of this subsection without notification to the Authority or amendment of the ATO certificate by the Authority, the ATO certificate may be suspended or revoked by the Authority.

ICAO Annex 1, Appendix 2: 1.1; 1.2; 2.2; 2.3; 6.1; 6.2; 6.3

ICAO Doc 9841: 2.5.1; 2.5.2

14 CFR 141.13; 142.11

#### Location of the ATO

1. PRINCIPAL PLACE OF BUSINESS. An applicant for, or the holder of, an ATO certificate issued under this part shall establish and maintain a principal place of business office that is physically located at the address to be shown on its certificate.
2. SATELLITE ATOs. An ATO may conduct training in accordance with a training programme approved by the Authority at a satellite ATO, provided that:
3. The facilities, equipment, personnel, and course content of the satellite ATO meet the applicable requirements;
4. The instructors at the satellite ATO are under the direct supervision of management personnel at the principal ATO; and
5. The Authority has issued training specifications to the ATO that reflect the name and address of the satellite ATO and the approved courses offered at the satellite ATO.
6. FOREIGN LOCATIONS OF ATOs. An ATO or a satellite ATO approved by the Authority may be located in a country outside [STATE] and shall be subject to all the applicable requirements of this part.

ICAO Doc 9841, Chapters 6 and 11

14 CFR 141.25(a); 141.91; 142.17

JAR-FCL 1/2.055

#### Facilities, Equipment, and Materials – General Requirements

1. The facilities and working environment of the ATO shall be appropriate for the task to be performed and shall be acceptable to the Authority.
2. An ATO shall have available, or shall have access to, the necessary facilities, equipment, and materials to conduct the courses for which it is approved.
3. Any training devices used by the ATO shall be qualified according to requirements established by the Authority, and their use shall be approved by the Authority to ensure that they are appropriate to the task.
4. An ATO shall not make a substantial change in facilities, equipment, or materials that have been approved for a particular training programme unless that change is approved in advance by the Authority.
5. The facility that is the ATO’s principal place of business:
6. Shall not be shared with, or used by, another ATO; and
7. Shall be adequate to maintain the records required to operate the business of the ATO.

Note: ICAO Doc 9625, Manual of Criteria for the Qualification of Flight Simulation Training Devices, provides guidance on the approval of FSTDs.

ICAO Annex 1, Appendix 2: 5.1; 5.2; 5.3

14 CFR 141.25(b) and (c); 147.13

JAR-FCL 1.2.4.055; JAR 147.30

#### Personnel – General Requirements

1. The ATO shall nominate a person responsible for ensuring that it is in compliance with the requirements for an approved organisation.
2. The ATO shall employ the necessary personnel to plan, perform, and supervise the training to be conducted.
3. The competence of instructional personnel shall be in accordance with procedures an of a level acceptable to the Authority.
4. The ATO shall ensure that all instructional personnel receive initial and recurrent training appropriate to their assigned duties and responsibilities.
5. The training programme established by the ATO shall include training in knowledge and skills related to human performance.
6. The training programme for ATO personnel shall be contained in the ATO Procedures Manual.

Note: Guidance on designing training programmes to develop knowledge and skills in human performance can be found in ICAO Doc 9683, Human Factors Training Manual.

ICAO Annex 1, Appendix 2: 6.1; 6.2; 6.3; 6.4

#### Record Keeping – General Requirements

1. STUDENT RECORDS.
2. The ATO shall retain detailed student records to show that all requirements of the training course have been met as approved by the Authority.
3. These records shall be kept for a minimum period of 2 years after completion of the training.
4. INSTRUCTIONAL AND EXAMINING PERSONNEL RECORDS.
5. The ATO shall maintain a system for recording the qualifications and training of instructional and examining personnel, where appropriate.
6. These records shall be kept for a minimum period of 2 years after the instructor or examiner ceases to perform a function for the ATO.

ICAO Annex 1, Appendix 2: 7.1; 7.2; 7.3

#### ATO Approved for Testing

1. The Authority may authorise an ATO to conduct the testing required for the issuance of a licence or rating.
2. The ATO personnel authorised to conduct the testing shall be approved by the Authority.

ICAO Annex 1, Appendix 2: 2; 3.1; 3.2; 9

#### Quality System and Quality Assurance Programme

1. The ATO shall establish a quality system and a quality assurance programme, acceptable to the Authority, that shall ensure that training and instructional practices comply with all relevant requirements.
2. The ATO quality system and quality assurance programme shall be established in accordance with the instruction and information prescribed in IS 3.2.1.17.

ICAO Annex 1, Appendix 2: 4

ICAO Doc 9841: Appendix B

IEM No. 1 to JAR-FCL 1.055

#### ATO Procedures Manual – General Requirements

1. The ATO shall provide an ATO Procedures Manual, approved by the Authority, for the use and guidance of personnel concerned. This manual may be issued in separate parts and shall contain at least the following information:
2. A general description of the scope of training authorised under the training specifications issued to the ATO;
3. The content of the training programmes offered, including the courseware and equipment to be used;
4. A description of the organisation’s quality system;
5. A description of the organisation’s facilities;
6. The name, duties, and qualifications of the person designated as the accountable manager;
7. A description of the duties and qualifications of the personnel responsible for planning, performing, and supervising the training;
8. A description of the procedures used to establish and maintain the competence of instructional personnel;
9. A description of the method used for the completion and retention of the training records;
10. A description, when applicable, of additional training needed to comply with an operator’s or maintenance organisation’s procedures and requirements; and
11. When the Authority has authorised an ATO to conduct the testing required for the issuance of a licence or rating in accordance with 3.2.1.16 of this part, a description of the selection, role, and duties of authorised personnel, as well as the applicable requirements established by the Authority.
12. The ATO shall ensure that the ATO Procedures Manual is amended as necessary to keep the information contained therein up-to-date.
13. The ATO shall promptly furnish copies of all amendments to the ATO Procedures Manual to the Authority and all organisations and personnel to which the manual has been issued.

ICAO Annex 1, Appendix 2: 2.1; 2.2; 2.3

#### Duty Period Limitations

1. A person who holds an FI licence shall not conduct more than 8 hours of flight training in any 24-consecutive-hour period.
2. Excluding briefing and debriefing, an FSTD instructor shall not conduct more than 8 hours of instruction in any 24-consecutive-hour period.
3. A student in a certificated AMT school may not be required to attend classes of instruction more than 8 hours in any day or more than 6 days or 40 hours in any 7-day period.

14 CFR 61.195; 142.49

#### Safety Management System

1. An ATO shall implement an SMS acceptable to the Authority as outlined in 1.6 of these regulations.

ICAO Annex 1: 1.2.8.2

ICAO Annex 19: 4.1.2

#### Outsourcing to Third-Party Providers

1. The ATO may outsource courseware, facilities and equipment, and instructional personnel to a third party, provided that the ATO has been approved by the Authority:
2. For the training that is to be conducted; and
3. To contract with the third party to be used.
4. The ATO shall be accountable for the quality of third-party providers, including the suitability of courseware, facilities and equipment, and instructional personnel used to meet the ATO approved programmes.

ICAO Annex 1, Appendix 2: 2; 7

ICAO Doc 9841, Chapter 7

## Additional Requirements for Instruction – Flight Crew Training

### General

1. In addition to the requirements of 3.2 of this part, this subpart prescribes requirements for an ATO teaching flight crew curricula.

### Curriculum Approval for Flight Crew Training

#### Training Courses

1. The Authority may approve an applicant for, or the holder of, an ATO certificate to conduct the following flight crew courses of instruction, as provided in the training specifications and provided the applicant meets the requirements of this part and Part 2 of these regulations:
2. Private pilot licence course;
3. CPL course;
4. IR course;
5. CPL/IR multi-engine/CRM-integrated course;
6. Multi-crew pilot licence course;
7. Airline transport pilot licence course;
8. FE licence course;
9. Flight navigator licence course;
10. Class rating course;
11. Type rating course;
12. CRM course;
13. FI course;
14. Instructor course for additional type or class ratings;
15. Instructor course for flight simulation;
16. Refresher courses;
17. RPAS course;
18. Instructor course for RPAS training;
19. Instructor course for RPAS flight simulation; and
20. Other courses, as the Authority may approve.

Note 1: See ICAO Doc 7192, Part B-5, Integrated Commercial Pilot Course, Volumes 1 and 2.

Note 2: To allow courses to be tailored to the specific training needs of students and to be updated promptly, course contents are not specified in detail in this part. For examples of course curricula, see the ICAO Doc 7192 Training Manual series; the 14 CFR part 141 appendices; and 14 CFR part 121, Appendix E.

ICAO Annex 1: 1.2.8.3; 1.2.8.5; 2.11; 2.12; 2.13; 2.14

14 CFR 141.11

#### Training Course Approval – Qualification-Based and Alternative Means of Compliance

1. An applicant for, or the holder of, an ATO certificate shall apply to the Authority for approval for each training course to be offered or amended.
2. The applicant or ATO shall submit two copies of the training course or amendment to the Authority as part of the application.
3. The applicant or ATO shall submit the application to the Authority at least 30 days before any instruction under the training course is scheduled to begin.
4. Except as provided in 3.3.2.3 of this part, each training course for which approval is requested shall meet the minimum ground and flight training time requirements specified in Part 2 of these regulations for the licence, rating, or authorisation sought.
5. Each training course for which approval is requested shall contain:
6. A description of each room used for ground training, including the room size and the maximum number of students that may be trained in the room at one time, unless the course is provided via an internet-based training medium;
7. A description of each type of audiovisual aid, projector, tape recorder, mock-up, chart, aeronautical product, and other special training aid used for ground training;
8. A description of each FSTD used for training;
9. A list of the aerodromes at which training flights originate and a description of the facilities, including pilot briefing areas that are available for use by the ATO’s students and personnel at each of those aerodromes;
10. A description of the type of aircraft, including any special equipment used for each phase of training;
11. The minimum qualifications and ratings for each instructor assigned to ground or flight training, or to RPAS training; and
12. A training syllabus that includes the following information:
    * + 1. The prerequisites for enrolling in the ground and flight portion of the course, which include the pilot licence and rating (if required by this part), pilot training, pilot experience, and pilot knowledge;
        2. A detailed description of each lesson, including the lesson’s objectives, standards, and planned time for completion;
        3. A description of what the course is expected to accomplish with regard to student learning;
        4. The expected accomplishments and the standards for each stage of training; and
        5. A description of the checks and tests to be used to measure a student’s accomplishments for each stage of training.

ICAO Annex 1: 1.2.8.2

ICAO Doc 9841, Appendix E: 3

14 CFR 141.53; 141.55(a)–(c)

#### Training Course Approval – Alternative Means of Compliance and Competency-Based Training and Assessment

1. An ATO may request and receive initial approval for a period of not more than 24 calendar months for any training course under this part that does not meet the minimum hours for a licence or rating prescribed by Part 2 of these regulations, provided that:
2. The ATO shows that the instruction will provide a level of competency at least equal to the minimum experience requirements for personnel not receiving such instruction; and
3. The following conditions are met:
   * + 1. The ATO holds an ATO certificate issued under this part and has held that certificate for a period of at least 24 consecutive calendar months preceding the month of the request;
       2. In addition to the information required by paragraph 3.3.2.2(c) of this part, the training course specifies planned ground and flight training time requirements for the course;
       3. The ATO shall not request that the training course be approved for examining authority, nor may that ATO hold examining authority for that course; and
       4. The knowledge test and/or skill test for the course shall be given by:
          1. A licensed inspector; or
          2. An examiner who is not an employee of the ATO.
4. An ATO may request and receive final approval for any training course under this part that does not meet the minimum hours for a licence prescribed by Part 2 of these regulations, provided that the following conditions are met:
5. The ATO has held initial approval for that training course for at least 24 calendar months;
6. The ATO has:
   * + 1. Instructed at least 10 students in that training course within the preceding 24 calendar months and has recommended those students for a pilot, FI, or GI licence or rating; and
       2. At least 80 per cent of those students passed the knowledge or skill test, as appropriate, on the first attempt, and that test was given by:
          1. A licensed inspector; or
          2. An examiner who is not an employee of the ATO;
7. In addition to the information required by paragraph 3.3.2.2(c) of this part, the training course specifies planned ground and flight training time requirements for the course; and
8. The ATO shall not request that the training course be approved for examining authority, nor may that ATO hold examining authority for that course.

ICAO Annex 1: 1.2.8.1; 1.2.8.2

14 CFR 141.55(a), (b), (d), and (e); 142.39

JAR-FCL1/2/4.055 Appendix 1a: paragraph 3; 24; Appendix 2: paragraph 3; 21; Appendix 1: paragraph 21

### Personnel Required for Flight Crew Training

1. An applicant for, or the holder of, an ATO certificate for instructing flight crew curricula shall have the following personnel:
2. A Director of Training;
3. A CFI, as applicable;
4. A CGI, as applicable; and
5. An adequate number of GIs and FIs relevant to the courses provided.
6. Each instructor to be used for training shall have received the appropriate training and shall hold the appropriate licences and/or ratings as required by Part 2 of these regulations.
7. The duties and qualifications of the personnel listed in paragraph 3.3.3(a) of this subsection are prescribed in IS 3.3.3.

ICAO Annex 1: 1.2.8.5; Appendix 2: 6.1; 6.2; 6.3

14 CFR 141.33; 141.35; 142.13; 142.47; 142.49; 142.53; 147.23

JAR-FCL 1/2/4.055; 1/2.055 Appendix 1a: paragraph 10-20; Appendix 2: paragraph 11-16

### Facilities and Equipment Required for Flight Crew Training

#### Training Facilities

1. An applicant for, or the holder of, an ATO certificate instructing flight crew curricula shall have facilities, as determined by the Authority, appropriate for the maximum number of students expected to be taught at any time, as follows:
2. Flight operations facilities:
   * + 1. An operations room;
       2. A flight planning room;
       3. Adequate briefing rooms; and
       4. Offices for the instructors.
3. Knowledge instruction facilities, including:
   * + 1. Classroom accommodations;
       2. Suitable demonstration equipment;
       3. A radiotelephony training and testing facility;
       4. A library; and
       5. Offices for the instructors.

14 CFR 141.43; 141.45; 142.15; 142.17

JAR-FCL 1/2/4.055

#### Training Aircraft and Remotely Piloted Training Aircraft

1. An applicant for, or the holder of, an ATO certificate shall ensure that each aircraft used for flight instruction and solo flights meets the following requirements:
2. Except for flight instruction and solo flights in a curriculum for agricultural aircraft operations, external-load operations, and similar aerial work operations, all aircraft shall have a [STATE] standard certificate of airworthiness or a foreign equivalent of a [STATE] standard certificate of airworthiness, acceptable to the Authority.
3. The aircraft shall be maintained and inspected in accordance with 8.3 of these regulations and an approved maintenance programme.
4. The aircraft shall be equipped as provided in the training specifications for the approved course for which it is used.
5. Except as provided in paragraph 3.3.4.2(a)(5) of this subsection, each aircraft used in flight training shall have at least two pilot stations with engine-power controls that can be easily reached and operated in a normal manner from both pilot stations.
6. Aeroplanes with controls such as nose-wheel steering, switches, fuel selectors, and engine air flow controls that are not easily reached and operated in a conventional manner by both pilots may be used for flight instruction if the certificate holder determines that the flight instruction may be conducted in a safe manner considering the location of controls and their non-conventional operation, or both.
7. An applicant for, or the holder of, an ATO certificate shall ensure that each RPA used for RPAS flight instruction and solo flights meets the following requirements:
8. Except for flight instruction and solo flights in a curriculum for agricultural aircraft operations, external-load operations, and similar aerial work operations, the RPA shall have a [STATE] special certificate of airworthiness, “experimental certificate,” or a foreign equivalent of a [STATE] experimental certificate acceptable to the Authority.
9. The RPA shall be maintained and inspected in accordance with Part 8 of these regulations and an approved maintenance programme.
10. The RPA shall be equipped as provided in the training specifications for the approved course for which it is used.
11. Each RPA used in a course involving IFR en route operations and instrument approaches shall be equipped and maintained for IFR operations. For manoeuvring of an RPA by reference to instruments, the RPA may be equipped as provided in the approved course of training.

ICAO Annex 1: 1.2.8.5; 2.13.3

14 CFR 141.39; 142.57

JAR-FCL 1/2/4.055

#### Flight Simulation Training Devices

1. An applicant for, or the holder of, an ATO certificate, approved to use FSTDs, shall show that each FSTD used for training and checking will be or is specifically qualified and approved by the Authority for:
2. Each manoeuvre and procedure for the make, model, and series of aircraft, set of aircraft, aircraft type simulated, or RPAS, as applicable; and
3. Each training programme or training course in which the FSTD is used.
4. Each qualified and approved FSTD used by an ATO shall:
5. Be maintained to ensure the reliability of the performances, functions, and all other characteristics that were required for its qualification;
6. Be modified to conform with any modification to the aircraft or RPAS being simulated if the modification results in changes to performance, function, or other characteristics required for qualification;
7. Be given a functional pre-flight check each day before being used; and
8. Have a discrepancy log in which the instructor or evaluator, at the end of each training session, enters each discrepancy.

ICAO Annex 1: 1.2.8.5; 2.11.6; 2.13.3

14 CFR 141.41; 142.59

JAR-FCL 1/2.055(a)(4)

#### Aerodromes and Sites

1. Each applicant for, and holder of, an ATO certificate shall show that it has continuous use of each aerodrome and site (for helicopter training) at which training flights originate, and that the aerodrome has an adequate runway and the necessary equipment.
2. The base aerodrome, and any alternative base aerodrome, at which flight crew training is being conducted shall have at least one runway or take-off area that allows training aircraft to make a normal take-off or landing at the maximum certificated take-off mass or maximum certificated landing mass under the following conditions:
3. Under calm wind (not more than 4 kt) conditions;
4. At temperatures in the operating area equal to the mean high temperature for the hottest month of the year;
5. If applicable, with the powerplant operation and landing gear and flap operation recommended by the manufacturer; and
6. In the case of a take-off:
   * + 1. Clearing all obstacles in the take-off flight path by at least 15 m (50 ft); and
       2. With a smooth transition from lift-off to the best rate of climb speed without exceptional piloting skills or techniques.
7. Each aerodrome shall:
8. Have a wind direction indicator that is visible at ground level from the ends of each runway;
9. Have adequate runway electrical lighting if used for night training; and
10. Have a traffic direction indicator when:
    * + 1. The aerodrome does not have an operating control tower; and
        2. Traffic and wind advisories are not available.
11. Except as specified in paragraph 3.3.4.4(e) of this subsection, each aerodrome used for night training flights shall have permanent runway lights.
12. An aerodrome or seaplane base used for night training flights in seaplanes may be approved by the Authority to use adequate, non-permanent lighting or shoreline lighting.
13. Training sites shall be available for:
14. Confined area operation;
15. Simulated engine-off autorotation; and
16. Sloping ground operation.

14 CFR 141.38

JAR-FCL1/2.055 Appendix 1a: paragraph 27, resp. 27/28

### Additional Specific Operating Rules for Flight Crew Training

#### ATO Procedures Manual – Flight Crew Training

1. Each applicant for, or holder of, an ATO certificate shall prepare and maintain an ATO Procedures Manual containing information and instructions to enable flight crew instructional personnel to perform their duties and to provide guidance to students on how to comply with flight crew training course requirements.
2. Documentation of each proposed flight crew training course curriculum, including syllabi, outlines, courseware, procedures, and documentation shall be contained in the ATO Procedures Manual.
3. The ATO shall ensure that the flight crew training curricula contained in the ATO Procedures Manual are amended as necessary to keep the information contained therein up to date.
4. Copies of all amendments to the flight crew training curricula contained in the ATO Procedures Manual shall be furnished promptly by the ATO to all persons or organisations to whom the manual has been issued.
5. Detailed requirements pertaining to the flight crew training curricula that shall be contained in the ATO Procedures Manual are prescribed in IS 3.3.5.1.

ICAO Annex 1: 1.2.8.5; 2.11; 2.12; 2.13; 2.14; Appendix 2: 2.1; 2.2; 2.3

ICAO Doc 9841: Appendix A

14 CFR part 141: Subparts C and E

14 CFR part 142: Subparts B and D

JAR-FCL1/2/4.055 Appendix 1a and 2: paragraph 31-33; Appendix 2: paragraph 25-27; Appendix 1: paragraph 25-27

#### Record Keeping

1. STUDENTS. An ATO that is approved to conduct flight crew training shall maintain a record for each trainee that contains:
2. The name of the trainee;
3. A copy of the trainee’s airman certificate, if any, and any medical certificate;
4. The name of the course and the make and model of flight training equipment used;
5. The trainee’s prerequisite experience and course time completed;
6. The trainee’s performance on each lesson and the name of the instructor providing instruction;
7. The date and result of each end-of-course skill test and the name of the examiner conducting the test; and
8. The number of hours of additional training that was accomplished after any unsatisfactory skill test.
9. ATO PERSONNEL. An ATO that is approved to conduct flight crew training shall maintain a record for each instructor approved to instruct a flight crew training course approved in accordance with this subpart that indicates that the instructor has complied with all applicable instructor requirements of these regulations.
10. RECORD RETENTION. An ATO shall keep all records for a minimum period of 2 years:
11. For students, from the date of completion of flight crew training, testing, or checking; and
12. For ATO personnel, from the date of the last employment.
13. The ATO shall make the flight crew training records available to the Authority, upon request and within a reasonable time, and shall keep the records:
14. For students, at the ATO or satellite ATO where the flight crew training, testing, or checking occurred; and
15. For ATO personnel, at the ATO or satellite ATO where the person is employed.
16. The ATO shall provide to a trainee, upon request and within a reasonable time, a copy of the trainee’s flight crew training records.

ICAO Annex 1, Appendix 2: 7.1; 7.2; 7.3

14 CFR 141.101; 142.73

#### Graduation Certificate

1. An ATO shall issue a graduation certificate to each student who completes its approved flight crew training course.
2. The graduation certificate shall be issued to the student upon completion of the flight crew training course and shall contain at least the following information:
3. The name and certificate number of the ATO;
4. The name of the graduate to whom it was issued;
5. The course of training for which it was issued;
6. The date of graduation;
7. A statement that the student has satisfactorily completed each required stage of the approved course of training, including the tests for those stages;
8. A certification of the information contained on the graduation certificate by the chief instructor for that course of training; and
9. A statement showing the cross-country training that the student received in the course of training.

14 CFR 141.95

#### Examining Authority

1. An ATO shall meet the following prerequisites to receive initial approval for examining authority:
2. The ATO shall complete the application for examining authority on a form and in a manner prescribed by the Authority;
3. The ATO shall hold an ATO certificate and rating issued under this part;
4. The ATO shall have held the rating in which examining authority is sought for at least 24 consecutive calendar months preceding the month of application for examining authority;
5. The training course for which examining authority is requested may not be a course that is approved without meeting the minimum ground and flight training time requirements of this part; and
6. Within 24 calendar months before the date of application for examining authority, at least 90 per cent of the students in the ATO shall have passed, on the first attempt, the required knowledge or skill test, or any combination thereof, for the licence or rating for which examining authority is sought, and that test was given by:
   * + 1. A licensed inspector; or
       2. A designated examiner who is not an employee of the ATO.
7. The examining authority of the ATO is valid for 24 months, unless suspended or revoked by the Authority, and may be renewed upon request to the Authority by the ATO.
8. An ATO that holds examining authority may recommend a person who graduated from its course for the appropriate knowledge or skill test.
9. An ATO that holds examining authority will administer the tests or checks as required by Parts 2 or 8 of these regulations and as appropriate to the licence or rating sought.
10. An ATO that holds examining authority shall:
11. Maintain a record of all temporary airman licences or ratings it issues, which shall consist of the following information in chronological order:
    * + 1. The date the temporary airman licence was issued;
        2. The name of the student to whom the temporary airman licence was issued, and that student's permanent mailing address and telephone number;
        3. The training course from which the student graduated;
        4. The name of the person who conducted the knowledge or skill test;
        5. The type of temporary airman licence or rating issued to the student; and
        6. The date the student's airman application file was sent to the Authority for processing for a permanent airman licence;
12. Maintain a copy of the record containing each student's graduation certificate, airman application, temporary airman licence, superseded airman licence (if applicable), and knowledge test or skill test results; and
13. Retain these records for 2 years and make them available to the Authority upon request. These records shall be surrendered to the Authority when the ATO ceases to have examining authority.

14 CFR 141.61; 141.63; 141.65; 141.67

#### Student Transfer of Credit Between ATOs

1. A person who transfers from one ATO to another ATO may receive credit for that previous flight crew training, provided the following requirements are met:
2. The maximum credited training time does not exceed one-half of the receiving ATO’s curriculum requirements;
3. The person completes a knowledge and skill test conducted by the receiving ATO for the purpose of determining the amount of experience and knowledge to be credited;
4. The receiving ATO determines, based on the person's performance on the knowledge and skill test required by paragraph 3.3.5.5(a)(2) of this subsection, the amount of credit to be awarded, and records that credit in the person's training record;
5. The person who requests credit for previous experience and knowledge obtained the experience and knowledge from another ATO approved training course; and
6. The receiving ATO retains a copy of the person's training record from the previous ATO.

14 CFR 141.67

#### Inspection of an ATO

1. Each ATO shall allow the Authority to inspect the ATO personnel, facilities, equipment, materials, and records at any reasonable time and in any reasonable place to determine the ATO’s compliance with these regulations and with the ATO certificate and training specifications issued to the ATO.

ICAO Annex 1, Appendix 2: 8

ICAO Doc 9841, Chapter 9

14 CFR 141.21; 143.29

## Additional Requirements for Instruction – Maintenance Training

### General

1. In addition to the requirements of 3.2 of this part, this subpart prescribes requirements for an ATO instructing maintenance curricula.

### Curriculum Approval for Maintenance Training

#### Training Courses

1. The Authority may approve an applicant for, or the holder of, an ATO certificate to conduct the following courses of instruction, as provided in the training specifications and provided the applicant meets the requirements of this part and Part 2 of these regulations:
2. AMT licence course;
3. Airframe rating course;
4. Powerplant rating course;
5. Airframe and powerplant combined ratings course;
6. Avionics rating course;
7. RPAS maintenance course; and
8. Other courses, as the Authority may approve.

ICAO Annex 1: 1.2.8.4

14 CFR 147.11

JAR 147.15

#### Training Course Approval – Qualification-Based and Alternative Means of Compliance

1. An applicant for, or the holder of, an ATO certificate shall apply to the Authority for approval for each maintenance training course to be offered or amended.
2. The applicant or ATO shall submit two copies of each maintenance training course or amendment to the Authority as part of the application.
3. The applicant or ATO shall submit the application to the Authority at least 30 days before any training under the course is scheduled to begin.
4. Except as provided in 3.4.2.3 of this part, each maintenance training course for which approval is requested shall meet the minimum maintenance training time requirements specified in Part 2 of these regulations for the licence, rating, or authorisation sought.
5. Each maintenance training course for which approval is requested shall contain:
6. A description of each room used for maintenance training, including the room size and the maximum number of students that may be trained in the room at one time unless the course is provided via an internet-based training medium;
7. A description of each type of audiovisual aid, projector, tape recorder, mockup, chart, aeronautical product, and other special training aid used for maintenance training;
8. A description of the minimum equipment to be used in each course;
9. The minimum qualifications and ratings for each instructor assigned to maintenance training, including initial and recurrent training; and
10. A training syllabus that includes the following information:
    * + 1. The prerequisites for enrolling in the course;
        2. A detailed description of each lesson, including the lesson’s objectives, standards, and planned time for completion;
        3. The subjects and items to be covered and the level of proficiency required;
        4. For each subject, the proportions of theory and other instruction to be given;
        5. A description of what the course is expected to accomplish with regard to student learning;
        6. The expected accomplishments and the standards for each stage of training, including the required practical projects to be completed; and
        7. A description of the checks and tests to be used to measure a student’s accomplishments for each stage of training.

14 CFR 141.53; 141.55(a)–(c); 147:21

#### Training Course Approval – Alternative Means of Compliance and Competency-Based Training and Assessment

1. An ATO may request and receive initial approval for a period of not more than 24 calendar months for any maintenance training course under this part that does not meet the minimum hours for a licence or rating prescribed by Part 2 of these regulations, provided that:
2. The ATO shows that the training will provide a level of competency at least equal to the minimum experience requirements for personnel not receiving such instruction; and
3. The following conditions are met:
   * + 1. The ATO holds an ATO certificate issued under this part and has held that certificate for a period of at least 24 consecutive calendar months preceding the month of the request;
       2. In addition to the information required by paragraph 3.4.2.2(c) of this part, the training course specifies planned maintenance training time requirements for the course;
       3. The ATO shall not request that the maintenance training course be approved for examining authority, nor may that ATO hold examining authority for that course; and
       4. The knowledge test and/or skill test for the maintenance training course shall be given by:
          1. A licensed inspector; or
          2. An examiner who is not an employee of the ATO.
4. An ATO may request and receive final approval for any maintenance training course under this part that does not meet the minimum hours for a licence or rating prescribed by Part 2 of these regulations, provided that the following conditions are met:
5. The ATO has held initial approval for that maintenance training course for at least 24 calendar months;
6. The ATO has:
   * + 1. Instructed at least 10 students in that maintenance training course within the preceding 24 calendar months and has recommended those students for an AMT certificate or rating; and
       2. At least 80 per cent of those students passed the knowledge or skill test, as appropriate, on the first attempt, and that test was given by:
          1. A licensed inspector; or
          2. An examiner who is not an employee of the ATO;
7. In addition to the information required by paragraph 3.4.2.2(c) of this part, the training course specifies planned theoretical knowledge and practical training time requirements for the course; and
8. The ATO shall not request that the maintenance training course be approved for examining authority, nor may that ATO hold examining authority for that course.

ICAO Annex 1: 1.2.8.1; 1.2.8.2

14 CFR 141.55(d); 141.57; 142.39; 147.21

### Personnel Required for Maintenance Training

1. An applicant for, or the holder of, an ATO certificate for instructing maintenance curricula shall have the following personnel:
2. A Director of Training; and
3. An adequate number of instructors relevant to the courses provided.
4. Each instructor to be used for maintenance training shall have received the appropriate training and shall hold the appropriate licences and/or ratings as required by Part 2 of these regulations.
5. The duties and qualifications of training and instruction personnel listed in paragraph 3.4.3(a) of this subsection are as follows:
6. DIRECTOR OF TRAINING. The Director of Training shall have overall responsibility for ensuring satisfactory integration of theoretical knowledge instruction and practical training and for supervising the progress of individual students. The Director of Training shall have extensive experience in training as an instructor for AMT licensing and shall possess a sound managerial capability.
7. INSTRUCTORS.
   * + 1. Each ATO shall provide the number of instructors holding appropriate licences and ratings, issued under Part 2 of these regulations, that the Authority determines is necessary to provide adequate instruction and supervision of the students.
       2. An ATO may provide specialised instructors who are not licensed, but who are approved in accordance with Part 2 of these regulations, to teach mathematics, physics, drawing, basic electricity, basic hydraulics, and similar subjects.

14 CFR 147.36

### Facilities, Equipment, and Materials Required for Maintenance Training

1. An applicant for, or the holder of, an ATO certificate shall have facilities, equipment, and materials, as determined by the Authority, appropriate for the maximum number of students expected to be taught at any time, as follows:
2. An enclosed classroom;
3. Suitable facilities arranged to assure proper separation from the working space, for parts, tools, materials, and similar articles;
4. A suitable area for the application of finishing materials, including paint spraying;
5. Suitable areas equipped with washtank and degreasing equipment with air pressure or other adequate cleaning equipment;
6. Suitable facilities for running engines;
7. A suitable area with adequate equipment, including benches, tables, and test equipment, to disassemble, service, and inspect:
   * + 1. Ignition systems, electrical equipment, and appliances;
       2. Carburettors and fuel systems; and
       3. Hydraulic and vacuum systems for aircraft, aircraft engines, and their appliances.
8. Suitable space with adequate equipment, including tables, benches, stands, and jacks, for disassembling, inspecting, and rigging aircraft and RPAS; and
9. Suitable space with adequate equipment for disassembling, inspecting, assembling, troubleshooting, and timing engines.
10. An applicant for, or the holder of, an ATO certificate with approved AMT courses shall have and maintain the following instructional equipment, appropriate to the rating sought:
11. Various types of aeronautical products (including propellers) of a quantity and type suitable to complete the practical projects required by the approved training programme; and
12. At least one aircraft of a type acceptable to the Authority.
13. An applicant for, or the holder of, an ATO certificate with an AMT rating shall have aeronautical products to be used for instruction and from which students will gain practical working experience. The applicant or ATO shall ensure that the aeronautical products are sufficiently diversified as to show the different methods of construction, assembly, inspection, and operation when installed in an aircraft for use.
14. An applicant for, or the holder of, an ATO certificate with an AMT rating, or an applicant seeking an additional AMT rating, shall have at least the facilities, equipment, and materials appropriate to the rating sought.
15. An applicant for, or the holder of, an ATO certificate with an AMT rating shall maintain, on the premises and under the full control of the ATO, an adequate supply of materials, special tools, and shop equipment used in constructing and maintaining aircraft, appropriate to the approved training programme of the ATO, in order to assure that each student will be properly instructed.
16. An ATO may not make a substantial change in facilities, equipment, or materials that have been approved for a particular training programme unless that change is approved by the Authority in advance.

ICAO Annex 1, Appendix 2: 5

14 CFR 147.13; 147.15; 147.17; 147.19; 147.37

JAR 147.30, 45, 50

### Additional Specific Operating Rules for Maintenance Training

#### ATO Procedures Manual – Maintenance Training

1. Each applicant for, or holder of, an ATO certificate shall prepare and maintain an ATO Procedures Manual containing information and instructions to enable maintenance instructional personnel to perform their duties and to give guidance to students on how to comply with course requirements.
2. Documentation of each proposed maintenance training course curriculum, including syllabi, outlines, courseware, procedures, and documentation, shall be contained in the ATO Procedures Manual.
3. The ATO shall ensure that the maintenance training curricula contained in the ATO Procedures Manual are amended as necessary to keep the information contained therein up-to-date.
4. Copies of all amendments to the maintenance training curricula contained in the ATO Procedures Manual shall be furnished promptly by the ATO to all persons or organisations to which the manual has been issued.
5. Detailed requirements pertaining to the maintenance training curricula that shall be contained in the ATO Procedures Manual are prescribed in IS 3.4.5.1.

ICAO Annex 1: 1.2.8.4; Appendix 2: 2.1

ICAO Doc 9841: Appendix A

14 CFR 147.21

JAR 147.65

#### Record Keeping

1. STUDENTS. An ATO that is approved to conduct maintenance training shall maintain a record for each trainee that contains:
2. The name of the trainee;
3. A copy of the trainee’s airman certificate, if any;
4. The name of the course and the instruction credited;
5. The trainee’s prerequisite experience and course time completed;
6. The trainee’s performance on each lesson and the name of the instructor providing the instruction;
7. The date and result of each end-of-course test and the name of the examiner conducting the test;
8. The number of hours of additional training accomplished after any unsatisfactory test; and
9. A current progress chart or individual progress record for each student, showing the practical projects or laboratory work completed, or to be completed, in each subject.
10. ATO PERSONNEL. An ATO that is approved to conduct maintenance training shall maintain a record for each instructor approved to instruct a course approved in accordance with this subpart that indicates that the instructor has complied with all applicable instructor requirements of these regulations.
11. RECORD RETENTION. An ATO shall keep all maintenance training records for a minimum period of 2 years:
12. For students, from the date after completion of maintenance training, testing, or checking; and
13. For ATO personnel, from the date of the last employment.
14. The ATO shall make the maintenance training records available to the Authority, upon request and within a reasonable time, and shall keep the records:
15. For students, at the ATO or satellite ATO where the maintenance training, testing, or checking occurred; and
16. For ATO personnel, at the ATO or satellite ATO where the person is employed.
17. The ATO shall provide to a trainee, upon request and within a reasonable time, a copy of the trainee’s maintenance training records.

ICAO Annex 1, Appendix 2: 7.1; 7.2; 7.3

14 CFR 147.33

JAR 147.55

#### Graduation Certificate

1. An ATO shall issue a graduation certificate to each student who completes its approved course of training.
2. The graduation certificate shall be issued to the student upon completion of the course of training and shall contain at least the following information:
3. The name and certificate number of the ATO;
4. The name of the graduate to whom it was issued;
5. The course of training for which it was issued;
6. The date of graduation;
7. A statement that the student has satisfactorily completed each required stage of the approved course of training, including the tests for those stages; and
8. A certification of the information contained on the graduation certificate by the Director of Training for that course of training.

14 CFR 147.35

#### Examining Authority

1. An ATO shall meet the following prerequisites to receive initial approval for examining authority:
2. The ATO shall complete the application for examining authority on a form and in a manner prescribed by the Authority;
3. The ATO shall hold an ATO certificate and rating issued under this part;
4. The ATO shall have held the rating in which examining authority is sought for at least 24 consecutive calendar months preceding the month of application for examining authority; and
5. Within 24 calendar months before the date of application for examining authority, at least 90 per cent of the students in the ATO shall have passed, on the first attempt, the required knowledge or skill test, or any combination thereof, for the licence or rating for which examining authority is sought, and that test shall have been given by:
   * + 1. A licensed inspector; or
       2. A designated examiner who is not an employee of the ATO.
6. The examining authority of the ATO is valid for 24 months, unless suspended or revoked by the Authority, and may be renewed upon request to the Authority by the ATO.
7. An ATO that holds examining authority may recommend a person who graduated from its course for the appropriate knowledge or skill test.
8. An ATO that holds examining authority will administer the tests as required by Part 2 of these regulations and as appropriate to the licence or rating sought.
9. An ATO that holds examining authority may conduct knowledge and skill tests on a progressive schedule if approved by the Authority. This may be necessary due to the length and complexity of an inclusive maintenance training programme.
10. An ATO that holds examining authority shall:
11. Maintain a record of all temporary licences or ratings it issues, which shall consist of the following information in chronological order:
    * + 1. The date the temporary licence was issued;
        2. The name of the student to whom the temporary certificate was issued and that student's permanent mailing address and telephone number;
        3. The training course from which the student graduated;
        4. The name of the person who conducted the knowledge or skill test;
        5. The type of temporary licence or rating issued to the student; and
        6. The date the student’s application file was sent to the Authority for processing for a permanent licence;
12. Maintain a copy of the record containing each student's graduation certificate, application, temporary licence, superseded licence (if applicable), and knowledge test or skill test results; and
13. Retain these records for 2 years and make them available to the Authority upon request. These records shall be surrendered to the Authority when the ATO ceases to have examining authority.

14 CFR 141.61; 141.63; 141.65; 141.67; 142.65; 147.23; 147.33

#### Student Transfer of Credit Between ATOs

1. A person who transfers from one ATO to another ATO may receive credit for that previous maintenance training, provided the following requirements are met:
2. The maximum credited training time does not exceed one-half of the receiving ATO’s curriculum requirements for the licence or rating;
3. The person completes a knowledge and skill test conducted by the receiving ATO for the purpose of determining the amount of experience and knowledge to be credited;
4. The receiving ATO determines, based on the person's performance on the knowledge and skill test required by paragraph 3.4.5.5(a)(2) of this subsection, the amount of credit to be awarded and records that credit in the person's training record; and
5. The receiving ATO retains a copy of the person’s training record from the previous ATO.

14 CFR 147.31

#### Inspection of an ATO

1. Each ATO shall allow the Authority to inspect the ATO facilities, equipment, materials, and records at any reasonable time and in any reasonable place to determine the ATO’s compliance with these regulations and the ATO certificate and training specifications issued to the ATO.

ICAO Annex 1, Appendix 2: 8

14 CFR 147.43

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MODEL CIVIL AVIATION REGULATIONS

[STATE]

Part 3 – IMPLEMENTING STANDARDS

Version 2.11

November 2022

For ease of reference the number assigned to each IS corresponds to its associated regulation. For example, IS 3.2.1.3 reflects a standard required by 3.2.1.3 of this part.

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## Part 3 – Implementing Standards

#### IS 3.2.1.3 ATO Certificate

1. The ATO certificate issued by the Authority will be as follows:

**[STATE]**

**APPROVED TRAINING ORGANISATION CERTIFICATE**

Number:

This certificate is issued to:

Whose principal business address is:

Upon finding that its organisation complies in all respects with the regulations of [Civil Aviation Regulations Part 3] relating to the establishment of an approved training organisation and is empowered to operate an approved training organisation in accordance with the training specifications issued herewith, with the following rating(s):

This certificate shall continue in effect, unless   
surrendered, superseded, suspended, revoked, or expired, until

(enter date 12 months after first issue, 24 months after second and further issues).

| Date | Approving Authority |
| --- | --- |
| Date of issue: dd/mm/yyyy | Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
|  | Printed name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
|  | Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

This certificate is non-transferable.

CAA form dated 11/2019

ICAO Annex 1, Appendix 2: 1.2

14 CFR 141.3; 142.5; 147.3

FAA Order 8900.1, Volume 2, Chapter 1, Section 4, Figure 2-5A

#### IS 3.2.1.17 Quality System and Quality Assurance Programme

1. In order to show compliance with 3.2.1.17 of this part, an ATO shall establish its quality system and quality assurance programme in accordance with the instruction and information contained in the following paragraphs.

|  |
| --- |
| 1. **Quality Policy and Strategy** |
| * 1. The ATO shall describe how it performs the organisation and management of its training operations in order to ensure it operates in conformity with the ATO Procedures Manual and as approved by the Authority. A formal, written quality policy statement shall be prepared that establishes a commitment by the accountable manager of the ATO to achieving and maintaining the highest possible standards in quality. The quality policy shall reflect the achievement of continued compliance with all applicable [STATE] regulations and any additional standards specified by the ATO. |
| * 1. The accountable manager of the training organisation shall have the overall responsibility for the standard of quality, including the frequency, format, and structure of the internal management review and analysis activities, and may delegate to a quality manager the responsibility for the tasks defined under paragraph 2 of this IS. Depending on the size and scope of the ATO and the requirements of the Authority, the accountable manager and quality manager may interact in different ways, as illustrated in the organisational charts in ICAO Doc 9841, *Manual on the Approval of Training Organizations,* Appendix C. |
| 1. **Quality Manager** |
| * 1. The primary role of the quality manager is to verify, by monitoring activities in the field of training, that the standards as established by the ATO and any additional requirements of the Authority are being carried out properly. |
| * 1. The quality manager shall be responsible for ensuring that the quality system is properly documented, implemented, maintained, and continuously reviewed and improved. |
| * 1. The quality manager shall: |
| * + 1. Report directly to the Director of Training (see Note); and |
| * + 1. Have unencumbered access to all parts of the ATO. |
| Note: When the Director of Training is not the accountable manager, reporting mechanisms shall be instituted to ensure that the accountable manager is aware of all issues impacting the quality of the training services being provided by the affected ATO (see ICAO Doc 9841, Manual on the Approval of Training Organizations, Appendix C, Figure C-2). |
| * 1. The quality manager shall be responsible for ensuring that personnel training related to the quality system is conducted. |
| 1. **Quality Assurance** |
| * 1. The term “quality assurance” is frequently misunderstood to mean the testing and checking of products and services. ATOs that do only checking and testing activities are merely applying quality control measures, which are designed to catch product and service defects but not necessarily prevent them. For example, an ATO that administers exams at the end of the training syllabus, only to discover that a large proportion of the students failed to meet the required standard, has only identified a deficiency in expected results. The implication may be that there is a problem with the training programme, or the instructor, or even the student selection criteria. In this instance, the ATO has no idea what the real problem is or what to do about it. Quality control by itself provides limited value without the suite of complementary activities that comprise quality assurance. |
| * 1. Quality assurance, on the other hand, attempts to improve and stabilise the training process and to identify and avoid, or at least minimise, issues that lead to problems in the first place. It continuously verifies that standards are adhered to throughout the training process by introducing various checkpoints and controls. It further introduces a system of audits to ensure that documented policies, processes, and procedures are consistently followed. It is the “assurance” part of quality management. |
| * 1. A quality assurance plan for an ATO shall encompass well-designed and documented policies, processes, and procedures for at least the following activities: |
| * + 1. Monitoring training services and process controls; |
| * + 1. Monitoring assessment and testing methods; |
| * + 1. Monitoring personnel qualifications and training; |
| * + 1. Monitoring training devices and equipment qualification, calibration, and functionality, as applicable; |
| * + 1. Conducting internal and external audits; |
| * + 1. Developing, implementing, and monitoring corrective and preventive actions and associated reporting systems; and |
| * + 1. Utilising appropriate statistical analysis to identify and respond appropriately to trends. |
| * 1. An effective quality assurance plan will aid significantly in the ATO’s compliance with requirements, its conformity with the standards, and the adequacy of its training activities. Taking the ATO’s performance to a higher level requires a structure that ensures that the combined quality assurance effort of the employees reaches its full potential. |
| Note: ICAO Annex 1 requires ATOs only to establish and implement quality assurance policies, processes, and procedures acceptable to the Authority granting the approval, which ensures that training and instructional practices comply with all relevant requirements. |
| * 1. Quality assurance plans by themselves are subject to breakdowns in human performance and therefore require robust organisational structures that underpin the quality assurance efforts of individuals. It is for this reason that ATOs and States shall embrace the quality system governance model described in this IS. |
| 1. **Quality System for the ATO** |
| * 1. A quality system is the aggregate of all the ATO’s activities, plans, policies, processes, procedures, resources, incentives, and infrastructure working in unison towards a total quality management approach. It requires an organisational construct, complete with policies, processes, procedures, and resources, that underpins a commitment to achieving excellence in product and service delivery through the implementation of best practices in quality management. |
| * 1. An ATO that supports its quality assurance plan with a well-designed, -implemented, and -maintained quality system structure shall be able to easily and repeatedly achieve results that exceed both the requirements of the applicable national regulations and the expectations of the ATO’s clients. |
| * 1. The basic attributes of an effective quality system shall include, but are not necessarily limited to: |
| * + 1. A managerial structure that facilitates and encourages clear and unencumbered access to the decision makers; |
| * + 1. An overarching company commitment to achieving excellence in training service delivery rather than to meeting minimum requirements; |
| * + 1. Quality policies, processes, and procedures that are well-designed, consistently applied, and subject to formalised review and refinement processes; |
| * + 1. An employee training plan that instils and promotes best practices in quality management efforts; |
| * + 1. An organisational risk profile and corresponding risk management plan, which together provide a comprehensive list of hazards that are tied to the ATO’s activities and establish mitigating measures to effectively manage those risks that threaten the achievement of desired standards of performance; and |
| * + 1. A strategic review of policies and procedures that measures the organisation’s current assumptions, objectives, and plans by applying a relevance test matched to evolving trends in the industry or changes occurring within the ATO. |
| 1. **Organisational Risk Profile** |
| * 1. An organisational risk profile is an inventory of identified hazards and threats that present risks that are likely to prevent conformity with the required standards of performance. This “threat to quality” list is normally derived by first establishing a directory of those activities that routinely take place in order to deliver and administer a training programme. Once complete, the activity directory is then expanded to identify the hazards and threats associated with each individual activity. Some examples of routine activities that shall be examined during this process are: |
| * + 1. Selection and training of personnel; |
| * + 1. Training programme development, validation, and review; |
| * + 1. Development and maintenance of training courseware; |
| * + 1. Administrative personnel duties in support of the training programme, the instructors and evaluators, and the students; |
| * + 1. Delivery of training; |
| * + 1. Record keeping; |
| * + 1. Assessment and examination processes; and |
| * + 1. Client and Authority feedback. |
| * 1. The risks identified through this exercise shall not be limited to just those that currently exist but shall also include those potential risks that may arise from a change to existing circumstances or conditions. |
| 1. **Risk Management Plan** |
| * 1. A risk management plan is designed to mitigate the identified risks, real or potential, that were derived from the organisational risk profile exercise. The plan’s objective is not to eliminate risk so much as it is to effectively manage risk by putting in place risk-controlling measures. |
| * 1. A well-developed and -implemented risk management plan will substantially aid in accurately scoping out the depth and frequency of planned quality-assurance-related activities. |
| * 1. The plan shall be subject to the management review process outlined in paragraph 4.3(f) of this IS. |
| * 1. The current risk management plan shall be readily accessible to all employees so that it can be accurately followed and open to comment for improvement. |
| 1. **Coherence Matrix** |
| * 1. A coherence matrix, sometimes known as a correspondence matrix, is a very powerful addition to the ATO’s compliance efforts. It is a detailed, tabulated document that lists all the applicable regulatory requirements imposed on the ATO. Beside each listed provision there shall be at least two descriptive elements that identify: |
| * + 1. The existing process(es) that is (are) designed to ensure continuous compliance with that specific regulation or standard; and |
| * + 1. The individual managerial position responsible for the effective implementation of each process. |
| * 1. The coherence matrix shall indicate the next intended and most recently completed audits designed to validate the functionality of each of the identified processes. Any recent audit findings shall be listed in the matrix or referred to as being documented in a separate register of findings. |
| * 1. The coherence matrix is developed and managed by the quality manager and is subject to the management review process. |
| * 1. The current coherence matrix shall be readily accessible to all employees so it can be accurately followed and open to comment for improvement. |
| 1. **Corrective and Preventive Action Reports** |
| * 1. Quality assurance plans shall include a well-structured reporting system to ensure that suggestions by ATO personnel for both corrective and preventive actions are recorded and promptly addressed. Paragraph 3.3(f) of this IS identifies this as a necessary component of quality assurance. |
| * 1. After an analysis of the reports submitted, the reporting system shall specify who is required to rectify a discrepancy and/or nonconformity in each particular case and the procedure to be followed if corrective action is not completed within an appropriate timescale. Just as important, the reporting system shall identify who is required to investigate and act upon any report identifying measures that may prevent a nonconformity from occurring. |
| * 1. Corrective and preventive action reports shall be able to be submitted anonymously, if individuals so choose, to maximise the opportunity for open and effective reporting. |
| * 1. Since corrective and preventive action reports, in this instance, represent suggestions for improvement in conformity levels and deal with quality issues, this reporting system and its processes shall be managed by the quality manager. |
| 1. **Quality-Related Documentation** |
| * 1. Relevant documentation includes part(s) of the ATO Procedures Manual that may be included in a separate Quality Manual. |
| * 1. In addition, the relevant documentation shall include the following: |
| * + 1. Description of the ATO; |
| * + 1. Quality policy and strategy; |
| * + 1. Glossary; |
| * + 1. Organisational risk profile; |
| * + 1. Risk management plan; |
| * + 1. Coherence matrix; |
| * + 1. Corrective and preventive action procedures and reporting system; |
| * + 1. Specified training standards; |
| * + 1. Assignment of duties and responsibilities related to quality assurance and the quality system; and |
| * + 1. Training procedures related to the quality system to ensure regulatory compliance. |
| 1. **Quality Assurance Programme** |
| * 1. The quality assurance programme shall include all planned and systematic actions necessary to provide confidence that every training activity is conducted in accordance with all applicable requirements, standards, and procedures. |
| * 1. The quality assurance programme documentation shall reflect: |
| * + 1. The schedule of the monitoring process; |
| * + 1. Audit procedures; |
| * + 1. Reporting procedures; |
| * + 1. Follow-up and corrective action procedures; |
| * + 1. The record keeping system; and |
| * + 1. Document control. |
| 1. **Quality Inspection** |
| * 1. The primary purpose of a quality inspection is to review a document or observe a particular event, action, etc., in order to verify whether established training procedures and requirements are followed during the conduct of the inspection and whether the required standard is achieved. |
| * 1. Examples of typical subject areas for quality inspections are: |
| * + 1. Actual training sessions; |
| * + 1. Maintenance, if applicable; |
| * + 1. Technical standards; and |
| * + 1. Training standards. |
| 1. **Quality Audits** |
| * 1. An audit is a systematic and independent comparison between the way in which training is being conducted and the way in which it should be conducted according to the published training procedures. |
| * 1. Audits shall include at least the following quality procedures and processes: |
| * + 1. A description of the scope of the audit, which shall be explained to the personnel to be audited; |
| * + 1. Planning and preparation; |
| * + 1. The gathering and recording of evidence; and |
| * + 1. Analysis of the evidence. |
| * 1. The various techniques that make up an effective audit are: |
| * + 1. A review of published documents; |
| * + 1. Interviews or discussions with personnel; |
| * + 1. The examination of an adequate sample of records; |
| * + 1. The witnessing of the activities that make up the training; and |
| * + 1. The preservation of documents and the recording of observations. |
| 1. **Auditors** |
| * 1. The ATO shall decide, depending on the complexity of the organisation and the training being conducted, whether to make use of a dedicated audit team or a single auditor. In any event, the auditor or audit team shall have relevant training and/or operational experience. |
| * 1. The responsibilities of the auditors shall be clearly defined in the relevant documentation. |
| 1. **Auditor’s Independence** |
| * 1. Auditors shall not have any day-to-day involvement in the area of the operation or maintenance activity that is to be audited. |
| * 1. An ATO may, in addition to using the services of full-time dedicated personnel belonging to a separate quality department, undertake the monitoring of specific areas or activities through the use of part-time auditors. An ATO whose structure and size does not justify the establishment of full-time auditors may undertake the audit function using part-time personnel from within its own organisation or from an external source under the terms of an agreement acceptable to the Authority. |
| * 1. In all cases, the ATO shall develop suitable procedures to ensure that persons directly responsible for the activities to be audited are not selected as part of the auditing team. Where external auditors are used, it is essential that any external specialist has some familiarity with the type of activity conducted by the ATO. |
| * 1. The quality assurance audit programme of the ATO shall identify the persons within the organisation who have the experience, responsibility, and authority to: |
| * + 1. Perform quality inspections and audits as part of ongoing quality assurance; |
| * + 1. Identify and record concerns or findings and the evidence necessary to substantiate such concerns or findings; |
| * + 1. Initiate or recommend solutions to concerns or findings through designated reporting channels; |
| * + 1. Verify the implementation of solutions within specific and reasonable timescales; and |
| * + 1. Report directly to the quality manager. |
| 1. **Audit Scheduling** |
| * 1. A quality assurance audit programme shall include a defined audit schedule and a periodic review cycle. The schedule shall be flexible and shall allow unscheduled audits when negative trends are identified. The quality manager shall schedule follow-up audits when necessary to verify that a corrective action resulting from a finding was carried out and that it is effective. |
| * 1. An ATO shall establish a schedule of audits to be completed during a specific calendar period. This schedule shall be influenced by the organisational risk profile and shall be reflected in both the risk management plan and the coherence matrix documents. At a minimum, all aspects of the training shall be reviewed within a period of 12 months in accordance with the audit programme. |
| * 1. When an ATO defines the audit schedule, it shall take into account significant changes to management, the organisation, training, or technologies, as well as changes to standards and requirements. |
| 1. **Monitoring and Corrective Action** |
| * 1. The aim of monitoring within the quality system is primarily to investigate and judge its effectiveness and thereby ensure that defined policy and training standards are continuously complied with. Monitoring and corrective action functions fall under the responsibilities of the quality manager. Monitoring activity is based upon: |
| * + 1. Quality inspections; |
| * + 1. Quality audits; and |
| * + 1. Corrective and preventive action reports and subsequent follow-up. |
| * 1. Any nonconformity identified as a result of monitoring shall be communicated by the quality manager to the manager responsible for taking corrective action or, if appropriate, to the Director of Training or, when circumstances warrant, to the accountable manager. Such nonconformity shall be recorded for the purpose of further investigation in order to determine the cause and enable the recommendation of an appropriate corrective action. |
| * 1. The quality assurance audit programme shall include procedures to ensure that corrective and preventive actions are developed in response to findings. Personnel implementing these procedures shall monitor such actions to ensure that they have been completed and to verify their effectiveness. Organisational responsibility and accountability for the implementation of a corrective action resides with the department in which the finding was identified. The accountable manager will have the ultimate responsibility for ensuring, through the quality manager, that the corrective action has reestablished conformity with the standard required by the ATO and any additional requirements established by the Authority or the ATO. |
| * 1. As part of its quality system, the ATO shall identify internal and external customers and shall monitor customer satisfaction by measurement and analysis of feedback. |
| 1. **Continuous Improvement Process** |
| * 1. The quality manager shall be responsible for the review and continuous improvement of the established quality system’s policies, processes, and procedures. The following tools, on which the quality manager shall rely, are essential to the ongoing continuous improvement process: |
| * + 1. Organisational risk profile; |
| * + 1. Risk management plan; |
| * + 1. Coherence matrix; |
| * + 1. Corrective and preventive action reports; and |
| * + 1. Inspection and audit reports. |
| * 1. These tools and processes are interrelated and help define the continuous improvement efforts of the organisation. For example, any corrective or preventive action report may identify a deficiency or an opportunity for improvement. As outlined in paragraph 16.2 of this IS, the quality manager shall ensure the identified issue is addressed and effectively implemented. The same shall be true if the discovery of an issue was identified during an inspection or audit. |
| * 1. The effective implementation of change and the subsequent validation that the change did indeed result in the desired outcome are critical to the continuous improvement process. Simply introducing a well-meaning suggestion for improvement into the organisation without carefully managing that change may have undesirable consequences. It is therefore incumbent upon the quality manager to responsibly introduce, monitor, and validate improvement efforts. |
| * 1. A simplistic but effective process to use in managing continuous improvement is known as the PDCA approach. Figure 1 depicts this continuous improvement process cycle: |
| **Figure 1. PDCA Approach** |
| This chart is based on the Plan, Do, Check, Check, Act model. At its center, there is a graphic with the title: Quality Manager's Continuous Improvement Cyle. Above that is a graphic containing the word "Plan." At the 3 o'clock ositions is the word "Do." At 6 o'clock, the word "Check," and at 9 o'clock, the word "Act." Out side the circle formed by the continuous cycle, is a box defined by four feedback methods: "Corrective and Preventive Action Reports" in the upper left corner, "Audits & Inspection Reports" in the upper right corner, "Coherence Matrix" in the lower right corner, and Organisational Risk Profile & Risk Management Plan" in the lower left corner. Solid Arrows flow in both directions between the "Plan" and "Do" phases, from "Audit & Inspection Reports" to "Qulaity Manager's Continuous Improvement Process" at the center. Between the "Act" phase and renewing the "Plan" phase, another bi-directional arrow indicated feedback between the "Corrective and Preventive Action Reports" block at the upper left, and the "Quality Manager's Continuous Improvement Procees" graphic at the center of the model. On the left side of the model, there is a dotted bi-directional arrow between "Corrective & Preventive Action Reports" and "Organisational Risk Profile and Risk Management Profile." Similarly, the right hand side of the model has the same type of arrow linking "Audits and Inspection Reports" at the top, to "Coherence Matrix" at the bottom.  **Corrective & Preventive Action Reports**  **Coherence Matrix**  **Organisational Risk Profile &  Risk Management Plan**  **Audits & Inspection Reports**  **Corrective & Preventive Action Reports** |
| * + 1. **Plan.** Map out the implementation of the recommended change, identifying at least: |
| * + - 1. The people who will be affected by the change; |
| * + - 1. The required quality control measures necessary to mitigate risk; and |
| * + - 1. The desired outcome and its intended consequences. |
| * + 1. **Do.** Execute the implementation plan once all affected groups have accepted the proposal and understand their role in ensuring its success. |
| * + 1. **Check.** Apply sufficient quality control “stage” checks throughout the implementation phase to ensure any unintended deviations in the execution are identified and addressed without delay; and |
| * + 1. **Act.** Analyse the results and take appropriate action as necessary. |
| 1. **Management Review and Analysis** |
| * 1. Management shall accomplish a comprehensive, systematic, and documented review and analysis of the quality system, training policies, and procedures and shall consider: |
| * + 1. The results of quality inspections, audits, and any other indicators; |
| * + 1. The overall effectiveness of the management organisation in achieving stated objectives; and |
| * + 1. The correction of trends and, where applicable, the prevention of future nonconformities. |
| * 1. Conclusions and recommendations made as a result of the review and analysis shall be submitted, in writing, to the responsible manager for action. The responsible manager shall be a person who has the authority to resolve relevant issues and take action. The Director of Training shall decide upon the frequency, format, and structure of meetings for internal review and analysis, in coordination with the accountable manager, if different, as the accountable manager has the overall responsibility for the quality system, including the frequency, format, and structure of the internal management review and analysis activities. |
| 1. **Recording** |
| * 1. Accurate, complete, and readily accessible records documenting the result of the quality assurance audit programme shall be maintained by the ATO. Records are essential data to enable an ATO to analyse and determine the root causes of nonconformity so that areas of non-compliance can be identified and subsequently addressed. |
| * 1. Records shall be retained at least for the period mandated by national requirements. In the absence of such requirements, a period of 3 years is recommended. The relevant records include: |
| * + 1. Audit schedules; |
| * + 1. Quality inspection and audit reports; |
| * + 1. Responses to findings; |
| * + 1. Corrective and preventive action reports; |
| * + 1. Follow‑up and closure reports; and |
| * + 1. Management review and analysis reports. |
| 1. **Quality Assurance Responsibility for Satellite ATOs** |
| * 1. An ATO may decide to subcontract certain activities to external organisations subject to the approval of the Authority. |
| * 1. The ultimate responsibility for the training provided by the satellite ATO always remains with the ATO. A written agreement shall exist between the ATO and the satellite ATO clearly defining the training services to be provided and the level of quality to be assured. The satellite ATO’s activities relevant to the agreement shall be included in the ATO’s quality assurance audit programme. |
| * 1. The ATO shall ensure that the satellite ATO has the necessary authorisation/approval when required and that it commands the resources and competence to undertake the task. |
| 1. **Quality Assurance Training** |
| * 1. Appropriate and thorough training is essential to optimise quality in every organisation. In order to achieve the appropriate outcomes of such training, the ATO shall ensure that all personnel understand the objectives as laid out in the Quality Manual to a level relevant to their duties, including: |
| * + 1. The concept of quality assurance and associated systems; |
| * + 1. Quality management; |
| * + 1. The Quality Manual; |
| * + 1. Inspections and audit techniques; and |
| * + 1. Reporting and recording. |
| * 1. Time and resources shall be allocated to provide appropriate levels of quality assurance training to every employee. |
| * 1. Quality assurance courses are available from the various national or international standards institutions, and an ATO may consider whether to offer such courses to those likely to be involved in the management or supervision of quality assurance processes. ATOs with sufficient appropriately qualified personnel may consider the possibility of providing in-house training. |

ICAO Annex 1, Appendix 2: 4

ICAO Doc 9841: Appendix B

IEM No. 1 to JAR-FCL 1.055

#### IS 3.3.3 Personnel Required for Flight Crew Training

1. The Director of Training shall have overall responsibility for ensuring satisfactory integration of flight crew training, flight simulation training, and theoretical knowledge instruction and for supervising the progress of individual students. The Director of Training shall have extensive experience in training as an FI for pilot licences and shall possess a sound managerial capability.
2. The CFI shall be responsible for the supervision of FIs, synthetic FIs, and RPAS instructors and for the standardisation of all flight instruction and synthetic flight instruction. The CFI shall:
3. Hold the highest pilot licence related to the flight crew training courses conducted;
4. Hold the rating(s) related to the flight crew training courses conducted;
5. Hold an FI rating for at least one of the types of aircraft or RPAS used in the course;
6. Have completed 1 000 hours of PIC flight time, of which a minimum of 500 hours shall be on flight crew instructional duties related to the flight crew courses conducted, of which 200 hours may be instrument ground time; and
7. For RPAS, have completed the number of hours specified by the Authority for PIC flight time, of which a specified number of hours shall be on flight crew instructional duties related to the flight crew course conducted, of which a specified number of hours may be instrument ground time, as applicable.
8. An FI shall hold:
9. A pilot licence and rating(s), in accordance with Part 2 of these regulations, related to the flight crew training and RPAS courses that the instructor is approved to conduct; and
10. An instructor rating or authorisation, in accordance with Part 2 of these regulations, relevant to the part of the course being conducted (e.g., FI, flight IR instructor, instructor for additional class or type rating(s), instructor for flight simulation training, instructor for RPAS), as appropriate.
11. An instructor for flight simulation training or RPAS shall hold the authorisation, in accordance with Part 2 of these regulations, related to the training courses that the instructor is appointed to conduct.
12. An instructor for FE licence and rating training shall hold:
13. The licence and rating(s), in accordance with Part 2 of these regulations, related to the FE licence and/or rating training courses that the instructor is appointed to conduct; and
14. An IR, in accordance with Part 2 of these regulations, relevant to the part of the course being conducted.
15. The CGI shall:
16. Be responsible for the supervision of all GIs and for the standardisation of all theoretical knowledge instruction; and
17. Have a practical background in aviation and the appropriate GI licence, in accordance with Part 2 of these regulations.
18. A GI shall be responsible for conducting ground training in subject areas required for a licence or rating. A GI may either have a licence or be approved by the Authority in accordance with Part 2 of these regulations, depending upon the subject matter to be taught.
19. A GI who is approved by the Authority but is not licensed, and who teaches knowledge subjects for licences and ratings, shall have appropriate experience in aviation and shall, before appointment, provide proof of competency by giving a lecture based on material developed by that GI for the subjects to be taught.

ICAO Annex 1: 1.2.8.5; 2.11.7; 2.14; Appendix 2: 6.1; 6.2; 6.3

14 CFR 141.33; 141.35; 142.13; 142.47; 142.49; 142.53; 147.23

JAR-FCL 1/2/4.055; 1/2.055 Appendix 1a: 10-20; Appendix 2: 11-16

#### IS 3.3.5.1 ATO Procedures Manual – Flight Crew Training

1. An ATO conducting flight crew training shall include the following in its ATO Procedures Manual or a separate training and procedures manual:

|  |
| --- |
| 1. **General** |
| * 1. Preamble relating to the use and applicability of the manual. |
| * 1. Table of contents. |
| * 1. Amendment, revision, and distribution of the manual: |
| * + 1. Procedures for amendment; |
| * + 1. Record of amendments page; |
| * + 1. Distribution list; and |
| * + 1. List of effective pages. |
| * 1. Glossary of definitions and significant terms, including a list of abbreviations. |
| * 1. Description of the structure and layout of the manual, including: |
| * + 1. The various parts and sections, as well as their contents and use; and |
| * + 1. The numbering system for headings and paragraphs. |
| * 1. Description of the scope of training authorised under the ATO’s training specifications. |
| * 1. A chart of the ATO’s management organisation and the names of the post holders. |
| * 1. Qualifications, responsibilities, and succession of command of management and key operational personnel including: |
| * + 1. Accountable manager; |
| * + 1. Director of Training; |
| * + 1. Instructional services manager; |
| * + 1. Quality manager; |
| * + 1. Director of Maintenance, if applicable; |
| * + 1. Safety manager, if applicable; |
| * + 1. Instructors; and |
| * + 1. Examiners, evaluators, and auditors. |
| * 1. Policies dealing with the: |
| * + 1. ATO’s objectives, including ethics and values; |
| * + 1. Selection of ATO personnel and the maintenance of their qualifications; |
| * + 1. Training programme design and development, including the need for programme validation and review, as well as the outsourcing of training programme development to third-party providers; |
| * + 1. Evaluation, selection, and maintenance of training material and devices; |
| * + 1. Maintenance of the training facilities and equipment; |
| * + 1. Development and maintenance of a quality system governance model; and |
| * + 1. Development and maintenance of a culture focused on safety in the workplace, including, when applicable, implementing an SMS governance model. |
| * 1. Description of the facilities and equipment available, including: |
| * + 1. General use facilities, including offices, stores and archives, and library or reference areas; |
| * + 1. The number and size of classrooms, including installed equipment; and |
| * + 1. The type and number of training devices, including their location if other than at the main training site. |
| 1. **Personnel Training** |
| * 1. Identification of persons or positions responsible for the maintenance of performance standards and for ensuring the competency of personnel. |
| * 1. Details of the procedures to validate the qualifications and determine the competency of instructional personnel, as required by 3.2.1.14 of this part. |
| * 1. Details of the initial and recurrent training programmes for all personnel, as required by 3.2.1.14 of this part. |
| * 1. Procedures for proficiency checks and upgrade training. |
| 1. **Client Training Programmes** |
| Client training programmes cover each individual training programme conducted by the ATO for its customers. The training programmes consist of a training plan, a practical training syllabus, and a theoretical knowledge syllabus, if applicable, as described in paragraphs 3.1, 3.2, and 3.3 of this IS. |
| * 1. Training plan. |
| * + 1. The aim of the course in the form of a statement specifying what the student is expected to be able to do as a result of the training; the level of performance; and the training constraints to be observed. |
| * + 1. Pre-entry requirements, including: |
| * + - 1. Minimum age; |
| * + - 1. Education or qualification requirements; |
| * + - 1. Medical requirements; and |
| * + - 1. Linguistic requirements. |
| * + 1. Credits for previous knowledge, experience, or other qualifications, proof of which may be obtained from the Authority before the training commences. |
| * + 1. Training curricula, including: |
| * + - 1. Theoretical training (knowledge); |
| * + - 1. Practical training (skills); |
| * + - 1. Training in the domain of human factors (attitudes); |
| Note: Guidance material to design training programmes on human performance can be found in ICAO Doc 9683, Human Factors Training Manual. |
| * + - 1. Assessment and examinations; and |
| * + - 1. Monitoring of the training process, including the assessment and examination activities. |
| * + 1. Training policies in terms of: |
| * + - 1. Restrictions regarding the duration of training periods for students and instructors; and |
| * + - 1. If applicable, minimum rest periods. |
| * + 1. Policy for the conduct of student evaluation, including: |
| * + - 1. Procedures for authorisation for tests; |
| * + - 1. Procedures for remediation training before retest and for rewriting knowledge tests; |
| * + - 1. Test reports and records; |
| * + - 1. Procedures for skill progress checks and skill tests; |
| * + - 1. Procedures for knowledge progress tests and knowledge tests, including procedures for knowledge test preparation, types of questions and assessments, and standards required for a pass; and |
| * + - 1. Procedures for question analysis and review and for issuing replacement exams (applicable to knowledge tests). |
| * + 1. Policy regarding training effectiveness, including: |
| * + - 1. Liaison procedures between training departments; |
| * + - 1. Requirements for reporting and documentation; |
| * + - 1. Internal feedback system for detecting training deficiencies; |
| * + - 1. Interim performance or competency standards at various stages of training to ensure standardisation; |
| * + - 1. Individual student responsibilities; |
| * + - 1. Procedures for correcting unsatisfactory progress; |
| * + - 1. Procedures for changing instructors; |
| * + - 1. Maximum number of instructor changes per student; and |
| * + - 1. Procedures for suspending a student from training. |
| * 1. Syllabi for non-competency-based training programmes. |
| * + 1. Practical training syllabus, including: |
| * + - 1. A statement of how the course will be divided into phases, indicating how the phases will be arranged to ensure completion in the most suitable learning sequence and that exercises are repeated at the proper frequency; |
| * + - 1. The syllabus hours for each phase and for groups of lessons within each phase and when progress tests are to be conducted; |
| * + - 1. A statement of the standard of proficiency required before progressing from one phase of training to the next, including minimum experience requirements and satisfactory exercise completion before undertaking the next phase; |
| * + - 1. Requirements for instructional methods, particularly with respect to adherence to syllabi and training specifications; |
| * + - 1. Instruction for the conduct and documentation of all progress checks; and |
| * + - 1. Instruction, where applicable, given to all examining personnel regarding the conduct of examinations and tests. |
| * + 1. Theoretical knowledge syllabus. |
| The syllabus for theoretical knowledge instruction shall be structured generally as outlined in paragraph 3.2(a) of this IS but with a training specification and objective for each subject. |
| * 1. Syllabus for competency-based training programmes. |
| * + 1. Training programmes focused on achieving desired standards of performance for specific jobs or tasks shall be competency based. |
| * + 1. Competency-based training programmes are based upon a job and task analysis to define the knowledge, skills, and attitudes required to perform a job or a task. Such programmes use an integrated approach in which the training of the underlying knowledge to perform a task is followed by practice of the task so that the trainee acquires the underlying knowledge, skills, and attitudes related to the task in a more effective way. |
| * + 1. As a result, the syllabus is structured as a single document that is subdivided into modules containing a training objective and the same information outlined in paragraph 3.2(a) of this IS, but it is applied to both the theoretical knowledge and practical training delivered by the module. |
| 1. **Tests and Checks Conducted by the ATO for the Issuance of a Licence or Rating** |
| When the Authority has authorised an ATO to conduct the testing required for the issuance of a licence or rating in accordance with the ATO Procedures Manual, the manual shall include: |
| * 1. The name(s) of the personnel with testing authority and the scope of the authority; |
| * 1. The role and duties of the authorised personnel; |
| * 1. If the ATO has been given authority to appoint personnel to conduct the testing required for the issuance of a licence or rating, the minimum requirements for appointment as well as the selection and appointment procedure; and |
| * 1. The applicable requirements established by the Authority, such as: |
| * + 1. The procedures to be followed in the conduct of checks and tests; and |
| * + 1. The methods for completion and retention of testing records, as required by the Authority. |
| 1. **Records** |
| Policy and procedures regarding: |
| * 1. Attendance records; |
| * 1. Student training records; |
| * 1. Personnel training and qualification records; |
| * 1. Persons responsible for checking records and student personal logs; |
| * 1. The nature and frequency of record checks; |
| * 1. Standardisation of record entries; |
| * 1. Personal log entries; and |
| * 1. Security of records and documents. |
| 1. **Safety Management System (if applicable)** |
| The requirement to adopt SMS practices is intended to be restricted to only those training entities whose activities directly impact the safe operation of aircraft. Should that requirement apply to the ATO, the ATO Procedures Manual, as stated in paragraph 1.9 of this IS, shall address the ATO’s SMS with reference to a separate manual or shall include the SMS practices within the ATO Procedures Manual. |
| 1. **Quality Assurance** |
| Provide a brief description of the quality assurance practices, as required by IS 3.2.1.17, by reference to a separate Quality Manual, or include the quality assurance practices within the ATO Procedures Manual (refer to paragraph 9.0 of IS 3.2.1.17). |
| 1. **Appendices (as required)** |
| * 1. Sample progress test forms; |
| * 1. Sample logs, test reports, and records; and |
| * 1. A copy of the ATO’s approval document. |
| 1. **Flight Crew Training – General** |
| * 1. Qualifications, responsibilities, and succession of command of management and key operational personnel, in addition to those listed in paragraph 1.8 of this IS, including the: |
| * + 1. CFI; and |
| * + 1. CGI. |
| * 1. Policies and procedures, in addition to those listed in paragraph 1.9 of this IS, dealing with: |
| * + 1. Approval of flights; |
| * + 1. Responsibilities of the PIC; |
| * + 1. Flight planning procedures – general; |
| * + 1. Carriage of passengers; |
| * + 1. Operational control system; |
| * + 1. Reporting of safety hazards, incidents, and accidents; |
| * + 1. Duty periods and flight time limitations for flight crew members and students; and |
| * + 1. Minimum rest periods for flight crew members and students. |
| * 1. Description of the facilities and equipment available, in addition to those listed in paragraph 1.10 of this IS, including: |
| * + 1. FSTDs, aircraft training, and RPAS training; |
| * + 1. Maintenance facilities and ramp parking areas for training aircraft and RPAS training; |
| * + 1. Computer-based classroom(s); and |
| * + 1. Dispatch control and briefing areas. |
| 1. **Aircraft Operating Information** |
| * 1. Certification and operating limitations. |
| * 1. Aircraft handling, including: |
| * + 1. Performance limitations; |
| * + 1. Use of checklists; |
| * + 1. Standard operating procedures; and |
| * + 1. Aircraft maintenance procedures. |
| * 1. Instructions for aircraft loading and securing of load. |
| * 1. Fuelling procedures. |
| * 1. Emergency procedures. |
| 1. **Routes** |
| * 1. Performance criteria (e.g., take-off, en route, landing). |
| * 1. Flight planning procedures, including: |
| * + 1. Fuel and oil requirements; |
| * + 1. Minimum safe altitudes; |
| * + 1. Planning for contingencies (e.g., emergency or diversion scenarios); and |
| * + 1. Navigation equipment. |
| * 1. Weather minima for all instructional training flights during day, night, visual flight rules, and IFR operations. |
| * 1. Weather minima for all student training flights at various stages of training. |
| * 1. Training routes and practice areas. |
| 1. **Flight Training Plan** |
| * 1. Training curricula, in addition to curricula listed in paragraph 3.1(d) of this IS, including, as applicable: |
| * + 1. Flight crew curriculum (single engine); |
| * + 1. Flight crew curriculum (multi-engine); |
| * + 1. Theoretical knowledge curriculum; |
| * + 1. Flight simulation training curriculum; and |
| * + 1. Flight crew curriculum (RPAS). |
| * 1. The general arrangements of daily and weekly programmes for flight crew training, ground training, flight simulation training, and RPAS training. |
| * 1. Training policies, in addition to paragraph 3.1(e) of this IS, in terms of: |
| * + 1. Weather constraints; |
| * + 1. Maximum student training times for flight, theoretical knowledge, and flight simulation training, per day/week/month; |
| * + 1. Restrictions with respect to training periods for students; |
| * + 1. Duration of training flights at various stages; |
| * + 1. Maximum individual student flight hours in any day or night period; |
| * + 1. Maximum number of individual student training flights in any day or night period; and |
| * + 1. Minimum rest periods between training periods. |

ICAO Annex 1: 1.2.8.5; 2.11; 2.12; 2.13; 2.14; Appendix 2: 2.1; 2.2; 2.3

ICAO Doc 9841: Appendix A

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14 CFR part 141: Subparts C and E

14 CFR part 142: Subparts B and D

JAR-FCL 1/2/4.055 Appendix 1a and 2: 31-33; Appendix 2: 25-27; Appendix 1: 25-27

#### IS 3.4.5.1 ATO Procedures Manual – Maintenance Training

1. An ATO conducting maintenance training shall include the following in its ATO Procedures Manual:

|  |
| --- |
| 1. **General** |
| * 1. Preamble relating to the use and applicability of the manual. |
| * 1. Table of contents. |
| * 1. Amendment, revision, and distribution of the manual: |
| * + 1. Procedures for amendment; |
| * + 1. Record of amendments page; |
| * + 1. Distribution list; and |
| * + 1. List of effective pages. |
| * 1. Glossary of definitions and significant terms, including a list of abbreviations. |
| * 1. Description of the structure and layout of the manual, including: |
| * + 1. The various parts and sections, as well as their contents and use; and |
| * + 1. The numbering system for headings and paragraphs. |
| * 1. Description of the scope of training authorised under the ATO’s training specifications. |
| * 1. A chart of the ATO’s management organisation and the names of the post holders. |
| * 1. Qualifications, responsibilities, and succession of command of management and key operational personnel, including the: |
| * + 1. Accountable manager; |
| * + 1. Director of Training; |
| * + 1. Instructional services manager; |
| * + 1. Quality manager; |
| * + 1. Director of Maintenance, if applicable; |
| * + 1. Safety manager, if applicable; |
| * + 1. Instructors; and |
| * + 1. Examiners, evaluators, and auditors. |
| * 1. Policies dealing with the: |
| * + 1. ATO’s objectives, including ethics and values; |
| * + 1. Selection of ATO personnel and the maintenance of their qualifications; |
| * + 1. Training programme design and development, including the need for programme validation and review, as well as the outsourcing of training programme development to third-party providers; |
| * + 1. Evaluation, selection, and maintenance of training material and devices; |
| * + 1. Maintenance of the training facilities and equipment; |
| * + 1. Development and maintenance of a quality system governance model; and |
| * + 1. Development and maintenance of a culture focused on safety in the workplace, including, when applicable, implementing an SMS governance model. |
| * 1. Description of the facilities and equipment available, including: |
| * + 1. General use facilities, including offices, stores and archives, and library or reference areas; |
| * + 1. The number and size of classrooms, including installed equipment; and |
| * + 1. The type and number of training devices, including their location if other than at the main training site. |
| 1. **Personnel Training** |
| * 1. Identification of persons or positions responsible for the maintenance of performance standards and for ensuring the competency of personnel. |
| * 1. Details of the procedures to validate the qualifications and determine the competency of instructional personnel as required by 3.2.1.14 of this part. |
| * 1. Details of the initial and recurrent training programmes for all personnel as required by 3.2.1.14 of this part. |
| * 1. Procedures for proficiency checks and upgrade training. |
| 1. **Client Training Programmes** |
| * 1. Client training programmes cover each individual training programme conducted by the ATO for its customers. The training programmes consist of a training plan, a practical training syllabus, and a theoretical knowledge syllabus, if applicable, as described in paragraphs 3.2, 3.3, and 3.4 of this IS. |
| * 1. Training plan. |
| * + 1. The aim of the course in the form of a statement specifying what the student is expected to be able to do as a result of the training, the level of performance, and the training constraints to be observed. |
| * + 1. Pre-entry requirements, including: |
| * + - 1. Minimum age; |
| * + - 1. Education or qualification requirements; |
| * + - 1. Medical requirements; and |
| * + - 1. Linguistic requirements. |
| * + 1. Credits for previous knowledge, experience, or other qualifications, proof of which shall be obtained from the Authority before the training commences. |
| * + 1. Training curricula, including: |
| * + - 1. Theoretical training (knowledge); |
| * + - 1. Practical training (skills); |
| * + - 1. Training in the domain of human factors (attitudes); |
| Note: Guidance material to design training programmes on human performance can be found in ICAO Doc 9683, Human Factors Training Manual. |
| * + - 1. Assessment and examinations; and |
| * + - 1. Monitoring of the training process, including the assessment and examination activities. |
| * + 1. Training policies in terms of: |
| * + - 1. Restrictions regarding the duration of training periods for students and instructors; and |
| * + - 1. If applicable, minimum rest periods. |
| * + 1. Policy for the conduct of student evaluation, including: |
| * + - 1. Procedures for authorisation for tests; |
| * + - 1. Procedures for remediation training before retest and for rewriting knowledge tests; |
| * + - 1. Test reports and records; |
| * + - 1. Procedures for skill progress checks and skill tests; |
| * + - 1. Procedures for knowledge progress tests and knowledge tests, including procedures for knowledge test preparation, types of questions and assessments, and standards required for a pass; and |
| * + - 1. Procedures for question analysis and review and for issuing replacement exams (applicable to knowledge tests). |
| * + 1. Policy regarding training effectiveness, including: |
| * + - 1. Liaison procedures between training departments; |
| * + - 1. Requirements for reporting and documentation; |
| * + - 1. Internal feedback system for detecting training deficiencies; |
| * + - 1. Interim performance or competency standards at various stages of training to ensure standardisation; |
| * + - 1. Individual student responsibilities; |
| * + - 1. Procedures for correcting unsatisfactory progress; |
| * + - 1. Procedures for changing instructors; |
| * + - 1. Maximum number of instructor changes per student; and |
| * + - 1. Procedures for suspending a student from training. |
| * 1. Syllabi for non-competency-based training programmes. |
| * + 1. Practical training syllabus. |
| * + - 1. A statement of how the course will be divided into phases, indicating how the phases will be arranged to ensure completion in the most suitable learning sequence and that exercises are repeated at the proper frequency. |
| * + - 1. The syllabus hours for each phase and for groups of lessons within each phase and when progress tests are to be conducted. |
| * + - 1. A statement of the standard of proficiency required before progressing from one phase of training to the next, including minimum experience requirements and satisfactory exercise completion before undertaking the next phase. |
| * + - 1. Requirements for instructional methods, particularly with respect to adherence to syllabi and training specifications. |
| * + - 1. Instruction for the conduct and documentation of all progress checks. |
| * + - 1. Instruction, where applicable, given to all examining personnel regarding the conduct of examinations and tests. |
| * + 1. Theoretical knowledge syllabus. |
| * + - 1. The syllabus for theoretical knowledge instruction shall be structured generally as outlined in paragraph 3.3 of this IS but with a training specification and objective for each subject. |
| * 1. Syllabus for competency-based training programmes. |
| * + 1. Training programmes focused on achieving desired standards of performance for specific jobs or tasks shall be competency based. |
| * + 1. Competency-based training programmes are based upon a job and task analysis to define the knowledge, skills, and attitudes required to perform a job or a task. Such programmes use an integrated approach in which the training of the underlying knowledge to perform a task is followed by practice of the task so that the trainee acquires the underlying knowledge, skills, and attitudes related to the task in a more effective way. |
| * + 1. As a result, the syllabus is structured as a single document that is subdivided into modules containing a training objective and the same information outlined in paragraph 3.2 of this IS, but it is applied to both the theoretical knowledge and practical training delivered by the module. |
| 1. **Tests and Checks Conducted by the ATO for the Issuance of a Licence or Rating** |
| * 1. When the Authority has authorised an ATO to conduct the testing required for the issuance of a licence or rating in accordance with the ATO Procedures Manual, the manual shall include: |
| * + 1. The name(s) of the personnel with testing authority and the scope of the authority; |
| * + 1. The role and duties of the authorised personnel; |
| * + 1. If the ATO has been given authority to appoint personnel to conduct the testing required for the issuance of a licence or rating, the minimum requirements for appointment as well as the selection and appointment procedure; and |
| * + 1. The applicable requirements established by the Authority, such as: |
| * + - 1. The procedures to be followed in the conduct of checks and tests; and |
| * + - 1. The methods for completion and retention of testing records as required by the Authority. |
| 1. **Records** |
| * 1. Policy and procedures regarding: |
| * + 1. Attendance records; |
| * + 1. Student training records; |
| * + 1. Personnel training and qualification records; |
| * + 1. Persons responsible for checking records and student personal logs; |
| * + 1. The nature and frequency of record checks; |
| * + 1. Standardisation of record entries; |
| * + 1. Personal log entries; and |
| * + 1. Security of records and documents. |
| 1. **Safety Management System (if applicable)** |
| The requirement to adopt SMS practices is intended to be restricted to only those training entities whose activities directly impact the safe operation of aircraft. Should that requirement apply to the ATO, the ATO Procedures Manual, as stated in paragraph 1.9 of this IS, shall address the ATO’s SMS with reference to a separate manual or shall include the SMS practices within the ATO Procedures Manual. |
| 1. **Quality Assurance** |
| Provide a brief description of the quality assurance practices by reference to a separate Quality Manual or include the quality assurance practices within the ATO Procedures Manual. |
| 1. **Appendices (as required)** |
| * 1. Sample logs, test reports, and records; and |
| * 1. A copy of the ATO’s approval document. |

ICAO Annex 1: 1.2.8.4; Appendix 2: 2.1

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