



**U.S. DEPARTMENT OF TRANSPORTATION  
FEDERAL AVIATION ADMINISTRATION**

**Air Traffic Organization Policy**

**ORDER  
JO 3000.57A**

Effective Date:  
10/01/2019

**SUBJ: Air Traffic Organization Technical Operations Training and Personnel Certification**

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This order establishes the procedures and assigns responsibility for the administration of the Air Traffic Organization Technical Operations Training and Personnel Certification Program. General guidance is provided for the management, planning, conduct, and evaluation of the Technical Operations Training and Personnel Certification Program. This order ensures that personnel responsible for the establishment, installation, maintenance, second-level support, and certification of facilities used in the National Airspace System (NAS) are proficient in performing their assigned duties.

Certification of the NAS system and services is an inherently governmental function. Through the Technical Operations Training and Personnel Certification Program, the Federal Aviation Administration grants certification to individuals who have attained a professional level and are responsible for the operation and performance of NAS facilities. The personnel certification process confirms that the individual possesses the requisite knowledge and skills to assume full responsibility for attesting to the operational status of a particular system, subsystem, or service. This level of achievement is demonstrated by attainment of certification authority as defined in this order.

Impacted personnel must comply with this order within 90 days of the effective date.

A handwritten signature in black ink, reading "Glen A. Martin".

Glen A. Martin  
Vice President, Safety and Technical Training  
Air Traffic Organization

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## **Chapter 1. General**

### **1-1 Purpose of This Order**

This order specifies the policies necessary to implement and sustain the uniform national Technical Operations Training and Personnel Certification Program.

### **1-2 Audience**

This order applies to all personnel involved in training and certification in the Air Traffic Organization (ATO), the Federal Aviation Administration (FAA) Logistics Center, the FAA Academy, and the FAA Technical Center. It is primarily concerned with employees maintaining the National Airspace System (NAS) but has facets for all personnel involved in the purchase, development, delivery, and revision of national operations, maintenance, and certification training. The Technical Operations Training and Personnel Certification Program only applies to FAA and non-federal technical specialists working in the NAS.

### **1-3 Where This Order Can Be Found**

This order can be found at [https://employees.faa.gov/tools\\_resources/orders\\_notices/](https://employees.faa.gov/tools_resources/orders_notices/).

### **1-4 Cancellation**

This order cancels FAA Order 3000.57, *Air Traffic Organization (ATO) Technical Operations Training and Personnel Certification Program*, dated July 16, 2009.

### **1-5 Authority to Change This Order**

The Vice President of Safety and Technical Training (AJI) has the authority to approve changes and revisions to this order. The Director of Technical Training (AJI-2) may cancel and replace procedural changes to appendices. Some appendices exist within the nationally approved software system and are updated on a periodic basis.

### **1-6 Air Traffic Safety Oversight**

The Air Traffic Safety Oversight Service (AOV) has been given acceptance authority in accordance with the current versions of FAA Order 8000.90, *Air Traffic Safety Oversight Credentialing and Control Tower Operator Certification Programs*, and FAA Order JO 8000.97, *Technical Operations Credentialing Program*. After any changes to FAA Order JO 3000.57, not including changes to the appendices, are made and implemented, they must be submitted through AJI to the AOV for acceptance. In addition, any change to the Technical Operations Training and Personnel Certification Program requires a full safety risk management analysis in accordance with the current version of FAA Order JO 1000.37, *Air Traffic Organization Safety Management System*.

### **1-7 Order Hierarchy**

Headquarters publications (both FAA-issued and FAA-adopted) take precedence over service area and local publications.

## 1-8 Scope

The Technical Operations Training and Personnel Certification Program has the following scope:

**a. Philosophy.** Training and personnel certification are the cornerstones of our maintenance program, business practices, and safety culture. The ATO Technical Operations Training and Certification Program equips the workforce with the required skills and knowledge. New and innovative delivery methods will be implemented to meet the increasing demands created by the evolving technologies and capabilities of the NAS.

**b. Technical Competence.** The Technical Operations Training and Personnel Certification Program must be conducted in a manner that allows employees to develop the necessary knowledge and skills to the depth and scope equal to the Technical Operations maintenance philosophy as defined in FAA Order 6000.30, *National Airspace System Maintenance Policy*.

**c. Safety.** All training curricula must meet or exceed the appropriate occupational safety and environmental regulations.

**d. Personnel Certification Authority.** This order provides national direction for the attainment and retention of personnel certification authority, not equipment certification. Certification authority enables employees to certify NAS systems, subsystems, equipment, and services.

**e. Personnel Verification Authority.** This order provides national direction for the attainment of personnel verification authority, not equipment verification.

## 1-9 Explanation of Policy Changes

This revised order involved a complete rewrite, removing some process components but retaining pertinent policy information. Policies common to both Air Traffic and Technical Operations training, such as instructional design, are moving to FAA Order JO 3000.22, *Air Traffic Organization Technical Training Management*. This revision also removes some policy information that is published elsewhere; consolidates and reorganizes remaining information; and updates references, hyperlinks, and chapter names. Significant policy changes include:

**a.** Combining Chapter 3, Training Administration, and Chapter 4, On-the-Job Training (OJT), Enhanced Hands-On Training (EHOT), and Demonstration of Proficiency (DoP) Administration

**b.** Removal of Appendix 1, Listing of Forms and Examples

**c.** Renaming and expansion of Appendix 2, Examples of Work Practices

**d.** Removal of Appendix 4, Instructional Hours for On-the-Job Training (OJT), as it is not the correct source for this information

**e.** Removal of Appendix 14, FAA Technical Operations Course Development Process, as it is covered by FAA Order JO 3000.22

- f. Removal of Appendix 16, Collegiate Training Initiative (CTI) Program
- g. Addition of Appendix 17, On-the-Job Training Process
- h. Removal of clean testing requirements, as it was inconsistent with requirements of using technical documentation to perform job tasks
- i. Removal of OJT waivers and experiential equivalency/waivers due to conflict with recurrent training requirement in FAA Order 6000.30, *National Airspace System Maintenance Policy*
- j. Policy realignment of legacy EHOT/DoP format to better conform to OJT and Performance Exam requirements
- k. Realignment or update of Roles and Responsibilities to better reflect FAA delegations of authority and mission expectations
- l. Addition and definition of field-conducted training in paragraph 3.4.c.
- m. Clarification of the use of OJT and Performance Exams for non-certifiable systems
- n. Clarification of instructor qualifications
- o. Addition of the definition of “lock-out” item in paragraph 3.7.d.(2)
- p. Establishment of site familiarization as a requirement
- q. Removal of policies covered by the Human Resources Policy Manual (HRPM), such as leave usage
- r. Addition in paragraph 3.7.d. of a prohibition against stopping Performance Exams to avoid failures
- s. Removal of proctoring policy, as it is covered by FAA Order JO 3000.22
- t. Removal of paragraph 5-9, Converting Former Interim Certification Authorities, as this was accomplished by December 17, 2008

#### **1-10 Recommendations for Changes**

Users may submit recommendations for improvements to this order electronically. Comments may be submitted using the Directive Change Request (DCR) website located at <https://technet.faa.gov/dcr/>.

#### **1-11 Related Publications**

See Appendix 20, Websites and Related Publications.

## **Chapter 2. Program Administration Roles and Responsibilities**

### **2-1 General**

This chapter defines the roles and responsibilities for organizations and employees within the ATO Technical Operations Training and Personnel Certification Program.

### **2-2 ATO Safety and Technical Training**

AJI is responsible for developing an integrated strategy to lead, direct, and guide the overall design, management, and delivery of technical training. AJI develops policies and standards for ATO technical training.

### **2-3 Technical Training**

AJI-2 establishes and is responsible for the policy and oversight of all ATO national technical training for the ATO workforce.

### **2-4 Development and Curriculum Group**

The Development and Curriculum Group (AJI-21) is responsible for training development policy and standards. AJI-21 maintains FAA Order JO 3000.22.

### **2-5 Planning and Tools Group**

The Planning and Tools Group (AJI-22) is responsible for initiating and managing the Call for Training, quota management, validation of enrollment requests, and allocation of all Technical Operations training quotas.

### **2-6 Training Policy and Programs Group**

The Training Policy and Programs Group (AJI-23) is responsible for the overall training requirements and the administration of training programs for Technical Operations personnel. The responsibilities of AJI-23 are as follows:

- a.** Manage the requirements for all training and training systems (software and hardware) for the Technical Operations workforce.
- b.** Solicit facility training best practices and conduct an annual review of this order, with stakeholder participation, no later than July 1 of each year.
- c.** Identify personnel certification requirements that support the systems, subsystems, or services in the NAS.
- d.** Provide standards and oversight for the evaluation of the Technical Operations Personnel Certification Program.
- e.** Manage and approve training identification and activation.
- f.** Manage and approve prerequisites.



- g.** Manage and approve operational necessity waivers.
- h.** Manage and approve all training equivalencies.
- i.** Maintain and update all appendices not specifically assigned to other organizations listed in this order.

## **2-7 Technical Operations Training Division**

The Technical Operations Training Division (AMA-400) is the primary organization responsible for the delivery of initial and specialized national Technical Operations training. The responsibilities of AMA-400 are as follows:

- a.** Facilitate and manage the delivery of applicable technical Academy training.
  - (1) Distribute training materials, including examinations and surveys.
  - (2) Manage the environment and equipment for training delivered at the Academy.
  - (3) Coordinate the environment and equipment for Academy training delivered remotely.
  - (4) Enter training completions following Academy-delivered training (this is dependent on the training platform).
- b.** Ensure that instructors are properly qualified for their assigned duties.
- c.** Administer the Personnel Certification Program for Academy personnel.
- d.** Determine Academy training delivery capabilities in response to the Call for Training.
- e.** Manage, implement, and maintain the course critiques, questionnaires, and other survey materials and procedures for an Academy evaluation process.
- f.** Identify the need for course revisions or corrective actions to AJI-2.
- g.** Assist with curriculum development when requested by AJI-2.

## **2-8 Sponsoring Organization and Acquisition Authority**

Sponsoring organizations and acquisition authorities (such as the Program Management Organization (AJM) and Technical Operations Services (AJW)) define requirements and identify a need for training, manage training acquisition and development, and perform revision and lifecycle management when applicable. Refer to the acquisition management policies at <https://fast.faa.gov/> for further guidance.

## **2-9 Service Centers**

The responsibilities of Service Centers are as follows:

- a. Recommend policies, standards, and procedures necessary for effective implementation of the national training program.
- b. Review operational necessity requests for completeness and forward for approval.
- c. Review individual equivalency requests and forward for approval.
- d. Verify that employees receive training in accordance with this order.
- e. Validate requests to access training software applications and forward to the appropriate managing office.
- f. Review and validate Additional Quota Requests (AQRs) for approval.
- g. Process quota movements within the service area of responsibility per Appendix 10, Quota Management Process.
- h. Review non-contiguous training requests and forward for approval per Appendix 10, Quota Management Process.
- i. Create vacancies in the Requirements Identification Tool (RIT).
- j. Reserve quotas as placeholders in the Quota Management Tool (QMT) per Appendix 10, Quota Management Process.
- k. Process retraining requests per Appendix 10, Quota Management Process.
- l. Coordinate and distribute training quotas.
- m. Ensure timely quota enrollment.
- n. Ensure that completion data is entered into the Learning Management System (LMS) per Appendix 12, Entering Completions in the Learning Management System.
- o. Act as the point of contact for the accountability of no-shows.
- p. Participate in national training programs and workgroups.
- q. Validate and approve or disapprove requests for Technical Operations training for personnel other than District or Operations Control Center (OCC) personnel as well as Technical Operations training for Engineering Services.
- r. Develop and/or procure local training in accordance with the established standards and procedures defined in this order.

## **2-10 District Offices**

The district offices are field-level organizations responsible for the maintenance and certification of the NAS.

**a.** The responsibilities of the second-level manager or anyone acting in that capacity with an official personnel action are as follows:

(1) Make the final determination of whether or not employees have demonstrated the minimum acceptable level of technical proficiency to perform actual duties.

(2) Grant, withhold, or revoke certification authority to employees in accordance with this order.

(3) Take action when employees fail to acquire or maintain a required certification authority.

(4) Provide oversight of the AOV Credentialing Program.

**b.** The Operations Support Staff (OSS) provides administrative support to the district offices. The responsibilities of the OSS are as follows:

(1) Manage the Technical Operations Training and Personnel Certification Program within their organizations, including, but not limited to, verifying that all prerequisite training, enrollment, and employee notifications are completed.

(2) Document the Personnel Certification Program.

(3) Assist in the oversight of the AOV Credentialing Program.

(4) Validate certification assignments in the approved logging system.

(5) Provide guidance on training and educational needs to employees and management. This can include research, data gathering or input, and validation.

(6) Recommend individual equivalencies and operational necessity waivers.

(7) Maintain training and certification records.

(8) Manage technical and nontechnical training quota allocation.

(9) Verify that completion data is recorded into the official training history.

(10) Document the Non-Federal Facilities and Personnel Verification Program.

(11) Support national training programs and workgroups.

## **2-11 First-Level Manager**

The first-level manager supervises employees who require training and/or certification covered by this order. Within the Technical Operations Training and Personnel Certification Program, the responsibilities of the first-level manager are as follows:

**a.** Determine the technical training requirements necessary to maintain NAS operations.

- b.** Develop, update, and review a training plan for each employee.
- c.** Coordinate and establish each employee's training schedule.
- d.** Select and approve employees for training.
- e.** Discuss and document pre-training notifications with employees.
- f.** Verify that all prerequisite training, enrollment, and employee notifications are completed.
- g.** Endorse employees for certification authority prior to it being granted.
- h.** Verify that all OJT and performance examination requirements are accomplished.
- i.** Complete the annual review of technical proficiency for each assigned employee with active certification authority, including their own.
- j.** Administer distance learning course examinations, if applicable.
- k.** Request, schedule, and administer bypass, OJT, and performance examinations.
- l.** Develop, approve, and implement action to be taken on potential or actual training failures.

## **2-12 Employees**

Within the Technical Operations Training and Personnel Certification Program, the responsibilities of employees are as follows:

- a.** Apply themselves to the learning task in a professional manner and successfully complete training objectives within prescribed times.
- b.** Assist their first-level manager with identifying individual training needs, developing their training plan applicable to current job requirements, and maintaining proficiency on assigned systems and functions.
- c.** Provide training to other employees as assigned.
- d.** Participate in pre-training notification sessions.
- e.** Complete and submit all required course critiques and questionnaires and provide feedback to their first-level manager.
- f.** Participate in the ATO evaluation process.

## Chapter 3. Training Administration

### 3-1 General

This chapter contains policies about needs identification and requirements identified by the FAA. The agency will make every effort to provide an environment that is conducive to the learning process. As new technology is implemented, additional training guidance will be provided.

### 3-2 Identifying Technical Operations Training Needs

The following contains the policies and definitions unique to Technical Operation requirements identification not already captured in the current version of FAA Order JO 3000.22. These policies must be implemented at every organizational level for efficient and orderly management of the Technical Operations Training and Personnel Certification Program:

a. Training restrictions enacted by Congress in 1996 prohibit agencies from spending appropriated funds on training that is offensive to federal employees or that is unnecessary in the execution of their duties. These restrictions apply to all federal employees. The HRPM, Volume 5, *Talent Development System*, includes the reference material listing these congressional training restrictions. The FAA uses Form 3000-20, *ATO Group Training Needs Assessment*, or Form 3000-22, *ATO Individual Training Needs Assessment*, to document that the training provided is appropriate and necessary to accomplish official duties in support of the FAA's mission. For Environmental and Occupational Safety and Health (EOSH) elements, the ATO uses the EOSH Training Needs Assessment Tool (TNAT) to identify EOSH training requirements and needs.

b. The call for training is one of the formal processes the FAA uses to identify training needs. Refer to Appendix 9, Call for Training, for additional information.

c. Funding for training may be provided by the FAA and is subject to resource availability.

d. The target audience is identified, the quota is allocated to the target audience, and management selects the employees.

e. The nomination, selection, and approval of employees for training is a management responsibility. Selection and approval must take into consideration available resources, cost-effectiveness, congressional training restrictions, legal requirements (e.g., safety or hazardous materials), current workload, training location, and maintenance responsibility. The selection of employees for training activities that primarily prepare for advancement and are not directly related to improving performance in employees' current positions must conform to the appropriate collective bargaining unit agreement, Uniform Guidelines on Employee Selection Procedures, and the merit principles adopted in the FAA Personnel Management System.

**Note:** The term "requirement" in this paragraph refers to identified personnel in need of training. This is not to be confused with the use of "requirement" in the development of curriculum or acquisitions. The usage of the term "requirement" is contextually different.

### 3-3 Quota Management

Quota management is an ongoing process to ensure the maximum use of allocated quotas. AJI-22 has the authority to manage, move, or remove quotas.

- a. An emergency quota requirement is a request to meet an immediate need.
- b. An unused quota is an approved, funded seat without an enrollment on the scheduled start date.
- c. A no-show quota is an approved, funded seat with an enrollment but for which the employee does not show up.
- d. Unused and no-show quotas should be avoided.
- e. The quota management process is discussed in Appendix 10, Quota Management Process.

### 3-4 Curriculum

Technical Operations training is delivered through a structured curriculum designed to develop the specialized skills, knowledge, and abilities necessary for the performance of official duties. The curriculum may include one or more of the following:

**a. Theory.** Theory courses are conceptual or specific to a system. System-specific courses must include a troubleshooting process and must contain graded troubleshooting exercises.

**b. Prerequisites.** A prerequisite is a course that provides a common body of knowledge to a specific training assignment.

(1) Prerequisite requirements are accessible through the course profile located in the nationally approved application.

(2) If a prerequisite is not met, then a waiver might be granted, per paragraph 3.9, prior to attendance in the subsequent course.

(3) Employees who arrive for resident training and have not met the prerequisites or obtained an approved waiver must return to their duty location at the expense of their district or service area, as appropriate. The Service Center Training Program Management Officer (TPMO) must ensure that the travel is not funded out of centralized training funding.

**c. Field-Conducted Training.** Field-conducted training is formal training conducted at a NAS facility by either FAA or contracted personnel. It is planned, scheduled, and guided by a qualified employee.

### 3-5 On-the-Job Training

On-the-Job Training (OJT) is a hands-on activity used to develop the requisite skills and knowledge to perform work in the NAS. OJT will be conducted using a published, nationally developed course. In the absence of a nationally developed OJT course, a locally developed

course may be used. The OJT must include the performance examination that will be administered. OJT will be conducted with academic integrity.

- a. OJT must be completed by employees when assigned, when they are preparing for certification authority, or when it is identified as part of a written formal program.
- b. OJT must be conducted within the timeframe established in the training plan after successful completion of theory and before the performance exam, if applicable.
- c. OJT completions must be recorded in the employee's official learning history.
- d. All national OJT courses contain the official number of hours of instructional and study time within the approved materials. The materials are accessed from the course profile. All OJT courses must include, but need not be limited to, the following subjects:

(1) *Safety and Coordination*. This must include all safety procedures and coordination for release of the system from the NAS.

(2) *Test Equipment*. This must include the use of test equipment for the measurement of all key performance parameters and certification parameters.

(3) *System Interfaces*. This must include the interface of this system with the NAS. This must also include identification of the applicable handbooks, standards and tolerances, maintenance schedules, certification parameters and procedures, and technical performance records and their use.

(4) *System Operation*. This must include system shutdown and startup procedures, but these do not have to be performed where operations will be affected. This may be done by discussion in the field. This must also include procedures needed to operate the system, including software installations and reloads.

(5) *Preventive Maintenance*. This must include all maintenance procedures for key performance parameters and all certification procedures. This should include all other maintenance procedures.

(6) *Troubleshooting*. This must include locating troubleshooting procedures in the respective manuals, performing all diagnostic tests, and identifying and locating the removal and replacement procedures in the applicable manuals. It may also include actual removal and replacement.

### **3-6 OJT Types**

OJT is used to gain mastery over skills introduced in resident and distance learning. It may be employed whenever justified by the media analysis. OJT is a required component in attaining personnel certification authority. OJT must be conducted using maintenance handbooks and/or technical instruction books (TIBs).

- a. **Academy-Conducted OJT**. OJT will be conducted by qualified personnel approved by the Academy. Academy-led OJT will include laboratory exercises.

(1) Site familiarization must be completed for location-specific elements that cannot be addressed at the Academy. These elements are detailed in Appendix 2, Site Familiarization.

(2) At the Academy or at a vendor site, a personnel certification for the instructor is not required, as these locations are not NAS operational and are not certified.

**b. Field-Conducted OJT.** OJT will be administered by qualified personnel. For certifiable systems, the instructor must be certified on the system, as these locations are NAS operational.

**c. Preparing for OJT Conducted in the Field.** The first-level manager and OJT instructor, with input from the employee, must develop a plan for how and when the OJT training will be administered. This plan must:

(1) Use the nationally approved OJT progress form, FAA Form 3400-16, On-the-Job Training (OJT) Progress Form for Certifiable Systems.

(2) Use a nationally approved OJT package, if available. When one is not published, use a locally developed OJT package.

(3) Determine if portions of a national OJT may be excluded.

(4) Determine the timeframe in which the OJT is to be completed. (The timeframes given in the OJT packages were developed for an employee with no previous experience.)

(5) Include the number of instructional hours.

**d. Locally Developed OJT.** A locally developed OJT course is used when a national course is not published. This course is normally developed by the OJT instructor but may be developed by a subject matter expert.

(1) *Local OJT Development Process Requirements.* Locally developed OJT must conform to the established OJT requirements listed in this order. A second-level manager or above should approve and set allowable timeframes for a locally developed course. The number of instructional hours for OJT varies by system but usually equals 1.5 times the performance examination hours. Locally developed OJT courses will be sent to AJI-2 for possible incorporation as national courses. Once a national OJT course is published, it supersedes all locally developed OJT courses for the particular system, subsystem, or service.

**e. Enhanced Hands-On Training.** EHOT contains the normal theory instruction and additional material to develop the skills and knowledge to maintain and certify a system, subsystem, or service. EHOT takes the place of both the theory and OJT requirements. It is followed by a DoP examination. Together, EHOT and DoP provide an alternative path to satisfy the theory, OJT, and performance examination, leading to attainment of personnel certification authority.

(1) *Sunset Clause.* EHOT courses will be separated into theory, OJT, and performance examination sections during a major revision. Refer to Appendix 14, Enhanced Hands-On Training and Demonstration of Proficiency, for additional information on EHOT.



### 3-7 Examinations

Examinations are used to measure and document an employee's knowledge, cognitive ability, and performance of job skills and tasks. All examinations used in the Technical Operations Training and Personnel Certification Program must be developed and validated under the administrative control of AJI-23 and in accordance with applicable orders and standards. Examinations are subject to review and updates.

**a. Security of Examinations.** Every employee is responsible for safeguarding the integrity of all controlled examinations. Any individual having personal knowledge of a compromise of any segment of an examination must immediately advise management of the incident.

**b. Theory Examination Administration.** First-level managers shall provide controlled examination material to employees in a non-operational environment free from distraction and interruption. Examination instructions will be discussed with the examinee prior to exam commencement. Employees will be considered to be in training status while taking an examination.

**c. Demonstration of Proficiency.** A DoP is given following successful completion of Academy or out-of-agency training (OAT) conducted as EHOT. Successful completion of the DoP satisfies a step toward attainment of personnel certification authority.

(1) *Sunset Clause.* DoPs will be converted to a performance examination during a major revision. Refer to Appendix 14, Enhanced Hands-On Training and Demonstration of Proficiency, for additional information on DoPs.

**d. Performance Examinations.** A performance examination measures the employee's demonstrated proficiency of the training assignment being assessed. A performance examination is a required part of the process to attain personnel certification authority.

(1) If an FAA handbook with key and certification parameters has not been published, the available material must be used to develop the examination.

(2) An unsuccessful measurement or failure of a "lock-out" item, as designated by an asterisk (\*) on the examination, will constitute failure of the entire examination. "Lock-out" items will include, but are not limited to, certification parameters, key performance parameters, and personnel safety practices.

(3) All performance examinations for certifiable systems, subsystems, or services must, at a minimum, test the employee's ability to:

- Measure all key performance parameters.
- Perform scheduled maintenance checks.
- Perform system diagnostic tests.
- Coordinate maintenance activities.
- Demonstrate knowledge of standards and tolerances and system documentation.
- Perform tasks related to a specific system.

(4) Performance examinations must be documented in the nationally approved software system.

(5) Employees must be advised that the examination is graded, and the examination must not be administered until employees successfully complete OJT.

(6) A performance examination must not be stopped to avoid a failure.

(7) The examiner may modify a performance examination to make it compatible with the actual system used. Any deviation must have approval of the second-level manager or above prior to the administration of the examination.

(8) Each national performance examination has an estimated time length. Time extensions require the verbal approval of a second-level manager or above and must be documented by the examiner on the performance examination cover sheet.

(9) The performance examiner cannot be the same individual who provided OJT instruction.

(10) All employees have access to the performance examinations on the FAA Information Superhighway for Training (FIST).

(11) Performance examinations are not limited to certifiable systems. They may be used whenever an assessment of performance proficiency is deemed to be necessary.

**e. Nationally Published Performance Examinations.** All nationally published performance examinations must be approved by AJI-23. The official hours can be found on the cover sheet of the exam. For Academy-administered examinations, items specific to individual NAS facilities will be covered during site familiarization.

**f. Locally Developed Performance Examinations.** If a national performance examination has not been published, the employee must satisfactorily complete a locally developed performance examination that is:

(1) Conducted by an authorized examiner

(2) In conformance with the established performance examination requirements

(3) Approved with a set allowable time by a second-level manager or above

(4) Submitted to AJI-2 for possible inclusion as a national examination

**g. Bypass Examinations.** Bypass examinations are comprehensive examinations used to indicate a knowledge level equivalent to that of a graduate of an appropriate formal training course. A bypass examination may be used to satisfy the theory requirement for certification authority. If an employee voluntarily uses the bypass examination as a first attempt and fails the examination, the failure does not count as one of the three official attempts and does not require a written formal program.

### **3-8 Equivalencies**

Equivalencies are a set of training courses that may be used in place of a specific training course. Academic equivalencies consist of two distinct types: those that are permanently defined and those that apply to an individual. The defined equivalencies are accessible through the course profile or crosswalk located in the nationally approved applications. The individual's equivalency is based on an evaluation of the employee's prior training that shows a level of knowledge comparable to that achieved by taking the course. Equivalencies that apply to an individual will not be granted for OJT, EHOT, DoP, performance examinations, or for a course that has a bypass examination. Requests for academic equivalencies will be submitted using FAA Form 3000-23, Training Equivalency Request. Additional guidance can be found in Appendix 13, Established Equivalency Listings and Processes.

### **3-9 Waivers**

An operational necessity waiver is an exemption from a prerequisite requirement that allows the employee to attend a specific course scheduled offering. It is to be used only for emergency operational situations such as those that would result in a degradation of safety or significant additional expense if the training were not provided at that time. An approved operational necessity waiver must be submitted to the Service Center TPMO using FAA Form 3000-21, Operational Necessity Waiver. The approved waiver must be filed in the employee's Official Certification Record File (OCRF). Refer to Appendix 10, Quota Management Process, for additional guidance.

- a.** An operational necessity waiver is requested by the first-level manager and approved by the second-level manager or above. If the employee successfully completes the course for which the prerequisite was waived, all reasonable efforts must be made to complete the prerequisite.
- b.** If an employee fails a course for which an operational necessity waiver has been granted, the prerequisite must be successfully completed before the employee retakes the failed course, or any other course for which that prerequisite is required.
- c.** Operational necessity waivers apply to an entire course.

### **3-10 Out-of-Agency Training**

Out-of-agency training (OAT) is training that is conducted by or obtained from sources other than the FAA. This training must meet the same technical standards for training defined in this order. Refer to FAA Order JO 3000.22 for additional guidance.

### **3-11 Non-Contiguous Training Assignment**

An employee may be enrolled in more than one scheduled offering at the FAA Academy without returning to his or her permanent duty station. When there is an intervening period between scheduled offerings, prior arrangements must be made to assign employees to supervised training or other work assignments during the intervening period. See Appendix 10, Figure 10-4, Overlapping, Consecutive, or Non-Contiguous Training, for process details.

### 3-12 Training Standards

Training standards encompass the eligibility requirements for training opportunities, employees' expected conduct during training, the training environment, and the required qualifications for instructors. The following sections provide guidance on these topics.

**a. Conduct during Training.** Conduct issues while attending training must be resolved at the lowest level possible in accordance with the standards of conduct. If required, counseling must be conducted by FAA management. The training provider may return employees to their facility prior to completion of training after coordination with the field organization. Refer to the appropriate HRPM for further guidance.

**b. Instructor Qualifications.** At a minimum, instructors must have knowledge of the subject area and successfully complete the specific course(s) they are going to teach. All instructors are required to have EOSH training related to the equipment for which they are conducting training (e.g., Electrical Safety Qualified Person (ESQP) and Lock-Out Tag-Out (Hazardous Energy Control) for Authorized Employees). They must also meet these qualifications:

(1) *Academy FAA Instructors.* The basic requirement for Academy instructors is the successful completion of the agency's Basic Instructor Training (BIT) course.

(2) *Academy Contract Instructors.* The basic requirement for Academy contract instructors assigned to duties as a classroom instructor is the successful completion of BIT.

(3) *Field Instructors.* The basic requirement for field instructors is the successful completion of the Facility Instructor Training (FIT) course.

(4) *OAT Instructors.* FAA-approved OAT instructors must meet the requirements as outlined in the applicable contract agreement.

(5) *OJT Instructors.* OJT instructors must hold valid certification authority on the applicable system, subsystem, or service. For non-certifiable situations, they must have demonstrated proficiency on the applicable equipment. OJT instructors are assigned by first-level management or above.

(6) *Additional Skills.* Different delivery media may require additional skills. Therefore, follow-on training may be required in order to maintain an effective level of instructional skill.

**c. Performance Examiner Requirements.** The following guidance applies to all performance examiners. Additional performance examiner responsibilities and instructions are listed in Appendix 8, Performance Examiner Requirements and Responsibilities:

(1) For certifiable systems, subsystems, and services, the performance examiner must possess certification authority for the system, subsystem, or service on which the examination is given. If the authority is inactive, they may administer the examination but may not perform system, subsystem, or service certification.

(2) The performance examiner must not administer performance examinations to his or her first-level manager.

**d. Field Performance Examiner Requirements.** The following additional guidance applies to performance examiners in the field.

(1) The field performance examiner must be assigned by a first-level manager or above and designated in the nationally approved software system.

(2) For the purposes of non-certifiable system examinations, the field performance examiner must be proficient on the system.

(3) The field performance examiner must not be an individual who was administered the same performance examination by the employee taking the performance examination.

(4) Field performance examiners who are external to the local organization are preferred.

(5) The field performance examiner must not be the individual who provided OJT to the employee.

**e. Employees.** The following guidance applies to all employees:

(1) *Training Selection and Approval.* The nomination, selection, and approval of employees for training is a management responsibility and must be accomplished through appropriate procedures in support of the organization's mission.

(2) *Leave while in a Training Status.* Leave usage will be governed by the appropriate HRPM policy and/or collective bargaining agreement. Notification of absence should be given to the training provider as soon as it is practical.

(3) *Personal Issues while in Training Status.* If the employee encounters any issues that may affect their ability to learn while in the training environment, they should notify their instructor, Academy management, or immediate supervisor as appropriate.

## **Chapter 4. Training Documentation and Outcomes**

### **4-1 General**

This chapter contains policies and requirements regarding training documentation and training outcomes. Training specialists must implement these policies for training outcomes at their organizational level to ensure that training opportunities are effectively used. Guidance related to training documentation can be found in the appropriate appendices.

### **4-2 Training Plan**

Managers must develop a training plan with each employee requiring training. This plan must be tailored to each individual employee's job requirements and may exist in both written and electronic formats. Create a training plan within 30 days of the employee reporting to the organization. The training plan must be reviewed with the employee annually and updated as required. This review must be documented on the training plan by having both the first-level manager and the employee sign and date the form.

- a. A training plan must be part of any written formal program.
- b. An employee's LMS learning plan is part of an employee's training plan but does not require signatures.
- c. The initial training plan for employees must include the required new-hire training.
- d. Training must be completed within timeframes defined in the plan.
- e. Satisfactory training progress is required. Unsatisfactory conditions include:
  - (1) Failure to successfully complete any assigned training
  - (2) Failure to meet the time limits established in the training plan. The manager may extend the limits specified in the plan if completion is prevented by circumstances beyond the control of the employee.
- f. Managers must monitor the progress of employees enrolled in training and must address unsatisfactory progress.

### **4-3 Pre-training Notification**

Employees must receive advance notice of a training's purpose, methods, and content. This notification must be documented on the nationally approved form and signed by the employee and his or her manager for all training. This form must be retained by the first-level manager for three years.

### **4-4 End-of-Course Evaluations**

Every training event must use an end-of-course evaluation to assess participant reaction, instructor performance, learning outcomes, transfer of learning, and the effectiveness of participatory learning techniques. It must be provided to the employee. The employee's

completion of the end-of-course evaluation is required. In accordance with FAA Order 1350.14, *Records Management*, the completed end-of-course evaluation must be retained by the training provider. Further guidance may be found in FAA Order JO 3000.22 and the HRP, Volume 5.

#### **4-5 Learning Histories in Electronic Learning Management System**

All approved training activities must be recorded with the appropriate completion status in the employee's official learning history in the LMS. Employees must have access to their official learning histories.

#### **4-6 Completion without an FAA Number**

When employees attend required training that does not have an FAA course number, they must provide the training specialist with documentation of course attendance. This may be a transcript, a completion certificate, or another similar official proof of attendance. These courses must be recorded in the employee's LMS learning history. For LMS process guidance, see Appendix 12, Entering Completions in the Learning Management System.

#### **4-7 Training Outcomes**

A successful training program will be defined by the following: effective needs identification, appropriate training methods, the roles and responsibilities of the training community, and efficient records management. Measuring training outcomes requires a review and validation as outlined in FAA Order JO 3000.22.

**a. *Satisfactory completion*** occurs by meeting the objectives and outcomes of the learning assignments. Successfully completed learning assignments must be documented as "PASS" for graded materials or as "COMP" for non-graded materials. The following requirements apply unless the employee is exempted elsewhere in this order:

(1) *Grading*. Employees must receive a cumulative 70% or better on graded examinations and a passing grade on pass/fail examinations. For courses with more than four graded examinations, a passing grade is required in at least 50% of the examinations.

(2) *Attendance*. To receive maximum benefit from training, an employee should be present for the entire course. Leave must be approved by the employee's manager of record. Notification of absence must be communicated to the training provider.

**b. *Unsatisfactory completion*** is a failure to meet the objectives and outcomes of the learning assignments and must be documented as a "FAIL" in the employee's learning history.

(1) *Notification of the Employee's Manager*. If the employee fails the training, the training provider must notify the Service Center TPMO. The TPMO will notify the employee's manager.

(2) *Establishment of a Written Formal Program*. Unless exempted elsewhere, employees who fail assigned training, bypass examinations, OJT, or performance examinations must be provided a written formal program for remediation by the first-level manager within 30 days of the failure. A written formal program must also be implemented when certification authority has

been revoked due to lack of proficiency and when management has determined that the individual needs to regain the revoked authority. Satisfactory progress is determined by the employee successfully meeting all of the requirements outlined in the written formal program.

(3) *Retakes of Training or Bypass Examinations.* A minimum of 30 days is required between attempts to retake a failed training event. The 30-day minimum may be waived by the second-level manager or above. Only three attempts are allowed to satisfy a training requirement, with noted exception in paragraph 3.7.g. The second-level manager or above will authorize the third and final attempt. Copies of all authorizations for Academy-delivered training or examinations must be sent to AMA-400.

(4) *Funding of Travel and Per Diem for Multiple Attempts.* The employee's organization must fund the travel and per diem costs that are incurred when the employee takes multiple attempts to satisfactorily complete a training course or examination.

(5) *Documentation of Reasons for Performance Examination Failures.* When an employee fails a performance examination, the examiner must clearly list the reasons for failure on the reverse side of FAA Form 3400-15, Performance Examination Cover Sheet. The failure will be recorded in the employee's official training history in the LMS.

**c. Incomplete.** This entry is made for any employee whose circumstances are not covered under the guidelines for withdrawal, successful completion, or failure.

**d. Withdrawal.** With prior management approval, an employee may depart from training in the event of an emergency or another unusual circumstance. The employee's manager must notify the training provider of the departure. When an employee withdraws from a training course, a grade of "WITH" must be entered for that course in the employee's official LMS learning history. Withdrawals will not be used for the purpose of avoiding failure of the course.

**e. Early Release.** When the training provider determines that an individual employee or entire class has satisfied the course completion requirements or has failed the course prior to the established class end date, early release may be granted. When any of these situations occurs, the training provider will complete an early release form and will be responsible for notifying the employees' managers and AJI-23.



## **Chapter 5. Personnel Certification Authority**

### **5-1 Personnel Certification Authority**

This chapter provides national direction for the attainment and retention of personnel certification authority. Employees must possess the minimum competencies necessary to certify a given type of system, subsystem, or service. Certification authority imparts to the holder all rights and responsibilities for independent determination to keep, remove, or place a certifiable element into operation in the NAS. Certification authority must be documented in the nationally approved software system in accordance with this order.

### **5-2 Individuals Requiring Certification Authority**

Only FAA employees may be granted certification authority. FAA individuals required to hold certification authority for systems, subsystems, or services are identified as follows:

- All employees that certify systems, subsystems, or services
- Performance examiners
- DoP examiners
- OJT instructors conducting OJT on a certifiable system

### **5-3 Sources for Certification Authority Requirements**

Personnel certification requirements are published in Appendix 5, Air Traffic Organization Personnel Certification Requirements, which include specific criteria such as theory, OJT, and performance examinations or equivalent for attainment of certification authority. FAA Order 6000.15, *General Maintenance Handbook for National Airspace System (NAS) Facilities*, defines certification requirements based on the system(s), subsystem(s), and service(s) requiring certification.

### **5-4 Use of Certification Authority in Other FAA Programs**

FAA personnel with appropriate user rights and responsibilities must update an employee's certification authorization records in the FAA logging system and the AOV credentialing system after any change to a personnel certification authority status.

### **5-5 Documentation of Certification Authority**

Certification authority must be documented on FAA Form 3400-3, Technical Operations Personnel Certification/Verification Authority Record, in the nationally approved software system. Additional guidance specific to the documentation of the certification authority record can be found in Appendix 1, Personnel Certification Authority Process.

**a.** Certification authority must be documented on FAA Form 3400-3 in the nationally approved software system. The information in each certification authority record must include, but is not limited to, the following:

- (1) Facility type (FAC)
- (2) Facility Identification Code (FIC), as appropriate

(3) All certification authorities

(4) Theory qualification(s) that support each certification authority, with date of completion

(5) OJT qualification(s) that support each certification authority, with date of completion. The name of the OJT instructor must be entered in the OJT Remarks block. If OJT was satisfied by EHOT, the instructor name is not required.

(6) Performance qualification(s) that support each certification authority, with date of completion. The name of the examiner must be entered in the Performance Qualifying Remarks block. If performance qualification(s) were completed via DoP, the examiner name is not required. Other information that may be entered in the Performance Qualifying Remarks block includes the time used for the exam and the score.

(7) The name and date of the employee making the entries

(8) Comments regarding the certification authority entry in the Comments block

(9) The name of the first-level manager making the endorsement and the date

(10) The name of the second-level manager granting the certification and the date granted

(11) The name of the second-level manager revoking a certification authority and the date revoked

**b.** Changes to existing certification authority records because of a new FAC, FIC, or certification requirements require that a new certification authority record be created. All fields in the new record in the nationally approved software system must be completed as though it was the original record.

**c.** Certification authorities entered on FAA Form 3400-3 prior to January 1, 1998, are considered valid and do not require correction. Certification authorities entered on FAA Form 3400-3 prior to March 5, 2002, do not need dates or course information for OJT because entries on OJT were not required prior to that date.

**d. Legacy Records.** Certification authority records that pre-date September 17, 2007—the implementation date of the Certification Tracking System that contained the electronic signature of the grantor—were to have been entered into the nationally approved automated system by December 31, 2008, per the previous version of this order. Any of these FAA Form 3400-3 paper records, kept for historical purposes, are not official and must not be used for documentation of personnel certification authority. Secure handling must be in accordance with FAA Order 1350.14 and FAA Order 1370.121, FAA Information Security and Privacy Program & Policy, for materials containing personally identifiable information.

## 5-6 Official Certification Record File

Each employee who holds personnel certification authority of any status must have an Official Certification Record File (OCRF). The OCRF consists of both paper records and electronic records. The electronic records are in the LMS and other nationally approved software system(s). The file must contain documentation to substantiate the employee's qualifications to possess certification authority on a specific system, subsystem, or service. Printed copies of electronic records may be made for local reference.

**a. FAA Form 3400-3.** The official FAA Form 3400-3 resides in the nationally approved software system and is considered part of the employee's OCRF. The nationally approved software system must populate the data entry as much as possible, including automatically sending an email notification of pending actions. The form must be used to record the certification authority status.

**b. Legacy Signed FAA Form 3400-3.** Information from FAA Form 3400-3 for certification authorities granted prior to September 17, 2007, has been transferred to the nationally approved software system.

**c. LMS is Part of OCRF.** The official training history for those courses, and for examinations that support a certification authority, is located in the LMS and is considered part of the individual's OCRF. Some of the examinations completed prior to the October 1, 2005, implementation of the LMS may not be recorded in the LMS; paper records of those examinations are filed in the OCRF. Those prior completions are recorded in FAA Form 3400-3 in the nationally approved software system and do not need to be added to the LMS.

**d. FAA Form 3400-16.** FAA Form 3400-16 is originated in the nationally approved software system and then printed for use. There is no requirement to file the OJT package. FAA Form 3400-16 for successfully completed OJT can be disposed of 24 hours after the completion has been entered in the LMS and the certification authority has been granted. FAA Form 3400-16 for a failed OJT package must be filed in the employee's OCRF until the OJT package is successfully completed and certification authority has been granted.

**e. FAA Form 3400-15.** FAA Form 3400-15 for both nationally and locally developed performance examinations is originated in the nationally approved software system and then printed for use. The nationally approved software system must populate the data entry as much as possible, including automatically sending an email notification of pending actions. The cover sheets for successfully completed nationally developed performance examinations can be disposed of 24 hours after the completion has been entered in the LMS and the certification authority has been granted. FAA Form 3400-15 for a failed performance examination must be filed in the employee's OCRF until the performance examination is successfully completed and the certification authority has been granted. There is no requirement to file the body of the examination.

**f. Certification Authority Status Change.** Recommendations to change certification authority status are filed in the OCRF. These are done via email.

**g. Other Documents as Needed.** There may be other documents filed in the OCRF that are not already included in the LMS.

### **5-7 Transfers and Retention of OCRFs**

An employee's training file or OCRF must be maintained in accordance with the current version of FAA Order 1350.14. The processes for transfers and retentions are as follows:

**a.** When an employee is reassigned to another location or another FAA office, the training file or OCRF must be transferred by traceable delivery service or by messenger to the employee's new location or office within 30 days.

**b.** Once an employee has left the FAA or an employee has transferred to a position where he or she no longer needs personnel certification authority, the training file or OCRF must be processed as follows:

(1) The file must be transferred by traceable delivery service or by messenger to the Service Center TPMO, who holds it for five years.

(2) The file must then be sent by traceable delivery service or by messenger to the Federal Records Center for another five years. It must then be provided to the National Archives and Records Administration (NARA). If the NARA does not want the file, it is then destroyed.

### **5-8 Certification Authority Attainment**

Attainment of certification is a six-step process. Individuals successfully completing a theory requirement with the intention of attaining certification authority should be granted that authority within 180 days.

**a. Theory Requirement.** The first step of the personnel certification authority process is the theory requirement. Successful completion will affirm that the individual possesses satisfactory knowledge of the system, subsystem, or service. The current applicable theory requirement is listed in Appendix 5, Air Traffic Organization Personnel Certification Requirements.

**b. OJT Requirements.** The second step of the personnel certification authority process is OJT. The current applicable requirement for OJT is listed in Appendix 5, Air Traffic Organization Personnel Certification Requirements.

**c. Performance Examination Requirements.** The third step of the personnel certification authority process requires successful completion of a performance examination. The current applicable requirement for a performance examination is listed in Appendix 5, Air Traffic Organization Personnel Certification Requirements.

**d. Validation.** The fourth step of the personnel certification authority process is the training specialist's validation that the certification requirements have been met and that a certification record has been created.

**e. Endorsement.** The fifth step in the personnel certification authority process is an endorsement from the first-level manager after confirming the specialist's knowledge of site familiarity and capability to perform work practices. This endorsement is documented in the nationally approved software system.

**f. Granting.** The sixth step in the personnel certification authority process is the reviewing and granting from the second-level manager or above. Granting of certification authority is documented in the nationally approved software system.

### 5-9 Certification Authority Types

There are three types of certification authority:

**a. Regular Certification Authority.** Regular certification authority on a system, subsystem, or service may be granted to an employee after satisfactory completion of the certification requirements identified in Appendix 5, Air Traffic Organization Personnel Certification Requirements.

**b. Temporary Certification Authority.** Temporary certification authority may be granted on a specific type of system, subsystem, or service based on a determination of operational need during unusual circumstances. This authority is valid for up to 90 days from granting and must not be granted to the same individual for more than 6 months within any 12-month period on the same system, subsystem, or service. The granting of temporary certification authority must be fully and formally documented in the nationally approved software system. The following criteria must also be met to grant temporary certification:

(1) When granting temporary certification authority to an individual, consideration should be given in the following sequence:

(a) Individuals who have met the applicable theory requirements

(b) Individuals who have not met the applicable theory requirements but have met training requirements for related systems (e.g., an employee certified on FA-9639 Distance Measuring Equipment (DME) may be granted temporary certification authority for FA-9783 DME; however, training on communications equipment cannot be considered applicable to DME).

(2) Temporary certification authority must not be granted to employees who, on the last attempt, failed the theory requirement, OJT requirement, or performance requirement for the pertinent system, subsystem, or service.

**c. Remote Regular Certification Authority.** Remote regular certification authority on a system, subsystem, or service may be granted to employees who are responsible for accomplishing remote certifications through the use of Remote Maintenance Monitoring (RMM) equipment and capabilities.

(1) In order to gain remote regular certification authority, the employee must satisfy the approved remote operations, OJT or EHOT, and DoP or performance examination requirements, as shown in Appendix 5, Air Traffic Organization Personnel Certification Requirements.

(2) Employees who have regular certification authority for a system, subsystem, or service that has RMM capabilities are not required to attain remote regular certification authority.

### **5-10 Granting of Certification Authority in Emergencies**

Provided that the requirements for the type of authority granted are met, the second-level manager or above may grant emergency certification authority through the most expedient means (e.g., electronic communication or telephone). This must be done in accordance with paragraph 5.9.b., Temporary Certification Authority. This action must be followed up within three business days with the appropriate documentation.

### **5-11 Review of Certification Authority**

On an annual basis, the first-level manager must review the proficiency of each employee, and the second-level manager must confirm the review.

**a. Frontline Review of Certification Authority.** The first-level manager and the employee must verify proficiency as long as the certification authority is active. The first-level manager must perform a proficiency review of active certification authorities, including his or her own, annually (no more than 13 months after the previous review) or whenever a question arises concerning the individual's technical proficiency. The first-level manager must document the review in the nationally approved software system.

(1) The review of an employee may be an examination of his or her ability to perform designated procedures and adjustments or an observation of on-the-job performance. The observation of on-the-job performance must include a review of site conditions, restoration activities, air traffic reports, maintenance logs, and other information gathered during normal execution of the manager's duties throughout the year. The documentation in the nationally approved software system must include the following statement: "Airway transportation system specialist (ATSS) proficient for all active certification authorities."

(2) The first-level manager documents the review on his or her own active certification authority in the nationally approved software system with the following statement: "I manage employees with active certification authorities."

**b. Second-Level Review of Certification Authority.** The second-level manager or above confirms the manager's review and recommendation. This review must be documented in the nationally approved software system with the following statement: "All active certification authorities confirmed."

### **5-12 Certification Authority for New Systems**

When new systems are installed, there are two methods for beginning the process to attain certification authority:

**a. Temporary Certification Authority for New Systems.** Temporary certification authority may be granted to employees in accordance with paragraph 5.9.b. Those employees then administer the OJT and performance examinations to other employees. The individuals with temporary certification authority attain regular certification authority by receiving the OJT and performance examinations from individuals who they did not train or examine.

**b. Three or More Years of Experience on Similar Systems.** This method applies only to those new systems that have a nationally approved theory course. Each second-level manager within the district may grant regular certification authority for up to two employees in his or her organization. Regular certification authority may be granted if the employee has completed the nationally approved theory course and has three or more years of experience as a certified employee on a similar system. The designated employee(s) would then administer the OJT and performance examinations to other employees.

### **5-13 Certification Authority Status**

A certification authority must have one of three statuses: active, inactive, or revoked. During the annual review of each specialist's records, the first-level manager must determine if any of the certification authorities should change status.

**a. Active Certification Authority.** Active certification authority attests to the employee's proficiency on a system, subsystem, or service. Specialists with active certification authority must have a corresponding AOV credential.

**b. Inactive Certification Authority.** Inactive certification authority must be documented in the nationally approved software system, and the employee's certification authorization must be removed from the FAA logging system when any of the following have been determined:

(1) The certification authority holder has not certified the system, subsystem, or service for a period of two years or more at the date of the annual review.

(2) The Academy instructor has not administered a DoP for a period of two years or more at the date of the annual review.

**c. Revoked Certification Authority.** Certification authority must be revoked when one of the following circumstances occurs:

(1) When the proficiency (performance and/or knowledge of theory) of an employee has deteriorated to a level such that continued certification of a system, subsystem, or service by the employee might render it unusable or unsafe for use

(2) When the end date of the temporary certification authority period is reached

(3) When certification authority is discovered to have been erroneously granted. Administrative errors in documenting training or examinations may be corrected without revoking certification authority.

(4) When there are no longer any systems of a particular type commissioned in the NAS. The revocation must include the following comment: "Certification revoked; no commissioned systems in the NAS."

#### **5-14 Change in Certification Authority Status**

A change in the status of a certification authority must be documented and communicated to the employee and his or her manager. If the change is to revoke certification authority, the AOV must also be notified. If a change in status is based on proficiency, a copy of the proficiency evaluation and the first-level manager's recommendation must be filed in the employee's OCFR. This evaluation must use one or more of the following methods:

- a.** Require the employee to receive informal hands-on refresher training from another certified employee.
- b.** Require the employee to take the OJT course for the system, subsystem, or service. All of the policies and procedures for taking an OJT course for a certifiable system must be followed.
- c.** Require the employee to take the performance examination for the system, subsystem, or service. All of the policies and procedures for taking a performance examination must be followed.
- d.** If it is determined by the first-level manager that an employee with certification authority needs to repeat the related or associated theory requirement, the certification authority must be revoked.

#### **5-15 Changes to Existing Certification Authorities**

Unless advised otherwise, previously granted certification authority must not be affected by later changes in examinations or course configurations.

#### **5-16 Modernizations and Equipment Replacement**

A new certification authority may be required following any NAS modernization project or major equipment modification or replacement that results in a hybrid system or equipment having new theory requirements. Operations Support (AJW-1) must determine when a new certification authority is required.

#### **5-17 Certification Authority Review Program**

Technical Training (AJI-2) will conduct a monthly review of certifications entered into Certification Tracking System (CTS). Refer to Appendix 15, Certification Tracking System Review Process, for additional information.

#### **5-18 Test and Training Systems Used in the NAS during Emergencies**

Emergency contingency plans exist to protect the NAS during catastrophic events. In the event that these plans include the activation of test facilities for use in the NAS (e.g., configuring test facilities at the Technical Center to replace the facilities and function of an Air Route Traffic



Control Center by providing connectivity and bringing controllers and technical specialists to the Technical Center), these systems or subsystems may require certification as specified in FAA Order 6000.15, *General Maintenance Handbook for National Airspace System (NAS) Facilities*.

**a.** When the test or training facilities do not have a direct equivalent in the NAS, the second-level manager or above may use the temporary certification authority process to grant certification authority to employees assigned to these facilities.

**b.** Specific personnel certification authority documentation in the nationally approved software system is not required for these test or training facilities used in the NAS. Copies of the email documentation will be maintained in accordance with the granting of emergency certification authority policy in this order.

## Chapter 6. Files, Forms, and Records

### 6-1 General

In accordance with Department of Transportation (DOT) policy, the official training history for all FAA employees resides in the LMS. All records and forms generated must have filing directions included in the form descriptions.

### 6-2 Form and Record Correction Procedures

Due to administrative mistakes or oversights, forms and records sometimes contain errors. For paper documents, errors may be corrected by drawing a line through the error, initialing on the line, and then entering the correct data.

### 6-3 Computer Security, Privacy, and Freedom of Information Act

Certain legal and regulatory restrictions are placed on the collection, use, and dissemination of information. See the current version of FAA Order 1370.121. These requirements must be applied to the provisions of this directive when and where appropriate.

### 6-4 Automated Records

Automation allows national access to centralized electronic database applications and permits authorized users to execute training enrollments and to prepare and store official certification records.

**a. System Stability.** The nationally approved software system must have an approved disaster recovery plan to include a data backup system using local and off-site storage.

**b. Data Retention.** The nationally approved software system administrators must retain all data, in accordance with the current version of FAA Order 1350.14.

**c. Signatures.** Management officials are authenticated in the nationally approved software system through successful login using a secure user identification and password.

## Chapter 7. Verification of Personnel Maintaining Non-Federal Facilities

### 7-1 General

This chapter provides policy and guidance for the Non-Federal Technical Verification Program. Non-federal facilities that have been approved for instrument flight rules (IFR) and air traffic control (ATC) procedures in the NAS are required to meet Federal Communications Commission (FCC) licensing requirements. The non-federal personnel maintaining and verifying the facilities must meet the requirements specified in this chapter.

**a. FCC License Needed to Maintain Transmitting Facility.** Non-federal personnel maintaining any transmitter or transmitting facility must possess an FCC General Radio Telephone Operator license in accordance with 47 Code of Federal Regulations (CFR) § 87.71 and § 87.73. In addition, non-federal personnel must meet the FCC license requirements for 14 CFR Part 171: Facilities, Advisory Circulars, and Regulations.

**b. Minimum Competency Level.** All non-federal technicians are required to meet the minimum competency level with respect to theory and performance requirements for the same or similar systems and equipment as FAA employees.

### 7-2 Responsibility for Non-Federal Facilities

It is the responsibility of the Service Area Director to administer the non-federal program, but portions may be delegated to other offices in the service area, technical service operations group (TSOG), or districts. Responsibilities include the following:

**a. Identify Non-Federal Facilities.** Identify non-federal facilities in the geographical area that are used, or will be used, in the NAS and that have been approved for IFR and ATC procedures as outlined in 14 CFR: Part 171 and the current version of FAA Order 6700.20, *Non-Federal Navigational Aids, Air Traffic Control Facilities, and Automated Weather Systems*.

**b. Verify Non-Federal Technician Capability.** Establish methods for the appropriate service area personnel to verify the capability of non-federal personnel who are assigned maintenance responsibility for these facilities. This verification must be accomplished through the administration of suitable examination procedures as delineated in this order.

### 7-3 Non-Federal Use of FAA Theory Courses, Bypass Examinations, and Performance Examinations

Non-federal technicians must use the inventory of FAA theory courses, bypass examinations, and performance examinations. There must be no duplication of effort to develop unique examinations solely for the purpose of examining non-federal technicians. The theory-of- operations bypass examinations must be graded exclusively by AMA-400. See paragraph 7.4.d. for further guidance.

#### **7-4 Training and Examination Requirements for Verification of Personnel Maintaining Non-Federal Facilities**

Personnel responsible for the maintenance of non-federal facilities described in paragraph 7.2.a. must demonstrate that they have the applicable knowledge and skills required to adequately perform this task. This includes the minimum basic system concepts, specific system theory, and specific system performance examinations. Use the certification requirements listed in Appendix 5, Air Traffic Organization Personnel Certification Requirements, as guidance for the specific courses and examinations. A separate performance examination is required on each different type of system or subsystem (as determined by the FIC) for which a non-federal technician needs verification authority. The requirements are met through satisfactory completion of the following methods:

**a. Basic System Concepts Requirements.** For some non-federal facilities, knowledge of basic system concepts is required prior to completing a specific system course. The basic system concepts requirements may be met by successful completion of one of the following (the non-federal employers, or sponsors, determine which method listed in this subparagraph they will use to develop or measure a technician's level of competency for basic system concepts):

(1) An FAA Academy concept course or one of the equivalencies listed in the FIST course profile for the concept course. FAA Academy concept courses are titled using various names ("concepts," "theory," and "principles").

(2) A theory bypass examination. For a list of the basic theory-of-operations bypass examinations, refer to the concepts course equivalency listing in the FIST course profile for the concepts course.

(3) For the purpose of FAA training and verification requirements, the possession of an FCC General Radio Telephone Operator license or an FAA General Radio Telephone Operator license with the additional (shipboard) Radar Endorsement must be considered equivalent to various FAA theory bypass examinations, as indicated in Appendix 3, Non-Federal Personnel Verification Program, Figure 3-1, Listing of Equivalent Theory Courses for Federal Communications Commission (FCC) Licenses and Endorsements.

(4) An equivalency based on the non-federal technician's previous training and experience. The equivalency process used is described in paragraph 3.8.

**b. Specific System Theory Requirements.** The specific system theory requirements may be met by successful completion of one of the following (the non-federal employers, or sponsors, determine which of the methods listed in this subparagraph they will use to develop or measure a technician's level of competency for specific system theory):

(1) An FAA Academy system course or one of the equivalencies (if any) listed in the FIST course profile for the system course.

(2) An FAA-approved factory-conducted training course. See Appendix 3, Figure 3-2, Listing of FAA-Approved Factory-Conducted Training Courses. Courses that are purchased

with the equipment from the Airport Improvement Program (AIP) listing of authorized systems are to be considered FAA-approved whether or not they are listed in Appendix 3.

(3) A theory bypass examination. For a list of the theory-of-operations bypass examinations, refer to the course equivalency listing in the FIST course profile for the applicable system course.

(4) An equivalency based on the non-federal technician's previous training and experience. The equivalency process used is described in paragraph 3.8.

**c. OJT Expectation for Non-Federal Technicians.** Although non-federal technicians do not have to meet the OJT requirements that an FAA technician would, it is assumed that they will perform some type of OJT as preparation prior to taking a performance examination. This OJT does not need to be documented.

**d. Performance/Verification Examinations.** The examination requirement may be met by successful completion of one of the following, as chosen by the FAA. FAA employees who possess certification authority on the appropriate type or similar type of facility must administer performance examinations for non-federal technicians.

(1) Use a verification examination if available. These are typically for non-standard facilities that do not have a performance examination for FAA technicians. Appendix 3, Figure 3-3, Verification Examinations for Non-Federal Facilities, contains a list of non-federal facilities and the appropriate verification examinations for each type. Appendix 3, Figure 3-4, Previous Verification Examinations for Non-Federal Facilities, contains a list of previous verification examinations.

(2) Use a performance examination for an FAA facility that is the same as, or similar to, the non-federal facility. FAA examinations are located on FIST.

(3) When a verification examination or a national performance examination has not been published, the non-federal technician must satisfactorily complete a locally developed performance examination conducted by an authorized FAA examiner. See paragraph 3.7.f. for further guidance on locally developed performance examinations. If the system is a new type of non-federal facility not already included in the NAS, the service area personnel developing the locally developed examination must send a copy to AMA-400 so they can initiate action to have a suitable national examination created.

**e. Prerequisite Training.** The non-federal employer (or sponsor) may choose the method for satisfying prerequisite courses that are not concepts, principles, or theory. For example, the prerequisite for a voice switching system theory course may be the Introduction to Telecommunications course. This is not a basic concepts course and the non-federal employer (or sponsor) may choose the method of satisfying it.

### **7-5 Effective Verification Date of Personnel Maintaining Non-Federal Facilities**

Upon approval of a non-federal system for use in the NAS, action must be taken to initiate development of appropriate examinations to validate the knowledge and skills of personnel who have maintenance responsibility for the equipment.

**a.** Personnel maintaining equipment incorporated in the NAS who have received verification authority in any form prior to December 12, 1994, and who have maintained proficiency, are not required to take additional theory bypass examinations on the same system(s).

**b.** Non-federal technicians assigned maintenance responsibility for presently approved systems or for new systems, as they are approved for incorporation into the NAS, must meet the requirements of paragraph 7.4.

### **7-6 Verification Responsibilities, Process, and Records**

Non-FAA technicians maintaining non-federally owned facilities, as identified in paragraph 7.2.a., are required to hold verification authority.

**a. Non-Federal Technician's Verification Authority Responsibility.** As delegated by the Service Area Director, a District or TSOG manager is responsible for issuing non-federal technicians verification authority on a specific system, subsystem, or service.

**b. Non-Federal Sponsor Responsibilities.** The non-federal facility sponsor is responsible for hiring; assigning maintenance responsibility; and, with the help of service area personnel, ensuring that the technician meets the FCC licensing and FAA training and examination requirements.

**c. Verification Authority Forms.** Training and examination forms and records supporting verification authority must be maintained as follows:

(1) The verification authority must be documented on FAA Form 3400-3. The official form may be printed from the nationally approved software system and manually completed, or an electronic template may be used to create the hard-copy document as long as it contains all of the blocks on the official form. The process for entering the data on the form is the same as that for FAA technicians. The verification form must be maintained in hard copy or in the nationally approved software system (if available).

(2) The office granting verification authority must maintain a copy of the technician's FCC license, basic system concepts, system theory certificates, performance examination cover sheets, verification letters, reviews, revocations, and any other supporting documentation.

**d. Notice of Verification Authority.** The individual non-federal technician, the employer, the sponsor, and the service area non-federal coordinator must be provided with a written notice of successful completion of verification requirements and issuance of verification authority. This written notice may be in any form deemed appropriate by the responsible service area.

**e. Service Area Non-Federal Records.** The service area (usually through the office of a service area non-federal coordinator) must maintain a record of all non-federal facilities within its jurisdiction, the names of the sponsoring organizations, and the names of the technical personnel granted verification authority for each system.

**f. Verification Authority across Service Area Boundaries.** Verification authority issued in one service area is valid in another. When a non-federal employer (or sponsor) wishes to use a technician holding verification authority in another service area, he or she must request a copy of the verification records from the issuing service area. These copies must be forwarded to the requesting service area and are used to document the verification authority according to paragraph 7.4. If documentation is incomplete, verification must be reissued upon completion of the requirements and written notification must be provided per paragraph 7.6.d. Otherwise, there is no requirement to reissue verification authority other than to issue the written notification from the current district.

### **7-7 Training for Non-Federal Personnel**

The FAA Academy maintains an elaborate correspondence, resident, and computer-based instruction (CBI) training program for FAA personnel. These courses and training manuals are available to non-federal personnel on a reimbursable cost basis. After non-federal employers or sponsors receive a price quote, a written statement is required that lists the number of copies of material desired, the unit price, the total cost, and a statement that the requestor is aware of the cost and agrees to reimburse the FAA Academy for the full amount. If the course needed is an OAT course, the materials must be obtained from the contractor. All non-federal requests for training or materials should be sent to the OAT coordinator (AMA-405) at the following mailing address:

Federal Aviation Administration, Out-of-Agency Training Coordinator  
Mike Monroney Aeronautical Center, AMA-405  
P.O. Box 25082  
Oklahoma City, OK 73125

## **Appendix 1: Personnel Certification Authority Process**

Official certification authority records reside in the nationally approved software system. A user guide is located at <https://cmris.faa.gov>. The following is an outline of the personnel certification authority documentation process.

- 1.** All certification authority records are created by the program support specialist (PSS) in the nationally approved software system.
- 2.** The completed certification authority record form is available for printing once a technical specialist has at least one granted authority or annual review in the Certification Tracking System.
- 3.** Each certification authority record must reflect a facility type (FAC), which is a system, subsystem, equipment, or service, and an associated facility identification code (FIC) from a drop-down listing of acronyms as used in Appendix 5, Air Traffic Organization Personnel Certification Requirements, of this order.
- 4.** Certification authorities can be regular, temporary, or remote regular. If temporary is selected, a revocation date 90 days after the granting date is automatically set.
- 5.** Each certification authority record must reflect documented completions of certification criteria, as specified by Appendix 5, Air Traffic Organization Personnel Certification Requirements, of this order. Do not assume that the auto population in the nationally approved software system is correct. It is the responsibility of the PSS to ensure that the theory course, On-the-Job Training (OJT), or performance examination selected is correct according to Appendix 5, Air Traffic Organization Personnel Certification Requirements.
- 6.** When more than one course or exam is required to meet certification requirements, the additional certification criteria and their individual completion dates must be recorded in the related Remarks block.
- 7.** For field-conducted OJT, the name of the OJT instructor must be recorded in the OJT Comments block. Documenting the Academy-conducted OJT instructor's name is not required.
- 8.** For field-conducted performance examinations, the name of the examiner must be recorded in the Performance Exam Comments block. Documenting the Academy-conducted performance examiner's name is not required.
- 9.** The record Comments block is used by the PSS to enter comments germane to the record that are not captured elsewhere. This Comments block must be used to enter reasons for corrections or clarifications.
- 10.** Changes to existing certification authority records because of a new FAC, a new FIC, or new certification requirements will require that a new certification authority record be created. All fields in the new record must be completed as though this was the original record.
- 11.** Once complete, the PSS submits the record to the first-level manager for endorsement. The first-level manager endorses the record and submits it to the second-level manager for approval. This process affixes electronic signatures at each level.
- 12.** Dates are auto populated when the record is submitted, endorsed, and granted. The date can be edited by the endorser and the grantor.



## **Appendix 2: Site Familiarization**

Site familiarization is an important part of the technical training process. It provides individuals with specific information regarding the localized conditions, policies, and procedures of the facility to be maintained or certified. It is required that all personnel involved with the operations, maintenance, monitoring, or certification of a facility or service be given site familiarization appropriate to their job responsibilities. This is necessary to address the inability to cover site-specific information, coordination, and so on covered in the field-administered training environment. Site familiarization will be completed for each site for which certification is to be granted or for which the employee will have maintenance responsibility. The required elements to be covered will include, but are not limited to, the following:

- 13.** Coordination procedures for maintenance activities (e.g., scheduling maintenance activities, local coordination)
- 14.** Airport operations (to include driving for facilities requiring movement on the airfield)
- 15.** Knowledge of facility reference data (e.g., technical performance records (TPRs), facility drawings, initial parameters)
- 16.** Security policy and procedures, including site or building access and key control
- 17.** Knowledge of risk management
- 18.** Knowledge of technical documentation procedures such as proper logging; TPR completion, retention, or disposition; and the use of any relevant software application records associated with the facility
- 19.** Knowledge of aircraft accident procedures for the facility (e.g., verification of system operation, logging, local communications requirements)
- 20.** Knowledge of safety policies and procedures (e.g., climbing requirements for the facility, confined space training, personal protective equipment)
- 21.** Site-specific lock-out/tag-out power isolations for facilities (e.g., power panels, circuit breakers, receptacles)
- 22.** Awareness of contact information used in the maintenance of the facility (e.g., utility companies, Operations Control Center, Technical Support)
- 23.** Knowledge of connectivity paths (e.g., copper, fiber, microwave systems) to include demarcation points
- 24.** Logistics procedures

### **Appendix 3: Non-Federal Personnel Verification Program**

The most current official figures are located on the FAA Information Superhighway for Training (FIST) and are available for review and download by accessing Policies and Procedures > Order 3000.57 Appendices. This electronic procedure provides the user with the most current information. The following items are available:

- Figure 3-1: Listing of Equivalent Theory-of-Operations Courses for Federal Communications Commission (FCC) Licenses and Endorsements
- Figure 3-2: Listing of FAA-Approved Factory-Conducted Training Courses
- Figure 3-3: Verification Examinations for Non-Federal Facilities
- Figure 3-4: Previous Verification Examinations for Non-Federal Facilities

Any additions, deletions, or corrections to this Appendix 13ust be forwarded to the Technical Operations Training Division (AMA-400) through the appropriate Service Center Training Program Management Office. No additions, deletions, or corrections will be posted without prior approval from the Training Policy and Programs Group (AJI-23). Upon approval, this information will be added to Appendix 3. This appendix will be maintained and updated by AMA-400 and will be made available for download via the FIST. All additions, deletions, or corrections will be annotated with an asterisk for easy reference and identified in Appendix 7, Record of Changes to Appendices 3 through 5.

This appendix will be reviewed monthly and updated as required with additions, deletions, and revisions. A new date must be added to the Appendix 15n FIST, and a message will be sent out listing the changes.

## Appendix 4 Written Formal Program

A written formal program must be implemented when an individual has not met the minimum expectations to accomplish a task; has failed a training course, a bypass examination, an On-the-Job Training (OJT) course, or a performance examination; or is required to regain a revoked certification authority. The program may be an opportunity to demonstrate performance (ODP). Satisfactory progress is defined by the employee meeting all of the requirements outlined in the written formal program. If certification authority has been revoked due to proficiency, the technical specialist must be counseled immediately, and a written formal program designed to restore proficiency must be initiated. A written formal program will not be required:

- For an unsuccessful attempt as a first attempt to bypass a course
- If an individual fails a demonstration of a proficiency or a performance examination as part of an Academy training program

Additional guidance follows.

**25. Development of Written Formal Program.** The employee's first-level manager is responsible for developing and implementing a written formal program within 30 days of any event that requires one. The first-level manager may include input from a training specialist, and the employee's FAA Form 3000-14, Technical Operations Training Plan, must be used as part of the written formal program. The Remarks block of the form may say "see attached" if all required information will not fit in the Remarks block.

**26. Content of the Written Formal Program.** The written formal program must include the following:

- a. A list of the areas of knowledge deficiencies (if known). The areas may not be known if the employee failed a theory course or a bypass examination.
- b. A list of recommended study areas
- c. A list of required training
- d. A list of itemized OJT requirements (if applicable)
- e. An established schedule for completion of the program
- f. The identified instructor and the method of documenting training (if applicable)
- g. The method for measuring progress. This may include hours of study time, completion of required training, or other methods.

**27. Monitoring Program Process.** The employee's first-level manager must implement the program and monitor the employee's progress. The employee's first-level manager is also responsible for determining the reason for any lack of progress.

**28. First Alternative for Theory Course Failure.** When a course that has a bypass examination is failed, the first-level manager should consider requiring the bypass examination as the first item on the written formal program. The first-level manager has the authority to customize the written formal program, enabling the employee to obtain the minimum skills necessary to become proficient.

**29. Completion of a Written Formal Program.** A written formal program is considered complete when the employee has met all the requirements of the program.

**30. Failure of a Written Formal Program.** Failure to satisfy the requirements established in the written formal program may subject the employee to reassignment, reduction in grade, or separation.

**31. Filing and Retention of a Written Formal Program.** A written formal program for a training event that was not intended to lead to certification authority must be filed in the employee's training folder. A written formal program for a training event that was intended to lead to certification authority must be filed in the technical specialist's Official Certification Record File.

## Appendix 5: Air Traffic Organization Personnel Certification Requirements

The most current official Appendix 9s located on the FAA Information Superhighway for Training (FIST) and is available for review and download by accessing Policies and Procedures > Order 3000.57 Appendices. This electronic procedure provides the user with the most current information available. This Appendix 12ists the theory, On-the-Job Training, and performance exam requirements for the Personnel Certification Program. The following content can be accessed from the website:

- Air Traffic Organization (ATO) Personnel Certification Requirements, Figure 5-1. The specific training and examination requirements for certifiable systems, subsystems, equipment, or services may be found on FIST by accessing Policies and Procedures > Order 3000.57, Appendix 5. For examples, see Figure 5-4, Air Traffic Organization Personnel Certification Requirements (Examples).
- Monthly Appendix 5, Figure 1, Updates List, Figure 5-2. This figure, available on FIST, contains a list of the previous monthly updates to Appendix 5, Figure 5-1.
- Previous Month's Listings of Appendix 5, Figure 5-1, Figure 5-3. This figure, available on FIST, contains a listing of the previous month's updates to Appendix 5, Figure 5-1, back to January 2005.
- Air Traffic Organization Personnel Certification Requirements (Examples), Figure 5-4. This figure provides examples and brief explanations of the various types of entries found in Figure 5-1. These examples are not live entries. They should not be construed as current personnel certification requirements.

Any additions, deletions, or corrections to this Appendix 13ust be forwarded to the Technical Operations Training Policy & Programs Group through the appropriate service area training representative. No additions, deletions, or corrections will be posted without prior approval from the Technical Operations Training Policy & Programs Group. Upon approval, the information will be added to this appendix. This appendix will be maintained and updated by AMA-405 and will be made available for download on FIST. All additions, deletions, or corrections will be annotated with an asterisk for easy reference and identified in Appendix 7, Record of Changes to Appendices 3 through 5.

The appendix will be reviewed monthly and updated as required with additions, deletions, and revisions. A new date must be added to the Appendix 15n FIST, and a Learning Management System message will be sent out listing the changes.

## **Appendix 6: Instructions for Accessing the FAA Information Superhighway for Training, the Comprehensive Management Resource Information System, and the Learning Management System**

The official sources for retrieval of data, forms, and information pertinent to FAA Order JO 3000.57, *Air Traffic Organization Technical Operations Training and Personnel Certification*, are the FAA Information Superhighway for Training (FIST) and the Comprehensive Management Resource Information System (CMRIS).

**32.** FIST can be accessed at <https://fist.faa.gov/> through the FAA intranet. This order and the appendices are available by selecting Policies and Procedures > Order 3000.57 or 3000.57 Appendices.

**33.** CMRIS can be accessed at <https://cmris.faa.gov/> through the FAA intranet. The system has the following features:

**a.** The front page is accessible to everyone and contains general information, including user guides for the various CMRIS tools.

**b.** The CMRIS system has multiple different levels of access. Requests for identification and passwords are to be made on a form downloadable from the CMRIS legacy home page. District personnel may download the form, complete it, and send it to their Service Center Training Program Management Officers for approval and forwarding to the CMRIS help desk.

**c.** From this point on, a CMRIS identification and password are required. Enter the identification and password in the blocks at the left of the front page and click on the “Sign In” button.

**d.** If access has been granted but a password is forgotten, send an email to 9-AWA-CMRIS-HELPDESK and a new password will be emailed back to the sender.

**e.** Once logged in to the system, different choices are available depending on the access level. The system was originally created in the late 1990s and is being updated. Due to the dynamic nature of the changes, a more detailed description of the system is not being provided.

**f.** Every CMRIS screen contains an online help menu.

**34.** The Learning Management System (LMS) can be accessed at <https://elms.faa.gov/>. Every FAA employee has a user identification for access to the LMS.

**Appendix 7. Record of Changes to Appendices 3 through 5**

The most current official figures are located on the FAA Information Superhighway for Training and are available for review and download by accessing Policies and Procedures > Order 3000.57 Appendices. This electronic procedure provides the user with the most current information available.

Figure 7-1 of this Appendix 9s a chronological history of all changes made to Appendices 3 through 5. After the date of this order, the appendix will contain the changes for the past 12 months. Changes made prior to the previous 12 months are archived at the FAA Academy and can be accessed by sending a request to Training Support (AMA-405).

## **Appendix 8. Performance Examiner Requirements and Responsibilities**

The following guidance applies to all performance examiners. These guidelines may also be printed from the FAA Information Superhighway for Training (FIST):

- 35.** The examiner should review these instructions and any supplemental instructions that pertain to this examination.
- 36.** Before administering this examination, the examiner should give the examinee a brief explanation of the procedure to be used, what is expected, and the time limitation.
- 37.** The distribution of the performance examinations to employees prior to the examinations' actual administration is encouraged. The employee should have become familiar with the examination requirements and related test equipment during On-the-Job Training.
- 38.** The examiner must complete the cover page, FAA Form 3400-15, Performance Examination Cover Sheet. All information must be included. Under the equipment heading, list the major components of the system, such as the transmitter, monitor, and so on. If there is insufficient space, use the back of the sheet or attach sheets as necessary.
- 39.** The examiner should use the list of operations for the step-by-step administration of the examination, state the name of the procedure to the examinee, and observe the step-by-step execution of the procedure and the correct use of any test equipment necessary to the operation. If no reference has been provided, the examiner should complete this column prior to administering the examination. The examinee must be advised of the references that pertain to the exam. Operations other than those listed may be used, provided that they are appropriate. Where an operation does not apply because of equipment differences, a similar operation should be performed. The operation should be eliminated if there is no like operation.
- 40.** The sequence of steps is not necessarily as it appears in the handbook, but is in a logical order as the examinee progresses through the system. The examiner may change the sequence as the situation demands, provided that the examinee has first been advised of the change.
- 41.** It is advisable to complete the entire examination in one or more consecutive working days as required. Any break should be predetermined, and the balance of the examination should be scheduled as soon as possible; for example, the ground check and flight check requirements need not be accomplished the same day as the rest of the examination if circumstances prohibit this.
- 42.** There is no restriction on the use of any aids such as instruction books, a calculator, notes, and so on in the examination process.
- 43.** The estimated time required for this examination is specified on the cover sheet, and any changes will be communicated prior to starting the examination. Adequate time should be allowed for a simulated flight check. The time on the cover sheet does not include a briefing period or a flight check, if needed. Verbal approval of the second-level manager or above is needed for any additional time. The examiner must document the verbal approval on the examination cover sheet.
- 44.** A performance examination must not be stopped to avoid a failure.



- 45.** Items marked with an asterisk (\*) are “lock-out” items. Failure to perform adequately on any one of these means failure of the entire examination. The examination must not be continued beyond this point.
- 46.** Satisfactory performance on 90 percent of the total items (all three columns) constitutes successful completion of the examination.
- 47.** If assistance is necessary for an adjustment, another certified individual will be used. The examiner will not assist the examinee in any adjustment unless no other certified person is available.
- 48.** The columns are marked “Test Equipment,” “Procedures,” and “Results.” “Test Equipment” is a measure of adequacy of setting, calibrating, connecting, and using the appropriate test equipment. “Procedures” measures whether proper alignment and test procedures were used. “Results” indicates whether the results obtained were satisfactory and within prescribed standards and tolerances.
- 49.** Enter the letter “S” to signify successful completion of an operation. Enter “U” to indicate an unsatisfactory or inadequate completion of an item. Inadequacy is described as failure to properly execute the procedure or failure to obtain the proper result. An “X” in the column indicates that there is no entry necessary.
- 50.** Flight inspection, if required, may be satisfied through simulation when an actual flight check is not scheduled within a reasonable period of time. Other operations may also be simulated at the discretion of the examiner, but such simulation should be kept at an absolute minimum.
- 51.** The examiner must ensure that the facility is operating normally upon conclusion of the examination. The examiner must ensure that the National Airspace System facility is certified and returned to service in accordance with FAA Order 6000.15, *General Maintenance Handbook for National Airspace System (NAS) Facilities*.
- 52.** For areas of the examination that were unsatisfactory or that were failed, the examiner must make specific comments regarding the examinee’s performance on the reverse side of the performance exam cover sheet. Specific comments regarding the examinee’s performance, procedures, and so on may also be made on the back of the form.
- 53.** Examiners should submit the completed examinations to the employee’s first-level manager and training specialist. A failed field-administered performance examination and its cover sheet must be returned in their entirety.
- 54.** For locally developed performance examinations, the examiner must document all of the certification and key performance parameters on the back of the form. The documentation must include whether or not each item was satisfactorily completed.
- 55.** Field personnel are encouraged to submit any recommended changes to performance examinations. They may be scanned and/or emailed to the following email address: 9-ATOAHQ-technicaltraining@faa.gov.

## **Appendix 9. Call for Training**

The call for training guides for the two most recent years are available on the FAA Information Superhighway for Training (FIST) and the Comprehensive Management Resource Information System. The most current official Appendix 12 located on FIST is available for review and download by accessing Policies and Procedures > Order 3000.57 Appendix 9.

## **Appendix 10. Quota Management Process**

Technical Training maintains Appendix 10 electronically on the FAA Intranet at:

[https://ksn2.faa.gov/stt/TT/TTR/TechOps\\_Training\\_PolicyProcedure%20 Docs/Forms/AllItems.aspx](https://ksn2.faa.gov/stt/TT/TTR/TechOps_Training_PolicyProcedure%20Docs/Forms/AllItems.aspx).

The published Appendix 15n the web is official.

Personnel responsible for maintaining a technical order library may print new versions from the web and insert them into this handbook at any time.

## **Appendix 11. Academy Enrollment Process**

Technical Training maintains Appendix 11 electronically on the FAA Intranet at:

[https://ksn2.faa.gov/stt/TT/TTR/TechOps\\_Training\\_PolicyProcedure%20 Docs/Forms/AllItems.aspx](https://ksn2.faa.gov/stt/TT/TTR/TechOps_Training_PolicyProcedure%20Docs/Forms/AllItems.aspx).

The published Appendix 15n the web is official.

Personnel responsible for maintaining a technical order library may print new versions from the web and insert them into this handbook at any time.

## **Appendix 12. Entering Completions in the Learning Management System**

### **56. Responsibilities and Capabilities**

Program Support Specialists (PSSs) are responsible for recording completions in the Learning Management System (LMS) for the following items only:

- Nationally developed On-the-Job Training (OJT) courses
- Locally developed OJT courses
- Performance examinations
- Field-conducted labs

Under no circumstances should the PSS attempt to do the following:

- Record completions for external events
- Record completions for scheduled offerings
- Record completions for those users who are not associated with their cost center(s)

The PSS cannot edit entries in an individual's LMS learning history. When editing an entry is necessary, he or she should contact his or her service center representative.

Service center representatives are responsible for recording completions in the LMS for the following items:

- Field-conducted labs
- Locally conducted courses and scheduled offerings
- Nationally contracted workshops that are outside of the Academy's responsibility
- External events

Service center representatives have the capability to record completions for those items for which the PSSs are responsible and may assist when necessary.

Service Center Training Program Management Offices (TPMOs) have the capability to edit learning histories and learning plans in the LMS for accessible domains and individuals within their purview.

Service Center TPMOs cannot edit entries in an individual's LMS learning history for Academy and/or FAA Leadership & Learning Institute (FLLI) items. When editing of an entry is necessary, they should contact the appropriate FAA Academy or FLLI point of contact.

Technical Training and Development Group quota management team members have the capability to record completions for all items in the technical operations domain (all workshops, OJT, performance exams, field-conducted labs, locally conducted courses, and external events). They also have the capability to edit learning histories and learning plans in the LMS. They may assist with all these activities as needed.

Designated Academy representatives are responsible for recording completions in the LMS for the following items that are in the Academy shared domain of the LMS:

- Academy-conducted courses
- Nationally contracted technical operations courses
- Computer-based instruction (CBI) courses
- Correspondence study courses
- Bypass examinations (theory-of-operations bypass examinations)
- Equivalencies granted for recognized or approved prior training and experience

Designated FLLI representatives are responsible for recording completions in the LMS for FLLI courses or workshops.

**Do not make LMS completions for courses satisfied by equivalents in the course profile.** If an individual has satisfied a training requirement by the completion of a set of equivalent courses as identified in the FIST course profile, there must not be an LMS completion record for the training requirement.

### **57. LMS Learning Histories versus Requirements Identification Tool Training Histories**

The employee's LMS learning history contains completed courses, examinations, briefings, and workshops. The LMS also contains individual equivalencies evaluated and granted by the Technical Operations Training Division (AMA-400). The employee's Requirements Identification Tool (RIT) training history contains all of the items in the LMS learning history. Additionally, it contains the calculated equivalent courses based on the FIST equivalencies in the course profile. These calculated equivalent courses are identified in the RIT training history with a grade of "EQV."

### **58. Entering Completions in the LMS**

When entering completions for items or external events, there is a Comments field that will hold a maximum of 2,000 characters. This field can be used to record free-form comments about the selected learning event as it relates to the corresponding user. For OJT and performance examination completions, add the instructor's or examiner's name in the Comments field. This information will be displayed in the user's learning history. This field could be used when only a portion of the OJT or performance examination is completed. For example, an entry could read "(OJT) Localizer Mark 1D/E, FA-9350-FA-9700 (MK1E LOC)." The MK1E LOC is covered under the nationally approved OJT Course FAA45227. The GS, LOC, and markers all have the same item ID number. If this is the only portion planned, enter FAA45227 for the item ID, record the OJT hours, and in the Comments section, enter Mark 1E LOC Only.

**Note:** This field is displayed in the user's learning history.

### **59. Entering Completions for Events with Item IDs**

#### **a. Entering completions for course item IDs:**

- (1) Enter the default completion using one of the following from the drop-down menu:

- COURSE-PASS (Pass)—For Credit
- COURSE-FAIL (Fail)—Not for Credit
- COURSE-WITH (Withdrawn)—Not for Credit
- COURSE-INCO (Incomplete)—Not for Credit

(2) Enter or change the default completion date, time, and time zone.

(3) Total hours should remain as the item default.

**b. Entering completions for workshop item IDs:**

(1) Enter the default completion using one of the following from the drop-down menu:

- WORKSHOP-PASS (Pass)—For Credit
- WORKSHOP-FAIL (Fail)—Not for Credit
- WORKSHOP-WITH (Withdrawn)—Not for Credit
- WORKSHOP-INCO (Incomplete)—Not for Credit

(2) Enter or change the default completion date, time, and time zone.

(3) Total hours should remain as the item default.

**c. Entering completions for OJT item IDs:**

(1) **Do not enter** the OJT instructor's name in the Instructor field.

(2) In the Comments field, enter the name of the OJT instructor.

(3) Enter the default completion using one of the following from the drop-down menu:

- OJT-PASS (Pass)—For Credit
- OJT-FAIL (Fail)—Not for Credit
- OJT-WITH (Withdrawn)—Not for Credit
- OJT-INCO (Incomplete)—Not for Credit

(4) Enter the completion date, time, and time zone.

(5) The item default total hours must be changed to the employee's total hours in OJT. Enter the hours identified on the OJT cover sheet provided by the supervisor. In the case of locally developed OJTs, if no hours were set up with the item, enter the exact number of hours it took to complete the training.

**Note:** Hours must be entered as whole hours, and minutes must be converted to the appropriate fraction of the hour (e.g., 8.25 where the length of the item is 8 hours and 15 minutes).

**d. Entering completions for performance examination item IDs:**

(1) **Do not enter** the performance examiner's name in the Instructor field.

(2) In the Comments field, enter the performance examiner's name.

(3) Enter the default completion using one of the following from the drop-down menu:

- EXAM-PASS (Pass)—For Credit
- EXAM-FAIL (Fail)—Not for Credit
- EXAM-WITH (Withdrawn)—Not for Credit
- EXAM-INCO (Incomplete)—Not for Credit

(4) Enter the completion date, time, and time zone.

(5) The item default total hours must be changed to the total hours it took the employee to complete the performance exam. Enter the hours identified on the sheet provided by the supervisor (performance examination cover sheet).

**Note:** Hours must be entered as whole hours, and minutes must be converted to the appropriate fraction of the hour (e.g., 8.25 where the length of the item is 8 hours and 15 minutes).

**e. Entering completions for external learning events:**

(1) Before entering a completion for an external event, search the LMS to ensure that an item ID has not already been established.

(2) External events should only be used for specific single learning events. An external event is a learning activity, such as a college course or a seminar, that an individual attended that is associated with the individual's job and/or the agency.

(3) When recording an external learning event, the FAA's standard naming convention must be used to record the learning event title, as outlined in the following.

- The first character should be one of the following:  
O = when training is considered optional  
R = when training is considered mandatory or required
- The second character should contain one of the following:  
M = managers or supervisors (training specifically for those positions)  
T = technical (as defined by the line of business)  
L = logistics (acquisition)  
A = administrative (secretarial or office skills)  
S = security  
E = environmental or EOSH (safety)



U = university/college/trade school

W = EEO program/ethics/cultural

O = other (if not covered by any of the above)

- After the two characters, enter the vendor or source and then the title in the remaining spaces of the description.

Example: RL MCI Contract Formation I

R = mandatory or required

L = logistics

MCI = Management Concepts Inc. (vendor)

Contract Formation I = course title

(4) The following are also required for external events:

- Grade
- Completion date, completion time, and time zone
- Total hours credited for participating in the event

**f. Recording No-Shows.** For any student who is enrolled in a scheduled offering but did not attend the training, the scheduled offering registration status must be changed from “ENROLL” to “NO-SHOW.” The Academy will change the status to no-show for Academy and Academy-contracted courses. For locally conducted scheduled offerings, the service center representative must change the status to “no-show.” For FLLI courses, FLLI will change the status. If the status is not changed to “no-show,” entering a new enrollment for the same course will not be possible in the Quota Management Tool without submitting a request for retraining.

### **Appendix 13. Established Equivalency Listings and Processes**

The listing of established equivalencies for military and other training is located on the FAA Information Superhighway for Training and is available for review and download by accessing Policies and Procedures > Order 3000.57 Appendix 13. Refer to FAA Order JO 3000.22, *Air Traffic Organization Technical Training Management*, for further guidance on Equivalencies.

## **Appendix 14. Enhanced Hands-On Training and Demonstration of Proficiency**

### **60. Enhanced Hands-On Training**

Enhanced hands-on training (EHOT) includes the normal theory-of-operations instruction and additional material to develop the skills and knowledge to maintain and certify a system, subsystem, or service. EHOT takes the place of both the theory-of-operations and On-the-Job Training (OJT) requirements. It is followed by a demonstration of proficiency (DoP) examination. Together, EHOT and DoP provide an alternate path to satisfy the theory-of-operations training, OJT, and performance examination leading to attainment of personnel certification authority.

**a.** All EHOT courses must include:

(1) Procedures to measure all key performance parameters and certification parameters for the system, subsystem, or service

(2) Key performance and certification parameters that are not individually tested in the DoP and must be tested in individual graded laboratory exercises during the course

(3) Instruction in the use of the applicable maintenance handbooks and technical instruction books (TIBs). Laboratory exercises must be conducted using the maintenance handbooks and/or TIBs.

(4) Instruction in the standards and tolerances, maintenance requirements and intervals, certification requirements and intervals, certification exceptions, and applicable certification log statements

(5) A troubleshooting process and graded troubleshooting exercises

(6) Technical performance records must be used in the course to document the periodic measurements of key performance parameters or certification parameters in a maintenance handbook in accordance with FAA Order 6000.15, *General Maintenance Handbook for National Airspace System (NAS) Facilities*.

**b.** Location of EHOT Courses. EHOT courses may be conducted at the Academy or at a vendor location.

**c.** Laboratory Training Systems. Laboratory training systems used for EHOT courses must replicate field systems as closely as possible. If a particular procedure cannot be performed according to the maintenance handbook due to the training configuration, an errata sheet must be provided to the technical specialist explaining how it would be accomplished on a live system.

**d.** Handbook Errors. If a particular procedure cannot be performed according to the maintenance handbook due to errors or omissions in the handbook, an errata sheet containing the correct information must be provided to the technical specialist.

e. **EHOT Revisions.** All new courses and major revisions to the EHOT portions of existing courses will be done in the new modular format.

f. **Theory-of-Operations Bypass Examinations for EHOT Courses.** Theory-of-operations bypass examinations for EHOT courses must address the following topics: theory of operations, troubleshooting, preventive maintenance, maintenance documentation, and certification. Theory-of-operations bypass examinations for EHOT courses satisfy the theory requirement for certification authority. The OJT and performance exam requirements must still be met.

g. **No Training Equivalencies for EHOT Courses.** There is no training equivalency for an EHOT course. There may be a combination of a theory-of-operations course or a theory-of-operations bypass examination that, when coupled with an OJT course, meets the requirements for certification authority.

### **61. Demonstration of Proficiency**

A DoP is given following successful completion of a Technical Operations Training Division (AMA-400) or out-of-agency theory-of-operations training conducted as EHOT. Successful completion of the DoP satisfies a step toward attaining personnel certification authority.

a. *Content of DoP Materials.* A DoP consists of one or more troubleshooting problems, a difficult maintenance task (or more than one task if none are difficult), and a written component covering the standards and tolerances, preventive maintenance requirements, certification requirements, and certification exceptions.

b. *Specific DoP Material.* The specific DoP must be taught in the course, but only the maintenance task is to be provided to the technical specialist prior to the actual demonstration. For example, troubleshooting is taught and practiced in the course, including the trouble that must be in the demonstration, but the specific problem to be done in the demonstration is not given prior to the actual demonstration.

c. *DoP Revisions.* All new revisions to existing DoPs will be done in the new modular format.

d. *Recording DoP Completions.* Documentation of completion of a DoP at the FAA Academy is conducted by AMA-400 using internal processes. That documentation must be kept on file with AMA-400 and is not kept in the Official Certification Reference File. The DoP completion must be entered into the LMS.

e. *No Retakes for DoP.* There are no retakes for a DoP. Individuals who fail a DoP must return to their field location and complete the OJT and performance examination.

## **Appendix 15. Certification Tracking System Review Process**

The Technical Operations Training Division will conduct monthly reviews of certifications entered into Version 1.0 of the Certification Tracking System (CTS). The appropriate documents in existence at the time of the review will be used. These include:

- The current personnel certification directive
- Appendix 5, Air Traffic Organization Personnel Certification Requirements, in effect for the month or year the authority was granted or converted
- A requirements or examples document indicating the required entries

Missing or incorrect entries will be documented in the report that will be provided to the field. The report will have the applicable cell highlighted in yellow. The CTS information will not be changed by the reviewer. Within the cell content, the reviewer may insert a note in a different font color from that of the CTS information entered by the Program Support Specialist (PSS). The report will be sent to the service center for further dissemination to the PSSs who must correct the records if necessary.

## Appendix 16. Item Identifications—Numbering Scheme

**62.** All recurring items conducted or arranged by the FAA will be assigned item IDs. All item IDs created prior to Fiscal Year 2007 were composed of “FAA” followed by five digits (no hyphens). All item IDs created and offered during and after Fiscal Year 2007 must consist of “FAA” followed by eight digits (no hyphens). An example of an eight-digit item ID is FAA00000601.

**Note:** No eight-digit item ID should be created that ends in “000,” as this will cause confusion with the previous five-digit items.

The following table lists item ID blocks that have already been assigned to various FAA organizations. If an item is being created and an item ID is needed, contact the Primary Level 1 Learning Management System (LMS) administrator for the appropriate line of business. Please note that the Primary Level 1 LMS administrator may have further broken down the number range for the line of business.

### FAA National Item Identification System (Eight Digits)

Category	Owner (Assigns and Maintains Numbers)	Range
Academy/FLLI	AMA	00000001–19999999
Aviation Safety (AVS)	AVS	20000001–29999999
Office of Assistant Administrator for Regions and Center Operations (ARC)	ARC	30000001–30199999
Office of Human Resource Management (AHR) includes smaller LOBs FAA-wide (e.g., Ethics, SAVI)	AHR (AHR is responsible for providing numbers to the smaller LOBs)	30200001–35999999
Non-DOT Government	ALL  (For these courses [i.e., NTSB courses], organizations are required to search for the next number in this sequence—thereby forcing them to verify that there is not already an item out there for this training)	36000001–39999999
ATO	ATO Tech Ops Technical Courses AT Technical Courses	40000001–69999999 40000001–49999999 50000001–59999999
	Tech Ops Technical Exams	88000001–89999999
Security	Security and Hazardous Materials (ASH)	70000001–79999999
Reserved for future use		80000001–87999999 90000001–99999999

Note: Item numbers for TSI and CAMI will be decided between the Academy and AVS.

**63.** The item IDs for the different types of training conducted for the technical operations workforce are as follows:

- a. Resident Training.** Course numbers: 40000001–43999999.
- b. Correspondence Study.** Course numbers: 44000001–44999999.
- c. On-the-Job Training (OJT)/Field-Conducted Training.** Course numbers: 45000001–45999999.
- d. Out-of-Agency Training (OAT).** Course numbers: 46000001–46999999 and 48000001–49999999.
- e. Government OAT.** Course numbers: 46000001–46999999. This refers to courses conducted by Federal Government agencies other than the FAA.
- f. Non-Government OAT.** Course numbers: 48000001–49999999. This refers to training conducted by a non-federally employed person or persons or under the sponsorship or auspices of a non-federal organization, including state and local government agencies or public or private companies, associations, foundations, and so on.
- g. Computer-Based Instruction (CBI).** Course numbers: 47000001–47999999.
- h. Locally Arranged and Conducted Training (LACT).** Technical operations item number lengths were expanded in the LMS to accommodate the lack of available local item numbers. The Item ID field was increased to eight digits. The following series was assigned to the Technical Training and Development Group, the Technical Operations Training Policy & Programs Group, and the Service Centers for Technical Operations. (The Technical Operations Training Policy & Programs Group establishes item IDs for locally developed OJT and performance examinations and identifies them in Appendix 5, Air Traffic Organization Personnel Certification Requirements. These numbers must be used by the Program Support Specialists to record LMS completions for locally developed OJT and performance examinations.):

(1) Technical Operations Training Policy & Programs Group: FAA49400001–FAA49699999

(2) Eastern Service Area: FAA49700001–FAA49799999

(3) Central Service Area: FAA49800001–FAA49899999

(4) Western Service Area: FAA49900001–FAA49999999

**64. Guidance:**

- a.** Only training events related to the employee's job or related to the FAA in any manner will be allowed as in the past. The service center will need to make a judgment call.

**b.** Before creating an item number, search the LMS first (both active and inactive items) to ensure that the item (or a similar one) does not already exist.

**c.** Item numbers should only be assigned to those locally purchased courses that do not have national numbers. Item numbers should be created for items that will be offered multiple times for multiple people. If there are items that are common to each service area, the Technical Operations Training Policy & Programs Group will assign an item number. This will ensure that when a query is run to report on the item information, it will be consistent across the service areas.

**d.** For those courses that will be offered only once to one or two people, follow the existing LMS procedures listed in Chapter 8, Recording and Managing Learning Events, in Version 2 of the LMS Administrator Resource Guide dated November 2007.

**e.** Following a standard numbering scheme will allow for reporting capability nationally. To ensure conformity, the following procedures will be used in assigning new course numbers within each service area (this example references the Eastern Service Area (ESA)):

(1) The first three digits of the item ID will start with “497” for the ESA.

(2) The fourth digit of the item ID will be assigned as follows:

1 = Managers or supervisors (training specifically for those positions)

2 = Administrative (secretarial or office skills) or any other management and general type not covered under Item 1 above

3 = Logistics (acquisition)

4 = Technical (as defined by the line of business) (follows ATO scheme)

5 = Security

6 = Environmental or EOSH (safety)

7 = EEO/Ethics/Cultural...

8 = Locally developed PEXAM (item type must be “Exam”)

9 = Reserved



## **Appendix 17. On-the-Job Training Process**

The most recent version of the on-the-job training process guide is located on the FAA Information Superhighway for Training and is available for review and download by going to <https://fist.faa.gov/> and then Distance Learning > On-the-Job Training (OJT) > OJT Templates.

### Appendix 18. Acronyms

Acronym	Definition
AIP	Airport Improvement Program
AJI	Safety and Technical Training
AJI-2	Technical Training
AJI-21	Development and Curriculum Group
AJI-22	Planning and Tools Group
AJI-23	Training Policy and Programs Group
AJM	Program Management Organization
AJW	Technical Operations Services
AJW-1	Operations Support Office
AMA	Academy
AMA-400	Technical Operations Training Division
AMA-405	Training Support
AOV	Air Traffic Safety Oversight Service
AQR	Additional Quota Request
ASIS	Academy Student Information System
ATC	Air Traffic Control
ATO	Air Traffic Organization
ATSS	Airway Transportation Systems Specialist
BIT	Basic Instructor Training
CBI	Computer-Based Instruction
CFR	Code of Federal Regulations
CMRIS	Comprehensive Management Resource Information System
CTI	Collegiate Training Initiative
CTS	Certification Tracking System
DCR	Directive Change Request
DoP	Demonstration of Proficiency
DOT	Department of Transportation
DME	Distance-Measuring Equipment
EHOT	Enhanced Hands-On Training
EOSH	Environmental and Occupational Safety and Health
ESA	Eastern Service Area
ESQP	Electrical Safety Qualified Person
FAA	Federal Aviation Administration

<b>Acronym</b>	<b>Definition</b>
FAC	Facility Type
FCC	Federal Communications Commission
FIC	Facility Identification Code
FIST	FAA Information Superhighway for Training
FIT	Facility Instructor Training
FLLI	FAA Leadership & Learning Institute
HRPM	Human Resources Policy Manual
ID	Identification
IFR	Instrument Flight Rules
LACT	Locally Arranged and Conducted Training
LMS	Learning Management System
NARA	National Archives and Records Administration
NAS	National Airspace System
OAT	Out-of-Agency Training
OCC	Operations Control Center
OCRf	Official Certification Record File
ODP	Opportunity to Demonstrate Performance
OJT	On-the-Job Training
OSS	Operations Support Staff
PSS	Program Support Specialist
QMT	Quota Management Tool
RIT	Requirements Identification Tool
RMM	Remote Maintenance Monitoring
TIB	Technical Instruction Book
TNAT	Training Needs Assessment Tool
TPMO	Training Program Management Officer
TPR	Technical Performance Record
TSOG	Technical Service Operations Group

## Appendix 19. Definitions

**Annually.** A scheduling term meaning once every year and at 12-month intervals.

**Blended Learning.** A learning approach that combines both distance learning and instructor-led training.

**Call for Training.** A formal process used by the FAA to identify training needs. Technical Training (AJI-2) oversees this process and the gathering, validation, and assignments of training quotas.

**Certification/Verification Authority.** Substantiation that an individual possesses the minimum skills necessary to certify or verify a given type of system, subsystem, or service. For the purpose of this order, the terms “certification” and “verification” are synonymous for FAA technical specialists and non-federal technicians. The term “certification” applies in the same manner to FAA personnel maintaining FAA facilities as the term “verification” applies to non-federal personnel maintaining non-federal facilities.

**Competency.** A collection of characteristics including knowledge, skills, abilities, traits, and behaviors that individuals must exhibit to successfully perform their jobs.

**Demonstration of Proficiency (DoP).** An examination administered at the FAA Academy or at an out-of-agency location following successful completion of a theory-of-operations course that is designed using enhanced hands-on training. The demonstration consists of one or more troubleshooting problems, a difficult preventive maintenance task (or more than one if none are difficult), and a written examination on the applicable maintenance handbooks and certification parameters (including procedures and intervals). Between graded laboratory exercises in the course and the DoP, most key performance parameters and all certification parameters will be tested. The examination is administered by an FAA employee holding certification authority for the specific system, subsystem, equipment, or service.

**Enhanced Hands-On Training (EHOT).** EHOT is an integral part of some resident training. An EHOT course contains the normal theory-of-operations instruction and additional material to develop the skills and knowledge to maintain and certify a system, subsystem, or service. An EHOT course takes the place of both the theory-of-operations training and the On-the-Job Training (OJT) requirement for attainment of personnel certification authority.

**FAA Information Superhighway for Training (FIST).** The FAA intranet website maintained by the Technical Operations Training Division (AMA-400) that contains technical operations training and certification program information.

**Field-Conducted Training.** Training conducted in the field by authorized personnel that has been nationally approved.

**Field Organization.** For the purposes of this order, “field organization” is a generic term that refers to the Air Traffic Organization (ATO) organization below the organization using the term.

**First-Level Manager.** The first-level manager provides first-level supervision to subordinate employees and manages the activities of one operating unit, project, or program area.

**Fixed-Schedule Training.** The schedule for this type of training is established by the training provider.

**Non-Federal Facility.** Public-use facilities not owned by the US Government that have been approved for instrument flight rules (IFR) flight in the National Airspace System (NAS).

**Non-Federal Sponsor.** The owner of a non-federal facility.

**Non-Federal Technician.** A technical person employed by a non-federal sponsor to maintain and verify a non-federal facility.

**Official Certification Record File (OCRF).** The OCRF consists of both paper records and electronic records. It contains the documentation that substantiates the technical specialist's qualifications to possess certification authority on a specific system, subsystem, or service.

**Out-of-Agency Training (OAT).** Training conducted by or obtained from sources other than the FAA.

**Personnel Certification.** Confirmation that the individual possesses the requisite minimum knowledge and skills to determine the operational status of a system, subsystem, or service.

**Program Support Specialist (PSS).** See "Training Specialist."

**Quota Management.** The identification of training requirements and processes to ensure maximum utilization of allocated quotas. This includes both the assignment of quotas and the enrollment and notification processes. Quota Management also provides a method of adjustment for changing circumstances.

**Second-Level Manager.** This refers to the second-level management or supervision in an organization. The first-level manager reports to this individual. In the case of a district, the second-level manager may be the district manager or an individual below the district manager and above the first-level manager.

**Self-Paced Training.** This type of training has a flexible schedule.

**Service Center Training Program Management Officer (TPMO).** This person provides overall management and oversight of the technical training program for ATO field service area organizations.

**Sunsetting.** The act of causing or allowing something to lapse, end, or be terminated.

**System, Subsystem, or Service Certification.** The determination and validation that a system, subsystem, or service is providing or is capable of providing the advertised service to the user.

**Technical Specialists.** A generic title that includes, but is not limited to, electronic technicians, Airway Transportation System Specialists (ATSSs), engineering technicians, maintenance mechanics, environmental support technicians, engineers, and non-federal technicians.

**Theory.** The principles and concepts of equipment operation; periodic and corrective maintenance; and troubleshooting for NAS systems, subsystems, and services.

**Training Community.** This consists of all resources and personnel involved in the purchase, development, delivery, and revision of technical operations training.

**Training Program Management Officer (TPMO).** See “Service Center Training Program Management Officer (TPMO).”

**Training Provider.** An organization, agency, or person that is responsible for the direct oversight and management of a technical training course. Examples include the Technical Operations Training Division (AMA-400), site administrators, testing administrators, out-of-agency contractors, and locally arranged and conducted training administrators.

**Training Specialist.** A training specialist is responsible for the implementation and administration of the technical training and certification programs at the field organization level. This is typically a PSS.

**Waiver.** A waiver is the deferment of a prerequisite requirement that allows the technical specialist to attend one specific course or class.

**Written Formal Program.** A program specified by this order to be used when an individual has failed a theory-of-operations bypass examination, a performance examination, or an OJT course or has had certification authority revoked. The program may be an opportunity to demonstrate performance, (ODP) but is not required to be. The written formal program must list the areas of deficiencies, recommend study areas, itemize training requirements, establish a schedule for completion, and identify the instructor and the method of documenting training.

## Appendix 20. Websites and Related Publications

This Appendix 16 provides links for websites and related publications as follows:

**1.** The Comprehensive Management Resource Information System (CMRIS) can be accessed at <http://cmris.faa.gov/> through the FAA intranet. The following applications and documents are available in CMRIS:

**f.** The Certification Tracking System (CTS) tool

**g.** The Quota Management Tool (QMT)

**h.** The Requirements Identification Tool (RIT)

**i.** CMRIS user guides. User guides for the basic CMRIS, the CTS tool, the QMT, and the RIT are available.

**65.** The Department of Transportation (DOT) electronic Learning Management System (LMS) can be accessed at <https://elms.faa.gov/>.

**66.** Directive Change Requests (DCRs) are located at <http://technet.faa.gov/dcr/>.

**67.** Acquisition Management System policies can be accessed at <https://fast.faa.gov/>.

**68.** The FAA Information Superhighway for Training (FIST) can be accessed at <https://fist.faa.gov/> through the FAA intranet.

**69.** The Environment and Occupational Safety and Health Training Needs Assessment Tool (TNAT) can be accessed at <https://eoshtnat.faa.gov/>.

**70.** The Academy Student Information System (ASIS) can be accessed at <http://academynet.faa.gov/asis/>.

**71.** The FAA Academy's Technical Operations Distance Learning Online Tool can be accessed at <http://www.academy.faa.gov/distancelearning>.

**72.** Technical training request forms are located at <https://ksn2.faa.gov/stt/TTPPM/SitePages/Home.aspx>.

**73.** The following publications are available at [https://employees.faa.gov/tools\\_resources/orders\\_notices](https://employees.faa.gov/tools_resources/orders_notices):

**a.** FAA Order 1000.36, *FAA Writing Standards*

**b.** FAA Order JO 1000.37, *Air Traffic Organization Safety Management System*

**c.** FAA Order 1100.161, *Air Traffic Safety Oversight*

**d.** FAA Order JO 1110.104, *Technical Operations Supervisor's Committee (SUPCOM)*

**e.** FAA Order 1100.154, *Delegations of Authority*

**f.** FAA Order 1320.1, *FAA Directives Management*

- g.** FAA Order JO 1320.62, *Air Traffic Organization Directives Management*
- h.** FAA Order 1350.14, *Records Management*
- i.** FAA Order 1370.121, *FAA Information Security and Privacy Program & Policy*
- j.** FAA Order JO 3000.22, *Air Traffic Organization Technical Training Management*
- k.** FAA Order 6000.5, *Facility, Service and Equipment Profile (FSEP)*
- l.** FAA Order 6000.15, *General Maintenance Handbook for National Airspace System (NAS) Facilities*
- m.** FAA Order 6000.30, *National Airspace System Maintenance Policy*
- n.** FAA Order 6000.50, *National Airspace System (NAS) Integrated Risk Management*
- o.** FAA Order 6000.207, *Reliability Centered Maintenance (RCM) Handbook*
- p.** FAA Order 6032.1, *National Airspace System (NAS) Modification Program*
- q.** FAA Order 6200.4, *National Test Equipment Program Management*
- r.** FAA Order 6700.20, *Non-Federal Navigational Aids, Air Traffic Control Facilities, and Automated Weather Systems*
- s.** FAA Order 8000.90B, *Air Traffic Safety Oversight Credentialing and Control Tower Operator Certification Programs*
- t.** FAA Order 8000.97, *Technical Operations Credentialing Program*