APPROVED TRAINING ORGANIZATION (ATO) CERTIFICATION MANUAL

PART I - AIR TRAFFIC SERVICES (ATS)

FIRST   EDITION

SEPTEMBER   2014

CIVIL AVIATION AUTHORITY OF NEPAL

Babar Mahal, Kathmandu
September 2014

FOREWORD

Pursuant to Rule-82, Schedule-3 of Civil Aviation Regulation, 2058 (2002), this "ATO Certification Manual Part I – Air Traffic Services "has been developed and approved by Civil Aviation Authority of Nepal to comply with the provisions of the relevant Civil Aviation Requirements, ICAO Annexes and Documents for establishing the training standards while ensuring compliance with the Personnel Licensing Requirements (PELR) and ICAO Annex 1.

The Certification Manual prescribes the standards that detail the processes and procedures for the certification and approval of ATS-ATO in Nepal along with the approval of ATS training courses and ongoing regulatory oversight to ensure ongoing compliance with requirements. Approved Training Organization (ATO) personnel shall be familiar with the provisions of this manual to discharge effectively the functions of organization.

This manual is issued under the authority of Director General of CAAN and comes into effect from September 2014.

This manual incorporates latest amendments of Personnel Licensing Requirements (PELR), ICAO Annex 1 and other relevant documents.

....
(Director General)

Civil Aviation Authority of Nepal

ATO Certification Manual, Part 1- Air Traffic Services

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Amendment Record

Amendment No	Date	Date Embodied	Signature

List of Abbreviations

Abbreviation	Title
AIP	Aeronautical Information Publications
ATS	Air Traffic Services
ATS-ATO	Air Traffic Services- Approved Training Organization
ATO	Approved Training Organization
ATS	Air Traffic Services
CAA	Civil Aviation Academy
CAAN	Civil Aviation Authority of Nepal
CAR 2058	Civil Aviation Regulations 2058
CAR	Civil Aviation Requirement
ECU	Examination Control Unit
ICAO	International Civil Aviation Organization
PELR	Personnel Licensing Requirements
QDB	Question Data Bank

Definitions and Explanation of terms

Accountable - executive: The individual who has corporate authority for ensuring that all training commitments can be financed and carried out to the standard required by the civil aviation authority (CAA), and any additional requirements defined by the approved training organization (ATO).

Note.— The accountable - executive is the head of training and may delegate to another person within the organization the day-to-day management functions but not the overall approval management responsibility

Aeronautical Information Publication (AIP): A publication issued by or with the authority of a State and containing aeronautical information of a lasting character essential to air navigation.

Air traffic: All aircraft in flight or operating on the manoeuvring area of an aerodrome.

Aircraft: Any machine that can derive support in the atmosphere from the reactions of the air other than the reactions of the air against the earth's surface.

Approved training: Training carried out under special curricula and supervision approved by a Authority.

Approved training organization (ATO): An organization approved by and operating under the supervision of an Authority in accordance with the requirements of PELR to perform approved training.

Note.— The Authority is required to ensure that the ATO is included in the ongoing safety oversight programme.

Checking. See definition of testing.

Competency: A combination of knowledge, skills and attitudes required to perform a task to a prescribed standard.

Compliance: The state of meeting those requirements mandated through regulation.

Conformity: The state of meeting established criteria, standards, specifications and desired outcomes.

Evaluator: A generic term used in the context of an ATO to describe a person who is qualified, authorized and assigned to carry out specific assessment, checking, testing and/or auditing duties to determine that all required standards of performance have been satisfactorily achieved.

Head of training: The individual responsible for the organization's activities, policies, practices and procedures while ensuring the continued maintenance of the training organization's approval status.

Note.— The head of training is normally the Accountable - executive.

Instructor: A training specialist who has completed formal training in instructional techniques and who has the responsibility to deliver a given course to trainees in accordance with the standards defined for that course.

Knowledge, skill and attitude (KSA): The three performance domains that are under constant evaluation and form the basis for the performance criteria statements.

Authority: It refers to the Director General of Civil aviation Authority of Nepal entrusted to certify, license and authorize organizations and personnel to carry out the duties and responsibilities as specified.

Note:- The term authority refers to the Authority.

On-the-Job Training: Training carried out under working conditions and with guidance from a supervisor or a highly-experienced operator during which the trainee can reinforce skills achieved during formal training and/or acquire new skills whilst actually practicing them in real time.

Performance criteria: Simple, evaluative statements on the required outcome of the competency element and a description of the criteria used to judge whether the required level of performance has been achieved.

Policy: A document containing the organization's position or stance regarding a specific issue.

Process: A set of interrelated or interactive activities which transform inputs into outputs.

Quality: The totality of features and characteristics of a product or service that bear on its ability to satisfy stated or implied needs.

Quality assurance (QA): All the planned and systematic actions necessary to provide adequate confidence that all training activities satisfy given standards and requirements, including the ones specified by the approved training organization in relevant manuals.

Quality audit: A systematic and independent examination to determine whether quality activities and related results comply with planned arrangements and whether these arrangements are implemented effectively and are suitable to achieve objectives.

Quality inspection: That part of quality management involving quality control. In other words, inspections accomplished to review a document or observe events/actions, etc., in

order to verify whether established operational procedures and requirements are being fulfilled during the accomplishment of the event or action, and whether the required standard is being achieved.

Note.— Student stage checks and skill tests are quality inspections, and they are also quality control functions.

Quality manager: The manager responsible for the quality monitoring function and for requesting remedial action.

Note.— The quality manager is responsible directly to the head of training.

Quality management: A management approach focused on the means to achieve product or service quality objectives through the use of its four key components: quality planning; quality control; quality assurance; and quality improvement.

Note.— This definition is specific to this manual.

Quality manual: The document containing the relevant information pertaining to the approved training organization's quality system.

Quality of training: The outcome of the training that meets stated or implied needs within the framework of defined standards.

Quality system (QS): The aggregate of all the organization's activities, plans, policies, processes, procedures, resources, incentives and infrastructure working in unison towards a total quality management approach. It requires an organizational construct complete with documented policies, processes, procedures and resources that underpin a commitment by all employees to achieve excellence in product and service delivery through the implementation of best practices in quality management.

Note.— This definition is specific to this manual.

Rating: An authorization entered on or associated with a license and forming part thereof, stating special conditions, privileges or limitations pertaining to such license.

Testing: The comparison of the knowledge about a task, or the skill or the ability to perform a task against an established set of criteria to determine that the knowledge, skill or ability observed meets or exceeds, or does not meet, those criteria.

Chapter 1
Air Traffic Services - Approved Training Organization (ATS - ATO) - General

1.1 CHARACTERISTICS OF AN ATS-ATO

1.1.1 An ATS-ATO is an organization that is approved by the Authority to deliver specific approved training programmes to ATS personnel for licensing purposes. As a prerequisite to the approval process this organization will have demonstrated that it is staffed, equipped, financially resourced, and operated in a manner conducive to achieving the required standards

1.1.2 ATS-ATOs are distinguished from non-approved training organizations by the approval process and the ongoing oversight provided by the Authority.

1.2 ORGANIZATIONAL STRUCTURE

1.2.1 The design and make-up of its organization structure should ensure that the delivery of training meets the client's needs and expectations while maintaining compliance with the applicable regulatory requirements. Therefore, ATOs need to have a management structure that is designed around best quality management practices.

1.2.2 In all cases, ATOs require an accountable - executive who is the final corporate authority on decisions that may impact upon the continued suitability of the organization to deliver training to ATS personnel for licensing purposes. Since the accountable - executive may not have a day-to-day awareness of the training activity, that person must rely heavily upon the performance and advice of key personnel within the organization. As a result, the qualifications and competencies of ATO personnel must be maintained to a very high standard.

Note.— Appendix A provides organizational structures for consideration.

Chapter 2
ATO approval process

2.1 OBTAINING APPROVAL

2.1.1 Civil Aviation Regulation 2002 requires that no person or organization shall operate an aviation training organization unless approved by the Director General.

2.1.2 An ATS ATO shall submit an application to the Authority for the approval of ATO in accordance with the Appendix B, along with a copy of the proposed ATO's training and procedure manual. The requirements for the contents of this manual are stipulated in Chapter 3and detailed guidance on this subject is provided in Appendix D.

2.2 AUTHORITY'S REVIEW AND APPROVAL PROCESS

2.2.1 The Authority should review the application for approval. Once it is assessed as satisfactory, the Authority normally conducts a site inspection prior to final approval. Upon successful completion of the process, the Authority issues the approval. This consists of an approval certificate and additional documentation specifying the terms of the approval.

2.2.2 An ATO shall demonstrate its capability to provide ATS training by holding a ATS-ATO approval certificate, issued by the Director General Civil Aviation (DGCA) in accordance with this Manual.

2.2.3 An ATO shall offer specific curricula inclusive of quality instructional system and evaluation system including the theoretical and simulative aspects of training acceptable to the Authority and approved by the DGCA.

2.2.4 The issuance of an 'approval certificate' to an ATO and the continued validity of the approval shall depend upon the training organization being in compliance with the requirements prescribed herein.

2.2.5 The `approval certificate' shall contain at least the following:
   a) organization name and location;
   b) date of issue and period of validity;
   c) Terms of approval; and
   d) List of Training Approval.

   Note : The model of the 'Certificate of ATS ATO' is mentioned in Appendix C.

2.2.6 Satisfactory completion of an approved training course shall be in accordance with ATS Licensing requirement as stipulated in PELR part 10.

2.3 VALIDITY OF CERTIFICATE

2.3.1   The validity of the certificate shall be two years from the date of issue unless

    a. The certificate is surrendered, suspended or revoked;
    b. The approval is not renewed within 180 days of the expiry
    c. A major change has been made to the ATO's facilities, upon which the ATO's certificate is based, without the prior approval of the authority.
    d. The ownership of the ATO has changed and no application has been submitted to the authority within the 30 days of change of ownership.

2.4 RENEWAL OF CERTIFICATE

2.4.1 An ATO shall demonstrate that it meets all provisions set forth for the issuance of the approval including the personnel, facility, approved training programmes, training records, and recent training ability meeting the prescribed requirements.

2.4.2 In order to maintain current instructional skill and teaching proficiency, an ATO shall ensure that it does not remain without students for long periods of time. Preferably, ATO shall prove that it has trained at least one batch of the students in basic stream in the preceding 12 months.

2.4.3 For the renewal of the approval certificate, an ATO shall have to be actively involved in the training process.

2.4.4 An ATO shall deposit necessary fee for the renewal of certificate in accordance with Rule 86 of CAR 2058.

2.5 DISPLAY OF CERTIFICATE

2.5.1 An ATO shall prominently display its `approval certificate' at its premises.

2.5.2 An ATO shall readily make its 'approval certificate' available for scrutiny when requested by the authorized officials of the authority.

2.6 CHANGES IN THE SCOPE OF THE APPROVAL

2.6.1 Whenever ATO requires change in the scope their approval, it should provide supporting information to the Authority that will assess it using the applicable requirements of PELR part 3. An amendment to the approval document should be issued after a satisfactory assessment.

2.6.2 Changes or modifications in equipment, software, facilities, or key managerial personnel should be reported to the applicable Authority to ensure that any required approvals are obtained without delay.

2.7 CONTINUED SURVEILLANCE AFTER THE APPROVAL

2.7.1 After receiving an approval, the ATO will be subjected to continued surveillance by the Authority to ensure that the ATO is operating within the terms of its approval.

2.7.2 Guidance on the continued surveillance to be conducted by the Authority is provided in Chapter 9.

Chapter 3
TRAININGAND PROCEDURES MANUAL

3.1 INTRODUCTION

3.1.1   The training and procedures manual describes the training programmes being offered and the way in which the training organization conducts its activities. This chapter explains how the training and procedures manual should be developed, implemented and managed by the ATO.

3.2 CONTENT

3.2.1   The content of the training and procedures manual is spelled out in general terms in PELR part 3.

3.2.2   Appendix D to this manual provides a more detailed breakdown of the content of the manual.

3.3 DEPLOYMENT AND FEEDBACK

3.3.1   The training organization should monitor the use of the training and procedures manual after its release.

3.3.2   Ensure appropriate and realistic use of the manual, based on the operational environment, in a way that is operationally relevant and beneficial to the personnel for whom it is intended.

3.4 AMENDMENT

3.4.1   The training organization should develop an effective information gathering and review system to process information obtained from all sources relevant to the organization, such as the Authority, safety regulators, training customers, and equipment vendors, as well as a distribution and revision control system.

3.4.2   The training organization should also develop an information review, distribution and revision control system to process information resulting from changes that originate within the organization. This includes changes to:

a) The organization's policies, processes, procedures and practices;
b) Respond to operating experience;
c) The scope of training provided;
d) The content of training programmes;
e) Results stemming from the installation of new equipment;
f) An approval document or certificate; and
g) Maintain standardization.

3.4.3   The training and procedures manual should be reviewed in association with other operational documents that form the organization's document control system:

a) On a regular basis (at least once a year);
b) After major events such as mergers, acquisitions, rapid growth;
c) After technology changes, e.g. the introduction of new equipment; and
d) After changes to safety regulations.

3.4.4   Permanent changes to the training and procedures manual should be communicated through a formal amendment process. The manual should be amended or revised as necessary to ensure that the information contained is kept up to date.

3.4.5   Distribution of amendments and revisions should have a tracking system. The tracking system should include some form of log combined with a procedure to ensure that all amendments are furnished promptly to all organizations or persons to whom the manual has been issued.

Chapter 4

QUALITY ASSURANCE (QA)

4.1 OBJECTIVE

4.1.1   The objective of QA is to ensure the achievement of results that conform to the standards set out in the ATO's manuals and in those requirements and documents issued by the Authority. The effective application of QA principles will aid the ATO in meeting all regulatory requirements.

4.1.2   Quality is an outcome of a number of processes. An ATO shall take corrective actions if any non-conformity is found, to improve processes and procedures. ATOs need to implement proactive as well as reactive processes. Appendix F describes proactive processes and provides guidance on how to institutionalize a quality system that incorporates QA and assists ATOs in reaching their full potential.

4.1.3   The instructions and information contained in the following paragraphs provide guidance on the QA that an ATO shall establish in accordance with PELR part 3.

4.2 ELEMENTS

The following QA elements should be clearly identifiable in the training and procedures manual:

a) The organization's training policy (for clients as well as for its own personnel);

b) Training standards;

c) Allocation of responsibility;

d) Resources, organization and operational processes;

e) Procedures to ensure conformity of training with the policy;

f) Procedures for identifying deviations from policy and standards and taking corrective action; and

g) The evaluation and analysis of experiences and trends concerning policy and training standards, inorder to provide feedback into the system for the continual improvement of the quality of training.

4.3 QA AND THE QUALITY SYSTEM OF THE ATO

Details on the requirements for QA and the development of an overarching quality system for an approved training organization can be found in Appendix F.

Chapter 5

FACILITIES AND EQUIPMENT

5.1 FACILITIES

An ATO should have access to facilities appropriate to the size and scope of the intended operations provided in an environment conducive to learning. These facilities shall include:
   a. general areas which consist of sufficient:
      — office space for ATO managerial, administrative and training staff;
      — study and examination rooms and reference/library facilities; and
      — storage areas, including secure areas for training and personnel records;
   b. classroom areas which are suitably equipped to effectively deliver the theoretical elements of the training programme in accordance with the training and procedures manual; and
   c. practical training areas which are designed and equipped to ensure the attainment of end-state competencies. These facilities shall include:
      — operations, planning and briefing rooms;
      — simulation and procedure trainer areas;
      — parts, tools and material storage areas.

5.2 TRAINING COURSEWARE AND EQUIPMENT

An ATO shall ensure that all courseware and equipment required by the training programme, as specified in the training and procedures manual, are available and in good working order. Changes to these working conditions and any temporary "work-around" solutions shall be improved prior to continuing with the scheduled training.

5.3 APPROVAL OF TRAINING DEVICES

5.3.1   An ATO shall make available the training device that is intended for training, testing or checking in an approved training programme to the applicable Authority, prior to initial use for determination of its suitability.

5.3.2   An ATO shall implement at least the following for all training devices:
   a. A routine maintenance programme to ensure that the training devices continue to function properly and, when applicable, continue to accurately replicate any component, system or equipment for which training, checking or testing credits are being sought; and
   b. a record-keeping process for each training device to be established and maintained, which accurately records the device's use and lists any discrepancies with respect to its functionality or intended performance characteristics that may impact training.

5.3.3   An ATO shall establish criteria on the basis of guidelines provided in Appendix E for the determination of the suitability of a simulation training device for approved training programme.

Chapter 6

ATO STAFFING

6.1 An ATO shall have accountable - executive and key managerial personnel. Typical key positions include:
   a. accountable - executive;
   b. head of training;
   c. instructional services manager;
   d. quality manager;
   e. maintenance manager, if applicable; and
   f. safety manager, if applicable.

6.2 Accountable Executive may the head of training but shall not be a Quality Manager.

6.3 An ATO shall obtain the approval for the appointment of Accountable - Executive/Head of Training, Instructional Service Manager and Quality Manager from Authority.

6.4 Depending on the size and scope of the organization and the requirements of the Authority, some of the key positions may be supplemented by subordinates as illustrated in the organizational charts in Appendix A. Small and less complex ATOs may wish to combine some key positions when it becomes clear that the resulting position's roles and responsibilities would not be adversely affected by such a decision.

6.5 An ATO shall have the number of qualified and competent instructors and evaluators, who hold appropriate licenses or certificates, qualifications and / or authorizations as deemed necessary by the Authority.

6.6 Instructors and evaluators shall undergo initial training and recurrent training at intervals that the Authority deems necessary, as well as update training relevant to the most recent technology and training methodologies appropriate to the competencies for which the students are being trained and examined.

6.7 An ATO shall ensure that sufficient trained and competent personnel are available for the continued effectiveness of its quality system.

6.8 Qualification of Accountable executive/ Head of Training

An ATO shall have a suitably qualified and experienced person as Accountable Executive/ Head of the Training organization, who may be known as Director or Chief. The person nominated shall have 15 years of experience in civil aviation activities.

6.9 Qualification of Instructional Services Manager or Chief Instructor

6.9.1 The Instructional Services Manager or Chief Instructor shall have at least the following qualifications and experience:

    a. Minimum Bachelor's Degree;
    b. Minimum 10 (ten) years of service in officer level post(s) relating to the specific branch/faculty;
    c. Have completed course in Instructional techniques delivered by internationally recognized trainers or CAAN approved instructors
    d. Minimum 5 (five) years as an authorized instructor.

6.10   Qualification of Instructor(s)

6.10.1 The Instructors should be duly qualified and experienced having successfully completed applicable course(s) in the specialist field(s)/branch. The instructors should have an aptitude for teaching and should be patient, enthusiastic and be able to keep discipline. The instructors shall have at least the following qualifications and experience:

(a) Minimum Bachelor's Degree;
(b) Have completed appropriate course(s) applicable for specialist branch;
(c) Minimum 5 (five) years of service in officer level post(s) relating to the specific branch/faculty;
(d) Have successfully completed course in Instructional technique;

6.11   Requirement of minimum numbers of instructors

6.11.1 One classroom shall have maximum of 16 (sixteen) students

6.11.2 In case of practical training, each ATS unit shall have at least 1 (one) instructor.

Chapter 7

THIRD-PARTY PROVIDERS (OUTSOURCING)

7.1 COURSEWARE

An ATO engages outside assistance in designing and delivery of training courseware shall be held accountable for the quality and suitabilityof its courseware.The work being performed by the Third-party provider should therefore be subjected to the QA practices that the ATO is expected to apply toits own work.

7.2 PERSONNEL

ATOs may acquire certified and qualified temporary instructional personnel from aviation industries by outsourcing.

Chapter 8

RECORD-KEEPING

8.1 An ATO shall maintain a detailed student records to indicate that all requirements of the training course have been met as approved by the Authority.

8.2 An ATO shall maintain a training records including the qualifications and training of instructors and evaluators, where appropriate.

8.3 The record-keeping system of an ATO should have the following characteristics:

a. **Completeness**. The records kept by the training organization should be sufficient to provide documentary evidence of each training action and allow the reconstruction of the training history of each student or instructor in the organization.

b. **Integrity**. It is important to maintain the integrity of records, ensuring that they are not removed or altered. A backup of the records is also necessary to ensure continuity in case of a major disaster.

8.4 Students' training records shall be retained for a minimum period of two year after the completion of the training.

8.5 Official notices, technical circulars and literature and other requirements shall be circulated by the training organization to the instructors, as soon as practicableafter receipt. All superseded publications shall be withdrawn by the organization.

8.6 The respective Instructional Service Manager or Chief Instructor shall ensure that the following records are maintained:

(a) The names and addresses of all students attending CAAN approved training course;
(b) Progress records in respect of all students attending CAAN approved training course;
(c) The commencement and conclusion dates of all training courses, and copies of each approved syllabus; and
(d) Examination results for all training courses given;

8.7 Examination question papers and student response sheets shall be retained for a period of not less than 5 (five) years following completion of the training course.

Chapter 9

OVERSIGHT EXERCISED BY THE AUTHORITY

9.1 Oversight is the responsibility of the Authority. It consists of the approval process of an ATO and the continued surveillance of the ATO's training delivery after approval. The purpose of the surveillance activities is to ensure that the ATO is operating within the terms of its approval. It includes a review of the ATO's QA system, its administrative, technical and training records, as well as its operational activities. Surveillance is an ongoing function that may also include consideration of records held by the Authority, for example, examination results, in addition to on-site inspections, audits and other surveillance activities.

9.2 The main elements of the ATO activities that are subject to the Authority's oversight include, as applicable, the following:
   a. staff adequacy in terms of number and qualifications;
   b. validity of instructors' certificates, and authorizations;
   c. logbooks;
   d. appropriate and adequate facilities for the training and for the number of students;
   e. documentation process (e.g. the review and update of the training and procedures manual), with particular emphasis on course documentation, including records of system updates, training/operations manuals, etc.;
   f. training delivery in the classroom and in simulation devices and, if applicable, on the-job training, including briefing and de-briefing;
   g. instructor training;
   h. QA practices;
   i. evaluation and checking;
   j. training, examination and assessment records;
   k. documents and maintenance records; and
   l. Training device qualification and approval.

9.3 (a) The inspector prescribed pursuant to Sub-rule (2) of Civil Aviation Regulation 2002 has the authority to enter into the premises of ATO and its facility for inspection, enquiry to the concerned person and entity, written or oral statement, scrutiny or seizure of documents, collection of evidences, etc.

(b) During the inspection if it is deemed that the facilities, equipments qualification and competency of the instructional personnel does not meet requirements as prescribed in this manual, the inspector shall recommend authority for the withdrawal or revocation or suspension of ATO Certificate or prevent from exercising the privilege of such certificate

9.4 Safety Oversight shall be carried out at least once a year in accordance with the checklist provided in Appendix G.

Chapter 10

EVALUATION AND CHECKING

10.1 An ATO shall avoid situations where the persons giving the instruction are also responsible for examining the student on completion of the instruction.

10.2 Evaluation function for the purpose of a license or rating shall be carried out by the evaluator who is independent from the Examination Control Unit and instructional services unit.

10.3 At the discretion of the Authority, ATO shall designate evaluators when the ATO can demonstrate that it is capable of consistent compliance with the standards prescribed by the Licensing Authority.

10.4 Where the authority has authorized an ATO to conduct the testing required for the issuance of a License or rating, the testing shall be conducted by the personnel authorized by the authority. No further authorization to the third party will be acceptable without the approval of the Authority.

10.5 Unusually high failure rate of an ATO on technical examinations conducted by authority shall reflect poor performance of the organization, and frequent and similar lapses could result in the withdrawal, suspension or revocation of the approval by the authority.

10.6 TESTING OR EXAMINATION PROCESS

10.6.1 An ATO shall establish a Testing or Examination Process to check the progress of each student and to demonstrate that the student has achieved a satisfactory level of knowledge and skill. This system shall be managed and monitored in accordance with training and procedures manual approved by Authority.

10.6.2 Examination of specific subjects undertaken will be carried out by ECU. As a minimum this will be written examination of multiple choice questions and subjective type papers. This final examination shall determine whether the student has achieved a satisfactory understanding of the subjects within the approved syllabus as may be applicable.

Note : Specific subjects shall refer to ICAO Annexes 2, 3, 10, 11, 15, 19, and relevant Civil Aviation Requirements (CARs),Theory of Flight, Air Navigation, Human performance,

10.6.3 Examination of Practical component shall be conducted in simulator by the ATO under strict supervision of Authority.

10.6.4 The final examination is to be conducted by the ATO and the entire examination shall be supervised by Authority.

10.7 PREPARATION OF EXAMINATION PAPERS

An ATO shall establish an Examination Control Unit (ECU) and develop a examination conduction procedure which shall be approved by the authority. On the basis of this procedure, the ECU shall conduct examinations.

10.8 QUESTION DATA BANK

An ATO shall develop a Question Data Banks (QDB) and shall be kept secure and protected from unauthorized access and it shall be established under Examination Control Unit (ECU). Examination papers and databank printouts shall be kept in locked cabinets under the control of supervisory staff.

10.9 CHECK PERSONS AND EXAMINERS

10.9.1 The qualification of check persons and examiners shall have at least the following qualifications and experience:

   a. Minimum Bachelor's Degree;
   b. Minimum 10 (ten) years of service in officer level post(s) relating to the specific branch/faculty;
   c. Have completed course in Instructional techniques delivered by internationally recognized trainers or CAAN approved instructors
   d. Minimum 5 (five) years as an authorized instructor.

10.10 ENGLISH LANGUAGE PROFICIENCY

An ATO shall conduct an English Language training in order to achieve at least Level 4 in ICAO English Language Proficiency Test in accordance with PELR part 10 by the trainees.

An ATO shall include in its ATS Training Course the syllabus of Aviation English so as to enhance the English Language Proficiency of trainees to meet English Language Proficiency Requirements in accordance with PELR Part-10.

Checking evaluation of Aviation English Language Proficiency of the course so included shall be conducted by authorized panel if Testers/Raters for Aviation English Language Proficiency Test (ALPT) establishing Authority.

10.11 FEE SCHEDULE

The ATO shall submit fees for the issuance and renewals of the certificates and authorization as per CAR 2058.

Chapter 11

COURSE COMPLETION CERTIFICATE

An ATO shall issue a certificate to each student who successfully completes the training. The certificate shall include:

    a. the name of the organization;
    b. the name of the organization;
    c. the certificate number;
    d. the name of the graduate to whom it was issued;
    e. the approved curriculum title;
    f. the date of graduation;
    g. a statement that the student has satisfactorily completed each required stage of the approved course of training including the tests for those stages;
    h. an authentication by an official of the institute; and
    i. Any other relevant detail.

Appendix A

ORGANIZATIONAL STRUCTURE OF THE ATS ATO

The following organizational chart is the minimum requirement for ATS-ATO organization but is by no means exhaustive and do not pretend to meet all operational requirements. It is provided only to assist training organizations in developing and maintaining an organizational structure that is consistent with the needs of an effective quality system governance model.

**Example of a very small generic training organization**

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                          ┌──────────────────┐
                          │  Head of Training │
                          │  (Accountable     │
                          │   Executive)      │
                          └──────────────────┘
                                   │
    ┌──────────────┬───────────────┼───────────────┬──────────────────┐
┌───────────┐ ┌──────────────┐ ┌──────────────┐ ┌─────────────────────┐
│Examination│ │Quality Manager│ │Administration│ │Instructional Services│
│Control    │ │      ↓        │ │and Financial │ │Manager, or           │
│Unit (ECU) │ │  Evaluator    │ │Services      │ │Chief Instructor      │
└───────────┘ └──────────────┘ │Manager       │ └─────────────────────┘
      │                        └──────────────┘              │
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│Check persons│                                        │ Instructors  │
│or Examiners │                                        └──────────────┘
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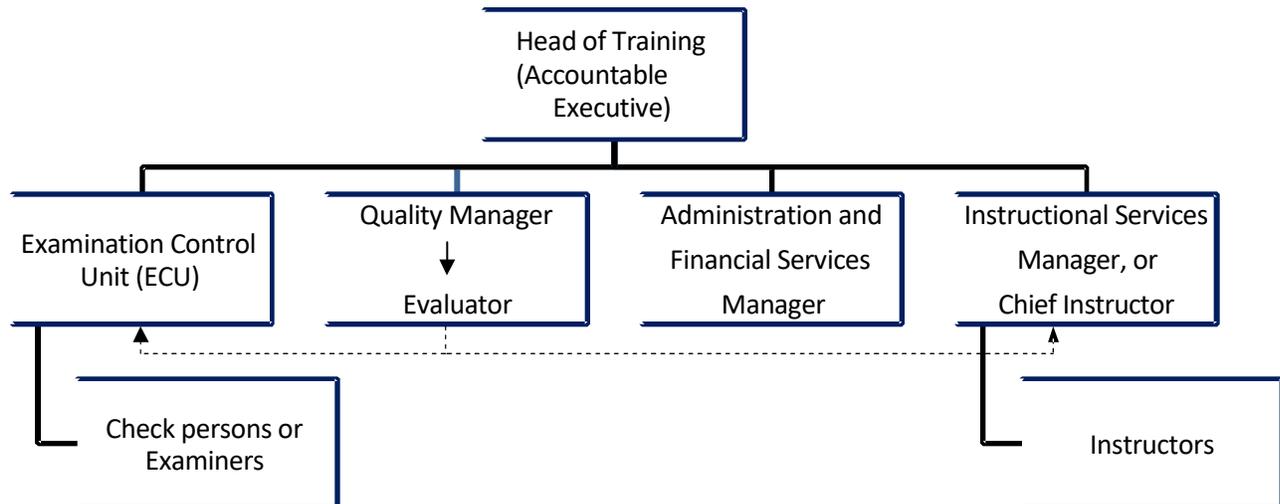
Appendix B

ATS APPROVED TRAINING ORGANISATION APPLICATION FORM
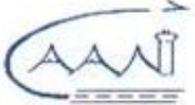
	APPLICATION FORM **APPLICATION FOR APPROVAL AS AN ATSAPPROVED TRAINING ORGANISATION** **(Please tick √ as appropriate)** ☐ **Initial Issue** ☐ **Renewal**

Basic information:

1. Name of Organization:

2. Full Address: (Metropolis/Municipality):
　　　　　　　　(Ward No/Street Name):
　　　　　　　　(District/Zone):
　　　　　　　　(Country):
　　　　　　　　(Website):
　　　　　　　　(Telephone/Fax Number):

3. Accountable - executive:
　　　　　　　　Full Name
　　　　　　　　E-mail
　　　　　　　　Tel.
　　　　　　　　Fax

4. Faculties and Facilities
4.1 Faculties
　a.
　b.
　c.
4.2 Facilities and equipments
　a.
　b.
　c.

5. Particulars of training course leading to an ATS licence (if insufficient space, please attach a separate list) :
　a.
　b.
　c.

6. Other courses applied for
　a.
　b.
　c.

7. Submission Instructions

This form is to be completed and submitted with the Training and Procedures Manual of the applicant ATO. The completed form and manual should be forwarded to the following

address:

> Diector General
> CAAN HO
> Babarmahal
> Kathmandu
> Nepal

8. *Others*

8.1. Number of staff:
(involved in the activities under the Type of Training)

8.2 List of documentation to be provided with the application

a)   Organization Exposition including company flow-chart and Course Design Document and, as relevant, description and information on organization activities.

b)   Training Plan

c)   A copy of the National Companies register / Certificate of Incorporation / Quality Management or Assurance Certificate, etc.

Enquiries regarding approval of ATSApproved Training Organisation should be sent to the above address.

9. Declaration

I declare that the above particulars and all documents submitted in support of this application are true in every respect.

Name & Designation of Applicant Signature & Date

Appendix C

a. Certificate of ATS Approved Training Organization

Civil Aviation Authority of Nepal

CERTIFICATE FOR AIR TRAFFIC SERVICES APPROVED TRAINING ORGANISATION

Certificate Number: Reference:

Pursuant to PELR Part 3 and subject to the conditions specified below, the Civil Aviation Authority of Nepal hereby certifies:

[*Training Organization's Name*]

[*Address of the Training Organization*]

As a certified Training Organization with the privilege to provide ATS Training, as listed in the attached training approval.

Terms of approval and privileges

a. This certificate is limited to the privileges and the scope of providing training as listed in the attached training approval.
b. This certificate is valid whilst the certified organization remains in compliance with PELR Part 3, Part 10 and other applicable regulations.
c. Subject to compliance with the foregoing terms of approval and privileges, this certificate shall remain valid unless the certificate has been surrendered, superseded, limited, suspended or revoked.

Date of issue: Period of Validity:

Signed:

Director General
Civial Aviation Authority of Nepal

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b. List of Training Approval

[CERTIFICATE NUMBER/REFERENCE]

[NAME OF THETRAINING ORGANISATION]

Has obtained the privileges to provide and conduct the following training in accordance

With PELR Part 3 and Part 10:

Type of training	Course	Remarks
☐ ATC Training	☐ Basic ATC training	
☐ Basic Aerodrome/ Approach/ Area Control Training	☐ Basic Aerodrome/Approach/ Area Control training	
☐ ATC Radar training	☐ Initial training	

his training course approval is valid as long as:

(a) The ATC- ATO certificate has not been surrendered, superseded, limited, suspended or revoked; and

(b) All operations are conducted incompliance with PELR Chapter 3 and Chapter 10, other applicable regulations and when relevant with the procedures in the organization's documentation as required by PELR.

Date of issue: _____

Signed: _____

Appendix D

TRAINING AND PROCEDURES MANUAL

1.   GENERAL

1.1   An Approved Training Organization shall have an approved Training and Procedures Manual.

1.2   The Training and Procedures Manual should include the following elements as far as they are appropriate to the type of the training to be provided.

1.3   Preamble relating to use and authority of the manual

1.4   Table Of Contents

1.5   Amendment, Revision and Distribution of the manual:

    1.5.1. procedures for amendment;

    1.5.2. amendment record page;

    1.5.3. distribution list; and

    1.5.4. List of effective pages.

1.6   Glossary of significant terms and definitions.

1.7   description of the structure and layout of the manual, including:

    1.7.1. various parts, sections, their contents and use; and

    1.7.2. The paragraph numbering system.

1.8   Description of the scope of training authorized under the organization's terms of approval.

2.   ORGANIZATION (CHART OF THE MANAGEMENT ORGANIZATION)

3.   QUALIFICATIONS

3.1   qualifications, responsibilities and succession of command of management and key   operational personnel, including but not limited to:

3.2   accountable manager;

3.3   head of training;

3.4   chief instructor/faculty head

3.5   instructors

3.6   Course Developer

3.7   Aviation English Trainer/tester

3.8   quality manager; and

3.9   Facility repair and maintenance manager

4. POLICIES

4.1 policy regarding approval of training for ATS and others as applied

4.2 responsibilities of the training managers/faculties

4.3 Training planning procedures — general;

4.4 policy regarding instructor selection;

4.5 methods of course development and delivery

4.6 Trainee selection/recruitment procedures

4.7 Applicable hazards, accidents and incidents reporting and safety management systems;

4.8 Instructor development

4.9 Standardization of training, instructors and course development

4.10 Validation of training package

4.11 In-house training and instructional expertise development and socialization

4.12 Restrictions on training periods

5. FACILITIES

5.1 description of the facilities available, including:

5.2 the number and size of classrooms;

5.3 training aids provided; and

5.4 Flight simulation training devices and training positions

5.5 ICT integration for instructional delivery.

6. STAFF TRAINING

6.1 Persons responsible for standards and competency of instructional personnel.

6.2 Details of the procedures to determine competency of instructional personnel as required.

6.3 Details of the training program for instructional personnel as required by Annex 1.

6.4 Procedures for proficiency checks and upgrade training.

7. **TRAINING PLAN**

7.1 Aim of the course in the form of a statement of what the student is expected to do as a result of the training, the level of performance, and the training constraints observed.

7.2 pre-entry requirements, including:

7.2.1. minimum age;

7.2.2. education requirements;

7.2.3. medical requirements; and

7.2.4. Language proficiency requirements.

8. **TRAINING CURRICULA**

8.1 training curricula

8.2 ATS curriculum - class room and simulator

9. **TRAINING POLICY**

9.1 training policies in terms of day to day activities:

10. **EVALUATION POLICY**

10.1 policy for the conduct of student evaluation, including:

10.1.1. procedures for progress tests and skill tests;

10.1.2. procedures for knowledge progress tests and knowledge tests;

10.1.3. procedures for authorization for tests;

10.1.4. procedures for refresher training before retest;

10.1.5. test reports and records;

10.1.6. procedures for knowledge test preparation, type of questions and assessments,

10.1.7. standards required for a pass;

10.1.8. procedures for question analysis and review and issuing replacement exams; and

10.1.9. Knowledge test re-write procedures.

11. **TRAINING EFFECTIVENESS POLICY**

11.1 policy regarding training effectiveness, including:

11.1.1. individual student responsibilities;

11.1.2. liaison procedures between training departments and non training

divisions/departments;

11.1.3. procedures to correct unsatisfactory progress;

11.1.4. procedures for changing instructors;

11.1.5. maximum number of instructor changes per student;

11.1.6.internal feedback system for detecting training deficiencies;

11.1.7. procedures for suspending a student from training;

11.1.8. requirements for reporting and documentation; and

11.1.9. Completion standards at various stages of training to ensure standardization.

12. TESTS AND CHECKS

12.1 Tests and checks conducted for the issuance of a Licence or a rating.

12.2 When a state has authorized an approved training organization to conduct the testing required for the issuance of a Licence or rating in accordance with the training and procedures manual, it should include:

12.2.1. name of the personnel with testing authority and scope of the authority;

12.2.2. role and duties of the authorized personnel;

12.2.3.if the school has been given authority to appoint personnel to conduct the testing required for the issuance of a Licence or rating, the minimum requirement for appointment as well as the selection and appointment procedure; and

12.2.4. applicable requirements established by the Authority such as:

12.2.4.1. procedures to be followed in the conduct of checks and tests; and

12.2.4.2. Methods for completion and retention of testing records as required by the Authority.

13. RECORDS

13.1 policy and procedures regarding:

13.1.1. attendance records;

13.1.2. student training records;

13.1.3. staff training and qualification records;

13.1.4. person responsible for checking records and student personal logs;

13.1.5. nature and frequency of record checks;

13.1.6. standardization of record entries;

13.1.7. personal log entries; and

13.1.8. security of records and Documents.

14.   QUALITY ASSURANCE SYSTEM

14.1   Provide a brief description of the quality assurance system, as required by PELE part 3, with reference to a separate quality assurance manual or, include the full quality assurance system in the training and procedures manual.

15.   APPENDICES

15.1   Sample progress test forms, test reports and records, a copy of the approved training organization approval document, as required.

Appendix E

CRITERIA FOR THE USE OF SIMULATORS IN ATS TRAINING

1. Introduction

1.1 All training plans are required to indicate the amount of training, if any, that will be conducted on a simulator. The simulator will be approved by the Authority as part of the course approval process for the initial training plan and as part of the approval process for the unit training and continuation training plan. The training organization and ATS Provider are required to demonstrate how the simulator and the associated exercises will provide adequate support for the particular training plan.

1.2 The approval of the use of a simulator and the part of the particular training plan for which the training organization and ATS Provider proposes to use it will be based on an assessment against the criteria listed below. The extent to which the simulator achieves these criteria will be used to determine the adequacy of the simulator for the proposed use. The criteria are:

a. the general environment, which should provide an environment in which simulator exercises may be run without undue interference from unrelated activities;

b. the simulator layout;

c. the equipment provided;

d. the display presentation, functionality, and updating of operational information;

e. data displays, including strip displays, where appropriate;

f. co-ordination facilities;

g. aircraft performance characteristics, including the availability of manoeuvres, e.g. holding operation, required for a particular simulation;

h. the availability of real-time changes during an exercise;

i. the ability of the simulated environment to enable students to meet the stated objectives of the practical training exercises;

j. the ability of the simulator and its exercises to enable the performance objectivesto be assessed to the level determined in the training programme;

k. the processes by which the provider can be assured that staff associated with the conduct of the simulation are competent;

l. the degree of realism of any voice recognition system associated with the simulator;

m. where a simulator is an integral part of an operational ATS system, the processes by which the ATS Provider is assured that interference between the simulated and operational environments is prevented.

2. Training in Unusual and Emergency Situations

When an ATO wishes to use a simulator for training and assessment in unusual and emergency situations, the simulator shall be approved for the particular training plan on the basis of its ability to adequately support the plan's training objectives and assessment requirements.

Appendix F

QUALITY ASSURANCE SYSTEM

1.   QUALITY POLICY AND STRATEGY

1.1. The ATO shall describe how the organization formulates, deploys, and reviews its policy and strategy and turns it into plans and actions applicable to all levels of the organization. A formal written quality policy statement should be established that is a commitment by the head of the training organization, as to what the quality assurance system is intended to achieve. The quality policy should reflect the achievement and continued compliance with relevant parts of PELR part 3 together with any additional standards specified by the ATO.

1.2. The accountable - executive of the training organization will have overall responsibility for the quality assurance system including the frequency, format and structure of the internal management review and analysis activities and may delegate the responsibility for the tasks, defined under paragraph below, to a quality manager.

2.   QUALITY MANAGER

2.1. The primary role of the quality manager is to verify, by monitoring activities in the Field of training, that the standards as established by the ATO and any additional requirements of the Authority are being carried out properly.

2.2. The quality manager should be responsible for ensuring that the quality assurance system is properly implemented, maintained and continuously reviewed and improved.

2.3. the quality manager should:

2.3.1. have direct access to the accountable manager; and
2.3.2. Have access to all parts of the ATO's organization.
2.4. The quality manager should be responsible for ensuring that personnel training relating to the quality assurance system are conducted.

3.   QUALITY ASSURANCE SYSTEM

3.1. The quality assurance system of the ATO should ensure compliance with requirements, conformance to standards and adequacy of training activities conducted.

3.2. Every process that assists the ATO to achieve its results should be identified and the activities and procedures Documented.

3.3. The ATO should specify the basic structure of the quality assurance system applicable to all training activities conducted.

that corrective actions are both identified and promptly addressed. The feedback system should also specify who is required to rectify discrepancies and non-conformance in each particular case, and the procedure to be followed if corrective action is not completed within an appropriate timescale.

5. DOCUMENTATION

5.1. Relevant Documentation includes the relevant part(s) of the training and procedures manual, which may be included in a separate quality manual.

5.2.   in addition, relevant Documentation should also include the following:

5.2.1. quality policy;

5.2.2. terminology;

5.2.3. specified training standards;

5.2.4. a description of the organization;

5.2.5. the allocation of duties and responsibilities; and

5.2.6. Training procedures to ensure regulatory compliance.

5.3. the quality assurance audit programme, reflecting:

5.3.1. schedule of the monitoring process;

5.3.2. audit procedures;

5.3.3. reporting procedures;

5.3.4. follow-up and corrective action procedures;

5.3.5. recording system; and

5.3.6. Document control.

6. QUALITY ASSURANCE AUDIT PROGRAMME

6.1. the quality assurance audit programme should include all planned and systematic actions necessary to provide confidence that all training are conducted in accordance with all applicable requirements, standards and procedures.

7. **QUALITY INSPECTION**

    7.1. The primary purpose of a quality inspection is to observe a particular event/action/Document etc., in order to verify whether established training procedures and requirements are followed during the accomplishment of that event and whether the required standard is achieved.

    7.2. typical subject areas for quality inspections could be:

        7.2.1. actual flight and ground training;

        7.2.2. maintenance;

        7.2.3. technical standards; and

        7.2.4. Training standards.

8. **AUDIT**

    8.1. An audit is a systematic and independent comparison of the way in which training is being conducted against the way in which the published training procedures say it should be conducted.

    8.2. audits should include at least the following quality procedures and processes:
        8.2.1. an explanation of the scope of the audit;
        8.2.2. planning and preparation;
        8.2.3. gathering and recording evidence; and
        8.2.4. Analysis of the evidence.

    8.3. the various techniques that make up an effective audit are:
        8.3.1. interviews or discussions with personnel;
        8.3.2. a review of published Documents;
        8.3.3. the examination of an adequate sample of records;
        8.3.4. the witnessing of the activities which make up the training; and
        8.3.5. The preservation of Documents and the recording of observations.

9. **AUDITORS**

    9.1. The ATO should decide, depending on the complexity of the training, whether to make use of a dedicated audit team or a single auditor. In any event, the auditor or audit team should have relevant training and/or operational experience.

    9.2. The responsibilities of the auditors should be clearly defined in the relevant Documentations.

            of full-time auditors, may undertake the audit function by the use of

9.3. auditor's independence

9.3.1. Auditors should not have any day-to-day involvement in the area of the operation or maintenance activity that is to be audited. An ATO may, in addition to using the services of full-time dedicated personnel belonging to a separate quality department, undertake the monitoring of specific areas or activities by the use of part -time auditors.

9.3.2. An ATO whose structure and size does not justify the establishment part-time personnel from within its own organization or from an external source under the terms of an agreement acceptable to the Authority.

9.4. In all cases the ATO should develop suitable procedures to ensure that persons directly responsible for the activities to be audited are not selected as part of the auditing team. Where external auditors are used, it is essential that any external specialist is familiar with the type of training conducted by the ATO.

9.5. the quality assurance audit programme of the ATO should identify the persons within the company who have the experience, responsibility and authority to:

9.5.1. perform quality inspections and audits as part of ongoing quality assurance;

9.5.2. identify and record any concerns or Findings, and the evidence necessary to substantiate such concerns or Findings;

9.5.3. initiate or recommend solutions to concerns or Findings through designated reporting channels;

9.5.4. verify the implementation of solutions within specific time scales; and

9.5.5. Report directly to the quality manager.

10. **AUDIT SCHEDULING**

10.1. A quality assurance audit programme should include a defined audit schedule and a periodic review cycle. The schedule should be flexible, and allow unscheduled audits when trends are identified. Follow -up audits should be scheduled when necessary to verify that corrective action was carried out and that it was effective.

10.2. An ATO should establish a schedule of audits to be completed during a specific calendar period. All aspects of the training should be reviewed within a period of twelve months in accordance with the programme.

10.3. When an ATO defines the audit schedule, significant changes to the management, organization, training, or technologies should be considered, as well as changes to the standards and requirements.

11.   **MONITORING AND CORRECTIVE ACTION**

11.1.   The aim of monitoring within the quality system is primarily to investigate and judge its effectiveness and thereby to ensure that defined policy and training standards are continuously complied with. Monitoring activity is based upon quality inspections, audits, corrective action and follow -up. The ATO should establish and publish a quality procedure to monitor compliance with requirements and conformance to standards on a continuing basis. This monitoring activity should be aimed at eliminating the causes of unsatisfactory performance.

11.2.   Any non-conformance identified should be communicated to the manager responsible for taking corrective action or, if appropriate, the head of the training organization. Such non-conformance should be recorded, for the purpose of further investigation, in order to determine the cause and to enable the recommendation of appropriate corrective and preventive action.

11.3.   The quality assurance audit programme should include procedures to ensure that corrective and preventive actions are developed in response to findings. These quality procedures should monitor such actions to verify their effectiveness and that they have been completed. Organizational responsibility and accountability for the implementation of corrective action resides with the department where the Finding was identified. The head of the training organization will have the ultimate responsibility for ensuring, through the quality manager(s), that corrective action has re - established conformance with the standard required by the ATO and any additional requirements established by the Authority or the ATO.

11.4.   The ATO should identify internal and external customers, and monitor their satisfaction by measuring and analysis of feedback.

12.   **MANAGEMENT REVIEW AND ANALYSIS**

12.1.   management should accomplish a comprehensive, systematic Documented review and analysis of the quality assurance system, training policies, and procedures, and should consider:

12.1.1.the results of quality inspections, audits and any other indicators;

12.1.2.the overall effectiveness of the management organization in achieving stated objectives; and

12.1.3. Correcting trends, and preventing, where applicable, future non-conformities.

12.2. Conclusions and recommendations made as a result of the review and analysis should be submitted in writing to the responsible manager for action. The responsible manager should be an individual who has the authority to resolve issues and take action. The head of the training organization should decide upon the frequency, format, and structure of internal review and critical analysis meetings.

12.3. recording

12.4. Accurate, complete and readily accessible records documenting the result of the quality assurance audit programme should be maintained by the ATO. Records are essential data to enable an ATO to analyze and determine the root causes of non-conformity, so that areas of non-compliance can be identified and subsequently addressed.

12.5. The following records should be retained at least for the period that may be required by national requirement. in the absence of such requirements, a period of three years is recommended:
12.5.1. audit schedules;
12.5.2. quality inspection and audit reports;
12.5.3. responses to Findings;
12.5.4. corrective and preventive action reports;
12.5.5. follow-up and closure reports; and
12.5.6. Management review and analysis reports.

13. **QUALITY ASSURANCE SYSTEM TRAINING**

13.1. Correct and thorough training is essential to optimize quality in every organization. In order to achieve significant outcomes of such training the ATO should ensure that all staff understands the objectives as laid down in the quality manual.

13.2. those responsible for managing the quality assurance system should receive training covering:

13.2.1. an introduction to the concept of quality assurance system;
13.2.2. quality management;
13.2.3. concept of quality assurance;
13.2.4. quality manuals;
13.2.5. audit techniques;
13.2.6. Reporting and recording.
13.2.7. The way in which the quality system will function in the ATO.

13.3. Time should be provided to train every individual involved in quality assurance and for briefing the remainder of the employees. The allocation of time and resources should be governed by the size and complexity of the operation concerned.

13.4. sources of personnel training

13.4.1. Quality assurance courses are available from the various national or international standards institutions, and an ATO should consider whether to offer such courses to those likely to be involved in the management of the quality assurance system. Organizations with sufficient appropriately qualified staff should consider whether to carry out in-house training.

Appendix G

SAFETY OVERSIGHT INSPECTION/AUDIT CHECKLIST

(ATS APPROVED TRAINING ORGANIZATION)

Name of training organization

Address :

Company Authorized Person:
(Tel/Email/Fax)

FINAL REMARKS *:*   Date of Audit:

Date:

                                                         Signature
                                                         License No.
Name of Auditor/Inspector

COMPANY OFFICIALS CONTACTED (Name/Designation)

1.

2. _____

3. _____
_____

CAAN AUDIT/INSPECTION TEAM MEMBERS (Name/Designation)

Important Note:

Auditor/Inspector is to audit only the applicable areas and should appropriately cater for the scope of work and workload of the organization.

GENERAL ASPECTS - APPLICABLE TO THE ORGANIZATIONS

Aspects to be audited or questions to be answered	Status
Are CAAN Authorizations, Licenses & Approvals available & valid?	**Yes/No**
Does the Organization have an Organization Chart? Are the duties & responsibilities of each person clearly defined?	Yes/No
Whether relevant ICAO ANNEXES & DOCUMENTS are available with the training organization?	Yes/No
Whether CARs, relevant Directives, Circulars & other Instructions available with the training organization?	Yes/No
Whether AIP with latest amendments is available?	Yes/No
Whether Jeppesen Maps and Charts along with its revisions available?	Yes/No
Whether the training organization is maintaining a standing order register?	Yes/No
Whether TPM/Directives available?	Yes/No
Whether Operations Manual/ Training Manuals available?	Yes/No
Whether an approved training manual contain the complete information with	Yes/No

regards to the courses conducted by the ATO

- ☐ Title of the Course.
- ☐ Objectives of the Course.
- ☐ Frequency of the Course.
- ☐ Planned intake of the Course.
- ☐ Location where Course is to be conducted.
- ☐ Duration of the Course.
- ☐ Eligibility Criterion of the Students.
- ☐ Phase/Subject wise course contents.
- ☐ Planned periods/hours for each phase/subject.
- ☐ Duration of each period/break.
- ☐ External/ICAO Documents to be used.
- ☐ Internal Documents to be used.
- ☐ Study Material/Course ware to be provided to students.
- ☐ Number of Instructors to be used.
- ☐ Instructors Qualification criterion.
- ☐ Audio/Visual training aids to be used.
- ☐ Simulation Devices to be used, if applicable.
- ☐ Logistics support details, where applicable.
- ☐ Details of On Job or Field experience, if applicable.
- ☐ Details of study tour/visits, if applicable.
- ☐ System of progress/training reports.
- ☐ Type and frequency of Examinations/Skill Tests to be conducted.
- ☐ Number/type of questions in Examinations.
- ☐ Pass criterion to be used for academic/Skill test, as applicable.
- ☐ Assessment Forms/Contents of Personal Folders.
- ☐ Specimen Course completion Certificate to be issued.
- ☐ Any other relevant information.

Availability of Current NOTAMS to instructors/students?	Yes/No
Does the organization conduct its business with written instructions & records? Eg. SOPs	Yes/No
Does the organization take corrective actions as required by CAAN?	Yes/No
Does the organization take preventive actions as required by CAAN?	Yes/No
Are stores relating to Files and records maintained in a manner that they provide safekeeping, identity, and ease of retrieval?	Yes/No

Is the control of records satisfactory in terms of: Responsibility / retention/ secrecy	Yes/No
Is the training organization maintaining its principal business offices at the same place and address that was previously approved by CAAN?	Yes/No
Is the principal business office being shared with any other organization?	Yes/No
Is the training organization using any other place/airport as base for imparting the training?	Yes/No
If so, has the approval been obtained from CAAN?	Yes/No
Is a proper library available, which provides ready access to students the documentation, aviation books, literature etc.?	Yes/No
Whether a master folder showing various Documents available in the training organization being maintained?	Yes/No
Are the documents available are updated?	Yes/No

FINANCIAL

Aspects to be audited or questions to be answered	Status
Has the training centre got its regular employees?	Yes/No
Are payments being made regularly to instructors and other service providers?	Yes/No
Is insurance of instructors, facility ascertained	Yes/No
Can the training centre provide evidence that its Financial audit has been carried out?	Yes/No
Is the copy of the audited balance sheet of the training centre available? What are the Financial assets of the organization?	Yes/No
Are internal audit conducted If Yes, frequency of audit?	Yes/No
Have prescribed Insurance requirements been met?	Yes/No

ADVERTISEMENT

Aspects to be audited or questions to be answered	Status
Has the training centre given any advertisement, which states that the training centre has been approved? If yes, whether these advertisements are in accordance with the scope of approval?	Yes/No
Has the training centre clearly differentiated in their advertisement between the courses, which are approved and those courses which are not approved or not covered under the scope of approval granted to the training centre?	Yes/No

If the training centre is not holding a current approval, whether the institute has removed all indications and signboards etc. showing its approval?	Yes/No

Aspects to be audited or questions to be answered	*Status*
Check if competence requirements of each employee have been defined Instructors Others	Yes/No
Have the approvals been displayed prominently in the concerned office?	Yes/No
Are the approvals of persons valid?	Yes/No
Aspects to be audited or questions to be answered	*Status*
Does the Organization have an appropriate Physical Infrastructure commensurate with its authorization, scope of work and load of work in terms of: ▪ Appropriate current maps and charts. ▪ Communications to ATS and the operations room. ▪ Maps showing standard cross-country routes. ▪ Maps showing current prohibited danger and restricted areas. ▪ Adequate briefing rooms/cubicles of sufficient size and number. ▪ Suitable offices for the supervisory staff and room(s) to allow instructors to write reports on students, complete records, etc. ▪ Room (s) for Administration. ▪ Toilet(s). ▪ Stores (s)	Yes/No

Are copying / printing facilities available?	Yes/No
Are alarm bell and siren facilities at a suitable location available with the training institute?	Yes/No
Are sufficient numbers of Fire extinguishers available?	Yes/No
Is a FIrst-aid room with proper kits and validity available?	Yes/No
Is trained manpower available to handle safety services?	Yes/No
Does proper coordination with local Fire station exist?	Yes/No

Are 'No-Smoking' signs displayed at appropriate places?	Yes/No
Check the conduct of Courses by the following: ☐ Check training course contents. ☐ Check assessment reports and results. ☐ Check attendance sheet. ☐ Check lecture program.	Yes/No
Aspects to be audited or questions to be answered	*Status*
Check the followings in the Operations/Technical library: ☐ Stock of books commensurate with the Number of students. ☐ Satisfactory procedure of loaning books to the students. ☐ Procurement of new books. ☐ Revision status of the books available. ☐ Check that official notices, technical circulars, literatures and other requirements are circulated by the institute to the instructional staffs as soon after receipt as practicable and all superseded publications are withdrawn promptly.	Yes/No
Whether adequate training aids are available?	Yes/No
Whether the space used for instructional purpose is properly lighted and ventilated?	Yes/No
Whether proper audio-visual training aids are available?	Yes/No
Whether similar arrangements are available at the satellite bases approved or carrying out flying training by the institute?	Yes/No
Is ground-training study material available to the students?	Yes/No
Is a simulator being used for conducting the training?	Yes/No
If yes, is the Simulator approved?	Yes/No

AIR TRAFFIC SERVICE LER TRAINING

(Basic Course)

Aspects to be audited or questions to be answered	*Status*
Is there a procedure to ensure incorporation of latest amendments into the approved course material?	Yes/No
Does the organization have a technical library?	Yes/No
Does the organization have a recent master copy of related ICAO Annexes and Documents?	Yes/No
Are the trainees briefed on the latest amendments on the related subjects?	Yes/No

Do the trainees have access to the technical library?	Yes/No
Are the trainees provided with complete sets of the course material?	Yes/No
Do the trainees meet the required criteria for the subject training?	Yes/No
Aspects to be audited or questions to be answered	*Status*
Do the instructors meet the required criteria for approval as instructor?	Yes/No
Is there a process to ensure the up keep of the professional knowledge of the instructors through refreshers?	Yes/No
Do the instructors keep abreast with the latest developments in Air Traffic Services? Specially CNS-ATM	Yes/No
Are the practical exercises for the trainees realistic?	Yes/No
Are the classrooms equipped with adequate audio-visual aids?	Yes/No
Is the radio equipment of the ATS simulators working properly?	Yes/No
Are the clocks in the ATS simulators properly synchronized; and in good working condition?	Yes/No
Is the strip marking the same as being done actually in the ATS Units?	Yes/No
Is there enough number of simulators?	Yes/No
Are the lighting facilities in the classrooms and simulators satisfactory?	Yes/No
Are the classrooms and simulators equipped with temperature control devices?	Yes/No