APPROVED TRAINING ORGANISATION (ATO) PROCEDURES MANUAL PART -II (FLIGHT CREW)

FIRST EDITION
SEPTEMBER 2014

Foreword

This Procedure Manual for Approved Training Organization has been developed by Civil Aviation Authority of Nepal (CAAN) to facilitate the CAAN officials to approve the Approved Training Organization (ATO) so that the intent of Personnel Licensing Requirement (PELR) is fulfilled and ultimately the requirement of ICAO Annex 1 is addressed in relation to the personnel licensing.

This manual has been developed with a guidance of ICAO Document 9841 on approval of Flight Crew Training Organization. The checklist for the approval will be help for the officials to have clear guide on the activities undertaken by them. In addition, the manual will be a good guide for the prospect approved training organizations. All officials engaged in the approval of ATO shall adhere to the provision of this manual.

This manual has been issued by the Director General pursuant to the authority vested on him by the Rule 82 of Civil Aviation Regulations 2002. This manual comes into effect with the date approved by Director General. This manual will be updated and amended to align with the latest provision of ICAO, CAAN and industry best practices.

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Er. Ratish Chandra Lal Suman
Director General
Civil Aviation Authority of Nepal
September 2014

Records of amendment

Amendment no	Date	Inserted by

Glossary

AQP Advanced qualification programme
ATO Approved training organization
ATQP Alternative training and qualification programme
CAA Civil aviation authority
FCLTP Flight Crew Licensing and Training Panel (ICAO)
ISD Instructional systems design
IWG International working group
KSA Knowledge, skill(s) and attitude(s)
LMS Learning management system
MPL Multi-crew pilot licence
PANS-TRG Procedures for Air Navigation Services — Training
PDCA Plan – do – check – act
QA Quality assurance
QS Quality system
RA Risk assessment
SMM Safety management manual
SMS Safety management system

DEFINITIONS

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).

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 Licensing authority.

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

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.

Course Developer: A training specialist who has completed a TRAINAIR Plus Course Developers' Workshop and who has proven skill in carrying out the TRAINAIR Plus procedure described in this document to prepare a training package. With support of Subject-Matter Experts, the Course Developer does not need to be either a qualified teacher or an expert on the subject, although these qualifications may be desirable in most cases. The essential qualification for a Course Developer is full training in the three stages of course development, whilst a creative mind is a precious quality.

Course: Term specifically used in TRAINAIR Plus to designate any self-contained, material-dependent, validated Standardized Training Package (e.g. a TRAINAIR course). In general terms, a course can be considered to be a coherent sequence of training activities concerning a specific theme/job (e.g. Aviation security supervisor course) leading to a common goal. Creative Subject-Matter Experts can make excellent Course Developers after training in the methodology.

Dangerous goods: Articles or substances which are capable of posing a risk to health, safety, property or the environment and which are shown in the list of dangerous goods in the Technical Instructions or which are classified according to those Instructions.

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.

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.

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

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.

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

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.

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.

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

Subject-Matter Expert (SME): A highly-experienced person in a given operational field who can provide authoritative technical inputs during course development. This contribution can be via discussions, interviews or by working alongside the Course Developers.

Task Terminal Objective: An objective which prescribes the performance that should be accomplished by an employee upon completion of a task, the conditions under which performance of the task is carried out and the standard to be achieved for acceptable performance of the task (competency). When a task becomes a module in

the course development process, the end-of-module objective will be the same as the task terminal objective. The latter is also known as a behavioral objective.

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.

Training Director: A person with executive responsibility for operating the training institution. In some countries, the post may be referred to as Principal or Dean. He/she may in certain cases also act as the CDQA Accountability Manager, notably in smaller training institutions.

Training Package: Refers to the physical assembly of training material for the Instructor and trainee in a self-contained, manageable form. Each training package consists of a number of modules.

Training Programme: Consists of a number of courses conducted to meet a specific national (or international) training need. Most civil aviation training institutions conduct training programmes for a wide range of sector needs. Some training programmes may include complementary planned on-the-job training.

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Chapter 1 - Issue of Approval for Approved Training Organisation

1.1. Applicability

Commercial airlines who do not have their own training and checking organization approved by the respective regulatory authority for training and/or establishing the competency of (checking) their flying personnel in accordance with the applicable SARPS, but wish to obtain such services from a third party training organization, (outsourcing) shall do so, only if such training organization is an Approved Training Organization (ATO).

On the other hand commercial airlines who wish to have their own training and checking arrangement shall have all infrastructural and procedural arrangements in place as outlined in this document, for the approval of the respective regulatory authority.

1.2. Approved Training Organisation (ATO)

1.2.1. An ATO is an Organisation staffed, equipped, and operated in a suitable environment offering flying training, and/or synthetic flight instruction and, if applicable, theoretical knowledge instruction for specific flight training programs. These specific training programmes may take advantage of the reduced experience requirements as provided in Annex 1/PELR.

1.2.2. An ATO is distinguished from a non-approved training organisation by the approval process and the oversight provided by the CAAN.

1.3. Application for ATO

1.3.1. An applicant for an ATO will be required to submit to CAANN by completing the prospective organisation pre assessment statement (POPS) in Appendix 1.

1.3.2. The POPS will provide the CAAN following information for assessment:

a) Organisational structure
b) Designated accountable manager
c) Qualifications of instructors and key personnel
d) Description of facilities for example classrooms, briefing rooms, operations facilities,
e) Maintenance facilities (where appropriate)
f) List of aircraft types and/or synthetic training devices
g) Description of training program including manuals, curricula, outlines, courseware,
h) Procedures, and documentation
i) Availability of training equipment and facilities
j) Renewal procedures (if appropriate)
k) Description of quality assurance system
l) Copy of proposed ATO training and procedures manual
m) Listing of sites or airports where training flight may commonly originate

1.4. Review Process of ATO Application

1.4.1. The assigned CAAN Project Manager (PM) will review the contents of the POPS using the ATO Certification Checklist in Appendix 2.

1.4.2. Once it is assessed as satisfactory, a site visit by the assigned PM and his team members will be conducted prior to final approval. On successful completion of the process, CAAN will issue the approval. This will consist of an Approval Certificate and additional documentation specifying the terms of the approval.

1.5. Training Specifications

1.5.1. Granting of the approval by the CAAN authorizes the ATO to conduct the training courses specified in the terms of approval document. An approval certificate will also be issued containing the following:

a) Name
b) Location
c) Equipment
d) Type of training
e) Date of issue and period of validity *

* The Training Organisation Approval may contain an explicit period of validity or an open-ended approval that remains valid as long as the conditions under which the approval has been granted are fulfilled.

The requirements contained in Annex 1 provides for these two approaches.

1.6. Continued Validity of an ATO's Approval

1.6.1. The continued validity of an ATO approval is subject to the satisfactory audits and inspections carried out by the CAAN during the period of the approval.

1.6.2. The continued validity of an ATO 's approval is subject to the ATO operating within the terms of its approval with a quality assurance system overseeing its administrative, technical and training records, as well as its operational activities.

1.6.3. Chapter 7 of this document will address the Oversight activities to be carried out by the CAAN after an approval is issued.

1.7. Changes in the Scope of the Approval

1.7.1. Flight crew training is a dynamic activity and it is likely that ATOs will ask regularly for a change in the scope of their approval. For instance, they may want to provide new training or change a training programme to take advantage of new training equipment or facilities. In such a case, the applicant should provide the supporting information to the assigned inspector to assess it using the applicable standards of Annex 1 and the relevant part of this manual.

1.8. Approval of Foreign ATO

1.8.1. There may be a need for the CAAN to approve foreign ATO located outside the national territory. This may arise due to cost consideration or non availability of local ATO within the country to support certain type of specialized aviation training locally.

1.8.2. There is no difference between the approval of training Organisation based abroad and those based in country. The principles and procedures that are described for ATO are also fully applicable to foreign ATO. However the CAAN may rely on the approval and oversight system of the host State to issue the approval using a process that is similar to the validation of pilot license.

1.8.3. This approach is efficient subject to CAAN fully understand the conditions and the regulatory basis of the original approval and may lead to the establishment of supplementary conditions.

Chapter 2 - Training and Procedures Manual

2.1. Introduction

2.1.1 The Training and Procedures Manual describes the way the organisation conducts its activities. As such it is a document which is essential for the organisation as it provides the management and line personnel with clear guidance on the policy of the organisation as well as the procedures and processes which are used to provide training. It is also an essential document for CAAN. During the approval process, it allows the CAAN to assess whether the way the organisation is planning to operate is in line with the existing requirement and accepted practices. Once the training organisation is functioning, a large part of the surveillance activities of the CAAN will be to ensure that the organisation is functioning as it said it would in the Training and Procedures Manual.

2.2. General Consideration

2.2.1 In assessing the Training and Procedures Manual, it is important for the assigned inspector to ensure that the Training and Procedures Manual is consistent with regulations, manufacturer requirements, other documents issued by the training organisation and in line with and human factors principles. It is also necessary to ensure consistency across all departments within the organisation as well as consistency in use. An integrated approach, recognizing operational documents as a complete system, is the key to success.

2.3. Contents

2.3.1 The content of the training and procedures manual spelled out in Appendix 3 provides a detailed list which expands on the structure expected for the manual. Depending on the size and scope of training provided by the organisation, some of the elements contained in the Appendix 3 can be combined and subdivided further as determined by the assigned inspector.

2.4. Organising the Manual

2.4.1 A Training and Procedures Manual should be organised according to criteria relating to the importance and use of such information. The information should be structured and sequenced so that operational personnel can access it easily. These principles will help determine whether to issue the manual as a single document or in separate parts.

When the training and procedures manual is organised in separate parts, it should include a master index to help locate information included in more than one part. The master index should be placed in the front of each document.

2.4.2 The manual should be consistent with the training organisation's philosophy, policies, procedures and practices. The minimum contents of manual for the ATO have been included in the appendix-3.

2.5. Design

2.5.1 The structure of the manual should be easy to understand, appropriate for the information documented and clearly identified through headings and other formatting

devices. The document structure should be identified at its beginning by explaining organising elements such as headings, the numbering scheme, main parts of the document and other sources of coding or grouping.

2.5.2 Precise language should be used wherever possible. Significant terms for common items and actions should be maintained throughout the manual. Terms must be clear and easily understood.

2.5.3 Writing style, terminology, formatting, and use of graphics and symbols should be consistent throughout the document. This includes the location of specific types of information and consistent use of units of measurement and codes.

2.5.4 The manual should include a glossary of terms, acronyms, abbreviations and associated definitions. The glossary should be updated on a regular basis to ensure access to the most recent terminology.

2.5.5 The revision process should be considered when designing the manual for ease of amendment and distribution.

2.5.6 The training and procedures manual should comply with the requirements of the training organisation's quality assurance system.

2.6. Validation

2.6.1 The Training and Procedures Manual should be reviewed and tested under realistic conditions before its use. The validation process should include using the critical aspects of the information contained in the manual to verify its effectiveness. Routine interaction among groups within the organisation should be included in the validation process.

2.6.2 A final review of the manual by the assigned inspector should ensure that all required topics have been addressed with an appropriate level of details for users. The final review should also confirm compliance with safety regulations, manufacturers' recommendations and the organisation's philosophy, policies, procedures and practices.

2.7. Deployment

2.7.1 The training organisation should have a system in place to monitor use of the Training and Procedures Manual after it is published. This will ensure Approved Training as 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. The monitoring system should include formal feedback to obtain inputs from the principal users of the manual and other persons who would be affected by a new or revised policy, procedure or practice.

2.8. Amendment

2.8.1 The training organisation should develop an effective information gathering, review, distribution and revision control system to process information obtained from all sources relevant to the organisation.

Sources include, but are not limited to the CAAN safety regulations, manufactures and equipment vendors.

2.8.2 The training organisation should develop an information review, distribution and revision control system to process information resulting from changes that originate within the organisation. This includes changes:
(a) in the organisation's policies, procedures and practices;
(b) in response to operating experience;
(c) to the scope of training provided;
(d) to the content of training programs;
(e) resulting from the installation of new equipment;
(f) to an approval document or operating certificate; and
(g) for the purpose of maintaining standardization.

2.8.3 The training and procedures manual should be reviewed in association with other operational documents that form the organisation's flight safety documents system:
(a) on a regular basis (at least once a year);
(b) after major events such as mergers, acquisitions, rapid growth, downsizing, etc.;
(c) after technology changes, e.g.: the introduction of new equipment; and
(d) after changes in safety regulations.

2.8.4 Permanent changes to the training and procedures manual shall 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.

2.8.5 Distribution of amendments and revisions should include 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 organisation or persons to whom the manual has been issued.

2.8.6 The inspection checklist for the reviewing of an ATO's Training and Procedures Manual is in Appendix 4.

Chapter 3 - Quality Assurance System

3.1. Terminology

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

Quality of Training. - The outcome of the training that meets stated or implied needs within the framework of set standards.

Quality Assurance. - All those planned and systematic actions necessary to provide adequate confidence that all training activities satisfy given standards and requirements, including the ones specified by the ATO in relevant manuals.

Quality Manual. - The document containing the relevant information pertaining to the ATO's Quality Assurance System.

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.

3.2. Objective of a Quality Assurance System

3.2.1 The objective of a Quality Assurance System is to ensure the achievement of results that conforms to the standards set out in the ATO's Manuals and in requirements and documents issued by the CAAN, thus promoting continual improvement of the quality of training provided.

3.2.2 The basis for quality is to establish standards, to plan activities and document procedures to support such standards, to train the personnel involved before implementing the documented procedures, and to measure the outcomes of the activities to ensure that they meet standards and expected results. If any non-conformities are found, corrective action are taken to improve processes and procedures.

3.3. Elements of a Quality Assurance System

3.3.1 In a quality assurance system of an ATO, the following elements should be clearly identifiable:

a) organisation's training policy
b) training and flight safety standards
c) allocation of responsibility
d) resources, organisation and operational processes
e) system to ensure conformance of training with the policy and flight safety standards
f) system for identifying deviations from policy and standards and taking corrective action and

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

3.4. The Quality Assurance System of the ATO

3.4.1 Details on the contents of a Quality Assurance System for an approved Training Organisation can be found in Appendix 5 (The Quality Assurance System of the ATO).

3.4.2 The checklist to assist an inspector to review an ATO Quality Manual is in Appendix 6.

Chapter 4 - Facilities

4.1. Requirement for Facilities

4.1.1 An ATO must have facilities appropriate to the size and scope of the intended operations provided in an environment conducive to learning.

Typically these will include:
Flight Operations
(a) Flight operations room or area
(b) Flight planning room or area
(c) Adequate briefing room/s
(d) Facilities for instructors

Knowledge Instruction
(a) Classrooms
(b) Suitable demonstration equipment
(c) Library
(d) Radio Telephonic training and testing area (if appropriate)
(e) Facilities for instructors

4.1.2 Facilities will be inspected during the initial ATO certification process and during periodic audits and inspections.

Chapter 5 - Personnel
5.1. ATO Key Personnel

5.1.1 Each ATO must have an accountable manager and key personnel. Depending on the size and scope of the organisation and the requirements of the CAAN, some of the key positions may be combined. Typical key positions include:
o Accountable Manager
o Head of Training
o Chief ground instructor
o Chief Flight instructor
o Maintenance manager
o Instructors – ground, flight (synthetic or aircraft)
o Quality Manager

5.1.2 The Management qualification checklist to be used by the assigned inspector is in Appendix 7.

Chapter 6 - Records

6.1. Record Keeping

6.1.1 Accurate and complete record keeping is an important aspect of complying with the approval. Detailed student records shall be maintained to show that all requirements of the training course have been met.

6.1.2 In addition, a system for recording the qualifications and training of instructional and examining staff, where appropriate, shall also be maintained.

6.1.3 All student records shall be kept for a minimum period of 5 years after completion of the training. The records on the qualifications and training of instructional and examining staff shall be retained for a minimum period of 5 years after the instructor or examiner ceases to perform a function for the training organisation.

6.2. Characteristics of Record Keeping System

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

a) **Completeness:** The records kept by the training organisation 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 organisation.

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

6.3. Archiving Personal Records

6.3.1 Each training organisation should also establish rules on archiving personal records that are non-active.

Chapter 7 - Oversight

7.1. Requirement for Oversight

7.1.1 Oversight is required to ensure that the approved training organisation is operating in compliance with the applicable regulations and the conditions of the approval. It includes a review of the quality assurance system, of the administrative records as well as operational activities. Oversight is an ongoing function which can consist of results monitoring, records review, onsite inspections, and/or audit.

7.2. ATO Inspection

7.2.1 ATO Oversight includes a review of administrative and technical records as well as operational activities. Oversight is an on-going function that may also include consideration of records held by CAAN for example, flight test and examination results, in addition to on-site inspections, audits and surveillance.

7.2.2 The main elements of the ATO activities shall cover the following:

a) Staff adequacy of number and qualifications
b) Instructors validity of licenses and ratings
c) Logbooks
d) Training aircraft registration associated documents and maintenance records
e) Synthetic flight trainers qualification and approval
f) Facilities adequacy to the courses to be conducted and to the number of students
g) Documentation: documents related to the courses, updating systems, training and operations manuals
h) Training records and checking forms
i) Flight instructions including pre-flight briefing, actual flight debriefing, or ATO's for flight crew training (monitoring)
j) Quality system

7.3. Guidelines on the Conduct of an ATO Inspection

7.3.1 The ATO inspection checklist and guidelines on the conduct of an ATO inspection are in Appendices 8 and 9 respectively.

Chapter 8 - Evaluation and Checking

8.1. Delegation of Evaluations and Checks to ATO

8.1.1 The CAAN is responsible for ensuring that appropriate procedures are in place for the conduct of licensing and rating tests or checks. However the evaluation function for the purpose of the issue of a license or rating may be carried out by evaluators who are independent from the ATO which conducts the training.

8.1.2 Subject to CAAN approval, an ATO may designate its instructors as evaluators in accordance with criteria as approved by the CAAN. However such an arrangement should only be considered when the ATO can demonstrate a high level of compliance through its quality assurance system.

CHAPTER 9

APPROVAL OF FOREIGN APPROVED TRAINING ORGANIZATION

This chapter describes the procedures for the approval of foreign approved training organizations as stipulated in Civil Aviation Regulations 2002 Rule 83 and Personnel Licensing Requirements (PELR). The guidance materials for the validation of such training organizations are given below in this chapter to enable the inspectors to perform approval of foreign approved training organizations.

Procedures for the validation of foreign approved training organizations are as following.

1. The duly filled up application form will be reviewed by the licensing inspector for the completeness of documents associated with it.

2. The validity of ATO approval certificate issued by contracting States will be ensured including the scope of approval.

3. The necessary fees for the ATO validation as per Civil Aviation Regulations 2002 will be ensured.

4. The audit inspection report from CAAN will be attached and evaluated.

6. The checklist given in this manual will be filled up by the licensing inspector and forwarded to the superior licensing inspector. The Chief of the division will forward the memo and checklist to the Chief of Flight Safety Standards Department, CAAN.

7. The Chief of Flight Safety Standards Department will forward the memo to Deputy Director General with recommendation of ATO validation.

8. The Deputy Director General will recommend the Director General for the issuance of Nepalese validation certificate.

9. After the memo is approved by Director General, it will come down to the licensing inspector from the reverse order as it was forwarded.

10. The licensing inspector will issue the certificate of validation in the form and manner stipulated in the PELR.

11. The relevant contracting State which issues the original ATO approval will be informed about the validation and request will be made to inform CAAN in case of cancellation, suspension or variation or amendment of any nature on the original certificate of ATO.

12. The applicant will be informed with the letter stating the validation of ATO with attention that the validation will remain valid till the validity of original certificate upon which the validation is based and scope of validation will remain as the same as original scope of approval issued by the licensing authority.

13. The letter shall state that it will be the responsibility of the applicant to get inform CAAN in case the original approval is cancelled, suspended, altered or amended in anyway.

FORM -1

THE CHECKLIST FOR THE VALIDATION OF FOREIGN ATO

The licensing inspector will verify the items with tick marks and sign the checklist at the bottom while forwarding the memo for approval.

1. Check application form___
2. Check for the fee as per CAR 2002____
3. Check for original approval issued by contracting State____
4. Ensure the validity and state the date of expiry_____
5. Check for Training and Procedure Manual or equivalent document_____
6. Check the scope of approval _____
7. Audit/inspection report of ATO _____
8. Check for approval of FSTD, if applicable_____
9. Ensure that the issuing foreign State will inform CAAN in case the approval is suspended or revoked

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Checked Verified

FORM 2

STANDARD APPROVAL CERTIFICATE FOR AN ATO

CIVIL AVIATION AUTHORITY OF NEPAL
FLIGHT SAFETY STANDARDS DEPARTMENT

Certificate of approved training organization

This is to certify that …… located at …….. has been approved as an approved training organization in accordance with the personnel licensing requirement part ……..with scope and limitation stated herewith in page.

This certificate will remain valid till validity date as stated as below unless surrendered, suspended or revoked.

……..
For Director General

Issue date-

Valid till-

FORM 3

STANDARD CERTIFICATE OF VALIDATION

CIVIL AVIATION AUTHORITY OF NEPAL
FLIGHT SAFETY STANDARDS DEPARTMENT

Certificate of approved training organization validation

This is to certify that approval certificate number ……of approved training organization issued by ……to ……located at ……..has been validated by Civil Aviation Authority of Nepal with the scope and validity date not exceeding the original approval.

……..
For Director General
Date-

Valid till-

Note-
This certificate holder shall inform Civil Aviation Authority of Nepal in the event of change suspension or revocation or original approval as well as any variation in the approval that might affect the scope of approval of this certificate. This certificate will be automatically suspended or revoked if the original certificate will undergo such actions.

Appendix 1 - Prospective Organisation Pre-Assessment Statement (POPS)
Management Personnel Qualifications Checklist/Job-Aid

PROSPECTIVE ORGANISATION PRE-ASSESSMENT STATEMENT (POPS) Approved Training Organisation (ATO)		
Section 1. To be completed by all ATO applicants		
1. Name and mailing address of training organisation: Telephone No:	2. Address of the principal facility where training is to be conducted:	
3. Proposed start-up date: (dd/mm/yyyy)		
Management and key staff personnel (*as applicable to the organisation*)		
4a. Name (Surname) (First Name/s)	4b. Title	4c. Telephone & address if different from company (Include country code)
	Accountable Manager *Head of Training* *Chief Flight Instructor* *Chief Ground Instructor* *Quality Manager*	
5. Proposed flight training (*Check all applicable*) □PPL □ _____ (Specify) □CPL □_____ (Specify) □CPL/IR □_____ (Specify) □ATPL □_____ (Specify)		
Aircraft and Synthetic Flight Trainer (SFT) Data:		7. Geographic areas of intended training
6a. Aircraft to be used for training (by make, model, and series):	6b. SFTs to be used for training:	
8. Additional information: (Attach additional sheets, if necessary)		
9. Name and Title:	10.Signature:	11.Date (dd/mm/yyyy):

Section 2. To be completed by the CAA Official	
1.Received by (Name and Office):	2.Date received (dd/mm/yyyy)
3.Date forwarded to Director General, Civil Aviation Authority of Nepal (CAAN): (dd/mm/yyyy):	4. For: Action Information only
5. Remarks:	
Section 3. To be completed by the Office of the Civil Aviation Authority	
1. Received by:	2. Pre-application number:
3. Date (dd/mm/yyyy):	4. Assigned certification number:
5. Local office assigned responsibility:	6. Date forwarded to local office:
7. Remarks:	

INSTRUCTIONS FOR COMPLETING MODEL FORM ATO/MF- 01 PROSPECTIVE ORGANISATION PRE-ASSESSMENT STATEMENT (POPS)

Section 1. All applicants shall complete this section.
1. Enter the training organisation's official name, mailing address and telephone number. (Include any other business name if different from the training organisation's name).

2. This address shall be the physical location where primary training activities are located. It is where the offices of management required by regulation are located.

If the address is the same as item 1, enter "same."
3. Enter the estimated date when training is to begin.

4. Enter the names (surname first), titles, and telephone numbers of the management and key staff.

5. Indicate the proposed type of training. Check all applicable boxes.

6. Aircraft and Synthetic Flight Training Data are to be provided here. Indicate number and types of aircraft by make, model, and series.

7. Indicate geographic areas of intended training.

8. Show any information that would assist CAAN personnel in understanding the type and scope of training to be performed by the applicant, e.g. if only part of a curriculum is proposed, such as knowledge training. Describe arrangements proposed for maintenance and inspection of training aircraft and/or associated equipment.

9. Name and title of Accountable Manager*

10. Signature of Accountable Manager*

11. Date of Accountable Manager's signature

*If signed and dated by other than the Accountable Manager, a letter signed by the Accountable Manager shall be attached authorising the person to sign this form.

Appendix 2 - Approved Training Organisation Certification Checklist

OFFICIAL NAME OF AVIATION TRAINING ORGANISATION				**LOCATION ADDRESS**			
MAILING ADDRESS (if different from location)				**PRE-CERTIFICATION FILE REF :**			
CAA REFERENCE	Licensing Insp.	Maintenance Insp.	Other Insp.	Inspector Initial	Date Received/ Approved	Date Returned for Changes	Applicant's Proposed Date
	I. PRE-APPLICATION PHASE						
	A. Initial Orientation: Inspector: _____ 1. Certification Advisory Circular provided to applicant. 2. Prospective Organisation Pre-assessment forwarded to Director General CAAN						
	B. Certification Team Designated (at least one licensing and one maintenance) Project Manager : Name and Speciality …….. …… …… …….. ……..						
	C. Conduct Pre-application Meeting 1. Verify POPS Information 2. Overview of Certification Process 3. Provide Certification Package Containing: a. Certification Job Aid and Schedule of events b. Model Training Specifications c. Other Applicable Publications and Documents						

	4. Explain Formal Application Submissions				
Remarks:					

ATO CERTIFICATION CHECKLIST

Date Approved or Accepted	II. FORMAL APPLICATION PHASE	Inspector Initial	Date Received/ Approved	Date Returned for Changes	Applicant's Proposed Date
	A. Review Applicant's Submission				
	1. Formal Application Letter/Form				
	a. Full and Official name(Legal)				
	b. Mailing Address				
	c. Primary Training Location				
	d. Identification of Training courses				
	e. Key Management Personnel Names				
	f. Signed by Accountable Manager				
	2. Formal Application Attachments				
	a. Schedule of events				
	b. Training Specifications				
	c. Management and Key Staff qualifications/resumes				
	d. Instructors qualifications				
	e. Manuals				
	i. Procedures & Training Manual.				
	ii. Quality System Manual				
	iii. Other Manual(s)				
	f. Other documents:				
Remarks:					
	B. Evaluation of CAA Resources Based on Schedule of Events				
	C. Formal Application Meeting 1. Schedule of events Date:_____Time:____ 2. Discuss each Submission 3. Resolve				

	Discrepancies/Open Items 4. Review Certification Process 5. Review Impact if Schedule of Events are not met				
	D. Issue Letter Accepting/Rejecting Application				
Remarks					

ATO CERTIFICATION CHECKLIST

Date Approved or Accepted	III. DOCUMENT EVALUATION PHASE (CONTINUED)	Inspector Initial	Date Received/ Approved	Date Returned for Changes	Applicant's Proposed Date
	E. Evaluate Training Manual				
	1. Completed Training Manual				
	2. Chapter 1. The Training Plan				
	3. Chapter 2. Briefing and Air Exercises				
	4. Chapter 3. Synthetic flight				
	5. Chapter 4. Knowledge Instruction				
Remarks:					
	F. Evaluate Quality System Manual				
	1. Completed Quality System Manual				
	2. Introduction				
	3. The quality system of the ATO				
	4. Quality policy and strategy				
	5. Purpose of a quality system				
	6. Quality manager				
	7. Quality system				
	8. Scope				
	9. Feedback system				
	10. Documentation				
	11. Quality Assurance Program				
	12. Quality inspection				
	13. Audit				
	14. Auditors				
	15. Auditor's independence				
	16. Audit Scope				
	17. Audit Scheduling				
	18. Monitoring and corrective Action				
	19. Corrective action				
	20. Management evaluation				
	21. Recording				
	22. Quality assurance responsibility for Satellite ATOs				

	23. Quality System Training				
	24. Sources of Training				
	25. Quality systems for small/very small training organisations				
Remarks:					

ATO CERTIFICATION CHECKLIST

Date Approved or Accepted	IV. DEMONSTRATION & INSPECTION PHASE	Inspector Initial	Date Received/ Approved	Date Returned for Changes	Applicant's Proposed Date
	A. Evaluate Management of Training organisation				
	1. Accountable Manager				
	2. Head of Training				
	3. Chief Ground Instructor				
	4. Chief Flight Instructor				
	5. Quality Manager				
	B. Evaluate Training Conducted by Training organisation				
	Flight crew Training				
	a. Training Schedules				
	b. Student Training				
	c. Instructor training				
	d. Crew Resource Management				
	e. Flight Supervision and Monitoring/Flight Following				
Remarks:					
	C. Evaluate Training organisation Offices				
	D. Evaluate Training aircraft/components				
	E. Evaluate system training devices				
	F. Evaluate aircraft Trainers				
	G. Training aids meet Requirements				
	H. Evaluate Facilities (Training)				
	1. class rooms				
	2. flight instruction				
	3. operations room				
	4. briefing rooms				
	I. Evaluate Record keeping Locations				
	1. Students records				
	a. Training records				

	b. Student records				
	2. Staff records				
	3. Other records				
Remarks:					

ATO CERTIFICATION CHECKLIST

Date Approved or Accepted	V. CERTIFICATION PHASE	Inspector Initial	Date Received/ Approved	Date Returned for Changes	Applicant's Proposed Date
	A. Approve Training Specifications				
	B. Present Certificate & Training Specifications				
	C. Prepare Certification Report				
	1. Assemble Report				
	a. Formal Application Letter/Form				
	b. Copy of Training Specifications				
	c. Copy of Certificate				
	d. List of key management personnel				
	e. List of instructors				
	f. List of approved courses				
	g. Summary of difficulties				
	2. Distribute Report				
	D. Develop Post Certification Surveillance Program				
Remarks:					

Appendix 3 - Contents of the Training and Procedures Manual

CONTENT OF THE TRAINING AND PROCEDURES MANUAL

This appendix supplements the information in Appendix 2 to Annex 1. Part I of this appendix covers the content requirements for the training and procedures manual of all ATOs. Part II deals with the additional content requirements for ATOs that provide flight training utilizing aircraft.

Part I — Content requirements for all ATOs
The training and procedures manual should include the elements in paragraphs 1 to 8 of this appendix as far as they are appropriate to the type of training to be provided.

1. GENERAL
1.1 Preamble relating to the use and applicability of the manual.

1.2 Table of contents.

1.3 Amendment, revision and distribution of the manual:
a) procedures for amendment;
b) record of amendments page;
c) distribution list; and
d) list of effective pages.

1.4 Glossary of definitions and significant terms, including a list of acronyms and/or abbreviations.

1.5 Description of the structure and layout of the manual, including:
a) the various parts and sections, as well as their contents and use; and
b) the paragraph numbering system.

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

1.7 Organization structure and the names of the post holders.

1.8 Qualifications, responsibilities and succession of command of management and key operational personnel, including but not limited to: a) accountable executive;
b) head of training;
c) instructional services manager;
d) quality manager;
e) safety manager, if applicable;
f) instructors; and
g) examiners, evaluators and auditors.

1.9 Policies dealing with:
a) the training organization's objectives, including ethics and values;
b) the selection of ATO personnel and the maintenance of their qualifications;
c) the training programme design and development, including the need for programme validation and review;
d) the evaluation, selection and maintenance of training material and devices;
e) the maintenance of the training facilities and equipment;
f) the development and maintenance of a quality system governance model; and
g) the development and maintenance of a culture focused on safety in the workplace, including, when applicable, implementation of a safety management system governance model.

1.10 Description of the facilities and equipment available, including:
a) general-use facilities, including offices, stores and archives, and library or reference areas);
b) the number and size of classrooms, including installed equipment; and
c) the type and number of training devices, including their location if other than at the main training site.

2. STAFF TRAINING
2.1 Identification of persons or positions responsible for the maintenance of performance standards and for ensuring the competency of personnel.
2.2 Details of the procedures to validate the qualifications and determine the competency of instructional personnel.
2.3 Details of the initial and recurrent training programmes for all personnel.
2.4 Procedures for proficiency checks and upgrade training.

3. CLIENT TRAINING PROGRAMMES
Client training programmes cover each individual training programme conducted by the training organization for its customers and consist of a training plan, a practical training syllabus and a theoretical knowledge syllabus.

3.1 Training plan
3.1.1 The aim of the course in the form of a statement of what the student is expected to be able to do as a result of the training, the level of performance and the training constraints to be observed.
3.1.2 Pre-entry requirements, including:
a) minimum age;
b) education or qualification requirements;
c) medical requirements; and
d) linguistic requirements.

3.1.3 Credits for previous knowledge, experience or other qualifications, which should be obtained from the Licensing Authority before the training commences.

3.1.4 Training curricula, including:
a) theoretical training (knowledge);
b) practical training (skills);
c) training in the domain of Human Factors (attitudes);
d) assessment and examinations; and
e) monitoring of the training process, including assessment and examination activities.

3.1.5 Training policies in terms of:
a) restrictions regarding the duration of training periods for students and instructors; and
b) if applicable, minimum rest periods. 3.1.6 Policy for the conduct of student evaluation, including the:
a) procedures for authorization of tests;
b) procedures for remediation training before retest and procedures for re-writing knowledge tests;
c) test reports and records;
d) procedures for skill progress checks and skill tests;
e) procedures for knowledge progress tests and knowledge tests, including procedures for knowledge test preparation, types of questions and assessments, and standards required for a pass; and
f) procedures for question analysis and review and for issuing replacement exams

3.1.7 Policy regarding training effectiveness, including:
a) liaison procedures between training departments;
b) requirements for reporting and documentation;
c) internal feedback system for detecting training deficiencies;
d) completion standards at various stages of training to ensure standardization;
e) individual student responsibilities;
f) procedures to correct unsatisfactory progress;
g) procedures for changing instructors;
h) maximum number of instructor changes per student; and
i) procedures for suspending a student from training.

3.2 Syllabi for non-competency-based training programmes

3.2.1 Practical training syllabus

3.2.1.1 A statement of how the course will be divided into phases, indicating how the phases will be arranged to ensure completion in the most suitable learning sequence and that exercises will be repeated at the proper frequency.
3.2.1.2 The syllabus hours for each phase and for groups of lessons within each phase and when progress tests are to be conducted.
3.2.1.3 A statement of the standard of proficiency required before progressing from one phase of training to the next. It includes minimum experience requirements and satisfactory exercise completion before undertaking the next phase.
3.2.1.4 Requirements for instructional methods, particularly with respect to adherence to syllabi and training specifications.
3.2.1.5 Instruction for the conduct and documentation of all progress checks.

3.2.1.6 Instruction, where applicable, given to all examining staff regarding the conduct of examinations and tests.

3.2.2 ***Theoretical knowledge syllabus***
The syllabus for theoretical knowledge instruction should be structured generally as in 3.2 of this appendix but with a training specification and objective for each subject.

3.3 Syllabus for competency-based training programmes
3.3.1 Modern training programmes should be competency-based.
3.3.2 Competency-based training programmes are based upon a job and task analysis to define the knowledge, skills and attitudes required to perform a job or a task. Such programmes use an integrated approach in which the training in the underlying knowledge to perform a task is followed by practice of the task so that the trainee acquires the underlying knowledge, skills and attitudes related to the task in a more effective way.
3.3.3 As a result, the syllabus is structured as a single document that is subdivided into modules containing a training objective and the same information as in 3.2.1, but applied to both the theoretical knowledge and practical training delivered by the module.

4. TESTS AND CHECKS CONDUCTED BY THE ATO FOR THE ISSUANCE OF A LICENCE OR A RATING
When a State has authorized an ATO to conduct the testing required for the issuance of a licence or rating in accordance with the training and procedures manual, the manual should include:
a) the name(s) of the personnel with testing authority and the scope of the authority;
b) the role and duties of the authorized personnel;
c) 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 requirements for appointment as well as the selection and appointment procedure; and
d) the applicable requirements established by the Licensing Authority, such as:
— the procedures to be followed in the conduct of checks and tests; and
— the methods for completion and retention of testing records as required by the CAAN.

5. RECORDS
Policy and procedures regarding:
a) attendance records;
b) student training records;
c) staff training and qualification records;
d) persons responsible for checking records and student personal logs;
e) nature and frequency of record checks;
f) standardization of record entries;
g) personal log entries; and
h) security of records and documents.

6. SAFETY MANAGEMENT SYSTEM
The requirement to adopt SMS practices is intended to be restricted to only those training entities whose activities directly impact on the safe operation of aircraft. Should that requirement apply to the ATO, the training and procedures manual must address the ATO's SMS by reference to a separate manual or including the SMS practices in the training and procedures manual.

7. QUALITY ASSURANCE (QA)
Provide a brief description of the QA practices by reference to a separate quality manual or including the QA practices in the training and procedures manual.

8. APPENDICES
As required:
a) sample progress test forms;
b) sample logs, test reports and records; and
c) a copy of the approved training organization's approval document.

Part II — Additional content for flight training organizations (utilizing aircraft)
The training and procedures manual for ATOs that provide flight training utilizing aircraft should include additional elements to those indicated in Part I, as contained in paragraphs 9 to 12 of this appendix.

9. FLIGHT TRAINING — GENERAL
9.1 Qualifications, responsibilities and succession of command of management and key operational personnel (in addition to paragraph 1.8 of this appendix), including but not limited to: a) chief flight instructor; and
b) chief ground instructor.

9.2 Policies and procedures (in addition to paragraph 1.9 of this appendix) dealing with:
a) approval of flights;
b) responsibilities of the pilot-in-command;
c) flight planning procedures — general;
d) carriage of passengers;
e) operational control system;
f) reporting of safety hazards, incidents and accidents (see Appendix D for more details);
g) duty periods and flight time limitations for flying staff members and students; and
h) minimum rest periods for flying staff members and students.

9.3 Description of the facilities and equipment available (in addition to paragraph 1.10 of this appendix), including:
a) flight simulation training devices and training aircraft;
b) maintenance facilities and apron parking areas for training aircraft;
c) computer-based classrooms; and
d) dispatch control and briefing areas.

10. AIRCRAFT OPERATING INFORMATION
10.1 Certification and operating limitations.
10.2 Aircraft handling, including:
a) performance limitations;
b) use of checklists;
c) standard operating procedures; and
10.3 Instructions for aircraft loading and securing of load.
10.4 Fuelling procedures.
10.5 Emergency procedures.

11. ROUTES
11.1 Performance criteria, e.g. take-off, en route and landing.
11.2 Flight planning procedures including:
a) fuel and oil requirements;
b) minimum safe altitudes;
c) planning for contingencies (e.g. emergency or diversion scenarios); and
d) navigation equipment.
11.3 Weather minima for all instructional training flights during day, night, VFR and IFR operations.
11.4 Weather minima for all student training flights at various stages of training.
11.5 Training routes and practice areas.

12. FLIGHT TRAINING PLAN
12.1 Training curricula (in addition to paragraph 3.1.4 of this appendix), including, as applicable, the:
a) flying curriculum (single-engine);
b) flying curriculum (multi-engine);
c) theoretical knowledge curriculum; and
d) flight simulation training curriculum.

12.2 The general arrangements of daily and weekly programmes for flying training, ground training and flight simulation training.

12.3 Training policies (in addition to paragraph 3.1.5 of this appendix) in terms of:
a) weather constraints;
b) maximum student training times for flight, theoretical knowledge and flight simulation training, per day/week/month;
c) restrictions in respect of training periods for students;
d) duration of training flights at various stages;
e) maximum individual student flying hours in any day or night period;
f) maximum number of individual student training flights in any day or night period; and
g) minimum rest periods between training periods.

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.

Appendix 4 - Training and Procedures Manual Checklist

The Training and Procedures Manual should include the following items in so far as they are appropriate to the type of training to be provided. This form may be used as an applicant's compliance statement & CAAN inspector checklist-

Name of ATO: _____ Date: _____
Address: _____
Name of Accountable manager_____ Tel. _____
Name of Head of Training: _____ Tel. _____
Name of CAAN Inspector conducting the review: _____

(**A** = Acceptable, **U** = Unacceptable, **N/A** = Not Applicable)

Item	Subject	Page-Paragraph	A	U	N/A
	GENERAL				
1	Preamble relating to use and authority of the Training and Procedures Manual				
2	Table of contents.				
3	Amendment, revision and distribution. a) Procedures for amendment; b) Amendment record page; c) Distribution list; and d) List of effective pages.				
4	Glossary of significant terms and definitions.				
5	Description of the structure and layout of the manual, including: a) Various parts, sections, their contents and use; and b) The paragraph numbering system.				
6	Description of the scope of training authorized under the organisation's terms of approval.				
7	Organisation (chart of the management organisation)				
8	Qualifications, responsibilities and succession of command of management and key operational personnel, including but not limited to: a) Accountable manager b) Quality manager c) Head of training d) Chief flight instructor e) Chief ground instructor f) Maintenance manager				

	f) Instructors — ground, flight and synthetic.				
	Description of the facilities available, Including: a) The number and size of classrooms; b) Training aids provided; and c) Synthetic flight training devices and training aircraft.				
	THE TRAINING PLAN				
1	Aim of the course –				
	• A statement of what the student is expected to do as a result of the training,				
	• The level of performance				
	• The training constraints to be observed				
2	Pre-entry requirements –				
	• Minimum age				
	• Educational requirements				
	• Language requirements				
	• Medical requirements				
3	Credit for previous experience -				
	To be obtained from the CAAN before training begins				
4	Training curricula –				
	The flying curriculum (single-engine)				
	The synthetic flight training curriculum				
	The theoretical knowledge-training curriculum				
5	Programmed curriculum times -				
	Arrangements of the course and the integration of curricula time				
6.	Training programme -				
	• The general arrangements of daily and weekly programs for flying, ground and synthetic flight training.				
	Bad weather constraints				
	Program constraints in terms of maximum student training times, (flying, theoretical knowledge, synthetic) e.g. per day/week/month				
	Description of the facilities available, Including: a) The number and size of classrooms; b) Training aids provided; and c) Synthetic flight training devices and training aircraft.				
	d) Restrictions in respect of duty periods for students				
	e) Duration of dual and solo flights at various stages				
	f)Maximum flying hours in any day/night				
	g)Maximum number of training flights in any day/night				

	h)Minimum rest period between duty periods				
7.	Training records - Attendance records.				
	Rules for security of records and documents.				
	The form of training records to be kept.				
	Persons responsible for checking records and students' log books.				
	The nature and frequency of records checks.				
	Standardization of entries in training records. Rules concerning log book entries.				
8.	Safety training				
	Individual responsibilities.				
	Essential exercises.				
	Emergency drills (frequency).				
	Dual checks (frequency at various stages).				
	Requirement before first solo day/night/navigation etc.				
	9. Checks and tests -				
	Flying: Progress checks and skill tests.				
	Knowledge: Progress tests and knowledge tests.				
	Authorization for test.				
	Rules concerning refresher training before retest.				
	Test reports and records				
	Procedures for test paper preparation, type of question and assessment, standard required for 'Pass'.				
	Procedure for question analysis and review and for raising replacement papers.				
	Test retest procedures.				
10.	Training effectiveness -				
	Individual responsibilities.				
	General Assessment.				
	Liaison between departments.				
	Identification of unsatisfactory progress (individual students).				
	Actions to correct unsatisfactory progress.				
	Procedure for changing instructors.				
	Maximum number of instructor changes per student. Internal feedback system for detecting training deficiencies.				
	Procedure for suspending a student from training.				
11	Standards and level of performance at various stages -				
	Individual responsibilities.				
	Standardization.				
	Standardization requirements and procedures.				
	Application of test criteria.				

BRIEFING AND AIR EXERCISES					
1.	Air exercise -				
	A detailed statement of the content specification of all the air exercises to be taught, arranged in the sequence to be flown with main and sub-titles.				
2.	Air exercise reference list				
	An abbreviated list of the above exercises giving only main and sub-titles for quick reference, and preferably in flip-card form to facilitate daily use by instructors.				
3.	Course structure- training phase				
	A statement of how the course will be divided into phases, indication of how the above air exercises will be divided between the phases and how they will be arranged to ensure that they are completed in the most suitable learning sequence and that essential (emergency) exercises are repeated at the correct frequency.				
	The curriculum hours for each phase and for groups of exercises within each phase shall be stated and when progress tests are to be conducted, etc.				
4.	Course structure integration of curricula				
	The manner in which theoretical knowledge, synthetic flight training and flying training will be integrated so that as the flying training exercises are carried out students will be able to apply the knowledge gained from the associated theoretical knowledge instruction and synthetic flight training				
5.	Student progress Include minimum experience requirements in terms of hours, satisfactory exercise completion, etc. As necessary before significant exercises, e.g. night flying.				
	The requirement for student progress and include a brief but specific statement of what a student is expected to be able to do and the standard of proficiency he or she must achieve before progressing from one phase of air exercise training to the next.				
6.	Instructional methods -				
	The ATO requirements, particularly in respect of pre and post flying briefing, adherence to curricula and training specifications, authorisation for solo flight, etc.				
7.	Progress tests -				
	The instructions given to examining staff in respect of the conduct and document of all progress tests.				
8.	Glossary of terms				

	Definition of significant terms as necessary.				
9.	Appendices -				
	Progress test report forms.				
	Skill test report forms.				
	ATO certificates of experience, competence, etc. as required.				
SYNTHETIC FLIGHT TRAINING					
1	Air exercise				
2.	Air exercise reference list				
3.	Course structure-phase of training				
4.	Course structure integration of curricula				
5.	Student progress				
6.	Instructional methods				
7.	Progress tests				
8.	Glossary of terms				
9.	Appendices				
KNOWLEDGE INSTRUCTION					
1.	Objective for each subject -				
2.	Individual lesson plans -				
3.	Specific training aids available for use				
ADMINISTRATIVE PROCEDURES					
1.	A list and description of all volumes in the Manual				
2.	Administration (function and management)				
3.	Responsibilities (all management and administrative staff)				
4.	Student discipline and disciplinary				
5.	Approval/authorization of flights				
6.	Preparation of flying programme (restriction of numbers of aircraft in poor weather)				
7.	Command of aircraft				
8.	Responsibilities of pilot-in-command				
9.	Carriage of passengers				
10.	Aircraft documentation				
11.	Retention of documents				
12.	Flight crew qualification records (licences and ratings)				
13.	Revalidation (licences, ratings and medical certificates)				
14.	Flying duty period and flight time limitations (flying instructors)				
15.	Flying duty period and flight time limitations (students)				
16.	Rest periods (flying instructors)				
17.	Rest periods (students)				
18.	Pilots' log books				

19.	Flight planning (general)				
20.	Safety (general: equipment, radio listening watch, hazards, accidents and incidents, including reports, safety pilots, etc.)				
AIRCRAFT OPERATING INFORMATION					
1.	Aircraft descriptive notes				
2.	Aircraft handling (including checklists, limitations, aircraft maintenance and technical logs, in accordance with relevant requirements, etc.)				
3.	Emergency procedures				
4.	Radio and radio navigation				
5.	Allowable deficiencies (based on MMEL, if available)				
ROUTES					
1.	Performance (legislation, take-off, route, landing, etc				
2.	Flight planning (fuel, oil, minimum safe altitude, navigation equipment, etc)				
3.	Loading (load sheets, mass, balance, limitations)				
4.	Weather minima (flying instructors)				
5.	Weather minima (students: at various stages of training)				
6.	Training routes/areas				
STAFF TRAINING					
1.	Appointments of persons responsible for standards/competence of flying staff				
2.	Initial training				
3.	Refresher training				
4.	Standardization training				
5.	Proficiency checks				
6.	Upgrading training				
7.	ATO staff standards				
Remarks:					
Action to be taken:					

Appendix 5 - The Quality Assurance System of the ATO

1. Quality policy and strategy

1.1 The ATO shall describe how the organisation formulates, deploys, and reviews its policy and strategy and turns it into plans and actions applicable to all levels of the organisation. A formal written quality policy statement should be established that is a commitment by the head of the training organisation, 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 ICAO Annex 1, Appendix 2, together with any additional standards specified by the ATO.

1.2 The accountable manager of the training organisation 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 2 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 CAAN 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:
a) have direct access to the accountable manager; and
b) have access to all parts of the ATO's organisation.

2.4 The quality manager should be responsible for ensuring that personnel training relating to the quality assurance system is 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.

4. Feedback System

The quality assurance system should include a feedback system to ensure 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:
a) quality policy;
b) terminology;
c) specified training standards;
d) a description of the organisation;
e) the allocation of duties and responsibilities; and
f) training procedures to ensure regulatory compliance.

5.3 The quality assurance audit programme, reflecting:
a) schedule of the monitoring process;
b) audit procedures;
c) reporting procedures;
d) follow-up and corrective action procedures;
e) recording system; and
f) 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 raining 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:
a) actual flight and ground training;
b) maintenance;
c) technical standards; and
d) training standards.

8. Audit

8.1 An audit is a systematic and independent comparison of the way in which a 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:
a) an explanation of the scope of the audit;
b) planning and preparation;
c) gathering and recording evidence; and
d) analysis of the evidence.

8.3 The various techniques that make up an effective audit are:
a) interviews or discussions with personnel;
b) a review of published documents;
c) the examination of an adequate sample of records;
d) the witnessing of the activities which make up the training; and
e) 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 documentation.

10. Auditor's independence

10.1 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.

10.2 An ATO whose structure and size does not justify the establishment of fulltime auditors, may undertake the audit function by the use of part-time personnel from within its own organisation or from an external source under the terms of an agreement acceptable to the CAAN.

10.3 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.

10.4 The quality assurance audit programme of the ATO should identify the persons within the company who have the experience, responsibility and authority to:
a) perform quality inspections and audits as part of ongoing quality assurance;
b) identify and record any concerns or findings, and the evidence necessary to substantiate such concerns or findings;
c) initiate or recommend solutions to concerns or findings through designated reporting channels;
d) verify the implementation of solutions within specific time scales; and

e) report directly to the quality manager.

11. Audit scheduling

11.1 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.

11.2 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.

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

12. Monitoring and corrective action

12.1 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.

12.2 Any non-conformance identified should be communicated to the manager responsible for taking corrective action or, if appropriate, the head of the training organisation. 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.

12.3 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.

Organisational responsibility and accountability for the implementation of corrective action resides with the department where the finding was identified. The head of the training organisation 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 CAAN or the ATO.

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

13. Management review and analysis

13.1 Management should accomplish a comprehensive, systematic documented review and analysis of the quality assurance system, training policies, and procedures, and should consider:

a) the results of quality inspections, audits and any other indicators;

b) the overall effectiveness of the management organisation in achieving stated objectives; and

c) correcting trends, and preventing, where applicable, future nonconformities.

13.2 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 organisation should decide upon the frequency, format, and structure of internal review and critical analysis meetings.

14. Recording

14.1 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 analyse and determine the root causes of non-conformity, so that areas of noncompliance can be identified and subsequently addressed.

14.2 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:

a) audit schedules;
b) quality inspection and audit reports;
c) responses to findings;
d) corrective and preventive action reports;
e) follow-up and closure reports; and
f) management review and analysis reports.

15. Quality assurance responsibility for satellite ATOs

15.1 An ATO may decide to sub-contract certain activities to external organisations subject to the approval of the CAAN.

15.2 The ultimate responsibility for the training provided by the satellite ATO always remains with the ATO. A written agreement should exist between the ATO and the satellite ATO clearly defining the safety-related services and quality to be provided. The satellite ATO's safety-related activities relevant to the agreement should be included in the ATO's quality assurance audit programme.

15.3 The ATO should ensure that the satellite ATO has the necessary authorization/approval when required, and commands the resources and competence to undertake the task. If the ATO requires the satellite ATO to conduct activity that exceeds the satellite ATO's authorization/approval, the ATO is responsible for ensuring that the satellite ATO's quality assurance takes account of such additional requirements.

16. Quality insurance system training

16.1 Correct and thorough training is essential to optimize quality in every organisation. 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.

16.2 Those responsible for managing the quality assurance system should receive training covering:

a) an introduction to the concept of quality assurance system;
b) quality management;
c) concept of quality assurance;
d) quality manuals;
e) audit techniques; and
f) reporting and recording.

17. The way in which the quality system will function in the ATO

17.1 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.

18. Sources of personnel training

18.1 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. Organisations with sufficient appropriately qualified staff should consider whether to carry out in-house training.

Appendix 6 - CAAN Inspector Checklist/ Job-Aid for Reviewing of an ATO Quality Manual

ATO QUALITY MANUAL REVIEW

Name of ATO:_____ Date:_____
Address:_____
Name of Accountable manager_____ Tel. _____
Name of Head of Training:_____ Tel. _____
Name of CAAN Inspector conducting the review:_____

Note: If item is acceptable mark "A", if item is unacceptable mark "U", if item is not applicable mark "N/A"

No.	Subject	Manual Paragraph	A / U	Remarks
1.	**Terminology –** a. Has the applicant included the required terminology			
2.	**Quality Policy and Strategy**,			
	Formal policy statement from head of training?			
	a. Explain what the system is intended to achieve?			
	b. Cite continued compliance with the ATO's standards?			
	c. Does accountable manager have overall responsibility for the Quality System?			
3.	**Purpose**,			
	Statement that quality system will enable the ATO to monitor compliance with:			
	a. Relevant sections of CARs ?			
	b. Procedures and training manual?			
	c. Any other standards established by the ATO or CAA?			
4.	**Quality Manager**,			
	a. Do responsibilities include activities that verify:			
	b. Are head of training & quality manager positions combined?			
	1. Standards required by CAA and the ATO are being carried out properly under the supervision of head of training, chief flight			

	instructor, chief ground instructor?			
	2. Quality assurance programme is properly implemented, maintained and continuously renewed and improved?			
	3. Has access to head of training and all parts of ATO?			
5.	**Quality System**,			
	Ensure compliance with and adequacy of training activities conducted?			
	a. Basic structure specified?			
	b. Structured according to the size and complexity of the ATO?			
6.	**Scope**, Does the quality system address:			
	a. Leadership?			
	b. Policy and strategy?			
	c. Processes?			
	d. Provisions of CARs?			
	e. ATO's standards and procedures?			
	f. ATO organisational structure?			
	g. Development, establishment and management of the quality system responsibility?			
	h. Documentation (manuals, reports, records)?			
	i. Quality assurance programme?			
	j. Financial, material and human resources?			
	k. Training requirements?			
	l. Customer satisfaction?			
7.	**Feedback System**,			
	a. Corrective action identified and addressed?			
	b. Responsible person identified?			
	c. Procedure for when corrective action not completed within stated time limit?			
8.	**Relevant Documentation**			
	a. Relevant parts of training and procedures manual?			
	b. Quality policy?			
	c. Terminology?			
	d. Specified training standards?			
	e. A description of the organisation?			
	f. Allocation of duties and responsibilities?			
	g. Training procedures to ensure regulatory			

	compliance?			
	h. Schedule of the monitoring process?			
	i. Audit procedures?			
	j. Follow-up and corrective action procedures?			
	k. Recording system?			
	l. The training syllabus?			
	m. Document control?			
9.	**Quality Assurance Programme**,			
	a. Ensures that all training is conducted in accordance with all applicable requirements, standards and procedures?			
10.	**Quality Inspection**			
	a. Ensures through observation that established training procedures and requirements are followed during the accomplishment of event and that required standard was met?			
11.	**Audit** Procedure for explaining the scope of the audit?			
	a. Procedure for planning and preparation?			
	b. Process for gathering and recording evidence?			
	c. Process for analysis of the evidence?			
12.	**Auditors** Have relevant training or operational experience?			
	a. Responsibilities clearly defined?			
13.	**Auditor's Independence**			
	a. No day-to-day involvement in the area to be audited?			
	b. Procedures developed to ensure auditor selected has no involvement with the activities to be audited?			
	c. Full time auditor?			
	d. Part time auditor?			
	e. Internal?			
	f. External?			
	g. Persons within company authorised to conduct quality inspections and audits, identify and record findings and concerns, initiate recommended solutions to concerns or findings, verify the implementation of solutions and report directly to the Quality			

	Manager identified?			
14.	**Audit Scope** Are the following areas included in the scope of the ATO's audits:			
	a. Organisation			
	b. Plans and objectives			
	c. Training Procedures			
	d. Flight Safety			
	e. Manuals, Logs and Records			
	f. Flight and Duty Time limitations			
	g. Rest requirements and scheduling			
	h. Aircraft Maintenance/Operations			
	i. Maintenance programs and continued Airworthiness			
15.	**Audit Scheduling**			
	a. Defined audit schedule?			
	b. Periodic review cycle?			
	c. Allow for unscheduled audits?			
	d. Allow for follow-up audits?			
	e. All aspects of training reviewed in 12-month period?			
	f. Extension to 12-month period accepted by CAA?			
16.	**Monitoring and Corrective Action** Procedure established to monitor regulatory compliance on a continuing basis?			
	a. Is non-compliance communicated to the relevant manager?			
	b. Is non-compliance recorded?			
	c. Are corrective actions developed in response to findings?			
	d. Are corrective actions monitored to verify that they have been completed?			
	e. Are corrective actions monitored to verify effectiveness?			
17	**Corrective Action** Following each quality inspection/audit, is:			
	a. Immediate need for corrective action established?			
	b. Origin of the finding established?			
	c. Type of corrective action determined?			
	d. Corrective action schedule established?			
	e. Individual/department responsible for implementing corrective action identified?			

	f. Accountable manager allocating resources where appropriate?			
	Is the Quality Manager:			
	a. Verifying that the responsible manager takes corrective action?			
	b. Verifying that corrective action includes elements outlined in 16 above?			
	c. Monitoring the implementation and completion of corrective action?			
	d. Providing management with an independent assessment of corrective action implementation and completion?			
	e. Evaluating the effectiveness of corrective action through follow up?			
18.	**Management Evaluation**			
	a. Process for identification of trends?			
	b. Prevention of non-conformities?			
	c. Does the accountable manager determine frequency, format and structure of management evaluation activities?			
19.	**Recording** Process established for retaining the following records for 5 years:			
	a. Audit schedules?			
	b. Quality inspection and audit reports?			
	c. Responses to findings?			
	d. Corrective action reports?			
	e. Follow-up and closure reports?			
	f. Management evaluation reports?			
20.	**Quality Assurance Responsibility For Satellite ATOs** Are any ATO activities contracted out to external organisations?			
	a. Does a written agreement exist between the ATO and the satellite ATO?			
	b. Are the satellite ATO's safety related activities included in the primary ATO's quality assurance programme?			
21.	**Quality System Training** For those responsible for managing the quality system, does training cover:			
	a. An introduction to the quality system concept?			
	b. Quality management?			

	c. Concept of quality assurance?			
	d. Quality manuals?			
	e. Audit techniques?			
	f. Reporting and recording?			
	g. The way the quality system will function in the ATO?			
	For those not responsible for managing the quality system, does training cover:			
	a. A briefing on the way the quality system will function in the ATO?			
22.	**Sources of Training**			
	a. External?			
	b. Internal?			
23.	**Quality Systems For Small/ Very Small Organisations**			
	a. Checklist used?			
	b. Supporting schedule developed?			
	c. Specified timeframe?			
	d. Schedule documented?			
	e. Periodic review by top management?			
	f. Internal/external/combined auditors?			
Remarks:				

Appendix 7 - Management Personnel Qualifications Checklist/Job-Aid

MANAGEMENT PERSONNEL QUALIFICATIONS CHECKLIST/JOB-AID

Name of applicant_____
Address of applicant_____ **Phone No**_____
Name of Inspector Conducting the Review_____ **Date**_____

Note: Standards referenced are for quick referral and may not be all-inclusive. **A:** Acceptable, **U:** Unacceptable, **N/A:** Not Applicable

Item	A	U	N/A	Remarks
1. Has the applicant identified the required management and key positions? position?				
2. Does the applicant's proposed Head of Training have the required experience?				
3. Does the applicant's proposed Chief Flight Instructor (CFI) have the licence required for the position?				
4. Does the applicant's proposed Chief Flight Instructor (CFI) have the required experience?				
5. Does the applicant's proposed Chief Ground Instructor (CGI) have the required experience?				

Additional Remarks

Appendix 8 - Approved Training Organisation (ATO) Inspection Checklist

INSPECTION REPORT – FCL COURSES

ATO reference No _____ ATO/Satellite ATO_____
Inspection date_____ Location_____
Inspection leader_____ _____
Additional inspectors:
Inspector _____
Inspector _____
Inspector _____

Check Courses Inspected

PPL course		Instructor course for SFT	
CPL course		Class rating course	
IR course		Type rating course	
ATPL course		CRM course	
Flight engineer Course		Flight instructor Course	
Flight navigator Course		Instructor course for additional type or class rating	
Refresher course			

S/N	Course	Reference	S	U	Action to be taken
	* Personnel				
	* Record Keeping				
	* Training programme and approval				
	* Course material				
	* Instructional standards				
	*Aircraft sampled (Check to include documentation)				
	* Synthetic flight trainers (SFT)				
	* Aerodromes and sites				
	* Training facilities				
	* Training & Procedures Manual				
	* Quality system				
	* Satellite ATOs				
	* Other Manuals				

Course	Date	A/C type SFT	A/C registration	ATO	Student	Instructor	S	U

APPROVED TRAINING ORGANISATION INSPECTION REPORT – OPERATIONS (ATO)

APPROVED COURSE AIRCRAFT

A/C type	Registration no	A/C type	Registration no

Remarks (Attached additional sheets):

Inspector's name_____

Inspector's signature_____

Appendix 9 – Guidelines on the Conduct of an Approved Training Organisation (ATO) Inspection

SECTION I - BACKGROUND
1) OBJECTIVE.
a) Eligibility and Compliance
The objective of an ATO inspection is to determine that an applicant is able to demonstrate eligibility for the issuance of an Approved Training Organisation (ATO) certificate; or, that an existing certificate holder continues to comply with the civil aviation regulations applicable to the operation of an ATO .Successful completion of this task results in an indication of either a satisfactory or an unsatisfactory ATO inspection.

b) ATO Inspection
An ATO inspection is a *site visit to an Approved Training Organisation,* conducted by CAAN Inspectors for the purpose of providing the CAAN with a comprehensive assessment of the regulatory status of the following areas:

o Staff and Instructors
o Training Aircraft and Synthetic Flight Trainers
o Facilities and Documentation
o Training Records and Checking Forms
o Flight Instruction
o And the Quality System

2) CHARACTERISTICS OF AN INSPECTION.
a) Definite Beginning and a Definite End
ATO inspections have a *definite beginning and end.* They may be scheduled by an inspector for the observation and evaluation of a specific activity, such as a proficiency check, or they may be scheduled for the evaluation of training organisation documents, manuals, or approved programmes. A specific inspection activity may be initiated and completed in a short time or it may be initiated on one day and completed several days later with other types of work activity conducted during that time. In any case, an inspection begins when an inspector initiates the inspection task and ends when the inspector has completed the inspection report.

b) Specific Objectives.
The primary objective of any inspection, including an ATO inspection, is to determine that a person, item, or segment of an operation complies or continues to comply with CAAN regulations and safe operating practices; and, that hazards are identified as early as possible so that action may be initiated to eliminate or control them.

c) Inspection Areas
Inspection areas are subdivisions of an inspection's scope such as those listed in paragraph 1) b) ATO inspections.

d) General Practices and Procedures
Inspections have *genera/practices and procedures* that inspectors should follow for standardization purposes.

e) Analysis of Inspection Data and Inspector Action
Inspectors must *analyse the inspection data collected and take the appropriate course of action* when deficiencies, concerns or findings are identified. In the case of an ATO inspection where deficiencies are identified, the CAAN shall *not issue* a certificate to the applicant until all of the deficiencies are corrected.

f) Completion
Inspections are *not complete* until the report on the results of the inspection and the intended course of action has been recorded**.** The inspection report is the key element of any inspection. Inspectors must be *concise, factual, and objective* in reporting inspection results and inspector actions.

3) PREPARING FOR AN INSPECTION.
a) Before conducting the inspection.
In preparation for conducting an ATO inspection, Inspectors should thoroughly familiarize themselves with the following elements; they are the training organisation's:
1) Systems
2) Policies
3) Methods, and
4) Procedures.

i) To accomplish this, they should review those sections of the training organisation's manuals that are pertinent to the type of inspection to be conducted. The inspector should obtain additional familiarization by questioning and discussing the training organisation's systems, methods policies and procedures with other members of the CAAN certification team.

ii) Inspectors should also be familiar with the general direction and guidance relevant to the conduct of the inspection and the guidance in this Model Directive.

b) Advance Notice of an Inspection
i) When Recommended. Inspectors should arrange their inspection activities so they will result in a minimum amount of disruption to routine operations. In general, it is appropriate and helpful to both the training organisation and the inspector to provide advance notice that an inspection is to be conducted. It is recommended that advance notice is given for inspections that take training organisation personnel away from their normal duties, such as records inspections.

After providing the training organisation with an advanced notice of inspection, the inspector should obtain the name of the appropriate point of contact at the training

organisation's facility. Responsible training organisations engaged in aviation training understand the legal basis for CAAN surveillance and are generally cooperative in responding to the needs of inspectors during the conduct of inspections.

ii) When Not Recommended. Advance notice is usually unnecessary for those inspections that result in only a minimal involvement of training organisation personnel. An ATO Apron Inspection is an example of an inspection where advance notice serves little purpose.

c) Explain The Purpose Of The Inspection.
This meeting is for the benefit of the training organisation's key management or supervisory personnel, and sets the tone of the inspection. The inspector responsible for convening the meeting should:

i) Provide a personal introduction and introduce other CAAN personnel who may be participating in the inspection.

ii) Discuss the inspectors' roles and responsibilities during the inspection.

iii) Confirm inspection objectives, scope and criteria.

iv) Discuss the inspection methods, tools and techniques that will be used.

v) Review the inspection documentation, such as the Checklist/ Job Aids that will be used.

vi) Confirm inspection timetables and other arrangements made with the training organisation, such as times and dates of daily briefings and the exit meeting

vii) Verify the current revision status of documentation previously received.

viii) Outline the overall inspection process.

ix) Confirm any administrative requirements.

x) Inquire about on-site safety, emergency, and security procedures, when required.

xi) Obtain additional specific identification, when required.

xii) Determine whether corrective action from a previous visit or documentation review has been implemented.

xiii) Request feedback from the training organisation; and

xiv) Resolve outstanding issues.

4) INSPECTION PROTOCOL.

a) Inspector's Identification

Inspectors should wear nametags or other appropriate identification in plain view during the conduct of inspections.

b) Non-Intervention

When observing or evaluating training organisation personnel during the performance of their assigned duties, inspectors shall not intervene in a manner that could adversely hinder safety or preclude them from effectively performing their duties.

c) Inspection Technique

Inspectors will carry out their surveillance tasks using the following techniques as appropriate:

o Interview personnel
o Review documents
o Observe operations
o Select samples
o Inspect activities
o Use standardised checklists
o Document results

5) SCOPE OF AN INSPECTION.

Each type of inspection has a set of items or areas that inspectors should observe and evaluate during the inspection. Sufficient *time* should be allotted for effective evaluation of all the items or areas.

6) COMMON GUIDELINES FOR CONDUCTING ATO INSPECTIONS.

a) Levels of Deficiency and Appropriate Corrective Action.

Following are examples of various deficiencies that might occur in an inspection and the appropriate action to take for each situation. The actions described are based on two assumptions.

1) If a discrepancy is found, the CAAN inspector continues the ATO inspection of all items.

2) After the inspection, all the deficiencies and recommended corrective actions are documented on the CAAN inspection report.

i) An unsatisfactory inspection report will not permit certification of an ATO applicant; and, in the case of an established training organisation, may initiate an enforcement investigation. Unsatisfactory reports are usually the result of a finding of the certificate holder's non-compliance with a civil aviation regulation, which was discovered during the inspection.

ii) There are intermediate stages between satisfactory and unsatisfactory results, any of which may result in a satisfactory inspection with corrective action.

1) An on the spot correction involves a discrepancy that was not a violation and was noted and corrected during the inspection.

Because it was corrected "on-the-spot," it may require no further action. An example of a spot correction is as follows: The inspector finds a student record that does not contain the student's date of graduation in the appropriate box. However, a photocopy of the student's graduation certification with the date is included with the record. The corrective action consists of the inspector notifying the school of this discrepancy. During the remainder of the inspection, the chief instructor enters the record according to the school's procedures. Additional corrective action is not necessary.

2) A follow-up action involves a deficiency or a lack of pilot knowledge or skill that does not involve a violation but does require action other than a spot correction. For example, during the inspection the inspector noted that the pre-takeoff and pre-landing checklists were not in an aircraft and copies of the checklists were not readily available. There was no evidence that the aircraft had been operated for student instruction without the checklists. The corrective action consists of the inspector verbally advising the training organisation that the checklists must be in place before the aircraft is operated again for instruction in a CAAN approved course.

At the office the inspector confirms this in writing to the training organisation and schedules a follow-up inspection to determine that the checklists have been replaced.

3) A regulatory violation is cause for a finding of "unsatisfactory" for the ATO inspection. For example, during the inspection, an inspector finds that training was conducted for more than 30 days without the CAAN ever being informed of a change in the chief flight instructor as required. The inspector marks the inspection report "unsatisfactory" indicating the inspection will result in an enforcement investigation.

b) Presence of Chief Instructors and Other Instructors During Inspection.
It is desirable to spot check the knowledge and skill of the instructors used by a school. Spot checks of instructors are necessary to verify continuing compliance and to ensure that the chief instructors are fulfilling their responsibilities in standardizing instruction.

c) Discrepancies Between CAAN Files and Training Organisation Files.
When a discrepancy is found between CAAN records kept on the training organisation and records maintained by the training organisation, the inspector determines which set of records is current, approved, and correct. The outdated records must be brought up to date. For example, if the training organisation's records indicate a change in address of the base of operations that the CAAN was not aware of, CAAN records must be amended to reflect the correct address. The inspector determines whether an enforcement action is necessary and updates the files of the CAAN.

7) INITIAL CERTIFICATION VS. CONTINUING OVERSIGHT.
There are some items that *cannot be inspected* when an ATO inspection is performed for an original certification during the demonstration and inspection phase. For example, a candidate for an ATO certificate will not have completed student records for the inspector

to examine. For an original certification, the inspector marks the “N/A” column on the job aid for items that cannot be evaluated.

SECTION II - PROCEDURES

1) PREREQUISITES AND COORDINATION REQUIREMENTS.

a) Prerequisites

An ATO inspection requires knowledge of:

- The training organisation's ATO certificate
- The training organisation's training specifications
- The training organisation's training and procedures manual
- The regulatory requirements
- The implementing standards
- Current CAAN policies and directives applicable to ATO inspections, and
- Qualification as a government civil aviation-licensing inspector.

b) Coordination

This task may require coordination with other departments of the CAAN if operations inspectors, maintenance inspectors or other technical specialties are needed to evaluate specific areas of the inspection.

2) PROCEDURES.

a) Pre-Inspection Activities

i) Determine the need for the inspection.

1) Is the inspection scheduled in the work programme of the CAAN?

2) Is the inspection a request by the director?

3) Is the inspection the result of complaints?

4) Is the inspection part of the ATO certification process?

ii) Determine if the inspection is to be conducted with or without notice to the school.

Conduct initial certification inspections in accordance with the schedule of events submitted by the applicant.

1) If the inspection is to be conducted with notice to the school (as is appropriate for initial certification), notify the school in writing of the day, time, and nature of the inspection.

2) If the inspection is to be conducted without notice to the school, schedule the day and time.

iii) Review the school file maintained by the CAAN:

1) For complaints, previous enforcement history, accident/incident history, previous records inspections and surveillance reports

2) Previous State work programme actions.

3) With the aircraft operations and airworthiness sections for a plan of action and for any specific problem areas.

3) CONDUCT THE ATO INSPECTION.

Determine if the following items are in compliance with the appropriate Civil Aviation Regulations:

a) Certificate and Training Specifications. (Established training organisations)
i) Determine that the ATO name, address, and certificate number and validity date on the training organisation's ATO certificate are consistent with information approved by the CAAN and that the ATO certificate is valid.
ii) Determine that the training organisation is conducting training in accordance with the specific:
1) Authorizations
2) Limitations, and
3) Procedures documented in the currently approved Training Specifications.

b) Personnel
Ensure that the training organisation has the following staff.
i) Accountable Manager. Records on file should identify the accountable manager as named in the training organisation's Quality Manual and any other person within the training organisation having management responsibilities delegated by the accountable manager.

ii) Quality Manager. Records on file should identify the quality manager as named in the training organisation's Quality Manual.

iii) Head of Training. Records on file should identify the head of training and describe the duties, responsibility and authority of the position.

Records on file should document that the head of training meets the requirements relevant to the instruction given, and that the head of training has completed the training programme established by the ATO relevant to human performance knowledge and skills.

iv) Chief Flight Instructor. If the ATO provides flight instruction, the training organisation's records should identify the chief flight instructor and describe the duties, responsibilities and authority of the position. In addition inspectors should insure that training organisation records on file document the chief flight instructor holding an instructor rating or authorisation as relevant to the instruction given. The chief flight instructor's records should show that that person has completed the training programme established by the ATO relevant to human performance knowledge and skills. Training organisation records should also document that the head of training meets the requirements as relevant to the instruction provided.

v) Chief Ground Instructor. If the ATO provides ground instruction, training organisation records should identify the chief ground instructor and describe the duties, responsibilities and authority of the position. Inspectors should check that the chief ground instructor's records show that the person completed the training programme established by the ATO relevant to human performance knowledge and skills. Training organisation records should document the chief ground instructor meeting the requirements relevant to the instruction provided.

vi) Instructors. Training organisation records should contain a list of instructors accepted by the CAAN. The records should document that flight instructors and synthetic flight trainer (SFT) instructors meet the requirements relevant to the instruction given. Instructor records must show that they have completed the training programme established by the ATO relevant to human performance knowledge and skills. Training organisation records should document that ground and flight instructors meet the requirements relevant to the instruction given.

c) Record Keeping

i) An applicant for, or the holder of an ATO certificate shall have a record keeping system capable of maintaining the details of individual student:

1) Names, course enrolled in, certificates/licences held, ratings, authorisations and medical certificate class and expiry date

2) Ground training

3) Flying training

4) Simulated flight training

5) Progress reports

6) Flight tests

7) Ground examinations

8) Instructor assessments.

ii) If an automated record keeping system is proposed by an applicant, the inspector shall verify that the applicant established a backup capability to generate a complete set of records either electronic or nonelectronic.

iii) Records maintained by the ATO should provide documentary evidence of each training action and allow reconstruction of the training history of each student or instructor.

iv) Applicants for or holders of ATO certificates shall maintain a record of each instructor that indicates the instructor's qualifications and compliance with the regulations.

v) Records must not be removed or altered and shall be maintained by the training organisation for a period of one year after the completion of training.

vi) Inspectors shall ensure that established ATOs show compliance with the approved Record Keeping System provisions.

d) Training Programme Approval

i) An applicant for an ATO must have sufficient copies of the CAAN approved training programme at the facility where training is to be conducted and the date of the last revision in each training course shall be consistent with documents on file in the CAAN.

ii) Inspectors shall ensure that established ATOs show compliance with the Approved Training Courses provisions of their Training Specifications.

e) Course Material

i) The contents of the Training Manual at the ATO facility, including the date of the most recent revisions, should be consistent with the course material on file at the CAAN licensing office.

ii) In addition, lesson plans, instructor guides, computer software programmes, audiovisual programmes, workbooks, aircraft operating manuals, and handouts described for each curriculum approved shall be available at the training facility.

f) Instructional Standards

i) Skill Test Standards (STS), developed by the CAAN, should be available at the training organisation's facility for each approved course of instruction referenced in an ATO's Training Manual. They serve as the standard under which acceptable or unacceptable student performance is measured.

ii) When inspecting the instructional standards of an established ATO, the inspectors must ensure the quality of instruction provided by instructors in both ground and flight training segments is effective.

Instructors must create an effective environment for training that is consistent with the instructional standards contained in the training organisation's ATO Training and Procedures Manual. The instructor must be flexible and alert to the individual needs of the students. The following guidelines apply to ground instructors and/or flight instructors. Instructors must follow these criteria where applicable.

1) Ground Instructors:

o Must know the training organisation's training policies and procedures, know how to complete required training forms, and must exhibit satisfactory instructional methods and techniques.

o Must be knowledgeable in the specific area of instruction to which assigned and must be able to present the material in a logical, clear, and organised manner.

o Must be aware of the minimum equipment required for each element of training and must conform to the limitations imposed on the training element(s) by inoperative component(s)

o Should follow the applicable lesson plans, guides or other training aids to ensure that the material is properly presented as designed

2) Flight/SFT Instructors:
o Must be competent in the operation of flight training devices or flight simulators and must be knowledgeable of the training elements that may be accomplished in that level of simulator or training device.

o Should provide a thorough pre-flight briefing on all manoeuvres and procedures that will be accomplished.

o Should provide a thorough post flight debriefing to review each student's performance during a training session.

iii) Testing and Checking. In the inspection of an established training organisation's training programme, the inspector must conduct observations of the elements that involve evaluation and qualification.

These elements include, but are not limited to, the ATO's designated examiner activities, training records, failure rates, and testing and checking standards. The inspector should evaluate the following:

1) Designated Examiner Activities. The inspector should evaluate all elements that relate to designated examiner training and qualification, designated examiner records, and standardization programmes.

2) Training Records. The inspector should evaluate the training organisation's training records for information regarding the overall effectiveness of the ATO's training programmes. The testing and checking results available from training records are an excellent source of information for inspectors to establish positive or negative trends in the ATO's training programme.

iv) Oral and Skill Tests. Inspectors should observe or conduct a number of flight crew licensing evaluations as well as proficiency checks to determine the overall effectiveness of the ATO's training programmes, and testing and/or checking standards. Inspectors should place specific emphasis on flight events, which require repetition or excessive instruction and should evaluate them according to the following criteria:

1) Testing and checking standards must comply with CARs.

2) Testing and checking standards must be consistently applied throughout the ATO by its check airman and instructor personnel.

NOTE: Testing and checking observations provide a direct measure of instructional standards and instructional delivery methods. Inspectors should use the job aid contained in this Directive when observing and evaluating testing or checking in progress.

g) Aircraft Used

i) ATO applicants and established certificate holders shall have an adequate fleet of training aircraft appropriate to the courses of instruction approved

ii) Each training aircraft shall be fitted with dual controls for use by the instructor and the student.

iii) With regard to the ATO applicant or established training organisation's aircraft:
1) The fleet shall include, as appropriate to the courses of training, aeroplane/s suitable for demonstrating stalling and spin avoidance.
2) ATO fleet helicopter/s shall include, as appropriate to the courses of training, helicopter/s suitable for auto-rotation demonstration.
3) ATO fleet aircraft shall be suitably equipped to simulate instrument meteorological conditions and suitably equipped for instrument flight training and testing.

iv) Inspectors shall determine that the number of aircraft used in an established ATO's training programme, their make/s, model/s and serial number/s and their registration numbers are consistent with the information described and/or referenced in the training organisation's currently approved training specifications.

v) Inspectors shall determine that the aircraft proposed for use by an applicant for an ATO are maintained and inspected in accordance with standards of the maintenance of the State of registry.

vi) In the case of the holder of an ATO certificate, inspectors must determine that the aircraft used by the training organisation are equipped, maintained and inspected as specified in the Aircraft Maintenance Requirements and in the Aircraft Inspection Programme requirements of the ATO's Training Specifications.

vii) The maintenance records for aircraft used in an established ATO's training programme shall be maintained in the location specified the training organisation's Training Specifications.

h) Synthetic Flight Trainers

i) An applicant for, or holder of an ATO certificate, providing synthetic flight training, shall satisfy the CAAN that suitably equipped synthetic flight trainers are provided with regard to the number of students and organisation of courses.

ii) An applicant for, or holder of, an ATO certificate shall show that each synthetic flight trainer used for training, testing and checking will be or is specifically qualified and approved by the CAAN for*:*

1) Each manoeuvre and procedure for the make, model and series of aircraft, set of aircraft, or aircraft type simulated, as applicable; and

2) Each training programme or training course in which the synthetic flight trainer is used, if that programme or course is used to satisfy any requirement by the CARs.

iii) CAAN approval of synthetic flight trainers shall be in the form of a letter signed by the approving official. Inspectors shall determine that the approved status of the flight simulators used by an established ATO is current and that the simulators are properly identified in the training organisation's Training Specifications. In addition, inspectors shall determine the training organisation's compliance with the Flight Simulator Maintenance Requirements of the ATO's Training Specifications.

iv) Inspectors shall determine that the approved status of the flight procedures trainers used by an established ATO is current and that the flight procedures trainers are properly identified in the training organisation's Training Specifications. In addition, inspectors shall determine the training organisation's compliance with the Flight Procedures Trainers (FPTs) Maintenance requirements of the ATO's Training Specifications.

i) Aerodromes and Sites

i) Each applicant for, and holder of, an ATO certificate shall show to the inspector that it has continuous use of each aerodrome and site (for helicopter training) at which training flights originate, and that the aerodrome has an adequate runway and the necessary equipment.

ii) The base aerodrome, and any alternative base aerodrome, at which flying training is being conducted shall have at least the following facilities:

1) At least one runway or take-ff area that allows training aircraft to make a normal take-off or landing at the maximum take-off or maximum landing mass authorized and, touch down autorotation as appropriate:

o Under calm wind (not more than four knots) conditions and temperatures equal to the mean high temperature for the hottest month of the year in the operating area;

o Clearing all obstacles in the take-off flight path by at least 50 feet;

o With the power plant operation and the landing gear (if applicable) recommended by the manufacturer; and

o With a smooth transition from lift-off to the best rate of climb speed without exceptional piloting skills or techniques;

iii) Have a wind direction indicator that is visible at ground level from the ends of each runway;

iv) Have adequate runway electrical lighting if used for night training; and \v) Have a traffic direction indicator when:

1) The aerodrome does not have an operating control tower; and
2) Traffic and wind advisories are not available.

vi) Sites shall be available for:
1) Confined area operation training;
2) Simulated engine off autorotation;
3) Sloping ground operation.

vii) Should the ATO conduct training and operations from remote training sites inspectors shall determine that the certificate holder is conducting training and operations in compliance with the training organisation's approved training specifications.

j) Training Facilities

i) The inspector shall ensure that the ATO applicant has continuous use of its facilities. The applicant may show continuous use by having ownership of the required facilities or by having a written agreement with the facility owners. The written agreement should state that the training organisation has continuous use of the necessary facilities for at least six months from the date of initial certification or renewal of the ATO certificate.

ii) Inspectors should check that the address of the principal business office of an established ATO remains consistent with that on the ATO certificate. The business office should be situated so that required school files and student-training records are kept up-to-date and available to students and instructors alike. Each ground training area should be heated, lighted, and ventilated to meet the applicable building code requirements for the area concerned. The courseware used by the training organisation in the ground training areas should be consistent with curriculum requirements.

iii) An applicant for, and holder of an ATO certificate that provides training for Flight Crew Licences and Ratings shall have facilities, as determined by the CAAN to be appropriate for the maximum number of students expected to be taught at any time, as follows:

1) Flight operations facilities:
o An operations room configured for the dispatching of training aircraft
o A flight planning room equipped with a navigation-planning table; access to weather and notice to airmen (NOTAM) information via telephone or computer, appropriate and current navigation charts, aerodrome information and other essential flight planning publications,
o Adequate briefing rooms for students and flight instructors
o Offices for the flight instructors

2) Knowledge instruction facilities:
o Classroom accommodations that provide adequate seating space for students and are free of distractions, which adversely affect instructional delivery (such as excessive temperatures, extraneous noise, poor lighting, cramped classrooms and/or work spaces).
o Suitable demonstration equipment

o A radiotelephony training and testing facility
o A library of pertinent reference materials
o Offices for instructors to prepare their lessons

iv) An applicant for, and holder of an ATO certificate providing training for Aviation Maintenance Technicians shall have facilities, as determined by the CAAN to be appropriate for the maximum number of students expected to be taught at any time, as follows:
1) An enclosed classroom.
2) Suitable facilities arranged to assure proper separation from the working space, for parts, tools, materials and similar articles.

3) Suitable area for application of finishing materials, including paint spraying.

4) Suitable areas equipped with wash tank and degreasing equipment with air pressure or other adequate cleaning equipment.

5) Suitable facilities for running engines.

6) Suitable area with adequate equipment, including benches, tables, and test equipment, to disassemble, service and inspect:
(i) Ignition systems, electrical equipment and appliances;
(ii) Carburettors and fuel systems; and
(iii) Hydraulic and vacuum systems for aircraft, aircraft engines, and their appliances.

7) Suitable space with adequate equipment, including tables, benches, stands and jacks for disassembling, inspecting and rigging aircraft.

8) Suitable space with adequate equipment for disassembling, inspecting, assembling, troubleshooting and timing engines.

v) An applicant for, or holder of an ATO certificate with approved AMT courses shall have and maintain the following instructional equipment as is appropriate to the rating sought:
o Various kinds of airframe structures, airframe systems and components, power plants and power plant system and components (including propellers) of a quantity and type suitable to complete the practical projects required by its approved training program;
o At least one aircraft of a type acceptable to the CAAN Approved Training Organizations

vi) An applicant for, or holder of an ATO certificate with an AMT rating shall have airframes, power plants, propellers, appliances and components thereof, to be used for instruction and from which students will gain practical working experience and shall insure that the airframes, power plants, propellers, appliances and components
thereof be sufficiently diversified as to show the different methods of construction, assembly, inspection and operation when installed in an aircraft for use.

vii) An applicant for an ATO certificate with an AMT rating, or an applicant seeking an additional AMT rating, shall have at least the facilities, equipment and materials appropriate to the rating sought.

viii) An applicant for, or holder of, an ATO certificate with an AMT rating shall maintain, on the premises and under the full control of the ATO, an adequate supply of material, special tools and shop equipment used in constructing and maintaining aircraft as is appropriate to the approved training program of the ATO, in order to assure that each student will be properly instructed.

ix) A certificate holder may not make a substantial change in facilities, equipment or material approved for a particular training programme, unless that change is approved by the CAAN in advance.

k) Training and Procedures Manual

i) Applicants for, or holders of an ATO certificate must maintain a Training Manual and a Procedures Manual containing information and instructions to enable the staff to perform their duties and to give guidance to students on how to comply with course requirements.

ii) The Training Manual and Procedures Manual may be combined.

iii) The ATO shall ensure that the Training Manual and the Procedures Manual is amended, as necessary, to keep the information contained therein up to date.

iv) Inspectors shall determine that the date/s of the most recent revision/s to the training organisation's Training Manual and Procedures Manual are consistent with the most recent revision dates documented in the Training Manual and Procedures Manual on file at the CAAN.

v) Inspectors shall determine that copies of all amendments to the Training Manual and the Procedures Manual have been furnished in a timely manner to all organisations or persons to whom the manual has been issued.

l) Quality System

i) An applicant for, or the holder of an ATO certificate must have a Quality System that is acceptable to the CAAN. The International Civil Aviation Organisation (ICAO) refers to the Quality System in its ATO guidance material as a Quality Assurance System. Regardless, the Quality System or Quality Assurance System is documented by the ATO in its Quality Manual.

ii) CAAN personnel conducting an ATO inspection of an applicant for an ATO certificate should ensure that the revision status of the Quality Manual made available to the inspector is consistent with the Quality Manual accepted by the CAAN during the document evaluation phase of the certification process.

iii) For ATO applicants, the quality system inspection is limited to confirming:
1) The most recent revision date of the Quality Manual
2) That copies of relevant sections the Quality Manual have been furnished to all organisations or persons identified in the manual distribution section.
3) That those responsible for managing the quality system have received training covering:
o An introduction to the concept of the quality system
o Quality management
o Concept of quality assurance
o Quality manuals
o Audit techniques
o Reporting and recording
o The way in which the quality system will function in the ATO

4) That the remainder of the employees have been briefed on the ATO's Quality System.
iv) Quality inspections of ATO certificate holders.
1) One practical approach to conducting quality system Inspections is for inspectors to conduct a focused inspection on portions of an ATO's quality system while conducting other types of scheduled inspections.

2) Those portions of the training organisation's quality system that would be inspected would be identified as focused inspections and included in the annual work program of the CAAN.

3) Inspector personnel may also schedule comprehensive quality system inspections. A team approach, consisting of licensing, operations, airworthiness and other inspector specialties is the most effective strategy for accomplishing comprehensive quality system inspections. Inspectors conducting quality system inspections of ATOs are performing a safety oversight function by monitoring the certificate holder's continued compliance with relevant regulatory requirements. Holders of ATO certificates must continue to satisfy Quality System requirements

4) Regardless of whether the inspector conducts a comprehensive or focused inspection of the training organisations quality system, the following items shall always be inspected:
o Management involvement as documented in its review and analysis of the results of the ATO's quality inspections and audits.
o The effectiveness of the management organisation in achieving stated objectives.
o Preventative and Corrective actions.
o The conclusions and recommendations made by management as a result of the review and analysis.

m) Satellite ATOs
i) Paragraphs A through L above are applicable to satellite ATOs. In addition, the instructors at the satellite ATO must be under the direct supervision of the principal ATO.

ii) The name and address of the satellite ATO and the approved courses offered there must be Consistent with the information in paragraph A008 of the training organisation's Training Specifications.

4) SATISFACTORY ATO INSPECTION

If the ATO inspection is satisfactory, indicate the outcome on the job aid and enter the results in the CAAN SRS.

a) Initial Certification

For an initial certification, ensure that the job aid becomes part of the certification report.

b) Post-Certification

For post certification surveillance, place the job aid in the CAAN file on the school.

5) UNSATISFACTORY ATO INSPECTION.

a) Initial Inspection – Unsatisfactory

If the ATO inspection was unsatisfactory when conducted as part of an initial certification:

i) Inform the applicant immediately of the discrepancies ii) Advise how to correct the deficiencies or discrepancies.

iii) Confirm the findings in *writing* include a suspense date for correction of deficiencies or discrepancies.

iv) Advise the applicant that an ATO certificate cannot be issued until the ATO inspection is satisfactory.

v) Note the outcome on the checklist/job-aid, and ensure that the checklist/job-aid is included in the certification report.

b) Post-Certification – Unsatisfactory

If the ATO inspection was unsatisfactory when conducted as part of postcertification surveillance, note the outcome on the job aid.

i) Place the job aid in the file on the school maintained by the CAAN.

ii) Determine if an enforcement investigation is required. (Have findings been collected that confirm regulatory discrepancies)

6) POST INSPECTION ACTIONS.

Discuss any findings discovered during the inspection with the Quality Manager of the ATO. Bring all areas that need improvement to the Quality Manager's attention and explain the inspection will be followed up with a letter confirming the inspection results. Inform the Quality Manager that he or she may consult with relevant company managers to develop a corrective action plan under the ATO's quality system in advance of receiving the CAAN letter. Inspectors should always compliment the ATO's staff when areas inspected exceed certification or inspection requirements.

7) TASK OUTCOMES.

Completion of this task results in either of the following:

a) Indication of a Satisfactory ATO Inspection
An indication of a satisfactory ATO inspection in the applicant's certification file, or in the case of an established ATO, a satisfactory inspection report placed in the CAAN file on the school.

b) Indication of an Unsatisfactory ATO Inspection
A letter indicating an unsatisfactory inspection and indicating all discrepancies found. This letter will also me made a part of the school file.

8) FUTURE ACTIVITIES.
a) Follow-Up Inspections
Schedule follow-up inspections to confirm corrective actions taken by the ATO under its quality system.

b) Follow-Up Inspection of an Established School
In the case of an established school, consider a possible enforcement investigation on items found not in compliance with relevant civil aviation regulations.

FIGURE 01 - Letter Informing Training Organisation of an ATO Inspection

LETTER INFORMING TRAINING ORGANISATION OF AN ATO INSPECTION
[ATO name and address]

Dear _____:

Inspectors from this office will conduct an inspection of your Approved Training Organisation at [time] on [date]. The purpose of this inspection is to determine whether your school is operating in accordance with applicable civil aviation regulations.

Enclosed is a copy of the inspection job aid for your review. This job aid will be used to assist us in conducting the inspection. If you have any questions, please contact this office at [telephone number].

[Inspector's signature]

Date-

FIGURE 02 - Letter of Transmittal Confirming Results of Inspection

LETTER OF TRANSMITTAL CONFIRMING RESULTS OF INSPECTION
[ATO name and address]

ATTN: Quality Manager]
Dear _____:

The results of the inspection of your ATO conducted on [date] are as follows:

- List all discrepancies and the specific regulatory requirement.
- Note any corrective action that was taken or needs to be taken.,
- Request the Quality Manager submit to the CAAN office a quality action plan for correcting the discrepancies by a specified date.
- Note that a follow-up inspection may be performed.
- Indicate that items not corrected by the date specified in the ATO's quality action plan might result in enforcement action.
- If all discrepancies were resolved by the date of this letter, indicate that enforcement action is not being considered.

……
Licensing Inspector
Flight Safety Standards Department
Civil Aviation Authority of Nepal

Date-