



**Policy and Procedure Manual of CAAN**

# **APPROVED TRAINING ORGANIZATION (ATO) CERTIFICATION MANUAL**

## **PART I - AIR TRAFFIC SERVICES (ATS)**

### **Second Edition: November 2025**

This edition incorporates the standards processes and procedures for the certification and approval of ATS-ATO adopted by Civil Aviation Authority of Nepal.

**Civil Aviation Authority of Nepal**

## AMENDMENTS

Amendments and Corrigenda to this "**Approved Training Organization (ATO) Certification Manual Part 1 – Air Traffic Services**" is regularly issued by Director General of Civil Aviation, Nepal. The space below is provided to keep a record of such amendments.

### RECORD OF AMENDMENTS AND CORRIGENDA

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## FOREWORD

This Policy and procedure Manual of CAAN (Ref No. PPMC 181) has been issued by the Director General, Civil Aviation Authority of Nepal pursuant to Rule 82 of Civil Aviation Regulation, 2058 B.S. (2002 A.D) and rule 82 for its implementation. This Manual has been prepared for the use and guidance to the personnel working in ANS Safety Standards Department (ANSSSD) in performing their duties.

This manual/Procedure brings the harmony and uniformity in the procedures of adoption of or disagreement with ICAO SARPs into the national regulations, requirements and manuals giving the elucidative guidelines to the department personnel. This manual helps to understand the sequential flow of the various work processes including the coordination procedures as well as the interactions with concerned stakeholders that are involved in and as part of the tasks related to document development, amendment. Further, this document helps ANSP in understanding the regulatory requirements for their implementations.

This document enacted first edition in 2014 and other amendments were issued periodically. This second edition after first edition is issued and subsequent amendments thereto are shown in revision history to the manual page, together with a list of the main clauses involved of the content.

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

This manual/procedure do not have the same status as the Standards and Recommended Practices of the CARs but it involves greater than detail the actual procedures than CARs which are adopted by Civil Aviation Authority of Nepal in pursuance of Article 37 of the Chicago Convention to Civil Aviation.

This is a controlled document and subject to periodic review. ANSSSD will maintain this manual as complete, accurate and up-date as possible. Comments and recommendations for revision/amendment action to this publication should be forwarded to the Director of ANSSSD.

.....  
(Er. Pradeep Adhikari)  
Director General  
Civil Aviation Authority of Nepal

## EDITORIAL PRACTICES AND STATUS OF THE ATO CERTIFICATION MANUAL PART 1 -ATS

This procedure manual contains the standards that details the processes and procedures for the certification and approval of ATS-ATO and includes guidance material intended to assist ANS Inspector(s) in carrying out regulatory oversight to ensure ongoing compliance with the requirements along with the approval of ATS training courses.

The following editorial practice has been followed in the writing of specifications: for Standards the operative verb “shall” is used, and for Recommended Practices the operative verb “should” is used. Notes have been printed in light face italics, the status being indicated by the prefix Note.

It is to be noted that the procedures in this manual incorporate the following terms by reference, in such cases, the words are to be understood as indicated by their meanings by the users as far as practicable.

1. **"shall"** indicates the compliance of procedure is mandatory
2. **"should"** means that it is strongly advisable to carrying out the instruction or a procedure which is recommended or discretionary
3. **"may"** means a procedure is optional.
4. **"must"** means a procedure is compulsory.
5. **"will"** means futurity, not a requirement for the application of a procedure.

In order to maintain a comprehensive edition of this Manual, this edition has been consolidated with all previous amendments and issued as second edition.

This document may be amended from time to time or as and when required and the amendments will be reflected with the vertical line on the left side of the text.



## HISTORY OF REVISION TO ATO CERTIFICATION MANUAL

Amendments	Source	Subject	Effective date
First Edition	Personal Licensing (PEL) ICAO ANNEX-1 Chapter1- 1.2.8 and Appendix 2 Manual of the Approval of Training Organization (Doc.9841)	<ol style="list-style-type: none"> <li>1. Air Traffic Services - Approved Training Organization (ATS - ATO) – General</li> <li>2. ATO approval process</li> <li>3. Training and Procedures Manual</li> <li>4. Quality Assurance (QA)</li> <li>5. Facilities And Equipment</li> <li>6. ATO Staffing</li> <li>7. Third-Party Providers (Outsourcing)</li> <li>8. Record-Keeping</li> <li>9. Oversight Exercised by The Authority</li> <li>10. Evaluation and Checking</li> <li>11. Course Completion Certificate</li> <li>12. Appendices</li> </ol> Appendix A Organization Structure of ATS-ATO Appendix B ATO Application Form Appendix C a. Certificate of ATS-ATO b. List of Training Approval Appendix D Training and Procedures Manual Appendix E Criteria For The Use of Simulators in ATS Training Appendix F Quality Assurance System	Sep. 2014
Amd. No 1		APP C1, C2	Sep. 2017
Amd. No 2		Definition, Para 6.10, APP- A1, APP-G	May. 2019
Amd. No 3		Checklist APP H-1	Jan. 2024
Second Edition Amd. No 4	Personal Licensing (PEL), ICAO ANNEX-1, Manual of the Approval of Training Organization (Doc.9841), Training and Procedure Manual (TPM ) and Routine Review	Amended as New Edition (Second Edition) Foreword, few Acronyms and Abbreviations are added, Editorial Practices incorporated, History of Revisions amended.  Chapter 1, Definitions of competency added Chapter 2- 2.1.1, 2.3, 2.4 and 2.5 added Chapter 3- 3.1.1, 3.1.2, 3.2.1, 3.2.2, 3.6.1, 3.7.1, 3.7.2 added and amended partially;	Nov. 2025

		<p>Chapter 4- 4.1.1, 4.1.2, 4.1.3, 4.2.3, 4.3, 4.3.1, 4.3.2, 4.4, 4.4.1, 4.4.2, 4.4.3, 4.4.4, 4.4.5, 4.4.6, 4.5, 4.5.1, 4.5.2, 4.6, 4.6.2, 4.6.3, 4.7, 4.7.1. <i>Note</i> added, 4.7.2, 4.7.3 (partially), added</p> <p>Chapter 5- 5.1.2, partially added</p> <p>Chapter 6 - New Chapter as “Safety Management System (SMS)” added</p> <p>Chapter 10- 10.3 (c) added</p> <p>Chapter 12- 12.1.c, Partially added</p> <p>Appendix C- B. List of Training Approval (Table) amended.</p> <p>Appendix D- 1.4, 1.9 (points m, n, o, p, q, r, s), 1.10, 2, 4, 4.1, 4.2, 4.3, 4.4, 5. a., b., 6. a, b, c, d, e, f, 7. a, b, c, d, e, f, g, h, 8.1, 8.2, 9. a, b, c, 10. 12, 13.</p> <p>Appendix E – Para 2 amended.</p> <p>Appendix G – Partially amended</p> <p>Appendix H – Partially amended</p> <p>Appendix I – Newly Added</p>	Nov. 2025
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## ACRONYMS AND ABBREVIATIONS

The abbreviations and acronyms for reference and used throughout this manual and in functional areas including checklists and other guidance materials are listed below

Abbreviation	Title
AIP	Aeronautical Information Publications
ANS	Air Navigation Services
ANSP	Air Navigation Service Provider
ATO	Approved Training Organization
ATS	Air Traffic Services
ATS-ATO	Air Traffic Services- Approved Training Organization
CAA	Civil Aviation Academy
CAAN	Civil Aviation Authority of Nepal: Indicates Nepal Civil Aviation Authority established under Section 3 of Nepal Civil Aviation Authority Act 1996.
CAR 2058	Civil Aviation Regulations 2058
CARs	Civil Aviation Requirements
DGCA	Director General of Civil Aviation. Indicates the director general appointed under section 19 of Nepal Civil Aviation Authority Act 1996.
ECU	Examination Control Unit
FIR	Flight Information Region.
GoN	Government of Nepal
ICAO	International Civil Aviation Organization
MATS Nepal	Manual of Standards Air Traffic Services, Nepal
MOS	Manual of Standards
MOSC	Manual of Standards of CAAN.
PELR	Personnel Licensing Requirements
PPMC	Policy and Procedure Manual of CAAN (followed by a document reference number)
QDB	Question Data Bank
USOAP	Universal Safety Oversight Audit Programme

## CHAPTER 1.

### DEFINITIONS

#### 1.1 DEFINITIONS AND EXPLANATION OF TERMS

***Accountable – executive.***

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

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

***Aeronautical Information Publication (AIP).***

A publication issued by or with the authority of state and containing aeronautical information of a lasting character essential to air navigation.

***Air traffic.***

All aircraft in flight or operating on the maneuvering 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.

***Alternate means of compliance.***

A pre-approved manner of achieving regularly compliance that has been determined to be an acceptable substitute to the regulatory Requirements.

*Note.1 — An example of alternate means of compliance would be the CAA's acceptance of reduced training time Requirements traditionally prescribed for approved programmes of a more generic nature leading to the same aircraft type-rating.*

*Note.2 — The definition is introduced to ensure that the reader understands the difference between an "alternate means of compliance" (a term used by some States) and an "alternate means of compliance" (a term used by ICAO). The concept of "alternate means of compliance" is not relevant to the guidance provision of the manual*

***Approved training.***

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

***Approved training organization (ATO).***

An organization approved by and operating under the supervision of an Authority in accordance with the Requirements of PELR to perform approved training.

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

***Authority.***

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

*Note:- The term authority refers to the Authority*

***Checking.*** See definition of testing.

***Competency.***

A dimension of human performance that is used to reliably predict successful performance on the job. A competency is manifested and observed through behaviours that mobilize the relevant knowledge, skills and attitudes to carry out activities or tasks under specified conditions.

***Competency- based training and assessment.***

Training and assessment that are characterized by a performance orientation, emphasis on standards of performance and their measurement and the development of training to the specified performance standards.

*Note.— The training process is derived from a job and task analysis and is focused on the achievement of well-defined benchmarked standards of performance as opposed to training programmes simply focused upon the acquisition of prescribed levels of experience.*

***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 Requirement standards of performance have been satisfactorily achieved.

***Head of training.***

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

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

***Instructor.***

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

***Instructional services manager.***

The manager responsible for the day-to-day delivery of training services that consistently meet regulatory Requirements and organizational objectives.

***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.***

The Director General of Civil Aviation Authority of Nepal is the licensing authority responsible for licensing of personnel.

***Maintenance Manager.***

The manager responsible for the day-to-day provision of aircraft maintenance Activities and the continuing airworthiness of all aircraft released for flight operation.

***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 Requirement outcome of the competency element and a description of the criteria used to judge whether the Requirement 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 Requirement standard is being achieved.

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

***Quality manager.***

The manager responsible for the quality monitoring function and for requirements remedial action.

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

***Quality management.***

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

*Note.— This definition is specific to this manual.*

***Quality manual.***

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

***Quality of training.***

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

***Quality system (QS).***

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

*Note.— This definition is specific to this manual.*

***Rating.***

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

***Testing.***

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

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## **CHAPTER 2.**

### **AIR TRAFFIC SERVICES - APPROVED TRAINING ORGANIZATION (ATS - ATO)**

## **2. GENERAL**

### **2.1 CHARACTERISTICS OF AN ATS-ATO**

- 2.1.1 An ATS-ATO is an organization that is approved by CAAN to deliver specific approved training programme to ATS personnel for licensing purposes. As a pre requirements to the approval process this organization will have demonstrated that it is staffed, equipped, financially resourced, and operated in a manner conducive to achieving the requirement standards. Its approved programme may from time to time take advantage of the reduced experience requirements provided for in both Annex1 and the applicable national regulations for certain licenses and ratings.
- 2.1.2 ATS-ATOs are distinguished from non-approved training organizations by the approval process and the ongoing oversight provided by CAAN.

### **2.2 ORGANIZATIONAL STRUCTURE**

- 2.2.1 The design and make-up of its organization structure should ensure that the delivery of training meets the client's needs and expectations while maintaining compliance with the applicable regulatory requirements. Therefore, ATOs need to have a management structure that is designed around best quality management practices.
- 2.2.2 In all cases, ATOs require an accountable - executive who is the final corporate authority on decisions that may impact upon the continued suitability of the organization to deliver training to ATS personnel for licensing purposes. Since the accountable executive may not have a day-to-day awareness of the training activity, that person must rely heavily upon the performance and advice of key personnel within the organization. As a result, the qualifications and competencies of ATO personnel must be maintained to a very high standard.

*Note.— Appendix A provides organizational structures for consideration.*

### **2.3 MANAGEMENT AND STAFFING**

- 2.3.1 The composition of the management team will depend on the organizational needs and the applicable national regulations.
- 2.3.2 Each ATO should have an accountable executive and key managerial personnel. Typical key positions include:

- a. Accountable executive (who may also be head of training)
- b. Head of training
- c. Faculty Chief /Instructional services manager
- d. Instructors
- e. Quality Manager
- f. Facility Repair and maintenance manager
- g. safety manager, if applicable
- h. Evaluators/Examiner

*Note 1.— A maintenance manager is required if the ATO operates devices for which the civil aviation authority of Nepal (CAAN) regulations mandate a maintenance programme (e.g. aircraft, qualified simulation training devices or air traffic control equipment.)*

- 2.3.3 Depending on the size and scope of the ATO and the requirements of the Licensing Authority, some of the key positions may be supplemented by subordinates. Small and less complex ATOs may wish to combine some key positions when it becomes clear that the resulting position's roles and responsibilities would not be adversely affected by such a decision.
- 2.3.4 In all cases, the Licensing Authority should expect the head of training to receive, from the ATO management team, candid and complete information on operational and quality issues. To that end, ATOs should establish separate managerial positions, directly reporting to the accountable executive, for the following areas of responsibility:
- a. training or instructional services
  - b. quality management processes;
- 2.3.5 The ATO shall provide the number of qualified and competent instructors and evaluators appropriate to the size and scope of the intended operations, who hold appropriate licenses, certificates, qualifications and ratings or authorizations as deemed necessary by the Licensing Authority.
- 2.3.6 Instructors and evaluators shall undergo initial training and recurrent training at intervals that the Licensing Authority deems necessary, as well as update training relevant to the most recent technology and training methodologies appropriate to the competencies for which the students are being trained and examined.
- 2.3.7 ATS-ATO shall develop the provision of internal evaluation of training program, instructors, evaluators and management personnel.

## 2.4 REQUIREMENTS

Annex 1 requires that ATOs have all their services authorized under the terms of their approval. The content of each approved training programme, including the courseware and equipment used, needs to be documented. Paragraph 2 of Appendix 2 to Annex 1 details this requirement while describing the content of the Training and Procedures Manual.

## 2.5 EMERGING ISSUES

### 2.5.1 Competency-based training and assessment

2.5.1.1 The cornerstone to a competency-based training programme is a detailed and accurate training needs analysis. It is from that analysis that an adapted competency model is derived, and instructional systems design (ISD) methodologies are applied to develop the training and assessment plans. The end result of this process is an integrated and “outcomes-focused” training programme aimed at providing the graduates with the competencies to be safe, efficient and highly effective in the performance of their duties.

2.5.1.2 Competency-based training demands continuous assessment of trainees against benchmarked performance standards. Additionally, ATOs need to ensure that the development and delivery of their training programmes are captured by their quality assurance programmes. These two fundamentals can sometimes be difficult to achieve when the ATO’s resources are limited. As a result, competency-based training requires significantly well-structured learning management processes to be in place.

2.5.1.3 A learning management system (LMS) is a system designed to fulfil the following training processes:

- a. courseware control;
- b. documentation and record keeping;
- c. student and instructor performance monitoring;
- d. course progression tracking;
- e. standardization of delivery; and
- f. data analysis

2.5.1.4 Effective screening and selection processes for any training programme will go a long way to ensuring a high degree of trainee success. The objective of screening and selection is to determine the candidate’s suitability, capability and motivation. There are many methods to make that determination, but the method chosen must be capable of making the distinction between identified deficiencies that can be corrected through training and those deficiencies that cannot. Interestingly, competency-based training programmes are derived from a detailed job or task analysis from which an ATO can extrapolate the entry-level competencies necessary to ensure a high probability of success

## **CHAPTER 3.**

### **ATO APPROVAL PROCESS**

#### **3.1 OBTAINING APPROVAL**

- 3.1.1 Civil Aviation Regulation 2002 requires that no person or organization shall operate an aviation training organization unless approved by the DGCA CAAN.
- 3.1.2 An ATS ATO shall submit an application to the CAAN for the approval of ATO in accordance with the Appendix B, along with a copy of the proposed ATO's Training and Procedure Manual. The requirements for the contents of this manual are stipulated in Chapter 4 and detailed guidance on this subject is provided in Appendix D.

#### **3.2 REVIEW AND APPROVAL PROCESS**

- 3.2.1 The Civil Aviation Authority of Nepal shall review the application for approval. Once it is assessed as found satisfactory, the CAAN normally conducts a site inspection prior to final approval. Upon successful completion of the process, CAAN issues the approval. This consists of an approval certificate and additional documentation specifying the terms of the approval.
- 3.2.2 CAAN will authorise the ATO to conduct the training courses specified in the approval document.
- 3.2.3 An ATO shall demonstrate its capability to provide ATS training by holding a ATS-ATO approval certificate, issued by the Director General Civil Aviation (DGCA) in accordance with this Manual.
- 3.2.4 An ATO shall offer specific curricula inclusive of quality instructional system and evaluation system including the theoretical and simulative aspects of training acceptable to CAAN and approved by the DGCA.
- 3.2.5 The issuance of an 'approval certificate' to an ATO and the continued validity of the approval shall depend upon the training organization being in compliance with the Requirements prescribed herein.
- 3.2.6 The 'approval certificate' shall contain at least the following:
  - a. organization name and location;
  - b. date of issue and period of validity;
  - c. Terms of approval; and
  - d. List of Training Approval.

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

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

### **3.3 VALIDITY OF CERTIFICATE**

- 3.3.1 The validity of the certificate shall be two years from the date of issue unless
- a. The certificate is surrendered, suspended or revoked;
  - b. The approval is not renewed within 180 days of the expiry
  - c. A major change has been made to the ATO's facilities, upon which the ATO's certificate is based, without the prior approval of CAAN.
  - d. The ownership of the ATO has changed and no application has been submitted to CAAN within the 30 days of change of ownership.

### **3.4 RENEWAL OF CERTIFICATE**

- 3.4.1 An ATO shall demonstrate that it meets all provisions set forth for the issuance of the approval including the personnel, facility, approved training programmes, training records, and recent training ability meeting the prescribed requirements.
- 3.4.2 In order to maintain current instructional skill and teaching proficiency, an ATO shall ensure that it does not remain without students for long periods of time. Preferably, ATO shall prove that it has trained at least one batch of the students in basic stream in the preceding 12 months.
- 3.4.3 For the renewal of the approval certificate, an ATO shall have to be actively involved in the training process.
- 3.4.4 An ATO shall deposit necessary fee for the renewal of certificate in accordance with Rule 86 of CAR 2058.

### **3.5 DISPLAY OF CERTIFICATE**

- 3.5.1 An ATO shall prominently display its 'approval certificate' at its premises.
- 3.5.2 An ATO shall readily make its 'approval certificate' available for scrutiny when requirement suggested by the authorized officials of CAAN.

### **3.6 CHANGES IN THE SCOPE OF THE APPROVAL**

- 3.6.1 Aviation 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 want to provide new training or change a training programme

to take advantage of training equipment or facilities. Whenever ATO requirements change in the scope their approval, it should provide supporting information to the Authority that will assess it using the applicable requirements of PELR part 1, its national requirements and relevant parts of this guidance material. An amendment to the approval document should be issued after a satisfactory assessment.

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

### **3.7 CONTINUED SURVEILLANCE AFTER THE APPROVAL**

- 3.7.1 After receiving an approval, the ATO will be subjected to continued surveillance by CAAN to ensure that the ATO is operating within the terms of its approval and as described in its Training and Procedures Manual.
- 3.7.2 Guidance on the continued surveillance to be conducted by CAAN is provided in Chapter 11.

## **CHAPTER 4.**

### **TRAINING AND PROCEDURES MANUAL**

#### **4.1 INTRODUCTION**

- 4.1.1 The Training and Procedures Manual describes the training programmes being offered and the way in which the training organization conducts its activities. It is an essential document for the training organization because it provides the management and line personnel with clear guidance on the policy of the training organization as well as the procedures and processes which are used to provide training. It is also an essential document for the Authority. During the approval process, it allows the Authority to assess whether the way in which a training organization is planning to operate is in line with existing requirements and accepted practices. Once the training organization is approved, a large part of the surveillance activities of CAAN is to ensure that the ATO is following the Training and Procedures Manual.
- 4.1.2 It is important that the contents of the Training and Procedures Manual be consistent with other operational documents, regulations and manufacturer's requirements. The manual should also be user-friendly. It is also necessary to ensure that the manual is used consistently across all departments within the ATO. This can be achieved through an integrated approach that recognizes operational documents as a complete system.
- 4.1.3 This chapter explains how the Training and Procedures Manual should be developed, implemented and managed.

#### **4.2 CONTENT**

- 4.2.1 The content of the Training and Procedures Manual is spelled out in general terms in PELR part 1.
- 4.2.2 Appendix D to this manual provides a more detailed breakdown of the content of the manual.
- 4.2.3 Depending on the size, complexity and scope of the training provided by the ATO, some of the elements contained in the list can be reduced, combined or expanded.

#### **4.3 ORGANISATION**

- 4.3.1 The Training and Procedures Manual (TPM) should be organized according to criteria relating to the information, its importance and use. The information should be structured and sequenced so that operational personnel can access it easily. This principle will help to determine whether to issue the manual as a single document or in separate parts.
- 4.3.2 The manual should describe accurately the ATO's philosophies, policies, processes and procedures.

#### **4.4 STRUCTURE**

- 4.4.1 The structure of the manual should be easy to understand, appropriate for the information and clearly identified through headings and other formatting devices. An explanation of the organizational elements such as the headings, numbering scheme, main parts of the document and other sources of coding or groupings should be provided at the beginning of the manual.
- 4.4.2 Precise language should be used wherever possible. Terms for common items and actions should be consistent throughout the manual and must be clear and easily understood.
- 4.4.3 Writing style, terminology, formatting and use of graphics and symbols should be consistent throughout the document, including the location of specific types of information and use of units of measurement and codes.
- 4.4.4 The manual should contain a glossary of definitions and significant terms including a list of acronyms and/or abbreviations. The glossary should be updated on a regular basis to ensure access to the most recent terminology.
- 4.4.5 For ease of amendment and distribution, an appropriate revision process should be defined and established when designing the manual.
- 4.4.6 The Training and Procedures Manual should comply with the requirements of the ATO's quality assurance Practices.

#### **4.5 VALIDATION**

- 4.5.1 The Training and Procedures Manual should be reviewed and tested under realistic conditions before its operational release. 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 ATO should be included in the validation process.
- 4.5.2 A final review of the manual should ensure that all required topics have been addressed with an appropriate level of detail for users. The final review should also confirm compliance with safety regulations, manufacturers' recommendations and the ATO's philosophy, policies, procedures and process.

#### **4.6 DEPLOYMENT AND FEEDBACK**

- 4.6.1 The training organization shall monitor the use of the Training and Procedures Manual after its release and make readily available to all relevant personnel.
- 4.6.2 The ATO shall maintain and update as necessary the Training and Procedures Manual after its initial release. This will ensure appropriate and realistic use of the manual, based on the current operational environment, in a way that is operationally relevant and appropriate for the users for whom it is intended.
- 4.6.3 In order to gather information for updates of the manual, a formal feedback system should be established to obtain input from principal users and others who would be affected by a new or revised policy, procedure or process.



## 4.7 AMENDMENT

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

*Note.— Manufacturers provide information on the operation, handling and maintenance of specific equipment, which emphasizes the equipment and procedures under conditions that may not fully match the requirements of the training organization. ATOs should ensure that such information meets their specific needs and those of the CAAN.*

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

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

- 4.7.3 The Training and Procedures Manual should be reviewed in association with other operational documents that form the organization's document control system:

- a. on a regular basis (at least once a year);
- b. after major events such as mergers, acquisitions, rapid growth;
- c. after technology changes, e.g. the introduction of new equipment; and
- d. after changes to safety regulations;
- e. after changes to key operational personnel (e.g. Head of Training Academy); and
- f. after changes to the scope of training provided.

- 4.7.4 Permanent changes to the Training and Procedures Manual should be communicated through a formal amendment process. The manual should be amended or revised as necessary to ensure that the information contained is kept up to date.

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

## **CHAPTER 5.**

### **QUALITY ASSURANCE (QA)**

#### **5.1 OBJECTIVE**

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

5.1.2 Quality is an outcome of a number of processes:

- a. establishing standards;
- b. planning activities and documenting procedures to support such activities and standards;
- c. training the personnel involved before implementing the documented procedures; and
- d. measuring the outcomes of the activities to ensure that they meet the standards and expected results;

If any non-conformities are found, corrective actions are taken to improve processes and procedure. It is to be emphasized that, to be truly effective in delivering the very best possible products and services, ATOs need to implement proactive as well as reactive processes. Appendix F describes proactive processes and provides guidance on how to institutionalize a quality system that incorporates QA and assists ATOs in reaching their full potential.

5.1.3 The instructions and information contained in the following paragraphs provide guidance on the QA that an ATO shall establish in accordance with PELR part 1.

#### **5.2 ELEMENTS**

The following QA elements should be clearly identifiable in the Training and Procedures Manual:

- a. The organization's training policy (for clients as well as for its own personnel);
- b. Training standards;
- c. Allocation of responsibility;
- d. Resources, organization and operational processes;
- e. Procedures to ensure conformity of training with the policy;
- f. Procedures for identifying deviations from policy and standards and taking corrective action; and
- g. The evaluation and analysis of experiences and trends concerning policy and training standards, in order to provide feedback into the system for the continual improvement of the quality of training.

#### **5.3 QA AND THE QUALITY SYSTEM OF THE ATO**

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

## CHAPTER 6

### SAFETY MANAGEMENT SYSTEM (SMS)

#### 6.1 OBJECTIVE

- 6.1.1 Annex 19 — Safety Management states that an ATO in accordance with Annex 1 that is exposed to safety risks during the provision of its services is required to implement a safety management system (SMS) acceptable to the CAAN. It is important for the Licensing Authority and ATOs to realize and understand the applicability of SMS for ATO the requirement to adopt SMS practices is intended to be restricted to only those training entities whose activities directly impact upon the safe operation of aircraft.
- 6.1.2 For example, ATO involved in air traffic controller student training would be required to institute an SMS programme. In the case of air traffic controller student training, the SMS requirement may be satisfied if an air navigation service provider's SMS specifically covers the training activity.
- 6.1.3 SMS is a management system consisting of documented policies, processes and procedures designed to manage safety risks, which integrates operations and technical systems with the management of financial and human resources to ensure aviation safety and the safety of the public.
- 6.1.4 SMS and quality systems (QS) (if a QS is implemented beyond the Annex 1 requirement for quality assurance (QA)) are complementary. Therefore, it may be suitable for the two systems to be integrated under a single “safety and quality” function if deemed appropriate by the ATO.

**6.2 FRAMEWORK AND REQUIRED ELEMENTS:** The framework and required elements for the implementation and maintenance of SMS are contained in Appendix 2 to Annex 19. Guidance on SMS is contained in the Safety Management Manual (Doc 9859).

#### 6.3 THE SAFETY MANAGEMENT SYSTEM OF THE ATO

##### 6.3.1 Safety policy

- 6.3.1.1 Annex 19 requires all ATOs in accordance with Annex 1 that engage in activity which directly impacts the safe operation of aircraft to operate within an SMS. Doc 9859 provides detailed guidance on the history of aviation safety, why SMS is so important in the industry's collective effort to reduce safety occurrences, and how to design and maintain an effective SMS.
- 6.3.1.2 Safety is defined as the state in which the possibility of harm to persons or of property damage is reduced to, and maintained at or below, an acceptable level through a continuing process of hazard identification and safety risk management. The purpose of an SMS is to provide the ATO with effective policies, processes and procedures that permit it to achieve and maintain safe operations.

6.3.1.3 The way an ATO operates is affected primarily by the decisions and actions of its management. The style of management and the approach that is taken in dealing with operational issues will profoundly influence the employees' beliefs and behaviours, and even their values. Therefore, it is essential that the ATO's senior management take an active and genuine interest in the development and maintenance of the ATO's SMS. That enthusiasm and commitment must be repeatedly conveyed to all employees through the words and actions of every single member of the management team.

6.3.1.4 The ATO's safety policy needs to be developed, documented and signed off by the accountable executive. It should be communicated and made clear to all employees. The policy is required to state the management's commitment to safety, all employee responsibilities and safety accountabilities with respect to the SMS, and to identify the key safety personnel. The policy should also reflect management's resolve to foster a robust safety reporting culture and should identify those conditions under which employees will not be subjected to punishment or retribution. The development of an SMS policy is detailed in the Doc 9859.

### 6.3.2 **Safety manager**

6.3.2.1 Appendix 2 to Annex 19 requires ATOs that operate within an SMS, appoint an individual to fulfil the duties of safety manager responsible for the implementation and maintenance of the SMS. The scope of the safety manager's duties should include safety planning, safety programme implementation and the operation of the SMS.

6.3.2.2 The safety manager, like the quality manager, should report directly to the accountable executive.

### 6.3.3 **Safety management system**

6.3.3.1 SMS is a systems-based approach for organizations to effectively manage risk. The scope of an ATO's SMS needs to be directly commensurate with the ATO's size and the complexity of its operations.

6.3.3.2 Appendix 2 to Annex 19 outlines the framework of an SMS and describes the necessary components and elements of such a system.

6.3.3.3 Doc 9859 details the design and strategies for a phased-in implementation of SMS

## **CHAPTER 7.**

### **FACILITIES AND EQUIPMENT**

#### **7.1 FACILITIES**

An ATO should have access to facilities appropriate to the size and scope of the intended operations provided in an environment conducive to learning. These facilities should include:

- a. general areas which consist of sufficient:
  - i. office space for ATO managerial, administrative and training staff;
  - ii. study and examination rooms and reference/library facilities; and
  - iii. storage areas, including secure areas for training and personnel records;
- b. classroom areas which are suitably equipped to effectively deliver the theoretical elements of the training programme in accordance with the Training and Procedures Manual; and
- c. practical training areas which are designed and equipped to ensure the attainment of end- state competencies;  
These facilities should include:
  - i. operations, planning and briefing rooms;
  - ii. simulation and procedure trainer areas;
  - iii. parts, tools and material storage areas;

#### **7.2 TRAINING COURSEWARE AND EQUIPMENT**

An ATO shall ensure that all courseware and equipment requirement by the training programme, as specified in the Training and Procedures Manual, are available and in good working order. Changes to these working conditions and any temporary “work-around” solutions should be discussed with CAAN prior to continuing with the scheduled training.

#### **7.3 APPROVAL OF TRAINING DEVICES**

- 7.3.1 An ATO shall make available the training device that is intended for training, testing or checking in an approved training programme to the applicable Authority, prior to initial use for determination of its suitability.
- 7.3.2 An ATO shall implement at least the following for all training devices:
  - a. A routine maintenance programme to ensure that the training devices continue to function properly and, when applicable, continue to accurately replicate any component, system or equipment for which training, checking or testing credits are being sought; and

- b. a record-keeping process for each training device to be established and maintained, which accurately records the device's use and lists any discrepancies with respect to its functionality or intended performance characteristics that may impact training.
- 7.3.3 An ATO shall establish criteria on the basis of guidelines provided in Appendix E for the determination of the suitability of a simulation training device for approved training programme.

## **CHAPTER 8.**

### **ATO STAFFING**

#### **8.1 ATO STAFFING**

- 8.1.1 An ATO shall have accountable - executive and key managerial personnel. Typical key positions include:
- a. accountable executive;
  - b. head of training;
  - c. chief instructor/Faculty head;
  - d. instructors;
  - e. faculty repair and maintenance manager,
  - f. safety manager, if applicable;
  - g. quality manager
  - h. evaluators/examiners
- 8.1.2 Accountable Executive may the head of training but shall not be a Quality Manager.
- 8.1.3 An ATO shall obtain the approval for the appointment of Accountable- Executive/Head of Training, Instructional Service Manager and Quality Manager from CAAN.
- 8.1.4 Depending on the size and scope of the organization and the requirements of CAAN, some of the key positions may be supplemented by subordinates as illustrated in the organizational charts in Appendix A. Small and less complex ATOs may wish to combine some key positions when it becomes clear that the resulting position's roles and responsibilities would not be adversely affected by such a decision.
- 8.1.5 An ATO shall have the number of qualified and competent instructors and evaluators, who hold appropriate licenses or certificates, qualifications and / or authorizations as deemed necessary by CAAN.
- 8.1.6 Instructors and evaluators shall undergo initial training and recurrent training at intervals of 2 years, as well as update training relevant to the most recent technology and training methodologies appropriate to the competencies for which the students are being trained and examined.
- 8.1.7 An ATO shall ensure that sufficient trained and competent personnel are available for the continued effectiveness of its quality system.

**8.2 QUALIFICATION OF ACCOUNTABLE EXECUTIVE/ HEAD OF TRAINING**

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

**8.3 QUALIFICATION OF INSTRUCTIONAL SERVICES MANAGER OR CHIEF INSTRUCTOR**

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

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

**8.4 QUALIFICATION OF INSTRUCTOR(S)**

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

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

**8.5 REQUIREMENT OF MINIMUM NUMBERS OF INSTRUCTORS**

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

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



## **CHAPTER 9.**

### **THIRD-PARTY PROVIDERS (OUTSOURCING)**

#### **9.1 COURSE WARE**

Whether or not an ATO engages outside assistance in designing and providing courseware, the Licensing Authority needs to hold the ATO accountable for the quality and suitability of its courseware. The work being performed by the third-party provider shall therefore be subjected to the QA practices that the ATO shall apply to its own work.

#### **9.2 PERSONNEL**

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

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## CHAPTER 10.

### RECORD-KEEPING

- 10.1 An ATO shall maintain accurate and complete detailed training records to indicate that all requirements of the training course have been met as approved by CAAN
- 10.2 An ATO shall maintain a Training records in the record-keeping system, to ensure the qualifications of training instructors, evaluators, training personnel and trainees are monitored and current.
- 10.3 The record-keeping system of an ATO should have the following characteristics:
- a. **Completeness:** The records kept by the training organization should be sufficient to provide documentary evidence of each training action and allow the reconstruction of the training history of each student or instructor in the organization.
  - b. **Integrity:** It is important to maintain the integrity of records, ensuring that they are not removed or altered. A backup of the records is also necessary to ensure continuity in case of a major disaster.
  - c. **Accessibility:** Records of both instructional personnel and trainees should be readily accessible.
- 10.4 Students' training records shall be retained for a minimum period of two years after the completion of the training.
- 10.5 Official notices, technical circulars and literature and other requirements shall be circulated by the training organization to the instructors, as soon as practicable after receipt. All superseded publications shall be withdrawn by the organization.
- 10.6 The respective Instructional Service Manager or Chief Instructor shall ensure that the following records are maintained:
- a. The names and addresses of all students attending CAAN approved training course;
  - b. Progress records in respect of all students attending CAAN approved training course;
  - c. The commencement and conclusion dates of all training courses, and copies of each approved syllabus; and
  - d. Examination results for all training courses given;
- 10.7 Examination question papers and student response sheets shall be retained for a period of not less than 5 (five) years following completion of the training course.

## **CHAPTER 11. OVERSIGHT**

### **11.1 OVERSIGHT EXERCISED BY THE AUTHORITY**

- 11.1.1 Oversight is the responsibility of CAAN. It consists of the approval process of an ATO and the continued surveillance of the ATO's training delivery after approval. The purpose of the surveillance activities is to ensure that the ATO is operating within the terms of its approval and as described in the training and procedure manual. It includes a review of the ATO's QA system, its administrative, technical and training records, as well as its operational activities. Surveillance is an ongoing function that may also include consideration of records held by CAAN, for example, examination results, in addition to on-site inspections (scheduled and random), audits and other surveillance activities.
- 11.1.2 The main elements of the ATO activities that are subject to the CAAN's oversight include, as applicable, the following:
- a. staff adequacy in terms of number and qualifications;
  - b. validity of instructors' certificates, and authorizations;
  - c. logbooks;
  - d. appropriate and adequate facilities for the training and for the number of students;
  - e. documentation process (e.g. the review and update of the Training and Procedures Manual), with particular emphasis on course documentation, including records of system updates, training/operations manuals, etc.;
  - f. training delivery in the classroom and in simulation devices and, if applicable, on the-job training, including briefing and de-briefing;
  - g. instructor training;
  - h. QA practices;
  - i. SMS functionality;
  - j. evaluation and checking;
  - k. training, examination and assessment records;
  - l. documents and maintenance records;
  - m. Training device qualification and approval;
  - n. equipment serviceability;

### **11.2 AUTHORITY OF INSPECTOR**

- a. The inspector prescribed pursuant to Sub-rule (2) of Civil Aviation Regulation 2002 has the authority to enter into the premises of ATO and its facility for inspection, enquiry to the concerned person and entity, written or oral statement, scrutiny or seizure of documents, collection of evidences, etc.
- b. During the inspection if it is deemed that the facilities, equipment's qualification and competency of the instructional personnel does not meet Requirements as prescribed in this manual, the inspector shall recommend authority for the withdrawal or revocation or suspension of ATO Certificate or prevent from exercising the privilege of such certificate

### **11.3 DURATION**

Audit shall be carried out at least once a year in accordance with the checklist provided in Appendix-H and random inspection as and when required in accordance with the checklist provided in Appendix-I.

## **CHAPTER 12.**

### **EVALUATION AND CHECKING**

#### **12.1 EVALUATION AND CHECKING**

An ATO shall have an approved Examination Conduction Procedure with detailed description of process for the conduction of trainings conducted within ATS-ATO.

- a. An ATO shall avoid situations where the persons giving the instruction are also responsible for examining the student on completion of the instruction.
- b. Evaluation function for the purpose of a license or rating shall be carried out by the evaluator who is independent from the Examination Control Unit and instructional services unit.
- c. At the discretion of the Licensing Authority, ATO shall designate evaluators to conduct the tests or checks in accordance with criteria approved by the authority. Such an agreement should be considered only when the ATO can demonstrate that it is capable of consistent compliance with the standards prescribed by the Licensing Authority.
- d. Where the CAAN has authorized an ATO to conduct the testing requirement for the issuance of a License or Rating, the testing shall be conducted by the personnel authorized by the authority. No further authorization to the third party will be acceptable without the approval of CAAN.
- e. Unusually high failure rate of an ATO on technical examinations conducted by authority shall reflect poor performance of the organization. Frequent and similar lapses could result in the withdrawal, suspension or revocation of the approval by the authority.

#### **12.2 TESTING OR EXAMINATION PROCESS**

12.2.1 An ATO shall establish a Testing or Examination Process to check the progress of each student and to demonstrate that the student has achieved a satisfactory level of knowledge and skill. This system shall be managed and monitored in accordance with Training and Procedures Manual approved by CAAN.

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

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

12.2.3 Examination of Practical component shall be conducted in simulator by the ATO under supervision of CAAN.

- 12.2.4 The final examination is to be conducted by the ATO and the entire examination shall be supervised by CAAN officials.

### **12.3 PREPARATION OF EXAMINATION PAPERS**

An ATO shall establish an Examination Control Unit (ECU). The ECU shall conduct the examinations as per the requirements mentioned in ECP.

### **12.4 QUESTION DATABANK**

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

### **12.5 EVALUATORS AND EXAMINERS**

- 12.5.1 The qualification of evaluator and examiners shall have at least the following qualifications and experience:
- a. Minimum Bachelor's Degree passed;
  - b. Minimum ten years of experience in the related field;
  - c. Have skill of training delivery system;
  - d. Have worked as a specialist of the discipline;
  - e. Participated in a course on instructional technique.

### **12.6 ENGLISH LANGUAGE PROFICIENCY**

- 12.6.1 An ATO shall conduct an English Language training in order to achieve at least Level 4 in ICAO English Language Proficiency Test in accordance with PELR part 5 by the trainees.
- 12.6.2 An ATO shall include in its ATS Training Course the syllabus of Aviation English so as to enhance the English Language Proficiency of trainees to meet English Language Proficiency Requirements in accordance with PELR Part-5.
- 12.6.3 Checking evaluation of Aviation English Language Proficiency of the course so included shall be conducted by authorized panel if Testers/Raters for Aviation English Language Proficiency Test (ALPT) establishing Authority.

### **12.7 FEE SCHEDULE**

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

## **CHAPTER 13.**

### **COURSE COMPLETION CERTIFICATE**

#### **13.1 COURSE COMPLETION CERTIFICATE**

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

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

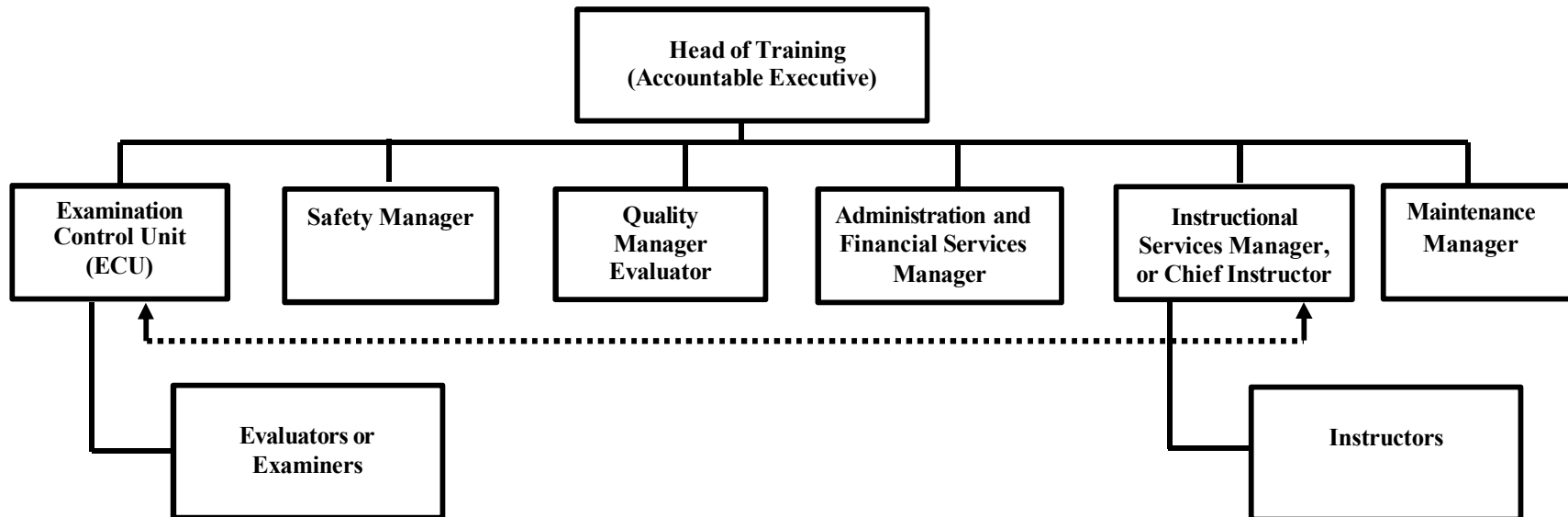
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## APPENDIX A

### ORGANIZATIONAL STRUCTURE OF THE ATS ATO

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

#### EXAMPLE OF A VERY SMALL GENERIC TRAINING ORGANIZATION



## APPENDIX B.

## ATS APPROVED TRAINING ORGANISATION APPLICATION FORM

	<p align="center"><b>APPLICATION FORM</b>  <b>APPLICATION FOR APPROVAL AS AN ATS APPROVED TRAINING ORGANISATION</b></p>
<p align="right">(Please tick ✓ as appropriate) <input type="checkbox"/> Initial Issue <input type="checkbox"/> Renewal</p>	
<p><b>Basic information:</b></p>	
<p><b>1. Name of Organisation:</b></p>	
<p><b>2. Full Address:</b> (Metropolis/Municipality)          (Ward No./Street Name):          (District/Province)          (Country)          (Website):          (Telephone/Fax Number)</p>	
<p><b>3. Accountable Executive:</b></p>	
<p>Full Name          E-mail          Tel.          Fax</p>	
<p><b>4. Faculties and Facilities</b></p>	
<p><b>4.1 Faculties</b></p>	
<p>a. b. c.</p>	
<p><b>4.2 Facilities and equipment</b></p>	
<p>a. b. c.</p>	
<p><b>5. Particulars of training course leading to an ATS license (if insufficient space, please attach a separate list):</b></p>	
<p>a. b. c.</p>	
<p><b>6. Other course applied for</b></p>	
<p>a. b. c.</p>	
<p><b>7. Submission Instructions</b></p>	
<p>This form is to be completed and submitted with the Training and Procedures Manual of the applicant ATO. The completed form and manual should be forwarded to the following address:</p>	



Director General  
CAAN HO  
Sinamangal  
Kathmandu  
Nepal

## **8. Others**

### **8.1 Number of staff:**

(Involved in the activities under the Type of Training)

### **8.2 List of Documentation to be provided with the application**

- a. Organization Exposition including company flow-chart and Course Design Document and, as relevant, description and information on organization activities.
- b. Training Plan
- c. A copy of the National Companies register / Certificate of Incorporation / Quality Management or Assurance Certificate, etc.

Enquiries regarding approval of ATS Approved Training Organization should be sent to the above address.

## **9. Declaration**

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

Name & Designation of Applicant Signature & Date

**APPENDIX C.****A. CERTIFICATE OF ATS APPROVED TRAINING ORGANIZATION****Civil Aviation Authority of Nepal****CERTIFICATE FOR AIR TRAFFIC SERVICES APPROVED TRAINING ORGANISATION**

Certificate Number:

Reference:

Pursuant to PELR Part 1 and subject to the conditions specified below, the Civil Aviation Authority of Nepal hereby certifies:

*[Training Organization's Name]*

*[Address of the Training Organization]*

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

**Terms of approval and privileges**

- a. This certificate is limited to the privileges and the scope of providing training as listed in the attached training approval.
- b. This certificate is valid whilst the certified organization remains in compliance with PELR Part 1, Part 10 and other applicable regulations.
- c. Subject to compliance with the foregoing terms of approval and privileges, this certificate shall remain valid unless the certificate has been surrendered, superseded, limited, suspended or revoked.

Date of issue:

Period of Validity:

Signature:

Director General  
Civil Aviation Authority of Nepal

## B. LIST OF TRAINING APPROVAL

[CERTIFICATE NUMBER/REFERENCE]

[NAME OF THE TRAINING ORGANISATION]

Has obtained the privileges to provide and conduct the following training in accordance with PELR Part 1 and Part 10.

S.N.	Type of training	✓	Course	Remarks
1	ATS Training		Basic ATS Course	
			ATS Refresher Course	
			Aerodrome Control Refresher Course (ADCR)	
			ATC Licensing, Aerodrome Control and AFIS Course (AAA)	
			Approach and Area Control Course (AAC)	
			AFIS Refresher Course	
			Search and Rescue Course (SARC)	
			AIS Orientation Course (AISOC)	
2	ATC Surveillance		Approach and Area (En-route) Control Radar Surveillance Course	

This training course approval is valid as long as:

- (a) The ATS- ATO certificate has not been surrendered, superseded, limited, suspended or revoked; and
- (b) All operations are conducted in compliance with PELR Part 1 and Part 10, other applicable regulations and when relevant with the procedures in the organization's documentation as required by PELR.

Date of issue:

Signature:

## **APPENDIX D**

### **TRAINING AND PROCEDURES MANUAL**

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

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

#### **1. GENERAL**

- 1.1. Preamble relating to 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. amendment record page;
  - c. distribution list; and
  - d. list of effective pages;
- 1.4. Glossary of significant terms and definitions, including a list of acronyms and/or abbreviations
- 1.5. Description of the structure and layout of the manual, including:
  - a. The various parts, sections, 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 (CHART OF THE ATO's MANAGEMENT ORGANIZATION)
- 1.8. Qualifications, responsibilities and succession of command of management and key operational personnel, including but not limited to:
  - a. accountable manager;
  - b. head of training;
  - c. chief instructor/faculty head
  - d. instructors
  - e. Evaluator/Examiner
  - f. Quality manager;
  - g. Safety Manager; and
  - h. Facility repair and maintenance manager

**1.9. POLICIES DEALING WITH:**

- a. policy regarding approval of training for ATS and others as applied
- b. responsibilities of the training managers/faculties
- c. Training planning procedures — general;
- d. policy regarding instructor selection;
- e. methods of course development and delivery
- f. Trainee selection/recruitment procedures
- g. Applicable hazards, accidents and incidents reporting and safety management systems;
- h. Instructor development
- i. Standardization of training, instructors and course development
- j. Validation of training package
- k. In-house training and instructional expertise development and socialization
- l. Restrictions on training periods
- m. the ATO's objectives, including ethics and values;
- n. the selection of ATO personnel and the maintenance of their qualifications;
- o. the training programme design and development, including the need for programme validation and review in accordance with Chapter 4, 4.5 and 4.7 of this manual, as well as the outsourcing of training programme development to third-party providers in accordance with Chapter 9. of this manual;
- p. the evaluation, selection and maintenance of training material and devices;
- q. the maintenance of the training facilities and equipment;
- r. the development and maintenance of a quality system (QS) governance model (see Appendix F); and
- s. the development and maintenance of a culture focused on safety in the workplace, including, when applicable, implementation of a safety management system (SMS) governance model (see Chapter – 6);

**1.10. FACILITIES****Description of the facilities and equipment available, including**

- a. the number and size of classrooms; including installed equipment;
- b. general -use facilities, including offices, stores and archives, and library or reference areas;
- c. Type and number of training devices, including their location if other than at the main training site.
- d. Simulation training devices and training positions
- e. ICT integration for instructional delivery.

**2. STAFF TRAINING**

- 2.1. Identification of persons or positions responsible for the maintenance of the standards and performance criteria of the training, and for ensuring the competency of personnel.
- 2.2. Details of the procedures to validate the qualifications and determine competency of instructional personnel as required by Paragraph 6.3 of Appendix -2 to Annex -1.
- 2.3. Details of the training program for all instructional personnel as required by Paragraph 6.4 of Appendix -2 to Annex -1.
- 2.4. Procedures for proficiency checks and upgrade training.

**3. TRAINING PLAN**

- 3.1. 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.
- 3.2. Pre-entry requirements, including:
  - a. minimum age;
  - b. education requirements;
  - c. medical requirements; and
  - d. Language proficiency requirements.

**4. TRAINING CURRICULA**

Training curricula, including

- 4.1. ATS curriculum - class room and simulator
  - a. Theoretical training (knowledge)
  - b. Practical training (skills)
- 4.2. Training in the domain of human factor
- 4.3. Assessment and examinations;
- 4.4. Monitoring of the training process, including assessment and examination activities;

## **5. TRAINING POLICY**

Training policies in terms of:

- a. restrictions regarding the duration of training periods for students and instructors; and
- b. if applicable, minimum rest periods

## **6. EVALUATION POLICY**

**Procedures for the conduct of student evaluation, including for:**

- a. conditions to be met before tests;
- b. procedures for remediation training before retest and for re-writing knowledge tests;
- c. test reports and records;
- d. skill progress checks and skill tests;
- e. knowledge progress tests and knowledge tests, including knowledge test preparation, types of questions and assessments, and standards required for a pass; and
- f. question analysis and review and issuing of replacement exams (applicable to knowledge tests);

## **7. TRAINING EFFECTIVENESS POLICY**

**Policy and procedures regarding training effectiveness, including for:**

- a. coordination between training services;
- b. requirements for reporting and documentation;
- c. internal feedback for detecting training deficiencies;
- d. interim performance or competency standards at various stages of training to ensure standardization;
- e. individual student duties;
- f. correcting unsatisfactory progress;
- g. changing instructors; and
- h. suspending a student from training;

## **8. SYLLABI FOR NON-COMPETENCY-BASED TRAINING PROGRAMMES**

### **8.1 Practical training syllabus**

- a. A statement of the phases of the course and how the phases will be arranged to ensure completion in the most suitable learning sequence, and that exercises will be repeated at the appropriate frequency.
- b. The syllabus hours for each phase and for groups of lessons within each phase, and when progress tests are to be conducted.

- c. A statement of the interim competency standards required before progressing from one phase to the next to include minimum experience requirements and satisfactory exercise demonstration.
- d. Requirements for instructional methods, particularly with respect to adherence to syllabi and training specifications.
- e. Instruction for the conduct and documentation of all progress checks.
- f. Instruction, where applicable, given to all examining staff regarding the conduct of examinations and tests.

## **8.2 Theoretical knowledge syllabus**

The syllabus for theoretical knowledge instruction should be structured generally as outlined in this section but with a training specification and objective for each subject

## **9 SYLLABUS FOR COMPETENCY-BASED TRAINING PROGRAMMES.**

Ideally, training programmes should be competency-based as per requirements of ICAO Doc. 10056.

- a. Competency-based training programmes are based upon a training needs analysis to define the competencies required to perform a job, an activity 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 competencies and the underlying knowledge, skills and attitudes related to the task in a holistic way. At the end of the course, trainees must demonstrate that they have acquired the competencies necessary to perform a task and met the performance criteria identified for the job.
- b. As a result, the syllabus is structured as a single document that is organized around milestones and subdivided into modules containing a training objective and the same information as in 8.1, but applied to both the theoretical knowledge and practical training delivered by the module.

## **10 TESTS AND CHECKS**

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

10.2 When CAAN has authorized an approved training organization to conduct the testing requirements for the issuance of a Licence or rating in accordance with the Training and Procedures Manual, it should include:

- a. name of the personnel with testing authority and scope of the authority;



- b. role and duties of the authorized personnel; and
- c. applicable requirements established by CAAN such as:
  - i. procedures to be followed to conduct checks and tests; and
  - ii. Methods for completion and retention of testing records as per requirement of CAAN

## **11 RECORDS**

### **Procedures regarding:**

- a. attendance records;
- b. student training records;
- c. staff training and qualification records;
- d. person 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;

## **12 QUALITY ASSURANCE SYSTEM**

Provide a brief description of the quality assurance system, as required by Paragraph 4 of Appendix -2 to Annex -1 with reference to a separate quality assurance manual or, include the full quality assurance system in the Training and Procedures Manual.

## **13 SAFETY MANAGEMENT SYSTEM (IF APPLICABLE)**

The requirement to adopt SMS practices is intended to be restricted to only those training entities whose activities directly impact on the safe operation of aircraft. Should that requirement apply to the ATO, the training and procedures manual, as stated in paragraph 1.9 of this appendix, must address the ATO's SMS by reference to a separate manual or including the SMS practices in the training and procedures manual.

## **14 APPENDICES**

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

## APPENDIX E

### CRITERIA FOR THE USE OF SIMULATORS IN ATS TRAINING

#### 1. INTRODUCTION

- 1.1 All training plans are required to indicate the amount of training, if any, that will be conducted on a simulator. The simulator will be approved by the Authority as part of the course approval process for the initial training plan and as part of the approval process for the unit training and continuation training plan. The training organization and ATS Provider are required to demonstrate how the simulator and the associated exercises will provide adequate support for the particular training plan.
- 1.2 The approval of the use of a simulator and the part of the particular training plan for which the training organization and ATS Provider proposes to use it will be based on an assessment against the criteria listed below. The extent to which the simulator achieves these criteria will be used to determine the adequacy of the simulator for the proposed use. The criteria are:
- a. the general environment, which should provide an environment in which simulator exercises may be run without undue interference from unrelated activities;
  - b. the simulator layout;
  - c. the equipment provided;
  - d. the display presentation, functionality, and updating of operational information;
  - e. data displays, including strip displays, where appropriate;
  - f. co-ordination facilities;
  - g. aircraft performance characteristics, including the availability of manoeuvres, e.g. holding operation, requirement for a particular simulation;
  - h. the availability of real-time changes during an exercise;
  - i. the ability of the simulated environment to enable students to meet the stated objectives of the practical training exercises;
  - j. the ability of the simulator and its exercises to enable the performance objectives to be assessed to the level determined in the training programme;
  - k. the processes by which the provider can be assured that staff associated with the conduct of the simulation are competent;
  - l. the degree of realism of any voice recognition system associated with the simulator;
  - m. where a simulator is an integral part of an operational ATS system, the processes by which the ATS Provider is assured that interference between the simulated and operational environments is prevented;

#### 2. TRAINING IN UNUSUAL AND EMERGENCY SITUATIONS

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

## **APPENDIX F**

### **QUALITY ASSURANCE SYSTEM**

#### **1. QUALITY POLICY AND STRATEGY**

- 1.1. The ATO shall describe how the organization formulates, deploys, and reviews its policy and strategy and turns it into plans and actions applicable to all levels of the organization. A formal written quality policy statement should be established that is a commitment by the head of the training organization, as to what the quality assurance system is intended to achieve. The quality policy should reflect the achievement and continued compliance with Paragraph 4 of Appendix -2 to Annex -1, together with any additional standards specified by the ATO.
- 1.2. The accountable - executive of the training organization will have overall responsibility for the quality assurance system including the requirements format and structure of the internal management review and analysis activities and may delegate to a quality manager, the responsibilities described in Section 2 of this appendix.

#### **2. QUALITY MANAGER**

- 2.1. The primary role of the quality manager is to verify, by monitoring activities in the Field of training, that the standards as established by the ATO and any additional requirements of the Authority are being carried out properly.
- 2.2. The quality manager should be responsible for ensuring that the quality assurance system is properly implemented, maintained and continuously reviewed and improved.
- 2.3. the quality manager should:
  - a. have direct access to the accountable manager; and
  - b. Have access to all parts of the ATO's organization.
- 2.4. The quality manager should be responsible for ensuring that personnel training relating to the quality assurance system are conducted.

#### **3. QUALITY ASSURANCE SYSTEM**

- 3.1. The quality assurance system of the ATO should ensure compliance with requirements, conformance to standards and adequacy of training activities conducted.
- 3.2. Every process that assists the ATO to achieve its results should be identified and the activities and procedures documented.

- 3.3. The ATO should specify the basic structure of the quality assurance system applicable to all training activities conducted,
- a. that corrective actions are both identified and promptly addressed;
  - b. the feedback system should also specify who is required to rectify discrepancies and non-conformance in each particular case, and
  - c. the procedure to be followed if corrective action is not completed within an appropriate timescale;

## **4. DOCUMENTATION**

- 4.1 Relevant Documentation includes the relevant part(s) of the Training and Procedures Manual, which may be included in a separate quality manual.
- 4.2 in addition, relevant documentation should also include the following:
- a. quality policy;
  - b. terminology;
  - c. specified training standards;
  - d. a description of the organization;
  - e. the allocation of duties and responsibilities; and
  - f. training procedures to ensure regulatory compliance;
- 4.3 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. document control;

## **5. QUALITY ASSURANCE AUDIT PROGRAMME**

- 5.1. 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.

## **6. QUALITY INSPECTION**

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

6.2. typical subject areas for quality inspections could be:

- a. actual training sessions;
- b. maintenance;
- c. technical standards; and
- d. training standards:

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## **7. AUDIT**

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

7.2. 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;

7.3. 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;

## **8. AUDITORS**

8.1. 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.

8.2. The responsibilities of the auditors should be clearly defined in the relevant Documentations. of full-time auditors, may undertake the audit function by the use of

**8.3. Auditor's Independence**

- 8.3.1. Auditors should not have any day-to-day involvement in the area of the operation or maintenance activity that is to be audited. An ATO may, in addition to using the services of full-time dedicated personnel belonging to a separate quality department, undertake the monitoring of specific areas or activities by the use of part -time auditors.
- 8.3.2. An ATO whose structure and size does not justify the establishment part-time personnel from within its own organization or from an external source under the terms of an agreement acceptable to the Authority.
- 8.4. In all cases the ATO should develop suitable procedures to ensure that persons directly responsible for the activities to be audited are not selected as part of the auditing team. Where external auditors are used, it is essential that any external specialist is familiar with the type of training conducted by the ATO.
- 8.5. 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;

**9. AUDIT SCHEDULING**

- 9.1. 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 negative trends are identified. Follow -up audits should be scheduled when necessary to verify that corrective action was carried out and that it was effective.
- 9.2. 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.
- 9.3. When an ATO defines the audit schedule, significant changes to the management, organization, training, or technologies should be considered, as well as changes to the standards and requirements.

## **10. MONITORING AND CORRECTIVE ACTION**

- 10.1. 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 and corrective action functions fall under the responsibilities of the quality manager. Monitoring activity is based upon quality inspections, audits, corrective and preventive action and follow -up.
- 10.2. 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.
- 10.3. Any non-conformance identified should be communicated to the manager responsible for taking corrective action or, if appropriate, the head of the training organization. Such non-conformance should be recorded, for the purpose of further investigation, in order to determine the cause and to enable the recommendation of appropriate corrective and preventive action.
- 10.4. The quality assurance audit programme should include procedures to ensure that corrective and preventive actions are developed in response to findings. These quality procedures should monitor such actions to verify their effectiveness and that they have been completed. Organizational responsibility and accountability for the implementation of corrective action resides with the department where the finding was identified. The head of the training organization will have the ultimate responsibility for ensuring, through the quality manager(s), that corrective action has re - established conformance with the standard required by the ATO and any additional requirements established by the Authority or the ATO.
- 10.5. The ATO should identify internal and external customers, and monitor their satisfaction by measuring and analysis of feedback.

## **11. MANAGEMENT REVIEW AND ANALYSIS**

- 11.1. 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 organization in achieving stated objectives; and
  - c. correcting trends, and preventing, where applicable, future non- conformities;
- 11.2. Conclusions and recommendations made as a result of the review and analysis should be submitted in writing to the responsible manager for action. The responsible manager should be an individual who has the authority to resolve issues and take action. The head of the training organization should decide upon the frequency, format, and structure of meetings for internal review and analysis.

### **11.3. Recording**

- 11.3.1. 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 analyze and determine the root causes of non-conformity, so that areas of non-compliance can be identified and subsequently addressed.
- 11.3.2. The following records should be retained at least for the period that may be required by national requirements. 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;

## **12. QUALITY ASSURANCE SYSTEM TRAINING**

- 12.1. Correct and thorough training is essential to optimize quality in every organization. In order to achieve significant outcomes of such training the ATO should ensure that all staff understands the objectives as laid down in the quality manual.
- 12.2. 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;
  - f. reporting and recording;
  - g. The way in which the quality system will function in the ATO;



- 12.3. Time should be provided to train every individual involved in quality assurance and for briefing the remainder of the employees. The allocation of time and resources should be governed by the size and complexity of the operation concerned.
- 12.4. Sources of Personnel Training
- 12.4.1. Quality assurance courses are available from the various national or international standards institutions, and an ATO should consider whether to offer such courses to those likely to be involved in the management of the quality assurance system. Organizations with sufficient appropriately qualified staff should consider whether to carry out in-house training.

**APPENDIX G**  
**ATO CERTIFICATE CHECKLIST**  
*(ATS APPROVED TRAINING ORGANIZATION)*

**Name of training organization** \_\_\_\_\_

**Address:** \_\_\_\_\_

\_\_\_\_\_

**Company Authorized Person:**  
**(Tel/Email/Fax)**

\_\_\_\_\_

**FINAL REMARKS:**

**Date of Audit:** \_\_\_\_\_

**Signature** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Name of Auditor/Inspector** \_\_\_\_\_

**License No** \_\_\_\_\_

***COMPANY OFFICIALS CONTACTED (Name/Designation)***

1.

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2.

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3.

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**CAAN AUDIT/INSPECTION TEAM MEMBERS (Name/Designation)**

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**Important Note:**

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

***GENERAL ASPECTS - APPLICABLE TO THE ORGANIZATIONS***

<b>ASPECTS TO BE AUDITED OR QUESTIONS TO BE ANSWERED</b>	<b>STATUS</b>
Are CAAN Authorizations, Licenses & Approvals available & valid?	<b>Yes/No</b>
Does the Organization have an Organization Chart?	Yes/No
Are the duties & responsibilities of each person clearly defined?	
Whether relevant ICAO ANNEXES & DOCUMENTS are available with the training organization?	Yes/No
Whether CARs, relevant Directives, Circulars & other Instructions available with the training organization?	Yes/No
Whether AIP with latest amendments is available?	Yes/No
Whether Jeppesen Maps and Charts along with its revisions available?	Yes/No
Whether the training organization is maintaining a standing order register?	Yes/No
Whether TPM/Directives available?	Yes/No
Whether Operations Manual/ Training Manuals available?	Yes/No
Whether an approved training manual contain the complete information with regards to the courses conducted by the ATO	Yes/No

<input type="checkbox"/> Title of the Course. <input type="checkbox"/> Objectives of the Course. <input type="checkbox"/> Frequency of the Course. <input type="checkbox"/> Planned intake of the Course. <input type="checkbox"/> Location where Course is to be conducted. <input type="checkbox"/> Duration of the Course. <input type="checkbox"/> Eligibility Criterion of the Students. <input type="checkbox"/> Phase/Subject wise course contents. <input type="checkbox"/> Planned periods/hours for each phase/subject. <input type="checkbox"/> Duration of each period/break. <input type="checkbox"/> External/ICAO Documents to be used. <input type="checkbox"/> Internal Documents to be used. <input type="checkbox"/> Study Material/Course ware to be provided to students. <input type="checkbox"/> Number of Instructors to be used. <input type="checkbox"/> Instructors Qualification criterion. <input type="checkbox"/> Audio/Visual training aids to be used. <input type="checkbox"/> Simulation Devices to be used, if applicable. <input type="checkbox"/> Logistics support details, where applicable. <input type="checkbox"/> Details of On Job or Field experience, if applicable. <input type="checkbox"/> Details of study tour/visits, if applicable. <input type="checkbox"/> System of progress/training reports. <input type="checkbox"/> Type and frequency of Examinations/Skill Tests to be conducted. <input type="checkbox"/> Number/type of questions in Examinations. <input type="checkbox"/> Pass criterion to be used for academic/Skill test, as applicable. <input type="checkbox"/> Assessment Forms/Contents of Personal Folders. <input type="checkbox"/> Specimen Course completion Certificate to be issued. <input type="checkbox"/> Any other relevant information.	
Availability of Current NOTAMS to instructors/students?	Yes/No
Does the organization conduct its business with written instructions & records? eg. SOPs	Yes/No
Does the organization take corrective actions as required by CAAN?	Yes/No
Does the organization take preventive actions as required by CAAN?	Yes/No
Are stored files and records maintained in a manner that they provide safekeeping, identity, and ease of retrieval?	Yes/No

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

**FINANCIAL**

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

**ADVERTISEMENT**

<b>Aspects to be audited or questions to be answered</b>	<b>Status</b>
Has the training centre given any advertisement, which states that the training centre has been approved? If yes, whether these advertisements are in accordance with the scope of approval?	Yes/No
Has the training centre clearly differentiated in their advertisement between the courses, which are approved and those courses which are not approved or not covered under the scope of approval granted to the training centre?	Yes/No
If the training centre is not holding a current approval, whether the institute has removed all indications and signboards etc. showing its approval?	Yes/No

Aspects to be audited or questions to be answered	Status
Check if competence requirements of each employee have been defined: Instructors Others	Yes/No
Have the approvals been displayed prominently in the concerned office?	Yes/No
Are the approvals of persons valid?	Yes/No
Does the organization have an appropriate physical infrastructure commensurate with its authorization, scope of work and load of work in terms of: <ul style="list-style-type: none"> <li>▪ Appropriate current maps and charts.</li> <li>▪ Communications to ATS and the operations room.</li> <li>▪ Maps showing standard cross-country routes.</li> <li>▪ Maps showing current prohibited danger and restricted areas.</li> <li>▪ Adequate briefing rooms/cubicles of sufficient size and number.</li> <li>▪ Suitable offices for the supervisory staff and room(s) to allow instructors to write reports on students, complete records, etc.</li> <li>▪ Room (s) for Administration.</li> <li>▪ Toilet(s).</li> <li>▪ Stores (s)</li> </ul>	Yes/No

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

Are 'No-Smoking' signs displayed at appropriate places?	Yes/No
Check the conduct of Courses by the following: <input type="checkbox"/> Check training course contents. <input type="checkbox"/> Check assessment reports and results. <input type="checkbox"/> Check attendance sheet. <input type="checkbox"/> Check lecture program.	Yes/No
Check the followings in the Operations/Technical library: <input type="checkbox"/> Stock of books commensurate with the number of students. <input type="checkbox"/> Satisfactory procedure of loaning books to the students. <input type="checkbox"/> Procurement of new books. <input type="checkbox"/> Revision status of the books available. <input type="checkbox"/> Check that official notices, technical circulars, literatures and other requirements are circulated by the institute to the instructional staffs as soon after receipt as practicable and all superseded publications are withdrawn promptly;	Yes/No
Whether adequate training aids are available?	Yes/No
Whether the space used for instructional purpose is properly lighted and ventilated?	Yes/No
Whether proper audio-visual training aids are available?	Yes/No
Is training study material available to the students?	Yes/No
Is a simulator being used for conducting the training?	Yes/No
If yes, is the Simulator approved?	Yes/No

**AIR TRAFFIC SERVICE LER TRAINING**  
(Basic Course)

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

**TECHNICAL LIBRARY**

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



**APPENDIX H**  
**ATO INSPECTION CHECKLIST**

<b>Person undertaking inspection</b>	
<b>Organization being inspected</b>	
<b>Date of inspection</b>	
<b>Information Sources</b>	
<b>Documents Reviewed</b>	
<b>Individuals Interviewed</b>	
<b>Units Visited</b>	

## GENERAL INFORMATION

Scope of Surveillance/ Inspection	Doc. Ref.	Requirements	References	Evaluation of Compliance	Remarks/ Comments
<b>Organization structure</b>	ATOCM 2.2.1	a. Does the ATS-ATO have organization structure?	Org. structure	Satisfactory Not Satisfactory	
		b. Does the ATS-ATO have management structure?	Management Structure	Satisfactory Not Satisfactory	
	ATOCM 2.2.2	Has the ATO established appropriate minimum qualification and experience requirements for - Accountable executive - ATO personnel (ATS and quality)?	Qualifications and competencies/Experience, training of Accountable executive, ATO personnel (ATS and quality). Sample recruitment files	Satisfactory Not Satisfactory	
<b>Obtaining Approval</b>	ATOCM 3.1.1	Has the Organization obtained the approval as approved training organization to conduct trainings?	ATO certificate along with the contents validity, and its display	Satisfactory Not Satisfactory	
<b>Training and Procedures Manual</b>	ATOCM 4.1.1	Has the ATO developed and approved the Training and Procedure Manual?	TPM	Satisfactory Not Satisfactory	
	ATOCM 4.2.2	Has the ATO developed TPM as per ATOCM Appendix D?	Appendix D for contents	Satisfactory Not Satisfactory	
	ATOCM 4.5	Does ATO have any process for validation of TPM before its operational release?	TPM	Satisfactory Not Satisfactory	

	ATOCM 4.6.3	Does ATO have any formal feedback system for update of TPM?	TPM	Satisfactory Not Satisfactory	
	ATOCM 4.7.2	Has the ATO developed and implemented an information review, distribution and revision control system?	TPM	Satisfactory Not Satisfactory	
<b>Quality assurance</b>	ATOCM 5.1.1 5.1.2	a)Has the ATO set objective of quality assurance? b)Has ATO developed process to check effective application of quality assurance principle?	Objectives of ATS ATO.	Satisfactory Not Satisfactory	
	ATOCM 5.2	Has the organization clearly identified following QA elements in the operating document? <ul style="list-style-type: none"> <li>• The organization's training policy</li> <li>• Training standards;</li> <li>• Allocation of responsibility;</li> <li>• Resources, organization and operational processes;</li> <li>• Procedures to ensure conformity of training with the policy;</li> <li>• Procedures for identifying deviations from policy and standards and taking corrective action; and</li> <li>• The evaluation and analysis of experiences and trends concerning policy and training standards for the continual improvement of the quality of training.</li> </ul>	QA elements in the operating document	Satisfactory Not Satisfactory	
<b>Quality Assurance Practices, Procedures</b>	ATOCM APP. F,1.1.	Does ATO have formal written quality policy?.	Formal quality policy statement	Satisfactory Not Satisfactory	

ATO CM APP. F,1.2.	Does the accountable executive of the training organization have overall responsibility for the quality assurance system?	JD of CEO	Satisfactory Not Satisfactory	
ATO CM APP. F, 2.1	Has the ATO assigned roles and responsibilities to quality manager?	JD of Quality Manager	Satisfactory Not Satisfactory	
ATO CM APP. F,3.1.	Does the quality assurance system of the ATO ensure compliance with Requirements, conformance to standards and adequacy of training activities conducted?	Check procedure and activities	Satisfactory Not Satisfactory	
ATO CM APP. F,3.3	Has the ATO specified the basic structure of the quality assurance system applicable to all training activities conducted?	QM, procedure and/or activities	Satisfactory Not Satisfactory	
ATO CM APP. F,4.2.	Does the Quality Manual include, minimum of, <ul style="list-style-type: none"> <li>• quality policy;</li> <li>• terminology;</li> <li>• specified training standards;</li> <li>• a description of the organization;</li> <li>• the allocation of duties and responsibilities;</li> <li>and</li> <li>• training procedures to ensure regulatory compliance;</li> </ul>	QM, procedures and/or activities	Satisfactory Not Satisfactory	

	ATOCM APP. F,4.3.	Has the ATO developed and conducted quality assurance audit programme reflecting minimum of: <ul style="list-style-type: none"> <li>• schedule of the monitoring process;</li> <li>• audit procedures;</li> <li>• reporting procedures</li> <li>• follow-up and corrective action procedures</li> <li>• recording system; and</li> <li>• document control</li> </ul>	QAA Programme and activities	Satisfactory Not Satisfactory	
	ATOCM APP. F,6.1, 6.2	Has the quality manager performed quality inspection to verify whether established training procedures are followed and requirements are achieved in the areas, minimum of, <ul style="list-style-type: none"> <li>• ground training;</li> <li>• maintenance;</li> <li>• standards- training and technical;</li> </ul>	QI procedures and activities	Satisfactory Not Satisfactory	
	ATOCM APP. F,8.1	Has the ATO appointed a dedicated audit team or a single auditor who has relevant training and/or operational experience?	Auditor's appointment and training	Satisfactory Not Satisfactory	
	ATOCM APP. F,11.1, 11.2	Has the ATO reviewed and analysed the quality assurance system, training policies, and procedures in a comprehensive, systematic and documented manner?	Management review and analysis procedure, process and records	Satisfactory Not Satisfactory	

	ATOCM APP. F, 11.3.1	Has the ATO maintained accurate, complete and readily accessible records documenting the result of the quality assurance audit programme?	Procedures and activities	Satisfactory Not Satisfactory	
	ATOCM APP. F, 11.3.2	Has the ATO retained the following records at least for the period that may be required by national requirements or in the absence of such requirements, for a period of three years: 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;	Procedures and activities	Satisfactory Not Satisfactory	
<b>QA System Training</b>	ATOCM APP. F 12.2	Has the personnel engaged in managing Quality Assurance received training covering: • concept of quality assurance and quality management • quality manuals • audit techniques • Reporting and recording. • Functioning of quality system	Check QM and such training activities	Satisfactory Not Satisfactory	
<b>Safety Management System</b>	ATOCM Chapter 6 6.3.1.4  6.3.2.1	Has the ATO established Safety Management System? Has the ATO developed safety policy?  Has the ATO appointed a safety manager	Policy procedure, Appointment of safety manager.	Satisfactory Not Satisfactory	

<b>Facilities for Training</b>	ATOCM Chapter 7.1 a	Does the organization have sufficient office space for ATO managerial, administrative and training staff, study and examination rooms and reference/library facilities; and storage areas, including secure areas for training and personnel records?	Availability of rooms for ATO key personnel and ATS instructors, library, storage area	Satisfactory Not Satisfactory	
	ATOCM Chapter 7.1 b.	Are the classroom areas suitably equipped?	Requirements in TPM, display of maps/charts.	Satisfactory Not Satisfactory	
	ATOCM Chapter 7.1 c	Does the practical training areas, equipment and facilities include: — operations, planning and briefing rooms; — simulation and procedure trainer areas; — parts, tools and material storage areas.	Availability w.r.t. TPM	Satisfactory Not Satisfactory	
	ATOCM 7.2	Are the relevant documents and technical publications readily available to the trainees, instructors and staffs?	Availability of documents and technical publications	Satisfactory Not Satisfactory	
	ATOCM 7.3.1	Has the ATO set any criteria for approval of the training device that is intended for training, testing or checking in an approved training programme?	Availability and status of the training device	Satisfactory Not Satisfactory	
<b>Training Device Qualification and Approval</b>	ATOCM 7.3.2	Has the ATO set any programme for routine maintenance and record keeping of each training device?	Availability and status of the record keeping of each training device	Satisfactory Not Satisfactory	

	ATOCM 7.3.2	Has the ATO implemented the following for each training devices: a. a routine maintenance program b. a record-keeping process for each training device, recording of device's use and lists of discrepancies.	Availability and status	Satisfactory Not Satisfactory	
	ATOCM 7.3.3.	Has the organization set criteria for the determination of suitability of simulation training device?	Criteria and specification of the training device	Satisfactory Not Satisfactory	
<b>Use of Simulator</b>	ATOCM Appendix E.1	a) Has ATO developed training plan that will be conducted on a simulator?  b) Has ATO received approval for the use of simulator for particular course?  c) Has the ATO defined criteria for the simulator as per training requirements?	Training plan and approval of use of simulator.  Criteria of simulator.	Satisfactory Not Satisfactory	
	ATOCM Appendix E.2	Has ATO received approval for the use of simulator for particular contingency training course at the time of unusual and emergency situations?	Approval of simulator and contingency procedure.	Satisfactory Not Satisfactory	
<b>ATO Staffing &amp; Qualification procedure</b>	ATOCM 8.1.1	Does the ATO have job descriptions established for the following key positions? a. accountable - executive; b. head of training; c. instructional services manager; d. quality manager; e. maintenance manager, if applicable; and f. safety manager, if applicable;	Job description of key personnel.	Satisfactory Not Satisfactory	



	ATOCM 8.1.5	Does the ATO have qualified and competent instructors and evaluators, who hold appropriate licenses or certificates, qualifications and / or authorizations from the Authority?	Criteria and certification	Satisfactory Not Satisfactory	
	ATOCM 8.1.6	Have the instructors and evaluators obtained initial and recurrent trainings relevant to the most recent technology and training methodologies?	TPM and evidence	Satisfactory Not Satisfactory	
	ATOCM 8.1.7	Does ATO ensure that sufficient trained and competent personnel are available for the continued effectiveness of its Quality System?	Number of qualified and competent instructors.	Satisfactory Not Satisfactory	
<b>Qualifications</b>	ATOCM 8.2, 8.3, 8.4	Has the ATO defined qualifications and experience for: <ul style="list-style-type: none"> <li>• Accountable executive/ Head of Training</li> <li>• Instructional Services Manager or Chief Instructor</li> <li>• Instructor(s)</li> </ul>	Qualifications and experience records	Satisfactory Not Satisfactory	
<b>Number of Students</b>	ATOCM 8.5	Has the ATO defined capacity of each classroom regarding: <ul style="list-style-type: none"> <li>• Students</li> <li>• Instructors.</li> </ul>	TPM	Satisfactory Not Satisfactory	
<b>Third-Party Providers (Outsourcing)</b>	ATOCM 9.1	Does the ATO engage outside assistance in designing and delivery of training courseware subjected to the QA practices?	TPM and third party agreements	Satisfactory Not Satisfactory	

	ATOCM 9.2	Has ATO acquired certified and qualified temporary instructional personnel from aviation industries by outsourcing?	TPM and third party agreements	Satisfactory Not Satisfactory	
<b>Record Keeping</b>	ATOCM 10.2	Has a system been established to maintain qualifications and training records of a) Students b) Instructors c) Evaluators d) Subject matter experts	Review establishment and maintenance of training records. Verify the system as per system description Verify the retention of record	Satisfactory Not Satisfactory	
	ATOCM 10.3	Does the record-keeping system of an ATO has a. Completeness b. Integrity c. Accessibility	Review instructors' and trainees' history, backup of records	Satisfactory Not Satisfactory	
	ATOCM 10.4	Have the students' training records been retained for a minimum period of two years after the completion of the training?	Review students' training records	Satisfactory Not Satisfactory	
	ATOCM 10.7	Have examination question papers and student response sheets been retained for a minimum period of five years after the completion of the training?	Review records	Satisfactory Not Satisfactory	
<b>Evaluation and Checking</b>	ATOCM 12.1	Has the organization developed, authorized and implemented Exam conduction procedure?	ECP, contents of ECP.	Satisfactory Not Satisfactory	
<b>Testing Or Examination Process</b>	ATOCM 12.2.1	Has the organization developed system to check the progress of each student?	Examination records of students	Satisfactory Not Satisfactory	

	ATOCM 12.2.3	Has the organization developed procedure to supervise the practical test in simulator?	Implementation.	Satisfactory Not Satisfactory	
	ATOCM 12.2.4	Has the organization developed procedure to supervise the final examination?	Implementation.	Satisfactory Not Satisfactory	
	ATOCM 12.3	Has ATO established an Examination Control Unit (ECU) and conducted examinations based on ECP?	ECP, ECU	Satisfactory Not Satisfactory	
<b>Question Data Bank</b>	ATOCM 12.4	Has ATO developed Question Data Bank and system to keep it secure and protected from unauthorized access?	Availability of data bank and its security	Satisfactory Not Satisfactory	
<b>Evaluators And Examiners</b>	ATOCM 12.5.1	Has the ATO set qualifications and experience of evaluators and examiners?	Records of evaluators and examiners	Satisfactory Not Satisfactory	
<b>English Language Proficiency</b>	ATOCM 12.6	Does the ATS training course syllabus includes Aviation English Language to meet English Language Proficiency requirements as per PELR?	Syllabus of ATS.	Satisfactory Not Satisfactory	
<b>Course Completion Certificate</b>	ATOCM Chapter 13.1	Does the ATO issues course completion certificate to trainees?	Issued certificate	Satisfactory Not Satisfactory	

## APPENDIX-I

### ATS-ATO RANDOM INSPECTION CHECKLIST

Office:

Date:

Unit (s) inspected:

Time:

Tick (√) in the applicable box.

(S: Satisfactory, U: Unsatisfactory, N/A: Not Applicable)

**1. Check roster**

	S	U	N/A
Training			
Simulation			

Comments:

**2. Check adequacy of manpower (as per Organization Chart)**

	S	U	N/A
ATS faculty			
QAD			

Comments:

**3. Check maintenance records**

Comments:

	S	U	N/A
Classroom			
Simulator lab			

**4. Check audits, inspections and examinations records:**

	S	U	N/A
ATS faculty			
QAD			

Comments:

**5. Check certificate/currency of instructors**

	S	U	N/A
Theory			
Simulation			

Comments:

**6. Check workplace environment**

	S	U	N/A
Classroom			
Simulator lab			
Personnel room			
Storage areas			

Comments:

**7. Check equipment status**

	S	U	N/A
Classroom			
Simulator lab			

Comments:

**8. Check performance of personnel**

	S	U	N/A
Classroom			
Simulator lab			

Comments:

**9. Check availability of documents, Maps and Charts etc.**

	S	U	N/A
Classroom			
Simulator lab			
Technical Library			

Comments:

**10. Overall comments (if any):****Random Inspection done by:**

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