**COMPLIANCE MATRIX**

**Regulation UK (EU) 2015/340**

**Air Traffic Controllers Licensing and Certification**

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| **Service Provider** |  | | |
| **Matrix version number** |  | Date |  |

Complete all relevant sections and send the compliance matrix and supporting documents to [ansp.certification@caa.co.uk](mailto:ansp.certification@caa.co.uk)

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| **Amendment record** | | |
| **Issue** | **Date** | **Purpose** |
| 3 | April 2021 | Amended by Statutory Instrument 2019/645 |
| 4 | May 2022 | Amended to rename UK GM to CM GN and minor changes to introduction |
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**Introduction**

This Compliance Matrix contains all the UK regulation (EU) 340 requirements applicable to Training Organisations and Initial Training Organisations.

Training Organisation (ATC ANSPs) are to complete sections 1,2,3, and section 4 and 5 checklists detailed below.

Initial Training Organisations are to complete sections 1,2,3 and the section 6 checklist detailed below.

Completing this Compliance Matrix will indicate that your management system meets the requirements of the regulation.

This Compliance Matrix is to be maintained and amended when changes are made to the supporting documents.

All supporting documents and their current issue status are to be entered into the table below.

The first column lists the regulation, and the second column provides details of the requirement. Relevant AMCs are shown under the regulation.

Some UK Guidance Notes (GN) are Included

It should be noted that the Guidance Material (GM) in the regulation is not included within the compliance matrix and the original regulation should be consulted.

The original UK regulation (EU) 2015/340 document and the Easy access version can be accessed via the CAA web site at this link [Regulation 2015/340](https://info.caa.co.uk/uk-regulations/atco-air-traffic-controllers/).

**Where appropriate, under each requirement a space is provided to enable you to indicate in which of your organisation’s documents compliance is demonstrated and the location within those documents. Other parts of the regulation that require no response are included for completeness.**

**Unless specifically asked for, statements of compliance are not required within the compliance matrix.**

**Where your organisation is not yet compliant with a requirement enter ‘UNDER DEVELOPMENT’ followed by a target date for completion. The target date should be no more than three months from the date of submission of this compliance matrix.**

**Checklists**

This document also contains checklists.

**Section 4** contains the checklist for Unit Competency Schemes, and is to be completed by Training Organisations (ATCO ANSP)

**Section 5** contains the checklist for Unit Training Plans and Unit Endorsement Courses, and is to be completed by Training Organisations (ATCO ANSP)

**Section 6** contains the checklist for Initial Training Plans, and is to be completed by Initial Training Organisations (ATCO training Colleges)

**Complete all relevant sections and send the compliance matrix, checklists and supporting documents to:** [**ansp.certification@caa.co.uk**](mailto:ansp.certification@caa.co.uk)**.**

**Initial Training Organisations must also submit their course design documents for Basic and Rating Training.**

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| --- | --- | --- | --- |
| **Index** | **Title of Document** | **Current Issue No.** | **Date of Issue** |
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**SECTION 1**

**SUBPART B — REQUIREMENTS OF AIR TRAFFIC CONTROLLER TRAINING ORGANISATIONS**

**This section is applicable to TOs and ITOs**

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| **The Regulation** | **Requirements for all TOs and ITOs** |
| **ATCO.OR.B.015 Changes to the training organisation** | ATCO.OR.B.015 Changes to the training organisation  (a) Changes to the organisation that affect the certificate or the terms of approval of the training organisation or any relevant element of the training organisation's management systems shall require prior approval by the CAA.  (b) Training organisations shall agree with the CAA on the changes that require prior approval in addition to those specified in point (a).  (c) For any changes requiring prior approval in accordance with points (a) and (b), the training organisation shall apply for and obtain an approval issued by the CAA. The application shall be submitted before any such change takes place in order to enable the CAA to determine continued compliance with this Regulation and to amend, if necessary, the training organisation certificate and related terms of approval attached to it.  Training organisations shall provide the CAA with all relevant documentation.  The change shall only be implemented upon receipt of formal approval by the CAA in accordance with ATCO.AR.E.010.  Training organisations shall operate under the conditions prescribed by the competent CAA during such changes, as applicable.  (d) Changes to the elements referred to in point (a) due to unforeseen circumstances shall be notified to the CAA without delay in order to obtain approval as necessary.  (e) All changes not requiring prior approval shall be managed and notified to the CAA as defined in the procedure approved by the competent authority in accordance with ATCO.AR.E.010.  (f) Training organisations shall notify the CAA when they cease their activities.  *(See AMC requirements below)*  *Amended by Statutory Instrument 2019/645* |
| **AMC1 ATCO.OR.B.015 Changes to the training organisation** | **GENERAL**  (a) Training organisations should inform the competent authority of any changes to personnel specified in Annex III (Part ATCO.OR) that may affect the certificate, or the training approval attached to it.  (b) Training organisations should send to the competent authority each management system documentation amendment. Where the amendment requires the competent authority’s approval, the training organisation should receive it in writing. |
| **UK GN for ATCO.OR.B.015 Changes to the training organisation** | Training Organisations that are also ANSPs will have an approved change management procedure and that procedure should also include the above requirements and should be referenced below.  Although not explicitly stated in the regulation, Initial Training Organisations should develop a change management procedure to manage the implementation of changes and should be referenced below.  Regarding paragraph (b), the type of changes that require prior approval are detailed on the CAA web site at the following link.  [Change Management and Notification](http://www.caa.co.uk/Commercial-industry/Airspace/Air-traffic-control/Air-navigation-services/Certification-and-designation/Change-management-and-change-notification-process/) |
| **Enter reference(s) where compliance is indicated** |  |
| **ATCO.OR.B.030 Findings** | After receipt of notification of findings issued by the CAA in accordance with ATCO.AR.E.015, the training organisation shall:  (a) identify the root cause of the finding.  (b) define a corrective action plan; and  (c) demonstrate the corrective action implementation to the satisfaction of the CAA within the period agreed with that authority as defined in ATCO.AR.E.015.  *Amended by Statutory Instrument 2019/645* |
| **Enter reference(s) where compliance is indicated** |  |
| **ATCO.OR.B.035 Immediate reaction to a safety problem** | The training organisation shall implement any safety measures mandated by the CAA in accordance with ATCO.AR.C.001(a)(3) for the training organisation activities.  *Amended by Statutory Instrument 2019/645* |
|  | Statement Only. No entry required. |
| **ATCO.OR.B.040 Occurrence reporting** | (a) Training organisations providing on-the-job training shall report to the CAA, and to any other organisation required by the State of the operator to be informed, any accident, serious incident and occurrence as defined in UK Regulation (EU) No 996/2010 of the European Parliament and of the Council and UK Regulation (EU) No 376/2014, resulting from their training  activity.  (b) Reports shall be made as soon as practicable, but in any case within 72 hours of the training organisation identifying the condition to which the report relates, unless exceptional circumstances prevent this.  (c) Where relevant, training organisations shall produce a follow-up report to provide details of actions it intends to take to prevent similar occurrences in the future, as soon as these actions have been identified.  (d) Without prejudice to UK Regulation (EU) No 996/2010 and No 376/2014, the reports referred to in points (a), (b) and (c) shall be made in a form and manner established by the CAA and contain all pertinent information about the condition known to the training organisation.  *Amended by Statutory Instrument 2019/645* |
| **UK GN to ATCO.OR.B.040 Occurrence reporting** | Not applicable to Initial Training Organisations. Training Organisations that are also ANSPs are to provide a reference to their Occurrence Reporting process. In addition, they are to complete the UK regulation (EU) 376/2014 compliance matrices. |
| **Enter reference(s) where compliance is indicated** |  |

**SECTION 2**

**SUBPART C — MANAGEMENT OF AIR TRAFFIC CONTROLLER TRAINING ORGANISATIONS**

**This section is applicable to TOs and ITOs**

**NOTE: Where the TO is also an ANSP many of the management system requirements detailed below may already exist within the ANSPs management system. Provide references to that system as applicable.**

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| **The Regulation** | **Requirements for all TOs and ITOs** |
| **ATCO.OR.C.001 Management system of training organisations** **(a)** | Provide a reference that details that your Training Organisation has established, implement and maintained a management system that includes:  Clearly defined lines of responsibility and accountability throughout the organisation, including direct safety accountability of the accountable manager; |
| **Enter reference(s) where compliance is indicated** |  |
| **ATCO.OR.C.001 Management system of training organisations (b)** | Provide a reference that details that your Training Organisation has established, implement and maintained a management system that includes:  A description of the overall principles of the organisation with regard to safety, referred to as the safety policy.  *(See AMC requirements below)* |
| **AMC1 ATCO.OR.C.001(b) Management system of training organisations** | The safety policy should:  (a) be endorsed by the accountable manager.  (b) clearly identify safety as the highest organisational priority over commercial, operational, environmental or social pressures.  (c) include a commitment to:  (1) improve towards the highest safety standards.  (2) comply with all applicable legal requirements, meet all applicable standards and consider best practices.  (3) provide appropriate resources; and  (4) enforce safety as the primary responsibility of all managers and staff.  (d) be communicated, with visible endorsement, throughout the organisation.  (e) include safety reporting and just culture principles.  (f) enhance and embed safety culture and safety awareness; and  (g) be periodically reviewed to ensure it remains relevant and appropriate to the training organisation. |
| **Enter reference(s) where compliance is indicated** |  |

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| **ATCO.OR.C.001 Management system of training organisations (c)** | Provide a reference that details that your Training Organisation has established, implement and maintained a management system that includes:  The identification of aviation safety hazards entailed by the activities of the training organisation, their evaluation and the management of associated risks, including actions to mitigate the risk and verify their effectiveness.  *(See AMC requirements below)* |
| **AMC1 ATCO.OR.C.001(c) Management system of training organisations** | **IDENTIFICATION OF AVIATION SAFETY HAZARDS**  For training organisations not providing on-the-job training, the hazard identification process may be limited to a demonstration that there are no hazards directly identified. However, the training should be designed so as to ensure future safe operations. |
| **Enter reference(s) where compliance is indicated** |  |
| **ATCO.OR.C.001 Management system of training organisations (d)** | Provide a reference that details that your Training Organisation has established, implement and maintained a management system that includes:  Maintaining personnel trained and competent to perform their tasks.  *(See AMC requirements below)* |
| **AMC1 ATCO.OR.C.001(d) Management system of training organisations** | **PERSONNEL**  A training organisation should demonstrate that:  (a) a list of activities with relevant needed competence has been established.  (b) their personnel have the relevant competence needed to fulfil the activities they are required to perform.  (c) their personnel maintain a level of competence through training as appropriate.  (d) their theoretical and practical instructors are qualified in accordance with Part ATCO, Subpart C of this Regulation.  (e) their practical instructors either hold an OJTI endorsement or an STDI endorsement.  (f) their assessors hold an assessor endorsement; and  (g) their synthetic training device instructors and assessors demonstrate knowledge of and receive refresher training in current operational practices. |
| **Enter reference(s) where compliance is indicated** |  |

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| **ATCO.OR.C.001 Management system of training organisations (e)** | Provide a reference that details that your Training Organisation has established, implement and maintained a management system that includes:  The documentation of all management system key processes, including a process for making personnel aware of their responsibilities and the procedure for amending this documentation.  *(See AMC requirements below)* |
| **AMC1 ATCO.OR.C.001(e) Management system of training organisations** | **PROCESSES**  Training organisations should demonstrate that the management system:  (a) policies, processes and procedures are monitored to ensure they are current and subject to periodic review and amendment, when necessary, to maintain their continued accuracy and suitability.  (b) allows for the impromptu recognition and initiation of improvements to policies, processes and procedures between periodic reviews.  (c) controls, records and tracks changes to all of the management system policy, process and procedure documents.  (d) includes a master record index that lists all the policies, processes and procedures. and  (e) includes as a minimum the following:  (1) master record index.  (2) training provider certificate.  (3) management structure.  (4) staff role profiles including accountabilities and responsibilities.  (5) training manuals, plans and courses.  (6) evidence of regulatory compliance.  (7) change control process.  (8) safety management manual.  (9) course design documents.  (10) instructor/assessor qualification and competence records. |
| **Enter reference(s) where compliance is indicated** |  |

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| **ATCO.OR.C.001 Management system of training organisations (f)** | Provide a reference that details that your Training Organisation has established, implement and maintained a management system that includes:  A function to monitor compliance of the organisation with the relevant requirements. Compliance monitoring shall include a feedback system of findings to the accountable manager to ensure effective implementation of corrective actions as necessary; *(See AMC requirements below)* |
| **AMC1 ATCO.OR.C.001(f) Management system of training organisations** | **COMPLIANCE MONITORING**  (a) The implementation and use of a compliance monitoring function should enable the training organisation to monitor compliance with the relevant requirements of this Regulation.  (b) Training organisations should specify the basic structure of the compliance monitoring function applicable to the activities conducted.  (c) The compliance monitoring function should be structured according to the activities of the training organisation to be monitored. |
| **AMC2 ATCO.OR.C.001(f) Management system of training organisations** | **COMPLIANCE MONITORING**  The person designated for the compliance monitoring function should be responsible for the review and continuous improvement of the established management system’s policies, processes and procedures.  The following tools are essential to the ongoing continuous improvement process:  (a) organisational risk profile.  (b) risk management plan.  (c) coherence matrix.  (d) corrective and preventive action reports; and  (e) inspection and audit reports. |
| **Enter reference(s) where compliance is indicated** |  |

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| **ATCO.OR.C.001 Management system of training organisations (g)** | The management system shall be proportionate to the size of the organisation and its activities, taking into account the hazards and associated risks inherent in those activities. *(See AMC requirements below)* |
| **AMC1 ATCO.OR.C.001(g) Management system of training organisations** | **SIZE, NATURE AND COMPLEXITY OF THE ACTIVITY**  (a) A training organisation should be considered as complex when it has a workforce of more than 20 full-time equivalents (FTEs) involved in the activity subject to Regulation UK (EC) No 2018/1139 and its Implementing Rules.  (b) A training organisation with up to 20 FTEs involved in the activity subject to UK Regulation (EC) No 2018/1139 and its Implementing Rules may also be considered complex based on an assessment of the following factors:  (1) the extent and scope of contracted activities subject to the certificate, in terms of complexity; and  (2) the different types of training provided, in terms of risk criteria. |
|  | Statement Only No entry required. |
| **ATCO.OR.C.005 Contracted activities** | (a) Training organisations shall ensure that when contracting or purchasing any parts of their activities, the contracted or purchased activity or part of activity conform to the applicable requirements.  (b) When a training organisation contracts any part of its activity to an organisation that is not itself certified in accordance with this Regulation to carry out such activity, the contracted organisation shall work under the terms of approval contained in the certificate issued to the contracting training organisation. The contracting training organisation shall ensure that the CAA is given access to the contracted organisation to determine continued compliance with the applicable requirements. *(See AMC requirements below)*  *Amended by Statutory Instrument 2019/645* |
| **AMC1 ATCO.OR.C.005 Contracted activities** | (a) Training organisations may decide to contract certain parts of their activities to external organisations.  (b) A written agreement should exist between the training organisation and the contracted organisation clearly defining the contracted activities and the applicable requirements.  (c) The contracted safety-related activities relevant to the agreement should be included in the training organisation’s compliance monitoring programme.  (d) Training organisations should ensure that the contracted organisation has the necessary authorisation or approval when required and commands the resources and competence to undertake the task. |
| **Are any of your TO activities contracted out?**  **If yes provide copy of written agreement.** | YES  NO |

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| **ATCO.OR.C.010 Personnel requirements (a)** | Provide a reference that details that your Training Organisation has appointed an accountable manager. |
| **Enter reference(s) where compliance is indicated** |  |
| **ATCO.OR.C.010 Personnel requirements (b)** | Provide a reference that details that your Training Organisation has nominated a person or persons with the responsibility for training. Such person or persons shall be ultimately responsible to the accountable manager. |
| **Enter reference(s) where compliance is indicated** |  |
| **ATCO.OR.C.010 Personnel requirements (c)** | Training organisations shall have sufficient qualified personnel for the planned tasks and activities to be performed in accordance with the applicable requirements. |
|  | Statement Only. Checked on audit |
| **ATCO.OR.C.010 Personnel requirements (d)** | Provide a reference that details how your Training Organisation maintains a record of theoretical instructors with their relevant professional qualifications, adequate knowledge and experience and their demonstration, instructional techniques assessment and subjects they are entitled to teach. |
| **Enter reference(s) where compliance is indicated** |  |
| **ATCO.OR.C.010 Personnel requirements (e)** | Provide a reference that details that your Training Organisation has established a procedure to maintain competence of the theoretical instructors. |
| **Enter reference(s) where compliance is indicated** |  |

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| **ATCO.OR.C.010 Personnel requirements (f)** | Provide a reference that details how your Training Organisation ensures that practical instructors and assessors successfully complete refresher training in order to revalidate the respective endorsement. |
| **Enter reference(s) where compliance is indicated** |  |
| **ATCO.OR.C.010 Personnel requirements (g)** | Provide a reference that details how your Training Organisation maintains a record of persons qualified for assessing practical instructors' competence and assessors' competence, in accordance with ATCO.C.045, with their relevant endorsements. |
| **Enter reference(s) where compliance is indicated** |  |
| **ATCO.OR.C.015 Facilities and equipment (a)** | (a) Training organisations shall have facilities allowing the performance and management of all planned tasks and activities in accordance with this Regulation. |
| **AMC1 ATCO.OR.C.015(a) Facilities and equipment** | (a) General areas  A training organisation should have access to facilities appropriate to the size and scope of the intended operations provided in an environment conducive to learning.  (b) Training areas  For training organisations providing theoretical training, the facilities should also include sufficient suitably equipped classroom areas. |
|  | Statement Only. Checked on audit. |

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| **ATCO.OR.C.015 Facilities and equipment** | (b) The training organisation shall ensure that the synthetic training devices comply with the applicable specifications and requirements appropriate to the task.  (c) During on-the-job training instruction, the training organisation shall ensure that the instructor has exactly the same information as the person undertaking OJT and the means to intervene immediately. |
| **AMC1 ATCO.OR.C.015(b) Facilities and equipment (a)** | **SPECIFICATIONS FOR SYNTHETIC TRAINING DEVICES**  (a) Synthetic training devices classifications  Synthetic training devices used for training should be classified according to one of the following classifications:  (1) simulator (SIM);  (2) part-task trainer (PTT). |
| **Indicate here if your TO intends to use either a SIM or PTT or both in any part of the training provided** | SIM  PTT  NONE  (delete as applicable) |
| **AMC1 ATCO.OR.C.015(b) Facilities and equipment (b)** | (b) Synthetic training device (STD) criteria  If an STD is used for training, it should be approved by the competent authority as part of the course approval process for any training plan. Training organisations should demonstrate how the STD will provide adequate support for the intended training, in particular, how the STD will meet the stated objectives of the practical training exercises and enable the performance objectives to be assessed to the level determined in the training programme. |
|  | Statement Only. See section 5 Checklist for Unit Training Plans and Unit Endorsement Courses |
| **ATCO.OR.C.020 Record keeping (a)** | Provide a reference that details how your Training Organisation retains detailed records of persons undertaking or having undertaken training to show that all requirements of the training courses have been met. *(See AMC requirements below)* |
| **AMC1 ATCO.OR.C.020(a);(b) Record keeping (a)** | Training organisations should maintain the following records:  (a) Records of persons undertaking training:  (1) personal information.  (2) details of training received including the starting date of the training, as well as the results  of the examinations and assessments.  (3) detailed and regular progress report forms.  (4) certificate of completion of training courses. |
| **Enter reference(s) where compliance is indicated** |  |

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| **ATCO.OR.C.020 Record keeping (b)** | Provide a reference that details how your Training Organisation establishes and maintains a system for recording the professional qualifications and instructional techniques assessments of instructors and assessors, as well as the  subjects they are entitled to teach, where appropriate. *(See AMC requirements below)* |
| **AMC1 ATCO.OR.C.020(a);(b) Record keeping (b)** | (b) Records of instructors and assessors:  (1) personal information.  (2) qualification records.  (3) records of refresher training for instructors and assessors.  (4) assessment reports.  (5) instructional and/or assessment time records. |
| **Enter reference(s) where compliance is indicated** |  |
| **ATCO.OR.C.025 Funding and insurances** | Training organisations shall demonstrate that sufficient funding is available to conduct the training according to this Regulation and that the activities have sufficient insurance cover in accordance with the nature of the training provided and all activities can be carried out in accordance with this Regulation. |
| **AMC1 ATCO.OR.C.025 Funding and insurances** | **SUFFICIENT FUNDING**  To demonstrate compliance with the requirement on the availability of sufficient funding, training organisations may be required to present an economic study identifying the minimum amount necessary to ensure that the training is conducted in accordance with the applicable requirements. |
|  | No entry required here. Applicants will be asked separately to provide details of sufficient funding. |
| **AMC2 ATCO.OR.C.025 Funding and insurances** | **SUFFICIENT INSURANCE COVER**  To demonstrate compliance with the requirement on sufficient insurance cover, training organisations may be required to provide a deposit of an insurance certificate or other evidence of valid insurance. The insurance cover should be established by taking into account the nature of the training provided, the frequency and the fees applicable to the training courses. |
|  | Applicants will be required to complete and submit CAA form ATL30 to indicate level of insurance held |

**SECTION 3**

**SUBPART D — REQUIREMENTS FOR TRAINING COURSES AND TRAINING PLANS**

**This section is applicable to TOs and ITOs**

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| **The Regulation** | | **Requirements for all TOs and ITOs** |
| **ATCO.OR.D.001 Requirements for training courses and training plans** | Training organisations shall develop:  (a) training plans and training courses associated to the type(s) of training provided in accordance with the requirements set out in Annex I (Part ATCO), Subpart D.  (b) subjects, subject objectives, topics and subtopics for rating endorsements in accordance with the requirements laid down in Annex I (Part ATCO);  (c) methods of assessments in accordance with ATCO.D.090(a)(3) and ATCO.D.095(a)(3). | |
|  | All Training Courses, Training Plans and Methods of Assessment are subject to CAA Approval.  See checklists in sections 4,5 and 6 | |
| **ATCO.OR.D.005 Examination and assessment results and certificates (a)** | The training organisation shall make available to the applicant his/her results of examinations and assessments and, upon applicant's request, issue a certificate with his/her result of examinations and assessments. | |
|  | Statement Only No entry required. | |
| **ATCO.OR.D.005 Examination and assessment results and certificates (b)** | Upon successful completion of initial training, or of rating training for the issue of an additional rating, the training organisation shall issue a certificate. | |
| Provide copies of certificate templates |  | |
| **ATCO.OR.D.005 Examination and assessment results and certificates (c)** | A certificate of completion of the basic training shall only be issued upon request of the applicant if all subjects, topics and subtopics contained in Appendix 2 of Annex I have been completed and the applicant has successfully passed the associated examinations and assessments | |
| Provide copies of certificate templates |  | |

**SECTION 4**

**Unit Competency Schemes**

**To be completed by TOs**

**TOs are to submit their Unit Competency Schemes to the CAA for approval.**

**Before submission the relevant parts of the checklist below are to be completed to ensure compliance**

**Unit Competency Schemes should include continuation training (refresher and conversion training if applicable).**

**Where the assessment of OJTIs is carried out on site the method of assessment must also be included**

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| **UNIT COMPETENCE SCHEME, REFRESHER and CONVERSION TRAINING CHECKLIST** | | | |
| DATE COMPLETED |  | COMPLETED BY |  |

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| NAME OF TRAINING ORGANISATION |
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| DETAILS OF UNIT COMPETENCE SCHEME (ISSUE#, DATE OF ISSUE, AMENDMENT STATE) |
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| **Unit Competency Scheme Checklist** | | | | |
| Required Content | Detailed content | Question | Y/N | Notes |
| ATCO.B.025 (a) (1)  The validity of the unit endorsement in accordance with ATCO.B.020(e) | ATCO.B.020(e). Unit endorsements shall be valid for a period defined in the unit competence scheme. This period shall not exceed three years. (Currently the CAA has mandated this to be 12 Months). | Is the period for the validity of Unit Endorsements defined as 12 Month? |  |  |
| ATCO.B.025 (a) (2)  The maximum continuous period when the privileges of a unit endorsement are not exercised during its validity | This period shall not exceed 90 calendar days. | Is the maximum period set at 90 days or less? |  |  |
| ATCO.B.025 (a) (3)  The minimum number of hours for exercising the privileges of the unit endorsement within  a defined period of time, which shall not exceed 12 months, for the purpose of ATCO.B.020(g) | ATCO.B.020(g)  Unit endorsements shall be revalidated if:  The applicant has been exercising the privileges of the licence for a minimum number of hours as defined in the unit competence scheme.  In addition:  To comply with this requirement records are to be kept of the hours, during which each licence holder exercises the privileges of his/her unit endorsement working in sectors, group of sectors and/or working positions in the ATC unit and shall provide that data to the CAA and to the licence holder upon request.  *Amended by Statutory Instrument 2019/645* | Is the minimum number of hours for exercising the privileges of unit endorsements defined and is that minimum number of hours set within a 12 months period or less?  Are adequate records kept? Note: this does not have to be detailed within the UCS, however; such records must be maintained. |  |  |

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| **Unit Competency Scheme Checklist Continued** | | | | |
| Required Content | Detailed content | Question | Y/N | Notes |
| ATCO.B.025 (a) (3)  For on-the-job training instructors exercising the privileges of the OJTI  endorsement the time spent instructing shall be counted for the maximum of 50 % of the hours required for revalidation of the unit endorsement | For an OJTIs to maintain their unit endorsement, up to 50% the minimum number of hours required for exercising the privileges of their endorsement can be counted from the time spent instructing in the relevant rating endorsement. | Is this requirement documented in the UCS? |  |  |
| ATCO.B.025 (a) (4)  Procedures for the cases where the licence holder does not meet the requirements set out in point (a)(2) and (3) of ATCO.B.025 | ATCO.B.025  (2) the maximum continuous period when the privileges of a unit endorsement are not exercised during its validity. This period shall not exceed 90 calendar days;  (3) the minimum number of hours for exercising the privileges of the unit endorsement within a defined period of time, which shall not exceed 12 months. | Does the UCS detail a process for managing ATCOs who have been unable to meet the required minimum number of hours to maintain their unit endorsement(s)? |  |  |
| ATCO.B.025 (a) (5)  Processes for assessing competence, including assessment of the refresher training subjects according to ATCO.D.080(b) | AMC1 ATCO.B.025(a)(5) ;(6) requires the following:  (a) The practical performance and skills should be assessed in live traffic situations. | Does the UCS describe a process for assessing practical performance and skills in live traffic situations. |  |  |

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| **Unit Competency Scheme Checklist Continued** | | | | |
| Required Content | Detailed content | Question | Y/N | Notes |
| ATCO.B.025 (a) (5)  Processes for assessing competence, including assessment of the refresher training subjects according to ATCO.D.080(b) | AMC1 ATCO.B.025(a)(5) ;(6) requires the following:  (b) Theoretical competence should be examined to ascertain the knowledge and understanding of air traffic controllers. | Does the UCS describe a process the examination of theoretical competence? |  |  |
| ATCO.B.025 (a) (5)  Processes for assessing competence, including assessment of the refresher training subjects according to ATCO.D.080(b) | AMC1 ATCO.B.025(a)(5) ;(6) requires the following:  Subjects taught during refresher training such as standard practices and procedures, abnormal and emergency situations and human factors should be assessed on STD or in other simulated environments and/or examined. | Does the UCS describe a process for assessing the subjects taught during refresher training on an STD and/or by examination? |  |  |
| ATCO.B.025 (a) (6)  Processes for the examination of theoretical knowledge and understanding necessary to exercise privileges of the ratings and endorsements | The examination may be written or oral.  Note the following from GM1 ATCO.B.025(a)(6)  Oral examinations should be used to test understanding of applicable techniques and the rules governing them, particularly of unit and national air traffic control procedures. Scenario-type questioning allows the assessor to gather additional evidence of how an air traffic controller would react in circumstances that are not observable but are nevertheless considered important to the overall operation at that ATC unit. | Does the UCS describe a process for the examinations? |  |  |

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| **Unit Competency Scheme Checklist Continued** | | | | |
| Required Content | Detailed content | Question | Y/N | Notes |
| ATCO.B.025 (a) (7)  Processes to identify the topics and subtopics, objectives and training methods for continuation training; | The process should be looking at the methodology on how the content of continuation is decided. Such topics should fall under the following headings:  **Refresher Training**  (1) Standard practices and procedures training, using approved phraseology and effective communication.  (2) abnormal and emergency situations training, using approved phraseology and effective communication.  (3) human factors training.  **Conversion Training:**  (1) The appropriate training method for and duration of the course, considering the nature and extent of the change.  (2) the examination and/or assessment methods for the conversion training. | Does the UCS describe a process to identify the topics and subtopics, objectives and training methods for continuation training. |  |  |
| ATCO.B.025 (a) (8)  The minimum duration and frequency of the refresher training | The duration for refresher training is not defined; however, the CAA recommends this to be a minimum 4 hours. | Is the minimum duration and frequency of refresher training defined? |  |  |

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| **Unit Competency Scheme Checklist Continued** | | | | |
| Required Content | Detailed content | Question | Y/N | Notes |
| ATCO.B.025 (a) (9)  Processes for the examination of theoretical knowledge and/or the assessment of practical skills acquired during conversion training, including pass marks for examinations | Not all units will have conversion training in place.  ATCO.D.085 (b) states:  Conversion training shall be designed to provide knowledge and skills appropriate to a change in the operational environment and shall be provided by training organisations when the safety assessment of the change concludes the need for such training. | Where conversion training has not been developed is there a commitment in the UCS that indicates that it will be developed if a safety assessment of change concludes the need for such training? |  |  |
| Where conversion training has been developed does the UCS indicate the process for examination and/or assessment and the pass marks for examination where appropriate. |  |
| ATCO.B.025 (a) (10)  Processes in case of failure of an examination or assessment, including the appeal processes; |  | Does the UCs detail the actions to be taken in the event of a failure of an examination or assessment and does this action include the appeal process |  |  |
| ATCO.B.025 (a) (11)  Training personnel qualifications, roles and responsibilities | Examinations and assessments should be conducted by appropriately qualified personnel. | Are the roles and responsibilities and required qualifications of all personnel involved in training detailed? |  |  |

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| **Unit Competency Scheme Checklist Continued** | | | | |
| Required Content | Detailed content | Question | Y/N | Notes |
| ATCO.B.025 (a) (12)  Procedure to ensure that practical instructors have practised instructional techniques in the procedures in which it is intended to provide instruction in accordance with  ATCO.C.010(b)(3) and ATCO.C.030(b)(3) | ATCO.C.010(b) Holders of an OJTI endorsement shall only exercise the privileges of the endorsement if they have:  (3) practised instructional skills in those procedures in which it is intended to provide instruction.  ATCO.C.030(b Holders of an STDI endorsement shall only exercise the privileges of the endorsement if they have.  (3) practised instructional techniques in those procedures in which it is intended to provide instruction. | Is there a process detailing the currency requirements of OJTIs and STDIs, as appropriate, which includes the practicing of instructional techniques? |  |  |

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| **Unit Competency Scheme Checklist Continued** | | | | |
| Required Content | Detailed content | Question | Y/N | Notes |
| ATCO.B.025 (a) (13)  Procedures for the declaration and the management of cases of provisional inability to exercise the privileges of a licence, as well as for informing the CAA in accordance with ATCO.A.015(d) | ATCO.A.015  (d) Air navigation service providers shall develop and implement objective, transparent and non-discriminatory procedures to enable licence holders declaring provisional inability to exercise the privileges of their licence in accordance with point (b), to declare the provisional inability of the licence holder in accordance with point (c), to manage the operational impact of provisional inability cases and to inform the CAA as defined in that procedure.  ATCO.A.015  (b) Licence holders shall not exercise the privileges of their licence when having doubts of being able to safely exercise the privileges of the licence and shall in such cases immediately notify the relevant air navigation service provider of the provisional inability to exercise the privileges of their licence.  ATCO.A.015  (c) Air navigation service providers may declare the provisional inability of the licence holder if they become aware of any doubt concerning the ability of the licence holder to safely exercise the privileges of the licence. | Does the UCS include the requirements for the declaration and management of provisional inability? |  |  |

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| **Unit Competency Scheme Checklist Continued** | | | | |
| Required Content | Detailed content | Question | Y/N | Notes |
| ATCO.B.025 (a) (14)  identification of records to be kept specific to continuation training and assessments, in accordance with ATCO.OR C.020. | ATCO.OR.C.020 Record keeping  (a) Training organisations shall retain detailed records of persons undertaking or having undertaken training to show that all requirements of the training courses have been met. | Does the UCS identify such records? |  |  |
| ATCO.B.025 (a) (15)  Process and reasons for reviewing and amending the unit competence scheme and its submission to the competent authority. | The review of the unit competence scheme shall take place at least once every three years. | Does the UCS detail a process for reviewing the UCS and its submission to the competent authority for approval if amendments have been made. |  |  |

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| **Refresher Training Course Checklist** | | | | |
| Required Content | Detailed content | Question | Y/N | Notes |
| ATCO.D.080 (b)  Refresher training shall be designed to review, reinforce or enhance the existing knowledge and skills of air traffic controllers to provide a safe, orderly and expeditious flow of air traffic and shall contain at least these subject areas in the syllabus. | Syllabus content.  (1) Standard practices and procedures training, using approved phraseology and effective communication.  (2) Abnormal and emergency situations training, using approved phraseology and effective communication  (3) Human factors training | Has a refresher training syllabus been developed that includes, as a minimum these subject areas? |  |  |
| ATCO.D.080 (b) (1) (2)  (1) standard practices and procedures training, using approved phraseology and effective communication.  (2) abnormal and emergency situations training, using approved phraseology and effective communication; | AMC1 ATCO.D.080(b)(1);(2) Phraseology Training  Training organisations should develop objectives for phraseology refresher training. | Has objectives for phraseology refresher training been developed |  |  |

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| **Refresher Training Course Checklist** | | | | |
| Required Content | Detailed content | Question | Y/N | Notes |
| ATCO.D.080 (b) (2)  (2) abnormal and emergency situations training, using approved phraseology and effective communication; | AMC2 ATCO.D.080(b)(2) Refresher training  ABNORMAL SITUATION AND EMERGENCY TRAINING  Abnormal situation and emergency training should be designed to expose air traffic controllers to circumstances and situations which they do not habitually or commonly experience.  *The essential difference from an emergency situation is that the element of danger or serious risk is not necessarily present in an abnormal situation.* | Does the ABES refresher training expose the trainee to circumstances and situations which they do not habitually or commonly experience? |  |  |
| ATCO.D.080 (b) (3)  (3) human factors training | AMC1 ATCO.D.080(b)(3) (a) Refresher training. Human Factors.  Training organisations should train air traffic controllers at least in team resource management, fatigue management and stress management. | Does the refresher training course include team resource management, fatigue management and stress management? |  |  |
| ATCO.D.080 (b) (3)  (3) human factors training | AMC1 ATCO.D.080(b)(3) (b)  Refresher training. Human Factors.  The team resource management training may also make use of STD and/or occurrence case studies. | Does the refresher training course make use of STD and/or occurrence case studies as part of the resource management training? |  |  |
| ATCO.D.090 (a)  Training of practical instructors shall be developed and provided by training organisations | ATCO.D.090 (a) (2)  shall consist of a refresher training course on practical instructional skills; | Does the scope of the refresher training course include training for OJTIs? |  |  |

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| **THIS SECTION ONLY APPLICABLE TO UNITS THAT HAVE ASSESSORS** | | | | |
| **Assessor Refresher Training Course Checklist** | | | | |
| Required Content | Detailed content | Question | Y/N | Notes |
| ATCO.D.095 (a)  Training of Assessors shall be developed and provided by training organisations | ATCO.D.095 (a) (2)  Shall consist of a refresher training course on assessment skills. | Does the scope of the refresher training course include training for Assessors? |  |  |
| ATCO.D.095 (a)  Training of Assessors shall be developed and provided by training organisations | AMC1 ATCO.D.095(a)(2) Training of assessors. Refresher Training in Assessment Skills.  Refresher training in assessment skills should prevent knowledge and skills erosion and it should be designed to maintain skills in assessment techniques and awareness of the regulatory environment. | Does the refresher training for assessors meet the requirements of this AMC? |  |  |

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| **ATCO.D.085 CONVERSION TRAINING** |
| Conversion training does not need to be developed or included within the UCS unless there is a change in the operational environment and a safety  assessment of the change concludes the need for such training. Such a change in operating environment which results in a change to the UCS should be notified to the CAA as a change that will require prior approval. This will require the re-approval of the UCS to cover the additional content. |

**SECTION 5**

**Unit Training Plans and Unit Endorsement Courses**

**To be completed by TOs**

**TOs are to submit their Unit Training Plans to the CAA for approval.**

**Before submission the relevant parts of the checklist below are to be completed to ensure compliance**

**Unit Training Plans should include Unit Endorsement Courses**

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| **UNIT TRAINING PLAN CHECKLIST** | | | |
| DATE COMPLETED |  | COMPLETED BY |  |

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| NAME OF TRAINING ORGANISATION |
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| DETAILS OF UNIT TRAINING PLAN (ISSUE#, DATE OF ISSUE, AMENDMENT STATE) |
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| **Unit Training Plan Checklist** | | | | |
| Required Content | Detailed content | Question | Y/N | Notes |
| Ratings and endorsements for which the training is conducted | Rating and Rating Endorsements:  ADV  ADI (TWR) (AIR) (GMC) (GMS) (RAD)  APP  ACP (OCN)  APS (PAR) (SRA) (TCL)  ACS (TCL) (OCN) | Does the training comprise one or more of these rating/rating endorsement courses? Indicate which. |  |  |
| The structure of the unit training | Transitional training phase  Pre-on-job training (if required)  On-job training phase.  These may be provided separately or integrated ATCO.D.060. | Does the training plan detail the structure of the training |  |  |
| The list of unit endorsement course(s) according to ATCO.D.060 | A list of the courses provided and their structure, e.g. is there a single ADI course that includes all the relevant rating endorsements or are these provided separately. | Does the training plan list all the relevant the unit endorsement courses? |  |  |
| ATCO.D.055 (b) (4)  The process for the conduct of a unit endorsement course | A description of the course process from induction to completion. | Does the training plan describe conduct of a unit endorsement course? |  |  |

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| **Unit Training Plan Checklist** **Continued** | | | | | | | | |
| Required Content | Detailed content | | Question | Y/N | | Notes | | |
| ATCO.D.055 (b) (5)  The training methods | | Types of training methods GM1 ATCO.D.055(b)(5):  On-the-job, lecture, lesson/demonstration, case study, computer-based practical exercise, exercise, facilitation, group work, hands-on, interactive training, supervised practices, part-task practice, individual simulation, team simulation, group simulation, briefing/debriefing, structured briefing, structured debriefing, virtual classroom, role play, skill acquisition, self-study, self-test, resilience training. | Does the training plan detail the training methods to be employed? | |  | |  |
| ATCO.D.055 (b) (6)  The minimum duration of the unit endorsement course(s)  AMC1 ATCO.D.055(b)(6) Unit training plan  ‘Duration of Unit Endorsement Courses’ requires compliance with Annex 1 to the Chicago Convention, Section 4.5.2.2.1(b). | | ICAO Annex 1 requirements:  ADV &ADI: An aerodrome control service, for a period of not less than 90 hours or one month,  whichever is greater, at the unit for which the rating is sought.  APP, APS, ACP &ACS. The control service for which the rating is sought, for a period of not less than 180 hours or three months, whichever is greater, at the unit for which the rating is sought. | Does the training plan detail the maximum and minimum duration of each training course? |  | |  | | |
| Process for adapting the unit endorsement course (s) | Courses may be adapted to take due account of the acquired ratings and/or rating endorsements and experience of applicants, when relevant. | | Does the training plan detail a process for adapting unit endorsement courses? |  | |  | | |

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| **Unit Training Plan Checklist** **Continued** | | | | |
| **Required Content** | **Detailed content** | **Question** | **Y/N** | **Notes** |
| ATCO.D.055 (b) (8)  Processes for demonstrating theoretical knowledge and understanding according to  ATCO.D.065, including the number, frequency and type of, as well as pass marks for  examinations, which shall be a minimum of 75 % of the marks allocated to these  examinations | Theoretical knowledge and understanding shall be demonstrated by examinations  Oral examinations and/or written/computer-based examinations should be used to demonstrate  the controller’s knowledge and understanding.  **Oral Examination**  An ATCO considered as satisfactory on oral examination shall be awarded a pass mark of 75%. There is no need to break down the marks for oral examinations.  **Written examinations**  Written examination may be broken down into sections with an overall pass mark of 75% of the total marks available. | Does the training plan detail the requirements for written and oral examinations and the required pass marks? |  |  |

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| **Unit Training Plan Checklist** **Continued** | | | | |
| **Required Content** | **Detailed content** | **Question** | **Y/N** | **Notes** |
| Processes for the assessment according to ATCO.D.070, including the number and frequency of assessments | ATCO.D.070  (a) The applicant's assessment shall be conducted in the operational environment under normal operational conditions at least once at the end of the on-the-job training.  (b) When the unit endorsement course contains a pre-on-the-job training phase, the applicant's skills shall be assessed on a synthetic training device at least at the end of this phase.  (c) Notwithstanding point (a), a synthetic training device may be used during a unit endorsement assessment to demonstrate the application of trained procedures not encountered in the operational environment during the assessment.  DEDICATED ASSESSMENTS  A dedicated assessment should be carried out for the issue or renewal of a unit endorsement.  A dedicated assessment may consist of a single assessment or a series of assessments, as detailed in the unit training plan.  Dedicated assessments may also be conducted at any stage of training as detailed in the unit training plan, where a more definitive measure of the progress is required, for example after 50 hours of practical training. | Does the training plan detail the process for assessments which meets the requirements of ATCO.D.070? |  |  |

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| **Unit Training Plan Checklist** **Continued** | | | | | | | |
| **Required Content** | **Detailed Content** | | | **Question** | | **Y/N** | **Notes** |
| ATCO.D.055 (b) (10) Training personnel qualifications, roles and responsibilities | The roles and responsibilities of individuals involved in the training and the training program must be described along with the qualification required for each allocated task. | | | Does the training plan adequately detail the roles and responsibilities of training staff and the required qualifications? | |  |  |
| ATCO.D.055 (b) (11)  Process for early termination of training | Training may be terminated for a variety of reasons but usually for a failure at one of the assessment points | | | Does the training plan include details of how training can be terminated early? | |  |  |
| ATCO.D.055 (b) (12)  The appeal process | The trainee may appeal against the assessment or examination process and an appeal process must be included. | | | Does the training plan include details of the appeal process? | |  |  |
| ATCO.D.055 (b) (13) Identification of records to be kept specific to unit training | Records of assessment and examination results must be maintained. | | | Does the training plan include details of which records are to be kept? | |  |  |
| ATCO.D.055 (b) 14)  A list of identified abnormal and emergency situations specific for each unit endorsement | Scenarios to be developed for abnormal and emergency situations that are applicable to each unit endorsement for which training is provided. | | | Does the training plan detail a list of abnormal and emergency situations specific for each unit endorsement? | |  |  |
| ATCO.D.055 (b) (15)  Process and reasons for reviewing and amending the unit training plan and its submission to the competent authority | The review of the unit training plan shall take place at least once every three years. | | | Does the training plan include details of the requirement for a review and for its submission to the CAA after amendment? | |  |  |
| **UNIT ENDORSEMENT COURSE and STD CHECKLIST** | | | | | | | |
| DATE COMPLETED | |  | COMPLETED BY | |  | | |

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| NAME OF TRAINING ORGANISATION |
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| DETAILS OF UNIT ENDORSEMENT COURSES | | |
| **SECTOR/POSITION** | **RATING** | **ENDORSEMENT(S)** |
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| **Unit Endorsement Course Checklist** | | | | | |
| **Required Content** | **Detailed Content** | **Question** | **Y/N** | **Notes** |
| ATCO.D.045  ABES training | AMC1 ATCO.D.045(c)(3) Composition of unit training  ABNORMAL AND EMERGENCY SITUATIONS  (a) Training for all identified abnormal and emergency situations should primarily take place on synthetic training devices.  (b) Training organisations should develop performance objectives for the abnormal and emergency situation training.  (c) Where a low safety risk for the ATC service provision has been identified and agreed by the competent authority, training in abnormal and emergency situations may take place by means other than synthetic training devices.  (d) If the pre-on-the-job training phase is not provided, the abnormal and emergency situation training should be scenario-based and as realistic as possible while maintaining operational safety.  (e) Checklists for abnormal and emergency situations used in operations should be made available to the applicant and be available at all times during scenario training. | Does the UEC(s) include the ABES training that meets the requirements of AMC1 ATCO.D.045(c)(3)? |  |  |

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| **Unit Endorsement Course Checklist** | | | | |
| **Required Content** | **Detailed Content** | **Question** | **Y/N** | **Notes** |
| ATCO.D.045  Human Factors training | AMC1 ATCO.D.045(c)(4) Composition of unit training  HUMAN FACTORS  (a) Training organisations should train the applicant during on-the-job training in team resource management, fatigue management and stress management.  (b) Training organisations should develop performance objectives for team resource management training.  (c) The team resource management training may also make use of synthetic training devices.  (d) Training organisations should develop training objectives for fatigue management and stress management training. | Does the UEC(s) include the human factors training that meets the requirements of AMC1 ATCO.D.045(c)(4)? |  |  |
| ATCO.D.045  Operational procedures and task specific aspects | Applicable Performance Objectives, Topics and subtopics set out in CAP 624. | Does the UEC(s) include the relevant performance objectives, topics and subtopics set out in  CAP 624? |  |  |

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| **Synthetic Training Device Checklist - (IF A SYNTHETIC TRAINING DEVICE (STD) IS USED AS PART OF THE UEC(s) THIS SECTION TO BE COMPLETED)** | | | | | | |
| **Identify the simulator associated with each course., i.e. type, manufacture, location, software version etc  *(add lines as required)*** | | | | | | |
| **UEC(s)** |  | | **STD** |  | | |
| **UEC(s)** |  | | **STD** |  | | |
| **UEC(s)** |  | | **STD** |  | | |
| **UEC(s)** |  | | **STD** |  | | |
| **UEC(s)** |  | | **STD** |  | | |
|  | | | | | | |
| **Does the simulator(s) associated with the above unit endorsement course(s) meet the requirements below?** | | | | | | |
| **Topic** | | **Question** | | | **Yes/No** | **Notes** |
| General Environment | | Does the general environment in which STD exercises may be run ensure that there will be no undue interference from unrelated activities; | | |  |  |
| The STD Layout | | Does this represent a similar layout to the operations room using equipment and systems configured to the same or similar specifications? | | |  |  |
| The Equipment provided | | Does this equipment operate and function in the same manner as the operations room? | | |  |  |
| The display | | Is the presentation, functionality, and updating of operational information adequate | | |  |  |
| Data displays, including strip displays | | Are these provided where appropriate with the same method of data entry as the Ops room? | | |  |  |
| Coordination facilities | | Does this have the same capacities and configuration as the Ops room? | | |  |  |

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| **Topic** | **Question** | **Yes/No** | **Notes** |
| Aircraft performance characteristics | Are the performance characteristics adequate? E.g. do they include the availability of manoeuvres such as holding or instrumental landing system (ILS) operation which may be required for a particular simulation; |  |  |
| Real time changes | Are real-time changes the available of during an exercise? |  |  |
| Voice recognition | Is the degree of realism of any voice recognition system associated with the STD adequate? |  |  |
| Where the simulator is an integral part of an operational ATC system | Can the training organisation demonstrate a process that assures that interference between the simulated and operational environments is prevented? |  |  |
| Instructor staff training | Is there an adequate process by which the training organisation can be assured that staff associated with the training conducted with the use of an STD are competent |  |  |

**SECTION 6**

**Initial Training Plan**

**To be completed by ITOs**

**ITOs are to submit their Initial Training Plans to the CAA for approval.**

**Before submission the checklist below is to be completed to ensure compliance**

**ITOs must also submit their course design documents for Basic and Rating Training to the CAA for approval**

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| **INITIAL TRAINING PLAN CHECKLIST** | | | |
| DATE COMPLETED |  | COMPLETED BY |  |

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| NAME OF INITIAL TRAINING ORGANISATION |
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| DETAILS OF INITIAL TRAINING PLAN (ISSUE#, DATE OF ISSUE, AMENDMENT STATE) |
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| **ATCO.D.015 Initial Training Plan Checklist** | | | | |
| Required Content | Detailed content | Question | Y/N | Notes |
| ATCO.D.015 (a)  The composition of the initial training course provided according to ATCO.D.010 (1)  **Basic Training** | **Basic Training.**  SUBJECT 1: INTRODUCTION TO THE COURSE  SUBJECT 2: AVIATION LAW  SUBJECT 3: AIR TRAFFIC MANAGEMENT  SUBJECT 4: METEOROLOGY  SUBJECT 5: NAVIGATION  SUBJECT 6: AIRCRAFT  SUBJECT 7: HUMAN FACTORS  SUBJECT 8: EQUIPMENT AND SYSTEMS | Does initial training plan indicate that basic training comprises of these subjects as detailed in AMC1 ATCO.D.010(a)? |  |  |
| ATCO.D.015 (a)  The composition of the initial training course provided according to ATCO.D.010 (2)  Rating Training  (i) Aerodrome Control Visual ADV.  (ii) Aerodrome Control Instrument Rating for Tower ADI(TWR).  (iii) Approach Control Procedural APP.  (iv) Approach control Surveillance APS. | SUBJECT 1: INTRODUCTION TO THE COURSE  SUBJECT 2: AVIATION LAW  SUBJECT 3: AIR TRAFFIC MANAGEMENT  SUBJECT 4: METEOROLOGY  SUBJECT 5: NAVIGATION  SUBJECT 6: AIRCRAFT  SUBJECT 7: HUMAN FACTORS  SUBJECT 8: EQUIPMENT AND SYSTEMS  SUBJECT 9: PROFESSIONAL ENVIRONMENT  SUBJECT 10: ABNORMAL AND EMERGENCY SITUATIONS  SUBJECT 11: AERODROMES | Does initial training plan indicate that rating training for ADV, ADI, APP and APS comprises of these subjects (where relevant) as detailed in:  AMC1 ATCO.D.010(a)(2)(i) ADV  AMC1 ATCO.D.010(a)(2)(ii) ADI  AMC1 ATCO.D.010(a)(2)(iii) APP  AMC1 ATCO.D.010(a)(2)(v) APS |  |  |

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| **ATCO.D.015 Initial Training Plan Checklist** | | | | | |
| Required Content | Detailed content | Question | | Y/N | Notes |
| ATCO.D.015 (a)  The composition of the initial training course provided according to ATCO.D.010 (2)  Rating Training  (vi) Area Control Surveillance ACS. | AMC1 ATCO.D.010(a)(2)(iv) main paragraph  SUBJECT 1: INTRODUCTION TO THE COURSE  SUBJECT 2: AVIATION LAW  SUBJECT 3: AIR TRAFFIC MANAGEMENT  SUBJECT 4: METEOROLOGY  SUBJECT 5: NAVIGATION  SUBJECT 6: AIRCRAFT  SUBJECT 7: HUMAN FACTORS  SUBJECT 8: EQUIPMENT AND SYSTEMS  SUBJECT 9: PROFESSIONAL ENVIRONMENT  SUBJECT 10: ABNORMAL AND EMERGENCY SITUATIONS | | Does initial training plan indicate that rating training for ADV, ADI, APP and APS comprises of these subjects (where relevant) as detailed in:  AMC1 ATCO.D.010(a)(2)(iv) ACP  AMC1 ATCO.D.010(a)(2)(vi) ACS |  |  |
| ATCO.D.015 (b)  The structure of the initial training provided according to ATCO.D.020(b); | Basic and rating training shall be provided as separate or integrated courses. | | Does the training plan detail the structure of the initial training? Separate or integrated. |  |  |
| ATCO.D.015 (c)  The process for the conduct of the initial training course(s); |  | | Does the training plan detail the process for the conduct of the initial training courses? |  |  |
| ATCO.D.015 (d)  The training methods |  | | Does the training plan detail the training methods to be employed? |  |  |

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| **ATCO.D.015 Initial Training Plan Checklist** | | | | |
| Required Content | Detailed content | Question | Y/N | Notes |
| ATCO.D.015 (e)  Minimum and maximum duration of the initial training course(s); |  | Does the training plan detail the maximum and minimum duration of each training course? |  |  |
| ATCO.D.015 (f)  With regard to ATCO.D.010(b), process for adapting the initial training course(s) to take due account of a successfully completed basic training course; | Training for an additional rating | Does the training plan detail how the completion of basic training is taken into consideration when adapting a course for an additional rating? |  |  |

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| **ATCO.D.015 Initial Training Plan Checklist** | | | | |
| Required Content | Detailed content | Question | Y/N | Notes |
| ATCO.D.015 (g)  Processes for examinations and assessments according to ATCO.D.025  **Basic Training** | **ATCO.D.025 Basic Training examinations and assessments**  (a) Basic training courses shall include theoretical examination(s) and assessment(s).  (b) A pass in theoretical examination(s) shall be awarded to an applicant achieving a minimum of 75 % of the marks allocated to that examination.  (c) Assessment(s) of performance objectives as listed in ATCO.D.030 shall be conducted on a part-task trainer or a simulator.  (d) A pass in assessment(s) shall be awarded to an applicant who consistently demonstrates the required performance as listed in ATCO.D.030 and shows the behaviour required for safe operations within the air traffic control service. | Does the initial training plan detail these requirements for examinations and assessments for basic training? |  |  |

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| **ATCO.D.015 Initial Training Plan Checklist** | | | | |
| Required Content | Detailed content | Question | Y/N | Notes |
| ATCO.D.015 (g)  Performance objectives according to ATCO.D.030  **Basic Training.** | **ATCO.D.030 Basic Training performance objectives**  Assessment(s) shall include evaluation of the following performance objectives:  (a) checking and using the working position equipment;  (b) developing and maintaining situational awareness by monitoring traffic and identifying aircraft when applicable;  (c) monitoring and updating flight data display(s);  (d) maintaining a continuous listening watch on the appropriate frequency;  (e) issuing appropriate clearances, instructions and information to traffic;  (f) using approved phraseology;  (g) communicating effectively;  (h) applying separation;  (i) applying coordination as necessary;  (j) applying the prescribed procedures for the simulated airspace;  (k) detecting potential conflicts between aircraft;  (l) appreciating priority of actions;  (m) choosing appropriate separation methods. | Does the initial training plan indicate that the basic training assessments will evaluate the trainee against these performance objectives? |  |  |

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| **ATCO.D.015 Initial Training Plan Checklist** | | | | |
| Required Content | Detailed content | Question | Y/N | Notes |
| ATCO.D.015 (g)  Processes for examinations and assessments according to ATCO.D.035.  **Rating Training** | **ATCO.D.035 Rating training examinations and assessment**  (a) Rating training courses shall include theoretical examination(s) and assessment(s).  (b) A pass in theoretical examination(s) shall be awarded to an applicant achieving a minimum of  75 % of the marks allocated to that examination.  (c) Assessment(s) shall be based on the rating training performance objectives described in  ATCO.D.040.  (d) Assessment(s) shall be conducted on a simulator.  (e) A pass in assessment(s) shall be awarded to an applicant who consistently demonstrates the  required performance described in ATCO.D.040 and shows the behaviour required for safe  operations within the air traffic control service. | Does the initial training plan detail these requirements for examinations and assessments for rating training? |  |  |

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| **ATCO.D.015 Initial Training Plan Checklist** | | | | |
| Required Content | Detailed content | Question | Y/N | Notes |
| ATCO.D.015 (g)  Performance objectives according to ATCO.D.040.  **Rating Training** | **Rating Training performance objectives** | Does the initial training plan indicate that the rating training assessments will evaluate the trainee against these performance objectives as applicable? |  |  |
| All Ratings |
| 1) demonstrate the ability to manage air traffic in a manner that ensures safe, orderly and expeditious services; and  (2) handle complex and dense traffic situations. |
| Aerodrome Control Visual  (ADV) and Aerodrome Control Instrument (ADI) |
| (1) manage the workload and provide air traffic services within a defined aerodrome area of responsibility; and  (2) apply aerodrome control techniques and operational procedures to aerodrome traffic. |
| Approach Control Procedural |
| 1) manage the workload and provide air traffic services within a defined approach control area of responsibility; and  (2) apply procedural approach control, planning techniques and operational procedures to  arriving, holding, departing and transiting traffic |

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| **ATCO.D.015 Initial Training Plan Checklist** | | | | |
| Required Content | Detailed content | Question | Y/N | Notes |
| ATCO.D.015 (g)  Performance objectives according to ATCO.D.040.  **Rating Training**  **Continued** | Approach Control Surveillance | Does the initial training plan indicate that the rating training assessments will evaluate the trainee against these performance objectives as applicable? |  |  |
| 1) manage the workload and provide air traffic services within a defined approach control area of responsibility; and  (2) apply approach surveillance control, planning techniques and operational procedures to arriving, holding, departing and transiting traffic. |
| Area Control Procedural |
| (1) manage the workload and provide air traffic services within a defined area control area of responsibility; and  (2) apply procedural area control, planning techniques and operational procedures to area traffic. |
| Area Control Surveillance |
| 1) manage the workload and provide air traffic services within a defined area control area of responsibility; and  (2) apply area surveillance control, planning techniques and operational procedures to area traffic. |

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| **ATCO.D.015 Initial Training Plan Checklist** | | | | |
| Required Content | Detailed content | Question | Y/N | Notes |
| ATCO.D.015 (h)  Training personnel qualifications, roles and responsibilities |  | Does the training plan include details of the training personnel’s qualifications, roles and responsibilities? |  |  |
| ATCO.D.015 (i)  Process for early termination of training |  | Does the training plan include details of how training can be terminated early? |  |  |
| ATCO.D.015 (j)  The appeal process |  | Does the training plan include details of the appeals process? |  |  |
| ATCO.D.015 (k)  Identification of records to be kept specific to initial training |  | Does the training plan include details which records are to be kept? |  |  |
| ATCO.D.015 (l)  Process and reasons for reviewing and amending the initial training plan and its submission to the CAA. | The review of the initial training plan shall take place at least once every three years  *Amended by Statutory Instrument 2019/645* | Does the training plan include details of the requirement for a review and for its submission to the CAA? |  |  |