

Standards Document No. 28, Version 1

Policy and Guidance for Senior Examiners

Multi-Pilot Aeroplanes (MPA) and Single-Pilot High Performance Complex Aeroplanes (SPHPCA) and Multi-Pilot Helicopters.

This Standards Document defines UK Policy and means of Compliance with EASA Part FCL, subpart J and K and Appendix 9. It helps satisfy requirements to ensure the conduct and performance of CAA certified examiners in accordance with ARA.FCL.205.

Additional guidance for UK examiners, ATO's and operators are also incorporated.

All amendments to this document will be notified via SkyWise..
The latest version of the document can be found on the CAA website.

CAA "examiners" is required to maintain a database of examiners' names and personal e-mail addresses. If you change your e-mail address, please ensure that you use the email address below to inform us of any changes. Simply enter your **CAA reference number** in the message field, and then send to **examiners@caa.co.uk**. Examiners are strongly advised to sign up to the SkyWise notification service to be advised of updates to CAA Information Notices, CAPs, CAA Standards Documents, application forms etc.

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AMENDMENT SUMMARY

Version 1 – Amendments from version 8 of Standards Document 69

- Renumbering to Standards Document 28 (changed from the former Doc 69)
- Inclusion of helicopters
- Glossary amendments
- Various clarifications throughout regarding legal status of Senior Examiners and the UK CAA's Authority under part ARA and the ANO
- Addition of Training Standards Policy Group (TSPG) and responsibilities
- Clarifications throughout regarding the accountable manager for Flight Crew Training and Licensing Standards, FOM ATO&FCL
- Senior Examiner privileges clarifications
- Clarification of a Senior Examiners acceptance and continuing authority process
- Clarification of requirements to hold valid instructor privileges
- Senior Examiner responsibilities redefined
- Senior Examiner training process defined
- EAoC briefing and debriefing requirements edited
- Clarification of procedures to assess and examiners knowledge throughout an EAoC and procedures after the examiners debriefing
- Senior Examiner competencies and grading defined and clarified
- Clarification of post EAoC administrative processes
- New licensing certificates and the ability of an SE to sign and revalidate or renew privileges if designated and approved by the UKCAA
- Refresher seminar requirements clarified
- Appendix 2: Senior Examiner Competencies framework and grading markers defined
- Appendix 3: Examiner authorisation and disciplinary process added
- Appendix 4: New TS10 (SRG1825) defined
- Appendix 5: GDPR requirements added

GLOSSARY

ANO	Air Navigation Order
AoC	Assessment of Competence
AOC	Air Operator's Certificate
ATC	Air Traffic Control
ATO	Approved Training Organisation
ATPL	Airline Transport Pilot Licence
ATQP	Alternative Training Qualification Program
CAATI	UK CAA Training Inspector
CBTA	Competency Based Training and Assessment
CRM	Crew Resource Management
CS-FSTD A	Certification Specification Flight Simulation Training Device Aircraft
EAOc	Examiner Assessment of Competence
EASA	European Aviation Safety Agency
EBT	Evidenced Based Training
FLT OPS	Flight Operations
FE	Flight Examiner
FOM ATO&FCL	Flight Operations Manager ATO&FCL
HF	Human Factors (including CRM)
ICAO	ICAO
IRI	Instrument Rating Instructor
LOE	Line Orientated Evaluation
LPC	Licence Proficiency Check
LST	Licence Skill Test
TSPG	Training Standards & Policy Group
MCC	Multi-crew co-operation
MPA	Multi-Pilot Aircraft
SE	Senior Examiner
SARG	Safety and Airspace Regulation Group
SFE	Synthetic Flight Examiner
SFI	Synthetic Flight Instructor
TRE	Type Rating Examiner
TRE (SPHPCA)	Type Rating Examiner (Single Pilot High Performance Complex Aircraft)
TRI	Type Rating Instructor

1 INTRODUCTION

These instructions are written for Senior Examiners (SEs) conducting an Examiner Assessment of Competence (EAoC) for revalidation/change of type on Type Rating Examiners (TREs), and Synthetic Flight Examiners (SFEs) in simulators.

Nothing in this document is intended to conflict with the EASA Aircrew Regulation or UK statute law where applicable. Whilst every effort is made to ensure that all information is correct at the time of publication, the CAA reserves the right to amend this document as required to accommodate changes to the primary authority documents, to correct errors and omissions or to reflect changes in national policy and best practice.

1.1 *Senior Examiner Status*

The qualification of Senior Examiner derives from FCL.1020 in Regulation for Civil Aircrew Annex 1 (also known as Part-FCL). This states that “Applicants for an examiner certificate shall demonstrate their competence to an inspector from the competent authority or a *senior examiner* specifically authorised to do so by the competent authority responsible for the examiner’s certificate through the conduct of a skill test, proficiency check or assessment of competence in the examiner role for which privileges are sought, including briefing, conduct of the skill test, proficiency check or assessment of competence, and assessment of the person to whom the test, check or assessment is given, de-briefing and recording documentation.”

This establishes the need for the standardisation of examiners carried out by CAA Training Inspectors (TIs) and Senior Examiners alongside ARA. and the CAA’s requirements to ensure the conduct and performance of examiners in accordance with ARA.205, designate tests and national examiner differences. Since Senior Examiners are an integral part of this process, it follows that they are required to maintain the highest standards of professional conduct and is a fundamental part of examiner oversight within the UK.

A Senior Examiner shall hold an examiner certificate detailing the privileges that may be exercised as specified in the paragraphs that follow.

1.2 *Senior Examiner Privileges*

A Senior Examiner authorisation sits under the management system of the UK CAA. An authorised Senior Examiner may only conduct an activity covered under the authorisation after an appropriate application, assessment and designation process by the UK CAA.

- a) A Senior Examiner may conduct an EAoC to revalidate a SFE/TRE certificate in an approved simulator or aircraft. Note: A Senior Examiner holding only an SFE certificate may not usually revalidate a TRE certificate, however, this may be approved by prior agreement of the UKCAA on a case by case basis on application to the TSPG or Flight Operations Manager.
- b) A Senior Examiner may, at the discretion of Flight Operations, conduct an EAoC to renew a SFE/TRE up to two years from the date that the privileges were last exercised, however, application must be made to the CAA prior to conducting any renewal.
- c) A Senior Examiner can conduct an EAoC for a change of aircraft type on a valid SFE/TRE certificate holder. Note: A Senior Examiner holding only an SFE certificate may not usually conduct a change of type on a valid TRE certificate unless by prior agreement of the UKCAA.
- d) A Senior Examiner may be authorised on more than one type provided that he/she is a current SFE/TRE on the additional type(s) and holds the appropriate instructor qualification. Note: A Senior Examiner employed by an ATO or AOC may conduct an SFE/TRE EAoC on types for which he does not hold an SFE/TRE certificate; however, this privilege usually applies only to those examiners employed by the ATO or AOC.

- e) When a Senior Examiner transfers to a different aircraft type and qualifies on that type as SFE/TRE (by normal process), transfer of Senior Examiner authorisation may be subject to application and administrative action.

Note: A Senior Examiner may revalidate or renew instructor privileges provided a valid TRI or SFI on the type requiring revalidation is held and hold *an FCL.1005.TRE TRE or 1005 .SFE SFE (a)(5), aeroplanes, or (b)(4), helicopters, endorsement on their examiner's certificate.*

2 MINIMUM QUALIFICATIONS

The minimum qualifications for an SFE/TRE who is seeking authorisation to conduct EAoC's on SFEs/TREs are as follows:

2.1 **General**

A Senior Examiner authorisation sits under the management system of the UK CAA Holding a senior Examiner authorisation requires criteria to be fulfilled prior to initial acceptance and continuing authorisation.

On application to the UK CAA for Senior Examiner authorisation, a statement will be required from the examiner for TSPG for consideration before any application is approved to progress to Senior Examiner training.

On application, The Senior Examiner applicant must also submit a rationale for becoming a Senior Examiner and demonstrate that a minimum recency of 2 EAoC's per year on UK authorised Examiners can be maintained.

Acceptance and continuing authorisation for the role of Senior Examiner is also dependent upon general conduct and performance, therefore the UK CAA 'fit and proper persons' framework as promulgated on the UK CAA website shall be considered and continually assessed throughout ongoing standardisation.

The CAA reserves the right to decline or withdraw Senior Examiner authorisation if these requirements cannot be adequately demonstrated or maintained.

2.2 **Licence Requirements**

The applicant must:

- a) Hold or have held an ATPL;
- b) Hold a valid SFE/TRE certificate on the type(s) requested for Senior Examiner certification – but see 1.2d) above regarding extended privileges.
- c) Hold a valid instructor rating for the initial type on which the Senior Examiner will be authorised.

2.3 **Experience Requirements**

The applicant must:

- i) Have a minimum of three years' experience as an SFE/TRE immediately preceding the application;
- ii) Produce a record of 12 AoC's conducted as an SFE/TRE on the aircraft type(s).

2.4 **PRE-Course Observation**

The CAA may elect to conduct an assessment of the candidate conducting an LST, LPC or Operator Proficiency Check (OPC) prior to acceptance for Senior Examiner training.

3 **SENIOR EXAMINER RESPONSIBILITIES**

A Senior Examiner will be responsible for the following:

- a) Developing and promoting safety, consistent pilot performance and professional standards.
- b) Developing and promoting the highest standards of examiner and instructor performance, compliance and professional conduct.
- d) Developing Human Factors and overall pilot competence.
- d) Promoting and constructively contributing to flight safety and awareness around pilot performance issues within his/her organisation and across industry.
- e) Ensuring that any test/check is efficient, effective and complies with legal requirements.
- f) Demonstrating the highest possible professional standards of conduct, setting examples of behavior and best practice, measurable with the examiner competencies within this document.
- g) Maintaining continuing competence and up-to-date knowledge. Including continuing liaison and dialogues with the UK CAA Training Standards Policy Group.

4 **SENIOR EXAMINER TRAINING PROCESS**

Note: The initial application to be considered for training and appointment as a Senior Examiner should be made on Form SRG1819.

Accompanying the application, a statement will be required from the examiner for the TSPG consideration before any application is approved to progress to Senior Examiner training.

On application, The Senior Examiner applicant must also submit a rationale for becoming a Senior Examiner and demonstrate that a minimum recency of 2 EAoC's per year on UK authorised Examiners can be maintained.

Acceptance and continuing authorisation for the role of Senior Examiner is also dependent upon general conduct and performance, therefore the UK CAA Fit and proper persons framework as promulgated on the UK CAA website shall be considered and continually assessed throughout ongoing standardisation.

The CAA reserves the right to decline or withdraw Senior Examiner authorisation if these requirements cannot be adequately demonstrated or maintained.

4.1 **Pre-course study**

Before attending the Training Course, Senior Examiner applicants will be expected to have a working knowledge of current legislation. A pre-course study guide is enclosed for reference – see Appendix 1.

4.2 **Senior Examiner Training Course**

4.2.1 The course will last two days and will usually take place at the CAA Safety and Airspace Regulation Group Headquarters, Aviation House, Gatwick. The tutor will be an authorised CAATI.

4.2.2 The course includes the following main elements:

- a) Legislation
- b) Requirements for training and testing
- c) Simulator qualification process
- d) Briefing and de-briefing the SFE/TRE and the crew
- e) Assessment of SFE/TRE competence
- f) Roles of the Senior Examiner
- g) CAA administrative requirements, documentation and recording, liability and data protection

4.2.3 **Post course procedure**

After completing the two-day Senior Examiner course, the candidate will be required to observe a CAATI conducting an EAoC. This can pose logistical problems and candidates are urged to liaise closely with their training departments and examiners@caa.co.uk to ensure timely arrangements are made (see notes below). Exceptionally, arrangements may be accepted for the Senior Examiner under training to observe a Senior Examiner within the same organisation.

On completion of the shadowing observation, candidates will undertake a Senior Examiner practice observation of an SFE/TRE AoC under the supervision of a CAATI.

Note: Applications for candidates for the shadowing observation, practice observation and final AoC should be made on a Form SRG3104A. Reference must be made, in the appropriate tick boxes, as to whether the observation is for the shadowing, practice or the SE AoC.

Following the practice observation, a CAATI will conduct the Senior Examiner AoC, during which the Senior Examiner conducts an AoC on an SFE/TRE. The format follows that of the three-yearly assessment described in paragraph 5 below. The SFE/TRE candidate for this Senior Examiner AoC must not be a Senior Examiner. When arranging this test, the Senior Examiner must ensure that there is sufficient seating for all occupants in the simulator and that both the Senior Examiner and the CAATI are able to listen to all communications.

The Senior Examiner Certificate is issued following a successful AoC.

Note: 1 The AoC must be conducted within one year of the Senior Examiner course completion date. Failure to comply will result in the prospective Senior Examiner having to attend another two-day course.

Note: 2 Flt Ops reserves the right to conduct an additional AoC on a type for which the SE does not hold a valid SFE/TRE certificate if additional SE privileges are sought to conduct AoC's on all types (see 1.2 d) above)

Note: 3 It follows that SE shadowing, practice and AoC details need timely planning if the whole SE authorisation process is to be conducted within 1 year of the SE Standards Course.

Note: 4 Application Procedures:

- a) *For the shadowing - TRE Application (Form SRG3104A) & fee for the CAATI to conduct the check with the candidate senior examiner observing.*
- b) *For the practice – TRE Application (Form SRG3104A) & fee for the candidate senior examiner to conduct the check with the CAATI observing.*
- c) *For the AoC – TRE Application (Form SRG3104A) & fee for the candidate senior examiner to conduct the check with the CAATI observing.*

5 SENIOR EXAMINER THREE-YEARLY AOC

Note: An application for a Senior Examiner revalidation should be made on form SRG1820 and 1820(b) well in advance of the requested date of EAOc. A CAATI will always conduct Senior Examiner revalidations.

EAOc's must always be designated by the UK CAA. A Senior Examiner may only conduct an EAOc if the correct application and designation process has been followed and the SE has received approval to conduct the assessment.

5.1 General

A Senior Examiner certificate will be valid for a period of not more than three years. Thereafter re-authorisation will be at the discretion of the CAA and subject to the following:

- a. The Senior Examiner should have conducted at least two AoC's in every yearly period within the three-year authorisation. Evidence of these checks must be made available at the Senior Examiner's AoC. If there is a risk that the Senior Examiner cannot comply, he should contact Flight Operations via **examiners@caa.co.uk**.
- b. For re-authorisation, one of the EAOcs conducted by the Senior Examiner within the last 12 months of the authorisation period will be observed by a CAATI.
- c. The Senior Examiner shall attend a Senior Examiner's refresher course/seminar within the last 12 months of the authorisation period.
- d. Senior Examiners may make arrangements for an AoC at any mutually convenient time during the 12 months preceding the expiry date. In this case the next three-year validity will run from the expiry date rather than the date of test.
- e. An application for revalidation together with the appropriate fee must first be sent to Resource Scheduling a minimum of 16 weeks prior to a requested revalidation date. (**examiners@caa.co.uk**)
- f. The Senior Examiner's authorisation and his SFE/TRE authorisation cannot be checked simultaneously.

The aim of the Senior Examiner conducting an EAOc on a candidate SFE/TRE is to assess the latter's competency to continue to exercise the privileges of his examiner certificate. Should a Senior Examiner fail an EAOc, he or she will be issued with a Notice of Failure and must undergo suitable retraining as determined by the TSPG or FOM ATO&FCL before being rechecked. Should he or she hold a Senior Examiner authorisation for another type(s), he or she will not be able to exercise the privileges of a Senior Examiner on any type.

When a Senior Examiner transfers to a different aircraft type he or she will qualify on that type as a SFE/TRE by the normal process. Any transfer of Senior Examiner authorisation is subject to application and administrative action - no observation is usually required. However, the expiry date will be unchanged from the Senior Examiner authorisation for the previous type. CAA observations for Senior Examiner revalidation will therefore be based on the three-year validity cycle irrespective of interim change of type. When arranging a test, the Senior Examiner must ensure that there is sufficient seating for all occupants in the simulator and that both the Senior Examiner and the CAATI are able to listen to all communications.

Note: The CAA routinely monitors the standard of Senior Examiners and may conduct unannounced inspections at its discretion.

5.2 **Reference to Standards Document 24(A) or (H)**

An AoC, skills test or proficiency check is carried out on UK licensed pilots in accordance with the current version of CAA Standards Document 24(A) or (H). This policy document gives guidance to examiners, and as such is the definitive guide on the conduct of pilot checks for UK SFE/TREs. Senior Examiners are also experienced SFE/TREs, and so are expected to be fully conversant with this publication. Knowledge of this document and its practical application is vital for the Senior Examiner's conduct and assessment of the SFE/TRE during the AoC.

5.3 **Conduct of the Senior Examiner when conducting an AoC**

5.3.1 The Senior Examiner must be a role model for the SFE/TRE and demonstrate all the qualities and skills expected of an examiner.

Note: For an EAoC to be valid. This content shall comprise a minimum of 5 mandatory items (including items at least two 3.4 or 3.6 items), at least 2 of which must be manually flown engine inoperative items requiring a handling assessment.

5.3.2 **Briefing the SFE/TRE**

- A senior Examiner should contact the examiner candidate in advance of the detail. Meeting times, expectations on the day and administrative details should be covered in advance.
- The Senior Examiner should confirm in advance if the candidate has completed an Examiner Refresher Course/Seminar and ask that the certificate is available to be checked on the day of the EAoC. If the examiner has not completed one prior to the EAoC, then the examiner should be reminded that whilst the EAoC may proceed, they will not be able to exercise their privileges beyond their current expiry date until one has been completed.
- Arrive in good time, so as to be able to brief the SFE/TRE away from the crew. Brief the purpose and format of the check, explaining that the SFE/TRE can expect an oral check of his knowledge of Document 24(A) or (H), rules and regulations pertaining to his or her examiner authorisation.
- Confirm details of the simulator and crew. Ensure the crew is representative, properly constituted and the check being observed is suitable.
- The Senior Examiner's principal interest is the performance of the SFE/TRE, who will have to demonstrate competence as an examiner of both the technical and non-technical elements of the candidate(s) performance.
- Explain that on completion of the simulator detail the Senior Examiner and the SFE/TRE will confer before the de-brief of the crew (assessment summary). The SFE/TRE must not announce any result without prior consultation with the Senior Examiner: this will ensure a common assessment standard.
- Confirm the contents of the test or check to be observed and how it will be achieved.
- Check if there are any constraints on the day; e.g. time/sickness/simulator problems.
- Remind the SFE/TRE that the briefing and de-briefing are to be directed to the crew, not to the Senior Examiner. The Senior Examiner will emphasise that he or she will take no part in the conduct of the detail.
- The SFE/TRE should be told to have no hesitation in informing the Senior Examiner if he or she is in the way at any time.
- Obtain copies of any airfield plates and checklists being used.
- Check that a headset is available for the Senior Examiner.

- Explain that the Senior Examiner will need to check the SFE/TRE's licence, and the crew's licences after the SFE/TRE has checked them.
- The whole detail must be observed in order to assess the SFE/TRE's management of time and to allow time for a full de-brief. See 5.3.5 note below. Make sure that the SFE/TRE has enough information to carry out the check without reference to the Senior Examiner.
- Ask the SFE/TRE for his record of tests.
- Ensure that a full Health and Safety briefing for both the briefing room and the simulator is given by the SFE/TRE.

Note: The CAA puts a strong emphasis on Health and Safety at every stage of pilot training/checking. Simulator safety is particularly important as direct access to the outside world is removed when the motion is turned on. Knowledge of escape procedures and safety devices is vital, as a fire inside the simulator can be fatal. The SFE/TRE is under check, and as such the Senior Examiner has the responsibility to supervise and assess the entire Health and Safety briefing no matter how familiar he himself may be with the device.

- Ask the SFE/TRE if he or she has any questions.
- Confirm that he or she has been adequately briefed.

5.3.3 **Senior Examiner's Introduction to Crew**

- The Senior Examiner will explain that he or she needs to observe the SFE/TRE conducting the detail (one day only) in order to carry out the AoC. Reassure the crew that the SFE/TRE will conduct a normal company check and make all decisions during the detail without reference to the Senior Examiner, and he will be applying normal standards.
- Explain that on completion of the simulator detail the Senior Examiner will ask the SFE/TRE to give the Senior Examiner a brief preview of his assessment prior to his de-briefing of the crew (assessment summary) – this is a normal aspect of the exercise to ensure common standards.
- Explain that the Senior Examiner will need to record some details from the crew's licences after the SFE/TRE has checked them.
- Once this has been done, the Senior Examiner should move to a position in the room where he is least obtrusive.

5.3.4 **Conduct during the SFE/TRE's Briefing to the Crew**

- Allow the SFE/TRE to brief uninterrupted.
- Make sure that he is briefing the crew not the Senior Examiner.
- Make notes on the points the Senior Examiner wishes to de-brief.
- If there are any major omissions or inaccuracies, ensure that these are covered before entering the simulator.

5.3.5 **Conduct of the Simulator Detail**

- The Senior Examiner will observe that the SFE/TRE checks the simulator qualifications and capabilities for the task. Knowledge of the content of the ATO certificate and OMD should also be observed.
- Check the SFE/TRE's initial entry into the technical log.
- Observe that the SFE/TRE checks the serviceability of the simulator, both visually and with regards to the technical log.

- During the simulator detail, the Senior Examiner will make every effort to be a “fly-on-the-wall” observer and ensure that his presence does not interfere with the SFE/TRE’s ability to carry out his duties. On no account should the Senior Examiner intervene in any way to change the flow of the session, the SFE/TRE’s management of the detail or even to ask questions of any participant. He should make notes for confirmation of actions by the SFE/TRE at the post session de-brief of the SFE/TRE carried out prior to the crew de-brief.
- The Senior Examiner will make notes on the performance of the crew as if he or she were conducting the test/check, as well as making notes on the SFE/TRE’s performance. The Senior Examiner will monitor the content and conduct of the test/check and the use of simulator functions to create realistic training and checking.
- The SFE/TRE should make effective use of available functions and time to create realistic training and checking. The SFE/TRE’s standard of radiotelephony simulation of the ATC environment and procedures should be assessed and must be at the highest possible standard.

Note: The check conducted by the SFE/TRE candidate, is usually completed during an LPC or LST. A standalone OPC is permitted providing the SFE/TRE includes a number of additional items from Part FCL appendix 9 (these must be agreed with the Senior Examiner). This observation by the Senior Examiner, must always be a ‘live’ check; i.e. it must be a genuine check of at least one of the crew members. Role-played exercises for the purposes of an SFE/TRE AoC or an LOE are not permitted. The SFE/TRE candidate for this Senior Examiner AoC should not be a Senior Examiner.

5.3.6 **Post-simulator Procedures**

- Immediately after exiting the simulator, the crew should be encouraged to retire to the briefing room or refreshment area. No indication of the test result should be given at this stage.
- The SFE/TRE should be given time to complete the simulator technical log – this should be checked by the Senior Examiner to ensure that a correct entry has been made. Guidance for the completion of the simulator technical log can be found in Standards Document 24(A).
- The Senior Examiner should now ask the SFE/TRE for a summary of his assessment. He must not rush the SFE/TRE - but should allow him to review his notes and reach his conclusions before telling the Senior Examiner the result.
- If the assessment is substantially the same as that of the Senior Examiner, the SFE/TRE should be asked to de-brief the crew.
- However, when the SFE/TRE’s assessment is significantly different from the Senior Examiner’s, the result should be discussed and the standards explained to the SFE/TRE. A SFE/TRE will sometimes be overcritical because he is being observed. Providing the Senior Examiner is satisfied that correct standards will be applied, he may then allow the SFE/TRE to carry out the de-briefing and, if all other aspects of the exercise are satisfactory, the SFE/TRE EAoC may be assessed as a pass. This should be noted on the TS10 report.
- If the Senior Examiner is not satisfied that the SFE/TRE has demonstrated the required standard in the conduct of the check or assessment, the Senior Examiner should de-brief the crew and complete the paperwork.

5.3.7 **SFE/TRE’s De-brief of the Crew**

Effective analysis of overall competence including technical and non-technical skills is a requirement for the revalidation of the SFE/TRE’s certificate. The Senior Examiner should check that appropriate use is made of facilitation techniques, with reference to the Behavioral or Competency Marker System in use. The Senior Examiner should:

- Note the format and structure of the de-briefing;
- Take account of fault analysis and training advice.

5.3.7 **SFE/TRE's De-brief of the Crew**

Effective analysis of overall competence including technical and non-technical skills is a requirement for the revalidation of the SFE/TRE's certificate. The Senior Examiner should check that appropriate use is made of facilitation techniques, with reference to the Behavioral or Competency Marker System in use. The Senior Examiner should:

- Note the format and structure of the de-briefing;
- Take account of fault analysis and training advice.

Senior Examiners must ensure that a crew under check are appropriately debriefed on their performance. The Senior Examiner may make a judgement to intervene after a debriefing has concluded. If the Senior Examiner raises only minor issues or merely provides a better example of a debriefing technique, then this is merely performance development and need not affect the outcome. If, however, the points missed by the examiner are major, the examiner has missed key safety issues, has demonstrated a poor standard of debriefing or missed key root cause items, then a fail of the examiner may be considered by the Senior Examiner.

Demonstrating debriefing techniques, e.g. facilitation, and enhanced root cause analysis may prove a beneficial example to the examiner under assessment. This should not develop into a long-winded second de-briefing to a crew who have already had a long day.

3.8 **SFE/TRE's Administration**

The Senior Examiner should observe the correct completion of the following items, as applicable:

- All check forms
- Certificates of Revalidation signed in crew's licences
- Required CAA forms or equivalent process

5.3.9 **Senior Examiner's check of SFE/TRE's Knowledge**

The Senior Examiner should assess the level of the examiners knowledge throughout the EAoC and use that assessment to form a judgement.

After the initial outcome of the EAoC has been delivered to the examiner by the SE, use facilitative methods to further establish and develop the SFE/TRE's knowledge of regulations. Relevant questions may well arise from the observed check, and recent changes to regulations should also be reviewed.

5.3.10 **Senior Examiner's De-brief of SFE/TRE**

- An Examiner Competence Matrix can be found at Appendix 2 to this document. Reference should be made to this when assessing the TRE's performance. The assessment scores will be recorded on the TS10. It may also prove useful as a framework when prioritising the subsequent de-brief.
- The SFE/TRE must be comprehensively de-briefed, and any items that were below standard fully explored.
- The de-briefing techniques laid out in Standards Document 24(A) and (H) must be used. The appropriate use of facilitation must be included as an exemplary demonstration to the SFE/TRE.
- If applicable, discuss any company procedures that may require modification.

- If the SFE/TRE has failed the check, a Notice of Failure (part of the TS10) must be issued.

5.3.11 **Senior Examiner's Administration – General**

- Maintain a personal record of checks conducted. Retain contemporaneous notes and a copy of the TS10.
- The TS10 reports should give a synopsis of the SFE/TRE's performance and grades awarded.
- The narrative must be consistent with pass/fail assessment.

Note: It is a requirement under part ARA that the UK CAA monitors examiner performance. SRG1845 (TS10) reports are routinely monitored and trends in reports and grades useful to monitor and develop standards.

5.3.12 **Senior Examiner's Administration – Initial EAoC (only completed by a CAATI)**

Pass:

Issue an SRG1100a. An SRG1100a is only valid for 8 weeks. Remind the SFE/TRE that until he/she receives his/her certificate from **examiner@caa.co.uk** he/she should attach a copy of the provisional certificate to each SRG2199 submitted.

For quality and audit purposes to check valid ratings, a copy or image of the licence, ratings page of the candidates licence, examiner certificate and examiner refresher seminar should additionally be sent with the SRG1845 (TS10).

Send the SRG1845 (TS10) to **examiners@caa.co.uk** in a timely manner.

Fail:

Notice of Failure (TS10) must be completed and e-mailed to the candidate and **examiners@caa.co.uk**. The TS10 should contain clear recommendations for required retraining and retesting. The Training Standards and Policy Group or the FOM ATO&FCL will make an objective decision on retraining and retesting requirements.

5.3.13 **Senior Examiner's Administration – revalidation and renewal EAoC**

Pass:

Issue SRG1100a or new examiner certificate and sign. If the candidate already holds a new format examiner certificate, then this may be signed and dated by the Senior Examiner. An SRG1100a is only valid for 8 weeks.

For quality and audit purposes to check valid ratings, a copy or image of the licence, ratings page of the candidates licence, examiner certificate and examiner refresher seminar should additionally be sent with the SRG1845 (TS10).

Send the TS10 to **examiners@caa.co.uk** in a timely manner along with a copy of the Examiner Refresher Course/Seminar.

Fail:

Notice of Failure (TS10) must be completed and e-mailed to the candidate and **examiners@caa.co.uk**. The TS10 should contain clear recommendations for required retraining and retesting. The Training Standards and Policy Group or the FOM ATO&FCL will make an objective decision on retraining and retesting requirements.

5.3.14 Procedures to sign licensing certificates

New examiner certificates are being released in 2019 with a signature block. If an EAOc has been approved by the UK CAA and the EAOc successfully passed, and the evidence of completion an examiner refresher seminar received, then the Senior Examiner may sign and date the licensing certificate permitting the examiner to continue exercising privileges for a further period of validity.

In respect of an examiner authority, only a Senior Examiner or CAA Training Inspector may sign a licensing certificate in respect of an examiner authorisation and only if specifically designated to conduct the EAOc by **examiners@caa.co.uk**

Authorised signatories for revalidation/renewal of licensing certificates:

- CAATI only for SE or FIE.
- Senior Examiner (as authorised in individual cases) or CAATI for other examiner certificates (TRE, SFE, FE, CRE, IRE).
- TRE or SFE with applicable FCL.1005.TRE/SFE (a)(5), aeroplanes, (b)(4) helicopters, privileges for SFI, STI, MCCI. In the case of an examiner EAOc, only where approved to conduct the EAOc by the UKCAA.

Note: Examiners are reminded that they are responsible for ensuring that requirements are fulfilled before signing any certificate. Test designation procedures and submission of relevant Examiner Refresher Seminar certificates, licence copies and TS10's must be complied with in order for a certificate to be signed and for that signature to be legally valid.

To revalidate or renew a Licensing Certificate, the applicant must have first applied to **examiners@caa.co.uk** using the relevant form and fees paid accordingly. Any EAOc must be authorised and the SE or CAATI designated by the CAA after this application is made before the EAOc can proceed. This is a legal requirement and an Examiner Certificate cannot be revalidated by a Senior Examiner without authorisation and an examiner designation process by **examiners@caa.co.uk**

A Senior Examiner or CAATI cannot sign and date a licensing certificate if:

- Approval has not yet been received to conduct the EAOc from **examiners@caa.co.uk**
- If the correct authority is not detailed on the Examiner Certificate,
- The applicant does not yet hold a new format Examiner Certificate,
- The applicant has not completed a compliant Examiner Refresher Seminar or does not produce evidence of completion,
- If the EAOc is unsuccessful.

Note: Initial issue and every third revalidation MPA examiner EAOc shall be completed by a CAATI.

Once correctly designated and authority to conduct an EAOc has been received, the Senior Examiner or CAATI may proceed as follows:

- Arrange the EAOc directly with the applicant and complete the EAOc within 3 months or the remaining validity of the examiner (outside of this period, **examiners@caa.co.uk** should be contacted to ensure continuing authority to conduct the AoC)
- Ideally remind the Examiner in advance of the EAOc of the requirement to have completed a compliant Examiner Refresher Seminar and to bring evidence of completion to the EAOc.
- Upon successful completion of an EAOc, the Senior Examiner must confirm that the Examiner has fulfilled the requirements for a Refresher Seminar. The Examiner Refresher Seminar certificate must be submitted along with the form TS10.
- Once all requirements have been fulfilled, the Senior Examiner or CAATI may sign and date the new format Examiner Certificate.

- Submit the TS10 **as soon as possible** to **examiners@caa.co.uk**. You must attach a scanned copy of the Examiner Refresher Seminar Certificate, additionally a scanned copy of the applicant's Licence and licence certificate.

If the Examiner has not yet completed a compliant Examiner Refresher Seminar, an EAOc may still proceed. However, if successful, the Senior Examiner or CAATI cannot then sign the Examiner Certificate. In this case, the Examiner may only continue to exercise Examiner privileges only up to the current validity and the TS10 submitted to the CAA as per the previous procedure. **Examiners@caa.co.uk** will issue a new Certificate once evidence of the Examiner Refresher Seminar has been received.

Alternatively, the Examiner may subsequently evidence completion of the Examiner Refresher Seminar to the Senior Examiner **or CAATI** within a **reasonable timescale**, the Senior Examiner **or CAATI** may then sign the Examiner Certificate and extend the validity accordingly, however the Refresher Seminar evidence must be submitted to **examiners@caa.co.uk** with the subsequent TS10.

If the EAOc has been successfully completed and the Senior Examiner or CAATI has signed the Examiner Certificate, then a TS10 and a copy of the Examiner Refresher Seminar Certificate and applicant's licence should be submitted **within 8 weeks** to **examiners@caa.co.uk**

Fig 1: Example of new licensing certificates

Certificate	Date of AOC	Aircraft	Valid Until	Senior Examiner Number	Senior Examiner's Signature
TRE(A)	06/03/2019	A320 (FFS)	31/03/2022	236146J	An SE or CAATI
Senior Examiner (A)	07/03/2019		31/03/2022	236146J	A CAATI
SFI(A)		A320		236146J	An (a)(5) or (b)(4) examiner valid on type

6 RECURRENT DEVELOPMENT TRAINING

To maintain the privileges of their authorisation, Senior Examiners are required to attend a refresher course/seminar during the last year of the validity period of their Examiner Certificate. This will be organised by the UK CAA Flight Operations and dates will be notified each year to the SE community.

Whilst not recommended, a Senior Examiner may complete their revalidation EAOc before they have had the opportunity to attend a refresher course/seminar. However, in this case, the examiner certificate cannot be signed, and privileges are limited only to the original expiry date until a new examiner certificate has been issued.

APPENDIX 1 PRE-COURSE STUDY GUIDE

SENIOR EXAMINER COURSE

PRE COURSE STUDY GUIDE

During the course we will refer to the following sources of information. Please familiarise yourself in brief with the relevant parts of the documents listed below:

1. The EU Aircrew Regulation (EASA Part FCL) and associated AMC and GM for Examiners – Sub Part K
2. EASA Organisation Requirements for Aircrew (Part-ORA)
3. EASA Authority Requirements for Aircrew (Part-ARA)
4. AIR-OPS
 - AMC1 ORO.FC.230 - Operator's recurrent training (Operator Proficiency Check)
 - Subpart E AMC1 SPA.LVO.120 (All Weather Operations)
5. CS-FSTD (A)
6. OTHER DOCUMENTS
 - Aeronautical Information Circulars. In particular those relating to EASA licensing requirements (white) and safety related (pink) that refer to training.
 - The Air Navigation Order
 - CAP 804
 - Standards Document 28
 - Standards Document 24(A) or (H)
 - Standards Document 29
 - Standards Document 43
 - ICAO – Pans Ops 8168
 - UK AIP
 - Flight Crew Training Notices (FCTNs)
 - Relevant CAA Safety Notices
 - Relevant CAA Information Notices
 - Relevant CAA forms

Please see below for links to some of these documents:

EASA

Part FCL

<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2011:311:0001:0193:EN:PDF>

AMC to Part FCL

<https://www.easa.europa.eu/system/files/dfu/AMC%20and%20GM%20to%20Part-FCL.pdf>

Aircrew - ARA/ORA

<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2012:100:0001:0056:EN:PDF>

AMC to Part ARA

<https://www.easa.europa.eu/system/files/dfu/Annex%20to%20ED%20Decision%202012-006-R.pdf>

AMC to Part ORA

<https://www.easa.europa.eu/system/files/dfu/Annex%20to%20ED%20Decision%202012-007-R.pdf>

ATOs

<http://easa.europa.eu/easa-and-you/aircrew-and-medical/approved-training-organisations>

OPS structure

http://easa.europa.eu/system/files/dfu/EU%20965-2012_Structure.pdf

Air Ops texts – ARO/ORO etc

<http://easa.europa.eu/regulations#regulations-air-operations>

EASA Examiner Differences Document

https://easa.europa.eu/system/files/dfu/Examiner%20Differences%20Document_version_06_2015.pdf

CAA Pubs

CAP 804

<http://publicapps.caa.co.uk/modalapplication.aspx?appid=11&mode=detail&id=6412>

NATS

AICs

http://www.nats-uk.ead-it.com/public/index.php%3Foption=com_content&task=blogcategory&id=10&Itemid=17.html

APPENDIX 2 SENIOR EXAMINER COMPETENCIES AND GRADING

1 **Examiner prerequisites FCL.1010**

Prior to applying for examiner assessment, the candidate must have suitable knowledge, background and experience. The candidate should demonstrate a cooperative approach to the competent authority.

2 **Examiner standardisation FCL.1015**

During examiner standardisation courses at least 2 skill tests must be completed. The candidate must receive instruction on the relevant regulations within Part FCL. The candidate should also be familiar with the administrative procedures pertinent to the role.

3 **Assessment of competence FCL.1020**

The assessment of competence will specifically address the following items:

- Briefing
- Conduct of the test (Aircraft or simulator)
- Assessment
- Debriefing
- Documentation

The assessment must be in accordance with flight test/check standards defined within Part FCL Appendix 9.

Standards Document 24 (A and H) focuses on the competence of the examiner, however every examiner also needs to maintain instructor competencies AMC1.FCL.920 clearly requiring the assessment and teaching of threat and error management and CRM.

Whilst the technical limitations are clearly defined examiners must also assess the following:

- Management of crew cooperation
- The crews' ability to maintain a general survey of aircraft operations by appropriate supervision
- Ensure the crew set priorities and make decisions during emergency operations
- The crews' ability to make decisions in accordance with safety aspects, rules and regulations

4 **UK Examiner Standardisation**

To fulfil the EASA requirements to standardise all examiners Part ARA.FCL.205, the UK CAA will assess and record the observed competencies of all examiners during initial, renewal and revalidation of the examiner certificates. The resulting information will provide the UK CAA with valuable information to be used as feedback to the Senior Examiner and Training Inspector community. Any specific identifiable areas would be addressed during seminars for the examining community.

Senior Examiner competencies will be assessed in accordance with the table below and recorded on the SRG1845 (TS10):

Senior Examiner Competency Frame Work and Grading Markers

Competence	1 - Requiring Improvement Would not usually be acceptable for ongoing authorisation if several of these markers are apparent	2 - Basic Standard May be acceptable for ongoing authorisation, but development or further guidance may be required	3 – Good Senior Examiners are usually expected to demonstrate a standard to this level	4 - Very Good An exemplar performance
Briefing	The following require improvement: <ul style="list-style-type: none"> • Lack of preparation • Starts briefing without introduction • Lack of engagement or interaction with the examiner or crew • Little or no reference to H&S • Misses significant items when briefing the examiner or crew • Makes no reference to non-technical competency and behavioural markers scheme • Does not generate a constructive atmosphere • Unable or unwilling to answer questions from examiner or crew 	The following to a basic standard: <ul style="list-style-type: none"> • Adequate but not comprehensive preparation • Only gives a basic introduction prior to briefing • Basic engagement and interaction with the examiner or crew • Only a basic reference to H&S • Some items missed when briefing the examiner or crew • Makes only a basic reference to non-technical competency and behavioural markers • Basic ability to generate a constructive atmosphere. • Answers basic questions only from examiner or crew. Unsure of detail or where to find the answer. 	The following to a good standard: <ul style="list-style-type: none"> • Good preparation • Good introduction prior to briefing • Good levels of engagement and interaction with the crew • Good reference to H&S • Covers all appropriate briefing items • Good introduction to non-technical competency and behavioural markers • Generates a constructive atmosphere • Answers comprehensive questions from examiner or crew and is able to back up answers with references where required. 	The following to a very good standard: <ul style="list-style-type: none"> • Very good preparation • Very good introduction prior to briefing • Very good levels of engagement and interaction with the crew • Very good use of board or other visual medium • Very good reference to H&S • All briefing items comprehensively and constructively delivered • Very good introduction to non-technical competency and behavioural markers • Generates a highly constructive atmosphere • Confidently answers questions from examiner or crew and provides reference where applicable.

Competence	1 - Requiring Improvement Would not usually be acceptable for ongoing authorisation if several of these markers are apparent	2 - Basic Standard May be acceptable for ongoing authorisation, but development or further guidance may be required	3 – Good Senior Examiners are usually expected to demonstrate a standard to this level	4 - Very Good An exemplar performance
Simulator or aircraft Operation	The following require improvement: <ul style="list-style-type: none"> • Does not adequately observe examiner conduct and performance • Does not adequately observe the crew under check • Does not observe crews or examiners R/T standards • Poor note taking • Obstructs or distracts the crew under check or the examiner • Does not support H&S or crew welfare or ensure that this is regarded at all times • Unnecessary or hazardous intervention. • In an aircraft – allows an unsafe situation to develop without intervention 	The following to a basic standard: <ul style="list-style-type: none"> • Adequately observes examiner conduct and performance • Adequately observes the crew under check • Adequately observes crews or examiners R/T standards • Takes basic notes • Does not generally obstruct or distract the crew under check or the examiner • Does not intervene unless essential • Generally supports H&S and crew welfare and ensures that this is regarded at all times • In an aircraft – intervenes appropriately. Potentially to avoid an unsafe situation developing 	The following to a good standard: <ul style="list-style-type: none"> • Makes a thorough observation of examiner conduct and performance • Makes a thorough observation of the crew under check • Makes a thorough observation of a crews or examiners R/T standards • Takes good quality notes • Does not obstruct or distract the crew under check or the examiner • Does not intervene unless absolutely necessary • Supports H&S and crew welfare and ensures that this is regarded at all times • In an aircraft – Demonstrates best practice to avoid an unsafe situation developing 	The following to a very good standard: <ul style="list-style-type: none"> • Comprehensively observes examiner conduct and performance • Comprehensively observes the crew under check • Makes a comprehensive observation of a crews or examiners R/T standards • Takes clear and accurate notes • Never obstructs or distracts the crew under check or the examiner, acting intuitively to not impede the efficient conduct of the detail • Does not intervene unless absolutely necessary • Soundly supports H&S and crew welfare and ensures that this is to the highest standards at all times • In an aircraft – Demonstrates the best possible practice to avoid an unsafe situation developing

Competence	1 - Requiring Improvement Would not usually be acceptable for ongoing authorisation if several of these markers are apparent	2 - Basic Standard May be acceptable for ongoing authorisation, but development or further guidance may be required	3 – Good Senior Examiners are usually expected to demonstrate a standard to this level	4 - Very Good An exemplar performance
Instruction (a general observation of the examiners ability as an instructor is always required – the grade reflects the Senior Examiners observation or development of the markers in this row as demonstrated by an examiner)	<ul style="list-style-type: none"> Unaware of the root cause of the fault Emphasis on the ‘What’ rather than the ‘How’ Inappropriate style Mixing of instruction and examining No reference made to (any relevant) Non-Technical Skills 	<ul style="list-style-type: none"> Aware of examiner acting as an instructor or examiner Correct observation of faults Provides correct technical input Makes mention of relevant NOTECH category or element 	<ul style="list-style-type: none"> Clear identification of root cause/behavioural markers Facilitates error analysis where appropriate Identifies teaching points with key words and concise phrases Seamlessly integrates technical and non-technical skills with pointers 	<ul style="list-style-type: none"> Generates a high level of engagement with the crew. Increases the confidence and skills of the examiner with appropriate intervention throughout the training event Facilitates crew learning especially regarding behavioural markers
Assessment	<ul style="list-style-type: none"> Incorrect assessments made Standard not correctly applied Lack of evidence to support assessment Many important items missed Does not identify root causes Does not assess overall competency including non-technical performance Does not assess good as well as poor performance 	<ul style="list-style-type: none"> Correct assessments generally well made Standards generally well applied Should gather more robust evidence to support assessment Some items missed Could identify root causes better Assesses overall competency including non-technical performance, but some items missed Assess good as well as poor performance, but not always 	<ul style="list-style-type: none"> Accurate assessments Standards well applied Gathers evidence to support assessment Few items missed Identifies root causes well Assesses overall competency including non-technical performance. Assesses good as well as poor performance 	<ul style="list-style-type: none"> Very accurate assessments The highest possible Standards applied Clear and irrefutable evidence gathered to support assessment No items missed Identifies in-depth root causes Assesses overall competency including non-technical performance to best possible standard Always assesses good as well as poor performance

Competence	1 - Requiring Improvement Would not usually be acceptable for ongoing authorisation if several of these markers are apparent	2 - Basic Standard May be acceptable for ongoing authorisation, but development or further guidance may be required	3 – Good Senior Examiners are usually expected to demonstrate a standard to this level	4 - Very Good An exemplar performance
De-brief	<ul style="list-style-type: none"> • Result not clearly stated or incorrect delivery • Does not lead the examiner to root causes of their performance outcomes • Does not cover items with a clear safety link • Does not de-brief good as well as poor performance • Chronological order used • Nit-picking, personalising the debriefing, picking on junior crew members • No reference to non-technical skills or behavioural markers • Poor consideration of crew or examiner welfare • Poor adherence to CAA procedures/forms etc 	<ul style="list-style-type: none"> • Result clearly stated and correctly delivered • Generally helps lead the examiner to root causes of their performance outcomes • Covers items with a clear safety link • De-briefs some good and some poor performance • Chronological order sometimes used • Does not generally nit-pick, and presents a fair and balanced debrief • Makes basic reference to non-technical skills or behavioural markers • Generally considers crew and examiner welfare • Generally adheres to CAA procedures/forms etc 	<ul style="list-style-type: none"> • At ease with facilitation to move the de-brief in the required direction • Draws common faults together to find root causes • Links NOTECHS and behavioural markers into the result of the check • Balances praise and criticism • Generation of summary • Ability to listen to crew and examiner feedback • Offers tips and advice • Identifies missing skills (technical and non-technical) • Good state of welfare awareness • Good adherence to CAA procedures/forms etc 	<ul style="list-style-type: none"> • A proficient facilitator always moving the de-brief in the required direction • Allows the crew to drive the conversation with the examiner controlling the agenda • Achieves agreement of examiner/crew • Seamless integration of the NOTECHS and behavioural markers into all aspects of the operation • Examiner/Crew leave with clear and concise learning points • Checks understanding and summarises learning points covered • Excellent welfare awareness • Excellent adherence to CAA procedures/Forms etc
Regulation (Regulatory and Theoretical knowledge appropriate to a Senior Examiner)	<ul style="list-style-type: none"> • Poor standard of regulatory and theoretical knowledge 	<ul style="list-style-type: none"> • Basic standard of regulatory and theoretical knowledge 	<ul style="list-style-type: none"> • Good standard of regulatory and theoretical knowledge 	<ul style="list-style-type: none"> • Excellent standard of regulatory and theoretical knowledge

APPENDIX 3 AUTHORISATION AND DISCIPLINARY ACTION

1 *Introduction*

The CAA may authorise a person to conduct such examinations or tests as it may specify.

This policy sets out the basis on which the CAA authorises persons under this provision.

The CAA requires to be satisfied that a person is fit and qualified to conduct any specified examinations or tests before authorising them to do so. In considering whether it is or remains satisfied that a person is fit and qualified to act as an authorised examiner, the CAA will consider the matters set out below.

If the CAA ceases to be so satisfied about an authorised examiner, it will take appropriate action.

2 Requirements for the CAA to be satisfied that a person is fit and qualified to be authorised as an examiner include:

- a. Demonstrate compliance with the Air Navigation Order, Rules of The Air Regulations, Regulation Aircrew Part-FCL, Regulation Air Operations Part-ORA, Part-CAT and good aviation practice in respect of their own flight operations.
- b. Have licences and ratings as required for the exercise of their examining privileges.
- c. Agree to comply with standardisation and currency requirements as determined by the CAA.
- d. Agree to keep records of flight tests and make them available for inspection when required by the CAA.
- e. Be of good character and have integrity.
- f. Conduct tests impartially and without fear or favour in accordance with the procedures and standards for testing as determined by the CAA.
- g. Only sign authorisations or licence pages if they have ensured that the applicant has met all the requirements.

Examiners have a vital role in the regulation of flight standards and promotion of Flight Safety by conducting flight tests and/or ground examinations for ratings and licences. It is essential that examiners have the trust and respect of the CAA, the applicants for tests and the aviation community in general.

3 *Disciplinary action*

If it becomes apparent that an examiner is failing to achieve the standards expected of him/her, the CAA will take appropriate steps to rectify the situation. Among the courses of action available are the following:

- a) Interview.
- b) Formal Warning.
- c) Requirement for retraining and/or retesting of examiner skills.
- d) Suspension of Examiner Authorisation.
- e) Revocation of Examiner Authorisation.

The particular course of disciplinary action will depend on the circumstances of the individual case. FOM ATO&FCL in consultation with the Training Standards Policy Group may mandate remedial action such as retraining/testing, an interview or a formal warning. An authorisation may be suspended until such remedial action is completed.

FOM ATO&FCL will take suspension or revocation action where it is considered that the CAA cannot remain satisfied as to the fitness or qualification of the examiner.

In the event of a proposal to suspend or revoke an authorisation, an examiner will be entitled to appeal against the decision in accordance with Regulation 6 (5) of the Civil Aviation Authority Regulations 1991, as amended.

4 ***Procedure Employed by Flight Operations***

This procedure documents the actions to be employed by FLT OPS for taking disciplinary action when a Senior Examiner fails to maintain the standards of conduct required by FLT OPS.

4.1. ***Policy or Policy Reference:***

- a) Standards Document 28.
- b) Standards Document 24(A and H).
- c) ANO.
- d) CS FSTDA and H.
- e) Part-FCL.
- f) Part-ORA.
- g) AIR-OPS – Commercial Air Transport.

4.2 ***Purpose and Scope***

To ensure that Senior Examiners conduct themselves with the appropriate level of skill, integrity, and good judgement and that they are in compliance with procedures and regulations with regard to their conduct of tests and their conduct as aviators.

4.3 **Actions**

Step	Requirements				
1 Receive complaint					
2 Section head	<ul style="list-style-type: none"> • Report to FOM ATO&FCL Training. • FOM ATO&FCL opens file on case. • FOM ATO&FCL organises investigation into complaint. 				
3 Investigate complaint	<ul style="list-style-type: none"> • If complaint is not supported by evidence, FOM ATO&FCL makes report to that effect and closes file. • If complaint is supported by evidence, consider immediate suspension of Senior Examiner authorisation pending corrective action. 				
4 If suspension is necessary Suspend Senior Examiner authorisation	<ul style="list-style-type: none"> • FOM ATO&FCL sends letter to examiner suspending examiner authorisation pending further investigation or corrective action (and informs legal department and Licensing and Training Standards Policy Group). • The letter of suspension must be sent as soon as there is sufficient evidence of a problem; delays may result in the Senior Examiner continuing to conduct tests improperly. 				
5 Consider and notify Senior Examiner of corrective action required	<ul style="list-style-type: none"> • FOM ATO&FCL decides what corrective action is required. <p>Possible corrective actions</p> <ul style="list-style-type: none"> • Admonish. • Interview. • Retraining. • Re-test as examiner. • Revoke examiner authority. <p>Senior Examiner is notified of the required corrective action.</p>				
6 Implement/monitor and complete corrective action	<table border="1"> <thead> <tr> <th data-bbox="550 1323 1002 1384">• Corrective action</th> <th data-bbox="1008 1323 1457 1384">• Implemented and monitored by</th> </tr> </thead> <tbody> <tr> <td data-bbox="550 1393 1002 1581"> <ul style="list-style-type: none"> • Issue admonishment. • Interview. • Retraining as examiner. • Re-test as examiner. • Revoke examiner Authority. </td> <td data-bbox="1008 1393 1457 1581"> <ul style="list-style-type: none"> • FOM ATO&FCL. • FOM ATO&FCL. • CAAI. • CAAI. • FOM ATO&FCL informs Legal Dept. </td> </tr> </tbody> </table>	• Corrective action	• Implemented and monitored by	<ul style="list-style-type: none"> • Issue admonishment. • Interview. • Retraining as examiner. • Re-test as examiner. • Revoke examiner Authority. 	<ul style="list-style-type: none"> • FOM ATO&FCL. • FOM ATO&FCL. • CAAI. • CAAI. • FOM ATO&FCL informs Legal Dept.
• Corrective action	• Implemented and monitored by				
<ul style="list-style-type: none"> • Issue admonishment. • Interview. • Retraining as examiner. • Re-test as examiner. • Revoke examiner Authority. 	<ul style="list-style-type: none"> • FOM ATO&FCL. • FOM ATO&FCL. • CAAI. • CAAI. • FOM ATO&FCL informs Legal Dept. 				
7 Complete case actions	<ul style="list-style-type: none"> • Re-instate examiner authority (if appropriate) by letter when corrective action complete – FOM ATO&FCL. • Inform legal department and Licensing and Training Standards Policy Group. • Record corrective actions completed on form TS10. • Close file and save to Senior Examiner's personal file. 				

APPENDIX 4 THE SRG1845 (TS10)

The SRG 1845 (TS10) is available via the CAA forms website

<http://caa.co.uk/srg1845>

Guidance material and submission instructions are contained within the form. Please ensure that completed TS10 Reports are sent to:

examiners@caa.co.uk and ts10data@caa.co.uk

APPENDIX 5 THE EU GENERAL DATA PROTECTION REGULATION

Responsibilities of Examiners:

A16.1 The EU General Data Protection Regulation (GDPR) replaces the Data Protection Directives 95/46/EC.

A16.2 As an examiner carrying out skill tests, proficiency checks or assessments of competence on behalf of the CAA it is important that you understand the provisions of the Regulation and safeguard personal data that you collect during testing accordingly. Central to the Regulation are the 6 principles of data protection:

A16.3 Personal data shall be:

- a) Processed lawfully, fairly and in a transparent manner in relation to individuals;
- b) Collected for specified, explicit and legitimate purposes and not further processed in a manner that is incompatible with those purposes; further processing for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes shall not be considered to be incompatible with the initial purposes;
- c) Adequate, relevant and limited to what is necessary in relation to the purposes for which they are processed;
- d) Accurate and, where necessary, kept up to date; every reasonable step must be taken to ensure that personal data that are inaccurate, having regard to the purposes for which they are processed, are erased or rectified without delay;
- e) Kept in a form which permits identification of data subjects for no longer than is necessary for the purposes for which the personal data are processed; personal data may be stored for longer periods insofar as the personal data will be processed solely for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes subject to implementation of the appropriate technical and organisational measures required by the GDPR in order to safeguard the rights and freedoms of individuals; and
- f) Processed in a manner that ensures appropriate security of the personal data, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organisational measures.
- g) Not be transferred to a country or territory outside the European Economic Area (EEA), unless that country or territory ensures an adequate level of protection for the rights and freedoms of data subjects.
- h) Applying these principles to the official records that you keep after flight events, i.e. the appropriate CAA forms or examiner records, these records must be:
 - i) Not used for any other purpose than as test records.
 - ii) Kept for only as long as necessary. You should keep records for 5 years and then destroy them. ATO's and AOC's must retain data for 3 years.
 - iii) Not disclosed to any unauthorised person. Disclosure should be limited to the test subject, CFI, HT, new examiner and appropriately authorised members of the CAA.
 - iv) Kept securely – i.e. in a locked cabinet or drawer.
 - v) Not transferred outside the EEA (e.g. to the USA, New Zealand or South Africa) without the permission in writing of the data subject. If you are examining outside the

EEA then you should maintain normal personal records but should not allow these records (apart from flight details and the test result itself) to form any part of the official records of the organisations for which you are working or at which the applicant is a student.

A16.4 Data Breaches

Any loss of information or equipment containing personal data handled and/or processed on behalf of the CAA, including by CAA employees, agency staff and contractors, no matter how small, must be reported to the External Response Team immediately so that any potential risk can be mitigated. Unauthorised access to personal data is also considered as a data breach. Anyone discovering or suspecting a breach (loss of personal data, theft, wrongful disclosure or unauthorised access) in relation to personal information handled by or on behalf of the CAA must report the incident to the ERT immediately-

A16.5 It should be noted that examiners might have to produce any of their records under the Freedom of Information Act 2000.

A16.6 For those with Internet access, a full description of the rights and obligations conferred by the Regulation can be found at <http://www.ico.gov.uk>.