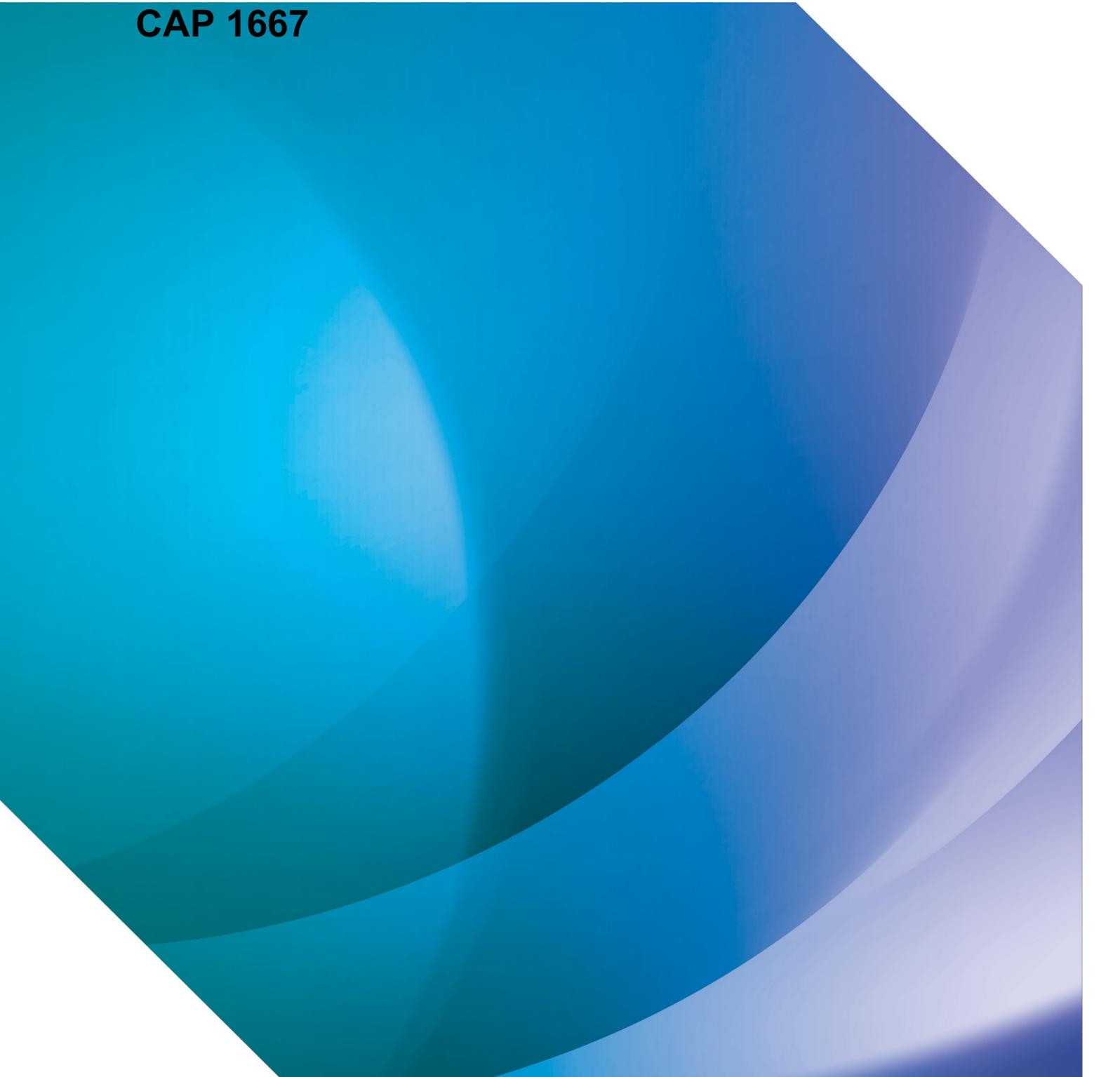


Gyroplanes: Criteria for the approval of Non-Complex Training Organisations offering training courses for Commercial Pilot Licences and Flight Instructor Certificates

CAP 1667



Published by the Civil Aviation Authority, 2020

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Aviation House,
Gatwick Airport South,
West Sussex,
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Version 1 published January 2020

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This document is for the guidance of organisations seeking an approval. The latest version of this document can be viewed on the General Aviation Unit website at www.caa.co.uk/.

The document is subject to revision as information is disseminated by the European Aviation Safety Agency and departments within the UK CAA Safety and Airspace Regulation Group

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Foreword

The purpose of this document is to provide background to the requirements for organisations or persons seeking to apply for Approval as a UK National Approved Training Organisation [ATO-N] to conduct courses of training for Commercial Gyroplane pilot licences and Flight Instructor qualifications, whose principal place of business and registered office are located in the United Kingdom.

Nothing in this document is intended to conflict with the UK statute law where applicable. Whilst every effort is made to ensure that all information is correct at 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

This document and other CAA Civil Aviation Publications and Standards Documents are available at www.caa.co.uk/ website and can be downloaded to users without charge.

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Glossary of Abbreviations and Terms

AMC	Acceptable Means of Compliance (EASA)
ANO	Air Navigation Order
ARA	Authority Requirements for Aircrew
ATO-N	UK National Approved Training Organisation
ATC	Air Traffic Control
ATPL	Airline Transport Pilot Licence
CAA	Civil Aviation Authority (UK)
CFI	Chief Flight Instructor
CM (M)	Compliance Monitoring (Manager)
CPL	Commercial Pilot Licence
EASA	European Aviation Safety Agency
FSTD	Flight Simulation Training Device
FI(R)	Flight Instructor Restricted
GAU	General Aviation Unit
GM	Guidance Material (EASA)
GR	Ground Examiner
HT	Head of Training
IR	Instrument Rating
LAPL	Light Aircraft Pilot Licence
LSI	Licensing Standards Inspector
HT	Head of Training
JAR	Joint Aviation Requirements
MTOW	Maximum Take-off Weight
NAA	National Aviation Authority
OM	Operations Manual
OMM	Organisation Management Manual
ORA	Organisation Requirements for Aircrew

PPL	Private Pilot Licence
RTF	Registered Training Facility
SM	Safety Manager
SMS	Safety Management System
TM	Training Manual
SMS	Safety Management System

Part 1: Obtaining Approval

1. Introduction

Current Legislation and Status

The Air Navigation Order 2016 ('the ANO') Article 168 makes provision for the Civil Aviation Authority to require approval of such organisations and courses as it sees fit. As such this document lays down the criteria by which the CAA will grant approval, under National Regulations, to companies wishing to offer training courses towards the Commercial Pilots Licence (Gyroplanes) and Flight Instructor Certificate (Gyroplanes).

General

The information in this document is relevant to organisations which are seeking approval as an UK National Approved Training Organisation (ATO-N) to conduct Commercial Pilots Licence (Gyroplanes) (both Flight Training and Theoretical Knowledge courses) and Flight Instructor Certificate (Gyroplanes) courses

Organisations seeking approval are to be in possession of the latest version of CAA Standards Document 44 and the ANO.

Purpose of this Document

This document is intended to serve the following purposes:

- Help new organisations ensure that an application made for an initial approval as an ATO-N conducting CPL(G) (Flight and Theory – Gyroplanes Technical) and FI(G) courses will satisfy CAA requirements;
- Assist current FI (G) training course providers to meet the requirements for Approval;
- Explain administrative arrangements and legal matters particular to the United Kingdom;
- Ensure the process and procedures are understood by the organisations the CAA regulates, and to ensure continued compliance and ongoing approval.

Transition Period and Grandfather Rights

Organisations and individuals already known to UK CAA as having provided FI(G) training before 01 September 2019 now have until 31 August 2021 to comply with the requirements of this document.

Approval of a Training Organisation (National) wishing to operate outside the United Kingdom

In general, the CAA will approve ATO-N applicants where they have a Principal Place of Business and training activity within the United Kingdom. However, should an organisation wish to establish an additional site(s) outside the UK, the CAA will consider applications on the proviso that:

- The conditions of this document are met,
- Licence holders and applicants meet the requirements of Standards Document 44
- It is understood that all costs associated with approval of overseas bases will be recovered by UK CAA, upon invoice request, excepting the initial site / base application fees which are payable upon application.
- Written confirmation from the relevant National Aviation Authority that they agree to an organization conducting training for a UK National Licence within their territory.

The CAA is under no obligation to consider applications from an Organisation whose principal place of business is located outside of the UK.

2. Basic Approval Process for All Applicants

Prior to Application

The following information should be considered prior to application:

- An ATO-N is considered to be a single organisation staffed, equipped and operated in a suitable environment offering flight training, synthetic flight instruction and/or theoretical knowledge instruction.

- An ATO-N may be approved to conduct more than one kind of approved training course. However, the CAA will require that arrangements put in place to conduct a combination of courses are satisfactory.
- An ATO-N contracting activities must ensure that sub-contractors meet and remain in compliance with the requirements of this document.
- Where training is conducted at multiple locations, all sites will be subject to approval and inspection.

3. Preparation for Initial Approval

Timescales and Fees

When making an application for an initial approval, or to amend or vary an existing approval, an ATO-N should ensure that any documents provided are both complete and accurate. The application material should also clearly demonstrate full compliance with this document, UK Statute Law and European Legislation where applicable. As applications are processed in order of receipt, any omissions or errors in submitted material will inevitably delay the approval process. In addition, should the resolution of such errors and omissions prove time-intensive for the allocated Licensing Standards Inspector (LSI), further charges may be incurred, as detailed in the current CAA Scheme of Charges.

The initial fees payable on application include a minimum number of hours spent by CAA staff on the application. Hours in excess of these, will be invoiced monthly in arrears to the applicant ATO-N as detailed in the current CAA Scheme of Charges.

Fees will be invoiced annually on 1st April. Any courses added during the year will be invoiced on 1st April of the following year.

Language

The CAA will only approve courses prepared and delivered in the English language. All course material, including any documentation or records required, shall be in English. Training Organisations shall ensure that students, for whom English is a second language, have a comprehensive understanding of spoken and written English before admitting them onto a course (see para 27.2)

Where the course is conducted in a non-English speaking State, the HT shall ensure, before the commencement of the course, which students are capable of understanding

and interpreting aeronautical and other information promulgated by or on behalf of that State, concerning flight safety or related to the conduct of the course.

Items Required for Submission for Initial Application:

The following items must be submitted as part of the initial application for approval:

- Confirmation of Legal Entity of the applicant organisation e.g. a copy of the company registration document for limited and public limited companies (see Appendix 3)
- Completed and signed application form (SRG2116G)
- Relevant application fee as detailed in the CAA Scheme of Charges
- Key Post-holder nomination forms (form SRG2115) with CVs detailing relevant experience (Accountable Manager, Head of Training, Safety Manager, Compliance Manager and Nominated FIC Instructor / Chief Theoretical Knowledge Instructors if applicable)
- List of aircraft (and FSTD) to be used for the approved courses. Where these are not permanently available to the ATO-N, copies of hire agreements or contractual arrangements must be provided
- Details of accommodation and facilities to be used. Where these are not permanently available to the ATO-N, copies of hire agreements or contractual arrangements must be provided
- Copies of FSTD qualification certificates and user approval certificate (if FSTDs are to be used)
- List of Instructors and qualifications held (if not included in Manual)
- Operations, Training, Safety Management and Compliance Monitoring System Manuals. All manuals should have an effective means of document control and a list of effective pages These manuals may be combined into a single volume, suitably sectionalised, if desired.
- It is important that ATO-Ns provide a single email address to be used for all communication between the CAA and the organisation.

Additional Items in support of Initial Application:

The following information is to be included either on the relevant application form or in the Operations or Training Manual as appropriate and therefore need not be duplicated.

- A chart showing the organisational management structure.
- A description of the Operational accommodation; a floor plan with dimensions and purpose of individual rooms is usually appropriate.
- The availability of the required training equipment, facilities and instructors for future courses should be shown, giving details of ownership, leases or contracts as appropriate.
- Confirmation from Airfield operators of the applicant's permission to use facilities
- Samples of documentation relating to proposed courses and the training and checking forms detailed in the Training Manual, are to be provided.

4. Progress of an Application

Allocation of a Licensing Standards Inspector

Applications should be made to CAA Organisation Approvals Team using form SRG2116G. When a completed application has been received, together with fees, manuals and all other associated documentation, an LSI will be assigned to oversee the application process and review the documentation. Wherever possible the inspector will remain assigned to work with the company once approved.

Incomplete Applications

Where incorrect or incomplete information is supplied, the Organisation Approvals team shall notify the applicant as soon as possible by letter or email detailing the error or omission.

Review of Manuals and Supporting Documentation

A manual report will be raised following a review of documentation by the LSI to be forwarded for reference and appropriate action to the applicant organisation.

It is recommended that the applicant organisation progresses any requested items without undue delay. It should be noted that any applications not finalised within a twelve-month period may be cancelled by the CAA who will refund the monies paid less the chargeable hours spent on the application.

Inspection of Facilities

The purpose of the initial visit is to meet the post-holders, confirm the suitability of the facilities to be used for training, (including aircraft and FSTDs), the applicant's Management System (incorporating a compliance-monitoring system and safety management system) to ensure compliance with the regulations.

The allocated LSI will arrange with the applicant a mutually convenient time to visit the location of the proposed ATO-N. The visit should follow the pattern of a typical audit and include the following:

- An Opening Meeting with the post-holders and, preferably, the Accountable Manager. This allows the LSI to meet the key management personnel in the proposed ATO-N, discuss the application, and explain the scope of the visit. The visit schedule will also be explained.
- The audit of the proposed ATO-N including:
 - A tour of the proposed ATO-N facilities,
 - A review of aircraft, aircraft documentation and logbooks and FSTDs (if utilized).
 - Meetings with post-holders and key management personnel (including Head of Training, Safety and Compliance Monitoring Managers) and, if present, the Accountable Manager.
 - Review of any training documentation not previously submitted with the application.
 - Review of the proposed ATO-N's staff qualifications, licenses, certificates and ratings.
 - Review arrangements for security of records and documents.
 - Review of the proposed ATO-N's processes for safety risk management and compliance monitoring, including full documentation of internal audits

A Closing Meeting, again with the post-holders, and if possible the Accountable Manager, during which the LSI will discuss the audit, including any areas which do not conform to the regulatory requirements. Any required remedial action by the proposed ATO-N can be discussed with the LSI at this stage.

Post-Inspection

The LSI will record the findings of the Initial Inspection on a standard ATO-N Approval recommendation report form. A copy of this form will be forwarded to the ATO-N.

Follow-Up Actions

Where the outcome of the Initial Inspection is deemed unsatisfactory, or the LSI has raised any findings indicating a non-compliance with the regulatory requirements in any area, the ATO-N approval recommendation report will show the nature, the associated reference and the level of finding. The organisation will be required to submit a corrective action plan, acceptable to the LSI, to correct any non-compliant areas before the LSI can recommend approval.

Final ATO-N Approval

Once the outcome of the Initial Inspection is deemed satisfactory, and the organisation has been found to be fully compliant with the regulatory requirements, then the LSI will recommend that the organisation be approved. Please note that this recommendation is subject to internal checking and subsequent final approval; further action may still be requested from the organisation at this stage.

Once final approval has been given, the ATO-N Approval Certificate will be issued by the Organisation Approvals team.

Approvals Certificate

The ATO-N should thoroughly check any newly-issued certificate for accuracy. Please note that approval certificates issued under national regulations will not have an expiry date or contain details of post-holders. However, the approved courses and FSTDs will be listed on the certificate. Any queries concerning the accuracy of new certificates should be addressed to Organisation Approvals as soon as possible.

5 Continued Oversight

Once an ATO-N has been issued with initial approval it is subject to continued oversight by the CAA. This oversight may include audits and inspections, including unannounced inspections and training sampling visits as appropriate, and meetings with the accountable manager to ensure both parties remain informed of significant issues.

Oversight Planning Cycle

The interval between oversight inspections (oversight planning cycle) is established by the CAA using risk-based criteria, including scope of activity, ATO-N size and complexity, and the effectiveness of the ATO-Ns management system. The oversight planning cycle will not normally exceed 48 months; for new ATO-Ns this timescale runs from the date of initial approval. However, new ATO-Ns will be subjected to a first oversight inspection within 12 months to enable the CAA to check the effectiveness of the management system (including internal audits) and to observe training sessions where practical.

Continued Oversight Inspections

Continued oversight inspections follow a similar pattern to the initial inspection listed at 4.6. However, the ATO-N will be expected to have extensive records of all internal audits available, particularly those subsequent to approval, as well as comprehensive student training, staff training and standardisation records. During oversight inspections, significant emphasis will be placed on the effectiveness of the ATO-N's management system, including internal audits, safety management and compliance monitoring; it is therefore strongly recommended that key management system personnel, e.g. Compliance Monitoring Manager, are available during the inspection.

Desk-Top Audits

At any stage of the oversight planning cycle, the allocated LSI may request that copies of internal audits and other records be forwarded. He / she will then use this data as a basis for a desk-top audit forming part of the continuous oversight of the ATO-N, including a risk-based assessment of the next due date for inspection of the ATO-N (see 5.1).

Test & Examination Success-Rate Monitoring

Following initial approval of an ATO-N, the CAA will monitor the results of tests and examinations forming part of the approved course.

An ATO-N shall also monitor the test and examination results of its students. Procedures for such monitoring shall be included in the ATO-N's Training Manual under the heading of 'Training Effectiveness' and include procedures for review and remedial action should the rates drop below a defined level or avoidable patterns emerge.

Sampling of Training

The allocated LSI will examine samples of training at various stages of the oversight planning cycle. During inspections, ATO-N's should expect the LSI to observe actual TK instruction and aircraft or simulated flight training (where practical), including pre-flight and post-flight briefings. The LSI will aim not to disrupt or distract from the training during any observation. Observation of training may also be carried out by CAA Flight Examiners on behalf of General Aviation Unit.

Training records of students and staff training and standardisation records will also be sampled during an ATO-N inspection and must be made available to the LSI.

Personnel Changes

The organisation must, at all times, ensure that they have sufficient qualified personnel for the planned tasks and activities to be performed in accordance with the applicable requirements. Where there is any change to numbers and availability of staff, this should be discussed with the allocated inspector, to ensure continued approval for training and /or compliance with the regulations.

Key Post Holders

It will be a condition of the approval that whenever an approved post holder (Accountable Manager, HOT or FIC Instructor) leave an ATO-N, the organisation will contact the CAA to suspend their approval until the position has been filled or an alternative arrangement is approved by the CAA.

The position of HT, CFI and FIC Instructor may be combined and filled by one or two persons with extensive experience in the training conducted by the training organisation, full or part-time, depending on the scope of training offered.

Prior approval of key post holders must be sought from the CAA before appointment in order to enable the CAA to determine suitability for the role.

All nominations for key staff should be made using form SRG2115 for approved organisations. It is recommended these nominations must be made at least 10 days before the date of the proposed change of post-holder.

Other Changes to the Organisation

Where the change is in respect of the organisation's scope of the certificate or its terms of approval i.e. additional locations or facilities, the organisation will need to apply formally for such a change on the relevant application form.

For other changes, please refer to the appropriate sub-section or alternately liaise with the allocated Inspector or Organisation Approvals Team where the information is not published in this guide. An associated fee may be charged.

All amendments to approved manuals must be submitted to the CAA for electronic storage and / or further approval if required.

Correspondence with the CAA

Following the grant of Initial Approval, the CAA's preferred method of communication with an organisation is by email. It is therefore important that a single email address be provided which is suitable for this purpose and that any changes are promptly sent to Organisation Approvals Team and the allocated Inspector. It will be assumed that the e-mail address provided on the latest application form to the CAA is the current e-mail address to be used.

6. Revocation, Suspension or Variation / Limitation of an Approval

Non-Compliance

In accordance with the ANO, a National approval issued by the CAA may be revoked, suspended or varied where the requirements cease to be met in part or in whole, or where the standards on which approval was granted are not maintained. Should there be a failure to meet the requirements or standards, the organisation will be formally notified of the non-conformance(s) and remedial action will be identified and agreed to be taken within a specified time.

In cases of any significant non-compliance with the applicable requirements, with the organisation's procedures or manuals, or with the terms of an approval or certificate, which reduces safety or seriously hazards flight safety the CAA will raise a Level 1 finding, requiring immediate remedial action. Should the organisation fail to meet the standards in the specified time, revocation, suspension or variation of the approval will be considered.

When any non-compliance is detected with the applicable requirements, with the organisation's procedures and manuals, or with the terms of an approval or certificate which *could* reduce safety or hazard flight safety, the competent authority will raise a Level 2 finding, requiring remedial action to be taken within 90 days.

Continuation Fees

It should be noted that annual fees (fees in respect of continuation of the approval) are

payable throughout the full period of ATO-N suspension.

Where an organisation approval has been revoked, no further fees are payable; however, outstanding invoices will be applicable.

7 Continuation of Approval

Approval Certificate

An approval certificate issued to an ATO-N is non-expiring and will remain current provided the privileges and scope of the activities that the organisation is approved to conduct does not change and continuing oversight of the organization shows a maintenance of standards and compliance with regulations

Part 2: Specific Areas of Guidance or Reference

8. Management and Staffing

All Key post holders must be nominated to the CAA on form SRG2115 for Nationally Approved Organisations and be formally agreed by the CAA before the appointment is made substantive. Current legacy post holders who do not meet the requirements may continue in post, however, any key post holder who moves to another ATO-N or new applicants must meet all the requirements.

It should be noted that the CAA by means of this document does allow for individuals to hold multiple posts within an organization. Persons who wish to hold nominated positions at more than one ATO-N concurrently will be required to provide a plan to demonstrate how they intend to fulfil commitments to both organisations in an effective, safe and compliant manner.

It should also be borne in mind that the CAA is obliged to be satisfied – on an ongoing basis – of the fitness of character of the postholders who are nominated within the ATO-N. Further details of the CAAs policy framework for fitness of character assessments made be found at <http://www.caa.co.uk/Fitness-of-character-policy-framework>.

Accountable Manager

The organisation must appoint an accountable manager, who is responsible for ensuring that all activities can be financed and carried out in accordance with the applicable requirements. The accountable manager shall be responsible for establishing and maintaining an effective management system.

Head of Training

The Head of Training (HT) shall have extensive experience as an instructor in the areas relevant to the training provided by the ATO-N and shall possess sound managerial capability.

The HT's responsibilities shall include:

- (1) ensuring that the training provided is in compliance with the CAA's National Requirements and the training programme have been established;

- (2) ensuring the satisfactory integration of flight training in an aircraft or a flight simulation training device (FSTD) and theoretical knowledge instruction; and
- (3) supervising the progress of individual students
- (4) Overseeing the activities of, providing management to and standardising other instructors at the ATO-N
- (5) The nominated Head of Training shall hold / have held a CPL(G) with Flight Instructors Rating and must have a minimum of 1000 hours of Flight Instruction on Gyroplanes

Nominated FIC Instructor

FI Courses may only be conducted by an instructor who holds a valid FI certificate with a specific authorisation to conduct instructor training. Should the HT not hold these privileges, the ATO-N must advise the CAA who is to be the Nominated FIC instructor.

CPL(G) Instructor

CPL Courses may only be conducted by an instructor who holds a valid FI certificate with a specific authorisation to conduct CPL training. Should the HT not hold these privileges, the ATO-N must advise the CAA who is to be the CPL instructor.

Compliance Monitoring Manager

The compliance monitoring manager should:

- (i) have direct access to the accountable manager;
- (ii) be able to demonstrate relevant knowledge, background and appropriate experience related to the activities of and regulations governing the organisation; including knowledge and experience in compliance monitoring; and
- (iii) have access to all parts of the organisation, and as necessary, any contracted organisation

Safety Manager

The safety manager should act as the focal point and be responsible for the development, administration and maintenance of an effective safety management system. The nominated person should have an understanding of the role of a Safety Management System within an organisation.

The functions of the safety manager should be to:

- (i) facilitate hazard identification, risk analysis and management;
- (ii) monitor the implementation of actions taken to mitigate risks, as listed in the safety action plan;
- (iii) provide periodic reports on safety performance;
- (iv) ensure maintenance of safety management documentation;
- (v) ensure that there is safety management training available and that it meets acceptable standards;
- (vi) provide advice on safety matters; and
- (vii) ensure initiation and follow-up of internal occurrence / accident investigations

9. Theoretical Knowledge Instructors

Theoretical knowledge instructors, if used, shall have:

- (i) practical background in aviation in the areas relevant for the training provided and have undergone a course of training in instructional techniques; or
- (ii) previous experience in giving theoretical knowledge instruction and an appropriate theoretical background in the subject on which they will provide theoretical knowledge instruction

Theoretical knowledge instructors should, before appointment, prove their competency by giving a test lecture based on material they have developed for the subjects they are to teach

10. Flight Time Limitations

The ATO-N Operations Manual shall detail flying duty periods and flight time limitations for instructors. These requirements are to be compliant with limits imposed by the UK Air Navigation Order and acceptable to the CAA.

11. Records

Proportionate to the size and scope of the operation, administrative staff should be provided to administer the routine administration of courses.

The HT or the person nominated by them shall be responsible for ensuring that adequate records acceptable to the CAA are maintained in respect of the flight, theoretical knowledge and synthetic flight training undertaken.

Content of Records

The form and content of student training records is to be specified in the Training Manual and be acceptable to the CAA and appropriate to the courses conducted.

The records are to include:

- The personal details of each student, including name, address, telephone contact number(s), CAA reference number, next of kin details, previous experience and evidence of all pre-entry requirements (i.e. copies of licence/rating pages, theoretical knowledge exams passed, course completion certificates, copies of Skill Test form, medical certificates or confirmation that a medical declaration has been submitted), and qualifications including a summary of any credit to which the student may be entitled and an assessment of his suitability to undertake the course;
- A cumulative record of theoretical knowledge lessons attended by subject;
- Regular reports, by subject, with the instructor's name and written comments by the instructor on the student's performance and progress and other factors such as attitude and manner during individual lessons and during the course as a whole. Students shall be invited to sign each report acknowledging its contents;
- Cumulative flying training achieved, including synthetic flight training where applicable;
- For each training flight or synthetic flight training detail, the date, the aircraft registration or FSTD identification, the flight time, the instructor's name in full, the syllabus exercise number and written comments by the instructor on the student's performance, progress and other factors such as attitude and manner during the detail and during the course as a whole. The record shall indicate the standard achieved in relation to the laid down performance standard and any deviations from the syllabus including incomplete items. Students shall be encouraged to sign each report acknowledging the debrief;
- A summary of flying exercises completed with the date on which each exercise was carried out in the air or in a FSTD;

- Summary reports and the result of progress/phase tests, skill tests and theoretical knowledge examinations including arrangements for remedial training after failed tests/examinations;
- Training in aircraft emergency procedures, to be recorded separately and displayed prominently.
- All records shall indicate the date training commenced and the date of completion. Where students do not complete the course, the record shall indicate the circumstances under which training ceased. The student's overall performance and attitude to training should be summarised on completion or termination of the course.
- It is advisable that a medical certificate is obtained before the commencement of training.

Training records are to be made available to examiners prior to test

All records should be kept for a minimum period of 3 years. It should be noted that Training records may be kept either electronically or in paper format.

12. Course Completion Certificates

On satisfactory completion of a course of instruction, the trainee is to be given a Certificate of Course Completion signed by the HT, CTKI, or nominated deputy. An example of the certificate is to be included in the Training Manual.

13. Transfer of Student Records

It is the responsibility of the student to request the transfer of a copy of their records between ATO-N's.

The CAA will accept an applicant transferring from one ATO-N to another when partway through a course in accordance with the following:

- The new ATO-N must have a copy of all relevant training records, or other acceptable information certifying the training and experience completed so far.

- Credit shall be given in full for all adequately documented solo, dual instruction or Pilot in Command (PIC) flight time completed as part of an approved course for the licence, rating or certificate.
- The HT of the new ATO-N shall assess the student and determine the balance of training and experience required to complete the course and any additional training necessary to cover the transition from the previous partly completed course.
- The student shall complete the balance of all training, examinations, flight time and shall complete any additional training necessary as specified in the determination by the HT of the new ATO-N

Note: Under the EU General Data Protection Regulation it is the student's responsibility to request the transfer of a copy of their records to the new ATO-N. The copies must be certified as correct by the originating ATO-N and should be forwarded directly to the HT of the new ATO-N, with notification being sent to the CAA Approvals Support.

14. Personal Flying Log

Content and Certification

Student and instructor pilot logbooks must be kept in accordance with the provisions of Article 228 of the United Kingdom Air Navigation Order (2016). All approved course flying and synthetic flight training is to be clearly identified as such and include details of the exercises carried out.

In addition to the legal requirement student logbooks are to include details of the exercise number using the approved syllabus designators. Cross-country, navigational flights should be entered as individual flights showing the points of departure and arrival. Night flying, types differences training and instrument training shall be recorded in the remarks column.

Students' logbooks are to be certified as being correct at the end of each course by the HT or nominated deputy.

14.2 Instructors Logbook

The logbooks of instructors who conduct flight instruction on an approved course, must be maintained in accordance with Article 228 of the Air Navigation Order, and include a

monthly summary of all flight time which clearly distinguishes approved course instructional flying from other flying.

15. Training Programme(s)

A separate training programme/syllabus is required to be submitted and approved for each proposed course and for each variation of a specific course e.g.: CPL(G) including Theoretical element and Flight Instructor courses. Prospective ATO-Ns are permitted to devise their own training programmes and syllabi for the licences and ratings.

Alternatively, a number of commercially produced syllabi are available. It is acceptable to utilize these third-party products, (providing appropriate licence agreements are obtained), however they must be clearly identified in the training manual and, at the time of audit, the inspectors will reference the relevant document whilst checking student records.

Training Programme(s)

The requirements for the CPL(G) Flight Training and Theoretical Knowledge element courses are contained within Standards Document 44 (Section 4 and Appendix D).

The requirements for the Flight Training and Theoretical Knowledge for the issue of the FI (G) Certificate are contained within Standards Document 44 (Section 5 and Appendix E).

16. Flight and Synthetic Flight Training

Skill Test

An applicant for any skill test shall be recommended for the test by the organisation or person responsible for the training, once the training is complete. The person making the recommendation may not conduct the test. Each applicant for the skill test is required to provide written evidence to the examiner that they have been recommended for the test using the approved company procedure at their ATO-N. This approval must be signed by the person making the recommendation, with the name and the date of the authorising signatory.

Credits

Where credits are claimed against the approved course hours, by meeting the issue requirements for a licence or rating specified in Part-FCL, the applicant shall not be

entitled to the credit unless they meet all of the requirements for the issue of that licence or rating prior to course commencement.

17. Theoretical Knowledge Instruction – CPL(G) and FI(G)

Syllabus

Applicants for the CPL(G) will have been required to undertake approved Theoretical Knowledge training for the CPL(H) or (A) and pass the Helicopter or Aeroplane Exams as detailed in Standards Document 44, Section 4.9

As a part of the CPL(G) course the ATO must provide theoretical Knowledge Instruction to cover the Gyroplane specific examination. The content of the TKI syllabus for this, gyroplane specific subject is contained in Standards Document 44, Appendix D.

The TKI syllabus for the FI(G) Rating is contained within Standards Document 44 Appendix E.

Reference Library and Demonstration Equipment

A reference library (which may be either electronic or hard copy) containing publications giving coverage of the syllabus may be made available to staff and students when in attendance at the ATO-N and, where applicable, kept current by amendments. These can be on students own tablet type devices.

Suitable demonstration equipment to support the theoretical knowledge instruction should be provided.

Student Notes and Learning Objectives

Student study notes should be available to meet the needs of the student pilot. These may take the form of Commercially available publications.

Computer Based Training

Computer Based Training (CBT) may form a part of the Theoretical Knowledge instruction.

Training Programme

The integration of theoretical knowledge instruction with the flying and synthetic flight training during the FI(G) course is desirable to support the students learning processes. Satisfactory completion of theoretical knowledge instruction must be recorded.

18. Training Aircraft

The HT is responsible for ensuring the fleet of aircraft is suitable for the scope of training being conducted. In determining fleet size, the ATO-N must ensure that a sufficient number of aircraft suitably equipped and appropriate to the course on offer are provided to achieve continuity of flying training for the number of students attending the courses. The requirements for routine maintenance and use of aircraft for other purposes must be considered when determining fleet size.

Internal Procedure for Approval of Aircraft

The Operations Manual should include the means by which the training impact of any deficiency is monitored and managed. A procedure listing the checks carried out by the HT or Nominated Deputies to qualify an aircraft is to be published in the Operations Manual. Changes to the training fleet do not require CAA approval.

Documents and Manuals

Aircraft must be maintained in accordance with the appropriate maintenance schedule and the following documentation must be available for inspection by the CAA Inspectors:

- Aircraft, engine and component log books as appropriate
- Certificate of Registration
- Airworthiness Review Certificate

- Permit to Fly or Certificate of Airworthiness
- Mass and Balance Schedules
- Certificates of Maintenance Review (except where exempt) and Release to Service
- Aircraft Radio Licences and Radio Installation Approvals
- Flight Manuals or Pilot's Operating Handbooks.
- Certificates of Insurance
- Checklists
- Noise Certificate (if required)

In addition to the items listed above, the record of hours and days remaining to the next maintenance check and the record of rectification or deferring of previously reported defects must be readily available for scrutiny by pilots before each flight.

Criteria for Aircraft

All aircraft must be on the UK Civil Aircraft Register.

Aircraft must have duplicated primary flight controls and must meet an acceptable level of airworthiness. Flight, primary engine and associated ancillary instruments, as required by the ANO and appropriate airworthiness requirements must be fitted.

These instruments must be readily visible to both the instructor and the student when sitting normally in their customary seats with seat belts and diagonal shoulder straps or safety harness fastened.

Trim controls, ancillary engine controls, fuel controls, steering, brakes, wheel brakes, and undercarriage controls where appropriate must be either duplicated or positioned so that they are accessible to both the instructor and student when sitting normally in their customary seats with seat belts and diagonal shoulder strap or safety harness fastened.

Each aircraft must be equipped with a VHF Transceiver with at least 760 channels, controllable from both the student and instructor stations. A two-way intercom must be fitted which permits both pilots to monitor radio communication made by either pilot. All in-flight communications must be carried out using headsets.

In addition to meeting the provisions of the appropriate airworthiness requirements, each aircraft must be equipped in accordance with ANO Schedule 6.

Hand-held Fire Extinguishers should, if practical, be carried in accordance with the Air Navigation Order 2016 as amended, if the Gyroplane has an MTOM of 1200kg or more.

A sample of aircraft will be inspected for condition and compliance with the regulations prior to initial approval and periodically in respect of continuation of approval. Where an

aircraft or its associated documentation is found to be non-compliant, the aircraft should not be used for training until such items are rectified.

Furthermore, all nominated aircraft must:

- Meet the airworthiness requirements for remunerated training and testing laid down in the ANO 2016 and ORS4 No1280, as amended unless the application for registration specifically states that no remunerated training or testing will be carried out. If remunerated training or testing is to be carried out, aircraft must (unless covered by exemptions relating to individually or group owned aircraft) have a valid UK National Certificate of Airworthiness and Airworthiness Review Certificate, and meet airworthiness requirements regarding 'life' items;

Aircraft insurance must be compliant with EC Regulation [EC] No 785/2004 - Insurance Requirements for Air Carriers and Aircraft Operators; Cover must also include CAA staff when carrying out inspections or testing.

Where an aircraft is operated by an ATO-N which is not the owner of the aircraft, a letter of operational transfer or lease agreement should be in place to support the validity of the insurance.

Technical Logs and Authorisation of Flights

For all training flights, Aircraft Technical Logs must be used to record flight details. The Technical Log must include at least:

- The date
- The aircraft registration
- The times when the aircraft took-off and landed
- Particulars of any defect known to the commander that might affect the airworthiness or safe operation of the aircraft, or if no such defect is known an entry to that effect
- Fuel and oil states
- Intended duration of flight
- A cumulative total of flight hours
- A running total of hours due until the next scheduled maintenance

Technical Log should be left at the initial point of departure.

Flight authorisation for all training flights shall be confined to instructors employed by the ATO-N to give instruction on the approved courses.

Where an aircraft is hired for use on an approved course of training, or where an aircraft used for approved training ceases to be used by the ATO-N, a copy of all Technical Logs relating to the approved training shall be retained by the ATO-N for a period of 5 years. All Technical Logs shall be maintained in accordance with the ANO 2016 as amended.

Changes to the fleet

Changes to the fleet of training aircraft shall be notified to the CAA by the ATO-N using the procedure approved for the purpose in accordance with paragraph 19.1 of this document.

19. Flight Simulation Training Devices

19.1 Device qualification and User Approval

Any device to be used on the CPL(G) course against which a flight time credit is to be gained must be device qualified and user approved. Non-qualified devices may be used to supplement flight training but may not be credited towards the overall hours requirements of the course.

20. Aerodromes and Operating Sites

Unlicensed Aerodromes

In accordance with Article 208A of the ANO, flying training may be conducted by an ATO-N from unlicensed aerodromes using fixed wing aircraft up to 2730 kg MTOW, and helicopters or gyroplanes up to 3175 kg MTOW, provided that the HT, aerodrome operator and the pilot in command of the aircraft are satisfied on reasonable grounds that the aerodrome is suitable for the purpose and should meet the requirements of CAP 793. Use of an unlicensed aerodrome as an ATO-N's base aerodrome or alternative base aerodrome is subject to the approval of the CAA.

CAP 793, Safe Operating Practices at Unlicensed Aerodromes, includes guidance on how to assess whether an aerodrome is suitable for training; where flying training is taking place additional safety margins should be considered. It is recommended that adequate risk assessments are made and documented before flying training takes place. Safety Management Systems (SMS) provides a framework for the identification and management of risk and is required for ATO-N approval by the implementation

date.

Air Traffic Control during Flight Training

The level of Air Traffic Control at aerodromes used during training must be adequate for the training needs of each individual exercise.

Use of Non-Approved Aerodromes

Flight training by an ATO-N as part of an approved course must take place from either the approved base aerodrome or any approved alternative base aerodrome. However, such flights may land at a non-approved aerodrome during the course of training provided that that aerodrome meets the requirements of the ANO article 208/212 and either CAP 168 (Licensing of Aerodromes) or CAP 793 (Safe Operating Practices at Unlicensed Aerodromes). Subsequent training exercises may then commence from that non-approved aerodrome provided that the intention is to land back at either the approved base aerodrome or an approved alternative base aerodrome. Pre-flight briefings must, however, have been carried out at either the approved base aerodrome or an approved alternative base aerodrome.

Approved training flights shall not commence or finish at non-approved aerodromes.

Use of Overseas Aerodromes

Use of an overseas aerodrome as an ATO-N's base aerodrome or alternative base aerodrome will not be approved by the CAA unless it can be demonstrated that the aerodrome can at least meet the requirements of CAP 168 (for aerodromes licensed by the relevant state's National Aviation Authority) or CAP 793 (for unlicensed aerodromes). Use of unlicensed overseas aerodromes for flying training on approved courses is subject to the restrictions at Para 25.1. The use of unlicensed aerodromes will be considered by the CAA upon receipt of an application.

21. Facilities for Flight Operations and Theoretical Knowledge Instruction CPL(G) and FI(G) courses

Flight Operations Accommodation

The following flight operations accommodation should be available:

- (1) a flight planning room with the following facilities:
 - (i) appropriate current aviation maps and charts;

- (ii) current AIS information;
 - (iii) current meteorological information;
 - (iv) communications to ATC (if applicable);
 - (v) any other flight safety related material.
- (2) adequate briefing room(s)/cubicles of sufficient size and number;
- (3) suitable office(s) to allow flight instructors to write reports on students, complete records and other related documentation;
- (4) suitable rest areas for instructors and students, where appropriate to the training task;

Theoretical Knowledge Accommodation

The following facilities for theoretical knowledge instruction should be available:

- (1) adequate classroom accommodation for the current student population;
- (2) suitable demonstration equipment to support the theoretical knowledge instruction;
- (3) suitable office(s) for the instructional personnel.

22. Operational Publications

Required publications

The following operational publications should be immediately available to students and staff and, where applicable, kept current by amendments. On line access is acceptable.

- CAP 393 - Air Navigation: The Order and the Regulations
- UK Aeronautical Information Publication including Danger Area and Area of Intensive Aerial Activity (AIAA) Charts and NOTAM Class II supplements. (CD-ROM versions of the AIP will be acceptable or icon on a computer provided that it can be shown that students have unrestricted and immediate access to them)
- Aeronautical Information Circulars
- Flight Manuals for the aircraft used on the course(s)
- Standard meteorology reports and forecasts (in document or computer-based formats)
- Flight planning documents.
- NOTAMs

Other Publications

The following additional publications should be immediately available to students and staff and, where applicable, kept current by amendments:

- ATO-N Operations Manual
- ATO-N Training Manual(s)
- ATO-N Safety Management System, including Compliance Monitoring System
- Standards Documents 44 and this document

www.caa.co.uk/fclstandards

Electronic Documentation

Where documents are maintained in electronic format they shall be provided on one or more computers / devices dedicated for this purpose. The number of computers shall reflect the number of students. They shall be located in such a manner that students have access without having to enter staff offices. A form of electronic document control shall be employed that identifies the documents held in electronic format and the current amendment state of each document. It is also mandatory that where documents are maintained electronically, copies are held in a secure offsite location for backup.

23. Training Manual and Operations Manual

An ATO-N is required to prepare and maintain a TM and OM containing information and instructions to enable staff to perform their duties and to give guidance to students on how to comply with the course.

Where an ATO-N has made arrangements for a component of an approved course to be provided by another organisation (e.g. the theoretical knowledge element of the CPL course), the HT of the ATO-N holding the approval must ensure that the other organisation is provided with and maintains up to date copies of the required Training Manual and Operations Manual and, if appropriate, approved aircraft check lists.

When resubmitting a manual following amendment, proper document control protocols should be observed and the submission to the CAA should include a completed "Manual Amendment Notification" form.

Training Manual

The Training Manual shall state for each course; The Aim, the Pre-entry requirements, the objectives and training goals for each phase of training and the standards required at the end of each exercise. The student should be in no doubt about what is required of them at any stage. The Training Manual shall include the following parts:

- Part 1 The Training Plan
- Part 2 Briefing and Air Exercises (reference may be made to an external document to detail the content of this section)
- Part 3 Flight training in an FSTD, if applicable
- Part 4 Theoretical Knowledge Instruction (as per Part 2 above)

Further guidance on the content of the Training Manual can be found in Appendix 1 to this document.

A TM should not include flight exercise briefing material. Its primary purpose is to advise the student WHAT they will be doing and WHEN; rather than HOW. There should be a clearly defined aim for each exercise directed at the student not the instructor; "to teach" is an instructor aim, whereas "to learn" or "to be able to" are student aims. The purpose of the Skill Test is to determine if the aim has been achieved; the test should not form part of the aim. Exercise content should list the specific skill items that will be taught/practiced during an exercise. Each exercise brief should have a concise statement of what standard the student is expected to achieve on completion of the exercise. This should be a measurable quantity against which the student may be judged.

Operations Manual

The Operations Manual shall provide relevant information to particular groups, e.g. instructors, student and operation staff;

- a) General
- b) Technical
- c) Route
- d) Staff Training

Further guidance on the content of the Operations Manual can be found in Appendix 2 to this document.

24. Management System

Management System Documentation

The CAA requires that Organisations holding ATO-N status provide the CAA with documentation demonstrating how they will comply with the requirements, in the form of a Management System. This document must contain details of the management structure and processes, including Compliance Monitoring and Safety Management (the latter including hazard / risk identification and mitigation).

Guidance has been developed to help organisations in their understanding of the SMS concept and of the development of management policies and processes to implement and maintain an SMS that will comply with CAP 1059. It is the responsibility of the organization to identify the document to be used. The information may be contained in any of the organisation's manuals (e.g. Organisations Management Manual, Operations Manual or Training Manual), which may also be combined.

If the Organisations Management Manual (OMM) is partly or totally incorporated in other documents of the organisation, it is the responsibility of the organisation to provide a cross reference table clearly identifying in the whole document system all parts of the management system.

Safety Management System

Guidance on the SMS requirements for small non-complex organizations may be found in CAP1059. It is recommended that all applicants read these guidance notes together with "SMS for Small organizations" which is produced by the Safety Management International Collaboration Group and is available on request from the CAA General Aviation Unit.

The SMS evaluation is designed to assess the compliance and performance of an organisation's SMS. The organisation must be able to demonstrate that the necessary structures, accountabilities, policies and procedures are in place and it is managing its risks effectively. The scope of the evaluation will take into account the size, nature and complexity of the approved organization.

When looking at an organisation's SMS, it is important to consider the risks faced by the organisation that sit outside its direct control i.e. third party contracted organisations and how these risks are being managed and controlled by those external organisations.

Compliance Monitoring

The ATO-N must also put in place a Compliance Monitoring system which monitor compliance with the relevant regulatory documents (this document, Standards Document 44, the ANO etc). The Accountable Manager should designate a Compliance Monitoring Manager to ensure that the activities of the organisation are monitored for compliance with the applicable requirements, and any additional requirements established by the organisation, and that these activities are being carried out properly under supervision of the relevant head of functional area. The organisational set-up of the compliance monitoring function should reflect the size of the organisation and the nature and complexity of its activity.

25 Requirements for Entry to Training

For details of the prerequisites for entry onto a course of training refer to Standards Document 44

Medical

A student enrolled for training must possess the relevant Class of Medical Certificate for the course of training being undertaken issued in accordance with Part-MED.A.030 before flying solo (see Standards Document 44). It would be best practice to ensure that the student is capable of achieving the required medical standard prior to commencing a course of training.

Language Proficiency

All holders of a pilot licence who have privileges to use Radio Telephony equipment must be able to demonstrate that they have reached ICAO Level 4 Operational standard of English Language.

ATO-Ns are not required to make an initial evaluation of a client's English language proficiency. They can only confirm that the student has evidence of language proficiency.

Appendix 1 – Training Manual Structure

Training manuals for use at an ATO conducting integrated or modular flight training courses should include the following:

(a) The training plan	
(1) The aim of the course (CPL, FI etc. as applicable)	A statement of what the student can expect to achieve as a result of the training, the level of performance, and the training constraints to be observed
(2) Pre-entry requirements	(i) Minimum age, educational requirements (including language proficiency), medical requirements; (ii) Any individual Member State requirements
(3) Credits for previous experience	To be obtained from the competent authority prior to commencement of training.
(4) Training syllabi	The flying syllabus (single-engine or multi-engine, as applicable), the flight simulation training syllabus and the theoretical knowledge training syllabus
(5) The time scale and scale, in weeks, for each syllabus	Arrangements of the course and the integration of syllabi time
(6) Training programme	(i) The general arrangements of daily and weekly programmes for flying, theoretical knowledge training and training in FSTDs, if applicable; (ii) Bad weather constraints; (iii) Programme constraints in terms of maximum student training times, (flying, theoretical knowledge, on FSTDs), for example per day, week or month; (iv) Restrictions in respect of duty periods for students; (v) Duration of dual and solo flights at various stages; (vi) Maximum flying hours in any day or night; (vii) Maximum number of training flights in any day or night; (viii) Minimum rest period between duty periods.
(7) Training records	(i) Rules for security of records and documents;

	<ul style="list-style-type: none"> (ii) Attendance records; (iii) The form of training records to be kept; (iv) Persons responsible for checking records and students' log books; (v) The nature and frequency of record checks; (vi) Standardisation of entries in training records; (vii) Rules concerning log book entries.
(8) Safety training	<ul style="list-style-type: none"> (i) Individual responsibilities; (ii) Essential exercises; (iii) Emergency drills (frequency); (iv) Dual checks (frequency at various stages); (v) Requirement before first solo day, night or navigation etc. if applicable.
(9) Tests and examinations	<ul style="list-style-type: none"> (i) Flying: <ul style="list-style-type: none"> (A) progress checks; (B) skill tests. (ii) Theoretical knowledge: <ul style="list-style-type: none"> (A) progress tests; (B) theoretical knowledge examinations. (iii) Authorisation for test; (iv) Rules concerning refresher training before retest; (v) Test reports and records; (vi) Procedures for examination paper preparation, type of question and assessment, standard required for 'pass'; (vii) Procedure for question analysis and review and for raising replacement papers; (viii) Examination resit procedures.
(10) Training effectiveness	<ul style="list-style-type: none"> (i) Individual responsibilities; (ii) General assessment;

	<ul style="list-style-type: none"> (iii) Liaison between departments; (iv) Identification of unsatisfactory progress (individual students); (v) Actions to correct unsatisfactory progress; (vi) Procedure for changing instructors; (vii) Maximum number of instructor changes per student; (viii) Internal feedback system for detecting training deficiencies; (ix) Procedure for suspending a student from training; (x) Discipline; (xi) Reporting and documentation.
(11) Standards and level of performance at various stages	<ul style="list-style-type: none"> (i) Individual responsibilities; (ii) Standardisation; (iii) Standardisation requirements and procedures; (iv) Application of test criteria
(b) Briefing and air exercises	
(1) Air exercise	A detailed statement of the content specification of all the air exercises to be taught, arranged in the sequence to be flown with main and subtitles
(2) Air exercise reference list	An abbreviated list of the above exercises giving only main and subtitles for quick reference, and preferably in flip-card form to facilitate daily use by instructors
(3) Course structure: phase of training	A statement of how the course will be divided into phases, indication of how the above air exercises will be divided between the phases and how they will be arranged to ensure that they are completed in the most suitable learning sequence and that essential (emergency) exercises are repeated at the correct frequency. Also, the syllabus hours for each phase and for groups of exercises within each phase should be stated and when progress tests are to be conducted, etc.

(4) Course structure: integration of syllabi	The manner in which theoretical knowledge and flight training in an aircraft or an FSTD will be integrated so that as the flying training exercises are carried out students will be able to apply the knowledge gained from the associated theoretical knowledge instruction and flight training
(5) Student progress	The requirement for student progress and includes a brief but specific statement of what a student is expected to be able to do and the standard of proficiency he/she must achieve before progressing from one phase of air exercise training to the next. Include minimum experience requirements in terms of hours, satisfactory exercise completion, etc. as necessary before significant exercises, for example night flying.
(6) Instructional methods	The ATO requirements, particularly in respect of pre- and post-flying briefing, adherence to syllabi and training specifications, authorisation of solo flights, etc.
(7) Progress tests	The instructions given to examining staff in respect of the conduct and documentation of all progress tests.
(8) Glossary of terms	Definition of significant terms as necessary
(9) Appendices	(i) Progress test report forms; (ii) Skill test report forms; (iii) ATO certificates of experience, competence, etc. as required.
(c) Flight training in an FSTD, if applicable	Structure generally as for (b)
(d) Theoretical knowledge instruction	
(1) Structure of the theoretical knowledge course	A statement of the structure of the course, including the general sequence of the topics to be taught in each subject, the time allocated to each topic, the breakdown per subject and an example of a course schedule. Distance learning courses should include instructions of the material to be studied for individual elements of the course.
(2) Lesson plans	A description of each lesson or group of lessons including teaching materials, training aids, progress test organisation and inter-connection of topics with other subjects

(3) Teaching materials	Specification of the training aids to be used (for example study materials, course manual references, exercises, self-study materials, demonstration equipment).
(4) Student progress	The requirement for student progress, including a brief but specific statement of the standard that must be achieved and the mechanism for achieving this, before application for theoretical knowledge examinations
(5) Progress testing	The organisation of progress testing in each subject, including topics covered, evaluation methods and documentation
(6) Review procedure	The procedure to be followed if the standard required at any stage of the course is not achieved, including an agreed action plan with remedial training if required.

Appendix 2 – Operations Manual Structure

The operations manual for use at an ATO conducting integrated or modular flight training courses should include the following:

(a) General	<ul style="list-style-type: none"> (1) a list and description of all volumes in the operations manual; (2) administration (function and management); (3) responsibilities (all management and administrative staff); (4) student discipline and disciplinary action; (5) approval or authorisation of flights; <ul style="list-style-type: none"> (6) preparation of flying programme (restriction of numbers of aircraft in poor weather); (7) command of aircraft; (8) responsibilities of the PIC; (9) carriage of passengers; (10) aircraft documentation; (11) retention of documents; (12) flight crew qualification records (licences and ratings); (13) revalidation (medical certificates and ratings); (14) flight duty period and flight time limitations (Flight Instructors); (15) flight duty period and flight time limitations (students); (16) rest periods (flight instructors); (17) rest periods (students); (18) pilots' log books; (19) flight planning (general); (20) safety (general): equipment, radio listening watch, hazards, accidents and incidents (including reports), safety pilots etc.
(b) Technical	<ul style="list-style-type: none"> 1) aircraft descriptive notes; (2) aircraft handling (including checklists, limitations, maintenance and technical logs, in accordance with relevant requirements, etc.);

	<p>(3) emergency procedures;</p> <p>(4) radio and radio navigation aids;</p> <p>(5) allowable deficiencies (based on the master minimum equipment list (MMEL), if available).</p>
(c) Route	<p>1) performance (legislation, take-off, route, landing etc.);</p> <p>(2) flight planning (fuel, oil, minimum safe altitude, navigation equipment etc.);</p> <p>(3) loading (load sheets, mass, balance and limitations);</p> <p>(4) weather minima (Flight Instructors);</p> <p>(5) weather minima (students – at various stages of training);</p> <p>(6) training routes or areas.</p>
(d) Personnel training	<p>(1) appointments of persons responsible for standards/competence of flight personnel;</p> <p>(2) initial training;</p> <p>(3) refresher training;</p> <p>(4) standardisation training;</p> <p>(5) proficiency checks;</p> <p>(6) upgrading training;</p> <p>(7) ATO personnel standards evaluation</p>

Appendix 3 – Guidance: Legal Entity of the Applicant Organisation

Introduction

The CAA routinely receives applications for legal documents (e.g. Certificates, Licences, Permissions, Approvals, and Exemptions etc.). Before granting issue of these documents, it is important that the legal status of the applicant is established and the correct name of the entity is used. The CAA will only grant such documents to legal entities once these have been fully established or clarified, as CAA wishes to ensure all parties are protected whether these are the applicant organisation, the students it trains or CAA itself in both legal matters and business matters.

Definition of a ‘Legal Entity’

Legal entities take one of two forms:

- A natural person, or
- A body corporate

Natural Persons

A natural person is an individual such as ‘John Smith’. All natural persons have rights and duties under the law and can be held accountable in the Courts. Natural persons are able to hold various legal documents granted by the CAA. In some instances, the CAA may ask for corroborating identification, such as a passport or birth certificate, before granting a document to a natural person. Natural persons carrying on a business are sometimes referred to as ‘sole traders’.

Natural Persons and Trading Names

Natural persons may adopt one or more trading names under which to conduct business, e.g. Smith Aviation. The application form therefore should show John Smith as the Applicant and Smith Aviation as the Trading Name, for example.

Partnerships

Several individuals may join to form a partnership under the Partnership Act (defined as the relation which subsists between persons carrying on business together with a view of profit). The partnership may adopt a name, e.g. the John Smith Partnership.

However, except in Scotland where, under the Partnership Act, a partnership has its own distinct personality, and unless it is a Limited Liability Partnership (LLP) which is a form of incorporated partnership, a partnership has no legal identity of its own and must be treated as a trading name.

All documents granted to a partnership should therefore show all the names of the individual partners, e.g. John Smith, Jane Smith, David Brown and Dianne Brown trading as the John Smith Partnership.

Clubs

Distinct from a partnership, several individuals may also join to form a club as an unincorporated association through their agreeing to abide by common rules and members may leave and join the club via the same way. An unincorporated club has no distinct legal identity and club property is generally held by trustees on behalf of the club members, sometimes the chairman and club secretary.

Where therefore a certificate or other document is to be issued to an unincorporated club, it will be necessary to determine in whose names the certificate is to be held in accordance with the club's rules.

If the club is incorporated, as for example if it is a limited liability company, the document will be issued in the name of that company.

Bodies Corporate – Great Britain

There are many different forms of GB body corporate, but the most common are:

- Limited Liability Companies,
- Companies limited by guarantee; and
- Limited Liability Partnerships.

Whatever form it takes, every body corporate will be able to produce documentary evidence of its incorporation, usually an official copy of the certificate of registration issued by the Companies Registrar.

GB Limited Companies

In Great Britain, companies can either be private limited companies (e.g. Smith Aviation Ltd), public limited companies (e.g. Smith Aviation PLC) or companies that are limited by guarantee. In all cases they will have been registered at Companies House.

Documents granted must show the complete and accurate name of the company, including punctuation such as spaces, full stops and brackets, (e.g. Smith Aviation

(2001) Ltd). Apart from the use of Ltd (which is short form for Limited) and Plc (which is short form for public limited company) no abbreviations should be used unless they are used within the company's name. Any application forms should therefore have the legally accurate name of the company, including spaces, punctuation etc as registered with Companies House.

Each company has additionally a unique registration number that is allotted to it on its incorporation and which cannot be changed or transferred, even when a company changes its name. This number should be entered on any application form where requested by UK CAA.

GB Limited Liability Partnerships (LLP)

LLPs will have been registered at Companies House and should be treated in the same way as limited companies.

Non-GB Limited Companies

Companies based outside Great Britain will have been subject to a registration process in the country of registration. This process will have resulted in the generation of documentary evidence, such as Certificates of Incorporation. CAA policy requires sight of copies of such evidence before granting documents to non-GB limited companies (**note:** If the certificates etc. are in a foreign language these will be required to be submitted in the original language with a translated version submitted also.

Bodies Corporate and Trading Names

Bodies corporate may, like natural persons, adopt trading names. For guidance, see 'Trading Names' section below.

Trading Names

Natural persons and bodies corporate may adopt one or more trading names. The trading name is not the name of the legal entity – indeed, several different legal entities could, in theory, adopt the same trading name. The CAA has therefore undertaken to issue all documents in the legal name of the Body Corporate or Natural Person.

Where the applicant has informed the CAA that they wish to adopt a trading name, e.g. on the application form, this will additionally be shown on the document in addition to, but not instead of, the legal name, e.g. John Smith trading as Smith Aviation, or Smith Aviation Ltd trading as Smithair.

However, there are two circumstances in which CAA may wish to query or refuse a request:

- Firstly, where the trading name does not seem to be properly reflected in the documentation produced by the company. The organisation will make clear that there is no confusion in-house as to what procedures, manuals or other forms and records they should be utilising. There must be consistency in the way the organisation is described in its own documentation and material. The CAA will query the position with the applicant where this is not the case.
- Secondly, and of less importance – because the CAA is not responsible for regulating the use of trading names – where the trading name seems potentially confusing the CAA may query it with the applicant, e.g. Bloggs Air Limited trading as British Airways.

Legal Entity Identification

In order to regulate effectively, the CAA needs to be clear about the identity of the organisations with which it is dealing. The CAA will therefore insist that all correspondence, manuals and other documents submitted in support of applications, or in the course of routine regulatory oversight, clearly identify the appropriate legal entity.

It should be noted that whilst a company can change its name one or more times over its lifetime and that two different companies can have the same name albeit not at the same time (this is not uncommon in group reorganisations and in company liquidations where the liquid operators of the company may sell the name to another company, sometimes to its former management) each company has a unique registration number that is allotted to it on its incorporation and which cannot be changed or transferred. It is therefore recommended that an incorporated company has this number included in its documentation and correspondence.

Changes to the Organisation (Change of name, Re-Organisation etc)

Any application for the amendment of an organisation certificate should be submitted at least 30 days, before the date of intended changes. Unforeseen changes should be notified at the earliest possible opportunity, in order to enable the CAA to determine continued compliance with the EASA Aircrew Regulation.

Change of Name only:

Where an organisation changes its name only but retains the same company number with Companies House, a copy of the Companies House certificate verifying the change should be submitted with a covering letter, a completed application form and the appropriate CAA administration charge. Amendment pages will additionally need to be issued for the company's approved manuals held by CAA. Subject to all submissions being satisfactory, the ATO-N approval certificate will be re-issued in the new company name.

Re-organisations, Mergers etc.

It should be noted however that an approval once issued is NOT transferable.

Therefore, an application must be made for a new approval to be issued if there is going to be a substantial change in the organisation circumstances, for example, where an ATO-N changes its name and ownership or enters into an arrangement to 'move / merge' an approval to/with another ATO-N.

L&TS Approvals Support should be notified at the earliest possible opportunity if such a change is going to take place, in order that advice can be given on what needs to be done to facilitate the issue of a new approval as expeditiously as possible.

Appendix 4 – Sample Compliance Monitoring Audit Checklist

#	SUBJECT	✓ / X	REMARKS
	MANAGEMENT AND ADMINISTRATION		
1	Does the management structure accord with the ATO-N Operations Manual? <i>(insert OM reference here)</i>		
2	Is the Head of Training suitably nominated?		
3	Is the Chief Flight Instructor properly qualified?		
4	Does the Accountable Manager have overall responsibility for the ATO-N?		
5	Is the Safety Manager qualified / trained and approved.?		
6	Are sufficient Flight and Ground Instructors employed to maintain satisfactory student instructor ratios?		
7	Is the Safety Management System promoted among the staff?		
8	Are the Flight Instructors properly qualified and current?		
9	Have the senior management and staff received SMS training? <i>SMS Manual reference?</i>		
10	Are the safety management meetings documented in accordance with the SMS manual? <i>SMS Manual reference?</i>		
12	Are the Training Manuals up to date?		
13	Is the training programme to the correct format and freely available to staff and trainees?		

14	Is the Operations Manual up to date and pertinent to the ATO-N operation?		
16	Is there an effective system for checking that students fulfil all requirements before entering training?		
17	Are the instructors duty and training hours in accordance with the operations manual? <i>Operations manual reference?</i>		
18	Are the trainee duty and training hours in accordance with the operations manual? <i>Operations manual reference?</i>		
19	Are the Operations and Training Manuals made available to all staff and trainees and is there a system to ensure that both groups are familiar with the contents?		
FACILITIES AND ACCOMODATION			
1	Is there adequate and properly equipped Flight Operations accommodation?		
2	Are there adequate numbers of briefing and lecture facilities available for the number of students?		
3	Do trainees have free access to flight planning information. (AIP, AICs, NOTAMS, Weather, etc.) .		
4	Do trainees have free access to ATO-N publications (Operations Manual and Training Manuals)?		
5	Are all operations, training and planning documents up to date and pertinent to the courses provided? .		
6	Does the aerodrome meet the published requirements and is suitable to accommodate flight training?		
AIRCRAFT AND EQUIPMENT			
1	Are the aircraft used for training equipped and maintained to a suitable standard (Record registration of those aircraft which were checked)?		

2	Are the aircraft documents correctly maintained and available to the PIC for inspection? <i>Operations manual reference</i>		
3	Are aircraft defects recorded and in accordance with the operations manual? <i>Operations Manual reference?</i>		
4	Are there suitable RT training and testing facilities within the ATO-N?		
5	Does a process exist whereby the Head of Training ensures that new training aircraft are suitable for the intended training course?		
6	Does the process ensure that the CAA are notified of new training aircraft?		
7	Are Tech Logs / Flight Authorisation sheets completed fully and accurately? <i>Operations Manual Reference?</i>		
8	Do all aircraft contain the relevant documentation		
FLIGHT AND THEORY TRAINING			
1	Was the published training programme followed both as to total hours and order of exercises? (Record names of those trainees whose records were checked)		
2	Were training records correctly and fully completed? (Record names of those trainees whose records were checked)		
3	Are the training records retained for the required duration?		
4	Were skill tests conducted by a qualified examiner not connected with the candidates training?		
5	Were all trainees invited to complete a customer feedback form/course critique?		
6	Are the ground school hours recorded for the LAPL/PPL?		
7	Do all trainees records show evidence of classroom instruction for the theory training?		
8	Do the training records comply with the format specified in the Training Manual appendices?		

9	Are all trainees formally assessed as having sufficient knowledge of the relevant syllabus prior to entry to the Theoretical Knowledge Examinations?		
10	Were minimum flight training hours achieved for all trainees?		
11	Where trainees were identified as requiring further training was the procedure followed as per the manual?		
12	Were all training flights authorised in accordance with the company procedure?		
13	Is there evidence that emergency drill and essential safety exercises are being taught in accordance with the training plan?		
14	Did the student meet all specified requirement before:- 1) First solo 2) First solo cross-country		
15	Were the appropriate recommendations for skills test for LAPL and PPL completed?		
INSTRUCTOR STANDARDISATION			
1	Is there an effective method of assessing and maintaining instructional standards?		
2	Is there an effective standardisation and staff training program in accordance with the Operations manual?		
3	Are the instructor logbooks kept up to date and in accordance with the Operations manual?		
4	Does the ATO-N submit to the CAA and maintain a list of Examiners for the conduct of the skill tests?		
5	Is instructor refresher and standardisation training conducted in accordance with the published procedures?		
COMPLIANCE MONITORING SYSTEM			

1	Are audits being completed in accordance with the program specified in the Compliance Monitoring System?		
2	Who is conducting audits within the organisation and is the auditor independent of the area(s) which are being audited?		
3	Do the audits completed cover all aspects of the ATO-N, specifically the Regulatory requirements and internal procedures? <i>b</i>		
4	Where previous audits identified findings, have these been resolved in a timely manner?		
5	Where corrective or preventative action was identified on previous findings, has this subsequently been checked and found to be effective?		
6	Where any changes requiring prior approval of the CAA have been identified, was approval sought?		
7	Is there an effective system for document control in place?		
8	Are document / version control procedures being followed when manual revisions are made?		

Audit conducted by (print name)	Position held
Signature	Date

Audit Ref: <i>Insert reference for the audit</i>	Non-Conformance / finding No.(unique # for this finding)	Date: <i>(date audit took place)</i>	
Non-Conformance / finding Ref (OM / TM / MS.): <i>(what is it a finding against?)</i>			
Nature of Non-Conformance / finding <i>(describe what was found and why it is a non-conformance)</i>			
Category of NC / Finding	One	Two	Observation
Area of non-conformance / finding			
Aircraft		Publications	
Accommodation		Synthetic Training Devices	
Course Material		Training Programmes	
Compliance Monitoring		Training Record	
Document Control			
Signed: <i>(signature of person raising the finding)</i> Auditor	Accepted: <i>(HT should sign to agree / acknowledge finding)</i> Head of Training		
Agreed Corrective Action <i>(What is intended to be done to fix the problem and prevent a re-occurrence)</i>			
Agreed Completion Date: <i>(when by)</i>		Person responsible: <i>(who will do it?)</i>	
Corrective Action Verified as effective <i>(ideally the person who raised the finding should go back after the completion date and re-audit to see if the problem has been fixed (the action was effective) and whether it has re-occured subsequently. This means the auditor cannot have the issue assigned to him/her to actually fix the problem)</i>			
Date: <i>(date re-auditted)</i>		CMM / Auditor: <i>(by auditor)</i>	
Signed :		Head of Training	

SAMPLE COMPLIANCE MONITORING PROGRAM SCHEDULE

	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
Management and Administration	X											
Aircraft / Equipment			X									
Facilities (classrooms / airfield etc)			X									
Training Programs and records										X		
Instructor Standardisation					X							
Compliance Monitoring System							X					

The above is an example of how audits may be split across a calendar year. If the Organisation is very simple, with few employees, aircraft and facilities it is acceptable to conduct the audit once annually, with all aspects of the operation checked on the same audit. If the organisation uses the services of 5+ instructors, has a number of aircraft, classrooms and has a high throughput of students it may be more appropriate to spread the various facets of the audit schedule over several events per year. However, the audits are conducted it is *recommended* that it would be good practice to conduct audits several months before the CAA conducts oversight audits. By doing so, the Organisation will have time to undertake corrective actions on any findings raised internally and re-audit to ensure no re-occurrence.

Appendix 5 – SMS Evaluation Tool

The principle of the SMS evaluation tool is to allow operators to assess whether or not their organisation has a positive safety management culture. Affirmative answers indicate a positive situation. Negative responses always require corrective action.

During audits the CAA Inspectors will discuss Safety Management with operators. Their discussions will be based around the SMS evaluation tool below. The SMS evaluation tool also provides a suggested method of how the effectiveness of a Safety Management culture can be internally assessed.

NOTE: Not all questions will apply to all organisations.

	CAA guidance material ref		Compliance Y/ N / partial	Comments / Reference to compliance
Management commitment and responsibility	5.1	Is there a written safety policy endorsed by the Accountable Manager?		
	5.1	Does Senior Management continuously promote and demonstrate its commitment to the safety policy?		
	5.1	Has the safety policy been communicated effectively throughout the organisation?		
	5.1	Does the safety policy cover the points in this guidance material?		
Safety accountabilities	5.2	Are the safety accountabilities and responsibilities of the Accountable Manager and other key staff members clearly defined and published for all staff and contractors to see?		

	5.2	Does the Accountable Manager have full responsibility for the SMS and authority to make decisions regarding the budget?		
	5.2	Has the management structure of the organisation been defined?		
	5.2	Are all staff members aware of their safety roles and responsibilities?		
Appointment of key safety staff members	5.3	Has a focal point/Safety Manager for the SMS been appointed?		
	5.3	Is there a direct reporting line between the SMS focal point/ Safety Manager and the Accountable Manager?		
	5.3	Does the SMS focal point/ Safety Manager have the appropriate SMS knowledge and understanding?		
	5.3	Does the organisation have a Safety Committee or equivalent?		
	5.3	Does the Safety Committee or equivalent monitor the safety performance and the effectiveness of the SMS?		
	5.3	Does the Safety Committee or equivalent meet at least annually and are the meetings minuted?		
Emergency response planning	5.4	Has an emergency response plan been developed and is it kept up to date?		
	5.4	Are the roles, responsibilities and actions of key staff members defined in the ERP?		

	5.4	Does the ERP include all the considerations in this guidance material if appropriate?		
	5.4	Is the ERP regularly reviewed and tested?		
Safety documentation	5.5	Does the safety management manual or safety documentation in existing manuals contain all the elements as detailed in this guidance material?		
	5.5	Is it regularly reviewed?		
	5.5	Is there a system for the recording and storage of SMS documentation and records i.e. hazard logs, risk assessments, safety reports from staff/contractors and safety cases?		
Hazard identification	6.2	Is there a confidential safety reporting system?		
	6.2	Are safety reports assigned an 'owner' and reviewed by the Safety Committee or equivalent?		
	6.2	Is there feedback to the reporter?		
	6.3	Is there a written procedure describing how hazards are identified?		
	6.3	Have the major hazards associated with the organisation been identified?		

APPENDIX 6 - EXAMPLE OF A RISK REGISTER / HAZARD LOG

A. Ref	Date	B. Short description of hazard / issue ⁽¹⁾	C. Existing risk controls	D. Related risk (severity/likelihood)	E. Is the risk acceptable? ⁽²⁾	F. Action(s) to mitigate risk	G. Action owner
		Changes of instructor during student training					
		Instructor fatigue					
		Poor fuelling processes					
		Contaminated Fuel					
		Runway blockage					
		Weather Diversion					

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