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Air Traffic Management

Air Traffic Controllers – Licensing and Training

CAP 2331

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CAP 2331

Contents

The Regulatory Framework

Introduction

Civil Aviation Authority civil aviation publications (CAPs) are based upon national and assimilated EU legislation and non-legislative regulatory material, such as ICAO Standards and Recommended Practices. They are published in order to provide:

a) guidance and clarification on the means of achieving compliance with global and UK regulatory requirements, and where applicable:

b) details of UK 'Alternative Means of Compliance', and

c) details of any additional national requirements, including CAA administrative procedures.

Details of appropriate supporting administrative procedures are also included where necessary.

CAPs are subject to periodic revision to take account of changes to source regulatory material, feedback from industry, and recognised best practice. This document provides guidance and clarification relating to ATC Training and licensing requirements – and is to be read in conjunction with the supporting documentation referenced below as applicable.

Non-inclusion of source regulatory material within this CAP does not preclude the end user from either the need to be aware of, or the need to comply with, the requirements contained within the source materials unless otherwise exempted from those requirements.

It is the policy of the UK government that, unless a difference or 'Alternative Means of Compliance' (AltMoc) has been established, compliance is with relevant international (i.e. ICAO and applicable equivalents such as International Telecommunications Union) and UK regulatory material, required to the extent mandated in law. Additionally, compliance with national requirements that are not addressed by international regulations is also required.

This document is a combination of what was the CAP 1251 Air Traffic Controllers – Licensing and CAP 584 Air Traffic Controllers – Training and has been updated to incorporate all previous amendments from both CAPs.

The words 'must', 'shall' and 'will' indicate that compliance with applicable regulatory requirements is necessary. In the case of AMC the word 'should' indicates that compliance is required, unless complying with an approved AltMoC.

Regulatory References

This document is published to assist current and applicant Training Organisations, Air Navigation Service Providers and student/air traffic controllers in the

understanding of, and compliance with the requirements pertaining to ATCO Licensing and training requirements. The list of supporting documents is as follows:

Assimilated European regulations:

EASA was established by Commission Regulation (EC) No. 1592/2002 and the Agency received further competences in accordance with Regulation (EC) No. 216/2008 (Basic Regulation). This established an extension to EASA's competency to include safety and interoperability of ATM and ANS resulting in new EASA Implementing Regulations. The EASA website can be found at www.easa.eu. EU regulations have been assimilated following EU withdrawal and amended under UK Statutory Instruments.

UK Reg (EU) 2018/1139 common rules in the field of civil aviation**.**
UK Reg (EU) 2015/340 the air traffic controller's (ATCO) licensing and certification regulation.
UK Reg (EU) 373/2017 Requirements for providers of ATM/ANS.

UK Statutory Instruments

SI 2019 No. 645. EXITING THE EUROPEAN UNION – CIVIL AVIATION

CAA Publications:

CAP 393 – Air Navigation Order 2016 and Regulations.
CAP 794 – Air Traffic Controllers – Initial Training Objectives.
CAP 1049 - Guidance for applicant: Review of conduct of test or exam

ICAO Publications:

Annex 1 – Personnel Licensing.

Supplementary Amendments

Supplementary amendments to CAP 2331 are issued for the following reasons:
- to introduce an entirely new subject or a radical change to existing instructions;
- to re-emphasise an existing requirement.

Such supplementary amendments will be incorporated into the main body of the document in its next revision.

In view of the timescales involved in updating civil aviation publications, references may not be up to date and it is advised that readers take note of any information promulgated via means such as CAP 2331 Supplementary Amendments, CAA updates and CAA website information.

As the Regulatory Framework is being developed, the various CAPs will be amended to take account of the effects of these Regulations.

Definitions

The following definitions and abbreviations have been included for ease of reference or where terms are unique to the UK.

Abnormal and Emergency situations	The collective term referring to situations, including degraded situations, which are not routinely or commonly experienced and for which automatic skills have not been developed, and serious and dangerous situations requiring immediate actions. (CAA)
Ab-initio	A learner without previous air traffic control qualifications who is undertaking initial air traffic control training. (CAA)
Assessment	An evaluation of the practical skills leading to the issue of the licence, rating and/or endorsement(s) and their revalidation and/or renewal, including behaviour and the practical application of knowledge and understanding being demonstrated by the person being assessed. (UK Reg (EU) 2015/340)
Assessor endorsement	The authorisation entered on and forming part of the licence, indicating the competence of the holder to assess the practical skills of student air traffic controller and air traffic controller. (UK Reg (EU) 2015/340)
Board Chair	The name given to an individual overseeing a unit endorsement assessment to verify the effectiveness of an ANSPs approved training course and the processes leading to the issue of an individual's Unit Endorsement.
Competence	The appropriate knowledge, skills and behaviours necessary to provide air traffic control services in accordance with privileges stated in a student air traffic controller's or an air traffic controller's licence. (CAA)
Corroboration	A method suggested for use, to achieve internal compliance monitoring i.e. to ensure a process is carried out according to set procedures and to the specified requirements. (CAA)
Course Design Document	For the purposes of this document, a course design document is a submission from a training organisation seeking approval to conduct a course of ATC training. (CAA)
English Language Rater	***Note: The CAA have withdrawn this phrase in favour of English language assessor as per UK Reg (EU) 2015/340.***

Evaluation	A method suggested for unit use to make judgements about the ongoing performance of a learner against the objectives of the phases of a unit endorsement course. (CAA)
Examination	A formalised test evaluating the person's knowledge and understanding. (UK Reg (EU) 2015/340)
Exposition	**The UK has withdrawn this definition and will refer to an 'ITO application'.**
Formative report	A report that describes the progress of a learner, mainly for the benefit of the learner. (CAA)
Initial training	The training which leads to the issue of a student air traffic controller licence or to the issue of an additional rating and, if applicable, rating endorsement, providing basic and rating training. (UK Reg. (EU) 2015/340)
Language proficiency endorsement	The statement entered on and forming part of a licence indicating the language proficiency of the holder. (CAA)
Learner	A generic term for an individual gaining knowledge from a learning activity. i.e. performing a learning activity without any reference to their status. e.g. student or trainee. (CAA)
On-the-job training instructor (OJTI) endorsement	The authorisation entered on and forming part of a licence, indicating the competence of the holder to give on-the-job training instruction and instruction on synthetic training devices. (UK Reg (EU) 2015/340)
Operational Refresher Familiarisation	An objective-based process by which ITO theoretical instructors and non-operational STDIs and assessors may refresh their knowledge of current operational practice and gain experience of new techniques and equipment. (CAA)
Performance objective	A clear and unambiguous statement of what a student is expected to do *(Performance),* according to a level in terms of quality, quantity and time *(Standard)* and, the conditions under which the performance is to be carried out *(Conditions).* (Eurocontrol)
Provisional inability	A temporary state in which the licence holder is prevented from exercising the privileges of the licence when ratings, endorsements and his medical certificate are valid. (UK Reg (EU) 2015/340)
Psychoactive substances	Alcohol, opioids, cannabinoids, sedatives and hypnotics, cocaine, other psychostimulants, hallucinogens, and volatile solvents, whereas caffeine and tobacco are excluded. (UK(EU) Reg 2015/340)

Rating endorsement	The authorisation entered on and forming part of a licence, indicating the specific conditions, privileges or limitations pertaining to the relevant rating (UK Reg. (EU) 2015/340)
Renewal	The administrative act taken after a rating, endorsement or certificate has expired that renew the privileges or limitations of the rating, endorsement or certificate for a further specified period subject to the fulfilment of specified requirements. (UK EU Reg 2015/340)
Revalidation	The administrative act taken within the period of validity of a rating endorsement or certificate that allows the holder to continue to exercise the privileges of the rating, endorsement or certificate for a further specified period subject to the fulfilment of specified requirements. (UK EU Reg 2015/340)
Summative Report	A summative report is a report completed by a certificated ITO which details the competence observed during a practical assessment in an initial training course and relevant to; the required performance objectives in Part ATCO, Subpart D, Section 2; and those terminal objectives relevant to the course. (CAA)
Surveillance Fall-back and Contingency	A term used to indicate when surveillance equipment has degraded or failed and contingency measures are implemented. (CAA)
Syllabus	A list of training objectives classified by subjects, topics and sub-topics showing the training necessary to fill the training gap and achieve the course aim. (CAA)
Synthetic training device (STD)	Any type of device by which operational conditions are simulated, including simulators and part-task trainers. (UK Reg (EU) 2015/340)
Synthetic training device instructor (STDI)	The Authorisation entered on and forming part of a licence, indicating the competence of the holder to give instruction on synthetic training devices. (UK Reg (EU) 2015/340)
Taxonomy Level	Taxonomy levels for ATC Initial training in UK Reg (EU) 2015/340 are derived and adapted from Blooms (1984) learning theory. However, the fundamental taxonomy levels, which can be utilised by a TO assist in creating specific taxonomies for other courses, are: 1. Knowledge - This involves recalling basic facts, processes, and methods, or patterns and structures. 2. Comprehension (Understanding) - Refers to the learner's understanding of the ideas and materials presented at the level 1. At this stage, learners won't necessarily be able to

	see the full implications of their knowledge or be able to relate it to other material. 3. Application - Learners should be able to use/apply their knowledge and understanding in certain situations. 4. Analysis - Learners are expected to be able to articulate the relationship between different ideas and be able to breakdown their learning into elements or parts. 5. Synthesis - This involves combining different ideas or elements to create new structures or ideas. 6. Evaluation - In the original Bloom's taxonomy, 'evaluation' was the highest level of thinking and requires the most complex mental processes. At this level, learners are expected to make judgments about the value of the methods or materials presented to them. This level might not be expected from a student ATCO.
Terminal Objective	A terminal objective is a specific statement of the performance which learners must demonstrate in order to attain the course aim. A terminal objective identifies what the learner will be able to do in terms of observable and assessable behaviour. These are detailed in CAP 794. (CAA)
Trainee	An air traffic controller who is undertaking a course of air traffic approved training at a TO/ITO.
Training course	The theoretical and/or practical instruction developed within a structured framework and delivered within a defined duration. (UK Reg (EU) 2015/340
Training objective	Is a holistic term covering all objectives of a training course. (CAA)
Training organisation	An organisation which has been certified by the CAA to provide one or more types of training. (UK Reg (EU) 2015/340)
Unit competence scheme	An approved scheme indicating the method by which the unit maintains the competence of its licence holders.(CAA)
Unit endorsement	The authorisation entered on and forming part of a licence, indicating the ICAO location indicator and the sectors and/or working positions where the holder of the licence is competent to work. (UK Reg (EU) 2015/340)
Unit Endorsement Assessment	Previously known as 'validation board', the unit endorsement assessment is an assessment and examination of a candidate at the final point of their unit endorsement course (UEC); for the issue of an ATCO

	licence and/or issue, revalidation or renewal of a unit endorsement. (CAA)
Unit endorsement course	A training course for each UE established at the ATC unit as defined in the unit training plan. (CAA)
Unit training plan	An approved plan detailing the unit endorsement course(s), processes and timing required to allow the unit procedures to be applied at the unit. (CAA)

Abbreviations

UK Reg (EU) 2015/340	Commission UK Reg (EU) 2015/340, and to include UK SI 2019 No.645.
AltMoC	Alternative Means of Compliance
AMC	Acceptable Means of Compliance
APC	Assessment of Previous Competence
ATC	Air Traffic Control
ATCO	Air Traffic Controller
CAP	Civil Aviation Publication
CDD	Course Design Document
ITO	Initial Training Organisation
LAB	Language Assessment Body
LPA	Language Proficiency Assessor
PTT	Part-task Trainer
ORF	Operational Refresher Familiarisation
ORS	Official Record Series
OJT	On-the-Job Training
OJTI	On-the-Job Training Instructor
SFbC	Surveillance Fall-back and Contingency
SIM	Simulator
SRA	Surveillance Radar Approach
SRW	Summative Report Writer
STD	Synthetic Training Device
STDI	Synthetic Training Device Instructor
TO	Training Organisation
UCS	Unit Competence Scheme
UE	Unit Endorsement
UEA	Unit Endorsement Assessment
UEC	Unit Endorsement Course
UTP	Unit Training Plan

Chapter 1

Introduction to air traffic controller licensing, training and certification

Subject matter and scope

1.1   Assimilated Regulation (EU) 2015/340, (from now on is referred to as UK Reg (EU) 2015/340) details the UK air traffic controller's (ATCO) licensing and certification rules and related acceptable means of compliance, together with ATCO training and medical requirements.

1.2   The CAA is the UKs competent authority. Within the CAA, the Licensing assessment team is responsible for processing and issuing of air traffic controllers licensing. Also, Airspace, ATM and Aerodromes (AAA) division of the Safety and Airspace Regulation Group (SARG) is responsible for the certification and oversight of ANSPs, training organisations (TO/ITO) including the approval of training courses, unit training plans (UTPs) and unit competence schemes (UCSs) and air traffic controllers, including student air traffic controllers, are required to comply with UK Reg (EU) 2015/340.

1.3   UK Reg (EU) 2015/340 lays down detailed rules for:

- the conditions for issuing, suspending and revoking air traffic controller's and student air traffic controller's licences, associated ratings and endorsements, and the privileges and responsibilities of those holding them;

- the conditions for, limiting, suspending and revoking air traffic controller's and student air traffic controller's medical certificates, and the privileges and responsibilities of those holding them;

- the certification of aero-medical examiners and aero-medical centres for air traffic controllers and student air traffic controllers;

- the certification of air traffic controller training organisations;

- the conditions for validating, revalidating, renewing and using such licences, ratings, endorsements and certificates.

1.4 UK Reg (EU) 2015/340 shall apply to:

- student air traffic controllers and air traffic controllers exercising their functions within the scope of UK (EU) Reg 2018/1139;

- persons and organisations involved in the licensing, training, testing, checking and medical examination and assessment of applicants in accordance with this Regulation.

1.5 This CAP 2331 details the processes to be followed by an individual or organisation in order to comply with UK Reg (EU) 2015/340.

Chapter 2

Air traffic controller licensing

Student air traffic controller

2.1   The requirements to hold a student air traffic controller licence are laid down in UK Reg (EU) 2015/340 ATCO.B.001.

2.2   The CAA will grant a student air traffic controller licence to an applicant provided they meet the requirements laid down in UK Reg (EU) 2015/340 ATCO.B.001.Student air traffic controller licence.

2.3   A student air traffic controller who provides an air traffic service under supervision is responsible for ensuring they comply with the requirements of UK Reg (EU) 2015/340 and in addition:

  a)   is not fatigued to an extent that may endanger the safety of aircraft to which they are providing an air traffic service,

  b)   is not under the influence of any psychoactive substance or suffering from any illness or injury to an extent that may endanger the safety of aircraft to which an air traffic service is being provided,

  c)   comply with a Fatigue Risk Management Policy.

  Note: Complying with the provisions of a Fatigue Risk Management Policy does not absolve the controller from making a judgement as to their fitness to provide a safe air traffic service in accordance with UK Reg (EU) 2015/340.

2.4   The holder of a student air traffic controller licence who has not started 'exercising the privileges of the licence' within one year from the date of its issue or has interrupted exercising those privileges for a period of more than one year may only start or continue unit training in that rating after an assessment of their previous competence in accordance with the procedures detailed in chapter 9 of this document.

NOTE: For clarity of terminology, for a student licence holder, 'exercising the privileges of the licence' is to be understood as providing an ATC service under the supervision of an OJTI, unless where pre-on-the-job training has been commenced.

Air traffic controller licence

2.5   The requirements to hold an air traffic controller licence are laid down in UK Reg (EU) 2015/340 ATCO.B.005.

2.6   The CAA will grant an air traffic controller licence to an applicant provided they meet the requirements laid down in UK Reg (EU) 2015/340 ATCO.B.005 Air traffic controller licence.

2.7   An air traffic controller licence holder who provides an air traffic service shall be responsible for ensuring they comply with the requirements of UK Reg (EU) 2015/340 and in addition shall ensure they:

   a)   are not fatigued to an extent that may endanger the safety of aircraft to which they are providing an air traffic service,

   b)   are not under the influence of any psychoactive substance to an extent that may endanger the safety of aircraft to which they are providing an air traffic service,

   c)   are not suffering from any mental or physical illness or injury to an extent that may endanger the safety of aircraft to which they are providing an air traffic service

   d)   comply with a Fatigue Risk Management Policy.

Note: Complying with the provisions of a Fatigue Risk Management Policy does not absolve the controller from making a judgement as to their fitness to provide a safe air traffic service in accordance with UK Reg (EU) 2015/340.

2.8   The holder of an air traffic controller licence who has not started exercising the privileges of any rating (providing an ATC service under the supervision of an OJTI) within one year from the date of its issue may only start unit training in that rating after an assessment of their

previous competence in accordance with the procedures detailed in chapter 9 of this document.

Ratings and rating endorsements

2.9 An air traffic controller licence shall contain one or more of the ratings listed in UK Reg (EU) 2015/340 ATCO.B.010 Air traffic controller ratings.

2.10 In accordance with UK Reg (EU) 2015/340 ATCO.B.010 (b) if the holder of a rating has interrupted exercising the privileges (providing an ATC service) of that rating for a period of four or more immediately preceding consecutive years, an assessment of previous competence (APC) is required in that rating in accordance with the procedures detailed in Chapter 9 of this document, prior to commencing unit training.

Note: Sectors using varying ratings require separate APCs where operations are to be delivered in those sectors.

Rating endorsements

2.11 The rating endorsements which may be contained in an air traffic controller or student air traffic controller licence are listed in UK Reg (EU) 2015/340 ATCO.B.015 Rating Endorsements.

Licensing requirements

2.12 The air traffic controller or student air traffic controller's licence is the property of the person to whom it is issued.

2.13 The individual air traffic controller is responsible for ensuring that their licence:

    a) is issued in accordance with UK Reg (EU) 2015/340,

    b) contains their correct details,

    c) has been signed by themselves.

2.14 Prior to exercising the privileges of their licence they must ensure that they:

a) have a minimum current ATCO English language proficiency endorsement of ICAO level 4,

b) have a current UK Class 3 medical certificate,

c) hold the relevant rating(s),

d) hold the relevant UE(s).

2.15 An air traffic controller shall ensure that their licence is available at the unit at all times when they are exercising the privileges of their licence.

CAA Licence administration

2.16 Within the UK the CAA may issue or amend student and air traffic controller licences. Licence administration is undertaken by the CAAs ATS Licensing assessment team atslicensing@caa.co.uk .

2.17 Licence administration is the process by which the CAA ensures that student and air traffic controller licences are issued and maintained. To carry out this function the CAA maintains the licensing records, including personal details, of all licence holders.

2.18 The CAA maintains the following personal details of all licence holders:

a) full name,

b) date and place of birth,

c) nationality,

d) residential address, and

e) the address of the unit(s) where the student or air traffic controller licence holder is providing an air traffic service.

2.19 In the case of the first application for a student air traffic controller licence, a certified ID is required. See guidance note 1 of CAA form SRG1421.

2.20 In the event of any changes to personal details, the CAA ATS Licensing assessment team must be informed by the submission of CAA form SRG1411E to facilitate the issue of an updated licence.

2.21   Each student and air traffic controller licence issued is uniquely numbered. Licence holders should quote this number, in all communications with the CAA ATS Licensing assessment team.

2.22   The CAA maintains the following licence records on student air traffic controller licence holders:

    a)   details of the successful completion of initial training, including the date of completion and the results of any associated assessments and/or examinations,

    b)   the rating discipline, including any rating endorsement, in which the licence holder may provide an air traffic service under supervision,

    c)   the unit where the licence holder is providing a service under supervision and the date the licence will expire.

2.23   The CAA maintains the following licence records on air traffic controller licence holders:

    a)   details of the successful completion of any initial training and the results of any associated assessment(s) and/or examination(s),

    b)   current valid rating(s), including rating endorsement(s) and UE(s),

    c)   licence endorsements,

    d)   the unit(s) at which the controller is providing an air traffic service,

    e)   previously held rating(s), rating endorsement(s) and UE(s) including the units where the controller previously provided an air traffic service,

    f)   details of any action taken by the licensing authority to suspend or revoke an air traffic controller licence or its associated rating(s), rating endorsement(s) or UE(s),

    g)   the date when any current medical certificate expires.

2.24   ANSPs are to inform the CAA Licensing assessment team, of the renewal of all UEs and also in the event that a UE is not renewed or is withdrawn, on CAA form SRG1411B.

2.25   Applications for air traffic controller licences, rating(s), rating endorsement(s), and UE(s) must be made using the relevant CAA form SRG1411.

2.26   Applications for initial assessor, OJTI and STDI endorsements, revalidations and renewals, including exchanging an OJTI for an STDI endorsement, must be made on CAA form SRG1415.

Unit endorsements (UEs)

Privileges

2.27   The requirements for a UE are laid down in UK Reg (EU) 2015/340 ATCO.B.020.

2.28   Applicants for a UE must have completed an approved Unit endorsement course (UEC).

2.29   The validity period of a UE shall be specified in the Unit Competency Scheme (UCS). This shall not exceed three years.

2.30   A UE may not be revalidated if the required minimum number of hours of operational duties have not been completed during the validity period of the UE.

Arranging an initial Unit Endorsement Assessment (UEA)

2.31   While there is no regulatory requirement for the CAA to attend every initial UEA, the CAA have determined that unless otherwise authorised, each initial UEA will be conducted by:

- An ATS Inspector or

- an assessor and an ATS Inspector acting as Board Chair

2.32   Notification for an initial, subsequent or renewal UEA must be made to the relevant ATS Inspector at least 30 days prior to the requested date.

2.33   The ATS inspector may request details of any proposed revalidations of a Unit Endorsement taking place at any ATSU within their area of responsibility.

2.34   The choice to attend any UEA, or not, is at the sole discretion of the allocated ATS Inspector, with that decision founded on the principles of performance-based oversight. Where the allocated inspector has elected to attend, mutually agreeable dates and times for such assessments shall be agreed with the ATS Inspector.

2.35   The CAA must be in receipt of payment prior to confirmation of the attendance of the UEA.

Surveillance systems degradation

Surveillance degradation

2.36   Not all ANSPs have personnel who hold an ATCO licence which contains an APP rating and therefore cannot offer an Approach Control Procedural service.

2.37   In accordance with Regulation UK (EU) 2017/373 ATM/ANS.OR.A.070 (Contingency plans), units shall have in place contingency plans for surveillance system degradation in the case of events which result in significant degradation or interruption of its operations. These procedures and associated training shall be approved by the CAA.

2.38   Procedures and training approved by the CAA for relevant units shall be detailed in the UTP, UEC(s) and UCS.

Unit Endorsement Administration

2.39   Except where approved by the CAA, the use of a synthetic training device (STD) to demonstrate competence at a UE assessment is not permitted. When approved by the CAA, an STD may be used to

demonstrate the application of procedures not seen during any assessment.

2.40   An initial or subsequent UE shall only be issued if the candidate has successfully completed both the assessment and oral examination. The practical assessment will be conducted prior to the oral examination.

2.41   No part credit will be issued if a candidate was unsuccessful in an assessment or examination, both the assessment and examination must be undertaken again.

2.42   An individual who is unsuccessful in the assessment and/or examination for the initial issue of a UE shall not be permitted to retake the assessment and examination until a period of at least 30 days has elapsed.

2.43   At ATSUs that do not have an assessor, the revalidation UEA shall be conducted by an ATS Inspector.

2.44   Where civilian air traffic controllers are assessed for their competence to provide air traffic services at a military airfield, a military examiner may be present.

2.45   If a UE has expired, the process to renew the UE will require a UEC to be successfully completed in accordance with UK Reg (EU) 2015/340 Part ATCO, Subpart D, Section 3.

2.46   Revalidation of the UE requires that refresher training is successfully completed in accordance with UK Reg (EU) 2015/340 ATCO.D.080(b). The details of refresher training will be included in the UCS document.

2.47   A UE may be withdrawn where a controller is no longer required to provide an air traffic service on a particular sector and/or operational position, or when sectors are reorganised and sector names or designations change. The air traffic controller licence holder shall inform the CAA ATS Licensing assessment team (by letter or email) in the event that a UE is withdrawn or not renewed unless the unit has procedures to inform the CAA on the licence holder's behalf.

2.48   Where it is intended that an air traffic controller should hold UEs concurrently at more than one unit, the ANSP(s), concerned are to inform the CAA.

2.49   Units requiring to provide an air traffic service for an event over a short period of time, shall ensure that those controllers who wish to apply for this UE, hold a current UE at a permanent unit in the same rating as that for which the UE is required.

2.50   An air traffic controller who already holds a UE will be issued with additional UEs for additional sectors or operational positions associated with that rating upon:

- successful completion of the relevant adapted UEC, and

- demonstrating that they are competent to provide the air traffic service associated with the additional sectors or operational positions.

Unit Endorsement for events

2.51   A short term UE is one that is granted to an air traffic controller in order that they can provide an air traffic service at an event that requires such a service for a short period of time, typically 3 or 4 days.

2.52   When an air traffic controller moves to a new unit, their previously held UEs are still current until the expiry date of the UE(s). If the licence holder subsequently returns to the original unit, the process to ensure competence is dependent upon the time that has elapsed since they last exercised the UE at that unit. The requirements for remaining in current and recent practice at a unit is to be identified in the approved UCS.

Disclosure of information

2.53   Upon request from a licence holder, the CAA will make available records and provide verification of previously held ratings, rating and licence endorsements and UEs to enable controllers to provide this information to the licensing Authority of another State.

Application forms and fees

2.54 The correct fee must be included with all applications for the licences, ratings and associated endorsements referred to above, Including the fee for loss/damage. Details of the CAAs Scheme of Charges for the issue of licences and endorsements are published in Official Record Series 5 – personnel licensing.

2.55 CAA SRG Forms are available from the CAA Publications web page caa publications.

Note: UK Reg (EU) 2015/340 permits the CAA to have a procedure to allow privileges to be exercised by the licence holder for a maximum of eight weeks after successful completion of the applicable examination(s) or assessment(s). This is in order for a licence application to be processed by the CAA, even though it might not be in their possession and provided confirmation of the receipt has been acknowledged by a CAA email. If after 8 weeks, no licence including the associated rating or endorsement is received, privileges may not be exercised until such time as the licence is in their possession.

2.56 All applications must be sent to:

ATCO Licensing Section,
Licensing Assessment,
Safety and Airspace Regulation Group,
Civil Aviation Authority,
Aviation House,
Gatwick Airport South
West Sussex
RH6 0YR

Or by email to ats.licensing@caa.co.uk

Licence recognition

EU/EEA licence holders

2.57   EU/EEA states have reverted to third country status and all licences issued and training certificates are no longer recognised.

2.58   In addition ECAC licences are not recognised as they are not included within the European Withdrawal Act 2018.

2.59   UK licences are no longer recognised within the EU.

Applications for the recognition of an air traffic controller licence obtained in any State other than the UK.

2.60   The CAA is not able to recognise air traffic controller licences issued in any State other than the UK.

2.61   The CAA has no knowledge of the ATC rating training syllabi of courses undertaken in other States and how these compare with the UK training requirements.

2.62   Individuals who hold an air traffic controller licence from a non-EU/EEA state will be required to successfully complete the UK ATC initial training in its entirety to be able to apply for a UK student air traffic controller licence.

Application for the reissue of a UK licence having converted to another State licence

2.63   For those individuals who have previously held a UK licence, for the reissue of the UK licence an application shall made on CAA form SRG1411F available on the CAA Website.

2.64   The TO/ITO with whom an individual intends to undertake training, after regaining their UK licence shall ensure an APC in each rating required is undertaken prior to commencing any training.

Revocation and suspension of licences, ratings and endorsements

Provisional suspension

2.65   The ANO 2016, as SI UK 2016/765 article 253, authorises that the CAA may provisionally suspend or vary any certificate, licence, approval, permission, exemption, authorisation or other document issued, granted or having effect under the ANO, pending inquiry into or consideration of the case.

2.66   Although this process is not a requirement under UK Reg (EU) 2015/340, the CAA has elected to keep this term and process.

2.67   Provisional suspension is a temporary measure which places a licence, or its associated rating(s) and/or endorsement(s), in abeyance pending inquiry or investigation into the case.

2.68   The CAA may provisionally suspend an air traffic controller's licence whenever:

   a)   competence to provide an air traffic service is in doubt, and/or

   b)   fitness to hold an air traffic controller licence is considered by the CAA to be in doubt.

2.69   An air traffic controller whose licence is provisionally suspended shall not provide any air traffic service. The provisionally suspended licence will not act as a student air traffic controller licence.

2.70   The CAA may provisionally suspend the rating(s) of a controller whose competence to provide an air traffic service associated with those rating(s) is in doubt.

2.71   An air traffic controller shall not exercise the privileges of a provisionally suspended rating, and any UE(s) associated with that rating, except under the supervision of an OJTI who holds a valid rating appropriate to the air traffic service being provided. An air traffic controller may

continue to exercise the privileges of ratings which are not subject to provisional suspension.

2.72 The CAA may provisionally suspend the rating endorsement(s) of an air traffic controller whose competence to provide an air traffic service associated with the rating endorsement(s) is in doubt.

2.73 An air traffic controller shall not exercise the privileges of a provisionally suspended rating endorsement or any UE associated with that rating endorsement, except under the supervision of an OJTI who holds a valid rating appropriate to the air traffic service being provided.

2.74 A controller may continue to exercise the privileges of rating endorsements which are not subject to provisional suspension.

2.75 The CAA may provisionally suspend the UE(s) of an air traffic controller whose competence to provide the air traffic service associated with the UE(s) is in doubt.

2.76 An air traffic controller shall not exercise the privileges of a provisionally suspended UE except under the supervision of an OJTI who holds a valid UE appropriate to the air traffic service being provided.

2.77 An air traffic controller may continue to exercise the privileges of UE(s) which are not subject to provisional suspension.

2.78 The CAA will normally set conditions for the removal of the provisional suspension of rating(s), rating endorsement(s) and UE(s). These conditions will normally be a period of unit training followed by an assessment of the air traffic controller's competence. Provided the controller is assessed as competent the provisional suspension will be removed.

2.79 There is no appeal under Regulation 6 (5) of the CAA Regulations 1991(SI 1991 No.1672) against a provisional suspension.

2.80 Provisional suspensions are not considered suitable as a long-term measure. The failure of a licence holder to satisfy the conditions for the

removal of a provisional suspension within a reasonable period of time will result in the CAA reviewing the circumstances of the provisional suspension. Under these circumstances the CAA may propose to suspend a licence, rating or endorsement as appropriate.

2.81   An air traffic controller whose ATCO licence, rating or endorsement has been provisionally suspended, may only provide an air traffic service under the supervision of a suitably qualified OJTI whilst complying with the conditions for removal of the provisional suspension.

Suspension

2.82   Suspension is the act of placing an air traffic controller licence, or its associated rating(s), rating endorsement(s) or UE(s), in abeyance. Normally, conditions would be set whereby the controller may seek withdrawal of the suspension of rating(s) and/or endorsement(s).

2.83   The CAA will issue a proposal to suspend the rating(s), rating endorsement(s) or UE(s) of a controller:

a)   who is unable or unwilling to meet the conditions for the removal of a provisional suspension,

b)   where a more extensive investigation of an incident or accident indicates that the controller actions were a contributory factor.

2.84   During the period of the proposal to suspend, the provisional suspension will remain in force and controllers must continue to comply with the requirements associated with the provisional suspension.

2.85   A proposal to suspend, including the conditions for the removal of the suspension, is subject to appeal under Regulation 6(5) of the CAA Regulations 1991(SI 1991 No.1672). Guidance detailed in CAP 1049 Review of Conduct of test or exam

2.86   An air traffic controller who satisfies the conditions for the removal of a suspension will have the suspension removed.

2.87   The CAA will suspend the air traffic controller licence, or its associated rating(s), rating endorsement(s) or UE(s) of an air traffic controller who does not appeal or who is unsuccessful at an appeal.

2.88   Conditions for the removal of a suspension will normally involve:

    a)   an APC conducted at a certificated ITO,

    b)   successful completion of any training and further assessments identified by the ITO as being required,

    c)   successful completion of unit training and for the award of a UE in the rating that was suspended.

2.89   An air traffic controller whose rating(s), rating endorsement(s) or UE(s) have been suspended must not provide the air traffic service associated with those rating(s), rating endorsement(s) or UE(s) except to comply with the conditions for the removal of the suspension and under the supervision of an OJTI who holds a valid rating appropriate to the air traffic service being provided.

Revocation

2.90   Revocation is the act of withdrawing an air traffic controller licence or its associated rating(s), rating endorsement(s) or UE(s).

2.91   The CAA will propose to revoke the licence of an air traffic controller whenever it considers that air traffic controller is not a fit person to hold an air traffic controller licence. In such a case the licence will either have already been provisionally suspended or will be provisionally suspended at the same time as the proposal to revoke is notified.

2.92   The CAA may propose to revoke the air traffic controller licence or associated rating(s), rating endorsement(s) or UE(s) of a controller who is unable to demonstrate their competence to provide the associated air traffic control service.

2.93   The proposal to revoke an air traffic controller licence, or associated rating(s), rating endorsement(s) or UE(s) is subject to appeal under Regulation 6 (5) of the Civil Aviation Authority Regulations 1991 (SI 1991

No.1672). If the appeal is successful, the proposal to revoke will be withdrawn. Guidance detailed in CAP 1049 Review of conduct of test or exam.

Role and responsibility of the ANSP

2.94   ANSPs must have approved processes, procedures and competent personnel in place to ensure that:

    a)   the unit has written procedures:

       i)   detailing the action to be taken following the withdrawal of a controller from duty in the event of their involvement in an incident or accident, and

      ii)   for conducting a local management assessment or, in the situation of single manning, action to be taken by the controller involved in the incident or accident,

    b)   ensuring the CAA is advised following any incident assessment where appropriate,

    c)   ensuring the air traffic controller complies with any conditions relating to the provisional suspension or suspension,

    d)   to ensure that the CAA is advised of the outcome of any training and assessment of the air traffic controller required for the removal of a provisional suspension or a suspension.

Chapter 3

Certification of ATC Training Organisations (TO) and Initial Training Organisations (ITO)

Air traffic controller training

3.1   Air traffic controller training is divided into four types in accordance with UK Reg (EU) 2015/340 Part ATCO, Subpart D:

a)   initial training, incorporating basic and/or rating training and/or rating endorsement training;

b)   unit training and/or rating endorsement training, comprising:

i.   transitional training,

ii.   pre-on-the-job training (for UEs requiring handling of complex and dense traffic situations) and

iii.   OJT;

c)   continuation training comprising of refresher training and conversion training, when relevant;

d)   training of practical instructors (OJTI & STDI) and assessors.

3.2   This CAP contains the processes for the certification and ongoing regulatory oversight of UK ATC training organisations and associated courses, and ATC Language Assessment Bodies (LAB).

3.3   In addition, CAP 794 represents the additional national objectives for initial training which must be completed;

a)   during a UK approved Initial training course for the issue of a UK student air traffic controller licence,

b)   during an assessment of previous competence (APC), or

c)   during an additional rating training course at a UK ITO.

Certification of all training organisations

3.4   Applicant Training Organisations will be considered for certification on the basis that information provided by them to the CAA is in compliance

with UK Reg (EU) 2015/340. Training Organisations may be approved to provide initial training and are separately certificated in this respect.

3.5   ANSPs providing an air traffic control service must also be certified as a Training Organisation (TO), to provide unit and continuation training to air traffic controllers (ATCO), in accordance with UK Reg (EU) 2015/340.

3.6   Organisations seeking certification as a TO/ITO are strongly advised to have exploratory discussions with the CAA prior to making a formal application.

3.7   Communication with the CAA should be directed to in the first instance:

   a)   the relevant Principal Inspector ATM in the case of Aerodromes or

   b)   the Principal Inspector (En-route), in the case of En-route or Initial training.

Training organisation application

3.8   The process for application and certification of all training organisations shall be in accordance with the requirements set out in UK Reg (EU) 2015/340 Part ATCO.OR and ATCO.AR subpart E with their associated AMCs and the requirements in this document.

3.9   Applications for TO/ITO certification shall be submitted to the CAA at least four months before the anticipated start of any proposed training.

3.10   Applications for certification as a TO/ITO must be submitted to the CAA using CAA form SRG1427 (TO) or SRG1431 (ITO), together with payment of the associated fee found in the current CAA ORS 5 - Scheme of charges (Personnel licensing).

3.11   The applicant shall be required to complete the Air Traffic Controllers Licensing and Certification compliance matrix (found on CAA website under 'certification and designation') as part of the application process appropriate to the type(s) of training intended to be provided.

3.12   This compliance matrix contains all the UK Reg (EU) 2015/340 requirements applicable to Training Organisations and Initial Training Organisations.

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

b)   Initial Training Organisations are to complete sections 1,2,3 and 6 checklists.

3.13   Completing the relevant Compliance Matrices will assist in enabling the prospective TO/ITO to assure themselves that their management system will expect to meet the requirements of UK Reg (EU) 2015/340 and this document.

3.14   All supporting documents and their current issue status are to be entered into the relevant compliance matrix table and submitted as part of the application process.

3.15   In accordance with UK Reg (EU) 2015/340 ATCO.OR.C.001 training organisations are to have a documented compliance monitoring system including a system for managing changes within their management system processes.

3.16   The TO/ITO system for managing changes shall contain a process for implementing all changes and assessing the risks associated with changes.

3.17   After the compliance matrices and supporting documentation have been reviewed by the CAA, an audit of the training organisation will be arranged. The audit will cover all elements of the regulation relevant to the application. For details of the audit process see Oversight audit process below.

3.18   If necessary, a subsequent meeting may be arranged with the training organisation by the CAA.

3.19   Subject to the provision of all appropriate information to the satisfaction of the CAA, including satisfactory implementation of required corrective

actions where applicable, the CAA will advise the applicant of its decision if the certificate is to be granted.

3.20 Certification cannot be granted where any level 1 findings remain open (UK Reg (EU) 2015/340 AMC1 ATCO.AR.E.001(b)).

3.21 A training organisation may not provide initial, unit or continuation ATC training until it has received CAA certification to do so.

3.22 Sampling of the first delivery of approved courses will be undertaken by an Inspector ATS. Any findings or observations will be provided in an audit report as per the audit process sequence below.

Specific requirements for initial training courses

3.23 Initial ATC training courses must provide student and/or trainee air traffic controllers with the necessary skills and knowledge to a level of competence that will prepare them for training at any UK operational unit.

3.24 In accordance with UK Reg (EU) 2015/340 Subpart D Section 1 ATCO.D.005, initial training consists of:

a) Basic training: theoretical and practical training designed to impart fundamental knowledge and practical skills related to basic operational procedures, and

b) Rating training: theoretical and practical training designed to impart knowledge and practical skills related to a specific rating and, if applicable, to rating endorsement.

3.25 Basic and rating courses shall comply with the following requirements of UK Reg (EU) 2015/340:

a) Basic

ATCO.D.025 Basic training examinations and assessment;
ATCO.D.030 Basic training performance objectives;

b) Rating

ATCO.D.035 Rating training examinations and assessment;

ATCO.D.040 Rating training performance objectives;

and their associated AMCs.

In addition compliance with UK CAP 794 requirements

Approval of initial training courses and the initial training plan

3.26 Only certified Training Organisation's who have been certified for the delivery of initial training, or those currently seeking certification for initial training, may submit courses of initial ATC training for CAA approval.

3.27 An ITO will not be certified unless it has also received approval for at least one course of initial training as a minimum. This encompasses both basic and a rating training course.

3.28 In accordance with UK Reg (EU) 2015/340 ATCO.D.015, an Initial training plan (ITP) shall be established and submitted to the CAA for approval. The initial training plan shall contain the 12 requirements listed in UK Reg (EU) 2015/340 ATCO.D.015 Initial training plan.

3.29 This initial training plan may include reference to other documents, such as Course Design Documents (CDD), (the requested format of which is provided in Appendix C of this document) and the ITO Management system.

3.30 In accordance with UK Reg (EU) 2015/340 ATCO.AR.E.005 - Approval of training courses and training plans, the CAA will approve the Initial training plan and any training courses submitted by current or prospective ITOs.

3.31 A mapping document shall be maintained which shows how the ITO meets each performance objective of both UK Reg (EU) 2015/340 and CAP 794. This may be held as an Annex to the initial training plan or CDD or as a separate document.

3.32 Until such time as approval is granted, any promotional material or reference to the training organisation, its training centre(s) and training

courses must clearly state that UK CAA approval has not yet been granted.

3.33 The CAA will provide a letter of approval containing specific details of each course approval and/or, a certificate which will state the type(s) of training approvals granted and, which confirms that a Training Organisation complies with the requirements laid down in UK Reg (EU) 2015/340.

3.34 This letter of approval and/or certificate shall be retained as they form part of the management system (AMC1 ATCO.OR.C.001(e)) and shall be made available on request.

Continued compliance for TO/ITO

3.35 In accordance with UK Reg (EU) 2015/340 ATCO.AR.C001 the CAA shall conduct oversight of a TO/ITO including desktop and on-site audits and inspections, and may attend any element of training delivery and assessment. This may include unannounced inspections as per UK Reg (EU) 2015/340 ATCO.AR.C005(b)(1).

3.36 If the CAA finds that the holder of a certificate no longer satisfies the requirements or conditions of that certificate, it shall take appropriate measures, which may include revocation of the certificate.

3.37 The oversight cycle period is two years. During this time, continuous oversight is undertaken of all elements required to maintain compliance. The CAA utilises a Performance Based Regulation (PBR) process for managing oversight activities.

3.38 The accountable manager may be required to attend an accountable manager meeting with the CAA towards the end of each cycle.

3.39 TO/ITOs shall update their courses in accordance with relevant regulatory requirements as part of the compliance monitoring process.

3.40   In compliance with UK Reg (EU) 2015/340, a review of the ITO initial training plan and each course contained therein shall take place at least once every three years.

3.41   A master copy of the compliance matrices, showing all changes incorporated and the reasons for them shall be maintained and retained by the TO/ITO. It shall be possible to trace the developments within training organisations from these matrices and associated documents.

3.42   The process for notifying the CAA of any changes detailed in UK Reg (EU) 2015/340 ATCO.OR.B.015 and requesting approval where required, can be found on the CAA website under Change management and change notification process.

3.43   Changes fall into the following categories:

- Changes that may require review and approval before implementation.

- Changes that will require prior approval before implementation.

- Changes that do not require approval before implementation.

- Changes that do not need notifying to the CAA.

Oversight audit process

3.44   Audits will be carried out by an audit team from the CAA generally following initial application and on a biennial (24 month) basis in accordance with UK Reg (EU) 2015/340.

3.45   An audit plan detailing its objectives, scope and audit members, may be produced by the CAA prior to auditing a training organisation. The purpose of the plan is for all parties to prepare and agree dates, personnel and arrangements for the audit.

3.46   The CAA will request the up to date compliance matrices be submitted and any associated documents be available.

3.47   During the audit, the CAA will require access to all requested documents and records and may request to interview the document or process

responsible person. The TO/ITO should endeavour to ensure that the relevant staff are available if required.

3.48 A closing meeting will be used to provide information as to any non-compliances or observations recorded, prior to a report being drafted.

3.49 Following the audit, a report indicating any non-compliances as level 1 or level 2 findings, and/or any observations will be sent to the auditee.

3.50 In accordance with UK REG (EU) 2015/340, ATCO.AR.E.015 in the event of level 1 findings, the CAA will take immediate and appropriate action to prohibit or limit activities, and if appropriate, it shall take action to revoke the certificate or to limit or suspend it in whole or in part, depending upon the extent of the finding, until successful corrective action has been taken by the training organisation.

3.51 In the case of level 2 findings, the auditee will respond to the finding on the CAA Audit Response Document from the ARD process found on the CAA website within **20 working days from receipt of the report to submit a corrective action plan**, to the CAA audit manager which shall include;

    a) a root cause analysis,

    b) corrective actions,

    c) a proposed implementation period.

3.52 An Observation may be raised where there is potential for future non-compliance if no action is taken, or where we wish to indicate an opportunity for safety improvement or something that is not good practice. Corrective action is not obligatory for an observation, but acknowledgment and the identification of any intended action is expected. An observation may be rejected with justification of rationale. This should be achieved within 20 working days of receipt of the report.

3.53 The CAA will review the applicant's proposed corrective actions and the implementation period requested. If necessary, the CAA may request more information to support any requested implementation time periods

prior to approval, or may require an alternate period. Once an implementation period is agreed this will be communicated to the auditee in writing.

3.54   Once evidence is received that any corrective action has been completed to the satisfaction of the CAA, the associated finding will be closed.

3.55   Should, during the agreed implementation period, it become evident that further time is required to correct the non-compliance, the auditee should discuss this with the CAA auditor giving reasons for any alternative timescale required. The CAA may subsequently agree to extend the initial time period afforded.

3.56   In accordance with UK Reg (EU) 2015/340 ATCO.AR.E.015, for level 2 findings where a training organisation fails to submit an acceptable corrective action plan, or to perform the corrective action within the time period accepted or extended by the CAA, the finding shall be raised to a level 1 finding, and action will be taken as laid down in 3.51 above.

Chapter 4

Training and Assessment Personnel

Instructors

4.1   Both TOs and ITOs utilise theoretical and practical instructors. Theoretical training consists of training delivered without the use of either an STD based or live training event.

4.2   In accordance with UK Reg (EU) 2015/340 AMC1 ATCO.OR.C.001(d), TO/ITOs shall have a procedure to ensure that competence of instructors is maintained, which should include theoretical knowledge.

Theoretical instructors

4.3   Theoretical training shall only be conducted by appropriately qualified instructors in accordance with UK Reg (EU) 2015/340 ATCO.C.001 and its AMC.

4.4   In order to ensure that theoretical instructors are appropriately qualified, the TO/ITO shall have a process to demonstrate compliance with UK Reg (EU) 2015/340 AMC 1 ATCO.C.001(b)(2). This process should be detailed in either the initial training plan, management system, UTP or UCS.

4.5   The practical instructor training course syllabus detailed in ATCO.D.090 does not include training in classroom instructional techniques and therefore as per 4.4 above does not qualify an individual in classroom instructional techniques. An appropriate training course would have to be provided in addition to a practical instructional training course.

4.6   Responsibility for assurance of the qualification and competence of theoretical staff rests with the TO/ITO.

Practical instructors

4.7   In order to ensure that practical instructors are appropriately qualified the TO/ITO shall have a process to comply with UK Reg (EU) 2015/340

ATCO.D.090 which covers training of practical instructors. This process should be detailed in the TO UTP and/or UCS and for an ITO in the initial training plan and/or management system. Further detail is contained in Chapter 13 of this document.

4.8   For a TO, practical instructors shall comply with UK Reg (EU) 2015/340 ATCO.B.025(a)(11) and (12).

On-the-Job Training Instructor - OJTI

4.9   The qualifications for the application of an OJTI are laid down in UK Reg (EU) 2015/340 ATCO.C.015 Application for on-the-job training instructor endorsement.

4.10   The privileges of an OJTI are listed in UK Reg (EU) 2015/340 ATCO.C.010 On-the-job training instructor (OJTI) privileges.

4.11   In accordance with UK Reg (EU) 2015/340 ATCO.C.020, the period of validity of the OJTI endorsement is three years.

4.12   The OJTI is responsible for:

a)   the safety of the air traffic service that the student air traffic controller or trainee air traffic controller is providing under their supervision;

b)   in conjunction with the ANSP ensuring that student air traffic controllers:

i)   hold a student air traffic controller licence, with a relevant English language endorsement and current medical certificate issued in accordance with UK Reg (EU) 2015/340,

ii)   have successfully completed an approved course of initial training in the rating discipline in which they will be providing an air traffic service under supervision,

c)   in conjunction with the ANSP ensuring that trainee air traffic controllers:

i) hold an air traffic controller licence with a relevant English language endorsement and current medical certificate issued in accordance with UK Reg (EU) 2015/340, which includes the rating(s) and,

ii) hold rating endorsement(s) appropriate to the air traffic service being provided under supervision and have exercised their privileges within the preceding four years, or

iii) have successfully completed an approved course of initial training, in the rating and rating endorsement (if any) appropriate to the air traffic service being provided under supervision; and

d) determining and reporting on the training progress,

e) identifying any deficiencies in knowledge or skill and recommending remedial training,

f) recommending student and trainee air traffic controllers as being at an appropriate level of competence where they should be successful at a UEA,

g) supervising controllers who have had their rating(s) and/or rating endorsement(s)and/or UE(s) suspended,

h) reviewing, monitoring and ensuring compliance with the approved UTP and associated UECs and, proposing changes to the training.

Note: If the ANSP has procedures which check and ensure that the licence and training record of individuals are correct and current, then the OJTI will not be required to check the student or trainee's licence, training record or medical status.

4.13 ANSPs must have processes, procedures and competent personnel to ensure that OJTIs:

a) hold an OJTI licence endorsement and valid ratings entitling them to provide the air traffic service(s) in which they are supervising student or trainee air traffic controllers,

b)   have received specific training on the content of the UEC,

c)   are competent to supervise student or trainee air traffic controllers,

d)   are revalidated at least every three years for their competence to train and supervise student or trainee air traffic controllers, this process shall be identified in the UCS.

Temporary OJTI authorisation

4.14   The requirements for Temporary OJTI authorisation are laid down in UK Reg (EU) 2015/340 ATCO.C.025, which lists examples of when and where this authorisation can be utilised e.g. Greenfield sites.

4.15   The ANSP are required to provide a safety analysis on how the equivalent level of safety will be ensured if a temporary OJTI authorisation is issued.

4.16   For clarification, this authorisation allows the holder of a valid OJTI endorsement to provide instruction without the requirement of ATCO.B.030 relating to unit endorsement experience being met, not for the award of OJTI endorsement where one was not obtained previously.

Synthetic Training Device Instructor (STDI)

4.17   Applicants for an STDI endorsement must meet the qualification requirements of UK Reg (EU) 2015/340 ATCO.C.035 Application for synthetic training device instructor endorsement.

4.18   The privileges of an STDI are listed in UK Reg (EU) 2015/340 ATCO.C.030 Synthetic training device instructor (STDI) privileges.

4.19   If an ATCO holds an OJTI endorsement this also includes STDI endorsement privileges.

4.20   Utilising the privileges of the STDI endorsement does not require a valid medical certificate.

4.21   It is the decision of the ANSP as to whether they wish to make use of air traffic controllers who hold STDI endorsements at their unit.

4.22   The holder of an STDI licence endorsement is a non-operational role and is responsible for:

      a)   determining and reporting on the training progress,

      b)   identifying any deficiencies in knowledge or skill and recommending remedial training.

4.23   ANSPs must have processes, procedures and competent personnel to ensure that STDIs:

      a)   hold an STDI licence endorsement and ratings entitling them to provide the training in which they are supervising student or trainee air traffic controllers,

      b)   have received specific training on the content of the UEC,

      c)   are competent to supervise student or trainee air traffic controllers on the synthetic training device,

      d)   are revalidated at least every three years for their competence to train and supervise student or trainee air traffic controllers on synthetic training devices,

      e)   have the opportunity to practice their instructional skills,

      this process shall be detailed in the UCS.

4.24   For ITOs recruiting instructors whose licence contains the STDI endorsement, the ITO shall have a process which must ensure that the instructor is trained to, and should be able to demonstrate theoretical and practical competence to, a minimum of the initial training rating terminal objectives and the national requirements and procedures detailed in UK CAP 794. This process shall be captured in the Initial training plan or management system.

TO/ITO Continued competence of instructors

4.25   ANSPs shall ensure that an OJTI complies with the requirements of UK(EU) 2015/340 ATCO.B.020(g) permitted to provide an air traffic service without any training responsibilities, for sufficient time to remain competent on the specific sector(s) or operational position(s) for which they provide OJT. An OJTI can only count 50% of their time acting as an

OJTI towards the minimum operational hours required for the revalidation of a UE.

4.26   An ANSP must include the process which is required to be undertaken for the revalidation and renewal of the OJTI or STDI licence endorsement in the UCS. This should include an approved course of OJTI or STDI refresher training and for renewals, an assessment, each of which can be undertaken at an ITO or at a unit where such a course and method of assessment have been approved.

4.27   For STDIs who do not currently hold a unit endorsement, the TO/ITO shall have a procedure for ensuring that they maintain a level of practical competence sufficient to demonstrate the practical exercises and meet the training objectives and standards relevant to the practical instruction that they are providing. This process should be detailed in the ITO initial training plan and/or management system or TO UTP and/or UCS.

4.28   Practical and theoretical instructors who fail to maintain competence or who are assessed as unsatisfactory shall be withdrawn immediately from instructional duties until they have demonstrated the required levels of competence and have been assessed as satisfactory.

4.29   In accordance with UK Reg (EU) 2015/340 an STDI endorsement holder must receive refresher training in current operational practices. For those using this endorsement at an ITO, this can be achieved through completing operational refresher familiarisation training (ORF) at least once every three years in accordance with a procedure approved by the CAA. The completion and retention of a report detailing the ORF completed by an individual will be considered to meet the requirements of UK Reg (EU) 2015/340 ATCO.C.040(b) and ATCO.C.040(c)(1) as far as refresher training on current operational practices is concerned for an STDI.

Assessors

4.30   The qualification for the application of an assessor endorsement is listed in UK Reg (EU) 2015/340 ATCO.C.055 Application for assessor endorsement.

4.31   In compliance with UK Reg (EU) 2015/340, the assessor licence endorsement will be issued upon receipt of the application for inclusion into the licence by the CAA, following successful completion of the approved assessor course.

4.32   The privileges of an assessor are listed in UK Reg (EU) 2015/340 ATCO.C.045 assessor privileges.

4.33   Additionally, assessors are approved to conduct theoretical examinations, both written and oral, once familiar with local examination processes.

4.34   The validity of an assessor endorsement is laid down in ATCO.C.060 Validity of an assessor endorsement.

4.35   ITO assessors can only assess or examine on rating courses for which they hold the relevant rating. This is not the case for the basic training course.

4.36   Appropriately licensed unit assessors may conduct Phase or level checks/assessments during UECs.

4.37   An assessor shall:

a)   have undertaken the relevant training and have had their competence to assess or examine assured, according to the approved training process for the course or assessment for which they will be assessing;

b)   demonstrate that they have satisfactory knowledge of the relevant course structure, training objectives, terminal/performance objectives and the methods of assessment and examination used.

4.38   An assessor is responsible for ensuring that:

a) they comply with the unit's assessment and examination processes,

b) candidates are competent to exercise the privileges of their air traffic controller licence on particular sectors or operational positions at that unit,

c) candidates whose competence they are assessing towards the issue of a UE, hold a current student air traffic controller or air traffic controller licence issued in accordance with UK Reg (EU) 2015/340 with the relevant rating and rating endorsement if applicable, together with an English language endorsement Level 4 or above and a current medical certificate,

d) the candidate is fully briefed on:

   i) the schedule for the assessment and examination and its constituent parts,

   ii) the persons involved and their roles in the assessment and examination process,

   iii) the right to appeal under Regulation 6 (5) of the Civil Aviation Authority Regulations 1991 in respect of the conduct of the assessment and examination,

e) at a unit, any UEC undertaken includes training in ABES and human factors,

f) at a unit, the candidate has been recommended as being at an appropriate level of competence to be successful at the assessment and/or examination,

g) that those involved in the assessment and examination process are appropriately licensed/qualified,

h) the assessor meets all the licensing requirements to act as an assessor,

i) a controller who is appropriately licensed acts as safety controller of the candidate during the assessment. This may be one of the assessors provided they are an OJTI and hold a valid UE appropriate to the air traffic service to be provided,

j)   the candidate is fully debriefed following the completion of the assessment and/or examination with, if appropriate, the reasons for the unsatisfactory result,

k)   any necessary licensing documentation is completed and submitted to the CAA.

4.39   The CAA recommends that TO/ITOs maintain the current practice of requiring at least two supervised assessments of new assessors prior to exercising the privileges of the assessor endorsement. Any divergence from this process will require the ANSP or ITO to submit to the CAA an amendment to the UCS/ITO management system for approval. All records associated with these assessments shall be retained at the unit.

4.40   An assessor endorsement does not confer on the holder the authority to revalidate, renew or issue a UE that has been provisionally suspended or suspended by the CAA except in accordance with conditions set by the CAA for the removal of the provisional suspension or suspension.

4.41   Assessors who assess during initial training, for the issue of a student air traffic controller licence or for the issue of a new rating and/or rating endorsement if applicable, shall conduct a proportion (minimum 10%) of the summative assessments on the course that they are assessing. This is to assist in confirming whether procedures and techniques observed have been taught and established en masse where the assessor has not been a main course instructor.

4.42   The TO/ITO should ensure that their assessors are aware of declaring any vested interests prior to any assessment or examination taking place.

4.43   An assessor who has a vested interest, must not conduct the assessment and/or examination. They shall declare the vested interest to the TO/ITO management so that a different assessor can be appointed.

4.44   TO/ITOs must have processes, procedures and competent personnel to ensure that:

a)   the unit/ITO has an appropriate number of suitably qualified assessors,

b)   assessors hold the relevant rating appropriate to the assessments and/or examinations they are conducting,

c)   assessors are competent to conduct the assessment and/or examination,

d)   assessors successfully complete assessor refresher training at least every three years or, undertake renewals where their endorsements have expired.

4.45   ANSPs that are authorised to conduct UEs, must have processes, procedures and competent personnel to ensure that:

a)   they are authorised by the CAA,

b)   the unit assessor responsible for the conduct of the assessment has a letter of authority from the CAA to act as Board Chair in respect of initial UE assessments and examinations (previous authorisations issued referring to Chairperson(s) remain valid),

c)   Other assessors involved in the UE assessment and examination hold the appropriate air traffic controller licence, ratings and relevant endorsements,

d)   ATS Licensing is advised of the result of the assessment and examination via the appropriate CAA form SRG1411.

4.46   An assessor who is assessed as no longer competent to conduct assessments and/or examinations shall not undertake duties as an assessor until they have been assessed as competent to do so. Should a controller be unable to demonstrate competence as an assessor, the ANSP must inform the CAA.

Continued competence - assessor

4.47   An ANSP must include the process which is required to be undertaken for the revalidation and renewal of the assessor licence endorsement in the UCS. This should include an approved course of assessor refresher

training and for renewals, an assessment, each of which can be undertaken at an ITO or at a unit where such a course and method of assessment have been approved.

Board Chair

Introduction

4.48　UK Reg (EU) 2015/340 ATCO.AR.C.001 states that the CAA shall verify compliance with requirements applicable to organisations or persons prior to the issue of an organisation certificate or personnel licence, certificate, rating or endorsement, as applicable.

4.49　At those ATSUs that rely on the ATS Inspector to conduct UEAs on their behalf, the conduct of the assessment by the ATS Inspector satisfies the CAA requirement under UK (EU) Reg 2015/340 ATCO.AR.C.001.

4.50　For those ATSUs with their own assessors, it is the decision of the ATS Inspector on whether they choose to attend a UEA as Board Chair to ensure verification of an ANSPs compliance with UK Reg (EU) 2015/340.AR. C.001. Guidance on the Board Chair function is described below in this chapter.

4.51　It is recommended that ANSPs adopt similar structures and functions to support and oversee UE assessment where the CAA elect not to attend. in this event, ANSPs wishing to utilise a similar function to Board Chair, should request approval from the CAA ATS Inspector. This similar function should provide assurance to the ANSP that the training and assessment procedures have been correctly applied and could protect the organisation against appeals.

Function of a Board Chair

4.52　In acting in the role of a Board Chair, the individual is verifying that the delivery of training by the ANSP has been completed in accordance with approved training and competence plans and that the final endorsement assessment has adequately covered the scenarios that the candidate can expect to experience as a qualified air traffic controller.

4.53   In order to undertake the function of a Board Chair, an individual must:

a)   hold an UK ATCO licence,

b)   hold a current assessor endorsement and have held that assessor endorsement for a minimum of two years,

c)   has or has previously exercised the privileges of the rating being assessed, and

d)   have knowledge of current operational procedures at the air traffic control position being assessed.

4.54   In undertaking this function, the Board Chair should:

a)   ensure that all required elements of the approved unit endorsement course in accordance with the requirements set out in UK Reg (EU) 2015/340 Part ATCO Subpart D Section 3. have been completed satisfactorily by the candidate and recorded accordingly;

b)   ensure that the documentation supporting the application for the unit endorsement is completed;

c)   ensure all participants are correctly licensed to include any associated rating endorsements and medical,

d)   ensure the candidate is thoroughly briefed about the structure of the unit endorsement assessment including the roles or functions of persons involved;

e)   ensure that the candidate can evidence a minimum standard of performance of a representative volume and complexity of air traffic;

f)   ensure that the conduct of the assessment is fair and representative of the usual operating environment;

g)   ensure that the conduct of the oral examination is fair and based upon a sufficient scope of theoretical knowledge and understanding to support a reliable result;

h)   ensure notes from the unit endorsement assessment are collated to provide evidence to support the outcome and, where required, shared with the CAA;

i) for initial unit endorsement assessment for the granting of an ATCO licence – shall ensure the candidate's student licence is returned to the CAA and that the newly issued ATCO licence is signed and dated on behalf of The Authority and signed by the candidate.

4.55 To demonstrate independence from the unit endorsement assessment, the Board Chair should where possible and appropriate, sit remotely from the practical assessment to minimise their influence on the performance of the candidate but in such proximity as to enable them to fulfill the requirements of the role. The Board Chair will observe the oral examination and may ask supplementary questions where clarity is required, or to examine relevant areas of scope not covered adequately by the unit assessor.

4.56 The unit assessor will discuss and agree the outcome of the unit endorsement assessment with the Board Chair prior to disclosing the result to the candidate. For the candidate to be successsful, both the assessor and the Board Chair must agree with the outcome.

4.57 On successful completion of the unit endorsement assessment, the CAA Board Chair where attending, will sign the licence as the Issuing Authority, but the unit assessor will be required to sign the relevant section (XII(a)) of the ATCO licence along with the addition of their licence number.

4.58 Where a candidate fails to achieve the required standard, the CAA may, in addition to withholding the issue of the ATCO licence raise findings against the training organisation should they consider that the requirements of the training have either, not been met or have fallen below the standard expected.

4.59 The unit remain responsible for the submission of the SRG1411D to the CAA Licensing assessment team, confirming the outcome of the unit endorsement assessment.

ANSP use of the Board Chair or similar function

4.60   ANSPs that are authorised to conduct UEAs, must have processes, procedures and competent personnel (practices approved as part of a unit's competence scheme relating to the use of supernumerary assessments are sufficient to evidence the presence of process and procedures) to ensure that:

    a)   they are authorised by the CAA,

    b)   the unit assessor responsible for the conduct of the assessment has a letter of authority from the CAA to act as Board chair

    c)   other assessors involved in the UE assessment and examination hold the appropriate air traffic control licence, ratings and relevant endorsements,

    d)   CAA Licensing assessment team is advised of the result of the assessment and examination via the appropriate CAA form SRG1411.

Temporary assessor authorisation

4.61   Requirements for temporary assessor authorisation are laid down in UK Reg (EU) 2015/340 ATCO.C.065. It is considered that temporary assessor authorisation will only be appointed in exceptional circumstances. GM1 ATCO.C.065(b) Temporary assessor authorisation, lists the type of exceptional circumstances that can be considered.

4.62   ATCO.C.065 Temporary assessor authorisation paragraph (d), requires that the ANSP provides a safety analysis on how the equivalent level of safety will be ensured if a temporary assessor authorisation is issued.

4.63   For clarification, this authorisation allows the holder of a valid assessor endorsement to undertake certain assessments, not for the award of an assessor endorsement where one was not obtained previously.

Theoretical examiner

4.64   Normally reserved for use at an ITO, the purpose of this position is to enable theoretical examinations to be conducted without the requirement for an assessor endorsement. The TO/ITO shall detail to the CAA the qualifications and training required to become a theoretical examiner, but as a minimum a theoretical examiner shall; demonstrate an understanding of the TO/ITO methodology for the conduct of theoretical examinations; and shall normally conduct at least two examinations under supervision to the satisfaction of the TO/ITO before they can examine independently.

4.65   A theoretical examiner who is conducting oral examinations using scenario based questions on ATC operations shall hold an air traffic controller licence in the relevant rating, unless during the initial training basic course where any rating is sufficient.

Summative report writer

4.66   A summative report writer is an STDI who, following appropriate training, is able to conduct, monitor and record summative assessments at an ITO.

4.67   This facility enables the use of staff who are not assessors to conduct summative assessments and provide evidence for the assessment.

4.68   The ITO shall detail to the CAA the qualifications and training required to become a summative report writer, but as a minimum a summative report writer shall;

   a)   demonstrate an understanding of the ITO methodology for the conduct of practical assessments; and

   b)   shall conduct at least two summative assessments and reports under supervision to the satisfaction of the ITO before they can act independently in this respect.

STD input staff

4.69   The TO/ITO shall ensure that STD input staff are appropriately trained and competent to conduct the tasks relevant to ATC training.

4.70   The TO/ITO shall ensure that the methodology used to train STD input staff is recorded in the management process.

Chapter 5

Conduct of Training Courses

Course compliance

5.1   TO/ITOs shall ensure that a training course remains compliant as per the course approval. The accountable manager is ultimately accountable for ensuring that appropriate processes are in place such that, theoretical and practical instruction is given in accordance with the relevant regulations with respect to both content and delivery.

5.2   In the event of any unexpected circumstances which may involve issues regarding compliance with the course approval, the TO/ITO must contact the relevant CAA Principal Inspector or ATS Inspector (Training) for advice.

5.3   In accordance with the published change management process, changes to elements such as minor changes to the programme, lesson material etc. which do not affect the course approval may be made without the approval of the CAA although such changes must be recorded.

5.4   For initial training courses, where practical training times on a course are deemed necessary to be adapted in accordance with the learning rates of individual learners, provided such adaptations are within 10% of the time normally spent on a particular subject or phase, no approval from the CAA need be requested, however notification should be given. Additionally, changes to the total course length greater than 10% of the course require prior approval from the relevant CAA ATS Inspector.

5.5   When using another TO or ITO for course delivery, it remains the unit's responsibility to ensure that the training is conducted in accordance with any such approval and under the requirements of 'contracted activities' detailed in UK Reg (EU) 2015/340 ATCO.OR.C.005.

Course administration

5.6 The TO/ITO shall inform the CAA of the nominal roll for all:

    a) Initial Training courses,

    b) Practical instructor and assessor training courses,

    c) Adapted UECs undertaken at an ITO and

    d) All APCs.

    using CAA form SRG1418 at least 3 weeks prior to course commencement. Where this is not possible, the form SRG1418 should be submitted as soon as possible by email stating the reason for the later submission. This form also requires the result of the English Language assessment, normally made during the first rating course undertaken by the individual learner. This process detailed in Chapter 8 of this document.

    The form shall be re-submitted as soon as possible on completion of the assessment with the result appended.

5.7 Other records to be retained by the TO/ITO are referenced in Appendix B of this document.

Course objectives

5.8 The training and performance objectives required for the satisfactory completion of each <u>initial</u> training course are specified in the UK Reg (EU) 2015/340 and associated AMCs and UK CAP 794 which details the terminal objectives for basic and the relevant rating courses including national requirements and procedures.

5.9 The training and performance objectives required for the satisfactory completion of other training courses shall be created by the TO/ITO and form part of the course submission through a course design document, detailed in Appendix C of this document.

Chapter 6

Assessments and Examinations for TO/ITO

Assessment and examination method for approval

6.1   An assessment method should be valid, reliable, relevant and fair.

6.2   In order for an assessment method to be approved by the CAA it should include as a minimum:

   a)   performance objectives/competency requirements.

   b)   context and conditions for the assessment i.e.
      i)   timing(s),
      ii)   type of assessment (continuous/summative/dedicated practical, etc.),
      iii)   assessment environment (Operational/STD),
      iv)   intended complexity/density of traffic for operational delivery, or scripted complexity/density for STD based assessment, this assists in ensuring repeatability and fairness,
      v)   where delivered operationally, procedure(s) for unusual or unexpected events e.g. if ABES situation occurs, use of safety controller etc. which should form part of the briefing;

   c)   evidence gathering tool(s) (i.e. report form, etc.);

   d)   grading scale, where appropriate.

6.3   An examination process should include

   a)   theoretical subject/topic(s) to which the exam relates, and how these are mapped to requirements,

   b)   example questions for each type of exam (oral / written),

   c)   grading/marking system,

   d)   required pass mark;

   e)   context and conditions for the assessment i.e.
      i)   timing,

    ii)   mode of delivery (computer (multi choice or other)/written/oral etc.),

    iii)   examination environment.

Assessment and examination processes

Initial Training

6.4   In accordance with UK Reg (EU) 2015/340, ATCO.D.015(g) – Initial Training Plan (ITP), ITOs must have established processes for examinations and assessments for basic training courses and rating training courses. These processes must be approved by the CAA as part of the ITP.

6.5   Basic training examinations and assessments shall be compliant with UK Reg (EU) 2015/340 ATCO.D.025 and shall cover at least the basic training performance objectives described in UK Reg (EU) 2015/340 ATCO.D.030 and associated AMCs, as well as CAP 794, where this is delivered as part of the Basic course.

6.6   Rating training examinations and assessments shall be compliant with UK Reg (EU) 2015/340 ATCO.D.035 and shall cover at least the rating training performance objectives described in UK Reg (EU) 2015/340 ATCO.D.040 and associated AMCs, as well as CAP 794.

6.7   Each ITO basic and rating course shall contain at least one written and one oral (theoretical) examination together with a practical assessment of which for the rating courses, the terminal objectives are detailed in CAP 794 for that course.

6.8   It should be noted that each objective required by UK Reg (EU) 2015/340 and associated AMCs, as well as CAP 794 should be evidenced as available to be assessed or examined at some point in the testing process. A question bank for written and oral examinations should be available for such use.

6.9   Learners presenting themselves for an examination or summative assessment shall be deemed fit to take that examination or summative assessment.

6.10   Any learner failing to attend a scheduled summative assessment or examination shall be deemed unsatisfactory unless the appropriate ITO Manager is satisfied that there was just cause for the absence, in which case the summative assessment(s) or examination may be re-scheduled.

6.11   In accordance with UK Reg (EU) 2015/340 ATCO.OR.D.005, ITOs shall provide learners with the results of their examinations and assessments as well as the appropriate certificates.

Initial training assessments

6.12   Assessments shall only be conducted by qualified assessors.

6.13   The practical assessment for the rating course at the course terminal objective level shall comprise a minimum of five summative exercises, all of which a learner must complete.

6.14   Should there be a partial or temporary failure of the STD or its associated equipment, provided that this occurs no more than five minutes prior to the normal end of the exercise, this will be considered sufficient to support a reliable assessment result. Any such occurrence must be recorded on the summative report.

6.15   A report shall be written by an appropriately qualified summative report writer (SRW) or assessor for each summative exercise forming part of a practical assessment. Such a report shall contain sufficient information about the learner's practical performance in that exercise to contribute to the overall assessment of the learner's performance. Each report must be signed by the reporting SRW/assessor and by the learner.

6.16   If during a summative exercise there is a technical issue which does not disrupt the simulator run, the fact should be recorded on the report form together with the time it occurred and summary of the issue.

6.17   Under exceptional circumstances, it may be necessary for an instructor to give advice or help during a summative exercise, to prevent unfair and adverse impact on either the learner whose performance they are reporting on or another learner. In this event, the assistance provided should be fully detailed in the report including the reasons for the intervention. The description must be sufficient to enable the assessor to judge the impact on the exercise of the advice or help given.

6.18   The course assessor shall collate the summative assessment reports and determine the result as satisfactory or unsatisfactory against the performance objectives detailed in the approved course documentation. Final practical assessment results must be attributed to the assessor who assesses the learner's overall performance.

6.19   In making the practical assessment, the assessor must use the standardisation processes in place within the ITO. This may include practical summative exercise sampling, using standardised comparators and consultation with other assessors.

6.20   It is the responsibility of the ITO to ensure standardisation of results. The processes ensuring this should be described to the CAA within the initial training plan or management system.

6.21   An ITO shall not, under any circumstance, permit learners to practice summative exercises for a rating course which they may undertake. This includes cloned or any exercises which may be very similar to summative exercises and also by acting as simulator input personnel during summatives.

Initial training assessment and examination outcomes

6.22   A learner who does not achieve a satisfactory practical assessment has failed the course.

6.23   A learner shall be entitled to two attempts at a written or oral examination, during a single course.

6.24   A learner who does not achieve a satisfactory result after two attempts at a written or oral examination shall have failed the course.

6.25   Should a learner fail a course, they may re-attempt the course. They shall be required to complete that part of the approved course which the ITO training team deem appropriate following training analysis through a process approved by the CAA as part of the initial training plan. This training analysis shall be notified to the CAA ATS Inspector (Training).

6.26   If a period of more than twelve months has elapsed since the date of failure, the learner shall be required to complete the course in full.

6.27   A learner unsuccessful at a second attempt at a course shall be required to undertake that course in full. No credits from a previous course will be carried forward.

6.28   If, during initial training, a period of more than twelve months separates the successful completion of basic training and the commencement of the first rating training course, the ITO shall carry out theoretical examinations (written and oral) of the learner's retained knowledge. The pass mark is 75%. If necessary the learner will be required to carry out a period of remedial training and examination in relevant Basic training objectives before commencing rating training.

Courses other than Initial training

6.29   In accordance with UK Reg (EU) 2015/340,

      a)   ATCO.D.055(b)(9) – UTP (inc.UECs),
      b)   AMC1 ATCO.D.080 - Refresher training,
      c)   ATCO.D.085(c) - Conversion training,
      d)   ATCO.D.090 (a) - Practical instructor training including refresher,
      e)   ATCO.D.095(a) - Assessor training including refresher,

Any method of assessment must be approved by the CAA. See para 6.1 and 6.2 above.

Assessment reports

6.30   An assessor shall ensure the evidence is:

     a)   clear – there is no ambiguity or lack of understanding from the recorded evidence and the language used is descriptive;

     b)   complete – the evidence accounts for all elements required in the assessment process;

     c)   correct – any grades afforded are attributable to the evidence presented and any written accounts are a correct depiction of the events;

     d)   concise – objective and stays to the pointn.

TO/ITO Examination processes

6.31   Examinations undertaken in respect of knowledge acquired from remote-learning courses shall be carried out under supervised conditions at the TO/ITOs premises, unless in exceptional circumstances when approved by the CAA.

6.32   TO/ITOs shall conduct theoretical examinations in accordance with Appendix E of this document.

6.33   It is the responsibility of the TO/ITO to ensure standardisation of results. The processes ensuring this should be described to the CAA within the initial training plan.

OJTI/STDI and assessor refresher training verification

6.34   UK Reg (EU) 2015/340 refers to training which should be *verified* as satisfactrorly completed prior to revalidation of OJTI/STDI and assessor endorsements, with the regulation providing guidance material with an indication of how this may be achieved. See also Chapter 13 for more information.

6.35   Such verification is not the same as that previously defined in the UK and undertaken by unit "verifiers". This form of verification means that

the unit are assured that the candidate has satisfactorily completed the course.

6.36   UK Reg (EU) 2015/340 GM1 for ATCO.C.020(b),040(b) and 060(b) indicate that as a minimum, a demonstration is required of the practical skills of the person following receipt of training (which can be achieved by operational/STD/other means).

6.37   As these associated endorsements are practical by nature, a theoretical examination is not considered suitable for this purpose, hence why the GM in UK Reg (EU) 2015/340 details only 'practical type' options. This process of verification should be detailed either in the UCS, or when combined in a refresher course, within the course submission. Such detail should include similar elements listed in para 6.2 above.

6.38   Where a unit uses the services of another TO/ITO for delivery of this refresher training, they should ensure that verification is included in the course, otherwise the Unit would be required to provide such verification before applying for revalidation of the endorsement.

6.39   It should be noted that verification is not necessary for renewals, as the assessment required here achieves this aim.

Appeals

6.40   Any learner who believes that they have been disadvantaged by the conduct of an examination and/or assessment shall have a right of appeal under CAA Regulation 6(5) of the Air Navigation Order within 14 days of the outcome of the assessment or examination. Guidance is available in CAP 1049. Such an appeal does not apply to disagreement over a professional judgement.

6.41   It is strongly recommended that TO/ITOs establish and publish an internal appeal procedure for examinations and assessments, which should be communicated to the candidates prior to any examination/assessment. This ensures the candidate can appeal directly

to the TO/ITO management rather than relying solely upon the ANO Regulation 6 (5) appeal mechanism.

6.42 TO/ITOs shall maintain records which show that learners have acknowledged receipt of the appeal procedure.

6.43 A learner who has attempted an examination and/or assessment will not be permitted to subsequently appeal on the grounds of medical fitness

Chapter 7

Medical Requirements

Medical fitness

7.1 The holders of student ATCO and ATCO licences are required to have a minimum standard of medical fitness to ensure they are fit to provide an air traffic service and to minimise, as far as possible, the risk that they will become suddenly incapacitated to an extent that the safety of aircraft could be compromised.

Medical certification

7.2 In order to provide an air traffic service, ATCOs and student ATCOs are required to hold a valid UK Class 3 medical certificate in accordance with UK Reg (EU) 2015/340 ATCO.MED.A.030. An ATCO or student ATCO licence is not valid when the holder is assessed as being unfit. In such circumstances the holder of an ATCO or student ATCO licence is not to provide air traffic services even though the medical certificate held may not have expired or been returned to the Aeromedical Examiner (AME) or the CAA.

7.3 Holders of a medical certificate should:

    a) ensure that their medical certificate is revalidated by the due date (to avoid controlling without a valid certificate/licence);

    b) ensure that investigations and special tests are completed when required as failure to meet the requirements can mean that the medical certificate is rendered invalid.

7.4 The holder of a student or ATCO licence is to notify their unit management when:

    a) there is either a decrease in their medical fitness that might render them unable to safely and properly exercise the

privileges granted by their licence, or is assessed as unfit at a medical examination; or

b)   any operational medical limitations or conditions are placed on the medical certificate.

7.5   Air traffic service providers are advised to have procedures and competent personnel to check that student and ATCO licence holders hold valid medical certificates and are compliant with any operational limitations.

7.6   ANSPs shall ensure that a controller who is assessed as medically unfit to hold an air traffic controller licence is withdrawn from operational duty.

Decrease in medical fitness

7.7   In accordance with UK (EU) Reg No. 2015/340 ATCO.MED.A.020, licence holders shall not exercise the privileges of their licence at any time when they:

a)   are aware of any decrease in their medical fitness which might render them unable to safely exercise those privileges;

b)   take or use any prescribed or non-prescribed medication which is likely to interfere with the safe exercise of the privileges of the licence;

c)   receive any medical, surgical or other treatment that is likely to interfere with the safe exercise of the privileges of the licence.

7.8   Holders of UK Class 3 medical certificates shall, without undue delay and before exercising the privileges of their licence, seek aero-medical advice when they:

a)   have undergone a surgical operation or invasive procedure;

b)   have commenced the regular use of any prescribed medication;

c)   have suffered any significant personal injury involving any incapacity to exercise the privileges of the licence;

    d)   have been suffering from any significant illness involving any incapacity to exercise the privileges of the licence;

    e)   are pregnant;

    f)   have been admitted to hospital or a medical clinic;

    g)   first require correcting lenses.

In these cases the Aeromedical Centre (AeMC) or AME shall assess the medical fitness of the licence holder or student air traffic controller and decide whether they are fit to resume to exercise their privileges.

7.9   When a licence holder whose medical certificate has been suspended believes that they are fit to resume their functions, they should seek advice from their AME.

7.10   The holder of the medical certificate shall comply with any limitations or conditions on their medical certificate.

7.11   If an applicant for a medical certificate has been assessed as unfit or a limitation has been placed on their medical certificate, they may request a secondary review or appeal of the medical decision. This procedure is available on the CAA website - Appeals.

Use of psychoactive substances

7.12   The holder of a student ATCO or ATCO licence shall not exercise any of the privileges of their licence while under the influence of psychoactive substances, including any medication that renders them unable to exercise the privileges of their licence safely and properly.

7.13   An ATCO or student ATCO who is exercising any of the privileges of their licence while under the influence of psychoactive substances may not be aware that their judgement and skill have been degraded to the extent that the service being provided is unsafe or their actions inappropriate. This may be the case where psychoactive substances are being abused, or where medicines have been prescribed by a doctor, or non-prescription medicines obtained for a minor illness.

7.14   In such circumstances, licence holders must obtain advice from their
AME and/or information to enable them to decide if they should, or
should not, exercise the privileges of their licence while taking specific
medication.

7.15   Air Traffic Service Providers shall have a robust drug and alcohol policy,
and Unit managers should consider their obligations under the Railways
and Transport Safety Act 2003, and relevant parts of UK (EU) Reg No.
2017/373. A controller who is suspected of being under the influence of
psychoactive substances shall be immediately withdrawn from
operational duty by the unit.

Medical examinations

7.16   Unit Medical Examinations are conducted by Aeromedical Examiners in
accordance with UK Reg (EU) 2015/340 PART.ATCO.MED. Initial
medical examinations have to be performed in an approved Aeromedical
Centre.

7.17   ATCOs must take their most recent medical certificate with them when
attending medical examinations or assessments.

7.18   Applicants should ensure that:

a)   communication can be established with their AME without
language barriers;

b)   they are aware of the consequences (including suspension or
revocation) of providing incomplete, inaccurate or false
statements on their medical history;

c)   they provide the AME with a complete medical history and the
evidence necessary to make a full and proper assessment of
their case. Additional tests or reports may be required;

d)   they comply with the aeromedical advice provided.

7.19   Medical certificates are valid for a period of 2 years from the date of the
medical examination when undertaken under the age of 40 (not later
than age 41) and annually thereafter.

Note: A medical undertaken at the age of 39 will only be valid until the 41st birthday.

7.20   ATCOs must return the medical certificate to the CAA when it is revoked, or on request when temporarily or provisionally suspended.

Medication - Guidance for air traffic controllers

7.21   See UK (EU) Reg No. 2015/340 GM1 ATCO.MED.A.020 for details.

Online medical system - CELLMA

7.22   The CAA medical records system (Cellma) can be accessed as a service via the CAA Customer Portal. This online system replaces all existing paper-based application forms and allows applicants to register for the service, view their own medical records and track the progress of applications and referrals to the Authority.

7.23   The CAA medical webpage should be accessed to obtain details on how to find an Aeromedical Examiner (AME) and Aeromedical Centre (AeMC).

Chapter 8

English Language Proficiency Assessment for Controllers

General

8.1   The requirements for language proficiency assessment of air traffic controllers differs significantly from those for pilots or others. In accordance with UK Reg (EU) 2015/340 the language proficiency assessment of air traffic controllers shall be designed to reflect the tasks undertaken by an air traffic controller, with regards to effective communication visually and non-visually in routine and non-routine circumstances.

8.2   Any method of ATCO language proficiency assessment must follow the CAAs requirements detailed below, in compliance with UK Reg (EU) 2015/340 ATCO.AR.A.010(a)(9) and be approved by the CAA. This method of assessment shall contain the assessment process; the qualifications of the language proficiency assessors (LPA) and the appeals procedure.

8.3   It should be noted that language proficiency endorsements issued by other states will not be recognised by the CAA.

Requirements for language assessment bodies (LAB)

8.4   These requirements are made in accordance with UK Reg (EU) 2015/340 ATCO.AR.A.010 (a)(9).

8.5   An ATCO LAB will only be considered for approval if certified as either a TO or ITO under UK Reg (EU) 2015/340.

8.6   LABs and their English language assessment process shall comply fully with UK Reg (EU) 2015/340 ATCO.B.040 and its AMCs.

8.7   Furthermore it is required that LABs employ a sufficient number of LPAs for their requirements.

Requirements for training of LPAs

8.8 These requirements are made in accordance with UK Reg (EU) 2015/340 ATCO.AR.A.010 (a)(9).

8.9 The framework for the training and assessment of LPAs is captured in Appendix D of this document.

8.10 A LAB should have a method for refreshing the language assessment skills of LPAs which must be approved by the CAA.

Process for initial ELP assessment

8.11 The initial assessment for an English language proficiency endorsement for a UK ATCO licence may take place;

  a) during initial training on an advanced phase practical exercise of an air traffic controller rating course or,

  b) during the practical STD assessment of an adapted UEC or APC when undertaken at a UK certified ITO which is also a certified LAB,

  c) attendance anytime at a UK certified LAB for a full English language proficiency assessment.

8.12 This assessment may be conducted by ELAs who are only trained to assess at English expert level 6 of the ICAO Language Proficiency Rating Scale.

8.13 Where the candidate is not assessed as Expert Level 6, a full language proficiency assessment shall be undertaken as per 8.11 (c) above.

8.14 The CAA process requires an English LPA to be undertaken when:

  a) Required for the initial student licence application in accordance with 8.11 (a) above;

  b) a candidate has failed to demonstrate English Language Proficiency at the Expert Level (Level 6) in accordance with 8.11 (a) and (b) above; or

> **c)** an English Language Proficiency Endorsement at Level 4 or Level 5 held by an air traffic controller licence holder is due for a revalidation or renewal;
>
> **d)** specifically required by the CAA.

Assessment standardisation

8.15 The assessment must be conducted by two qualified English LPAs whose first language must be English, one of which must be the holder of an air traffic controller licence and the other must be an English language expert with aviation experience. One should act as an interlocutor, the other the assessor.

8.16 The assessment shall be conducted in part on an ATC simulator or in a simulated ATC environment in order to reflect the tasks undertaken by a controller.

8.17 The assessment must elicit plain language together with both standard and non-standard RTF phraseology. The main factor with the assessment is to encourage conversation primarily *from* the candidate.

8.18 The assessment must be capable of differentiating between Levels 4, 5 and 6 of the ICAO Language Proficiency Rating Scale.

8.19 The assessment must enable evaluation and recording of all 6 elements of the ICAO Language Proficiency Rating Scale, being: pronunciation, structure, vocabulary, fluency, comprehension and interaction in compliance with UK Reg (EU) 2015/340 Appendix 1 of Annex 1.

8.20 In order to standardise across industry and in accordance with UK Reg (EU) 2015/340 AMC4 ATCO.B.040(d)(6), as a minimum the CAA requires the assessment to include the components listed below in 8.21.

8.21 The assessment should take no longer than 60 minutes in total, with 30-40 minutes of non-simulated topics consisting of:

   a) candidate background/aviation interests (useful to encourage fluency devices to be assessed - discourse markers, connectors, varying speech flow);

   b) aviation/aircraft related pictures descriptions e.g. non-standard events, emergency, general aviation activities;

   c) listening comprehension with recall based on aviation event/transcript(s) and using varying voice samples (accent/gender/speed/pronunciation) where possible;

   d) standard English language grammar questions (basic and complex grammatical structures);

   e) a simulated ATC based environment lasting 10-20 minutes, consisting of:

      i) Events scripted to require the candidate to handle the linguistic challenges presented by a complication or unexpected turn of events that occur within the context of a routine work situation or,

      ii) communicative task with which they are otherwise familiar, this requires comprehension and encourages interaction from the candidate.

8.22 Any examinee who believes that they have been disadvantaged by the conduct of an examination and/or assessment shall have a right of appeal under CAA Regulation 6(5) of the Air Navigation Order within 14 days of the outcome of the assessment or examination. Such an appeal does not apply to disagreement over a professional judgement.

Assessment validity, relevance and reliability

8.23 Any submitted assessment for approval must have been evaluated for its validity, relevance and reliability through documented statistical analysis. Detailed documentation of the design, development, and analysis of the ELA program should be collected and maintained. It should show how the assessment process has been designed and analysed through a sufficient number of trial evaluative assessments to confirm the following:

a) validity - arguably the most important criteria for the quality of a test and refers to whether or not the test measures what it claims to measure. On a test with high validity the items will be closely linked to the test's intended focus. For certification tests such as the ELA, this means that the items will be highly related to the ATCO role. If a test has poor validity, then it does not measure the task-related content it requires. In this case, there is no justification for using the test results for their intended purpose. There are several ways to estimate the validity of a test including content validity, concurrent validity, and predictive validity;

b) relevance - strong content validity (i.e. the elements need to have a high degree of "job relatedness" – UK Reg (EU) 2015/340 refers to 'reflect the tasks undertaken by air traffic controllers, but with specific focus on language rather than operational procedures and knowledge.');

c) reliability - of an examinee's performance on the test. For example, if an ELA with high reliability was administered to a candidate on two occasions, it is very likely that the same conclusion about the examinee's performance would be reached each time. An ELA with poor reliability on the other hand, might result in very different scores for the examinee across the two ELAs. If an ELA yields inconsistent scores, it may be unethical to take any substantive actions on the basis of these results;

d) fairness - the fairness of an exam refers to its freedom from any kind of bias. Although not specifically covered in UK Reg (EU) 2015/340, the ELA should be designed to be appropriate for all candidates irrespective of race, religion, gender, or age. The ELA should not disadvantage any candidate, or group of candidates, on any basis other than the candidate's lack of the knowledge and skills the ELA is intended to measure.

8.24   The assessment validity, relevance and reliability detailed above shall be undertaken for both levels 4 and 5, and level 6 as per UK Reg (EU) 2015/340 AMC4 ATCO.B.040(d)(4)and (5).

Records and documentation

8.25   The LAB must maintain records of all language proficiency assessments in accordance with existing requirements for record-keeping in respect of approved course assessments.

8.26   The outcome of the assessment is to be recorded on a certificate that is to be issued to the individual. The certificate must include the items detailed at Appendix D of this document.

8.27   The LAB is to report the outcome of revalidation and renewals to CAA Licensing Assessment using CAA form SRG1426.

Continued proficiency

8.28   In accordance with UK Reg (EU) 2015/340 ATCO.B.045, ANSPs shall make available language training to Level 4 English language proficiency endorsement holders, in order to maintain this minimum required level of proficiency.

8.29   Following a revalidation or renewal assessment, an air traffic controller who is assessed below ICAO level 4 English language proficiency must not provide an air traffic service.

8.30   Subsequent to an air traffic controller having not achieved ICAO level 4 ELP, an appropriate period of linguistic training (typically over a number of months) should be undertaken prior to an additional assessment being attempted. If the result remains below ICAO level 4 ELP then the CAA shall be informed.

8.31   If an air traffic controller fails to revalidate their English language proficiency endorsement before the date of its expiry, they must not provide an air traffic service until such a time as they have successfully undertaken a renewal assessment of English language proficiency.

Chapter 9

Assessment of Previous Competence (APC)

Requirement

9.1   An assessment of previous competence (APC) is required for student air traffic controllers or air traffic controllers who have not exercised the privileges of their licence/rating for specified periods of time. The relevant time periods are laid down in UK Reg (EU) 2015/340 ATCO.B.001(d) Student air traffic controller, B.005(e) Air traffic controller licence or ATCO.B.010(b) Air traffic controller ratings.

9.2   Theoretical examinations (written and oral) of retained knowledge will be required for individuals who have completed a basic course but have not commenced a rating course within a period of one year of successful completion of the basic course.

9.3   In addition to the UK Reg (EU) 2015/340 requirements above, an APC may also be required at the direction of the CAA.

9.4   Also, should a period of twelve months or more elapse since last undertaking OJT, then an APC will be required.

9.5   In accordance with UK Reg (EU) 2015/340 ATCO.B.001(d), the APC must be carried out by a training organisation certified to conduct initial training relevant to the rating. The assessment must be carried out against the terminal objectives of the relevant rating course and by assessors competent to assess that rating.

9.6   The certified ITOs submission of the APC process shall include details of the assessments to be used, including how they meet the terminal objectives in CAP 794 and comply with UK Reg (EU) 2015/340. Where the assessment uses summative exercises from the approved initial training course, these shall be listed.

APC Administration

9.7   Candidates who are required to undertake an APC must apply to the CAAs Licensing assessment team at ats.licensing@caa.co.uk in order to confirm their eligibility to undertake an APC. A letter of eligibility will be issued to the candidate of which a copy must be submitted to the training organisation who intends to conduct the APC. An ITO shall not conduct an APC without the CAA letter of eligibility being provided.

9.8   ITOs approved to conduct APCs should notify the CAA using CAA form SRG1418 at least 30 days before the assessment is planned to take place except where authorised.

9.9   An ATS Inspector may attend any APC.

Conduct of an APC

9.10   An APC is not a training course. An initial period of time should be provided for familiarisation of the ITOs airspace, procedures and simulator prior to the assessment taking place. During this period of familiarisation, guidance on the use of the STD can be given without providing actual ATC skills instruction.

9.11   Prior to undertaking the practical assessment, the candidate shall have a technical interview by the assessor to establish the present level of both retained knowledge from the basic and rating courses, and knowledge of any related document updates. This technical interview can be in the form of a condensed oral examination.

9.12   If the evidence from the interview indicates to the assessor there are deficiencies in retained knowledge, the candidate shall be required to undertake written and/or oral examination(s) to positively determine their present level of knowledge and understanding. These examinations shall be based upon the syllabus from the approved initial training courses (basic and associated rating) and recent ATC document updates. The decision as to whether a written and/or oral examination is necessary

lies with the ITO assessor but should be evidenced in the final CAA report.

9.13   Should a theoretical examination deliver an unsatisfactory result, a debrief may be given and a period of time afforded for revision (minimum one day) prior to a resit being provided.

9.14   At the end of the STD familiarisation period, the candidate shall undertake one or more practical summative assessment(s) from the approved list in accordance with the CAA approved APC assessment process.

9.15   The ITO shall submit to the ATS Inspector (Training) a report showing the areas covered and the outcome of the assessment. Where a written and/or oral examination are provided, the results shall also be included, together with information on any areas of deficiency (below 75%). Such a deficiency cannot remain outstanding and must be addressed prior to a satisfactory result being gained.

9.16   The report shall be written in the format of the Assessment for Previous Competence Report in Appendix A of this document.

9.17   The report shall include a recommendation to either progress onto unit training or to address those areas of deficiency in need of additional or remedial training; such training could be delivered at the ITO or at the relevant unit depending on the subject matter. This decision will be made in consultation with the Inspector ATS (Training), the ITO and the Unit management.

9.18   In circumstances where additional initial rating training is required to bring the individual up to rating standard again, the scenario may arise where the individual again fails to achieve the rating standard following an additional APC. In this event, consultation with the Inspector ATS (Training) is required as licensing action may result.

9.19   The ITO shall make available the assessment of previous competence report to the individual who has undertaken the assessment.

9.20   Assessments of previous competence fall under the provision of CAP 393 – Air Navigation Order Part II, Regulation 6(5) and individuals may appeal against the conduct of the assessment of previous competence direct to the CAA within 14 days of the assessment result.

Chapter 10

Unit Training

General administrative procedures

10.1   Unit Training must provide the student or trainee air traffic controller with the necessary skills and knowledge to a level of competence that ensures that they are able to deliver safely an operational service at that unit and comply with UK Reg (EU) 2015/340 Annex 1 – Part ATCO, Subpart D Section 3 - Unit training requirements; associated AMCs; Unit specific Performance Objectives, and if a previously exchanged or recognised licence from an EU/ECAC member state, that of the relevant rating in CAP 794.

10.2   A training organisation who intends to provide unit training shall submit an application and follow the processes described in Chapter 2 of this document in order to obtain CAA certification.

10.3   A TO shall submit for approval to the CAA a UTP which incorporates a UEC for each unit endorsement at the unit.

10.4   The previously required process for ATC evaluators and verifiers on a UTP at certain units has been withdrawn. UK TOs may operate a locally defined, CAA approved system and detailed in the UTP in its place.

10.5   Units shall notify their Inspector ATS and retain the acknowledgement, when a candidate commences or is removed from the unit training plan.

10.6   All UECs shall be submitted to the CAA for approval.

10.7   The UTP shall be fully documented, indicating compliance with UK Reg (EU) 2015/340 ATCO.D.055 Unit training plan (b).

10.8   In the case of an ATC unit at which controllers may be awarded a Surveillance Radar Approach Endorsement to the Approach Control Surveillance Rating, in compliance with ICAO Annex 1, 4.5.2.2.1(c), the minimum number of Surveillance Radar Approaches which a student or

trainee controller must complete prior to an assessment of competence being undertaken must be included.

Note: Any training provided in excess of the ICAO Annex 1 minimum can be simulated using equipment reflecting the operational environment.

10.9　　Where OJT has commenced within the required twelve months of a successful initial rating course or completion of an APC, but is then subsequently interrupted or stopped, an ANSP shall:

a)　advise the relevant Principal Inspector/ATS Inspector of the interruption or cancellation of the training and,

b)　assess whether any additional training is needed by the air traffic controller prior to recommencing a UEC or starting a UEC at a different unit,

Note:　the assessment should take into account, but not be limited to, factors such as the length of time that training has been interrupted, whether the controller affected has remained within the ATM operations environment in some other capacity and, at what stage in the UEC the previous training ceased.

Reviewing and amending the UTP and UECs

10.10　　The UTP and associated UECs shall be reviewed in accordance with UK REG (EU) 2015/340 ATCO.D.055.

10.11　　Changes to the UTP or UECs required as a result of a review should follow the change management process detailed in Chapter 2 of this document. Any such changes should be recorded in the UTP or management system.

Development of UTP and UECs

Phases of unit training

10.12　　Because all operational ATC units are different, student and/or trainee air traffic controllers will require specific unit training in addition to initial

training before commencing OJT. Unit training may vary, from the student/trainee air traffic controller being required to become familiar with the local area and unit procedures, to complex courses using high fidelity simulators to prepare for high traffic levels and/or complex unit procedures.

Transitional training phase

10.13   The objective of transitional training is to take students/trainees from the level of knowledge and skill they will have reached on successful completion of initial training to a level where they can commence pre-on-the-job training, or at less complex units with no pre-on-the-job training, proceed directly to OJT.

10.14   Transitional training consists generally of classroom sessions or guided self-study during which the student learns about the unit, its environment, associated airspace and ATC procedures. Training and assessment in the application of ATC procedures may include the use of part task and full task training on STDs that do not replicate the operational environment to a high level of reality. The success of this training, that is, the results of written or oral assessments and, where appropriate, practical exercises should be assessed before progression to the next phase of training.

10.15   In accordance with UK REG (EU) 2015/340 AMC1 ATCO.OR.C.015(b), any STD used during transitional training must be approved as part of the UEC approval process. In addition, the TO is required to demonstrate how the STD and the associated exercises will provide adequate support for the particular training plan.

Pre-on-the-job training

10.16   This term is interpreted to indicate the phase where information on individual tasks delivered during transitional training, are integrated into practical application of the whole task in a simulated local environment.

10.17   The quality of any STD will determine the extent to which it may be used in the training plan. STDs for pre-on-the-job training must be able to

generate the operational environment to the extent that all ATC procedures relating to a particular operational position or sector can be applied at the same time. This does not necessarily mean that the STD must be a true representation of the operational position, but it must enable the student/trainee to meet the stated objectives of this phase of training.

On-the-job training (OJT) Phase

10.18   During this phase students/trainees will be exercising the privileges of their ATC licence providing an air traffic control service under the supervision of an OJTI, who must hold a valid rating and UE appropriate to the service being provided.

Unit endorsement course development

Introduction

10.19   The detail for each UEC associated with the unit may be contained in an appendix in the UTP or as a separate document, referenced in the UTP.

10.20   Any sources of information required for Unit specific theoretical knowledge during training must be referenced within the UEC. e.g. ICAO/assimilated EU regulations, UK CAPs, Unit Documents i.e. MATS Part 2.

10.21   Although the unit training conducted before OJT does not directly impinge on safety, it should provide a sound basis on which the safety critical OJT will be built. The unit will need to determine what knowledge and abilities are required prior to OJT. This determination will establish the training objectives and also whether transitional training alone, or transitional and pre-on-the-job training are required. The objectives of each of these phases must be detailed in the UEC which ensures both students/trainees and OJTIs are aware the aims and objectives and skills required prior to OJT.

Surveillance Radar Approaches (SRA)

10.22   For initial SRA endorsement the minimum number of SRAs shall be 25 in accordance with ICAO Annex 1 and subject to any associated UK AIP differences.

10.23   It is the responsibility of the ANSP to use the Risk Assessment process in accordance with (EU) 2017/373, to determine the number of SRAs required for the subsequent issue of a UE at a new unit. In determining this number the ANSP shall consider the air traffic controller's qualifications and experience. All requirements for the award of the SRA endorsement shall be identified in the UEC and approved by the CAA.

10.24   It is further the responsibility of the ANSP to determine and justify the minimum number of SRAs required for the revalidation of an SRA endorsement. This number shall be sufficient to ensure competence in the provision of a surveillance radar approach. This requirement shall be identified in the UCS.

UEC - Objectives for different phases of training

Transitional training

10.25   The ITO initial training courses will deliver student air traffic controllers who have demonstrated their ability to apply basic ATC procedures in a simulated environment. Transitional training objectives should therefore be focused on the unit ATC procedures and the local environment.

10.26   Although it is convenient to teach students all the unit ATC procedures during transitional training, it is unrealistic to expect them to retain this theoretical knowledge, when they will not practically apply it in order to assimilate it. It may be appropriate to delay some of these elements into pre-on-the-job training/OJT. Where this method is utilised, it should be referenced in the UEC.

Pre-on-the-job training

10.27   Where utilised, the objectives for pre-on-the-job training will relate to application and demonstration of the ATC procedures learned during

transitional training in a simulated environment. The objectives for assessment using an STD will be similar to those for OJT, but where necessary they should reflect any limitations imposed by the STD.

10.28   When using a STD for pre-on-the-job training and the training time is to be counted as operational training, the STD should be a full-size replica of a working position, including equipment and computer programmes required to represent the full tasks associated with that position, including wind at all levels for SRAs. In the case of a simulated working position at a tower unit, it includes an out-of-the-tower view.

Note: The above paragraph is associated with pre-on-the-job training *where a UE is in excess of the minimum hours required by ICAO Annex 1, which shall always be achieved in an operational environment.*

OJT

10.29   During OJT a student / trainee's knowledge and understanding of the application of local ATC procedures should be reinforced.

Performance objectives during OJT

10.30   Performance objectives shall be incorporated into the UEC based upon the requirements of the unit. The rate at which a trainee develops will be determined by many factors, including the complexity of the unit, the trainee's background or experience and the ability to absorb information and develop skills. The unit could take as its baseline an average rate of learning, with an element of flexibility built in to allow for differences in such rates of learning. All students/trainees and instructors should be aware of the targets and expectations of the training system.

Training reports

10.31   Reports of student/trainee performance during the day to day practical training sessions should contain the OJTIs comments on the student's performance and state whether or not they have met the training objectives. The training process should require training reports be

completed on a regular basis, preferably at least for each training day undertaken.

Assessments during UEC

10.32   UK Reg (EU) 2015/340 has a clear difference between the terms examination and assessment. An examination is the testing of theoretical knowledge and this can be done by a written and/or oral test. Refer to UK REG (EU) 2015/340 GM1 ATCO.D.065. Assessments are practical tests.

10.33   In accordance with UK REG (EU) 2015/340, an assessment for the issue or renewal of a unit endorsement shall be conducted by an assessor at least once at the end of OJT instruction.

10.34   Objectives developed for assessments during and at the end of OJT should be referenced against the unit's performance objectives.

10.35   Objectives for successive assessments/level checks should demonstrate steady progress through the OJT phase of training.

10.36   The requirements for assessments during UECs is covered in UK Reg (EU) 2015/340 ATCO D.070 and includes guidance material. As referenced in para 10.4 above, UK TOs may operate a locally defined and CAA approved system of level or phase checks and theoretical examinations to facilitate progression along a UEC.

10.37   A unit may use a system of corroboration (internal compliance monitoring) to support any such process.

ABES assessments during a UEC

10.38   Assessments for a controller's competence to handle abnormal and emergency situations (ABES) as part of the UEC can be conducted by an assessor or may operate a locally defined and CAA approved system of testing.

Personnel used in a locally defined and CAA approved system of testing

10.39   Testing may include areas of training not related to assessments towards the issue, revalidation or renewal of a licence. Units who wish to use such a locally defined and approved system must submit this to the CAA for approval. This documentation shall include:

    a)   the qualifications, selection and training of personnel involved,

    b)   how its effectiveness is assured,

    c)   the testing process(es) (including any associated limitations), and

    d)   responsibilities of those involved.

10.40   Theoretical and practical testing used to determine a candidates progress along an UEC, shall be conducted by personnel trained in accordance with the unit's approved processes.

Chapter 11

Adapted UECs

General

11.1   Where a licence holder moves to a new unit or additional sector at the
same unit, an ANSP may develop an adapted UEC to take account of
previously acquired rating experience and allow for a reduction in
duration referenced in UK Reg (EU) 2015/340 ATCO.D.055(b)(6) - Unit
training plan. This adapted UEC shall be submitted to the CAA for
approval.

11.2   For those who have previously exchanged a licence or had a licence
recognised from an EU member state, an adapted UEC for each rating
containing the national requirements and objectives complying with CAP
794, shall be submitted to the CAA for approval.

Adapted UEC – national requirements

11.3   In relation to 11.2 above, the compilation of this type of adapted UEC
shall consist of the national training objectives contained in CAP 794.

11.4   This UEC is required to consist of theoretical and practical application,
together with associated examination and assessment.

11.5   A matrix shall be submitted as part of the adapted UEC, listing the CAP
794 objectives and identifying where and how each objective is delivered
and tested.

11.6   As an ITO is familiar with the objectives of CAP 794, the use of the
services of the certified initial training organisations may assist ANSPs
with the design and delivery of these types of training courses and
therefore may be sub contracted in accordance with UK Reg (EU)
2015/340 ATCO.OR.C.005 'Contracted activities'.

11.7   Any required adapted UEC in national requirements shall be
successfully completed before the individual may commence the

relevant CAA approved UEC. If this is not undertaken, an appropriate safety assessment must be conducted by the ANSP and submitted to the CAA, relating to the associated risks arising from permitting an individual to carry out OJT in national requirements during provision of an air traffic control service.

Chapter 12

Continuation Training

Continuation training requirements for air traffic controllers

12.1   The requirements for continuation training are detailed in UK Reg (EU) 2015/340, Part ATCO Section 4.

12.2   An ANSP shall establish a UCS in accordance with UK Reg (EU) 2015/340 ATCO.B.025 which must be approved by the CAA.

12.3   Continuation training shall be designed to maintain the validity of the endorsements of the licence.

12.4   Continuation training consists of refresher training course(s) and conversion training courses. They may include theoretical and/or practical training, together with simulation, when appropriate. These courses shall be detailed in the UCS and approved by the CAA.

12.5   All courses shall be written and submitted following the guidance in Appendix C of this document.

12.6   In accordance with UK (EU) 2015/340, the UCS including the continuation refresher training courses shall be reviewed at least once every three years.

12.7   The duration of any continuation training course should be determined in accordance with the functional needs of the air traffic controllers working at that unit, taking into consideration any changes or planned changes in procedures or equipment and overall safety management requirements.

Refresher training

12.8   The Eurocontrol ATC Refresher Training Manual provides guidance utilising a competence-based system with training objectives and performance criteria (Observable Behaviour). This document also includes guidance for the instructor role in the training session and gives

examples of scenario based training and how to create a syllabus to meet this need. Examples of forms and analysis sheets are also included. The CAA recommends that units consider utilising this document to produce a baseline for refresher training which can be subsequently built on for future needs. For further information and guidance, see UK Reg (EU) 2015/340 ATCO.D.080, together with the related AMC and GM.

Standard practices and procedures training

12.9   This training shall be designed to review, reinforce or enhance the existing knowledge and skills of air traffic controllers to provide a safe, orderly and expeditious flow of air traffic using approved phraseology and effective communication.

ABES refresher training

12.10   There are a variety of sources that may be available for reference and training material, for example:

a)   video programmes may be of value, particularly those showing aircraft flight deck procedures,

b)   liaison visits with local aircraft operators and familiarisation flights,

c)   liaison visits with adjacent aerodromes, ATS units, emergency services,

d)   consultation with typical operators who receive a service from the unit,

e)   incident and accident summaries and reports,

f)   participation in line-orientated flying training (LOFT),

g)   simulator exercises,

h)   table-top exercises,

i)   generic incidents, national or global.

12.11   ABES exercises should be organised as team exercises wherever possible and include support staff, if appropriate. Team resource management (TRM) is often a fundamental aspect to the satisfactory

handling of an abnormal circumstance or aircraft emergency. The potential contribution of other team members as a resource should not be overlooked.

Human factors (HF) training

12.12   To assist in developing this subject the Eurocontrol ATC Refresher Training Manual is recommended, however it is expected that units will adapt training objectives to their specific needs.

Conversion training

12.13   A training needs analysis should identify the degree of training required and a training course(s) shall be developed and submitted for approval following the requirements in UK Reg (EU) 2015/340 ATCO.D.085 together with the related AMC and GM.

Note: This course should take the form of a course design document as detailed in Appendix C of this document.

Chapter 13

Additional air traffic controllers training

OJTI/STDI and assessor endorsements

13.1   Section 5 of UK Reg (EU) 2015/340 lays down the requirements for the training of instructors and assessors. This training is designed to provide the required additional skills for air traffic controllers, to obtain an on-the-job instructor (OJTI) endorsement, synthetic training device instructor (STDI) endorsement or assessor endorsement.

13.2   TO/ITOs intending to conduct this type of training will be required to produce a training course following the process detailed in Appendix C of this document and submit to the CAA for approval.

13.3   Any such courses must include and demonstrate how the candidates establish competence in the areas listed in UK Reg (EU) 2015/340 AMC2 ATCO.D.090(a)(1) and/or AMC1 ATCO.D.095(a)(1) for the relevant licence endorsement course. Such competence shall be established through practical means.

13.4   TO/ITOs intending to conduct this type of training course shall ensure that the qualifications of those instructing on the course meet the requirements of Chapter 4 of this document. Subject matter experts (SME) may be used for delivery of non-task specific theoretical topics, in accordance with UK REG (EU) 2015/340 ATCO.C.001.

13.5   These ATC licence endorsement courses should be created from a generic licence perspective and not be unit or rating specific, as should the controller move unit, they may find significant differences from the original training.

Other training courses

13.6 Such courses could include training for a locally approved process, audit duties, classroom instructional skills, or any other type of course designed to enhance the skills of air traffic controllers.

13.7 Although these courses may not require direct CAA approval, they should be included or referred to in the appropriate Unit documentation (UTP/UCS/management system), as they relate to the competence of their staff. These unit documents are subsequently audited by the CAA.

13.8 These courses may consist of theoretical and practical elements, using STD, where appropriate. Training objectives (and performance objectives, where practical assessment required) should be produced by the ITO/TO and included in the course documentation.

13.9 Training organisations intending to conduct this type of training shall ensure that instructors on the course are appropriately qualified in accordance with any associated course approval.

Refresher training for practical instructor (OJTI/STDI) and assessor endorsements

Refresher training of practical instructors

13.10 The requirements for the validity of an OJTI and STDI endorsement are laid down in UK Reg (EU) 2015/340. An OJTI or STDI endorsement may be revalidated by successfully completing refresher training on practical instructional skills during the validity period. The term 'successfully completing' infers that some form of grading is required to demonstrate that a particular candidate was successful.

13.11 Such refresher training requires a specific training course created amd approved by the CAA. This course submission should follow the format as detailed in Appendix C of this document.

13.12 In addition to the above, a method of assessment shall be created, together with performance objectives, when intending to provide renewal

of the associated endorsement. Guidance on creation of methods of assessment are found in Chapter 6 of this document. Such a method can be included in the refresher course documentation and requires approval from the CAA.

13.13   The refresher training process should include a method of 'verification' for revalidations. Such 'verification' assures the Unit that the candidate is sufficiently refreshed in those skills and can be achieved in numerous ways. However, as these endorsements are practical by nature, it would be expected that this verification utilises some form of practical demonstration/assessment following the refresher training.

13.14   A practical assessment for renewals meets the scope of verification of the refresher training.

13.15   The process for refresher training and revalidation/renewal for Practical instructors shall be referenced in the UCS.

Specific STDI elements

13.16   In addition to the requirements for training in practical instructional skills, the STDI requires training to maintain awareness of the current operational practices. This can be achieved through various means, such as visits to operational working positions.

13.17   The refresher training for STDI should contain objectives specific to the role; including elements such as pausing of clocks; an instructor demonstration; allowing errors to progress to assist in training of rectifying action; etc.

Refresher training of assessors

13.18   UK Reg (EU) 2015/340 states that assessor refresher training should be developed to prevent knowledge and skills erosion, and be designed to maintain skills in assessment techniques and awareness of the regulatory requirement. The 'regulatory environment' specified here should include appropriate UK regulations and publications (UK REG (EU) 2015/340, ANO, CAP 393, CAP 794, etc.). This should be taken

into account if the unit is utilising such courses from non-UK TO/ITOs, e.g. Eurocontrol.

13.19   The refresher training process should include a method of 'verification' for revalidations. Such 'verification' assures the Unit that the candidate is sufficiently refreshed in those skills and can be achieved in numerous ways. However, as these endorsements are practical by nature, it would be expected that this verification utilises some form of practical demonstration/assessment following the refresher training. This verification process should be detailed in the associated course documentation.

13.20   A practical assessment for renewals meets the scope of verification of the refresher training.

13.21   The process for refresher training and revalidation/renewal for assessors shall be referenced in the UCS.

Appendix A

Assessment of Previous Competence Report

Name and address of training organisation:

Rating	
Name	
Licence number	
Dates of APC programme	
Interview observations (inc. reasons for not requiring theoretical examination)	
ELA (if required)	
Written examination result and details (if required)	
Oral Examination result and details (if required)	
Practical result	
Overall assessment (i.e. Progress onto unit training or recommendation for remedial training)	
Assessor name	
Assessor signature	
Report date	

Appendix B

Records to be Retained by Training Organisations

B1   The TO/ITO shall maintain records to show that each learner has undertaken, in full, the approved course of training.

B2   As per UK (EU) 2015/340 ATCO.OR.C.020, training organisations shall retain detailed records of persons undertkaing or having undertaken training to show that all requirements of the training courses have been met.

B3   The following records (electronic or paper) must be retained permanently by training providers who provide initial training:

   a)   ITO Certificate (current master copy),

   b)   ITO Initial Training Plan including Course Design Documents (current master copies).

B4   Training and assessment records (electronic or paper) which are to be retained for 5 years in accordance with Regulation UK (EU) 2015/340, must include:

   a)   course nominal rolls (CAA form SRG1418) ;

   b)   list of course managers, instructors and assessing staff for each course;

   c)   written examination question papers; or online equivalent

   d)   written learner answer papers; or online equivalent

   e)   oral examination reports including questions asked and records of learner responses;

   f)   practical training reports;

   g)   practical summative and/or assessment reports

   h)   course log detailing changes made to the course conduct and any significant events affecting the running of the course

   i)   attendance records and any course programme changes to accommodate learner absence to ensure any missed training event or test was delivered; and

j) evidence that each learner has acknowledged the ITO/TOs appeals procedure.

k) Records of internal and external audits.

Appendix C

Training Design and Structure Guidance

Training design process

The training design process contains the following elements:

a) structure of training documentation (syllabus, training plan, method of assessment and training events plan),

b) clear taxonomy of training objectives (with five different levels of knowledge, skills and competence) and,

c) definition of appropriate objectives, plans, syllabus, techniques etc. to be used further on.

Note: For taxonomy levels, refer to the definitions section of this document.

Developing training objectives

C1 The training for any task should start with a task analysis to determine what knowledge and skills need to be taught to enable the student/trainee to do that task. This analysis can be used to develop training objectives.

C2 Training objectives should indicate what is required of students/trainees and reflect the way in which they will be assessed. It is useful to think of the phrase 'a student/trainee must be able to' as prefixing every objective. It is therefore inappropriate to require a student to 'know' the aerodrome layout. The objective could be expressed as for example: 'Using an outline map of the aerodrome, indicate the runway designations, holding points and taxi routes'. If instead of using a map an OJTI wanted to test the student/ trainee's knowledge of an aerodrome verbally, the objective could be: 'From the visual control room, indicate and name the runways, taxiways, holding points.' etc.

C3 When determining the training objectives, consideration should be given to:

1. Skills required to operate equipment including:

a) data input,

     b)   ATS surveillance system(s),

     c)   ground movement surveillance,

     d)   information systems,

     e)   communication systems.

2. The task including:

     a)   local and adjacent environment,

     b)   local ATC procedures,

     c)   co-ordination within the unit and with other ATC units or agencies,

     d)   the level of decision making and negotiation skills required,

     e)   requirement for specialist controlling techniques,

     f)   the tolerance of the environment to controlling errors,

     g)   abnormal and emergency situations.

3. The traffic levels:

     a)   the periods during which traffic levels are appropriate to introduce students/trainees to OJT;

     d)   acceptable loss of efficiency to aircraft operations.

4. The training environment:

     a)   facilities for monitoring and intervention;

     b)   availability and type(s) of STD;

     c)   opportunities for retraining;

     d)   the training commitment (number of students/trainees engaged in OJT).

C4   The use of general objectives avoids a large number of specific objectives being used. Although a student/trainee must, for example, be able to name the visual reporting points (VRPs) and give their position, a separate objective is not required for each VRP. Oral examination objectives could be as simple as: 'Name and give the position of the VRPs', and at a later stage during OJT: 'Use the VRPs to integrate inbound VFR traffic into the circuit'.

Specific objectives will only be required where a particular unit procedure varies significantly from national procedures or from other unit procedures.

Performance objectives

C5　　The TO is responsible for creating performance objectives as required. For information on performance objectives, refer to the definitions section of this document.

Structure of training documentation

i)　　Syllabus

ii)　　Training Plan

iii)　　Training Event Plans

iv)　　Method of Assessment

Syllabus

C6　　A syllabus is a list of training objectives classified by subjects, topics and sub-topics showing the training necessary to fill the training gap and achieve the course aim. A structured content helps to detail the objectives. The syllabus does not indicate times, training techniques (see diagram C.15) nor order to achieve the training objective.

Training plan

C7　　A training plan is a syllabus with additional information. It details, for each subject or topic and for each objective, the training requirements (type of training event, educational material needed, method and mode of delivery). It also gives an approximate timeline for achievement and states performance objectives or test to increase the accuracy of the specifications.

Training event plan

C8   A training event is a set of actions identified in the training plan which cover a number of objectives. It is described by the association of a training technique, media, learning rate and a mode of delivery. (see diagram C.15)

Note: The training event plan is the document to be used by the instructor when preparing and providing the training. It recalls the objectives of the training event and its type. It gives a timeline and indicates material reference and hints for the performance.
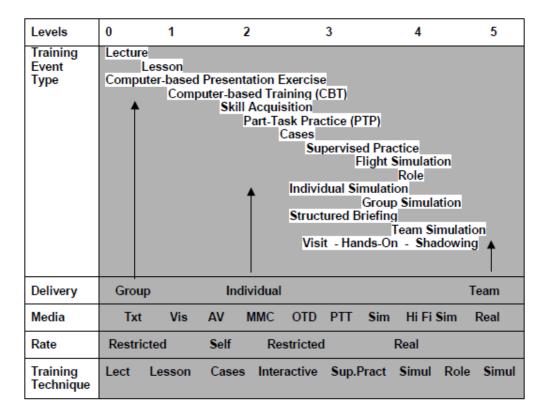
First phase of training design

C9   The first step in training design is to determine the training objectives; in fact, the job consists of creating the syllabus through the steps below:

> **a)**   Define training objectives representing the training aim (possibly relative to a task list).
>
> **b)**   List subjects to be taught in order to reach the objectives.
>
> **c)**   Identify the training gap between the input and output of the course.
>
> **d)**   Specify the training modules.

Second phase of training design

C10   The purpose of the second phase is to choose a training strategy. The initial step is to detail some critical objectives as performance objectives.

C11   A performance objective is a clear and unambiguous statement of what a student is expected to do (Performance) according to a level in terms of quality, quantity and time (Standard) and the conditions under which the performance is to be carried out (Conditions): PSC.

C12   A possible solution is also to simply create the test/assessment corresponding to some objectives. Then the training designer allocates one (or possibly several) type(s) of training event relevant to each objective. The taxonomy levels of the objective help greatly for this task. The following table provides in a very generic guidance for this allocation and is extracted

from *Eurocontrol - Specifications on Training Methods and Tools - HRS/TSP-006-GUI-01.*

Levels	0	1	2	3	4	5
Training Event Type	Lecture / Lesson / Computer-based Presentation Exercise / Computer-based Training (CBT) / Skill Acquisition / Part-Task Practice (PTP) / Cases / Supervised Practice / Flight Simulation / Role / Individual Simulation / Group Simulation / Structured Briefing / Team Simulation / Visit - Hands-On - Shadowing					
Delivery	Group		Individual			Team
Media	Txt Vis	AV	MMC OTD PTT	Sim	Hi Fi Sim	Real
Rate	Restricted	Self	Restricted	Real		
Training Technique	Lect Lesson	Cases	Interactive	Sup.Pract Simul	Role	Simul

C13   The outcome of this second phase is part of the training plans and method of assessment.

Third phase of training design

C14   The third phase consists of establishing with accuracy; in which training events each objective is presented to the learner; and what the duration of these training events are. It is recommended to determine the prerequisites of each objective in order to establish the training sequence.

C15   The outcome of this phase is the production of the remaining part of the training plans and the training event plans. (The training event plans (TEPs) can only be completed when the courseware itself is produced – remember that the TEPs are to be used by the instructor when preparing and provide material and tips for delivery.)

Mode of delivery, media, learning rate and training techniques

Introduction

C16   The methodology to design the training strategy is based on the answers to the following questions:

    i)   Is the training to be individual or in-group? (mode of delivery)

    ii)   Is the learning rate free, restricted or real-time? (learning rate)

    iii)   Which media is used to deliver the training message? (media)

    iv)   What are the delivery techniques between the matter, the student and the instructor? (training technique)

Note: This guidance material adapted from Eurocontrol - Specifications on Training Methods and Tools - HRS/TSP-006-GUI-01

Course design document

C17   To assist with national standardisation, it is requested that all course submissions are completed by use of a course design document (CDD), using the format described below.

Content

C18   The document should be typed, with paragraphs and pages numbered, following the sequence specified below (where each is applicable).

Cover page

    Containing:

        a)   name of training organisation

        b)   title of submission*

        c)   version number*

        d)   date of document*

    (*headers / footers should be appropriately appended with these details)

General

C19   In this section, the training organisation should provide:

a)   the proposed start date of the first course,

b)   a syllabus of objectives to be covered,

c)   a chronology for the course showing the order of delivery - e.g. lessons which need to be delivered before a practical phase commences,

d)   a timetable of lessons and any practical exercises for the course, including details of any self-study arrangements. *For initial training courses*, the timetable should show that briefings relating to practical simulation exercises are provided to the learners at appropriate times,

e)   a list of the Training Event Plans (TEP's) (see para C8 above), for each training event, including:

   i)   objectives covered,

   ii)   timings,

   iii)   mode of delivery,

   iv)   any media or equipment required by instructor;

f)   the number of STD positions available for the course with the minimum and maximum number of learners (where applicable),

g)   Details of any associated STD; including software platform, main hardware components and type of STD (i.e. PTT/simulator), and ensuring the information covers the requirements in Appendix I of this document,
   Note: This can be submitted as a separate document or referenced in the CDD, however an STD is required to be approved for each course where one is utilised;

h)   a competency framework with a list of observable behaviours, (where CBT utilised);

i)   details of any practical STD formative exercises, (e.g. showing how they increase in complexity and traffic loading through the course) and the objectives to which they relate; and assessment exercises,

j)   the planned examination and/or practical assessment method(s),

k)   the practical feedback or report form for the practical training exercises, and assessment report form showing the practical objectives/observable competencies that are to be met;

l)   for initial training courses, a document/ matrix that demonstrates where any relevant regulatory content and syllabus objectives of the course are delivered e.g. a mapping document, verification cross reference index, or similar;

m)   the process used to obtain learner and/or any other relevant feedback on the course;

n)   information on how the course and its contents will be reviewed.

Appendix D

English language proficiency certificate

Certificate

D1 The English language proficiency certificate issued by the LAB shall include the following information:

a) Full name, date of birth and air traffic controller licence number (where held) of the individual to whom the certificate is awarded;

b) Name of the LAB;

c) Level of English language proficiency awarded, in accordance with the ICAO Language Proficiency rating scale;

d) The date the English language proficiency assessment was undertaken; and

e) Name and signature of the LAB ELA.

Appendix E

Conduct of written examinations

Protocol for the conduct of written examinations

E1   The protocols detailed in this appendix are required by the CAA to be followed, due to these examinations being ultimately associated with the issue of a licence or certificate under UK regulation and/or the Air Navigation Order 2016.

These protocols shall be advised to the candidates prior to the examination.

Entering examination room	Candidates should plan to arrive at the examination room 10 minutes before the scheduled start time. No candidate should be allowed to enter the examination room once the examination has commenced.
Leaving examination room	No one should be allowed to leave the examination room unless the examination has been completed and surrendered or where undertaken online, the examination is closed; or unless being supervised as covered below.
Supervised absence	No candidate should be permitted to leave and return to the examination room during an examination unless supervised.
Communications during examinations	Unless an invigilator has given permission, during the course of the examination, a candidate is not to communicate with any other person but an invigilator.
Permitted items	a) wrist watch (except 'smart' type watches), b) non-fizzy drink c) any foodstuffs or medication required for any medical condition *Note: pens, pencils and stationery should be provided by the training organisation.*

Prohibited items	a) Any unauthorised material (including revision notes) or equipment not authorised for the exam. b) Any coats, bags and hats etc. The TO/ITO should designate an area for such personal items to be left. c) Any electronic devices capable of: • storing or recording material (including pictures), • access internet/intranet, • send or receive any electronic communique, etc. This includes but not limited to, mobile phones, tablets, programmable calculators, cameras or other such devices. Any such devices must be switched off and the TO/ITO should designate an area for such personal items to be left. d) Food, when not required for any medical reason.
Cheating	Cheating is not only a moral offence but may be considered a psychological disorder, recognised under Regulation UK (EU) 2015/340 Part MED, and brings into question the fitness of character of the person being examined. Incidents of cheating must be investigated based upon evidence from the following types of activities: a) having unauthorised items or texts at their desk in the examination room during the examination; b) making use of unauthorised items or texts during the examination; c) copying from the script of another candidate during the examination; d) dishonestly receiving help from another person during the examination; e) dishonestly giving help to another person during the examination; f) Recording of any element of the examination;

	g) acting dishonestly in any way, whether before, during or after the examination, so as to assist another candidate to obtain an unfair advantage in the examination. Should a candidate be suspected of cheating during an examination, the invigilator should ask the person to leave the examination room, leaving any examination material behind. An incident report shall then be submitted to the TO/ITO management for further investigation, who must request an explanation from the candidate and record any additional witness statements. The relevant CAA ATS Inspector shall be informed once evidence has been compiled.
Illness/Disruption	Prior to the examination, the candidates must be informed that if they feel ill prior to or during an exam they should inform an invigilator immediately. Similarly any other form of distraction, e.g. excessive noise, which causes an adverse effect on their performance should be reported at the time of the occurrence.
Emergency procedures	In the event of the fire alarm or other emergency necessitating the evacuation of the examination room, the invigilator shall instruct candidates to stop their activities and leave their answer media on their desks/screen. It is imperative that the buildings fire and evacuation procedures are followed. A candidate may not re-enter the examination room until the Invigilator advises that they may do so.

Appendix F

Criteria for the use of synthetic training devices in ATC training

Introduction

F1   A Synthetic training device (STD) is any type of device by which operational conditions are simulated, including simulators and part-task trainers. Definitions for these are contained in UK Reg (EU) 2015/340.

F2   Synthetic training devices shall comply with UK Reg (EU) 2015/340 ATCO.OR.C.015 paragraph (b). This appendix details the CAA requirements to gain approval.

F3   All training plans are required to indicate the amount of training, if any, that will be conducted on an STD, including details of the STD in order for approval to be given by the CAA.

F4   The approval for the use of an STD, and the part of the particular training course for which the training organisation proposes to use it will be based on an assessment against the criteria listed in UK Reg (EU) 2015/340 AMC1 ATCO.OR.C.015(b).

F5   The extent to which the simulator achieves these criteria will be used to determine the adequacy of the simulator for the proposed use. As a general principle, the greater the degree of replication of the operational position being represented, the greater the use that will be possible in any particular training.

F6   In order to gain course approval, the submitted course documentation should evidence how the STD will provide adequate support for the training, in particular:

i)   The ability of the simulated environment to enable students to meet the stated objectives of the practical training exercises, and

ii)   The ability of the STD and its exercises to enable the performance objectives to be assessed to the level determined in the training programme.

Continuation training

F7   When a unit wishes to use an STD for continuation training and assessment, the STD details must be included for approval in the particular course submission (CDD). Any approval will be based on its ability to adequately support the course's training objectives and assessment requirements.