

# Training in the Safe Transport of Dangerous Goods by Air

CAP 483

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## Foreword

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This publication provides policy and guidance on the training requirements associated with the safe transport of Dangerous Goods (DG) by air.

While this document does not itself constitute regulation, it is intended to assist operators, training providers, and all personnel engaged in the transport of Dangerous Goods by air in understanding and applying the relevant training provisions required under UK law and associated international standards. It summarises and references the applicable regulatory material, including the International Civil Aviation Organization (ICAO) Technical Instructions for the Safe Transport of Dangerous Goods by Air (Doc 9284) and the UK Air Navigation (Dangerous Goods) Regulations.

The UK Civil Aviation Authority (CAA) recognises that the competence of personnel is fundamental to the continued safe transport of Dangerous Goods by air. This publication therefore provides guidance to support organisations in developing and maintaining training programmes that ensure personnel are appropriately trained, assessed, and competent to perform their assigned functions safely and in compliance with the regulations.

The guidance is designed to aid organisations to identify the applicable regulatory requirements, develop and deliver suitable training programmes, and where necessary gain CAA approval more effectively and efficiently. Adherence to this guidance will support both regulatory compliance and the consistent application of safety standards across the industry.

The provisions apply to all organisations and individuals involved in the transport of Dangerous Goods by air, including (but not limited to) operators, ground handling agents, freight forwarders, shippers, and training providers. Each organisation remains responsible for ensuring that the scope and depth of training provided are appropriate to the functions and responsibilities of their personnel.

Training programmes and associated records are subject to oversight by the CAA, which will assess compliance based on the content, delivery, and effectiveness of the training provided.

Organisations that align their training and competency frameworks with the guidance in this publication will be well positioned to meet future regulatory developments and maintain compliance without operational disruption.

## Revision history

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November 2025	Complete revision of all sections
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# Introduction

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## Need for Training

- 1.1 Dangerous goods, which are frequently carried by air, have inherent hazards that need to be taken into account when they are prepared for transport. Everyone who may come into contact with them needs to be aware of the nature of such goods, their potential for causing incidents and accidents and how they should be dealt with. Properly planned and maintained training programmes are an essential means of ensuring that those concerned receive an initial and continuing appreciation of the risks involved in carrying dangerous goods by air, the relevant requirements that have to be met and the need for complying strictly with them at all times.
- 1.2 In the United Kingdom, the legislation on the transport of dangerous goods by air is contained in the Air Navigation (Dangerous Goods) Regulations (AN(DG)Rs) and UK Regulation (EU) No. 965/2012 (collectively “the Regulations”). These Regulations provide that dangerous goods may only be carried in accordance with the ICAO Technical Instructions for the Safe Transport of Dangerous Goods by Air (“Technical Instructions”). The Regulations and the Technical Instructions require that everyone involved in the transport of dangerous goods by air receives training and assessment commensurate with their responsibility. In addition, they require some training programmes to be approved by the CAA.

## Competency Based Training and Assessment (CBTA)

- 1.3 Additional guidance on ways that training providers may comply with the need for competency-based training and assessment can be found in ICAO Doc 10147 Guidance on a Competency-based Approach to Dangerous Goods Training and Assessment.

## Purpose of CAP 483

- 1.4 CAP 483 contains information and best practice about how dangerous goods training can be managed to accomplish the training and assessment of personnel involved in the safe transport of dangerous goods by air and those personnel involved in the carriage of passengers or cargo. It is divided into two parts comprising:

**Part A** Guidelines on Training and Assessment for the Safe Transport of Dangerous Goods by Air

**Part B** Guidance Notes on the Training Approval Scheme for the Safe Transport of Dangerous Goods by Air.



- 1.5 Part A applies to training programmes and/or instructors that are not subject to CAA approval under the training approval scheme and contains information and guidance on the requirements of the Technical Instructions and the Regulations, the legal obligations under those Instructions and Regulations, the development of effective training programmes, the delivery of training and the maintenance of a training system.
- 1.6 Part B contains the information and guidance applicable to those training providers and/or instructors whose training is subject to CAA approval under the training approval scheme.

### **Code of Practice**

- 1.7 CAP 483 forms a Code of Practice for the management of the dangerous goods training required for those involved in the safe transport of dangerous goods by air and for those involved with the transport of cargo, mail, passengers and baggage by air.
- 1.8 Currently, the AN(DG)Rs provide that some (but not all) training programmes and instructors require an approval issued by the CAA. For the training providers, operators and handling agents who produce these training programmes and the instructors who are evaluated and approved under the training approval scheme, compliance with all relevant material in both Parts A and B is required.
- 1.9 For companies and instructors who, under the Regulations, do not need an approval from the CAA, it is recommended that they develop their training on the guidance in this CAP to develop Competency Based Training and Assessment. To this end, the Guidelines in Part A and Guidance Notes in Part B together provide a Code of Practice for all training providers and instructors to follow. Training programmes should cover the areas and topics identified in the Training and Test Specifications, and instructors should be able to meet the standards detailed in Part B, Chapter 3.

### **Enforcing Agency**

- 1.10 In the United Kingdom, the CAA is the agency designated to carry out the enforcement of the provisions of the Regulations and to ensure compliance with the detailed requirements of the Technical Instructions. This function is carried out by Dangerous Goods, Flight Operations of the CAA.
- 1.11 Companies that do not ensure that their personnel receive the required training and assessment may be in breach of the Air Navigation (Dangerous Goods) Regulations, which can result in prosecution. Training and assessment must therefore be in full compliance with the requirements of the Technical Instructions.

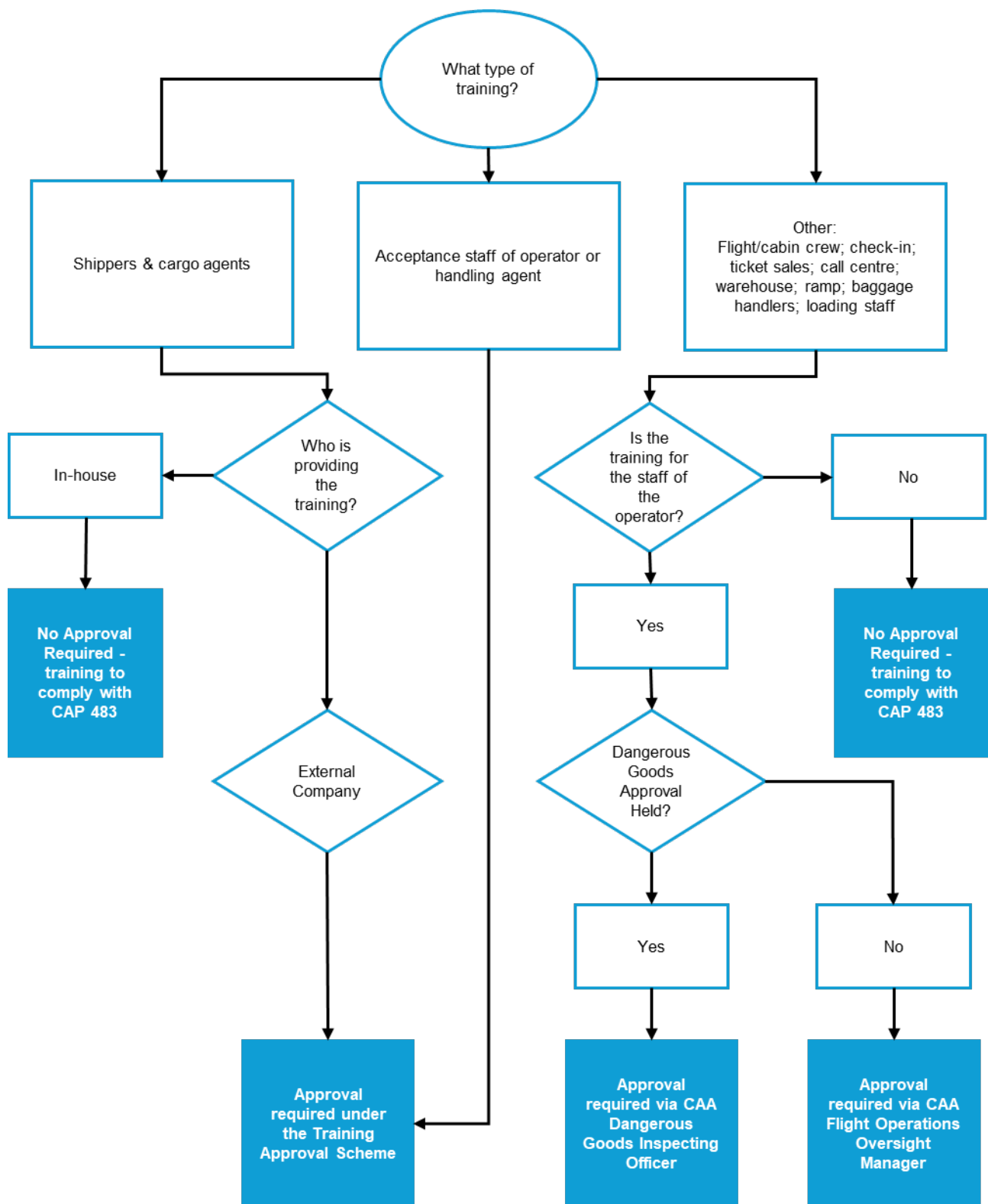
## **Training Approval Scheme**

- 1.12 The CAA believes that, as far as possible, approved training programmes in the UK need to offer training that is of a consistent quality and standard. The CAA operates a training approval scheme for the evaluation of certain instructors and training programmes which require approval under the AN(DG)Rs. The scheme focuses on those training programmes which are produced by companies who offer or provide training as a commercial venture and also on training programmes for dangerous goods acceptance personnel of aircraft operators and ground handling agents. The scheme includes evaluation and verification procedures to provide the necessary checks to ensure that quality and standards are maintained. The scheme also provides for the approval of certain instructors.

## **Approval of Training Programmes**

- 1.13 The following flow chart shows which types of training programmes require approval under the training approval scheme.

## Approval of Dangerous Goods Training Flowchart



## Explanation of Terms & Abbreviations

- 1.14 Many of the terms used in CAP 483 are defined in either the AN(DG)Rs or the Technical Instructions. However, there are some which are not explained elsewhere and, in relation to CAP 483, they have the following meanings:

**Agencies which perform, on behalf of the operator, the act of accepting, handling, loading, unloading, transferring or other processing of cargo.** Handling agents dealing with cargo irrespective of whether or not their premises are at an airport, an offshore installation or elsewhere.

**Agencies located at an airport which perform, on behalf of the operator, the act of processing passengers.** Handling agents dealing with passengers at an airport or an offshore installation.

**Agencies not located at an airport which perform, on behalf of the operator, the act of checking in passengers.** Companies located in rail terminals, hotels, etc., that check in passengers and their baggage prior to them arriving at an airport.

**Agencies other than operators involved in processing cargo.** Freight agents, cargo agents, freight forwarders, consolidators, etc.

**Agencies engaged in the security screening of passengers and their baggage.** Companies (including airport operators and aircraft operators or their handling agents, if relevant) who employ personnel to carry out the checking of passengers, for aviation security purposes, prior to them boarding an aircraft.

**Doc 10147.** Guidance on a Competency-based Approach to Dangerous Goods Training and Assessment.

**Function specific training.** Training that is aimed at providing a detailed study of the requirements of the Technical Instructions applicable to the function for which the person is responsible.

**General familiarisation training.** Training that is aimed at providing familiarity with the general requirements of the Technical Instructions.

**International Civil Aviation Organization.** ICAO

**Recurrent training and assessment (also called revalidation training).** Training and assessment given within 24 months of previous training assessment to ensure that competency has been maintained. If recurrent training and assessment is completed within the final 3 months of validity of previous training assessment, the period of validity extends from the month on which the recurrent training assessment is completed until 24 months from the expiry month of that previous training and assessment.

**Safety training.** Training that covers the hazards presented by dangerous goods, safe handling and emergency response procedures.

**Technical Instructions.** The latest effective edition of the Technical Instructions for the Safe Transport of Dangerous Goods by Air (Doc 9284-AN/905), including the Supplement and any Addendum, approved and published by decision of the council of the International Civil Aviation Organization.

**Training approval scheme.** See Introduction paragraph 6.

**Training programme.** A method that has been developed for providing training, which consists of a tutored or self-study course, associated material (such as handouts, presentations, videos, exercises, etc.), an exam paper and, where there is an instructor, the instructor's notes.

**Training provider.** Any person, organisation or enterprise that offers or provides training to other than its own employees.

**UK Air Navigation Dangerous Goods Regulations.** AN(DG)Rs.

**UK Air Operations Regulations.** UK Regulation (EU) No. 965/2012

## Questions, Enquiries and Application Forms

- 1.15 The CAA's website contains information about dangerous goods and in particular, dangerous goods training. The application forms and various other training related documents can be downloaded via the website.

Any other queries concerning this publication or any other questions on the transport of dangerous goods by air or dangerous goods training should be emailed to [dgo@caa.co.uk](mailto:dgo@caa.co.uk).

## Part A

# Guidelines on Training for the Safe Transport of Dangerous Goods by Air

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# Chapter 1 International and National Requirements and Responsibilities

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## International Requirements

- 1.1 The International Civil Aviation Organization (ICAO) has produced detailed requirements for the international air transport of dangerous goods, and these are contained in the Technical Instructions for the Safe Transport of Dangerous Goods by Air.

For training, there are specific responsibilities placed on the employer to ensure that all personnel receive training and assessment commensurate with their function.

There are general requirements for the training of everyone who is involved in the transport of dangerous goods by air, irrespective of where they are in the transport chain and no matter whether they are dealing with cargo, mail, aircraft stores or passengers.

The provisions of the Technical Instructions are enacted through the AN(DG)Rs and where appropriate, UK Regulation (EU) No. 965/2012.

- 1.2 For the training of those who consign dangerous goods, Part 5, paragraph 1.4 of the Technical Instructions contains the responsibilities of the shipper:

'Before a consignment of dangerous goods is offered for air transport, all relevant persons involved in its preparation must have received training to enable them to carry out the functions for which they are responsible, as detailed in Part 1 [of the Technical Instructions]. Where a shipper does not have trained personnel, the "relevant persons" may be interpreted as applying to those employed to act on the shipper's behalf and to undertake the shipper's responsibilities in the preparation of the consignment. However, such persons must be trained as required by Part 1, Chapter 4 [of the Technical Instructions].

- 1.3 For the training of those who are employed by or act on behalf of operators, Part 7, Chapter 4 of the Technical Instructions contains the responsibilities of the operator:

'An operator must ensure training is provided in accordance with the detailed requirements of Part 1, Chapter 4 [of the Technical Instructions] to all relevant employees, including those of agencies employed to act on the operator's behalf, to enable them to carry out their functions for which they are responsible with

regard to the transport of dangerous goods, passengers and their baggage, cargo, and mail.'

- 1.4 The training requirements of the Technical Instructions in Part 1, Chapter 4, state that:
- a) 'The employer of personnel that perform functions aimed at ensuring that dangerous goods are transported in accordance with these Instructions [the Technical Instructions] must establish and maintain a dangerous goods training programme'.
  - b) 'All operators must establish a dangerous goods training programme regardless of whether or not they are approved to transport dangerous goods as cargo'.
- 1.5 The employer must ensure that personnel are competent to perform any function for which they are responsible prior to performing any of these functions. This must be achieved through training and assessment commensurate with the functions for which they are responsible. Such training must include:
- a) general awareness/familiarisation training – Personnel must be trained to be familiar with the general provisions.
  - b) function specific training – Personnel must be trained to perform competently any function for which they are responsible; and
  - c) safety training – Personnel must be trained on how to recognise the hazards presented by dangerous goods, on the safe handling of dangerous goods, and on emergency response procedures.
- 1.6 Personnel who have received training but who are assigned to new functions must be assessed to determine their competence in respect of their new function. If competency is not demonstrated, appropriate additional training must be provided
- 1.7 Personnel must be trained to recognise the hazards presented by dangerous goods, to safely handle them and to apply appropriate emergency response procedures.
- 1.8 Personnel must receive recurrent training and assessment within 24 months of previous training and assessment to ensure that competency has been maintained. However, if recurrent training and assessment is completed within the final 3 months of validity of the previous training and assessment, the period of validity extends from the month on which the recurrent training and assessment was completed until 24 months from the expiry month of that previous training and assessment.



- 1.9 The employer must maintain a record of training and assessment of personnel.
- 1.10 The record of training and assessment must include:
- a) the individual's name;
  - b) the month of completion of the most recent training and assessment;
  - c) a description, copy of or reference to training and assessment materials used to meet the training and assessment requirements;
  - d) the name and other information that identifies the organisation providing the training and assessment (such as registered address); and
  - e) evidence which shows that the personnel have been assessed as competent.
- 1.11 Training and assessment records must be retained by the employer for a minimum period of 36 months from the most recent training and assessment completion month and must be made available upon request to personnel or the CAA.
- 1.12 Unless otherwise provided for by the CAA, instructors of initial and recurrent dangerous goods training must demonstrate or be assessed as competent in instruction and the function(s) that they will instruct prior to delivering such training.
- 1.13 Instructors delivering initial and recurrent dangerous goods training must deliver such courses at least every 24 months, or in the absence of this, attend recurrent training.

### **UK Legislation and the Responsibilities of Persons Under It**<sup>The</sup>

Air Navigation (Dangerous Goods) Regulations (AN(DG)Rs) contains the legal requirements for the transport of dangerous goods by air. Additional legal requirements for UK operators are contained within Regulation (EU) No. 965/2012 (see below for details).

The AN(DG)Rs place a number of responsibilities on all those involved in consigning and carrying dangerous goods by air. In particular regulation 5 (1) states:

'A person shall not:

- a) deliver or cause to be delivered for carriage in, or
- b) take or cause to be taken on board;

an aircraft any dangerous goods, which they know or ought to know or suspect to be goods capable of posing a risk to health, safety, property or the environment when carried by air, unless the Technical Instructions have been complied with, and the package of those goods is in a fit condition for carriage by air.'

- 1.15 This provision places a responsibility on any person who may come into contact with, have, offer or otherwise handle dangerous goods for transport by air, whether it be as a passenger, shipper, freight forwarder, handling agent, operator, courier company, etc. In order to ensure that all relevant responsibilities are met, there is a need for everyone to be aware of the various regulations and requirements surrounding the subject. It is for this reason that training is prescribed in the Technical Instructions.

### **Training Requirements of the AN(DG)Rs**

- 1.16 The AN(DG)Rs contain comprehensive requirements for training; they are contained in regulation 13 and can be summarised as follows:
- a) The content of training programmes must be as specified in the Technical Instructions.
  - b) Initial and recurrent training programmes must be established and maintained as required by the Technical Instructions.
  - c) Recurrent training must take place not less than every two years.
  - d) Records of training must be maintained as required by the Technical Instructions.
  - e) CAA approval is required for the training programmes of training providers, handling agents (those undertaking the function of acceptance) and operators of UK registered aircraft (all personnel).
  - f) CAA approval is required for instructors other than those who are employees of shippers, cargo agents, handling agents or operators providing they are training only personnel of their parent company.
  - g) CAA approval may be required for instructors who are employees of handling agents and operators of aircraft registered in the UK.
- 1.17 The CAA has decided that, although there is no specific provision in regulation 13 for the approval of instructors who are employees of handling agents or operators of aircraft registered in the UK, it will implement regulation 13(8)(c) by requiring that such instructors who train that agent's or operator's dangerous goods acceptance personnel take and pass Part 1 (technical knowledge) and

Part 2 (training competence) of the instructor approval, as described in Part B, Chapter 3.

- 1.18 The training requirements of the Regulations do not apply to operators of aircraft not registered in the UK who undertake the training of their own UK based personnel. However, they do apply to the UK based handling agents of those operators.

### **UK AIR-OPS Requirements**

- 1.19 UK operators who operate in accordance with Regulation (EU) No. 965/2012, will need to ensure that they meet any additional requirements of this Regulation with regards to training and training programmes.

## Chapter 2 Approval of Training Programmes

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### **Training Programmes to be Approved by the CAA**

- 2.1 The Technical Instructions require that the training programmes for UK operators be approved by the CAA and recommend the approval of all other training programmes. As identified in Chapter 1, the CAA has decided that the training programmes which will be subject to approval are those produced by:
- operators of UK registered aircraft;
  - handling agents (dangerous goods acceptance personnel only); and
  - training providers.
- 2.2 Currently, training programmes produced by training providers on behalf of shippers and dangerous goods acceptance personnel, together with training programmes produced by operators and handling agents for the training of dangerous goods acceptance personnel, are subject to evaluation and approval under the training approval scheme.
- 2.3 The evaluation and approval of training programmes of UK operators, with the exception of dangerous goods acceptance personnel, where the training is given by employees of that operator, is currently carried out by the CAA. See flow chart in the Introduction for an overview of the courses that require approval.

### **Training of Personnel when Training Programme Approval is NOT Required**

- 2.4 It is stressed that even if a training programme is not subject to CAA approval, it does not absolve a company from establishing and maintaining training programmes for its personnel as required by the Technical Instructions. The AN(DG)Rs place a responsibility on employers to have training programmes for their relevant personnel.

## Chapter 3 Development of Training Programmes

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### Content of Training Programmes

- 3.1 The safe transport of dangerous goods by air is a complex subject. A training programme is the means by which a student is taught about their responsibilities in the subject, so they can deal with dangerous goods in a competent and confident manner. A training programme should be developed with the aim of giving the students such a level of knowledge and be structured so that it achieves this aim.
- 3.2 A training programme should be more than a training course. As a minimum, it should consist of a tutored or self-study course, associated material (such as handouts, presentations, visual aids, exercises, etc.) and an assessment of competency. When there is an instructor, there should also be instructor's notes to ensure the training course covers all the required areas and meets its aims and objectives.
- 3.3 Training programmes should be developed using the principles identified in Part B.

### Areas of Training

- 3.4 Failure to structure a training programme may result in essential areas being omitted or dealt with only briefly, whilst others are covered in too great a depth or when they are not relevant to the students being trained.

Successful training will depend on training programmes that have identified the areas which are essential for all personnel, together with those that are important to the students being trained. It will also rely on a particular aspect being covered fully and to the required depth in relation to the student's responsibilities.

Topics not directly related to students' responsibilities may be included if the employer wishes and time permits, but only if they do not reduce coverage of core functions.

An approach to ensure that personnel are competent to perform any function for which they are responsible is provided in ICAO Doc10147.

- 3.5 Where personnel carry out more than one function within a company, all applicable areas of training relevant to each function must be included in the training.

## Objectives of Training Programmes

- 3.6 For training to be effective, training programmes should be developed with objectives in mind. In the associated Training & Test Specification(s) the CAA gives detailed guidance on the areas and topics of training and the objectives of training programmes for:

- a) shippers and cargo agents; and
- b) acceptance personnel of operators and handling agents.

## Competency Assessment (including exams)

- 3.7 The Technical Instructions require that personnel are trained and assessed as competent for the functions commensurate with their responsibilities. To help satisfy this requirement, the training programme may include an exam to be completed under controlled conditions.

The exam paper is a means by which an instructor can establish whether a student has gained sufficient knowledge. It should test all the areas of training, and questions need to be clear and unambiguous.

- 3.8 Where the training is recurrent training, the exam paper should be of the standard and duration appropriate for a full training course, since the aim is to confirm the ability of the student to continue to carry out the functions commensurate with their responsibilities.
- 3.9 Where personnel are responsible for more than one function in relation to dangerous goods, the exam paper used must cover all areas of each role, or separate exam papers should be provided for each role.
- 3.10 ICAO Doc 10147 provides additional guidance and methodology on how personnel may be assessed as competent to perform the functions commensurate with their responsibilities.

## Chapter 4 Instructors

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### **The Abilities of an Instructor**

- 4.1 The competency of an instructor determines whether a training programme will achieve its objectives and train students to a successful conclusion. Instructors need to have knowledge not only of training techniques (training competency) but also of the transport of dangerous goods by air (technical knowledge), so that the subject is covered fully and questions answered correctly and adequately.

Instructors who make obvious basic errors, such that students point them out, or who cannot answer simple questions, may lose credibility or the confidence of their students. Technical knowledge comes from understanding all the requirements for the transport of dangerous goods by air and many instructors have gained this by working in the field for many years.

- 4.2 Where an instructor does not require an approval through the scheme, they should still be capable of meeting the competency standards in Part B, Chapter 3, Appendix 2, and have a sufficient technical knowledge of the subject.
- 4.3 To maintain compliance with the Technical Instructions, instructors who deliver initial or recurrent dangerous goods training programmes must deliver such courses at least every 24 months or, in the absence of this, attend recurrent training (see Part A, Chapter 1, paragraphs 1.12 and 1.13).

### **Approval of Instructors**

- 4.4 Instructors who require to be approved under the training approval scheme are generally those who work for, or intend to work for, training providers, or those who work for operators or cargo agents and are involved in training and assessing dangerous goods acceptance personnel; however, there may be other instructors who also require an approval under the Scheme. Part B, Chapter 3 gives further details.

## Chapter 5 Training of Students

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### Identifying the Training Need

- 5.1 Employers must ensure that employees have received function specific and safety training commensurate with the function(s) for which they are responsible to be deemed competent.

A successful training programme will ensure that personnel receive training for the functions for which they are responsible, and crucially implement the knowledge learnt whilst performing the functions.

Failure to establish the correct level of training for personnel can mean they cannot fully implement what they have been taught and present a risk to the safe transport of dangerous goods by air. Recurrent training is required to maintain students' knowledge of the requirements.

For personnel whose training has expired, a full course may need to be attended, however the experience of the student can be taken into consideration to determine if a revalidation course is suitable.

It should be noted that where training has expired, personnel are not permitted to carry out any functions with respect to dangerous goods, cargo, passengers or mail.

- 5.2 Unless a course is specifically arranged to focus on a certain area, it will usually cover all relevant training areas rather than focus on one area. Some courses may focus only a specific class (e.g., Excepted & Limited Quantities) or be tailored to the needs of a particular group (e.g., packing of dangerous goods).

- 5.3 The Technical Instructions require that function specific training and assessment be provided. Employers need to ensure that training is included on their own products or procedures for personnel to carry out their responsibilities fully.

For example, there are detailed requirements in the Technical Instructions for airbags, but a general training course may not look at them specifically; if a company has procedures that apply to airbags, the personnel must be trained and assessed as competent to perform the functions for which they are responsible.



## **Number to be Trained**

- 5.4 The Technical Instructions gives no guidance on the numbers of personnel who should be trained in any company or organisation; the requirement is that all personnel are trained and assessed commensurate with the functions for which they are responsible.

## **Length of Training Courses**

- 5.5 The length of a training course should be designed so that students have sufficient time to assimilate information without feeling pressurised but are not left with periods when little is happening. Employers need to consider the expertise and background knowledge of the students (and any other factors) to ensure that the course covers all the areas and objectives to the required training level. This is both applicable to classroom and online training.

## **Recurrent Training and Assessment**

- 5.6 Recurrent (or revalidation) training and assessment is required for those individuals who have previously undertaken dangerous goods training and assessment. The aim is to update knowledge in the light of changes to the requirements and act as a means of reminding personnel of those areas which may have been forgotten.

Personnel who are required to undertake recurrent/revalidation training and assessment may have little residual knowledge of the subject or may be well versed in the requirements; therefore, it may be difficult to produce a suitable training course which will fulfil the needs of all personnel. Consequently, before recurrent training and assessment commences, a means may be used to confirm the state of knowledge of the intended students.

The results of this may suggest that the student's recurrent training should consist of a full course. This type of training and assessment may be more suitable for a student who does not have regular contact with dangerous goods.

Alternatively, it may be decided to concentrate on those areas where the student shows weakness. This type of training and assessment may be suitable for a student who is reasonably familiar with the requirements for the transport of dangerous goods by air. However, there is still the need to ensure that the students gain or retain sufficient knowledge of the relevant areas and objectives in Part B, Appendix 1 and subsequently demonstrate this by passing an assessment of competence.

All recurrent training and assessment needs to cover any changes that affect the responsibilities of the students that have occurred since they last received training and assessment.

- 5.7 The Technical Instructions require that personnel receive recurrent training and assessment within 24 months of the previous training and assessment to ensure that competency has been maintained. However, if recurrent training and assessment is completed within the final three months of validity of the previous training and assessment, the period of validity extends from the month on which the recurrent training and assessment was completed until 24 months from the expiry month of that previous training and assessment.

## **Student Exams**

### **Setting Student Exams**

- 5.8 One form of competency assessment is an exam. Guidance to the minimum areas that need to be covered in the student exam is set out in Part B, Appendix 1. All students who undertake initial or recurrent refresher training must sit an assessment of competency at the end of training.

### **Taking the Exam**

- 5.9 The exam should not be a test of memory; the purpose of training is to teach the students how to find and use information. Since the objectives of training are to teach students to use the ICAO Technical Instructions, IATA Dangerous Goods Regulations or any other documents that contain the requirements, the exam should be 'open book': the students should have easy and unrestricted access to the required document(s). Training materials displayed around the room (such as flip charts) should be removed before the start of the exam as these will not be available in the workplace.

However, workbooks provided to students are permitted. The exam is a test for the students, and the instructor should not assist them with the answers, although clarification can be provided where a student is uncertain about a question. Exams need to be invigilated and conducted in line with the procedures outlined in Appendix 3.

## Chapter 6 Keeping of Training and Assessment Records

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### **The Requirements**

- 6.1 The Technical Instructions require that training and assessment records be kept. The AN(DG)Rs state that training records shall be maintained as specified in the Technical Instructions.

### **Evidence of Successful Completion**

- 6.2 The Technical Instructions requires there to be evidence to show that an assessment of competence has been completed satisfactorily. This can be by means of a record of training or in some other appropriate manner. The evidence or record of training and assessment needs to identify what training the student undertook and successfully completed and the date.

### **Content of a Training and Assessment Record**

- 6.3 The Training and Assessment record must include:
- a) the individual's name;
  - b) the month of completion of the most recent training and assessment;
  - c) a description, copy or reference to training and assessment materials used to meet the training and assessment requirements;
  - d) the name and other information that identifies the organization providing the training and assessment (such as registered address); and
  - e) evidence which shows that the personnel have been assessed as competent.

### **Period of Retention for training and assessment records**

- 6.4 Training and assessment records must be retained by the employer for a minimum period of 36 months from the most recent training and assessment completion month and must be made available upon request to personnel or the appropriate national authority. UK Operators should also ensure compliance with UK Regulation (EU) No. 965/2012 regarding retention of training and assessment records for dangerous goods.

## Chapter 7 Reference Documents and Training Material

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### **IATA Dangerous Goods Regulations**

- 7.1 The International Air Transport Association (IATA) produce their own version of the Technical Instructions, the IATA Dangerous Goods Regulations (IATA DGRs). This document is not referred to in the AN(DG)Rs and has no direct legal force in the UK. Whilst it is reasonably compatible, there are a number of differences between the IATA DGRs and the Technical Instructions. Most operators use the IATA DGRs in their day-to-day handling of dangerous goods, which results in handling agents, cargo agents and shippers also using them.

Therefore, training programmes may be based on the requirements of the IATA DGRs, but they need to acknowledge that the "sole authentic legal source material" in the transport of dangerous goods by air is the ICAO Technical Instructions.

### **Availability of Training Programmes from External Sources**

- 7.2 A number of training providers have approved training programmes and can offer training in the responsibilities of shippers and cargo agents or in the acceptance of dangerous goods for air transport. A list of training providers can be obtained from the CAA's website. Other companies may also provide suitable training material for other personnel. In all circumstances, it is the responsibility of the employer of whose personnel are to be trained, to satisfy themselves that the training material from other companies meets the applicable requirements and that personnel are competent to perform any function for which they are responsible.

## Part B

# Guidance Notes on the Training Approval Scheme for the Safe Transport of Dangerous Goods by Air

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## Chapter 1 Introduction

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### **Training Approval Scheme**

- 1.1 The quality of dangerous goods training programmes and their delivery is the subject of the training approval scheme. The scheme is managed by the CAA, who are responsible for all dealings with the training providers and instructors covered by the scheme.
- 1.2 The training programmes produced by training providers require approval; each programme is evaluated by the CAA and once they are satisfied that it meets an acceptable standard an approval is granted (subject to conditions that the CAA sees fit). Regular inspections of the programmes may be made to ascertain that they continue to meet the appropriate standard.
- 1.3 As detailed in Part B, Chapter 3 instructors delivering approved training require approval by the CAA; the approval is in two Parts.
  - a) Part 1 (technical knowledge)
  - b) Part 2 (training competence)

Once the CAA is satisfied that the instructor has met the required standard, an instructor approval will be granted.
- 1.4 A training provider or instructor can appeal against a decision made by the CAA; details of which are contained in Part B, Chapter 5.
- 1.5 Approved training providers are required to allocate a student registration number to all students who satisfactorily complete and pass the exam. Details of which are contained in Part B, Chapter 4.
- 1.6 Financial control of the scheme rests with the CAA; it is self- financing but is not required to make a profit. The charges payable under the scheme are shown in the CAA Scheme of Charges and relate to the grant of approval of training programmes, approval of instructors (Parts 1 and 2), and the issue of student registration numbers. The charges are payable to the CAA and may be subject to revision each year. Details of the current charges can be obtained from the CAA website, Official Record Series 5, Air Operator and Police Air Operator Certification.

- 1.7 The CAA use the criteria contained in these guidance notes to assess training programmes to ensure consistency of quality and standards throughout the UK. They also use the specific criteria identified in Appendix 2 to assess the competence of an instructor.

### **Applicability of the Training Approval Scheme**

- 1.8 Currently the training approval scheme applies to:
- a) training programmes produced by training providers for:
    - i. Shippers' and cargo agents' employees who prepare consignments of dangerous goods for air transport; and
    - ii. Operators' and handling agents' employees who accept dangerous goods for air transport;
  - b) training programmes produced by operators or handling agents for the training of their own dangerous goods acceptance personnel; and
  - c) instructors as specified in Part B, Chapter 3, paragraph 1.
- 1.9 Other types of dangerous goods training programmes, e.g. general familiarisation training, do not need to be approved under the scheme. Similarly, the instructors of programmes other than those listed above do not need to achieve full Instructor Approval, although training programmes of all UK operators are required to be approved by the CAA.

### **Purpose of the Guidance Notes**

- 1.10 These Guidance Notes (i.e. Part B of CAP 483) have been produced to assist training providers to comply with their responsibilities under the AN(DG)Rs and to explain the training approval scheme which is operated by the CAA under those Regulations.

### **Obtaining Copies of Application Forms**

- 1.11 There are four forms used in the training approval scheme:

**SRG2803** Application for Approval of a Training Programme

**SRG2810** Application for Student Registration Numbers

**SRG2801** Application for Instructor Approval - Part 1 (Technical Knowledge)

**SRG2802** Application for Instructor Approval - Part 2 (Training Competence)

Training providers must also complete and submit the training and test specification documents associated with each of the approved training courses as outlined in the SRG2803 application form.

Copies of these application forms can be obtained from the CAA website.



## Chapter 2 Approval of Training Programmes

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### Introduction

- 2.1 Under the Air Navigation (Dangerous Goods) Regulations, certain training programmes produced by training providers, operators and handling agents must be granted a training approval, which is only granted once the CAA is satisfied that a programme meets an acceptable standard. An approval is usually granted for a period of 24 months, after which time it will be necessary to re-apply for approval. A training approval will identify all the training programmes that the training provider has been approved to conduct (as identified below in 2.1).

Subsequent applications for approval of training programmes will be evaluated using the same process as new approval applications.

### Training Programmes

#### Types of Training Programmes

- 2.2 There are five types of training programmes for which approval is required (and a specific approval for training providers wishing to conduct online training). These are:
- a) The functions of shippers and cargo agents in the transport of dangerous goods by air, other than those related to the detailed requirements for radioactive material.
  - b) The functions of shippers and cargo agents in the transport of radioactive material by air.
  - c) The functions of acceptance personnel [operators and handling agents] in the transport of dangerous goods by air, other than those related to the detailed requirements for radioactive material.
  - d) The functions of acceptance personnel [operators and handling agents] in the transport of radioactive material by air.
  - e) The functions of shippers in the safe transport of lithium batteries by air.

**Competency Based Training and Assessment**

- 2.3 Whilst training providers may be used to conduct the training and/or competence assessment the responsibility for ensuring the personnel are competent remains with the employer.

**Adapting for Specific Need**

- 2.4 Once a training programme has been approved it may be adapted for individual need. Typically, this would be to concentrate on a specific class or proper shipping name, without any further approval being needed (but where possible must still meet the requirements of the associated test and training specification(s) identified in Part B, Chapter 2, 2.2). Prior to adapting training for a specific need, training providers should conduct a training needs analysis to ensure that the training aligns to the functions for which personnel are responsible.

**Adapting for Recurrent Training**

- 2.5 Once a training programme has been approved it may be adapted to cover recurrent training without any further approval being needed, but must still meet the requirements of the associated training and test specification

**The Addition of Online Training Provision to an Approval**

- 2.6 Training providers seeking to conduct training through online or distance learning methods must obtain an approval for the addition of online training from the CAA. This approval ensures that online training meets the same standards of quality, effectiveness, and regulatory compliance as in-person training.

1. Training providers wishing to apply for the addition of online training provision to an approval must provide policy and procedure documents detailing:
  - a) A detailed training plan outlining the courses to be delivered online, including:
    - i. Course booking procedure.
    - ii. Course joining instructions.
    - iii. How the training (equivalent to classroom standard) will be delivered.
    - iv. How an appropriate level of interaction with students is achieved.

- v. How you provide access to necessary information to students.
- vi. How will you ensure up-to-date IATA manuals are used?
- vii. How effective invigilation of the exam will be ensured.
- viii. Monitoring for effectiveness and continuous improvement.
- b) A description of the platform and technological infrastructure used.
- c) Procedures for ensuring student identity verification and participation tracking.
- d) Assessment and evaluation methods to ensure competency-based learning outcomes.
- e) A mechanism for instructor-student interaction, including live sessions, discussion forums, or other communication methods.
- f) Compliance with data protection and cybersecurity requirements.
- g) Associated company policies related to the delivery of online training such as student capacity, misconduct, and personal electronic device use.

2. The CAA will evaluate applications based on:

- a) The ability of the training provider to manage the integrity and effectiveness of the training, including (but not limited to):
  - i. The company's policies, processes and procedures associated with the delivery of online training
  - ii. Exam invigilation processes, procedures and standards
  - iii. Associated risk assessments
  - iv. The provision of training materials to students
  - v. The management of the security and integrity of exam papers to students (and their return)
  - vi. The mechanisms for continuous improvement of training materials, exams, and instructor standards

- b) The suitability of the platform used to deliver the training and instructional design for the training.
  - c) Adequate procedures for student engagement, monitoring, and assessment
  - d) Compliance with applicable regulations and standards.
  - e) Instructor qualifications and their capability to deliver online instruction.
3. Approvals for the addition of online training to an approval are subject to periodic review and compliance and training providers must:
- a) Undergo periodic audits by the CAA to ensure continued compliance.
  - b) Maintain accurate records of training delivery, student progress, and assessments.
  - c) Report any significant changes in the training programme or delivery method to the CAA for re-evaluation.
  - d) Ensure that instructors hold a CAA instructor approval and are competent in delivering online training.

Guidance on the processes and procedures that training providers should provide to support applications is provided within the SRG2803 form required to make the application.

### **Management of Training Programme and Approval**

#### **2.7**

In evaluating a training programme for approval, the CAA will assess the training materials for regulatory accuracy, and for compliance to the associated training and test specifications. The CAA will also evaluate how the training provider manages the approval. Training providers should have established processes and procedures (proportionate to the size and complexity of the training provider) for overseeing approval and training delivery, which will be assessed. These assessments will include, but are not limited to:

- a) Identification of the person responsible for the training approval and it's administration.
- b) Accuracy of training materials and exams to the current regulations and training and test specifications

- c) Adherence to the structural requirements and CAA requested items of the training and exam(s) as identified in Part B of the SRG2803 application form
- d) Procedures for the compilation, upkeep, and amendment to all training programme materials for all dangerous goods related courses
- e) Document management and version control
- f) Instructor standardisation and development
- g) Continuous improvement mechanisms and performance statistics (the CAA has developed standalone guidance that can be provided on request)
- h) Student course evaluation
- i) Feedback to students following exam
- j) Record keeping
- k) Associated risk assessments
- l) Quality Assurance/Compliance Monitoring activity

### **Internal Quality Assurance and Compliance Monitoring**

2.8 For Quality Assurance/Compliance Monitoring activity, where approved training providers have more than one CAA approved dangerous goods instructor delivering courses, routine oversight should consist of:

- a) compliance to CAA mandatory training content
- b) instructor competence
- c) exam procedures
- d) Such oversight should be conducted during a period no greater than twelve months (unless otherwise agreed by the CAA). It is not intended that oversight is conducted for the entirety of an individual training course, more that an appropriate amount of time is taken to identify and report on the standards observed in these areas.
- e) Where oversight identifies that instructors have not performed to a satisfactory standard training providers should have a clear process in place to improve performance, compliance to mandatory training aspects (as identified in the associated training and test specification documents) to ensure instructor competence.

- f) A grant of an approval will be based on evaluation of a training programme and will not necessarily be dependent on the CAA observing a course at that time. Subsequent verification visits may be made for the CAA to confirm that the approved training programme is being taught. Where a training programme has been adapted, either for specific need or to provide recurrent training, the CAA may request a copy of the adapted training programme.

The training material assessment for all courses is based on a sample review. It is the responsibility of the Training Provider to ensure that all training materials such as presentation(s), workbook(s), Instructor notes, exams etc. are maintained in accordance with the regulations, and to CAA standards.

### **Use of +1 IATA DGR Manuals**

- 2.9 The CAA permits the use of 1 year old IATA DGRs (annotated in this text to follow as “+1 IATA DGRs”) by Training Organisations for training purposes in the intervening year when the biennial ICAO Technical Instructions have not been published. It is the Training Organisation’s choice whether they purchase the current edition of the IATA DGRs or operate under this +1 IATA DGRs scheme
- 2.10 Using the +1 IATA DGRs in the intervening years, may cause wider implications where some organisations are members of IATA and this should be considered by the Training Organisation before making the decision whether to purchase the IATA DGRs in the intervening year, or operate under this +1 IATA DGRs scheme. It should be noted that this arrangement may not be suitable for Operators as they are required to obtain the current IATA DGR.

In order to implement the use of +1 IATA DGRs, the Training Provider will:

- a) provide one current IATA DGR manual to each instructor presenting the course;
- b) amend each book for every student on the course with the current changes and annotate each in the Record of Addendum as per the procedure mentioned in the IATA DGR; and
- c) ensure each copy of the +1 IATA DGRs is prominently marked on its cover ‘for training purposes only – not for operational use’.
- d) Each time the ICAO Technical Instructions are published the training organisation will provide a copy of the current edition of the IATA DGRs to each instructor, and each student.

- e) Training Providers need to include in their training programmes (and instructors need to emphasise the point) that students are required to use the current IATA DGR when they undertake their normal functions within industry and that the use of +1 IATA DGRs is for training purposes only.
- f) The +1 IATA DGRs may be used in the CAA exams as long as the changes have been correctly annotated. These changes must not be annotated in such a way as to overly help or hinder the students in answering the questions. Exams need to be marked to the current edition of the IATA DGR with no marking allowances made for students using +1 IATA DGRs.
- g) Training Organisations who choose to adopt the use of +1 IATA DGRs, need to:
  - h) provide confirmation to the CAA. A copy of the confirmation form is provided in Appendix 4 and needs to be submitted by 31 January of the year that the policy is implemented.
  - i) have a documented procedure in place.

## **Areas of Training and Objectives of a Training Programme**

### **Identification of Areas and Objectives**

- 2.11 Course materials and exams for approved training courses should follow the training structural requirements and CAA requested items to also be included in training programmes (as identified in the SRG2803), as well as the requirements of the associated training and test specification:

- a) SRG2806 Dangerous Goods by Air
- b) SRG2819 Radioactive Goods by Air
- c) SRG2820 Lithium Batteries by Air

### **CAA Actions**

- 2.12 The CAA will evaluate a training programme against the associated training and test specification(s) and expect all required areas and objectives to be included.

During a verification visit, the CAA may seek to confirm that these areas and objectives of the approved training programme are still being covered for the students being trained.

## Instructors' Notes

### What Instructors' Notes Should Include

#### 2.13 Instructors' notes should:

- a) Identify what equipment and resources are required, e.g. display screens, manuals, posters, flip chart, practice items (hazard warning labels, acceptance checklists, etc.);
- b) For each session:
  - i. remind students that the classroom is the place to make mistakes and that what happens in the training room is confidential and not to be shared with others;
  - ii. detail what is included in the training, indicating specific IATA DGR references;
  - iii. show how instructors will share the course and session objectives with students and when these will be revisited either at the end of the session or course;
  - iv. identify how the information will be presented (e.g. display screens/PowerPoint slides, verbal explanation, handout);
  - v. identify how each session is summarised;
  - vi. ask open or guided questions such as “what questions do you have for me?” so that students get the opportunity to ask questions before leaving the session;
  - vii. indicate how it is confirmed that students have gained an understanding of the subject of that session e.g. when to do exercises; and
  - viii. include references as to when to display the individual slides and when to provide copies of the handouts.
- c) Identify how group exercises, other activities and skills checks are carried out, and how feedback is handled.
- d) Indicate approximate timings including start/ finish times, session durations and breaks/ lunches and how students are made aware of these.
- e) Say what is mandatory and optional in the instructor's notes (if multiple instructors).



- f) Indicate how students are informed of the exam procedures, length of exam, pass mark – including the requirement to achieve a minimum of 75% in Part B.

### **CAA Actions**

- 2.14 The CAA will evaluate the instructor's notes as an integral part of the training programme. During a verification visit, the CAA will seek to confirm that the instructor has notes and is teaching the course in accordance with them.

## **Exams**

### **Exam Papers for Approved Training Programmes**

- 2.15 Training providers are required to use Q&A and marking exam papers for each of their approved training programmes; Dangerous Goods by Air: Shipper, Acceptance, or Dual Function; Radioactive Goods by Air, and Lithium Batteries by Air with the following conditions being met:
  - a) Training providers may choose to either develop their own Q&A and Marking exam papers (and use them as soon as they are ready) or collaborate with other training providers.
  - b) The training and test specification guidance should be used to ensure that all required aspects of the training included.
  - c) Training providers should complete the associated training and test specification documents and ensure it is maintained to reflect changes made to the training materials, regulations, and when exam papers are amended or created. The specification must be completed to clearly identify where aspects of the training appear in the training programmes and the exam paper/question number.
  - d) A minimum of two exam Q&A and Marking papers should be created for each course (Shipper/Acceptance/Dual Function, Radioactive Goods by Air, Lithium Batteries by Air).
  - e) New exam papers should be produced annually using different questions from the previous year (previous exam questions may be used but should not be repeated within a 36-month period). Exam papers should be kept up to date with any changes to regulations.
  - f) Training providers are responsible for the technical accuracy and content of the Q&A and Marking exam papers produced.

- g) The structure of the exams should have a Part A multiple choice questions and Part B practical application questions. The following structure should be followed:
  - i. Typical Shipper Exam; Part A 19 multiple choice questions (each with four possible answers), Part B 4 practical application questions (2 marking and labelling packages, 2 completing shipper's declaration)
  - ii. Typical Acceptance Exam; Part A 21 multiple choice questions (each with four possible answers) Part B 3 practical application questions (2 IATA checklists for students to complete, 1 completion of a NOTOC relating to a received consignment)
  - iii. Typical Joint Shipper Acceptance Exam: Part A 23 multiple choice questions (each with four possible answers), Part B 4 practical application questions (1 asking a student to mark and label a package, 1 completing a shippers declaration, 1 completing an IATA checklist for a package and shippers declaration received, 1 completion of a NOTOC relating to a received consignment).
- h) Yes/No answers are not acceptable
- i) The overall pass mark remains at 80% and students must achieve a 75% pass in Part B to pass the paper.
- j) Each exam's associated marking paper needs to clearly detail its mark allocation per question and include a percentage calculator.
- k) Training providers should have a clear process and a nominated person responsible for the management and oversight of exam papers including exam paper/question creation and upkeep, technical accuracy and review, version control and security.
- l) The security and integrity of exam papers is the responsibility of the training provider and there must be a clear policy in dealing with any breaches.
- m) Training providers should monitor the effectiveness of exam papers produced and undertake analysis of student results to identify and act upon any negative trends. Any subsequent changes made must be recorded and monitored for continued effectiveness.

- n) Training providers should have a marking system in place to verify the accuracy of marking for exam papers plus or minus 5% of the pass mark.
- a) The CAA reserves the right to request details of the management and analysis and assess exam papers from Training Providers as part of their oversight programme.

### **Development of Exams for Bespoke Training Programmes**

- 2.16 Training providers are permitted to provide bespoke training considering an entity's operations (i.e., where a Shipper only transports a specific class or commodity such as printing inks or acids). Where a training course is tailored to meet an entity's training need analysis, the training provider must ensure the training and test specification is taken into consideration for the setting of all training programmes and exam papers. These exam papers must also comply with the relevant conditions outlined in item 5.1.

### **Dual Function Exam Papers**

- 2.17 Students are required to successfully pass an exam for the function commensurate with their responsibilities. Some students, as a result of their role within their companies, require training in more than one function (i.e. the responsibilities of both preparing dangerous goods for carriage by air and conducting dangerous goods acceptance checks). Since such students are required to successfully pass an exam for each function, they can either sit separate exam papers for each function, or a "dual function" exam paper.

### **The Marking System for Exam Papers**

- 2.18 It is the responsibility of the training provider to establish and provide a marking scheme for exam papers. When developing the marking scheme, the marks awarded for the correct answer to a question should be in proportion to both to its importance as well as to its degree of difficulty and align to the associated training and test specification. This should be reflected in the marks awarded and a marking system should not award high marks to easy questions or low marks to difficult or complicated questions just to balance the total.
- 2.19 For multipart questions, marks should relate to each part of the answer and be allocated in a consistent manner. Generally, it is simpler and fairer to students to have a positive marking system that awards marks for each part of a correct answer and adds them together to get a total mark; rather than a negative marking system, where marks are deducted for each incorrect part of an answer from a fixed total. Negative marking systems can produce uneven results for partial answers to the same question from different students.

- 2.20 The associated training and test specification document details the mandatory areas to be included in exams, the level of difficulty of questions, area of training, number of questions per area of training, and points per question and must be followed.
- 2.21 Markers/Trainers need to mark the papers using a different coloured ink to the student, clearly annotate the number of points awarded for each question/part and annotate their name at the bottom of the student's paper. Exams should not be marked in the presence of the student (and students should not have access to the exam paper once it is returned for marking).
- 2.22 Training providers should employ a marking verification system to ensure accuracy or marking. For example, training providers may choose to remark all near pass mark exams by a different instructor or remark a percentage of all exam papers.
- 2.23 Where possible, exams for non-approved training programmes should also follow the conditions outlined above.

### **Procedures for Conducting Exams**

- 2.24 Procedures for conducting exams have been developed and are given in Appendix 3. All training providers need to adhere to these procedures when running exams. The CAA will not arbitrate between training providers and students in disputes/issues relating to exam papers.

### **CAA Actions**

- 2.25 During a verification visit, the CAA may wish to check that the exam papers in use are:
- a) maintained in accordance with the regulations
  - b) current and appropriate;
  - c) being used in accordance with the procedures given in Appendix 3;
  - d) being marked and verified correctly;
  - e) in accordance with the conditions of this chapter.

## **Instructors**

### **Use of Instructors**

- 2.26 An approved training programme may only be delivered by an instructor who has successfully passed both Parts 1 and 2 of the instructor approval or who has passed Part 1 and is giving training courses or sessions (in the presence of an

approved instructor) as part of the demonstration of training competence which is required in order to complete Part 2. It is recommended that instructors provide the supporting training portfolio within six months of the Part 2 observation (to complete the instructor approval). The CAA may extend this period if appropriate.

### **CAA Actions**

- 2.27 Applications for approval of a training programme should be supported by a list of known instructors who will provide the teaching. The CAA consider the list as an integral part of the training programme and check that all the instructors are fully approved or are known to be working towards achieving full approval. In making a verification visit, the CAA will seek to confirm from the training provider that the instructor is fully approved or has passed Part 1 of the instructor approval and is giving the training course as part of development towards Part 2. Instructors delivering approved courses as part of development towards approved instructor status should be shadowed by an approved instructor for the full duration of any course(s) they may deliver as part of their development with written feedback recorded and included in a development plan.

## **Application for Approval**

### **Application Form**

- 2.28 A training provider seeking approval of a training programme will need to apply for approval using form SRG2803, to the CAA. This application form is completed both for an initial approval and for any subsequent applications for approval of a training programme. Once the application form has been received, the applicant should complete all the necessary work to gain approval within 12 months, otherwise a new application may need to be submitted.

### **Charges**

- 2.29 The charges for making an application for the grant of a training approval can be obtained from the CAA's website Official Record Series 5, Air Operator and Police Air Operator Certification (The scheme of charges is subject to public consultation, which is published on the website, notifications are via the CAAs Skywise service).

### **Making an Application to the CAA**

- 2.30 Approval applications need to be submitted to the CAA with at least 45 working days' notice. This timeframe allows for effective workflow planning, ensuring that existing approvals can be reviewed prior to expiry. Where applications are not received 45 working days' prior to the expiry date of an existing approval this may result in an application not being assessed ahead of its expiry.

2.31 Applications are made to the CAA by completing Form SRG2803. The three parts of the form comprise:

**Part A** Details of the applicant and training programmes for which approval is sought.

**Part B** Self-assessment checklist for supporting evidence, structural requirements of training programmes, and CAA requested inclusion items (related to audit findings).

**Part C** Should be completed by training providers applying for the addition of online training to an approval.

2.32 All applications need to comply with this document and be accompanied by the associated and completed training and test specification document(s), training and exam materials, and supporting evidence identified in Part B (and where applicable Part C) of the application form.

2.33 Prior to submission training providers need to ensure that all training and exam materials have been thoroughly reviewed and maintained in line with regulatory changes and meet the requirements of this document.

2.34 If it is identified that the application does not suitably comply with the standards required by this document the CAA reserves the right to return or reject the approval application and only high-level feedback may be given.

2.35 The CAA allocates specific working hours to review and feedback on applications. In most circumstances only materials associated with approved training courses (Dangerous Goods by Air, Lithium Batteries by Air, Radioactive goods by Air) will be reviewed. For applications which may exceed that timeframe (due to errors, inaccuracies, or missing materials), these may be subject to additional fees as outlined in the CAA Scheme of Charges Official Record Series 5, Air Operator and Police Air Operator Certification.

### **Extensions to Current Approvals**

2.36 In normal circumstances the CAA does not authorise extensions to current approvals, it is the training providers responsibility to ensure that applications are submitted within the appropriate time frame.

### **Alternative Means of Compliance**

2.37 Where the training provider wishes to vary from the associated training and test specification or training programme an alternative means of compliance should be provided in writing. As a minimum this should include appropriate training needs analysis, justification for the variation, and evidence of how an

equivalent level of training will be achieved (e.g. competency-based training and assessment may negate the need to conduct specific parts of the training or if areas of the training are covered by other mandatory training for personnel)

### **Actions Following Submission of an Application**

- 2.38 Upon submission of the application and receipt of payment the CAA will schedule and conduct a review of the training programme. A report may be issued to the training provider identifying any non-compliances (findings) or areas for improvement (observations), with any applicable resolution time frames. The training provider will be required to evidence responses to findings and observations to a satisfactory level prior to the issuance of an approval. Upon closure of the report the CAA will issue the approval within 10 working days. It should be noted that the CAA intends to transition to formal oversight of training programmes and audit reports.

### **Unsatisfactory Training Programmes**

- 2.39 If the CAA believe that a training programme is no longer satisfactory, they will advise the training provider of the improvements required and agree an action plan submitted by the training provider. If this does not result in improvement or no remedial action is taken, the training approval may be suspended or revoked. If an approval is suspended or revoked, the training provider will no longer be able to offer or give training under the training approval. A training provider may appeal against the recommendation of the CAA; see Part B, Chapter 5. Subsequently if a training approval is revoked and the training provider would like a training programme to be considered for approval, the CAA will identify what actions need to be taken; each case will be considered on its merits.

## Chapter 3 Approval of Instructors

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### Introduction

3.1 Under the Air Navigation (Dangerous Goods) Regulations, instructors who:

- a) work for, or intend to work for, training providers;
- b) are, or intend to become, training providers

are required to be approved by the CAA, and this Chapter applies to them.

3.2 In addition to paragraph 1.1, the CAA has implemented Regulation 13(8)(c) of the Regulations to require instructors who are employees of:

- a) Cargo agents,
- b) UK operators; and

who train that agent's or operator's own dangerous goods acceptance personnel, to gain approval in accordance with this Chapter.

3.3 Instructors who do not require an approval from the CAA are those who are employees of shippers, cargo agents or operators of non-UK registered aircraft, providing they are training only personnel of that shipper, agent or operator.

3.4 An instructor approval is granted permanently and is not subject to reapproval (but may be observed as part of CAA verification checks), unless some unforeseen factor means that reapproval is necessary or the instructor falls below a minimum standard and the approval is revoked - see paragraph 5.

3.5 Once approved, instructors must be able to demonstrate competency by either instructing or successfully passing an approved course every 24 months. The CAA may seek to confirm this through verification visits.

### Instructor Approval

3.6 The instructor approval is in two parts:

**Part 1** technical knowledge

**Part 2** training competence.

Part 1 is an exam paper, set and marked by the CAA; it is necessary for an instructor to pass this before proceeding and applying for Part 2.



Part 2 consists of the instructor demonstrating to the CAA their ability to teach an approved training programme and their competence across the standards outlined in Appendix 2.

### **Part 1, Technical Knowledge**

- 3.7 It is essential that the instructor is not only competent in delivering training programmes but also has technical knowledge of the subject. The written exam (Part 1 of the instructor approval) has been developed to test this knowledge. Instructors are required to pass this exam before they are permitted to instruct an approved training programme (as part of working towards Part 2).
- a) The technical knowledge exam is an open book exam, using the current edition of the IATA Dangerous Goods Regulations, and assumes the instructor has a much greater depth of knowledge than that which students are expected to acquire by the end of their training.
  - b) The exam consists of:
    - i. a main paper which all instructors are required to take,
    - ii. an optional supplementary paper for those instructors wishing to conduct Radioactive Goods by Air training.
- 3.8 The time permitted for the main exam paper is 3 hours and 1.5 hours to complete the supplementary Radioactive Goods by Air exam paper (these may be sat concurrently or separately). At the end of the time, the CAA reserves the right to make an evaluation of whether an instructor can complete the remainder of the paper(s) if allowed a further reasonable period of time.
- 3.9 Instructors requiring any additional support for the exam should advise the CAA when applying for the exam.
- 3.10 The letter sent advising whether the instructor has passed or failed will identify, in general, where marks were lost. If in the exam the instructor took both a main paper and a supplementary paper and failed only one of them, only the failed paper will need to be retaken.
- 3.11 It is suggested that if an instructor wishes to retake an exam, they allow sufficient time to elapse before retaking it in order to carry out adequate revision of those areas of weakness or to become more familiar with the requirements.
- 3.12 All exams are sat at the CAA Headquarters, Aviation House, Gatwick Airport and exam dates are published on the CAA website.

**Application for Part 1 of the Instructor Approval (Technical Knowledge)**

- 3.13 An instructor applies to sit the exam by submitting a completed Form SRG2801 (Part 1) to the CAA. The form can be obtained from the CAA website. When completing the form, the instructor needs to confirm if they intend to sit the Radioactive by Air supplementary exam paper.

**Part 2, Training Competence**

- 3.14 Training competence covers the ability of an instructor to deliver an approved training programme. The criteria to judge the competence of instructors have been adapted from UK National Occupational Standards for training and development but only those aspects which are relevant to training for the transport of dangerous goods by air have been used.

**Areas of Competence**

- 3.15 There are three areas of competence that are applicable to training for the transport of dangerous goods by air. These are:
- a) Deliver training
  - b) Review progress and assess achievement
  - c) Continuously improve the effectiveness of training.

Each of these areas is sub-divided into units; a total of seven units are required for the transport of dangerous goods by air. These are:

**A Deliver Training**

- A1 Create a climate conducive to learning
- A2 Give presentations to groups
- A3 Facilitate exercises and activities

**B Review Progress and Assess Achievement**

- B1 Monitor and review progress (formative feedback) with students
- B2 Assess students

**C Continuously Improve the Effectiveness of Training**

- C1 Evaluate training sessions
- C2 Evaluate and develop own practice.

Part B, Appendix 2 gives detailed information about the performance elements and background knowledge for each of the units.

**Proving Competence**

- 3.16 Each unit has performance elements and identifies the evidence necessary to demonstrate an instructor has met them and the background knowledge that is needed. Much of the evidence of competence will be assessed by the CAA observing an instructor delivering a training programme. An instructor should create a personal portfolio as evidence of competence.

**Instructors Working Towards Competence**

- 3.17 Instructors working towards a Part 2 Instructor Approval are permitted to deliver approved courses as part of their development towards approved status, however they should be shadowed by an approved instructor at all times with recorded evaluations.

**Instructors Who Already Hold Teaching/Training Qualifications**

- 3.18 Some instructors may already hold competence-based teaching/training qualifications. These may be put forward for consideration as evidence of competence. Details of the qualification will need to be provided; its components will be reviewed to establish what is covered and to identify areas where further evidence is needed. Each case will be considered on its merits.

**Application for Part 2 of the Instructor Approval (Training Competence)**

- 3.19 An instructor applies for Part 2 by submitting a completed Form SRG2802 (Part 2) to the CAA. The form can be obtained from the CAA website.

**Instructors Who Become Unsatisfactory**

- 3.20 The instructor approval is not usually subject to reapproval (i.e. it is granted permanently). However, if the CAA believes during routine observation that an instructor has become incompetent or unsatisfactory and it appears there is no possibility of them improving to an acceptable standard, the instructor approval may be revoked. If an approval is revoked, an instructor will no longer be able to deliver an approved training programme.

An instructor may appeal against the decision of the CAA; see Part B, Chapter 5. If an instructor approval is revoked and the instructor wishes to be considered for reapproval, the CAA will decide what action needs to be taken; each case will be considered on its merits.

**List of Approved Instructors**

- 3.21 The training approval granted to training providers requires that only instructors on the List of Approved Instructors be used to deliver an approved training programme. The List is maintained by the CAA; training providers who wish to

verify the presence of an instructor on the List may contact the CAA for confirmation.

### **List of Available Instructors**

- 3.22 Some approved instructors work only for the training providers by whom they are employed; others wish it to be known they are available to provide training for any training organisation that wishes to use them. The CAA maintains a List of Available Instructors; this is divided into instructors who hold full dangerous goods instructor approvals (i.e. they have passed both Parts 1 and 2 of the approval) and those that have only passed the CAA exam (i.e. Part 1) but could carry out training under an approved training programme as part of proving training competence. The List can be obtained from the CAA. Those who have indicated they wish to be included in the list of available instructors are requested to inform the CAA if contact details change.

## Chapter 4 Training of Students

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### Introduction

- 4.1 A training programme will have been approved if it has been established that it can train students to a successful conclusion and in compliance to the CAA set training and test specifications. It then relies on the instructor and/or the training provider to ensure that training meets the needs of the students as well as covering the mandated areas/topics and objectives of the approved training programme.

### Initial and Recurrent Training

- a) Initial training is usually given to students with the presumption that they have little or no knowledge of the subject. This will mean that all the required areas/topics and objectives in Part B, Appendix 1 need to be covered in detail and checks made as the training progresses to confirm understanding.
- b) Students who receive recurrent training may have little residual knowledge of the subject or may be well versed in the requirements; this means it may be more difficult to produce a suitable training course which will fulfil the needs of all the students. Whilst recurrent training may be tailored to suit them, there is still the need to ensure they gain or retain sufficient knowledge of the relevant areas/topics and objectives in Part B, Appendix 1. Before recurrent training commences, a means may be used to confirm the state of knowledge of the intended students, to facilitate the giving of the necessary training. Where it has been established that the students retain a reasonable knowledge of the requirements, some areas/topics may be abridged to allow training to concentrate on specific items (such as major changes that affect the functions commensurate with their responsibilities).

### Student Exams

#### Setting Student Exams

- 4.2 All students who undertake initial or recurrent/refresher training must sit an exam at the end of training as identified in Part B, Chapter 2.

### **Taking the Exam**

- 4.3 The exam should not be a test of memory; the purpose of training is to teach the students how to find and use information. Since the objectives of training are to teach students to use the ICAO Technical Instructions, IATA Dangerous Goods Regulations or any other documents that contain the requirements, the exam should be 'open book': the students should have easy and unrestricted access to the required document(s). Training materials displayed around the room (such as flip charts) should be removed before the start of the exam as these will not be available in the workplace.

However, workbooks provided to students are permitted. The exam is a test for the students, and the instructor should not assist them with the answers, although clarification can be provided where a student is uncertain about a question. The training provider needs to ensure exams are invigilated; this needs to include at least one CAA approved instructor. The exam must be conducted in line with the procedures outlined in Appendix 3.

### **Marking Exam Papers**

- 4.4 Papers should be marked using the associated marking paper for the exam developed by the training provider. This should be done as soon as possible after the exam, so that students can be given the result without undue delay (for greater marking accuracy it is recommended that exam papers are marked outside of the classroom environment). All students whether or not they achieve the required pass mark should receive feedback of the areas where they have not reached the standard (verbal feedback given to students needs be recorded in appropriate documents). Students who retake an exam should not be given the paper they took previously. Students should not be permitted access to the exam papers once they have been submitted for marking and should not be given feedback on specific questions incorrectly answered (feedback should be of a generic nature, identifying areas of development only, such as when completing a shippers declaration please ensure that check for special provisions that may apply).

### **Keeping Copies of Exam Papers**

- 4.5 Unless other arrangements have been agreed, copies of completed exam papers need to be kept for inspection by the CAA for a minimum of 24 months (as past marked papers are often reviewed during training approval applications). They should show the date of the exam and how they were marked. Details of the pass/fail rate need also to be kept. Exam papers may be kept digitally with an appropriate document control system in place.

**Student Certificates**

- 4.6 While the ICAO Technical Instructions and the IATA Dangerous Goods Regulations no longer specifically require a "certificate" to be issued to students who successfully pass the exam, production of a certificate would meet the requirement that there be confirmation or evidence which shows that the test has been completed satisfactorily.

Training providers are responsible for the production of such confirmation, which should state the type of training undertaken by the student as described in Part B, Chapter 2, paragraph 2.1 (e.g. "the functions of shippers and freight forwarders in the transport of dangerous goods, other than those related to the detailed requirements for radioactive material"). Where a specialist course has been designed for a particular group of students, the type of training shown on the certificate or confirmation should be qualified to reflect any further restriction, e.g. "Infectious substances only" or "Class 3 only".

- 4.7 The certificate or confirmation needs to include the date the exam was passed, an expiry date and a CAA issued student registration number.
- 4.8 Training providers should identify on the certificates that they are a CAA approved training provider and include the approval number (approval to use the CAA logo must also be sought by emailing [content@caa.co.uk](mailto:content@caa.co.uk)).
- 4.9 Copies of certificates or confirmation records need to be kept with the training records, as required by the ICAO Technical Instructions. They should be retained by both the training provider and the company employing the students.

**Student Registration Numbers**

- 4.10 The certificates or confirmation documents given to successful students need to show a student registration number; the number is unique to each certificate. These numbers need to be purchased from the CAA. These can be applied for by submitting a completed Form SRG2810 to the CAA. The form can be obtained from the CAA website.
- 4.11 A unique three letter acronym will be assigned to each approved training provider which must prefix the student registration number on the certificate (student registration numbers purchased by approved training providers under their prefix are non-transferable to another prefix).
- 4.12 A record needs to be maintained of the student registration numbers, showing the numbers and to whom they were issued.

**Records of Training**

- 4.13 Records of training should be kept by both the training provider and the company employing the students. Training records should contain the name of the student, the date of training, the exam paper taken, the exam result, and the name of the instructor leading the course (but only in instances where there is more than one instructor).

Personal details should not be held on these records as they may be called for review as part of an application for a training approval.

**CAA Actions**

- 4.14 During renewal of a training approval and/or verification visit, the CAA may seek to confirm that the appropriate exam paper has been used, and that the exam is conducted and marked in a fair manner. Training and assessment records and student registration numbers will also be checked to ensure they are complete and up to date. A check will also be made of the wording on copies of certificates or confirmation records issued to ensure they correctly reflect the course(s) attended.



## Chapter 5 Appeals Procedure

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### Introduction

- 5.1 In the event of a training provider or instructor being dissatisfied with a decision made by the CAA (e.g. the refusal to recommend the grant of an approval, the intention to recommend revocation of an existing approval), an appeal may be made against the decision. The appeal is made by the training provider or instructor to the CAA. The applicant will be given the opportunity to put forth their full case and will receive a full explanation of the outcome of the appeal; each stage needs to be exhausted before the next stage is commenced

### Appeal Against a Decision by the CAA Inspector

- 5.2 The initial stage in the appeals procedure is for the training provider or instructor to appeal directly to the CAA inspector who made the decision. This appeal should be in writing and clearly indicate the points of disagreement and reasons. The inspector will consider the appeal within 20 working days and advise of the outcome in writing. If the applicant is not satisfied with the outcome of this appeal, a further appeal can be made.
- 5.3 The final appeal is to be made in writing and sent to the Flight Operations Manager for Dangerous Goods (The FOM); it is to include copies of all relevant documents and evidence that the earlier stage has been completed. The FOM will respond within 20 working days of receiving the appeal. The appellant will be given the opportunity to put forth their full case. Unless further consideration is warranted, the appellant will be told the outcome, this will be confirmed in writing within 5 working days. The decision will be final.

### Appeal Against a Decision by the CAA

- 5.4 There is only one stage in an appeal against a decision made by the CAA. Where the CAA has made a decision which affects you, you may be entitled to appeal against it or to ask for a review. If you wish to appeal against a decision or proposal of the CAA, you are entitled to have the decision or proposal reviewed in accordance with Regulation 6 of the Civil Aviation Authority Regulations 1991 (Section 6 of CAP 393)

## Appendix 1 Areas of Training and Objectives for Training Programmes

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Training programmes should be based on the applicable CAA provided training & test specification documents (and subsequently the current requirements in either the ICAO Technical Instructions or the IATA Dangerous Goods Regulations):

- SRG2818 Dangerous Goods by Air Training and Test Specification
- SRG2819 Radioactive Goods by Air Training and Test Specification
- SRG2820 Lithium Batteries by Air Training and Test Specification

The sub-headings in the associated training & test specifications identify:

- the areas of training (e.g. general philosophy, limitations, etc.)
- the objectives of each area of training.

There are also columns included in the document that identify:

- whether a topic is included in the exam
- the level of difficulty of the exam question
- which part of the exam the question is to be included
- the number of questions, and the points per question.

The areas of training should be covered in every training programme; the depth to which they are covered may be tailored to suit the students being trained with the intention that the training is commensurate with their responsibilities. In order to achieve approval (and unless an alternative means of compliance is agreed), all relevant training objectives need to be covered in the training programme submitted.

The training objectives for shippers/packers & cargo agents, and acceptance personnel differs throughout the training and test specification. It is the responsibility of the student (or their employer) to indicate whether they are required to sit a “shippers” or “acceptance” course, and the CAA will not get involved in disputes between students and training providers relating to exams.

Training providers are required to produce their own exam papers annually, the column titled "Include in Exam" shows a Y/N to identify where questions must be included in the students' exam and a single question can cover several areas/objectives.

In general, the objectives for recurrent training are as for initial training, although some areas do not need to be covered to the same depth. Recurrent training may concentrate on particular areas/topics in order to meet the needs of the students.

The training and test specification forms are available from the CAA website.

## Appendix 2 Competence Standards for Instructors

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### Competence in Implementing a Training Programme

The competence of instructors will be judged on their ability to demonstrate that for each of the units of competence in paragraph 2 they:

- Meet the performance elements and have the necessary evidence;
- Have the background knowledge.

Instructors need to show that they meet the performance elements and demonstrate a background knowledge of the requirements.

### Units of Competence

The units of competence are sub-divisions of areas of competence. The areas of competence are:

- Deliver training;
- Review progress and assess achievement;
- Continuously improve the effectiveness of training.

The criteria in the units of competence have been adapted from the UK National Standards for Training and Development. Only those Standards considered relevant for training for the transport of dangerous goods by air have been used. Seven units of competence are required for approval; these are:

**A Deliver Training**

A1 Create a climate conducive to learning

A2 Give presentations to groups

A3 Facilitate exercises and activities

**B Review Progress and Assess Achievement**

B1 Monitor and review progress (formative feedback) with students

B2 Assess students

**C Continuously Improve the Effectiveness of Training**

C1 Evaluate training sessions

C2 Evaluate and develop own practice.

<b>Criteria for the Units of Competence</b>	<b>Unit A1 Creating a Climate Conducive to Learning</b> This unit contains some of the core values related to training and development and emphasises the interaction with and support for students. It pertains to the creation of a climate in which the relationship between instructor and students is conducive to learning.	
<b>Performance Elements and Related Evidence</b>		<b>Background Knowledge</b>
<b>A1.1</b> Prepare the training environment	<ol style="list-style-type: none"> <li>1. Ensure sufficient equipment is available for the training.</li> <li>2. Ensure the layout of the room is appropriate.</li> <li>3. Ensure that sufficient reference documents are available, e.g. IATA Dangerous Goods Regulations, etc.</li> <li>4. Ensure there are sufficient copies of material available, e.g. handouts</li> </ol>	<b>BK1</b> Students' experience level, preferences and expectations (i.e. knowing students' general experience level; their expectations based on company and industry communication).  <b>BK2</b> Potential barriers to learning, including awareness of cultural issues (i.e. knowing why students may not be motivated to learn; the effect the training may have on different cultures).  <b>BK3</b> Putting students at ease (i.e. recognising when students are uncomfortable with the training).  <b>BK4</b> Objectives of training (i.e. understanding the importance of training objectives for the training programme and individual sessions).  <b>BK5</b> Interpreting non-verbal communication (i.e. knowing the types of non-verbal communications and what they mean).
<b>A1.2</b> Establish credentials (experience, qualifications, reputation, connections); gain rapport with students; maintain confidentiality	<ol style="list-style-type: none"> <li>1. Establish rapport with students by presenting credentials and experience which earn credibility in the eyes of the students.</li> <li>2. Create an atmosphere of trust and mutual respect.</li> <li>3. Undertake to preserve the confidentiality of the session.</li> <li>4. Create an environment free of unwanted interruption and distraction (e.g. no mobile telephones or pagers, unexpected visitors, etc.).</li> </ol>	
<b>A1.3</b> Clarify training objectives and methods	<ol style="list-style-type: none"> <li>1. Explain the objectives of the training, the training procedure, briefing and debriefing processes.</li> </ol>	
<b>A1.4</b> Ascertain and support students' needs	<ol style="list-style-type: none"> <li>1. Be familiar with students' backgrounds, experience levels and training records.</li> <li>2. Where appropriate, enquire about students' specific expectations, development objectives and training needs.</li> </ol>	

<b>A1.5</b> Continuously monitor and respond to changes in climate	<ol style="list-style-type: none"> <li>1. Monitor students' behaviour and comments for any changes in climate which signal obstacles to learning (e.g. breakdown in trust, misunderstandings, anxiety about assessment, digressions or diversions away from training objectives, etc.).</li> <li>2. Respond to adverse changes in climate by again establishing trust and focusing on objectives and methods, addressing anxieties, etc.</li> </ol>	
<b>Criteria for the Units of Competence</b>	<b>Unit A2 Giving presentations to groups</b> This unit concerns presenting information to students to assist them with learning.	
<b>Performance Elements and Related Evidence</b>		<b>Background Knowledge</b>
<b>A2.1</b> Present information	<ol style="list-style-type: none"> <li>1. Present information in a manner that takes into account the size and composition of the group.</li> <li>2. Present information clearly and accurately and in a tone, manner, pace and style appropriate to the needs and capabilities of the students.</li> <li>3. Clearly and accurately provide supplementary information on request and where appropriate, to reinforce key learning points.</li> <li>4. Adjust presentation in response to the students' needs.</li> </ol>	<b>BK1</b> How to adapt materials to support learning (i.e. understanding how the materials can be used in different ways to support the training objectives).  <b>BK2</b> Presentation techniques (i.e. techniques for delivering material using a wide range of media and in differing environments).  <b>BK3</b> Questioning techniques (i.e. understanding the different forms of questioning and when to use them).  <b>BK4</b> How to use visual aids (i.e. knowledge of the range of visual aids and their applicability).  <b>BK5</b> How to sequence and pace information.  <b>BK6</b> How to gauge that the language used is appropriate to the student.
<b>A2.2</b> Use presentation materials	<ol style="list-style-type: none"> <li>1. Use visual aids that are legible and accurate.</li> <li>2. Use visual aids in a manner which enhances the clarity of the information presented.</li> </ol>	
<b>A2.3</b> Encourage students to get involved	<ol style="list-style-type: none"> <li>1. Students are encouraged to feel comfortable, ask questions and make comments at appropriate stages in the presentation.</li> </ol>	
<b>A2.4</b> Handle questions	<ol style="list-style-type: none"> <li>1. Answer questions clearly and accurately.</li> <li>2. Rephrase the subject matter when answering questions to assist understanding.</li> </ol>	
<b>A2.5</b> Summarise Information	<ol style="list-style-type: none"> <li>1. Succinctly summarise the information given in the presentation.</li> </ol>	

<b>A2.6</b> Clarify Understanding	1. Regularly check understanding through 'open' questioning.	
<b>Criteria for the Units of Competence</b>	<b>Unit A3 Facilitate exercises and activities</b> This unit focuses on setting exercises and activities; it includes structuring activities to maximise learning and making appropriate adaptations and interventions.	
<b>Performance Elements and Related Evidence</b>		<b>Background Knowledge</b>
<b>A3.1</b> Organize and oversee practical exercises	1. Show how the exercise or activity relates to the objectives. 2. Structure exercises and activities appropriately to maximise learning. 3. Where appropriate, demonstrate alternative actions and responses to reinforce learning points.	<b>BK1</b> Range of possible exercises and activities to promote learning. <b>BK2</b> How to sequence and pace information. <b>BK3</b> How to gauge that the language is appropriate to the student. <b>BK4</b> How to structure exercises and activities to promote learning. <b>BK5</b> Ways to elicit participation (i.e. inviting comment/observation on student's own performance). <b>BK6</b> Range of adaptations and interventions, and when and how to use them. <b>BK7</b> How to give constructive feedback.
<b>A3.2</b> Provide clear instructions and guidance	1. Clearly give information to the students about rules and ways of working. 2. Give sufficient instructions to students to enable them to perform the exercise or activity. 3. Give clear information about the objectives and expected outcomes of the exercise or activity. 4. Ensure that the manner, level and pace of the information is appropriate to the students.	
<b>A3.3</b> Monitor student participation and provide feedback	1. Encourage students to feel comfortable to participate effectively. 2. Clarify any uncertainties which may act as an obstacle to participation.	
<b>A3.4</b> Give timely feedback to students	1. Give timely feedback in a positive and encouraging manner. 2. Ensure sessions are not unnecessarily interrupted.	



<b>Criteria for the Units of Competence</b>	<b>Unit B1 Monitor and review progress (formative feedback) with students</b> This unit covers the formative assessment of students and the review of their performance. It is not about summative (competent/not yet competent) assessment. The monitoring and reviewing of performance is an essential part of the learning process, without it students do not learn to distinguish between not yet competent, competent, and outstanding performance. Instructors need to feel confident of their abilities to monitor and review accurately and fairly a student's performance.	
<b>Performance Elements and Related Evidence</b>		<b>Background Knowledge</b>
<b>B1.1</b> Track students' progress	1. Accurately observe and record changes in students' performance.	<b>BK1</b> Principles, processes and methods of assessment. <b>BK2</b> What constitutes valid and reliable assessments. <b>BK3</b> Purpose of formative assessment. <b>BK4</b> How to put learners at ease. <b>BK5</b> Ways to elicit participation. <b>BK6</b> How to give constructive feedback. <b>BK7</b> How to sequence and pace information and gauge the appropriateness of language for students.
<b>B1.2</b> Conduct formative assessments based clearly on training objectives	1. Provide students with clear and accurate information about the training objectives and the criteria by which they are being assessed. 2. Provide suitable materials and facilities for the assessment. 3. Perform assessments that are valid, reliable and conform to any specified instructions.	
<b>B1.3</b> Keep appropriate records	1. Monitor and record students' attendance: keep attendance records.	
<b>B1.4</b> Review progress with students	1. Give guidance on progress and what further actions are required. 2. Give feedback on progress in a positive and encouraging manner.	

<b>Criteria for the Units of Competence</b>	<b>Unit B2 Assess students</b> This unit covers undertaking summative assessment of students. This is usually conducted at the end of a training course to establish whether the training has been assimilated. It includes conducting the assessment, collecting the results, analysing the results and providing clear and constructive feedback to students individually about the results.	
<b>Performance Elements and Related Evidence</b>		<b>Background Knowledge</b>
<b>B2.1</b> Conduct summative assessment	<ol style="list-style-type: none"> <li>1. Give clear and sufficient guidance on the assessment.</li> <li>2. Correctly carry out the assessment.</li> <li>3. Collect the results of the assessment according to agreed timescales and resources.</li> <li>4. Handle assessment materials and results according to the specified rules of confidentiality and security.</li> </ol>	<b>BK1</b> Principles, processes and methods of assessment.  <b>BK2</b> Types of guidance required by students.  <b>BK3</b> How to administer tests.
<b>B2.2</b> Analyse results to form an assessment decision	<ol style="list-style-type: none"> <li>1. Correctly apply scoring systems.</li> <li>2. Analyse results fairly and impartially.</li> <li>3. Record results accurately.</li> </ol>	
<b>B2.3</b> Provide feedback to students on the assessment decision	<ol style="list-style-type: none"> <li>1. Provide the student with a rationale for the assessment decision.</li> <li>2. Give clear and constructive feedback.</li> <li>3. Fully explain the consequences of the assessment decision.</li> <li>4. Record the feedback in appropriate documents.</li> <li>5. Issue appropriate documentation to the student.</li> </ol>	

Criteria for the Units of Competence	<b>Unit C1 Evaluate training sessions</b> This unit is about ensuring that training and development sessions are systematically reviewed to identify potential improvements.	
Performance Elements and Related Evidence		Background Knowledge
<b>C1.1</b> Track students' performance against agreed criteria	<ol style="list-style-type: none"> <li>1. Monitor and respond to data indicating improvements or deterioration in training effectiveness.</li> <li>2. Take measures to ensure that the cause of performance enhancement is retained as a standard part of training.</li> <li>3. Take measures to ensure that the cause of downward trends in performance standards is corrected.</li> </ol>	<b>BK1</b> Methods of assessing and improving training session effectiveness (i.e. knowledge of various methods for assessing training effectiveness, e.g. subjective and objective student responses, management/customer/colleague evaluation of enhancements to operational performance, questionnaires).
<b>C1.2</b> Track training session processes	<ol style="list-style-type: none"> <li>1. Monitor trends in training session delivery covering training methods, organisation of sessions, use of resources and content.</li> </ol>	
<b>C1.3</b> Elicit informal, ongoing feedback from students	<ol style="list-style-type: none"> <li>1. Regularly and systematically encourage and register informal reactions and responses to the quality of the training experience.</li> </ol>	
<b>C1.4</b> Elicit formal course evaluation from students	<ol style="list-style-type: none"> <li>1. Design, develop and/or adopt a formal method of collecting students' evaluations of training sessions and experience (e.g. questionnaires).</li> <li>2. Regularly analyse formal feedback, interpret it and act on it, to enhance training effectiveness.</li> </ol>	
<b>C1.5</b> Identify and implement areas of improvement	<ol style="list-style-type: none"> <li>1. Analyse data from evaluations.</li> <li>2. Interpret the data and recommend improvements to the training programme.</li> <li>3. Implement improvements and monitor effectiveness of the change.</li> </ol>	

Criteria for the Units of Competence	<b>Unit C2 Evaluate and develop own practice</b> This unit pertains to self-improvement. Instructors often have a large proportion of the responsibility for the continuing development of their expertise, credibility and effectiveness; as well as ensuring they keep up with developments and improve their skills and knowledge.	
Performance Elements and Related Evidence		Background Knowledge
<b>C2.1</b> Collect feedback about performance from others (trainers, students, etc.)	<ol style="list-style-type: none"> <li>1. Obtain systematic feedback on students' perceptions of instructor effectiveness from students and other relevant sources (e.g. those who work with students, managers, assessors, etc.).</li> <li>2. Accept constructive criticism.</li> </ol>	<b>BK1</b> Methods of assessing and improving own performance.  <b>BK2</b> Methods and rationale for writing a personal development plan based on performance feedback.  <b>BK3</b> Knowing how to observe, record, interpret and evaluate evidence on own performance.  <b>BK4</b> Knowing how to prioritise and set realistic development objectives.
<b>C2.2</b> Regularly review own performance, strengths and development needs	<ol style="list-style-type: none"> <li>1. Review all available data on personal performance and create a development plan.</li> </ol>	
<b>C2.3</b> Maintain a written development record against a development plan	<ol style="list-style-type: none"> <li>1. Keep a documentary personal development plan based on the feedback referred to in Elements C2.1 and C2.2.</li> </ol>	
<b>C2.4</b> Keep abreast of developments from Regulator, trade press, etc.	<ol style="list-style-type: none"> <li>1. Show interest in keeping up to date with dangerous goods developments,</li> <li>2. information from the Regulator and industry views.</li> </ol>	

## Appendix 3 Exam Procedures

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### Introduction

- 1.1 The nominated person and each instructor at the Training organisation is responsible for ensuring the proper conduct of the exams by observance of these procedures. These procedures are not intended to be onerous, but to ensure that the exam is undertaken in a fair way for each student with no undue advantage or disadvantage. If a situation arises which is not covered by these procedures, the advice of the CAA should be sought.

### Definitions:

<b>Nominated Person</b>	the person at the training provider undertaking the role of being the main point of contact for the CAA.
<b>Instructor</b>	the person responsible for ensuring that correct exam procedures are followed for the duration of the exam.
<b>Invigilator</b>	the additional person(s) responsible for supporting the instructor for invigilation of exams. The invigilator is not required to be a CAA approved instructor.
<b>Student</b>	the Learner/Individual who is sitting the exam.

### Preparation for the Exam

- 1.2 Exam papers must be stored securely at all times so that no unauthorised person has access to them.
- 1.3 Before the exam starts, the training organisation should print copies of the exam papers. For best results the papers should be printed on a colour printer. However, if this is not available then training organisations may photocopy the papers (in black and white).
- 1.4 Sufficient copies of the different versions (Shippers/Operators/Dual Function/Derivatives) of the exam papers should be printed for the respective disciplines of all students undertaking the exam.
- 1.5 Different versions of exam papers need to be issued to students when sitting an exam to preserve the security and integrity of assessments.
- 1.6 If a student is resitting an exam, the training organisation needs to ensure that students does not receive the same exam paper that was previously sat.

- 1.7 For the students sitting the Operator's exam, two copies of an appropriate Acceptance Checklist need to be supplied for each student, such as the current checklist contained in the IATA Dangerous Goods Regulations or available on the IATA website, [www.iata.org](http://www.iata.org). Alternative Acceptance Checklists, such as those used by particular operators or handling agents, may be issued to students.

### **Use of Calculators in Exams**

- 1.8 The student is responsible for providing a portable, working calculator for their own use in the exam (a fault in a calculator will not normally be considered as justifying the giving of special consideration to the user), mobile devices should not be used as calculators.

### **Exam Environment**

- 1.9 All students must sit the exam under the same exam conditions to ensure that the students are neither advantaged nor disadvantaged (unless previously agreed due to individual circumstances).
- 1.10 Any room in which the exam is conducted must provide students with appropriate conditions in which to take the exam, i.e.
- a) Be quiet and free from distraction; and
  - b) have adequate space to work in (so that students may not see the paper of their neighbour).
- 1.11 Training materials or examples that have been produced during the course and displayed around the room should be removed from the walls, e.g. how to work out Q values or Packing Groups etc. Printed posters showing labels are permitted (as these may well be displayed at the students' place of work). Workbooks and materials issued to the student during the course are acceptable.

### **Exam Invigilation**

- 1.12 The nominated person must ensure that instructors carry out effective invigilation. The nominated person will appoint the instructor(s) and or invigilator(s); any relative of a student in the exam room is not eligible to serve as the sole invigilator.
- 1.13 The instructor is the person in the exam room responsible for the conduct of a particular exam in the presence of the students. Instructors must give their whole attention to the proper conduct of the Exam.
- 1.14 An instructor must be present throughout the duration of the exam and arrangements must be such that each student in the exam room can be observed by a CAA approved Instructor at all times.

- 1.15 For exams conducted via virtual classroom the nominated person must ensure that sufficient resource is provided to ensure that there are no periods of time where students taking the exam are left unsupervised. For example, it is common practice for support to be given to students 1-2-1 via a private online room. Where this practice is part of a training providers exam procedure an invigilator will need to be used for the duration of the exam to ensure that there is no break in the supervision of students sitting the exam.
- 1.16 For virtual classroom exams exceeding 8 students additional invigilators may be required to maintain effective supervision of exams.
- 1.17 Whilst the CAA does not discourage the use of artificial intelligence (AI) software to aid invigilation of exams, it is subject to review and acceptance from the CAA. It should be noted that training organisations need to ensure that exams are invigilated and supported by a CAA approved instructor.
- 1.18 This exam procedure must be available to each Instructor in the exam room (classroom or virtual).

## **The Beginning of the Exam**

### **Persons Present**

- 1.19 The CAA reserves the right to visit training organisations during the period of an exam to sample the arrangements made for the security of exam materials and for the conduct of the exam.

### **Exam Papers, Stationery, Materials and Other Equipment**

- 1.20 The instructor must:
- a) Issue the relevant paper (Shipper/Operator etc..) for the students, and
  - b) Ensure that students only take into the exam room:
    - i. IATA DGR (or ICAO Technical Instructions);
    - ii. Workbooks and/or training materials issued to individual students;
    - iii. Calculators.

### **Starting the Exam**

- 1.21 Before students are permitted to start the exam the Supervisor must:
- a) Ensure that students are seated;
  - b) Inform the students that they are now subject to the administrative arrangements of the exam;

- c) Advise students that mobile devices **MUST** be switched off or on silent and out of reach (Instructors need to ensure that they are not used during the exam unless otherwise agreed due to extenuating circumstances);
- d) Check that students have all the necessary material to enable them to complete the exam;
- e) Draw to the students' attention the instructions printed on the front of the question paper;
- f) Remind them of the duration of the exam. The exam duration is 3 hours (however, this may be extended at the discretion of the instructor);
- g) Ensure that details of any known errors in exam paper(s) are brought to the notice of students;
- h) Instruct students to enter their names in full, company name, and the date on all the answer papers where applicable and complete other details as required;
- i) Remind students that they are forbidden to communicate with, in any way seek assistance from or give assistance to another student whilst they are in the exam room;
- j) Announce clearly to the students that if there are no other questions the exam will begin and indicate the stated finishing time for the paper; and
- k) Instructors must record the start time of the exam.

## **During the exam**

### **Supervision of the Students**

- 1.22 Instructors and/or invigilators must supervise the students throughout the whole time the exam is in progress and pay complete attention at all times to this duty.
- 1.23 Instructors are permitted to answer students' questions to clarify any misunderstandings or ambiguities. They must not, however, give the student any help, clues or advice as to how to answer the question or comment on the work of the student.

### **Leaving the Exam Room**

- 1.24 Should a student wish to leave the room for a valid reason, e.g. to visit the lavatory, the instructors should take measures to ensure that the student has no



opportunity to communicate with others during that period (e.g. make sure mobile phones are left in the room).

- 1.25 No more than one student should leave the exam room at any one time.
- 1.26 Once the exam paper has been returned to the instructor, students are not permitted to review or access the paper. Where it is identified by an instructor that a student has missed answering a question(s), the exam may be returned to the student.
- 1.27 A student who has finished their exam and has been allowed to leave the exam room early must hand in their paper; the student should not be re-admitted.
- 1.28 Irrespective of whether or not any students leave the exam room early, no exam paper may be removed from the exam room.

### **Late Arrival of Students**

- 1.29 A student who arrives after the start of the exam may be allowed the full time for the exam subject to the training organisations procedures and instructor discretion.
- 1.30 Students arriving after the exam has finished should not be allowed to take the exam, subject to the training organisations procedures and instructor discretion.

### **Irregular Conduct**

- 1.31 It is the duty of the nominated person to ensure that all cases of irregularity or misconduct in connection with the exam are reported to the employer of the student and reported to the CAA as soon as possible. The instructor is empowered to expel a student from the exam room, but such action should only be taken when it is felt that it is essential or when the continued presence of a student would cause disruption to others.

### **At the end of the exam**

#### **Finishing the Exam**

- 1.32 A student may finish and leave the exam room at any time. However, they should not be allowed to make alterations to their paper after they have declared that they have finished the paper.
- 1.33 At 60, 15, and 5 minutes before the end of the exam the instructor should inform students of the time remaining.
- 1.34 Students who arrive late are permitted the full working time to complete the exam. Such students should be allowed to continue after the original finishing time and be told to stop writing after the agreed time allowed has been expended.

- 1.35 At the Instructors discretion, reasonable additional time may be given to students who require this.
- 1.36 Students must not be permitted access to the exam paper once they have completed and returned the exam paper.

## **After the Exam**

### **Marking of Exam Papers**

- 1.37 Exam papers should either be marked by the instructor or be handed to the training organisation who is responsible for getting the papers marked.
- 1.38 Exam papers should be marked in accordance with the marking scheme for the paper and in a distraction free environment, away from the students.
- 1.39 Exam papers must be kept by the training provider for a minimum of 24 months.

## Appendix 4      Use of +1 IATA DGR for training purposes only

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### Confirmation

This is to confirm that (insert name of company) wish to operate the +1 IATA DGRs scheme for the year (insert year)

We confirm that:

### Use of IATA DGRs

Each time the *ICAO Technical Instructions* are published the aforementioned company will provide to the instructor and each student the corresponding current IATA DGR.

In the intervening years between the ICAO Technical Instructions publication, the aforementioned company will:

- a) provide one current IATA DGR manual to the instructor presenting the course;
- b) amend each book for every student on the course with the current changes and annotate each in the Record of Addendum as per the procedure mentioned in the IATA DGR; and
- c) ensure each copy of the +1 IATA DGRs is prominently marked on its cover 'for training purposes only – not for operational use'.

### Training Programme

We have included in our programme the point that students are required to use the current IATA DGR when they undertake the functions for which they are responsible within industry and that the use of +1 IATA DGRs is for training purposes only.

### Use of +1 IATA DGRs in CAA Exams

Amended +1 IATA DGRs will be used in the CAA exams. These amendments do not overly help or hinder students in answering questions in the CAA exam. Exams need to be marked to the current edition of the IATA DGR with no marking allowances made for students using +1 IATA DGRs.

(please return by email to the CAA at [dgo@caa.co.uk](mailto:dgo@caa.co.uk))

Name:

Title

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Appendix 4

Use of +1 IATA DGR for training purposes only

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Date: