Quality Assurance Framework
Frequently Asked Questions (FAQs)
Frequently Asked Questions

Document Owner – Adam Davis

Version 6 August 2019

avsec.qa@avsec.caa.co.uk
Contents

Aviation Security Acronyms and Terminology ................................................................. 4
Overview ............................................................................................................................ 5
Documentation .................................................................................................................. 6
Registration ....................................................................................................................... 7
Questions specific to Independent Instructors .............................................................. 10
Self-assessment ................................................................................................................. 11
External Quality Assurance visit .................................................................................. 13
Standards .......................................................................................................................... 16
Charges ............................................................................................................................... 22
External Quality Assurers (EQAs) .................................................................................. 23
Computer based training/e-learning ............................................................................... 24
Complaints and Disclosures ............................................................................................. 24
After Registration – Amending my details .................................................................... 24
After the Visit – What happens next? ............................................................................. 25
Annex A – Registering as a Training Provider Common Scenarios ......................... 27
Table 1 – Registered Training Provider Scenarios ....................................................... 28
Annex B – Table of Overall Grades and Re-visits .......................................................... 29
Annex C – Table of DfT Aviation Security Syllabuses in-scope .................................. 29
### Aviation Security Acronyms and Terminology

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>AAA (Triple A)</td>
<td>See Hold Baggage Reconciliation</td>
</tr>
<tr>
<td>Airport Supplies</td>
<td>Items intended to be used or sold in the security restricted area of an airport.</td>
</tr>
<tr>
<td>ASM</td>
<td>Aviation Security Manager – also referred to as ‘Level 3’.</td>
</tr>
<tr>
<td>AvSec</td>
<td>Aviation Security.</td>
</tr>
<tr>
<td>CBT</td>
<td>Computer Based Training – the term still used in aviation security for E-learning as stated in EU regulations.</td>
</tr>
<tr>
<td>CIN</td>
<td>Certificated Instructor – by DfT to deliver AvSec training Syllabuses.</td>
</tr>
<tr>
<td>CPD</td>
<td>Continuing Professional Development</td>
</tr>
<tr>
<td>CTC</td>
<td>Counter Terrorism Check</td>
</tr>
<tr>
<td>CV</td>
<td>Curriculum Vitee or Resume</td>
</tr>
<tr>
<td>DfT</td>
<td>Department for Transport.</td>
</tr>
<tr>
<td>Directed Party</td>
<td>This is the person an entity the CAA regulates has appointed to be legally responsible for security at the entity – this would be the person the CAA writes to in any legal proceedings but is often also the senior contact point at the entity.</td>
</tr>
<tr>
<td>Entity</td>
<td>Relates to an Airport, Airline, Inflight Supplies facility, or cargo facility.</td>
</tr>
<tr>
<td>EQA</td>
<td>External Quality Assurer – the term is used throughout the framework to refer to the group of externally appointed quality assurance staff.</td>
</tr>
<tr>
<td>GSAT</td>
<td>(General Security Awareness Training) – This is a short training course all staff are required to complete if they hold an airside pass (some airports also require staff in ‘landside’ public areas to complete this training). This is usually an off the shelf CBT product.</td>
</tr>
<tr>
<td>GSO</td>
<td>Ground Security Operative - term used to refer to syllabus – may also be referred to as ‘ground’ and ‘Level 1’. Commonly referred to as Security Officers/Airport Security Officers (ASO’s)/Guards (The CAA avoid the use of the term ‘guards’ so as to not confuse them with warranted officers)</td>
</tr>
<tr>
<td>GSS</td>
<td>Ground Security Supervisor - term used to refer to syllabus - also referred to as ‘ground’ and ‘Level 2’. Commonly referred to as Security Supervisors/Team Leaders/Security Team Leaders</td>
</tr>
<tr>
<td>Hold Baggage Reconciliation</td>
<td>(More commonly referred to as AAA/Triple A) – This is terms used for all functions which involve matching passengers’ against their hold luggage and originates from the Lockerbie incident. The principles of Hold Baggage Reconciliation are that all hold bags must fly on the same aircraft as their reconciled passenger or be subject to additional security protocols.</td>
</tr>
<tr>
<td>IFS</td>
<td>Inflight Supplies – airline catering.</td>
</tr>
<tr>
<td>KC</td>
<td>Known Consignor – this is a company which produces items which are required to fly as cargo but are difficult to screen (x-ray) – the KC is therefore subject to a security regime which ensures that the cargo is part of a secure supply chain and then exempt from screening.</td>
</tr>
<tr>
<td>Abbreviation</td>
<td>Description</td>
</tr>
<tr>
<td>--------------</td>
<td>-------------</td>
</tr>
<tr>
<td>NASP</td>
<td>National Aviation Security Programme – Contains documents that make up the regulation of aviation security including EU regulation and more stringent measures defined by the UK.</td>
</tr>
<tr>
<td>NXCT</td>
<td>National X-ray Competency Test.</td>
</tr>
<tr>
<td>Ofqual(Ofsted</td>
<td>National qualification regulators providing inspections of schools, colleges and vocational qualifications.</td>
</tr>
<tr>
<td>QAA</td>
<td>Quality Assurance Administrator – Responsible for the administration of the quality assurance framework, liaises with training providers and EQAs.</td>
</tr>
<tr>
<td>QA</td>
<td>Quality Assurance or IQA – Internal Quality Assurance.</td>
</tr>
<tr>
<td>QAWG</td>
<td>Quality Assurance Working Group – A group made of industry who meet twice annually to discuss the framework, results and propose changes. They are a subgroup of the Training Steering Group (TSG).</td>
</tr>
<tr>
<td>RA (Cargo)</td>
<td>Regulated Agent - cargo term, this refers to a cargo site which is registered with the CAA.</td>
</tr>
<tr>
<td>RoC</td>
<td>Recognition of Competence – An alternative to certificated instructors with fewer requirements available for the delivery of certain syllabuses only.</td>
</tr>
<tr>
<td>RFX</td>
<td>Recognition of Firearms and Explosives – a common subject most security staff are trained in.</td>
</tr>
<tr>
<td>RFXI</td>
<td>Recognition of Firearms and Explosives. RFXI references the Instructors Syllabus.</td>
</tr>
<tr>
<td>SAR</td>
<td>Self-Assessment Report form – completed by training providers prior to a quality assurance visit.</td>
</tr>
<tr>
<td>SCD</td>
<td>Single Consolidated Direction – contains more stringent measures – additional regulations issued by the UK on top of EU baseline measures.</td>
</tr>
<tr>
<td>SC</td>
<td>Security Clearance – level of security clearance above SC held by CAA colleagues including EQAs.</td>
</tr>
<tr>
<td>Stakeholders</td>
<td>Reference to training providers, instructors, CAA colleagues, External Quality Assurers, Clients, Security Managers, HR Departments, DfT for example.</td>
</tr>
<tr>
<td>SOP</td>
<td>Standard Operating Procedures (also referred to as local procedures).</td>
</tr>
<tr>
<td>TSG</td>
<td>Training Steering Group – made up of industry professionals who hold the CAA accountable for the training strategy and actions of the CAA. Meet twice yearly.</td>
</tr>
</tbody>
</table>
Overview

As part of the CAA’s objective to professionalise aviation security training in the UK the Quality Assurance Framework launched on the 1st April 2019. Regulation required from the 1st May 2019 any instructor delivering Department for Transport (DfT) aviation security syllabuses to be linked to a CAA-registered training provider and work towards implementing the quality assurance framework. The CAA will visit training providers when they indicate they are ready (within 12 months of phase launch date) to conduct external quality assurance. This will create a baseline quality standard for aviation security training in the UK.

The CAA carried out a number of briefing sessions across the UK to brief instructors and industry in 2018 on the Quality Assurance Framework. This document contains the most frequently asked questions from these briefings along with questions received by email.

If you have any queries or questions regarding the Quality Assurance Framework, you may find the answer within this document. Please refer to this document first before contacting us with your query.

If your question can not be answered through this document please contact the Quality Assurance Framework inbox avsec.qa@avsec.caa.co.uk. We will update this document regularly with any additional questions we are asked and as the Quality Assurance Framework develops.

Documentation

All documentation relating to the Quality Assurance Framework is available on our website at: https://www.caa.co.uk/Commercial-industry/Security/Training/Quality-Assurance-Framework-for-Aviation-Security-Training/ we recommend familiarising yourself with the documents available.
Registration

1. **Q:** Can a certificated instructor be linked to multiple providers?
   **A:** Yes. This must be reflected in all training providers’ registrations.

2. **Q:** Do all training providers have to register regardless of which phase they fall under?
   **A:** Yes. All training providers must register. All aviation security training must be provided through a CAA-registered training provider from 1st May 2019.

3. **Q:** Is there a limit on how many sites an organisation can have and still be subject to only one visit?
   **A:** No. There must be one overarching quality assurance process in place which is the same for every site; there is no limit to the number of sites.

4. **Q:** What if an independent instructor has all the documentation and materials for an entity which contracts them in? Will two visits be required?
   **A:** In this case it is worth considering if the entity needs to register as a provider. If both the independent instructor and the entity are registered, there will need to be two visits (1 provider = 1 visit). However, the entity which contracts the independent instructor will not need to register if all its training is being provided by the independent instructor and it conducts none of its own training.

5. **Q:** Will every instructor with a CIN be quality assured?
   **A:** Not necessarily. There will be a sampling of instructors during the external quality assurance visit as part of the overarching quality assurance strategy the provider has in place.

6. **Q:** What happens if I do not register?
   **A:** Any instructors who are not linked to a training provider will not be certificated until they are linked to a registered training provider. Under regulation, DfT aviation security training must only be conducted by CAA-registered training providers.

7. **Q:** What about the GSAT and Hold Baggage Reconciliation Syllabuses and the Aircraft Search Training package?
   **A:** We have not yet set a timetable for reviewing these syllabuses/packages and will carefully consider if/how they fit into the quality assurance framework.

8. **Q:** How do I know I need to register as a training provider or link myself to a training provider?
A: Annex A has a table listing different scenarios which may fit your current circumstances and what actions you need to take. If your exacting circumstances cannot be found in the table, contact us to discuss: avsec qa@avsec.caa.co.uk

9. Q: If I only train safety or customer service elements of an aviation course do I need to register as a training provider or be linked to a training provider who is registered?
A: No. Only aviation security training under UK NASP syllabuses are covered by the quality assurance framework. If you do not train any of the syllabuses covered by this (where a CIN or RoC is required) you do not need to be part of the quality assurance framework.

10. Q: What happens if I am a CIN instructor and choose not to take part in the quality assurance framework?
A: All directed parties will be required to use registered training providers per the variation direction to the Single Consolidated Direction (SCD). All directed parties were contacted in May 2019 to advise that they may only use training providers who are registered with the CAA. Certificated instructors who are not linked to a registered training provider from May 2019 onwards will be contacted and removed from the list.

11. Q: What is a directed party (detailed on the registration form)
A: Directed Parties are the following: Airports, Airlines, Regulated Cargo Agents and Inflight Suppliers – essentially the entities directly ‘directed’ by the 1982 Aviation Security Act to comply with the NASP.

12. Q: What does RFXI mean?
A: RFXI is the Recognition of Firearms and Explosives Instructor course that instructors attend if they want to teach RFX modules from their syllabuses. Only 4 providers currently deliver this syllabus and only these 4 providers will be quality assured for RFXI under phase 1 of the implementation.

13. Q: When must the CAA quality assurance visit take place by?
A: Different syllabuses have different deadline dates for visits. Please see Annex C for details of launch dates and deadlines for CAA visits for each syllabus.

Framework

14. Q: How does this fit in with compliance audit activities?
A: The quality assurance framework is comparable to SeMS in that it looks at how training providers ensure their own quality assurance standards are met and how continuous improvement is implemented in their training. At this time
we have no plans to change how existing compliance audit activities are undertaken with respect to training.

15.
Q: How deep is the Quality Assurance Framework going to go? Will you observe actual training?
A: Currently, the focus is to look at the quality assurance processes you have in place, similar to SeMS. However, once the framework is fully implemented we will consider future plans, which may include the observation of training.

16.
Q: How has the CAA conveyed the importance of investing in this process, getting training providers and others to invest the required time and money from a high level?
A: We have briefed stakeholders, including industry leaders, through other avenues such as industry steering groups, face to face meetings and through pursuing the importance of investing in training at formal feedback points in compliance activities.

17.
Q: What are the gradings – and why are there 4 overall gradings but only three listed in the standards document?
A: The ‘Quality Standards’ document, as well as the ‘Self-Assessment Report’ (SAR) form and ‘QA Visit Report’ have three boxes to indicate individual standards for the relevant aspect – these are ‘requires improvement’, ‘good’ and ‘outstanding’. The overall grading system has an additional final grade, ‘good with outstanding features’ and it is the number of individual graded aspects that decide which overall grade is achieved. The reason there are 4 overall grades is to make transition between grades, particularly at the higher end, more achievable. Refer to Annex B – Table of Overall Grades and Revisit Periods.

18.
Q: Is the framework similar to Ofqual and Ofsted?
A: No. Ofqual regulates national qualifications (which our syllabuses are not) and Ofsted is responsible for inspections of schools and colleges and whilst some of the aspects they review are similar, they apply considerably higher standards than we are implementing.

19.
Q: Will other courses which are not one of the DfT syllabuses be externally quality assured as part of this quality assurance such as a customer service course?
A: No. Only DfT aviation security syllabuses in scope fall under the Quality Assurance Framework.
Questions specific to Independent Instructors

20.  
Q: I am an independent instructor. What happens when I go to another provider to deliver training?  
A: As long as you fall under the umbrella of a provider, whether this is your own umbrella or the umbrella of the entity you deliver to, you are covered. If as an independent instructor you only ever work for other providers, you may want to consider not registering as a provider yourself. The provider will need to complete the change of details form to link you to their provider.

21.  
Q: As a completely independent instructor, is there a requirement to standardise (aspect 2.2d of the Standards Specification)?  
A: There is no requirement but you may still find standardisation activities useful, particularly through peer review.

22.  
Q: I am a completely independent instructor, how can I undertake certain aspects of quality assurance that require multiple members of staff e.g. quality assurance of training delivery?  
A: Your quality assurance strategy will identify how you sample for quality assurance – including how often you do this. We would then recommend that you consider conducting these aspects through peer review with other instructors.

23.  
Q: I only conduct training on behalf of the DfT (e.g. overseas as part of ASSET). Do I need to register as a training provider?  
A: Yes, if you carry out any training as a certificated instructor you must either be a registered training provider or linked to one. Certificated instructors who are involved in training as part of ASSET will fall into the quality assurance framework and will need to register as a training provider or be linked to a registered training provider.

24.  
Q: Can I link myself to a training provider but not take part in their quality assurance?  
A: No, if you are linked to a training provider/s, that training provider/s will take responsibility for your quality assurance and at their quality assurance visit we may ask for documentation to evidence that you have been quality assured by them and follow all policies and practices they have in place. It is not acceptable to ask a training provider to link your CIN to them and have no other interaction/involvement with them. If this was to be identified during quality assurance visits, sanctions may be sought against both the training provider and certificated instructor.
Self-assessment

25. **Q:** Why do I need to complete a ‘Self-Assessment Report’ form?  
**A:** The EQA will use your Self-Assessment Report to request documentation and begin discussions during your visit. It will allow them to understand prior to the visit about your training provider and which grades you have assessed your provider as achieving. It also allows you to understand your own strengths and weaknesses prior to the visit and ensure critical areas meet at least ‘good’.

26. **Q:** What happens if I do not submit a ‘Self-Assessment Report’ form?  
**A:** Your Self-Assessment Report must be completed in full and emailed to the CAA at least 10 working days prior to your visit. If we do not receive it by the deadline, we will contact you to discuss the circumstances and may suggest cancelling the visit. (Note visits cancelled with less than 14 days’ notice will be charged the full visit charge).

27. **Q:** What do I need to record on the ‘Self-Assessment Report’ form?  
**A:** The form should be factual and avoid over use of descriptive text. The EQA will want to see where the information for each aspect can be found, what documents and where stored. Please try to include as much detail as possible. ‘I.e. Aspect 1.2 - All policies are in the XYZ Company Policies document on the shared drive. There is a specific malpractice policy for training in the induction folder. All policies required are covered.’

28. **Q:** How long will it take to complete the ‘Self-Assessment Report’ form?  
**A:** This will depend on whether you complete it alone, with others or delegate to a team. You should start to prepare now for your visit working through the framework and building up evidence over time before your visit. Completing the form close the deadline may mean you do not have time to produce additional evidence in areas where weakness is identified. Identified weaknesses may also give you an idea of if you can meet your arranged visit date/feasible month and give you time to cancel without being charged.

29. **Q:** I am an independent training provider. Some of the aspects are not applicable to my training. Can I ignore these aspects on the ‘Self-Assessment Report’ form?  
**A:** Only aspects with the option to tick ‘not applicable’ can be left blank for independent training providers. All other aspects are applicable to all training providers and regardless of the size of the training provider it is expected that all providers can meet the other aspects of the Quality Assurance Framework.
30. Q: There are aspects of the Framework that I do not have evidence for. What should I do? 
   A: As long as it is not a critical aspect you can still reach ‘good’ overall. We do not expect every training provider to meet ‘good’ or above in every aspect. Please be honest and tell us if you are unable to meet an aspect. It is likely you may be able to meet the aspect but may need more information to help you understand what information we are asking for.

31. Q: We have information/evidence for the self-assessment already written in other formats (e.g. an operation. Do we need to rewrite this for the self-assessment report? 
   A: No, please do not rewrite information if it already exists elsewhere. You can just indicate this on the self-assessment form by writing ‘see operations manual page x’ for example.

32. Q: If the syllabus I deliver has not yet been reviewed, should I start work on my quality assurance? 
   A: Yes – we would recommend starting to review your internal quality assurance standards as soon as possible regardless of whether the training you provide is in scope of the quality assurance framework to give yourself the maximum amount of time to prepare and work on any areas of improvement that you identify.

33. Q: During my self-assessment I found I had a large variation in grades – is this normal? 
   A: Yes. There will be a large number of aspects that many training providers will easily meet or exceed but there are also likely to be some where you will need to consider additional work to make improvements.

34. Q: I have rated my training provider as ‘requires improvement’ in a critical aspect of the ‘Self-Assessment Report’ form? Should I be concerned? 
   A: A ‘requires improvement’ in a critical aspect of the framework will mean that ‘good’ or above cannot be reached. You should consider if you can produce additional information to reach ‘good’ in a critical aspect, or re-schedule your visit.

35. Q: What do I need to do with the ‘Self-Assessment Report’ form? 
   A: Once completed, you need to return your ‘Self-Assessment Report’ form at least ten working days before the quality assurance visit to avsec.qa@avsec.caa.co.uk so that the EQA can prepare for your visit.

36. Q: What happens if I submit my ‘Self-Assessment Report’ form with missing information, gaps or no grades indicated? 
   A: In these circumstances we will email you to understand why the report has not been completed fully. We may recommend you post-pone your visit until a time when the full report can be submitted. No visit charge refund
External Quality Assurance visit

37.  
**Q:** If I train more than one syllabus do I need additional visits?  
**A:** No, as the focus of the visit is on your overarching processes, you will only need one visit per year. During the quality assurance visit we will only sample materials from syllabuses which have been updated and are in-scope – any materials relating to syllabuses due to be reviewed at a later stage will only be subject to sampling once the syllabus is in-scope.

38.  
**Q:** Will the EQA sample new syllabus material and old syllabus material?  
**A:** Only training material from new syllabuses in scope for the quality assurance framework will be subject to sampling.

39.  
**Q:** Will my instructors need to attend the quality assurance visit?  
**A:** Not necessarily. You should ensure that your key staff are available e.g. your Quality Manager and any other staff that you require to produce documentation and evidence processes, however, you do not need to have all of your training staff present.

40.  
**Q:** Will the overall grading be given at the end of the day?  
**A:** You will be given an indication of the overall grade at the end of the day, subject to confirmation and the CAA’s internal quality assurance. The confirmed overall grade will follow five working days after a visit.

41.  
**Q:** I have not delivered a training course under the new syllabus yet. When should I plan for my first quality assurance visit?  
**A:** It is advisable to wait until you have delivered a course prior to the first visit date, as then you can show evidence of having conducted quality assurance and evaluation of a course.

42.  
**Q:** Where can the meeting with the EQA be held?  
**A:** We are not looking at training facilities so the EQA does not necessarily have to come to a classroom or training environment. Please note that if the meeting is to be conducted airside, the EQA will not have a CAA auditor ID card, only a CAA staff ID card, so you will need to make suitable arrangements for a temporary airport ID card. If you are listing the visit location as a private residential address we will contact you to discuss arrangements in order to safeguard you and the EQA.
43. Q: Are individual instructors going to be assessed?
A: No. The overarching quality assurance process is going to be assessed, not the individual instructors delivering training. We will consider the observation / monitoring of training delivery in the future.

44. Q: Will the EQA request to take any of our training material away with them during the visit?
A: No. They will only assess the materials on site, and will not request anything in hard copy or electronically to take away from your site. The only time you may be required to submit materials electronically would be during a desk review after a quality assurance visit should a training provider be graded 'requires improvement'.

45. Q: What if I am a training provider/organisation with multiple sites across the country?
A: Only one visit will be required per training provider at a location nominated by the provider - as long as the provider has one overarching quality assurance process in use for all sites.

46. Q: Will 'live' training be observed/monitored by the EQA?
A: No. The EQA will be assessing the quality assurance process behind the training, not the actual training. We will consider the observation / monitoring of training delivery in the future.

47. Q: Are the visits timed around introductions of new syllabuses?
A: No. The quality assurance visits are an ongoing process and will not be timed around the introduction of new syllabuses – you can indicate a date suitable for you. The phasing in of providers however, is only done once a syllabus has been reviewed.

48. Q: How far back will the EQA review to see whether we have been following the requirements of the ‘QA Visit report’ and ‘Quality Guidance Manual’?
A: EQAs will only review the courses in scope (e.g. GSO) that you have applied the quality assurance framework to. Hence our recommendation is to apply the framework to at least one course and not have the visit before then. The EQAs will only look at materials related to where you have applied the framework. For future years onward the expectation will be that since your last visit, all courses have had the framework applied to them so it’s only in the first years they are expecting to see the embedding process.

49. Q: Will EQAs expect to see CVs for staff?
A: Not necessarily – this is part of how they will assess occupational competency. This information may be in the form of a CV however; it may be training records or development documentation from your own organisation.
50. **Q:** What if we start training from a new syllabus between visits?
**A:** This will be picked up at the next routine visit and there is no need for an 'extra' visit if you start training under a new syllabus. The requirement for individual instructors to be certificated and on the CIN list to deliver specific syllabuses remains unchanged so instructors will still need to contact the CAA to ensure their certification is up-to-date prior to conducting the training and ensure they are linked to one or more registered training providers.

51. **Q:** How is it possible for a provider to be 'good' at one visit and then 'requires improvement' at the next?
**A:** Quality assurance is an ongoing process of continuous improvement and if after having reached the minimum standard one year a provider ceases to apply their quality assurance standards going forward, it is possible that the minimum requirements will not be met at the next visit.

52. **Q:** Whilst we are placing our focus mainly on the critical elements within the quality assurance framework and self-assessment, will all other areas be assessed to the same standard at the same time or will the critical elements be the main focus?
**A:** All areas will be looked at and graded equally. Non-critical elements will still allow you to meet a 'good' grade if they are not all graded as 'good' or above. We would like everyone to do their best to achieve at least good in all areas but understand this may not be the case and you can still receive an overall 'good' whilst having non critical areas that 'require improvement'. To achieve 'good' you must have no critical areas 'requiring improvement' and no more than 5 non-critical elements in the 'requires improvement' category. See annex B
Standards

General

53.  Q: Do I have to use the guidance in the Quality Guidance Manual?
    A: No. You do not have to – it is there for guidance only if you need it.

54.  Q: Do I have to use the templates etc. provided in the Quality Guidance Manual?
    A: No. If your existing materials are fit for purpose, please do not change these – the Quality Guidance Manual templates are there for guidance only.

55. Q: What if I cannot provide evidence of an aspect?
    A: We would much rather you are honest and tell the EQA. The EQA will make recommendations on how to produce the evidence required. If it is a small document it may be possible to allocate this within your team for completion and submission during the visit.

56. Q: Can I provide verbal evidence during the quality assurance visit?
    A: Verbal evidence will supplement any documented evidence you provide. The EQA cannot rely solely on verbal evidence but will be useful when talking through minutes of meetings, agendas or digital folder structures.

1.1 Management and Governance Structure

57. Q: Can the trainer also conduct the role of the assessor?
    A: It is common for DfT AvSec instructors to take on both roles. It is important to distinguish the two roles so an instructor understands there is a difference in their roles and responsibilities depending on the task they are undertaking. You may choose to have one job description that covers both roles.

1.2 Assessment and Training Materials

58. Q: Evidence of the training provider contributing to aims/objectives through feedback to the CAA – I am struggling to see what sort of evidence is required for this point and what it means. What sort of feedback to the CAA should we be giving, if any? And how can this contribute to aims/objectives of our training course?
    A: EQAs will be looking at how you meet the aims and objectives of each session. Do you tell the trainees about the aims and objectives? How do you ensure your sessions meet the aims and objectives? Do you review the aims and objectives at the end of the session? Do you have session
plans for every session you instruct? If you do have queries do you contact the CAA and do you have evidence of this? Have you provided feedback on any elements of a syllabus or assessment strategy to the CAA either to an auditor or the regulation team?

2.1 Resources

59. Q: Will I be asked to provide documentation about guest speakers I use? 
   A: Any person who conducts training must be occupationally competent. It is expected that any guest speaker you use as part of your training has documentation to show their occupational competence. This could be in the form of a CV, letter displaying competence or certificates.

60. Q. Documentary evidence of an assessment of sufficient numbers of staff – What sort of assessment is required for this and is there guidance on how many instructors we should have in place for a set number of security personnel? Do you have examples of how other training providers assess this? 
   A. The EQA will be looking for evidence and asking questions around the following questions:
   - How do you know you have enough instructors? 
   - What planning have you completed to decide that this year you need X instructors to complete your programme? 
   - How do you decide how many instructors there are per class. 
   - How do you manage on the job training and how many instructors do you use for this training?

61. Q. Evidence of how annual CPD is planned – what is Continuing Professional Development (CPD)? We have attended two CPD courses led by the CAA, but we cannot evidence a plan for future CPD sessions that we are unaware of? Will there be regular CPD events scheduled for training providers to meet this requirement when externally audited? 
   A. CPD is more than just what the CAA provides. All instructors should actively be perusing their own CPD to develop their own knowledge. You may identify areas where you would like more knowledge or a better understanding. How do you plan to fill this gap? How do you encourage instructors who are passionate? Do your instructors attend exhibitions to gain up to date information? Do they attend college courses, conduct research on the internet to make their training better?

62. Q. On the ‘Self-Assessment Report’ form - Documentary evidence of subject matter (AvSec) and instructional techniques CPD undertaken in the last year - after booking on to two CPD courses last year, what evidence would be acceptable to prove we attended? Were we signed in at the event? Do you record the attendees? Etc. 
   A. CPD evidence is about providing more than just evidence of attendance at CPD events as CPD can be about research or knowledge gained. The
Quality Assurance Framework requires evidence of how you an individual has developed their skills and knowledge from the CPD conducted.

63. Q. What is occupational CPD?  
A. This is an activity which provides continuous improvement of an instructor’s aviation security knowledge.

64. Q. What is instructional CPD?  
A. This is continuous development of an instructor’s skills in training and assessing. For example;  
- An update to an instructional techniques qualification.  
- Exploring different methods of delivering content.  
- Developing resources for trainees with dyslexia.  
To reach ‘outstanding’, all certificated instructors must have completed a CPD activity on instruction techniques and provided evidence that they have learnt or implemented something as a result of their CPD activity.

65. Q. How do I document CPD?  
A. CPD can be documented in many ways including:  
- Showing a piece of work with tracked changes or different versions with the before and after.  
- Writing a briefing note or delivering a session to colleagues.  
- Writing a reflective statement after the CPD activity.  
- Pictures of a new activity that has been introduced into training since the CPD.  
- A CPD log which details what has been done with the information. (A CPD log containing only dates and training courses would not be sufficient.)

66. Q. If I have instructors not currently training but who want to retain their CIN, do they have to undertake CPD?  
A. Yes, an instructor wishing to retain their CIN they should be undertaking CPD. CPD is a vital component to ensure instructor remain current in both their instructional skills and their subject matter knowledge of aviation security. The only exceptions to this would be individuals going on maternity/paternity leave or long term sickness, but otherwise we expect instructors to remain up to date and current with their skills.
2.2 Internal Monitoring and Self-Assessment

67. Q. I conduct standardisation of assessors during their induction is this enough?
A. How often standardisation of assessors takes place is the decision of the IQA. The IQA should consider the reason and frequency for standardisation to take place based on risk, trends and feedback. As humans we have a tendency to find more efficient ways to complete tasks ‘our own way’ unintentionally or adopt bad habits. Standardisation is a perfect opportunity to ensure these traits are avoided. We would recommend a standardisation activity for assessors and IQAs at least annually.

68. Q. What do you mean by formative assessment?
A. There is more information in the QA Focus 1 – Formative assessment guide issued in April 2019. Formative assessment allows for continually checking progress of trainees throughout a course. Formative assessment should take place at pre-identified key milestones to check understanding and progress of trainees.

69. Q. Can I carry out formative assessment at the end of every module?
A. If you carry out assessment at the end of each module (e.g. ask questions at the end of the module session) this is summative assessment. Formative assessment checks the progress of trainees throughout a session and the course. You should identify suitable points in your session plan to conduct formative assessment. This could be during group activities, discussions, or a mid-point quiz for example.

70. Q. How often should I conduct formative assessment?
A. This is up to you. You should identify suitable points where you feel it is appropriate to check the progress of your trainees.

71. Q. How do I evidence meetings that have taken place?
A. An agenda with minutes or notes of the meeting would be sufficient. It could be photographs of flipcharts that were used in the meeting or emails following up the meeting.

72. Q: What is standardisation?
A: Standardisation is about ensuring that everyone conducts an activity consistently in the same way to ensure that trainees get a valid, fair, current and specific training experience. By conducting meetings and activities it can be determined if everyone completes the same activity in the same way, or knows the required standard to give the same
experience to trainees. For example, you may decide to conduct a standardisation activity with all your assessors who assess body search practical assessment to ensure each assessor understands the body search and delivers feedback in the same way. This will ensure that every trainee gets exactly the same assessment and consistent results.

73. Q. Do assessors require standardisation?
   A. Yes. This is different to training. Standardisation requires assessors to meet together to discuss how for example a body search assessment will take place. The aim of standardisation is to ensure each assessor conducts the assessment consistently to ensure each trainee regardless of the assessor is assessed consistently for the assessment to be fair and reliable. For example, if assessor A and assessor B conduct a hand searching of passengers assessment without standardisation there is a risk that their assessment decisions will differ leading to trainees passing or failing the assessment incorrectly.

74. Q. Should standardisation activities be recorded?
   A. Yes. These activities should be recorded, this could be through agendas, minutes of meetings, taking copies of everyone’s notes, producing standardisation reports, writing a standard document for everyone to use when assessing or writing a Standard Operating Procedure (SOP). Also if everyone signs the SOP this shows that everyone agrees to the standards.

75. Q. Does an IQA require qualifications to conduct internal quality assurance activities?
   A. No. Whilst there are qualifications that can be achieved, for the quality assurance framework we are looking for formal or informal training for IQAs. This could be learning about the role through research, asking someone with a qualification to provide some training or internal company training on the subject.

76. Q. I have multiple training sites; do I require an IQA at each site?
   A. No. It is important to plan how often, which courses and which instructors will be quality assured and when. You may decide to only visit each location once a year for example. This should be documented in a quality assurance strategy and would allow for planning of IQA resources. It is unlikely that IQAs would need to be located at smaller sites and could travel as required.

77. Q. Does every training course require quality assurance?
   A. No. This is your decision based on your quality assurance strategy and your quality assurance plan. You may decide to observe or sample work from a course more frequently if for example;
   - A new course is being implemented.
   - A new instructor has joined the training provider.
• An Instructor delivers new subject matter.
• An action plan is in place for an instructor.
• An issue has been identified with a trainee/s.

You may decide as a course or instructor matures there is less need to quality assure as often. This should be based on risk and must be documented in your quality assurance strategy and plan.

78. Q: How do I document quality assurance has taken place?
A: Any activity you undertake relating to quality assurance should be documented. You can use the forms in the Quality Guidance Manual or alternatively create your own. This is best practice for an audit trail and also for your quality assurance visits.

79. Q: The framework refers to 'regular' meetings and standardisation. How often does this mean?
A: It is your decision as part of your IQA strategy how often you plan and hold meetings and activities. A rationale of why these take place at the planned intervals should be in your IQA strategy to justify what regular means to your training provider and your planning.

3.1 Learner and Data Management

80. Q: What about if trainees are worried about disclosing their learning barriers as they fear employment repercussions?
A: Reinforce that disclosure is only so the correct support can be offered and that information will remain confidential within the training department.

81. Q: What can I do if the trainee is unaware of any difficulty they might have?
A: It is important to provide ‘catch-all’ solutions and be proactive about offering support (e.g. accommodating techniques for dyslexia even if there are no identified dyslexics in the cohort). This can be achieved through following the guidelines given in the Quality Guidance Manual.

82. Q: All of my trainees are ‘high-functioning’ and require little to no reasonable adjustment. How can I demonstrate I am making reasonable adjustments if there are none to be made?
A: There are many different barriers to learning that ‘high-functioning’ trainees can still encounter. Furthermore, the challenge in this case could be delivering low level information to a high level audience and keeping them engaged and interested.

3.3 Certification

83. Q: I do not issue a paper certificate. Will this be a problem when conducting the self-assessment or quality assurance visit?
A: No. We will be happy to look at digital content and / or training records.

84.  
Q: Can I use my own certificate templates?  
A: Yes. You can continue to use your own certificates. However you will only be able to reach a maximum standard of ‘good’ on the quality assurance assessment.

85.  
Q: Do I have to show certificates?  
A: No. There is no requirement under the UK NASP to produce certificates, only training records. You would only be able to reach a maximum standard of ‘good’ on the quality assurance assessment and would need to provide some evidence of how you document training.

86.  
Q: Does the training provider number/name need to be written on certificates if I issue them?  
A: It is good practice to do this and assists with individuals wishing to check the validity of a certificate. The key requirement remains the CIN however the training provider number/name can also be included. The DfT will shortly be issuing new templates which include the training provider number/name on them.

Charges

87.  
Q: Do the charges include VAT, travel and accommodation for the EQA?  
A: Yes. It is a flat rate per visit fee, all inclusive. There is no VAT charged on CAA statutory charges.

88.  
Q: In future years, if an additional visit is required, will there be additional charges?  
A: Yes. From year three onwards (e.g. a provider has had two visits already), we propose linking the overall grading to risk e.g. higher grading result in less frequent visit and lower grading will result in more frequent visit.  
1: Refer to Annex B – Table of Overall Grades and Re-visit Periods for details.

89.  
Q: What are the charges?

1 Please note that the wording of ‘outstanding’ has changed slightly from the consultation – however the standard has not changed – we have merely clarified the requirement.
A: The annual registration charge for 2019-2020 to register as a training provider is £83.00. The charge for the quality assurance visit in year 1 is £474 which includes travel and accommodation for the EQA.

90. Q: Will these charges change in subsequent years?
A: The charges will be part of the annual consultation and review of all CAA statutory charges. We will notify all training providers in advance of registration if charges are to change.

91. Q: What is the purpose of the charges?
A: The charges were discussed with industry through consultations. The registration fee will cover the cost of a part time administrator to administrate the Quality Assurance Framework. The visit fee will pay for the External Quality Assurer to conduct the visit and any other costs incurred by them during the visit.

External Quality Assurers (EQAs)

92. Q: Will training providers have their own EQA as airports have lead auditors?
A: For geographical reasons you may receive visits from the same EQA, but there are also benefits from having a different EQA to conduct the second visit, for example. You will never receive a visit from the same EQA more than three times consecutively.

93. Q: What is the professional background of the EQA?
A: The EQAs come from an educational background (they are not DfT certificated instructors) and are occupationally current in conducting quality assurance on training processes. The EQAs’ qualities are as important to us as their experience, as they will be working with you and supporting you to achieve the best you can.

94. Q: How are the EQAs trained and vetted?
A: The EQAs are given training in our aviation security training requirements to complement their educational background. They are vetted to SC level. (Level above CTC)

95. Q: How are standards of EQAs monitored?
A: All reports will be proof read and checked before being sent to a training provider. Those needing improvement will be checked by an Expert Advisor working for the CAA. A sample of reports will be reviewed to ensure consistency of EQA’s decisions. In addition, observations are carried out by the CAA on EQAs at quality assurance visits. We will notify the training provider in advance if we plan to accompany an EQA to conduct our own internal quality assurance.
Computer based training/e-learning

96. Q: If I as a provider have input or control over the CBT package I use, will this be reviewed?
   A: Yes. If a CBT tool is used and the provider has any level of control over this, they are responsible for quality assuring the CBT and this should be included in your quality assurance processes.

97. Q: I buy in my CBT package. The company I buy from updates the images. Will I need to quality assure this package?
   A: No. The company you purchase the product from will have their own quality assurance in place.

98. Q: I regularly add images to my CBT package. Does this mean I have to quality assure my CBT?
   A: Yes. As you add images, you are having input and control over your CBT package and therefore will need to ensure the product is quality assured.

99. Q: How can I quality assure the NXCT when I have no control over this?
   A: The NXCT is not in scope for the quality assurance framework as it is an externally set assessment.

Complaints and Disclosures

100. Q: What do I do if I have a complaint or want to make a disclosure about the Quality Assurance Framework?
    A: Please visit our website where the ‘CAA Quality Assurance Framework Policies’ document contains details about how to complain, make a disclosure or whistle-blow.

101. Q: What if I do not agree with the report made by the EQA?
    A: There is an appeals policy available on the CAA Quality Assurance Framework Policies document on the CAA website.

After Registration – Amending my details

102. Q: What do I do if my details change?
    A: Please complete the ‘Change of Details’ form downloadable from the CAA website and return to avsec.qa@avsec.caas.co.uk
103. **Q:** A CIN instructor linked to my registered training provider no longer works for me. Do I have to notify the CAA?
**A:** Please complete the ‘Change of Details’ form downloadable from the CAA website, complete the CIN section and return to avsec.qa@avsec.caa.co.uk

104. **Q:** I have a new CIN instructor linked to my registered training provider. Do I need to tell the CAA?
**A:** Any CIN instructor linked to your trainer provider must be declared to us.
Please complete the ‘Change of Details’ form downloadable from the CAA website, complete the CIN section and return to avsec.qa@avsec.caa.co.uk

105. **Q:** I am a CIN instructor who has left a registered training provider. What happens to my CIN?
**A:** The registered training provider is responsible for de-linking you from them by completing a ‘Change of Details’ form from our website. If you are not linked to any other registered training provider we will place your CIN onto a holding list and try to contact you, or wait for a training provider to tell us you are now linked to their training provider. You can also contact us to tell us which training providers you will be linking to in the future.

106. **Q:** My registered training provider is merging with another, what happens?
**A:** Both training providers will need to contact the CAA and de-register. A new training provider will then need to be registered and a new registration fee paid. We would then need to complete a quality assurance visit for the new registered training provider.

**After the Visit – What happens next?**

107. **Q:** What happens after the visit from the EQA?
**A:** We will review the report, proof read and send to the registered contact of the training provider within 5 working days of the report being received.

108. **Q:** I have received an overall grading of ‘good’ / ‘good with outstanding features’ / ‘outstanding’. What happens next?
**A:** After year 1 we will visit you again within 12 months. Use this time to act on any feedback you have received, implement recommendations and continue to review your quality assurance processes.

109. **Q:** I have received an overall grade of ‘requires Improvement’. What happens next?
A: In year 1 you will have an opportunity to meet the baseline requirement of ‘good’ by submitting additional evidence and documentation to the CAA. You must implement any required comments given to allow you to gain at least a ‘good’ grade overall. If you receive an overall grade of ‘requires improvement’ in year 2 and onwards, this option will not be available and instead we will visit you more frequently.

110. Q: In year 1 if I receive an overall grade of ‘requires improvement’ how long will I have to submit additional information to the CAA to improve my grade?
A: You will have 3 months from the receipt of your report to submit additional evidence to the CAA for review.

111. Q: If I receive an overall grade of ‘requires improvement’ and choose not to submit additional information to the CAA what happens?
A: We will contact you to discuss the implications of this. Anyone who does not meet the overall grade of ‘good’ in year 1 may be removed from the quality assurance programme and will mean that the training provider cannot be used to conduct training under the UK NASP.

112. Q: I am an ASM provider - do I need to reach ‘good with outstanding features’ overall to continue delivering this syllabus?
A: Yes. The ASM specific syllabus conditions require the delivery of the ASM syllabus from implementation on the 31st August 2020 to be delivered by CAA-registered training providers who have reached ‘good with outstanding features’ or ‘outstanding’ in their quality assurance visit only.

113. Q: I deliver ASM but have received ‘good’ in my quality assurance visit. Can I continue to deliver the ASM syllabus?
A: One the implementation date of the 31st August 2020 is reached, you must have reached ‘good with outstanding features’, or ‘outstanding’. A training provider identified as an ASM provider who does not reach this grade will have three months from their quality assurance visit to act on feedback given by the EQA and submit additional evidence to the CAA for desk top review to improve their overall grade to ‘good with outstanding features’, or ‘Outstanding’.
Annex A – Registering as a Training Provider Common Scenarios

The principle of the registration and quality assurance framework is that each instructor must at all times be linked to at least one training provider and only work under the quality assurance ‘umbrella’ of a training provider – though they can work for different registered training providers at different times.

If two certificated instructors only ever work together and wish to have one identical quality assurance process in place, they should register as one training provider. If they wish to register as two separate providers, they must each have their own quality assurance process in place.

If an instructor is linked to a training provider, the provider takes responsibility for the quality assurance of the instructor and their work and this would be checked during the quality assurance visit.

Table 1 below details specific scenarios based on questions we have been asked about individual situations. If you still cannot find a scenario that fits your needs, please contact avsec qa@avsec.caa.co.uk for guidance.
<table>
<thead>
<tr>
<th>Situation</th>
<th>Example</th>
<th>Applicable registration</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certificated Instructor - Independent</td>
<td>An individual instructor who delivers AvSec training and does not employ/contract other instructors.</td>
<td>The independent instructor needs to register as a training provider and have their own quality assurances measures in place.</td>
</tr>
<tr>
<td>Certificated instructor – employs/contracts other instructors, who only work for them (and never as their own provider)</td>
<td>A certificated instructor who runs training provider A and employs/contracts at least one other instructor.</td>
<td>Training provider A registers as a provider and all instructors working for them should be linked to training provider A. The linked instructors don’t need to register as their own provider (they are covered by the registration and quality assurance measures of training provider A).</td>
</tr>
<tr>
<td>Certificated instructor – employs/contracts other staff, who also work for other instructors (but never as an independent instructor)</td>
<td>Instructor X is employed/contracted by training provider A as well as training provider B, but only every works for one of the two providers and never as an independent instructor.</td>
<td>Training providers A and B should register and instructor X should be linked to both of them. Instructor X does not need to register as a training provider and is covered by the registration (and therefore quality assurances measures) of either provider when they conduct work.</td>
</tr>
<tr>
<td>Certificated instructor – employs/contracts other instructors, who also work as an independent instructor (regularly or occasionally)</td>
<td>Instructor X works for training provider A and also sometimes works as an independent instructor.</td>
<td>Training provider A registers as the provider and all instructors working for them should be linked to them. Instructor X also needs to register as their own training provider and have their own quality assurance processes in place which they would work under when working as an independent instructor. Instructor X must work under training provider A’s quality assurance whilst conducting training for training provider A.</td>
</tr>
<tr>
<td>Certificated instructor - employed/contracted by a training provider or a regulated entity</td>
<td>Instructor X only works for training provider A, who is a training organisation/regulated entity.</td>
<td>Training provider A should register as a provider, and instructor X should be linked to them. Instructor X does not need to register as their own provider (they are covered by the registration and quality assurance measures of training provider A).</td>
</tr>
<tr>
<td>An instructor recognised as competent (ROC number)</td>
<td>Instructor Y (ROC) is recognised as competent and works under certificated instructor X.</td>
<td>Certificated Instructor X is responsible for determining their registration status – Instructor Y (ROC) remains linked to them and does not need to register separately as a training provider. The quality assurances processes of certificated Instructor X must cover Instructor Y (ROC).</td>
</tr>
</tbody>
</table>

2 An independent instructor under this framework is an instructor who works by themselves and does not contract or employ other instructors.
Annex B – Table of Overall Grades and Re-visits

<table>
<thead>
<tr>
<th>Overall grade</th>
<th>How this relates to the standard</th>
<th>Re-visit period after year 2 Visit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Requires improvement</td>
<td>At least one critical element requires improvement, or more than five other individual aspects)</td>
<td>Revisit within 3-6 months</td>
</tr>
<tr>
<td>Good</td>
<td>No more than five aspects require improvement and none in critical elements)</td>
<td>Revisit within 12 months</td>
</tr>
<tr>
<td>Good with outstanding features</td>
<td>No aspects require improvement and at least five aspects are outstanding)</td>
<td>Revisit in 18 months</td>
</tr>
<tr>
<td>Outstanding</td>
<td>No more than five aspects are good and none in critical elements)</td>
<td>Revisit in 24 months</td>
</tr>
</tbody>
</table>

Annex C – Table of DfT Aviation Security Syllabuses in-scope

<table>
<thead>
<tr>
<th>DfT AvSec Syllabus</th>
<th>Phase under Quality Assurance Framework</th>
<th>Date of Launch under Quality Assurance Framework</th>
<th>Deadline for Quality Assurance Visit by CAA</th>
</tr>
</thead>
<tbody>
<tr>
<td>GSO / GSS</td>
<td>1</td>
<td>1/05/2019</td>
<td>30/04/2020</td>
</tr>
<tr>
<td>RFX Instructor</td>
<td>1</td>
<td>1/05/2019</td>
<td>30/04/2019</td>
</tr>
<tr>
<td>ASM</td>
<td>2</td>
<td>15/07/2019</td>
<td>31/08/2020</td>
</tr>
<tr>
<td>Aircrew</td>
<td>3</td>
<td>17/06/2019</td>
<td>31/08/2020</td>
</tr>
<tr>
<td>IFS</td>
<td>4</td>
<td>Not launched</td>
<td>Not launched</td>
</tr>
<tr>
<td>Cargo RA / KC</td>
<td>5</td>
<td>Not launched</td>
<td>Not launched</td>
</tr>
<tr>
<td>HBR (AAA)</td>
<td>N/A</td>
<td>Not yet in Scope</td>
<td>Not yet in Scope</td>
</tr>
<tr>
<td>GSAT</td>
<td>N/A</td>
<td>Not yet in Scope</td>
<td>Not yet in Scope</td>
</tr>
<tr>
<td>Airport Supplies</td>
<td>N/A</td>
<td>Not yet in Scope</td>
<td>Not yet in Scope</td>
</tr>
<tr>
<td>Aircraft Search Package</td>
<td>N/A</td>
<td>Not yet in Scope</td>
<td>Not yet in Scope</td>
</tr>
</tbody>
</table>