
APPROVAL OF A FOREIGN APPROVED TRAINING ORGANIZATION

1.0 PURPOSE

1.1 This Advisory Circular (AC) describes the application and approval process for obtaining an Approval a foreign approved training organization to conduct aviation training under the civil aviation (Approved training Organization) Regulations. This AC provides basic information applicable to the approval process.

1.2 Applicants will be briefed in as much detail as necessary regarding the preparation of the relevant manuals and other documents during meetings with the Authority personnel. The information in this AC and the material referenced therein will assist the applicant in completing the process with minimal delays and complications.

2.1 REFERENCES

2.2 The Civil Aviation Act

2.2 The Civil Aviation (Approved Training Organisations) Regulations.

2.3 The Civil Aviation (Personnel Licensing) Regulations.

3.0 BACKGROUND

3.1 The certification process is designed to ensure that a prospective holder of a Foreign Approved Training Organisation Certificate understands the requirements and is capable of meeting them. When satisfactorily completed, the approval process would ensure that the applicant is able to comply with the applicable requirements of Civil Aviation (Approved Training Organization) Regulations and the civil aviation (personnel Licensing) Regulations and the international standards applicable to the operation of a Foreign approved training organization

3.2 The certification comprises of 5 phases and three gates. A phase separates the process into related sequential activities supporting a specific function. The phased gate approach requires specific (gate) criteria that must be met before proceeding to the next phase of the approval process. Each phase is described in sufficient detail to provide a general understanding of the entire certification process. The five (5) phases are:

3.2.1 Pre-application;

3.2.2 Application;

3.2.3 Document Evaluation;

3.2.4 Demonstration and Inspection; and

3.2.5 Certification.

3.3 When there is a need of a licensing Authority to approve an ATO outside its territory. An alternative five phase process may be used. The alternative process is described below in this manual.

3.4 When the alternative process is applied, the foreign issuing Authority should focus on the key elements that comprise its oversight of the ATO, e.g. organization, training programme(s), courseware, instructors and evaluators, FSTD equipment, record keeping, quality assurance (QA) and, if applicable, SMS.

3.5 The phased gate approach requires specific (gate) criteria that must be met before proceeding to the next phase of the approval process. There are five phases, similar to the phases used to issue an ATO, which an applicant has to follow in this process to obtain a foreign-based ATO approval:

3.5.1 In the pre-application phase, the training organization requests the alternative approval process.

3.5.2 The application phase includes a gap analysis regarding the approval process of a training organization between the foreign issuing Authority's regulations and the KCAR's, conducted by the training organization, that identifies any significant differences, which must be addressed to ensure compliance with the KCAR's.

3.5.3 The application evaluation phase determines if the eligibility requirements are met; this phase is a complete review of the application by the Authority.

3.5.4 The demonstration and validation phase requires the Authority to complete the validation (or inspection) of the different components of the approval, and extends to the training programme and flight simulation training device (FSTD) equipment.

3.5.5 The certification phase is the final step and results in the issuance of the required certification and required approvals to include the training and procedures manual and the approval for the use of the FSTD.

4.0 PHASE I: PRE-APPLICATION PHASE

4.1 This phase starts when an ATO wishes to provide training for an individual or operator under a foreign ATO approval.

4.2 The training organization must first establish if the foreign ATO approval can be achieved through the alternative approval process mentioned in this manual by maximizing the existing foreign ATO approval, preferably that of the foreign issuing Authority where the training organization is located. The training organization should be capable of complying with all the procedures and guidelines associated with the alternative approval process and also satisfy the ATO requirements of the Authority.

4.3 Once it has been determined that the training organization can use the alternative approval process, the authority should coordinate with the foreign issuing Authority to explore collaboration.

4.4 Upon request from the training organization, the authority shall contact the foreign issuing Authority to establish if the foreign issuing Authority will collaborate and support the ATO approval process. When collaboration is established between the foreign issuing Authority and the authority, the training organization shall be required to provide a regulatory gap analysis between the authority and foreign issuing Authority's ATO requirements.

4.5 The areas that shall be reviewed should include all of the areas required for ATO approval to include organization, training programmes and training delivery, training and procedures manual, personnel, facilities, records, quality system and safety management system (SMS) (if required).

4.6 Gate 1: Criteria

4.6.1 The authority will contact the foreign issuing Authority to determine the level of support, if any, which may be extended by the foreign issuing Authority, and this may be through a memorandum of understanding or other suitable arrangements.

4.6.1 The authority notifies the foreign ATO of the acceptance or denial to proceed with the alternative approval process.

5.0 PHASE 2: APPLICATION

5.1 The training organization should consult with the authority to establish the specific procedures to be followed to meet the regulatory requirement for ATO approval. In principle, the application using the alternative approval process mirrors that of a normal ATO application with the exception that the Authority accepts the foreign issuing Authority approvals and limits its level of involvement to those areas that are identified in the applicant's gap analysis and submitted as a supplement to the application.

5.2 The applicant should, to the extent possible, demonstrate through a compliance statement how all of the foreign ATO requirements are met.

5.3 Gate 2: Criteria

5.3.1 The applicant completes the gap analysis: the training organization establishes if there are gaps between the authority regulations and the foreign issuing Authority regulations regarding the requirements for ATO approval.

5.3.2 The gap analysis is completed to the extent that would allow the applicant to perform training that leads to licensing i.e. Pilot training, Aircraft Maintenance engineers training, flight operations officers training as well as any type training that leads to an endorsement.

5.3.3 The applicant submits an application which includes a full analysis of how compliance with the authority's ATO requirements are met through the recognition of the foreign issuing Authority approval with an additional supplement as applicable. The application should be complete, i.e. the foreign issuing Authority approval documentation plus a supplement as applicable (compliance statement).

5.3.4 The authority and the foreign issuing Authority finalize the memorandum of understanding or other suitable arrangement, as applicable, based on the output from the gap analysis.

6.0 PHASE 3: APPLICATION EVALUATION

6.1 In this phase the evaluation is accomplished by the authority without going on-site, through a desktop assessment of the application and acceptance that the foreign issuing Authority approval allows that a significant portion of the application evaluation is already met. This phase provides for the ability to maximize the recognition of the work completed by the foreign issuing Authority and thus gives the authority the opportunity to better utilize its resources and complete the approval process in an effective and efficient manner.

6.2 For the training organization, this phase supports better utilization of its own resources and provides efficiencies by maximizing its existing approvals. Accordingly, to ensure a successful application, training organizations should have followed in Phase 2 a methodical and comprehensive process to complete the application, which should include submission of the following:

- a) a compliance statement showing how the training organization complies with the regulatory requirements of the Authority and the regulatory requirements of the foreign issuing Authority (based on the gap analysis already carried out);
- b) a document containing any supplemental conditions and/or a rationale explaining how the training organization meets the national requirements regarding the approval of a training organization which differ from the requirements of the foreign issuing Authority;
- c) the training and procedures manual, or equivalent;
- d) the quality management system manual, or equivalent;
- e) the SMS manual, or equivalent, if applicable;
- f) the training programme course syllabus relating to the programmes required under the scope of the approval being applied for;
- g) the list of instructors and evaluators, together with supporting documentation; and
- h) the FSTD qualification certificates.

6.3 Gate 3: Key elements

6.3.1 The authority receives the completed application and initiates the evaluation in accordance with the guidance provided to the Authority.

6.3.2 If the evaluation is satisfactory, the authority will consider establishing a set of terms (memorandum of understanding or equivalent) with the foreign issuing Authority with regard to providing a collaborative role in support of the ATO approval. Consideration or guidance regarding training record, graduation certificate and other applicable forms.

7.0 PHASE 4: DEMONSTRATION AND VALIDATION WITH, IF APPLICABLE, INSPECTION

7.1 This phase is the demonstration and validation, and is a combination of a desktop validation and, if necessary, an on-site inspection. In view of the use of the alternative process to approve a foreign ATO, this phase provides the opportunity for the Authority to determine the extent of required on-site inspection, if any.

7.2 An on-site inspection shall be conducted to those areas that are identified in the gap analysis and would require an inspection so as to maximize work already accomplished by the foreign issuing Authority.

7.3 If FSTD user approval is sought an inspection **MUST** be carried out.

7.4 Gate 4: Key elements

7.4.1 Desktop evaluation and validation of the ATO application: this could be through a multi-media demonstration or presentation of how requirements are met.

7.4.2 Supplemental requirements are compliant: this includes training programme elements (with focus on the specific AUTHORITY requirements), as applicable:

- a) (optional) FSTD evaluation limited to user approval;
- b) instructor qualifications meet requirements;
- c) management personnel;
- d) record keeping;
- e) exemptions and deviations, if any;
- f) designation of evaluators (at discretion); and
- g) (optional) on-site audit or inspection limited to those areas that necessitate an on-site visit.

8.0 PHASE 5: CERTIFICATION

8.1 When all the previous phases have been satisfactorily completed, the authority will issue an ATO certificate and the associated training specifications valid for a period of one year or as long as the foreign issuing Authority approval is current.

8.2 If the inspection phase is unsatisfactory, no further action will be taken until the deficiencies are rectified. The approval requirements of this phase are also checked during the renewal of the foreign ATO Certificate and its associated Training Specifications.

9.0 SURVEILLANCE OF FOREIGN ATO'S

9.1 The authority will establish appropriate procedures to ensure continued validity of the ATO certificate obtained through the alternative approval process. These procedures may include establishing:

a) obligations for the foreign ATO to report surveillance-relevant information, such as reporting enforcement activities taken by the foreign issuing Authority which may affect the approval certificate; and

b) a process for taking appropriate measures in relation to foreign issuing Authority enforcement activities, such as limitation, suspension or revocation of the foreign issuing Authority approval certificate, and for taking appropriate follow-up action.

9.2 The authority shall establish the process for the continuing approval of the training programme, instructors, evaluators and FSTDs.

9.3 Gate 5: Key elements

9.3.1 The authority completes its internal process for the approval of the ATO through the alternative approval process.

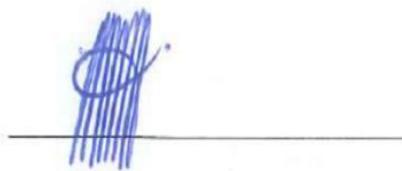
9.3.2 The authority issues the applicable ATO approval document(s) which identifies the scope of the approval.

9.3.3 The authority notifies the foreign issuing Authority of the successful completion of the approval process.

10.0 EXPLANATION OF APPENDICES IN THE AC

10.1 The following Appendices accompany this document:

Appendix A is a list of definitions of some key terms used in ATO certification



Civil Aviation Authority

APPENDIX A: DEFINITIONS

Accountable Manager. The individual who has corporate authority for ensuring that all training commitments can be financed and carried out to the standard required by the civil aviation authority, and any additional requirements defined by the approved training organization (ATO).

Alternate means of compliance. A pre-approved manner of achieving regulatory compliance that has been determined to be an acceptable substitute to the regulatory requirements.

Alternative means of compliance. An approved alternative to prescribed approaches, which has been demonstrated to consistently achieve or exceed the desired outcomes as intended through regulation.

Approved maintenance organization. An organization approved by a Contracting State, in accordance with the requirements of Annex 8, Part II, and Chapter 6 – Maintenance Organization Approval, to perform maintenance of aircraft, engine, propeller or parts thereof and operating under supervision approved by that State.

Approved training. Training conducted under special curricula and supervision approved by a Contracting State.

Approved training organization (ATO). An organization approved by and operating under the supervision of a Contracting State in accordance with the requirements of Annex 1 to perform approved training.

Checking. See definition of testing.

Competency. A dimension of human performance that is used to reliably predict successful performance on the job. A competency is manifested and observed through behaviors that mobilize the relevant knowledge, skills and attitudes to carry out activities or tasks under specified conditions.

Competency-based training and assessment. Training and assessment that are characterized by a performance orientation, emphasis on standards of performance and their measurement, and the development of training to the specified performance standards.

Competency standard. A level of performance that is defined as acceptable when assessing whether or not competency has been achieved.

Compliance. The state of meeting those requirements mandated through regulation.

Conditions. Anything that may qualify a specific environment in which performance will be demonstrated.

Conformity. The state of meeting established criteria, standards, specifications and desired outcomes.

Evaluator. A generic term used in the context of an approved training organization (ATO) to describe a person who is qualified, authorized and assigned to carry out specific assessment, checking, testing and/or auditing duties to determine that all required standards of performance have been satisfactorily achieved.

Finding. A finding is a conclusion by the operator's or by the civil aviation authority's audit personnel that demonstrates either non-compliance with a regulation or non-conformity with a specific standard.

Flight Simulation Training Device means any one of the following three types of apparatus in which flight conditions are simulated on the ground—

a flight simulator, which provides an accurate representation of the cockpit of a particular aircraft type to the extent that the mechanical, electrical, electronic, etc. aircraft systems control functions, the normal environment of flight crew members and the performance and flight characteristics of that type of aircraft are realistically simulated;

A basic instrument flight trainer, which is equipped with appropriate instruments, and which simulates the cockpit environment of an aircraft in flight in instrument flight conditions

a flight procedures trainer, which provides a realistic cockpit environment, and which simulates instrument responses, simple control functions of mechanical, electrical, electronic, etc. aircraft systems, and the performance and flight characteristics of aircraft of a particular class controls in an open flight deck area or an enclosed aircraft cockpit. It includes the hardware and software necessary to represent a category and class of aircraft (or set of aircraft) operations in ground and flight conditions having the appropriate range of capabilities and systems installed in the device as described within this AC for the specific basic or advanced qualification level.

Foreign ATO. An approved training organization (ATO) located outside the territory of the State.

Hazard. A condition or an object with the potential to cause injuries to personnel, damage to equipment or structures, loss of material, or reduction of ability to perform a prescribed function.

Head of training. The individual responsible for the organization's activities, policies, practices and procedures while ensuring the continued maintenance of the training organization's approval status.

Licensing Authority. The Authority designated by a Contracting State as responsible for the licensing of personnel.

Maintenance Liaison Officer. The manager responsible for the day-to-day provision of aircraft maintenance activities and the continuing airworthiness of all aircraft released for flight operations.

Performance criteria. Statements used to assess whether the required levels of performance have been achieved for a competency. A performance criterion consists of an observable behavior, condition(s) and a competency standard.

Policy. A document containing the organization's position or stance regarding a specific issue.

Process. A set of interrelated or interactive activities which transform inputs into outputs.

Quality. The totality of features and characteristics of a product or service that bear on its ability to satisfy stated or implied needs.

Quality assurance (QA). All the planned and systematic actions necessary to provide adequate confidence that all training activities satisfy given standards and requirements, including the ones specified by the approved training organization in relevant manuals.

Quality audit. A systematic and independent examination to determine whether quality activities and related results comply with planned arrangements and whether these arrangements are implemented effectively and are suitable to achieve objectives.

Quality inspection. That part of quality management involving quality control. In other words, inspections accomplished to review a document or observe events/actions, etc., in order to verify whether established operational procedures and requirements are being fulfilled during the accomplishment of the event or action, and whether the required standard is being achieved.

Quality management. A management approach focused on the means to achieve product or service quality objectives through the use of its four key components: quality planning; quality control; quality assurance; and quality improvement.

Quality manager. The manager responsible for the quality monitoring function and for requesting remedial action.

Quality manual. The document containing the relevant information pertaining to the approved training organization's quality system.

Quality of training. The outcome of the training that meets stated or implied needs within the framework of defined standards.

Quality system (QS). The aggregate of all the organization's activities, plans, policies, processes, procedures, resources, incentives and infrastructure working in unison towards a total quality management approach. It requires an organizational construct complete with documented policies, processes, procedures and resources that underpins a commitment by all employees to achieve excellence in product and service delivery through the implementation of best practices in quality management.

Qualification and Approval Guide (QAG). The QAG is a detailed description of the simulated aircraft systems, design criteria, and functionality for a flight procedures trainer.

Safety management system (SMS). A systematic approach to managing safety, including the necessary organizational structures, accountabilities, responsibilities, policies and procedures.

Safety manager. The manager responsible for providing guidance and direction for the planning, implementation and operation of the organization's safety management system.

Testing. The comparison of the knowledge about a task or the skill to perform a task against an established set of criteria to determine that the knowledge or skill observed meets or exceeds, or does not meet, those criteria.