МИНИСТЕРСТВО НА ТРАНСПОРТА,
ИНФОРМАЦИОННИТЕ ТЕХНОЛОГИИ И СЪОБЩЕНИЯТА
ГД „Гражданска въздухоплавателна администрация"
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ГРАЖДАНСКА ВЪЗДУХОПЛАВАТЕЛНА АДМИНИСТРАЦИЯ
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Процедура № 4

за сертифициране и непрекъснат надзор на организациите за обучение на РП и центрове за оценка на езикова подготовка

/CA/NSA Procedure for the Certification and Continuous Oversight of Training Providers and Language Assessment Bodies/

1 ТАБЛИЦА НА ИЗДАНИЯТА/КОРЕКЦИИТЕ

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ВЪВЕЖДАНЕ НА ДОКУМЕНТА В СИЛА:

Процедурата е неразделна част от издание 6.0 на Наръчника на Националния надзорен орган на доставчици на аеронавигационно обслужване и организации за обучение на ръководители полети

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1. RELATED DOCUMENTATION

This procedure makes reference to the following documents:

1. Commission Regulation (EU) No. 2015/340 of 20 February 2015 laying down technical requirements and administrative procedures relating to air traffic controllers' licences and certificates pursuant to Regulation (EC) No. 216/2008 of the European Parliament and of the Council, amending Commission Implementing Regulation (EU) No. 923/2012 and repealing Commission Regulation (EU) No. 805/2011 (hereafter 'ATCO Regulation').
2. CA / NSA Handbook.

The regulatory baseline shall also take into account the requirements detailed in Regulation (EC) No. 216/2008 on the common rules in the field of civil aviation and establishing a European Aviation Safety Agency (hereafter 'EASA Basic Regulation') amended by Regulation (EC) No. 1108/2011 amending Regulation (EC) No. 216/2008 in the field of aerodromes, air traffic management and air navigation services and repealing Directive 2006/23/EC.

2. APPLICABILITY

This Procedure shall apply to:

- ANSPs providing ATCO training, i.e. initial training, unit training (unit endorsement courses) and continuation training;
- Training organisations other than an ANSP.
- Language assessment bodies

This Procedure shall be effective immediately after signature by the Director of the CA/NSA. The Director of the CA/NSA may grant temporary and conditional exemptions from specific provisions of this Manual to allow for a sufficient period of transition.

3. APPLICABLE REQUIREMENTS

This procedure is applicable for the certification and continuous oversight of training providers in accordance with the ATCO Regulation, Annex I - Part ATCO, Subpart D, Annex II- Part ATCO.AR, Subpart C and E, and Annex III- Part ATCO.OR, Subpart A, B, C and D.

4. CONTENT OF THE PROCEDURE

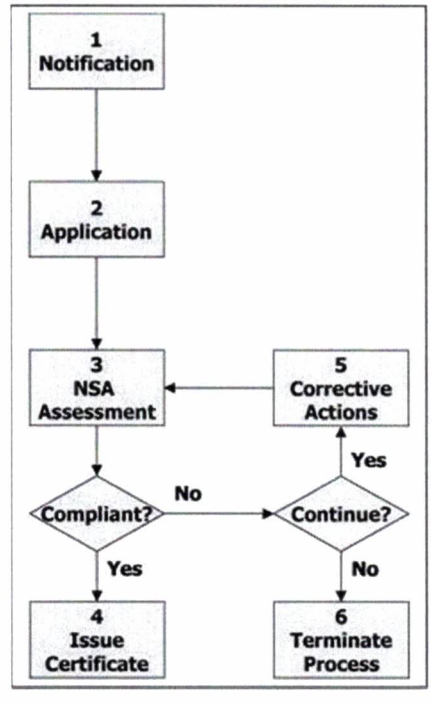
The procedure addresses the:

- Certification of a Training Organisation;
- Continuous oversight of a certified Training Organisation;
- Changes to the Training Organisation;
- Approval of training courses and associated training plans.
- Approval of unit competence schemes

5. CERTIFICATION OF TRAINING ORGANISATIONS (TO)

5.1 General

The process of certification is illustrated in the diagram opposite and consists of the following steps:



1. **Notification**: Under this step, the TO notifies the Competent Authority (CA)/National Supervisory Authority (NSA) about its intention to apply for certification.
2. **Application**: TO will send the formal Application for Certification to the CA/NSA. The application shall include the application form itself and any necessary information for the CA/NSA to initiate the assessment. This will initiate the certification process within the CA/NSA and a Certification Plan will be prepared and the Certification Team will be defined.
3. **NSA Assessment**: When the CA/NSA has received the application, it will commence the assessment of compliance. The assessment process will be divided into stages as described later. Based on the result of the assessment, the CA/NSA will determine whether or not the applicant is compliant with the applicable requirements.
4. **Corrective actions**: If the TO is not compliant with applicable requirements, the CA/NSA will specify where the non-compliances exist and the TO will have the option to implement corrective actions to remove the non-compliances. When the TO has implemented the corrective actions, it will inform the CA/NSA who will assess whether compliance has been established.
5. **Issuance of Certificate**: If the TO is compliant with the applicable requirements, the CA/NSA will issue the Certificate. The certificate format will be in accordance with the template from the ATCO Regulation (see Annex 2).
6. **Terminate process**: If the CA/NSA concludes that the non-compliances with requirements are such that the TO will not qualify within a reasonable timeframe, or if the TO does not wish to continue the certification process, the CA/NSA may terminate the application process.

Each of the above overall steps is further detailed in the following sections.

It is important to note that the validity of the TO's certificate is provided by the approvals inserted within it. The approvals refer to the specific training provided by the TO. The certification is based on the approval process for the training provided by TO. Some elements within the certification process (e.g. documentation review and on-site audit) could be common with the approval of training. However, the approval of the training is carried out before starting the training, as per certification.

5.2 Notification

A TO applying for certification shall notify the CA/NSA at least 10 working days prior to sending the application form. The CA/NSA will acknowledge in writing the receipt of the notification.

5.3 Application

The TO shall prepare the application form and submit it in due time. For this purpose, the Training Provider shall use the form included in Annex 1 and submit it to the CA/NSA.

The TO application form shall include the following information:

1. The applicant's name and address
2. The address(es) of the place(s) of operation (including, where relevant, the list of ATC units) if different from the applicant's address in point 1
3. The name and contact details of: accountable manager; head of the training organisation, if different from the accountable manager; the person(s) nominated by the TO as the focal point(s) for communication with the CA/NSA;
4. Date of intended start of activity or change;
5. A list of the types of training to be provided and at least one training course from each type of training that is intended to be provided;
6. The declaration of compliance with the applicable requirements shall be signed by the accountable manager, stating the TO's compliance with the requirements at all times;
7. The management system process;
8. The date of application.

The CTL will acknowledge receipt of the application form within 10 days of its receipt by the CA/NSA. The acknowledgement will be sent through an official letter to the point of contact identified in the application form

The acknowledgement will include information concerning the Certification Team (leader and member(s)), as well as general information about the application process.

5.3.1 Certification Plan

The CA/NSA will establish a plan for its assessment. The plan will be based on the standard assessment approach described below, aligned as necessary to the specific situation.

5.3.2 Certification Team

The CA/NSA will establish a team of experts, under the supervision of a Certification Team Leader (CTL). Before the Certification Team is established, the CA/NSA shall ensure that there are no conflicts of interest with the team members regarding the subject of the TO's certification.

5.4 CA/NSA Assessment

The receipt of the Application for Certification will trigger the CA/NSA's assessment process, which in general consists of the following main steps:

- Assessment of eligibility;
- Preliminary assessment;
- Assessment of compliance (on-site audit);
- Assessment report.

5.4.1 Assessment of Eligibility

The CTL will perform an assessment of whether the TO has submitted complete and correct information regarding the application and associated documentation. The results of the eligibility assessment shall be communicated by the CTL to the TO's focal point within 10 working days of acknowledging receipt of the application form.

Where incorrect or incomplete information is supplied, the CTL shall notify the focal point in writing as soon as possible, detailing the omissions and errors and request their rectification in order for the certification to continue. The TO shall submit the elements indicated by the CA/NSA within 10 working days after the receipt of the notification from the CA/NSA.

In cases of the refusal of an application, the CA/NSA shall notify this decision in writing to the TO, together with the reasons for that decision. If the rejection was based on incomplete or incorrect information, the CA/NSA shall set a deadline for the applicant to re-submit a new application.

If the TO is accepted to proceed further, the CTL will notify the focal point and may include the details of the next steps to be followed during the assessment, including the applicable fees, if relevant. This notification will be done immediately after the CTL has concluded the eligibility assessment.

5.4.2 Preliminary Assessment

The CTL will finalise the planning for the certification process. The plan includes a documentation review, on-site audit(s) and the associated timeframes. The CTL will allocate tasks to the Certification Team Members (CTM) to be covered during the preliminary assessment and the on-site audit(s).

The certification team shall undertake a review of the TO's documentation to better understand the arrangements to provide training in accordance with applicable requirements. The certification team shall look for the associated evidence provided with the documentation that the applicable requirements have been understood and the processes are in place to ensure compliance with them. The documentation review may indicate that other documents provide the details required and, as such, the CTL will request them from the focal point (the new documents could be provided in advance of the on-site audit or during the on-site audit).

Guidance

In certain areas, a review of the documentation will be sufficient. As such, in the case of funding and insurances (ATCO.OR.C.025) for the TO, the documentation regarding:

- *An economic study identifying the minimum amount necessary to ensure that the training is conducted in accordance with the applicable requirements (for the funding) should be sufficient to decide compliance.*
- *A deposit of an insurance certificate or other evidence of valid insurance which takes into account the nature of the training provided, the frequency and the fees applicable to the training courses (for sufficient insurance) should be sufficient to decide compliance.*

5.4.3 Assessment of Compliance (On-site Audit)

Following the review of the documentation, the CA/NSA will perform the on-site audit(s) at the TO's premises to further verify compliance with the relevant requirements. For the ease of the CA/NSA staff, a compliance checklist is attached in Annex 3.

The on-site audit should include, but not be limited to, the following areas:

- Detailed management structure, including;
  - Names and qualifications of personnel required by ATCO.OR.C.010,
  - Adequacy of the organisation and management structure.
- Adequacy of the number and qualifications of personnel;
- Safety management and compliance monitoring with the applicable requirements.

Guidance

In the case of a TO other than an ANSP*: The applicable safety management requirements would be covered by the management system requirements to be implemented, tailored to the size and the training provided.*

In the case of an ANSP being a TO*: The requirements for the management system of the TO may be satisfied if the TO's scope and terms of approval are included in the ANSP's certificate, and the ANSP's management system/safety management system (SMS) specifically covers the specific requirements.*

Regarding compliance monitoring, the TO may monitor compliance with the procedures they have designed and may include as a minimum: the organisational structure; the plans and objectives; the privileges of the organisation; manuals, logs and records; the training standards and the management system.

- Adequacy of the facilities with regard to the organisation's scope of training.

> ***Guidance***
>
> *A TO should have facilities appropriate to the size and scope of their intended operations. These facilities are formed by general areas and areas for theoretical and practical training. The general areas consist of sufficient:*
>
> *(1) office space for managerial and administrative as well as training staff;*
>
> *(2) rooms for study and testing;*
>
> *(3) library facilities; and*
>
> *(4) storage areas, including secure areas for training and personnel records.*
>
> *For TOs providing theoretical training, the facilities should also include sufficient suitably equipped classroom areas.*
>
> *For TOs providing practical training, the facilities should also include sufficient:*
>
> *(1) rooms for briefing and debriefing; and*
>
> *(2) suitably equipped rooms for practical training.*
>
> *In the cases where the TO uses Synthetic Training Devices (STD) for training, it should be approved as part of the course approval process for any training plan. The STDs can be classified as simulator (SIM) and part-task trainer (PTT).*

- Documentation on the basis of which the certificate shall be granted (organisation documentation as required by Annex III (Part ATCO.OR), including manuals, training plans and course documentation).

> ***Guidance***
>
> *Most of the documentation has been verified during either the document review process or the approval of training courses. However, it is important to see the effective implementation of such documentation in real life. As such, if a course/courses is/are taking place, it may provide an opportunity to sample parts of it, focussing on: is the module(s) fulfilling the training objectives?; is the instructor delivering the module the one mentioned in the training plan?; is the instructor delivering the module(s) competent to do so as provided within the documentation?; what are the records generated by the module(s)/course?; etc.*

- Records.

> ***Guidance***
>
> *Based on the management system, as well as the activities performed by the TO, a number of areas can be subject of the on-site audit. Below are some indications of possible records to be verified on-site by the certification team:*
>
> *Records of persons undertaking training:*
>
> *(1) personal information;*
>
> *(2) details of training received including the starting date of the training, as well as the results of the examinations and assessments;*
>
> *(3) detailed and regular progress report forms;*
>
> *(4) certificate of completion of training courses.*

Records of instructors and assessors:

(1) personal information;

(2) qualification records;

(3) records of refresher training for instructors and assessors;

(4) assessment reports;

(5) instructional and/or assessment time records.

It is expected that the CA/NSA may ask that the TO provide training records and reports in advance.

5.4.4 Non-Compliances

Non-compliances from the on-site audit can only be raised in relation to the requirements and specific conditions applicable to the type of training for which certification has been requested. The related requirement(s) and/or specific conditions shall always be made explicit wherever non-compliance is determined.

Non-conformities are classified as:

- **Level 1 findings** – any significant non-compliance detected with: the applicable requirements of the EASA Basic Regulation and/or the ATCO Regulation; the training organisation's procedures and manuals; the type(s) of training and/or service(s) provided or certificate(s) which lowers or seriously endangers safety and/or results in a significant degradation of the training provided.

  It includes, but shall not be limited to, situations such as:

  - failure to give the CA/NSA access to the TO's facilities during normal operating hours after two written requests (see ATCO.OR.B.025);
  - obtaining or maintaining the validity of the training organisation's certificate by falsification of submitted documentary evidence;
  - evidence of malpractice or fraudulent use of the training organisation certificate; and
  - the lack of an accountable manager.

  In the case of Level 1 findings, the CA/NSA shall take immediate and appropriate action to prohibit or limit activities, and if appropriate, take action to revoke the certificate or to limit or suspend it in whole or in part, depending upon the extent of the finding, until successful corrective action has been taken by the TO.

- **Level 2 findings** – any non-compliance detected with: the applicable requirements of EASA Basic Regulation and/or ATCO Regulation; the training organisation's procedures and manuals; the type(s) of training and/or service(s) provided or certificate(s) which could lower or endanger safety and/or could result in a degradation of the training provided.

In the case of Level 2 findings, the CA/NSA shall:

- grant the TO a corrective action implementation period included in an action plan appropriate to the nature of the finding; and
- assess the corrective action and implementation plan proposed by the TO and, if the assessment concludes that they are sufficient to address the non-compliance(s), accept these.

Where a TO fails to submit an acceptable corrective action plan, or to perform the corrective action within the time period accepted or extended by the CA/NSA, the finding shall be raised to a Level 1 finding with associated action from the CA/NSA.

5.4.5 Assessment Report

The CA/NSA will conclude the certification activity by issuing an assessment report which will conclude that the TO complies with the relevant requirements. The CTL will prepare the Assessment Report, which shall include:

- A summary of the activities;
- The results of each activity;
- A conclusion to be proposed to the CA/NSA management,
    1. Issue the certificate (Section 5.5),
    2. Request from the TO to remove any identified non-compliance (Section 5.6),
    3. Reject the application and terminate the process (Section 5.7).

The CA/NSA will inform the TO about the conclusions of the Assessment Report in writing within 5 working days of its completion.

5.5 Issuance of the Certificate

If compliance with the applicable requirements has been assessed and met by the TO, the CA/NSA will issue a Certificate for which a sample is provided in Annex 2.

The Certificate will be sent to the TO, together with any additional information as deemed necessary.

5.6 Corrective Actions

Level 1 Findings

For the initial certification, the process applied for Level 2 findings is applicable.

However, for re-certification, the CA/NSA shall take immediate and appropriate action to prohibit or limit activities, and if appropriate, take action to revoke the certificate or to limit/suspend it in whole or in part, depending upon the extent of the finding, until successful corrective action has been taken by the TO.

During the enforcement measures, the TO shall determine the corrective action to remove the restriction. The timeframe for the implementation of the corrective actions shall be agreed by the CA/NSA (e.g. it could be lower than the 3 months foreseen for Level 2 findings). Following the verification of the effective implementation of the corrective actions with positive results, the CA/NSA will remove the restrictions.

Level 2 Findings

The TO is responsible for determining and initiating the actions needed to correct the findings by:

- Identifying the root cause of the finding;
- Defining a corrective action plan; and
- Demonstrating the implementation of the corrective action plan to the satisfaction of the CA/NSA within the agreed period of time.

After receipt of the Assessment Report, the TO shall have a maximum of 10 working days to propose in writing to the CA/NSA the corrective actions which are to be implemented to ensure compliance and the associated deadline.

The CA/NSA shall assess the proposed corrective actions and timeframes and accept them if the assessment indicates they are sufficient to address the identified non-compliances. The implementation period included in the corrective action plan granted by the CA/NSA shall not initially exceed 3 months. At the end of this period, and subject to the nature of the finding, the CA/NSA may extend this period subject to a satisfactory corrective action plan agreed by the CA/NSA.

The CA/NSA will verify the implementation and effectiveness of the corrective actions before issuing the Certificate (see Section 5.5).

The CA/NSA shall record all findings raised and, where applicable, the enforcement measures it applied, together with all corrective actions and the date of their completion.

5.7 Terminating the Process

Whenever the CA/NSA determines that an application cannot be successfully completed, the CA/NSA will suspend or terminate the application process. This will be done in writing to the TO and will include the reason for the termination.

6. CONTINUOUS OVERSIGHT OF TRAINING ORGANISATIONS

6.1 General

The CA/NSA shall verify the:

- continued compliance with the applicable requirements and the conditions attached to the TO's certificate, as well as the applicable requirements for training courses, plans and schemes it has approved and the requirements applicable to personnel;
- implementation of appropriate safety measures mandated by the CA/NSA (see ATCO.AR. A.025(c) and (d)).

This verification shall:

- provide persons and organisations concerned with the results of the safety oversight activity;

- be based on audits and inspections including, as appropriate, unannounced inspections; and
- provide the CA/NSA with the evidence needed in case further action is required, including the measures of enforcement (see ATCO.AR.E.015 –related to findings).

A report shall be prepared after each audit/inspection. The report shall contain, as necessary, the identified findings. The TO shall propose a set of corrective actions and associated timeframes for their implementation, which shall be agreed by the CAA/NSA. As such, the list of identified non-conformities will be updated and their implementation shall be monitored. This is described in Section 5.6 above.

For the ease of the CA/NSA staff, a compliance checklist is attached in Annex 3.

6.2 Oversight Objectives and Planning

Audits and inspections should focus on, but not be limited to:

- Management structure;
- Adequacy of number and qualifications of personnel;
- Competence of instructors and assessors;
- Evidence of sufficient funding and insurance;
- Adequacy of the facilities to the courses being conducted and to the number of persons undertaking training;
- Synthetic training devices;
- Documentation, in particular documents related to courses, information on the updating system, training and operations manual;
- Training standards and sampling of training delivery;
- Training records and forms;
- Changes to the training organisation.

The scope of oversight shall be determined on the basis of the specific nature of the organisation, the complexity of its activities, past certification and/or oversight activities and safety priorities.

As a tool to enhance co-ordination and co-operation between the CA/NSA and TO, meetings between the management of the two organisations shall be organised to discuss significant issues. Such meetings could also be used to inform each other on possible changes to procedures, new training courses, or changes to existing ones, etc.

Oversight planning shall not exceed 24 months for all the TOs certified by the CA/NSA. The oversight planning cycle may be extended to a maximum of 36 months if the CA/NSA has established that, during the previous 24 months:

- the organisation has demonstrated an effective identification of aviation safety hazards and management of associated risks; and
- the organisation has continuously demonstrated that it has full control over all changes (see ATCO.OR.B.015); and
- no level 1 findings have been issued; and
- all corrective actions have been implemented within the time period accepted or extended by the CA/NSA (see ATCO.AR.E.015).

The oversight planning cycle may be further extended to a maximum of 48 months if, in addition to the conditions for the extension to 36 months, the TO has established, and the CA/NSA has approved, an effective continuous reporting system to the CA/NSA on safety performance and regulatory compliance of the TO itself.

Guidance

It is recommended that the initial oversight plan remains at 24 months. It can be increased over time as confidence increases between the CA/NSA and TO, providing the conditions listed above are met.

7. CHANGES TO THE TRAINING ORGANISATION

7.1 General

Changes to the TO shall be notified to the CA/NSA and are classified as either changes requiring prior approval or changes without prior approval.

7.2 Changes Requiring Prior Approval

Changes requiring prior approval are those that affect the certificate or the terms of the approval of the TO, or any relevant element of the TO's management systems. These shall require prior approval from the CA/NSA.

A list of changes that may affect the certificate, the terms of the approval of the TO, or its management system, are listed below:

1. the name of the TO;
2. change of legal entity;
3. the TO's principal place of operation;
4. the TO's type(s) of training;
5. additional locations of the training organisation;
6. the accountable manager;
7. any of the persons referred to in Part ATCO.OR (theoretical and practical instructors, assessors and any other persons that requires qualifications involved in the training process);
8. the TO's documentation on safety policy and procedures;
9. the facilities;
10. the management system*;

** For changes regarding the management system other than those listed above, the TO shall submit to the CA/NSA the amended documentation. Where such amendment requires the CA/NSA's approval, it will be provided in writing to the TO.*

7.2.1 Approval Process

The process consists of the following steps:

1. **Application for Change and Associated Documentation**

   The application shall be submitted before any such change takes place. The relevant documentation affected by the change shall be provided to the CA/NSA together with the application. The application and associated documentation has to be submitted at least 30 days prior to the planned entry into force of the change(s). The application form is provided in Annex 1.

2. **Verification by the CA/NSA**

   The CA/NSA shall assess the:

   - proposed change in relation to the TO's certificate or the training approval attached or the management system of it, and the applicable requirements of Part ATCO.OR, as well as any other applicable requirements; and the,
   - actions proposed by the TO in order to show compliance.

   The assessment will be carried out within 10 working days of the receipt of the application.

   > ***Guidance***
   > *In cases where additional clarification is required regarding the proposed change(s), a meeting between the CA/NSA and TO may be organised.*

   As part of the assessment, the CA/NSA may decide to conduct an audit to further verify the TO's compliance with the applicable requirements. The audit shall be carried out within 10 working days of the conclusion of the assessment. The CA/NSA shall use the relevant parts of the compliance checklist provided in the annexes to this procedure.

   The CA/NSA should, depending on the change, examine the need for prescribing any conditions to the TO's operation during the change. The TO shall operate under the conditions prescribed by the CA/NSA during the implementation of the change.

3. **Approval and Modification of the Associated Certificate and Approvals**

   Once the verification is closed, the CA/NSA shall issue, in writing, the approval within 5 working days of the closure of the verification process. The approval shall include the:

   - list of changes proposed by the TO;
   - conditions for the TO's operation, as decided by the CA/NSA, during the implementation of the changes;
   - right of appeal within 5 working days of the date of the approval.

   Within 5 working days of the issue of the approval, on condition that no appeal has been made by the TO, the CA/NSA will modify the certificate and related terms of the approval attached to it and send it to the TO.

4. **Rejection of the Approval**

   The CA/NSA may decide, either during the Application or Verification phases (see bullet 1 and 2), to reject the application. In this cases, they shall inform the TO, in writing, together with the reasoning and the right for appeal within 5 working days from the day of the signature of the rejection.

7.2.2 Enforcement

Without prejudice to any additional enforcement measures, when the TO implements changes requiring prior approval without having received the CA/NSA's approval, the CA/NSA shall take immediate and adequate action. Such actions may include suspension, limitation or revocation of the TO's certificate.

7.3 Changes Without Prior Approval

All other changes that are not included in Section 7.2 above are changes without prior approval.

All changes not requiring prior approval shall be managed and notified to the CA/NSA as defined in the procedure approved by the CA/ NSA. To approve the TO's procedure, the CA/NSA shall verify that it addresses the:

- scope of change;
- management of the change;
- notification mechanism.

Guidance

Regarding the management of the change(s), it is necessary to have:

- *a description of the change(s);*
- *an indication of the person(s) responsible for the change(s) (e.g. the accountable manager for changes to the management system, or the training manager for updates to the training courses, material, documentation, etc.),*
- *the action(s) taken to deal with the change(s),*
- *the timeframe fort he changes(s),*
- *the internal approval/acknowledgement of the change(s).*

The TO's accountable manager shall notify the CA/NAS of the change(s), which shall include the elements described above. Upon request, a new version of the affected documentation will be provided to the CA/NSA.

During its continuous oversight, the CA/NSA will assess the information provided in the notification to verify whether the actions taken comply with the TO's approved procedure and applicable requirements.

7.4 Cessation of Activities

Upon receiving notification from the TO that they intend to cease their activities, partly or in full, the CA/NSA shall analyse the situation in order to:

- modify the TO's certificate and associated approvals attached to the certificate; or
- revoke the certificate. In case of revocation, the Certificate shall be returned to the CA/NSA.

8. APPROVAL OF COURSES AND TRAINING PLANS

8.1 General

TOs shall comply with the scope and privileges defined in the terms of the approval attached to the organisation's certificate.

The CA/NSA shall approve training courses and training plans developed in accordance with the requirements laid down in ATCO.OR.D.001.

In order to ensure that the applicable requirements in Annex I- Part ATCO, Subpart D are fulfilled, the privilege to provide unit and continuation training shall only be granted to TOs who:

- hold a certificate for the provision of the air traffic control service; or
- have concluded a specific agreement with the ATC provider.

Types of air traffic controller training:

- Initial training composed of Basic and Rating training;
- Unit training composed of Transitional, pre-OJT* and OJT training phases. Unit training consists of training course(s) for each unit endorsement established at the ATC Unit and defined in the unit training plan;
- Continuation training composed of refresher and continuation training;
- Practical instructor training;
- Assessor training;
- Language training.

** For unit endorsement(s) that require the handling of complex and dense traffic situations, a pre-on-the-job training phase is required to enhance the previously acquired rating routines and skills and to prepare for live traffic situations which may be encountered in that unit.*

The approval process consists of the following steps:

- Request for approval;
- Verification;
- Issuance/Rejection of the approval;

Guidance

As the approval of the training course is granted prior to its delivery, it is still possible to raise findings after such approval. For example, an on-site inspection regarding the conduct of the training could reveal additional points which were not identified during the approval process.

8.2 Initial Training

Initial training consists of basic training which is common to all applicants and rating training of which there are six different rating syllabi. The following ratings and ratings endorsements are used within Bulgarian ATS units

- ADI/TWR
- APS, APP
- ACS

8.2.1 Request for Approval

The request for approval is a plain text letter provided by the TO at least 30 days prior to the start of the course. Together with the letter, the TO shall submit the initial training plan, which shall contain, as a minimum, the:

- composition of the initial training course provided according to ATCO.D.010;
- structure of the initial training provided according to ATCO.D.020(b);
- process for conducting the initial training course(s);
- training methods;
- minimum and maximum duration of the initial training course(s);
- with regard to ATCO.D.010(b), the process for adapting the initial training course(s) to take due account of a successfully completed basic training course;
- processes for examinations and assessments according to ATCO.D.025 and ATCO.D.035, as well as performance objectives according to ATCO.D.030 and ATCO.D.040;
- training personnel qualifications, roles and responsibilities;
- process for the early termination of training;
- appeal process;
- identification of initial training records to be kept;
- process and reasons for reviewing and amending the initial training plan and its submission to the CA/NSA. The review of the initial training plan shall take place at least once every three years.

8.2.2 Verification

The subjects, topics and subtopics for: **Basic training** are contained in Appendix 2 of Annex I- Part ATCO, while the subject and training objectives are included in Annex I to the Acceptable Means of Compliance to Part ATCO reference AMC1 ATCO.D.010(a)(1);

- **Aerodrome Control Instrument – ADI Rating for Tower (ADI/TWR) training** are contained in Appendix 4 of Annex I - Part ATCO, while the subject and training objectives are included in Annex I to the Acceptable Means of Compliance to Part ATCO reference AMC1 ATCO.D.010(a)(2)(ii);

- **Approach Control Surveillance - APS Rating training** are contained in Appendix 7 of Annex I - Part ATCO, while the subject and training objectives are included in Annex I to the Acceptable Means of Compliance to Part ATCO reference AMC1 ATCO.D.010(a)(2)(v);
- **Area Control Surveillance - ACS Rating training** are contained in Appendix 8 of Annex I - Part ATCO while the subject and training objectives are included in Annex I to the Acceptable Means of Compliance to Part ATCO reference AMC1 ATCO.D.010(a)(2)(vi).

The verification process is focused on the elements of the initial training plan and the content of the basic and rating training(s) as provided above. Verification includes the completeness of the associated documentation and its feasibility for implementation (e.g. personnel dealing with it, training methods vs. equipment used, etc.).

Guidance 1

The list of initial courses can be increased once a decision has been taken to use additional ratings within the SOFIAFIR.

Guidance 2

The use of performance objectives during assessments is essential. The assessment presented as documentation for the approval of the initial training shall use performance objectives as provided under the regulation.

8.2.3 Issuance/Rejection of the Approval

Once the verification is satisfactorily completed, the CA/NSA shall issue, in writing, the approval within 5 working days of the closure of the verification process. The approval shall include in plain text:

- The list of ratings for which the initial training has been approved;
- Any conditions imposed during the implementation of the initial training;
- The right of appeal within the 5 working days following the date of the approval.

The CA/NSA may decide to reject the application for the approval of initial training. In such cases, they should communicate this in writing to the TO together with the reasoning and the right for appeal within 5 working days from the date of the signature of the rejection.

8.3 Unit Training

Unit training shall consist of training course(s) for each unit endorsement established at the ATC unit and defined in the unit training plan.

All the unit endorsement courses form the unit training for that specific unit. Each unit shall have a Unit Training Plan (UTP). The unit endorsements at the relevant ATS units are as follows:

Tower: ADI/TWR with unit endorsement respectively:

- LBSF
- LBWN
- LBBG
- LBPD
- LBGO

Approach: APS with unit endorsement respectively:

- LBSF
- LBWN
- LBBG

Area control: ACS with unit endorsement respectively:

- LBSR/SF
- LBSR/WN

A unit endorsement course is the combination of the relevant unit training phases for the issue or renewal of a unit endorsement in the licence. Each course shall contain a transitional training phase and an on-the-job training phase.

A pre-on-the-job training phase shall be included, if required, for unit endorsement(s) that require the handling of complex and dense traffic situations.

The use of performance objectives during assessments is essential. The assessment presented as documentation for the approval of the initial training shall use performance objectives as provided with the regulation.

8.3.3 Issuance/Rejection of the Approval

Once the verification is completed, the CA/NSA shall issue, in writing, the approval within 5 working days of the closure of the verification. The approval shall include in plain text:

- The list of unit endorsement courses for which the unit training has been approved;
- Any conditions imposed during the implementation of the unit training (e.g. could be related to the pre-OJT requirements);
- The right of appeal within the 5 working days following the date of the approval

The CA/NSA may decide to reject the application for the approval of the unit training. In such cases, they should communicate this in writing to the TO, together with the reasoning and the right for appeal within 5 working days after the date of the signature of the rejection.

Following an exchange of a licence, the CA/NSA shall approve or reject the unit endorsement course established in accordance with ATCO.B.020(b) and (c) not later than six weeks after presentation of the application for the approval of the course, and ensure that the principles of non-discrimination and proportionality are respected.

8.4 Unit competence scheme

Unit competence schemes (UCS) shall be established by the air navigation service provider and approved by the competent authority.

8.4.1 Request for approval

The request for approval of UCS shall include at least the following elements:

(1) the validity of the unit endorsement in accordance with ATCO.B.020(e);

(2) the maximum continuous period when the privileges of a unit endorsement are not exercised during its validity. This period shall not exceed 90 calendar days;

(3) the minimum number of hours for exercising the privileges of the unit endorsement within a defined period of time, which shall not exceed 12 months, for the purpose of ATCO.B.020(g)(1). For on-the-job training instructors exercising the privileges of the OJTI endorsement the time spent instructing shall be counted for the maximum of 50 % of the hours required for revalidation of the unit endorsement.

(4) procedures for the cases where the licence holder does not meet the requirements set out in point (a)(2) and (3);

(5) processes for assessing competence, including assessment of the refresher training subjects according to ATCO.D.080(b);

(6) processes for the examination of theoretical knowledge and understanding necessary to exercise privileges of the ratings and endorsements;

(7) processes to identify the topics and subtopics, objectives and training methods for continuation training;

(8) the minimum duration and frequency of the refresher training;

(9) processes for the examination of theoretical knowledge and/or the assessment of practical skills acquired during conversion training, including pass marks for examinations;

(10) processes in case of failure of an examination or assessment, including the appeal processes; (11) training personnel qualifications, roles and responsibilities;

Guidance

The definition of "complex and dense traffic situations" has to be defined by the ANSP and agreed by the CA/NSA.

Unit endorsement courses shall define the syllabus and performance objectives in accordance with ATCO.D.045(c) (i.e. unit training shall include training in: operational procedures; task-specific aspects; abnormal and emergency situations; and human factors) and shall be conducted in accordance with the UTP.

8.3.1 Request for Approval

The request for approval is a plain text letter provided by the TO at least 30 days prior to the start of the course. The TO shall submit the UTP with the letter, which shall contain, as a minimum, the:

- ratings and endorsements for which the training is conducted;
- structure of the unit training;
- list of unit endorsement course(s) according to ATCO.D.060;
- process for conducting a unit endorsement course;
- training methods;
- minimum duration of the unit endorsement course(s);
- process for adapting the unit endorsement course(s) to take due account of the acquired ratings and/or rating endorsements and experience of applicants, when relevant;
- processes for demonstrating theoretical knowledge and understanding according to ATCO.D.065, including the number, frequency and type of, as well as pass marks for examinations, which shall be a minimum of 75% of the marks allocated to these examinations;
- processes for the assessment according to ATCO.D.070, including the number and frequency of assessments;
- training personnel qualifications, roles and responsibilities;
- process for the early termination of training;
- appeal process;
- identification of unit training records to be kept ;
- list of identified abnormal and emergency situations specific to each unit endorsement;
- process and reasons for reviewing and amending the UTP and its submission to the CA/NSA. The review of the UTP shall take place at least once every three years.

8.3.2 Verification

The verification process is focused on the elements of the UTP and associated documentation. Verification includes the completeness of the associated documentation and its feasibility for implementation (e.g. personnel dealing with it, training methods vs. equipment used, etc.).

Unit endorsement courses undertaken following an exchange of a licence shall be adapted to include elements of initial training that are specific to the Functional Airspace Block or national environment. As such, subjects, subject objectives, topics and sub-topics shall include such elements from the initial training.

Guidance

(11) training personnel qualifications, roles and responsibilities;

(12) procedure to ensure that practical instructors have practised instructional techniques in the procedures in which it is intended to provide instruction in accordance with ATCO.C.010(b)(3) and ATCO.C.030(b)(3);

(13) procedures for the declaration and the management of cases of provisional inability to exercise the privileges of a licence, as well as for informing the competent authority in accordance with ATCO.A.015(d);

(14) identification of records to be kept specific to continuation training and assessments, in accordance with ATCO.AR.B.015;

(15) process and reasons for reviewing and amending the unit competence scheme and its submission to the competent authority. The review of the unit competence scheme shall take place at least once every three years.

8.4.2 Verification

The verification process is focused on the elements of the UCS and associated documentation. Verification includes the completeness of the associated documentation and its feasibility for implementation (e.g. personnel dealing with it, training methods vs. equipment used, etc.).

8.4.3 Issuance/Rejection of the Approval Once the verification is completed, the CA/NSA shall issue, in writing, the approval within 5 working days of the closure of the verification.

The CA/NSA may decide to reject the application for the approval of the unit training. In such cases, they should communicate this in writing to the TO, together with the reasoning and the right for appeal within 5 working days after the date of the signature of the rejection.

8.5. Continuation Training

Continuation training shall consist of refresher and conversion training courses and shall be provided according to the requirements contained in the unit competence scheme according to ATCO.B.025.

Refresher Training

Refresher training course(s) shall be developed and provided by the TO. Refresher training shall be designed to review, reinforce or enhance the existing knowledge and skills of air traffic controllers to provide a safe, orderly and expeditious flow of air traffic and shall contain at least:

- standard practices and procedures training, using approved phraseology and effective communication;
- abnormal and emergency situations training, using approved phraseology and effective communication; and
- human factors training.

A syllabus for the refresher training course shall be defined, and where a subject refreshes skills of air traffic controllers, performance objectives shall also be developed.

Conversion Training

Conversion training course(s) shall be developed and provided by the TO. Conversion training shall be designed to provide knowledge and skills appropriate to a change in the operational environment and shall be provided by TOs when the safety assessment of the change concludes the need for such training.

Conversion training courses shall include the determination of the:

- appropriate training method for and duration of the course, taking into account the nature and extent of the change; and
- examination and/or assessment methods for the conversion training.

Conversion training shall be provided before air traffic controllers exercise the privileges of their licence in the changed operational environment.

8.5.1 Request for Approval

The request for approval is a plain text letter provided by the TO at least 30 days prior to the start of the course. Together with the letter, the TO shall submit, as a minimum (as per ATCO.B.025 Unit Competence Scheme) the:

- processes for assessing of the refresher training subjects according to ATCO.D.080(b);
- processes for the examination of theoretical knowledge and the understanding necessary to exercise privileges of the ratings and endorsements;
- the minimum duration and frequency of the refresher training;
- processes to identify the topics and subtopics, objectives and training methods for continuation training;
- processes for the examination of theoretical knowledge and/or the assessment of practical skills acquired during conversion training, including pass marks for examinations;
- processes in case of failure of an examination or assessment, including the appeal process;
- training personnel qualifications, roles and responsibilities;
- identification of continuation training and assessments records to be kept, in accordance with ATCO.AR.B.015;

8.5.2 Verification

The verification process is focused on the elements of the continuation training and the associated documentation. Verification includes the completeness of the associated documentation and its feasibility for implementation (e.g. personnel dealing with it - qualifications, training methods vs. equipment used, etc.).

8.5.3 Issuance/Rejection of the Approval

Once the verification is closed the CA/NSA shall issue in writing the approval within 5 working days after the completion of the verification process. The approval shall include in plain text:

- The list of courses included in the unit competence scheme;
- Any conditions imposed during the implementation of the training (e.g. related to the changes of certain equipment or situations to be refreshed);
- The right of appeal within the 5 working days following the date of the approval.

The CA/NSA may decide to reject the application for the approval of the continuation training. In this case, they should communicate this in writing to the TO together with the reasoning and the right for appeal within 5 working days from the date of the signature of the rejection.

8.6 Training of Practical Instructors

Training of practical instructors shall be developed and provided by TO and shall consist of a:

- practical instructional techniques course for OJTI and/or STDI, including an assessment;
- refresher training course on practical instructional skills;
- method(s) for assessing the competence of practical instructors.

8.6.1 Request for Approval

The request for approval is a plain text letter which shall be provided by the TO at least 30 days prior to the start of the course. Together with the letter, the TO shall submit, as a minimum, the:

- structure of the practical instructional techniques course for OJTI and/or STDI;
- structure of the refresher on practical instructional techniques course for OJTI and/or STDI
- training methods;
- duration of the practical instructional techniques and refresher courses for OJTI and/or STDI;
- processes for the assessment and methods for assessing the competence of practical instructors;
- training personnel qualifications, roles and responsibilities;
- appeal process;
- identification of records to be kept;

Guidance 1

A successful assessment of instructional techniques for practical instructors should establish competence at least in the following areas:

- *regulatory impact on air traffic controller training;*
- *human factors impact on air traffic controller training;*
- *determination of the background and experience of the person undertaking training;*
- *determination of the current level of ability of the person undertaking training;*
- *conduct of a pre-session briefing;*
- *planning and conduct of the training session;*
- *demonstration and explanation of the tasks;*
- *monitoring of the training session;*
- *management of interventions correctly, including error correction;*

- *evaluation of the performance of the person undertaking training;*
- *debrief of the person undertaking training;*
- *furnishing of written reports on the performance of the person undertaking training;*
- *taking appropriate follow-up action towards resolving training problems;*
- *techniques of pausing clocks; and*
- *knowledge of technical facilities/environment.*

Guidance 2:

For the training of OJTIs, a part-task trainer or a simulator should be used. The practical instructor competence assessment for an OJTI may be undertaken either in live operations or on a synthetic training device. The practical instructor competence assessment for an STDI should be undertaken on a synthetic training device.

8.6.2 Verification

The verification process is focused on the elements of the training and associated documentation. Verification includes the completeness of the associated documentation and its feasibility for implementation (e.g. personnel dealing with it, training methods vs. equipment used, etc.)

8.6.3 Issuance/Rejection of the Approval

Once the verification is closed the CA/NSA shall issue in writing the approval within 5 working days after the closure of the verification. The approval shall include in plain text:

- The name of courses included in the approval;
- Any conditions imposed during the implementation of the training (e.g. could be related to the location or the use of a specific equipment);
- The right of appeal within the 5 working days following the date of the approval

The CA/NSA may decide to reject the application for the approval of the training. In such cases, they should communicate this in writing to the TO together with the reasoning and the right for appeal within 5 working days from the date of the signature of the rejection.

8.7 Training of Assessors

The training of assessors shall be developed and provided by the TO and shall consist of:

- an assessor training course, including an assessment;
- a refresher training course on assessment skills;
- method(s) for assessing the competence of assessors.

8.7.1 Request for Approval

The request for approval is a plain text letter provided by the TO at least 30 days prior to the start of the course. Together with the letter, the TO shall submit, as a minimum, the:

- structure of the assessor course;
- structure of the refresher course for assessors;

- training methods;
- duration of the assessor and refresher courses;
- processes for the assessment and methods for assessing the competence of assessors;
- training personnel qualifications, roles and responsibilities;
- appeal process;
- identification of the records to be kept;

Guidance 1

A successful assessment should establish the competence in at least the following areas of assessment knowledge and techniques:

- *regulatory environment and legal obligations;*
- *types of assessment and their application;*
- *performance objectives constituting air traffic controller competence;*
- *conditions of assessments to create reliable results;*
- *processing of assessments and administrative procedures;*
- *giving verbal feedback and writing assessment reports;*
- *vested interests and code of conduct;*
- *accurately assessing competence against the performance objectives;*
- *developing a good questioning technique and designing questions appropriate to the assessment.*

Guidance 2

The assessment of assessor competence should focus on the application of the skills of an assessor. The skills should represent at least a subset of the competences taught during the assessor training course. Any assessment of assessor competence should be realistic and it could take place during live traffic situations or during training.

8.7.2 Verification

The verification process is focused on the elements of the training and associated documentation. Verification includes the completeness of the associated documentation and its feasibility for implementation (e.g. personnel dealing with it, training methods vs. equipment used, etc.).

8.7.3 Issuance/Rejection of the Approval

Once the verification is closed, the CA/NSA shall issue in writing the approval within 5 working days from the closure of the verification process. The approval shall include in plain text:

- The name of courses included in the approval;
- Any conditions imposed during the implementation of the training (e.g. the type of assessor);
- The right of appeal within 5 working days following the date of the approval.

The CA/NSA may decide to reject the application for the approval of the training. In such cases, they should communicate this in writing to the TO together with the reasoning and the right for appeal within 5 working days from the date of the signature of the rejection.

8.8 Language Training

Air navigation service providers shall make available language training to maintain the required level of language proficiency to:

- holders of language proficiency endorsement at operational level (level four);
- licence holders without the opportunity to apply their skills on a regular basis in order to maintain their language skills.

Language training may also be made available in the form of continuous training.

8.8.1 Request for Approval

The request for approval is a plain text letter provided by the TO at least 30 days prior to the start of the course. Together with the letter, the TO shall submit, as a minimum, the:

- structure of the course;
- training methods;
- duration of the courses;
- processes and methods for assessment;
- training personnel qualifications, roles and responsibilities;
- appeal process;
- identification of records to be kept;

Guidance

Language training should contain communication in a job-related context, particularly in handling abnormal and emergency situations and conduct non-routine coordination with colleagues, crews and technical staff. Emphasis should be placed on listening comprehension, speaking interaction and vocabulary building.

Training for language proficiency skills may be delegated to language training organisations with knowledge in the field of aviation.

8.8.2 Verification

The verification process is focused on the elements of the training and associated documentation. Verification includes the completeness of the associated documentation and its feasibility for implementation (e.g. personnel dealing with it, training methods vs. equipment used, etc.)

8.8.3 Issuance/Rejection of the Approval

Once the verification is closed, the CA/NSA shall issue in writing the approval within 5 working days after the closure of the verification process. The approval shall include in plain text:

- The name of course included in the approval;
- Any conditions imposed during the implementation of the training, if applicable;
- The right of appeal within 5 working days following the date of the approval.

The CA/NSA may decide to reject the application for the approval of the training. In such cases, they should communicate this in writing to the TO together with the reasoning and the right for appeal within 5 working days from the date of the signature of the rejection.

9.` Language assessment bodies

(a) The demonstration of language proficiency shall be done through a method of assessment approved by the competent authority, which shall contain:

(1) the process by which an assessment is done;

(2) the qualification of the assessors;

(3) the appeals procedure.

b) Language assessment bodies shall comply with the requirements established by the competent authorities according to ATCO.AR.A.010.

Checklist for language assessment bodies is provided in Annex IV

10. SPECIAL CASE: CONTRACTED ACTIVITIES

9.1 General

The TO may decide to contract certain parts of its activities to external organisations. In such cases, the TO shall ensure that, when contracting or purchasing any parts of their activities, the contracted or purchased activity (or part thereof), conforms to the applicable requirements.

Regardless of the approval status of the contracted organisation, the contracting TO is responsible for ensuring that all contracted activities are subject to hazard identification and risk management (as required by ATCO.OR.C.001(c)) and to compliance monitoring (as required by ATCO.OR.C.001(f)).

9.2 Organisations Not Certified in Accordance with the ATCO Regulation

When a TO contracts any part of its activity to an organisation that is not itself certified in accordance with the ATCO Regulation to carry out such activities, the contracted organisation shall work under the terms of approval contained in the certificate issued to the contracting TO.

The contracting TO shall ensure that the CA/NSA is given access to the contracted organisation to determine continued compliance with the applicable requirements. As such, a written agreement should exist between the TO and the contracted organisation clearly defining the contracted activities and the applicable requirements, including the access of the CA/NSA to exercise its oversight and monitoring functions with the applicable requirements.

The contracted safety-related activities relevant to the agreement should be included in the TO's compliance monitoring programme. As such, the CA/NSA shall verify during certification and continuous oversight the fact that the TO's management system includes within the compliance monitoring programme the contracted activities and verifies the existence of reports from the programme regarding contracted activities.

The TO should ensure that the contracted organisation has the necessary authorisation or approval when required, and commands the resources and competence to undertake the task. As such, through the written agreements and compliance monitoring programme, the TO shall verify the resources and their competences when contracting activities. The CA/NSA shall verify the written agreement and the results of the compliance monitoring process regarding the contracted activities.

9.3 Organisations Certified in Accordance with the ATCO Regulation

When the contracted organisation is itself certified to carry out the contracted activities, the TO's compliance monitoring should at least check that the approval effectively covers the contracted activities and that it is still valid.

ANNEX 1 – APPLICATION FORM FOR THE CERTIFICATION OF A TRAINING ORGANISATION

1. APPLICANT'S REFERENCE		
1.1 Your Reference		
2. APPLICANT ADDRESS AND CONTACT DATA		
2.1 Applicant Data		
2.1.1 Name and Address (registered (business) name and address/legal seat of the company)	Account Number	3XXXXX
	(Company) Name	
	Street / Nr	
	Post Code	
	City	
	Country	
2.1.2 Contact Person (responsible for this application)	Title	☐ Mr ☐ Ms
	Name	
	First name	
	Job title	
	Phone/Fax	
	Email	
2.2 Principle Location (may be left blank, if same as 2.1 Applicant Data)		
2.2.1 Name and Location Address	(Company) Name	
	Street / Nr	
	Post Code	
	City	
	Country	
2.3 Additional Locations		☐ Yes ☐ No
2.3.1 Location Address	Name	
	Street / Nr	
	Post Code	
	City	
	Country	

3. IDENTIFICATION OF ACTIVITY		
3.1 Activity	3.1.1 ☐ Application for initial ATCO Training Organisation Certificate 3.1.2 ☐ Application for change to ATCO Training Organisation Certificate	
3.2 Original Approval Ref. Please complete in case of 3.1.2		
3.3 Issued by Please complete in case of 3.1.2		

4. TYPE(S) OF TRAINING for which Certification is requested in accordance with the provision of Regulation (EU) 2015/340		
4.1 ☐ ATCO Initial Training		
Course	**Ratings**	**Rating endorsements**
☐ Basic Training	N/A	N/A
☐ Rating Training	☐ Aerodrome Control Visual (ADV)	N/A
	☐ Aerodrome Control Instrument (ADI)	☐ Tower Control (TWR)
		☐ Ground Movement Control (GMC)
		☐ Ground Movement Surveillance (GMS)
		☐ Air Control (AIR)
		☐ Aerodrome Radar Control (RAD)
	☐ Aerodrome Control Procedural (APP)	N/A
	☐ Approach Control Surveillance (APS)	☐ Precision Approach Radar (PAR)
		☐ Surveillance Radar Approach (SRA)
		☐ Terminal Control (TCL)
	☐ Area Control Procedural (ACP)	☐ Oceanic Control (OCN)
	☐ Area Control Surveillance (ACS)	☐ Terminal Control (TCL)
		☐ Oceanic Control (OCN)
4.1.1 Remarks		
4.2 ☐ ATCO Unit Training		
4.2.1 Remarks		

4.3 ☐ ATCO Continuation Training	
Course	☐ ATCO Refresher Training ☐ ATCO Conversion Training
4.3.1 Remarks	
4.4 ☐ ATCO Practical Instructor Training	
4.4.1 Remarks	
4.5 ☐ ATCO Assessor Training	
4.5.1 Remarks	

5. DESCRIPTION OF CHANGES APPLIED FOR UNDER EXISTING APPROVAL CERTIFICATE

5.1 ☐ Changes to the Organisation	[description]
5.2 ☐ Changes to the scope/privileges	[description]

6. OTHER

6.1 Number of staff involved in the activities under the Type of Training	

6.2 List of documentation to be provided with the application:

a) Organisation Exposition including company flow-charts and, as relevant, description and information on ATCO TO activities and organisation of partners or sub-contractors;
b) Initial Training Plan / Unit Training Plan / Unit Competence Scheme, as applicable;
c) A copy of the national Companies register / Certificate of Incorporation.

Date/Location	Name of Accountable Manager	Signature

ANNEX 2 – CERTIFICATE TEMPLATE SAMPLE

CERTIFICATE FOR AIR TRAFFIC CONTROLLER TRAINING ORGANISATIONS (ATCO Training Organisations)

European Union

Competent Authority

AIR TRAFFIC CONTROLLERS TRAINING ORGANISATION CERTIFICATE

[CERTIFICATE NUMBER/REFERENCE]

Pursuant to Commission Regulation (EU) No .../... and subject to the conditions specified below, the [competent authority] hereby certifies

[NAME OF THE TRAINING ORGANISATION]

[ADDRESS OF THE TRAINING ORGANISATION]

as a Part ATCO.OR certified training organisation with the privilege to provide Part ATCO training, as listed in the attached training approval.

Terms of approval and privileges:

This certificate is limited to the privileges and the scope of providing training as listed in the attached training approval.

This certificate is valid whilst the certified organisation remains in compliance with Part ATCO.OR, Part ATCO and other applicable regulations.

Subject to compliance with the foregoing terms of approval and privileges, this certificate shall remain valid unless the certificate has been surrendered, superseded, limited, suspended or revoked.

Date of issue:

Signed:

AIR TRAFFIC CONTROLLERS TRAINING ORGANISATION CERTIFICATE

TRAINING APPROVAL

Attachment to ATCO Training Organisation Certificate Number:

[CERTIFICATE NUMBER/REFERENCE]

[NAME OF THE TRAINING ORGANISATION]

has obtained the privileges to provide and conduct the following training in accordance with Part ATCO:

TYPE(S) OF TRAINING			
Type of training	**Course**	**Rating Endorsements**[1]	**Remarks**[2]
☐ ATCO Initial Training	☐ Basic Training	N/A	
	☐ Rating Training[3]		
☐ ATCO Unit Training	.....[4]		
☐ ATCO Continuation Training	☐ ATCO Refresher Training	N/A	
	☐ ATCO Conversion Training[5]	N/A	
☐ Practical Instructor Training	N/A	N/A	
		N/A	
☐ Assessor Training	N/A	N/A	
		N/A	

This training course approval is valid as long as:

(a) the ATCO TO certificate has not been surrendered, superseded, limited, suspended or revoked; and

b) all operations are conducted in compliance with Part ATCO.OR, Part ATCO, other applicable regulations, and, when relevant, with the procedures in the organisation's documentation as required by Part ATCO.OR.

Date of issue:

Signed: [Competent authority]

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1 The competent authority shall specify the rating endorsements according to ATCO.B.015 for which the training is provided, if appropriate.

2 Wherever necessary.

3 The competent authority shall specify the ratings according ATCO.B.010 for which the training is provided.

4 The competent authority shall specify the unit endorsement(s) for which the training is provided.

5 Not generic training; provided on an ad hoc basis following a specific approval by the competent authority.

ANNEX 3 – COMPLIANCE CHECKLIST for TO

See the Excel file.

ANNEX 4 – COMPLIANCE CHECKLIST for Language Assessment Bodies

TEST DESIGN AND CONSTRUCT			
1	Is the test is designed to assess speaking and listening proficiency in accordance with each component of the ICAO Language Proficiency Rating Scale and the holistic descriptors in Appendix 1 of Annex I of Regulation 2015/340?	YES NO	Comments:
2	Is a definition of the test purpose that describes both the aims of the test and the target population accessible to all decision-makers?	YES NO	Comments:
3	3 Is a description of and rationale for test construct and how it corresponds to the ICAO language proficiency requirements accessible to all decisionmakers in plain, layperson language?	YES NO	Comments:
4	Does the test comply with principles of good practice and a code of ethics as described in Chapter 6 of ICAO Doc 9835?	YES NO	Comments:
5	Does the test focus on discrete-point items, on grammar explicitly or on discrete vocabulary items?	YES NO	Comments:
6	6 Is a specific listening section with individual items included?	YES NO	Comments:
	Does the test include voice-only interaction?	YES NO	Comments:
	Is the test is specific to aviation operations?	YES NO	Comments:
	Does the test assess plain language proficiency in an aviation context?	YES NO	Comments:
	Does the test avoid items that are designed to elicit highly technical or very context-specific language?	YES NO	Comments:
	Is the final score for each test-taker the lowest of the scores in each of the six	YES NO	Comments:

	ICAO language proficiency skills?		
	Is the final score for each test-taker the lowest of the scores in each of the six ICAO language proficiency skills?	YES NO	Comments:
TEST VALIDITY AND RELIABILITY			
	Is a statement of evidence for test validity and reliability accessible to all decision-makers in plain, layperson language?	YES NO	Comments:
	Is a description of the development process that includes the following information accessible to all decision-makers: a) a summary of the development calendar? b) a report on each development phase?	YES NO	Comments:
	Is an appraisal of the expected test washback effect on training accessible to all decisionmakers?	YES NO	Comments:
RATING			
	Is the rating process documented?	YES NO	Comments:
	To fulfil licensing requirements, do at least two raters participate in the rating of tests, with a third expert rater consulted in case of divergent scores?	YES NO	Comments:
	a) Are initial and recurrent rater training documented? b) Are rater training records maintained? c) Are raters audited periodically and reports documented?	YES NO	Comments:
	If rating is conducted using new technology, including speech recognition technology, is the correspondence of such rating to human rating, on all aspects of the Rating Scale, clearly demonstrated in layperson language?	YES NO	Comments:
TEST ADMINISTRATION AND SECURITY			
	Is a complete sample of the test	YES	Comments:

	published, including the following: a) test-taker documents (paper instructions, screen display, etc.)? b) interlocutor instructions or prompts? c) rater documentation (answer key, rating scale, instructions)? d) one complete sample of audio recordings (for listening sections or semi-direct prompts)? e) a demonstration of test-taker/interlocutor interaction?	NO	
	Is the test rating process documented, including instructions on the extent and nature of evidence that raters should collect?	YES NO	Comments:
	Are the test instructions to the test-taker, the test administration team and test raters clearly documented?	YES NO	Comments:
	Are the requirements for equipment, human resources and facilities necessary for the test included in the instructions?	YES NO	Comments:
	Is the testing location moderately comfortable, private and quiet?	YES NO	Comments:
	Is a full description of test administration policies and procedures available to all decision-makers? Does it include the following: a) policies and procedures for retaking the test? b) score reporting procedures? c) record-keeping arrangements? d) plans for quality control, test maintenance and ongoing test development? e) purchasing conditions?	YES NO	Comments:
	Has a documented appeals process been established and made available to test-takers and decision-makers at the beginning of the testing process?	YES NO	Comments:
	Is a full description of security measures required to ensure the integrity of the testing process documented and	YES NO	Comments:

	available to all decision-makers?		
	In the case of semi-direct prompts, are there adequate versions of the test to meet the needs of the population to be tested with respect to its size and diversity?	YES NO	Comments:
	Are test questions and prompts held in confidence and not published or in any way provided to testtakers prior to the test event?	YES NO	Comments:
	Is a documented policy for all aspects of test security accessible to all decision-makers?	YES NO	Comments:
RECORD-KEEPING			
	Are all proficiency tests of speaking ability involving interaction between the test-taker and interlocutor recorded on audio or video media?	YES NO	Comments:
	Are evaluation sheets and supporting documentation filed for a predetermined and documented period of time of sufficient duration to ensure that rating decisions can no longer be appealed?	YES NO	Comments:
	Is the record-keeping process adequate for the scope of the testing and documented?	YES NO	Comments:
	Is the score-reporting process documented, and are scores retained for the duration of the licence?	YES NO	Comments:
	Are results of testing held in strict confidence and released only to test-takers, their sponsors or employers, and the civil aviation authority, unless test-takers provide written permission to release their results to another person or organization?	YES NO	Comments:
ORGANIZATIONAL INFORMATION AND INFRASTRUCTURE			
	Has an aviation language TSP provided clear information about its organization and its relationships with other organizations?	YES NO	Comments:
	If a TSP is also a training provider, is there a clear and documented separation between the two activities?	YES NO	Comments:
	Does the TSP employ sufficient numbers of qualified interlocutors and raters to administer the required tests?	YES NO	Comments:

	Has the TSP provided an explanation of how the test is maintained, including an explanation of how ongoing test development is conducted?	YES NO	Comments:
TESTING-TEAM QUALIFICATIONS			
	Familiarity with ICAO documentation Are all testing team members familiar with the following ICAO publications? a) the relevant SARPS and Recommended Practices of Annex 1? b) holistic descriptors (Appendix 1 to Annex 1) and the ICAO Rating Scale (Attachment A to Annex 1)? c) Manual on the Implementation of ICAO Language Proficiency Requirements (Doc 9835)? d) ICAO Rated Speech Samples CD?	YES NO	Comments:
	Test design and development team Does the test design and development team include individuals with aviation operational, language test development, and linguistic expertise?	YES NO	Comments:
	Test administration team (administrators and interlocutors) Do test administrators and interlocutors have a working knowledge of the test administration guidelines published by the test organization?	YES NO	Comments:
	Do interlocutors demonstrate language proficiency of at least ICAO Extended Level 5 in the language to be tested and proficiency at Expert Level 6 if the test is designed to assess ICAO Level 6 proficiency?	YES NO	Comments:
	Have interlocutors successfully completed initial interlocutor training?	YES NO	Comments:
	Do interlocutors demonstrate language proficiency of at least ICAO Extended Level 5 in the language to be tested and proficiency at Expert Level 6 if the test is designed to assess ICAO Level 6 proficiency?	YES NO	Comments:
	Have interlocutors successfully completed recurrent interlocutor training at least once each year?	YES NO	Comments:

	Do interlocutors have appropriate aviation operational or language testing expertise, or both?	YES NO	Comments:
	Do raters demonstrate language proficiency of at least ICAO Extended Level 5 in the language to be tested, and Expert Level 6 if the test is designed to assess ICAO Level 6 proficiency?	YES NO	Comments:
	Are raters familiar with aviation English and with any vocabulary and structures that will likely be elicited by the test prompts and interactions?	YES NO	Comments:
	Have raters successfully completed initial rater training?	YES NO	Comments:
	Have raters successfully completed recurrent rater training at least once each year?	YES NO	Comments: