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Doc 9841

Manual on the Approval of Training Organizations

Third Edition



Approved by and published under the authority of the Secretary General

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AMENDMENTS

Amendments are announced in the supplements to the *Products and Services Catalogue*; the Catalogue and its supplements are available on the ICAO website at www.icao.int. The space below is provided to keep a record of such amendments.

RECORD OF AMENDMENTS AND CORRIGENDA

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FOREWORD

The purpose of this document is to provide information and guidance to the Licensing Authority on the implementation of the Standards of Annex 1 — *Personnel Licensing* related to the approval of training organizations, as well as the associated provisions in the *Procedures for Air Navigation Services — Training* (PANS-TRG, Doc 9868). The first edition of Doc 9841 was developed by the Flight Crew Licensing and Training Panel in 2004 and focused exclusively on flight training entities. The second edition was significantly expanded in scope and dealt with the approval of training organizations which provide training services for the issue of an aviation personnel licence or rating. The third edition aligns the guidance material with Amendment 5 to the PANS-TRG and introduces an alternative approval process for foreign approved training organizations. This manual should be used in conjunction with Annex 1.

Comments on this manual would be appreciated. They will be taken into account in the preparation of subsequent editions. Comments concerning the manual should be addressed to:

The Secretary General
International Civil Aviation Organization
999 Robert-Bourassa Boulevard
Montréal, Quebec H3C 5H7
Canada

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GLOSSARY

When the following terms are used in this manual, they have the following meanings:

Accountable executive. 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).

Note.— The accountable executive is normally the head of training and may delegate to another person within the organization the day-to-day management functions but not the overall approval management responsibility. In complex corporate structures, the accountable executive may be responsible for several different ATOs, each with its own head of training.

Adapted competency model. A group of competencies with their associated description and performance criteria adapted from an ICAO competency framework that an organization uses to develop competency-based training and assessment for a given role.

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.

Note 1.— An example of alternate means of compliance would be the civil aviation authority's acceptance of reduced training time for personnel undergoing a specific air operator's approved aircraft type-rating training programme rather than the training time requirements traditionally prescribed for approved programmes of a more generic nature leading to the same aircraft type-rating.

Note 2.— This definition is introduced to ensure that the reader understands the difference between an "alternate means of compliance" (a term used by some States) and an "alternative means of compliance" (a term used by ICAO). The concept of "alternate means of compliance" is not relevant to the guidance provisions of this manual.

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 (AMO).[†] An organization approved by a Contracting State, in accordance with the requirements of Annex 6, Part I, Chapter 8 — Aeroplane Maintenance, to perform maintenance of aircraft or parts thereof and operating under supervision approved by that State.

Note.— Nothing in this definition is intended to preclude that the organization and its supervision be approved by more than one State.

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

Note.— Nothing in this definition is intended to preclude that the organization and its supervision be approved by more than one State.

[†] Applicable until 4 November 2020.

^{††} Applicable as of 5 November 2020.

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.

Note.— The Contracting State is required to ensure that the ATO is included in the State's ongoing safety oversight programme.

Baseline CAA. The authority whose approval establishes the baseline for the alternative approval process of a foreign ATO.

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 behaviours 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.

Note.— This training process is derived from a job and task analysis and is focused on the achievement of well-defined benchmarked standards of performance as opposed to training programmes simply focused upon the acquisition of prescribed levels of experience.

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.

Note 1.— These standards of performance may be obligated as an end-state objective or be required to be met on a continuous basis. In either case, the evaluator is responsible for making a determination of the actual standards attained and any recommendations for immediate remediation.

Note 2.— Evaluator functions may be assigned to suitable ATO instructors for the continuous evaluation of students in a competency-based training programme and for progress checks at the end of a phase of training. Evaluator functions, associated with the role of an examiner for the Licensing Authority, may also be assigned to ATO instructors for the final examination at the completion of the training programme, either through a civil aviation authority (CAA) designation or under an ATO process approved by the CAA.

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.

Foreign ATO. An approved training organization (ATO) located outside of the State or outside of the territory of the States of the regional safety oversight organization.

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.

Note.— The head of training is normally the accountable executive; however, in complex corporate structures it may be possible that the accountable executive is located at company headquarters and oversees the operation of several different ATOs. In this case, the head of training is designated by the accountable executive.

ICAO competency framework. A competency framework, developed by ICAO, with a selected group of competencies for a given aviation discipline. Each competency has an associated description and observable behaviours.

Instructional services manager. The manager responsible for the day-to-day delivery of training services that consistently meet regulatory requirements and organizational objectives.

Note.— The head of training is generally the instructional services manager except when the delivery of training services may spread over several locations or over several specialities, with dedicated instructional services managers.

Instructional systems design (ISD). A formal process for designing training which includes analysis, design and production, and evaluation.

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

Note.— In the provisions of Annex 1, the Licensing Authority is deemed to have been given the following responsibilities by the Contracting State:

- a) assessment of an applicant's qualifications to hold a licence or rating;
- b) issue and endorsement of licences and ratings;
- c) designation and authorization of approved persons;
- d) approval of training courses;
- e) approval of the use of flight simulation training devices and authorization for their use in gaining the experience or in demonstrating the skill required for the issue of a licence or rating; and
- f) validation of licences issued by other Contracting States.

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

Observable behaviour (OB). A single role-related behaviour that can be observed and may or may not be measurable.

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 behaviour, 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.

Note.— Student stage checks and skill tests are quality inspections, and they are also quality control functions.

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.

Note.— This definition is specific to this manual.

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

Note.— The quality manager is responsible directly to the head of training. In the event the approved training organization's (ATO's) head of training is not the accountable executive, reporting mechanisms should be instituted to ensure that the accountable executive is aware of all issues impacting the quality of the training services being provided by the affected ATO.

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.

Note.— This definition is specific to this manual.

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

Note 1.— A safety management system, consisting of documented policies, processes and procedures designed to manage risks, integrates operations and technical systems with the management of financial and human resources to ensure aviation safety and the safety of the public.

Note 2.— The requirement to adopt SMS practices is restricted to only those entities whose activities directly impact upon the safe operation of aircraft.

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

Note.— The safety manager is directly responsible to the head of training. In the event that the approved training organization's (ATO's) head of training is not the accountable executive, reporting mechanisms should be instituted to ensure that the accountable executive is aware of all issues impacting the safety programme of the affected ATO.

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.

Note.— The use of the words testing or checking depends on the civil aviation authority's preference because they are very similar in meaning, and their use may be dependent on the outcome of the event, e.g. a step towards a licence issuance, a recurrent evaluation of competency.

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LIST OF ACRONYMS

AAP	Alternative approval process
ADDIE	Analyse, design, develop, implement and evaluate
AMO	Approved maintenance organization
AQP	Advanced qualification programme
ATO	Approved training organization
ATQP	Alternative training and qualification programme
CAA	Civil aviation authority
FCLTP	Flight Crew Licensing and Training Panel (ICAO)
FSTD	Flight simulation training device
ISD	Instructional systems design
IWG	International working group
LMS	Learning management system
MPL	Multi-crew pilot licence
PANS-TRG	Procedures for Air Navigation Services — Training
PDCA	Plan–do–check–act
QA	Quality assurance
QS	Quality system
RA	Risk assessment
RSOO	Regional safety oversight organization
SMS	Safety management system

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PUBLICATIONS

(referred to in this manual)

Convention on International Civil Aviation (Doc 7300)

Annexes

Annex 1 — Personnel Licensing

Annex 6 — Operation of Aircraft

Part I — International Commercial Air Transport — Aeroplanes

Part III — International Operations — Helicopters

Annex 19 — Safety Management

Procedures for Air Navigation Services (PANS)

Training (PANS-TRG, Doc 9868)

Manuals

Human Factors Training Manual (Doc 9683)

Manual of Criteria for the Qualification of Flight Simulation Training Devices (Doc 9625)

Manual of Evidence-based Training (Doc 9995)

Manual of Procedures for Establishment and Management of a State's Personnel Licensing System (Doc 9379)

Manual on the Competencies of Civil Aviation Safety Inspectors (Doc 10070)

Safety Management Manual (SMM) (Doc 9859)

Safety Oversight Manual (Doc 9734)

Part B — The Establishment and Management of a Regional Safety Oversight Organization

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Chapter 1

APPROVED TRAINING ORGANIZATION (ATO) — INTRODUCTION

1.1 CHARACTERISTICS

1.1.1 An ATO is an organization that is approved by the Licensing Authority to deliver specific approved training programmes to aviation personnel for licensing purposes. As a prerequisite to the approval process, this organization will have demonstrated that it is staffed, equipped, financially resourced and operated in a manner conducive to achieving the required standards. Its approved programmes may from time to time take advantage of the reduced experience requirements provided for in both Annex 1 and the applicable national regulations for certain licences and ratings.

1.1.2 Annex 1, 1.2.8.3, 1.2.8.4 and 1.2.8.5 (including Amendment 175 for remotely piloted aircraft system licences) state that “approved training for flight crew and air traffic controllers” for the issuance of an Annex 1 licence or rating and “competency-based approved training for remote flight crew, and aircraft and remotely piloted aircraft system maintenance personnel shall be conducted within an ATO”. Although not falling under the criteria of training specifically for the issue of a licence or a rating, flight crew undergoing approved training for the maintenance of competency or for gaining an operational qualification that does not fall under the training criteria outlined in Annex 6 — *Operation of Aircraft*, Part I — *International Commercial Air Transport — Aeroplanes*, Chapter 9, 9.3, or Part III — *International Operations — Helicopters*, Section II, Chapter 7, 7.3, should receive such training from an ATO.

1.1.3 ATOs are distinguished from non-approved training organizations by the approval process and the ongoing oversight provided by the Licensing Authority.

1.2 ORGANIZATIONAL STRUCTURE

1.2.1 The organizational structure of an ATO will vary depending upon the scope and complexity of its business model. The design and make-up of its structure should ensure that the delivery of training meets the client's needs and expectations, while maintaining compliance with the applicable regulatory requirements. Therefore, ATOs need to have a management structure that is designed around best quality management practices. Chapter 4, 4.1, defines the objective of those practices.

1.2.2 In all cases, ATOs require an accountable executive who is the final authority on decisions that may impact upon the continued suitability of the organization to deliver training to aviation personnel for licensing purposes. Since accountable executives may not have a day-to-day awareness of the training activity, they must rely heavily upon the performance and advice of key personnel within the ATO. As a result, the qualifications and competencies of ATO personnel must be maintained to a very high standard. See 1.3.2 for additional information on ATO staffing requirements.

Note.— Appendix C provides several recommended organizational structures for consideration.

1.3 MANAGEMENT AND STAFFING

1.3.1 The composition of the management team will depend on the organizational needs and the applicable national regulations. Some ATOs may require a complex management structure as they are approved to provide training for multiple occupations within the aviation industry.

1.3.2 Each ATO should have an accountable executive and key managerial personnel. Typical key positions include:

- a) accountable executive (who may also be head of training);
- b) head of training;
- c) instructional services manager;
- d) quality manager;
- e) maintenance manager, if applicable; and
- f) safety manager, if applicable.

Note 1.— A maintenance manager is required if the ATO operates devices for which the civil aviation authority (CAA) regulations mandate a maintenance programme (e.g. aircraft, qualified simulation training devices or air traffic control equipment).

Note 2.— If a safety management system (SMS) is required by Annex 19 — Safety Management or national regulations, Annex 19 states that the ATO “shall appoint a safety manager who is responsible for the implementation and maintenance of an effective SMS”.

1.3.3 Depending on the size and scope of the ATO and the requirements of the Licensing Authority, some of the key positions may be supplemented by subordinates as illustrated in the organizational charts in Appendix C. Small and less complex ATOs may wish to combine some key positions when it becomes clear that the resulting position's roles and responsibilities would not be adversely affected by such a decision.

1.3.4 In all cases, the Licensing Authority should expect the head of training to receive, from the ATO management team, candid and complete information on operational and quality issues. To that end, ATOs should establish separate managerial positions, directly reporting to the head of training, for the following areas of responsibility:

- a) training or instructional services; and
- b) quality management processes.

1.3.5 The ATO is expected to provide the number of qualified and competent instructors and evaluators appropriate to the size and scope of the intended operations, who hold appropriate licences, certificates, qualifications and ratings or authorizations as deemed necessary by the Licensing Authority.

1.3.6 Instructors and evaluators will be expected to undergo initial training and recurrent training at intervals that the Licensing Authority deems necessary, as well as update training relevant to the most recent technology and training methodologies appropriate to the competencies for which the students are being trained and examined.

1.3.7 The ATO is expected to ensure that sufficient trained and competent personnel are available for the continued effectiveness of its quality system.

1.4 TRAINING OR INSTRUCTIONAL SERVICES

1.4.1 Annex 1 requires that ATOs have all their services authorized under the terms of their approval. The content of each approved training programme, including the courseware and equipment used, needs to be documented. Paragraph 2 of Appendix 2 to Annex 1 details this requirement while describing the content of the training and procedures manual.

1.4.2 An increasing number of ATOs offer training services to holders of foreign-issued licences. Consequently, national CAAs may be called upon to collaborate with their counterparts in other Contracting States to establish mutually beneficial oversight practices. Chapter 2, 2.3, and Chapter 11 address this issue in greater detail.

1.5 EMERGING ISSUES

1.5.1 Competency-based training and assessment

Note.— The Procedures for Air Navigation Services — Training (PANS-TRG, Doc 9868) provides a generic methodology to design competency-based training and assessment (in Amendment 5, applicable on 5 November 2020 but already available for use as per State letter AN 12/48-17/86).

1.5.1.1 There is growing recognition of the benefits associated with competency-based training and assessment. For instance, early results from multi-crew pilot licence (MPL) training programmes are providing powerful evidence that well-designed competency-based training can yield significant improvements in performance levels over more traditional training approaches.

1.5.1.2 Traditional aviation training programmes are designed predominately for meeting and maintaining the qualification requirements of a licence, rating or privilege. These requirements are embedded in Annex 1 Standards and are amplified in the applicable national regulations. The Standards are frequently expressed in quantitative terms that prescribe training programme “inputs” (e.g. required hours of study, hours of practice, etc.), and the programme design and content are further influenced by the Licensing Authority's testing criteria and methods.

1.5.1.3 The PANS-TRG was originally developed by the Flight Crew Licensing and Training Panel (FCLTP) to introduce competency-based training methodologies and the MPL. It describes the general provisions for competency-based training and assessment practices. Successive amendments introduced ICAO competency frameworks and associated guidance for other aviation disciplines and refined the competency-based training methodology, which includes the development of adapted competency models based on the ICAO competency framework for a given discipline. The PANS-TRG is meant to complement the existing Standards in ICAO Annexes and should be referred to in that context. Part I, Chapter 2 of the PANS-TRG provides overall guidance to ATOs and Licensing Authorities on the development of competency-based training and assessment¹. The oversight of competency-based training implies additional training for CAA personnel as described in Appendix E.

1.5.1.4 The cornerstone to a competency-based training programme is a detailed and accurate training needs analysis. It is from that analysis that an adapted competency model is derived, and instructional systems design (ISD) methodologies are applied to develop the training and assessment plans. The end result of this process is an integrated and “outcomes-focused” training programme aimed at providing the graduates with the competencies to be safe, efficient and highly effective in the performance of their duties.

1.5.1.5 Competency-based training demands continuous assessment of trainees against benchmarked performance standards. Additionally, ATOs need to ensure that the development and delivery of their training programmes are captured

1. A new Chapter 2 and extensive amendments to the PANS-TRG will become applicable in November 2020.

by their quality assurance programmes. These two fundamentals can sometimes be difficult to achieve when the ATO's resources are limited. As a result, competency-based training requires significantly well-structured learning management processes to be in place.

1.5.1.6 A learning management system (LMS) is a system designed to fulfil the following training processes:

- a) courseware control;
- b) documentation and record keeping;
- c) student and instructor performance monitoring;
- d) course progression tracking;
- e) standardization of delivery; and
- f) data analysis.

1.5.1.7 LMS is most frequently known today as a software application for computers which can effectively accomplish all the processes in 1.5.1.6 and much more. Some of the more elaborate systems are web-based to permit learning from remote sites, thereby permitting students to complete lesson plans within their own schedules. Other systems can manage scheduling, messaging and even billing. Because the characteristics and capabilities of the modern-day LMS are virtually unlimited, ATOs may wish to consider these issues during the design and production stage of implementing a competency-based programme.

1.5.1.8 Effective screening and selection processes for any training programme will go a long way to ensuring a high degree of trainee success. The objective of screening and selection is to determine the candidate's suitability, capability and motivation. There are many methods to make that determination, but the method chosen must be capable of making the distinction between identified deficiencies that can be corrected through training and those deficiencies that cannot. Interestingly, competency-based training programmes are derived from a detailed job or task analysis from which an ATO can extrapolate the entry-level competencies necessary to ensure a high probability of success.

1.5.2 Systems-based governance models

1.5.2.1 Since the 1990s, the aviation sector has been and continues to be transformed by a variety of factors, including:

- a) growth of the industry;
- b) emerging technologies;
- c) emerging business models; and
- d) an increasing trend towards performance-based regulations.

1.5.2.2 These transformations place an enormous strain on Contracting States' ability to perform effective safety oversight and to support the aviation industry as a national economic driver.

1.5.2.3 To meet the set challenges, ICAO and its Member States have rallied to develop Standards that implement best practices in risk mitigation. The wellbeing of the aviation industry depends on governance models that support the proactive management of threats to quality and safety.

1.5.2.4 ICAO Standards require States to establish requirements for effective system-based governance models in various components of the aviation industry through national regulations. Expectations for ATOs regarding both the quality system and the safety management system are discussed in Chapters 4 and 5, and in Appendix B.

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Chapter 2

PROCESS TO APPROVE TRAINING ORGANIZATIONS

2.1 OBTAINING APPROVAL

2.1.1 The Licensing Authority should publish procedures for obtaining approval, describing the application process and how the Authority will verify that an applicant meets the approval requirements.

2.1.2 With the application for approval, a draft copy of the proposed ATO's training and procedures manual must be submitted to the Authority. The requirements for the contents of this manual are described in Chapter 3, 3.3, and detailed guidance on this subject is provided in Appendix A.

2.2 LICENSING AUTHORITY'S REVIEW AND APPROVAL PROCESS

2.2.1 The Licensing Authority should first review the application for approval. Once it is assessed as satisfactory, the Authority normally conducts a site inspection prior to final approval. Upon successful completion of the process, the Licensing Authority issues the approval. This consists of an approval certificate and additional documentation specifying the terms of the approval.

2.2.2 A State may decide to delegate the approval process to a regional safety oversight organization (RSOO) set up by a group of States to achieve greater commonality and regional integration of regulations and operating standards in a cost-effective manner. In this case, the delegated functions should be clearly defined in the agreement document establishing the RSOO. Guidance on how a joint licensing approval and certification system could work within an RSOO is contained in the *Safety Oversight Manual* (Doc 9734), Part B — *The Establishment and Management of a Regional Safety Oversight Organization* and in the *Manual of Procedures for Establishment and Management of a State's Personnel Licensing System* (Doc 9379).

2.3 NATURE OF THE APPROVAL GIVEN TO A TRAINING ORGANIZATION

2.3.1 The Licensing Authority authorizes the ATO to conduct the training courses specified in the approval document.

2.3.2 Under the Convention on International Civil Aviation, States have to ensure that the documents that they issue are valid and that document holders are competent. Consequently, Licensing Authorities may restrict where their licence holders may train and what programmes are acceptable for gaining or maintaining the privileges attached to the licence that they issue.

2.3.3 To ensure the integrity of their aviation documents, Licensing Authorities may require foreign-based training organizations to meet their national licensing standards prior to crediting any training provided to their licence holders. This regulatory approach can sometimes pose an additional and perhaps wasteful utilization of resources. All Licensing Authorities need to be mindful of the potential impact of duplicating approval processes for these training organizations and their programmes. Therefore, whenever possible, Licensing Authorities are encouraged to establish

joint procedures for oversight and approval processes to validate that their national standards continue to be met by ATOs located in each other's territories. The approval of foreign-based ATOs is discussed further in Chapter 11.

2.4 RENEWAL OF THE APPROVAL

Some States issue a training organization approval that contains an explicit period of validity while others issue an open-ended approval that remains valid as long as the conditions under which the approval has been granted are fulfilled. In this last case, appropriate surveillance by the Licensing Authority should be conducted in order to ensure that the ATO continues to meet the ATO requirements set by the Licensing Authority. The requirements contained in Annex 1 provide for the two approaches, and each State can choose the option that best fits its legal system and its administrative procedures.

2.5 CHANGES IN THE SCOPE OF THE APPROVAL

2.5.1 Aviation training is a dynamic activity, and it is likely that ATOs will ask regularly for a change in the scope of their approval; for instance, they may want to provide new training or change a training programme to take advantage of new training equipment or facilities. In such a case, the applicant should provide supporting information to the Licensing Authority that will assess it using the applicable Standards of Appendix 2 to Annex 1, its national requirements and the relevant parts of this guidance material. An amendment to the approval document should be issued by the Licensing Authority after a satisfactory assessment.

2.5.2 Changes or modifications in equipment, software, facilities or key managerial personnel should be reported to the applicable Licensing Authority to ensure that any required approvals are obtained without delay.

2.6 CONTINUED SURVEILLANCE AFTER THE APPROVAL

2.6.1 After receiving an approval, the ATO will be subjected to continued surveillance by the Licensing Authority to ensure that the ATO is operating within the terms of its approval and as described in its training and procedures manual.

2.6.2 Guidance on the continued surveillance to be conducted by the Licensing Authority is provided in Chapter 10.

Chapter 3

TRAINING AND PROCEDURES MANUAL

3.1 INTRODUCTION

3.1.1 The training and procedures manual describes the training programmes being offered and the way in which the training organization conducts its activities. It is an essential document for the training organization because it provides the management and line personnel with clear guidance on the policy of the training organization as well as the procedures and processes which are used to provide training. It is also an essential document for the Licensing Authority. During the approval process, it allows the Authority to assess whether the way in which a training organization is planning to operate is in line with existing requirements and accepted practices. Once the training organization is approved, a large part of the surveillance activities of the Licensing Authority is to ensure that the ATO is following the training and procedures manual.

3.1.2 It is important that the contents of the training and procedures manual be consistent with other operational documents, regulations and manufacturer's requirements. The manual should also be user-friendly. It is also necessary to ensure that the manual is used consistently across all departments within the ATO. This can be achieved through an integrated approach that recognizes operational documents as a complete system.

3.1.3 This chapter explains how the training and procedures manual should be developed, implemented and managed.

3.2 DOCUMENTATION MANAGEMENT

3.2.1 Appendix 2 to Annex 1 provides for the training and procedures manual to be issued in separate parts should the ATO find it too cumbersome to have all the required content appear in a single document. It also mandates that these documents be maintained to ensure their continued relevancy and compliance with applicable national regulations. Practices that will assist ATOs in conforming to these Standards are discussed at some length in 3.8.

3.2.2 Appendix B to this manual details the elements of an effective quality system, a system that requires robust policies, processes and procedures for documentation management and record keeping. Since shortcomings in documentation management eventually lead to poor standardization and a diminished quality of training, civil aviation authorities should be vigilant of weaknesses in this area by including it in their safety oversight programme.

3.3 CONTENT

The content of the training and procedures manual is spelled out in general terms in Appendix 2 to Annex 1. Appendix A to this manual provides a more detailed breakdown of the content of the manual and includes additional requirements for ATOs that are engaged in flight training utilizing aircraft. Depending on the size, complexity and scope of the training provided by the ATO, some of the elements contained in the list can be reduced, combined or expanded further.