

Gyroplanes: Criteria for the approval of Non-Complex Training Organisations offering training courses for Commercial Pilot Licences and Flight Instructor Certificates

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This document is for the guidance of organisations seeking an approval. The latest version of this document can be viewed on the General Aviation Unit website at www.caa.co.uk/.

The document is subject to revision as information is disseminated by the European Aviation Safety Agency and departments within the UK CAA Safety and Airspace Regulation Group

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Foreword

The purpose of this document is to provide background to the requirements for organisations or persons seeking to apply for Approval as a UK National Approved Training Organisation [ATO-N] to conduct courses of training for Commercial Gyroplane pilot licences and Flight Instructor qualifications, whose principal place of business and registered office are located in the United Kingdom.

Nothing in this document is intended to conflict with the UK statute law where applicable. Whilst every effort is made to ensure that all information is correct at time of publication, the CAA reserves the right to amend this document as required to accommodate changes to the primary authority documents, to correct errors and omissions or to reflect changes in national policy and best practice

This document and other CAA Civil Aviation Publications and Standards Documents are available at www.caa.co.uk/ website and can be downloaded to users without charge.

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Glossary of Abbreviations and Terms

AMC	Acceptable Means of Compliance (EASA)
ANO	Air Navigation Order
ARA	Authority Requirements for Aircrew
ATO-N	UK National Approved Training Organisation
ATC	Air Traffic Control
ATPL	Airline Transport Pilot Licence
CAA	Civil Aviation Authority (UK)
CFI	Chief Flight Instructor
CM (M)	Compliance Monitoring (Manager)
CPL	Commercial Pilot Licence
EASA	European Aviation Safety Agency
FSTD	Flight Simulation Training Device
FI(R)	Flight Instructor Restricted
GAU	General Aviation Unit
GM	Guidance Material (EASA)
GR	Ground Examiner
HT	Head of Training
IR	Instrument Rating
LAPL	Light Aircraft Pilot Licence
LSI	Licensing Standards Inspector
HT	Head of Training
JAR	Joint Aviation Requirements
MTOW	Maximum Take-off Weight
NAA	National Aviation Authority
OM	Operations Manual
OMM	Organisation Management Manual
ORA	Organisation Requirements for Aircrew

PPL	Private Pilot Licence
RTF	Registered Training Facility
SM	Safety Manager
SMS	Safety Management System
TM	Training Manual
SMS	Safety Management System

Part 1: Obtaining Approval

1. Introduction

Current Legislation and Status

The Air Navigation Order 2016 ('the ANO') Article 168 makes provision for the Civil Aviation Authority to require approval of such organisations and courses as it sees fit. As such this document lays down the criteria by which the CAA will grant approval, under National Regulations, to companies wishing to offer training courses towards the Commercial Pilots Licence (Gyroplanes) and Flight Instructor Certificate (Gyroplanes).

General

The information in this document is relevant to organisations which are seeking approval as an UK National Approved Training Organisation (ATO-N) to conduct Commercial Pilots Licence (Gyroplanes) (both Flight Training and Theoretical Knowledge courses) and Flight Instructor Certificate (Gyroplanes) courses

Organisations seeking approval are to be in possession of the latest version of CAA Standards Document 44 and the ANO.

Purpose of this Document

This document is intended to serve the following purposes:

- Help new organisations ensure that an application made for an initial approval as an ATO-N conducting CPL(G) (Flight and Theory – Gyroplanes Technical) and FI(G) courses will satisfy CAA requirements;
- Assist current FI (G) training course providers to meet the requirements for Approval;
- Explain administrative arrangements and legal matters particular to the United Kingdom;
- Ensure the process and procedures are understood by the organisations the CAA regulates, and to ensure continued compliance and ongoing approval.

Transition Period and Grandfather Rights

Organisations and individuals already known to UK CAA as having provided FI(G) training before 01 September 2019 now have until 31 August 2021 to comply with the requirements of this document.

Approval of a Training Organisation (National) wishing to operate outside the United Kingdom

In general, the CAA will approve ATO-N applicants where they have a Principal Place of Business and training activity within the United Kingdom. However, should an organisation wish to establish an additional site(s) outside the UK, the CAA will consider applications on the proviso that:

- The conditions of this document are met,
- Licence holders and applicants meet the requirements of Standards Document 44
- It is understood that all costs associated with approval of overseas bases will be recovered by UK CAA, upon invoice request, excepting the initial site / base application fees which are payable upon application.
- Written confirmation from the relevant National Aviation Authority that they agree to an organization conducting training for a UK National Licence within their territory.

The CAA is under no obligation to consider applications from an Organisation whose principal place of business is located outside of the UK.

2. Basic Approval Process for All Applicants

Prior to Application

The following information should be considered prior to application:

- An ATO-N is considered to be a single organisation staffed, equipped and operated in a suitable environment offering flight training, synthetic flight instruction and/or theoretical knowledge instruction.

- An ATO-N may be approved to conduct more than one kind of approved training course. However, the CAA will require that arrangements put in place to conduct a combination of courses are satisfactory.
- An ATO-N contracting activities must ensure that sub-contractors meet and remain in compliance with the requirements of this document.
- Where training is conducted at multiple locations, all sites will be subject to approval and inspection.

3. Preparation for Initial Approval

Timescales and Fees

When making an application for an initial approval, or to amend or vary an existing approval, an ATO-N should ensure that any documents provided are both complete and accurate. The application material should also clearly demonstrate full compliance with this document, UK Statute Law and European Legislation where applicable. As applications are processed in order of receipt, any omissions or errors in submitted material will inevitably delay the approval process. In addition, should the resolution of such errors and omissions prove time-intensive for the allocated Licensing Standards Inspector (LSI), further charges may be incurred, as detailed in the current CAA Scheme of Charges.

The initial fees payable on application include a minimum number of hours spent by CAA staff on the application. Hours in excess of these, will be invoiced monthly in arrears to the applicant ATO-N as detailed in the current CAA Scheme of Charges.

Fees will be invoiced annually on 1st April. Any courses added during the year will be invoiced on 1st April of the following year.

Language

The CAA will only approve courses prepared and delivered in the English language. All course material, including any documentation or records required, shall be in English. Training Organisations shall ensure that students, for whom English is a second language, have a comprehensive understanding of spoken and written English before admitting them onto a course (see para 27.2)

Where the course is conducted in a non-English speaking State, the HT shall ensure, before the commencement of the course, which students are capable of understanding

and interpreting aeronautical and other information promulgated by or on behalf of that State, concerning flight safety or related to the conduct of the course.

Items Required for Submission for Initial Application:

The following items must be submitted as part of the initial application for approval:

- Confirmation of Legal Entity of the applicant organisation e.g. a copy of the company registration document for limited and public limited companies (see Appendix 3)
- Completed and signed application form (SRG2116G)
- Relevant application fee as detailed in the CAA Scheme of Charges
- Key Post-holder nomination forms (form SRG2115) with CVs detailing relevant experience (Accountable Manager, Head of Training, Safety Manager, Compliance Manager and Nominated FIC Instructor / Chief Theoretical Knowledge Instructors if applicable)
- List of aircraft (and FSTD) to be used for the approved courses. Where these are not permanently available to the ATO-N, copies of hire agreements or contractual arrangements must be provided
- Details of accommodation and facilities to be used. Where these are not permanently available to the ATO-N, copies of hire agreements or contractual arrangements must be provided
- Copies of FSTD qualification certificates and user approval certificate (if FSTDs are to be used)
- List of Instructors and qualifications held (if not included in Manual)
- Operations, Training, Safety Management and Compliance Monitoring System Manuals. All manuals should have an effective means of document control and a list of effective pages. These manuals may be combined into a single volume, suitably sectionalised, if desired.
- It is important that ATO-Ns provide a single email address to be used for all communication between the CAA and the organisation.

Additional Items in support of Initial Application:

The following information is to be included either on the relevant application form or in the Operations or Training Manual as appropriate and therefore need not be duplicated.

- A chart showing the organisational management structure.
- A description of the Operational accommodation; a floor plan with dimensions and purpose of individual rooms is usually appropriate.
- The availability of the required training equipment, facilities and instructors for future courses should be shown, giving details of ownership, leases or contracts as appropriate.
- Confirmation from Airfield operators of the applicant's permission to use facilities
- Samples of documentation relating to proposed courses and the training and checking forms detailed in the Training Manual, are to be provided.

4. Progress of an Application

Allocation of a Licensing Standards Inspector

Applications should be made to CAA Organisation Approvals Team using form SRG2116G. When a completed application has been received, together with fees, manuals and all other associated documentation, an LSI will be assigned to oversee the application process and review the documentation. Wherever possible the inspector will remain assigned to work with the company once approved.

Incomplete Applications

Where incorrect or incomplete information is supplied, the Organisation Approvals team shall notify the applicant as soon as possible by letter or email detailing the error or omission.

Review of Manuals and Supporting Documentation

A manual report will be raised following a review of documentation by the LSI to be forwarded for reference and appropriate action to the applicant organisation.

It is recommended that the applicant organisation progresses any requested items without undue delay. It should be noted that any applications not finalised within a twelve-month period may be cancelled by the CAA who will refund the monies paid less the chargeable hours spent on the application.

Inspection of Facilities

The purpose of the initial visit is to meet the post-holders, confirm the suitability of the facilities to be used for training, (including aircraft and FSTDs), the applicant's Management System (incorporating a compliance-monitoring system and safety management system) to ensure compliance with the regulations.

The allocated LSI will arrange with the applicant a mutually convenient time to visit the location of the proposed ATO-N. The visit should follow the pattern of a typical audit and include the following:

- An Opening Meeting with the post-holders and, preferably, the Accountable Manager. This allows the LSI to meet the key management personnel in the proposed ATO-N, discuss the application, and explain the scope of the visit. The visit schedule will also be explained.
- The audit of the proposed ATO-N including:
 - A tour of the proposed ATO-N facilities,
 - A review of aircraft, aircraft documentation and logbooks and FSTDs (if utilized).
 - Meetings with post-holders and key management personnel (including Head of Training, Safety and Compliance Monitoring Managers) and, if present, the Accountable Manager.
 - Review of any training documentation not previously submitted with the application.
 - Review of the proposed ATO-N's staff qualifications, licenses, certificates and ratings.
 - Review arrangements for security of records and documents.
 - Review of the proposed ATO-N's processes for safety risk management and compliance monitoring, including full documentation of internal audits

A Closing Meeting, again with the post-holders, and if possible the Accountable Manager, during which the LSI will discuss the audit, including any areas which do not conform to the regulatory requirements. Any required remedial action by the proposed ATO-N can be discussed with the LSI at this stage.

Post-Inspection

The LSI will record the findings of the Initial Inspection on a standard ATO-N Approval recommendation report form. A copy of this form will be forwarded to the ATO-N.

Follow-Up Actions

Where the outcome of the Initial Inspection is deemed unsatisfactory, or the LSI has raised any findings indicating a non-compliance with the regulatory requirements in any area, the ATO-N approval recommendation report will show the nature, the associated reference and the level of finding. The organisation will be required to submit a corrective action plan, acceptable to the LSI, to correct any non-compliant areas before the LSI can recommend approval.

Final ATO-N Approval

Once the outcome of the Initial Inspection is deemed satisfactory, and the organisation has been found to be fully compliant with the regulatory requirements, then the LSI will recommend that the organisation be approved. Please note that this recommendation is subject to internal checking and subsequent final approval; further action may still be requested from the organisation at this stage.

Once final approval has been given, the ATO-N Approval Certificate will be issued by the Organisation Approvals team.

Approvals Certificate

The ATO-N should thoroughly check any newly-issued certificate for accuracy. Please note that approval certificates issued under national regulations will not have an expiry date or contain details of post-holders. However, the approved courses and FSTDs will be listed on the certificate. Any queries concerning the accuracy of new certificates should be addressed to Organisation Approvals as soon as possible.

5 Continued Oversight

Once an ATO-N has been issued with initial approval it is subject to continued oversight by the CAA. This oversight may include audits and inspections, including unannounced inspections and training sampling visits as appropriate, and meetings with the accountable manager to ensure both parties remain informed of significant issues.

Oversight Planning Cycle

The interval between oversight inspections (oversight planning cycle) is established by the CAA using risk-based criteria, including scope of activity, ATO-N size and complexity, and the effectiveness of the ATO-Ns management system. The oversight planning cycle will not normally exceed 48 months; for new ATO-Ns this timescale runs from the date of initial approval. However, new ATO-Ns will be subjected to a first oversight inspection within 12 months to enable the CAA to check the effectiveness of the management system (including internal audits) and to observe training sessions where practical.

Continued Oversight Inspections

Continued oversight inspections follow a similar pattern to the initial inspection listed at 4.6. However, the ATO-N will be expected to have extensive records of all internal audits available, particularly those subsequent to approval, as well as comprehensive student training, staff training and standardisation records. During oversight inspections, significant emphasis will be placed on the effectiveness of the ATO-N's management system, including internal audits, safety management and compliance monitoring; it is therefore strongly recommended that key management system personnel, e.g. Compliance Monitoring Manager, are available during the inspection.

Desk-Top Audits

At any stage of the oversight planning cycle, the allocated LSI may request that copies of internal audits and other records be forwarded. He / she will then use this data as a basis for a desk-top audit forming part of the continuous oversight of the ATO-N, including a risk-based assessment of the next due date for inspection of the ATO-N (see 5.1).

Test & Examination Success-Rate Monitoring

Following initial approval of an ATO-N, the CAA will monitor the results of tests and examinations forming part of the approved course.

An ATO-N shall also monitor the test and examination results of its students. Procedures for such monitoring shall be included in the ATO-N's Training Manual under the heading of 'Training Effectiveness' and include procedures for review and remedial action should the rates drop below a defined level or avoidable patterns emerge.

Sampling of Training

The allocated LSI will examine samples of training at various stages of the oversight planning cycle. During inspections, ATO-N's should expect the LSI to observe actual TK instruction and aircraft or simulated flight training (where practical), including pre-flight and post-flight briefings. The LSI will aim not to disrupt or distract from the training during any observation. Observation of training may also be carried out by CAA Flight Examiners on behalf of General Aviation Unit.

Training records of students and staff training and standardisation records will also be sampled during an ATO-N inspection and must be made available to the LSI.

Personnel Changes

The organisation must, at all times, ensure that they have sufficient qualified personnel for the planned tasks and activities to be performed in accordance with the applicable requirements. Where there is any change to numbers and availability of staff, this should be discussed with the allocated inspector, to ensure continued approval for training and /or compliance with the regulations.

Key Post Holders

It will be a condition of the approval that whenever an approved post holder (Accountable Manager, HOT or FIC Instructor) leave an ATO-N, the organisation will contact the CAA to suspend their approval until the position has been filled or an alternative arrangement is approved by the CAA.

The position of HT, CFI and FIC Instructor may be combined and filled by one or two persons with extensive experience in the training conducted by the training organisation, full or part-time, depending on the scope of training offered.

Prior approval of key post holders must be sought from the CAA before appointment in order to enable the CAA to determine suitability for the role.

All nominations for key staff should be made using form SRG2115 for approved organisations. It is recommended these nominations must be made at least 10 days before the date of the proposed change of post-holder.

Other Changes to the Organisation

Where the change is in respect of the organisation's scope of the certificate or its terms of approval i.e. additional locations or facilities, the organisation will need to apply formally for such a change on the relevant application form.

For other changes, please refer to the appropriate sub-section or alternately liaise with the allocated Inspector or Organisation Approvals Team where the information is not published in this guide. An associated fee may be charged.

All amendments to approved manuals must be submitted to the CAA for electronic storage and / or further approval if required.

Correspondence with the CAA

Following the grant of Initial Approval, the CAA's preferred method of communication with an organisation is by email. It is therefore important that a single email address be provided which is suitable for this purpose and that any changes are promptly sent to Organisation Approvals Team and the allocated Inspector. It will be assumed that the e-mail address provided on the latest application form to the CAA is the current e-mail address to be used.

6. Revocation, Suspension or Variation / Limitation of an Approval

Non-Compliance

In accordance with the ANO, a National approval issued by the CAA may be revoked, suspended or varied where the requirements cease to be met in part or in whole, or where the standards on which approval was granted are not maintained. Should there be a failure to meet the requirements or standards, the organisation will be formally notified of the non-conformance(s) and remedial action will be identified and agreed to be taken within a specified time.

In cases of any significant non-compliance with the applicable requirements, with the organisation's procedures or manuals, or with the terms of an approval or certificate, which reduces safety or seriously hazards flight safety the CAA will raise a Level 1 finding, requiring immediate remedial action. Should the organisation fail to meet the standards in the specified time, revocation, suspension or variation of the approval will be considered.

When any non-compliance is detected with the applicable requirements, with the organisation's procedures and manuals, or with the terms of an approval or certificate which *could* reduce safety or hazard flight safety, the competent authority will raise a Level 2 finding, requiring remedial action to be taken within 90 days.

Continuation Fees

It should be noted that annual fees (fees in respect of continuation of the approval) are

payable throughout the full period of ATO-N suspension.

Where an organisation approval has been revoked, no further fees are payable; however, outstanding invoices will be applicable.

7 Continuation of Approval

Approval Certificate

An approval certificate issued to an ATO-N is non-expiring and will remain current provided the privileges and scope of the activities that the organisation is approved to conduct does not change and continuing oversight of the organization shows a maintenance of standards and compliance with regulations

Part 2: Specific Areas of Guidance or Reference

8. Management and Staffing

All Key post holders must be nominated to the CAA on form SRG2115 for Nationally Approved Organisations and be formally agreed by the CAA before the appointment is made substantive. Current legacy post holders who do not meet the requirements may continue in post, however, any key post holder who moves to another ATO-N or new applicants must meet all the requirements.

It should be noted that the CAA by means of this document does allow for individuals to hold multiple posts within an organization. Persons who wish to hold nominated positions at more than one ATO-N concurrently will be required to provide a plan to demonstrate how they intend to fulfil commitments to both organisations in an effective, safe and compliant manner.

It should also be borne in mind that the CAA is obliged to be satisfied – on an ongoing basis – of the fitness of character of the postholders who are nominated within the ATO-N. Further details of the CAAs policy framework for fitness of character assessments made be found at <http://www.caa.co.uk/Fitness-of-character-policy-framework>.

Accountable Manager

The organisation must appoint an accountable manager, who is responsible for ensuring that all activities can be financed and carried out in accordance with the applicable requirements. The accountable manager shall be responsible for establishing and maintaining an effective management system.

Head of Training

The Head of Training (HT) shall have extensive experience as an instructor in the areas relevant to the training provided by the ATO-N and shall possess sound managerial capability.

The HT's responsibilities shall include:

- (1) ensuring that the training provided is in compliance with the CAA's National Requirements and the training programme have been established;