

DRAFT



GOVERNMENT OF INDIA

OFFICE OF THE DIRECTOR GENERAL OF CIVIL AVIATION
TECHNICAL CENTRE, OPP SAFDARJUNG AIRPORT, NEW DELHI

CIVIL AVIATION REQUIREMENTS
SECTION 7 - FLIGHT CREW STANDARDS
TRAINING & LICENSING
SERIES 'D', PART IV, 15th NOVEMBER 2014

EFFECTIVE: 15th NOVEMBER 2014

File No. AV 22024/6/2014-FSD

SUBJECT: APPROVED TRAINING ORGANIZATIONS (ATOs) FOR TYPE RATING OF FLIGHT CREW

1. INTRODUCTION

- 1.1 An ATO is an organization that is approved by DGCA 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.
- 1.2 This CAR is issued under Rule 29C, 133A and 133B and specifies the requirements to be met by organizations seeking approval as ATOs for aircraft type rating for flight crew.
- 1.3 ATOs are distinguished from non-approved training organizations by the approval process and the ongoing oversight provided by DGCA. The approval and oversight process is given in Operations Circular XX of 2014 Certification and Oversight of ATOs.

2. GENERAL REQUIREMENTS

- 2.1 The approval of a training organization by DGCA shall be dependent upon the applicant demonstrating compliance with the requirements of this CAR.

Note.— Guidance on approval of a training organization can be found in the Manual on the Approval of Training Organizations (ICAO Doc 9841) and Operations Circular XX of 2014 Certification and Oversight of ATOs

- 2.2 Approved training for flight crew and shall be conducted within an approved training organization.

Note.— The approved training considered in 2.2 relates primarily to approved training for the issuance of an Annex 1 license or rating. It is not intended to include approved training for the maintenance of competence or for an operational qualification after the initial issuance of a license or rating, as may be required for flight crew, such as the approved training under Annex 6 — Operation of Aircraft, Part I — International Commercial Air Transport — Aeroplanes, 9.3, or Part III — International Operations — Helicopters, Section II, .

3. ISSUE OF APPROVAL

- 3.1 The issuance of an approval for a training organization and the continued validity of the approval shall depend upon the training organization being in compliance with the requirements of this CAR.
- 3.2 The approval document shall contain at least the following:
- (a) organization's name and location;
 - (b) date of issue and period of validity (where appropriate);
 - (c) terms of approval.

4. TRAINING AND PROCEDURES MANUAL

- 4.1 The training organization shall provide a training and procedures manual for the use and guidance of personnel concerned. This manual may be issued in separate parts and shall contain at least the following information:
- (a) a general description of the scope of training authorized under the organization's terms of approval;
 - (b) the content of the training programmes offered including the courseware and equipment to be used;
 - (c) a description of the organization's quality assurance system in accordance with Para 7;
 - (d) a description of the organization's facilities;
 - (e) the name, duties and qualification of the person designated as responsible for compliance with the requirements of the approval in Para 9.1;
 - (f) a description of the duties and qualification of the personnel designated as responsible for planning, performing and supervising the training in Para 9.2;
 - (g) a description of the procedures used to establish and maintain the competence of instructional personnel as required by Para 9.3;
 - (h) a description of the method used for the completion and retention of the training records required by Para 10;
 - (i) a description, when applicable, of additional training needed to comply with an operator's procedures and requirements; and
 - (j) when DGCA has authorized an approved training organization to conduct the testing required for the issuance of a license or rating in accordance with Para 11, a description of the selection, role and duties of the authorized personnel, as well as the applicable requirements established by the DGCA.
- 4.2 The training organization shall ensure that the training and procedures manual is

amended as necessary to keep the information contained therein up to date.

- 4.3 Copies of all amendments to the training and procedures manual shall be furnished promptly to all organizations or persons to whom the manual has been issued.

5. TRAINING PROGRAMME

DGCA shall approve the training programme for an ATO prior to the implementation of such training.

Note.— Guidance on the approval of training programmes can be found in the Manual on the Approval of Training Organizations (ICAO Doc 9841).

6. SAFETY MANAGEMENT

- 6.1 DGCA shall require, as part of the State safety programme, that an approved training organization that is exposed to safety risks during the provision of its services implement a safety management system acceptable to the DGCA that, as a minimum:

- (a) identifies safety hazards;
- (b) ensures the implementation of remedial action necessary to maintain agreed safety performance;
- (c) provides for continuous monitoring and regular assessment of the safety performance; and
- (d) aims at a continuous improvement of the overall performance of the safety management system.

Note.— Guidance on defining safety performance is contained in the Safety Management Manual (SMM) (ICAO Doc 9859).

- 6.2 A safety management system shall clearly define lines of safety accountability throughout the approved training organization, including a direct accountability for safety on the part of senior management.

Note — The framework for the implementation and maintenance of a safety management system is contained in Appendix A to this CAR. Guidance on safety management systems is contained in the Safety Management Manual (SMM) (ICAO Doc 9859).

7. QUALITY ASSURANCE SYSTEM

The training organization shall establish a quality assurance system, acceptable to the DGCA which ensures that training and instructional practices comply with all relevant requirements.

8. FACILITIES

- 8.1 The facilities and working environment shall be appropriate for the task to be performed and be acceptable to the DGCA.

- 8.2 The training organization shall have, or have access to, the necessary information, equipment, training devices and material to conduct the courses for which it is approved. FSTDs may be owned or leased but in all cases shall be operated by the ATO.
- 8.3 Synthetic training devices shall be qualified according to requirements established by the State and their use shall be approved by the DGCA to ensure that they are appropriate to the task.

Note.— The Manual of Criteria for the Qualification of Flight Simulation Training Devices (Doc 9625) provides guidance on the approval of flight simulation training devices.

9. PERSONNEL

- 9.1 The training organization shall nominate a person responsible for ensuring that it is in compliance with the requirements for an approved organization.
- 9.2 The organization shall employ the necessary personnel to plan, perform and supervise the training to be conducted.
- 9.3 The competence of instructional personnel shall be in accordance with procedures and to a level acceptable to the DGCA.
- 9.4 The training organization shall ensure that all instructional personnel receive initial and continuation training appropriate to their assigned tasks and responsibilities. The training programme established by the training organization shall include training in knowledge and skills related to human performance.

Note.— Guidance material to design training programmes to develop knowledge and skills in human performance can be found in the Human Factors Training Manual (ICAO Doc 9683).

10. RECORDS

- 10.1 The training organization shall retain detailed student records to show that all requirements of the training course have been met as agreed by the DGCA.
- 10.2 The training organization shall maintain a system for recording the qualifications and training of instructional and examining staff, where appropriate.
- 10.3 The records required by Para 10.1 shall be kept for a minimum period of two years after completion of the training. The records required by Para 10.2 shall be retained for a minimum period of two years after the instructor or examiner ceases to perform a function for the training organization.

9. OVERSIGHT

DGCA shall maintain an effective oversight programme of the approved training organization to ensure continuing compliance with the approval requirements.

11. EVALUATION AND CHECKING

When DGCA has authorized an approved training organization to conduct the testing required for the issuance of a license or rating, the testing shall be conducted by personnel authorized by the DGCA or designated by the training organization in accordance with criteria approved by the DGCA.

12. TRANSITION PERIOD FOR IMPLEMENTATION

This CAR will be effective from 15th November 2014. Existing TRTOs approved under CAR Section 7 Series D Part III will have to re-apply by 31st March 2015 for approval as ATOs. CAR Section 7 Series D Part III will be cancelled by 01st October 2015.

(Dr Prabhat Kumar)
Director General of Civil Aviation

DRAFT

APPENDIX A

FRAMEWORK FOR SAFETY MANAGEMENT SYSTEMS (SMS)

This appendix specifies the framework for the implementation and maintenance of a safety management system (SMS) by an approved training organization. An SMS is a management system for the management of safety by an organization. The framework includes four components and twelve elements representing the minimum requirements for SMS implementation.

The implementation of the framework shall be commensurate with the size of the organization and the complexity of the services provided. This appendix also includes a brief description of each element of the framework.

1. Safety Policy And Objectives

- 1.1 Management commitment and responsibility
- 1.2 Safety accountabilities
- 1.3 Appointment of key safety personnel
- 1.4 Coordination of emergency response planning
- 1.5 SMS documentation

2. Safety Risk Management

- 2.1 Hazard identification
- 2.2 Safety risk assessment and mitigation

3. Safety Assurance

- 3.1 Safety performance monitoring and measurement
- 3.2 The management of change
- 3.3 Continuous improvement of the SMS

4. Safety Promotion

- 4.1 Training and education
- 4.2 Safety communication

1. SAFETY POLICY AND OBJECTIVES

- 1.1 Management commitment and responsibility

The approved training organization shall define the organization's safety policy which shall be in accordance with international and national requirements, and which shall be signed by the accountable executive of the organization. The safety policy shall reflect organizational commitments regarding safety; shall include a clear statement about the provision of the necessary resources for the implementation of the safety policy; and shall be communicated, with visible

endorsement, throughout the organization. The safety policy shall include the safety reporting procedures; shall clearly indicate which types of operational behaviours are unacceptable; and shall include the conditions under which disciplinary action would not apply. The safety policy shall be periodically reviewed to ensure it remains relevant and appropriate to the organization.

1.2 Safety accountabilities

The approved training organization shall identify the accountable executive who, irrespective of other functions, shall have ultimate responsibility and accountability, on behalf of the approved training organization, for the implementation and maintenance of the SMS. The approved training organization shall also identify the accountabilities of all members of management, irrespective of other functions, as well as of employees, with respect to the safety performance of the SMS. Safety responsibilities, accountabilities and authorities shall be documented and communicated throughout the organization, and shall include a definition of the levels of management with authority to make decisions regarding safety risk tolerability.

1.3 Appointment of key safety personnel

The approved training organization shall identify a safety manager to be the responsible individual and focal point for the implementation and maintenance of an effective SMS.

1.4 Coordination of emergency response planning

The approved training organization shall ensure that an emergency response plan that provides for the orderly and efficient transition from normal to emergency operations and the return to normal operations is properly coordinated with the emergency response plans of those organizations it must interface with during the provision of its services.

1.5 SMS documentation

The approved training organization shall develop an SMS implementation plan, endorsed by senior management of the organization, that defines the organization's approach to the management of safety in a manner that meets the organization's safety objectives. The approved training organization shall develop and maintain SMS documentation describing the safety policy and objectives, the SMS requirements, the SMS processes and procedures, the accountabilities, responsibilities and authorities for processes and procedures, and the SMS outputs. Also as part of the SMS documentation, the approved training organization shall develop and maintain a safety management systems manual (SMSM), to communicate its approach to the management of safety throughout the organization.

2. SAFETY RISK MANAGEMENT

2.1 Hazard identification

The approved training organization shall develop and maintain a formal process

that ensures that hazards in operations are identified. Hazard identification shall be based on a combination of reactive, proactive and predictive methods of safety data collection.

2.2 Safety risk assessment and mitigation

The approved training organization shall develop and maintain a formal process that ensures analysis, assessment and control of the safety risks in training operations.

3. SAFETY ASSURANCE

3.1 Safety performance monitoring and measurement

The approved training organization shall develop and maintain the means to verify the safety performance of the organization and to validate the effectiveness of safety risk controls. The safety performance of the organization shall be verified in reference to the safety performance indicators and safety performance targets of the SMS.

3.2 The management of change

The approved training organization shall develop and maintain a formal process to identify changes within the organization which may affect established processes and services; to describe the arrangements to ensure safety performance before implementing changes; and to eliminate or modify safety risk controls that are no longer needed or effective due to changes in the operational environment.

3.3 Continuous improvement of the SMS

The approved training organization shall develop and maintain a formal process to identify the causes of substandard performance of the SMS, determine the implications of substandard performance of the SMS in operations, and eliminate or mitigate such causes.

4. SAFETY PROMOTION

4.1 Training and education

The approved training organization shall develop and maintain a safety training programme that ensures that personnel are trained and competent to perform the SMS duties. The scope of the safety training shall be appropriate to each individual's involvement in the SMS.

4.2 Safety communication

The approved training organization shall develop and maintain formal means for safety communication that ensures that all personnel are fully aware of the SMS, conveys safety-critical information, and explains why particular safety actions are taken and why safety procedures are introduced or changed.