



**Circulaire**

**CIR/FCL 2**

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Edition : 5  
Uitgave

**Objet : Approbation d'un FTO.**

**Betreft : Goedkeuring van een FTO.**

Réf. :

Arrêté royal du 4 mars 2008 réglementant les licences civiles de pilote d'avions. Art. 19.

Ref. :

Koninklijk besluit van 4 maart 2008 tot regeling van de burgerlijke vergunningen van bestuurder van vliegtuigen. Art. 19.

JAR-FCL 1.055(a)  
App 1a to JAR-FCL 1.055  
App 1b to JAR-FCL 1.055  
IEM 3 to JAR-FCL 1.055  
AMC-FCL 1.055  
IEM 1 to JAR-FCL 1.055

JAR-FCL 1.055(a)  
App 1a to JAR-FCL 1.055  
App 1b to JAR-FCL 1.055  
IEM 3 to JAR-FCL 1.055  
AMC-FCL 1.055  
IEM 1 to JAR-FCL 1.055

Le Directeur général a.i.,  
De Directeur-generaal a.i.,

L'édition 5 comprend  
De 5<sup>de</sup> uitgave bevat

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## DEMANDE D'APPROBATION D'UN FTO

### COMPOSITION DU DOSSIER

Les organismes désirant obtenir une approbation comme FTO doivent introduire auprès de la Direction générale Transport aérien un dossier comportant tous les éléments nécessaires pour une approbation et qui démontre qu'ils répondent à toutes les conditions requises pour obtenir une approbation comme FTO conformément aux dispositions de l'Appendice 1a au JAR-FCL 1.055 ci-après.

Le dossier comporte :

- a) un fascicule administratif comportant :
  1. Le formulaire de demande FTO (annexe A) complété ainsi que les documents y mentionnés ;
  2. Le formulaire (annexe B) concernant les formations envisagées ;
  3. les statuts du FTO ;
  4. une copie de l'inscription au registre de commerce ;
  5. une liste complète du personnel du FTO avec mention de la fonction ;
  6. un organigramme du FTO et éventuellement de l'organisation dont le FTO fait partie ;
  7. pour les instructeurs de cours théoriques: pour chaque cours mentionner le diplôme, l'expérience et les qualifications ainsi que les références pédagogiques ;
  8. documents concernant les assurances ;
  9. plan des locaux et description des utilisations ;
  10. documentation concernant le système qualité du FTO: politique générale, description des procédures/audits, un exemplaire du « quality manual » ;
  11. documents financiers :
    - lors d'une première demande d'approbation du FTO: une attestation délivrée par un bureau comptable/audit reconnu confirmant que l'organisme dispose d'un financement suffisant pour exercer les activités envisagées ;
    - lors d'une demande de renouvellement de l'approbation: une attestation délivrée par un comptable reconnu après un examen des bilans et des comptes de la période échue, certifiant que l'organisme dispose d'un financement suffisant pour continuer les activités.
- b) un « training manual » comprenant :
  - toutes les données requises au § 32 de l'App 1a au JAR-FCL 1.055;
  - la procédure de modification du manuel ;
  - les programmes des formations mentionnées au formulaire de l'annexe B. Ces programmes constituent une entité autonome du manuel;
  - Pour chacun de ces programmes seront joints:
    - a) une description des procédures d'évaluation théorique et pratique;
    - b) fiches descriptives des exercices de vol;
    - c) une description des procédures des examens et repêchages;
    - d) un exemplaire de référence de chaque cours donné lors de la formation théorique;
  - le dossier des élèves : dossier type, procédures de conservation des résultats des examens et des tests et d'archivage des dossiers.

## AANVRAAG TOT ERKENNING VAN EEN FTO

### SAMENSTELLING VAN HET DOSSIER

Instellingen die een erkenning als FTO wensen aan te vragen, dienen bij het Directoraat-generaal Luchtvaart een dossier in te dienen dat alle gegevens bevat die voor een erkenning nodig zijn en waaruit blijkt dat zij voldoen aan alle voorwaarden die voor een erkenning als FTO zijn vereist overeenkomstig de bepalingen van Appendix 1a JAR-FCL 1.055 hierna.

Het dossier is samengesteld uit:

- a) een administratieve bundel die bevat:
  1. het volledig ingevulde aanvraagformulier FTO (bijlage A) en de daarop vermelde documenten;
  2. het formulier (bijlage B) betreffende de aard van de opleiding die zal worden verstrekt;
  3. de statuten van de FTO;
  4. een kopie van de inschrijving in het handelsregister;
  5. een volledige lijst van het personeel van de FTO met vermelding van de functie;
  6. een organogram van de FTO en eventueel van de organisatie waarvan de FTO deel uitmaakt;
  7. voor de instructeurs theorieopleiding: voor iedere gegeven cursus: opgave van diploma, ervaring en kwalificaties evenals van de pedagogische referenties;
  8. documenten m.b.t. de verzekering;
  9. plan van de lokalen met aanduiding van hun gebruik;
  10. documentatie betreffende het kwaliteitssysteem van de FTO: algemene richtlijnen, beschrijving van procedures/audits, een exemplaar van de 'quality manual';
  11. financiële documenten:
    - bij de eerste aanvraag tot erkenning van de FTO: een attest uitgereikt door een erkend accountant-auditbureau waarin bevestigd wordt dat de instelling voldoende financiële draagkracht heeft om de geplande activiteiten uit te oefenen;
    - bij de aanvraag tot hernieuwing van de erkenning: een attest uitgereikt door een erkende accountant na een onderzoek van de balansen en de rekeningen van de voorbije periode, waarin bevestigd wordt dat de instelling voldoende financiële draagkracht heeft om de activiteiten verder te zetten.
- b) een 'training manual' met inbegrip van:
  - alle gegevens vereist in § 32 van App 1a JAR-FCL 1.055;
  - de procedure voor de aanpassing van de manual;
  - de programma's van de opleidingen vermeld in het formulier in bijlage B. Deze worden als een zelfstandig onderdeel in de training manual opgenomen;
  - Voor elk van deze programma's wordt bijgevoegd:
    - a) een beschrijving van de theoretische en praktische evaluatieprocedures;
    - b) een beschrijving, op fiches, van de vlieg oefeningen;
    - c) een beschrijving van de procedures van de examens/herkansingen;
    - d) een referentie-exemplaar van elke cursus die gegeven wordt bij de theorieopleiding.
  - het dossier van de leerlingen: typedossier, procedures voor het bijhouden van de examen- en testresultaten en voor de bewaring van de dossiers.

- c) un "operations manual" comprenant :
- toutes les données requises au § 33 de l'App 1a au JAR-FCL 1.055;
  - la procédure de modification du manuel;
  - l'indication des renseignements de l' "operations manual" et des groupes particuliers de personnel auxquels ils seront communiqués ( instructeurs de théorie et de vol, personnel opérations et de maintenance).
- d) Toute modification d'une des données fournies lors de la première demande (modification du personnel, aéronefs, formations, etc.) sera communiquée immédiatement à la Direction générale Transport aérien par lettre recommandée ou par courriel.
- c) een 'operations manual' met inbegrip van:
- alle gegevens vereist in § 33 van App 1a JAR-FCL 1.055;
  - de procedure voor de aanpassing van de manual;
  - de aanduiding van welke onderdelen van de 'operations manual' aan welke personeelsgroepen worden medegedeeld ( theorie- en vlieg instructeurs, personeel operaties en onderhoud).
- d) Elke wijziging aan een van de gegevens die bij de oorspronkelijke aanvraag werden verstrekt (wijziging van het personeel, luchtvaartuigen, opleidingen, enz.), moet onmiddellijk per aangetekend schrijven of per e-mail door de aanvrager aan het Directoraat-generaal Luchtvaart worden meegedeeld.

## RENSEIGNEMENTS

INFO SUPPLEMENTAIRE  
ET DOCUMENTS

1.	Nom de l'organisme / adresse / téléphone / fax / e-mail	Si le FTO dispose de différents lieux d'activité, mentionner toutes les adresses.
2.	Formations envisagées par le FTO	Formation théorique et /ou en vol Mentionner pour quelles licences une formation est envisagée.
3.	Nom du responsable pédagogique (HT)	Type et numéro de la licence Full/part time Curriculum vitae/expérience de vol
4.	Nom du chef instructeur de vol (CFI)	Type et numéro de la licence Full/part time Curriculum vitae/expérience de vol
5.	Nom du chef instructeur sol (CGI)	Type et numéro de la licence (évt) Full/part time Curriculum vitae
6.	Nom des instructeurs de vol (FI – SFI –CRI - TRI) instructeurs sol-	Type et numéro de la licence Full/part time Curriculum vitae/expérience de vol
7.	Aérodromes utilisés pour la formation	Facilités : ILS ATC / vol de nuit
8.	Locaux réservés aux opérations	Emplacement/ nombre /taille Description
9.	Installations pour l'instruction théorique	Emplacement / nombre / taille / nombre d'élèves prévu par local. Description de l'infrastructure.
10.	Description des moyens matériels de formation. Si possible les ouvrages de référence seront classifiés conformément App. 1 to FCL 1.470, AMC-FCL 1.125 ou AMC-FCL 1.261(a), selon la formation envisagée.	Liste détaillée des ouvrages de référence et des manuels utilisés.  Matériel didactique disponible
11.	Description des dispositifs de formation synthétique	FS / FNPT I / II et autre appareil synthétique avec mention du numéro d'approbation et emplacement
12.	Description des aéronefs	Type d'aéronef / Immatriculation Brève description de l'équipement avionics/IFR equipped (évt)
13.	Documents et manuels à joindre à la demande	a) programmes de formation b) dossiers de formation c) opérations manual d) training manual
14.	Renseignements concernant le système qualité	Nom du quality manager

Le soussigné ..... ( nom du responsable pédagogique), agissant au nom de ..... (nom du FTO) atteste que toutes les informations figurant ci-dessus et figurant dans les dossiers et manuels joints sont complètes et correctes. Toute modification de ces données sera communiquée immédiatement à la Direction générale Transport aérien par lettre recommandée ou par courriel.

DATE

SIGNATURE

**GEGEVENS**

**BIJKOMENDE INFO EN DOCUMENTEN**

1.	Naam van de instelling / adres / telefoon / fax / e-mail	Indien de FTO gebruik maakt van meerdere locaties alle adressen vermelden.
2.	Opleidingen die de FTO wenst te geven	Theorie en /of vliegopleiding Vermelden voor welke vergunning opleidingen worden gegeven.
3.	Naam van het Hoofd van de opleiding (HT)	Type en nummer vergunning Full/part time Curriculum vitae/vliegervaring
4.	Naam van het Hoofd vliegopleiding (CFI)	Type en nummer vergunning Full/part time Curriculum vitae/vliegervaring
5.	Naam van het Hoofd theorie-opleiding (CGI)	Type en nummer vergunning (evt) Full/part time Curriculum vitae
6.	Naam van de vlieginstructeurs (FI – SFI –CRI - TRI) theorie-instructeurs	Type en nummer vergunning Full/part time Curriculum vitae/vliegervaring
7.	Vliegvelden die voor de opleiding worden gebruikt	Faciliteiten : ILS ATC / Nachtvlucht
8.	Lokalen gebruikt voor de operaties	Plaats/ aantal/ afmetingen Beschrijving
9.	Lokalen voor de theoretische opleiding	Plaats /aantal/ afmetingen/ voorzien aantal leerlingen per lokaal Beschrijving van de infrastructuur.
10.	Beschrijving van de hulpmiddelen voor de theorie-opleiding. De referentiewerken beantwoorden waar mogelijk aan de volgorde van App. 1 to FCL 1.470, AMC-FCL 1.125 of AMC-FCL 1.1261(a), naargelang de opleiding die wordt voorzien	Gedetailleerde lijst van handboeken en referentiewerken.  Ander didactisch materiaal
11.	Beschrijving van de apparatuur voor de synthetische opleiding	FS / FNPT I / II en andere synthetische apparatuur met vermelding van erkenningsnummer en plaatsaanduiding.
12.	Beschrijving van de luchtvaartuigen	Type luchtvaartuig / aantal Inschrijvingskenmerken Summiere opgave per toestel van avionics/IFR equipped (evt)
13.	Documenten en manuals te voegen bij de aanvraag	a) opleidingsprogramma's b) opleidingsdossiers c) operations manual d) training manual
14.	Gegevens betreffende het kwaliteitssysteem	Naam van de quality manager

Ondergetekende ..... (naam van het hoofd van de opleiding), handelend namens ..... (naam FTO) verklaart dat alle gegevens zoals hierboven vermeld en zoals voorkomend in de bijgevoegde dossiers en manuals, volledig en juist zijn. Iedere wijziging van deze gegevens zal onmiddellijk per aangetekend schrijven of per e-mail aan het Directoraat-generaal Luchtvaart worden meegedeeld.

DATUM

HANDTEKENING

**ANNEXE B****FORMULAIRE DE DEMANDE D'APPROBATION DE PROGRAMME DE FORMATION****A. RENSEIGNEMENTS CONCERNANT L'ORGANISME DEMANDEUR**

Nom de l'organisme	
Nature de l'organisme (1) rayer les mentions inutiles	FTO / TRTO / EXPLOITANT / CONSTRUCTEUR/ OSFT / INSTRUCTEUR (1)
Adresse Téléphone/ Fax / e-mail	
Si le demandeur est instructeur mentionner licence et qualifications	
Numéro de l'approbation de l'organisme	Approuvé sous le numéro .....

**B. RENSEIGNEMENTS CONCERNANT LES FORMATIONS**

Nature des formations	
Conditions d'admission à la formation	
Contenu des formations	FORMATION AU SOL: .....heures. TEST/CONTROLE:.....heures Lieu: ..... Organisme ou instructeur responsable: .....  FORMATION SYNTHETIQUE: ..... heures. TEST/CONTROLE:.....heures Lieu: ..... Organisme ou instructeur responsable: .....  FORMATION EN VOL: .....heures TEST/CONTROLE:.....heures Aéroport: ..... Organisme ou instructeur responsable: .....
STD/ FS	Type : ..... Constructeur: ..... Exploitant: ..... Numéro d'approbation: ..... Date de la dernière approbation: .....
Locaux (s'ils ne sont pas mentionnés dans l'annexe A)	
Aéronefs	Type ..... Nombre: ..... Immatriculation ..... Exploitant: .....

Le soussigné ..... ( responsable pédagogique ) atteste que les formations mentionnées ci-dessus seront effectuées sous ma responsabilité conformément aux dispositions contenues dans le programme de formation ci-joint. Toute modification de ces données sera communiquée immédiatement à la Direction générale Transport aérien par lettre recommandée ou par courriel.

DATE

SIGNATURE

**C. CERTIFICAT D'APPROBATION**

Le programme de formation à .....spécifié ci-dessus a été approuvé pour être effectué sous la responsabilité de .....		
Observations: .....		
Date et numéro de l'approbation: .....		
Date et numéro de la prorogation:.....		
DATE	SIGNATURE	SCEAU DE L'AUTORITE

**BIJLAGE B****AANVRAAGFORMULIER VOOR GOEDKEURING VAN EEN OPLEIDINGSPROGRAMMA****A. GEGEVENS BETREFFENDE DE AANVRAGENDE INSTELLING**

Naam van de instelling	
Aard van de instelling (1) schrappen wat niet past	FTO / TRTO / EXPLOITANT / CONSTRUCTEUR/ IGTO / INSTRUCTEUR (1)
Adres Telefoon / Fax / e-mail	
Indien de aanvrager een instructeur is: vergunning en bevoegdverklaringen	
Nummer van erkenning van de instelling	Erkend onder nummer .....

**B. GEGEVENS BETREFFENDE DE OPLEIDINGEN**

Aard van de opleiding(en)	
Voorwaarden voor toelating tot de opleiding	
Inhoud van de opleiding	GRONDINSTRUCTIE: ..... uren. TEST/CONTROLE: ..... uren Plaats: ..... Instelling of verantwoordelijk instructeur: ..... .....  SYNTHETISCHE OPLEIDING: ..... uren. TEST/CONTROLE: ..... uren Plaats: ..... Instelling of verantwoordelijk instructeur: ..... .....  VLIEGOPLEIDING: ..... uren TEST/CONTROLE: ..... uren Luchthaven: ..... Instelling of verantwoordelijk instructeur: .....
STD/ FS	Type : ..... Constructeur: ..... Exploitant: ..... Erkend onder nummer: ..... Datum van de laatste goedkeuring: .....
Lokalen (indien verschillend van de lokalen in bijlage A)	Plaats / aantal / afmetingen / beschrijving van de infrastructuur Voorzien aantal leerlingen per lokaal
Luchtvaartuigen	Type: ..... Aantal: ..... Inschrijvingskenmerken: ..... Exploitant: .....

Ondergetekende ..... ( hoofd van de opleiding ) verklaar dat de hierboven vermelde opleiding onder mijn verantwoordelijkheid zal worden verstrekt overeenkomstig de bepalingen vervat in het programma van de opleiding zoals bijgevoegd. Iedere wijziging van deze gegevens zal onmiddellijk per aangetekend schrijven of per e-mail aan het Directoraat-generaal Luchtvaart worden medegedeeld.

DATUM

HANDTEKENING

**C. ATTEST VAN GOEDKEURING**

Het programma van de opleiding voor ..... zoals hierboven vermeld werd goedgekeurd om te worden verstrekt onder de verantwoordelijkheid van		
Opmerkingen: .....		
Datum en nummer van de goedkeuring: .....		
Datum en nummer van de hernieuwing: .....		
DATUM	HANDTEKENING	ZEGEL VAN DE OVERHEID

**Appendix 1a to JAR-FCL 1.055****Flying Training Organisations for pilot licences and ratings**

(See JAR-FCL 1.055)

(See IEM No. 1 to JAR-FCL 1.055)

(See IEM No. 2 to JAR-FCL 1.055)

(See IEM No. 3 to JAR-FCL 1.055)

(See AMC FCL 1.261(c)(2))

**INTRODUCTION**

1 A Flying Training Organisation (FTO) is an organisation staffed, equipped and operated in a suitable environment offering flying training, and/or synthetic flight instruction and/or theoretical knowledge instruction for specific training programmes.

2 A FTO wishing to offer approved training to meet JAR-FCL requirements shall obtain the approval of the Authority of a JAA Member State. No such approval will be granted by the Authority of the Member State unless:

- (a) the Authority can enforce the JAR-FCL requirements; and
- (b) the FTO meets all requirements of JAR-FCL.

This Appendix gives the requirements for the issue, revalidation and variation of the approval of a FTO. A FTO needs only to meet the requirements to the instruction it is providing.

**OBTAINING APPROVAL**

3 A FTO seeking approval shall provide to the Authority such operations and training manuals as required by paragraph 31. A FTO shall establish procedures acceptable to the Authority to ensure compliance with all relevant JAR-FCL requirements. The procedures shall include a quality system (see AMC FCL 1.055 and IEM FCL No. 1 to JAR-FCL 1.055) within the FTO to readily detect any deficiencies for self-remedial action. After consideration of the application the FTO will be inspected to ensure that it meets the requirements set out in this Appendix. Subject to satisfactory inspection, approval of the FTO will initially be granted for a period of one year, revalidation of the approval may be granted for further periods of up to three years. No Authority is obliged to grant an approval for a FTO outside the JAA Member States if the personnel resources are not available or the cost of processing the application for approval and inspections puts undue burden on the Authority.

4 All training courses shall be approved.

5 The Authority will monitor course standards and will sample training flights with students. During such visits, access shall be given by the FTO to training records, authorisation sheets, technical logs, lectures, study notes and briefings and any other relevant material. A copy of the report on a visit to a FTO will be made available by the Authority to that FTO.

6 Approval will be varied, suspended or revoked by the Authority if any of the approval requirements or standards cease to be maintained to the minimum approved level.

7 If a FTO wishes to make changes to an approved course or to its operations or training manual the approval of the Authority shall be obtained before the changes are implemented. FTOs need not advise the Authority of minor changes in day-to-day operations. Where any doubt exists as to whether a proposed change is minor, the Authority shall be consulted.

8 A FTO may make training arrangements with other training organisations or make use of alternative base aerodromes as part of its overall training organisation, subject to the approval of the Authority.

**FINANCIAL RESOURCES**

9 (a) A FTO shall satisfy the Authority that sufficient funding is available to conduct training to the approved standards (see IEM No. 2 to JAR-FCL 1.055).

(b) A FTO shall nominate a person acceptable to the Authority who shall satisfy the Authority that sufficient funding is available to conduct training to the approved standard. Such person shall be known as the accountable manager.

**MANAGEMENT AND STAFFING**

10 The management structure shall ensure supervision of all grades of staff by persons having the experience and qualities necessary to ensure the maintenance of high standards. Details of the management structure, indicating individual responsibilities, shall be included in the FTO's Operations Manual.

11 The FTO shall satisfy the Authority that an adequate number of qualified, competent staff are employed. For integrated courses, three persons on the staff shall be employed full time in the following positions:

Head of Training (HT)

Chief Flying Instructor (CFI)

Chief Ground Instructor (CGI)

For these positions and in order to maintain experience in airline operation, the BCAA may consider airline pilots as full time employed, provided that the percentage of their activity in both the FTO and the airline company is mentioned in the FTO manual.

For modular training courses, these positions may be combined and filled by one or two persons, full time or part time, depending upon the scope of training offered. At least one person on the staff must be full time. At FTOs conducting theoretical knowledge only, the positions of HT and CGI may be combined. The nominated person shall have managerial capability and shall meet the requirements set out in paragraph 19 below.

12 The number of part time instructors in relation to the scope of training offered shall be acceptable to the Authority.

13 The ratio of all students to flight instructors, excluding the HT, shall not normally exceed 6:1. Class numbers in ground subjects involving a high degree of supervision or practical work shall not normally exceed 12 students.

**HEAD OF TRAINING (HT)**

14 The HT shall have overall responsibility for ensuring satisfactory integration of flying training, synthetic flight training and theoretical knowledge instruction, and for supervising the progress of individual students. The HT shall have had extensive experience in training as a flight instructor for professional pilot licences and possess a sound managerial capability. The HT shall hold or have held in the three years prior to first appointment as a HT, a professional pilot licence and rating(s) issued in accordance with ICAO Annex 1, related to the flying training courses conducted.

**CHIEF FLYING INSTRUCTOR (CFI)**

15 The CFI shall be responsible for the supervision of flight and synthetic flight instructors and for the standardisation of all flight instruction and synthetic flight instruction. The CFI shall:

- (a) hold the highest professional pilot licence related to the flying training courses conducted;
- (b) hold the rating(s) related to the flying training courses conducted;
- (c) hold a flight instructor rating for at least one of the types of aeroplane used on the course; and

(d) have completed 1,000 hours pilot-in-command flight time of which a minimum of 500 hours shall be on flying instructional duties related to the flying courses conducted of which 200 hours may be instrument ground time.

**INSTRUCTORS, OTHER THAN SYNTHETIC FLIGHT INSTRUCTORS**

16 Instructors shall hold:

(a) a professional pilot licence and rating(s) related to the flying training courses they are appointed to conduct;

(b) an instructor rating relevant to the part of the course being conducted e.g. instrument rating instructor, flight instructor, type/class rating instructor, as appropriate; or

(c) an authorisation from the Authority to conduct specific training in a FTO (see JAR-FCL 1.300).

17 The maximum flying hours, maximum flying duty hours and minimum rest time between instructional duties of instructors shall be acceptable to the Authority.

**INSTRUCTORS FOR SYNTHETIC FLIGHT TRAINING**

18 For flight training duties on a FTD and a FNPT I, instructors shall hold or have held 3 years prior to the first appointment, a professional pilot licence and rating(s), except for instructors having an authorisation according to item 3 and/or 4 of Appendix 1 to JAR-FCL 1.005, appropriate to the training courses they are appointed to conduct, and have had instructional training experience. For flight training duties on a flight simulator and/or FNPT II, instructors shall hold a FI(A), IRI(A), TRI(A) or CRI(A) rating or a SFI(A), STI(A) or MCCI(A) authorisation relevant to the course the instructor is conducting.

**CHIEF GROUND INSTRUCTOR (CGI)**

19 The CGI shall be responsible for the supervision of all ground instructors and for the standardisation of all theoretical knowledge instruction. The CGI shall have a practical background in aviation and have undergone a course of training in instructional techniques or have had extensive previous experience in giving theoretical knowledge instruction.

**THEORETICAL KNOWLEDGE INSTRUCTORS**

20 Theoretical Knowledge Instructors in licence and ratings examination subjects shall have appropriate experience in aviation and shall, before appointment, give proof of their competency by giving a test lecture based on material they have developed for the subjects they are to teach.

**RECORDS**

21 A FTO shall maintain and retain the following records for a period of at least 5 years, using appropriate administrative staff:

(a) details of ground, flying, and simulated flight training given to individual students;

(b) detailed and regular progress reports from instructors including assessments, and regular progress flight tests and ground examinations; and

(c) personal information, e.g. expiry dates of medical certificates, ratings, etc.

22 The format of the student training records shall be specified in the Training Manual.

23 The FTO shall submit training records and reports as required by the Authority.

**TRAINING PROGRAMME**

24 A training programme shall be developed for each type of course offered. This programme shall include a breakdown of flying and theoretical knowledge instruction in either a week-by-week or phase presentation, a list of standard exercises and a syllabus summary. In particular, synthetic flight training and theoretical knowledge instruction shall be phased in such a manner as to ensure that students shall

be able to apply to flying exercises the knowledge gained on the ground. Arrangements should be made so that problems encountered in instruction can be resolved during subsequent training. The content and sequence of the training programme shall be acceptable to the Authority.

**TRAINING AEROPLANES**

25 An adequate fleet of training aeroplanes appropriate to the courses of training shall be provided. Each aeroplane shall be fitted with duplicated primary flight controls for use by the instructor and the student. Swing-over flight controls shall not be acceptable. The fleet shall include, as appropriate to the courses of training, aeroplane(s) suitable for demonstrating stalling and spin avoidance and aeroplane(s) suitably equipped to simulate instrument meteorological conditions and suitably equipped for the instrument flight training required.

26 Only aeroplanes approved by the Authority for training purposes shall be used.

**AERODROMES**

27 The base aerodrome, and any alternative base aerodrome, at which flying training is being conducted shall have at least the following facilities:

(a) at least one runway or take-off area that allows training aeroplanes to make a normal take-off or landing at the maximum take-off or maximum landing mass authorised, as appropriate,

(i) under calm wind (not more than four knots) conditions and temperatures equal to the mean high temperature for the hottest month of the year in the operating area,

(ii) clearing all obstacles in the take-off flight path by at least 50 feet,

(iii) with the powerplant operation and the landing gear and flap operation (if applicable) recommended by the manufacturer, and

(iv) with a smooth transition from lift-off to the best rate of climb speed without exceptional piloting skills or techniques;

(b) a wind direction indicator that is visible at ground level from the ends of each runway;

(c) adequate runway electrical lighting if used for night training; and

(d) an air traffic control service except where, with the approval of the Authority, the training requirements may be satisfied safely by another means of air/ground communications.

**FLIGHT OPERATIONS ACCOMMODATION**

28 The following accommodation shall be available:

(a) An operations room with facilities to control flying operations.

(b) A flight planning room with the following facilities:

- appropriate current maps and charts
- current AIS information
- current meteorological information
- communications to ATC and the operations room
- maps showing standard cross-country routes
- maps showing current prohibited, danger and restricted areas
- any other flight safety related material.

(c) Adequate briefing rooms/cubicles of sufficient size and number.

(d) Suitable offices for the supervisory staff and room(s) to allow flying instructors to write reports on students, complete records, etc.

(e) Furnished crew-room(s) for instructors and students.

**THEORETICAL KNOWLEDGE INSTRUCTION FACILITIES**

- 29 The following facilities for theoretical knowledge instruction shall be available:
- (a) Adequate classroom accommodation for the current student population.
  - (b) Suitable demonstration equipment to support the theoretical knowledge instruction.
  - (c) An R/T training and testing facility.
  - (d) A reference library containing publications giving coverage of the syllabus.
  - (e) Offices for the instructional staff.

**REQUIREMENTS FOR ENTRY TO TRAINING**

30 A student accepted for training shall possess the appropriate medical certificate for the licence required and shall meet the entrance requirements set by the FTO, as approved by the Authority.

**TRAINING MANUAL AND OPERATIONS MANUAL**

31 A FTO shall prepare and maintain a Training Manual and an Operations Manual containing information and instructions to enable staff to perform their duties and to give guidance to students on how to comply with course requirements. A FTO shall make available to staff and, where appropriate, to students the information contained in the Training Manual, the Operations Manual and the FTO's approval documentation. The amendment procedure shall be stated and amendments properly controlled.

32 The Training Manuals shall state the standards, objectives and training goals for each phase of training that the students are required to comply with and shall include the following:

- Part 1 – The Training Plan
- Part 2 – Briefing and Air Exercises
- Part 3 – Synthetic Flight Training
- Part 4 – Theoretical Knowledge Instruction

For further guidance see IEM No. 3 to JAR-FCL 1.055.

33 The Operations Manual shall provide relevant information to particular groups of staff, e.g. FIs, synthetic flight instructors, ground instructors, operations and maintenance staff, etc., and shall include the following:

- (a) General
- (b) Technical
- (c) Route
- (d) Staff Training

For further guidance see IEM No. 3 to JAR-FCL 1.055.

**Appendix 1b to JAR-FCL 1.055****Partial Training outside JAA Member States**

(See JAR-FCL 1.055(a)(1))

FTOs partly training outside the territories of a JAA Member State may perform training according to the following:

(a) Provided the requirements set out in this Appendix are met, approval may be granted. Provided that the approving Authority considers proper supervision to be possible, training will be confined to all or part of the ATP integrated course (see Appendix 1 to JAR-FCL 1.300).

(b) The navigation progress test in Phase 3 of the ATP integrated course may be conducted by a locally based flight instructor not connected with the applicant's training, provided that the instructor holds a JAR-FCL licence containing FI(A) or CRI(A) privileges, as appropriate. On completion of the required training, the skill test for a CPL(A) in Phase 4 of the ATP course may be taken with a locally based Flight Examiner (Aeroplane) (FE(A)), provided that the examiner is authorised in accordance with JAR-FCL Subpart I and completely independent from the relevant FTO except with the express consent in writing of the Authority.

(c) The skill test for the instrument rating is to be taken in any JAA Member State at the discretion of the Authority that approves the training. A FTO providing approved training for the instrument rating outside JAA Member States will need to make arrangements for the approved course to include acclimatisation flying in the JAA Member State of the approving Authority or in the airspace of any JAA Member State at the discretion of the approving Authority prior to any student taking the instrument rating skill test.

(d) Training for ATPL theoretical knowledge may be given at a FTO conducting approved training outside JAA Member States. The theoretical knowledge examinations for licence or rating issue shall be conducted by the Authority of the State of licence issue (see JAR-FCL 1.485). The arrangements for testing (see JAR-FCL 1.030) shall be carefully considered in regard to their training outside JAA Member States.

(e) Instruction may only be given under the direct control of a CFI(A) or nominated deputy holding a JAR-FCL licence and instructor rating as set out in paragraph 16 of Appendix 1a to JAR-FCL 1.055, who is to be present when training is given in the non JAA Member State.

## IEM No. 3 to JAR-FCL 1.055

## Training and Operations Manual for FTOs and TRTOs (if applicable)

## See Appendix 1a and 2 to JAR-FCL 1.055

## TRAINING MANUAL

Training Manuals for use at an FTO or TRTO conducting approved integrated or modular flying training courses should include the following:

**Part 1 – The Training Plan**

The aim of the course (ATP(A), CPL/IR(A), CPL(A) as applicable)	A statement of what the student is expected to do as a result of the training, the level of performance, and the training constraints to be observed.
Pre-entry requirements	Minimum age, educational requirements (including language), medical requirements.
Credits for previous experience	Any individual State requirements. To be obtained from the Authority before training begins.
Training Syllabi	The flying syllabus (single-engine), the flying syllabus (multi-engine), the synthetic flight training syllabus and the theoretical knowledge training syllabus.
The time scale and scale, in weeks, for each syllabus	Arrangements of the course and the integration of syllabi time.
Training programme	The general arrangements of daily and weekly programmes for flying, ground and synthetic flight training.  Bad weather constraints.  Programme constraints in terms of maximum student training times, (flying, theoretical knowledge, synthetic) e.g. per day/week/month. Restrictions in respect of duty periods for students. Duration of dual and solo flights at various stages. Maximum flying hours in any day/night; maximum number of training flights in any day/night.
Training records	Minimum rest period between duty periods. Rules for security of records and documents. Attendance records. The form of training records to be kept. Persons responsible for checking records and students' log books. The nature and frequency of record checks. Standardisation of entries in training records.
Safety training	Rules concerning log book entries. Individual responsibilities. Essential exercises. Emergency drills (frequency). Dual checks (frequency at various stages). Requirement before first solo day/night/navigation etc.

Tests and examinations	<p>Flying</p> <p>(a) Progress checks</p> <p>(b) Skill tests</p> <p>Theoretical Knowledge</p> <p>(a) Progress tests</p> <p>(b) Theoretical knowledge examinations</p> <p>Authorisation for test.</p> <p>Rules concerning refresher training before retest.</p> <p>Test reports and records.</p> <p>Procedures for examination paper preparation, type of question and assessment, standard required for 'Pass'.</p> <p>Procedure for question analysis and review and for raising replacement papers.</p> <p>Examination resit procedures.</p>
Training effectiveness	<p>Individual responsibilities.</p> <p>General assessment.</p> <p>Liaison between departments.</p> <p>Identification of unsatisfactory progress (individual students).</p> <p>Actions to correct unsatisfactory progress.</p> <p>Procedure for changing instructors.</p> <p>Maximum number of instructor changes per student.</p> <p>Internal feedback system for detecting training deficiencies.</p> <p>Procedure for suspending a student from training.</p> <p>Discipline.</p> <p>Reporting and documentation.</p>
Standards and Level of performance at various stages	<p>Individual responsibilities.</p> <p>Standardisation.</p> <p>Standardisation requirements and procedures.</p> <p>Application of test criteria.</p>

### Part 2 – Briefing and Air Exercises

Air Exercise	A detailed statement of the content specification of all the air exercises to be taught, arranged in the sequence to be flown with main and sub-titles. This should normally be the same as the air exercise specification for the flight instructor rating course.
Air exercise reference list	An abbreviated list of the above exercises giving only main and sub-titles for quick reference, and preferably in flip-card form to facilitate daily use by flight instructors.
Course structure – Phase of training	A statement of how the course will be divided into phases, indication of how the above air exercises will be divided between the phases and how they will be arranged to ensure that they are completed in the most suitable learning sequence and that essential (emergency) exercises are repeated at the correct frequency. Also, the syllabus hours for each phase and for groups of exercises within each phase shall be stated and when progress tests are to be conducted, etc.
Course structure integration of syllabi	The manner in which theoretical knowledge, synthetic flight training and flying training will be integrated so that as the flying training exercises are carried out students will be able to apply the knowledge gained from the associated theoretical knowledge instruction and synthetic flight training.

Student progress	The requirement for student progress and include a brief but specific statement of what a student is expected to be able to do and the standard of proficiency he must achieve before progressing from one phase of air exercise training to the next. Include minimum experience requirements in terms of hours, satisfactory exercise completion, etc. as necessary before significant exercises, e.g. night flying.
Instructional methods	The FTO requirements, particularly in respect of pre- and post-flying briefing, adherence to syllabi and training specifications, authorisation of solo flights, etc.
Progress tests	The instructions given to examining staff in respect of the conduct and documentation of all progress tests.
Glossary of terms	Definition of significant terms as necessary.
Appendices	Progress test report forms. Skill test report forms. FTO certificates of experience, competence, etc. as required.

### Part 3 – Synthetic Flight Training

Structure generally as for Part 2.

### Part 4 – Theoretical knowledge instruction

Structure of the theoretical knowledge course	A statement of the structure of the course, including the general sequence of the topics to be taught in each subject, the time allocated to each topic, the breakdown per subject and an example of a course schedule. Distance Learning courses should include instructions of the material to be studied for individual elements of the course.
Lesson Plans	A description of each lesson or group of lessons including teaching materials, training aids, progress test organisation and inter-connection of topics with other subjects.
Teaching materials	Specification of the training aids to be used (e.g. study materials, course manual references, exercises, self-study materials, demonstration equipment).
Student progress	The requirement for student progress, including a brief but specific statement of the standard that must be achieved and the mechanism for achieving this, before application for theoretical knowledge examinations.
Progress testing	The organisation of progress testing in each subject, including topics covered, evaluation methods and documentation.
Review procedure	The procedure to be followed if the standard required at any stage of the course is not achieved, including an agreed action plan with remedial training if required.

### OPERATIONS MANUAL

Operations Manual for use at an FTO or TRTO conducting approved integrated or modular flying training courses include the following:

- (a) General
- A list and description of all volumes in the Operations Manual
  - Administration (function and management)
  - Responsibilities (all management and administrative staff)
  - Student discipline and disciplinary action

- Approval/authorisation of flights
  - Preparation of flying programme (restriction of numbers of aeroplanes in poor weather)
  - Command of aeroplane
  - Responsibilities of pilot-in-command
  - Carriage of passengers
  - Aeroplane documentation
  - Retention of documents
  - Flight crew qualification records (licences and ratings)
  - Revalidation (medical certificates and ratings)
  - Flying duty period and flight time limitations (flying instructors)
  - Flying duty period and flight time limitations (students)
  - Rest periods (flying instructors)
  - Rest periods (students)
  - Pilots' log books
  - Flight planning (general)
  - Safety (general) – equipment, radio listening watch, hazards, accidents and incidents (including reports), safety pilots etc.
- (b) Technical
- Aeroplane descriptive notes
  - Aeroplane handling (including checklists, limitations, aeroplane maintenance and technical logs, in accordance with relevant JARs, etc.)
  - Emergency procedures
  - Radio and radio navigation aids
  - Allowable deficiencies (based on MMEL, if available)
- (c) Route
- Performance (legislation, take-off, route, landing etc.)
  - Flight planning (fuel, oil, minimum safe altitude, navigation equipment etc.)
  - Loading (loadsheets, mass, balance, limitations)
  - Weather minima (flying instructors)
  - Weather minima (students – at various stages of training)
  - Training routes/areas
- (d) Staff Training
- Appointments of persons responsible for standards/competence of flying staff
  - Initial training
  - Refresher training
  - Standardisation training
  - Proficiency checks
  - Upgrading training

**AMC FCL 1.055****Quality system for FTOs/TRTOs****See Appendix 1a and 2 to JAR-FCL 1.055****See IEM No. 1 to JAR-FCL 1.055**

1 In accordance with Appendix 1a and 2 to JAR-FCL 1.055, a FTO and a TRTO shall, as a condition for approval, establish and maintain a quality system. This AMC establishes the objectives of such a system, and offers a means of compliance as to which elements should be included and how the system can be integrated in the organisations.

2 The rationale for the requirements of quality systems is the need to establish a distinct assignment of roles between Authority and training organisations by creating an evident division between the regulatory and surveillance responsibility on the one hand, and responsibility of the training activities in itself on the other. Therefore the training organisations must establish a system whereby they can monitor their activities, be able to detect deviations from set rules and standards, take the necessary corrective actions and thus ensure compliance with Authority regulations and own requirements. A well established and functioning quality system will make it possible for the supervising Authority to perform inspections and surveillance efficiently and with a reasonable amount of resources.

3 It is obvious and well recognised that the scope and complexity of a quality system should reflect the size and complexity of the training organisation and its training activities. The objectives and the same principles apply, however, to any training organisation, irrespective of size and complexity. Thus, in small and relatively small training organisations, the quality system may be quite simple and integrated in the basic organisation, whereas larger organisations with more complex training activities will need to establish separate and independent quality organisations within the overall organisational set-up.

4 In determining size and complexity in this context the following guidelines apply:

training organisations with 5 or less instructors employed are considered very small;

training organisations employing between 6 and 20 instructors are considered small.

In determining complexity, factors such as number of aircraft types used for training, range of training courses offered, geographical spread of training activities (e.g. the use of satellites), range of training arrangements with other training organisations, etc. will be considered.

5 In a quality system of any FTO or TRTO the following five elements should be clearly identifiable:

- a. determination of the organisation's training policy and training and flight safety standards;
- b. determination and establishment of assignment of responsibility, resources, organisation and operational processes, which will make allowance for policy and training and flight safety standards;
- c. follow up system to ensure that policy, training and flight safety standards are complied with;
- d. registration and documentation of deviations from policy, training and flight safety standards together with necessary analysis, evaluations and correction of such deviations;
- e. evaluation of experiences and trends concerning policy, training and flight safety standards.

6 IEM No. 1 to JAR-FCL 1.055 describes in more detail objectives, the different elements of a quality system and offers guidance as to the set-up of quality systems in larger and/or more complex training organisations. For very small and small organisations paragraph 23 of IEM No. 1 to JAR-FCL 1.055 applies.

7 The Quality System required in JAR-FCL and in other JARs may be integrated.

**IEM No. 1 to JAR-FCL 1.055**  
**Quality system for FTOs/TRTOs**  
**See AMC FCL 1.055**

**INTRODUCTION**

A basis for quality should be established by every FTO/TRTO and problem-solving techniques to run processes should be applied. Knowledge in how to measure, establish and ultimately achieve quality in training and education is considered to be essential.

The purpose of this IEM is to provide information and guidance to the training organisations on how to establish a Quality System that enables compliance with Appendix 1a to JAR-FCL 1.055, item 3 and Appendix 2 to JAR-FCL 1.055, item 3 (Quality Systems).

In order to show compliance with Appendix 1a to JAR-FCL 1.055, item 3 and Appendix 2 to JAR-FCL 1.055, item 3, an FTO/TRTO should establish its Quality System in accordance with the instructions and information contained in the succeeding paragraphs.

**THE QUALITY SYSTEM OF THE FTO/TRTO**

**1 Terminology**

*Accountable Manager*

A person acceptable to the Authority who has authority for ensuring that all training activities can be financed and carried out to the standards required by the Authority, and additional requirements defined by the FTO/TRTO.

*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*

All those planned and systematic actions necessary to provide adequate confidence that all training activities satisfy given requirements, including the ones specified by the FTO/TRTO in relevant manuals.

*Quality Manager*

The manager, acceptable to the Authority, responsible for the management of the Quality System, monitoring function and requesting corrective actions.

*Quality Manual*

The document containing the relevant information pertaining to the operator's quality system and quality assurance programme.

*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.

**2 Quality Policy and Strategy**

It is of vital importance that the FTO/TRTO describes how the organisation formulates, deploys, reviews its policy and strategy and turns it into plans and actions. A formal written Quality Policy Statement should be established that is a commitment by the Head of Training as to what the Quality System is intended to achieve. The Quality Policy should reflect the achievement and continued compliance with relevant parts of JAR-FCL together with any additional standards specified by the FTO/TRTO.

The Accountable Manager will have overall responsibility for the Quality System including the frequency, format and structure of the internal management evaluation activities.

### 3 Purpose of a Quality System

The implementation and employment of a Quality System will enable the FTO/TRTO to monitor compliance with relevant parts of JAR-FCL, the Operations Manual, the Training Manual, and any other standards as established by that FTO/TRTO, or the Authority, to ensure safe and efficient training.

### 4 Quality Manager

4.1 The primary role of the Quality Manager is to verify, by monitoring activities in the field of training, that the standards required by the Authority, and any additional requirements as established by the FTO/TRTO, are being carried out properly under the supervision of the Head of Training, the Chief Flying Instructor and the Chief Ground Instructor.

4.2 The Quality Manager should be responsible for ensuring that the Quality Assurance Programme is properly implemented, maintained and continuously reviewed and improved. The Quality Manager should:

- have direct access to the Head of Training;
- have access to all parts of the FTO/TRTO's organisation.

4.3 In the case of small or very small FTO/TRTOs, the posts of the Head of Training and the Quality Manager may be combined. However, in this event, quality audits should be conducted by independent personnel. In the case of a training organisation offering integrated training the Quality Manager should not hold the position of Head of Training, Chief Flying Instructor and Chief Ground Instructor.

### 5 Quality System

5.1 The Quality System of the FTO/TRTO should ensure compliance with and adequacy of training activities requirements, standards and procedures.

5.2 The FTO/TRTO should specify the basic structure of the Quality System applicable to all training activities conducted.

5.3 The Quality System should be structured according to the size of the FTO/TRTO and the complexity of the training to be monitored.

### 6 Scope

A Quality System should address the following:

- 6.1 Leadership
- 6.2 Policy and Strategy
- 6.3 Processes
- 6.4 The provisions of JAR-FCL
- 6.5 Additional standards and training procedures as stated by the FTO/TRTO
- 6.6 The organisational structure of the FTO/TRTO
- 6.7 Responsibility for the development, establishment and management of the Quality System
- 6.8 Documentation, including manuals, reports and records
- 6.9 Quality Assurance Programme
- 6.10 The required financial, material, and human resources
- 6.11 Training requirements
- 6.12 Customer satisfaction

**7 Feedback System**

The quality system should include a feedback system to ensure that corrective actions are both identified and promptly addressed. The feedback system should also specify who is required to rectify discrepancies and non-compliance in each particular case, and the procedure to be followed if corrective action is not completed within an appropriate timescale.

**8 Documentation**

Relevant documentation includes the relevant part(s) of the Training and Operations Manual, which may be included in a separate Quality Manual.

8.1 In addition relevant documentation should also include the following:

- Quality Policy;
- Terminology;
- Specified training standards;
- A description of the organisation;
- The allocation of duties and responsibilities;
- Training procedures to ensure regulatory compliance.

8.2 The Quality Assurance Programme, reflecting:

- Schedule of the monitoring process;
- Audit procedures;
- Reporting procedures;
- Follow-up and corrective action procedures;
- Recording system;
- The training syllabus; and
- Document control.

**9 Quality Assurance Programme**

The Quality Assurance Programme should include all planned and systematic actions necessary to provide confidence that all training are conducted in accordance with all applicable requirements, standards and procedures.

**10 Quality Inspection**

The primary purpose of a quality inspection is to observe a particular event/action/document etc., in order to verify whether established training procedures and requirements are followed during the accomplishment of that event and whether the required standard is achieved.

Typical subject areas for quality inspections are:

- Actual flight and ground training;
- Maintenance;
- Technical Standards; and
- Training Standards.

**11 Audit**

An audit is a systematic, and independent comparison of the way in which a training is being conducted against the way in which the published training procedures say it should be conducted.

Audits should include at least the following quality procedures and processes:

- An explanation of the scope of the audit;
- Planning and preparation;
- Gathering and recording evidence; and
- Analysis of the evidence.

The various techniques that make up an effective audit are:

Interviews or discussions with personnel;  
 A review of published documents;  
 The examination of an adequate sample of records;  
 The witnessing of the activities which make up the training; and  
 The preservation of documents and the recording of observations.

## 12 **Auditors**

The FTO/TRTO should decide, depending on the complexity of the training, whether to make use of a dedicated audit team or a single auditor. In any event, the auditor or audit team should have relevant training and/or operational experience.

The responsibilities of the auditors should be clearly defined in the relevant documentation.

## 13 **Auditor's Independence**

Auditors should not have any day-to-day involvement in the area of the operation or maintenance activity which is to be audited. An FTO/TRTO may, in addition to using the services of full-time dedicated personnel belonging to a separate quality department, undertake the monitoring of specific areas or activities by the use of part-time auditors.

An FTO/TRTO whose structure and size does not justify the establishment of full-time auditors, may undertake the audit function by the use of part-time personnel from within his own organisation or from an external source under the terms of an agreement acceptable to the Authority.

In all cases the FTO/TRTO should develop suitable procedures to ensure that persons directly responsible for the activities to be audited are not selected as part of the auditing team. Where external auditors are used, it is essential that any external specialist is familiar with the type of training conducted by the FTO/TRTO.

The Quality Assurance Programme of the FTO/TRTO should identify the persons within the company who have the experience, responsibility and authority to:

- Perform quality inspections and audits as part of ongoing Quality Assurance;
- Identify and record any concerns or findings, and the evidence necessary to substantiate such concerns or findings;
- Initiate or recommend solutions to concerns or findings through designated reporting channels;
- Verify the implementation of solutions within specific timescales;
- Report directly to the Quality Manager.

## 14 **Audit Scope**

FTO/TRTOs are required to monitor compliance with the training and Operations Manuals they have designed to ensure safe and efficient training. In doing so they should as a minimum, and where appropriate, monitor:

- (a) Organisation;
- (b) Plans and objectives;
- (c) Training Procedures;
- (d) Flight Safety;
- (e) Manuals, Logs, and Records;
- (f) Flight and Duty Time Limitations,
- (g) Rest Requirements, and Scheduling;

- (h) Aircraft Maintenance/Operations interface;
- (i) Maintenance Programmes and Continued Airworthiness;
- (j) Airworthiness Directives management;
- (k) Maintenance Accomplishment.

#### 15 **Audit Scheduling**

A Quality Assurance Programme should include a defined audit schedule and a periodic review cycle. The schedule should be flexible, and allow unscheduled audits when trends are identified. Follow-up audits should be scheduled when necessary to verify that corrective action was carried out and that it was effective.

An FTO/TRTO should establish a schedule of audits to be completed during a specific calendar period. All aspects of the training should be reviewed within a period of 12 months in accordance with the programme unless an extension to the audit period is accepted as explained below.

An FTO/TRTO may increase the frequency of their audits at their discretion but should not decrease the frequency without the acceptance of the Authority. It is considered unlikely that a period of greater than 24 months would be acceptable for any audit topic.

When an FTO/TRTO defines the audit schedule, significant changes to the management, organisation, training, or technologies should be considered, as well as changes to the regulatory requirements.

#### 16 **Monitoring and Corrective Action**

The aim of monitoring within the Quality System is primarily to investigate and judge its effectiveness and thereby to ensure that defined policy, training standards are continuously complied with. Monitoring activity is based upon quality inspections, audits, corrective action and follow-up. The FTO/TRTO should establish and publish a quality procedure to monitor regulatory compliance on a continuing basis. This monitoring activity should be aimed at eliminating the causes of unsatisfactory performance.

Any non-compliance identified should be communicated to the manager responsible for taking corrective action or, if appropriate, the Accountable Manager. Such non-compliance should be recorded, for the purpose of further investigation, in order to determine the cause and to enable the recommendation of appropriate corrective action.

The Quality Assurance Programme should include procedures to ensure that corrective actions are developed in response to findings. These quality procedures should monitor such actions to verify their effectiveness and that they have been completed. Organisational responsibility and accountability for the implementation of corrective action resides with the department cited in the report identifying the finding. The Accountable Manager will have the ultimate responsibility for ensuring, through the Quality Manager(s), that corrective action has re-established compliance with the standard required by the Authority and any additional requirements established by the FTO/TRTO.

#### 17 **Corrective action**

Subsequent to the quality inspection/audit, the FTO/TRTO should establish:

- (a) The seriousness of any findings and any need for immediate corrective action;
- (b) The origin of the finding;
- (c) What corrective actions are required to ensure that the non-compliance does not recur;
- (d) A schedule for corrective action;
- (e) The identification of individuals or departments responsible for implementing corrective action;
- (f) Allocation of resources by the Accountable Manager where appropriate.

17.1 The Quality Manager should:

- 17.1.1 Verify that corrective action is taken by the manager responsible in response to any finding of non-compliance;
- 17.1.2 Verify that corrective action includes the elements outlined in paragraph 16 above;
- 17.1.3 Monitor the implementation and completion of corrective action;
- 17.1.4 Provide management with an independent assessment of corrective action, implementation and completion;
- 17.1.5 Evaluate the effectiveness of corrective action through the follow-up process.

## 18 **Management Evaluation**

A management evaluation is a comprehensive, systematic documented review by the management of the quality system, training policies, and procedures, and should consider:

The results of quality inspections, audits and any other indicators; as well as the overall effectiveness of the management organisation in achieving stated objectives. A management evaluation should identify and correct trends, and prevent, where possible, future non-conformities. Conclusions and recommendations made as a result of an evaluation should be submitted in writing to the responsible manager for action. The responsible manager should be an individual who has the authority to resolve issues and take action. The Accountable Manager should decide upon the frequency, format, and structure of internal management evaluation activities.

## 19 **Recording**

Accurate, complete, and readily accessible records documenting the results of the Quality Assurance Programme should be maintained by the FTO/TRTO. Records are essential data to enable an FTO/TRTO to analyse and determine the root causes of non-conformity, so that areas of non-compliance can be identified and subsequently addressed.

The following records should be retained for a period of 5 years:

- Audit Schedules;
- Quality inspection and Audit reports;
- Responses to findings;
- Corrective action reports;
- Follow-up and closure reports;
- Management Evaluation reports.

## 20 **Quality Assurance Responsibility for Sub-Contractors**

An FTO/TRTO may decide to sub-contract out certain activities to external organisations subject to the approval of the Authority.

The ultimate responsibility for the training provided by the subcontractor always remains with the FTO/TRTO. A written agreement should exist between the FTO/TRTO and the sub-contractor clearly defining the safety related services and quality to be provided. The sub-contractor's safety related activities relevant to the agreement should be included in the FTO/TRTO's Quality Assurance Programme.

The FTO/TRTO should ensure that the sub-contractor has the necessary authorisation/approval when required, and commands the resources and competence to undertake the task. If the FTO/TRTO requires the sub-contractor to conduct activity which exceeds the sub-contractor's authorisation/approval, the FTO/TRTO is responsible for ensuring that the sub-contractor's quality assurance takes account of such additional requirements.

**21 Quality System Training**

Correct and thorough training is essential to optimise quality in every organisation. In order to achieve significant outcomes of such training the FTO/TRTO should ensure that all staff understand the objectives as laid down in the Quality Manual.

Those responsible for managing the Quality System should receive training covering:

An introduction to the concept of Quality System;  
Quality management;  
Concept of Quality Assurance;  
Quality manuals;  
Audit techniques;  
Reporting and recording; and  
The way in which the Quality System will function in the FTO/TRTO.

Time should be provided to train every individual involved in quality management and for briefing the remainder of the employees. The allocation of time and resources should be governed by the size and complexity of the operation concerned.

**22 Sources of Training**

Quality management courses are available from the various National or International Standards Institutions, and an FTO/TRTO should consider whether to offer such courses to those likely to be involved in the management of Quality Systems. Organisations with sufficient appropriately qualified staff should consider whether to carry out in-house training.

**23 Quality Systems for small/very small Organisations**

The requirement to establish and document a Quality System, and to employ a Quality Manager applies to all FTO/TRTOs.

Complex quality systems could be inappropriate for small or very small FTO/TRTOs and the clerical effort required to draw up manuals and quality procedures for a complex system may stretch their resources. It is therefore accepted that such FTO/TRTOs should tailor their quality systems to suit the size and complexity of their training and allocate resources accordingly.

For small and very small FTO/TRTOs it may be appropriate to develop a Quality Assurance Programme that employs a checklist. The checklist should have a supporting schedule that requires completion of all checklist items within a specified timescale, together with a statement acknowledging completion of a periodic review by top management. An occasional independent overview of the checklist content and achievement of the Quality Assurance should be undertaken.

The small FTO/TRTO may decide to use internal or external auditors or a combination of the two. In these circumstances it would be acceptable for external specialists and or qualified organisations to perform the quality audits on behalf of the Quality Manager.

If the independent quality audit function is being conducted by external auditors, the audit schedule should be shown in the relevant documentation.

Whatever arrangements are made, the FTO/TRTO retains the ultimate responsibility for the quality system and especially the completion and follow-up of corrective actions.