FOREWORD

It is incumbent in the interest of flight safety that all aviation training conforms to the highest professional levels for which it is essential that it is undertaken at establishments that have the necessary wherewithal and expertise to conduct such training. ICAO contracting states are therefore, in accordance with the provisions of ICAO Annexure 1, required to exercise adequate oversight in not only granting approvals for conduct but also continued operation of aviation training activities.

Rule 133B of Aircraft Rules 1937, prescribes the rules relating to approval of aviation related organisations including training schools.

This Civil Aviation Publication (CAP) provides guidance for the certification, continued surveillance and renewal of Approved Training Organisations (ATOs) offering advanced training for Pilots Licenses such as type or instrument ratings specified in ICAO Annex 1, whose principle place of business and registered offices are located within India. Where organizations are not located within India, additional requirements are outlined in this document.

Though ideally ATO functions should relate to approved training for the issuance of Annex 1 licence or rating, however due to paucity of adequate training centers, ATOs will be allowed to undertake initial type training, recurrent and upgrade trainings also.

The purpose of this manual is to explain the administrative and operational procedures involved, for the issue and renewal of an ATO Certificate and to indicate the requirements to be met by an applicant for such a Certificate. Every application is considered on its merits. It is expected that the applicant of an ATO Certificate will be benefited by this manual as it explains the procedures involved so that the process would be independent and transparent. Additional guidance material issued by DGCA needs to be referred to, in conjunction with this manual.

The issue of an ATO Certificate would be dependent upon the applicant demonstrating an adequate organization, method of control and supervision of training programmes including flight operations (where applicable), synthetic training devices, ground training as well as ground handling and maintenance arrangements consistent with the nature and extent of the training courses specified.

The certification team of Inspectors of DGCA is responsible for conducting the required evaluations to ensure the applicant’s capability of meeting the actual and potential obligations in establishing and continuing to maintain safe, efficient and effective training programmes, prior to issuance of the ATO Certificate. Hence, all Inspectors involved in the certification process of the issuance of an ATO Certificate, shall be guided by the requirements stipulated in this manual.
On compliance of the requirements by the applicant and after evaluation by DGCA, the applicant would be issued a permit, setting forth the operational authorisation and limitations to carry out the specified aviation training. These training activities must be clearly defined, such as:

(a) Types of Flight Training (e.g. Type Rating /IR etc)

(b) Types of Theoretical Knowledge Training (e.g. English Language Proficiency etc).

(c) Types of recurrent/ refresher training (e.g. CRM, Dangerous Goods Awareness, Procedures Training, Human Factors Training etc)

The above mentioned trainings should also include entry level requirements (where applicable), recurrent training requirements and periodicity and failure policies.

Subsequent to the issuance of an ATO Certificate, DGCA would continue to monitor the operations by a systematic procedure of surveillance and inspections.

Prospective applicants may visit the DGCA official website at http://dgca.gov.in to obtain further details.

(B S Bhullar)
Director General of Civil Aviation
31 July 2017

(Approved vide F. No. AV. 22024/ATO Manual/2013-FSD)
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RECORD OF REVISIONS

Flight Standards Directorate, DGCA, India is responsible to ensure that this manual is updated as required and to maintain the contents of the manual current at all times.

Amendments to this manual are promulgated by means of revisions issued whenever necessary to cover corrections and to add or modify the contents. The page number and the revision number of the effected page must be changed accordingly. The list of effective pages and history of revisions page must be amended accordingly.

All revisions to this manual shall have the approval of the approving authority of this manual prior to publishing of the revisions.

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<td><strong>“Noted”</strong></td>
<td>This is a term to be used when completing the Declaration of Conformance to indicate that the Operator has read and understood the provisions made in the Regulations but it does not require him to take any action to comply with the regulation.</td>
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<tr>
<td><strong>“Noted &amp; Complied”</strong></td>
<td>This is a term to be used when completing the Declaration of Conformance to indicate that the Operator has read and understood the provisions in the Regulations and action has been taken to comply with it. When the ATO states “Noted and Complied” it is necessary to make necessary cross-reference to the relevant documents of the ATO which describes action/step that he has taken for such conformance. This may be done by quoting the applicable section and/or paragraph numbers and the title of the Operator’s Manuals.</td>
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<tr>
<td><strong>“Noted but Compliance deferred”</strong></td>
<td>This is a term to be used when completing the Declaration of Conformance to indicate the Regulations which the ATO has failed to comply with at the time of application.</td>
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CHAPTER 1

INTRODUCTION

1. General

1.1. Clause (c) of subsection 2 of Section A of Schedule II of Aircraft Rules, 1937 require that the flying experience required for issue of commercial pilot licences and ratings shall be acquired at the Flying Training Organisation (FTO) approved/recognized by the Director-General.

1.2. Rule 133B of Aircraft Rules 1937, prescribe the regulations relating to approval of training organisations.

1.3. This CAP is issued under provisions of Rule 133A of the Aircraft Rules 1937 and lays down the procedure and requirements for issue of an Approved Training Organisation Certificate for imparting aviation training for the issue of commercial licences, associated ratings, type ratings and recurrent and upgrade training to flight crews.

2. Applicability and Scope

2.1. Provisions of this CAP are applicable to all organizations imparting training for issue of pilot licences and associated type ratings, recurrent training and upgrade training for aircrafts needing such ratings.

2.2. DGCA on being satisfied with the infrastructure and quality assurance programme, may at its discretion give ATOs, so desiring, the additional responsibility of conducting examinations on behalf of itself. Such examinations can only be conducted with prior intimation of 15 days to DGCA. DGCA reserves the right to oversee any or all such examinations. Ref Chapter 8 para 9 for qualifications and criteria for personnel’s involved in the conduct of such exam.

3. Eligibility. ATO Certificate can be granted only to:

3.1. a citizen of India or a group of Indian nationals; or

3.2. a trust/society registered under the Societies Registration Act 1860; or

3.3. a Non Resident Indian or Overseas Corporate Bodies; or

3.4. Central or State Government or their undertaking; or

3.5. a company registered under the Companies Act 1956, having its principal place of business in India and with or without foreign equity participation (Excluding NRI equity) as approved by Government from time to time.
4. Applicable Rules and Requirements

4.1. In discharge of its responsibilities for regulating and ensuring safety of aircraft operations, DGCA has laid down detailed rules, regulations and procedures under the provisions of Aircraft Act, 1934. The main responsibility for the safe conduct of the operations and for compliance with the laws, rules, regulations and directions issued from time to time is that of the ATO. These laws and regulations cannot in themselves provide the ATO with comprehensive and detailed instructions on which to base his operations. The ATO should, therefore, develop his own detailed operating procedures necessary for safety, regularity and efficiency of operations within the frame work of the laws, rules, regulations, and directions issued by DGCA from time to time.

4.2. This document contains supplemental guidance material and information for the benefit of organizations seeking approval from the Directorate General of Civil Aviation (DGCA). It is intended to serve two purposes: to help organizations ensure that an application made for ATO Certificate will satisfy the DGCA requirements and that the applicable minimum standards have been met and thereafter will continue to be met; and also to specify the acceptable means of compliance for all aspects of the operation of an ATO approved by the DGCA.

4.3. No ATO or individual is permitted to conduct any type of training related to aviation without specific approval granted by the DGCA. The initial issue of an ATO Certificate in respect of an ATO, organization or individual who proposes to conduct any type of aviation related training must be authorized by the Director General of Civil Aviation. A provisional ATO certificate may be issued by DGCA when the ATO applicant has no previous experience or performance upon which DGCA can issue an unrestricted ATO certificate. The term provisional does not suggest relief for the operator; it merely reflects that it was issued without the benefit of DGCA’s ability to review an aspect of the ATO that presently does not exist.

4.4. All flight, ground, operational, managerial and airworthiness appointments, manuals, documents and facilities must be approved by the DGCA as outlined later in this CAP. All inspections and processing will be conducted after payment of the appropriate fees as specified vide Rule 133 C of Aircraft Rules, 1937 and CAR Section 7 Series D Part IV.

4.5. A separate approval to conduct flight training activities must be obtained from the Ministry of Civil Aviation (MoCA) and the Airport operators for the intended aerodrome(s) of operation (where applicable). All required approvals, shall be obtained prior to the DGCA being able to commence processing an application. Ownership of the training aircraft (if applicable) must be legally established for inclusion on the Certificate of Registration.

4.6. Unless specifically authorized by the DGCA, holders of a Indian ATO shall not permit the use of their call sign or ICAO designated code to any other
ATO or training organization.

4.7. Maintenance organizations in the India, that are to be contracted with for the maintenance of the approved training organization's aircraft or training devices (as applicable), must be approved by the DGCA in accordance with Rule 133B and CAR 145.

5. **Purpose of ATO Certificate**

5.1. The purpose of an ATO Certificate is to certify that specified aviation training activities are authorized by DGCA and are to be conducted in compliance with applicable regulations and rules.

5.2. The DGCA is authorized to suspend or cancel an Approval issued by him, if one or more of the conditions stipulated therein is breached or not maintained to the same level as demonstrated at the initial certification.

5.3. Prior to issuing an ATO Certificate, the DGCA needs to be satisfied that the ATO conforms to all the requirements of relevant rules, requirements and associated guidance published by the DGCA and in that:

5.3.1. The ATO shall meet the appropriate training standards and is equipped with all essential infrastructure in accordance with the applicable Civil Aviation Requirements published by the DGCA, for safe, secure, efficient and effective conduct of aviation training;

5.3.2. The organizational structure, staffing and administrative facilities in the areas such as operations, maintenance and/or all other associated areas of the ATO is appropriate and the nominees for the Designated Post Holders have adequate experience and required qualifications and are acceptable to and approved by the DGCA.

5.3.3. Detailed procedures, techniques and guidance are included in Operator’s Manuals giving specific instructions / information as to how the ATO’s personnel are required to carry out their duties and functions and such manuals shall receive approval from the DGCA.

5.3.4. All required training, checking programmes, Personnel’s, training infrastructure including training/ checking facilities (local, in-house outsource and abroad) simulators and any other synthetic devices have the approval of DGCA, where applicable;

5.3.5. Facilities and ancillary services required for the proposed training activities have been organized to ensure safe, secure, efficient and regular operation;

5.3.6. An effective safety management systems is in place (applicable only to those ATO engaged in aircraft training);
5.3.7. Installations, equipment and staff facilities associated with flying, ground and simulator training are adequate for the proposed training.

5.3.8. Maintenance arrangements for the aircraft and flight simulation devices are adequate.

5.3.9. Any other element identified as a requirement during the certification process is in place and is sufficient to ensure the conduct of proposed aviation training.

6. **ATO Certificate**

6.1. The issuance of an ATO Certificate for a training organization and the continued validity of the certification shall depend upon the training organization being in compliance with the requirements of this CAP.

6.2. The Certificate shall contain at least the following:

6.2.1. organization’s name and location;

6.2.2. date of issue and period of validity (where appropriate);

6.2.3. terms of approval including specifics of the authorizations for conduct of various aviation training courses including type rating courses, refresher training courses and ground training courses as applicable.

6.2 The ATO Certificate shall be prominently displayed at the ATO facility for the public to view the ATO certificate.

7. **Application for ATO Certificate.**

7.1. The application for the issue of an ATO Certificate must be prepared in accordance with the requirements prescribed in Annexure B of this manual.

8. **Continued Compliance**

8.1. Once certified, the ATO is responsible for the continued compliance with the initial conditions of certification and applicable legislative requirements and DGCA’s requirements promulgated from time to time. The DGCA will maintain regular surveillance on the ATO’s activities to ensure continued compliance, in addition to conducting formal and detailed audits where the ATO’s actual operations are checked against approved procedures in the ATO’s documents.

9. **Suspension/Cancellation or Revocation of ATO Certificate**

9.1. Failure on the part of the ATO to comply with the applicable requirements may result in either the imposing of administrative penalties or suspension/ cancellation or revocation of the ATO Certificate.

9.2. The ATO should note that in the event of a suspension/ cancellation or
revocation of an Approval, it needs to be recertified, with a process as determined by the DGCA.

9.3. The ATO should note that even if an enforcement action was not taken by the DGCA, and training is conducted in breach of a condition or conditions of the ATO Certificate, such training are construed to be unauthorised and the ATO is liable for enforcement action by the DGCA, on detection of such occurrences even belatedly.
CHAPTER 2

APPROVAL PROCESS

1. Approval Process

1.1. The certification process requires the DGCA to ascertain through a systematic process whether or not a prospective applicant has both the required ability and resources to comply with the applicable legislative requirements and to fulfill the applicant’s actual and potential obligations for operation of safe, secure, efficient and regular air transport services as proposed. This process involves five distinct phases as stated below:

1.1.1. Pre-Application Phase.

1.1.2. Formal Application Phase

1.1.3. Document Evaluation Phase

1.1.4. Inspection and Proving Training Flights Evaluation Phase

1.1.5. Certification Phase

1.2. It is the DGCA’s experience that considerable resources and effort are required to prepare an initial application for certification to conduct integrated courses of training, particularly in relation to the development of the required documentation. Equally, the review of such material is both demanding of staff effort within the DGCA and must take its place beside other work undertaken. In other words it is not given special priority against other tasks. Therefore, organizations should make realistic assumptions from the outset as to how long it will take to obtain approval, and are strongly recommended to inform the DGCA of their intentions to start an ATO at an early stage of planning (as outlined in the Pre-Application Phase of this CAP).

PRE-APPLICATION PHASE

2. During this phase, the applicant conducts initial studies, prepares plans, makes inquiries from the DGCA in regard to the opportunities available and seeks advice as to the validity of different proposals. The prospective applicant at this stage is required to submit a letter of intent to the DGCA outlining the proposal and the DGCA will then invite the applicant for a pre-application meeting.

3. The applicant then meets with the Chief Flight Operations Inspector and
selected Inspectors with the appropriate specialty and discusses generally the initial plans and the viability of different proposals. The applicant shall contact the FSD, DGCA Headquarters and bring a pre-application statement of intent to this meeting regarding the proposed operations and types of training and sequence of events. The arrangement for the pre-application meeting is made by contacting the Director Flight Operations, FSD, DGCA on Tel. 011-24622499 Ext 427 / Email: fidsec.dgca@nic.in. This meeting is to be requested when details of the training operations/ activities are known and will be attended by the DGCA assigned inspectors from Flight Standards Directorate and Directorate of Training & Licensing (if required).

4. The pre-application phase completes with the assessment concerning the financial, economic and legal aspects (issuance of NOC by Ministry of Civil Aviation for ATOs with aircraft).

5. **Pre-Application Statement of Intent.** The pre-application Statement of Intent is reviewed by the DGCA and this statement shall be in the form of a letter from the owner and, or sponsor. It shall contain at least the following information:

5.1. Type(s) of Training

5.2. Type(s) of aircraft (if applicable)

5.3. Proposed areas for training (if applicable)

5.4. Nature of aircraft (owned or leased) if applicable

5.5. Nature of simulation (owned or leased)

5.6. Location of main base of training and other facilities

5.7. Management organizational structure and the qualifications of the proposed Accountable Manager, Head of Training (VP Training/Director Training), Chief Flight Instructor(Chief pilot training/GM training), Chief Ground Instructor, Quality Manager and Maintenance Manager and chief of safety(applicable to those ATOs engaging in aircraft training also)

5.8. Proposed training organization name and corporate body sponsor

5.9. Approximate date of commencement

5.10. Trade License

5.11. Passport copy of owner(s)/sponsor(s) & passport photo of owner(s)/sponsor(s)(not applicable to govt owned organisations)

5.12. No objection letter or approval to base aircraft at the relevant airport from the

6. **Pre-Application Process.** On the basis of the information provided by the ATO, as outlined above, the DGCA will provide the applicant with the following information:

6.1. Application procedures including required forms

6.2. Required Documents (as outlined in this CAP and by the CARs)

6.3. Approval requirements for other aviation related government authorities

6.4. Required DGCA fees as per Rule 133C

6.5. Details of the DGCA certification team.

6.6. The DGCA will appoint a team for the certification process. A certification team is a group of DGCA Inspectors appointed to carry out the inspections and assessments required prior to certifying an applicant as suitable to hold an ATO approval. The size of the team will vary according to the size and complexity of the task(s) involved. The team will be headed by a Project Manager who shall be responsible for managing the overall certification process and in particular, the coordination of the activities of operations and airworthiness teams.
6.7. The certification team may comprise of the following directorates/divisions of the DGCA:

6.8. Flight Standards

6.9. Airworthiness

6.10. Air Safety

6.11. Aerodromes (If required)

6.12. Personnel Licensing

6.13. The applicant is expected to meet the inspectors of the DGCA with prior appointment to discuss the process involved with each discipline of the Certification. A “Schedule of Events” (Annexure C) will be completed by the applicant and the inspector pertaining to each meeting to record the progress made in the process.

7. **Time Period.** The DGCA requires 30 working days for a final decision to be made on the preliminary assessment. If the pre application is acceptable the operator will be informed to initiate formal application phase. If the pre application is not acceptable the operator will be informed accordingly within 30 days. Each phase must be completed before the next phase is initiated.

**FORMAL APPLICATION PHASE**

8. During this phase, the applicant is required to submit the complete application (Annexure B) to the DGCA together with the fees and relevant documents to support the intended operation. The DGCA will then make a formal assessment of the completeness of the applicant’s proposal and invite the applicant for a Formal Application meeting where the details relating to the certification process would be formally discussed.

9. The application process cannot commence unless the Director General gives the approval to proceed. The formal application phase commences when the applicant lodges a formal application for an ATO Certificate, accompanied by required documents (as per para 13 below) intended to prove or describe the manner in which he intends to conduct the training for the DGCA to make a formal assessment of the degree of completeness of the applicant’s proposal.
10. The formal application must be submitted to the DGCA at least 90 working days prior to the proposed commencement date of the training activities.

11. The DGCA must be given at least 10 working days prior notice of a proposed change of a nominated post holder of the training organization such as the Head of Training, Chief Flying Instructor, the Chief Ground Instructor and the Director / Head of Maintenance or Chief of Safety. In the event that an organization cannot give prior notice change of nominated post holder(s) should be brought to DGCAs notice immediately and appointment can be confirmed only after approval from DGCA.

12. Submission of the formal application is associated with a meeting attended by the Accountable Manager of the organisation, nominated post holders or key personnel from both the applicant and the DGCA. The formal application must be signed by the Accountable manager of the organisation. An accompanying letter shall include the full name and address of the applicant and contact numbers for the applicant's agent or co-ordinator. The letter must contain particulars of the proposed operations / training including details of desired training areas to confirm the pre-application information. During the meeting associated with the lodging of the formal application, the DGCA will nominate the assigned Inspector(s) who will be available to meet with the applicant's technical and operational management and representatives to develop an action plan and to ensure the application proceeds in a timely manner. The formal application letter must be accompanied by the required documentation including:

13. Documents

13.1. Schedule of events, including personnel training.


13.3. Compliance statement.

13.4. Aircraft, facility and services information.

13.5. Proof of adequate financial funds to support the proposed training organization's project.

13.6. Organization's structure.

13.7. **Documentation**

13.7.1. ATO Application – Fully completed.

13.7.2. Passport copy of owner (of corporate body) and Accountable Manager.

13.7.3. No Objection Certificate from Department of Civil Aviation (where applicable).

13.7.4. Aircraft ownership details, sale and purchase agreements or leases signed by names mentioned in the Power of Attorney.

13.7.5. Aircraft Insurance copies.
13.7.6. Completed Post-holder Application forms (with required supporting documents)

13.7.7. Proposed organization structure.

13.7.8. Proposed quality system structure.

13.7.9. Copy of DGCA application fee receipt

13.7.10. Application of ATO and Simulator approval (including associated certificate of approval from the DGCA and foreign DGCA if applicable).

13.7.11. Complete set of course notes and teaching material for each course to be taught with evidence of an updating system.

**Manuals to be produced with the formal application**

14. The following manuals (2 copies each) must accompany the application.

14.1. Training and Procedures Manual (as described in Chapter 8 of this CAP).

14.2. Quality Assurance Manual (as described in Chapter 9 of this CAP).

14.3. Operations Manual (individual manuals and items listed below form part of the operations manual, separate operations manual is mandatory for operators conducting aircraft training)


14.3.2. MEL (ATO with aircraft)

14.3.3. CDL (ATO with Aircraft)

14.3.4. Aircraft Performance Manual

14.4. Training Manual for Flight crew, Operations Personnel and Ground Personnel (may include emergency response guide for ATO with aircraft)

14.5. Aircraft Search procedure checklist (for ATO with aircraft)


14.7. MMEL

14.9. Safety Management Systems Manual including a description of the flight safety documents system (for ATO with aircraft)

14.10. Security Manual (for ATO with aircraft)

14.11. Maintenance Control Manual (Continuous Airworthiness Management Exposition - CAME)

14.12. Training Manual for maintenance personnel


14.15. ADL or Missing, Malfunctioning Inoperative Items List

14.16. Compliance Statement

**Schedule of Events**

15. This is a written statement to be provided by the applicant containing a list of items, documents, manuals, activities, aircraft, and/or facility acquisition or procurements which the applicant must accomplish or make ready, including the dates on which they will be submitted to the DGCA for certification or will be ready for the DGCA inspection. The Schedule of Events shall be pre-coordinated with the Project Manager in charge of the certification process.

16. It is important that the schedule be realistic and contains sufficient flexibility to allow for unforeseen contingencies. A factor which must be considered when the schedule of events is forwarded is whether the DGCA has operations and airworthiness inspectors already trained on the proposed aircraft type and if not, how long will it take to train them. If the DGCA does not have sufficient number of already trained and qualified inspectors on the type of aircraft to be operated, the applicant will be required to absorb the cost of type specific training for at least two operations inspectors and two airworthiness inspectors and any other officer of DGCA as specified, as outlined in the previous chapter.

17. The format of the Schedule of Events is placed at Annexure C.

18. The list shall include, but is not limited to, the following and the dates at which they will take place:

18.1. Instructors training.

18.2. Maintenance and ground handling

18.3. When all facilities will be ready for DGCA inspection.
18.4. When ATO, flight simulator and aircraft will be ready for inspection.

18.5. C of R & C of A requirements

18.6. Aviation Security Training (for ATOs conducting aircraft based training)

18.7. DGCA Inspector Training (if required and based on type of aircraft flown).

18.8. When training demonstration flights will begin (for ATOs conducting aircraft based training)

18.9. When proposed training operations will begin

19. The DGCA will approve only courses prepared and delivered in the English language. All course material including any documentation or records required shall be in English. Training Organizations shall ensure that students for whom English as a second language have a comprehensive understanding of spoken and written English before admitting them to a course.

Compliance Statement

20. The Compliance Statement refers to the requirements of this CAP and the applicable requirements of CARs applicable to the type of operation the applicant is proposing. The applicant must provide a brief, narrative description or a reference to a specific section of the applicant's manual or other document which describes how each applicable regulation will be complied with. This compliance statement must be signed by the Accountable Manager and or the Head of Training. The compliance statement must be submitted with all required manuals at the beginning of the formal application phase of certification.

21. Statement of compliance is a declaration by an applicant that the applicant is aware of and has a plan that is approved by DGCA to satisfy all pertinent regulations and applicable safety standards promulgated by the DGCA. The statement is in the form of a detailed list of CARs and Circulars that will be applicable to the operations proposed. The applicant is required to provide a brief narrative, describing the intended method of compliance, which shall be achieved against each item of the regulatory requirements. The format of the compliance statement to be completed by an applicant along with the application format is placed at Annexure B.

22. Where the ATO does not or cannot comply with the normal requirements and seeks a concession in lieu, the Compliance Statement should reflect that a particular concession has been sought. Under these conditions, approval of the Compliance Statement is contingent on approval of each requested concession.
23. During this phase, the DGCA will undertake a detailed study of the applicant’s manuals and other documents, which accompanied the formal application. The documentation must be complete, accurate and current to satisfy the DGCA’s requirements before the inspection phase can commence. There could be series of discussions between the DGCA and the nominated post holders of the applicant at this stage in regard to establishing the validity/acceptability of the applicant’s proposals. It should be noted that the documents shall reflect precisely the mode and manner in which the applicant intends conducting the proposed operations and once approved, they shall form a part of the understanding between the DGCA and the ATO in regard to future functioning of the ATO.

24. This study of the procedures and content of these documents gives the DGCA a preliminary assessment of the candidate’s technical fitness and organizations are reminded to submit professional documents, which reflect their operation and aircraft. The set of documents and manuals should be complete and the detailed evaluation of them must satisfy the DGCA’s requirements before the inspection phase can begin. The inspection phase may reveal the need for some operational changes, which in turn make it necessary for the applicant to amend the documents originally submitted. In that case, it is conceivable that some form of document evaluation may continue until shortly before approval. Nevertheless, the satisfactory evaluation of the documents as originally submitted is a prerequisite for the inspection phase to begin. The DGCA will review the list of documents and manuals ensuring adequacy and compliance for the type of operation proposed by the ATO. The documents and manuals should be presented for consideration not less than 60 working days prior to the commencement of the proposed operations to avoid delay. It is only at this stage, when the DGCA has all required documents, that the proposed organization will be advised as to the time the application process will take. Operators are reminded that incomplete documentation will affect the application completion date.

25. During the document evaluation phase, the required post holders qualifications and experience will also be evaluated by the DGCA, on ensuring that they meet the eligibility requirements for their requested posts these nominated post holders will be interviewed, if found suitable, approval will be granted by DGCA. The next phase can only be commenced on satisfactory completion of document evaluation phase.

DEMONSTRATION AND INSPECTION PHASE

26. During this phase, the applicant needs to demonstrate to the DGCA that the applicant is in a position to conduct the proposed training in accordance with the procedures detailed in the documents/manuals reviewed during the previous phase utilizing the personnel/facilities/equipment identified in the formal application. Aircraft, maintenance facilities and arrangements will be inspected. Training facilities, programmes and training personnel will be evaluated.
Company’s organizational structure, channels of communication, delegation of powers, financial strength and sources of funding will be subjected to detailed scrutiny to ensure that the company has sufficient resources, effective arrangement and control to satisfy its obligations. This phase may reveal the need for some changes, which in turn may require the applicant to make amendments to the documents originally submitted. All elements must be satisfactorily completed before proceeding to the certification phase.

27. The applicant is required to demonstrate his ability to comply with regulations and safe operating practices before actual training can begin. The demonstrations are to prove that the applicant has an adequate organization, method of control and supervision of flight operations, training programs as well as ground handling and maintenance arrangement that are consistent with the nature and extent of operations specified. Staff members that require specific authorization (for example, Flight Examiners and Flight Instructors) will be assessed, and proving flights will be conducted. The applicant must satisfy the DGCA that sufficient qualified personnel are employed and that such personnel are employed on a full time basis where appropriate. Amongst other requirements the applicant shall provide adequate facilities and equipment sufficient to permit the staff to carry out their duties related to the conduct of operations in compliance with regulations and manuals, and in safety.

28. The initial inspection will focus on:

28.1. Management and Administration Structure, to include but not limited to:

28.2. Status of the organization's management

28.2.1. Conformity with the applicable parts of the Operations Manual

28.2.2. Qualifications / experience of key personnel

28.2.3. Administrative infrastructure

28.2.4. Adequacy of staff, facilities, equipment and finances

28.2.5. Office support

28.2.6. Printing and / or distribution facilities

28.2.7. Scheduling & Rostering

28.2.8. Rights of access by DGCA Licensing Inspectors

28.3. Training Facilities, to include but not limited to:

28.3.1. Classrooms
28.3.2. Number / size of classrooms adequate for purpose
28.3.3. Student accommodation
28.3.4. Whiteboards/ Blackboards and screens
28.3.5. Lighting, heating cooling and ventilation
28.3.6. Training aids examinations
28.3.7. Security of storage
28.3.8. Examination rooms adequate for purpose

28.4. Aircraft/Simulator Records (as applicable), to include but not limited to:
28.4.1. Maintenance records
28.4.2. Technical logs
28.4.3. Maintenance programs
28.4.4. Training aircraft registration, documentation, maintenance and maintenance records, instrument and equipment fit.

28.5. Flight Crew Records, to include but not limited to:
28.5.1. Flight Duty Time (trainers and trainees )
28.5.2. Licence and Medical validity
28.5.3. Recency
28.5.4. Training (to include those section described in the ATO (Training procedures manual)
28.5.5 Manuals & checklists

**Training Demonstration (Including flights, if applicable)**

29. The requirements for “Training Demonstration” will depend on the size and complexity of Training Activities. The number of demonstrations will be solely at the discretion of the DGCA and ATOs are advised that demonstration flights may be extended to ensure training competency is achieved in all areas.

30. These demonstration flights (if applicable) shall normally be without students and be a representative example of a lesson (selected by the DGCA) that will be taught as part of the approved
course offerings. In addition to the demonstration flights, the DGCA will observe ground, flight and synthetic flight instruction including pre-flight briefing, actual flight and post flight debriefing. The DGCA reserves the right to observe instruction being given both in the air and on the ground.

NOTE: Training demonstration flights are applicable to ATO conducting flying training on aircraft. For other ATOs, demonstration of simulator training will be undertaken. The next phase will only be commenced on successful completion of the demonstration and evaluation process.

CERTIFICATION PHASE

31. When all the previous phases have been satisfactorily completed, the DGCA will issue the ATO Certificate and the associated authorisations for Training Courses for a maximum period of 5 years.

32. The certification phase begins when the DGCA takes the necessary administrative action to actually issue an ATO Certificate with associated Training Specifications. If the inspection phase is unsatisfactory, no further action will be taken until the deficiencies are rectified. The approval requirements of this phase are also checked during the renewal of an ATO Certificate and its associated Training Specifications.

33. Before the issuance of the ATO Certificate, the DGCA Inspectors will complete the necessary Licensing Forms as a result of the work conducted during the previous phase. All Licensing Forms are required to be completed fully and all associated items are to be assessed and satisfied by the DGCA prior to any form of certification being given.

34. An ATO Certificate once issued is not transferable. An application must be made for a new certificate to be issued if there is going to be a change in circumstances, for example, where an ATO changes its name or ownership or enters into an arrangement to move a certificate to another ATO. The DGCA Licensing Department shall be notified at the earliest possible opportunity if such a change is going to take place, in order that advice can be given on what needs to be done to facilitate the issue of a new certificate as expeditiously as possible. DGCA may issue a one-time provisional ATO certificate as initial issuance following which an unrestricted ATO certificate will be issued on renewal upon successful completion of an inspection by DGCA.
35. Inspectors of each discipline are further guided by the requirements published in their respective Inspector Handbook for the issuance of an ATO Certificate, and will use the relevant checklists in the Handbook for any additional requirement, when conducting Inspections for the above purpose.

36. Inspectors of each discipline are further guided by the requirements published in their respective Inspector Handbook for the issuance of an ATO Certificate, and will use the relevant checklists in the Handbook for any additional requirement, when conducting Inspections for the above purpose.

Checklist for the issuance of an ATO Certificate is placed at Annexure B.

37. The DGCA, if satisfied beyond any doubt that the applicant is capable of meeting the requirements of the Aircraft Act and rules made there under for training, an ATO Certificate will be issued.

RESPONSIBILITY OF THE OPERATOR

38. A major objective of the ATO Certificate approval process is to ensure that an applicant for an ATO Certificate is fully aware and has clearly understood at the very outset about the actual & potential obligations arising out of the proposed operations (especially the legal & social responsibilities) and the financial commitments required to sustain the proposed operations in conformity with the published civil aviation requirements.

39. Accordingly, an ATO Certificate will not be issued until the DGCA is fully convinced and satisfied beyond any doubt that all requirements for issue of the Certificate have been complied with, prior to commencement of the proposed operations and that the ATO has both the required aptitude and resources to maintain proposed services without compromising any of the initial conditions of certification.

40. It is imperative that an applicant after receiving the formal authorization for training through an ATO Certificate and associated Training Specifications, inform the DGCA of arrangements in place in order to conform to the regulatory requirements that would be published by the DGCA through subsequent CARs and amend or supplement the Statement of Compliance accordingly.

41. It is imperative that the operator has a defined policy on conflict of interest which should address areas of major concern like outcome of tests and checks, involvement of the evaluator in the financial aspects of the operator, influence by any airline or individual in training due to operational requirements(eg: passing undeserving candidates to assist with operational requirement of a operator). The policy should also address proposed action by the ATO operator against employees found to be violating the policy on conflict of interest.
CHAPTER 3

MANAGEMENT

1. The DGCA requires that an adequate number of qualified, competent staff are to be employed and that the management structure ensures supervision of all staff by persons having the necessary experience and qualities. The DGCA will place particular emphasis on the qualifications and competence of all training staff in their specialization and in training techniques. All training staff must be acceptable to and approved by the DGCA. The posts of Accountable Manager (AM), Head of Training (HoT), Quality Assurance Manager (QAM), Chief Instructor/Chief Flying Instructor (CFI), Chief Synthetic Flight Instructor (CSFI) and Chief Ground Instructor (CGI) at an ATO shall all be filled by persons who are qualified in accordance with this CAP and relevant CARs, and who are subsequently approved by the DGCA.

2. At ATOs offering courses of training on multiple types of aircraft, one person shall not hold two or more of the named posts simultaneously unless specifically approved to do so by the DGCA for a limited period not to exceed 30 days. ATOs offering courses of training on one type only or only ground training, may combine posts; however approval must be obtained from the DGCA. This approval will be based on the number of instructors employed, total training conducted (actual and forecast) and the scope (number of different course approvals) of the organization. In general, at ATOs employing less than five instructors, the positions of HoT and CFI or CFI and CGI may be combined.

3. Where posts are combined, the post holder shall meet the qualification requirements for each of the posts held. At least one of the nominated post holders shall be employed full time. For the purposes of modular courses, this shall be taken to mean that the full time staff member shall be available for the duration of the approved course without interruption from any other employment.

FINANCIAL RESOURCES

4. This section sets out the means of compliance for the DGCA to be satisfied that ATOs have sufficient funding available to conduct training to the approved standards and to address the maintenance of acceptable flying training standards throughout the duration of a course. The grant and revalidation of an certificate cannot therefore be construed as a guarantee of the underlying financial soundness of the organisation. It is an indication, on the basis of financial information provided, that the approved organisation can provide sufficient facilities and qualified staff such that flying training can be, or can continue to be, provided in accordance with relevant DGCA regulations, training requirements and standards.
5. Any application for initial certification or revalidation is to be supported by a plan, covering the period of certification which is five years, which includes at least the following information:

5.1. Training facilities and number of students

5.2. Details, as appropriate, of:

5.2.1. Financial Details

5.2.2. Capital expenditure necessary to provide the planned facilities;

5.2.3. Costs associated with running each of the courses for which certification is sought;

5.2.4. Income forecasts for the period of certification;

5.2.5. A forecast financial operating statement for the business for which certification is sought;

5.2.6. Details of any other financial trading arrangement on which the viability of the approved organisation may be dependent.

6. The plan submitted in support of an application for initial certification or revalidation is to be accompanied by a Financial Statement from the applicant's bankers or auditors, which certifies that the applicant has, or has recourse to, sufficient financial resources to meet the applicant's proposals as described in the plan to conduct DGCA approved courses. An appropriately revised Financial Statement will be required whenever the applicants wish to expand their activities in addition to those described in the plan, in order to satisfy the requirements of the DGCA regulations.

7. After certification has been granted, if the DGCA has reason to believe that the necessary standards of compliance with the DGCA regulations are not being met or may not be met due to a lack or apparent lack of financial resources, the DGCA may require the organisation to demonstrate in a written submission that sufficient funds can and will be made available to continue to meet the terms of certification, or such modifications to it as may have been agreed with the DGCA. Any such submission is to be accompanied by a further Financial Statement signed by the approved organisation’s bankers or auditors. The DGCA may also require a Financial Statement if it appears to the DGCA that operation of the approved course(s) is significantly at variance with the proposals contained in the business plan.
CHAPTER 4

STAFFING

1. **Accountable Manager**

   1.1. The Accountable Manager will be a person acceptable to the DGCA who has authority for ensuring that all training activities can be financed and carried out to the standards required by the DGCA, and additional requirements defined by the ATO. This person should have extensive experience in running successful businesses, preferably in the aviation industry.

2. **Head of Training (VP Training/ Director Training)**

   2.1. The Head of Training (HoT) is responsible to the DGCA for discharging the responsibilities ascribed to the post holder as outlined below. To be acceptable to the DGCA, the person nominated for this post shall have extensive experience in training as a DE/SFI/Flight Instructor for professional pilot licences as well as possessing a sound managerial capability. The HoT shall hold or have held in the five years prior to first appointment as a HoT, a professional licence and rating(s) issued in accordance with Schedule II of the Rules of the Air, 1937, related to the flying training courses conducted or should have been a DE/TRI/SFI prior to appointment as HoT with sound managerial capability related to the flying training courses to be conducted in the ATO.

**CHIEF INSTRUCTOR**

3. The responsibilities of the Chief Instructor/ GM (Training)/ Chief Flying Instructor (CFI),Chief Ground Instructor (CGI) and Chief Synthetic Flight Instructor (CSFI) will include supervision and standardization of all instructors reporting to them and the provision of instructor briefing materials. Standardization of flight and synthetic flight instructional staff is an important aspect of the operations of an ATO and the DGCA must be satisfied that adequate arrangements are put in place. In discharging his responsibility for the supervision and standardization of all flight and synthetic flight instructors, it will be acceptable for the CFI to be supported by instructors nominated as Standards Instructors or a Deputy CFI and accepted for this purpose by the DGCA.

4. **Chief Flight Instructor**

   4.1. The CFI shall also be responsible for all student flight and synthetic flight instruction records. The CFI shall be responsible for ensuring that suitable arrangements are in place for the signing of all course completion certificates for any courses offered by the specific ATO. Arrangements acceptable to the DGCA are to be
made for periodic standardization training and such training is to be detailed within the ATO’s Operations Manual in Section D or Training Procedure Manual.

4.2. The CFI shall meet the following requirements:

4.2.1. Hold/Have held the highest professional pilot license related to the flying training courses conducted.

4.2.2. Hold/Have held the rating(s) related to the flying training courses conducted.

4.2.3. Hold/Have held a DE/TRI/SFI rating for at least one of the types of the aircraft used on the course; and

4.2.4. Have completed 1000 hours pilot-in-command of which a minimum of 500 hours shall be on flying duties related to the flying courses conducted of which 200 hours may be instrument ground time.

5. Chief Ground Instructor

5.1. The Chief Ground Instructor (CGI) shall be responsible for the supervision of all ground instructors and for the standardization of all theoretical knowledge instruction. The CGI shall have a practical background in aviation and have undergone a course of training in instructional techniques. He should have had extensive previous experience in giving theoretical knowledge instruction applicable to the courses for which certification is sought.

6. Chief Synthetic Flight Instructor

6.1. Where the scope of training offered warrants it, an ATO may appoint a CSFI who must be acceptable to the DGCA. The duties and responsibilities of the post holder will be equivalent to those of the CFI but in relation to synthetic flight training only. Where a CSFI is appointed the duties and responsibilities of the CFI shall be adjusted accordingly. The CSFI shall report to the CFI (where one exists) who remains responsible to the HoT. In the event there is no CFI, CSFI will report to the HoT. This shall be clearly established and reflected in the ATO’s Operations and Quality Manuals as well as in the initial application to the DGCA for certification.

7. Quality Manager

7.1. The implementation and employment of a Quality System will enable the ATO to monitor compliance with relevant parts of the DGCA regulations, the Operations Manual, the Training Manual, and any other standards as established by that ATO, or the DGCA, to ensure safe and efficient training. Therefore, the primary role of the Quality Manager is to verify, by monitoring activities in the field of training, that the standards required by the DGCA, and any additional requirements as established by
the ATO, are being carried out properly under the supervision of the Head of Training, the Chief Flying Instructor and the Chief Ground Instructor.

7.2. 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:

7.2.1. Have direct access to the Head of Training;

7.2.2. Have access to all parts of the ATO's organisation.

7.3. In the case of small or very small ATOs, the posts of the Head of Training and the Quality Manager may be combined based on the scope of the operation. However, in this event, quality audits should be conducted by independent personnel. In the case of a training organisation offering training on multiple types, the Quality Manager shall not hold the position of Head of Training, Chief Flying Instructor or Chief Ground Instructor. The Quality Manager shall have extensive experience in implementation and control of quality systems and should have extensive experience in the aviation industry in either an engineering or flying role. Additional requirements may need to be met based on the scope of the ATO's training program. The QM should also manage SMS when required. Consideration can be given to a separate SMS manager at the ATO and DGCA's discretion depending on the size of the organization.

8. **Director / Head of Maintenance**

8.1. The Director/ Head of Maintenance is responsible for the overall maintenance activities and works related to the training aircraft used by the flight training organization. He is responsible for the co-ordination of the selection of aircraft and aircraft equipment, spare parts and technical standards related to new aircraft. He is also responsible for communicating with the contracted maintenance and repair agencies with regard to any matters related to the maintenance and repair of aircraft on behalf of the training organization. He shall ensure the establishment of a Quality System that promotes the highest standards of airworthiness and effectiveness of the overall maintenance program.

8.2. The nominated key personnel for this position should have the following:

8.2.1. Relevant engineering degree or aircraft maintenance technician with additional qualifications acceptable to the DGCA. Relevant engineering degree means an engineering degree from aeronautical, mechanical, electrical, electronic, avionic or other studies relevant to the maintenance of aircraft / aircraft components.

8.2.2. Thorough familiarity with the Organization's Maintenance Management Exposition.
8.2.3. Knowledge of the relevant type(s) of aircraft/ simulator(s)

8.2.4. Knowledge of maintenance methods

8.3. The Director / Head of Maintenance shall meet the following qualifications;

8.3.1. Hold an Aircraft Maintenance Engineers’ Licence (AME) with Airframe and Power plant ratings for the type of aircraft/ simulator(s) to be used by the flight training organization with a minimum of five years of experience.

8.3.2. Have at least two years of experience in a position responsible for returning aircraft to service.

8.3.3. Have at least two years of experience in a supervisory capacity maintaining the same category and class of aircraft to be used by the flight training organization.

INSTRUCTORS

9. Sufficient instructors must be employed at all times in order to ensure the proper continuity of training for all students attending the courses. Instructional staff shall not act in any capacity at more than one Training Organization approved by the DGCA except with the express permission of the DGCA.

10. Flight Instructors

10.1. All flight instructors(DE/TRI/SFI) shall hold:

10.1.1. A professional pilot license and rating related to the flying training courses that they are appointed to conduct( CAR Sec 7 Ser I Part I, II and IV)

10.1.2. 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

10.1.3. An authorization from the DGCA to conduct specific training in an ATO.

10.2. Instrument flying instruction in multi-engine aircraft shall only be given by instructors qualified to give both instrument flying instruction and instruction on the multi-engine aircraft used on the course. Instructors who train students on aircraft shall be qualified to instruct on the aircraft type and where applicable be qualified to give instruction for the Instrument Rating.

NOTE: Stand alone ATO will be considered as a operator for SFI approvals and the same will be as per CAR Sec7 Ser I Part II. Additonal DE approval as per CAR Sec 7 Ser I Part I will be authorized when ATOs do not have aircraft.
11. Instructors for Synthetic Flight Training

11.1. Sufficient Synthetic Flight Training Instructors must be employed to ensure the proper continuity of synthetic flight training for all students attending the courses. Standardization of SFIs is responsibility of the HOT, which may be delegated to, if appointed, the CSFI/ Chief Instructor /GM (Training). The DGCA will need to be satisfied that instructors have received instruction on and achieved an appropriate standard in the types of devices to be used on courses, covering their operation and the instruction to be given to students in accordance with the approved syllabus. Instructors may not instruct for more than 900 machine hours in any 12-month period. When FIs are used to instruct on aircrafts and STDs, the total instruction shall not exceed 900 hours in any 12-month period.

12. Ground Instructors

12.1. Sufficient Theoretical Knowledge Instructors must be employed to ensure the proper continuity of theoretical knowledge instruction for all students attending the courses. The maximum class numbers in subjects involving a high degree of supervision or practical work should not exceed 20 students. Theoretical knowledge instructors shall not exceed 30 teaching hours in any one-week, inclusive of CBT (when the instructor is assigned CBT duty). These figures shall be taken to include all classroom contact time, whether on DGCA approved courses or other courses in which the theoretical knowledge instructor takes part. Theoretical knowledge instruction may be carried out by FIs or by other instructors having appropriate experience in aviation and knowledge of the aircraft concerned. Personnel nominated as Ground Instructors must be approved vide CAR Section 7 series I Part VII.

NOTE: DGCA has permitted CBT as a format for initial and recurrent training. CBT does not have to be supervised but a rated/approved instructor for the nature of training being conducted should be available on premise to clarify any doubt/query raised by the trainee.

12.2. Ground Instructors shall have appropriate experience in aviation and shall, before appointment, give proof of their competence by giving a test lecture based on material they have developed for the subjects that they are to teach. This test lecture should be for each subject that the Instructor is planned to teach and approval for any one subject should not be construed as a common approval as a Ground Instructor. The post Holder Training is responsible to evaluate each instructor as per training procedure manual guidelines prior to approving ground instructors for their organisation. DGCA however reserves the right to conduct a viva/ test lecture for ground instructors on random basis. 

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CHAPTER 5

RECORDS AND DOCUMENTS

1. Administrative staff shall be provided to deal with the routine administration of courses. The Head of Training or other nominated person acceptable to the DGCA shall be responsible for flight, theoretical knowledge and synthetic flight instruction records of students. Records shall be maintained for synthetic flight and theoretical knowledge instruction. The form and content of student training records is to be specified in the Training Manual and be acceptable to the DGCA appropriate to the courses conducted. The records are to include:

1.1. The personal details of each student, including name, address, telephone contact number(s), DGCA reference number, next of kin details, previous experience and evidence of all pre-entry requirements and qualifications including a summary of any credit to which the student may be entitled and an assessment of his suitability to undertake the course;

1.2. A cumulative record of theoretical knowledge lessons attended by subject;

1.3. Regular reports by subject with the instructor’s name and written comments by the instructor on the student’s performance and progress and other factors such as attitude and manner during individual lessons and during the course as a whole. Students should be invited to sign each report acknowledging its contents;

1.4. Cumulative flying training achieved; and if applicable synthetic flight training achieved;

1.5. For each training flight or synthetic flight training detail, the date, the aircraft registration or STD identification, the flight time, the instructor’s name in full, the syllabus exercise number and written comments by the instructor on the students performance, progress and other factors such as attitude and manner during the detail and during the course as a whole. The record must indicate the standard achieved and any deviations from the syllabus including incomplete items. Students should be invited to sign each report acknowledging the debrief;

1.6. Relating to the students progress and separate from the above, a summary of flying exercises completed with the date on which each exercise was carried out in the air or in a synthetic training device;

1.7. Relating to the student’s progress, summary reports and the result of progress/
phase tests, skill tests and theoretical knowledge examinations including arrangements for remedial training after failed tests/examinations;

1.8. Training in aircraft emergency procedures, to be recorded separately and displayed prominently.

2. All records shall indicate the date training commenced and the date of completion. Where students do not complete the course the record shall indicate the circumstances under which training ceased. The students' overall performance and attitude to training on the course shall be summarised on completion or termination of the course.

3. All training records, regardless of type, are to be retained for a minimum of 3 years from the date of course completion.

**Computer Based Records**

4. If computer based records are used they must be backed up daily. The arrangements for safeguarding such records against loss, corruption and unauthorized change are to be noted in the Training Records section of the Training Manual. A back up server in another location should be maintained. Paper copies of records may be requested.

**Transfer of Student Records**

5. Training Courses should be completed as a continuous course of training at a single ATO. However, where there are sound reasons for a student to transfer from one approved training provider to another during a course, credit will be given for training completed. It should be noted that where courses are interrupted in this manner, the student might not necessarily complete the approved course within the minimum hours. Transfer of student from one ATO to another needs the ATO accepting the student, to obtain approval from FSD along with a written request from the trainee giving reasons for seeking such a transfer.

6. The HoT of the new ATO must therefore make an assessment of the further training required to ensure that the full approved course is completed to a satisfactory standard. To allow the HoT of the new ATO to review the training completed and therefore assess the further training required, copies (not originals) of a student's training records are to be made available to the new ATO. Any copies must be certified as correct by the originating ATO and should be forwarded directly to the HoT of the new ATO with notification of the transfer sent to the DGCA Licensing Directorate.

**Logbooks**

7. Students' pilot logbooks must be kept in accordance with the provisions of Aircraft Rules, 1937. All approved course flying and synthetic flight training is to be
clearly identified as such and include details of the exercises carried out. In addition to the legal requirement student logbooks are to include details of the exercise number using the DGCA approved course exercise designator. Instrument training and asymmetric training shall be recorded in the remarks column. Students' logbooks are to be certified as being correct at the end of each course by the Head of Training or his nominated deputy.

8. The logbooks of instructors who conduct flight instruction on an approved course must be maintained and include a monthly summary of all flight time which clearly distinguishes approved course instructional flying from other flying. All flight time conducted at an ATO by an approved instructor must be certified as true and correct on a monthly basis by the Head of Training or Chief Flight Instructor.

PUBLICATIONS

9. The following operational publications shall be immediately available to students and staff and, where applicable, kept current by amendments.

9.1. A full set of DGCA regulations to include at a minimum:

9.1.1. DGCA Civil Aviation Requirements

9.1.2. DGCA Civil Aviation Publications

9.1.3. DGCA Circulars

9.2. Aeronautical Information Publication (AIP)

9.3. Flight Manuals for the aircraft used on the course(s) on offer

9.4. ATC Flight Plan and explanatory material/guide

9.5. Standard meteorology reports and forecasts (in document or computer based formats)

9.6. Flight planning documents including flight guide supplements, radio navigation charts, TMA/CTR arrival/departure charts, SiD/STAR and aerodrome Instrument Approach Procedure charts. These may be in proprietary flight guides acceptable to the DGCA, e.g. Jeppesen

9.7. NOTAMs


10. Where documents are maintained in electronic format they shall be provided on one or more computers dedicated for this purpose. The number of computers shall
reflect the number of students. They shall be located in such a manner that students have access without having to enter staff offices. A form of electronic document control shall be employed that identifies the documents held in electronic format and the current amendment state of each document. Web-based documentation is acceptable providing backups are available in hard copy and that the number of computers reflects the number of students.
CHAPTER 6

TRAINING INFRASTRUCTURE

TRAINING & TESTING AIRCRAFT

1. All training aircraft will meet the requirements set forth in the DGCA regulations as well as any additional requirements outlined by the aircraft manufacturer as required. An adequate fleet of training aircraft appropriate to the courses shall be provided. The fleet shall include, as appropriate to the courses of training, aeroplane(s)/helicopter(s) suitably equipped to simulate instrument meteorological conditions and suitably equipped for the instrument flight and testing required. Only aircraft approved by the DGCA for training purposes shall be used and the number of aircraft shall also be acceptable to the DGCA.

SYNTHETIC TRAINING DEVICES

2. All synthetic training devices, when being substituted for an aircraft, are to be device qualified and user approved by the DGCA for the exercises to be conducted. The basic between “qualification” and “certification” is that qualification concerns itself with the technical ability of the device against the requirements, whereas certification relates to the extent to which a device may be used for training, checking or testing taking into account the aircraft to device differences and the operating and training ability of the ATO. Therefore, user certification links the use of a “qualified” device to a particular course of training by giving credits against flight time. Further information relating to the qualification of Synthetic Training Devices can be found in Chapter 13.

AERODROMES AND SITES

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

3.1. At least one runway or take-off/landing area that allows training aeroplanes and helicopters (as appropriate) to make a normal take-off or landing at the maximum take-off or maximum landing mass authorized and to touch down autorotation, as appropriate,
3.2. Under wind conditions as per OM and temperatures equal to the mean high temperature for the hottest month of the year in the operating area,

3.3. Clearing all obstacles in the take-off flight path by at least 50 feet,

3.4. With the powerplant operation and the landing gear and flap operation (if applicable) recommended by the manufacturer, and

3.5. With a smooth transition from lift-off to the best rate of climb speed without exceptional piloting skills or techniques;

3.6. A wind direction indicator that is visible at ground level from the ends of each runway, takeoff/landing area as applicable;

3.7. Adequate runway/takeoff area/landing area electrical lighting if used for night training; and

3.8. An air traffic control service except where, with the approval of the DGCA, the training requirements may be satisfied safely by another means of air/ground communications.

4. Approved training courses may not commence and end at Satellite aerodromes without the approval of the DGCA. This may involve additional inspections and certification costs. Where it is necessary to use Satellite aerodromes regularly for operational reasons, full details should be included in the Operations Manual.

5. In the case of helicopters, sites shall be available for:

23.1.1. Confined area operation training

23.1.2. Simulated engine off autorotation

23.1.3. Sloping ground operation

**FLIGHT OPERATIONS AND CLASSROOM ACCOMMODATION**

6. The operational accommodation for training courses conducted shall be of a scale appropriate to the population of instructors and of pilots under training. All accommodation must be sited within permanent structures, not shared with the general public. All rooms are to be suitably equipped and furnished with provision for heating, light and ventilation
and are not to be combined with any accommodation used continuously for the purpose of administering the ATO, or for non approved courses of training. Offices separate from the accommodation provided for instructional staff and students shall be provided for the Head of Training, CFI and CGI. Enclosed briefing rooms/cubicles and lecture rooms of adequate size relative to the maximum student capacity, each including a black or white board shall also be available. Temporary partitions and cubicles with walls that do not extend from the floor to ceiling are not acceptable.

7. Model aeroplanes with working controls or model helicopters, as appropriate, shall also be available for use in briefing rooms/cubicles. A quiet room for self-study purposes is to be available for students. Where a dedicated room is not available, specific times must be allocated to other rooms where self-study can occur at specific times and this must be acceptable to the DGCA. A separate room or rooms shall be provided where synthetic training devices are used. Subject to local regulations emergency exits and evacuation routes, particularly in simulator bays, should be clearly marked and kept free from obstruction whenever training is taking place. Lavatory and washroom facilities are to be provided as well as facilities for rest and refreshment. Facilities for theoretical knowledge instruction shall ideally be co-located with the flying and synthetic flight training facilities. The DGCA requires that suitable demonstration equipment be available to support the theoretical knowledge instruction. This should include, where appropriate, sectioned components and instruments, appropriate wall diagrams, transparencies, slides, models, systems demonstration equipment, mock ups and can include computer generated graphics.

8. All classrooms are to be suitably equipped and furnished with provision for heating, light and ventilation and must be protected from external noise and distractions and sufficiently spacious to allow individual students room within which to work without disturbing others. The classroom should provide minimum 4 x 4 feet of space per trainee and the minimum classroom size should be 150 square feet. The room should be suitably equipped with white/ black boards, PA system and screens for projection systems etc. Each trainee should be provided with an individual desk and chair. Facility for video recording of class room activities should also be catered for.

9. A room suitable for the conduct of theoretical knowledge examinations must be provided, free from noise or other distractions. This may be the same room as used for instruction but any wall mounted diagrams, photographs or other training aids relating to the course must be removed or covered prior to commencement of the examination.
CHAPTER 7

TRAINING PROGRAM

1. A training program shall be developed for each type of course offered. This program 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 program shall be acceptable to the DGCA.

Flight and Synthetic Flight Training

2. All flight and synthetic flight training is to include sufficient experience to meet the relevant course requirements as applicable to the course for which certification is being sought.

3. Flying training and synthetic flight training should be so arranged that students do not receive instruction from more than 3 instructors in either specialization during each phase of the course.

Theoretical Knowledge Instruction

4. All theoretical knowledge instruction is to include sufficient experience to meet the relevant course requirements as applicable to the course for which certification is being sought. Student study notes must be prepared specifically to meet the needs of an ab-initio student pilot and integration of theoretical knowledge instruction with the flying and synthetic flight instruction must be acceptable to the DGCA for those courses that are designed to be “Integrated”.

5. A reference library containing publications giving coverage of the syllabus shall be immediately available to staff and students when in attendance at the ATO and, where applicable, kept current by amendments. Computer Based Training (CBT) may form part of the Theoretical Knowledge instruction but must not exceed 25% of the total Theoretical Knowledge course length. The integration of theoretical knowledge instruction with the flying and synthetic flight training must be acceptable to the DGCA and must be clearly identified in the course manual.

6. ATOs are responsible for the preparation and conduct of the examinations required by the courses of training for which certification is sought, excluding the
final certification examination (unless otherwise authorized). The specific Training Manual is to include the arrangements for conducting the examinations and maintaining the confidentiality of examination papers; the procedure for examination paper preparation including types of question to be asked and awarding a pass; the procedure for question analysis and review and the raising of replacement papers and re-examination procedures. Use of electronic examinations is permitted, however the system must be approved for use by the DGCA.

7. On satisfactory completion of a course of theoretical knowledge instruction within a DGCA approved course, a student is to be given a certificate of satisfactory course completion signed by the HoT, CGI, or nominated deputy. The form of the certificate is to be included in the Training Manual.

**Theoretical Knowledge Course**

8. GTOs delivering only theoretical knowledge training will be subject to the same certification and audit requirements as are applied to ATOs offering flying and theory courses in accordance with applicable portions and the provisions of this CAP.

9. Approved ATOs may provide some or all of these courses either on a full time attendance basis, or by distance learning at the discretion of the DGCA. Distance learning may be offered as part of a modular course of theoretical knowledge instruction. Before training commences, approval will be obtained from the DGCA to conduct a modular course program using distance learning.

10. An element of classroom instruction shall be included in all subjects of modular distance learning courses. The amount of time spent in actual classroom instruction shall be not less than 20% of the total duration of the course. Classroom accommodation shall be available at the principal place of registration of the training organisation. Both classrooms and all associated teaching facilities shall conform to the requirements for organisation approval.

11. The Head of Training or CGI of an ATO undertaking distance learning shall comply with the requirements set forth by the DGCA. All Ground Instructors shall have appropriate qualification or relevant experience which is satisfactory to the DGCA.

12. All instructors shall be fully conversant in the requirements of the distance learning program, including the quality assurance system. Their initial training shall take place at the principal place of registration; all subsequent training shall be to the same standard as for resident instructors. Wherever instructors are located, the Quality System shall provide a satisfactory means of monitoring individual performance and adhere to approved training programs.

13. The CGI shall set out the details of the distance learning components of the course training manual and will ensure arrangements are made for direct contact between the students and instructors at regular intervals so that progress can be
monitored and discussed.

14. The manual must outline the provisions for the final period of full time instruction/revision at the ATO at the end of the course, or segments for the course as appropriate.

15. In providing test papers at regular intervals throughout the course, a number should be supplied with associated answers so as to provide a self assessment service, whilst others shall be returned to the ATO for marking, comment and advice. Where the course is conducted primarily by correspondence, the Head of Training must establish procedures to ensure that students do not progress to the next stage of the modules, unless they have achieved satisfactory results in phased test papers.

16. During periods of direct contact between instructors and students, face to face instructor contact hours shall not exceed 6 hours per day and not more than 30 hours per week. It is expected that students will complete practice examination papers during the residential part of the course prior to being put forward for their examinations with the DGCA.

MCC Training

17. ATOs seeking certification for an ATPL course of training must include a Multi Crew Cooperation component within the course.

18. Details of the theoretical knowledge syllabus for the MCC shall be included in the Training Manual. Students will receive theoretical knowledge instruction within an ATPL course. The main emphasis of the theoretical knowledge instruction component of the MCC training should be concentrated on the practicalities of working as part of a team to provide a sound footing on which subsequent CRM training may be built. Practical training may take place in an approved flight simulator.

19. Reference material for the student shall be produced. This material should cover the minimal technical and performance knowledge requirements and standard operating procedures needed to successfully operate the flight simulator and accomplish the required exercises. Practical training sessions are to be of suitable length to meet the objectives of the course but no more than a 4 hour session in the flight simulator used for the training, comprising 2 hours pilot flying (PF) and 2 hours pilot monitoring (PM), should be completed during a single working day. Appropriate provision for pre session briefing and post session de-briefing is to be included in the training program. On completion of the MCC course component of an ATPL course, the student shall be given a Certificate of Course Completion, signed by the HoT. An example of the certificate, including a sample of the HoT signature, is to be provided to DGCA Licensing Directorate for verification purposes as part of the documentation submitted for certification.
REQUIREMENTS FOR ENTRY INTO TRAINING

20. A student accepted for training shall possess the appropriate medical certificate for the licence required and shall meet the entrance requirements set by the ATO, as approved by the DGCA. ATOs may conduct a screening test before allowing applicants to be accepted to the training programme.

21. It is the responsibility of the ATO to advise applicants who do not meet these requirements on their inadmissibility to the course.
1. Introduction

1.1. The Training and Procedures Manual describes the way the organisation conducts its activities. As such it is a document which is essential for the organisation as it provides the management and line personnel with clear guidance on the policy of the organisation as well as the procedures and processes which are used to provide training. It is also an essential document for DGCA. During the approval process, it allows the DGCA to assess whether the way the organisation is planning to operate is in line with the existing requirement and accepted practices. Once the training organisation is functioning, a large part of the surveillance activities of the DGCA will be to ensure that the organisation is functioning as it said it would in the Training and Procedures Manual.

2. General Consideration

2.1. In preparing the Training and Procedures Manual, it is important for the ATO to ensure that the Training and Procedures Manual is consistent with regulations, manufacturer requirements, other documents issued by the training organisation and in line with and human factors principles. It is also necessary to ensure consistency across all departments within the organisation as well as consistency in use. An integrated approach, recognizing operational documents as a complete system, is the key to success. The manual will be assessed on same lines by DGCA.

3. Contents

3.1. The content of the training and procedures manual spelled out in this Chapter, provides a detailed list which expands on the structure expected for the manual. Depending on the size and scope of training provided by the organisation, some of the elements contained in this Chapter can be combined or subdivided further as determined by ATO and acceptable to DGCA.

4. Organising the Manual

4.1. A Training and Procedures Manual should be organised as far as practicable in the order as enumerated in Annexure D.

4.2. The manual should be consistent with the training organisation’s
philosophy, policies, procedures and practices.

5. Design

5.1. The structure of the manual should be easy to understand, appropriate for the information documented and clearly identified through headings and other formatting devices. The document structure should be identified at its beginning by explaining organising elements such as headings, the numbering scheme, main parts of the document and other sources of coding or grouping.

5.2. Precise language should be used wherever possible. Significant terms for common items and actions should be maintained throughout the manual. Terms must be clear and easily understood.

5.3. Writing style, terminology, formatting, and use of graphics and symbols should be consistent throughout the document. This includes the location of specific types of information and consistent use of units of measurement and codes.

5.4. The manual should include a glossary of terms, acronyms, abbreviations and associated definitions. The glossary should be updated on a regular basis to ensure access to the most recent terminology.

5.5. The revision process should be considered when designing the manual for ease of amendment and distribution.

5.6. The training and procedures manual should comply with the requirements of the training organisation’s quality assurance system.

6. Validation

6.1. The Training and Procedures Manual should be reviewed and tested under realistic conditions before its use. The validation process should include using the critical aspects of the information contained in the manual to verify its effectiveness. Routine interaction among groups within the organisation should be included in the validation process.

6.2. A final review of the manual should ensure that all required topics have been addressed with an appropriate level of details for users. The final review should also confirm compliance with safety regulations, manufacturers’ recommendations and the organisation’s philosophy, policies, procedures and practices. (Refer Annexure D and E).

7. Deployment

7.1. The training organisation should have a system in place to monitor use of the Training and Procedures Manual after it is published. This will ensure
appropriate and realistic use of the manual, based on the operational environment, in a way that is operationally relevant and beneficial to the personnel for whom it is intended. The monitoring system should include formal feedback to obtain inputs from the principal users of the manual and other persons who would be affected by a new or revised policy, procedure or practice.

8. Amendments

8.1. The training organisation should develop an effective information gathering, review, distribution and revision control system to process information obtained from all sources relevant to the organisation. Sources include, but are not limited to the DGCA safety regulations, manufactures and equipment vendors.

Note. — Manufactures’ provide information for the operation of specific aircraft that emphasizes the aircraft systems and procedures under conditions that may not fully match the requirements of the training organisation. Training organisations should ensure that such information meets their specific needs and those of the DGCA.

8.2. The training organisation should develop an information review, distribution and revision control system to process information resulting from changes that originate within the organisation. This includes changes:

8.2.1. in the organisation’s policies, procedures and practices;
8.2.2. in response to operating experience;
8.2.3. to the scope of training provided;
8.2.4. to the content of training programs;
8.2.5. resulting from the installation of new equipment;
8.2.6. to an approval document or operating certificate; and
8.2.7. for the purpose of maintaining standardization.

8.3. The training and procedures manual should be reviewed in association with other operational documents that form the organisation’s flight safety documents system:

8.3.1. on a regular basis (at least once a year);
8.3.2. after major events such as mergers, acquisitions, rapid growth, downsizing, etc.;
8.3.3. after technology changes, e.g.: the introduction of new equipment; and
8.3.4. after changes in safety regulations.

8.4. Permanent changes to the training and procedures manual shall be communicated through a formal amendment process. The manual should be amended or revised as necessary to ensure that the information contained is kept up to date.

8.5. Distribution of amendments and revisions should include a tracking system. The tracking system should include some form of log combined with a procedure to ensure that all amendments are furnished promptly to all organisation or persons to whom the manual has been issued.

8.6. The inspection checklist for the reviewing of an ATO’s Training and Procedures Manual is placed as Annexure E.

9. Examinations:

9.1. When DGCA has authorized an approved training organization to conduct examinations/checks, required for the issuance of a license or rating. Such examinations and checks are limited to aircraft specific, technical and performance written tests, and conduct of skill test, PPC and IR checks, 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. The following shall be address in the training policy manual of the ATO.

9.2 Qualification and number of personnel authorized to set the questions for the question bank, from which students will be evaluated. Minimum type approved type instructor.

9.3 Qualification and number of personnel authorized to authenticate the questions post the setting of the questions. Minimum type approved type instructor

Note: The tasks as given in 9.2 and 9.3 above should not be assigned to the same person or persons.

9.4 Guidelines to personnel’s on setting and vetting of the questions. Should include reference to documents, ensuring, the currency of the documents used (eg: FCOM/ QRH etc),language to be used etc.

9.5 Methodology for reviewing the answer sheets.

9.6 Policy on review and changes to be made to the question bank. This policy should also include a provision for the trainee to provide inputs on questions and their correctness.

9.7 Policy to ensure the control and secrecy of the question bank.
CHAPTER 9

QUALITY ASSURANCE SYSTEM

1. The DGCA requires that an ATO seeking certification shall establish procedures acceptable to the DGCA to ensure compliance with all relevant regulatory requirements and that these procedures shall include a quality system within the ATO to readily detect any deficiencies for self remedial action. Details of this system are outlined below.

2. The ATO shall submit for approval a Quality Manual describing the Quality System and the processes to be adopted. The ATO is required to submit to the Air Crew Licensing Department, at least annually, and prior to the annual inspection, a copy of all audit reports and remedial action taken during the past 12 months.

3. The rationale for the requirements of quality systems is the need to establish a distinct assignment of roles between DGCA 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 DGCA regulations and their own requirements.

4. A well established and functioning quality system will make it possible for the supervising DGCA to perform inspections and surveillance efficiently and with a reasonable amount of resources. 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.

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

5.1. Training organisations with 5 or less instructors employed are considered very small.

5.2. Training organisations employing between 6 and 20 instructors are considered small.

6. 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 satellite bases), range of training arrangements with other training organisations, etc. will be considered. In a quality system of any ATO the following five elements should be clearly identifiable:

6.1. Determination of the organisation’s training policy and training and flight safety standards.

6.2. Determination and establishment of assignment of responsibility, resources, organisation and operational processes, which will make allowance for policy and training and flight safety standards.

6.3. Follow up system to ensure that policy, training and flight safety standards are complied with.

6.4. Registration and documentation of deviations from policy, training and flight safety standards together with necessary analysis, evaluations and correction of such deviations

6.5. Evaluation of experiences and trends concerning policy, training and flight safety standards.

7. Listed below in more detail are the objectives, the different elements of a quality system and guidance to the set-up of quality systems in small and larger and/or more complex training organisations. For very small organisations paragraph 32 of this Chapter will apply.

8. A basis for quality should be established by every ATO 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 Section is to provide information and guidance to the training organisations on how to establish a Quality System that enables compliance with applicable CARs and the requirements of this CAP. In order to show compliance, an ATO should establish its Quality System in accordance with the instructions and information contained in the remainder of this Chapter.

9. **Terminology.**

9.1. **Accountable Manager.** A person acceptable to the DGCA who has DGCA for ensuring that all training activities can be financed and carried out to the standards required by the DGCA, and additional requirements defined by the ATO.

9.2. **Quality.** The totality of features and characteristics of a product or service that bear on its ability to satisfy stated or implied needs.

9.3. **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 ATO in relevant manuals.

9.4. **Quality Manager.** The manager, acceptable to the DGCA, responsible for the management of the Quality System, monitoring function and requesting corrective actions.

9.5. **Quality Manual.** The document containing the relevant information pertaining to the ATO’s quality system and quality assurance programme.

9.6. **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.

10. **Quality Policy and Strategy.** It is of vital importance that the ATO 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 the DGCA regulations together with any additional standards specified by the ATO. The Accountable Manager will have overall responsibility for the Quality System including the frequency, format and structure of the internal management evaluation activities.

11. **Purpose of a Quality System.** The implementation and employment of a Quality System will enable the ATO to monitor compliance with relevant parts of the DGCA Regulations, the Operations Manual, the Training Manual, and any other standards as established by that ATO, or the DGCA, to ensure safe and efficient training.

12. **Quality Manager**

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

12.1.1. Have direct access to the Head of Training.

12.1.2. Have direct access to the Accountable Manager.

12.1.3. Have access to all parts of the ATOs organisation.
12.2. In the case of small or very small ATOs, the posts of the Head of Training and the Quality Manager may be combined. However, in this event, quality audits shall be conducted by independent personnel. In the case of a training organisation offering training on multiple types of aircraft, the Quality Manager shall not hold the position of Head of Training, Chief Flying Instructor or Chief Ground Instructor.

13. **Quality System.** The Quality System of the ATO should ensure compliance with and adequacy of training activities requirements, standards and procedures. The ATO should specify the basic structure of the Quality System applicable to all training activities conducted. The Quality System should be structured according to the size of the ATO and the complexity of the training to be monitored.

14. **Quality System Scope.** A Quality System should address the following:

14.1. Leadership
14.2. Policy and Strategy
14.3. Processes
14.4. The provisions of the CARs
14.5. Additional standards and training procedures as stated by the ATO
14.6. The organisational structure of the ATO
14.7. Responsibility for the development, establishment and management of the Quality System
14.8. Documentation, including manuals, reports and records
14.9. Quality Assurance Programme
14.10. The required financial, material, and human resources
14.11. Training requirements

15. **Quality Assurance System**

15.1. The quality assurance system of ATO should ensure compliance with requirements, conformance to standards and adequacy of training activities conducted.

15.2. Every process that assists the ATO to achieve its results should be identified and the activities and procedures documented.
15.3. The ATO should specify the basic structure of the quality assurance system applicable to all training activities conducted.

16. **Quality inspection**

16.1. 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.

16.2. Typical subject areas for quality inspections could be:

16.2.1. actual flight and ground training;

16.2.2. maintenance;

16.2.3. technical standards; and

16.2.4. training standards.

17. **Quality 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.

18. **Documentation**

18.1. Relevant documentation includes the relevant part(s) of the Training and Operations Manual, which shall be included in a separate Quality Manual. In addition relevant documentation should also include the following:

18.1.1. Quality Policy;

18.1.2. Terminology;

18.1.3. Specified training standards;

18.1.4. A description of the organisation;

18.1.5. The allocation of duties and responsibilities;

18.1.6. Training procedures to ensure regulatory compliance.

18.2. The Quality Assurance Audit Programme, reflecting:

18.2.1. Schedule of the monitoring process;
18.2.2. Audit procedures;
18.2.3. Reporting procedures;
18.2.4. Follow-up and corrective action procedures;
18.2.5. Recording system;
18.2.6. The training syllabus; and
18.2.7. Document control.

19. **Audit**

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

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

19.2.1. An explanation of the scope of the audit;
19.2.2. Planning and preparation;
19.2.3. Gathering and recording evidence; and
19.2.4. Analysis of the evidence.

19.3. The various techniques that make up an effective audit are:

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

20. **Auditors.** The ATO 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.

21. **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 ATO 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 ATO 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 DGCA. In all cases the ATO shall 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 ATO. The Quality Assurance Programme of the ATO shall identify the persons within the company who have the experience, responsibility and DGCA to:

21.1. Perform quality inspections and audits as part of ongoing Quality Assurance;

21.2. Identify and record any concerns or findings, and the evidence necessary to substantiate such concerns or findings;

21.3. Initiate or recommend solutions to concerns or findings through designated reporting channels;

21.4. Verify the implementation of solutions within specific timescales;

21.5. Report directly to the Quality Manager.

22. Audit Scope. ATOs 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:

22.1. Organisation;

22.2. Plans and objectives;

22.3. Training Procedures;

22.4. Flight Safety;

22.5. Manuals, Logs, and Records;

22.6. Flight and Duty Time Limitations,

22.7. Rest Requirements, and Scheduling;

22.8. Aircraft Maintenance/Operations interface;

22.9. Maintenance Programs and Continued Airworthiness;
22.10. Airworthiness Directives management;

22.11. Maintenance Accomplishment.

23. **Audit Scheduling**

23.1. A Quality Assurance Programme shall 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 shall be scheduled when necessary to verify that corrective action was carried out and that it was effective.

23.2. An ATO shall establish a schedule of audits to be completed during a specific calendar period. All aspects of the training shall be reviewed within a period of 12 months in accordance with the program unless an extension to the audit period is accepted as explained below. An ATO may increase the frequency of their audits at their discretion but should not decrease the frequency without the acceptance of the DGCA. A period of greater than 24 months is unacceptable for any one audit topic. When an ATO defines the audit schedule, significant changes to the management, organisation, training, or technologies should be considered, as well as changes to the regulatory requirements.

24. **Monitoring and Corrective Action**

24.1. 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 ATO shall 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 shall 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 DGCA and any additional requirements established by the ATO.

25. **Corrective Action**
25.1. Subsequent to the quality inspection/audit, the ATO shall establish:

25.1.1. The seriousness of any findings and any need for immediate corrective action;

25.1.2. The origin of the finding;

25.1.3. What corrective actions are required to ensure that the non-compliance does not recur;

25.1.4. A schedule for corrective action;

25.1.5. The identification of individuals or departments responsible for implementing corrective action;

25.1.6. Allocation of resources by the Accountable Manager where appropriate.

25.2. The Quality Manager should:

25.2.1. Verify that corrective action is taken by the manager responsible in response to any finding of non-compliance;

25.2.2. Verify that corrective action includes the elements outlined in paragraph 16 above;
25.2.3. Monitor the implementation and completion of corrective action;

25.2.4. Provide management with an independent assessment of corrective action, implementation and completion;

25.2.5. Evaluate the effectiveness of corrective action through the follow-up process.

26. Management Evaluation

26.1. 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.

26.2. 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 DGCA to resolve issues and take action. The Accountable Manager should decide upon the frequency, format, and structure of internal management evaluation activities.

27. Recording. Accurate, complete, and readily accessible records documenting the results of the Quality Assurance Program shall be maintained by the ATO. Records are essential data to enable an ATO to analyse and determine the root causes of non-conformity, so that areas of noncompliance can be identified and subsequently addressed. The following records shall be retained for a period of 5 years:

27.1. Audit Schedules;

27.2. Quality inspection and Audit reports;

27.3. Responses to findings;

27.4. Corrective action reports;

27.5. Follow-up and closure reports;

27.6. Management Evaluation reports.

28. Quality assurance responsibility for satellite ATOs

28.1. An ATO may decide to sub-contract certain activities to external organisations subject to the approval of the DGCA.
28.2. The ultimate responsibility for the training provided by the satellite ATO always remains with the ATO. A written agreement should exist between the ATO and the satellite ATO clearly defining the safety-related services and quality to be provided. The satellite ATO’s safety-related activities relevant to the agreement should be included in the ATO’s quality assurance audit programme.

28.3. The ATO should ensure that the satellite ATO has the necessary authorization/approval when required, and commands the resources and competence to undertake the task. If the ATO requires the satellite ATO to conduct activity that exceeds the satellite ATO’s authorization/approval, the ATO is responsible for ensuring that the satellite ATO’s quality assurance takes account of such additional requirements.

29. **Quality Assurance Responsibility for Sub-Contractors.** An ATO may decide to sub-contract out certain activities to external organisations subject to the approval of the DGCA. The ultimate responsibility for the training provided by the subcontractor always remains with the ATO. A written agreement shall exist between the ATO 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 shall be included in the ATOs Quality Assurance Program. The ATO shall ensure that the subcontractor has the necessary authorisation/approval when required, and commands the resources and competence to undertake the task. If the ATO requires the sub-contractor to conduct activity which exceeds the sub-contractor's authorisation/approval, the ATO is responsible for ensuring that the sub-contractor's quality assurance takes account of such additional requirements.

30. **Quality System Training**

30.1. Correct and thorough training is essential to optimise quality in every organisation. In order to achieve significant outcomes of such training the ATO 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:

30.1.1. An introduction to the concept of Quality System;

30.1.2. Quality management;

30.1.3. Concept of Quality Assurance;

30.1.4. Quality manuals;

30.1.5. Audit techniques;

30.1.6. Reporting and recording; and

30.1.7. The way in which the Quality System will function in the ATO.
30.2. 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.

31. **Sources of Training.** Quality management courses are available from the various National or International Standards Institutions, and an ATO shall ensure that, at a minimum, the Quality Manager attends such a course and they should also consider whether to offer such courses to those likely to be involved in the management and operations of the Quality System at the ATO (e.g. The Head of Training). Organisations with sufficient appropriately qualified staff should consider whether to carry out in-house training if approved by the DGCA.

32. **Quality Systems for Small/ Very Small Organisations**

32.1. The requirement to establish and document a Quality System and to employ a Quality Manager applies to all ATOs. Complex quality systems could be inappropriate for small or very small ATOs 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 ATOs should tailor their quality systems to suit the size and complexity of their training and allocate resources accordingly.

32.2. For small and very small ATOs 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 annual independent overview of the checklist content and achievement of the Quality Assurance Program should be undertaken.

32.3. The small ATO 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 on a quarterly basis, or as approved by the DGCA within the Quality Checklist. If the independent quality audit function is being conducted by external auditors, the audit schedule shall be shown in the relevant documentation. Whatever arrangements are made, the ATO retains the ultimate responsibility for the quality system and especially the completion and follow-up of corrective actions.

32.4. The Checklist for Quality Assurance System is placed at Annexure F.
CHAPTER 10

CONTINUED VALIDITY OF ATO CERTIFICATE

1. This part describes the DGCA oversight of ATOs, their internal audits, Requirements for renewal of Organisation and other general conditions required to be met by the ATO to continue training activity.

DGCA Oversight

2. It will be the responsibility of the organization to ensure that during the period of validity of the approval, the capability of the organization is not degraded in any form. ATOs are advised to carry out regular internal audits to ensure that they continue to maintain stipulated standards.

3. DGCA shall carry out scheduled surveillance to verify the continued compliance of requirements. DGCA officers may carry out spot checks, a sampling method to get the feel of the functioning and to initiate timely preventive measures.

4. DGCA surveillance follows a similar pattern to the initial inspection. However, the ATO 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 standardization records. During oversight inspections, significant emphasis will be placed on the effectiveness of the ATOs management system, including internal audits, safety management and compliance monitoring; it is therefore essential that key management personnel, e.g. HoT/CFI and Quality Manager are available during the surveillance.

5. DGCA may carry out inspection/audit of any ATO at any time. Records shall be provided to DGCA inspectors/auditors for desk-top audit forming part of the continuous oversight of the ATO. The frequency of the audit is decided based on the performance of the ATO.

6. The DGCA will monitor the results of tests and examinations that form the part of assessment of effectiveness of the program. Procedures for such monitoring should be included in the ATOs Training Manual under the heading of ‘Training Effectiveness’, and include procedures for review and remedial action for decline of performance below a defined level.

7. DGCA inspectors/auditors may inspect the actual instruction, ‘aircraft or simulator flight training’, including pre-flight and post-flight briefings.

8. Detailed guidelines on the conduct of Oversight Inspections are covered in
Chapter 14.

9. ATOs are required to make necessary arrangements for stay at the station and transportation from the nearest airport for inspectors/auditors for the conduct of such audit.

Enforcement Actions/ Penal Provisions Including Revocation, Suspension Or Variation Of Approval

10. The DGCA may at any time in accordance with its procedures take action to limit, suspend or revoke, authorizations and certifications, if it is established that an applicant has not met or no longer meets, the requirements of the applicable CARs and or the provisions set forth in this CAP. In accordance with DGCA regulations, a certification issued by the DGCA may be revoked, suspended or varied if the requirements cease to be met in part or in whole, or if the standards on which certification was granted are not maintained. Should there be a failure to meet the requirements or standards, the organization will be formally notified of the non-conformances and, if necessary, a restricted certification document issued to permit the remedial action to be taken within a specified time. Should the organization fail to meet the standards in the specified time, revocation, suspension or variation of the certification will be considered.

11. During the course of aviation training activities, if the organization fails to comply with the requirements of Aircraft Act 1934, Aircraft Rules 1937, applicable CARs or other regulations issued from time to time, or if the standard of training is found to be below the desired level, the approval granted to the organization shall be liable to alteration, suspension or cancellation.

12. In cases of any significant non-compliance with the applicable requirements of applicable regulations or organization’s procedures, which reduce safety or seriously hazards flight safety, DGCA will raise a Level 1 finding. Under a Level 1 finding, the DGCA will seek corrective action within a stipulated time limit of 7 days.

13. Under a Level 1 finding, DGCA can take immediate and appropriate action to prohibit, limit or suspend activities of an organisation, depending on the severity of observation.

14. When any non-compliance is detected with the applicable requirements or organization’s procedures which could reduce safety or hazard flight safety, as indicated, DGCA will raise a Level 2 findings. Under a Level 2 finding, the DGCA can seek corrective action within a stipulated time limit, but not more than 30 days.

15. Functioning of an ATO without post holders such as HoT/CFI or QM or CGI will be treated as major non-compliance.

16. In case of concealment or misrepresentation of facts to DGCA the ATO Certificate shall be annulled and action initiated against the ATO as per provisions of the Aircraft Act, 1934 or the Aircraft Rules 1937.
1. An ATO Certificate remains valid for a period of five years, or as stated on the certificate and will only be renewed provided there is a demonstrated compliance with the applicable DGCA regulations and the provisions of this CAP.

2. The DGCA will monitor an approved ATO to determine the proportion of trainees who may be subsequently observed to lack requisite skills or meet proficiency standards. Repeated such observations will be deemed to be unsatisfactory; and ATOs will be required to instigate remedial action. This action shall be detailed in the Training Manual under the heading Training Effectiveness and approved by the DGCA. This does not however preclude the DGCA from taking immediate action if they deem the standards of training to have fallen to such a point as to be detrimental to the cadets or contravene safety. It will be a condition of the certification that the DGCA may re-inspect the organization at any time during the period of certification.

3. Continuation of an certification is not automatic but depends upon the outcome of inspections. Reports will be provided to the ATO following inspection visits by DGCA staff.

4. It will be a condition of the certification that should the Head of Training, the Chief Flying Instructor, the Chief Ground Instructor or if appointed the Chief Synthetic Flight Instructor leave their position the certification will automatically lapse. The DGCA must be informed of the departure or intended departure of these members of staff. However, if a named deputy has been in post and has been active for at least 90 days before the departure of the relevant post holder, permission may be given for the certification to continue pending the appointment of replacement.

5. It will be a condition of the certification that the DGCA may sample ground and/ or flight/ synthetic flight training at any time during the period of the certification. Sampling will include observation of the briefing and debriefing and training records must be made available. Sampling of flight instructors and synthetic flight instructors may be conducted by DGCA Inspectors or appropriately approved Flight Examiners.

6. Applications for re-certification must be submitted 30 working days before the expiry of the existing certification. This is to allow adequate time for the DGCA to complete the pre-inspection work, including a review of the ATO funding, make arrangements for and conduct the inspection and complete the post-inspection tasks. The DGCA cannot guarantee to reach a decision in relation to an application for re-certification by the date the validity of the existing certification expires, unless the DGCA receives the application at least 30 working days prior to the expiry of the existing certification. If no application for re-certification is received the certification will lapse on completion.
of 5 years from initial approval and no further training will be permitted until such time as all of the requirements for an renewal of certification have been met.

**Renewal Process**

7. Application for renewal along with following documents shall be submitted at least 30 working days before expiry of approval:

8. Fees as per Rule 133C of the Aircraft Rules 1937 by a demand draft drawn in favour of the Pay and Accounts office, Ministry of Civil Aviation, Director General of Civil Aviation, New Delhi. (online Payment)

9. Copy of the Internal audit report along with action taken report and a statement that discrepancies have been rectified.

10. An inspection will follow receipt of the application and the prescribed charge and will focus on the organization’s maintenance of the necessary training standards and its compliance with the provisions of applicable regulations and this CAP. As well as the items reviewed in an inspection for initial certification, the inspection team will concentrate on the day to day conduct of training, the safety of flight operations and the quality of theoretical knowledge instruction given, as applicable to the courses offered. They will pay particular attention to:

10.1. Action taken on any non-conformances raised at the last inspection

10.2. The operation of the organization’s quality system

10.3. Any changes to the training management team and the current numbers of training staff

10.4. The training task since the last inspection and forecasts for the next certification period

10.5. Changes to the location of training facilities

10.6. Course structure and training aids

10.7. Training records which must be comprehensive and show that the approved course is being fully covered.

10.8. Briefings, airborne and synthetic flight instructional exercises and classroom lectures which the Inspection Team may wish to observe

10.9. Flight records which must by content and accuracy promote safety by ensuring timely availability of essential information to pilots and maintenance engineers
10.10. Evidence of the correct use of Meteorological, ATC and AIS information and facilities

10.11. Examination results and analysis

10.12. Future plans

11. An organization may not commence, conduct or continue training courses unless it has the relevant certification documentation in its possession, except with the express consent in writing of the DGCA.

12. DGCA may renew the approval for a period not exceeding three years on being satisfied that the ATO continues to maintain the required capability.
CHAPTER 12

ADDITIONAL REQUIREMENTS FOR ATOs OUTSIDE INDIA

1. There may be a need for the DGCA to approve foreign ATO or parts of ATO (e.g., simulators, trainers etc) located outside the national territory. This may arise due to cost consideration or non-availability of local ATO within the country to support certain type of specialized aviation training locally.

2. There is no difference between the approval of training organisations based abroad and those based within the country. The principles and procedures that are described for ATO are also fully applicable to foreign ATOs.

3. This approach is efficient subject to DGCA fully adopting the conditions and the regulatory basis of the original approval and may lead to the establishment of supplementary conditions.

4. Operators which wish to utilise ATOs whose principal place of business and registered offices are located outside India to train for DGCA licences and associated ratings for their crew, shall apply for certification of such courses to the DGCA as described in this CAP as if they were located in India. Approval will be subject to the following:

   4.1. The ATO shall meet the requirements of the applicable provisions of the DGCA Civil Aviation Requirements and the provision outlined in this CAP.

   4.2. DGCA considers it possible to discharge its regulatory responsibilities for the certification process as per CAP7100 and an adequate level of supervision as required by the DGCA.

   4.3. DGCA can ensure adequate jurisdiction over the ATO during the certification process and the conduct of subsequent training courses.

5. Subject to satisfactory inspection, the certification of the ATO, or its relevant parts, will be granted for a period of two years, revalidation of the certification may be granted for further periods of two years.

6. DGCA must be able to ensure ‘adequate jurisdiction’ over the ATO in another country and this shall mean that the DGCA shall be able to:

   6.1. Conduct initial and routine inspections of the ATO located in foreign country to ensure compliance with the requirements of the DGCA regulations.

   6.2. Conduct flight tests and other standardisation checks as deemed necessary
by the DGCA.

6.3. Discharge its legal responsibilities for the grant, variation, suspension or revocation of certifications.

7. As an alternate means of oversight, DGCA may continue to rely on the oversight system of the host State using a process that is similar to the validation of pilot licence. Provided that the requirements set out in this CAP are met, an ATO Certificate may be granted if the DGCA considers adequate supervision in accordance with the DGCA regulations and associated procedures is being undertaken as part of the host state’s oversight system.

8. However, in all cases where training is conducted under provision of sub clause 7 above, the skill test for the issue of Commercial License shall be conducted in the India. ATOs shall make arrangements for the approved course to include acclimatisation flying within India prior to any student taking the skill tests with an examiner authorised by the DGCA.
CHAPTER 13

USE OF FLIGHT SIMULATION TRAINING DEVICES

1. Use of FSTDs

1.1. ATOs using Flight Simulation Devices to provide training are required to satisfy themselves that the training devices they use are assessed for continued suitability.

1.2. Continued Suitability includes the necessity for the user of the device to:

1.2.1. Constantly adhere to the procedures for which the device is qualified and

1.2.2. Constantly operate the device within the specifications and limitations under which it is qualified and

1.2.3. Continually comply with the regulations applicable to the device qualification and

1.2.4. Regularly assess the effectiveness and the quality of the training provided using the device

1.3. The organisation is expected to comply with all applicable requirements of the relevant regulations and particularly the ones related to training standards and risks for safety. The organisation’s documents should provide clear, detailed and comprehensive information on how the organisation intends to achieve compliance when using FSTDs to provide training courses.

1.4. When considering applicable requirements to the use of FSTDs to provide training, it is essential that the qualification of the device is not interpreted as an approval for its use. The qualification of a device is a prerequisite for its use but does not systematically imply suitability for a specific course.

1.5. Pilot training using FSTDs involves potential aviation safety risks that have to be managed. Taking actions to mitigate these risks and verifying effectiveness of actions undertaken is part of the management processes which are expected to be implemented.

1.6. Two aspects of FSTD’s effectiveness are to be considered. This can be outlined as follows:
1.7. The risks related to each of these two aspects have different characteristics but the final outcome can be either:

<table>
<thead>
<tr>
<th>Aspect</th>
<th>Not fit for use</th>
<th>Not fit for purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accidents or incidents during training</td>
<td>Design flaw or failure of the simulator</td>
<td>Incorrect use of the simulator during a training session</td>
</tr>
<tr>
<td>Post training aviation accidents or incidents resulting from incorrect training of the pilot</td>
<td>Lack of fidelity of simulation</td>
<td>Inadequate use of the simulator given the course objectives</td>
</tr>
</tbody>
</table>

1.8. This chapter relates to the “user approval” (*fit for the purpose*) aspects assuming that the FSTD is already qualified according to applicable regulation making it presumably fit for use.

2. **FSTD operators compared to ATOs (FSTD users)**

2.1. The distinction between FSTD operator and FSTD user has to be kept in mind while dealing with FSTDs involved in practical pilot training or testing. This distinction results from the duality between the need for a “qualification” of a training device and the need for a “user approval”.

2.2. To simplify, using the table introduced above, this can be represented in this manner:

<table>
<thead>
<tr>
<th>Aspect</th>
<th>Covered by</th>
<th>Organisation concerned</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fit for use</td>
<td>The “qualification” of the <strong>Device</strong></td>
<td>FSTD operator</td>
</tr>
<tr>
<td>Fit for purpose</td>
<td>The “user approval” of the <strong>device</strong> for given <strong>training Objectives</strong></td>
<td>FSTD user (ATO in this context )</td>
</tr>
</tbody>
</table>
2.3. Some FSTD operators do not provide any pilot training. Others are also ATOs. When an organisation is using its own FSTDs to provide training it is regarded at the same time as an FSTD operator and as an FSTD user (ATO).

2.4. As an FSTD Operator.

2.4.1. The organisation will have to fulfils the relevant requirements to qualify the simulators before they can be used for training.

2.5. As an ATO (FSTD user).

2.5.1. The organisation will have to fulfil the relevant requirements to obtain a user approval before providing any training using a given qualified simulator for a given course.

3. Interpretation of the “Guidance information” on an FSTD Certificate

3.1. A qualification certificate includes a list of the FSTD specifications and is labelled “Guidance information for training, testing and checking considerations”.

3.2. The qualification certificate will be issued as per OC 15 of 2014. The information provided is only an indication on the capacity of the device to provide adequate simulation for the conditions, the systems, the environment or the equipment listed. It does not mean that the device is adequately fit for the purpose of the training stated.

<table>
<thead>
<tr>
<th>Guidance information for training, testing and checking considerations</th>
</tr>
</thead>
<tbody>
<tr>
<td>CAT I  RVR  m   DH ft</td>
</tr>
<tr>
<td>CAT II RVR  m   DH ft</td>
</tr>
<tr>
<td>CAT III RVR  m   DH ft (lowest minimum)</td>
</tr>
<tr>
<td>LVTO  RVR  m</td>
</tr>
<tr>
<td>Recency</td>
</tr>
<tr>
<td>IFR-training / check</td>
</tr>
<tr>
<td>Type rating</td>
</tr>
<tr>
<td>Proficiency checks</td>
</tr>
<tr>
<td>Autocoupled approach</td>
</tr>
<tr>
<td>Autoland / roll out guidance</td>
</tr>
<tr>
<td>ACAS I / II</td>
</tr>
</tbody>
</table>
### Windshear warning system / predictive windshear

<table>
<thead>
<tr>
<th>WX-radar</th>
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</thead>
<tbody>
<tr>
<td>HUD / HUGS</td>
</tr>
<tr>
<td>FANS</td>
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<tr>
<td>GPWS/EGPWS</td>
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<tr>
<td>ETOPS capability</td>
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<tr>
<td>GPS</td>
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<tr>
<td>Other</td>
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</table>

3.3. In fact some indications are related to OPS specifications and not to FSTD regulation such as CAT II or CAT III for example. FSTD certification specifications are not systematically linked to OPS specifications. There is no obligation to check for specific equipment such as an “approved lateral guidance system for take-off” to release an FSTD qualification certificate with the qualification table stating “LVTO 75 m RVR” for example. Such indication on an FSTD certificate may be misinterpreted by an FSTD user if considered as a user approval specification.

3.4. Any indication in table L of an FSTD qualification certificate under “Guidance information for training, testing and checking considerations” has to be crosschecked with the regulation relevant to the training course to be provided before considering any training, testing and checking on the device.

4. **Demonstration of compliance**

4.1. The list of criteria given should be used in different ways depending on the type of investigation and the technical aspect to be considered (i.e. documentation or implementation)

4.2. **For The Initial User Approval**

4.2.1. **Documentation:** during the review of the organisation’s documentation system for all aspects that shall be documented, the list shall be systematically checked, then

4.2.2. **Implementation:** when considered satisfactory, all criteria in the list shall be reviewed during the audit on site for the relevant aspects that are already implemented. When not yet implemented, the items still to be checked shall be deferred to the regular monitoring of the oversight phase. The technical investigation *inspector must systematically check effective implementation by attending as many sampled training sessions as needed.*
4.3. **During The Oversight Phase**

4.3.1. **Documentation**: the review of the organisation’s documentation system is sampled during the preparation phase of the investigation on site. This sampling shall systematically include all changes introduced after the last technical investigation.

4.3.2. **Implementation**: samples of the criteria in the list shall be reviewed during the audit on site. Criteria related to all changes introduced after the last technical investigation as well as the deferred items from the initial certification phase, if any, shall be checked. In all cases the criteria related to the compliance monitoring and the safety management in the list shall be systematically reviewed. The technical investigation [*inspector may check effective implementation by attending as many sampled training sessions as needed.*]

5. **Handling the Misuse Use of an FSTD**

5.1. FSD, DGCA will systematically apply the methodology indicated in Para 6 to deal with any misuse of an FSTD when providing training.

5.2. The misuse of an FSTD is defined as any condition where one or more of the following happened or cannot be excluded:

5.2.1. Use of an FSTD with no valid DGCA accepted qualification.

Note. *The approved terms of qualification include all requirements that the device fulfils as stated in its qualification certificate*

5.2.2. Use of an FSTD outside the approved terms of its qualification

5.2.3. Use of an FSTD outside the scope of the ATO’s approval (typically using an FSTD with no user approval for the course provided)

5.2.4. Use of an FSTD outside the organisation’s approved procedures, instructions, conditions or methods indicated in or resulting from the organisation’s manuals

5.2.5. Use of an FSTD by insufficiently qualified personnel either because of their licences, qualifications, ratings, approvals, authorisations or any other criteria as determined by the applicable regulation or the organisation’s approved procedures, instructions, conditions or methods indicated in or resulting from the organisation’s manuals.

5.2.6. Use of an FSTD by personnel (even qualified) with insufficient ability to handle and/or operate the simulator because of any lack of specific training, preparation or readiness affecting their performance.
5.2.7. Use of an FSTD by personnel (even qualified and well trained to operate the simulator) with insufficient ability to conduct a training session, to provide simulated flight training or to achieve training objectives because of any lack of specific training, preparation, readiness or physical / mental reduced fitness affecting its performance.

5.3. **Objective.** The methodology indicated in Para 6 is meant to address any aviation safety risk that may result from the misuse of an FSTD as described in Para 5.2.

5.4. **Risk Assessment.** The assessment of the situation resulting from the misuse of an FSTD shall, as a minimum, consider the following possible implications regarding the associated aviation safety risks:

5.4.1. Negative learning. Refers to unwanted consequences of training methods, conditions or environment that develop and/or consolidate knowledge, behaviours, skills, abilities, values or preferences opposite to the training objectives.

5.4.2. Insufficient training. Refers to partial or total failure to achieve training objectives when no negative learning has resulted.

5.4.3. Inappropriate training. Or improper training: refers to training provided under uncertainty resulting from undetermined, unclear or confusing training objectives where the effects of negative learning or insufficient training cannot be excluded.

6. **Methodology for Risk Mitigation.**

6.1. Any training provided under FSTD misuse and any subsequent training based or linked to the training provided under these conditions is deemed to be invalid until proven otherwise and formally confirmed by:

6.2. Demonstrating that no apparent or latent condition reducing aviation safety has resulted from the training under these conditions and the subsequent training based or linked to it;

6.3. In case any condition reducing aviation safety cannot be excluded, evaluating and taking actions to mitigate the associated risks;

6.4. Demonstrating that all actions taken to eliminate or mitigate the risks are effective;

6.5. Obtaining formal confirmation, once all above steps have been successfully concluded, that the overall outcome is accepted by the Agency.
7. **Formal Approval of the Use of an FSTD**

7.1. The formal approval of the use of an FSTD is part of the ATO Certificate.

7.2. Each FSTD approved for a given course will be entered on the ATO Certificate as part of the ATO’s privileges in the list of approved courses. This list is attached to the certificate.

<table>
<thead>
<tr>
<th>Training course</th>
<th>Used FSTD(s), including letter code</th>
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CHAPTER 14

OVERSIGHT GUIDELINES

Requirement for Oversight

1. Oversight is required to ensure that the approved training organisation is operating in compliance with the applicable regulations and the conditions of the approval. It includes a review of the quality assurance system, of the administrative records as well as operational activities. Oversight is an on-going function which can consist of results monitoring, records review, on-site inspections, and/or audit.

2. ATO Oversight includes a review of administrative and technical records as well as operational activities. Oversight is an on-going function that may also include consideration of records held by DGCA for example, flight test and examination results, in addition to on-site inspections, audits and surveillance.

ATO INSPECTION

3. An ATO inspection is a site visit to an Approved Training Organisation, conducted by DGCA Inspectors for the purpose of providing the DGCA with a comprehensive assessment of the regulatory status of the following areas:

3.1. Staff and Instructors

3.2. Training Aircraft and Synthetic Flight Trainers

3.3. Facilities and Documentation

3.4. Training Records and Checking Forms

3.5. Flight Instruction and Training for Maintenance Technicians

3.6. And the Quality System

4. Objective. The objective of an ATO inspection is to determine that an applicant is able to demonstrate eligibility for the issuance of an Approved Training Organisation (ATO) certificate; or, that an existing certificate holder continues to comply with the civil aviation regulations applicable to the operation of an ATO. Successful completion
of this task results in an indication of either a satisfactory or an unsatisfactory ATO inspection.

5. Characteristics of an inspection.

5.1. Definite Beginning and A Definite End. ATO inspections have a definite beginning and end. They may be scheduled by an inspector for the observation and evaluation of a specific activity, such as a proficiency check, or they may be scheduled for the evaluation of training organisation documents, manuals, or approved programmes. A specific inspection activity may be initiated and completed in a short time or it may be initiated on one day and completed several days later with other types of work activity conducted during that time. In any case, an inspection begins when an inspector initiates the inspection task and ends when the inspector has completed the inspection report.

5.2. Specific Objectives. The primary objective of any inspection, including an ATO inspection, is to determine that a person, item, or segment of an operation complies or continues to comply with DGCA regulations and safe operating practices; and, that hazards are identified as early as possible so that action may be initiated to eliminate or control them.

5.3. Inspection Areas. Inspection areas are subdivisions of an inspection’s scope such as those listed in paragraph 3.

5.4. General Practices and Procedures. Inspections have general/practices and procedures that inspectors should follow for standardization purposes.

5.5. Analysis of Inspection Data and Inspector Action. Inspectors must analyse the inspection data collected and take the appropriate course of action when deficiencies, concerns or findings are identified. In the case of an ATO inspection where deficiencies are identified, the DGCA shall not issue a certificate to the applicant until all of the deficiencies are corrected.

5.6. Completion. Inspections are not complete until the report on the results of the inspection and the intended course of action has been recorded. The inspection report is the key element of any inspection. Inspectors must be concise, factual, and objective in reporting inspection results and inspector actions.

6. Preparing for an Inspection.
6.1. Before Conducting The Inspection. In preparation for conducting an ATO inspection, Inspectors should thoroughly familiarize themselves with the following elements; they are the training organisation’s:

6.1.1. Systems

6.1.2. Policies

6.1.3. Methods, and

6.1.4. Procedures.

6.2. To accomplish this, they should review those sections of the training organisation’s manuals that are pertinent to the type of inspection to be conducted. The inspector should obtain additional familiarization by questioning and discussing the training organisation’s systems, methods policies and procedures with other members of the DGCA certification team.

6.3. Inspectors should also be familiar with the general direction and guidance relevant to the conduct of the inspection and the guidance in this Model Directive.

7. Advance Notice of an Inspection

7.1. When Recommended. Inspectors should arrange their inspection activities so they will result in a minimum amount of disruption to routine operations. In general, it is appropriate and helpful to both the training organisation and the inspector to provide advance notice that an inspection is to be conducted. It is recommended that advance notice is given for inspections that take training organisation personnel away from their normal duties, such as records inspections. After providing the training organisation with an advanced notice of inspection, the inspector should obtain the name of the appropriate point of contact at the training organisation’s facility.

Responsible training organisations engaged in aviation training understand the legal basis for DGCA surveillance and are generally cooperative in responding to the needs of inspectors during the conduct of inspections.

7.2. When Not Recommended. Advance notice is usually unnecessary for those inspections that result in only a minimal involvement of training organisation personnel. An ATO Apron Inspection is an example of an inspection where advance notice serves little purpose.

8. Explain The Purpose Of The Inspection.
8.1. This meeting is for the benefit of the training organisation’s key management or supervisory personnel, and sets the tone of the inspection. The inspector responsible for convening the meeting should:

8.1.1. Provide a personal introduction and introduce other DGCA personnel who may be participating in the inspection.

8.1.2. Discuss the inspectors’ roles and responsibilities during the inspection.

8.1.3. Confirm inspection objectives, scope and criteria.

8.1.4. Discuss the inspection methods, tools and techniques that will be used.

8.1.5. Review the inspection documentation, such as the Checklist/Job Aids that will be used.

8.1.6. Confirm inspection timetables and other arrangements made with the training organisation, such as times and dates of daily briefings and the exit meeting.

8.1.7. Verify the current revision status of documentation previously received.

8.1.8. Outline the overall inspection process.

8.1.9. Confirm any administrative requirements.

8.1.10. Inquire about on-site safety, emergency, and security procedures, when required.

8.1.11. Obtain additional specific identification, when required.

8.1.12. Determine whether corrective action from a previous visit or documentation review has been implemented.

8.1.13. Request feedback from the training organisation; and


9.1. Inspector’s Identification. Inspectors should wear nametags or other appropriate identification in plain view during the conduct of inspections.
9.2. Non-Intervention. When observing or evaluating training organisation personnel during the performance of their assigned duties, inspectors shall not intervene in a manner that could adversely hinder safety or preclude them from effectively performing their duties.

9.3. Inspection Technique. Inspectors will carry out their surveillance tasks using the following techniques as appropriate:

9.3.1. Interview personnel
9.3.2. Review documents
9.3.3. Observe operations
9.3.4. Select samples
9.3.5. Inspect activities
9.3.6. Use standardised checklists
9.3.7. Document results

10. Scope of an Inspection.

10.1. Each type of inspection has a set of items or areas that inspectors should observe and evaluate during the inspection. Sufficient time should be allotted for effective evaluation of all the items or areas.

COMMON GUIDELINES FOR CONDUCTING ATO INSPECTIONS.

11. If a discrepancy is found, the DGCA inspector continues the ATO inspection of all items.

12. After the inspection, all the deficiencies and recommended corrective actions are documented on the DGCA inspection report.

13. An unsatisfactory inspection report will not permit certification of an ATO applicant; and, in the case of an established training organisation, may initiate an enforcement investigation. Unsatisfactory reports are usually the result of a finding of the certificate holder’s non-compliance with a civil aviation regulation, which was discovered during the inspection.
14. There are intermediate stages between satisfactory and unsatisfactory results, any of which may result in a satisfactory inspection with corrective action.

14.1. An on the spot correction involves a discrepancy that was not a violation and was noted and corrected during the inspection. Because it was corrected “on-the-spot,” it may require no further action. An example of a spot correction is as follows:

The inspector finds a student record that does not contain the student’s date of graduation in the appropriate box. However, a photocopy of the student’s graduation certification with the date is included with the record. The corrective action consists of the inspector notifying the ATO of this discrepancy. During the remainder of the inspection, the chief instructor enters the record according to the ATO’s procedures. Additional corrective action is not necessary.

14.2. A follow-up action involves a deficiency or a lack of pilot knowledge or skill that does not involve a violation but does require action other than a spot correction. For example, during the inspection the inspector noted that the pre-takeoff and pre-landing checklists were not in an aircraft and copies of the checklists were not readily available. There was no evidence that the aircraft had been operated for student instruction without the checklists. The corrective action consists of the inspector verbally advising the training organisation that the checklists must be in place before the aircraft is operated again for instruction in a DGCA approved course. At the office the inspector confirms this in writing to the training organisation and schedules a follow-up inspection to determine that the checklists have been replaced.

14.3. A regulatory violation is cause for a finding of “unsatisfactory” for the ATO inspection. For example, during the inspection, an inspector finds that training was conducted for more than 30 days without the DGCA ever being informed of a change in the chief flight instructor as required. The inspector marks the inspection report “unsatisfactory” indicating the inspection will result in an enforcement investigation.

15. Presence of Chief Instructors and Other Instructors During Inspection.

15.1. It is desirable to spot check the knowledge and skill of the instructors used by a ATO. Spot checks of instructors are necessary to verify continuing compliance and to ensure that the chief instructors are fulfilling their responsibilities in standardizing instruction.

16. Discrepancies Between DGCA Files and Training Organisation Files.

16.1. When a discrepancy is found between DGCA records kept on the training organisation and records maintained by the training organisation, the inspector
determines which set of records is current, approved, and correct. The outdated records must be brought up to date. For example, if the training organisation’s records indicate a change in address of the base of operations that the DGCA was not aware of, DGCA records must be amended to reflect the correct address. The inspector determines whether an enforcement action is necessary.

PREREQUISITES AND COORDINATION REQUIREMENTS.

17. Prerequisites. An ATO inspection requires knowledge of:

17.1. The training organisation’s ATO certificate

17.2. The training organisation’s training specifications

17.3. The training organisation’s training and procedures manual

17.4. The regulatory requirements

17.5. The implementing standards, and

17.6. Current DGCA policies and directives applicable to ATO inspections

18. Coordination. This task may require coordination with other departments of the DGCA if operations inspectors, maintenance inspectors or other technical specialties are needed to evaluate specific areas of the inspection.

PROCEDURES.

19. Pre-Inspection Activities

19.1. Determine the need for the inspection.

19.1.1. Is the inspection scheduled in the work programme of the DGCA?

19.1.2. Is the inspection a request by the director?

19.1.3. Is the inspection the result of complaints?

19.1.4. Is the inspection part of the ATO certification process?

19.2. Determine if the inspection is to be conducted with or without notice to the ATO. Conduct initial certification inspections in accordance with the schedule of events submitted by the applicant.
19.2.1. If the inspection is to be conducted with notice to the ATO, notify the ATO in writing of the day, time, and nature of the inspection.

19.2.2. If the inspection is to be conducted without notice to the ATO, schedule the day and time.

19.3. Review the ATO file maintained by the DGCA for complaints, previous enforcement history, accident/ incident history, previous records inspections and surveillance reports

**CONDUCT OF THE ATO INSPECTION.**

20. Determine if Certificate and Training Specifications are in compliance with the appropriate Civil Aviation Regulations.

21. Determine that the ATO name, address, and certificate number and validity date on the training organisation’s ATO certificate are consistent with information approved by the DGCA and that the ATO certificate is valid.

22. Determine that the training organisation is conducting training in accordance with the specific:

22.1. Authorizations

22.2. Limitations, and

22.3. Procedures documented in the currently approved Training Specifications.

23. Record Keeping.

23.1. Details of individual student including

23.1.4. Name, course enrolled in, certificates/licences held, ratings, authorisations and medical certificate class and expiry date.

23.1.5. Ground training

23.1.6. Flying training

23.1.7. Simulated flight training

23.1.8. Progress reports
23.1.6. Flight tests

23.1.7. Ground examinations

23.1.8. Instructor assessments.

23.2. If an automated record keeping system is maintained by the ATO, the inspector shall verify that a backup capability exists to generate a complete set of records either electronic or non-electronic.

23.3. Records maintained by the ATO should provide documentary evidence of each training action and allow reconstruction of the training history of each student or instructor.

23.4. ATOs shall maintain a record of each instructor that indicates the instructor’s qualifications and compliance with the regulations.

23.5. Records must not be removed or altered and shall be maintained by the training organisation for a period of two years after the completion of training.

23.6. Inspectors shall ensure that established ATOs show compliance with the approved Record Keeping System provisions.

24. Instructional Standards

24.1. When inspecting the instructional standards of an established ATO, the inspector must ensure the quality of instruction provided by instructors in both ground and flight training segments is effective. Instructors must create an effective environment for training that is consistent with the instructional standards contained in the training organisation’s ATO Training and Procedures Manual. The instructor must be flexible and alert to the individual needs of the students.

25. Ground Instructors.

25.1. Must know the training organisation’s training policies and procedures, know how to complete required training forms, and must exhibit satisfactory instructional methods and techniques.

25.2. Must be knowledgeable in the specific area of instruction to which assigned and must be able to present the material in a logical, clear, and organised manner.
25.3. Must be aware of the minimum equipment required for each element of training and must conform to the limitations imposed on the training element(s) by inoperative component(s).

25.4. Should follow the applicable lesson plans, guides or other training aids to ensure that the material is properly presented as designed.

26. Flight/ SFT Instructors:

26.1. Must be competent in the operation of flight training devices or flight simulators and must be knowledgeable of the training elements that may be accomplished in that level of simulator or training device.

26.2. Should provide a thorough pre-flight briefing on all manoeuvres and procedures that will be accomplished.

26.3. Should provide a thorough post flight debriefing to review each student’s performance during a training session.

27. Testing and Checking. In the inspection of an established training organisation’s training programme, the inspector must conduct observations of the elements that involve evaluation and qualification. These elements include, but are not limited to, the ATO’s designated examiner activities, training records, failure rates, and testing and checking standards. The inspector should evaluate the following:

28. Designated Examiner Activities. The inspector should evaluate all elements that relate to designated examiner training and qualification, designated examiner records, and standardization programmes.

29. Training Records. The inspector should evaluate the training organisation’s training records for information regarding the overall effectiveness of the ATO’s training programme/s. The testing and checking results available from training records are an excellent source of information for inspectors to establish positive or negative trends in the ATO’s training programme.

30. Oral and Skill Tests. Inspectors should observe or conduct a number of flight crew licensing evaluations as well as proficiency checks to determine the overall effectiveness of the ATO’s training programme/s, and testing and/ or checking standards. Inspectors should place specific emphasis on flight events, which require repetition or excessive instruction and should evaluate them according to the following criteria:
30.1. Testing and checking standards must comply with CARs.

30.2. Testing and checking standards must be consistently applied throughout the ATO by its check airman and instructor personnel.

NOTE: Testing and checking observations provide a direct measure of instructional standards and instructional delivery methods. Inspectors should use the job aid contained in this Directive when observing and evaluating testing or checking in progress.

31. Aircraft Used

31.1. Inspectors shall determine that the number of aircraft used in an established ATO’s training programme, their make/s, model/s and serial number/s and their registration numbers are consistent with the information described and/or referenced in the training organisation’s currently approved training specifications.

31.2. In the case of the holder of an ATO certificate, inspectors must determine that the aircraft used by the training organisation are equipped, maintained and inspected as specified in the Aircraft Maintenance Requirements and in the Aircraft Inspection Programme requirements of the ATO’s Training Specifications.

31.3. The maintenance records for aircraft used in an established ATO’s training programme shall be maintained in the location specified the training organisation’s Training Specifications.

32. Synthetic Flight Trainers

32.1. An ATO providing synthetic flight training shall satisfy the DGCA that suitably equipped synthetic flight trainers are provided with regard to the number of students and organisation of courses.

32.2. Each synthetic flight trainer used for training, testing and checking is specifically qualified and approved by the DGCA for:

32.2.1. Each manoeuvre and procedure for the make, model and series of aircraft, set of aircraft, or aircraft type simulated, as applicable; and

32.2.2. Each training programme or training course in which the synthetic flight trainer is used, if that programme or course is used to satisfy any requirement by the CARs.

32.3. Inspectors shall determine that the approved status of the flight simulators used by an established ATO is current and that the simulators are properly identified in the
training organisation’s Training Specifications. In addition, inspectors shall determine the training organisation’s compliance with the Flight Simulator Maintenance Requirements of the ATO’s Training Specifications.

32.4. Inspectors shall determine that the approved status of the flight procedures trainers used by an established ATO is current and that the flight procedures trainers are properly identified in the training organisation’s Training Specifications. In addition, inspectors shall determine the training organisation’s compliance with the Flight Procedures Trainers (FPTs) Maintenance requirements of the ATO’s Training Specifications.

33. Training Facilities

33.1. The inspector shall ensure that the ATO applicant has continuous use of its facilities. The applicant may show continuous use by having ownership of the required facilities or by having a written agreement with the facility owners. The written agreement should state that the training organisation has continuous use of the necessary facilities for at least six months from the date of initial certification or renewal of the ATO certificate.

33.2. Inspectors should check that the address of the principal business office of an established ATO remains consistent with that on the ATO certificate. The business office should be situated so that required ATO files and student-training records are kept up-to-date and available to students and instructors alike. Each ground training area should be heated, lighted, and ventilated to meet the applicable building code requirements for the area concerned. The courseware used by the training organisation in the ground training areas should be consistent with curriculum requirements.

33.3. A certificate holder may not make a substantial change in facilities, equipment or material approved for a particular training programme, unless that change is approved by the DGCA in advance.

34. Training and Procedures Manual

34.1. The ATO shall ensure that the Training Manual and the Procedures Manual is amended, as necessary, to keep the information contained therein up to date.

34.2. Inspectors shall determine that the date/s of the most recent revision/s to the training organisation’s Training Manual and Procedures Manual are consistent with
the most recent revision dates documented in the Training Manual and Procedures Manual on file at the DGCA.

34.3. Inspectors shall determine that copies of all amendments to the Training Manual and the Procedures Manual have been furnished in a timely manner to all organisations or persons to whom the manual has been issued.

35. Quality System

35.1. One practical approach to conducting quality system inspections is for inspectors to conduct a focused inspection on portions of an ATO’s quality system while conducting other types of scheduled inspections.

35.2. Those portions of the training organisation’s quality system that would be inspected would be identified as focused inspections and included in the annual work program of the DGCA.

35.3. Inspector personnel may also schedule comprehensive quality system inspections. A team approach, consisting of licensing, operations, airworthiness and other inspector specialties is the most effective strategy for accomplishing comprehensive quality system inspections. Inspectors conducting quality system inspections of ATOs are performing a safety oversight function by monitoring the certificate holder’s continued compliance with relevant regulatory requirements. Holders of ATO certificates must continue to satisfy Quality System requirements.

35.4. Regardless of whether the inspector conducts a comprehensive or focused inspection of the training organisations quality system, the following items shall always be inspected:

35.4.1. Management involvement as documented in its review and analysis of the results of the ATO’s quality inspections and audits.

35.4.2. The effectiveness of the management organisation in achieving stated objectives.

35.4.3. Preventative and Corrective actions.

35.4.4. The conclusions and recommendations made by management as a result of the review and analysis.

**POST INSPECTION ACTIONS**
36. Discuss any findings discovered during the inspection with the Quality Manager of the ATO. Bring all areas that need improvement to the Quality Manager's attention and explain the inspection will be followed up with a letter confirming the inspection results. Inform the Quality Manager that he or she may consult with relevant company managers to develop a corrective action plan under the ATO's quality system in advance of receiving the DGCA letter. Inspectors should always compliment the ATO's staff when areas inspected exceed certification or inspection requirements.

**TASK OUTCOMES.**

37. Completion of this task results in either of the following:

37.1. Indication of a Satisfactory ATO Inspection. An indication of a satisfactory ATO inspection in the applicant’s certification file, or in the case of an established ATO, a satisfactory inspection report placed in the DGCA file on the ATO.

37.2. Indication of an Unsatisfactory ATO Inspection. A letter indicating an unsatisfactory inspection and indicating all discrepancies found. This letter will also be made a part of the ATO file.

38. Follow-Up Inspections

38.1. Schedule follow-up inspections to confirm corrective actions taken by the ATO under its quality system.

38.2. In the case of an established ATO, consider a possible enforcement investigation on items found not in compliance with relevant civil aviation regulations.
ORGANIZATIONAL STRUCTURE OF THE ATO

The following organizational charts are by no means exhaustive and do not pretend to meet all operational requirements. They are provided only to assist training organizations in developing and maintaining an organizational structure that is consistent with the needs of an effective quality system governance model.

Figure 1. Example of a very small generic training organization
Figure 2. Example of a small/medium (complex) generic training organization

This example depicts a training organization that is part of a much larger company, which oversees it as a business unit.
Figure 3. Example of a large (complex) multi-faceted training organization

This ATO has an AMO certificate for maintenance of aircraft. The AMO may also be involved in on-the-job training for maintenance students. In this instance the ATO has an SMS covering both the flight operations and maintenance activities.
GUIDELINES FOR PREPARATION OF MANUALS

1. Manual Standards

1.1. Any Manual /Document prepared by an applicant for the approval of the DGCA or to satisfy its regulatory requirements shall in order to ensure effective production, amendment, distribution and/or uniform use of, or compliance with information relating to the company requirements, contain the following:

1.1.1. Reference Number used to identify the Document. This number shall be printed on top of the right hand corner of the front/cover page and on each page of the Manual/Document.

1.1.2. Trade Mark / logo of the applicant. This shall be printed on front/cover page and top of the left-hand corner on each page of the Manual/Document.

1.1.3. Title of the Manual / Document. This shall be printed on front/cover page and immediate inner page after the cover page.

1.1.4. Edition Number and Year of edition. This shall be printed on front/cover page.

1.1.5. Title of the person under whose authority the document is printed. The title of the person who authorized the production of the Manual / document should be written at the bottom of the cover / front page;

1.1.6. Control Number. In addition to whatever information the applicant may wish to print on the inner page immediately after the cover page, shall contain the control number which indicates the serial number;

1.1.7. Record of Revision. This shall contain three running columns to indicate the Revision Number, date entered and name of the person making the revision;

1.1.8. List of effective pages. This shall contain three running columns to indicate the Page Number, last date of revision and effective date;

1.1.9. History of Revision. A brief description in regard to each amendment introduced subsequent to the initial issue.

1.1.10. Table of Contents. The table of contents shall be expanded to cover at least two sublevels with page numbers placed on section basis.

1.1.11. Preamble/Forward. This shall at least contain information relating to the purpose of the Manual in brief, the level of compliance expected from the user. The
preamble of a Manual/ document shall be signed by the Accountable Manager.

1.1.12. **Abbreviations.** All abbreviation and acronyms used in the Manual or documents should be clearly explained in full;

1.1.13. **Definitions.** All words, which has or requires a specific meaning in relation to the matter being explained, shall be defined clearly in order to avoid ambiguities. In the absence of a definition for a word or phrase, DGCA, India will have the right to interpret such word or phrase with due regard to its obligations for safety and security;

1.1.14. **Separation of Sections/ Chapters.** Manuals should be divided into chapters or sections based on topics being dealt with. In view of the necessity of future updating requirements, each new chapter or section shall start with a new page and such sections/chapters shall be identified with distinctive separators;

1.1.15. **Header.** There shall be a header for each page of a Manual or document and it shall contain at least the applicant’s logo / trade mark, name of the organization, document name, document identification number (if any), volume number (if any), revision number, chapter/section number, subject of the chapter and any other information the applicant may wish to display;

1.1.16. **Footer.** There may be a footer for each page which should contain the page number and any other information (than the header) which the applicant may wish to display;

1.1.17. **Index.** There shall be an index to a Manual /document for ease of reference.

**NOTE:** This Manual itself may be used as guidance for the development of applicant’s Manual(s) in keeping with the aforesaid requirements.

1.2. The applicant shall also maintain a Master Distribution Record in relation to the production and distribution of the Manual/document and its subsequent amendments.

1.3. All Manuals/ documents submitted by the applicant to the DGCA shall be in duplicate so that one copy will be returned with the appropriate attestation, on approval.

1.4. The relevant page or pages of the original document which carries the DGCA attestation shall be submitted, whenever an amendment is forwarded to the DGCA for approval.

1.5. All Manuals / documents which contain information/instructions which are subject to change shall be compiled in a loose binder (ring binders) and any manual /document to be used in the flight deck shall be printed on papers of A5 size.
1.6. It is the responsibility of the Operator to update the Manuals submitted to the DGCA from time to time to ensure the information contained therein is complete, accurate, and up to date.

2. **Use of language in Manuals / Documents.**

2.1. The applicant shall ensure that all Manuals/ Documents are written in the English language and the following words are used to give the meaning as indicated against such words.

   2.1.1. “shall” or “must” – compliance is mandatory.

   2.1.2. “will” – the action referred to will not take place at the present moment but there is a commitment to comply with the requirement.

   2.1.3. “should” – compliance is recommended but not compulsory.

   2.1.4. “may” – there is discretion for the applicant/operator to apply alternate means of compliance or to ignore the requirement.

2.2. Any specific instruction issued by the applicant to the operational staff shall be given using the words “shall” or “must”.