



Guidelines for Applicants	Doc #	UG.FCTOA.00003-000
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Guidelines for Applicants

UG.FCTOA.00003-000

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DOCUMENT CONTROL SHEET

Process Area	Organisation approval
Main Process	Pilot Training Organisation Approval
Scenario	Foreign Pilot Training Organisation Approval
Process	ALL
Main Process Owner	Chaouki CHABBI

Reference documents
a) Contextual documents
<p>Regulation (EC) 216/2008 - Regulation of European Parliament and of Council of 20 Feb. 2008 on common rules in the field of civil aviation and establishing a European Aviation Safety Agency and repealing Council Directive 91/670/EEC, Regulation (EC)1592/2002 and Directive 2004/36/EC</p> <p>Commission Regulation (EU) 1178/2011 - Commission Regulation of 3 November 2011 laying down technical requirements and administrative procedures related to civil aviation aircrew pursuant to Regulation (EC) No 216/2008 of the European Parliament and of the Council as amended</p> <p>Commission Regulation (EU) No 319/2014 of 27 March 2014 on the fees and charges levied by the European Aviation Safety Agency, and repealing Regulation (EC) No 593/2007</p> <p>EASA Management Board Decision 01-2011 Adopting the guidelines for the allocation of certification tasks to National Aviation Authorities and Qualified Entities</p>
b) Internal documents
<p>EASA Form 143 – ATO approval certificate FO.FCTOA.00010 - Application for a Part-ORA ATO Approval FO.FCTOA.00039 - Emergency ATO level 1 finding notification FO.FCTOA.00040 - ATO Approval recommendation report FO.FCTOA.00041 - FCLOA inspection plan FO.FCTOA.00059 - Corrective Action Plan FO.FCTOA.00067 - Postholder change notification IC - Foreign ATO: Approval continuation checklist IC - Foreign ATO: Change of approval certificate checklist IC - Foreign PTO: Initial approval checklist UG.FCTOA.00003 - Guidelines for Applications UG.FCTOA.00004 - Guidelines for ATO Manuals UG.FCTOA.00005 - FSTD User Approval UG.FCTOA.00006 - Technical Instructions for CSP / EASA WI.FCTOA.00002 - Foreign PTO Approval: Technical Investigation WI.FCTOA.00007 - FCLOA indirectly controlled documents management</p>



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Abbreviations/Definitions

ACO: Approval Coordinator
 AM: Accountable Manager
 AMC: Acceptable Means of Compliance
 AReg: Aircrew Regulation - Commission Regulation (EU) No 1178/2011 of 3 November 2011 laying down technical requirements and administrative procedures related to civil aviation aircrew pursuant to Regulation (EC) No 216/2008 of the European Parliament and of the Council, as amended.
 ATO: Approved Training Organisation
 CSP: Certification Service Provider
 EASA: European Aviation Safety Agency
 EC: European Commission
 EU: European Union
 FCL: Flight Crew Licencing
 FCLOA: Flight Crew Licensing Organisation Approval
 FCLOA SM: EASA’s Flight Crew Licensing Organisation Approvals Section Manager
 FCTOA: Flight Crew Training Organisations Approval
 GM: Guidance Material
 MS: EASA Member States (as per Art.34 and 66 of Regulation (EC) No 216/2008 as amended)
 OM: Operations Manual
 OPC: Oversight Planning Cycle
 Part ARA: Annex VI of AReg
 Part ORA: Annex VII of AReg
 Part FCL: Annex I of AReg
 PTO: Pilot Training Organisations
 TITL: Technical Investigation Team Leader
 TRM: Training Manual
 TRP: Training Programme
 UG: User Guides - Guidance for the implementation of regulations
 WI: Work Instructions – provide staff with detailed information of specific steps for the performance of work

Log of issues

Issue	Issue date	Change description
000	DD/MM/2014	<ul style="list-style-type: none"> • Deleted reference to JAR • Terminology adjustments • Review of Abbreviation Definitions • Up-date of Forms & User Guides



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0.Introduction



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0.2. Scope

This user guide is dedicated to EASA Approved Pilot Training Organisations based outside the territories of Member States.

This user guide is complementary to the requirements of Implementing Rule – Aircrew Regulation (EU) 1178/2111 “as amended” and does not supersede or replace the information therein documented.

0.3. Purpose

The purpose of this user guide is to describe how the applicant should proceed when applying for an EASA ATO approval and how EASA will handle the initial investigation, continuation, change, limitation, suspension or revocation of the approval of the aforementioned organisation according to Aircrew Regulation (EU) 1178/2111 as amended.

0.4. Communication

All documents and correspondences between the Applicant, the Certification Service Provider(CSP) and EASA shall be in the English language unless otherwise agreed by EASA



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1. Initial approval



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1.1. Application to EASA for an ATO Part ORA approval

A new application for an EASA pilot Training Organisation Approval shall be made in accordance with ORA.ATO.105 using the form "Application for a Part-ORA ATO Approval" (FO.FCTOA.00010). This Application form shall be sent directly to EASA by surface mail, fax, e-mail, via the email box indicated on EASA website.

Details about the EASA Regulations can be found on the EASA website (www.easa.europa.eu).

EASA Applications & Procurement Department will acknowledge receipt of the application by fax/email for applications not received via the 'FCLOA' mailbox or "online", for which an acknowledgement of receipt is automatically sent.

EASA Applications & Procurement Department will check the application. When incorrect or incomplete information is supplied, EASA Applications & Procurement Department shall notify the applicant as soon as possible by letter or email detailing the omissions and errors.

Initial application package must include:

- The Form "Application for a Part-ORA ATO Approval" (FO.FCTOA.00010)
- Organisations' Legal Status Document (Certificate of Incorporation [for profit organisations] or an equivalent official document [for non-profit organisations]) as detailed in the Form "Application for a Part-ORA ATO Approval" (FO.FCTOA.00010) with a translation in English when necessary.

In case of refusal of an application, EASA Applications & Procurement Department will notify this decision in writing to the applicant together with the reasons thereto.

Once the application package is complete, the EASA FCLOA section checks the eligibility of the application according to applicable regulation.

When eligibility has been fully assessed the applicant is informed by EASA Applications & Procurement Department of the preliminary approval number with a suffix "P" indicating the pending status of the approval (for example EASA.ATO.xxxxP)

Note 1: In order to expedite the process the applicant is invited to draft the Operations Manual (OM), Training Manual (TRM) and Training Programme (TRP) as appropriate according to the indications provided in the "User Guide for ATO Manuals" (UG.FCTOA.00004) and the "User Guide for FSTD User Approval" (UG.FCTOA.00005) available on the EASA website.

1.2. Allocation of the investigation team

When eligibility for approval has been confirmed the FCLOA SM will decide if the technical investigation will be conducted internally or if this task is to be allocated to an Certification Service Provider(CSP) linked to EASA through appropriate contractual arrangements.

In case the technical investigation is to be performed internally, the FCLOA SM will establish an appropriate EASA certification team using EASA staff. The FCLOA SM will inform EASA Applications & Procurement Department of his selection.

If allocated externally, the technical investigation will be conducted by an CSP.

The Applicant is informed in writing about the allocated investigation team by the EASA Applications & Procurement Department.

1.3. Initial technical investigation

1.3.1. Documents and compliance declaration

Upon receipt of the EASA allocation decision, the applicant shall provide the Technical Investigation Team Leader (TITL) with the applicable EASA organisations' documents and manuals, lists of staff and key personnel and any other details as required by Part ORA. The "User Guide for ATO Manuals" (UG.FCTOA.00004) should be used as much as possible to ease this step.



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The accredited TITL will also refer to this user guide when performing the full review of the draft documents.

While the technical investigation team is reviewing the documents and information provided, an audit of the entire training organisation shall be performed through the applicant's internal compliance monitoring system (indicated in item 13 of the "Application for a Part-ORA ATO Approval" Form (FO.FCTOA.00010) to ascertain compliance with all applicable requirements related to the requested scope of the approval.

When the internal compliance audit has been completed and all the findings and issues addressed, a statement of compliance signed by the Organisation's AM shall always be provided before the FCLOA technical investigation takes place, confirming that the documents, procedures, facilities, equipment and personnel subject to the application have been reviewed and audited and that all findings have been properly addressed so that the whole internal audit process demonstrates full compliance with all applicable requirements.

This compliance audit report shall be provided by the Applicant upon request from the TITL.

1.3.2. Preparation of the investigation

When all of the

- documents and forms,
- Organisation's Accountable Manager statement, and
- compliance audit report

are deemed acceptable, the TITL will initiate the investigation in accordance with applicable regulation, associated Acceptable Means of Compliance (AMC) / Guidance Material (GM) and Internal EASA FCLOA procedures and work instructions.

In particular the TITL will:

- Coordinate with the Organisation for scheduling the audit and
- Prepare and notify the Organisation with the audit plan.



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1.3.3. On site investigation

During this phase, the TITL will:

- Start the investigation audit with an opening meeting with the ATO management and where possible with the Accountable Manager at least to:
 - Present the audit scope
 - Confirm the audit schedule
 - Outline the Purpose, Process, Standards & Methods related to the audit and the finding reporting
 - Confirm the planning of the closing meeting
- Meet the Accountable Manager during the visit
- Conduct a closing meeting to present the audit findings and conclusions to the ATO management in order to ensure that they are understood. The ATO management will be given the opportunity to discuss any non-compliance identified and suggest corrective actions and a timeframe for implementation.

Findings identified during the investigation process will be handled by the TITL according applicable regulation, associated Acceptable Means of Compliance (AMC) / Guidance Material (GM) and Internal EASA FCLOA procedures and work instructions.

For an initial Part-ORA approval, all findings raised during the initial audit shall be tracked and closed within 3 months before the recommendation is made. Failure to close these findings during this timeframe could lead the Agency to terminate the application.

The formal notification of the findings will be sent to the Organisation by the TITL within a maximum of 15 calendar days from the end of the audit.

The TITL will follow-up the closure of all findings identified during the audit. When he/she is satisfied that the corrective actions taken by the Organisation have properly addressed the finding raised during the audit, he/she will notify the Organisation in writing that the non-compliances are considered to be closed.

Depending on the extent and nature of findings and the related corrective actions to be implemented, an additional audit may be necessary.

The whole initial approval process leading to the issuance of the recommendation shall be completed within a 7 months after receipt of the allocation decision when the organisation is informed by the Agency about the allocated technical investigation team.

1.3.4. Recommendation

When compliance of the applicant with Part-ORA requirements has been established, the TITL will recommend to EASA the issuance of an ATO certificate.

To that end he/she will prepare a recommendation package to be reviewed for quality check by:

- CSP and EASA FCLOA Approval Coordinator (ACO), in case of external allocation of task) or
- EASA FCLOA ACO, in case EASA FCLOA has conducted the technical investigation

according to EASA FCLOA procedures.



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1.3.5. Issuance of an approval Certificate

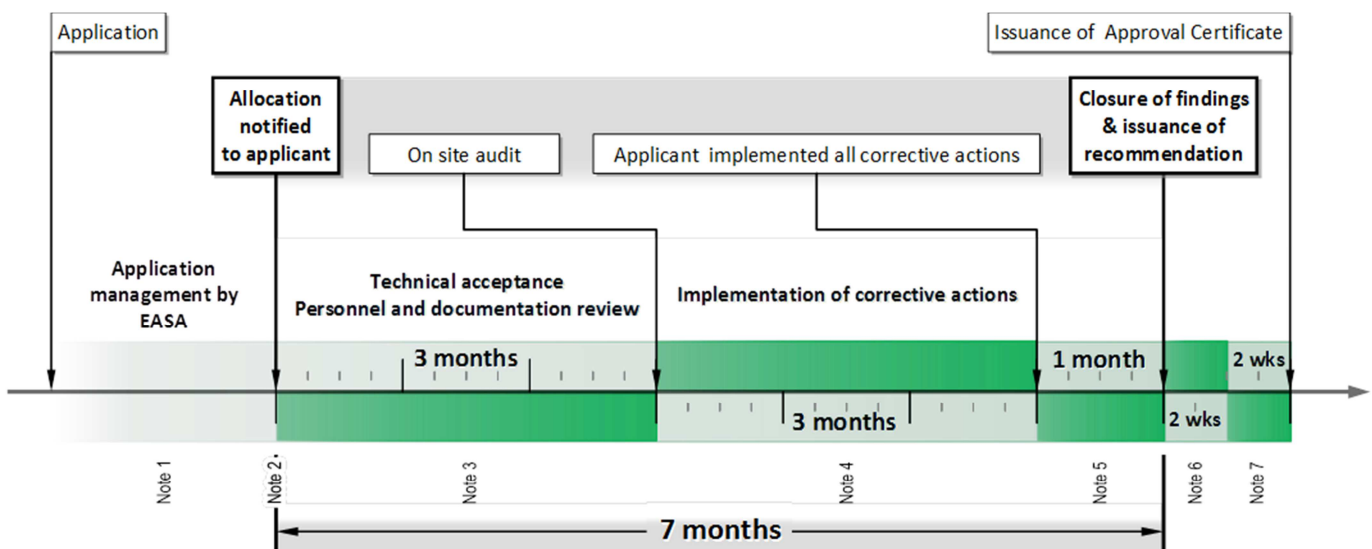
When satisfied that the recommendation package is accurate and compliant with relevant procedures and requirements the Agency will prepare the relevant approval certificate Form 143 for signature by EASA authorised persons:

EASA FCLOA ACO will forward the original signed EASA Form 143 to EASA Applications & Procurement Department. This will enable it to establish the first annual surveillance fee invoice that will be sent attached to the approval certificate to the applicant. The first annual invoice is due immediately after the issuance of the certificate.

1.4. Time frame

The normal time frame to process a Part-ATO approval is about 7 months from the allocation date; however the amount of time taken is largely dependent on the ability of the applicant to produce the documentation required and to rectify any non-conformity identified during the certification process. Unless duly justified failure to meet this time frame might lead the Agency to terminate the application

Simplified time frame for an Initial ATO Approval



- Note 1: To inform applicant about any omission or error if incorrect or incomplete information supplied
- Note 2: The allocation is confirmed the "Purchase Order" (CSP) or the "Involvement Notification" (EASA TITL).The applicant is informed by EASA about designated CSP to whom the organisation's manuals are to be sent.
- Note 3: TITL to review organisation's manuals, applicant to implement correction up to an acceptable level.
- Note 4: Applicant to implement of corrective actions and notify TITL accordingly
- Note 5: TITL to close findings and issue recommendation package
- Note 6: Quality check of **ATO Approval recommendation report (FO.FCTOA.00040)** and validation of recommendation package
- Note 7: EASA to process the recommendation package and issue the Approval Certificate EASA Form 143



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2.Change of approval



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2.1. Application for change

All changes as detailed in ORA.GEN.130 (a) & (b) require completion of a **Form "Application for a Part-ORA ATO Approval" (FO.FCTOA.00010)**. An application for the change of an EASA Part-ORA Approval shall be made in accordance with ORA.ATO.105 (c). This Application form shall be sent directly to EASA by surface mail, fax, e-mail, via the email box indicated on EASA website.

Details about EASA Regulations can be found on the EASA website (www.easa.europa.eu).

EASA Applications & Procurement Department will acknowledge receipt of the application by fax/email for applications not received via the mailbox or "online", for which an acknowledgement of receipt is automatically sent.

EASA Applications & Procurement Department will check the application. When incorrect or incomplete information is supplied, EASA Applications & Procurement Department shall notify the applicant as soon as possible by letter or email detailing the omissions and errors.

Application for a change of Approval name must include the Organisations' Legal Status Document (Certificate of Incorporation [for profit organisations] or an equivalent official document [for non-profit organisations]) as detailed in the Form "Application for a Part-ORA ATO Approval" (FO.FCTOA.00010) with a translation in English when necessary.

In case of refusal of an application, EASA Applications & Procurement Department will notify this decision in writing to the applicant together with the reasons thereto.

Once the application package is complete, the EASA FCLOA section checks the eligibility of the application according to applicable regulation.

When eligibility has been fully assessed, EASA Applications & Procurement will inform the CSP FCLOA ACO or the EASA FCLOA ACO that the application shall be processed.

In the meantime, the applicant shall forward to TITL all documents related to the change.

2.2. Allocation of the investigation team

By default the investigation is performed by the assigned initial team. However, should it become necessary or more appropriate to allocate a different auditor, the FCLOA SM makes the decision to allocate another CSP or EASA TITL, he/she will inform the EASA Applications & Procurement Department who will inform the selected CSP or EASA TITL together with the applicant in writing.

2.3. Technical Investigation for Change

To process a change the TITL will proceed as detailed within the paragraphs related to "Initial technical investigation".

Changes cannot be implemented prior to EASA formal approval.



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3.Continued surveillance



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An Oversight Planning Cycle (OPC) will normally be prepared by the TITL and made available to the ATO upon request.

By default the frequency of auditing is one inspection per year.

This default frequency will be adjusted according to a risk based evaluation depending on criteria such as:

- Organisation's capacity to demonstrate an effective identification of aviation safety hazards and management of associated risks
- Organisation's capacity to continuously demonstrate under ORA.GEN.130 that it has full control over all changes
- Relevance of previous audit findings
- Reactivity to findings and effectiveness of corrective action implementation
- Frequency of repetitive findings
- Effectiveness of compliance monitoring
- Volume and range of activity of the organisation
- Size, complexity and culture of the organisation (Number of staff, number of aircraft, structure, strategy, technology, environment, safety culture, reporting culture, discipline measures, level and intricacy of outsourcing, location fragmentation ...)
- Capacity to implement effective continuous reporting system to EASA on the safety performance and regulatory compliance of the organisation itself
- Other criteria as might be necessary to comply with relevant requirements (such as but not limited to ARA.GEN.305(b)), to comply with regulation related to aviation safety or to apply international aviation safety standards.

Every 24 months the TITL will review the outcome of the surveillance activity related to the ATO to confirm whether or not the organisation continues to satisfactorily comply with the relevant requirements and applicable standards. This will be formally stated in a recommendation submitted to the Agency **ATO "Approval recommendation report" (FO.FCTOA.00040)**.

At the time of the continuation, recent pending findings within the accepted corrective action implementation period may be still open. However it should be clearly stated that, at the time of the recommendation, all open findings shall fulfill the requirements of ORA.GEN.150 (a) & (b) so that the related:

- root cause of each finding is identified
- corrective action plan is submitted and accepted by the TITL in charge of the recommendation;

The TITL will issue a recommendation only if each previous finding which is still open falls under the provisions of ORA.GEN.150 (c) within the period agreed.

When the TITL has finished the preparation of the recommendation package this package is reviewed for quality check by:

- CSP and EASA FCLOA Approval Coordinator (ACO), in case of external allocation of task) or
- EASA FCLOA ACO, in case EASA FCLOA has conducted the technical investigation

according to EASA FCLOA procedures.

When continued validity of the certificate is accepted the EASA FCLOA ACO shall formally notify the ATO and copy in the CSP FCLOA ACO.

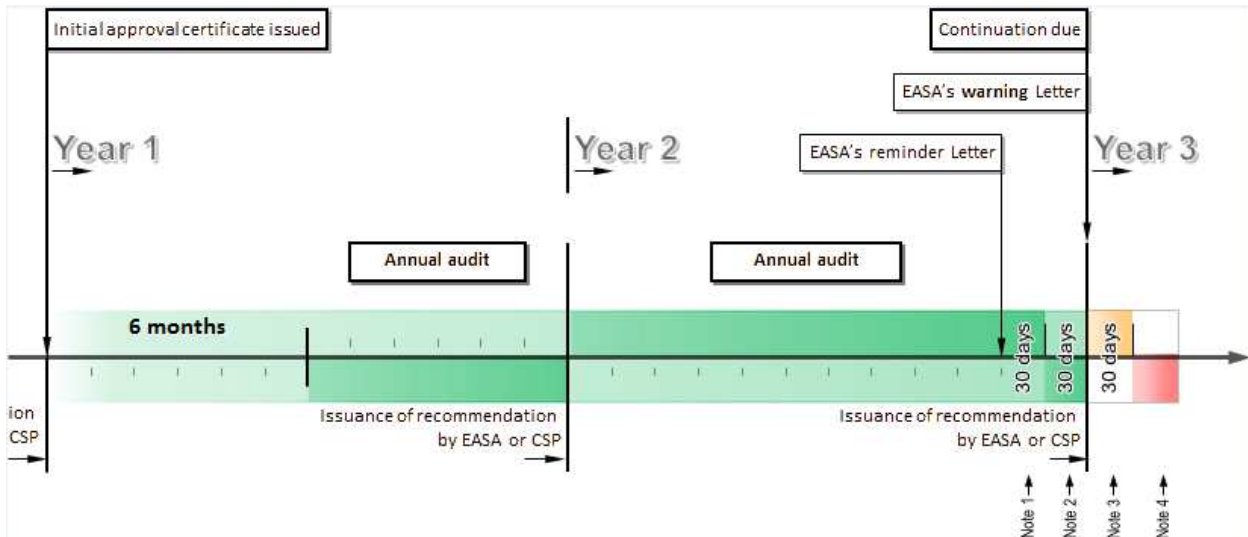
Findings raised during the continued surveillance will be handled by the TITL according to ARA.GEN.350 and its AMC / GM.

By default the continued surveillance is performed by the assigned initial team. However, should it become necessary or more appropriate to allocate a different auditor, the FCLOA SM will decide about a different CSP or assign an EASA TITL. In this case, the FCLOA SM will inform the EASA Applications & Procurement Department who will inform the selected CSP or EASA TITL together with the applicant in writing.



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Simplified Time frame for continuation of ATO Approval



- Note 1: EASA to send a reminder letter 60 days before continuation due date
- Note 2: Recommendation package **not** to be dated **more** than **30 days BEFORE** continuation due date.
- Note 3: Recommendation package **not** to be dated **more** than **30 days AFTER** continuation due date.
- Note 4: In case of a documented extension request is to be sent to EASA before the end of the month following the continuation due date.



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4. Determination of the audit team



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The EASA FCLOA ACO will nominate Technical Investigation Team made up of a team leader TITL and when appropriate team member(s) to carry out the inspection process. As a general rule, the team is limited to one auditor as much as possible. Cases for which more than one auditor is needed must be justified by the TITL or CSP FCLOA ACO and agreed by EASA FCLOA ACO prior to the investigation taking place.

The criteria applied by EASA to determine the investigation team are as follows:

- Complexity of the organisation approval
- Number of sites to be audited
- Type of audit (initial, changes, follow up audits, findings etc.)
- Size of the organisation
- Scope of the approval and its impact on aviation safety
- Need for specific experts (may include language needs)
- Any additional reason deemed necessary by EASA and justified by a specific situation

If the CSP uses additional staff or trainees for an audit, EASA must be informed in advance. In such cases any associated costs will be borne directly by the CSP and not by the applicant or EASA.

Trainee staff from EASA may participate in investigation teams at no direct cost to the applicant.

When the investigation is allocated to an CSP its ACO shall be the single point of contact for liaison with the Agency. The CSP shall follow all applicable provisions detailed in this procedure and Part-ARA. The CSP TITL will be responsible for complying with these procedures.



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5. Correspondence and focal points



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The "contact point notification" letter sent by EASA specifies the contact details of the recommending entity in charge of the technical investigation and recommendation **ATO Approval recommendation report (FO.FCTOA.00040)**. For any technical issue related to the approval the ATO shall contact the designated TITL.

For any administrative issue such as those related to fees and charges, invoices, the ATO shall directly contact EASA Application and Procurement department.

Any application for approval change will also have to be sent to EASA. The TITL could be copied in of the Form **"Application for a Part-ORA ATO Approval" (FO.FCTOA.00010)** by the ATO.

EASA will directly send the formal approval and related documents such as EASA Certificate Form 143 and continuation letter to the applicant.

An audit report could be produced at the time of completion of the audit. But in any case the formal notification of the findings must be sent by the TITL to the Organisation within a maximum of 15 calendar days from the end of the audit.

In case of potential Level "1" finding the TITL will liaise with EASA for confirmation of finding level.

When the finding is confirmed as a Level "1" non-compliance, the TITL will **NOT** transmit the audit report to the Organisation. However he/she will transmit a recommendation **ATO Approval recommendation report (FO.FCTOA.00040)** to the EASA FCLOA ACO. In this case, EASA will notify the finding(s) to the Organisation together with the decision against the approval.