



دستورالعمل های هواپیمایی کشوری
Civil Aviation Directives (CAD)

شیوه نامه ۵۱۰۱
CAD 5101

Flight Dispatcher licensing and organisation's requirements

گواهینامه دیسپچر پرواز و مراکز آموزش

سوابق تغييرات

تغييرات اين سند، بر روي سايت سازمان منتشر مي شود. دارندگان اين سند موظف هستند، از انطباق نسخه مورد استفاده خود با آخرين نسخه موجود بر روي سامانه قوانين و مقررات سازمان هواپيمائي كشوري اطمينان حاصل نمايند.

سوابق تغييرات

نوع تغيير	تاريخ تغيير	صفحات تاثير پذيرفته از تغيير
ويرايش ۰۱	شهريور ماه ۱۳۷۹	صدور اوليه
ويرايش ۰۲	مرداد ماه ۱۴۰۰	ويرايش كلي در مقررات جديد صدور يا تمديد گواهينامه ديسپچر و همچنين مراکز آموزشي ديسپچر

TABLE OF CONTENTS

<i>TABLE OF CONTENTS</i>	II
SUBJECT MATTER	2
CREDIT FOR TRAINING COMMENCED PRIOR TO THE APPLICATION OF THIS REGULATION	2
EXISTING FLIGHT DISPATCHER LICENCES	2
FLIGHT DISPATCHER TRAINING ORGANISATIONS	3
ENTRY INTO FORCE AND APPLICATION	3
FLIGHT OPERATIONS OFFICER/ FLIGHT DISPATCHER LICENSING	4
FDL.005 SCOPE	4
FDL.010 REQUIREMENTS	4
FDL.015 THEORETICAL KNOWLEDGE SYLLABUS	4
FDL.020 EXAMINATION AND PROGRESS TEST	5
FDL.025 SKILL TEST	6
FDL.030 QUALIFIED ASSESSOR	6
FDL.035 PRIVILEGES	6
FDL.040 VALIDITY	6
FDL.045 REVALIDATION AND RENEWAL	6
FDL.050 CONVERSION OF LICENSE	7
FDL.055 SUSPENSION AND REVOCATION OF THE FD LICENSE	7
ORGANISATION REQUIREMENTS	8
FDTO.100 SCOPE	8
FDTO.105 APPLICATION FOR AN ORGANISATION CERTIFICATE	8
FDTO.110 PRIVILEGES OF AN ORGANISATION	8
FDTO.115 CHANGES TO ORGANISATION	8
FDTO.120 CONTINUED VALIDITY	9
FDTO.125 ACCESS	9
FDTO.130 FINDINGS	9
FDTO.135 MANAGEMENT SYSTEM	9
FDTO.140 TRAINING PROGRAMME	10
FDTO.145 PERSONNEL REQUIREMENTS	10
FDTO.150 FACILITY REQUIREMENTS	10
FDTO.155 ORGANISATION'S MANAGEMENT SYSTEM DOCUMENTATION	11
AMC FDTO.155 ORGANISATION'S MANAGEMENT SYSTEM DOCUMENTATION	11
FDTO.160 RECORD-KEEPING	12
AMC FDTO.160 RECORD-KEEPING	12
FDTO.165 CREDITING	12
FDTO.170 DISTANCE LEARNING	13
AUTHORITY REQUIREMENTS FOR FLIGHT DISPATCHER LICENSE	14
AR.FDTO.200 OVERSIGHT	14
AR.FDTO.205 INITIAL CERTIFICATION PROCEDURE – ORGANISATIONS	14
AR.FDTO.210 PROCEDURE FOR ISSUE, REVALIDATION, RENEWAL OR CONVERT OF LICENCES – PERSONS	15
AR.FDTO.215 CHANGES – ORGANISATIONS	15
AR.FDTO.220 FINDINGS AND CORRECTIVE ACTIONS – ORGANISATIONS	15
AR.FDTO.225 FINDINGS AND ENFORCEMENT MEASURES – PERSONS	16

۱- کلیات

۱-۱- هدف

هدف از تدوین این شیوه نامه اینست که شرکت های هواپیمایی دیسپچرهای پرواز را، اعم از گواهینامه دار یا فاقد گواهینامه، مطابق با مفاد ضمیمه ۱ پیمان شیگاکو به کار گیرند تا کنترل عملیاتی هواپیماهای خود را به انجام برسانند. این فصل شامل الزامات دیسپچرهای پرواز از لحاظ دانش، تجربه، مهارت و محدودیت سنی می شود. این الزامات مطابق با مفاد انکس ۱ ایکائو می باشد.

قابل توجه است؛ سازمان هواپیمایی کشوری در این سند از لفظ دیسپچر پرواز (Flight Dispatcher) استفاده می کند و این لفظ همان معنایی را در بر دارد که عبارت «Flight Operation Officer» مورد استفاده ی ایکائو و دیگر مقررات است.

۱-۲- دامنه کاربرد

کاربرد این مقررات برای شرایط زیر است:

۱- شرایط صدور، حفظ، محدودیت، تعلیق یا لغو مجوزهای دیسپچر و همچنین امتیازات دارندگان مجوزهای دیسپچر؛

۲- شرایط صدور، نگهداری، اصلاح، محدودیت، تعلیق یا لغو گواهینامه های مراکز آموزشی دیسپچر؛

۱-۳- مسئولیت اجرا

مسئولیت اجرای این مقررات با شرکتهای هواپیمایی، مراکز آموزشی و دیسپچرها و مسئولیت حسن اجرای الزامات با دفتر گواهینامه های پرسنل هوانوردی می باشد.

۱-۴- انتشار، کنترل و توزیع سند

کنترل، انتشار و توزیع این شیوه نامه برعهده دفتر ارزیابی عملکرد و تضمین کیفیت بوده و از طریق "سامانه قوانین و مقررات" موجود در سایت سازمان به صورت طبقه بندی شده در اختیار ذینفعان سازمان قرار می گیرد.

۱-۵- تعاریف

FD: flight dispatcher

۱-۶- اسناد مرتبط

- مقررات عملیات پرواز (CAO IRI Regulation on Air Operations)
- با توجه به ویرایش کلی این شیوه نامه، شیوه نامه های CAD 5201 و CAD 5301 حذف می شوند.

Articles (Cover regulation)

Article 1

Subject matter

This Regulation lays down detailed rules for:

- 1) the conditions for issuing, maintaining, limiting, suspending or revoking flight dispatcher licenses, as well as the privileges of the holders of flight dispatcher licenses;
- 2) the conditions for issuing, maintaining, amending, limiting, suspending or revoking certificates of flight dispatcher training organisations;

Article 2

Credit for training commenced prior to the application of this Regulation

Training commenced prior to the application of this Regulation in accordance with CAD.5101 shall be given credit and Part-FDL licences may be issued:

- a) in compliance with the requirements of chapter A of this regulation; or
- b) theoretical knowledge examination and skill test conduct according to the requirements of this Regulation; and the requirements of FDL.010 (e) related to working experience at an ATO or AOC reduce to 80 hours.

Article 3

Existing flight dispatcher licences

Flight dispatcher licences issued by the CAO IRI before the applicability of this Regulation:

- a) Is valid 2 years after entry into force of this Regulation and after this period shall be converted into Part-FDL licences by the CAO.IRI according to FDL.050.
- b) Flight dispatcher instructor and examiner ratings issued by the CAO IRI before the applicability of this Regulation is repealed after entry into force of this Regulation

Article 4

Flight dispatcher training organisations

- 1) Flight dispatcher training organisations shall comply with the requirements and administrative procedures laid down in Part-AR.FDTO and Part-FDTO and shall be certified.
- 2) Flight dispatcher training organisations approval issued before the applicability of this regulation is revoke and shall be issued in compliance with this regulation.
- 3) Flight dispatcher training course approved by CAO IRI before the applicability of this regulation is acceptable for the purpose of issuing part-FDL licenses.

Article 5

Entry into force and application

This Regulation shall enter into force and shall apply from 15 Aug. 2021 and CAD.5201 and CAD.5301 are repealed.

Chapter A

Flight Operations Officer/ Flight Dispatcher Licensing

FDL.005 Scope

This Chapter establishes the requirements for application, issue and continuation of a Flight Dispatcher License.

FDL.010 Requirements

An applicant for a FD License shall:

- a) Have reached 21 years of age.
- b) Pass the theoretical knowledge examination organised by the ATO or CAO IRI before entry into force of this regulation.
- c) Have one of the following experience:
 - 1) A total of two years of service in any one or any combination of the capacities specified in 1) or 2) inclusive, provided that in any combination of experience the period serviced in any capacity shall be at least one year:
 - i. A flight crew member in CAT operation; or
 - ii. An air traffic controller; or
 - 2) at least one year an assistant in the dispatching of CAT operation.
- d) Instance of (c), the applicant can have satisfactorily completed a course in approved training organisation or approved course before entry into force of this regulation.
- e) working experience

The applicant shall have served under the supervision of a flight dispatcher for at least 90 working days at an AOC or ATO within the six months immediately preceding the application.

- f) Skill test

After completion of the experience and theoretical examination, the applicant shall take skill test within the six months immediately preceding the application.

FDL.015 Theoretical knowledge syllabus

- a) Applicants for a FD license **shall** have received a theoretical knowledge instruction at an ATO on the following subjects:
 - Air law,
 - Aircraft general knowledge,

- Flight performance and planning,
- Human performance including TEM,
- Meteorology,
- Navigation,
- Operational procedures,
- Principles of flight,
- Radio Communication;

b) The following tables contain the syllabi for the courses of theoretical knowledge, as well as for the theoretical knowledge examinations for the FD. An approved course shall comprise at least 230 hours of theoretical knowledge instruction:

Subject Number	Subjects of the Course	total
010	Air law	
011	Relevant regulations and ATC Procedures	18
012	Aeronautical information and publication	20
020	Aircraft General Knowledge	
022	Systems and Instrumentation; limitations & MEL	20
030	Flight Performance and Planning	
031	Mass and Balance	16
032	Performance	16
033	Flight Planning and Monitoring (Including computer assisted planning)	12
040	Human Performance including TEM;	16
050	Meteorology	40
060	Navigation	16
061	General Navigation	12
062	Radio Navigation	
070	Operational procedure	8
080	Principles of Flight	
081	Principles of Flight	16
090	Radio Communications	
091	VFR Communication	10
092	IFR Communications	10
	Total Duration:	230

FDL.020 Examination and Progress Test

- a) The applicant for the FD license shall pass the related theoretical knowledge examination held by flight dispatcher approve training organisation or by CAOIRI before entry into force of this regulation.
- b) Format of the examination is of the multi-choice type. Each multi-choice question shall have 3 or 4 alternative answers of which only one shall be the correct answer. The total time is based on the total number of questions and the time for answering is based upon a nominal average of 90 seconds per question.
- c) The examination shall be of the closed book type. No reference material is permitted.
- d) The number of questions shall be at least 1 question per 2 hour of instruction.

- e) Penalty marking (negative points for failed questions) is not to be used.
- f) End of module phase examinations can be used as part of the final examination, if they contain the correct number and level of questions required.
- g) (g) A pass in a theoretical knowledge examination paper will be awarded to an applicant achieving at least 75% of marks allocated.
- h) (h) Applicants who failed a theoretical knowledge examination or test shall be entitled to re-sit for a maximum of 2 attempts. The minimum duration between each attempt shall be of 5 working days.
- (i) The successful completion of the theoretical knowledge examinations will be valid for a period of 24 months for the issue of a FD license.

FDL.025 Skill Test

Flight dispatcher skill test shall be carried:

- 1) According FR.FDL.O11.
- 2) In actual flight dispatch environment in valid AOC holder or ATO.
- 3) By qualified assessor according FDL.030.

FDL.030 Qualified assessor

Assessors of flight dispatcher shall:

- 1) hold a valid flight dispatcher license issued by CAO IRI.
- 2) Have at least 5 years of experience as flight dispatcher at an AOC or ATO.
- 3) At time of assess, work as supervisor of flight control operation department/flight dispatching in AOC or ATO.

FDL.035 Privileges

Subject to compliance with the requirements specified in this regulation, the privileges of the holder of a flight dispatcher license shall be to serve in that capacity with responsibilities for each area for which the applicant meets the requirements of CAO IRI Air OPS.

FDL.040 Validity

Subject to compliance with the requirements specified in this regulation, the validity period of the FD license is 5 years.

FDL.045 Revalidation and Renewal

- a) Revalidation:

An applicant for the revalidation of FD license shall have exercised the related privileges for a total duration of at least 12 months during its validity period and passed skill test.

b) Renewal:

If the FD license has lapsed, the applicant shall have served under the supervision of a flight dispatcher for at least 30 working days at an AOC or ATO and passed skill test.

FDL.050 conversion of license

- a) Flight dispatcher licenses issued before entry into force of this regulation valid until 2 years after that time.
- b) Applicant for conversion of flight dispatcher license issued by CAO IRI to new dispatcher license according this regulation shall have:
 - 1) At least 12 month work experienced as flight dispatcher in AOC or ATO; or
 - 2) Passed skill test.

FDL.055 Suspension and revocation of the FD license

- a) If it is found at any stage that the holder of FD license does not comply with the requirements of this regulation, his/her license may be suspended or revoked by CAO IRI.
- b) In case of suspension or revocation of the FD license by CAO IRI, the holder shall:
 - 1) Be informed in writing of this decision, and of his/her right of appeal in accordance with CAO IRI procedures;
 - 2) Return his/her FD license to CAO IRI.

Chapter B

Organisation Requirements

FDTO.100 Scope

This Chapter establishes the organisation requirements for the approval of the flight dispatcher training organisation.

FDTO.105 Application for an organisation certificate

- a) The application for an organisation certificate or an amendment to an existing certificate shall be made in a form FR-FDTO-12, taking into account the applicable requirements.
- b) Applicants for an initial certificate shall provide CAO IRI with documentation demonstrating how they will comply with the requirements. Such documentation shall include a procedure describing how changes not requiring prior approval will be managed and notified to CAO IRI.

FDTO.110 Privileges of an organisation

- a) Privilege of flight dispatcher training organisation is only for theoretical training and examination for granting flight dispatcher license.
- b) A certified organisation shall comply with the scope and privileges defined in organisation's certificate.
- c) The management system documentation should contain the privileges and detailed scope of activities for which the organisation is certified, as relevant to the applicable requirements. The scope of activities defined in the management system documentation should be consistent with the terms of approval.

FDTO.115 Changes to Organisation

- a) Any change affecting:
 - 1) the scope of the certificate or the terms of approval of an organisation; or (2) any of the elements of the organisation's management system as required in FDTO.135(a)(1), shall require prior approval by CAO IRI.
 - 2) (b) For any changes requiring prior approval in accordance with requirements, the organisation shall apply for and obtain an approval issued by CAO IRI. The application shall be submitted before any such change takes place, in order to enable CAO IRI to determine continued compliance with requirements and to amend, if necessary, the organisation certificate and related terms of approval attached to it. The organisation shall provide CAO IRI with any relevant documentation. The change shall only be implemented upon receipt of formal approval by CAO IRI. The organisation shall operate under the conditions prescribed by CAO IRI during such changes, as applicable.

- 3) All changes not requiring prior approval shall be managed and notified to the CAO IRI as defined in the procedure approved by the CAO IRI.

FDTO.120 Continued validity

- a) The organisation's certificate shall remain valid subject to:
- 1) The organisation remaining in compliance with the relevant requirements, taking into account the provisions related to the handling of findings as specified under FDTO.130;and
 - 2) The certificate not being surrendered or revoked.
- b) Upon revocation or surrender the certificate shall be returned to the CAO.IRI without delay.

FDTO.125 Access

For the purpose of determining compliance with the relevant requirements the organisation shall grant access to any facility, document, records, data, procedures or any other material relevant to its activity subject to certification, whether it is contracted or not, to any person authorised by CAO IRI.

FDTO.130 Findings

After receipt of notification of findings, the organisation shall:

- a) identify the root cause of the non-compliance;
- b) define a corrective action plan; and
- c) demonstrate corrective action implementation to the satisfaction of CAO IRI within a period agreed as defined in ARA.FDTO.220 (d).

FDTO.135 Management system

- a) The organisation shall establish, implement and maintain a management system that includes:
- 1) clearly defined lines of responsibility and accountability throughout the organisation, including a direct accountability of the accountable manager;
 - 2) maintaining personnel trained and competent to perform their tasks;
 - 3) documentation of all management system key processes, including a process for making personnel aware of their responsibilities and the procedure for amending this documentation;
 - 4) a function to monitor compliance of the organisation with the relevant requirements. Compliance monitoring shall include a feedback system of findings to the accountable manager to ensure effective implementation of corrective actions as necessary; and

- 5) any additional requirements that are prescribed in the relevant subparts of this Part or other applicable Parts.
- b) The organisation shall ensure that the conduct, the syllabi and associated programme of the training courses comply with the relevant requirements of this regulation

FDTO.140 Training programme

- a) The training programme shall include a theoretical knowledge instruction, presented in a week-by-week, a list of standard exercises and a syllabus summary.
- b) The content and sequence of the training programme shall be specified in the training manual.

FDTO.145 Personnel requirements

- a) The organisation shall appoint an accountable manager, who has the authority for ensuring that all activities can be financed and carried out in accordance with the applicable requirements.
- b) A person or group of persons shall be nominated by the organisation, with the responsibility of ensuring that the organisation remains in compliance with the applicable requirements. Such person(s) shall be ultimately responsible to the accountable manager.
- c) The organisation shall have sufficient qualified personnel for the planned tasks;
- d) The organisation shall maintain appropriate experience, qualification and training records to show compliance with paragraph (c) & (f).
- e) The organisation shall ensure that all personnel are aware of the rules and procedures relevant to the exercise of their duties.
- f) The organisation shall have appointed:
- 1) A training manager who ensures compliance of the approved FD training course with the requirements of this regulation.
 - 2) An examination manager who ensures the compliance of the examination with the requirements of this regulation.
 - 3) Sufficient theoretical knowledge instructors who have the theoretical background in the subjects they are about to instruct and have undergone the instruction techniques course.
 - 4) Sufficient qualified instructors.

FDTO.150 Facility requirements

- a) The organisation shall have facilities allowing the performance and management of all planned tasks and activities in accordance with the applicable requirements.
- b) the following facilities for instruction shall be available:

- 1) adequate classroom accommodation for the current student population;
- 2) suitable equipment to support the practical training and theoretical knowledge instruction;
- 3) a reference library containing publications giving coverage of the syllabus;
- 4) offices for the instructional personnel.

FDTO.155 Organisation's Management System Documentation

- a) The organisation's management system documentation shall at least include the following information:
 - 1) a statement signed by the accountable manager to confirm that the organisation will continuously work in accordance with the applicable requirements and the organisation's documentation as required by this regulation;
 - 2) the organisation's scope of activities;
 - 3) the titles and names of persons referred to in FDTO. 145 (a) and (b);
 - 4) an organisation chart showing the lines of responsibility between the persons referred to in FDTO. 145;
 - 5) a general description and location of the facilities referred to in FDTO.150;
 - 6) procedures specifying how the organisation ensures compliance with the applicable requirements;
 - 7) the amendment procedure for the organisation's management system documentation;
 - 8) examination procedure;
- b) The organisation's management system documentation may be included in a separate manual or in (one of) the manual(s) as required by the applicable Subpart(s). A cross reference should be included.

AMC FDTO.155 Organisation's Management System Documentation

Examination Procedure

The training organisation shall establish examination procedure in accordance with standard agreed by CAO IRI that at least including following:

- 1) Procedure for theoretical knowledge examination;
- 2) Rules and procedure of security of question bank and records of examination;
- 3) Procedures for examination paper preparation, type of question and assessment, standard required for "pass";
- 4) Procedure for question analysis and review and for raising replacement papers;
- 5) Examination re-sit procedure;

- 6) Examination validity period;
- 7) Procedure for ensuring being free from conflict of interest for examiner(s) and examiner(s) authorisation procedure for conducting exam

FDTO.160 Record-keeping

- a) The organisation shall establish a system of record keeping that allows adequate storage and reliable traceability of all activities developed, covering in particular all the elements indicated in this Part.
- b) The format of the records shall be specified in the organisation's procedures.
- c) Records shall be stored in a manner that ensures protection from damage, alteration and theft.

AMC FDTO.160 Record-keeping

- a) The record-keeping system should ensure that all records are accessible whenever needed within a reasonable time. These records should be organised in a way that ensures traceability and retrievability throughout the required retention period.
- b) Records should be kept in paper form or in electronic format or a combination of both. Records stored on microfilm or optical disc format are also acceptable. The records should remain legible throughout the required retention period. The retention period starts when the record has been created or last amended.
- c) Paper systems should use robust material which can withstand normal handling and filing. Computer systems should have at least one backup system which should be updated within 24 hours of any new entry. Computer systems should include safeguards against the ability of unauthorised personnel to alter the data.
- d) All computer hardware used to ensure data backup should be stored in a different location from that containing the working data and in an environment that ensures they remain in good condition. When hardware or software changes take place, special care should be taken that all necessary data continues to be accessible at least through the full period specified in the relevant Subpart. In the absence of such indication, all records should be kept for a minimum period of 5 years.

FDTO.165 Crediting

- 1) The training organisation may credit training syllabus subjects of point FDL.015 that passed by applicant within 5 years preceding of request from other organisation.
- 2) The training organisation may approved request for transferring from origin training organisation by submitting details of training records.

FDTO.170 Distance Learning

The theoretical part of the flight dispatcher training course can be done via distance learning, provided that the organisation is approved for such training course by CAO IRI and ensures the following requirements:

- 1) The software used for this purpose shall be able to keep sufficient and secure records regarding attendance of the students, including training session's screen recording and different reliable methods for the student's identification such as: webcam checks, security questions and instructor assessment, which ensure the presence of them in the classroom at all times.
- 2) The software should be safeguarded against temperment of the records mentioned in (1).
- 3) Direct and full access to all the related parts of the software should be granted to CAO IRI at any stage of training.
- 4) At least 10 percent of each subject of the training course shall be classroom instruction.
- 5) All of the above mentioned requirements shall be approved by CAO IRI before the commencement of the course.

Chapter C

Authority Requirements for Flight Dispatcher License

AR.FDTO.200 Oversight

- a) The CAO IRI shall verify:
 - 1) compliance with the requirements applicable to organisations or persons prior to the issue of an organisation certificate or personnel licence, as applicable;
 - 2) continued compliance with the applicable requirements of organisations it has approved;
- b) This verification shall:
 - 1) be supported by documentation specifically intended to provide personnel responsible for safety oversight with guidance to perform their functions;
 - 2) provide the persons and organisations concerned with the results of safety oversight activity;
 - 3) be based on audits and inspections, including unannounced inspections; and
 - 4) provide the CAO IRI with the evidence needed in case further action is required, including the measures foreseen by AR.FDTO.220 and AR.FDTO.225.
- c) The scope of oversight defined in (a) and (b) shall take into account the results of past oversight activities and the safety priorities.

AR.FDTO.205 Initial certification procedure – organisations

- a) Upon receiving an application for the initial issue of a certificate for an organisation, the CAO IRI shall verify the organisation's compliance with the applicable requirements.
- b) When satisfied that the organisation is in compliance with the applicable requirements, the CAO IRI shall issue the approval with the format it has established.

The certificate(s) shall be issued for an unlimited duration. The privileges and scope of the activities that the organisation is approved to conduct shall be specified in the terms of approval attached to the certificate(s).

- c) To enable an organisation to implement changes without prior CAO IRI approval in accordance with FDTO.115, the CAO IRI shall approve the procedure submitted by the organisation defining the scope of such changes and describing how such changes will be managed and notified.

AR.FDTO.210 Procedure for issue, revalidation, renewal or convert of licences – persons

- a) Upon receiving an application for the issue, revalidation, renewal or convert and any supporting documentation, the CAO IRI shall verify whether the applicant meets the applicable requirements.
- b) When satisfied that the applicant meets the applicable requirements, the CAO IRI shall issue, revalidate, renew or convert flight dispatcher license.

AR.FDTO.215 Changes – organisations

- a) Upon receiving an application for a change that requires prior approval, the CAO IRI shall verify the organisation's compliance with the applicable requirements before issuing the approval.

The CAO IRI shall prescribe the conditions under which the organisation may operate during the change, unless the CAO IRI determines that the organisation's certificate needs to be suspended.

When satisfied that the organisation is in compliance with the applicable requirements, the CAO IRI shall approve the change.

- b) For changes not requiring prior approval, the CAO IRI shall assess the information provided in the notification sent by the organisation in accordance with FDTO.115 to verify compliance with the applicable requirements. In case of any non-compliance, the CAO IRI shall:
 - 1) notify the organisation about the non-compliance and request further changes; and
 - 2) in case of level 1 or level 2 findings, act in accordance with AR.FDTO. 220.

AR.FDTO.220 Findings and corrective actions – organisations

- a) The CAO IRI for oversight in accordance with ARA.FDTO.215 (a) shall have a system to analyse findings for their safety significance.
- b) A level 1 finding shall be issued by the CAO IRI. The level 1 finding is one or more of the following:
 - 1) failure to give the CAO IRI access to the organisation's facilities as defined in FDTO.125 during normal operating hours and after two written requests;
 - 2) obtaining or maintaining the validity of the organisation certificate by falsification of submitted documentary evidence;
 - 3) evidence of malpractice or fraudulent use of the organisation certificate; and
 - (4) the lack of an accountable manager.

- 4) Any significant non-compliance with the examination process which would invalidate the examination(s),
 - 5) A significant non-compliance with the training process.
- c) A level 2 finding is any non-compliance with the training process other than level 1 finding.
- d) When a finding is detected during oversight or by any other means, the CAO IRI shall, communicate the finding to the organisation in writing and request corrective action to address the non-compliance(s) identified. Where relevant, the CAO IRI shall inform the State in which the aircraft is registered.
- 1) In the case of level 1 findings the CAO IRI shall suspend, revoke or limit the certificate whole or in part, depending upon the extent of the level 1 finding, until successful corrective action has been taken by the organisation.
 - 2) In the case of level 2 findings, the CAO IRI shall:
 - i. grant the organisation a corrective action implementation period appropriate to the nature of the finding that in any case initially shall not be more than 3 months.

At the end of this period, and subject to the nature of the finding, the CAO IRI may extend the 3-month period subject to a satisfactory corrective action plan agreed by the CAO IRI; and

- ii. assess the corrective action and implementation plan proposed by the organisation and, if the assessment concludes that they are sufficient to address the non-compliance(s), accept these.
- 3) Where an organisation fails to submit an acceptable corrective action plan, or to perform the corrective action within the time period accepted or extended by the CAO IRI, the finding shall be raised to a level 1 finding and action taken as laid down in(d)(1).
- 4) The CAO IRI shall record all findings it has raised or that have been communicated to it and, where applicable, the enforcement measures it has applied, as well as all corrective actions and date of action closure for findings.

AR.FDTO.225 Findings and enforcement measures – persons

- a) If, during oversight or by any other means, evidence is found by the CAO IRI responsible for oversight in accordance with AR.FDTO. 200(a) that shows a non-compliance with the applicable requirements by a person holding a licence, issued in accordance with this regulation, the CAO IRI shall raise a finding, record it and communicate it in writing to the licence holder.
- b) When such finding is raised, the CAO IRI shall carry out an investigation. If the finding is confirmed, it shall:
 - 1) limit, suspend or revoke the licence when a safety issue has been identified; and

- 2) take any further enforcement measures necessary to prevent the continuation of the non-compliance.
- c) If, during oversight or by any other means, evidence is found showing a non-compliance with the applicable requirements by a person subject to the requirements laid down in this regulation, the CAO IRI shall take any enforcement measures necessary to prevent the continuation of that non-compliance.