U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

National Policy

ORDER NUMBER 3000.57

Effective Date:
07/16/2009

SUBJ: Air Traffic Organization Technical Operations Training and Personnel Certification Programs

---

This order establishes the procedures and assigns responsibility for the administration of the Air Traffic Organization (ATO) Technical Operations Training and Personnel Certification Programs. General guidance is provided for the management, planning, conduct and evaluation of the Technical Operations Training and Personnel Certification Programs. This order ensures that personnel responsible for the establishment, installation, maintenance, second-level support, and certification of facilities used in the National Airspace System (NAS) are proficient in performing assigned duties.

Certification of NAS systems and services is an inherently governmental function. Through the Technical Operations Training and Personnel Certification Program, the Federal Aviation Administration (FAA) grants certification to individuals who have attained a professional level, and are responsible for the operation and performance of NAS facilities. The personnel certification process is a confirmation that the individual possesses the requisite knowledge and skills to assume full responsibility for attesting to the operational status of a particular system, subsystem, or service. This level of achievement is demonstrated by acquisition of certification authority as defined in this order.

Original Signed by

Shawn Clark
Vice President, Technical Training

Distribution: A-W(AF)-2; A-Y(ML/MA)-3; A-X(AF)-3; A-FAF-0(MAX) Initiated By: AJL-0

Table of Contents

Chapter 1. General 1-1
1-1. Purpose of This Order. 1-1
1-2. Audience.. 1-1
1-3. Where This Order Can Be Found 1-1
1-4. Cancellation 1-1
1-5. Authority to Change This Order 1-1
1-6. Aviation Safety, Air Traffic Safety Oversight of This Order 1-1
1-7. Order Hierarchy 1-2
1-8. Scope 1-2
1-9. Explanation of Policy Changes 1-2
1-10. Related Publications 1-6
Chapter 2. Program Administration Roles and Responsibilities 2-1
2-1. General 2-1
2-2. FAA Technical Operations Training and Development Group 2-1
2-3. Service Units 2-3
2-4. Academy Technical Operations Training Division 2-3
2-5. Service Centers 2-5
2-6. Service Area Program Operations Group (POG) 2-5
2-7. District/Operations Control Center (OCC) 2-6
2-8. Other Organizations 2-7
2-9. First-Level Manager 2-8
2-10. Employees. 2-8
Chapter 3. Training Administration 3-1
3-1. General 3-1
3-2. Types of Training 3-1
3-3. Training Development and Revision. 3-2
3-4. Out-of-Agency Training (OAT) 3-2
3-5. Types of Examinations 3-2
3-6. Validations and Updating of Examinations 3-5
3-7. Training and Examination Item Numbers 3-5
3-8. Security of Examinations 3-5
3-9. Training and Certification Information Resources 3-6
3-10. Funding 3-6
3-11. Eligibility to Attend Training 3-8
3-12. Training Needs Assessment (TNA) 3-8
3-13. Training Selection and Approval 3-9
3-14. Use of Official Duty Time for Training 3-10
3-15. Training Environment 3-10
3-16. Prerequisites, Equivalencies, and Waivers 3-10
3-17. Training Plan 3-13
3-18. Agreement to Continue in Service 3-14
3-19. Non-Contiguous Training Assignment 3-14
3-20. Enrollment/Ordering Procedures and Requirements 3-15
3-21. Pre-Training Notification 3-16

3-22. Conduct During Training 3-17
3-23. Personal Problems While in Training Status 3-18
3-24. Leave While in a Training Status 3-18
3-25. Minimum Attendance Requirements 3-18
3-26. Departure Before Course Completion 3-19
3-27. End-of-Course Evaluations 3-19
3-28. Satisfactory Training or Examination Completion 3-19
3-29. Failure to Successfully Complete Assigned Training or Examinations 3-20
3-30. Written Formal Programs 3-21
3-31. Completions for Training Not Having a Federal Aviation Administration (FAA) Course Number 3-23
3-32. Learning Histories in electronic Learning Management System (eLMS) 3-23
3-33. Instructor Qualifications 3-23
3-34. Proctor and Performance/DoP Examiner Requisites and/or Responsibilities 3-24
3-35. Quota Management 3-27
3-36. National Call for Training 3-28
Chapter 4. On-the-Job Training (OJT), Enhanced Hands-On Training (EHOT), and Demonstration of Proficiency (DoP) Administration 4-1
4-1. General 4-1
4-2. On-the-Job Training (OJT) 4-1
4-3. Locally Developed On-the-Job Training (OJT) 4-2
4-4. Implementation of On-the-Job Training (OJT) 4-3
4-5. Enhanced Hands-On Training (EHOT) 4-5
4-6. Demonstration of Proficiency (DoP) 4-6
Chapter 5. Personnel Certification Authority 5-1
5-1. Personnel Certification Process 5-1
5-2. Sources for Certification Authority Requirements 5-1
5-3. Use of Certification Authority in Other Federal Aviation Administration (FAA) Programs. 5-1
5-4. Documentation of Certification Authority 5-1
5-5. Individuals Requiring Certification Authority 5-3
5-6. Certification Authority Acquisitions 5-3
5-7. Certification Authority Types 5-5
5-8. Granting of Certification Authority in Emergencies 5-6
5-9. Converting Former Interim Certification Authorities 5-6
5-10. Establishment of Certification Authority for New Systems 5-6
5-11. Review of Certification Authority. 5-7
5-12. Certification Authority Inactivity 5-7
5-13. Change in Inactive Certification Authority Status. 5-8
5-14. Revocation of Certification Authority 5-9
5-15. Impact of Changes to Existing Certification Authorities 5-10
5-16. Modernizations and/or Equipment Replacement 5-10
5-17. Certification Authority Review Program 5-11
5-18. Test and Training Systems Used in the National Airspace System (NAS) During Emergencies 5-11
Chapter 6. Files, Forms, and Records 6-1

6-1. General 6-1
6-2. Forms Description and Use 6-1
6-3. Training File for Records Not in electronic Learning Management System (eLMS) .. 6-3
6-4. Official Certification Record File (OCRF) 6-4
6-5. Transfer and Retention of Training Files/Official Certification Record Files (OCRFs) 6-5
6-6. Form and Record Correction Procedures 6-5
6-7. Corrections to Federal Aviation Administration (FAA) Form 3400-3 6-5
6-8. Computer Security, Privacy, and Freedom of Information Act 6-6
6-9. Automation of Records 6-6
Chapter 7. Verification of Personnel Maintaining Non-Federal Facilities 7-1
7-1. General 7-1
7-2. Responsibility for Non-Federal Facilities 7-1
7-3. Non-Federal Use of Federal Aviation Administration (FAA) Theory-of-Operations Courses/Bypass Examinations and Performance Examinations 7-1
7-4. Training and Examination Requirements for Verification of Personnel Maintaining Non-Federal Facilities 7-1
7-5. Effective Verification Date of Personnel Maintaining Non-Federal Facilities 7-3
7-6. Verification Responsibilities, Process, and Records 7-4
7-7. Training for Non-Federal Personnel 7-5
Appendix 1. Listing of Forms and Examples ..... Appendix 1-1
Figure 1-1. Instructions for Preparing FAA Form 3000-14, Technical Operations Training Plan ..... Appendix 1-2
Figure 1-2. Sample FAA Form 3000-14, Technical Operations Training Plan Populated, Screen in Requirements Identification Tool (RIT) ..... Appendix 1-3
Figure 1-3. FAA Form 3000-14, Technical Operations Training Plan ..... Appendix 1-4
Figure 1-4. FAA Form 3000-14, Technical Operations Training Plan Printed .... Appendix 1-5
Figure 1-5. Instructions for Preparing FAA Form 3000-20, Air Traffic Organization Group Training Needs Assessment (TNA) Form ..... Appendix 1-6
Figure 1-6. FAA Form 3000-20, Air Traffic Organization Group Training Needs Assessment (TNA) Form ..... Appendix 1-7
Figure 1-7. Sample FAA Form 3000-20, Air Traffic Organization Group Training Needs Assessment (TNA) Form ..... Appendix 1-8
Figure 1-8. Instructions for Preparing FAA Form 3000-22, Air Traffic Organization Individual Training Needs Assessment (TNA) Form ..... Appendix 1-9
Figure 1-9. FAA Form 3000-22, Air Traffic Organization Individual Training Needs Assessment (TNA) Form ..... Appendix 1-10
Figure 1-10. Sample FAA Form 3000-22, Air Traffic Organization Individual Training Needs Assessment (TNA) Form ..... Appendix 1-11
Figure 1-11. Instructions for Preparing FAA Form 3000-21, Operational Necessity Waiver ..... Appendix 1-12
Figure 1-12. FAA Form 3000-21, Operational Necessity Waiver ..... Appendix 1-13
Figure 1-13. Sample FAA Form 3000-21, Operational Necessity Waiver ..... Appendix 1-14
Figure 1-14. Instructions for Preparing FAA Form 3000-23, Training Equivalency Request ..... Appendix 1-15
Figure 1-15. FAA Form 3000-23, Training Equivalency Request ..... Appendix 1-16

Figure 1-16. Sample FAA Form 3000-23, Training Equivalency Request ..... Appendix 1-17
Figure 1-17. Instructions for Preparing FAA Form 3000-25, Pre-Training Notification Form..... Appendix 1-18
Figure 1-18. FAA Form 3000-25, Pre-Training Notification Form ..... Appendix 1-19
Figure 1-19. Sample FAA Form 3000-25, Pre-Training Notification Form from Quota Management Tool (QMT) ..... Appendix 1-20
Figure 1-20. Sample FAA Form 3000-25, Pre-Training Notification Form Manual Entry ..... Appendix 1-22
Figure 1-21. Instructions for Preparing FAA Form 3400-3, Technical Operations Personnel Certification/Verification Authority Record ..... Appendix 1-23
Figure 1-22. Certification Tracking System (CTS) Certification Data Entry Screen – Regular Authority..... Appendix 1-27
Figure 1-23. Certification Tracking System (CTS) Certification Data Entry Screen – Multiple Theory, On-the-Job Training (OJT) and Performance Exam Requirements ..... Appendix 1-28
Figure 1-24. Certification Tracking System (CTS) Certification Data Entry Screen – Multiple Equipment, Informal Theory – Temporary ..... Appendix 1-29
Figure 1-25. Certification Tracking System (CTS) Certification Data Entry Screen – Informal Theory Satisfied by Another Course, electronic Learning Management System (eLMS) Numbers for Locally Developed On-the-Job Training (OJT) and Performance Exam (PE) ..... Appendix 1-30
Figure 1-26. Certification Tracking System (CTS) Certification Data Entry Screen – Temporary Authority ..... Appendix 1-31
Figure 1-27. Certification Tracking System (CTS) Certification Data Entry Screen – Enhanced Hands-On Training (EHOT)/Demonstration of Proficiency (DoP) ..... Appendix 1-32
Figure 1-28. Certification Tracking System (CTS) Certification Data Entry Screen – Capture Effect Glideslope (CEGS); Two of Each for Theory, On-the-Job Training (OJT), and Performance Exam (PE) ..... Appendix 1-33
Figure 1-29. Certification Tracking System (CTS) Certification Data Entry Screen – Interim Conversion ..... Appendix 1-34
Figure 1-30. Certification Tracking System (CTS) Certification Data Entry Screen – Service Certification Based on a System Certification..... Appendix 1-35
Figure 1-31. Certification Tracking System (CTS) Certification Data Entry Screen – Annual Review..... Appendix 1-36
Figure 1-32. Sample FAA Form 3400-3, Technical Operations Personnel Certification/Verification Authority Record..... Appendix 1-37
Figure 1-33. Instructions for Preparing FAA Form 3400-15, Performance Examination Cover Sheet ..... Appendix 1-44
Figure 1-34. Certification Tracking System (CTS) 3400-15 Data Entry Screen..... Appendix 1-46
Figure 1-35. Sample FAA Form 3400-15, Performance Examination Cover Sheet (Example for National Performance Exam)..... Appendix 1-47
Figure 1-36. Sample FAA Form 3400-15, Performance Exam Cover Sheet (Example for Locally Developed Performance Exam)..... Appendix 1-48

Figure 1-37. Instructions for Preparing FAA Form 3400-16, On-The-Job Training (OJT) Progress Form for Certifiable Systems ..... Appendix 1-50
Figure 1-38. Certification Tracking System (CTS) 3400-16 Data Entry Screen ..... Appendix 1-52
Figure 1-39. Certification Tracking System (CTS) 3400-16 Data Entry Screen – To Print ..... Appendix 1-53
Figure 1-40. Sample On-the-Job Training (OJT) Progress Form for Certifiable Systems (For National On-the-Job Training [OJT]) ..... Appendix 1-56
Figure 1-41. Sample On-the-Job Training (OJT) Progress Form for Certifiable Systems (For Locally Developed On-the-Job Training [OJT]) ..... Appendix 1-57
Figure 1-42. Instructions for Locally Developed On-the-Job Training (OJT) Course ..... Appendix 1-58
Figure 1-43. Sample Locally Developed On-the-Job Training (OJT) Course.... Appendix 1-59
Appendix 2. Examples of Work Practices ..... Appendix 2-1
Appendix 3. Non-Federal Personnel Verification Program ..... Appendix 3-1
Figure 3-1. Listing of Equivalent Theory-of-Operations Courses for Federal Communications Commission (FCC) Licenses and Endorsements ..... Appendix 3-1
Figure 3-2. Listing of FAA-Approved Factory-Conducted Training Courses .... Appendix 3-1
Figure 3-3. Verification Examinations for Non-Federal Facilities ..... Appendix 3-1
Figure 3-4. Previous Verification Examinations for Non-Federal Facilities ..... Appendix 3-1
Appendix 4. Instructional Hours for On-the-Job Training (OJT) ..... Appendix 4-1
Appendix 5. Air Traffic Organization (ATO) Personnel Certification Requirements ..... Appendix 5-1
Figure 5-1. Air Traffic Organization (ATO) Personnel Certification Requirements ..... Appendix 5-1
Figure 5-2. Monthly Appendix 5 Figure 1 Updates List ..... Appendix 5-1
Figure 5-3. Previous Month's Listings of Appendix 5 Figure 5-1. ..... Appendix 5-1
Figure 5-4. Air Traffic Organization (ATO) Personnel Certification Requirements (Examples) ..... Appendix 5-1
Appendix 6. Instructions for Accessing the FAA Information Superhighway for Training (FIST); Comprehensive Management Resource Information System (CMRIS); and electronic Learning Management System (eLMS) ..... Appendix 6-1
Appendix 7. Record of Changes to Appendices 3 through 5 ..... Appendix 7-1
Appendix 8. Instructions to the Performance Examiner ..... Appendix 8-1
Appendix 9. Call for Training ..... Appendix 9-1
Appendix 10. Quota Management Process ..... Appendix 10-1
Figure 10 -1. Requirements Determination ..... Appendix 10-1
Figure 10-2. Ongoing Call for Training ..... Appendix 10-1
Figure 10-3. Enrollment and Completion Process ..... Appendix 10-2
Figure 10-4. Placeholders ..... Appendix 10-2
Figure 10-5. Overlaps, Consecutive, or Non-Contiguous Training ..... Appendix 10-4
Figure 10-6. Non-Contiguous Training Cost Comparison Worksheet ..... Appendix 10-8
Figure 10-7. Enrollment Validation ..... Appendix 10-9
Figure 10-8. Re-enrollments/Retraining ..... Appendix 10-9
Figure 10-9. Waiver of Prerequisite(s) ..... Appendix 10-10

Figure 10-10. Enrollment Outputs ..... Appendix 10-12
Figure 10-11. No-Show ..... Appendix 10-12
Figure 10-12. Recording of the Learning Event ..... Appendix 10-12
Figure 10-13. Quota Movements ..... Appendix 10-14
Figure 10-14. Movement of Quota (Attrition Training) to Different Cost Center (Release) ..... Appendix 10-16
Figure 10-15. Scheduled Offering Changes and Cancellations ..... Appendix 10-18
Figure 10-16. New Equipment Quota – Increase and Decrease of Quota at a National Level ..... Appendix 10-20
Figure 10-17. Emergency Quota Request ..... Appendix 10-22
Figure 10-18. Decrease of Quota ..... Appendix 10-24
Figure 10-19. Non-Utilized Quota ..... Appendix 10-24
Appendix 11. Academy Enrollment Process ..... Appendix 11-1
Figure 11-1. Skillsoft Enrollment ..... Appendix 11-1
Figure 11-2. Performance Examination Enrollment ..... Appendix 11-2
Figure 11-3. Theory-of-Operations Bypass Examination Enrollment ..... Appendix 11-3
Figure 11-4. Distance Learning Enrollment ..... Appendix 11-4
Figure 11-5. Resident Training Enrollment ..... Appendix 11-5
Figure 11-6. Out-of-Agency Training (OAT) Enrollment ..... Appendix 11-6
Appendix 12. Entering Completions in electronic Learning Management System (eLMS) ..... Appendix 12-1
Appendix 13. Established Equivalency Listing and Process ..... Appendix 13-1
Figure 13-1. Listing of Equivalencies for Military and Other Training ..... Appendix 13-1
Figure 13-2. Instructions for Submitting an Equivalency Request for Courses Listed on the Equivalency Crosswalk Table ..... Appendix 13-1
Figure 13-3. Instructions for Submitting an Equivalency Request to the Academy ..... Appendix 13-1
Figure 13-4. Proposed New Equivalency Request Process ..... Appendix 13-2
Appendix 14. FAA Technical Operations Course Development Process ..... Appendix 14-1
Figure 14-1. Instructions for Preparing FAA Curriculum Modernization System (CMS) Training Initiative Request (TIR) ..... Appendix 14-1
Figure 14-2. Training Initiative Request (TIR) ..... Appendix 14-9
Appendix 15. Certification Tracking System (CTS) Review Process ..... Appendix 15-1
Appendix 16. Collegiate Training Initiative (CTI) Program ..... Appendix 16-1
Appendix 17. Item Identifications (IDs) – Numbering Scheme ..... Appendix 17-1
Appendix 18. Acronyms ..... Appendix 18-1
Appendix 19. Definitions ..... Appendix 19-1
Appendix 20. Websites and Related Publications ..... Appendix 20-1

Chapter 1. General

1-1. Purpose of This Order. This order specifies the procedures and policies necessary to implement and sustain uniform national Technical Operations Training and Personnel Certification Programs. Agency-sponsored training assigned to the employee must be restricted to the development of specialized skills, knowledge, and abilities necessary for the performance of his/her official duties. The guidance provided herein is in accordance with FAA Order 3000.22, Air Traffic Service Training. These functions were previously contained in three separate documents: Federal Aviation Administration (FAA) Order 3000.10, Airway Facilities Technical Training Program, FAA Order 3400.3H, Airway Facilities Maintenance Personnel Certification Program, and Notice 3400.40, Use of Certification Tracking System (CTS) With Inactive Certification Status. They have been combined in this document to simplify the administration of the policy.

1-2. Audience. This order applies to all personnel involved in Technical Operations training and certification in the Air Traffic Organization (ATO); the FAA Logistics Center; the FAA Academy; and the FAA Technical Center. It is primarily concerned with technical specialists maintaining the National Airspace System (NAS), but has facets for all personnel involved in the purchase, development, delivery, and revision of Technical Operations training. The Technical Operations Training and Personnel Certification Programs only apply to FAA and non-Federal technical specialists working on the NAS.

1-3. Where This Order Can Be Found. You can find this order at http://employees.faa.gov.

1-4. Cancellation. FAA Orders 3000.10B, Airway Facilities Maintenance Technical Operations Training Program and 3400.3H, Airway Facilities Maintenance Personnel Certification Program and Notice NJO3400.40, Use of Certification Tracking System (CTS) With Inactive Certification Status are all cancelled. National Airway Facilities Training Division memorandums applicable to the ATO Technical Operations Training and Personnel Certification Programs, dated prior to this order, are also cancelled.

1-5. Authority to Change This Order. The Vice President of Technical Training (AJL-0) has the authority to approve changes and revisions to this order. The Technical Operations Training and Development Group (referred to throughout the order as Tech Ops Training and Dev Group) may cancel and replace procedural appendix changes that are essential to administer the functions of its areas of responsibility. Some appendices exist within nationally approved software and are updated on a periodic basis.

1-6. Aviation Safety, Air Traffic Safety Oversight of This Order. The Aviation Safety, Air Traffic Safety Oversight (AOV) has been given acceptance authority over FAA Orders 3000.10 and 3400.4 in accordance with FAA Order 8000.90, AOV Credentialing and Control Tower Operator Certification Programs, paragraphs 6-2i and 6-3d. FAA Order 3000.57, Air Traffic Organization Technical Operations Training and Personnel Certification Programs, has replaced the orders that require Aviation Safety acceptance. After any changes to this basic order, not including changes to the appendices, are made and implemented they must be submitted through ATO Safety Services (AJS-0) to AOV for acceptance. In addition, any change to the Technical

Operations Training and Personnel Certification Programs requires a full Safety Risk Management Analysis in accordance with the Safety Management System.

1-7. Order Hierarchy. Headquarters publications (both FAA-issued and FAA-adopted) take precedence over Service Area and local publications.

1-8. Scope. The Technical Operations Training and Personnel Certification Programs have the following scope:

a. Technical Competence. The Technical Operations Training and Personnel Certification Programs must be conducted in a manner that allows the technical specialist to develop the necessary knowledge and skills to the depth and scope equal to the Technical Operations maintenance philosophy as defined in FAA Order 6000.30, NAS Maintenance Policy. The training must make use of the various modes of instruction such as resident training, field-conducted, Distance Learning (DL), simulations, and On-the-Job Training (OJT), chosen to assure the most effective and efficient training possible, while promoting development of maximum proficiency. All training curricula must meet or exceed the appropriate occupational safety and environmental regulations.

b. Personnel Certification Authority. This order provides national direction for the acquisition and retention of personnel certification authority, not equipment certification. The technical specialist must satisfy theory-of-operations training, OJT in the workplace or Enhanced Hands-On Training (EHOT) at the training location, and a Demonstration of Proficiency (DoP) at the training location or performance examination in the workplace, as specified in this order, to meet FAA requirements for certification. Attaining certification/verification authority enables the technical specialist to certify/verify systems, subsystems, equipment, and services.

c. Changing Philosophy. The Maintenance Personnel Certification Program is evolving from a system where the OJT and performance examinations are accomplished in the field by technical specialists to a system where the knowledge taught and tested in those components of the Personnel Certification Program takes place at the FAA Academy or vendor location. The theory-of-operations training must be expanded to include instruction in maintenance handbooks, Technical Performance Records (TPRs), and certification parameters and procedures. A technical specialist completing the training and examination at the FAA Academy or vendor location must require local work practices guidance before attaining certification authority. Future changes to the Personnel Certification Program may include simulation training, refresher training, and granting of certification authority upon completion of FAA Academy Technical Operations Training Division (referred to throughout the order as Academy Tech Ops Training Div) training.

1-9. Explanation of Policy Changes. The following changes were made in this order:

a. Any information considered procedural was moved to an appendix. Only policy remains in the body of the Order.

b. Added new paragraphs 1-1, 1-2, 1-3, and 1-5 required by directives management Order 1320.1E.

c. Added roles and responsibilities for the Service Center organizational structure.

d. Added roles and responsibilities for the Service Area Program Operations Group (POG) organizational structure.

e. Added roles and responsibilities for the District/Operations Control Center (OCC) organizational structure.

f. Added roles and responsibilities for the other organizations (for example: Safety and Operations Support Office [AJW-1] and Engineering Services) organizational structure.

g. Established a separate type of refresher training. Para 3-2c.

h. Added to the equivalencies process an advocacy by the FAA Technical Operations Training and Development Group. The Technical Operations Training and Development group may advocate for equivalencies of Academy courses when there is a conflict between the FAA Academy Technical Operations Training Division and a Service Center. Para 2-2t and 3-16b(6).

i. Changed the Operational Necessity Waiver of a prerequisite to a one time release and updated waiver process. Para 3-16c.

j. Administration of the Out-of-Agency Training (OAT) program moved from Academy Technical Operations Training Division to the Technical Operations Training and Development Group.

k. Added a requirement for new technical specialists to attend Technical Operations Training and Development Group-required new hire training. Para 3-17b.

l. Added a reminder that AOV must be notified of revocation and must approve the granting of certification that has been revoked. Para 5-6 and 5-14.

m. Mandated the use of the nationally approved software system to create and update training plans. Para 3-17.

n. Removed post-counseling process because it was a non-utilized duplication of the Academy end-of-course evaluations.

o. Added the formerly unwritten policy of a one-time free pass for bypass examinations. Para 3-29g.

p. Remedial training changed to written formal plan. Para 3-30.

q. Changed the performance examination cover sheet requirements so that the examiner only needs to comment on unsatisfactory items. Para 3-34d(13) and Appendix 8 item 17.

r. Removed reference to Instructor Compensation from OJT instructor hours; compensation is a contractual issue, not a training issue. The tables to determine OJT instructor hours are retained, just relabeled to OJT Instructor Hours. Para 4-2i and para 4-3b.

s. Provided the guidance for a theory-of-operations bypass exam for an EHOT course. Para 4-5h.

t. Spelled out that there is no equivalency set for an EHOT course. Para 4-5i.

u. Changed the requirements for keeping an existing certification authority active. FAA Notice NJO 3400.40, paragraph 11c requires the technical specialist to work on or be assigned a workload of some kind on the system, in the previous two years, for the certification authority to remain active. The change says the technical specialist must have certified the system in the two-year period before the annual review. Para 5-12.

v. Established a review process for the Comprehensive Management Resource Information System (CMRIS) CTS certification authority records process. Para 5-17.

w. Added a paragraph about using test and training systems in the NAS during emergencies. Para 5-18.

x. Removed the FAA Order 3400.3H chapter on Relationship of Certification to FAA Employment (including the certification authority requirement agreement).

y. Established the requirement for a training file for all employees. It is only created if there is information to be included. Para 6-1.

z. Reinforced the requirement for an Official Certification Record File (OCRF). Para 6-4.

aa. Modified policy for the transfer and retention of training files and OCRF. Para 6-5.

bb. In the non-Federal chapter, specific training and examination requirements were clarified. Para 7-4.

cc. Added that non-Federal verification authorities established in one Service Area are applicable in another. Para 7-6f.

dd. Most forms required by this order are no longer available in paper and must be printed from approved software application.

ee. In Appendix 1, eliminated the 3000-19 On-the-Job Training Progress Form; will use 3400-16 for all OJT regardless of whether or not it leads to certification authority.

ff. In Appendix 1, modified the 3000-20 Group Training Needs Assessment Form, directions, and example.

gg. Moved the Training Initiative Request (TIR) form from Appendix 1 to Appendix 14.

hh. In Appendix 1, modified form 3000-21 Operational Necessity Waiver, directions, and example.

ii. In appendices, modified the 3000-22 Individual Training Needs Assessment Form, directions, and example.

jj. In Appendix 1, modified form 3000-24 Emergency Quota Request, directions, and example.

kk. In Appendix 1, modified the 3000-25 Pre-Training Counseling Form, directions, and example.

ll. In Appendix 1, eliminated the 3000-26 Post-Training Counseling Form.

mm. In Appendix 1, eliminated the 3000-27 General Training Use Certificate.

nn. In Appendix 1, eliminated AC Form 3145-2 Correspondence Study Enrollment Application.

oo. In Appendix 1, screen captures of the 3400-3, 3400-15, and 3400-16 CTS entry screens were added.

pp. In Appendix 1, eliminated the 3400-6 Certification Authority Requirements Agreement Form.

qq. Appendix 3 changed; it now applies to the non-Federal program. Removed previous figures 1 though 5. Added the following two figures for non-Federals: Equivalents for FCC licenses and endorsements; List of FAA approved factory conducted training courses.

rr. Added Appendix 9 for Call for Training Guide.

ss. Added Appendix 10 for quota management.

tt. Added Appendix 11 for Academy enrollment processes.

uu. Added guidance in Appendix 11 for use of examiner program on FAA Information Superhighway for Training (FIST).

vv. Added Appendix 12 for entering completions in Electronic Learning Management System (eLMS).

ww. Added Appendix 13 for established equivalencies (placeholder only).

xx. Added Appendix 14 for FAA Technical Operations Course Development Process.

yy. Added Appendix 15 for CTS Review Process.

zz. Added Appendix 16 for College Training Initiative (CTI) (placeholder only).

aaa. Added Appendix 17 for Item IDs – Numbering Scheme.

bbb. Added Appendix 18 for Acronyms.

ccc. Added Appendix 19 for Definitions.

ddd. Added Appendix 20 for Websites and Related Publications.

1-10. Related Publications. See Appendix 20, Websites and Related Publications for links to related publications.

Chapter 2. Program Administration Roles and Responsibilities

2-1. General. This chapter defines the roles and responsibilities for organizations and employees within the ATO Technical Operations Training and Personnel Certification Programs.

2-2. FAA Technical Operations Training and Development Group. The Tech Ops Training and Dev Group is responsible for the training of Technical Operations personnel. The Tech Ops Training and Dev Group has the following responsibilities in the administration of the Technical Operations Training and Personnel Certification Programs:

a. Provide all technical training for the ATO Organization.

b. Approve all Technical Operations training requirements to include: technical, engineering, and all other non-technical (logistics, management and general, occupational safety, environmental compliance, and acquisition).

c. Provide standards for the evaluation of the Technical Operations Training and Personnel Certification Programs. Initiate, direct, and ensure accomplishment of the Technical Operations Training and Personnel Certification Program evaluations.

d. Manage the new course development effort, coordinating with Program Offices on requirements for new training acquisitions and ensuring that the Program Office provides an adequate definition of maintenance philosophy prior to course development.

e. Provide guidance, oversight, and approval for Technical Operations technical and non-technical training course design and major revision efforts. See Appendix 14, FAA Technical Operations Course Development Process.

f. Coordinate with the Academy Tech Ops Training Div regarding minor revisions of training courses.

g. Approve training specifications/options and ensure ATO course development standards and guidelines are utilized throughout the procurement and revision process including (see Appendix 14):

(1) Training Initiative Request (TIR)

(2) Training Development Plan (TDP)

(3) Task and Skills Analysis (TASA)/Job Task Analysis (JTA)

(4) Course Design Guide (CDG)

(5) Determine and/or approve the training method and media

(6) Approve activation of training course number

h. Responsible for new system acquisition training (see Appendix 14).

(1) Serve as the training authority between the Acquisition Program Manager, the Academy Tech Ops Training Div, and the field organizations for all training members.

(2) Ensure appropriate resources are available for sound course development and delivery, regardless of the training provider, to include: funding, training systems, and training facilities.

i. Approve Technical Operations training course prerequisites.

j. Ensure that the Training Needs Assessment (TNA) process is completed for all centralized training efforts.

k. Identify personnel certification requirements that support the systems, subsystems, or services in the NAS.

l. Initiate and coordinate the development, revision, and validation of all DoP/national performance examinations.

m. Develop, validate, and maintain national OJT packages.

n. Initiate and manage the Call for Training.

o. During the Call for Training, provide a listing of training requirements for new equipment.

p. Provide oversight for quota management, validation, and allocation of all Technical Operations training quota.

q. Provide guidance and oversight for the funding of Technical Operations training.

r. Provide guidance and direction for Technical Operations Collegiate Training Initiative (CTI). See Appendix 16, Collegiate Training Initiative (CTI) Program.

s. Serve as coordinator for national technical training workgroups.

t. Act as an advocate on requests for equivalencies of Academy courses when there is a conflict between the Academy Tech Ops Training Div and a Service Center on the approval of an equivalency.

u. Identify the requirements for the hardware, software, and databases of automated systems that support this order.

v. Maintain and update all appendices not specifically assigned to other organizations listed in this order.

w. Administer the Technical Operations Out-of-Agency Training (OAT) program.

2-3. Service Units (i.e. Program Offices like AJT and AJE). Service Units define requirements, lead acquisition programs and perform lifecycle management for all NAS systems in accordance with current Acquisition Management System (AMS) policies. Service Units have the following responsibilities in the implementation and maintenance of technical training programs supporting NAS systems:

a. Conduct all system acquisition efforts in collaboration with the Tech Ops Training and Dev Group to define and provide timely training to Technical Operations personnel. The Tech Ops Training and Dev Group has the sole responsibility and accountability to manage the acquisition, development, and revision of all technical training for Technical Operations personnel.

b. Conduct lifecycle management in collaboration with the Tech Ops Training and Dev Group to revise technical training courses to meet new requirements resulting from system modifications, service life extension programs, and technical refresh efforts.

2-4. Academy Technical Operations Training Division. The Academy Tech Ops Training Div has the following responsibilities, as given by the Tech Ops Training and Dev Group, in the administration of the Technical Operations Training and Personnel Certification Programs:

a. Implement the development, delivery, and administration of technical and non-technical training.

b. Ensure that the most effective training technology is used in the course development process with due concern for cost/benefits, available resources, and established priorities.

c. Implement the quality assurance program provided by the Tech Ops Training and Dev Group that enforces ATO and FAA Academy course development standards and guidelines. Ensure that training is educationally sound and meets the requirements specified in the TIR, TDP, TASA/JTA, and CDG for either FAA or contractor-developed/revised training.

d. Develop, revise, and validate theory-of-operations bypass examinations.

e. Issue and grade theory-of-operations bypass examinations.

f. Distribute performance examinations.

g. Update master documents and distribute approved OJT packages as requested by the Tech Ops Training and Dev Group.

h. Monitor and recommend when technical training course revisions are needed or required to the Tech Ops Training and Dev Group.

i. When requested by the Tech Ops Training and Dev Group, develop and perform major revision of training courses. See Appendix 14.

j. Perform minor revisions of training courses in coordination with the Tech Ops Training and Dev Group.

k. Administer the Personnel Certification Program for Academy personnel.

l. Maintain and update Appendix 4, Instructional Hours for On-the-Job Training (OJT); Appendix 6, Instructions for Accessing the FAA Information Superhighway for Training (FIST); Comprehensive Management Resource Information System (CMRIS); and electronic Learning Management System (eLMS); and Appendix 7, Record of Changes to Appendices 3 through 5 of this order via FIST.

m. Manage the Technical Operations Distance Learning (DL) infrastructure.

n. Determine training capabilities in response to the Call for Training.

o. Input item and scheduled offering information and assign course numbers maintained in eLMS.

p. Update and maintain items in eLMS and course profiles on FIST.

q. Ensure completion data is entered into eLMS per Appendix 12, Entering Completions in electronic Learning Management System (eLMS).

r. Prepare and issue announcements relating to technical training courses.

s. Recommend prerequisites for new courses and changes in established course prerequisites.

t. Approve or disapprove requests for equivalencies of Academy courses. Where there is a conflict between a Service Center and the Academy Tech Ops Training Div, a request for equivalency may be forwarded to the Tech Ops Training and Dev Group for their advocacy on a review of the decision.

u. Implement the evaluation process provided by the Tech Ops Training and Dev Group (reference paragraph 2-2b.).

v. With respect to Technical Operations training courses, the Academy Tech Ops Training Div is to ensure the following is accomplished:

(1) Develop the necessary course critiques, questionnaires, and other evaluation materials and procedures necessary to implement the evaluation process.

(2) Summarize the data collected and submit reports, as required, to the Tech Ops Training and Dev Group.

(3) Make recommendations for corrective action based upon evaluation findings.

2-5. Service Centers. Service Centers have the following responsibilities for administering the Technical Operations Training and Personnel Certification Programs within their organizations:

a. Develop and recommend policies, standards, and procedures necessary to effectively implement Technical Operations Training and Personnel Certification Programs within the Service Areas.

b. Coordinate and distribute training quota and ensure timely quota enrollment.

c. Validate technical training requirements for submission to the Tech Ops Training and Dev Group (see Appendix 9, Call for Training).

d. Conduct training evaluations of Service Center Technical Operations Training and Personnel Certification Programs in accordance with the Tech Ops Training and Dev Group's guidance and/or locally developed training evaluation plans.

e. Provide oversight in the development of Service Center/Service Area course content and material for training courses to meet needs specific to special conditions within the Service Center/Service Area. Ensure that all Service Center/Service Area training complies with FAA and Office of Personnel Management (OPM) directives, statutory and regulatory requirements, and operational and procedural methods.

f. Review and approve requests for operational necessity waivers of prerequisites for Academy Tech Ops Training Div courses.

g. Review and forward requests for equivalencies.

h. Ensure completion data is entered into eLMS per Appendix 12.

i. Act as the point of contact for the accountability of no shows.

j. Participate in national training programs and workgroups.

k. Validate and approve/disapprove requests for Technical Operations training for personnel other than District/Operations Control Center (OCC) personnel.

l. Develop and/or procure local training in accordance with the established standards and procedures defined in this order.

m. Validate and approve access to training software applications for Service Center/Service Area personnel.

n. Support the Non-Federal Facilities Program as required.

2-6. Service Area Program Operations Group (POG). Service Area POGs have the following responsibilities for administering the Technical Operations Training and Personnel Certification Programs within their organizations and the organizations they support:

a. Administer the Personnel Certification Program for Service Area personnel.

b. Provide guidance on training and educational needs to employees and management. This can include research, data gathering/input, and validation.

c. Ensure that training records are maintained in accordance with national and Service Area policies and procedures.

d. Coordinate and distribute training quota and ensure timely quota enrollment.

e. Ensure completion data is entered into eLMS per Appendix 12.

f. Ensure that the employees and managers are aware of all prerequisite requirements and that these requirements are met prior to attending training.

g. Review and recommend requests for operational necessity waivers of prerequisites for Academy Tech Ops Training Div courses.

h. Review and forward requests for equivalencies to the Service Center.

i. Provide Technical Operations Training and Personnel Certification Programs information as requested.

j. Support the Non-Federal Facilities Program as required.

k. Participate in national training programs and workgroups.

2-7. District/Operations Control Center (OCC). District/OCC organizations have the following responsibilities for administering the Technical Operations Training and Personnel Certification Programs within their organizations:

a. Oversee the Technical Operations Training and Personnel Certification Programs within their organizations.

b. Monitor the accomplishment of training plans.

c. Ensure that all prerequisites training, enrollment, and employee notifications are completed in a timely matter.

d. The following functions must not be delegated below the second-level manager or anyone acting in that capacity for a period of less than 15 days:

(1) Identify positions and technical specialists that require certification authority.

(2) Designate all proctors and performance examiners in accordance with the procedures of this order.

(3) Make the final determination of whether or not technical specialists have demonstrated the minimum acceptable level of technical proficiency to perform actual duties.

(4) Grant, withhold, or revoke certification authority to FAA technicians in accordance with the procedure of this order.

(5) Take action when technical specialists fail to acquire or maintain certification authority required for the position occupied.

e. The following functions may be delegated below the second-level manager level:

(1) Develop training requirements and provide justification as required.

(2) Coordinate, validate, and submit training requirements in accordance with the Call for Training guidance.

(3) Coordinate and establish training schedules.

(4) Proctor/administer theory-of-operations bypass and DL course examinations.

(5) Request, schedule, and administer theory-of-operations bypass, OJT, and performance examinations.

(6) Prescribe the extent of individual preparation for examination or reexamination.

(7) Procure local training in coordination with the POG.

(8) Develop, approve, and implement action to be taken on potential or actual training failures.

f. Support the Non-Federal Facilities Program as required.

2-8. Other Organizations (e.g., Safety and Operations Support Office [AJW-1] and Engineering Services). Field organizations have the following responsibilities for administering the Technical Operations Training and Personnel Certification Programs within their organizations:

a. Oversee the Technical Operations Training and Personnel Certification Programs within their organizations.

b. Develop training requirements and provide justification as required.

c. Coordinate and submit training requirements in accordance with the Call for Training Guide (see Appendix 9).

d. Monitor the accomplishment of training plans.

e. Coordinate and establish training schedules.

f. Ensure that all prerequisite training, enrollment, and employee notifications are completed in a timely manner.

g. Develop, approve, and implement action to be taken on potential or actual training failures.

h. Proctor/administer theory-of-operations bypass examinations and DL course examinations.

i. Procure local training.

2-9. First-Level Manager. The first-level manager has the following responsibilities within the Technical Operations Training and Personnel Certification Programs:

a. Determine the technical training requirements necessary to maintain NAS operations within the area of responsibility in accordance with the Call for Training Guide (see Appendix 9).

b. Determine employees' training needs by identifying the knowledge and skills necessary to perform their duties.

c. Develop, update, and review a training plan for each employee requiring training, aided by the training specialist/Program Support Specialist (PSS) using the nationally approved automated tool. Training plan requests will be via email.

d. Coordinate and establish employees' training schedules.

e. Counsel employees prior to training regarding agency policy, course objectives, desired course outcomes, employee attitudes, training expectations, and the relationship of the training to the position.

f. Prescribe the extent of individual preparation for examination or reexamination.

g. Ensure that all prerequisite training, enrollment, and employee notifications are completed in a timely manner.

h. Assign and coordinate OJT and performance examinations as required.

i. Endorse technical specialists for certification authority prior to it being granted.

j. Ensure that all OJT and performance examination requirements are accomplished in a timely manner.

k. Determine annually that technical specialists with certification authority continue to have the proficiency to maintain the authority.

2-10. Employees. Employees have the following responsibilities within the Technical Operations Training and Personnel Certification Programs:

a. Apply themselves to the learning task in a professional manner and successfully complete training objectives within prescribed times.

b. Assist their first-level manager in identifying individual training needs applicable to current job requirements in order to maintain proficiency on assigned systems and/functions.

c. Cooperate in the development of their training plan with their first-level manager.

d. Participate in self-development training.

e. Provide training to other employees as assigned.

f. Participate in pre-training counseling sessions.

g. Complete and submit all required course critiques and questionnaires and provide feedback to their first-level manager.

h. Participate in the ATO Evaluation Process.

Chapter 3. Training Administration

3-1. General. This chapter contains procedure and requirements regarding the following: types of training and examinations, employee eligibility to attend training, needs assessment requirements, training selection, continuing service agreements, approval process, and employee conduct while in training status. Training specialists must implement these procedures at their organizational level to ensure efficient and orderly management of the Technical Operations Training and Personnel Certification Programs.

3-2. Types of Training. The Technical Operations Training and Personnel Certification Programs consist of the following types of training :

a. Resident Training. Resident courses are taught by a training provider in a classroom environment by an instructor. Generally, the courses are presented via lecture and/or lab (e.g., the Academy, universities, community colleges, commercial-off-the-shelf training, and Out-of-Agency Training [OAT]).

b. Distance Learning (DL). The following are the various types of DL training:

(1) Correspondence Study. Correspondence study courses are self-paced courses presented via paper-based text material. The proctored end-of-course exam is paper based and delivered to the student per the supervisor's request. Exam responses are entered online via the Technical Operations Distance Learning Online Tool.

(2) Computer-Based Instruction (CBI). CBI courses are interactive, self-paced, computer courses taken at the student's home facility entirely on a designated CBI platform, and may be followed by a laboratory class conducted at the Academy. The courses have proctored, computer-based exams, and may or may not include text material. Course materials are sent to the student via request by the field training administrator though the Technical Operations Distance Learning Online Tool.

(3) Aviation Training Network (ATN). The FAA Academy's ATN features live one-way video and two-way audio television broadcasts to deliver training and other information to FAA facilities across the nation. ATN consists of one three-channel satellite uplink at the Academy and 125 receive sites located primarily at Headquarters, Regional Offices, Air Route Traffic Control Centers (ARTCCs), Centers, Flight Standards District Offices (FSDOs), and the Center for Management and Executive Leadership (CMEL). Broadcasts can be delivered to numerous auditoriums and conference rooms in addition to the 125 ATN receive rooms.

(4) Web/Other. Web training is conducted over the FAA Intranet or the Internet. There may be other types of DL as technology changes.

c. Refresher Training. Refresher training is resident or DL courses that have been developed to provide refresher training for technical specialists who hold certification authority. It normally applies to large critical NAS systems that cannot be taken out of service. A priority scheme for attending the resident training is based on length of time since originally trained and certified. Those who were most recently trained and certified have a lower priority. Holding

certification authority for the system, subsystem, or service is a mandatory prerequisite for resident refresher training. It cannot be waived for resident refresher training. Some DL refresher training is available without enrollment when needed (e.g., flight inspection, knowledge review quizzes) and may be accessed by any employee at any time.

d. OJT. For OJT, see Chapter 4, On-the-Job Training (OJT), Enhanced Hands-On Training (EHOT), and Demonstration of Proficiency (DoP) Administration.

e. EHOT. For EHOT, see Chapter 4.

3-3. Training Development and Revision. All new development and revision efforts that are assigned a national number must be approved by the Tech Ops Training and Dev Group prior to the start of the project and again before the training material is presented to employees. These development and revision efforts must follow a systematic training approach as set forth in Appendix 14, FAA Technical Operations Course Development Process.

3-4. Out-of-Agency Training (OAT). OAT is training conducted by or obtained from sources other than the FAA. Using OAT training courses as substitutes for FAA courses requires approval by the Tech Ops Training and Dev Group. Requests for OAT may be approved when the operational approving official has determined that adequate training through FAA courses is not considered reasonably available, when:

a. Existing FAA training does not meet the need.

b. New FAA training will not be operational in sufficient time to meet the need.

c. In the case of non-Government training, inquiry to the Tech Ops Training and Dev Group fails to reveal suitable training available in other Government agencies.

d. Use of FAA training is more expensive than OAT when transportation, per diem, employee's time, and other factors are considered and appropriate consideration has been given to the existing resources.

3-5. Types of Examinations. Examinations are used to measure and document a student's knowledge, cognitive ability, and performance of job skills and tasks. All examinations (theory-of-operations, performance, and DoP) used in the Technical Operations Training and Personnel Certification Programs must be developed and validated under the administrative control of the Tech Ops Training and Dev Group.

a. Examinations for Training Courses. Examinations for Academy courses must be developed in accordance with Academy standards. Examinations for OAT courses must be developed in accordance with FAA Standard 028C.

b. Theory-of-Operations Bypass Examinations. Theory-of-operation bypass examinations are proctored, comprehensive examinations used to measure a technical specialist's knowledge of the theory-of-operations and practical techniques required to diagnose and correct deficiencies of specific equipment or systems, as well as proper configuration, performance parameter checks, certification checks, starting procedures, and system diagnosis. Successful

completion of this examination indicates a knowledge level equivalent to that of a graduate of an appropriate formal training course. Additional guidance follows:

(1) Equipment theory-of-operations bypass examinations are comprehensive in scope, covering not only the equipment within a system, but also the auxiliary equipment considered to be part of the system.

(2) Software examinations cover utility, support, and diagnostic programs as well as the programs, subprograms, routines, and subroutines of a major program system.

(3) Within the Technical Operations Training and Personnel Certification Programs, an approved theory-of-operations bypass examination may be used to satisfy the theory-of-operations requirement for certification authority.

(4) All theory-of-operations courses, excluding EHOT, that lead to personnel certification authority should have a Tech Ops Training and Dev Group-approved theory-of-operations bypass examination.

(5) Theory-of-operations bypass examinations for Academy courses must be developed in accordance with Academy standards. Theory-of-operations bypass examinations for OAT courses must be developed in accordance with FAA Standard 028C.

(6) Theory-of-operations bypass examinations must not be attempted unless there is a reasonable expectation for successful completion.

c. Performance Examinations. A performance examination measures the technical specialist's ability to make system, subsystem, or equipment adjustments; check key performance and certification parameters; perform diagnostic checks; coordinate maintenance activities; and demonstrate knowledge of maintenance and certification requirements. Performance exams are administered by an authorized examiner. They are part of the process to attain personnel certification authority. Additional guidance follows:

(1) All performance examinations must be approved by the Tech Ops Training and Dev Group. Performance examinations for new systems must be developed in accordance with FAA Standard 028C. Performance examinations for existing systems must be developed and revised by the Tech Ops Training and Dev Group.

(2) All performance examinations for certifiable systems or subsystems must, at a minimum, test the technical specialist's ability to:

- Measure all certification parameters.
- Measure all key performance parameters.
- Perform all scheduled maintenance checks (does not include all "As Required" checks although some may be included; simple checks such as cleaning filters should not be included in the examination).
- Perform system diagnostic tests (if any).
- Coordinate maintenance activities.

- Demonstrate knowledge of standards and tolerances, maintenance requirements and schedules, and certification requirements.
- Demonstrate knowledge of system documentation requirements.

(3) All performance examinations for certifiable services must, at a minimum, test the technical specialist's ability to:

- Measure all certification parameters.
- Coordinate maintenance activities.
- Demonstrate knowledge of standards and tolerances, maintenance requirements and schedules, and certification requirements.
- Demonstrate knowledge of service documentation requirements.

(4) The requirements necessary to be an authorized performance examiner are provided in paragraph 3-34d.

(5) FAA Form 3400-15, Performance Examination Cover Sheet (available in the nationally approved software system) must be used to document the completion of a performance examination. The examiner must submit the completed form to a training specialist for entry into eLMS.

(6) Performance examinations should be provided to the technical specialist well in advance of administration so that he/she is fully aware of what the examination entails and the test equipment required. The technical specialist must be advised that the examination will be graded and must be given enough time to prepare. Certain operations and critical parameters are considered "lock-out" items and failure on any one of these items constitutes a failure of the entire examination. The use of reference materials during the performance examination is encouraged.

(7) The examiner may change the performance examination to make it compatible with the actual system used (e.g., if a particular procedure may need to be modified to accommodate a local condition). Any deviation concerning a "lock-out" item must have the Program Support Center (PSC) manager's or District second-level/OCC manager's approval prior to the administration of the examination.

(8) Each national performance examination has an estimated time length. The examiner may allow an additional 20 percent of the estimated time. Additional time extensions beyond the 20 percent require the verbal approval of a PSC manager or District second-level/OCC manager. The verbal approval must be documented by the examiner on FAA Form 3400-15.

(9) Administration of performance examinations for systems not requiring certification in FAA Order 6000.15, General Maintenance Handbook for National Airspace System Facilities, Appendix 3 must be left to the discretion of the District second-level manager/OCC manager.

(10) Secure handling of performance examinations is not required. All performance examinations are available from FIST. For access instructions, see Appendix 6,

Instructions for Accessing the FAA Information Superhighway for Training (FIST); Comprehensive Management Resource Information System (CMRIS); and electronic Learning Management System (eLMS).

d. Locally Developed Performance Examinations. When a national performance examination has not been published, the technical specialist must satisfactorily complete a locally developed performance examination conducted by an authorized examiner. Additional guidance follows:

(1) The local performance examination must be developed by the examiner and the PSS or other knowledgeable individual and approved by a PSC manager or District second-level/OCC manager. The locally developed examination must include the requirements of paragraph 3-5c. If an FAA handbook with key and certification parameters has not been published, the available material must be used to develop the examination (e.g., manufacturer's instruction books and authorized draft handbooks or notices).

(2) In a locally developed performance examination failure, unsuccessful measurement of a certification parameter or key performance parameter must constitute failure of the entire examination.

(3) The certification parameters and key performance parameters tested must be listed on the back of the FAA Form 3400-15. See Appendix 1, Listing of Forms and Examples for an example of the back-of-form entries.

e. DoP. See Chapter 4.

3-6. Validations and Updating of Examinations. Theory-of-operations bypass and performance examinations are constantly being reviewed and updated. Any examiner who detects improper questions, measurements, or incorrect references, or who is administering an examination that is not intended for the system involved, should provide feedback to the appropriate office as provided here:

a. Comments on theory-of-operations bypass examinations are to be sent to the local PSS for forwarding to the Service Center and then to the FAA Academy, attention of AMA-405.

b. Comments on performance examinations are to be sent to the local PSS for forwarding to the Service Center and then to the Tech Ops Training and Dev Group.

3-7. Training and Examination Item Numbers. Appendix 17, Item Identifications (IDs) – Numbering Scheme, contains the training and examination item number scheme.

3-8. Security of Examinations. Every employee in the training community is responsible for safeguarding the integrity of all examinations. Compromise of examinations in any form is a serious violation of the FAA rules of conduct and discipline. Violations in this area require official disciplinary action by the appropriate official. The following procedures must apply to the administration of any supervised examination (does not apply to performance examinations):

a. An FAA-designated proctor/examiner must supervise each examination. The person(s) managing the delivery of the course is designated as proctor/examiner and may select an alternate proctor/examiner. Proctors/examiners must demonstrate qualities of objectivity and fairness in proctoring examinations.

b. Proctors/examiners must arrange for the examination to be conducted in an environment that is conducive to learning. The examination must be scheduled during work hours.

c. Proctors/examiners must ensure strict compliance with all instructions that are furnished with the examination. They must prepare the area to be used for the examination, give the examinee any necessary instructions, control and time the examination as prescribed, and process the examination as instructed.

d. The contents of the examination must not be discussed or disclosed by proctors/examiners or examinees. No part of an examination may be reproduced or copied. For theory-of-operations bypass examinations, all working notes must be shredded after completing the examination.

e. Any individual having personal knowledge of a compromise on any segment of an examination must immediately advise the District second-level manager/OCC/POG/TSOG/AMA-400 manager or the Service Area Director of the incident. Any individual having personal knowledge of a violation who fails to report it or take appropriate action may be subject to the same penalty as the individual guilty of the violation.

3-9. Training and Certification Information Resources. Various automated systems are used for the management of training and certification as outlined below:

a. eLMS. eLMS is the agency's official source of personnel training histories, course profiles, scheduled offerings, and personnel training enrollments. Every employee has an eLMS student identification and password.

b. FIST. FIST is an information system provided by the FAA Academy. The following is a sample of the information available on FIST: FAA Academy organization, course and examination profiles, course equivalencies, course managers, employee services, training and certification documents, and forms. FIST also contains the systems for generating performance examinations, various appendices of this order, and other software programs available with approved access levels. The website for FIST is provided in Appendix 6.

3-10. Funding. Funding may be provided for training at the option of the agency.

a. Basic Requirements. Learning and development are viewed as strategic investments rather than discretionary expenditures. Organizations are responsible for planning and justifying required learning resources as part of their regular budget process. Organizational funds must be identified and allocated to support the core learning infrastructure (examples: FAA Academy, OAT, etc.).

b. Authorized Training Expenses. Learning and development activity expenses for which full or partial payment may be authorized are as follows:

(1) Approved travel and per diem in accordance with the FAA Travel Policy.

(2) Books, materials, and supplies that are an integral part of an approved course. A magazine subscription used in a training course or program of study is a permissible expense.

(3) Other expenses such as parking fees, pre-enrollment fees, pre-testing fees, and remedial training.

(4) Tuition assistance may be provided for education directly related to NAS support pursued by employees. Participants may be required to sign continuing service and/or reimbursement agreements. These arrangements must be submitted in advance of commitment to school. The employee must assume any tax obligations levied by the U.S. Internal Revenue Service.

(5) Library and laboratory services that are an integral part of an approved course or program of study.

(6) Organizations are encouraged to support employee participation in professional societies for purposes of continuing education and professional development. Professional conference fees and fees for FAA membership in professional societies are permissible learning and development expenses.

(7) If compliance with state requirements is mandated by Federal statute, the FAA may, at their own discretion, spend appropriated funds to reimburse employees for licensing or certification fees required to perform their duties.

c. Restrictions to Payment of Training Expenses. There are some restrictions on payment of training expenses.

(1) **Professional Societies.** Funding of an individual membership fee is not a permissible learning and development expense. Employees should be encouraged to attend meetings of professional societies when they can be spared from their assignments and their attendance would be advantageous to the FAA, or when their attendance would enhance their performance.

(2) **Tests/Examinations, Certifications, and Licenses.** The FAA may only test/examine employees for job-related competencies using valid, reliable instruments, and may only pay for written or performance tests/examinations that are directly related to FAA-approved training activities. These tests/examinations may be part of training or used as a diagnostic tool to be used in the assessment and diagnostic process leading to a development plan. The FAA may not train or pay employees to take written or performance tests/examinations (such as Microsoft Certified System Engineer (MCSE), Boiler Operator, Private Pilot, Certified Public Accountant (CPA), etc.) in order to obtain better scores. Funding is permitted if the primary purpose is to attain or improve skills related to the duties of the employee's present job or a job

that the employee can reasonably be expected to perform in the near future, and preparation for a test/examination is merely a by-product.

d. Other Restricted Costs.

(1) Professional certificates required as a qualification for the employee's position.

(2) Professional accreditation.

3-11. Eligibility to Attend Training. The following paragraphs provide guidance on available training opportunities:

a. Training Opportunities for FAA Personnel. All full-time, part-time, temporary, and intermittent FAA employees (including summer hires and interns) are eligible for learning development opportunities.

b. Training Opportunities for Non-Government Personnel. All of the following conditions must be met in order for non-Government personnel to participate in training funded by the Government:

(1) The training of non-Government personnel must be incidental to the training of Government employees and must be in the public interest.

(2) Non-Government personnel may occupy training slots only after the opportunity has been afforded to eligible Government employees.

c. Training Opportunities for Contractor Personnel. In addition to the restriction on the training of non-Government personnel identified above, contractor personnel may only be trained in skills they are not required to bring to the job. Contractor personnel may be trained in rules, practices, procedures, and/or systems that are unique to the FAA and essential to the performance of their assigned duties. Always consult with the Contracting Officer (CO) before allowing contractors to attend any training session.

d. Training Opportunities for Military Personnel Exempt. Military personnel on duty with the FAA are exempt from the requirements and restrictions of the Government Employees Training Act. However, FAA payment for OJT for such personnel is permitted under the Federal Aviation Act. When determining needs, the requirements of the position must be given priority and selection must be made without regard to civilian/military status. Procedures set forth in Chapter 3 must be followed when processing requests to provide OJT for military personnel on duty in the FAA.

3-12. Training Needs Assessment (TNA). In accordance with Congressional Training Restrictions, as outlined in Human Resource Policy Manual (HRPM) Volume 5, Learning and Development, FAA-provided training for an individual or a group of employees must be based on the training needs analysis and assessment process. The analysis process assists in the determination that the training is appropriate and necessary to accomplish official duties in support of the agency's mission. Official duties are those related to the employee's present

position and assigned workload. A TNA must be completed for all FAA-provided training. A needs assessment or approval is not required for training mandated by law or which employees attend on their own time, at no cost to the Government. Additional guidance follows:

a. FAA Form 3000-20, Air Traffic Organization Training Needs Assessment (TNA) Form. Completion of the TNA FAA Form 3000-20 (see Appendix 1) is the responsibility of the organization requiring the training. Two types of TNA forms are available for use: group and individual. The type of form used depends on the intended audience of the training course. These forms, instructions for completion of the form, and samples are located in Appendix 1. The Service Center must retain all completed TNA forms created within its area of responsibility for three years.

b. National Group Assessment. A national group assessment is used when two or more employees require training. The organization sponsoring, managing, funding, designing, or conducting the group training must complete a group TNA. The Tech Ops Training and Dev Group must ensure that the group assessment process is completed for all of its centralized training efforts. Both the CMEL and the FAA Academy have incorporated this requirement into course development and/or delivery, in accordance with the Congressional Training Restrictions.

c. Local Group Assessment. A local group assessment is required when two or more employees require training that is being procured from a commercial vendor or that is being internally developed at the Service Area level or below. The organization sponsoring, managing, funding, designing, or conducting the group training must complete a group TNA.

d. Individual Assessment. An individual assessment is used when only one employee requires the training. An individual TNA is necessary for training that is being procured from a commercial vendor or that is being internally developed. The organization sponsoring the individual training must complete the assessment, ensuring that the training is required when the employee:

(1) Does not meet the target audience identified in the group assessment (e.g., FAA Academy).

(2) Attends any type of training for which no group needs assessment has been completed.

3-13. Training Selection and Approval. Nomination, selection, and approval of employees for training is a management responsibility and must be accomplished through appropriate procedures in support of the organization's mission. Selection and approval must take into consideration available resources, cost-effectiveness, Congressional Training Restrictions, legal requirements and restrictions (e.g., safety or hazardous materials), current workload, training location, maintenance responsibility, and the TNA (if required). Selection of employees for learning and development activities that primarily prepare for advancement and are not directly related to improving performance in their current positions must conform to the appropriate collective bargaining unit agreement, Uniform Guidelines on Employee Selection Procedures, and also to the merit principles adopted in the FAA Personnel Management System.

3-14. Use of Official Duty Time for Training. A first-level manager must provide adequate time to the employee for completion of the required training. Regardless of whether the employee is enrolled in resident, field, or DL training, he/she must be considered unavailable for regular duty assignments during hours scheduled for training. Management must make a reasonable effort to ensure that employees enrolled in job-required training are relieved from other duties while directly engaged in training.

a. Only in unusual circumstances should a training schedule be interrupted or modified (e.g., emergencies or situations that impact NAS safety).

b. The Academy Tech Ops Training Div course profile listing (available on FIST) shows the maximum time allowable for the completion of nationally arranged and/or conducted training. The hours shown in the Academy Tech Ops Training Div course profile listing must be considered as the base time required when establishing the amount of official duty time the employee may be granted to complete the course.

c. The enrollment and administration requirements of each course, such as class schedule (fixed-schedule or self-paced), training materials, and training delivery method (CBI, correspondence study, OJT, resident, etc.) must be considered when establishing employee training schedules.

3-15. Training Environment. The training provider and the Tech Ops Training and Dev Group are responsible for ensuring that training is conducted in an environment that is conducive to learning.

3-16. Prerequisites, Equivalencies, and Waivers. A prerequisite is a course that must be successfully completed prior to attending a specific training assignment. An equivalency is another set of training that is used in place of a specific course. A waiver is a determination that a training assignment need not be taken. There are various reasons for waivers.

a. Prerequisites. A prerequisite is a course that must be successfully completed prior to a specific training assignment. In the technical training area, most prerequisites are basic concept courses that provide a common body of knowledge used in many theory-of-operations courses (e.g., Radar Concepts, Theory of Instrument Landing Systems, or Distance Measuring Equipment [DME] Principles). Additional guidance on prerequisites follows:

(1) The Academy Tech Ops Training Div designates courses that are prerequisites to others. The Tech Ops Training and Dev Group has final approval authority for prerequisites. See the FIST course profiles for prerequisite requirements.

(2) The use of prerequisites should be kept to a minimum, especially when both the prerequisite and the follow-on course are resident training. This limitation does not apply to theory-of-operations courses that are divided into directed study material done prior to attending a resident course.

(3) Prerequisites must be completed or a waiver granted, per paragraph 3-16c, prior to attendance in the subsequent course.

(4) Under management guidance, the employee is responsible for ensuring that all prerequisites are successfully completed.

(5) Employees that arrive for resident training and have not met the prerequisites or do not have an approved waiver must be returned to their duty location at the expense of their parent Service Area. The Service Center Training Program Management Officer (TPMO) must ensure that the travel is not funded out of centralized training.

(6) An EHOT course may not be a prerequisite for another EHOT course.

b. Equivalencies. Equivalencies consist of two distinct types: those that are permanently defined and available to all, and those that apply to an individual. The permanently defined equivalencies are achieved by successfully completing another course that is designated as an equivalent or by passing a nationally approved equivalent theory-of-operations bypass examination. The other type of equivalency is based on an evaluation of the employee's prior training that shows a level of knowledge comparable to that which could have been achieved by taking the course(s). Additional guidance on equivalencies follows:

(1) The Academy Tech Ops Training Div is the approving authority for all equivalencies.

(2) Each individual FIST course profile lists the permanently defined equivalencies for the course.

(3) Each individual FIST course profile lists the established equivalent theory-of-operations bypass examinations.

(4) The information required from an employee for individual equivalency consideration includes but is not limited to: college transcripts, certificates, Military Forms DD-214 or DD-2586, and time lengths. Complete course descriptions from the training provider must be included with the equivalency request.

(5) The individual equivalency requests are reviewed by the appropriate Academy Tech Ops Training Div section manager. All approved equivalencies must be recorded in the employee's official eLMS training history by the Academy Tech Ops Training Div.

(6) Disagreements between the Service Center requesting the individual equivalency and the Academy Tech Ops Training Div must be forwarded to the Tech Ops Training and Dev Group for their advocacy in a review of the decision.

(7) Within the Tech Ops Training and Dev Group, evaluations may be made of the suitability of military training for use to satisfy the theory-of-operations requirement for certification authority. When established, those comparisons must be published in Appendix 13, Established Equivalency Listing and Process.

(8) The processes for initiating, routing and approving equivalencies are covered in Appendix 13.

c. Operational Necessity Waiver of Prerequisite. An operational necessity waiver is the one-time release of a prerequisite requirement which allows the technical specialist to attend a specific course scheduled offering. It is to be used only for emergency operational situations. Emergency situations include those that would result in a degradation of safety or significant additional expense if the training was not provided at that time. An operational necessity waiver must be requested in the nationally approved software system. Workflow processes for waivers are included in Appendix 10, Quota Management Process, Figure 10-9, Waiver of Prerequisites. Additional guidance on waivers follows:

(1) An operational necessity waiver can only be used one time for the prerequisite course being waived. If the technical specialist successfully completes the course for which the prerequisite was waived, he/she does not need to complete the waived prerequisite course. If it is a prerequisite for another training course, the technical specialist must complete the prerequisite; it cannot be waived twice.

(2) When an employee successfully completes the course that required the waived prerequisite, there is no requirement to complete the prerequisite. However, in the interest of providing the training that is needed, the technical specialist should complete the course (if available).

(3) Waivers may be initiated at the System Support Center (SSC) or District/POG/TSOG level. All requests must include the reason for the waiver and describe the specific impact and the degradation of safety that may occur if the waiver is not approved. For waivers based on significant additional expense, the justification must include details of the expense(s) that could occur if the waiver is not approved.

(4) The Service Center Administrative Services Group manager is the approving official for all operational necessity waivers. This authority may be delegated down one level of management.

(5) The Service Center TPMO must ensure that the appropriate Academy Tech Ops Training Div section manager is notified when a waiver is approved so that he/she is aware when the employee comes to the class.

(6) The PSS must print the approved/disapproved waiver from the nationally approved software system and file it in the Official Certification Record File (OCRF).

(7) If a technical specialist fails a course for which he/she has an approved operational necessity waiver of a prerequisite, the prerequisite must be taken. It must be the first item on the written formal program established, per paragraph 3-30.

d. Waivers for OJT. The OJT requirement for attaining certification authority may be waived if the technical specialist already has knowledge and experience similar to that covered in the OJT package. For example, a technical specialist with years of knowledge and experience on communications transmitters and receivers may be granted a waiver for the OJT package on a new model of communications transmitter or receiver. Additional guidance on OJT waivers follows:

(1) The OJT requirement may be waived if all of the following conditions are met:

- There is a nationally approved theory-of-operations course that the technical specialist has or must successfully complete.
- There is a nationally approved performance examination for the system, subsystem, or service that the technical specialist must complete.
- The technical specialist already has knowledge and experience similar to that covered in the OJT package.

(2) The waiver must be justified and requested by the first-level manager, endorsed by the District second-level manager and the District manager (if different than the second-level), and approved by the Service Center Administrative Services Group manager.

(3) The justification for the waiver of OJT must be based on the technical specialist's knowledge and experience, not operational needs.

(4) The waiver must be documented on a memorandum that contains the technical specialist's name, location, OJT course to be waived, and justification for doing so. It must include the signatures of the requesting first-level manager, the endorsing District second-level manager and District manager (if different than the second-level), and the Service Center Administrative Services Group Manager. The memorandum must be filed in the technical specialist's OCRF.

(5) The FAA Form 3400-3, Technical Operations Personnel Certification/Verification Authority Record certification authority entry must indicate in the OJT Remarks block that the OJT was waived and include the name of the approving official, as well as the date on which the waiver was approved. An example of an OJT waiver entry is provided in Appendix 1, Figure 1-32, Sample FAA Form 3400-3, Technical Operations Personnel Certification/Verification Authority Record, column 14.

(6) A technical specialist who fails a performance examination after being granted a waiver for OJT must complete the OJT prior to retaking the performance exam.

3-17. Training Plan. Managers must jointly develop a written training plan (FAA Form 3000-14, Technical Operations Training Plan) with each employee requiring training. The plan must be developed using the nationally approved automated system and then printed for signature. This plan must include, but is not limited to, theory-of-operations course, prerequisites, OJT, and performance examinations. Each item should be sequenced according to a timetable, and a proposed date for completing each phase must be included. This plan must be tailored to each individual employee's job requirements. An example and instruction for completing the training plan form are included in Appendix 1 (Figure 1-1, Instructions for Preparing FAA Form 3000-14, Technical Operations Training Plan, and Figure 1-2, Sample FAA Form 3000-14, Technical Operations Training Plan Populated, Screen in Requirements Identification Tool (RIT)).

a. The training plan must be reviewed with the employee annually and updated as required. This review must be documented on the training plan by having both the first-level

manager and employee date and sign the form. If changes are needed, they must be made in the nationally approved automated system and a new form is to be printed for signature.

b. New employees must be counseled and a training plan must be developed within 30 days of entering on duty to ensure they understand that continued employment is contingent upon satisfactory completion of required training assignments. The initial training plan for technical specialists must include the Tech Ops Training and Dev Group required new hire training.

c. All employees in positions requiring new or additional training must complete training within specified time frames.

d. When completing a training plan, the first-level manager must utilize the priority scheme as established in the Call for Training Guide (see Appendix 9, Call for Training) for the appropriate year.

e. Satisfactory training progress is required of both new employees and employees currently in established workload positions.

f. Progress must be considered unsatisfactory under the following circumstances:

(1) Failure to successfully complete any assigned training.

(2) Failure to meet time limits established in the training plan. The manager may extend the limits specified in the plan if completion is prevented by circumstances beyond the control of the employee.

g. Managers must monitor progress of employees enrolled in training and must address unsatisfactory progress.

3-18. Agreement to Continue in Service. A continuing service agreement may be required as a condition of employees attending training activities. Guidelines are provided in the agency's HRPM, LD-5.5 Learning and Development-Administration.

3-19. Non-Contiguous Training Assignment. When justified and advantageous to the Government, an employee may be enrolled into more than one scheduled offering at the FAA Academy without returning to his/her permanent duty station. When there is an intervening period between scheduled offerings (as defined by the end date of the first course and the start date of the second course), prior arrangements must be made to assign employees to supervised training or other work assignments during the intervening period. See Appendix 10, Figure 10-5, Overlaps, Consecutive, or Non-Contiguous Training for process details. Additional guidance follows:

a. Request and Approval for Non-Contiguous Training. Field organizations must request non-contiguous training by submitting a cost benefit justification (see Appendix 10, Figure 10-6, Non-Contiguous Training Cost Comparison Worksheet) to the Service Center TPMO. The request must be made via email with an attached copy of the cost benefit justification. The Service Center TPMO must review the request and submit it via email to the

Tech Ops Training and Dev Group for approval. The Tech Ops Training and Dev Group provides the approval/disapproval via email, with a copy to the Academy Tech Ops Training Div.

b. Responsibility for Intervening Time Period. Once approval is granted, the Academy Tech Ops Training Div must be responsible for providing additional guidance regarding the non-contiguous training assignment. All employee leave requests during a non-contiguous training assignment must be handled as described in paragraph 3-24a.

3-20. Enrollment/Ordering Procedures and Requirements. eLMS is the national database where training enrollments and completions reside. Any locally established procedures must accommodate enrollments into eLMS. Before training begins, all prerequisite training requirements must be completed unless otherwise waived, in accordance with paragraph 3-16c. Enrollments must be made sufficiently in advance of training to ensure the employee receives course materials and related information. Appropriate enrollment procedures must be used for the specific training type. The first-level manager must assign an employee to training. The training specialist must ensure the enrollment is completed. See Appendix 11, Academy Enrollment Process for flowcharts. Additional guidance follows:

a. Resident Training. The training specialist must initiate eLMS resident training enrollments in the national software system in accordance with national and locally established quota management and enrollment procedures. All course completions must be stored by the FAA Academy. Students attending resident training at the FAA Academy in Oklahoma City must be able to print a welcome package (welcome letters, parking pass) after the enrollment is completed in eLMS by accessing the Academy Student Information System (ASIS) (see Appendix 20, Websites and Related Publications).

b. DL. DL encompasses a wide variety of training delivery methods conducted without the employee being at the same physical location as the instructor. The enrollment procedures vary for each course delivery method. No eLMS enrollment is required. The course book(s) for any DL delivery method can be requested by accessing the FAA Academy's Technical Operations Distance Learning Online Tool (see Appendix 20). Once the training is completed, a completion must be recorded in eLMS based on the training delivery method.

(1) Correspondence Study. Correspondence study enrollment requests are performed using the FAA Academy's Technical Operations Distance Learning Online Tool. This action can be performed by the employee or assigned training specialist. If a request is initiated by the employee, the first-level manager must be notified via email to approve the request. Course books must be mailed to the delivery address submitted during the enrollment request. When requested by the first-line manager, examinations must be mailed directly to the enrollee's first-level manager. The employee's first-level manager is automatically designated as the site administrator and is delegated the authority to administer related supervised examinations. All course completions must be recorded in eLMS by the FAA Academy Book Depository Office.

(2) CBI. The training specialist must initiate CBI training enrollment requests using the FAA Academy's Technical Operations Distance Learning Online Tool, in accordance

with locally established procedures. Course books must be mailed to the delivery address submitted during the enrollment request. All course completions must be recorded in eLMS by the FAA Academy.

(3) ATN. The training specialist must initiate eLMS training enrollments in the national software system in accordance with national and locally established quota management and enrollment procedures. All course completions must be stored by the FAA Academy. Course materials will be provided at the ATN site location.

(4) Web/Other. Web-based and other types of training delivery media require various enrollment and completion procedures.

c. OAT. The training specialist must initiate OAT enrollments in accordance with established eLMS quota and enrollment procedures. All course completions must be recorded in eLMS by the Tech Ops Training and Dev Group, FAA Academy, or the Service Center TPMO, as appropriate.

d. OJT. The training specialist must initiate a training enrollment request using the FAA Academy's Technical Operations Distance Learning Online Tool, in accordance with locally established procedures. Course books must be mailed to the delivery address submitted during the enrollment request. All course completions are stored by the field/Service Area. The required FAA Form 3400-16, On-the-Job Training (OJT) Progress Form for Certifiable Systems must be generated in the national software system.

e. Performance Examinations. All FAA employees can access and download performance examinations on FIST. FAA Form 3400-15 must be generated in the national software system to assign the examiner and provide the required form to be used.

f. Theory-of-Operations Bypass Examinations. All theory-of-operations bypass examinations are taken online.

3-21. Pre-Training Notification. In accordance with Congressional Training Restrictions, participants must receive advanced notice of training content and methods prior to beginning training. This requirement is met through the pre-training notification and is mandatory for any employee participating in training.

a. Items Required in Pre-Training Notification. Prior to an employee attending training, the immediate first-level manager must conduct a pre-training notification session. At a minimum, the following items must be addressed:

(1) Course description.

(2) Training method.

(3) How the training relates to the employee's job, workload, and/or career development.

(4) Verification that course prerequisites have been met.

(5) Travel requirements.

(6) OJT and/or certification requirements following training (if any).

(7) Other information useful to the employee (e.g., welcome letters and parking passes for Academy Tech Ops Training Div courses).

b. FAA Form 3000-25, Pre-Training Notification Form. The recommended pre-training notification form is FAA Form 3000-25. Instructions for completing the form and examples are located in Appendix 1 (Figures 1-17, Instructions for Preparing FAA Form 3000-25, Pre-Training Notification Form, through 1-20, Sample FAA Form 3000-25, Pre-Training Notification Form Manual Entry). The pre-training notification form must be provided in the nationally approved automated system. A locally developed pre-training notification form may be used.

c. Pre-Training Notification Form Retention. In accordance with FAA Order 1350.15, Records Organization, Transfer and Destruction Standards, the pre-training notification form must be retained by the first-level manager for three years.

3-22. Conduct During Training. Conduct issues while attending training must be resolved at the lowest level possible (the instructor level). If required, FAA management must counsel the employee in an effort to resolve the issue. If unsuccessful, the training provider must contact the Service Center TPMO. Non-FAA training providers must coordinate with the appropriate FAA designee. The training provider may return employees to their facility without a certificate of completion after coordination with the field organization manager.

a. First-Level Managerial Responsibility. The FAA training provider, instructors, and managers must be regarded as a first-level manager's representative to an employee in training status.

b. Employee Responsibility. Employees attending training are subject to FAA and the training provider's regulations regarding personal conduct. Insubordination, unexplained absences, and other serious offenses may be cause for termination of training and further disciplinary action. It is expected that employees must maintain a professional demeanor and spirit of cooperation while in the training environment. Employees are expected to:

(1) Treat fellow employees with respect.

(2) Avoid disruptive behavior.

(3) Report to class on time and in a condition that ensures the highest level of learning.

(4) Put forth the best effort toward satisfactory completion of training.

(5) Use only authorized assistance or materials to complete the training.

(6) Report any instance of unauthorized activity (e.g., duplication, removal, or compromise of classroom or test material) or other form of improper or unethical behavior.

(7) Conserve and protect Federal funds, property, equipment, and materials.

(8) Groom and attire themselves in a neat and clean manner that is appropriate to conducting Government business.

(9) Adhere to the schedule and actively participate in all training requirements unless excused through approved leave (see paragraph 3-24). Prior to completing the end-of-course exam, an employee must complete all required course reading/study materials, course lessons/labs, and end-of-lesson examination(s). The employee should also complete an end-of-course critique. It is mandatory that all relevant steps be completed in order to receive credit for the training.

(10) Adhere to local safety requirements for the specific equipment while attending training.

3-23. Personal Problems While in Training Status. The following contact process must be followed when an employee needs to deal with a personal problem while in training status:

a. If the employee has a problem, he/she contacts the instructor or site administrator.

b. If the problem cannot be resolved, the employee contacts the instructor's or site administrator's manager.

c. If the problem remains unresolved, the employee contacts his/her own first-level manager.

3-24. Leave While in a Training Status. When an employee is in a training status, the following procedures for leave administration must be implemented.

a. Fixed-Schedule Training. Only sick leave and emergency annual leave can be approved for an employee in a fixed-schedule training status. The training provider must report all employee absences to the employee's first-level manager. Leave requests must be forwarded to the first-level manager through the training provider. All training conducted at the FAA Academy is considered fixed-schedule.

b. Self-Paced Training. If enrolled training is self-paced and does not adhere to a fixed class schedule, all form of leave may be granted. Attention to the allocated time for training should be given when considering leave requests.

3-25. Minimum Attendance Requirements. To receive maximum benefits from training, an employee is expected to be present for training 100 percent of the time. Under extenuating circumstances, absences may be excused. However, in order to receive credit for instructor-led course completion, a minimum attendance of 80 percent is mandatory. Additionally, the final end-of-course critique completion is mandatory.

3-26. Departure Before Course Completion. There are two classifications for employee early departure:

a. Withdrawal. An employee may depart from training in the event of an emergency or other unusual circumstance upon approval of his/her manager. When an employee is withdrawn from a training course, a grade of "Withdrawn" must be entered for that course in his/her official eLMS learning history. The training provider, Service Center TPMO, and the employee's manager must jointly determine appropriate action for the employee to complete the training requirement. If it is mathematically impossible for the employee to receive a passing grade in the course when the request for withdrawal is received, a grade of "Fail" must be recorded in the employee's eLMS learning history.

b. Early Release. When the training provider determines that an individual employee or entire class has satisfied the course completion requirements prior to the established class end date, early release may be granted. When this situation occurs the training provider must complete an early release form and must be responsible for notifying the employees' managers.

3-27. End-of-Course Evaluations. Every training event must use a written end-of-course evaluation to assess participant reaction, instructor performance, learning outcomes (when appropriate), transfer of learning, and the effectiveness of participatory learning techniques. A sample end-of-course evaluation is provided in FAA Order 3000.22, Air Traffic Service Training. An end-of-course evaluation is also provided in the nationally approved software system. In accordance with FAA Order 1350.15, Records Organization, Transfer and Destruction Standards, the end-of-course evaluation must be retained by the training provider for three years.

3-28. Satisfactory Training or Examination Completion. This includes EHOT and performance exams/DOP. Satisfactory completion of the different types of training and examinations are as follows:

a. All Training and Examinations. To pass a training course or examination, the following requirements must be met for all training and examinations except for those covered in paragraphs 3-28b-c:

(1) Overall examination average of 70 percent or better on graded examinations or passing grade on pass/fail examinations.

(2) For courses with more than four graded examinations, a passing grade is required in at least 50 percent of the examinations.

(3) Completion of all required lessons and laboratory exercises.

(4) Submission of an end-of-course evaluation.

(5) Satisfaction of minimum attendance requirements (see paragraph 3-25).

b. OJT. An OJT course consists of a series of tasks to be performed. It is considered successfully completed when both the OJT instructor and the technical specialist's manager sign the FAA Form 3400-16, stating that the OJT assignment has been successfully completed.

c. EHOT. The requirements to pass an EHOT course are to have an overall average of 70 percent or better on written examinations and an overall average of 70 percent or better on graded EHOT laboratories. The EHOT individually graded laboratories are not averaged with the written tests. Additionally, the minimum attendance requirements must be satisfied (see paragraph 3-25).

d. Performance Examinations. Every performance examination item marked with an asterisk (*) is a "lock-out" item and must be performed successfully to pass the examination. Failure of a "lock-out" item means failure of the entire examination and the examination should be stopped at that point. Additionally, satisfactory performance in 90 percent or more of the total number of items (all three columns on the examination) is required to pass.

e. DoP. Successful completion of a DoP consists of the following:

(1) The technical specialist is able to successfully complete the preventative maintenance task(s), as determined by the examiner.

(2) The technical specialist is able to use the troubleshooting process taught in the course and localize the failure. Depending on the problem, troubleshooting to the close vicinity of the failure may be acceptable at the discretion of the examiner. For example, if the failure is a connector on a card and the technical specialist isolates the trouble to the card, he/she has shown mastery of the concept being tested.

(3) The technical specialist achieves a score of 90 percent or higher on the written portion.

3-29. Failure to Successfully Complete Assigned Training or Examinations. This paragraph provides a policy on actions to be taken upon failure of a training assignment or examination:

a. Establishment of a Written Formal Program. Employees who fail assigned training, theory-of-operations bypass examinations, OJT, or performance examinations (except DoP) must be provided a written formal program within 30 days of the failure. See paragraph 3-30 for guidance on written formal programs.

b. Notification of the Employee's Manager. Upon a failure, the training provider must notify the employee's manager. For resident training or OAT, the notification is made through the Service Center TPMO.

c. Retakes of Training or Theory-of-Operations Bypass Examinations. Regardless of the method (course attendance or bypass examination), only three attempts are allowed to satisfy a training requirement. The Service Center Administrative Services Group training manager or designee must, by written waiver, authorize the third and final attempt. All

approved waivers for FAA Academy training or examinations must be sent to the Academy Tech Ops Training Div.

d. Failure of a Course That Has a Theory-of-Operations Bypass Examination. After having failed a course that has a theory-of-operation bypass examination, the employee must take the theory-of-operation bypass examination (this is the first entry on the written formal program). If a theory-of-operations bypass examination is failed, the course must be retaken (as reflected by the written formal program).

e. Failure of a Course That Does Not Have a Theory-of-Operations Bypass Examination. After having failed a course that does not have a theory-of-operation bypass examination, the employee must retake either the entire course or the final examination.

f. Thirty Days Between Retake Attempts. A minimum of 30 days is required between attempts to retake a field examination, either written or performance. The PSC manager may grant a written waiver of the 30-day minimum. The waiver may be done via email. It may contain the employee's name, the examination for which the time is being waived, a history of the employee's previous attempts to pass the examination, and a statement waiving the 30-day requirement. The waiver must be forwarded to the Academy Tech Ops Training Div through the Service Center TPMO.

g. Failure of Theory-of-Operations Bypass Examination Used for Bypass Attempt. Employees may use the theory-of-operations bypass examination as a one-time attempt to bypass a resident training requirement resulting in significant savings in time and costs. When an employee fails a theory-of-operations bypass examination taken for this reason, the failure requires no written formal program and must not count as an official attempt on the theory-of-operations bypass examination.

h. Field Must Fund Travel and Per Diem for Multiple Attempts. When travel and per-diem costs are associated with a second or third attempt to pass a training course or examination, the costs must be borne by the employee's organization. The Tech Ops Training and Dev Group may choose to fund it if requested.

i. No Retakes for DoP. There are no retakes for DoP examinations. Individuals who fail a DoP and are not subjected to adverse action (e.g., ODP or termination) must return to their field location and complete the OJT and performance examination required by Appendix 5, Air Traffic Organization (ATO) Personnel Certification Requirements, Figure 5-1, Air Traffic Organization (ATO) Personnel Certification Requirements. Documentation of failure of a DoP must be completed by the Academy Tech Ops Training Div and entered into eLMS.

j. Documentation of Reasons for Performance Examination Failures. When a technical specialist fails a performance examination, the examiner must clearly list the reasons for failure on the reverse side of the FAA Form 3400-15.

3-30. Written Formal Programs. A written formal program must be implemented when an individual has failed a training course, a theory-of-operations bypass examination, an OJT course, a performance examination, a DOP, or has had certification authority revoked, and management has determined the individual needs to regain the revoked authority. The program

may be an Opportunity to Demonstrate Performance (ODP). Satisfactory progress is determined by the employee meeting all of the requirements outlined in the written formal program. Additional guidance follows:

a. Development of Written Formal Program. The employee's first-level manager is responsible for developing a written formal program within 30 days of the training assignment failure. The first-level manager may include input from a training specialist/PSS and the employee. If the written formal program is not an ODP, FAA Form 3000-14 must be used as the cover document. The Remarks block of the form may say, "See attached" if all the required information will not fit in the Remarks block.

b. Content of the Written Formal Program. The written formal program must include the following:

(1) List of the areas of knowledge deficiencies (if known). The areas may not be known if the failure was of a theory-of-operations course or a bypass examination.

(2) List of recommended study areas.

(3) List of required training.

(4) List of itemized OJT requirements (if applicable).

(5) An established schedule for completion of the program.

(6) Identified instructor and method of documenting training (if applicable).

(7) Method for measuring progress. This may include hours of study time, completion of required training, or other methods.

c. Monitoring Program Process. The employee's first-level manager must implement the program and monitor the employee's progress, and is responsible for determining the reason for any lack of progress.

d. First Alternative for Theory-of-Operations Course Failure. When a course that has a theory-of-operations bypass examination is failed, the first requirement of the written formal program must be to take the theory-of-operations bypass examination.

e. Completion of a Written Formal Program. A written formal program is considered complete when the employee has met all the requirements of the program.

f. Failure of a Written Formal Program. Failure to satisfy the requirements established in the written formal program may subject the employee to reassignment, reduction in grade, or separation.

g. Filing and Retention of Written Formal Programs. A written formal program for a training event that was not intended to lead to certification authority must be filed in the

employee's training folder. A written formal program for a training event that was intended to lead to certification authority must be filed in the technical specialist's OCRF.

3-31. Completions for Training Not Having a Federal Aviation Administration (FAA) Course Number. When employees attend required training that does not have an FAA course number (also called external learning events), they must provide the training specialist with documentation of course attendance. This may be a transcript, a completion certificate, or other similar official proof of attendance. These courses must be recorded in the employee's eLMS learning history. For eLMS process guidance, see Appendix 12, Entering Completions in electronic Learning Management System (eLMS).

3-32. Learning Histories in electronic Learning Management System (eLMS). All approved training activities, regardless of course or exam grade, must be recorded in the employee's official learning history in eLMS. Every employee may access eLMS to print his/her learning history and/or individual certificates of completion. The following are the completion entries that may be made in eLMS (see Appendix 12 for eLMS process guidance):

a. Pass. This entry is made when the course or examination is passed. Depending on the course or examination, a numerical grade may also be entered.

b. Withdrawal. See paragraph 3-26a for a description of a withdrawal.

c. Incomplete. This entry is made for any employee not covered under the guidelines for withdrawal who does not complete the required training requirements (i.e., lab(s), end-of-module or course examinations), or does not meet the minimum attendance requirements (see paragraph 3-25).

d. Fail. This entry is made when the course or examination is failed. Depending on the course or examination, a numerical grade may also be entered.

e. Equivalent. This entry is made by Academy Tech Ops Div after they have evaluated and approved a request for equivalency based on an employee's previous training.

3-33. Instructor Qualifications. At a minimum, instructors must process knowledge of the subject area and meet the following qualifications in order to ensure effectiveness in the delivery of course content in a wide variety of media:

a. Academy FAA Instructors. The basic requirement for Academy instructors is the successful completion of the agency's Basic Instructor Training (BIT) course. Academy FAA instructors may instruct EHOT courses without attaining certification authority for the systems, subsystems, and services being taught.

b. Academy Contract Instructors. The basic requirement for Academy contract instructors assigned to duties as a classroom instructor (regardless of specialty) is the successful completion of BIT. All instructors are required to learn and become proficient on all safety related procedures/guidelines related to the equipment for which they are conducting training. This training must be provided by the FAA course manager or his/her designee.

c. Field Instructors. The basic requirement for field instructors is the successful completion of the Academy's Facility Instructor Training course. When such an individual is not available, the first or higher-level manager may designate other personnel to conduct field training. In such an instance, it is recommended that the individual possess skills in instructional methodology or have prior experience in providing training, including OJT.

d. OAT Instructors. FAA-approved OAT instructors must meet the requirements of FAA standard 028 Data Item Description (DID) Item 1, Paragraph 8(d6); which states: "Instructor who has received training in teaching skills and/or instructional techniques and possess a wide variety of teaching, counseling, evaluation, and adult learning skills."

e. OJT Instructors. OJT instructors should complete the ATO Formal On-the-Job Training course before conducting locally or nationally developed OJT. When such an individual is not available, the first or higher-level manager may designate other personnel to conduct OJT. In such an instance, it is recommended that the individual possess skills in instructional methodology or have prior experience in providing OJT. The instructor must hold certification authority (active or inactive) on the applicable system, subsystem, or service. The first-level manager must designate the instructor either in writing or verbally.

f. Additional Presentation Skills. Different delivery media may require additional presentation skills. Therefore, follow-on training may be required in order to maintain an effective level of instructional skills.

3-34. Proctor and Performance/DoP Examiner Requisites and/or Responsibilities. Proctors are individuals who are designated to monitor examinations taken as a part of DL or theory-of-operations bypass examinations. Examiners are individuals designated to administer performance examinations or DoP events. The requirements that must be met to become a proctor or examiner and the responsibilities of the position are as follows:

a. Management Responsibility in Selection of Proctor/Examiner. Every manager has the responsibility for selecting proctors/examiners who can demonstrate qualities of objectivity and fairness in proctoring/conducting an examination.

b. Proctor Requisites and Responsibilities. The following guidance applies to all proctors:

(1) Must be an FAA employee and may require a technical background.

(2) Must give instructions and serve as timekeeper.

(3) Must understand and apply mandatory secure handling requirements to protect the integrity of the program (see paragraph 3-8).

(4) Must not discuss or disclose the contents of an examination with the technical specialist.

(5) Must advise the technical specialist on the official nature of the documents and penalties involved for disclosure of their contents.

(6) Must prepare an appropriate area for the administration of the examination, give the technical specialist any required instructions or materials, control and time the examination as prescribed, and process the completed examination as instructed.

(7) Must shred all scratch paper and notes at the end of the examination.

(8) Must allow the technical specialist access to only the reference material provided by the Examination Control Center (ECC) if the examination is designated as closed book.

(9) Must ensure no other person is allowed contact with or in the immediate presence of the technical specialist(s) while the examination is in progress. Contact includes all electronic devices.

(10) Must ensure the examination is processed following specific procedures for that examination delivery media. See Examiner Flowcharts on FIST.

(11) Must ensure the end-of-course critique is completed and processed.

(12) If a theory-of-operations bypass examination in progress is interrupted, the proctor should contact the ECC immediately. The contact number can be found on FIST; see Appendix 6.

c. Use of the Examiner Program on FIST. The Examiner Program on FIST provides the Service Center TPMO personnel the ability to electronically assign and maintain a list of authorized proctors and requestors. A requestor is an individual who requests a theory-of-operations bypass examination for a technical specialist, provides the name of an authorized proctor who can proctor this technical specialist, and coordinates assigned proctors and requestors for theory-of-operations bypass examinations through the Examiner Program on FIST (see Appendix 11, Figure 11-3, Theory-of-Operations Bypass Examination Enrollment).

d. Performance Examination Examiner Requisites and Procedures. The following guidance applies to all performance examiners:

(1) The performance examiner must be designated in writing on FAA Form 3400-15 (generated and approved in the nationally approved software system). This designation automatically expires three months from the designation date.

(2) For certifiable systems, subsystems, and services, the performance examiner must possess certification authority for the system, subsystem, or service on which the examination is given. If the authority is inactive, he/she may give the examination but may not perform system, subsystem, or service certification.

(3) For the purposes of non-certifiable system examinations, the examiner must be proficient on the system as determined by the District second-level manager/OCC manager.

(4) The performance examiner must be an FAA employee.

(5) The performance examiner must not administer performance examinations to his/her first-level manager.

(6) Performance examiners who are external to the local organization are preferable.

(7) The performance examiner must not be an individual who was administered the same performance examination by the technical specialist taking the performance examination.

(8) The performance examiner must not be the individual who provided OJT to the technical specialist. This restriction does not apply to an EHOT course.

(9) The performance examiner must sign all performance examinations.

(10) The performance examiner, or other technical specialist, must make the appropriate certification statement entry in the facility log before the system, subsystem, or equipment is returned to service.

(11) The performance examiner must ensure the technical specialist completes the examination tasks unassisted, except in instances where two people are required to complete a particular maintenance task.

(12) The examiner must be thoroughly familiar with the instructions and procedures pertaining to the performance examination.

(13) For areas of the examination that were unsatisfactory or were failed, the examiner must make specific comments regarding the technical specialist's performance on the reverse side of FAA Form 3400-15.

(14) The examiner must assure that the facility is operating normally at the conclusion of the examination or at any breaks in the examination and must make appropriate log entries.

(15) The instructions for the examiner for performance examination is contained in Appendix 8, Instructions to the Performance Examiner.

e. Demonstration of Proficiency Examiner Requisites and Procedures. The following guidance applies to all DoP examiners:.

(1) The DoP examiner must possess certification authority (active or inactive) for the system or subsystem on which the examination is given.

(2) The DoP examiner must be an FAA employee.

(3) The DoP examiner must not administer DoP examinations to his/her first-level manager.

(4) The examiner must be thoroughly familiar with the instructions and procedures pertaining to the DoP examination.

(5) For areas of the examination that were unsatisfactory or were failed, the examiner must make specific comments regarding the technical specialist's performance on the reverse side of FAA Form 3400-15.

3-35. Quota Management. Quota management is the identification of training requirements and processes to ensure maximum utilization of allocated quota. This includes both the assignment of quota and the enrollment and notification processes. It also provides a method of adjustment for changing circumstances. Inherent in the process is ensuring that the right person attends the right training at the right time. Quota management is an ongoing process and is not limited to the Call for Training (see Appendix 9). The procedures contained in Appendix 10 are in place to ensure accountability, as well as to provide guidance and criteria to determine organizational training requirements and the management of training quota. Additional guidance follows:

a. Quota must be managed via the nationally approved software system.

b. When managing quota, management must utilize the priority scheme as established in the Call for Training Guide (see Appendix 9) for the appropriate year.

c. Enrollment in a training course cannot take place unless the prerequisites have been or will be met and the requirement is validated.

d. The Tech Ops Training and Dev Group has the authority to manage new equipment quota, move quota, or remove quota.

e. The Service Center and Service Area must ensure all assigned quota are utilized appropriately.

f. Any release or movement of quota to cost centers not approved during the Call for Training must be documented by the first-level manager. The field organization must coordinate these actions through the Service Center TPMO.

g. An emergency quota requirement is defined as an immediate need for training without which the organization's ability to maintain and/or certify the NAS would suffer severely and/or have a lasting impact on the NAS. An emergency request must not be submitted in preparation for any contingency regarded as remotely possible in the future. An emergency quota requirement must be Operationally Essential (OE), as defined in the Call for Training Guide. Before submitting an emergency quota request, a field organization should look within its own area to accommodate the emergency. If unable to realign quota to meet the emergency, the requestor must submit the emergency request though the nationally approved software system. Service Center TPMOs will attempt to accommodate the request before submitting the request to Headquarters for approval.

3-36. National Call for Training. The need to identify training requirements is an ongoing process. During the Call for Training, and throughout the year, the Tech Ops Training and Dev Group oversees the gathering, validation, and assignment of training quota. See Appendix 9 for the current and next years' Call for Training Guide.

Chapter 4. On-the-Job Training (OJT), Enhanced Hands-On Training (EHOT), and Demonstration of Proficiency (DoP) Administration

4-1. General. This chapter provides policy, procedures, and criteria for the administration of OJT, EHOT, and DoP. PSSs and managers must implement these procedures at their organizational level to ensure efficient and orderly management of the Technical Operations Training and Personnel Certification Programs.

4-2. On-the-Job Training (OJT). OJT is a planned activity conducted to provide direct experience in the work environment where the employee is required to perform his/her duties. It is a bridge from theory-of-operations of a system, subsystem, or service training to developing requisite skills and knowledge to perform work in the NAS. OJT is administered as preparation for taking a performance examination and is the next step in attaining personal certification authority. OJT can be either nationally developed courses or, when there is no national course, locally developed courses. Additional guidance follows:

a. Who Must Take OJT. OJT must be utilized for training new-hire or reassigned employees; employees responsible for new systems, assignments, and procedures; employees preparing for personnel certification authority; and employees requiring remedial training because their proficiency is below an acceptable level.

b. When OJT Must Be Done. OJT must be conducted within a reasonable time frame (established during the planning phase) of the successful completion of theory-of-operations training or equivalency. The recommended 180-day time frame from completion of theory-of-operations course to attainment of certification authority should be taken into consideration.

c. OJT for Certification Authority. The OJT requirements for a specific certification authority are found in Appendix 5, Air Traffic Organization (ATO) Personnel Certification Requirements. A complete list of nationally developed OJT courses is used when a national OJT course has not been published.

d. Mandatory Use of National OJT Courses. The utilization of nationally developed OJT courses is mandatory. A locally developed OJT course is used when a national OJT course has not been published.

e. Planning for OJT. The first-level manager and OJT instructor, with input from the employee, must develop a plan for how and when the OJT training must be administered. This plan does not need to be written, but must include:

(1) Use of FAA Form 3400-16, On-the-Job Training (OJT) Progress Form for Certifiable Systems (to include documentation of the employee's performance, progress, and total training time). See Appendix 1, Listing of Forms and Examples, Figure 1-40, Sample On-the-Job Training (OJT) Progress Form for Certifiable Systems (For National On-the-Job Training [OJT]) and Figure 1-41, Sample On-the-Job Training (OJT) Progress Form for Certifiable Systems (For Locally Developed On-the-Job Training [OJT]).

(2) Use of nationally approved OJT package or a locally developed OJT package (if a national package is not published).

(3) Determination of which portions of a national OJT package may be excluded. For example, an employee who holds certification authority on one Limiting Oxygen Concentration (LOC) system may not need to perform those OJT lessons for a new LOC that measures the radiated signals at the ground check points.

(4) Determination of the time frame in which the OJT is to be completed. The time frames given in the nationally approved OJT packages were developed for an employee with no previous experience and may be changed based on the knowledge and skills of the employee receiving OJT. See paragraph 4-2b for guidance on time frames of locally developed OJT.

f. Documentation of OJT. FAA Form 3400-16 (available in the nationally approved software system) must be used to document the instruction and completion of OJT requirements (see Figure 1-40 in Appendix 1).

g. Entering OJT Completion in eLMS. Following completion of OJT, the first-level manager must forward the FAA Form 3400-16 to a PSS for entry into eLMS.

h. Waivers for OJT. See paragraph 3-16d for the policy on waivers of OJT.

i. Instructional Hours for National OJT Courses. All national OJT courses contain the number of hours of instructional and study time in the course profile located on FIST and in the course material.

4-3. Locally Developed On-the-Job Training (OJT). A locally developed OJT course is utilized when a national course is not published. This course is normally developed by the OJT instructor, but may be developed by the PSS.

a. Local OJT Development Process. The OJT instructor must utilize the appropriate performance examination, maintenance handbooks, contractor-developed publications, Technical Instruction Books (TIBs), or any other suitable technical documentation as references for developing the OJT course. All OJT courses must include, but not be limited to, the following subjects:

(1) Safety and coordination. This must include all safety procedures and coordination for release of the system from the NAS.

(2) Test equipment. This must include use of test equipment for measurement of all key performance parameters and certification parameters (if applicable).

(3) System interfaces. This must include the interface of this system with the NAS. This must also include identification of the applicable handbooks, standards and tolerances, maintenance schedules, certification parameters and procedures, and technical performance records and their use.

(4) System operation. This must include system shut-down and start-up procedures (may be done by discussion). This must also include procedures needed to operate the system including software installations and reloads (if applicable).

(5) Preventive maintenance. This must include all maintenance procedures for key performance parameters and all certification procedures. This should include all other maintenance procedures.

(6) Troubleshooting. This must include locating troubleshooting procedures in the respective manuals. This must include all diagnostic tests (if applicable). This must also include identifying and locating the removal and replacement procedures in the applicable manuals. This may include actual removal and replacement.

(7) Flight inspection. This should include simulation or actual procedures needed during flight inspections (when applicable).

b. Instructional Hours for Locally Developed OJT. The authorized number of instructional hours for locally developed OJT courses is established and maintained by the Tech Ops Training and Dev Group. The hours are those shown for the applicable performance examination located in FIST in the OJT/Exam Instructional Hours table. If any system, subsystem, or service is not included on this list (either as a course or performance examination), the second or higher-level manager should set allowable time for a locally developed course. The instructional hours for OJT vary by system, but are usually the performance examination hours multiplied by one and a half (1.5).

c. Approval for Locally Developed OJT. Locally developed OJT courses may be used after approval from a staff manager or second-level manager. Locally developed courses may be sent to the Tech Ops Training and Dev Group for possible inclusion as a national course. Once a national OJT course is established, it supersedes all locally developed OJT courses for the particular system, subsystem, or service.

d. Example of Locally Developed OJT. For an example of a locally developed OJT course, see Appendix 1, Figure 1-42, Instructions for Locally Developed On-the-Job Training (OJT) Course, and Figure 1-43, Sample Locally Developed On-the-Job Training (OJT) Course.

4-4. Implementation of On-the-Job Training (OJT). The implementation phase is the execution of the OJT plan, requiring the following specific tasks:

a. The OJT instructor must:

(1) Deliver instruction in the application of knowledge and procedures on the system, subsystem, or service.

(2) Allow the employee to perform operational tasks only under the instructor's direction.

(3) Provide progress reports to the employee's first-level manager upon request.

(4) Provide guidance and counseling to the employee.

(5) Report successful completion or recommend termination of the OJT to the employee's first-level manager.

(6) Complete FAA Form 3400-16 for Certifiable Systems and provide it to the employee's first-level manager.

b. The employee must:

(1) Review training objectives with the OJT instructor.

(2) Complete the training assignments within the prescribed time frame.

(3) Be prepared to receive OJT, counseling, and direction from the OJT instructor.

(4) Exercise initiative and study to the extent necessary to ensure satisfactory training progression.

(5) Perform operational tasks only under the direction of the OJT instructor.

(6) Complete those portions of FAA Form 3400-16 that apply to the employee.

(7) Provide progress reports to the first-level manager at the interval specified on FAA Form 3400-16.

c. The first-level manager must:

(1) Assign and monitor OJT training activities.

(2) Evaluate the quality and standardization of the OJT delivery.

(3) Ensure that the OJT is productive and commensurate with the employee's level of experience.

(4) Consider the OJT instructor's recommendations for continuation or termination of the OJT.

(5) Have the authority to terminate the OJT.

(6) Discuss the outcome of the OJT with the employee.

(7) Ensure that the OJT is accomplished within prescribed time frames.

(8) Grant extensions to allowable instructional hours under extenuating circumstances. The extension is granted on the FAA Form 3400-16.

(9) Verify that all training times are recorded accurately and that the OJT progress form is completed and forwarded to the PSS.

d. The PSS must:

(1) Administer the respective organization's OJT program.

(2) Ensure that OJT completions are entered in the employee's training history in eLMS.

(3) Maintain effective communication with all levels of management in support of OJT as an integral part of the Technical Operations Training and Personnel Certification Programs.

4-5. Enhanced Hands-On Training (EHOT). EHOT is an integral part of an improved concept of training and it will be included in resident training when possible. An EHOT course contains the normal theory-of-operations instruction and additional material to develop the skills and knowledge to maintain and certify a system, subsystem, or service. An EHOT course takes the place of both the theory-of-operations and the OJT requirement for attainment of personnel certification authority. It is followed by a DoP. Together, EHOT and DoP satisfy the theory-of-operations course, OJT, and performance examination leading to attainment of personnel certification authority.

a. All EHOT courses must include:

(1) Procedures to measure all key performance parameters and certification parameters for the system, subsystem, or service.

(2) Key performance and certification parameters that are not individually tested in the DoP and must be tested in individual graded laboratory exercises during the course.

(3) Instruction in the use of the applicable maintenance handbooks and TIBs (if the handbook refers to the TIB). Laboratory exercises must be conducted using the maintenance handbooks and/or TIBs (if the handbook sends them to the TIB).

(4) Instruction in the standards and tolerances, maintenance requirements and intervals, certification requirements and intervals, certification exceptions, and applicable certification log statements.

(5) The courses must include a troubleshooting process and must contain graded troubleshooting exercises.

(6) TPRs must be utilized in the course to document the periodic measurements of key performance parameters and/or certification parameters in a maintenance handbook. A TPR form is required only for equipment in which numerical entries must be recorded. For some systems, generated printouts may be used, in accordance with FAA Order 6000.15, General Maintenance Handbook for National Airspace System (NAS) Facilities.

b. Location of EHOT Courses. EHOT courses may be conducted at the Academy or a vendor location.

c. Laboratory Training System. Laboratory training systems used for EHOT courses must replicate field systems as closely as possible. If a particular procedure cannot be performed according to the maintenance handbook due to the training configuration, an errata sheet must be provided to the technical specialist explaining how it would be accomplished on a live system.

d. Handbook Errors. If a particular procedure cannot be performed according to the maintenance handbook due to errors or omissions in the handbook, an errata sheet containing the correct information must be provided to the technical specialist.

e. Clean Testing Material. When performing individually graded EHOT laboratory procedures or EHOT troubleshooting, the technical specialist must use handbooks, schematics, TIBs, and troubleshooting guides that have no student notes or student alterations. Use of notes or student laboratory books is not allowed.

f. EHOT/DoP May Not Be a Prerequisite for Another EHOT/DoP. An EHOT/DoP cannot be a prerequisite for another EHOT/DoP because the technical specialist would not be ready for endorsement after the first EHOT/DoP. An EHOT/DoP may be a prerequisite for a non-EHOT course.

g. EHOT Approval. The Tech Ops Training and Dev Group must approve all new EHOT courses and revisions to the EHOT portions of existing ones.

h. Theory-of-Operations Bypass Examinations for EHOT Courses. Theory-of-operations bypass examinations for EHOT courses must address the following topics: theory-of-operations, troubleshooting, preventive maintenance, maintenance documentation, and certification. Theory-of-operations bypass examinations for EHOT courses satisfy the theory requirement for certification authority. The OJT and performance exam requirements must still be met.

i. No Training Equivalencies for EHOT Courses. There is no training equivalency for an EHOT course. There may be a combination of a theory-of-operations course or theory-of-operations bypass examination that, when coupled with an OJT course, meets the requirements for certification authority.

4-6. Demonstration of Proficiency (DoP). A DoP is given following successful completion of an Academy Tech Ops Training Div or out-of-agency theory-of-operations training conducted as EHOT. Successful completion of the DoP satisfies the third step toward attainment of personnel certification authority. Additional guidance follows:

a. Content of DoP Materials. A DoP consists of one or more troubleshooting problems, a difficult maintenance task (or more than one task if none are difficult), and a written component covering the standards and tolerances, preventative maintenance requirements, certification requirements, and certification exceptions.

b. Specific DoP Material. The specific DoP must be taught in the course, but only the maintenance task is to be provided to the technical specialist prior to the actual demonstration. For example, troubleshooting is taught and practiced in the course, including the trouble that must be in the demonstration, but the specific problem to be done in the demonstration is not given prior to the actual demonstration.

c. Clean Testing Material. The technical specialist must be provided with handbooks, schematics, TIBs, and troubleshooting guides without student notes or student alterations for use during the DoP. The use of notes or student laboratory books is not allowed.

d. Number of Training Systems Determines Number of Examiner(s). Depending on the number of training systems and the nature of the task being demonstrated, more than one technical specialist may be tested at one time. For example, if there are four training systems and the maintenance task being performed is done at a system monitor and the result can only be obtained if completed correctly, there is no need for more than one examiner. The written portion may be done in a classroom environment with one examiner.

e. DoP Approval. The Tech Ops Training and Dev Group must approve all new DoPs and revisions to existing ones.

f. Recording DoP Completions. Documentation of completion of a DoP at the FAA Academy must be done by Academy Tech Ops Training Div using internal processes. That documentation must be kept on file at the Academy Tech Ops Training Div for two years. It is not kept in the OCRF. The Academy Tech Ops Training Div must enter the DoP completion into eLMS.

g. DoP for New Systems. For new systems, the initial theory-of-operations training containing EHOT may be developed and conducted at a manufacturer's location under the out-of-agency process. In those instances, the DoP may also be conducted at the manufacturer's location, provided the requirements of paragraph 4-6 are met.

Chapter 5. Personnel Certification Authority

5-1. Personnel Certification Process. The personnel certification authority process measures the technical specialist's ability and knowledge of equipment theory-of-operations and requires administration of OJT or EHOT and a practice demonstration of skills though the administration of a DoP/performance examination by an appointed examiner. This ensures that technical specialists possess the minimum skills necessary to certify a given type of system, subsystem, or service.

5-2. Sources for Certification Authority Requirements. Personnel certification requirements are derived from the systems, subsystems, equipment, and services requiring certification. Acronyms for documenting personnel certifications are listed in the latest version of FAA Order 6000.15, Appendix 3, Systems, Subsystems, and Services Requiring Certification. The theory-of-operations training, OJT/EHOT, and DoP/performance examination requirements are identified in Appendix 5, Air Traffic Organization (ATO) Personnel Certification Requirements. Additional guidance follows:

a. Appendix 5 may list a particular theory-of-operations course, OJT course, or performance examination/DoP in many entries. The requirement only needs to be met once and does not have to be repeated for each listing. For example, EP15 is a performance examination listed many times for various systems but it needs to be performed only once to satisfy all of the requirements. The individual granting certification authority may require a retake of the performance examination, especially if some years have passed since the first one.

b. When the same theory-of-operations course, OJT, and performance examination apply to multiple equipments of the same type, they only need to be taken once. For example, all Visual Approach Slope Indicators (VASIs) have the same theory-of-operations training, OJT, and performance examination. Completing the OJT and performance examination on one equipment leads to certification authority for all equipments of that type.

c. In some cases, the acronyms of FAA Order 6000.15, Appendix 3, Systems, Subsystems, and Services Requiring Certification, may be combined by Tech Ops Training and Dev Group into one general acronym (i.e., RCAG, RCO, RTR, BUEC, and ECS may be consolidated into COMM).

5-3. Use of Certification Authority in Other Federal Aviation Administration (FAA) Programs. FAA personnel with appropriate user rights and responsibilities must update an employee's certification authorization records in the FAA logging system after any change to his/her personnel certification authority status (granted, revoked, inactive, or active). Additionally, the first level manager may need to obtain or modify the employee's AOV credentials as appropriate. *NOTE: Certification Authority status errors in the FAA logging system could prevent proper certification of facilities and potentially delay restoration of facilities.*

5-4. Documentation of Certification Authority. Certification authority must be documented on FAA Form 3400-3, Technical Operations Personnel Certification/Verification Authority Record, in the nationally approved software system, by the last four digits/characters of the

Facility Identification Code (FIC) or facility/service type for those without a FIC. The entries on FAA Form 3400-3 must follow the listing for that FIC(s) or acronym in Appendix 5. FAA Form 3400-3 documentation enables the technical specialist to exercise his/her certification authority for all facilities of the FIC(s) (or type for those without a FIC). The official FAA Form 3400-3 resides in the nationally approved software system. Printed copies may be made for local reference but all entries are made in the nationally approved software system. Additional guidance follows:

a. The information on FAA Form 3400-3 must include, but is not limited to the following:

(1) All certification authorities.

(2) Theory-of-operations qualification(s) that support each certification authority, with date of completion. If the training was informal, as allowed by paragraph 5-6a, the method used must be entered in the Theory Remarks block. If informal training was delivered by a local technical specialist, the name of the trainer must be entered.

(3) OJT qualification(s) that support each certification authority, with date of completion. The name of the OJT instructor must be entered in the OJT Remarks block. If OJT was satisfied by EHOT, the instructor name is not required.

(4) Performance qualification(s) that support each certification authority, with date of completion. The name of the examiner must be entered in the Performance Qualifying Remarks block. If performance qualification(s) was completed via DoP, the examiner name is not required. Other information that may be entered in the Performance Qualifying Remarks block includes the time used for the exam and the score.

(5) The name and date of the technical specialist making the entries. This must be automatically inserted by the nationally approved software system based on the technical specialist's user identification and password.

(6) Comments regarding the certification authority entry in the Comments block.

(7) The name of the first-level manager and the endorsement date. This must be automatically inserted by the nationally approved software system based on the first-level manager's user identification and password.

(8) The name of the certification authority grantor and the date granted. This must be automatically inserted by the nationally approved software system based on the grantor's user identification and password.

(9) The name of the individual revoking a certification authority and the date revoked. This must be automatically inserted by the nationally approved software system based on the individual's user identification and password.

b. Certification authorities entered on FAA Form 3400-3 prior to January 1, 1998 are considered valid and do not require correction. Certification authorities entered on FAA Form

3400-3 prior to March 5, 2002 do not need dates or course information for OJT because entries on OJT were not required prior to that date.

5-5. Individuals Requiring Certification Authority. Only FAA employees may be granted certification authority. FAA individuals required to hold certification authority for systems, subsystems, or services are identified as follows:

a. All technical specialists that certify systems, subsystems, or services.

b. Performance examiners in the workplace.

c. DoP examiners at the FAA Academy or vendor locations.

d. OJT instructors in the workplace providing instruction for OJT packages that lead to certification authority.

e. Other personnel, as required by duties or administrative determinations.

5-6. Certification Authority Acquisitions. Acquisition of certification authority is a four-step process that requires the satisfactory completion of theory-of-operations training, OJT or EHOT, a DoP or performance examination, endorsement by the first-level manager, and a review and determination by the District second-level/OCC/POG/TSOG/Academy Tech Ops Training Div manager that all procedures have been properly followed. Individuals attending theory-of-operations courses with the intention of attaining certification authority should attain the authority within 180 days of the completion of the theory-of-operations course. Approval must be obtained from AOV prior to granting an individual a certification authority on a system, subsystem, or service which was previously revoked due to a lack of proficiency.

a. Theory-of-Operations Requirement. The theory-of-operations requirement is the first step of the personnel certification authority process. The satisfactory completion of the theory-of-operations requirement confirms that the individual possesses satisfactory knowledge of the system, subsystem, or service. The following is a list of options to satisfy the theory-of-operations requirement, in accordance with Appendix 5:

(1) Tech Ops Training and Dev Group/Academy Tech Ops Training Div-approved course(s), which are to include, but are not limited to resident training (training conducted at the FAA Academy by an FAA instructor or a designated out-of-agency trainer) and DL.

(2) Theory-of-operations bypass examination, which is a Tech Ops Training and Dev Group/Academy Tech Ops Training Div-approved written examination that measures the level of knowledge required for a specific type of system, subsystem, or service. These examinations are typically used to bypass resident courses.

(3) When the Tech Ops Training and Dev Group has advised that no theory-of-operations method is available (i.e., for older/unique equipment), technical specialists who have successfully completed documented, informal theory-of-operations training can satisfy the requirement. Informal theory-of-operations training is training conducted at the Service Area or

field level by another technical specialist, a manufacturer's representative, or another course previously taken on similar equipment. The informal method used must be approved in advance by the PSS and documented on FAA Form 3400-3 in the nationally approved software system.

b. OJT Requirements/EHOT. The second step of the personnel certification authority process is either OJT or EHOT. Additional guidance on OJT and EHOT is provided in Chapter 4, On-the-Job Training (OJT), Enhanced Hands-On Training (EHOT), and Demonstration of Proficiency (DoP) Administration. The OJT or EHOT requirement can be met by:

(1) A nationally developed OJT course, or a locally developed OJT course when a national OJT course has not been published.

(2) EHOT conducted as an integral part of a theory-of-operations course.

c. Requirements for DoP Proficiency. The third step of the personnel certification authority process requires successful DoP, either in the field or at the FAA Academy. Additional guidance on performance examinations is provided in paragraph 3-5c. Additional guidance on DoP is provided in paragraph 4-6. Requirements for performance proficiency may be met by:

(1) The mandatory utilization of a published nationally developed performance examination, or a locally developed performance examination when a national performance examination has not been published.

(2) DoP administered after completion of an EHOT theory-of-operations course.

d. Endorsement and Review. The fourth step in the personnel certification authority process is accomplished by an endorsement from the first-level manager and a review and determination by the District second-level/OCC/POG/TSOG/Academy Tech Ops Training Div manager that all procedures have been properly followed. The process is as follows:

(1) The first-level manager must endorse a technical specialist for certification authority after determining his/her site familiarity and capability to perform work practices. Examples of site familiarity and work practices that may be considered are contained in Appendix 1, Listing of Forms and Examples, Figure 1-5, Instructions for Preparing FAA Form 3000-20, Air Traffic Organization Group Training Needs Assessment (TNA) Form. The first-level manager must endorse the capability on FAA Form 3400-3 in the nationally approved software system. If the technical specialist requiring endorsement is a first-level manager, another first-level manager selected by the second-level manager must make the endorsement.

(2) The District second-level/OCC/POG/TSOG/Academy Tech Ops Training Div manager reviews the information provided on the FAA Form 3400-3 in the nationally approved software system and determines that certification authority can be granted, as well as what type of certification to grant (listed in paragraph 5-7). The District second-level/OCC/POG/TSOG/ Academy Tech Ops Training Div manager grants certification authority on FAA Form 3400-3 in the nationally approved software system.

5-7. Certification Authority Types. This paragraph covers the three types of certification authority.

a. Regular Certification Authority. Regular certification authority on a system, subsystem, or service may be granted to a technical specialist by the District second-level/ OCC/POG/TSOG/Academy Tech Ops Training Div manager after satisfying the approved theory-of-operations, OJT/EHOT, and DoP/performance examination requirements identified in Appendix 5. The OCC manager may grant regular certification authority to OCC technical specialists for only those OCC facilities identified in their cost center's Facility, Service, and Equipment Profile (FSEP).

b. Temporary Certification Authority.

(1) Temporary certification authority may be granted by the District second-level/OCC/POG/TSOG/Academy Tech Ops Training Div manager on a specific type of system, subsystem, or service based upon a determination of operational need. Temporary certification authority should only be granted during unusual circumstances (i.e., when there is an immediate need and the normal process would take too long). This authority may be granted for a minimum period of one month at a time and must not be granted to the same individual for more than six months within any 12-month period on the same system, subsystem, or service.

(2) The granting of temporary certification authority must be formally and fully documented. The revocation date must be identified on FAA Form 3400-3 at the time the authority is granted (the nationally approved software system automatically sets the revocation date to 90 days). The District second-level/OCC/POG/TSOG/Academy Tech Ops Training Div manager must be satisfied with the proficiency of the technical specialist. Examples of FAA Form 3400-3 are shown in Appendix 1, Figure 1-32, Sample FAA Form 3400-3, Technical Operations Certification/Verification Authority Record, columns 7 and 8.

(3) When granting temporary certification authority to an individual who has not previously met applicable theory-of-operations requirements, training used in lieu of theory-of-operations requirements must be related (i.e., a technical specialist certified on a FA-9639 DME may be granted temporary certification authority for a FA-9783 DME; on the other hand, training on Communications equipment cannot be considered applicable to DME).

(4) Temporary certification authority must not be granted to technical specialists who, on the last attempt, failed the theory-of-operations requirement, OJT requirement, or performance requirement for the pertinent system, subsystem, or service.

c. Remote Regular Certification Authority. Remote regular certification authority on a system, subsystem, or service may be granted to technical specialists who are responsible for accomplishing remote certifications through the use of Remote Maintenance Monitoring (RMM) equipment and capabilities. It is intended for OCC personnel, although other technical specialists may also be issued remote regular certification authorities when required by their position.

(1) In order to gain remote regular certification authority, the technical specialist must satisfy the approved remote theory-of-operations, OJT/EHOT, and DoP/performance examination requirements, as shown in Appendix 5.

(2) Technical specialists who have regular certification authority for a system, subsystem, or service that has RMM capabilities are not required to attain remote regular certification authority (e.g., an Airway Transportation Systems Specialist [ATSS] with regular certification authority for 2nd Generation Very High Frequency [VHF] Omnidirectional Range [VOR] would not need remote regular certification authority). A sample of FAA Form 3400-3 is shown in Appendix 1, Listing of Forms and Examples, Figure 1-32, column 9.

5-8. Granting of Certification Authority in Emergencies. In an emergency situation, the District second-level/OCC/POG/TSOG manager may grant one of the three certification authority types through the most expedient means (i.e., messenger, email, or telephone), provided the requirements of paragraph 5-7 for the type of authority granted are met. This action must be followed up within a week with the appropriate documentation, in accordance with this order.

5-9. Converting Former Interim Certification Authorities. FAA Order 3400.3H contained a process for interim certification authority. All interim certifications granted in accordance with the provisions of FAA Order 3400.3H and granted prior to September 17, 2007 must be converted to regular certification authority once the technical specialist has held the interim certification for 12 months with satisfactory performance. The conversion must be endorsed by the first-level manager and granted by the second-level manager. Interim certification authorities that are not converted by December 17, 2008 will be automatically revoked in CMRIS. An example of a conversion entry is provided in Appendix 1, Figure 1-32, column 15.

5-10. Establishment of Certification Authority for New Systems. When new systems are installed, there are two methods to begin the process to attain certification authority:

a. Temporary Certification Authority for New Systems. Temporary certification authority may be granted to technical specialists in accordance with paragraph 5-7b and subparagraphs. Those technical specialists then administer the OJT and performance examinations to other technical specialists. The individuals with temporary certification authority attain regular certification authority by taking the OJT and performance examination from individuals who they did not train or examine.

b. Three or More Years of Experience on Similar Systems. The second method applies only to those new systems that have a nationally approved theory-of-operations course. Each second-level manager within the District may grant regular certification authority for up to two technical specialists in his/her organization. The regular certification authority may be granted if the technical specialist has completed the nationally approved theory-of-operations course and has three or more years of experience as a certified technical specialist on a similar system. Those two technical specialists would then administer the OJT and performance examinations to other technical specialists.

(1) Examples of similar systems are: Mark 1F Instrument Landing System (ILS) would be similar to Mark 20 ILS; 2nd Generation VOR would be similar to 3rd Generation VOR; and Automated Weather Sensor System (AWSS) would be similar to Automated Weather Observing System (AWOS). An example of an entry is provided in Appendix 1, Figure 1-32, column 16.

5-11. Review of Certification Authority. On an annual basis, the first-level manager reviews the proficiency of each technical specialist and the second-level manager confirms the review.

a. First-Level Review of Certification Authority. The first-level manager and the technical specialist must ensure retention of proficiency as long as the certification authority is active. The first-level manager must review the proficiency of each technical specialist, including his/her own. The first-level manager must perform a proficiency review of active certification authorities annually (no more than 13 months after the previous review), or whenever a question arises concerning the individual's technical proficiency. The first-level manager must document the review on the technical specialist's FAA Form 3400-3 in the nationally approved software system. An example of an annual review is shown in Appendix 1, Figure 1-32, column 5.

(1) The review of a technical specialist may be an examination of his/her ability to perform designated procedures and adjustments, or an observation of on-the-job performance. The observation of on-the-job performance must include a review of site condition, restoration activities, Air Traffic (AT) reports, maintenance logs, and other information gathered during normal execution of the manager's duties throughout the year. The documentation on the FAA Form 3400-3 in the nationally approved software system must include the following statement: "ATSS proficient for all active certification authorities on 3400-3."

(2) A first-level manager retains proficiency of active certification authorities by managing technical specialists who have active certification authorities on the same systems, subsystems, or services. The manager keeps current on the systems by reviewing the work of the technical specialists he/she manages, visiting the facilities, participating in outage coordination and restoration, and doing technical specialists' performance appraisals. The first-level manager documents the review on his/her FAA Form 3400-3 in the nationally approved software system with the following statement: "I manage technical specialists with the same active certification authorities that I hold."

b. Second-Level Review of Certification Authority. The District second-level/OCC/POG/TSOG/Academy Tech Ops Training Div manager confirms the manager's review and recommendation. This review may include supporting documents such as certification authority records in the nationally approved software system. This review must be documented on the technical specialist's FAA Form 3400-3 in the nationally approved software system with the following statement: "All active certification authorities on 3400-3 continued." An example of an annual review is shown in Appendix 1, Figure 1-32, column 5.

5-12. Certification Authority Inactivity. A certification authority must have one of three statuses: active, inactive, or revoked. During the annual review of each specialist, the first-level manager must determine if any of the certification authorities have become inactive. If a

certification authority is determined to be inactive, the first-level manager must notify the PSS via email to change the technical specialist's FAA Form 3400-3 entry and certification authorization records in the FAA logging system to reflect inactive status. The first-level manager must also notify the technical specialist via email of the change to his/her certification authority.

a. The first-level manager must initiate a change to inactive status for any certification authority on a particular system, subsystem, or service when a technical specialist has not certified the system, subsystem, or service for a period of two years or more at the date of the annual review.

b. The first-level manager must initiate a change to inactive status for any certification authority he/she holds on a particular system, subsystem, or service when he/she has not certified the system, subsystem, or service for a period of two years or more at the date of the annual review, and he/she does not supervise an employee holding active certification on that system, subsystem or service. There is no requirement to check for inactivity throughout the year.

c. Academy instructors do not work on or certify NAS systems, so the requirement for maintaining an active certification is different for them. The first-level manager must initiate a change to inactive status for any certification authority when an Academy instructor has not administered a DoP for a period of two years or more at the date of the annual review.

d. Technical specialists with an inactive certification authority may perform logging and maintenance activities, in accordance with FAA Order 6000.15, General Maintenance Handbook for National Airspace (NAS) Facilities, Chapter 5, Certification. They may administer OJT and/or performance examination(s). This paragraph is intended as guidance for rare situations. If a technical specialist with an inactive status is performing these types of activities more than once every two years, the status must be changed back to active, following the procedures in paragraph 5-13.

5-13. Change in Inactive Certification Authority Status. The inactive certification authority status may be changed by the District second-level/OCC/POG/TSOG/Academy Tech Ops Training Div manager using the following process and policy.

a. Prior to a change of the inactive certification authority status for a particular system, subsystem, or service, the proficiency of the technical specialist must be evaluated by the first-level manager. The evaluation must use one or more of the following methods:

(1) Require the technical specialist to receive informal hands-on refresher training from another certified technical specialist. The minimum length of the refresher training must equal or exceed the time required for the performance examination on the particular system, subsystem, or service.

(2) Require the technical specialist to take the OJT course for the system, subsystem, or service. All of the policies and procedures for taking an OJT course for a certifiable system must be followed.

(3) Require the technical specialist to take the performance examination for the system, subsystem, or service. All of the policies and procedures for taking a performance examination must be followed.

b. Following a positive result of the evaluation in paragraph 5-6d and subparagraph(s), the manager must forward to the District second-level/OCC/POG/TSOG/Academy Tech Ops Training Div manager a written recommendation to change the employee's certification authority to active status. This written recommendation must be via email. The written assessment must contain the following:

(1) Name of the technician being evaluated.

(2) Certification authority.

(3) Date of the status change.

(4) Results of the evaluation.

(5) Name of the technical specialist that provided training or examination.

(6) The time used for the training or examination.

(7) The results of the informal hands on refresher training, OJT, and/or performance examination.

c. The District second-level/OCC/POG/TSOG/Academy Tech Ops Training Div manager must review the written recommendation. If he/she approves, he/she must notify the PSS via email to change the certification authority status to active. A copy of the approved recommendation must be filed in the employee's OCRF. The technical specialist must be notified of the action via email.

d. If it is determined by the first-level manager that an employee with an inactive status certification authority needs to repeat the theory-of-operations requirement, the certification authority must be revoked, in accordance with paragraph 5-14 and subparagraph(s).

5-14. Revocation of Certification Authority. The Aviation Safety, Air Traffic Safety Oversight (AOV) must be notified, using procedures established by Technical Operations Services, of any revocation due to a lack of proficiency. Approval must be obtained from AOV prior to granting an individual a certification authority on a system, subsystem, or service which was previously revoked due to a lack of proficiency. Certification authority must be revoked when one of the following circumstances occurs (certification authority should not be revoked for any other reason):

a. When it is determined by the District second-level/OCC/POG/TSOG/Academy Tech Ops Training Div manager that the proficiency (performance and/or knowledge of theory-of-operations) of a technical specialist has deteriorated to a level such that continued certification of a system, subsystem, or service by the technical specialist might render it unusable or unsafe for use. The following apply to revocations for lack of proficiency:

(1) The technical specialist must receive written notification within 24 hours of such action, and is required to promptly acknowledge receipt of the action to the office issuing the revocation notice. Copies of the notification and acknowledgement must be filed in the technical specialist's OCRF and the entry on the FAA Form 3400-3 form must be changed to reflect the revocation.

(2) Immediately upon revocation of certification authority, the technical specialist must be counseled and a written formal program designed to restore proficiency must be initiated. See paragraph 3-30 for guidance on written formal programs. If the revoked certification authority is required for the technical specialist's existing position, he/she must be given an opportunity to reacquire certification authority in accordance with the process described in this order.

b. When the end date of the temporary certification authority period is reached. The temporary certification revocation date was entered when the authority was granted and no further action to revoke it is needed.

c. When a regular or remote regular certification authority is granted for the same system, subsystem, or service that has a temporary certification, the temporary certification may be revoked or it may be left and allowed to reach its normal revocation date.

d. When certification authority is discovered to have been erroneously granted, the District second-level/OCC/POG/TSOG/Academy Tech Ops Training Div manager must revoke it and notify the technical specialist via email. The entry on the FAA Form 3400-3 form must be changed to reflect the revocation. Administrative errors in documenting training or examinations may be corrected without revoking certification authority. Corrections are to be made in accordance with paragraphs 6-6 and 6-7.

e. If it is determined by the first-level manager that a technical specialist with an inactive status certification authority needs to repeat the theory-of-operations requirement, the certifications authority must be revoked. In this case, no written formal program is required. The first-level manager must inform the technical specialist via email and begin the process to obtain training in the applicable theory-of-operations requirement.

f. When there are no longer any systems of a particular type commissioned in the NAS. After a review of the FSEP to verify that this type of system is no longer commissioned in the NAS, the PSS must take action to revoke the certification. The revocation must include a comment as follows: "Certification revoked, no commissioned systems in the NAS."

5-15. Impact of Changes to Existing Certification Authorities. Unless advised otherwise by Tech Ops Training and Dev Group, certification authority previously granted must not be affected by later changes in examination and/or course configurations.

5-16. Modernizations and/or Equipment Replacement. A new certification authority may be required following any NAS modernization project or major equipment modification or replacement that results in a hybrid system or equipment having new theory-of-operations requirements. The Tech Ops Training and Dev Group must determine when a new certification authority is required.

5-17. Certification Authority Review Program. The Tech Ops Training and Dev Group must establish a review process for the recording of certification entries in the nationally approved software system (see Appendix 15, Certification Tracking System (CTS) Review Process).

5-18. Test and Training Systems Used in the National Airspace System (NAS) During Emergencies. Headquarters organizations are developing emergency contingency plans to protect the NAS during catastrophic events. In the event that these plans include the activation of test facilities for use in the NAS (e.g., configuring test facilities at the Technical Center to replace the facilities and function of an ARTCC by providing connectivity and bringing controllers and technical specialists to the Technical Center), they may require certification as specified in FAA Order 6000.15.

a. When the test or training facilities do not have a direct equivalent in the NAS, the District second-level/OCC/POG/TSOG/Academy Tech Ops Training Div manager may use the temporary certification authority process to grant certification authority to technical specialists assigned to these facilities.

b. Specific personnel certification authority documentation on FAA Form 3400-3 in the nationally approved software system is not required for these test or training facilities used in the NAS.

Chapter 6. Files, Forms, and Records

6-1. General. In accordance with Department of Transportation (DOT) policy, the official training history for all FAA employees resides in the electronic Learning Management System (eLMS). In accordance with this order, all of the records and forms generated must have filing directions included in the form descriptions listed in paragraph 6-2 and subparagraphs. Each employee may have a training file (see paragraph 6-3 for guidance). An Official Certification Record File (OCRF) must be established and maintained in the Service Area/Academy Tech Ops Training Div for each technical specialist requiring certification authority. If an individual has an OCRF, he/she does not need a separate training file. Field managers may maintain an informal training/certification file, in accordance with the latest version of FAA Order 1350.15, Records Organization, Transfer and Destruction Standards.

6-2. Forms Description and Use. The forms associated with the ATO Technical Operations Training and Personnel Certification Programs are described below. From the date of this order, all existing documentation must be retained in its current state, except for forms that are in use for existing training, OJT, or performance examinations. They may be used until the event is completed. At the time of any new action, the procedures contained in this order are required for the documentation process. Most of the forms listed below must be initiated in the nationally approved software system. The forms not in the nationally approved software system are available for downloading from FIST. Forms that must be retained must follow the guidance established in FAA Order 1350.15.

a. FAA Form 3000-14, Technical Operations Training Plan. This form is available in the nationally approved software system and must be printed from there. Its primary use is to submit annual training requirements. It is also the document used to plan and communicate training events between a first-level manager and an employee. Instructions for accessing the Certification Tracking System (CTS) are contained in Appendix 6, Instructions for Accessing the FAA Information Superhighway for Training (FIST); Comprehensive Management Resource Information System (CMRIS); and electronic Learning Management System (eLMS). This form is printed from the nationally approved software system, signed by the manager and employee, and maintained with the employee's performance management documentation. Specific guidance for completing the form(s) is provided in Appendix 1, Listing of Forms and Examples, Figure 1-1, Instructions for Preparing FAA Form 3000-14, Technical Operations Training Plan.

b. FAA Form 3000-20, Air Traffic Organization Group Training Needs Assessment (TNA) Form. A TNA is required by the Congressional Training Restrictions. Use of this form is optional, but all of the information contained on this form must be included on any locally developed group TNA form. The completed group TNA form must be filed at the Service Center. Specific guidance for completing the form(s) and sample form(s) are provided in Appendix 1, Figure 1-5, Instructions for Preparing FAA Form 3000-20, Air Traffic Organization Group Training Needs Assessment (TNA) Form; and Figure 1-7, Sample FAA Form 3000-20, Air Traffic Organization Group Training Needs Assessment (TNA) Form.

c. FAA Form 3000-21, Operational Necessity Waiver. This form is initiated in the nationally approved software system and then printed for use. The nationally approved software system populates the data entry as much as possible. The signed hard copy must be kept for 24

hours after the approval/disapproval has been entered into the nationally approved software system by the Service Center TPMO. The Program Support Specialist (PSS) must print a copy of the form from the nationally approved software system and file it in the employee's OCRF. A sample form(s) is provided in Appendix 1, Figure 1-13, Sample FAA Form 3000-21, Operational Necessity Waiver.

d. FAA Form 3000-22, Air Traffic Organization Individual Training Needs Assessment (TNA) Form. A TNA is required by the Congressional Training Restrictions. Use of this form is optional, but all of the information contained on this form must be included on any locally developed individual TNA form. The completed individual TNA form must be filed at the Service Center. Specific guidance for completing the form(s) and sample form(s) are provided in Appendix 1, Figure 1-8, Instructions for Preparing FAA Form 3000-22, Air Traffic Organization Individual Training Needs Assessment (TNA) Form; and Figure 1-10, Sample FAA Form 3000-22, Air Traffic Organization Individual Training Needs Assessment (TNA) Form.

e. FAA Form 3000-23, Training Equivalency Request. Requests for training equivalencies must be submitted using this form. The completed form is filed with the Academy Tech Ops Training Div. Specific guidance for completing the form(s) and sample form(s) are provided in Appendix 1, Figure 1-14, Instructions for Preparing FAA Form 3000-23, Training Equivalency Request; and Figure 1-16 Sample FAA Form 3000-23, Training Equivalency Request.

f. FAA Form 3000-25, Pre-Training Notification Form. A pre-training notification is required by the Congressional Training Restrictions. This form is initiated in the nationally approved software system and then printed for use. Specific guidance for completing the form(s) and sample form(s) are provided in Appendix 1, Figure 1-17, Instructions for Preparing FAA Form 3000-25, Pre-Training Notification Form; and Figure 1-19, Sample FAA Form 3000-25, Pre-Training Notification Form from Quota Management Tool (QMT). Use of this national form is optional, but all of the information contained on this form must be included on any locally developed pre-training notification form. The completed form must be filed by the first-level manager.

g. FAA Form 3400-3, Technical Operations Personnel Certification/Verification Authority Record. This form resides in the nationally approved software system and is the official certification authority record for a system, subsystem, or service. The form must be used to record the status of each certification authority for the technical specialist. The nationally approved software system must automate the data entry as much as possible, including automatically sending email notification of pending actions. See Chapter 5, Personnel Certification Authority for details on the information required in this form. Specific guidance for completing the form(s) and sample form(s) are provided in Appendix 1, Figure 1-21, Instructions for Preparing FAA Form 3400-3, Technical Operations Personnel Certification/Verification Authority Record.

h. FAA Form 3400-15, Performance Examination Cover Sheet. This form must be used for documenting all field performance examinations (nationally or locally developed) and for designating the examiner. It is initiated in the nationally approved software system and then

printed for use. The nationally approved software system must populate the data entry as much as possible, including automatically sending email notification of pending actions.

(1) For locally developed examinations, the certification and key performance parameters tested must be listed on the back of the form. The cover sheets for locally developed performance examinations, and the listing of parameters tested, must be filed in the employee's OCRF.

(2) The cover sheets for successfully completed nationally developed performance examinations can be disposed of 24 hours after the completion has been entered in eLMS and the certification authority has been granted. FAA Form 3400-15 for a failed performance examination must be filed in the employee's OCRF until the performance examination is successfully completed and certification authority has been granted. There is no requirement to file the body of the examination.

(3) Specific guidance for completing the form(s) and sample form(s) are provided in Appendix 1, Figure 1-33, Instructions for Preparing FAA Form 3400-15, Performance Examination Cover Sheet.

i. FAA Form 3400-16, On-The-Job Training (OJT) Progress Form for Certifiable Systems. This form must be used for documenting all nationally or locally developed OJT and can be used to authorize an extension of the OJT hours. It is initiated in the nationally approved software system and then printed for use. The nationally approved software system must automate the data entry as much as possible.

(1) There is no requirement to file the OJT package. FAA Form 3400-16 for successfully completed OJT can be disposed of 24 hours after the completion has been entered in eLMS and the certification authority has been granted. FAA Form 3400-16 for a failed OJT package must be filed in the employee's OCRF until the OJT package is successfully completed and certification authority has been granted.

(2) Specific guidance for completing the form(s) and sample form(s) are provided in Appendix 1, Figure 1-37, Instructions for Preparing FAA Form 3400-16, On-The-Job Training (OJT) Progress Form for Certifiable Systems; Figure 1-40, Sample On-the-Job Training (OJT) Progress Form for Certifiable Systems (For National On-the-Job Training [OJT]); and Figure 1-41, Sample On-the-Job Training (OJT) Progress Form for Certifiable Systems (For Locally Developed On-the-Job Training [OJT]).

6-3. Training File for Records Not in electronic Learning Management System (eLMS). Each employee will have a training file for those training records that are not in eLMS. The file does not need to be established until needed. Technical specialists who have an OCRF do not have a separate training file and all of the records go in the OCRF. The training file contains the following types of records:

a. Written Formal Programs. Written formal programs for a failure to successfully complete training or examinations, as required in this order.

b. Other Documents as Needed. There may be other documents filed in the training file that are not already included in eLMS.

6-4. Official Certification Record File (OCRF). Each technical specialist who holds personnel certification authorities of any status must have an OCRF. The OCRF consists of both paper records and electronic records. The electronic records are in eLMS and other nationally approved software system(s). The file must contain the documentation to substantiate the technical specialist's qualifications to possess certification authority on a specific system, subsystem, or service. Printed copies of the electronic records may be made for local reference. The OCRF must contain the following:

a. FAA Form 3400-3. The official FAA Form 3400-3 is located in the nationally approved software system database and is considered part of the individual's OCRF. Printed copies may be made for local reference, but all entries are made in the nationally approved software system.

b. Legacy Signed FAA Form 3400-3. Printed FAA Forms 3400-3 that were established and contain certification authorities granted prior to September 17, 2007 are maintained in the OCRF. Even though the information from these forms has been transferred to the nationally approved software system, the paper documents are the official signature containing records and must be maintained in the OCRF.

c. Legacy Signed FAA Form 3400-5. Printed FAA Forms 3400-3 that were established and contain certification authorities granted prior to September 17, 2007 are maintained in the OCRF. Even though these forms are no longer required, they need to be retained for historical purposes.

d. eLMS is Part of OCRF. The official training history for those courses, and for examinations that support a certification authority, is located in eLMS and is considered part of the individual's OCRF. Printed copies may be made for local reference, but all training events are entered in eLMS. Some of the examinations completed prior to the October 1, 2005 implementation of eLMS may not be recorded in eLMS and the paper records of those examinations are filed in the OCRF. Those prior completions are recorded in the FAA Form 3400-3 in the nationally approved software system and do not need to be added to eLMS.

e. FAA Form 3400-16. FAA Form 3400-16 is originated in the nationally approved software system and then printed for use. Paragraph 7-2i provides guidance on when the form is to be filed in the OCRF.

f. FAA Form 3400-15. FAA Form 3400-15 for both nationally and locally developed performance examinations is originated in the nationally approved software system and then printed for use. Paragraph 6-2h provides guidance on when the form is to be filed in the OCRF.

g. Written Formal Programs. Written formal programs for a failure to successfully complete training or examinations.

h. OJT Waivers. OJT Waiver Memorandums, per paragraph 3-16d and subparagraph(s).

i. Inactive-to-Active Status Approvals. Copies of approved recommendations to change a status from inactive to active. These recommendations and approval are done via email and a printed copy of the email is filed in the OCRF.

j. Other Documents as Needed. There may be other documents filed in the OCRF that are not already included in eLMS.

6-5. Transfer and Retention of Training Files/Official Certification Record Files (OCRFs). An employee's training file or OCRF must be maintained in accordance with the latest version of FAA Order 1350.15. Transfers and retention are as follows:

a. When an employee is reassigned to another location or other FAA office, the training file or OCRF must be transferred by traceable delivery service or by messenger to the technical specialist's new location or office within 30 days.

b. Once an employee has left the agency, or a technical specialist has transferred to a position where he/she no longer needs personnel certification authority, the training file or OCRF must be processed as follows:

(1) The file must be transferred by traceable delivery service or by messenger the Service Center TPMO, who holds it for five years.

(2) The file is then sent by traceable delivery service or by messenger to the Federal Records Center for another five years. It is then offered to the National Archives and Records Administration (NARA). If the NARA does not want the file, it is then destroyed.

6-6. Form and Record Correction Procedures. Due to administrative mistakes or oversights, forms and records sometimes contain errors. For paper documents, errors may be corrected by drawing a line through the error, initialing on the line, and then entering the correct data.

6-7. Corrections to Federal Aviation Administration (FAA) Form 3400-3. Correction of errors to the official copy of the FAA Form 3400-3 in the nationally approved software system must be made in accordance with the instructions contained in the nationally approved software system.

a. Corrections Not Requiring Endorsement and Approval. Changes to the date or the Remarks block (for the theory-of-operations, OJT, or performance qualification course) may be made by the PSS without endorsement or approval.

b. Corrections Requiring Endorsement and Approval. If an FAA Form 3400-3 correction changes the theory-of-operations, OJT, or performance qualification course (and not just the date), the correction must be endorsed by the first-level manager and approved by the District second-level/OCC/POG/TSOG/Academy Tech Ops Training Div manager.

c. Printed Copy from Nationally Approved Software System Always Shows Original Entry. On the printed copy of the FAA Form 3400-3 within the nationally approved

software system, the record of the original entry must be in the original column and any corrections must be in a column with the same number and a letter.

d. Legacy Nationally Approved Software System Must Be Editable. The FAA Form 3400-3 version dated "November 2001" in the legacy nationally approved software system must be editable for corrections and must require a comment in the Remarks block about the correction.

e. Non-Administrative Mistakes Cannot Be Corrected. If a mistake was not administrative (for example, the individual actually took the wrong course or examination), the certification authority cannot be corrected and must be revoked.

6-8. Computer Security, Privacy, and Freedom of Information Act. Certain legal and regulatory restrictions are placed on the collection, use, and dissemination of information. See the latest editions of FAA Order 1280.1, Protecting Privacy of Information about Individuals, and the latest version of FAA Order 1370.82, Information Systems Security Program. These requirements must be applied to the provisions of this directive when and where appropriate. Accreditation of the automation program and equipment must be obtained from the Security and Hazardous Materials Division. See the latest version of FAA Order 1370.82 for procedures.

6-9. Automation of Records. Modern automation allows national access to centralized electronic database applications. These systems allow authorized users to execute training enrollments and prepare and store official certification records.

a. Authority. The nationally approved software system is the only electronic database application that may be used by Service Centers, Districts, OCCs, POG, TSOG, and AMA-400 to automate personnel certification records and perform quota management. FAA Forms 3400-3 that are superseded by automation should be retained for historical purposes.

b. System Stability. The nationally approved software system must have an approved disaster recovery plan to include a data backup system using local and off-site storage.

c. Data Retention. The nationally approved software system administrators must retain all data, in accordance with the latest version of FAA Order 1350.15.

d. Signatures. Management officials are authenticated in the nationally approved software system through successful login using a secure user identification and password. This secure login holds the same authority as the signature on the legacy paper form. The authorized individual may then perform the managerial endorsement to grant or revoke certification authority on FAA Form 3400-3 in the nationally approved software system. Management officials may also electronically approve FAA Form 3400-15.

Chapter 7. Verification of Personnel Maintaining Non-Federal Facilities

7-1. General. This chapter provides policy and guidance for the non-Federal technical verification program. Non-Federal facilities that have been approved for Instrument Flight Rules (IFR) and Air Traffic Control (ATC) procedures in the NAS are required to meet Federal Communications Commission (FCC) licensing requirements. The non-Federal personnel maintaining and verifying the facilities must meet the requirements specified in this chapter.

a. FCC License Needed to Maintain Transmitting Facility. Non-Federal personnel maintaining any transmitter or transmitting facility must possess an FCC General Radio Telephone Operator license, in accordance with 47 Code of Federal Regulations (CFR) Part 87 (71 and 73). In addition, non-Federal personnel must meet the FCC license requirements for Federal Aviation Regulations (FAR) Part 171 facilities, advisory circulars, and regulations.

b. Must Meet Minimum Competency Level. All non-Federal technicians are required to meet the minimum competency level with respect to theory-of-operations and performance requirements for the same or similar systems and equipment as FAA technical specialists.

7-2. Responsibility for Non-Federal Facilities. It is the responsibility of the Service Area Director to administer the non-Federal program, but portions may be delegated to other offices in the Service Area, including the POG, TSOG, and/or Districts. Responsibilities include the following:

a. Identify Non-Federal Facilities. Identify non-Federal facilities in their geographical area that are used, or will be used, in the NAS and have been approved for IFR and ATC procedures as outlined in FAR Part 171 and the latest version of FAA Order 6700.20, Non-Federal Navigational Aids and Air Traffic Control Facilities.

b. Verify Non-Federal Technician Capability. Establish methods for the appropriate Service Area personnel to verify the capability of non-Federal personnel who are assigned maintenance responsibility for these facilities. This verification must be accomplished through the administration of suitable examination procedures as delineated in this order.

7-3. Non-Federal Use of Federal Aviation Administration (FAA) Theory-of-Operations Courses/Bypass Examinations and Performance Examinations. Non-Federal technicians must use the inventory of FAA theory-of-operations courses, bypass examinations, and performance examinations. There must be no duplication of effort to develop unique examinations solely for the purpose of examining non-Federal technicians. The theory-of-operations bypass examinations must be graded exclusively by the Academy Tech Ops Training Div. See paragraph 7-4d for further guidance.

7-4. Training and Examination Requirements for Verification of Personnel Maintaining Non-Federal Facilities. Personnel responsible for the maintenance of non-Federal facilities described in paragraph 7-2a must demonstrate that they have the applicable

knowledge and skills required to adequately perform this task. This includes the minimum basic system concepts, specific system theory-of-operations, and specific system performance examinations. Use the certification requirements of Appendix 5, Air Traffic Organization (ATO) Personnel Certification Requirements as guidance for the specific courses and examinations. A separate performance examination is required on each different type of system or subsystem (as determined by the FIC) for which a non-Federal technician needs verification authority. The requirements are met through satisfactory completion of the following methods:

a. Basic System Concepts Requirements. For some non-Federal facilities, knowledge of basic system concepts is required prior to completing a specific system course. The basic system concepts requirements may be met by successful completion of one of the following (the non-Federal employers, or sponsors, determine which method listed in this subparagraph they will utilize to develop or measure a technician's level of competency for basic system concepts):

(1) An FAA Academy concept course or one of the equivalencies listed in the FIST course profile for the concept course. FAA Academy concept courses are titled using various names ("concepts", "theory", and "principles").

(2) A theory-of-operations bypass examination. For a list of the basic theory-of-operations bypass examinations, refer to the concepts course equivalency listing in the FIST course profile for the concepts course.

(3) For the purpose of FAA training and verification requirements, the possession of an FCC General Radio Telephone Operator license or an FAA General Radio Telephone Operator license with the additional (shipboard) Radar Endorsement must be considered equivalent to various FAA theory-of-operations bypass examinations as indicated in Appendix 3, Non-Federal Personnel Verification Program, Figure 3-1, Listing of Equivalent Theory-of-Operations Courses for Federal Communications Commission (FCC) Licenses and Endorsements.

(4) An equivalency based on the non-Federal technician's previous training and experience. The equivalency process used is described in paragraph 3-16b.

b. Specific System Theory-of-Operations Requirements. The specific system theory-of-operations requirements may be met by successful completion of one of the following (the non-Federal employers, or sponsors, determine which of the methods listed in this subparagraph they will utilize to develop or measure a technician's level of competency for specific system theory-of-operations):

(1) An FAA Academy system course or one of the equivalencies (if any) listed in the FIST course profile for the system course.

(2) An FAA-approved factory-conducted training course. See Appendix 3, Figure 3-2, Listing of FAA-Approved Factory-Conducted Training Courses. Courses that are purchased with the equipment from the Airport Improvement Program (AIP) listing of

authorized systems are to be considered FAA approved whether or not they are listed in Appendix 3.

(3) A theory-of-operations bypass examination. For a list of the theory-of-operations bypass examinations, refer to the course equivalency listing in the FIST course profile for the applicable system course.

(4) An equivalency based on the non-Federal technician's previous training and experience. The equivalency process used is described in paragraph 3-16b.

c. OJT Expectation for Non-Federal Technicians. While non-Federal technicians do not have to meet the OJT requirements that an FAA technician would, it is assumed that they will perform some type of OJT as preparation prior to taking a performance examination. This OJT does not need to be documented.

d. Performance/Verification Examinations. The examination requirement may be met by successful completion of one of the following (listed below), as chosen by the FAA. FAA employees who possess certification authority on the appropriate type or similar type of facility must administer performance examinations for non-Federal technicians.

(1) If available, use a verification examination. These are typically for non-standard facilities that do not have a performance examination for FAA technicians. Appendix 3, Figure 3-3, Verification Examinations for Non-Federal Facilities contains a list of non-Federal facilities and the appropriate verification examinations for each type. Appendix 3, Figure 3-4, Previous Verification Examinations for Non-Federal Facilities contains a list of previous verification examinations.

(2) Use a performance examination for an FAA facility that is the same as, or similar to, the non-Federal facility. FAA examinations are located on FIST.

(3) When a verification examination or a national performance examination has not been published, the non-Federal technician must satisfactorily complete a locally developed performance examination conducted by an authorized FAA examiner. See paragraph 3-5d for further guidance on locally developed performance examinations. If the system is a new type of non-Federal facility not already included in the NAS, the Service Area personnel developing the locally developed examination must send a copy to the Tech Ops Training and Dev Group so they can initiate action to have a suitable national examination created.

e. Prerequisite Training The non-federal employer (or sponsor) may choose the method for satisfying prerequisite courses that are not concepts, principles, or theory. For example, the prerequisite for a voice switching system theory-of-operations course may be the Introduction to Telecommunications course. This is not a basic concepts course and the non-Federal employer (or sponsor) may choose the method of satisfying it.

7-5. Effective Verification Date of Personnel Maintaining Non-Federal Facilities. Upon approval of a non-Federal system for use in the NAS, action must be taken to initiate

development of appropriate examinations to validate the knowledge and skills of personnel having maintenance responsibility for the equipment.

a. Personnel maintaining equipment incorporated in the NAS who have received verification authority in any form prior to December 12, 1994 and have maintained proficiency are not required to take additional theory-of-operations bypass examinations on the same system(s).

b. Non-Federal technicians assigned maintenance responsibility for presently approved systems or for new systems, as they are approved for incorporation into the NAS, must meet the requirements of paragraph 7-4.

7-6. Verification Responsibilities, Process, and Records. Non-FAA technicians maintaining non-Federally owned facilities, identified in paragraph 7-2a, are required to hold verification authority.

a. Non-Federal Technician's Verification Authority Responsibility. As delegated by the Service Area Director, a District/POG/TSOG manager is responsible for issuing non-Federal technicians verification authority on a specific system, subsystem, or service.

b. Non-Federal Sponsor Responsibilities. The non-Federal facility sponsor is responsible for hiring, assigning maintenance responsibility, and, with the help of Service Area personnel, ensuring that the technician meets the FCC licensing and FAA training and examination requirements.

c. Verification Authority Forms. Training and examination forms and records supporting verification authority must be maintained as follows:

(1) The verification authority must be documented on FAA Form 3400-3, Technical Operations Personnel Certification/Verification Authority Record. The official form may be printed from the nationally approved software system and manually completed, or an electronic template may be used to create the hard-copy document as long as it contains all of the blocks on the official form. The process for entering the data on the form is the same as for FAA technicians. The verification form must be maintained in hard-copy or in the nationally approved software system (if available).

(2) The office granting verification authority must maintain a copy of the technician's FCC license, basic system concepts, system theory-of-operations certificates, performance exam cover sheets, all verification letters, reviews, revocations, and any other supporting documentation.

d. Notice of Verification Authority. The individual non-Federal technician, the employer, the sponsor, and the Service Area non-Federal coordinator must be provided a written notice of successful completion of verification requirements and issuance of verification authority. This written notice may be in any form deemed appropriate by the responsible Service Area.

e. Service Area Non-Federal Records. The Service Area (usually through the office of a Service Area non-Federal coordinator) must maintain a record of all non-Federal facilities within their jurisdiction, the names of the sponsoring organizations, and the names of the technical personnel granted verification authority for each system.

f. Verification Authority Across Service Area Boundaries. Verification authority issued in one Service Area is valid in another. When a non-Federal employer (or sponsor) desires to utilize a technician holding verification authority in another Service Area, he/she must request a copy of the verification records from the issuing Service Area. These copies must be forwarded to the requesting Service Area and are used to document the verification authority, according to paragraph 7-4. If documentation is incomplete, verification must be reissued upon completion of the requirements and written notification provided, per paragraph 7-6(d). Otherwise, there is no requirement to reissue verification authority, other than to issue the written notification from the current District.

7-7. Training for Non-Federal Personnel. The FAA Academy maintains an elaborate correspondence, resident, and CBI training program for FAA personnel. These courses and training manuals are available to non-Federal personnel on a reimbursable cost basis. After non-Federal employers or sponsors receive a price quote, a written statement is required, listing the number of copies of material desired, unit price, total cost, and a statement that they are aware of the cost and agree to reimburse the FAA Academy for the full amount. If the course needed is an OAT course, the materials must be obtained from the contractor. All non-Federal requests for training or materials should be sent to the OAT coordinator (AMA-405) at the following mailing address:

Federal Aviation Administration, Out-of-Agency Training Coordinator
Mike Monroney Aeronautical Center, AMA-405
P.O. Box 25082
Oklahoma City, OK 73125

Appendix 1. Listing of Forms and Examples

Many of the forms listed below must be initiated in CMRIS and are only available through CMRIS. The other forms are available by electronically accessing the FAA Order 3000.57 appendices in FIST. For access instructions, see Appendix 6, Instructions for Accessing the FAA Information Superhighway for Training (FIST); Comprehensive Management Resource Information System (CMRIS); and electronic Learning Management System (eLMS). Some of the forms are also available on the FAA Electronic Document System (FEDS). The availability of the following forms is listed in the Source column.

Form Number	Title	Source
FAA Form 3000-14	Technical Operations Training Plan	Available in CMRIS Requirements Identification Tool (RIT)
FAA Form 3000-20	Air Traffic Organization Group Training Needs Assessment (TNA) Form	May be reproduced locally, available on FIST or FEDS
FAA Form 3000-21	Operational Necessity Waiver	Available in the CMRIS Quota Management Tool (QMT)
FAA Form 3000-22	Air Traffic Organization Individual Training Needs Assessment (TNA) Form	May be reproduced locally, available on FIST or FEDS
FAA Form 3000-23	Training Equivalency Request	May be reproduced locally, available on FIST or FEDS
FAA Form 3000-25	Pre-Training Notification Form	Available in the CMRIS (QMT)
FAA Form 3400-3	Technical Operations Personnel Certification/Verification Authority Record	Available in the CMRIS (CTS)
FAA Form 3400-15	Performance Examination Cover Sheet	Available in the CMRIS (CTS)
FAA Form 3400-16	On-the-Job Training (OJT) Progress Form for Certifiable Systems	Available in the CMRIS (CTS)

NOTE: All examples shown in Appendix 1 are intended to provide guidance to personnel involved in making these entries. See FIST, JO 3000.57 Appendices for the latest examples and instructions.

Figure 1-1. Instructions for Preparing FAA Form 3000-14, Technical Operations Training Plan

The FAA Form 3000-14, is used to develop a written training plan for each employee requiring training. When completed in the RIT of the CMRIS, the training plan is also used to determine quota requirements for future training. The RIT training plan should contain requested training for the current year and the next fiscal year. The use of the RIT training plan is almost self-explanatory. There is a tutorial on the CMRIS home page. The most current instructions for completing an FAA Form 3000-14 in RIT are located on the CMRIS website and/or on FIST.

1. Name block: Employee's Name. This is filled in automatically in RIT once an employee is selected.

2. Location block: Employee's duty location.

3. Title/Grade block: Automatically populated in RIT.

4. Date block: Automatically populated in RIT.

5. Subject/Course block: Course number is selected in RIT and the title displays.

6. Completion Date block: Requested date is entered in RIT and shows up as the start date on the form. RIT displays a course end date based on the course length.

7. Employee's Signature and Date block: Filled in when the employee signs the form.

8. Supervisor/Manager's Signature and Date block: Filled in when the supervisor/manager signs the form.

9. Remarks block: Can be found in RIT through the Show/Hide comments button. Can be used for local remarks.

10. The RIT page has some additional information such as:

a. The fiscal year for which the course is requested.

b. Heading blocks that show the total number of hours and percentage of the employee's time, by fiscal year that will be taken up with the requested training.

c. Space to enter the priority of the training request and the justification for the request.

In preparing the training plan, the supervisor/manager should check the following:

- FIST (as the official source for courses, hours, and prerequisites).
- FAA Order JO 3000.57 for the available examinations, hours, and prerequisites.
- Program Support Specialist (PSS) availability for training and dates.
- The amount of duty time that will be permitted for study.
- Current National Call-for-Training Guide for definition of priorities established in developing a training plan.

Figure 1-2. Sample FAA Form 3000-14, Technical Operations Training Plan Populated, Screen in Requirements Identification Tool (RIT)

RIT - Employee Training Plan - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Search Favorites

Address http://cmris.faa.gov/CMRIS_OFFICIAL/AFTPT/TPTTrainingPlan.asp Go Links

RIT - Employee Training Plan

PDF Report

Name:	Job Series:	Location:	Grade:	Pay Plan:	Stat. Spec.:
DOE, JANE X	2101	TECHNICAL SUPPORT	I	FV	X000

FY	HOURS	PERCENT
08	320	18.8

Last Modified: 3/12/2008

Show/Hide Comments

	Course	Title	Priority	FY	Req. Start (mm/dd/yyyy)	Req. End (mm/dd/yyyy)	Error
	FAA47608CBI	(47608CBI) (CBI) ENGINE GENERATOR POWER SYSTEMS	A1/Just.	08	11/01/2007	11/23/2007	
	FAA47608RES	(47608RES) ENGINE GENERATOR POWER SYSTEMS LABORATORY	A1/Just.	08	01/02/2008	01/30/2008	
	FAA48393001	(48393001) FAA STATIONARY BATTERY MAINTENANCE	A1/Just.	08	07/09/2008	07/15/2008	

Training History

CMRIS Main Menu RIT Main Menu

For help with this application, please call the CMRIS Hotline @ 1-202-554-1621 or you may email us at 9-AWA-CMRIS-Helpdesk@FAA.GOV

Trusted sites

Figure 1-3. FAA Form 3000-14, Technical Operations Training Plan

Technical Operations Training Plan		
Name	**Location**	
Title/Grade	**Date**	
Subject/Course	**Completion Date**	
	Schedule	**Actual**
I acknowledge that a review of this training plan has been accomplished as required by the Technical Operations Training and Personnel Certification Programs.		
Employee's Signature and Date	**Supervisor's Signature and Date**	
Remarks:		

FAA Form 3000-14 (9/06)

Figure 1-4. FAA Form 3000-14, Technical Operations Training Plan Printed

Page 1 of 1

Technical Operations Training Plan

Name	Location
DOE, JANE E	TECHNICAL SUPPORT
Title/Grade	**Date**
FV-2101-I	6/4/2008

Subject/Course	Completion Date	
	Schedule	Actual
FAA47608CBI: (47608CBI) (CBI) ENGINE GENERATOR POWER SYSTEMS	11/23/2007	
FAA47608RES: (47608RES) ENGINE GENERATOR POWER SYSTEMS LABORATORY	1/30/2008	
FAA48393001: (48393001) FAA STATIONARY BATTERY MAINTENANCE	7/15/2008	

I acknowledge that a review of this training plan has been accomplished as required by the Airway Facilities Technical Training Program.

Employee's Signature and Date	Supervisor's Signature and Date
Jane Doe 6/4/08	Richard T Hand 6/4/08

Remarks:

FAA Form 3000-14 (1-84) **NSN 0052-00-888-4000**

"Privacy Act Statement: Section 4115 of Title 5 to the U.S. Code authorizes collection of this information. The primary use of this information is to record course completions in your training history. The information will become part of your personnel training file, Privacy Act system of records OPM/GOVT-1 and routine uses of that system apply. Collection of your social security number is authorized by Executive Order 9397. Furnishing the information on this form, including your Social Security Number, is voluntary, but failure to do so may result in disapproval of this request."

Figure 1-5. Instructions for Preparing FAA Form 3000-20, Air Traffic Organization Group Training Needs Assessment (TNA) Form

Note: Use of this national form is optional, but all of the information contained on this form must be included on any locally developed group TNA form.

Sponsor Information block: Enter the name of the sponsoring manager, routing symbol, and telephone number of the duty location for the employees attending the course.

1. List any current or new system(s) and/or project responsibilities that require this training.

2. List the knowledge, skills, and abilities required to support new responsibilities.

3. Contribution: how will the training contribute to organization's workload efficiency or mission?

4. List the potential impact if training is not provided.

5. Enter the proposed dates and location of the training.

6. List the number of participants, the participants' names (if available) and the participants' eLMS IDs (if available)

7. Identify the costs for tuition (if any), lodging and travel, and other expenses incurred with this training course. Include funding source and appropriation code.

8. Enter the course, title, course content, and the method of delivery (for example: lecture, lab, OJT, etc.)

9. Write a description of any existing training that is available that would provide similar results.

Signature of authorizing official. Include the official's position, title, routing symbol, and date.

PRIVACY ACT STATEMENT

In compliance with the Privacy Act of 1974, the following information is provided. Solicitation of the Information on this form is authorized by United States Code 49 U.S.C. The primary purpose of the requested information is to meet requirements associated with providing employee training and/or recording same in training histories. All solicited information is mandatory, unless otherwise noted, for documenting compliance to Public Law as it pertains to the acquisition of training with Federal funds. Failure to disclose any information may invalidate the purpose of this form. This information will be used by employees for manager/employee consultation or other purposes in accordance with the routine performance of official duties as authorized by OPM/Govt1.

Figure 1-6. FAA Form 3000-20, Air Traffic Organization Group Training Needs Assessment (TNA) Form

GROUP TRAINING NEEDS ASSESSMENT FORM

IAW Public law and FAA Orders 3000.22/3000.57, this information is necessary for training procured from a commercial vendor or training developed internally. This Service Area form may not be required for training provided by *AMA or CMEL* or training required by official regulatory agencies.

SPONSER INFORMATION:
Signature & Title of Organizational Manager: Date:

Routing Symbol: Phone:

1. Describe any current or new system(s) and/or project responsibilities that require this training:

2. Describe the skill(s), knowledge, or abilities required to support these new responsibilities identified above:

3. This training will contribute to the organization's workload efficiency or mission by:

4. If this training is not provided, then what is the potential impact?

5. Training dates and location:

6. List the number of participants, the participant's names (if available) and the participant's electronic Learning Management System (eLMS) IDs (if available):

7. List all associated costs for this training. Include funding source and appropriation code.

Tuition: $ Approp Code:

Travel/Per Diem: $ Approp Code:

Funding Source:

8. Name of course provider, course title, hours, and description *(attach a copy of the providers course description)*:

9. Are there any viable alternatives to this training (i.e. Distance learning, coaching etc)?

_____
Signature & Title of Authorizing Official Date_____

_____ Date:_____
Reviewed by Service Center TPMO
This training needs assessment form must be kept on file for three years.

Figure 1-7. Sample FAA Form 3000-20, Air Traffic Organization Group Training Needs Assessment (TNA) Form

GROUP TRAINING NEEDS ASSESSMENT FORM

IAW Public law and FAA Orders 3000.22/3000.57, this information is necessary for training procured from a commercial vendor or training developed internally. This Service Area form may not be required for training provided by *AMA or CMEL* or training required by official regulatory agencies.

Signature & Title of Organizational Manager: Date:

Routing Symbol: Phone:

1. Describe any current or new system(s) and/or project responsibilities that require this training: **The FAA personnel responsibility for the maintenance and administration of the telephone system do not currently have the required training to perform their workload effectively.**

2. Describe the skill(s), knowledge, or abilities required to support these new responsibilities identified above: **The Service Area organization is responsible for providing customer service and technical assistance to the District and SSC's. Employees assigned to this program require training on the telephone system in order to perform their duties.**

3. This training will contribute to the organization's workload efficiency or mission by: **As the business needs change in a facility, so do the telephone requirements. This necessitates a maintenance action on the part of the telephone administrator. If the administrator does not have the knowledge to perform a particular task, a local vendor must be called out. This then delays the action and increases the cost of system administration. The skills obtained from this training will allow maintenance for any technological updates or advancements.**

4. If this training is not provided, then what is the potential impact? **If this training is not provided, the District will need to obtain vendor assistance frequently. This produces delays in repairs of the telephone system and also increases the cost of maintenance for the Mitel system.**

5. Training dates and location: **7/6-17, 2009 and 7/27 – 8/7, 2009 – Irvine, CA and Lyndhurst, NJ**

6. List the number of participants, the participant's names (if available) and the participant's electronic Learning Management System (eLMS) IDs (if available): **2 - John Doe and Andy Vice**

7. List all associated costs for this training. Include funding source and appropriation code.

Tuition**: $3000** Approp Code:

Travel/Per Diem: **$1400** Approp Code:

Funding Source: **LACT**

8. Name of course provider, course title, hours, and description *(attach a copy of the providers course description)*: Mitel SX-200 Digital, Installation and Maintenance. See attached course description. Class presentation includes lecture, discussion and hands-on training in a lab environment.

9. Are there any viable alternatives to this training (i.e. Distance learning, coaching etc)? No

_____

Signature & Title of Authorizing Official Date_____

_____ Date:_____

Reviewed by Service Center TPMO

This training needs assessment form must be kept on file for three years.

Figure 1-8. Instructions for Preparing FAA Form 3000-22, Air Traffic Organization Individual Training Needs Assessment (TNA) Form

Note: Use of this national form is optional, but all of the information contained on this form must be included on any locally developed individual TNA form.

Attendee block: Enter eLMS ID, routing symbol, and telephone number of the duty location for the employees attending the course.

1. Describe the new project/task that the employee will be responsible for and requires this training course.

2. List the new skills that the employees are required to demonstrate in their position or workload assignments.

3. Contribution: how will the training contribute to organizations workload efficiency or mission.

4. List the potential impact if training is not provided.

5. Dates of training and location.

6. Identify the costs for tuition (if any), lodging and travel, and other expenses incurred with this training course. Include funding source and appropriation code.

7. Enter the course title, course content, and the method of delivery (for example: lecture, lab, OJT, etc.).

8. Write a description of any existing training that is available that would provide similar results.

Signature of authorizing official. Include the official's position, title, routing symbol and date.

Review by Service Center TPMO block: The Service Center TPMO must sign and date the form after the review has been completed. Keep this TNA form on file for three years.

PRIVACY ACT STATEMENT

In compliance with the Privacy Act of 1974, the following information is provided. Solicitation of the Information on this form is authorized by United States Code 49 U.S.C. The primary purpose of the requested information is to meet requirements associated with providing employee training and/or recording same in training histories. All solicited information is mandatory, unless otherwise noted, for documenting compliance to Public Law as it pertain to the acquisition of training with Federal funds. Failure to disclose any information may invalidate the purpose of this form. This information will be used by employees for manager/employee consultation or other purposes in accordance with the routine performance of official duties as authorized by OPM/Govt1.

Figure 1-9. FAA Form 3000-22, Air Traffic Organization Individual Training Needs Assessment (TNA) Form

INDIVIDUAL TRAINING NEEDS ASSESSMENT FORM

IAW Public law and FAA Orders 3000.22/3000.57, this information is necessary for training procured from a commercial vendor or training developed internally. This Service Area form may not be required for training provided by *AMA or CMEL* or training required by official regulatory agencies.

Attendee: eLMS ID: Routing Symbol: Phone:

1. I am currently responsible for or will be responsible for the following system(s) and/or project(s):

2. To support these new responsibilities identified above, I need to acquire the following knowledge and/or skill*(s)*:

3. This training will contribute to the organization's workload efficiency or mission by:

4. If this training is not provided, then what is the potential impact?

5. Training dates and location:

6. List all associated costs for this training. Include funding source and appropriation code.
   Tuition: Approp Code:

   Travel/Per Diem: Approp Code:

   Funding Source:

7. Name of course provider, course title, hours, and description *(attach a copy of the providers course description)*:

8. Are there any viable alternatives to this training (i.e. Distance learning, coaching etc)?

This training is considered to be a valid requirement and this training course is not available from within the FAA organization. Therefore, this training will be accomplished through an alternate training method.

_____
Signature & Title of Authorizing Official Date_____

_____
Reviewed by Service Center TPMO Date_____

This training needs assessment form must be kept on file for three years.

Figure 1-10. Sample FAA Form 3000-22, Air Traffic Organization Individual Training Needs Assessment (TNA) Form

INDIVIDUAL TRAINING NEEDS ASSESSMENT FORM

IAW Public law and FAA Orders 3000.22/3000.57, this information is necessary for training procured from a commercial vendor or training developed internally. This Service Area form may not be required for training provided by *AMA or CMEL* or training required by official regulatory agencies.

Attendee: Mike Autry eLMS ID: XXXX Routing Symbol:AJ0-XX Phone: (777) 777-7777

1. I am currently responsible for or will be responsible for the following system(s) and/or project(s):
Service Area's IRM Plan, which includes development and implementation of an action plan for multiple IRM projects and direct tasks.

2. To support these new responsibilities identified above, I need to acquire the following knowledge and/or skill*(s)*:
Same as listed above and any new projects/tasks associated with the Service Area's IRM Plan

3. This training will contribute to the organization's workload efficiency or mission by:
This type of activity is a major responsibility for the Service Area organization. Any improvement to how the tasks are accomplished will provide an immediate positive impact upon the IRM plan and organization.

4. If this training is not provided, then what is the potential impact? Inefficient or ineffective use of time and resources for the Service Area IRM project and associated planning activities

5. Training dates and location: **Forth Worth, Texas, August 13-15, 2009**

6. List all associated costs for this training. Include funding source and appropriation code.
Tuition: $1000Approp Code: XXXXXXXXXX

Travel/Per Diem: $0 Approp Code:

Funding Source: LACT

7. Name of course provider, course title, hours, and description *(attach a copy of the providers course description)*:
Managing Multiple Technical Projects, Objectives and Deadlines.
This course teaches steps for improving personal effectiveness, eliminating the three big productivity killers, scheduling guidelines that work, six steps or organizational success and how to effectively plan technical projects.

8. Are there any viable alternatives to this training (i.e. Distance learning, coaching etc)? No

This training is considered to be a valid requirement and this training course is not available from within the FAA organization. Therefore, this training will be accomplished through an alternate training method.

_____
Signature & Title of Authorizing Official Date_____

_____
Reviewed by Service Center TPMO Date_____
This training needs assessment form must be kept on file for three years.

Figure 1-11. Instructions for Preparing FAA Form 3000-21, Operational Necessity Waiver

Note: Operational Necessity Waiver will be initiated in QMT. When available it will be printed and manager's signature will be obtained. Signature data and final determination will be entered into QMT. A copy of the approved form in QMT will be printed by the Program Support Specialist, and it must be filed in the employee's OCRF.

1. Date of submission.

2. Name of the individual submitting the waiver.

3. Name of the employee who will be attending the course.

4. eLMS ID of the employee who it attending the course.

5. Course number the employee will be attending.

6. Scheduled offering of the course the employee will be attending.

7. Title of the course the employee will be attending.

8. Scheduled offering start date the employee will be attending.

9. Justification for the waiver. Justification must include the name of the first-level manager requesting the waiver.

10. Course number and title for which the prerequisite course waiver is being requested.

11. Signature of the Service Center Administrative Service Group manager approving the waiver.

12. eLMS ID of the ATO Service Center TPMO responsible for coordination of the waiver approval process.

13. Enter any additional remarks.

PRIVACY ACT STATEMENT

In compliance with the Privacy Act of 1974, the following information is provided: Solicitation of the Information on this form is authorized by United States Code 49 U.S.C. The primary purpose of the requested information is to meet requirements associated with providing employee training and/or recording same in training histories. All solicited information is mandatory, unless otherwise noted, for documenting compliance to Congressional Training Restrictions as it pertains to the acquisition of training with Federal funds. Failure to disclose any information may invalidate the purpose of this form. This information will be used by employees for manager/employee consultation or other purposes in accordance with the routine performance of official duties as authorized by OPM/Govt 1. Authorization to solicit the Social Security Number is granted by Executive Order #9397. Disclosure is mandatory in order to assure proper recordation of training in official file. This information is used strictly for recordation purposes.

Tear off this cover sheet before submitting this form.

Figure 1-12. FAA Form 3000-21, Operational Necessity Waiver

OPERATIONAL NECESSITY WAIVER

DATE: _____

REQUESTOR: _____

TO: Manager, Administrative Service Group
THRU: Service Center TPMO

_____ _____
Employee Name eLMS Employee ID

is scheduled to attend course _____ Scheduled Offering _____
Number Number

Start Date: _____
_____
Course Title Date

Justification (MUST INCLUDE MANAGER REQUESTING WAIVER): **Due to operational necessity and based on the employee's background experience in:** *(State the operational necessity, i.e., impact to organization and include manager requesting waiver.)*

A **one-time release** of the following course is requested:

FROM:

_____ _____
Signature of Service Center Administrative Support Group Manager Service Center TPMO eLMS ID

Approved: ☐ Yes ☐ No

REMARKS:_____

_____

_____

Figure 1-13. Sample FAA Form 3000-21, Operational Necessity Waiver

OPERATIONAL NECESSITY WAIVER

DATE: (1) **June 5, 2008**

REQUESTOR: (2) Chris Lowe

TO: Manager, Administrative Service Group

THRU: Service Center TPMO

(3) John W. Name			(4) JNAME1234
Employee Name			**eLMS Employee ID**
is scheduled to attend course	(5) FAA41905	**Scheduled Offering**	(6) 11534
	Number		Number
(7) (41905) MALSR EHOT/DoP		**Start Date:**	(8) 9/10/2008
Course Title			Date

Justification (MUST INCLUDE MANAGER REQUESTING WAIVER): **Due to operational necessity and based on the employee's background experience in***: (State the operational necessity, i.e., impact to organization and include manager requesting waiver.)*

(9) Chris Lowe, Chicago O'Hare Env SSC, is requesting the operational necessity waiver. The O'Hare Env SSC has one trained ATSS to maintain the MALSR due to the unexpected medical retirement of another trained/certified ATSS in the SSC. In case of an outage of the MALSR, the restoration time could be extended by at least 4 hours if an ATSS must travel from another SSC to work on the system, greatly impacting the NAS. Mr. John Name is trained and has experience on other approach lighting systems such as the Godfrey FA-9993 ALSF-II and Airflow FA-10048 ALSF-II. The District/OCC has confidence the employee can successfully complete this training.

(10) A **one-time release** of the following course is requested: FAA44117, (44117) ENVIRONMENTAL ELECTRICAL CONCEPTS

FROM:	(11) John T. Sharp	(12) TPMO1234
	Signature of Service Center Administrative Support Group Manager	Service Center TPMO eLMS ID

Approved: ☐ Yes ☐ No

REMARKS: (13)

Figure 1-14. Instructions for Preparing FAA Form 3000-23, Training Equivalency Request

1. Enter date of request.

2. Enter the Service Area submitting the request.

3. Enter the employee's name the request for.

4. Enter the employee's eLMS ID.

5. Enter the training specialist name.

6. Enter the training specialist phone number.

7. Enter the course number for the equivalency request.

8. List the justification from the request. Provide additional information as an attachment or on the back-side of this form.

9. Signature and date of the first-level manager requesting the equivalency.

10. Signature and date of the second-level manager who has reviewed and is submitting the request.

11. Signature and date of the Service Center TPMO who has received and is submitting the request.

12. The Approval/Disapproval block is for the Academy Section Manager's signature.

13. The Academy Section Manager will enter the date of the approval/disapproval.
The Academy Section Manager will enter any comments necessary to support the approval/disapproval.

Figure 1-15. FAA Form 3000-23, Training Equivalency Request

TRAINING EQUIVALENCY REQUEST

Date:_____ Service Area: _____

Employee's Name: _____ Employee's eLMS ID: _____

Training Specialist Name: _____

Phone Number: _____

Equivalency approval is requested for course:

_____

Justification: _____

_____

_____

_____

_____

_____

Requested By: _____ _____
First-Level Manager Signature **Date**

Reviewed and Submitted By: _____ _____
Second-Level Manager Signature **Date**

Reviewed and Forwarded By: _____ _____
Service Center TPMO Signature **Date**

Approved Disapproved
(Circle One)

_____

Academy Tech Ops Training Div, Section Manager Signature **Date**

Comments:_____

_____

_____

Figure 1-16. Sample FAA Form 3000-23, Training Equivalency Request

TRAINING EQUIVALENCY REQUEST

Date: (1) September 04, 2008 Service Area: (2) ESA

Employee's Name: (3) Ray Briggs Employee's eLMS ID: (4) NAME1234

Training Specialist Name: (5) John Teller

Phone Number: (6) (311) 555-1234

Equivalency approval is requested for course:

(7) FAA 47608 Engine Generator Power Systems

Justification: (8) Ray has completed J#ABR3E032 005, Electrical Power Apprentice (336 hours) in the United States Air Force (USAF). There are numerous courses embedded in this career field.
See the attached military course descriptions and syllabuses which cover the subject matter contained in course FAA 47608.

Requested By: (9) 09/04/08
First-Level Manager Signature **Date**

Reviewed and Submitted By: (10) 09/04/08
Second-Level Manager Signature **Date**

Reviewed and Forwarded By: (11) 09/05/08
Service Center TPMO Signature **Date**

Approved **Disapproved** (12) (13) 09/09/08
(Circle One)
Academy Tech Ops Training Div, Section Manager Signature **Date**

Comments: (14) Request is granted based on the evaluation of the detailed course information provided; ensuring content is generally equivalent, with respect to depth and breadth, to the listed FAA course objectives.

Figure 1-17. Instructions for Preparing FAA Form 3000-25, Pre-Training Notification Form

1. Prior to an employee attending training, the first-level manager must conduct a pre-training notification session with the employee.

2. The pre-training notification needs to be initiated by the PSS or training specialist within the nationally approved software system. The pre-training notification form is automatically populated with the item ID, course title and description, scheduled offering number, beginning and end dates, day or evening class, location of training, and prerequisites required (if appropriate).

3. The form can be printed or exported to several file formats. Once an employee is enrolled in a course, the pre-training notification can be exported and saved and sent via email to the first-level manager.

Figure 1-18. FAA Form 3000-25, Pre-Training Notification Form

PRE-TRAINING NOTIFICATION FORM

PRE-TRAINING NOTIFICATION WAS PROVIDED TO:	
COURSE NUMBER:	CLASS NUMBER:
TITLE:	CLASS DATES (To/From):
PER DIEM RATE:	LOCATION OF TRAINING:

THE FOLLOWING ITEMS WERE DISCUSSED:	**CHECK**
• Has the employee met the prerequisites for the training course.	_____
• Subject matter of the course.	_____
• How the training relates to the employees job: (projects to be worked, career development, etc.).	_____
• What is expected of the employee while attending the course and upon completion of the course (annual leave, sick leave, etc.) Please notify your Supervisor/Manager if you are having difficulties.	_____
• Travel and per diem regulations/rates regarding this training assignment.	_____
• Lodging, bus routes, transportation, and special diet codes while attending training.	_____
• When travel vouchers are to be submitted during a long-term training assignment and within three days after the end of any training assignment.	_____
• Procedures for distribution of certificates and records of training.	_____
• Employee has been provided pre-addressed envelopes and travel voucher forms, etc., (as appropriate).	_____
• Employee will be provided highlights, staff minutes and other pertinent information from the duty location while in training.	_____

EMPLOYEE ACKNOWLEDGES THAT THEY HAVE RECEIVED PRE-TRAINING COUNSELING.	
EMPLOYEE'S SIGNATURE:	DATE:
SUPERVISOR/MANAGER'S SIGNATURE:	DATE:

Figure 1-19. Sample FAA Form 3000-25, Pre-Training Notification Form from Quota Management Tool (QMT)

PRE-TRAINING NOTIFICATION FORM

PRE-ITEM COUNSELING WAS PROVIDED TO: VAUGHAN, DARRYL J
EMPLOYEE CCC: 082WB

FOR ITEM ID: FAA40313 PER DIEM RATE (Lodging/MIE):

TITLE: FAA40212 TERMONAL DOPPLER WEATHER RADAR (TDWR) SYSTEM

SCHEDULED OFFERING ID: 10836 DAY/EVENING: DAY

OFFERING START: 10/15/2008 OFFERING END: 11/6/2008 AT: OKC

TRAVEL AUTHORIZATION CODE: Centralized Training

THE FOLLOWING ITEMS WERE DISCUSSED: COMPLETED (Y/N)

1. Has the employee met the prerequisites FAA40392 or FAA88360 for the training? If prerequisites are not yet completed, scheduled completion date: (Enter date) Prerequisite item ID: _____

2. Subject matter of the item: THIS COURSE PROVIDES TRAINING FOR TECHNICIANS ON THE TDWR SYSTEM EQUIPMENT AND SOFTWARE INTERFACES TO THE RMM. THE COURSE IS 68 HOURS ACADEMY LECTURE AND 68 HOURS ACADEMY LABORATORY. LECTURE SUBJECTS INCLUDE FUNCTIONAL ANALYSIS OF THE TDWR SYSTEM AND SUBSYSTEMS. LABORATORY SUBJECTS INCLUDE SYSTEM PERFORMANCE ANALYSIS, FAULT ANALYSIS, AND ALIGNMENT. _____

3. How the training related to the employee's job, workload, callback, career development. _____

4. What is expected of the employee while attending school and upon completion of the school (annual leave, sick leave, etc.). Please notify your Supervisor is you are having difficulties. _____

5. Travel and per diem regulations regarding this training assignment (e.g., travel rates to and from while at school)? _____
Rental car authorized? _____ Number of travel days? _____

6. Lodging, bus routes, transportation, and special diet codes (CMEL only) while attending training. _____

7. Access "welcome package" just prior to departing via ASIS at http://academynet.faa.gov/asis _____

Figure 1-19. Sample FAA Form 3000-25, Pre-Training Notification Form (Continued)

8. When travel vouchers are to be submitted during training assignment and that _____
the travel vouchers are to be submitted within three days after the end of the assignment.

9. Employee has been provided pre-addresses envelopes and travel voucher forms_____
if needed.

10. Employee must be provided highlights, staff minutes, and vacancy _____
announcements from the unit/district/group while in training.

11. Procedures for distribution of certification and/or records of training. _____

12. Performance Exam Item: FAA89009, FAA89009, is required upon completion _____
of OJT Item FAA45334, FAA45350.

Employee acknowledges he/she has received pre-item counseling.

EMPLOYEE'S SIGNATURE: _____ DATE: _____

SUPERVISOR"S SIGNATURE: _____ DATE: _____

FAA Form 3000-25 (11/01) Printed From QMT

Figure 1-20. Sample FAA Form 3000-25, Pre-Training Notification Form Manual Entry

PRE-TRAINING NOTIFICATION FORM

PRE-TRAINING NOTIFICATION WAS PROVIDED TO: Donald R. Hanson	
COURSE NUMBER: 47701	CLASS NUMBER: 01010 (Evening Class)
TITLE: Second Gen Vortac	CLASS DATES (To/From): Feb. 25 – March 9, 2001
PER DIEM RATE: $40/day	LOCATION OF TRAINING: FAA Academy

THE FOLLOWING ITEMS WERE DISCUSSED:	**CHECK**
• Has the employee met the prerequisites for the training course.	X
• Subject matter of the course.	X
• How the training relates to the employees job: (projects to be worked, career development, etc.).	X
• What is expected of the employee while attending the course and upon completion of the course (annual leave, sick leave, etc.) Please notify your Supervisor/Manager if you are having difficulties.	X
• Travel and per diem regulations/rates regarding this training assignment.	X
• Lodging, bus routes, transportation, and special diet codes while attending training.	X
• When travel vouchers are to be submitted during a long-term training assignment and within three days after the end of any training assignment.	X
• Procedures for distribution of certificates and records of training.	X
• Employee has been provided pre-addressed envelopes and travel voucher forms, etc., (as appropriate).	X
• Employee will be provided highlights, staff minutes and other pertinent information from the duty location while in training.	X

EMPLOYEE ACKNOWLEDGES THAT THEY HAVE RECEIVED PRE-TRAINING COUNSELING.	
EMPLOYEE'S SIGNATURE: Donald R. Hanson	DATE: January 15, 2001
SUPERVISOR/MANAGER'S SIGNATURE: John D. Bowler	DATE: January 15, 2001

Figure 1-21. Instructions for Preparing FAA Form 3400-3, Technical Operations Personnel Certification/Verification Authority Record

This form resides in the CTS portion of the CMRIS and is the official certification authority record. Access to the CMRIS is covered in Appendix 6 and is limited to those individuals who have a need to initiate, edit, endorse, grant, and print certification authority forms. The CTS User Guide is located on the CMRIS website and/or on FIST. The information for the form is completed on an entry screen. The following is a row by row description of the form and brief entry instructions for the CTS entry screen. The list is numbered to correspond to the row number on the printed FAA Form 3400-3.

1. All 3400-3 records are created by the PSS in CTS. The PSS logs in to CTS and selects the 3400-3 records for the specific technical specialist. Once at the 3400-3 records for the technical specialist the PSS selects the Add Records button at the upper right. The name of the technical specialist will be displayed at the top of the screen and both the name and the last four digits of his/her eLMS ID will be on the top row of the printed record.

2. The completed 3400-3 form is available for printing once a technical specialist has at least one granted authority or annual review in CTS. On the printed record the page number and column numbers will automatically update on each page and will be shown in row 2.

3. Row 3 and entry block 3 contain the system, subsystem, equipment or service from a drop-down listing of acronyms as used in Appendix 5, Air Traffic Organization (ATO) Personnel Certification Requirements. They are based on FAA Order 6000.15, General Maintenance Handbook for National Airspace System (NAS) Facilities, Appendix 3 Systems, Subsystems and Services Requiring Certification. On the screen the Facility (FAC) is selected from the listing. The listing is based on the systems and services that are in the SSC that the technical specialist is assigned to. The selection criteria can be changed to include SSC, District Office (DO) or entire FAC list by selecting one of them in the top drop-down listing. Once the FAC is selected and highlighted, CTS will update the Facility Identification Code (FIC) listing.

4. Row 4 and entry block 4 contain the FIC(s) as listed in Appendix 5. The FIC pick list on the entry screen is sorted based on the FAC selection of block 3. Once the FIC is highlighted click on the submit button to make the selection. CTS will update the information in block 5.

5. Row 5 and block 5 contain the specific equipment as listed in Appendix 5. If there is only one system for the FAC and FIC selected, it will be shown in block 5. If there is more than one selection on Appendix 5 a drop-down will be shown and the correct system must be highlighted. Once the selection is highlighted, click the submit button to submit the entry.

6. Row 6 and entry block 6 contain the authority type: Regular, Temporary, or Remote Regular. If Temporary is selected, a revocation date three months after the granting date automatically displays in row 27. Future software revisions will allow for the revocation date for a Temporary to be changed to the minimum period of one month or the maximum period of six months, if necessary. Until those software changes occur, revocations at a period of less than three months will have to be done by revoking the granted authority.

7. Row 7 and entry block 7 contain the theory-of-operations course in the eLMS format of "FAAXXXXX". If a course is listed in Appendix 5, it will be shown here. The entry screen will show applicable course; one may be selected or, if desired for a temporary certification or other reason, it may be left blank. The theory-of-operations course, OJT, and performance examination (sometimes referred to in this appendix as PE) information will auto-populate if eLMS completions are in the technical specialists training history. Do not assume that the auto-population is correct. It is the responsibility of the PSS to ensure the theory course, OJT, or performance examination selected is the major one according to Appendix 5.

8. Row 8 and entry block 8 contain theory remarks. The Remarks blocks do not show all the information on the screen but it will all be in the record once it is saved or submitted; move back and forth in the typing to see all the material in the block. This block must include the additional courses and dates completed when more than one is shown as the theory requirement in Appendix 5. For informal theory training, include the number of hours and the name of the instructor. The date completed for informal training is entered in block 9.

9. Row 9 and entry block 9 contain the date of the theory-of-operations course entered in block 7. It will auto-populate if eLMS completions for the selection in block 7 is in the technical specialist's eLMS training history.

10. Row 10 and entry block 10 contain the OJT Qualification Method course(s) from Appendix 5 for the FIC selected. The national course will be shown on the pick list; if no national course exists, "Locally Developed OJT in accordance with 3000.57 par 4-2" will display. If there is no national course but a national course number has been assigned for an eLMS entry to record the completion of the locally developed OJT, that number will be available in the drop-down selection. When there are multiple OJT requirements in Appendix 5, one of them must be entered here and the others must be entered in the OJT Remarks block 11.

11. Row 11 and entry block 11 contain OJT remarks. The Remarks blocks do not show all the information on the screen but it will all be in the record once it is saved or submitted; move back and forth in the typing to see all the material in the block. A mandatory entry is the name of the OJT instructor(s) for field-conducted OJT. Do not enter an instructor's name for EHOT courses. The Remarks block must include the additional OJT course number(s) and date(s) completed and instructor's name when there is more than one course as the OJT requirement in Appendix 5.

12. Row 12 and entry block 12 contain the date of the OJT course completion entered in block 10. It will auto-populate if eLMS completions for the selection in entry block 10 are in the technical specialist's eLMS training history.

13. Row 13 and entry block 13 contain the performance examination(s) from Appendix 5 for the selected FIC . The performance examination(s) for the FIC selected will be shown on the pick list; if no national performance examination exists, "Locally Developed PE in accordance with 3000.57 par 3-6d" will display. If there is no national performance examination, but a national performance examination number has been assigned for an eLMS entry to record the completion of the locally developed performance examination, that number will be available in the drop-down selection. When there are multiple performance examination requirements in Appendix 5, one of them must be entered here and the others must be entered in the PE Remarks block 15.

14. Row 14 and entry block 14 contain the performance examination title and will auto-populate based on the selection in block 13.

15. Row 15 and entry block 15 contain Performance Qualification remarks. The Remarks blocks do not show all the information on the screen but it will all be in the record once it is saved or submitted; move back and forth in the typing to see all the material in the block. The name of the performance examination examiner is a mandatory entry. Do not enter an examiner's name for DoP completions. The Remarks block must include the additional performance examination number(s) and date(s) completed and examiner's name when there is more than one performance examination as the performance examination requirement in Appendix 5.

16. Row 16 and entry block 16 contain the date of the performance examination completion entered in block 13. It will auto-populate if eLMS completions for the selection in entry block 13 are in the technical specialist's eLMS training history.

17. Row 17 contains the name of the individual making the submission of the FAA Form 3400-3 to the first-level manager for endorsement and the date submitted. The name and date do not appear on the entry screen but are automatically entered into the record when the PSS clicks on the submit button at the bottom of the screen.

18. Row 18 contains the word "Submitted" after the individual making the entry has chosen the name of the first-level manager who will be sent an email stating that the certification authority record is ready for endorsement. Once the name is entered and the email sent, this row is populated with, "Submitted." These automatic actions take place when the submit button is clicked.

19. Row 19 contains additional comments. The Comments block does not show all the information on the screen but all of the information will be in the record once it is saved or submitted; to see all the material in the block, move back and forth in the typing. This row will contain a drop-down listing for standard comments. The PSS uses this block to enter comments (some of which are on Temporary certifications), conversion of Interim certifications or transfer of paper records. The Comments block is also used to enter reasons for corrections. The first-level manager uses the Comments block to document the annual review (per paragraph 5-11a), the first-level manager must select the drop-down statement "ATSS proficient for all active authorities on 3400-3" and then enter his/her initials. To document the annual review (per paragraph 5-11b), the District second-level/OCC/POG/TSOG/ Academy Tech Ops Training Div manager must select the drop-down statement, "All active certification authorities on 3400-3 continued" and then enter his/her initials.

20. Rows 20, 21, and 22 are completed following actions by this employee's first-level manager, or the person to whom the email of row 18 was addressed. Row 20 is filled in when the first-level manager clicks on the Endorse button. The name of the individual making the entry is taken from CMRIS identification and is entered in row 20.

21. Row 21 is the endorsed date and is populated when the submitter submits the record. The date can be modified by the endorser. The endorser clicks on the Endorse button to bring up a screen where he/she will enter the name of the District second-level/OCC/POG/TSOG/ Academy Tech Ops Training Div manager who will be sent an email stating that the certification authority record is ready for his/her action.

22. Row 22 has the word, "Endorsed" entered in it when the first-level manager clicks on the endorse button.

23. Rows 23, 24, and 25 are completed following actions by this employee's second-level manager, or the person to whom the email of row 21 was addressed. Row 23 is filled in when

the second-level manager clicks on the Grant button. The name of the individual making the entry is taken from CMRIS identification and is entered in row 23 along with the word, "Granted" in Row 25.

24. Row 25 has the granted date which is populated when the submitter submits the record. The date can be modified by the grantor.

Figure 1-22. Certification Tracking System (CTS) Certification Data Entry Screen – Regular Authority

Add Certification Authority Record For FOLSOM, BRIAN

FAC / FIC Location Filter: DO/SMO

(3) System, subsystem, service or equipment: Reload Blocks 3 & 4; LOC

(4) Facility Identification Codes(s): 14CH, 14CJ, 14CQ, 14CR, 14CS

(5) Specific Equipment as shown on App 5: LOC, MARK 1D/E/F, ANY ANTENNA

(6) Certification Type: Regular

Theory of Operations Qualification

(7) Method: FAA41239

(8) Remarks: Standard Remarks

(9) Date: 05/01/2008

OJT Qualification

(10) Method: FAA45227

(11) Remarks: Standard Remarks; Instructor Thomas Jones

Instructor name is mandatory, except for EHOT

(12) Date: 06/02/2008

Performance Qualification

(13) Method: FAA88762

(14) Exam Title: (88762) ILS, WILCOX MARK 1D/1E LOC FA-9350/FA-9700 (NP62)

(15) Remarks: Standard Remarks; Examiner Robert Jones

Examiner name is mandatory, except for DOP

(16) Date: 06/23/2008

(19) Comment Block: Standard Comments

1st Level Supervisor / Endorser

Search format: (Lastname, Firstname)

MILLER, LAWRENCE P — Search

Region: WA| CC: 0A200

lawrence.p.miller@faa.gov

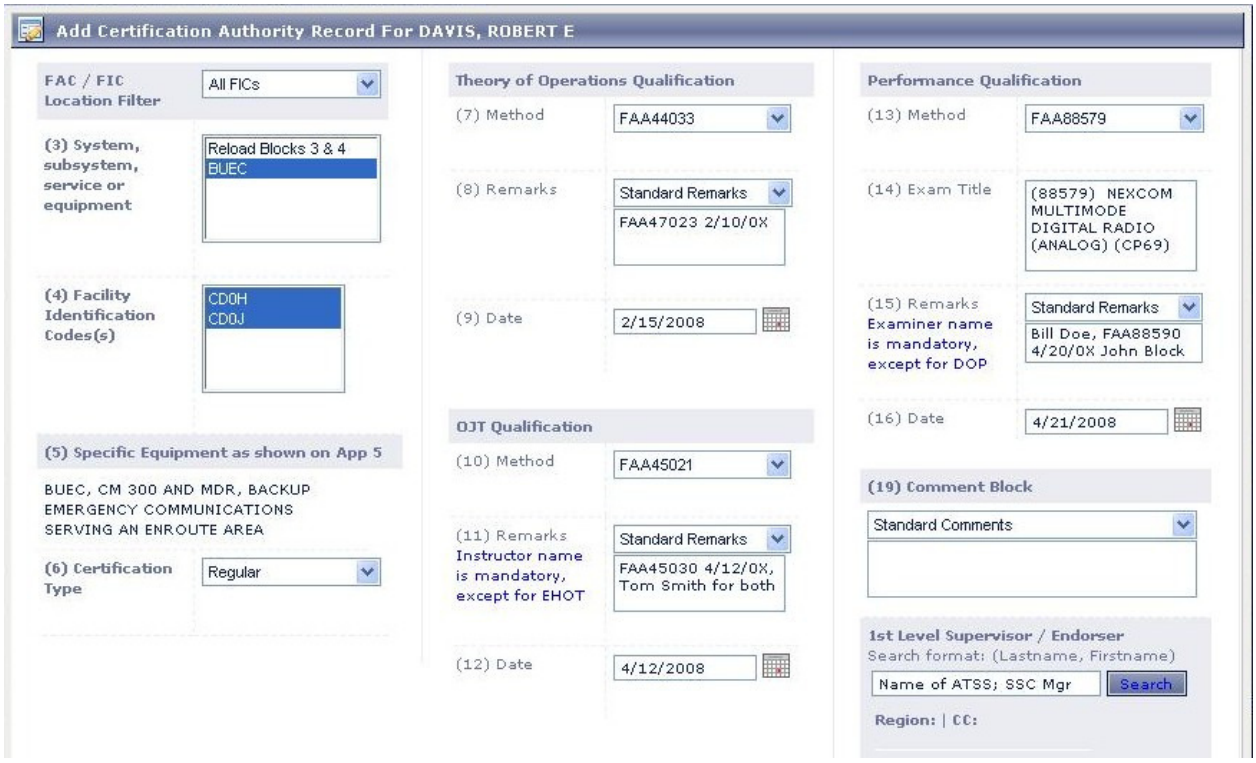
Save Submit Discard

1. This screen shot shows the CTS data entry screen for a PSS to create an FAA Form 3400-3. It is a regular certification authority where there is only one theory, OJT, and performance examination requirement.

2. The name of the OJT instructor was entered in block 11 and the name of the examiner was entered in block 15 as required.

3. The performance examination shown is not the correct one; it should be NP120. Please ignore the discrepancy in this example.

Figure 1-23. Certification Tracking System (CTS) Certification Data Entry Screen – Multiple Theory, On-the-Job Training (OJT) and Performance Exam Requirements



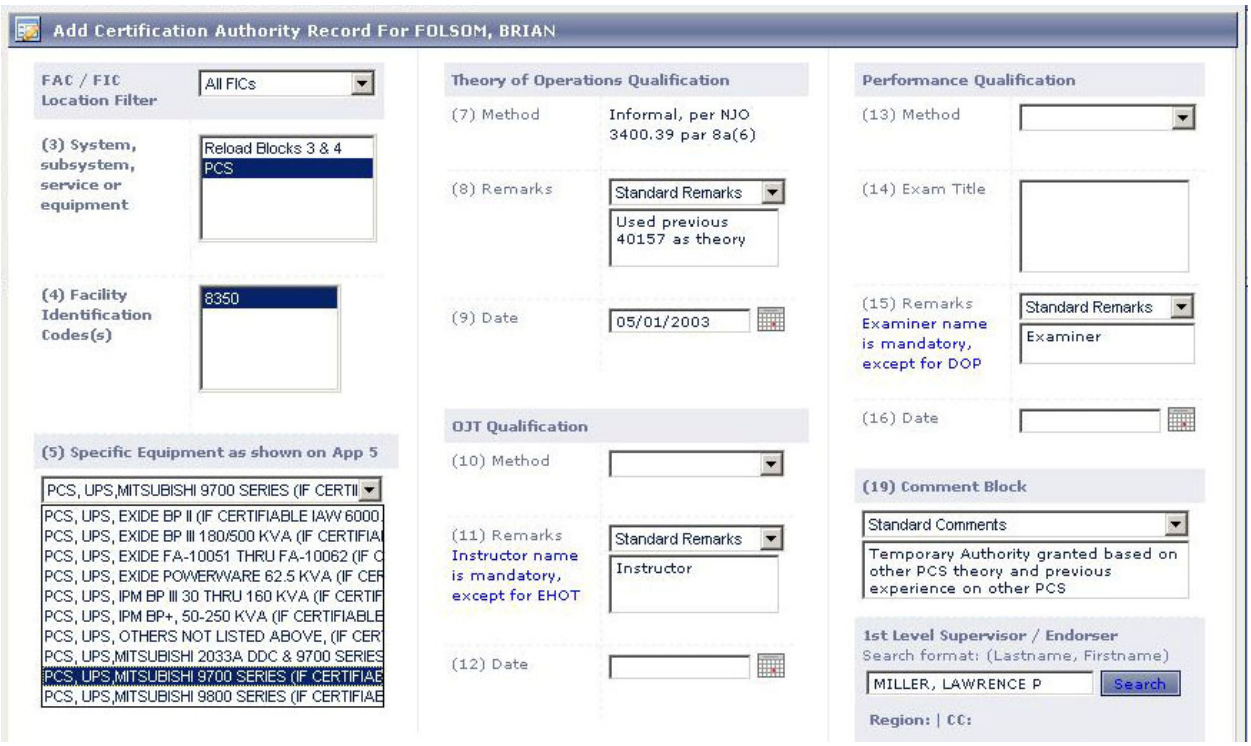
1. This screen shot is showing how to record the additional courses or exams when there are multiple theory, OJT, and performance examination requirements.

2. The theory requirement in block 7 is one of the required theory courses. It may have auto-populated or been selected from the drop-down menu. The completion date for it is in block 9. The second theory course and the date it was completed have been entered in block 8.

3. The OJT requirement in block 10 is one of the required OJT courses. It may have auto-populated or been selected from the drop-down menu. The completion date for it is in block 12. The second OJT course and the date it was completed and the instructor's name for both courses are in block 11. If there had been different instructors for the two courses, both names would be entered in block 11 with the name of the instructor for the course in block 10 listed first. The Remarks blocks do not show all of the information on the screen but the all of the information will be in the record once it is saved or submitted.

4. The performance examination requirement in block 13 is one of the required performance exams. It may have auto-populated or been selected from the drop-down menu. The completion date for it is in block 16. The second performance examination, the date it was completed, and the names of both examiners are in block 15.

Figure 1-24. Certification Tracking System (CTS) Certification Data Entry Screen – Multiple Equipment, Informal Theory – Temporary



1. This screen shot is showing the use of the drop-down in block 5 to select the actual Power Conditioning System (PCS) that the FAA Form 3400-3 is for. The FAC code was selected and then the FIC code was highlighted and the submit button was clicked. Underneath the drop-down shown in the screen is the submit button that is used after the selection is highlighted.

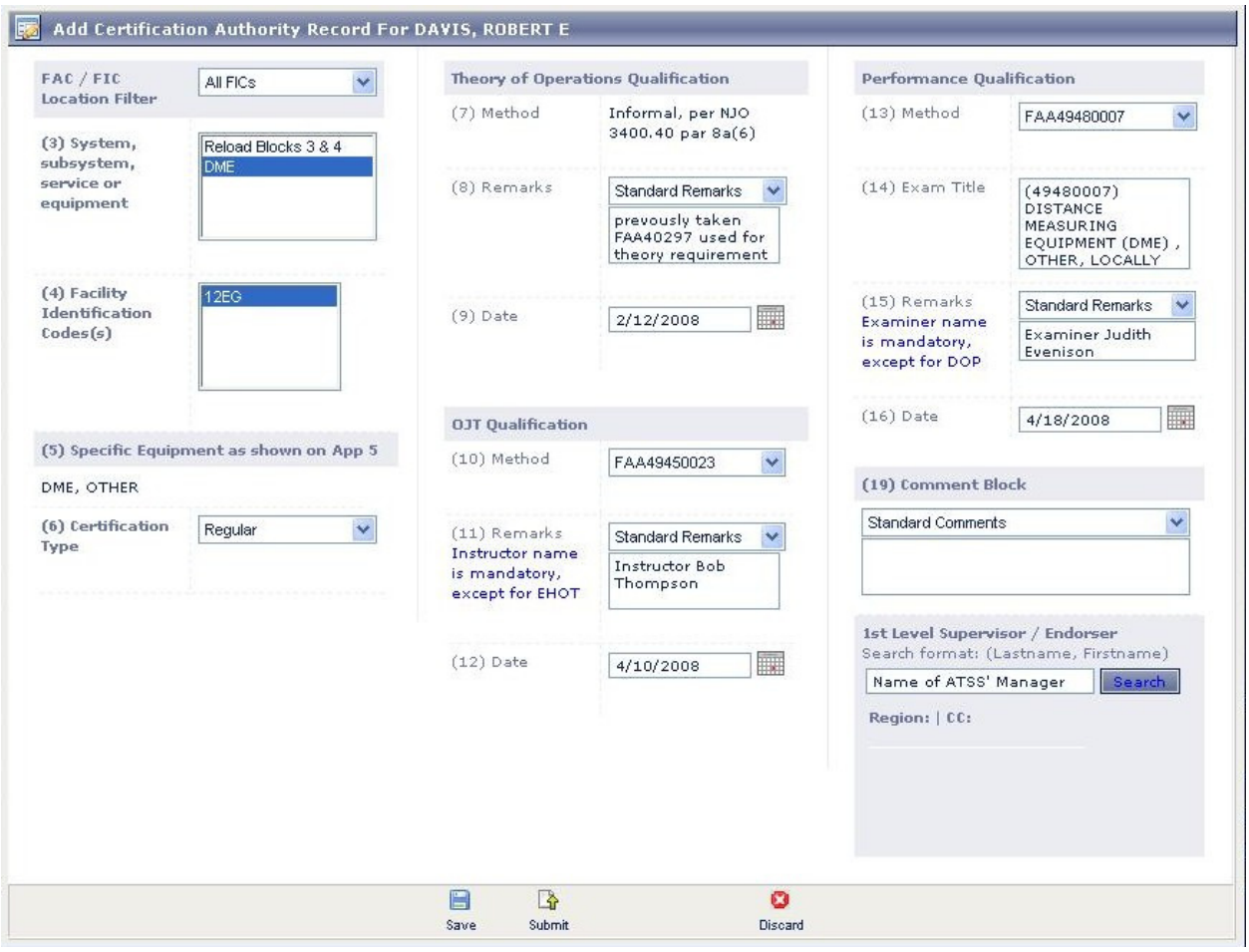
2. The Selection block for the type of authority is hidden underneath the drop-down shown. The selection for this record was a Temporary, therefore there is no OJT or performance exam, although there could be.

3. The theory requirement in block 7 for this PCS is Informal. It was satisfied by a similar course, 40157, and that was entered in the Theory Remarks block 8. The date it was completed was entered in the Theory Date block 9.

4. The Comments block 19 provides a sample of the comments needed for a Temporary that was granted based on other PCS theory and previous experience on other PCS.

5. The Notice number and paragraph shown in block 7 are not the correct ones; they should be Informal per 3000.57 par 5-2a(3). We are unable to correct this as the software needs to change after the order is published.

Figure 1-25. Certification Tracking System (CTS) Certification Data Entry Screen – Informal Theory Satisfied by Another Course, electronic Learning Management System (eLMS) Numbers for Locally Developed On-the-Job Training (OJT) and Performance Exam (PE)



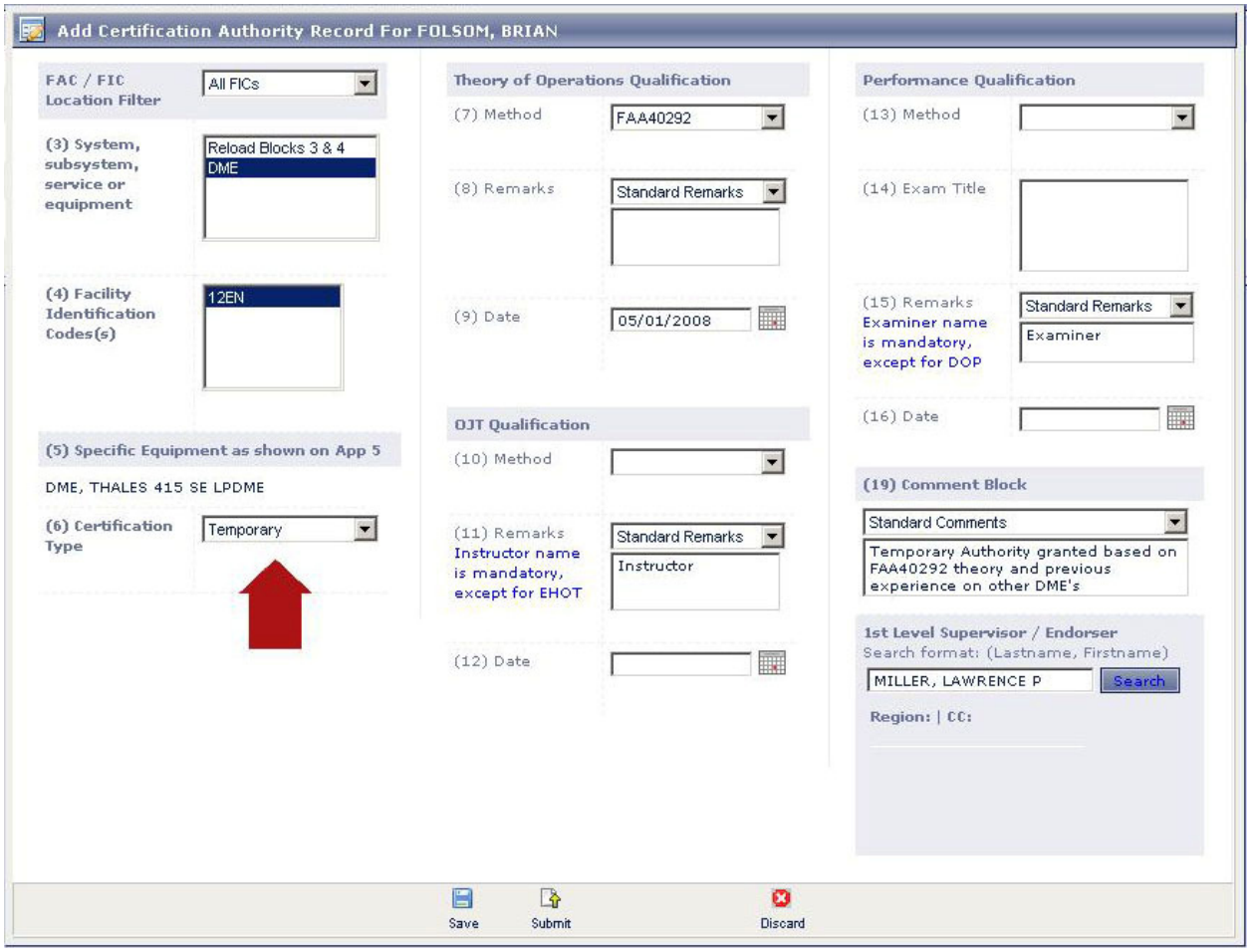
1. This record is for a DME that has informal theory and it was satisfied by another DME course. Also, the OJT and performance examination are locally developed but have an eLMS number in Appendix 5 to record the locally developed OJT and performance exam.

2. The remarks in block 8 have the course number that is used to satisfy the informal requirement. The completions date for that course is shown in block 9.

3. The eLMS number for recording the locally developed OJT course was selected from the drop-down in block 10. The instructor's name is in block 11 and the completion date for the OJT is in block 12.

4. The eLMS number for recording the locally developed performance examination was selected from the drop-down in block 13. The examiner's name is in block 15 and the completion date for the performance examination is in block 16.

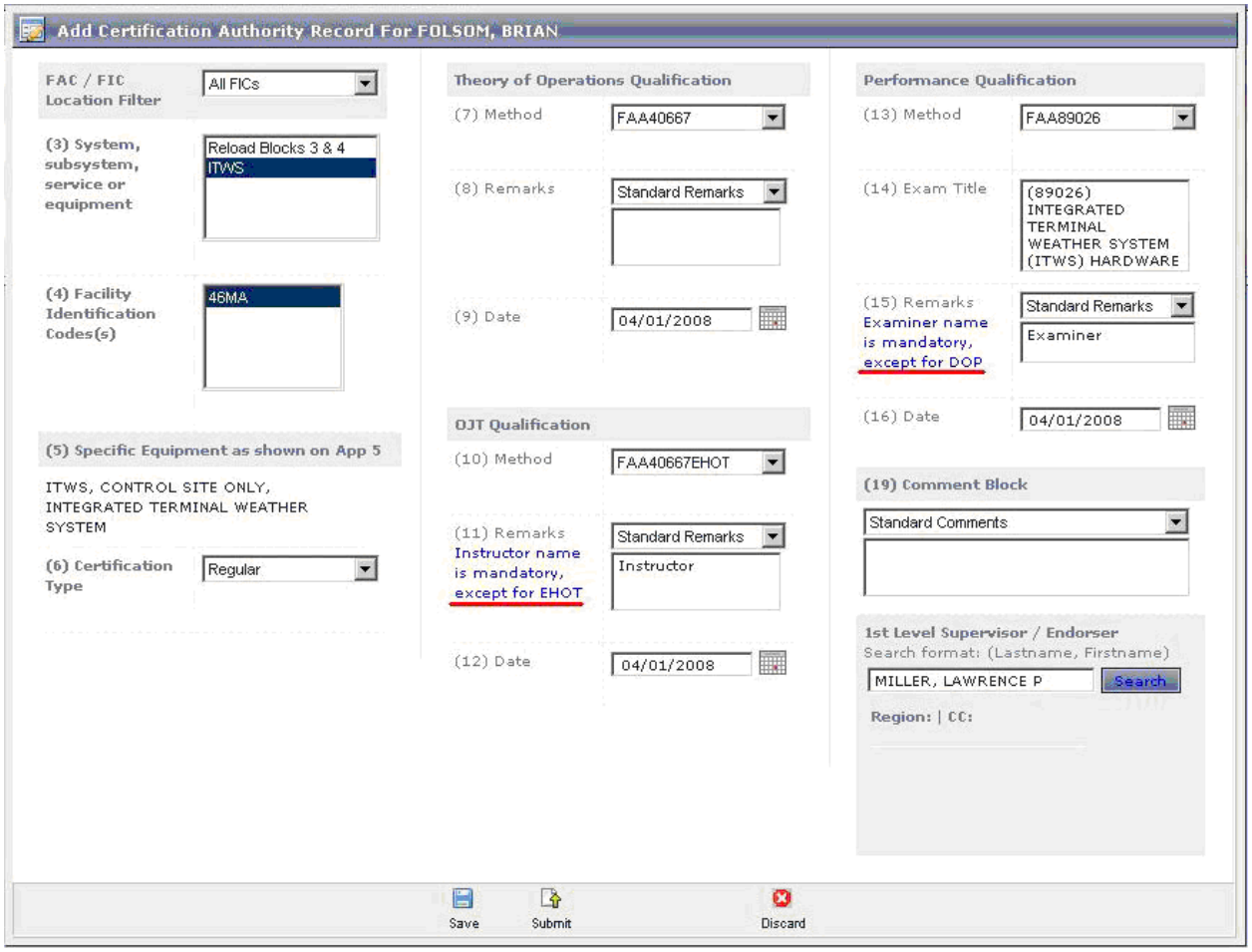
Figure 1-26. Certification Tracking System (CTS) Certification Data Entry Screen – Temporary Authority



1. This record is for a temporary authority on a DME that has informal theory and it was satisfied by another DME course. There are no required entries, OJT, or performance examination.

2. The Comments block has the proper entry about what was used as the requirements to grant this temporary authority. The entry is, "Temporary authority granted based on FAA40292 theory and previous experience on other DMEs."

Figure 1-27. Certification Tracking System (CTS) Certification Data Entry Screen – Enhanced Hands-On Training (EHOT)/Demonstration of Proficiency (DoP)

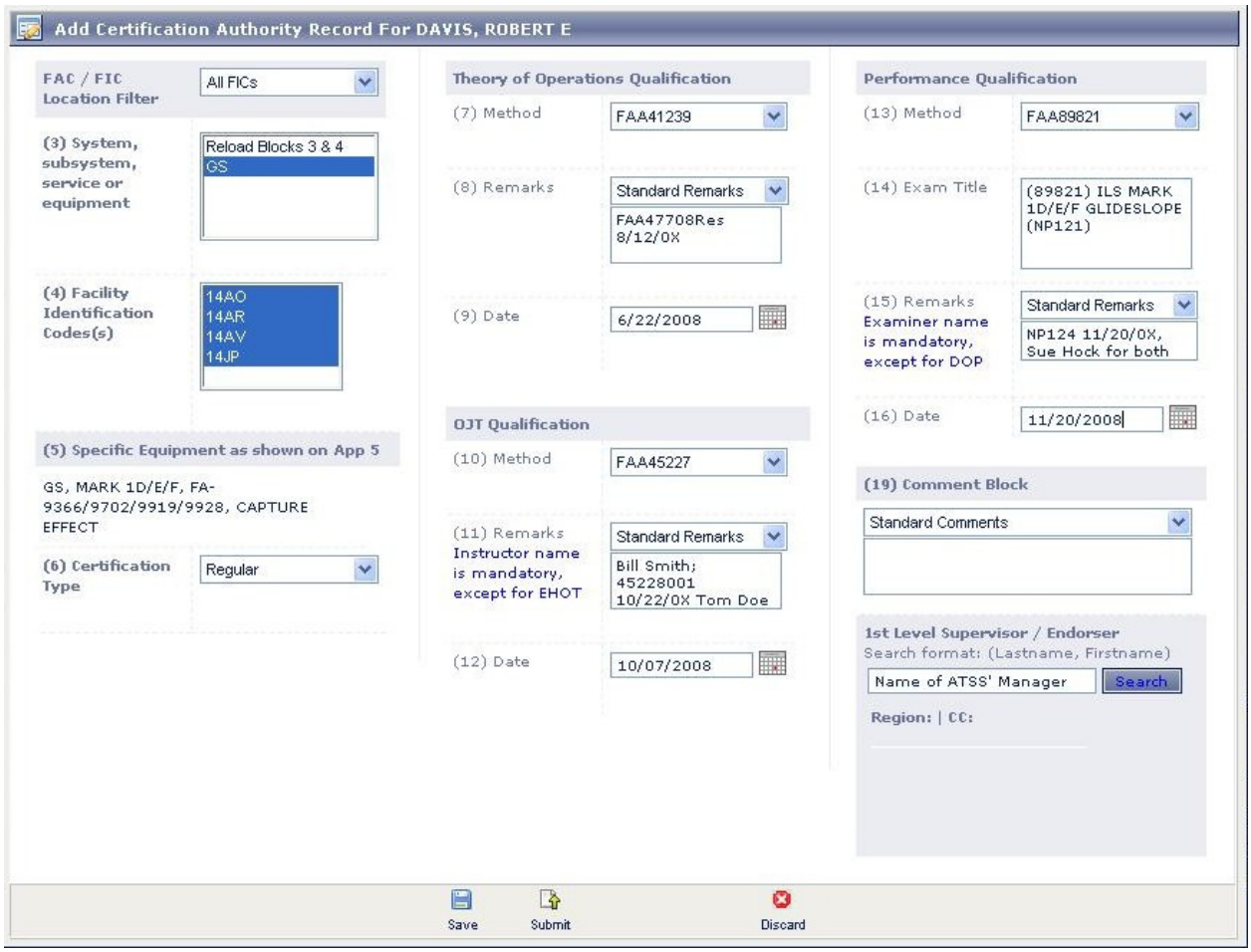


1. This screen shot is showing a correct entry for a certification where the requirements are met by an EHOT and DoP.

2. Notice that the proper selection required for the OJT Method block 10 is the FAA40667EHOT. All EHOT courses have a corresponding number in CTS with the letters EHOT after the course number for use in filling out OJT Method block 10.

3. There is no requirement for entering an OJT instructor or performance examiner name for a certification authority where the OJT was satisfied by EHOT and the Performance Qualification was satisfied by DoP. Notice the underlined statements in red.

Figure 1-28. Certification Tracking System (CTS) Certification Data Entry Screen – Capture Effect Glideslope (CEGS); Two of Each for Theory, On-the-Job Training (OJT), and Performance Exam (PE)



1. This screen shot is showing a CEGS that has two requirements for each of the theory, OJT, and performance exam. It is similar to a previous screen shot showing two requirements.

2. Block 11 is showing the name of the OJT instructor for the course listed in block 10 first and the second name is for the course in block 11.

Figure 1-29. Certification Tracking System (CTS) Certification Data Entry Screen – Interim Conversion

Add Certification Authority Record For DAVIS, ROBERT E

FAC / FIC Location Filter: All FICs

(3) System, subsystem, service or equipment: Reload Blocks 3 & 4; CPDS

(4) Facility Identification Codes(s): 83DB

(5) Specific Equipment as shown on App 5

CPDS, CRPDS, CRITICAL POWER DISTRIBUTION SYSTEM

(6) Certification Type: Regular

Theory of Operations Qualification

(7) Method:

(8) Remarks: Standard Remarks — Informal theory given by Tom Erickson

(9) Date: 10/25/2006

OJT Qualification

(10) Method:

(11) Remarks: Standard Remarks — locally developed OJT by Sue Williams

Instructor name is mandatory, except for EHOT

(12) Date: 11/27/2006

Performance Qualification

(13) Method:

(14) Exam Title:

(15) Remarks: Standard Remarks — Locally Developed PE by Robin Miller

Examiner name is mandatory, except for DOP

(16) Date: 12/12/2006

(19) Comment Block

Standard Comments — Interim converted per para 5-9

1st Level Supervisor / Endorser

Search format: (Lastname, Firstname)

Name of ATSS' Manager — Search

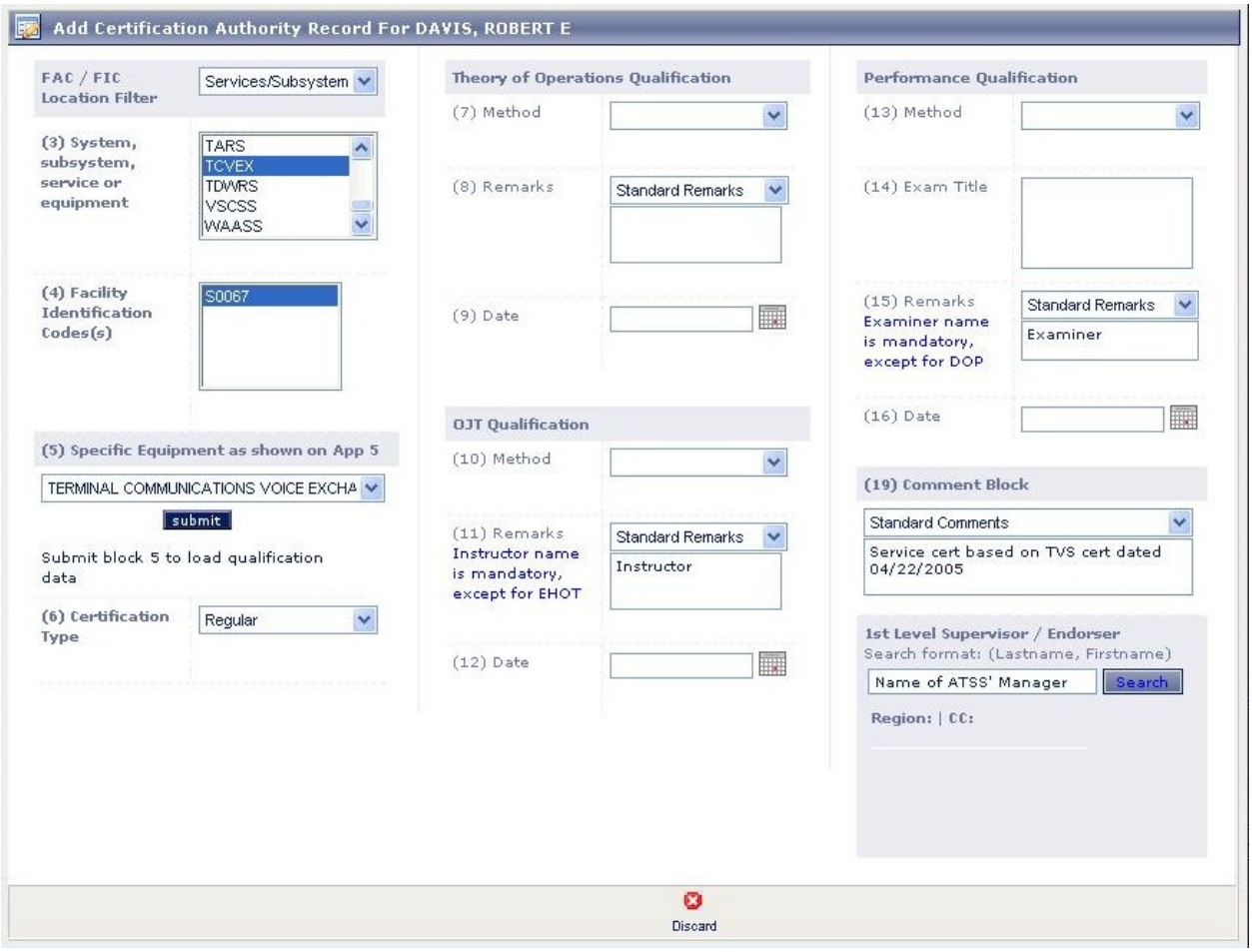
Region: | CC:

Save Submit Discard

1. This screen shot is showing a conversion of an interim certification in accordance with paragraphs 5-9.

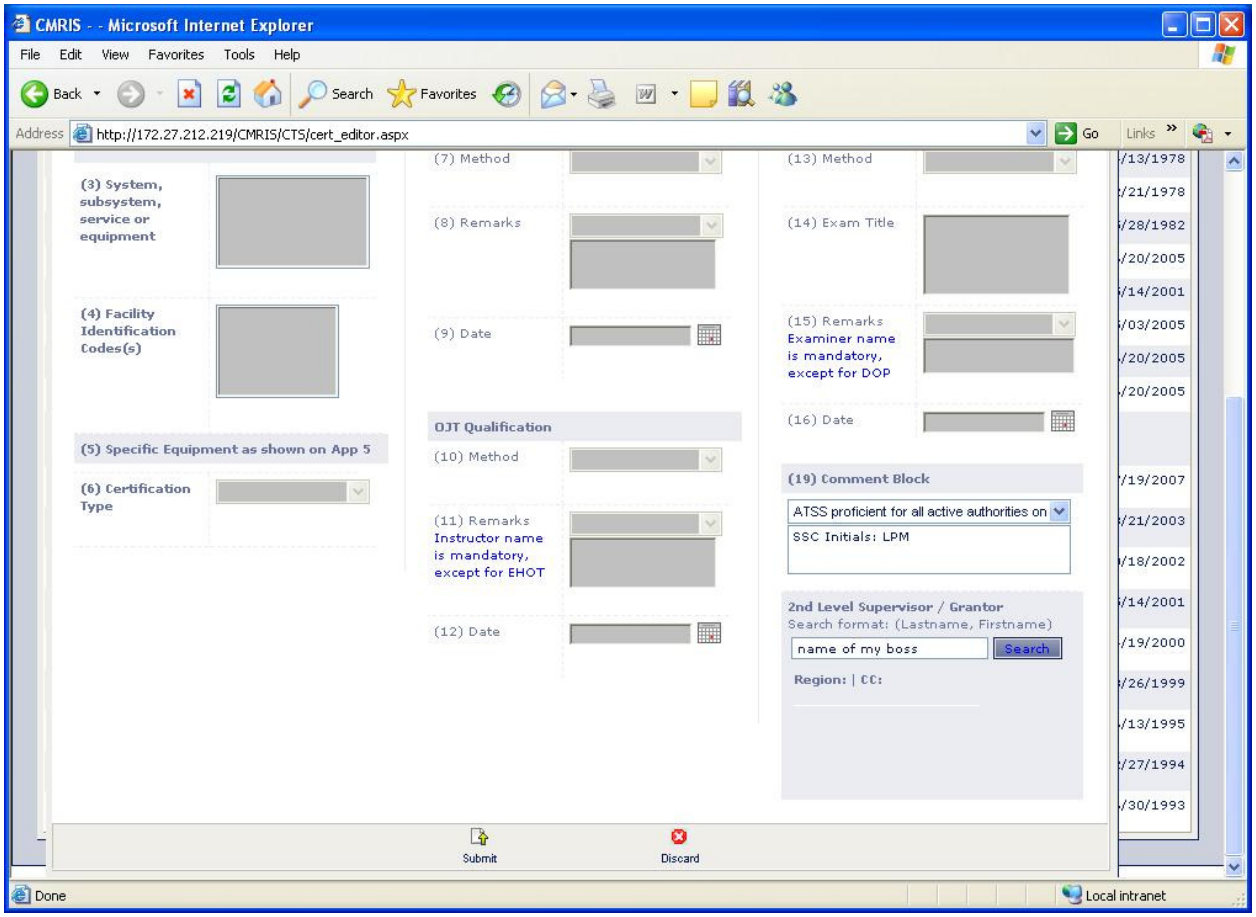
2. The information from the interim was entered into the appropriate blocks and the required comment was made in block 19.

Figure 1-30. Certification Tracking System (CTS) Certification Data Entry Screen – Service Certification Based on a System Certification



This service certification is based on an existing system certification. The only requirement is to enter the comment shown in block 19. The FAC for the system certification on which the service is based and the date the system certification was granted must be included.

Figure 1-31. Certification Tracking System (CTS) Certification Data Entry Screen – Annual Review



1. This is an example of an annual review entry by a first-level manager. The manager went into the ATSS's FAA Form 3400-3 records and clicked on the Annual Review button at the top right.

2. The first-level manager then selected the statement "ATSS proficient for all active certification authorities on 3400-3" from the drop-down list and entered his/her initials in the Comments block.

3. After taking the actions in the step above, the manager selects the name of his/her manager in the second-level supervisor/grantor box. After entering the name, the first-level manager sends this record to his/her manager by clicking on the Submit button at the bottom center.

Figure 1-32. Sample FAA Form 3400-3, Technical Operations Personnel Certification/Verification Authority Record

1	**Employee Name: Robert J. Specialist**		**Last 4 of eLMSid: 9999**	**Certification Authority**
2	**Page X of X**	**1**	**2**	**3**
3	**SYSTEM, SUBSYSTEM, EQUIPMENT OR SERVICE**	**LOC**	**ARSR**	**MEART**
4	**FACILITY IDENTIFICATION CODE(S)**	14CJ	521C	01FB
5	**Specific equipment as shown on 3000.57, App 5**	**LOC, Mark 1F, V-Ring antenna**	**ARSR-60M**	**MEART, MicroEARTS**
6	**CERTIFICATION TYPE**	Regular	Regular	Regular
7	**THEORY-OF-OPERATIONS QUALIFICATION**	FAA47716	Informal, per 3000.57 par 5-6a(3)	FAA40626
8	**Theory Remarks**		120 hours of Informal training by site ATSS, Ted Allen	
9	**Date Qualified**	9/20/200X	3/14/200X	04/15/200X
10	**OJT QUALIFICATION METHOD**	FAA45210	Locally Developed OJT IAW 3000.57 par 4-3a	Locally Developed OJT IAW 3000.57 par 4-3a
11	**OJT Remarks**	Thomas Jones, Instructor	Vernon Smith, Instructor	Tim Redmond, Instructor
12	**Date OJT Completed**	10/17/200X	5/12/200X	6/22/200X
13	**PERFORMANCE QUALIFYING METHOD**	FAA88753	FAA88896	FAA89015
14	**Perf Exam Title**	ILS, WILCOX MARK 1F LOCALIZER TYPE FA-9903 (NP53)	ARSR-60M (RP86)	MICRO-EARTS (RP107)
15	**Perf Qualifying Remarks**	Robert Davis, Examiner	Jill Brown, Examiner	Ron Johnson, Examiner
16	**Date Qualified**	11/2/200X	05/19/200X	06/30/200X
17	**Individual making entry: Name/Date**	John Jones 11/10/200X	John Jones 05/26/200X	Jeannie Thompson 07/06/200X
18	**Enter Email addressees and Submit this entry**	Submitted	Submitted	Submitted
19	**COMMENT BLOCK**	**REG CERT WHEN A NATIONAL THEORY, OJT AND PE ALL ARE LISTED ON 3000.57 APPENDIX 5**	**REG CERT WHEN THE ONLY LISTING ON 3000.57 APP 5 IS THE PERFORMANCE EXAM**	**REG CERT WHEN THERE IS NO OJT LISTED ON 3000.57 APP 5**
20	**1ST LEVEL SUPERVISOR ENDORSEMENT**	Robert J. Supervisor Jr.	Robert J. Supervisor Jr.	Robert J. Supervisor Jr.
21	**Endorsement Date**	11/10/200X	05/26/200X	07/07/200X
22	**Endorsement**	ENDORSED	ENDORSED	ENDORSED
23	**CERTIFICATION AUTHORITY GRANTOR**	Dave D Manager	Dave D Manager	Dave D Manager
24	**Date Granted**	11/10/200X	05/26/200X	07/09/200X
25	**Authority Granted**	GRANTED	GRANTED	GRANTED
26	**CERTIFICATION AUTHORITY REVOKED**			
27	**Date Revoked**			
28	**Authority Revoked**			

FAA Form 3400-3 (11/06) Printed from CTS

Figure 1-32. Sample FAA Form 3400-3, Technical Operations Personnel Certification/Verification Authority Record (Continued)

1	**Employee Name: Robert J. Specialist**		**Last 4 of eLMSid: 9999**	**Certification Authority**
2	**Page X of X**	**4**	**5**	**6**
3	**SYSTEM, SUBSYSTEM, EQUIPMENT OR SERVICE**	**LLWAS**	**Annual Review**	**ESATD**
4	**FACILITY IDENTIFICATION CODE(S)**	47GE		No FIC
5	**Specific equipment as shown on 3000.57, App 5**	**LLWAS, Sanyamo Weston**		**ESATD, Service, for CCCH**
6	**CERTIFICATION TYPE**	Regular		Regular
7	**THEORY-OF-OPERATIONS QUALIFICATION**	Informal, per 3000.57 par 5-6a(3)		FAA49275
8	**Theory Remarks**	Used 40290 as theory-of-operations course, none available for this LLWAS		
9	**Date Qualified**	9/20/200X		07/08/200X
10	**OJT QUALIFICATION METHOD**	Locally Developed OJT IAW 3000.57 par 4-3a		Locally Developed OJT IAW 3000.57 par 4-3a
11	**OJT Remarks**	Instructor Bob Smith		Instructor Gene Anderson
12	**Date OJT Completed**	10/18/200X		07/24/200X
13	**PERFORMANCE QUALIFYING METHOD**	Locally Developed PE IAW 3000.57 par 3-6d		FAA88926
14	**Perf Exam Title**	LLWAS, Sanyamo Weston		ESAFP (FORMERLY CFAD)/ESATD (FORMERLY CRAD/DRAD) (DP25)
15	**Perf Qualifying Remarks**	Thomas Jones, Examiner		Ted Wilson, Examiner
16	**Date Qualified**	12/12/200X		08/09/200X
17	**Individual making entry: Name/Date**	John Jones 12/20/200X		Jeannie Thompson 08/15/200X
18	**Enter Email addressees and Submit this entry**	Submitted		Submitted
19	**COMMENT BLOCK**	**A REGULAR CERT WHEN THERE IS NO NATIONAL THEORY-OF-OPERATIONS COURSE, OJT OR PE**	**ANNUAL REVIEWS** ATSS proficient for all active certification authorities on 3400-3, RJS All active certification authorities on 3400-3 continued, DDM	**SERVICE ENTRY WHERE THERE IS A NATIONAL THEORY-OF-OPERATIONS COURSE AND PE**
20	**1ST LEVEL SUPERVISOR ENDORSEMENT**	Robert J. Supervisor Jr.	Robert J. Supervisor Jr.	Robert J. Supervisor Jr.
21	**Endorsement Date**	12/20/200X	11/15/200X	08/16/200X
22	**Endorsement**	ENDORSED	Authorities Endorsed	ENDORSED
23	**CERTIFICATION AUTHORITY GRANTOR**	Dave D Manager	Dave D Manager	Dave D Manager
24	**Date Granted**	12/21/200X	11/17/200X	08/17/200X
25	**Authority Granted**	GRANTED	Authorities Continued	GRANTED
26	**CERTIFICATION AUTHORITY REVOKED**			
27	**Date Revoked**			
28	**Authority Revoked**			

FAA Form 3400-3 (11/06) Printed from CTS

Figure 1-32. Sample FAA Form 3400-3, Technical Operations Personnel Certification/Verification Authority Record (Continued)

1	**Employee Name: Robert J. Specialist**		**Last 4 of eLMSid: 9999**	**Certification Authority**
2	**Page X of X**	**7**	**8**	**9**
3	**SYSTEM, SUBSYSTEM, EQUIPMENT OR SERVICE**	**DME**	**PCS**	**VOR**
4	**FACILITY IDENTIFICATION CODE(S)**	12EN	8350	11AE
5	**Specific equipment as shown on 3000.57, App 5**	**DME, Thales 415 SE LPDME**	**PCS, UPS, Mitsubishi 9700 Series**	**VOR, Second Generation Civil, FA-9996**
6	**CERTIFICATION TYPE**	Temporary	Temporary	Remote Regular
7	**THEORY-OF-OPERATIONS QUALIFICATION**	FAA40292	Not Available	FAA47701
8	**Theory Remarks**		Used previous course 40157 as theory-of-operations course	Previously completed in the field
9	**Date Qualified**	05/10/200X	9/26/2002	03/20/199X
10	**OJT QUALIFICATION METHOD**	N/A	N/A	Locally Developed OJT IAW 3000.57 par 4-3a
11	**OJT Remarks**			MOCC OJT by Tom Jones, Instructor
12	**Date OJT Completed**			10/10/200X
13	**PERFORMANCE QUALIFYING METHOD**	N/A	N/A	Locally Developed PE IAW 3000.57 par 3-6d
14	**Perf Exam Title**			Second Generation VORTAC
15	**Perf Qualifying Remarks**			VOR PE's done previously, local MOCC PE by Bob Smith
16	**Date Qualified**			1020/200X
17	**Individual making entry: Name/Date**	Jeannie Thompson 05/15/200X	John Jones, 06/22/200X	Ellen Hopkins, 10/22/200X
18	**Enter Email addressees and Submit this entry**	Submitted	Submitted	Submitted
19	**COMMENT BLOCK**	**TEMP WITH THEORY-OF-OPERATIONS COURSE** Temporary Authority granted based on FAA40292 theory-of-operations course and previous experience on other DMEs	**TEMP WITH NO THEORY-OF-OPERATIONS COURSE** Temporary Authority granted based on other PCS theory-of-operations course and previous experience on PCS	**REMOTE REG** Individual demonstrated proficiency in remote certification of VOR
20	**1ST LEVEL SUPERVISOR ENDORSEMENT**	Robert J. Supervisor Jr.	Robert J. Supervisor Jr.	Robert J. Supervisor Jr.
21	**Endorsement Date**	05/17/200X	06/22/200X	10/22/200X
22	**Endorsement**	ENDORSED	ENDORSED	ENDORSED
23	**CERTIFICATION AUTHORITY GRANTOR**	Dave D Manager	Dave D Manager	Dave D Manager
24	**Date Granted**	05/19/200X	06/22/200X	10/22/200X
25	**Authority Granted**	GRANTED	GRANTED	GRANTED
26	**CERTIFICATION AUTHORITY REVOKED**	David D Manager	David D Manager	
27	**Date Revoked**	08/15/200X	09/22/200X	
28	**Authority Revoked**	REVOKED	REVOKED	

FAA Form 3400-3 (11/06) Printed from CTS

Figure 1-32. Sample FAA Form 3400-3, Technical Operations Personnel Certification/Verification Authority Record (Continued)

1	**Employee Name: Robert J. Specialist**		**Last 4 of eLMSid: 9999**	**Certification Authority**
2	**Page X of X**	**10**	**11**	**11A**
3	**SYSTEM, SUBSYSTEM, EQUIPMENT OR SERVICE**	**ITWS**	**ATCT**	
4	**FACILITY IDENTIFICATION CODE(S)**	46MA	02AA, 02AB, 02AZ	
5	**Specific equipment as shown on 3000.57, App 5**	**ITWS, Control Site only**	**ATCT, Emergency Transceivers at ATCTs**	
6	**CERTIFICATION TYPE**	Regular	Regular	
7	**THEORY-OF-OPERATIONS QUALIFICATION**	FAA40667	47504	
8	**Theory Remarks**			
9	**Date Qualified**	11/11/200X	08/04/200X	09/01/200X
10	**OJT QUALIFICATION METHOD**	FAA40667	Locally Developed OJT IAW 3000.57 par 4-3a	
11	**OJT Remarks**	NOTE: Do not enter instructors name for EHOT	Instructor Bob Roberts	
12	**Date OJT Completed**	11/11/200X	11/12/200X	
13	**PERFORMANCE QUALIFYING METHOD**	FAA89026	FAA88591	
14	**Perf Exam Title**	ITWS Demonstration of Proficiency	ATCT, EMERGENCY TRANSCEIVER (CP80)	
15	**Perf Qualifying Remarks**	NOTE: Do not enter examiners name for DoP	Examiner, Tom Nixon	
16	**Date Qualified**	11/12/200X	11/24/200X	
17	**Individual making entry: Name/Date**	Jeannie Thompson 11/15/200X	John Jones, 12/05/200X	
18	**Enter Email addressees and Submit this entry**	Submitted	Submitted	
19	**COMMENT BLOCK**	**ENTRY FOR THE NEW CONCEPT OF ENHANCED HANDS-ON TRAINING AND CONDUCTED AT THE FAA ACADEMY**	**ENTRY WITH A CORRECTION OF DATE, ORIGINAL ENTRY COLUMN STAYS THE SAME**	**CORRECTION COLUMN ENTRY WITH A CORRECTION OF THEORY-OF-OPERATIONS COURSE DATE, ADDITIONAL APPROVAL NOT REQUIRED** John Jones corrected wrong theory-of-operations course date 12/29/200X
20	**1ST LEVEL SUPERVISOR ENDORSEMENT**	Robert J. Supervisor Jr.	Robert J. Supervisor Jr.	
21	**Endorsement Date**	11/16/200X	12/05/200X	
22	**Endorsement**	ENDORSED	ENDORSED	
23	**CERTIFICATION AUTHORITY GRANTOR**	Dave D Manager	Dave D Manager	
24	**Date Granted**	11/17/200X	12/05/200X	
25	**Authority Granted**	GRANTED	GRANTED	
26	**CERTIFICATION AUTHORITY REVOKED**			
27	**Date Revoked**			
28	**Authority Revoked**			

FAA Form 3400-3 (11/06) Printed from CTS

Figure 1-32. Sample FAA Form 3400-3, Technical Operations Personnel Certification/Verification Authority Record (Continued)

1	Employee Name: Robert J. Specialist		Last 4 of eLMSid: 9999	Certification Authority
2	Page X of X	12	12A	13
3	SYSTEM, SUBSYSTEM, EQUIPMENT OR SERVICE	ATCT	ATCT	
4	FACILITY IDENTIFICATION CODE(S)	02AA, 02AB, 02AZ	02AA, 02AB, 02AZ	
5	Specific equipment as shown on 3000.57, App 5	ATCT, Emergency Transceivers at ATCTs	ATCT, Emergency Transceivers at ATCTs	
6	CERTIFICATION TYPE	Regular	Regular	
7	THEORY-OF-OPERATIONS QUALIFICATION	44024	47504	
8	Theory Remarks	12/20/200X	John Jones corrected theory-of-operations course 12/18/200X	
9	Date Qualified	08/04/200X	06/244/200X	
10	OJT QUALIFICATION METHOD	Locally Developed OJT IAW 3000.57 par 4-3a	Locally Developed OJT IAW 3000.57 par 4-3a	
11	OJT Remarks	Instructor Bob Roberts	Instructor Bob Roberts	
12	Date OJT Completed	11/12/200X	11/12/200X	
13	PERFORMANCE QUALIFYING METHOD	FAA88591	FAA88591	
14	Perf Exam Title	ATCT, EMERGENCY TRANSCEIVER (CP80)	ATCT, EMERGENCY TRANSCEIVER (CP80)	
15	Perf Qualifying Remarks			
16	Date Qualified	11/24/200X	11/24/200X	
17	Individual making entry: Name/Date	John Jones, 12/05/200X	John Jones, 12/18/200X	
18	Enter Email addressees and Submit this entry	Submitted	Submitted	
19	COMMENT BLOCK	ENTRY WITH A CORRECTION OF THEORY-OF-OPERATIONS COURSE, ORIGINAL ENTRY COLUMN STAYS THE SAME	ENTRY WITH A CORRECTION OF THEORY-OF-OPERATIONS COURSE, NEW APPROVAL REQUIRED Corrected theory-of-operations course, John Jones, 12/18/200X	
20	1ST LEVEL SUPERVISOR ENDORSEMENT	Robert J. Supervisor Jr.	Robert J. Supervisor Jr.	
21	Endorsement Date	12/05/200X	12/19/200X	
22	Endorsement	ENDORSED	ENDORSED	
23	CERTIFICATION AUTHORITY GRANTOR	Dave D Manager	Dave D Manager	
24	Date Granted	12/05/200X	12/20/200X	
25	Authority Granted	GRANTED	GRANTED	
26	CERTIFICATION AUTHORITY REVOKED			
27	Date Revoked			
28	Authority Revoked			

FAA Form 3400-3 (11/06) Printed from CTS

Figure 1-32. Sample FAA Form 3400-3, Technical Operations Personnel Certification/Verification Authority Record (Continued)

1	**Employee Name: Robert J. Specialist**		**Last 4 of eLMSid: 9999**	**Certification Authority**
2	**Page X of X**	**14**	**15**	**16**
3	**SYSTEM, SUBSYSTEM, EQUIPMENT OR SERVICE**	**ALS**	**CPDS**	**Fac Acronym**
4	**FACILITY IDENTIFICATION CODE(S)**	317H	83DB	FIC
5	**Specific equipment as shown on 3000.57, App 5**	**ALS, ALSF-II NBP, FA-10700**	**CPDS, Critical Power Distribution System (CRPDS)**	**Name as on App 5**
6	**CERTIFICATION TYPE**	Regular	Regular	Regular
7	**THEORY-OF-OPERATIONS QUALIFICATION**	FAA40148		FAAXXXXX
8	**Theory Remarks**		See pre-existing Interim dated 8/22/200X	Nationally approved course per 3000.57 par 5-10b
9	**Date Qualified**	08/20/200X	8/22/200X	
10	**OJT QUALIFICATION METHOD**	Waived per 3000.57 par 3-17d		Not required per 3000.57 par 5-10b
11	**OJT Remarks**	Waiver approved by Bob Jones, CSA Admin Ser Group Manager	See pre-existing Interim dated 8/22/200X	3 plus years of experience as a certified specialist on XXXX
12	**Date OJT Completed**	09/18/200X	8/22/200X	
13	**PERFORMANCE QUALIFYING METHOD**	FAA88620		Not required per 3000.57 par 5-10b
14	**Perf Exam Title**	ALSF-2, FA-10700, NBP (EP16)	N/A	
15	**Perf Qualifying Remarks**	Tim Smith, Examiner	See pre-existing Interim dated 8/22/200X	3 plus years of experience as a certified specialist on XXXX
16	**Date Qualified**	10/02/200X	8/22/200X	10/22//200X
17	**Individual making entry: Name/Date**	Ellen Hopkins, 10/02/200X	Jeannie Thompson 11/15/200X	Ellen Hopkins, 10/02/200X
18	**Enter Email addressees and Submit this entry**	Submitted	Submitted	Submitted
19	**COMMENT BLOCK**	**ENTRY WHERE THE OJT WAS WAIVED BY THE SA ADMIN SVCS GROUP MGR** Waiver memorandum filed in Official Certification Record File	**ENTRY FOR CONVERSION OF PRE-EXISTING INTERIM** Converted Interim per 3000.57 par 5-9	**REGULAR ENTRY PER 3000.57 PAR 34B** One of two specialists in 2nd levels organization granted regular authority per 3000.57 par 5-10b
20	**1ST LEVEL SUPERVISOR ENDORSEMENT**	Robert J. Supervisor Jr.	Robert J. Supervisor Jr.	Robert J. Supervisor Jr.
21	**Endorsement Date**	10/05/200X	11/25/200X	10/05/200X
22	**Endorsement**	ENDORSED	ENDORSED	ENDORSED
23	**CERTIFICATION AUTHORITY GRANTOR**	Dave D Manager	Dave D Manager	Dave D Manager
24	**Date Granted**	10/07/200X	11/28/200X	10/07/200X
25	**Authority Granted**	GRANTED	GRANTED	GRANTED
26	**CERTIFICATION AUTHORITY REVOKED**			
27	**Date Revoked**			
28	**Authority Revoked**			

FAA Form 3400-3 (11/06) Printed from CTS

Figure 1-32. Sample FAA Form 3400-3, Technical Operations Personnel Certification/Verification Authority Record (Continued)

1	**Employee Name: Robert J. Specialist**		**Last 4 of eLMSid: 9999**	**Certification Authority**
2	**Page X of X**	**17**	**18**	**19**
3	**SYSTEM, SUBSYSTEM, EQUIPMENT OR SERVICE**	**RVR**	**GS**	**TCVEX**
4	**FACILITY IDENTIFICATION CODE(S)**	47AM	14AO	No FIC
5	**Specific equipment as shown on 3000.57, App 5**	**RVR, Teledyne**	**GS, Mark 1D/E/F,Capture Effect**	**TCVEX Service**
6	**CERTIFICATION TYPE**	Regular	Regular	Regular
7	**THEORY-OF-OPERATIONS QUALIFICATION**	FAA45020	FAA41239	
8	**Theory Remarks**	44222 6/11/200X	47708Res 8/12/200X	
9	**Date Qualified**	08/20/200X	6/22/200X	
10	**OJT QUALIFICATION METHOD**	FAA45218	FAA45227	
11	**OJT Remarks**	Xavier Thomas, Instructor	Bill Smith Instructor; 45228001 10/22/200X Tom Jones Instructor	
12	**Date OJT Completed**	09/18/200X	10/07/200X	
13	**PERFORMANCE QUALIFYING METHOD**	FAA88578	FAA89821	
14	**Perf Exam Title**	(88578) TELEDYNE RUNWAY VISUAL RANGE (RVR) SYSTEM (CP64)	(89821) ILS MARK 1D/E/F GLIDESLOPE (NP121)	
15	**Perf Qualifying Remarks**	Tim Smith, Examiner	NP124 11/20/200X, Sue Hock Examiner for both PE's	
16	**Date Qualified**	10/02/200X	11/20/200X	
17	**Individual making entry: Name/Date**	Ellen Hopkins, 10/03/200X	Jeannie Thompson 11/25/200X	Ellen Hopkins, 01/22/200X
18	**Enter Email addressees and Submit this entry**	Submitted	Submitted	Submitted
19	**COMMENT BLOCK**	**ENTRY WHEN THERE IS MORE THAN ONE THEORY COURSE LISTED IN AP 5. THE SECOND COURSE IS PUT IN THE THEORY REMARKS BLOCK WITH DATE COMPLETED**	**ENTRY WHEN THERE ARE MULTIPLE THEORY, OJT & PE LISTED IN APP 5, THE SECOND ITEM IS PUT IN THE REMARKS BLOCKS WITH THE DATE COMPLETED**	**ENTRY WHERE THE SERVICE CERT WAS GRANTED BASED ON SYSTEM CERT** Based on TVS cert dated 04/22/2005
20	**1ST LEVEL SUPERVISOR ENDORSEMENT**	Robert J. Supervisor Jr.	Robert J. Supervisor Jr.	Robert J. Supervisor Jr.
21	**Endorsement Date**	10/05/200X	11/28/200X	10/05/200X
22	**Endorsement**	ENDORSED	ENDORSED	ENDORSED
23	**CERTIFICATION AUTHORITY GRANTOR**	Dave D Manager	Dave D Manager	Dave D Manager
24	**Date Granted**	10/07/200X	11/29/200X	10/05/200X
25	**Authority Granted**	GRANTED	GRANTED	GRANTED
26	**CERTIFICATION AUTHORITY REVOKED**			
27	**Date Revoked**			
28	**Authority Revoked**			

FAA Form 3400-3 (11/06) Printed from CTS

Figure 1-33. Instructions for Preparing FAA Form 3400-15, Performance Examination Cover Sheet

This form is initiated in the CTS portion of CMRIS and is then printed for use. The intent is to only print the form at the point of use to gain efficiency by not mailing forms back and forth. Access to CMRIS is covered in Appendix 6 and is limited to those individuals who have a need to initiate, edit, and print forms. The most current instructions for completing an FAA Form 3400-15 in CTS are located on CMRIS website and/or on FIST. The information is entered on an entry screen. The following is a row by row description of the form and brief entry procedures.

1. Section A is the request for the examination and contains the following information:

a. eLMS Number. The eLMS examination number is displayed on a pick list for all performance examinations approved by the Tech Ops Training and Dev Group. For certifiable systems without a nationally approved performance examination, the words, "Locally Developed PE" must be selected from the top of the list.

b. Examination Number/Title, Facility Identification Code (FIC), and estimated exam time are auto-populated based on the eLMS number. For locally developed performance examinations, the name of the service/system/subsystem/equipment being tested, as shown in Appendix 5, will be entered here. The hours for a locally developed performance examination are a local estimate. Requirements for the locally developed performance examination are referenced in paragraphs 3-5(d).

c. Examinee's name and the last four digits of his/her eLMS identification are auto-populated based on the selection of the employee.

d. The Specify PSS button is for the use of the first-level manager. If the first-level manager initiates the FAA Form 3400-15, he/she selects the appropriate PSS to whom the request is sent.

e. When the form is being initiated by a first-level manager, he/she may enter the name of a proposed examiner in Section B.

f. Once Section A is complete and the proposed examiner is entered in Section B, the Submit button is selected. The PSS will receive an email notification that he/she needs to continue processing the request.

2. Section B is the official designation of examiner and verifies that the examiner is qualified to administer the examination. This section contains the name of the designated examiner, the name and SSC location of the designated examiner's manager, and the name of the approving second-level manager.

a. The PSS must certify that the designated examiner meets all the requirements of paragraph 3-35(e) and enter the name of the designated examiner (if it has not already been entered).

b. The name and SSC location of the designated examiner's manager that the action was coordinated through is manually entered.

c. The PSS will click the Select Manager button to select the appropriate District second-level/OCC/TSOG/POG manager. When the Approve button is clicked, the name of the individual making the entry is taken from CMRIS identification and is entered along with the current date. To process the form in hard-copy, the form may be printed, signed, and dated. Either a signature or the automatic entry serves as the certification.

d. The PSS clicks the Submit button and an email will be sent to the District second-level/OCC/TSOG/POG manager, notifying him/her of the need to approve the designation of the examiner. If the PSS printed the form, it is then routed to the District second-level/OCC/TSOG/POG manager for signature and date.

e. The District second-level/OCC/TSOG/POG manager clicks on the Approve button and CMRIS inserts his/her name, the current date, and the current time on the form. If the PSS printed the form, the District second-level/OCC/TSOG/POG manager signs and dates.

f. At this point, Section B is complete and the form is forwarded to the designated examiner via mail, fax, or email. The intention is that the form is printed at the point of use.

3. Section C is utilized by the examiner at the completion of the examination. The designated examiner should reference the Instructions to the Examiner in Appendix 8, Instructions to the Performance Examiner. The designated examiner records the examination results. This section must contain the following information:

a. Major equipment identification, type, and facility location.

b. Results of examination. The designated examiner will fill in the blocks for “Total # Tasks” and “# Unsat Tasks”. To calculate the percentage of the satisfactory tasks, add the total number of tasks (the total of all the “S” and “U” entries in all the columns), minus the number of unsatisfactory tasks (the “U” entries in all the columns); divide that total by the total number of tasks, then multiply that number times 100 to arrive at a percentage. 90 percent is required to pass the examination. The words “Pass” or “Fail" will be written in the Pass/Fail block by the designated examiner.

c. The total time used for the examination. The designated examiner will record the total time of the exam. In accordance with paragraph 3-5c(8), verbal approval from a PSC manager or District second-level/OCC/POG/TSOG manager is required if the examination is will exceed the estimated time by more than 20 percent.

d. Signature of the designated examiner and date. The FAA Form 3400-15 will be signed and dated by the designated examiner once the examination is completed.

4. The reverse side of the form must be used by the examiner to record any failed items. For locally developed examinations, the certification and key performance parameters tested must be listed on the reverse side of the form. Additional comments related to the examination (e.g., observer signature) may also be entered here.

5. The completed form will be forwarded to the PSS for processing. The cover sheets for successfully completed national performance examinations may be discarded 24 hours after the completion has been entered in eLMS and the certification authority has been granted. The cover sheets for locally developed performance examinations must be kept in the OCRF.

6. For a failed performance examination, the FAA Form 3400-15 must be kept until the performance examination is successfully completed and certification authority has been granted.

Figure 1-34. Certification Tracking System (CTS) 3400-15 Data Entry Screen

CTS > Form 3400-15

Save Cancel

A. Request For Exam

eLMS: Select an eLMS ID

Exam Number/Title

FIC

Est. Exam Time(hrs)

Examinee (Name/SSC) Search

Last four of eLMS ID

Specify PSS Submit

B. Official Designation

Designated Examiner(Name)

May be entered by SSC Manager

Coordinated through (Name/Location)

I certify that the Designated Examiner meets all requirements of FAA Notice NJO 3400.39 paragraph 15.h and that the examineer is qualified to administer the exam

Select Manager

Approve

MPS/PSS (Approval in CMRIS or Signature) Date

Approve

District second level/OCC/SA POG/SA TSOG/Manager (Approval in CMRIS or Signature) Date

This screen shot shows the CTS Form 3400-15 PE data entry screen.

Figure 1-35. Sample FAA Form 3400-15, Performance Examination Cover Sheet (Example for National Performance Exam)

PERFORMANCE EXAMINATION COVER SHEET
Technical Operations Personnel Certification Programs
eLMS# FAA88753

A. REQUEST FOR EXAM

NP53 (88753) ILS, WILCOX MARK 1F LOCALIZER TYPE FA-9903 (NP53)	8 HOURS
Exam Number/Title	Estimated Exam Time
14CJ 14CS	
ROBERT J. SPECIALIST	1234
Examinee Name	Last four digits of eLMS ID

B. OFFICIAL DESIGNATION

Ben D. Examiner	Tom Supervisor / DEF SSC
Designated Examiner (Name)	Coordinated through (Name/Location of Examiner's Manager)

I certify that the designated examiner meets all requirements of FAA Order 3000.57 paragraph 3-34d and that the examiner is qualified to administer the exam.

JOHN JONES	09/12/200X
PSS (Approval in CTS or Signature)	Date

In accordance with FAA Order 3000.57, you are **designated as examiner**. As the examiner, you should familiarize yourself with the instructions to the examiner, found in FAA Order JO 3000.57 Appendix 8 or in the examination. Any failed items must be listed on the reverse side of this sheet. In the event of an examination failure, test equipment must also be listed on the reverse side of this sheet.

This designation will expire three (3) months from the date of the District second-level/OCC Manager's signature.

David D. Manager	09/12/200X
District second-level/OCC Manager (Approval in CTS or Signature)	Date

C. EQUIPMENT IDENTIFICATION

Major Equipment	Type	Facility Location
LOC Transmitter	*FA-9908*	*Hawley, TN*
LOC Monitor	*FA-9907*	*Hawley, TN*

Results:				
144	*0*	*100%*	*6 hours*	*PASS*
Total # Tasks	# Unsat Tasks	% Satisfactory Tasks, (90% required to Pass)	Total time	Pass/Fail

Ben D Examiner	*11/2/200X*
Designated Examiner (Signature)	Date Exam Completed

FAA Form 3400-15 (XX/08) Printed from CTS

****This form must be forwarded to the Program Support Specialist for Processing**

Figure 1-36. Sample FAA Form 3400-15, Performance Exam Cover Sheet (Example for Locally Developed Performance Exam)

PERFORMANCE EXAMINATION COVER SHEET
Technical Operations Training and Personnel Certification Programs
eLMS# Locally Developed

A. REQUEST FOR EXAM

Aerocom DME Model 5351	8 HOURS
Exam Number/Title	Estimated Exam Time

12EG

ROBERT J. SPECIALIST	1234
Examinee Name	Last four digits of eLMS ID

B. OFFICIAL DESIGNATION

Debbie D. Examiner	Donna D. Manager / XXX District
Designated Examiner (Name)	Coordinated through (Name/Location of Examiner's Manager)

I certify that the designated examiner meets all requirements of FAA Order 3000.57 paragraph 3-34d and that the examiner is qualified to administer the exam.

JUDY D. SPECIALIST	02/10/200X
PSS (Approval in CTS or Signature)	Date

In accordance with FAA Order 3000.57, you are **designated as examiner**. As the examiner, you should familiarize yourself with the instructions to the examiner, found in FAA Order JO 3000.57 Appendix 8 or in the examination. Any failed items must be listed on the reverse side of this sheet. In the event of an examination failure, test equipment must also be listed on the reverse side of this sheet.

This designation will expire three (3) months from the date of the District second-level/OCC Manager's signature.

Martin R. Manager	*02/10/200X*
District second-level/OCC Manager (Approval in CTS or Signature)	Date

C. EQUIPMENT IDENTIFICATION

Major Equipment	Type	Facility Location
Aerocom DME Transponder, Monitor and Control Unit	5531	Brooks, MD

See the reverse side of this form for the Certification and Key Performance Parameters tested.

Results:	*58*	*0*	*100%*	*7.5 Hours*	*Pass*
	Total # Tasks	# Unsat Tasks	% Satisfactory Tasks, (90% required to Pass)	Total time	Pass/Fail

Debbie D. Examiner	*02/24/200X*
Designated Examiner (Signature)	Date Exam Completed

FAA Form 3400-15 (XX/08) Printed from CTS

****This form must be forwarded to the Program Support Specialist for Processing**

Figure 1-36. Sample FAA Form 3400-15, Performance Examination Cover Sheet (Reverse Side When Used for Locally Developed Performance Examinations) (Continued)

The following is a sample of entries on the back of a Performance Examination Cover Sheet form when used for a locally developed performance examination as required by paragraph 3-5d. This example is for a DME model Aerocom 5351. It is an older system that does not have a national performance examination.

Write or type the certification parameters and key performance parameters tested on the back of the FAA Form 3400-15. For each item below, the examinee is rated either "S" for satisfactory, "U" for unsatisfactory, or "X" for not-applicable in each of three areas: Test Equipment/Procedures/Results. For this particular example that would be 58 tasks: 54 for key and certification parameters and four for beginning and ending outage coordination (Procedure and Results for each).

Reference: FAA Order 6730.2, Chapter 3, Appendix 1, Table 1
The following Certification Parameters were tested:

Receiver Sensitivity, paragraph 55b
Reply pulse spacing, paragraph 55a(3)(c)
Receiver decoder, paragraph 55c(1)
Peak power, paragraph 55a(2)
Reply delay, paragraph 55c(4)
Identification, paragraph 55c(3)
Automatic transfer/shutdown and remote monitor alarm, (go/no go)
Reply efficiency, paragraph 56c
Reply pulse spacing alarm, paragraph 56e
Peak power alarm, paragraph 56a
Reply delay alarm, paragraph 56d

The following Key Performance Parameters were tested (those already listed in the Certification Parameters were not listed again):

Transmitter frequency, paragraph 55a(1)
Pulse width, paragraph 55a(3)(a)
Output pulse count, paragraph 55a(4)
Receiver frequency response, paragraph 55b(2)
Identification group pulse pair spacing, paragraph 55c(2)
Monitor output pulse count, paragraph 56b
Monitor alarm delays, paragraph 57

The examinee's ability to properly coordinate an outage and return the facility service must be tested.

In addition to the parameters above, the examinee must demonstrate knowledge of standards and tolerances, maintenance requirements and schedules, and certification requirements.

Figure 1-37. Instructions for Preparing FAA Form 3400-16, On-The-Job Training (OJT) Progress Form for Certifiable Systems

This form is initiated in the CTS portion of CMRIS and is then printed for use. The intent is to only print the form at the point of use to gain efficiency by not mailing back and forth. Access to CMRIS is covered in Appendix 6 and is limited to those individuals who have a need to initiate, edit, and print forms. The most current instructions for completing an FAA Form 3400-16 in CTS are located on FIST. The information is entered on an entry screen. The following is a row by row description of the form and brief entry procedures.

1. The PSS initiates the OJT Progress Form in CTS and selects an employee. The OJT Plan area in the CMRIS data entry screen is the heading information and contains the following information:

a. Select Trainee. The trainee's name and last four digits of his/her eLMS identification auto-populate based on the employee selected from the pick list that is displayed.

b. OJT Course. If a national course is selected then the equipment description of the service/system/subsystem/equipment will auto populate along with the performance examination/eLMS number and the trainee study/instructor hours. If Locally Developed OJT is selected, then it must be developed in accordance with paragraph 4-3a. The PSS enters the service/system/subsystem (as shown in Appendix 5), the performance examination/eLMS number(s), and a local estimate of the trainee study/instructor hours (if known). If there is a national performance examination, the student and instructor hours are obtained from the OJT/PE Instructional Hours table located in FIST.

c. Name and duty location of the OJT instructor. This entry can be made by the PSS (if known) or can be entered by the first-level manager after the form is printed. The OJT study start date and the OJT instruction start date may be filled in by the first-level manager after the planning stage is performed, in accordance with paragraph 4-2e. If known, the PSS may enter the OJT study and instruction start dates.

d. At this point, the PSS may print the form and send it to the first-level manager; email the form to the first-level manager and have it printed at the SSC location; or save the form in the nationally approved database on the first-level manager's dashboard for him/her to print.

2. Once the form is printed, the Instructions/Optional Extension area contains the following information:

a. The time frame in which the OJT trainee must provide progress reports to the first-level manager. The first-level manager will complete the planning stages of paragraph 4-2e and will place a check mark in front of the time frame in which the trainee will be required to provide progress reports.

b. If an extension of OJT training hours is needed, the first-level manager uses the blocks provided on the form to authorize the extension. The first-level manager will sign and date the form to authorize an extension of the time.

3. The OJT Progress area contains the following information:

a. Blocks for the instructor and trainee to initial the nine elements of training.

b. An optional block for the instructor's time is provided for those locations that have used the OJT Progress form as a reporting device for instructor OJT pay.

c. In the Total Study Time block, the instructor will enter the total time the trainee spent studying.

d. In the Total Instruction Time block, the instructor will enter the total time spent in OJT instruction.

4. The OJT Completion Status area contains the following information:

a. If the OJT was successfully completed, the instructor will check that block and both the instructor and the trainee must sign and date the form.

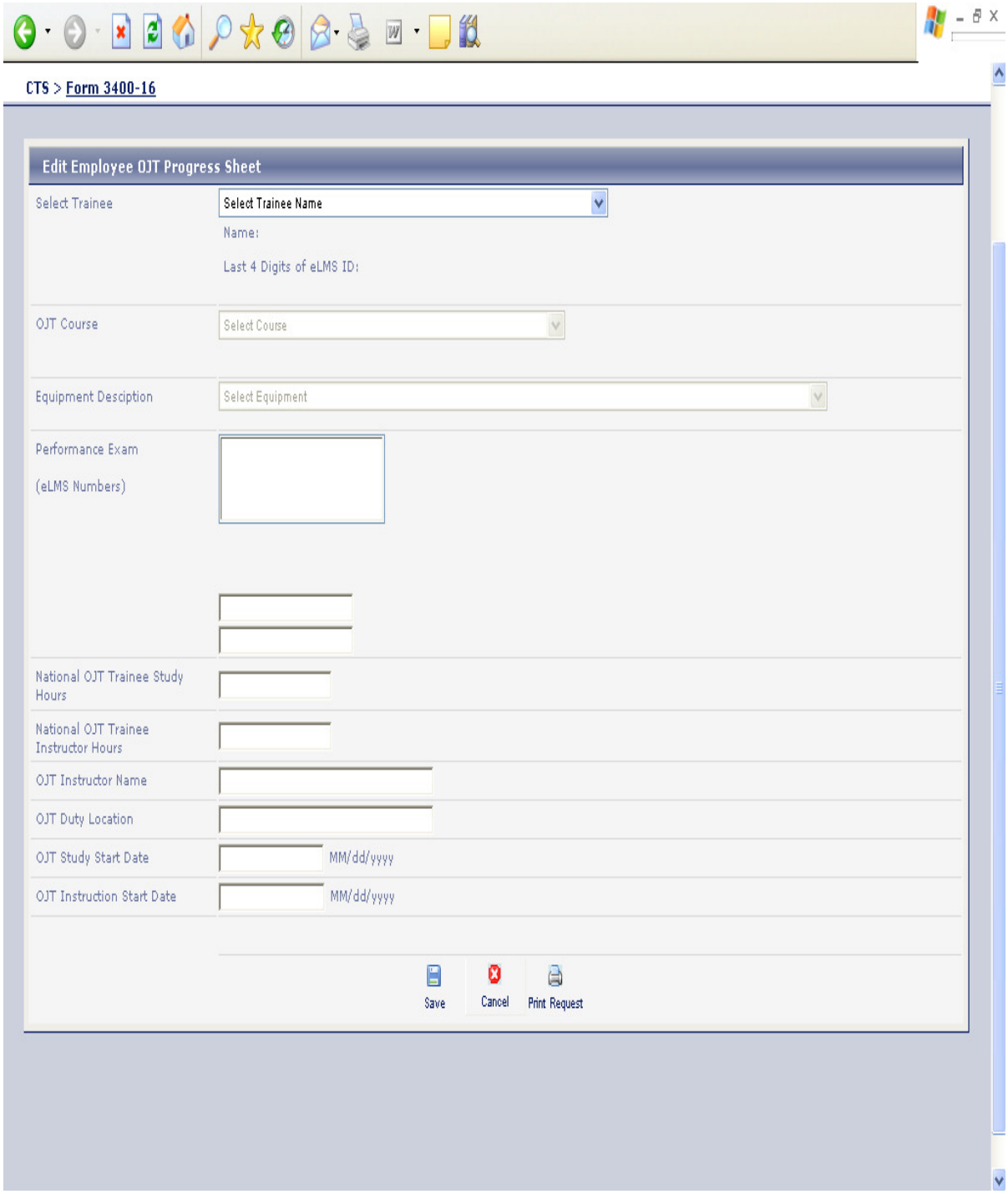
b. If the OJT was not successful, the instructor will check the block recommending it be terminated and sign and date the form.

c. If the first-level manager concurs with the status, he/she will sign and date the form.

d. The completed form must be forwarded to the PSS for processing. There is no requirement to file the OJT package. The OJT Progress forms for successfully completed OJT may be discarded 24 hours after the completion has been entered in eLMS and certification authority has been granted.

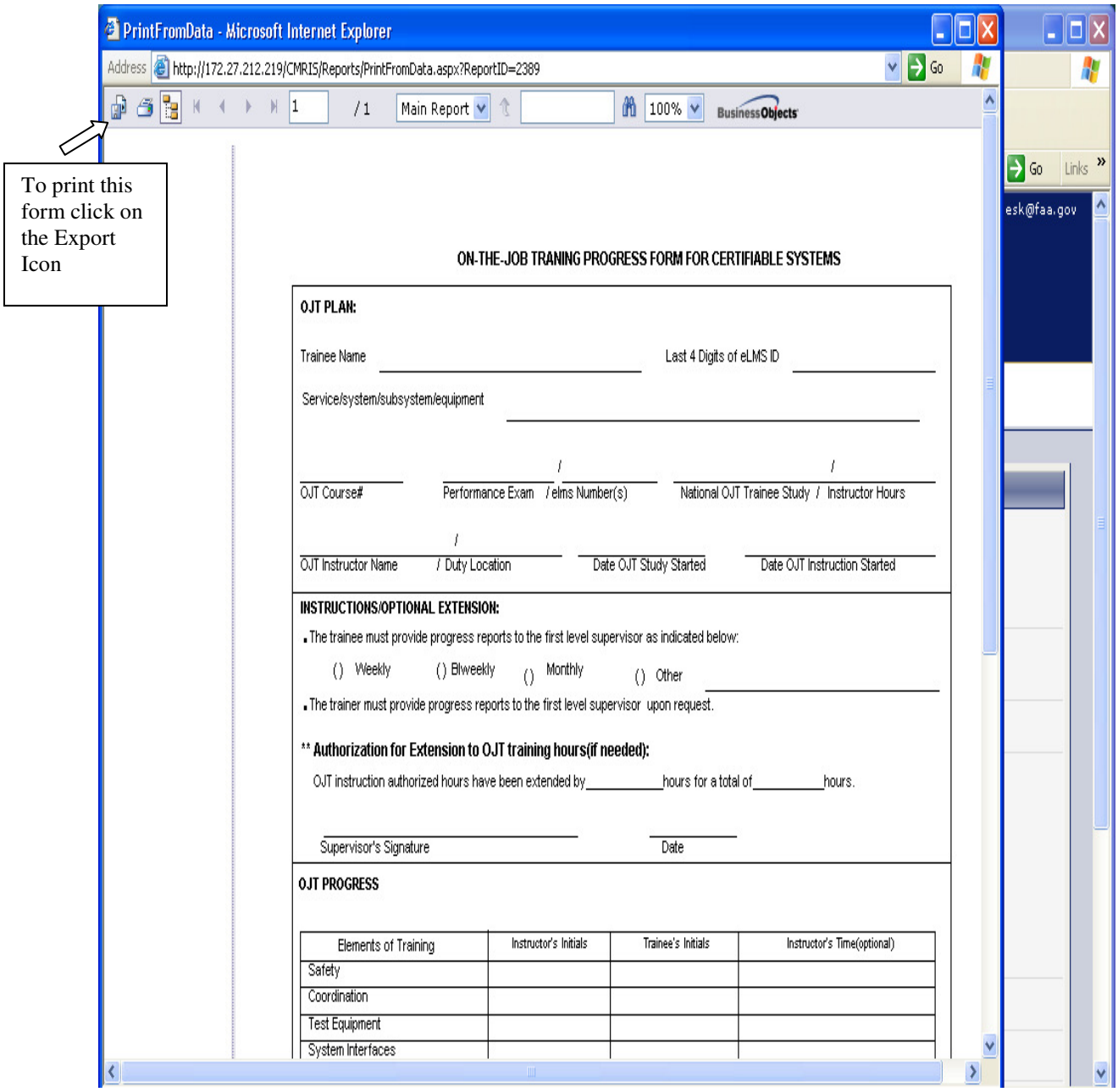
e. For a failed OJT package, the FAA Form 3400-16 must be kept until the OJT package is successfully completed and certification authority has been granted.

Figure 1-38. Certification Tracking System (CTS) 3400-16 Data Entry Screen



This screen shot shows the CTS Form 3400-16 OJT data entry screen.

Figure 1-39. Certification Tracking System (CTS) 3400-16 Data Entry Screen – To Print



This and the following two screen shots show how to print or save the form that will be created from the entries made in the CTS data entry screen.

Figure 1-39. Certification Tracking System (CTS) 3400-16 Data Entry Screen – To Print (Continued)

Export the Report - Microsoft Internet Explorer

File Edit View Favorites Tools Help

File Format: Adobe Acrobat (PDF)

Page Range: All

Pages:

From: 1 To: 1

OK Cancel

Select Adobe Acrobat, then click OK.

JOB TRANING PROGRESS FORM FOR CERTIFIABLE SYSTEMS

Last 4 Digits of eLMS ID

Exam / elms Number(s)

National OJT Trainee Study / Instructor Hours

Date OJT Study Started

Date OJT Instruction Started

INSTRUCTIONS/OPTIONAL EXTENSION:

- The trainee must provide progress reports to the first level supervisor as indicated below:

() Weekly () Biweekly () Monthly () Other

- The trainer must provide progress reports to the first level supervisor upon request.

** Authorization for Extension to OJT training hours(if needed):

OJT instruction authorized hours have been extended by_____hours for a total of_____hours.

Supervisor's Signature

Date

OJT PROGRESS

Elements of Training	Instructor's Initials	Trainee's Initials	Instructor's Time(optional)
Safety			
Coordination			
Test Equipment			
System Interfaces			

Figure 1-39. Certification Tracking System (CTS) 3400-16 Data Entry Screen – To Print (Continued)

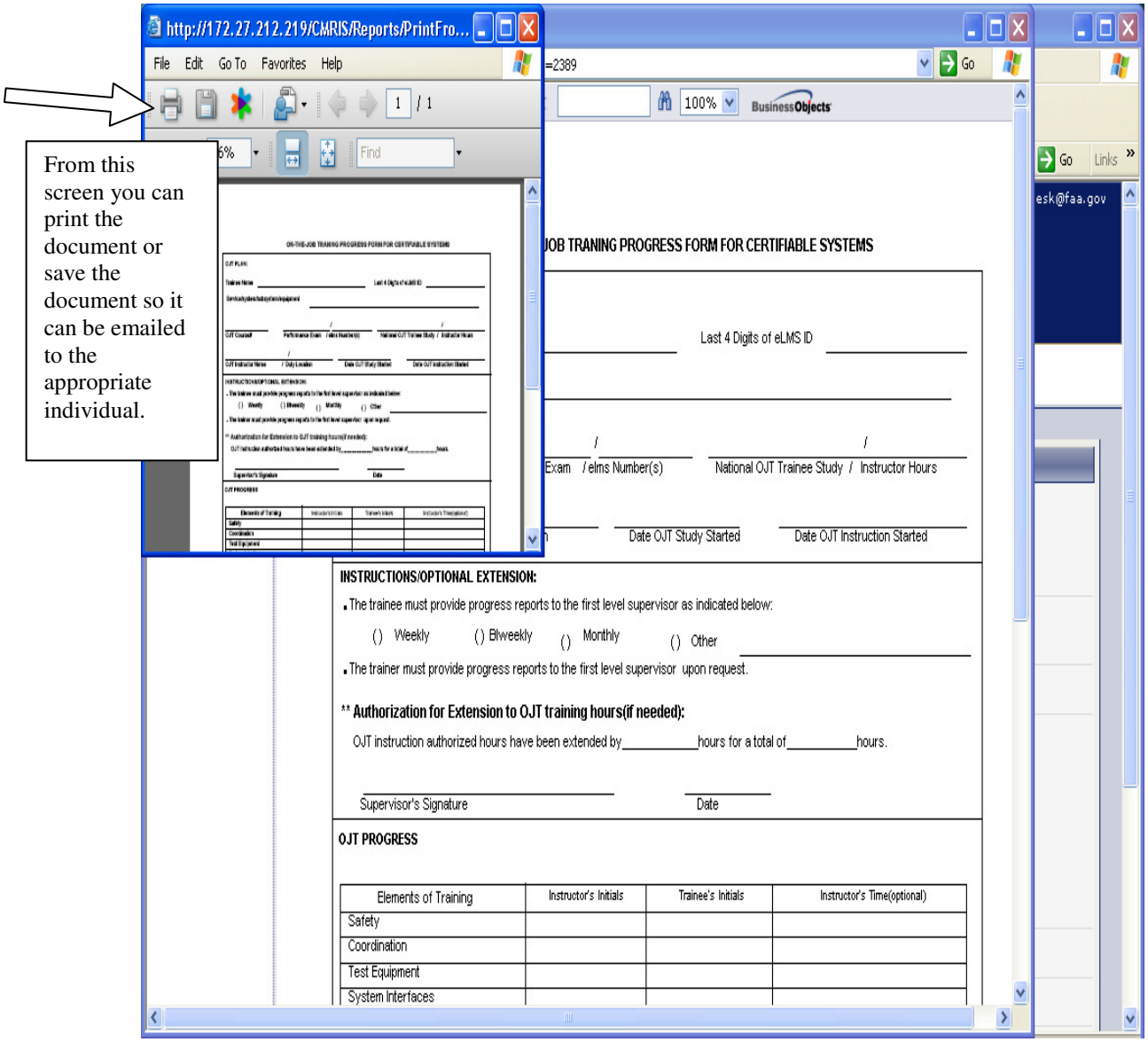


Figure 1-40. Sample On-the-Job Training (OJT) Progress Form for Certifiable Systems (For National On-the-Job Training [OJT])

A. OJT PLAN:
Trainee Name ___ROBERT J. SPECIALIST_____ Last four of eLMS ID_____1234_____
Service/system/subsystem/equipment _ARTS, ARTS IIE Type 9020A with RADS__
FAA45210____ ___RP102_____ / _FAA89012_____ ____88 hours_____ / __45 hours__
OJT Course # Performance Exam/eLMS Number(s) National OJT Trainee Study/Instructor Hours
Thomas Jones / Delta, ND_____ _____9/1/200X_____ _____9/22/200X____
OJT Instructor Name/Duty Location Date OJT Study Started Date OJT Instruction Started

B. INSTRUCTIONS/OPTIONAL EXTENSION:
The trainee must provide progress reports to the first-level supervisor as indicated below:
(*X*) Weekly ( ) Biweekly ( ) Monthly ( ) Other _____
The trainer must provide progress reports to the first-level supervisor upon request.
****Authorization for Extension to OJT training hours (if needed):**
OJT instruction authorized hours have been extended by _____ hours for a total of _____ hours.
_____ _____
Supervisor's signature Date

C. OJT PROGRESS

Elements of Training	Instructor's Initials	Trainee's Initials	Instructor's Time (optional)
Safety	*TJ*	*RJS*	
Coordination	*TJ*	*RJS*	
Test Equipment	*TJ*	*RJS*	
System Interfaces	*TJ*	*RJS*	
System Operation/Alignment	*TJ*	*RJS*	
Preventative Maintenance	*TJ*	*RJS*	
Troubleshooting	*TJ*	*RJS*	
Flight Inspection (if applicable)	*TJ*	*RJS*	
Performance Exam Review	*TJ*	*RJS*	

Total Study Time _____*65 hours*___ Total Instruction Time ____*36 hours*_____

D. OJT COMPLETION STATUS:
(*X*) I verify that the documentation is accurate and that this OJT assignment has been successfully completed.
*Thomas Jones*_____ ⇨ *10/17/200X*_____ _*Robert J Specialist*_____ _*10/17/200X*_____
Instructor's Signature Date Trainee's Signature Date
( ) I recommend that the above OJT instruction be terminated for the following reasons(s):
_____ _____
Instructor's Signature Date
I **concur** with this OJT Status: _*Robert Supervisor*_____ _*10/17/200X*_____
Supervisor's Signature Date
****This form must be forwarded to the Program Support Specialist for processing ****
FAA Form 3400-16 (08/07) Printed from CTS

Figure 1-41. Sample On-the-Job Training (OJT) Progress Form for Certifiable Systems (For Locally Developed On-the-Job Training [OJT])

A. OJT PLAN:
Trainee Name ___ROBERT J SPECIALIST _____ Last four of eLMS ID ___XXXX_
Service/system/subsystem/equipment ____MEART, MicroEARTS_____
FAALOCAL___ __RP107____ / _FAA89015_____ _____16 hours_____ / __48 hours__
OJT Course # Performance Exam / eLMS Number(s) National OJT Trainee Study/Instructor Hours
Tim Redmond / ABC SSC_____ ____6/19/200X_____ _____6/20/200X__
OJT Instructor Name / Duty Location Date OJT Study Started Date OJT Instruction Started

B. INSTRUCTIONS/OPTIONAL EXTENSION:
The trainee must provide progress reports to the first-level supervisor as indicated below:
(X) Weekly ( ) Biweekly ( ) Monthly ( ) Other
_Every Monday morning
The trainer must provide progress reports to the first-level supervisor upon request.
****Authorization for Extension to OJT training hours (if needed):**
OJT instruction authorized hours have been extended by _____ hours for a total of _____ hours.
_____ _____
Supervisor's signature Date

C. OJT PROGRESS

Elements of Training	Instructor's Initials	Trainee's Initials	Instructor's Time (optional)
Safety	TR	RS	
Coordination	TR	RS	
Test Equipment	TR	RS	
System Interfaces	TR	RS	
System Operation/Alignment	TR	RS	
Preventative Maintenance	TR	RS	
Troubleshooting	TR	RS	
Flight Inspection (if applicable)	TR	RS	
Performance Exam Review	TR	RS	

Total Study Time ___*10 hours*_____ Total Instruction Time ___32_*hours*_____

D. OJT COMPLETION STATUS:
(*X*) I verify that the documentation is accurate and that this OJT assignment has been successfully completed.
Tim Redmond _____ *6/22/200X*_____ *Robert J Specialist*_____ *6/22/200X*_____
Instructor's Signature Date Trainee's Signature Date
( ) I recommend that the above OJT instruction be terminated for the following reasons(s):
_____ _____
Instructor's Signature Date
I **concur** with this OJT Status: *David D. Manager* _____ *6/22/200X*
Supervisor's Signature Date
****This form must be forwarded to the Program Support Specialist for processing ****
FAA Form 3400-16 (08/07) Printed from CTS

Figure 1-42. Instructions for Locally Developed On-the-Job Training (OJT) Course

Locally developed OJT is to be used to satisfy the second requirement leading to certification when there is no nationally approved OJT course listed in Appendix 5 for the applicable system, subsystem, equipment or service. The sample OJT course in Appendix 1, Figure 1-43, Sample Locally Developed On-the-Job Training (OJT) Course may be completed and used for locally developed OJT. This sample is available on FIST under Policies and Procedures > Order 3000.57 Appendices. It is only a sample and is not mandatory. Other written OJT package templates (also available on the same FIST site) may be used instead. This locally developed OJT is to be used in conjunction with FAA Form 3400-16. The most current instructions for completing an FAA Form 3400-16 in CTS are located on FIST. As of the publication date of this order, the instructions are as follows:

1. On the second line, enter the name of the system, subsystem, equipment or service as it appears in Appendix 5.

2. On the third line, enter the applicable FAA Order(s), Notices and Technical Instruction Books (TI's) for this course.

3. On the last line, insert the name of the staff manager or second-level manager who approved the locally developed OJT course, per paragraph 4-3c of this order.

4. For the individual lessons, the instructor will perform the OJT tasks using one of the following methods:

a. Trainee reads the steps and performs them.

b. Instructor reads the steps and the trainee performs them.

5. When each lesson is completed, the instructor must indicate completion by entering a check mark on the "Completed" line for that lesson.

6. When the OJT is completed, the instructor must return the OJT course to the PSS with the completed FAA Form 3400-16.

Figure 1-43. Sample Locally Developed On-the-Job Training (OJT) Course

This locally developed OJT is to be used in conjunction with FAA Form 3400-16, OJT Progress Form for Certifiable Systems

Enter the System, Subsystem, equipment or service (from Appendix 5): _____

Enter the FAA Order(s), Notices and TIs for this course: _____

Instruction is to be given in the following lessons:

Lesson	**Completed** (Check if Yes)
Lesson 1. Identify and locate the following: • All the hardware for the system. • The cable wiring, interface wiring, distribution boxes, etc. • The power feed(s), circuit breakers, emergency disconnects, lockout/tagout procedures. • Any site specific labeling, e.g. West Arrival, ABC Radar, etc.	
Lesson 2. Preventative Maintenance (PM) and Certification Requirements: • Identify the PM Schedule: Read the PM Schedule paragraphs in the latest version of 6000.15; read applicable order Chapter Four. • Identify the Standards and Tolerances: Read the Standards and Tolerances/Limits paragraphs in the latest version of 6000.15; read applicable order Chapter Three. • Identify Certification Responsibilities, Techniques, Exceptions, Intervals, and Statements: Read the Certification paragraphs in the latest version of 6000.15; read applicable order Certification Appendix. • Identify TPR Requirements: Read the TPR paragraphs in the latest version of 6000.15, read applicable order TPR requirements • Identify NCPs or Waivers: Read the NCP and Modification paragraphs in the latest version of 6000.15; review any site specific NCPs or waivers.	
Lesson 3. Perform the system shutdown and start-up procedures (may be done by discussion where appropriate)	
Lesson 4. Perform the Preventative Maintenance tasks for the system concentrating on those that are key performance or certification parameters	
Lesson 5. Perform diagnostic routines (if applicable)	
Lesson 6. Perform software installation or reloads (if applicable)	
Lesson 7. Identify and locate in the technical instruction manuals the removal and replacement	

procedures for the hardware in the system	
Lesson 8. Identify and perform by discussion all flight inspection procedures (if applicable)	
Lesson 9. Perform any additional site-specific procedures needed	

Course Approved by: _____

Insert name of staff manager or second-level manager who approved this course per paragraph 4-3

Appendix 2. Examples of Work Practices

The following are examples of work practices and site familiarity that may be taken into consideration prior to endorsing a technical specialist for certification authority. This page may be copied and used as an informal checklist for the supervisor/manager. The most current listing is located on FIST and is available for review and downloading by accessing Policies and Procedures > Order 3000.57 Appendices.

1. Airport operations, including driving on airports.

2. Coordination procedures for maintenance activities (e.g., scheduling maintenance activities, local coordination, etc.).

3. Logistics procedures.

4. Knowledge of Facility Reference Data (FRD) (e.g., TPRs, facility drawings, initial parameters, etc.)

5. Security policy/procedures including site/building access and key control.

6. Knowledge of risk management.

7. Knowledge of technical documentation procedures such as Maintenance Management System (MMS) log entries, TPRs, and Maintenance Automation System Software (MASS).

8. Knowledge of aircraft accident procedures for the facility (e.g., verification of system operation, logging, local communications requirements).

9. Knowledge of safety policies and procedures (e.g., climbing requirements for the facility, special lockout/tagout, etc.).

Appendix 3. Non-Federal Personnel Verification Program

The most current official figures are located on FIST and are available for review and downloading by accessing Policies and Procedures > Order 3000.57 Appendices. This electronic procedure provides the user with the most current information available.

Figure 3-1. Listing of Equivalent Theory-of-Operations Courses for Federal Communications Commission (FCC) Licenses and Endorsements

Figure 3-2. Listing of FAA-Approved Factory-Conducted Training Courses

Figure 3-3. Verification Examinations for Non-Federal Facilities

Figure 3-4. Previous Verification Examinations for Non-Federal Facilities

1. Any additions, deletions, or corrections to this appendix must be forwarded to the Academy Tech Ops Training Div through the appropriate Service Center TPMO. No additions, deletions, or corrections will be posted without prior approval from the Tech Ops Training and Dev Group. Upon approval, this information will be added to Appendix 3. This appendix will be maintained and updated by the FAA Academy Tech Ops Training Div, Training Support, AMA-405 and made available for downloading via FIST. All additions, deletions, or corrections will be annotated with an asterisk for easy reference and identified in Appendix 7, Record of Changes to Appendices 3 through 5.

2. This appendix will be reviewed monthly and updated as required with additions, deletions, and revisions. A new date must be added to the appendix on FIST and a message will be sent out listing the changes.

Appendix 4. Instructional Hours for On-the-Job Training (OJT)

The most current official appendix is located on FIST and is available for review and downloading by accessing Policies and Procedures > Order 3000.57 Appendices. This electronic procedure provides the user with the most current information available.

1. This appendix contains Figure 4-1, OJT/Exam Instructional Hours table associated with the Technical Operations Training and Personnel Certification Program. This table provides instructional hours for national OJT courses. Additionally, the table provides instructional hours for locally developed OJT courses based on nationally approved performance exams.

2. Any additions, deletions, or corrections to this appendix must be forwarded to the Academy Tech Ops Training Div, Training Support, AMA-405 through the appropriate Service Area training representative. No additions, deletions, or corrections will be posted without prior approval from the Tech Ops Training and Dev Group. Upon approval, this information will be added to this appendix. This appendix will be maintained and updated by AMA-405 and made available for downloading via FIST. All additions, deletions, or corrections will be annotated with an asterisk for easy reference and identified in Appendix 7, Record of Changes to Appendices 3 through 5.

3. The appendix will be reviewed monthly and updated as required with additions, deletions, and revisions. A new date must be added to the appendix on FIST and an eLMS message will be sent out listing the changes.

Appendix 5. Air Traffic Organization (ATO) Personnel Certification Requirements

The most current official appendix is located on FIST and available for review and downloading by accessing Policies and Procedures > Order 3000.57 Appendix 5. This electronic procedure provides the user with the most current information available. This appendix lists the theory-of-operations, OJT and performance requirements for the personnel certification program.

Figure 5-1. Air Traffic Organization (ATO) Personnel Certification Requirements

The specific training and examination requirements for certifiable system, subsystem, equipment, or services may be found in FIST by accessing Policies and Procedures > Order 3000.57 Appendix 5. For examples, see Figure 5-4, Air Traffic Organization (ATO) Personnel Certification Requirements (Examples).

Figure 5-2. Monthly Appendix 5 Figure 1 Updates List

1. This figure, available on FIST, contains a list of the previous monthly updates to Appendix 5 Figure 5-1.

Figure 5-3. Previous Month's Listings of Appendix 5 Figure 5-1.

1. This figure, available on FIST, contains a listing of the previous month's Appendix 5, Figure 5-1 back to January 2005.

Figure 5-4. Air Traffic Organization (ATO) Personnel Certification Requirements (Examples)

SYSTEM / SUBSYSTEM / EQUIPMENT / SERVICE	Area	FIC(s)	Theory-of-Operations	OJT	Perf Exam
This example is for systems with nationally approved theory-of-operations course, OJT and Performance Exam (PE).					
ARSR, ARSR-4	Surv	52AC	FAA40408	FAA45342 (8/30/2002)	FAA89011/RP101
This example is for systems with nationally approved theory-of-operations course and PE and locally developed OJT.					
DME, Cardion, FA-9639	Nav	12ED	FAA40258	eLMS entry FAA49450022 for Locally Developed OJT IAW 3000.57 par 4-3a	FAA88774/NP74
This example is for systems with nationally approved theory-of-operations course and locally developed OJT and PE.					
DME, ASII Model 1119	Nav	12EM	FAA48318	eLMS entry FAA49450019 for Locally Developed OJT IAW 3000.57 par 4-3a	eLMS entry FAA49480021 for Locally Developed PE IAW 3000.57 par

					3-6d

This example is for systems with no nationally approved theory-of-operations course, OJT or PE.

RVR, Tasker 400	Com	47AD	Informal, per 3000.57 par 5-6a(3)	eLMS entry FAA49450061 for Locally Developed OJT IAW 3000.57 par 4-3a	eLMS entry FAA49480017 for Locally Developed PE IAW 3000.57 par 3-6d

This example is for systems with different FICs where the same training and examinations are given completion of the OJT and PE on one system gives certification authority for all FICs of that system type.

VASI, All types. Cert authority attained on one FIC applies to all FICs.	Env	All FICs	FAA44118	eLMS entry FAA49450070 for Locally Developed OJT IAW 3000.57 par 4-3a	FAA88630/EP26

This example if for systems with the new concept theory-of-operations course, enhanced hands-on training, and demonstration of proficiency, EHOT/DoP.

ITWS, Control Site Only, Integrated Terminal Weather System	Auto	46MA	FAA40667	FAA45436 or FAA40667(if DoP was passed)	FAA89020/RP110 or FAA89026/RD116 (DoP)

1. Any additions, deletions, or corrections to this appendix must be forwarded to the Tech Ops Training and Dev Group, OJT and Certification Team through the appropriate Service Area training representative. No additions, deletions, or corrections will be posted without prior approval from the Tech Ops Training and Dev Group. Upon approval, the information will be added to this appendix. This appendix will be maintained and updated by AMA-405 and made available for downloading via FIST. All additions, deletions, or corrections will be annotated with an asterisk for easy reference and identified in Appendix 7, Record of Changes to Appendices 3 through 5.

2. The appendix will be reviewed monthly and updated as required with additions, deletions, and revisions. A new date must be added to the appendix on FIST and an eLMS message will be sent out listing the changes.

Appendix 6. Instructions for Accessing the FAA Information Superhighway for Training (FIST); Comprehensive Management Resource Information System (CMRIS); and electronic Learning Management System (eLMS)

The official sources for retrieval of data/forms and information pertinent to FAA Order 3000.57 are FIST and CMRIS.

1. FIST can be accessed at http://fist.faa.gov/ through the FAA Intranet. This order and the appendices are available by selecting Policies and Procedures > Order 3000.57 or 3000.57 Appendices.

2. CMRIS can be accessed at http://cmris.faa.gov/ through the FAA Intranet. The system has the following features:

a. The front page is accessible to everyone and contains general information including User Guides for the various CMRIS tools.

b. The CMRIS system has multiple different levels of access. Requests for identification and passwords are to be made on a form downloadable from the CMRIS legacy home page. District personnel may download the form, complete it, and send it to the Service Area PSSs for approval and forwarding to the CMRIS Help Desk.

c. From this point on, a CMRIS identification and password are required. Enter the identification and password in the blocks at the left of the front page and click on the Sign In button.

d. If access has been granted but a password is forgotten, send a Lotus Notes email to 9-AWA-CMRIS-HELPDESK and a new password will be emailed back to the sender.

e. Once logged in to the system, different choices are available depending on the access level. The system was originally created in the late 1990s and is being updated. Due to the dynamic nature of the changes, a more detailed description of the system is not being provided.

f. Every CMRIS screen contains an on-line Help menu.

3. eLMS can be accessed at https://elms.dot.gov. Every FAA employee has a user identification for access to eLMS.

Appendix 7. Record of Changes to Appendices 3 through 5

1. The most current official figures are located on FIST and are available for review and downloading by accessing Policies and Procedures Order 3000.57 Appendices. This electronic procedure provides the user with the most current information available.

2. Figure 7-1 of this appendix is a chronological history of all changes made to Appendices 3 through 5. After the date of this order, the appendix will contain the changes for the past 12 months. Changes prior to the previous 12 months are archived at the FAA Academy and can be accessed via a request to AMA-405.

Appendix 8. Instructions to the Performance Examiner

(The following instructions may be printed from FIST)

1. Before administering this examination, give the examinee a brief explanation of the procedure to be used, what is expected, and the time limitation.

2. The distribution of the performance examinations to employees prior to their actual administration is encouraged. The employee should become thoroughly familiar with the examination requirements and related test equipment during OJT.

3. The examiner must complete the cover page, FAA Form 3400-15, Performance Examination Cover Sheet. All information must be included. Under the equipment heading, list the major components of the system such as transmitter, monitor, etc. If there is insufficient space, use the back of the sheet or attach sheets as necessary.

4. The examiner should use the list of operations for the step-by-step administration of the examination; state the name of the procedure to the examinee and observe the step-by-step execution of the procedure and correct use of any test equipment necessary to the operation. If no reference has been provided, the examiner should complete this column prior to administering the examination. The examinee must be advised of the references that pertain to the exam. Operations other than those listed may be used providing they are appropriate. Where an operation does not apply because of equipment differences, a similar operation should be performed. The operation should be eliminated if there is no like operation.

5. The sequence of steps is not necessarily that appearing in the handbook, but is in a logical order as the technical specialist progresses through the system. The examiner may change the sequence as the situation demands, provided the examinee has first been advised of the change.

6. It is advisable to complete the entire examination in one or more consecutive working days as required. Any break should be predetermined and the balance of the examination should be scheduled as soon as possible; for example, the Ground Check and Flight Check requirements need not be accomplished the same day as the rest of the examination if circumstances prohibit it.

7. There is no restriction on the use of any aid such as instruction books, calculator, notes, etc., in the examining process.

8. The estimated time required for this examination is specified on the cover sheet. This time estimate does not include a flight check. If a simulated flight check is used, an additional hour should be allowed. The briefing period and the time required for repairs, equipment failures, lunch, etc., have not been included in the time estimate. At no point may the examiner allow the time to exceed the estimated time by more than 20 percent. Verbal approval of the manager for Program Support or the District second-level manager is needed for any additional time beyond the 20 percent. The examiner must document the verbal approval on the FAA Form 3400-15.

9. Items marked with an asterisk (*) are "lock-out" items. Failure to perform adequately in any one of these means total failure. The examination should not be carried beyond this point. Unsatisfactory performance in more than 10 percent of the total (all three columns) items constitutes failure of the examination. In other words, 90 percent satisfactory is required to pass the examination.

10. If assistance is necessary for an adjustment, another certified individual will be used. The examiner will not assist the examinee in any adjustment unless no other certified person is available.

11. Enter one of the marks indicated in item 12 below in each open space under the columns marked: Test Equipment, Procedures, and Results. The first of these is a measure of adequacy of setting, calibrating, connecting, and using the appropriate test equipment. The second indicates whether proper alignment and test procedures were used. The third indicates whether the results obtained were satisfactory and within prescribed standards and tolerances. An "X" in the column indicates no entry necessary.

12. Entering the letter "S" will signify successful completion of an operation. Entering "UNS." or just "U" will note inadequacy. Inadequacy is described as failure to properly execute the procedure or failure to obtain the proper result.

13. Flight Inspection, if required, may be satisfied through simulation when actual Flight Check is not scheduled within a reasonable time. Other operations may also be simulated at the discretion of the examiner, but such simulation should be kept at an absolute minimum.

14. Failed examinations will be retained for no less than two years.

15. The examiner must assure that the facility is operating normally upon conclusion of the examination or at a break in the examination or so indicate in an appropriate log entry. If certification is required per FAA Order 6000.15 General Maintenance Handbook for National Airspace System (NAS) Facilities the examiner must make the appropriate certification statement in the log.

16. The examiner should be thoroughly familiar with these instructions and any supplemental instructions that pertain to this examination.

17. For areas of the examination that were unsatisfactory or were failed, the examiner must make specific comments regarding the technical specialist's performance on the reverse side of FAA Form 3400-15. Specific comments regarding examinee's performance, procedures, etc., may also be made on the back of the form.

18. For locally developed performance examinations, the examiner must document all of the certification and key performance parameters on the back of the form as required by FAA Order 3000.57, paragraph 3-5d(3). The documentation must include whether or not they were satisfactorily completed.

19. Field personnel are encouraged to submit any recommended changes to performance examinations. They may be scanned and/or emailed to the following Lotus Notes email address:

9-ATOA-HQ-technicaltraining@faa.gov

Appendix 9. Call for Training

The two most recent years' Call for Training Guides are available on FIST and CMRIS. The most current official appendix located on FIST is available for review and download by accessing Policies and Procedures > Order 3000.57 Appendix 9.

Appendix 10. Quota Management Process

Figure 10 -1. Requirements Determination

Requirements can be determined at a national level, at a service area level, at a district level, or by Technical Operations Services. The requirements may be technical; management and general; Environmental, Occupational Safety and Health (EOSH); and/or mandatory (e.g., SAVI, Privacy 101, etc.). The requirements are communicated via memo and email.

Figure 10-2. Ongoing Call for Training

The Tech Ops Training and Dev Group works with the Academy Tech Ops Training Div to create a tentative schedule for items and scheduled offerings/capabilities to be offered during the fiscal year for Academy Tech Ops Training Div and Academy Tech Ops Training Div contracted courses

First-level managers identify training requirements for their employees via RIT training plans in CMRIS. The first-level manager must be able to tell what the prerequisite and/or equivalent are for the requirement as well as if the employee has completed the prerequisite(s) and/or equivalent course to accurately identify requirements. The first-level manager identifies the requirement by assigning a priority code to the requirement as well as the prerequisites. The first-level manager must also provide a justification for the requirement. For requirements that are identified that do not have an item ID, a needs assessment form must be generated. The requirements are analyzed for validity looking at the priority code, justification, cost center, equipment, number of people already trained, response code, and type of requesting facility (OEP facility, ARTCC, General National Airspace System [GNAS], etc). This analysis is done at various levels (district, Service Center, and national).

Based on the requirements generated, the Tech Ops Training and Dev Group works with the Academy Tech Ops Training Div to look at resources (capability to meet needs/requirements) and determine how to best meet the needs. Quota is granted based on the results of analysis and resources available. The authorizing authority depends on the type of quota.

A schedule of offerings is created based on the requirements, quota granted, and resources available. The schedule is communicated at each appropriate level of notification. The authorizing authority distributes quota appropriately. The authorizing authority creates and assigns slots associated with scheduled offerings (if applicable). The field then validates the distribution of quota (including strings, overlaps, prerequisites, and equivalencies). Quota distribution is communicated at each appropriate level of notification. The data transferred between QMT and eLMS is validated.

The first-level manager determines the name of the employee to attend training. The employee's training plan is updated based on the quota assignment. Any changes to quota assignments must be tracked and explanations provided.

Ongoing Call for Training

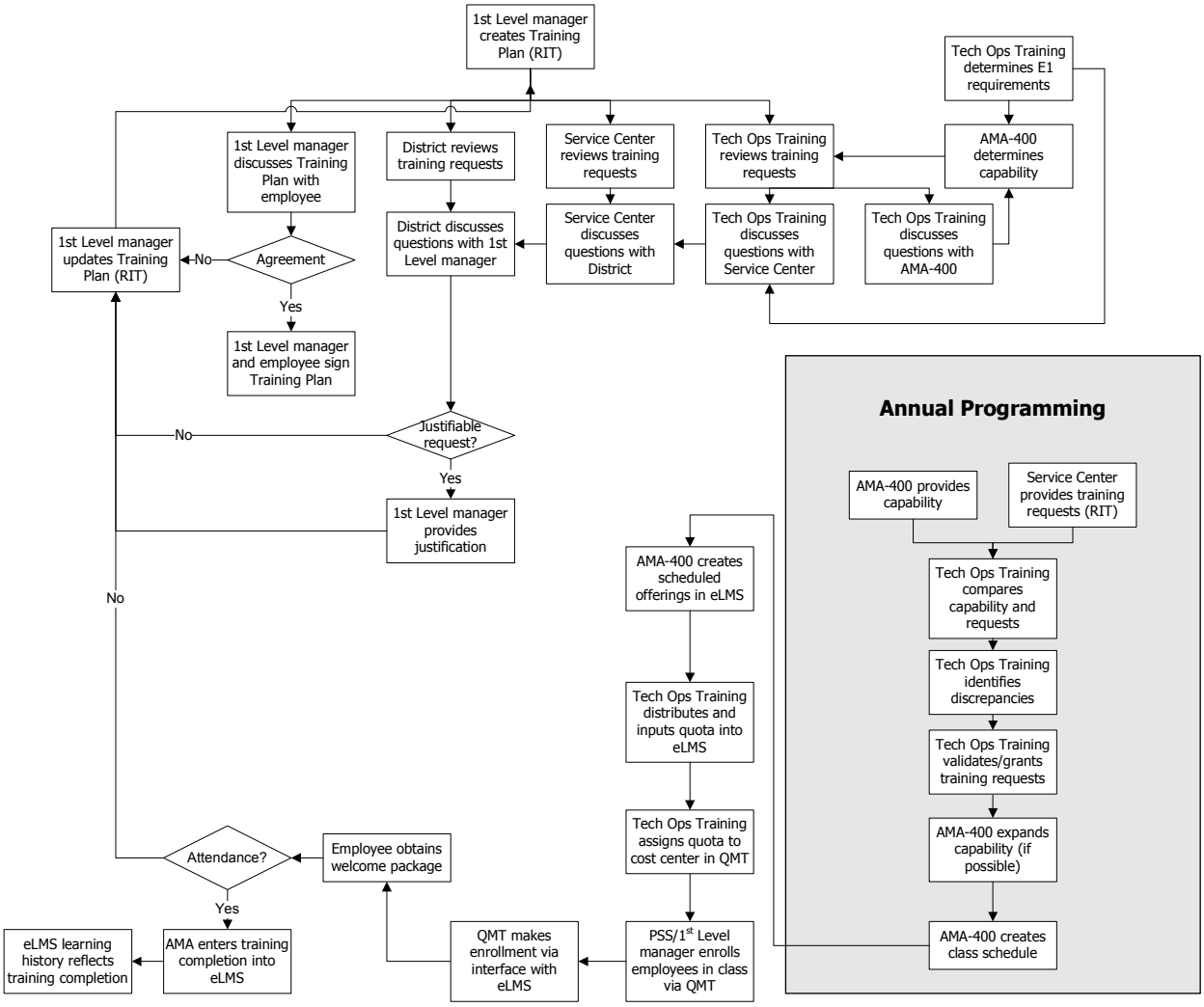


Figure 10-3. Enrollment and Completion Process

The initial enrollment is validated and made in the system of record.

Figure 10-4. Placeholders

An enrollment cannot be made until the employee's personnel data is in eLMS and QMT. In some cases, the ability to associate a placeholder with a quota is needed, but an enrollment will not be made. If an enrollment is not made 56 days before the commencement of the scheduled offering to which the person is associated, then the quota will show in the Non-Utilized Quota pending action list. A Service Center TPMO is able to "reserve" the quota as a placeholder. Other users will be able to see it, but will not be able to act on it.

When the quota is being reserved, put in the Comments field what the placeholder is being used for (Examples are: an employee to use at some time when his/her personnel information shows up in eLMS, a contractor waiting for a license and/or the creation of a contractor account in eLMS, a military employee that allows for the slot to be marked as military but no enrollment can be made, and/or an international employee that allows for the slot to be marked as international).

Note: An enrollment cannot be made because QMT needs to be able to match the names of employees that have training plans in RIT. It cannot associate a placeholder training plan with the employee (new hires, vacancies, and contractors). Once the individual is active in eLMS and QMT, the Service Center can "unreserve" the quota for enrollment by the cost center user.

Placeholders

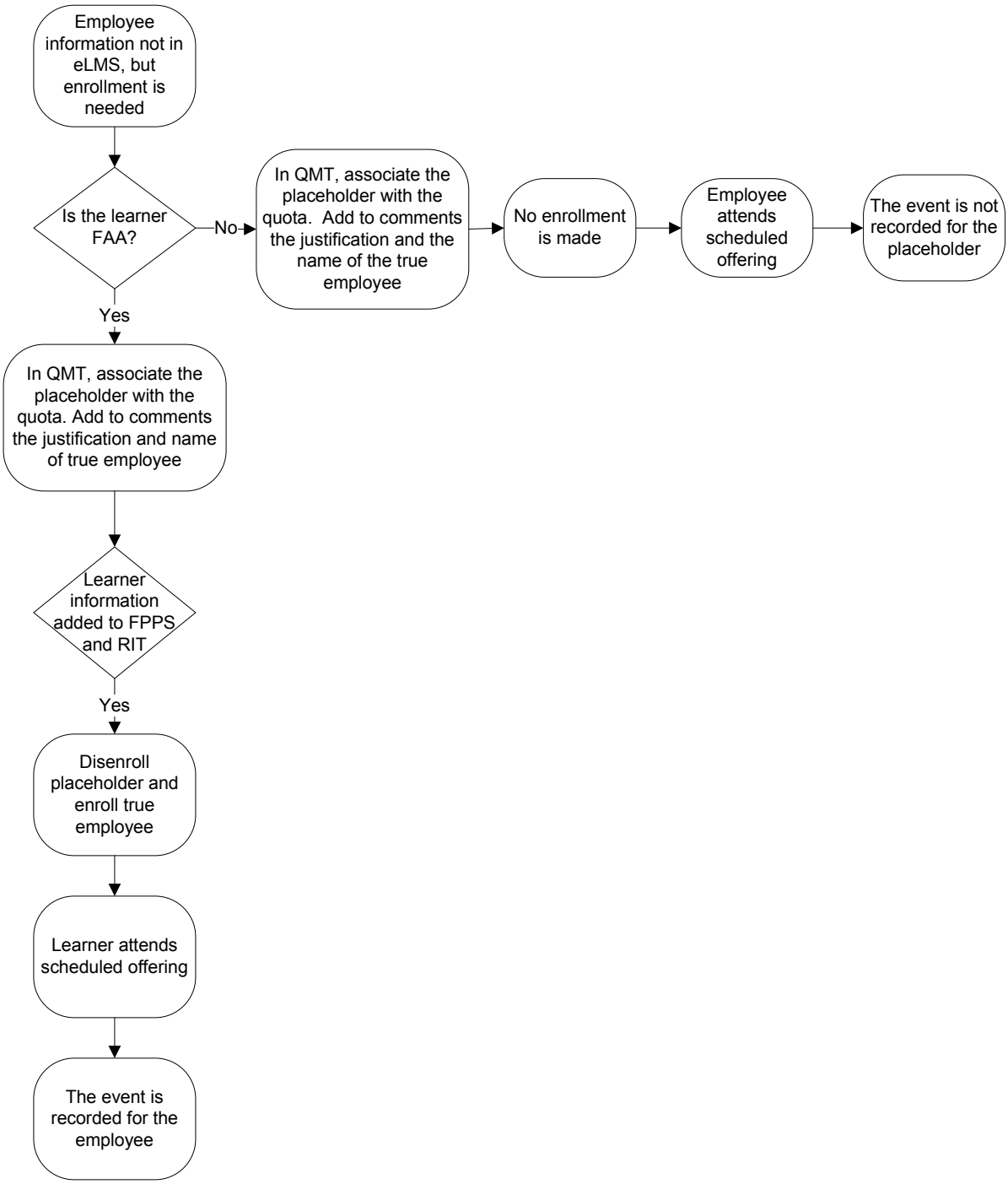


Figure 10-5. Overlaps, Consecutive, or Non-Contiguous Training

Overlap

Prior to enrolling an employee in two or more Academy Tech Ops Training Div overlapping scheduled offerings, the Service Center must receive approval from the Academy Tech Ops Training Div section managers associated with the overlapping items. If the section managers approve the employee's attendance, he/she will be enrolled in the scheduled offerings. If the employee's attendance is not approved, the first-level manager must decide to enroll the employee in one or neither of the scheduled offerings.

Consecutive

If the scheduled offerings take place on consecutive dates, no approval is necessary, and the employee is enrolled in each of the scheduled offerings.

Non-Contiguous

In accordance with paragraph 3-19, non-contiguous training only applies at the FAA Academy. If the scheduled offerings are non-contiguous (normally within seven days of each other), the first-level manager and employee determine whether a request should be made for the employee to stay at the training site between the two assignments. The Service Center must receive budgetary approval from the Tech Ops Training and Dev Group. The request for approval must show a cost savings and identify what computer-based or correspondence training the individual will be taking in between the scheduled offerings. If the non-contiguous budgetary approval is denied, the first-level manager must decide whether the employee will attend both or one of the scheduled offerings. If the non-contiguous budgetary approval is obtained, the Service Center TPMO must make arrangements with AMA-405 for Academy space for the employee. AMA-405 may deny the request based on space limitations. The Service Center TPMO must advise the field of any approvals and disapprovals. Travel authorizations for non-contiguous training must charge the intervening period to the appropriation code for the first course. To determine the travel per diem rates (long or short) calculate the total class days by adding the number of class days for the first scheduled offering, the class days of the training that occurs between the two scheduled offerings, and the class days of the second scheduled offering. The cost comparison worksheet to be used for non-contiguous training can be downloaded from FIST. See Appendix 10, Figure 10-6, Non-Contiguous Training Cost Comparison Worksheet for a sample of the form.

Overlaps, Consecutive, or Non-Contiguous Training

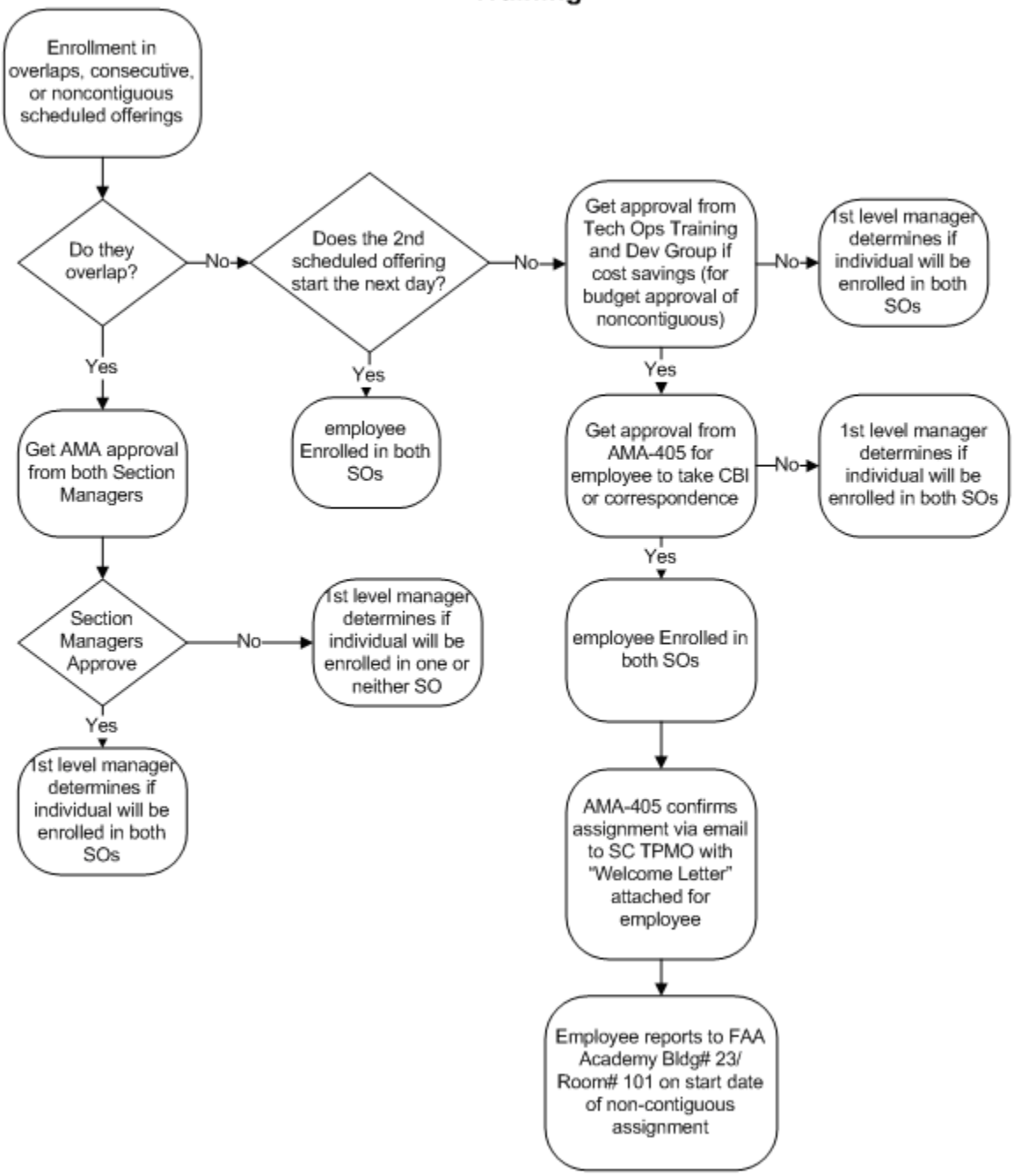


Figure 10-6. Non-Contiguous Training Cost Comparison Worksheet

Directions (Reference FAA Order 3000.57 Paragraph 3-19.):
1) Complete Option 1 and 2.
2) Send to Service Center TPMO for processing.
3) SC TPMO submits via email to the Tech Op's Training Dev Group for approval. If Non-Contiguous assignment approved (Option 2) the Academy will send Welcome Letter.

Required Information	
1. Student Name:	John Student
2. Service Area:	ESA
3. Student's Supervisor:	Jane Supervisor
4. Supervisor's phone number:	(123) 555-4567

Option 1: Individual Cost Comparison	
Trip/Class 1	
Course Number:	40000001
SO Number:	55555
Start Date: mm/dd/yy	10/2/08
End Date: mm/dd/yy	10/9/08
MI&E ($49x.75x2+ 8daysx$49)	$465.50
Lodging ($83 x 9 days)	$747.00
Air Fare	$500.00
Mileage (If POV approved)	$0.00
Total Trip/Class 1	**$1,712.50**
< 16 days=Short Term Per diem/16 or >= Long Term	Short
Trip/Class 2	
Course Number:	40000002
SO Number:	44444
Start Date: mm/dd/yy	10/15/08
End Date: mm/dd/yy	10/28/08
MI&E($49x.75x2+ 10daysx$49)	$563.50
Lodging ($83 x 15 days)	$1,245.00
Air Fare	$500.00
Mileage (If POV approved)	$0.00
Total Trip/Class 2	**$2,308.50**
< 16 days=Short Term Per diem/16 or >= Long Term	Short
Total Option 1	**$4,021.00**

Option 2: Combined Costing w/ Non-Contiguous Assignment	
Trip/Class 1+Non-Contiguous+Class 2	
Course/Class #1 Number:	40000001
SO Number:	55555
Start Date: mm/dd/yy	10/2/08
End Date: mm/dd/yy	10/9/08
Non-Contiguous Assignment	
Start Date: mm/dd/yy	10/10/08
End Date: mm/dd/yy	10/14/08
Combined Stay Start Date	10/2/08
Combined Stay End Date	10/28/08
Calculate Combined # class days	18
< 16 days=Short Term Per diem/16 or >= Long Term	Long
Course/Class #2 Number:	40000002
SO Number:	44444
Start Date: mm/dd/yy	10/15/08
End Date: mm/dd/yy	10/28/08
Combined MI&E ($30.60x.75x2+27 daysx$30.60)	$908.10
Combined Lodging ($49.80 x 28 days)	$1,395.40
Air Fare	$500.00
Mileage (If POV approved)	$0.00
Total Option 2	**$2,803.50**

Evaluation	
Total Cost Option 1	$4,021.00
Total Cost Option 2	$2,803.50
Difference/Saving	$1,217.50
Non-Cont./Combined Trip Apprv'ed by AJL-12 Y/N	Yes

Comments: *Note: 10/13/08 is a holiday and was not used in calculating total class days.*

Figure 10-7. Enrollment Validation

The person enrolling the employee must validate that the employee meets the criteria to be enrolled in the training. The following criteria are considered:

- The calculated training history data (includes equivalent courses) to ensure the enrollment meets the assigned priority
- The prerequisites needed (accounting for and/or combinations)
- If the employee is scheduled to complete the prerequisite before the start of the scheduled offering of the needed item
- If there is a schedule conflict with another scheduled offering in which the employee is enrolled
- The employee's learning history to make sure he/he has not already completed the item
- Make sure the employee is not already enrolled for the same item
- The requirement for training in the course is documented with the proper priority code in employee's training plan

Figure 10-8. Re-enrollments/Retraining

Re-enrollments/retraining will require Tech Ops Training and Dev Group approval for Academy Tech Ops Training Div and Academy Tech Ops Training Div contracted courses. The Service Center TPMO is the approving official for locally conducted courses. For CMEL courses, the Service Center TPMO is the approving official following approval by CMEL. CMEL and locally conducted courses will be approved at the Service Center level. For CMEL courses, it will be up to the Service Center to obtain CMEL approval outside of the tool.

Figure 10-9. Waiver of Prerequisite(s)

An Operational Necessity Waiver is the one-time release of a prerequisite requirement that allows the technical specialist to attend one specific item scheduled offering. It is to be used only for emergency operational situations. Emergency situations include those that would result in a degradation of safety or significant additional expense if the training were not provided at that time.

Waivers are requested by the first-level manager/program support specialist in writing in QMT and submitted to the Service Center for approval prior to enrolling an individual in a scheduled offering. The request should include the reason for the waiver request describing the specific impact if the waiver is not approved, the Service Center TPMO will print the waiver form to obtain approval/signature from the Service Center Administrative Services Group manager.

If the Operational Necessity Waiver is approved, the Service Center TPMO is expected to notify the applicable Academy Tech Ops Training Div course and section managers of the approval. They may request a copy of the approved waiver.

Within the QMT, upon enrollment of an individual, part of the validation process is to determine if the individual has met the prerequisite(s) or is enrolled in the prerequisite prior to the commencement of the scheduled offering. QMT will check for required prerequisites and determine if the individual has already completed or is scheduled to complete the prerequisite prior to the commencement of the scheduled offering. If the instructor-led prerequisite will not be met prior to commencement, an enrollment will not be made until an Operational Necessity Waiver is approved. The cost center user is given the option to complete the action for submission to the Service Center user. The Service Center user is expected to obtain approval from the Service Center Administrative Service Group manager and document the QMT Waiver form with the approval or disapproval. If approved, the individual is automatically enrolled once the approval is indicated in the system.

At this time, QMT does not initiate the opportunity to request a waiver of the prerequisite if a theory-of-operations bypass examination, CBI, web training, or correspondence training is scheduled on the RIT training plan prior to the commencement of the scheduled offering.

It is incumbent upon the employee, first-level manager, PSS, and Service Center TPMO to ensure that all prerequisite requirements are met prior to the individual's departure for the scheduled offering.

Waiver of Prerequisite(s)

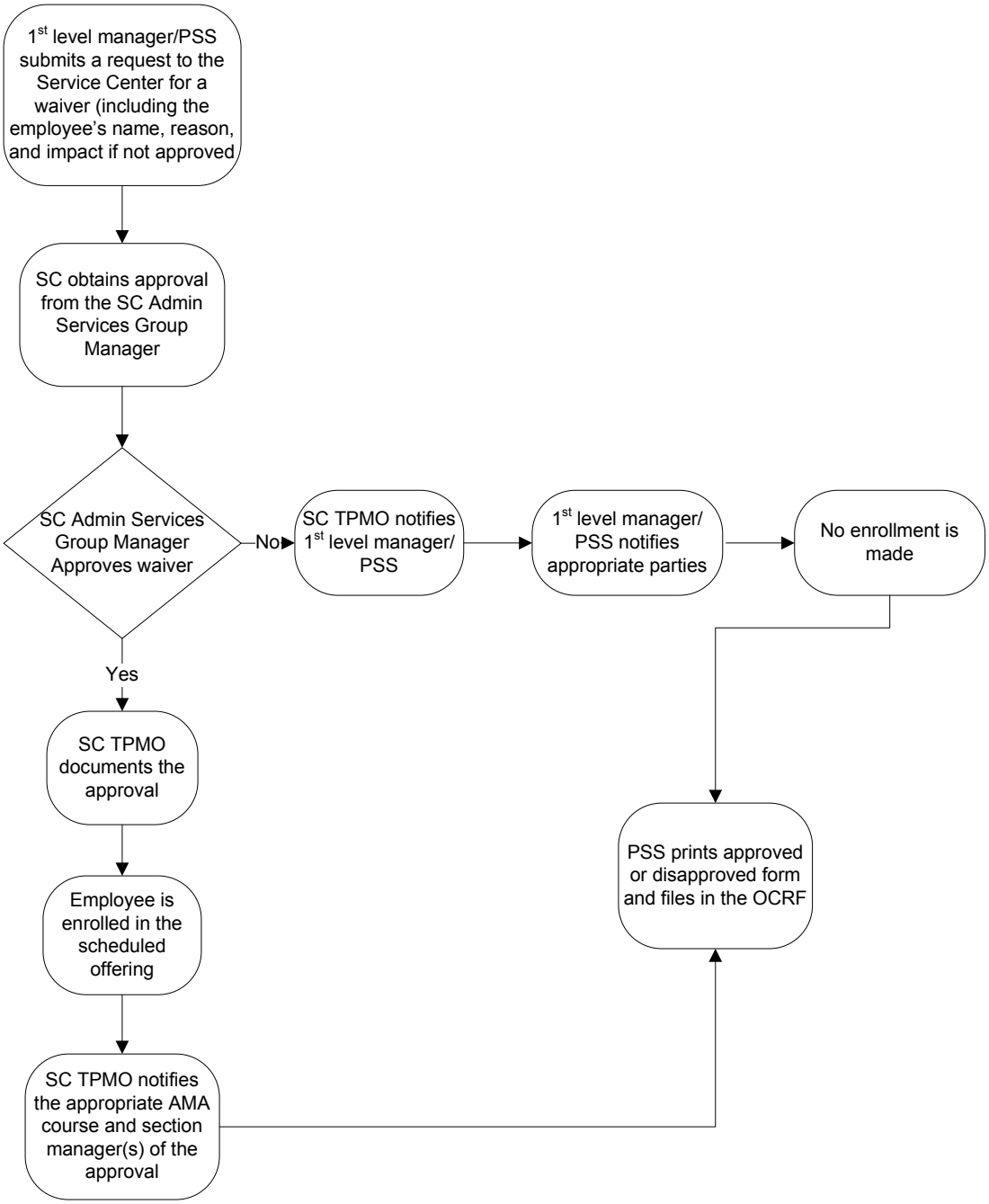


Figure 10-10. Enrollment Outputs

The pre-brief can be generated at the time of enrollment. For non-centralized training, an end-of-course evaluation can be generated within QMT. Quota is identified as needing a travel authorization, and the appropriate party makes travel plans. The employee attends training.

Figure 10-11. No-Show

A no-show is a vacant seat in which a name was enrolled but no one is in the seat at the commencement of the scheduled offering. For Academy-conducted and contracted courses, the FAA Academy marks an employee as a no-show in the eLMS registration tab of the scheduled offering, if a person does not show and there is no substitute. The course manager informs the section manager of the no-show. The section manager informs the Service Center of the no-show. The Service Center TPMO follows up with the PSS regarding the no-show. The PSS discusses the no-show with the first-level manager/appropriate parties and the employee. The explanation for the no-show comes from the employee and the first-level manager to the PSS. The PSS shares the explanation with the Service Center and must document it in the QMT. The Service Center informs the section manager of the reason for the no-show. The section manager communicates the reason for the no-show to the course manager. There must be documentation as to the reason for the no-show in the QMT. A report will be made available to analyze no-shows as well as the reasons for the no-shows.

For locally conducted courses, the Service Center TPMO must also mark an individual as a no-show in the registration tab of the scheduled offering when an individual does not show for the scheduled offering; otherwise, issues may arise for a subsequent enrollment in the same course.

Figure 10-12. Recording of the Learning Event

The learning event is recorded following the process of the sponsor of the training. An automated check is made between the QMT and the employee's learning history to verify completion to ensure that the loop is closed.

For non-centralized training, there is a need to capture actual training costs (tuition, course material, travel, and per diem) and to verify those costs based on vouchers. A validated roster is used to confirm completion of the training. An automated check is made between the QMT and the employee's learning history to verify completion to ensure that the loop is closed.

Note: The FAA Academy will record employee completions for items and scheduled offerings in the Academy shared domain. Employee completions for items and scheduled offerings in the CMEL domain will be recorded by CMEL. The course owner/sponsor or the Service Center training representative records employee completions for items and scheduled offerings in the FAA domain, the FAA-ATO domain, and the FAA-ATO-TO domain and its sub-domains (Eastern Service Area [ESA], Central Service Area [CSA], and Western Service Area [WSA]).

Record Learning Events

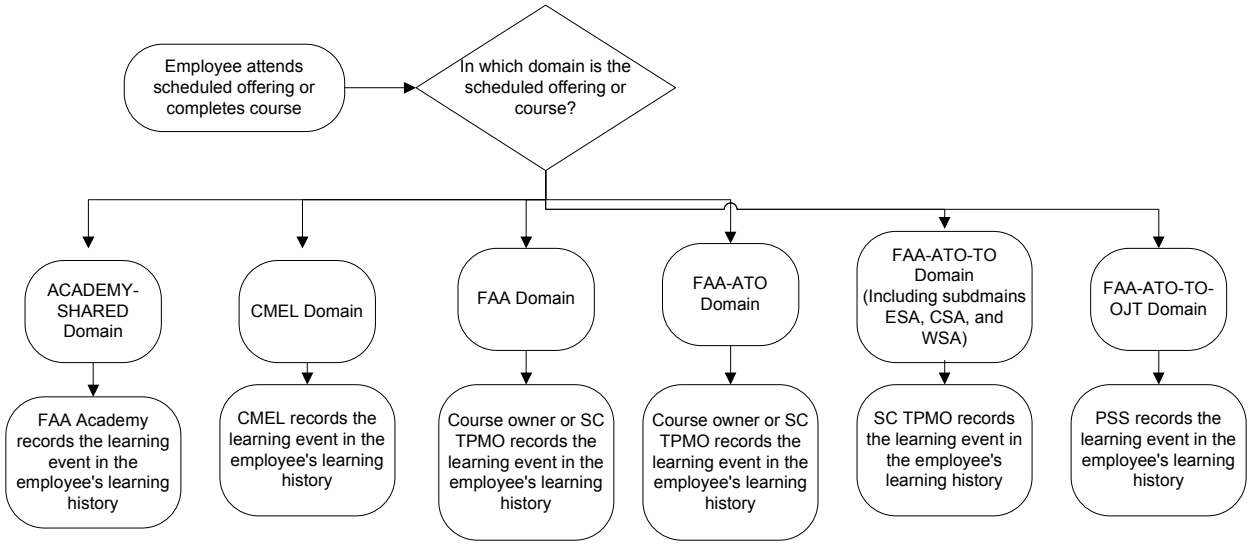


Figure 10-13. Quota Movements

There are a variety of actions that can be performed to manage quota on a daily basis. Below are the processes for the various types of quota movement.

Name Change/Disenrollment (within Cost Center Code)

If a name change is being made within a cost center, see the Enrollment and Completion Process. If there is a disenrollment, the following process should be completed. The change or disenrollment must be captured/documented along with the justification. Any change in requirements must also be updated in the employee's training plan. The change must then be communicated to the impacted individuals. If a travel authorization was issued, the first-level manager or the PSS must notify the appropriate personnel of the need to cancel the travel authorization, if applicable.

For a name change, the original employee is disenrolled and the new employee is enrolled. The reason for the change is documented.

When a name change or enrollment is made within seven days of commencement of the scheduled offering, QMT will automatically send an email to a centralized Academy Tech Ops Training Div mailbox for further distribution to the course manager.

Quota Movement

Name Change/Disenrollment (within cost center)

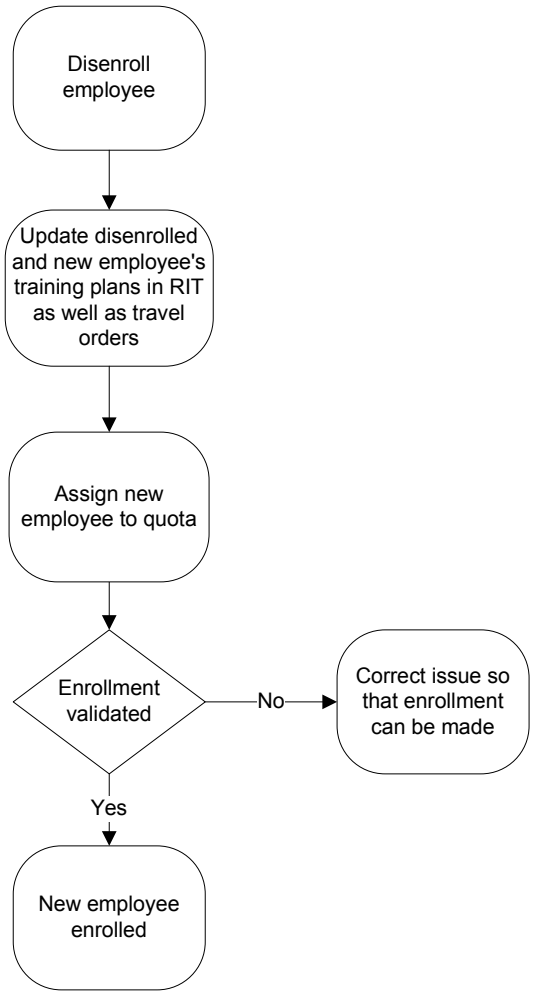


Figure 10-14. Movement of Quota (Attrition Training) to Different Cost Center (Release)

If the first-level manager determines that he/she no longer has a need for the training requirement, the employee must be dis-enrolled. The first-level manager can move quota in any cost center in which he/she has control at the same priority (priorities are defined in Appendix 9, Call for Training) or higher, with the exception of E1 quota. **Note:** An A1 and A2 are associated with a cost center code that has the item associated equipment assigned. A review of need will be made at the Service Center level prior to the Service Center releasing the quota to the Tech Ops Training and Dev Group.

When a cost center user releases a quota and there is an emergency and/or additional quota request that has not been met as of yet, the Service Center TPMO will see a red flag in the QMT in the Released and Available for Cost Center Reassignment pending action list. Where unmet training requests still exist, released quota will continue to be red flagged until such a time when all unmet requests for the fiscal year remain.

The Service Center notifies the Tech Ops Training and Dev Group of the available slot and validates requests of the same or greater priority. The Service Center will assign the released quota to the cost center having the greatest need. **Note:** If the quota assignment needs to be changed to a different legacy region, the Service Center requests that the Tech Ops Training and Dev Group make a slot change in eLMS. The Tech Ops Training and Dev Group will then assign the quota to the cost center identified by the Service Center in QMT.

Swaps

A swap is defined as a "one-for-one" quota trade between organizations that have existing slots in a scheduled offering. The priority code does not matter (with the exception of E1). This action is used when the first-level manager cannot use the quota granted currently, but needs it at another time.

The need to swap quota is communicated to other groups (organizations). In QMT, there is a bulletin board to advertise a swap. The location needing the swap posts it for all those users that have quota in the scheduled offering(s) meeting the need of the advertising user. The organizations agree to swap the quota. The original employee is dis-enrolled and then enrolled in the new scheduled offering. The changes are communicated to the impacted parties. If the swap occurs between two different Service Areas or Service Area organizations (Northwest Mountain [NM] to Western Pacific [WP]), the Service Center requests that the Tech Ops Training and Dev Group make a slot change in eLMS. Within QMT, the Tech Ops Training and Dev Group assigns the quota to appropriate cost centers.

Movement of Quota (Attrition Training) to Different Cost Center (Release)

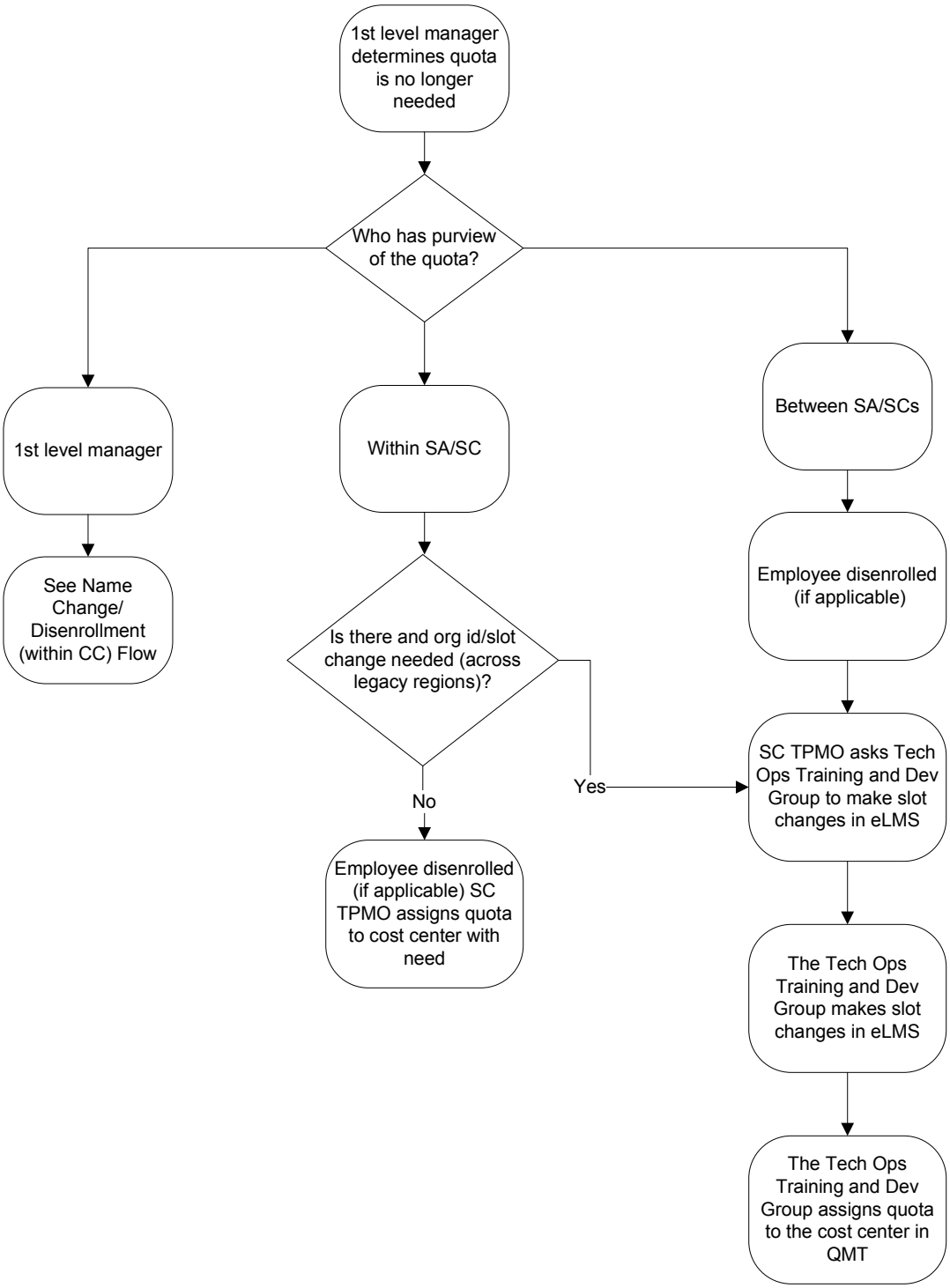


Figure 10-15. Scheduled Offering Changes and Cancellations

Changes

The Academy Tech Ops Training Div/sponsor notifies the Service Center and PSS via email of any scheduled offering changes. The PSS advises the first-level manager/appropriate parties. The first-level manager advises the employee of the change. The following information is revalidated in QMT at the time that the scheduled offering is changed:

- The calculated training history data (includes equivalent courses) to ensure the enrollment meets the assigned priority
- The prerequisites needed (including and/or combinations)
- If the employee is scheduled to complete the prerequisite before the course
- If there is a schedule conflict with another scheduled offering in which the employee is enrolled
- Check the employee's learning history to make sure he/he has not already completed the item
- Check to ensure that the employee is not already enrolled for the same item
- The requirement for training in the item is documented with the proper priority code in employee's training plan

A new pre-brief can be generated and the PSS notifies the appropriate personnel of the need to change the travel authorization if appropriate.

Cancellations

The process for informing the training community of scheduled offering cancellations is as follows: The Academy Tech Ops Training Div or the sponsor issues a notification to the Service Center and PSS via email (the reason as to why the scheduled offering is being cancelled is usually included in the message). The PSS advises the first-level manager/appropriate parties. The first-level manager advises the employee of the cancellation. If there is a travel authorization, the PSS notifies the appropriate personnel of the need to cancel it. The training requirement is documented in the employee's training plan. The date of the requirement must be changed on the training plan.

Scheduled Offering Changes and Cancellation

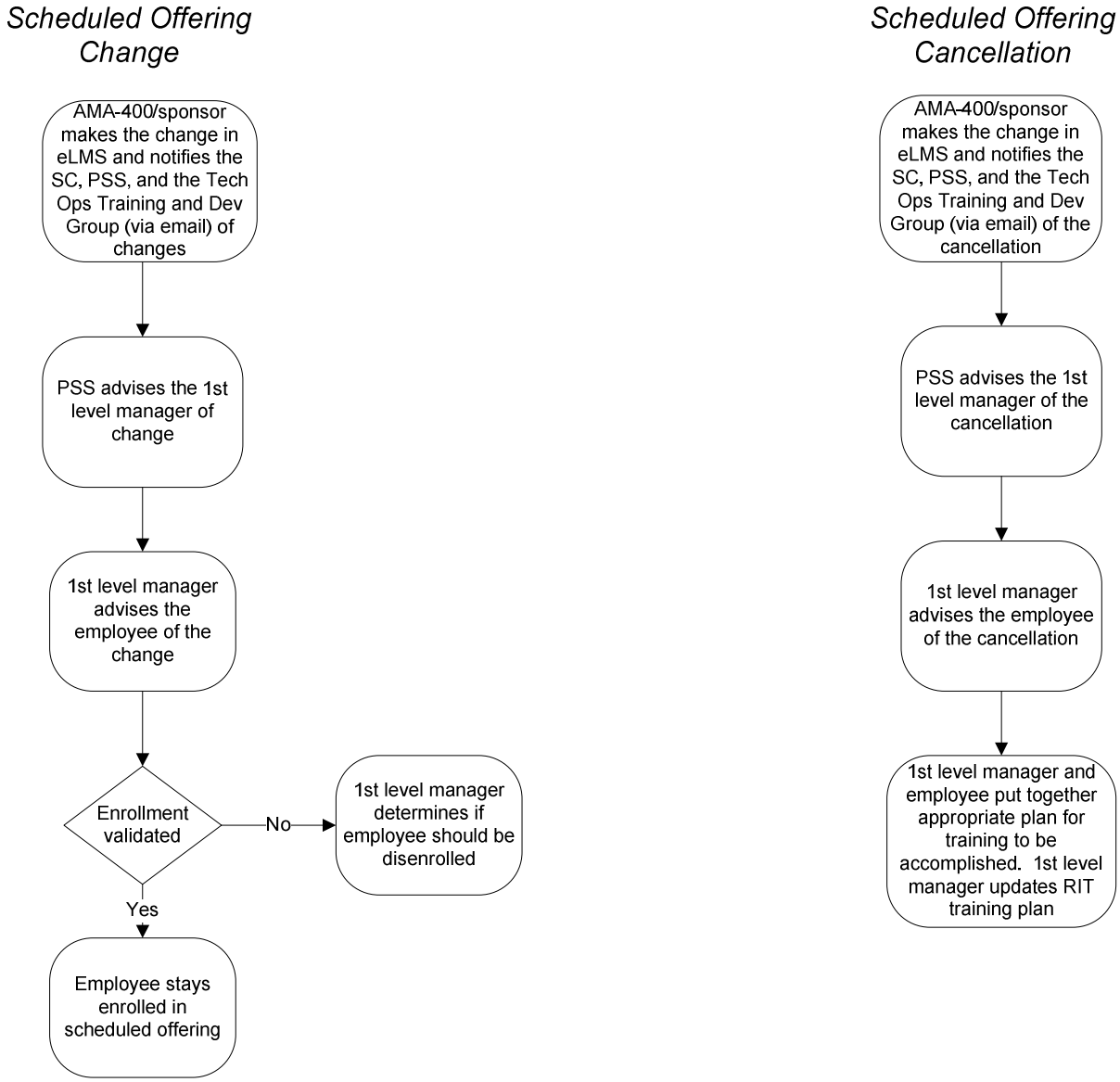


Figure 10-16. New Equipment Quota – Increase and Decrease of Quota at a National Level (Quota Redistribution Due to Schedule Changes, Budget, Reprogramming, New Hires, etc.)

Quota is typically increased and/or decreased due to a change in schedule and/or change in availability of resources

1. Increase in quota (additional quota – including new equipment, emergency quota)

New Equipment Quota

The requirement for new equipment is established based on the waterfall schedule for the new program. The Tech Ops Training and Dev Group revalidates the E1 training needs. If additional scheduled offerings are not required, the Tech Ops Training and Dev Group analyzes the impact and informs the Program Office. If additional scheduled offerings are required, the Tech Ops Training and Dev Group will ask the Academy Tech Ops Training Div to create a scheduled offering in eLMS. Once the scheduled offering is entered in eLMS, the Tech Ops Training and Dev Group creates and assigns the quota into the system of record (eLMS). The quota information will translate from eLMS to the QMT. The Tech Ops Training and Dev Group will assign the E1 requirement to a cost center code in the QMT. The Tech Ops Training and Dev Group notifies the Service Center and PSS of the new quota and provides the target cost center via the tool. The PSS notifies the first-level manager/appropriate parties of the new quota. The first-level manager notifies the employee. The appropriate party will make an enrollment based on the quota assignment (the Enrollment and Completion Process is followed).

If the first-level manager cannot use the assigned quota, he/she releases it to the Tech Ops Training and Dev Group providing the reason the quota cannot be used. The Tech Ops Training and Dev Group reviews the impact of the quota release and will delete the quota or reassign the quota based on the most critical need.

New Equipment Quota

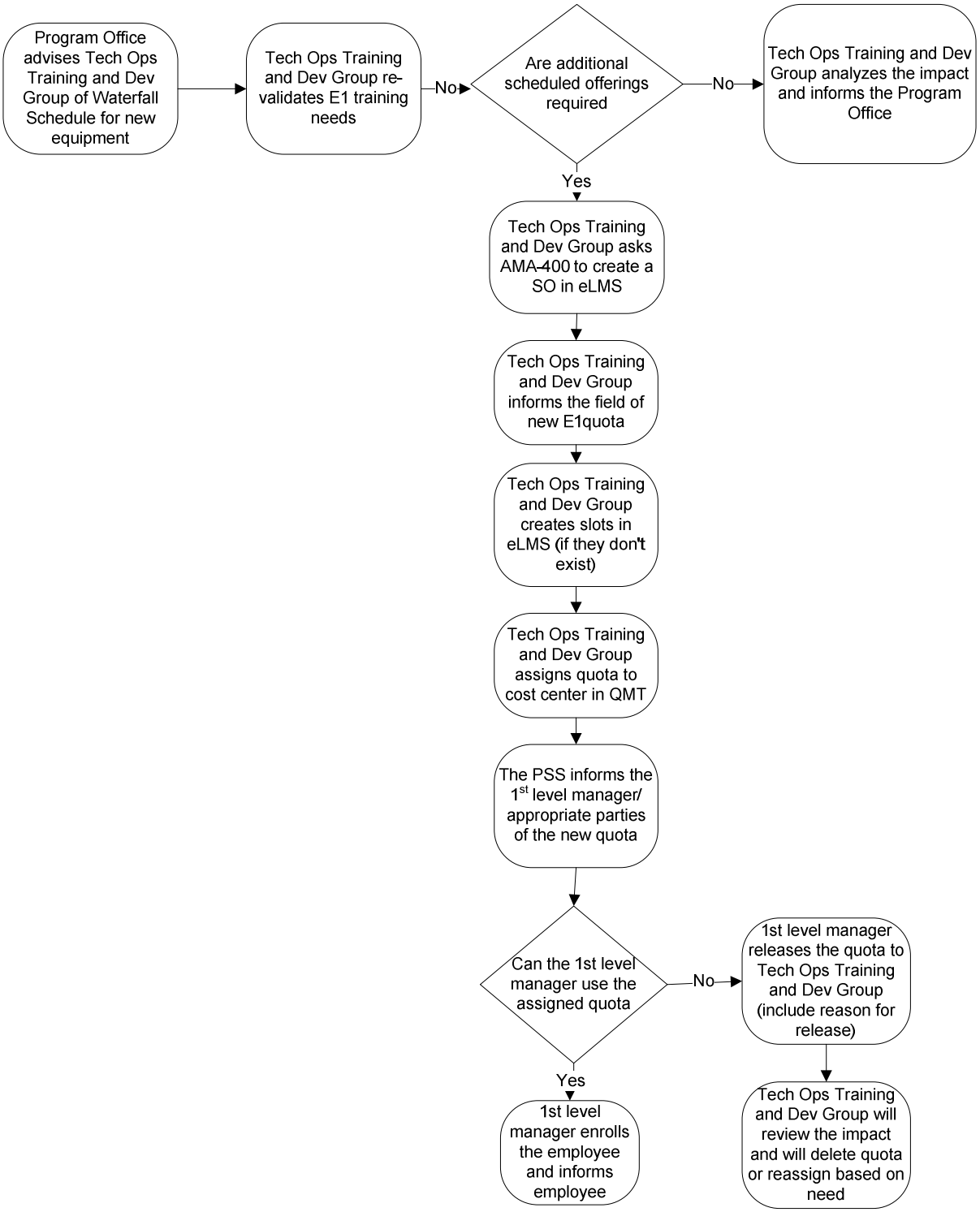


Figure 10-17. Emergency Quota Request

Emergency quota should be coordinated first within one's organization (the legacy region/Service Area) and then with other Service Areas in an attempt to fulfill the requirement before asking the Tech Ops Training and Dev Group to fulfill the request. When necessary, an emergency over quota request is filled out and submitted by the first-level manager to the PSC for validation and approval, then to the Service Center for validation and approval, and finally to the Tech Ops Training and Dev Group for validation (considering budget, Academy resources, and existing enrollments/open slots) and approval. If there is a non-approval at any point, the action is so noted and routed within QMT. The requestor will then work with the first-level manager to ensure that the employee's training plan in the RIT is updated to address the need. The Tech Ops Training and Dev Group will enter the approved quota into the system of record (eLMS). The quota information will translate from eLMS to the QMT. The Tech Ops Training and Dev Group assigns the quota via QMT to the appropriate cost center. The PSS notifies the first-level manager/appropriate parties of the new quota. The first-level manager notifies the employee. The appropriate party will make an enrollment based on the quota assignment (the Enrollment and Completion Process is followed). The number of emergency quota requests made as well as the number granted will be tracked by the Tech Ops Training and Dev Group.

Emergency Quota Request

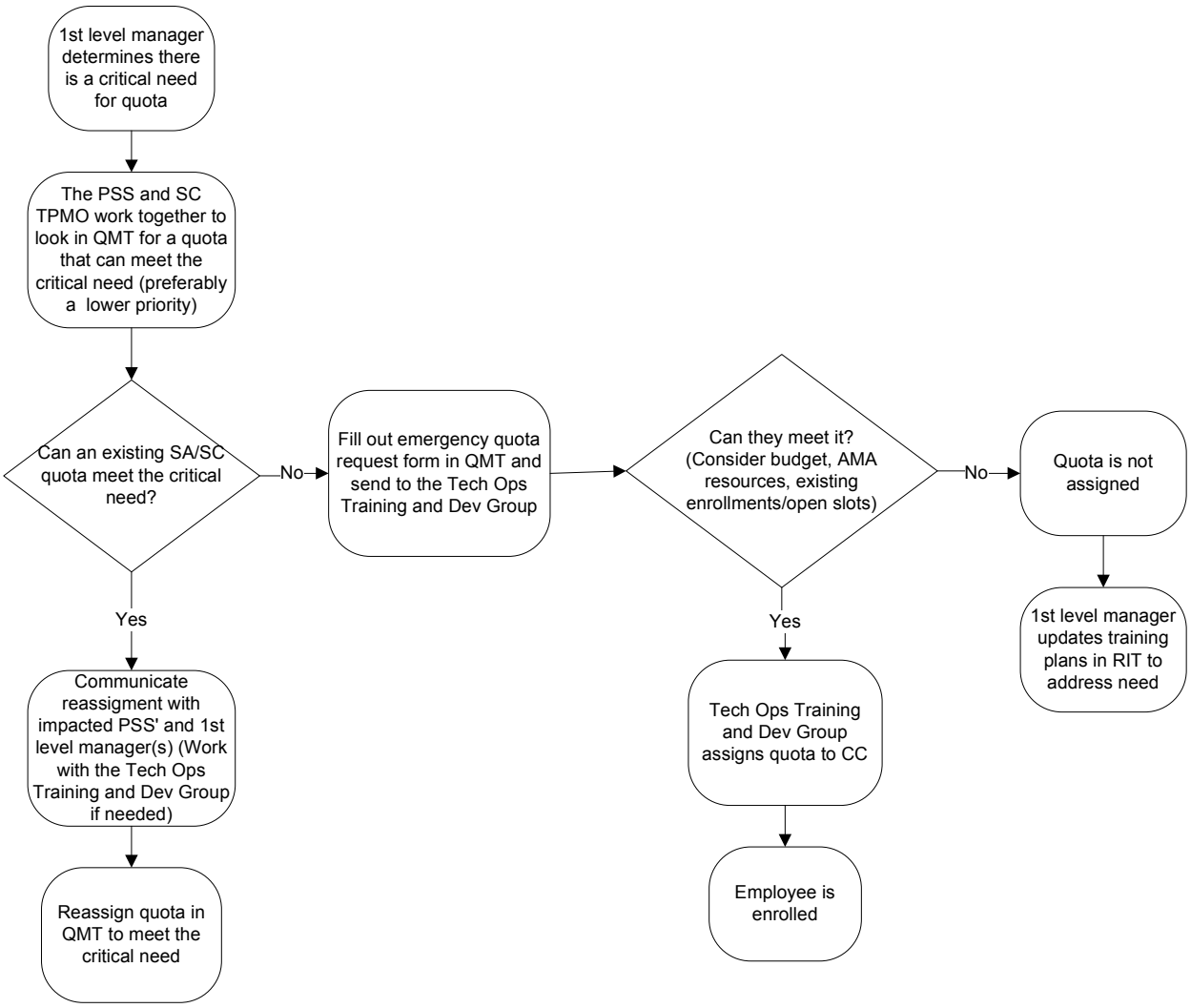


Figure 10-18. Decrease of Quota

The course sponsor sends out a message to the affected parties before the removal of the quota. The appropriate organization dis-enrolls the employee, if necessary, so that quota can be released or reassigned. Proper notifications are provided to the impacted parties. If appropriate, the employee's first-level manager updates his/her training plan to reflect the training requirement and the new date of the requirement.

Figure 10-19. Non-Utilized Quota

Non-utilized quota is defined as managed quota (from what was originally granted based on the Call for Training) that does not lead to someone being enrolled in a scheduled offering slot. There are reports in the QMT that can be generated at 56, 28, and 14 days prior to the scheduled offering start date to provide information on non-utilized slots. The policy regarding non-utilized quota is if there is non-utilized quota within 56 days of the scheduled offering start date that has not been enrolled, the Service Center, as well as the cost center user, is notified about the non-enrollments via the QMT and is given seven calendar days to make an enrollment. If the quota is not enrolled after seven days, the Tech Ops Training and Dev Group removes it from the system. (E1 is not included in this policy.)

If quota is removed, one must follow the process to gain additional quota needed (this is considered an ongoing process). If there are a number of non-utilized quota the Tech Ops Training and Dev Group, the Academy Tech Ops Training Div, and the impacted first-level managers will work together to assess if scheduled offerings can be combined to better utilize resources. The first-level manager will be asked to provide an impact statement if there is a change to the scheduled offerings. Note that if one person cannot change his/her schedule, the scheduled offerings are not changed. (The scheduled offering does not have to meet the maximum class size or even 50 percent. The scheduled offering is conducted based on need.)

There is a continuous check for non-utilized quota within 14 days of the scheduled offering commencement. Any non-utilized quota is pulled and returned to the owner (based on the situation, this applies to the Tech Ops Training and Dev Group and local training).

There is documentation as to why the quota is not being utilized containing an explanation from the appropriate party and it is captured in the QMT. Within specific time frames, the appropriate party is asked to provide a reason as to why they can not use the quota (for example: the new hire is not in eLMS so an enrollment cannot be made). The field communicates the reason for non-utilization to the scheduled offering owner.

The Service Center is the final review of non-utilized quota and the explanation. A report will be made available for the tracking of non-utilized quota as well as the reasons/explanations for non-utilization.

Appendix 11. Academy Enrollment Process

Figure 11-1. Skillsoft Enrollment

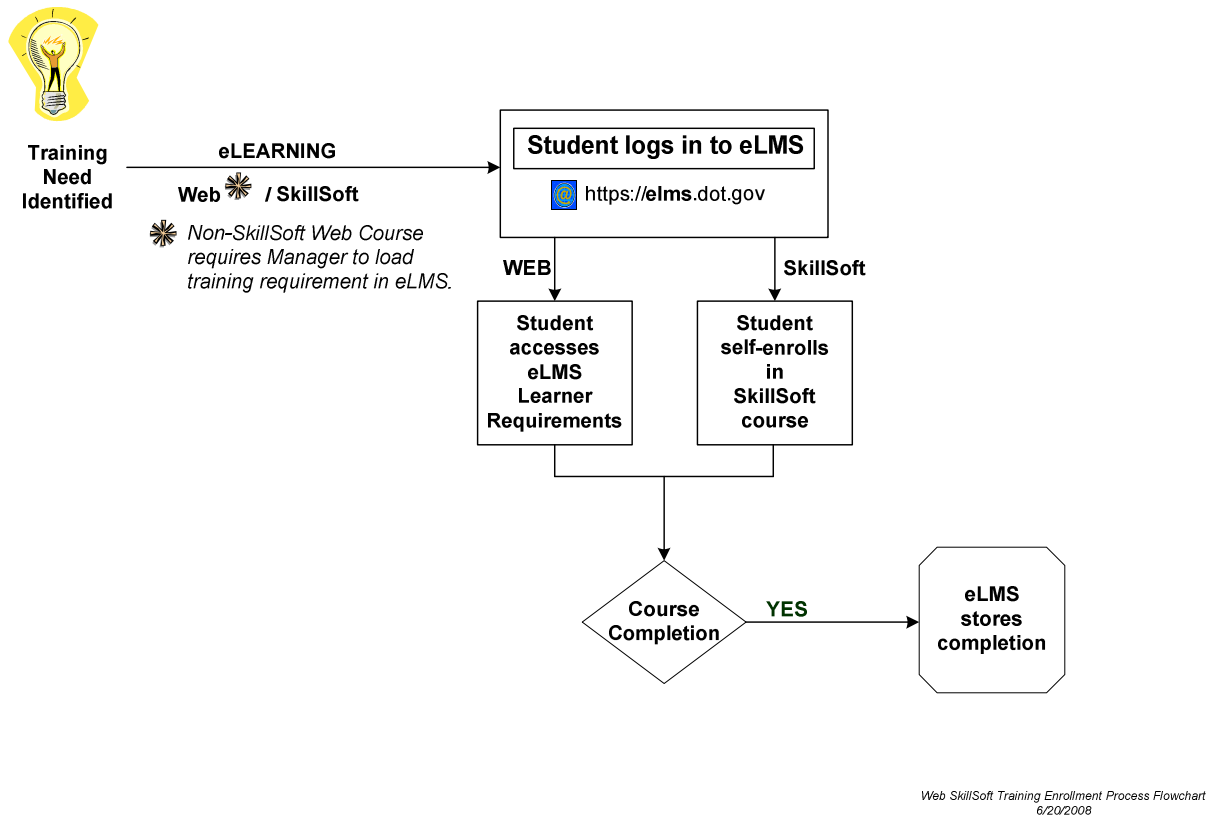


Figure 11-2. Performance Examination Enrollment

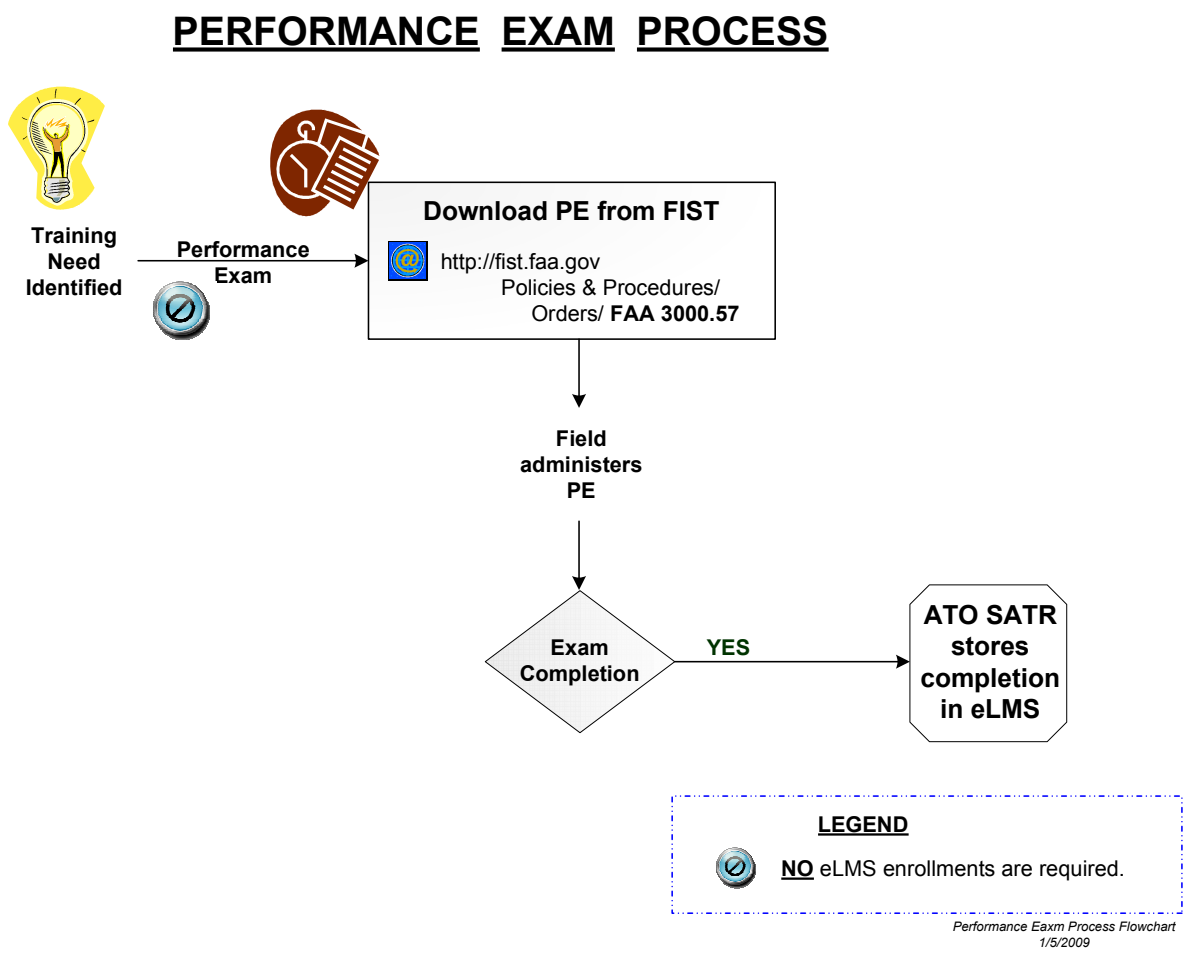


Figure 11-3. Theory-of-Operations Bypass Examination Enrollment

Theory-of-operations bypass examinations may be taken on any computer connected to the FAA Intranet in an acceptable examination environment. Special software (Citrix client) may need to be installed on the computer prior to taking the theory-of-operations bypass examination. For software installation or special examination considerations, contact the FIST site administrator. The telephone number may be obtained on FIST. (see http://fist.faa.fov/Programs and Tools/Examiner(Theory-of-Operations)/Examiner Contact Info). Additional guidance is as follows:

1. Only an authorized requestor may request a theory-of-operations bypass examination. Each request must include the examinee's name, eLMS identification number, and phone number; proctor's name; exam number; and start date. The examinations must be started within seven days of the start date.
2. These examinations must be maintained by the ECC at the FAA Academy.
   - Examination grades must be entered into eLMS by the ECC.

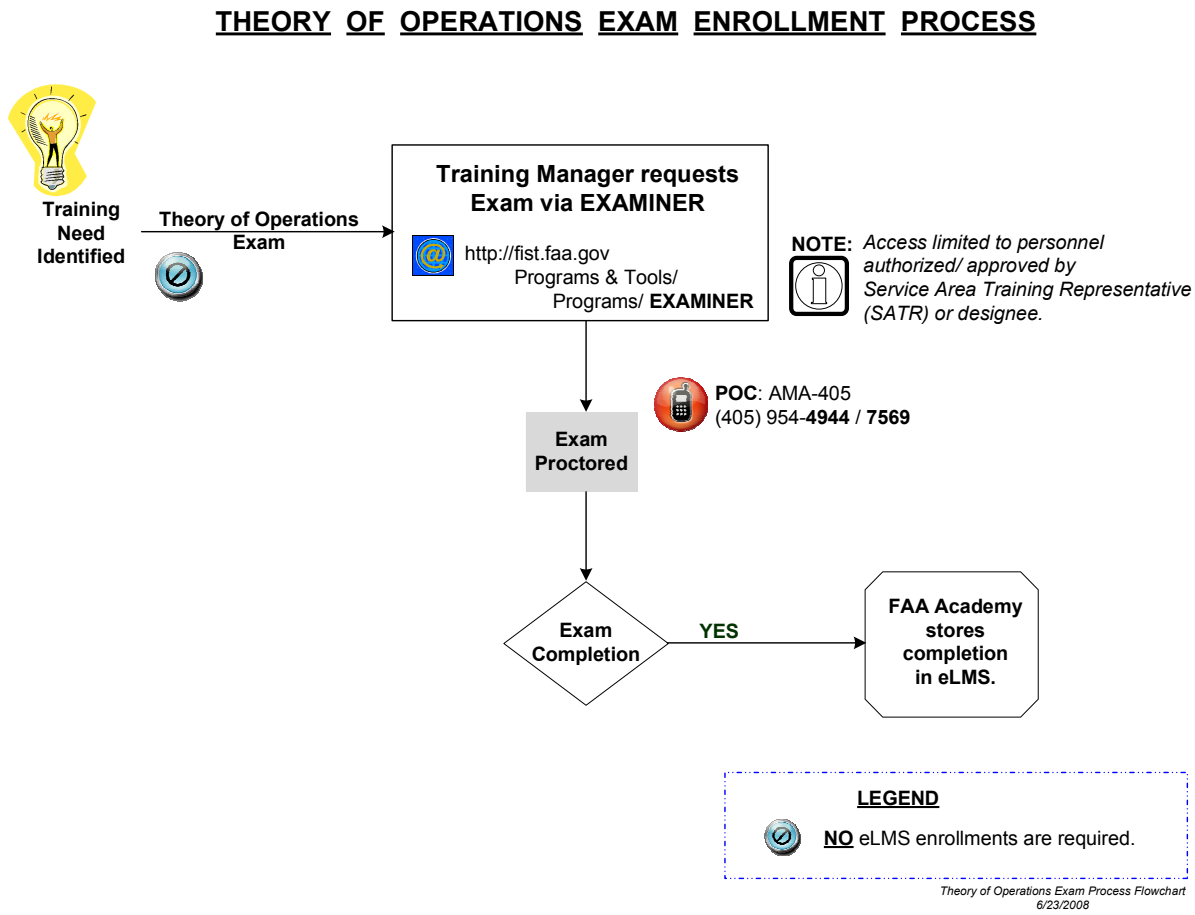


Figure 11-4. Distance Learning Enrollment

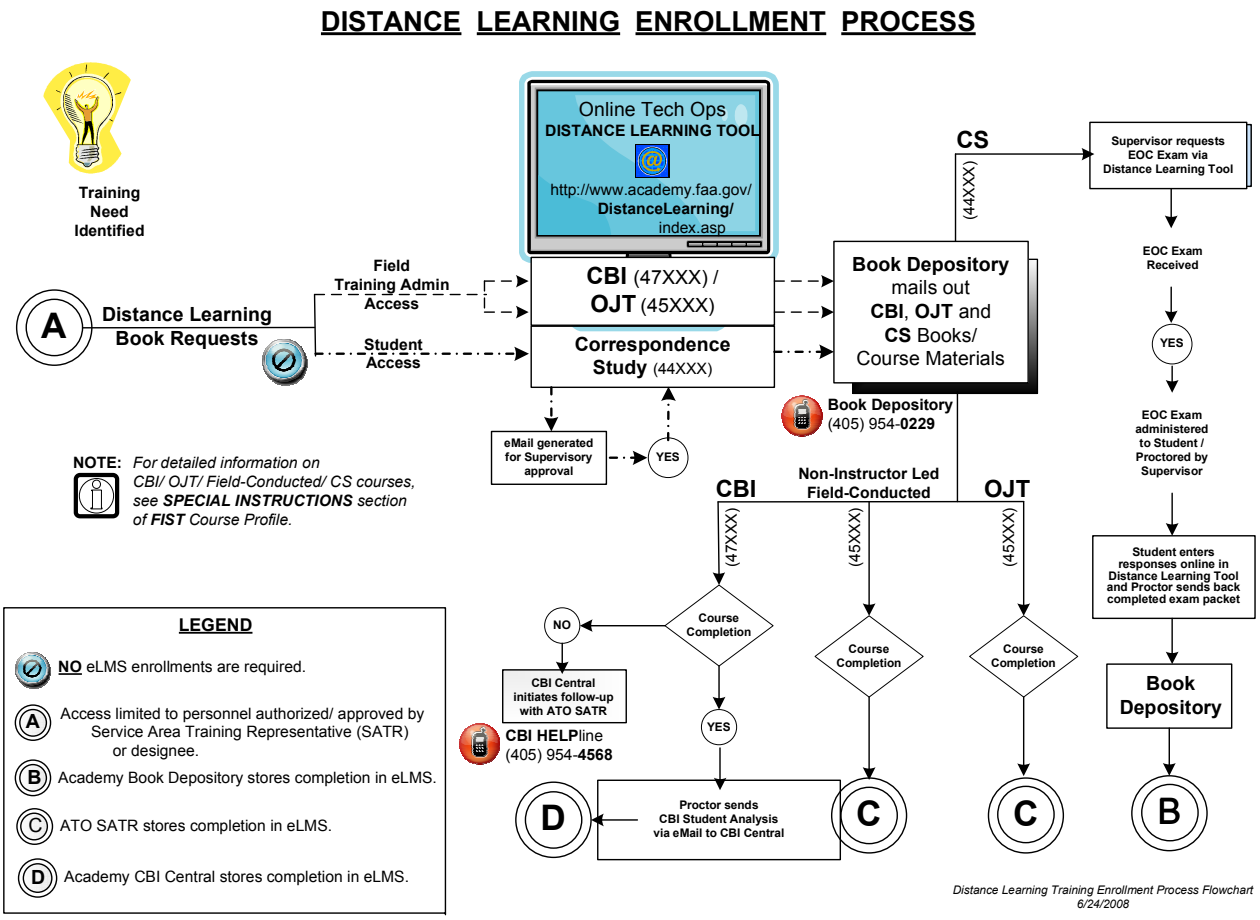


Figure 11-5. Resident Training Enrollment

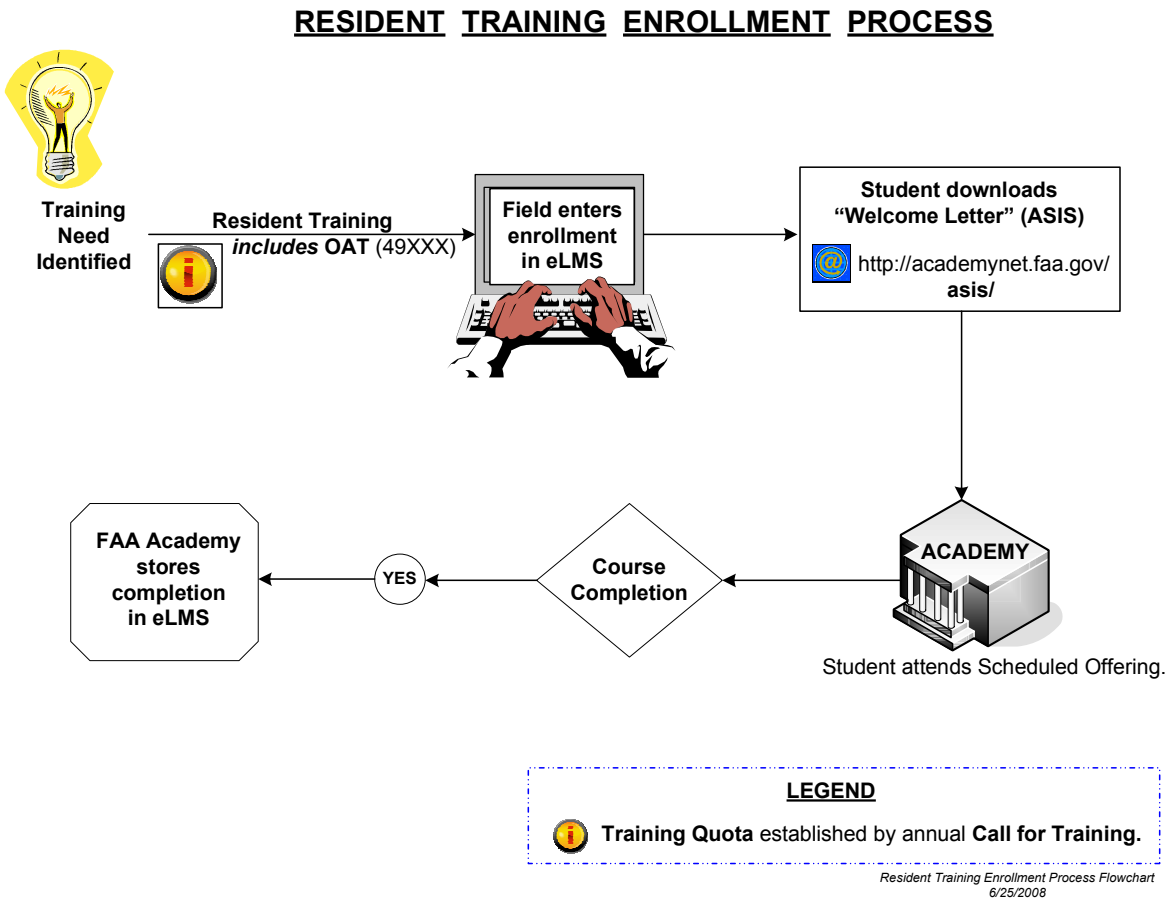
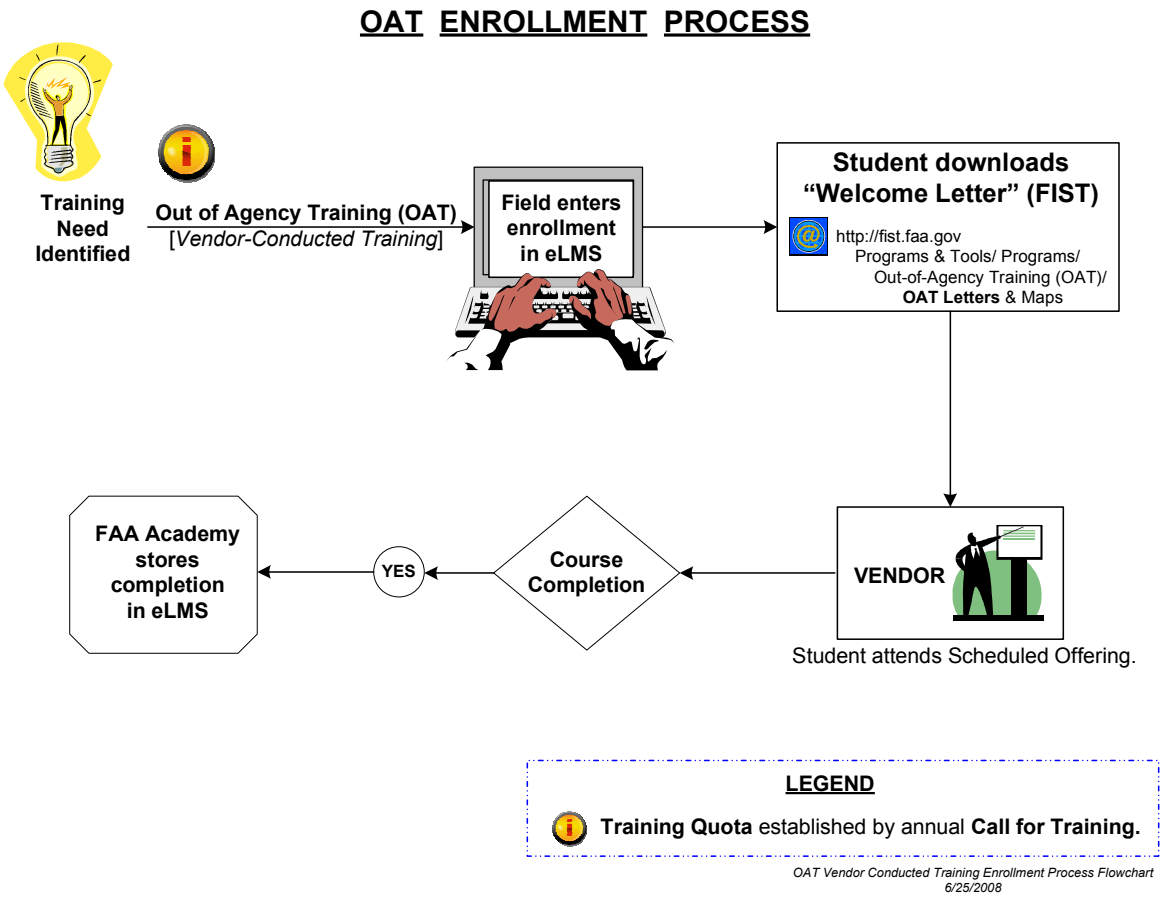


Figure 11-6. Out-of-Agency Training (OAT) Enrollment



Appendix 12. Entering Completions in electronic Learning Management System (eLMS)

1. Responsibilities and capabilities

PSSs are responsible for recording completions in eLMS for the following items only:

- Nationally developed OJT courses
- Locally developed OJT course
- Performance examination
- Field-conducted labs

Under no circumstances should the PSS attempt to do the following:

- Record completions for external events
- Record completions for scheduled offerings
- Record completions for those users who are not associated with their cost center(s)

The PSS cannot edit entries in an individual's eLMS learning history. When editing of an entry is necessary, he/she should contact his/her Service Center Representative.

Service Center representatives are responsible for recording completions in eLMS for the following items:

- Field-conducted labs
- Locally conducted courses and scheduled offerings
- Nationally contracted workshops that are outside of the Academy responsibility
- External events

Service Center representatives have the capability to record completions for those items for which the PSSs are responsible and may assist when necessary.

Service Center TPMOs have the capability to edit learning histories and learning plans in eLMS for accessible domains and individuals within their purview.

The Service Center TPMOs cannot edit entries in an individual's eLMS learning history for Academy and/or CMEL items. When editing of an entry is necessary, they should contact the appropriate FAA Academy or CMEL point of contact.

The ***Technical Training and Development Group Quota Management Team members*** have the capability to record completions for all items in the Technical Operations domain (all workshops, OJT, performance exams, field-conducted labs, locally conducted courses, and external events). They also have the capability to edit learning histories and learning plans in eLMS. They may assist in all these activities as needed.

Designated Academy representatives are responsible for recording completions in eLMS for the following items that are in the Academy shared domain of eLMS:

- Academy-conducted courses
- Nationally contracted Technical Operations courses
- Computer-Based Instruction CBI) courses
- Correspondence study courses
- Bypass examinations (theory-of-operations bypass examinations)
- Equivalencies granted for recognized/approved prior training and experience

Designated CMEL representatives are responsible for recording completions in eLMS for CMEL courses/workshops.

2. Do not make eLMS completions for courses satisfied by equivalents in the course profile. If an individual has satisfied a training requirement by the completion of a set of equivalent courses as identified in the FIST course profile there must not be an eLMS completion record for the training requirement.

3. eLMS learning histories versus RIT training histories. The employee's eLMS learning history contains completed courses, examinations, briefings and workshops. eLMS also contains individual equivalencies evaluated and granted by AMA-400. The employee's RIT training history contains all of the items in the eLMS learning history. Additionally, it contains the calculated equivalent courses based on the FIST equivalencies in the course profile. These calculated equivalent courses are identified in the RIT training history with a grade of "EQV".

4. Entering completions in eLMS. When entering completions for items or external events, there is a Comments field that will hold a maximum of 2,000 characters. You can use the field to record free-form comments about the selected learning event as it relates to the corresponding user. For OJT and performance examination completions, add the instructor's/examiner's name in the Comments field. This information will display in the user's learning history. A suggested example to use this field would be when only a portion of the OJT or performance examination is completed. Example: (OJT) Localizer Mark 1D/E, FA-9350-FA-9700 (MK1E LOC). The MK1E LOC is covered under the nationally approved OJT course FAA45227. The GS, LOC, and markers all have the same item ID number. If this is the only portion planned, enter FAA45227 for the item ID, record the OJT hours, and in the comments section, enter Mark 1E LOC Only.

Note: This field does show on the user's learning history.

Entering completions for events having item IDs:

a. Entering completions for course item IDs:

(1) Enter the default completion using one of the following from the drop-down box:

- COURSE-PASS (Pass) – For Credit
- COURSE-FAIL (Fail) – Not for Credit
- COURSE-WITH (Withdrawn) – Not for Credit

- COURSE-INCO (Incomplete) – Not for Credit

(2) Enter or change the default completion date, time, and time zone

(3) Total hours should remain as the item default.

b. Entering completions for workshop item IDs:

(1) Enter the default completion using one of the following drop-down box:

- WORKSHOP-PASS (Pass) – For Credit
- WORKSHOP-FAIL (Fail) – Not for Credit
- WORKSHOP-WITH (Withdrawn) – Not for Credit
- WORKSHOP-INCO (Incomplete) – Not for Credit

(2) Enter or change the default completion date, time, and time zone.

(3) Total hours should remain as the item default.

c. Entering completions for OJT item IDs:

(1) ***Do not enter*** the OJT instructor's name in the Instructor field.

(2) In the Comments field, enter the name of the OJT instructor.

(3) Enter the default completion using one of the following from the drop-down box:

- OJT-PASS (Pass) – For Credit
- OJT-FAIL (Fail) – Not for Credit
- OJT-WITH (Withdrawn) – Not for Credit
- OJT-INCO (Incomplete) – Not for Credit

(4) Enter completion date, time, and time zone

(5) The item default total hours must be changed to the employee's total hours in OJT. Enter the hours identified on the sheet provided by the supervisor (OJT cover sheet). In the case of locally developed OJTs, no hours were set up with the item, the exact hours it took for the training will have to be entered.

Note: Hours must be entered as whole hours and minutes must be converted to the appropriate fraction of the hour (example: 8.25 where the length of the item is eight hours and 15 minutes).

d. Entering completion for performance examination item IDs:

(1) ***Do not enter*** the performance examiner's name in the Instructor field.

(2) In the Comments field, enter the performance examiner's name.

(3) Enter the default completion using one of the following from the drop-down box:

- EXAM-PASS (Pass) – For Credit
- EXAM-FAIL (Fail) – Not for Credit
- EXAM-WITH (Withdrawn) – Not for Credit
- EXAM-INCO (Incomplete) – Not for Credit

(4) Enter the completion date, time, and time zone

(5) The item default total hours must be changed to the total hours it took the employee to complete the performance exam. Enter the hours identified on the sheet provided by the supervisor (PE cover sheet).

Note: Hours must be entered as whole hours and minutes must be converted to the appropriate fraction of the hour (example: 8.25 where the length of the item is eight hours and 15 minutes).

e. Entering completions for external learning events:

(1) Before entering a completion for an external event, search the eLMS to ensure that an item ID has not already been established.

(2) External events should only be used for specific single learning events. An external event is a learning activity, such as a college course or a seminar, that an individual attended that is associated with the individual's job and/or the agency.

(3) Title; when recording an external learning event, the FAA's standard naming convention must be used to record the learning event title as outlined below. The first two characters should contain:

- First character should be one of the following:

  O = when training is considered optional

  R = when training is considered mandatory or required

- Second character should contain one of the following:

  M = managers/supervisors (training specifically for those positions)

  T = technical (as defined by the line of business)

  L = logistics (acquisition)

  A = administrative (secretarial/office skills)

  S = security

  E = environmental/EOSH (safety)

  U = university/college/trade school

  W = EEO program/ethics/cultural

  O = other (if not covered by any of the above)

- After the two characters, enter the vendor or source, then the title in the remaining spaces of the description.

  Example: RL MCI Contract Formation I

  R = mandatory or required

L = logistics

MCI = Management Concepts Inc. (vendor)

Contract Formation I = course title

(4) The following are also required for external events:

- Grade
- Completion date, completion time, and time zone
- Total hours credited for participating in event

f. Recording No-Shows. For any student that is enrolled in a scheduled offering but did not attend the training, the scheduled offering registration status must be changed from "ENROLL" to "NO-SHOW". The Academy will change the status to no-show for Academy and Academy-contracted courses. For locally conducted scheduled offerings, the Service Center Representative must change the status to no-show. For CMEL courses, CMEL will change the status. If the status is not changed to no-show, a new enrollment for the same course will not be possible in the QMT without submitting a request for retraining.

Appendix 13. Established Equivalency Listing and Process

Figure 13-1. Listing of Equivalencies for Military and Other Training

The listing of established equivalencies for military and other training is located on FIST and available for review and downloading by accessing Policies and Procedures > Order 3000.57 Appendix 13.

Figure 13-2. Instructions for Submitting an Equivalency Request for Courses Listed on the Equivalency Crosswalk Table

1. Validate FAA course equivalencies for non-Federal or military training is listed on Equivalency Crosswalk Table.

2. Complete FAA Form 3000-23, Training Equivalency Request; follow directions provided in Appendix 1, Listing of Forms and Examples, Figure 1-14, Instructions for Preparing FAA Form 3000-23, Training Equivalency Request.

3. On FAA Form 3000-23, in the "Justification" entry field, reference equivalency listed on Equivalency Crosswalk Table.

4. Also, attach information for specific course consideration.

5. Supporting documentation should include but not limited to: college transcripts, certificates, Military Forms DD-214 or DD-2586, and time lengths.

6. Equivalency requests are sent by the Service Center TPMO to the Academy equivalency point of contact via email or fax.

7. Contact information for the Academy equivalency point of contact is posted on FIST.

8. Once an equivalency reviewed, the Academy Tech Ops Training Div will enter the equivalency in the referenced employee's eLMS training history.

Figure 13-3. Instructions for Submitting an Equivalency Request to the Academy

1. Complete FAA Form 3000-23; follow directions provided in Appendix 1, Figure 1-14. Also attach information for specific course consideration.

2. Supporting documentation should include but not limited to: college transcripts, certificates, Military Forms DD-214 or DD-2586, and time lengths.

3. Equivalency requests are sent by the Service Center TPMO to the Academy equivalency point of contact via email or fax.

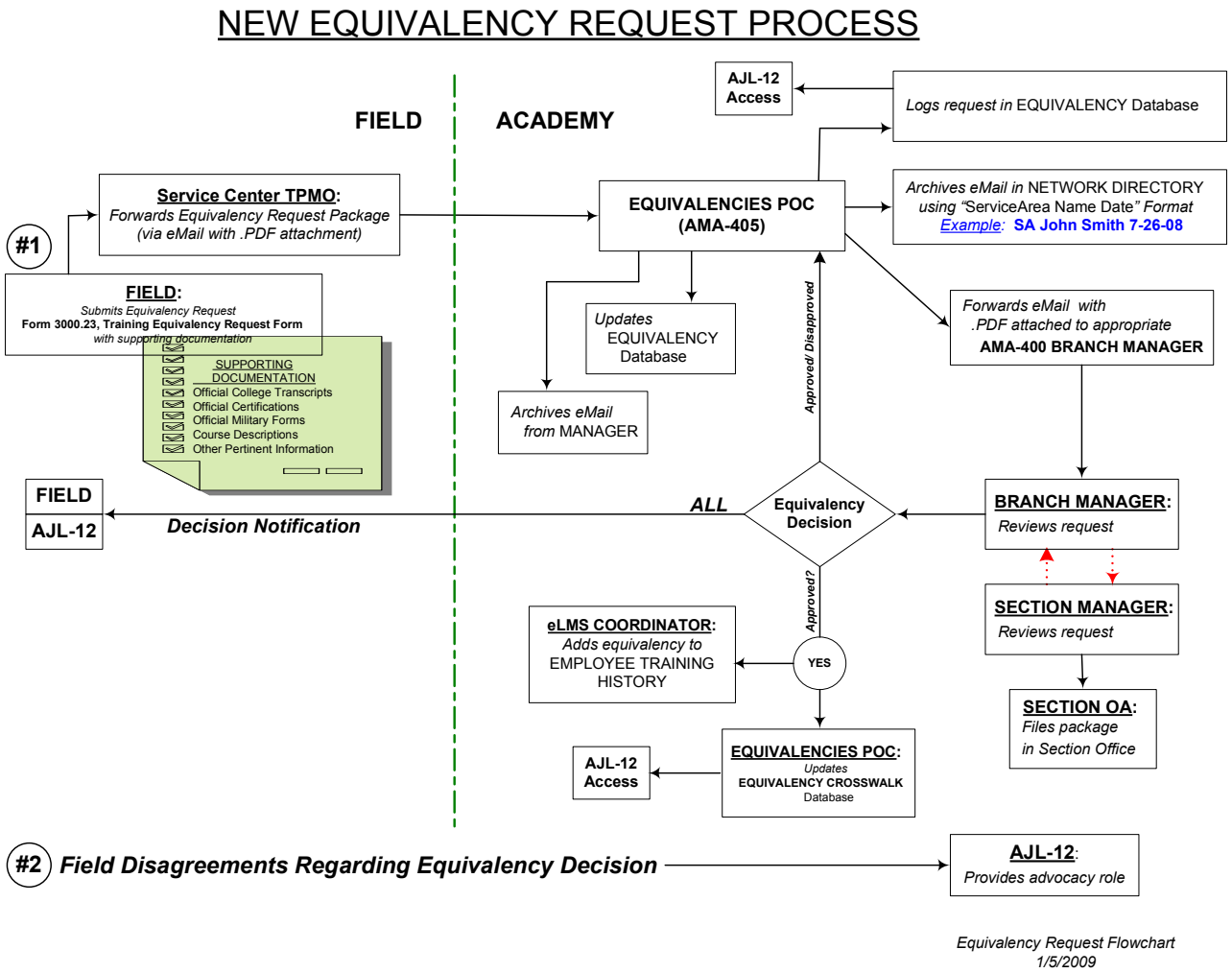
4. Contact information for the Academy equivalency point of contact is posted on FIST.

5. Once an equivalency review is conducted by the appropriate Academy section manager. An email containing the equivalency decision will be sent to the original senders of the request.

6. If equivalency is granted, the Academy Tech Ops Training Div will enter the equivalency in the referenced employee's eLMS training history.

7. If there is a disagreement relating to the Academy's equivalency decision the request can be forwarded by the Service Center TPMO to the Tech Ops Training Dev Group for their advocacy in review of the decision.

Figure 13-4. Proposed New Equivalency Request Process



Appendix 14. FAA Technical Operations Course Development Process

This appendix describes the procedures, criteria, and guidance for the systematic design, development, and revision of Technical Operations national training. The use of these procedures will ensure that training delivered to employees fully addresses the requirements in an instructionally sound and maintainable manner. Since existing courses were developed under formal guidelines, revision efforts do not always require the full application of these procedures.

1. General Course Maintenance. The responsible course manager must use student feedback and periodic internal reviews to identify grammar, spelling, and technical accuracy errors (not driven by external events like a modification) in all course materials. These errors are considered to be general course maintenance and they must be corrected in a timely manner. The procedures, criteria and guidance in this appendix do not apply to general course maintenance.

2. Minor Course Revision. Minor revision includes all tasks associated with the ongoing effort to ensure courseware reflects current procedures, policies, and/or systems. These activities do not usually require additional fiscal resources but require significant staff resources to accomplish the revision.

a. Minor revisions do **not** affect:

- Training outcomes or instructional objectives
- Course length
- Method or source of training
- Staffing
- Fiscal resources

b. Examples of minor revisions include:

- Refinement of lesson plans, student manuals, job aids, etc.
- Correcting or improving slides, handouts, etc.
- Improving test items based on item analysis to more accurately measure achievement of the course objectives
- Updating or clarifying technical content due to external events like a modification (if revisions do not change course objectives or course length).

3. Major Course Revision. A major course revision includes those tasks necessary to substantially upgrade existing courseware and is conducted as a result of a specific event or tasking (e.g. system modification or MTHB change). Major revisions require a new course number and are required when the revision includes any of the following:

a. Changes to the length of the course

b. Significant changes in job tasks

c. Additions, deletions, or changes to training outcomes and/or instructional objectives

d. Impacts to staffing levels and/or fiscal resources

e. Conversions to a new delivery media

f. Conversions to EHOT and addition of DoP

4. Development/Revision Identification and TIR Form. All course development and revisions (except those considered to be general course maintenance) are initiated using a TIR form submitted to the appropriate Academy Tech Ops Training Div section manager (see Appendix, 14, Figure 14-2, Training Initiative Request [TIR]). The TIR can be generated at any level of the agency, but must have management approval in that organization.

a. Approval for Funded TIRs. TIRs that are funded must be evaluated for approval by the Tech Ops Training and Dev Group. If approval is granted, the project is guided by the established time lines.

b. TIRs Submitted Without a Funding Source. TIRs submitted without a funding source are evaluated over a one year cycle which starts in October of every year and ends the following September. The final recommendations to fund or not fund the TIR are made by the **Tech Ops Training and Dev Group**. If the TIR is approved for funding, it must be placed in a priority order with other approved TIRs.

c. TIR Evaluation by Academy. The Academy Tech Ops Training Div must review each TIR and prepare a summary identifying the applicability and level of effort required. After the summary is prepared it and the TIR are forwarded to the appropriate Tech Ops Training and Dev Group point of contact for review. The summary must include:

(1) Recommendation for TIR disposition, one of the following:

- Reject the request
- Accept as new development
- Accept as minor revision
- Accept as major revision

(2) For major and minor revisions, identify the level of effort to update all training development documentation (TASA/JTA, TDP, CDG).

(3) For new development and major revisions:

- Develop an estimate identifying all costs
- Staff resource requirements

d. TIR Evaluation by Training Group. Tech Ops Training and Dev Group point of contact reviews the TIR and summary and provides one of the following results:

(1) TIR Rejected. FAA Tech Ops Training and Dev Group must return the TIR to the originating office with an explanation for the rejection.

(2) TIR Accepted as Minor Revision. FAA Tech Ops Training and Dev Group must advise the Academy Tech Ops Training Div point of contact the proposal was accepted. The Academy Tech Ops Training Div should proceed with the revision effort using internal resources.

(3) TIR Accepted as New Development or Major Revision. After funding sources have been confirmed, FAA Tech Ops Training and Dev Group must provide the Academy Tech Ops Training Div with a tasking letter approving the effort, identifying funding sources, and stating the requirement for an operational tryout if deemed necessary.

(4) TIR Recommendation Disputed. The FAA Tech Ops Training and Dev Group point of contact and Academy Tech Ops Training Div section manager should work collaboratively to reach

consensus on the revision level of effort. If agreement cannot be reached, the issue must be elevated to the next level of management in each organization for resolution.

e. TIR Retention. The Tech Ops Training and Dev Group and the Academy Tech Ops Training Div must retain TIRs in accordance with FAA Order 1350.15 , Records Organization, Transfer and Destruction Standards.

5. Guidelines for Training Development, Revision, and Implementation. The guidelines outlined in this paragraph apply to all Technical Operations course development and revision efforts regardless of who performs the activity. Since existing courses were developed under formal guidelines, revision efforts do not always require the full reapplication of these procedures. This paragraph includes the criteria for training and the various phases of the process. *Note for revision efforts: The Academy Tech Ops Training Div is no longer in possession of the training development documentation for many older courses. If resources are available, a full set of course development documentation should be created (TASA/JTA, TDP, CDG). The development of a CDG based on the course outline is required for all revisions.*

a. Criteria. All technical training must be designed using the following standards to aid the technical specialists in obtaining the desired level of competence in the minimum time. Contractor development requirements are identified in FAA Standard 028(X).

(1) All system/subsystem measurements, techniques, and adjustment procedures should be compatible with those the trainee will use under actual operating conditions upon return to the field environment. Procedures found in national handbooks or other authorized instructions must be used when possible. Where no authorized instructions exist, or a deviation from approved procedures is desirable, course developers must coordinate with AJW-1, NAS Engineering Group before finalizing instructional material.

(2) Every course must include all significant maintenance (and/or installation) and safety procedures that must be performed on the system.

(3) Courses must be designed to develop the employee's ability to recognize system deficiencies, isolate faults, and correct problems.

(4) Every effort must be made to simulate the operating environment.

(5) If a significant number of employees fail to complete the course successfully, the course should be evaluated as to the employee entrance level, prerequisites, and course content.

(6) Changes in course content, training methodology, or course length, as described in the TIR or a TDP, must be approved by the Tech Operations Training Dev Group.

(7) Organizational elements proposing, developing, and/or conducting a Technical Operations training course must be familiar with the Technical Operations Training and Personnel Certification Programs.

b. Analysis Phase. This is the foundation for all other phases of instructional system design. All instructional programs must be planned and developed so as to assure that stated training requirements are fulfilled satisfactorily and on a cost-effective basis. Training must be operationally oriented and job-centered and designed to achieve the outcomes specified in the TIR, TASA/JTA, and TDP. All planning, development, presentation, and testing must be based upon the trainee's need, improved efficiency, and job specific effectiveness

(1) TASA/JTA. The TASA/JTA consists of a listing of major job duties and their accompanying tasks, subtasks, and supporting skills and knowledge. Analysis of the results of the TASA/JTA sets the direction for the training. Task statements are used as the basis for developing objectives and for laboratory activities and performance tests. The TASA/JTA process begins with defining the job and is conducted in four stages. Data gathered during Stages 1, 2, and 3 will be from interviews, direct observation, printed materials (training manuals, manufacturer's instruction books and manuals, FAA orders and technical literature, etc.), surveys, and/or questionnaires. The four stages are:

- Stage 1. List and describe the job duties and tasks.
- Stage 2. List and describe the sub-tasks, elements, and sub-elements.
- Stage 3. List and describe the knowledge and skills.
- Stage 4. Have Subject Matter Experts (SMEs) and managers validate the tasks list. Revise any inaccurate or incomplete task information.

(2) TDP. The TDP is a work plan for developing a course. It is not intended to be a complete course control document. Only information needed for approval of the course development effort should be included. The TDP should contain sufficient information to aid in making a decision to approve and authorize development or procurement of training. The TDP should include purpose, objectives, identification of key personnel, technical approach, products, deliverables, media selection analysis, cost analysis, funding requirements, schedule, issues, concerns, or other pertinent training data. The TDP:

- Converts the TASA/JTA requirements into a recommended plan for achieving the desired training.
- Recommends a strategy to achieve the desired training.
- Provides a record of the basic planning for the course.
- Provides communication and agreement between the requesting organization and the training organization on how the training must be developed.
- Authorizes, when approved, development or procurement of training and associated training program, and provides a sound basis for the necessary resource allocations.
- Authorizes first course conduct.
- Includes a plan for evaluating the effectiveness of the training.
- Serves as a basis for review of recommended training from a technical and operational standpoint.
- Serves as a baseline for evaluating requirement-to-modify.
- Must reflect all changes in cost data, course structure, time allocations, and performance measures when presented to the Technical Operations Training Division for final approval.

c. Training Method Phase. Any combination of the basic methods of training may be used in the development of Technical Operations training courses. The factors to be considered in determining which method to use include:

(1) Effectiveness. The foremost consideration in the development of a Technical Operations training course is that it must be effective in accomplishing the objectives established by the TIR.

(2) Efficiency. Regardless of the training method, the distribution of material for each course must be accomplished in the way that maximizes overall efficiency at the minimum cost possible.

(3) Feasibility. Efficiency and effectiveness must be weighed against practical considerations (such as: required shutdown of a system, lack of equipment to train on, or lack of other training resources).

(4) Cost. This analysis considers the costs of various training methods, as well the various expenses associated with time-to-develop.

(5) Maintenance Philosophy. Organizations proposing and developing Technical Operations training courses must be familiar with the maintenance concept involved. The maintenance philosophy influences both the depth and scope of the technical courses.

d. Design Phase. The design phase involves using the products from the Analysis Phase to plan a strategy for developing training. The CDG provides an outline for development or revision of a course. It includes the goals and/or outcomes for the course, the skills and knowledge to be provided to employees, and the methods and techniques to be used in the conduct of the course. All information needed to develop the course, including objectives, testing techniques, tools and equipment, teaching strategies, and content are outlined. The CDG:

(1) Establishes training objectives, ranging from instructional objectives, which directly support the outcomes in the approved TDP, to the detailed lesson (enabling) objectives.

(2) Includes an outline of course content specifying the skills/knowledge the employee must acquire to develop the capability(s) stated in the instructional objectives.

(3) Specifies the methodology/media to be employed in meeting each outcome.

(4) States the employee achievement measures which must be used to determine the extent to which instructional and enabling objectives are achieved.

(5) Establishes a logical learning sequence of course structure.

(6) Establishes estimated time parameters for the achievement of instructional objectives.

(7) Establishes a basis for the evaluation of training.

e. Development Phase. The development phase builds on the Analysis and Design Phases to generate all required training materials and evaluation of the final developed products. The course developer should design the course to provide the knowledge and skill levels necessary for progression to the technical specialist's full performance level. The types of course development or revision include new course development, major revision to an existing course, and conversion of a course to a new delivery media.

(1) Courseware Development. Courseware includes all the tools used by employees and/or instructor(s) to provide knowledge on the subject of training. These tools include but are not limited to, instructor guide, lesson plan, laboratory guide, student guide, testing, and other materials/aids for delivery in the delivery media of choice. Standard courseware provides a means to ensure consistent, quality training over time, regardless of the method. Employees also use these tools as references when they return to their duty location.

- **Instructor Guide (IG).** The IG contains detailed information about how a course is to be conducted, a detailed description of the activities in each class and laboratory session, and the materials needed. It includes both instructor and student activities to be accomplished during the course, with explanations of how these are to be accomplished.
- **Lesson Plan (LP).** The LP is a tool for presenting course content to a class. The LP coordinates course materials and activities to achieve course objectives. All instructors should standardize a developed LP to ensure effective and efficient presentation.
- **Laboratory Guide (LG).** The LG is a student reference for use during the hands-on portion of the course. The LG is used to inform the employee of what to expect in the lab, and provide information about the procedure to be performed, pertinent references, and visual aids.
- **Student Guide (SG).** The SG is a resource for class preparation, following the instructor during classroom presentation, study for tests, and use as a reference resource at their duty location.

(2) Testing. Testing provides a method to identify how well the employee has mastered the course objectives, where weak areas may exist and/or instruction should be improved, and how much repetition and reinforcement may be needed. Each objective in the course should be tested. The number of test items required per objective should be sufficient enough to ensure employees have mastered the content. Performance tests are graded tests administered in a controlled environment with certain conditions of performance and expected outcomes. A performance test may require a demonstration of a task, a procedure, or troubleshooting techniques.

(3) End-of-Course Critique. Process for collecting feedback from training participants to assess the overall effectiveness and/or efficiency of training.

(4) Validation of Course Material. The process for conducting validation consists of five steps: review of instructional materials, course walk-through, operational tryout, conduct of first class, and a written report.

(5) Review Instructional Materials. This review is to ensure that course documentation is complete and approved, technical content is accurate, the material is instructionally sound, and the materials conform to specified requirements, formats, and prescribed design.

(6) Conduct Course Walk-through. The course walk-through ensures that previous corrections and/or revisions have been made, instruction is sequenced logically, materials are consistent and of high quality, and any logistical problems are identified and resolved. The course is presented in its entirety, but at a faster than normal pace, so that SMEs, instructional system specialists, and instructors may observe the general flow of the course.

(7) Conduct Operational Tryout. The operational tryout locates and eliminates any remaining problems in the instruction. The course is delivered just as it would be for an actual target audience, except employees are provided an opportunity to comment on each lesson. Results of this assessment are compiled and examined to determine if the course met stated goals.

(8) Conduct First Class. Following the operational tryout and completion of necessary revisions, the course is delivered in its final form to the target audience. This verifies that all revisions have been made and the course delivery is effective.

(9) Write Course Report. This report is provided by the organization that delivers the first course to provide a summary of the results. The course report must be submitted to the Tech Ops Training and Dev Group. The Tech Ops Training and Dev Group must transmit a memorandum of acceptance or rejection of the training within 30 days of receipt of the course report. If the training is rejected, an explanation for the basis of rejection, and guidance on any action to be taken, must be provided. Both course report and memorandum of acceptance must be placed in the course file.

f. Implementation Phase. This is the actual delivery of instruction, including classroom, laboratory, CBI, ATN (formerly interactive video teletraining), correspondence, OJT, or any combination of these methods. This phase must promote the employee's understanding of material, support mastery of objectives, and support the transfer of knowledge to the job setting. This phase represents the final product, which is a completed course.

g. Evaluation Phase. This phase measures the effectiveness and efficiency of the instruction. The Tech Ops Training and Dev Group must conduct both formative and summative evaluations.

(1) Formative Evaluation. Formative evaluations are during and between phases and should include validation of instructional materials, course walk-through, operational tryout, and first class conduct. The purpose of this evaluation is to ensure technical accuracy, instructional soundness, and the accomplishment of course objectives

(2) Summative Evaluation. Summative evaluations occur after instruction is implemented to assess the overall effectiveness and/or efficiency of the instruction. The decision to continue the use of the instruction is based on the results of the summative evaluation.

6. Review of D&R Efforts. A review of D&R efforts will be conducted jointly by Tech Ops Training and Dev Group and Academy Tech Ops Training Div to determine the courses that need D&R and assign priorities to the results. At a minimum, this effort must take place prior to the Annual Call for Training. The review must include the following:

a. Joint Effort. Tech Ops Training and Dev Group program managers and Academy Tech Ops Training Div section managers will work jointly in identifying courses requiring D&R.

b. Prioritization. Prioritization of D&R must be done by a joint decision of Tech Ops Training and Dev Group and Academy Tech Ops Training Div

Figure 14-1. Instructions for Preparing FAA Curriculum Modernization System (CMS) Training Initiative Request (TIR)

1. Enter the project title.

2. Enter the date the form is submitted.

3. Enter the name, organization, address, and phone number of the initiator.

4. Write a brief description of the training need. Describe how the training will add to the efficiency of the employee and agency.

5. Check all the types of training that will be requested of the instructor.

6. Check all the reasons that apply as to why the course is needed.

7. If you answer "Yes" to this question, insert the course number if known and answer the questions below the course number.

8. List several reasons as to why this course is needed and how it will benefit the FAA.

9. Enter the source of funding if known. Please enter "None" if you do not know the source.

10. Indicate skills or knowledge, or training courses that an employee should have completed prior to attending the proposed training.

11. Identify the employee's position title, experience level, career level, or any other specifics that would describe which employee might need or benefit from the training.

12. Use this space to provide any other information or ideas that could help the CMS Team.

13. Form is sent to the CMS coordinator in AMA-405 who will forward the request to the Tech Ops Training and Dev Group for final approval signature.

Figure 14-2. Training Initiative Request (TIR)

Project Title:

1. Date: _____

2. Initiative Sponsor:

Name: _____ Organization: _____
Address: _____
Phone: (_____) / _____-_____

3. Brief description of proposed training need:
_____
_____
_____

4. Type of training requested *(Check all that apply)*:

___ Equipment theory
___ System theory
___ General overview
___ Job task/function
___ On-job-training
___ Troubleshooting procedures
___ Maintenance procedures
___ Other _____ _____

5. What necessitated the need for this training request (Check all that apply):

___ New tasking or job function
___ Maintenance Order/policy change(s)
___ Modification to existing equipment
___ Local/Regional training requirement
___ Deployment of new equipment/system
___ Emergency training requirement(s)
___ Outdated training
___ New Hire training requirement(s)
___ No existing training
___ Certification training
___ New training requirement(s)
___ Other_____

Comments:
_____
_____

Figure 14-2. Training Initiative Request (TIR) (Continued)

6. Does an Air Traffic Organization training course currently exist that covers similar topics?
(Check one) ___ Yes ___ No

Course number, if known: _____

If yes, why is this request necessary? What topics need to be added, or how does information need to be presented differently to meet the identified training need?
_____
_____

7. Benefit(s) that will be gained by your organization and/or Air Traffic Organization from this training *(Check all that apply)*:

___ Provide cross-training ___ Fill training void

___ New equipment/system ___ Other_____

What benefit will this training initiative provide that doesn't already exist?_____
_____

8. Development Funding Source: (If known, if not type NONE):
*Example Funding Sources: Program Office, Technical Operations Training and Development Group, Service Area, etc.*_____

9. Training prerequisites for the proposed course:_____

10. Target population for the proposed course *(who will benefit from this training, e.g., Technical Operations, Air Traffic, technicians, engineers, computer operators, ILS technicians. Be as specific a possible):*_____
_____

11. Other pertinent information:_____
_____
_____

Please return to the CMS Coordinator in AMA-405 who will forward the request to the Tech Ops Training and Dev Group for final approval signature.

Tech Ops Training and Development Group TIR Approval
Signature:_____ Date:_____
Comments:_____

Appendix 15. Certification Tracking System (CTS) Review Process

The Tech Ops Training and Dev Group will conduct monthly reviews of certifications entered into CTS Ver 1.0. The appropriate documents in existence at the time of the review will be used; these include:

- Current personnel certification directive
- Appendix 5, Air Traffic Organization (ATO) Personnel Certification Requirements in effect for the month/year the authority was granted/converted
- Requirements/examples document indicating required entries

Missing or incorrect entries will be documented in the report that will be provided to the field. The report will have the applicable cell highlighted in yellow. The CTS information will not be changed by the reviewer. Within the cell content, the reviewer may insert a note in a different font color from the CTS information entered by the PSS. The report will be sent to the Service Center for further dissemination to the PSSs who must correct the records if necessary.

Appendix 16. Collegiate Training Initiative (CTI) Program

The most recent version of the Technical Operations Collegiate Training Initiative (CTI) Desk Guide is located on FIST and available for review and downloading by accessing Policies and Procedures > Order 3000.57 Appendix 16.

Appendix 17. Item Identifications (IDs) – Numbering Scheme

1. Item Identification System.

All recurring items conducted or arranged by the FAA will be assigned standardized identifiers (ID). All item IDs created prior to fiscal year 2007 began with "FAA" and had five digits following (no hyphens). All item IDs created and offered during and after fiscal year 2007 must begin with "FAA" and have eight digits following (no hyphens). An example of an eight-digit item ID is: **FAA00000601**. **Note:** No eight-digit item ID should be created that ends in "000" as this will cause confusion with the previous five-digit items.

The breakout below lists Item ID blocks that have already been assigned to various FAA organizations. If an item is being created and an item ID is needed, contact the primary level 1 eLMS administrator for the appropriate line-of-business. Please note that the primary level 1 eLMS administrator may have further broken down the numbers range for the line-of-business.

FAA National Item Identification System (eight digits)

Category	*Owner* (assigns & maintains numbers)	Range
ACADEMY/CMEL	AMA	00000001 – 19999999
Aviation Safety (AVS)	AVS	20000001 – 29999999
Office of Assistant Administrator for Regions and Center Operations (ARC)	ARC	30000001 – 30199999
Office of Human Resource Management (AHR) includes smaller LOBs FAA-wide (e.g. Ethics, SAVI)	AHR (AHR is responsible for providing numbers to the smaller LOBs)	30200001 – 35999999
Non-DOT Government	ALL **(For these courses, i.e. NTSB courses, organizations are required to search for the next number in this sequence – thereby forcing them to verify that there is not already an item out there for this training)**	36000001 – 39999999
ATO	ATO Tech Ops Technical Courses AT Technical Courses	40000001 – 69999999 40000001 – 49999999 50000001 – 59999999

	Tech Ops Technical Exams	88000001 – 89999999
Security	Security and Hazardous Materials (ASH)	70000001 – 79999999
Reserved for future use		80000001 – 87999999 90000001 – 99999999

Note: Item numbers for TSI and CAMI will be decided between the Academy and AVS.

2. Listed below are the item IDs for the different types of training conducted for the technical operations workforce:

a. Resident Training. Course numbers: 40000001-43999999.

b. Correspondence Study. Course numbers: 44000001-4499999.

c. OJT/Field-Conducted Training. Course numbers: 45000001-4599999.

d. OAT. Course numbers: 46000001-4699999 and 48000001-4999999.

e. Government OAT. Course numbers: 46000001-4699999. This refers to courses conducted by Federal Government agencies other than FAA.

f. Non-Government OAT. Course numbers: 48000001-4999999. This refers to training conducted by a non-Federally employed person or persons, or under the sponsorship or auspices of a non-Federal organization, including state and local Government agencies, or public or private companies, associations, foundations, etc.

g. CBI. Course numbers: 47000001-4799999.

h. LACT. Technical Operations item number lengths were expanded in eLMS to accommodate the lack of available local item numbers. The Item ID field was increased to eight digits. The following series was assigned to the Technical Training and Development Group, the Tech Ops Training and Dev Group, and the Service Centers for Technical Operations items (The Tech Ops Training and Dev Group establishes item IDs for locally developed OJT and performance examinations and identifies them in Appendix 5, Air Traffic Organization (ATO) Personnel Certification Requirements. These numbers must be used by the PSSs to record eLMS completions for locally developed OJT and performance examinations.):

(1) FAA49400001 – FAA49699999 Tech Ops Training and Dev Group

(2) FAA49700001 – FAA49799999 Eastern Service Area

(3) FAA49800001 – FAA 49899999 Central Service Area

(4) FAA49900001 – FAA49999999 Western Service Area

3. Guidance:

a. Only training events related to the employee's job or related to the FAA in any manner would be allowed as in the past. This would be a judgment call by the Service Center.

b. Before creating an item number, search the eLMS first (both active and inactive items) to ensure that the item (or similar one) does not already exist.

c. Item numbers should only be assigned to those locally purchased courses that do not have national numbers. Item numbers should be created for items that will be offered multiple times for multiple people. If there are items that are common to each Service Area the Tech Ops Training and Dev Group will assign an item number. This will ensure that when a query is run to report on the item information, it will be consistent across the Service Areas.

d. For those courses that will be offered only once to one or two people, follow the existing eLMS procedures listed in Chapter 8, Recording and Managing Learning Events, in the eLMS Administrator Resource Guide version two dated November 2007.

e. Following a standard numbering scheme will allow for reporting capability nationally. To ensure conformity, the following procedures will be used in assigning new course numbers within each Service Area (this example references the Eastern Service Area):

(1) The first three digits of the item ID will start with "497" for the ESA.

(2) The fourth digit of the item ID will be assigned as follows:

1 = Managers/Supervisors (training specifically for those positions)

2 = Administrative (secretarial/office skills) or other Management and General type not covered under item 1 above.

3 = Logistics (Acquisition)

4 = Technical (as defined by the line of business) (follows ATO scheme)

5 = Security

6 = Environmental/EOSH (safety)

7 = EEO Program/Ethics/Cultural...

8 = Locally developed PEXAM (item type must be "Exam")

9 = Reserved

Appendix 18. Acronyms

AHR	Office of Human Resource Management
AIP	Airport Improvement Program
AJS-0	Air Traffic Organization Safety Services
AJW-1	Safety and Operations Support Office
AMA	Academy
AOV	Aviation Safety, Air Traffic Safety Oversight
ARC	Office of Assistant Administrator for Regions and Center Operations
ARTCC	Air Route Traffic Control Center
ASH	Security and Hazardous Materials
ASIS	Academy Student Information System
AT	Air Traffic
ATC	Air Traffic Control
ATN	Aviation Training Network
ATO	Air Traffic Organization
AJA	Air Traffic Organization – Acquisition and Business Services
ATO-C	Air Traffic Organization – Communications
AJE	Air Traffic Organization – En Route and Oceanic Services
AJF	Air Traffic Organization – Finance
AJG	Air Traffic Organization – Strategy and Performance
AJL	Air Traffic Organization – Technical Training
AJR	Air Traffic Organization – System Operations Services
AJS	Air Traffic Organization - Safety

AJT	Air Traffic Organization – Terminal Services
AJW	Air Traffic Organization – Technical Operations Services
ATSS	Airway Transportation Systems Specialist
AVS	Aviation Safety
AWOS	Automated Weather Observing System
AWSS	Automated Weather Sensor System
A1	Training Priority - Attrition Training
A2	Training Priority – Operational Training
BIT	Basic Instructor Training
CBI	Computer Based Instruction
CDG	Course Design Guide
CEGS	Capture Effect Glideslope
CFR	Code of Federal Regulations
CMEL	Center for Management and Executive Leadership
CMRIS	Comprehensive Management Resource Information System
CMS	Curriculum Modernization System
CO	Contracting Officer
CPA	Certified Public Accountant
CPDS	Critical Power Distribution System
CSA	Central Service Area
CTI	College Training Initiative
CTS	Certification Tracking System

DO	District Office
DoP	Demonstration of Proficiency
DOT	Department of Transportation
DL	Distance Learning
DME	Distance Measuring Equipment
ECC	Examination Control Center
EHOT	Enhanced Hands-On Training
eLMS	Electronic Learning Management System
EOSH	Environmental, Occupational Safety and Health
ESA	Eastern Service Area
E1	Training Priority – New Equipment
FAA	Federal Aviation Administration
FAC	Facility
FAR	Federal Aviation Regulations
FCC	Federal Communications Commission
FIC	Facility Identification Code
FEDS	FAA Electronic Document System
FIST	FAA Information Superhighway for Training
FRD	Federal Reference Data
FSDO	Flight Standards District Office
FSEP	Facility, Service and Equipment Profile
GNAS	General National Airspace System
HRPM	Human Resources Personnel Manual

ID	Identification
IFR	Instrument Flight Rules
IG	Instructor Guide
ILS	Instrument Landing System
JTA	Job Task Analysis
LACT	Locally Arranged and/or Conducted Training
LG	Laboratory Guide
LOB	Line of Business
LOC	Limiting Oxygen Concentration
LP	Lesson Plan
MASS	Maintenance Automation System Software
MCSE	Microsoft Certified System Engineer
MMS	Maintenance Management System
NARA	National Archives and Records Administration
NAS	National Airspace System
NM	Northwest Mountain
OAT	Out-of-Agency Training
OCC	Operations Control Center
OCRF	Official Certification Record File
ODP	Opportunity to Demonstrate Performance
OE	Operationally Essential Training
OEP	Operational Evolution Plan

OJT	On-the-Job Training
OPM	Office of Personnel Management
PCS	Power Conditioning System
PE	Performance Examination
POG	Program Operations Group
PSC	Program Support Center
PSS	Program Support Specialist
QMT	Quota Management Tool
RMM	Remote Maintenance Monitoring
SG	Student Guide
SME	Subject Matter Expert
SOP	Standard Operating Procedure
SSC	System Support Center
TASA	Task and Skills Analysis
TDP	Training Development Plan
TI	Technical Instruction Book
TIB	Technical Instruction Book
TIR	Training Initiative Request
TNA	Training Needs Assessment
TPMO	Training Program Management Officer
TPR	Technical Performance Record
TSOG	Technical Service Operations Group
VASI	Visual Approach Slope Indicator

VHF	Very High Frequency
VOR	Omnidirectional Range
WP	Western Pacific
WSA	Western Service Area

Appendix 19. Definitions

Annually. A scheduling term meaning once every year within an 11 to 13 month interval.

Certification/Verification Authority. Substantiation that an individual possesses the minimum skills necessary to certify or verify a given type of system, subsystem, or service. For the purpose of this order, the terms "certification" and "verification" are synonymous for FAA technical specialists and non-Federal technicians. The term "certification" applies in the same manner to FAA personnel maintaining FAA facilities as the term "verification" applies to non-Federal personnel maintaining non-Federal facilities.

Competency. A collection of characteristics including knowledge, skills, abilities, traits, and behaviors that individuals must exhibit to successfully perform their job.

Comprehensive Management Resource Information Systems (CMRIS). Hardware and software, including databases, owned by the FAA and maintained by a contractor that provide automated systems to identify training requirements, manage quota, and manage the personnel certification program.

Demonstration of Proficiency (DoP). An examination, administered at the FAA Academy or out-of-agency location following successful completion of a theory-of-operations course that is designed using the Enhanced Hands-On Training. The demonstration consists of one or more troubleshooting problems, a difficult preventative maintenance task (or more than one if none are difficult), and a written examination on the applicable maintenance handbooks and certification parameters (including procedures and intervals). Between graded laboratory exercises in the course and the demonstration of proficiency, most key performance parameters and all certification parameters will be tested. It is administered by an FAA employee holding certification authority for the specific system, subsystem, equipment or service.

Electronic Learning Management System (eLMS). The Department for Transportation system for tracking training that serves as the official database containing employees training histories. All training courses, OJT, performance examinations, and demonstrations of proficiency will be entered into eLMS.

Enhanced Hands-On Training (EHOT). EHOT is an integral part of some residents training. An EHOT course contains the normal theory-of-operations instruction and additional material to develop the skills and knowledge to maintain and certify a system, subsystem or service. An EHOT course takes the place of both the theory-of-operations and the OJT requirement for attainment of personnel certification authority.

FAA Information Superhighway for Training (FIST). FAA Intranet website maintained by the Academy Tech Ops Training Division that contains Technical Operations training and certification program information.

Field-Conducted Training. Training conducted in the field by Academy Tech Ops Training Division Instructors or field personnel, which has been nationally approved.

Field Organization. For the purposes of this order, field organization is a generic term that refers to the ATO organization below the organization using the term.

First-Level Manager. Provide first-level supervision to subordinate employees and manage the activities of one operating unit, project, or program area.

Fixed-Schedule Training. This type of training has a schedule established by the training provider.

Knowledge Review Quiz. A quiz that provides an individual the opportunity to refresh his/her knowledge of a particular subject. It consists of questions and answers as well as an explanation of the correct answer after the response is selected. A knowledge review quiz is not for credit and requires no enrollment or completion documentation.

Locally Arranged and/or Conducted Training (LACT). Training which is necessary for a specific and localized need. This training may be supplemental, site specific or urgently needed training courses. This may be locally funded or nationally funded through a LACT allocation.

Non-Federal Facility. Public use facilities not owned by the U.S. Government that have been approved for Instrument Flight Rules (IFR) in the NAS.

Non-Federal Sponsor. The owner of a non-Federal facility.

Non-Federal Technician. A technical person employed by a non-Federal sponsor to maintain and verify a non-Federal facility.

Official Certification Record File (OCRF). The OCRF consists of both paper records and electronic records. It contains the documentation that substantiates the technical specialist's qualifications to possess certification authority on a specific system, subsystem, or service.

Personnel Certification. Confirmation that the individual possesses the requisite minimum knowledge and skills to determine the operational status of a system, subsystem, or service.

Program Support Specialist (PSS). See training specialist.

Second-Level Manager. Refers to the second-level management or supervision in an organization. The individual that the first-level manager reports to. In the case of a District, the second-level may the District manager or an individual below the District manager and above the first-level manager.

Self-Paced Training. This type of training has a flexible schedule.

Service Center Training Program Management Officer (TPMO). Provides overall management and oversight of the technical training program for ATO field Service Area organizations.

System, Subsystem, or Service Certification. The determination and validation that a system(s), subsystem(s), or service is providing or is capable of providing the advertised service to the user.

Technical Specialists. A generic title that includes, but is not limited to, electronic technicians, Airway Transportation System Specialists (ATSS), engineering technicians, maintenance mechanics, environmental support technicians, engineers, and non-Federal technicians.

Theory-of-Operations. The principles of equipment operation, periodic and corrective maintenance, and troubleshooting for NAS systems, subsystems, and services.

Training Program Management Officer (TPMO). See Service Center Training Program Management Officer (TPMO).

Training Provider. Organization, agency or person that is responsible for the direct oversight and management of a technical training course. Examples include: The Academy Tech Ops Training Division, site administrators, proctors, out-of-agency contractors and locally arranged and/or conducted training administrators.

Training Specialist. Responsible for implementation and administration of the technical training and certification programs at the field organization level. This is typically a Program Support Specialist (PSS).

Waiver. A waiver is the deferment of a prerequisite requirement, which allows the technical specialist to attend one specific course or class.

Written Formal Program. A program specified by this order to be used when an individual has failed a theory-of-operations bypass examination, a performance examination, an OJT course, or has had certification authority revoked. The program may be an Opportunity to Demonstrate Performance (ODP) but is not required to be. The written formal program must list the areas of deficiencies, recommend study areas, itemize training requirements, establish a schedule for completion and identify instructor and method of documenting training.

Appendix 20. Websites and Related Publications

This appendix will provide links for websites and related publications as follows:

1. Comprehensive Management Resource Information System (CMRIS) is accessed at http://cmris.faa.gov/ through the FAA Intranet. The following applications and documents are available in CRMIS:

a. Certification Tracking System (CTS) tool

b. Quota Management Tool (QMT)

c. Requirements Identification Tool (RIT)

d. CMRIS User Guides. User guides for the basic Comprehensive Management Resource Information System (CMRIS), the Certification Tracking System (CTS) tool, Quota Management Tool (QMT), and the Requirements Identification Tool (RIT) are available.

2. The Department of Transportation (DOT) electronic Learning Management System (eLMS) can be accessed at: https://elms.dot.gov.

3. The FAA Information Superhighway for Training (FIST) can be accessed at http://fist.faa.gov/ through the FAA Intranet.

4. Academy Student Information System (ASIS) at http://academynet.faa.gov/asis/

5. FAA Academy's Technical Operations Distance Learning On-line Tool at http://www.academy.faa.gov/distancelearning

6. FAA Electronic Document System (FEDS) can be accessed at: http://feds.faa.gov.

7. FAA Order 3000.22, Air Traffic Service Training may be viewed or downloaded from the FAA Employee Site at https://employees.faa.gov/tools_resources/orders_notices

8. FAA Order 6000.15E, General Maintenance Handbook for National Airspace System (NAS) Facilities may be viewed or downloaded from the FAA Employee Site at https://employees.faa.gov/tools_resources/orders_notices