**APPLICATION FOR MIXED OR BASELINE EVIDENCE BASED TRAINING PROGRAM APPROVAL/**

**COMPLIANCE CHECKLIST**

This form is designed to elicit all the required information from those operators requiring MIXED EVIDENCE BASED TRAINING program approval. The completed form and supporting documentation should be submitted to Civil Aviation Agency of Latvia at least 30 days before the intended start date of operation at the address listed below:

Biroju street 10, Airport “Riga”, Mārupes district, LV-1053, Latvia

Phone +371 67830936,

Fax +371 67830967,

E-mail: caa@caa.gov.lv

Section I Operator/applicability (completion is mandatory)

Section II Notes for completion

Section III Signature (completion is mandatory)

Section IV Operator’s submissions matrix (completion is mandatory)

**SECTION I – OPERATOR/AIRFRAME DETAILS**

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| 1. **Applicant details**
 |
| Provide official name, address, mailing address, e-mail address and contact telephone/facsimile numbers.**Click here to enter text.** |

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| 1. **Applicability**
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| Aircraft type  | Aircraft generation  | FSTD used  | Types of training applied for mixed EBT  | Types of checks applied for mixed EBT  |
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**SECTION II – NOTES FOR COMPLETION**

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| 1. **Applicability**
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| A description of the intended operation with references to appropriate requirements: Click here to enter text. |
| 1. **Operator’s submissions matrix**
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| Section IV of this application form is the operator’s submissions matrix A&B. All applicants should complete this matrix in full. If more than one type of aircraft/fleet is included in a single application a completed matrix should be included for each aircraft/fleet.Failure to complete the submissions matrix may result in a delay in processing the application.  |
| 1. **Documents to be included with the submission**
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| Copies of all documents referred to in the operator’s submissions matrix A&B should be included when returning the completed application form to the Civil Aviation Agency of Latvia. Original documents should not be sent; photocopies are sufficient. Do not send complete manuals, only the relevant sections/pages.Failure to include all relevant documentation may result in a delay in processing the application.  |
| 1. **Submissions and enquiries**
 |
| Address for submissions and contact details for enquiries:Biroju street 10, Airport “Rīga”, Mārupes destrict, LV-1053, Latvia Phone +371 67830936, Fax +371 67830967, E-mail: caa@caa.gov.lv |

**SECTION III – SIGNATURE**

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| Signature: Name: **Click here to enter text.**Title: **Click here to enter text.**Date: **Click here to enter text.** |

**SECTION IV – OPERATOR’S SUBMISSIONS MATRIX A**

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| **Ref:**  | **EU or ICAO Reference**  | **Chapters**  | **Details of the provision/ Training requirements** | **Operator’s reference to controlled document and its chapter** | **CAA Inspector’s comments & follow-up *(****accepted / not accepted / status & date)* |
| 1.0  | Expl. Note to ED Decision 2015/027/R  Reg. (EU) 2020/2036; ED Decision 2021/002/R & 2021/002/R  |  | Development and implementation of EBT program in accordance with provision set out in ICAO Doc 9995 or in Annex I b to EASA Opinion No 08/2019.   |  |  |
| 1.1  | ICAO Doc 9995  Explanatory Note to ED Decision 2015/027/R  ED Decision 2021/002/R  |  | Applicability. Aircraft and its generation and FSTD used.Types of checks (for example - License and Operator Proficiency Checks), types of training (for example-recurrent) to be applied.   |  |   |
| 1.2  | ICAO Doc 9995 Expl. Note to ED Decision 2015/027/R  ED Decision 2021/002/R and Explanatory Note to the ED Decision 2021/002/R, Reg (EU) 2020/2036 and Reg (EU) 2020/2193.  |  | Development or adoption of a system of core competencies. The set of competencies contained in Appendix 1 to Part II Doc.9995 or EASA Opinion 08/2019 Appendix to the Opinion, AMC1 ORO.FC.231(b). Framework of competencies, competency descriptions and related behavioral indicators, encompassing the technical and non-technical knowledge, skills and attitudes to operate safely, effectively and efficiently in a commercial air transport environment. Operators competency system, which should list observable behavioral indicators, meeting their specific needs and including a comprehensive set of technical and non-technical knowledge, skills and attitudes.  |  |  |
| 1.3  | ICAO Doc 9995  |  | Availability of information to pilots regarding EBT principles, methodology and the set of competencies to demonstrate, including performance indicators (EBT pilot handbook).  |  |  |
| 1.4 | ICAO Doc 9995  Regulation (EU) 2020/2036.  |  | Definition of an implementation and operations plan. A safety risk assessment. The plan may include a plan to return to legacy training if the implementation of mixed EBT is cancelled.  |  |  |
| 2.0  | ICAO Doc 9995  Explanatory Note to ED Decision 2015/027/R  Regulation EU) 2020/2036 and Expl. Note to the ED Decision 2021/002/R, Reg (EU) 2020/2036 and Reg (EU) 2020/2193.  |  | Instructor training and standardization. Instructor practical training reinforcing application of the assessment and grading system and maximizing instructor concordance (inter-rater reliability). Instructor and examiner competency assessments for EBT.  |  |  |
| 2.1  | ICAO Doc 9995  Expl. Note to ED Decision 2015/027/R Regulation (EU) 2020/2036. and Expl. Note to the ED Decision 2021/002/R, Reg (EU) 2020/2036 and Reg (EU) 2020/2193.  |  | Instructor concordance, which consists of: ‘ 1. Instructor training based on an initial instructor standardisation and annual instructor standardisation;
2. Grading Data analysis to determine if all the elements of the EBT system are working correctly, e.g. some instructors may not be grading properly, or one competency found difficult to grade…etc. The root cause and provide mitigation measures e.g. instructor training, improve procedures…etc;
3. Good grading guidance to help the instructor in the duty of grading.

**Note**: *This item will be required for EBT baseline. Not required to start EBT Mixed implementation (except instructor training which is required before starting EBT mixed). A functional system should be established during EBT mixed.* |  |  |
| 3.0  | ICAO Doc 9995 Chapter  Annex I to ED Decision 2015/027/R Explanatory Note to Decision 2015/027/R AMC1.ORO.FC.230 Regulation (EU) 2020/2036 and Explanatory Note to the ED Decision 2021/002/R, Reg (EU) 2020/2036 and Reg (EU) 2020/2193.  |   | Equivalency of malfunctions (Malfunction clustering). Malfunction characteristics should be considered in isolation from any environmental or operational context. 1. Development and use of malfunction clusters;
2. Analysis of aircraft malfunctions and their use in the EBT program;
3. List of all aircraft malfunctions;
4. Retain in the list only malfunctions that place a significant demand on a proficient crew in isolation from any environmental or operational context;
5. Groups of malfunctions based on 5 characteristics: Immediacy, Complexity, Degradation of control, Loss of instrumentation; Management of consequences;
6. EBT FSTD program to incorporate malfunctions at the frequency specified in the table of assessment and training topics (AMC 2 to AMC6ORO.FC.232 or Appendix 2 to 6 in ICAO Doc.9995).

**Note**: *This item is not required for EBT mixed. The operator may train and check the same malfunction approved in the traditional training and checking program. Malfunction clustering is fully required in EBT Baseline.* |  |  |
| 3.1 | ICAO Doc 9995  Regulation (EU) 2020/2036 and Explanatory Note to the ED Decision 2021/002/R, Reg (EU) 2020/2036 and Reg (EU) 2020/2193.  |  | Equivalency of Approaches (approach clustering). Selection of approaches for scenario-based training. Equivalent groups of approaches.**Note:** *This item is not required in EBT mixed. The operator may train and check the same approaches approved in the traditional program.* |  |  |
| 4.0 | ED Decision 2015/027/R GM1 ORO.FC.230(a);(b);(f)  Regulation (EU) 2020/2036 and Expl. Note to the ED Decision 2021/002/R, Reg (EU) 2020/2036 and Reg (EU) 2020/2193. |  | EBT Modules The EBT modules in a mixed implementation of EBT consist of: 1. Evaluation phase;
2. Maneuvers validation phase;

3. Scenario-based training phase. How the EBT modules and its phases are distributed throughout the simulator program. |  |  |
| 4.1  | ICAO Doc 9995 ED Decision 2021/002/R and Explanatory Note to the ED Decision 2021/002/R, Reg (EU) 2020/2036 and Reg (EU) 2020/2193. |  | Selection and adaptation of the scenarios defined in Appendices 2 to 6 ICAO Doc 9995 or AMC2 to AMC6 ORO.FC.232 in Annex I b to EASA Opinion No 08/2019 according to the generation of aircraft (fleet) and type of operation. Distribution of training topics listed as A, B and C over the 3-year period.  |  |  |
| 4.2 | ICAO Doc 9995   GM1 ORO.FC.230(a);(b);(f)  Regulation (EU) 2020/2036  AMC1 ORO.FC.115 |  | Program design. EBT program design. As a minimum the program design should provide the following: 1. LPC and OPC elements are included in the mixed EBT program;
2. Training topics and frequencies are correctly included;

3. There is a reasonable contextualization of the example scenarios based on the real operation performed by the operator and feedback from the SMS; 4. That data provided by the EBT system is used to design the EBT program. The system (including procedures) to design the EBT program which includes how the selection of the example scenarios is done and how the operator contextualizes those example scenarios.**Note**: *Element 1 and 2 are required to start mixed EBT. Elements 3 and 4 are NOT required at the start of EBT Mixed. However, a functional system (elements 1 to 4) should be established within 2 year of EBT mixed in order to ensure full compliance for EBT baseline.* |  |  |
| 4.3 | Part-FCL Appendix 9 GM1 ORO.FC. 230 |  | Compliance with Part-FCL and Part ORO.FC.230 (ORO.FC.A.245 for ATQP), according to the methodology described in the GM. The validity of LPC and OPC remains the same as traditional training and checking. FCL.740 and ORO.FC.230 (ORO.FC.A.245 for ATQP) fully applies. For this purposed compliance checklist ‘FCL-OPS items’ objectives during an LPC-OPC check’ should be attached. |  |  |
| 4.4 | Regulation (EU) 2020/2036  ED Decision 2021/002/R and Explanatory Note to the ED Decision 2021/002/R, Reg (EU) 2020/2036 and Reg (EU) 2020/2193. |  | Contingency procedures for unforeseen factors which may affect the delivery of the EBT program: contingency procedures when crews are unable to perform the planned module; this should include: 1. short-term unavailability (e.g. Broken simulator during

the execution of a module, or just before starting a module, last minutes sickness of crew …etc.); 1. long-term unavailability (e.g. long-term sick of crew, pregnancy…etc.,) and the procedures to re-instate the crew into the program.

**Note:** *This item will be required for EBT baseline. Not required for EBT Mixed implementation.* |  |  |
| 4.5 | ICAO Doc 9995  Explanatory Note to Decision 2015/027/R  Regulation (EU) 2020/2036  ED Decision 2021/002/R and Explanatory Note to the ED Decision 2021/002/R, Reg (EU) 2020/2036 and Reg (EU) 2020/2193.  |  | Assessment and grading system. Defined behavioral indicators. Point on the scale that indicates minimum acceptable performance. Actions taken when any competency observed below the minimum. Reflection of Achievements of the minimum defined competency levels in the Evaluation Phase and maneuvers Validation phase in a pass for the Operator or License Proficiency Check. |  |  |
| 4.6  | Regulation (EU) 2020/2036  ED Decision 2021/002/R |  | Reflection of Remedial training in grading system.Compliance with the requirement that the training analysis performed by the instructors may allow remediation tailored to the pilot. Compliance of Remedial training with provision set out in AMC4 ORO.FC.231(d)(1) that may form the basis of a proper approach to remedial training. |  |  |
| 5.0  | ICAO Doc 9995     Regulation (EU) 2020/2036  ED Decision 2021/002/R |  | Performance feedback system. The program should be reviewed periodically based on the data obtained in the EBT program (e.g. grading of the pilots, feedback from instructors and pilots, deficiencies found in one or more competencies. It should also take into account the revised internationally available EBT data and any recommendations to training topic prioritization. |  |  |
| Quality management within the training system performance. The training system performance should be measured and evaluated in respect of the organizational objectives. Monitoring should include a feedback system to identify trends and ensure corrective action where necessary. The operator should be able to monitor training system effectiveness and determine adjustments to the EBT program where necessary.**Note:** *This item will be required for EBT baseline. Not required for EBT Mixed.*  |  |
| 5.1 | Regulation (EU) 2020/2036  ED Decision 2021/002/R |  | Verification of the accuracy of the grading system: mixed implementation offers a valuable opportunity to trim the accuracy of the grading system when pilot is assessed. As data from the EBT grading system and every year’s LPC may be compared. As a minimum, the operator should compare the rates of pilots graded 1 or 2 and LPCs failures, or marginal pass are consistent. When a discrepancy is found a route cause is necessary, the mismatch may indicate that instructors are grading too high in EBT (LPCs failure rate or marginal pass is much higher than the rate of 1 or 2 in EBT) or too low in EBT (LPCs failure rate or marginal pass rate is much lower than the rate of 1 or 2 in EBT), however other route causes may be the reason for this mismatch (e.g. the EBT program has a lower/higher level of difficulty than the regular LPC difficulty). **Note:** *This item will be required for EBT baseline. Not required for EBT Mixed implementation. However, to move from a mixed EBT to EBT baseline, it is required to demonstrate good accuracy of the grading system.* |  |  |

**SECTION IV – OPERATOR’S SUBMISSIONS MATRIX B**

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| --- | --- | --- | --- |
| **CRM training elements**  | **Operational** **environment**  | **Non - operational** **environment**  | **Means of compliance**  |
| Automation and philosophy on use of automation  |  |  |  |
| Case study |  |  |  |
| Human factors in aviation  |  |  |  |
| General instructions on CRM principles and objectives |  |  |  |
| Human performance and limitations  |  |  |  |
| Personality awareness, human error and reliability, attitudes and behaviours, self-assessment and self-critique  |  |  |  |
| Fatigue and vigilance |  |  |  |
| Stress and stress management |  |  |  |
| Cultural differences |  |  |  |
| Operator’s safety culture and company culture, standard operating procedures (SOPs) organisational factors, factors linked to the type of operations |  |  |  |
| Threat and error management |  |  |  |
| Assertiveness, situation awareness, information acquisition and processing  |  |  |  |
| Specific type-related differences  |  |  |  |
| Monitoring and intervention |  |  |  |
| Shared situation awareness, shared information acquisition and processing |  |  |  |
| Workload management |  |  |  |
| Effective communication and coordination inside and outside the flight crew compartment |  |  |  |
| Leadership, cooperation, synergy, delegation, decision -making, actions |  |  |  |
| Resilience development |  |  |  |
| Surprise and startle effect |  |  |  |
| Effective communication and coordination with other operational personnel and ground services |  |  |  |