Federal Department of the Environment, Transport, Energy and Communications DETEC

Federal Office of Civil Aviation FOCA
Safety Division - Flight Operations

Schweizerische Eidgenossenschaft
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Swiss Confederation

Checklist DG CBTA Training Programme (Non-Operator Entities)

Checklist for Dangerous Goods Training programme (Competency-based Training and Assessment, CBTA)
Legal ref.: OATr (CC 748.411) (revision ongoing) and ICAO TIs (Doc 9284) – Part 1;4

This checklist is intended **for entities "other than operator"** to check and document compliance.
FOCA will verify the information required in this checklist upon surveillance activities.

Organisation *Name of the Organisation, address and location*	
Contact person *Title, e-mail and phone no.*	
FOCA declaration no. *(if applicable)*	

Ref.	Training programme elements *Legal reference*	Additional instruction *Further explanations*	Reference to supporting documentation *Guidance material*	Training programme reference *Paragraphs/sections*	FOCA comments
1	**Result of training needs analysis** *Legal ref.: OATr (CC 748.411) Art. 16 b*				
1.1	CBTA training program must include a result of training needs analysis with following **2 elements**: 1. **Tasks and involved personnel**	a) **Identify and describe all functions/tasks*** ensuring that DG are prepared in accordance with the regulations ** performed by the personnel of the company and the personnel of its contractors* b) **Identify of all personnel** performing these tasks and assignment of these personnel **to a role**	• *Appendix 1 (in this document)* • *FOCA GM/INFO DG CBTA* • *FOCA Functions list, Training needs & Type of training* • *ICAO GM Doc. 10147, Chapter 2; 2.3.2 / 2.3.2.2*	If appendix 1 is duly completed, this section may be left blank.	

ADMINISTRATIVE INFORMATION – FOR FOCA ONLY

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1.2	2. **Training specifications**	a)	For **each defined role** the training specifications must contain: ➢ Competencies required ➢ Particularities of involved personnel ➢ Objective of training	• *Appendix 2 (in this document)* • *FOCA GM/INFO DG CBTA* • *ICAO GM Doc. 10147, Chapter 2; 2.3.2 / 2.3.2.2*	If appendix 2 is duly completed, this section may be left blank.	
2	**Training plan** *Legal ref.: OATr (CC 748.411) Art. 16 b/c*					
2.1	CBTA training program must include the training plan, which covers **for each defined role** and training event (initial / recurrent) a description of the following subjects: ➢ Syllabi ➢ Lesson plans ➢ Training types ➢ Instructor(s)	It must provide a clear understanding of the training process, and must cover for each defined role and training event (initial / recurrent), at least below elements with the corresponding descriptions 1. Syllabi All topics required to achieve the training objectives must be coved 2. Lesson plans Schedules must be plausible 3. Training types Types and methods must be appropriate *(acc. to IT and language competencies of the participants, infrastructure, number of participants, etc.)* 4. Instructor(s)	• *Appendix 3 (in this document)* • *FOCA GM/INFO DG CBTA* • *ICAO GM Doc. 10147, Chapter 2; 2.2.1 d) / 2.3.3.4*	If appendix 3 is duly completed, this section may be left blank.	

3	**Assessment plan** *Legal ref.: OATr (CC 748.411) Art. 16 b/c*				
3.1	CBTA training program must include the **assessment plan**	It must provide a clear understanding of the whole assessment process, and contains, **for each defined role** and training event (initial / recurrent), the description of a) Assessment types b) Assessment scheduling c) Assessment procedures d) Assessor(s)	• *Appendix 4 (in this document)* • *FOCA GM/INFO DG CBTA* • *ICAO GM Doc. 10147, Chapter 2; 2.2.1 c) & e) / 2.3.3.3 / 2.3.5*	If appendix 4 is duly completed, this section may be left blank.	
4	**Continuous assessment plan / Evaluation of the effectiveness of the training and assessment programme** *Legal ref.: OATr (CC 748.411) Art. 16 b/c*				
4.1	CBTA training program must include a **continuous assessment plan**	a) Description of the continuous assessment procedure and types b) Description of procedure/process ensuring the analysis of the results of the continuous assessment and the implementation of changes/improvements c) Assessor(s)	• *Appendix 5 (in this document)* • *FOCA GM/INFO DG CBTA* • *ICAO GM Doc. 10147, Chapter 2; 2.2.1 c) & e) / 2.3.3.3 / 2.3.5*	If appendix 5 is duly completed, this section may be left blank.	

5	**Training Records** *Legal ref.: ICAO TIs (Doc 9284) – Part 1;4.4*				
5.1	CBTA training program must include a description of the **training records**	Following elements are required: a) The individual's name b) The month of completion of the most recent training and assessment c) The validity of the qualification d) A description, copy or reference to training and assessment materials used e) The competencies that have been acquired f) The identification of instructors and assessors g) Evidence, which shows that the personnel have been assessed as competent.	• *FOCA GM/INFO DG CBTA*		
5.2	Training and assessment records must be retained for a minimum period of 36 months	The statement of document retention must be included.			

We hereby confirm, that
- **all functions/tasks aimed at ensuring that dangerous goods are transported in accordance with ICAO Annex 18 have been identified and**
- **that all personnel performing these functions/tasks have been identified and assigned to the appropriate role(s).**

Date:

Company name: **Name and signature Responsible for the training programme:**

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Appendix 1 – Analysis Tasks and Personnel

This table is applicable to entities "other than operators" and it aims at identifying and documenting the analysis of
-   the functions/tasks ensuring that dangerous goods are transported in accordance with the regulations and
-   of all personnel performing these functions/tasks.

In order to be able to organize and coordinate the trainings within the company, each involved personnel * should be assigned to a so-called role:
-   a role consists of a compilation of functions/tasks performed by one or more personnel.
-   all personnel assigned to the same role perform the same (or at least similar) functions/tasks and have the same particularities.
-   to facilitate training coordination and avoid double-trained topics, each involved personnel should be assigned only to one role.

(see also document "FOCA GM/INFO DG CBTA", which can be found on the FOCA webpage – DEU / FRA / ITA)

* For functions/tasks performed by another organization, it must be ensure that the involved personnel of the contractors are trained according to the applicable requirements and that the specificities of the organization are taken into consideration.

Functions/Tasks ensuring that DG are transported in accordance with the regulations This list is not exhaustive and must be completed by the employer, if needed.	Role or name of the employee Please name the roles or insert name of the employee identified and tick the boxes related to the functions/tasks performed.										If a task/function is not covered by any role, please explain (for example: not applicable to the company's operations or function/task subcontracted to…, etc.)	FOCA comments
	…	…	…	…	…	…	…	…	…	…		
MANAGEMENT/ORGANISATION PERSONNEL												
Airports: personnel in charge of Safety and Security												
Personnel in charge of establishing and maintaining the DG training programme (e.g. training needs analysis etc.)												
Personnel in charge of auditing DG topics												
Personnel in charge of collecting safety data												

Functions/Tasks ensuring that DG are transported in accordance with the regulations This list is not exhaustive and must be completed by the employer, if needed.	Role or name of the employee Please name the roles or insert name of the employee identified and tick the boxes related to the functions/tasks performed.										If a task/function is not covered by any role, please explain (for example: not applicable to the company's operations / function/task subcontracted to…, etc.)	FOCA comments
	…	…	…	…	…	…	…	…	…	…		
FUNCTIONS OF PERSONNEL INVOLVED IN THE PREPARATION OF DANGEROUS GOODS CONSIGNMENTS												
Personnel responsible of the classifying and identifying DG												
Personnel responsible of packaging performance tests (shippers' personnel)												
Personnel responsible of selecting/ordering DG packaging												
Personnel responsible of preparing DG consignments (package and documentation)												
PERSONNEL INVOLVED IN THE ORGANIZATION OF CARGO TRANSPORT												
Cargo booking/selling												
Organizing and coordinating shipments via multimodal transport (e.g. freight forwarders, brokers, etc.)												
Preparing transport documents required such as the Airway Bill, Cargo manifest, etc.												
Applying for approvals and exemptions according to ICAO TIs Part 1, Chapter 1												
CUSTOMER SERVICE DESK												
Personnel in charge of answering questions, handling claims, etc.												
PERSONS RESPONSIBLE FOR PASSENGER AND BAGGAGE												
Personnel responsible for the screening of passengers and crew and their baggage, cargo and mail.												

Functions/Tasks ensuring that DG are transported in accordance with the regulations This list is not exhaustive and must be completed by the employer, if needed.	Role or name of the employee Please name the roles or insert name of the employee identified and tick the boxes related to the functions/tasks performed.										If a task/function is not covered by any role, please explain (for example: not applicable to the company's operations / function/task subcontracted to…, etc.)	FOCA comments
	…	…	…	…	…	…	…	…	…	…		
Passenger baggage accepting and handling (incl. at baggage drop off points)												
Passenger baggage handling												
PERSONS RESPONSIBLE FOR PROCESSING AND HANDLING CARGO, BAGGAGE OR MAIL												
In a warehouse												
Loading and unloading unit load devices												
TRAINING AND ASSESSMENT STAFF												
Conducting the training (instructors)												
Conducting assessment												
OTHER TASKS/FUNCTIONS IDENTIFIED BY THE EMPLOYER												

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Appendix 2 – Training specifications

Role (according to Appendix 1)		Competencies requirements (Knowledge / Attitude / Skills)	Objective of training	FOCA comments
Designation	**Particularities** (e.g. DG current qualifications, language, IT competences, access to infrastructure, etc.)	Please enter reference to internal company documentation		*FOCA comments*
FOCA comments				

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Appendix 3 – Training plan

Role designation (according to Appendix 1)	Syllabus (which topics/modules the training is composed of)		Lesson plan (agenda/schedule)		Training type		Instructor(s)	FOCA comments
	Initial	Recurrent	Initial	Recurrent	Initial	Recurrent		
	Please enter reference to internal company documentation							
FOCA comments								

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Appendix 4 – Assessment plan

Role designation (according to Appendix 1)	Assessment types (method: theoretical (multiple choice quiz (MCQ), written test, …), practical (exercise, …)		Assessment scheduling (continuous assessment during training / one-time final assessment, etc.)		Assessment procedures (criteria for success, actions to be taken if a trainee fails, etc.)		Assessor(s)	*FOCA comments*
	Initial	**Recurrent**	**Initial**	**Recurrent**	**Initial**	**Recurrent**		
	<td colspan="6" align="center" style="color:red">Please enter reference to internal company documentation</td>							
FOCA comments								

Appendix 5 – Continuous assessment plan / Evaluation of effectiveness of training and assessment programme

Role designation (according to Appendix 1)	Continuous assessment procedure and types (Examples: feedback from trainees, instructors, employees, auditors, authorities / performance monitoring such as number of rejections at cargo acceptance / occurrences, incidents, accidents / etc.)					Assessor(s)	Procedure/Process ensuring the analysis of the results of the continuous assessment and the implementation of changes/improvements (integration in SMS)	FOCA comments
	Please enter reference to internal company documentation							
FOCA comments								