**ANNEX 3 – COMPLIANCE CHECKLIST for TO**

See the Excel file.

**ANNEX 4 – COMPLIANCE CHECKLIST for Language Assessment Bodies**

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| **TEST DESIGN AND CONSTRUCT** | | | |
| 1 | Is the test is designed to assess speaking and listening proficiency in accordance with each component of the ICAO Language Proficiency Rating Scale and the holistic descriptors in Appendix 1 of Annex I of Regulation 2015/340? | YES   NO | Comments: |
| 2 | Is a definition of the test purpose that describes both the aims of the test and the target population accessible to all decision-makers? | YES   NO | Comments: |
| 3 | 3 Is a description of and rationale for test construct and how it corresponds to the ICAO language proficiency requirements accessible to all decisionmakers in plain, layperson language? | YES   NO | Comments: |
| 4 | Does the test comply with principles of good practice and a code of ethics as described in Chapter 6 of ICAO Doc 9835? | YES   NO | Comments: |
| 5 | Does the test focus on discrete-point items, on grammar explicitly or on discrete vocabulary items? | YES   NO | Comments: |
| 6 | 6 Is a specific listening section with individual items included? | YES   NO | Comments: |
|  | Does the test include voice-only interaction? | YES   NO | Comments: |
|  | Is the test is specific to aviation operations? | YES   NO | Comments: |
|  | Does the test assess plain language proficiency in an aviation context? | YES   NO | Comments: |
|  | Does the test avoid items that are designed to elicit highly technical or very context-specific language? | YES   NO | Comments: |
|  | Is the final score for each test-taker the lowest of the scores in each of the six ICAO language proficiency skills? | YES   NO | Comments: |
|  | Is the final score for each test-taker the lowest of the scores in each of the six ICAO language proficiency skills? | YES   NO | Comments: |
| **TEST VALIDITY AND RELIABILITY** | | | |
|  | Is a statement of evidence for test validity and reliability accessible to all decision-makers in plain, layperson language? | YES   NO | Comments: |
|  | Is a description of the development process that includes the following information accessible to all decision-makers:    a) a summary of the development calendar?    b) a report on each development phase? | YES   NO | Comments: |
|  | Is an appraisal of the expected test washback effect on training accessible to all decisionmakers? | YES   NO | Comments: |
| **RATING** | | | |
|  | Is the rating process documented? | YES   NO | Comments: |
|  | To fulfil licensing requirements, do at least two raters participate in the rating of tests, with a third expert rater consulted in case of divergent scores? | YES   NO | Comments: |
|  | a) Are initial and recurrent rater training documented?  b) Are rater training records maintained?  c) Are raters audited periodically and reports documented? | YES   NO | Comments: |
|  | If rating is conducted using new technology, including speech recognition technology, is the correspondence of such rating to human rating, on all aspects of the Rating Scale, clearly demonstrated in layperson language? | YES   NO | Comments: |
| **TEST ADMINISTRATION AND SECURITY** | | | |
|  | Is a complete sample of the test published, including the following:    a) test-taker documents (paper instructions, screen display, etc.)?  b) interlocutor instructions or prompts?  c) rater documentation (answer key, rating scale, instructions)?  d) one complete sample of audio recordings (for listening sections or semi-direct prompts)?  e) a demonstration of test-taker/interlocutor interaction? | YES   NO | Comments: |
|  | Is the test rating process documented, including instructions on the extent and nature of evidence that raters should collect? | YES   NO | Comments: |
|  | Are the test instructions to the test-taker, the test administration team and test raters clearly documented? | YES   NO | Comments: |
|  | Are the requirements for equipment, human resources and facilities necessary for the test included in the instructions? | YES   NO | Comments: |
|  | Is the testing location moderately comfortable, private and quiet? | YES   NO | Comments: |
|  | Is a full description of test administration policies and procedures available to all decision-makers? Does it include the following:  a) policies and procedures for retaking the test?  b) score reporting procedures?  c) record-keeping arrangements?  d) plans for quality control, test maintenance and ongoing test development?  e) purchasing conditions? | YES   NO | Comments: |
|  | Has a documented appeals process been established and made available to test-takers and decision-makers at the beginning of the testing process? | YES   NO | Comments: |
|  | Is a full description of security measures required to ensure the integrity of the testing process documented and available to all decision-makers? | YES   NO | Comments: |
|  | In the case of semi-direct prompts, are there adequate versions of the test to meet the needs of the population to be tested with respect to its size and diversity? | YES   NO | Comments: |
|  | Are test questions and prompts held in confidence and not published or in any way provided to testtakers prior to the test event? | YES   NO | Comments: |
|  | Is a documented policy for all aspects of test security accessible to all decision-makers? | YES   NO | Comments: |
| **RECORD-KEEPING** | | | |
|  | Are all proficiency tests of speaking ability involving interaction between the test-taker and interlocutor recorded on audio or video media? | YES   NO | Comments: |
|  | Are evaluation sheets and supporting documentation filed for a predetermined and documented period of time of sufficient duration to ensure that rating decisions can no longer be appealed? | YES   NO | Comments: |
|  | Is the record-keeping process adequate for the scope of the testing and documented? | YES   NO | Comments: |
|  | Is the score-reporting process documented, and are scores retained for the duration of the licence? | YES   NO | Comments: |
|  | Are results of testing held in strict confidence and released only to test-takers, their sponsors or employers, and the civil aviation authority, unless test-takers provide written permission to release their results to another person or organization? | YES   NO | Comments: |
| **ORGANIZATIONAL INFORMATION AND INFRASTRUCTURE** | | | |
|  | Has an aviation language TSP provided clear information about its organization and its relationships with other organizations? | YES   NO | Comments: |
|  | If a TSP is also a training provider, is there a clear and documented separation between the two activities? | YES   NO | Comments: |
|  | Does the TSP employ sufficient numbers of qualified interlocutors and raters to administer the required tests? | YES   NO | Comments: |
|  | Has the TSP provided an explanation of how the test is maintained, including an explanation of how ongoing test development is conducted? | YES   NO | Comments: |
| **TESTING-TEAM QUALIFICATIONS** | | | |
|  | **Familiarity with ICAO documentation**  Are all testing team members familiar with the following ICAO publications?  a) the relevant SARPS and Recommended Practices of Annex 1?  b) holistic descriptors (Appendix 1 to Annex 1) and the ICAO Rating Scale (Attachment A to Annex 1)?  c) Manual on the Implementation of ICAO Language Proficiency Requirements (Doc 9835)?  d) ICAO Rated Speech Samples CD? | YES   NO | Comments: |
|  | **Test design and development team**  Does the test design and development team include individuals with aviation operational, language test development, and linguistic expertise? | YES   NO | Comments: |
|  | **Test administration team (administrators and interlocutors)**  Do test administrators and interlocutors have a working knowledge of the test administration guidelines published by the test organization? | YES   NO | Comments: |
|  | Do interlocutors demonstrate language proficiency of at least ICAO Extended Level 5 in the language to be tested and proficiency at Expert Level 6 if the test is designed to assess ICAO Level 6 proficiency? | YES   NO | Comments: |
|  | Have interlocutors successfully completed initial interlocutor training? | YES   NO | Comments: |
|  | Do interlocutors demonstrate language proficiency of at least ICAO Extended Level 5 in the language to be tested and proficiency at Expert Level 6 if the test is designed to assess ICAO Level 6 proficiency? | YES   NO | Comments: |
|  | Have interlocutors successfully completed recurrent interlocutor training at least once each year? | YES   NO | Comments: |
|  | Do interlocutors have appropriate aviation operational or language testing expertise, or both? | YES   NO | Comments: |
|  | Do raters demonstrate language proficiency of at least ICAO Extended Level 5 in the language to be tested, and Expert Level 6 if the test is designed to assess ICAO Level 6 proficiency? | YES   NO | Comments: |
|  | Are raters familiar with aviation English and with any vocabulary and structures that will likely be elicited by the test prompts and interactions? | YES   NO | Comments: |
|  | Have raters successfully completed initial rater training? | YES   NO | Comments: |
|  | Have raters successfully completed recurrent rater training at least once each year? | YES   NO | Comments: |