

Chapter 5. Training and Proficiency Records and Reports

1. Policy.

a. An FAA Form 3120-1, or its electronic equivalent, will be prepared for each ATCS individual and will be maintained as a permanent part of the employee's training file. It must be used to record the results and the completion of training requirements for each qualification course, proficiency training, and other agency-approved courses. Employment data as well as AT certificates and ratings must also be documented in the record. The guidance contained in appendix A must be followed when making entries on FAA Form 3120-1, which is governed by the provisions of the Privacy Act of 1974.

b. For reporting purposes, the terms "student/trainee/developmental/CPC-IT/TMC-IT/FPL-IT" apply to anyone receiving training at the specialist, instructor, or supervisory level.

c. A facility may maintain sections of FAA Form 3120-1 outside of the orange jacket of the form. When sections are kept outside the orange jacket for accessibility of initialing, etc., precautions must be taken to ensure that the provisions of the Privacy Act and other record-maintenance requirements are met. Precautions must be taken to ensure that there is no mixing or confusing of the records.

d. Documentation of training received should be the same at a temporary and a permanent AT facility, with the following necessary variations at the temporary facility:

(1) No entries are necessary in sections I and IIA.

(2) Section IIB entries must include "(TEMPORARY)" after the name of the facility.

(3) Section III entries should correctly reflect that the training was completed, either in separate development stages/positions or as a single action (all positions combined).

(4) If no three-character identification is assigned to the facility, enter the full name in the "FAC IDENT" column.

(5) Make entries in sections IV through VIII only if appropriate to the operations.

2. Responsibilities.

a. The ATM or designee must be responsible for initiating and maintaining the employee's FAA Form 3120-1.

b. FAA Academy, Air Traffic Division (AMA-500), must operate as a field facility for the purposes of this directive with respect to FAA Form 3120-1 management and administration.

3. Training Reports. A training report must be completed on the appropriate FAA/OJT Instruction/Evaluation form for OJT sessions and simulated/simulation scenarios. Reports reflecting certifications must contain the signature of the certifying official. Examples of the FAA forms and specific instructions regarding completion of training reports are contained in the appendices of this order and in facility training directives.

4. Disposition of Records and Reports.

a. Training documents (e.g., Training Plans, FAA Forms 3120-25/26/32/36, etc.) may be disposed of after certification on each position or, for the En Route option, after certification on each sector (e.g., D6/R6). *Exception:* Reports reflecting position certifications, re-certifications prior to being facility rated, and all written and performance-based examinations required by the IPG must be retained for 1 year after the employee is facility rated. Prior to these documents being disposed of, they should be offered to the employee.

b. In the event of a termination of employment due to a training failure, all training records, reports, training plans, etc., must be retained at the facility for a period of 1 year. After 1 year, if appropriate, they must be handled in accordance with FAA Order 1350.15, Records Organization, Transfer, and Destruction Standards.

Note: Procedures for record disposition may vary from service area to service area. Therefore, reference should be made to service area supplements regarding this process.

c. FAA Forms 3120-25/26/32/36 utilized for CPC/FPL/TMC recertification may be disposed of after the recertification has been documented with all appropriate signatures on the Training and Proficiency Record, FAA Form 3120-1, section III or TRAX.

d. Upon termination of employment, except for training failures, FAA Form 3120-1 must be forwarded to the appropriate Human Resource Management office.

e. The service area office may require retention of records beyond the periods specified above because of special circumstances (e.g., litigation, appeals, etc.). In these cases, facilities must comply with service area office guidance.