



Australian Government

Civil Aviation Safety Authority

**Aeronautical Telecommunication
and Radionavigation Service
Providers—Entry Control
Procedures Manual**

Version 1.1: November 2010

Aeronautical Telecommunication and Radionavigation Service Providers—Entry Control Procedures Manual

This is an internal CASA policy manual. It contains guidance material intended to assist CASA officers and delegates in carrying out their regulatory responsibilities and may be made available to the public for information purposes only.

Since this is an uncontrolled version of the manual which will not be updated by CASA, it should not be relied upon for any regulatory purpose. The current manual can be viewed at any time via CASA's website at "www.casa.gov.au".

You should always refer to the applicable provisions of the Civil Aviation Act, Civil Aviation Regulations and the Civil Aviation Orders, rather than this manual, to ascertain the requirements of, and the obligations imposed by or under, the civil aviation legislation.

Version 1.1: November 2010

ATEL/ANAV Service Providers—Entry Control Procedures Manual

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Part	No. of Pages	Version	Date of Issue
Cover and verso	2	1.1	11/2010
Table of Contents, List of Effective Pages and Preface	12	1.1	11/2010
1. Part 171 Regulatory Requirements	10	1.0	08/2002
2. Approval Procedures for ATEL/ANAV Providers	10	1.0	08/2002
3. Approved Providers Operations Manual	18	1.0	08/2002
4. Sample Documents	7	1.0	08/2002
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Preface

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Foreword

As a Commonwealth government authority, CASA must ensure that its decision-making processes are effective, fair, timely, transparent, consistent, properly documented and otherwise in accordance with the requirements of the law.

Most of the regulatory decisions CASA makes are such that conformity with authoritative policy and established procedures will be conducive to the achievement of these outcomes. From time to time, however, decision-makers will encounter situations in which the strict application of policy, in the making of a decision involving the exercise of discretion, would not be appropriate. Indeed, in some cases, the inflexible application of policy may itself be unlawful.

This preface and the following Introduction, explains the way in which the policy and processes set out in this manual are to be used by all CASA's personnel when making decisions in the performance of their functions, the exercise of their powers and the discharge of their duties. It also explains the processes to be followed if it appears that a departure from policy is necessary or appropriate.

Mandatory Use of Policy and Procedure Manuals

This manual is one of the set of manuals and other documents which comprise CASA's authorised document set. The authorised document set contains the policy, processes and procedures with which CASA personnel are expected to comply when performing assigned tasks. All CASA personnel are required to have regard to the policies set out in this manual. Except as described in the Introduction, CASA decision-makers should not depart from these policies, processes and procedures.



John F. McCormick
Director of Aviation Safety

Introduction

Regulatory Decision Making

Where the legislation provides for one, and only one decision—the “correct” decision—is the only decision open to CASA. However, most of the decisions CASA makes involve the exercise of discretion. In such cases, there may well be more than one acceptable or correct decision. In these cases, the law requires that CASA makes the “preferable” decision, that is, the most appropriate decision, having regard to the overriding interests of safety and the obligation to be fair.

In all such cases, CASA is bound to act in accordance with the applicable rules of administrative law. These rules govern how CASA arrives at the ‘preferable’ decision in any given case. Adherence to these rules is a requirement, not an option. Decisions and actions taken in contravention of these rules are unlawful, unenforceable, and in most cases invalid. CASA is legally accountable for the decisions it makes, and CASA decision-makers are obliged to avoid the appearance, as much as the reality, of unlawful decision-making.

Sound and lawful regulatory decision-making is generally governed by the 10 rules of administrative law summarised below. Adherence to these rules is essential to CASA’s obligations of accountability and good governance.

1. **Natural Justice** (Procedural Fairness)
 - **Hearing Rule.** Persons affected by CASA’s decisions have a right to be heard. To be meaningful, the hearing rule normally requires that CASA provides persons with notice (usually in advance) that a particular decision is going to be taken, and the reasons for the decision CASA proposes to take. Without notice and a statement of reasons, there may be little point to providing a person with an opportunity to be heard.
 - **Rule Against Bias.** Decision-makers should not have a **personal** or **pecuniary interest** in the outcome of their decisions. Neither may decision-makers prejudge (or **pre-determine**) matters in respect of which they are called upon to make a decision.
2. A decision-maker must not act for **improper purposes**. Even if the purposes for which a particular decision are lawful, the decision may only be taken for the purposes specifically authorised by the law under which the decision has been taken.
3. A decision-maker must not take any **irrelevant considerations** into account in coming to a decision.
4. A decision-maker must take all **relevant considerations** into account in coming to a decision.



Note: Applicable Policy is Always a Relevant Consideration.

5. A decision-maker must act on the basis of **evidence**, not mere supposition or speculation.
6. A decision-maker must not formulate requirements in **vague** or **uncertain terms**.
7. A decision-maker must not **inflexibly apply policy** (although departures from policy will normally need to be justified).
8. A decision-maker must not **act under dictation** (although this does not preclude adherence to formal directions, compliance with lawful conditions in relation to the process by which a decision is taken or the obligation to consult in the process of considering a decision).
9. A decision-maker must decide the matter within a **reasonable time**.
10. A decision maker must not act in a way that is manifestly **unreasonable**. A decision must not be so unreasonable that no reasonable person would make such a decision.

Note: The meaning and application of these principles, and related considerations of administrative law, are covered more fully in the induction and orientation training undertaken by all CASA employees. Any questions in relation to these matters should be referred to the Legal Services Division.

Departure from Authorised Policy

Adherence to CASA's authorised policies will almost always produce an appropriate decision. As said, however, from time to time there will be circumstances in which the strict application of policy may not result in the "preferable" decision. In these cases it may be appropriate (and possibly necessary) to depart from otherwise applicable policy.

Any departure from policy must be justified in order to ensure that it:

- Is genuinely necessary in the interests of fairness
- Does not inappropriately compromise the need for consistent decision-making; and, of course
- Is not in conflict with the interests of safety.

Without fettering a decision-maker's discretion, it is therefore expected that appropriate consultation will occur before a decision is made that is not the product of the policies and processes set out in this manual. The prescribed consultation process is described below.



Consultation Process

Decision-Maker's Responsibilities

When a decision-maker believes there is a need to depart from policy he or she is expected to consult with his or her direct supervisor. This process should be initiated in writing:

- Setting out the pertinent facts and circumstances
- Identifying the provisions of the policy normally applicable
- Stating why the application of that policy would not result in the making of the “preferable” decision in the circumstances to hand
- Specifying the approach the decision-maker believes is more likely to result in a “preferable” decision.

Supervisor's Responsibilities

In considering a consultative referral, the decision-maker's supervisor should:

- Advise the decision-maker as to whether his or her assessment of the relevant considerations appears to be complete and correct
- If, in the opinion of the supervisor, the circumstances do not warrant a departure from policy, provide the decision-maker with written advice and guidance as to how the decision might more properly be approached within the current policy framework

Note: Reliance on relevant precedent is a sound basis on which to ground such an opinion. It may also be helpful to seek advice from peers, superiors and/or CASA's Legal Services Division.

- If, in the opinion of the supervisor, a departure from policy is warranted, the supervisor should ensure the policy sponsor (normally the relevant Executive Manager) is advised of:
 - i. The intention to depart from the otherwise applicable policy
 - ii. The alternative approach the decision-maker will be taking to the matter.

The supervisor should ensure that a full written record of these actions is made and maintained.



Note: In no case may the terms of decision be dictated to a delegate authorised to exercise discretionary decision-making powers.

If a decision-maker's supervisor or the policy sponsor is not satisfied that the decision the decision-maker intends to make is the correct or preferable decision in all the circumstances, responsibility for that decision should be assumed by, or assigned to, another authorised delegate in accordance with appropriate processes and procedures.

Policy Sponsor's Responsibilities

If the policy sponsor concurs in the proposed departure from policy, he or she should ensure the decision-maker is advised accordingly as soon as possible.

If the policy sponsor does not believe the proposed departure from policy is warranted, he or she should:

- Advise the supervisor accordingly
- Assume responsibility for the decision
- Ensure that the decision-maker and any person affected by the decision (for which the policy sponsor has assumed responsibility) is advised accordingly
- Make the decision in a manner consistent with the applicable policy.

The policy sponsor should ensure that a full written record of these actions is made and maintained.

Nothing in these processes should be interpreted or applied so as to dictate the terms of the decision to be made by a decision-maker authorised to make discretionary decisions under the civil aviation legislation, or to delay unreasonably the making of such decisions.

Revisions to Policies and Manuals

As a result of experience in applying policies and procedures, users will form views as to accuracy, relevance and applicability of the content.

CASA personnel are required to provide recommendations for revisions to policies and processes in this or any other manual should they become aware of shortcomings. In this way the policies and manuals will be continually improved and remain relevant to the tasks being undertaken.



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Each policy and manual has a sponsor and recommendations for amendment are to be forwarded to the relevant individual for consideration. The revision process can be accessed via the link:

http://casaconnect/manuals/doc_control/process.htm



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Preface

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1.1.1 Purpose of the Manual

CAR (1998)
Part 171 This is an internal CASA procedures manual that is for the guidance of CASA staff involved in assessing entry applications from organisations seeking approval under the provision of CAR (1988) [Part 171](#) to provide an aeronautical telecommunication (ATEL) service and/or a radionavigation (ANAV) service.

1.1.2 Scope of the Manual

This manual is a part of the CASA document set. It includes processes, flowcharts, forms, letters and certificates to aid CASA officers assessing applications for approval for ATEL/ANAV service providers.

The manual consists of:

Part 1: Part 171 Regulatory Requirements (this part).

[Part 2](#): Approval Procedures for ATEL/ANAV Service Providers.

[Part 3](#): Approved ATEL/ANAV Service Provider's Operations Manual, detailing the contents of an approved ATEL/ANAV service provider's Operations Manual.

[Part 4](#): Sample Documents—sample forms, letters and the Service Provider Certificate and Conditions.

By adhering to this manual's procedures, a standard and unified approach within CASA consistent with regulatory requirements will be created and maintained when assessing and approving organisations as ATEL/ANAV service providers.

1.1.3 Target Audience

The target audience for this manual is CASA officers assessing applications for approval for ATEL/ANAV service providers.

1.1.4 Definitions

The following definitions and acronyms apply in the interpretation of provider organisation applications, (see also the Interpretation section of CASR [Part 171](#)).

Terms and Abbreviations	Meaning
Accuracy	In relation to a radionavigation service or facility, the degree to which the value measured or displayed by the service conforms to the true value.
Aerodrome operator agreement	An agreement between a service provider and an aerodrome operator under which the service provider provides a radionavigation service, a telecommunication service or both, at or near the aerodrome.
Aeronautical telecommunication service (ATEL)	A service within the meaning given in Annex 10 Vol II, and as amplified in the MOS Part 171 . For the purposes of Part 171 , includes: <ul style="list-style-type: none">a. An aeronautical broadcasting service;b. An aeronautical fixed (point to point) communication service;c. An aeronautical mobile communication service.
AIS	Airservices Australia in its role as the provider of the Australian Aeronautical Information Service.
AIP	Aeronautical Information Publication.
ATS provider	A person approved as a provider under Part 172 .
ATS provider agreement	An agreement to provide an ATEL or ANAV service that is essential to an ATS provider's operation.
Availability	<p>The percentage of the published or required operating hours for an ATEL or ANAV service, during which the service is not interrupted because of failure or maintenance of the service.</p> <p>Availability = (total time period – time that service is interrupted)/ total time period.</p> <p>(Note: the total time period is normally taken to be one year of operation).</p>



Terms and Abbreviations	Meaning
Aircraft accident	An occurrence during the operation of an aircraft in which any person involved suffers death or serious injury or in which the aircraft receives substantial damage.
Aircraft incident	An occurrence, other than an accident, which affects or could affect the safe operation of an aircraft if not corrected.
Annex 14	Aerodromes, Annex 14 to the Convention on International Civil Aviation Organisation (ICAO).
ATS	Air Traffic Service(s) provided under Part 172 .
Configuration	In relation to: <ul style="list-style-type: none">a. An ATEL or ANAV service: the configuration of each facility and any interconnection between facilities that make up the service;b. A facility: the configuration of equipment, hardware, software and data, and the interconnections between equipment.
Competency	Possessing the knowledge, skill and judgement needed to perform specific tasks.
Coverage	In relation to an ATEL or ANAV service, the volume of airspace in which, or the locations between which, the service is nominally provided.
Facility	An ATEL or ANAV service is provided by one or more ground-based facilities at one or more locations. Each facility consists of one or more items of interconnected equipment (see also 'configuration').
Integrity	The likelihood that the information supplied by a ATEL, ANAV or support service at a particular moment is correct. Includes the ability of the service to promptly warn users when the service should not be used. Depending on the type of service, integrity may be expressed qualitatively or quantitatively.



Terms and Abbreviations	Meaning
ICAO Annex 10	<p>Annex 10 ‘Aeronautical Telecommunications’ to the Convention on International Civil Aviation, consisting of five separate volumes titled:</p> <p>Vol I: Radionavigation Aids.</p> <p>Vol II: Communications Procedures.</p> <p>Vol III: Digital Data and Voice Communication Systems.</p> <p>Vol IV: Surveillance Radar and Collision Avoidance Systems.</p> <p>Vol V: Aeronautical Radio Frequency Spectrum Utilization.</p>
Key personnel	<p>In relation to a service provider, the person or persons who manage(s) operations, maintenance and safety.</p>
Manual of Standards (MOS) Part 171	<p>CASA standards document containing regulatory standards for the provision of ATEL and ANAV services. The full title of the document is Manual of Standards (MOS), Standards Applicable to the Provision of Aeronautical Telecommunications and Radionavigation Services Pursuant to CAR (1998) Part 171.</p>
NOTAM	<p>Notice to airmen. Issued by the Australian NOTAM Office and containing information or instruction concerning the establishment, condition or change in facility, service, procedure or hazard.</p>
Operating hours	<p>The times during which the service provider must, under its approval, operate an ATEL or ANAV service.</p>
Operations manual	<p>A manual prepared by an applicant or a service provider which presents all the information required under Part 171.</p>



Terms and Abbreviations	Meaning
Radionavigation service (ANAV)	<p>Service within the meaning given in Annex 10 Vol II, and the MOS Part 171. For Part 171, ANAV services are:</p> <ol style="list-style-type: none">Any ground-based primary or secondary surveillance radar station/system supporting ATS or used for air navigation;Any ground based navigation aid used for air navigation. Includes ground based augmentation stations of satellite-based navigation systems.
Recovery time	<p>The period of time that a service is interrupted during its published hours of operation.</p>
Reliability	<p>The probability that an ATEL or ANAV service will perform to specification without failure for a specified period. Usually stated as a qualitative value expressed as 'mean time between failure' (MTBF).</p>
Service provider	<p>A person or organisation approved to operate and maintain an ATEL and/or ANAV service.</p>
Regulations	<p>Civil Aviation Regulations 1998 (CAR 1998).</p>
Support service	<p>A service provided to a service provider that is necessary to the functioning of an ATEL or ANAV service and consists of information in electronic form and the telecommunication system that carries that information.</p>
Support service agreement	<p>An agreement under which a support service is provided to a service provider, setting out the functional specification, and the availability, reliability and accuracy of the support service.</p>
Technician	<p>A qualified, competent person engaged by a service provider to operate and/or maintain a facility, or conduct measurements of the performance or calibration of a facility during a flight inspection.</p>



1.2.1 Subpart A

CAR (1998) Part 171 Subpart A of CASR Part 171 contains an Introductory section, Contents section, Applicability section, Interpretation (definitions) section, and, in 171.015, the basic regulatory requirement that restricts the provision of aeronautical telecommunication or radionavigation services to approved persons.

Note: The term ‘persons’ legally includes organisations.

1.2.2 Subparts B, C and D

These Subparts specify the technical requirements for prospective or approved providers of ATEL and ANAV services. Subpart B covers the approval of service providers; Subpart C covers the obligations and privileges of service providers; and Subpart D covers the requirements for the content of a service provider’s Operations Manual. These Parts will form the main areas where CASA will centre its assessment of an application.

1.2.3 Subpart E

Subpart E specifies the administrative requirements and approval process for prospective and approved providers. This Subpart is intended to remain until such time as CAR (1998) Part 11 is promulgated. After Part 11 is promulgated, Subpart E will be removed from CASR Part 171.

1.2.4 Reference Material

- Civil Aviation Act 1988, Part II — Establishment, Functions etc. of CASA, Section 9 and power to make Regulations, Section 98 (3) (e).
- Civil Aviation Act 1988, Part VIII — Miscellaneous, Section 98.
- Manual of Standards Part 171.
- ICAO Annex 10, Volumes I to V.
- ICAO Doc 8071 Vol I Manual on Testing of Radionavigation Aids.

1.3.1 Operational Requirements

CAR (1998)
172 The operational requirements for the aeronautical telecommunication and radionavigation services are:

- To support the provision of air traffic services by a provider approved under CAR (1998) [Part 172](#);
- To provide radionavigation services (i.e., nav aids) used for the navigation of aircraft operating under the Instrument Flight Rules; and
- To ensure that operational facilities are operated and maintained in accordance with their approved technical standards by personnel who meet the standards for qualified, competent ATEL/ANAV technicians.

1.3.2 Operations Manual

In making application for approval, prospective ATEL/ANAV providers are required to provide CASA with a copy of their proposed Operations Manual. This initially forms the basis of the submission for approval. The Operations Manual may vary depending upon the type of service and its complexity. For example, a national provider such as Airservices Australia would have an Operations Manual of significant content and complexity. However, the Operations Manual of a local aerodrome operator who applies to operate only one or two navigation aids may be relatively simple.

Prospective providers will need to establish procedures that address the regulatory requirements in [Part 171](#), as well as the standards in the MOS. The Operations Manual must also include the functional and technical specification of all services (and the facilities providing the services), and the methods to ensure that these specifications are met.

1.4.1 Aeronautical Telecommunication Services

Aeronautical telecommunication and radionavigation services are the ground-based stations of those services defined hereafter. Airborne stations are not included. (See [MOS Part 171](#).)

These are the ground-based stations of the following services supporting an air traffic service:

- **Aeronautical broadcasting service.** A broadcasting service intended for the transmission of information relating to air navigation.

Note: AWIB stations are not included.

- **Aeronautical fixed service.** A telecommunication service between specified fixed points provided primarily for the safety of air navigation and for the regular, efficient and economical operation of air services.
- **Aeronautical fixed telecommunication network service.** A worldwide system of aeronautical fixed circuits provided, as part of the aeronautical fixed service, for the exchange of messages and/or digital data between aeronautical fixed stations having the same or compatible communication characteristics.
- **Aeronautical telecommunication network service.** An inter-network that allows ground, air-ground and avionics data sub-networks to inter-operate by adopting common interface services and protocols based on the International Organisation for Standardization (ISO) Open Systems Interconnect (OSI) reference model.
- **Aeronautical mobile service.** A mobile service between aeronautical ground stations and aircraft stations, in which survival craft stations may participate. Emergency position-indicating radio-beacon stations may also participate in this service on distress and emergency frequencies. This service does not include ground stations that are provided for other than ATS purposes.

Note: UNICOM, Certified Air/Ground Radio Services (CAGRS), Pilot Activated Lighting (PAL) and Aerodrome Frequency Response Unit (AFRU) stations are not included.

- Any aeronautical telecommunication service which processes or displays air traffic control data for use by ATS.

1.4.2 Aeronautical Radionavigation Services

A radionavigation service intended for the benefit, and for the safe operation, of aircraft. These include all ground-based nav aids, including the ground-based augmentation stations of satellite-based navigation systems.

Note: Radionavigation includes radio determination (radar services) supporting ATS.

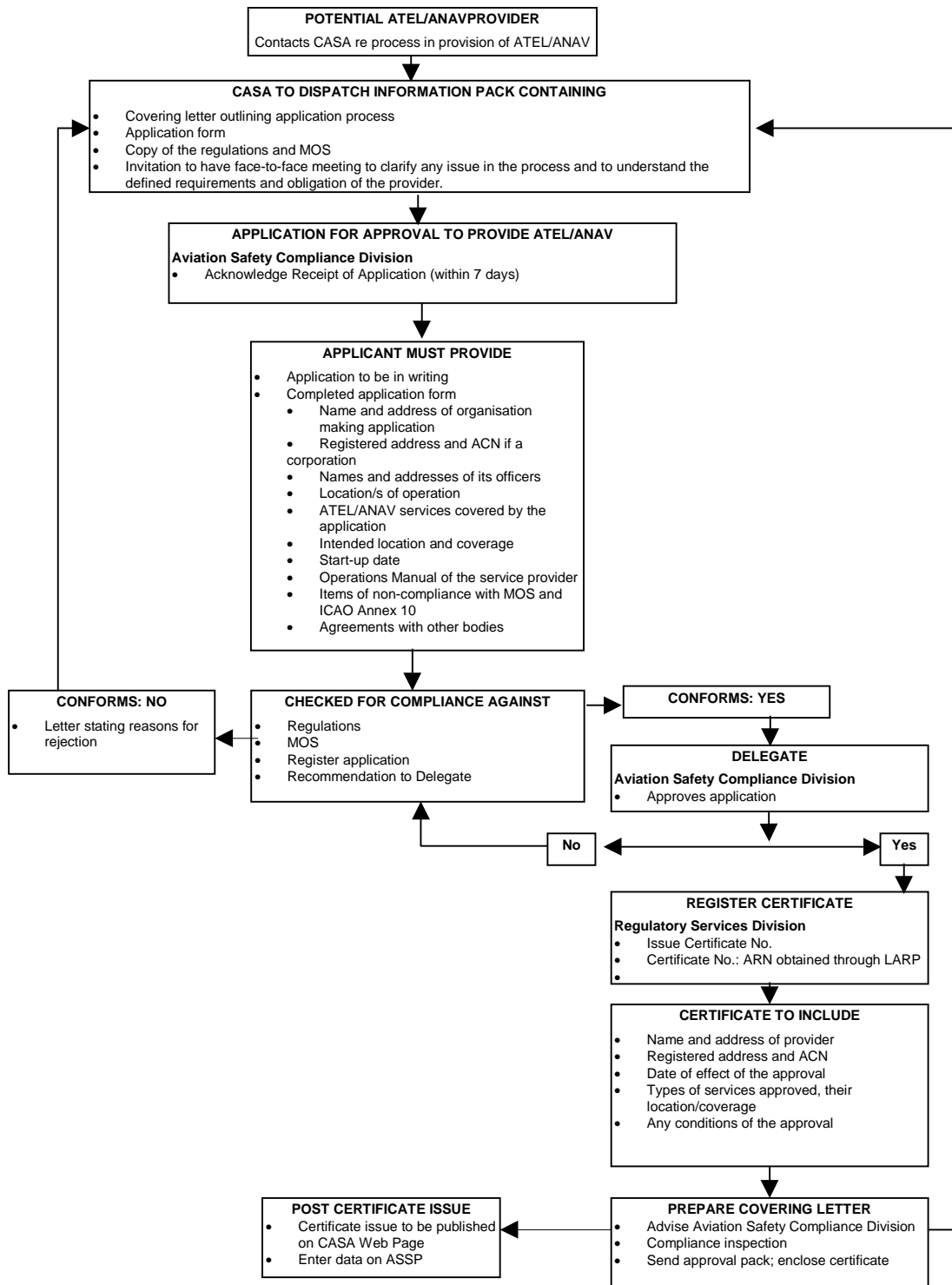


1.5.1 Classification of ATEL/ANAV Facilities

The following list classifies the types of facilities used for the provision of ATEL and ANAV services, the provision (i.e. the operation and/or maintenance) of which requires a Part 171 Certificate:

- VHF air-ground voice communication facilities;
- HF air-ground voice communication facilities;
- UHF air-ground voice communication facilities;
- Precision approach radionavigation aids;
- Non-precision radionavigation aids;
- Flight data processing facilities;
- Flight information facilities;
- Radar data processing facilities;
- Primary surveillance radar facilities;
- Secondary surveillance radar facilities;
- Surface movement radar facilities;
- Precision runway monitor facilities;
- Automatic dependent surveillance system facilities;
- Automatic dependent surveillance – broadcast system facilities;
- Voice switching and control facilities;
- ATS point-to-point communication facilities;
- Air/ground data links;
- Ground-to-ground data interchange networks;
- Human machine interface systems, including tower consoles, ATS work stations, and display facilities;
- Uninterruptable and emergency power supplies;
- Essential services in buildings and equipment shelters housing facilities (electrical power supplies, air-conditioning, and security facilities);
- Global Navigation Satellite System ground-based augmentation system facilities;
- Aeronautical databases used in or by a facility;
- Meteorological display systems used for ATS;
- Voice and data recording facilities; and
- Other facilities supporting Air Traffic Services.

2.1.1 Flowchart



2.2.1 Handling Initial Enquiries

When handling enquiries from a prospective applicant, consideration should be given to the items in paragraphs 2.2.2 to 2.2.6 below.

2.2.2 When is an ATEL/ANAV Provider Certificate Required?

CAR (1998)
171.015 A Certificate to operate must be obtained prior to the provision of an ATEL or ANAV service. A Certificate is required if:

- The proposed service is any of those defined in ICAO Annex 10 Vol II as an aeronautical telecommunication or radionavigation service. The services are also defined in Section 1 of [MOS Part 171](#);
- The service is in support of any Part 172 air traffic service;
- The service is a ground station used by pilots for the purpose of radionavigation; or
- The service is a primary or secondary radar station used by air traffic services for traffic surveillance.

See section 4.3 for a sample ATEL/ANAV Service Provider Certificate.

2.2.3 Who May Make an Application?

CAR (1998)
171.165 Any person or corporation that has the necessary capabilities, qualified personnel and facilities.

Applications purportedly made by a partnership, or by two or more persons jointly, will not be accepted.

2.2.4 What is Required?

CAR (1998)
171.020 The application for a Certificate to operate must be made in writing. The following details are required in an application:

- CAR (1998)
171.025
- The individual or company's name and address;
 - If the applicant is a corporation, the application must include the applicant's registered address and ACN, and the names and addresses of its officers;
 - A list of the ATEL/ANAV services for which the application is being made, prepared by referring to the list of services in the [MOS Part 171](#);
 - A statement of the intended location and coverage of each service. 'Location' is the site of the installation; 'coverage' is the volume of airspace that the service is nominally intended to cover, or the locations between which the service is provided if it is a point to point service;
 - A listing of any non-compliance with any of the standards in the [MOS Part 171](#) or ICAO Annex 10, and the reasons for, and consequences of, each listed non-compliance;
 - The proposed commencement date of service provision; and
 - A copy of the organisation's draft Operations Manual for assessment and retention. The Operations Manual must be a controlled document.

2.2.5 Contents of Operations Manual

CAR (1998)
171.090 The required contents of an Operations Manual of an approved provider are specified at [Subpart D](#) of CAR (1998) Part 171. These requirements are amplified in Part 3 of this manual. The Operations Manual forms the technical basis of any application. CASA will not approve an application unless it also approves the organisation's Operations Manual.

2.2.6 Confidentiality of Information Provided

Any organisational or corporate-related information provided by an applicant for a Part 171 Certificate, including the Operations Manual of the applicant, used in the context of the assessment of the application, is to be treated as 'Commercial-in-Confidence' and must not be disclosed to any party outside CASA, unless the applicant has approved the release of the information in writing.

2.2.7 Assessment and Approval Process

CAR (1998)
171.020

On receipt of an application, after an initial desk-top assessment of the application and the Operations Manual, the CASA assessment officer should approach the applicant to arrange a face-to-face meeting to clarify requirements (see the sample Letter of Response to Application for a Certificate at section 4.2.1).

- An initial desk-top assessment will be directed toward establishing to what extent the requirements specified in the CAR (1998) [Part 171](#) and [MOS Part 171](#) have been met.
- After the initial assessment is undertaken, the face-to-face meeting with the applicant should concentrate on explaining the areas of shortfall in the applicant's Operations Manual, and indicating what further supporting information must be provided before CASA can continue with the assessment. If appropriate, where the applicant has already established the facilities and equipment and personnel, including technicians, necessary for service provision, CASA should raise with the applicant the possible requirement for the proposed services to be actually demonstrated.

2.3.1 On Receipt of a Written Request Form from an Applicant

CAR (1998)
171.020 On receipt of a written application, carry out the following steps:

- Record the request in TRIM and in the Inward Correspondence Register, if required;
- Raise a new file and attach the applicant's correspondence to the relevant file; and
- Undertake a complete and thorough desk-top assessment of the applicant's Operations Manual for compliance against all the applicable requirements and standards of [Part 171](#) and the [MOS Part 171](#). Use the Checklist form at section [4.4](#) to record the results of this assessment.

2.3.2 CASA May Ask for Demonstration of a Service

CAR (1998)
171.170 When considering an application for approval, CASA may ask the applicant in writing to demonstrate its ATEL or ANAV service.

It will be normal procedure to request such a demonstration before an approval is given, unless the actual facility is not in existence at the time of application.

If a demonstration is required, advise the applicant accordingly in writing.

2.3.3 CASA May Ask Applicant for More Information

CAR (1998)
171.175 Decide on whether CASA reasonably needs more information than has been provided by the applicant, including any further information to be included in the Operations Manual before it can be approved, in order to complete assessment of the application.

If CASA requires the applicant to provide more information or further documentation, advise the applicant accordingly in writing, clearly stating the information that is required.

2.3.4 Matters to be Taken into Account

CAR (1998)
171.180 In assessing and making a decision on any application, CASA may take into account:

- Anything in the application;
- Anything in any other document submitted by the applicant;
- The results of any demonstration of a service; or
- Anything which CASA has in its records about the applicant.

However, before taking into account anything in CASA records about an applicant, CASA must inform the applicant in writing of the substance of the information, and invite the applicant to make a written submission about such matter within a specified, reasonable time.



2.3.5 Prepare a Letter of Approval and the Certificate

CAR (1998)
171.250 Prepare the letter of approval (see section 4.2.2) and the ATEL/ANAV Approved Service Provider Certificate (see section 4.3) for the CASA delegate's approval.



2.4.1 Content of an ATEL/ANAV Service Provider Certificate

An ATEL/ANAV Approved Provider Certificate must include the following details:

- The identity of the approved provider (name and address);
- A list of those ATEL/ANAV services approved under the Certificate, together with details of their location and coverage;
- The date of approval of the Certificate; and
- Conditions on the Certificate; including the condition that CASA has the right to undertake a safety audit of the provider's operation at any time.

2.4.2 Conditions to be Specified on the Certificate

CAR (1998) 171.250 As a minimum, the following conditions are to be specified on the Certificate:

- CASA's right to undertake safety audits as specified; and
- CASA's right to cancel the Certificate where it considers that it is justified for aviation safety.

2.4.3 Issue of a Certificate Cannot be Refused if CASA is Satisfied

CAR (1998) 171.185 If a person/organisation has applied for a Certificate as an ATEL/ANAV provider in accordance with [Part 171](#), and the applicant has demonstrated compliance, CASA must grant an approval, unless CASA considers that the approval would be likely to have an adverse effect on the safety of air navigation.

If an applicant shows compliance, this consideration would normally only be made where an ATEL or ANAV service is already approved by CASA and is operating in the same airspace as that service which the applicant proposes to provide. An example of this possibility is the provision of two similar navigation aids providing the same service in the same or overlapping airspace, where mutual interference may be a problem.

A further reason for refusing an application is in the case where the applicant cannot establish that there is a feasible reason to provide a proposed service. CASA does not intend to provide certification to applicants who cannot establish a valid reason to provide a service. This will be the case if the application is purported to be for the provision of a Part 171 service to support an ATS provided by a Part 172 provider, but there is no formal agreement with the Part 172 provider included in the application.

2.4.4 When a Decision Must be Made

CAR (1998)
171.190,
171.175

CASA must make a decision about an application within 90 days after receiving it. If a decision is not made in 90 days, Regulation 171.190 provides that CASA is taken to have refused the application.

Note: The 90 day assessment period may be extended if CASA has made a request under 171.175 for further information. The time between when CASA makes the request and when the applicant gives CASA the information is not included in the 90 day period.

2.4.5 Grounds for Suspension or Cancellation of Approval

CAR (1998)
171.220
and
171.225

CASA may suspend or cancel an approval if the Regulation is breached. However, CASA must be able to justify the suspension or cancellation. Suspension and cancellations require CASA to provide the reason for the action in a show cause notice.

All proposed actions to suspend or cancel a Certificate should be coordinated with the CASA Office of Legal Counsel.

2.4.6 Return of Certificate if Approval Cancelled

CAR (1998)
171.225

If CASA cancels the approval of an ATEL/ANAV provider the person who was the certificate holder must return the Certificate to CASA.

2.5.1 Delegate

Following assessment of the application and completion of the compliance/entry control checklist (ATEL/ANAV Service Provider Certificate Checklist), the ATEL/ANAV Provider Certificate and the approval letter are forwarded to the Delegate for signature.

If the Delegate is satisfied that all requirements have been met, he/she will stamp and sign the approval letter.

CASA retains:

- One copy of the approved provider's Operations Manual; and
- A copy of the Certificate of approval.

The following documents are sent to the applicant by registered mail with a covering letter:

- CASA's approval letter; and
- ATEL/ANAV Provider Certificate.

See section 4.2.2 and section 4.2.3 respectively for the following sample letters:

- Sample Letter to Grant an ATEL/ANAV Provider Certificate.
- Sample Letter of Refusal to Grant a Certificate.

2.5.2 Term of Certificate of Approval

Certificates will not have an expiry date included. However, a date for the review of the conditions placed on the Certificate is to be included. That date will be dependant on the type and extent of the conditions that are initially placed on the Certificate, but will not be in excess of three years after the date of original issue of the Certificate.

2.6.1 Replacement Certificate and Imposing and Varying Conditions on a Certificate

CAR (1998)
171.035
and
171.250

If it is necessary to vary anything on a Certificate, a replacement Certificate should be issued. This will be the case where:

- There is a change in the service(s) provided by an approved provider, and CASA has approved the change; or
- It is necessary to change or add any of the conditions on a Certificate.

If an approved service provider wishes to make a change to the services provided under the Certificate, or to provide additional services, the services provided would no longer be covered by the approved Operations Manual of the provider. Before making the change the service provider must prepare a draft amendment of its Operations Manual and forward the draft amendment to CASA for approval.

Such a proposed change to an approved service is to be processed by CASA as a variation of the original approval. This is to be authorised by re-issue of the Certificate with the amended or additional entries covering the change to the service, or the new service. It may be necessary in such cases for the approved provider to enclose any variation documentation to support the amendment to the Operations Manual.



ATEL/ANAV Service Providers—Entry Control Procedures Manual

3. Approved ATEL/ANAV Service Provider’s Operations Manual

3.1 Operations Manual to Contain or Refer to Information

Approved by Executive Manager, Regulatory Services Draft Version 1.0: August 2002

3.1.1 Content

CAR (1998)
171.090 The content of an Operations Manual must meet the requirements specified in Subpart D of CASR Part 171 and the MOS Part 171.

The items that must be included in an Operations Manual are listed in the following paragraphs.

3.1.2 Reference to Other Documents

The Regulation provides that a requirement to include particular information in an Operations Manual may be satisfied by referring to that information in another document held by the service provider, from the manual.

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3. Approved ATEL/ANAV Service Provider's Operations Manual

3.2 Organisation Chart

Approved by Executive Manager, Regulatory Services Draft Version 1.0: August 2002

3.2.1 Content of the Organisation Chart

CAR (1998)
171.095 An organisation chart of the service provider must show:

- The names and relevant qualifications, experience and positions of the principals of the organisation;
- The names and relevant qualifications, experience and positions of the key personnel—i.e. person or persons responsible for the management of:
 - Operations—i.e. the technical operation, including the installation, commissioning, removal from service and return to service, of services;
 - Maintenance—i.e. the on-going scheduled and unscheduled maintenance of facilities providing services;
 - Safety—i.e. the policy and procedures adopted by the organisation to ensure that its services provide for the safety of aviation in accordance with the [Part 171](#) requirements.
- The numbers of qualified technicians who will operate and maintain each service. It is important that CASA assessment officers should check that the nominated technicians are qualified and competent to undertake the operation and maintenance functions involved in service provision.



ATEL/ANAV Service Providers—Entry Control Procedures Manual

3. Approved ATEL/ANAV Service Provider's Operations Manual

3.3 Standards

Approved by Executive Manager, Regulatory Services Draft Version 1.0: August 2002

3.3.1 Types of Standards

CAR (1998)
171.100 A listing of the standards that relate to the design, installation and testing, commissioning, and operation and maintenance of each service. The standards could include those listed in:

- The [MOS Part 171](#);
- ICAO Annex 10;
- International Standards;
- ISO Standards;
- Australia/New Zealand Standards;
- An overseas aviation authority's standards relevant to the service;
- RTCA standards;
- Industry standards; or
- Equipment manufacturer standards as included in equipment handbooks as specifications or standard operating performance parameters.

3.3.2 Assessment of Standards

It is important that CASA compliance officers make an assessment of the relevance and adequacy of the standards for each service. In particular, compliance with the ICAO Annex 10 standards should be given particular attention. There must be a very strong reason for any non-compliance with the ICAO standards.

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3. Approved ATEL/ANAV Service Provider's Operations Manual

3.4 Functional Specification and Performance Values

Approved by Executive Manager, Regulatory Services Draft Version 1.0: August 2002

3.4.1 Functional Specification

CAR (1998)
171.105 A functional specification of each service, together with the values of availability, reliability accuracy and integrity (as applicable) of each service.

3.4.2 Derivation of Performance Values

The performance values must be derived from either one or more of the following sources:

- The known performance of the service based on actual operational experience either in Australia or with similar systems operated overseas;
- The predicted performance based on pre-commissioning testing and trials;
- The manufacturer's documented design specifications; or
- Theoretical assessment.

Where relevant ICAO standards for the performance parameters exist in Annex 10 or elsewhere, CASA compliance officers should check that the values entered in the Operations Manual meet or exceed the ICAO values.

3.4.3 Basic Formulae for Performance Values

The basic formulae for calculating Availability and Reliability parameters in Attachment F to ICAO Annex 10 Volume I, and are also shown below:

Inherent Availability (A_i) = $MTBF / (MTBF + MTTR)$, where $MTBF$ is the mean time between failure, and $MTTR$ is the mean time to repair.

Operational Availability (A_o) = $MTBM / (MTBM + MDT)$ where $MTBM$ is mean time between maintenance, and MDT is mean down time.

Reliability is normally provided in terms of MTBF.

Integrity may be a qualitative or quantitative value, and will depend upon the type of service being provided.

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3. Approved ATEL/ANAV Service Provider's Operations Manual

3.5 Technical Specification

Approved by Executive Manager, Regulatory Services Draft Version 1.0: August 2002

3.5.1 Technical Specification Requirement

CAR (1998)
171.110 For each service, the following information is to be provided under this requirement:

- The type and location of each facility making up the service;
- The technical specification of each facility type;
- A schematic diagram of the interconnection of facilities within each service, and of the interface with other services; and
- The method of monitoring the performance and integrity of each facility against its specification or standard operating parameters. For modern facilities, the monitoring system should provide a continual indication of the serviceability status of facilities.

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3. Approved ATEL/ANAV Service Provider's Operations Manual

3.6 Facility Operation and Maintenance Plan

Approved by Executive Manager, Regulatory Services Draft Version 1.0: August 2002

3.6.1 Content of the Facility Operation and Maintenance Plan

CAR (1998)
171.120 The operation and maintenance plan for each service/facility must include:

- The procedures for maintenance;
- A description of the maintenance scheduling system;
- The interval of time between scheduled maintenance and/or routine performance inspections, and the basis of the establishment of that time interval;
- The operation and maintenance instructions for each facility;
- A workload analysis of the technicians involved in facility operation and maintenance. The objective of this requirement is to show that the organisation has, or will have, sufficient numbers of technicians to carry out the operation and maintenance plan;
- Details of planned facility flight inspections. This must include details of the standards and procedures to be used for flight inspections, the scheduled time interval between flight inspections, and the identity of the flight inspection organisation that will be contracted to carry out the flight inspections;
- The method for repair of equipment. If repair work is to be undertaken by a third party organisation, then the identity of the repair organisation should be included.

3.6.2 Assessment of the Operation and Maintenance Plan

In assessing the operation and maintenance plan proposed by an applicant, CASA compliance officers should be satisfied that the procedures, maintenance schedules, maintenance instructions, including standard settings and performance limits, will provide a basis to ensure that facilities continue to operate within specification between maintenance intervals.

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3. Approved ATEL/ANAV Service Provider's Operations Manual

3.7 Agreements with Other Organisations

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3.7.1 Agreements Required under Regulation 171.130

CAR (1998)
171.130 An Operations Manual must contain copies of agreements required under 171.130, as relevant to the applying organisation.

Aerodrome Operator Agreement

Such an agreement will be necessary in the situation where the Part 171 applicant is proposing to use facilities owned by an aerodrome operator, such as on-aerodrome nav aids or facilities in a control tower owned by an aerodrome. CASA should not approve a Part 171 provider that intends to use aerodrome-owned facilities unless there is an agreement with the owner.

ATS Provider Agreement

Such an agreement will be necessary if the Part 171 service is to support a Part 172 ATS service that is provided, or is planned to be provided, by another organisation that holds, or has made an application for, a Part 172 Certificate. CASA should not approve a Part 171 provider to support a Part 172 service unless such an agreement is in place.

AIS Agreement

Such an agreement will normally be required. If any service is to be published in the AIP ERSA, then an AIS Agreement will be required. Such will always be the case in respect to any nav aids provided at a licenced or registered aerodrome.

Support Service Agreement

Such an agreement will be necessary if the Part 171 applicant proposes to use a support service that is provided by a third party telco which is necessary for the provision of an ATEL or ANAV service, including the remote monitoring of the service. The following examples show where a support service agreement will be necessary:

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3. Approved ATEL/ANAV Service Provider's Operations Manual

3.7 Agreements with Other Organisations

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- In situations where an ATEL service uses a telecommunication bearer provided by another organisation (telco) for inter-centre data or voice transfer;
- Where a service uses radar data extracted from a radar sensor operated by a non-Part 171 provider;
- Where an aeronautical database is provided by another organisation not having a Part 171 or Part 172 Certificate.

Support service agreements will not be required where the support service is to be provided by another approved Part 171 or Part 172 organisation.

Support service agreements must include the functional specification of the support service, and as applicable, its availability, reliability, accuracy, integrity and recovery time, and/or any other parameters, that are pertinent to establishing the functional standards of the support service.



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3.8 Post-accident Performance Inspection Procedure

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3.8.1 Post-accident Performance Inspection Procedure

CAR (1998)
171.060 A proposed procedure to be used by the organisation to satisfy Regulation 171.060 must be included in the Operations Manual. Such a procedure must include all the sub-items in 171.060 (these are self-explanatory).



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3. Approved ATEL/ANAV Service Provider's Operations Manual

3.9 Test Equipment

Approved by Executive Manager, Regulatory Services Draft Version 1.0: August 2002

3.9.1 Test Equipment

CAR (1998)
171.140

The operations manual must describe in detail the procedures and practices that the applicant proposes for the calibration and maintenance of test equipment used in the operation and maintenance of ATEL/ANAV services and facilities. Providers who show compliance with the relevant requirements in Chapter 6 of [MOS Part 171](#), or with the ISO 9001 standards for test equipment, will satisfy this requirement.



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3. Approved ATEL/ANAV Service Provider's Operations Manual

3.10 Interruption to Services

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3.10.1 Interruption to Services

CAR (1998)
171.145 Subregulation 171.145 requires specified information to be provided in relation to the procedures an organisation must establish for response to unscheduled interruptions (failures) of ATEL/ANAV services. The items to be included must cover:

- The overall procedure to be adopted to respond to failures, including technician call-out procedure in and out of working hours;
- A specified service recovery time which is to be the basis of the planned response to a failure;
- The process to be undertaken should it become obvious that the specified recovery time cannot be achieved; and
- The planned procedure, if any, to establish an alternate service as a contingency in situations where there is a loss of service for extended periods.

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3. Approved ATEL/ANAV Service Provider's Operations Manual

3.11 Document and Data Control Processes

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3.11.1 Document and Data Control Processes

CAR (1998)
171.150 An applicant must include processes for the control of documents and data associated with service provision in the Operations Manual. The controls must cover the authorisation, publication, distribution, and amendment of all documentation issued, or required by the organisation (see [MOS Part 171](#), Chapter 7).



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3.12 Security Program

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3.12.1 Security Program

CAR (1998)
171.155 An applicant must establish a security program that minimises the risk of unauthorised access, entry by animals, or malicious damage to a service or facilities. The security program is to be in accordance with the standards in Chapter 9 of [MOS Part 171](#).



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3. Approved ATEL/ANAV Service Provider's Operations Manual

3.13 Changes to Procedures

Approved by Executive Manager, Regulatory Services Draft Version 1.0: August 2002

3.13.1 Changes to Procedures

CAR (1998)
171.160 An Operations Manual must include the process by which the applicant intends to undertake changes to its established operation and maintenance procedures. This may be part of the Safety Management System, or a stand-alone process. It should cover the design and authorisation aspects of change management.



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3. Approved ATEL/ANAV Service Provider's Operations Manual

3.14 Safety Management System

Approved by Executive Manager, Regulatory Services Draft Version 1.0: August 2002

3.14.1 Safety Management System

CAR (1998)
171.125 The Safety Management System adopted by the organisation must comply with the standards in the MOS. CASA assessing officers should take into account the type of service provider in considering the adequacy of the SMS. (Refer to [MOS Part 171](#), Chapter 3).



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3. Approved ATEL/ANAV Service Provider's Operations Manual

3.15 Technicians—Qualifications, Training and Certification

Approved by Executive Manager, Regulatory Services Draft Version 1.0: August 2002

3.15.1 Requirements

CAR (1998) 171.050 Subregulation 171.050, together with the standards in the MOS Part 171, establish the personnel qualifications and the specialised training required of technicians engaged by a service provider to operate, and/or to carry out maintenance on, facilities providing aeronautical telecommunication or radionavigation services.

'Technician' is a defined term in Part 171. It means a person who is engaged by a service provider to operate or maintain any facility, or to conduct measurements of the performance or calibration of a facility during a flight inspection.

3.15.2 Qualifications

The minimum qualifications required for technicians are listed in the MOS Part 171.

3.15.3 Certification

It is necessary for service providers to have a system in place for assessing the competency of technicians.

Approved organisations are required to provide technicians with a personal certificate that lists the authorisations that the technician has been given. This certification must include the types of facilities for which the technician has been granted authorisation, the operation and maintenance functions authorised, the date at which each authorisation was granted, and the date at which the authorisation expires, or the date on which revalidation or reassessment is required.

3.15.4 Training

Technicians who carry out functions associated with the operation and maintenance of facilities must be given specialized training on the facility type followed up by an on-the-job evaluation of their competence.

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3. Approved ATEL/ANAV Service Provider's Operations Manual

3.15 Technicians—Qualifications, Training and Certification

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3.15.5 Competency Assessment

It is necessary to have a procedure for ongoing competency checking, recency checking and refresher training to ensure retention of competence.

The competency assessments must be carried out by a person holding the qualifications prescribed in the [MOS Part 171](#) for assessors, and the assessment process must ensure that each technician:

- Has received a course of training or instruction in the operation and maintenance of each facility for which he/she has responsibility; and
- Has been assessed as competent to operate and maintain those facilities without supervision.



3.15.6 Contract Technicians

Where an approved organization engages a third party organization to provide technicians to operate or maintain a facility covered by the Certificate, the certificate holder remains responsible for compliance with the requirements of [Part 171](#), including the requirements in relation to technician qualifications, training and certification.



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3. Approved ATEL/ANAV Service Provider's Operations Manual

3.15 Technicians—Qualifications, Training and Certification

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3.15.7 Functions Which can Only be Carried out by Technicians Holding a Personal Certification

In amplification of the above requirements, the term 'operate or maintain a facility' in the context of [Part 171](#) means any actions undertaken on the facility which can affect its performance while it is in operational service.

This includes:

- Placing a facility into operational service; including the associated parameter checks and measurements of the performance of the facility taken immediately prior to its placement into service, to ensure its accuracy and integrity;
- Removing a facility from operational service;
- Monitoring the performance of a facility and undertaking executive or operational functions on the facility, including re-configuration of the facility while the facility remains in operational service (this does not necessarily include basic go/no-go monitoring of the status of the facility derived from built-in test equipment or supervisory systems);
- Undertaking periodic performance inspections, measurements and adjustments in accordance with the maintenance plan while the facility is in operational service;
- Undertaking periodic maintenance in accordance with the maintenance plan while the facility remains in service; and
- Undertaking flight testing, measurement or flight calibration functions.

But does not include:

- Basic go/no-go monitoring or over-sighting the ongoing operational performance of any facility while it is online;
- Testing, engineering trials, maintenance, modification, or repair of any facility that has been taken out of operational service;
- Maintenance on a facility that has been taken out of service;
- Engineering trials on a facility that has been taken out of service; or
- Repair of modules or components of a facility at a remote agency.

These functions may be undertaken by persons holding qualifications equivalent to that required for technicians but not necessarily holding a personal certificate of authorisation to operate and maintain the particular facility.

4. Sample Documents

4.1 Application Form

Approved by Executive Manager, Regulatory Services Version 1.0: August 2002

4.1.1 ATEL/ANAV Service Provider — Application Form

The application form can be accessed on the CASA Website.



CIVIL AVIATION
SAFETY AUTHORITY
AUSTRALIA

ATEL/ANAV Service Provider — Application

Reference: CASR Part 171

Section A: Applicant Details

Person/Company Name	Registered Address	ACN
SAMPLE		
Principal(s)	Postal Address	Telephone No.
SAMPLE		

Section B: Operational Details to be Provided to CASA with Application

Location of Proposed Part 171 Operation:	
ATEL and/or ANAV Service(s) to be Provided:	Location and Coverage of Each Service:
Proposed Commencement Date:	
Daily Hours of Service:	
Organisation Chart:	Provided yes / no
Operations Manual:	Provided yes / no
Are facilities installed and operative?	yes / no
<i>Documentary evidence in support of all matters in this application may be requested</i>	

Section C: List of Non-compliances with MOS Part 171 and ICAO Annex 10

MOS or Annex 10 Reference <i>Attach list if insufficient space</i>	Details and Reason for Non-compliance

Section D: Declaration

On behalf of, I hereby apply for CASA Certification as an ATEL and/or ANAV Service Provider. Signed: My authority to act on behalf of the applicant is: Name of person making the declaration: Date: / /

4. Sample Documents

4.2 Letters

Approved by Executive Manager, Regulatory Services Version 1.0: August 2002

4.2.1 Sample Letter of Response to Application for a Certificate

CASA officers can access templates for the sample letters, certificate and conditions that follow on CASAconnect. (Follow the links **Forms + Manuals** then **Certificates and Templates**.)



CASA ref.:

Date:

{Applicant's name}
{Applicant's address - street}
{Applicant's address - city, state, postcode}

**SUBJECT: APPLICATION FOR AERONAUTICAL TELECOMMUNICATION
AND/OR RADIONAVIGATION SERVICE PROVIDER CERTIFICATE**

Dear *{name of applicant}*,

I refer to your letter of *{dd/mm/yy}* seeking to apply for approval as an Aeronautical Telecommunication and/or Radionavigation Service Provider.

Please find enclosed an application form (CASA Form 1094) that should be submitted as your formal application, along with the company organisation chart and your draft Operations Manual.

To assist in the preparation of your application, the Civil Aviation Safety Authority would be pleased to make an officer available for the purpose of preliminary discussions on Part 171 requirements and standards, and advice on the certification process.

The CASA contact officer is *{insert name here}* who can be contacted on CASA's National Telephone number 131 757, or by internet email: *{insert here email address of CASA project officer}*.

Yours sincerely,

{insert delegate's name and position}

4.2.2 Sample Letter to Grant an ATEL/ANAV Service Provider Certificate



CIVIL AVIATION
SAFETY AUTHORITY
AUSTRALIA

CASA ref. xx/xx

Date

{Applicant's name}

{Applicant's address - street}

{Applicant's address - city, state, postcode}

Dear *{name of applicant}*

**APPROVAL OF APPLICATION FOR ISSUE OF AN ATEL/ANAV SERVICE
PROVIDER CERTIFICATE**

I refer to your letter dated *{dd/mm/yy}* and your application for a Certificate to provide an Aeronautical Telecommunication and/or Radionavigation Service at *{name of location}*.

I am pleased to inform you that your application has been approved and the Part 171 Certificate, No. *{insert certificate number}* is enclosed. The service(s) for which approval is granted are listed on the Certificate. Please also note the conditions of the approval that are included as a part of the Certificate.

The operation and maintenance of the approved services must be carried on in accordance with the requirements of CASR Part 171 and the specifications, standards, and processes as set out in your approved Operations Manual (version.....).

Your ATEL/ANAV services will be subject to routine safety surveillance by officers of the Authority.

If you have any queries regarding this Certificate or any related matters please contact the CASA airways engineering specialist *{insert name here}* either in writing at the above address, by email at address *{insert here email address of CASA project officer}*, or by telephone on the CASA National number 131 757.

Yours sincerely

{Delegate's name and position}

Telephone *{ insert telephone number}*., fax *{ insert fax number}*., e-mail *{ insert e-mail}*.

Enclosures: Enclosure ID/Title (*{ insert number of pages}*.pages)

4.2.3 Sample Letter of Refusal to Grant a Certificate



CIVIL AVIATION
SAFETY AUTHORITY
AUSTRALIA

CASA ref. xx/xx

Date

{Applicant's name}

{Applicant's address - street}

{Applicant's address - city, state, postcode}

APPLICATION FOR ATEL/ANAV SERVICE PROVIDER CERTIFICATE – CIVIL AVIATION SAFETY REGULATION PART 171

Dear *{name of applicant}*

I refer to your letter dated *{dd/mm/yy}* and your application for an Aeronautical Telecommunication Service and/or Radionavigation Service Provider Certificate under CASR Part 171.

Your application has been assessed in accordance with the requirements and standards of Civil Aviation Safety Regulation (CASR) Part 171. I regret to inform you that your application has not been approved at this time, for the following reason(s):

{Delete whichever of the following do not apply and add other specific reasons as applicable}

a) Your organisation's draft Operations Manual is unsatisfactory in that it does not establish or reflect the standards required by CASR Part 171 and the Manual of Standards Part 171. The specific areas which are unsatisfactory are:

{insert specific aspects in relation to Operations Manual}

b) Following inspection of your existing facilities and equipment, it has been determined that the services you have applied to provide cannot meet the relevant standards, in particular:

{insert relevant standards which have not been met}

c) Following assessment of your proposed organisation, CASA is not satisfied that you will be able to properly operate and maintain the services you have applied to provide.

{insert details of shortcomings in relation to organisation, key personnel, technicians, etc.}

d) *{insert additional reasons as applicable}*

In view of these deficiencies, and your responses to date, CASA has decided that your organisation is unable to comply with all of the requirements and standards for the issue of a Certificate at this time.

If you wish to discuss this matter, please contact the CASA project officer, *{insert name}*, telephone 131757, or by email to *{insert email address}*.

Yours sincerely

{Insert name and position of CASA Part 171 delegate}

4.3.1 Sample ATEL/ANAV Service Provider Certificate



CIVIL AVIATION
SAFETY AUTHORITY
AUSTRALIA

**Aeronautical Telecommunication Service and
Radionavigation Service Provider Certificate**

**Certificate No. {enter ATEL/ANEV Certification
Number}**

Civil Aviation Regulation Part 171
SAMPLE
This certificate authorises
{enter name}

to provide the following ATEL/ANAV services:

*{enter listing of approved services and their location and/or
coverage}*

This Certificate is issued under Civil Aviation Safety Regulation Part 171. The operation and maintenance of the approved services is subject to the Civil Aviation Act 1988, the Civil Aviation Safety Regulations, and any relevant direction issued by the Civil Aviation Safety Authority, including any conditions on the reverse of this Certificate.

Date of effect of Certificate: *{enter date of commencement of approval}*

This Certificate remains in force until surrendered, suspended or cancelled.

{insert name and position of the CASA Part 171 delegate}

{insert date of signature by the delegate}



4.3.2 Sample Conditions to the Certificate

**Aeronautical Telecommunication Service
and Radionavigation Service Provider
Certificate**

Approved Service Provider: *{insert name}*

Address: *{insert address of Service Provider}*

Conditions of Approval

- SAMPLE**
- Level of service, and operation and maintenance of service must be in accordance with the approved Operations Manual of the approved service provider.
 - NOTAM action is to be taken on commencement of service pending published advice in ERSA.
 - The Service provider is subject to regular CASA audit of service provision.
 - Any change to the services provided must be referred to CASA for approval.

4. Sample Documents

4.4 Checklist

Approved by Executive Manager, Regulatory Services Version 1.0: August 2002

4.4.1 ATEL/ANAV Service Provider Certificate Checklist

The checklist can be accessed on the CASA Website.



ATEL/ANAV Service Provider Certificate Checklist

Reference: CASR Part 171 and MOS Part 171

The processing officer(s) must complete this checklist to ensure that each step of the application process is completed prior to issuing a Certificate to an ATEL/ANAV provider.

Tick each box to indicate the satisfactory completion of the task. Also note the date of completion of each task against the box.

Sign and date this form and file it on the appropriate file when the process is completed.

File raised _____ File No. _____		Compliance with MOS Chapters	
1	Acknowledgment of applicant's application within 7 days <input type="checkbox"/>	1 <input type="checkbox"/>	2 <input type="checkbox"/>
2	Face-to-face meeting <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
3	Operations Manual provided by the applicant <input type="checkbox"/>	5 <input type="checkbox"/>	6 <input type="checkbox"/>
4	Application checked for completeness <input type="checkbox"/>	7 <input type="checkbox"/>	8 <input type="checkbox"/>
5	Documentation assessed against CASR Part 171 and MOS 171 <input type="checkbox"/>	9 <input type="checkbox"/>	
6	Applicant assessed as being able to provide a service <input type="checkbox"/>		
7	Certification granted/declined <input type="checkbox"/>		
8	Applicant advised of outcome <input type="checkbox"/>		
9	Certificate issued <input type="checkbox"/>		
10	Operations Manual documentation manual/s endorsed and returned <input type="checkbox"/>		
11	RS Division notification completed and data entered on ASSP <input type="checkbox"/>		
12	Notify Compliance Division of new provider to be included in their audit schedule <input type="checkbox"/>		
13	New provider listed on the CASA web page <input type="checkbox"/>		
14	Ensure compliance with entry in Air Navigation Documentation—e.g. ERS/NOTAM <input type="checkbox"/>		
15	<input type="checkbox"/>		
16	<input type="checkbox"/>		

Signed: Date:..... / /

Name and Position: Assessing Officer

ATEL/ANAV Service Providers—Entry Control Procedures Manual

Revision History

Approved by Executive Manager, Regulatory Services Version 1.1: November 2010

Version No.	Date	Part/Section	Details
Version 1.1	Nov 2010	Table of Contents	Added Preface.
Version 1.0	June 2002	All	New Manual.

ATEL/ANAV Service Providers—Entry Control Procedures Manual

Revision History

Approved by Executive Manager, Regulatory Services Version 1.1: November 2010

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