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Civil Aviation Safety Authority

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Air Traffic Service Providers - Entry Control Procedures Manual

November 2024

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Acknowledgement of Country

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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 <https://www.casa.gov.au/search-centre/manuals-and-handbooks/air-traffic-service-training-provider-entry-control-procedures-manual>.

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.

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References

Acronyms

The acronyms and abbreviations used in this manual are listed in the table below.

Table 1. Acronyms

Acronym and abbreviation	Description
AIP	Aeronautical Information Publication
ATC	Air Traffic Control
ATS	Air Traffic Service
CASA	Civil Aviation Safety Authority
CASR	<i>Civil Aviation Safety Regulation 1998</i>
DPS	Data Product Specification
ICAO	International Civil Aviation Organization
MOS	Manual of Standards
NOTAM	Notice to airmen: <ul style="list-style-type: none"> • A notice to airmen issued by the Australian NOTAM office and containing information • Instruction concerning the establishment, condition or change in facility, service, procedure or hazard
SMS	Safety Management System

Definitions

Terms that have specific meaning within this manual are defined in the table below.

Table 2. Definitions

Term	Definition
Air Traffic Service (ATS)	An air traffic service of a kind mentioned in ICAO Annex 11.
ATS provider	A person approved under CASR Part 172 to provide the air traffic services that are covered by the approval.
Manual of Operational Standards Part 172	Document published by CASA titled Manual of Standards Part 172 – standards applicable to the provision of Air Traffic Services.
Operations Manual	In relation to an ATS Provider, the manual prepared and maintained by the provider in accordance with CASR Part 172.

Reference material

The reference material used in this manual are listed in the table below.

Table 3. Reference material

Document type	Title
<i>Civil Aviation Safety Regulations 1998</i>	Part 172 – Air traffic service providers
Manual of Standards Part 172	Air Traffic Services
Part 2 of <i>Air Services Act 1995</i>	Division 2, Section 8
Part 2 of <i>Air Services Regulations 1995</i>	Division 2
ICAO Annex 11	Air Traffic Services
ICAO Annex 10 Vol II	Communication Procedures including those with PANS status
ICAO Doc 4444	PANS-Air Traffic Management
ICAO Doc 7030	Regional Supplementary Procedures

Revision history

Revisions to this manual are recorded below in order of most recent first.

Table 4. Revision history

Version number	Date	Parts and sections	Details
3.0	November 2024	All	Transferred to web accessible template
2.0	July 2012	Entire Manual	Changes to entire manual. Updated old information
1.1	November 2010	Table of Contents	New Preface added.
1.0	July 2002	Entire Manual	First release of the Air Traffic Service Training Providers— Entry Control Procedures Manual.

1 Part 172 Regulatory Requirements

1.1 Purpose and Scope of this Manual

1.1.1 Purpose of the Manual

CASR Part 172.

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 Civil Aviation Safety Regulation 1998 (CASR) Part 172 to provide an air traffic service (ATS).

1.1.2 Scope of the Manual

This manual is a part of the CASA document set. It includes procedures, flowcharts, sample forms, letters, ATS Approval Certificate, and a checklist, to assist CASA officers assessing applications for approval as an ATS provider.

The manual includes:

- Part 1: Regulatory Requirements
- Part 2: Approval Procedures for ATS Providers
- Part 3: Contents of an ATS Provider's Operations Manual
- Part 4: Sample application form, letters, the certificate and conditions and a certification checklist.

By adhering to the procedures set out in this Manual, a standard and unified approach within CASA, consistent with regulatory requirements, will be created and maintained when assessing and approving organisations as ATS providers.

1.1.3 Target Audience

The target audience for this manual is CASA staff involved in assessing applications for approval as ATS providers under the provisions of CASR Part 172.

1.2 Regulatory Requirements

1.2.1 Subpart A—General

Subpart A contains general matters including the contents of the Part, Applicability, Definitions for the Part including the definition of an ATS Provider, and in Regulation 172.020, the basic regulatory requirement that restricts the provision of air traffic services to persons (the term persons in the regulations legally includes organisations) approved by CASA under Part 172 of the Civil Aviation Safety Regulations.

1.2.2 Subpart B—Approval as an ATS Provider

Subpart B establishes the general processes involved in application and approvals, including applicant eligibility, the certification process, the content of the Certificate, and variations to Certificates. This Subpart is general; the specific requirements and processes are contained in Subpart F relating to Administration of applications.

1.2.3 Subpart C—Requirements to be Complied with by ATS Providers

Subpart C specifies the organisational, technical and personnel requirements and technical standards for prospective or approved providers of ATS. It also establishes the regulatory requirement for a service provider's Operations Manual. Assessment of an application by CASA's technical specialists will centre on this Subpart.

1.2.4 Subpart D—Telling CASA about Changes

Subpart D provides that an ATS provider must advise CASA of any changes that materially affect its capacity to provide any of its services, or of intention to discontinue service provision.

As this Subpart relates to approved providers, it will not be of interest in entry control.

1.2.5 Subpart E—Miscellaneous

Subpart E establishes that an ATS provider must not provide a service unless its approval is in force and covers the particular type of ATS.

1.2.6 Subpart F—Administration

Subpart F describes the specific administrative rules in relation to applications and the approval process for ATS providers. CASR Part 11 specifies the more generic administrative rules. The procedures in this Manual reflect the regulatory provisions of Subpart F and CASR Part 11.

1.3 Introduction to ATS Regulatory Requirements

1.3.1 Operational Requirement for ATS

The operational objective of the services provided by ATS are specified by ICAO Annex 11 to be:

- a. To prevent collisions between aircraft
- b. To prevent collisions between aircraft on the manoeuvring area and obstructions on that area
- c. To expedite and maintain an orderly flow of air traffic
- d. To provide advice and information useful for the safe and efficient conduct of flights
- e. To notify appropriate organisations regarding aircraft in need of search and rescue aid, and assist such organisations as required.

The **Air Traffic Services** comprise three separate services, identified as follows:

- The **Air Traffic Control (ATC) service**, which is sub-divided into three distinct types of control function, as follows:
 - **Approach control service**: the provision of ATC for arrival and departure flights to accomplish (a) and (c) above
 - **Aerodrome control service**: the provision of ATC for aerodrome traffic to accomplish (a), (b) and (c) above
 - **Area control service**: the provision of air traffic control service for controlled flights excepting that provided by the approach control service or the aerodrome control service
- The **flight information service**, to accomplish (d) above
- The **alerting service**, to accomplish (e) above.

1.3.2 Assessing the Applicant

In making applications for approval, an organisation must clearly indicate which of these services the application covers.

In assessing applications, CASA officers must ensure that the applicant has the organisational structure, ATS facilities and equipment, enough suitably qualified and trained personnel, and the external data and coordination interfaces necessary to provision of the nominated services.

This will entail assessing officers working through the checklist provided herein to ensure that all of the regulatory requirements in CASR Part 172 and the Manual of Standards – Part 172 (Part 172 MOS) are covered in a systematic way. An approval should not be given unless every one of the regulatory requirements/standards has been assessed, and each adequately addressed and met by the applicant.

1.3.3 Regulatory Standards and Procedures for the Provision of ATS

CASR 172.065, 172.070 and 172.075.

The standards and procedures under which any ATS is to be provided must be in accordance with the following:

- The Civil Aviation Safety Regulations 1998
- The standards in the Part 172 MOS
- The standards in ICAO Annex 11
- The procedures in ICAO PANS ATM (Doc 4444)
- The procedures in ICAO Regional Supplementary Procedures (Doc 7030)
- The radiotelephony procedures set out in Parts 1 and 2 of the AIP
- The standards for the procedures for aeronautical telecommunications set out in Vol II of Annex 10
- As varied by the AIP.

1.3.4 Operations Manual

In making application for approval, prospective providers are required to provide CASA with a copy of their proposed Operations Manual. This initially forms the basis of the submission for application assessment. 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.

Prospective providers will need to establish procedures that address the regulatory requirements in CASR Part 172 and in the Part 172 MOS.

The content of the Operations Manual is specified in Division 1 of the Part 172 MOS.

1.3.5 Preparation by CASA Assessing Officers

Before undertaking consideration of an application, CASA assessing officers should prepare by becoming familiar with the content of:

- CASR Part 172
- Manual of Standards Part 172
- ICAO PANS ATM (Doc 4444)
- ICAO Regional Supplementary Procedures (Doc 7030)
- Relevant ICAO Annexes.

2 Approval Procedures for ATS Providers

2.1 Approval Procedures for ATS Providers—Flowchart

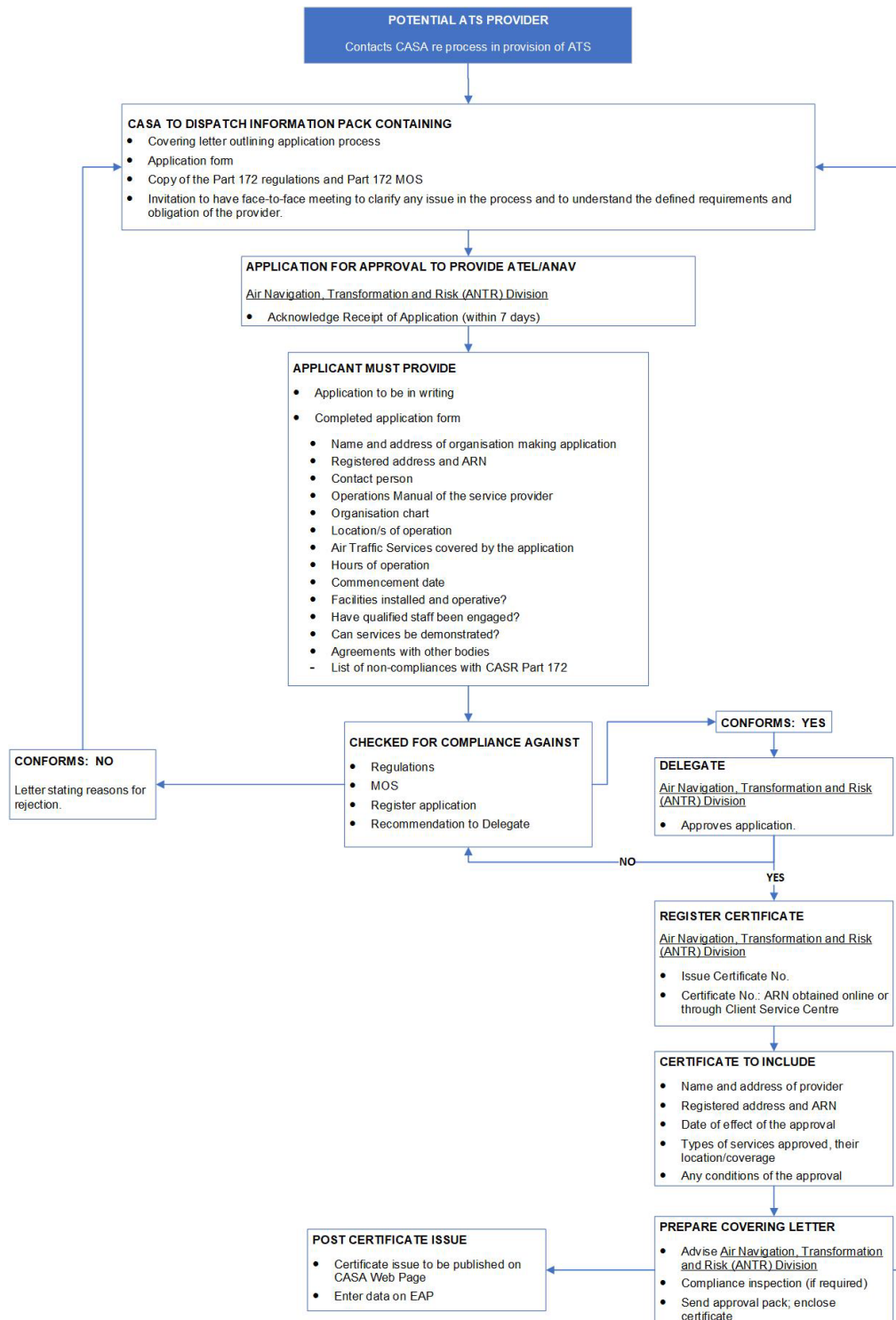


Figure 1: 2.1 Approval Procedures for ATS Providers—Flowchart

2.2 Initial Enquiries Regarding Application and Approval of ATS Providers

2.2.1 Handling Initial Enquiries

When handling initial enquiries from a prospective applicant, consideration should be given to the items in paragraphs 2.2.2 to 2.2.7 below.

2.2.2 When is an ATS Provider Certificate Required?

CASR 172.020

CASA approval to operate must be obtained by a prospective ATS provider before any service can be delivered.

2.2.3 Who May Make an Application?

CASR 172.024, 172.205

A person is eligible to apply for approval as an ATS provider if they are any of the following:

- the Commonwealth;
- Airservices Australia;
- a person who is to provide an air traffic service:
 - » in cooperation with AA, in accordance with paragraph 11(3)(b) of the *Air Services Act 1995*; or
 - » by arrangement with AA, in accordance with paragraph 11(3)(c) of the *Air Services Act 1995*.

A joint application purportedly made by a partnership, or by two or more persons jointly, is not an acceptable application.

2.2.4 What is Required?

CASR 172.215

The application for a certificate to operate must be made in writing. The following details and documents are required with an application:

- If the applicant is an individual, the individual's name and address
- If the applicant is a corporation, the applicant's registered address and ARN, and the names and addresses of its officers
- A list of the ATS services for which the application is being made
- The following information about each service:
 - the location from which the service is proposed to be provided;
 - the area of Australian territory, and the aerodromes, airspace and ATS routes, that the service is proposed to cover;
 - the hours during which the service is proposed to be available
- A listing of any non-compliance with any of the standards in Part 172 of the CASR, and the reasons for, and consequences of, each listed non-compliance

- The proposed commencement date for service provision
- A copy of the organisation's draft Operations Manual for certification assessment and retention. The Operations Manual must be a controlled document.

2.2.5 Content of Operations Manual

CASR 172.060

The required contents of an Operations Manual of an approved provider are specified in Chapter 2, Part 172 MOS. These requirements are amplified in Part 3 of this Manual. The Operations Manual forms the technical basis of any application.

2.2.6 Confidentiality of Information Provided

Any organisational or corporate-related information provided by an applicant for a Part 172 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 is not to 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

CASR 172.024

On receipt of an application, an initial desk-top assessment of the application and the Operations Manual will be conducted:

- The desk-top assessment will be directed toward establishing to what extent the requirements specified in the CASR Part 172 and Part 172 MOS have been met
- After the initial assessment is undertaken, if applicable, any areas of shortfall in the applicant's Operations Manual, must be notified to the applicant 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 demonstrated.

2.3 Approval Process

2.3.1 On Receipt of a Written Request Form from an Applicant

On receipt of a written application, carry out the following:

- Raise a new electronic 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 172 and the Part 172 MOS. Use the ATS Provider Certification Checklist (form 1136) to record the results of this assessment.

2.3.2 Matters to Take into Account

CASR 11.032, 11.050

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
- Anything that 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.

If an applicant has previously been approved as an ATS provider, and the approval was cancelled by CASA for contravention of the Act or the Regulations, the applicant must provide any available evidence tending to show that the applicant could now properly provide the air traffic services applied for.

2.3.3 CASA May Ask the Applicant for More Information

CASR 11.040

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 CASA May Ask for Demonstration of a Service

CASR 11.045, 172.230

When considering an application for approval, CASA may ask the applicant in writing to demonstrate its Air Traffic Service.

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

2.3.5 Prepare a Letter of Approval and the Certificate

CASR Part 11, Subpart 11BA

Prepare the letter of approval (see section 4.2) and the ATS Provider Certificate (see section 4.3) for the CASA delegate's approval.

2.4 ATS Provider Certificate

2.4.1 Content of an ATS Approved Provider Certificate

An approved ATS provider certificate is to include the following details:

- The identity of the approved provider (name and address and, if a corporation, its ARN and registered office)
- A list of those air traffic services approved under the certificate, together with details of their location, and aerodrome and airspace, as applicable

- The date of approval of the certificate
- Conditions of the approval.

2.4.2 Conditions to be Specified on the Certificate

CASR 11.056, 11.067, 172.270

CASA may impose conditions on the certificate:

- in the interests of the safety of air navigation
- in the interests of preserving a level of aviation safety that is at least acceptable; or
- to give effect to an arrangement in subsection 11(3) of the *Air Services Act 1995*.

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

CASR 172.260

If a person/organisation has applied for approval as an ATS provider and the applicant has demonstrated compliance, CASA must grant an approval.

However, approval would normally be withheld, where an ATS is already approved by CASA and is operating in the same airspace or the same aerodrome as that service which the applicant proposes to provide. An example of this possibility is the provision of an aerodrome control service at an aerodrome where another approved provider already provided a control service.

2.4.4 When the Decision Must be Made

CASR 172.265

CASA must make a decision about an application within 6 months after receiving it. If a decision is not taken in 6 months, regulation 172.265 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 CASR 11.035, 11.040, 11.045, 11.047, 11.050(2) or 11.050(3A). The time between when CASA makes the request and when the applicant conducts a demonstration, comes in for an interview, provides CASA with the information, makes a statutory declaration or a written submission is not included in the 90-day period.

2.4.5 Suspension or Cancellation of Approval

CASR 172.310, 172.315, 172.320, 172.325, 172.327

CASA may suspend or cancel an approval if the Regulation is breached. However, CASA must be able to justify the suspension or cancellation.

Suspension is by a 'show cause' notice to the provider.

Cancellation requires CASA to provide the facts and circumstances in a show cause notice. The show cause notice must invite the provider to show in writing within a reasonable period why the approval should not be cancelled.

CASA must cancel the approval of a person if an air traffic service provided in cooperation, or by arrangement, with Airservices ceases.

All proposed actions to suspend or cancel a Certificate should be coordinated with the CASA Legal, International & Regulatory Affairs Division.

2.5 Issue of ATS Approved Provider Certificate

2.5.1 Delegate Actions

Following assessment of the application and completion of the compliance/entry control checklist—ATS Provider Certification Checklist (Form 1136), the ATS Provider Certificate and the approval letter are to be forwarded to the CASA Part 172 delegate for signature.

If the Part 172 delegate is satisfied that all requirements have been met, they will sign the approval letter.

CASA retains:

- One copy of the approved provider's Operations Manual; and
- A copy of the Air Traffic Service Provider Certificate.

The following documents are sent to the applicant:

- CASA's approval letter
- The Air Traffic Service Provider Certificate.

See section 4.2 for the following sample letters:

- Letter of Approval of Application for Issue of an ATS Provider Certificate
- Letter of Refusal to Grant an ATS Provider Certificate.

2.6 Term of Air Traffic Service Provider Certificate

Certificates are normally issued for three years but may be varied where CASA deems necessary.

However, a date for the review of any conditions placed on the certificate is to be included. That date will be dependent 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.

2.7 Changes to Certificate

2.7.1 Imposing and Varying Conditions on a Certificate

CASR 172.055

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
- An additional service is added
- It is necessary to add a condition or to vary any of the conditions on a Certificate.

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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 Air Traffic Service Provider Certificate with the amended or additional entries covering:

- The change to a service
or
- A new service
or
- The change to a condition
or
- A new condition.

It will be necessary in such cases for the approved provider to enclose any variation documentation to support the amendment to its Operations Manual.

3 Approved ATS Provider's Operations Manual

3.1 Operations Manual to Contain or Refer to Information

3.1.1 Content

CASR 172.060

The content of an Operations Manual must meet the requirements specified in Subpart C of CASR Part 172 and the Part 172 MOS.

The items that must be included in an Operations Manual, together with a short description of the type of information to be included for each item, are listed in the following paragraphs.

CASR Part 172 requires that an ATS approved provider must ensure that any service is provided in accordance with its Operations Manual. Therefore, the importance of an applicant having an Operations Manual that adequately and appropriately addresses the mandatory contents cannot be overstated.

3.1.2 Reference to Other Documents

It is CASA policy that a requirement to include particular information in an Operations Manual may be satisfied by making reference in the Manual to that information in another document held by the service provider.

3.2 Organisational Structure and Functions

3.2.1 Organisational Chart

CASR Division 172.C.4

An organisational chart of the service provider in the Operations Manual should include:

- A chart or other means of describing the provider's organisational structure
- The names and relevant qualifications and positions of the principals (officers) of the organisation
- A description of the chain of command to be established by the provider with a statement of the duties and responsibilities of the supervisory positions within the organisational structure
- A statement showing how the provider determines the number of operational staff required, including the number of operational supervisory staff.

3.3 Proposed Air Traffic Services

3.3.1 Types of Proposed Services

The Operations Manual must include:

- A statement setting out the Air Traffic Services, and the related functions, that the provider proposes to perform under CASR Part 172.
- The proposed hours of operations of each service.
- The airspace within which each service is to be provided. This may be by reference to the Designated Airspace Handbook or an aeronautical chart such as a VTC, ERC, etc.
- The specific location or locations in the case of distributed facilities, from which each service is to be provided.
- If the proposed service is an ATS for a controlled aerodrome:
 - A chart of the manoeuvring area of the aerodrome showing all runways, taxiways, parking areas, etc.
 - Extract(s) from the Aerodrome Emergency Plan (AEP) relevant to the ATS functions.
- A copy of the procedures as set out in the aerodrome manual for preventing unauthorised entry of persons or things onto the movement area of the aerodrome.
- A copy of the procedures as set out in the aerodrome manual for the control of surface vehicles on or in the vicinity of the manoeuvring area.
- A duty statement including the functions, responsibilities, and hours of operation, of each operating position.

3.3.2 Assessment of Standards

It is important that CASA compliance officers make an assessment of the relevance and adequacy of the above standards for each service. In particular, attention should be given to organisational structure and the provision of sufficient operational staff, both at supervisory and functional level, to provide the proposed services.

3.4 Information Necessary for Service Provision

3.4.1 Input Data

The Operations Manual must include a description of the arrangements made or proposed to be made by the applicant to ensure that it has, and will continue to receive, the information necessary for providing each service:

- This requirement includes information that is both internally and externally sourced
- The description should nominate the information requirement, its use in service provision, its source, and the means of its transfer, receipt and display
- The integrity levels of the data should also be defined, and be consistent with its operational criticality
- Data that is sourced from another approved Part 172 provider or is in electronic form from an approved Part 171 provider, can be considered to be adequate in respect to integrity.

Examples of Data Sources

Examples of data sources normally required are:

- Aerodrome works and administration coordination
- AIS
- ARFFS coordination
- AFTN
- NOTAM
- Flight notification
- Information on aerodrome conditions and the operational status of facilities and navigation aids

- Information on unmanned free balloons
- Information concerning volcanic activity
- Information concerning radioactive material and toxic chemical clouds.
- Local and remote radar data
- Meteorological information
- Meteorological warning service
- Voice coordination with adjacent Part 172 providers

3.4.2 Output Data

The Operations Manual must include a description of the arrangements made or proposed to be made by the applicant to ensure that it can, and will continue to be able to, provide the information in relation to its air traffic services to other organisations whose functions reasonably require that information (e.g. other ATS units and centres, SAR alerting):

- The description should nominate the information requirement and recipient, and the means of its transfer
- The integrity levels of the data should also be defined, and be consistent with the provider's operational criticality
- Examples of data recipients could normally be:
 - AIS
 - Adjacent Part 172 providers
 - Aerodrome administration
 - ARFFS
 - The Part 171 provider
 - AMSA
 - Other Government Agencies.

3.4.3 Provider's Record Keeping System

The Operations Manual must include the requirement for a record keeping system that covers identification, collection, indexing, storage, security, maintenance, access and disposal of records necessary for the provision of air traffic services.

The records systems must provide an accurate chronicle of ATS activities for the purpose of reconstruction of events for air safety investigation or for system safety analysis within the Safety Management System.

The type of records to be kept, and the time of retention, is specified in the MOS Part 72.

Assessing officers should ensure that the applicant has a system in place that will cover all the record types required, including operational voice records.

3.5 Agreements with Other Organisations

An Operations Manual must contain a copy of any agreement with other bodies entered into by the provider in relation to the provision of any of the air traffic services.

The following agreements will normally be required:

3.5.1 Provider Agreement

An agreement with a Part 171 provider, or a prospective Part 171 provider, that provides, or is proposing to provide, the aeronautical telecommunication facilities required for ATS provision. This will not be applicable in the situation where the Part 171 applicant is also the applicant for the supporting Part 171 service.

3.5.2 Aerodrome Operator Agreement

Such an agreement will be necessary in the situation where the Part 172 applicant is proposing to provide an air traffic service at a controlled aerodrome. The provider must have an agreement with the aerodrome operator covering the arrangements for controlling aircraft, vehicles, boats, and people on the manoeuvring area of the aerodrome. Where the facilities necessary for ATS provision, such as a control tower, are the property of the aerodrome, the use of the facilities by the applicant should also be covered by the agreement.

CASA should not approve a Part 172 provider that intends to use aerodrome-owned facilities unless there is an agreement with the owner.

Where ATC conduct runway surface condition assessments and provide Runway Condition Reports (RCRs) for WET/DRY runways an agreement is required with the aerodrome operator.

3.5.3 AIS Data Product Specification (DPS)

If the details of any air traffic service e.g. ATS and aerodrome communication facilities, and hours of operation are to be published in the Aeronautical Information Publication (AIP), then an AIS provider will provide the Part 172 service provider with a DPS outlining the aeronautical data to be provided and how to provide it i.e. data quality requirements.

3.6 Safety Management System

CASR 172.145

An ATS provider must have, and put into effect, a safety management system (SMS) that includes the policies, procedures, and practices necessary to provide the air traffic services covered by its approval safely.

The SMS described in the Operations Manual and adopted by the organisation must comply with all the standards encompassed in Part 172 MOS.

The SMS is an important component of an ATS provider's operation. It should be an indication of the safety culture of an organisation as it defines the policies, procedures and practices for managing the safety of the provision of ATS, and managing any changes in the provision.

The SMS should include the processes proposed for management review of its SMS, and the implementation of corrective action as necessary.

CASA assessing officers should take into account the type of service that is proposed by the provider in considering the adequacy of the SMS.

3.7 Security Program

CASR 172.155

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 8 of Part 172 MOS.

Where an aerodrome owner primarily controls the security of an ATS facility, the Operations Manual should include that as an element of the security program.

3.8 Disseminating Information to Staff

The Operations Manual must contain a description of the procedures and documentation to be adopted and used by the applicant to provide its staff with information on:

- The relevant standards for service provision, including the ICAO standards in Annex 11 and Annex 10 Vol II, ICAO PANS ATM (Doc 4444) and Chapter 10 of Part 172 MOS
- Operational instructions to staff
- Operational changes that are to be conveyed to staff.

3.9 Training and Checking Program

CASR 172.140

The Operations Manual must detail a provider's training and checking program and provide assurance that any individual performing any functions in air traffic services is competent to perform that function.

It is important that the applicant's proposed training and checking program covers all elements in Chapter 5 of Part 172 MOS and requirements of CASR Parts 65 and 143.

3.10 Commissioning New Facilities, Equipment and Services

Under this requirement, the Operations Manual should describe the processes for the installation, commissioning and transition into service phases of new facilities, equipment and services, and provide evidence, arguments and assumptions for acceptance of the operational performance and the safety of the facility, equipment, procedure or service.

The procedures must ensure that the design objectives in respect to performance and safety have actually been met, or if not met, that appropriate corrective actions and/or risk mitigation has been implemented.

There should be a process for sign-off authorisation by authorities responsible for the design, performance, operation and maintenance of the new system, prior to it being commissioned.

Advisory Circular 172-02 - Guidelines for preparing safety cases covering CASR Part 172 services provides guidance on when a safety case may be required.

3.11 Revising the Operations Manual

An applicant must include in the Operations Manual the processes proposed for the preparation, authorisation and issue of amendments to its Operations Manual.

The Operations Manual must be a controlled document and, therefore, the amendment process must similarly be controlled.

4 Sample Documents

4.1 Application Form

4.1.1 ATS Provider — Application Form

The ATS provider application Form 1135 can be accessed on the [CASA Website](#).

4.2 Letters

4.2.1 Sample Letters in relation to an Application for a Certificate

CASA officers can access templates for the sample letters via the Document Catalogue: [Document Catalogue \(sharepoint.com\)](#).

4.3 Certificate

4.3.1 Issue of ATS Provider Certificate

The ATS provider certificate is issued within Enterprise Aviation Processing (EAP).

4.4 Conditions of Approval

4.4.1 Conditions of Approval for the Air Traffic Service Provider Certificate

CASA officers can access templates for the conditions on ATS provider approvals via the Document Catalogue: [Document Catalogue \(sharepoint.com\)](#).

4.5 Checklist

4.5.1 ATS Provider Certification Checklist

The ATS Provider Certificate Checklist (Form 1136) can be accessed on the [Document Catalogue \(sharepoint.com\)](#).