



Annex 4

Part 172 Air Traffic Services (ATS) Providers

Introduction

This annex is an integral part of the CASA Surveillance Manual (CSM), which should be referenced at all times. To allow for more frequent revisions, this annex can be updated independent of the CSM and other annexes. The process of updating this annex requires verification and approval from its owners and sponsors, as well as from Coordination and Safety Systems (CSS). An updated version can only be published once CSS has finalised the format, with the latest revision history data included in the revision table.

Revision history

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

Version Nº.	Date	Parts / sections	Details
6.0	November 2022	2	Update CSM reference
		3	Update table elements column
		3	Update to event type usage
		4	Update to PowerBI
5.0	December 2019	Section 2.1	Change of where to locate Health Check mandatory elements
4.0	April 2019	Inclusion of Introduction and Revision history.	These inclusions allow for updates and revisions independent of the CSM and other annexes.
4.0	April 2019	Section 2.1	Removal of recommended Health Check timeframes.
4.0	April 2019	Section 3	Removal of recommended surveillance intervals.
4.0	April 2019	Section 4	Addition of third-party audits.

1 Overview

This Annex provides instructions for conducting surveillance of CASR Part 172 Air Traffic Services and contains information relating to the following:

- Systems and Elements
- Systems and Elements – Health Checks
- Surveillance Currency Guide
- Information Sources.

2 Systems and Elements: ATS Providers

The audit technique involves assessing the documented system, comparing it against the actual system processes. The system is assessed for compliance and sampling conducted as appropriate. The assessment of the system is achieved by a questioning technique using the four attributes (12 components) of the Management System Model (MSM), see CSM Sections. 3.3.4 Risk Systems attributes – Management System Model (MSM) and 3.3.4.1 Systems attributes

The CASA description of an Air Traffic Service Provider (ATSP) consists of three systems incorporating 11 elements.

Table 1: System and Elements

Systems	Elements
Air Traffic Service	ATS Operations
	Towers, Terminal Control Units and Area Control Centres
	Security
	Data and Documents
	Support Systems
Personnel	Personnel Standards
	Personnel Rostering
Safety Management	Safety Policy and Objectives
	Safety Risk Management
	Safety Assurance
	Safety Promotion

Table 2: Air Traffic Services Elements

SYSTEM: Air Traffic Services	
ELEMENT: ATS Operations	
<p>This element addresses the systems and processes that an ATS provider must have to ensure the air traffic services it provides meets regulatory standards and addresses the systems that ensure the Authorisation holder contains its operations to those authorised. This is primarily achieved through the use of a properly structured organisation with appropriate communication channels. Appropriate key personnel are a key link in ensuring ATS operations are not only contained but are appropriate controlled. Examples include the Senior Supervisor (however named) and, Safety Manager.</p>	
Prompts:	
Organisation structure	Supervisory personnel
Operational staff	Appropriate communication channels
Appropriate key personnel	Operations contained to those authorised
Appropriate facilities	Commissioning of new Facilities
ATS Route Structure and Airspace	Alerting services including abnormal operations
ATS flow management	Environmental control
Flight Information Services	Air Traffic Services
ELEMENT: Towers, Terminal Control Units and Area Control Centres	
<p>This element consists of the systems that make up air traffic services within the confines of the defined area. The system should address, but is not limited to, aspects relating to personnel duties and responsibilities, ATS infrastructure suitability and communications.</p>	
Prompts:	
Visibility from control towers	Communication equipment
Information displays	Lighting and controls (internal and external)
Voice and data recording	Handover of movements
Loss of communications	Alarms and Alerts
Environmental control	Runway/Movement area incursions
Contingency measures	Automation
Facilities	Switching and control
Messaging	Surveillance systems
ELEMENT: Security	
<p>This element describes the systems that make up the control of security aspects associated with ATSP system. The documented system should address security aspects relating to facilities, personnel, vehicles and equipment of any sort within the confines of the ATSP area of responsibility.</p>	
Prompts:	
Security measures	Access to facilities
External security measures (fencing)	Internal security (Staff and visitor access to secure areas)
Vehicle access	Contingency measures

SYSTEM: Air Traffic Services	
ELEMENT: Data and Documents	
This element addresses all technical data, design drawings, regulatory documentation and quality/procedures manuals used in the course of carrying out ATSP operations.	
Prompts:	
Manual of Air Traffic Service	Standards for Air Traffic Services
Processes for ensuring the ATSP systems are fit for service	Operations Manual General
Document control	Document change management
Commissioning of new facilities	Transfer of information arrangements
ATS Route structure and airspace	Completeness of procedures
Log Books	Agreements with other Air Navigation Service Providers (ANSPs)
Agreements with aerodrome operators	Messaging
DAMP documentation	
ELEMENT: Support Systems	
This element addresses all aspect of operations that go into supporting the objectives of the authorisation holder. This may include, but is not limited to, aspects such as managing the use of computer and communications systems and appropriate support facilities.	
Prompts:	
Agreements with maintenance providers	Agreements with other third party providers
Agreements with aerodrome operators	Obsolete support systems
Replacement of aging support facilities program	

Table 3: Personnel Elements

SYSTEM: Personnel	
ELEMENT: Personnel Standards	
The ATSP authorisation holder is required to establish and maintain an appropriate organisation, with sound and effective management structure that includes a check and training system. The standards of personnel, including third party providers is required to be documented detailing induction training, periodic recurrent training/checking and any required upgrade training. A process for dealing with unsatisfactory performance should also be documented.	
Prompts:	
Induction training	Recurrent checking program
Upgrade training	Poor performance aspects
Recurrent training program	Training and performance
Checking and training	Personnel licensing
DAMP education and training	
ELEMENT: Personnel Rostering	
This element plays a significant role in achieving safe operations for it is through rostering that the authorisation holder ensures that required tasks are carried out with appropriate personnel that have appropriate qualifications, operate in accordance with legislative requirements, and have appropriate recency (if applicable) in order to safely conduct the planned task from the start of the duty period until completion. Rostering should take into consideration fatigue.	
Prompts:	
Roster production	Fatigue Issues
Qualifications	Recency and currency
DAMP supervision	

Table 4: Safety Management Elements

SYSTEM: Safety Management	
ELEMENT: Safety Policy and Objectives	
This element contains the systems and processes that ensure effective governance to support the safety management system are in place, this will include processes for the review and update of the authorisation holder's management and commitment (through Safety Policy, Just Culture and Safety Objectives), the appointment of key personnel, the accountabilities of management, the Emergency Response Plan and SMS documentation.	
Prompts:	
Management commitment and responsibility – safety policy	Appointment of key personnel
Management commitment and responsibility – just culture	Relevant third party relationships and interactions
Management commitment and responsibility – safety objectives	Coordination of emergency response plan
Safety accountabilities of managers	SMS documentation
ELEMENT: Safety Risk Management	
This element contains the systems and processes to ensure investigation, and analysis, of the safety risks associated with identified hazards resulting in the implementation of effective safety risk controls.	
Prompts:	
Hazard identification processes - reactive	Risk assessment and mitigation
Hazard identification processes - proactive	DAMP supervision
ELEMENT: Safety Assurance	
This element contains the systems and processes for setting, recording and evaluating system performance, conformance with regulations and company procedures, a process for the conduct of internal safety investigations, effectively manage change across the aviation activities conducted and drive continuous improvement of the SMS.	
Prompts:	
Safety performance monitoring and assessment – system performance	Internal safety investigation
Safety performance monitoring and assessment – assurance	Management of change
Safety performance monitoring and assessment – flight data analysis (if applicable)	Continuous improvement of SMS
DAMP supervision	

SYSTEM: Safety Management	
ELEMENT: Safety Promotion	
This element contains the systems and processes for ensuring personnel are appropriately trained, are aware of the SMS to a degree commensurate with their positions, which convey safety-critical information, explains why particular safety actions are taken, and; explains why safety procedures are introduced or changed must be evident.	
Prompts:	
Training and education	Safety communication
DAMP education and testing	

2.1 Health Check

Health Check mandatory elements are available on the CASA Intranet. Details of the current mandatory elements for each authorisation type are published separately to the CASA website.

3 Surveillance Currency Guide: ATS Providers

Surveillance level	Type	Elements
Level 1	Systems Audit	Systems and Compliance
	Health Check	Specific Elements and Compliance
	Post-authorisation Review	Entry Control Elements
Level 2	Operational Check	<p>e.g. Specific elements, risks and compliance, including:</p> <ul style="list-style-type: none"> • desktop reviews • manual reviews • key personnel interviews • site inspections • safety meeting – an event comprised primarily of an onsite or offsite meeting, with an authorisation holder’s safety staff for any purpose other than to investigate an incident or occurrence
	Unscheduled	<p>ATSB occurrence – desktop review – an event created as a result of a report received via the ATSB occurrence Management Process, involving investigation, education or verification of safety management of an authorisation holder or private aircraft operator.</p> <p>CIRRIS notification – desktop review – an event created as a result of a report received via the CIRRIS occurrence Management Process, involving investigation, education or verification of safety management of an authorisation holder or private aircraft operator.</p> <p>Note: Request from Executive – an event conducted because of a direction from a CASA executive. This event will be of a limited scope or as directed by the executive. Further information refer to Annex 1.</p>
<p>Note: Surveillance intervals are determined by the National Surveillance Selection Process (NSSP). Refer to the NSSP planned surveillance schedule for further information regarding surveillance intervals.</p>		

4 Information Sources

The following is a non-exhaustive list of information sources that can be accessed to support the assessment:

- past Surveillance Reports in Sky Sentinel
- third-party audits
- regulatory history, past surveillance, findings (Safety Findings and Safety Observations)
- Regulatory Service activity
- information gathered by the authorisation holder
- external information gathered from industry or other government agencies
- Enforcement action
- past accident/incident history, including safety occurrence reports
- risk management actions, including CIRRIS actions and Safety Cases or Safety Assessment Reports (SAR), provided by the authorisation holder
- ATS operational and technical documentation provided by the authorisation holder
- ATS administrative documents and records, including Letters of Agreement (LOA) and Memorandum of Understandings (MOU), provided by the authorisation holder
- ATS licencing and training documents and records provided by the authorisation holder
- ATS staff rosters provided by the authorisation holder
- aeronautical information (AIP, ERSA, DAP, MAP)
- compliance/achievement with ATS Acceptable Level of Safety (ALoS) measures or safety Key Performance Indicator (KPI)
- organisational structure and any proposed changes
- organisation's Part 172 Operational Manual including details of staffing arrangements, and supervisory personnel
- organisation's Safety Management System (SMS) and ICAO SMS requirements.

A large portion of this information is available to the surveillance team and authorisation management team via the Data Warehouse using the PowerBI application.

Note: For advice on where and how to access required information refer to CSM Information Capture and Access.