

# Air Traffic Services

Policy and guidance for providers of  
Air Traffic Services in the Isle of Man

CP11



01 December 2020



**Isle of Man**  
CIVIL AVIATION ADMINISTRATION

**Isle of Man Civil Aviation Administration**

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## 2. Revision history

Version	Date	Details
1	December 2019	Initial issue
2	October 2020	Complete update to reflect the requirements of the Civil Aviation (Air Traffic Services) Order 2020 and update Isle of Man CAA policy on the provision of ATS in the Isle of Man.

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### 3. Foreword

- 3.1 The IOM CAA is the division of the Government's Department for Enterprise that is responsible for regulating aviation safety and security in the Isle of Man. The IOM CAA also administers the Isle of Man Aircraft Registry and is responsible for ensuring aviation legislation in the Isle of Man meets International Civil Aviation Organisation Standards and Recommended Practices and other relevant European aviation standards.
- 3.2 The Isle of Man has its own aviation safety legislation separate from the UK. Therefore, unless UK or EU aviation safety regulations have been explicitly applied into Isle of Man law, they have no legal effect on the Island.
- 3.3 This CAA Publication:
- (a) identifies relevant legislation and IOM CAA policy requirements for the provision of an ATS in the Isle of Man; and
  - (b) clarifies the relationship to UK and EU ATS requirements and the respective roles of the IOM CAA and the UK CAA.
- 3.4 This publication has been prepared by the IOM CAA utilising the content of the Civil Aviation (Air Traffic Services) Order 2020<sup>1</sup>. However, Courts of Law will refer only to the source regulatory material.
- 3.5 Note – this is an advance copy – the Civil Aviation (Air Traffic Services) Order 2020 on which this CP relies becomes effective on the revocation by the UK of corresponding parts of the Air Navigation (Isle of Man) Order 2015. This revocation and consequent application date of the CP will be notified in due course.**

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<sup>1</sup> SD 2020/0136

## 4. Interpretations and abbreviations

Term	Meaning
<b>Aerodrome</b>	<p>(a) An area of land or water designed, equipped, set apart or commonly used for affording facilities for the landing and departure of aircraft; and</p> <p>(b) includes an area or space, whether on the ground, on the roof of a building or elsewhere, that is designed, equipped or set apart for affording facilities for the landing and departure of aircraft capable of descending or climbing vertically; but</p> <p>(c) does not include an area the use of which for affording facilities for the landing and departure of aircraft has been abandoned and has not been resumed.</p>
<b>Aerodrome control tower</b>	A unit established to provide air traffic control service to aerodrome traffic.
<b>Aerodrome control service</b>	<p>An air traffic control service for any aircraft -</p> <p>(a) that is on the manoeuvring area or apron of the aerodrome for which the service is being provided;</p> <p>(b) that is flying in, or in the vicinity of, the aerodrome traffic zone of that aerodrome by visual reference to the surface; or</p> <p>(c) that has been transferred from approach control in accordance with procedures approved by the Department.</p>
<b>Aerodrome flight information service</b>	Flight information service and alerting service for aerodrome traffic at an aerodrome.
<b>Aerodrome traffic</b>	All traffic on the manoeuvring area of an aerodrome and all aircraft flying in the vicinity of an aerodrome.
<b>Aircraft</b>	A machine that can derive support in the atmosphere from the reactions of the air other than the reactions of the air against the earth's surface.
<b>Air traffic advisory service</b>	A service provided within advisory airspace to ensure separation, in so far as practical, between aircraft which are operating on IFR flight plans.
<b>Air traffic control service</b>	A service provided for the purpose of preventing collisions between aircraft and, on the manoeuvring area, between aircraft and obstructions, and expediting and maintaining an orderly flow of air traffic.
<b>Air traffic control unit</b>	Variously area control centre, approach control unit or aerodrome control tower.

Term	Meaning
<b>Air traffic service</b>	Variously flight information service, alerting service, air traffic advisory service and air traffic control service (area control service, approach control service and aerodrome control service).
<b>Air traffic service equipment</b>	Ground based equipment, including an aeronautical radio station, used or intended to be used in connection with the provision of a service to an aircraft in flight or on the ground being equipment not otherwise approved by or under the Civil Aviation (Air Traffic Services) ATS Order 2020 <sup>2</sup> but excluding any public electronic communications network.
<b>Air traffic services reporting office</b>	A unit established for the purpose of receiving reports concerning air traffic services and flight plans submitted before departure.
<b>Air traffic services unit</b>	A generic term meaning variously, air traffic control unit, flight information centre or air traffic services reporting office.
<b>Alerting service</b>	A service provided to notify appropriate organisations regarding aircraft in need of search and rescue aid, and assist such organisations as required.
<b>Approach control service</b>	Air traffic control service for arriving or departing controlled flights.
<b>Approach control unit</b>	A unit established to provide air traffic control service to controlled flights arriving at, or departing from, one or more aerodromes.
<b>Area control centre</b>	A unit established to provide air traffic control service to controlled flights in control areas under its jurisdiction.
<b>Area control service</b>	Air traffic control service for controlled flights in control areas.
<b>The Department</b>	The Department for Enterprise.
<b>Control area</b>	A controlled airspace extending upwards from a specified limit above the earth.
<b>Controlled airspace</b>	Airspace that has been notified as Class A airspace, Class B airspace, Class C airspace, Class D airspace or Class E airspace.
<b>Fatigue</b>	A physiological state of reduced mental or physical performance capability resulting from sleep loss, extended wakefulness, circadian phase, and/or workload (mental and/or physical activity) that can impair a person's alertness and ability to perform safety-related operational duties.
<b>Flight information centre</b>	A unit established to provide flight information service and alerting service.

<sup>2</sup> SD 2020/0136



Term	Meaning
<b>Flight information service</b>	A service provided for the purpose of giving advice and information useful for the safe and efficient conduct of flights.
<b>Instrument approach procedure</b>	A series of predetermined manoeuvres by reference to flight instruments, with specified protection from obstacles, from a specified point to a point from which a landing can be completed and thereafter, if a landing is not completed, to a position at which holding or other obstacle clearance criteria apply.
<b>Instrument flight procedure</b>	(a) A standard instrument arrival; (b) an instrument approach procedure; (c) a standard instrument departure; or (d) an omnidirectional departure.
<b>Notify/notified</b>	Set out with the authority of the UK CAA in a document published by or under an arrangement entered into with the UK CAA and entitled 'United Kingdom NOTAM' or 'United Kingdom Aeronautical Information Publication' and for the time being in force.
<b>NOTAM</b>	A notice distributed by means of telecommunication containing information concerning the establishment, condition or change in any aeronautical facility, service, procedure or hazard, the timely knowledge of which is essential to personnel concerned with flight operations.
<b>Psychoactive substance</b>	Alcohol, opioids, cannabinoids, sedatives and hypnotics, cocaine, other psychostimulants, hallucinogens, and volatile solvents, excluding coffee and tobacco.
<b>Safety management system</b>	A systematic approach to managing safety, including the necessary organisational structures, accountabilities, policies and procedures.
<b>Visiting force</b>	Any such body, contingent or detachment of the forces of any country as is a visiting force for the purposes of the Visiting Forces Act 1952 (of Parliament) –  (a) which apply to that country by virtue of section 1(1)(a) of that Act; or  (b) which from time to time apply to that country by virtue of section 1(1)(b) and of any Order in Council made or hereafter to be made under section 1 designating that country for the purposes of that Act following section 2(2) of that Act.

<b>Abbreviation</b>	<b>Meaning</b>
<b>ABES</b>	Abnormal and emergency situations
<b>AFIS</b>	Aerodrome flight information service
<b>ANS</b>	Air navigation services
<b>ATC</b>	Air traffic control
<b>ATCO</b>	Air traffic control office
<b>ATS</b>	Air traffic services
<b>ATM</b>	Air traffic management
<b>ATSA</b>	Air traffic services assistant
<b>EU</b>	European Union
<b>FIR</b>	Flight information region
<b>FISO</b>	Flight information services officer
<b>ICAO</b>	International Civil Aviation Organisation
<b>IFP</b>	Instrument flight procedure
<b>IFR</b>	Instrument flight rules
<b>IOM CAA</b>	Isle of Man Civil Aviation Administration
<b>OJTI</b>	On the Job Training Instructor
<b>SI</b>	Supplementary Instruction
<b>SMS</b>	Safety Management System
<b>SRATCOH</b>	Scheme for Regulation of Air Traffic Controllers' Hours
<b>TOI</b>	Temporary Operating Instruction
<b>UK</b>	United Kingdom
<b>UK AIP</b>	United Kingdom Aeronautical Information Publication
<b>UK CAA</b>	United Kingdom Civil Aviation Authority
<b>WT</b>	Wireless telegraphy

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## 5. Legislative requirements and geographic limitations

### 5.1 Civil Aviation (Air Traffic Services Order) 2020

- 5.1.1 The Civil Aviation (Air Traffic Services) Order 2020<sup>3</sup> (hereon referred to as ‘the ATS Order’) sets the legislative requirements for the provision of an ATS, including general requirements for all providers and additional requirements for ATC providers.
- 5.1.2 The ATS Order applies to the provision of ATS to aircraft in the Isle of Man<sup>4</sup> but excluding:
- (a) UK CAA certificated providers of ATS and their employees whilst acting in the course of providing:
    - (i) an area control service; or
    - (ii) an approach control service for an aerodrome located in the United Kingdom;
  - (b) Her Majesty’s naval, military or air forces or a visiting force.
- 5.1.3 Consequently, the ATS Order does not apply to ATS provision to aircraft in the Isle of Man under the control of Prestwick Centre, Warton or Military ATC. Arrangements for the safety regulation and oversight of these ATS providers is specified in a formal cooperation agreement between the UK CAA and the IOM CAA (see below).
- 5.1.4 Within this publication legally binding text taken from the ATS Order can be identified by use of the verb ‘must’.

### 5.2 UK/IOM ATS co-operation agreement

- 5.2.1 A formal cooperation agreement on the regulatory oversight of air navigation services in the UK FIRs made between the UK CAA and the IOM CAA defines the arrangements for the provision of ATS:
- (a) by UK ATS units within Isle of Man airspace; and
  - (b) by Isle of Man ATS units in ‘high seas’ airspace for which the UK has accepted responsibility for the management of this airspace from ICAO.
- 5.2.2 The agreement recognises that:
- (a) Isle of Man ATS providers are not certified air navigation service providers under UK law. Consequently, IOM ATS providers shall not provide an ATS within 12 NM of the UK coastline or, where the distance between the landmass of the Isle of Man and the UK is less than 24 miles – not beyond the midpoint between the land masses.
  - (b) Isle of Man ATS providers will provide air traffic services outside the Isle of Man in ‘high seas’ airspace of the London FIR in accordance with Isle of Man regulations. Therefore the

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<sup>3</sup> SD 2020/0136

<sup>4</sup> The Isle of Man is the airspace above the Island as well as the sea area extending within 12nm from the coastline or the median point whichever is the lesser.

agreement expects compliance with the ATS Order despite the ATS being provide outside the territorial limits of the Isle of Man.

5.2.3 There is no such agreement with the Republic of Ireland for their territorial airspace or high seas airspace allocated to them by ICAO. Therefore, IOM ATS providers shall not provide an ATS within any part of the Shannon FIR.

### **5.3 Applicability of UK CAA publications**

5.3.1 Within this document, the applicability of specified UK CAA Publications (CAP) to the provision of ATS in the Isle of Man is set out. It is the responsibility of the person in charge of the provision of the ATS to ensure that these publications are appropriately accessible and to be aware of their update and amendment by the UK CAA.

5.3.2 References to 'the CAA' in the above publications shall be taken to mean 'the IOM CAA' for applicability in the Isle of Man.

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## 6. Aerodrome Flight Information Service units

### 6.1 AFIS approval

6.1.1 A person in charge of the provision of an AFIS must not cause such a service to be provided unless the person has been given and complies with the terms of an AFIS approval granted by the IOM CAA.

### 6.2 Management systems

6.2.1 Management system requirements including SMS are at Section 8.

### 6.3 Equipment, infrastructure and documentation

6.3.1 Equipment, infrastructure and documentation requirements are specified at Section 9.

### 6.4 Instrument flight procedures and ATS provision

6.4.1 IFP and consequent ATS provision requirements are specified at Section 10.

### 6.5 Procedures

6.5.1 A person must not provide an AFIS unless the service is provided in accordance with the standards and procedures specified in a flight information service manual for that aerodrome.

6.5.2 It is the policy of the IOM CAA that the following UK Civil Aviation Publications are applicable to the provision of an AFIS in the Isle of Man:

- (a) [CAP 413 – Radiotelephony Manual](#);
- (b) [CAP 774 – UK Flight Information Services](#);
- (c) [CAP797 – Flight Information Service Officer Manual](#);
- (d) [CAP1430 – ATM Vocabulary](#).

### 6.6 Personnel

6.6.1 A person must not provide an AFIS unless they hold and comply with the terms of a FISO licence issued by the UK CAA authorising the holder to act as such an officer at that aerodrome.

6.6.2 A person must not hold himself or herself out, whether by use of a radio call sign or in any other way, as a person who may provide an AFIS unless the person is authorised to do so in accordance with a FISO licence specified in 6.6.1.

### 6.7 Flight planning

6.7.1 Flight planning processes in the Isle of Man are as per those applied in the UK and as published in the UK AIP ENR 1.10.

6.7.2 It is the policy of the IOM CAA that UK Civil Aviation Publication [CAP 694](#) is applicable in the Isle of Man.

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## 7. ATC units

### 7.1 ATC approval

7.1.1 A person in charge of the provision of an ATC service must not cause such a service to be provided unless the person has been given and complies with the terms of an AFIS approval granted by the IOM CAA.

### 7.2 Management systems

7.2.1 Management system requirements including SMS are at Section 8.

### 7.3 Equipment, infrastructure and documentation

7.3.1 Equipment, infrastructure and documentation requirements are specified at Section 9.

### 7.4 Instrument flight procedures and ATS provision

7.4.1 IFP and consequent ATS provision requirements are specified at Section 10.

### 7.5 Procedures

7.5.1 A person must not provide an ATC service at that place unless the service is provided in accordance with the standards and procedures specified in a Manual of Air Traffic Services for that place. Further policy on the Manual of Air Traffic Services is provided in UK Civil Aviation Publication [CAP670](#) (Air Traffic Services Safety Requirements) Part B, Section 2: ATC 02.

7.5.2 It is the policy of the IOM CAA that the following UK Civil Aviation Publications are applicable for the provision of an ATC service in the Isle of Man:

- (a) [CAP 413 – Radiotelephony Manual](#);
- (b) [CAP493 – Manual of Air Traffic Services Part 1](#)
- (c) [CAP 774 – UK Flight Information Services](#);
- (d) [CAP 717 – Radar Control – Collision Avoidance Concepts](#);
- (e) [CAP 745 – Aircraft Emergencies – Considerations for Air Traffic Controllers](#);
- (f) [CAP 774 – UK Flight Information Services](#);
- (g) [CAP1430 – ATM Vocabulary](#).

### 7.6 Personnel

7.5.1 Personnel requirements for ATCO and student ATCO are specified at Section 11.

### 7.7 Flight planning

7.7.1 Flight planning processes in the Isle of Man are as per those applied in the UK and as published in the UK AIP ENR 1.10.

7.7.2 It is the policy of the IOM CAA that UK Civil Aviation Publication [CAP 694](#) is applicable in the Isle of Man.

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## 8. Management systems

### 8.1 Requirements

- 8.1.1 A person in charge of an ATS unit must establish a SMS in accordance with the ICAO framework for a SMS as shown at Annex A.
- 8.1.2 A SMS meeting the requirements of [Regulation \(EU\) No 139/2014](#)<sup>5</sup> (the ‘EASA Aerodrome Regulation’) or [Regulation \(EU\) No 1035/2011](#) (the ‘EASA Common Requirements’) is considered by the IOM CAA to be an acceptable alternative means of compliance to the ICAO framework for a SMS.
- 8.1.3 A person in charge of an ATS unit should comply with [the EASA Common Requirements](#)<sup>6</sup> subject to the following variations:
- (a) References to a ‘Member State’ shall be taken as meaning the Isle of Man.
  - (b) The ‘competent authority’ for the purposes of Article 3 is the IOM CAA.
  - (c) References to ‘the certificate’ in Article 4 shall be taken to be the ATC approval issued under the ATS Order and ‘certified organisation; to be the holder of the ATS approval.
  - (d) Article 5 (Derogations) and Article 10 (Peer review procedure) do not apply.
  - (e) The severity classification definitions specified at Annex II paragraph 3.2.4 are not mandated. If not utilised then the ATC provider should specify their own severity classification definitions.
  - (f) Annexes III and IV are not applicable to the provision of an ATC service.
- 8.1.4 Where the ATS provision is conducted by an organisation that is also an Aerodrome Licence holder, it is preferable that there is one integrated management system covering all regulated functions under the remit of the aerodrome accountable manager/licence holder. The implementation of a management system in accordance with the [EASA Aerodrome Regulation](#) is considered to be an acceptable alternative to the requirements specified in Section 3 of Annex II to [Regulation \(EU\) No.1035/2011](#).
- 8.1.5 The Isle of Man anticipates formally implementing the requirements of the [EASA Aerodrome Regulation](#) and the [EASA ATM IR](#) (Regulation (EU) 2017/373) into Isle of Man legislation in due course. Therefore voluntary adoption of these requirements is encouraged as part of an incremental transition ahead of the requirements becoming binding.

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<sup>5</sup> Subpart D – Management, ADR.OR.D.005

<sup>6</sup> Although Regulation (EU) No 1035/2011 was repealed in EU law on 2 January 2020, it shall continue to be the policy standard applied by the Isle of Man until further notice. In due course it is anticipated that Regulation (EU) 2017/373 shall be adopted by the Isle of Man.

## 8.2 Change notification – ATC

### 8.2.1 Overview

8.2.1.1 Holders of an ATC approval should have a documented change management procedure which has been approved by the IOM CAA. The change management procedure shall contain a process for implementing all changes and assessing the risks associated with changes.

8.2.1.2 Changes fall into the following categories:

- (a) changes that may require review and approval before implementation;
- (b) changes that will require prior approval before implementation;
- (c) changes that require notification but do not require approval before implementation;
- (d) changes that do not require notification.

8.2.1.3 The IOM CAA is the regulatory authority for the submission of changes by holders of an ATC approval in the first instance, apart for the following types of changes which should be sent to the UK CAA and copied to the IOM CAA:

- (a) Supplementary Instructions (SI) (see 8.2.2.4);
- (b) ATCO training (see 8.2.3.2).

8.2.1.4 Changes that are required to be notified to or reviewed/approved by the IOM CAA should be submitted by sending [IOM CAA Form 2](#) (Change Notification Form) by e-mail to [caa@gov.im](mailto:caa@gov.im). The relevant safety assurance documents should accompany the form.

8.2.1.5 Changes falling under paragraph 8.2.1.3 should be submitted to the UK CAA by sending form [SRG1430](#) to [asddocs@caa.co.uk](mailto:asddocs@caa.co.uk) with [caa@gov.im](mailto:caa@gov.im) in the CC line. The relevant safety assurance documents should accompany the form.

### 8.2.2 Changes that may require review and approval before implementation

8.2.2.1 Changes to or that affect the functional system are to be notified and may require review and prior approval before implementation.

8.2.2.2 The functional system is defined as 'a combination of procedures, human resources and equipment including hardware and software organised to perform a function within the context of Air Traffic Management/Air Navigational Services (ATM/ANS) and other ATM network functions' and can be broken down as follows:

- (a) changes to the way the components of the functional system are used;
- (b) changes to equipment, either hardware or software;
- (c) changes to roles and responsibilities of operational personnel;
- (d) changes to operating procedures; Supplementary Instruction (SI) (see more information on SI below);



- (e) changes to system configuration, excluding changes during maintenance, repair and alternative operations that are already part of the accepted operational envelope;
- (f) changes that are necessary as a result of changing circumstances to the operational context under the managerial control of the provider that can impact the service, e.g. provision of service under new conditions;
- (g) changes that are necessary as a result of changing circumstances to the local physical (operational) environment of the functional system; and
- (h) changes to the working hours and/or shift patterns of ATCO and ATSA which could impact on the safe delivery of services.

Note: TOI are produced and implemented as a result of an imposed change that impacts on normal operations. The purpose of the TOI is to return operations to normal or as near to normal as possible to alleviate the problem caused by the imposed change and are therefore not considered to be a change to a functional system.

8.2.2.3 For changes to the functional system excluding SI (for SI see below) a completed [IOM CAA Form 2](#) and relevant documents should be sent to [caa@gov.im](mailto:caa@gov.im). The IOM CAA will assess the change from the information provided and decide which of the following options is applicable:

- (a) where a review is not required the IOM CAA will advise the notifier (within 30 days) as such;
- (b) where a review is required the IOM CAA will inform the notifier (within 30 days) that the change cannot be implemented until the review is completed and the change approved;
- (c) where there is insufficient information to allow a review decision to be made the IOM CAA will ask for further information.

Note: changes where the risk assessment has indicated a significantly high severity level will routinely be subject to review.

8.2.2.4 For SI a completed [SRG1430](#) should be sent to the UK CAA by email [asddocs@caa.co.uk](mailto:asddocs@caa.co.uk) and copied to the IOM CAA using [caa@gov.im](mailto:caa@gov.im).

- (a) The UK CAA will assess the information provided to decide if the SI is indicating a type of change to the functional system which is significant enough to require review and approval. SIs are generally of a minor nature and the majority will not require review and approval.
- (b) Due to the volume of SI the UK CAA will not normally provide the results of their assessment to the notifier unless it has been selected for review.
- (c) To allow time for this assessment SI are not to be implemented until 30 days after the notification of the change has been submitted to the UK CAA. In exceptional circumstances where it may be necessary to implement the SI before the completion of the 30-day period then contact should be made with the UK CAA.

## 8.2.3 Changes that will require approval before implementation

8.2.3.1 Modifications to the approved change management procedure require prior approval by the IOM CAA. A completed [IOM CAA Form 2](#) and relevant documents should be sent to [caa@gov.im](mailto:caa@gov.im). Modifications will be reviewed and approved or rejected (within 30 days).

8.2.3.2 As the licensing authority for UK issued ATCO and student ATCO licences, the UK CAA specifies that the changes to the types of training provided below require their prior approval before implementation; the relevant documents shall be sent the UK CAA along with accompanying completed [SRG1430](#) via e mail to [asddocs@caa.co.uk](mailto:asddocs@caa.co.uk):

- (a) Where a training organisation intends to provide a new type of training e.g. INITIAL, UNIT, CONTINUATION (Conversion and Refresher), OJTI and ASSESSOR.
- (b) Changes to training courses as follows:
  - (i) Change in methodology and delivery.
  - (ii) Changes to the timetable which increases or decreases the course by more than a 10% of course duration.
  - (iii) Topics and sub topics removed from the plan which result in non-compliance of content.
  - (iv) Extraneous content which affects course length.
  - (v) Change in simulator platform (i.e. a new simulator or any changes to the criteria defined in regulation 2015/340 AMC1 ATCO.OR.C.15(b)).
  - (vi) Change in assessment process or examination style.
  - (vii) Change in summative exercises.
  - (viii) Changes to the training facilities. (A new location or changes to classrooms and practical training areas).
  - (ix) Changes to the Unit Training Plan and Unit Endorsement Courses.
  - (x) Changes to the Unit Competency Scheme and refresher training.

## 8.2.4 Changes that require notification but not approval

8.2.4.1 The following types of change shall be notified to the IOM CAA using [CAA Form 2](#) sent to [caa@gov.im](mailto:caa@gov.im), but do not require prior approval:

- (a) A change to the service provider's management system and/or safety management system that does not impact on the functional system or the change management process.
- (b) Change of accountable manager and the management personnel in charge of safety, quality, security, finance and human resources-related functions as applicable.

8.2.4.2 TOI must be submitted to [asddocs@caa.co.uk](mailto:asddocs@caa.co.uk) and copied to [caa@gov.im](mailto:caa@gov.im) but do not need to be accompanied by a [SRG1410](#) or [CAA Form 2](#).

## 8.2.5 Changes that do not need to be notified

8.2.5.1 The following types of change do not need to be notified but shall be implemented in accordance with local safety assurance procedures:

- (a) Equipment faults that result in the changing of components that do not affect the operating parameters.
- (b) Changes to maintenance routines, except those that impact on service provision.
- (c) Equipment modifications/manufacture's upgrades that do not affect the operating parameters.
- (d) Document changes, typos, formatting etc. that do not impact on the content of management systems, change management systems, training courses or service provision.

## 8.3 Operational trials

8.3.1 The provisions of UK Civil Aviation Publication [CAP670](#) (Air Traffic Services Safety Requirements) GEN 03 are applicable for the introduction of trials or testing ATS technology or procedures or practices.

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## 9. Equipment, infrastructure and documentation

### 9.1 ATS equipment approval

- 9.1.1 A person must not establish or use, or cause or permit to be established or used, ATS equipment otherwise than in accordance with an approval granted by the IOM CAA to the person in charge of the equipment.
- 9.1.2 'ATS equipment' means ground based equipment, including an aeronautical radio station, used or intended to be used in connection with the provision of a service to an aircraft in flight or on the ground being equipment not otherwise approved by or under the ATS Order but excluding any public electronic communications network.

### 9.2 ATS equipment records

- 9.2.1 A person in charge of ATS equipment and any voice and data communication message recording must –
- (a) keep records for such equipment or apparatus pertaining to functional tests, flight checks and detailed information about any maintenance, repair, overhaul, replacement or modification, in a legible form or be capable or being reproduced in a legible form;
  - (b) keep the records for one year or such longer period as the IOM CAA may in a particular case direct.

### 9.3 Aeronautical radio stations

- 9.3.1 The person in charge of an aeronautical radio station at an aerodrome for which a public use licence has been granted must notify (in the UK AIP) the type and availability of operation of a service that is available for use by an aircraft.
- 9.3.2 A person in charge of an ATS unit must not cause or permit call signs to be used for a purpose other than a purpose for which that call sign has been notified (in the UK AIP).
- 9.3.3 Aeronautical radio stations are defined as 'radio stations on the surface that transmit or receive signals for the purpose of assisting aircraft'. Aeronautical radio stations may comprise fixed, stationary, vehicle, portable and hand held equipment consisting of transmitters, receivers and transceivers. Therefore this includes ground to air radio communication equipment and aeronautical navigation aids<sup>7</sup>.
- 9.3.4 Radio equipment designed for 25 kHz channel spacing must be able to operate on any channel between 118.000 MHz and 136.975 MHz in 25 kHz steps. Equipment designed for 8.33 kHz channel spacing shall be able to operate on any channel between 118.000 MHz and 136.475 in 8.33 kHz steps. Most aeronautical ground station radio equipment shall operate on 8.33 kHz channel spacing.
- 9.3.5 In addition to an ATS equipment approval, aeronautical radio stations are also subject to the WT Act and may not be established, or used except under the authority of a WT Act Aeronautical Ground Station Licence issued by [Ofcom](#). The UK CAA is responsible for the management of the

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<sup>7</sup> NDB/ILS/MLS/VOR/DME

aeronautical radio spectrum in the UK FIRs and therefore provide appropriate frequency assignments for the operation of aeronautical radio stations in the Isle of Man.

9.3.6 The ATS equipment approval for aeronautical radio stations and the associated WT Act Licence specifies the radio call signs to be used.

## **9.4 Voice and data communication message recording**

9.4.1 A person in charge of an ATS unit must provide recording apparatus.

9.4.2 A person in charge of an ATS unit must not use, or cause or permit the use of recording apparatus otherwise than in accordance with an approval granted by the IOM CAA.

9.4.3 Subject to 9.4.4, a person in charge of an ATS unit for which recording apparatus is required to be provided under 9.4.1 must ensure that:

- (a) when operated the apparatus is capable of replaying the terms or content of any voice radio message or signal transmitted or received by or through that equipment;
- (b) the apparatus is capable of recording and replaying the terms or content of any voice radio message or signal that is transmitted to an aircraft either alone or in common with other aircraft or received from an aircraft by the ATS unit;
- (c) the apparatus is in operation at all times when the equipment is being used in connection with the provision of a service intended to facilitate the navigation of aircraft; and
- (d) each record made by the apparatus must be adequately identified and in particular must include:
  - (i) the identification of the aeronautical radio station;
  - (ii) the date or dates on which the record was made;
  - (iii) a means of determining the time at which each message or signal was transmitted or received;
  - (iv) the identity of the aircraft to or from which and the radio frequency on which the message or signal was transmitted or received; and
  - (v) the time at which the record started and finished.

9.4.4 If any apparatus provided in compliance with 9.4.1 ceases to be capable of recording as specified at 9.4.3, a person in charge of an ATS service must ensure that, so far as practicable, during the period in which it ceases to be capable of recording those matters:

- (a) record is kept that complies with 9.4.3 (d); and
- (b) a summary of voice communications exchanged between the ATS unit and an aircraft is recorded.

9.4.5 If apparatus provided in compliance with 9.4.1 becomes unserviceable, a person in charge of an ATS unit must ensure that the apparatus is replaced or rendered serviceable again as soon as reasonably practicable.

9.4.6 A person in charge of an ATS unit must keep a record made in compliance with paragraphs 9.4.3 and 9.4.4 must be preserved for 30 days from the date on which the terms or content of the message or signal were recorded or for such longer period as the IOM CAA may in a particular case direct.

## 9.5 Additional policy requirements – CAP670

9.5.1 It is the policy of the IOM CAA that the following content from UK Civil Aviation Publication [CAP 670](#) (Air Traffic Services Safety Requirements) are additional policy requirements for equipment, infrastructure and documentation that are applicable in the Isle of Man:

- (a) Part B, Section 1, APP 02: Maintenance Arrangements;
- (b) Part B, Section 2, ATC 01: ATC Support Systems and Facilities;
- (c) Part B, Section 2, ATC 02: ATC Documentation;
- (d) Part B, Section 2, ATC 02: Emergency or Contingency Facilities;
- (e) Part B, Section 2, ATC 02: Remote Tower Operations;
- (f) Part B, Section 3, SW01: Regulatory Objectives for Software Safety Assurance in ATS Equipment;
- (g) Part B, Section 4: GEN 01: Wind Turbines;
- (h) Part B, Section 4: GEN 02: Technical Safeguarding of Aeronautical Radio Stations Situated at UK Aerodromes: Guidance Material
- (i) Part B, Section 4: GEN 04: Malicious Software Issues with External Storage Devices;
- (j) Part B, Section 4: GEN 05: Remote Access to Operational Systems Introduction;
- (k) Part C, Section 1: COM;
- (l) Part C, Section 2: NAV;
- (m) Part C, Section 3: SUR;
- (n) Part C, Section 4: MET;
- (o) Part C, Section 5: Information and Alerting Systems.

9.5.2 It is the policy of the IOM CAA that guidance provided by UK Civil Aviation Publication [CAP1377](#) (ATM Automation: Guidance on Human Technology Integration) should be followed by ATS providers when procuring or developing ATS systems.

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## 10. Instrument flight procedures and ATS provision

### 10.1 IFP approval

- 10.1.1 A person must not notify an IFP unless that procedure has been approved by the IOM CAA.
- 10.1.2 Approval of IFP in the Isle of Man is subject to a letter of agreement between the UK CAA and the IOM CAA. IFP in the Isle of Man will be subjected to initial UK CAA process and procedure as per an application for IFP approval in the UK. Applicants for such IFP will be charged by the UK CAA for the services provided in accordance with the UK CAA Scheme of Charges. On completion of their analysis, the UK CAA will make a recommendation to the IOM CAA whether or not an IFP design approval should be issued.

### 10.2 Requirement for Approach Control Service

- 10.2.1 In the case of an aerodrome for which there is an IFP, a person in charge of the aerodrome must during any period and at such times as are notified, cause an approach control service to be provided, unless permitted otherwise by the IOM CAA.
- 10.2.2 An approach control service is not required to be provided in a case where:
- (a) the person in charge of the aerodrome presents to the IOM CAA a safety case in respect of the IAP;
  - (b) the IOM CAA is satisfied that the safety case demonstrates that relevant safety risks have been adequately assessed and processes are in place that minimise the risk of accident as far as reasonably practicable; and
  - (c) the Department permits the person in charge of the aerodrome to operate the IAP.
- 10.2.3 A permission granted under paragraph 10.2.2 may include such conditions as the IOM CAA may specify in order to minimise the risk of an accident.

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## 11. Personnel – air traffic controllers and student air traffic controllers

### 11.1 Overview

- 11.1.1 The holder of an approval granted under 3.1 (an 'ATC Approval') must not permit any person to act as a student air traffic controller or an air traffic controller in the provision of the service under the approval unless:
- (a) that person holds an appropriate licence as specified in 11.1.2; and
  - (b) the approval holder is satisfied that the person is competent to perform the duties of a student ATCO or an ATCO.
- 11.1.2 A person must not provide air traffic control services unless authorised to do so in accordance with either a student ATCO licence or an ATCO licence issued by the UK CAA.
- 11.1.3 A person must not hold themselves out, whether by use of a radio call sign or in any other way, as a person who may provide ATC services unless the person is authorised to do so in accordance with a student ATCO licence or an ATCO licence specified in 11.1.2.
- 11.1.4 Holders of UK CAA issued ATCO and student ATCO licences have their own legal obligations to comply with relevant UK regulatory requirements pertinent to the licence. The UK CAA has published [CAP1251 - 'Air Traffic controllers – Licensing'](#), which is a guidance document for ATCOs and ATC unit managers to assist in complying with relevant requirements.

### 11.2 Licencing oversight

- 11.2.1 The UK CAA is the licensing authority for UK issued ATCO and student ATCO licences. The IOM CAA, as the Island's aviation safety regulator, has a direct interest in being assured that ATCO and student ATCO licensing is being appropriately delivered. Consequently, both the IOM CAA and the UK CAA have their own separate but complimentary responsibilities and therefore co-operate on ATCO licensing matters.
- 11.2.2 During safety audits conducted by the UK CAA on behalf of the IOM CAA (see Section 12), the UK CAA may also fulfil their own obligations for oversight as the competent authority for UK issued ATCO and student ATCO licenses.

### 11.3 Training

#### 11.3.1 Unit Training Plan (UTP) and Unit Competency Scheme (USC)

- 11.3.1.1 The Isle of Man Airport Unit Training Plan (UTP) and Unit Competency Scheme (UCS) are produced by Isle of Man Airport to meet UK ATCO and Student ATCO licencing processes. The primary responsibility for oversight and acceptance approval of these documents rests with the UK CAA.

#### 11.3.2 Synthetic training devices

- 11.3.2.1 A synthetic training device is any type of device by which operational conditions are simulated, including simulators and part-task trainers.



- 11.3.2.2 No part of any examination, assessment or test undertaken for the purposes of ATCO or student ATCO licencing may be undertaken in a simulator unless that simulator has been approved by the UK CAA as being fit for its intended purpose.
- 11.3.2.3 All training plans are required to indicate the amount of training, if any, that will be conducted on a simulator. The simulator will be approved by the UK CAA as part of the course approval process for any particular training plan. The training organisation is required to demonstrate how the simulator and the associated exercises will provide adequate support for the particular training plan.
- 11.3.2.4 When a simulator is being used for pre-on-the-job training and the training time is counted as operational training or being utilised for approved competency requirements, the simulator classification should be a full-size replica of a working position, including all equipment and computer programmes necessary to represent the full task associated with that position, including realistic wind at all levels to facilitate SRA. In the case of a tower unit, it includes an out-of-the-tower view.
- 11.3.2.5 A simulator may be used, subject to approval by the UK CAA, for the maintenance or renewal of competence.
- 11.3.2.6 When a unit wishes to use a simulator for refresher training and assessment including Abnormal and Emergency Situations (ABES), the simulator will be approved for the particular training plan on the basis of its ability to adequately support the plan's training objectives and assessment requirements.

## **11.4 Unit staffing, rostering and fatigue**

### **11.4.1 Unit staffing and rostering**

- 11.4.1.1 The Staffing Requirements and Duty Hours published in UK Civil Aviation Publication [CAP670](#) (Air Traffic Services Safety Requirements) Part D should be utilised by the holder of an ATC approval to assist in the calculation of appropriate unit staffing levels.
- 11.4.1.2 The holder of an ATC approval should develop, implement and monitor a rostering system in order to manage the risks of occupational fatigue of air traffic controllers through a safe alternation of duty and rest periods. The Scheme for Regulation of Air Traffic Controllers' Hours (SRATCOH) as specified in UK Civil Aviation Publication [CAP670](#) (Air Traffic Services Safety Requirements) Part D are applicable in the Isle of Man. However, reports of operational duty in excess of SRATCOH shall be submitted to the IOM CAA (email: [caa@gov.im](mailto:caa@gov.im)) using [CAA Form 5](#).
- 11.4.1.3 Those air traffic controllers who will be subject to the rostering system, or, as applicable, their representatives, should be consulted with during its development and its application, to identify and mitigate risks concerning fatigue which could be due to the rostering system itself.

### **11.4.2 Fatigue management**

- 11.4.2.1 A person must not exercise the privileges of a student ATCO licence or an ATCO licence, as specified at Annex B, if the person knows or suspects that they are suffering from or, having regard to the circumstances of the period of duty to be undertaken, are likely to suffer from, such

fatigue as may endanger the safety of any aircraft to which an air traffic control service may be provided.

11.4.2.2 The holder of an ATC approval should:

- (a) develop and maintain a policy for the management of air traffic controllers' fatigue;
- (b) provide air traffic controllers with information programmes on the prevention of fatigue, complementing human factors training provided in accordance with Sections 3 and 4 of Subpart D of Annex I to Regulation (EU) 2015/340.

11.4.2.3 The policy should:

- (a) declare the commitment to proactively and systematically monitor and manage fatigue and describe the expected benefits for the safety of operations;
- (b) be signed by the accountable manager who has the authority over ensuring that all activities can be financed and carried out in accordance with the applicable requirements;
- (c) address the mitigation of the operational impact of air traffic controllers' fatigue;
- (d) be communicated, with visible endorsement, throughout the air traffic control service provider;
- (e) include a commitment to:
  - (i) consider the best practices;
  - (ii) provide appropriate resources; and
  - (iii) enforce fatigue management as a responsibility of managers, staff involved in fatigue management procedures and air traffic controllers;
- (f) be periodically reviewed to ensure it remains relevant and appropriate.

11.4.2.4 The holder of an ATC approval should establish and implement:

- (a) principles and procedures to enable fatigue reporting;
- (b) principles and procedures for occurrence investigation and analysis to consider fatigue as contributing factor;
- (c) procedures for the identification and management of the effect of fatigue on the safety of operations.

11.4.2.5 For further guidance on fatigue management in the provision of ATC see [Regulation \(EU\) 2015/373](#) GM to ATS.OR.315(a) and (b).

## 11.5 Psychoactive substances and medicines

### 11.5.1 Legal requirement

11.5.1.1 A person must not exercise the privileges of a student ATCO licence or an ATCO licence, as specified in Annex B, whilst under the influence of any psychoactive substance or medicines which might render them unable to exercise the privileges of their licence safely and properly.

### 11.5.2 ATC unit policy

11.5.2.1 The holder of an ATC approval should develop and implement:

- (a) a policy, with related procedures, in order to ensure that the problematic use of psychoactive substances does not affect the provision of air traffic control service;
- (b) an objective, transparent and non-discriminatory procedure for the detection of cases of problematic use of psychoactive substances by air traffic controllers.

11.5.2.2 The holder of an ATC approval should:

- (a) provide training or educational material to air traffic controllers relating to:
  - (i) the effects of psychoactive substances on individuals and subsequently on air traffic control service provision;
  - (ii) established procedures within its organisation regarding this issue; and
  - (iii) their individual responsibilities with regard to legislation and policies on psychoactive substances.
- (b) make available appropriate support for air traffic controllers who are dependent on psychoactive substances;
- (c) encourage air traffic controllers who think that they may have such a problem to seek and accept help made available by their air traffic control service provider;
- (d) ensure that air traffic controllers are treated in a consistent, just and equitable manner as regards the problematic use of psychoactive substances; and
- (e) establish and implement principles and procedures for occurrence investigation and analysis to consider the problematic use of psychoactive substances as a contributing factor.

11.5.2.3 Further guidance is contained in ICAO Doc 9654 'Manual on Prevention of Problematic Use of Substances in the Aviation Workplace', First Edition - 1995, and in particular:

- (a) Attachment A (pp. 27–34) as regards elements for the definition and the implementation of policy and programme;
- (b) Chapter 3 (pp. 9–12) as regards the identification, treatment, and rehabilitation of staff, with related supporting material, available in Attachment C (pp. 61–68);
- (c) Attachment D (pp. 69–75) as regards the employment consequences of problematic use of substances;

- (d) Chapter 2 (pp. 6–7) as regards the education of the workforce and educational material, with related supporting material available in Attachment A (pp. 35–48);
- (e) Attachment B (pp. 49–59) and Attachment F (pp. 87–94), where extracts from the ICAO Manual of Civil Aviation Medicine are provided.

### 11.5.3 ATC unit procedures

11.5.3.1 The holder of an ATC approval should develop and implement an objective, transparent and non-discriminatory procedure for the detection of cases of problematic use of psychoactive substances by air traffic controllers which should specify:

- (a) the mechanisms and responsibilities for its initiation;
- (b) its applicability in terms of timing and locations;
- (c) the person(s)/body responsible for testing the individual;
- (d) the testing process;
- (e) thresholds for psychoactive substances;
- (f) the process to be followed in case of detection of problematic use of psychoactive substances by an air traffic controller; and
- (g) the appeal process.

11.5.3.2 Guidance for the development and implementation of the procedure for detection of cases of psychoactive substances is contained in ICAO Doc 9654 'Manual on Prevention of problematic use of Substances in the Aviation Workplace', First Edition - 1995, particularly in Chapter 5 (pp. 15–23) and Attachment E (pp. 77–85) as regards biochemical testing programmes, with related supporting material.

### 11.5.4 Stress

11.5.4.1 The holder of an ATC approval should:

- (a) develop and maintain a policy for the management of air traffic controllers' stress, including the implementation of a critical incident stress management programme;
- (b) provide air traffic controllers with education and information programmes on the prevention of stress, including critical incident stress, complementing human factors training provided in accordance with Sections 3 and 4 of Subpart D of Annex I to [Regulation \(EU\) 2015/340](#).

11.5.4.2 The air traffic controllers' stress management policy should:

- (a) declare the commitment to proactively and systematically monitor and manage stress, and describe the expected benefits for the safety of operations;
- (b) be signed by the accountable manager;
- (c) reflect organisational commitments regarding the implementation of a critical incident stress management programme;

- (d) be communicated, with visible endorsement, throughout the air traffic control service provider;
- (e) include the commitment to:
  - (i) provide appropriate resources;
  - (ii) consider the best practices;
  - (iii) enforce stress management programme(s) as a responsibility of managers, staff involved in stress management and air traffic controllers;
- (f) be periodically reviewed to ensure it remains relevant and appropriate.

11.5.4.3 The holder of an ATC approval should establish and implement:

- (a) procedures for critical incident stress management;
- (b) principles and procedures to enable stress reporting;
- (c) principles and procedures for occurrence investigation and analysis to consider stress as contributing factor; and
- (d) method(s) for the identification and management of the effect of air traffic controllers' stress on the safety of operations.

11.5.4.4 For further guidance on stress management in the provision of ATC see [Regulation \(EU\) 2015/373](#) GM to ATS.OR.310.

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## 12. Meteorological information

- 12.1 ATS units should be supplied with up-to-date information on existing and forecast meteorological conditions as necessary for the performance of their respective functions. The information should be supplied in such a form as to require a minimum of interpretation on the part of air traffic services personnel and with a frequency which satisfies the requirements of the ATS units concerned.
- 12.2 Further details pertaining to the provision of meteorological information to ATS units is provided in IOM CAA CP 5.

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## 13. Safety oversight and audits

- 13.1 The IOM CAA has a direct responsibility for the oversight of ATS in the Isle of Man, excluding those services delivered by UK CAA certificated and military providers.
- 13.2 Day to day surveillance, advice and guidance by the IOM CAA is supplemented by a formalised safety audit programme with audits taking place every 1-2 years on a risk and performance based schedule. These formal audits are conducted by the UK CAA on behalf of the IOM CAA under a contract with CAA International (CAAi).

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## Annex A – SMS framework

### Part 1 - Safety policy and objectives

#### A.1 Management commitment

##### (1) A safety policy which -

- (a) reflects the organisational commitment regarding safety, including the promotion of a positive safety culture;
- (b) includes a clear statement about the provision of the necessary resources for the implementation of the safety policy;
- (c) includes safety reporting procedures;
- (d) clearly indicates which types of behaviours are unacceptable related to the air traffic services unit's aviation activities and include the circumstances under which disciplinary action would not apply;
- (e) is signed by the accountable executive of the organisation;
- (f) is communicated, with visible endorsement, throughout the organisation; and
- (g) is periodically reviewed to ensure it remains relevant and appropriate to the person in charge of the air traffic services unit.

##### (2) Defined safety objectives which -

- (a) form the basis for safety performance monitoring and measurement;
- (b) reflect the organisation's commitment to maintain or continuously improve the overall effectiveness of the safety management system;
- (c) are communicated throughout the organisation; and
- (d) are periodically reviewed to ensure they remain relevant and appropriate to the service provider.

#### A.2 Safety accountability and responsibilities

##### Defined safety accountabilities and responsibilities which -

- (a) identify the accountable executive who, irrespective of other functions, is accountable on behalf of the organisation for the implementation and maintenance of an effective safety management system;
- (b) clearly define the lines of safety accountability throughout the organisation, including a direct accountability for safety on the part of senior management;
- (c) identify the responsibilities of all members of management, irrespective of other functions, as well as of employees, with respect to the safety performance of the organisation;

- (d) document and communicate safety accountability, responsibilities and authorities throughout the organisation; and
- (e) define the levels of management with authority to make decisions regarding safety risk tolerability.

#### A.3 Appointment of key safety personnel

The nomination of a safety manager who is responsible for the implementation and maintenance of the safety management system.

#### A.4 Coordination of emergency response planning

An emergency response plan for accidents, incidents and aviation emergencies.

#### A.5 Safety Management System Documentation

- (1) A safety management system manual that describes the -
  - (a) safety policy and objectives;
  - (b) safety management system requirements;
  - (c) safety management system processes and procedures; and
  - (d) accountability, responsibilities and authorities for safety management system processes and procedures.
- (2) Operational records as part of the documentation of the delivery of the safety management system.

### **Part 2 - Safety risk management**

#### A.6 Hazard identification

A process to identify hazards associated with the operation of aircraft. Hazard identification shall be based on a combination of reactive and proactive methods.

#### A.7 Safety risk assessment and mitigation

A process that ensures analysis, assessment and control of the safety risks associated with identified hazards.

### **Part 3 - Safety assurance**

#### A.8 Safety performance monitoring and measurement

- (1) The means to verify safety performance and to validate the effectiveness of safety risk controls.
- (2) The safety performance shall be verified in reference to the safety performance indicators and safety performance targets of the safety management system in support of the organisation's safety objectives.



A.9 The management of change

A process to identify changes which may affect the level of safety risk associated with the aircraft operation and to identify and manage the safety risks that may arise from those changes.

A.10 Continuous improvement of the safety management system

Monitoring and assessment of the safety management system processes to maintain or continuously improve its overall effectiveness.

**Part 4 - Safety promotion**

A.11 Training and education

A safety training programme that ensures that personnel are trained and competent to perform their safety management system duties.

A.12 Safety communication

A formal means for safety communication that -

- (a) ensures personnel are aware of the safety management system to a degree commensurate with their positions;
- (b) conveys safety-critical information;
- (c) explains why particular actions are taken to improve safety; and
- (d) explains why safety procedures are introduced or changed.

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## **Annex B – Privileges of a Student ATCO and an ATCO licence**

- B.1 The privileges of a student ATCO licence are to act as an ATCO under the supervision of another person who is present at the time and who:
- (a) is the holder of an air traffic controller licence entitling the holder to provide unsupervised the type of ATC service which is being provided by the student ATCO; and
  - (b) is an on-the-job training instructor.
- B.2 The privileges of an ATCO licence are to:
- (a) act as an ATCO for any sector or operational position for which a valid rating, rating, endorsement and current unit endorsement are included in the licence; and
  - (b) exercise the privileges of a student air traffic controller licence.