



CIVIL AVIATION ADVISORY PUBLICATION

CAAP 42

Air Navigation & Aerodrome Services Department
CERTIFICATION OF ATS PROVIDERS
CAR Part VIII, Subpart 4
(Revised March 2012)

INFORMATION AND POLICY
REGARDING CERTIFICATION OF ATS PROVIDERS

1. INTRODUCTION

Subpart 4 to CAR Part VIII, Air Navigation Regulations, covers the requirements for any organisation wishing to become certificated for the provision of an Air Traffic Service.

Subpart 1 should be read in conjunction with Subpart 4 as Subpart 1 contains a number of generic ANSP Certification requirements. Note also, the requirements of Subpart 1, paragraph 16.3.2 which requires ICAO Recommended Practices to be considered mandatory

Any reference to the “Authority” in this CAAP shall refer to the “Director, Air Navigation and Aerodromes” unless otherwise specified.

2. STATUS OF THIS CAAP

This is the second edition of CAAP 42 and is dated 15 March 2012. It will remain current until withdrawn or superseded.

3. PURPOSE

The purpose of this CAAP is to provide guidance to such organisations in the certification process and clarification of applicability of the various elements of Subpart 4 to CAR Part VIII. These requirements are therefore complementary to CAR Part VIII.

This guidance and policy material applies to all ATS providers and ATS training organisations seeking to provide services in the UAE. Paragraph references in the CAAP relate to those in the Subpart. Where the paragraph is considered self explanatory, no relevant CAAP paragraph will be included, so the CAAP paragraphs are not consequential.

To assist in determining how compliant an organisation may be against the requirements of this subpart, a gap analysis, Attachment A, is provided. A draft matrix is also provided to assist in the Exposition development.

3. REASONS FOR REVISION

The reason for the re-issue is to provide further clarifications pertaining to CAR requirements to ANSPs and provide acceptable means of compliance as well as to highlight revisions to CAR Part VIII, Subpart 4 introduced in Revision 1 to the Rule.

REVISION HIGHLIGHTS

| Revision Date | Pages/para | Brief Description |
|---------------|-----------------|---|
| Mar 2012 | 1. Introduction | Revised introduction |
| | 2. Purpose | Revised on clarification of applicability |
| | CAR 4.3 | Deletion of Form no.ATS 01 Addition of explanatory statement. |
| | CAR 4.4 | Replacement of DASI with “Authority” |
| | CAR 4.8 | Amendment to Licensing Section name |
| | CAR 4.10 | Additional paragraph in 4.10.c Edition to 4.10.e |
| | CAR 4.12 | Removal of AW notices |
| | CAR 4.13 | Addition of paragraph |
| | CAR 4.14 | 4.14.a.1 Replacement of DASI with “Authority” 4.14.c Additional explanatory sentence |
| | CAR 4.15 | Additional Explanatory sentence |
| | CAR 4.19 | Additional paragraph for wake turbulence |
| | CAR 4.27 | Addition of 4.27.h-n |
| | CAR 4.34 | Addition of 4.34.b |

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|--|--------------|---|
| | CAR 4.35 | Addition of 4.35.a |
| | CAR 4.41 | Corrected to SSP. |
| | CAR 4.45 | Addition of new section Duty Hours & Staffing |
| | CAR 4.46 | Addition of new section on Watch Rosters |
| | Appendix 2 | Addition of A.2 & A.2.7 |
| | Appendix 4 | Addition to para A.4.1.b Deletion of A.4.3.(b) |
| | Appendix 5 | New para |
| | Attachment B | Addition of Rule Matrix |

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CAR 4.3 ATS CERTIFICATE

The application for an ATSC shall be made on the GCAA approved form, in attachment 1 to the ATS Subpart and shall be accompanied by a payment of the ATS certification fee determined by the GCAA Board. Details required, including the Exposition, associated Matrix and "Operations Manual/s" shall accompany the application.

CAR 4.4 PRIVILEGES OF CERTIFICATE

There are 7 categories of ATS provided for in this Subpart. The categories are:

1. Area control service
2. Approach control service
3. Aerodrome control service
4. Flight information service
5. Aerodrome flight information service
6. Alerting service
7. Any other service provided in accordance with the requirements of the Authority.

Category 7 is included to cover such services as a “radio” service on an oil rig relaying clearances, or a “Unicom” at a remote airfield or helipad relaying aircraft position reports or traffic details to other aircraft. Any organisation providing such services is recommended to contact the Authority for a determination on the need for a certificate for their operation.

CAR 4.5 VALIDITY OF CERTIFICATE

A Certificate has no expiry date and shall continue to exist until surrendered by the service provider or until the Authority revokes the Certificate. Ongoing periodic surveillance audits shall be carried out to ensure compliance with the requirements of the Subpart, and a full certification audit will be carried out each 3 years.

CAR 4.7 PERSONNEL REQUIREMENTS

Depending on the size of the organisation applying for certification, some of the positions listed as 4.7.a.1 to 4.7.a.4 may be combined. The combination of roles and the ability of the appropriate person/s to carry out their duties will be assessed by the Authority as part of the certification process.

The persons nominated for 4.7.a.1 to 4.7.a.4 inclusive shall be acceptable to the Authority, prior to the person being named in that post. Information on the qualifications for the position shall be included in the application to the Authority, for that person to be accepted for the position.

CAR 4.8 ATS TRAINING

- 4.8.a Requires training and assessment of ATC, Flight Service and direct support staff such as Supervisors and assistants.
- 4.8.d Requires the approval by Licensing Department of the GCAA of training courses prior to the courses being taken, as well as by ANA.

CAR 4.9 SHIFT ADMINISTRATION

- 4.9.a Requires adequate time for staff to open and close watch, prior to the actual control of traffic, to carry out administrative functions, and enough time to hand over watch.

CAR 4.10 FACILITY REQUIREMENTS

- 4.10.c Requires procedures to ensure the aerodrome unit is located so as to provide the maximum practicable view of aerodrome traffic while also being protected from airport development. Also requires certain staff facilities be provided. A minimum equipment list is contained in this section.

Road signalling equipment covers any location where an adjacent road has traffic lights to ensure no vehicles are in the short final area when an aircraft is landing, or when an aircraft is departing in the opposite direction. These signals may be on roads within the airport or

outside.

The requirement for displays of RVR and Cloud base has been added.

The requirement for 2 independent altimeter setting displays has been removed as .5.viii, QNH displays, being plural, requires more than 1, and 4.10.g requires the degree of redundancy and reliability that minimises the risk of failure/non availability.

- 4.10.d Covers equipment and staff facility requirements for an approach or area facility. Item xi has been expanded to include RVR and cloud read-outs in certain approach units.
- 4.10.e Requires telecommunication equipment to be maintained by an organisation certificated under CAR Part VIII, Subpart 5.
- 4.10.i Covers requirements for portable aerodrome ATS such as towers taken to airshows or used in an emergency situation.

CAR 4.11 ESTABLISHMENT AND TRANSFER OF SERVICE

This requirement is applicable to new applicants not those currently providing a service. However, a service provider currently providing a service at one location would have to comply with this requirement if taking over a service at another location, from another provider.

CAR 4.12 DOCUMENTATION

- 4.12.a Other regulatory material consists of CAAP, ANSIN and Information Bulletins.
- 4.12.d.2,3 These require that ICAO Recommended Practices and PANS be treated as Standards unless the Authority has approved an alternative provision.

CAR 4.13 CONTINGENCY PLAN

- 4.13.a. The detail and complexity of the contingency plan will depend on the level of service provided. It will need to be accepted by the ANS Regulations section of the GCAA.
“Related support service” refers to the supply to the ATS organisation of services from a CNS maintenance organisation, AIS provider etc. essential to the provision of the ATS.
The term “temporary” has been removed as was difficult to define adequately, so any disruption to service is to be catered for.
The need for communications systems has been added to the requirement.

CAR 4.14 ATS CO-ORDINATION REQUIREMENTS

- 4.14.a The co-ordination required by this paragraph, between the ATS unit and the various organisations listed, can be either Letters of Agreement, Memorandums of Understanding, or Service Level Agreements, depending on the relationship.

4.14.a.1 Subpart 5 requires that the CNS certificate holder submits facility malfunction reports to the ANA section therefore the coordination document required by this paragraph should include malfunction reporting from ATS to the CNS organisation.

The coordination documents required by this paragraph shall be presented to the Authority for acceptance prior to being implemented.

4.14.b Coordination between ATS units, and between ATS units and aerodrome operators, shall be Letters of Agreement. Rescue and Emergency Services as well as Meteorological services added to the required coordination list for an aerodrome control unit.

4.14.c It is accepted that, where changes requiring a revision to an agreement have not taken place, an annual review of each agreement would meet the requirement in CAR 14.(c).2 for the agreement to be kept up to date.

The expression senior representative has been replaced by Head of ATS and equivalent of the other organisation.

4.14.d English is to be used as the language of all coordination, unless another is mutually agreed, in which case any documented coordination submitted to the Authority, would need to be provided in English.

CAR 4.15 NOTIFICATION OF FACILITY STATUS

4.15.b This paragraph requires information of a long term nature to be sent to the AIP service provider, and information of a short term nature to be both advised to aircraft as required and sent to the NOTAM service provider.

METAR added to the Met information covered.

CAR 4.17 METEOROLOGICAL INFORMATION AND REPORTING

4.17.a An ATS service provider needs to ensure that meteorological information issued to pilots is either from a certificated meteorological service provider or issued by either an Aerodrome controller or an ATS officer providing an aerodrome flight information service. Staff in these two roles will need to be trained in meteorological observation and reporting techniques in order to provide this service.

4.17.e This requirement will mean aerodrome and approach units would advise the aerodrome meteorological unit and the ACC would advise the National Centre for Meteorology and Seismology.

CAR 4.18 AREA AND APPROACH CONTROL SERVICES

4.18.a.4 The requirement for a display of aircraft movements could be: a radar display, electronic strip information, a physical flight progress strip system, or any combination of these which

meets the operational needs of the unit. The ability to record clearances issued shall be part of whichever system is used.

CAR 4.19 AERODROME CONTROL SERVICES

4.19.a.7 The requirement for a display of aircraft movements could be: a radar display, electronic strip information, a physical flight progress strip system, or any combination of these which meets the operational needs of the unit. The ability to record clearances issued shall be part of whichever system is used.

In providing time based wake turbulence separation between departures, the required time shall be measured from the time the preceding aircraft rotated, and the following aircraft shall not be cleared for take-off until, the controller calculates that the minimum required time separation (in seconds) shall be achieved before the second aircraft rotates. There shall be no "rounding" of the minutes.

CAR 4.20 SPECIAL USE AIRSPACE

4.20.a Subpart 3 defines special use airspace as Prohibited, Restricted or Danger areas as well as Mandatory Broadcast Airspace and low flying zones. Separation from SUA shall be achieved according to Appendix A. 1

CAR 4.22 PRIORITIES

4.22.e Any operational traffic priority requirements must be consulted with affected parties prior to introduction.

4.22.g Where a control zone contains more than one aerodrome, priority may be given to traffic at the aerodrome for which the control zone was established. The priority regime must be consulted with all interested parties.

CAR 4.23 ATFM

4.23. Provides for the introduction of ATFM where an ATSP or the aerodrome operator determines the need for such procedures.

CAR 4.24 ATC CLEARANCES

4.24.b.4 Reference to en-route flight is to an aircraft departing an aerodrome or joining an airway. It is not related to an aircraft operating locally or in the circuit.

4.24.b.8 The read-back requirement is issued to confirm the various clearances and instructions for which a read back is required. Additional read-back items have been added in this revision to the Subpart.

CAR 4.27 FLIGHT INFORMATION SERVICE

- 4.27.a Specifies to what aircraft a flight information service shall be provided
- 4.27.f Specifies the requirements for the issue of traffic information in the various airspace categories.
- 4.27.h-n Added to include ATIS requirements.

CAR 4.28 AERODROME FLIGHT INFORMATION SERVICE

- 28.1 Establishes the procedures required for, and the services permitted of, an aerodrome flight information service.

CAR 4.29 ALERTING SERVICE

- 4.29. Contains the requirements for SAR alerting by ATC units. All ATC units shall make all SAR reports via the UAE ACC.

CAR 4.30 FLIGHT PLANS

- 4.30.a Requires an ATS unit to have the facilities for accepting and managing flight plans unless the function has been allocated to a central facility.

CAR 4.31 TIME

- 4.31. Item 2 requires the ATS clocks and other recording devices to be accurate to within 5 seconds of UTC. Any datalink time recording shall be accurate to within 1 second

CAR 4.32 ALTIMETER SETTING PROCEDURES

- 4.32.a.2 Refers to “area zone altimeter settings” which are not yet used in the UAE, but may when offshore operations require some common reference systems.

CAR 4.33 RADIO AND TELEPHONE PROCEDURES

- 4.33.b A draft CAAP relating to radio phraseology is being prepared and will be circulated for consideration. When finalised, it will become the UAE standard document for RT phraseology.

CAR 4.34 ATIS SURVEILLANCE SERVICES

4.34.a Surveillance now includes ADS-B and Multilateration systems.

4.34.b ATIS units wishing to introduce such systems shall follow the CAAP 25 process and submit a proposal to the Authority for system approval and operational acceptance prior to implementation.

CAR 4.35 AIRCRAFT EMERGENCIES AND IRREGULAR OPERATIONS

4.35.a The Note has been expanded to align more with Annex 11.

CAR 4.36 Accident, Incident and Occurrence Reporting

4.36.a.2 The facility malfunction report reference here relates to CAR 4.14.a.1. and the need for coordination between the ATIS provider and the CNS provider. CNS reports will be included in ROSI in the near future.

CAR 4.37 RECORDS

4.37.b Has been enhanced by requiring a unit to ensure the retention of records of radar and other data if received from another unit. This requirement may be met by the provision of a LoA between affected units.

4.37.f Certain records are now required to be maintained for 31 days rather than the 30 previously required, to ensure a full month is covered. This is a minimum and there is no restriction on a longer period being used by an ATIS provider.

4.37.g Has been amended to include the requirement to submit the records in a format acceptable to the Authority. This can be taken as a medium that can be viewed by the Authority in its premises.

CAR 4.38 LOGS AND POSITION LOGS

4.38.c.2 Requires the log to be reviewed by the ATIS Manager.

4.38.d The "operating position log" is required where there are more than one position operating within a unit.

CAR 4.39 SECURITY

4.39.b The security programme shall include the ATIS unit and associated communications and navigation facilities.

CAR 4.40 SERVICE DISRUPTIONS

4.40.b.2 Reference to interruptions to normal service shall include any unplanned event such as a radar, power or communications failure which is greater than 10 minutes. The report, required

within 48 hours as per 4.40.a.3, shall, if not a complete report, be followed up by a complete report when available.

CAR 4.41 SAFETY MANAGEMENT SYSTEM REQUIREMENTS

4.41. CAR Part X establishes the SMS requirements of organisations within the aviation system in the UAE. This is in broad compliance with the ICAO requirements in Document 9859, volume 2.

The GCAA is moving towards a State Safety Programme (SSP) of which an operator or service provider's SMS is an integral part.

4.41.d This section lists some of the significant changes to the ATS system which require a safety assessment involving all affected parties to be carried out prior to the introduction. The safety assessment is required to be forwarded to the ANS Regulations section for acceptance prior to being implemented.

4.41.h The target levels of safety for the mentioned safety indicators shall be established as an integral part of the SMS plan. An initial performance level (what is achieved now) shall be determined and then the target levels for given periods in the future shall be determined. Both the performance level and the target shall be provided to the ANS Regulations section for acceptance.

4.41.l The Achieved levels of safety for a given year shall be sent to the Authority by 31 January of the following year.

CAR 4.42 QUALITY ASSURANCE SYSTEM (QAS) REQUIREMENTS

4.42.a.3 requires that quality indicators such as samples of RTF and telephone phraseology, are taken on a regular basis and trends monitored. The Phraseology requirement could be met by sampling a period of communication exchanges as the Tape review element of the competency requirement of Appendix 2.

4.42.a.4 and .5, Corrective and Preventive actions require the analysis of corrective actions taken as part of an incident review, or as a result of a finding in an internal audit, to ensure that appropriate preventive actions are initiated to substantially reduce the risk of a recurrence.

4.42.a.7 requires procedures for management review of the QAS for adherence to the requirements of the Rule. This is key to the organisation's SMS development.

CAR 4.43 TRIALS

4.43.a This allows for an ATS organisation to test new procedures, phraseologies and other items listed for a defined time subject to receiving approval of the ANS Regulations section of the GCAA and when supported by a safety assessment.

CAR 4.44 DENIAL OF AN ATC CLEARANCE

4.44.a This paragraph states the situations when an ATS provider may refuse an ATC clearance to an aircraft because of non payment of ATS charges.

There may also be situations when UAE Authorities may require the ATSP to deny clearance for an aircraft to enter airspace or depart/ land at an airport for security reasons.

CAR 4.45 DUTY HOURS AND STAFFING

4.45. This paragraph has been added to the CAR Subpart and is a précis of what is contained in the relevant Appendix 3, in anticipation of Appendices 2 and 3 being transferred to Licensing Department.

4.45.d The Authority may, at its discretion, modify the limitations contained herein. Modifications may be made as a requirement of the Authority or, in exceptional or extraordinary circumstances, on the application of an ATC Service Provider. In exercising its discretion to make or grant a modification, the Authority will consider all relevant operational aspects pertaining to the unit.

The ATC Service Provider may in exceptional circumstances modify a limitation. Such modifications may only be made to overcome short-term and unforeseen difficulties at the unit and, having regard to the Scheme of Regulation, may only be made if the safety and effectiveness of air traffic control can be maintained.

The Authority will review the circumstances of each such modification. For this purpose a report on the appropriate GCAA form shall be submitted to the Authority within 24 hours.

Modifications under this provision specifically exclude repeat modifications and modifications due to events or conditions that could reasonably be foreseen, such as sickness amongst ATC staff, or which are periodically recurrent.

The number of operational positions, periods of operation and limitation of duty hours dictates the minimum number of validated controllers required at a unit.

The number of watch-keeping controllers will depend on the number of operational positions and the period for which they are scheduled to open. Although conditions at different units may vary, an approximation for the calculation of the minimum number of controllers required is given using the following formula:

$$C = \frac{N \cdot D}{365 - R}$$

where

C= Total number of valid controllers,

N = Number of controllers required to attend for duties each day, including relief to give breaks,

D = Number of days the unit provides services in a year,

R= Number of days per year a controller is not available for duty.

i.e. rest days, annual leave, public holidays in lieu, allowance for sickness, training etc.

Example 1

A large unit comprising of Aerodrome Control and Approach Radar Control is open seven days a week, 24 hours per day. Positions are manned as follows:

Morning

Permanently open positions 5

Part time positions (½) ½

Relief 1½

Total Morning staffing 7

Afternoon

Permanently open positions 5

Part time positions (0) 0

Relief 1½

Total Afternoon staffing 7

Night

Permanently open positions 6

Part time positions (0) 0

Relief 1½

Total Night staffing 8

Total shifts worked per day 22

Controller availability:

5-watch system – i.e. 3 shifts per 5 calendar days

Annual leave and public holidays in lieu: 56 calendar days

$$R = \frac{(365-56) \cdot 3}{5} = 185.4 \approx 186 \text{ days}$$

Note: Training, such as ECT, is not included in the calculation of R, above, and standby duties to cover for sickness is assumed to be covered by controllers in addition to the 5-watch system.

This leads to the following requirement for watch keeping controllers, C:

$$C = \frac{365 \cdot 22}{365 - 186} = 44.9 \approx 45 \text{ controllers}$$

Note: At a unit operating with a 5-watch roster and 56 calendar days annual leave, the formula above may be approximated by multiplying the number of daily shifts by a factor of 2 to estimate the required number of valid controllers.

Example 2

A small Aerodrome Control unit with a single position is open seven days a week, 24 hours per day.

Morning

Permanently open position 1

Relief (addressed below) 0

Total Morning staffing 1

Afternoon

Permanently open position 1

Relief (addressed below) 0

Total Afternoon staffing 1

Night
 Permanently open position 1
 Relief (addressed below) 0
 Total Night staffing 1
 Relief
 Afternoon / Night (18-04) 1
 Morning *) ¼
 Total Relief staffing 1¼
 Total shifts worked per day 4¼

*) Relief provided by administrative staff on office days
 Relief provided 10-11 on weekends and public holidays

$$C = \frac{365 \cdot 4.25}{365 - 186} = 8.7 \approx 9 \text{ controllers}$$

Certain assumptions have been made in the calculation of 'N' in the examples above. There are different ways of deploying staff and managers may use other criteria in arriving at 'N'. Whatever method is used, it must meet the regulation of hours requirements detailed in Appendix 3.11

In the examples allowance for absence beyond casual sickness is limited. It should be noted that if a controller became ill and was absent for any length of time, this could necessitate some restriction to the operation to avoid breaching the limitations on working hours. Hence, it would be prudent to make such allowance.

There is some scope in Example 2 for sickness, training etc. If an allowance of five days per controller is assumed, 'R' is increased to 191 and 'C' becomes 8.9. The rounded up figure is still 9 controllers.

CAR 4.46 WATCH ROSTERS

4.46 This paragraph has been added to the CAR Subpart and is a précis of what is contained in the relevant Appendix 3, in anticipation of Appendices 2 and 3 being transferred to Licensing and Aeromedical Department.

4.46.a Controllers may delegate some of their responsibilities to adequately trained support staff (such as Flight Clerks, Air Traffic Control Assistants and Air Traffic Service Assistants) provided they do not include duties for which an Air Traffic Control licence is required. Duties that may be delegated fall into two categories:

1. Air Traffic Control related duties not closely associated with the safety of aircraft (e.g. Telephone messages concerning flight data and clearances). These duties and the person responsible for discharging them shall be clearly identified in the unit's LATSI; and
2. Other duties of an administrative nature.

4.46.b The number and disposition of support staff will depend on the complexity of the unit. The ATS Provider shall arrange appropriate training and shall be responsible for the continued competency of such staff. The Authority may require to be given details of the training support staff has received.

CAR 4.47 ORGANISATION EXPOSITION

4.47.a Requires a number of statements, charts and details which describe the Organisation seeking certification. These would normally be contained in one document, the Exposition. This would be supported by a matrix listing where in supporting documentation, normally the Operations Manual, the requirements of the Rule Subpart are met.

This generally means that any paragraph which requires a procedure to be established shall be matched with a reference to the document in which this procedure is located.

A sample matrix is attached to this CAAP as Attachment B.

Documents referred to in the matrix shall be considered part of the Exposition and shall be provided to the Authority. An electronic version of the Exposition and associated documentation is acceptable.

4.47(a).7 requires details of the staffing structure for each unit. This is to ensure that adequate staff is provided for the services referred to and that duty hours requirements of Appendix 3 are met.

4.47.b The acceptance by the Authority of the Exposition is an important phase of the certification process.

ATS Organisations should be aware that the Authority may require amendments to the Exposition during the certification process.

CAR 4.48 ATS OPERATIONS MANUAL

4.48.a The Manual may consist of one or more documents containing the procedures required by paragraphs 4.48.a.1 to 4.48.a.36.

The manual shall be available to all ATS staff requiring access to it and the contents.

CAR 4.49 CHANGES TO CERTIFICATE HOLDER'S ORGANISATION

4.49.a The Exposition must be amended to remain a current description of the organisation.

4.49.c Amendments to the Exposition shall be provided to the Authority as soon as possible, Electronic copies of the documents / amendments are acceptable as is notification of the amendment and access to the ATS Organisations document management system. Amendments to the Manual shall be forwarded to the Authority as soon as practical after introduction.

4.49.d Where an Organisation wishes to make any of the 3 changes listed, prior acceptance from the Authority is required.

4.49.e The Authority may impose conditions on the Organisation with respect to changes under 45.4, to ensure the continuity of service. If there is any doubt as to whether a change within an Organisation may affect compliance with Subpart 4, the Organisation should contact the Authority for clarification.

CAR 4.50 WITHDRAWAL OR TRANSFER OF SERVICE

- 4.50.a When an ATSP wishes to reduce the service provided, to the degree that significant periods of aircraft operations are not provided with an ATS, or to withdraw the service completely, the Authority must be provided with the information required in this paragraph to enable consideration of the proposal's impact on aviation safety or GCAA policy.
- 4.50.b When an ATSP wishes to transfer the provision of a service to another provider, the incoming provider shall be required to obtain a certificate through the application process and the Authority may impose conditions on the service provision with respect to the experience of the applicant.

APPENDIX 1: SEPARATION CRITERIA AND MINIMA

- A.1.1 This confirms, without specifying each separation standard, that separations standards contained in ICAO PANS-ATM and Regional Supplementary Procedures are to be implemented within the UAE FIR. These are supported by the additional separation minima as contained in this appendix covering situations not contained in Pans- ATM.
- A.1.4 The special use airspace (SUA) referred to in Subpart 4, paragraph 15, are Danger, Restricted and Prohibited airspace as well as Mandatory Broadcast airspace and Low flying zones when these areas are occupied by aircraft. The separation specified in this paragraph is the minimum and may be increased by LOA or MOU between the concerned parties. The 5nm lateral separation required may, where agreement is reached between the ATS unit and the agency managing the SUA involved, be achieved by both organisations ensuring their aircraft are required to be at least 2.5nm from the common SUA boundary.

APPENDIX 2: ATS TRAINING

- A.2. This is generally a compilation of the training elements of Chapter 15 into one document.
- 2.7 Continuation training has been expanded somewhat adding non emergency continuation training facets to the requirements.
- The requirement for 4 hours ECT for aerodrome control ratings does not require the whole 4 hours to consist solely of call-outs. There is a requirement for this ECT to contain some live interaction with the aerodrome emergency services
- 2.10.26. The reference to section 8 should read appendix 2.7 and will be amended in the next amendment.

APPENDIX 3: AIR TRAFFIC CONTROL LICENSING

3. This is generally a compilation of the licensing elements of Chapter 15 into one document.

- 3.8.14.3 The contingency measures required are solely for the purpose of establishing some procedural, usually vertical, separation between flights under the control of the unit at the time of the failure. Alternative arrangements such as the transfer of traffic to adjacent units need to be agreed to by the ANA Department of the Aviation Safety Affairs Sector.
- 3.10.1 The reference to CAR Part VIII, Subpart II should read CAR Part II.
- 3.10.7 The periods given in this paragraph are the maximum validity possible. Actual validity shall be determined by the Licensing and Aeromedical Department of the GCAA, and is determined by CAR Part II requirements as well as the individual license holder's medical status.

APPENDIX 4: AIR TRAFFIC SERVICE OCCURRENCE REPORTING

A.4.1.(b) The initial report is required to be sent as soon as possible, not the 15 minutes previously required.

The report shall be made to the GCAA Duty Officer.

For serious incidents, the requirements of paragraph 4.1.(b).4, .5, .6 shall relate to the incident. A serious incident is defined in CAR Part VIII, Subpart 1.

A ROSI is required to be filed for Accidents, Unlawful interference and serious incidents within 3 hours.

A.4.1.c ATS Occurrences other than those listed above need to be reported within 72 hours.

A.4.5.(b) The interview of the pilot shall be undertaken by an ATS officer from the unit involved but he should not be the controller involved in the occurrence.

APPENDIX 5: LOW VISIBILITY OPERATIONS

This new Appendix contains the ATC elements previously contained in CAR Part VIII, Subpart 9 which has been discontinued.

Attachment A

Gap Analysis Tool

| | | |
|-----------------------------------|--|--------------------------|
| | 7: Personnel Requirements | |
| Rule requirement | 7.a.1: Provision of a Head of ATS with required authorities. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |
| Section | 7: Personnel Requirements | |
| Rule requirement | 7.a.2: Provision of a Head of ATS Operations | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |
| | | |
| Section | 7: Personnel Requirements | |
| Rule requirement | 7.a.3: Provision of a Head of ATS Training | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |

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| Planned measures not yet in place | |
| | Expected implementation date: |
| Additional comments. | |

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|-----------------------------------|--|--------------------------|
| Section | 7: Personnel Requirements | |
| Rule requirement | 7.a.4 Provision of Safety Management post holder responsible for the organisation's SMS. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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|-----------------------------------|---|--------------------------|
| Section | 7: Personnel Requirements | |
| Rule requirement | 7.a.5: Provision of sufficient personnel to manage, supervise, provide and support the ATS and associated training as well as to meet the SMS requirements of the organisation. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 7: Personnel Requirements | |
| Rule requirement | 7.d.1 i—iv : A Procedure to ensure the competence of the personnel listed , 7.d.2: A Procedure to provide the listed personnel with written evidence of the scope of their authorization, 7.d.3: A Procedure to ensure personnel hold appropriate licenses and ratings, 7.d.4: A Procedure to ensure that personnel are familiar with all relevant and current information, 7.d.5: A Procedure to ensure ATS staff comply with recent experience requirements, 7.d.6: A Procedure to ensure that ATCO's comply with endorsements on their medical certificates or do not use their rating/s when medically unfit. 7.d.7: A Procedure to ensure that safety sensitive staff do not undertake that function while under the influence of psychoactive substances, or that they engage in problematic use of such substances. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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|---------------------------|---|--------------------------|
| Section | 4.8: ATS Training | |
| Rule requirement | 8.a: Procedures and programmes for the training and assessment of personnel listed in 8.a.1-8.a.3 | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not | | |

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| yet in place | |
| | Expected implementation date: |
| Additional comments. | |

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| Section | 8: ATS Training | |
| Rule requirement | 8.b: Procedures to ensure that personnel giving instruction in an operational environment hold an appropriate current instructor rating. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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|-----------------------------------|--|--------------------------|
| Section | 8: ATS Training | |
| Rule requirement | 8.c: Procedures to ensure that personnel carrying out assessments for the issue of a licence or the issue or validation of a rating hold an appropriate current instructor or examiner rating. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 8: ATS Training | |
| Rule requirement | 8.d: A Procedure to ensure submission of training courses to the GCAA for approval | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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|-----------------------------------|---|--------------------------|
| Section | 8: ATS Training | |
| Rule requirement | 8.e: Procedures and programmes to ensure provision of continuation training of ATS personnel. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 8: ATS Training | |
| Rule requirement | 8.f: A Procedure to ensure that trainee and licensed ATC personnel achieve and maintain at least English language proficiency 4. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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|-----------------------------------|---|--------------------------|
| Section | 4.9: Shift Administration | |
| Rule requirement | 9.a.1: A Procedure to ensure that adequate time is provided at the commencement and end of each shift to perform the duties required in 9.a.1. 9.a.2: A procedure to ensure that adequate time is provided for transfer of watch at an operational ATS position. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.10: Facility Requirements | |
| Rule requirement | 10.a: Establishment of facilities appropriate to the ATS to be provided, as listed in 10.a.1—6, that the working conditions meet established levels and do not adversely affect staff performance. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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|-----------------------------------|---|--------------------------|
| Section | 4.10: Facility Requirements | |
| Rule requirement | 10.c: Procedures to ensure that, for an aerodrome control service or aerodrome flight information service, the control tower or AFIS unit meets the requirements of: 10.c.1.a, b and .c. with respect to construction and situation, 10.c.2 with respect to safeguarding, 10.c.3 with respect to solo watch provisions, 10.c.4 with respect to voice communication equipment, 10.c.5 with respect to the minimum equipment list, 10.c.6 with respect to staff off watch break facilities. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |

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| | Expected implementation date: |
| Additional comments. | |

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| Section | 4.10. Facility Requirements | |
| Rule requirement | 10.d: Procedures to ensure that, for an area control centre, flight information or approach control service, the area control or flight information centre and the approach control unit meets the requirements of: 10.d.1 with respect to provision of voice communication equipment, 10.d.2 with respect to data communication equipment, 10.d.3 with respect to the minimum equipment list, 10.d.4 with respect to staff off watch break facilities. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.10: Facility Requirements | |
| Rule requirement | 10.e: Procedures to ensure that aeronautical telecommunication equipment required by 10.c and 10.d is operated in accordance with CAR Part VIII, Subpart 5 requirements. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not | | |

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| yet in place | |
| | Expected implementation date: |
| Additional comments. | |

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| Section | 4.10: Facility Requirements | |
| Rule requirement | 10.f: Procedures to ensure that the required equipment, displays and information is positioned with due respect to the importance of the information displayed. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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|-----------------------------------|---|--------------------------|
| Section | 4.10: Facility Requirements | |
| Rule requirement | 10.g: A Procedure to ensure that the equipment referred to meets the required levels of reliability, availability and redundancy. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.10: Facility Requirements | |
| Rule requirement | 10.h: A Procedure to ensure the required status indicators are fitted with an aural alarm and a visual indicator of the current status. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |
| Section | 4.11: Establishment and Transfer of Service | |
| Rule requirement | 11.a: Provision of a schedule of the first year's hours of operation, and where required, a copy of the safety study. 11.b: Provision of the transitional arrangements endorsed by both Heads of ATS. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.12: Documentation | |
| Rule requirement | 12.b: A Procedure to control all required documentation, ensuring the requirements of 12.b.1 – 12.b.8 are met. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.13: Contingency Plan | |
| Rule requirement | 13.a: Establishment of a contingency plan in accordance with Annex 11, Attachment C and appropriate facilities and equipment | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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|-----------------------------------|--|--------------------------|
| Section | 4.14: ATS Coordination Requirements | |
| Rule requirement | 14.a: Provision of appropriate coordination between each ATS unit listed in their Exposition and the agencies listed in 14.a.1—14.a.7. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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|-----------------------------------|---|--------------------------|
| Section | 4.14: ATS Coordination Requirements | |
| Rule requirement | 14.b: Provision of written agreements between each ATS unit listed in their Exposition and the ATS units listed in 14.b.1—14.b.3. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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|-----------------------------------|---|--------------------------|
| Section | 4.14: ATS Coordination Requirements | |
| Rule requirement | 14.c: Assurance that each ATS agreement specified in 14.a and 14.b meets the requirements of 14.c.1—14.c.4. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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|-----------------------------------|---|--------------------------|
| Section | 4.14: ATS Coordination Requirements | |
| Rule requirement | 14.d: Procedures and systems to facilitate the required communication between the ATS units referred to in 14.b | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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|-----------------------------------|---|--------------------------|
| Section | 4.14: ATS Coordination Requirements | |
| Rule requirement | 14.d: Provision of systems and procedures to ensure that the information required is made available | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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|-----------------------------------|---|--------------------------|
| Section | 4.14: ATS Coordination Requirements | |
| Rule requirement | 14.f: Procedures to ensure that ATS messages are prepared and transmitted in accordance with PANS-ATM procedures. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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|-----------------------------------|--|--------------------------|
| Section | 4.14: ATS Coordination Requirements | |
| Rule requirement | 14.g: Requirement to ensure that the procedures required by 14.a.6 meet the requirements of 14.g.1—14.g.5. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.14: ATS Coordination Requirements | |
| Rule requirement | 14.h: Procedures to ensure that coordination failures are reported, investigated and recorded, and that appropriate corrective and preventive actions are taken where necessary. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |
| Section | 4.14: ATS Coordination Requirements | |
| Rule requirement | 14.i: Procedures to ensure that the communication systems required in 14.a,b and .g meet the requirements of 14.i.1 to 14.i.3 . | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |
| Section | 4.14: ATS Coordination Requirements | |
| Rule requirement | 14.j: Procedures to ensure that the specified communication systems include direct speech provisions. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |

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| Planned measures not yet in place | |
| | Expected implementation date: |
| Additional comments. | |

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| Section | 4.15: Notification of Facility Status | |
| Rule requirement | 15.a: Procedures to notify users of its service/s of relevant operational information and of any changes in the operational status of the facility or service, 15.b: Ensure that the above procedures require operational information to be forwarded to the AIP service provider and that changes in operational status of a facility or service which may affect flight safety are forwarded to the NOTAM service provider, except where the change is temporary in nature. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.16: Receipt of Information Requirements | |
| Rule requirement | 16.a: Procedures to ensure each ATS unit receives, when that information could affect airspace used by flights under that unit's responsibility, information referred to in 16.a.1 – 16.a.6. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not | | |

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| yet in place | |
| | Expected implementation date: |
| Additional comments. | |

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| Section | 4.17: Meteorological Information and Reporting | |
| Rule requirement | 17.a: Procedures and systems to ensure all meteorological information provided is either supplied by an organization certificated under CAR Part VIII, Subpart 7, or is issued as an observation by ATS personnel. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.17: Meteorological Information and Reporting | |
| Rule requirement | 17.b: Systems to ensure ATS units are supplied with the required information in a form requiring minimum interpretation by ATS personnel. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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|-----------------------------------|---|--------------------------|
| Section | 4.17: Meteorological Information and Reporting | |
| Rule requirement | 17.c: Procedures to ensure that equipment used to compile ATS observations meets the requirements of 17.c | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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|-----------------------------------|--|--------------------------|
| Section | 4.17: Meteorological Information and Reporting | |
| Rule requirement | 17.d: A Procedure to ensure that information received in meteorological bulletins remains unchanged through onward transmission. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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|-----------------------------------|---|--------------------------|
| Section | 4.17: Meteorological Information and Reporting | |
| Rule requirement | 17.e: A Procedure to ensure that aircraft weather reports are forwarded to the appropriate weather authority without delay. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.18: Area and Approach Control Services | |
| Rule requirement | 18.a: Procedures and systems to ensure that the requirements of 18.a.1 – 18.a.4 met. | |

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| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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|-----------------------------------|--|--------------------------|
| Section | 4.18: Area and Approach Control Services | |
| Rule requirement | 18.b: A statement that the separation required in 18.a.2 will be according to the applicable criteria and minima prescribed in Appendix 1 to CAR Part VIII, Subpart 4. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.19: Aerodrome Control Services | |
| Rule requirement | 19.a: Systems and Procedures to ensure that the requirements of 19.a.1 – 19.a.7 are met and that the separation required in 19.a.2 and 19.a.3 will be in accordance with the applicable criteria and minima prescribed in Appendix 1 to CAR Part VIII, Subpart 4. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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|-----------------------------------|---|--------------------------|
| Section | 4.19: Aerodrome Control Services | |
| Rule requirement | 19.c A Procedure to ensure that, except as provided for in CAR 4.25 and , subject to authorization be the applicable approach control unit, if provided, aerodrome control units provide separation in accordance with 19.c.1 – 19.c.3. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.19: Aerodrome Control Service | |
| Rule requirement | 19.d: A Procedure to ensure that when radio communication is not available, the requirements of 19.a.2 can be conveyed by light signals according to Appendix 1 to ICAO Annex 2. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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|-----------------------------------|---|--------------------------|
| Section | 4.19: Aerodrome Control Service | |
| Rule requirement | 19.e: Procedures to ensure that when required, the requirements of 19.e.1 and 19.e.2 are met. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.19: Aerodrome Control Service | |
| Rule requirement | 19.f: A Procedure to ensure that aerodrome control units provide separation according to any delegation received and accepted from the applicable area or approach control unit. | |

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| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.20: Special Use Airspace | |
| Rule requirement | 20.a: Systems and Procedures to ensure that separation, according to that in Appendix A.1.4 to CAR Part VIII, Subpart 4, is provided between controlled flights and active special use airspace except when the requirements of 20.a.1—20.a.4 are met. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.21: Responsibility for Control | |
| Rule requirement | 21.a: Procedures to ensure that any controlled flight is under the control of only one ATC unit at any given time. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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|-----------------------------------|---|--------------------------|
| Section | 4.21: Responsibility for Control | |
| Rule requirement | 21.b: Procedures to ensure that the responsibility for the control of all aircraft within a given block of airspace is vested in a single operating position. Control of aircraft or groups of aircraft may be delegated to other positions provided that coordination between all affected parties is assured. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |

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| | Expected implementation date: |
| Additional comments. | |

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| Section | 4.21: Responsibility for Control | |
| Rule requirement | 21.c: Procedures for the transfer of responsibility for control of an aircraft, and that these procedure contain details of the time, place or level at which responsibility shall be transferred. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.21: Responsibility for Control | |
| Rule requirement | 21.d: Do the procedures required by 18.3 ensure that the transfer arrangements meet the requirements of 21.d.1 and 21.d.2. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned | | |

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| measures not yet in place | |
| | Expected implementation date: |
| Additional comments. | |

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|-----------------------------------|---|--------------------------|
| Section | 4.21: Responsibility for Control | |
| Rule requirement | 21.e: Do the procedures required by 21.c ensure that transfer of control is not effected without the requirements of 21.e.1 – 21.e.3 being met. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.22: Priorities | |
| Rule requirement | 22.a: Procedures to ensure that, provided safety is not jeopardized, ATS shall follow the priorities in 22.a.1 – 22.a.3. | |
| Control measures in place | | |

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| Additional comments. | | |

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| Section | 4.22: Priorities | |
| Rule requirement | 22.b: Procedures to ensure that, where practical, priorities are granted according to 22.b.1—4. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.22: Priorities | |
| Rule requirement | 22.c: Procedures to ensure that an aircraft at cruising level generally has priority over another aircraft requesting that level except when the conditions in 22.c.1 and 22.c.2 apply. | |
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| measures in place | | |
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| Section | 4.22: Priorities | |
| Rule requirement | 22.d: Procedures regarding priorities in airspace designated as RNAV, RNP or RVSM airspace. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.22: Priorities | |
| Rule | 22.e: If priority and ATM schemes are in place, was the required consultation with interested parties undertaken | |

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| requirement | | |
| Control measures in place | | |
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| Planned measures not yet in place | | |
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| Additional comments. | | |

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| Section | 4.22: Priorities | |
| Rule requirement | 22.f: If 22.d and 22.e priorities are established, is the relevant information published in the AIP. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |
| Section | 4.22: Priorities | |

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| Rule requirement | 22.g: Procedures to ensure that, provided safety is not jeopardized, due regard is given to those priorities determined in conjunction with the aerodrome operator for operations at the aerodrome and other operations within the control zone. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |
| Section | 4.22: Priorities | |
| Rule requirement | 22.h: Priorities to ensure that except where other priorities have been applied in accordance with this rule, priority is allocated on a first come first served basis. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
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| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.22: Priorities | |
| Rule requirement | 22.i: Procedures to ensure that ATC service takes precedence over the provision of a flight information service and the performance of any non ATS tasks. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.23: ATFM | |
| Rule requirement | 23.b: If, due to ATS system limitations, ATFM Procedures are required, do they take account of the requirements in 23.b.1 – 23.b.4. Do they also include the roles and relationships required by this paragraph. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
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| Section | 4.24: ATC Clearances | |
| Rule requirement | 24.a: Procedures for the provision of ATC clearances | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.24: ATC Clearances | |
| Rule requirement | 24.b: Procedures to ensure that the requirements of 24.b.1 – 24.b.8 are met. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |

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| Section | 4.25: Deviation from an ATC Clearance | |
| Rule requirement | 25.a: Procedures to ensure that ATC instructions issues to restore a loss of separation do not hinder a pilot's response to an ACAS resolution, a GPWS or TAWS alert or any weather or emergency situation requiring a deviation from an ATC clearance. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.25: Deviation from an ATC Clearance | |
| Rule requirement | 25.b: Do the procedures required in 25.a specify that separation shall be restored once the emergency situation is resolved. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |

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| Planned measures not yet in place | |
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| Section | 4.26: Cruising levels | |
| Rule requirement | 26.a: Procedures to ensure that cruising levels are selected in accordance with the Annex 2, Appendix 3 table of cruising levels with the exception that, within controlled airspace, VFR flights may be allocated IFR levels and that correlation of level with track need not apply. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
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| Additional comments. | | |

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| Section | 4.27: Flight Information Service | |
| Rule requirement | 27.a: Procedures to ensure that a flight information service is provided to those aircraft listed in 27.a.1—27.a.5. | |
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| Additional comments. | | |

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| Section | 4.27:Flight Information Service | |
| Rule requirement | 27.b: Do the Procedures required in 27.a include the provisions of 27.b.1 – 27.b.8 | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
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| Additional comments. | | |

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| Section | 4.27: Flight Information Service | |
| Rule requirement | 27.c: Procedures to ensure that the description of runway surface conditions uses the terms listed in 27.c.1—27.c.4. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 27: Flight Information Service | |
| Rule requirement | 27.d: Procedures to ensure that local aircraft operators are made aware of short term changes to published hours of service. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
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| Section | 4.27: Flight Information service | |
| Rule requirement | 27.e: Procedures to ensure essential traffic information is passed to all affected traffic. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| <i>Section</i> | <i>4.27: Flight Information Service</i> | |
| Rule requirement | 27.f: Procedures to ensure that traffic information is passed to all aircraft known to the ATS unit and likely to be affected by the information in accordance with the requirements of 27.f.1—27.f.4. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
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| | Expected implementation date: | |

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| Additional comments. | |
| Section | 4.27: Flight Information Service |
| Rule requirement | 27.g: Procedures to ensure that ATIS broadcasts are provided at aerodromes where there is a requirement to reduce the communication load on the ATS VHF air-ground communication channels. |
| Control measures in place | |
| | Document Reference: _____ Version Number and date: _____ |
| Planned measures not yet in place | |
| | Expected implementation date: _____ |
| Additional comments. | |
| Section | 4.27: Flight Information Service |
| Rule requirement | 27.h to 27.m: Where ATIS is provided, are there procedures to ensure that the requirements of 27.h to 27.m met. |
| Control measures in place | |
| | Document Reference: _____ Version Number and date: _____ |
| Planned measures not yet in place | |
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| Section | 4.28: Aerodrome Flight Information Service | |
| Rule requirement | 28.a: Systems and procedures to meet the requirements of 28.a.1 and 28.a.2. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.28: Aerodrome Flight Information Service | |
| Rule requirement | 28.b: Procedures to ensure that the designated preferred runway is that most suitable for the particular operation. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |

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| Section | 4.29: Alerting Service | |
| Rule requirement | 29.a: Systems and procedures to ensure the provision of an alerting service to meet the requirements of 29.a.1 to 29.a.3 | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.29: Alerting Service | |
| Rule requirement | 29.b: Procedures to ensure that, in the event of a state of emergency described in 4.29.c – the appropriate state is declared immediately and is notified to the RCC through the UAE ACC, except where the emergency can be dealt with by a aerodrome emergency plan. | |
| Control measures in | | |

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| | Document Reference: | Version Number and date: |
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| Section | 4.29: Alerting Service | |
| Rule requirement | 29.c: Procedures to ensure that notification of emergency phases shall follow the criteria listed in 29.c.1 to 29.c.3. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
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| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.29: Alerting Service | |
| Rule requirement | 29.d: With respect to an Area Control service or Area Flight Information service, procedures to ensure that, in the event of a state of emergency, the UAE ACC meets the requirements of 29.d.1 and .2. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.29: Alerting Service | |
| Rule requirement | 29.e: With respect to an Aerodrome Control service, Approach Control service or an Aerodrome Flight Information service, procedures are established to ensure that whenever the urgency of the situation so requires, those services shall first notify appropriate local emergency organisations. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
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| | Expected implementation date: | |
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| Section | 4.29: Alerting Service | |
| Rule requirement | 29.f: Procedures meeting the requirements of 29.f.1 to 29.f.10 | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.29: Alerting Service | |
| Rule requirement | 29.g: Procedures to ensure that, following the notification of an emergency situation, the RCC is provided the information required in 29.g.1 and .2 without delay | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
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| | Expected implementation date: |
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| Section | 4.29: Alerting Service | |
| Rule requirement | 29.h: Procedures to ensure, as necessary, the use of all available means to establish and maintain communication with, and surveillance of, an aircraft in a state of emergency. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.29: Alerting Service | |
| Rule requirement | 29.i: Procedures to ensure that, when a state of emergency is considered to exist, the last known position of any aircraft involved is established and recorded, that radar data shall be retained for flights involved in a state of emergency and that the positions of other aircraft in the vicinity should be established to determine those most suitable to provide assistance. | |
| Control measures in place | | |

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| Additional comments. | | |

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| Section | 4.29: Alerting Service | |
| Rule requirement | 29.j: Procedures to ensure that the requirements of 29.j.1, .2 and .3 are met. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.29: Alerting Service | |
| Rule requirement | 29.k: Procedures to ensure that in the event of ELT signals being received, and immediate checks fail to identify the source of the signal, the RCC is notified via UAE ACC is notified without delay. | |
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| measures in place | | |
| | Document Reference: | Version Number and date: |
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| Additional comments. | | |

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| Section | 4.29: Alerting Service | |
| Rule requirement | 29.l: Procedures to ensure that the requirements of 29.l.1 and .2 are met. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.29: Alerting Service | |
| Rule | 29.m: Procedures to ensure that, if an ATS unit becomes aware of a situation or receives information relevant to | |

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| requirement | a state of emergency of an aircraft operating within a flight information region or controlled airspace not under the control of that unit, it shall confirm that the phase declaration has been made and not assume that another ATS unit has declared the phase. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.30: Flight Plans | |
| Rule requirement | 30.a: Procedures for the acceptance and processing of flight plans, unless this function has been allocated to a centralised flight planning office, when necessary for the provision of air traffic services including the requirements of 30.a.1 to 30.a.3. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
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| Section | 4.30: Flight Plans | |
| Rule requirement | 30.b: Where a centralized flight planning office is established, is the office equipped with appropriate communications facilities and facilities for handling standard or repetitive flight plans. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.31: Time | |
| Rule requirement | 31.a: A procedure to ensure that ATS unit clocks and other time recording devices use UCT expressed in hours and minutes of the 24 hour day beginning at 0000 UTC, and are correct to within 5 seconds of UTC, or, wherever data link communications are utilized by an air traffic services unit, clocks and other time-recording devices shall be checked as necessary to ensure correct time to within 1 second of UTC as determined by reference to a standard time station or corrected GPS time standard. | |
| Control measures in | | |

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| Additional comments. | | |

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| Section | 4.32: Altimeter setting Procedures | |
| Rule requirement | 32.a: Procedures to ensure that the requirements of 32.a.1 to 32.a.3 are met. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
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| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.33: Radio and telephone procedures | |
| Rule requirement | 33.a: Procedures to ensure that the requirements of 33.a.1 to 33.a.3 are met. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.33: Radio and telephone procedures | |
| Rule requirement | 33.b: procedures to ensure that, for the purposes of paragraph 30.1, the standard phraseology, and the circumstances in which it is used, is that published in Annex 10, PANS-ATM or Document 9432. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
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| Section | 4.33: Radio and telephone procedures | |
| Rule requirement | 33.c: A procedure to ensure that where differences occur between the stated documents, the particular phraseology shall be selected according to the order of precedence of the documents as listed. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.34: ATS Surveillance services | |
| Rule requirement | 34.b: A procedure to ensure that a safety case for the introduction of ADS-B and Multilateration systems shall be presented to the ANS regulations section of the ANA Department of Aviation Safety Affairs Sector, prior to such equipment being introduced to operational service. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not | | |

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| Section | 4.34: ATS Surveillance services | |
| Rule requirement | 33.c: Procedures to ensure that, where radar or automatic dependent surveillance is used to support the provision of an air traffic service the requirements of 34.c.1 to 34.c.5 are met. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.34: ATS Surveillance services | |
| Rule requirement | 34.d, 34.e: Procedures to ensure that the verification of level occupancy requirements are met. | |
| Control measures in place | | |

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| Additional comments. | | |

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| Section | 4.34: ATS Surveillance services | |
| Rule requirement | 34.f: Procedures to ensure that the provisions of 34.f.1 to 34.f.4 are met prior to ADS-B being used as a sole use surveillance system for separation purposes. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.34: ATS Surveillance services | |
| Rule requirement | 34.g-34.k: Procedures to ensure the display system requirements of these paragraphs are met. | |
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| Section | 4.34: ATS Surveillance services | |
| Rule requirement | 34.m: Procedures to ensure that the identification requirements of this paragraph are adhered to. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
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| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.34: ATS Surveillance services | |
| Rule requirement | 34.o: Procedures to ensure that the position information requirements of this paragraph are adhered to. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.34: ATS Surveillance services | |
| Rule requirement | 34.p: Procedures to ensure that the position information requirements of this paragraph are adhered to. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
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| | Expected implementation date: | |

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| Section | 4.35: Aircraft emergencies and irregular operations | |
| Rule requirement | 35.a: Procedures to ensure maximum assistance and priority is given to an aircraft known, or believed to be, in a state of emergency. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.35: Aircraft emergencies and irregular operations | |
| Rule requirement | 35.b: Procedures in accordance with PANS-ATM, to assist strayed aircraft, unidentified aircraft, and aircraft subject to military interception. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not | | |

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| yet in place | |
| | Expected implementation date: |
| Additional comments. | |

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| Section | 4.36: Accident, Incident and Occurrence Reporting | |
| Rule requirement | 36.1: Procedures for the notification, investigation, and reporting of incidents in accordance with CAR Part VIII subpart 4 Appendix 4 and the forwarding of facility malfunction reports required by CAR Part VIII, subpart 4 to the applicable aeronautical telecommunication service certificate holder. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.36: Accident, Incident and Occurrence Reporting | |
| Rule requirement | 36.b: Procedures to ensure that the requirements of 36.b.1, 2, .3 are met. | |
| Control measures in place | | |

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| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.37: Records | |
| Rule requirement | 37.a: Systems and procedures to identify, collect, store, secure, maintain, access, and dispose of, records necessary for the operational provision of air traffic services, investigation purposes, SMS improvement and where applicable, low visibility operations. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 34.37: Records |
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| Rule requirement | 37.b: Procedures to ensure that the records include, where applicable, electronic recordings of the items listed in 37.b.1 to 37.b.7. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.37 Records | |
| Rule requirement | 37.c: Procedures to ensure that the records include those listed in 37.c.1 to 37.c.7. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.37 Records | |
| Rule requirement | 37.d: Systems and procedures to ensure that electronic records required by 37.b Include time recording, correct to 5 seconds of UTC, as determined by reference to a standard time station or GPS time standard; and replicate the voice communications, and, if applicable, the surveillance picture, applying at the particular operating position. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.37: Records | |
| Rule requirement | 37.e: Systems and procedures to ensure that all records, except where replication is required by paragraph 37.d.2, are of sufficient clarity to convey the required information. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
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| measures not yet in place | |
| | Expected implementation date: |
| Additional comments. | |

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| Section | 4.37 Records | |
| Rule requirement | 37.f: Procedures to ensure that the records referred to in 37.b and 37.c are retained for 31 days from the date of entry, except for staff duty rosters and written records associated with the requirements of 40.a.1 and 40.a.2 and ATS logs, which shall be retained for 3 years; and unit occurrence investigation records, which shall be retained for a period of not less than 5 years. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.38: Logs and Position logs | |
| Rule requirement | 38.a: Procedures to ensure that a log is kept at each ATS unit, and, where a unit has physically separate operations areas, at each such location within the unit. | |

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| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.38: Logs and Position logs | |
| Rule requirement | 38.c: Do the procedures required in 35.1 ensure that the requirements of 38.c.1 to 38.c.6 are met. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.38: Logs and Position logs | |
| Rule requirement | 38.d: Procedures to ensure the keeping of an operating position log, when such information is not available in the logbook required by 4.38.a. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 34.38: Logs and Position logs | |
| Rule requirement | 38.e: A procedure to ensure that the operating position log contains sufficient information to identify when that position was in operation, the services being provided from that position and the identity of the individual providing the service. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |

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| Additional comments. | |
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| Section | 4.39: Security | |
| Rule requirement | 39.a: Is there an ATS Security programme in place. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.39: Security | |
| Rule requirement | 39.b: Does the programme specify the physical security requirements, practices and procedures to be followed for the purposes of minimising the risk of destruction of, damage to, or interference with the operation of any ATS unit operated by the applicant where such destruction, damage or interference is likely to endanger the safety of aircraft. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |

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| Planned measures not yet in place | |
| | Expected implementation date: |
| Additional comments. | |

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| Section | 4.39: Security | |
| Rule requirement | 39.c: Does the programme specify such physical security requirements, practices and procedures as may be necessary to ensure that entrances to permanent ATS facilities operated by the applicant are subject to positive access control at all times, so as to prevent unauthorised entry, to monitor unattended permanent ATS buildings to ensure that any intrusion or interference is detected, o protect personnel on duty and to be followed in the event of a bomb threat or other threat of violence against an ATS unit. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.40: Service Disruptions | |
| Rule requirement | 40.a: Procedures, in addition to any reporting requirements in CAR Part VIII, Appendix 4 to advise the Authority of any planned disruption to the provision of air traffic services that could have an impact on safety, investigate any unplanned disruption to the provision of air traffic services and report to the Authority, within 48 hours of the occurrence, the circumstances surrounding any unplanned disruption to air traffic services when the disruption affected, or could have affected, the safety of air traffic. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 34.40: Service Disruptions | |
| Rule requirement | 40.b: Do the disruption referred to in 40.a. include Failure to open watch within 15 minutes of the promulgated opening time, any interruption, of greater than 10 minutes, to the normal provision of an air traffic service and curtailment of watch, by greater than 30 minutes, from the promulgated off watch time. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |

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| Planned measures not yet in place | |
| | Expected implementation date: |
| Additional comments. | |

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| Section | 4.41: SMS Requirements | |
| Rule requirement | 41.a: A safety management system acceptable to the GCAA that, as a minimum meets the requirements of 41.a.1 to 41.a.4 and clearly define lines of safety accountability throughout the ATS organisation, including a direct responsibility for safety on the part of senior management. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.41 SMS Requirements | |
| Rule requirement | <p>41.d: A procedure to ensure that any significant change to the ATS system, including but not limited to proposed amendments to separation minima, operational equipment or procedures, ATS sectorisation, coordination procedures and hours of duty shall be subject to a safety assessment, indicating that an acceptable level of safety shall be met, prior to implementation.</p> <p>Procedures to ensure that user consultation forms part of the safety assessment and that the safety assessment is presented to, and accepted by, the ANA Department of the Aviation Safety Affairs Sector of the GCAA prior to implementation of the change.</p> | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.41: SMS Requirements | |
| Rule requirement | 41.g: Does the SMS establish target levels of safety/key performance indicators for at least the safety areas listed. | |
| Control measures in place | | |

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| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.42: QAS Requirements | |
| Rule requirement | 42.a: Is there an internal quality assurance system (QAS) to ensure compliance with, and the adequacy of, the procedures required by these Regulations and the relevant chapter under which certification is sought. Does the QAS include the items listed in 42.a.1 to 42.a.7 | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |
| Section | 4.45: Duty Hours and Staffing | |
| Rule requirement | 45: Are there procedures and processes to ensure that the duty hour requirements are being met? | |

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| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |
| Section | 4.46 Watch Rosters | |
| Rule requirement | 46.a: Are there procedures in place to ensure that the rosters meet the duty hour limitations in 4.45; provide adequate support staff to meet the requirements of 46.e; provide adequate resources to meet the requirements of 46.g; and meet the training and competency requirements of 46.h and 46.i. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.47: Organisation Exposition | |
| Rule requirement | 47.a: Does the exposition contain the items listed in 47.a. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |
| Section | 4.48: Operations Manual | |
| Rule requirement | 48.a: Does the ATS Operations Manual contain the items listed in 48.a. | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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| Section | 4.49: Changes to the Certificate Holder's Organisation | |
| Rule requirement | 49. A procedure to ensure that the changes to the exposition listed in 49.a, 49.c, 49.d are made in accordance with the requirements of this Rule . | |
| Control measures in place | | |
| | Document Reference: | Version Number and date: |
| Planned measures not yet in place | | |
| | Expected implementation date: | |
| Additional comments. | | |

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Attachment B:

RULE MATRIX

| Rule Requirement/Document source | Manual | LATSI | ETC | | |
|----------------------------------|--------|-------|-----|--|--|
| Subpart 4, para 24.1 | | | | | |
| Subpart 4, para 24.3 | | | | | |
| ETC | | | | | |
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