



**NPA No. 16 /2015**

**CAR PART VIII SUBPART 9  
AERODROME FLIGHT INFORMATION SERVICES**

**Release Date: 02 September 2015**

The GCAA has recently conducted a review of CAR PART VIII Subpart 9 to ensure its currency.

The review concluded that standardisation of GCAA terms, new requirements concerning documents submission and review, and an update to the incident classification table was required. Amendments History Table provides details of the proposed changes.

The proposed initial entry into force date of the amendment is 01 December 2015.

This notice is published to announce to the public this amendment, and to entitle all concerned parties to:

1. Review the attached proposed CAR PART VIII Sub Part 9; and
2. Submit their comments online through the GCAA website within 60 days from the date of this NPA.

Comments must be submitted through the GCAA Website – E-Publication – Notice of Proposed Amendment, using the Action of “Submit NPA Feedback Request.”

Comments and Responses may be viewed in the Comments Response Document CRD pertaining to this NPA on the GCAA website.

**CAR PART VIII**  
**SUBPART 9**

**AERODROME FLIGHT INFORMATION SERVICES**

## FOREWORD

1. The UAE General Civil Aviation Authority (GCAA) has implemented Subpart 9 to CAR Part VIII to regulate the provision of Aerodrome Flight Information Services.
2. For the purposes of this Subpart, the Air Navigation and Aerodrome Department of the Aviation Safety Affairs sector of the GCAA shall be considered as the Authority.
3. Future development of the requirements of Subpart 9 will be in accordance with the Notice of Proposed Amendment (NPA) procedures, if the GCAA thinks an NPA is required. These procedures allow for the amendment of Subpart 9 to be harmonised with relevant ICAO Annexes in a timely manner. Typographical errors or minor changes that do not affect the industry will be published and introduced without NPA.
4. Amendment history table is included so that the changes can be easily tracked.

### RECORD OF AMENDMENTS

<b>Rev No.</b>	<b>Date of Issue</b>	<b>Entered by</b>
Issue initial Rev 0	March 2014	ANA Department Aviation Safety Affairs Sector
Issue 02		ANA Department Aviation Safety Affairs Sector

### AMENDMENTS HISTORY

<b>Amendment</b>	<b>Source(s)</b>	<b>Subject(s)</b>	<b>Issue Date</b>
Issue initial Rev. 0	Implemented by ANA	New regulations	23 Mar 2014
Issue 02	Rule development.  Industry responses.  GCAA review	<p>Typos, formatting and errors corrected.</p> <p>Updates for standardisation of terms to reflect Service Certificate Holder.</p> <p>Addition of requirements to submit documents to GCAA Q-Pulse.</p> <p>Inclusion of document review interval.</p> <p>Change of Training document title to Training and Competence Manual (TCM).</p> <p>Updates to the Training and Competence requirements.</p> <p>Update to Incident Classifications in Attachment A to Appendix 3.</p>	

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**SECTION A — GENERAL PROVISIONS**

**CAR 9.1      APPLICABILITY**

- (a) Civil Aviation Regulations Part VIII, Subpart 9 is issued by the General Civil Aviation Authority in pursuit of its obligations to ensure enforcement of accepted international regulations and standards within organisations providing specifically Aerodrome Flight Information Services (AFIS) within the UAE FIR as designated by the Authority, and within airspace of other States for which responsibility has been transferred to the UAE.
- (b) These Regulations govern the certification and operation of organisations providing an AFIS service and the operating and technical standards for providing an AFIS service by those organisations.  
AFIS consists of an aerodrome flight information service and an alerting service.
- (c) The standards contained herein are based on ICAO Annexes 2 and 11 as well as ICAO PANS-ATM, in so far as they have been adopted by the United Arab Emirates, and ICAO Circular 211.

## **CAR 9.2 DEFINITIONS AND ACRONYMS**

Definitions existing in ICAO PANS-ATM, chapter 1 shall form part of this Regulation, supplemented by the definitions contained in CAR PART I and Subpart 1 to CAR Part VIII which, unless otherwise stated, are from Annexes 2 and 11. Acronyms are contained in Subpart 1.

## **CAR 9.3 AFIS PROVIDER'S CERTIFICATE**

- (a) No person or organisation shall provide an AFIS service except under the authority of, and in accordance with the provisions of, an AFIS Provider's certificate issued under this Subpart.
- (b) The Authority may, in consultation with such persons as the Authority considers necessary, determine whether the proposed service is an AFIS service under CAR 9.4.
- (c) The application for an AFIS Provider's certificate shall be submitted to the Authority for approval through the E-services ATS Section on the GCAA website. All elements of the form shall be completed.
- (d) The application shall include the aerodrome locations and airspace designations at or within which the services will be provided.
- (e) The application shall be submitted to Authority along with supporting documentation which shall include the exposition required by CAR 9.35.
- (f) An applicant is entitled to an AFIS Provider's certificate if—
  1. The persons occupying positions listed in CAR 9.7.(a).1 to 9.7.(a).5 inclusive are acceptable to the Authority;
  2. The organisation's exposition as required by CAR 9.35 is acceptable to the Authority;
  3. The Authority is satisfied that the granting of the certificate is not contrary to the interests of aviation safety; and
  4. Payment of the applicable fees as set by the Authority is received.
- (g) In the interests of aviation safety, only one certificate for an AFIS service at the same aerodrome is current at any time.
- (h) The validity of an AFIS Provider's certificate is based on continued operation in accordance with Civil Aviation Regulations, Civil Aviation Advisory Publications, and Information Bulletins as published by the Authority.
- (i) An AFIS Provider's certificate remains in force until it expires, is suspended or revoked.



- (j) The holder of an AFIS Provider's certificate that expires or is revoked shall surrender the certificate to the Authority.
- (k) The holder of an AFIS Provider's certificate that is suspended shall immediately return the certificate to the Authority for appropriate endorsement.

**CAR 9.4 PRIVILEGES OF CERTIFICATE**

- (a) An AFIS Provider's certificate specifies which of the following air traffic services and which training and assessment for such services, the certificate holder is authorised to provide—
  1. Flight information service within the airspace allocated to the service;
  2. Aerodrome flight information service;
  3. Alerting service;
  4. Any other service provided in accordance with the requirements of the Authority.

**CAR 9.5 VALIDITY OF CERTIFICATE**

- (a) The AFIS Provider's certificate shall remain valid subject to periodic surveillance audits conducted at the discretion of the Authority, confirming ongoing compliance with the Civil Aviation Regulations.
- (b) The Authority shall undertake a complete Aerodrome Flight Information Service certification audit at least once in every three year period following the issue of an AFIS Provider's certificate.
- (c) A Certificate has no expiry date and shall continue to exist until surrendered by the service provider or until the Authority revokes the Certificate.

**CAR 9.6 CONTINUED COMPLIANCE**

- (a) The holder of an AFIS service provider's certificate shall—
  1. Ensure its exposition is amended so as to remain a current description of the holder's organisation and services;
  2. Provide access to a complete and current copy of its exposition at each AFIS unit listed in its exposition and to personnel who require access to carry out their duties,
  3. Provide access to a current and complete operations manual or system of manuals for the services listed in its exposition, for compliance by its personnel;
  4. Where a holder is certificated to provide an AFIS service from more than one location, the provider may publish a core operations manual together with manual supplements specific to each service or location;
  5. Comply with all procedures and standards detailed in its exposition in order to continue to meet the standards and comply with the requirements prescribed for certification under this part; and
  6. Promptly notify the Authority of any change of address for service, telephone or facsimile number required by the application.

## SECTION B CERTIFICATION REQUIREMENTS

### CAR 9.7 PERSONNEL REQUIREMENTS

- (a) The holder of an AFIS service provider's certificate shall engage, employ or contract:
1. An Accountable Manager who has the authority within the holder's organisation to ensure that each AFIS service listed in its exposition can be financed and is provided in accordance with the requirements of this Part;
  2. A Head of AFIS responsible for ensuring that the organisation complies with the AFIS provision requirements of this Part;
  3. A Head of Training responsible for ensuring that the organisation complies with the training and Certification requirements of this Part;
  4. A Safety Management post holder responsible for the provision of a safety management system according to the requirements of CAR Part X;
  5. A Quality Management Post Holder responsible for the provision of the Organisation's Quality Management system; and
  6. Sufficient personnel to manage, supervise, provide and support the AFIS service and any associated training or assessment listed in the holder's exposition.
- (b) Qualifications and experience details, including C.V. and post holder job description, for the persons nominated by the holder for the positions listed in CARs 9.7.(a).1 to 9.7.(a).5 inclusive shall be forwarded to the Authority for acceptance through the E-Services ATS Certificate Section on the GCAA website prior to the person being named in that position by the applicant.
- (c) The persons listed in CARs 9.7.(a).2 to 9.7.(a).6 inclusive above shall ultimately be responsible to the Accountable Manager.
- (d) The holder shall establish procedures to:
1. Ensure the competence of those personnel who –
    - i. supervise personnel providing AFIS services;
    - ii. provide the AFIS services listed in the holder's exposition;
    - iii. provide training and assessment for those AFIS services in accordance with the requirements of Appendix 1 and 2;
    - iv. provide immediate operational support for those AFIS services;
  2. Provide personnel listed in CAR 9.7.(d).1 with written evidence of the scope of their authorisation;
  3. Ensure that those personnel hold appropriate current validated certificates issued under Appendix 2;
  4. Ensure that those personnel only exercise the privilege of their certificates if they are familiar with all relevant and current information;
  5. Facilitate compliance with the recent experience requirements of Appendix 1 of AFISO certificate holders;

6. Ensure that an AFISO shall not exercise the privileges of his/her certificate unless he/she complies with any endorsements on his/her medical Certificate, or when any decrease in his/her medical fitness might render him/her unable to safely exercise these privileges; and
  7. Ensure that no person whose function is critical to the safety of aviation (safety sensitive personnel) shall undertake that function while under the influence of any psychoactive substance, by reason of which human performance is impaired, and that they shall not engage in any problematic use of substances.
- (e) A holder of an AFISO Certificate shall not be entitled to exercise the privileges of that Certificate unless he holds a current CoC specific to the unit at which the AFIS service is to be provided.

#### **CAR 9.8      AFIS TRAINING**

- (a) The holder of an AFIS certificate shall establish procedures and programmes for the training and assessment of the following personnel;
  1. AFISO;
  2. Personnel directly involved in supervision of, or immediate operational support to, personnel providing AFIS services listed in the holder's exposition.
- (b) The holder shall establish procedures to ensure that personnel giving instruction in an operational environment hold an appropriate current validated AFIS Instructor endorsement issued under Appendix 2.
- (c) The holder shall establish procedures to ensure that their personnel carrying out assessment for the issue or the validation of certificates hold an appropriate current Examiner endorsement issued under Appendix 2.
- (d) The holder of an AFIS certificate shall submit the unit training and competence manual (TCM) to the Authority for acceptance.
- (e) The holder of an AFIS certificate shall establish procedures and programmes for continuation training of AFIS personnel in accordance with Appendix 2.
- (f) The holder of an AFIS certificate shall establish procedures to ensure that trainee and certificated AFISO operators achieve and retain English language proficiency which, for the purpose of this Subpart, is the ability to speak and understand the English language required by ICAO standardised radiotelephony communications, without accent or impediment which would adversely affect radio communications.

**CAR 9.9        SHIFT ADMINISTRATION**

- (a) The holder of an AFIS Provider’s certificate shall establish a procedure to ensure that –
1. Adequate time is provided at the beginning and end of each shift for the performance of those duties required;
    - i.        before providing an AFIS service;
    - ii.       after ceasing to provide an AFIS service; and
  2. Adequate time is provided for each transfer of watch at an operational AFIS position, with a minimum of 5 minutes.

**CAR 9.10       FACILITY REQUIREMENTS**

- (a) The holder of an AFIS Provider’s certificate shall establish the following facilities appropriate to the AFIS services listed in the holder’s exposition:
1. Aerodrome flight information units;
  2. Training and assessment facilities.
- (b) Working conditions shall meet acceptable levels for temperature, humidity, ventilation, noise and ambient lighting, and do not adversely affect AFISO performance.
- (c) The holder of an AFIS Certificate shall establish procedures to ensure that any aerodrome flight information unit, listed in their exposition, is;
1. Constructed and situated to provide :
    - i.    The maximum practicable visibility of aerodrome traffic;
    - ii.   Protection from glare and reflection;
    - iii.   Protection from noise;
  2. Safeguarded from any development that would affect the requirements of CAR 9.10.c.1;
  3. At solo watch locations, provided with toilet facilities that ensure the minimum possible interruption to, or degradation of, AFIS services;
  4. Provided with equipment for two way voice communication or data link meeting the required communication performance (RCP) type prescribed by the Authority with –
    - i.    any aircraft, in or adjacent to airspace for which the holder has responsibility;
    - ii.   any aircraft, vehicle, and person, on, or adjacent to, the manoeuvring area;
  5. Provided with the following minimum equipment:
    - i.    a display system or systems designed to show the disposition of current and pending aerodrome traffic together with ancillary information for individual aircraft;
    - ii.   a power supply;
    - iii.   appropriate current maps and charts;
    - iv.   binoculars;

- v. clocks:
- vi. a log keeping system:
- vii. outside temperature indicator:
- viii. QNH displays:
  - ix. signal lamp with green, red and white functions:
  - x. telephone communications:
  - xi. status indicators for approach and landing aids and any road signalling equipment affecting the use of a runway:
  - xii. visibility and cloud height checkpoints:
  - xiii. voice and, if applicable, data recording equipment:
  - xiv. wind direction and speed display/s related to the same location(s) of observation and be fed from the same sensor(s) as the corresponding display(s) in the meteorological station, where such a station exists:
  - xv. an audible emergency alerting system:
  - xvi. an AFTN terminal or, if provided for in an ATS letter of agreement, an alternative means of reception and transmission of information normally conveyed by AFTN:
  - xvii. If applicable, display(s) permitting read-out of the current runway visual range value(s) where runway visual range values are measured by instrumental means. The display(s) shall be related to the same location(s) of observation and be fed from the same sensor(s) as the corresponding display(s) in the meteorological station, where such a station exists.
  - xviii. If applicable, display(s) permitting read-out of the current value(s) of the height of cloud base, where the height of cloud base is assessed by instrumental means. The displays should be related to the same location(s) of observations and be fed from the same sensor(s) as the corresponding display(s) in the meteorological station, where such a station exists.
  - xix. If applicable, airfield lighting control panel;

6. Provided with adequate facilities for staff off watch break periods.

- (d) The holder shall establish procedures to ensure that the aeronautical telecommunications equipment required by CARs 9.10.(c) is operated and maintained by an Organisation certified in accordance with CAR Part VIII, subpart 5.
- (e) The holder shall establish procedures to ensure that any equipment, maps, charts, monitors and displays used by AFIS service personnel are positioned with due regard to the relative importance of the information displayed and ease of use by the staff concerned.
- (f) The equipment required by CARs 9.10.(c).4, 9.10.(c).5, shall have a level of reliability, availability and redundancy that minimises the possibility of failure, non-availability, or significant degradation of performance.
- (g) The holder shall establish procedures to ensure that the status indicators required by CAR 9.10.(c).5.xi are fitted with –

1. An aural alarm to indicate a change of status; and
  2. A visual indication of the current status.
- (h) A temporary aerodrome flight information unit is not required to be provided with the equipment required under CARs 9.10.(c).5.xi, xvi and xix. if it is impracticable to do so and other appropriate measures are taken, as the case may be, to;
- ii. Provide the person/s providing the AFIS service from the temporary AFIS unit with the information that would be available from the equipment required under CARs 9.10.(c).5.xi and xvi; and
  - iii. Control the aerodrome lighting if applicable.

**CAR 9.11 ESTABLISHMENT AND TRANSFER OF SERVICE**

- (a) The applicant for an AFIS Provider's certificate shall include with its application;
1. For each aerodrome, a schedule of the proposed hours of service; and
  2. In respect of an aerodrome not currently provided with an AFIS service, a copy of the safety study that led to the decision to provide the AFIS service.
- (b) The applicant for an AFIS Provider's certificate intending to assume responsibility for providing any AFIS service from an existing certificate holder, shall include with its application full details of transitional arrangements endorsed by the Heads of AFIS/ATS of both organisations.

**CAR 9.12 DOCUMENTATION**

- (a) The holder of an AFIS Provider's certificate shall hold copies of the relevant technical manuals and all other documents necessary for the provision and operation of the services listed in its exposition.
- (b) The holder shall establish a procedure to control all the documentation required by CAR 9.12.(a). The procedure shall ensure that ;
1. Appropriate arrangements are in place to ensure receipt of amendments to documents held by the unit;
  2. All incoming documentation is reviewed and actioned as required by authorised personnel;
  3. All documentation is reviewed and authorised before issue;
  4. Current issues of all relevant documentation are available to personnel at all locations where they need access to such documentation for the provision and operation of AFIS services;
  5. All obsolete documentation is promptly removed from all points of issue or use;
  6. Any obsolete documents retained as archives are suitably identified as obsolete;
  7. The current version of each item of documentation can be identified to preclude the use of out of date documents; and
  8. A regular document audit is made of the amendment status of controlled documents held on the unit.
- (c) The order of precedence of publications is as follows:

1. UAE Civil Aviation Law
2. UAE Civil Aviation Regulations
3. Other regulatory material published by the GCAA
4. ICAO Annexes
5. ICAO Documents and Circulars.

(d) ICAO Standards & Recommended Practices and Procedures for Air Navigation Services have the following regulatory status:

1. Standards: Mandatory unless specifically modified in the applicable parts of Supplements to the Annexes or in the Civil Aviation Regulations.
2. Recommended Practices: Mandatory unless the organisation has obtained GCAA approval of an alternative provision, resulting in a level of safety equal to or greater than that achieved by application of the recommended practice.
3. PANS: Procedures for Air Navigation Services (PANS) shall be applied, with similar Mandatory status as for the SARPs, except where specifically deleted or modified in the Civil Aviation Regulations.
4. Definitions, tables, figures and appendices contained in ICAO Annexes are to be considered as Standards and therefore mandatory.
5. Attachments to ICAO Annexes are supplementary to SARPs or included as general guidance material. Where specific or general applications are considered necessary for additional safety levels, these are included in the Civil Aviation Regulations and carry Mandatory status.

(e) The following documents shall be submitted to the Authority for acceptance through the GCAA Q-Pulse Document Module including Change Requests for any amendments:

1. Exposition (refer CAR 9.35)
2. Safety Management System Manual (refer CAR 9.32)
3. Quality Management System Manual (refer CAR 9.33)
4. Operations Manual (refer CAR 9.36)
5. Training and Competency Manual (refer CAR A.2.1)

*Note: All documentation shall be reviewed at intervals not exceeding twelve (12) months. The review shall be recorded and authorised before issue.*

### **CAR 9.13      CONTINGENCY PLAN**

(a) The holder of an AFIS Provider's certificate shall establish, in accordance with the requirements of Annex 11, Attachment C, a contingency plan and appropriate facility and equipment providing for the safe and orderly flow of traffic in the event of a disruption of an AFIS service.

#### **CAR 9.14 AFIS COORDINATION REQUIREMENTS**

- (a) The holder of an AFIS Provider's certificate shall establish appropriate co-ordination and communication systems between each AFIS unit listed in the applicant's exposition and the following agencies –
  - 1. Any holder of a Communication Navigation and Surveillance (CNS) organisation certificate issued under CAR Part VIII, subpart 5;
  - 2. Any holder of an aeronautical information service (AIS) organisation certificate issued under CAR Part VIII, subpart 2;
  - 3. Any holder of an air traffic service (ATS) organisation certificate issued under CAR Part VIII, subpart 4;
  - 4. Any holder of an aviation meteorological service organisation certificated issued under CAR Part VIII, subpart 7;
  - 5. Aircraft operators;
  - 6. The UAE armed forces; and
  - 7. Search and rescue organisations.
- (b) The coordination documents required by this paragraph shall be presented to the Authority for acceptance prior to being implemented.
- (c) The holder shall establish appropriate communication systems and coordination by written agreement between each AFIS unit in their exposition and –
  - 1. The ATS unit/s or AFIS Unit/s responsible for adjoining airspace,
  - 2. Any other ATS/AFIS unit with which regular operational co-ordination is required,
  - 3. The aerodrome operator,
  - 4. Rescue and emergency services,
  - 5. Meteorological office serving the concerned unit.
- (d) The written coordination agreements required by CAR 9.14.(c) shall be in the form of Letters of Agreement.
- (e) The holder shall ensure that each agreement specified in CARs 9.14.(b) and 9.14.(c);
  - 1. Details such matters necessary for effective coordination between the units party to the agreement;
  - 2. Is kept current;
  - 3. Has the written agreement of the Head of AFIS of the relevant AFIS units and the equivalent representative of the other organisations; and
  - 4. Is part of the holder's operations manual.
- (f) The holder shall establish systems and procedures to facilitate communications between those AFIS/ATS units having an operational requirement to communicate with each other, and to ensure that, unless another language is used by mutual agreement, the English language is used for all coordination.
- (g) The holder shall provide systems and procedures to ensure that AFIS units are provided, where they



require the information through the exchange of ATS messages, with details of ;

1. The intended movement of each aircraft for which a flight plan has been filed, and any amendments to that flight plan; and
  2. Current information on the actual progress of the flight
- (h) The holder shall establish procedures to ensure that ATS messages are prepared and transmitted in accordance with procedures detailed and cross referenced in PANS-ATM (Chapter 11 – Air Traffic Service Messages)
- (i) The holder shall ensure that procedures and communication systems established under CAR 9.14.(a).6 shall:
1. Permit information pertinent to safe and expeditious civil flights to be promptly exchanged between military and AFIS units;
  2. Ensure that activities potentially hazardous to civil aircraft are coordinated between military and AFIS units to:
    - i. allow timely promulgation of information,
    - ii. minimise interference with normal civil aircraft operations;
  3. Ensure that AFIS units are advised by the military if a military unit observes civil aircraft approaching or in an area where interception might be necessary.
- (j) The holder shall establish procedures to ensure that failures in the coordination processes required in CAR 9.14.(b) (c) and (d) are investigated and recorded and that appropriate corrective and preventive action is undertaken where necessary.
- (k) The communication systems required in CARs 9.14.(a), 9.14.(b) and 9.14.(g) shall include provisions for:
1. Communications by direct speech alone, or in combination with data link communications, whereby the communications can normally be established within fifteen seconds;
  2. Printed communications, when a written record is required; the message transit time for such communications being no longer than five minutes.

#### **CAR 9.15 NOTIFICATION OF FACILITY STATUS**

- (a) -The holder of an AFIS Provider's certificate shall establish procedures to notify the users of its AFIS services of relevant operational information and of any changes in the operational status of each facility or service listed in the holder's exposition.
- (b) The holder shall ensure that procedures established under CAR 9.15.(a). require ;
1. Operational information for each of the holder's AFIS services to be forwarded to the holder of the aeronautical information service certificate in accordance with CAR Part VIII, subpart 2 for the AIP service; and
  2. The users of the holder's AFIS services to be notified without delay of any change in operational status of a facility or service that may affect the safety of air navigation, and, except if the change is temporary in nature, information concerning any change in operational status is forwarded to the holder of the aeronautical information service certificate in accordance with

CAR Part VIII, subpart 2 for the NOTAM service.

**CAR 9.16 RECEIPT OF INFORMATION REQUIREMENTS**

- (a) The holder of an AFIS Provider's certificate shall establish procedures to ensure that each AFIS unit receives the following information in a timely manner when the activity could affect airspace used by flights within the unit's area of responsibility ;
1. SIGMET, METAR and AIRMET information;
  2. Information concerning the release of radioactive materials or toxic chemicals into the atmosphere;
  3. Information on changes in the availability of radio navigation services and visual aids;
  4. Information on changes in condition of aerodromes and associated facilities, including information on the state of the aerodrome movement areas when they are affected by contaminants and temporary hazards;
  5. The presence of birds to the degree that could be a hazard to aerodrome traffic;
  6. Information on unmanned free balloons.

**CAR 9.17 METEOROLOGICAL INFORMATION AND REPORTING**

- (a) The holder of an AFIS Provider's certificate shall establish systems and procedures to ensure the supply of all meteorological information required for the performance of the AFIS functions and that the information is supplied by the holder of an aviation meteorological service organisation certificate issued under CAR Part VIII, subpart 7 or is issued as an observation by appropriately trained AFIS personnel.
- (b) The holder shall establish systems to ensure that AFIS units are supplied with the above meteorological information in a form that requires a minimum of interpretation by AFIS personnel.
- (c) The holder shall establish procedures to ensure that equipment used in the compilation of AFIS observations supplies data representative of the area for which the measurements are required.
- (d) The holder shall establish a procedure to ensure that the information contained in a meteorological bulletin remains unchanged through onward transmission.
- (e) The holder shall establish procedures to ensure that a record of the meteorological conditions at the time of an accident or serious incident is retained until the accident or incident investigation is closed.
- (f) The holder shall establish a procedure to ensure that aircraft reports of weather or atmospheric phenomena are forwarded to the holder of an aviation meteorological service organisation certificate issued under CAR Part VIII, subpart 7 without delay, and to other aircraft and ATS units when applicable and relevant.

## **CAR 9.18 PRIORITIES**

- (a) The holder of an AFIS Provider's certificate in respect of an AFIS service shall establish procedures to ensure that, provided safety is not jeopardised, AFIS units apply the following priorities:
1. An aircraft known or believed to be in a state of emergency or impaired operation has priority over other aircraft;
  2. An aircraft landing, or in the final stages of an approach to land has priority over a departing aircraft;
  3. An aircraft landing or taking off has priority over a taxiing aircraft.
- (b) The holder shall establish procedures to ensure that, where practical, following a request from a pilot, an aircraft involved in, or positioning for, the following activities is granted priority:
1. Ambulance or mercy mission:
  2. Search and rescue:
  3. Civil defence or police emergency:
  4. Carriage of head of State, head of government or equivalent dignitary.
- (c) The holder shall establish procedures to ensure that, except when applying priority in accordance with other provisions of this rule, priority for arriving and departing aircraft is allocated on a first come, first served basis.

## **CAR 9.19 FLIGHT INFORMATION SERVICES**

- (a) The holder of an AFIS Provider's certificate shall establish procedures to ensure that a flight information service is provided to the following;
1. Each aircraft being provided with an AFIS service that is likely to be affected by the information in CAR 9.19.(b):
  2. Each aircraft operating IFR that is likely to be affected by the information in CAR 9.19.(b):
  3. Any aircraft operating VFR for which the pilot has submitted a VFR plan:
  4. Any aircraft operating VFR if the pilot makes a specific request to an AFIS unit for flight information.
- (b) The holder shall ensure that the procedures required by CAR 9.19.(a) for the provision of flight information services include the provision of available and relevant ;
1. SIGMET and AIRMET information;
  2. Information on weather conditions reported or forecast at departure, destination, and alternate aerodromes;
  3. Information concerning the release into the atmosphere of radioactive materials or toxic chemicals;
  4. Information on changes in the operational state of the radio navigation services and visual aids;
  5. Information on changes in the condition of aerodromes and associated facilities, including

information on the state of the aerodrome movement area when they are affected by contaminants;

6. Information on unmanned free balloons; and
7. Other information likely to affect safety.

(c) The holder of an AFIS Provider's certificate for an AFIS service shall establish procedures to ensure that, whenever water is present on a runway, a description of the runway surface conditions on the centre half of the width of the runway is made available using one of the following terms:

1. DAMP – the surface shows a change of colour due to moisture:
2. WET – the surface is soaked but there is no standing water:
3. WATER PATCHES – significant patches of standing water are visible:
4. FLOODED – extensive standing water is visible.

(d) The holder of an AFIS Provider's certificate for an AFIS service shall establish procedures to ensure that, if practical, local aircraft operators likely to be affected by the information are advised of short notice changes to published hours of service if they are unlikely to have the information from any other source.

**CAR 9.20 AERODROME FLIGHT INFORMATION SERVICE**

- (a) The holder of an AFIS Provider's certificate in respect of an AFIS service shall establish systems and procedures to ;
1. Determine, from information received, and visual observation, the relative position of known aircraft to each other;
  2. Provide for the issuance of information and advice, including the designation of a preferred runway, for the purpose of the safe and efficient operation of ;
    - i. aircraft flying in the vicinity of the aerodrome;
    - ii. aircraft operating on the manoeuvring area;
    - iii. aircraft landing and taking off;
    - iv. aircraft, vehicles and persons on the manoeuvring area.
- (b) The holder shall establish procedures to ensure that the designated preferred runway is that most suitable for the particular operation.

**CAR 9.21 ALERTING SERVICE**

- (a) The holder of an AFIS Provider's certificate shall establish systems and procedures to ensure the provision of an alerting service within its area of responsibility ;
1. In as far as is practicable, for all aircraft having filed a flight plan; or otherwise known by any air traffic service to be in need of assistance; or
  2. Known or believed to be the subject of unlawful interference.
- (b) The holder of an AFIS Provider's certificate shall establish procedures to ensure that, in the event of a state of emergency described in CAR 9.21.(c) ;
1. Immediate declaration of an INCERFA, ALERFA or DETRESFA is made, in accordance with 9.21.(e); and
  2. The declaration is notified to the RCC (via the UAE ACC) except where the emergency can be dealt with by an aerodrome emergency plan.
- (c) The holder of an AFIS Provider's certificate shall establish procedures to ensure that notification of emergency phases shall follow the following criteria:
1. Uncertainty phase, when:
    - i. no communication has been received from an aircraft within a period of thirty minutes after the time a communication should have been received, or from the time an unsuccessful attempt to establish communication with such aircraft was first made, whichever is the earlier, or
    - ii. an aircraft fails to arrive within thirty minutes of the estimated time of arrival last notified to or estimated by AFIS/air traffic services units, whichever is the later;
- (d) Except when no doubt exists as to the safety of the aircraft and its occupants.

1. Alert Phase, when:
  - i. following the uncertainty phase, subsequent attempts to establish communication with the aircraft or inquiries to other relevant sources have failed to reveal any news of the aircraft, or
  - ii. an aircraft reports on approach and fails to land within five minutes of the estimated time of landing and communication has not been re-established with the aircraft, or
  - iii. information has been received which indicates that the operating efficiency of the aircraft has been impaired, but not to the extent that a forced landing is likely;
- (e) Except when evidence exists that would allay apprehension as to the safety of the aircraft and its occupants, or
  - i. An aircraft is known or believed to be the subject of unlawful interference.
2. Distress phase, when:
  - i. following the alert phase, further unsuccessful attempts to establish communication with the aircraft and more widespread unsuccessful inquiries point to the probability that the aircraft is in distress, or
  - ii. the fuel on board is considered to be exhausted, or to be insufficient to enable the aircraft to reach safety, or
  - iii. information is received which indicates that the operating efficiency of the aircraft has been impaired to the extent that a forced landing is likely, or
  - iv. information is received or it is reasonably certain that the aircraft is about to make or has made a forced landing,
- (f) Except when there is reasonable certainty that the aircraft and its occupants are not threatened by grave and imminent danger and do not require immediate assistance.
- (g) Notwithstanding CAR 9.21.(b), the holder of an AFIS Provider's certificate for an aerodrome flight information service, shall establish procedures to ensure that, whenever the urgency of the situation so requires, those services shall first notify appropriate local emergency organisations.
- (h) The holder of an AFIS Provider's certificate shall establish procedures to ensure the notification of an emergency situation required by CAR 9.21.(c). includes such of the following information as is available, in the order listed:
  1. INCERFA, ALERFA or DESTRESFA as appropriate to the phase of the emergency;
  2. Agency and person calling;
  3. Nature of the emergency;
  4. Significant information from the flight plan;
  5. Unit that made last contact, time and means used;
  6. Last position report and how determined;
  7. Colour and distinctive marks of the aircraft;
  8. Dangerous goods carried as cargo;
  9. Any action taken by the reporting office; and

10. Any other pertinent remarks.

- (i) Any information not available on the initial notification shall be obtained and passed prior to the declaration of the distress phase.
- (j) The holder of an AFIS Provider's certificate shall establish procedures to ensure that, following the notification of an emergency situation, the RCC is provided, without delay, with ;
  - 1. Any useful additional information; and
  - 2. Notification when the emergency situation no longer exists; however only the RCC can terminate an ALERFA or DETRESFA phase.
- (k) The holder of an AFIS Provider's certificate shall establish 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.
- (l) The holder of an AFIS Provider's certificate shall establish 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. Surveillance data, if available, shall be retained for flights involved in a state of emergency. The positions of other aircraft in the vicinity should be established to determine those most suitable to provide assistance.
- (m) The holder of an AFIS Provider's certificate shall establish procedures to ensure that ;
  - 1. When an INCERFA or ALERFA phase is declared it shall, where practical, advise the aircraft operator prior to notifying the RCC;
  - 2. When a DETRESFA phase is declared, the RCC shall be notified immediately, then the aircraft operator; and
  - 3. All information notified to the RCC by the UAE ACC shall, where practical, also be communicated to the aircraft operator without delay.
- (n) The holder of an AFIS Provider's certificate shall establish procedures to ensure that, in the event of ELT signals being received or reported, and immediate checks fail to identify the source of the signal, the RCC is notified via UAE ACC without delay.
- (o) The holder of an AFIS Provider's certificate shall establish procedures to ensure that—
  - 1. When it has been established by an AFIS unit that an aircraft is in a state of emergency, other aircraft known to be in the vicinity and which may be affected by the situation of the aircraft involved, shall be informed of the nature of the emergency as soon as practicable, and
  - 2. When an AFIS unit knows or believes that an aircraft is being subjected to unlawful interference, no reference shall be made in AFIS air-ground communications to the nature of the emergency unless it has first been referred to in communications from the aircraft involved and it is certain that such reference will not aggravate the situation.
- (p) The holder of an AFIS Provider's certificate shall establish procedures to ensure that if an AFIS unit becomes aware of a situation or receives information relevant to a state of emergency of an aircraft outside its delegated airspace, it shall confirm that that the phase declaration has been made and not assume that another ATS or AFIS unit has declared the phase.

**CAR 9.22 FLIGHT PLANS**

- (a) The holder of an AFIS Provider's certificate shall establish procedures for the acceptance and processing of flight plans, when necessary for the provision of air traffic services including ;
1. A check for compliance with any prescribed flight plan format and data conventions;
  2. A check for completeness, and, to the extent practical, for accuracy; and
  3. Provision for any action necessary to make the plan acceptable to ATS.
- (b) Flight plans may be filed by radio if the AFIS Provider has the capacity to accept such plans.

**CAR 9.23 TIME**

- (a) The holder of an AFIS Provider's certificate shall establish a procedure to ensure that AFIS unit clocks and other time recording devices ;
1. Use Co-ordinated Universal Time and express that time in hours and minutes and, when required, seconds of the 24 hour day beginning at 0000 UTC; and
  2. Are correct to within 5 seconds of UTC, or, wherever data link communications are utilised 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.
- (b) The holder shall establish procedures to ensure that the correct time, to the nearest half minute, is provided ;
1. In respect of any AFIS service, to aircraft prior to taxiing for take-off unless arrangements have been made for the pilot to obtain it from other sources; and
  2. To any other aircraft on request.

**CAR 9.24 ALTIMETER SETTING PROCEDURES**

- (a) The holder of an AFIS Provider's certificate shall establish a procedure to ensure that ;
1. QNH altimeter settings are in hectopascals rounded down to the nearest whole hectopascal;
  2. The appropriate aerodrome QNH altimeter setting or area QNH zone altimeter setting is provided to all aircraft on initial radio contact, including aircraft that advise having received the current applicable ATIS broadcast, where provided, except where it is known that an aircraft has already received the information;
  3. AFIS units provide to an aircraft on request, the current applicable aerodrome QNH altimeter setting or area QNH zone altimeter setting; and
  4. Where local traffic requires the altimeter setting in inches, a standard conversion is applied.

**CAR 9.25 RADIO AND TELEPHONE PROCEDURES**

- (a) The holder of an AFIS Provider's certificate shall establish procedures to ensure that ;
1. The standard telephony and radiotelephony phraseology prescribed in CAR 9.25.(b) is used;



2. In all radiotelephony communications, discipline is observed by transmitting only those messages that do not have an adverse effect on the provision of an AFIS, or safety;
  3. Communications procedures are in accordance with the applicable communications procedures prescribed in Annex 10 Volume II, except that ;
    - i. procedures relating to callsigns for domestic use by UAE registered aircraft are those approved by the Authority;
    - ii. an AFIS service shall use the radiotelephony callsign suffix flight service; and
  4. The English language shall be used for all communications.
- (b) The holder shall establish procedures to ensure that, for the purposes of CAR 9.25.(a), the standard phraseology, and the circumstances in which it is used, is that published in :
1. CAAP 69; or
  2. Annex 10; or
  3. PANS-ATM; or
  4. Document 9432.
- (c) For the purposes of CAR 9.25.(b), where differences occur between the stated documents, the particular phraseology shall be selected according to the order of precedence of the documents as listed.
- (d) Ground vehicles shall use frequencies separate from those used for communication with aircraft; however a vehicle operating on a runway shall operate on the appropriate aircraft frequency.

#### **CAR 9.26 AIRCRAFT EMERGENCIES AND IRREGULAR OPERATIONS**

- (a) The holder of an AFIS Provider's certificate shall establish procedures to ensure maximum assistance and priority is given to an aircraft known, or believed to be, in a state of emergency.
- (b) The holder shall, where appropriate, establish procedures in accordance with PANS-ATM, to assist strayed aircraft, unidentified aircraft, and aircraft subject to military interception.
- (c) In communications between AFIS units and aircraft in the event of an emergency, Human Factors principles, as shown in ICAO Document 9683, should be observed.

#### **CAR 9.27 ACCIDENT, INCIDENT AND OCCURRENCE REPORTING**

- (a) The holder of an AFIS Provider's certificate shall establish procedures for ;
  1. The notification, investigation, and reporting of incidents in accordance with CAR Part VIII subpart 9 Appendix A.3; and
  2. The forwarding of facility malfunction reports required by CAR Part VIII, subpart 9 to the applicable Communication Navigation and Surveillance (CNS) service certificate holder.

(b) The holder of an AFIS Provider's certificate shall establish procedures regarding an accident, serious incident or occurrence to:

1. Determine if any air navigation facilities have contributed to the event;
2. Ensure immediate action is taken to ;
  - i. warn other aircraft that may be using or intending to use the facilities;
  - ii. advise the operator of the facility of the occurrence, and that the facility may be implicated;
  - iii. assist the operator of the facility with the prompt promulgation of any decision to withdraw the equipment from service; and
3. Ensure that any facility identified in CAR 9.27.(b).1 is not used in the provision of navigation to IFR aircraft until cleared for use by the relevant holder of a Communication Navigation and Surveillance (CNS) service certificate issued under CAR Part VIII, subpart 5.

#### **CAR 9.28      RECORDS**

(a) The holder of an AFIS Provider's certificate shall establish systems and procedures to identify, collect, store, secure, maintain, access, and dispose of, records necessary for ;

1. The operational provision of AFIS;
2. The purpose of assisting with any accident or incident investigation;

(b) Where applicable, the records shall include electronic recordings of ;

1. Telephone communications;
2. Radio broadcasts and communications;
3. Air - ground or ground - ground digital data exchanges displayed at unit, regardless of source;
4. Any other communication or surveillance system;
5. Any electronic means of providing situational awareness such as electronic flight strips.

*Note 1: The requirements in 9.28.(b).3 and .4 for recording of data may be met by LoA with the unit from which the data is received.*

(c) The records shall include ;

1. Filed flight plans including standard and repetitive plans;
2. Flight progress strips;
3. Appropriate meteorological and aeronautical information, except where the information is retained for an equivalent period by a meteorological or AIS organisation;
4. Staff duty rosters;
5. AFIS logs and position logs;
6. A record of each internal audit report, corrective action, preventive action and management review required by CAR 9.33.(a).6,4,5,&.7 respectively. The record shall detail the activities

- reviewed and any necessary follow-up corrective and preventive actions; and
7. Unit occurrence investigation records.
- (d) The holder shall establish systems and procedures to ensure that electronic records required by CAR 9.28.(b) ;
1. Include time recording, correct to 5 seconds of UTC, as determined by reference to a standard time station or GPS time standard; and
  2. Replicate the voice communications applying at the particular operating position.
- (e) The holder shall establish systems and procedures to ensure that all records, except where replication is required by CAR 9.28.(d).2, are of sufficient clarity to convey the required information.
- (f) The holder shall establish procedures to ensure that the records referred to in CARs 9.28.(b) and 9.28.(c) are retained for 31 days from the date of entry, except for ;
1. Staff duty rosters;
  2. Written records associated with the requirements of CARs 9.31.(a).1 and 9.31.(a).2;
  3. AFIS logs;
  4. 1), 2) and 3) shall be retained for not less than 3 years; and
  5. Unit occurrence investigation records, which shall be retained for a period of not less than 5 years.
- (g) Records shall be made available to the Authority, in a format acceptable to the Authority, when requested.

**CAR 9.29 LOGS AND POSITION LOGS**

- (a) The holder of an AFIS Provider's certificate shall establish procedures to ensure that a log is kept at each AFIS unit.
- (b) The log shall be used to record all significant occurrences and actions relating to operations, facilities, equipment and staff at an AFIS unit including, but not limited to, such matters as:
1. Incidents, accidents, non-compliance with Regulations regardless of whether an additional separate report is required;
  2. Aerodrome inspections, details of work in progress and other essential aerodrome information;
  3. Changes to the status of navigation facilities, services and procedures;
  4. Receipt of special aerodrome reports, SIGMET reports or other significant meteorological phenomena.
- (c) The procedure shall ensure that ;
1. The log is maintained by the senior person on duty, or the person on watch at a nominated operating position;
  2. The log is maintained throughout the hours of watch of the AFIS unit;

3. If a logbook is used, the pages are sequentially numbered, and all entries are: -
    - i. in chronological order, including the time of entry in UTC;
    - ii. are in ink; and without erasure, defacement, or obliteration;
    - iii. corrected by drawing a single line through the erroneous information and initialling the correction;
  4. When a Log is in an electronic format, measures shall be taken to ensure that all entries made in the log are traceable and protected. The electronic format shall not permit entries to be subsequently altered or tampered with in any way;
  5. Actual times of opening and closing watch are recorded in the log, together with the reason for every variation from published hours of service; and
  6. Reviewed by the Head of AFIS, or designee, daily to note all significant entries.
- (d) The holder shall establish procedures to ensure the keeping of an operating position log, when such information is not available in the logbook required by CAR 9.29.(a).
- (e) The procedure shall ensure that the operating position log contains sufficient information to identify ;
1. When that position was in operation;
  2. The services being provided from that position; and
  3. The identity of the individual providing the service.

### **CAR 9.30 SECURITY**

- (a) The holder of an AFIS Provider's certificate shall prepare an AFIS security programme.
- (b) Each AFIS security programme shall 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 AFIS unit operated by the holder where such destruction, damage or interference is likely to endanger the safety of aircraft. The security programme shall include the AFIS unit and associated communications and navigation facilities.
- (c) Without limiting the generality of CAR 9.30.(b), the security programme shall specify such physical security requirements, practices and procedures as may be necessary ;
1. To ensure that entrances to permanent AFIS facilities operated by the holder are subject to positive access control at all times, so as to prevent unauthorised entry;
  2. To monitor unattended permanent AFIS buildings to ensure that any intrusion or interference is detected;
  3. To protect personnel on duty; and
  4. To be followed in the event of a bomb threat or other threat of violence against an AFIS unit.

**CAR 9.31 SERVICE DISRUPTIONS**

- (a) The holder of an AFIS Provider's certificate shall establish procedures, in addition to any reporting requirements in CAR Part VIII, Subpart 9, Appendix A.3, to ;
  - 1. Record any planned disruption to the provision of AFIS that could have an impact on safety;
  - 2. Investigate any unplanned disruption to the provision of AFIS;
  - 3. Report to the Authority, when requested, the circumstances surrounding any unplanned disruption to air traffic services when the disruption affected, or could have affected, the safety of air traffic. The initial report shall be made within 48 hours of the event occurring.
- (b) Disruptions reportable under CAR 9.31.(a) shall include, but are not limited to, any ;
  - 1. Failure to open watch within 15 minutes of the promulgated opening time;
  - 2. Any interruption, of greater than 10 minutes, to the normal provision of an AFIS; and
  - 3. Curtailment of watch, by greater than 30 minutes, from the promulgated off watch time.

**CAR 9.32 SAFETY MANAGEMENT SYSTEM (SMS)**

- (a) The holder of an AFIS Provider's certificate shall establish a safety management system acceptable to the GCAA that, as a minimum, complies with CAR Part X.
- (b) A safety management system shall clearly define lines of safety accountability throughout the AFIS organisation, including a direct responsibility for safety on the part of senior management.
- (c) For compliance requirements refer to CAR Part X, Safety Management Systems (SMS) Regulations.
- (d) An AFIS Provider shall ensure that any significant change to the AFIS system, including but not limited to proposed amendments to operational equipment or procedures, 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.
- (e) User consultation shall form part of the safety assessment.
- (f) The safety assessment shall be presented to, and accepted by, the Authority prior to implementation of the change.
- (g) An AFIS unit shall define appropriate target levels of safety for the following occurrences, in which an AFIS staff member's action were a contributory factor to the incident.
  - 1. Accidents
  - 2. AIRPROX
  - 3. Runway Incursion Category A & B
  - 4. Runway Incursion Category C & D
- (h) An AFIS unit shall also establish target levels of safety for outages, during AFIS hours of service, of:
  - 1. Navigation aids,
  - 2. Power supplies, and

3. Communication equipment.

- (i) 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.
- (j) The defined levels of safety shall be expressed in the two following terms:
  - 1. Safety Performance Indicators,
  - 2. Safety Performance Targets.
- (k) The achieved levels of safety for a given year shall be sent to the Authority by 31 January of the following year.
- (l) Targets shall be supported by an action plan.
- (m) AFIS units shall forward the Safety Performance Targets for each of the occurrence classifications in CAR 9.32.(g) to Air Navigation and Aerodromes for acceptance.
- (n) AFIS Units shall conduct an analysis of Achieved Levels of Safety at the end of each calendar year. The analysis shall include a reassessment of current defined Safety Performance Targets and any required amendments to maintain or improve safety levels. The annual Achieved Safety Assessment analysis report, together with an action plan if required, shall be forwarded to the Authority before the 31 January of each year.

**CAR 9.33      QUALITY MANAGEMENT SYSTEM (QMS)**

- (a) The holder of an AFIS Provider's certificate shall establish an internal quality management system (QMS) to ensure compliance with, and the adequacy of, the procedures required by these Regulations and the relevant chapter under which certification has been granted.
- (b) The QMS shall include ;
  - 1. A quality assurance/management policy and procedures that are relevant to the holder's organisational goals and the expectations and needs of its customers;
  - 2. Procedures to ensure that aeronautical data at any moment is traceable to its origin so as to allow any data anomalies or errors, detected during production/maintenance phases or in operational use, to be corrected;
  - 3. Procedures to ensure quality indicators relevant to the service being provided, including but not limited to, samples of radio and telephone records, defect and incident reports, and personnel and customer feedback, are monitored to identify existing problems or potential causes of problems within the system;
  - 4. A procedure for corrective action to ensure existing problems that have been identified within the system are corrected;
  - 5. A procedure for preventive action to ensure that potential causes of problems that have been identified within the system are remedied;
  - 6. An internal quality audit programme to audit the holder's organisation for conformity with its

quality management system; and

7. Management review procedures to ensure the continuing suitability and effectiveness of the internal quality management system in satisfying the requirements of this Part.

#### **CAR 9.34 DUTY HOURS AND STAFFING**

- (a) The duty hours for AFISOs and trainees shall be limited to ensure, so far as is reasonably possible, that fatigue does not impair operational safety.
- (b) Recommended duty hour limitations are contained in the Acceptable Means of Compliance (AMC) section of this Regulation.
- (c) An AFISO duty hour log shall be maintained at each AFIS unit. AFISOs are responsible for ensuring that the entries made in the duty hour log are complete and accurate.
- (d) Unit management shall have a process in place to ensure that entries made in the duty log are complete and accurate.
- (e) Each log shall include unit and operational position identifiers. AFISOs shall enter the following information into the log during handover procedures:
  1. Name;
  2. The date - time handover accepted from previous AFISO; and
  3. The date - time handover completed handover to on-coming AFISO.
- (f) Unit management shall have a process in place to oversight the AFISO duty hours so that, in the event that an AFISO will or has worked outside the duty hour restrictions, the AFISO shall not be permitted to continue operational duties until the duty hours requirements can be met and if necessary the AFISO has been counselled on the issue.
- (g) The AFIS Provider shall maintain an adequate staff of AFISOs to provide the AFIS services certificated by the Authority and during the period(s) promulgated in the AIP.
- (h) The AFIS Provider shall satisfy the Authority that the unit maintains sufficient qualified AFISO to provide safe AFIS services. Consideration will be given to the regularity of the AFIS service in determining whether a service is safe.
- (i) The proposed duty hours shall be agreed on by the Authority.
- (j) The AFIS Provider shall ensure that adequate staff resources are provided to ensure that such operational staff are provided with suitable breaks during work shifts.

#### **CAR 9.35 ORGANISATION EXPOSITION**

- (a) The applicant for, or holder of, an AFIS Provider's certificate shall provide the Authority with an exposition containing ;
  1. A statement signed by the Accountable Manager on behalf of the applicant or holder's organisation confirming that the exposition and any included manuals ;

- i. Define the organisation and demonstrate its means and methods for ensuring ongoing compliance with this and any other applicable Part;
  - ii. Are required to be complied with by its personnel at all times;
- 2. A statement signed by the Accountable Manager on behalf of the applicant or holder's organisation confirming that:
  - i. the organisation has sufficient financial strength to provide the services contained within the organisation's exposition;
  - ii. the organisation has sufficient liability and insurance cover to meet any claims that could be made relating to the services contained within the organisation's exposition;
- 3. The title and name of the person required by CAR 9.7.(a).1, and the titles of the persons required by CARs 9.7.(a).2 to 9.7.(a).5 inclusive.

*Note: The names of those post holders required by CARs 9.7.(a).2 to 9.7.(a).5 inclusive are not required to be included in the exposition as these will be listed through the GCAA E-Service (Part III of the AFIS certificate);*

- 4. The duties and responsibilities of the person or persons specified in CAR 9.35.(a).3 , including matters for which they have responsibility to deal directly with the Authority on behalf of the organisation;
- 5. An organisation chart showing lines of responsibility of the persons specified in CAR 9.35.(a).3., and extending to each location listed under CAR 9.35.a. 6.i and ii;
- 6. In the case of an organisation providing air traffic services from more than one AFIS unit, a table listing ;
  - i. locations of AFIS units;
  - ii. the aerodrome being serviced;
  - iii. the services provided;
- 7. Details of the applicant or holder's staffing structure for each AFIS unit;
- 8. A document matrix detailing where the requirements of CARs 9.7 to 9.34 are contained within the organisations operational manuals; and
- 9. Procedures to control, amend and distribute the exposition.

(b) The applicant or holder's exposition must be acceptable to the Authority.

### **CAR 9.36 AFIS OPERATIONS MANUAL**

- (a) The holder of an AFIS Provider's certificate shall provide an AFIS operations manual containing the following:
  - 1. The procedures required by CAR 9.7.(d) regarding the competency, qualifications, maintenance of current operating practice, and medical fitness of personnel;
  - 2. The procedures required by CAR 9.8 regarding the training and assessment of AFIS personnel, and regarding the qualifications of AFIS training examination personnel;
  - 3. The procedures regarding shift administration required by CAR 9.9;



4. A description of the display systems to be used in meeting the requirements of CARs 9.10.(c).5.i;
5. The information required by CAR 9.11 regarding hours of service, the establishment of an air traffic service, and any transitional arrangements;
6. The procedures required by CAR 9.12;
7. The contingency plan required by CAR 9.13;
8. The procedures required by CAR 9.14 regarding coordination requirements;
9. The procedures required by CAR 9.15 regarding the notification of facility status;
10. The procedures required by CAR 9.16 regarding the receipt of information requirements;
11. The procedures required by CAR 9.17 regarding meteorological information and reporting;
12. Where applicable, the procedures required by CAR 9.18 regarding the application of priorities;
13. The procedures required by CAR 9.19 regarding the provision of flight information service;
14. Where applicable, the procedures required by CAR 9.20 regarding the provision of aerodrome flight information service;
15. The procedures required by CAR 9.21 regarding the provision of alerting service;
16. The procedures required by CAR 9.22 regarding the processing of flight plans;
17. The procedures required by CAR 9.23 regarding time;
18. The procedures required by CAR 9.24 regarding altimeter setting;
19. The procedures required by CAR 9.25 regarding radio and telephone procedures;
20. The procedures required by CAR 9.26 regarding aircraft emergencies and irregular operations;
21. The procedures required by CAR 9.27 regarding actions following an air safety incident or accident;
22. The procedures required by CAR 9.28 regarding the gathering and management of records;
23. The procedures required by CAR 9.29 regarding the keeping of logbooks and position logs;
24. Details of the programme required by CAR 9.30 regarding security arrangements;
25. The procedures required by CAR 9.31 regarding disruption to service;
26. The procedures and programmes required by CAR 9.32 regarding the safety management system;
27. The procedures and programmes required by CAR 9.33 regarding quality management; and
28. The procedures required by CAR P.34 regarding duty hours and staffing.

(b) The holder's manual must be acceptable to the Authority.

(c) The manual shall be available to all AFIS staff requiring access to it and the contents.

#### **CAR 9.37      CHANGES TO CERTIFICATE HOLDER'S ORGANISATION**

(a) The holder of an AFIS Provider's certificate shall ensure that the holder's exposition is amended so as to remain a current description of the holder's organisation and services.

- (b) The holder of an AFIS Provider's certificate shall ensure that any amendment to the holder's exposition;
  - 1. Meets the applicable requirements of this subpart; and
  - 2. Complies with the amendment procedures contained in the holder's exposition.
- (c) The holder of an AFIS Provider's certificate shall provide the Authority with a copy of each amendment to the holder's exposition via the Q-Pulse document management process prior to its incorporation into the exposition,
- (d) If the holder of an AFIS Provider's certificate proposes to make any change to any of the following, prior notification through the E-services ATS Section on the GCAA website, and acceptance by the Authority, is required ;
  - 1. The Accountable Manager; or
  - 2. The person/s listed in CAR 9.35.(a).3
- (e) The Authority may specify conditions under which the holder of an AFIS Provider's certificate may operate during or following any of the changes specified in CAR 9.35.(d), and the holder shall comply with any conditions specified.
- (f) If any of the changes referred to in this rule require an amendment to the certificate, the holder of the AFIS Provider's certificate shall forward the certificate to the Authority as soon as practicable.
- (g) The holder of an AFIS Provider's certificate shall make amendments to the holder's exposition as the Authority considers necessary in the interests of aviation safety.

**CAR 9.38 WITHDRAWAL OR TRANSFER OF SERVICE**

- (a) The holder of an AFIS Provider's certificate who wishes to permanently withdraw or significantly reduce the hours of operation of an AFIS shall give the Authority at least 90 days' notice of the proposal and include in that notice a summary of factors considered in arriving at the decision to withdraw the service.
- (b) The holder of an AFIS Provider's certificate who is the outgoing provider of an AFIS shall not hinder the preparation and execution of the transitional arrangements required by CAR 9.11.(b).

**CAR 9.39 TRANSITION**

- (a) Notwithstanding the requirements of CAR 9.3.(a) of this Subpart, an organisation providing an Aerodrome Flight Information service at the date this Rule Subpart comes into force, may continue to provide the same service until 31 October 2015, by which time either a Certificate is issued as required by this Subpart, or an AFIS Certification implementation plan is submitted to, and accepted by, the GCAA.
- (b) The organisation shall adhere to the accepted AFIS Certification implementation plan and agreed progress target dates which lead to successful issue of AFIS Certification.

## **APPENDIX 1: AFISO SELECTION AND CERTIFICATION**

### **A.1.1 APPLICATION**

The Civil Aviation Law, as supplemented by Law Number Four of 1996, empowers the General Civil Aviation Authority (GCAA) to implement the Chicago Convention, and this chapter is the Authority's implementation of Article 26 of the Civil Aviation Law which relate to the Certification of AFISOs. The AFIS Provider is responsible for the Certification of AFISO through the processes contained in this Appendix.

### **A.1.2 AFISO CERTIFICATES**

- (a) A person who wishes to act as an AFISO in the United Arab Emirates shall be required to hold a valid AFISO Certificate, including a current validity for the aerodrome at which the service will be provided, issued by the Head of AFIS for the AFIS Provider
- (b) To be granted an AFISO Certificate, the applicant shall satisfy the appropriate requirements for age, linguistic ability, physical and mental fitness and, unless holding an acceptable exempting qualification, meet the appropriate requirements for knowledge, experience, competence, and skill, as detailed in this appendix.
- (c) An applicant for initial issue of an AFISO Certificate shall meet the following requirements:
  - 1. Be not less than 18 years of age on application date;
  - 2. Demonstrate to the satisfaction of the Head of AFIS the ability to speak and understand the English language, used for radiotelephony communications, without accent or impediment which would adversely affect radio communications;
  - 3. Meet the certificate validity requirements as detailed in Appendix 1.5;
  - 4. Be assessed as being competent (as defined in Appendix 2.6), to provide an AFIS service at the aerodrome; and
  - 5. Hold a current Medical Certificate issued by a company designated Occupational Health Medical Practitioner (OHMP) meeting the requirements of the AFIS Service Provider and in accordance with the requirements of Appendix 2.10.
- (d) The AFIS provider shall require the following evidence for the issue of an AFIS Certificate:
  - 1. Confirmation that the applicant has successfully completed the TCM; or
  - 2. Confirmation that the applicant has met the validation requirements in A1.5.b.1; and
  - 3. A valid Certificate of Competence (CoC).
- (e) The AFIS Provider shall retain certificates for the period of operational employment plus 5 years.

### **A.1.3 PRIVILEGES AND LIMITATIONS OF AN AFISO TRAINEE CERTIFICATE.**

- (a) An AFISO trainee certificate authorises the holder to perform AFIS duties, while under the direct supervision of the holder of a current AFISO Certificate with an Instructor endorsement and a valid CoC, for the purpose of obtaining practical experience in AFIS duties to develop sufficient knowledge and skills to attain a level of readiness for a competency assessment to:
  - 1. qualify for the issue of an AFIS certificate, or validation; or

2. regain currency of an AFIS certificate, or validation.

#### **A.1.4 ELIGIBILITY REQUIREMENTS**

- (a) To be eligible for an AFISO trainee certificate a person shall—
  1. be not less than 17 years of age;
  2. have satisfactorily completed a training course meeting the requirements of A.1.6.a.
- (b) Exempting Qualifications

The holder of an ICAO Air Traffic Controller's licence who has, within the last five years immediately preceding the date of employment, held a valid aerodrome control rating is exempted from the requirements of A.1.4.(a).2 for the issue of an Aerodrome FISO Certificate.

The holder of an UAE AFISO Certificate who has, within the last five years immediately preceding the date of employment, held a valid AFISO certificate is exempted from the requirements of A.1.4.(a).2 for the issue of an Aerodrome FISO Certificate.

#### **A.1.5 VALIDATION OF AN AFISO CERTIFICATE**

- (a) Requirement

Before the trainee may be granted an AFISO Certificate, the trainee shall undergo a minimum period of on the job validation training at the aerodrome for which the AFISO seeks an AFISO Certificate
- (b) Validation Training
  1. A minimum of 40 hours of service provision under the supervision of an AFIS Instructor holding a valid CoC shall be completed before the trainee can undertake the validity examination at an aerodrome.
  2. A maximum of four hours training per day can be counted towards the minimum training requirement, unless agreed otherwise by the Authority and identified in a FISO training plan.
  3. Training Hours are defined as the total hours during a shift that provided operationally valuable training. AFIS Instructors shall determine the operational value of the training to ensure compliance with the hour requirements of A1.5.(b).1
  4. If the AFISO trainee holds, or has held, validity at another Aerodrome FIS unit then, in consultation with the Authority, the minimum validation training period may be reduced.

#### **A.1.6 REQUIRED KNOWLEDGE, SKILLS AND EXPERIENCE**

- (a) The knowledge required to be demonstrated by an AFISO or trainee shall be at an appropriate standard for a holder of an AFISO Certificate, and include at least the following subjects:
  1. Air Law;
  2. Air Traffic Service Equipment;
  3. General Aviation Knowledge;
  4. SMS and Human Factors;
  5. Radiotelephony
  6. Emergency situations;
  7. English Language Proficiency;

8. Meteorology;
9. Navigation;
10. Aerodrome operations;
11. Alerting Service Procedures and
12. Flight Information Service Procedures.

(b) The experience required shall include:

1. Experience gained while operating under the supervision of an AFISO Instructor, before a Certificate is issued; or
2. Experience gained while training in accordance with an approved AFIS unit training and competence manual (TCM); or
3. Experience previously gained by AFISOs from other States holding ATC licences or AFISO Certificates accepted by the Authority as detailed in Appendix A.1.4.(b).

(c) The skill and competence required shall be demonstrated by:

1. Successful completion of an approved AFIS training course; and
2. Being assessed as competent (as defined in Appendix 2.6), to provide an AFIS service at a particular aerodrome flight information services unit (AFISU).

(d) The English language proficiency requirements of the AFIS unit shall be met.

(e) The physical and mental fitness requirements shall be met by the issuance of a Medical Certificate meeting the requirements of the AFIS Service Provider.

(f) The Head of AFIS is responsible for the issue of AFISO Certificates.

The Head of AFIS may issue a AFISO certificate subject to such conditions as deemed appropriate to a person to act as an AFISO, upon being satisfied that the applicant is a fit person to hold the AFISO certificate and is qualified by reasons of knowledge, experience, competence, skills, physical and mental fitness, and attitude to so act.

#### **A.1.7 CERTIFICATE MAINTENANCE AND RETURN**

(a) An AFISO Certificate remains current provided that the holder :

1. Continues to be employed as an operational AFISO by the same AFIS unit;
2. Holds a valid CoC for the relevant AFIS position;
3. Holds a valid Medical Certificate;
4. Advises the AFIS Provider of any conditions or limitations applicable to his AFISO Certificate or Medical Certificate; and

(b) Non-operational AFISOs holding a valid AFISO Certificate are not required to hold a valid CoC nor a valid Medical Certificate.

(c) A holder of a valid AFISO Certificate shall not be entitled to exercise the privileges of that certificate unless he holds a current CoC specific to the operating position at which the AFIS service is to be provided.

(d) For the AFISO Certificate to remain current the holder shall advise the AFIS Provider of any conditions or limitations applicable to his AFISO Certificate including any conditions or limitations to his Medical Certificate which may affect the AFISO's ability to perform his AFIS duties safely and efficiently.

- (e) AFISOs are responsible, as AFISO Certificate holders, for ensuring compliance with the requirements stated in Appendix A.1.7(d).

To remain current the AFISO shall perform a minimum of 2 operational duty shifts, during the previous 60 days on the AFIS position appropriate to the CoC. The AFISO shall perform these duty shifts as the officer responsible for the position, not being under training supervision or providing training as an instructor or assessment as an examiner.

The minimum duty rule above and the associated remedial measures stipulated in Appendices 1.7(f) and 1.7(g) represent the minimum direct exposure to handling of air traffic necessary to maintain adequate currency. AFIS Provider management has the option to institute higher minimum duty requirements.

*Note: The rules formulated to strike a balance between the need for frequent practice and ease of administration and application do not relieve the AFISO from duty of care with respect to personal performance.*

- (f) For AFISOs failing to satisfy the requirement stipulated in Appendix 1.7(e), competence may be ascertained by the following methods;
  1. A currency Check of not less than 2 hours under traffic conditions permitting an evaluation of performance, carried out by an AFISO holding a current Instructor endorsement, restricted to only once in a 12 month period taken from the last CoC assessment; or
  2. By a CoC assessment conducted by an endorsed examiner, including written, practical and oral assessment components.
- (g) A currency Check, as required in Appendix 1.7(f).1 shall cease to be valid unless consolidated by a minimum of 12 hours total operational duty in the relevant AFIS position during the 15 calendar days subsequent to the check.
- (h) The Head of AFIS shall determine the amount of training required for cases not covered by Appendices 1.7(f), 1.7(g), or where doubt exist as to the proficiency status of the AFISO concerned.
- (i) The validity of a CoC shall lapse after an AFISO fails to exercise the operational privileges of an AFIS certificate for a period greater than 120 days, or after failing to satisfy the means of compliance in Appendices 1.7(f) and 1.7(g).

AFISOs failing to meet the requirements detailed above shall inform the AFIS Provider that his competence has lapsed.
- (j) AFISO Certificates shall be issued and signed by the Head of AFIS. Endorsements shall be issued and signed by the Head of AFIS. CoCs shall be issued and signed by the AFIS Examiner
- (k) AFISO Certificates, Certificates of Competence and Medical Certificates shall be signed by the holder and filed at the AFIS unit and retained for 5 years beyond the time when employment ceases.
- (l) The AFIS Provider shall retain AFISO Certificates and Medical Certificates and have a process in place to monitor the renewal and currency requirements for each Certificate and Medical Certificate.
- (m) An AFISO Certificate, CoC and Endorsement Records shall have an end of validity date indicated on them when the holder leaves the unit or ceases operational duties permanently.

Upon request from the certificate holder the Head of AFIS may, after retaining a copy of the cancelled AFISO Certificate in the unit records, return the cancelled AFISO certificate to the holder.

## **APPENDIX 2: AFISO TRAINING, COMPETENCY AND EXAMINATION**

### **A.2.1 UNIT TRAINING AND COMPETENCE MANUAL (TCM)**

- (a) AFIS Units shall develop Unit Training and Competence Manuals (TCM) that will satisfy the Certification requirements, for all AFIS training conducted within the unit.

AFIS Providers shall submit their draft TCM, or proposed changes to the TCM, for each AFIS Unit to the Authority for acceptance.

A TCM shall adhere to Minimum Validation Training Requirements as described in Appendix A.1.5. or as determined by the Authority on a case by case basis

A TCM shall include the target training times and assessment schemes for examinations towards issue of an AFISO Certificate or Certificates of Competence examinations. A TCM shall indicate the amount of training, if any, that will be conducted on a simulator. Training Courses may include elements of simulator training to evaluate the trainee's ability to handle traffic.

A TCM shall include the following:

1. A description of the duties and qualification of the personnel designated as responsible for planning, performing and supervising the training;
2. Detailed descriptions of the courses to be conducted at the AFIS unit;
3. Detailed descriptions of the competency assessment procedures; and
4. A description of the method used for the completion and retention of training records.

### **A.2.2 TRAINING RECORDS**

- (a) Detailed training records shall be retained by the AFIS unit to show that all TCM and AFISO certificate requirements have been met.

AFIS unit shall maintain a system for recording the qualifications, training and assessment of instructional and examining staff.

Training records shall be retained by the AFIS unit for a minimum of five years after the AFISO, Instructor or Examiner ceases employment at an AFIS unit.

- (b) Training Records shall be signed by the trainee and the Instructor.

### **A.2.3 AFIS EXAMINERS**

- (a) Examiners shall be appointed by the Head of AFIS after successful completion of appropriate training.
- (b) Examinations for the issue of AFISO Certificates or Certificates of Competence (CoC) shall be carried out by a holder of an AFISO Certificate with a valid CoC and Examiner endorsement, issued by the Head of AFIS.
- (c) Examinations for the renewal of Certificates of Competence, including re-issues following suspensions or lapses of validations of less than 12 months, shall be carried out by a holder of a UAE AFISO Certificate with a valid CoC and Examiner endorsement.

- (d) Examiners shall only conduct examinations for operational positions for which they currently hold, and have held for a period of one year, a valid CoC. In extenuating circumstances, an AFISO Instructor with a valid CoC for the position for which the Examiner does not hold a CoC, or has not held a CoC for a period of one year, shall be responsible during the examination for the operation and safety of the position. In this case, the CoC shall be signed by both the Examiner and the AFISO Instructor.
- (e) The Examiner conducting the CoC assessment shall verify competency of the AFISO by signing the CoC Certificate.
- (f) Examiners shall conduct a minimum of one CoC examination every twelve months. Examiners who do not meet this requirement shall be required to conduct one CoC examination under the supervision of an Examiner before conducting further examinations.
- (g) AFIS Providers shall ensure they have an adequate number of Examiners to permit coverage for vacation and sick leave.
- (h) AFIS Providers shall monitor the performance of AFIS Examiners and ensure that AFIS Examiners continue to meet the assessment requirements and unit standards.
- (i) An examiner who is responsible for the conduct of a CoC examination shall ensure:
  - 1. That the candidate is fully briefed on:
    - i. the schedule for the examination and its constituent parts;
    - ii. the persons involved and their roles in the examination;
    - iii. the right to appeal in respect of the conduct of the examination.
  - 2. That, during the theoretical element of the examination, the written and oral questions conform to the guidance in Appendix A.2.6(i) and 2.6(o);
  - 3. That the candidate is fully debriefed following the examination with, if appropriate, the reasons for failure; and
  - 4. That the necessary documentation is completed.

#### **A.2.4 INSTRUCTORS**

- (a) AFISO Instructors shall be appointed by the Head of AFIS after successful completion of appropriate training.
- (b) Operational training of AFISO, for issue of an AFIS certificate and CoC shall only be conducted by a holder of a current AFISO certificate with a current CoC and an Instructor endorsement meeting the requirements of Appendix 2.8(c).2. and Appendix 2.8(f).
- (c) The Head of AFIS or the Head of AFIS Training shall be responsible for:
  - 1. The effective management of the OJT scheme including the allocation of Instructor to trainees and ensuring that individual training records are maintained; and
  - 2. Monitoring the instructional performance of Instructors at the unit for continued competent performance.
- (d) The Instructor supervising a trainee providing an AFIS service shall be responsible to closely monitor the trainee and shall take over if:
  - 1. any safety hazard becomes apparent, or
  - 2. the Instructor considers an action by the trainee may lead to an unsafe situation.



- (e) Head of AFIS shall monitor and ensure AFIS Instructors continue to meet training requirements and unit standards.
- (f) On transfer to another AFIS unit, an Instructor endorsement shall become invalid.

#### **A.2.5 CONTINUATION TRAINING REQUIREMENTS**

- (a) Continuation training (CT) shall comprise of emergency continuation training (ECT) and operationally significant items based on the particular unit or organisation. These may include, but are not limited to: new procedures, airspace changes, pending equipment introduction, and reviewing local and overseas incident and accident reports as a basis for evaluating both the organisation's procedures and individual practices in similar situations.

Simulation exercises, videos and question and answer sessions are acceptable types of continuation training.

CT may be unit or organisation specific.

CT shall be carried out annually and shall be recorded in the staff member's training record.

An AFISO shall be required to successfully complete an approved course of ECT, at least once every 24 months.

- (b) ECT refers to those courses of training described and detailed in the TCM or approved by the Authority in the handling of aircraft subject to emergencies.

Such courses shall be comprehensive in covering all aspects of the handling of aircraft subject to emergencies, relevant to the rating/s held by the AFISO.

ECT courses at AFIS units not described and detailed in the TCM shall be submitted to the Authority for approval.

AFIS Units should consult with aerodrome and aircraft operators, as often as possible, to determine specific requirements that may impact on the handling of aircraft subject to emergencies. These requirements shall be incorporated into ECT course content.

A holder of an AFISO Certificate shall not be entitled to exercise the privileges of the Certificate unless the holder has demonstrated competence in the handling of aircraft subject to emergencies.

- (c) ECT courses shall include the following:
  1. Sufficient instruction with regard to aircraft types, structures and systems to enable AFISO to understand information provided by pilots which may have a bearing on the handling of emergencies;
  2. A comprehensive range of emergency situations for the aircraft types and phases of flight handled by the unit;
  3. Unexpected occurrences, and AFIS errors, requiring the passing of traffic information, to assist in preventing collision;
  4. Failures of AFIS equipment;
  5. Interaction with emergency services; and
  6. Human Factors principles and Threat and Error Management, in relation to communication between AFIS units and aircraft subject to emergencies.

ECT shall be related to the type of service provided by the unit and AFISO.

#### **A.2.6 COMPETENCE OF AFISO**

(a) AFIS Providers shall ensure that the AFIS service being provided at a unit is being conducted in accordance with the requirements of CAR Part VIII, Subpart 9 and maintained at a satisfactory level by issuing and renewing Certificates of Competence (CoC) in accordance with the instructions in this section.

(b) An AFISO CoC shall be issued by an AFIS Examiner and recorded on an appropriate CoC form.

A CoC certifies that the holder has successfully completed:

1. Written, practical and oral examinations relevant to the operational position;
2. An approved course of Emergency Continuation Training within the previous 24 months.

(c) A current CoC shall:

1. Only be issued to an AFISO who has demonstrated satisfactory competence in accordance with the requirements of this section;
2. Be valid for 24 months after the end of the calendar month during which the certificate is issued subject to the AFISO maintaining the currency requirements of this section;
3. Act as a provisional AFISO certificate for a period of 90 days from the date of issue. *Note 1*

**Note 1:** *This is to allow time for the issue of the holder's AFISO Certificate*

(d) A CoC shall be signed by the examiner who conducted the CoC examination, and by the AFISO who was assessed.

(e) Examinations for the issue, renewal, or reinstatement of a CoC following suspension, shall be conducted by an AFISO with a valid Examiner endorsement.

(f) Before a CoC is issued or renewed, an AFISO shall demonstrate satisfactory competence in the following areas by completing a CoC examination.

1. Satisfactory knowledge in the following subjects:
  - i. air law,
  - ii. air traffic service equipment,
  - iii. general aviation knowledge,
  - iv. SMS/human performance factors and threat error management relevant to AFIS including handling of an aircraft in an emergency, Alerting Services and Search and Rescue (SAR),
  - v. English language proficiency including standard ICAO phraseology,
  - vi. meteorology,
  - vii. navigation,
  - viii. Civil Aviation Regulations (CAR) relevant to AFIS,
  - ix. ICAO Standards and Recommended Practices relevant to AFIS, and
  - x. local AFIS Operating Manual and AFIS unit operational procedures.

2. Satisfactorily demonstrate compliance with the following areas:
    - i. the use of CAAP 69 and ICAO standardised phraseology in all situations for which it has been specified. Only when standardised phraseology cannot serve an intended transmission, shall plain English language be used;
    - ii. correctly adhering to relevant Civil Aviation Regulations and ICAO Standards and Recommended Practices.
  3. Correctly complying with AFIS Operating Manual and AFIS Unit operational procedures.
- (g) Prior to conducting an examination for the issue or renewal of a CoC, the examiner shall require evidence that the AFISO has completed an approved ECT course within the previous 24 month period.
- (h) Before a candidate is examined for the initial issue of CoC, the AFIS Provider shall ensure that the candidate completed a TCM. This requirement does not apply to CoC renewals.

A CoC examination shall consist of:

1. A written examination paper to be completed within the same duty cycle as the practical examination, preferably on the same day;
  2. A practical examination at the AFISO operational position; and
  3. An oral examination to be conducted after the successful completion and review of the written and practical examinations.
- (i) The written examination shall normally last between 45 and 60 minutes and can be administered on a computer. It shall consist of:
1. Questions from:
    - i. local AFIS instructions;
    - ii. other relevant operational documentation;
    - iii. relevant parts of CAR Part VIII, Subpart 9;
    - iv. relevant parts of ICAO Annex 2, Annex 11 and PANS-ATM Doc 4444;
    - v. relevant parts of AIP, NOTAMs and AICs;
    - vi. relevant aerodrome documents.
  2. Questions relating to the operational aspects of equipment used at the relevant operational position; and
  3. Scenario type questions relating to the handling of aircraft in emergencies.
- (j) The duration of the practical examination shall depend on the traffic situation at the time and shall not be less than one hour. A representative level of traffic intensity and complexity for that unit must be observed during the examination. Where the traffic requirements are not met the examination shall be rescheduled.
- (k) The examiner may also require the candidate to demonstrate the handling of a simulated emergency, a communications exercise, or a simulated practice call out of the Airport Rescue and Fire Fighting Service.
- (l) During the practical examination, the examiner should sit adjacent to the AFISO to observe any data display being used and to monitor the radio transmission frequency (RTF) and telephones.

If there are overriding operational reasons, the examiner may assess an AFISO from a remote position. It is important in these circumstances that the AFISO is advised of the situation.

- (m) Following a practical examination, the examiner shall de-brief the AFISO and apprise him of his performance.
- (n) In circumstances where the traffic requirements cannot be met, it may not be possible to complete a renewal prior to the expiry date of a CoC. In such circumstances, the Head of AFIS may, at his discretion, grant an extension to the current CoC, to allow the AFISO to continue to exercise the privileges of his certificate until a further practical examination can be conducted.
- (o) The oral examination shall follow the successful completion of the written and practical examinations and normally last about 30 minutes. It shall consist of:
  - 1. Topics not covered during the written and practical examinations; and
  - 2. Areas identified in the written and/or practical examination where the candidate's knowledge is seen to be deficient or a wider understanding needs to be confirmed.
- (p) The written and oral examination pass mark for trainees and AFISOs shall be seventy per cent (70%).

The written and oral examination pass mark for Instructors and Examiners shall be eighty five per cent (85%). Certificate holders with these endorsements achieving 70 to 84% may retain their CoC, but shall have the appropriate endorsements revoked.

The written and oral examination pass mark for retaken examinations shall be eighty five per cent (85%).

The pass mark for the practical examination (or a retake) shall be "Pass", to indicate that the examiner deems the candidate to be competent.

The written and oral examinations shall be conducted under supervision without reference to any document, maps, charts or any other material except where specified by the examiner.

- (q) A candidate failing a practical examination for the issue of a CoC shall be required to successfully complete an additional period of training before being permitted to retake the CoC examination. In such a case, the Head of AFIS shall determine the minimum additional training required.
- (r) If the examiner is not satisfied that the AFISO is competent, he will immediately inform the AFISO concerned and the Head of AFIS. Notwithstanding that a previous CoC has not expired, the AFISO shall not be permitted to exercise the privileges of the AFISO Certificate.
- (s) Records of AFISO certificates, CoCs, examinations and tests shall be maintained in a file for each AFISO at the appropriate AFIS unit. Such records shall be retained for a period of 5 years after the AFISO has ceased employment with the AFIS Provider.

Training records shall be provided to the Authority when so requested.

- (t) A CoC shall automatically expire at 2359 local time on the last day of the calendar month in which the AFISO certificate holder reaches the age of 65.

### **A.2.7 FAILURE TO MAINTAIN COMPETENCY**

- (a) If, during the period between annual competence examinations, the Head of AFIS becomes aware that the competence of an AFISO is in doubt, the AFISO shall be removed from duty and his CoC shall be withdrawn.
- (b) An AFISO whose CoC has been withdrawn shall not provide an AFIS service associated with that Certificate except under the supervision of an AFIS Instructor or Examiner.
- (c) An AFISO whose CoC has been withdrawn shall be required to undergo a period of training under supervision and successfully complete a CoC examination before a CoC is re-issued.
- (d) The period of training under supervision shall be agreed on by the Head of AFIS and is a minimum period, which shall be extended in cases where an AFISO's ability to safely and professionally exercise the privileges of the Certificate is in doubt.
- (e) If following the agreed period of retraining the AFISO is assessed as not competent, the Head of AFIS may elect to suspend or permanently revoke the AFISO's Certificate.

### **A.2.8 AFISO ENDORSEMENTS**

- (a) An AFIS endorsement shall be issued by the Head of AFIS and recorded on an appropriate Endorsement form.
- (b) An AFISO who has not exercised the privileges of a Certificate for a period of more than five years, who wishes to commence training towards the renewal of that Certificate, shall be required to demonstrate that he is competent to commence training under supervision.

To this end the Head of AFIS may require an AFISO to submit himself to such examinations and tests (including medical examinations by an OHMP) and to furnish such evidence of his knowledge, experience, competence and skill and undergo such courses of training as the Head of AFIS may require.

The AFISO's suitability to commence training shall be assessed by the Head of AFIS at the unit at which he will commence On-the-Job training.

The level of competence to be demonstrated shall be equivalent to that expected of a trainee having passed an approved course of training, prior to commencing On-the-Job training.

- (c) Endorsements:

- 1. AFIS Examiner

The AFIS Examiner endorsement shall entitle the holder of a certificate to conduct examinations for the validation of Certificates at an aerodrome and for the issue and renewal of Certificates of Competence for aerodromes at which the holder is currently competent.

- 2. AFIS Instructor

The AFIS Instructor endorsement shall entitle the holder of an AFISO certificate to conduct classroom training for AFISOs and trainees, and to conduct On-the-Job training at operational positions on which the holder holds a current CoC.

- (d) AFIS Providers shall ensure that the validation of a Certificate is conducted by an appropriate examiner, approved by the AFIS Provider, whose endorsement is recorded on the appropriate AFISO Endorsement Certificate.

- (e) An AFISO may be endorsed as an AFIS Examiner at the discretion of the AFIS Provider providing:
1. He currently holds a validated AFISO Certificate which has been held for at least one year; and
  2. He holds and maintains Certificates of Competence for the aerodrome(s) for which examinations will be conducted;

*Note: The one year requirement in A.2.8.(e).1 may be reduced by the AFIS provider after consideration of previous suitable AFIS and examination experience and following a submission to GCAA from the Head of AFIS.*

- (f) An AFISO may be endorsed as an Instructor, at the discretion of the Head of AFIS, providing:
1. He has successfully completed a course in instructional techniques;
  2. He has satisfied the Head of AFIS of his competence to carry out classroom instruction;
  3. He has at least two years full time operational experience as an AFISO;
  4. He maintains, and has held for a minimum period of one year, Certificates of Competence for the position for which instruction will be conducted;
  5. He has completed an approved OJTI course; and
  6. He has completed unit specified training on the conduct of the TCM scheme.

- (g) The Head of AFIS shall require the following evidence for the issue of a Certificate:
1. Certification that the applicant has successfully completed an approved AFIS course for the applicable aerodrome; and
  2. Certification that the applicant has met the validation Requirements associated with that Certificate; or
  3. Certification that the applicant has successfully completed the TCM associated with that Certificate; and
  4. A valid CoC for the applicable Certificate.

- (h) Applicants having successfully completed an AFISO course without subsequently gaining a validation of the Certificate within 12 months of the course being completed, shall be assessed for previous competence by an AFIS Examiner and undertake such training as deemed necessary to reach the level of competence to commence On-the-Job training. An applicant who successfully completed an AFISO course more than five years previously, without subsequently gaining a validation of the AFISO Certificate relating to the course, shall be assessed for previous competence to determine the content and duration of the refresher course required to be completed by the applicant, to ensure that the knowledge and skill of the applicant is to an acceptable level for a trainee to commence operational training.

**A.2.9 ENGLISH LANGUAGE PROFICIENCY**

- (a) All AFISO and trainees shall be required to demonstrate an English language proficiency meeting the requirements of the Head of AFIS.
- (b) This shall be achieved by demonstrating, to the satisfaction of the Head of AFIS, the ability to speak and understand the English language, used for radiotelephony communications, without accent or impediment which would adversely affect radio communications.

**A.2.10 MEDICAL REQUIREMENTS**

- (a) AFISO and trainees shall be subject to the relevant medical requirements of the AFIS Service Provider.
- (b) Applicants for, and holders of, an AFIS Certificate, who will exercise the privileges of the validated AFIS Certificate, shall hold a valid medical Certificate issued by a qualified medical practitioner.
- (c) The medical Certificate shall, without prejudice to other sections of these Regulations, be valid for such period as is specified therein, and shall be deemed to form part of the AFISO certificate.
- (d) The maximum period of validity of a Medical Certificate associated with an AFISO certificate shall be determined by the AFIS Service Provider, however shall not exceed the periods below.

Certificate Holder's Age	Maximum validity period in months
Under 40	48
40 or over but under 65	24

- (e) The AFIS Provider shall have procedures in place to ensure the following:
  - 1. Holders of Medical Certificates are given an initial notification at two months prior, and a check one week prior to the date of expiry of the current Medical Certificate, to ensure the required examination has been completed;
  - 2. AFIS operational duties or AFIS operational training shall not be conducted in the event of the Certificate holder or trainee not holding a current Medical Certificate.
- (f) The AFISO certificate holder or trainee remains responsible for ensuring that his Medical Certificate is renewed and that examinations and tests are completed when required. The certificate holder or trainee is also responsible for notifying the AFIS Provider if he is prescribed medication or if his medical fitness is in question.
- (g) An AFISO who fails his medical examination shall not exercise the privileges of his AFISO Certificate until he again holds a valid Medical Certificate.
- (h) A trainee who fails a medical examination shall not undertake On-the-Job training.
- (i) An AFISO or trainee who fails his medical examination shall surrender his current Medical Certificate to the Aero Medical Examiner or forward the certificate to the Head of AFIS.
- (j) AFIS Providers who require advice on the medical aspects of limitations imposed on certificates should contact the Authority. AFIS Providers who require advice on the operational aspects of any limitation imposed should contact the Authority.

## **APPENDIX 3: ATS OCCURRENCE REPORTING**

### **A.3.1 ATS OCCURRENCE REPORTING**

- (a) The holder of an AFIS certificate shall establish internal procedures for the reporting of, and investigating of, ATS occurrences as required in this appendix.
- (b) In the event of an accident, unlawful interference or serious incident in the UAE Airspace the relevant unit shall make an initial report to the Duty Investigator, via the promulgated reporting process, as a priority as soon as practicable after the event containing as much of the following information as possible:
  - 1. Emergency Phase (if declared) (DETRESFA/ALERFA/INCERFA)
  - 2. Aircraft identification (callsign and/or registration);
  - 3. Aircraft type;
  - 4. POB;
  - 5. Nature of accident/occurrence;
  - 6. Time of accident/occurrence;
  - 7. Site of accident or location of occurrence;
  - 8. Broad indication of casualties;
  - 9. Broad indication of damage to airframe(s); and
  - 10. Impact on other traffic, and estimated duration.

Information not immediately available shall be forwarded to the Duty Investigator immediately on receipt.

Following the initial report for an accident, unlawful interference or serious incident a ROSI shall be submitted within 3 hours of the event.

- (c) A ROSI for ATS occurrences other than those in CAR A.3.1.(b) shall be submitted within 72 hours of the event.
- (d) In addition to the mandatory items indicated on the form, the ROSI shall be completed accurately and unambiguously with all immediately available information.
- (e) Guidance for units as to what ATS occurrences shall be reported via the ROSI system is contained in Attachment A.
- (f) The AFIS unit should expect a reply from the Authority that the ROSI has been received. The reply may include requests for information to be included in the subsequent investigation.
- (g) In the event that notification is not received, the AFIS unit shall communicate with the Authority to confirm receipt.

### **A.3.2. ATS OCCURRENCE INVESTIGATION**

- (a) It is the AFIS unit's responsibility to initiate and conduct an investigation of ATS Occurrences in accordance with ICAO Document 9426, Part 2, Section 1, Chapter 3, using the principles of just culture, and taking human factors into account, and present an investigation report including any other requested data to the Authority within 10 working days of the GCAA ROSI acceptance of any accident, AIRPROX, serious incident or any classification of occurrence for which a safety performance target has been established. For any other occurrence, the report and any requested data is due within 20 working days. AFIS units shall contact the Authority (Air Navigation & Aerodromes Department) in writing should an extension be needed, which may be granted provided that an extension request is submitted by the accountable safety manager or equivalent with a justifiable reason prior to the deadline.
- (b) AFIS units shall cooperate fully with any requests from Air Accident Investigation Department regarding determined or potential Annex 13 investigations.
- (c) AFIS units shall ensure that sufficient appropriately trained and experienced investigators are available to fulfill these investigation requirements.



- (d) The AFIS unit investigation shall be conducted by an impartial person. Personnel potentially involved in an ATS occurrence shall not be involved in the conduct of the investigation.

The Authority may require an Inspector to assist unit investigators, or conduct independent investigations.

The Authority shall review the unit findings, conclusions and actions and may require further or amended actions to be taken by the unit.

The Authority has the final decision on required remedial actions and incident classification.

- (e) In the event of an Accident, AIRPROX or serious incident, requiring an investigation interview of the persons involved, the following procedure shall be followed:

1. The person being interviewed shall be given the option to review recorded audio and/or surveillance data prior to the interview;
2. There shall be a minimum of two investigators present during the interview;
3. The person being interviewed shall be given the option of having an impartial witness present at the interview; and
4. Minutes of the interview shall be documented and signed by all persons in attendance.

The interview may be recorded, subject to the approval of all present. In this circumstance, the recording of the interview shall be retained with the investigation report.

- (f) The Authority may require additional information to assist in reviewing the unit investigation.

- (g) The following investigative data shall be included, where relevant or requested by the Authority, in a Unit Investigation Report:

1. Written statement/s from AFISO/s involved. See note below;
2. Written statement from other staff present at the time of the event;
3. Voice recordings and/or tape transcript (where available);
4. Aircraft details;
5. Meteorological information;
6. Summary of interviews of AFISO/s involved;
7. Excerpt of any relevant unit procedures or references to unit procedures;
8. Traffic level, density (light, moderate, heavy) and complexity (low, medium, high) at the time of the incident;
9. Operational status of equipment;
10. The shift roster and monthly roster of the AFISO/s involved;
12. Rostered and actual staffing of all operational positions;
13. Details of the AFISO/s involved
  - a. AFISO Certificate number and date of first issue;
  - b. Dates of last Certificate of Competence and Emergency Continuation Training;
  - c. Hours on position within last 30 days;
  - d. Duration on position when the occurrence took place;
  - e. Shift breaks prior to occurrence;
  - f. Off duty rest and sleep obtained prior to shift;
14. Identification of similar incidents within last 12 months.
15. Unit findings, causal factors, contributing factors, human factors/limitations, conclusions, safety recommendations, incident classification and category, lesson/s learnt;
16. Evidence of the Corrective and/or Preventive actions taken as a result of the investigation;
17. A statement verifying the accuracy of recorded time stamps;
18. Any other items relevant to the investigation.

*Note: For any accident, AIRPROX, serious incident, or any occurrence classification with an established safety performance target, a written statement of the events and circumstances of the occurrence shall be completed by all involved AFISOs and, if applicable, the shift supervisor (or other person acting in the capacity of a supervisor) prior to the end of the shift.*

- (h) Unless otherwise requested by the Authority or, if an audio recording is not available, an ATS transcript shall be compiled in compliance with the following requirements:
1. The text shall be clear, legible and in a format suitable for sending by email or facsimile;
  2. All transcript entries shall be written using letters;
  3. All transcript entries shall be written as they are pronounced on the ATS recording. For example, the word "NINER" should be written when the correct pronunciation is heard on the recording or "NINE" if that pronunciation is heard;
  4. Each transcript entry shall include the time indicated on the recording when that transmission was made;
  5. Times shall be in the format (HH:MM:SS);
  6. Checks shall be made to determine any discrepancies that exist between the recording times and the actual time. Whenever a discrepancy is found it shall be documented in the title section of the ATS transcript report;
  7. Each transcript entry shall include the transmitter's AFIS Unit, Ground Unit or Aircraft Callsign identity, and frequency if relevant;
  8. In the event that the investigator determines that there are irrelevant segments on the recording that do not need to be transcribed, then a chronological entry shall be made on the transcript indicating the missing transmission, and the title of the ATS transcript shall indicate **"Excerpt of ATS Recording."**

The person taking responsibility for the accuracy of the ATS transcript shall clearly enter his name and title and sign the document, stating that the ATS transcript is an accurate reflection of the ATS recording.

- (i) The completed AFIS unit investigation report shall be signed by the person taking responsibility, confirming that the investigation contents, findings, conclusions are complete, correct and accurate and that any unit safety or staff remedial action proposed is appropriate.
- (j) Learning outcomes from incident investigations shall be provided to front-line operational staff.
- (k) For the purposes of investigation and auditing, GCAA Inspectors shall be granted unrestricted access to ANS facilities under all conditions. GCAA Inspectors shall be permitted to carry laptop computers, digital cameras and audio recording devices under all conditions.
- (l) AFIS Units shall provide all necessary assistance in the application process for airport security passes and equipment approvals for nominated GCAA Inspectors.

### **A.3.3. RELIEF FROM DUTY**

- (a) When an AFISO's actions may have been a contributing factor in an ATS occurrence such as an accident, AIRPROX, serious incident or hazardous situation where the safety of an aircraft was or may have been jeopardised, he shall be relieved as soon as reasonably practicable from all operational duties pending a unit investigation.  
There shall be no partial removal from duty.
- (b) The AFISO's relief from duty should not be taken as a suspicion of guilt but purely to protect the AFISO and the unit in the following ways:
  1. To ensure a potentially unsettled AFISO does not make post occurrence errors;
  2. To allow the AFISO to be available to write a statement and assist in the initial investigation;
  3. To allow the AFISO time for recovery and be offered post-incident stress counseling, i.e. critical incident stress management (CISM); and

4. To give the unit protection if in fact some actions are required to raise the AFISO's competence to the required standard.
- (c) Following an accident or serious incident, an AFISO relieved from duty shall not be returned to operational duties without approval from the Authority (Air Navigation & Aerodromes).
  - (d) If, during or after the AFIS unit investigation of an ATS occurrence other than an accident or serious incident, it is found that the AFISO's actions were correct and did not contribute to the occurrence, an AFIS unit may return the AFISO to operational duties. The AFIS unit shall notify the Authority (Air Navigation & Aerodromes) accordingly.
  - (e) If during or after the AFIS unit investigation of an ATS occurrence other than an accident or serious incident, it is found that the AFISO's actions did or may have contributed to the occurrence, the AFISO shall remain relieved of all operational duties until successfully completing remedial actions.
  - (f) The Head of AFIS shall determine, after consultation with AFIS operational management, the remedial actions required to ensure that an AFISO relieved of duty has the required knowledge and competence to return to duty. The remedial actions shall be documented, dated and signed by all parties and kept on the concerned AFISO's file for a minimum three years after the occurrence.
  - (g) Where it is determined that remedial training is required, the AFISO's CoC for the affected rating/s shall be withdrawn and the Authority (Air Navigation & Aerodromes) be notified. A CoC shall only be re-issued after the successful completion of a CoC examination (written, practical and oral examination).
  - (h) When AFISO remedial training is required, the AFISO involved shall first be counseled with the objective of ensuring that he understands what errors were made, accepts ownership of his actions, and will be receptive to training. This shall be documented, dated and signed by all parties and kept on the concerned AFISO's file for a minimum three years after the occurrence.

In cases where remedial training is required, a training needs analysis shall be carried out by the AFIS unit, and documented to determine specific training requirements.

#### **A.3.4. ATS OCCURRENCE RECORDS**

- (a) An AFIS unit shall retain the unit's occurrence investigation records required by CARs 9.28.(a).2, (b) and (c) for the period specified in CAR 9.28.(f).4.

#### **A.3.5. INCIDENTS INVOLVING AIRLINE OPERATORS**

- (a) Following an aviation incident, AFISOs shall ensure that pilots involved in the incident are aware that the incident has occurred and that reporting action is being taken.
- (b) In the event of a serious incident, the pilot involved shall, when possible, be interviewed by an AFIS unit officer to ascertain relevant details, which may assist in the unit investigation. The interview shall be conducted at an appropriate time, and on an appropriate recorded private frequency or communication line. The interview shall be documented for inclusion in the AFIS unit investigation.

**ATTACHMENT A to Appendix 3**

This list is in no way exhaustive and any occurrence which is believed to be a flight safety issue shall be reported  
**Note:** *Birdstrike and wildlife (BWI) reports related to events on or in the immediate vicinity of an aerodrome shall be reported according to the procedures in force at the relevant aerodrome.*

Category	Description
ACAS Event	An incident where a resolution advisory event (RA) did or may have occurred
Accident	An occurrence meeting the definition of an accident contained in CAR Part VIII, Subpart 1.
AIRPROX	<p>A situation in which, in the opinion of a pilot or air traffic services personnel, the distance between aircraft as well as their relative positions and speed have been such that the safety of the aircraft involved may have been compromised.</p> <ul style="list-style-type: none"> <li>• Risk of collision. The risk classification of an aircraft proximity in which serious risk of collision has existed</li> <li>• Safety not assured. The risk classification of an aircraft proximity in which the safety of the aircraft may have been compromised.</li> <li>• No risk of collision. The risk classification of an aircraft proximity in which no risk of collision has existed.</li> <li>• Risk not determined. The risk classification of an aircraft proximity in which insufficient information was available to determine the risk involved, or inconclusive or conflicting evidence precluded such determination.</li> </ul>
Airspace Penetration (CTA/CTR/SUA) without clearance or approval	An incident where an aircraft enters civil or military controlled airspace or SUA without clearance or proper authorisation.
Apron Incident	An incident reported to AFIS where the flight safety of an aircraft was or may have been affected on the apron area.
AFIS Co-ordination Error	An incident where the coordination between Sectors or units is not completed correctly, where the coordination failure affected, or may have affected flight safety.
AFIS Operational issue	An incident, not resulting in any other category, where incorrect AFISO actions or AFIS procedures affected, or may have affected flight safety
ATS/Aerodrome Equipment failure	An incident in which there is a failure or irregularity of ATS communication, navigation or surveillance systems or any other ATS or Aerodrome safety-significant systems or equipment which could adversely affect the safety or efficiency of flight operations and/or the provision of an air traffic service.
AFIS/AD Equipment failure	An incident where there is a failure or degradation of AFIS or AD operational equipment which has or may have adversely affected flight safety.
Communications failure	An incident where an aircraft experiences a total or partial communications failure
Emergency (other than engine failure or fuel shortage)	An incident, excluding an accident, security event, engine failure, fuel emergency or medical emergency, where a pilot declares an emergency, Mayday or Pan.

Engine failure	An incident where a pilot reports he has experienced an engine failure during takeoff, in flight or landing, or reports that he has shut down an engine due to a technical problem.
Flight planning error	An incident where a flight planning error has been reported which may affect the safety of a flight
FOD	An incident involving FOD detected on a runway including reported tyre bursts from aircraft which have recently operated on a runway. <ul style="list-style-type: none"> <li>• Category A: FOD which is likely to cause damage to an aircraft on a runway or runway shoulder</li> <li>• Category B: FOD which is likely to cause damage to an aircraft found within runway strip or RESA</li> <li>• Category C: FOD which is likely to cause damage to an aircraft on taxiways or taxiway shoulders</li> <li>• Category D: FOD which is likely to cause damage to an aircraft found on the taxiway strips, apron areas or elsewhere on the airfield</li> </ul>
Fuel dumping event	An event where aircraft require to dump or jettison fuel.
Fuel emergency	An incident where a pilot reports he is experiencing a minimum fuel situation which requires an emergency declaration.
Go-around event	Any go- around event, except where an aircraft intentionally goes around for training purposes.
LSALT/Terrain event	An incident where an IFR aircraft is flown below a Lowest Safe Altitude (LSALT)
LVP Violations	An incident where an aircraft conducts an operation when RVR, Met visibility and/or cloudbase conditions are below the required approach minima or the aerodrome operator minima.
Manoeuvring Area Excursion	Category A: An incident in which an aircraft has an excursion from a runway – i.e. overruns, excursion off the side of the runway – resulting in damage to aircraft Category B: An incident in which an aircraft has an excursion from a taxiway – excursion off the side of the taxiway – resulting in damage to aircraft Category C: An incident in which an aircraft has an excursion from a runway – i.e. overruns, excursion off the side of the runway – resulting in no damage to aircraft Category D: An incident in which an aircraft has an excursion from a runway – i.e. overruns, excursion off the side of the runway – resulting in no damage to aircraft
Medical emergency	An incident where a pilot reports a medical emergency requiring a diversion or priority track or landing due to a sick or injured passenger or crew member.
Operator complaint or operational issue (not resulting in any other category)	An incident involving: <ol style="list-style-type: none"> <li>1. A direct operational related complaint or query received from an operator or State; or</li> <li>2. An AFIS issue with an operator</li> </ol>
Runway incursion category A	A serious incident in which a collision is narrowly avoided
Runway incursion Category B	A runway incursion in which the separation decreases and there is a significant potential for collision, which may result in a time-critical corrective/evasive

	<p>response to avoid a collision.</p> <p>This includes a runway incursion occurring while a departing aircraft has commenced its take-off roll or an arriving aircraft has crossed the threshold.</p>
Runway incursion Category C	A runway incursion characterised by ample time and/or distance to avoid a collision, including a runway incursion occurring while a departing aircraft has been cleared to line up, or cleared for take-off or an arriving aircraft has been cleared to land but has not crossed the threshold.
Runway incursion Category D	A runway incursion that meets the definition of a runway incursion such as the incorrect presence of a vehicle, person or aircraft on the protected area of a surface designated for the landing and take-off of aircraft but with no immediate safety consequences.
Runway incursion category E	Insufficient information or inconclusive or conflicting evidence precludes a severity assessment
Runway operation incident	<p>An incident occurring on a runway, excluding a runway incursion, where the incorrect action(s) of a pilot, vehicle or person affected or may have affected operational safety such as:</p> <ul style="list-style-type: none"> <li>• An aircraft conducts an operation on a runway without proper authority, e.g. conducting a take-off or landing on an operational or closed runway without a clearance; or</li> <li>• Attempting a take-off or landing from a taxiway not approved for operation.</li> </ul>
Security event	An incident involving a security event relating to an aircraft, which may adversely affect flight safety, such as a Hijack, Bomb Warning or an unruly passenger, which results in a request for a priority diversion or landing, or the attendance to an aircraft by security personnel.
Taxiway operation incident	An incident, excluding an actual or attempted take-off or landing on a taxiway, where an aircraft, vehicle or person operates on a taxiway in a manner where operational safety was or may have been affected, including taxiway incursion
Technical problem	An incident excluding a declared emergency where a pilot reports an aircraft technical problem.
UAS event	An incident where an UAS enters controlled airspace or SUA without clearance or proper authorization, or is operated in a manner affecting safety.
Visual hazard report	An incident where a pilot or AFIS Unit becomes aware of a situation involving a light source, including laser, spotlights or pyrotechnics, where flight safety was or may have been compromised
Wake turbulence event	An incident where a pilot reports encountering moderate or severe wake turbulence from generating aircraft and the impact had a significant effect on the control of the aircraft, e.g. roll, altitude deviation, pitch or speed loss/gain.

## **SECTION 2 — GUIDANCE MATERIAL**

### **1. GENERAL**

- a. This section contains Guidance Material GM that has been agreed for inclusion in Subpart 9.
- b. Where a particular Subpart paragraph does not have a GM, it is considered that no supplementary material is required.

### **2. PRESENTATION**

- a. A numbering system has been used in which the GM uses the same number as the Subpart 9 paragraph to which it refers. The number is introduced by the letters GM to distinguish the material from the CAR itself.
  - i. A GM helps to illustrate the meaning of a requirement.

### **GM to CAR 9.3. AFIS CERTIFICATE**

The application for an AFIS Certificate should be made on the ANS Certification section of the E-Services in the GCAA website. All details required including the Exposition, associated Matrix and “Operations Manual/s” should accompany the application.

### **GM TO CAR 9.4 PRIVILEGES OF CERTIFICATE**

The AFIS Certificate allows provision of the following Air Traffic Services.

1. Flight information service within the airspace allocated to the service
2. Aerodrome flight information service
3. Alerting service
4. Any other service provided in accordance with the requirements of the Authority.

Category 4 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.

## **GM TO CAR 9.7 PERSONNEL REQUIREMENTS**

Depending on the size of the organisation applying for certification, some of the positions listed as 9.7.a.1 to 9.7.a.5 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.

Information on the qualifications for the position should be included in the application to the Authority, for that person to be accepted for the position.

## **GM TO CAR 9.8 AFIS TRAINING**

9.8.a Requires training and assessment of AFIS and direct support staff such as Supervisors and assistants.

## **GM TO CAR 9.9 SHIFT ADMINISTRATION**

9.9.a Requires adequate time for staff to open and close watch, prior to the actual handling of traffic, to carry out administrative functions, and enough time to hand over/take over watch.

## **GM TO CAR 9.10 FACILITY REQUIREMENTS**

9.10.c 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, where this is applicable.

9.10.h Covers requirements for portable aerodrome AFIS used in an emergency situation.

## **GM TO CAR 9.11 ESTABLISHMENT AND TRANSFER OF SERVICE**

9.11.a 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.

## **GM TO CAR 9.12 DOCUMENTATION**

9.12.(c).3 Other regulatory material consists of CAAP.

## **GM TO CAR 9.13 CONTINGENCY PLAN**

9.13.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.



**GM TO CAR 9.14      AFIS CO-ORDINATION REQUIREMENTS**

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

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

9.14.c 3,4,5      Coordination between AFIS units, and between AFIS units and aerodrome operators, may be in the form of Letters of Agreement, MoU or any other documented form.

9.14.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.

**GM TO CAR 9.21      ALERTING SERVICE**

9.21.      Contains the requirements for SAR alerting by AFIS units.

**GM TO CAR 9.22      FLIGHT PLANS**

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

**GM TO CAR 9.23      TIME**

9.23.a.      Item 2 requires the AFIS clocks and other recording devices to be accurate to within 5 seconds of UTC. Any data link time recording shall be accurate to within 1 second

**GM TO CAR 9.24      ALTIMETER SETTING PROCEDURES**

9.24.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.

**GM TO CAR 9.26      AIRCRAFT EMERGENCIES AND IRREGULAR OPERATIONS**

9.26.c      See the ICAO Document 9683 for Human Factor requirements.

**GM TO CAR 9.27      ACCIDENT, INCIDENT AND OCCURRENCE REPORTING**

9.27.a.2      The facility malfunction report reference here relates to CAR 9.14.a.1., and the need for coordination between the AFIS provider and the CNS provider. CNS reports are included in ROSI reports.

## **GM TO CAR 9.28        RECORDS**

9.28.f        Certain records are now required to be maintained for 31 days, to ensure a full month is covered. This is a minimum and there is no restriction on a longer period being used by an AFIS provider.

9.28.g        This can be taken as a medium that can be viewed by the Authority in its premises.

## **GM TO CAR 9.29        LOGS AND POSITION LOGS**

9.29.c.6     Requires the log to be reviewed by the Head of AFIS unless delegated to an appropriate staff member.

9.29.d        The “operating position log” is required where there is more than one position operating within a unit.

## **GM TO CAR 9.31        SERVICE DISRUPTIONS**

9.31.b.2     Reference to interruptions to normal service include any unplanned event such as a power or communications failure which is greater than 10 minutes. The report, required within 48 hours as per 9.31.a.3, shall, if not a complete report, be followed up by a complete report when available.

## **GM TO CAR 9.32        SAFETY MANAGEMENT SYSTEM REQUIREMENTS**

9.32.a        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 Annex 19 and Document 9859.

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

9.32.d        This section lists some of the significant changes to the AFIS 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.

## **GM TO CAR 9.33        QUALITY MANAGEMENT SYSTEM (QMS) REQUIREMENTS**

9.33.b.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 during a competency assessment.

9.33.b.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.

9.33.b.7 requires procedures for management review of the QMS for adherence to the requirements of the Rule.

**GM TO CAR 9.34 DUTY HOURS AND STAFFING**

9.34.b The Authority is still developing the Acceptable Means of Compliance requirements.

9.34.c The duty hour log may be incorporated in the main log.

**GM TO CAR 9.35 ORGANISATION EXPOSITION**

9.35.a Requires a number of statements, charts and details which describe the Organisation seeking certification, or certified. 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.

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.

*Note: See CAR 9.12.(e)*

9.35.a.7 requires details of the staffing structure for each unit. This is to ensure that adequate staff are provided for the services referred to.

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

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

**GM TO CAR 9.36 AFIS OPERATIONS MANUAL**

9.36.a The Manual may consist of one or more documents containing the procedures required by paragraphs 9.36.a.1 to 9.36.a.28.

**GM TO CAR 9.37 CHANGES TO CERTIFICATE HOLDER'S ORGANISATION**

9.37.e The Authority may impose conditions on the Organisation with respect to changes under 9.37.c and .d, to ensure the continuity of service. If there is any doubt as to whether a change within an Organisation may affect compliance with Subpart 9, the Organisation should contact the Authority for clarification.

**GM TO CAR 9.38 WITHDRAWAL OR TRANSFER OF SERVICE**

9.38.a A significant reduction means that the service provided is reduced to the degree that significant periods of aircraft operations are not provided with an AFIS.

9.38.b When an AFIS Certificate holder 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.

## **GM to APPENDIX 1: AFISO SELECTION AND CERTIFICATION**

An AFISO Certificate is required by any person operating as an AFISO. This appendix details:

1. the need for the Certificate,
2. the privileges, validity and limitations of the Certificate,
3. the eligibility requirements, the skill and knowledge requirements, and
4. the certificate maintenance requirements,

Appendix 1 contains details of the types of Certificates and Endorsements that are available to an AFISO.

## **GM to APPENDIX 2: AFISO TRAINING, COMPETENCY AND EXAMINATION**

Appendix 2 covers the needs for:

1. a unit training plan,
2. training records,
3. Examiners,
4. Instructors,
5. continuation training,
6. competency,
7. procedures for when failures in competency assessments occur,
8. endorsements,
9. English language proficiency, and
10. Medical requirements.