



भारतीय विमानपत्तन प्राधिकरण
AIRPORTS AUTHORITY OF INDIA

DIRECTORATE OF AIR TRAFFIC MANAGEMENT

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ATMC

AIR TRAFFIC MANAGEMENT CIRCULAR NO. 02 of 2023

**SURVEILLANCE INSPECTION OF ATM FACILITIES CONDUCTED BY DGCA AND
INTERNAL AUDIT OF ATM FACILITIES AT AAI ATC CENTRES**

1. Introduction:

1.1. Surveillance inspection of ATM facilities at ATC centres/Airports managed by AAI, is carried out periodically by ATM Inspectors of DGCA, to check and ensure compliance/adherence to various regulatory provisions pertaining to civil aviation. The inspection report containing “Findings and Observations” is communicated to AAI, by the ANS Directorate of DGCA. AAI is obligated to submit Action Taken Reports (ATR) with supporting documents and evidences so that the shortcomings identified in the findings/observations are suitably addressed, to enable DGCA consider the closure of pending findings/observations.

1.2. The ATS Section, which serves as the NODAL unit ATS Surveillance Audits, disseminates the relevant portions of information contained in DGCA’s surveillance audit reports to the concerned ATC Centre/ Airport which it serves, as well as other concerned directorates of AAI. An ATR with associated documents, evidences, corrective action plan (CAP)/PDC etcetera. with respect to each and every finding/observation, is solicited from the ATS-In-Charge and/or Airport Director. ATS Section at AAI CHQ on receipt of the solicited



information, compiles, collates the information and coordinates with the ANSS Directorate of DGCA for closure of the findings/observations on the basis of inputs/evidences provided by the concerned ATCC/Airport.

- 1.3. With an increase in the number of such surveillance inspections carried out by the DGCA, there has been a considerable increase in the number of Findings/Observations. A stricter monitoring mechanism and the likely imposition of penalties for failing to mitigate/redress the issues raised in the Surveillance Inspection by the DGCA, has only increased the requirement for timely action in response to the findings. Competent authority has reviewed the process of existing mechanism of submission of ATRs/Evidences/CAPs/PDCs from ATS centres/Airports for effective and timely compliance, and it has been decided that the offices of GM ATM RHQ, should be involved in the process to closely monitor the action taken at the ATCCs/Airports served by them.
- 1.4. It has been also decided that an internal surveillance audit of ATM facilities, in line with the DGCA audit Checklist, shall be carried out periodically at AAI ATCCs by the ATS Section, CHQ, to find out the deficiencies and their timely elimination, so as to minimize the findings/observations during ATM Surveillance inspection by DGCA.

2. Purpose:

Whereas, ATMC No. 07 of 2018 titled, DGCA Surveillance Audits and Time Frame for elimination of deficiencies identified by DGCA Inspectors, is broad and generic, this ATMC

- 2.1. defines procedures and responsibilities in respect of submission and redressal of the findings/observations pointed out during Surveillance Inspection of ATM Facilities at ATC Centres/Airports by DGCA as well as to
- 2.2. establishes procedures for internal surveillance audit of ATM facilities at ATC centres to be carried out by the ATS section, CHQ.

3. Scope:

This ATMC is applicable to ATM personnel as well as Personnel/Directorates providing facilities/equipment/services in provision of Air Traffic Services.



4. Procedure:

4.1. ATRs/Evidences and CAPs/PDCs:

The procedures for Submission of ATRs/Evidences and CAPs/PDCs in respect of findings/observations shall be followed as below:

4.1.1 Upon receipt of the report of Surveillance Inspection of ATM facilities of an airport from DGCA, the office of GM (ATM-ATS), CHQ shall send the copy of this report to the concerned stations as mentioned below:

- a) GM (ATM) of New Delhi, Mumbai, Kolkata, Chennai ATCC as appropriate, with a copy to RED of the concerned region.
- b) CIC and GM (ATM) of the other ATCCs where the ATS-In-Charge is a GM (ATM), with a copy to the RED of the concerned region.
- c) the concerned GM (ATM) RHQ and RED of the concerned region, with a copy to the Airport Director (APD) & ATS-In-Charge in respect of other ATCCs/Airports within a region

4.1.2 The first ATR with Evidences and Corrective Action Plan (CAP) with PDC in respect of the findings shall be submitted within 30 days from the audit report date, directly to the o/o GM (ATM-ATS), with a copy of the same to the concerned RED, by the concerned GM ATM, so as to enable the ATS Section, CHQ to compile, collate, scrutinize and submit the ATRs with evidences to the ANSS Directorate of DGCA within 45 days of the date of issue of the Surveillance Audit Report.

4.1.3 The ATRs/Evidences and CAPs/PDCs in respect of findings/observations pertaining to air traffic management and procedures have to be submitted by the ATS-In-Charge under his/her signature and seal. The flow of information shall be in adherence to 4.1.1

4.1.4 The ATRs/Evidences and CAPs/PDCs which pertain to other disciplines, viz. CNS, Operations, Engineering, etcetera, in respect of findings/ observations of an ATM Surveillance inspection, shall be signed by the Airport Director of the station under his/her signature and seal. The flow of information shall be in adherence to 4.1.1



- 4.1.5** In case of Digital equipment where serviceability cannot be expressed by Snapshots/Images, a duly signed certificate from CNS-In-Charge/APD under his/her official seal, should be issued to validate the serviceability of the equipment. (e.g. serviceability of VHF, Telephone lines, Satellite phone, digital displays, internet facility etc.). The flow of information shall be in adherence to 4.1.1
- 4.1.6** To avoid confusion during submission of evidences, every single finding should have only one file of evidence i.e., in case there are more evidences than one (documents, photographs, etc.) for a particular finding, these evidences should be collated and submitted as a single (pdf) file for the finding.
- 4.1.7** At times, the finding raised under ATM surveillance inspection, may pertain to another Directorate/Agency/Non-AAI Airport Operator etc. A correspondence should be initiated by CIC/APD, as applicable, to the concerned Directorate/Agency/Airport Operator for ATRs/Evidences and CAPs/PDCs on the findings and an attested copy of this correspondence should be sent to CHQ in adherence to the above-mentioned procedures (4.1.1), as a proof to DGCA, that action has been taken by AAI on the said finding.
- 4.1.8** For the findings which are not closed/mitigated in first ATR/within 45 days from the issue date of audit report, the following time frame shall be applicable for the elimination of deficiencies, identified by DGCA's ATM Inspectors. PDC shall be defined as per guidelines mentioned in table below:

Determined Action Level		Time Frame for Elimination of Deficiencies Identified by DGCA Inspectors
Level 1 Findings		Have to be resolved immediately (within 7 days) and the same should be informed to the DGCA through suitable means.
Level 2 Findings	Short-term	60 days from the date of receipt of the inspection report
	Medium-term	90 days from the date of receipt of the inspection report
	Long-term	180 days from the date of receipt of the inspection report

- 4.1.9** The Corrective Action Plan (CAP) of pending findings should have a valid PDC. In case a PDC provided earlier is revised, a valid justification with supporting



evidence, duly signed under official seal, should be submitted. Efforts should be made so as not to revise the PDC more than once.

- 4.1.10** The concerned Directorate/Head of Department at RHQ shall vet and verify the submitted ATR/Evidences/PDCs received from the field stations and send them to the office of GM (ATM-ATS), CHQ for onward submission to the office of DGCA.
- 4.1.11** On receipt of the verified/vetted ATRs/Evidences/PDCs, the ATS Section, CHQ will scrutinize them for any discrepancy/inconsistency. If found in order, these ATRs/Evidences/PDCs shall be submitted to the ANSS Directorate of DGCA for closure.
- 4.1.12** The ATS Section, CHQ shall coordinate with ANSS Directorate of DGCA in respect of the submitted ATRs/Evidences/PDCs for findings and communicate the closure report/remarks, with respect to these findings, to the ATCC/Airport concerned.

4.2 Internal Surveillance Audit of ATM facilities:

Whereas, the raison d'être for the establishment of procedures for internal audit of ATCCs has been detailed in 1.4, the procedures and periodicity of the internal surveillance audit of ATM facilities at ATC Centres are detailed below:

- 4.2.1** The Checklist of the internal ATM Surveillance Audit shall be in line with the ATM Surveillance Checklist of DGCA and may also include other relevant points related to Air Traffic Services, amended/updated from time to time, as appropriate, by the ATS section, CHQ.
- 4.2.2** The process flow for intimation of deficiencies found during such audits and submission of CAPs/ATRs by the stations to ATS section shall be the same as that mentioned in para 4.1.
- 4.2.3** The periodicity of the Internal Surveillance Audit shall be as per the table below:



Category	Details/ specifications of ATM facilities to be inspected	Frequency of surveillance inspection
A	Delhi, Mumbai, Kolkata and Chennai	Once in every two years
B	ATC Centres with Area Control Centres (ACCs)	Once in every two years
C	ATCCs with Surveillance Approach Units	Once in every three years
D	ATCCs not included in above categories.	Once in every four years

4.2.4 The internal ATM Surveillance Audit team shall comprise of executives from either from ATS section, CHQ or from o/o GM (ATM) of the concerned region.

4.2.5 Station wise schedule for the Internal Surveillance audit to be carried out by CHQ and RHQ teams respectively in next calendar year shall be prepared and circulated by ATS section, CHQ in the month of October every year.

4.2.6 Internal ATM Surveillance Audit of stations mentioned under Category A in para 4.2.3 shall be carried out by the team from CHQ.

4.2.7 Internal ATM Surveillance Audit of stations mentioned under Category B, C & D in para 4.2.3 shall be carried out by the teams from RHQ or from ATS Section, CHQ as per the schedule mentioned in para 4.2.5.

5. Queries:


5.1 Any queries or further guidance required on the contents of this ATMC should be addressed to:



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6. Validity:

This ATMC shall remain in force until further notice.


15/03/2023
(A. K. Meena)
EXECUTIVE DIRECTOR [ATM]
AIRPORTS AUTHORITY OF INDIA
Dated: 15-03-2023